Rhetoric is the discipline that uses any type of discourse, e.g. spoken, written, gestural, with the aim of persuading an audience to approve a fact, a decision or an attitude.

This book explores the various roles played by music in a rhetoric discourse or in an argumentative construction. Music turns out to be a very strong, persuasive and expressive means of great interest for rhetoric. Its association with a text or, more generally, with conceptual or psychological content is of great interest and importance as an intellectual consideration, and also in a number of everyday-life aspects such as TV news and advertising, shopping mall atmosphere and movie music.

The author develops the computer modeling of a number of simple and relatively commonly accepted aspects of music rhetoric. Therefore, in addition to an analysis of musical features that are important to rhetoric, this book introduces computational formalisms and representations used particularly in computational linguistics which turn out to be appropriate and sufficiently expressive for an analysis of music rhetoric.

Although the reader does require some basic familiarity with music, musical notation and musical score reading, this book is conceived to be accessible to a large audience. Some basic background in linguistics, language and computer science is also required, but the different concepts used are carefully introduced so that the subject can be accessible to a wide audience of musicians, linguists, philosophers and computer scientists.

**Patrick Saint-Dizier** is Head of the ILPL research group (Computational Linguistics and Logic Programming) in Toulouse, France. His main research areas include natural language processing, discourse syntax and semantics, language and reasoning.
Musical Rhetoric
Musical Rhetoric

Foundations and Annotation Schemes

Patrick Saint-Dizier
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Rhetoric in philosophy and language is an old tradition that comes from the Greek and the Latin periods in the Western tradition, and quite independently from the Indian tradition(s). Basically, rhetoric is a discipline that uses any type of discourse, e.g. spoken, written, gestural, with the aim of persuading an audience to approve a fact, a decision or an attitude. Aristotle defines rhetoric as “the faculty of discovering all the available means of persuasion” that can be used in a given situation to convince an audience, whatever it is.

Rhetoric uses a large number of means provided by language. However, a discourse aimed at convincing an audience clearly needs to combine language, which conveys the main elements of meaning, with non-verbal means of persuasion. These non-verbal means are essentially visual or are based on the use of appropriate sounds and music.

This book explores the various roles played by music in a rhetoric discourse or in an argumentative construction. Music turns out to be a very strong persuasive and expressive means of much interest for rhetoric. Its association with a text or, more generally, with a conceptual
or a psychological content is of much interest and importance as an intellectual consideration, and also in a number of everyday life aspects such as TV news and advertising, shopping malls ambiances and movie music.

This book is not a treatise on classical rhetoric or musical analysis. It is basically an introduction to a number of analytical elements of music rhetoric elaborated during the Baroque, Classical and Romantic periods. These elements are contrasted with those used in the language aspects of rhetoric and their cooperation is outlined. The scope of this book is mainly limited to the musical period of 1600–1850 because the musical means used during this period are relatively easy to characterize. These elements can obviously be extended to later periods.

The main goal of this book is the development of a computer modeling of a number of simple and relatively commonly admitted aspects of music rhetoric. For that purpose, besides an analysis of musical features that are important to rhetoric, it introduces computational formalisms and representations used in particular in computational linguistics which turn out to be appropriate and sufficiently expressive for an analysis of music rhetoric. The idea is that both language and music are natural languages whose structure and communication goals can be accounted for by means of relatively similar formal frameworks. Theoretical considerations coming from argumentation and argumentative dialogue are developed to represent the relations between various components of a musical work. Several forms of annotations, designed to represent the discourse level of music, are presented and illustrated. These annotations are related to the current efforts to annotate the various features of music, from the pitch and rhythm levels to the discourse level.
This book is an introduction to music rhetoric. It, however, requires some basic familiarity with music, musical notation and musical score reading. It is nevertheless
conceived to be accessible to a large audience. This book also requires some basic background in linguistics, language and computer science. However, the different concepts used are carefully introduced so that the subject can be accessible to a wide audience of musicians, linguists, philosophers and computer scientists. The bibliography section contains additional references for readers who want to sharpen their knowledge.

Numerous score extracts are given in this book to illustrate the formal and analytical elements. They are all public domain and come from the large score database accessible at http://imslp.org/wiki/Accueil. The terminology of the musical language has been a major concern of this book. The lexicon of music shows major differences depending on the language. In this book, we have mainly adopted the British English terminology. This terminology is very different from the terminology used in the Romance languages. The terminology in German, US English and Russian is also quite different but to a lesser extent. However, we feel it is quite easy for any readers to get familiar with the English terminology. We suggest that readers consult Websites such as http://www.cadenza.org/glossary/search.cgi or Wikipedia pages, e.g. http://en.wikipedia.org/wiki/Musical_notation, to get the lexicon of music they need. Some textual elements of musical notation are often given in Italian or German. These elements are, however, marginal and, in general, familiar to most musicians; otherwise, translations are given (e.g. for Chorale titles). Similarly, we have indicated the Greek and Latin terms for the main concepts used in rhetoric with their translation into English. This allows the readers to establish links with other readings where the Greek or Latin terms are used.
We feel that this book opens up many avenues for investigation and analysis at the intersection of language and music rhetoric, an area that is relatively new in science and computational circles. This area covers many interesting applications in our everyday life, as well as more intellectual aspects such as forms of non-verbal argumentation. To conclude, I would like to thank my institution, the French CNRS (Centre National de la Recherche Scientifique), for providing me the adequate means and the environment for realizing this work. I also thank Mathilde Janier for a careful reading of this book.

Patrick SAINT-DIZIER
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An Introduction to Classical Rhetoric

“Rhetoric” is a conceptual, philosophical, psychological and linguistic system that emerged about 500 years BC. Since then, rhetoric has been a very active field with a large number of perspectives and controversies about its role in society. In this chapter, the main notions of rhetoric are introduced together with the terminology that will be used in this book. The goal of this chapter is to show how the philosophical and linguistic systems have been transposed or applied to music, in particular tonal music. This chapter should facilitate the understanding of the remainder of this book. This introductory chapter does not aim at presenting rhetoric in all its diversity and complexity; it rather concentrates on the conceptual elements that are important for an analysis of rhetoric in music, which will be discussed in the subsequent chapters. In particular, the complex linguistic figures of speech will not be presented if they do not have any direct counterpart in music. The aspects that are proper to musical rhetoric are presented in Chapter 2: music has indeed features that language does not have.

This book is not a treatise on music rhetoric or music analysis. It introduces a number of analytical elements related to music rhetoric from the Baroque, Classical and Romantic periods, with comparisons with language. Its main goal is the development of a computer modeling of a number of simple and relatively rational aspects of music rhetoric. For that purpose, besides music features that are important to rhetoric, it introduces computational formalisms and representations used in natural language processing which turn out to be useful for a “high” level of analysis of music. These tools include type feature structures and transformations or rewrite operations on these
structures. This book also includes a model for the representation of discourse relations in music, based on models used for modeling human dialogues. Finally, annotation schemas are introduced; this is a major activity in corpus analysis both in linguistics and in language processing which is of great interest to represent the structure of music.

The formal representations that are presented make it possible for an in-depth representation and indexing of musical works, which is useful for analysts and composers. These representations enable the development of information retrieval dedicated to music.

This chapter is organized as follows: it starts by basic definitions of what rhetoric is (section 1.1). Then, the nature and the structure of a rhetoric discourse is analyzed, in particular the forms of classical rhetoric (section 1.2). Then, some figures of style which are of interest to music are discussed (section 1.3). Next, considerations on the cooperation between argumentation and explanation are presented (section 1.4); this is a topic that is rarely addressed but crucial in most communication situations. The chapter ends with a few historical considerations presented as a brief synopsis meant to guide the readers who want to acquire more knowledge in this area (section 1.5). Some historical bibliographical references are given in section 1.6. The relations between language and music are investigated in Chapter 2, with a global presentation of the development of rhetoric and its structure in music over the centuries.

1.1. A few basic definitions

Basically, rhetoric is a discipline uses any type of discourse (e.g. spoken, written, gestural), with the aim of persuading an audience to approve or adhere to a fact, a decision or an attitude. The audience can be any group of
people, large public or a specialized audience; it can be a small or a large group, even a single listener. Persuading an audience includes expository modes (with the goal of informing the audience of certain facts or providing various explanations about these facts) and argumentative modes (with the goal of convincing the audience on the basis of the facts which are provided, whatever they are). Besides providing the audience with additional information, persuading an audience may also mean contradicting their beliefs. Rhetoric is therefore a subtle and well-organized combination of sequences of explanation and argumentation.

The term “persuading” obviously has a psychological dimension: the orator must deploy appropriate linguistic and gestural means to produce an effect on his/her audience. This means that the orator must organize his/her speech or written text following a strategy planned in advance that he/she finds efficient and optimal. Aristotle, considered as one of the main initiators of rhetoric, defines rhetoric as “the faculty of discovering all the available means of persuasion” that can be used in a given situation. Classical rhetoric (during the Greek and Latin periods) has introduced various rhetoric schemas to persuade an audience. These are presented in this chapter. These schemas combine explanation (with reference to previous situations and laws) with argumentation, language, and visual and vocal attitudes. Rhetoric is therefore clearly a matter of tactics.

It is quite difficult to precisely identify the origins of rhetoric. One of the main assumptions is that it emerged in Sicily in 467 BC in the city of Syracuse in a juridical context where farmers had to go to court to get their land back after the death of the tyrants Geron and Gelon. These farmers could get back their land armed with words. However, it seems that rhetoric was informally practiced several centuries before this date by Greek and Latin philosophers and lawyers who were conscious that facts, attitudes and
situations are never purely true or false as in Boolean logic. “Scientific” approaches to rhetoric became popular in Sicily, based on the use of rational arguments in areas as diverse as mathematics, law or religion. In parallel, several opposite views developed forms of “irrational” rhetoric where the form prevailed over the contents, on the basis of the seduction that words, language constructions (called rhetorical figures), attitudes and prosody deployed by the orator may have on a naïve audience.

We will not discuss the history of rhetoric here, which experience a number of ups and downs, however a few milestones are given at the end of this chapter. The elements we advocate here simply show that there are several views, sometimes opposing and contentious, of what rhetoric can be. There are also periods where rhetoric was a very influential philosophical activity and a major pedagogical means (e.g. following Plato) and, on the other extreme, where rhetoric was regarded as a dishonest process, a kind of duplicity or cheating. Under the influence of Aristotle, rhetoric became a science dedicated to the analysis of the means used to deploy persuasion. From his point of view, rhetoric has a direct relation with “dialectic” and “logic”, but with the difference that it is based on probable premises, not on true premises. Therefore, the conclusions that can be drawn from such a system are also probable and subject to refutation. Rhetoric is then the world of the “plausible”.

1.2. The structure of rhetoric

In this section, the facets of rhetoric are discussed in more detail. The objective is to provide a better understanding of the structure and the power of rhetoric. Its transposition to music will then become easier to understand.
1.2.1. Rhetoric and communication

First, it is important to be able to contrast rhetoric with the three other main modes of communication: demonstration, dialectic and sophism (also termed sophistry).

First, demonstration operates in an impersonal mode and deals with what is necessarily true (axioms and inference rules on the one hand, and facts that are true on the other hand). There are several ways to establish a demonstration (we recommend the reading of [PAR 90] for an accessible introduction). There are also various types of logics that can be considered. Areas that are covered by the demonstration activity include logic, mathematics and exact and natural sciences in general and probably metaphysics.

Dialectic is the art of dialogue; it does not deal with truth or falsity, but rather with what is probable. Compared to sophism, dialectic bears on rigorous means of reasoning with the goal to reach the best decision or consensus. Dialectic is established between groups of people, where at least two of them have different views on a topic. The goal is to reach a consensus possibly via the development of argumentation and negotiation. Dialectic covers almost any area among which are law, social sciences and the humanities. Negotiation is an important aspect of dialectic. A large number of features of dialogue are developed in the proceedings of [TSD 13].

Finally, sophism is the area of duplicity and cheating; it is based on false assumptions which seem plausible to the audience. For example, [EEM 92] presents a theoretical perspective on sophism and its role in communication. False assumptions are used in various forms of reasoning which are themselves more or less rigorous.
1.2.2. **The structure of classical rhetoric**

The structure of a discourse that aims at persuading an audience is composed of four main components which are the different steps that an orator must follow. These steps are the main parts usually found in rhetoric treatises. Let us assume that the discourse is oral, a text that is only written and aimed at being read would require a slightly different plan. Before going through these steps, the orator must identify exactly what he wants to demonstrate, and what conclusion(s) he wants to reach. Then, the four steps which must be considered are:

1) **Invention** (Greek *heuresis*, Latin *inventio*): the orator must search for the arguments and the persuasion means he needs to reach his conclusions in an optimal way.

2) **Arrangement** (Greek *taxis*, Latin *dispositio*): the orator must organize his arguments in a logical and coherent way so that his conclusions seem obvious and natural. The result is a kind of plan.

3) **Style**, also called elocution or expression (Greek *lexis*, Latin *elocutio*): this concerns the way the discourse is linguistically realized. This includes the choice of words and the syntactic constructions. Rhetoric has developed figures of speech that the orator can use for this purpose.

4) **Delivery** or action (Greek *hypocrisis*, Latin *pronunciatio*): this is the way the discourse is delivered to the audience, with vocal effects, mimics, gestures, etc.

These four parts are presented in more detail in the following sections. These are essential for the preparation of an efficient discourse. They may not necessarily follow each other: they may be intertwined in the preparation of the discourse. A fifth step is the **memorization** of the speech since it is preferable not to read a text in front of an audience but to present it as if it were natural and almost
spontaneous. Memorization helps improve the delivery step. It is crucial for performers in music.

These four steps emphasize the three main components of rhetoric:

1) the speech and its contents;
2) the speaker, his profile and its postures (gestures, voice, tone, etc.);
3) the audience with its professional and psychological profile.

These three elements are also found in music rhetoric. A difference is that the speaker may not be the author of the work, but rather the performer(s) (a single person, a small group of persons such as a string quartet, or a conductor for symphonic works). Therefore, the personality of the performer(s) is also crucial, since he probably has a slightly different view on the work than the composer.

1.2.3. The invention step

The first step is invention. It is important to exactly identify the topic of the discourse, its conclusions and its main articulations before elaborating it. The genre of the discourse is also important in this step. According to the Greek tradition, three main genres emerged: judicial, deliberative and epideictic. These three main genres correspond to the three main types of audiences that an orator can have. They also correspond to three main types of discourses.

The judicial genre charges or defends. It has to deal with events that occurred in the past and is aimed at judging them according to local laws and traditions. The audience are the members of a court. The deliberative genre introduces a discussion and an argumentation on the main
elements of interest to the society (e.g. taxes, budgets, laws, etc.) in order to advise the audience and help with making decisions. It deals with the future since these decisions concern the future. The audience are national or local groups of people who have been elected (e.g. senators, congressmen, etc.). Finally, the *epideictic* genre is designed to blame or congratulate a person or a group of persons for a specific act or attitude, such as war heroes and poets. This last genre deals with the present, the audience is any kind of group of people.

The genre of the discourse being identified, the primary task is to elaborate arguments that support the conclusions the orator wants to reach. According to Aristotle, three types of arguments can be used that belong to the following categories: *ethos, pathos* and *logos*. Ethos includes the elements and attitudes that the orator must adopt so that the audience can give him his trust independently of the strength and the validity of the arguments. Pathos includes elements such as emotions and sentiments which the orator must develop in his audience [WAL 92, MAC 14]. This type of argument involves an analysis of the psychological profile of the audience. This profile may depend on external circumstances.

Finally, logos deals with the argumentation itself. This is the most rational among the three types of arguments and the closest to dialectic. To construct his argumentation, the orator has several types of proofs: laws, witness statements, contracts, etc. Arguments may be elaborated on the basis of *topoi* which are classes of schemas of arguments [EEM 96, BES 08, WAL 08]. They follow logical rules that organize the structure of the argumentation so that it looks like a demonstration [DUN 06].

As the readers may note, the first step, the invention, is quite complex and somewhat ambiguous since it mixes the elaboration of the “what to say” with, to some extent, the
“how to say it”, in relation with ethos and pathos. This situation is exactly the same in music rhetoric since, for example, melodic creativity mixes the *what* with the *how*.

1.2.4. The arrangement

The arrangement, in modern terms, is the planning of the discourse. The objective is to organize the material to be presented in a logical way so that understanding is easy. A good organization, together with a good presentation, makes a discourse much more persuasive. In classical rhetoric, a discourse aimed at persuading an audience is usually structured into two to seven parts, depending, e.g., on the tradition and the difficulty to communicate with the audience. Let us present here a typical organization of a discourse organized in four parts: *introduction, narration, proof* and *conclusion* also called *peroration*. This organization is also an essential part in the rhetoric of music where a large number of forms have been defined. These are introduced in Chapters 3 and 5.

From a theoretical perspective, [EEM 04] presents a formal approach to the use of speech acts in argumentation and rhetoric. Linguistics and computational linguistics aspects are, respectively, discussed in [MOE 02] and [GRO 86].

The *introduction* (Greek *proximion*, Latin *exordium*) starts a discourse. This part has several purposes. The first purpose is to introduce the subject of the talk, quite often the conclusion(s) the orator wants to reach, and the possible circumstances that come with it. The second purpose is to stimulate the interest of the audience, and the third purpose is to attract his goodwill and indulgence (because the orator may not be as good as necessary for such a noble cause). In music, an introduction can be a prelude (a prelude followed by a fugue or by a series of dances, for example) or a short
introductory section (e.g. an adagio before an allegro in the first movement of a sonata). Examples are presented in Chapter 5.

The ethos and the pathos of the orator must constantly be used to give the best feeling possible (serious, honest, competent, accessible, benevolent, etc.). The orator must stimulate the desire of the audience to understand, learn and participate in the debate. He must also make sure that the audience has some partiality toward his opinions. Rhetoric of all periods abounds in advice and recipes to make a good exordium. Then, the discourse is ready to start. However, to maintain the attention and the good will of the audience at a high level, it may be necessary, from time to time, to have a short resurgence of the introduction.

The narration (Greek diegesis, Latin narratio) can now start. It presents the facts, the background and the circumstances of the case to be discussed. It should be efficient, clear, short and persuasive. Obviously, the presentation of the facts and the circumstances may be oriented toward the conclusion the orator wants to reach. Even if it is not fully objective, it must look like it is. The logos is the main type of argumentation used.

Clarity of the presentation is reached by a good organization of the material, e.g. following the temporal structure of the elements and facts which are presented. Clarity is also reached by a simple syntax, with words that are easily accessible to the audience (technical terms can obviously be used with the appropriate audience, since these will be more efficient). Sequences of causes and consequences must clearly be established and reported. Brevity can be reached by a certain economy of means, avoiding useless terms, complex constructions or indirect speech, for example. Speech act verbs (e.g. [WIE 87]) are particularly important and should be chosen with care.
Constructions such as metaphors are of interest since they can have a strong impact on listeners in just a few words. The main elements of the discourse should be constantly emphasized. In fact, these recommendations or guidelines are general and must be considered for almost any type of discourse that has a certain level of objectivity or efficiency such as technical texts (procedures, specifications), didactic texts, medical texts, etc.

The third step is the proof, also called confirmation (Greek *pistis*, Latin *probatio*). This is probably the most important step. The orator presents his arguments, in a certain order, so as to show the soundness and the validity of the conclusions he wants to reach. He may also introduce additional arguments and facts in order to anticipate and refute future counter-arguments that the audience may raise. Different types and levels of arguments are used, from basic ones, based on examples, to abstract ones which constitute rules or laws. Argument schemes [WAL 08] are often used because they correspond to already established and evaluated structures. In case of refutation of an argument of the orator, after debate with the audience, the initial argument may be reformulated and adapted so that the different points of view can be accommodated and accepted by everyone. An argument is, in general, something quite flexible, even with laws, where adaptations, interpretations and reformulations are frequent.

There is an abundance of literature on argumentation that the reader may refer to; a synthesis is given in [EEM 96] and [BES 08]. Argumentation and persuasion have been developed from several perspectives: in philosophy, in psychology and communication (e.g. [EEM 04]), in linguistics, and in more formal sectors such as artificial intelligence (e.g. [MAC 14]). Note that rhetoric should not be confused with the rhetorical structure theory (RST) that deals with the conceptual and linguistic structure of
discourse [MAN 88, STE 12]. This is discussed in Chapter 5. However, it is clear that discourse analysis has an important role to play in rhetoric. Argumentation is now a major field that has a large number of applications, e.g. in business and commerce. Argumentation is not straightforwardly realized in music; however, we will present in Chapters 4 and 5 a number of examples where music, together with a “context” (e.g. historical and, personal), can deploy very efficient forms of argumentation. In what concerns persuasion, it is clear that music, via its inherent forms of ethos and pathos, is an extremely powerful means to influence an audience.

The last part of classical rhetoric is the conclusion or peroration (Greek epilogos, Latin peroratio). This part aims at summing up the main arguments and providing the audience with a clear formulation of the conclusion(s), as often initially presented in the introduction. This part may be a combination of rational elements (the arguments) with more emotional elements so that the conclusion sounds natural and is well understood and accepted. In the legal domain, in order to decrease tensions, some digressions (Greek ekphrasis) are frequently inserted between the arguments. Digressions may also be used to reinforce persuasion. The peroration ends the discourse and may contain several forms of recapitulation or summary.

1.2.5. The style or elocution step

The style or elocution step deals with the way the discourse is realized in language. This includes word selection as well as sentence construction and semantic effects such as focus shift (placing complements or adjuncts at the beginning of a sentence makes them more significant).

Orators can make extensive use of figures of speech. The choice of words is a crucial step because different words