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**STEPS TOWARD A NORMATIVE MUSIC ANALYSIS:
MAKING MORAL CHOICES THROUGH SYMPATHETIC
NARRATIVITY IN MOZART’S PIANO CONCERTOS
K. 453, 466 AND 467**

SUMMARY: This article develops the conjecture that inference from facts to normativity is a precondition for building a narrative account of a concerto movement as a dialogue between self-fashioning musical actors. This article searches for the exact mechanism for becoming normative. Normativity serves as an “ought” relationship between two thematic entries, thus initiating internal communication and dialogue and the allegory of a moral choice between the themes. This relationship is regulated by the 18th-century concept of self- and other-directed sympathy, and is formalised as eight transformation functions that serve as epistemic filters and appear in either a consecutive or simultaneous manner depending on the mechanism of representation. Throughout the article, the influence of fact-value-divide on analytical methodology is discussed. The conceptual tools that are used in constructing the framework are reflective equilibrium, sympathy, narrative high point and narrative coherence/unity. The existential semiotic *Moi vs Soi* distinction is proposed as a possible solution for inference from facts to values.

KEYWORDS: Mozart piano concerto, allegory, self-fashioning, reflective equilibrium, transformation function, existential semiotics, fact-value-distinction, Zemic-model.

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1. Introduction

At the base of this research there is the question if music theory and analysis is by nature a normative or non- normative activity. What is of interest here is what the theoretical nature of music analysis is. Is it possible to provide a normative basis for music analysis? Such a basis would not only describe how a musical work “is”, but also give normative prescriptions about how it should behave in certain situations. This paper enquires as to whether it is possible to ground music analysis in a normative basis through an analysis of 18th-century moral sentiments.

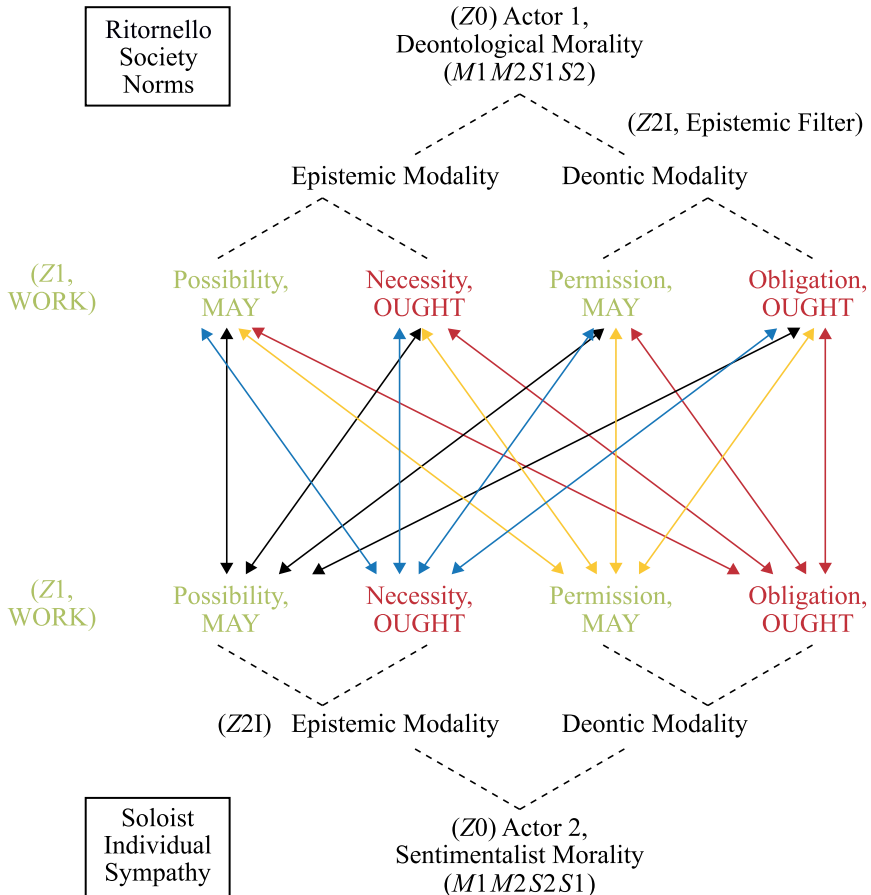
In this paper I argue that that the final goal of music analysis is not to describe how a work is, but rather to provide guidance for how to react to it in various interactive situations. Thus, the main objective is not the structure of the work, but rather what a work’s dispositions to act are. Therefore, the structure is only a starting point on which to build a theory of musical action. This brings one to the question of what the role of normativity in music analytical practice is. The emergence of normativity in the form of a narrative trajectory and its unfolding can be illustrated through an analysis of the first movements of Mozart’s piano concertos K. 453, 466 and 467. Since we have been able to build a narratological syntagmatic analytical system that corresponds to tonal analysis in all major respects, it has become possible to define the concerto in terms of the present narrative conception of a sonata instead of a sonata as seen through tonal analysis and as a musical form. Naturally, the present system needs to be seen in relation to tonal and form analysis. This will be done in the next phase of this research.

2. Transformations Between the Solo and Ritornello Sections in a Piano Concerto: Long Distance Anaphora

The starting point for an analysis of normativity and moral choice are the tensions between the solo and ritornello sections. Norms in society are, by nature, normative. However, there is normativity involved in sentimentalist morality (Gill, 2006) as well (see Figure 1 on the next page).

Figure 1

Dialogue as an Outcome of the Intersection Between Moral Duty and Moral Sentimentalism



Note. Figure 1 presents a basic interaction situation between soloist and orchestra in a concerto. At the top there is orchestra (ritornello) and at the bottom the soloist. It is conjectured that orchestra carries deontological moral values while soloist is expressive of sentimentalist morality. Figure 1 illustrates the multitude of possible dialogical relations between the two recurring actors in a concerto. Source: author's own elaboration.

Although it is a question of long-distance anaphora¹ (Aoun, 1985; Brandom, 1994), the interlocutors do indeed intersect somewhere, and their respective properties thus meet one another. This dialogical process takes place entirely among normative properties. The only function for formal properties is the segmentation of temporal relationships into the appropriate sections.

2.1. Verisimilitude Between Theme Actors

When looking at the matter in more detail, one must ask what the criteria for the sameness of a theme are. This depends on several factors. A theme may have similar motivic qualities. This, however, may, but not necessarily, guarantee any similarity. The same goes for timbre and rhythmic patterns. Themes belonging to the same topic might be totally different in all other ways. Thematic resemblance is perhaps the nearest measure of similarity. Yet, what is thematic resemblance? To systematise the above procedure, one might want to construct an existential semiotic measure for thematic sameness as verisimilitude. Here, the matter is treated intuitively, leaving detailed measures to a later stage. This sketched development of the thematic measure of verisimilitude will assist us in assessing on what grounds a theme can be transformed into such a theme as belongs to another musical episteme so that it nevertheless preserves its own identity.

2.2. The Structure of the Epistemic Filter

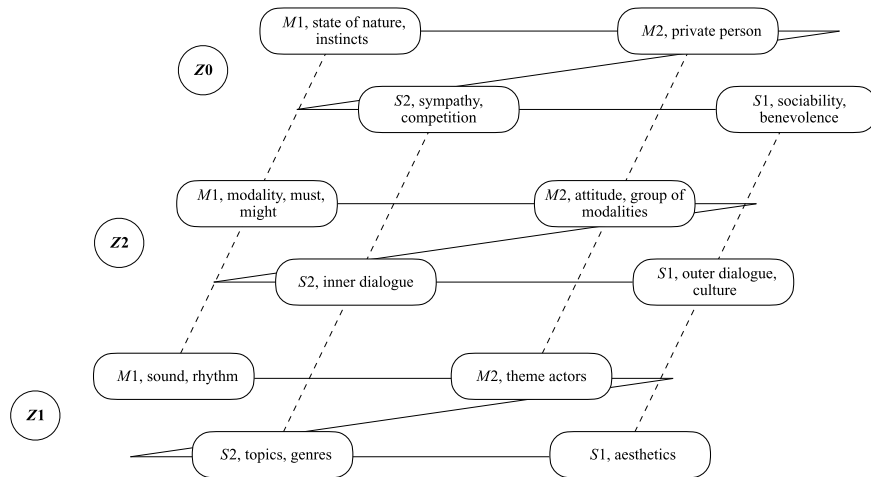
The starting point for our inquiry is allegory, together with the formal structure. The epistemic filters then filter everything that relates to certain central allegories belonging to the behaviour of a self-fashioning Enlightenment gentleman/woman. The epistemic filters reflect what one has access to, and, thus, what one's moral character is like. This level of values consists of metaphors and figurative expressions. Morality as *exo-signs* is transformed into *endo-signs* and gains a central position in the performance. In this examination, the formal properties do not hold a primary ontological position in a musical work. According to Hume's moral sentimentalism, values are based on sentiments and feelings, not rationality. Epistemic beliefs are able to arise on both rational and emotional bases. Emotional reactions depend on sentiments that cause both virtues and vices to arise. Rational reactions depend on formal relationships. These two are operationalised using epistemic filters. Thus, one moves from sentiments and rational criteria to the higher level of values from where allegory can be reached. An allegory is composed of both rational and emotional factors. This enlargement of the explanatory framework increases the factual nature of the allegorical input, while, at the same time, it questions the validity of the fact-value distinc-

¹ Anaphora is a backward-looking linguistic device that gets part of its meaning from a preceding antecedent. This is the case in pronominal reference, but the antecedent may also be a considerably larger part of discourse. This is the case in discourse anaphora.

tion (cf. Hume, 2001; Railton, 2003; Putnam, 2002). Firstly, the ritornello in Concerto K. 467 launches the modality “may” without specifying what the possible states of affairs will be. During our research, the inference proceeds from “ought” to “is”. The processes of becoming normative and finding the general principle through reflective equilibrium are simultaneous. The model can then convey knowledge about alternatives to the theory of virtues based either on religious doctrine or on 18th-century empiricist philosophy. What were formerly moral exo-signs in the work’s formal structure have now become endogenised and turned into endo-signs through existential semiotics (Tarasti, 2001). To support the analysis of the individual identity of concertos K. 453 and 467 as an Enlightenment allegory, both the sonata form and ritornello principle will contribute to the formation of this equilibrium. To illustrate the flow of knowledge and emotions both through the work and through history and the present moment, the so-called Zemic-model (Tarasti, 2015) is used (Figure 2). Epistemic filters determine to which extent this happens.

Figure 2

Primary Zemic-Model and Subsidiary Zemic-Models Z0 (Transcendence), Z1 (Work) and Z2 (Dasein)

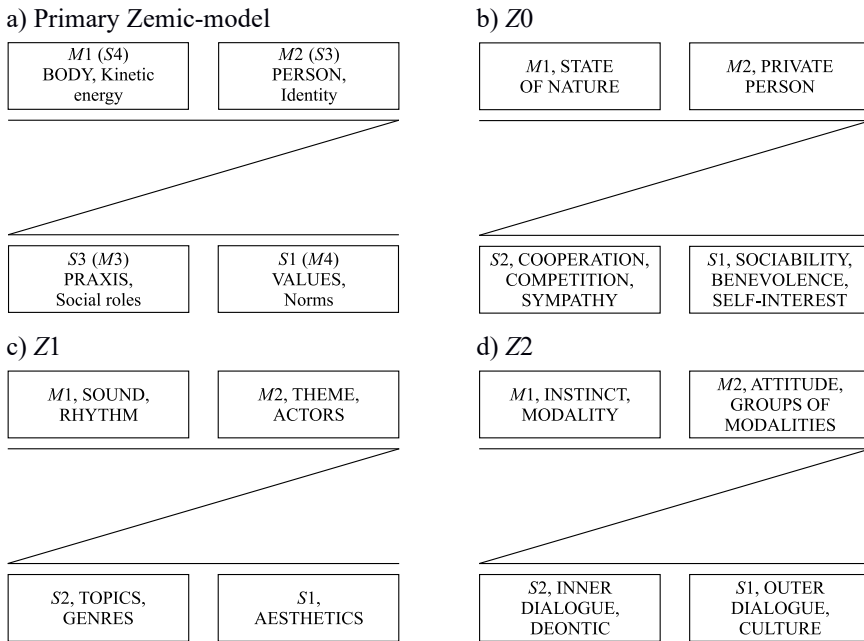


Note. Figure 2 presents so-called subsidiary Zemic-models Z0Z1Z2 as they are defined in the Enlightenment era. Thus, their scope is wider than that of classical style per se. In Figure 2 they are embedded in the X-model representing the relations between the work, transcendence and everyday life. This enables one to examine Mozart’s oeuvre in relation to the culture of Enlightenment and to state conjectures and draw conclusions concerning research questions at various levels. Figure 3 presents the models Z0Z1Z2 separately and highlights their relation to the primary Zemic-model Z. Source: author’s own elaboration (Heimonen, 2025, p. 289)

An epistemic filter works to determine which part of society’s knowledge content and emotional input (Z0) is transferred through the work (Z1) to Dasein (Z2). Sympathy (Hume, 2001; Smith, 2002) is the theoretical construction that defines this process, while the epistemic filter (Lasonen-Aarnio, 2019) determines to which extent the subject has access to the emotional and knowledge base provided by Z0 and Z1 (Figure 2). A case in point is the g-minor theme in concerto K. 467. The theme clearly comes from the outside, awakening in the protagonist the realisation that their worldview has started to deviate from that of the old-world features of the first ritornello, R1. This is channelled through anaphoric reference, and it changes the balance between facts and values; the nature of normativity is changed. When new elements are added to the respective reflective equilibrium, the balance between general principles and individual inferences is also subject to change.

Figure 3

Sympathetic Self-Fashioning Presented via the Z0Z1Z2-Model. The Change of Aspect Between Dasein and the Work. Inner and Outer Communication



Note. Source: author’s own elaboration.

Figure 3 illustrates how sympathy functions in the work's internal communication and de facto leads to sympathetic self-fashioning when given allegorical interpretations. It thus fuses outer world influences ($Z0$) to our everyday experience ($Z2$). This process is mediated through the work ($Z1$) in a central manner. The filtering process rearranges the rational and emotional components so as to bring them together in the empirical and transcendental parts of consciousness in the Dasein. This whole process is called sympathetic narrativity.

3. The Role of Transformation Functions in Characterising Concerto Analyses

3.1. The Normative Nature of Transformation Functions

The above changes can be expressed as transformation functions. Theoretically, they can all change at the same time. In practice, this rarely happens. When all of the separate functions are taken together, they are descriptive of the total transformation between the musical passages, for example, in the transformation from the opening theme to the entry theme in concerto K. 466, or from the opening theme to the beginning of the development in piano concerto K. 467. Transformation functions are classified as belonging either to formalist or normative groups, thus reflecting the divide between facts and values. In this way, one sees in concerto K. 466 how the normative nature of the discourse enters the dialogue through the interaction between the formal and narrative elements. This change is especially clear in existential digressions where deontic modalities enter the increasing directedness of the musical material and its morally active components.

From these small steps of formal and normative nature grows the major transformation between the two sections of form in a concerto. In the present case, simultaneous and consecutive mechanisms of representation are in operation. Moreover, the notation should consider the emergence of antinomies in moral theories and their manifestations as anomalies in the work, i.e., $Z1$. Here, the principle of reflective equilibrium² will work in an exemplary manner. The changes within the functions are those presented in Figure 4, for example.

² A methodological remark is required here. While reflective equilibrium is a respected analytical tool in moral philosophy, it originates in John Rawls's neo-Kantian thought. Therefore, it cannot be taken as self-evidently applicable in a neo-sentimentalist context. Nevertheless, one does not want to complicate the argument unnecessarily here.

Figure 4

Transformation Functions Between Themes p and q and Their Division Between Facts and Values

$$F(pTq) = \Sigma[F0(pTq) + \dots + F7(pTq)]$$

- F0* (pre-sign) a sign is changed into a pre-sign of a moral sentiment, *S2, Normative*
F1 (rhetoric) the nature of interrogation is changed, but the quality stays *S2, Normative*
F2 (morality) moral sentiments; e.g., pride, changed to benevolence, *S1, Normative*
F3 (norms) permissions/obligations; forbearances changed to permissions *S2, Normative*
F4 (motivic) shape stays the same, motives are widened, 3rds are moved to left hand *M2, Formal*
F5 (thematic) transformation takes place in an anaphoric manner *S2, Normative*
F6 (epistemes) earlier episteme is transformed into a later one *S1, Normative*
F7 (affirmation, negation) *S2, Normative*

Note. Source: author's own elaboration.

3.2. An Apostrophe Defines the Existential Mode and Dialogical Character of a Musical Passage

The recognition scene triggers a transformation whereby a hugely indefinite “might” is turned, through an interrogative (*F1*) apostrophic transition (*F1*, bs. 122–128), into a benevolent morality (*F2*) with a definite sense of “must” with shades of vanity infiltrating the secondary theme. As the weightiest interrogative gesture, this is also an affirmation of all the interrogations in the orchestral introduction.

When an apostrophe is combined with an epistemic modal “might” or “must”, it produces a sense of turning toward something or someone. The mode in which one turns to something or someone is called an apostrophic transition. This forms part of the description of the musical actor's dialogical character.

3.3. The Recognition Scene and Reflective Equilibrium

A collection of transformation functions inhabits the central features of a musical actor's character. As they are composed of utterances at various levels of generality, they are capable of acting within the reflective equilibrium. The soloist carries out individual inferences, for the most part. Ritornellos, as emblems of society, are prone to follow general principles. Between the two there

is a reflective equilibrium. An apostrophe is built out of a group of transformation functions that produce the sense of turning to another type of passion or moral sentiment.

Changes in morality, for example, become changes in character. Through horizontal appearance, i.e., the degree of verisimilitude between characters, the characters relate to each other. The way in which an actor faces another actor depends on the epistemic and deontic modality *F3* that an utterance or thematic complex is expressive of. Thus, while turning toward *F1* (rhetoric, apostrophe), that is, a sentimentalist actor, an utterance can be expressive of both determination and simultaneous hesitation and form a mild aporia. Such an actor could be turning away from a dark and gloomy setting that expresses anger, pity, despair and simultaneously courage, the latter quality being changed into determination. This pushes the reflective equilibrium of the section into a serious disequilibrium, pushing the individual actors into apostrophic gestures that bring about a new state of equilibrium, one that is directed towards the benevolent secondary theme. While there has been a change in the general rule, individual inferences are adapting the system that is moving toward a new equilibrium. This is the essential content of the recognition scene in the first movement of piano concerto K. 467. The phenomenon is connected to the dynamic coherence that was introduced earlier. These new spheres of equilibria expand in a piano concerto due to nested ellipses in the so-called SOD-scheme (spheres of dialogue scheme).³ Here, the general explanatory model reaches the level of Mozart's piano concerto.

In music theoretical terms, the g-minor theme is a negation *F7* of the preceding G-major and the whole C-major movement so far. It is also an example of the total unrelatedness between the thematic and motivic content *F4* and *F5*, and also, therefore, a surprise.

The quality that creates the dramatic difference between the orchestral exposition and the soloist's exposition is the apostrophic transitions between the theme areas. This is the source of the remarkable incongruence of the expositions, a central characteristic in a Mozart piano concerto. In Heinrich Koch's terms (1983), this creates an extraordinary *Anlage* in terms of the coming development of the rest of the movement. One obvious question that arises is whether it is possible to isolate a deontological apostrophe and a sentimentalist apostrophe, respectively. The former would be operative in orchestral exposition and the latter in the soloist's exposition.

³ An SOD-scheme (spheres of dialogue scheme) is a concentric dialogue model of a Mozart concerto movement. In the SOD-scheme come together the Zemic-principles concerning the inner aspects of a concerto movement with the basic formal-analytical elements of a concerto. SOD-scheme plays a central role in the more general research which this article is a part of.

4. Analytical Case Studies: The Buildup and Comparison of Narrative High Points in Piano Concertos K. 466 and K. 467

Example 1

Piano Concerto K. 466, Bars 7–16

Note. Source: arrangement for two pianos by Franz Kullak, published in Leipzig by Steingräber Verlag in 1896. In the public domain.

Example 2

Piano Concerto K. 466, Entry Theme, Bars 77–88

Note. Source: arrangement for two pianos by Franz Kullak, published in Leipzig by Steingräber Verlag in 1896. In the public domain.

4.1. General Characteristics

A central issue is what kind of configurations epistemic filters form in a concerto movement. There can be long-term transformations, such as in concerto

K. 453 where the bVI degree chord's appearances stretch over the whole movement. Here, the driving force of the change is remembrance. In K. 466, several functions are activated right at the beginning of the first movement, causing dialogical tensions to spread over the following sections based mostly on anticipations (Examples 1 and 2). The concerto K. 467 sets the centre of gravity for epistemic change at the recognition scene, where new information is allowed to enter the work's structure.

K. 466 starts by loading anticipations concerning motives, tonality, style, rhetoric, norm structure, sentiments, pre-signs vs post-signs and existential content (cf. Examples 1, 2). These classes include several contradictions such as the opening statement's romantic *Sturm und Drang* that carries a stepwise ascending sequence pointing to benevolence and a classical style, while at the same time it is a reminder not to quit the old regime.

In summary, the opening section anticipates dialogical changes in epistemes, sentiments (morality), normative content of utterances (norms either prohibiting or permitting), the rhetorical outlook of theme entries and social modality (Soi) being changed into an individual modality (Moi). This is already a kind of dialogical *Anlage* for the movement where the variables of change are brought in simultaneously instead of in a sequential manner, as is the case in the concertos K. 453 and K. 467. While the functions have strong syntagmatic tendencies, it is the paradigmatic dimension that embraces the simultaneisation inherent in the passage.

What, then, makes the two themes appear the same in any sense? The answer is that it is not a question of similarity at all, but a matter of a skilled transformation from a state of morality to another state of morality that is being carried out by the same actor. In other words, it is the musical context and narrative that leave a residue that turns out to be the same musical actor or else conceived as we defined it previously as an indefinite description. The actor is subject to a change from state 1 to state 2. It is a carrying out of different actions (cf. von Wright's second level). All of these differentiate, they are not sources of similarity. It will be shown that the thematic variety in Mozart belongs to the *Schein* (appearance). This is a disguise as far as the thematic essences are concerned. It is very much like the Harlequin in *Commedia dell'arte*; he changes face and becomes another character, but only on the surface. At a deeper level, the person remains the same; people, as such, can take on a whole variety of differing roles without losing their inner identity. Yet, one needs to ask what is it that remains the same? What, after all, is real and what remains of the *Schein*?

4.2. Concerto K. 467: The Sequential Manner of Representation

Figure 5

Continuum of Moral Sentiments, Nature of Change Between Dialogical Units

a) *Opening Theme, Buffo, Galant*



b) *Entry Theme, State of Nature*



Note. From 1 to 2: “Ought” to “may”, F3.

c) *Recognition Scene, Pity*



Note. From 2 to 3: “May” to negation/interdiction.

d) *Secondary Theme, Benevolence*



Note. From 3 to 4: Negation to permission/affirmation, transcendental act.

e) *Opening of S2, Humility*



Note. From 4 to 5: Motivic shape stays, “may” to “must”, affirmation of existential experience. Source: author’s own elaboration (Heimonen, 2024, pp. 181–183).

Anaphoric references may become effective between large scale formal sections so that at the syntagmatic level there is also a change from social (ritornello) to individual (solo) meaning. And this takes place together with the change from

an icon to a symbol. The symbolic meaning here is normative. This may involve it becoming a new stylistic marker, such as a change in the musical episteme. When these levels are considered, an allegorical interpretation of a concerto movement as representing the transformation or change from old-world morality to that of the modern world is taking place. Certain relationships in this large-scale dialogue are more important for the sake of allegorical interpretation. Therefore, these elements need to be located and their nature and meaning as symbols need to be prescribed and allotted to them. Using the language of the primary Zemic-model and pTq relationship, one has now operationalised both of the changes pTq and $pTreprq$, including their possible sub-divisions, where⁴

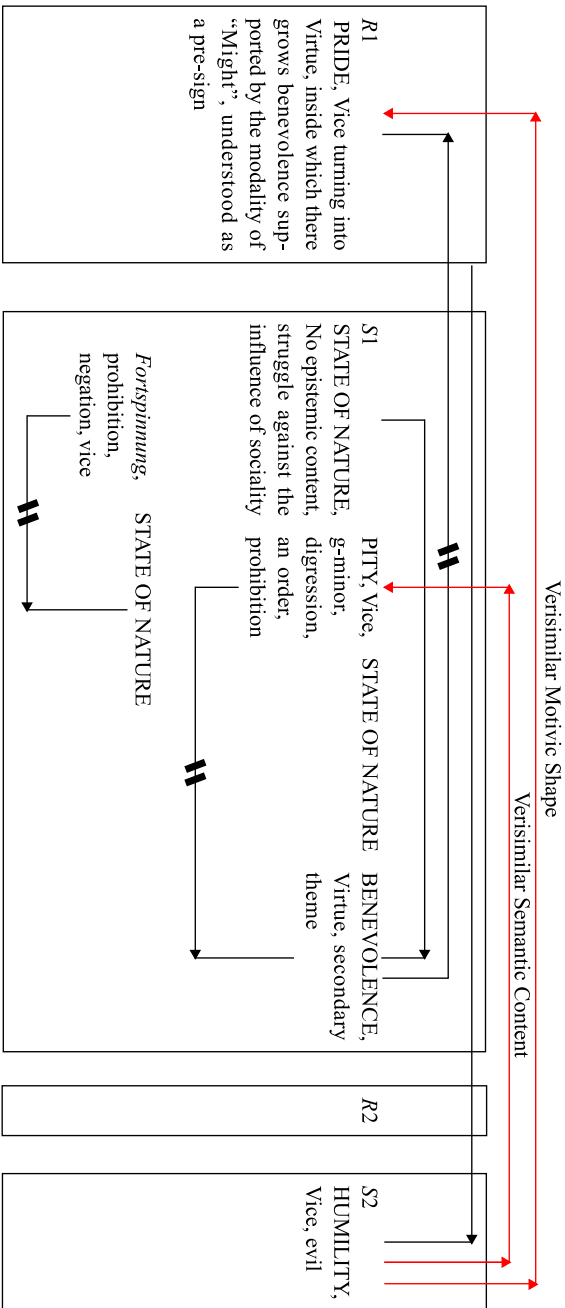
$$\Sigma F1 \text{Recognition}(x) =$$

$$\{(\text{pride } T \text{ pity}), (\text{Soi } T \text{ reprMoi}), [(\text{Soi } T \text{ Moi}), (\text{OughtSoi } T \text{ Ought-notSoi})],$$

$$(\text{index } T \text{ reprsymbol}), (\text{permitted } T \text{ interjected}), (\text{episteme1 } T \text{ episteme2})\}$$

⁴ The expression pTq is a way to present formally an elementary change between two states of affairs in von Wright's (1963) logic of change. In the present context p and q may stand for any signifying unit, be it a proposition, theme, a small or large section of form, a part of discourse, a sentence in a libretto or silence. In this research it is often a case of an individual meaning p (in solo sections) being juxtaposed with social meaning q (in ritornello sections), but other interpretations are, indeed, possible.

Figure 6
K. 467. Sequential Manner of Arranging Moral Sentiments and Transformation Functions



Note. Figure 6 presents those semantic elements that that are responsible for the passage before the secondary theme being called "A Recognition Scene". The scene has two components, the inner *Moi* and the outer *Soi*. The negation involved in the analytical modal mixture leads one to perceive indexicality being transformed into symbolic meaning. Overall, the recognition scene signifies a change from an earlier musical episteme into a later musical episteme. Source: author's own elaboration.

One can easily see that humility is composed of two components: on the one hand, there is the hidden motivic verisimilitude to the opening march theme, *F4*. On the other, there is a semantic component that is derived from the tragic moral sentiment in the recognition scene's pity theme, *F2* and *F5* (see Figure 6). When the process is seen as a whole, the strong influence of benevolence in the movement then changes the interpretation of the sentiment of pride from one belonging to the old world into one that is in accord with the content of the secular morality of Hume and Smith. In this moral regeneration, the source of sympathy is redirected from the transcendental religious world to the inner world of the individual, i.e., the Enlightenment's secular morality. This is the basic narrative trajectory in the movement. This is also the question of simultaneously perceiving both rational and emotional qualities in the music and being able to transform their combined experience into one that considers the interpretative contexts of both the moment when the composition was created and the Dasein of the present-day performer. If either one of these interpretative contexts is missing, there may still be musical merits to it, but the result is bound to be culturally biased.

4.3. The Myriad of Faces Among Apostrophic Transitions Between Theme Actors in Piano Concerto K. 467

In the first ritornello of the piano concerto K. 467, the phrase endings, i.e., the apostrophic transitions, are predominantly melodically raising ones. This gives the section an overall rhetorically questioning character. The way to describe phrase endings in modal terms would be to label them "may", expressive of possibility, rhetorical interrogation and yearning after the opening of unforeseen options. All of this takes place in the politest manner possible, providing an antidote to the excessive pride at the beginnings of the concerto's first movements.

When the soloist enters at bar 74, there is a decisive change in the way phrase endings are constructed. Now their character is one of determination, not questioning any more but rather giving affirmative answers. In the g-minor theme, however, we can note that a so-far unrecognised voice has entered the consciousness of the soloist, the individual actor of the drama changing the reflective equilibrium of the passage. The soloist recognises that, in their consciousness, there is a voice that demands absolute faithfulness toward the authorities, the Sovereign and God. From this moment on, the two voices or tendencies, one that stresses duty and obedience and the other that craves inner motivation and respect for sentiments, start to compete with one another. Analytically, the music can be seen in the manner in which the apostrophic transitions start to embrace both rising and falling motifs and the respective modalities of "may" and "must" or "duty" and "motivation". This is the embodiment of the generic nature of the concerto as a competition as expressed in the concerto K. 467. One can also recognise that Mozart is composed of several simultaneous voices in the same sense as Dostoyevsky's novels are, according to Bakhtinian dialogism.

In the previous section, the central theoretical themes of this research were presented, namely, morality, culture and representation. The orchestral actor's deontological inevitability can be traced back to the moral life of the ancient regime, and the youthful, self-motivated nature in the soloist's themes has its origin in the sentimentalist moral philosophy of the Enlightenment period. If K. 482 is a case of the private vs public sector emerging from a feudal society, one needs to ask which moral and ethical attitudes correspond to these societal arrangements.

4.4. The Stages Leading to an Allegory

Encounters that are born as the result of sympathetic understanding. A metaphor born in interaction. Turned into an allegory.

An apostrophe $F(1)$ is seen through a deontological worldview $F1[F(2)]$, producing metaphorical meaning. If the deontological influence comes from the opera *Don Giovanni*, from an intertext $G(q)$ that serves as an indexical reference, one might write $G2_{\text{DON G}}[F1(\text{K. 466})]_{\text{index}}$. Here, an index indicates the beginning of a new passion or moral sentiment in intertextual relationships. The same sense of deontology surely already lives within the work itself, but this shows its origin. It is vital to have the possibly sentimentalist actor sense the deontological influence through sympathetic communication. A pre-sign $F(1)$ is negated by $F(7)$, in a recognition scene that changes the course of events ($F1$, K. 467) by negation ($F(7)$, *Zauberflöte*).

4.5. Concerto K. 466 as a Contrasting Way to Structure the Development of Moral Choice

In practical music analytical terms, this already gives one the tools to understand what Mozart is doing. There appears to be a simpler level beneath the surface thematic variety, but what is this mysterious level?

One major issue that holds things together is the idea of episteme or musical epistemes. If an episteme preserves its identity or if it is transformed into another episteme, it is the actor themselves who carries out these actions. Thus, we know who it is who is acting even if they are acting from behind a mask. It has been argued that the musical personae (Cone, 1974) in the opening theme and the entry theme in concerto K. 466 is the same person. We need to distil those factors in the episteme that are the cause for the transformation at the general level within the style, and see how this is carried out in the case at hand. We have already mentioned that uniformity, repression and sequentiality characterise actors within the old regime. The new age, on the contrary, relies on freedom, non-uniformity and transcendence. One can, with good reason, talk about opposite poles. How, then, is such a transformation as described above made? In the entry theme, the moral sentiment of benevolence is in a state of nature as a pre-sign. This needs to be understood as a term that is brought from $Z0$ to $Z1$, the sig-zemic, but that

stays as a transcendental quality. This is the type of benevolence one has in the entry theme. It is somewhat paradoxical by nature, since, being in a state of nature, it is not yet fully formed.

One may start with the motivic shape and its transformative process. The feature that makes the passage interrogative is the upward sixth leap that is transformed into an octave leap in the entry theme: the pure, immaterial nature of an octave is what suits the transcendence. This leap is followed by a stepwise descending motion in both passages. What is remarkable is that the interrogative seconds in bars 8–14 are transferred to the left hand in the entry theme where they still interrogate, but now as a background to the right hand that reaches for transcendence. Despite the huge differences, the basic shape is still somehow similar. Furthermore, there is no question about stylistic dissimilarity. The qualities of classical and romantic epistemes as an interpretative framework have transformed the thematic complex from a baroque form that holds the romantic spirit inside it into a transcendental quest for the direction and moral grounding that an individual is supposed to be taking in the New World. While the stepwise ascending motion is there in the Baroque version, the entry theme brings out the freedom that already resides in that upward motion towards an emotional climax of an extraordinarily veiled character. Does there, after all, exist an entity that lies below all stylistic manoeuvring, an essence that stays unaffected and that might accordingly be called human nature in the vein of the spirit of the Enlightenment? A description of this entity may perhaps only be given in terms of an indefinite description, as was suggested earlier.

A juxtaposition of the opening theme and the entry theme in concerto K. 466 will illustrate the kind of dialogue that constantly arises in Mozart's instrumental works, not to mention his operas.

Points A and B below construct the allegorical interpretation of the first movement of K. 466. They show the enduring nature of the relation between opposing moral qualities encountered in the opening and entry themes. This juxtaposition and its theoretical grounding show the inevitability and paradoxical nature of the juxtaposition of the two thematic areas. It is argued that interpreting the opening and entry themes as an allegory is the best way to illustrate the extraordinary relationship between them.

- A) The opening passages (bars 1–17) illustrate a polite *Sturm und Drang* as an early romantic feature. In a topical sense, it is an expression of the tragic. Although in a rhetorical sense the rising sequential sixth figures are interrogative by nature, the firm, law-like, almost stubborn syncopation nevertheless situates the opening section in deontological morality as it appears in the ancient regime.
- B) What kind of a reaction is then provided by the soloist in the entry theme? When the soloist enters with a calm, serene, benevolent entry, one cannot possibly think of a greater contrast between the two thematic groups. Moreover, the passage cannot be considered an answer since, with the as-

ending octaves, it still retains its interrogative character. This contrast to the opening theme captures the essence of the d-minor concerto with its association with the hell and purgatory of the religious world, purgatory being the place where the soul is purified of all sins on the way to heaven. The non-religious alternative that Enlightenment thought is able to offer is the just, idealistic and rational utopia of the Enlightenment that is ruled not by religion and the Sovereign, but instead by wisdom, goodwill and the universal benevolence of secular morality. As the latter worldview prevails in concerto K. 467, that option is not available for *Don Giovanni*; the concerto's first movement stays in d-minor.

4.6. The Piano Concerto in Relation to Opera

The next thing to ask would be how it is possible for sympathy to operate between two such disparate theme entries. To establish sympathy, one would need to be able to see the other person's mind from either one's own point of view or that of another.

Allusions to the operas *Don Giovanni* and *Die Zauberflöte* are very close indeed. As one can see, whole new worlds are encountered here. Society has become conscious of its history. The spheres of life are being mixed; new continents are being discovered, as well as scientific progress and discovery accelerating in a corresponding manner.

The reason the rest of the movement is so captivating is exactly that the contrast between the layered nature of the opening theme and the extremely thin and purified outlook of the entry theme makes anticipatory processes arise, and there is a gap between the thematic areas that need to be filled. Yet, what is the role of sympathy in this constellation? Has all communication ceased because the two passages appear to live separate lives? It might be that old channels have been deserted, but new channels are opening to replace these obsolete old ones. A glance at the theme entries in Baroque concertos testifies to the fact that the ways of communication have experienced a dramatic shift. What is needed now is a music-analytical language to express the changed situation. Only those sympathetic impulses that have a positive, accepted influence on the other interlocutor are adopted. Within Enlightenment culture, the answer to this dilemma was benevolence (cf. Gill, 2006; Hume, 2001). In concertos, communication is channelled via benevolent themes with all their goodwill, acceptance and permitting attitudes; benevolence has the power to transform the world for the better. Only a few of the functions emitted by the opening passage find their counterpart in the entry theme, the rest of them are disseminated within the rest of the movement. In all of these cases, it is sympathy and communication that guide the process. The opening theme launches initiatives for change in all eight functions $F(0)$, ..., $F(7)$, as the entry theme only reacts to two of those, namely moral sentiment and the similarity of the motivic shape, although it needs to be admitted that benevolence here comes more as a pre-sign rather than as a fully-developed

sentiment. The entry theme really does not form a stance towards any other issues that functions give rise to. In this sense, it raises more questions than it answers. The theme could be seen as a parallel to the ghost in Hamlet, where remembrance of it starts to emerge (Greenblatt, 2001). In the development section, the theme appears in an undistorted form. If the parallel were taken a bit further, it would suggest the soloist's entry point as purgatory which Don Giovanni struggles to get into in order to have his soul purified so as to be accepted to heaven, but instead it turns out that he is destined to enter hell. That would seem to be Don Giovanni's inevitable fate. Music, however, seems to suggest that Enlightenment philosophy might offer another option that is based on science, secular morality and eternal wisdom.

4.7. Von Wright's Levels of Change, Action and Norm: The Emergence of Epistemic Filtering

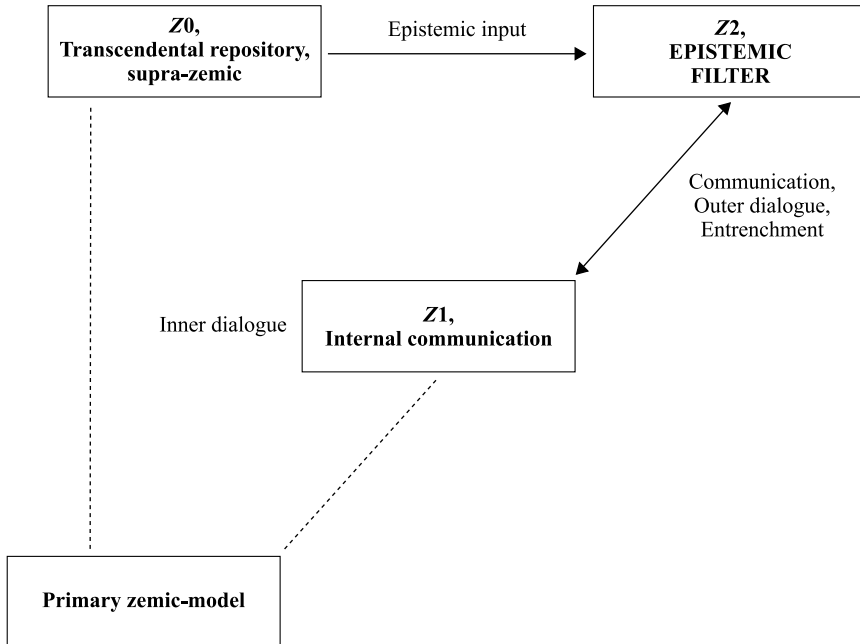
Transformation functions need to be constructed out of all of von Wright's three levels: change, action and norms. The overall change is one from Baroque pride to benevolence, $F6$ (epistemes). The action needed to accomplish this (von Wright's second level; von Wright, 1963, 53–69) is to release the content of p by removing, through the secondary theme, the negation that hinders p from flourishing $F7$ (affirmation, negation). To make the change a permanent matter, means to make it to achieve the status of a norm (von Wright's level three; von Wright, 1963, 70–92). What one does in terms of music analytical categories is first to describe the elementary units of the situation and possible inductive steps that may be caused by them. The third step, in addition to the second level of dealing with individual and collective actions as such, involves giving permission for an actor to change $F3$ (norms). This move necessitates the inclusion of the individual and collective acts in the possible ways in which to react to given deontic forces such as forbearances and permissions F . This part of the research is operationalised through the existential semiotic concepts of the *Soi* and the *Moi*. What one has gained so far is a description of change between states p and q that can be described as a transformation between the two states. This relationship is anaphoric by nature, in the sense that the latter term gains part of its meaning from the former. This long-distance anaphoric element can consist of any of the componential elements $F(0), \dots, F(7)$. This gives a range of choices from which to choose the appropriate one for the anaphoric reference in question. The respective modes can be found in the primary Zemic-model as indicated in the chart (Figure 2).

These eight classes form the nucleus of a model that can be used in analysing changes between states in a movement. This research proceeds while keeping as conjecture the role of the eight transformation functions in the analysis of the three piano concertos and beyond. This comprises the paradigmatic transformation of thematic entries into epistemic configurations by the music's internal process that is fuelled by the level of musical epistemes. In the present frame-

work, this process is part of the music's internal communication. Coming full circle back to the existential semiotic framework, one notes that there is a connection here to the Zemic-model's modes. It is transferred through an epistemic filter to Z2, as presented in Figure 7.

Figure 7

Epistemic Filtering of Transcendental Properties to Internal Communication



Note. Source: author's own elaboration.

These changes can be expressed as transformation functions in the following manner, in that they deliver anaphoric meaning between sections. This consists of a modality that changes, along with semantic changes in the moral sentiments. When all separate functions are taken together, they are descriptive of the total transformation between the musical passages in the transformation from an opening theme to an entry theme in the d-minor concerto. Due to the different nature and character of the d-minor concerto, the situation and actions related to the choice there need to be conceptualised differently in comparison to concerto K. 467. This decisive event is seen to reside in the entry theme. From this, and from the complexity of the situation, there arises the need to construct so-called transformation functions. The present research examines those semiotic processes that facilitate this transformation.

In transformation functions, log-zemics play a certain rhetorical role. They enter transformation functions causing the form of a sentiment at supra-zemic to resemble that in the sig-zemic. This is comparable to the Kantian *sensus communis* as opposed to *sensus privatis* (Arendt, 1992, pp. 70–72). A social experience is created as the result of the individual being in dialogue with the ritornello's Soi.

Belief is the concrete mental musical fact that emerges as a result of the musical analysis process. The knowledge conveyed by the score is the central, but by no means the only, source of knowledge. Beliefs about a piece can be seen as the result of a combination of several components. When the experience of the epistemic configuration that emerges because of the process appears to be “true”, a kind of knowledge is generated that transforms the transformation between functions into the equilibrium required for dynamic unity.

The role of belief in constructing musical analytical knowledge. Facts have a different manner of being from values. When applied to music analysis, one can discern differences between musical beliefs and the way in which these are born in musical processes. Also noteworthy is the dependency of beliefs and knowledge on either empirical observation or rational thinking.

In this way, the degree and quality of the score dependence of beliefs is demonstrated:

- 1) The property is in the score, it is observable, and we have a belief about it; the property is transferred directly from the score as a suitable mental image,
- 2) The feature is in the score, it is not perceptible, and we have a belief about it; the syntactic feature of the score evokes a mental association,
- 3) The property is not in the score, it is perceptible, and we have a belief about it; the property is transferred from the transcendental store,
- 4) The property is not in the score, it is not perceptible, and we have a belief about it; the property can arise synthetically as an association of other properties, purely as an image within the mind.

Absolute music is thus united with associations within the mind, that is, to be conceived as transcendental conditions of the mind. These are the central music analytical categories, including non-perceptible percepts as counterparts to Schenkerian implied tones. A dynamic system of music analytical beliefs has then been constructed, where these beliefs are the central actors when moral choices among individual and social musical personae are made.

4.8. Methodological Outcomes From the Comparison of the Two Concertos

There is a dramatic difference between the two cases in how they handle the gap between “is” and “ought”. Whereas K. 467 has turned the gap into a wide

stretch, in K. 466 it has been baked in several simultaneous layers. It is not really a question of whether one should adopt either a layered or a non-layered approach; instead, they should be juxtaposed and used inside a single approach. This is how the differences between the phenomena are made theoretically visible. In the present context, it is the degree of layeredness of transformation functions that is the essential separating factor. In K. 467, this difference is writ large over the temporal stretch of the movement. The functions are mostly consecutive. In K. 466, the situation is dramatically different: the functions, that are now understood as epistemic filters, are piled one on top of another causing reversals, contradictions and temporary annihilations to inter-thematic relations.

What in concerto K. 467 was admittedly surprising but nevertheless orderly has, in K. 466, been compressed into a highly tense transformation process between the opening theme and the entry theme. In this transformation, there appear several simultaneous transformation functions that stretch from strictly formal to highly normative. This is a variability that has been condensed into a temporally short stretch. And yet the two concertos are pretty much like brothers or sisters. The truth is that there is a close kinship between the two. Due to this layeredness, they look different on the surface and if one's interpretative framework is kept intact, one might justifiably argue that they are different. But in such cases, one disregards their inner similarity. This is the basic constitution of their building blocks that have just been arranged in a different manner. One could say that they are different representations of the same Ur-phenomenon. While in the former case the mechanism of representation is sequentiality, in the latter it is simultaneity. The similarity is in the stock of sentiments, which is very similar considering the fact that, in the minor concerto, the sentiments are a kind of mirror image. The upshot seems to be that a novel, hidden level of similarity has been found in the moral sentiments. It has turned out that the laws of representation apply to compositional choices, at least when the latter are seen as moral choices. As constituents of self-fashioning, they have the same effect on the identity of the actor.

4.9. A Brief Comparison of Two Recent Analytical Approaches

How does the novel approach presented in this paper relate in comparison to alternative analytical approaches of Mozart's piano concertos? Recognising these differences will highlight certain central features of the present approach. The most prominent approaches to dialogue in a Mozart piano concerto are Hepokoski and Darcy's (2006) sonata theory and Keefe's (2001) book on dialogue in Mozart's piano concertos. My use relates to the common way of talking about normative concepts in ethics and moral philosophy: normativity is the central property that expresses the wish concerning how a word should be, in comparison to how it is. Normative concepts are modal concepts, as broadly understood. Hepokoski and Darcy seem to use the word in a narrower sense to designate a norm or rule that can prescribe the behaviour of a musical object, for example.

There is, however, no change in the accompanying concepts where the norm is applied, whereas in the present system all principles, inferences and concepts are to be derived from normativity. In other words, music analysis has been (partly) embedded in moral philosophy, whereas in Hepokoski and Darcy's theory one stays within the *Formenlehre*.

A comparison with Keefe's (2001) book is equally revealing. Both approaches bring forth the concept of dialogue in a central manner. It seems to me that Keefe's dialogue is primarily the immediate interplay of piano and orchestra within a large-scale section of forms, such as the solo and ritornello sections. In the present approach, dialogue takes place first and foremost between and among the solo and ritornello sections caused by the central incongruences there. From this intersectional level, dialogical inclination spreads to the next, lower hierarchical levels and reaches the level of individual musical phrases. Dialogue is a through-going principle that can be derived from Koch's idea of *Anlage* when dialogically interpreted. At the ground level, dialogue is based on the concept of change pTq and can accordingly be applied to any structural or formal constituent of a concerto. In Mozart, it can also be applied to the examination of the influence that anomalies have on the dialogical principles of a concerto movement. Moreover, in the present approach the analysis of change allows one, through semantic interpretation, to arrive at an allegorical interpretation of the concerto dialogue. This short comparison has already shown certain fundamental differences in music analytical premises that the three approaches exhibit. These differences among premises are already significant at the form analytical level. They gain enhanced significance when one proceeds to the study of genre or musical style. When one analyses dialogue based mostly on tonality and form, the scope of the concept becomes inevitably somewhat restricted. If eight transformation functions are added to this vocabulary, several novel opportunities for conceptualising dialogue emerge. As to the question "What is a concerto?", it is hoped that the present approach will grow closer to the theories of the musical *Formenlehre*. It will then be shown that the approaches are not antithetical, but, in fact, complementary in a way that, together, they will redefine what the essential features of a Mozartian piano concerto are.

5. Conclusions

The solo and ritornello are in competition because they are based on different, partly conflicting, value systems. This is the basic situation in a double-exposition where both the soloist and orchestra set out their basic ideas. From here on, the movement starts to unravel these tensions. Despite the tensions, there is a tendency to reconcile the two opposing moral positions. This force comes in the form of 18th-century sympathy and is manifested in benevolent theme structures in the concertos. The process is based on the normative nature of the dispositions of the actors involved. Their actions are directed towards a certain outcome. In both concertos, at the moment of existential experience, there is the same, verisimilar;

motivic shape; a kind of Hamlet's father's ghost (Greenblatt, 2001), whose shape can be transformed, but of which we have a remembrance.

David Hume argues at length that one cannot derive how things should be from how things are (2001). This is the "is-ought"-dilemma, also known as the problem of whether it is possible to derive values from facts. It has been widely debated in the history of philosophy. Has the present research been able to cast light on the question through casting the issue onto the relationships between formal analysis and narrative inquiry? Is it possible to draw narrative consequences from formal-analytical premises, contrary to what Hume has argued? Presupposing that the premises and conclusions have been correctly formulated, it does seem that the question should be answered in the affirmative and that there is a connection between the two domains. Intuitively, this feels right. Does it look the same when examined at a detailed level? This research has illustrated two very different cases of narrative high points in concertos K. 466 and K. 467. These high points are very peculiar indeed. One could say that they both have verisimilar motivic shapes. For artwork, this does not suffice; there must be implications for how the world should be. In Mozart, there are plenty of those implications. Here, the shift to the realm of values has been made and it is here that the work becomes alive and gains the Enlightenment quality of vivacity.

Our realities are made up of both facts and values. One rarely has just either facts or values. Inferences go from a mixed group of facts and values to a differently constituted group of facts and values. This is where the Zemic-model changes its composition. The *Moi*1 is the corporeal, empirical realm or reality, basically the pure self, almost without a moral component. The Humean way of thinking would take this as the objective element. What matters is the type of individuality or generality encountered. This approach leads to the concerto being reframed in moral theoretical terms. Of crucial importance is the moment of choice. It is not a high point in a traditional sense. It can be manifested as a *pianissimo* passage in low register, as in the case of the e-minor theme in concerto K. 467, but it can be kind of a climax too. The essential characteristic is that of making a choice.

There is now a postulated level of morality in a Mozart piano concerto that can bring out the meaningful shapes in the dialogue inside a concerto, a so-called internal communication. In addition, morality opens a potential comparison between concertos, thus revealing similarities that would otherwise go unnoticed. The "is" of formal analysis and related facts has a peculiar relationship to the normative field of values, or "ought". It is one that is negotiated through reflective equilibrium. Here, the influence goes from metaphorical interpretation to formal analysis; in other words, the former has a primary position. This can be seen in the interpretation of the concerto itself: in addition to the skeleton of voice leading and form, one has a dynamically changing network of narrative tensions that seek their proper balance intuitively, according to the performer's imagination and conflicting social forces. This depends on how well the performer's *Moi* is in balance or in non-balance with the *Soi*, both their own and

that of society. When operationalised in this way, the relationship of facts to values can become compelling; it may take more effort or else be nearly impossible. In addition, the change to the normative dimension might be voluntary and easily permitted or totally involuntary and hard to obtain. The case studies illustrate the complexity of relationships between facts and values in individual compositions; This partly explains why the analytical results can seem strangely contradictory when only one analytical method is used. The analytical framework is born in dialogue between formal and semantic methodologies; there are emergent features that disappear in the absence of one of the methodological approaches. This very much concerns the concept of narrative highpoint(s) that, in the absence of normative components, tend to disappear. The two examples here present a concerto movement as an allegory of a moral choice that is based either on consecutive (K. 467) or simultaneous (K. 466) transformation functions. Transformation functions tend to weigh the normative nature of musical representation. The relationship between facts and values needs to be seen as depending on both syntagmatic and paradigmatic factors. Meaningful relationships between formal and narrative features are then established and an overall explanatory framework, where facts and values converse with one another, is established.

Is it possible to infer from “is” to “ought”? This is what happens in musical interpretation. The result is that one can, under certain conditions, infer from “is” to “ought”, i.e., from *Moi* to *Soi*. This, however, presupposes auxiliary assumptions and a simultaneity of inferences. Moral and aesthetic qualities are projected from the formal layout to the moral and aesthetic dimensions. Thus, the question concerning inference from facts to values is that, as a creative process, it is indeed possible to infer from facts to values. This is an altogether different idea from inductive or deductive inference. Through these theoretical sign interactions, our realities can communicate with one another. The question of whether values or formal perceptions are more subjective is, at least, partly a misguided one, since, from experience, they are both present either as the primary content or as presuppositions. It is through the principles exhibited in the Zemic-model that the “is-ought” dichotomy is dissolved or, if not entirely, at least part of its mysteries has become less obscure.

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