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A Lyrical Voice in Hollywood: French Horn Solos in Film, 1954-2012

A dissertation submitted in partial satisfaction of the

requirements for the degree Doctor of Musical Arts

by

Erika Wilsen

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ABSTRACT OF THE DISSERTATION

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Doctor of Musical Arts

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Professor Jocelyn Ho, Co-Chair

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This dissertation examines the French horn solo as a lyrical "voice" in non-diegetic Hollywood film music, 1954-2012. Through a series of case studies of longer solos (20+ seconds), I consider the changing use of the horn in film scores to show how horn solos evoke a specific range of emotions including nostalgia, melancholy, and profound loss. I also explore the lyrical horn voice's function as it extends into shorter, meme-like moments, leitmotif iterations, and horn section work.

The research draws on topic theory to place these contemporary emotive associations in historical context (Allanbrook, Hatten, Monelle); recent work on timbral meanings in orchestral music (Fales, van Elferen, Dolan, De Leeuw and De Groot); and a sizeable body of work by film scholars exploring musical narrative and characterization (Gorbman, Chion, Prendergast,

Wierzbicki, Sbravatti, Lerner). In this way, my research will help create an innovative, cross-sectional approach, one suitable to analyzing the critical role of all instrumental solos in non-diegetic film music.

The dissertation of Erika Wilsen is approved.

Mitchell Morris

Neal Stulberg

Jocelyn Ho, Committee Co-Chair

Elisabeth Le Guin, Committee Co-Chair

University of California, Los Angeles

2021

This dissertation is dedicated to my family.

Thank you for your support and love.

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Preface

I chose to play the horn because of its sound, although I didn't know what it was called or even what it looked like. I had played Suzuki violin for five years, but my upcoming middle school didn't have a strings program. If I were to continue studying music in school, I needed to choose a wind instrument. My mother wisely took me to an open orchestra rehearsal. She encouraged me to listen carefully to the wind instruments, and to choose one to learn. My favorite sound came from an instrument hidden in the back. I couldn't see the horns; instead, I saw mouthpieces on four faces when I heard it. The sound was strong and regal like the trumpet, but more mellow, sweeter, and elusive. The horn's timbre captured my imagination.

I have remained fascinated by my instrument's timbre. What is it about the horn sound that is special? My ears perk up when I hear it, and I've been known to elbow annoyed friends and family in movie theatres, not wanting them to miss the horn moments. Indeed, in terms of audience exposure and cultural impact, movie theaters are the place to listen for horns. Audiences hear the sound of the horn in film much the same way as I did; they cannot see it, but instead only hear it.

The invisible voice of the horn is akin to Michel Chion's concept of the acousmatic voice: it is an unseen "voice" that yields power through its disembodied status. This bodiless status allows the voice to be both more intimate and more powerful. However, there seems to be a lack of research that explores how the timbre and embedded cultural associations of solo instruments affect the audience's understanding and interpretation of film. My research begins the process of filling in this lacuna, using critical insights of several musicologists from different fields to examine this niche, where timbre, topic theory, audience response, and film music studies intersect. How is the voice of lyrical horn solo used in film, and why?

Acknowledgements

I want to thank the many UCLA professors who guided me in the process of discovering my dissertation, including Amy Sanchez, Neal Stulberg, John Steinmetz, Elizabeth Upton, Bill Kinderman, and Travis Cross. I also want to gratefully acknowledge the support of the UCLA Graduate Research Mentorship fellowship, which gave me the time to complete this project under the direction of Jocelyn Ho and Elisabeth Le Guin. I consider myself very fortunate to have worked so closely with these experts. They have exercised kindness and understanding while delivering unparalleled expertise and guidance in the research, writing, and organization of my project. It has truly been a pleasure to work with both of them. Finally, a very special thanks to Amy Sanchez for her thoughtful mentorship these last three years.

Most of all, I am grateful to my patient family. Thank you.

Erika Wilsen

Erika Wilsen is an active freelance horn performer and an experienced educator. She maintains a large online studio with students hailing from across the country and overseas. Students range from young beginners to university students and beyond. A passionate teacher, Erika chose to pursue her Doctor of Musical Arts degree at UCLA beginning in 2018. She was the recipient of several scholarships, including the Mimi Alpert Feldman and the Gluck scholarships, as well as a Summer Graduate Research Mentorship and a Graduate Research Mentorship fellowship. She worked as a teaching assistant for six quarters, including several Musicology courses such as *Writing About Music* and *Creating Musical Community,* as well as the 125ABC sequence of music history. She also served as a teaching assistant in the Comparative Literature department.

Most recently, she has performed with Pacific Symphony, UCLA's Gluck Brass Quintet, Left Coast Quintet, and Pacific Sound Brass Quintet. She has performed extensively in Los Angeles, San Diego, and the San Francisco Bay Area. Erika was a founding member of the woodwind quintet Avenue Winds and performed with the ensemble for 11 years. In addition to playing principal horn for Peninsula Ballet Theatre and St. Peter's Chamber Orchestra, she has performed with the symphony orchestras of Berkeley, Fremont, Santa Cruz and Vallejo as well as Opera San Jose, San Francisco Lyric Opera, and the San Francisco Choral Society. She has performed with Josh Groban and Barry Manilow. Erika graduated with a double major in English and Music (Honors) at Davidson College and holds her Master of Music in Horn Performance from the University of Michigan. Her mentors include Amy Sanchez, Soren Hermansson, Bryan Kennedy, Frank Portone, Robert Pruzin, and Louis Stout. When Erika is not playing or teaching, she enjoys spending time outside and with her family.

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Introduction

For the general population without musical training, film music may represent the only orchestral music they hear. Given this fact, significant popular film composers—such as John Williams—can be thought of as present-day, culturally-embedded composers. These are composers who write music that uses standardized, culturally accepted norms that audiences readily understand. For example, high, fast flute notes may signify birdsong and by extension, sunrise, beginnings, or hope. Meanwhile, harps are associated with angels and magic, and low brass instruments such as the trombone often are associated with evil, such as Darth Vader's Imperial March in *Star Wars* or the creatures of Mordor in *The Lord of the Rings*. Film composers are in a position to reinforce or modify our cultural understanding of certain sounds and instruments.

It may seem scandalous to suggest that Williams is similar to Wolfgang Amadeus Mozart. Yet, Williams's film music is akin to Mozart's opera music, if for no other reason than that they both present the most widely heard orchestral music of the time to audiences. They both write music for the most popular, culturally-integrated art form of their times. I do not mean to say that Williams is a genius; though perhaps he is. Rather, I want to stress the importance of his work; like Mozart's work, it has become a mainstay of our cultural understanding of classical music. Both composers (with input from directors, producers, and others) function as curators of the music that audiences hear in relation to the visual narrative of the opera or movie.

Film music historians and musicologists have made significant strides in analyzing film music, including connecting it with historical styles and art structures, such as Romantic opera. For example, the use of leitmotifs in film music has been extensively examined and is

irrefutable. However, many analytical and theoretical approaches to understanding music have not yet been applied to film music adequately. Recent advancements in timbre studies and topic theory can inform and enrich critical study of film music. For example, recent timbre scholarship has established a connection between individual instrument sounds and emotional expression, confirming "the pivotal role of timbre in the perception of emotional expression in music."[1]

As a horn player, I have noticed and responded to horn solos in films for many years. I have wondered how other viewers might react similarly or differently. How does new research shed light on lyrical horn solos in Hollywood film? Why is the voice of the solo horn employed in certain scenes, and what does the horn sound contribute? First, a brief overview of the lyrical horn solo in film is necessary.

The lyrical horn solo's use and its associations can be traced back to Leonard Bernstein's score for *On the Waterfront* (1954). In a surprising break from the standard full orchestra overture at the time, the main title music opens with a haunting, a cappella horn solo. This solo acts as the first voice of the film's overture, signifying a kind of bittersweet, destined-for-sadness mood. It includes what could be characterized as "sour" notes in the mournful melody, and evokes temporal and spatial distance. Why is the horn solo chosen to voice this opening solo?

This research focuses on the lyrical French horn solo in Hollywood film. I explore how the lyrical horn solo contributes to the audience's interpretation of and emotional response to corresponding scenes. To do so, I first briefly consider the function of film music and the solo horn's role within it. My research utilizes topic theory to distill the horn's dominant cultural associations and their emotional cues. The horn is associated with specific musical *topoi,* and its

[1] Tuomas Eerola, Rafael Ferrer and Vinoo Alluri, "Timbre and Affect Dimensions: Evidence from Affect and Similarity Ratings and Acoustic Correlates of Isolated Instrument Sounds," *Music Perception: An Interdisciplinary Journal*, Vol. 30, No. 1 (September 2012), 65. https://www.jstor.org/stable/10.1525/mp.2012.30.1.49

own timbral complexity may illustrate the complexity of a film's theme, content, or emotions. My research is also informed by timbre studies, which elucidate the unique sound of the horn. I rely on both timbre materialism and timbre perception; both are pertinent, given the horn's backward-facing bell, its inherent sense of distance, and its strong cultural associations. I argue that through its embedded cultural associations and its distinct timbre, the lyrical horn solo in Hollywood film provides additional emotional cues that function as guiderails for the audience.

I build my argument through an analysis of several case studies, but my research does not offer a comprehensive review of the use of horn in Hollywood film. I have chosen Williams's music as a primary source of my research for several reasons. First, Williams's music is some of the most well-known in Hollywood. As such, one can argue that it is the music most familiar to the largest audience. It has had a tremendous impact on the cultural understanding of what comprises film music. Second, Williams has written extensively for the horn. He has acknowledged his love of the horn, and notes that "the horn stirs memories of fearful things, of powerful things, of noble and beautiful things!"[2] Third, and perhaps most importantly, Williams's career has spanned seven decades and dozens of highly successful films. His extensive output offers a rich body of work to explore that is unmistakably part of contemporary popular culture. His long career invites us to consider how lyrical horn solos in film have changed over time.

Williams is not only well-known and popular; he is also well respected by peers. Hans Zimmer has said, "it was John Williams who made me, first of all, realize that film music can be of a quality and distinction that is as great as any of the classical composers I grew up with ….

[2] John Williams, Preface to *Concerto for Horn and Orchestra* (Milwaukee: Hal Leonard/Marjer Publishing, 2003).

He serves and elevates the movie and at the same time never ever betrays his own aesthetic and his own style."[3]

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Dissertation Outline

In chapter 1, I discuss the theoretical underpinnings to my research in several sub-sections, including horns in film music, the function of film music, topic theory, and timbre studies. Chapter 2 comprises the primary substance of the dissertation; it details specific lyrical horn solos and their correlating scenes. These solos are organized chronologically and include approximately one per decade, beginning with Leonard Bernstein's *On the Waterfront* (1954) through Williams's *Lincoln* (2012). In addition to horn solos written by Williams, I examine lyrical horn solos by Leonard Bernstein, John Addison, Jerry Goldsmith, and Bill Conti. Synthesizing the approaches explored in chapter 1, I consider how each solo functions as related to the narrative and/or character development, and analyze its emotional impact. In chapter 3, I extend my argument that the horn timbre itself can evoke the same associations that an extended horn solo does: meme-like moments,[4] leitmotif treatment through the voice of the horn, and soli-section horn playing are briefly explored. I investigate the use of the horn in films by Williams as well as Randy Newman, Howard Shore, and others. I conclude with a summary of the best current answers to questions laid out at the start and acknowledge the need for additional work in this exciting area of research.

[3] Matt Schrader, *SCORE: A Film Music Documentary: The Interviews* (Epicleff Media, 2017), 124.
[4] Unlike internet memes, which are most often humorous, these meme-like moments are serious and are best understood using the original definition of the meme by Richard Dawkins. I discuss this definition in chapter 3.

The remainder of the dissertation's introduction provides an exemplary horn solo that illustrates my research focus. I propose that the voice of the horn conveys specific, intimate emotions of a character, and evokes an empathetic response from the audience.

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Character Development in "Binary Sunset"

"Binary Sunset" is one of the most popular, iconic scenes from one of the most popular, iconic films of all time. Occurring early in the first *Star Wars* film, *Star Wars Episode IV: A New Hope* (1977) by George Lucas, this scene has two primary purposes. First, it reveals the emotions of the main character, Luke Skywalker. Second, the scene connects the audience to Luke, inviting viewers to empathize with him and share his thirst for adventure. It is not only one of the best representations of my argument, but also one that is easily recognized by general audiences.

This scene epitomizes narrative film music's crucial function in character development. Of the scene, Leon Miller explains that "the main value of the binary sunset scene really lies in how powerfully and economically it develops Luke's character."[5] Although there is no action or dialogue, the audience gains tremendous insight into his personality in less than a minute. If there is no plot development or dialogue, how is his character developed?

Jeffrey High has referred to Luke as a "melancholic prince."[6] He suggests that George Lucas's famously self-labeled "space opera" follows certain operas closely in many formal ways, including through musical techniques, devices, and conventions, as well as similarities in plot, character development, and even scenery.[7] Many of these replications have been carefully

[5] Leon Miller. *The Binary Sunset*. Pop Culture Studio. 2015. https://thepopculturestudio.com/2015/06/17/anatomy-lesson-the-binary-sunset/
[6] Jeffrey High, "From Hypotext to Hypertext and (Hyper-)Space Opera: Schiller's Don Karlos, Verdi's Don Carlo, and George Lucas' Star Wars." The Germanic Review: Literature, Culture, Theory 2020, Vol. 95, No. 1, 18.
[7] High, 18.

analyzed. Yet questions remain, including how orchestration techniques and the use of instrumental timbre may also have had strong historical basis in opera. In fact, the horn sound associations can be traced even earlier than opera, to early human civilizations' use of animal horns and other signaling instruments, such as the conch shell.

The horn's associative emotions have been noticed for over 150 years. In his orchestration treatise of 1858, Berlioz defined the horn's sound as "noble and melancholic."[8] It is the scene's music that is central to Luke's character development, with the solo horn playing a prime role. Whether they were conscious of it or not, Williams and director George Lucas chose the solo horn to play the "Force" leitmotif because of its culturally embedded associations, befitting a melancholic hero.

To understand the role of the solo horn, a brief summary of the narrative and scene is necessary. The scene before "Binary Sunset" offsets it well and is important to interpreting "Binary Sunset." The audience is "looking in" as Luke converses with his aunt and uncle over dinner inside their home. Luke's Uncle Owen is demanding his continued help on the farm, Luke is frustrated and eager to leave the farm and seize his own future, and Luke's Aunt Beru is offering maternal, understanding words that also hint at both Luke's past and future.

When Luke jumps up from the table and his aunt asks him where he's going, the nascent hero replies, "Looks like I'm going nowhere" as he walks out. Aunt Beru tells her husband, "Luke's just not a farmer. He has too much of his father in him." The indoor scene concludes with Owen replying, "That's what I'm afraid of." Thus, as Luke literally and figuratively sets out on his own, many central themes are presented: fear, family, fate, frustration, and the future.

[8] Hector Berlioz, *A Treatise upon Modern Instruments and Orchestration,* 2nd ed., trans. Mary Cowden Clarke (New York: Novello, Ewer and Co., 1858), 140.

This scene cuts to “Binary Sunset.” The camera angle has changed to include an arid landscape at dusk. In the sky, two suns preparing to set are prominent. Flutes play half notes on G and D for two measures to set up the horn solo as Luke ascends from the underground home’s entrance and begins to walk toward the two suns, away from the camera. The beginning is reminiscent of an aria’s opening in an opera: a lone character prepares to reveal his thoughts and feelings. The audience is aware he is frustrated and feels trapped on the farm, but in this short scene, Luke displays his frustration further. His back is to the camera as he wrestles with his emotions and contemplates his next move. The audience infers that his angst is “boiling over” and anticipates a climax. This suspenseful moment is analogous to an opera’s angst-ridden character who paces back and forth as the orchestra sets the stage for his aria.

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The Voice of the Horn in the “Binary Sunset” Scene

The horn solo begins as he kicks a stone. Luke continues to walk toward the suns. His inner turmoil translates into physical manifestations that the audience witnesses: he kicks at a stone, swings his arms in an exaggerated manner, and heaves a despairing sigh.

Luke is literally “on the edge” of a crater. He stops and looks up at the suns setting, and beyond. This moment corresponds with the beginning of the horn solo’s second half, as the opening ascending fourth is reiterated. The camera angle changes dramatically: now the audience has a close-up view of his face. Luke stares at the two setting suns as he faces inner turmoil. The closeup camera work provides the visual equivalent; viewers look through his eyes into his soul (a common poetic and musical aesthetic device). The horn solo voices Luke’s inner emotions, as well as a primary leitmotif of the film.

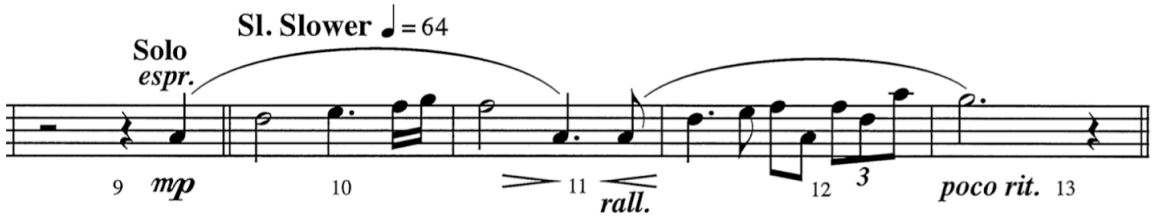

Figure 1: "Binary Sunset" horn solo from Star Wars Episode IV: A New Hope

The solo horn presents the first instance of the "Force" leitmotif, which is associated with Luke, Obi-Wan Kenobi, and the Jedi knights in general. Interestingly, the original score did not include the "Force" theme, or feature a horn solo. George Lucas asked Williams to re-score the scene and include "Ben's theme," also known as the "Force" theme.[9] When Williams re-worked the music, he included the "Force" theme as requested. But why did he select the solo horn to play this intimate moment?

The solo horn is chosen to present this first occurrence of the leitmotif for several reasons. First, the horn sound supports the leitmotif's representation of the narrative's heroes, given the horn's associations with strength, honor, heroism, and noble purpose. These are intrinsic, culturally embedded associations referenced by the horn sound.

Second, the horn sound also communicates complex emotions other than the ones represented by the leitmotif. The horn is not only a conveyer of heroism and noble purpose, but also evokes yearning, love, sadness, loss, pain, and nostalgia. These emotions are often heard in a pastoral context, particularly when the horn is a solo instrument. In "Binary Sunset," the pastoral topic is referenced in many ways, with particular focus on an individual's newly discovered self-awareness while in Nature.

[9] Conor Power, "Williams and Wagner: The Leitmotif from Valhalla to a Galaxy Far, Far Away," Diss., (Maynooth University, 2018), 10.

The horn solo is a lyrical "voice," with a distinct timbre that references age-old associations of the instrument. These associations may best be encapsulated by Berlioz's "noble and melancholic" description. The horn's "melancholic" voice fits with Luke, the "melancholic prince." The horn's voice does the work needed to develop his character.

Luke is alone. He yearns for what feels like a distant, unattainable future. While his aunt and uncle have each other, purpose, and meaning, he is isolated and un-moored. It is Luke's existentialist moment, as he stands on the precipice between the farm and the unknown. This existentialist moment carries tremendous weight, engaging the audience in a personal, intimate, and relatable emotion.

As the horn solo continues, Luke's frustration and despair are met with and overwhelmed by his resolve and character. He collects himself, momentarily looking down. Then he assumes a determined look as he again stares intently at the suns setting. At this moment, the solo horn line is answered by the entire string section. It begins with the same ascending fourth, but then the theme modifies into a series of ascending leaps. This turning point of Luke's intense emotions serves to reinforce his strength of character. His stance and facial expression convey hope and untested resolve. At a meta level, when the lone horn line playing the "Force" theme is answered by the entire orchestra, it is as if the entire audience has suddenly "joined forces" with Luke.

Third, the horn timbre evokes a more difficult to define, non-emotional dimension, the concept of distance. This distance attribute may reference spatial, temporal, or emotional distance. In this scene, the solo horn draws the audience in, bridging distance between the audience and Luke. Viewers are no longer "looking in" from an outside perspective, as they were in the previous scene, but are privy to Luke's inner thoughts and feelings. The horn solo invites the audience to empathize with Luke.

Finally, the horn sound itself is complex, and offers a good vehicle to convey Luke's complex emotions and their interlocked nature. Paradoxically, Luke is noble and heroic but also melancholic and conflicted. He is strong, but uncertain. He is full of hope, but lonely. He yearns for adventure. The complexity of the horn timbre is discussed in chapter 1.

The "Binary Sunset" scene functions as Luke's musical soliloquy. This soliloquy acts as sonic representation of Luke's inner, perhaps even subconscious emotions. Figuratively, the horn presents what Luke is unable to put into words when he was indoors with his aunt and uncle. After Luke bares all, he again descends back down into the home. His strong, complex emotions have welled up within him, finding their destination in the stars beyond the sunsets. Like horn signals of long ago, Luke's emotions are packaged and sent to the audience via the horn.

The audience may wonder what the two setting suns might signify. Perhaps the suns setting represent a fork in the road, or two paths that he must decide between, the good and the bad. How can the Force theme, which so clearly is associated with the "good" side, still have so much ambiguity nestled within it? The timbre of the horn influences the audience's perception, adding the necessary "melancholic prince" components to this iteration of the leitmotif.

The examples in chapter 2 demonstrate the horn timbre's ability to convey culturally embedded emotional responses. Before I discuss these examples, I investigate why the voice of the solo horn was chosen for these moments. My first step is to examine the function of film music, topic theory, and timbre studies, and consider how they relate to the solo horn sound.

Chapter 1

Theoretical Underpinnings: The Function of Film Music, Topic Theory, And Timbre Studies

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Chapter Introduction

This chapter details the theoretical underpinnings of my scholarship, including several subsections that examine various aspects of my study. My work is grounded in current research from multiple fields, including: 1) A critical literature review of non-diegetic Hollywood film music, horn in film, and a broad consideration of how it both informs the emotions of characters and guides the audience's response; 2) An examination of topic theory, with emphasis on the horn; and 3) An investigation of current research on timbre studies.

First, I briefly review how the horn section has developed in orchestral music and how it has been integrated into the music of Hollywood. In this section I briefly discuss the use of horns by both orchestral and film composers. Second, I consider the work of film studies scholars, including Gorbman, Prendergast, van Elferen, Wierzbicki, Sbravatti, and Chion. Next, I scrutinize topic theory, engaging with leading scholars in the field such as Ratner, Allanbrook, Huovinen and Kaila, Hatten, Monelle, and Lerner. These authors are cross-examined with horn-specific scholarship concerning topic theory from Humphries, Allanbrook, and Berenguer Caro. Finally, I add the lens of timbre studies, exploring recent scholarship from De Groot and De Leeuw, Fales, Wakefield et al, van Elferen, and Dolan. In addition, I analyze horn timbre within the context of horn-related scholarship by Shroyer, Fleming, Adler, Eerola et al, Campbell and Greated, and Thompson.

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Orchestral Origins and Hollywood Horns

The horn sound is a mainstay of the film music sound, and has been since the 1930s. The origins of its use in film begin in symphonic orchestral writing, where the horn sound is most commonly heard in a section. While Mozart most often wrote for two horns, including a high and a low horn, Beethoven expanded the horn section to include four players.

The French horn sound has been an integral part of Hollywood-based film music. The so-called golden age of Hollywood music of (1930s-1950s) employed lush, lyrical lines and rich Romantic orchestration, including a large string section. This style was used by film composers. It is more closely aligned in style to the great Romantic composers, rather than the modern era in which it was written. In addition to the style, melody, and harmony similarities, Hollywood composers also embraced orchestration aspects. The horn often plays in tandem with the strings, such as in the opening of Strauss's *Ein Heldenleben,* when the melody is played in unison by the cello section and principal horn. The horn often accompanies brass and woodwind, blending well due to its more mellow tone and timbre complexity. Many composers, including Brahms, Strauss, Wagner, and Mahler, employ horn sections and horn solos in their symphonic works, and composers such as Max Steiner, Franz Waxman, Erich Korngold, and Bernhard Herrmann carried this approach into film music. One example from this period that demonstrates this connection is Steiner's *Gone with the Wind* (1939).

Known for its sweeping melodies and main title music, Steiner's *Gone with the Wind* is an example of the iconic use of the horn during Hollywood's nascent stage. "Tara's Theme" is the most well-known of his score. Steiner utilizes the horns to great effect in this theme, which also serves as the main title music. The horns are used in two ways in the main theme. First, when the strings have the main melodic material, the horn provides an antiphonal countermelody

(a quarter triplet figure followed by a held note) reminiscent of the horn solo in the second movement of Tchaikovsky's 5th Symphony. The horn line includes the same melodic contour and triplets as this famous, extended solo. The voice of the horn answers the strings section repeatedly, handing the melody back and forth (0.23-0.50).

The second use of the horns occurs after the strings have presented the entire melody with the horn interjections. Now, the horns take the main melody while the strings play the former horn interjections (1.39-2.01). The horns again take the melody toward the end of the "Main Title" music (3:29), then pass it back to the strings. Steiner's use of the horn is well-integrated into the orchestral sound. He utilizes the horn section sound to convey the sweeping, highly Romantic melody of the theme.

In his *On Dangerous Ground* (1952), Herrmann uses eight horns to portray a violent chase sequence, something unusual for film scores of the time.[10] This scoring was one late Romantic technique taken from German composers. Wagner and Mahler were both key figure in developing late Romantic orchestration techniques. Wagner's operas have strongly influenced film music and utilize horns extensively, while Mahler is particularly well-known for his expansion of the orchestra. Mahler's symphonies often featured more than the typical four horns of earlier Romantic composers. Notably, his Symphony No. 2 calls for ten horns, though four off-stage horns (with 4 trumpets and percussion) are only used in the final movement.

This example not only demonstrates his expansion of the horn section sound, which aligns with his expansion of the orchestra, but also illustrates Mahler's use of the horn as an instrument that inherently sounds distant. In Symphony No. 2, he integrates the distance aspect of the horn into how he orchestrates, even creating an off-stage ensemble to highlight the

[10] John Caps, "Soundtracks 101: Essential Movie Music: A Listener's Guide," *Film Comment* 39, no. 6 (2003), 38.

distance effect. Mahler expanded his textural palette in a way that others before him had not yet accomplished. Although he wrote for many horns at times, he often employed the horn solo, thus creating a wide range of texture from which he could draw. Theodor Adorno describes Mahler's symphonic writing as a combination of "massive tutti effects" contrasted with "chamber-music procedures."[11] These contrasting moments were integrated into the orchestration of film music.

Further, the horn section can supply full harmony, since each of the four standard parts usually plays its own line, with only minimal octave doubling at times. Thus, the horn section is versatile and became an integral part of the Hollywood sound, extending from the golden age of Steiner, Korngold and Waxman to contemporary composers such as Hans Zimmer, John Powell, Michael Giacchino, Alan Silvestri, Steve Jablonsky, James Horner, and Brian Tyler.

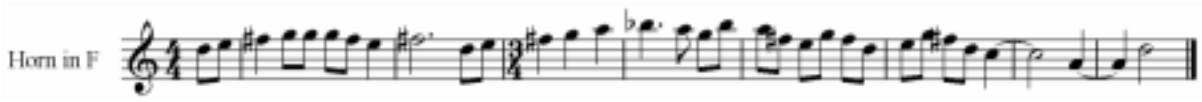
For example, Zimmer writes for eight horns in his *Batman* trilogy (2008, 2012, 2016), and his protégé John Powell writes for eight horns in *How To Train Your Dragon* (2010), often in unison or octave-unison. In Michael Giacchino's *The Incredibles* (2004), he calls for twelve horns. These horns are most often only playing either one or two individual lines; a huge amount of "doubling" is taking place as the horn players are most often in unison. The horn section has become more similar to the violin section in this regard. It is used for its powerful aggregate sound, rather than for the instrument's unique solo voice.

Like Williams, film composer Horner uses both solo horn and horn section work extensively and in different emotional contexts. For example, the horn often carries several different melodies in his scores for *Cocoon* (1985), *Field of Dreams* (1989), and *Titanic* (1997).

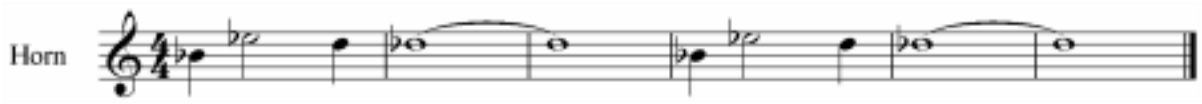
[11] Theodor Adorno, *Mahler, A Musical Physiognomy,* trans. Edmund Jephcott (University of Chicago Press, 1971), 53.

In her dissertation, which includes a case study of *Braveheart* (1995), Cindy Liu asserts that the French horn represents William Wallace, the hero:

> . . . film composers rely on the sound of the French horn in scenes that signify heroism and bravery. However, what is musically interesting about this epic is that Horner uses the sound of the French horn to stand for the "spirit of William Wallace" and applies it to this character's actions and emotions in a number of scenes throughout the film. For example, when young Wallace pleads to go to a meeting with his father, Horner calls on the French horn to show young Wallace's daring and fighting spirit with a tender and distant-sounding melody. In addition, when Wallace tells his dad that he wants to participate in the meeting, Horner wrote a melody that ascends to the French horn's high B-flat to show Wallace's aspiration. However, the melody descends with his father's rejection [Ex. 10].[12]



> Other than signifying the spirit of Wallace, the French horn also appears in contexts such as battle scenes. For example, when an English soldier molests Wallace's wife, Horner gives the French horn a four-note motive in e-flat minor to express the dangerous situation and risk of her death [Ex. 11-1]. Later, when Wallace comes in for the rescue, Horner recalls the sound of the French horn — only this time it signifies Wallace's heroic and courageous actions as he fights several English soldiers all by himself [Ex. 11-2].[13]



Horner's *Braveheart* furnishes one of the best examples of the instrument's sound being linked to a hero, like in Strauss's *Ein Heldenleben* (A Hero's Life). Liu's analysis alludes to the horn's multi-dimensional quality, demonstrating how it can be used in different ways. If the horn

[12] Yi-Hsin Cindy Liu, "The Examination of the Appearance and Use of the French Horn in Film Scores From 1977 to 2004," (DMA Diss., University of Cincinnati, 2005), 45.
[13] Liu, 46.

sound is an integral part of film music, what is the function of film music, and how does the lyrical horn solo play a role in this function?

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The Functions of Film Music

In her influential book, *Unheard Melodies: Narrative Film Music,* Claudia Gorbman considers many functions of film music and demonstrates that it is of critical importance. As she states, "we may learn more about film music through examining it in contextual systems that take history and conditions of spectatorship into account."[14] Gorbman asserts that film music both guides the audience's understanding of the narrative and provides a sense of temporality, spatiality, and emotional impact.

Gorbman explores "the ways in which music can function formally and narratively in a film" and concludes that ultimately, "music in film mediates."[15] She argues that music, unlike other aspects of the film, can function in multiple different layers, including "between levels of narration (diegetic/non-diegetic), between narrating agencies (objective/subjective narrators), between viewing time and psychological time, between points in diegetic space and time (as narrative transition)."[16] Music is flexible and cohesive, filling in gaps, providing continuity, changing the audience's perception of both narrative and time, and adding emotional information.

In addition, Gorbman makes a strong case that "the connotative values which music carries, via cultural codes and also through textual repetition and variation, in conjunction with the rest of the film's soundtrack and visuals, largely determine atmosphere, shading, expression,

[14] Claudia Gorbman, *Unheard Melodies: Narrative Film Music.* (Bloomington: Indiana University Press, 1987), 30.
[15] Gorbman, 30.
[16] Gorbman, 30.

and mood."[17] Her mention of "cultural codes" evokes John Williams's belief that the horn taps into our "collective psyche," as mentioned in the preface of his *Horn Concerto*.[18] In addition, these cultural codes may be correlated with the concept of musical topoi, discussed later.

Further, Gorbman defines eight principles of film writing. Gorbman holds up Max Steiner as the epitome of a classical Hollywood composer and outlines eight "principles of composition, mixing, and editing" required for classical film music, then discusses each one. The principles include: invisibility, inaudibility, signifier of emotion, narrative cueing (which is further delineated as referential/narrative versus connotative), continuity, unity, and finally, Gorbman's eighth principle is that any film can violate any of the principles, provided that it is in the service of the other principles."[19] Gorbman—who is not technically a musicologist, but instead has her PhD in literature and teaches film studies—thus successfully lays the groundwork for film music analysis.

Of Gorbman's eight principles, my research illustrates that the lyrical voice of the horn functions primarily as a "signifier of emotion." Horn solos often provide continuity and unity between scenes, and often function as narrative cues or replace an "inner voice" of a character in a moment of inaudibility. Roy Prendergast furthers Gorbman's research by analyzing film music's function through aesthetics.

Prendergast, in his 1992 book *Film Music: A Neglected Art: A Critical Study of Music in Films,* attempts to answer the question: "What is it, exactly, that music contributes to a film?" in his chapter, "The Aesthetics of Film Music."[20] Prendergast organizes his chapter on aesthetics

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[17] Gorbman, 30.
[18] John Williams, Preface to *Concerto for Horn and Orchestra.* (Milwaukee: Hal Leonard/Marjer Publishing, 2003).
[19] Gorbman, 30.
[20] Roy Prendergast, *Film Music: A Neglected Art: A Critical Study of Music in Films,* Second edition (New York: W.W. Norton & Company, 1992), 213.

using direct quotes from Aaron Copland. Prendergast cites a *New York Times* article written by Aaron Copland in 1949, in which Copland states that film music must "make potent through music the film's dramatic and emotional value."[21] According to Copland, and fleshed out in discussion by Prendergast, film music's role can be divided into five subcategory functions. Film music should do one or more of the following:

> 1) Music can create a more convincing atmosphere and place; 2) Music can be used to underline or create psychological refinements—the unspoken thoughts of a character or the unseen implications of a situation; 3) Music can serve as a kind of neutral background filler; 4) Music can help build a sense of continuity in a film; and 5) Music can provide the underpinning for the theatrical buildup of a scene and then round it off with a sense of finality.[22]

I consider each of these five points in relationship to my investigation of the horn's use. Although my research suggests that horns rarely serve as a neutral background filler (point 3), horns frequently provide continuity between scenes (point 4), such as the horn solo in chapter 2 from John Williams's score in *Rosewood* (1997). They also often contribute to a theatrical buildup in films, such as in the anticipatory horse race scenes in Randy Newman's score for *Seabiscuit* (2003) (point 5).

However, Copland's first two delineated functions are most pertinent to my discussion of the lyrical horn solo, with an emphasis on the second point in particular: "Music can be used to underline or create psychological refinements—the unspoken thoughts of a character or the unseen implications of a situation."[23] The lyrical horn solo most often serves in this function,

[21] Prendergast, 213.
[22] Prendergast, 213-22.
[23] Prendergast, 216.

wherein the on-screen character's inner thoughts are "heard" through the solo voice, and by extension, intended to be shared empathetically by the audience.

This research provides a framework by which to consider the emotive impact music can have on a given scene. Often, when the inner emotions of a character are the primary subject of the audience's attention, the music becomes highly introspective and is associated with a close-up of the character's face. Prendergast notes that "music can imply a psychological element far better than dialogue can" and quotes Copland who states that "music can play upon the emotions of the spectator, sometimes counterpointing the thing seen with an aural image that implies the contrary of the thing seen."[24] In the case of lyrical horn solos, the solos seem to ring true with a sense of validation; they work more as a compass to the true emotions of the character, perhaps also serving as an emotional guide for the audience. Prendergast asserts the following:

> Film music is overwhelmingly coloristic in its intention and effect. This is always true when a composer is attempting to create an atmosphere of time and place. Color is associative—bagpipes call up images of Scotland, the oboe easily suggests a pastoral scene, muted brass connotes something sinister, rock music may imply a youthful theme, and so on. Also, color is not intrusive; it does not compete with the dramatic action…. The effect of color, moreover, is *immediate,* unlike musical thematic development, which takes time…. Finally, and probably most important of all, color can be readily understood by a musically unsophisticated audience.[25]

Prendergast doesn't specifically name *timbre* or *topic theory,* yet he refers to them in this passage and notes their importance. Thus, Prendergast lays further ground-work for a discussion of aesthetics, color, timbre, and embedded cultural associations in film music.

Some twenty years after Gorbman's critical book, she published an article further defining aesthetics and rhetoric in the field. In her article, "Aesthetics and Rhetoric," Claudia

[24] Prendergast, 216.
[25] Prendergast, 213-214.

Gorbman suggests that two terms, *aesthetics* and *rhetoric*, offer different approaches to considering musical multimedia. She quotes the film composer Bernard Herrmann, who says of film music, "I feel that music on the screen can seek out and intensify the inner thoughts of the characters."[26] Many film composers have been quoted similarly. Like Prendergast, Herrmann points toward film music's function as a way into the thoughts of a character. Gorbman attempts to tease apart the subject more thoroughly.

In her article, Gorbman considers the many ways film music works in conjunction with the moving image, stating, "Music and image can never 'mean the same thing,' but we can still identify differing degrees and qualities of relationship between music and image."[27] Gorbman considers how film music augments what is happening on screen, including developing character's emotions and providing narrative continuity.[28]

To further examine narrative continuity, I consider the work of several other scholars, including Isabella van Elferen. Although van Elferen is a leading scholar in timbre studies, she has contributed significant scholarship in the field of film music as well.

In her article, "Fantasy Music: Epic Soundtracks, Magical Instruments, Musical Metaphysics Source" van Elferen argues that certain sounds are employed by composers, often with specific instruments portraying intended effects, particularly in fantasy. Beginning in the late 1970s, film music also experimented with more modern sounds, including minimalism and other techniques, often blending them with aspects of the "Golden Age" late-Romantic sound to create a new symphonism. As alien worlds and places and times that are far removed from our

[26] Claudia Gorbman, "Aesthetics and Rhetoric," *American Music*, Vol. 22, No. 1 (Spring, 2004), 18.
[27] Gorbman, 18.
[28] For further delineation of film music's role as a catalyst to audience's emotive response, please refer to Jessica Green's article, "Understanding the Score: Film Music Communicating to and Influencing the Audience." *The Journal of Aesthetic Education*, Vol. 44, No. 4 (Winter 2010), 81-94. University of Illinois Press.

current day-to-day continued to be the subjects of movies, music's function in film followed suit. As van Elferen notes:

> [Music] signifies qualities for whose description words alone are not enough, qualities that bear semblance to the otherworldly magic sometimes ascribed to music. Music suggests the possibility of another reality: a world or universe more beautiful, more harmonic, more brilliant than ours. The simple fact of its sound makes music lift the veil of the supernatural, the divine, the alien, or the occult world it originates from, making audible a fragment of that other world by traversing the time-space from then and there to here and now.[29]

Film music in the late 20th and 21st century is often used to transport the audience into the film narrative's alternate time, space, and fantasy world, and is often characterized as "epic." Not only does it sweep the audience into this new world of the film, but also film music creates the world itself, giving a new sense of time, place, and mood. Although outside of the scope of this work, this use of music can be identified hundreds of years back in Western European music.[30]

In his chapter, "Film Music in the Post-Classic Period (1958-2008) from his book *Film Music: A History,* Wierzbicki identifies several simultaneously occurring film score methodologies in the last half of the 20th century, and discusses how film composers balanced their own experimentation with their sense of inheritance from past composers. Wierzbicki examines the historical events that shaped film score writing in the context of other scholars. When he analyzes "musical meaning located in the minds of its individual perceivers," he creates a dialogue between film scholars such as Kassabian, Gorbman, Kalinak, Prendergast, Bazelon,

[29] Isabella van Elferen, "Fantasy Music: Epic Soundtracks, Magical Instruments, Musical Metaphysics Source," *Journal of the Fantastic in the Arts*, Vol. 24, No. 1 (87) (2013), International Association for the Fantastic in the Arts. https://www.jstor.org/stable/24352902, 4.

[30] For example, is remarkably similar to how music was employed in 17th-century Spanish public theater, where it often accompanied "magic plays" full of special effects.

and Rodman.[31] He refers to the way in which music triggers associations in listeners, referencing associations that the audience brings to the film.

As Wierzbicki notes, Kassabian distinguishes between original scores and compiled scores that are created from pieces or songs already written. For the former, original scores, listeners create "assimilating identifications" to the music, while compiled scores add "external associations with the songs into their engagements with the film."[32] Original scores require listeners to use their imagination, but rely on culturally embedded associations. These scholars lay the foundation for original score's reliance on already understood associations, even if they don't consider topic theory. In my research, all the horn solos are taken from original scores. The music of original scores is most often categorized as either diegetic or non-diegetic music. My next step is to consider how diegetic and non-diegetic music function differently within a film.

Wakefield, Tan, and Spackman investigate how diegetic versus non-diegetic music affects the audience's interpretation of scenes in their article, "The Effects of Diegetic and Nondiegetic Music on Viewers' Interpretations of a Film Scene." This article presents a study of college students who listened to different music while watching a film scene. The variables included two different kinds of music, including one that was congruent with the moving picture and one that was incongruent. The researchers also created variables for the viewers that changed the way in which the music was perceived, employing the same music but in a non-diegetic and diegetic manner. Next, they sought to quantify how the different music and different way in which it was heard (non-diegetically or diegetically) changed the viewers' interpretation of the

[31] James Wierzbicki, *Film Music: A History* (New York: Routledge Taylor & Francis Group, 2009), 220.
[32] Wierzbicki, 220.

scene. Non-diegetic music much more strongly affected viewers' interpretation.[33] The diegetic/non-diegetic music division is generally accepted, but Valerio Sbravatti questions whether this split is too binary in nature.

In his article, "Story-Music/Discourse-Music: Analyzing the Relationship between Placement and Function of Music in Films," Sbravatti proposes a new model to replace the dichotomy of diegetic and non-diegetic music. He cites Gorbman and other notable film critics who have exposed the problematic nature of this false dichotomy, given that film music often moves between these definitions. Perhaps most importantly for my project, Sbravatti argues two critical points: First, he contends that in film theory, the origin of the sound is often debated.[34] In some cases, the sound's source cannot be fully known. In addition, music that might first be considered non-diegetic may become diegetic. For example, originally off-screen musicians might later be revealed on-screen, raising questions about whether their initial music should be considered as non-diegetic or diegetic.

Sbravatti's second point is that "it should be clear that placement and function of music in films are two aspects that are interrelated and thus cannot be entirely separated when analyzing a film."[35] Here, Sbravatti lays the ground work for a fundamental aspect of my research. The lyrical horn solo's function cannot be fully evaluated without considering its placement in the film. In my work, I examine how the lyrical solo relates to the scene in which it is heard, and consider why the sound of the solo horn is chosen at that moment.

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[33] Elizabeth M. Wakefield, Siu-Lan Tan, and Matthew P. Spackman, "The Effects of Diegetic and Nondiegetic Music on Viewers' Interpretations of a Film Scene," (*Music Perception: An Interdisciplinary Journal*, 34, 5: 605-623), 2017.
[34] Wakefield et al, 619.
[35] Valerio Sbravatti, "Story-Music / Discourse-Music: Analyzing the Relationship between Placement and Function of Music in Films." Music and the Moving Image, Volume 9, Issue 3, (Fall 2016): 33.

Most pertinent to my research, Sbravatti explores "metadiegetic" music, or music "that emanates from a character's mind and therefore is part of the story even if it is not concretely produced therein."[36] I argue that this metadiegetic music is precisely the category that lyrical horn solos often fall into; a perfect example is Williams's "Binary Sunset" discussed in the introduction. This metadiegetic music functions both inside and outside of the story itself, affecting the audience's perception and interpretation of the scene, character, and the overall narrative. Michel Chion's work—particularly concerning the voice—provides additional valuable insights into how the horn solo voice can be thought of as an elusive, aesthetic component of film music.

The French film maker and critic Michel Chion has written extensively on film music, including an entire book dedicated to the voice, called *The Voice in Cinema.* Chion defines the book as "neither a history nor an anthology, but rather an outline for a theory of the film as sound music."[37] As film critic and the book's translator Gorbman notes, "Chion reflects on the voice as an absolutely central, though much ignored, feature of sound films."[38] Chion explores the essence of the voice heard in film, and attempts to strip away aspects of a voice that are not the actual voice. As he opens his discussion in the Prologue, "once you've eliminated everything that is not the voice itself—the body that houses it, the words it carries, the notes it sings, the traits by which it defines a speaking person, and the timbres that color it, what's left?"[39] Chion is especially interested in the disconnect between voices and the visual bodies on screen.

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[36] Sbravatti, 19.
[37] Michel Chion. *The Voice in Cinema,* trans. by Claudia Gorbman. (New York: Columbia University Press, 1999), ix.
[38] Chion, *The Voice in Cinema,* xi.
[39] Chion, 1.

Chion is especially interested in the acousmatic voice, defined as a voice that is heard off-screen, wherein the audience hears the voice but cannot see the character. As he explains, "When the acousmatic presence is a voice, and especially when this voice has not yet been visualized—that is, when we cannot yet connect it to a face—we get a special being, a kind of talking and acting shadow to which we attach the name *acousmêtre."*[40] He examines the use of this acousmêtre, arguing that the voice of the unseen most often yields more power, and is often omniscient, ominous, or both. At times, this bodiless voice is never re-united on screen with its body, while other times the audience sees the embodiment of the voice.

Chion explains that the fundamental question of whether the audience can see a sound's source is just the beginning of the complex area of voice research that most interests him. He acknowledges that much of what characterizes voice in film is rooted in historical practices, including synchronous voice taken from opera, melodrama, and vaudeville, and voiceover commentary that is employed in older arts involving narrated projections.[41] Chion intimately dissects and considers the role of the voice itself in film; an individual instrument's voice can be carefully analyzed and considered, too. Just as Chion considers how the bodiless voice wields more power (and often more menace), scholars can consider how film composers employ instrument-specific timbre to create certain emotional responses.

Chion's concepts of the acousmatic voice can inform our understanding of the "voice" of the horn, which often substitutes for the powerful inner emotions of both a character on screen as well as the inner emotions that the scene's music are expected to illicit from the audience. The addition of the voice adds an additional dimension to the audience's spatial awareness of the

[40] Chion, 21.
[41] Chion, 4.

scene; since the voice must originate from a specific location not on-screen, the audience becomes more cognizant that the on-screen visual does not encompass the entire world of the film, and therefore it creates depth.

In the case of the horn solo, this depth is not layered onto some ominous male character, as is often the case in acousmatic voices, but to the inner feelings of the character on-screen. The feeling of distance that the horn timbre creates adds to the increased three-dimensional complexity given to the character. The horn solo can be understood as always non-diegetic or metadiegetic, never diegetic; the horn is not featured as a part of the film narrative's on-screen music that is heard by those within the film. The audience understands unconsciously that this music is specifically geared toward them, and pays more attention to non-diegetic and metadiegetic music.

Now that I have considered the lyrical horn solo's role within the larger function of film music, I will examine the horn's associations. While harps are often associated with angels and peace, horns also have specific associations. In reviewing these associations in film music, the era of silent film is significant; musicians created the film's aural landscape, lending narrative continuity and emotional impact. Silent films employed the cue sheet, "a list of musical selections synchronized to the individual sequences in film."[42] The cue sheets ranged from rather general instructions ("play scary music") to quite specific ones, including referencing published anthologies of appropriate cues. For example, a cue sheet would instruct musicians to play an established piece in a particular scene that fit well thematically, "such as the bridal march from Wagner's *Lohengrin* for wedding scenes."[43] As Kathyrn Kalinak notes, these annotated lists of

[42] Kathryn Kalinak, *Settling the Score: Music and the Classical Hollywood Film* (Madison: University of Wisconsin Press, 1992), 51.
[43] Mervyn Cooke, *A History of Film Music* (New York: Cambridge University Press, 2008), 17.

musical cues were in use as early as 1909 and became more detailed; "the most sophisticated of them, thematic music cue sheets, included actual transcription of pieces from the concert hall or film music repertoire visually cued and timed to the appropriate scene."[44] The musician charged with this (often improvisatory) presentation would often be an organist or a pianist. In some cases, a small group of musicians was hired; keeping the players together, however, could be problematic.

Cue sheets are a critical part of film music's nascent stage. Silent film music provided the audience with emotional guide rails, helping viewers "feel" the scene's emotions (feel scared, feel excited, etc.) and required audience's imagination, promoting their suspension of disbelief. As such, they helped define the role of film music as a tool meant to inform the audience's emotions. I could stop here and simply acknowledge that the horn fits well into a variety of different cue sheet categories, sometimes falling in with the rest of the brass in fanfare moments, sometimes working as background, "wallpaper" instruments, etc.

Instead, the horn's associations are more integral to the instrument and have a deep, well-rooted history. I employ the lens of topic theory to investigate the culturally recognized associations of the horn. In the next section, I investigate how topic theory may be applied to the use of the horn in Hollywood film. First, a review of topic theory will prove useful.

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Defining Topic Theory

Topic theory in music discourse examines musical *topoi,* rhetorical devices that illuminate the musical aspects of a work that are emblematic, extra-sonic associations. Mathematical topic theory began in 1950, while musical topic theory was developed in the 1980s

[44] Kalinak, 51.

by Leonard Ratner. Topic theory is based on the Greek word *topos,* meaning "place" or "commonplace," and represents a traditional theme or rhetorical motif that is limited or defined by its associations.

In addition to Ratner, Wye J. Allanbrook has made important contributions to topic theory, with the former developing the theory in 1980 and the latter investigating its intricacies specifically with regard to rhythms, thus invoking the entire world of dance history, and making her work key to any historical understanding of 18th century music. While musicologists have developed topic theory within this century, it has not been fully addressed in contemporary music, including film music.

In his book, *Classic Music: Expression, Form, and Style,* Ratner defines topics as "subjects for musical discourse" that may be entire pieces or smaller function either as types or styles.[45] He explains the connection further:

> From its contacts with worship, poetry, drama, entertainment, dance, ceremony, the military, the hunt, and the life of the lower classes, music in the 18th century developed a thesaurus of *characteristic figures,* which formed a rich legacy for classic composers. Some of these figures were associated with various feelings and affections; others had a picturesque flavor …. Topics appear as fully worked-out pieces, i.e., *types,* or as figures and progressions within a piece, i.e., *styles.* The distinction between types and styles is flexible.[46]

Other scholars have also sought to define *topos,* including musicologist Robert Hatten. By defining subcategories within *topos,* Hatten creates additional structural organization to topic theory and further defines topic theory in music.

[45] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), 9.
[46] Ratner, 9.

In his book, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert*, Hatten delineates his terms carefully, defining topics as "patches of music that trigger clear associations with styles, genres, and expressive meanings," while tropes are "the interpretive synthesis of, for example, otherwise contradictory topics that are juxtaposed in a single functional location or rhetorical moment."[47] He reviews various *topoi.*

Hatten further identifies aspects which define a particular *topos,* such as the pastoral *topos* in Romantic music. Since lyrical horn solos can be best understood in the pastoral *topos* context, Hatten's perspective on this particular *topos* is pertinent to our discussion. Hatten notes that literary scholars tend to agree on certain fundamental elements that characterize the pastoral.[48] He quotes William Empson, who summarizes one of these fundamental elements as: "the pastoral process of putting the complex into the simple."[49] The horn, with all its own complexity of *topoi* and *timbre*, seems a perfect choice to do this work. Does the horn's complex sound act as a stand-in for complex emotions, and the rather simple melodic contour of the solo represent its simplification?

As Hatten reminds his readers, pastoral literature often turns "from the complexities of urban existence" toward "either lost happiness or lost innocence."[50] The pastoral in literature also often centers around the "pastoral of the self," as seen in Shakespeare and Cervantes.[51] The

[47] Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana Press, 2004), 2.
[48] Hatten, 53.
[49] Hatten, 53.
[50] Hatten, 54.
[51] Hatten, 54.

literary references move away from "the bucolic Italian concern with passion and sex to a more philosophical development of the themes of melancholy and solitude."[52] Thus, the historic focus of the pastoral is most often on the individual, who is able to find self-awareness in the quiet of Nature. As Hatten quotes Paul Robinson, Nature "became for them the medium through which the self achieved an essential wholeness … the means through which the self realized itself."[53] If I review the "Binary Sunset" example from my introduction, I see how well this solo exemplifies the pastoral *topos.* Luke can "find himself" while gazing at the two setting suns. While the lyrical horn solo presents the Force theme, his "self realized itself."

Hatten also strengthens his readers' understanding of the pastoral in literature with David E. Wellbery's scholarship on Goethe's lyric poetry. Wellbery argues that "the lyric privileges subjectivity and 'compensatory access to a bliss forever lost.'"[54] Hatten differentiates the pastoral from the idyll. In the idyll, Nature is a background or scene; but in the lyric, Nature is "conceived as a productive force."[55] Nature serves as a catalyst to self-understanding. As Hatten explains, the pastoral topic encompasses "subjectivity, inner temporality, and intimate reflection."[56] The pastoral is concerned with the self, intimate emotions, and looking within, or self-awareness.

Hatten references the scholarship of Charles Rosen[57] to support his argument and to raise an additional interesting angle: the poet and artist are expected to "show us the correspondence between the sensuous experience of Nature and the spiritual and intellectual working of the

[52] Hatten, 54.
[53] Hatten, 54.
[54] Hatten, 54.
[55] Hatten, 54.
[56] Hatten, 54.
[57] Charles Rosen was an American pianist and writer on music; he wrote several critical books on music that manage to make in-depth, scholarly engagement with music accessible to educated lay readers; most famous is his 1971 book, *The Classical Style.*

mind."[58] Thus, the inner emotional landscape and the external physical landscape become inextricably connected in the pastoral topic; one demands the other. In addition, Hatten uses Rosen to connect the spiritual and intellectual; therefore, the pastoral is not just about emotions and feelings, but also about an awakening of the intellectual and spiritual.

Hatten references William Kinderman, whose research demonstrates that "sharp musical oppositions, not only in mode, but in key, theme, topic, texture, meter, tempo and style as well" are powerful shifts in music.[59] These extreme shifts "may also suggest alternative physical spaces, and hence, by analogy, a range of disjunctive psychological states."[60] Kinderman's "disjunctive psychological states" may further our understanding of the lyrical horn solo in several ways. The pastoral topic becomes a prime venue for augmentation of character development; complex emotions are conveyed through a simple lyricism that must capture the full range of intended emotions. The lyrical horn solo supplies an extreme shift between a fuller orchestral sound and the lone horn voice, so texture is clearly in sharp contrast. In addition, as mentioned earlier, the lyrical horn's use in the pastoral topic immediately adds specific parameters, including a slower tempo, quieter dynamic, and intimate, singing style. Hatten provides further scholarship on the role of dynamics.

Like some timbre scholars, Hatten contends that dynamics play a critical role in the audience's perception of the pastoral topic. In examining Schubert's trio, D. 894, Hatten states that "the *ppp* dynamics in the trio further support the analogy of an intimate acoustic space with an inner psychological state."[61] The pastoral topic is most often associated with a "milder" mood, often presented in a softer dynamic. In addition to Hatten's work on defining the pastoral topic,

[58] Hatten, 54.
[59] Hatten, 55
[60] Hatten, 55.
[61] Hatten, 64.

Raymond Monelle has contributed to a better understanding of the pastoral topic. He has also illustrated the importance of topic theory with regard to the horn.

Like Hatten, Monelle further defines the pastoral topic. In his chapter, "The Pastoral in Music," Monelle refers back to Heinrich Christoph Koch's work from 1802. Monelle states: "In addition, Koch, speaking of classical instrumental music, distinguishes the pastorale as a separate genre from the musette and the siciliano. '*Pastorale* indicates . . . a piece of rustic, simple, but tender character, in which the singing of the idealized world of shepherds is expressed.'[62] Monelle continues, giving examples of pastorals in the Baroque period, including Vivaldi and Bach. He differentiates between the rustic and the pastoral using two, titled pieces by Vivaldi: "There are two such pieces that illustrate the difference between rustic and pastoral, between 'real' country people and ideal shepherds."[63] He demonstrates that in Vivaldi's "*Alla rustica"* (and by extension, rustic music of "real" country people in general), the music is simple, without compound meter or drones, whereas Vivaldi's "*La Pastorella"* has both compound meter and drones (and by extension, pastorals of the time were similarly designed).[64]

Monelle thoroughly discusses several other aspects of pastoral music, referencing the chorus section of one cantata, Bach's "Was mir behagt, ist nur die muntre Jagd," BWV 208 and other cantatas.[65] He argues that death has become an association with the pastoral theme as well: "The belief in heaven as the destination of human life led to an unexpected connection, that of pastoralism with death. This may bring to mind the association of Platonic love with death, the

[62] Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington: Indiana University Press, 2006), 232.
[63] Monelle, 232.
[64] Monelle, 230.
[65] Monelle, 231.

theme of the 'funerary Eros,' in modern times the *Liebestod."*[66] Monelle details several examples of Bach's works and asserts that "Bach's wind instruments often become pastoral signifiers."[67] He also identifies several uses of brass, including the woodwinds and horns as well as a pair of horns. Monelle points out an example in which a solo violin plays a critical role. He also confirms that while the oboe (oboe d'amore) and flute often are prominent instruments of the pastoral, other solo instruments are also associated with the topic.[68]

Hence, Monelle's work offers several fundamentals that lay important groundwork for my research. The pastoral topic 1) often includes reference to death and/or Platonic love; 2) is slow-paced, such as an *Adagio*; 3) includes compound meter; 4) often is signified by winds, including horns; and 5) often employs a solo instrumental voice. Additionally, the solo horn voice has precedent as part of the pastoral topic as far back as Bach.

Monelle continues his examination of the pastoral topic through the classical and Romantic period and into the 20th century, giving examples from Haydn, Brahms, Berlioz, and Nielsen. Monelle emphasizes that Hatten has done substantial scholarship on the pastoral topic in the Romantic period. As Monelle asserts, "This theorist also shows how the pastoral may be associated with the high, middle, and low styles; in this respect, the importance of the "rustic" pastoral in the nineteenth century, embodied in the associations of folksong, may be readily explained."[69] Both scholars thus acknowledge the pastoral topic's embodied associations that are rooted in cultural understanding. The pastoral topic is further explored in Neil Lerner's work, in which he examines its use in Hollywood film.

[66] Monelle, 232.
[67] Monelle, 233.
[68] Monelle, 235-36.
[69] Monelle, 245.

Neil Lerner discusses the pastoral trope in Hollywood in his article, “Copland's Music of Wide Open Spaces: Surveying the Pastoral Trope in Hollywood.” Lerner identifies Copland’s simplistic, clean, “natural,” and frequently fourth-centric style as contrasting to the Steiner-Korngold “classic Hollywood” lush, emotional and epic writing. In fact, Lerner argues that this simplicity can be better understood in the context of the musical topos of the pastoral. Like Monelle, Lerner references Koch and his definition of the “pastorale.” As he states:

> [These works] reflect the literary genre of the "pastoral," identified by critics as a work that contrasts and romanticizes the simple life with the complicated through a comparison of the rural with the urban. Such a broad definition would allow us to reconsider much of Copland's "imposed simplicity" music as pastoral in nature. A more specific musical definition of "pastoral" might begin with Leonard G. Ratner's citations of Jean-Jacques Rousseau (1768) and Heinrich Christoph Koch (1802), whose definitions of "musette" form the basis for an understanding of this topic as it functioned in the eighteenth century (and musical codes for the representation of nature date back at least as far as the late sixteenth century). These musical topoi carried considerable information of the kind sometimes dismissed as extramusical. Koch's definition of "pastorale," in addition to discussing specifically musical details, also describes it as a type of song that should express an "idealistic" or "imaginary shepherd's world" (idealische Hirtenwelt or eingebildete Schaiferwelt).

Lerner demonstrates that Copland’s pastoral style is often characterized by specific musical devices, including “the drone-like pedal created by the repetition in the bass; the simplicity of the treble melodies; the flute and English horn timbres; and the sparseness of the texture.”[70] Copland’s style represents “the American heartland,” the simple life, and a connection with nature. Lerner compares Copland not only to his contemporary film composers but also to Mahler. After describing Copland’s simple, clean style with several musical examples drawn

[70] Neil Lerner, “Copland's Music of Wide Open Spaces: Surveying the Pastoral Trope in Hollywood,” *The Musical Quarterly*, Vol. 85, No. 3 (2001), 491.

from early films by Copland, Lerner delineates how composers such as James Horner continued employing Copland's light style in films such as *Field of Dreams* and *Apollo 13*.

Further, Lerner considers the utilization of Copland's music in popular media, especially in advertisements directed at influencing consumer's beef purchase. This article demonstrates how musical topoi and their references may be manipulated. In addition, as indicated in the above quote, Lerner points to instrumental timbre as a significant component of creating the "pastoral" musical topos.[71] His work thus lays the groundwork for additional exploration of how timbre fits into the pastoral topos of Hollywood. Perhaps the horn voice evokes the lone, imaginary shepherd who faces his own inner self in simple pastures.

This specific lyrical horn solo *topos* has its origins in the pastoral *topos,* versus the hunting horn and fanfare origins. This pastoral *topos* is associated with the more mellow, softer and woodwind-like quality of the horn, rather than the brighter, brassier sound. However, the more brilliant and heroic side of the horn's nature may be an implicit part of the sound itself. This line of thinking leads me to my next area of research. What musical *topoi* are inextricably linked to the horn and its sound, or timbre?

***

Topic Theory and Historical Horns

In the 2003 dedicatory preface for his *Concerto for Horn and Orchestra,* John Williams asserts that "the horn stirs memories of fearful things, of powerful things, of noble and beautiful things!" In the program notes for the piece's premiere, Williams first explains his connection with the French horn itself: "When I've tried to analyze my lifelong love of the French horn, I've

[71] Lerner, 491.

had to conclude that it's mainly because of the horn's capacity to stir memories of antiquity. The very sound of the French horn conjures images stored in the collective psyche. It's an instrument that invites us to 'dream backward to the ancient time.'"[72] Let us consider the use of the horn, then, in these "ancient times."

The ancestors of the modern French horn are several instruments that can be collectively thought of as natural (valveless) horns. These ancient types of horns were used primarily as signaling instruments, often for rituals, communicating over a long distance, or in times of war. Prior to the 18th century, European societies developed various brass instruments, many of which continued in these traditions, including coach horns and post horns, used to notify town residents of the arrival and departure of coaches carrying the post, or mail.

The parforce horn and the cor de chasse or hunting horn also took on the role of presenting a fanfare, but developed a set of messages that were conveyed through specific melodic material. For example, a hunting group would send a call to another hunting group, such as series of long, low and repeated notes, which indicated that the dogs were off the fox chase. The historical uses of the horn are thoroughly integrated into the outdoors, the hunt, and the coming and going of carriages and news. Indeed, the horn call of an ascending 5th as a "messenger of news" was even incorporated into a cell phone ring when companies first began to create new ring tones. The hunting horn and the post horns are the two historical horns most similar to the natural horn.

[72] John Williams, Preface to *Concerto for Horn and Orchestra.* (Milwaukee: Hal Leonard/Marjer Publishing, 2003).

Thus, following in the proverbial footsteps of the natural horn, modern horns are often associated with a wide range of historical uses: their ancestors, the outdoor hunting horns, of which there were various styles; horn calls or fanfares, typically constructed as a tonic-dominant or dominant-tonic harmonic gesture; and the post-horn, which signaled the arrival and departure of the mail coach. Modern horns continue this "signaling" function, often being used to announce new moments. These historical gestures exist both in the melodic and harmonic dimensions of music can be understood as the primary *topoi* of the horn: signaling, horn calls, hunting horn calls, and fanfares. Affective associations with signals might include surprise, alarm, hope, or despair, while hunting horn calls may suggest bravery, nobility, and masculinity associated with the hunt. Fanfares connect with a more declamatory and celebratory emotion, such as anticipation or enthusiasm, wherein success is achieved or a new possibility is presented.

Audiences—both then and now— identify the horn with these historically based musical *topoi*. These each existed as a "sonic symbol," evoking additional meanings. Thus, in the same way that a leitmotif functions to identify a character, place, or emotion, and musical *topoi* conjure specific associations, the timbre of the solo horn can be thought of as its own *topos*, replete with its own, complex emotional connotations.

Composers in the 18th century used musical *topoi* of the horn. The historical uses of the horn resulted in a set of associations of the instrument, which are still widely heard today. This section provides a foundation of how early horn writing shaped its associative themes, which have become embedded in the sound of the horn through this concept of musical *topoi*. I identify musical *topoi* inextricably linked to the horn and its timbre.

The horn can trace its history to well before brass instruments were being designed. In addition to singing and drumming, humans first created musical sounds by blowing air through an embouchure into animal horns and conch the shells. The concept of creating a new sound through these materials has origins in many ancient cultures. It has produced multiple instruments such as the horagai (large conch shell) of the ancient Japanese, the shofar of the ancient Jews, the Australian didgeridoo, the African vuvuzela, and South American Erkencho.

Clockwise from top left: two Japanese Horagai or conch shells, with silver mouthpiece added, Jewish shofar, Australian didgeridoo, South American Erkencho, which is an early example of a horn being used as an early woodwind instrument (reed added), and the African vuvuzela

Figure 2: Examples of ancient horns from various cultures

Like the hunting horn and the post horns, natural horns were at first used primarily to produce only pitches that were naturally produced on the overtone series of the instrument. These would often include an octave, a fifth, and a fourth, with the overtone series continuing to produce smaller and smaller intervals as one continued moving up the partial series. Therefore, hunting horn or post horn signals were typically comprised of these intervallic leaps between the tonic, dominant, and predominant. The natural horn continued in this tradition, but in the 1700s "color tones" developed, as musicians and composers realized that they could alter the pitch of the sounding partial series by changing the position of their right hand in the bell. They realized that they could play all the notes of a scale, depending on where they placed their right hand. A complex system of hand positions developed, including open, closed, half and ¾ closed, and the hand completely out of the bell.

Haydn, Timbre, and Topoi

In the 18th century composers such as Josef Haydn wrote significantly in the instrumental genre, such as chamber music and orchestral music, which focused on instrumental music rather than the prior focus on sacred and secular vocal music. In her article "Haydn, Hoffman, and the Opera of Instruments," Emily Dolan considers the notion that Haydn developed the genre of the symphony based on the concept of the opera. Using the late symphonic works of Haydn as her primary focus, Dolan proposes that the operatic grounding of the new symphony writing marks this time period as not the rise of instrumental music, but rather "the rise of the orchestra."[73] In particular, Dolan demonstrates the importance of Haydn's orchestration, which she characterizes

[73] Emily I. Dolan, "Haydn, Hoffman, and the Opera of Instruments." *Studia Musicologica,* Vol. 51, No. 3/4, HAYDN 2009: A BICENTENARY CONFERENCE PART II (September 2010), 325.

as a key aspect of his writing, in part because of his sensitivity to the timbre of instruments.[74] Dolan thus proposes a new understanding of Haydn's work: Not only does she demonstrate that symphonic works develop on the shoulders of opera, but she also suggests that Haydn's opus literally highlights the unique timbres of different instruments. Haydn gives voice to instruments, providing textural and timbral nuances in his writing that are instrument-specific. Specific instruments, then, become a critical component of music in Haydn's music, worthy of further analytical study by musicologists. For example, given Dolan's scholarship, could an argument be made that Haydn begins to map operatic characters onto the "voices" of certain orchestral instruments? Does the flute voice merge with the soprano diva, and lower-voiced instruments such as the trombone and double bass stand in for the often nefarious bass-baritone or basso profundo?

Haydn was one of the most well-established composers of the 18th century who wrote substantial horn music, including both solo work and orchestral horn parts. In *The Early Horn: A Practical Guide,* John Humphries provides a comprehensive yet concise book about the early horn, covering historical information concerning some of the earliest horn players in the early 18th century as well as the more well-known players, Leutgeb and Punto. According to Humphries, Haydn's first horn concerto was written shortly after his employment began at the Esterhazy estate in 1762, and his second was written in 1781. Haydn wrote several works for solo horn, including at least one horn concerto, one concerto for two horns, and two to three other possible works, which scholars now believe may be attributed to his brother Michael instead. However, regardless of these solo works' author, there is clear evidence that Haydn wrote more—and more complex-- horn parts in his symphonic works as the Esterhazy estate

[74] Dolan, 327.

employed more virtuosi horn players.[75] These included the two hornists Johannes Knoblauch and Thaddäus Steinmüller, who were joined first by Carl Franz and then Franz Reiner as well. Subsequently, Haydn wrote two works for four horns, including Symphony no. 72 in D and a Cassation for four concertante horns and strings. Years later, when he again had four horns at his disposal, he wrote for four horns, with the "Hornsignal" symphony, no. 31 in D.[76] Although Beethoven has been cited as one of the primary composers to add horns to the orchestral setting, from two to four, Haydn had already experimented with the larger horn section decades earlier.

Haydn's use of the horn is significant to our discussion of horn *topoi* for several reasons. First, Haydn-- along with other approximate contemporaries such as Telemann, Cherubini, and Forster-- maintained horns as a viable musical instrument worthy of orchestral and even soloistic playing. Second, since he was well-established and well-connected, his music continued to be played throughout Europe. Third, his prominent use of the horn as an orchestral instrument probably influenced Mozart, who also wrote extensively for the horn and, of course, was and continues to be a very well-known and often-performed composer.

Mozart's Topoi in his Horn Concertos

Horn players are grateful to the virtuosic horn player Josef Leutgeb, for whom Mozart wrote his four horn concerti. While there is ample evidence that Mozart enjoyed taunting Leutgeb, including many snide and playful jabs written in the horn parts of the concertos, Mozart respected and valued the prominent Vienna musician's abilities. Each of Mozart's concertos is riddled with horn fanfares.

[75] Humphries, 13.
[76] Humphries, 13.

In her "Interpretation of Mozart Concertos with an Historical View," Mónica Berenguer Caro identifies the following great examples of calls in Mozart's horn concerti. Although she doesn't mention it in her thesis, each of these examples marks the first entrance of the horn soloist in the movement. Thus, these are the quintessential *topoi* of "fanfare" hunting horn calls, all of which open with the classic dominant to tonic ascending fourth. Below, I include two examples, but each of the four concertos includes similar writing.

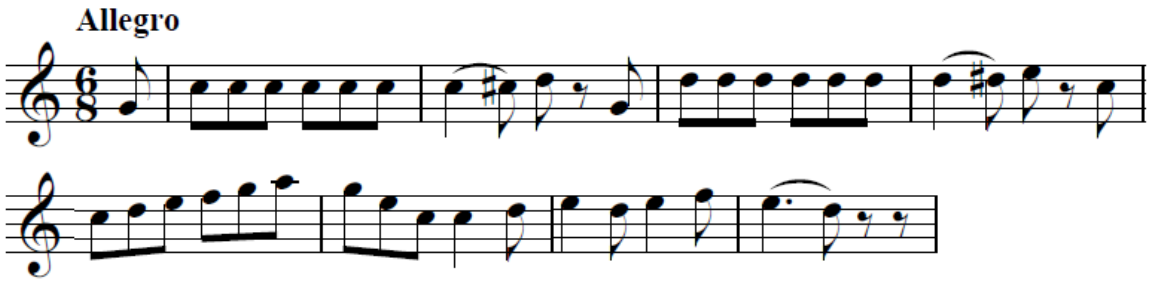

Figure 3: Mozart's No.3 K.447 concerto in E-flat Major, 3rd movement

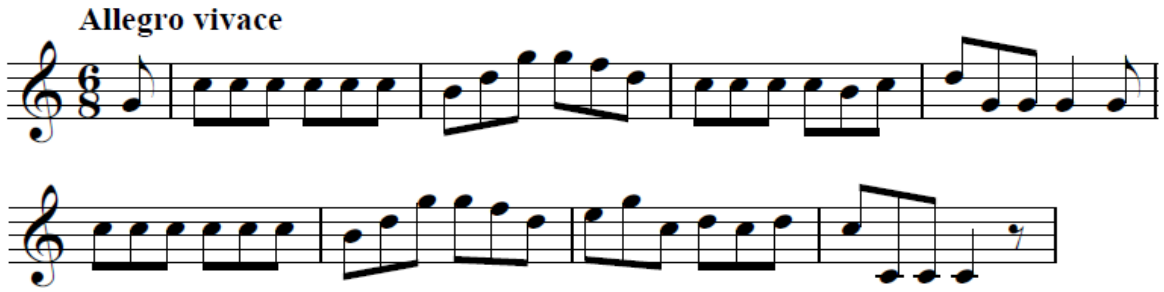

Figure 4: Mozart's No. 4 K.495 concerto in E-flat Major, 3rd movement

This use of a classic musical *topos*—that of the horn call-- in Mozart's horn concerti can be further understood by considering Wye J. Allanbrook's analysis of Mozart's *topoi.* As Allanbrook explains in the introduction to *Rhythmic Gesture in Mozart*, Mozart utilized a set of musical devices that provided additional understanding for his listeners. She describes the process in detail:

> [Mozart uses] an expressive vocabulary, a collection in music of what in the theory of rhetoric are called *topoi,* or topics for formal discourse. He held it in common with his audience, and used it in his operas with the skill of a master craftsman. This vocabulary, when captured and categorized, provides a tool for analysis which can mediate between the operas and our individual responses to them, supplying independent information about the expressive content of the arias and ensembles. For in it music and words about music are united; each musical topos has associations both natural and historical, which can be expressed in words, and which were tacitly shared by the eighteenth-century audience. Because of their connections with certain universal habits of human behavior, these topoi are also largely in the possession of the opera-going audience today, although modern listeners may not be aware of the source of their particular perceptions.[77]

Allanbrook argues that Mozart and his audience have an additional "expressive vocabulary" that is grounded in the musical gestures he uses: these gestures create an additional, multi-dimensional depth to the music itself, creating context, meaning, and substance to the music. Although her work is primarily concerned with how Mozart achieves this added dimension through *topoi* in opera, I suggest that Mozart also employed *topoi* for his audience's appreciation and enjoyment of his horn concertos. Further research may illuminate how Mozart included *topoi* in his horn concerti, as well as other his concerti for other instruments.

In addition, Allanbrook's work on what comprises *topoi* provides new perspective on this subject. She examines how the concept of sublimity can be considered a musical *topos* in 18th century music in her article titled "Is the Sublime A Musical Topos?" She begins by questioning the fervor with which many musicologists have considered the idea of the sublime in the 18th century, then goes on to further question the way the Kantian notion of *topos* relates to music. She argues against ETA Hoffman's teleological assertion, presented in his 1810 review of

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[77] Wye J. Allanbrook, *Rhythmic Gesture in Mozart* (Chicago University Press, 1983), (ebook location: 92 of 8738).

Beethoven's Fifth Symphony, that Mozart and Haydn are "the first romantics," and proposes a new understanding based on her re-interpretation of Mozart's Jupiter.[78] Of Jupiter's finale, she contends: "This ending is not an *in*vocation of the infinite, but an *e*vocation of operatic closure" and correlates it with the ending of *Figaro*.[79] In the end, she suggests that the "sublime" might be a meta *topos* that takes the place of all other *topoi.* While this line of questioning raises huge questions that I will not attempt to answer, it also raises a relevant point to my research. Namely, what limits do we place on *topoi* of any kind? If musical intervals, melodic gestures, rhythmic snippets, and the sublime itself all qualify as *topos,* why not the timbre of the horn?

Although Mozart has incorporated these musical *topoi* into his horn concerti, I suggest that he has also maintained his own lyrical writing style within these pieces, proving that the horn is not only an instrument of fanfares and hunting calls, but is also worthy of sensitive, lyrical lines. These are most often presented in his first and second movements of the horn concertos, but he also includes them in the otherwise rather rambunctious and rollicking third movements, which as you may have guessed also have the highest concentration of horn call *topoi* embedded in them. These lyrical melodies are written for virtuosic horn players who are highly skilled at using the color tones that refined right hand technique achieves. This writing is fundamentally different than Mozart's other horn writing, which often only employs notes attainable on an open horn, i.e., much of Mozart's symphonic horn writing is primarily tonic-dominant prominent and functions more like timpani than as a wind instrument.

[78] Wye J. Allanbrook, "Is the Sublime A Musical Topos?" *Eighteenth-Century Music* 7/2 (Cambridge University Press, 2010), 5.
[79] Allanbrook, "Sublime," 6.

Although there are many to choose from, here is one example of Mozart's graceful, lyrical style, which is in stark contrast to the previous horn *topoi* presented above. However, it still employs the same initial dominant to tonic ascending fourth.

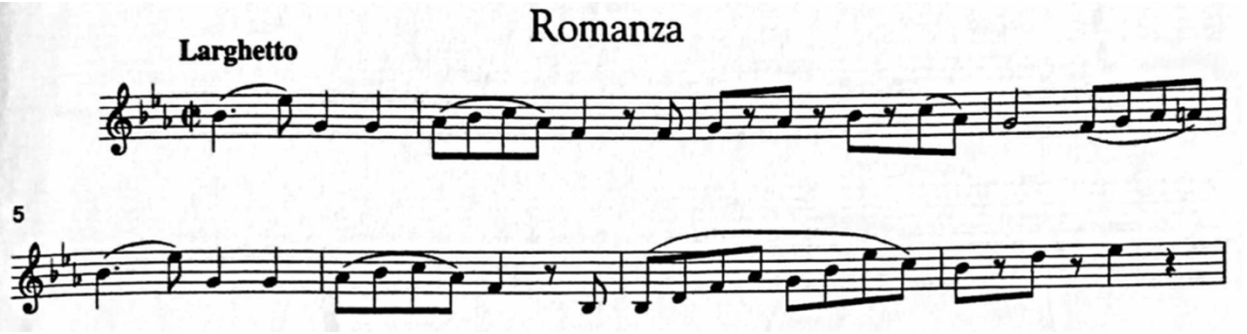

Figure 5: Mozart's No.3 K.447 concerto in E-flat Major, second movement

In his article, "On the Relation of Musical *Topoi* to Formal Function," William E. Caplin attempts to ascertain whether specific *topoi* are always present in certain sections of a piece, and if there is an order to their appearance. Although he acknowledges that "the theory of musical *topoi* (or topics) has emerged in recent decades as a powerful tool for the analysis of musical expression within tonal repertories," he also asserts that "I find the link between topic and form rather tenuous."[80] Caplin argues that *topoi* can exist and recur throughout a piece.

In fact, Caplin believes that musical *topoi* are not necessarily bound to a specific part of a piece; they can occur at the beginning, middle, or end, and are highly fluid. He uses the horn call *topos* to demonstrate the ease with which it can be deployed in various parts of a piece. Although it is normally associated with announcements and opening gestures, "this topic brings with it a

[80] William E. Caplin, "On the Relation of Musical *Topoi* to Formal Function," *Eighteenth-Century Music* 2/1 (Cambridge University Press, 2005), 1-2.

distinctly more active harmonic environment, the motion from tonic to dominant and back again to tonic. As a result, the horn call adapts itself easily to a variety of other functions, including both cadential and post-cadential."[81]

Caplin also discusses the prevalence of the horn fifth *topos,* which again is often either an opening or departing gesture. He references the musicologist Kofi Agawu, who has stated that horn signals "have a dual, somewhat paradoxical signification in eighteenth-century music. Although they are often heard as signifiers of beginnings or as curtain-raisers, they also function frequently as parting signals – that is, as signifiers of ending.'"[82] Caplin suggests that "such dual potential probably arises from the fact that, like the fanfare, a horn call can either ascend or descend, the first being appropriate to initiation and the second to closure."[83]

But I disagree that these are paradoxical gestures. The collective, historical *topoi* of the horn explain this "paradox." We can remember that horn calls are inextricably linked to the post horn calls, which would signal both the arrival and departure of the mail carriage, and hunting horn calls, which would also be used to send diametrically opposed signals, depending on what was called for in a given moment. This dual nature is merely encompassing the historical nature of the horn-related *topoi.* Caplin concludes: "Even if the relation of *topoi* to form is ultimately a fragile one, this in no way invalidates the potential that topics may have within their primary function as bearers of conventionalized musical meaning."[84] He argues that understanding the formal structure of pieces and how they may or may not influence or be influenced by *topoi* is in

[81] Caplin, 6.
[82] Caplin, 7-8.
[83] Caplin, 8.
[84] Caplin, 12.

itself an interesting exploration of these two distinct methods of analysis. Thus, *topoi,* even if they are not fully understood, still function viably.

These lines of inquiry regarding the horn-related *topoi* yield very interesting new approaches to much of Mozart's music. For example, in his article titled "Mozart's Parting Gifts," Leonard Ratner explores the miniature "codas" or endings of Mozart's writing style, often very short "tags," which I think of as that last turn-around for one final wave after an official farewell has taken place. These endings are superfluous to the cadential ending, yet they somehow round it out in a way that is more satisfying to the listener. Given that there are several horn *topoi* that by their nature fit easily into and around cadential gestures, how might that further influence the audience's perception that the horn timbre itself is one clue that the piece is reaching a distinct closure? We might also question how *topoi* have become more collectively understood by audiences, if the *topos* of timbre, harmonic progression, and pitch intervals are all taken together and integrated.

Further research can explore the many different angles of the horn's multi-faceted *topoi*, including how the horn timbre may evoke a different set of extramusical associations in today's audience than it did in Mozart's audience, and whether the horn *topos* can then be said to have taken on new meanings with its new audience. In the section below, I review recent work in timbre studies and apply these studies to the horn.

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Timbre Studies

One of the defining aspects of any solo voice—and perhaps especially the horn's—is its unique sound, or timbre. As authors Ton De Leeuw and Rokus De Groot explain in their article

"Timbre," the art of orchestration changed quickly in the 19th and 20th centuries as composers and audiences realized the immense color palette of the orchestra and its ability to express emotions: "Precisely because the romantics wished to attach a subjective-emotional value to timbre, great craftsmanship was required to master these new resources, even though the superficial observer may sometimes be inclined to assume the opposite."[85] As the authors suggest, the sound of both smaller and larger orchestras begin to migrate toward a less blended, more differentiated sound in the early 1900s. In contrast to the earlier writing style, which sought to produce a high degree of blend and included significant triadic structure and doubling, "the new way of writing was essentially more linear, with a preference for sharply drawn lines, and therefore more solo parts and less doubling."[86] Much of this change can be found in the writing style of Haydn, whose later works move away from his earlier works' blended nature in favor of a more differentiated structure that highlights soloistic voices.

Further, differentiation of timbre became manifest through greater motivic distribution. All this, plus the considerably more complicated simultaneity, gave rise to a new range of sound."[87] While early film composers did not incorporate this writing technique, later composers such as Williams included this more independent-line writing, while still embracing much of the older style; thus, he is associated with "new symphonism."[88] Other film composers who wrote in the Golden Age style but added new elements included Alex North, Jerry Goldsmith, Elmer Bernstein, and James Horner.[89]

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[85] Ton De Leeuw and Rokus De Groot, "Timbre," In *Music of the Twentieth Century: A Study of Its Elements and Structure*, (Amsterdam: Amsterdam University Press, 2005), 97.
[86] De Leeuw and De Groot, 99.
[87] De Leeuw and De Groot, 97.
[88] Mervyn Cooke, *A History of Film Music* (New York: Cambridge University Press, 2008), 456.
[89] Readers interested in the history of film music may want to consult Mervyn Cooke's *A History of Film Music* and Roger Hickman's *Reel Music: Exploring 100 Years of Film Music,* 2nd edition.

De Leeuw and De Groot follow the development of orchestral timbre use, demonstrating a shift in how composers used timbre and citing specific examples from Mahler and Webern to Varèse, Antheil, and Cage. Many of their examples include the use of the orchestral horns, although they fail to mention several times when the score indicates that the horns are muted, which significantly impacts the horn's timbre. Stopped horn also changes the timbre drastically. I do not address muted and stopped horn, as these two techniques are not often included in the voice of the solo horn.

In their article, De Leeuw and De Groot analyze the use of instrument-specific timbre in *Das Lied von der Erde* by Mahler. In particular, they consider how different instrumental timbres are combined in different sections. They refer to the addition of other instruments to a specific solo as "colouristic counterpoint," in which a solo instrument is joined by other instruments.[90] This counterpoint can also be heard in Mahler's symphonic works, and is prevalent in many of Williams's more poignant works, such as *Schindler's List* and *Lincoln.* This technique is in contrast to Steiner's *Gone With the Wind,* because Steiner hands the melody back and forth between the strings and the horn section, while Williams, like Mahler, employs individual solo lines that are then joined by other solo instrumental lines.

Finally, the authors hint at how technology is tearing asunder instruments and their associated timbre-- what has until now been an integral part of the unique voice of each instrument. "Electronic procedures confronted composers with quite a new aspect: the timbre itself could be 'composed' and was no longer dependent on *a priori* existing instruments."[91] This

[90] De Leeuw and De Groot, 100.
[91] De Leeuw and De Groot, 115.

infiltration of the synthesizer has impacted Hollywood film music significantly, and may impact how instruments function in future scores.

While De Leeuw and De Groot raise several relevant discussion points pertaining to lyrical horn solos, other scholars have made important contributions to the field of timbre; the aforementioned authors Wakefield et al identify timbre as a significant marker of non-diegetic music. These authors have already established that audiences recognize non-diegetic music as specifically directed toward them, and use it to guide their emotional interpretation of scenes.

As Wakefield et al argue, the most essential aspects that correlate with viewer's interpretation of whether the music is diegetic or non-diegetic is its timbre and its dynamic (loud or soft). Music that is perceived as diegetic, such as music played over a loudspeaker at a crowded mall, was much less relevant to viewers' interpretation of the scene, perceived as more incidental, whereas non-diegetic music was given much more weight in their interpretation of the scene. As they explain below, listeners are especially sensitive to these attributes:

> Loudness and timbre—the primary cues signaling to participants that the music was diegetic or nondiegetic in this particular scene—have both been shown to influence listeners' perceptions of emotion in music (e.g., see Juslin & Timmers, 2010; Le Groux & Verschure, 2012). Specifically, many studies point to loudness as an important variable in both emotion expression and emotion induction in the context of music (e.g., Gabrielsson & Lindstrom, 2010; Juslin & Timmers, 2010). Whereas loudness expresses anger, softness is associated with sadness, tenderness, and fear (Juslin, 1997) . . .. Listeners are also particularly sensitive to timbre (encompassing attack time, spectral energy distribution, and spectral flux) as a cue for emotion in music, and can detect subtle changes in emotional expression in the timbre of single notes.[92]

[92] Wakefield et al, 619.

As Wakefield et al summarize, "Even fine differences in loudness and nuances in timbre may influence the perceived emotion of a piece of music."[93] The article strengthens the notion that audiences have developed a keen sense of non-diegetic music's importance. Whether they are consciously attuned to it, audiences use non-diegetic music to interpret the scene's intended emotions, and the specific dynamic and timbre differences further delineate their perception of which emotions are intended. The authors directly address the importance of timbre, stressing its role as a "a cue for emotion in music."[94] Given its importance in non-diegetic film music, further investigation within timbre studies is necessary.

In her ground-breaking article, titled "The Paradox of Timbre," Cornelia Fales argues that while listeners have a general understanding of timbre— as she puts it, most audience members don't have trouble identifying which instrument is playing— there currently is a dearth of academic vocabulary designed to quantify or describe timbre. Fales contends that timbre not only carries the most information about its source, but also about the environment through which the sound has traveled.[95] As she states, "the paradox emerges with the observation that while timbre is a dimension of central importance to identifying sources, it is also the dimension that is most divergent from the sound in the physical world."[96] Her work addresses both the acoustical aspects and the perceptual aspects of timbre. She asserts that "timbre is a slippery concept and a slippery percept,"[97] and believes that most listeners do not afford it enough attention:

> To the general listener, pitch and loudness are variable characteristics of sound, timbre is a condition; pitch and loudness are things a sound does, timbre is what a sound is. Given that timbre is critical to human contact with the environment and a sonic dimension we

[93] Wakefield et al, 619.
[94] Wakefield et al, 619.
[95] Cornelia Fales, "The Paradox of Timbre," *Ethnomusicology*, Vol. 46, No. 1. (2002), 57.
[96] Fales, "The Paradox," 58.
[97] Fales, "The Paradox," 58.

> track with peculiar sensitivity, given that timbre is routinely cited as one of the four parameters of sound, the fact that it attracts so little attention- becomes itself part of the mystery: timbre seems to do its considerable work with secretive discretion.[98]

Fales grounds her work in recent scientific research of timbre perception, and in her article proposes to define timbre, or "map out a neglected area of the musical experience."[99] I agree, and believe that horn timbre, in particular, represents unique challenges in its quantification, discussed later in this chapter. The ineffable essence of timbre described by Fales in "The Paradox of Timbre" is further explored by van Elferen.

Much like Fales, van Elferen attempts to categorize the complex and elusive characteristics that define timbre in this *Oxford Handbook* entry, including extensive discussion of the paradox of timbre. As she notes:

> Timbre is both an unstable object and an ungraspable Kantian thing-in-itself: in fact, it resides in the space between those opposites. A theory of timbre, therefore, has to be inclusive rather than dualist: tone color bridges the gap between material origins and immaterial effects of musical sonority, and with that, the gap between the realism and the idealism informing music epistemological debates."[100]

Timbre is a complex musical characteristic that functions in both the real world of sound creation/origin and also provides listeners with a less concrete, more abstract notion of the music, often providing primary context information, including musical genre or era.[101] Van Elferen discusses the complexities of the definition, including timbral embodiment and timbral signification. Scholars are still studying the complex concept of timbre, and gradually stretching what we may perceive as the limits of our concept of timbre.

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[98] Fales, "The Paradox," 58.
[99] Fales, "The Paradox," 58.
[100] Isabella van Elferen, "Timbrality: The Vibrant Aesthetics of Tone Color," The Oxford Handbook of Timbre, Ed. Emily I. Dolan and Alexander Rehding (2018), 1.
[101] van Elferen, "Timbrality," 5.

Additionally, in her article, "Fantasy Music: Epic Soundtracks, Magical Instruments, Musical Metaphysics Source," van Elferen argues that timbre is a part of Western music's aesthetics that transports audiences into a fantasy world. She elaborates on Fales's idea that timbre creates a "disjuncture between acoustic and perceived worlds,"[102] within the context of magical and fantastical film. Van Elferen's article demonstrates a strong parallel between Wagner and epic soundtracks, such as Shore's *The Lord of the Rings* and Williams's *Star Wars* scores and provides further foundation to my research. It asserts that despite its slippery nature, timbre has a critical function within film music specifically. Her scholarship incorporates Fales's timbre studies and places it in the context of film music.

Despite significant recent research, scholars agree that timbre remains one of the most elusive aspects of music. As van Elferen notes in her new book, *Timbre: Paradox, Materialism, Vibrational Aesthetics,* "the more you know about timbre, the more you are aware that it is ungraspable."[103] Timbre is not easily extricated from any other dimension of music; in fact, as she suggests, it is the most basic essence of music. As such, it functions both in a very physical sense, and in a perceptive sense, hence the bifurcation of timbre materialism and perception studies. However, she argues that these two fields of study must be considered together to make sense of timbre:

> Timbre occupies a specific place in the vibrant im/ materiality of music. With its sonic energy distributed across the two domains, timbre has the potential to exert its vital agency across the entire vibrational continuum. More than other musical agents such as melody, rhythm and harmony, timbre's vitality is particularly affective both in the most intense materialities (of bodies, instruments and sound technology) on the one hand, and the most intense immaterialities (of excess and lack, the sublime and the ineffable) on the other. While bridging the dichotomies that constitute timbral binarism, thus, a musical

[102] Fales, "Paradox," 92.
[103] Isabella van Elferen, *Timbre: Paradox, Materialism, Vibrational Aesthetics* (New York: Bloomsbury Academic, 2020), Ebook: 151.

> vital materialist approach to timbre also affords an engagement with the larger epistemological question of the materiality and immateriality of music.[104]

This scholarship on timbre perception or timbre materialism has contributed to our understanding of timbre, but for a more thorough understanding of its true character, more research is needed that integrates these sides of the "coin" that is timbre. Despite recent research, timbre remains an elusive trait whose very components are not yet fully understood.

In addition to her 2002 "Paradox," Fales discusses the concept of "voiceness," which as she illustrates is already actively researched by scientists, along with the concept of "faceness."[105] She discusses the different ways in which instruments can resemble the voice, from the more obvious to the more obscure ways. As she notes: "Unlike many other instruments, the voice is capable of immense timbral variation, and the magnitude of difference across individual voices can be as great as the difference between instrument classes."[106]

While Fales focuses her studies on non-Western European instruments, she points out that the violin and cello frequently referenced as having sounds that emulate the voice.[107] She explains that the solo violin and the human voice have remarkably similar spectrographs, with similar formants, which is one of the ways an instrument can have "voiceness."[108] According to Fales, she specifies that formants "refer to a spectral prominence in a specific frequency range that contributes to a particularly vocal quality in an instrument's timbre."[109]

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[104] van Elferen, *Timbre,* Ebook 327.
[105] Cornelia Fales, "Voiceness in Musical Instruments," *The Oxford Handbook of Voice Studies.* Edited by Nina Sun Eidsheim and Katherine Meizel (2019), 4.
[106] Fales, "Voiceness," 1.
[107] Fales, "Voiceness," 23.
[108] Fales, "Voiceness," 9.
[109] Fales, "Voiceness," 4.

But Fales contends that while this similar spectrograph is perhaps the easiest method to recognize instrument "voiceness," there are other methods to examine. She cites several recent scientific discoveries that have indicated that "faceness" and "voiceness" are given high priority due to their importance to our survival, making humans especially perceptive in regard to both.[110] In other words, humans are hard-wired to be particularly discerning when it comes to recognizing faces and voices. She connects this research with timbre studies, and considers how humans' hard-wiring to recognize voices easily affects their perception of voice-like instruments. In my research, the oboe is one of the most used "voices" in film music solos.

Further, Fales notes that as a general rule, instruments that use softer materials are often more likely to be thought of as having instrumental voiceness (the horn, then, is an exception to this rule). She illustrates components that create "voiceness," including formants that relate to how many vibrating chambers exist, overlapping overtones on spectrographs, and other aspects that correlate with vocal abilities, such as wind instruments that must account for air capacity.[111]

Although her examples are instruments from several non-Western cultures, I believe that many of the components that she argues create an instrument's "voiceness" could be applied to the horn. The horn can be considered an instrument with a voice in part because it is a wind instrument. However, Fales details other ways in which instruments achieve voiceness:

> We will see that sometimes an instrument's basic timbre is similar to the voice, with formants so well-defined that one could almost identify articulated vowels. At other times, an instrument communicates its voiceness in the small details of its attack or in its ability to distinguish itself from other instruments that typically surround it. At times an instrument is credited with voiceness because it "sings" in some undefined fashion that seems related to its pitch range, or to its tendency to swell in intensity or vary its timbre in a way reminiscent of the voice. Occasionally, there are instruments whose attribution of voiceness

[110] Fales, "Voiceness," 2.
[111] Fales, "Voiceness," 4.

> seems to have developed through listener consensus artificially, by long habit or convention. In other words, since voiceness exists in the mind rather than in the entity where it is found, it can be discovered in large structures and tiny details, perceptually or conceptually, specifically or abstractly. It can even occur because the music culture to which an instrument is indigenous wills it to have a voice that may be inaudible to outsiders.[112]

Of these aforementioned ways an instrument can achieve "instrumental voiceness," I believe the horn fits into three of Fales's categories. First, it has a similar basic timbre to the human voice; second, it "sings" within a specific pitch range, detailed below; and third, its voiceness has been further cemented "by long habit or convention."[113]

By combining these three aspects of voiceness, I believe the lyrical horn—as part of the pastoral topic—has become a viable instrument of "voiceness" in film. Historical materials suggest that these associations have been in place for quite some time.

Indeed, the French gazette *Mercure de France* reviewed a concert presented in April 1770 on which the virtuoso natural horn player Josef Leutgeb performed. Leutgeb, for whom Mozart wrote his horn concerti, was praised for his talents, including his ability to produce a voice-like timbre. Published in May 1770, the review stated:

> Mr. Leutgeb, first Hunting Horn for His Royal Highness Monsignor the Archbishop of Salzburg, gave two concertos with the greatest artistry. He pulls tones from that instrument that connoisseurs never fail to hear without astonishment. His merit above all is to sing the *Adagio* as perfectly as the suavest, most interesting and truest voice could do.[114]

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[112] Fales, "Voiceness," 4.
[113] Fales, "Voiceness," 4.
[114] Anon., "Spectacles, concert spirituel" (review of the Concerts spirituels of April 1770). *Mercure de France*, May 1770. Lacombe, Paris, 164.
Digitized at https://books.google.fr/books?id=YxYXAAAAYAAJ&hl=fr&pg=PP9#v=onepage&q&f=false
[M. Seikgeb [sic], premier Cor de Chasse de S.A.S. Monseigneur l'Archevêque de Salkbourg, a donné deux concertos avec tout l'art possible. Il tire de cet instrument des intonations que les connoisseurs ne cessent d'entendre avec surprise. Son mérite est sur-tout de chanter l'*adagio* aussi parfaitement, que la voix la plus moëlleuse, la plus intéressante [sic] & la plus juste, pourroit faire.] Translation by Elisabeth Le Guin.

What, then, constitutes the "voiceness" of the horn? In the next section, I investigate horn-specific research to further understand horn timbre.

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Timbre Perception, Timbre Materialism, and the Horn

Both Kathyrn Shroyer and Elizabeth Fleming have contributed scholarship concerning the horn, timbre perception, and timbre materialism. Shroyer's work focuses on timbre creation via the partials and the variation of spectral envelopes of notes depending on dynamics and range, while Fleming's examination of embodiment explores how the actual horn player's physique acts as part of the instrument.

In her thesis, "Variation of French Horn Timbre over the Frequency and Intensity Range of the Instrument," Shroyer examines how the horn timbre changes depending on the range and dynamic utilized. Shroyer, a mechanical engineering student at MIT, discusses factors such as the overtones that create a "rough" or "full" sound in the lower register versus "smooth" and "thin" characteristics in the higher range of the horn.[115] She demonstrates a "clear and quantitative measure of how static spectral timbre for the French horn varies with frequency and intensity."[116] Her analysis shows that "timbre changes are supported by the two acoustical properties measured in this experiment: number of partials and shape of the spectral

[115] Kathryn E. Shroyer, "Variation of French Horn Timbre over the Frequency and Intensity Range of the Instrument." Diss., Massachusetts Institute of Technology (June 2009), 3.
[116] Shroyer, 35.

envelope."[117] Shroyer maintains that further research can investigate how timbre is affected by various articulations, the instrument's material, and the player's right hand placement.

She also notes that "the effect of room acoustics is extremely important in the horn because of how the bell is positioned while performing and would be worth studying. Only once many aspects of timbre are quantitatively explored can a mathematical model for predicting timbre be developed and readily used in instrument design."[118] Like Fales, she acknowledges that the instrument's timbre is dependent on acoustical properties of its environment.

Shroyer concludes that horn timbre changes substantially depending on the range: low and loud notes tend to sound rough and full because of the spectral envelope and partials they include, while higher and softer notes have a different spectral envelope that makes their timbre smooth and thin. As discussed in chapter 2, lyrical horn solo melodies in film are relatively uniform in their range use: They frequently begin somewhere near the concert C (second line G on the treble clef for horn in F) and ascend by at least a seventh, usually higher. Lyrical horn solos most often reach the concert Bb, or F at the top of the staff, or above the staff.

On the other hand, Fleming's recent PhD dissertation (Philosophy) delves into the musicological concept of "musicking" from the viewpoint of a horn player. Specifically, she examines embodiment issues in four critical works for horn. She grounds her work with reference to many cornerstones of musicology, including works by Christopher Small, Lydia Goehr, Elisabeth Le Guin, and Nina Sun Eidsheim. She explores how the horn player embodies music, starting with the premise that, "music is a *practice* that uses bodies as material, as labor,

[117] Shroyer, 35.
[118] Shroyer, 35.

as the energy and the necessary friction that makes aural sound even possible."[119] Her work considers how the player's body provides the means necessary to create musical performance, including at the material level. Ultimately, the lips of the horn player vibrate and create sound, which is merely amplified by the mouthpiece and the body of the instrument. Her work illuminates another aspect of timbral difference: each player has a unique set of lips, oral structure including teeth, tongue, and arc to their palate. These fundamental structural differences affect the initial sound a horn player can produce.

The horn player's body provides both an initial and departing origin of the sound. The player's lips vibrate against each other to initially create the sound, while the right hand serves as the last point of contact. The air column escapes from the horn's bell and is shaped by the player's hand. Therefore, in addition to timbre perception studies, embodiment issues identified by Fleming further illustrate the complexities of the study of horn timbre regarding timbre materialism.

Another physical aspect of the horn that creates its complex timbre is its conical tubing. Unlike the trumpet and trombone, the horn's body is comprised of mostly conical tubing (that gradually increases in diameter) rather than cylindrical tubing (which remains the same diameter). This is another factor in its tonal complexity.[120] Even though the horn plays higher on the overtone series than other brass instruments, this extra conical tubing (as compared to cylindrical) creates a more mellow tone. Andy Thompson discusses many of the physical aspects of the horn that contribute to its sound, including its small bore size over an extended length. As

[119] Elizabeth M. Fleming, *The Incorporated Hornist: Instruments, Embodiment, and the Performance of Music,* PhD diss. (New York: The Graduate Center, City University of New York, 2019), 7.
[120] Murray Campbell and Clive Greated, *The Musician's Guide to Acoustics* (Oxford University Press, 1987), 392.

he points out, the F side of the horn is approximately 12 feet long (the Bb side is ~9 feet), while the trumpet is closer to 4 feet.[121] Changes in the horn dimensions (bore, bell size) and the mouthpiece design (which includes four variables), also influence each horn's timbre. Horn timbre is truly a complex entity.

However, my examination of horn timbre in lyrical solos leans more toward the timbre perception side of timbre studies, as I consider how timbre perception contributes toward meaning-creation. The horn's timbre—in combination with other aspects, such as an adagio tempo, melodic intervallic structure, dynamics, and articulation—provide specific associations, references, and flights of imagination, all of which are culturally embedded. The color or flavor of timbre adds another layer of understanding to the rich context film music provides.

The scholarship by Fleming and Shroyer highlights Fales's research. According to Fales, her research benefits the study of ethnomusicology, but it can easily apply to classic Western tradition instruments as well, like the French horn. In fact, there is a particular interest in the French horn timbre that her article raises; as Shroyer has suggested: namely, the French horn—by design— is the only instrument of the orchestra that faces directly backwards, away from the audience. Its sound must always be a reflected sound—it bounces off surfaces such as the floor, walls, or orchestra shell behind the player and then reaches the audience. How does this unique design affect the perception of timbre? This design inherently creates a feeling of distance and reflection. Specifically, since Fales describes timbre as providing both environmental and sound source information, how does this unusual design affect timbre perception of the horn?

[121] Andy Thompson, "A Study of French Horn Harmonics," (Institute of Acoustics, 2010), 22.

Indeed, Fales presents three primary defining characteristics of timbre in her conclusion, with additional insights about the mysterious power of timbre: "timbre is free to operate with little direct scrutiny by a listener, creating effects that are intense but also hazy in definition, difficult to articulate, and freely attributable to other features of the musical context."[122] Timbre may be thought of as an intangible spirit or essence, which simultaneously is inherent to the music, and yet somehow remains a largely undefinable quantity.

Fales's explanation of how timbre functions--with little direct scrutiny by the listener—rings true for the horn. The sound of the solo horn evokes certain sentimental qualities without being intrusive or calling attention to itself. As Williams notes, "Nostalgia has been described as 'laundered memory' but our modern horn and oboe possess the power to produce it truly."[123] Although Williams may not call them *topoi,* they are easily identifiable as sounds listeners associate with nostalgia, memory, and the very roots of Western civilization's musical landscape.

These associations are not merely intervallic leaps that typically comprise a melodic line, or that harken back to a pastoral scene, a fanfare, or hunting horn call. The very timbre of the instrument inherently represents humanity's history and often functions as an essential ingredient of several *topoi.* In fact, horn timbre may best be understood as its own *topos.* My next step is to consider the actual horn sound, and how it is understood by musicians and scholars.

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Exploring the Perception of Horn Timbre

[122] Fleming, 91.
[123] John Williams, Preface to *Concerto for Horn and Orchestra.* (Milwaukee: Hal Leonard/Marjer Publishing, 2003).

The modern horn and valveless natural horns in use for hundreds of years before it are both discussed in detail in many books. In his *A Treatise upon Modern Instruments and Orchestration* of 1858, Hector Berlioz discusses both the natural horn and the valved horn, first developed in 1814 by Heinrich Stölzel. Berlioz notes that many composers are skeptical of the new modern horn; at the time, the valved horn had been in existence for 44 years. After a thorough discussion of the open and closed tones available on the natural horn in its myriad of forms, Berlioz describes the horn's overall character, tone, and chameleon-like quality:

> The horn is a noble and melancholy instrument; the expression of its quality of tone, and of its sonorousness, are, nevertheless, not those which unfit it for figuring in any kind of piece. It blends easily with the general harmony; and the composer—even the least skilful—may, if he choose, either make it play an important part, or a useful but subordinate one.[124]

Berlioz illustrates two characteristic qualities—noble and melancholy—that are associated with the horn sound as early as 1858. He alludes to its chameleon-like quality, further defined by Samuel Adler over a hundred years later.

In his *The Study of Orchestration*, a generally accepted treatise on orchestration, Adler details the range of the instrument, speaks briefly about its historical background, and gives orchestral examples of its use. In his concluding "general remarks" about the instrument (added italics below are mine, not Adler's), he makes several striking observations, particularly about the horn's dichotomous use and its timbre:

> The horn is an excellent solo instrument as well as a successful doubler. Even though it has a *mellower* sound than trumpet, it does possess enough *brilliance and carrying power* in loud passages to be heard above almost any combination of instruments. On the other hand, because of its *velvet like tone quality,* especially in the middle register, four horns would make a wonderful "accompaniment choir" for any solo instrument. It has as much agility as any brass instrument and the distinctiveness of tone color that has always made it a symbol of heroism and individuality for many composers. Before leaving the subject, we should call attention to its *dichotomous nature*. Many composers have treated the horn

[124] Hector Berlioz, *A Treatise upon Modern Instruments and Orchestration,* 2nd ed., trans. Mary Cowden Clarke (New York: Novello, Ewer and Co., 1858), 140.

> is a woodwind instrument some of the time and a member of the brass section at other times. Traditionally it has been a member of the wind quintet as well as the brass quintet in chamber music, and this gives the horn unique status in that genre as well as in the modern symphony orchestra.[125]

I argue that Adler's "dichotomous nature" of the horn has continued in film music. In fact, film music has augmented the horn sound's dichotomous use. Adler speaks of it in terms of the brass and woodwind quintets, and orchestra, but film music may be said to have extended these two contrasting aspects. Although they are not diametrically opposed, the horn timbre is associated with two distinct sides. On the one hand, the horn timbre may be considered strong, brilliant, heroic, military, and epic; on the flip side, the horn's timbre—in particular, the lyrical horn solo—has become associated with love, memory, nostalgia, loss, and grief. The two sides most often share one primary characteristic: the horn is most often *noble*, whether it is heroically loud and brave or lyrically nostalgic and mournful.

These two opposites are illustrated by examples that may be familiar to the reader: the opening of Richard Strauss's *Ein Heldenleben (1898)* is the epitome of the first, heroic, strong, epic, while Brahms's horn trio in Eb major, op. 40 (1865), written in memory of his late mother, may be thought of as a perfect example of the characteristic sound of nostalgia, deep loss, and mourning.[126] Adler's horn timbre analysis provide a foundational understanding to why the horn was chosen as the solo voice in certain lyrical solos. First, the horn's timbre conveys complex

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[125] Samuel Adler, *The Study of Orchestration,* 2nd edition, (W.W. Norton & Company, 1989), 295-6.

[126] The former was written for the modern horn as we know it, while the latter was written for the natural, valveless horn. However, the heroic/nostalgic divide does not map onto the valve/valveless distinction, since it was in place prior to the invention of the valved horn in 1814; the heroic aspect has origins in its use as an outdoor instrument in various settings, including as a hunting horn, post-horn, and in Janissary military bands.

emotions intended to be felt by the audience. Second, the sound of the horn references noble heroism as well as nostalgia, loss, and a feeling of distance.

More recent scholars Eerola, Ferrer and Alluri have also investigated perception of timbre, focusing on listener's timbre perception of individual classical instruments. In their article, "Timbre and Affect Dimensions: Evidence from Affect and Similarity Ratings and Acoustic Correlates of Isolated Instrument Sounds," Eerola, Ferrer and Alluri analyzed listener responses to eleven symphonic instruments, including the French horn.[127] Their study group listened to 105 sound samples from the Vienna Symphonic Library (VSL) that were strategically grouped by dynamic range, set to D#, and played in several ranges. The study involved as many as seven different articulations played by various instruments. This articulation focus sought to further define three parameters that influence timbre, namely Envelope Centroid, Valence, and Energy.[128] Eerola et al varied the time that samples were heard, and found that listeners responses were the same for both short and longer excerpts.[129] Eerola et al provide several interesting conclusions, including the following:

> The timbral cues available in short, isolated instrument sounds may partly capitalize common cues of emotional expression in addition to being subject to the conventions of culture. Although further research is required to obtain answers to these fundamental issues, it is clear that timbral cues to affects in music are relatively strong, and they follow a distinct pattern that resemble findings made in other domains. More importantly, the results provide a number of tantalizing new prospects for studying the pivotal role of timbre in the perception of emotional expression in music.[130]

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[127] Tuomas Eerola, Rafael Ferrer and Vinoo Alluri, "Timbre and Affect Dimensions: Evidence from Affect and Similarity Ratings and Acoustic Correlates of Isolated Instrument Sounds," *Music Perception: An Interdisciplinary Journal*, Vol. 30, No. 1 (September 2012), 59. https://www.jstor.org/stable/10.1525/mp.2012.30.1.49

[128] Eerola et al, 59.

[129] Eerola, 65.

[130] Eerola, 65.

Their research supports earlier studies demonstrating a strong connection between timbre and emotional response. It also advances timbre studies by considering isolated instrument timbres, with attention to spectral attributes related to articulation styles that effect the spectral envelope. As they explain, their study isolates timbre to further understand it:

> The fact was that a number of essential music parameters such as alterations in dynamics, pitch, and harmony were predominantly missing from the stimulus materials, and yet the affective nuances of the instrument sounds were nevertheless communicated to the participants in a consistent manner. This attests to the importance of timbral features in conveying affects.[131]

In addition, though outside of their study, the scholars highlight "conventions of culture" as a factor. Topic theory provides a historical understanding of these cultural conventions.

Although substantial scholarship exists that pertains to film music and its function, more research can build on significant contributions to the study of timbre and "voiceness" conducted by scholars such as Fales and van Elferen. Likewise, while the study of both orchestration and audience engagement exist, neither one has been fully evaluated in the context of film-music analysis, which can be employed to examine how the intended emotional engagement of the audience is inextricably linked to orchestration and instrumentation decisions.

Individual instruments chosen for certain scenes strongly influence the scene's emotional impact, and the timbre of the instrument is itself part of the message or "emotional package" shared with the audience. Thus, there are certain emotive responses to specific instruments' timbre that have become ingrained in our cultural concepts and perceptions, even if they are only recognized on a subconscious level. These timbral associations indelibly provoke, highlight, and underline specific emotional responses, which guide the audience through the film.

[131]Eerola, 65.

I argue that the voice of the horn solo is itself a significant, emotionally-laden part of the film music's impact and lends an intimacy to the film's soundscape. I propose that emotive associations of the "voice" of the solo horn have modified some, but that overall, they have remained the same throughout the last seven decades of film music, from 1954 through 2012.

The associative connotations themselves are largely intact, yet there appears to be a decrease in the use of the horn as a soloistic voice in film in the last decade, as film composers increasingly move farther away from the "golden age" of symphonic orchestral film music. There are still many composers who include these stellar moments, but many current Hollywood film composers instead opt for an aesthetic that favors other qualities, such as epic unisons, synthesized sounds, extreme *fortes*, and increasingly more sound effects. Williams is an example of a Hollywood composer who continues to use the classical symphonic orchestra—including instrumental solos—throughout his career.

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Additional Considerations

Additional scholarship could address other critical aspects of how best to characterize the Hollywood horn sound. Several key aspects are not addressed in this research that could shed more light on the subject, including: (1) specific Hollywood players, (such as Vince DeRosa and James Thatcher), including not only how they inspired composers to write solos for them, but also how they created their own, unique sound (through their concept of sound as well as their physical attributes such as their teeth, oral cavity, and tongue); (2) specific instruments, including the make and model of the horn as well as the mouthpiece used; (3) the invention of Dolby in 1977 and how it affected the audience's ability to hear film music more clearly; (4) the acoustics of the individual studio recording halls of films; (5) the significant advancements in sound

engineering and mixing; (6) synthesizers and their use; (7) the use of "temp tracks" during filming, which can affect the film leadership's aural expectations of the score; and (8) the influence of not just the composer but also the film's director, producers, conductor, and orchestrator(s). While all of these areas could be further explored, I briefly touch on only the first two: individual musicians and their instruments.

Vince DeRosa is widely considered one of the greatest Hollywood studio horn players of all time, and has an impressively long career spanning four decades. He is credited with playing so musically and technically proficiently that film composers began to write horn solos for him. At DeRosa's retirement concert/celebration, Williams wrote:

> Vince Derosa's contribution to American music can't be overstated. He was the premier first horn player on virtually every recording to come out of Hollywood for over forty years. He represented the pinnacle of instrumental performance and I can honestly say that what I know about writing for the French horn, I learned from him. DeRosa was an inspiration for at least two generations of composers working in Hollywood and beyond. He is respected world-wide and universally regarded as one of the greatest instrumentalists of his generation. It has been a privilege to have worked with him all these many years.

Other notable principal horn players of Hollywood include James Thatcher, Jack Cave, Richard Perrissi, James Decker, Brian O'Connor, Richard Todd, Wendell Hoss, Fred Fox, Bill Hinshaw, Gale Robinson, Bob Henderson, George Hyde, James Stagliano, and Arthur Franz.[132] In addition, Alfred Brain (Dennis Brain's uncle) profoundly influenced the Hollywood horn players when he lived and worked in LA.[133] As James Thatcher said in his interview:

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[132] According to James Thatcher in his interview, Appendix 2, 157.

[133] For more information on Vince DeRosa and his career in the LA studios, please refer to Todd Miller's *Carved in Stone: The Life and Musical Legacy of Vincent DeRosa.* For more information on the LA horn playing, please refer to Howard Hilliard's dissertation, "The History of Horn Playing in Los Angeles from 1920 to 1970, A Lecture Recital, Together with Three Recitals of Selected Works for Horn By M. Haydn, Franz, Britten, Mozart, Koetsier, Hindemith, Herzogenberg, Rossini, Stevens, and Others," DMA Diss., University of North Texas, 1999.

> Alfred Brain was a great French horn player. He was Dennis Brain's uncle, and he came to Los Angeles in the 1920s and later became Principal Horn with the 20th Century Fox Orchestra. And Vince DeRosa played second horn to Alfred Brain. And a lot of the Brain concepts of horn playing were carried from the Brain family to Vince and then from Vince to the rest of us.[134]

Specific makes of instruments—notably, the Conn 8D—were often used by studio musicians. Many horn players believe the Conn 8D has a darker, fuller tone, as compared to other professional horns that are characterized as instruments with a brighter tone. Although some horn players credit DeRosa's stunning sound and ability in part to his Conn 8D, those that worked with him know that he played the Conn 8D with the same technique he used on smaller horns, with a very narrow, focused air stream.[135] As James Thatcher states in his interview, too much weight has been placed on the kind of horn a player uses.[136]

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Concluding Remarks

Although each horn solo has its unique complex set of emotions that it is meant to signify, one can trace certain repeated uses that occur repeatedly through the decades of film music. In the next chapter, I examine these horn solos in the film's context, offering what can be thought of as multiple, micro-focused case studies that detail the emotions of the scene that correlate with the horn solo. The chapter presents a film-music analysis of the scene's emotions that are affirmed and enhanced by the solo. In addition, I explore how the horn solo's associative emotions change, remain the same, or continue in a similar manner from one decade to the next.

[134] James Thatcher interview.
[135] Refer to the James Thatcher interview, Appendix 2, for more information.
[136] Ibid.

Chapter 2
Lyrical Horn Solo Examples in Hollywood Film

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Introduction

In this chapter, I identify extended lyrical horn solos employed by Hollywood film composers in critical, emotional moments of eleven films. I focus on solos by Williams, for reasons outlined earlier, and include several others as points of comparison and contrast. Synthesizing the analytical and theoretical approaches explored in chapter 1, I consider how each lyrical solo functions vis-a-vis to the scene's dramatic framing, including narrative and/or character development, and I analyze the horn solo's emotional impact. In this chapter, I examine eleven solos, listed chronologically below.

1. Leonard Bernstein's "Main Title" from *On the Waterfront* (1954)
2. Henry Mancini's "Main Title" from *Days of Wine and Roses* (1962)
3. John Addison's "Main Title" from *Sleuth* (1972)
4. Jerry Goldsmith's "Main Title" from *Islands in the Stream* (1977)
5. John Williams's "Leia's Theme" from *Star Wars Episode IV: A New Hope* (1977)
6. Bill Conti's "Mickey" from *Rocky III* (1982)
7. John Williams's "Among the Clouds" from *Always* (1989)
8. John Williams's "Arlington" from *JFK* (1991)
9. John Williams's "Main Title" from *Sleepers* (1996)
10. John Williams's "Healing" from *Rosewood* (1997)
11. John Williams's "Freedom's Call" from *Lincoln* (2012)

I examine these lyrical horn solos in film scores from Leonard Bernstein's *On the Waterfront* (1954) to William's *Lincoln* (2012), with an intentional focus on works by Williams. Williams is well-known for his extensive film scoring, including over one hundred movie soundtracks. His career spans most decades included in my research, and he has written significant horn solos that are well-known in Hollywood film culture. In regard to the horn, Williams acknowledges that he has always been "fascinated by its capacity to transmit powerful

and noble emotions."[137] According to Williams, "The horn stirs memories of fearful things, of powerful things, of noble and beautiful things!"[138]

In addition, I examine horn solos from other composers, including: Leonard Bernstein, Henry Mancini, John Addison, Jerry Goldsmith, and Bill Conti. This work is not comprehensive—there are many composers not represented here who have written beautiful lyrical solos for the horn, including James Horner, Alan Silvestri, James Newton Howard, and many others. To locate significant horn solos, I consulted the list of Oscar Original Score film winners through the decades, and reviewed and researched winning films as well as other works by the film composers who received this accolade.[139] Within this review, I searched for significant horn solos in Hollywood film.

The lyrical horn solos have been organized by decade, with at least one representative solo from each decade. The 1970s and particularly the 1990s seem to be especially rich in the use of the lyrical horn solo, while the employment of the horn section playing in unison seems to be more pronounced in the 2000s and 2010s. This trend seems to be prevalent in both Williams's writing as well as other composers, and is discussed further in chapter 3.

[137] John Williams, *Signature Editions for Horn* (2010).
[138] John Williams, *Concerto for Horn and Orchestra* (2003).
[139] Academy Award for Best Original Score Winners and Nominees, https://en.wikipedia.org/wiki/Academy_Award_for_Best_Original_Score#Winners_and_nominees

Lyrical Horn Solos of the 1950s and 1960s:

Example 1, Leonard Bernstein's *On the Waterfront* (1954)

Figure 6:Bernstein's *On the Waterfront*

One of the first, prominent, and extended horn solos in film music appears in Leonard Bernstein's only film score, *On the Waterfront* (1954). The film's main characters include Terry Malloy (Marlon Brando) and Edie Doyle (Eva Marie Saint). A former fighter, Terry is a longshoreman working on the waterfront. He struggles against the corruption of the waterfront's union leaders.

In Bernstein's *On the Waterfront,* the lyrical voice of the horn opens the curtains of the movie, so to speak, drawing the audience into a different world: the waterfront city of Hoboken, New Jersey. The unaccompanied horn solo is the very first sound of the film (0.00-0.31). It accompanies the company's logo, the iconic female statue *Columbia* that was meant to represent both Columbia Pictures and the country, prior to the start of any on-screen action. As such, the horn solo is not only the very first aural signature of the film, it is the very first signature of any kind for this film. The scene is distant from the audience's daily life, and the horn solo is used as a drawing-in technique.

An analogous visual technique often employed at the beginning of films is the aerial overview, which gradually focuses on a general scene, such as a city, then a unique building, then a specific floor, then the window of an apartment, and finally focuses fully on what is often a central character in the narrative. The horn solo often functions in this way when it appears in the "Main Title" of the film. The horn solo communicates the same telescoping effect because of its inherently "distant" sound, as discussed in chapter 1.

The horn's timbre provides a correlative sense of distance, akin to the visual distance that the camera covers as we narrow in on the central character. It provides a kind of suspension of disbelief as we enter into the completely different world of the film. Bernstein employs two main themes throughout his score—the French horn solo represents the waterfront city of Hoboken, New Jersey, and the strings represent the love story.[140] The city theme is reiterated by other instruments; like a leitmotif, it continues to be associated with the city throughout, but it is the horn's lyrical voice that first presents the theme and pulls the audience in aurally. Bernstein draws the audience into the movie's city, full of corruption, ruined lives, and loss.

The film's narrative is two-fold, following an unfolding tragedy as corrupt union leaders murder workers who might expose them as well as a budding love story between Edie and Terry. Just as the narrative simultaneously encompasses both a realist, social commentary and a romantic story, the "distance" created by the horn is also two-fold. On the one hand, the horn solo reinforces the concept of distance traveled as the audience is drawn into the dark world of the film; on the other, the horn solo may serve as a catalyst, prompting the audience to turn their attention inward, to feelings that are more distant, and buried within. In this case, the "distance" idea relates to the audience getting in touch with their own submerged, feelings. They are invited to examine their lives, and potentially relate to the film's gritty realities in their own circumstances.

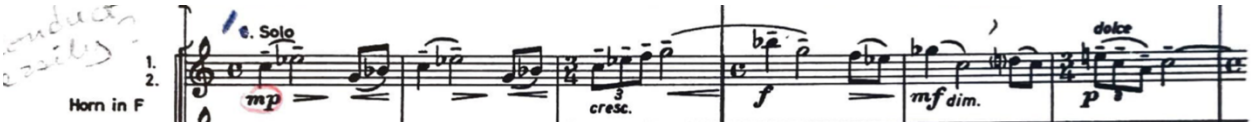

Figure 7: Opening Horn Solo in "Main Title" from Bernstein's *On the Waterfront.* From Bernstein's Symphonic Suite score.

[140] Caps, 38.

The lone voice of the horn is heard first, playing a solitary, yearning melody rife with minor ascending thirds. This main melody is taken up by a solo flute that is accompanied by a muted trombone playing a canon-like echo of the same melody. The horn line is plaintive, haunting, and alone. It is reminiscent of horn solos in Brahms symphony no. 1 and 3, yet more forlorn and tragic. It is more modal than tonal, presenting primarily as the C Dorian mode, with an added flattened fifth (Gb), which provides a hint of the blues and also creates the most significant tension climax of the line. The lone horn solo is the first iteration of the city theme, which may present the ill-fated destiny of those living in the city, as well as the sadness of its corrupt state. The last four notes offer a glimmer of hope through a major key resolution with the written Eb being replaced by an E natural. This resolution may hint at the hopefulness of Terry's triumph; though riddled with sadness and loss, Terry ultimately stands up to the waterfront's corruption.

The horn solo repeats the city theme several times, including at the very end of the film (1:44:50), when Terry has been badly beaten physically, but is able to stand up and lead union workers toward a better future at the waterfront's docks. Thus, the lyrical horn solo serves as aural book-ends for the entire film, both sweeping the audience into this fated world, and leaving the audience impacted by the movie at its conclusion.

Further, this example demonstrates Hatten's argument that a pastoral topic often reveals a solitary character struggling with what he has referred to as "the complexities of urban existence."[141] In addition, Chion's notion of the acousmatic voice may be applied to the horn voice. The visual opening scene reveals is blank--- there is nothing on screen that has to do with

[141] Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana Press, 2004), 54.

the film's narrative. This "visual silence" or black-out re-directs the audience's attention to the aural landscape. Like the "Binary Sunset" scene, there is no dialogue; only the voice of the horn speaks. The solo horn functions as a powerful acousmatic voice that guides the audience's emotional response. Later, the audience connects the horn sound to the city and the audience's own entry into the narrative. This example marks the beginning of the horn solo as an acousmatic voice in film. Future film composers recognized a powerful "voice" (defined by Fales and Chion) in this haunting horn solo, and began to incorporate horn solos in their own scores.

Example 2, Henry Mancini's *Days of Wine and Roses* (1962)

In Henry Mancini's *Days of Wine and Roses,* the lyrical horn solo plays a critical role in the "Main Title" music as well. In fact, the solo horn voice is once again the first and last sound heard in the film. Chion's argument that the acousmatic voice may be omniscient seems to ring true; the horn voice is heard at the beginning and end, encapsulating the entire narrative as if it is the storyteller. It may even be said to be omnipotent: the solo horn voice conveys the overarching fate of the couple; it is all-knowing and all-powerful.

Figure 8: Mancini's *Days of Wine and Roses*

The opening horn solo is completely unaccompanied until it's last two notes. Once the horn reaches the climax note of high G (concert C), the strings join with a mellow chord and will take over the melody in the next measure as the horn fades away. Although this solo is quite short for this chapter of "longer" horn solos, it belongs in this chapter because of how similarly it functions as an acousmatic voice in the "Main Title" music. It is akin to the *On the Waterfront* solo in both its initial placement, reiteration at the end, and function. It is an integral part of the

film's music, unlike some of the very short, meme-like moment horn solos discussed in the next chapter.

Further, the opening lyrical horn solo returns in several key, poignant moments of the film. In particular, the lyrical horn voice is heard always in association with the tragic, fated relationship between the two main characters, Joe Clay (Jack Lemmon) and Kirsten Arneson (Lee Remick). Although they both feel confident in their love for each other, their alcoholism—in addition to his eventual sobriety and her inability to give up alcohol—prevent them from staying together.

The lyrical horn solo that first appears at the very beginning of the "Main Title" reappears in several prominent scenes. First, the solo horn returns when Joe and Kirsty are first kindling their relationship (21:12-23:59). The title of the movie is taken from this scene, when Kirsty quotes the poet Ernest Dowson, "They are not long, the days of wine and roses." In the second recurrence, just over an hour into the film (1:04:00), the main title music returns, but is presented by a full orchestral strings sound that makes it sound more cheerful.

This contrast is important: The same theme is employed, but the full strings seem to have a "carpe diem" quality to them, rather than the somber timbre of the solo horn. In this scene they celebrate their relationship and the good life they have in the moment. Although it is the main title music, the tragic theme, it is a happy moment when the two celebrate their fleeting freedom from alcohol. The audience learns that they have been sober for a month, and they jump into the hay at her father's nursery. The music is lighter and more hopeful in the strings, but the main theme hints at darkness ahead. Just two minutes later, Joe convinces Kirsty that they should "slip" a little bit, resulting in one of the most disastrous scenes in the film.

Figure 9: Opening Horn Solo in "Main Title" from Mancini's *Days of Wine and Roses*

At 1:35:00, he has finally cleaned up his act, but she has gone deeper into her addiction and now resides in a hotel, where she is perpetually drunk. He tracks her down and pleads with her, but she refuses to try to stop. He eventually gives up and prepares to leave, but says he'll be back. However, she responds with, "Don't bother." Yet, as he leaves, she calls out, "Joe! I'm lonely." Immediately after this acknowledgement, the lyrical horn solo begins. He again attempts to help her, still without success. In this scene, I believe the horn's solitary voice demonstrates the primary essence of the movie's theme: it is the tragic love of ill-fated, lovers.

Figure 10: Joe pleads with Kirsty in *Days of Wine and Roses*

A year has passed. The two lovers are meeting up again. Although he has cleaned up his act, she has not. The horn solo accompanies the scene in which she approaches his new apartment, where he and their daughter live (1:48:00). There is some small hope that their shared life can be salvaged, but the sound of the horn presenting the main theme foreshadows the upcoming scene and indeed the end of the film. There will be no happy endings here.

As predicted by the horn solo, Kirsty and Joe both love each other and want to be together, but cannot agree on how to handle the alcohol addiction. He begs her to give it up and return to their home, but she tells him she can't face the idea of never having a drink. He tells

her, “You can’t control yourself. You’re an alcoholic just like me.” He asks Kirsty to go look at Debbie, their daughter, but she isn’t able to bring herself to do it. Instead, she leaves. He cries out to her as she does so. Debbie awakes and tells him, “I thought I heard you call Mommy.” While a delicate celeste line plays, Joe replies, “You must have been dreaming.” The final scene shows Joe looking out the window at the palpably empty street; Kirsty is gone. At this final scene’s closure, the main theme is presented one last time by the lone solo horn. The two are pulled asunder, and the “distance” *topos* of the horn’s timbre adds to the heartbreak of the scene.

The above examples demonstrate that the associations related to the horn’s “distance”-inherent voice can be further subcategorized into several more precise associations, including nostalgia, tragedy, loneliness, and distance that is emotional, temporal, or spatial/geographical. In this case, the horn’s sense of distance includes *all* of these subcategories. The associations related to the “distance” concept vary slightly from one solo to the next throughout the chapter.

This “distance” concept is grounded in the horn’s historical associations, from its earliest use as a “calling” tool to its outdoor associations, discussed in detail in chapter 1. The upcoming solo demonstrates the most significant contrast to this otherwise relatively tightly integrated collection of distance subcategories.

Finally, Sbravatti’s notion that film music must be analyzed with attention to its placement is well-illustrated in this example. In this case in particular, Mancini has closely followed the emotional changes of the two main characters through significant timbral changes that are a result of careful orchestration (the lone horn versus the full string section). In addition, his idea of the metadiegetic music can be applied here: the voice of the horn speaks of the inner characters emotions, but also guide the emotions of the audience.

The dynamic contrast between the two iterations of the theme furthers the sense of intimacy in the horn's rendition of the theme. By providing this contrast, the quieter solo horn voice's is highlighted. This softer dynamic is noted in the scholarship of Wakefield et al as a contributing factor to a feeling of intimacy. The softer dynamic further suggests that the music is to be heard as an emotional cue.

Lyrical Horn Solos of the 1970s:

Example 3, John Addison's "Main Title" from *Sleuth* (1972)

Figure 11: Addison's *Sleuth* (1972)

John Addison followed in Bernstein's footsteps, placing a long horn solo in the opening "Main Title" of the 1972 mystery thriller film, *Sleuth*. The film was directed by Joseph L. Mankiewicz and starred Laurence Olivier (Mr. Andrew Wyke) and Michael Caine (Milo Tindle). The movie is prefaced by still-life cartoon images that clearly depict scenes from the movie, in a rather perplexing manner. One can make out what the images show, such as a man at a window, but cannot understand the importance of the scene. The music is clearly overture music, and is carnival-like in nature; in addition to a rapid tempo and almost a frenetic, perpetual movement, there is a "creepy clown" aspect to the busy orchestral score. This overture lasts two minutes and forty-five seconds, coinciding with the conclusion of the cartoon images.


Figure 12: The English Country Manor in *Sleuth's* Opening Scene

In contrast to this busy, chaotic overture, the curtain opens to a live (not cartoon) scene—this new opening scene is the actual beginning of the movie. The scene reveals an opulent, English country- estate mansion. As a red sports car peacefully cruises down

the driveway, a calm, pastoral melody (2:46 start) is presented by an unaccompanied horn. Like Bernstein's *On the Waterfront,* this horn solo is the first aural aspect of the film proper. The contrasting overture suggests that there will be a rather murky plot; although the details aren't clear, the overture does make clear that there will be intrigue and complexity.

The horn solo belies this truth, instead conveying a sense of pastoral ease, of the landed gentry where civility reigns and silly emotions are easily put aside as logic, grace, and proper sensibilities govern. The audience is left with a decision—is this nonchalant, easy-going character of the horn solo to be transferred to the scene, or to the driver of the sports car? It seems to be both: the mansion is on its face a respectable establishment, governed by an eccentric, even unhinged man, while the driver is a relatively naïve man who could be characterized as a member of the *nouveau riche* lacking the proper education to conduct himself as a gentleman should.

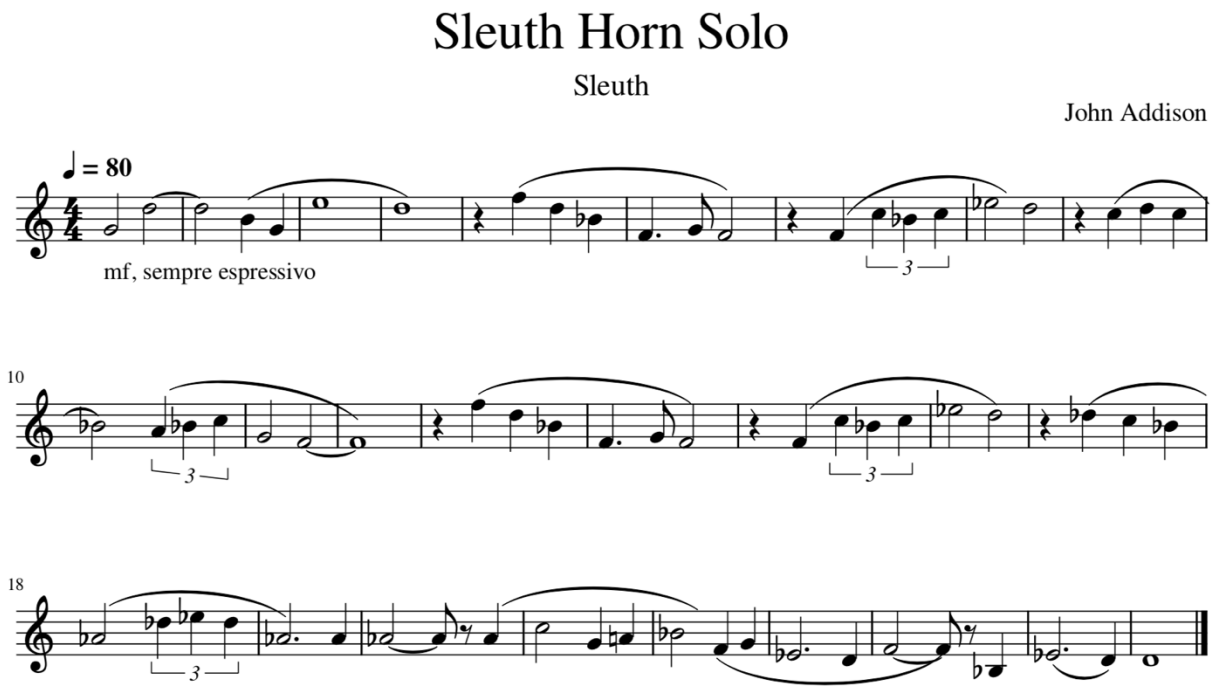

Figure 13: Horn Solo in "Main Title" from Addison's *Sleuth*

The horn solo begins unaccompanied, though harp lightly accompanies it as it continues. Like many longer horn film solos, it opens with an ascending perfect fifth, even using some of the most commonly used notes, G and D (concert C and G). The solo is also characterized by larger, sweeping ascending intervals, including fourths and fifths, and smaller descending steps, including half steps, whole steps, and thirds. The horn solo's larger intervals and longer length may convey the supposed spaciousness of English country life.

Compared to both the *On the Waterfront* solo and later horn solos, this solo is more conservative in its use of the horn's range, staying on the treble clef staff's high F for horn (Bb concert). By avoiding higher notes, the solo maintains a sense of peace—higher notes are often used in horn solos to represent more strife, angst, or pain.[142]

The *Sleuth* horn solo may function in several ways: First, it bridges the distance between the audience's daily life and the world of the film, in the same way Bernstein's horn solo draws in the audience at the start of *On the Waterfront.* Like Bernstein, Addison uses the horn's inherently "distant voice" to draw the audience into the film. Second, the horn's timbre, often considered "majestic" or "noble," conveys an air of noble elegance and grace, particularly after the frenetic overture. The open fourths and fifths, combined with the horn timbre, feel appropriately pastoral in sentiment. Finally, this pastoral nobility of the gentle countryside presented by the lyrical horn voice is an integral part of the façade that has been set-up to be toppled in the film. Indeed, in this example, the lyrical voice of the horn is employed as part of the initial deception, wherein the audience may join the man in the red sports car and fall prey to

[142] This association will be examined in more detail in those solos, including in examples numbered 6, 7, 8, and 9. Conti's "Mickey" from *Rocky III* illustrates this connection between extreme high notes and angst best.

the subtle games of intrigue that have been created by the eccentric and wealthy author of crime novels, Andrew Wyke.

This example is the outlier in my research; Addison uses the horn solo to portray an idyllic, proper and genteel countryside home. It is an outlier in the emotions conveyed—it does not expressive loss or grief—but it connects the lyrical horn solo to the pastoral topic in other ways. The pastoralism is evident visually as well as musically. Although not presented overtly in the solo, death and deadly comprise a significant part of this movie's thematic material. Several scholars elucidate this solo's complexity. For example, Hatten demonstrates the pastoral music connection with the literary and visual pastoral, while Monelle connects the pastoral topic to an obsession with death. Chion and Green write about music's ability to provoke an-empathetic responses and irony, wherein audiences are meant to feel the opposite of what is presented visually. In the case of this *Sleuth* opening horn solo, all four scholars' research intersects. The music is like a double-agent. The solo sets up an idyllic pastoral that seems pleasant, and is well-suited to the genteel, English countryside scene. Instead, the horn's deeper connotations of self-awareness and death via the pastoral topic are at play. It is deceptive, and wary audience members might feel unease as the solo unfolds.

As Empson noted, the pastoral often condenses the complex into something simple. But in the case of *Sleuth*'s horn solo, the music is part of a larger deception. I argue that the horn was chosen to convey this complexity of the pastoral because of its connection with the topic, but also because of its historical connection with the outdoors, nobility, and wide, open spaces. Finally, the horn's own complexity may serve as a stand-in because of its inherently complex timbre. The actual situation is very complex, and rather sinister, but the horn solo participates in

the larger deception, providing the aural equivalent of the pleasant, visual façade to what is actually a sinister plot.

Example 4, Jerry Goldsmith's "Main Title" from *Islands in the Stream* (1977)

Figure 14: Goldsmith's *Islands in the Stream*

Like *On the Waterfront,* my next example uses the voice of the horn in Jerry Goldsmith's "Main Title" music of *Islands in the Stream* (1977). However, the solo horn is preceded by a full orchestra tutti first, and is lightly accompanied in *Islands in the Stream* (0.24-1.28). In both cases, the horn solo is presenting a nostalgic, evocative melody that is introspective in nature. Caps notes that the main theme is presented by "a deeply moving French horn solo (full of both regret and yearning), which becomes the heart of the score and the conscience of the film."[143] This concept is explored further below. Although the beginning of the film opens with a full-bodied orchestration, the lyrical horn solo dominates the aural landscape once it begins and lasts nearly a full minute.

Visually, the film's correlating scenes are of a tropical island shoreline and the immediate environs. The audience is taken on a visual tour, first of the shoreline, then of the outside and later inside of a cottage home at the water's edge. The lightly accompanied horn solo begins quite early on (0.43-1:50). Then, there is a short, orchestral interlude (1:50-2:04); when the horn re-enters (2:04-2:12), a lone man is walking along the water's edge. The horn solo ends as the man— who we later learn is Tom, a US American expatriated artist in Cuba—begins to walk

[143] Caps, 45.

into the village. As Tom leaves his solitude and joins the community, new music with Latin American polyrhythms and percussion replaces the melancholic, plaintive horn solo.

Figure 15: Horn Solo in "Main Title" from Goldsmith's *Islands in the Stream*

The horn solo is associated with the man's solitary nature, in direct contrast to the lively village and its inhabitants. The movie centers around Tom's estrangement from his three boys, and the inherent tragedy of this loss, ultimately culminating in the death of one of his sons, the death of his best friend, and at the end, his own demise. The voice of the horn conveys the "distance" feelings of tragedy, loss, nostalgia. In this case, the associative subcategories referenced also include solitude, the physical distance that Tom experiences between himself and others, and the tragic loss in both life and death.

A very abbreviated version of the horn solo (just a few seconds long) returns after a riveting shark attack scene, when one of Tom's estranged sons is in grave danger, and Tom, despite his efforts, is not able to protect his son from the shark. Instead, Tom's friend Eddy kills

the shark at the last second, gunning it down with a machine gun. Here, just as the audience might be feeling a sudden sense of relief that the boy has not been harmed, the horn solo sheds light on the sadder side of this happy ending: Tom feels emasculated and incompetent in his ability to protect his child. The physical distance in the scene is highlighted both visually and by the horn. In this iteration, the horn's voice may be understood as referring to the tragic state of Tom's overall situation, with attention to his own estrangement from his sons. It also foreshadows the ending—Tom's largely self-inflicted distance from his sons ultimately prevents him from being able to save them or himself.

Tom learns of his eldest son's death and is devastated. Toward the end of the film, his best friend Eddy dies in Tom's arms. The horn solo is heard in this death scene as well. Shortly after, as the film draws to a close, Tom dies. The main theme is heard by the strings and piano, but is then "washed over for a moment by the seascape motif, with the French horn standing alone at the end."[144] Of special note is the way in which the primary theme is closely associated with the horn itself, both as the film begins and ends. Like Bernstein's *On the Waterfront* horn solo and Mancini's "Days of Wine and Roses," it functions as the "bookends" of the film. In addition, it again conveys one of the primary emotive associations intended of the film. In the case of *On the Waterfront,* the tragic, fated world is highlighted. Here, the horn's lyrical voice highlights Tom's inevitable solitude and loss.

Finally, this film's use of the horn is closely associated with moments of loss, most notably death. In his research, Monelle establishes the strong connection between the pastoral topic and death. In Goldsmith's *Islands in the Stream* this connection is refurbished; the horn's

[144] Ibid.

voice sheds new light on how timbre can function as an integral part of the pastoral *topos*, and calls for more research along these lines of inquiry.

Example 5, Williams's "Leia's Theme" from Star Wars: A New Hope (1977)

Figure 16: Princess Leia from *Star Wars Episode IV: A New Hope*

In addition to the "Binary Sunset" solo discussed earlier in chapter 1, Williams includes many other horn solos in his *Star Wars Episode IV: A New Hope* (1977). Princess Leia Organa (Carrie Fisher), is a central character in the film and many of its sequels. In addition to her status as princess of the planet Alderaan, she is a member of the Imperial Senate, a leader in the Rebel Alliance, and the unbeknownst sister of Luke Skywalker.

Leia's Theme is first heard when she is captured by Darth Vader because of her work with the Rebel Alliance. Vader is a primary antagonist in the first three *Star Wars* films, and a primary antagonist in the next three (prequels). Vader is also Leia and Luke's estranged father, although they are not yet aware that they are siblings or that Vader is their father. The film reveals these family connections as it continues, but is not yet known in this first scene of Leia's, when Vader imprisons her.

"Leia's Theme" accompanies Leia again when R2-D2 plays her holographic message for the venerable Jedi Knight, Obi-Wan Kenobi. In her message, she calls on Kenobi's honor and pleads for help. The horn's voice offers a breath of fresh air; it exudes tenderness, gentle love, and what could be characterized as an intricate combination of anticipatory hope but also nostalgia for the simplicity of innocence and youth. In this context, the horn is associated with

romantic love and grace, which can be thought of as gentle nobleness. This horn solo is also the first and arguably the only solo in this chapter that is clearly associated with a female character's "feminine" attributes.[145] Although she is a princess, she is not delicate, fragile, or weak. Instead, she proves her mettle throughout the film: she is a strong, feminine heroine. The horn may also present her theme because of its common association with heroes.

In addition, the horn's association with the pastoral *topos* may also shed further light on the use of the horn. Although the primary dynamic protagonist of the film is Luke, Leia is his twin sister and female counterpart. Like Luke, she "finds herself" in the movie. She learns that she has a twin brother, finds romance with Han Solo, and discovers that she is Force-sensitive. She develops into one of the heroic characters in the film through her brave actions, adventurous spirit, and her new-found self-awareness. The horn voice in "Leia's Theme" strengthens the connections between Leia and these pastoral topic themes.

In addition, the "distance" aspect of the horn sound fits well with the holographic image of Leia; the aural distance mirrors the perception that this message is being heard here and now, but is a recorded message from another place and time. Thus, the sound of the horn reinforces the audience's perception of the visual image. It enhances the feeling of physical, geographical, and temporal distance.

Later, the theme is played again when Obi-Wan Kenobi is killed, reinforcing the themes of loss and nostalgia. An entire dissertation could be devoted to Princess Leia's theme and how it is integrated into the subsequent movies, re-worked and modified. The opening major sixth that follows the flute and oboe introduction exudes the hopefulness, while the high Ab creates a sense of tension and sorrow as the solo progresses. The higher range contributes to the perceived

[145] As discussed later, the horn solo in *Always* may reflect not only Pete's inner emotions and personal growth, but may illuminate the inner feelings of the female character, Dorinda.

emotional intensity in this section, where the music has modulated and is constructed in such a way that it highlights the minor third leap to the high Ab. This leap into the higher range may also hint at the angst of her plea for help. The "Leia's Theme" horn solo below is included in Williams's *Signature Editions for Horn:*[146]

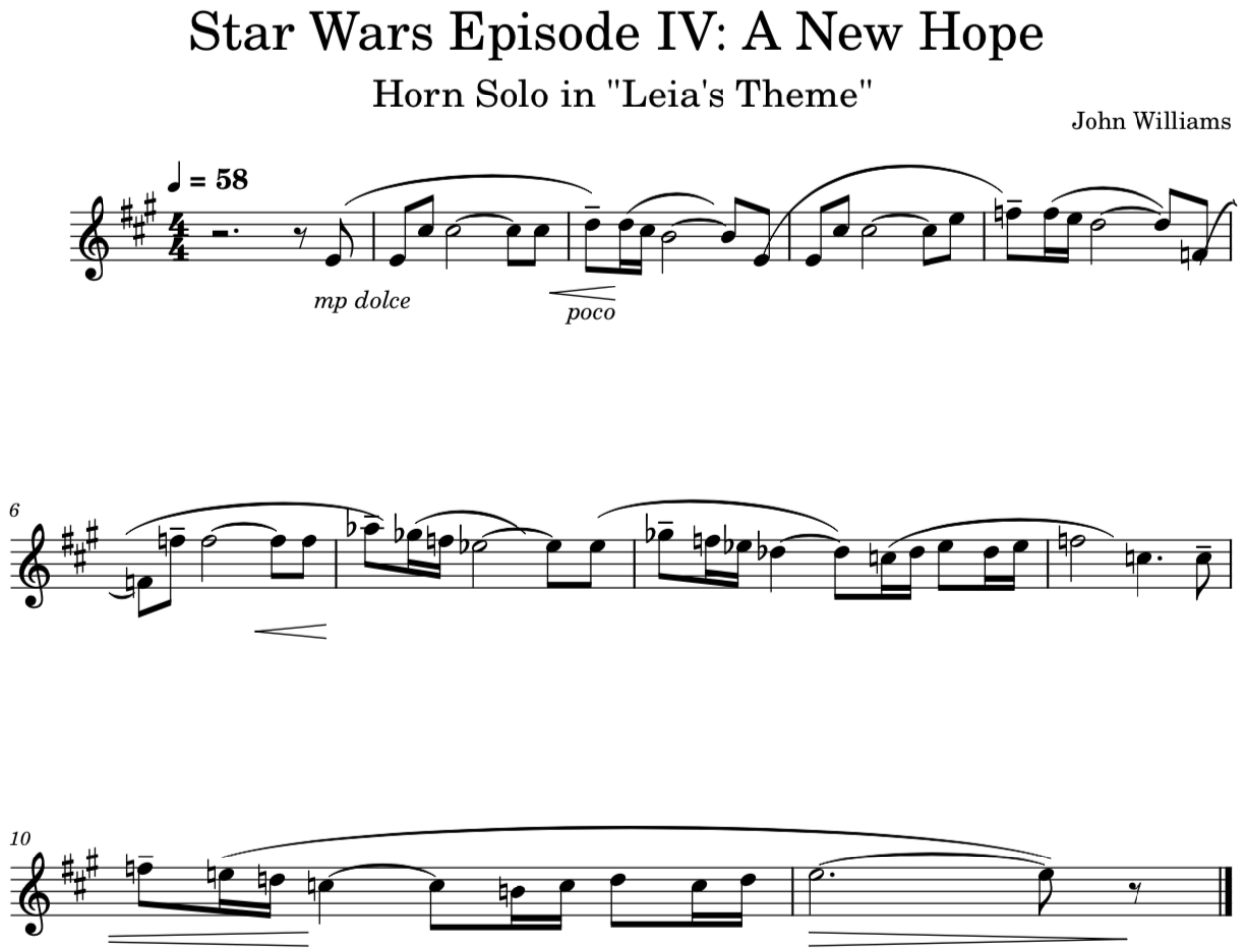

Figure 17: Horn Solo in "Leia's Theme" from Williams's Star Wars Episode IV: A New Hope

[146] John Williams, *Signature Editions for Horn* (2010).

Lyrical Horn Solos of the 1980s:

Example 6, Bill Conti's "Mickey" from *Rocky III* (1982)

Bill Conti scored the 1976 sports drama film *Rocky*, a film written, directed, and starring Sylvester Stallone about a heavyweight wrestling champion. Conti scored four sequels and notable films such as *Karate Kid*. He wrote extended horn solos in the original *Rocky* film; however, his horn solo in "Mickey" from *Rocky III* is most notable.

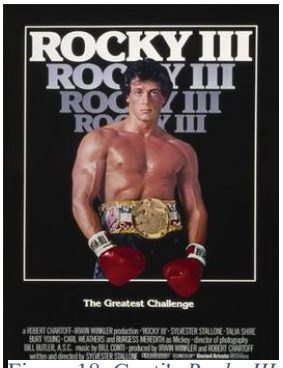

Figure 18: Conti's *Rocky III*

In *Rocky III,* Rocky Balboa's trainer and mentor, Mickey Goldmill, is violently shoved by Rocky's adversary, James "Clubber" Lang just before the beginning of their match. As a result, Mickey suffers a serious heart attack. Rocky wants to call off the match, but Mickey urges him to continue. Rocky's fury toward Lang initially gives him the edge, but he hasn't trained sufficiently and loses the match.

Afterward, Rocky must face a greater loss: after saying "I love ya, kid," Mickey dies. Accompanying this scene is one of the longest horn solos in film. The solo line moves back and forth between the violins and the solo horn (with some overlap) and carries over into the next scene, depicting Mickey's funeral. The music is written as an underscore to the diegetic sounds, including Rocky's crying and the funeral officiant's prayers. The entire horn/violin melody is quite long—it lasts 4:37 minutes. Marc Papeghin has created a beautiful cover of this work, and has written a transcription:[147]


Figure 19: Rocky mourns his mentor Mickey's death in Conti's *Rocky III*

[147] Marc Papeghin, transcriber and publisher. Bill Conti, composer. "Mickey" from *Rocky III,* 2020.

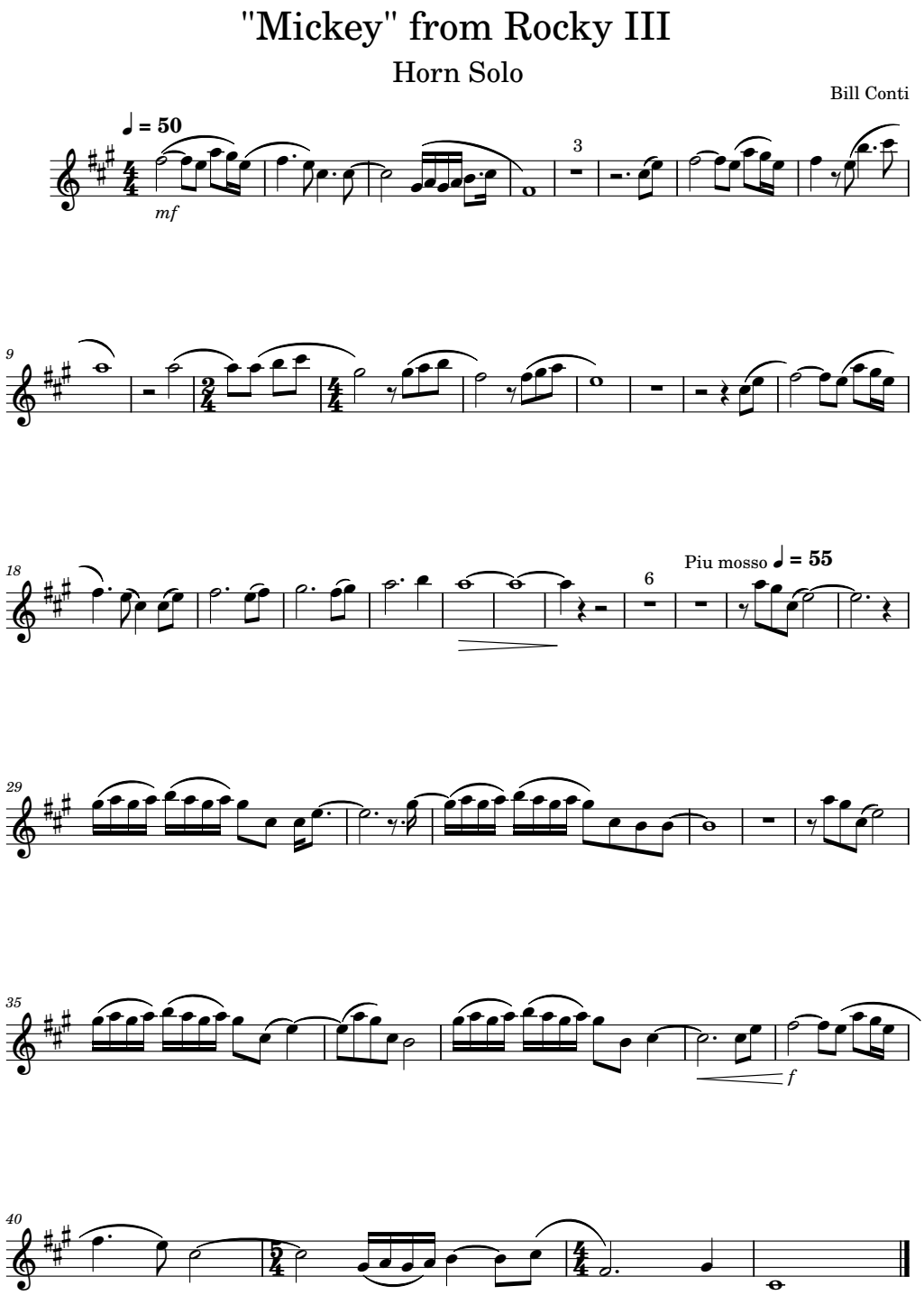

Figure 20: Horn Solo in "Mickey" from Conti's Rocky III

The solo horn and the violins work together to create the mournful atmosphere heard in the distance, under diegetic sounds. The melody is in A major (D major in concert pitch) and also serves to connect the actual death scene and the funeral scene. The horn's timbre is yet again employed to provide distance, nostalgia, and loss. To emphasize the poignancy and pain expressed, the horn plays in the extreme high register for the majority of the solo line, until the very end, when the solo line concludes on a mid-range C#. This solo line reaches as high as the high C# (F# concert) two octaves higher than this "final resting" note. Horn players are generally not expected to play higher than a C (F concert). The register contributes to the painfulness of Rocky's loss. In addition, it may also be a nod to the concept of an afterlife in heaven, the ethereal, and the mysterious.[148]

Like Goldsmith's *Islands in the Stream,* this film employs the acousmatic voice of the horn within the pastoral topic. The solo portrays Rocky's loss, grief, and pain as he faces the death of his beloved mentor. The horn's voice speaks in a more powerful way than Rocky could with his words; he is not a man of eloquence. The scene's diegetic sounds are not displaced by the music. Instead, Stallone's loud crying seems to have taken the aural foreground. Readers interested in hearing the horn solo may find Papeghin's version more satisfying, as he omits the weeping. However, the crying may have been chosen as a further way to elicit an empathetic response from the audience, and to demonstrate the raw, harsh pain of the profound loss.

[148] In the 1985 science fiction film *Cocoon,* James Horner also uses the extreme high horn voice multiple times, particularly in scenes that convey the emotional state of the aliens, who are both mysterious and noble. For a thorough discussion of the use of the horn in this film, please refer to Yi-Hsin Cindy Liu's dissertation, "The Examination of the Appearance and Use of the French Horn in Film Scores From 1977 to 2004."[148] Horner uses the solo horn in conjunction with several other solo instruments, including guitar and oboe, and Liu focuses on Horner's use of the horn in noble and heroic scenes, as well as more intimate and sad scenes.

Example 7, Williams's "Among the Clouds" from *Always* (1989)

Figure 21: Williams's *Always*

The 1989 movie *Always* features Richard Dreyfuss as Pete Sandich, a hot-shot firefighter pilot, who manages to save his best friend's life, but loses his own during the rescue. His best friend, Al Yackey, is played by John Goodman. The film's premise is that he has returned to earth in spirit, and while the audience can see him, he is an unseen ghost that characters can hear as if it were their own thoughts. He has been sent back to Earth by Hap (Audrey Hepburn) to spiritually guide Ted, a young aspiring pilot, as well as to say goodbye to his girlfriend, Dorinda Durston (Holly Hunter). Although he is meant to inspire, he struggles to carry out his mission, especially when he realizes that Dorinda and Ted share mutual interest in each other.

At the film's climax, the horn solo highlights emotions commonly associated with the horn, including a sense of noble heroism, profound loss, and distance. The use of the extreme high horn spans eleven minutes (1:44:00 and 1:55:00) and is a prominent part of the aural landscape for the climactic ending. I have chosen to discuss the horn solos leading up to the main solo, but only include the main solo transcription. However, the horn is used extensively leading up to this main solo and is pertinent to understanding the lyrical horn's use.

Near the end of the movie, when the high horn voice is featured, (1:44:11), Dorinda has just stolen a plane. Another desperate fire emergency is unfolding, and Dorinda bravely attempts a perilous mission into the inferno to save trapped firefighters on the ground. The nobleness of her selfless act is highlighted by the horn's voice. Pete's spirit has accompanied her in the plane and unsuccessfully tries to convince her to stop, but she is determined to attempt the daredevil mission. Again, her heroism—and his loving help from a distance—are highlighted by the horn.

The audience sees her plane high in the sky at precisely the moment the horn solo reaches its highest note of the solo, the high C# (F concert). Here, the pinnacle of the intense scene and the climax of the horn solo align. The most significant turning point of the film is now presented.

The peripetia of the film occurs as a double climax; first in this moment's action and later, in Pete's transformed spiritual state. In the action climax, Pete finally shifts his tactics; by doing so, he transitions from a static to a dynamic character. He stops trying to dissuade Dorinda, he accepts that she will continue her mission, even if she loses her life. He accepts her resolve to continue and chooses to help her succeed and survive, rather than protecting her or allowing her to perish. He successfully guides Dorinda. She both saves the firefighters and survives. The horn solo lasts approximately a minute during this critical scene (1:52:05-1:53:04). This emotionally wrought climax contains the film's most intense emotions. Then, she crash-lands her plane in a lake. Using his voice, Pete guides her out of the water-logged plane to safety (1:54:00-1:54:20).

As she emerges unscathed from the dangerous mission, the second, spiritual peripetia occurs. She stares down the runway at the significant people in her life, including her friend Al Yackey and her potential new boyfriend, Ted. As she contemplates her next "takeoff," Pete's spirit stands next to her and speaks gently to her while the lyrical horn solo continues (1:54:38-1:55:04). Pete tells her: "There's the rest of your life, Dorinda. I want you to go to them. I'm releasing you. I'm moving out of your heart. Go on. Go on."

Pete wants her to have a full life, including love. She listens to him, and the audience participates in this intimate moment with the assistance of the voice of the horn in an extended solo. The solo is transcribed by Papeghin (copied below) and is also available in concert pitch in Williams's *Signature Editions for Horn.*

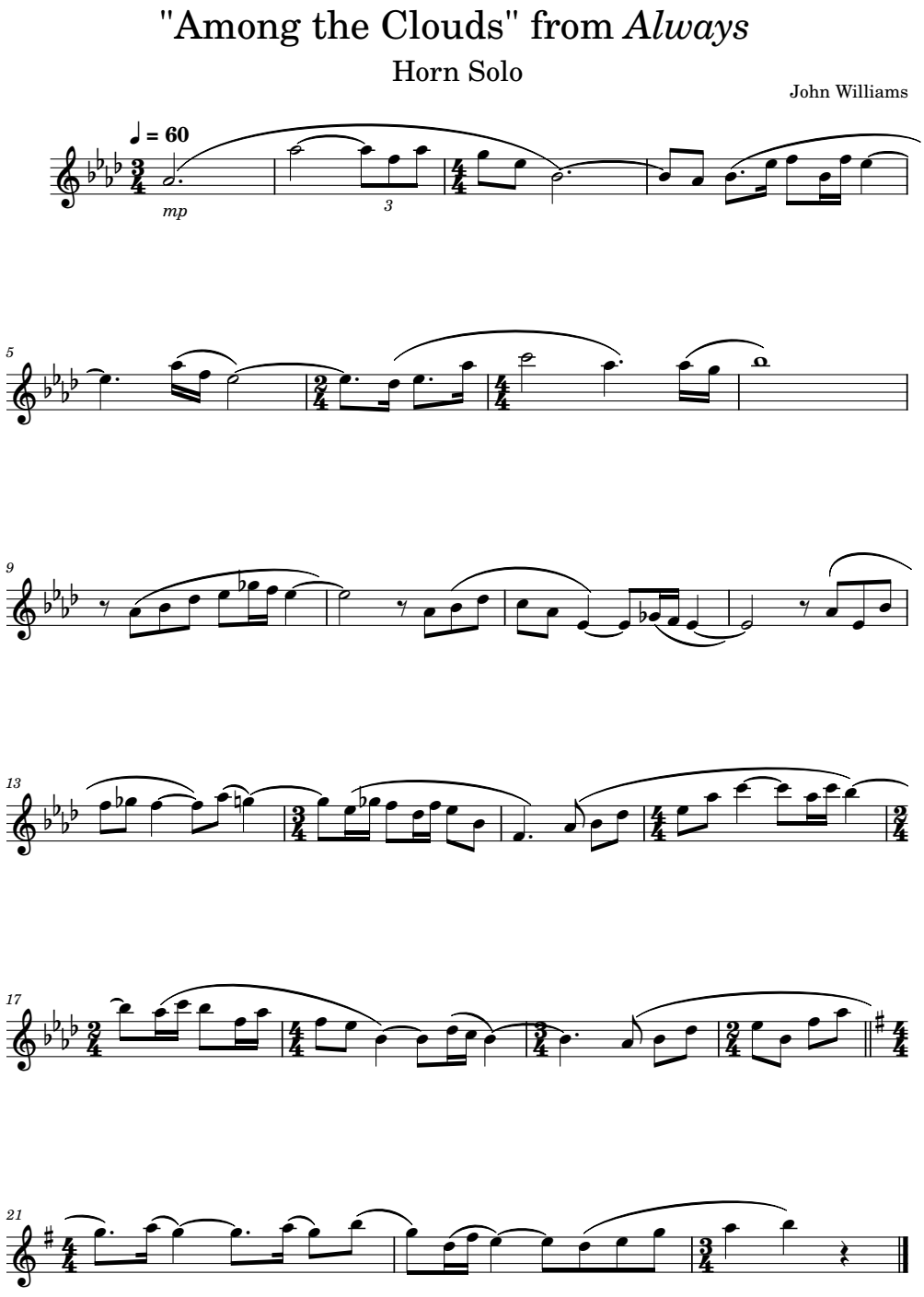

Figure 22: Horn Solo in "Among the Clouds" from Williams's *Always,* Trans. by Marc Papeghin

Here, the lyrical horn's voice enhances the scene's emotions through several already stated *topoi:* distance, love, loss, complexity, and the concept of the noble, heroic heart are all reflected. I believe Williams chose the horn to convey the complexity of this turning point, when Pete simultaneously releases Dorinda and confesses his love for her (something he was unable to do when he was alive). The horn's timbre, rich with its own complexities, captures this last, distant, most noble sacrifice. Already a hero of action, Pete transcends humanity's inherent selfishness and achieves a new spiritual state. He overcomes his inadequacies and finally acts with noble strength of character.


Figure 23: Dorinda in *Always*

Specific, trademark characteristics of this lyrical horn solo include an *Adagio* tempo, a legato style, Williams's use of triplets, large intervallic ascending leaps, and the use of the horn's extreme high register. As in most of his lyrical horn solos, Williams's solo utilizes the horn's mid to high register, but this solo is particularly high. This solo, like the horn solo in Conti's in *Rocky III*, reaches the highest notes of any film solo I know, landing on a high C# several times (F# concert). This extreme high range further highlights the angst, the heavenly/angelic association, and Pete's ability to transcend humanity's selfish nature. Indeed, this solo presents one of the most noble moments of all lyrical horn solos.

In regard to the pastoral *topos,* this film presents a hero who can't achieve his greatness until he has passed. The film requires a suspension of disbelief right from the beginning, and continues to require substantial engagement of the audience. Everything about the film demands that boundaries are expanded, including life after death, the existence of ghostly powers, and the idea that those that are living can hear and be influenced by those that have passed on. Thus, it stands to reason that the pastoral topic now applies not only to a self who is able to find himself

in Nature. Here, an individual hero discovers his heroism in the afterlife. This film extends the literary concept of the pastoral into new territory. Monelle's research argues that the pastoral concerns itself with ideal shepherds and idealism in general, not with real country people. Pete returns from heaven to achieve true heroic, noble sacrifice. My analysis of "Among the Clouds" supports Monelle's pastoral definition and refurbishes it. The pastoral topic, the horn's voice, and Pete's status as an unusual "angel/ghost/hero" create a new twist on the pastoral's focus on death and the idyllic that includes spiritual achievement in the afterlife. This new take on the pastoral *topos* merits further investigation, but is outside of the scope of this research.

In addition, another angle is also outside of the scope of this work. While I have focused on the horn solo as it relates to Pete, it is worth noting that Pete is a ghost; Dorinda is the primary living character of the film. Could the horn solo be interpreted instead as voicing her ascension to heroism? Or perhaps their relationship transcends the material and body-dependent relationships of our world, morphing into something else more beautiful, intimate, and noble? The complexity of the use of the horn solo in these last few minutes of *Always* invites a second, more thorough examination of this music and its significance.

Lyrical Horn Solos of the 1990s:

Example 8, from the 1990s: Williams's "Arlington" from *JFK* (1991)

Figure 24: Williams's *JFK*

The 1991 film *JFK* is an American political thriller directed by Oliver Stone that examines the assassination of President John F. Kennedy. The film presents a theory that Lee Harvey Oswald (Gary Oldman) was not a lone actor but part of a complex, politically-backed assassination plot. The film primarily follows the New Orleans

district attorney, Jim Garrison (Kevin Costner), who attempts to convict New Orleans businessman Clay Shaw (Tommy Lee Jones) as a major player in the plot.

The main "JFK Theme" is presented at the beginning of the film by solo trumpet. It is preceded by a short, snare drum soli followed by a *piano* horn soli section marked "distant" in the score. The horns play an open Eb and Bb that ascend to Bb and F, respectively, thereby creating a meme-like instance of a horn call of parallel fifths. The extended trumpet solo begins as this open chord fades away.

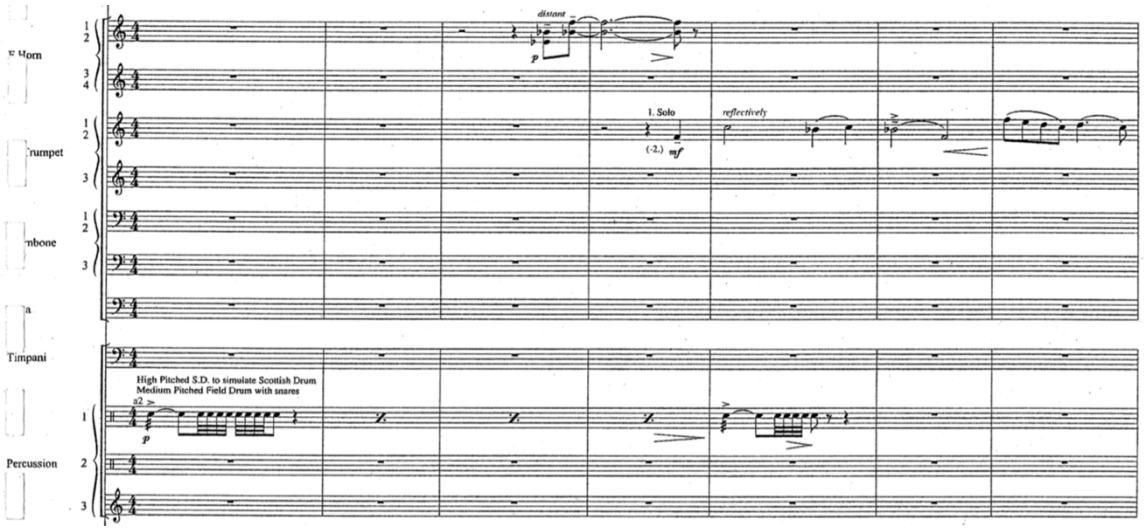

Figure 25: Score Excerpt of the Beginning of "Arlington" from William's *JFK*

This trumpet solo acts as the basis for the horn solo in "Arlington." In *JFK,* the "Arlington" horn solo takes place when Garrison arrives in Arlington. Arlington is a neighborhood in Washington, D.C., and is recognized for three symbolic features: the Arlington National Cemetery, where many patriotic soldiers are laid to rest fighting for their country, the Arlington Memorial Bridge, which includes several memorials honoring historical heroes, and the Arlington Avenue. Along with the Memorial Bridge, the Arlington Avenue serves as a

ceremonial entrance to Washington, D.C. It leads to the Lincoln Memorial, which often symbolizes the core values and honor of President Lincoln and by extension, the nation.

The first instance of the horn solo is an abbreviated echo of the trumpet solo. It occurs when Garrison explains to his men his distrust that the case is as simple as it first seems. He points out that the area of the city is riddled with intelligence community government buildings, then asks his two detectives Bill and Lou if they don't think it's "a rather strange place for a communist to spend his spare time?" When Lou asks, "What you driving at, boss?" he answers, "We're going back into the case, Lou. The murder of the president." When Bill says, "Good lord, wake me up. I must be dreaming" the horn solo begins (37:44). As the solo horn continues, Garrison replies, "No, you're awake, Bill and I'm deadly serious. We're going to start by tracking down your anonymous source from three years ago. Now, how did you find out David Ferrie drove to Texas that day?" "Hell, I can't remember last night, let alone three years ago, boss." The horn solo, dialogue, and scene all end simultaneously. Here, only the first four measures of the solo are presented.

Williams has explained that the process of creating *JFK* as a documentary influenced his writing method and how his music was used in the film. He wrote more set pieces for the film which were then cut into smaller segments and used in various places, such as the above horn solo.[149] The film would be heavily edited later in the process, and would include "a lot of narration, voice-overs, that had to be edited or cut. Oliver Stone and I thought it might be a good idea to have set pieces of music, on which to build these segments of the film."[150]

[149] This method of writing, recording, and editing music to fit the film is also discussed in the Jim Thatcher interview in Appendix 2.
[150] Emilio Audissino, *John Williams's Film Music: Jaws, Star Wars, Raiders of the Lost Ark, and the Return of the Classical Hollywood Music Style.* (Wisconsin: The University of Wisconsin Press, 2014), 225.

The main horn solo occurs when Bill is approached by an FBI man. The man encourages him to jump ship before his career is ruined because he's working with Garrison (1:43:20). "Shut up, shut up! If you've got a brain in that thick skull of yours, listen to me. You listen real hard. Now get in the car." As Bill gets into the car, he gives the FBI man a look, and exactly at the same moment the horn solo begins again. As Bill reluctantly gets into the car, the pick-up G of the horn solo leads into the next scene, providing the audience a new aural focus as the next scene unfolds revealing iconic Washington, D.C.

The visual scene transforms into an aerial of the Washington Memorial, the Lincoln Reflecting Pool, and the Lincoln Memorial. As the horn solo continues, the camera focuses in on the Lincoln Memorial steps, where a man is walking. It is Garrison, who meets a former government official ("Just call me "X") who shares top Black Ops secrets with him. The horn solo stops while they meet each other and is replaced by subdued chords in the high strings.

The horn solo returns, underscored beneath the dialogue, when X explains to Garrison that he won't reveal his identity. The mysterious "X" explains, "I'm not with the agency, Mr. Garrison. I assume if you've come this far, what I have to say interests you. But I'm not going to name names or tell you who or what I represent, except to say you're close." At this moment, in which he acknowledges that Garrison's suspicions of secret government involvement are correct, the horn solo begins again, but this time, in the second half of the solo transcribed below. This solo entrance is the section of the horn solo that involves angst and is not included in the opening trumpet solo. It first appears in the horn solo, and is marked in the transcription below.

Garrison continues as the horn solo continues beneath him: "You're closer than you think. Okay? Everything I'm going to tell you is classified top secret. I was a soldier, Mr. Garrison. Two wars. I was one of those secret guys in the Pentagon that supplies the military

hardware--planes, bullets, rifles. They're what we call Black Operations--Black ops. Assassination, coup d'états, rigging elections, propaganda, psych warfare, and so forth." In World War II, I was in Rumania, Greece, Yugoslavia." The horn solo ends here, although "X" continues to explain his prior secret government work to Garrison.

The horn's solo is a modified version of the main "JFK Theme" first presented by the trumpet, as it begins with the same structure but adds a new twist to the end. The primary modification occurs at the end of the solo; whereas the trumpet's solo stays more regal and more similar to its first phrase throughout, the horn's solo instead leaps into the high range of the instrument in measure 10, adds more chromaticism, then returns to this range again. The solo begins with the heroic and noble G to D (concert C and G), but ends with angst and again, of course, loss of innocence. Here, it not only encompasses the loss of President Kennedy but also the loss of trust in the government. The horn demonstrates a greater complexity on a meta level: The first part of this solo harkens back to the trumpet solo, full of noble heroism and optimism, while the second half adds the more sordid details of grim, secret, and suspicious activity carried out by the government. The irony is clear; this divulging of government secrets takes place at the Lincoln Memorial and the Arlington Avenue--the iconic and ceremonial symbols of honor and integrity in Washington, D.C.

Several scholars provide powerful tools to examine this horn solo. This solo presents the main theme first presented by the trumpet. As Adler notes, the horn has a more mellow, less brilliant sound. While the trumpet's timbre may represent a more pure, regal patriotism, the horn's more complex, melancholic timbre may denote a tarnishing of the shiny, polished original theme. In addition, the horn's quieter sound compared to the trumpet is supported by Wakefield et al's research that connects the more intimate knowledge of what is really under the hood of the

government. Finally, Eerola et al's research demonstrates that timbre has emotional cues even when dynamics are removed. Therefore, with Wakefield et al and Eerola et al taken together, this solo functions very effectively within the pastoral topic.

The "Arlington" horn solo combines the trumpet's calm, pastoral innocence with jarring dissonances when Garrison learns about the complex inner workings of the government. Finally, the horn solo voice seems unable to "keep calm" and is analogous to a scream in its emotive content as it reaches measure 10 (marked with an arrow, below) and again at the end. This metadiegetic voice speaks not only to how Garrison feels, but guides the emotional interpretation of the audience.

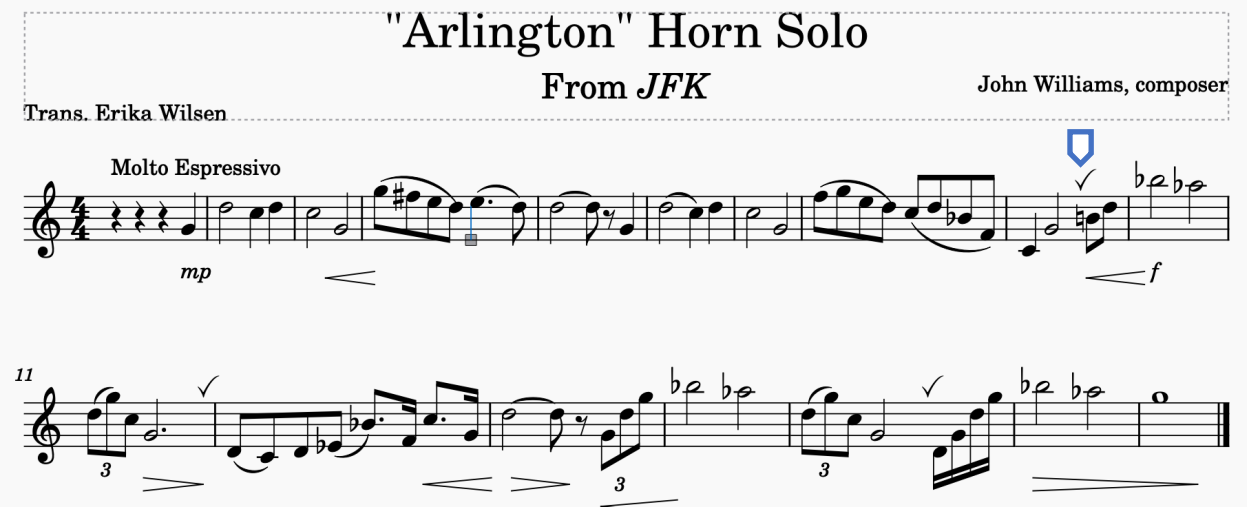

Figure 26: Horn Solo in "Arlington," from Williams's *JFK*

The horn solo begins in a classic horn call ascending fifth, and continues to play the open notes on the harmonic series, creating a feeling of natural simplicity. The opening melody (which is a direct quote from the trumpet solo) could have been written by Beethoven (in fact, it is vaguely similar to the opening of his Sonata for Horn and Piano, Op. 17). Yet, as the solo continues, it becomes rich in poignant color tones, especially the high Bb and Ab, or minor third

and minor second. Williams using his signature triplets as well as the rapid 16th notes outlining the tonic and dominant as the final dissonances are presented again at the end. The last three notes (minor 3rd, minor 2nd, and the tonic) create a mournful, descending line, suggestive of the 18th century half-step sorrow gesture or "sigh." While the melodic line begins with a noble, heroic sentiment, it ends with a solemn, sorrowful rhetoric. This horn solo embraces the diverse *topoi* of the horn, from its fanfare-like horn calls of noble heroism at its start to its mournful, pastoral *topos* of inner, reflective contemplation in the middle to its conclusion that conveys the corruption, loss of innocence and idealism in the scene. The solo seems to illustrate that truths are often complex and not always pure or patriotic.

Example 9, from the 1990s: Williams's *Sleepers* (1996)

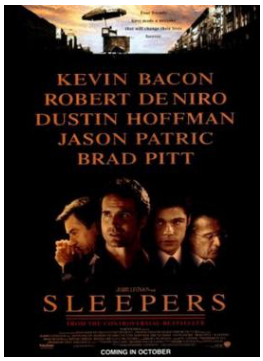

Figure 27: Williams's *Sleepers*

Sleepers is a legal crime drama by Barry Levinson, and is based on Lorenzo Carcaterra's 1995 novel of the same name. The dark film revolves around the plight of four young teenage boys from the Hell's Kitchen neighborhood in New York City. After their actions cause a tragic accident, and a man is killed, they are sent to a boys' reform school. Their punishment, however, is far more traumatic: the boys are subjected to horrific conditions that include repeated physical and sexual abuse at the hands of several prison guards. The movie follows them into adulthood, revealing how each boy has been irrevocably damaged by their past. Ultimately both revenge and justice—in their own, morbid way—are served by the end of the film. The overall emotion conveyed by the horn solo is very similar to the horn solo in Bernstein's *On the Waterfront.* One of the greatest tragedies in both films is that no matter what triumph may occur, the damage and loss cannot be undone.

Williams repeatedly employs a specific horn solo in *Sleepers,* which occurs for the first time in the "Main Title," and is repeated throughout the film. Here, the horn solo presents a tightly knit trio of integrated emotional themes, including painful remembrance, loss of innocence, and tragic mourning. This solo is very similar in its emotional content to the opening horn solo (that is also repeated at the beginning of part 2) in Bernstein's score for *On the Waterfront.* In both cases, the horn is primarily unaccompanied, although in the *Sleepers* solo, a solo flute joins the horn in m. 5 (0.17 seconds), playing a countermelody.

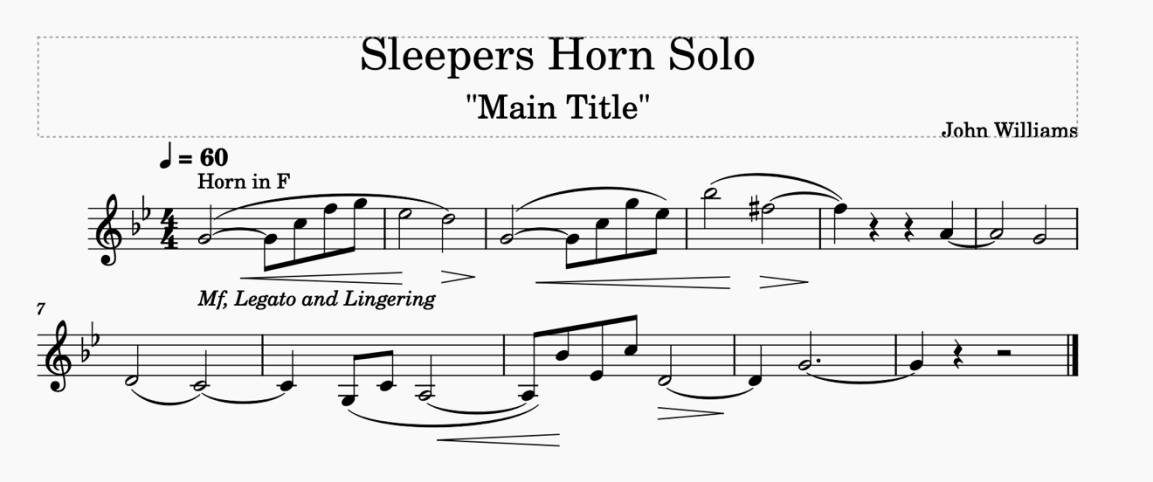

Figure 28: Horn Solo in "Main Title" from Williams's *Sleepers*

Example 10, from the 1990s: Williams's "Healing" from *Rosewood* (1997)

Rosewood is an American historical drama based on the true, grim history of a small, predominantly African American town in Florida. In early 1923, after a white woman falsely alleged that a Black man had beaten and raped her, racial tensions lead to a racially motivated massacre and the destruction of the town. The guilty woman, Fanny, has lied to cover up her infidelity and physical abuse at the hands of a

Figure 29: Williams's *Rosewood*

lover. The disturbing film portrays many incidents of senseless abuses, largely at the hands of a violent mob of white men.

Williams uses the lyrical voice of the horn in several, key moments of the film. I have chosen to focus on the longest, most poignant solo, but there are numerous other shorter horn solos, particularly in the final twenty minutes of the film. In the last few minutes, things have gone from bad to worse; innocent blood has now been shed.

The scene that correlates to the extended horn solo takes place approximately one hour and 25 minutes into the movie, after much of the emotional weight of the movie has become evident. The innocent joy of the young boy's birthday celebration inside the Carrier home is juxtaposed with the angry, violent white mob that gathers outside. Innocent Aunt Sarah, a black elder woman, is fatally shot by a mob member, precipitating the film's final massacre. Sheriff Ellis is caught in the violent middle between these two communities.


Figure 30: Aunt Sarah from *Rosewood*

Sheriff Ellis is outside of the Carrier house with the mob. He cautiously approaches a long, wooden coffin and discovers the bloody body of Aunt Sarah. James Taylor—Fanny's naïve husband—doesn't know about his wife's prevarication. He approaches Sheriff Ellis.

James tells Ellis, "This wasn't supposed to happen. She worked in my damn house, Ellis." Just after these words of shock and anger, the lyrical horn solo begins, in "Healing." The distraught Ellis replies, "Then give her a proper Christian burial, James." Several men are needed to carry the heavy coffin away. As the horn solo takes over, with no dialogue now, the camera


Figure 31: Sheriff Ellis and Fanny from *Rosewood*

focuses in on several disturbing images that speak to the deep sadness of the moment. Williams wrote a spiritual in the style of a Negro Spiritual. It is titled “Look Down, Lord,” and is first heard sung by a choir in the film’s “Main Title” music. The horn solo is a re-worked version of the spiritual. The lyrics, style, and mood of the spiritual are well-suited to the bittersweet, sorrowful film:

“Look Down, Lord” from *Rosewood*
by John Williams

Look down, Lord, look down
This time I'm comin' home
It's late now sweet Jesus, take me now
This time I'm coming home

Look down, Lord, look down
Been hard time and I can't wait
Oh, look down, sweet Jesus, hold me now
This time I'm coming home

There's so much sorrow 'round this time
Lord, look down, please, look down
Oh, I been wanderin far and travelin' long
I'm weary now, please, look down

Free me, Lord, take me
I need to come and walk with Thee
Sweet Jesus, Lord, won't you hold me now?
This time I'm coming home

Look down, look down
Look down, look down
This time I'm coming home

Spirituals, also referred to as “sorrow songs,” were originally unaccompanied, monophonic solos. Williams chooses the lone horn solo for this reiteration of the spiritual, first heard by a chorus of human voices. It is the voice of the horn that conveys the strongest emotions in this extended scene, as the camera’s eye captures the symbolic frames of the

tragedy: First, the audience watches one of the uncouth mob taking a swig of a bottle, then the camera pans in to reveal Sylvester Carrier's burning piano, enveloped in flames. Next, the audience sees the untouched birthday cake abandoned on the table, with flames burning all around it. Finally, as the solo continues, the final object of focus is the family members in the Carrier family portrait, with special attention given to Aunt Sarah and to the young birthday boy.

The recurring themes of loss, innocence, and loss of innocence are all well-stated here by the voice of the horn, which supplants the diegetic sounds that would be associated with these images (shouts, crackling flames, breaking piano strings, screams). The horn's voice thus directs the audience's attention to the emotional impact of the disaster, and additionally provides aural space for the audience to imagine these horrific sounds, while simultaneously presenting a long, smooth solo. The timbre of the horn adds poignancy, a feeling of loss, and even creates a certain mythologizing effect, sweeping the audience into the psychological space of the film's inhabitants. Rightfully so: the "close-up" characters of the Carrier family personalize this town's tragedy, ushering in the audience, who bear witness to the profound impact the tragedy imprints on multiple, innocent generations of Black families.

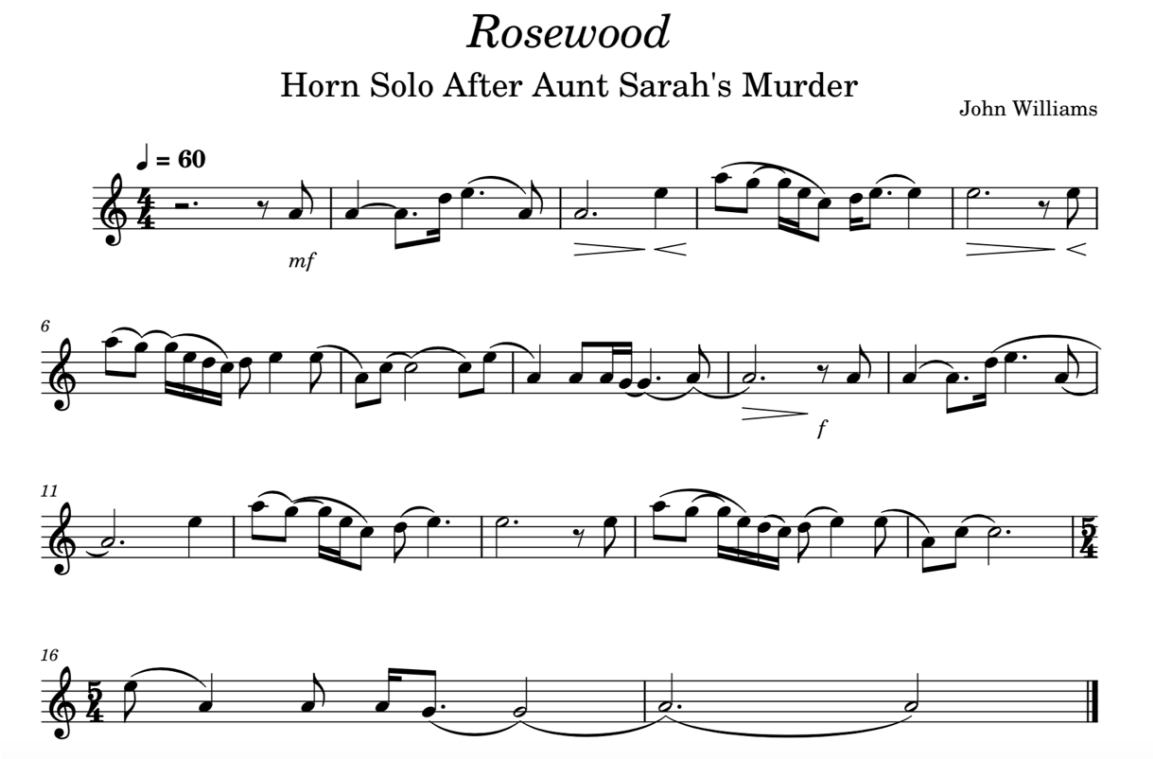

Figure 32: Horn Solo in "Healing" from Williams's *Rosewood.* Transcription by Marc Papeghin

The horn solo continues as the scene fades into the next. In contrast to the horrific scene the audience has been privy to, the next scene shows Fanny Taylor sitting on her couch. As James walks in, clearly upset from the events that have just unfolded, she is characteristically oblivious. Instead, she whines that she wants Aunt Sarah to clean up the house soon, and the horn solo ends as James tells her that Aunt Sarah won't ever be coming back.[151]

In this example, the pastoral topic is less present in the composition of the solo than in the other examples, because Williams is re-deploying his original spiritual. The spiritual has its own characteristics. However, the horn's voice adds the thematic components that present loss, grief, and mourning through its *topos*.

[151] In my interview with James Thatcher, he indicated that this solo was added toward the end of production, and that in his view, Williams realized that the voice of the horn would work well to present the reiteration of this Negro Spiritual in this scene.

Lyrical Horn Solo Example from the 2010s:[152]

Example 11, from the 2010s: Williams's "Freedom's Call" from *Lincoln* (2012)

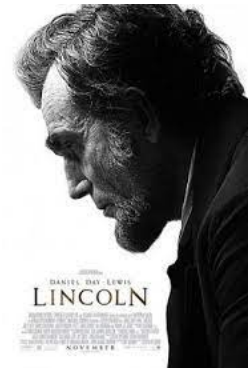

Figure 33: Williams's *Lincoln*

Yet another example of the lyrical horn solo holds prominence in Williams's "Freedom's Call" from *Lincoln* (2012). The movie has several other moments when shorter horn solos are employed to guide the audience's emotional response; for example, when Abraham Lincoln mourns the loss of his one of his children. Williams writes the longest horn solo at the most climactic moment of the film, when the House of Representatives is casting votes for the 13th amendment, which would abolish slavery.

The curmudgeonly, obstinate, and highly principled Thaddeus Stevens, one of the leaders of the Radical Republicans in the 1860s, chooses to lower his high standards so that the 13th amendment, which he fervently fights for and believes in, can win. Throughout the film, the audience sees that Stevens is passionate about achieving equality for all. The suspenseful, momentous decision is made at the 11th hour, so to speak. He believes that the 13th amendment does not go far enough. Other in his party face almost certain defeat, since they know he won't back down from his high moral standards and beliefs. Yet miraculously, he finds himself able to swallow his pride and compromise, and the amendment can be ratified.

[152] There are many horn solos from the 2000s, but I have chosen to discuss another aspect of the use of the lyrical horn in this decade in the following chapter, chapter 3.

As the audience realizes Stevens's own personal sacrifice—which clearly none of the audience in the movie expected—Williams employs the voice of the solo horn. The lyrical horn solo in "Freedom's Call" expresses nobleness, heroism, and sacrifice—as well as a twinge of disappointed acceptance.

Figure 34: Thaddeus Stevens from *Lincoln*

The concept of distance could apply in several interesting ways in this scene's use of the horn. First and foremost, the horn's voice is again associated with the inner emotions of a character, so it functions as a kind of musical soliloquy, akin to a main character's "aside" to the audience in a theatrical scene. The audience becomes privileged with additional information, and is aware that this "aside" or soliloquy of emotional information is intended for them. Secondly, the distance embedded in the sound of the horn may also point to the significant distance still needed to right the wrongs and provide equality for all. Stevens seems painfully aware that the accomplishment was a great one, but that much has been lost as well. Again, the horn's sound functions on multiple levels of the scene's interpretation.

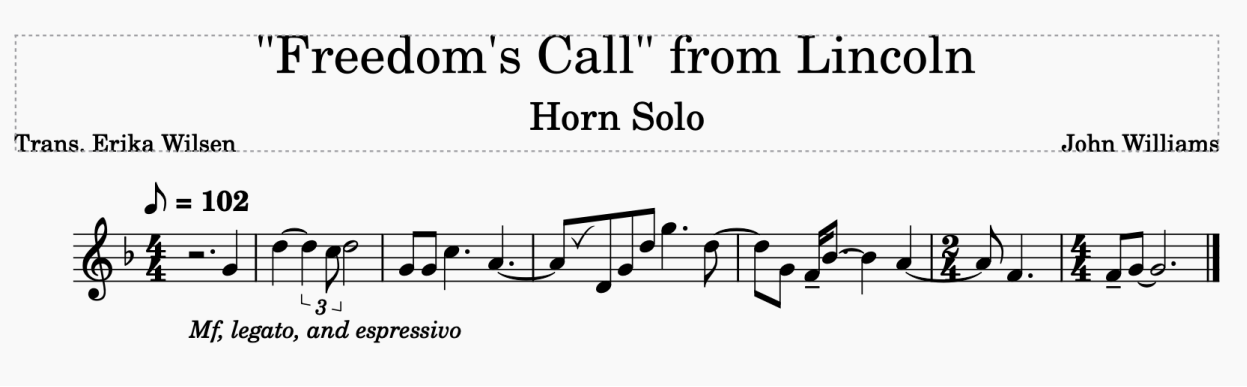

Figure 35: Horn Solo in "Freedom's Call" from Williams's *Lincoln*

An analysis of this horn solo reveals all the characteristic aspects of the pastoral horn solo voice: It begins with a classic, large ascending interval (the perfect 5th a more "noble" sound than others, perhaps), an *Adagio* tempo, a melodic contour that ascends a total of one octave and eventually returns to its initial note: these all align with the pastoral horn solo defined in this dissertation. The overall emotional state presented is reflective self-introspection; it is intended to feel "internal" rather than showy or demonstrative. Further, Monelle and Hatten's pastoral *topos* definition again rings true here. Stevens is a hero, who must look deep within and make a noble sacrifice. He finds himself in the scene as well; like Pete from *Always,* he must accept self-sacrifice for greater good. Finally, the multi-dimensional emotional content is akin to the emotions associated with the horn solo in the 1989 film, *Always.* Stevens must give up more of what he believes should be afforded to Blacks, but realizes that he must compromise his high standards to realize successfully a smaller but significant win. This scene's emotional complexity calls for the rich timbral tapestry that the acousmatic horn voice delivers.

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Conclusion: The Lyrical Horn in the Pastoral Topos

I propose that a lyrical horn solo in the pastoral *topos* functions in a metadiegetic manner, similar to a theatrical soliloquy. Like a soliloquy, it is an intimate "aside" to the audience that conveys the on-screen character's inner emotions and invites the audience's empathy. The lyrical horn solo is a powerful, unseen voice in film, similar to Chion's acousmatic voice. The horn's voice speaks directly to the audience, sharing a character's innermost thoughts and feelings.

Lyrical horn solos in the pastoral *topos* can be identified through several common attributes. Although these are not requirements, they are prevalent markers. These attributes

characterizing the lyrical horn solo include: (1) a relatively large initial ascending interval, most often a perfect fourth, (2) an ascending phrase that begins within the treble clef (most often near the G or A, i.e., concert C or D) and reaches up to notes above the staff; (3) an adagio or andante tempo no faster than quarter note= 60; (4) a modest dynamic that is most often *mp* or *mf,* rather than very quiet or very loud (supported by Hatten's definition of the pastoral topic as an enhancer of the intimate); (5) legato style or legato articulation (furnishing reflective contemplation). In addition, a very common trademark of Williams's lyrical solos (but not all lyrical horn solos) is his tendency to use triplets, most often presented in the second half of the phrase. Not all of these are always present; however, these are consistent markers of the lyrical horn solo in the pastoral topic. Another commonality in these solos is their use of an ascending line that arrives at a surprising, "flattened note." This note seems to be half a step lower than what the ambient key would lead the listener to expect. This use of chromaticism adds poignancy to the solo; the flattened notes are similar to the "blue" notes of the genre of Blues. Perhaps its origins can be related to the descending half-step sorrow gesture or "sigh."

Of course, as I have maintained throughout this chapter, the horn's timbre is the heart of the horn *topos.*

This chapter has examined eleven lyrical horn solos in Hollywood film, with special attention to how the horn solos guide the emotional response of the audience. Especially, I have considered how the horn's function. Through investigating the horn's timbre and pastoral topic associations, I have shown that the lyrical horn solo in a pastoral topic functions as a musical soliloquy in film. In chapter 3, I discuss three alternate methods by which composers may extend the horn voice concept presented in this chapter.

Chapter 3

Extending the Horn Voice: Meme-Like Moments, Leitmotifs, and Soli Sections

***

Chapter Introduction

In chapter 3, I examine the additional ways the horn's lyrical voice has been used in Hollywood film. I present several examples illustrating the voice of the horn employed in a scene, where it provides additional emotional cues. While this chapter does not examine these instances as closely as the solos in chapter 2, it continues my argument that the unique voice of the horn—even when not used in a lyrical solo context—is used to convey certain emotions, and that these can be understood as comprising certain topics. These examples fall into three broad categories: meme-like moments, leitmotif treatment utilizing the solo horn voice, and horn section work. In each category, I provide two examples. At the end of the horn section discussion, I provide a short discussion regarding how the horn's associations extend beyond lyrical horn solos.

***

Meme-Like Horn Solo Moments

In this section, I illustrate shorter moments when the horn's voice is employed. These moments function like memes; each one references something bigger than itself. Although internet memes are often humorous, memes were originally defined without this connotation. Richard Dawkins first coined the term in his book *The Selfish Gene* (1976), stating that a meme "conveys the idea of a unit of cultural transmission, or a unit of imitation."[153] The current definition builds on this original one, stating that memes are "an idea, behavior, or style that

[153] "Meme," Wikipedia.

spreads by means of imitation from person to person within a culture and often carries symbolic meaning representing a particular phenomenon or theme. A meme acts as a unit for carrying cultural ideas, symbols, or practices, that can be transmitted from one mind to another through writing, speech, gestures, rituals, or other imitable phenomena with a mimicked theme."[154] The meme-like horn solo moments function like an aural snapshot, in a manner similar to that conveyed by the adage, "a picture is worth a thousand words." The audience can quickly comprehend a rich, full meaning with just a small, short reference.

Instead of allocating at least 20 seconds to a horn solo, the film composer can achieve a similar emotional response from the audience through a much briefer "horn meme" moment. These moments may be half as long, or include just a few seconds or a few notes. The shortest meme I have heard includes just two notes, but can be quite effective in conveying the intended emotional response from the audience. In my research, this two-note meme is most often a dominant to tonic ascending motion (V to I).

Meme-Like Moment Example 1: Randy Newman's *Seabiscuit (2003)*

Randy Newman uses a meme-like horn moment in an early scene of *Seabiscuit* (2003). The scene highlights the fine, well-educated upbringing of "Red" Pollard, one of the main characters. As the family's children sit around the table, their well-mannered and educated father is quizzing them on various poetry that he quotes. He commends Red on his knowledge of so many poems. As the father recites Emily Dickinson's poem, "We never know how high we are," the most common horn meme is employed. It corresponds with the noble lines of the poem:

[154] Ibid.

We never know how high we are
Till we are asked to rise
And then if we are true to plan
Our statures touch the skies—

The Heroism we recite
Would be a normal thing
Did not ourselves the Cubits warp
For fear to be a King—

The horn meme corresponds to the final line; here, the horn timbre enhances the regal heroism and noble character of the poem with its *topos.* I find this example particularly interesting, as Newman sets up the horn sound in this scene and returns to it in several scenes, including those that encompass both the celebratory, fanfare aspect of the horn (in the race) as well as the more nostalgic side (when tragedy befalls Red). I believe that this early scene primes the audience to hear the horn sound as signaling emotive impact throughout the film.

Figure 36: Horn Meme-Like Moment from Newman's *Seabiscuit*

This scene provides a stark contrast to the upcoming scene; as a result of the Great Depression, the family experiences financial ruin and sends Red to live with a horse trainer. As the film continues, the horn moments are extended into longer, more lyrical lines. These include many solo and soli horn sections, encompassing both tragic and celebratory moods.

Meme-Like Moment Example 2: Randy Newman's *Monsters, Inc.* (2001)

In the 2001 comedy/adventure animated film *Monsters, Inc.*, composer Randy Newman uses the solo horn voice to convey a sense of loss and inner searching, illustrated in the following two examples. The animated film follows Mike and Sully, two friendly monsters who are just doing their jobs to scare a child, Boo. After nearly an hour of the film (55:00), Sully successfully scares the unsuspecting Boo. As he reviews pictures of his "scare attack," Sully realizes how much he terrorized Boo, and feels remorse (55:50). This moment is accompanied by a short, meme-like horn solo, similar to the one mentioned above in *Seabiscuit*. I believe that this short moment is meant to create empathy: just as Sully feels remorse, the solo horn sound invites the audience to join him in this self-realization moment. Sully becomes aware that his "great work" is actually creating true fear and anxiety in the child. This moment sets up the second use of the solo horn, in which Sully faces his own fear and anxiety.

The second *Monsters, Inc.* moment occurs approximately six minutes later. The two friends have literally been "shown the door" by their boss, and have been transported through the door to the goofy Abominable Snowman's cave in the Himalayas. A music-less dialogue scene between Mike and Sully highlights the sadness and regret Sully feels about how he made Boo feel (59:04). Mike, who feels betrayed by his best friend's sympathy toward Boo, becomes upset.

Mike's discomfort with Sully's choice to help Boo climaxes into a serious rift between the two friends. Sully wants to go search for Boo, but Mike wants no part in it. Sully tells Mike, "But Boo's in trouble. I think there might be a way to save her, if we can just get down to that….." Mike interrupts:

"Woah, woah, WE?! No, there's no 'WE' this time. If you want to go down there and freeze to death, you be my guest. Because you're on your own."

After these words, Mike, crosses his arms over his chest, then turns his back on Sully. The camera focuses in on Sully's disappointed, sad face as the horn solo begins (1:02:16). As the solo continues, the despondent Sully walks out into the cold, wintery, blizzard-like conditions. Here, I believe the horn solo functions as an acousmatic voice. The audience associates it with Sully's inner emotions: he has been rejected by his best friend.

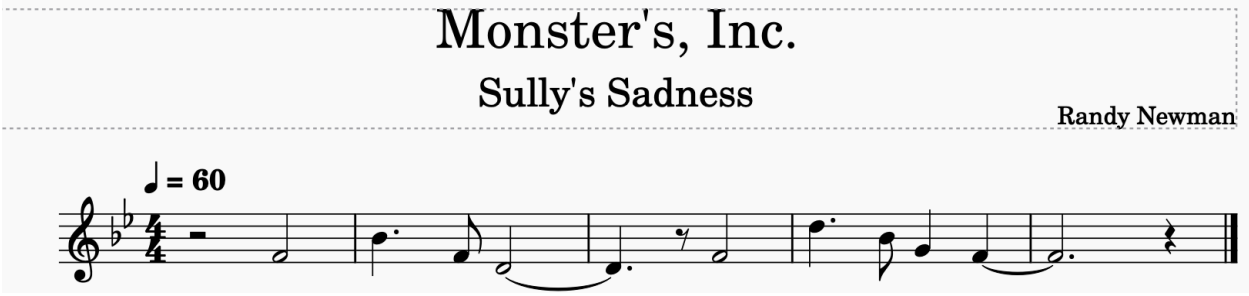

Figure 37: Horn Meme-Like Moment from Newman's *Monsters, Inc.*

This horn solo starts on exactly the same two pitches as the *Seabiscuit* example. As it continues, it creates a simple arpeggiated contour that outlines the Bb (concert Eb) arpeggio in the first sub-phrase, then adds the additional 6th scale degree in the second sub-phrase. The simplicity and spaciousness of the phrasing highlights the instrument's timbre. The entire solo provides a sense of sadness and loss. Sully may lose his best friend, even though he is acting nobly to help Boo. The horn's timbre is well suited to the scene: it provides both a noble association and a feeling of loss. This example demonstrates how the horn's unique sound—even in a short moment—can enrich the scene's intended emotional impact.

Meme-like horn moments are by definition very short; however, they may be the most efficient use of the horn sound. They are often heard at a scene's conclusion, when a scene is transitioning from some sort of "low moment" emotionally to a new scene with different

emotional content. Thus, they often function in two ways: 1) meme-like horn moments augment the current scene's feeling of loss; 2) meme-like horn moments provide a sense of closure to the scene, often summing up how the scene has affected one of the characters. Most often, the character feels a sense of loss. More research could further excavate the way meme-like moments are used. I suspect that the horn's historic, cadential use (much like a timpani) may explain the continued prevalence of meme-like moment continues in Hollywood film.

Many horn solos may be described as "slightly longer meme-like moments," which take place for only a few seconds, or are completed in just one phrase. These solos may be categorized as taking place between five and twenty seconds. Given their length, these solos are more like the example from *Monsters, Inc.* rather than the *Seabiscuit* example. They function in the same way as meme-like moments, using the horn's timbre to evoke emotions. The instances that stand out most include significant loss, such as the death of a family member or the loss of someone or something important, and can be heard in film music throughout several decades.

For example, a short horn solo occurs in the George Bruns score for *101 Dalmations* (1960) when Roger reports that they have lost one of Perdita's puppies in childbirth. Although on the longer side, Jerry Goldsmith's score for *Star Trek: The Original Motion Picture* (1979) includes two melancholic horn solos, first when two crew members are tragically lost in a transport accident, and later, when Ilia and Will Decker, former lovers, briefly converse about their complicated past. Another example takes place in Randy Newman's score for *Toy Story* (1995), when Woody is trapped in a crate and his best friend won't help him escape. A horn solo is also heard when Lincoln mourns the death of his young son in Williams's *Lincoln* (2013).

In the next section, I examine how leitmotifs that are presented by the solo horn voice enhance the audience's interpretation of the scene. Like the horn meme-like moments, these

examples depend on the horn timbre's associations. This unique deployment of a leitmotif by the solo horn voice functions similarly to the lyrical horn solos in chapter 2.

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Leitmotifs and Timbre: How the Solo Horn Voice Adds Another Dimension

In the same way that a leitmotif functions to identify a character, place, or idea, and musical *topoi* conjure specific associations, the timbre of the solo horn can be thought of as a *topos*, replete with its own, complex emotional connotations.

While a leitmotif may identify a character (for example, Gandalf in *The Lord of the Rings*) the instrumentation chosen to present the leitmotif enhances the audience's interpretation of the narrative and character development in the scene. The instrument's timbre becomes the emotional variable, and must communicate the emotion, since the actual leitmotif must stay constant or be only slightly modified. Several film composers such as Shore and Williams are skilled at evolving their leitmotifs, and add complexity to the character by doing so. However, the leitmotif must still be constant enough to be easily identified as itself. The timbre of the instrument(s) that present the leitmotif become the primary aural vehicle of the scene's emotive quality. It communicates not only how the character thinks and feels, but also indicates or suggests how the audience might choose to think and feel as well.

The timbral differences between iterations of the leitmotif become related to intended emotions. For horn solos, these associations can be traced back to the musical *topoi* of the horn. Williams's use of the horn solo in the iconic "Binary Sunset" demonstrates an artistically crafted, instrument-specific timbral deployment, but of course there are many examples of the use of the horn solo and its timbre in the past 70 years of film music. These connections are often heard by audience members and used to interpret the intended emotions, even if the viewer is not

consciously aware of it. In his book on Shore's *The Lord of the Rings* music, musicologist Doug Adams often notes the scoring used to present leitmotifs, such as detailing that "Mordor's hoard of leitmotifs favors low strings and deep brass."[155] He delineates several other common instrumental connections, such as connecting the French horn sound to the world of men.

In her article, "Williams versus Wagner or an Attempt at Linking Musical Epics," Irena Paulus discusses how Williams closely follows Wagner's use of leitmotifs. Although it is widely understood that Williams employs leitmotifs in his *Star Wars* music, Paulus closely investigates how Williams exemplifies the continued use of the true Wagnerian leitmotif.

Paulus's article considers several definitions of "leitmotif," eventually embracing the explicit definition provided by John Warrack. She argues that Williams meets the criteria set up by this more accurate definition of the term. According to Warrack, a leitmotif is defined as:

> A theme or other coherent musical idea, clearly defined so as to retain its identity if modified on subsequent appearances, whose purpose is to represent or symbolize a person, object, place, idea state of mind, supernatural force or any other ingredient in a dramatic work, usually operatic, but also vocal, choral or instrumental. The leitmotif may be musically unaltered on its return, or altered in its rhythm, intervallic structure, harmony, orchestration or accompaniment, and also may be combined with other leitmotifs in order to suggest a new dramatic condition.[156]

As Paulus explains, Williams uses a "web" of leitmotifs, just as Wagner employed in his operas.[157] Wagnerian leitmotifs originate from a single motif or theme which is then modified and morphed throughout the narrative. These changes are subtle, because the leitmotif needs to remain fundamentally connected to its original iteration. Paulus provides her reasoning:

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[155] Doug Adams, *The Music of The Lord of the Rings Films: A Comprehensive Account of Howard Shore's Scores* (Van Nuys, CA: Alfred Music Publishing, 2010), 98.
[156] Irena Paulus, "Williams versus Wagner or an Attempt at Linking Musical Epics." *International Review of the Aesthetics and Sociology of Music* 31, no. 2 (2000), 156.
[157] Paulus, 153.

> Wagner's idea of the leitmotif, that is of a musical thought that is reiterated throughout the work, linked with some character, concept, object or idea, frequently appears in film music. But since film composers address the leitmotif much more simplistically than Wagner, their running motifs are better referred to as film themes. Nevertheless, John Williams used leitmotifs in the genuine sense of the word. He has come very close to the practice of Wagner in the various procedures in which he varies and transforms his themes, and in using the idea of the thematic image (the arch-theme that is the unifying element of the musical material). However, the similarity of Williams's and Wagner's leitmotifs is the greatest in the area of kinship of themes (a series of new themes or motifs derive from a single motif or theme) on the basis of which both of them create a web of mutually related leitmotifs. The closeness of the procedures of the two can also be found in the area of melody, rhythm form, harmony, instrumentation, and even in the domain of the ratio of the old and the new in their music.

Paulus extrapolates her identification of this "kinship of themes," using the dichotomy of the good versus evil themes presented as the first categorization method. She further connects the two composer's work, showing how the leitmotif collections are related to each other.

To further her argument, she directly contrasts Gorbman's definition of the more generic "film theme" with Warrack's definition of a true, Wagnerian leitmotif. Gorbman states that a film theme is:

> any music - melody, melody-fragment, or distinctive harmonic progression - heard more than once during the course of a film. This includes 'theme songs,' background instrumental motifs, themes repeatedly performed by or associated with characters, and other recurring nondiegetic music.[158]

Many solos discussed in chapter 2 fall into this definition; they are film themes. In contrast to this "film theme" definition is Warrack's definition of a Wagnerian-style leitmotif. Other lyrical horn solo examples such as the "Binary Sunset" are part of the "kinship of themes" and are true Wagnerian-style leitmotifs.

[158] Paulus, 157.

Paulus's research more firmly establishes the close connection between Williams's and Wagner's leitmotif function. In addition, Paulus asserts that "the closeness of the procedures of the two can also be found in the area of melody, rhythm, form, harmony, instrumentation, and even in the domain of the ratio of the old and the new in their music."[159] While this may be true, her statement leaves room for further exploration, including their instrumentation choices. Wagner is known to have used the horn extensively in his Ring cycle, and it is often a featured instrument in his music dramas, such as in its role as both a diegetic and non-diegetic instrument in *Siegfried's Call.* Although it is outside the scope of this research, I believe further study will undercover a wealth of interesting connections here.

The solo horn voice presents a leitmotif to furnish a more nuanced and emotionally enriched understanding of a scene. These leitmotifs function like the lyrical solos discussed in chapter 2. In both cases, the horn voice works in distinct ways to convey associative feelings, most often of nostalgia, loss, and nobleness. Sometimes, leitmotifs are connected with certain instruments, such as the characteristic trombone voice for arch-antagonists.

However, leitmotifs are often not instrument-specific. What do the unique voices of the instruments or their pairing add to the soundscape of the scene? Leitmotifs are presented by different instruments and in different combinations, such as the harp and/or the flute. What happens to a leitmotif when the horn sound is plugged into it? Put another way, what does the horn sound's additional "aural lens" add to the audience's understanding of the leitmotif treatment? I argue that the horn voice enhances the leitmotif through its timbre, adding the same affectual and pastoral topic qualities present in the abovementioned and longer horn solos.

[159] Paulus, 157.

The horn solo augments a leitmotif's emotional impact, layering its recognized connotations with new ones. These examples serve to support a new, side argument of my research: the very sound of the horn itself can be used even outside of the lyrical solo context and still provide the same or similar associative emotional affect. There are many other examples; a few are discussed below.

Leitmotif Example 1: John Williams's *Superman* (1978)

The unique voice of the solo horn is often utilized when an additional filter of emotional impact needs to be included in the music. An example of such an instance is found near the end of the 1978 film *Superman: The Movie.* When the horn presents the "Love Theme" it transforms into a more complex theme than its initial presentation, a new, complex iteration that encompasses both love and profound sorrow (2.58-3.25).

In the last few minutes of the movie, Superman, who has proven throughout the movie that he is not only good and honorable but also capable of miraculous feats, has successfully chased down and redirected the antagonist Lex Luther's missiles. He has saved countless lives, including children on a school bus and his colleague, the newspaper's photographer Jimmy Olson. Jimmy is precariously hanging on the Hoover Dam as it begins to crumble.

But when Superman reaches Lois Lane, who he has come to love, he pulls her out of her buried car and realizes that he's too late: Lois is dead. As he cradles her dead body, the love theme that is already associated with their love for each other begins. In this special instance, however, the love theme must express their mutual love, but there is heart-wrenching grief as well, as Superman faces the truth: she is dead.

Williams chooses the solo voice of the horn to play the "Love Theme" in this moment, as he is forced to face the loss of his true love. The use of the horn in this moment enhances the grief and sorrow that the audience empathetically experiences. The association between the solo horn timbre and deep grief has already been established near the beginning of the movie, when the teenager Clark Kent loses his adopted father, Jonathan Kent to a sudden heart attack. This shorter, meme-like horn solo functions through the already established *topos* of the horn solo and enhances the feeling of loss that the audience can be expected to share with Clark. In addition, it sets up the most climactic moment of loss, when he has lost Lois. Of course, being Superman, he meets this grief by defying his true father's rules and turning back time so that he can save Lois Lane after all.

Leitmotif Example 2: Shore's *The Lord of the Rings: The Fellowship of the Ring* (2001)

Howard Shore is adept at incorporating leitmotifs throughout his films that are presented by different voices. Like the *Superman* example above, the voice of the horn is chosen to add another layer of emotional meaning to the leitmotif, which already has its own associations. Further, in Shore's works, various instruments including the horn are used to present varying melodies that all present a leitmotif.

Shore uses the horn in this way in both *The Lord of the Rings: The Fellowship of the Ring* (2001) as well as in the other films in his *Ring* and *Hobbit* trilogies. Here, Shore carefully employs the voice of the solo horn to present certain leitmotifs to produce a more nostalgic feeling, or feeling of loss. In other words, the themes often remain the same or are modified only slightly, and represent not just a character but often a place or entity, such as the Shire or the world of men. Thus, he combines leitmotif technique with the horn's timbre, adding another

layer of emotional complexity to the leitmotif, that already has associative themes (such as the world of men or the shire). He relies on the *topos* of the horn solo voice to achieve greater emotional complexity.

For example, when Frodo and Sam leave their homeland, the solo horn presents the Shire theme, which is associated with the hobbits and their comfortable homes and way of life in the Shire. The solo begins immediately after Sam says, "If I take one more step, it'll be the farthest away from home I've ever been," to which Frodo replies, "Come on, Sam" and goes back to help convince him that he has enough bravery and heroism to continue their quest. This moment presents the Shire leitmotif with the horn timbre; it uses the solo horn sound to portray the characters' complex emotions. In fact, it combines both of the contrasting "dichotomies" of the horn's sound. On the one hand, the voice of the horn solo presents Sam's nostalgia and feeling of loss; on the other, Frodo encourages Sam to overcome his fear so they can continue on their heroic quest. This instance combines the nostalgia and noble heroism of the horn's *topos.* Although Shore's orchestration of this scene is not addressed by Adams, he notes that "Frodo and Sam's journey from home arouses pangs of melancholy."[160] Adams is thus proving Berlioz's point about its past and present cultural connotation: the horn timbre is often associated with melancholy.

This special treatment of leitmotifs, wherein the orchestration provides additional information through timbral associations, has also been recognized by Isabella van Elferen. In her discussion of the "epic soundtrack" sound in her article "Fantasy Music: Epic Soundtracks, Magical Instruments, Musical Metaphysics Source," she connects Howard Shore's use of

[160] Adams, 29.

leitmotifs to Wagner's cycle of music dramas, *Ring des Nibelungen*.[161] While considering Shore's leitmotif technique, she notes that the most important leitmotif is the heroic "Fellowship Theme," associated with Frodo and his companions.[162] Van Elferen states: "The theme is mostly played by the brass section, changing to a slow solo horn with string accompaniment only when Boromir dies."[163] The horn's voice adds the same emotional content as the solos mentioned in chapter 2: honorable death, grief, and loss are at the heart of this scene. Van Elferen's transcription of the leitmotif and part of her analysis are included here (italics are mine):

> This is a firm three-part rising statement of the tonality of D minor that rhythmically stresses heavy beats: the key is first established through the tonic, third (F) and tonic chords, then followed by a melody ascending via the somewhat melancholy sixth B flat—*every hero needs her or his touch of the tragic*—towards the subdominant G, and ended in exclamatory fashion by a repetition of the first establishment of D minor which this time rises up an octave.

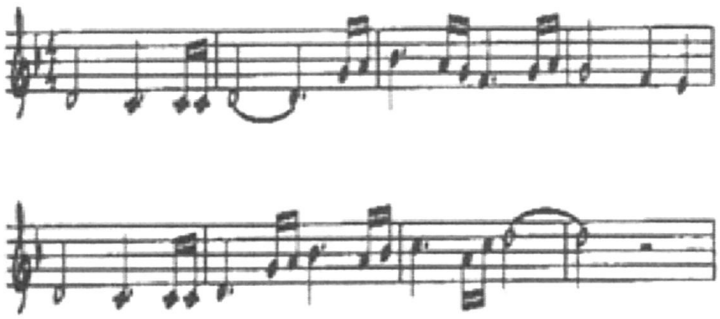

Figure 38: "Fellowship Theme" from Shore's *The Lord of the Rings,* from van Elferen's "Fantasy Music"

Thus, the horn itself, separate from any melody, can create the same associative connotations solely through its timbre. Van Elferen also offers insight on another aspect of the

[161] Isabella van Elferen, "Fantasy Music: Epic Soundtracks, Magical Instruments, Musical Metaphysics Source," *Journal of the Fantastic in the Arts,* Vol. 24, No. 1 (87) (2013), International Association for the Fantastic in the Arts. https://www.jstor.org/stable/, 7.
[162] Van Elferen, "Fantasy Music," 7.
[163] Van Elferen, "Fantasy Music," 7.

horn timbre's connection with heroism when she states, "*every hero needs her or his touch of the tragic."* If an element of the tragic is part and parcel of heroism, the horn's timbre—particularly in the pastoral topic—adds this twinge of loss, nostalgia, or grief. Although I have only listed a few examples, I have heard this kind of leitmotif technique employed often in film music.

Of course, in addition to the meme-like horn moments and the solo horn's presentation of a leitmotif, the sound of the horn is not only heard in a soloistic manner. In fact, the horn sound is most often heard as a section sound. As mentioned earlier, Hollywood scores often write for more than the typical orchestral set-up of four horns. Hollywood scores may include six, eight, ten, or even twelve horns. When this super-doubling occurs, the horns are usually playing in unison, rather than in harmony with each other. The voice of the horn then can be heard in a number of ways: as a solo, as a unison section, and as a harmonized section sound. In the final section of chapter 3, I explore how the latter two (horn section sound as unison voices or with divided parts) may often function similarly to the lyrical horn solo.

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Lyrical Horns: The Horn Section

My primary research focus has been the lyrical voice of the horn solo. However, horn soli sections can function as a lyrical, collective voice in film, too. The French horn sound has been an integral part of film music since the early days, and was part of the big, Romantic style of the 1930s-1950s. Horn soli sections are often used in Hollywood film to create a sweeping melodic line that is often in conjunction with the strings and is epic in quality; an early example of their use is in Steiner's "Main Title" for *Gone With the Wind* (1939), discussed earlier. A more recent example is the opening of *The Natural* (1984), in which Randy Newman references Aaron Copland's *Fanfare for the Common Man* with similar brass fanfare instrumentation, rhythm, and

wide interval arpeggiations. Newman also includes a simple horn solo as the opening scene unfolds that is also built around an arpeggio.

In addition, the epic horn soli section sound is featured in the many *Star Trek* "Main Titles," from the original film in 1979 through its many sequels. The *Star Trek* "Main Title" music often uses the wider intervallic leaps as well. In this context, the horns are not working in the pastoral topic. Rather, they are part of the fanfare topic, heralding a "brave new world" and exciting adventure. While it may not be as lyrical, Brian Tyler also uses the horn soli section sound in his *Avengers: Age of Ultron* (2015). There are many notable uses of the horn section in film; far too many to include here. In this final section of the chapter, I consider the horn section sound in two of Williams's more recent scores, "Hedwig's Theme" from *Harry Potter and the Sorcerer's Stone* (2001) and "Rey's Theme" from *The Force Awakens* (2015).

Lyrical Horns Example 1: Williams's "Hedwig's Theme" from *Harry Potter and the Sorcerer's Stone* (2001)

Williams references the horn's historical use as a messenger when he features the horn section in "Hedwig's Theme," in *Harry Potter and the Sorcerer's Stone* (2001). This theme is associated with Harry Potter's messenger owl, Hedwig. Hedwig is a magical owl who belongs to the fantasy world but travels between the mundane world of the non-magical muggles and the fantasy world. In his book on Williams's music, Audissino notes:

> [The theme is] heard at the beginning of each film—it is also retained in the subsequent five film chapters not scored by Williams. In the narrative it is associated with the magical world of Harry and his friends. It is a music box-like ethereal melody, backed by kaleidoscopic harmonies, and played with silvery timbre by the celesta—a carillon-like sounding instrument notably used in Tchaikovsky's "Sugar Plum Fairy Dance from *The Nutcracker* (1892).[164]

[164] Audissino, 226.

"Hedwig's Theme" is first heard as a horn solo before the on-screen film begins. This first aural reference is strikingly similar to Bernstein's use of the solo horn in *On the Waterfront* (1954), occurring in the first minute of the film, before any visuals have started. "Hedwig's Theme" is presented in the "Main Title" music shortly after the solo; this time it is played by the entire horn section. The theme is heard when Hedwig is first introduced, and is employed when other owls deliver messages between the magical world and the muggles world.

In addition to its association with the owl and its function as the main title music of the series, "Hedwig's Theme" is used several times as transitional music into the fantasy world. The audience hears it when Harry is traveling on the train (horn solo) and again when he first sees Hogwarts Castle, an impressive and formidable symbol of the magical world (horn section). Thus, to me, "Hedwig's Theme" is associated with the transportation into the magical world.

As Mark Richards has noted in his analysis, "Hedwig's Theme is one of the more flexible themes in Williams' oeuvre as it does not represent a single specific character or thing the way, say, the Imperial March represents Darth Vader and the Empire. Instead, Hedwig's Theme seems to represent the world of wizards and magic more generally."[165] I agree. Van Elferen's research connecting certain "magical instruments" with fantasy worlds also supports this argument, particularly with Williams's prominent use of the celeste in this theme.

However, I argue that "Hedwig's Theme" can be thought of as a leitmotif for magic's ability to carry Harry into another dimension altogether. It is not only the magical world itself that is referenced, but Harry's entry into this world—and by extension, the audience's entry. This definition would also explain the solo horn's use at the very start of the film, as the audience is

[165] Mark Richards, "John Williams Themes, Part 6 of 6: Hedwig's Theme from Harry Potter," (*Film Music Notes,* April 13, 2013), https://filmmusicnotes.com/2013/04/13/john-williams-themes-part-6-of-6-hedwigs-theme- from-harry-potter/

invited into this magical world. This concept is similar to Shore's description of how film music transports the audience into another world.

Like Harry, the audience is invited to suspend their disbelief and enter into the film's magical world. The horn's sound—replete with the feeling of distance—is used in "Hedwig's Theme" to enhance this idea of magical transportation. Audissino also notices Williams's intentional use of timbre. He asserts that Williams's *Harry Potter* music utilizes much of the Russian school, including "timbres and colors reminiscent of Stravinsky's *The Firebird* (1910)."[166] Indeed, Williams's opening "Hedwig's Theme" horn solo may reference the gentle, *piano* horn solo in the finale of *The Firebird*. It opens the finale with a calm, lyrical melody that lasts approximately thirty seconds. The melodies are entirely different, but in both cases the voice of the horn is associated with a fantastical bird.

In combination with "Hedwig's Theme," the horn sound becomes a metadiegetic voice that functions on multiple levels within and outside of the film narrative. It speaks directly to both Harry's experience and the audience's ex. Like the "Binary Sunset" scene, the audience is invited into the film through the voice of the horn.

Lyrical Horns Example 2: Williams's "Rey's Theme" from *The Force Awakens* (2015).

"Rey's Theme" demonstrates that the lyrical horn soli section continues to be an integral part of the Hollywood sound into the 21st century. It also illustrates the degree to which the horn is used in the lyrical main melody. Finally, it reveals further development of the horn sound. The horn sound is like a "main ingredient" in "Rey's Theme," and has various instrumental additions

[166] Audissino, 226.

or “toppings” added throughout. These additional voices may illustrate or hint at the additional complexities of the character.

Rey is the primary protagonist of the film and is a complex character that is fierce, bold, and strong but shows a softer side as the film narrative develops. She is introduced at first as a random, sharp-edged scavenger. As the story unfolds, she discovers that she is highly Force-sensitive. She is the ultimate underdog who transforms into the narrative’s central character.

Rey is portrayed as a well-rounded, complex character. The actress Daisy Ridley was chosen to play Rey because of her ability to portray an intelligent, complex character. When film director Dusan Lazarevic saw her audition for another film, he said, "She showed a combination of vulnerability and strength which gave her a complexity, and there was an intelligence in her eyes that was an indicator she could play quite a complicated part.”[167] Ridley has also commented on the character’s complexity, saying "It's not because Rey is strong that she's amazing. It's all the complexities of a human. It's because she is a well-drawn person who is struggling with things and you're with her."[168] It is revealed later that the evil Emperor Palpatine is her grandfather. She eventually takes the name Skywalker to honor the family legacy of the good side. As such, her character integrates both sides of the evil and good dichotomy. Of all the *Star Wars* characters, she is one of the most complex, certainly of the heroic type.

“Rey’s Theme” must be appropriately complex to fit her character. Williams uses the horn timbre throughout the theme, sometimes as a solo voice but even more frequently as a unison horn sound. He also integrates the horn sound in several different instrumentation combinations. I suggest that Williams intentionally used the horn for its ability to portray both heroism and the complexity of the character. Further, his method of combining the horn sound

[167] Wikipedia, “Rey.”
[168] Wikipedia, “Rey.”

with other instrumental timbres further contributes to the character's complexity. The examples below illustrate how the horn solo, horn section, and horn section with additional instruments are used often in "Rey's Theme."

In Williams's score for "Rey's Theme" the horn soli section carries the main theme again and again. At times, the horns are the only instrument carrying the melody, while other times, they are joined by additional instruments. These additional instruments may add their own associations. For example, the trumpet may contribute a more heroic steeliness, while the clarinets and English horn may present a softer, more gentle aspect to her character. The bassoon may hint at Rey's earthiness; after all, she is a scavenger and a no-frills kind of character, grounded in reality. These are speculations that would be interesting areas to explore in film's use of instrumental timbre.

Williams writes for four horns, which he sometimes has playing in unison (especially when the horns carry the melody on their own) and other times he writes separate lines for each horn. Below are examples of each:[169]

1. The horn solo (in unison with trumpet 4) leading into a soli section:

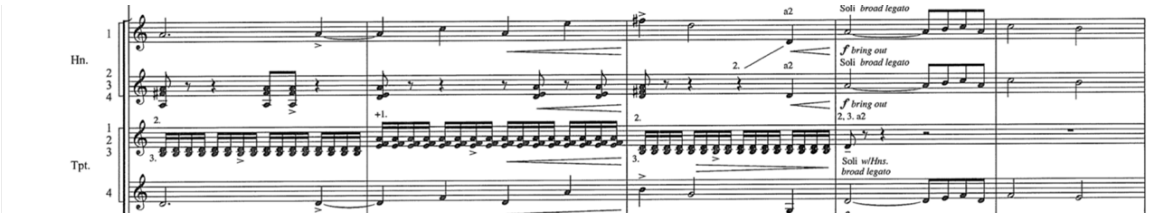


Figure 39: Excerpt 1 of "Rey's Theme" from Williams's *The Force Awakens*

[169] Williams, *"Star Wars: The Force Awakens" Suite for Orchestra* (Milwaukee, WI: Hal Leonard/John Williams Signature Editions), 2015.

2. Only the unison horn section carries the melody:

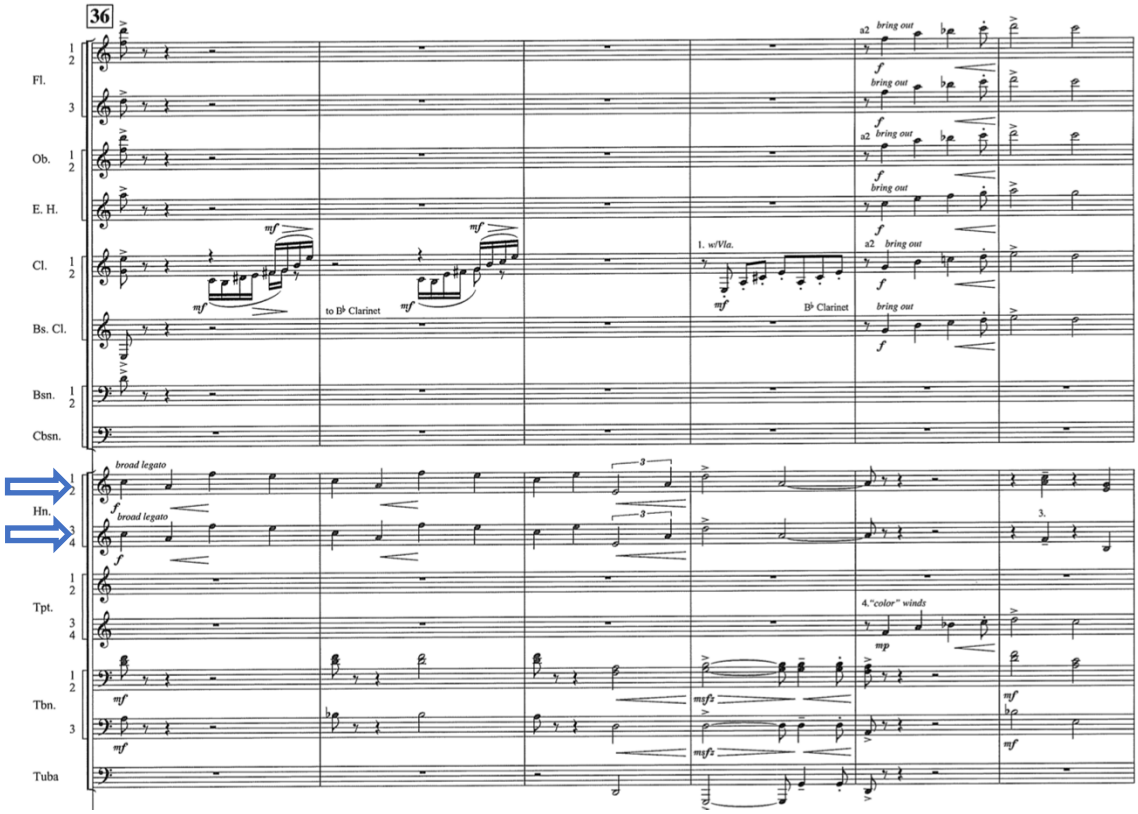


Figure 40: Excerpt 2 of "Rey's Theme" from Williams's *The Force Awakens*

3. The unison horn soli section with additional instrumentation:

   A. with 1st bassoon and clarinets

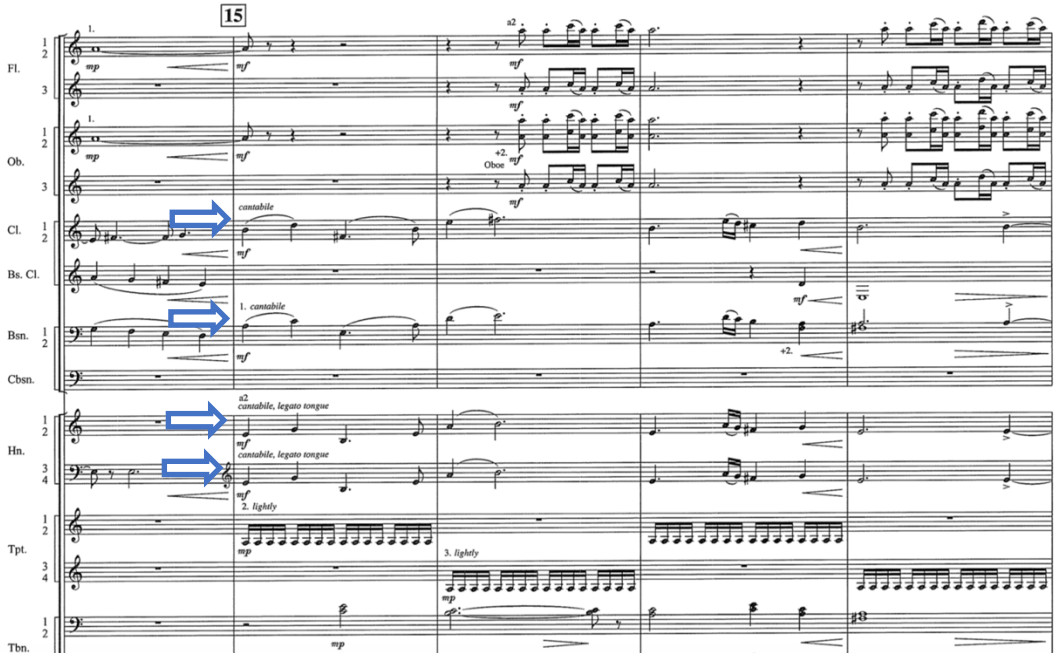


Figure 41: Excerpt 3 of "Rey's Theme" from Williams's *The Force Awakens*

B. Melody carried by soli horns 1 and 2 with 1st and 2nd violins and cellos (horns 3 and 4 providing harmony, and with an extra boost from the trombones in one measure):

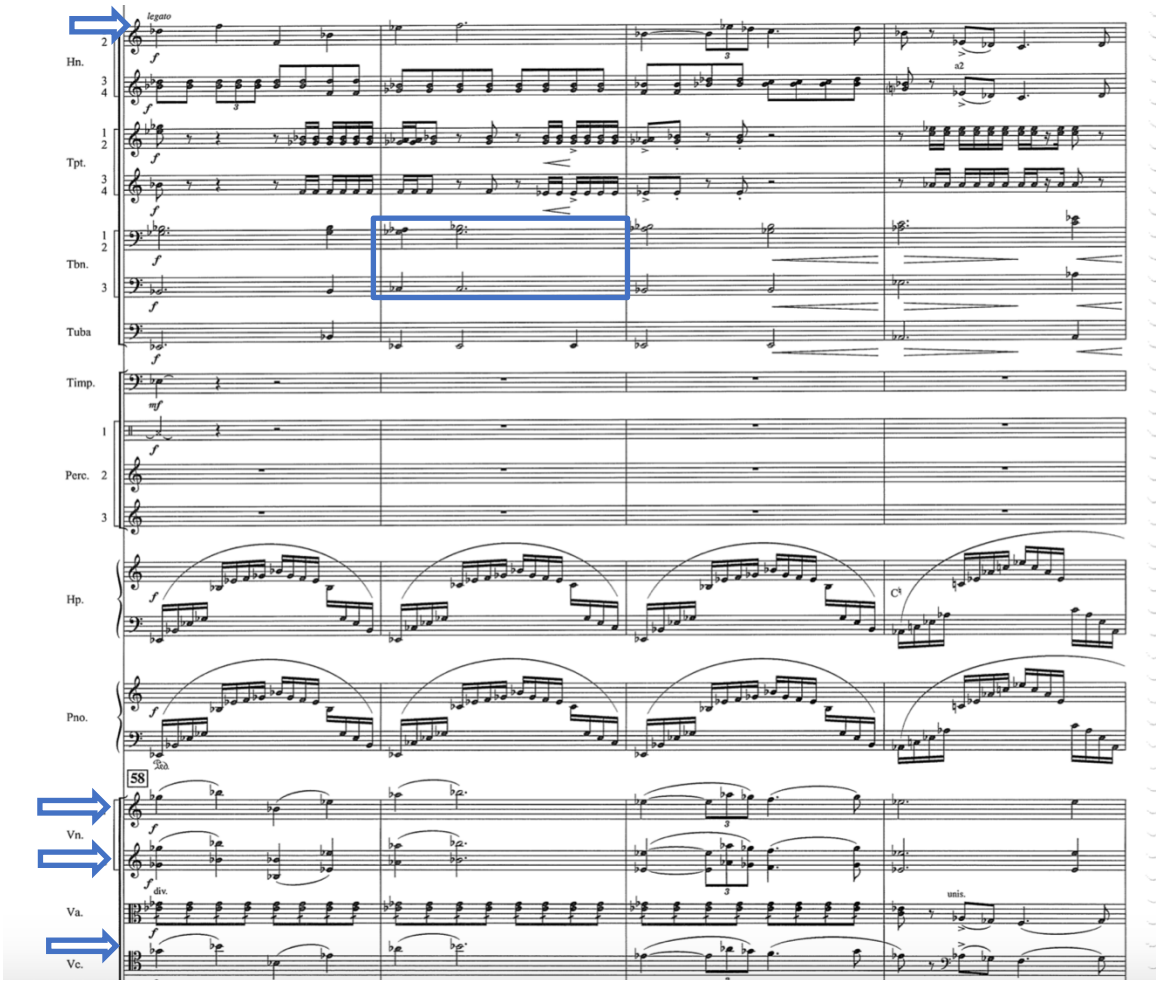


Figure 42: Excerpt 4 of "Rey's Theme" from Williams's *The Force Awakens*

C: Horn Soli (All 4 horns) with English Horn, 3 Clarinets, and 4th Trumpet:

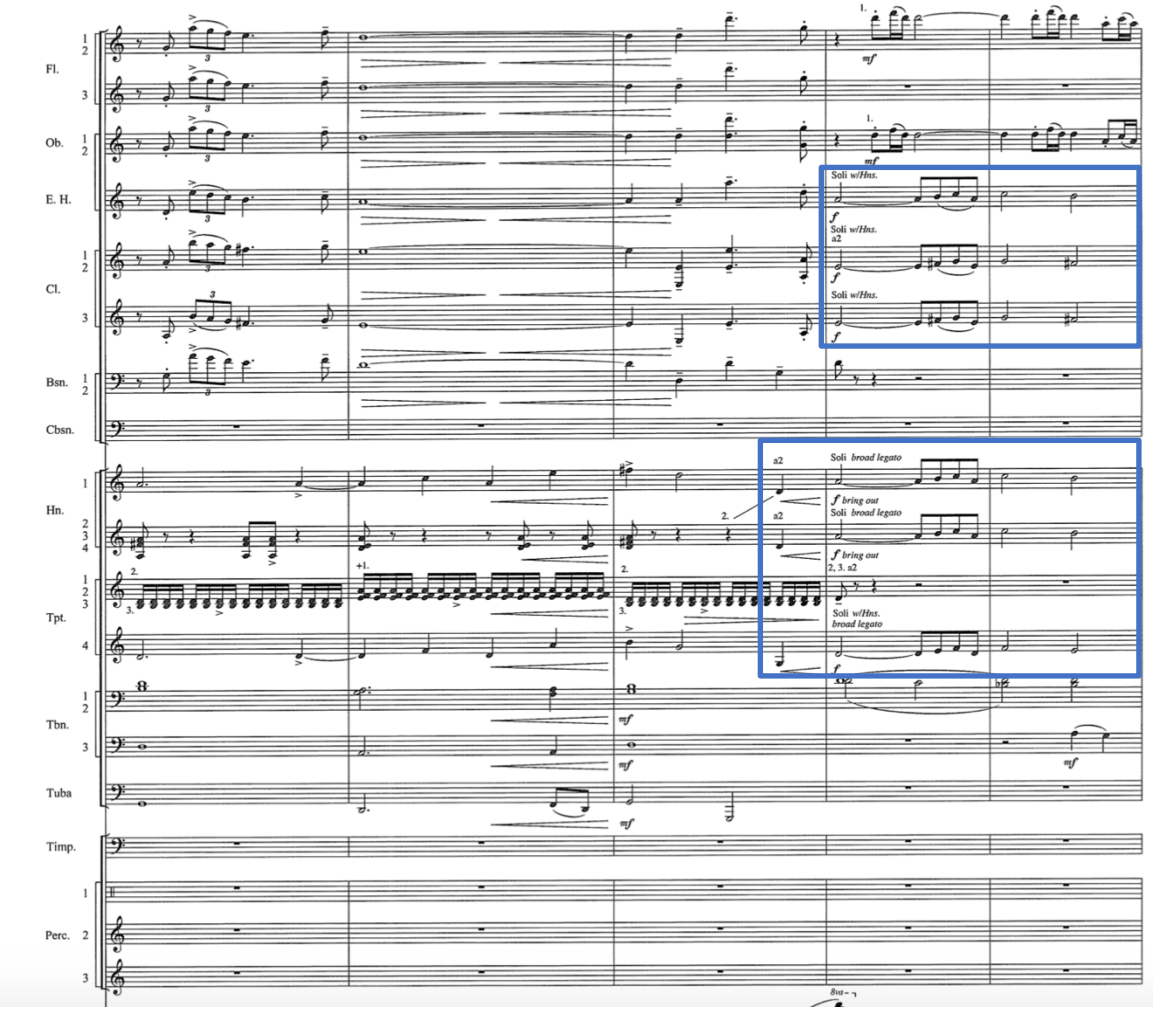


Figure 43: Excerpt 5A of "Rey's Theme" from Williams's *The Force Awakens*

(Continued from last page):

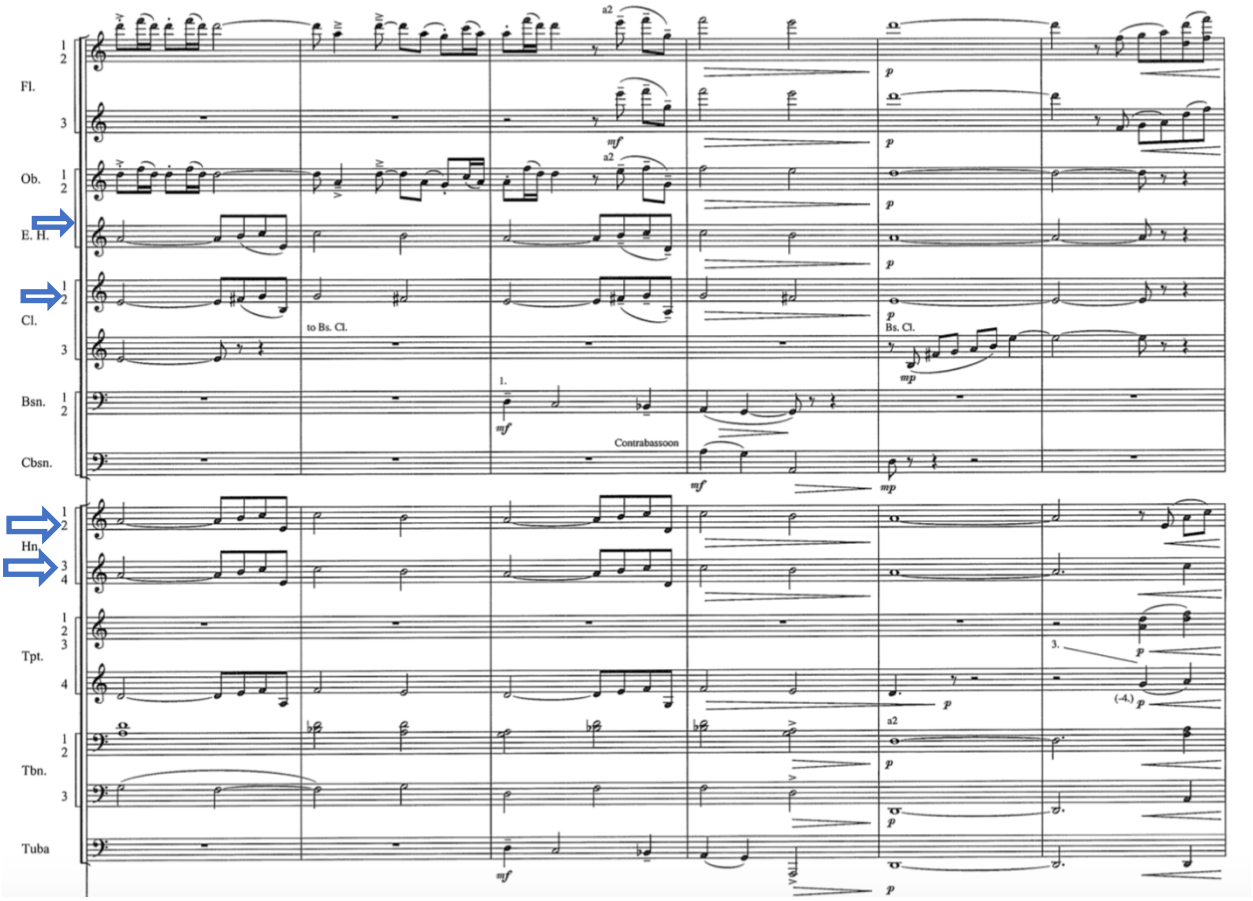


Figure 44: Excerpt 5B of "Rey's Theme" from Williams's *The Force Awakens*

As the score excerpts demonstrate, the horn sound is featured prominently throughout "Rey's Theme." It is presented primarily as a horn section sound, usually with other instruments, such as the violin and cello sections or the bassoon, English horn, and clarinet.

***

The Horn Timbre's Dichotomous Nature in Solos and Solis

I argue that the horn section can extend the lyrical horn solo concept into the entire horn section. The horn section can function like a horn solo. Although it may be too much of a stretch

to say that it fits satisfactorily into a pastoral topic, the horn section can create similar emotional impact through the use of the horn timbre. One counter-argument to my dissertation's extension of the horn solo's associations into soli section work could include many examples that demonstrate the horn's other associations, such as the section sound in Hans Zimmer's scores.

The horn section is frequently loud, demonstrative, and assertive to the point of aggression, as it is in Zimmer's *Gladiator* (2000). This example references the military, war-time strength of the horns, highlighted the military *topos* of the horn's sound. It is prevalent in many other film scores, such as Steve Jablonsky's *Transformers* (2007). As he explains in an interview incorporated in the *Score* documentary, Jablonsky chooses to use the French horn section to give the scene "more of an emotional weight."[170] Instead of a lyrical melody, however, he amplifies the horn sound, blasting out "giant horn chords" or a wall of sound that creates what he calls "an emotional peak."[171] Although it isn't melodic, he uses the horn sound for its emotional impact.

At first, these examples seem to contradict my argument. Instead, they shed light on my primary focus: The complexity of the horn's timbre, the very sound of the horn, presents a multi-dimensional emotional package, wherein a primary emotion (sometimes nostalgia or loss, sometimes strength or warfare) is enhanced by another aspect, such as a sense of nobleness, distance, love, etc. While the more militaristic horn associations are employed by Zimmer and Jablonsky, the horn sound itself still carries an undefinable and special emotional impact.

In Zimmer's *Gladiator* (2000), the horn's historical association with warfare is highlighted, as Liu points out in her dissertation on the French horns in Hollywood: "the horn

[170] Steve Jablonsky, Interview in *SCORE: A Film Music Documentary,* Epicleff Media, 2017.
[171] Ibid.

utters the main theme in each of the movie's major fight scenes."[172] He uses the horn in a similar fashion in his Dark Knight films. As Liu notes:

> Long before the advent of film, the French horn carried a host of associations. In opera and symphonic music from the seventeenth century through the present, composers have employed this instrument to represent hunting, chasing, and fighting scenes. My research shows that film composers draw on these age-old associations, employing the sound of the horn for fight and chase scenes, and music that highlights the heroism and victories of individual characters.[173]

Although Liu does not specifically refer to these associations in terms of topic theory, she alludes to these associations repeatedly, and her research effectively illustrates them, with a clear focus on the heroic nature of horn's history in James Horner's scores.

Zimmer often taps into the strength and military *topos* of the horn, rather than the more nostalgic side. Thus, his horn section work provides a clear contrast to the lyrical use of the horn that I have been discussing; and yet, topic theory can again explain the association of the instrument in this war-like context. *Gladiator* may also serve as an example of a perceived trend in film music, in which large "walls of sound" are employed by composers, rather than lyrical melodies. In these cases, the lines are usually written as unisons, rather than as the more symphonic style of using the horn section as the "glue" of the ensemble.

In this "glue" analogy, the horns are able to fill in the gaps and cracks between the strings, woodwinds, and brass sections, and would often play chordal harmonic section work, where each horn player would play one note of the chord. Because of its complex, rich sound, the horn was often used to blend with the strings, woodwinds, or brass, in a way that other instruments were not. Again, this touches on the use of the horns in non-solo, section-work, but

[172] Yi-Hsin Cindy Liu, "The Examination of the Appearance and Use of the French Horn in Film Scores From 1977 to 2004." DMA Diss., (the University of Cincinnati, 2005), 2.
[173] Ibid., 2.

still highlights the importance of the horn's unique timbre. The above examples further demonstrate Adler's concept of the "dichotomous nature" of the horn sound; while my work has focused on one side of this dichotomy, the other side is also present and the two may even inform each other.

Conclusion

Instrumental scoring in film scenes strongly influences a scene's emotional impact. The timbre of an instrument is itself part of the message or "emotional package" shared with the audience. There are certain emotive responses to an instrument's timbre that have become ingrained in our cultural concepts and perceptions, even if they are recognized only on a subconscious level by audience members. These timbral associations indelibly provoke, highlight, and underline emotional responses, which guide the audience through the film, primarily emotionally.

The emotionally-laden voice of the horn solo lends intimacy to a film's soundscape. Although some associations of the voice of the solo horn have changed, they have largely remained the same throughout the last seven decades of film music, from 1954 through 2015.

The horn's associative connotations are intact, yet there appears to be a decrease in the use of the horn as a soloistic voice in film in the last decade. Film composers are moving farther away from the "Golden Age" of symphonic orchestral film music. There are still composers who include rich orchestral writing, but many Hollywood composers instead opt for an aesthetic that favors other qualities, such as epic unisons, synthesized sounds, extreme *fortes*, and increasing sound effects. Williams is an example of a composer who has continued to use the classical symphonic orchestra, including featuring horn solos—and many other instruments as soloists—throughout his long career.

In the case of the solo horn, its associations can be traced back to its various musical *topoi*. Whether the horn presents a solo, a meme-like moment, or a leitmotif, the horn sound itself carries additional emotive impact. The timbral differences between various iterations of a

leitmotif become related to a scene's intended emotions. Through film scores, millions of audience members subconsciously learn to associate the sound of the horn with certain emotive responses. When conveyed as a pastoral *topos*, the lyrical voice of the horn both reveals a character's inner emotions and evokes an empathetic response from the audience. These emotions are often haunting grief, profound loss, and bittersweet nostalgia. The several horn *topoi* are related to the audience's cultural awareness of the horn, whether the audience members are fully conscious of the associations or not. The lyrical voice of the horn heard in a pastoral *topos* often connotes a character's melancholy and invites the audience to participate in the emotion. The solo horn often functions as an acousmatic voice, nuancing and coloring a character's inner thoughts and feelings through its complex timbre in a kind of musical soliloquy.

The horn's timbre also inherently suggests distance, which composers have used in various ways as well. The complex timbre makes it well-suited to presenting complex inner emotions. Composers often use the horn solo as a metadiegetic voice that operates on multiple levels, including "speaking" directly to the audience.

Substantial scholarship exists that pertains to film music and its function, yet more research can build on the significant contributions to the study of timbre and "voiceness" that have been conducted by Fales, Dolan, and van Elferen. These research fields have not yet been applied thoroughly to film music. Likewise, while the study of instrumentation, orchestration, and audience engagement exist, these areas of scholarship have not been fully evaluated in the context of film-music analysis, which can be employed to examine how the intended emotional engagement of the audience is inextricably linked to orchestration and instrumentation decisions.

Many new questions arise from this research, not all delineated here, including—How are instruments becoming "type-cast" by musical topic theory and their use in film score? Is there a responsibility on the film composers' part to advance or rebuke the associations currently in place? How does this conditioning affect audience engagement?

My research also raises another interesting question: If audiences are to hear a lyrical horn solo in the pastoral topic as a voice; i.e., if the horn has a "voice," as I argue, is this voice gendered? My first response to this query is that it does not have an assigned gender. Although the horn's voice is often associated with the inner thoughts of male characters, my research identifies three examples of its relationship with female characters, including Princess Leia, Dorinda, and Rey. These last two need further research and consideration, just as Leia's theme could be further discussed.

If the voice of the horn does not have an assigned gender, and instead is gender-fluid, I suspect this status may be partly because of its rather mid-range, alto-like voice, which could be identified as male, female, or non-binary gender (including "child"). This fluid status differentiates it from other instruments such as the flute, which may often be heard as more "feminine," while a tuba or trombone is often too low to be thought of similarly.

Although I have not adequately researched this interesting angle, I think it would be an intriguing investigation. Again, just as a first guess, I have to wonder whether this potentially gender fluid status may be one of the reasons the horn voice is especially effective as a voice that invites an audience's empathetic response. If all audience members are the potential target, wouldn't a gender-fluid voice that could be heard as either male or female (or neither) increase the likelihood of the empathetic response? Put another way, if male, female, and non-binary

audience members are the ones being invited to participate in a character's emotions, wouldn't a voice that everyone could relate to—and possibly hear as their own voice— make sense? More research is needed to advance our understanding of instrument voices, including how they are perceived and how they may be intentionally or unintentionally gendered.

I have focused on the voice of the horn, but other solo instruments can be researched. Further, while I limited this initial examination to Hollywood films, an examination of the use of instruments in international film would be informative. Finally, I have not addressed horn solos in either television or video game music; it would be fascinating to explore how the horn sound and its associations have been employed in both these fields as well.

Appendix 1

Chapter 2 Horn Solos in Concert Pitch (Horn in C)

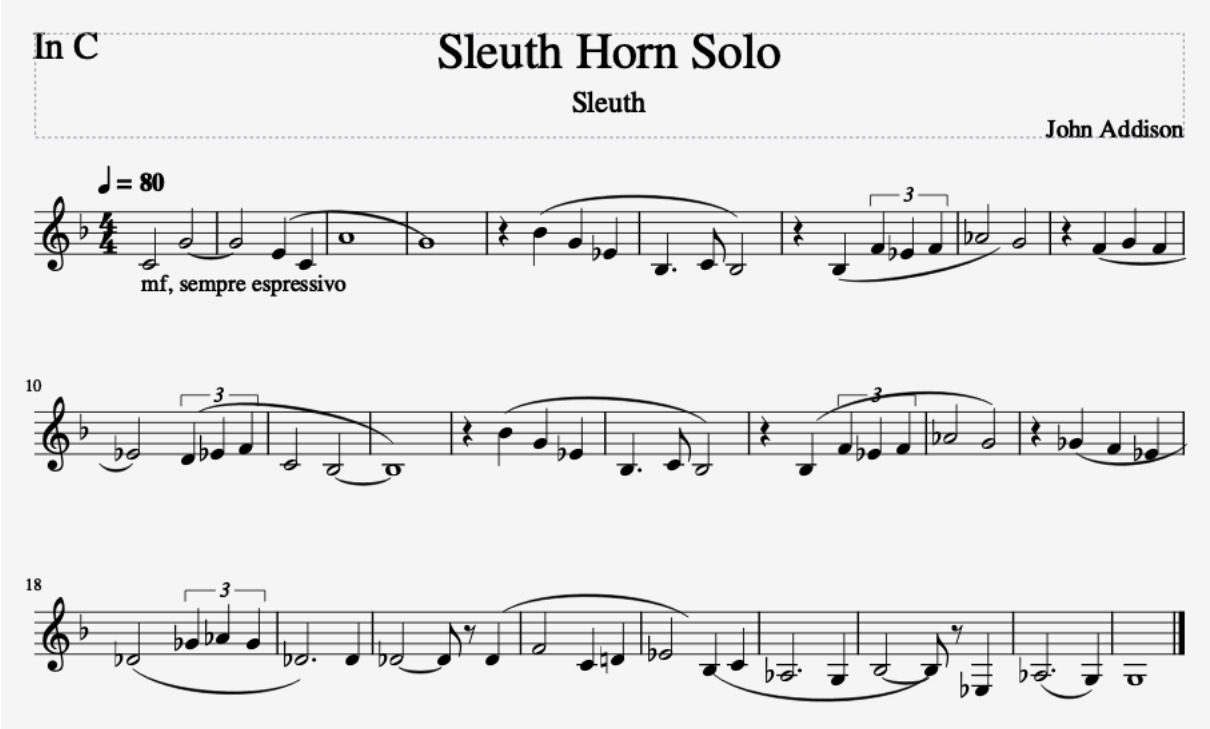
Selected Examples of The Voice of the Lyrical Horn Solo in Film Music

1. Leonard Bernstein's "Main Title" from *On the Waterfront* (1954)
2. Henry Mancini's "Main Title" from *Days of Wine and Roses* (1962)
3. John Addison's "Main Title" from *Sleuth* (1972)
4. Jerry Goldsmith's "Main Title" from *Islands in the Stream* (1977)
5. John Williams's "Leia's Theme" from *Star Wars Episode IV: A New Hope* (1977)
6. Bill Conti's "Mickey" from *Rocky III* (1982)
7. John Williams's "Among the Clouds" from *Always* (1989)
8. John Williams's "Arlington" from *JFK* (1991)
9. John Williams's "Main Title" from *Sleepers* (1996)
10. John Williams's "Healing" from *Rosewood* (1997)
11. John Williams's "Freedom's Call" from *Lincoln* (2012)

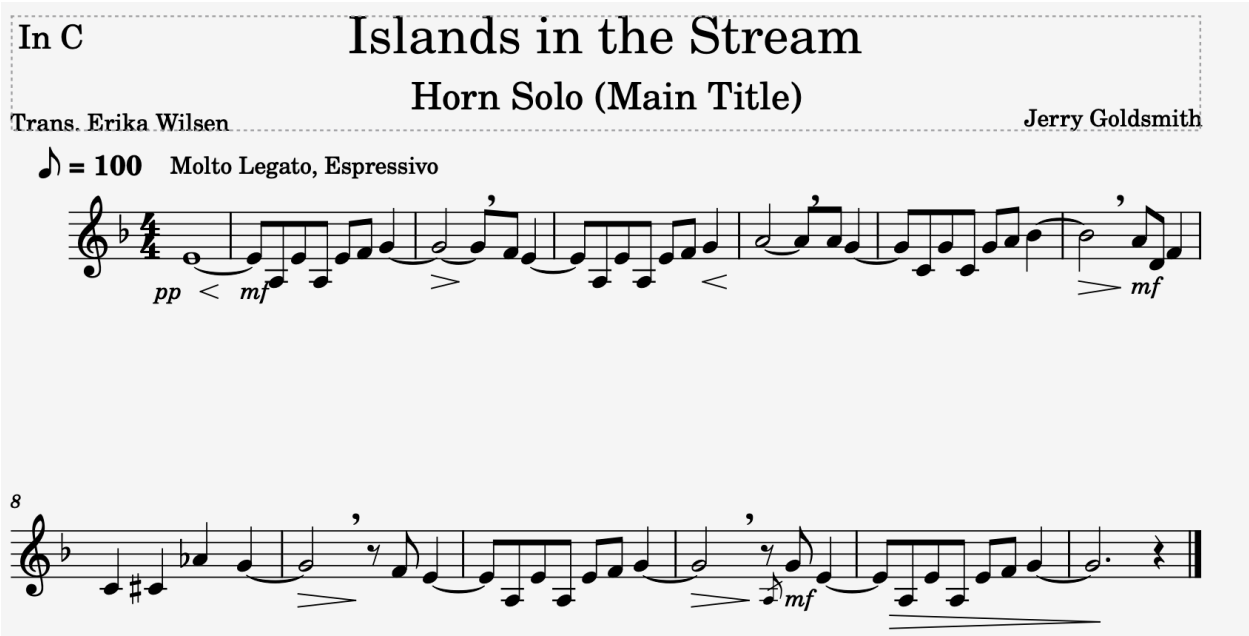
1. Leonard Bernstein's "Main Title" from *On the Waterfront* (1954)

2. Henry Mancini's "Main Title" from *Days of Wine and Roses* (1962)

3. John Addison's "Main Title" from *Sleuth* (1972)

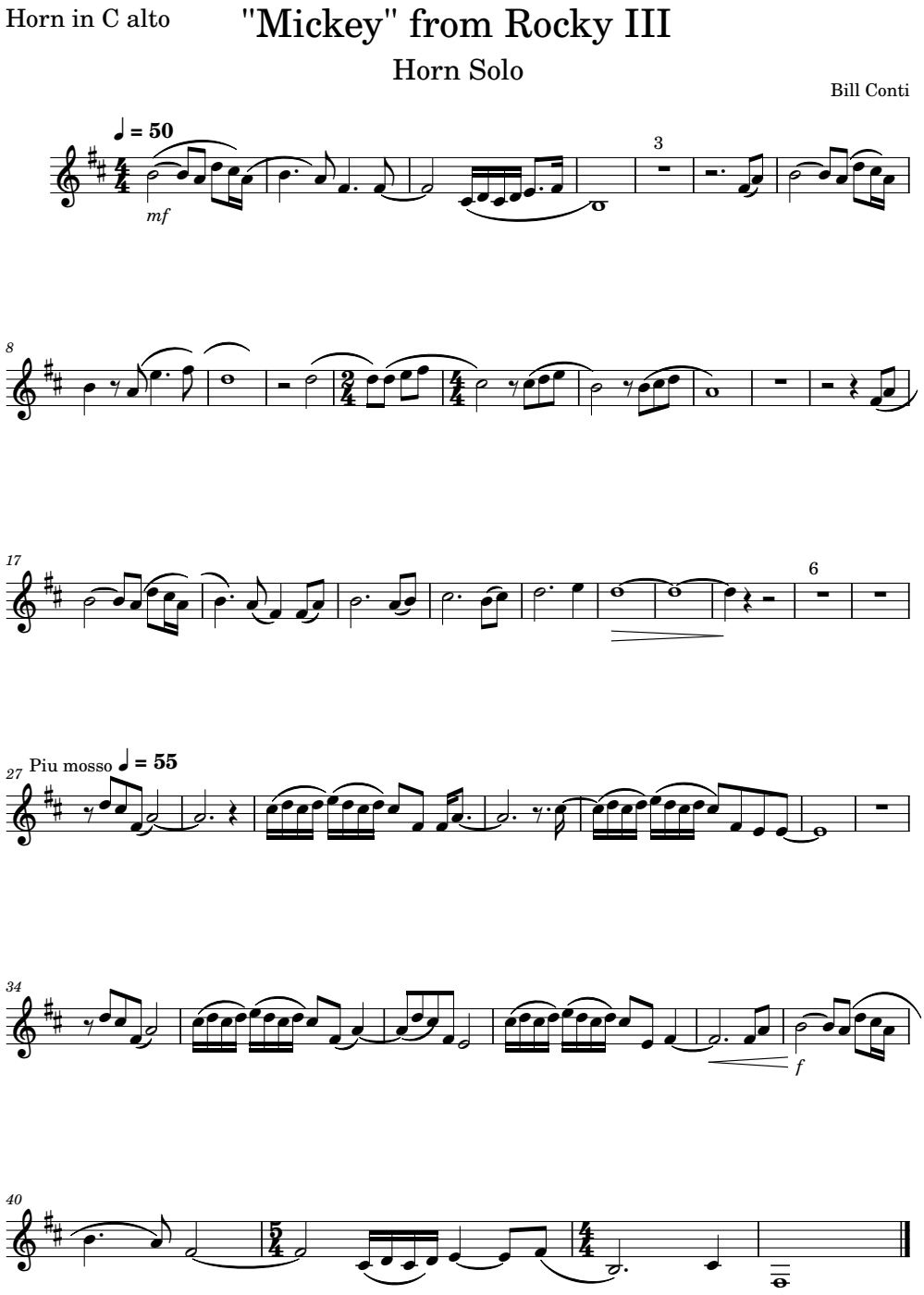


4. Jerry Goldsmith's "Main Title" from *Islands in the Stream* (1977)

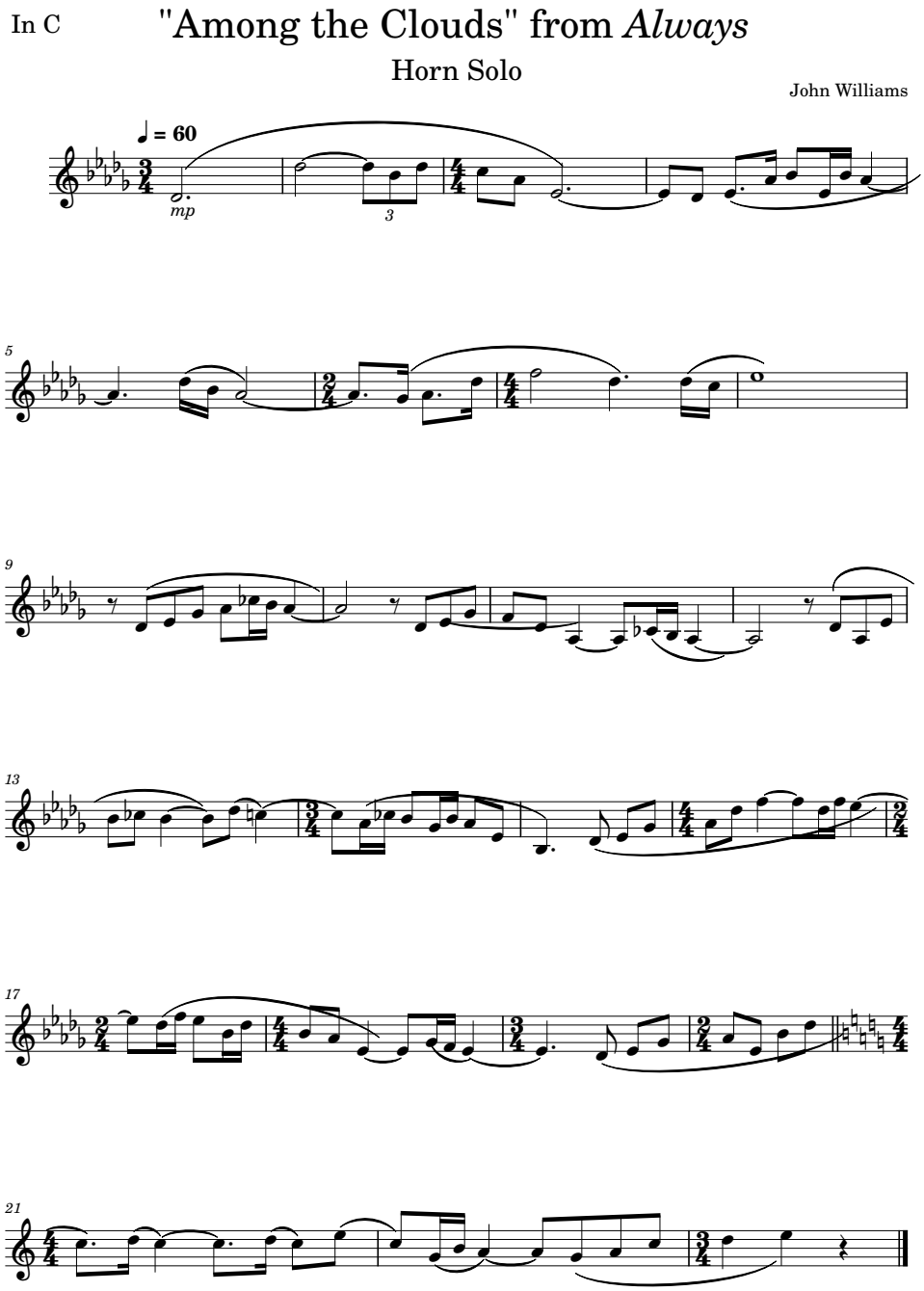


5. John Williams's "Leia's Theme," from *Star Wars Episode IV: A New Hope* (1977)

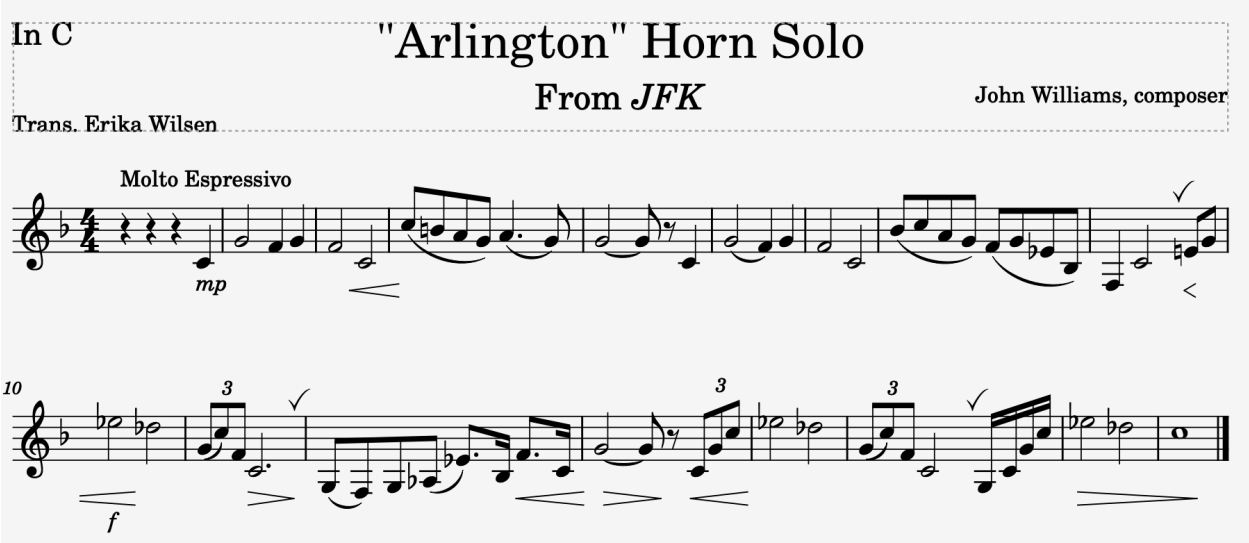
6. Bill Conti's "Mickey" from *Rocky III* (1982)



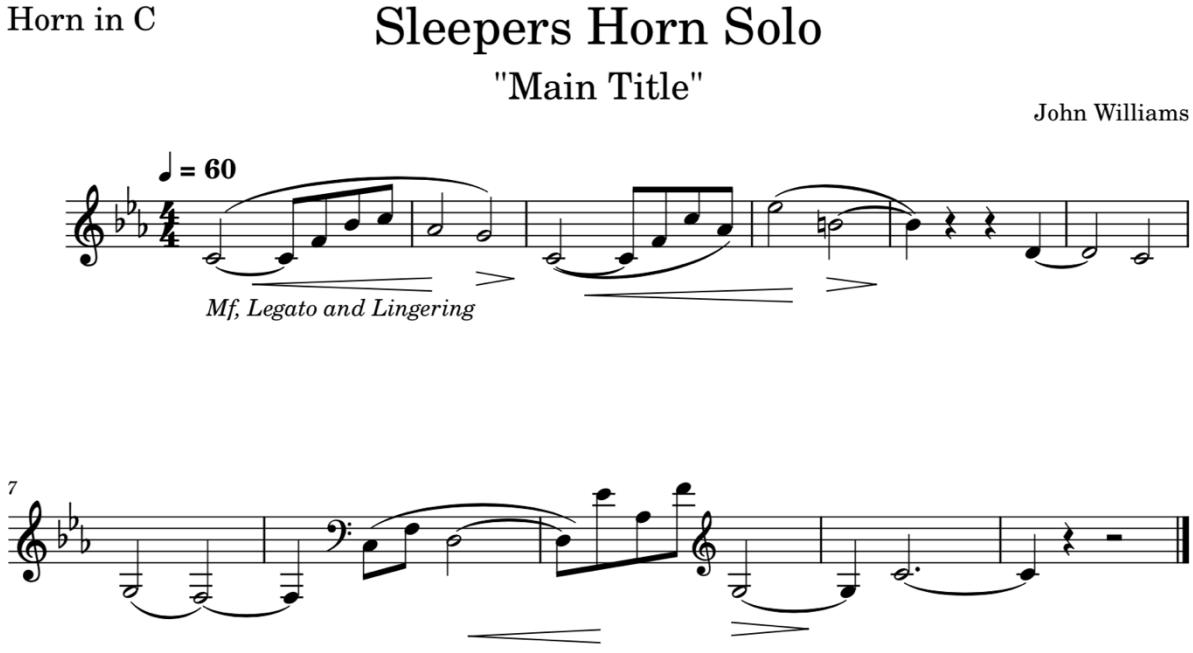
7. John Williams's "Among the Clouds" from *Always* (1989)



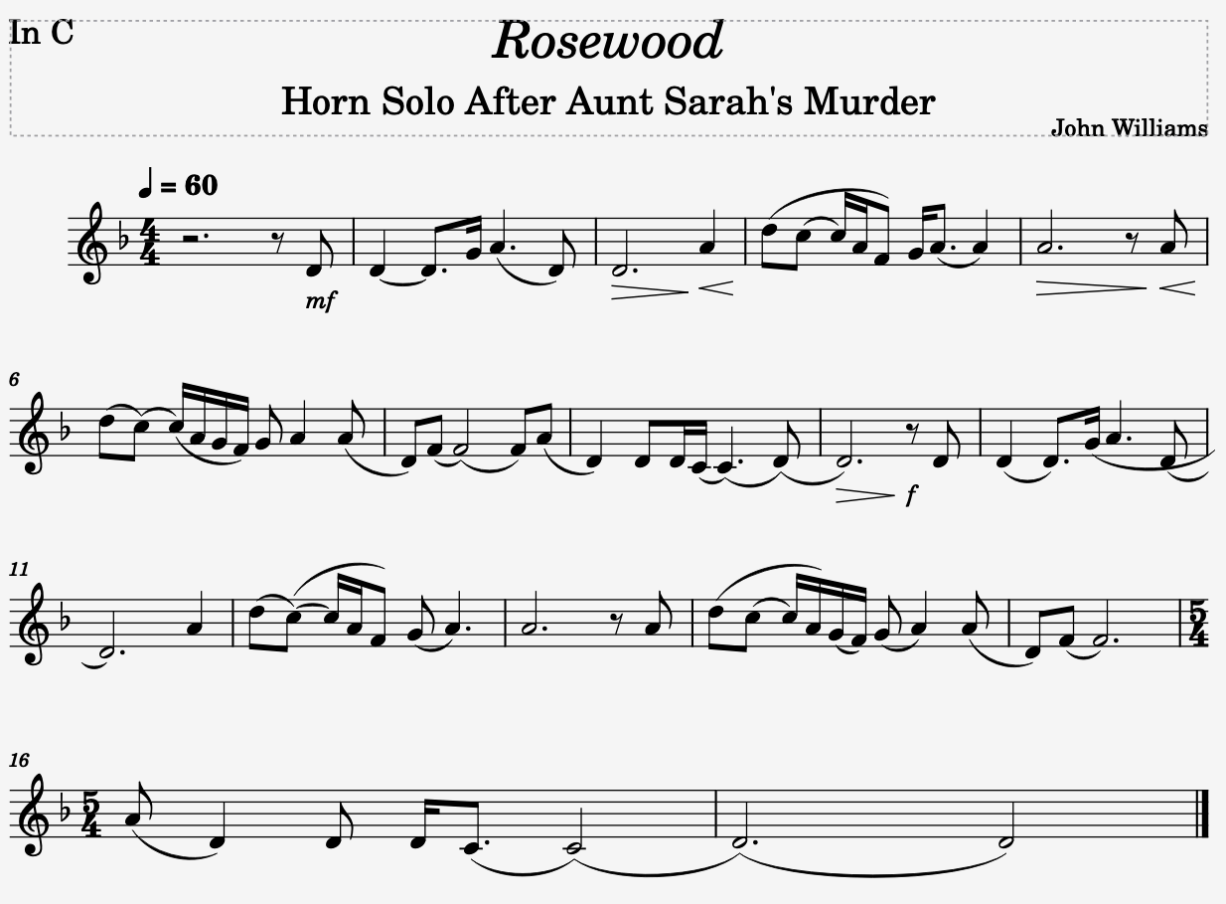
8. John Williams's "Arlington" from *JFK* (1991)



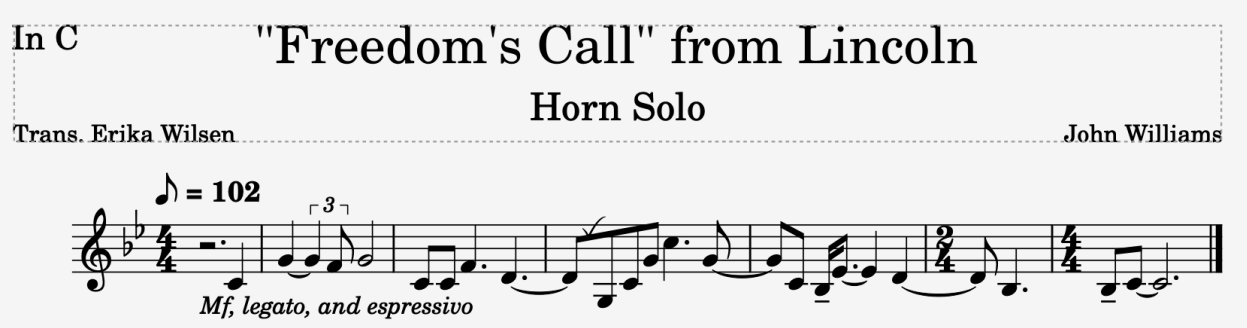
9. John Williams's "Main Title" from *Sleepers* (1996)



10. John Williams's "Healing" from *Rosewood* (1997)



11. John Williams's "Freedom's Call" from *Lincoln* (2012)



Appendix 2

Jim Thatcher Interview with Erika Wilsen on 3/15/2021 (Abridged)

Erika: [00:00:00] Thank you for meeting with me and doing this interview. OK, so what year did you first start to first play in the Hollywood studios?

Jim Thatcher: [00:00:41] 1977.

When I first started, I piggybacked into a golden era where the composers were great and part of their greatness was their reliance on performers giving them their interpretations into the score. You would hear a lot more horn solos or oboe solos, clarinet, poor violins [back then]. You listen to the great violin playing in the Erich Korngold movies, even back in the 30s. And it's just light years above what they do now. Now it's less collaborative and it's more section type of playing. So, often we'll go in and do what's called striping. You come in at night and they've already recorded perhaps the woodwind and the violin tracks during the day. And the brass players, we just sit around and say, OK, listen, measure five through 17 and we'll do that until they get what they want. All right. Now let's move forward to measure such and such. It's less musical collaboration, less of an artistic venue than it used to be. It's just basically, get the notes, hopefully play in tune. And that sort of format—it's much less satisfying.

Erika: [00:04:51] Yeah. I definitely see that. You talk about it being less collaborative. It seems the composers are less willing to give an individual a solo line. Why do you think that is?

Jim Thatcher: [00:05:20] We do so much music now where it's less formulative, less form and analysis of motif development and counterpoint. It's more sound effects and things like that. It could be that today's composers came out of the computer age and they didn't have the knowledge and acquire the skill and discipline that the older composers did.

Erika: [00:08:58] Right, yeah. I think you make some really good points.

Jim Thatcher: [00:09:06] Well, it's my experience. I'm not even speculating or hypothesizing here. I'm speaking about what I have witnessed. I've been careful not to use any names. James Horner was a great composer who carried on the tradition of the collaborative art of individual players and big orchestras with film. And he is my generation. I have to be careful when I make a blanket statement and realize there are exceptions, sure. But of course, unfortunately, there are generalities we are hearing now.

Erika: [00:10:21] Right, right. And that pushes on into the second question. You are one of the most recorded horn players in history with your sound on literally hundreds of TV shows and Hollywood films. Do you know approximately how many recording projects you've been on?

Jim Thatcher: [00:10:40] Well, it's hard [to say]. I'd say at least 3,500 projects. And that may sound like a lot, but I have to tell you, I had colleagues, my parents-age—trombone players, French horn players, and others who did over 4000 recording projects. So, yes, I've been very blessed and it was a great ride. But I'm not going to sit here and tell you that I was the most unique performer who ever entered Hollywood. I mean, I carried on a tradition of fantastic

players and fantastic composers that work for them. And so, I consider myself hopefully in that ballpark with those other players.

Erika: [00:11:27] Question three. You are widely recognized as one of the top studio horn players of Hollywood. In addition to James Decker and Vince DeRosa, what other horn players hold a similar recognition or should be recognized. And perhaps please name at least three?

Jim Thatcher: [00:11:46] Yeah, well, let's talk about a few. Richard Perissi. Richard Perissi was a childhood friend of Vince DeRosa. They grew up together practically. His father was Odolindo Perissi, who was fourth horn in the Los Angeles Philharmonic. And when Richard played it was my honor to sit in his section when I was first starting. He did a lot of television shows because Vince was doing most of the movies. And often Ritchie didn't want to play in the section because he wanted to get some first horn work himself. So, we did lots of television shows. And Richard was also the favorite horn player of Victor Young, who was a great, great composer, "Around the World in 80 Days." Many other films that -- he's not that recognized as a lot of the older composers, but he was every bit as great. So, you see "Shane" and some of these other movies and you hear the horn parts—that's Perissi. And one of the last projects he did was "Silverado," written by Bruce Broughton. I played in the section on that one. And Richie filled in at the last minute because the other horn player, Henry Sigismonti, had developed a sore on his lip. Ritchie came in there and just knocked it out of the ballpark. There's one. Bill Hinshaw was principal horn of the Warner Brothers studios, and then he became a freelancer. Once the studio system spread apart, everyone could go everywhere. But the "Spirit of Saint Louis," Franz Waxman's score comes to mind.

Others of the old MGM, oh… "The Cowboys," John Williams' film "The Cowboys," that was Bill Hinshaw playing first horn on that. Oh, wow. I can attest to the horn player, big tall guy. I never worked with him because he'd already retired, but he did come back and conduct some seminars and I got to meet him. He was a big, tall, Western type of guy, a man's man. But he was a great horn player. Jack Cave, who was the nephew of Bruno Jaenicke who was principal horn of the New York Symphony. Jack became principal horn of the Metro-Goldwyn-Mayer MGM Orchestra at the age of 19, back in the 1930s, and he held that position with distinction until he was 60 years old, [when] he just said, it's been a lot of fun, I'm done. And he hung up at 60, hung [up] the horn. But he was a magnificent horn player. He and DeRosa were considered two of the top tier players. And even though DeRosa played 8Ds, Vince started on a Schmidt horn and played with a with a smaller horn concept on the big 8Ds, which is why he sounded so great on it, and Jack played a single B flat Alexander French horn his entire career. And whenever Vince and Jack Cave played together, they sounded like one horn, even though they used two entirely different instruments.

They were such great musicians--Gale Robinson was a great horn player and I got to work with Gale at the end of his career. Let's see. Wendell Hoss played Principal Horn for Walt Disney Studios. Up through the Golden Era is up to the 1960s, until Vince DeRosa took over for Wendell back then. And Wendell played a single Conn, something I don't think they make anymore. But he was a beautiful horn player, a great teacher. Fred Fox was Principal Horn at Paramount Studios and Fred had a lovely sound and was one of my teachers. Actually, he and Wendell both taught me some lessons, along with Vince DeRosa and Jim Decker. So they were great horn players, too. If you were to go back and look at a recording called "The L.A. Horn

Club" on Seraphim Records in the mid nineteen fifties, you'll hear some spectacular horn playing, and you'll see a lot of names on there that might help you with your list of who the other great horn players were. Let's see, who else did I like? There was a horn player; his name was Bob Henderson and Bob only played for ten [years]. But he was a great horn player and I got to work with him. He was my generation, a little older than me, and after 10 years, he left and became a conductor.

He was fine to work with. George Hyde was a very accomplished French horn player and a lovely human being, and I got to work with George. George was also a very accomplished composer. Let's see. I'm looking at a picture right now. . . Arthur Franz was a very fine studio horn player and James Stagliano who ended up playing Principal Horn with the Boston Symphony for at least 30 years. He left the studios and went back east, which was interesting because a lot of these great horn players left orchestras from the east and came out to the West, because they could make more money in the recording industry. Wendell has been one that comes to mind. And Fred Fox. Alfred Brain was a great French horn player. He was Dennis Brain's uncle, and he came to Los Angeles in the 1920s and later became Principal Horn with the 20th Century Fox Orchestra. And Vince DeRosa played second horn to Alfred Brain. And a lot of the Brain concepts of horn playing were carried from the Brain family to Vince and then from Vince to the rest of us. I forgot. Well, let's see, I'm looking at a picture of Sinclair Lot, Sinclair Lott was principal horn of the Los Angeles Philharmonic for many years, and you can hear his horn solos on one, on the "West Side Story" Motion Picture with Natalie Wood and all the horn solos on that were done by Sinclair a lot. OK, we called him "Sync." That was his nickname. Well, I'm looking I've got this picture of all these great horn players, I mean, these were all my

father's age, and when I worked with a lot of these guys, they treated me like a son, and that was the happiest time of my career.

Erika

So you mentioned the Conn 8D. This is an interesting kind of side question about the Alexander and different equipment. So, of course, in the horn world, there are different schools of thought about how important equipment is, right?

Jim Thatcher:

I like to call those dogmas rather than schools of thought, but those dogmas are being broken down. For example, I have a friend who is principal horn of the Houston Symphony, Bill Vermeulen, and Bill plays a smaller style horn. He asked me to come out to Rice and give a lecture to his horn studio; we are good friends. And the first question they asked me was, "tell us about Vince DeRosa."

I think there is gradually, hopefully-- in some circles anyway--a realization that we need to open our minds to why people played the way that they did. What made this happen? And are we really on the right track by emphatically sticking with the type of sounds and playing that we think is the only way to play?

Erika: Right, right. And you mentioned that Vince have played on a Conn 8D but with a small horn concept.

Jim Thatcher: Well, Vince started out on a Schmidt horn and took that concept of playing, not overplaying. In my estimation there are foreign players who overplay the 8D's. It's already a big sounding horn. Why try to make it sound any bigger? And when people do, it sounds very diffused and almost comical. The same thing could be said of people who are so enamored with the small horn that they get smaller and smaller until you can't tell the difference between a small horn and in a heavy sounding trumpet. This is why I mentioned Jack Cave and Vince in the same breath, because here we had two entirely different types of horns, but people had a concept of trying to maximize what that instrument would do. And when they played together, they were able to create a great sound.

But when Vince decided to go to the Conn he did so with Alfred Brain's blessings, and I've played on a small horn that I brought over from London. There was a point where there was a collaboration and an open mindedness of what we were trying to accomplish. That's why when I hear people sticking their noses up because they're not playing 8Ds or they're not playing a Rauch horn or whatever, it upsets me because people are not going far enough in their thoughts.

Erika: Oh, no, I like that. That's great. Are you playing an 8D?

Jim Thatcher: I have three 8Ds, two Yamaha's, which I developed with Yamaha to make an 8D style horn, I have a Conn 28D, I have a single B flat Alexander, I have a Paxman 45 model. OK, I have a lot of horns.

Erika:

OK. My research focuses on long lyrical horn solos in Hollywood films, and you have performed many of these, including on “Cocoon,” “JFK,” and “Always.” Can you think of a few more significant, long horn solos that are similarly expressive and lyrical, that kind of singing style.

Jim Thatcher: [00:24:55] Oh, gee, there's so many and I did so many that I actually lose track of them. You know, I was watching a film the other day with my family, “Hidalgo,” with James Newton Howard, and it's just full of horn solos. And I didn't remember doing any of them. And I said, “Wow, Oh, I didn't remember doing that! Hey, that sounds pretty good.”

Alan Silvestri, if you listen to the wedding scene of Forest Gump— I don't have a horn solo there, but I had kind of a counter line that went underneath the rest of the orchestra, and that's very special to me. [And] the horn solo to “Field of Dreams.” That's James Horner's solo that he wrote for me, that's long and lyrical. “Hook” had lots of solos in it, [and] Jerry Goldsmith’s “L.A. Confidential.” He wrote me some nice horn solos. Another picture called “The Mulholland Falls” with Dave Grusin. He was a great composer. Dave was a crossover. He could do jazz and legitimate [orchestral] and he could break your heart with either one -- great composer. And he wrote some nice horn solos I have. There's a television show called “Decoration Day” starring James Garner and the composer there was Pat Williams, and he featured me on the French horn through the entire television show. Yeah, very I'm very fond of that, not because I played the solos, but because I got to play Pat Williams’ music. He was another crossover that could write a great big band, jazz, and then he could turn around and just write beautiful, legitimate stuff. We could go on and on. OK, [if] you do over thirty-five hundred projects, there are quite a few solos in there.

Erika: Thank you. In your opinion, when was film music most lyrical? And can you narrow your answer to a single decade--getting to the hard questions now.

Jim Thatcher: I'd have to say maybe the 60s, and I say that with trepidation because, I mean, I've done most of my work and I've done tons of lyrical stuff with John Williams. I've done over 60 John Williams films. And that was all done from the late 1980s up til now. But Vince was there with Henry Mancini and Mancini featured him. Vince would play so beautifully and so accurately that composers were already always writing solos for him. And we still today have Vince DeRosa to thank for our successful careers, us horn players. Because he put the French horn firmly on the map as far as [it being] a prominent solo instrument. And of course he worked from the 1930s. He had to take care of his widowed mother and a brother and a sister, so he was working. He was 15 years old. He did a lot of stuff into the 70s. “The Eiger Sanction” has some great horn stuff on it that John Williams wrote for a Clint Eastwood film, and Vince was featured in that. I barely scratched the surface… there's so much more. James Horner was great -- he was a French horn player, so he had a love for horn. But I would say probably it started—and I'm sure there are people who could argue with this—but I think it really took hold in the 1960s and through the 70s. And then I was fortunate to catch onto that and carry that into my career.

Erika: [00:28:58] Mm hmm. I know that this is an opinion question that I'm asking you, but do you think that there's a time period when you see it starting to lessen, as you mentioned earlier? Now it's more section playing, less collaborative, fewer solos. When did that start?

Jim Thatcher: [00:29:23] Well, it's hard to say when something starts and stops. But then that became very popular for a while. In fact, Bernard Herrmann and Alfred Hitchcock had a fight over that because Hitchcock wanted Hermann to write a score with a song, and it's called "Torn Curtain." Hermann refused, and then Hitchcock fired him. So we had kind of a low period there. But then along came John Williams with "Jaws" and "Star Wars." And James Horner came in. In fact, Vince once told me, he said, "James Horner is saving our industry," because Horner came back with this large orchestra format. Right now, I think we're in a different place. And it's due to the computer people. And all of these things are more looked upon as a background type of music, just to create an effect for the general film feeling rather than the film itself, psychologically integrating itself into the movie, as if the music was another actor in that film. I don't know who to blame for that, you could say that maybe the directors and producers are to blame because a lot of these people only have a background in rock and roll music, that was their "great music." In fact, there's [an unconfirmed] story that Jeffrey Katzenberg called Andre Previn into his office to discuss another "Fantasia" movie. And Previn started giving him suggestions like "Carnival of the Animals," and things like that. And Katzenberg stopped and he said, "No, no, I want the music that's going to last throughout all time." Katzenberg looked at him and said, "The Beatles." And from what I understand, Previn stood up and walked out. Well, there is this mentality that rock and roll, with its simple harmonic structures, became the main staple for a lot of directors. I don't want to sit here and blame composers. They're handcuffed because of what the directors and producers tell them that they want.

I did a film once where I had to play a horn solo over 20 times. I never missed a note. And every time they ask me to do another solo, the string players started gasping because I just got finished

playing something perfectly. Finally, I went into the booth and I said to the composer “I'm sorry, I don't know what you want.” And he said, “let me play you my temp track.” He did, and it was obvious to me that he wanted it to sound as bad as I could play, with a scratchy sound and even out of tune-ish. And because that's what he and the director and producer had fallen in love with, because they listened to it so many times, they wanted [me] to sound like I'm not human.

I'm thinking of another film I did. I'm purposely not going to tell you the film or the composer because they're -- he's still working. But we finished this opening part of this movie, and it sounded like something from a Wagner opera. It was just glorious. And I had 10 French horns in the section and I said to myself, wow, this composer is really catching on now. He's really elevated himself. But this composer came up to the orchestra a couple of days later, and said, I have this sound in my ear and I'm really excited about it. And I thought, well, that's great. And then when I went to hear the movie in the theaters, he had taken an electric guitar and literally covered most of the orchestra.

That was his sound, [it] was the electric guitar. Maybe he was trying to integrate it in a way. But it was quite disappointing because it didn't have nearly the depth or the psychological value of what he had written previously.

Erika: You said earlier that the music now has been written to kind of give a general feeling for the film rather than the music acting like its own little, its own character even.

Jim Thatcher: Right. Well, we call it wallpaper music. I'm not saying that's necessarily a bad thing, but it's kind of become a predominant thing where instead of horn solos, you generally

have horn sections or you have poor violin players sitting there playing whole notes all day because there's a sound. I'm thinking of a film called “Gladiator,” where most of the work was done by a composer named Lisa Gerrard. In one scene, she took the same format that Gustav Holst [used] with his “Planets.”

And Lisa took that “Mars” feeling into the Coliseum and it was frankly quite effective. There weren't solos there but it worked, and it has that associative effect. But my point is that if you listen to some of these older scores, you'll hear more of a depth, more integrated psychological participation with the music and the musicians into the movie.

Erika: [00:37:04] I think this is sort of the heart of what I'm looking at, the psychological aspects of the actual solo part. In your opinion, what are some of the reasons film composers choose to use the solo horn for long solos in certain scenes?

Jim Thatcher: [00:37:34] I don't know. [The question is] why did they choose the horn solo and not the oboe solo?

Erika: [00:37:44] Exactly.

Jim Thatcher: [00:37:45] It probably has to do with what the composer was feeling in that moment, and sometimes the producers might not agree, wouldn't agree with the composer. Sometimes they might say, “Well, that sounds too heroic for this. I want something different.” We did a main title for DreamWorks— the little boy with the fishing pole sitting on the edge of the moon there. And at the end, Williams ended that whole thing with a big horn solo. But by the

time they got to the final product, they'd taken out the horn part and put it in a guitar [instead]. So somewhere in that discussion, they decided that maybe the horn was too--I don't know, omnipresent? Or maybe they wanted something a little more sensitive or intrinsic? I can't think of the exact word. I want [to say] intimate, fancy, they wanted maybe. I'm just guessing there, but you don't know all that goes on in the booth between people.

Erika: [00:39:32] Well, like you say, it is kind of a sausage making process, like who knows how much the composer actually wrote versus--you just mentioned this-- something got cut that was originally for horn. But I'm not getting into the whole composer's intention and all that kind of stuff too much. My theory is that they chose it for a specific reason, often to correlate with something that was happening in the actual storyline.

Jim Thatcher: [00:40:22] I agree. I mean, that happens. It's just that the older composers would sometimes rely on a solo line, be it horn, violin, clarinet, oboe, whoever is playing the solo, [and] they would rely on that to bring across the impact.

Erika: [00:44:53] OK, I think it has to do with the timbre of the horn. There's a kind of quality to the horn. And the oboe— I think— shares the complexity of sound. That's my theory. Sometimes the horn represents loneliness, like in the movie “Days of Wine and Roses.”

Jim Thatcher: [00:45:03] Yes, I understand. And that featured Vince DeRosa. That really put Vince on the map. But the end of the movie, at the very end, it's a horn solo depicting the Lee Remick character who can't overcome her alcoholism. She's walking down this lonely street,

getting ready to go into a bar and continue with her alcoholism. Mancini used Vince's horn solo to portray that loneliness and hopelessness.

Erika: [00:45:35] That's right. Helplessness, too. That's one of the ones I've studied and it's actually even at the very beginning. It comes back a few times. Like you say, it's setting us up for that moment of that desperation. John Williams has stated several times that he has an affinity for the horn. And I've heard rumors that he sometimes added horn solos into his scores at the last minute. Can you share any stories about their horn is being added at the last minute?

Jim Thatcher: [00:46:15] For example, in "JFK," the big horn solo, it's called "Arlington" and the horn is *a cappella* for about a minute and then the strings come in. And what John did with that solo is—he actually took it apart and threw it in different spots in the movie. It sounded like I had all kinds of horn solos throughout the movie when actually I only had the one. But at that point, the movie had not been cut yet. Oliver Stone wasn't sure what sequence it [was]. John wrote the horn solo and I think perhaps -- this is my guess -- as they spotted it, as they finalized things, John was able to include horn parts. [He included] my horn solo throughout the movie in that way, because it made more sense in the film rather than just the long horn solo.

Erika: [00:47:12] Got it. But it was actually the same [solo]. So the whole thing was lifted and used a few times.

Jim Thatcher: [00:47:17] Yeah, he just took different parts of the solos and [also] did that in the movie, "Always." There's the big horn solo where Holly Hunter is flying the airplane into the

lake, and they actually cut my solo parts. It was a longer solo but they cut it to fit the film. But then I had another equally long solo at the very end of the movie, which John only used like one measure out of that whole solo. It's just that's all he needed.

Erika: [00:47:47] Yeah, that's so interesting. Actually, I'm going to follow up on that because I also think that there are a few times when a composer just plays a couple notes or just has a couple of notes being played by the horn in some sort of sad moment, or lonely or [with] this grief, like someone's just died and you'll hear even just two notes. And it's enough for the audience to feel like it's enhancing that feeling of grief or loneliness or fear. That was all that was needed at that point.

Jim Thatcher: [00:48:24] Yeah, sure.

Erika: [00:48:27] All right. Great. And there's the "Rosewood" solo, you also did, and that is a big spiritual solo, right?

Jim Thatcher: [00:49:22] Well, that's an interesting movie, because somebody had scored that movie previously and the score was thrown out. John was called in kind of last minute to save the day. It's not unusual, [it] happens to a lot of the composers, something [gets] thrown [out] and another guy will come in and do it. John featured the steel string guitar played beautifully by Dean Parks, and he also wrote a Black spiritual called "Look Down, Lord." That was all John's composition and John took that melody from that spiritual. He took that and gave me the melody later on in the movie. In fact, he added that as we were doing the project, I remember I didn't

have that [at first]. I did not have that on my music stand. And I have a copy of that here in my room. I think it was done with pencil and as an afterthought. He said, “well, a horn solo would go good here.” He had me play that solo for “Rosewood.”

Erika: That's really interesting. I appreciate that, because that's a huge moment in that film when your solo is being played.

Jim Thatcher: [00:50:08] I'm thankful that John thought enough of me to allow me to put my personality into that part of the film.

Erika: [00:50:26] Yeah, absolutely. OK. The last question I had--it's just if there's anything else. You know, any other work that comes to mind as something that, if I haven't checked out, that I definitely should.

Jim Thatcher: [00:50:49] Well, go see the film “Glory.” OK, so James Horner scores about the Black militia that fought in the Civil War, freed slaves who now were enlisted into the northern armies and they fought. And there are lots and lots of really high, treacherous horn parts. And what makes this unique for me is that there were six of us that Horner asked to play those high, treacherous parts. Yes, I had some solos myself and that's easy if it's just me. But with six people, it's like, oh, no, who's going to miss [a note]? But we have to do it again. And the guys did a great job. They didn't miss much at all, but it was very adrenaline filled. We were all on eggshells knowing that all six of us had something that needed to be done. If you want to hear

some of the “Dances with Wolves,” [it] had 10 horns on it and the parts aren't necessarily that difficult. But it was just wonderful to hear 10 of my guys playing so well in tune.

Appendix 3: Scores and Films

Consulted Film Scores and Orchestral Suites by John Williams, unless otherwise noted (listed chronologically)
Bernard Herrmann: *Vertigo* (1958)
Jaws (1975)
Close Encounters (1977)
Star Wars: A New Hope (1977)
Superman (1978)
Star Wars V: Empire Strikes Back (1980)
E.T.: The Extra-Terrestrial (1982)
Always: Among the Clouds (1989)
Home Alone (1990)
Presumed Innocent (1990)
JFK (1991)
Hook (1991)
Jurassic Park (1993)
The Lost World (1997)
The Phantom Menace (1999)
Excerpts from *Angela's Ashes* (1999)
The Patriot (2000)
Harry Potter and the *Sorcerer's Stone* (2001)
Catch Me If You Can (2001)
Harry Potter and the Prisoner of Azkaban (2004)
Michael Giacchino: *The Incredibles* (2004)
Memoirs of A Geisha (2005)
Star Wars III: Revenge of the Sith (2005)
Christopher Beck: *Frozen* (2013)
The Force Awakens (2015)
Brian Tyler: *Avengers: Age of Ultron* (2015)
Brian Tyler: Main Theme from *Charlies Angels* (2019)

Other Scores by Williams
Concerto for Horn and Orchestra (2003)
Signature Editions for Horn (2010)

Filmography
101 Dalmations
Always
The Apartment
Bean
Beauty and the Beast
BFG
Chinatown
Close Encounters of the Third Kind
Cocoon

The Dark Knight
Days of Wine and Roses
Despicable Me
Gladiator
Harry Potter and the Chamber of Secrets
Harry Potter and the Sorcerer's Stone
The Hobbit: An Unexpected Journey
Indiana Jones
Islands in the Stream
James and the Giant Peach
JFK
Joker
King Kong
Knives Out
Lincoln
The Lord of the Rings: The Fellowship of the Ring
The Lord of the Rings: The Two Towers
Meet the Parents
Monsters, Inc.
The Natural
On the Waterfront
Psycho
Return of the Jedi
Rosewood
SCORE (documentary)
Seabiscuit
Searching for Sugarman
Sleuth
Star Trek: The Motion Picture
Star Wars: A New Hope
Star Wars: Return of the Jedi
Star Wars: The Empire Strikes Back
Star Wars: The Force Awakens
Superman
Toy Story
Toy Story 2
Vertigo

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