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MENTAL DISCIPLINE AND MUSICAL MEANING

by

ALICE JONES

A dissertation submitted to the Graduate Faculty in Music in partial fulfillment of the requirements for the degree of Doctor of Msuical Arts, The City University of New York

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Tara O'Connor

Date

Chair of Examining Committee

Norman Carey

Date

Executive Officer

Stephen Blum, Advisor

Sylvia Kahan, First Reader

George Lewis

Supervisory Committee

Abstract

MENTAL DISCIPLINE AND MUSICAL MEANING

by

Alice Jones

Advisor: Stephen Blum

Musical meaning, or what a musical experience communicates to a listener, is predicated on a shared habitus of listening between the musical creator (i.e., composer, performer, or improviser) and the listener. The meaning a listener takes away from a musical experience is partly dependent on the vessel transmitting it (i.e., who is performing, the quality of performance, or the visual aspects of performance), and a musical creator's actions are the result of his or her training, past experiences, enculturation, attentional focus, and bodily control in the heightened mental state in which creativity occurs. Even in traditions that consider the musician to be a conduit for inspiration from an otherworldly source, the musician must still undergo training in order to allow for a free, uninhibited flow of music. Music practitioners' evaluative statements, in which they describe the ways in which a musical experience was meaningful for them, often implicitly include an expectation of this mental discipline on the part of the musical creator. A practitioner-listener uses the appearance of both the music and the musician, the expectation of a musical logic governing the musical sounds, and the emotions or feelings of transport that he or she experiences to infer a musical creator's mental state and mental discipline, relying on his or her own musical experiences as a guideline.

Most broadly, this dissertation is an ethnomusicological study of the cultural and social contexts, cognitive dimensions, and aesthetic judgments found in 18th-century German flute

pedagogical treatises and published writings from shakuhachi players. More specifically, it is an axiological examination of the role habitus plays in the forming of aesthetic judgments among practitioners whose writings include an implicit expectation of mental discipline in a "good" musical experience, drawing upon the work of Jean-Jacques Nattiez and Kendall Walton, in particular. This dissertation offers a description of the kinds of mental states in which creativity occurs, includes a theory of musicking as the bringing forth of one's inner self or core consciousness, and demonstrates ways in which practitioners suggest that another musician's inner self (i.e., mental discipline and mental state) can be discerned in a musical experience.

Flute treatises by Johann Joachim Quantz (1697-1773) and Johann Georg Tromlitz (1725-1805) raise broad issues of aesthetics in terms of the ways in which serious music of the 18th century aspired to capture ideals of nobility, the ways in which musical judgment was used a means of assessing a listener's social status, the ways in which mental control in musical execution and composition were defined, and the ways in which a musician's mental discipline can produce a transcendent musical experience. The issues raised in these treatises resonate with concerns equally touched upon by contemporary music philosophers (Gottfried Wilhelm Leibniz, Christian Gottfried Körner, Johann Mattheson, and Johann Georg Sulzer) and also perpetuate aesthetic concerns from the Renaissance.

The writings of shakuhachi players Hisamatsu Fūyō (1791-1871), Watazumi (1910-92), Andreas Fuyu Gutzwiller (b. 1940), Christopher Yohmei Blasdel (b. 1951), John Singer (b. 1956), Ralph Samuelson, and Gunnar Jinmei Linder present a range of concerns that define the modern shakuhachi habitus. Their statements which allude to discernible aspects of mental discipline in their own playing and in the playing of others are driven by four major concerns: the primacy of the performance as the meaningful act of musicking, a player's membership in

social groups (*ryūha*), the shakuhachi's traditional role as a tool for spiritual meditation, and practitioners' multiple senses of history. In this dissertation, the issue of mental discipline is examined in shakuhachi playing with regard to a player's inner mental experience, the execution of gestures that result in musical sound, and the experience of achieving enlightenment (*suizen*).

Acknowledgements

The CUNY Graduate Center has been an enormously supportive and inspiring place to be, and this dissertation is partly the result of the generosity, humor, and wisdom of the institution's faculty, staff, and student body. In particular, I must single out my advisor, Dr. Stephen Blum, whose alacrity and depth of knowledge in seemingly every field of musical knowledge was a source of intimidation and aspiration for me from the start of my first semester here. The other members of my committee, Dr. Sylvia Kahan and George Lewis, were exacting, encouraging, and probing in their questions, comments, and insight. I am humbled by the time and respect they showed my work, and any errors that remain are my own.

Dr. Tara Helen O'Connor has given me more of her time, musical insights, life wisdom, and dog-sitting talents than any teacher should ever have to, and I feel overwhelmed by how grateful I am to have her to call on.

I would not be a flutist without LeAnne Morales.

My family is the strongest source of my personal mental discipline quirks. Thank you, Jordan and Jana, for supporting me, even when you had no idea what I was talking about. Mom and Dad, I wish every day that you could be able to read this and be proud.

Note on Japanese Names, Italicizations, and Quotations

Throughout the text, Japanese names have been given in the traditional style of family name followed by given name (e.g., Yamaguchi Gorō). This is true in the footnotes as well (e.g., Kamisangō Yūkō rather than Yūkō Kamisangō).

I have maintained original formatting of quotations with regard to italicization, underlining, parentheses, and spelling. Some Japanese words have undergone changes in Romanization, so older texts may refer to the same concept or person with a different name. Where it seemed necessary, I have added clarification in square brackets [ ].

Foreign terms have been italicized (e.g., *honkyoku*, *sprezzatura*) except in the case of a quotation of another writer's work. Writers on the shakuhachi, in particular, exhibit a wide variety of italicization, capitalization, and spelling choices, especially as many of the sources cited in this dissertation are not academic in nature. This is also true for Japanese names, with some writers referring to Yamaguchi Gorō as Gorō Yamaguchi, for example. Wherever possible, I have maintained the original author's stylistic choices and added clarification in square brackets where it seemed necessary. This is also true for British spellings and hyphenated words (e.g., flute-player) in quotations from British sources.

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Chapter 1: Introduction

A persistent and alluring question in the contemplation of music is "What does it mean?" as if by unlocking the code we will be afforded entry into great mysteries.[1] Contemporary sources that delve into musical meaning are numerous and varied, often presenting a theory of meaning applicable to a single musical style. In this dissertation, the question of meaning will be approached through evaluative statements by music practitioners that explore what they heard in a musical experience and how they made sense of what they heard.

Even though musicking is a social activity, I think the listening experience is fascinatingly lonely—it is a rich, vibrant experience that occurs in one person's head. Of course we can describe the feeling of such an experience to others, but no one in the entire world will ever hear a piece of music the same way you do, because their enculturation is different, because the habitus which shapes and is shaped by their social listening experiences is different, because of different life experiences and differences in personality, and because every physical body with which we engage the world is different. Rather than being depressed by this alienation, I feel enormously energized as an artist by the infinite possibilities of listening—it is the very individuality of a person's listening experience that is the source of variety and creativity in

[1] Christopher Small argues that music is a process or activity rather than a "thing," asserting that "If there is no such thing as music, then to ask 'What is the meaning of music?' is to ask a question that has no possible answer." His definition of "musicking" as (1) a set of activities in which the composer, performer, and listener engage rather than a one-way system of communication from composer through performer to listener; and (2) the locus for musical meaning informs this dissertation: "The fundamental nature and meaning of music lie not in objects, not in musical works at all, but in action, in what people do. It is only by understanding what people do as they take part in a musical act that we can hope to understand its nature and the function it fulfills in human life." See Christopher Small, *Musicking: The Meanings of Performing and Listening* (Hanover: University Press of New England, 1998), 2-8.

music. Moreover, to acknowledge and celebrate that individuality does not negate the possibility of finding common issues or common themes across listening experiences.

One of my goals with this dissertation is to acknowledge the value of the myriad ways in which people listen to music by using the listening experience as a starting point for a discussion of musical meaning, rather than beginning from the exalted, pure position of the "music itself." This seems appropriate because we as listeners may listen for certain things or listen with particular expectations, whether articulated or not, and the way in which we listen is a large determinant of the meaning communicated by a musical experience and the meaningfulness of that musical experience. A mother watching her child perform in a studio recital, for example, will not come away with the same sense of what that piece or performance meant as the child's teacher, the child's bored older sibling, another pupil in the studio, or the child herself. A non-musician who assumes that all music is a deep, personal, and often beautiful mode of expression will likely come away from a performance of a work by Karlheinz Stockhausen confused and perhaps frustrated. A composer in the audience for the same performance, on the other hand, may feel inspired by the melding of music, theatre, and the absurd.

Evaluative statements about music (e.g., describing an experience as being "good") highlight what is most meaningful to a particular listener, so musical meaning is colored by a listener's personal and social background. Such assessments generally fall into three categories,[2] which a musical experience can exemplify to varying degrees, in which the listener says:

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[2] These three categories bear a similarity to Peter Kivy's three levels of music appreciation: (1) sheer beauty of sound as it unfolds in its ebb and flow; (2) more sophisticated listening in which the listener becomes aware of part-writing and his or her excitement increases with this discovery; one is moved both by the beauty of sound and the technique; (3) finding further objects of our emotion and multiplying of attendant beliefs, one is "moved" by the music. See Peter Kivy, *Music Alone: Philosophical Reflections on the Purely Musical Experience* (Ithaca: Cornell University Press, 1990).

(1) it sounded appropriate—a cultural and technical knowledge-based assessment that deals with the surface of the music or its superficial sound quality within a particular context;[3]

(2) it was understandable to me—a musical content-oriented assessment that relies on the listener's technical knowledge to parse the construction, inherent logic, and coherence of the musical material; and

(3) it moved me—an emotional reaction that results from the interaction of the sound of the music and the listener's receptivity or willingness to be swept away by it.[4]

This dissertation will argue that these kinds of meaningful musical experiences are predicated on the mental discipline of the musical creator(s), meaning his or her ability to tap into a heightened mental state, to control his or her body movements, and to produce a musical experience that meets certain socially-defined aesthetic criteria (Chapters 2-3).

Listening with an expectation of mental discipline on the part of a musical creator seems to be a common point of departure for pedagogues and initiates: people with intimate knowledge enough to read (hear) between the lines in a work or performance. Although a musician does

---

[3] This context and the issue of "appropriateness" arise out of a community of listeners' shared habitus of listening: the cultural value system that creates, and is created by, shared values. What is defined as appropriate in one setting (e.g., a student's performance during a private lesson) is not appropriate in another (e.g., a professional concert), as each setting has its own constraints, purpose, and communally-agreed upon expectations. See Chapter 3, pp. 32ff.

[4] A foreseen and reasonable objection to the notion of heard commonalities might be the documented fact that the same musical sounds are not experienced in the same way by all listeners. Clinical studies of listeners with and without perfect pitch, with and without musical training, or from different cultural backgrounds clearly demonstrate that the same musical phenomenon is not heard, experienced, or interpreted in the same way by all listeners. However, this supports the idea that a listener's personal and social background together form an interrelated web that determines which musical sounds have meaning at all. In turn, the extrapolated interpretative meaning of those same sounds will necessarily differ, as well. Nicholas Cook also argues that such clinical studies are merely tests of ear training and do not consider the significance, meaning, or cultural value of music. See Cook, "Perception: A Perspective from Music Theory," in *Musical Perceptions*, eds. Aiello and Sloboda (New York: Oxford University Press, 1994), 64-95.

not typically say, "That musician is really mentally disciplined!," when a practitioner says something critical (whether positive or negative) about tone color, ensemble cohesiveness, or stylistic school in descriptions of ideal (or poor) instances of music performance, rehearsing, and composing, I believe they allude to the idea of mental discipline which I present in this dissertation. Practitioners seem to infer the presence of attributes of the heightened mental states that Mihalyi Csikszentmihalyi calls flow and Karen Nesbitt Shanor and Frank Putnam call peak experiences or Nirvana.[5] They engage in Kendall Walton's world of make believe[6] and imagine about how well a musician practiced (e.g., saying that one's technique was clean or rhythm was solid); how focused he or she was (i.e., attentional focus); or how thoughtful he is she is (e.g., saying that an interpretation was thoughtful suggests that the listener thinks the player had understanding of musical language used in the piece, conceived of the whole piece in an efficacious way, and that the piece was not too difficult to prevent the player from addressing interpretive issues).

To this end, this dissertation examines two disparate traditions of music whose practitioners' evaluative statements allude to the control that a musical creator holds over his (or, more rarely, her) mental discipline: late-eighteenth century German flute music (Chapter 4) and shakuhachi playing (Chapters 5-8). These practitioner-listeners' descriptions cover a range of listening experiences, including being an audience member for a live performance, listening to a recording, imagining music when reading from a score or remembering a piece, and performing on stage and experiencing a piece unfold as one makes it unfold. Their evaluative statements reveal (1) how they find meaning in a musical experience when they approach their listening through the prism of mental discipline, (2) their sense of how music "should" sound, (3) how

[5] See Chapter 2, pp. 10ff.
[6] See Chapter 3, pp. 47ff.

"mental discipline" is defined, and (4) the value of mental discipline beyond its mere existence. In both cases, musicking that has the ability to produce a transcendent or transportative experience is made possible by the musician's entry into and control over a heightened mental state, one that is distinct from day to day behavior. This mental control allows a flutist's audience potentially to be swept away emotionally by a performance, or a shakuhachi player to lose his sense of personal identity and achieve a sense of fusion with the world—in both cases, it is the musician's control over his or her body, his or her mind, and his or her actions that produce a meaningful musical experience. In each musical tradition, the vocabulary used to allude to the concept of mental discipline varies, but both share a concern for the existence of mental discipline. My intention is not to present an absolute definition of "good" but rather certain methods people use to define it.

In addition, the allusions made in these writings to musicians' skills and enculturation suggest ideas described by more modern music cognitivists and neuroscientists—an expectation of or assumption of hours of practice on a musician's part and a musician's reinforcement of neural pathways for interrelated skills. All musical skills, execution, and creation are the synthesis of previously learned behaviors, engagement of neural maps, and reinforced reactions to musical stimuli. A musician's actions and fluidity of those actions are evidence of actions past, of intentions past, of the individual identity of a musician's brain and all the unique things it has experienced. The act of musicking therefore is a kind of bringing forth of one's inner self or a making public one's previous actions, intentions that led to those actions, and behaviors that one has learned and absorbed within a given community.

This dissertation will also explore the ways in which a practitioner-listener's expectations and concerns are shaped by and articulate broader aesthetic issues. Statements that a musician

makes about the correct way to interpret a musical idea or execute a technique (comprising most of the content of flute treatises by Johann Joachim Quantz and Johann George Tromlitz, for example) are not infalliable and absolute, but rather they are a piece of the puzzle that fleshes out the shared habitus of a given community of listeners. All of the tasks, skills, and actions that comprise musicking in the flute community or the shakuhachi community are learned, practiced, and executed according to socially-defined criteria. So, the very issue of mental control—how it is defined, how its presence is known, and what it feels like—is culturally-defined, just as are the appropriate reactions of a listener to a musical experience and the content of the musical experience itself.

As the major issues, writers, and topics in both late-eighteenth century German flute music and shakuhachi playing are disparate and distinct, each musical tradition's respective chapters will be shaped by the most prominent concerns of its practitioners. This includes, for example, an emphasis among flute writers on the effect that one's performance has on a listener, and, conversely, an emphasis among shakuhachi players on the instrumentalist's own inner mental experience while playing.[7] Issues of methodology for each musical tradition will be handled in introductory remarks to Chapter 4 (for the flute) and in Chapter 5 (for the shakuhachi), so that they are not widely separated from their main content, rather than asking the reader to keep them in mind from now until then.[8]

My interest in this topic grew out of my experience as a classical flutist and teacher. I have four broad goals for this dissertation:

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[7] This inner mental experience also happens to result in musical byproducts upon which listeners, if there happen to be any present, may comment.

[8] Readers who would prefer to see a simplified comparison of the ways in which late-eighteenth century German flutists and shakuhachi players define mental discipline, proper execution, and the listening experience may refer to Appendix A.

(1) To learn more about shakuhachi music. The shakuhachi's sound world is a striking feature of several works in the contemporary classical flute repertoire.[9] Having approached the shakuhachi tangentially, I wanted to delve more deeply into its aesthetics. Due to my relative inexperience with this musical tradition, the bulk of this dissertation is devoted to what is a new topic for me.

(2) To explore varied listening strategies within and across genres.[10] While teaching music appreciation classes at CUNY Queens College to non-musician students and attempting to tease musical "facts" out of their non-technical descriptions of the pieces played in class, I began to think about the astonishing variety of listening experiences that these students described. I subsequently approached reading of European aesthetic treatises in my own studies with a similar effort at defining the listening experience each writer seemed to have had.

(3) To orient flute treatises within their broader aesthetic context rather than treating them as documents pertaining only to flute playing. Eighteenth-century pedagogical flute treatises have been intently studied in the interest of historical performance practice, but less so with an interest in broader musical aesthetics.

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[9] Pieces composed in this vein include Kazuo Fukushima: *Mei* (1962), Shirish Korde: *Tenderness of Cranes* (1990), Will Offermans: *Honami* (1994) and *Tsugu-no-Sugomori* (1999), and Tōru Takemitsu: *Itinerant* (1989). The shakuhachi's sound world is the subject of Constance L. Kelley's 2008 dissertation, *Unaccompanied Flute Repertoire Influenced by the Japanese Shakuahchi: An Examination of Three Representative Twentieth-Century Works* (DMA diss., University of Nebraska – Lincoln, 2008). There also exists a "shakulute," a hybrid instrument with a shakuhachi head joint affixed to a Western flute body.

[10] Mihalyi Csikszentmihalyi rightly notes that the plurality of explanations for the aesthetic experience, or a lack of a single universal aesthetic reaction, does not mean that there is no such thing as the aesthetic experience. See Mihalyi Csikszentmihalyi and Rick Robinson, *The Art of Seeing: An Interpretation of the Aesthetic Encounter* (Malibu, CA: J.P. Getty Museum, 1990), 17.

(4) To bring the performer back into the conversation about musical meaning, especially in Western classical music. The performer is often excised or erased from the discussion by assuming an ideal performance, whether real or imagined, and working from there. Yet, the meaning that listeners articulate is not independent of the vessel transmitting the music (i.e., who is performing, the quality of performance, or the visual aspects of performance). Music-making is inherently a human activity, so the human element—i.e., the musical creator(s), meaning the performer in addition to the composer, if there is one—cannot be ignored when considering what makes a musical experience meaningful, not only in situations in which the performer takes on a compositional role.

Chapter 2: Mental States and Mental Discipline

There exist special mental states, distinct from day-to-day mental activity, in which creativity occurs, and people such as musicians can and do enter into them at will. The following discussion of mental states, creativity, and mental control draws largely from the work of Mihalyi Csikszentmihalyi, Frank Putnam, and Karen Nesbitt Shanor. Csikszentmihalyi has described the experience of "flow" during enjoyable activities, and Putnam and Shanor have focused on the religious or meditative aspects of what they refer to as "peak" experiences. The physiological features of heightened mental states have been detailed by Judith Becker, especially with regard to trance, and Antonio Damasio. Becker's work and that of writers on performance anxiety, such as Donald Greene, document the ways in which musicians and others are able to control their entry into and prolong their experience in heightened mental states.

Mental States and Creativity

"State" comes from the Latin *status*, a condition of being, and as we pass from one state to another, we feel different physically and emotionally.[11] During the day, we cycle through various states, and the state we are in at any given moment determines our activity level, energy level, arousal level, and attention level.[12] Beyond the normal mental states that most of us experience (e.g., having a perception, experiencing a sensation, having a recollection, or thinking about something), people also experience pathological states (e.g., mania, panic attacks, anxiety

[11] Frank Putnam and Karen Nesbitt Shanor, "States of Consciousness from Infancy to Nirvana," in *The Emerging Mind*, ed. Shanor (Los Angeles: Renaissance Books, 1999), 30.
[12] Putnam and Shanor, 64.

attacks, catatonia) and dissociative states (e.g., daydreaming, hypnotic trance, deep meditation).[13] The categorizing of different states historically has also been of interest to Indian theorists, for example, with detailed descriptions of aesthetic states or emotions and their attendant physical features outlined in the *Nātyaśāstra*.[14]

Mihalyi Csikszentmihalyi (1990) describes the heightened states of consciousness in which creativity takes place as "flow."[15] Flow is brought about by an autotelic experience, which is any intensely enjoyable, intrinsically rewarding activity that requires mental focus, including aesthetic experiences, immersion in religious rituals, athletic competition, music performance, and playing chess.[16] Flow requires that a person's abilities be in balance with the skills required by the activity: he or she neither feels the task is too easy (skills outweighing the challenge) nor overly frustrating (the challenge outpacing the skills), but instead feels in control of his or her actions (i.e., having the skills adequate to overcome challenges present in the activity).[17] The person must have clear goals for the activity; the activity must provide feedback as to the achievement of those goals; and this feedback prolongs and deepens the focusing of the person's attention.[18] Regardless of the activity, the structural elements of consciousness that make the experience feel rewarding are the same,[19] including (1) loss of ego (loss of self-consciousness and transcendence of ego boundaries); (2) limitation of stimulus field (no

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[13] Putnam and Shanor, 30.
[14] Lewis Rowell, *Thinking About Music* (Amherst, MA: The University of Massachusetts Press, 1983), 203. Authorship is traditionally attributed to the sage Bharata around the transition from BCE to CE, although exact dating is not possible. See Adya Rangacharya, *The Nāṭyaśastra: English Translation with Critical Notes* (New Delhi: Munshiram Manoharlal Publishers, 1999), xvii.
[15] Mihalyi Csikszentmihalyi and Rick Robinson, *The Art of Seeing: An Interpretation of the Aesthetic Encounter* (Malibu, CA: J.P. Getty Museum, 1990), viii.
[16] Cskikszentmihalyi, 182.
[17] Csikszentmihalyi, 8.
[18] Csikszentmihalyi, 7 and 123.
[19] Csikszentmihalyi, 8-9.

awareness of either the past or the future); (3) a merging of action and awareness (one's attention is wholly focused on the task at hand; it is the kind of attention that makes its presence felt);[20] and (4) a feeling of transcendence of individuality and fusion with the world.[21]

Frank Putnam and Karen Nesbitt Shanor's description (1999) of what they call a "peak experience" or "Nirvana" is similar to Csikszentmihalyi's "flow," although with an emphasis on the often spiritual nature of the experience:[22] (1) a decrease in the presence of internal voices, ruminations, obsessive thoughts, mental intrusions, or preoccupation of the self; (2) narrow temporal bandwidth or "time dilation" (a sense of being in the immediate moment, not thinking of either the past or the present, in which time seems to slow down and one's perceptions become very vivid);[23] (3) a merging of action and awareness so that they each become part of one and the same process; and (4) a sense of stillness and profound peace.[24] Putnam and Shanor note that peak experiences were described by "folk wisdom…long before science confirmed it," particularly in terms of the "strong emotional responses" they encourage in their participants,

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[20] Csikszentmihalyi, 120.

[21] Csikszentmihalyi, vi. Csikszentmihalyi's list of criteria is similar to that of Monroe Beardsley (1982), who said an aesthetic experience requires object focus (merging of action and awareness) and at least three of the following: felt freedom (limitation of stimulus field), detached affect, active discovery (control of actions, goals, feedback), and wholeness (the sense of integration, self-expansion, and self-acceptance that comes after the loss of ego). See Csikszentmihalyi, 7, citing Beardsley, *The Aesthetic Point of View: Selected Essays*, eds. Michael Wreen and Donald Callen (Ithaca: Cornell University Press, 1982).

[22] Putnam and Shanor, 31. Abraham Maslow (1968) also focused on the spiritual or sacred nature of meaningful aesthetic experiences, with criteria that are similar to those of both Putnam and Csikszentmihalyi: total attention on the object in question, complete absorption, disorientation in time and space, transcendence of ego, and identification with or even fusion with of the perceiver and the perceived. See Becker, 161, endnote 6, citing Maslow, *Toward a Psychology of Being* (New York: Van Nostrand Reinhold, 1968), 71.

[23] Putnam and Shanor, 66. A similar experience of time dilation is also described by people in emergencies or under the influence of psychedelic drugs (Ibid.).

[24] Putnam and Shanor, 70-71.

"sometimes to the exclusion of reason."[25] Entering and subsequently coming of such a mental state is almost always described in positive terms, or its effects as having positive attributes, making it distinct from other states, and its associated feeling of transformative and euphoric calm is often considered to have (and is sought out for) healing properties:[26]

> Peak experience states are rewarding because they enable us to just *be*. It is not as if they are a means to another end. They *are* the end. The individual does not feel the need to seek something beyond the experience. There is only the wish to be able to re-experience such a state when it has faded.[27]

The common attributes of flow or a peak experience have been described by writers discussing music listening, performance, and composition. Judith Becker (2004) has noted that people in religious ecstasy (trances), people wholly absorbed by a music listening experience, and music performers equally speak of having a transformed sense of "self" both during and after such experiences.[28] Mary Alberici (2004) has explored the transcendent mental states experienced by music performers.[29] When he felt that his creative activity was flowing well and his concentration was high, Pyotr Ilyich Tchaikovsky (1878) described his ideal work habits in language that is almost assuredly an example of flow, a peak experience, or a heightened mental state. His account includes time dilation, attentional focus ("I forget everything"), loss of his

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[25] Putnam and Shanor, 47
[26] Putnam and Shanor, 30-31.
[27] Putnam and Shanor, 71.
[28] Judith Becker, *Deep Listeners: Music, Emotion, and Trancing* (Bloomington, IN: Indiana University Press, 2004), 87.
[29] Mary Alberici, *A Phenomenological Study of Transcendent Music Performance in Higher Education*, (PhD diss., University of Missouri at St. Louis, 2004).

own identity which is subsumed by another ("behave like a madman"), and a bodily reaction ("pulsing and quivering"):

> I forget everything and behave like a madman. Everything within me starts pulsing and quivering; hardly have I begun the sketch ere one thought flows [into] another. In the midst of this magic process it frequently happens that some external interruption wakes me from my somnamubulistic state: a ring at the bell, the entrance of my servant… Dreadful are such interruptions. Sometimes they break the thread of inspiration for a considerable time, so that I have to seek it again, often in vain.[30]

Physiological Features of Heightened Mental States

Heightened mental states feel distinct from day to day mental activity because they cause and are accompanied by certain distinct physiological processes. According to Becker, changes from one mental state to another produce a range of physiological effects that begin with the autonomic nervous system (ANS), which is controlled by sections of the brain that mostly operate involuntarily, such as the encephalon and brainstem.[31] These sections of the brain control respiration, heart functions, digestion, involuntary muscles, and skin temperature.[32] Changes in both the emotions[33] and the body are directly linked together by this homeostasis

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[30] John Sloboda, *The Musical Mind: The Cognitive Psychology of Music* (Oxford: Clarendon Press, 1993), 137. The quotation comes from an 1878 letter to Nadezhda von Meck and appeared in Rosa Harriet Jeaffreson Newmarch, *The Life and Letters of Peter Ilyich Tchaikovsky* (New York: Vienna House, 1973), 275. The passage comes from a letter to Frau von Meck dated February 17, 1878 and describes his experience composing Symphony No. 4 in F minor, Op. 36.
[31] Becker, 47.
[32] Becker, 49.
[33] Antonio Damasio distinguishes between emotions, feelings, and consciousness. Emotions or a state of emotion are "outwardly directed and public" but "can be triggered and executed nonconsciously." Feelings or a state of feeling are "inwardly directed and private," and "an

monitoring (ANS), because an emotional reaction disrupts various bodily activities, resulting in the need to regain homeostasis.[34] An emotional stimulant may affect various bodily functions and cause an increased heart rate, elevated pulse, shallower breathing, raised skin temperature, or an increased irregularity of brain waves.[35] Encountering something that has emotional resonance (e.g., a thought or a perception) "stimulates neurons or bundles of neurons in the older, lowest areas of the brain" (i.e., hypothalamus, basal forebrain, brainstem), which then release chemical substances to the "higher" function cortical areas.[36] Studies by Antonio Damasio (1999)[37] and Jaak Panksepp (1998)[38] have demonstrated that the chemicals released in response to an emotional change (i.e., monoamines, peptides) affect what we feel or think as well as how we feel or think. These chemicals determine the intensity of the emotion felt, alter brain processes that affect other behaviors, and alert the brain that changes in body states have occurred.[39] These

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organism may represent in neural and mental patterns the state that we conscious creatures call a feeling, without ever knowing that the feeling is taking place." He argues that "There is, however, no evidence that we are conscious of *all* our feelings, and much to suggest that we are not." Finally, "a state of feeling made conscious" means that an organism is aware of "having both emotion and feeling." It is this consciousness that allows one's feelings to exert "influence…beyond the here and now." See Antonio Damasio, *The Feeling of What Happens: Body and Emotion in the Making of Consciousness* (New York: Harcourt Brace and Company, 1999), 36-37.

For ease of reading, I have used "emotion" or "emotional" as shorthand for these gradations of experiences, with the understanding that not all physiological reactions described in this section happen because of conscious acknowledgement of one's feelings or because of an outward display of one's feelings. Following Damasio's terminology, using the word "feeling" might have been more accurate than "emotion," but the word carries additional baggage because of its connotations in normal conversation with a belief, an opinion, or being sensitive, in addition to its use with regard to emotions, particularly amorous ones, as well as physical sensations.

[34] Becker, 132.
[35] Becker, 49.
[36] Becker, 132.
[37] Damasio, 100.
[38] Becker, 133, citing Jaak Panksepp, *Affective Neuroscience: The Foundations of Human and Animal Emotions* (New York: Oxford University Press, 1998), 316.
[39] Becker, 133.

chemicals cause the brain to process images more slowly, for example, resulting in the sensation of time dilation, or what Becker has described as "the feeling of time stopping altogether."[40]

Emotions and homeostasis monitoring together comprise what Antonio Damasio calls "core consciousness" and what William Benzon calls "integrated body sense."[41] The non-conscious collection of information in the lower brain that is mostly concerned with homeostasis and non-conscious monitoring (ANS) constitutes the "proto-self." According to Becker, this proto-self reacts to images (i.e., first-person experiential knowledge based on an object, a perception, or a thought), which can be "an idea," "knowledge about one's past experience with the image," "values associated with the image,"[42] its physical properties and our emotional response to it, "its relationship to other images, [or our] intentions regarding the image."[43] Core consciousness is the result of the relationship between the proto-self and an image—the image changes the proto-self, and the sensation that the proto-self has been changed is core consciousness; the "sensation of change leads to the sensation of a self who experiences the change."[44] There is no core consciousness without emotions, according to Damasio, because "[e]motions and core consciousness tend to go together, in the literal sense by being present together or absent together."[45] These subconscious emotional reactions and monitoring give rise to a self. The sensation of these changes by the self is the basis for the conception of there being a "me"—the changes are happening to someone. Becker also argues that core consciousness

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[40] Becker, 133.
[41] Becker, 146, quoting William Benzon, *Beethoven's Anvil: Music in Mind and Culture* (New York: Basic Books, 2001), 154.
[42] Becker, 137.
[43] Becker, 136.
[44] Becker, 137.
[45] Damasio, 100.

arises from bodily awareness, meaning bodily knowing in relation to one's surrounding and the sensation of knowing one's body-state in relation to a self.[46]

Given the similarity of the physiological effects they sustain, people who experience heightened mental states often describe them in similar terms, regardless of the activity at hand. The sensation of loss of self-consciousness is one of the most prevalent and pervasive features of accounts from "trancers" (people in religious ecstasy or in a dissociative trance state), people skillfully[47] performing an activity (such as music performers), and what Becker refers to as "deep listeners" (people whose listening experience is so deep that they feel moved by it, often without being in a religious context).[48] During these heightened mental states, there persists the continued presence of core consciousness but a temporary suspension of what Damsasio calls "extended consciousness"[49] and what Becker calls "languaged consciousness."[50] What "turns off" is not the self, the emotions, the kind of bodily self-awareness that escapes linguistic formation,[51] or an ability to maintain mental control, but rather the extended consciousness (i.e., the ego or inner monologue), along with its notion of identity, long-term memory, and sense of

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[46] Becker, 134-139.
[47] "Skillful" in this sense does not mean performing an activity at an empirically superlative level of skill. Rather, following Csikszentmihalyi's criteria for flow, "skillful" refers to the kind of attentional focus a person exhibits as well as the balance between a person's skills and the challenges of the activity—he or she has the skills adequate to overcome the challenges presented by the activity, neither being bored (skills outpacing the challenge) nor frustrated (challenge outpacing the skills). See Chapter 2, p. 10.
[48] Becker, 161, endnote 6. There are other examples of people engaged in disparate activities experiencing the same physiological effects (and mental experience). Shanor notes, for example, that during deep non-REM sleep, yoga, and meditation, people exhibit the same neural activity, including high levels of direct current coming from the brain. See Shanor, ed., *The Emerging Mind* (Los Angeles: Renaissance Books, 1999), 12.
[49] Becker, 145.
[50] Becker, 146. Benzon defines "languaging" as "the mere existence of inner speech [that] serves to anchor one's sense of intentionality in one's body." It is the omnipresent inner monologue that accompanies one's waking life. See Becker, 146, referring to Benzon, *Beethoven's Anvil*, 154-155.
[51] Becker, 88.

autobiography.[52] The turning-off of the extended consciousness contributes to the sense of stillness, lack of mental clutter, and quieting of self-doubt (i.e., no thinking, just doing), as described by Putnam and Shanor above.[53] Becker notes that trancers often describe the flow experience as the sensation that another self has temporarily displaced the "autobiographical self" (extended consciousness).[54] She further suggests that the common epistemological statement from musicians, "I become the music," is no longer metaphorical if their core consciousness has in fact been supplanted and has become "musicked."[55]

Gilbert Rouget (1985) further argues that the sensation of leaving oneself behind is not only a common feature but rather is a necessary criterion for entering a heightened mental state, such as a trance. He believes that trance "always manifests itself in one way or another as a transcendence of one's normal self, as a liberation resulting from the intensification of a mental or physical disposition, in short as an exultation…of the self."[56]

Controlling one's Mental State

The interrelated nature of ANS arousal, emotional response, and mental states suggests that a change any one of them (e.g., ANS arousal) will produce a change in the other two (e.g., emotional response and one's mental state). While such changes happen involuntarily throughout the day, some authors have asserted that they can be controlled volitionally. Becker argues that since emotional response leads to the release of chemicals that control the higher function parts of the brain, if one can control one's emotions, then one can achieve control over

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[52] Becker, 140.
[53] Becker, 145-147.
[54] Becker, 146.
[55] Becker, 143.
[56] Gilbert Rouget, *Music and Trance: A Theory of Relations between Music and Possession* (Chicago: University of Chicago Press, 1980), 14.

the higher parts of the brain. Entering into a heightened mental state is not synonymous with repression of the emotions but rather with an intentional intensification of certain emotional responses.[57] "Mental control" means favoring core consciousness and emotional response without the presence of the languaged, cortical (higher) areas of the brain. By self-monitoring one's biofeedback, one can train oneself to have or not to have emotional and physiological reactions to certain images and thereby achieve a transcendent mental state volitionally rather than passively. As Becker surmises, "It may be that learning to control deep-brain ANS emotional responses, respiration, blood pressure, and skin temperature allows some persons to so change their consciousness that trancing becomes 'allowed' and under voluntary control."[58] She notes that examples of this trained conscious control over typically involuntary bodily states are widespread among Indian yogis who control their metabolic rates and respiration, "patients with severe headaches [who can] ease their pain by learning to redirect or redistribute blood flow from their head to their hands or legs," or deep listeners who learn to control their emotional arousal to music.[59] Damasio documented the case of pianist Maria João Pires (b. 1944), who can "hold back or enhance her emotional involvement while listening to or playing music."[60] Pires' claims of emotional control were confirmed by measuring her heart rate and skin temperature, which she was able to alter at will, and were also replicated by other psychologists on multiple occasions. Becker argues that the concept of volitional emotional control has also been supported by the cases of patients who have experienced damage to the "emotional" parts of the brain (neocortex), resulting in the impeded function of the "rational" parts (cortical).[61]

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[57] Becker, 151-153.
[58] Becker, 146-147.
[59] Becker, 67-68.
[60] Damasio, 50.
[61] Becker, 134.

Repeatedly tapping into a heightened mental state changes the physiology of one's brain, and entering into a desired state becomes easier because the brain has been trained through biofeedback to release a certain kind and amount of a biochemical in response to a stimulus. Antoine Lutz cites a study by Richard J. Davidson (2003) demonstrating that the gamma activity of Buddhist monks was 30 times that of a non-meditating control group.[62] The more years the monks had been practicing meditation, the stronger the power in the gamma band, and when the monks were resting and not actively meditating, their baseline brain activity was distinct from that of non-meditators. Manoj Bhasin's study (2013) suggests that practicing meditation, yoga, or repetitive prayer changes gene expression, turning on the genes associated with energy metabolism, mitochondrial function, insulin secretion, telomere maintenance and turning off those involved in inflammation.[63] The effects were more pronounced for long-term practitioners. Such control is not necessarily conscious once it is learned, as emphasized by Elmer Green and Alyce Green (1989):

> In learning voluntary control of normally unconscious processes, we do not become directly aware of the neural pathways and muscle fibers involved, any more than we become aware of what cerebral and subcerebral nerves are involved in playing tennis…Everything that is learned, without exception, is learned with feedback of some

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[62] Antoine Lutz, et al, "Attention regulation and monitoring in meditation," *Trends in Cognitive Sciences* 12/4 (2008): 163-169. Lutz notes that the onset of meditation is marked by an increase in high-frequency EEG electrical activity in the gamma band (25-42 oscillations per second), synchronized across the frontal and parietal lobes, and that this kind of activity is typically associated with focused attention. The study referenced is Richard. J. Davidson, et al., "Alterations in brain and immune function produced by mindfulness meditation," *Psychosom. Med* 65 (2003): 564–570.

[63] Manoj Bhasin, et al, "Relaxation Response Induces Temporal Transcriptome Changes in Energy Metabolism, Insulin Secretion and Inflammatory Pathways," *PLoS ONE* 8 (2013): e62817.

kind, whether it involves the corticostriate system or the corticosubcortica-autonomic system.[64]

Putnam and Shanor note that "there are many cognitive ways to change states," and that even "thinking can make it so."[65] Changing or controlling one's posture and breathing can change or control the mind,[66] and using meditation to harness one's mental control in order to perform optimally is the subject of Joanne C. Chang's 2001 dissertation.[67] Abū Ḥāmid Muḥammad ibn Muḥammad al-Ghazālī also argued in the 11th century that one could achieve a desired mental state through bodily control in a process he called "affecting ecstasy" (*tawdjud*):[68] "And therefore the Apostle of God commanded him who did not weep at the reading of the Qur'an that he should force weeping and mourning; for the beginning of these States is sometimes forced while their ends thereafter are true."[69]

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[64] Becker, 68, quoting Elmer E. Green and Alyce M. Green, "General and Specific Application of Thermal Biofeedback," in *Biofeedback Principles for Clinicians*, ed. John V. Basmajian (Baltimore: Williams and Wilkins, 1989), 211.
[65] Putnam and Shanor, 68.
[66] Putnam and Shanor, 67.
[67] Joanne C. Chang, *Effect of Meditation on Music Performance Anxiety* (EdD diss., Columbia University Teachers College, 2001).
[68] Abu Hamid Muhammad al-Ghazzali, "Emotional Religion in Islam as Affected by Music and Singing," from *The Revivification of the Religious Sciences*, trans. Duncan B. Macdonald, *The Journal of the Royal Asiatic Society of Great Britain and Ireland* (October 1901): 730. The text is also available here: http://archive.org/stream/AlGhazaliOnMusicAndSingingabuHamidAlTusiAlGhazali/AlGhazaliOnMusicAndSingingabuHamidAlTusiAlGhazali_djvu.txt
[69] al-Ghazzali, 731. The ideal mystical ecstatic state experienced by Sufis (*fana'*) toward which al-Ghazzali is urging his readers resembles flow in that it also encompasses an erasure of one's identity, having been absorbed into that of the deity. St. John Chrysostom (4th century) advocates a similar course of bodily control, in which a person should learn physical patterns in order to train one's mind so that enlightenment will follow: "Even though the meaning of the words be unknown to you, teach your mouth to utter them; for the tongue is made holy by the words when they are spoken with a ready and eager mind…What is sought for here is a sober spirit, an alert mind, a contrite heart, sound reason, and clear conscience; if having these you

Becker also argues that people who exhibit the markers of exceptional mental control (e.g., yogis, music performers) are influenced by not just the current moment in which they enter into a heightened mental state but also by their experience with all previous similar moments.[70] The ANS arousal circuits of people who exhibit exceptional mental control are reinforced and influenced by their past experiences.[71] Homeostasis "perturbations are sent via the thalamus to many parts of the cortex" that recruit "memories of former history" with similar experiences and "knowledge of appropriate behavior," valorize "the event and one's participation in it," and enlist "the know-how to control and modulate one's ANS response" and therefore "propel oneself into trance consciousness." Trancers "are not 'out-of-control' but, rather, more fully able to modulate and enhance what are normally autonomic bodily responses than most people. They are profoundly in control of themselves."[72] It seems reasonable to extrapolate that musicians similarly are able recall (both in the active sense of remembering as well as in terms of trained biofeedback of one's core consciousness) their past performance or composition experiences in order to put themselves into the ideal mental state for performing or creating again.

Performance Anxiety

ANS arousal control and learning to tap into one's past experiences of similar events are common concepts in texts on musical performance anxiety. Several articles, books, and studies

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have entered into God's sacred choir, you may stand beside David himself." See St. John Chyrstotom, *Exposition of Psalm 41*, in *Strunk's Source Readings in Music History*, ed. Leo Treitler (New York: W.W. Norton & Company, 1998), 125.

[70] Becker, 26. This is also reinforced by Gerald Edelman's theory of neuronal grouping with regard to learned activities, which strengthen and reinforce maps of neural networks associated with an activity and all its attendant activities. See Chapter 3, pp. 42ff.

[71] Becker, 56.

[72] Becker, 68.

have catalogued the effects of performance anxiety, both physiological and psychological;[73] stressors that encourage performance anxiety (e.g., personality, individual propensities, stressful situations);[74] and how to deal with performance anxiety (e.g., through chemical treatment or therapy).[75] Mental discipline as a means to an end (i.e., overcoming performance anxiety) is also a common subject for DMA dissertations.[76] These writers have all described ANS-related physiological reactions (e.g., sweating, dry mouth, shallow breaths, trembling, general tension) as physical impediments to good performance, implying that a lack of bodily control (i.e., uncontrollable ANS arousal indicated by physiological reactions) indicates a lack of mental control.

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[73] Melissa Brotons, "Effects of Performing Conditions on Musical Performance Anxiety and Performance Quality," *Journal of Music Therapy* 31 (1994): 63-81; Wendy J. Cox and Justin Kennardy, "Performance Anxiety, Social Phobia, and Setting Effects in Instrumental Musical Students," *Journal of Anxiety Disorders* 7 (1993): 49-60; M. Fredrikson and R. Gunnarsson, "Psychobiology of Stage Fright: The Effect of Public Performance on Neruo-endocrine, Cardiovascular and Subjective Reactions," *Biological Psychology* 33/1 (May 1992): 51-61; Margaret S. Osborne and John Franklin, "Cognitive processes in music performance anxiety," *Australian Journal of Psychology* 54 (2002): 86-93.

[74] Dianna T. Kenny, Pamela Davis, and Jenni Oates, "Music performance anxiety and occupational stress amongst opera chorus artists and their relationship with state and trait anxiety and perfectionism," *Journal of Anxiety Disorders* 18/6 (2004): 757-777; Albert LeBlanc, Young Chang Jin, Mary Obert, and Carolyn Siivola, "Effect of audience on music performance anxiety," *Journal of Research in Music Education* 45/3 (Autumn 1997): 480-496; S. Mor, H. I. Day, G. L. Flett, and P. L. Hewitt, "Perfectionism, control, and components of performance anxiety in professional artists," *Cognitive Therapy and Research* 19/1 (1995): 207-225.

[75] D. B. Clark and W. Stewart Agras, "The Assessment and Treatment of Performance Anxiety in Musicians," *American Journal of Psychiatry* 149/2 (February 1991): 278-279; Mark C. Ely, "Stop Performance Anxiety!" *Music Educators Journal* 78/2 (October 1991): 35-39; Andrew Steptoe, "Stress, Coping, and Stage Fright in Professional Musicians," *Psychology of Music* 17/1 (1989): 3-11.

[76] Virginia Dee Hingley, *Performance Anxiety in Music: A Review of the Literature* (DMA diss., University of Washington, 1985); Joann Marie Kirchner, *Performance Anxiety in Solo Piano Playing* (PhD diss., University of Oklahoma, 2003); Lorraine H. McCoy, *Musical Performance Anxiety among College Students: An Integrative Approach* (DMA diss., Northern Illinois University, 1999); Robert Anthony Tamborrino, *An Examination of Performance Anxiety Associated with Solo Performance of College-level Music Majors* (DMA diss., Indiana University, 2001).

According to Putnam and Shanor, artists "often make use of altered states of consciousness to enhance their own creative process."[77] To this point, performance anxiety texts often advocate actively "turning off" the left brain or language center of the brain and focusing instead on bodily sensations and thinking only music (i.e., the sensation of pitches, rhythms, phrases, or body motions that don't involve language).[78] John Sloboda argues that turning off languaging and inner chatter and allows for increased self-monitoring of other bodily aspects of execution.[79] He believes that during an ideal performance, the musician's mind is in a clear, focused state, letting certain bodily tasks run on autopilot without conscious attention. The player's "conscious mind should know what is coming next independently of what the fingers are doing."[80] Describing something similar to the flow experience or a peak experience, Sloboda calls this "exhilarating" sensation "floating," in which one's conscious attention is not required and one's hands seem to have a life of their own.[81] He believes that this happens because, through hours of practicing, the performer has made efficient technical choices and has achieved familiarity with the style required, recalling Csikszentmihalyi's concept of skills and challenges being in balance.[82] Rita Aiello and Sloboda also note that when skills are practiced and fluent, they become automatic and the details of how they are executed disappear from the musician's

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[77] Putnam and Shanor, 69.
[78] In addition to the other sources cited in this section, this also includes Barry Green and W. Timothy Gallwey, *The Inner Game of Music* (New York: Doubleday, 1986) and Kenny Werner, *Effortless Mastery* (New Albany, IN: Jamey Aebersold Jazz, 1996).
[79] Sloboda, *The Musical Mind: The Cognitive Psychology of Music* (Oxford: Clarendon Press, 1993), 89.
[80] Sloboda, 91.
[81] Sloboda, 96. Shakuhachi player Riley Lee describes one of his most enjoyable and effective performance experiences in similar terms. See Chapter 8, pp. 250ff.
[82] Sloboda, 96-97.

conscious awareness, leaving him or her free to focus on other aspects of the creative process.[83] A horn player working with sports psychologist Donald Greene on his performance anxiety similarly described his ideal clear-headed state as, "Basically just try to clear your mind of all other extraneous thoughts. Let them flit about, but don't give them any real power and just focus on what you really need to focus on."[84]

In order to control one's entry into a heightened mental state for performance, Greene suggests that a player should have a ritual for turning the hemispheres of his or her brain "on" and "off" that allows him or her to control energy levels and ANS reactions (e.g., shaky hands, sweaty hands, dry mouth, shallow breathing) that would otherwise impede performance. His approach, called "centering," reaffirms Becker's notion that people who enter into heightened mental states do so by controlling their ANS arousal (in this case, using controlled breathing to consciously lower ANS stress levels), emphasizing bodily awareness in lieu of the extended consciousness (by focusing on body control and breath placement), and recalling one's past experiences with such states (by actively recalling words or images that remind one of a previous good performance).[85] Greene believes that putting oneself into a heightened mental state "turns off" what he refers to as the performance-critical left brain (i.e., one puts oneself a state that

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[83] Rita Aiello and John Sloboda, eds., *Musical Perceptions* (New York: Oxford University Press, 1994), 152.
[84] Donald Greene, *Audition Success* (New York: Routledge, 2001), 51.
[85] Greene, 51-54. Greene uses the three-breath process of "centering" with both athletes and musicians. On the first breath, thinking only about the fullness and depth of the breath and with eyes closed, the performer inhales through the nose and exhales through the mouth, letting out all muscle tension in the body. On the second, the performer imagines the inhalation being directed exactly to the body "center," or its center of gravity, below the navel, halfway between the front and back of the body. Greene tells his patients on this breath to "Get out of your head and into your center." On the third intake of breath, the performer reminds himself or herself of a "process cue," which is a positive word or phrase that captures their best feeling of performance. On the exhale, the performer opens his or her eyes, turning the focus of his or her energy outwards, directing it to a point outside of the body to which the performance energy will be guided.

favors core consciousness over extended consciousness). Greene argues that this kind of mental state makes it possible to use natural physiological fight-or-flight reactions (e.g., adrenaline or increased blood pressure due to nerves and excitement) to one's advantage for a performance in order to make it more intense, more accurate, and more convincing than anything that happened in practice.

Conclusion

The sensation of being in a heightened mental state is decidedly different from day-to-day mental states and is often highly enjoyable. It can be experienced by people on both sides of an aesthetic experience (i.e., both viewer and creator). In such a state, Judith Becker says that "one senses a kind of knowing that feels different, qualitatively, from everyday knowing," alerting the person that a special mental state has been entered.[86] The loss of self, loss of self-consciousness, or loss of ego inherent in these heightened states does not equate with a total loss of control, either mental or physical, because core consciousness persists. Core consciousness is, according to Antonio Damasio, something fundamental and omnipresent:

> We can infer that the thoughts in our minds are created in our individual perspective; that we own them; that we can act on them; that the apparent protagonist of the relationship with the object is our organism. As I see it, however, core consciousness begins before those inferences: *it is the very evidence, the unvarnished sense of our individual organism in the act of knowing*.[87]

[86] Becker, 146.
[87] Damasio, 125. Emphasis in the original.

One's core consciousness can be trained through biofeedback to intensify certain emotional reactions to certain images, and the more times that one enters into such a state, the easier it becomes to do so again volitionally (although not necessarily consciously). Creative artists train themselves to enter into such states in order to improve their work, often relying on their past similar experiences to expedite the process. Which emotional reactions are appropriate or socially acceptable in these states vary based on time and place.

Given the physiological similarities of the heightened mental states of people participating in creative acts, meditation, and trance, it follows that a musical creator who enters into a heightened mental state, similar to trancers who find themselves capable of normally impossible feats of strength or self-mutilation, will be able to be creative beyond the average person's abilities to be creative, and, if they are creating well, even beyond their own typical abilities.

Chapter 3: Music Cognition and Aesthetic Judgment

Music cognition means the making sense of what one has heard.[88] The field of music cognition is large and varied, but John Sloboda, Rita Aiello, Judith Becker, and Pierre Bourdieu, among others, have all honed in on the idea that cognition is dependent on both a listener's personal experiences and enculturation. For the practitioner-listener, musical training is part of the enculturation that encourages making aesthetic judgments based on a performer's mental discipline. Music making is a kind of bringing forth of one's inner mind to the surface: actions in the present imply actions (such as training and repetition) in the past, and a practitioner can infer these actions based on his or her own experience. The work of Gerald Edelman and Walter Freeman on learned activities (i.e., training and repetition), in tandem with the notion of the inner mind, alludes to the idea of core consciousness described in the previous chapter. Being able to discern a musician's inner self, previous actions, or enculturation is also suggested by Kendall Walton's theory of fictional worlds in which listeners' knowledge and inferences interact with a musical experience, leading to interpretation and insight beyond what is contained within the musical work itself. This chapter will close with examples of aesthetic judgments that suggest an assumption of a musician's mental discipline or the ability to discern a musician's mental processes in his or her musicking.

[88] Jerrold Levinson notes that Roger Scruton, Malcolm Budd, Robert Kraut, and Aaron Ridley all define "understanding music" to mean hearing it in a certain way. See Jerrold Levinson, *Music in the Moment* (Ithaca: Cornell University Press, 1997), 29.

The Process of Music Cognition and Aesthetic Judgment

When exactly during the listening process a mental organization of sounds (i.e., cognition) takes place is a matter of debate among music cognitivists. On one side are writers who argue for a two-step process of perception followed by interpretation. John Sloboda (1993) suggests that our ability to perceive music arose from an evolutionary need for a perceptual system to deal with natural objects.[89] He argues that after hearing music, there then comes the more active step of interpretation, often coupled with a description of the music, in which a listener notices relationships and identifies significant groupings among the musical sounds, from a few notes to large formal structures.[90] Israel Rosenfeld (1988) similarly argues that "we perceive the world without labels, and we can label it only when we have decided how its features should be organized."[91] This distinction between sense perception (i.e., hearing) and intellectual perception (i.e., interpretation of the musical context) is not a recent development in Western thought. In his 4th-century treatise *Harmonic Elements*, Aristoxenus delineated the two-fold task of music cognition, arguing "By the former [hearing] we judge the magnitude of the intervals, by the latter [intellect] we contemplate the functions of notes."[92]

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[89] John Sloboda, *The Musical Mind: The Cognitive Psychology of Music* (Oxford: Clarendon Press, 1993), 160. He offers the example of a forest, where one can reasonably infer that sounds that are close in time but widely separated in pitch are likely to come from separate sources, but the larger the time separation, the more plausible that the sounds could come from the same source, leading him to conclude that this is why some musical pieces may sound incoherent and difficult to understand—they veer too far away from "natural" sound perception.
[90] Sloboda, 154.
[91] Jeanne Bamberger, "Coming to Hear in a New Way," in *Musical Perceptions*, eds. Rita Aiello and John Sloboda (New York: Oxford University Press, 1994), 134, quoting Israel Rosenfeld, *The Invention of Memory* (New York: Basic Books, 1988), 187.
[92] Aristoxenus, *Harmonic Elements*, Book 2, section 33, trans. Henry Stewart Macran (New York: Georg Olms Verlag, 1990), 189.

Rita Aiello (1994), on the other hand, argues that there is no such thing as passive hearing without interpretation, because there cannot be perception without interpretation.[93] In order to perceive a melody at all, we must first perceive coherence within the sequence of pitches that make up the melody.[94] Coherence of a melody arises as a listener groups the sounds heard according to various perceptual and cognitive organizational mechanisms, based on the pitches sounding and by their interplay with all other musical characteristics of the texture, including melodic contour, timbre, rhythm, intensity, and tempo. Peter Kivy (1990) similarly asserts, following Immanuel Kant (*Critique of Aesthetic Judgment*, 1790), that we respond to any stimulus quality as a quality *of* something and that musical perception is the perception of a sound as a sound of a certain kind, perceived and cognized under some description.[95]

Regardless of whether it is a one- or two-step process, a variety of factors contribute to how a listener interprets a musical experience (i.e., the meaning that it communicates). According to Mihalyi Csikszentmihalyi, who writes of the aesthetic experience in general, we draw meaning from an artwork when the objective details of the art interact with art historical, biographical, sociological, technical, and aesthetic considerations that are brought to the viewer's

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[93] The work of neuroscientist Gerald Edelman supports Aiello's assertion that perception is synonymous with interpretation. Edelman argues that "in reality, the world, with its 'objects,' is an unlabeled place; the number of ways in which macroscopic boundaries in an animal's environment can be partitioned by that animal into objects is very large, if not infinite. Any assignment of boundaries made by an animal is relative, not absolute, and depends on its adaptive ability or intended needs." An animal's perception of objects in turn causes the linking together of various neurons on the brain, which leads to future actions based on those perceptions. See Gerald Edelman, *Bright Air, Brilliant Fire* (New York: Basic Books, 1992), 28.
[94] Rita Aiello and John Sloboda, eds., *Musical Perceptions* (New York: Oxford University Press, 1994), 175.
[95] Peter Kivy, *Music Alone: Philosophical Reflections on the Purely Musical Experience* (Ithaca, NY: Cornell University Press, 1990), 87.

mind.[96] He argues that an aesthetic interaction happens between the viewer, the work, and all the factors that went into the work's creation.[97] Similarly, Lewis Rowell (1983) argues that music cognition hinges on several independent factors which account for the plurality of interpretations and understandings of music: the facts of the music; facts of the listener's ability to hear frequencies, durations, and intensities; the facts of the listener's threshold of discrimination and limiting conditions; differing modes of listening; various activities involved in listening; myriad values we attach to certain properties or qualities perceived in music; judgments made based on how a piece measures up to a set of personal or common criteria for excellence and types of statements we make supporting these judgments; context of the music; listener's obstacles; and how the listener's behavior is affected by listening.[98] He argues that music cognition results from a listener's efforts to reconcile three potentially conflicting "mental images" that are "developing simultaneously [due to his enumerated factors]: the facts of the performance, the inner music, and the memory of the work itself—an exceedingly complex superimposition of imagery."[99] Jean-Jacques Nattiez (1990) argues that a musical text does not have a meaning but rather possesses a "constellation of possible meanings" that result from the "constructive assignment of a web of intrepretants to a particular form" made by the music's producer, receiver, or both.[100] Meaning is not absolute because "it is never guaranteed that the webs of interpretants will be the same for each and every person involved in the process."

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[96] Mihalyi Csikszentmihalyi and Rick Robinson, *The Art of Seeing: An Interpretation of the Aesthetic Encounter* (Malibu, CA: J.P. Getty Museum, 1990), 18.
[97] Csikszentmihalyi, 133.
[98] Lewis Rowell, *Thinking About Music* (Amherst, MA: The University of Massachusetts Press, 1983), 130.
[99] Rowell, 135.
[100] Jean-Jacques Nattiez, *Toward a Semiology of Music* (Princeton: The Princeton University Press, 1990), 11.

Personal and Social Experiences that Affect Music Cognition

For music practitioners, two factors seem to be most salient with regard to music cognition: one's personal experiences and one's enculturation into a musical community. Personal experiences that a listener brings to a musical event can strongly influence his or her music cognition. According to Becker, our perception of music "has everything to do with our own histories, our own set of experiences relating to that particular piece of music, [and] our 'manner of offering ourselves' to an external stimulus."[101] For example, she notes that certain "constructions of selfhood" (i.e., the extended consciousness) "affect one's openness to the emotional response elicited by musical stimulation."[102] Rowell similarly argues that a listener's "version" of a work (i.e., how he or she hears it) is enriched by his or her personal past experiences, particularly those based in one's musical training:

> [The] listening experience is…such an eccentric and personal synthesis of our early musical memories, traces left by the instruments we may have studied (the 'feel' of the piano keyboard under our fingers), ways in which we were taught to listen, conscious likes and dislikes, physical tensions and other responses, unconscious associations, and any number of individual quirks—colors, tastes, tactile sensations, and the like.[103]

Aristoxenus' notion of music comprehension is also predicated on an individual listener's aural skills and musical memory:

> It is plain that the apprehension of a melody consists in noting with both ear and intellect every distinction as it arises in the successive sounds…For the apprehension of music depends on these two faculties, sense-perception and memory; for we must perceive the

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[101] Judith Becker, *Deep Listeners: Music, Emotion, and Trancing* (Bloomington, IN: Indiana University Press, 2004), 108.
[102] Becker, 87.
[103] Rowell, 129.

sound that is present, and remember that which is past. In no other way can we follow the phenomena of music.[104]

Several writers have argued that the ability to discern what is meaningful in a piece of music doesn't arise in a single individual alone, but rather that it does so socially. Jean-Jacques Rousseau (1781) asserts that it is the socially-constructed meanings associated with musical sounds, not simply the music itself, which affect the listener's psyche.[105] "Sensations" are not effectual in and of themselves, but rather they work as "signs or images" with their own "moral effects" and "moral causes [such that] the power of music over our souls is not at all the work of sounds."[106] Musical sounds incite "intellectual and moral impressions received through the senses,"[107] causing no pleasure for the "completely unpracticed ear."[108] If this were not the case, he asks, "Why is our [i.e., European] most touching music only a pointless noise to the ear of a West Indian? Are his nerves of a different nature from ours?…Or, why should the same

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[104] Aristoxenus, 193-194, Book 2, sections 38-39. Aristoxenus' faith in the auditory sense to perceive music put him at odds with the mathematical empiricism approach of the Pythagoreans. The dichotomous Ancient Greek approaches to music cognition were noted by both Nicomachus and Boethius. See Flora R. Levin, "Synesis in Aristoxenian Theory." *Transactions and Proceedings of the American Philological Association* 103 (1972): 214-215.

[105] Becker, 26, referring to Rousseau, *Essai sur l'origine des langues* (Essay on the Origins of Languages). Rousseau is directly rebutting assertions by Jean-Philippe Rameau, among others, that one's powers of scientific reason are the basis of being moved by music and of creating good music. Rousseau rejects Rameau's mathematical conclusion that all musical systems must be based on the harmonic series as an instance of cultural bias masquerading as scientific reason. Rousseau argues that "the ear does not so much convey pleasure to the heart as the heart conveys it to the ear." See Jean-Jacques Rousseau, *Essai sur l'origine des langues où il est parlé de la mélodie et de l'imitation musicale*, Chapter 12, in *Strunk's Source Readings in Music History*, ed. Leo Treitler (New York: W.W. Norton & Company, 1998), 951.

[106] Rousseau, 947.

[107] Ibid., 951.

[108] Ibid., 948.

stimulus excite some people very much and others so little?"[109] In a similar vein, Robert Gjerdingen (1988) argues that "discussion of notes or particular rhythm [is] the consideration of cultural units of meaning, not simply pitches and intensities."[110] Becker believes that "A group of listeners develops a 'community of interpretation,' not necessarily uniform but overlapping in some salient features. The community of listeners will approach the music with a pregiven set of expectations, a 'forestructure of understandings.'"[111] This means that "every hearer occupies a position in a cultural field not of his or her own making," that "every hearing is situated," and that "listeners can shift modes in different contexts" (i.e., different cultural fields).[112]

The kind of response a listener has to a musical experience is partly determined by his or her "gaze," which Becker defines as the "situatedness" of one's listening or the "historical and psychological specificity" of one's listening approach—it is the combination or interaction of a person's social experiences and personal experiences.[113] One's gaze produces what Pierre Bourdieu (1977) calls a "habitus" of listening. Habitus of listening is not just the normative approach to listening within a culture, but also the generator of the framework in which music lives or the shared reference point to which listeners of a common gaze refer:

> The structures constitutive of a particular type of environment (e.g. the material conditions of existence characteristic of a class condition) produce *habitus*, systems of durable, transposable *dispositions*…that is, as principles of the generation and structuring

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[109] Ibid., 950.
[110] Nicholas Cook, "Perception: A Perspective from Music Theory," in *Musical Perceptions*, ed. Aiello (New York: Oxford University Press, 1994), 80, quoting Robert Gjerdingen, "Shape and Motion in the Microstructure of Song, *Musical Perception* 6/35-64 (1986): 59-60.
[111] Becker, 69. Becker adopts the terms "Community of interpretation" from Stanley Fish (*Is There a Text in this Class? The Authority of Interpreting Communities*, 1980) and "forestructure of understandings" from Kenneth Gergen (*The Saturated Self: Dilemmas of Identity in Contemporary Life*, 1991).
[112] Becker, 69.
[113] Becker, 70.

> of practices and representations which can be objectively "regulated" and "regular" without in any way being the product of obedience to rules, objectively adapted to their goals without presupposing a conscious aiming at ends or an express mastery of the operations necessary to attain them and, being all this, collectively orchestrated without being the product of the orchestrating action of a conductor.[114]

Habitus is both the cultural system and the source of that cultural system.

In musical situations, Becker interprets habitus as a tendency to listen with an attention to particular details that other listeners with a different habitus might otherwise ignore or consider less meaningful. She defines habitus as a "disposition to listen with a particular kind of focus, to expect to experience particular kinds of emotion, to move with certain stylized gestures, and to interpret the meaning of the sounds and one's emotional responses to the musical event in somewhat (never totally) predictable ways."[115] The kind of listening that a person does and the response that he or she has to a musical event is "acquired through…life experiences and…interactions with others in similar situations."[116] Habitus is not rigid or fixed, and Becker argues that habitus can "change not only across space…but also at different historical periods within a single culture."[117] A person's "modes of listening vary according to the kind of music

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[114] Pierre Bourdieu, *Outline of a Theory of Practice*, trans. Richard Nice (Cambridge: Cambridge University Press, 1977), 72.
[115] Becker, 71. She is referring to Bourdieu's definition of "disposition": "The word *disposition* seems particularly suited to express what is covered by the concept of *habitus* defined as a system of dispositions. It expresses first the *result of an organizing action*, with a meaning close to that of words such as structure; it also designates a *way of being*, *a habitual state* (especially of the body) and, in particular, a *predisposition*, *tendency*, *propensity*, or *inclination*. See Bourdieu, 214, footnote 1.
[116] Becker, 85.
[117] Becker, 70.

being played, the expectations of the musical situation, and the kind of subjectivity that a particular culture has fostered in relation to musical events."[118]

Habitus includes one's musical training, meaning one's initiation into a musical community. Jeanne Bamberger (1994) argues that a person's hearing of music is fundamentally altered by his or her knowledge of music. Possessing technical knowledge means that one hears different things—when one "know[s] about music," the music itself changes.[119] Music cognition experiments have suggested that musical training alters the way subjects listen to sounds, often increasing their tendency towards sonic categorization.[120] This includes the work of Simeon Locke and Lucia Kellar (1973),[121] Ken'ichi Miyazaki (1992),[122] Rita Wolpert (1990 and 2000),[123] and Reinhard Kopiez and Friedrich Platz (2009).[124]

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[118] Becker, 70.
[119] Bamberger, 132.
[120] Sloboda, 27.
[121] Sloboda, 25, citing Simeon Locke and Lucia Kellar, "Categorical Perception in a Non-linguistic Mode," *Cortex* 9 (1973): 355-369. Locke and Kellar found that musicians were more likely than non-musicians to say that two chords were of the same quality (major or minor), even when the frequency of the third of the chord differed up to 21 Hz. They were more likely to "recognize" the chords as being the same even when they weren't.
[122] Ken'ichi Miyazaki, "Perception of Musical Intervals by Absolute Pitch Possessors," *Music Perception: An Interdisciplinary Journal* 9/4 (Summer 1992): 413-426. Miyazaki found that the level of "aural confusion" experienced by musicians with absolute pitch when hearing out-of-tune pitches was greater than that experienced by musicians with relative pitch. The absolute pitch musicians took longer to figure out what intervals were being played (i.e., to categorize them) when the first reference pitch was a quarter-tone sharp, whereas the musicians with relative pitch relied on their training to categorize the intervals more quickly.
[123] Rita Wolpert "Attention to Key in a Nondirected Music Listening Task: Musicians vs. Nonmusicians," *Music Perception: An Interdisciplinary Journal* 18/2 (Winter 2000): 225-230. Ibid., "Recognition of Melody, Harmonic Accompaniment, and Instrumentation: Musicians vs. Nonmusicians," *Music Perception: An Interdisciplinary Journal* 8 (Fall 1990): 95-105.
Her work suggests that, depending on one's level of musical training or one's cultural enculturation, a listener will deem either "surface cues" of the music (timbre, tempo, dynamics, instrumentation—chosen by non-musicians) or its structure (melody and harmony—chosen by musicians) to be the salient features.
[124] Reinhard Kopiez and Friedrich Platz, "The Role of Listening Expertise, Attention, and Musical Style in the Perception of Clash of Keys," *Music Perception: An Interdisciplinary*

In addition to cognition studies, several writers have described initiate-level musical knowledge as being necessary for a listener to comprehend what is happening musically.[125] Sloboda doesn't use the term "habitus" but instead refers to "enculturation" when speaking about a listener who is immersed in culturally-transmitted knowledge, and he argues that enculturation is necessary in order to come away from a piece of music with any degree of understanding.[126] Music cognition, much like "getting a joke," involves a large set of processes and draws upon knowledge of the world and knowledge of a shared language. It is only after one understands what is happening that one may then experience an emotional reaction.[127] In contrast with Antonio Damasio,[128] Sloboda cleaves the process of emotional response into a cognitive stage (forming an abstract or symbolic internal representation of the experience which does not

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Journal 26/4 (April 2009): 321-334. Their study builds on Wolpert (2000); among their participants, "expert listeners" noticed a clash of keys between the melody and accompaniment (set in different keys a whole tone apart) more often than did "nonexperts." Perception of clashing keys was also dependent on the style of music played, with it being generally more noticeable in classical-style music, and progressively less so in rock 'n' roll, pop, and jazz, respectively. Kopiez and Platz ascribe these differences in listening to "acculturation effects (listening expertise, attention, musical style, and familiarity with the particular piece)." See Kopiez and Platz, 321.

[125] Others do not believe that musical training is necessary, only that it may be helpful. Edward Gurney (1880), for example, describes music cognition as a concatenationistic process, or moment-by-moment listening that required no musical training or memory. See Jerrold Levinson, *Music in the Moment* (Ithaca: Cornell University Press, 1997).

Richard Wallaschek distinguishes between *Tonvorstellung* (tone representation, or the perception of individual musical elements) and *Musikvorstellung* (music representation, or the perception of the higher order structure of music) See Richard Wallaschek, "How We Think of Tones and Music," *The Contemporary Review*, 66 (1894): 259-268.

Edward T. Cone suggests that a "synoptic" process, in which a listener evolves from immediate apprehension of the aesthetic surface to listening to, and presumably understanding, the musical work as a whole, was the ideal listening experience. For Cone, the "ideal" listening experience is neither wholly surface-oriented nor big-picture oriented, but rather a simultaneous combination of both. See Rowell, 132-133, citing Edward T. Cone *Musical Form and Musical Performance* (1968).

[126] Sloboda, 6.

[127] Sloboda, 3. His complete parsing of the process of music cognition would be: (1) perception, (2) interpretation, (3) understanding, (4) emotional reaction.

[128] See Chapter 2, pp. 15.

necessarily include verbalization) followed by an affective stage; the emotional reaction necessitates a prerequisite of understanding, but an understanding does not necessarily lead to an emotional reaction. According to Sloboda, a composer's work can only communicate to listeners if the habitus in which he or she creates (and, in turn, shapes) aligns with the habitus of listening found in his or her audience:

> He [the composer] anticipates the strategies that a listener in his culture will use to structure his or her experience, and seeks to thwart those strategies in interesting ways. Thus, any shared grammar does not *generate* the compositions. Rather, its existence is a major consideration in determining the nature and degree of freedom the composer can exercise to transform and extend musical style. Put simply, if a composition is totally generated by grammar it is likely to be dull; if it breaks rules in an unmotivated way it is likely to be unintelligible.[129]

Taking several cognitive- and knowledge-based leaps forward, Leo Treitler (1989) asserts that the apprehension of a musical work depends on, first, the underlying patterns of conventional genres and implicit constraints arising from the grammar of style, and second, the progressive interpretation of these determinants through the unfolding of the work in time.[130] Stating the same issue more simply, Gregory Bateson (1972) argues that if cognition is taking place, there must be information that is being cognized, and information is "the difference that

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[129] Sloboda, 51-52. Obviously this description of the compositional process and compositional success assumes a habitus in which originality or novelty is a cultural value. However, his concept of "shared grammar" suggests a shared frame of reference in which judgments are possible.

[130] Leo Treitler, *Music and the Historical Imagination* (Cambridge, MA: Harvard University Press, 1989), 190.

makes a difference."[131] If something is not noticed, then it is not information and it communicates nothing. For Kivy, musical appreciation is never mindless,[132] and musical knowledge is the source of enjoyment in the listening process:

> Knowledge of counterpoint and ability to read the score are enabling him [the listener] to perceive *that* certain things are going on in the music, and his enjoyment of the music is the enjoyment of perceiving just those things under those descriptions…It causes pleasure *in* the perceiving and being aware. The music is not a stimulus for him: it is an object of perception and cognition, which understanding opens up for his appreciation.[133]

Aesthetic Judgment

Judgment is subjective, but it occurs within a socially-defined framework (i.e., habitus) that determines what reactions are involved in a listening experience. Csikszentmihalyi describes the main aesthetic reactions as being (1) the perceptual response (concentrating on elements such as balance, form, harmony), (2) the emotional response (reactions to the emotional content of the work, personal reactions), (3) the intellectual response (theoretical, art historical questions), and (4) the communicative response (desire to relate to the artist, to his time, to his

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[131] Karen Nesbitt Shanor, ed., *The Emerging Mind* (Los Angeles: Renaissance Books, 1999) 18. The footnote to this quotation reads: "Quote from Dr. Robert Gottesman in Candace B. Pert, *Molecues of Emotion*, New York: Scribner, 1997" (Ibid., 233, note 11). The original quotation is actually found in Gregory Bateson, *Steps to an Ecology of Mind: Collected Essays in Anthropology, Psychiatry, Evolution and Epistemeology* (New York: Chandler, 1972).
[132] Kivy, 70.
[133] Kivy, 40-41. Awareness is central to his conception of enjoyment of even a simple melody. He argues that enjoyment consists of perceiving things happening to a tune, consciously perceiving that those things are happening, consciously perceiving how they are happening (drawing on one's musical knowledge), and enjoying that they are happening in these particular ways (Ibid., 85).

culture through the mediation of the artwork).[134] These different ways of listening and interacting with a piece of music are not mutually exclusive but rather are often overlapping or felt simultaneously,[135] and no approach is wholly reliant on purely rational or purely emotional explanations.[136] Speaking specifically about the ways in which people write about music, Leonard Meyer (1956) argues that the kind of reaction a listener has depends on his or her disposition and training; the seemingly dichotomous responses to music typically expressed by those who write about it—affective and intellectual—are simply different ways of experiencing the same process.[137]

These presence of various kinds of aesthetic reactions mean not only that an experience has communicated something to the listener (i.e., that music cognition has occurred) but also that the experience can be evaluated—the reaction (or, perhaps more accurately, interaction with art) is the foundation of judgment. A listener may compare his or her reaction to previous experiences, to the experiences of others, and to the array of reactions that a particular habitus allows. Aesthetic reaction becomes judgment when it is assigned some sort of value.

Musicking and Mental Discipline

The term "mental discipline," as it is used throughout this dissertation, encompasses a wide swath of mental processes. It includes, mostly simply, what is going in a musician's mind and his or her mental state, but it also comprises what kind(s) of mental control is (are) attained by a musician, how that control is exhibited, and how that control informs or shapes a musical

[134] Csikszentmihalyi, 28.
[135] Csikszentmihalyi, 28-29.
[136] Csikszentmihalyi, 10.
[137] Leonard Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956), 40.

experience. The specific features that define mental discipline are not absolute but rather are relative, as they are dependent on which musical tradition is in question; as with other components of musicking, the aspects of a musician's mental processes that are significant in one tradition may not be so in another.

For a listener to be able to judge a musical experience based on a musician's mental discipline, it must be possible to discern a musician's mental control in his or her musicking. Christopher Small offers the term "musicking" as an alternative to the more static, fixed object of "music," arguing that "Music is not a thing at all but an activity, something that people do."[138] His definition of musicking is a broad one applicable to all people involved in all aspects of music, from creators to listeners to music industry workers. The most important assertions for the scope of this dissertation are (1) that the process of making music equally involves the composer, performer, and listener, and (2) that the relationships between them give rise to musical meaning:

> The act of musicking establishes in the place where it is happening a set of relationships, and it is in those relationships that the meaning of the act lies. They are to be found not only between those organized sounds which are conventionally thought of as being the stuff of musical meaning but also between the people who are taking part, in whatever capacity, in the performance; and they model, or stand as metaphor for, ideal relationships as the participants in the performance imagine them to be: relationships

[138] Christopher Small, *Musicking: The Meanings of Performing and Listening* (Hanover: University Press of New England, 1998), 2. His definition of "to music" encompasses a wide array of activities: "To music is to take part, in any capacity, in a musical performance, whether by performing, by listening, by rehearsing or practicing, by providing material for performance (what is called composing), or by dancing" (Ibid., 9).

between person and person, between individual and society, between humanity and the natural world and even perhaps the supernatural world.[139]

The concept of musicking as an ongoing activity provides a means to address not only the array of activities and gestures a musician performs in the act of musicking, but also his or her mental discipline. The display of a musician's skills through performance, improvisation, or composition reveals his or her mental discipline and mental state because, according to Damasio, "consciousness and mind…are closely tied to external behaviors that can be observed by third persons."[140] In Damasio's theory of core consciousness, there exists a "me" below the level at which one is aware that the "me" exists; the higher level of consciousness notices that there is a "me" to whom things are happening. Damasio asserts that "the presence of you is the feeling of what happens when your being is modified by the acts of apprehending something…The presence must be there or there is no you."[141] Deepak Chopra similarly refers to a "thinker of thoughts" who is present in the spaces between thoughts or where there is the potentiality of thought, who is present even when conscious thoughts are not yet formed.[142] His claim is supported by the fact that positron emission tomography (PET) scans show that a person experiences intention a microsecond before he or she has a thought. The concept of a persistent

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[139] Christopher Small, *Musicking: The Meanings of Performing and Listening* (Hanover: University Press of New England, 1998), 13.
[140] Antonio Damasio, *The Feeling of What Happens: Body and Emotion in the Making of Consciousness* (New York: Harcourt Brace and Company, 1999), 12. Display of one's skills through musicking is also a means to assess a listener's mental discipline, mental state, or social status, a subject that Johann Joachim Quantz, among others, discusses at length. See Chapter 4, pp. 82ff, 89ff.
[141] Damasio, 10.
[142] Deepak Chopra, "Quantum Physics and Consciousness," in *The Emerging Mind*, ed. Shanor (Los Angeles: Renaissance Books, 1999), 126.

subconscious thinker or a non-localized, abstract, or dimensionless "spirit" has been called a "soul" by many religious traditions.[143]

One of the ways that this "thinker of thoughts" can be observed by others is the fact that the "thinker of thoughts" has intentions that lead to actions, and the repetition of these actions makes them more fluid, less conscious, and more habitual. According to Gerald Edelman's theory of neuronal group selection, also called "neural Darwinism" (1992), perceptions and actions stimulate the strengthening and weakening of synapses between neurons in the brain, creating circuits of neurons.[144] Groups of these circuits, or "maps,"[145] are located in specific areas of the brain and become linked to other maps (forming "loops") through past behavior:[146]

> The maps that "speak" back and forth are massively parallel and have statistical as well as precise features. Furthermore, the matter of the mind interacts with itself at all times…previous changes [i.e., memory] alter successive changes in specified and special ways. Nervous system behavior is to some extent self-generated in loops; brain activity leads to movement, which leads to further sensation and perception and still further movement. The layers and loops between them [of neurons]…are dynamic; they continually change.[147]

Repeated behavior (i.e., repeated linking of these circuits) means that "certain active combinations of neuronal groups" become "strongly connected" to certain other maps.[148] There also arise "classification couples," which are maps whose functions and activities are "connected

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[143] Chopra, 124.
[144] Edelman, 83 and 85. Edelman also describes this idea in *Neural Darwinism* (New York: Basic Books, 1987). Becker refers to such neuronal circuits as "bundles of neurons [that have been grouped] together into an operational unit." See Becker, 112-113.
[145] Edelman, 19.
[146] Ibid., 29.
[147] Ibid.
[148] Ibid., 87.

and correlated with those in another map" based on the fact that both are simultaneously (or very nearly so) activated by the same stimulus (e.g., perception, action, or both).[149] Putnam and Shanor note that the existence of such neural circuits is suggested by the fact that drug-induced states can be conditioned, meaning that after a drug creates its own pathways of neurons in the brain and central nervous system, the drug user can learn how to enter that state and can manifest a high without the actual drug through reinforcement of those pathways.[150] Walter Freeman (1997) also argues that in the process of learning an activity, a skill, or a reaction to a stimulus (e.g., learning to play an instrument, read music, or compose), neural pathways are formed which the brain learns to access efficiently and without conscious effort:

> A stimulus excites the sensory receptors, so that they send a message to the brain. That input triggers a reaction in the brain, by which the brain constructs a pattern of neural activity. The sensory activity that triggered the construction is then washed away, leaving only construct. That pattern does not 'represent' the stimulus. It constitutes the meaning of the stimulus for the person receiving it.[151]

The mind is not a static object into which information is poured or neural pathways are carved. Edelman argues that "The brain is an example of a self-organizing system,"[152] meaning that "mind is a process, not a stuff."[153] This is suggested by the fact that while the biological

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[149] Ibid. Edelman argues that classification coupling "occurs even though each map is receiving independent signals from the world: One set of inputs could be, for example, from vision, and the other from touch."
[150] Frank Putnam and Karen Nesbitt Shanor, "States of Consciousness from Infancy to Nirvana," in *The Emerging Mind*, ed. Shanor (Los Angeles: Renaissance Books, 1999), 31.
[151] Walter Freeman, "Happiness doesn't come in bottles," *Journal of Consciousness Studies* 4 (1997): 69.
[152] Edelman, 25.
[153] Edelman, 6. He is paraphrasing William James.

content of the brain is the same across the species, no two individuals' brains (even those of identical twins) have the same map of connected neurons.[154] Connections between massive bundles aren't permanently "hardwired,"[155] but rather, according to Becker, "The brain continually reconfigures its connections according to interactions with the outside world or other parts of the brain according to its own internal needs."[156] As Damasio asserts, the mind is constantly evolving but doing so in a way that is distinct from all others around it:

> The brain is a creative system. Rather than mirroring the environment around it, as an engineered information-processing device would, each brain constructs maps of that environment using its own parameters and internal design, and thus creates a world unique to the class of brains comparably designed.[157]

Thus, each individual brain is the product of the experiences it has had, and its thought processes uniquely arise out of those experiences through the reinforcement of neural networks between actions, thoughts, perceptions, and memories. Moreover, each individual brain is "observable" to onlookers. Actions performed today are evidence of actions past (i.e., the strengthening of neural networks), but also, according to Chopra, evidence of intentions past, which are governed by the core consciousness:

> Every time you perform an action, that action creates memory, and memory becomes the potentiality for desire. Every thought you have is either a memory or a desire. Action generates memory. Experience generates memory. Memory becomes the potentiality for desire. And desire generates action or experience once again.[158]

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[154] Edelman, 25.
[155] Edelman, 27.
[156] Becker, 113.
[157] Damasio, 154.
[158] Chopra, 127.

All of these ideas (neuronal groupings and maps; the uniqueness of each individual's brain and thought processes; and the observable results of a brain's past actions) contribute to Flora Levin's assertion (1972) that music making is the sharing or making public of one's innermost mind or innermost self (i.e., making public the intentions arising in the core consciousness and demonstrating the strength of one's neural pathways through repeated use). She was specifically discussing performers:

> Music must be conceived by human beings. Although the sounds of music derive immediately from the vibrating string or the column of air, the ordering of these sounds into a melody which moves the listener is a function of the human mind. Conceived by the mind, music speaks to other minds, which recognize in it not merely the sounds of the melody but representations of human feelings.[159]

Jean-Jacques Nattiez's (1990) tripartite explanation of music semiology similarly suggests that a person's musicking contains remnants of the processes that led up to it.[160] A musician's musicking (i.e., "poietic processes")[161] result in a piece of music or musical experience to which a viewer, audience, or listener reacts (i.e., the listener's musicking, or

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[159] Levin, 211. Aiello and Sloboda believe that the concept of "skill" raises two psychological questions: what is the skilled performer like (what is the nature of the skill), and how did the skilled performer get to be skilled (how is the skill acquired)? See Aiello and Sloboda, 152.
[160] Jean-Jacques Nattiez, *Music and Discourse: Toward a Semiology of Music*, trans. Carolyn Abbate (Princeton: Princeton University Press, 1990).
[161] Nattiez, 11-12. Nattiez's definition reads: "*The poietic dimension*: even when it is empty of all *intended* meaning…the symbolic form results from a *process of creation* that may be described or reconstituted."

"esthesic processes").[162] The musical work, as an experience observable to the senses, contains a "trace" of the creator's poeitic processes in its organization, presentation, and content—i.e., how the work was made, the creator's background, thought processes, experiences, and habitus—perception of which is determined by the viewer, audience, or listener's interaction with the work.[163] These "neutral traces" may be the score, performer's actions, interpretive choices, and general appearance, all of which would be influenced and circumscribed by the musician's enculturation.[164]

A musician's innermost mind is felt in the neutral traces because, according to Sloboda, all musicking requires a musician to represent aspects of the music to himself or herself, whether in abstraction, symbolically, or verbally, and the way the musician achieves this representation (i.e., the ordering of his or her innermost mind or innermost self) determines how well he or she can remember music, perform it, improvise it, and compose it (i.e., make that innermost self visible or audible to the outside world).[165] Building such representations or images is a musical skill, one with its own set of neural mappings, and it is acquired through what Sloboda calls

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[162] Nattiez, 12. Nattiez's definition reads: "*The esthesic dimension*: 'receivers,' when confronted by a symbolic form, assign one or many meanings to the form; the term "receiver" is, however, a bit misleading…[since] we do not 'receive' a 'message's' meaning…but rather *construct* meaning, in the course of an active perceptual process."

[163] Nattiez, 12. Nattiez's definition reads: "*The trace*: the symbolic form is embodied physically and materially in the form of a *trace* accessible to the five senses. We employ the word *trace* because the poietic process cannot immediately be read within its lineaments, since the esthesic process…is heavily dependent upon the lived experience of the "receiver."

[164] Gunnar Jinmei Linder draws heavily upon Nattiez in his discussion of the notion of tradition and meaning among shakuhachi players and suggests that a listener can discern a shakuhachi player's thought processes, enculturation, and personality based on his or her performance. See Chapters 5-8 and Gunnar Jinmei Linder, *Deconstructing Tradition in Japanese Music: A Study of Shakuhachi, Historical Authenticiy and Transmission of Tradition* (PhD diss., Stockholm University, 2012).

[165] Sloboda, 3.

"developmental enculturation" (i.e., one's exposure to the normal musical products of one's culture) and through the acquisition of special skills through training.[166]

Kivy categorizes a musical performance as being simultaneously a description of the work, meaning a sharing of the image in a performer's mind recalling Sloboda's idea of "representation," as well as an instance of it, meaning the performance is the work itself.[167] A performance according to Kivy is an interpretation motivated by a particular understanding of the work, "a description of the intentional object of musical perception by the performer qua listener."[168] The player's intentions—that is, his or her mental processes—do not have to ever be verbalized; if a firm interpretation is embedded in the singing, playing, or conducting, regardless of whether the performer can verbalize that interpretation, then the sensitive listener can "read it out." Sloboda agrees with Kivy:

> In listening to a master performance we experience his [the performer's] grasp of the *structure* of the music (i.e. we are enabled to form a representation of the music resembling that which dictates his performance) but we tend to lose the information about the precise means by which the form is conveyed.[169]

Listening as Imagining about a Musical Creator

If a musical experience is the neutral trace or evidence of intentions, past actions, and enculturation, then it offers insight into the mind(s) of the person(s) who created it.[170] Aesthetic

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[166] Sloboda, 7.
[167] Kivy, 121. Kivy's notion that a performance is "it" (i.e. the work itself) recalls Small's suggestion that there is no static object known as "music," only the process of making it.
[168] Kivy, 122.
[169] Sloboda, 87. Emphasis in the original.
[170] Derek H. Whitehead makes a similar assertion: "We feel that an artwork tells us something about the mind that created it." See "Poiesis and Art-Making: A Way of Letting Be"

contemplation and aesthetic judgment have long included the idea of truth-seeking, with viewers of art imagining a kind of dialogue with an artist or divination of an artist's thought processes.[171] Kendall Walton's aesthetic theory of multiple worlds accounts for this notion of truth-seeking, arguing that musical meaning resides in a special other dimension in which the listener is able to see into the musician's mind. In his theory, there is the real world (where the listener exists and musical sounds are made), the work world (the self-enclosed sphere in which musical sounds are heard), and the fictional world (where the listener's imagination interacts with and interprets the content of the work world and also finds meaning).[172]

Walton's theory arises out of the fact that music involves imagining about its musical content, much in the way we might imagine about the characters from a novel or plastic art, their lives, or their actions and dialogue in other hypothetical scenarios.[173] Imagining is a spontaneous, non-deliberative experience rather than something one consciously does; one may be able to imagine something without being aware that one has done so.[174] It is not merely the assigning of arbitrary programs to absolute music but rather the approach that provides "heard" context not actually sounded in the music. For example, if a piece begins with a dissonant harmony, we reinterpret it as being in motion because we supply the preceding consonant sounds

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Contemporary Aesthetics 1 (2003), http://www.contempaesthetics.org/newvolume/pages/article.php?articleID=216

[171] Rowell argues that because a musical product embodies important cultural values, it constitutes a philosophical statement and can be read as such; it is a means to finding philosophical cultural truth. See Rowell, 7. Csikszentmihalyi alludes to the imagined dialogue with the artist as a kind of "communicative response" to an aesthetic experience. See Csikszentmihalyi, 28. See also Chapter 3, pp. 38f.

[172] Jenefer Robinson, ed., *Music and Meaning* (Ithaca: Cornell University Press, 1997),7. Walton's theory suggests an expansion upon Small's definition of "to music" to include imagining about music, about musical creators, and about their musicking.

[173] Kendall Walton, "Listening with Imagination: Is Music Representational?" in *Music and Meaning,* ed. Jenefer Robinson (Ithaca: Cornell University Press, 1997), 59-60.

[174] Walton, 60. This recalls Damasio's notion of feelings, which are felt even if one is not conscious of having done so.

that we did not actually hear; Heinrich Schenker's graphs include implied pedal tones; we interpret events as being causally related;[175] we sense nomological connections, as with Leonard Meyer's theory of expectation with regard to harmonic resolution;[176] or a *cantabile* melody played on an instrument can be imagined as if it were sung and would be best played in such a way as to encourage the listener to have that imagining.[177] The music supplies auditory experiences that generate fictional truth, and this truth is valid in the fictional world we interpretively create.[178] The creation of this fictional version of the work is the reason that music seems to be able to capture infinitude—the work gives us something with which we can engage that is then set in motion by our version of the work in that fictional world, a world we could never enter otherwise.

The fictional world is where the performer imagines his or her interpretation, tonal colors, and phrasing. The richness of the fictional world that the performer conceives creates a set of sounds in the real world that are then experienced in the work world and interpreted in each listener's own fictional world. The player's choices rely on his or her habitus, abilities, and image of the music at hand (i.e., his or her understanding of or mental organization of the work). In the instance of a non-vocalist executing a *cantabile* melody, the performer enters a make-believe world (i.e., that he or she is "singing") and comes back to the real world with that sound, which allows the listener to believably enter another world of make-believe in which the

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[175] Janet Levy notes an example of this when she says, "The sting or fault of an outwardly awkward or bizarre harmonic progression is removed, or at least, mitigated, by finding a way to understand the problem as a result of (polyphonic) part-writing." See Janet Levy, "Covert and Casual Value in Recent Writings About Music," *Journal of Musicology* 5 (1987): 21.
[176] Leonard Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956).
[177] Walton, 60-62.
[178] Robinson, 7.

instrument can be considered to be "singing." No one believes that the instrument is actually singing, but it is a fictional truth in the interpretive fictional world.

Walton argues that when a listener creates a fictional world based on a performance (by interpreting and judging the musical experience), the musical sounds created also allow him or her to craft a fiction about the person making them:

> This is one of the many cases in which one has a sense of performers' actions by which they produced the sounds or of composers' thoughts as they wrote the score. We may not care what the performer or composer actually did or thought or what feelings she might actually have been expressing thereby. The impression the music gives of having been produced in a certain manner or as being the expression of certain feelings or emotions may be what we are interested in.[179]

The listener can believe that he or she truly knows the mind of the musical creator and that he or she is able to divine the creator's mental state and mental processes. As Becker notes, trancers, deep listeners, or people in heightened mental states are "special, but not so special that most of us cannot imagine what the experience might be like," so in watching a performer or in thinking about a piece of music, we might empathetically imagine what kind of mental state produced that musical experience.[180] Walton concludes that one can imagine what mental state a musician might have been in through the observation of performances and the contemplation of composed works:

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[179] Walton, 62.

[180] Becker, 131. Different listeners will be more or less prone to this sort of imagining. One's habitus of listening determines what sort of imagining is acceptable or possible. Becker has noted that a trancer or a deep listener, for example, typically feels herself to be directly connected to the music and music makers in a ritual, not at all "mentally distanced from the inducer of her arousal" (Ibid., 60).

> It is not a large step to regarding music that gives an impression of the composers' or performers' actions or feelings or thoughts to be *representing* itself as the product of a composers' or performers' acting or feeling or thinking in certain ways, to be mandating that listeners imagine this to be so.[181]

The kind of imagining that a practitioner-listener does is done based on the experiential knowledge that he or she brings to the listening experience. By engaging in the world of make-believe described by Walton, one comes to "know" the musical creator's mental state, intentions, past actions, and thoughts: his or her core consciousness. Core consciousness or the "soul" is obscure because it is, by definition, below the level of consciousness. As the "me" that thinks thoughts on higher consciousness levels, it is the source of the intention of thoughts. The impulse for an idea comes from it, which is then honed and shaped in the cortical parts of the brain, but the original impulse originates in obscurity. To glimpse the core consciousness would be to unravel a mystery (in Walton's fictive world), so the act of understanding the organization of a musical product becomes an act of hunting for the depths of the creator's mind.

Musicking and Habitus

Small's assertion that musicking is a set of ongoing relationships between composer, performer, and listener suggests that habitus is process, as well. It is not fixed or merely a general cultural background against which the composer-performer-listner interactions occur, but rather all participants in musicking are constantly molding, shaping, and emending a given habitus in their search for common musical language.

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[181] Walton, 63.

Allusions to Mental Discipline

The concept of mental discipline seems to be a persistent issue articulated by practitioners of several musical traditions when describing performers and composers. However, rarely do writers about music specifically refer to the terms "mental discipline," "mental control," or even "mental processes."[182] How mental discipline is defined, what features it entails, how its presence is known, and what value it affords practitioners varies from musical tradition to musical tradition because discipline, as with all other aspects of the musical experience, all develop within the shared habitus of a musical community. The following brief survey of historical sources suggests the breadth of ways in which I believe the concept of mental discipline can appear in writings that make judgments about both performers and composers of music. While the vocabulary used by each writer will necessarily differ, I interpret these writers' concerns as overlapping with the notion of mental discipline described above by neuroscience researchers, and it seems that this is an area worth being pursued by other music researchers in the future.

Judging Performers' Actions[183]

In a player's actions, another practitioner will be able to discern his or her skills and infer the past reinforcement of these skills, the mental processes, and the mental control of the musician with regard to biofeedback, strengthening of neural pathways, and repetition of

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[182] Writers on performance anxiety are a notable exception, among others. See Chapter 2, pp. 21ff.

[183] This subsection and the following subsection (Judging Composers' Actions, pp. 64ff) could easily be accompanied by a third, namely, Judging Listeners' Actions. Using a person's aesthetic judgment and aural discernment as a means of evaluation of that person is a frequent topic in European aesthetic treatises, especially of the 18th century, and will be discussed in Chapter 4. See pp. 82ff, 89ff.

actions.[184] The actions of a performer's body are an avenue to his or her mental state because they are the purview of mental control, both in a Cartesian interpretation of the mind leading the body and in a more modern biochemical interpretation of the two being inseparable. This inseparability is evidenced by the fact that drugs or biochemicals that are aimed at the brain (to enhance, block, or modify the natural chemicals of the brain) also affect the immune system.[185] Candace Pert (1997) also notes that thoughts and feelings mobilize certain chemicals in the body, acting as biochemical messengers that "intelligently" communicate information throughout the body to orchestrate conscious and unconscious activities.[186] These biochemical messengers constitute a "mobile brain" that instantaneously guides and directs the immune system, one's sense of well-being, and interactions with the world. Neurotransmitters and peptides are also found throughout the body, suggesting that thinking and the brain are not "confined to the grey matter in the head."

The body-mind relationship, and the idea that bodily movement could be an avenue for understanding a performer's mental state or mental processes is alluded to by several writers from different cultures. The description of an ideal flute player in the *Nāṭyaśastra* delineates not only the kind of physical attributes the player should have but also how he should wield them:

> One who plays the flute should be physically strong. He should have concentration of the mind, knowledge of tāla [time measure], and laya [tempo], skill in combining with other

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[184] These musical skills, according to Sloboda, require two separate activities: the player needs (1) to listen to, analyze, discuss much music; and (2) hundreds of hours of practice at the instrument See Sloboda, 89. Aiello also notes that skill depends on the ability of a musician to detect pattern and structure in the material, his or her ability to conceive of the activity in terms of those patterns, and the amount of relevant practice undertaken. See Aiello, 152. The "10,000-hour rule" comes to mind.

[185] Shanor, 16.

[186] Ibid., referring to Candace Pert, *Molecules of Emotion: Why You Feel the Way You Feel* (New York: Scribner, 1997).

instruments, and a strong breath, with a capacity to produce svara-s [notes] that are clear, unobstructed and continuous.

The flute player should have the knowledge to express the varṇa-s [accents] and alaṅkāra-s [figures of speech or embellishment for a note] and the ability to conceal faults in performance.[187]

The *Nāṭyaśastra* also lists the kinds of faults (*doṣa*-s) and errors of mental control that can result in a poor or "unsuccessful performance." A performance may be unfortunately interrupted by "a natural calamity," such as "storm, fire, rains, snakes, insects, ants, beasts of prey…earth-quakes or drunks in the audience," or by jealous or hateful opponents who ruin the experience by "shouting, sounding cymbals, wild clapping, throwing of cow-dung and clods of grass and earth and stones."[188] These are things over which the performer has no control. There are also aspects of the experience under his or her purview, and in pursuit of giving "a perfect production…an attempt should be made to understand correctly all the rules"[189] in order to avoid *doṣa*-s (faults) such as a "lack of clarity, irrelevance, meaningless, [and] metrical faults":[190]

Lastly, there are self-made (one's own) faults like unnatural acting, wrong gestures, bad casting, loss of memory, speaking other actor's lines or a ludicrous cry to express distress, incongruence, falling down of head-gear, and laughing or crying too much, etc.

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[187] Adya Rangacharya, *The Nāṭyaśastra: English Translation with Critical Notes* (New Delhi: Munshiram Manoharlal Publishers, 1999) 296. The four *varṇa*-s are: acute (*Udātta*), grave (*Anudātta*), cirumflex (*Svarita*), and quivering (*Kampita*). The six *alaṅkāra*-s are: high (*Ucca*…), excited (*Dīpta*), grave (*Mandra*), low (*Nīca*), fast (*Druta*), and slow (*Vilambita*). (Ibid., 143).
[188] Rangacharya, 214.
[189] Rangacharya, 215
[190] Rangacharya, 137.

> Discordant music where sama, māgra and mārjanā are not observed, and ignorance of the beginning and the ending (of music)—all these spoil the production.[191]

Beyond this "human" success lies the highest kind of success, called "divine success" or Daivī Siddhi. This kind of success is "so rare that it is almost unconsciously achieved by the artists" (i.e., with the utmost mental discipline and unconscious tapping into a higher mental state):

> A production in which emotions and feelings are expressed in a way in which they sound genuine (*satya-yukta*) and also in excellent style, that is called 'Daivī Siddhi', divine success, from the point of view of the audience. When there is no noise, no disturbance, no calamity (*utpāta*) and the auditorium is full, it is called "divine success."[192]

Japanese Buddhist philosopher Yoshida Kenkō (1332) similarly argues that a musician's lack of focus may allow errors to creep in, asserting that "Mistakes are always made when people get to the easy places."[193]

The Kaluli people of New Guinea, as documented by Edward Schieffelin (1996), also use their aesthetic judgment to discern authentic and false practitioners, although without the assumption that the composer's or player's personal emotions are being communicated:

> As a basic minimum, the songs have to be well-composed, poetically well-constructed (with proper framing of place-names within a range of poetic devices), well sung, and capable of occasionally moving audience members to tears. Furthermore, the voices of

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[191] Rangacharya, 214-215.
[192] Rangacharya, 214.
[193] Yoshida Kenkō, *Essays in Idleness: The Tsurezuregusa of Kenkō*, trans. Donald Keene (New York: Columbia University Press, 1967), 92.

> the various spirits had to be recognizably different from the medium's natural voice and from each other.[194]

The intertwined mind-body relationship also informs Western writers' assessment of performers' actions, notably in Aristoxenus' concept of *synesis*, meaning one's "musical intuition," "competence," or the inherent mental capacity comprising one's implicit musical knowledge.[195] Speaking of instrumental players, Aristoxenus argues that "The essence and order of harmony depend not upon any of the properties of instruments" themselves, such as the bore or finger hole placement, but instead on the player's knowledge of and attention to harmony.[196] He complained of the lack of this musical knowledge, or the lack of mental discipline when "players on the clarinet [*aulos*; αύλούς] fail for the most part to attain the exact order of melody," because they only achieve good intonation on the off chance that the instrument itself simply produces the correct pitches, rather than being musically sensitive and making physical adjustments:

> [W]hatever small success attends them [*aulos* players] is due to the employment of agencies external to the instrument, as in the well-known expedients of drawing the two clarinets [*auloi*; αύληταί] apart, and bringing them alongside, and of raising and lowering the pitch by changing the pressure of the breath.[197]

This musical sensitivity comes from the player's knowledge of harmony, his ability to hear how the pitches should be played, and his desire and ability to achieve it. Aristoxenus explicitly

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[194] Edward Schieffelin, "On Failure and Performance: Throwing the Medium out of the Scéance," in *The Performance of Healing*, eds. Carol Laderman and Marina Roseman (New York: Routledge, 1995), 67.
[195] Levin, 211.
[196] Aristoxenus, 196, Book 2, section 42.
[197] Ibid.

refers to a musician's intellectual activity as something that took place in the depths of the "soul," arguing that it could be known to an astute observer and that it is be the source of quality in music:

> The ultimate factor in every visible activity is the intellectual process [*synesis*]. For this latter is the presiding and determining principle; and as for the hands, voice, mouth, or breath—it is an error to suppose that they are very much more than inanimate instruments. And if this intellectual activity [*synesis*] is something hidden deep down in the soul, and is not palpable or apparent to the ordinary man, as the operations of the hand and the like are apparent, we must not on that account alter our views. We shall be sure to miss the truth unless we place the supreme and ultimate, not in the thing determined, but in the activity that determines.[198]

Aristoxenus' admiration for the source of order (i.e., the person who creates "the activity that determines") comes from Aristotle's analogy of an army and its commander: the army's "good lies both in its order and in its commander, more especially in the latter; for he is not the result of the order, but it results from him."[199] Similarly, in the act of musical creation, the creator is not the result of an ordered piece (however "ordered" is defined in the given musical culture), but rather the organization of a piece results from his mental discipline.

Marsilio Ficino (1433-99) similarly argues that the musical sound brought forth by a performer was a direct conduit to knowing the inner workings of the player, meaning his emotions, thoughts, and soul. Listeners would be aware of these inner workings by the motion it caused in their own souls (i.e., a sympathetic core consciousness arousal), and the listener's

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[198] Aristoxenus, 195, Book 2, section 41.
[199] Brian K. Etter, *From Classicism to Modernism: Western Musical Culture and the Metaphysics of Order* (Burlington, VT: Ashgate, 2001), 56, quoting Aristotle, *Metaphysics* 1075a. Aristotle was one of Aristoxenus' teachers.

emotional reaction would only be caused by the qualities of the execution that Ficino enumerates:

> [Musical sound] conveys as if animated, the emotions and thoughts of the singer's or player's soul to the listener's souls;…by the movement of the air [it] moves the body: by purified air it excites the soul: by motion it affects the senses and at the same time the soul: by meaning it works on the mind: finally, by the very movement of the subtle air it penetrates strongly: by its contemporation [i.e., its ability to synchronize all of these described movements] it flows smoothly: by the conformity of its quality it floods us with a wonderful pleasure: by its nature, both spiritual and material, it at once seizes, and claims as its own, man in its entirety.[200]

The potency of a musician's performance comes from the union of his imagination, heart, spirit, and divine assistance, all of which together amplify the effect of the music. In *De vita libre tres* (Three Books of Life, 1489), he argues that "when it [a spirit] pours out from both the imagination and heart at the same time, [it is] more abundant, more fervent, and more apt to motion [than other effects]."[201] A "powerful vital and animal spirit…when it is most efficacious, not only acts powerfully on its own body when its spirit undergoes a very intense conception and agitation through song but soon also moves a neighboring body by emanation."[202]

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[200] Rowell, 71, quoting Marsilio Ficino, *Commentary on Plato's* Timaeus. Rowell notes that here the performer's ability was akin to sexual power, penetration, and the palpable dominance of performer over the listener, and it was through this dominance of the emotions that the listener became aware of the mental processes of the player.
[201] Marsilio Ficino, "Three Books of Life," in *Strunk's Source Readings in Music History*, ed. Leo Treitler (New York: W.W. Norton & Company, 1998), 388.
[202] Ibid.

Vincenzo Calmeta's praise (1504) of Serafino Aquilano (1466-1500) is based on the quality of Aquilano's character, which made itself known in both his musical execution and his behavior around other musicians:

> In reciting his poems, he was so passionate and matched the music with the words so judiciously that he moved equally the souls of his listeners, whether wise or mediocre or plebian or female. And though he competed with many poets, nevertheless he was not of a contentious or evil nature…With this alone I conclude: I believe there never was another poet more successful than he in expressing his thoughts.[203]

In this description, it is Aquilano's mental discipline that allows his musical ideas to come through (i.e., that "matched the music with the words so judiciously") and it is also his mental discipline that prevents his extra-musical behavior from distracting his listener from the effect of his musical ideas.

For George Muffat, a performer's musicking is an indication of the kind of study he or she has undergone—his or her actions are an indication of enculturation. In the preface to the *Second Florilegium* (1698), Muffat argues that intonation, ear training, and general taste and style are only achieved through studying with a "good master," and the presence of these attributes implies the undertaking of such study: "With regard to correct intonation, there is no difference among the best masters, no matter what their nations be, whose precepts only weak pupils or unprofessional ignoramuses fail to observe."[204]

Jean-Jacques Rousseau argues that the way in which performers think about music determines its effectiveness—their mental processes determine how meaningful a musical

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[203] Vincenzo Calmeta, "Life of the Fertile Vernacular Poet Serafino Aquilano," in *Strunk's Source Readings*, 325.
[204] George Muffat, "Preface to the *Second Florilegium*," in *Strunk's Source Readings*, 648.

experience will be. In *Essai sur l'origine des langues où il est parlé de la mélodie et de l'imitation musicale* (Essay on the Origin of Langues, Which Treats of Melody and Musical Imitation, c. 1760), he argues that if musicians conceive of music as being just sound rather than as something that affects a listener intellectually and morally, then the music they produce will be ineffective:

> [H]ow far from understanding the power of their art are those many musicians who think of the potency of sounds only in terms of air pressure and string vibrations. The more they assimilate it to purely physical impressions, the farther they get from its source and the more they deprive it of its primitive energy. In dropping its oral tone and sticking exclusively to the establishment of harmonics, music becomes noisier to the ear and less pleasing to the heart. As soon as it stops singing, it stops speaking. And then, with all its accord and all its harmony it will have no more effect upon us.[205]

Johann Philipp Kirnberger argues that specific aspects of a performer's execution indicate his skill and understanding of music more generally in *Die Kunst des reinen Satzes in der Musik* (The Art of Strict Musical Composition, 1776). A violinist should differentiate between different meters by using different parts of the bow,[206] and similarly the weight given to each note within a grouping is different for triplets in a simple meter than it is from eighth notes in a compound meter. He laments listeners' lack of appreciation for this final point, noting that while "he who has only a moderate command of performance knows" the difference between the

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[205] Jean-Jacques Rousseau, "Essay on the Origin of Languages," Chapter 19, in *Strunk's Source Readings*, 953.

[206] Johann Philipp Kirnberger, "The Art of Strict Musical Composition," Volume 2, Part 1, Chapter 4, in *Strunk's Source Readings*, 770. A passage in 6/16 "and other similarly light meters are to be played just with the point of the bow," whereas 6/8 and other "weightier meters require a longer stroke and more bow pressure" (Ibid.).

proper execution of different meters,[207] but unfortunately "such subtleties of performance have been lost to such a degree that even many who are called virtuosos perform" compound meters incorrectly.[208]

In the case of modern Western concert music, Sloboda notes that there exists a musical score that allows one to characterize a piece of music independently of a particular performance and to compare the performance to the score.[209] A performer's actions, such as interpretive choices or behavior on stage, can call his or her mental discipline into question, as Levinson notes that "Even virtuoso players—for instance, Vladimir Horowitz—may sometimes reproduce (i.e. perform) music in such a way as to make us doubt whether their prior hearings of the music amounted to even basic understanding."[210]

Suggesting a kind of listening that "hears" a performer's mental discipline, Sloboda offers a dichotomous list of the characteristics of what he calls "expert performance," presented by a controlled, skilled, and thoughtful musician, and "inexpert performance," presented by anyone lacking in the standards of the "expert." As with Edelman's theory of neural Darwinism,[211] the distinction between levels of performance arises in the skills the player has reinforced. It is possible to have worked at one skill (e.g., many hours of technical practice), without having spent much time on another (e.g., the analysis of music), which yields technically-skilled musicians who play without sensitivity or a musical plan. The reverse is also

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[207] Ibid., 774. The passage in question reads: "It is a mistake to consider this meter [9/8] as a 3/4 meter whose beats consist of triplets. He who has only a moderate command of performance knows that triplets in 3/4 meter are played differently from eighths in 9/8 meter. The former are played very lightly and without the slightest pressure on the last note, but the latter heavier and with some weight on the last note. The former never or only rarely permit a harmony to be sounded with the last note, but the latter do very often."
[208] Ibid., 775.
[209] Sloboda, 67.
[210] Levinson, 27.
[211] See Chapter 3, pp. 42ff.

possible, namely musicians who are sensitive but without technical skill, having taken the opposite approach in their musical practice and training.[212] On the contrary, the "master musician" combines excellence in both sets of skills,[213] meaning that he or she displays a rapidity of playing, evenness of touch and timing, and large-scale accurate memory, and that he or she goes beyond the information contained in the printed score with regard to timing, loudness, tone quality, and intonation.[214] Rowell makes a similar distinction between "excellent" (i.e., expert) and "less than excellent" (i.e., inexpert) features of a performance, not as a prescriptive guide for performers (as in the case of Sloboda), but as a summary of the guidelines that he observes to currently exist and upon which musical judgment of a performance can be based.[215]

Sloboda's characteristics of expert performance are defined as: (1) the fresh reconstruction of performance parameters on every occasion, relying on general musicianship rather than specifics for the piece at hand;[216] (2) monitoring or timing takes place at a level above the individual note;[217] (3) it is difficult to induce skilled performers to make errors (e.g., wrong notes, gross timing, incorrect rhythm);[218] (4) the player has knowledge of large-scale, often hierarchical, groupings or patterns within the music that control the performance[219] by determining the player's chosen progression of speed and dynamics;[220] (5) hierarchical control is supported by highly flexible features for solving local problems, and these procedures operate

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[212] Sloboda, 89-90.
[213] Sloboda, 90.
[214] Sloboda also addresses these same issues in "Expression and the Development of Excellence," in *Musical Perceptions*, eds. Rita Aiello and John Sloboda (New York: Oxford University Press, 1994), 152-172.
[215] Rowell, 188-189.
[216] Sloboda, 97.
[217] Sloboda, 99.
[218] Sloboda, 81.
[219] Sloboda, 101.
[220] Sloboda, 98.

rapidly without the need for conscious monitoring;[221] (6) skilled performers have the ability to self-monitor the performance and take corrective action because they know what to listen for and when to monitor, even though this monitoring may not always be conscious;[222] and (7) the expert "achieves his expertise through the simultaneous deployment of all these skills [vibrato, independence of the hands, dynamics, ensemble synchronization] in a sustained fashion and in a manner subservient to the overall structure of the composition."[223]

The qualities that define inexpert performance, on the other hand, are: (1) an inability to maintain a performance with reference to a pulse (lack of steady tempo);[224] (2) offering "error-free" performances that are not necessarily musically effective because they lack dynamics, touch, articulation, or phrasing other than what is explicitly provided in the score;[225] (3) in realizing that their performances "lack" something, inexperienced performers haphazardly apply timing and intensity changes without a sense of "principle";[226] (4) the performance is controlled by superficial aspects of the musical foreground;[227] and (5) inexpert players cannot exercise higher-level control because their mental resources are fully committed to managing the solution of local problems (i.e., they have not reinforced neural maps associated with a particular skill often enough to be able to perform them easily and with little attention).[228] It is not that the expert has any more attentional resources than anyone else, but rather he or she has internalized or made automatic his or her performance skills so that they require little to no attention for their

[221] Sloboda, 101.
[222] Sloboda, 101.
[223] Sloboda, 93.
[224] Sloboda, 99.
[225] Sloboda, 82.
[226] Sloboda, 82.
[227] Sloboda, 101.
[228] Sloboda, 101.

execution.[229] In order to avoid being considered "inexpert," players learn to command their performance anxiety, because letting it show would lead to a less favorable judgment of their skills.[230] A listener discerns a player's level of skill and in turn infers the degree of habitude for the gestures, and vice versa, taking fluidity of gestures to imply skill level.

Judging Composers' Actions

As with my reading of statements about performers' actions above, I interpret a broad range of statements in Western music to allude to mental discipline and mental processes without using those terms specifically. I regard music practitioners' descriptions of a composer's effect on listeners, musical output, and temperament as allusions to a composer's mental control. Such judgments seem to imply an assumption of a composer's skills and past reinforcement of these skills, strengthening of neural pathways, and repetition of actions.[231]

One of the oldest ways in which writers suggest that a composer's mental control can be discerned is based on the effect the composer's work has on his or her audience, meaning his or her ability to create and control a musical experience that affects the audience in a particular way. In *On the Sublime* (c. 1st-3rd centuries, CE), Longinus argues that *ekstasis* (absorption, transport) of the audience is the standard of excellence in literature. *Ekstasis* is partly achieved by the style of the work, which is the shadow of the author's personality and is communicated by the intensity of feeling, of grandeur, and of expression of the work.[232] The feeling of *ekstasis*

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[229] Sloboda, 94.
[230] See Chapter 2, pp. 21ff.
[231] The notion of judging a composer's mental discipline will be explored further in Chapter 4, with an emphasis on the 18th-century writings Johann Georg Sulzer, Christian Gottfried Körner, Gottfried Wilhelm Leibniz, and Johann Mattheson.
[232] Rowell, 85, quoting Cassius Longinus of Palmyra, attrib., *On the Sublime*. Longinus' notion of *ekstasis* comprises two salient features of Csikszentmihalyi's definition of flow: attentional --

recalls Csikszentmihalyi's attributes of flow (loss of ego, merging of action and awareness, feeling of transcendence), suggesting that for Longinus the artist's skill lies in his control over expressing his personality in such a way that flow on the part of audience is possible. Vincenzo Galilei repeats a similar argument in *Dialogo della musica antica, e della moderna* (Dialogue on ancient and modern music, 1581), explicitly basing his judgment of a musician's mental processes on the music's effect on its listeners: "if the musician has not the power to direct the minds of his listeners to their benefit, his science and knowledge are to be reputed as null and vain, since the act of music was instituted and numbered among the liberal arts for no other purpose."[233] Gioseffo Zarlino alludes to a similar sense of "science and knowledge" when he bases his judgment of composers on the effect that their technique (i.e., the composer's mental discipline in the wielding of musical materials) has on the listener. In *Istitutione harmoniche* (Harmonic Institutions, 1558), he argues that if the music is too rhythmically complex for his (i.e., Zarlino's) ear to discern all of what is going on, then the music is poor.[234]

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focus (absorption) and transcendence of individuality (transport)—it is the audience's experience of flow during an aesthetic encounter that suggests the artist's level of mental control.

[233] Vincenzo Galilei, "Dialogue on Ancient and Modern Music," in *Strunk's Source Readings*, 467.

[234] Gioseffo Zarlino, "Istitutione harmoniche," Chapter 71, in *Strunk's Source Readings*, 454. His lengthy argument reads: "If, then, the particular sensible objects may not be perceived or judged by any other sense than that peculiar to them, as sound is by hearing…let those who strive so hard and take such pains to introduce these intricacies into their compositions tell me…what and how much pleasure and benefit these may afford to the sense and whether these compositions of theirs are more beautiful and more sonorous than those that do not have such things…If they have judgment, I know that they will reply that these things afford no benefit at all…If, then, they are of no benefit at all in the formation of good harmonies, and if they afford no benefit at all to the sense, why to no purpose multiply the singer's duties and augment his vexations with things of this kind? For when he ought to be intent on singing cheerfully such compositions as are to the purpose, he must stand ready to consider chimeras of this sort, falling (according to the various accidents) under mode, time, and prolation, and he must allow nothing written to pass until he has examined it closely, seeing that if he does otherwise he will be thought…an awkward fellow and an ignoramus…[I]t seems to me sheer madness that anyone of lofty intelligence should have to end his studies and to waste his time and to vex himself about

Other writers judge a composer based on his skills in relation to those observable in other composers' works or in a compositional ideal. These kinds of musical judgments suggest that these writers listen for a composer's command over compositional skills, enculturation, and inventiveness—i.e., the skills a composer employs are more practiced and fluid, recalling Freeman's efficient and effortless entry into neural pathways associated with that skill; and his fluency with those skills allows him to employ them in ways that successfully find a mode of expression that resonates with and redefines the habitus shared with his listeners. Johannes Tinctoris, for example, isolates aspects of compositional technique that for him prove the skill of a composer. In *Liber de arte contrapuncti* (The Art of Counterpoint, 1477) he argues that the kind of counterpoint a composer uses is an indication of his skill:

> There are still other counterpoints—though these are ever so rare—that are sung not only over a tenor but also over any other part of a composed piece. This sort of counterpoint requires much skill and practice. If it is done sweetly and expertly it deserves all the more praise for being so difficult.[235]

In *Dialogo della musica* (Dialogue on Music, 1544), Antonfrancesco Doni praises Adrian Willaert (c.1490-1562) because his music surpasses that of other contemporary composers in terms of artful text setting: "The music, of his invention, in a style never before employed, was so concerted, so sweet, so just, and so miraculously appropriate to the words that I confessed never in my life to have known true harmony until that evening."[236] In *Discorso sopra la musica de' suoi tempi* (Discourse on the Music of His Times, 1628), Vincenzo Giustiniani praises Carlo

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such irrelevant matters. Thus I counsel everyone to disregard these ciphers and to give his attention rather to those things that are productive of good harmonies and sweet ones."

[235] Johannes Tinctoris, "Liber de arte contrapuncti," Book 2, Chapter 22, in *Strunk's Source Readings*, 402.

[236] Antonfrancesco Doni, "Dedication to *Dialogo della musica*," in *Strunk's Source Readings*, 334.

Gesualdo (1560-1613) for his deft handling of counterpoint in relation to that of other composers: "And because such exquisite discipline [i.e., counterpoint] usually renders a work harsh and rough, Gesualdo tried with all his power and industry to choose melodies that were fluid, sweet, and smoothly shaped, even if they were more difficult to compose."[237] Kirnberger (*Die Kunst des reinen Satzes in der Musik*, The Art of Strict Musical Composition, 1776) argues that a composer's ability to write "a real melody—one that has a definite character and depicts a passion or a particular sentiment" comes from his control of the music's tempo, meter, and rhythm.[238] The composer's skill in the "the true expression of the melody is determined by their synthesis and their interaction."[239] This skill is an indication of a composer's past experiences and enculturation, namely, his "diligent" study of the passions and sentiments,[240] and the fact that "he must have acquired a correct feeling for the natural tempo of every meter [*tempo giusto*]" by studying dances.[241] In his *Versuch einer Anleitung zur Composition* (Introductory Essay on Composition, 1782-93), Heinrich Christoph Koch lauds C.P.E. Bach, Franz Benda, and Johann Joachim Quantz for their respective sonatas, "of which many correspond to the ideal one inevitably forms of a good sonata."[242] On the other hand, he further suggests that other composers fail to follow this path by choice; rather than focusing one's energies on the "more refined and cultivated expression" that is exhibited by "good" works, subsequent composers

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[237] Vincenzo Giustiniani, "Discourse on the Music of His Times," in *Strunk's Source Readings*, 354.
[238] Kirnberger, 762. Kirnberger emphasizes the interrelated effect of tempo, meter, and rhythm, concluding "Thus, whoever wants to write a melody must pay attention to the combined effects of tempo, meter, and rhythm and must consider none of these without regard to the other two" (Ibid., 763).
[239] Ibid., 763.
[240] Ibid., 764.
[241] Ibid., 765.
[242] Heinrich Christoph Koch, "Introductory Essay on Composition," Volume 3, Part 2, Section 4, in *Strunk's Source Readings*, 813.

allow themselves to fall into easier, less moving music consisting of "empty noises with many difficulties, which left the heart more unstirred the more the fingers moved."[243] Jérôme-Joseph de Momigny (*Cours complet d'harmonie et de composition*, A Complete Course of Harmony and Composition, 1806) argues that the way in which a composer notates music indicates his mental processes, skill, and ultimately his worth as a musician.[244] Hector Berlioz (1838) uses the musical content of Ludwig van Beethoven's symphonies to demonstrate the genius that Beethoven possesses. Berlioz argues, for example, that Symphony No. 7 is proof of "mastery of technique, of taste, of fantasy, of knowledge and of inspiration."[245]

Another group of writers interpret a composer's worth in terms of his ability to demonstrate self-control and a measured, even temperament, recalling Becker's discussion of

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[243] Ibid.

[244] Jérôme-Joseph de Momigny, "A Complete Course of Harmony and Composition," Chapter 31, in *Strunk's Source Readings*, 830. The notation issue in question is enharmonic spellings of notes: "To abuse it [enharmonic note naming] is to proclaim the pretentions of a novice rather than to demonstrate the skill of a great master."

[245] Hector Berlioz, "Symphonies de Beethoven: 3e Article," *Revue et Gazette Musicale de Paris* (Feb. 11, 1838), 66. The original reads: "*…un pareil chef-d'oeuvre d'habileté technique, de goût, de fantaisie, de savoir et d'inspiration*."

Berlioz's characterization of the first movement of Symphony No. 7 is representative of his opinion of the rest of the work and the composer generally: "The use of an obstinate rhythmic formula has never before been attempted with as much joy, and this allegro, whose immense developments constantly roll along on the same idea, is treated with such an unbelievable sagacity; the variations of tonality are so frequent, so ingenious; the chords form groups and progressions so new that the movement finishes before the attention and rapt emotion that it excites in the listener have even lost any of their extreme vivacity." ("*L'emploi d'une formule rhythmique obstinée n'a jamais été tenté avec autant de bonheur, et cet allégro, dont les développements immenses roulent constamment sur la même idée, est traité avec une si incroyable sagacité; les variations de la tonalité y sont si fréquentes, si ingénieuses; les accords y forment des groups et des enchaînements si nouveaux, que le morceau finit avant que l'attention et l'émotion chaleureuse qu'il excite chez l'auditeur aient rien perdu de leur extrême vivacité*.")

In the same review, Berlioz also notes that this same movement was often ridiculed for its peasant-like and rustic lack of nobility ("*J'ai entendu ridiculiser ce thème à cause de son agreste naïveté*." Ibid.). This kind of characterization or association was one that musicians of the 18th century had sought to avoid. See Chapter 4, pp. 80ff and 106ff.

people in heightened mental states who volitionally enhance certain emotional reactions.[246] In *Exposition of Psalm 41*, St. John Chrysostom (345-407) argues that the best musical creations are those that result from a musician's ability to control his earthly desires and focus his mind on spiritual improvement: "For when the flesh no longer lusts against the spirit, but has submitted to its orders and has been led at length to the best and most admirable path, then you will create a spiritual melody."[247] Heinrich Glarean praises Jodocus à Prato (Josquin des Prez) in *Dodecachordon* (Instrument of Twelve Strings, 1547) as superlative among his peers in terms of his "pre-eminent…temperament, conscientiousness, and industry."[248] Josquin is not above reproach, however, as Glarean believes impure aspects of Josquin's personality creep into his compositions:

> If this man, besides that native bent and strength of character by which he was distinguished, had had an understanding of the twelve modes and of the truth of musical theory [such that] nature could have brought forth nothing more majestic and magnificent in this art; so versatile was his temperament in every respect, so assured with natural acumen and force that there is nothing he could not have done in this profession. But moderation was wanting for the most part and with learning, judgment; thus in certain

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[246] The writers cited in this passage (St. John Chrystotom, Heinrich Glarean, Henry Peacham) all advocate a serious, restrained emotional affect on the part of a musical creator, and this affect indicates his or her mental control and skill as a musician. A serious demeanor is part of the set of socially-defined acceptable features of a musician for this community; following Becker's argument that one's social experiences shape and valorize the kind of behavior that is appropriate in special mental states, these writers' notions of what constitutes an ideal emotional demeanor for a musician do not comprise a universal attribute of good music-making but rather an ideal specific to this community shaped by its members' broader notions of ideal behavior. See Chapter 2, p. 21 for a discussion of Becker. See also Chapter 4, pp. 80ff and Chapter 9, pp. 257f for discussions of the ways in which socially-defined aesthetic experiences and socially-defined reactions to aesthetic experiences contain broader social implications.

[247] St. John Chrysostom, "Exposition of Psalm 41," in *Strunk's Source Readings*, 126.

[248] Heinrich Glarean, "Dodecachordon," Book 3, Chapter 24, in *Strunk's Source Readings*, 430.

> places in his compositions he did not, as he should have, soberly repress the violent impulses of his unbridled temperament. Yet let this petty fault be condoned in view of the man's other incomparable gifts.[249]

Henry Peacham similarly dubs William Byrd "our phoenix" in *The Compleat Gentleman* (1622), praising Byrd for "being of himself naturally disposed to gravity and piety," which causes him to produce works that are "angelical and divine" rather than "light madrigals or canzonets."[250] Peacham also praises Orlando di Lasso as being "a very rare and excellent author…[whose] vein is very grave and sweet."[251]

Judging composers' mental processes is an implicit issue in 20th-century writings on music, as well, where the connection to psychology or neuroscience is often made more explicity. Mozart's biographer Wolfgang Hildesheimer (1982) alludes to the "residue of mental process in musical works," for example.[252] Fred Lerdahl (1988) has also referred to music as involving the encoding and decoding of some kind of message, going so far as to say that music theory is a branch of psychology.[253] With Ray Jackendoff (1983), Lerdahl argues that "A piece of music is a mentally constructed entity, of which scores and performances are partial representations by which the piece is transmitted…The central task of music theory should be to explicate this mentally produced organization".[254] Analytical discourse includes examining a

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[249] Ibid.
[250] Henry Peacham, "The Compleat Gentleman," in *Strunk's Source Readings*, 349. The compositions he cites as being "angelical and divine" are Byrd's *Cantiones sacrae* and *Gradualia*.
[251] Ibid.
[252] Treitler, 185, citing Wolfgang Hildesheimer, *Mozart*, trans. Marion Faber (1982).
[253] Fred Lerdahl, "Cognitive Constraints on Compositional Systems," *Generative Processes in Music: The Psychology of Performance, Improvisation, and Composition*, ed. John Sloboda, (Oxford: Clarendon Press, 1988), 231-59.
[254] Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge, MA: MIT Press, 1983), 2.

composer's mental control in terms of inventing, choosing, and ordering musical ideas, because the analyzable relationships therein, whether intentional or not, came from the composer's brain. Following Lerdahl's line of reasoning, music theory and aesthetic judgment are an attempt to figure out the mental processes, consciousness, and past experiences of a music maker in the world of make-believe described by Walton.[255] Ultimately, critical analysis of the musical content of a work is, according to Leonard Meyer (1973), the attempt "to understand and explain the choices made by a composer in a particular work."[256]

Compositional choices do not have to be conscious or intentional (although they may be) in order to be analyzable as the evidence of mental processes. Indeed, Sloboda argues that in a large work there necessarily will be relationships discoverable by analysis that were neither noticed nor designed by the composer, but their subconscious creation does not negate their status as things created by the composer.[257] The structure of a theme may be "balanced," for example, because either balance was the composer's intention or it just happened that way and was still retained—the characteristics of a work partly arise from a composer's mental digestion and repurposing of common musical attributes that define a the habitus in which he or she works and which he or she shapes. A listener's discovery of relationships therein, revealing the composer's thoughtfulness, fecundity of ideas, or consistency in style, is also a discovery that reveals what the listener was looking to find. A listening approach based on hunting for clues that lead to a deeper meaning may ultimately be self-aggrandizing, according to Jerrold Levinson:

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[255] Discussed above, see pp. 47ff.
[256] Leonard Meyer, *Exploring Music: Essays and Explorations* (Berkeley: University of California Press, 1973), 18.
[257] Sloboda, 102.

> We take pleasure in the composer's cleverness for having constructed his or her music so ingeniously, and in our own for having detected that construction. We delight at uncovering the hidden springs of the mechanism that has been working on us so effectively, if surreptitiously. We admire the ingenuity and craftsmanship of the maker, and we are also, it must be said, pleased with ourselves for having descried them.[258]

Sloboda, drawing on Noam Chomsky, has taken the concept of discovering the inner workings of a composer's brain through his or her compositions a step further, arguing that the musical product echoes the deep structures of the human brain, not just an individual's thought processes. Sloboda asserts that it is the structure of the brain itself that allows an information handling system (i.e., music) to behave in the way observed humans behave,[259] so that, "At a deep level, all natural languages have the same structure, and structure tells us something universal about the human intellect."[260]

The conclusion that music echoes the deep fundamental structures of the brain is not tenable, and Sloboda undercuts his own argument by noting that musical skills are culturally transmitted and vary significantly.[261] His is a problematic position because if there exists a single ur-structure of the human brain which is expressed by the music and language that it produces, then it would follow that all music and all language would exhibit the same structures, rhythmically, tonally, grammatically, or timbrally. This is decidedly not the case, unless the differences we note amongst different musics are not in fact fundamental but are actually

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[258] Levinson, 61.
[259] Sloboda, 7.
[260] Sloboda, 12. He cites as evidence the fact that some musical writers even suggest that tonality is especially natural.
[261] Sloboda, 7.

surface-level, meaning that there lies a true ur-structure beyond our comprehension or perception. For obvious reasons, this line of inquiry is beyond the scope of this dissertation. It is sufficient to say, for the moment, that because music, like language, is a human product, it allows us to legitimately suppose that its observed structure tells us something about the nature of the individual mind that produced it, but not about all minds generally.[262]

Conclusion

Music cognition arises out of the interaction between one's personal experiences, social experiences, and the specific musical experience at hand. The listener's approach (i.e., gaze) is a large determinant in music cognition. The listener brings a constellation of feelings, memories, associations, knowledge, and receptivity to the musical experience, as well as the shared cultural values and modes of listening as defined by his or her habitus. A socially-defined habitus of listening is also a determinant of how a musical experience is presented. Musical creators (i.e., composer, performer, and/or improviser) are judged partly on their ability to present music that suits the listener's approach (i.e., that it can be understood within a particular habitus). Evidence of a musician's mental discipline is found in the exhibition of the skills that he or she has learned (i.e., the establishment, strengthening, and use of neural mappings of associated tasks), his or her ability to focus when musicking (i.e., his or her attentional focus during an activity), and his or her command over and understanding of the habitus in which his or her works and physical gestures will be experienced. Mental discipline (i.e., reinforcing ANS arousal and neural

[262] Sloboda, 32. Sloboda argues that music, like language, is a human product, and therefore we can legitimately suppose that the observed structure of music or language tells us something about the nature of the human mind that produces it.

pathways that define the actions expected in a particular habitus) becomes a source of claiming and projecting one's identity as defined by being a member of that culture or community.

A habitus of listening that accepts both the existence of mental discipline and the possibility of knowing an individual through his or her musical creation can lead listeners to approach the listening experience as a means to divine the mental discipline present in the creator and to describe it as such. For a musician whose musical knowledge is predicated on experiential knowledge of the creative process, cognition can rest on this first-hand familiarity with the skills involved therein. Even if a musical product does not prove the existence of a fundamental, shared, deep brain structure, it can reveal, to an inclined listener, the mental processes and mental discipline of the creator of that product. Musical actions come from a musical creator's brain, so to observe a musician's mental discipline is to observe his or her core consciousness—this is where intentions arise based on a person's interaction with the world and where the chemicals needed to build neural maps involved in one's actions are released.

Chapter 4: Mental Discipline in 18th-century German Aesthetic Writings

That which is good in German musical production of the 18th century, in both performance and composition, is that which is controlled and orderly, originates from a place of rational and disciplined inspiration, and features considerable thought and reflection. Mental discipline, meaning the controlling of the contents of one's thoughts and in turn the movements of one's body, is a recurring discussion in treatises on how to make music—not everyone is capable of performing or composing quality works. It is not a question of whether control is necessary (it always is), but rather of what ends it can achieve. German aesthetic writing in the second half of the 18th century describes three kinds of mental discipline: (1) a cultivation of the appearance of nobility (i.e., mental control produces social sophistication), (2) the production of coherent musical works (i.e., mental control produces a refined and tasteful musical product), and, ultimately, (3) the creation of a transcendent aesthetic experience (i.e., mental control focuses an artist towards the sublime). Although instrumental treatises are not explicit about metaphysical transcendence, their insistence upon correct musical execution produces performances which have the potential to yield this effect. The simultaneous coexistence of these multiple kinds of mental discipline also indicates simultaneous conflicting ways of listening.

This discussion is framed with flute tutors by Johann Joachim Quantz (1697-1773) and Johann George Tromlitz (1725-1805). In addition to composing a large repertory of flute music and building and designing flutes,[263] Quantz authored *Versuch einer Anweisung die Flöte*

[263] Tromlitz disputes the fact that Quantz either built his own flutes or wrote his treatise. See Johann George Tromlitz, "A Beautiful Tone on the Flute, and its True and Proper Use: Induced by the Enquiries to Modern Composers and Virtuosi published in the 9th Issue of the first

traversiere zu spielen (Essay on Playing the Flute, 1752), a compendium of his musical taste as determined by his pan-European travels of the 1720s and long career at the court of Frederick II of Prussia.[264] This encyclopedic and orderly text addresses the entire musical experience: musical execution, concert programming, extemporizations, ripieno playing, singing, and the art of properly judging music and performances. It devotes only 61 of its 342 pages to issues that deal specifically with playing the flute, its supposed topic. German flutist August Eberhard Müller still held Quantz in high regard in 1798, saying "*Quanz* [sic]…was to the flute what *C. Ph. Em. Bach* [Carl Philipp Emanuel Bach] was and still is to keyboard."[265]

Tromlitz's musical career was more public than that of Quantz, and he focused more on performing than composing, in addition to building and designing flutes. Tromlitz earned a law degree from Leipzig University and performed as a touring virtuoso and the principle flutist of Leipzig's Grosses Konzert, a music society that was the precursor to the Gewandhaus Orchestra, from 1754 to 1776.[266] He also went on concert tours to St. Petersburg as a soloist.[267] After

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Volume of this Music Journal," in *The Keyed Flute*, ed. Ardal Powell (Oxford: Clarendon Press, 1996) 242. This article originally appeared as "Abhandlung über den schönen Ton auf der Flöte" in *Allgemeine musikalisches Zeitung* 2 (January, 1800): 301-304, 316-320.

[264] Johann Joachim Quantz, *On Playing the Flute,* trans. Edward R. Reilly (Boston: Northeastern University Press, 2001). Quantz studied with French flutist Pierre-Gabriel Buffardin (c.1690-1768) and traveled to Italy (1724-26), Paris (1726-27), where he became friends with Michel Blavet, and London (1727). At the court of Dresden (1716-41) and at King Frederick II's Berlin court (1741-73) he was a renowned soloist. He began teaching Frederick II in 1728 and was a colleague of C.P.E. Bach and violinist Johann Georg Pisendel, both of whom he cited as influences. See Edward R. Reilly, introduction to *On Playing the Flute*, xiii-xvii.

[265] August Eberhard Müller, "The Flute and True Flute-Playing," in Tromlitz, *The Keyed Flute*, ed. Powell, 236. This article originally appeared as "Über Flöte und Wahres Flötenspiel" in *Allgemeine musikalisches Zeitung* 1/13 (1798): 193-197. Müller is referring to Carl Philipp Emanuel Bach's keyboard treatise, *Versuch über die wahre Art das Clavier zu spielen* (Essay on the True Art of Playing Keyboard Instruments), 1753 and 1762.

[266] Ardal Powell, introduction to *The Virtuoso Flute-Player* (Cambridge: Cambridge University Press, 1991), xvi. The ensemble's repertoire centered around works by Handel, Telemann, Hasse, Stamitz, J.C. Bach, Dittersdorf, Haydn.

[267] Powell, introduction to *The Keyed Flute*, 44-45.

retiring from traveling, he wrote about the flute, flute construction, and flute playing in *Magazin der Musik*, *Allgemeine musikalisches Zeitung*, and three volumes of flute tutors.[268] The first of these, *Kurze Abhandlung* (Short Treatise [on Flute Playing], 1786), while brief, draws heavily on Quantz's *Versuch*, repeating several of Quantz's ideas about tone color, articulation, concert programming, and intonation.[269] Tromlitz's 1791 tutor, *Ausführlicher und gründlicher Unterricht die Flöte zu spielen* (Exhaustive and Thorough Method for Playing the Flute) is the most detailed German flute treatise from the late 18th century.[270] It greatly expands on *Kurze Abhandlung* and Tromlitz marketed it as "The Second Part of my Detailed and Thorough Tutor for Playing the Flute.[271] *Über die Flöten mit mehren Klappen* (The Flute with Several Keys, 1800) was published as a third supplementary volume, and in it Tromlitz notes the popularity and "well received" status of the 1791 treatise.[272] Whereas all other German flute tutors after Quantz were either elementary in scope or mere paraphrases of Quantz's work, Tromlitz picks up where his predecessor left off, modeling his 1791 text in particular on that of Quantz and adapting the earlier material to changes in musical thought over the intervening decades.[273] He doesn't go into broad musical issues but instead expands upon Quantz's first sixteen chapters: the instrument, notation, technique, ornamentation, and extemporizations.[274] The parallels between their writings reveal not only Tromlitz's admiration for Quantz but also the persistence and

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[268] Powell, introduction to *The Virtuoso Flute-Player,* xix.
[269] Powell, introduction to *The Keyed Flute*, 45. Tromlitz, like Quantz, advocates for the use of both E-flat and D-sharp keys, for example.
[270] Edward R. Reilly, *Quantz and his Versuch: Three Studies* (American Musicological Society, 1971) 49.
[271] Tromlitz, *The Keyed Flute,* 64.
[272] Tromlitz, *The Keyed Flute*, 67, Foreword.
[273] Reilly, introduction to *On Playing the Flute*, xiii.
[274] Reilly, introduction to *On Playing the Flute*, xiv.

distillation of ideals across a generation. Tromlitz's influence was also widespread across Europe, particularly since his flutes were in use wherever high standards of playing mattered.[275]

This chapter traces the issue of mental discipline and its attendant principles through a large body of literature from the 16th through the 19th centuries, with an emphasis on their application in flute treatises. The standards which Quantz and Tromlitz espouse did not arise in isolation, but rather these flutists adopt aesthetic concerns of previous generations and exert influence on later writers.

Discipline Is a Virtue, and the Appearance of Nobility

Mental discipline is firstly a means of distinction and self-definition, because 18th-century philosophers believed that control over one's thoughts led to control over one's exterior.[276] The outer display of a performer ideally should be simple, full of ease, seemingly disinterested, and effortless, implying an inner nobility and refinement. Part of the value of music for the listener is being able to recognize this nobility in the musical product (i.e., musicking),[277] so in this kind of listening, the meaningful musical experience lies not in the piece itself but in the perpetuation and perception of social norms and constructs.

Both Quantz and Tromlitz acknowledge that discipline is partly comprised of a superficial or surface quality that the audience can see and which prejudices one's assessment of

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[275] Powell, introduction *The Keyed Flute*, 60. Powell characterizes Tromlitz's eight-keyed flute as "the most fully rational and perfect wind instrument of the eighteenth century."
[276] This is an argument made by several writers and has long standing in Western thought, among them Boethius (d. c. 524-526), who asserts in *Fundamentals of Music*, Book 1, Section 33 that "physical skill obeys like a handmaid while reason rules like a mistress. And unless the hand does what the mind sanctions, it acts in vain." See Boethius, "Fundamentals of Music," Book 1, in *Strunk's Source Readings in Music History*, ed. Leo Treitler (New York: W.W. Norton & Company, 1998), 142.
[277] See Chapter 3, pp. 40f.

a musical experience. Quantz warns that performers "must never lose [their] composure," no matter the difficulty of a piece or the extenuating circumstances in a performance:[278]

> Execution must always be *easy and flowing*. No matter how difficult the notes performed may be, this difficulty must not be apparent in their performer. Everything of a coarse, forced disposition in singing and playing must be avoided with great care. You must guard against all grimaces and, as much as possible, try to preserve in yourself constant composure.[279]

Tromlitz repeats this admonition, writing, "Composure in performance is one of the principal virtues in a player"[280] and notes that virtuosi are often judged simply on "a certain appearance of well-being":[281]

> [T]he more fine, unforced and natural the posture is, the more impression will the performance make upon the listener. Yes! Even if one can play ever so well and skillfully, such a performance with bad posture will not make the same impression as a mediocre one with a beautiful posture…grimaces themselves are a form of bad posture…Many people go to a great deal of trouble to make faces, because for them they represent expression, or even take its place entirely; to wit: raising the shoulders as far as the ears; cringing, ridiculous motions of the head, the eyes or the nose; bobbing and weaving, bending back and forth, twisting and turning the whole body; cowering and

[278] Quantz, 131, Chapter 12, section 11. This is also echoed in Quantz's persistent positive use of "noble simplicity" (discussed below; see pp. 83ff and Table 4.1).
[279] Quantz, 124, Chapter 11, section 13.
[280] Tromlitz, *The Virtuoso Flute-Player*, 321, Chapter 15, section 23.
[281] Tromlitz, *The Virtuoso Flute-Player*, 14, Introduction, section 2.

> stretching as though the whole player were molded out of rubber; straining and squeezing so that the player's countenance becomes as red as a cherry, and so forth.[282]

The appearance of ease is the result of the diligent work that has come beforehand, but such work can never show.[283]

Appearance of ease is not always an indicator of valuable inner content, but cultivating such an appearance is necessary—it is an integral part of judgment because it *might* be an indicator of inner content. Quantz and Tromlitz articulate audience expectations which have a long history; a preference for simplicity and physical command (implying mental control) reaches back to the early Renaissance. In his *Il libro del cortegiano* (The Book of the Courtesan, 1528), Baldassare Castiglione (1478-1529) prizes the "noble simplicity" of *sprezzatura*, a vocal delivery that incorporates disdain and nonchalance. Performers should never let the labor of execution show, instead displaying "ease" and "great ornament and grace" rather than alarming the audience with anxiety or effort.[284] Giulio Caccini (1551-1618) similarly prizes *sprezzatura* in his opening dedication to the opera *Euridice* (1600) for its "element of nobility" and because it "approached that much nearer to ordinary speech."[285] In the preface to *Le nuove musiche* (The New Music, 1602), his description of vocal dissonances, to be executed as if one were completely unbothered by their harsh sound,[286] is echoed by Tromlitz regarding embellishments;

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[282] Tromlitz, *The Virtuoso Flute-Player*, 46, Chapter 2, section 11.
[283] To this point, Tromlitz says: "To be sure, it seems easy when a Master makes his entrance and executes the most difficult passages easily, as though it cost him no effort at all. The audience thinks it is as easy as it looks—but unfortunately one cannot see everything that has gone beforehand…things which require extraordinary trouble and work." See Tromlitz, *The Virtuoso Flute-Player*, 21.
[284] Baldassare Castiglione, "Il libro del cortegiano," Book 2, chapter 13, in *Strunk's Source Readings*, 328.
[285] Giulio Caccini, "Dedication to *Euridice*," in *Strunk's Source Readings*, 606.
[286] Caccini, "Preface to *Le nuove musiche*," in *Strunk's Source Readings*, 608. In the preface to this collection of madrigals and arias for voice with continuo, he says that execution requires "a

a flutist must never draw attention to his ornaments or variations. The listener should not be able to tell that the player has left the written notation behind based on his physical reaction.[287] Above all, Caccini argues that the effort necessary for creating a musical work (in terms of both composition and performance) should be hidden so as not to distract the listener: "So that they [madrigals and arias] would have especial grace, I concealed as much of the art of counterpoint as I could."[288]

This preference for nonchalance does not mean simply taking pleasure in the appearance itself. It implies a kind of cultivation that separates one from the offensive lack of discipline of the disorderly lower classes, first found explicitly in Castiglione's guide to being a proper nobleman (as opposed to a boor) and then perpetuated with the idea that music is a cultural commodity. In his *Livre des mélanges* (Book of Miscellanies, 1560), Pierre de Ronsard (1524-85) asserts that appreciation of music is a sure sign of a person's good breeding and proper cultivation, marking someone as a "man of worth."[289] Music appreciation distinguishes the listener (and the skilled performer) from the "unnoble" and the "multitude," in Castiglione's words.[290] Caccini also distinguishes between the "nobility" of the *sprezzatura* delivery and the sort of tasteless execution that pleases "the mob" and the "common ignoramus."[291] Rather than

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certain noble *sprezzatura* in the melody, passing sometimes over some discords while sustaining the pitch of the bass notes." He goes on to describe *sprezzatura* as executing a melodic line with "disregard" (Ibid., 616).

[287] Tromlitz, *The Virtuoso Flute-Player*, 308-309, Chapter 14, section 6.

[288] Caccini, "Preface," 609.

[289] Pierre de Ronsard, "Dedication to *Livre des mélanges*," in *Strunk's Source Readings*, 301. Again, this is an instance of cultivating the exterior as an indicator of the quality of one's interior.

[290] Castiglione, 329.

[291] Caccini, "Preface," 610.

singing with *sprezzatura*, singers make *passaggi*[292] because "they titillate the ears of those who understand less well what it means to sing *con affetto* [i.e., to sing expressively or in such a way as to move the emotions]. Because if they knew, then *passaggi* would be abhorred, since nothing is more contrary than they are to expressive singing."[293] Indeed, a singer must be discerning in the expressive choices he or she makes, because to use the same musical effects in every piece, regardless of the text, would prove the singer to be "indiscriminate."[294] It also seems that Castiglione's desire to keep the work of musical production hidden is akin to noble classes wanting the working classes to remain hidden and out of sight; to see the labor behind a beautiful thing or lifestyle gives it an uncomfortable and embarrassing grounding in reality. Work, physicality, and anxiety are the purview of lesser people.[295]

Quantz and Tromlitz, too, operate under the premise that musical quality offers a means of cultural assessment. Musical sounds and appreciation of musical sounds yield insight into the quality of a person, and the cultural commodification of music is the guiding force behind Quantz's treatise—it offers the reader entry into the court world that Quantz inhabited. In writing a manual on how to judge music and musicians, Quantz tacitly offers a guide as to how listeners themselves should be judged. If his provided parameters are the indicators of good taste

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[292] *Passaggi* refer to ornamentation developed from Renaissance diminution, often fast scales or scalar elaboration of a simpler melody.
[293] Caccini, "Preface," 609. This dismissal of fraudulent displays of false emotion is similar to Tromlitz's exasperation with flutists' physical contortions.
[294] Ibid.
[295] Tromlitz perpetuates this reasoning: "the qualities of a good flutist [include] that he shows composure in his playing, not anxiety and effort" (*The Virtuoso Flute-Player*, 321, Chapter 15, section 23). The distinction between those of little taste (the lower class) and those of refined taste (the upper class) evolves into a racial distinction in Johann Nikolaus Forkel's *Allgemeine Geschichte der Musik* (A General History of Music, 1788-1801), in which he argues that a culture's ability to adhere to (European) standards of music-making proves its self-control (as opposed to raw primitivism), artistic refinement, and civilization (or lack thereof). See Forkel, "Introduction to *Allgemeine Geschichte der Musik* (A General History of Music)," in *Strunk's Source Readings*, 1013-1029.

in musical execution, then being able to properly recognize those parameters is an indication of a listener's level of refinement.[296]

Quantz's vocabulary for describing good music (i.e., that which is serious) is nearly always socially-charged. Adopting an air of nobility makes a player or composer seem noble and thereby competent, persuasive, and attractive. Nobility and majesty are equated with vigor, truthfulness, and goodness. Quantz is perpetuating Caccini's assumptions that the best music implies nobility, that nobility is preferable, and that one should distance oneself from lower forms of expression.

Table 4.1 Positive musical attributes according to Quantz.

Positive descriptors used by Quantz	In reference to
"sublime, majestic, and vigorous"[297]	An air (the positive quality would be corrupted by inappropriate embellishments)
"noble simplicity"[298]	An unadorned melody
"agreeableness"[299]	That which is lost when pieces are played too quickly or rushed
"playing a plain air nobly, truly, and clearly"[300]	Good execution of a simple melody
"clear, penetrating, thick, round, masculine, and withal pleasing sound"[301]	Ideal flute tone quality
"audible, clear, and true voice"[302]	Oration
"good, clear, pure voice" and "firmness and sureness of voice"[303]	Ideal vocal quality

[296] The entirety of chapter 18 of the text, for example, is devoted to musical judgment.
[297] Quantz, 99, Chapter 8, section 19.
[298] Quantz, 100, Chapter 8, section 19.
[299] Quantz, 131, Chapter 12, section 11.
[300] Quantz, 139, Chapter 8, section 9.
[301] Quantz, 50, Chapter 4, section 4.
[302] Quantz, 119, Chapter 11, section 3.
[303] Quantz, 300, Chapter 18, section 11.

Their opposites are not only damning in musical execution but also in real life (e.g., lack of nobility, clarity, intelligence, vigor, and refinement).

Table 4.2 Negative musical attributes of execution in Quantz.

Negative descriptions used by Quantz	In reference to
"common and insipid"[304]	Ruining a "sublime, majestic, and vigorous air" through overuse of "poorly introduced appoggiaturas"
"the notes are executed indistinctly, obscurely, unintelligibly, without articulation, feebly, sluggishly, tediously, sleepily, coarsely, and dryly; if all the notes are slurred or attacked indiscriminately"[305]	Poor execution in general
Executing "heavily, anxiously, tediously, or precipitately and blunderingly"[306]	Passage-work
"immoderate haste"[307]	Ruining the "agreeableness" of a movement in an allegro tempo
"indifference and negligence, barrenness of invention, disregard of listeners, excessive artificiality"[308]	Cadenzas
"ignorance, or a corrupt taste"[309]	Causes of improper rhythmic execution[310]

[304] Quantz, 99, Chapter 8, section 19.
[305] Quantz, 127, Chapter 11, section 21.
[306] Quantz, 127-128, Chapter 11, section 21.
[307] Quantz, 131, Chapter 12, section 11. In section 12, he offers as an example of "immoderate haste" the rushing of notes that occur after a rest on a downbeat in an allegro tempo.
[308] Quantz, 186, Chapter 15, section 18. Errors in cadenzas happen even in those by "very able musicians, as a result of an unpleasant state of mind, or too much vivacity, or from indifference and negligence, barrenness of invention, disregard of listeners, excessive artificiality, or other more intangible reasons" (Ibid., 185-186).
[309] Quantz, 123, Chapter 11, section 11.
[310] Quantz describes this kind of rhythmic execution as: "they [players] often give the following note something of the time that belongs to the preceding" (Ibid.).

"the excessive praise that has become an unfortunate custom in music, perhaps because some fantastic dunces among Italian singers, with all their crass ignorance, demand it almost as an obligation to their very names"[311]	Flattery from friends after a performance
"a coarse, forced disposition"[312]	Composure that should be avoided during execution

Tromlitz's description of flute playing strongly recalls Quantz's preferences honed at Frederick the II's Prussian Court, implying a continued aesthetic of aspiring to nobility. Like those of Quantz, Tromlitz's characterizations of a poor tone quality are also tied to potency and intelligence: "weak, dull, and feeble."[313] He also compares poor flute playing to that of a mere "fifer" on several occasions,[314] referring to players who "produce a wooden and shrieking tone, and make a fife out of the beautiful instrument" rather than aspiring to more upper-class sound qualities.[315] Müller's similar vocabulary choices suggest that Tromlitz was not the only musician perpetuating Quantz's ideals.

[311] Quantz, 203, Chapter 16, section 33.
[312] Quantz, 124, Chapter 11, section 13.
[313] Tromlitz, *The Keyed Flute*, 71, Chapter 1, section 4.
[314] Tromlitz, *The Keyed Flute*, 141, Chapter 5, section 86 ("*wie sonst die Alten auch pfiffen*"); 147, Chapter 5, section 93 ("*einen Querpfeifen-Ton*"); 151, Chapter 6, section 1 (using intonation that is "only proper for fifers"). Powell translates fife-player as "tootler" to capture Tromlitz's disparaging tone.
[315] Tromlitz, "A Beautiful Tone," 239

Table 4.3 Comparison of positive vocabulary used to describe flute tone.

Quantz, 1752	"clear, penetrating, thick, round, masculine, and withal pleasing sound"[316]
Tromlitz, 1791	"a beautiful, full, manly, singing, metallic and even tone, and pure intonation"[317]
Müller, 1798	The low register should be "round, full, and cutting, but pleasing, too"[318]
Tromlitz, 1800	"bright, metallic, and pure tone"[319]

The continuity of these descriptors, and their origin in courtly musical style, mean that performance practice was an emulation of the good life of the nobility, starting with adopting the proper mindset and followed by making that adoption physically clear.

Although he emphasizes it less often than does Quantz, Tromlitz also offers ways in which a listener's judgment may itself be used as a judgment of the listener. A listener reveals how properly he or she "cares" about the music by how he or she comments on a player's tone quality:

> I hope you would not judge of equal merit, or perhaps even less, a melody consisting of equally beautiful notes and pure intervals, and another that lacked these qualities? That would be unpardonable! For I would not be able to think of any other reason than that you simply did not care.[320]

Tromlitz was also bothered by less-refined listeners' rejection of the necessity of his eight-keyed flutes. He derided such listeners for their lack of expertise, wisdom, and sensitivity that would

[316] Quantz, 50, Chapter 4, section 4.
[317] Tromlitz, *The Virtuoso Flute-Player*, 321, Chapter 15, section 23.
[318] Müller, 237.
[319] Tromlitz, *The Keyed Flute*, 164, Chapter 7, section 2.
[320] Tromlitz, *The Keyed Flute*, 116, Chapter 5, section 53.

have allowed them to distinguish between the execution of players using multi-keyed flutes and the execution of those who still played older, simpler instruments:

> The proud ignoramus stands behind the curtain and laughs about ["a common piper" performing on a simpler flute rather than that of a virtuoso], and in strict confidence says to the person who also thinks he understands when in fact he does not: This is just tomfoolery, one can play everything without these [added seven] keys, and one key is sufficient to play before the whole world…Many people play [thus]; but as to whether it is correct, only the expert can tell. A wise person researches first, and then judges…But alas! Not everyone is capable of analysis and judgment.[321]

A listener's ability to make aesthetic judgments, to discern quality musicking from common musicking, is part of what makes him or her noble. In *Politics* 8.5 (4th c.), Aristotle emphasizes the necessity of being able "to judge correctly" because it allows one "to delight in

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[321] Tromlitz, *The Keyed Flute*, 86, Chapter 4, section 4. Even into the 20th century, there was little consensus among professional flutists with regard to standardization of the instrument, and Tromlitz's treatises serve to promote his instruments over the plurality of other options across Europe. Regional preferences with regard to technique, tone color, and style were large determinants of instrument choice, in addition to the often prohibitively high cost of cutting-edge instruments. Instrument makers were adding keys independently of each other, and traveling virtuoso flutists (e.g., Friedrich Ludwig Dülon, 1768-1826) added keys to their own instruments in response to the localized developments they came across during their travels. As an example of regional differences, Luke Heron's *Treatise* (published in London, 1771) claims that there are "not very many" flutes that have additional keys, whereas Dr. Johann Justus Heinrich Ribock's *Bemerkungen über die Flöte und Versuch einer Anleitung zur besseren Einrichtun and Behandlung derselben* (Observations on the Flute and Essay of a Short Introduction to its Better Design and Use, published in Stendal, 1782) contains a fingering chart for a five-keyed German flute and includes criticisms of Tromlitz's own multi-keyed instruments, which had been in circulation for years. (Tromlitz's *Kurze Abhandlung* is partly a response and rebuttal to the criticism of Ribock's work.) At the same time, the fashion in Berlin remained that of Quantz's 2-keyed flute into the 1770s. Ardal Powell provides an illustrative and thorough survey of the differences among regional instrument makers' flutes (and their promotional treatises to extoll the virtue of their designs) in London, Germany, France, Austria, and Italy in the 18th century. See Powell, introduction to *The Keyed Flute*, 2-40.

virtuos [sic] ethoses and noble actions."[322] A listener's ability in this regard (i.e., judging and delighting in "noble actions") similarly suggests his or her quality as a person for writers of the 16th, 17th, and 18th centuries who use a listener's reaction in turn to judge the listener himself.

[322] Aristotle, "Politics," in *Strunk's Source Readings*, 28.

Table 4.4 Comparison of vocabulary used to judge listeners, 1528-1788.

Baldassare Castiglione, 1528	"whoso savoreth it [music] not, a man may assuredly think him not to be well in his wits"[323]
Giulio Caccini, 1602	"There are [listeners] who well understand the ideas and sentiments of the words [being sung]. They recognize our defects and know how to distinguish where more and where less of such expressiveness is wanted. In this respect we should strive most to please them and prize their praises more than the applause of any common ignoramus."[324]
Henry Peacham, 1622	"I dare not pass so rash a censure of these as…the Italian, having fitted a proverb…'Whom God loves not, that man loves not music'; but I am verily persuaded they are by nature very ill disposed and of such a brutish stupidity that scarce anything else that is good and savoreth of virtue is to be found in them."[325]
George Muffat, 1698	"weak pupils or unprofessional ignoramuses" cannot discern "correct intonation"[326]
Johann Mattheson, 1739	"Anyone who is paying attention can see in the face of an attentive listener what he perceives in his heart."[327]
Joseph Riepel, 1752	"For someone might compose a minuet whose arrangement was not so orderly as yours but whose melody was more lively. And that minuet would probably find much more approval among the dilettantes than yours would."[328]
Germaine de Staël, 1788	"Where is the sensitive man who has never been touched by music?"[329]

Judging a listener ultimately becomes an issue of class distinction; the better a person's judgment or discernment, the more noble he or she is likely to be. For Ronsard, being unmoved

[323] Castiglione, 327.
[324] Caccini, "Preface," 610.
[325] Henry Peacham, "The Compleat Gentleman," in *Strunk's Source Readings*, 347.
[326] George Muffat, "Preface to the *Second Florilegium*," in *Strunk's Source Readings*, 648.
[327] Johann Mattheson, "The Complete Music Director," in *Strunk's Source Readings*, 699.
[328] Joseph Riepel, "Fundamentals of Musical Composition," Chapter 1, in *Strunk's Source Readings*, 761. The original title of this work is *Anfangsgründe zur musicalischen Setzkunst*.
[329] Germaine de Staël, "On Rousseau's Taste for Music and Botany," from *Letters on Rousseau* (1788), in *Strunk's Source Readings*, 981.

by music is an aspect of a person born with a less-than-desirable soul who is unfit for the tasks of noble society:

> [The person] that hearing a sweet accord of instruments or the sweetness of the natural voice feels no joy and no agitation and is not thrilled from head to foot, as being delightfully rapt and somehow carried out of himself—'tis the sign of one whose soul is tortuous, vicious, and depraved, and of whom one should be aware, as not fortunately born. For how could one be in accord with a man who by nature hates accord?…[H]e who does honor and reverence to music is commonly a man of worth, sound of soul, by nature loving things lofty, philosophy, the conduct of affairs of state, the tasks of war, and in brief, in all honorable offices he ever shows the sparks of his virtue.[330]

A person's taste in music elevates him from the "vulgar," since "music has always been the sign and the mark of those who have shown themselves virtuous, magnanimous, and truly born to feel nothing vulgar."[331] Boethius (6th century) draws a distinction between civilized and uncivilized people based on the music they appreciate, arguing that "A lascivious mind takes pleasure in the more lascivious modes…Ruder peoples delight in the harsher modes…civilized people in more restrained modes."[332] Johann Nikolaus Forkel (1788) applies this same logic to various cultures around the world, asserting that uncivilized people like uncivilized music:

> [T]he more savage a people, the more it [their musical output] remains merely sensuous and poor in mental representations, the more powerful are its sensations and its organs of sense. Thus in this primal state the pure tone, taken for itself alone as an expression of

[330] Ronsard, 300-301.
[331] Ibid., 301.
[332] Boethius, *Fundamentals of Music*, Book 1, Section 1, 139.

> the passions, must be crude and vigorous, and entirely in keeping with the power of these sense organs.[333]

The music made and appreciated by a culture is an indication of its intellectual progress, since "We do still find it [the crude state of music] today, however, among many Asiatic, African, and American peoples, whom we also know to have made no progress for millennia in other branches of culture."[334]

The noblest class of people contains those that make judgments; they are elevated over those people who simply make music by virtue of relying on reason and being intellectually enlightened. Boethius distinguishes between three classes of people "concerned with music": (1) players ("servants" who have no understanding of musical science); (2) the person who "invents songs" ("poets…attracted to song not so much by speculation and reason as by a certain natural instinct"), and (3) the person who "judges the work of instruments and song" ("possesses the faculty of judging").[335] The latter is the best:

> How much more admirable, then, is the science of music in apprehending by reason than in accomplishing in work and deed! It is much nobler as the body is surpassed by the mind, because the person destitute of reason lives in servitude. But reason reigns and leads to what is right; and unless its rule is obeyed, a work thus deprived of reason will falter. It follows, then, that reason's contemplation of working does not need the deed, while the work of our hands are nothing unless guided by reason.[336]

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[333] Forkel, Introduction, Section 3, 1016.
[334] Ibid., Section 8, 1019.
[335] Boethius, *Fundamentals of Music*, Book 1, Section 33, 142.
[336] Ibid.

Caccini describes (and enjoys) the burden of the aesthetic connoisseur in the face of the best music, asserting that "the more exquisite refinements it [music] has, the more effort and diligence we professors of this art ought to exert, with great study and love."[337]

Mental Control Yields a Controlled Performance

Mental control is also comprised of discipline for discipline's sake, as opposed to discipline for the sake of socially-acceptable display. Discipline in this case is the act of limiting oneself and controlling one's actions through knowledgeable discernment. Organization of one's mind yields an organized product, and a worthwhile product is one that clearly and obviously bears the markers of control (i.e., logic, rationality, and unity). Under this perspective (i.e., mental control begets an appropriate musical product), part of the value of music comes from recognizing this logic in one's musicking; a piece or performance cannot be expressive, comprehensible, or coherent without it. Artistic perfection results if and only if the musicians' intentions are perfectly clear to the listener. It is a result of the composer's mental focus and the performer's sensitivity to the signs of the composer's intentions. In this listening paradigm, the meaningful musical experience lies in the notes themselves.

A concern for coherence and discernment in terms of musical content is found in Gioseffo Zarlino's (1517-90) *Istitutione harmoniche* (Harmonic Institutions, 1558), in which he describes the creative process as stemming from the composer choosing a subject with a specific intention in mind.[338] The subject is the musical material upon which the entire piece will be

[337] Caccini, "Preface," 610.
[338] Gioseffo Zarlino, *Istituioni harmoniche*, Book 3, chapter 26, in *Strunk's Source Readings*, 436-438.

based, and it makes the whole coherent and logical.[339] Zarlino's ideas hold sway in Johann Georg Sulzer's (1720-79) *Allgemeine Theorie der schönen Künste* (General Theory of the Fine Arts, 1771-74). Sulzer perpetuates the concept of musical coherence but is much more explicit about the creative steps and high degree of mental control necessary to ensure a quality musical work.[340] The overarching concern is with unity—unity of impetus, of design, and of purpose for all materials included in a work—and this is why Tromlitz and Quantz are so adamant about performers choosing proper tempos, executing articulations clearly and accurately, selecting fingerings for proper intonation, and not interpolating inappropriate embellishments or gestures into a performance that would otherwise obscure that unity.

For Quantz and Tromlitz, first and foremost in the quest for mentally-disciplined execution is the use of one's mental faculties. One can distinguish between levels of artistry based on how mentally-engaged a performer is in his craft. These levels of distinction, if a listener is attuned to them, provide a different kind of listening and aesthetic experience beyond the basic cultivation of proper decorum described above. For Quantz, an intimate knowledge of the science of music distinguishes the musical plebian in the audience from the connoisseur and the average musician on stage from the true musician.[341] A musician "who has not learned his

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[339] The subject is "that part from which the composer derives the invention to make the other parts of the work...[It] may take many forms, as the composer may prefer and in accordance with the loftiness of his imagination" (Ibid., 438). It constitutes the "the end which prompts him [the composer] to work" and the work is judged based on the composer's ability to "[perfect] his work in conformity with his chosen end" (Ibid., 436).

[340] Johann Georg Sulzer, "The Creative Process" from *General Theory of the Fine Arts*, trans. Thomas Christensen in *Aesthetics and the Art of Musical Composition in the German Enlightenment* (New York: Cambridge University Press, 1995), 55-80. While Sulzer's insistence on aspects of musical unity echo similar arguments by Zarlino imply a continuous ideal in European music making, his new emphasis on mental discipline in order to guide composers to this musical truth implies an unacceptable level of incompetence in practice.

[341] For Quantz, the "science" of music refers to an understanding of harmony and thorough bass. Other writers also refer to music as an intellectual experience. Johann Abraham Birnbaum's

science thoroughly, and according to correct principles," is "no more than an instrumentalist."[342] Furthermore, it is a fundamental lack of scientific knowledge among members of the musical community that has held back artistic production thus far:

> He who does not possess sufficient natural gifts for academic study probably has even fewer gifts for music. Yet if someone who gives himself to academic studies has sufficient talent for music, and devotes just as much industry to it as to the former, he not only has an advantage over other musicians, but can also be of greater service, to music in general than others…Whoever is aware of how much influence mathematics and the other sciences, such as philosophy, poetry, and oratory, have upon music, will have to own not only that music has a greater compass than many imagine, but also that the evident lack of knowledge about the above-mentioned sciences among the majority of professional musicians is a great obstacle to further advancement, and the reason why music has not yet been brought to a more perfect state.[343]

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defense of Bach (1738) makes a similar distinction between connoisseurs who understand the inner workings of music and mere listeners who bring the wrong set of expectations to a performance. See Christoph Wolff, *The New Bach Reader: A Life of Johann Sebastian Bach in Letters and Documents*, Eds. Hans T. David, and Arthur Mendel (New York: W.W. Norton, 1998), letter no. 344. Baldassare Castiglione (1528) refers to music as "a most acceptable food of the mind." See Castiglione, 326. Antonfrancesco Doni (1544) calls it "the divine sound I have tasted with the ears of my intellect." See Doni, "Dedication to *Dialogo della musica*," in *Strunk's Source Readings*, 334.

Regarding music as "science" also harkens back to the original study of the liberal arts, in which music, as the harmony of bodies in motion in the universe, was, according to Aristedes Quintilianus, "a science, certainly, in which exists sure and infallible knowledge." The pursuit of this knowledge, through the reasoned study of music, is part of what makes a transcendent experience (in which the listener feels himself or herself to be in touch with a higher order of knowledge) possible. See Aristedes Quintilianus, "On Music," Section 1.4, in *Strunk's Source Readings*, 48.

[342] Quantz, 16, Introduction, section 9.

[343] Quantz, 25, Introduction, section 19.

The best musicians are those that obey the rules (because they know them) but are also able to stretch the rules (because they know them so intimately).[344]

Tromlitz similarly expresses his disgust in *Kurze Abhandlung* for what Ardal Powell calls the "mediocre standards of performing and instrument-making current at the time [1786], and his contempt for players and makers who yielded to them" because they lacked the musical sensitivity and knowledge to differentiate between good and bad intonation and tone quality.[345] Tromlitz expands on this idea in *Ausführlicher und gründlicher Unterricht die Flöte zu spielen*, in which he, like Quantz, distinguishes between a "musician" ("*Musikus*"; merely a good player), a "virtuoso" ("*Birtuose*" [Virtuose]; an excellent player), and a "master" ("*Meister*"; a virtuoso combined with the prowess of theoretical knowledge).[346] A master must understand his instrument so he can "push the instrument to its limits with certainty and without overreaching them," must be familiar with the intrinsic qualities of music, and must "know why he does everything he does [and] must build on correct foundations and not leave things in his performance to chance."[347] Even in the appearance of nonchalant execution (as with ornamentation or dissonances discussed above), nothing is haphazard but rather every musical decision is carefully and prudently thought-out and informed. The depth of a player's knowledge about his instrument as well as his virtuoso skill-level are also part of a class

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[344] C.P.E. Bach makes similar claims about a musician's knowledge of music theory in his *Versuch über die wahre Art, das Clavier zu spielen* (Essay on the Proper Manner of Playing A Keyboard Instrument, 1753), Chapter 2, Section 13: "Experience has shown that he who has no thorough understanding of harmony is, in applying the embellishments, always fumbling in the dark, and that he has to thank mere chance, and never his insight, for a fortunate outcome." See Carl Philipp Emanuel Bach, "Essay on the Proper Manner of Playing a Keyboard Instrument," in *Strunk's Source Readings*, 853-4.
[345] Powell, introduction to *The Keyed Flute*, 45.
[346] Tromlitz, *The Virtuoso Flute-Player*, 9, Foreword.
[347] Tromlitz, *The Virtuoso Flute-Player*, 17, Introduction, section 15.

distinction for Tromlitz. He expresses disdain for the average, low-paid town musician who can dabble on several instruments, considering them to be beneath him and his instruction:

> For being able to play only a little on a particular instrument is too little to be worth considering by itself, although fellows like that are also useful, even necessary, and so have their merits. I am talking here only about those who wish to become excellent on an instrument [the intended readership of his flute tutor].[348]

In *Über die Flöten mit mehren Klappen*, Tromlitz still laments the "shortcomings" of "the majority of our professional flute players" who reject his teachings because they are so "mentally undeveloped."[349] In this text, he emends his previous distinction between players based on their knowledge of music, contrasting (1) "Gentlemen amateurs who can only play for their own amusement and have neither the time nor the inclination to learn to play difficult and artificial things that require many [finger] keys," (2) poor professionals who should stick to the "nice, easy" keys in which amateurs play, and (3) "Virtuosi," who by virtue of their patience, musical knowledge, and ear training, can play facilely in all keys.[350] In the middle group is contained the player who "is only someone who makes a living from this instrument, not a Virtuoso; since for this is required a thorough knowledge of music, which he must possess and be able to apply."[351]

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[348] Tromlitz, *The Virtuoso-Flute Player*, 23, Introduction, section 29. Powell notes that Quantz was himself an apprentice town musician and played eleven instruments (Powell, introduction to *The Keyed Flute*, 19).
[349] Tromlitz, *The Keyed Flute*, 68, Foreword.
[350] Tromlitz, *The Keyed Flute*, 81-82, Chapter 3, sections 13-15. The "nice, easy keys" were G Major, D Major, C Major, and E minor because their pitches were mostly in tune and of even tone quality on a one- or two-keyed flute. A virtuoso, on the other hand "must know how to distinguish himself in remote keys by fluency and unexpected harmonic digressions in the melody, and in skilful passages" (Ibid., 69, Foreword).
[351] Tromlitz, *The Keyed Flute*, 70, Foreword.

A person's lack of "understanding" about the workings of his instrument and "laziness" hold him back from musical success and entering the realm of the "Virtuoso":

> After all, he who has thoroughly understood all the techniques indicated in both my works will be in a particular sense a mature, *true flute-player*. For no true flute-playing can exist without the established mechanical technique appropriate to it if everything is to be beautiful and clear. Moreover, anyone who thinks they can do without this is just an organ-grinder, and will remain one. Indeed I maintain that without this correctly established mechanical technique no clear and expressive playing is possible. That this is the truth can be seen in all the musical instruments. Can anyone who does not thoroughly understand how to use the equipment really manage anything exceptional on it? Certainly not[;] he will always remain a bungler…so many people play the flute; all of them try to do something exceptional, and yet there are so few Virtuosi!...There are one or two young people who will spurn this, probably on the incitement of others, either through envy or ignorance, and mistake their lame, totally undisciplined, purposeless playing for the real thing and for true flute-playing, although that is the last thing it is.[352]

In addition to possessing technical knowledge of music production, Quantz says a musician should exhibit calm composure, favoring maturity, experience, and restraint in one's musical execution, composition, attitude, and daily life. This is required not only for superficial reasons but also to stave off vanity, which "produces a false satisfaction, and that is one of the greatest obstacles to growth in music."[353] He argues that "Immoderate and uncontrolled vanity is

[352] Tromlitz, *The Keyed Flute*, 150, Chapter 5, section 96.
[353] Quantz, 26, Introduction, section 20. Joseph Riepel similarly warns his composition students, "You must never boast." See Riepel, 761.

very harmful in general, since it can easily cloud the mind and obstruct true understanding."[354] Thus, one's mien is perpetually composed in order to first hone one's mental discipline, which leads to using one's mental faculties to the best of one's abilities. Quantz's notion of restraint means an avoidance of extremes and a tempering of one's impulses:[355]

> For everything in music that is done without reflection and deliberation, and simply, as it were, as a pastime, is without profit. Industry founded upon ardent love and insatiable enthusiasm for music must be united with constant and diligent inquiry, and mature reflection and examination.[356]

One can also distinguish among composers based on their maturity as well. Quantz asks rhetorically, "If no technical skill is necessary, and natural ability is sufficient, why then do the pieces of experienced composers make a stronger impression?"[357] Tromlitz similarly advocates for the tempering of extremes, especially those of youth: "calm and composure will only come when the wild fire [of youthful zeal] has vanished."[358] He draws on his own personal experience, saying "in my younger day, I thought [my playing] could not possibly be improved,

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[354] Quantz, 25, Introduction, section 20.
[355] Quantz, 126, Chapter 11, section 17. There is a clear parallel between Quantz's line of reasoning and the suggestions by Judith Becker, Frank Putnam, Karen Nesbitt Shanor, and Donald Greene about being able to volitionally control one's entry into a desired mental state. Although Quantz's emphasis on emotional restraint seems to be at odds with Becker's conclusion that people in heightened mental states choose to intensify certain emotional reactions rather than repressing all of them, it seems more plausible that Quantz is advocating for only certain kinds of emotional involvement, rather than no emotional activity whatsoever. He warns flutists to never "execute…without being moved yourself," for example (Quantz, 128, Chapter 11, section 21). See Chapter 2, pp. 17ff.
[356] Quantz, 19, Introduction, section 12.
[357] Quantz, 20, Introduction, section 14. According to Joseph Riepel (1752), youthfulness is a mark of light, frivolous music, for a piece sounds "too youthful [when] its melody loses its *seriousness and maturity*." See Riepel, 759. Emphasis in the original.
[358] Tromlitz, *The Virtuoso Flute-Player*, 321, Chapter 15, section 23.

until in time by hard work, reflection, and experience I found the opposite. Understanding does not come before years."[359]

Performers must also be able to detach themselves from their playing, keeping their performances in perspective and emotions in check rather than becoming entirely caught up in the moment. According to Quantz, controlled and dispassionate distancing help create something that is appropriate and tasteful. Discipline is constraining, it eliminates poor musical choices, and it produces music that is in turn controlled and restrained. Music-making is not a hot, impassioned process but one that requires "deliberation" and "mature reflection and examination."[360] Tromlitz echoes this and expands upon it, saying that the best music relies on the musician's ability to balance his feelings, apply his knowledge of harmony and counterpoint, and adapt his personal taste and temperament into a work that is "unified," not a random cobbling together of bits copied from others.[361] Tromlitz's concern for a player's outward physical appearance and mental state (e.g., "without any anxiety and without constraint or stress") is also a practical one:

> A stiff posture and a nervous grip on the flute have an effect on playing as a whole: everything sounds forced and fearful…A relaxed and unconstrained bearing does not only facilitate playing, but the whole performance becomes freer, more fluent and more

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[359] Tromlitz, *The Keyed Flute*, 150, Chapter 5, section 96.
[360] Quantz, 19, Introduction, section 12.
[361] Tromlitz, *The Virtuoso Flute-Player*, 7-8, Foreword. He is particularly upset with pieces by typical flutist-virtuosos who, "since they do like to compose and wish to put their thoughts on paper, they jot down something incorrect and disorderly, and have someone who knows more about composing, but less about the instrument, sort it out and write in the other parts. In this way many incorrect and unsatisfactory pieces are created; mostly rubbish, and certainly not for practiced players" (Ibid., 9).

pleasing. This fault can be avoided by preparing to play quite freely, without any anxiety and without constraint or stress, and by holding the flute in just the same way.[362]

The notion that all parts of a performance or piece contribute towards a unified main idea is a driving idea in Johann Mattheson's (1681-1764) *Der vollkommene Capellmeister* (The Perfect Music Director, 1739). Mattheson argues that effective music only comes from a composer's skill in inventing, selecting, and arranging ideas to form a coherent whole. He compares intelligible musical pieces to oration, an analogy also employed by Quantz. Sulzer and Tromlitz maintain the same concern for unity throughout a work but drop the oration analogy.[363] The unifying element of a piece of music for all four men is its subject or its character.

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[362] Tromlitz, *The Virtuoso Flute-Player*, 43, Chapter 2, sections 1-2.

[363] This reflects a broader shift, but not a unanimous one, in music aesthetic writings over the 18th century towards treating music as its own aesthetic entity rather than couching it in terms borrowed from the other arts (e.g., writing, painting, and speech). At the same time, musicians' insistence upon relying on the standards of rhetoric for musical composition and delivery also underscore this presentation style as an aspect of the habitus of the learned class. How well a composer adheres to those ideals reveals his absorption of and accordance with the contemporary standards of good education. Johann Philipp Kirnberger, for example, still maintains the importance of imitating oration and poetry in 1776, arguing that a composer must "study diligently" the passions and sentiments because this "field…the composer has in common with the orator and the poet." See Johann Philipp Kirnberger, "The Art of Strict Musical Composition," Volume 2, Part 1, Chapter 4, in *Strunk's Source Readings*, 764.

Table 4.5 Qualities of effective music, 1739-91.

Mattheson, 1739	"But if he [the musician] is moved in a nobler manner and desires to move others with harmony, then he must know how to express sincerely all of the emotions of the heart merely through the selected sounds themselves and their skillful combination, without words, in a way that the auditor might fully grasp and clearly comprehend the impetus, the sense, the meaning, and the expression…as if it were an actual narration…Much more art and a more powerful imagination is required if one wants to achieve this without, rather than with, words."[364]
Quantz, 1752	"Musical execution may be compared with the delivery of an orator. [They both aim] to make themselves masters of the hearts of their listeners… we demand that an orator have an audible, clear, and true voice; that he have distinct and perfectly true pronunciation…that he avoid monotony in the discourse…that he raise his voice in words requiring emphasis, subdue it in others. He must express each sentiment with an appropriate vocal inflection…musical ideas that belong together must not be separated…good execution must be *expressive, and appropriate to each passion that one encounters*."[365]
Sulzer, 1771-74	In the sketch step of the creative process "one's complete attention must always be focused upon the whole so that one can see how every section fits in, and eventually, so one can then work out his ideas while perfecting the individual parts."[366]
Tromlitz, 1791	"In performance, the expression should be regulated according to the main character of the whole. The player can do this much more accurately if the piece is a proper unity in which the sense of the main character is there from the beginning of the piece to the end. Certainly no easy task for the composer! And it is not always so. For every piece, no matter how limited by rules, is nothing other than a fantasy, in which lively, joyful, flattering, sad and suchlike ideas appear by turns according to various passions; so the performer must pay close attention to them and try to express them; and the principal passion, as I have just remarked, must always and especially be evident, as the others are just secondary."[367]

The comparison to oration is not the only vocal analogy used in flute pedagogy. Comparisons to singing are much more prevalent, and its aesthetics, including those of clarity in

[364] Mattheson, 698.
[365] Quantz, 119-124, Chapter 11, sections 1-15. Emphasis in the original.
[366] Sulzer, 64.
[367] Tromlitz, *The Virtuoso Flute-Player*, 325-326, Chapter 15, section 25.

delivery, exert a strong influence over flute aesthetics.[368] According to Caccini, control (i.e., *sprezzatura* and clarity) is a means to achieve a communicative performance in which nothing hinders or hampers the conveyance of one's ideas. In the preface to *Le nuove musiche*, he states that the words should always be understood and clear so that the music can "[enter] into the minds of others and [create] those wonderful effects that writers admire."[369] The more abstract or stylized the delivery, the less clear the intention would be, and the less noble its effect. Quantz's description of what makes a good singer (from which he derives his rubric for a good flutist) strongly recalls Caccini's ideals:

> The chief requirements of a good *singer* are that he have a good, clear, and pure voice, of uniform quality from top to bottom…and which is neither hoarse nor muffled. Only the voice itself and the use of words give singers preference over instrumentalists…he [the singer] must have firmness and sureness of voice…A good singer must have good pronunciation…A good singer must have facility in reading and producing his notes accurately, and must understand the rules of thorough-bass…Where the words require certain passions he must know how to raise and moderate his voice at the right time and without any affectation.[370]

His criteria for instrumentalists are largely the same and emphasize clarity, especially:

> Poor execution is the opposite of that which is required for good execution…Execution is poor, if the intonation is untrue and the tone is forced; if the notes are executed indistinctly, obscurely, unintelligibly, without articulation, feebly, sluggishly, tediously,

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[368] Comparing musical delivery to oration generally is a persistent theme in aesthetic treatises of the 18th century. The singing connection is made explicitly by flutists in nearly every pedagogical text from the 18th century to the present.
[369] Caccini, "Preface," 608.
[370] Quantz, 300-301, Chapter 18, section 11.

> sleepily, coarsely, and dryly; if all the notes are slurred or attacked indiscriminately; if tempo is not observed; and the notes do not receive their true value…and if it is accompanied by all sorts of grimaces…if you contradict the passions that should be expressed.[371]

Tromlitz, too, argues that the best flute tone is that which "comes closest to a beautiful human voice,"[372] and he provides another list of voice-based features by which his readers can discern a good flute player:

> When listening to a flute player…make sure that the player has an agreeable, free and uncramped posture; a beautiful, full, manly, singing, metallic and even tone, and pure intonation; that high and low registers speak well; that his tone is flexible and capable of shading; that there is variety in his playing; that he articulates correctly and has a fluent and clear delivery; that this clarity is aided by exactitude in the movement of his fingers and tongue; that both passage-work and melody are clear, easy and flowing.[373]

The overarching concern with clarity of delivery, such that the execution does not get in the way of the musical content, is predicated on the assumption that mental discipline is an attribute of the composer that can be discerned in the musical product; it would be obscured by an unclear delivery on the part of the performer, and this would spoil the work. For Sulzer,

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[371] Quantz, 127, Chapter 11, section 21.
[372] Tromlitz, *The Keyed Flute*, 170, Chapter 7, section 24. He uses the same analogy in "A Beautiful Tone on the Flute, and its True and Proper Use": "each person thinks that his tone, formed according to his feeling, is the best and most beautiful. According to everything I know about this from experience, a beautiful human voice is the most beautiful tone; and for my feeling a fine human voice is that which is bright, full of timbre, full singing, soft, and flexible. The nearer the flautist comes to this tone, the more perfect must his tone be" (Ibid., 239).
[373] Tromlitz, *The Virtuoso Flute-Player*, 321, Chapter 15, section 23.

mental discipline holds great value in the creative process and the end result. By "paying the strictest attention to the details of every clear idea, so that the parts of the whole will themselves become clear and therefore bring to light other concepts and ideas that border upon them" a composer can "open up entirely new terrain" and "strengthen" "one's power of invention."[374] The composer's success is predicated on his ability to achieve the correct mental state in which his mind is clear and intently focused:

> He should banish all other thoughts, leaving only a clear conception of his goal in his soul. His attention should be focused only upon this. If this does not happen, he should withdraw himself into isolation. He will eventually begin to associate everything that comes to mind with his subject, just as the spiritual leads to abundance, devotion to salvation…It is of the utmost importance, though, that the artist have his purpose so clearly and completely fixed in his mind that nothing uncertain remains.[375]

Because composition was a prominent aspect of his career, Quantz is explicit, and his discussions lengthy, with regard to composition. He shares Sulzer's concerns and enumerates musical features that he believes demonstrate coherence within movements and across multi-movement works. If musical features such as these are present, then a listener and a performer can be sure that the composer was concerned with and capable of demonstrating musical unity (i.e., his mental control).

[374] Sulzer, 57-8.
[375] Sulzer, 58.

Table 4.6 Quantz's features of musical coherence.

Musical feature	Proper compositional technique
Recurring ritornelli	Concerto grosso: "The inner tutti sections must be short"[376] Solo concerto: "The best ideas of the ritornello must be dismembered, and intermingled during or between the solo passages."[377] "…these sections [solo passages] must also alternate with short, lively, and majestic tutti sections, in order to sustain the fire from beginning to end"[378] "The melody of the principal part must alternate with the interspersed tutti sections" (concerto 2nd movement)[379] "From time to time some portions of the ritornello must be introduced"[380]
Repetition	Concerto grosso characteristics: "(8) Before the close [of the movement] the instruments must effect a short repetition of what they had at the beginning [of the movement]. (9) The last tutti must conclude with the most forceful and majestic ideas of the first ritornello."[381] Solo concerto: "The ritornello… must have at least two principal sections. The second, since it is repeated at the end of the movement, and concludes it, must be provided with the most beautiful and majestic ideas."[382] "The *first Allegro* [of a solo piece] requires… some beautiful and well-chosen phrases at the end of the first part which are so adjusted that in transposed form they may again conclude the last part"[383]
Key areas	Solo concerto: "Correct and natural progression must always be observed, and any too-distant key that might offend the ear must be avoided."[384] "If the Allegro [concerto 1st movement] is written in a major tonality, for example in C major, the Adagio may be set, at one's discretion, in C minor, E minor, A minor, F major, G major, or G minor. If however, the first Allegro is written in a minor key, for example, C minor, the Adagio may be set in E flat major, F minor, G minor, or A flat major. These sequences of keys are the most natural ones. The ear will never be offended by them, and the relationships are acceptable for all keys, whatever their names."[385]

[376] Quantz, 311, Chapter 18, section 31.
[377] Quantz, 311, Chapter 18, section 33.
[378] Quantz, 312, Chapter 18, section 33.
[379] Quantz, 314, Chapter 18, section 37.
[380] Quantz, 314, Chapter 18, section 37.
[381] Quantz, 311, Chapter 18, section 31.
[382] Quantz, 312, Chapter 18, section 33.
[383] Quantz, 319, Chapter 18, section 49.
[384] Quantz, 312, Chapter 18, section 33.
[385] Quantz, 313, Chapter 18, section 35.

In addition to these features, Quantz also says that the music which precedes an opera should be related to the drama, either musically or in terms of affect,[386] and he prefers that passage work in solo pieces directly relate to the main melody.[387]

Quantz enumerates the musical attributes that a piece must exhibit if it is to be deemed serious, and he assumes that anyone reading his work equally aspires to such seriousness.[388] His descriptions of serious music align with his litany of more general positive attributes that allude to nobility (listed above in Table 4.1), and the absence or inconsistency of these features would point to a composer's lack of mental discipline. He provides a list of details by which one can discern if a composer has met the criteria of cultural expectations and mental control in a variety of instrumental genres (e.g., solo concerto, concerto grosso, overture, sinfonia). A performer's improper execution or interpretation would, by the same token, also indicate his lack of musical understanding and mental control. Quantz does not ever discuss truly light music, although he occasionally refers to creating more "gay" or "galant" musical settings within a serious piece, such as the third movement of a solo concerto, which should feature a "principle part" (i.e., solo theme) that is "pleasing, fleeting, and light."[389] The implication is that serious music (i.e., that which is more expansive and heavier) requires a level of control and refinement that simpler,

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[386] Quantz, 316, Chapter 18, section 43. Chapter 18 is titled, "How a Musician and a Musical Composition Are to Be Judged."
[387] Quantz, 319, Chapter 18, section 49.
[388] This tacit assumption recalls Gioseffo Zarlino's (1558) assertion that the rules of counterpoint are "not only useful but also most necessary to those who seek to train themselves in a regular and well-ordered way of composing music of any kind and in a learned and elegant manner, with good reasons and good foundations." See Zarlino, Chapter 27, 439-40.
[389] Quantz, 315, Chapter 18, section 39.

light, popular music does not, and so Quantz does not need to go into detail concerning the latter.[390]

Table 4.7 Musical qualities that define "serious" music according to Quantz.

Attributes	Quantz's descriptions
Majestic quality	"At the beginning [of a concerto grosso] a majestic ritornello must appear which is more harmonic than melodic, more serious than jocular"[391] "A majestic ritornello must be carefully elaborated in all the parts [in a solo concerto]"[392] "An *overture*… requires a grave and majestic opening"[393] "…*sinfonias*, which have the same purpose as overtures, require the same qualities of majesty in their ideas"[394]
Pleasing melodies	"…imitations [in a concerto grosso] should consist of short and pleasing ideas"[395] "The melodies must be pleasing and intelligible [in a solo concerto]"[396] "The episodes [in a trio]… must be pleasing and brilliant"[397] "The *first Allegro* [in a solo work] requires: (1) a melody that is flowing, coherent, and rather serious"[398]
Large ensemble	"A concerto of this kind [concerto grosso] requires a large accompanying body, a large place to perform it, a serious performance, and a moderate tempo."[399] "A *serious* concerto *for a single instrument* with a *large accompanying body*…"[400]

[390] More complicated, difficult, and serious music is the purview of better composers, as suggested by Heinrich Christoph Koch, in his *Versuch einer Anleitung zur Composition* (Introductory Essay on Composition, 1782-93): "7. It is recognized as a general rule that with every skill to be acquired, one must proceed gradually from the easier to the more difficult, from the simpler to the more complicated." See Heinrich Christoph Koch, "Introductory Essay on Composition," Volume 3, Part 2, Section 4, in *Strunk's Source Readings*, 790. Volume 3 of Koch's work was published in 1793.
[391] Quantz, 310, Chapter 18, section 31.
[392] Quantz, 311, Chapter 18, section 33.
[393] Quantz, 316, Chapter 18, section 42.
[394] Quantz, 316, Chapter 18, section 43.
[395] Quantz, 311, Chapter 18, section 31.
[396] Quantz, 311, Chapter 18, section 33.
[397] Quantz, 317, Chapter 18, section 45.
[398] Quantz, 319, Chapter 18, section 49.
[399] Quantz, 311, Chapter 18, section 31.
[400] Quantz, 311, Chapter 18, section 33.

Slow harmonic motion	"One [a first ritornello] that is composed seriously, majestically, and more harmonically than melodically… in which the harmony does not change by quavers or crotchets but by half and whole bars, must have a large accompanying body."[401]
	"The caesuras or divisions of the melody [in a solo concerto] must not fall on the second or fourth crotchets in common time, or on the third or fifth beats in triple time. The metrical scheme must be continued as it is begun, whether by whole or half bars, in in triple time by two, four, or eight bars."[402]
	"Not all the various types of meters are equally appropriate for the first movement of a majestic concert. If it is to be lively, common time may be used [in which] caesuras [fall] on the second half of the bar. If the aforesaid first movement is to be majestic as well, a broader metrical scheme should be chosen, in which the caesura regularly occupies the entire bar and falls only on the downbeat."[403]
	"Generally… the harmony usually changes only by full bars"[404]
Counterpoint	"The imitations must be correct [in a solo concerto]"[405]
	"The fundamental part must sound well, and be appropriate to the bass"[406]
	"If it is possible, a good effect is produced if the passage-work [of the solo part] is invented in such a way that the accompanying parts are able to introduce a recognizable portion of the ritornello simultaneously."[407]
	"…a brilliant and well-elaborated principal subject [in an overture]"[408]
	"A *quartet*… is the true touchstone of a genuine contrapuntist, and is often the downfall of those who are not solidly grounded in their technique."[409]
	"A good quartet requires: (1) a subject appropriate for treatment in four parts… (3) short and correct imitation… (6) ideas that can be exchanged with one another, so that the composer can build both above and below them… (9) if a fugue appears, it must be carried out in all of the four parts in a masterful yet tasteful fashion, in accordance with the rules."[410]

[401] Quantz, 311, Chapter 18, section 32.
[402] Quantz, 312, Chapter 18, section 33.
[403] Quantz, 313, Chapter 18, section 34.
[404] Quantz, 313, Chapter 18, section 34.
[405] Quantz, 311, Chapter 18, section 33.
[406] Quantz, 311, Chapter 18, section 33.
[407] Quantz, 312, Chapter 18, section 33.
[408] Quantz, 316, Chapter 18, section 42.
[409] Quantz, 316, Chapter 18, section 44.
[410] Quantz, 317, Chapter 18, section 44.

	"A *trio* does not require quite so much laborious effort as a quartet, but if it is to be good, it does require almost the same degree of skill on the part of the composer."[411] "…in a trio… (3) One part must not present anything that cannot be repeated by the other… (6) Both of the principal parts must be written in such a way that a natural and harmonious bass part can be placed beneath them. (7) Should a fugue be introduced, it must be carried out, as in a quartet, both correctly and tastefully in all the parts, in accordance with the rules of composition."[412]
Appropriate meters	Common time, alla breve; "Generally triple time is little used for the first movement [unless the harmony changes only at the bar lines]"[413] "It [the last movement of a concerto] must never be in common time, however, since this would be too serious."[414]

Similarly, Tromlitz speaks of the seriousness of the "great Adagio," a sonorous, timbrally rich, harmonically profound, and deeply expressive inner movement, and argues that without it, the value of a flute concerto is greatly diminished. Rather than exploring the depths of their compositional skill (assuming they have them), composers instead produce un-serious or, following Quantz, easy and unimportant music:

> Thus it will remain [i.e., that the flute concerto is harmed], as long as someone or other does not dare to depart from this fashion [of composing only for the high register] and compose more seriously and suitably for each movement. Nowhere is this more missed than in *Adagios* in concertos; in their place one finds a *little melody* or a meaningless Romance. The great Adagio composed for feeling and harmonic knowledge together is almost completely lost. In general most of our flute concertos today fall far below the

[411] Quantz, 317, Chapter 18, section 45.
[412] Quantz, 317, Chapter 18, section 45.
[413] Quantz, 313, Chapter 18, section 34.
[414] Quantz, 314, Chapter 18, section 38.

> greatness and value of a genuine concerto, and compared with such are often only a pleasant little tune.[415]

Tromlitz blames this entire genre's loss of esteem on composers' almost exclusive use of the flute's upper register in all three movements. Because composers do not understand how to properly write for the full range of the instrument, they never fully realize its expressive possibilities and thus cheapen the entire repertoire.

Tromlitz is not alone in his dismay at the state of contemporary concerti. Heinrich Christoph Koch (1793) argues that "If concertos were composed and performed more generally according to a better model, then many men of taste would be more satisfied with this type of composition."[416] Sulzer, much like Tromlitz, disparages the use of a romance in a concerto because its "Ideas and expression must be of the utmost simplicity and very naïve."[417]

The compositional features enumerated by Quantz and Tromlitz are not sufficient on their own for producing a meaningful musical work; they are the minimal criteria for good music. The real fruit of the composer's labors is what Sulzer calls the layout, which "demands the most genius. A work accrues its greatest value on the basis of its layout. It constitutes the soul of the work, and firmly establishes that everything belongs to its inner character and intended effect."[418] This is what makes a work comprehensible. The performer, using his mental faculties and discretion, must be able to discern not only the character but also the layout of a work in order to inform his execution. If he fails to do so, he will perform disingenuously and in a manner that destroys the soul of the work:

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[415] Tromlitz, "A Beautiful Tone," 240.
[416] Koch, 815.
[417] Koch, 819, quoting Sulzer, *Allgemeine Theorie*, "Romanze."
[418] Sulzer, 66.

> An imperfection in the layout robs the artist of the fire and fortitude necessary for a work's realization. Partial elements of beauty will not be enough to hide the flaws in the layout. It is better to throw out completely a work with an imperfect layout than it is to expend effort in trying to carry out its realization and elaboration.[419]

Failure to contain oneself, to play judiciously and skillfully, or to remain focused on the composer's intentions would ruin the piece's ability to communicate clearly. A work can only be understood if all its component parts clearly contribute to the whole and if, Quantz argues, the performer is sure to "make use of such expressions as the other [i.e., the listener] understands…If we execute these ideas in an obscure and bizarre manner which is incomprehensible to the listener and arouses no feeling," the performance would be useless.[420]

"Uselessness" describes music that is purely superficial. Because it bears no markers of mental discipline, it offers no intellectual or emotional value. Caccini argues that the florid delivery of *passaggi* (i.e., the exact opposite of *sprezzatura*) "[offer] no pleasure other than what harmony grants to the ear alone (since the mind cannot be moved by such music without understanding the words)."[421] A singer, moreover, must have judgment against displaying too much art, as in livelier pieces that do not need additional affective gestures. Quantz repeats a similar admonition, arguing that "A long series of quick notes does not always suffice. They may, indeed, excite admiration, but they do not touch the heart as easily as the plain notes, and this, after all, is the true object of music, and the most difficult one."[422] Erroneous interpolations

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[419] Sulzer, 66-67. A player might conceivably destroy the layout of by altering instrumentation or orchestration, inserting a cadenza, or embellishing the melody with disregard to the harmony.
[420] Quantz, 120, Chapter 11, section 7.
[421] Caccini, "Preface," 612.
[422] Quantz, 139, Chapter 8, section 9.

or interpretations would run counter to the very essence of the work and make it incomprehensible by obscuring what Sulzer dubs the "fundamental purpose" of the work:

> Every good work of art must have a fundamental purpose against which everything can be measured. Where no purpose can be discovered, the invention cannot be judged…Whenever after careful contemplation one cannot discover how the parts of some work cohere, or what the aim of the artist's intention is, one has good reason for supposing that the invention itself is faulty.[423]

Similarly, Tromlitz's ideal flutist uses his knowledge and sensitivity to guide him towards good choices in execution:

> For in Music anything that is done without consideration and careful judgment is worthless rubbish. Even if someone plays, composes and sings ever so much, but bestows little care on the critical faculties, he will always remain in the ranks of the musical day-labourers [*musikalischen Tagelöhner*].[424]

The performer's success results from careful, assiduous, disciplined work; the player "must go to work carefully, and introduce nothing into his performance that could detract from the principal character of the piece."[425]

Mental Control Yields a Transportative Performance

In this final listening perspective, the value of mental and physical control lies in the (emotionally) moving effect of the entire musical experience. The performer and the composer have put everything in the right place so that everything contributes to the whole experience, and

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[423] Sulzer, 64.
[424] Tromlitz, *The Virtuoso Flute-Player*, 20, Introduction, section 20.
[425] Tromlitz, *The Virtuoso Flute-Player*, 322, Chapter 15, section 24.

therefore the whole experience is coherent and moving. Neither Quantz nor Tromlitz is explicit about achieving metaphysical transcendence via flute playing (no one is), but their concerns resonate with the means and ends advocated by Sulzer, Immanuel Kant (1724-1804), Christian Gottfried Körner (1756-1831), and Gottfried Wilhelm Leibniz (1646-1716): a musician's skill (because of his mental control) creates aesthetic experiences that extend beyond simple pleasure, and these experiences and one's appreciation thereof are a referendum on having a soul.[426] Part of the value of music is being able to control the listener's mind on a deep level beyond simply moving the affections or stimulating intellectual understanding. In this final iteration of the listening paradigm, the meaningful musical experience is not contained in the music or in the listener but in an intangible place of convergence located outside any physical phenomena.

The quality of the mental exercise in which the musician engages yields an aesthetic experience that can be categorized according to Kant's *Kritik der Urteilskraft* (Critique of Judgment, 1790) as being merely pleasurable, good, beautiful, or sublime.[427] Sulzer offers a similar distinction among the kinds of beauty a musical experience can exhibit, based on the quality of the ideas, the ordering of the ideas, and the plan of a work which make it possible to

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[426] Zarlino suggests this same argument in *Istitutione harmoniche* (1558), namely that if the harmony of the soul is synonymous with the harmony of the universe, and if good music has the ability to enjoin them back together, then appreciation of music and one's musicking (including judgment of music) is an indication of a listener's soul by means of its ability to feel at one with music that reverberates with the harmony of the universe: "It is thus confirmed that there is no good thing that does not have a musical disposition. And truly music, beyond merely raising our spirits, leads man back to the contemplation of celestial things and has such power that it perfects everything it is joined to." See Zarlino, 297

[427] Immanuel Kant, *Critique of the Power of Judgment*, trans. Paul Guyer and Eric Matthews (New York: Cambridge University Press, 2000). Experiences which are merely pleasure are those which cause a positive physical sensation; those which are good fulfil a function or fit a purpose. Those which are beautiful offer something in addition that is independent of their function or purpose. In order to claim something to be beautiful, one must believe that others will similarly judge it to be beautiful. Finally, experiences or objects which are sublime offer something that is beyond comprehension. In a sublime experience, one is both confronted with the infinite andis able to recognize that infinitude.

commune with the moral or spiritual power a piece has to offer. The logic inherent in a piece distinguishes its beauty as either simple material beauty,[428] material beauty with functionality,[429] or beauty that also possess moral power.[430] This final version is that which "ascends to the sublime…where the matter conveys an impression of spiritual power, where the soul becomes visible." It is "the highest beauty." Only the greatest, most disciplined, organized, and thoughtful pieces and performances can achieve sublimation. Quantz and Tromlitz similarly distinguish between levels of performers (as described above), suggesting that the inner discipline of the player (i.e., his mental engagement and knowledge) makes him a stronger conduit for an emotional experience.

A musical experience that is unified is understandable and also simultaneously has the ability to breach new planes of metaphysical meaning or insight. Its success rests on its musical creators' mental discipline, which is the source of aesthetic meaning for Körner. In *Über Charakterdarstellung in der Musik* (On the Representation of Character in Music, 1795), he argues that mental discipline distinguishes art from mere happenstance, saying that "as a human product, it [i.e., art] should be differentiated from the effects of blind chance by evidence that it has been properly constructed. This is the basis of the law of unity. The superior composer tries to give his works this quality."[431] Leibniz has a more far-reaching conclusion, arguing in "On

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[428] Simple material beauty is "orderly, but lack[s] any particular function" (Sulzer, 67); "we can recognized certain regularities…form is easily perceived, and is one of which we can fashion a more or less clear and distinct idea. They possess a kind of inert beauty that… arises from both unity and diversity" (Ibid., 67-68).
[429] Functional beauty refers to "objects whose shape is a result of properties particular to their specific function" and is found in animals and plants (Sulzer, 67).
[430] Moral beauty is that "in which it may be discovered, in addition to all the previously mentioned qualities, an inner life and moral efficacy" (Sulzer, 67).
[431] Christian Gottfried Körner, "Über Charakterdarstellung in der Musik," in *Music and Aesthetics in the Eighteenth and Early Nineteenth Century*, eds. Peter Le Huray and James Day (New York: University of Cambridge, 1981), 237.

what is independent of sense and of matter" (1702) that organization and coherence give a musical experience not just aesthetic meaning but also metaphysical meaning. Methodically tapping into our mental faculties achieves oneness with the universe and makes us "resemble God in a small way, as much through our knowledge of order as through the order we ourselves can give to things within our grasp, in imitation of the order God gives the universe. It is also in this that our *virtue* and perfection consists."[432]

To this end, the performer's role in creating a meaningful musical experience requires not only discerning and hewing close to the composer's plan but also maintaining control and clarity in the placement of notes, both temporally and in pitch space. Much in the way that Leibniz describes pitches as having a central place in the harmonic universe,[433] Tromlitz says that "so much" depends on playing in tune.[434] He greatly expands on Quantz's insistence on the use of separate keys for D-sharp and E-flat, devoting the lion's share of *Über die Flöten mit mehren*

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[432] Gottfried Wilhelm Freiherr von Leibniz, "On what is independent of sense and of matter, Letter to Queen Sophia Charlotte of Prussia, 1702", in *Philosophical Essays*, trans. Roger Ariew and Daniel Garber (Indianapolis: Hackett Publishing Company, 1989), 192.

[433] In *La Monadologie* (1714), Leibniz outlines his acoustical principals, stating that musical logic and unity are tied to metaphysical oneness with the universe. See Gottfried Wilhelm Freiherr von Leibniz, *The Monadology*, trans. Robert Latta (Blacksburg, VA: Virginia Tech, 2001). Any sense of perfection, unity, or power that a work displays is due to the influence of God (Ibid., 5-7, sections 42-58), and the best works act as a "perpetual living mirror of the universe" and its fundamental structure (Ibid., 7, section 56).

[434] Tromlitz, *The Virtuoso Flute-Player*, 116, Chapter 6, section 13. The failings of a player's mental discipline result in poor intonation: having "a bad embouchure, or a musically spoiled ear…or [selecting] an out-of tune flute, which is still usual with instrument-makers' flutes" (Tromlitz, "A Beautiful Tone," 239). He also refers to the ear as a player's best guide for intonation on several occasions in *Über die Flöten mit mehren Klappen*: "A trained ear will very easily be able to manage [C-sharp Major]" (Ibid., *The Keyed Flute*, 142, Chapter 5, section 87); "The player's ear will judge; and this is not difficult on a correctly tuned flute" (147, Chapter 5, section 92); "A trained ear will find the way without a guide [in D-flat minor]" (148, Chapter 5, section 94). A player's ear is also the best guide for tone quality: "To give rules about the various positions of such different lips would be ridiculous. His ear will guide anyone who knows a good and beautiful tone as I described it in my [1791] Tutor" (171, Chapter 7, section 24).

Klappen to describing how to use his eight-keyed flute to produce pitches whose intonation and tone quality align with their harmonic function.[435] A player's inattention to these aspects of execution doesn't just mark him as an amateur, although it certainly accomplishes that;[436] it also destroys the trance of the listener who is distracted by pitches being out of place and colors that pop out of or recede from the timbral texture. The listener's ear is drawn to these irregularities rather than to the genius of the work, its plan, or its message, meaning that a player's intonation and timbral evenness determine whether a musical experience is "excellent" or "miserable."[437] Tromlitz deems unevenness and out-of-tune playing to be "generally unbearable,"[438] "poor,"[439] "wretched,"[440] "unusuable,"[441] and "deficient."[442] However, when a player draws upon his "thorough knowledge of music" and assiduous training, he can play new musical ideas, travel to remote keys, and produce a "marvellous and exquisite effect" for the listener.[443] Müller repeats Tromlitz's claim that good intonation can produce a wondrously moving effect for the audience, as well as the player:

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[435] Tromlitz, *The Keyed Flute*, 78-150, Chapters 3-6. Throughout this work, and in these chapters in particular, Tromlitz insists that other instrument makers' flutes are out of tune while his are not. Contemporaries praised Tromlitz's intonation and tone in performance as being "strong and cutting" and especially even (Powell, introduction to *The Keyed Flute*, 41-42). Tromlitz's obituary in *Allgemeine musikalisches Zeitung* praised his "complete purity [of intonation] and security of tone [and] precision in performance" (Ibid., 50).
[436] Tromlitz, *The Keyed Flute*, 81, Chapter 3, section 13.
[437] Tromlitz, *The Keyed Flute*, 117, Chapter 5, section 56. In this passage, Tromlitz is specifically referring to his eight-keyed flutes as "excellent" and one-keyed flutes as "miserable," but throughout the chapter, it is the eight-keyed flute's evenness of tone and control of intonation that makes it a better instrument. The instrument is shorthand for the kind of player with which it is associated, whether master (eight-keyed) or amateur (one-keyed).
[438] Tromlitz, *The Keyed Flute*, 101, Chapter 5, section 29. He is referring to the effect of a sample melody in E Major.
[439] Tromlitz, *The Keyed Flute*, 109, Chapter 5, section 40. The key in question is F minor.
[440] Tromlitz, *The Keyed Flute*, 112, Chapter 5, section 46. He is writing about F-sharp Major.
[441] Tromlitz, *The Keyed Flute*, 113, Chapter 5, section 48. He is referring to F-sharp minor.
[442] Tromlitz, *The Keyed Flute*, 144, Chapter 5, section 90. This is describing a passage in C-sharp minor.
[443] Tromlitz, *The Keyed Flute*, 70, Foreword.

> I shall say no more about how much more useful the flute has become in general by means of it [i.e., adding finger keys to the flute], e.g. what a beautiful effect in ensemble music a pure and pleasant, sustained, cutting third makes, A-flat—C, G-sharp—B, G—B-flat; what a beautiful inner part between oboe and clarinet, which for a player without keys is a *terra incognita*![444]

Quantz and Tromlitz's admonitions that a player must control the sound he makes, always striving for a beautiful tone and pure intonation, not only ensure an inoffensive or merely correct performance; they allow for the *possibility* of a transcendent one.[445] Leibniz, for example, believes that creating a cohesive and orderly musical experience is a means of comprehending the larger truths about the universe and higher levels of order. He argues that "every time we penetrate to the bottom of things we find there the most beautiful order that can be desired, even surpassing what we expected."[446] By producing a logical piece (or, implicitly, performance), Körner says that "He [i.e., the composer] must raise us to his level from our lowly, circumscribed state of dependence and represent to us the Infinite, an Infinite that can otherwise come to us only by intuition."[447] This infinitude "is embodied for us in the representation of character."

When the composer "represents" to the listener "the Infinite" and "character," it is because the composer has been able to access the depths of his being (i.e., his intuition) in order to bring them to the surface. In *Solitaire premier ou prose des Muses & de la fureur poétique*

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[444] Müller, 238.
[445] Riepel (1752) similarly warns his students that "Also the rules by themselves do not amount to so much." See Riepel, 761.
[446] Leibniz, "On what is independent," 192.
[447] Körner, 237.

Pontus de Tyard (First Solitaire or Prose on the Muses and Poetic Furor, 1522) refers to a musician's ability to commune with a kind of higher knowledge (which would allow him to create meaningful works) as an experience of the soul being "awakened from bodily torpor and sleep to intellectual vigilance."[448] Realizing "the Infinitude" is synonymous with a kind of religious enlightenment:

> [The soul] is summoned back from the shadows of ignorance to the light of truth, from death to life, from a deep and stolid forgetfulness to a remembrance of divine and celestial things; so that finally it is moved, impelled, and incited to express in verses the things it foresees and contemplates.[449]

This is why a composer's mental alertness and discernment are an indicator of value; having musical insight is proof of having had a deep (spiritual) experience. The best works are the result of communing with a sense of higher order, and those works which are not moving are proof of the composer's lack of contact with a higher power. Tyard suggests that "whomever the Muses had not graced with their furor and whomever God had not looked upon propitiously and favorably would approach in vain and make cold and wretched works."[450]

Sulzer refers to the coherence of content and form as a kind of truthfulness that shines through any superficial features and creates an experience in which "One gladly pardons an external defect on account of inner excellence."[451] The "content" of a musical experience is more important than its "form" (i.e., surface), although of course "The more perfectly both can

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[448] Pontus de Tyard, "First Solitaire or Prose on the Muses and Poetic Furor," in *Strunk's Source Readings*, 397.
[449] Tyard, 397-8
[450] Tyard, 398.
[451] Sulzer, 73. This contradicts Tromlitz's experience of good posture saving a mediocre performance (described above, see p. 79), highlighting the gap between theory (Sulzer) and practice (Tromlitz).

coincide, the more excellent will be the work."[452] The performer's inner excellence similarly comes from inside himself rather than his technique. It is the guiding force that gives his performance something to say at all, and it creates musically-refined execution, not merely a brilliantly technical show. The performer's job (and joy) comes from tapping into a deep, inner, soul-like place and bringing that purity of intention to the surface. Quantz warns the flutist never to "execute everything without feeling, without sentiment, and without being moved yourself" because it would suggest that "you have the aspect of having to sing or play in commission for someone else."[453] Tromlitz similarly notes that one should make sure when listening to a flutist "that he plays from the soul, and his playing is full of feeling and expression":[454]

> [O]ne speaks through the sounds one makes; through them one communicates one's own feelings to the soul of the listener, making him sad or happy; one can speak to him from the heart and from the spirit, and impress upon his heart with the greatest immediacy everything that one feels. You can at least try: if you do not quite succeed in everything, you will be at least partially successful, and later, with continuous practice, the rest will come too…one must speak it from the soul.[455]

According to Tromlitz, a virtuoso's performance is superlative because it "lack[s] nothing" in terms of technique, feeling, or refinement.[456] His execution and evenness of tone

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[452] Sulzer's argument echoes a similar suggestion offered by Marsilio Ficino, namely that the simultaneous presence and coordination of several levels of excellence amplifies the moving effect the music has on the listener. See Chapter 3, pp. 57f.
[453] Quantz, 128, Chapter 11, section 21.
[454] Tromlitz, *The Virtuoso Flute-Player*, 321, Chapter 15, section 23.
[455] Tromlitz, *The Virtuoso Flute-Player*, 326, Chapter 15, section 34.
[456] Tromlitz, "A Beautiful Tone," 242.

have a special kind of "beauty" and "power" that compels the listener to be moved.[457] This "power" is the player's inner essence coming forward and inspiring changes in tone color. If he plays "at one strength, whether weak and soft or strong and powerful, [it] is like a machine, in which there is no feeling."[458] It is mental discipline that allows this most necessary, central component of the music, namely feeling, to touch the listener. Being able to feel moved is possible only due to mental discipline, according to Leibniz, who says that "order in the body" (i.e., physical control) allows for "the universe" to be "represented in the soul."[459] This means

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[457] Tromlitz, *The Keyed Flute*, 103, Chapter 5, section 32.

[458] Tromlitz, "A Beautiful Tone," 240. Tromlitz's characterization of uniform playing to be "like a machine" illustrates a shift away from nobility as an overarching concern in late-18th century musical execution (even though it continues to exert influence in other ways). Caccini (1602) had previously described a singer who used the same inflections all the time as "indiscriminate," implying a lack of discernment found in members of the lower classes. Tromlitz's concern, however, is with a general representation of humanity. See above, pp. 82ff.

[459] Leibniz, *The Monadology*, 8, section 63. Leibniz's argument places him in line with those of several medieval and Renaissance writers for whom music's power is a result of divine intervention, the communing of the musician with the higher power of God, in combination with one's mental discipline or focus. Tyard (1552) argues that the soul, having descended from heaven, is trapped in the body and its earthly pleasures ("bogged in earthly mire"); music (along with poetry) helps elevate the soul back towards its original source ("to join with the sovereign one, restoring it to its earlier unity"). The body, or physical constraints, is something to overcome, and when the soul is focused on bodily things, "Its superior part is asleep." Music helps awaken the soul and encourages its "divine furor" (stairway) back upwards, but only the soul that "is occupied and entirely directed toward and intent on the holy and sacred Muses who have found it to be docile and ready to receive the form they impress upon it" will experience a "ravishment of the soul." See Tyard, 395-397.

Niceta of Remesiana also alludes to mental discipline in musicking from a religious perspective in *On the Benefit of Psalmody* (4th c.), saying "The Apostle says…'I will sing with the Spirit, I will sing with understanding,' that is, with both voice and thought." See Niceta of Remesiana, "On the Benefit of Psalmody," in *Strunk's Source Readings*, 129. Niceta also enumerates aspects of poor musical execution that ruin the spiritual effect of the music: "Those, however, who are not able to blend and adapt themselves to the others, ought better to sing in a subdued voice than to create a great clamor; and thus they will fulfill their liturgical obligation and avoid disrupting the singing community. For it is not given to all to possess a supple and pleasing voice" (Ibid., 131).

In *Istitutiones divinarum et saecularium litterarum* (Fundamentals of Sacred and Secular Learning, 6th c.), Cassiodorus speaks of the necessity of mental discipline in order to produce music that has the ability to unlock higher levels of spiritual knowledge: "The discipline of

that disciplined control of tone and intonation (i.e., musicking that results from "order in the body") are the most important aspects of flute playing—they are the conduits of the player's soul and they make the central components of the composer's ideas (i.e., "the universe" and its higher levels order) palpable for the listener. Tromlitz argues that players must ensure fundamental correctness in execution, not superficial correctness, similar to Sulzer's inner excellence-external defect dichotomy: "a mediocre performance with a beautiful tone and pure intonation [i.e., fundamental correctness in execution] will always have a better effect than all the skill in the world without these two elements [i.e., superficial correctness]."[460] Technical skill without inner excellence is worthless.

It may seem contradictory that players would adopt the detachment of *sprezzatura* and the confines of emotional composure while simultaneously advocating for deep, personal emotional content in performances. However, one result of an easy, effortless performance style is that the necessary behind-the-scenes toil, practice, and work are hidden, allowing the performance to appear to be limitless.[461] According to Tromlitz, a player who uses physical

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music is diffused through all actions of our life. First it is true that if we perform the commandments of the Creator and with pure minds obey the rules he has laid down, then every word we speak, every pulsation of our veins, is related by musical rhythms to the powers of harmony." See Cassiodorus, "Fundamentals of Sacred and Secular Learning," Section V, in *Strunk's Source Readings*, 144.

Marsilio Ficino, too, believes music helps the spirit (an intermediary he distinguishes between the body and soul) commune with "the celestials" in *De vita libri tres* (Three Books on Life, 1489): "when it [song] imitates the celestials, it also wonderfully arouses our spirt upwards to the celestial influence and the celestial influence downwards to our spirit." See Marsilio Ficino, *De vita libri tres* (Three Books of Life), Book 3, Chapter 21, in *Strunk's Source Readings*, 387.

[460] Tromlitz, *The Virtuoso Flute-Player*, 115, Chapter 6, section 10.

[461] Francesco Coli offers an example of *sprezzatura* being an avenue to limitless musical meaning in his praising of the singer Signora Tonina in *Pallade veneta* (Venetian Pallas, 1687): "This *virtuosa* has a voice that is a gift from nature and is so unaffected, mellifluous, artful, and expressive of the *affetti*, adorned with so much grace, and of a bearing so elegant, that she has no equal. Her *passaggi* are so skillful…When we got to those words of the psalm, *Matrem filiorum*

contortions to seem expressive is in actuality defrauding his listeners and "concealing the truth" of his music either by forcing listeners to acknowledge the physical person executing the piece or by distracting listeners from the deeper aesthetic experience they could be having.[462] Even when the performer interjects his own musical ideas in the form of embellishments or variations, it should be done seamlessly and without calling attention to oneself:

> But as already stated, you must have no other intention than the enhancement of the material [of the written music and its character]; so that it may not seem as though you just wanted the listener to notice how well you could make variations. The listener must not have any idea whether you are ornamenting or not: everything that happens must surprise him, and then it will not matter to him where it comes from, as long as it is there.[463]

An effortless exterior means that the mortal, earth-bound quality of the performer is hidden, even though his innate, soulful human-ness is not—he can appear to invent out of thin air, magically, divinely, because of the cultivation of simplicity in his demeanor. This "apersonal" musical display portrays the performer as a mere conduit for deeper levels of expression (either through the composer's voice or something bigger than the composer himself), and simultaneously is potentially boundless or infinite precisely *because* of the personal element of performing (i.e., the musician's soulful connection with the Infinitude). For Tromlitz, the end result of the player's hard work is being able to share a unique emotional experience because

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laetantemi [Ps. 112], she opened the richest musical treasures and majestic display of as much as could be shown in this plentiful gallery of song." See Francesco Coli, "Pallade veneta," in *Strunk's Source Readings*, 562-3.

[462] Tromlitz, *The Virtuoso Flute-Player*, 6, Foreword.

[463] Tromlitz, *The Virtuoso Flute-Player*, 308-309, Chapter 14, section 6.

"almost everyone feels, and therefore performs, differently."[464] A piece can take on myriad guises (and thereby myriad meanings) in the hands of different interpreters. The source of autonomous music's power is the experience of communing with the unknown, of opening one's eyes to unforeseen perspectives, and of feeling the desirous pull in a harmonic progression or melodic line that constitutes the ephemeral musical moment shared between the performer and the listener. In its teleological return to the home key, Körner says that "it [music] symbolizes the unknown something which can be imagined as an individual object, the sum of many objects, or as the external world in its entirety."[465] His sense of infinitude would be impossible if the performer played the tonic, upon its harmonic arrival, a quarter tone flat or with an airy tone quality.[466] The meaning in a piece of music lies in the unknown world that a skilled performer conjures for the listener without seeming to do so at all.

The sum of all these features produces the best performances. Quantz and Tromlitz both disparage poor performances that are "wooden" and stiff.[467] "Wooden" implies rigidity, a lack of feeling, and the mundane. Its opposite is full of life and limitless, exactly that which Leibniz and Körner argue for and hear in the best music of their day. So while flutists may not expressly concern themselves with transcendent, limitless, or metaphysical musical experiences in their treatises, such aesthetic experiences are only possible because of their skillful playing. Quantz and Tromlitz were the best flutists, capable of giving the best (i.e., the most commanding, expressive, and technically proficient) performances possible. It is by witnessing music executed in the hands of masters like these that an aesthetician could ever experience anything as deep as

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[464] Tromlitz, *The Virtuoso Flute-Player*, 326, Chapter 15, section 34.
[465] Körner, 238.
[466] These are entirely likely occurrences on particular notes on the 18th-century German flute, notably in the case of F natural or C natural.
[467] Tromlitz, *The Virtuoso Flute-Player*, 120, Chapter 6, section 20. "Wooden" is a common disparaging term in Quantz's work as well, often accompanied by "dull."

what they have described. The instrumentalists' physical concerns of execution are a necessary component in creating the infinitude of music.

Chapter 5: Aspects of the Shakuhachi Habitus

The ways in which shakuhachi players find meaning in their musicking differ from the ways 18th-century German flutists find meaning.[468] Meaning in shakuhachi music arises out of four main aspects of the shakuhachi experience, namely, the act of performance, a player's musically-declared membership in social groups, the shakuhachi's traditional role as a tool for meditation, and practitioners' senses of history:

(1) Even more so than in other traditions of music, meaning in shakuhachi music is dependent on the act of performance. Because shakuhachi scores are prescriptive (indicating the actions a performer should make) rather than descriptive (indicating the sounds a performer should make), the performance takes precedence as the meaningful object in which a musician's intentions and mental discipline are communicated, and each performance is a manifestation of a player's theorizing about the work and about shakuhachi aesthetics.

(2) Shakuhachi performance is also a means of declaring social membership, making the mental discipline that determines a performance a kind of social currency. This can take the form of belonging to a *ryūha* (school) or belonging to an elite group of players who have achieved *suizen* (enlightenment through playing).

(3) The most valuable currency within the shakuhachi world is a player's proximity to Zen, and the most widely-praised aspects of shakuhachi execution and performance are those which align with this goal. When performers' playing and behavior indicates that *suizen*

[468] Readers who would prefer to see a simplified comparison of the ways in which late-eighteenth century German flutists and shakuhachi players define mental discipline, proper execution, and the listening experience may refer to Appendix A.

has been achieved, judgments by practitioners are extremely positive and highlight the supremacy of this aesthetic value in performance.[469]

(4) The 20th-century tradition of shakuhachi playing is dependent upon its practitioners' two distinct senses of history. In addition to a factual history of the shakuhachi promoted by Japanese and Western musicologists, there is also the *komusō* legend, invented during the Edo period (1603-1868), which holds sway over shakuhachi aesthetics. This legend claims that shakuhachi playing for meditative purposes originated in 9th-century China in the hands of revered Buddhist figures, and it inflects modern practitioners' evaluative statements regarding appropriateness, understandability, and moving experiences. The qualities that define "good" shakuhachi playing are not necessarily those which are musically discernible, but rather are those that according to both legend and historical documentation were able to bring a player to a state of Zen.

Playing according to these ideals is to play "traditionally," to proclaim oneself as part of that tradition, and these ideals define the habitus of listening for shakuhachi practitioners.

This chapter provides a brief background for each of these issues with an emphasis on the playing of a specific repertoire of pieces referred to as *honkyoku* (pieces written for solo shakuhachi that were originally intended to be used for private mediation) by players who mostly come from the Kinko-ryū. My discussion of the shakuhachi draws most strongly from pedagogical and informative texts by Western shakuhachi players who have spent lengthy

[469] Aspects of shakuhachi playing that indicate that *suizen* has been achieved are nearly synonymous with the criteria by which Mihalyi Csikszentmihalyi defines flow and Frank Putnam and Karen Nesbitt Shanor define peak experiences: a decidedly positive experience that involves time dilation, merging of action and awareness, feeling of fusion with the world, transcendence of ego, cessation of inner languaging, euphoric calm, and a transformed sense of self. See Chapter 2, pp. 10ff, and Chapter 8.

periods of study in Japan, including Christopher Yohmei Blasdel,[470] Bob Grous,[471] Andreas Fuyu Gutzwiller,[472] Monty Levenson,[473] Gunnar Jinmei Linder,[474] Riley Lee,[475] Ralph Samuelson,[476] and John Singer.[477] Their concerns align with the premise of this dissertation, which would not

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[470] Christopher Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988); Ibid., "The Shakuhachi: Aesthetics of a Single Tone," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 13-16; Ibid., "The Secret of Balance—An Encounter with Yamaguchi Gorō," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 250-253. Blasdel studied with Yamaguchi Gorō and currently teaches at Temple University in Tokyo.

[471] Bob Grous, "An Introductory Manual for Kinko-ryu Honkyoku," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 47-100. Grous is a member of the Kinko-ryū and studied with Sato Seibi (1906-83).

[472] Andreas B. Gutzwiller, *Shakuhachi: Aspects of History, Practice and Teaching* (PhD diss., Wesleyan University, 1974); Ibid., "The Japanese Flute Shakuhachi and its Music: Is it Foreign or Just Strange?" in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 7-12; Ibid., "Die Shakuhachi der Kinko-schule," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 168-174; Ibid., "The Shakuhachi – A Tool of Zen," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 161-162. Gutzwiller is a German shakuhachi player who studied with Araki Kodō V and Kawase Junsuke III.

[473] Monty H. Levenson, "Blowing Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 46-59. Levenson is a shakuhachi maker based in California and runs the website www.shakuhachi.com.

[474] Gunnar Jinmei Linder, *Deconstructing Tradition in Japanese Music: A Study of Shakuhachi, Historical Authenticiy and Transmission of Tradition* (PhD diss., Stockholm University, 2012).

[475] Riley Lee, *Yearning for the Bell: A Study of Transmission in the Shakuhachi Honkyoku Tradition* (PhD diss., University of Sydney, 1992); Ibid., "An American Looks at the Shakuhachi of Japan: 1 April 1986," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 113-116; Ibid., "Blowing Zen: Aspects of Performance Practices of the Chikuho-ryu Honkyoku," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 117-132. Riley Lee is based in Australia.

[476] Ralph Samuelson, "Toward an Understanding of Shakuhachi Honkyoku," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.) 31-40. Samuelson is a shakuhachi player based in New York State. He was a student of Yamaguchi Gorō, Araki Kodō V, and Yamato Shudo.

[477] Brian Ritchie, "Regarding Edo and Other Antique Shakuhachi: An Interview with John Singer," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 104-108. This interview is dated November, 2003.

have been possible without them,[478] and their texts are readily available in English. Japanese masters do not typically write about their craft with a mind towards informing the public or engaging in academic discourse, although Araki Kodō V,[479] Hisamatsu Fūyō,[480] Koga Masayuki,[481] Watazumi,[482] and Yamaguchi Gorō[483] do have writings or interviews available, and

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John Singer, "Articles," *Zen Flute* (2014), accessed 08 March 2014. http://www.zenflute.com/index.php/articles/; Ibid., "The Kinko-ryu Honkyoku – A Compilation and Translation," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 111-122. Singer is an American shakuhachi player based in California and was a student of Inoue Shigeshi, Matsumura Homei, and Yamaguchi Gorō. He runs the website www.zenflute.com.

[478] My approach also puts me squarely within what Keister argues is the typical Western approach to shakuhachi music, namely a (romanticized) focus on Zen among Western proponents of the shakuhachi. He argues that "A key factor in the overseas success of the *shakuhachi* is precisely its historical link to Buddhism and the ease with which philosophical ideas based on Zen can be articulated or felt through the instrument." See Jay Keister, "The Shakuhachi as Spiritual Tool: A Japanese Buddhist Instrument in the West," *Asian Music* 35/2 (Spring-Summer 2004): 100. In a survey conducted by Keister, 40 out of 47 Western shakuhachi players said they considered the shakuhachi to be both a musical instrument and an instrument of meditation, while 9 out of 11 Japanese players said it "was strictly a musical instrument having nothing to do with meditation" (Ibid., 123). Yamaguchi Gorō found that on his recital programs, "While *gaikyoku* is more popular in Japan, outside Japan there is a demand for *honkyoku*. Western audiences are more interested in the original shakuhachi music." See Richard Fletcher, "An Interview with Yamaguchi Gorō—A Master of the Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 247.

Max Deeg argues that it is "more and more the case that *shakuhachi* practice is constructed in terms of a consciousness of" spirituality, and that this attitude has been "retransferred" from the West back to Japan, where the spiritual aspect was minimized in the early 20th century. See Max Deeg, "Komusō and 'Shakuhachi-Zen': From Historical Legitimation to the Spritualisation of a Buddhist Denomination in the Edo Period," *Japanese Religions* 32/1-2 (2007), 35.

[479] Araki Tatsuya, "Kinko-ryu Shakuhachi Honkyoku History," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 136-137. Araki Tatsuya's professional name marking him as *iemoto* of the Kodō branch of the Kinko-ryū is Araki Kodō V (b. 1938). The text of this article is an excerpt from his 1971 masters thesis at Wesleyan University. He is a teacher of Gutzwiller.

[480] Robin Hartshorne and Kazuaki Tanahashi, trans., "The Hitori Mondo of Hisamatsu Fuyo," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 41-46.

[481] Koga Masayuki, "Shakuhachi Essays," Ed. Margo Hinkel, in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005),

Torsten Olafsson has translated historical Fuke-shū documents.[484] The content and presentation of the following chapters is shaped by these practitioners' concerns.

Shakuhachi Performance as Theorizing

The act of performing is the central point of interest in most writings and interviews by shakuhachi players; they are most concerned with what a player does while playing (i.e., one's thoughts and physical gestures) as opposed to what a listener experiences (which is a secondary concern to the playing itself) or the score (which is rarely mentioned, if at all). Andreas Fuyu Gutzwiller's 1974 dissertation, *Shakuhachi: Aspects of History, Practice, and Teaching*, provides a history of the instrument and the class politics of its Edo and Meiji period players, a history of Japanese and Chinese music theory, and his own analytical theory of shakuhachi musical structure based on what he calls "tone cells." He argues for the supremacy of performative

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75-79. Koga is a Japanese shakuhachi player based in California, where he teaches both Kinko and Tozan styles.

[482] Clifton Karhu, "Zen, Zero Zen, No Zen and Watazumidozen," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 14-15; Dan E. Mayers, "A Visit with Watazumido Doso Roshi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 18-20; Ibid., "Watazumido Doso Roshi – An Appreciation," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 16-17; Ibid., trans. "Watazumido Doso Roshi – His Practical Philosophy," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 21-24; Rudi Foundation of Michigan, Incorporated, "Watzumido Doso Roshi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 13.

[483] Richard W. Fletcher, "An Interview with Yamaguchi Gorō—A Master of the Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 245-249. Fletcher was a shakuhachi student of Yamaguchi at the Tokyo National University of Fine Arts and Music. The interview was conducted June 28, 1988.

[484] Torsten Olafsson, "Kaidō Honsoku, 1628: The Komosō's Fuke Shakuhachi Credo: On Early 17th Century Ascetic Shakuhachi Ideology," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 138-155.

concerns when discussing shakuhachi music, saying that the "rules for proper execution of the music…take the same place that music theory (rules for the proper way to create music) occupies in Western music."[485] Gutzwiller asserts that a shakuhachi player's technique, performative choices, and performative actions are themselves the musical "text" that communicates meaning, much in the same way that John Sloboda and Peter Kivy argue that a Western performer's interpretation of a score yields insight into his or her musical understanding, representation, and learning of a piece of music.[486] These performative gestures are the result of a player's mental discipline, and Gutzwiller alludes to the mental processes (personal and social) behind music making that determine a listener's musical experience:

Figure 5.1 Relationship of mental discipline and musical sounds.[487]

The supremacy of a player's inner mental experience over that of any outside observer or listener is upheld by other shakuhachi practitioners, and they often stress Gutzwiller's first box (abstract, pre-musical principles, such as a player's mindset or attitude and teaching lineage) over the second or third, if the latter are discussed at all. This disinterest in musical sounds or the listener comes from the principle of *geidō*, the Way (*-dō*) of art (*gei*), which permeates the traditional arts in Japan.[488] *Geidō* refers not to the art object itself (e.g., the musical sounds, a

[485] Gutzwiller, *Shakuhachi*, 87.
[486] See Chapter 3, pp. 46f.
[487] Adapted from Gutzwiller, *Shakuhachi*, 141.
[488] *Geidō* derives from the Confucian principle of self-cultivation, which required official Chinese scholars to be skilled in the Six Arts (ceremonial ritual, music, calligraphy, mathematics, archery, and charioteering) in order to strengthen their intellect and keep their

painting, or a poem) but to the way in which the artist made it, the technique that resulted in an observable art object, or the process of the artist putting *geidō* into practice, which Gunnar Jinmei Linder says "creat[es] a cultural value, or re-creat[es] [it]."[489] Following Jean-Jacques Nattiez, Linder categorizes the resulting art object as the "neutral trace,"[490] or the musical byproduct of Gutzwiller's first step of "pre-musical principles."[491]

Shakuhachi Performance as Declaring Social Membership

The way in which someone plays is the manifestation of his or her mental discipline, which seems to be encompassed within what Gutzwiller calls "abstract, pre-musical principles." These principles arise out of one's training and musical experiences, which in the case of the shakuhachi is most likely a school (*ryūha*) or lineage of teachers. A performance which makes those principles discernible is a declaration of membership within a particular social group as well as a recitation of traditional values. Linder's 2012 thesis, *Deconstructing Tradition in Japanese Music: A Study of Shakuhachi, Historical Authenticity, and Transmission of Tradition*, is a study of what constitutes "tradition" in shakuhachi playing and how that tradition is transmitted (i.e., how techniques and authority are handed down over generations). Drawing on Edward Shils (anything can be a tradition),[492] Eric Hobsbawm (an invented tradition preserves a

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minds sharp. See Graham Parkes, "Japanese Aesthetics," *The Stanford Encyclopedia of Philosophy*, ed. Edward N. Zalta, last modified 10 October 2011, accessed 14 April 2013, http://plato.stanford.edu/entries/japanese-aesthetics/

Historian Nishiyama Matsunosuke traces the first appearance of *geidō* in Japanese arts to theatrical treatises by Zeami (*Kakyō*, 1424) and Konparu Zenchiku (*Kabuzuinōki*, 1456) (Linder, 50, referring to Nishiyama Matsunosuke, *Geidō to dentō* (1984).

[489] Linder, 51.

[490] Linder, 51, citing Jean-Jacques Nattiez, *Music and Discourse: Toward a Semiology of Music*, trans. Carolyn Abbate (Princeton: Princeton University Press, 1990). See Chapter 3, p. 45f.

[491] Gutzwiller, *Shakuhachi*, 141.

[492] Linder, 36f, citing Edward Shils, *Tradition* (Boston: Faber and Faber, 1981).

notion of the past),[493] and Dan Ben-Amos (a construction of tradition serves social purposes, including the creation of a group's identity),[494] Linder argues that "tradition is a way of creating identity among a group of people who acknowledge the practices that the tradition prescribe [sic]."[495] Linder alludes to the concept of a shared habitus between a musical creator and a listener:

> As an act of communication, the interaction between a narrator or musician and the listeners presupposes a certain ability to understand what is being conveyed. They need to be speaking the same language, share the same values and beliefs, they need to have the same or very similar background, and they need to be able to decode signs that are used in the social interaction. Thus, any group of listeners has to be such that all its members belong to the same reference group as the performer or narrator.[496]

Like Gutzwiller, Linder argues that meaning in a shakuhachi musical experience is wholly reliant on performance rather than on a musical score, and he also characterizes the act of performing shakuhachi as an act of folklore; it is not a music that exists on paper or in one's mind, because "Any tale or piece of music loses its ontological status – it would not exist – except for in an act of 'artistic communication in small groups.'"[497]

Linder's acute interest in maintaining tradition is itself traditional, as Yoshida Kenkō praised artists who "faithfully" adhered to tradition in *Tsurezure-gusa* (Essays in Idleness, 1332):

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[493] Linder, 37ff, citing Eric Hobsbawm, "Introduction: Inventing Traditions," in *The Invention of Tradition*, eds. Eric Hobsbawm and Terence Ranger (Cambridge: Cambridge University Press, 1983), 1-14.
[494] Linder, 43, citing Dan Ben-Amos, "The Seven Strands of *Tradition*: Varieties in its Meaning in American Folklore Studies," *Journal of Folklore Research* 21/2-3 (May-Dec 1984): 97-132.
[495] Linder, 39.
[496] Linder, 44.
[497] Linder, 45.

> The performers who now rank as the most skilled in the country were at the beginning considered incompetent, and, indeed, had shocking faults. However, by faithfully maintaining the principles of their art and holding them in honor, rather than indulging in their own fancies, they have become paragons of the age and teachers for all. This surely holds true for every art.[498]

Senses of History

Shakuhachi aesthetics are shaped by its practitioners' senses of history—they simultaneously hold two conflicting histories as true: the factual history as established by Japanese and Western musicologists, as well as its legendary mythos, which, while not factually true, is part of the truth embodied in the sound of the instrument for listeners familiar with its origin story. It is this latter history, according to musicologist Kamisangō Yūkō, that orients the instrument philosophically as "a tool in the process of enlightenment."[499] An aesthetic of meditation in terms of a player's outward appearance, sound quality, and his or her own bodily experience is a large part of defining good shakuhachi playing. This aesthetic originates in the use of the instrument as a *hōki* (religious tool) by monks of the Fuke-shū, a sect of Zen Buddhism, in the 17th and 18th centuries. It persists due to the traditional *ryūha* or guild system of transmission directly from master teacher to student, as nearly all modern players can trace their teaching lineage directly to 18th- and 19th-century Fuke monks. The *honkyoku* repertoire (traditional pieces originally used only for solo shakuhachi meditative practice) is fundamentally

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[498] Yoshida Kenkō, *Essays in Idleness: The Tsurezuregusa of Kenkō*, trans. Donald Keene (New York: Columbia University Press, 1967), 135. This work has played a central role in Japanese aesthetics since the 17th century when Confucian scholar Hayashi Razan's (1583-1657) commentary (1621) became a central text in Japanese education. See Linder, 135.

[499] Kamisangō Yūkō, "History and Development," trans. Christopher Yohmei Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988) 80.

the same today as it was then, and the music is both a vestige of the instrument's specifically religious past as well as a way for modern players to perpetuate that spiritual aesthetic.[500] Performance that celebrates the meditative Zen ideals of the Fuke-shū legitimizes and makes aesthetically "true" the "false" history of the instrument.

History #1: Factual History

The factual history of the shakuhachi is one promoted by Western and Japanese musicologists since the mid-20th century, and it relies on fragmentary remarks and references to the instrument that are found in pre-Edo literature, documents, and art.[501] The shakuhachi was played as a court instrument during the Ancient period (6th-12th centuries).[502] During the Early Medieval period (12th-16th centuries), it was used both in *gagaku* (court music) and popular festival music (*dengaku* and *sarugaku*, which later developed into the music of the Nō theater).[503] In the 15th century it was also commonly played by blind monks during the recitation of sutras and storytelling.[504] During the Late Medieval period and early Modern periods (16th-17th centuries), the instrument evolved from one played by outcasts (low-ranking mendicant monks called *komosō*) to one used by samurai and monks of the Fuke-shū.[505] Kamisangō notes

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[500] *Honkyoku* are also referred to as "original music," meaning pieces written specifically for the shakuhachi. This differentiates them from *gaikyoku* ("outside music"), meaning pieces borrowed from other instruments, and repertoire intended for public performance.
[501] Linder, 53 and 72. Linder also provides a detailed explanation, pictures, and history of the *gagaku*, *tenpuku*, *hitoyogiri* and Fuke shakuhachi that preceded the modern shakuhachi, drawing on Kamisangō, "History and Development," 69ff. See also Linder, 85-92.
[502] Linder, 45. These time periods are Linder's categorization, and not all sources use the same labels.
[503] Linder, 45 and 52.
[504] Linder, 52.
[505] Linder, 45-46. Olafsson notes that during the 16th century, the concept of *komosō* and *fukesō* become synonymous and interchangeable according to the *Setsyō-shū* ("Anthology of Character

that the myriad alternative names for the *komosō*, including *boro*, *boroboro*, *boronji*, *bonji*, and *kanji*, all carry "religious overtones yet convey the feelings of mendicancy and poverty,"[506] although they are also described in Kenkō's *Tsurezure-gusa* as debauched, rowdy figures.[507]

During the 17th century, some members of the Rinzai sect of Zen Buddhism, of which the Fuke-shū is an offshoot, became concerned with establishing or constructing a sense of history, genealogy, and (respectable) identity for the shakuhachi and began crafting a false history based on forged historical documents. They sought to whitewash the instrument's history of any low-class associations and give the shakuhachi purer origins as a Zen tool in China. In a letter (c. 1640) to Sandō Mugetsu, Rinzai abbot Isshi Bunshu (1608-45) suggested the following, which indeed became part of the shakuhachi origin story:

> When Kokushi [Kakushin] was in China there were four Komu people who all joined him, and triumphantly, came to this country [Japan]. Later, the life-stream of their school divided into four and since then, travelling in every direction, wherever they came, the four served the Buddhist community.[508]

In this letter, Isshi Bunshu also used a new set of characters to refer to shakuhachi players, not as "straw mat priests" (*komosō*), but as "priests of emptiness and nothingness" (*komusō*), which Torsten Olafsson argues is a conscious "Zennification" of the older *komo* group.[509]

From the late 18th century to the beginning of the Meiji Restoration in 1868, the shakuhachi was played both as a religious tool and as a musical instrument by members of the Fuke-shū. In addition to monks, the sect also included masterless samurai (*rōnin*) who sought

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Compound Reading", 1591). See Olafsson, 141. Linder gives this date as 1598. See Linder, 102.

[506] Kamisangō, "History and Development," 82.

[507] Kamisangō, "History and Development," 96.

[508] Olafsson, 149.

[509] Ibid.

out the temples as a place of political refuge and adopted the *komusō* lifestyle. Linder notes that while all *komusō* did not necessarily share the sect's religious fervor, "the fact that a large number of pieces are still being played today (i.e. *honkyoku*) indicates that the *komusō* were actively transmitting the music,"[510] as well as its habitus, which is "deeply rooted in the *komusō* period."[511] The Fuke-shū forged various documents at this time when facing political pressures and a loss of privileges from the Tokugawa shogunate, but in terms of modern shakuhachi playing, their relevance persists in the fact that they articulate aesthetics of shakuhachi playing.[512] The establishment of shakuhachi *ryūha* at this time created an infrastructure in which the Zen connection and aesthetic that had been asserted in these falsified historical documents was passed on not only to Zen monks but also to laypeople. When the Fuke-shū was banned in October, 1871, its temples were shut, its priests were laicized, and begging (upon which most members survived) was outlawed.[513] Shakuhachi players began performing publically in

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[510] Linder, 130. Riley Lee makes a similar point in *Yearning for the Bell: A Study of Transmission in the Shakuhachi Honkyoku Tradition* (PhD diss., University of Sydney, 1993), 149.
[511] Linder, 130; Lee, 167.
[512] Several writers have thoroughly documented the political rights and machinations of the Fuke-shū. The sect's privileges included the right to have temples, to be exempt from taxation, to beg for alms, to carry swords, to travel freely across the country, and to wear a basket over their heads (*tengai*) which obscured their identity while doing so, among others. In return, the *komusō* provided spy services to the government. *Kyotaku denki kokuji kai*, a document forged to appear older than its actual conception in 1779-80, claimed that the Fuke-shū had been in possession of these rights for over a hundred years. Gutzwiller cites documents from 1614 and 1677 that outline these rights, while Linder argues that no document ever acknowledged the Fuke-shū directly, and instead granted rights to a group of samurai that the Fuke-shū later knowingly appropriated. See Gutzwiller, *Shakuhachi*, 16-20; Linder, 58, 94, 113-129.

Tone Takahashi notes that the disputed 1677 document which Gutzwiller cites and Linder discredits (*Keichō No Okitagaki*) does not exist as an original, only as a copy that the Fuke-shū submitted to the government in 1795, claiming the original had been destroyed in a fire. The Fuke-shū submitted four different versions of *Keichō*, altering it each time to grant the Fuke-shū more rights. See Tone Takahashi, *Tozan-Ryū: An Innovation of the Shakuhachi Tradition from Fuke-Shū to Secularism* (PhD diss., Florida State University, 1990), 3-6.
[513] Kamisangō, "History and Development," 123.

sankyoku ensembles (trios with *koto* and *shamisen*), creating *gaikyoku* (outside) repertoire separate from the traditional pieces for meditation (*honkyoku*), and teaching the instrument to laymen in public studios called *fuki awase sho*.[514]

Despite the concerted efforts of scholars to tease out this factual history from the false one successfully promoted by the Fuke-shū, there is a marked ambivalence toward this factual history of the instrument among many modern shakuhachi practitioners. Linder has noted the persistence of the "false" shakuhachi legend among players,[515] and Olafsson suggests that the shakuhachi legend persists largely because it is both aesthetically plausible and appealing.[516] Even though Nakatsuka Chikuzen first proffered a revisionist, factual history in the 1930s,[517] Linder notes that Kamisangō claims to have been "the only one who had accepted Nakatsuka's findings face-value as late as in the 1990s," suggesting the lingering presence of and adherence to these legends not only among shakuhachi players but also shakuhachi scholars.[518] Sessan Saito's 1985 scholarly article, translated as "Bamboo Rustling in the Wind" in 1989, for example, presents the shakuhachi legendary history as fact, and in so doing underscores the persistent fictional truth of that legend for shakuhachi practitioners.[519] As a leading shakuhachi

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[514] Kamisangō, "History and Development," 115-116.
[515] Linder, 111. Linder notes that "There are still practitioners of shakuhachi who prefer to believe in the legend of the Fuke sect" (Ibid., 102).
[516] Olafsson, "Kaidō Honsoku, 1628: The Komosō's Fuke Shakuhachi Credo: On Early 17th Century Ascetic Shakuhachi Ideology," in *The Annals of the International Shakuhachi Society*, Vol. 2, 138-150.
[517] Nakatsuka's work appeared as *Kinko Ryū Shakuhachi Shikan* (A Historical View of the Kinko Shakuhachi), which was published from 1936 to 1939 in *Sankyoku* magazine. See Kamisangō Yūkō, "History and Development," trans. Christopher Yohmei Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 102. Kamisangō refers to Nakatsuka Chikuzen as "Nakahara Chikuzen," but Linder and other sources use the name Nakatsuka.
[518] Linder, 111.
[519] Sessan Saito, "Bamboo Rustling in the Wind," trans. John Tedford, *Hogaku* 3/2 (1989): 108-116. This text also appears in *The Annals of the International Shakuhachi Society*, Vol. 2, ed.

teacher in Ibaraki prefecture, Sessan also imparted the legend to his students, and presumably other teachers were doing the same.

Some players, such as Levenson, take no interest in what might be considered "true" or not, only what has been accepted as common ground within the shakuhachi community: "Facts about the shakuhachi are mixed with legend; nobody knows where one begins and the other leaves off. I believe what is historically filtered down to us through time—whether true or not—is relevant."[520] This disinterest is itself traditional: in *Hitori mondō* (1823), which depicts the aesthetic of the Kinko-ryū, Fūyō argues that factual truth distracts from the truth of enlightenment that the shakuhachi offers:

> Wasn't Fuke the ancestor of shakuhachi? If one follows this path but doesn't know its origins, is that not a sign of immaturity?
>
> As for myself, because I understand the source of shakuhachi, I say I do not know Fuke. Fuke was an enlightened man, but I do not think he sought his enlightenment by playing shakuhachi. He cannot be compared to an ignorant blind person like me who plays the shakuhachi because he enjoys it and has gradually come to know that shakuhachi is a Zen instrument…If you look at records from the time of Fuke, and if you know all about his life, but you do not know his enlightenment, then you do not know Fuke. On the other hand, a person who knows nothing of his life, but knows his enlightenment, he knows Fuke. I do not know him yet.[521]

Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 131-135. Sessan is a Dai Shihan of Shakuhachi living in Ibaraki Prefecture (Ibid., 135). His article is one of the last sources available in English that presents the false legendary history without irony or qualification.

[520] Levenson, 47.

[521] Robin Hartshorne and Kazuaki Tanahashi, trans., "The Hitori Mondo of Hasamtsu Fuyo," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The

History #2: Legendary Mythos in *Kyotaku denki kokuji kai*

The legendary mythos of the shakuhachi draws upon aspects of the above-described factual history, emphasizing its use in individual meditation and often putting it into the hands of invented or revered historical figures. At the same time, the legend notably excises the shakuhachi's lower-class associations (such as *komosō*) and its use as an instrument for entertainment at court. The legend is recorded in *Kyotaku denki kokuji kai* (A Japanese Translation and Commentary of *Kyotaku Denki*), which describes events and imagery that form the basis of modern shakuhachi playing—it is a central part of a shakuhachi practitioner's real world that sets in motion a fictional world in which shakuhachi sounds originate.[522] *Kyotaku denki kokuji kai* was compiled by Yamamoto Morihide in Kyoto (1779-80) and published in 1795 by Masuya Shōbei of Kōto Shorin in Kyoto.[523] Written in the traditional style of a commentary on an older historical document, it claims to be a Japanese commentary on the Chinese manuscript *Kyotaku denki* by a priest named Tonwō (or Ton'o, c. 1624-43).[524] It connects the shakuhachi to revered figures in Chinese Buddhism dating back to the 9th century: Fuke, Kakushin, and Kyochiku. Its influence on shakuhachi playing is strong, because as Tsuge Gen'ichi notes, "it was the only published source providing an outline history of the Fuke-

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International Shakuhachi Society, 2005), 42-43. Hisamatsu Fūyō's motivation may not have been entirely innocent, as he may have been attempting to undercut those who voiced skepticism regarding the Fuke-shū's claim of connection to Fuke. Regardless, his written attitude persists.

[522] See Chapter 3, pp. 47ff for a discussion of Kendall Walton's theory of imagining about music.

[523] Tsuge Gen'ichi, trans., "The History of the Kyotaku," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 123. The text of this article also appeared in *Asian Music*, published without an author listed, although Hartshorne and Gutzwiller both reference this publication as being by Tsuge: "The History of the Kyotaku," *Asian Music* 8/2 (1977): 47.

[524] "History," 47; Tsuge 123.

shakuhachi tradition which gained widespread credence."[525] Its value lies not in its historical veracity, but rather, as Gutzwiller notes, in the fact that "it represents the self-understanding of all traditional shakuhachi players."[526]

Three *honkyoku* pieces that are still played today are described in the document (*Kyorei*, *Mukaiji*, and *Kokū*), and throughout the text the shakuhachi is explicitly connected to imagery and behavior that define "traditional" and meaningful playing for modern practitioners: the master-student relationship, imagery of night and darkness, solitary and eccentric behavior, and the instrument providing or being closely connected to enlightenment. It also draws upon the long history of the shakuhachi appearing in the hands of Buddhist priests or surrounded by Buddhist symbolism in Japanese literature, painting, and poetry, where the association between the shakuhachi and Buddhism is often made casually or without fanfare, implying that the connection between monks, enlightenment, and shakuhachi playing was a widely-accepted and unsurprising association.

The central figure in the tale is the revered monk Fuke (Chinese: Pǔ Huà, c. 770-840 or 860), a student of the founder of Rinzai Zen Buddhism in T'ang dynasty China, Rinzai Gigen (Chinese: Línjì Yìxuán, d. 866).[527] According to the legend, it was Fuke himself who established the Fuke-shū (rather than it being named after him in admiration by Edo period *komusō*),[528] although, as Kamisangō notes, there is no evidence of such a group ever having existed in China.[529] Most accounts of the *Kyotaku denki kokuji kai* available in English deal with the content of Volume II of the work, but Linder notes a remarkable claim of an even older, more

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[525] Ibid.
[526] Gutzwiller, "The Japanese Flute Shakuhachi and its Music," 7.
[527] Gutzwiller, *Shakuhachi*, 15; Blasdel, "The Shakuhachi: Aesthetics," 15.
[528] Linder, 102.
[529] Kamisangō, "History and Development," 97. Kamisangō lists and explores additional factual fallacies in the document. See Kamisangō, "History and Development," 100-101.

impressive spiritual lineage made in Volume I, in which "Tonwō says that Fuke-zenji was a man of T'ang China, and that he was the thirty-eighth successive master who assumed the position and passed on the doctrine of Sakyamuni [Siddhārtha Gautama]."[530]

The second volume of *Kyotaku denki kokuji kai* opens with a description of Fuke walking around town ringing his bell (*taku*) and chanting:

> Fuke was always going about the streets ringing a bell and saying, "If a bright head comes, strike it! If a dark head comes, strike it! Whatever quarter it comes from, hit it like a whirlwind! And if it comes from emptiness, cut it down with a scythe!"[531]

Tsuge Gen'ichi translates Fuke's chant as:

> If attacked in the light, I will strike back in the light.
>
> If attacked in the dark, I will strike in the dark.
>
> If attacked from all quarters, I will strike as a whirlwind does.
>
> If attacked from the empty sky, I will thrash with a flail.[532]

This chant first appeared in *Rinzai Roku* (The Teachings of Rinzai, 9th century), a collection of sayings by Rinzai Gigen collected by his students, including Fuke.[533] Ikkyū Sōjun (1394-1482), a Rinzai priest who became a folk hero of the Edo period[534] and who had a strong affinity for the shakuhachi, also recited a similar poem at an inauguration ceremony for the restoration of Daitoku-ji temple in Kyōto in 1474:

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[530] Linder, 106.
[531] Blasdel, "The Shakuhachi: Aesthetics," 15.
[532] "History," 49; Tsuge, 124. The Mayers version finishes, "I will thrash with a frail," which is likely a typographical error. The Japanese reads: "*Myōtōrai myōtōda, antōrai antōda, Shihō hachimenrai (ya), senpūda, Kokūrai (ya), rengada*" ("History," 49; Tsuge 124).
[533] Kamisangō, "History and Development," 110.
[534] Kamisangō, "History and Development," 79.

> When confronted with the Concept of Discrimination, attack it!
>
> When confronted with the Concept of Indiscrimination, attack it!
>
> Whichever concept you are confronted with, attack it like a whirlwind!
>
> Whatever false conception of Absolute Reality you are confronted with, hit it with a flail![535]

Linder notes that Ikkyū also refers to this saying in his other writings,[536] and Olafsson argues that Ikkyū's reference to Fuke's chant also simultaneously alludes to a samurai tale which likely would have resonated with later shakuhachi players who were often samurai:

> The philosophy being expressed in Fuke's myôan poem is, essentially, that of "Forsake Dualism!" That is, precisely, what a certain Japanese Zen monk in Hyōzgo told the warrior Kusunoki Masshige (1294-1336) when he was facing the 'parting of the ways between life and death' prior to his decisive – and disastrous – battle with the overwhelming army of Ashikaga Takauji: "Cut off your dualism and let one sword stand serenely by itself against the sky!" That is, in fact, exactly what any Zen Buddhist mentor would tell any Japanese warrior in such particular situation, and it is, quite naturally, the reason why a "Ch'an madman" like Fuke should become the idol of so many samurai.[537]

Not only were Rinzai Gigen and Ikkyū well-respected among Rinzai Zen Buddhist monks during the Edo period,[538] but Olafsson also suggests that it is the complementary quality of this samurai ideal and selected historical Buddhist anecdotes that gave the Fuke-shū a sense of identity and purpose.[539]

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[535] Olafsson, 140. Daitoku-ji is a Rinzai temple. Ikkyū was its abbot from 1474 to 1481.
[536] Linder, 136.
[537] Olafsson, 140-141. Olafsson uses both single and double quotation marks in his text.
[538] Linder, 136.
[539] Olafsson, 141.

Fuke's chant establishes an ethos of self-confident eccentricity and individualism in which later shakuhachi players take pride. Shakuhachi player Yamamoto Hōzan (1937-2014) characterizes Fuke's chant as "the most important *honsoku* [basic principle] of the Kyomusō [*komusō*]" for its affectionate depiction of individual eccentricity and its commitment to Zen.[540] Levenson interprets it with bemusement:

> The essence of the poem he [Fuke] recited was that if you encounter somebody who is very bright, smack him on the head. If you encounter somebody who is dull, smack him on the head. In fact, if you encounter anything at all, smack it on the head. And if you encounter emptiness, in particular, be sure to smack it on the head severely!
>
> Fuke was an eccentric to say the least. He was a madman who played a flute, rang a bell and smacked people on the head. Naturally he had a large following.[541]

Linder reads it with admiration:

> My interpretation of what Fuke is saying in the last two stanzas is that he is willing to encounter anyone, even if he is approached by several opponents at the same time, and if someone who has reached enlightenment (who understands the meaning of 'emptiness') approaches him, he will be second to none, not even Rinzai himself presumably, in violent respons [sic].[542]

Fuke's chanting and bell ringing is the legendary inspiration for shakuhachi playing. According to the legend, upon hearing Fuke's chant, Chohaku (Chinese: Zhang Bo) decided he wanted to be Fuke's disciple, so he imitated the bell-ringing on his shakuhachi, playing a piece

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[540] "History," 54, note 3; Tsuge 125, note 3. Yamamoto Hōzan was head of the Hozan-kai shakuhachi school.
[541] Levenson, "Blowing Shakuhachi," 47.
[542] Linder, 107.

that became known as *Kyotaku* (The Bell Which Isn't) or *Kyorei* (Empty Bell).[543] Chohaku passed on his shakuhachi-playing tradition through sixteen generations of disciples to Chōsan (Zhang-Can).[544] Chōsan taught shakuhachi to the monk Kakushin (1207-98),[545] who brought it back to Japan in 1254 along with his disciples (i.e., the "four Komu people" to whom Isshi Bunshu alluded above), who founded temples across the country where shakuhachi playing was used in the achievement of enlightenment.[546] The inclusion of Kakushin was a calculated one to elevate the lineage of the shakuhachi—he was a real and revered historical figure. James Sanford notes that despite the fact that he never mentions Fuke, the shakuhachi, or his disciples in any of his published works or private papers,[547] Kakushin is "considered by virtually all wings of the *komusō* movement to have been the first Japanese patriarch of the Fuke school of Zen."[548]

The experience of Kakushin's most zealous disciple, Kichiku,[549] shapes the modern shakuhachi *honkyoku* repertoire and the imagery used to describe the shakuhachi's sound. While

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[543] Sessan, 111; Kamisangō, "History and Development," 98. James Sanford suggests that Chohaku is probably not a real person, just a literary creation. See James H. Sanford, "Shakuhachi Zen. The Fukeshu and Komusō," *Monumenta Nipponica* 32/4 (Winter 1977): 416, note 24.
[544] Sanford posits that Chōsan is another "literary creation" (Ibid., 416, note 26).
[545] Kakushin is not a literary creation and also known as Kakushi, Gakushin, Shinji Kakushin, Muhan or Muhon Kakushin, and Hottō Kokushi or Hattō Enmyō Kakushin. He earned the latter name, meaning "Light of Dharma unto the Country" for bringing Buddhist wisdom to Japan. See Kamisangō, "History and Development," 98.
[546] Kamisangō, "History and Development," 98; Sessan, 111. The paradigm for Kakushin's story may be that of Jikaku Taishi (also known as Jikaku Daishi or Ennin, 794-864), who spent nine years in China (838-847), and is described as having "played the shakuhachi during the recitation of the *Amida Sutra* (Sanskrit: *Sukhavati*), because the voices were too low" to be heard. This story is the oldest account of the shakuhachi in Buddhist practices and appears in *Kojidan* (Discussion of Ancient Matters), compiled by Minamoto no Akikane (1215). It is repeated in *Taigen Shō* (1512), a treatise on *gagaku* (court music) by then-leading musician Toyoha no Muneaki (1450-1524). See Gutzwiller, *Shakuhachi* 8; Kamisangō, "History and Development," 74 and 77; Linder, 98.
[547] Sanford, 417, note 29.
[548] Sanford, 417.
[549] Kichiku is also known as Yoritake Ryōen and Kyochiku.

on a pilgrimage, Kichiku stopped for a night on Mt. Asamagatake and had a vivid dream of a foggy night in which he heard the sound of the shakuhachi while on a punt.[550] Upon waking he wrote down the two *honkyoku* he heard in his dream, *Mukaiji* (Flute on the Foggy Sea) and *Kokū* (Flute in the Empty Sky).[551] Later in life, Kichiku took the name "Kyochiku," meaning "Empty Bamboo" and founded the temple Myōan-ji in Kyoto.[552]

Shakuhachi legend connects the instrument to additional eccentric outsiders besides Fuke. Olafsson notes that Kichiku was later conflated with the hermit Rōan of Uji (also known as Ichiro) in the 16th-century *kyōgen* play *Rakuami*.[553] Kamisangō relates another Edo-period legend that further links the shakuhachi to solitude as well as to Ikkyū: "Ikkyū and a fellow monk, Ichirosō, lived away from the world in a hut in Uji, cut bamboo to make shakuhachi, and always played the instrument"[554] In another version of this story, "a foreign monk named Rōan lived in a hut called 'Kyūean' and had a close relationship with Ikkyū. Having a fondness for the shakuhachi, he called himself 'Fūketsu Dō Sha' ('A Searcher in the Way of Wind and Holes'), and was the first *komusō*."

Ryūha

This extended discussion of the shakuhachi's historical cultural baggage remains relevant for modern practitioners because shakuhachi schools impart both knowledge of playing as well as transmit a sense of tradition and connection with the past to their students. They were

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[550] Blasdel, "The Shakuhachi: Aesthetics," 15. Blasdel describes Kichiku's dream as "revelatory."
[551] Kamisangō, "History and Development," 99.
[552] Linder, 105. Myōan-ji is the home of the Myōan-ryū, one of the larger modern schools of shakuhachi playing whose aesthetic is even more closely tied to meditation and individualized playing than that of the Kinko-ryū.
[553] Olafsson, 149.
[554] Kamisangō, "History and Development," 79.

established by members of the Fuke-shū, whose playing was shaped by the aesthetics described in *Kyotaku denki kokuji kai* and other sources. Stylistic choices made in the Japanese traditional performing arts are often prescribed by the school of playing (*ryūha*) to which one belongs, making one's teaching lineage central to the abstract pre-musical principles and mental discipline that shape a performance. Before the establishment of *ryūha* in the 18th century, styles of shakuhachi playing were as varied as the individual players themselves, but the establishment of such guilds created groups of players from the 19th century onwards who all espoused a similar style and whose identity as a group rested on these distinctions of musical style.[555]

The Kinko-ryū, Tozan-ryū, and Myōan-ryū are three of the largest modern schools, and each has its own sub-sects led by their respective *iemoto* (leader or founder). These schools are united, as Ralph Samuelson notes, by the fact that they can all trace their establishment "back to the Fuke-shū of Edo times, and the repertoires of most include a set of meditative solo pieces deriving from the komoso tradition."[556] According to Blasdel, "these styles differ in musical interpretation, playing technique, music notation method, and social structure."[557] The Kinko-ryū was the first lasting lineage to emerge, and its large influence today is partly due to the fact that its players were those who successfully petitioned the government not to outlaw the instrument entirely.[558]

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[555] Kamisangō, "History and Development," 115.
[556] Samuelson, 31.
[557] Blasdel, *The Shakuhachi*, 9.
[558] Linder, 241, note 963. The shakuhachi was nearly abolished because of its use as a religious instrument by the Fuke-shū, but Araki Kodō II (1823-1908) and Yoshida Itchō (1812-1881) "convinced the Meiji government that the shakuhachi had an older and more 'original' foundation as a musical instrument" (Ibid., 240-241). Obfuscating necdotes such as this one contribute to the difficulty scholars have had in reconstructing a "factual" history of the instrument.

The social hierarchy of each school (from *iemoto* down to assistant teachers, advanced students, and beginners) collectively maintains standards of execution by playing for each other and imitating the style and teaching methods of the *iemoto*. Linder notes that the *iemoto* carries "a personalized canonization of the repertoire" that is "transmitted" to other members of the guild.[559] The "tradition" is "*that* which is transmitted." In addition, the Kinko-ryū established its own adjudicating organization to maintain the standards of its identity in the mid-20th century. Yamaguchi Gorō, for example, despite the fact that he could trace his shakuhachi lineage directly back to the founder of the Kinko-ryū through his father, had to "pass the examination in order to become a certified member of the organisation and a professional performer in the Kinko style."[560]

Kinko-ryū Pedagogical Lineage

The Kinko-ryū was established by Kurosawa Kōhachi (Kinko I, 1710-71),[561] who came from a samurai family[562] and was both a retainer of Kuroda Mino no Kami (Kuroda, lord of Mino) and a *komusō* monk.[563] Sanford describes Kinko I as being "quite serious about the Zen aspects of the flute," noting his frequent use of the terms *onsei sappō* (musical sermons) and *ichi'on jōbutsu* (enlightenment through a single note).[564] According to Linder, he was the "shakuhachi instructor of the two main Fuke temples around Edo, Ichigetsu-ji and Reihō-ji, making him responsible for teaching shakuhachi to new *komusō* monks," and he also taught "at a

[559] Linder, 43.
[560] Fletcher, 246.
[561] Master teachers, like historical figures, are most often referred to by their professional names rather than their family names. See Appendix B for additional pedagogical lineage of the players cited throughout this dissertation.
[562] Kamisangō, "History and Development," 116.
[563] Gutzwiller, *Shakuhachi*, 25.
[564] Sanford, 429-430.

total of five [secular] studios in the city of Edo."[565] He is credited with establishing the *honkyoku* repertoire of the modern Kinko-ryū, having traveled to each of the Fuke temples in Japan and collecting, organizing, and transcribing the characteristic piece of each temple, thereby adding 30 *honkyoku* to the original three (*Kyorei*, *Mukaiji*, and *Kokū* described in *Kyotaku denki kokuji kai*).[566] Because of the close association between the Kinko-ryū and the Fuke-shū, Gutzwiller posits that their music was likely identical, so it can be assumed that many of the Kinko *honkyoku* today are basically the same as those played for meditation by *komusō*.[567]

Kinko I's pedagogical lineage passed to his adopted son, Kinko II (Kurosawa Kōemon, d. 1811).[568] Kinko II, like his father, taught both monks of Fuke-shū and laymen. The Kinko school passed to Kinko II's son, Kinko III (1772-1816) and to his disciple, Fūyō, a samurai.[569] Hisamatsu Masagor Suga no Sadaharu (Fūyō, 1791-1871), a disciple of Kinko III and samurai of the Edo *bakufu* (government), was considered the leading player of his time and the *de facto iemoto* of the Kinko-ryū after the death of Kinko III. He wrote a series of texts in the early 19th century that rely on the ethos surrounding the shakuhachi's origin legend as a defining characteristic of Kinko-ryū thought.[570] *Hitori kotoba* (A Monologue, 1818) and *Hitori mondō* (A Solitary Dialogue, 1823) are introductory texts aimed at beginners that Linder describes as "pertaining to the right way of playing, a correct mind-set, and certain basics about repertoire."[571] *Kaijō hōgo* (Sermon of the Calm Sea, 1835) is an admonition against *komusō* who deviate from the Way of Kinko-ryu.

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[565] Linder, 124-125.
[566] Gutzwiller, *Shakuhachi*, 26; Kamisangō, "History and Development," 116.
[567] Gutzwiller, *Shakuhachi*, 25. Linder reaches the same conclusion (Linder, 244).
[568] Gutzwiller, *Shakuhachi*, 27.
[569] Kamisangō, "History and Development," 119.
[570] Hartshorne and Tanahashi, 41.
[571] Linder, 73.

Fūyō's writings stress the importance of Zen Buddhist ideals for non-religious players as well as monks, which Kamisangō argues is the basis for the "artistic direction" of the Kinko style following the Meiji Restoration.[572] Robin Hartshorne and Kazuaki Tanahashi note, too, that "Fūyō insisted on the spiritual nature of shakuhachi and its relation with Zen practice as expressed in the honkyoku or original pieces for solo shakuhachi of the Kinko school repertoire."[573] They argue that Fūyō's texts imply that "shakuhachi playing is a serious endeavor, requiring great patience and dedication, and leads to a deep understanding or enlightenment." Sanford also asserts that *Hitori mondō* reminds the *komusō* that he was expected "to have faith in the idea…that playing the shakuhachi would, at a minimum, temper his disposition and might, further, eventually lead him to meditative ecstasy and Zen enlightenment."[574]

Focus of Chapters 6-8

Because of its origins in Buddhist meditation, much shakuhachi playing is not directed toward an audience, and players are not typically interested in what a listener might experience. Therefore, many evaluative statements do not address others' playing but rather are evaluations of one's own playing or of one's own inner mental and bodily experience of playing. Pedagogical statements often present a general tone of being equivocal rather than absolute in their musical recommendations, acknowledging the Zen attitude that each student is on his or her own path with the instrument. Still, practitioners do make evaluative statements that express preference for certain aspects of a player's mental experience (e.g., one's attitude, a feeling of

[572] Kamisangō, "History and Development," 119.
[573] Hartshorne and Tanahashi, 41.
[574] Sanford, 421.

ease and comfort, concentration and a feeling of mental clarity, nuance and depth of feeling), although not necessarily preference regarding the particular sound a player makes. However, Linder notes that there are indeed historically-informed standards of execution that express fidelity to a concept of tradition:

> The lack of a composer does not of course mean that there are no prescriptive elements. Instead, these prescriptive elements are not decided by a single creator, but rather by the cultural context surrounding the tradition: the performance style of the transmitter contain the prescriptive elements of the tradition s/he adheres to. In other words, any given performer/transmitter within a culture or tradition is legitimized in terms of being acknowledged by other members of the same group. The prescriptive elements are, thus, determined by the cultural context surrounding the performer/transmitter.[575]

In order to explore issues of mental discipline in practitioners' evaluative statements, I have selected writings of several 20th-century shakuhachi players whose statements portray a range of concerns representative of the larger shakuhachi community, ranging from more musical concerns to more meditative ones.[576] More musical concerns come mostly from members of the Kodō branch of the Kinko-ryū, who are respected players in the shakuhachi community. The Kodō branch originates with Araki Kodō II (1823-1908), a student of Fūyō. Yamaguchi Shirō studied with his student, Kawase Junsuke I (1870-1959), and Yamaguchi Shirō's son, Yamaguchi Gorō (1933-99), was a prolific teacher of several Western shakuhachi players, both at Wesleyan University (1967-68) and in Japan. Many of the shakuhachi players

[575] Linder, 262.
[576] No shakuhachi player whose writings are examined in this dissertation could be considered wholly a "musician" or wholly a "meditator;" each player exhibits degrees of both ends of the spectrum.

who belong to the International Shakuhachi Society and contributed articles to its publications studied with Yamaguchi Gorō, including Christopher Yohmei Blasdel, Ralph Samuelson, and John Singer. Gunnar Jinmei Linder was also a student of Yamaguchi.

Jin Nyodo (1891-1966) also studied with Kawase Junsuke I. Musicologist Tsukitani Tsuneko characterizes Jin Nyodo as a kind of a player who claims to adhere to the traditional techniques but who at the same time develops his own idiosyncrasies.[577] She notes that "some people evaluated him as playing the 'Jin-ryū,' i.e., playing in his own style." Kawase Junsuke III (b. 1936, also referred to as Kawase Kansuke) is the head of the largest group of Kinko shakuhachi players in Japan, and Andreas Gutzwiller (b. 1940) is one of his students.

I have also included the more spiritually-oriented writings of Watazumi Doso Roshi (1911-92) and Riley Kelly Kōho Lee (b. 1951), who both trace their pedagogical lineage to a Fuke monk at Myōan-ji temple, Ozaki Shinryū (1820-88). Lee, a member of the Chikuho-ryū who also studied with a student of Watazumi, is one of the most often-cited and respected players today and the first Westerner to achieve *dai shihan* (grand master) status. Watazumi had been the Head Abbot of the Fuke-shū of Zen and Counsellor of Zen to the Emperor of Japan after the Second World War, but found "Zen too restricting and shallow, however," so he "established his own Way called Watazumido."[578] He played his own non-standard instruments and made often inscrutable comments or instructions to his students, and due to this eccentric behavior, Dan Mayers regards him as a modern manifestation of the monk Fuke and the other "odd-ball characters" that populate the shakuhachi's history.[579] Mayers describes him as belonging "to that class of Zen eccentrics dating back to the original Chinese wandering priest

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[577] Linder, 245, citing Tsukitani Tsuneko, *Shakuhachi koten honkyoku no kenkyū* (A Study of Classical Fundamental Pieces for Shakuhachi) (Tokyo: Shuppan Geijutsu-sha, 2000), 16.
[578] Rudi Foundation of Michigan, 13.
[579] Mayers, "Watazumido Doso Roshi—An Appreciation," 16.

who went about ringing a bell and promising to hit on the head the Buddha or any lesser mortal – the inspiration of some of the most revered honkyoku."[580] Comments by Watazumi or descriptions of his playing by others often focus on the oddities of his appearance, the highly individual style of his playing, and his focus on meditative concerns over musical ones.

[580] Mayers, "A Visit with Watazumido Doso Roshi," 18.

Chapter 6: Mental Discipline as the Foundation of Good Shakuhachi Playing

Modern shakuhachi performance of *honkyoku* grows out of meditative practice, and the issue of mental discipline is prevalent throughout its practitioners' comments.[581] Mental discipline begins with achieving and maintaining the correct mindset that allows a player to embark upon an individualized inward, often spiritual, journey. Although some practitioners are more concerned with music making and others more directly committed to meditation, the appropriate mindset is the thing from which all other actions flow, and a player's seemingly superficial choices in terms of outward appearance indicate the profundity of the inward journey he or she is traveling, made possible by mental discipline. Nearly all practitioners believe that proper shakuhachi playing, and the attendant proper mindset, can only come out of studying in the traditional guild system under an *iemoto* because the slow, student-motivated progress made under this system instills the respect and patience required for mastery of the instrument.[582]

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[581] Ralph Samuelson articulates the (false) historical understanding of most shakuhachi players: "the origin of shakuhachi music lies in Zen meditative practice," which is the "basic framework within which the *honkyoku* repertoire developed." Because that repertoire has remained largely the same, this framework "still exerts a profound influence on shakuhachi players…in present day." See Samuelson, "Toward an Understanding of Shakuhachi Honkyoku," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 31.

[582] Watazumi is a notable exception, and Dan Mayers notes that Watazumi's "steadfast rejection of any suggestion that he was in any way indebted to a teacher" has been a source of "puzzlement to the shakuhachi world," where a student is expected to show respect, gratitude, and debt to his teacher. See Mayers, "Watazumido Doso Roshi—An Appreciation," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (The International Shakuhachi Society, 2005), 16. The International Shakuhachi Society has documented Watazumi's pedagogical lineage, however, and some of this can be seen in Appendix B.

The Appropriate Mindset

Mindset is the foundation of all progress and success in shakuhachi playing, as Yamaguchi Shirō would tell his son Gorō, "Attitude is important when you want to learn something."[583] The correct "attitude" begins with a happy or joyful approach to playing, and this is what allows a player to persevere diligently in the process of patiently learning the shakuhachi or pursuing Zen. In *Hitori mondō* (1823), Fūyō asks rhetorically, "For what purpose do you play the shakuhachi?" and offers as a response, "You play because you like to."[584] This attitude also echoes Kichiku's animated physical response to Kakushin's decision to teach Kichiku to play the shakuhachi in *Kyotaku denki kokuji kai*: "Kichiku, dancing for joy and expressing his gratitude, received instruction in this music and attained proficiency in the instrument. He took delight in playing it everyday [sic] untiringly."[585]

Concentration

Andreas Gutzwiller deems concentration to be the "key concept" of *honkyoku*, and in so doing recalls the traditional role of *honkyoku* in Zen.[586] Fūyō (1823), for example, stresses the importance of concentration with an admonition rooted in Zen meditative practice: "If you do not

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[583] Christopher Blasdel, "The Secret of Balance—An Encounter with Yamaguchi Gorō," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 252.
[584] Robin Hartshorne and Kazuaki Tanahashi, trans., "The Hitori Mondo of Hisamatsu Fuyo," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 42.
[585] "The History of the Kyotaku," *Asian Music* 8/2 (1977): 50; and Tsuge Gen'ichi, "The History of the Kyotaku," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 125.
[586] Andreas Gutzwiller, "The Shakuhachi—A Tool of Zen," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 161.

devote yourself to training your mind, you will not penetrate the inner mysteries."[587] A player should "abandon greed and discipline [his or her] mind." The necessity of concentration or settling one's mind is also shown by the proliferation of *honkyoku* whose titles include the words *choshi* or *shirabe* or the suffixes *–cho* or *–shi*.[588] These pieces are intended to be played as warm-ups both to prepare the bamboo for more intricate pieces and, according to Ralph Samuelson, to "settle and focus" the mind of the player[589] and, in John Singer's words, "move into the proper frame of mind before performing honkyoku."[590] A player knows he or she is properly concentrating, according to Jay Keister, when he or she achieves "a quiet state of mind completely cleared of conscious thoughts."[591] Kamisangō Yūkō defines it as not only "stillness"

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[587] Hartshorne and Tanahashi, 42.

[588] Kamisangō Yūkō, "The Shakuhachi of Jin Nyodo: A Collection of Classical Honkyoku," trans. John Tedford, *Hogaku*. 3/2 (1989): 7. These pieces in the Kinko repertoire include: *Hifumi—Hchigaeshi no Shirabe*, *Banchikichō*, *Akebono no Shirabe*, *Ashi no Shirabe*, *Kotobuki no Shirabe*. Among the *dokyoku* of Watazumi's school, there are the pieces *Dai Otsugaeshi*, *Hon Shirabe*, *Motogaeshi*, *Mushirabe* ("Schools," *International Shakuhachi Society* (2014), accessed 20 September 2014. http://www.komuso.com/schools/index.pl)

There are also *honkyoku* whose titles contain the word "san'ya", translated by Singer as "concentration" or "absorption." See Singer, "The Kinko-ryu Honkyoku—A Compilation and Translation," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 118. Kamisangō believes "san'ya" derives from the Sanskrit *samaja* ("assembly") or *sammai* ("self-effacement"). See Kamisangō, "The Shakuhachi of Jin Nyodo," 10. Examples of these pieces include: *Sanya Sugagki* (Kinko-ryū), *San'ya* (Watazumi's *dokyoku*). See "Schools," *International Shakuhachi Society* (2014), accessed 20 September 2014. http://www.komuso.com/schools/index.pl.

[589] Samuelson, 34.

[590] John Singer, "The Kinko-ryu Honkyoku," 112. Kamisangō traces their etymology to "the verb shirabu which has the sense of 'investigating/exploring' a particular tuning or frame of mind." See Kamisangō, "The Shakuhachi of Jin Nyodo," 7. Warm-up pieces have the added benefit of improving the sound of the shakuhachi, according to Bob Grous: "it is not only the player that must be warmed up, but also the bamboo sounds better after it has been played for awhile [sic] (the heat of the breath inside warms up the bamboo and sharpens the tone quality)." See Grous, "An Introductory Manual for Kinko-ryu Honkyoku," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 91.

[591] Jay Keister, "The Shakuhachi as Spiritual Tool: A Japanese Buddhist Instrument in the West," *Asian Music* 35/2 (Spring-Summer 2004): 114.

but also "sensitivity."[592] Shakuhachi players can know that another player is concentrating by their musical execution. Araki Kodō V says that a player's "manner of blowing is completely dependent upon their concentration of breath and meditation upon each tone,"[593] and Watazumi believes "concentration" manifests itself as the utmost "simplicity" of "technique," saying, "The zenith of technique attains to simplicity. By simplifying every technique, simplicity itself becomes natural technique. This is called 'concentration.'"[594]

Success within the *iemoto* system is also an indication of a player's ability to achieve focused concentration over a sustained period of several years. Gutzwiller notes that the rote learning system used in shakuhachi instruction holds the potential to be done poorly because it requires concentration and mental discipline from both the student and the teacher. One can infer from a student's success that both players were intently and appropriately focused during the entire process:

> It is a method which makes bad teaching extremely easy and good teaching extremely difficult… It requires from the teacher and the student a high degree of constant concentration and if this concentration eases for only a moment the lesson immediately deteriorates into mechanical playing of a sequence of musical patterns. But provided two persons come together in the right spirit an atmosphere can be created which can never be

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[592] Kamisangō Yūkō, "History and Development," trans. Christopher Yohmei Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 132. He also argues a listener must adopt this mindset in order to have a meaningful listening experience.
[593] Araki Tatsuya, "Kinko-ryu Shakuhachi Honkyoku History," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 136.
[594] Dan Mayers, "Watazumido Doso Roshi – His Practical Philosophy," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 22.

achieved by the constant interruption of verbal explanations. It is a high goal which is aimed at and we should not be surprised that it is more often missed than not.[595]

Sensitivity

The appropriate mindset also encompasses sensitivity, particularly with regard to the physical vibrations of one's instrument. Each shakuhachi is unique, with naturally-occurring variances in shape, bore, density, and wall thickness that produce different physical playing experiences.[596] Sessan Saito anthropomorphizes the instrument, arguing that any two shakuhachi will each "possess differences quite similar to those we find in two people."[597] Riley Lee argues that the instrument itself forces the player to become more aware of the bamboo and what it "wants" to do, leading to a high level of intimacy between the instrument and its player.[598] Such intimacy partly comes from a quality called *chikuin*, which Singer defines as "the way the instrument vibrates when you play"[599] due to the quality of the bamboo and the skill of the instrument maker:

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[595] Gutzwiller, *Shakuhachi: Aspects of History, Practice and Teaching* (PhD diss., Wesleyan University, 1974), 153-154.
[596] Karl Signell, "The Mystique of the Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 177. These differences result in variations in the placement of finger holes, which instrument makers place not according to hand size or standardized pitch but according to the requirements created by the bore of the material itself. Signell is an ethnomusicologist at the University of Maryland, Baltimore County.
[597] Sessan Saito, "Bamboo Rustling in the Wind," trans. John Tedford, *Hogaku* 3/2 (1989): 109-110.
[598] Riley Lee, "An American Looks at the Shakuhachi of Japan," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 114-115.
[599] John Singer, "Articles," *Zen Flute*, accessed 08 March 2014, http://www.zenflute.com/index.php/articles/

> You should be able to feel the bamboo vibrating in your mouth, down to your fingertips, past your wrists and arms, and into your whole body. Some shakuhachi have more chikuin than others and it is understood that the quality of the bamboo used plus the amount and type of material making up the instrument's bore makes this difference…bamboo quality and the materials used inside the bore affect the flute's tone color.[600]

This invigorating sensation is available only to more sensitive players, so a player's attentiveness to it is an indicator of his or her ability both to concentrate on the instrument with a clear, still mind and also to recognize its qualities:

> A superior instrument is alive when you pick it up! It responds in a way that is wondrous and has a certain feeling which is very difficult if not impossible, to describe…My teachers and many other great shakuhachi players share my views…to really discern the subtle, living differences in shakuhachi, you must devote yourself to its study and practice…The more you master the instrument, the more masterful your ability will be to discern a great shakuhachi from an "imposter."[601]

Similarly, Yoshida Kenkō (1332) argues that a person "who supposes the moon is always the same, regardless of the season, and is therefore unable to detect the difference in autumn, must be exceedingly insensitive."[602] To cultivate awareness for minute, meaningful differences in phenomena, however, is to "practice the Way" towards enlightenment by making every moment

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[600] Singer, "Articles."
[601] Singer, "Articles."
[602] Yoshida Kenkō, *Essays in Idleness: The Tsurezuregusa of Kenkō*, trans. Donald Keene (New York: Columbia University Press, 1967), 105.

of one's life meaningful. Without such sensitivity, one ends up "wasting…a single moment" that turns into "days that extend into months and eventually into a whole lifetime."[603]

The greater a player's sensitivity, the deeper his or her respect for the instrument, and therefore the more conducive his or her mindset is to meaningful playing. Players who respect their instruments will often refer them as "*take*" (bamboo) rather than "shakuhachi" to demonstrate what Samuelson calls their "close identification with the material" and to help "[set] the tone for a spiritual approach to playing.[604] Blasdel suggests that addressing the instrument with such reverence acknowledges the traditional role of bamboo as a material for the elite or advanced culture of the Chinese mainland as well as the fact that "it [bamboo] was also considered an implement imbued with magical properties and was used in religious ritual and magic rites, as exemplified by the *take tama* – small pieces of bamboo, attached to strings, which were thought to be vessels for the *kami* Shintō gods."[605]

Addressing the instrument properly is also a vestige of Buddhist training. Fūyō argues the shakuhachi "should not be treated indiscriminately" precisely because it is "a Zen instrument."[606] The *Kaidō Honsoku* (1628), the oldest philosophical document left by members of the Fuke-shū, also reveres the cosmic symbolism of the instrument's construction:[607]

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[603] Yoshida, 91.
[604] Samuelson, 33.
[605] Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 1-2.
[606] Hartshorne and Tanahashi, 42.
[607] Torsten Olafsson, "Kaidō Honsoku, 1628: The Komosō's Fuke Shakuhachi Credo: On Early 17th Century Ascetic Shakuhachi Ideology," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 142. Signed by an author calling himself "Boro…He who lives like the dew," it was produced by a gathering of *komosō* in Yura, south of Kyoto, in order to codify and proclaim their identity. The title literally means "Basic Regulations for the Coastal Highways," but Olafsson offers a contextualized title, "The Fundamental Doctrine of Fuke Shakuhachi Itineracy" and Gunnar Linder refers to it as "The Kaidō Rules." See Linder, *Deconstructing Tradition in Japanese*

> Oh, how mysterious is the bamboo flute that the Komo has in his possession!
>
> The shakuhachi is the principal treasure of the Komo and therefore it represents the Four Seasons, likened to the four, front finger-holes.
>
> The single finger hole on the back expresses the Clarity of the Enlightened, Adual Mind.
>
> As for the darkness of its interior, that is the Realm of Jurisdiction of the King of Hell, Judge of the Dead. The three nodes represent the Oneness of the Three Bodies, the lower opening the Womb World, the upper opening the Diamond World, and the crescent-shaped mouthpiece above teaches the Clarity of Absolute Reality.
>
> The shakuhachi is precious beyond limit.[608]

Samuelson's insistence upon demonstrating respect for the instrument suggests the lasting influence of this older document, at least in terms of reverent tone, if not Buddhist symbolism.

A Beginner's Mind

Shakuhachi players emphasize maintaining the Zen ideal of a "beginner's mind" (*shoshin*), which means considering oneself to be a perpetual student, being patient with regard to making progress, and expressing humility. Keister argues that becoming a *shihan* (master) is not the end of the journey, only progress toward deeper levels of understanding, and a professional-level player is still expected to demonstrate behavior that implies a beginner's mind and reverence for that journey:

Music: A Study of Shakuhachi, Historical Authenticity and Transmission of Tradition (PhD diss., Stockholm University, 2012), 150. It relates the tale of Kakushin bringing four devoted men to Japan, describes the attire and appearance of *komosō*, and includes a list of *komosō* temples. Members of the Fuke-shū were required to carry it in order to prove their membership in the group while traveling freely across the country. See James H. Sanford, "Shakuhachi Zen: The Fukeshu and Komusō," *Monumenta Nipponica* 32 (1977): 422.

[608] Olafsson, 144. This passage comes from section 11a of the *Kaidō Honsoku*.

> In Japanese traditional music one is always a student even after having achieved professional status and it is customary for the most advanced senior players to return to their teachers for lessons if their teacher is still alive. The importance of the awareness of perpetual learning is evident in the Zen concept of the "beginner's mind" that is often reiterated in Japanese teaching.[609]

Gutzwiller argues that lifelong-learning means that there is no absolute right or wrong way to play, only the specific way to play for a beginner, intermediate, or advanced student.[610] Each way of playing is valued in its own right and none is an "imperfect [way] of playing." Fūyō even considered himself to be several kinds of players simultaneously:

> I am a master, I am a good player, and I am a poor player. I know the boundaries of mastery, but I cannot enter. I do my practice in the realm of a good player, but have not reached the highest level. So doesn't that make me a very poor player?[611]

A good student will come to appreciate, as Blasdel did, "patience, and above all listening" as "important parts of the learning process."[612] For Linder, the importance of patience was learned through the structure of lesson days at Yamaguchi's house, which mostly consisted of "waiting, listening to other students' and Yamaguchi's playing, and observing lessons."[613] Patience is necessary to learn any significant amount of shakuhachi repertoire:

> At the pace of one piece per month, and approximately seventy ensemble pieces before the thirty-six *honkyoku* to be learned, a simple calculation gives nine years of learning the

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[609] Keister, 108.
[610] Gutzwiller, *Shakuhachi*, 159.
[611] Hartshorne and Tanahashi, 45.
[612] Linder, 264, quoting Christopher Blasdel, *The Single Tone: A Personal Journey inot Shakuhachi Music* (Tokyo: Printed matter Press, 2008), 17.
[613] Linder, 264.

> basic repertoire in an ideal situation…I would interpret the system of 'lesson days,' rather than having an appointment at a specified hour, to be part of the external context in getting used to a long wait for the results to show.[614]

Watazumi warned his students of this same idea more explicitly (rather than leaving them to infer it from the lengthy process itself), saying, "You all have to give up the idea of wanting to become good or great at music," and instead simply "be willing to work at music for many, many years."[615]

A student who is not patient may possess technical skills but lack what Grous calls "feeling" and Gutzwiller calls "maturity." Grous notes that "Even after one has gone through all the pieces once, usually a student repeats the entire cycle for a second or third time. Each time more feeling is instilled into the blowing as the student learns the nuances of meaning."[616] The more "feeling" in the blowing, the longer a player likely has been studying, and for Gutzwiller, the more patient and natural the player:

> [The student] may sometimes be compared to a flower grown in a short time in a hothouse. It may be much more beautiful than a flower grown outside but it grew artificially, against the law of nature, of seasons, of time. Such a student may be brilliant and gifted but he did not yet have the necessary time to let the music sink in, to soak his personality in the music. Although he has acquired the requisite technical skills he may

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[614] Linder, 268.
[615] Watazumido-so Roshi, "The Way of Watazumi," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d), 191.
[616] Grous, 47.

> not have achieved the necessary personal maturity which is the most important requirement for playing the music.[617]

Kenkō urges humility with regard to one's accomplishments, rather than reaching too quickly for achievements (as in Gutzwiller's analogy of a flower grown in a hothouse) or boasting of one's abilities. For Kenkō, a lack of humility, not only in deeds but also in thoughts, turns a person into an untamed, vicious animal:

> The man who makes a show of his own knowledge and contends with others is like a horned animal lowering its horns or a fanged animal baring its fangs. It is excellent in a man not to take pride in his good deeds and not to contend with others. An awareness of one's superiority to others is a great failing. The man who considers himself superior, whether because of his high position, his artistic skill, or the glory of his ancestors, is much to blame, even if he does not voice his pride in words but keeps it in his heart…A man who is truly accomplished in an art is well aware of his own faults, and his aspirations being always higher than his achievements, he will never boast of himself to others.[618]

Geidō and Disinterest in "Music"

As with the Zen concept of a beginner's mind, *geidō* favors process over product. Some shakuhachi players, often those for whom meditative concerns take precedence over musical ones, believe that a fundamental disinterest in music making is essential to good shakuhachi playing. This is not a universally held belief. Lee notes that Aoki Reibo II (b. 1935) "regards

[617] Gutzwiller, *Shakuhachi*, 155.
[618] Yoshida, 144.

honkyoku not as means for spiritual training, but as music…[and] views shakuhachi performers who stress the connection between *honkyoku* and Zen Buddhism as 'spiritual charlatans.'"[619] However, for players who continue to think of the shakuhachi as a *hōki* (tool for Zen), or at least do not regard its spiritual elements as charlatanism, playing the instrument is not a means to an end (i.e., music), but rather an end in and of itself (i.e., *geidō*).[620]

Geidō permeates Fuke-shū writings about shakuhachi playing and draws upon Kenkō's celebration of imagined experiences as being more enjoyable than phenomenal ones:

> And are we to look at the moon and cherry blossoms with our eyes alone? How much more evocative and pleasing it is to think about spring without stirring from the house, to dream of the moonlit night though we remain in our room![621]

Kyotaku denki kokuji kai similarly favors one's mental experience over a phenomenal one (i.e., an experience comprised of physical sensations in the real world). The sound of the shakuhachi in Kichiku's dream is characterized as "exquisite," with a "beauty" that "was beyond description," but his playing in the real, waking world is not described at all.[622] Fūyō's *Hitori mondō* similarly elevates a proper spiritual attitude over musical content by emphasizing the former while mentioning little about the latter.[623] This implies that the meaningful content of the music is the player's mental experience, not the sounds made, and that "goodness" with regard to shakuhachi playing rests on a player's mental experience rather than audible sounds.

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[619] Linder, 246, quoting Riley Lee, *Yearning for the Bell: A Study of Transmission in the Shakuhachi Honkyoku Tradition* (PhD diss., University of Sydney, 1992), 289-290. Aoki is the *iemoto* of the Reibo-kai lineage within the Kinko-ryū, following his father, Aoki Reibo I.
[620] Araki notes that "Many Fuke shakuhachi people who believe in the religious legend call the shakuhachi *Kyotaku*, Hokki or *Hocchiku* (religious instrument) and do not refer to it as a musical instrument at all" (Araki, 136).
[621] Yoshida, 115-118.
[622] "History," 51; Tsuge, 126; Kamisangō, "History and Development," 98-99. In Kamisangō's telling, the shakuhachi in Kichiku's dream has a "wondrous sound."
[623] Hartshorne and Tanahashi, 41.

Disinterest in music making comes from the fact that, as Gutzwiller notes, the *honkyoku* repertoire in the strictest sense "is not meant to be listened to" because it is designed for individual meditation, not the "public."[624] Some players believe it is appropriate to perform only *gaikyoku* for public audiences, not *honkyoku*,[625] and others may only ever perform for their students or teachers during lessons.[626] Watazumi, for example, adamantly rejects the notion of a "performance" or an "audience" and remains squarely within the shakuhachi *geidō* tradition in doing so:

> And it [*suijo*, blowing] must be completely different from a performance of music. WATAZUMIDO also handles sound, but the sound is to come out as a result, and there should be a perfect idea of sound before the sound is uttered. Thus, it cannot be called a performance.
>
> SUIJO [concentrated blowing] embodies the philosophical principle not by a performance but by showing a sound. And the free use of every technique is involved in the practice of it…
>
> It is neither a clear arrangement of sounds nor a playing of melodies.[627]

Geidō is also intrinsically enjoyable.[628] In describing *geidō*, Kenkō emphasizes one's "delight" in the process itself: "It is certainly true that once one occupies oneself with the big,

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[624] Gutzwiller, *Shakuhachi*, 97. This does not mean that they are not performed in public, however, only that some players are more reluctant or unwilling to do so.
[625] Norman Stanfield, "Two Perceptions or Music Compared: The Meian and Kinko Schools of Sacred Solo Shakuhachi Music," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 187. Stanfield is a professor of ethnomusicology at the University of British Columbia.
[626] Gutzwiller, *Shakuhachi*, 12.
[627] Mayers, "Watazumido Doso Roshi—His Practical Philosophy," 22.

one loses interest in the small. Among all the many activities of man, none gives profounder pleasure than delight in the Way."[629] The journey (i.e., "the big") takes precedence over any other worldly goal (i.e., "the small"). In shakuhachi playing, interest in a goal, such as playing musically, is a distraction from one's spiritual progress. Instead, one should be focused on what one is doing and feeling (i.e., *geidō*) rather than the musical sounds that will ensue (i.e., the result of art). Clifton Karhu notes that striving for the inconsequential phenomena of musicality (e.g., intonation and rhythm), like striving for Zen, is a way to ensure failure. A player should instead enjoy the process as it unfolds: "To attempt to do Zen immediately does away with Zen. The attitude of NO ZEN is the beginning of facing in the direction of Zen."[630]

For players who orient themselves more toward the music side of the Zen-music spectrum, the mental experience remains paramount as well. There is a marked abdication of responsibility for the listener's experience and a detachment from listening-based outcomes. Blasdel notes that Yamaguchi, for example, used the poem "Hana" (Flower) by Saneatsu Mushanokōji (1885-1976) to capture "his attitude towards music and artistry":

> People may look at me, or they may not.
>
> I will still bloom.[631]

Singer believes that his successful playing comes directly from his ability to focus on his own enjoyment and his disinterest in others' reactions: "I'm not involved with shakuhachi to please

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[628] This recalls Mihalyi Csikszentimihalyi's description of an autotelic experience. See Chapter 2, p. 10.
[629] Yoshida, 149-150.
[630] Clifton Karhu, "Zen, Zero Zen, No Zen and Watazumidozen," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 14. Karhu goes on to say that if a performance happens to be musical, that is not a problem, but it is not a necessary feature of Zen playing. Karhu (1927-2007) was an American artist living in Japan.
[631] Blasdel, "The Secret of Balance," 252. Yamaguchi Gorō learned this poem and mindset from his father.

anyone but myself…I don't care if anyone 'follows' this direction or not. That has nothing to do with me and is not my responsibility."[632] Even when playing on a recording, shakuhachi players actively reject a listener-driven motivation. Kamisangō notes that Jin Nyodo's 1958 record, "The Shakuhachi of Jin Nyodo: a Collection of Classical Honkyoku," the only available recording of his playing," was only made as a practice aid for a student to play along with, as if in a private lesson, in which the student could concentrate on internalizing his teacher's proper execution.[633]

Singer argues that music making and *geidō* are not entirely incompatible: rather, the true stumbling block to success is an interest in fame, mastery, or impressing others (i.e., not having a beginner's mind and being distracted by external concerns). A player who declares himself or herself to have "mastery" as a goal reveals that he or she has approached the instrument incorrectly, with respect for neither the music nor Zen, that he or she does not possess a "beginner's mind," and that his or her actual success (in any measure) will be limited:

> In and of itself the desire to improve oneself on the Shakuhachi can be compatible with a true love of the process. Usually, however…the focus on "Mastery" has more to do with a person's fantasies and ego, and wanting to attain some status or power, and this can be counter-productive to shakuhachi practice and study. And, I believe it is counter to the spirit of the instrument to have an obsession with mastery of it…If someone asks, "how long will it take to master it?" then I can be reasonably sure they have a motive which really has nothing to do with a love of shakuhachi and the process it involves, which by

[632] Singer, "Articles."
[633] Kamisangō, "The Shakuhachi of Jin Nyodo," 7. During a lesson, the teacher is focused on his own execution (*geidō*), not the sound made. For a discussion of shakuhachi private lesson structure, see pp. 156 and 161f.

> the way, never ends. The term "Master"…in the context of shakuhachi…should mean a certain degree of competency.[634]

The best players, following Kenkō's definition of the "truly enlightened man," are those who have "no learning, no virtue, no accomplishments, no fame."[635] They possess a beginner's mind ("no learning"), are humble ("no virtue," "no fame"), and are focused on the process over the product ("no accomplishments"). A person concerned with impressing others with his or her skills "will never learn any art" (i.e., will have no spiritual development).[636]

For players lacking the correct mindset but aware of its outward indicators, portraying a detachment from music making, in order to capture the aesthetic of *geidō*, becomes a goal in itself. Keister notes that some players purposely play with a "harsh" sound (*shibui* or "vulgar") in order to achieve or portray their "correct" mindset. Dan Gutwein, verbalizing the inner struggle of other shakuhachi players who have not yet become masters, expressed fear at following the path, derided by Aoki Reibo II, of a "spiritual charlatan":

> I feel like I'm intentionally playing a harsh sound [instead of a sweetened, centered tone] in order to attain "beginner's mind"… am I not "judging" that playing "sweetly" is a symbol of "grasping"?... Why should I substitute one form of grasping for another?[637]

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[634] Singer, "Articles."
[635] Yoshida, 35.
[636] Yoshida, 134.
[637] Keister, 114, quoting an email exchange with Gutwein. The ellipses in this quotation are Gutwein's own expressive punctuation. The concept of "harshness" also appears in other Japanese arts under the broader aesthetic terms *shibui* and *sabi*. *Shibui* means harsh but also astringent, rough, or noisy. See Lewis Rowell, *Thinking About Music*, (Amherst, MA: The University of Massachusetts Press, 1983), 201. *Sabi* refers to an object's "roughness" or its "old and faded" appearance. See Eliott Weisgarber, "The Honkyoku of the Kinko-Ryū: Some Principles of its Organization," *Ethnomusicology* 12/3 (September 1968): 318.

The tone quality of the shakuhachi was also described as "vulgar" in *Gayū Manroku* (1755): "Nowadays there's something long and thick called the shakuhachi. It's used with the *sangen*

Individual Journey

Despite being part of an *iemoto*'s studio, a student is ultimately traveling on his or her own individual journey, one that will never be complete because the student is, in a sense, always a beginner (because he or she possesses a beginner's mind). Progress in shakuhachi playing is described with language that depicts an inward journey into the depths of oneself, which correlates to one's position within a *ryū* from outside to inside. Students in the Kawase branch of the Kinko school, for example, are classified according to stages of accomplishment that also follow an outside-to-inside trajectory: *shoden* (initial), *chūden* (intermediate), *okuden* (inner), and *kaiden* (initiated).[638] Lessons are structured according to the skill level of the student, with Yamaguchi's beginning students learning "*gaikyoku* [pieces from outside the Fuke tradition] initially when mastering the basics of the instrument and only after considerable study are they introduced to *honkyoku* [pieces from within the Fuke tradition]."[639] The process of learning individual pieces, regardless of a student's stage, is also described as a journey inside oneself, from the teacher's external playing to inside the student's body. Linder would generally learn a single piece in four weekly lessons with Yamaguchi over the course of a month, in which they would play the piece in unison. Once the learning process was completed, Yamaguchi would say "that the student was given the piece, i.e. the piece was thereby transmitted," and the process of "internalizing" the piece could begin.[640]

(*shamisen*), and it can also play low sounds. As for the tone, it's 'vulgar'." See Kamisangō, "History and Development," 114.

[638] Gutzwiller, *Shakuhachi*, 151. Only *kaiden* students play *honkyoku*.

[639] Richard Fletcher, "An Interview with Yamaguchi Gorō—A Master of the Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 247.

[640] Linder, 265.

The precedence of this inward, individual journey prescribes appropriate behavior for shakuhachi teachers, who are expected to cultivate a sense of detachment from their students' success and progress. Progress is the purview of the student, according to Gutzwiller:

> [I]t is only the student who can decide what progress he is ready to make, any explanation from the side of the teacher in a medium other than music imposes a progress on the student from without. And only the progress the student has made at his own pace, without having been urged to do so, is the progress that counts. Over this the teacher has no power.[641]

After introducing beginner students to the technique of shakuhachi and guiding intermediate students through common problems, Koga Masayuki would adopt a more detached approach with his more advanced students and tell them that "to improve your sound you have to deal with yourself, your attitude to your music, [and your attitude] to your life" rather than directly telling them what to do.[642] In lessons, Yamaguchi's approach was similarly passive, never telling Blasdel exactly what he should be doing. Blasdel found that the lack of any real critique increased his sense of ownership and awareness of his own playing because he was forced to listen intently, to organize or explain the material to himself, without the aid of his teacher's words:

> He [Yamaguchi] did not rely on words or concepts. Of course, he would patiently answer any question or give explanations if needed, but he only sounded forth when a question was asked. Otherwise, all his teaching was done by example. Therefore, one had to be alert and listen. His tones said more than his words, and fumbling along with

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[641] Gutzwiller, *Shakuhachi*, 153-154.
[642] Koga Masayuki, "Shakuhachi Essays," ed. Margo Hinkel, in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 78.

> him through a piece (he would only stop if the student was hopelessly lost), one got a glimpse of a flow and musicality in the piece which registered to a deeper part of the mind than where words and explanations reach.[643]

This approach is notable for bypassing the left hemisphere and cortical areas of the brain and relying only on the aural and physical sensations of the student—it sets up the possibility of flow or a peak experience.[644] This teaching style also engenders strong feelings of admiration and respect on the part of the student, overpowering any frustration Blasdel was feeling with the lack of verbal explanations:

> Every time I sat in front of Yamaguchi, however, the power and beauty of his tone and personality totally reaffirmed my dedication to the instrument. I was totally in love with him; his music, his way of speaking, his way of smiling, and his sense of humour. Any mistake on the student's part, either in music or etiquette, was forgiven, and one was re-harmonised through the experience of a weekly lesson.[645]

Instrument Choice as an Outward Manifestation of Inner Identity

A player's individual inward journey has outward manifestations that serve as an indication of the direction a player has decided to take. One such outward manifestation is a player's instrument. Advanced players consciously select an instrument that produces particular sounds, a particular playing experience, or a particular set of technical struggles—the instrument is a means of both projecting and working toward a particular identity. The spectrum of shakuhachi players ranges from those focused on "musical" concerns (e.g., encompassing

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[643] Blasdel, "The Secret of Balance," 251.
[644] Judith Becker refers to this as the "languaged" parts of the brain. See Chapter 2, p. 16.
[645] Blasdel, "The Secret of Balance," 251.

intonation, projection, musical expression, and performing for an audience) to those more concerned with meditative issues. Generally, those who fall on the music side opt for a standardized instrument that is *ji-ari*,[646] constructed according to a lengthy process that Blasdel describes in his manual. The interior bore of these instruments has been lined with grounding cement (several layers of *urushi* lacquer and *tonoko* sand), which produces a more even, stable instrument that has "durability" and a distinct tone color.[647] The stronger, clearer tone color, predictability, and reliability of these instruments, as well as Blasdel's overall descriptors of "proper" and "careful," make them more suited to performing for an audience.[648] Linder notes that most shakuhachi played today are *ji-ari* instruments.[649]

Players for whom standards of musical precision are secondary to meditative concerns generally prefer *hōchiku* (unstandardized) instruments, of which *ji-nashi* (the interior remains unlined) is one characteristic.[650] The unstandardized instrument acts as a simulacrum of a player's mindset or shorthand for a player's spiritual journey. There is no universal correct choice, but rather Kenkō argues that one should first look inside oneself to find the values that will in turn guide all of one's actions and focus, saying "we must carefully compare in our minds all the different things in life we might hope to make our principal work, and decide which is of

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[646] Linder, 85.
[647] Blasdel, *The Shakuhachi*, 3.
[648] Blasdel, *The Shakuhachi*, 2.
[649] Linder, 85.
[650] Koji Matsunobu's dissertation provides a thorough account of contemporary *ji-nashi* shakuhachi players' concerns, respect for the bamboo of their instruments throughout the entire construction process, and individualized approaches to playing in Vancouver and Tokyo. See Matsunobu, *Artful Encounters with Nature: Ecological and Spiritual Dimensions of Music Learning* (PhD diss., University of Illinois at Urbana-Champaign, 2009).

the greatest value; this decided, we should renounce our other interests and devote ourselves to that one thing only."[651]

Aesthetic Appearance

A player's choice of shakuhachi may be superficial: the instrument looks nice. This seemingly shallow motivation may also, however, reinforce a proper mindset. Karl Signell believes the aesthetic value of a shakuhachi's "graceful" or "elegant" curve lies in its ability to contribute to the calming, comforting, and meditative potential of the instrument, both for players and their audiences:

> The bell of the shakuhachi should show stubs of the bamboo roots, and a graceful curve of the bamboo towards the bell is a desirable feature. Great art is required for the construction of a good shakuhachi…If necessary, the artistic bending of the bell with steam completes the beauty that Nature may have omitted. The favourite instrument of master teacher Gorō Yamaguchi is admired in Japan for its long, elegant, sweeping curve and its lustrous earth-coloured patina. As with a carefully chosen stone for a Japanese rock garden, the visual appearance is important in a musical instrument.[652]

In *In Praise of Shadows* (1933-34), the novelist Tanizaki Jun'ichirō (1886-1965) claims that the appearance of age, as with the "earth-coloured patina" of Yamaguchi's instrument, has "an inexplicable power to calm and sooth."[653] This aesthetic ideal of *sabi* is a reminder of how beloved an object is, the years of joy it has given, and one's cultural identity:

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[651] Yoshida, 160.
[652] Signell, 177.
[653] Tanizaki Jun'ichirō, *In Praise of Shadows*, trans. Thomas J. Harper and Edward G. Seidensticker (Rutland, VT: Tuttle Publishing, 1977), 11. This work both describes and captures an aesthetic of obscurity; Tanizaki never states any idea forthright or clearly. Rather, he alludes

> Much of this "sheen of antiquity" of which we hear so much is in fact the glow of grime. In both Chinese and Japanese the words denoting this glow describe a polish that comes of being touched over and over again, a sheen produced by the oils that naturally permeate an object over long years of handling—which is to say grime…I suppose that I shall sound terribly defensive if I say that Westerners attempt to expose every speck of grime and eradicate it, while we Orientals carefully preserve and even idealize it. Yet for better or for worse we do love things that bear the marks of grime, soot, and weather, and we love the colors and the sheen that call to mind the past that made them. Living in these old houses among these old objects is in some mysterious way a source of peace and repose.[654]

The issue of cultural authenticity to which Tanizaki alludes is central for shakuhachi poseurs, whom Singer describes as those who select an instrument not for musical or meditative purposes but for inappropriately superficial ones. In buying a shakuhachi with the right "look," these players acknowledge the importance of a shakuhachi player's appearance, yet themselves lack the inner qualities that define a good player:

> Price is usually determined by the bamboo's coloring and shape, and the position of its different nodes. There is a rigid conception in contemporary Japan of what a shakuhachi should look like, and if an instrument possesses the requisite appearance, then it's usually

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to an aesthetic sensation or hints at it through imagery, making the document itself a manifestation of his aesthetic concerns.

[654] Tanizaki, 16-17.

very expensive…I call this the "Gold Rolex Watch Syndrome," where form is valued over substance.[655]

Personal Struggle and Zen Ideals

Players also choose *hōchiku* instruments because they create an uncharted path in terms of technique, struggles, and sounds precisely because they are unstandardized and unpredictable.[656] Keister argues that "having an unworkable flute becomes a challenge to the player, a wild and untamed plant from nature that is forced to sound as the result of human intervention and struggle."[657] This struggle reinforces the individuality of a player's spiritual journey, favors the internal experience for the player over musical sounds directed at an audience, and is "an essential part of *honkyoku*." Alcvin Ryuzen Ramos (2001) believes that *hōchiku* instruments require a greater degree of "control" than standardized instruments on the part "of the person playing," and says such players have opted for a path of self-development over music making:[658]

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[655] John Singer, "Articles." This behavior recalls players who seek a "harsh" sound because it implies a disinterest in music-making (discussed above, see p. 168). In both cases, an aspect of the instrument that implies spiritual depth has been divorced from its original meaning and chosen for superficial reasons.

[656] This preference is even more pronounced in the Myōan-ryū. Sanford describes this school's playing style as one that requires "very disciplined, almost yogic, concentration and control of breathing." See Sanford, 434.

[657] Keister, 111.

[658] Ibid., quoting Alcvin Ramos, "The Big Sound and the Silent Sound," www.bamboo-in.com/art3.html

The website Keister cites is no longer a shakuhachi website but rather that of a New York City chiropractor. Ramos' online message board posting had also been available at shikan.org/bjones/shakuh/Shakumail.2001/0114.html (accessed October 2, 2014). The posting (3 April 2001) is by "Takegawa Ramos," referring to his then-current status as *shihan*; he took the name Ryuzen when he became a *dai shihan*. It is also available as part of a larger article titled "The Meaninglessness of Zen in Shakuhachi: Suizen and Honkyoku,"

> Riley Lee mentioned earlier that it is rare to find a good *jinashi* flute. True, if you are a musician looking for the best instrument possible. But I don't think it is an issue when playing a *hōchiku*. Watazumidō used to play with the most undesirable pieces of bamboo like a bamboo clothesline pole and was able to make amazing sounds come out of it. (Or maybe it was all an act, a sham, and he really did have awesome flutes!) I think developing one's body (especially the embouchure) in relation to the instrument is most important in *hōchiku* (and *shakuhachi*!).[659]

For Fūyō, the defining distinction between music making and Zen (i.e., self-development) is the player's attitude: "If you do not make it your purpose to abandon all greed and desires, even if you blow the bamboo, it is not Zen practise."[660] Fūyō does not distinguish between standardized and unstandardized instruments, but rather he says that the shakuhachi's classification as either a musical instrument (*gakki*) or a Zen tool (*hōki*) is determined solely by the player's intentions regarding it.[661] Still, a player's undue concern with standardization or precision, such as in the length of the instrument, reveals that he or she is not focused on achieving Zen:

> There is shakuhachi as Zen instrument, and there is shakuhachi for entertainment. The Zen instrument shakuhachi is emptiness. The shakuhachi for entertainment is form.

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http://palosusan.tripod.com/about-us/articles.htm (accessed January 23, 2015). Ramos is a shakuhachi player living in British Columbia and his website is www.alcvin.ca.

[659] Ibid.

[660] Hartshorne and Tanahashi, 42.

[661] A distinction between standardized and unstandardized shakuhachi did not exist in the Edo period. *Ji-ari* shakuhachi are a development of the Meiji period and a defining characteristic of the modern shakuhachi repertoire, especially that which is influenced by Western aesthetics. See Kiku Day, "The Changes in the Construction of the Jinashi Shakuhachi in the Late 20th and Early 21st Century," *European Shakuhachi Society Journal* 1 (July 2011): 62.

> There are many people who amuse themselves with shakuhachi as a pleasure instrument; those who study shakuhachi as a Zen instrument are rare. I follow Zen practice with shakuhachi as a Zen instrument, so I am not concerned with the length or number of nodes [of the bamboo].[662]

Historical Authenticity

Some players choose *hōchiku* or idiosyncratic instruments for reasons of historical performance practice authenticity. Kamisangō notes that "Judging from the fact that they [*komosō*] were primarily individual wandering beggars who played alone, their flutes were probably entirely handmade and non-standard, with little regard to length, pitch, or shape," so a modern player may emulate this self-directed search for enlightenment by choosing an unstandardized instrument.[663] Others choose *ji-nashi* instruments for their musical authenticity. Sessan notes that the desired quality of *chikuin* is greatly diminished when a flute is made *ji-ari*, making it "impossible to project the true flavor of the piece" or to create the correct "mood and character of the piece."[664] Singer, too, chooses *ji-nashi* instruments because the playing experience feels more aesthetically appropriate to him: "My performance of Honkyoku changed when I began using ji-nashi historical shakuhachi. I believe with these flutes the performance must be more precise and delicate with less emphasis on volume and power."[665] These

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[662] Hartshorne and Tanahashi, 43-44.
[663] Kamisangō, "History and Development," 83. Day's study measured extant Edo period instruments and found their average length to be 54.5 cm, so the modern trend toward longer instruments (her study puts the average length of modern *ji-nashi* shakuhachi at 70.6 cm) may partly be due to an exaggerated sense of historical authenticity. See Day, 66.
[664] Sessan, 110.
[665] Singer, "Articles." His choice of historical shakuhachi is also partly lineage-determined: "I developed an interest in the Edo period Shakuhachi from the time of my very first lesson with Yamaguchi Goro Sensei" (Ibid.).

instruments afford him the opportunity to "re-connect with the rich historical past," to discover a historical player's "intention and understanding of Shakuhachi. This is a great gift."

Membership in a Social Group and Proclaiming an Identity

An instrument might be chosen (or given) to indicate a player's membership within a particular lineage of shakuhachi playing, according to Linder:

> Inoue [Shōei (b. 1922)] asserts that he received a specific instrument as a symbol of authority in the Kinpū-ryū, and that this instrument "symbolizes both the successful transmission of the *honkyoku* repertoire from his predecessor to himself, as well as the authority and responsibility he has as *iemoto* to define and preserve the authenticity of that repertoire."[666]

This is also true in other shakuhachi *ryūha* and serves to distinguish between them. Blasdel notes that "Shakuhachi players of the Myōan-style and Watazumi-style are especially fond of lower pitched shakuhachi, sometimes reaching three *shaku* (approximately 91 cm) or longer," instead of the more standard length of one *shaku* eight *sun* (approximately 30 cm) preferred in the Kinko-ryū.[667] The sense of what is "appropriate" is passed down from teacher to student. Singer's students, for example, imitate his preference for Edo-period shakuhachi over modern instruments: "I no longer like using the more modern shakuhachi for honkyoku and neither do my more advanced students."[668] Yamaguchi Gorō stated that his choice of an unusually curved

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[666] Linder, 246.
[667] Blasdel, *The Shakuhachi*, 8. Day notes that the construction of *ji-nashi* instruments favors longer instruments because makers try to balance the length to the natural bore of the bamboo, rather than adapting the bore to a standardized length (i.e., 1 *shaku*, 8 *sun*). See Day, 66-67.
[668] Singer, "Articles."

instrument was influenced by not only its visual appeal but also the fact that it forced him to play in a particular way and that it created a sense of continuity with his father's lineage:

> I have a preference for the curved tube. There is really no difference between it and other instruments. It is unusual because of the difficulty for the craftsman to create a fine instrument with this amount of curve. A straight instrument produces a more natural sound because of the resonance within the tube. On the other hand, an instrument with a curve like mine produces a more complex series of overtones and has a different sound. It is initially more difficult to play, but after years and years of practise, one can produce a deeper sound. This is why I choose to play the curved instrument. My father also liked the curved body.[669]

Part of claiming an identity and projecting one's commitment to the shakuhachi, especially for a Western player, is the rejection of the standards and preferences of intonation and timbre that define Western classical music. Linder distinguishes between the *ji-ari* instrument, which "may sound more like a Western flute," and the *ji-nashi* instrument, which will "have a softer and more natural sound," and is "almost impossible" to tune.[670] Keister notes that some players use the tone quality and intonation of unstandardized instruments precisely to claim a traditional *komusō* identity or their individuality:

> [A] "raw" *shakuhachi* is closer to a romantic notion of unspoiled nature and the ideal of simplicity found in Zen…Players who wish to emulate the blowing Zen practices of *komusō* can choose these rawer flutes that do in fact approximate the kind of flutes these monks were actually playing during the Edo era. Furthermore, with less standardization

[669] Fletcher, 248.
[670] Linder, 85.

> and a greater degree of variation from flute to flute, the unique quality of one's own *hōchiku* becomes desirable for the individual practice of "one's own *honkyoku.*"[671]

These players described by Keister allude to a historical notion of individuality described by Fūyō (1823). Fūyō suggests that the more individual the instrument, the more individual the player, and the more secure he or she likely is in his or her own identity, of which the instrument is a manifestation:

> The human heart is as wide as the universe, however people restrict themselves so they are not free to move…In past and present times, the human heart has not changed. If there are changes [in which instrument is preferred at a certain time], it is only because people have become slack in following the way. With shakuhachi the number of nodes and length is up to your heart. There is no need to be concerned with the shape of the bamboo or the number of nodes. If you are concerned with form, then you must not break the traditional rules. But if you concentrate on emptiness then you should not be attached to the old ways.[672]

Watazumi explicitly chooses to play unstandardized, unusual instruments, and other practitioners note his behavior with admiration. Ramos marvels at the "amazing sounds" Watazumi produced,[673] and Dan Mayers lauds Watazumi's ability to play "enormous natural bamboo shakuhachi," not only being able to make a sound but also playing them "with

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[671] Keister, 111. Ian Mabbett notes that this preference for an "unformed" or "natural" tone quality "irresistibly evokes the oneness with nature that is at the heart of Taoism; and there is a great deal of Taoism in the Zen spirit." See Mabbett, "Buddhism and Music," *Asian Music* 25/1 (1993): 19.
[672] Hartshorne and Tanahashi, 43-44.
[673] Ramos, "Meaninglessness."

unparalleled originality, vigor, and virtuosity."[674] Mayers' praise comes from his surprise and his awareness (through Watazumi's actions and choice of instrument) that Watazumi was so securely on his own path that a seemingly impossible instrument could not sway him from it.

A shakuhachi player's identity may also be less explicitly spiritual and more that of a skillful musician. For Singer, choosing to play historical instruments is an indication of a player's high degree of technical skill, given the difficulty of controlling them:

> The finer Edo period instruments, in playable and undamaged original condition are *extremely rare* having a purity of tone which is superb and in my opinion, unmatched by almost all later instruments. However, they are difficult to control requiring great skill, and are not usually suitable for ensemble purposes. It seems to be the case that only a few special experienced and flexible players are able to use and appreciate the Edo Shakuhachi.[675]

Singer acknowledges a tradeoff with regard to intonation, but he believes a good musician won't be limited by the instrument but rather will be able to make his or her skill known:

> If I'm sacrificing musical accuracy in pitch for tone quality it is, in my opinion, well worth it, as a good player can make any necessary pitch adjustments…[With any instrument] tuning in part always depends on the player…Sometimes each note must be played differently and this takes receptivity and skill, which few seem to have.[676]

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[674] Mayers, "A Visit with Watazumido Doso Roshi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 18. At the time of his death, Watazumi had shakuhachi in his home whose circumferences ranged from 12.5 cm to 25 cm. See Rudi Foundation of Michigan, Incorporated, "Watzumido Doso Roshi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 13.

[675] Ibid. Emphasis in the original.

[676] Singer, "Articles." The fact that Singer is concerned with intonation at all indicates that he is more a music-oriented player than a Zen-oriented player.

Conclusion

While the shakuhachi community encompasses players who represent a spectrum of concerns and motivations, ranging from more meditative to more musical intentions, there exists a consensus on the importance of a player's inner mental experience. This mental experience begins with adopting the proper mindset, which is the largest determining factor among all of one's other actions. The proper mindset has its roots in Edo-period shakuhachi playing ideals and comprises a sense of happiness, focused concentration, sensitivity to subtle distinctions, possession of the Zen ideal of a beginner's mind, adherence to the principle of *geidō*, and acknowledgment of the individuality of one's experience or journey. One of the more striking physical manifestations of a player's mindset is the instrument he or she chooses to play. This choice may be motivated by an array of factors for players who are more concerned with meditation as well as those more concerned with musicality, included aesthetic appearance, one's individual journey, historical authenticity, and membership within a social group. This array of factors constitutes the kind of experiential knowledge that practitioners bring to the listening experience and use to evaluate that listening experience.

Chapter 7: Mental Discipline in Shakuhachi Execution

Playing shakuhachi is a highly individualized and personal experience that occurs within the framework of inherited gestures of cultural meaning (i.e., the habitus of the shakuhachi community).[677] The original intention of *honkyoku* is to offer shakuhachi players a path to enlightenment, but *honkyoku* do not offer "the" path to enlightenment, and each individual's shakuhachi practice can reveal a different path (i.e., a different kind of musical execution). The confines of the proper mindset (Chapter 6), in tandem with the prescribed physical actions of musical execution (*kata*), root a player in the shakuhachi tradition, while the musical ambiguity of the *honkyoku* repertoire forces a player to find individualized "answers" to the *kōan* (paradox) of *honkyoku*, as determined by a player's instrument, body, and mental discipline. That each individual is traveling his or her own inward path and is eventually expected, in his or her growth as a student, to deviate from the written notation and the interpretive style of his or her teacher makes universal judgments about musical execution moot. However, musical execution can still imply a lack of mental discipline, as technique can depart too radically from tradition or do so in a way that implies the wrong attitude. Execution of breathing, silence, and rhythm all reveal a player's (lack of) understanding of the coherence, structure, and habitus of these works. The sweet spot of "good" execution lays in between, on one side, literal fidelity to the score and a teacher's style, and, on the other, an interpretation that forsakes the correct mindset or spirit of the music.

There exists a spectrum of intentions regarding one's shakuhachi practice within the shakuhachi community, ranging from more meditative to more musical concerns, and most

[677] See Chapter 3, pp. 33ff for a discussion of Pierre Bourdieu's concept of habitus and Chapter 5 for a discussion of the habitus of the shakuhachi community.

players adhere to tenets found at both ends of that spectrum. Even if a player's execution is not listener-oriented (i.e., he or she falls further toward the meditation end of the spectrum), a listener may still be present (e.g., a teacher, a fellow student, a colleague, or even an audience or consumer of recordings). Playing in this case is done for the benefit of the player himself or herself—it is immaterial whether an external listener is present or not—but practitioner-listeners can and do make evaluative statements about their own playing (based on their own internal mental experience) as well as that of their colleagues' playing (by inferring that internal mental experience in one's sounds and physical gestures).[678] The phenomena of musical sounds that result from a player's actions on the shakuhachi (i.e., *geidō*, the art that results in observable musical sounds) serve as an indication of the player's inner essence or inner experience. Practitioners' evaluative statements arise out of their enculturation within the shakuhachi community, which allows them to understand the broader implications of a player's musical choices, physical actions, and behavior.

Musical Execution that Implies (a Lack of) Mental Discipline

Execution that proclaims membership within the shakuhachi habitus is that which implies, allows for, and requires focused attention. Timbre is a central issue in shakuhachi playing and encompasses these issues of membership. It is a point of fascination not only for Western writers[679] but also historically in Japan. Shakuhachi practitioners' expectations with regard to "correct" timbre draw upon the many instances of its associations with Zen Buddhism,

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[678] This is an example, following Jean-Jacques Nattiez, of the receiver's esthetic processes inferring the producer's poietic processes from the musical trace. Nattiez in particular stresses that the producer's (i.e., player's) poietic processs have no obligation of intention—they do not have to intend to communicate meaning in order to do so. See Chapter 3, p. 45f.

[679] E.g., William P. Malm, *Japanese Music and Musical Instruments* (Rutland, VT: Charles E. Tuttle Company, 1973, first published in 1959).

darkness, night, and obscurity in literature. The sound of the shakuhachi in its legendary origin story, for example, emerges out of the dark, foggy night of Kichiku's dream, in which he hears a shakuhachi playing the pieces *Mukaiji* and *Shin no Kyorei*:

> Kichiku was poling a punt, alone on the sea, admiring the full moon. Suddenly a dense fog covered everything and the moonlight, too, grew dim and dark. Through the fog, he heard the sound of a flute, desolate and sonorous. The beauty of the sound was beyond description. Shortly the sound ceased. The fog got thicker and thicker and became a dense mass, from which the wonderful sound of the flute emerged [again]. Kichiku had never heard such an exquisite sound.[680]

The association of the shakuhachi and night, like other aspects of the Fuke legend, draws upon historical precedents. In his *Kyōun Shū* (Crazy Cloud Collection),[681] Ikkyū Sōjun (1394-1482) uses word play on the *hitoyogiri* shakuhachi to connect it to nighttime, with "*hito-yo*" referring both to the *hitoyogiri* and to "one night":

> Although I thought the shakuhachi a friend for just one night,
>
> It has stayed my friend many nights until old age.[682]

Similar imagery appears in the song collection *Ryūtatsu kouta* by Takami Ryūtatsu (1517-1611):

> The tones of the shakuhachi "*hitoyogiri*" may satisfy for one night,

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[680] "The History of the Kyotaku." *Asian Music* 8/2 (1977): 51; and Tsuge Gen'ichi, "The History of the Kyotaku," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 126. This anecdote also appears in Christopher Blasdel, "The Shakuhachi: Aesthetics of a Single Tone," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 15.

[681] This collection of Chinese-style poems includes several references to the shakuhachi, music, and sound images, and Ikkyū's insistence upon the role of sound in Zen is a lasting part of the shakuhachi's ethos. See Kamisangō Yūkō, "History and Development," trans. Christopher Yohmei Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 79-80.

[682] Kamisangō, "History and Development," 86.

> But sleeping with you for just one night is not enough.[683]

The shakuhachi's sound is considered beautiful by its practitioners partly because, following Yoshida Kenkō's reasoning, the obscurity of darkness or nighttime makes beautiful things more beautiful, endearing things more endearing, and sensory phenomena more moving:

> I feel sorry for the man who says that night dims the beauty of things. At night colors, ornaments, and richness of materials show to their best advantage…lamplight makes a beautiful face seem even more beautiful, and a voice heard in the dark—a voice that betrays a fear of being overheard—is endearing. Perfumes and the sound of music too are best at night.[684]

Riley Lee equates obscurity with a kind of truthfulness; it is through its mysteriousness that the shakuhachi communicates great meaning. His description the first time he heard the shakuhachi recalls Kichiku being embraced by the fog in his dream on Mt. Asamagatake:

> The melody was quiet, subdued, and seemed made for meditation. It was music to relax by, to let flow over one's consciousness, to soothe the mind and body. At the same time it spoke of deep things, of mysteries and wisdom. "There are many other things you don't know, my friend, and had best find out," it seemed to say.[685]

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[683] Kamisangō, "History and Development," 82.
[684] Yoshida Kenkō, *Essays in Idleness: The Tsurezuregusa of Kenkō*, trans. Donald Keene (New York: Columbia University Press, 1967), 164.
[685] Riley Lee, "An American Looks at the Shakuhachi of Japan: 1 April 1986," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 113.

Performance as Theorizing

Although there is a general preference among practitioners for a shakuhachi timbre that conjures images of darkness and mystery, within each piece there is an expectation of a variety of tone colors. Bob Grous defines the "particular tonal texture" of the shakuhachi by its contrast of timbres,[686] and Andreas Gutzwiller similarly says that one should ideally avoid "normalizing" or "equalizing timbres" to produce evenness from one pitch to the next.[687] This timbral variation results from the techniques required to produce chromatic and microtonal pitches beyond a simple five-note scale, and its use indicates a player's understanding of tonal structure.[688] A *meri* pitch, from *meru* (to lower), is one that is lowered up to a minor third and can be produced by the partial covering of finger holes (*chū-meri*)[689] or the angle of the embouchure relative to the instrument with some finger adjustment (*meri* or *ō-meri*).[690] Christopher Blasdel describes the timbre produced by these techniques as veiled without being overly diffuse:

> Because of the small hole opening and flattened angle, the *meri* tones on the shakuhachi are very soft. The subdued nature of these tones are [sic] an important part of the musical expression in classical pieces. They should not be too breathy, however.[691]

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[686] Bob Grous, "An Introductory Manual for Kinko-ryu Honkyoku," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 66.
[687] Andreas Gutzwiller, *Shakuhachi: Aspects of History, Practice and Teaching*, (PhD diss., Wesleyan University, 1974): 48.
[688] On a standard length shakuhachi, the fundamental pitches are D, F, G, A, and C (Gutzwiller, *Shakuhachi*, 84, note 3).
[689] Christopher Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 39.
[690] Blasdel, *The Shakuhachi*, 41.
[691] Blasdel, *The Shakuhachi*, 41-42.

There is also *kari*, which Blasdel describes as "slightly overblown to produce a higher pitch."[692] The head is also slightly raised, giving "these tones…a tendency to stand out." More rare is *ōtaki*, in which the head is lifted even higher.[693]

The technique that a player chooses to execute a pitch (e.g., *meri*, *kari*, *ōtaki*) constitutes part of a player's theorizing about the musical structure of the piece and also communicates that structure to an attuned listener.[694] Gutzwiller notes that the tonic will be a *kari* note[695] because these tones "sound relaxed and open."[696] *Meri* notes sit just above the most important notes in the scale, acting as upper leading tones and providing "a certain tension." Players will work to maintain the *meri* sound quality, producing it by any means necessary and "under the most difficult circumstances" in order to preserve the function of a leading scale degree in different transpositions, as when a second scale degree might "naturally" be played *kari*. A sensitive player, however, would find an alternative extreme *meri* position to ensure the correct tone quality. Similarly, the *ōtaki* technique is used to produce the correct *kari* sound quality for a scale whose tonic might naturally be *meri*, and the "use of the technique shows that the shakuhachi player has taken special care to ensure the right timbre for a given pitch."[697]

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[692] Blasdel, *The Shakuhachi*, 42.
[693] Gutzwiller, *Shakuhachi*, 50.
[694] An attuned listener may be another practitioner who happens to be present, even if the sounds made are not directed at him or her.
[695] Gutzwiller, *Shakuhachi*, 119. These pitches would be usually D, G, or C on a standard length shakuhachi. Traditional Japanese music theory or shakuhachi terminology does not use the word "tonic." However, I use "tonic" here because Gutzwiller does so in order to refer to a pitch that provides a work with a sense of rest and closure.
[696] Gutzwiller, *Shakuhachi*, 49.
[697] Gutzwiller, *Shakuhachi*, 50.

Executing the correct pitch without the correct timbre is incorrect, because if there is a choice, "timbre wins."[698]

There is also an expectation among shakuhachi practitioners of tone color variety within each phrase (i.e., *meri–kari–meri*), and proper execution relies on a player's ability to focus on the transition between these colors. Gunnar Linder refers to an *onku* or "sound phrase," which "is ideally performed in one breath," as "the smallest melodic unit."[699] Gutzwiller refers to it as "the tone cell":

> In the notation, they [tone cells] are indicated by the symbol "o", are usually played in one breath, and are, therefore, also called *issoku on*, one-breath notes. These cells are relatively short as they are limited by the length of one breath. Since they are separated through the pause which occurs due to quiet inhaling, they are clearly separated from each other and are closed tonal unities.[700]

Each tone cell will have one, two, or three main notes, each surrounded by "auxiliary notes." These are "moveable" pitches and their execution is an indicator of a player's enculturation within a *ryūha*:

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[698] Gutzwiller, *Shakuhachi*, 51. Depending in timbre, a pitch can have multiple names, i.e., it can be "different" notes. See Karl Signell, "The Mystique of the Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 179.

Linder also notes that intonation has historically been of little concern, since *komusō* were often described as not playing in tune. See Gunnar Linder, *Deconstructing Tradition in Japanese Music: A Study of Shakuhachi, Historical Authenticity and Transmission of Tradition* (PhD diss., Stockholm University, 2012), 92, citing Nakamura Sōsan, *Shichiku shoshin-shū Shichiku shoshin-shū* (Collection for Beginners of Pieces for Strings and Bamboo, 1664) (Tokyo: Fukkoku, 1976).

[699] Linder, 250.

[700] Gutzwiller, "Die Shakuhachi der Kinko-schule," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 174.

> This movement begins higher than notated and then moves to a pitch which lies approximately a quarter-tone lower than notated, and then is resolved to the main note. This movement is essentially the same, regardless of whether the main note lies higher or lower than the auxiliary pitch. It is characteristic of the Kinko school and great value is placed on its execution.[701]

A player's focus during the execution of these tone cells is a means to access deeper forms of knowledge than are typically available. By focusing on *geidō* and the minute details of each tone cell, the player is put in touch with larger issues: *in-yō* cosmology, harmony with nature, and *aji hon fusho*.[702] These varying interpretations indicate three different listening or, more accurately, playing, experiences within the shakuhachi habitus. A player cannot necessarily discern another player's motivation just by listening, although he or she would be able to say if that player executed a tone cell with an appropriate attention to detail, feeling, and tone quality.

In Gutzwiller's interpretation, tone cells are characterized by the structural use of tone color to reinforce *in-yō* cosmology.[703] In each tone cell, the contrast of tone colors inherent in their execution provides a sense of completeness and coherence because they "make the full properties of a thing known," encompassing both *in* (*yin*, negative, female, dark) and *yō* (*yang*, positive, male, bright).[704] Each tone cell is comprised of a leading note (*in*), an initial, often unspecified introductory pitch; its *meri* tone color, quiet dynamic level, and microtonal intervals

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[701] Ibid.
[702] Focusing on a single note at a time recalls Csikszentmihalyi's description of the limitation of one's stimulus field and attentional focus, suggesting why this behavior can result in a heightened mental state. See Chapter 2, pp. 10f.
[703] Gutzwiller, *Shakuhachi*, 114.
[704] Gutzwiller, *Shakuhachi*, 97.

build up tension.[705] The main note (*yō*), played *kari*, louder, and possibly executed with some sort of breath or finger attack, releases the built-up tension from the leading note and then restores tension by again moving away from the main note in terms of pitch, tone color, and dynamic level.[706]

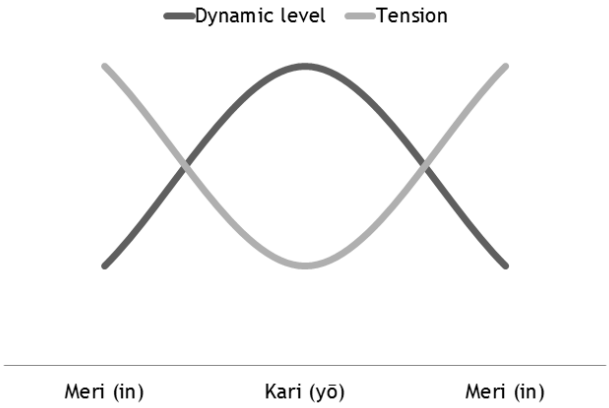

Figure 7.1 Structure of tone cells.[707]

The meaning imbued within the structure of each breath is tied to the player's own bodily awareness. The start of each tone cell begins at the player's physical center (the navel), expands outward (*in-yō*) and then contracts (*yō-in*).[708] This motion corresponds to the feeling of breath moving in and out of the body and the gentle circle made with the shakuhachi over the course of the tone cell.

Koga Masayuki ascribes the meaning of these tone cells to the player's focus on the microtonal intervals of the auxiliary notes ("those notes which drop through the 12-note

[705] Gutzwiller, *Shakuhachi*, 102-104. William Malm and Elliott Weisgarber both refer to these as "moving notes" and focus on their microtonal quality. See Malm, *Japanese Music and Musical Instruments* (Rutland, VT: Charles E. Tuttle Company, 1973) and Weisgarber, "The Honkyoku of the Kinko-Ryū: Some Principles of Its Organization," *Ethnomusicology* 12/3 (September 1968): 313-344.
[706] Gutzwiller, *Shakuhachi*, 102-106.
[707] Adapted from Gutzwiller, *Shakuhachi*, 106-108.
[708] Gutzwiller, *Shakuhachi*, 110.

screen").[709] Playing microtonal intervals is a way for a player to understand the larger natural world in which he or she lives because "We cannot reach a state of harmony by demanding that nature fit into a pre-determined system of order, but we can listen to nature and harmonise with it."

Jay Keister's understanding of phrase structure comes from studying with Michael Chikuzen Gould,[710] who likened their structure to that of life: "we come from nothing, we live, we die, but somewhere in between, we have something. We have no form, then form, and no form again."[711] This recalls Kenkō's reading of the formula *aji hon fushō*, which suggests that there is no beginning of creation and that the world has always existed.[712] A shakuhachi phrase that begins on an indeterminate pitch and muddles the distinction between sound and silence could put one in touch with this fundamental truth of "having always existed."

Even though different shakuhachi players read different symbolic meanings into the execution of tone cells, the common source of meaning for all of them is the insistence upon focusing on the transition from one tone color to another. This focus harkens back to Kenkō's praise of transition moments as the most aesthetically and emotionally pleasing:

> In all things, it is the beginnings and ends that are interesting. Does the love between men and women refer only to the moments when they are in each other's arms? The man who grieves over a love affair broken off before it was fulfilled, who bewails empty

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[709] Koga Masayuki, "Shakuhachi Essays," ed. Margo Hinkel, in *The Annals of the International Shakuhachi Society*, Vol 1., ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 75.
[710] Gould is a *dai shihan* based in Cleveland. He studied in Japan (1980-97) with Taniguchi Yoshinobu (a student of Yamaguchi Gorō) and Yokoyama Katsuya (a student of Taniguchi and Watazumi)—his pedagogical lineage unites the eccentricity of Watazumi with the Kodō branch. His website is www.chikuzenstudios.net.
[711] Jay Keister, "The Shakuhachi as Spiritual Tool: A Japanese Buddhist instrument in the West," *Asian Music* 35/2 (Spring-Summer 2004): 119.
[712] Yoshida, 130.

> vows, who spends long autumn nights alone, who lets his thoughts wander to distant skies, who yearns for the past in a dilapidated house—such a man truly knows what love means.[713]

Intimacy and Anti-virtuosity

Overt gestures that destroy a sense of intimacy and subtlety are the marks of poor *honkyoku* execution and indicate a player's detachment from the shakuhachi's meditative history. John Singer argues that "most modern shakuhachi players are concerned with showing technique or volume and trying to impress others (a complete waste of time from my point of view) and becoming famous."[714] His position recalls that of Kenkō, who believes that such behavior is the mark of poor taste and a lack of "breeding or social graces."[715] He deems a person who is overly animated and indiscriminate with his audience to be "vulgar" and "ill-bred":

> The vulgar sort of person, even if he goes on a brief excursion somewhere, is breathless with excitement as he relates as matters of great interest everything that has happened to him. When the well-bred man tells a story he addresses himself to one person, even if many people are present, though the others too listen, naturally. But the ill-bred man flings out his words into the crowd, addressing himself to no one in particular, and describes what happened so graphically that everyone bursts into boisterous laughter. You can tell a person's breeding by whether he is quite impassive even when he tells an amusing story, or laughs a great deal even when relating a matter of no interest.[716]

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[713] Yoshida, 116-117.
[714] John Singer, "Articles," *Zen Flute*, accessed 08 March 2014, http://www.zenflute.com/index.php/articles/
[715] Yoshida, 68.
[716] Yoshida, 51.

Physically, as well as metaphorically (with regard to one's actions or behavior), clutter is also an indicator of poor taste and a lack of intelligence for Kenkō.[717] He argues that "The intelligent man, when he dies, leaves no possessions…It is all the more deplorable if the possessions are ornate and numerous."[718] "Clutter" equally applies to actions, as "It is impressive when a man is always slow to speak, even on subjects he knows thoroughly, and does not speak at all unless questioned."[719] It is more admirable to adhere to simplicity, because "A craving for novelty in everything and a fondness for eccentric opinions are the marks of people of superficial knowledge."[720] Along these lines, Yamaguchi Shirō would tell his son Gorō, "Cleverness with your fingers is meaningless, don't become like a bonsai!"[721]

In light of Kenkō's writings, the intimacy of sound favored by shakuhachi players (e.g., avoiding "clutter" in terms of sound) is part of a concerted effort at self-refinement, of confining oneself within a situation in which self-betterment is all but guaranteed. Shakuhachi players also often prefer smaller, more intimate performance spaces or close proximity to their audiences, believing that players who opt for larger halls reject the spirit of the music. Gutzwiller argues that shakuhachi music simply does not sound good in a large concert hall because "it is usually audible only as a skeleton and the constitutive details are lost."[722] Monty Levenson's interviewer from *New Settler Interview* similarly remarked that "The closer you get to the instrument, the more you are aware of the blowing, the sound of the instrument that is not the sound of the

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[717] Yoshida, 64.
[718] Yoshida, 126.
[719] Yoshida, 69.
[720] Yoshida, 99.
[721] Blasdel, "The Secret of Balance," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 252.
[722] Gutzwiller, "Die Shakuhachi der Kinko-schule," 173.

music," an aspect which is lost at even a short distance.[723] Ralph Samuelson argues that transplanting *honkyoku* from their traditional spaces to the concert hall encourages an inappropriate style of playing that is unfaithful to the spiritual "depth" of the music:

> Furthermore, in the playing of honkyoku, the shakuhachi is not considered a musical instrument (*gakki*) at all, but rather a spiritual took (*hoki*). The honkyoku are traditionally played in the manner of a personal spiritual practice, not as public music performance...It is only in recent years that honkyoku pieces have found their way to the concert stage, a transformation that is having considerable effect on the music and its mode of presentation. Today, many players favor a highly dramatic and interpretive performance style which may, unfortunately, lead them away from the source – depth – and true beauty of the music.[724]

These shakuhachi players' concerns with depth and intimacy also recall Tanizaki Jun'ichiro's apprehension regarding a loss of a "Japanese" musical identity. He argues that when this music is forced into a "non-Japanese" setting, it loses much of its essential "charm":

> Japanese music is above all a music of reticence, of atmosphere. When recorded, or amplified by a loudspeaker, the greater part of its charm is lost. In conversation, too, we prefer the soft voice, the understatement. Most important of all are the pauses. Yet the phonograph and radio render these moments of silence utterly lifeless. And so we distort the arts themselves to curry favor for them with the machines. These machines are the

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[723] Monty Levenson, "Blowing Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 47. The name of Levenson's interviewer is not provided.
[724] Ralph Samuelson, "Toward an understanding," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 33.

> inventions of Westerners, and are, as we might expect, well suited to the Western arts. But precisely on this account they put our own arts at a great disadvantage.[725]

Karl Signell also draws an aesthetic parallel to other Japanese arts and likens the characteristic "art of minimum effort/maximum effect" of *honkyoku* to that of haiku.[726]

Silence

Execution of silence (*mā*) is one of the strongest indicators of a player's enculturation in the shakuhachi tradition and the profundity of his or her inward journey. Kawase Junsuke III argues that there could be no conception of sound without silence, because "The sounds rest on the silence between them."[727] Sunny Yeung applies the concept of *yin* and *yang* (i.e., *in* and *yō*) to the balance of sound and silence, arguing that their proper execution "harmoniously balances mind and nature through spiritual breathing":[728]

> Honkyoku music is full of "solids" and "voids" perfectly balancing each other. The pauses and breathing are as important as the musical passages…passages are characterized by the combination of subdued "yin" and forceful "yang": Mastery of good balance between the two elements requires great discipline, determination and watchfulness. It is this unique philosophical approach that gives the seemingly simple

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[725] Tanizaki Jun'ichiro, *In Praise of Shadows*, trans. Thomas J. Harper and Edward G. Seidensticker (Rutland, VT: Tuttle Publishing, 1977), 14-15.
[726] Signell, 180.
[727] Gutzwiller, *Shakuhachi*, 112.
[728] Sunny Yeung, "Shakuhachi and Flute – Complexities and Contradictions," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 383. Yeung is a student of Riley Lee.

bamboo flute latent complexities and sophistication – a combination of pain and joy on the road to enlightenment.[729]

Tanizaki draws a similar conclusion, namely that it is only through an object's opposite that its beauty is known, referring to shadows in place of silence: "Such is our way of thinking—we find beauty not in the thing itself but in the patterns of shadows, the light and the darkness, that one thing against another creates…Were it not for shadows, there would be no beauty."[730] Shadows, like silence, create "a quality of mystery and depth" or "magic."[731] Without "the uncanny silence of…dark places," any aesthetic experience is meaningless.

Shakuhachi player Matsumoto Taro (b. 1973) argues that the "quality" of a player's performance can be judged solely on "how deeply the player consider[s] the meaning of 'ma'" and lauds Ishikawa Toshimitsu's playing for that very reason.[732] Matsumoto says Ishikawa's performance "is not talkative, but you will hear [that] the nothingness between two phrases really speaks" volumes about his "philosophical achievement." Gutzwiller describes successful execution of *mā* occurring when the *in* feeling of the end of one phrase is "sustained over the rest and is taken up in the start of the subsequent phrase" so that the "phrases are separated in sound but not in feeling."[733] He also argues that incorrect execution of *mā* is a common mistake because of the player's lack of understanding of the dynamic *in-yō-in* structure of tone cells:

> [T]he insufficient linking of phrases is one of the common mistakes made in honkyoku playing. If the main note of a phrase is allowed to 'fade away' instead of being 'taken

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[729] Ibid.
[730] Tanizaki, 33.
[731] Tanizaki, 25.
[732] Matsumoto Taro, "Ishikawa Toshimitsu (Shakuhachi player)," *Shaku8*, accessed, 27 April 2014. http://shaku8-ishikawa.com/eprofile/ Matsumoto, a shakuhachi player based in Kyoto, was describing Ishikawa's performance on the album *IN DEAD EARNEST* (2001). Ishikawa is a member of the Kinko-ryū. See Appendix B.
[733] Gutzwiller, *Shakuhachi*, 111.

back' the result is that the final in-part of the in-yō-in movement of a phrase is exposed insufficiently. It has to be recreated by the in-part of the following phrase. The result for the cohesiveness of the music is that it falls apart into insufficiently connected phrases.[734]

Proper execution of silence opens up the possibility to experience other kinds of spiritual and aesthetic appreciation, as well. Silence in *honkyoku* is a reaffirmation of *mūjo*, the concept of impermanence of the phenomenal world.[735] Ian Mabbett defines *mūjo* as the understanding of the distinction between the "fleeting transient" nature of physical reality ("Life does not last") and the "permanent," "unconditioned," "transcendent," and "ultimately real and self-existent" reality called "Nirvana." Because the presence of silence in *honkyoku* proves that a sound has ended, it underscores the falseness of the phenomenal world (in which the sound occurs) and contrasts it with the truth of the permanent reality (the omnipresent silence or void). When a shakuhachi player achieves what instrument maker David Brown describes as "sound, woven with silence," he or she is reaffirming, in Mabbett's view, that "Silence is the womb from which all being comes."[736] Matsumoto ascribes the ability of *mā* to draw attention to the distance between the phenomenal world and Zen reality to the *bujutsu* (military arts) samurai experience of *komusō*, for whom "the distance between two blades determines who survives."[737] This historical experience, he argues, is what makes *mā* so important because the right distance between two notes or phrases is what "makes a good impression."

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[734] Gutzwiller, *Shakuhachi*, 144, end note.
[735] Ian Mabbett, "Buddhism and Music," *Asian Music* 25/1 (1993): 9. He traces the origin of this concept to the Sanskrit *ānitya* and the Pali *anicca*. *Mūjo* also shares the character *mu* with *komusō* (the priests of emptiness and nothingness).
[736] Mabbett, 19.
[737] Matsumoto, "Ishikawa Toshimitsu."

Awareness of impermanence also opens the possibility for the player to experience *mono no aware* (the pathos of things). Kenkō argues that the impermanence of natural phenomena makes them more meaningful:

> If man were never to fade away like the dews of Adashino, never to vanish like smoke over Toribeyama, but lingered on forever in the world, how things would lose their uncertainty…[As someone ages,] His preoccupation with worldly desires grows ever deeper and gradually he loses all sensitivity to the beauty of things, a lamentable state of affairs.[738]

For Tanizaki, to make shadows (or silence) is to affirm being Japanese by appreciating the subtle beauty of the simple things framed by those shadows:

> Westerners are amazed at the simplicity of Japanese rooms, perceiving in them no more than ashen walls bereft of ornament. Their reaction is understandable, but it betrays a failure to comprehend the mystery of shadows…We do our walls in neutral colors so that the sad, fragile, dying rays can sink into absolute repose.[739]

Mistakes

Actions that might be considered mistakes in other musical cultures (e.g., wrong notes, incorrect rhythms, incorrect fingerings, unorthodox use of timbral colors), ironically, do not necessarily imply a lack of mental discipline for shakuhachi players, particularly for those who lie on the meditative end of the shakuhachi spectrum. Kamisangō Yūkō notes that the preference for individual and "free" interpretation can lead to "sloppy playing," but he forgives it because it

[738] Yoshida, 7-8.
[739] Tanizaki, 23.

"also exhibits a Zen way of thought."[740] The only real mistakes are those errors that interrupt a player's sense of conviction and focus. Yamaguchi Gorō approved of anything Linder played as long as it was done purposely or with conviction; the only mistakes were those actions which were not intentional. Yamaguchi "would ask if [Linder] had played that way on purpose…[and] would 'correct' [Linder] if [he] showed hesitation or said that [he] had not planned to play it the way [he] did."[741] Karhu is able to consider Watazumi's mistakes in a performance to be non-mistakes precisely because they did not cause Watazumi to lose focus:

> Several years ago I saw Watazumido perform…He gave a demonstration with swords…In the midst of his sword demonstration he dropped his sword – an absolute "no-no" for any swordsman; he just continued on because there is no such thing as a mistake. A mistake is not a mistake when you know it is a mistake.[742]

Watazumi described a similar situation that occurred in the studio while he was recording his composition, *Kaze*, and his instrument cracked in the middle of a take:

> KAZE indicates wind, and this one expressing the broadness of WATAZUMIDO though it is not a DOKYOKU. For KAZE a wooden pipe with eight holes is used, and at this recording a 90cm long bamboo suddenly split, so the pipe was taken for use immediately, and KAZE was performed entirely as an improvisation. But strictly speaking, it is not an improvisation. It expresses a change of mind in a form of wind blowing in heaven and

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[740] Kamisangō, "History and Development," 112.
[741] Linder, 246-247.
[742] Clifton Karhu, "Zen, Zero Zen, No Zen, and Watazumidozen," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 15.

earth, gathering an action of self-to-self, and it can be said to be a dissemination of tones of avant-garde philosophical principle.[743]

Shakuhachi players regard mistakes as opportunities for progress along one's path. Levenson thinks of mistakes as his "teacher" because, following Suzuki Roshi, "It is a compounding of all your mistakes that is the sum total [of] what you know."[744] Levenson's mistakes "teach" him what he does not know about playing shakuhachi and the things he was not doing with mindful conviction.[745] Keister argues that the cracked instrument mishap described above served to reaffirm Watazumi's confidence and "unswerving belief in the natural, accidental quality of *hōchiku*" by proving to him that his focus and concentration were unaffected by the unexpected event and allowing him to discover what he could do under such duress.[746] For Kenkō, uncertainty is the mark of mastery, and "A man is more likely to seem a true master of his art if he says, 'I cannot tell for certain.'"[747]

From an aesthetic standpoint, if mistakes can be characterized as imperfections, then an error in shakuhachi playing allows for true beauty to be perceived by the player. Kenkō suggests that an imperfection that obscures an ideal is itself beautiful for those who are sensitive enough:

> Are we to look at cherry blossoms only in full bloom, the moon only when it is cloudless? To long for the moon while looking on the rain, to lower the blinds and be

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[743] Dan Mayers, trans. "Watazumido Doso Roshi—His Practical Philosophy," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 24.
[744] Levenson, 54, quoting "Suzuki Roshi['s] little book on zazen." Levenson does not provide a source, but he is likely referring to Suzuki Shunryū, *Zen Mind, Beginner's Mind*, ed. Trudy Dixon (Boston: Shambhala Publications, 2010), originally published in 1970.
[745] Yoshida, 191.
[746] Keister, 111-112.
[747] Yoshida, 145.

unaware of the passing of the spring—these are even more deeply moving. Branches about to blossom or gardens strewn with faded flowers are worthier of admiration…People commonly regret that the cherry blossoms scatter or that the moon sinks in the sky, and this is natural; but only an exceptionally insensitive man would say, "This branch and that branch have lost their blossoms. There is nothing worth seeing now."[748]

Kata and Musical Meaning

Appropriate musical execution is determined by *kata*, the traditional physical forms of posture, hand position, and breathing handed down from teacher to student. Keister describes them as "the foundation of musical training, essentially coming before sound."[749] They are integral to the correct mindset of shakuhachi playing. Yuasa Yasuo notes that "At any rate, Zen corrects the mode of one's mind by putting the body into the correct postures,"[750] and Samuelson believes that the value of *kata* lies in their ability to facilitate meditation and the achievement of Zen; they allow a player to "[bring] himself to the music and [pursue] his practice of suizen in playing honkyoku."[751]

At a minimum, Blasdel says that a player should achieve the correct *kata* in order to "save face" in a performance situation,[752] and the primary concern of many teachers is making

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[748] Yoshida, 115-116.
[749] Keister, 102.
[750] Keister 102-103, quoting Yuasa Yasuo, *The Body: Toward and Eastern Mind-Body Theory*, 104-105.
[751] Samuelson, 33.
[752] Blasdel relates a story about a woman who was nervous about performing, but "adhering to the form [*kata*] [saved] her from losing face and [preserved] her dignity on stage." See Keister, 102, quoting Blasdel, "Killing the Buddha: Form vs. Content in Hogaku," *Japan Times*, April 22, 2001.

sure a student has mimicked *kata* correctly, trusting that the desired sound will follow the correct physical actions.[753] When Keister was learning *nagauta* singing and drumming, for example, he was told not to worry "about making the proper sound," but was told instead "that if [he] concentrated solely on achieving the proper form, the proper sound would soon follow."[754]

The execution of *kata* also communicates social and cultural meanings. Linder argues they constitute the shakuhachi tradition itself (i.e., "*that* which is transmitted"),[755] and their "artful reenactment," execution, or "movements resulting in sound" is what constitutes art (*geidō*).[756] Any resulting musical sounds are a byproduct thereof, not art.

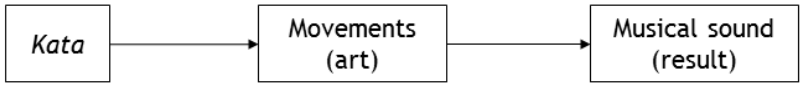

Figure 7.2 Relationship of *kata* to musical sounds

For Nishiyama Matsunosuke, the value of *kata* lies in their ability to identify an art form as distinctly Japanese, or a player as respectful of Japanese culture. He "holds that the Way of Art, *geidō*, is something that differentiates Japanese traditional art forms from art forms in all other countries or cultural areas,"[757] and says that "The existence of *kata* within any given art form will therefore be a necessary – if yet not decisively sufficient – for that art form to be a traditional Japanese art form."[758] Signell characterizes the lack of tension in a player's body during the correct, mentally disciplined execution of *kata* as a common theme in the traditional

[753] A player's study progresses from *gaikyoku* (outside pieces) designed for performance to *honkyoku*. Only when the player has mastered the control, mindset, and technique (*kata*) necessary can he or she progress to playing purely for his or her own benefit. "Saving face" by maintaining proper execution of *kata* in such a performance is part of learning that control.
[754] Keister, 102.
[755] Linder, 43.
[756] Linder, 252.
[757] Linder, 248, citing Nishiyama Matsunosuke, *Geidō to dentō*.
[758] Linder, 51.

Japanese arts, which aspire to "the creation of an effortless surface effect which conceals a severe discipline and attention to details."[759] This "effortless surface" recalls what philosopher Kuki Shūzō (1888-1941) describes as the *iki* ideal of brave composure (*ikiji*)[760] or "the warrior [who] is self-composed even when starving."[761] An *iki* composure or disposition "is generally the reflection of an *iki* sensibility,"[762] or the surface manifestation of a person's inner mindset, "training and experience."[763] An appearance of control on the outside (i.e., execution of *kata*) can only come from control on the inside (i.e., mental discipline) because *iki* is a "phenomenon of consciousness."[764]

Western players consider *kata* to be a means of maintaining connection with a lineage of shakuhachi players. Linder argues that through *kata* the player both inherits and transmits "the most correct way" of performing as a "crystallization of the artistic spirit of their predecessors."[765] Keister posits that the value of adhering to *kata* and controlling one's physical gestures according to these stylized forms is that they indicate social group membership:

> All these stereotyped patterns, the musical phrases, the stage manner and the interpersonal behavior, are expected to be carried out with the utmost grace and elegance at all times and meant to be performed precisely as they were learned from the teacher…*Kata* is at once a surface aesthetic, a structural principle, and a process by

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[759] Signell, 179.
[760] Kuki Shūzō, *Reflections on Japanese Taste: The Structure of* Iki*,* trans. John Clark (Sydney: Power Publications, 1997), 12. *Ikiji* comes from *ikuji* (strong will), and these ideals are embodied in the ethos of the samurai, from whose ranks many *komusō* came.
[761] Kuki, 41.
[762] Kuki, 56.
[763] Kuki, 10.
[764] Kuki, 116. He notes that "*iki* is often transposed to objects in the immediate vicinity," (Ibid., 11) suggesting that the "elegance" and "gracefulness" of Yamaguchi's shakuhachi (see Chapter 5, p. 173) may partly come from the emanation of those same features from Yamaguchi himself.
[765] Linder, 249.

which individuals are integrated into a social group in order to learn, practice, perform and transmit the music of one particular school.[766]

Posture

A player's posture determines the quality of the musical experience, both in terms of the sounds produced and the player's own inner experience. Blasdel describes three acceptable postures in which a player may perform: *zasō* style ("the performer sits in the traditional *seiza* position with legs tucked under the bottom"), *isuzō* style (on chairs or stools), and *rissō* (standing).[767] Which stance is chosen is a matter of personal comfort and what is considered appropriate in various performance situations. Grous warns against the "general tendency in the beginning [of shakuhachi study] to hold the head slightly bowed downward" because, although bowing the head "may seem natural…holding the head upright facilitates the easy passage of breath through the throat and mouth."[768] Linder also says that "swinging the body…does not look good on stage," no matter how helpful it can be in practice.[769] Levenson considers the correct posture to be "a form to still the body, quiet the mind and focus one's attention on breath"[770] and chooses a posture that puts him in "the proper relationship" with the Fuke-shū tradition:

> The music I play is called *Honkyoku*. That means "original music." It is the music that comes out of the Fuke legend and the Kinko tradition. When I blow shakuhachi, I blow

[766] Keister, 101-102.
[767] Blasdel, *The Shakuhachi*, 18. *Zasō* and *rissō* are appropriate for solo *honkyoku* performance.
[768] Grous, 52.
[769] Linder, 267.
[770] Levenson, 48.

> with ritual and with posture. And I bow because it puts me in the proper relationship to that tradition and the spirit of that music.[771]

Blasdel argues that good playing is not achieved by posture alone but rather by being mentally aware of particular bodily sensations:

> In all stances, one should remain aware of the head, neck, and backbone and imagine a gentle energy in the back of the head urging upward movement while elongating the spine and relaxing the bones and muscles throughout the body. The arms are relaxed and form a centered, well balanced oval encircling the mouth, elbows, and shakuhachi root end. The lower abdomen and hips rest squarely on their foundation, and the legs, whether bend in *seiza*, sitting, or standing, form a stable triangular connection with the earth's surface.[772]

Samuelson agrees and believes that feeling this "gentle energy" means being in touch with one's "spiritual center," which the correct posture aids:

> [P]osture is crucial in attaining a spiritual center in shakuhachi performance in the same way that it is important in Zen meditation practice…[I]t is the posture which accompanies the playing position rather than the position itself which is most important. Whether sitting in "full lotus", in a chair, or standing, symmetry and stillness are primary in achieving the proper effect. The instrument should be held at the center of the mouth forming a line down the center of the body, with the upper body straight and the two arms equidistant from the torso, the elbows neither too far from nor too close to the body.

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[771] Levenson, 46.
[772] Blasdel, *The Shakuhachi*, 19.

> Ideally, the player should not move at all in executing the honkyoku apart from breath movements and the most subtle motion in the head and fingers.[773]

Hands

In *Hitori kotobai* (A Monologue, 1818), Fūyō states that the shakuhachi "should be held firmly with the thumb and middle finger of the right hand, but this does not mean that it should be held very strongly."[774] This instruction not to hold the instrument too tightly is repeated in modern pedagogical manuals. Grous says that the hands should always feel "comfortable":

> It [the shakuhachi] is held firmly primarily between the thumb and middle finger of the bottom hand. The middle finger of both hands always remains stationary (except in producing special sounds). The fingers are placed over the holes…the pads of the fingertips cover the holes. The back hole is covered with the thumb of the upper hand, usually the thumb is not exactly vertically aligned with the bamboo, but rather on a slight angle [sic]. In any case, the position of the hand should feel comfortable.[775]

Blasdel also focuses on the tension in the hands, saying that "Finger action should be clean and precise":[776]

> The shakuhachi is not a heavy instrument and should be held lightly and with a minimal amount of muscle tension…The fleshy finger pad should just fill the hole, allowing no air to escape but at the same time remaining relaxed. If the fingers turn white while holding the hole closed, there's too much tension. After a while, the area on the tip of the finger

[773] Samuelson, 32-33.
[774] Linder, 84, note 286.
[775] Grous, 49ff.
[776] Blasdel, *The Shakuhachi*, 33.

> will become highly sensitized, allowing you to make minute adjustments of pitch, much like the open-holed Western flute.[777]

Samuelson says that hand motions should be so subtle as to be practically unnoticeable:

> The finger movements themselves constitute a third aspect of great importance, the concept again being balance and tranquility. The fingers must be held as close to the holes as possible and controlled so carefully that one is barely aware of their motion, giving rise to a number of extremely subtle and highly refined playing techniques.[778]

The *kata* of the hands is an important indicator of a player's mental discipline, and Watazumi assesses the quality of musician based solely on the appearance of his or her hands. He judges a player based on the principle of *tsukami* (to grasp), or the way that he or she is able to freely move his or her feet freely in any direction:

> A person who cannot move their fingers freely is indicating already that his blood vessels are stopped up and undeveloped. And so I meet a musician and I look at the movement of his fingers. I don't even need to hear his playing or his instrument to know what kind of musician he is. So everybody, the movement of the fingers is extremely important…[I]f your fingers cannot move freely in any direction with complete alacrity, then there is no way your playing of the instrument can be any good.[779]

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[777] Blasdel, *The Shakuhachi*, 18. Contrary to Blasdel's assertion, this is not a typical pitch adjustment technique on the Western flute, although the extended techniques of microtonal slides and bends can be achieved this way.
[778] Samuelson, 33.
[779] Watazumido-so Roshi, "The Way of Watazumi," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 190.

Just as Blasdel noted with body posture, Koga argues that it is not sufficient to perform the correct hand movements; one must be thinking about the actions in the correct way in order to make progress. Rather than visualizing the notation or fingering chart, as a beginner would, an "advanced player" would try "to hear and feel the right pitch, or the sound as it changes between notes."[780] He says that while an average audience member might not be able to discern the difference between players based on their hands, an attuned practitioner is able to observe different details because of his or her intimate knowledge of the instrument:

> While you are playing a note, do you change the pressure of your fingertips on the flute? If you use a constant amount of finger pressure to play – you may be a beginner. If the pressure is various – you may be an advanced player…Some audiences may think that the performer's fingering pressure doesn't change, but then it isn't observed critically. Advanced players always change the fingering pressure depending on the note, on their feeling (interpretation), and on their body condition. The result of the player's effort takes place throughout the entire body, affecting even the brain cells. These changes appear on the player's face, too, and in the sound. Critical and sensitive audiences can tell how the player is doing somehow.[781]

Breathing

When breathing, as with other *kata*, Blasdel asserts that correct execution comes from concentration, physical control, and body awareness:

> Sit comfortably and feel the gently rising energy in the back of your head; elongating and relaxing the spine, hips, arms, and legs. Imagine the center of breath – the abdominal

[780] Koga, 77.
[781] Koga, 78.

> area – as a powerful vacuum between your navel and rectum. As this vacuum expands, the shoulders and chest remain still while the air rushes deep into the lungs, pulled by the movements of abdominal muscles. The exhalation should be measured and constant, continued until all the air is exhaled from the lungs. Don't use excess force or violence in breathing, but discover and expand your limits. Correct breathing and correct posture is [sic] fundamental to shakuhachi playing and almost anything we as human beings undertake. They should be kept in mind at all stages of practice.[782]

Watazumi argues that breathing, like hand posture, is a means for an observer to know how skillful and mentally-disciplined a shakuhachi player is:

> How can you tell if a person is breathing unconsciously or mindfully? Now, you can generally tell by the amount of oxygen a person takes in. Human beings have to take in as much as they possibly can…You have to take in as much [oxygen] as possible, you breathe mindfully. If you begin breathing mindfully and training your breath for the different kinds of strength, then you will develop your own individual music.[783]

The way in which a player executes a breath is also an indication of the *ryūha* (school) to which he or she belongs. Samuelson distinguishes between the breathing of Myōan-ryū, Kinko-ryū, and Watazumi's personal style:

> In the purest form of shakuhachi practice, the perfectly regular breathing pattern of zazen is used, as in some of the deep honkyoku of the Meian [Myōan] ryu (*Kyorei, Mukai-ji, Koku*, etc.). Here, each phrase will necessarily be of the same length (one full breath) and the sound will naturally be stronger at the outset, gradually diminishing in volume until

[782] Blasdel, *The Shakuhachi*, 21.
[783] Watazumido-so Roshi, 190.

> there is no air remaining. In the honkyoku style of the Kinko ryu, on the other hand, breathing is executed so as to control the gradual growth of each individual phrase from nothingness to fullness and return, creating a kind of yin-yang-yin shape, and the breathing pattern can also be altered for aesthetic considerations. In still another adaptation, the playing style of Watasumi-do Shuso, it is the sound of breath and great bursts of air which often predominate.[784]

Mayers interprets a player's breathing as an indicator of his or her understanding of the structure and essence of a piece. A trend towards breath-based virtuosity, in which a player does not take notated breaths in order to demonstrate increased breath capacity and control, obscures the essential purpose of *honkyoku*.[785] He expresses "sadness and alarm," at execution that promotes "egotistical pride" over respect for the musical tradition:

> I view with utmost sadness and alarm the rise of a new school of Honkyoku players, displaying an antic virtuosity wholly unknown to the Komuso. This new school seeks to use the classical Honkyoku as a matrix onto which they can hang their virtuosity, wholly submerging the beautiful original phrases of classical Honkyoku with such a profusion of virtuosity as to completely submerge the Honkyoku, leaving only egotistical pride in their newly discovered possibilities of the Shakuhachi. Even worse, by circular breathing they eliminate the beautiful and essential pauses between phrases—pauses which are just as important as the phrases themselves.[786]

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[784] Samuelson, 32.
[785] Grous notes that pauses for breaths are indicated in shakuhachi notation, even when other ornaments are not, making their placement consistent across *ryūha*. See Grous, 52 and 57.
[786] Mayers, "Honkyoku—My Love," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 83.

Mayers is impressed by such techniques but says that they are better served and more appropriate in new works where they do not obscure the meaning of *honkyoku*:

> Modern Shakuhachi players, enamoured with their technique – and rightly so – should leave alone my beloved and defenseless Honkyoku and seek new composers who can give full scope to their technique…Perhaps, then, my beloved Honkyoku will achieve again the peace of suizen rather than being structured with mindless virtuosity.[787]

Notation and Execution

Shakuhachi notation indicates the actions a player should perform (i.e., prescriptive notation that indicates *kata* of fingerings and location of breaths), rather than the sounds that should be made (i.e., descriptive). Players are expected to perform from memory, recalling the historical performance practice of the wandering *komusō* tradition,[788] but Gutzwiller laments that, even when playing without looking at written notation, "There is a growing tendency to play the music 'as notated' especially among less qualified players."[789] Such players' performances are literal realizations of the physical actions prescribed by the notation rather than self-driven explorations of the piece. According to Linder, correct execution of *kata* is not "exactly the action prescribed by the *kata*, but rather an action that is to a certain degree in accordance with the *kata*, yet at the same time not inconsistent with one's own natural acting out of the *kata*."[790] A player "discover[s] one's own principle of action, in accordance with the *kata*" and blends "him- or herself with the *kata*" in such way as to honor the "spirit of the *kata*" but not its "outer form." "Creativity" is "the process of adapting oneself to the forms that constitute" the

[787] Ibid.
[788] Linder, 243.
[789] Gutzwiller, *Shakuhachi*, 140.
[790] Linder, 251ff.

repertoire. Watazumi argues that ideal playing occurs when the player is so focused that there seems to be no distinction between the player and the music:

> When you play music, you might be reading the written music on the page while you are playing, but that's no good. You should not feel that you are depending on the written music in order to play. You are not depending on the music, you are moving that written music yourself and there is no difference, then, between that written music and you. And so you have to train yourself in all aspects in order to be able to do anything good at all with the music."[791]

All of these modern practitioners echo Fūyō, who warns against "playing the notation instead of the music"[792] and argues that a person who "can play each piece without deviating from the notation" is not "considered a good player," only someone who "has a good memory."[793] A player's relationship with notation proves him or her to be either a "false" or a "true" player. Only a player who is concerned with the wrong things worries about the notation, regardless of whether his or her performance is technically poor or emotionally moving:

> To deviate from the notation is against the rules. The notation was fixed for fear of the shakuhachi tradition falling into confusion. If you play falsely from the time when you are a beginner, or if you play according to your feelings, even if the sound of the bamboo is heard as beautiful, you will not realize the Zen quality of shakuhachi. But if you blow shakuhachi, and if you know the emptiness of the shakuhachi, then there is no need to be

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[791] Watazumido-so Roshi, 190.
[792] Gutzwiller, *Shakuhachi*, 140.
[793] Robin Hartshorne and Kazuaki Tanahashi, trans., "The Hitori Mondo of Hisamatsu Fuyo," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 44.

> concerned with notation. The notation was fixed so as to lead beginners to the realization of the emptiness of shakuhachi. So isn't it absurd to deviate from the notation?…I do not deviate from the notation, yet there are great differences. For example, you are a person and I am a person. We have the same body, hair, and bowels, and yet there are great differences. Now think for yourself about the distinction between deviating from the notation and having great differences.[794]

Good playing is defined by maintaining the correct fundamental spirit (i.e., mindset) despite surface deviations (i.e., musical execution). There is no real distinction between the *honkyoku* of the Kinko-ryū or the person playing them, only the illusion of phenomenal ones:

> To be a good player does not depend on the number of pieces, but on how you play one piece.
>
> 39 pieces lie within 36 pieces.
>
> 36 pieces lie within 18 pieces.
>
> 18 pieces lie within 3 pieces.
>
> 3 pieces lie within one piece.
>
> One piece lies within no piece.
>
> A breath lies within emptiness and nothingness.
>
> So you see the number of pieces doesn't mean anything.[795]

The melding of person and action described by Watazumi and the erasure of phenomenal distinctions by Fūyō align with Kenkō's belief that "phenomenon" and "essence" are inseparable

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[794] Ibid.

[795] Ibid. Gutzwiller translates the middle of this passage in the following way: "[To the master] 39 pieces are 36 pieces; / 36 pieces are 18 pieces; / 18 pieces are three; / 3 pieces are one piece; / One piece is nothing; / Nothing is breath; / Breath is nothing" (*Shakuhachi*, 137).

and "are fundamentally one."[796] When they reinforce each other, such that "the outward form is not at variance with the truth, an inward realization is certain to develop." In shakuhachi playing, this suggests that the understandability or coherence of *honkyoku* execution (phenomenon) comes from the player's thought processes (essence). A player's essential intentions are inextricably linked to and inseparable from the actions he or she performs and the musical sounds that they produce. Gutzwiller offers the terms *fukikata* and *kangaekata* to explain how a player's actions (*fukikata*, the *kata* or form of blowing or technique) are related to the player's thought processes (*kangaekata*, the *kata* or form of thinking or spirit).[797] *Fukikata* are the learned actions a student acquires through lessons; they comprise the procedure by which a sound or combination of sounds are produced (i.e., hand gestures and blowing technique). *Kangaekata* is the sum of all the underlying concepts that go into the playing of *honkyoku*. *Fukikata* is mediated by and mediates *kangaekata* because one's technique (*fukikata*) is dependent on one's thinking (*kangaekata*), and in turn, one's thinking (*kangaekata*) is dependent on one's technique (*fukikata*).

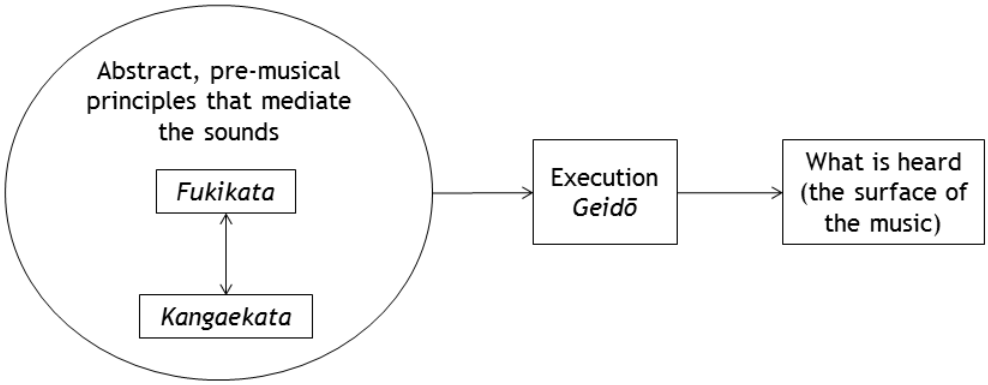

Figure 7.3 Relationship of one's inner mind, *geidō*, and musical sounds.[798]

[796] Yoshida, 139-140. Kuki's concept of *iki* as a "phenomenon of consciousness" (discussed above, see p. 204) seems to be a specific case of this same notion.
[797] Gutzwiller, *Shakuhachi*, 32ff.
[798] Adapted from Gutzwiller, *Shakuhachi*, 32ff and 141.

Honkyoku* as *kōan

As described above, shakuhachi performance is synonymous with theorizing about the musical structure of a piece, and a player discovers the structures and answers that lie deep within oneself (via one's training and bodily awareness during execution of *kata*) to the "questions" posed by *honkyoku* during mindful execution. Therefore, theorizing about the music (i.e., playing) is synonymous with coming to know oneself. Musical execution is the bringing forth of not only a player's thoughts but also a player's identity. Inversely, if there is no unique phenomenon (i.e., no individualization of one's execution), then there had been no unique essence (i.e., inner identity), to borrow Kenkō's terminology. The confines of the shakuhachi tradition, a player's own body, and mental discipline turn *honkyoku* into a *kōan*, a Zen puzzle or paradox with no "right" answer that is designed to challenge a player's thinking by forcing a deeper level of concentration and a clearing away of mental clutter.

Drawing on the Zen tradition of the *komusō*, which placed "a great emphasis on individual decisions," Gutzwiller argues *honkyoku* developed in such a way that "only each individual player can give it meaning and significance."[799] Because this repertoire is not highly musically-structured, it presents challenges in terms of execution; "honkyoku is not vague in its form but…[rather] the form of honkyoku is vagueness,"[800] Within that form (i.e., vagueness), a player finds himself or herself because "The vague structure of the music makes individual interpretation not only possible but necessary."[801] Gutzwiller describes music as the vessel in which the player finds his or her personality; the ideal musician is "one whose personality has

[799] Gutzwiller, *Shakuhachi*, 83.
[800] Gutzwiller, *Shakuhachi*, 131.
[801] Gutzwiller, *Shakuhachi*, 83.

matured in the music as a good wine has matured in a well-made barrel…it is the wine that is consumed and not the barrel."[802]

Individualized interpretation arises when a player adapts a *honkyoku* to the biorhythms and natural movements of his or her own body, becoming fully aware of the depth of one's breath or the speed of one's fingers and executing based on that awareness. It is the celebration of one's unique physicality and the cognizance of that physicality. Kamisangō notes that "Each player produces a different sound, which reflects the subtle variations between each individual."[803] Koga, too, argues that "A shakuhachi sound is affected by the body mass of the player. When the player's body mass resonates with the tone range, tone quality, and overtone of the sound, the sound will be fine."[804] Indeed, he asserts that all sound emanates from how well a player knows his or her body because "When we play and enjoy it, we can feel the sound coming from each cell of our bodies—and also from the whole of our bodies. The sound is fine and full at any level of skill because we are dealing with all of nature."[805] Watazumi similarly argues that rhythm only has meaning when it is linked with the unique physical experience of each player, because "The center of music is the pulse" (i.e., bodily rhythms):

> And when you consider rhythm, rhythm is not just simply rhythm; rhythm is the movement of the entire body from its last cell. And that movement differs from person to person because everybody's flow of blood is different…Everybody has that movement within their bodies. You have to balance, then, the movement of your pulse with the movement of your body.[806]

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[802] Gutzwiller, *Shakuhachi*, 156.
[803] Kamisangō, "History and Development," 111.
[804] Koga, 77.
[805] Koga, 75.
[806] Watazumido-so Roshi, 190.

Individualized interpretation also arises out of a player's intimacy and connection with his or her instrument. The instrument's technical constraints confine one's execution to what Thomas Blietz calls "the 'correct' path."[807] He argues that his shakuhachi is able to "[act] as a medium. She is like a sensitive mirror of the state of my body and mind and she reacts[,] adjusting to any deviation from the 'correct' path":

> If I try to force a full tone, the flute will be very mulish and will not want to sound any more. This calls my attention to the deviation from the "correct" practice, which just consists in *allowing* the tone to sound and not in *making* it…Under the support of the shakuhachi I am able to observe myself very well and to gain experiences about my own nature.[808]

The path on which Blietz finds himself is defined by the instrument he chooses—the instrument helps him to discover his sense of self.

Shakuhachi execution is a balance of tradition and individualism within a tradition that demands both. In discovering and traveling one's own path, Linder argues that each student is expected to follow a traditional trajectory of *shu-ha-ri*, meaning "abide, destroy, and leave":

> The ideal is to abide by the rules, following the prescribed forms in order to learn art. Then comes a time when the forms are to be destroyed, distorted, or changed. After that the learner is supposed to leave the realm of the art, and create it anew. The first two stages include the preceding art form, the *kata* which is obeyed or destroyed. In the final

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[807] Thomas Blietz, "The Shakuhachi—A Vehicle for the Way," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 73. Blietz is a shakuhachi player based in Germany.
[808] Ibid.

> stage, the learner leaves the *kata* s/he has learned, and creates something new from this.[809]

Grous defines the "leave" stage as when a player achieves "full understanding" of what it means to play shakuhachi.[810] Reaching this stage is predicated on the student's full trust and respect of the teacher and "discipline" in the earlier stages—it is evidence of mental discipline on the part of both the student and the teacher:[811]

> The full understanding of blowing zen [sic] requires that a solid foundation of practice be laid down first, so that later a deep intuitive understanding can develop naturally. It is not a question of authority, but rather respect for the teacher's ability to transmit tradition in the same spirit in which he receives it. The discipline is in the actual learning of the pieces.[812]

In this "leave" stage of a player's development, performances are individualized and spontaneous in nature, resulting from his or her ability to use the *honkyoku* as a means to jumpstart his or her individual inward journey. Each piece is both circumscribed and flexible, as Keister notes that the overall effect of a piece is prescribed while its details are not: "once the student has developed an understanding of this *honkyoku* called 'Kyorei,' one can simply 'play in the mood called Kyorei.'"[813] Alluding to those same poietic processes, Linder argues that "the performer…actually [creates] a new version" of a piece in each performance by "being

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[809] Linder, 254-255.
[810] Grous, 53.
[811] See Chapter 6, pp. 156f.
[812] Ibid.
[813] Keister, 119-120.

stimulated by [the learned] patterns and applying them to the piece."[814] For Koga, such spontaneity is the hallmark of mental discipline "because the essence of the control is to be able to be soft and flexible with and without intention."[815] Indeed, variety is a mark of mental discipline for Levenson, who argues that rather than striving for consistency across performances, a *honkyoku* "can never be played the same way twice."[816]

Because each player's "leave" stage develops organically out of his or her training and pedagogical lineage, it remains an indicator of social identity. Kamisangō argues that a player who has deeply practiced *suizen* will discern vestiges of "abide" in another player's "leave." He or she will have a greater ability to "[understand] the differences between individuals or schools" than a non-practitioner listener because he or she has come to know the *honkyoku* so intimately.[817]

Watazumi offers an extreme case of the individualism advocated by other shakuhachi practitioners, who note his adherence to Fuke philosophy with admiration. Mayers considers Watazumi the man to be a *kōan* for his "deviant behaviour" and "obscure discourses on his philosophy" that "are just as obscure to the Japanese as they are to" Westerners.[818] Keister looks

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[814] Linder, 22. Linder is quoting his master's thesis (*Kinko-ryū shakuhachi no gaikyoku ni kansuru kenkyū*, 1997, 66). See Chapter 3, pp. 45f for Nattiez's definition of poietic processes.
[815] Koga, 76.
[816] Levenson, "Blowing Shakuhachi," 48.
[817] Kamisangō, "History and Development," 112.
[818] Mayers, "A Visit with Watazumido Doso Roshi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 20. Mayers relates an anecdote illustrating Watazumi's unusual behavior, intense focus, and individualized path: "According to the legend Watazumido became interested in the shakuhachi when, walking in the woods, he came upon a man, stripped to the waist and covered with voracious insects, playing the shakuhachi and ignoring the little vampires he harboured. Subsequently, Watazumido used to practise while standing under an icy waterfall. It is rumored that his son, following his father's practice, slipped on a rock while standing under a waterfall, hit his head, and died" (Ibid., 19). Mayers notes that Watazumi "expounds a philosophy through

to Watazumi as a guide because his actions have "opened up the possibility for modern *shakuhachi* players to embrace a more personal definition of their practices, allowing for an interpretation of *honkyoku* to mean 'one's own piece.'"[819] Linder equates Watazumi's with the "crazy" antics of Fuke, noting especially Ikkyū's *Kyōun Shū*, poem No. 588, "Fuke the Monk":

> The dispute is the "light head and dark head,"
>
> The old Zen monk's thoughts make people troubled.
>
> From old times until now, the crazy words and conduct of this man,
>
> Have been one and the same tradition of our doctrine through the ages.[820]

Conclusion

Shakuhachi execution is an individualized experience in which other shakuhachi practitioners may find aspects that suggest the presence or lack of a player's mental discipline. The same player may similarly evaluate his or her own mental discipline based on the way he or she executed a piece of music or a gesture. These aspects include ways in which a player's actions demonstrate absorption of and adherence to traditional stylistic choices in terms of (symbolic) structure of phrases, establishment of a sense of intimacy, execution of *mā*, one's relationship to mistakes, and the execution of *kata*. There are different kinds of playing that are appropriate for different levels of players, and one indicator of the depth of a player's inward, individual journey is the degree to which he or she individualizes her execution while still maintaining appreciable ties to one's pedagogical lineage or tradition more generally. This

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writing, demonstrations, and lectures that are largely obscure to even his most faithful disciples" (Ibid., 18).

[819] Keister, 107.

[820] Linder, 140-141.

individualized execution comes out of treating *honkyoku* as a *kōan*, a puzzle to be unpacked through one's bodily knowing and exploration.

Chapter 8: Transcendent Shakuhachi Experiences

A transcendent or a transformative experience in shakuhachi playing is called *suizen* (blowing Zen) and is made possible by the mental discipline that establishes a correct mind set (Chapter 6), conforms to appropriate physical gestures, and creates individualized execution (Chapter 7). Shakuhachi players speak of a kind of physical transformation or sensation similar to that described by musicians of other traditions: loss of ego, transcendence of individuality, weightlessness, time dilation, attentional focus, mental clarity, intense pleasure, and a transformed sense of self.[821] The experience is not necessarily a religious one, but most practitioners do describe a sense of communing with or coming into contact with timeless, universal knowledge (through the ironically impermanent medium of sound) and emerging transformed for the better.[822] As with achieving Zen, a shakuhachi player who has achieved *suizen* will see and interact with the world differently than someone who has not. Shakuhachi players regard *suizen* not as a momentary occurrence, instantaneous revelation, or passing goal, but rather as an ongoing process or lifestyle because it causes a permanent transformation of the self.

[821] See Chapter 2, pp. 10ff.
[822] The notion of being able to access a kind of knowledge that is permanently present but typically inaccessible recalls Antonio Damasio's notion of core consciousness, which is typically masked by the extended consciousness (See Chapter 3, pp. 15).

History of *Suizen* (Blowing Zen)

Suizen originates in applying the practice of *zazen* (sitting Zen) to playing or making sound on a wind instrument (*sui*).[823] The principle of *ichi'on jōbutsu* ("enlightenment through a single note"[824] or "Buddhahood through a single tone"[825]), which can be achieved equally through non-musical experiences as through musical ones, has a long and prominent history in Japanese Buddhism and the shakuhachi habitus. To this point, Dan Mayers notes that "there are innumerable stories of Zen monks achieving such enlightenment by experiencing an odd noise…such as the falling of a pebble,"[826] and Gunnar Linder notes that the expression *suizen ichinyo* (blowing Zen oneness) is carved at the entrance of the temple Myōan-ji.[827]

According to the principle of *ichi'on jōbutsu*, sound is a means to help steady one's mental focus and clear the mind of clutter.[828] Steadying one's mental focus is an ideal described by Kenkō, who argues that one should work to occupy the mind so that trivial matters don't creep in:

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[823] Kamisangō Yūkō, "History and Development," trans. Christopher Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 111.
[824] Dan Mayers, "Watazumido Doso Roshi—An Appreciation," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 16.
[825] Christopher Blasdel, "The Shakuhachi: Aesthetics of a Single Tone," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 14.
[826] Dan Mayers, "Watazumido Doso Roshi—An Appreciation," 16.
[827] Gunnar Linder, *Deconstructing Tradition in Japanese Music: A Study of Shakuhachi Historical Authenticity and Transmission of Tradition* (PhD diss., Stockholm University, 2012), 225. Linder interprets these four characters to mean "that by practicing Zen, the act of playing the shakuhachi…becomes an expression of (a) Zen (mind)." Sanford notes the central importance of Myōan-ji temple for shakuhachi players, as this temple embraced the instrument even more emphatically than the other temples of Fuke-shū (Reihō-ji and Ichigetsu-ji), as well as its claim of direct lineage to Kakushin by being designated a branch of Kōkoku-ji temple, which he founded. See James H. Sanford, "Shakuhachi Zen: The Fukeshu and Komusō," *Monumenta Nipponica* 32 (1977): 431-432.
[828] See Chapter 7, pp. 194f.

> Emptiness accommodates everything. I wonder if thoughts of all kinds intrude themselves at will on our minds because what we call our minds are vacant? [sic] If our minds were occupied, surely so many things would not enter them.[829]

Sound is one such way to occupy the mind, and Christopher Blasdel has noted that the possibility of achieving enlightenment through sound appears in *Śūraṅgama Sūtra* (early 8th century), a central text in Chinese Buddhism in which one of the central concerns is cataloguing practitioners' mental states and their physical sensations:

> [I]n the Surangama Sutra, the Avalokitesvara Bodhisattva (revered in Japan as Kannon, whose Japanese rendering of the original Sanskrit means literally 'seeing/hearing') gives a lengthy discourse on entry in to the supersensible realm of Samadhi [absorption] by means of the sense of hearing. By concentrating on an external sound, a distinction between the listener and the source of the sound is created. However, one must transcend this stage to a state of awareness in which all distinction is merged into a void. From this void is manifest nirvana, out of which is born an enlightened mind and compassion.[830]

Ichi'on jōbutsu also features prominently in *Kyōun Shū* (Crazy Cloud Collection), in which Ikkyū Sōjun (1394-1482) describes achieving enlightenment at the cry of a bird "while meditating on a small boat on Lake Biwa":

> Now, as ten years ago,
> A mind attached to arrogance and anger[;]
> But at the laugh of the crow
> An adept from the dust arises

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[829] Yoshida Kenkō, *Essays in Idleness: The Tsurezuregusa of Kenkō*, trans. Donald Keene (New York: Columbia University Press, 1967), 192.
[830] Blasdel, "The Shakuhachi: Aesthetics," 13.

And an illumined face sings

In the morning sun.[831]

Ian Mabbett notes that while sound is helpful "in the private meditation of the yogi or Zen adept who seeks to empty his mind of all the clutter of ordinary selfhood and to rise above his consciousness of the profane phenomenal world…it is the practitioner's mental discipline, rather than any artificial stimulus, that is really efficacious."[832]

While playing the shakuhachi is not the only means to achieve enlightenment, its players believe it to be the most potent, given the level of mental discipline it requires. In poem No. 75, "Shakuhachi," from *Kyōun Shū*, Ikkyū alludes to the variety of paths available to a person seeking enlightenment and suggests that one should choose the shakuhachi's path:

In a shakuhachi is contained, a sadness that is hard to withstand.

Playing at the shakuhachi, one will enter into the lament of the old flute of northern China.

At the crossroads, whose tune is it?

Even at the Shaolin temple, nobody is left who knows this sound.[833]

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[831] Blasdel, "The Shakuhachi,"14.

[832] Ian Mabbett, "Buddhism in Music," *Asian Music* 25/1 (1993): 24.

[833] Linder, 136. Linder reads this poem as an allusion to the crossroads in *Rinzai-roku*, episode 7 ("Sermons from the Pulpit"), in which "one way leads to the Vimalakīrti Nirdeśa Sūtra… concerning the ideal layman Buddhist named Vimalakīrti, contemporary with Gautama Buddha, and the other to the Chinese layman Buddhist Fu Daishi (497-669)" (Ibid., 137). Tsunoda Ryusaku et al characterize the *Vimalakīrti Sūtra* (*Yuima-kyō* in Japanese) as one of several examples of laypeople achieving enlightenment through discipline. See Tsunoda Ryusaku, William Theodore de Bary, and Donald Keene, *Sources of Japanese Tradition* (New York: Columbia University Press, 1958) 101f. During the Nara period, this text was published in Japan with a commentary ascribed to Prince Shōtoku (572-622), who in legends is supposed to have played shakuhachi. Linder argues, however, that Ikkyū here is claiming not only that "the playing of shakuhachi [would] be a way to reach enlightenment," but also that it would be "the right path to follow" (Linder, 138).

In an example of the shakuhachi being casually associated with enlightenment, shakuhachi players' behavior is described as *samādhi* (absorbed) in the commentary accompanying the poem "Komoso" in *Sanjūniban Shokunin Uta-awase* (Picture Scroll of a Poetry Contest on Thirty-two Professions, 1494).[834] The poem reads:

> Amidst spring flowers who should care that the wind blows?
>
> It is not the wind but the shakuhachi of the *komo*.[835]

According to Kamisangō Yūkō, the commentary accompanying the poem describes the *komosō* as being "absorbed" (*sammai*, from the Sanskrit *samādhi*) "in visiting the houses of both rich and poor, begging and playing shakuhachi—that is all they can do."[836] Total absorption or focus (*sammai*) is portrayed as typical behavior for a shakuhachi player. The connection between shakuhachi playing and Zen is made more explicit in the Fuke-shū document *Kaidō Honsoku* (1628),[837] when the gathered *komusō* drew upon these earlier sources and declared "blowing the shakuhachi" to be "our Unique Means of Preaching the Ultimate Way of the Buddha."[838]

***Kokoro*: How *Suizen* Is Known to Others**

Although much of what is meaningful in shakuhachi playing resides within the player's inner mental experience, aspects of a transcendent playing experience are discernible by others, even if they are not directed at others. Players speak of a powerful shakuhachi experience as

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[834] This is the sort of source that forms the basis of the shakuhachi's factual history as well as the plausibility of its legendary history. See Chapter 5, pp. 134ff.
[835] Kamisangō, "History and Development," 83.
[836] Ibid.
[837] See Chapter 6, p. 159f. *Kaidō Honsoku* is the oldest philosophical document left by members of the Fuke-shū.
[838] Torsten Olafsson, "Kaidō Honsoku, 1628: The Komosō's Fuke Shakuhachi Credo: On Early 17th Century Ascetic Shakuhachi Ideology," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 143.

having the ability to make the player's *kokoro* (inner self or heart) come through and be felt by an audience.[839] Nishiyama Matsunosuke defines *kokoro* as the "heart," "spirituality," or "mindfulness" that both lies within and motivates *kata*.[840] It is *kokoro* that, according to Linder, "makes the *kata* come alive, to become great art [sic]" as a result of a player engaging a *honkyoku* as *kōan*—it is a by-product of the player's internal, individualized experience.[841] Riley Lee describes *kokoro* as a phenomenon observable by a sensitive listener, who notices that, in addition to "the half-tones and quarter-tones, the in between [sic] sounds, sometimes raspy, sometimes bell-like quality of the shakuhachi itself" found in a player's execution, there is also "an inexplicable something else [that] makes the shakuhachi honkyoku what it is."[842]

The word *kokoro* isn't used by all players, but it is common to speak of watching another performer play in such a way that his or her bamboo seems to "come alive." Ōga Kagemochi (1292-1376), a shakuhachi player known to Kenkō, alludes to *kokoro* when he says each sound must be imbued with the player's "own personality and spirit."[843] In 1870, Yoshida Itchō (1812-81), a student of Fūyō, distinguished between "poor" players and good players based on the vibrancy with which their sound traveled from their instruments to the listener. Poor players "only [think] about the [*sankyoku*] ensemble but [miss] the essentials of playing shakuhachi, the

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[839] Machida Kashō, on the contrary, argues that the experience of playing shakuhachi is so alluring for the person playing it that he or she may feel "drunk with his own art" while the sounds of the music are "too poor both in form and content to move the listener." See Gutzwiller, *Shakuhachi*, 126, quoting Machida Kashō, "Japanese Music and Drama in the Meiji Period," in *Japanese Culture in the Meiji Era*, Vol. III, ed. Komiya Toyotaka, trans. Donald Keene and Edward G. Seidensticker. (Tokyo: Ōbunsha, 1956).
[840] Linder, 251, quoting Nishiyama Matsunosuke, *Geidō to dentō* (The Way of the Arts and Tradition), (Tokyo: Yoshikawa Kōbunkan, 1984), 46.
[841] Linder, 255.
[842] Riley Lee, "An American Looks at the Shakuhachi of Japan: 1 April 1986," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 114.
[843] Yoshida, 81.

breath," whereas when a skilled player performs, "the voice of the bamboo really hits your ear, [the sound] approaching perfection."[844]

John Singer argues that *kokoro* results from a player's respect for and intimacy with his or her instrument because "A flute becomes magic only by being played so much it becomes a part of the player…Over the years this special instrument becomes a part of them. Thus, the magic evolves from a union of the instrument and its player."[845] For Fūyō, the instrument comes "alive" due to the player's long, patient study, but he argues that this manifestation can only really be discerned by other practitioners:

> A good player is one who makes the bamboo shaft alive. A master naturally and effortlessly brings forth something inconceivable. However, without study it is impossible to enter the boundaries of mastery. You become the bamboo. The bamboo becomes you. A master lives in emptiness while working in form. Then playing each piece becomes Kyorei [yearning for the bell]. Emptiness is taking the name of Kyorei as the essence of each piece. Emptiness is calling oneself Kyomu (emptiness and nothingness). The Zen practice of living in emptiness and working in form applies to the self and the heart. It is hard for inexperienced people to understand.[846]

Tanizaki Jun'ichiro experienced a similar a situation in which an actor's mental discipline caused the actor's body to appear to transform into something supernaturally beautiful:

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[844] Linder, 241.
[845] John Singer, "The Kinko-ryu Honkyoku—A Compilation and Translation," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 101.
[846] Robin Hartshorne and Kazuaki Tanahashi, trans., "The Hitori Mondo of Hisamatsu Fuyo," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 45. Parentheses in the original.

> I once saw Kongō Iwao [I (1886-1951), the 24th head of the Kongō school of lead actors] play the Chinese beauty Yang Kuei-fei in the Nō play *Kōtei*, and I shall never forget the beauty of his hands showing ever so slightly from beneath his sleeves. As I watched his hands, I would occasionally glance down at my own hands resting on my knees. Again, and yet again, I looked back at the actor's hands, comparing them with my own; and there was no difference between them. Yet strangely the hands of the man on the stage were indescribably beautiful, while those on my knees were but ordinary hands.[847]

As Tanizaki's anecdote suggests, not all players are capable of bringing *kokoro* to the surface, and only what Blasdel calls an "enlightened master" is able to play the instrument with real "power"[848] or make the listener feel what Ikkyū calls "unseen worlds":

> The incomparable Tonami, who roams the heavens and the earth
> Playing the shakuhachi; one feels the unseen worlds[.]
> In all the universe there is only this song
> Our flute player pictured here.[849]

Kamisangō relates a story of *tempuku* player Kitahara, whose sound was moving precisely because of his ability to play with Blasdel's sense of "real power" and bring forth his inner self in the music:[850]

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[847] Tanizaki Jun'ichiro, *In Praise of Shadows*, trans. Thomas J. Harper and Edward G. Seidensticker (Rutland, VT: Tuttle Publishing, 1977), 29.
[848] Blasdel, "The Shakuhachi: Aesthetics," 14.
[849] Blasdel, "The Shakuhachi: Aesthetics," 14. He does not provide a title or source for this poem.
[850] The *tempuku* shakuhachi, played during the 16th century, takes its name from what seems to be an allusion to the concept of *suizen*: *ten* (heaven) + *puku* (from *fuku*, to blow). See Kamisangō, "History and Development," 84.

> The *tempuku* in Satsuma was played mostly by samurai, and is said to have enjoyed its peak of popularity in the last half of the 16th century. In Satsuma, there is a popular legend that tells of the retainer Kitahara Bizen no Kami who was captured by the Tokugawa generals during the great battle of Sekigahara (1600 – the battle which gave Tokugawa absolute rule over Japan and ushered in the Edo period). Before Kitahara was to be executed, he played the *tempuku*, mourning his life so beautifully on the flute that the Tokugawa generals were moved into sparing his life.[851]

Kokoro is a defining aspect of descriptions from shakuhachi players who are concerned with musicality, as well. While in residency at Oberlin College in 1982, Taniguchi Yoshinobu (b. 1947) awarded "valuable prizes" (mostly fine shakuhachi instruments) for "the best combination of technical mastery and 'playing from the heart'" exhibited by his shakuhachi students in recital, acknowledging their ability to bring forth a level of expression that could be felt by audience members.[852] Yamaguchi Gorō's *kokoro* was a source of enchantment for Blasdel during lessons,[853] and Yamaguchi himself interpreted *kokoro* as evidence of a player's enculturation and past experiences. In his admonition to improve one's "whole self" in order to improve a performance, Yamaguchi alludes to the notion that it is a player's past experiences,

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[851] Kamisangō, "History and Development," 85. Parentheses in the original.
[852] Roderic Knight, "The Shakuhachi comes to Oberlin," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 18. Taniguchi was a student of Aoki Reibo II and Yamaguchi Gorō. Knight is a professor of ethnomusicology at Oberlin University. The text of this article first appeared in the Oberlin Alumni Magazine in 1984.
[853] See Chapter 6, pp. 170f.

mindset, training, energy, and imagination, as controlled by the player's mental discipline (ANS arousal and reinforcement of neural pathways), that create a meaningful musical experience:[854]

> He [Yamaguchi Gorō] stresses, like his father [Yamaguchi Shirō] stressed, that one must develop human nature parallel to artistry, otherwise the music has no meaning. Indeed, the clear presence of Yamaguchi's gentle refined personality permeates the tones of each breath of his music. In his playing one can perceive the convergence of two great forces, the tradition of the shakuhachi flute which urges awareness of subtle beauty and spiritual enlightenment, and the presence of the artist as a well-balanced human being.
>
> Here, for me [Blasdel], was the secret of the shakuhachi: balance. It meant understanding the institution as well as the music, realizing how form and content interact. It meant not being enamoured with mere technical prowess and it meant, above all, making my life musical and my music, life. This is the only really honest way to bring music into the hearts of others. As Yamaguchi's father admonished, "During performance, your whole self comes through. Work on improving it!"[855]

Even though he is not concerned with his *kokoro* being observable by others because he is not interested in performance, Watazumi also speaks of bringing forth the entirety of his inner self, his physicality, and his life history during playing:

> What I'm going to do now I don't call performing or playing for people. Instead I call it the Concentrated Breathing…My kind of blowing is not just simply blowing, it's the movement of the entire personality…the movement of the life force, the movement that

[854] See Chapter 2, pp. 13ff, and Chapter 3, pp. 41f.
[855] Blasdel, "The Secret of Balance—An Encounter with Yamaguchi Gorō," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 252.

comes out of the instrument, is just simply your own pulse. The Way of Watazumi is to express in sound your own life force…

So in that sound you have to put in your balls, your strength and your own specialness. And what you are putting in then, is your own life and your own life force.

When you hear some music or hear some sound, if for some reason you like it very well; the reason is that sound is in balance or in harmony with your pulse. And so making sound, you try to make various different sounds that imitate various different sounds of the universe, but what you are finally making is your own sound, the sound of yourself.[856]

Freedom from the Phenomenal World, Emotions, and Time

Whereas for 18th-century German listeners, the ideal listening experience might be one that puts the listener in touch with deep, "real" emotions,[857] the ideal shakuhachi experience is one that allows the player to break free from the weight of real-world emotions and realize how unreal the phenomenal world actually is. Kenkō argues that while "Joy, anger, grief, or pleasure, as experienced by adults, are all empty delusions," the average person "give[s] himself to them as if they were real."[858] This is a weakness that meditation seeks to overcome. Kuki Shūzō deems the resignation to fate (*akirame*) that comes with a detachment from the physical world

[856] Watazumido-so Roshi, "The Way of Watazumi," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 191.
[857] See Chapter 4, p. 119.
[858] Yoshida, 108-109.

and the ability to have "a disinterested heart, freed from hindrances and separated from dogmatic attachments to reality, a heart elegant and not unrefined" to be an aspect of the *iki* ideal.[859]

Instead of experiencing worldly emotions, the shakuhachi player enters a different mental state in which Linder argues the player experiences "the Zen Buddhist ideal state of being free from worldly ideas and thoughts, *munen-musō*."[860] Thomas Blietz describes this "Zen-like state of mind" in a manner similar to Csikszentmihalyi's "flow" in which freedom from one's emotions is linked to a feeling of "weightlessness":

> Today I am aware that…"correctness" has the following meaning: it is possible to play on the shakuhachi a music that is *free* from emotions (i.e. it does not stimulate fixed, good or bad feelings) and that is ultimately not thought of as *dualistic*. Of course, this is dependent on the sort of music and mainly on the player (I only want to mention here Katsuya Yokoyama; for me he is a true master). Listening to such a music I don't know if I should be happy or sad; I feel strangely "light" and every note is tone and yet is not tone. My own playing contains the "weightlessness," too – certainly only rudimental, but nevertheless, perceptible.[861]

Lee describes his experience of *suizen* as that of feeling himself no longer tethered to time or place (i.e., metaphysical weightlessness):[862]

> When a honkyoku is played, I hear nature, the autumn wind playing with the dry leaves of a tall, waiting bamboo grove, or some unknown, unseen, but definitely majestic

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[859] Kuki Shūzō, *Reflections on Japanese Taste: The Structure of* Iki, trans. John Clark (Sydney: Power Publications, 1997), 41-43.
[860] Linder, 225.
[861] Thomas Blietz, "The Shakuhachi—A Vehicle for the Way," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 73.
[862] Lee's description also recalls one of Mihalyi Csikszentmihalyi's criteria of flow: time dilation. See Chapter 2, pp. 10f.

species of bird. Images of old incense-filled temples draped with wisdom of ancient ages. The block strokes of Chinese calligraphy on white paper…[863]

Detachment from one's emotions occurs simultaneously with cessation of inner languaging.[864] Jay Keister argues that this results directly from proper execution of *kata*, which brings the player to a heightened mental state by helping the player "overcome…conscious sub-vocalization."[865] Mabbett asserts it is the repetitious actions of *kata* that "assist in the induction of trance or the passage to a higher meditative state."[866] In releasing or detaching from one's emotions, one is no longer constrained by them, and one "wakes up" to the true reality: enlightened reality. The imagery of waking as a metaphor appears in *Shichijūichi-ban Shokunin Uta-awase* (Picture Scroll of a Poetry Contest on Seventy-two Professions, c. 1500). Poem pair 46 uses the moon as a metaphor for Buddhist enlightenment and depicts a scene in which its light shines over a *boro* (or *komosō*) as he "wakes," literally and spiritually:

The moon of enlightenment shines widely over Musashino,
Where the Boro wakes from his bed of grass.[867]

Watazumi also describes *suizen* as "feel[ing] like just waking from a dream."[868] Both of these recall Kenkō's characterization of waking from a non-Zen state of mind ("our dreamlike existence") into the non-emotional contentment of Zen:

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[863] Lee, "An American Looks at the Shakuhachi of Japan," 113-114.
[864] See Chapter 2, pp. 16ff.
[865] Jay Keister, "The Shakuhachi as Spiritual Tool: A Japanese Buddhist Instrument in the West," *Asian Music* 35/2 (Spring-Summer 2004): 115.
[866] Mabbett, 24.
[867] Linder, 163.
[868] Hartshorne and Tanahashi, 43.

> If you imagine that once you have accomplished your ambitions you will have time to turn to the way, you will discover that your ambitions never come to an end. In our dreamlike existence, what is there for us to accomplish? All ambitions are vain delusions. You should realize that, if desires form in your heart, false delusions are leading you astray; you should do nothing to fulfill them. Only when you abandon everything without hesitation and turn to the Way will your mind and body, unhindered and unagitated, enjoy lasting peace.[869]

Detachment from one's emotions and worldly concerns produces a kind of objectivity and widened perspective that makes a shakuhachi player more aware of the world. Michael Gould equates transcendence with awareness, claiming that the purpose "of Zen *shakuhachi* is to create awareness, not only of the instrument, but of how one feels and thinks."[870] Monty Levenson also connects the wakefulness described by Watazumi and Kenkō with a heightened sense of awareness:

> My interest in blowing comes from my interest in trying to be aware of what is happening when it's happening. It's that simple. The extent that I put energy into shakuhachi is the extent to which I put energy into trying to be awake.
>
> Looking at myself honestly I have to say that most of the time I am not very awake. [laughs] So I find it really helps to practice. Of course, shakuhachi is very much involved with breathing. It is a direct reflection of breath. The sound comes out and goes back in, following breath, and there is important information being conveyed in that

[869] Yoshida, 200.
[870] Keister, 119, referring to his own lessons with Gould.

process as in some form of biofeedback. For me, that information has become relevant.[871]

Freedom from one's emotions is considered by shakuhachi practitioners to be a pleasurable sensation, and the shakuhachi has historically appeared in literature as a form of relief and comfort for those suffering emotional loss. One story tells of *hitoyogiri* player Ōmori Sōkun (1570-1625), who, after the death of his retainer Oda Nobunaga, "drifted, trying to escape from the shadows, pitied by the mist, sorrowed by the dew, and then finally found the wondrous sound of the shakuhachi, which tradition he transmitted to us."[872] Ikkyū suggests that the comfort a player finds in the shakuhachi is akin to that provided by a close friend (*tomo*) when he references Confucius' admonition to "have no friends not equal to yourself":

Rather than people who are not my equal,

Only the voice of the shakuhachi will be my friend![873]

The preface to the anonymous poetry collection *Kangin Shū* (A Collection of Songs to be Sung Quietly, 1518) similarly includes the phrase "The shakuhachi is my friend."[874] Poem No. 21, "*Dengaku*," presents the shakuhachi as a way to "quiet" or ease the heart, and the shakuhachi here is associated with the murky world of dreams, as in other sources:

I take out the shakuhachi from beneath my sleeve,

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[871] Monty Levenson, "Blowing Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005) 48. Brackets appear in the original.
[872] Linder 92, quoting Nakamura Sōsan, *Shichiku shoshin-shū* (Collection for Beginners of Pieces for Strings and Bamboo, 1664) (Tokyo: Fukkoku, 1976), 4.
[873] Linder, 221. Confucius, *Analects*, Chapter 1, Xue Er, reads: "The Master said, 'If the scholar be not grave, he will not call forth any veneration, and his learning will not be solid. Hold faithfulness and sincerity as first principles. Have no friends not equal to yourself. When you have faults, do not fear to abandon them'" (Ibid.).
[874] Kamisangō, "History and Development," 80; Linder, 144.

to blow it while waiting and

The wind through the pine—

scatters flowers as though a dream

How much longer will I have to play

until my heart is quiet again?[875]

In the anonymous *Sōan kouta-shū* (late 16th century), the shakuhachi is referred to as "medicine" for heartache in *Kouta* No. 81:

The name of a lost lover, I engrave on my shakuhachi.

Playing it from time to time, alas, as medicine for my love.[876]

In *Kaidō Honsoku* (1628) the "essence" of sound of the shakuhachi is its role as a place of "refuge":

It is being said in a poem that,

'When you search – and find in shakuhachi sound your refuge,

is that not indeed the essence of bamboo?'

The competent Komo possesses a splendid piece of bamboo.[877]

In a later section, it is referred to as a "hermitage":

Another poem has it that,

'Choosing as one's hermitage the voice of the shakuhachi –

is that not the Spring breeze blowing at Miyagi-no?'[878]

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[875] Kamisangō, "History and Development," 81. Translation by Frank Hoff.
[876] Linder, 146.
[877] Olafsson 145. This is from section 14.
[878] Olafsson 145. This is section 16.

Modern players rely on similar imagery to describe the comfort that the shakuhachi gives them. Singer says that for him, "performing honkyoku on a fine Edo Shakuhachi is like coming home!"[879] Levenson appreciates the sense of security the shakuhachi gives him gives him, and he says, "I blow shakuhachi instead of flailing. I blow shakuhachi to experience the center. To be close to that place means being close to the meaning."[880] Lee describes playing *honkyoku* as something that "leaves a good aftertaste, a sense of calmness and serenity. It lets one's mind relax from its usual gibberish."[881] He imagines comfort emanating directly from the instrument itself: "On a really good day, the bamboo literally vibrates good things through the hands."[882]

Fusion with the Universe

The best playing with regard to both musicality and *suizen* is accompanied by the feeling of connecting or fusing with something other than oneself.[883] In the story of Kichiku's dream on Mt. Asamagatake in *Kyotaku denki kokuji kai*, the shakuhachi acts as a mean to commune with or make real the dream world in which he heard music. Playing the shakuhachi brings back the wisdom only knowable in the murky depths of the subconscious and so that one doesn't lose contact with it in the real world:

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[879] John Singer, "Articles," *Zen Flute*, accessed 08 March 2014. http://www.zenflute.com/index.php/articles/
[880] Levenson, 46.
[881] Lee, "An American Looks at the Shakuhachi of Japan," 114.
[882] Lee and Levenson's descriptions parallel Frank Putnam and Karen Nesbitt Shanor's description of a peak experience as being a positive one accompanied by a feeling of euphoria. See Chapter 2, pp. 11f.
[883] Csikszentmihalyi's criteria of flow similarly include a transcendence of individuality and a feeling of fusion with the world. See Chapter 2, p. 11.

> In his [Kichiku] dream he was deeply inspired and wished to imitate the sound with his kyotaku. Then suddenly he awakened from the dream, and found no trace of the mass of fog or the punt and pole; but the sound of the flute still lingered in his ears.[884]

Ethne Ashizawa feels like her shakuhachi "knows" otherworldly things: "He [the shakuhachi] has solved all the mysteries of Zen you see, tossed them aside and is now behaving rather like an extra-terrestrial deigning to grace our earthly world with his presence."[885]

Communing with such wisdom is intoxicating and mesmerizing. Tanizaki savors the "moment of trance" that comes from staring into the obscurity of "the darkness,"[886] and Lee describes an intensely pleasurable peak experience playing shakuhachi along the lines of a "trance" as well, in which he maintains no sense of languaged ego, feeling as if he is doing things "on automatic":

> The biggest joy of all to be found in the shakuhachi, however, is in the actual playing. To describe it to someone who doesn't play the shakuhachi is almost impossible, even more so when he plays no musical instrument at all. For example, how would a bird explain to a human how it feels to fly? With that in mind, I shall try to describe my feelings while playing any musical instrument. There are times, rare indeed, when I'm playing along, and suddenly it seems that I'm not playing at all. That is, everything seems to go on automatic. My fingers continue to move, my lips adjust themselves properly, but my

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[884] "The History of the Kyotaku," *Asian Music* 8/2 (1977): 51; and Tsuge Gen'ichi, "The History of the Kyotaku," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 126.

[885] Ethne Ashizawa,"Reflections," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 5.

[886] Tanizaki, 20. He is describing the experience of being unable to see the liquid one is drinking from a dark-colored lacquer bowl, so that one's other senses (e.g., heat on the palm, condensation on the rim, fragrance) are more palpable—the visual obscurity allows for a moment which can be savored and that complete clarity would not have permitted.

> conscious self seems to be sitting to the side watching it happen, listening to the music with extreme pleasure. And maybe once or twice during the five years I have played the shakuhachi, even the consciousness of the listener seemed to disappear. Everything disappeared. All that remained was the music of the shakuhachi. Pure, timeless and eternal. How does it feel to fly?[887]

In such a heightened mental state, players describe feeling no physical separation between oneself and the shakuhachi. Watazumi argues that Zen "only happens when the tool and the person cannot be divided."[888] Mary Lu Brandwein senses a fusion of her body, the sounds she makes, and the act of breathing:

> Letting the sound be a house and surround you and be inside of you…In playing, feel the sound arise from the whole body as the energy concentrates, feel the strength of the abdomen, the diaphragm expand and contract, and the lungs empty and fill, the throat open, the resonance of the sinuses and feel the taste of the sound in the mouth. Taste the sound in the mouth; savor it in the mouth the way you savor an expensive wine; feel its vibrations on the fingers.[889]

This same sensation allows Sunny Yeung to feel at one with the entire phenomenal world, saying that "The whole human body and the instrument are virtually fused into one entity. In fact, it

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[887] Lee, "An American Looks at the Shakuhachi of Japan," 114. The feeling of action on "automatic" corresponds to Csikszentmihalyi's criterion of attentional focus, meaning a merging of action and awareness. See Chapter 2, pp. 10f.

[888] Clifton Karhu, "Zen, Zero Zen, No Zen and Watazumidozen," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 14.

[889] Mary Lu Brandwein, "The Bamboo Way (Chikudo)," *Shakuhachi: Sculpted Sound* (2008), accessed 18 October 2014, www.shakuhachi.org/bamboo_way_chikudo.htm. Brandwein (b. 1947) is a shakuhachi player in California who studied with Koga Masayuki and Yoshizawa Masakazu (d. 2007).

goes even further: The bamboo serves as a passage for the human mind to merge with nature. Man, bamboo, space, and spirit unite into one entity."[890] Blasdel, too, feels linked to his surroundings through his shakuhachi:

> [Breathing] brings us into connection with the outer world (atmosphere) through inhalation, [and] it is also the means of impressing our inner world onto the environment through exhalation. The shakuhachi turns this breath into tone and our imagination turns the tone into music.[891]

Adualism

This sense of fusion allows the player to realize a central truth of Buddhism, adualism, meaning that there is no real distinction or separation between any of the things felt to have fused: the self, the instrument, the sound, the past, or the universe. This is a principle emphasized in *Kaidō Honsoku*, section 12: "Heaven and Earth have the Same Root and All Creation is One Body, neither confinements nor attachments exist."[892] Experiencing fusion is the mark of a master player for Fūyō:

> When my thoughts, imagination and concentration become one within myself, then I will call myself a good player, even a master. I enjoy each moment by doing my Zen practice in my heart and myself and realizing the way. I just hold the bamboo and blow it.[893]

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[890] Sunny Yeung, "Shakuhachi and Flute – Complexities and Contradictions," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 383.
[891] Blasdel, *The Shakuhachi: A Manual for Learning* (Tokyo: Ongaku No Tomo Sha Corp., 1988), 21.
[892] Olafsson, 145.
[893] Hartshorne and Tanahashi, 45.

Koga describes the sensation of realizing adualism as an opening up of the entire sky into which the player can now "fly":

> When you find this mind/moment [when a sound changes from one note into another], you have found one of the first gates to the empty sky. When you understand this stage, you may wonder what other gates there are for you to go through…Perhaps after you understand the place of your mind as you play from note to note, the next step might be to understand the place of your mind within a single note. Once you can play with this understanding, you can see the way to fly in the empty sky with the shakuhachi.[894]

Once the transcendent sensation of "flying" has been achieved, Koga says that the only remaining task is to be aware of "the emptiness of the note" being played:

> Once you fly up into the empty sky, you may perceive the notes as moving (emotionally or physically), or as staying still. It doesn't matter – as long as you grasp the emptiness of the note, and come to know that the note can be divided by moments and space, infinitely. When you understand this, you will know the "silence of sound" in the music – and in our lives.
>
> We can walk around in the sky while our invisible feet are solidly on the ground.[895]

Adualism allows shakuhachi practitioners' senses of history to be made real, to be unified despite factual discrepancies, and to be felt during execution. The player achieves a sense of

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[894] Koga Masayuki, "Shakuhachi Essays," ed. Margo Hinkel, in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 77. Koga's imagery recalls Hayashi Razan's 1621 commentary on Yoshida Kenkō's *Tsurezure-gusa*, in which Razan calls the shakuhachi-playing *komosō* monks "the socalled [sic] 'empty sky priests.'" See Olafsson, 142.

[895] Koga, 78.

atemporality, or fusion with the past. Ralph Samuelson argues that *honkyoku* "represent a continuous flow, an integral system, in terms of melodic line, artistic expression, and meditative discipline" into which a player can tap when playing.[896] For Keister, when a player finds himself or herself within *kata*, "The individual is able to mentally and physically embody these traditional forms – to literally 'become' the form of the art," that is, to become the traditional wisdom of one's predecessors.[897] Much in the way these modern practitioners feel a sense of transcending the forward motion of time to commune with their predecessors during performance, a shakuhachi-playing ghost defies the time-space continuum and appears in the 16th-century *kyōgen* play *Rakuami* in order to offer spiritual insight. According to Olafsson, "the ghost of the deceased flute player Rakuami materializes on his own grave by the sound of a travelling monk's shakuhachi"[898] and recites a poem, "The Eulogy of the Rōan Temple in Uji":

> Once you have cut off your dualism, the essence of the shakuhassun transcends past and present. The one sound blowing forth of a mind Non-born, Non-perished, exceeds the deepest of friendships – beyond limit.[899]

Historical predecessors behave like this ghost whenever a practitioner plays *honkyoku* and executes *kata*; their past generations of insight are present and real for the modern player despite temporal distance.

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[896] Ralph Samuelson, "Toward an understanding," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 34.
[897] Keister, 101.
[898] Olafsson, 141.
[899] Ibid.

Deep, Profound Knowledge

The shakuhachi expands the limits of the player's consciousness and allows him or her to commune with otherwise inaccessible knowledge. Fūyō speaks of "something deeper" that players who engage *honkyoku* as *kōan* are able to find:

> It's fine that you are all deep into music. But there's something deeper and if you would go deeper, if you go to the source of where the music is being made, you'll find something even more interesting. At the source, everyone's individual music is made. If you ask what the deep place is, it's your own life and it's knowing your own life, that own way that you live.[900]

By going "deeper" into the music, Fūyō means that a player goes more deeply into the depths of himself or herself. The deep mysteries one seeks lay within oneself, and possessing profound knowledge is synonymous with knowing oneself. To this end, Samuelson refers to an "unspeakable spiritual sense lying deep within the blowing and the blower,"[901] and Blasdel speaks of "the profundity" and "richness" that "we have found within ourselves."[902] For Levenson, the express purpose of playing shakuhachi is its role as an avenue towards knowing himself more deeply: "My involvement with shakuhachi is not motivated by any desire to attach myself to something alien or esoteric. It is more a means to learn who I, in fact, am."[903]

This "something deeper" that Fūyō describes is difficult to find because it is beyond the limits of typical human knowledge. Ikkyū equates those limits with the sound made by Fuke's bell in poem No. 111 in *Kyōun Shū*:

> The realm of the senses, is indeed an elusive thing,

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[900] Watazumido-so Roshi, 189.
[901] Samuelson, 34.
[902] Blasdel, "The Shakuhachi: Aesthetics," 15-16.
[903] Levenson, "Blowing Zen," 49.

As if it was a clear voice, faintly in the cold.

The old man Fuke used lively methods,

[The bell] hanging from the noble railing, [ringing] harmony with the wind.[904]

Once a player reaches the "limit" of his or her technical abilities (i.e., the limits of his or her knowledge), Levenson says "you can either stay where you are or open yourself up to other forms and processes."[905] It is through the willingness to "open" oneself and step into the beyond one's limits that *suizen* is possible and the player feels a sense of fusion with the whole universe. Watazumi says that when a player executes with utmost naturalness (*mu-soshoku mu-shoon*, "expressing a natural figure"), "Expressing in tunes, mastering techniques, transcending the continuation of sounds," he or she "obtain[s] the rhythmic movement and euphony among the cosmos practically."[906] Dan Mayers describes a sensation of being "welcomed" by the universe while playing:

> I concentrated entirely on the sound, the vibration of the shakuhachi in my fingers, and blanked my mind utterly. Lo, after half an hour the universe opened its arms and welcomed me. I had achieved what I can only assume was Zen enlightenment. I have been able to repeat the experience at will. It certainly beats sitting in za-zen in a draughty monastery and having a monk beat your back to keep you awake.[907]

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[904] Linder, 139. The sound of Fuke's bell is the legendary inspiration for shakuhachi playing (see Chapter 5, p. 143f). Linder views the two as being metaphorically synonymous.
[905] Levenson, "Blowing Shakuhachi," 48.
[906] Mayers, "Watazumido Doso Roshi – His Practical Philosophy," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 22-23.
[907] Mayers, "Zen and the Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 80.

A player might also sense himself or herself to no longer "be" himself or herself and instead to be a conduit for messages from the universe.[908] Keister notes the player will feel his or her sense of self supplanted by a feeling of oneness with the universe, which takes control of one's bodily rhythms:

> After practice, your breathing will feel as though it is being done by the universe and not yourself. Eventually you can breathe this way even when walking or lying down. Specifically, this breathing and the calmness and strength of spirit associated with it, can be transferred to your regular playing.[909]

Having one's identity taken over by the universe is also part of the shakuhachi's legendary identity—it is part of the accepted range of reactions defined by the shakuhachi habitus. Blasdel argues that "Kichiku's dream bespeaks the importance of higher intuitions in the creation of music."[910] Similarly, Jin Nyodo said that he composed based on the principle that "good music can not [sic] be created through the intentions of a single individual. Rather the creative process of the universe manifests itself momentarily in one human being so that the piece is not composed (*sak*kyoku) but is born (*sho*kyoku)."[911] Jin's description of a piece being "born" rather than "composed" echoes Kichiku's dream while on Mt. Asamagatake in which "a

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[908] Gilbert Rouget argues that this sensation of one's self being supplanted is a requisite feature of a trance (i.e., flow or peak) experience. See Chapter 2, p. 17.
[909] Keister, 116, quoting "Misogi," N.d. http://japanworldmusic.com/misogi.htm/#exhalation This website does not currently contain the information he quotes, although the text is available as part of an online discussion forum in which a user named "kamakura-san" commented on the thread "Aikidoke, javite se…. 4" on 13 November 2008, www.forum.hr/showthread.php?t=310228&page=58.
[910] Blasdel, "The Shakuhachi: Aesthetics," 15.
[911] Kamisangō, "The Shakuhachi of Jin Nyodo: A Collection of Classical Honkyoku," trans. John Tedford, *Hogaku* 3/2 (1989): 28.

short transcription of a work…emerged naturally by itself."[912] Kamisangō also interprets Jin Nyodo's compositions as a modern manifestation of the Fuke-shū mantra of "One temple = one melody."[913] Jin's own body is his temple, and his music is an expression of his understanding of his body and his mental discipline within that temple.

Transformation of the Self

Deeper knowledge or secrets of the universe are not external to the player; they reside within every individual. Through playing the shakuhachi, a practitioner travels so deeply inside himself or herself that he or she is able to access that deep knowledge, and his or her entire sense of self is permanently transformed.[914] One's identity is not temporarily supplanted (as with Becker's trancers), but rather it is fundamentally altered, and Gould[915] and Brandwein[916] both describe "ideal" *honkyoku* playing as a "transformative experience." When a player comes to know something that Fūyō describes as the "inner mysteries" lying "beyond intellect," he or she emerges from the experience a better person ("direct and unblemished"):[917]

> To go all the way with intellect, and then go beyond intellect: this is the way to the inconceivable…If you do not make it your purpose to abandon all greed and desires, even if you blow the bamboo, it is not Zen practice. If you do not devote yourself to training your mind, you will not penetrate the inner mysteries. If you abandon greed and

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[912] Kamisangō, "The Shakuhachi of Jin Nyodo," 33.
[913] Kamisangō, "The Shakuhachi of Jin Nyodo," 35.
[914] Putnam and Shanor argue that peak experiences are always transformative. See Chapter 2, p. 12.
[915] Keister, 112.
[916] Brandwein, "Playing Honkyoku, Praying Honkyoku," accessed 4 May 2014, http://www.shakuhachi.org/HONKYOKU.html.
[917] I take "beyond intellect" here to correspond to Damasio's concept of core consciousness—i.e., where intellect (extended consciousness) cannot touch.

> discipline your mind, you naturally become a direct and unblemished person. If even one person becomes direct and unblemished, is that not for the good of the world and for the good of himself?[918]

By using one's mental discipline to go beyond intellect, to distinguish oneself from a vicious animal,[919] and to refine oneself in a way that is wholly natural, a shakuhachi player becomes a better person. One's commitment to self-development brings one closer to a Zen ideal. Levenson considers his transformed self to be a better participant in the world, one who is more observant and more consciously present in the moment:

> I don't think of it [the urge to blow] as any great mystery, but I can only speak for myself. It seems like one has to cultivate an awareness of their immediate surroundings. I feel as if I want to develop the capacity to experience my life as it is unfolding. Meditation is nothing more than that. It is literally a "practice." When I arise from that "alien posture" you talk about [*seiza*], the life I step into, the life I am about to lead[,] is what counts…Evolving and sharpening these skills underlies my own urge to blow. I would like to be better at what I do and feel that I am making the correct decisions.[920]

As with practitioners of other Japanese arts, shakuhachi players extend the feeling of transcendence and awareness to their whole lives. *Suizen* is not only a momentary sensation but a way of life that both prolongs the feeling of Zen and leads to more *suizen* playing. Following the principle of *geidō*, Keister notes that the "goal…is not the perfection of an art object as an

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[918] Hartshorne and Tanahashi, 42.
[919] This is a concern of Yoshida Kenkō. See Chapter 6, p. 163.
[920] Levenson, "Blowing Zen," 54.

end in itself, but the development of the self as a never-ending, lifelong process."[921] Watazumi defines *satori*, or Nirvana, as "not a stationary point to reach but an operation and action by disciplines and experiences of every humanity."[922] He believes that "To be enlightened in Zen is not a one-time mountain-top experience. It is when it is."[923] Mayers suggests that the skills one acquires through playing shakuhachi serve to make a Zen-like state of mind or mindful actions possible even when one is not playing. He claims that playing shakuhachi has taught him that "living one's life according to Zen principles…involves being at all times mindful of one's actions, moving in such a way as to remain firmly based in one's chi, and being at all times thoughtful and free of the more earthly emotions."[924] The sense of awareness, physical control, and emotional detachment required for shakuhachi playing positively influence the rest of his life.

Conclusion: An Anecdote from Riley Lee

As an illustrative example of a transcendent shakuhachi experience, I include one final lengthy anecdote from Riley Lee, whose account includes parameters of "good" performance for both the player and the listener, the experiences of *geidō* and *suizen*, and the criteria of flow or a peak experience. It also describes the antitheses of a good shakuhachi performance:

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[921] Keister, 104. Earning a professional name is an indication of a player's permanent identity transformation or supplanting of one's identity with the ideal: "Such a transformation is especially desirable for the Western *shakuhachi* player who, through diligent dedication to the instrument, can completely transform the self so as to lose his or her Western identity…This common practice of adopting professional names in the Japanese learning process is the mark of a successful border crossing for Westerners and undoubtedly a source of tremendous pride after undergoing the arduous path of discipline and sacrifice required to earn such distinctions" (Ibid., 113).
[922] Mayers, "Watazumido Doso Roshi—His Practical Philosophy," 21.
[923] Karhu, 14.
[924] Mayers, "Zen," 80.

uncontrollable ANS arousal (performance anxiety), trying too actively to achieve a musical goal, and being concerned with listeners' reactions. In his account, Lee's focus shifts from his surroundings (the extended consciousness) to his in-the-moment physical sensations (core consciousness). Throughout, his success in performance is predicated on his mental discipline, not his technical skill:

> The first time I ever played a honkyoku piece before an audience was at one of the all day [sic] gatherings held each autumn at the Meianji [Myōan-ji] Temple in Kyoto. I was to play the piece entitled, 'Ajikan'. The Zen temple was filled with the performers, many old men, some with flowing beards. Surprisingly, many foreigners were also there to listen. Outside, the crisp autumn sun painted the small maple leaves in the temple garden with beautiful reds and golds. The quietly moving patterns of their shadows played on the smooth tatami mats. The whole room was made of natural materials, heavy wood beams turned dark brown from age and ever-burning incense, the wooden ceiling, wooden hallways polished to a sheen by years of use, the tatami floors.
>
> Despite such peaceful surroundings, I was extremely nervous when my turn came to play. I began with my eyes closed, trying to breathe smoothly. The audience listened politely. Like many honkyoku, 'Ajikan' begins very slowly and quietly. Toward the end of the piece, there is a 'taka-ne', where after wandering about, mostly in the lower octave, the melody suddenly bursts into a high, rapid climax. When I reached it, I suddenly felt a tingling rush of energy shoot up my spine and explode in my head with oranges and reds like fireworks in the summer sky. It was pure pleasure of a kind I had never known, and it was over as fast as it had begun. My consciousness returned to my shakuhachi playing, and my nervousness as well.

I don't remember having played the whole 'taka-ne' section, though I'm sure I did. My body, fingers, everything seemed to have moved by themselves. I finished the song sweating, feeling very tired. I opened my eyes and looked at the audience. They were probably applauding, but I remember most the look on some of their faces, a kind of satisfied excitement, perhaps like the face of a young mother watching her child walk for the first time by himself.

The next year, after much practice, I returned to Meianji to play a different honkyoku. I was more confident in myself. But this time, nothing happened, certainly no rush of energy. Afterwards, I was complimented by a few people, but something was lacking. I didn't see the sparkle in the eyes of the audience; the whole feeling was different. I felt dissatisfied, unfulfilled. Even now, I continue to try to recapture the experience of that first performance at Meianji. What I am searching for appears to have less to do with technical skill than with one's frame of mind.[925]

[925] Lee, "An American Looks at the Shakuhachi of Japan," 115.

Chapter 9: Conclusion

This dissertation hasn't clarified what exactly music means, nor has it defined a singular listening paradigm that is experienced by all listeners or even by all listeners of a certain kind. If anything, the waters are now slightly muddier—as with other aspects of musical meaning, mental discipline is an aspect of a musical tradition's socially-defined habitus. Actions or demeanor that would be considered "disciplined" in one tradition would be proof of a lack of discipline in another, for example. Moreover, there is no such thing as an absolute role played by the listener[926] or even by musical sounds[927] in the meaningful musical experience, either within or across traditions. What we can say, however, is that a set of practitioner-listeners (who share a similar gaze, habitus, and enculturation), even though they will present a wide spectrum of listening experiences, will approach musical experiences with similar assumptions, as will analogous listeners within another tradition, even as the musical details in question necessarily differ.[928] The expectation of mental discipline drives 18th-century flutists' and shakuhachi players' evaluations of a player's proper appearance, thought processes, and execution. It is a

[926] The listener in 18th-century German flute music plays a paramount role; often the listener's experience is elevated over that of anyone else involved in musicking (including the player or the composer). In the case of *honkyoku* repertoire, the listener is unnecessary, and only the player's inner mental experience of execution is necessary for an experience to be considered meaningful.
[927] Whereas flute treatises devote large portions of their pages to the question of what defines the ideal flute tone quality, the shakuhachi habitus favors *geidō* (the process of executing physical gestures in an artful, individualized, yet traditional way) over the musical sounds that happen to result as a byproduct of that process.
[928] Three listening paradigms for 18th-century flute music were those listeners for whom musical meaning was found in the perpetuation of social norms, in the notes themselves, or in the listener's feelings of metaphysical transport. Shakuhachi players fall along a Zen-music spectrum, favoring on one side private meditation, and musical performances on the other. Musical meaning was found in the act of performance, in declaring membership in a social group, and in the multiple conflicting senses of the instrument's history, especially its meditative identity.

musician's mental discipline that determines whether a musical experience will be good, bad, or even transcendent, even as the definition of what it means to be disciplined changes.

Points of Comparison

Despite the differences between these musical traditions, four additional interesting points of comparison have arisen throughout this study. First, the ways in which performance practice embodies aesthetic ideals for practitioners in multiple locations across the world; second, the chasm between ideas about musicking and the reality of musicking; third, the relationship of core consciousness, deep knowledge, and emotions; and finally, the larger social value of mental discipline in performances.

Music acted as a simulacrum of class consciousness across Europe in the 18th century, and the same issues of refinement that concerned Johann Joachim Quantz and Johann George Tromlitz appear in other flutists' writings. Although Ardal Powell claims that because the Quantz flute was best suited to the "resonant, high-ceilinged palace chambers" of Frederick II of Prussia's abode, not the "modern…smaller private apartments or concert rooms" of non-royal musicians, and therefore "had little influence outside Frederick's circle," Quantz's influence is palpable in other aspects of flute playing.[929] Other flutists adopt the same vocabulary pertaining to good taste and the noble classes that Tromlitz and Quantz use. In his *Treatise on the German Flute* (1771), Luke Heron, a Dublin-based flutist who was writing for "cultured amateurs, not aspiring professionals," echoes the main points of Quantz:[930]

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[929] Ardal Powell, introduction to *The Keyed Flute*, by Johann Georg Tromlitz (Oxford: Clarendon Press, 1996), 27. Yet, Quantz's style persisted even after his death in Berlin, after his flutes had become "old-fashioned," because F.G.A. Kirst (c. 1750-1806) continued to make both Quantz- and Tromlitz-style flutes there (1772-1804) (28).
[930] Powell, introduction to *The Keyed Flute*, 41.

> Elegance in musical performance, like gracefulness in action or motion, may be improved, but cannot be given. In action, it is the native grandeur or nobility of the mind, beaming forth and throwing a glory, round us. In music, it is the language of the soul, addressing itself to the passions; or rather, it is the sensibility of the soul describing, and as it were painting, itself to us in sound.[931]

Later tutors drew heavily on Tromlitz, especially. Franz Joseph Fröhlich's (1780-1862) guide to the instruments of the orchestra (1810) uses a condensed version of Tromlitz's treatises for the section on the flute.[932] August Eberhard Müller (1767-1817) maintains Tromlitz's sense of taste and performance in his flute tutor, *Elementarbuch* (1815), and Powell notes that it also had a strong influence in France.[933] Descriptions of flute tone that refer to it as being particularly masculine and strong carry over as well, perpetuating the ideal described by both Quantz and Tromlitz. The German flutist Friedrich Ludwig Dülon (1768-1826) praised Dr. Justus Johannes Heinrich Ribock (1743-85) for his impressively forceful lowest notes and described Joseph Winter in 1778 as sounding like an "angel: specifically, [having] a strong and manly low register with a pleasant and well-in-tune high range."[934]

Through non-Japanese shakuhachi players, performance similarly continues to embody the ideals of the Fuke-shū across the world. These practitioners' senses of history actively shape the aesthetics of the instrument for modern players in the United States, Canada, England,

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[931] Powell, introduction to *The Keyed Flute*, 4, quoting Heron, *A Treatise on the German Flute* (London: W. Griffin, 1771), 43.
[932] Powell, introduction to *The Keyed Flute*, 24, citing Joseph Froehlich, *Vollständige theoretisch-pracktische Musikschule für alle beym Orchester gebräuchliche wichtigere Instrumente zum Gebrauch für Musikdirectoren - Lehrer und Liebhaber* (Bonn: N. Simrock, 1810-11).
[933] Powell, introduction to *The Keyed Flute*, 18 and 24. Powell describes Müller's work as relying "heavily" on that of Tromlitz.
[934] Powell, introduction to *The Keyed Flute*, 42. Dülon also played on a Kirst flute modeled after Tromlitz (Ibid., 22).

Denmark, Germany, Sweden, and Australia (as evidenced by the careers of the players referenced throughout this dissertation), and the more concentrated system of pedagogical delivery (by rote from masters rather than through the publications of enterprising flutists) maintains a stronger fidelity to tradition than is found in the classical flute community.

Secondly, the insistence in writings from both traditions upon what a player should do, how a player should think, and how a listener should interpret a musician's musicking implies the chasm between what musicians want ideal musicking to entail and what happens in reality. Certain aspects of flute playing were executed incorrectly often enough that both Quantz and Tromlitz felt the need to mention them explicitly: playing with correct intonation, understanding harmony before adding embellishments, or avoiding passing judgment on music that one does not fully understand. On the shakuhachi side, not all players maintain a beginner's mind, are able to find themselves in the *kata*, or experience *suizen*. The existence of the treatises, manuals, and instructive articles points towards their authors' awareness of errors in performance practice. If all players in both traditions already exhibited proper mental discipline, then these authors would not feel compelled to correct their fellow musicians' musicking.

Thirdly, both traditions equate a superlative musical experience with an ability to tap into deeper truths and more profound kinds of knowledge than are typically available. Quantz and Tromlitz speak of the bringing forth of one's soul, which Gottfried Wilhelm Leibniz believes is a mirror of the universe. The ideal flutist is able to focus so intently as to be able to express himself or herself with a kind of candor that is usually repressed. Similarly, when Fūyō describes the "inner mysteries" lying "beyond intellect" which a shakuhachi player can

penetrate,[935] he alludes to Damasio's notion of core consciousness. The ideal shakuhachi player is able to concentrate so fully as to be able to turn off his or her inner languaging and realize universal truth that was lurking, inaccessible, underneath the mental chatter all along. In both cases, a transformative musical experience involves a player's or listener's sense of ego being supplanted by a different kind of emotional identity. Deep wisdom for 18th-century German listeners and musicians is equated with being in touch with vibrant, powerful emotions and feeling oneself taken over by them. The ideal shakuhachi experience, itself also markedly different from day-to-day life, is a release from emotional obligations. In both traditions, a distinct emotional sensation brings about a new sense of being, new insight, and new sensitivity to the world.

Finally, "good" performance in both of these traditions is not an end in itself; good playing is about more than good playing. The benefit of mental control for musicians is that it turns them into better people: more refined and thoughtful citizens of the world. The issues of upper-class aspiration in German flute playing are explicit: aspects that define a person as belonging to the upper classes are valued highly and should be emulated by all levels of players. Progress in one's flute playing is synonymous with approaching these ideals. Music's value partly lies in its ability to communicate what is good behavior to its listeners in addition to molding the musician. The "better" person who emerges from a musical experience (both listener and performer) will aspire to noble ideals of behavior.

A shakuhachi practitioner's experience is internal, but since there is no real distinction between the player, the music, and the outside world, bettering oneself is synonymous with

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[935] Robin Hartshorne and Kazuaki Tanahashi, trans., "The Hitori Mondo of Hisamatsu Fuyo," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 42.

improving the world. It is something Fūyō suggests when he asks, "If even one person becomes direct and unblemished, is that not for the good of the world and for the good of himself?"[936] For Monty Levenson, the comfort that he takes in playing shakuhachi lies in the fact that it puts him in touch with what it means to be human. A feeling of connection to the past through the "rituals" of shakuhachi playing makes him feel more connected to humanity generally:

> There is something more than tradition, culture and rituals passed down over a long period of time that is going to help us out in the end. My particular interest is in the stuff that underlies or cuts through culture, that connects us all as a species, as human beings.[937]

Watazumi also considers the shakuhachi to be a means toward broader understanding: "The reason we use sounds is to get to the basics of human life, of the human health and the strength."[938]

Postlogue: Conceptual Migration

This study has made it necessary for me to reflect on my own sense of what defines good musicking and articulate what kinds of conceptual migration I sense between the musicking I study and the musicking I do. In particular, there exist several points of dissonance or tension between the two musical traditions studied here (i.e., late-eighteenth century German flute playing and shakuhachi playing) in terms of how each defines good musicking and mental

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[936] Ibid.
[937] Monty Levenson, "Blowing Shakuhachi," in *The Annals of the International Shakuhachi Society*, Vol. 2, ed. Dan Mayers (n.p.: The International Shakuhachi Society, 2005), 46.
[938] Watazumido-so Roshi, "The Way of Watazumi," in *The Annals of The International Shakuhachi Society*, Vol. 1, ed. Dan Mayers (Wadhurst, Sussex, England: The International Shakuhachi Society, n.d.), 191.

discipline. Things which are true in one musical tradition are not true in another. I don't claim any especial allegiance to one or the other—I am neither a late-eighteenth century German flutist nor a shakuhachi player—but there exist aspects of each tradition's sense of mental discipline that inform and resonate with my own playing, my judgment of my playing, and my conception of the performer-listener relationship. In other words, these traditions' ideas have become part of my own mental processes. I offer the following list as a synthesis of the notions of good musicking and mental discipline found throughout this dissertation that define a meaningful musical experience for me as a player:

(1) The skills I execute feel unforced and natural—i.e., I don't feel as if I have to actively work at them in the moment to make them happen;

(2) My execution exhibits cognizance of and adoption of style of piece or composer—e.g., intonation, articulation, and other stylistic features that are appropriate in a given habitus as I understand it;

(3) The performance is an example of directed theorizing—my comprehension and execution of the sounds involved in the work stem not only from instrumental technique but also analysis, and my execution makes my understanding of form, phrasing, and harmony (along with other analytical features) clear for a listener;

(4) No two notes of the same pitch sound exactly the same—the sound that I make is uniquely determined by the music at hand, such that vibrato, tone color, and tone intensity are all chosen based on the overall mood of the piece, the chord sounding, the chord or sounds that preceded it and will follow it, my position within the chord, my role in the musical texture, and blending with other instruments playing;

(5) I am able to find myself in the playing or execution—gestures that constitute my own interpretation as a performer (e.g., use of taper during sustained notes, variety and use of tone color) feel natural and they are uniquely my own;

(6) The musical experience features attributes of flow—e.g., cessation of languaging, loss of ego, attentional focus—on both the part of the performer and the listener;

(7) The performance equally values both my experience as a player and that of the listener—neither process (the performer's experience) nor product (the listener's experience) takes precedence, but rather both must be excellent;

(8) The audience feels moved by the experience but I don't think about the audience while playing.

This dissertation has demonstrated that performance and performers can be a valid part of a discussion of musical meaning, even of Western classical music, despite the unpredictability of that human element, and I hope that my approach here can be applied to additional musical contexts and to discussions with living players in the future.

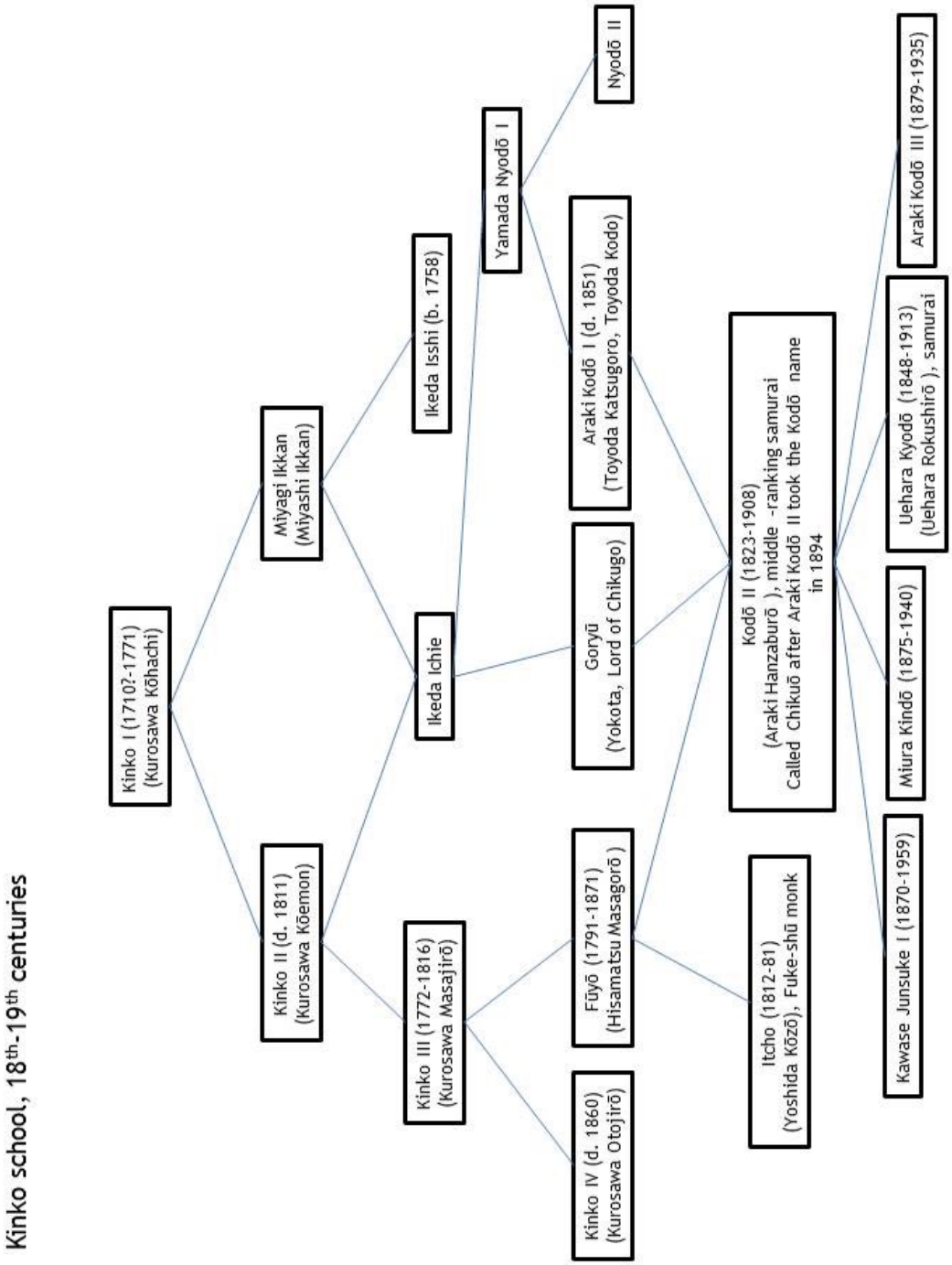
Appendix A: Comparison of Mental Control, Execution, and Listening Experiences

	18th-century German flute	Shakuhachi
What is the appropriate appearance for a player?	Simple, full of ease, seemingly disinterested, effortless exterior	One that indicates the correct mindset (happy, concentration, sensitivity, beginner's mind, patience, *geidō*, individual journey)
What does the appropriate appearance imply within this tradition?	Nobility Social refinement	Meditation Profundity of one's inner journey Membership in *ryūha*
What defines an ideal tone quality?	Clear, penetrating, manly, metallic, pure, pleasing	Night, fog, obscurity, dreams
How is control achieved?	Mind to body (the mind controls the body)	Mind to body (one should begin with the proper mindset). If this is not possible, then… Body to mind (i.e., through *kata*)
How is mental control known?	Control produces an expressive, comprehensible, coherent musical experience	Control results in execution that is simultaneously individualized and traditional
What additional knowledge required for the player to be successful?	Knowledge of the "science" of music (i.e., music theory, thoroughbass, compositional skills, instrument construction)	Knowledge of one's self, one's body
How is musical coherence defined?	Thematic Key areas	Tone colors and structure of tone cells

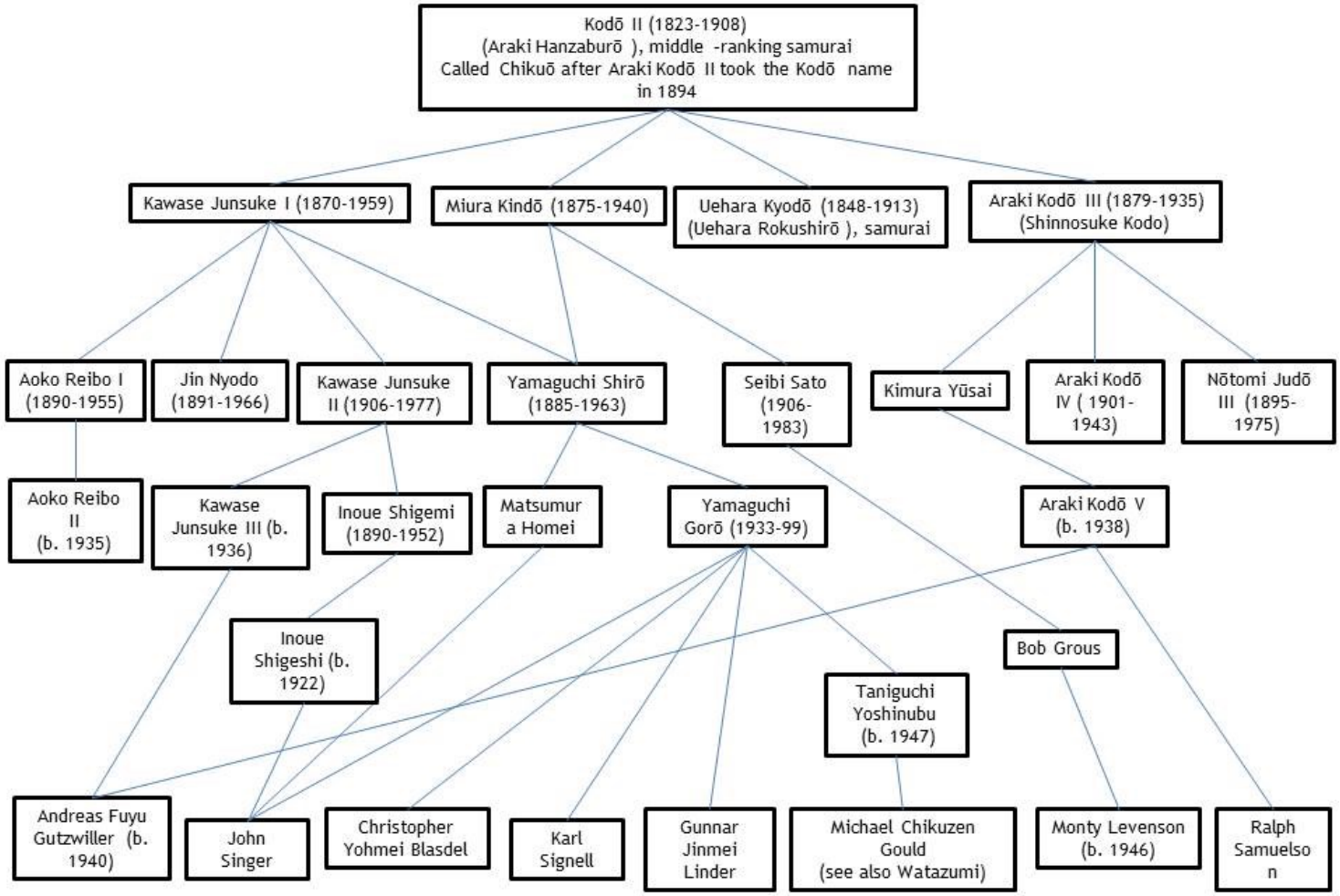
	18th-century German flute	Shakuhachi
What constitutes an ideal musical experience (i.e., transport, transcendence)?	Being focused towards the sublime, not just the pleasurable Proof of musician's soul Proof of listener's soul Full of life and intense emotions Communing with something universal and godly, often located physically above oneself	*Suizen* Adualism Sense of fusion with the universe Release from phenomenal world, time, and emotions Sensation of traveling deep inside oneself and realizing truth and deep, profound knowledge that was there, hiding, all along
Who can feel moved?	The listener But the musician must play and compose from his or her soul and be in touch with his or her emotions	The player But the audience may feel the player's *kokoro* during such execution
What produces the feeling of being moved?	Individuality, humanness, intuition	Individuality within *kata* (cessation of inner languaging, driven by bodily knowing) Lineage or history is made palpable by execution that maintains a sense of fidelity to the past
Who is the "other" against which writers define themselves or to whom they direct their instruction?	Non-professional, improperly trained, often lower-class, amateur flutists Youth Anyone unintelligent or mentally feeble	Non-Japanese Non-shakuhachi players Shakuhachi players interested in the wrong things (e.g., fame, performance, mastery) Players disinterested in the shakuhachi's historical role in meditation (especially among Western players) Players who use meditation as an excuse for sloppy playing (especially among Japanese players)

	18th-century German flute	Shakuhachi
What is the role of the listener?	Can be moved Can be judged based on his or her reaction to the musical experience Considered the most important (most learned, most discerning, most cultivated) role in the composer-performer-listener relationship	Is not generally discussed May feel a player's *kokoro* during a good performance

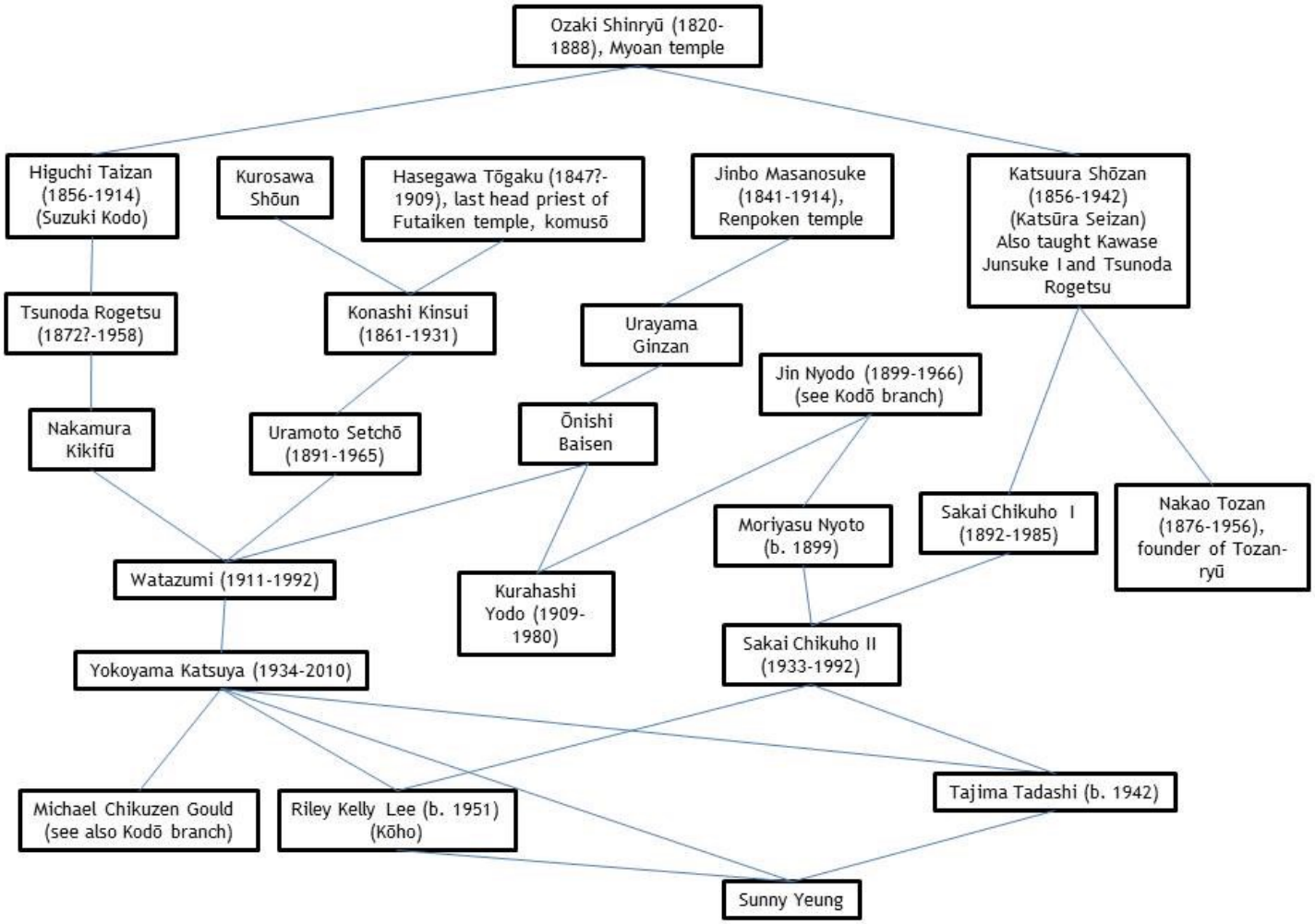
Appendix B: Kinko-ryū pedagogical lineage



Kinko school, Kodō branch, 19th-21st centuries



Kinko school, Chikuho branch and Watazumi



Glossary of Japanese Terms and Names

chikuin – a feeling of vibration in the shakuhachi when it is played. This sensation is experienced in the player's mouth, fingertips, and body.

Fuke-shū – sect of Rinzai Zen Buddhism whose members included monks (*komusō*) as well as members of the nobility (i.e., former samurai called *rōnin*) who sought ought the Fuke temples as a place of political refuge. Named after Fuke (Chinese: Pǔ Huà, c. 770-840 or 860), a revered historical figure in Rinzai Zen Buddhism known for his eccentric behavior that, according to legend, inspired the sound of the shakuhachi. The sect was banned in 1871.

geidō – the Way (*-dō*) of art (*gei*), which permeates the traditional arts in Japan. It refers to the way in which an artist made an art object, the technique that results in an observable art object, or the process of the artist putting *geidō* into practice. It does not refer to the art object itself (e.g., the musical sounds, a painting, or a poem).

hōchiku – used to describe shakuhachi that are not constructed according to a standardized schematic regarding length, bore, size, or number of nodes of bamboo.

hōki – a spiritual tool, sacred tool, or religious object. Referring to the shakuhachi as a *hoki* distinguishes its purpose as being intended for meditation rather than performance, entertainment, or as a musical instrument (*gakki*).

honkyoku – pieces that were originally written for solo shakuhachi to be used in meditative practice. *Honkyoku* is also sometimes translated as "original pieces." Shakuhachi players distinguish *honkyoku* from repertoire that is borrowed from that of other instruments and intended for public performance (*gaikyoku*), including music that is written for shakuhachi in a trio with *shamisen* and *koto* (*sankyoku*). Each *ryūha* has its own collection of *honkyoku* that it considers to be the foundation of their lineage and identity, although there is significant overlap among schools.

ichi'on jōbutsu – enlightenment through a single note. This is a Buddhist principle in which the sudden awareness caused by a sound (e.g., a pebble, a bird) can cause enlightenment.

iemoto – leader, founder, or head of a *ryūha* (a school of traditional Japanese art). The position is often hereditary, although an *iemoto* may designate a non-family member to be his successor. There can only be one *iemoto* at a time, which can result in the establishment of new schools or lineages.

iki – an aesthetic ideal in Japanese arts. It comprises seductiveness, coquetry (*bitai*), brave composure (*ikiji*), and resignation to fate (*akirame*). The word originated "in the pleasure quarters and licensed brothel districts" of Edo, which is where the temples and teaching studios of the *komusō* were located at the end of the Edo period. Its inherent meaning of brave composure (*ikiji*) comes from *ikuji*, which means strong will and is connected to the ethos of the samurai, from whose ranks many *komusō* came. See also Kuki Shūzō (1888-1941), *"Iki" no kōzō* (The Structure of Iki, 1929).

Ikkyū Sōjun (1394-1482) – Rinzai priest who became a folk hero of the Edo period. His *Kyōun Shū* (Crazy Cloud Collection) contains several affectionate references to the shakuhachi that became part of the identity the *komusō* used to shape the Fuke-shū.

Kaidō Honsoku (1628) – the oldest philosophical document from *komosō*. It defines and declares their identity as mendicant priests who use the shakuhachi to achieve enlightenment. *Kangin Shū* (A Collection of Songs to be Sung Quietly, 1518) – an anonymous collection of poetry in which the shakuhachi is directly linked to nature, a solitary lifestyle, and self-awareness, and it is described as an avenue towards emotional stability or comfort.

kata – prescribed physical actions of musical execution. Their execution constitutes *geidō*.

Yoshida Kenkō (1283-1350?) – a Buddhist monk whose *Tsurezure-gusa* (Essays in Idleness, 1332) explores issues of Japanese aesthetics that are central to the shakuhachi habitus: transitoriness, considerations of beauty, appreciating sensory experiences, and defining indicators of taste and refinement. Confucian scholar Hayashi Razan's 1621 century commentary on the *Tsurezure-gusa* made Kenkō's work a central text in Japanese education from the 17th century onwards.

Kichiku – also known as Kyochiku Zenji. A student of the monk Kakushin (1207-98), Kichiku had a legendary dream about the shakuhachi in which he heard two pieces of music that are still among the standard *honkyoku* of modern playing in all *ryūha*.

kōan – a Zen puzzle or paradox with no "right" answer that is designed to challenge a player's thinking by forcing a deeper level of concentration and a clearing away of mental clutter.

kokoro – the heart, spirituality, or mindfulness that both lies within and motivates *kata*. During good shakuhachi execution, a player's *kokoro* is said to be observable by others.

komosō – low-ranking mendicant priests of the 16th and 17th centuries who were considered social outcasts and often exhibited rowdy behavior. Their name means "straw mat priests," referring to the bundles of bedding they carried on their backs. They were also referred to as *boro*, *boroboro*, *boronji*, *bonji*, and *kanji*. They are precursors to the *komusō*. They are described by Yoshida Kenkō in *Tsurezure-gusa* (Essays in Idleness, 1332).

komusō – literally "priests of emptiness and nothingness." They were monks of the Fuke-shū who played the shakuhachi in order to achieve enlightenment (*suizen*) during the Edo period (1600-1868). The Kinko-ryū was formed by *komusō*, and its *iemoto* and prominent members were Fuke-shū monks until the sect was banned at end of the 19th century.

kouta – small song or poetry, often about love, favored by Japanese nobility of the 16th century. Examples include the collections *Ryūtatsu kouta* by Takami Ryūtatsu (1517-1611) and the anonymous *Sōan kouta-shū* (late 16th century), which both make passing references to the shakuhachi.

Kuki Shūzō (1888-1941) – philosopher and author of *"Iki" no kōzō* (The Structure of Iki, 1929).

Kyotaku denki kokuji kai (A Japanese Translation and Commentary of *Kyotaku Denki*, 1779-80, published 1795) – a document complied by Yamamoto Morihide in Kyoto to appear to be a 17th-century Japanese commentary on a Chinese manuscript. The Chinese text is attributed to a priest named Tonwō (or Ton'o, fl. ca. 1624-43) It contains a legendary origin story for the shakuhachi and the Fuke-shū and codifies the aesthetics of shakuhachi playing for *komusō*.

mā – silence. Its importance in shakuhachi playing is partly due to its symbolic representation of the Buddhist notion of the "void."

mūjo – Buddhist concept that encompasses the impermanence of the phenomenal world. Proper execution of *mā* is tied to understanding of *mūjo*, and it shares a character with *komusō*, highlighting the importance of the concept for Edo-period shakuhachi players.

Rakuami – 16th-century *kyōgen* (comic theater) play that includes a scene with an eponymous shakuhachi-playing ghost in a graveyard.

ryūha – school or style of shakuhachi playing. The *ryūha* to which one belongs is a large determinant of one's stylistic choices when performing. Each *ryūha* has its own distinct musical interpretation, playing technique, music notation method, and social structure. Examples of prominent modern shakuhachi *ryūha* include the Kinko-ryū, Tozan-ryū, and Myōan-ryū.

Sanjūniban Shokunin Uta-awase (Picture Scroll of a Poetry Contest on Thirty-two Professions, 1494) – a poetry contest portrayed on a picture scroll that includes *komosō* shakuhachi players, the sound of the instrument, and the attitude of the players.

Shichijūichi-ban Shokunin Uta-awase (Picture Scroll of a Poetry Contest on Seventy-two Professions, ca. 1500) – another poetry contest portrayed on a picture scroll that includes *komosō* shakuhachi players, the sound of the instrument, and the attitude of the players.

suizen – enlightenment through playing shakuhachi; literally "blowing Zen."

Tanizaki Jun'ichirō (1886-1965) – novelist and author of *In Praise of Shadows* (1933-34), which explores the Japanese aesthetic ideal of obscurity.

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