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HEINRICH SCHENKER'S EARLY APPROACH TO FORM, 1895–1921:

IMPLICATIONS FOR HIS LATE WORK AND ITS RECEPTION

by

JASON A. HOOPER

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

2017

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This manuscript has been read and accepted for the Graduate Faculty in Music in satisfaction of the dissertation requirement for the degree of Doctor of Philosophy.

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## Abstract

HEINRICH SCHENKER'S EARLY APPROACH TO FORM, 1895–1921:

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JASON A. HOOPER

ADVISOR: Professor William Rothstein

This dissertation constructs Heinrich Schenker's early approach to form and traces its development as his organic theory of transformational voice leading emerged in the early 1920s. Schenker's late approach to form is then briefly reconsidered from this newfound perspective.

Chapter 1 defines the nineteenth-century *Formenlehre* tradition established by A. B. Marx and passed down to Anton Bruckner through his studies in model composition, leading to Schenker himself. Chapter 2 presents Schenker's early approach to form in a generative fashion, demonstrating how a single motive can grow into a large thematic group unified by a single key area or an economy of *Stufen*. Chapter 3 introduces the schemas that Schenker developed in the 1910s to analyze full-movement forms, from one-part form to six-part cyclic form. Chapter 4 reappraises Schenker's later work, including the inherent conflict between the continuity of counterpoint (as in J. S. Bach's fugues) and the discontinuity of musical form (as in Beethoven's sonatas). The *Formenlehre* expressed in *Der freie Satz* (1935) is viewed as an attempt to unify these two "musical cultures" through a single cause (Halm 1913): the background's dynamic transformation into the foreground.

Yet this union of voice leading and form is not always convincing. The schematic forms described in the last chapter of *Der freie Satz* (1935) are identical to those encountered in Schenker's work twenty years earlier. Schenker claims to derive these forms from the background as a matter of generative theory—but as a matter of history, they predate his apprehension of the background altogether. Given this insight, I contend that the relationship between form and content is reciprocal: form is best understood not only as a surface manifestation of tonal forces emanating from the background but also as a co-determining force that shapes deeper levels of voice-leading structure (C. Smith 1996). The latter force is manifest through interruption: Schenker's last theoretical concept, which enabled him to integrate organic voice leading with a more traditional *Formenlehre* (Rothstein 2001; Samarotto 2005). This dissertation therefore rejects the monism permeating Schenker's late work and calls for a return to his original conception of *Synthese*, in which independent musical parameters are integrated rather than fully subsumed by the controlling influence of the *Ursatz* (Korsyn 1988; Cohn 1992a, 1992b; Lubben 1993; Cook 2007; Brody 2015).

We fill pre-existing forms and when we  
fill them we change them and are changed.

—Frank Bidart, “Borges and I”

## PREFACE

Despite the prestige Heinrich Schenker's late work has gained within Anglo-American music theory, recent theories of form—including William Caplin's *Classical Form* (1998) and James Hepokoski and Warren Darcy's *Elements of Sonata Theory* (2006)—have largely ignored its implications. By no means are these approaches obligated to take Schenker's ideas into account, for there are many productive ways to think about music—but given the interest in form at the turn of the twenty-first century and the influence of Schenkerian theory within the field, why was this so? As I discovered, my initial observation was not accurate; work involving Schenker's late *Formenlehre* was being carried out. Felix Salzer's *Structural Hearing* (1952, 1:220–54) and Sylvan Kalib's dissertation (1973, 1:235–306) were important first steps, but more recent scholarship—including Beach (1993), Cadwallader (1990), Petty (1995), Rothstein (1989), Schmalfeldt (1991), C. Smith (1996), and P. Smith (1994)—also began to emerge. These studies pose a fundamental question: What is the relationship between traditional approaches to form (outer form) and the levels of transformational voice leading (inner form) present in Schenker's late work?<sup>1</sup>

In *Der freie Satz*, Schenker ([1935] 1979, 130) claimed that all forms “have their origin in, and derive from, the background.”<sup>2</sup> Charles Smith (1996) inverted this relationship by suggesting that articulations of the outer form might determine the background and middleground through

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<sup>1</sup> Rothstein ([1989] 2007, 104) defines outer form as the “thematic aspect of a piece, as well as its layout into periods and phrases,” while inner form is defined as the “tonal dynamic of a work—its large-scale harmonic and linear layout.”

<sup>2</sup> “Das Neue in der nachfolgenden Darstellung der Formen liegt in der Ableitung aller Formen als eines äußersten Vordergrundes von dem Hinter- und Mittelgrund” (Schenker 1935, 210).

analysis. Janet Schmalfeldt (1991) reconciled levels of Schenkerian voice leading with Caplin's *Formenlehre* (1998)—along with the work of Schoenberg (1967) and Ratz (1973)—in a more balanced way by emphasizing their correspondences rather than defining one wholly in terms of the other. More recently, Peter Smith (2005) has incorporated Schenker's late theory into his own conception of form as “dimensional counterpoint,” while Allen Cadwallader (2008) has uncovered correspondences between levels of voice leading and Sonata Theory.<sup>3</sup>

Despite these efforts, I felt that a truly “Schenkerian” theory of form—a theory faithful to the precepts (and even polemics) in *Der freie Satz*—remained elusive. I also realized that the final chapter of *Der freie Satz* was fragmentary; it did not express a comprehensive theory.<sup>4</sup> I began to doubt whether a comprehensive *Formenlehre* based on Schenker's late work was possible (a doubt that I still hold). Schenker went too far when he insisted that form originates in the background (Cohn 1992b); conversely, Charles Smith (1996) went too far when he claimed that form should largely determine the background.<sup>5</sup> Rather than demonstrate how the background generates form (or *vice versa*), I question whether a causal relationship exists in only one direction or the other.<sup>6</sup>

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<sup>3</sup> Peter Smith (2005, 31) writes, “A movement's form consists of the total structure that emerges through a *counterpoint of musical dimensions*. These dimensions . . . can be reduced to three main categories: thematic design, key scheme, and tonal structure.”

<sup>4</sup> For example, Ernst Oster characterizes Schenker's ([1935] 1979, 139n) conception of sonata form as “sketchy and in a number of ways incomplete.” Allen Cadwallader (1990, 17) claims, “No comprehensive *Formenlehre* is tacitly expressed in [Schenker's] late writings; only an approach and a few principles are adumbrated.”

<sup>5</sup> According to Charles Smith's revisionist theory, “*form and fundamental structure are essentially the same thing*” (1996, 270; emphasis original). The result is a menagerie of unorthodox middlegrounds and backgrounds. For a critique of C. Smith (1996), see P. Smith (2005, 49–54).

<sup>6</sup> Or, as Peter Smith (2005, 59) argues, “The best course of action . . . is to give up both Schenker's idea that fundamental structure can form the basis for a new *Formenlehre* and [Charles] Smith's belief that form provides direct access to fundamental structure.”

One day it might be possible to demonstrate that form is generated from background to foreground based on axioms operating within a formalized system, but I believe that a different approach is required—one that attempts to understand how Schenker’s ideas developed, with the assumption that his late *Formenlehre* is a vestige of work carried out before he had apprehended the *Urlinie*. As Nicholas Cook (2007, 285) observes, *Der freie Satz* is “rather like the broken watch in a detective story: the trace of an ongoing process, frozen in time by Schenker’s death.” Perhaps the inconsistencies in Schenker’s late *Formenlehre* are best understood as a byproduct of this ongoing process, not generative theory *per se*. To understand the closed system presented in *Der freie Satz*, one must first step outside that system and recognize its history.

One must also confront the documents extant in Schenker’s vast *Nachlass*. In a letter to Allen Forte, Ernst Oster once wrote, “I sometimes really feel that having all those unpublished analyses available would be almost as important as all of Schenker’s published books together” (Forte et al. 1977, 342). I share Oster’s sentiment, although I offer one caveat: Given the sheer volume of archival materials (the Oster Collection alone contains ca. 18,000 items) and Schenker’s handwriting (which is nearly impossible to read), interpreting these documents has proven difficult. Oster recognized this, too. Dismayed at the prospect of preparing Schenker’s unpublished work for publication, he again writes Forte, stating, “absolutely nobody, not even you or Milton [Babbitt] can have the faintest idea of how long it all takes” (342). Despite these difficulties, I hope my engagement with this material has proven worthwhile.

## ACKNOWLEDGEMENTS

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My paper on Schenker's early conception of form earned the Patricia Carpenter Emerging Scholar Award in 2010, providing welcomed encouragement as this project began to take shape. Editors Seth Monahan and Matthew BaileyShea oversaw a subsequent article in *Theory and Practice* 36 (2011), which was much improved thanks to their helpful advice. This work is developed throughout chapters 2 and 3 and is used with the kind permission of the Music Theory Society of New York State. In addition, much of what appears in chapters 3 and 4 is based on an earlier article titled "An Introduction to Schenker's Early *Formenlehre*: Implications for his Late

Work,” published in *Rivista di Analisi e Teoria Musicale* (2015). I am grateful to editors Alessandro Cecchi and Susanna Pasticci at *RATM* for their kind permission to expand upon that article here. I also wish to thank the contributing scholars associated with Schenker Documents Online—including Ian Bent, Christoph Hust, Lee Rothfarb, and John Rothgeb—for their permission to reproduce lengthy excerpts transcribed and translated from Schenker’s correspondence and diaries.

I wish to acknowledge my colleagues in the Department of Music & Dance at the University of Massachusetts Amherst, including Brent Auerbach and Gary Karpinski, for their continued support of my scholarship and teaching; Görkem Cilam, Assistant Director of the University of Massachusetts Amherst Translation Center, for the Center’s considerable help deciphering Schenker’s handwriting; and the Dean’s Office for the College of Humanities and Fine Arts at UMass, which sustained this work through a faculty research grant. And I am especially grateful to three teachers who were influential during earlier stages of my education. John Mitchum first introduced me to music theory through the careful study of Walter Piston’s *Harmony*. While at Indiana University Bloomington, Michael Buchler proved by example that music theory offers a viable career path for baseball enthusiasts who play the trombone. Frank Samarotto helped me realize both the subtlety and complexity of tonal music, but only later did he introduce me to Schenker’s remarkable body of work. Frank’s ideas also significantly influenced the argument put forth in chapter 4. It is a debt that I can never repay in full.

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## ABBREVIATIONS

- DLA        Halm Estate Papers, Deutsches Literaturarchiv Marbach.
- JC         Oswald Jonas Memorial Collection, Special & University Archives,  
UCR Library, University of California Riverside. Documents from this  
collection are referenced by their box / folder number(s).
- OC         Ernst Oster Collection of the Papers of Heinrich Schenker, Music  
Division, The New York Public Library for the Performing Arts, New  
York, NY. Documents from this collection are referenced according to  
their file / item number(s).
- SP         Felix Salzer Papers, 1897–1995, Music Division, The New York Public  
Library for the Performing Arts, New York, NY. Documents from this  
collection are referenced according to their box / file number(s).

## CHAPTER 1

AGAINST THE *FORMENLEHRE* TRADITION

## § 1.1. POLEMICS VS. PRACTICE

In the last chapter of *Der freie Satz*, Heinrich Schenker ([1935] 1979, 133) expresses his disdain for traditional approaches to sonata form when he claims, “it is necessary to discard the concepts and terminology of conventional theory.”<sup>1</sup> He not only dismisses conventional theory, he openly mocks it, complaining that previous textbooks “present rubrics, which are like a set of children’s building blocks” (1979, 138).<sup>2</sup> In other words, *Formenlehre* is mere child’s play.

Schenker often dismissed entire theoretical traditions (his attacks on Rameau come to mind), but this tactic was more than empty rhetoric—it influenced how his theories evolved over time. As Nicholas Cook (2007, 256) writes, “Schenker’s theoretical development could be characterized as a progressive denial of the basic categories of conventional theory.” Schenker redefined fundamental concepts such as motive, harmony, melody, and form; but in doing so, he was often prone to making exaggerated or even untenable claims.

I contend that the apparent dismissal of the nineteenth-century *Formenlehre* tradition in *Der freie Satz* is one such claim—it is an attempt to redefine “form” after nearly one hundred years of prior theory stemming from the work of A. B. Marx ([1837–47] 1887–90). Yet Schenker was

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<sup>1</sup> “Wie bei der Darstellung der Liedformen ist auch hier zunächst nötig, die Begriffe und Bezeichnungen der üblichen Theorie abzulehnen” (Schenker 1935, 215–16).

<sup>2</sup> “Statt des in einem Meisterwerk waltenden Organischen einer Sonatenform stellen die Lehrbücher Rubriken auf, eine Art Steinbaukasten zu kindischem Spiel” (Schenker 1935, 223).

influenced by this tradition, appropriating it in ways both subtle and covert.<sup>3</sup> The forms described in the last chapter of *Der freie Satz*—forms purportedly based on the dynamic transformation of the background into the foreground—predate Schenker’s organic theory of voice-leading coherence altogether. In fact, as I show in chapter 3, they began much like the schematic forms of the nineteenth century. While history and generative theory should not be confused, perhaps this discovery draws aspects of Schenker’s late *Formenlehre* into question.

In contrast, the Anglo-American reception of Schenker’s late work has often taken his apparent dismissal of traditional forms for granted. Schenker is often regarded as “the great antihero of the *Formenlehre* tradition,” an iconoclast who “did more than anyone else to discredit the enterprise of taxonomic formal analysis as schematic and empty” (Burnham 2002, 901). As a result, “few serious admirers of Schenker’s work could return to the traditional business of formal analysis without feeling as though they were wading in the shallows” (901).<sup>4</sup> I shall counter this received view. Schenker’s late approach to form is best understood as a reconciliation of his organic theory of transformational voice leading with a more conventional *Formenlehre*. In practice, he did not dismiss traditional formal analysis outright—even if his polemics often leave us with that impression. Instead, he sought a new way to continue this tradition.

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<sup>3</sup> As Janet Schmalfeldt (1991, 234) writes, “I should like to believe that Schenker’s scathing critique of traditional formal concepts as expressed in his final, and consummate, work—*Der freie Satz*—is a deliberate overstatement—a polemic that has been partially misinterpreted.” Charles Smith (1996, 196) also recognizes this discrepancy, writing, “[Schenker] was adamant that form did not arise primarily from the manipulation of themes and motives, and also regarded proportional relationships between sections as superficial and irrelevant (§ 308 and § 302). In both cases, his disparagement was too strong, in that it was misleading to pretend to ignore melodic and proportional relationships altogether—and, of course, in practice he did no such thing.”

<sup>4</sup> For example, David Beach (1993, 4) claims, “Schenker, of course, was not much interested in accommodating the traditional notion of form, and understandably so.”

Schenker was engaged with traditional modes of formal analysis throughout his entire career, although this history prior to *Der freie Satz* has largely been ignored. In a brief diary entry dated July 11, 1907, Schenker writes that he is developing “ideas toward a ‘new theory of form.’”<sup>5</sup> Numerous sections of *Harmonielehre* ([1906] 1954), as well as sections of a related, unpublished typescript titled “Über den Niedergang der Kompositionskunst” ([1905–6] 2005a) are concerned with form (particularly sonata form). In the preface to his monograph on Beethoven’s Ninth Symphony, Schenker (1912, vii) promises an *Entwurf einer neuen Formenlehre* predicated on universal laws of human psychology. His first three explanatory editions of the late Beethoven piano sonatas (1913, 1914, 1915) include many diagrams belonging to the *Formenlehre* tradition. Schenker later mentions plans for a new theory of form in the explanatory edition of Beethoven’s op. 101 (1921) and the preface to book II of *Kontrapunkt* (1922).<sup>6</sup> As he developed his organic theory of transformational voice leading in the 1920s, Schenker wrote two important essays in the second volume of *Das Meisterwerk in der Musik* (1926): one on fugue, the other on sonata form. And in volume 3 of *Meisterwerk* (1930), he analyzes the first movement of Beethoven’s *Eroica* Symphony according to what he begrudgingly calls “the customary theory of sonata form.”<sup>7</sup> Even the figures in *Der freie Satz* (1935) are rife with labels that belong to a theorist deeply rooted in the nineteenth century (e.g.,  $a_1-b-a_2$ ). Yet, despite these efforts, Schenker’s *neue Formenlehre* remained unfinished by his death in 1935.

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<sup>5</sup> “Ideen zu einer ‘neuen Formenlehre’” (JC 1/6; see Bent 2005, 96).

<sup>6</sup> Of course, Schenker might traditionally be expected to write a *Formenlehre* after completing treatises on harmony and counterpoint.

<sup>7</sup> “nach der üblichen Lehre der Sonatenform” (Schenker [1930] 1997, 12–13, fig. 3; see example 3.3.3, p. 242).

## § 1.2. “TWILIGHT OF THE MASTERS”

Our story begins in Vienna at the turn of the twentieth century.<sup>8</sup> Schenker characterized this time by its decadent culture. He thought that decline was apparent in music education, performance, criticism, theory, and composition; in response, he sought to restore German musical culture to its past glories.<sup>9</sup> We find these ideas in Schenker’s earliest writings, including an 1894 article from the *Neue Revue*, where he laments the state of musical affairs in general and the exploitation of art for profit in particular.<sup>10</sup> To correct these problems,

A brilliant and inspiring teacher would have to appear, a teacher in the broadest and most beautiful sense of the word, an educator, composer, critic and philosopher, just as were Guido of Arezzo, J. S. Bach, Schumann, and Wagner in their time; a man who would “go into the temple of art, and cast out all them that sell and buy in the temple, and overthrow the tables of the moneychangers, and the seats of them that sell doves, And say unto them, It is written, My house shall be called a house of prayer.”<sup>11</sup> (Schenker [1894] 1988, 134)

It is not difficult to imagine whom Schenker had in mind for this task, but to understand his project as an overthrowing of the prevailing musical order at the turn of the century, one must identify those responsible for music’s decline—those whom Schenker was writing *against* (Cook

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<sup>8</sup> For an intellectual history of Vienna during this time, see Johnston (1972) and Schorske (1981). As this history relates to Schenker, see Cook (2007) and Korsyn (2009). The term “Twilight of the Masters” (*Meisterdämmerung*)—an allusion to Wagner’s *Die Meistersinger von Nürnberg* and *Götterdämmerung*—is taken from the beginning of Schenker’s “Niedergang” typescript discussed below (Schenker [1905–6] 2005a, 34, 122n1).

<sup>9</sup> See Snarrenberg (1997, xv–xvii) and Clark (2007, 143).

<sup>10</sup> Schenker’s (1894, 87–88) article is titled “Die Musik von heute (Neu Variationen über ein altes Thema)” (Federhofer 1990, 62–64; trans. Schenker 1988, 133–34).

<sup>11</sup> “Es müßte denn ein hinreißend genialer Pädagog erscheinen, ein Pädagog im weitesten und schönsten Sinne des Wortes, ein Erzieher, Componist, Kritiker, Philosoph, wie es für ihre Zeit’ ein Guido v. Arezzo, J. S. Bach, Schumann oder Wagner gewesen sind, ein Mann, der ‚zum Tempel der Kunst hineinginge und heraustriebe alle Verkäufer und Käufer im Tempel und stieße um der Wechsler Tische und die Stühle der Taubenkrämer, und spräche zu ihnen: Es steht geschrieben: Mein Haus soll ein Bethaus heißen’” (Schenker 1894; Federhofer 1990, 64). This passage alludes to the parable of when Jesus expelled the moneychangers from the temple during Passover.

1989, 416–17). (And note that Schenker would later sour on Wagner.) This is the best way to conceptualize his early writings in particular: Schenker’s edition of C. P. E. Bach’s keyboard sonatas (1902) and *Ein Beitrag zur Ornamentik* ([1903] rev. 1908) against Hans von Bülow, Anton Bruckner, and Hugo Riemann; his *Harmonielehre* (1906) against E. F. Richter (among many others, including Bruckner, Tchaikovsky, Riemann, and Rimsky-Korsakov); his monograph on Beethoven’s Ninth Symphony (1912), like Nietzsche, against (or contra) Richard Wagner.<sup>12</sup> It was not enough to offer new ideas; Schenker felt compelled to annihilate the old.<sup>13</sup>

He led his fiercest attacks in the “Niedergang” typescript (Schenker [1905–6] 2005a).<sup>14</sup> According to this polemic, composers were responsible for music’s decline after the death of Beethoven. Schenker indicts the likes of Berlioz, Liszt, and Wagner on two related charges: First, they were unable to compose in a variety of different genres. Schenker writes, “It used to be the custom of great composers to have a comprehensive mastery of all the forms of the art [of music] and all the stylistic genres, complete command of musical technique, which enabled them to conceive ever new creative tasks” (35).<sup>15</sup> Earlier composers such as J. S. Bach, Haydn, Mozart,

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<sup>12</sup> For Schenker’s opposition to Wagner, see Cook (1995). For Schenker’s early thought in relation to Nietzsche’s philosophy, see Korsyn (1993, 95–104; 2009, 170–71).

<sup>13</sup> In a diary entry dated April 24, 1920, Schenker recounts a conversation with conductor Wilhelm Furtwängler, where he asserts his “obligation to annihilate my opponents” (Schenker [1912] 1992, xvñ16; quoted in Cook 1995, 89; “ich vertrete u. begründe mein Recht auf Polemik leidenschaftlich wie sonst u. auf dem Weg ins Caféhaus lasse ich mich so weit hinreißen zu sagen, daß ich das Bedürfnis habe, die Gegner totzuschlagen”). See Schenker Documents Online; transcr. Marko Deisinger, transl. Scott Witmer; available from [http://www.schenkerdocumentsonline.org/documents/diaries/OJ-03-01\\_1920-04/r0023.html](http://www.schenkerdocumentsonline.org/documents/diaries/OJ-03-01_1920-04/r0023.html); Internet; accessed January 31, 2016.

<sup>14</sup> Schenker’s views on music’s decline around the turn of the century are part of a larger cultural matrix, which, as William Drabkin (2005, 22) notes, includes Max Nordau’s *Entartung* (1896) and Oswald Spengler’s *Der Untergang des Abendlandes* (1918/1922).

<sup>15</sup> “So gehörte ehemals zum Habitus eines Meisters umfassende Beherrschung aller Kunstformen und Stilgattungen, eine vollendete Handhabung der musikalischen Technik[,]



and Beethoven wrote sonatas, oratorios, string quartets, concertos, symphonies, and operas, whereas “today’s artists . . . write too little; they are insufficiently productive, whether in relation to what we now know of the accomplishments of true geniuses or truly great talents, or simply considered in absolute terms” (38).<sup>16</sup> He cautions that he is not “disposed to measuring the work of the human intellect by the yard,” and promises to base this “objection on yet other, more organic grounds” (38).<sup>17</sup> Schenker writes,

The real reason, however, why the great masters were so productive and at the same time created such consummate works of art lies, as I have said, simply in their secure command of the technical means, just as, conversely, the decline may be sought in the lack of any technique today. . . . It is, however, this very misunderstanding of cyclic form [i.e., sonata form], as the highest representation of absolute music, that I hold principally responsible for the decline of the art of music in the nineteenth century.<sup>18</sup> (Schenker [1905–6] 2005a, 40, 43)

Mendelssohn and Brahms are regarded as the only masters of sonata form after Beethoven (66–67). Schenker even deems Schubert, Schumann, and Chopin deficient. Their themes are considered too lyrical and too regular, their forms too schematic (65–66). In Schubert’s case,

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welche es ihnen möglich machte, immer neue Aufgaben zu ersinnen” (Schenker [1905–6] 2005a, 133).

<sup>16</sup> “Ich sage: die heutigen Künstler schreiben effektive zu wenig, sie zeigen eine zu geringe Produktion, gleichviel nun, ob man ihre Leistungen relativ im Vergleich zu den uns bisher bekannt gewordenen Leistungen wirklicher Genies oder wirklicher grosser Talente oder auch bloß absolut betrachtet” (Schenker [1905–6] 2005a, 136).

<sup>17</sup> “Nur glaube man nicht, dass[,] wenn ich den Vorwurf der zu geringen Produktivität zunächst gerade in dieser Form feststelle, ich die Arbeiten menschlichen Geistes etwa überhaupt bloß nach der Elle zu messen gesonnen wäre: werde ich doch alsbald Gelegenheit haben, denselben Vorwurf auch noch anders u. organischer zu begründen” (Schenker [1905–6] 2005a, 136).

<sup>18</sup> “Der wahre Grund aber[,] weshalb die grossen Meister so produktiv, u. zugleich so vollendete Kunstwerke schaffen, liegt einzig, wie gesagt, in der sichern Beherrschung der technischen Mittel, wie umgekehrt im Mangel jeglicher Technik heute[?] die Ursache des Niederganges zu suchen ist. . . . Eben diese[s] tragische Misverstehen der cyklischen Form aber, als der höchsten Representation der absol[uten] Musik, halte ich für die Hauptursache des Niederganges der musikalischen Kunst im neunzehnten Jahrhundert” (Schenker [1905–6] 2005a, 139, 142).

“however beautiful the themes (too beautiful, in fact, for the purpose of cyclic form), however striking and original the harmony, and however novel the mood, these things are incapable of achieving the effect of a true synthesis and a deeply founded irregularity” (65).<sup>19</sup> And Schenker claims that in Chopin’s case, “hardly does he think about writing a sonata than his spirit is broken; and what he offers as a sonata is little more than merely the most regular course of a schematic pattern” (66).<sup>20</sup> A work becomes dull if it is too regular, yet risks incomprehensibility if it is too irregular. This *Hauptprinzip* belongs to the same *Formenlehre* tradition that Schenker rebelled against; or, as J. C. Lobe (1844, 2) describes it, “Unity in variety, or *variety in unity*.”<sup>21</sup>

Schenker’s second charge claims that composers after Beethoven based their music on extrinsic associations rather than intrinsic musical laws. This was especially true of Wagner:

His music follows the logic of thoughts and events incomparably more than the laws that reside in music itself. Since he devotes himself entirely to drama, he does not bind himself to the needs of a purely constructive nature. He does not put together ideas from various elements, he builds no groups, he takes no care of the succession of keys, since he never has in mind a higher unity that is equivalent to any form.<sup>22</sup> (Schenker [1905–6] 2005a, 99)

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<sup>19</sup> “Schon der Fall Schuberts möge uns lehren, dass noch so schöne Gedanken—für den Zweck des Cyk[lischen] eben zu schön—, noch so aparte und originelle Harmonik, sei es in vertikaler Richtung oder in horizontaler, wo sie den Entwurf der Melodie beeinflusst, und dass endlich die aus alledem resultierende u. eine noch so neuartige Stimmung nicht die Wirkung einer vollendeten Synthese u. einer tief fundierten Unregelmäßigkeit erreichen können” (Schenker [1905–6] 2005a, 165).

<sup>20</sup> “kaum denkt er aber[,] eine Sonate zu schreiben, schon ist sein Mut gebrochen, und was er als Sonate bietet, ist nur wenig mehr als bloß der regelmässige Ablauf eines vorgefaßten Schemas” (Schenker [1905–6] 2005a, 166).

<sup>21</sup> “Einheit in der Mannichfaltigkeit, oder Mannichfaltigkeit in der Einheit” (Lobe 1844, 2; emphasis original).

<sup>22</sup> “Seine Musik folgt der Logik der Gedanken und der Ereignisse ungleich mehr als den in ihr selbst deponierten Gesetzen. Da er sich ganz dem Drama ergibt, so bindet er sich nicht an die Bedürfnisse rein konstruktiver Natur, er setzt den Gedanken nicht aus verschiedenen Elementen zusammen, bildet keine Gruppen, nimmt keine Rücksicht auf den Tonartenverlauf, da ihm keine höhere Einheit, die irgend einer Form gleichkäme, vorschwebt” (Schenker [1905–6] 2005a, 196).

According to Schenker, Wagner lacked the compositional technique required to compose finely crafted absolute music. But even composers who wrote absolute music fell victim to extrinsic sources by relying on abstract forms. These forms had become pre-determined, reified schemas lacking any sense of causality or necessary connection (Cook 2007, 54–55).<sup>23</sup> In the case of sonata form, “The [derivative] work has indeed not become an organic structure, but rather a potpourri comprising three melodies that seem to have been locked up in cages” (69).<sup>24</sup> And in an even earlier source, we encounter “caged themes” when Schenker likens composers to birdcatchers:

they lie in wait for their own fantasy; pursue—like birdcatchers—the necessary “motives” and “themes”; *force* the themes, when they have found some, into any old beautiful form; and glue and paste, according to old, well-tried and half-understood rules, until at last there is a beginning, middle, and end.<sup>25</sup> (Schenker [1897] 1988, 137; emphasis original; quoted in Cook 2007, 54–55)

This compositional “method” lacks the organic, improvisatory qualities that distinguish music by previous masters—music inspired by *genius*. Compositions after Beethoven—whether they were based on extrinsic text, narrative, or abstract form—represent not only the decline of compositional technique but also the decline of German musical culture writ large (Cook 1989, 420–22). Schenker’s melodies locked up in cages were canaries in a coalmine.

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<sup>23</sup> In “Der Geist der musikalischen Technik,” Schenker ([1895] 2007, 331) describes “formalism” as when a composer relies on a model, such as a Beethoven sonata, for inspiration.

<sup>24</sup> “Das Werk ist eben kein organisches Gebilde geworden, sondern nur ein Potpourri von drei Melodien, die wie in Käfigen eingesperrt scheinen” (Schenker [1905–6] 2005a, 164). Schenker’s “three melodies” are likely the first, second, and closing groups of an exposition.

<sup>25</sup> “Die meisten unserer Classikaner componiren so: sie lauern auf ihre eigene Phantasie, stellen, wie Vogelfänger, den nöthigen ‚Motiven‘ und ‚Themen‘ nach, zwingen die Themen, wenn sie welche gefunden, zu irgend einer Schönheit und leimen und kleistern bis es endlich einen Anfang, Mitte und Ende gibt, nach alten bewährten, halb verstandenen Gesetzen” (Schenker 1897; Federhofer 1990, 220).

### § 1.3. FORM'S REIFICATION IN THE NINETEENTH CENTURY

“In the beginning was content!”<sup>26</sup> Thus speaks Schenker in the preface to his monograph on Beethoven's Ninth Symphony ([1912] 1992, 4).<sup>27</sup> He describes the Ninth's opening measures as “the birthplace of the *Ur*-motif,” where a descending fifth (or fourth) is introduced and developed.<sup>28</sup> There is no better example of music born into existence (see example 1.3.1).

Having asserted content's primacy over form—and, contra Wagner, purely musical content over words and narrative—Schenker finds a new coalition to attack: theorists. He claims, “while for the genius a specific content could produce only this specific shape and none other, the theorists grasp the content a posteriori only through a form arbitrarily abstracted by them, but one in which no manner of necessity rules” (5).<sup>29</sup> Content is cause; form is effect. Content is real; form is a mere abstraction. In “Der Geist der musikalischen Technik,” Schenker even claims, “*In complex constructs . . . one hears only the content, never the form*” ([1895] 2007, 331; emphasis original).<sup>30</sup> According to this view, to reify form is to commit a grave mistake.

Form's reification was symptomatic of larger changes in the way time was conceptualized at the turn of the nineteenth century. Karol Berger (2007) describes this change using the

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<sup>26</sup> “Am Anfang war der Inhalt!” (Schenker 1912, vii).

<sup>27</sup> See Snarrenberg (1997, 2–3). Snarrenberg writes, “By replacing ‘das Wort’ of St. John's proclamation with ‘das Inhalt,’ a term that signified the work's configuration of tones as notated by the composer and authentically rendered in performance, Schenker staked his interpretive practice on the claim that there is a genuine art whose medium is tone alone.”

<sup>28</sup> “Noch überragender ist indessen die Bedeutung der Einleitung in thematischer Hinsicht; ist sie doch die Geburtsstätte des Urmotivs, das dem ersten Satz sein Gepräge gibt!” (Schenker 1912, 3–4). See Treitler (1980) for a critique of Schenker's analysis.

<sup>29</sup> “Während also beim Genie ein bestimmter Inhalt nur diese bestimmte und keine andere Gestaltung hervorbringen konnte, begreifen die Theoretiker den Inhalt a posteriori erst durch eine von ihnen willkürlich abstrahierte Form, in der aber keinerlei Notwendigkeit waltet” (Schenker 1912, viii).

<sup>30</sup> “Bei zusammengesetzten Gebilden aber hört man immer nur den Inhalt, nie ihre Form” (Schenker 1895, 326).

**EXAMPLE 1.3.1** Beethoven, Symphony no. 9 in D Minor, op. 125/i, mm. 1–15 (Schenker 1912, 4–5, fig. 2)

metaphors of “Bach’s cycle” and “Mozart’s arrow.” This dichotomy juxtaposes a cyclic conception of time with a teleological conception (e.g., the changing seasons versus Enlightenment notions of social and scientific progress).<sup>31</sup> Berger writes, “By Mozart’s time, the form of a musical work is temporal; that is, it consists of a number of phases or parts that succeed one another in a determined order” (179). This idea is illustrated by comparing two genres: fugue and sonata (8–9). A Bach fugue is embodied by the continuous permutation of its subject, whereas a Mozart sonata is embodied by the sequential disposition of its themes—a dichotomy that is reminiscent of August Halm’s *Von zwei Kulturen der Musik* (1913).<sup>32</sup> Berger therefore declares the “primacy of invention over disposition” in the fugue (99).<sup>33</sup>

Invention is a process whereby a musical idea is imagined and transformed; disposition is the arrangement of those ideas into an overall plan.<sup>34</sup> Schenker’s valuation of content over form

<sup>31</sup> The metaphors of time’s cycle and time’s arrow were originally used in Gould (1987).

<sup>32</sup> Summarizing Halm (1913), Carl Dahlhaus (1989, 124) writes, “the form in a fugue is a function of the theme; in the sonata the theme is, inversely, a function of form.”

<sup>33</sup> See Dreyfus (1996).

<sup>34</sup> These terms are closely associated with J. S. Bach’s contemporary, Johann Mattheson (McCreless 2002, 869–70); see part 2, chapter 14 of Mattheson’s *Der vollkommene Capellmeister*

might well be transposed to an eighteenth-century sensibility that values invention.<sup>35</sup> And with these terms we return to the theorists, for the evolution from subject to theme, fugue to sonata, invention to disposition, and time's cycle to time's arrow also coincides with a change in the way musical form was conceived in the late eighteenth and early nineteenth centuries.<sup>36</sup> As Mark Evan Bonds (1991, 132) observes, "the metaphor of the musical work as an oration gradually gave way to a new image, that of the biological organism."<sup>37</sup> Berger (2007, 182) describes this as a move away from Koch's *interpunctische Form* (punctuation form)—an approach that relies on cadential goals for closure—toward "the notion of thematically and tonally driven musical logic," where themes themselves become the source of "compositional originality and individuality."<sup>38</sup> This description inverts Berger's initial declaration: the primacy of invention over disposition during

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([1739] 1981). In the late eighteenth century, J. G. Sulzer defined *Erfindung* and *Anordnung* in his *Allgemeine Theorie der schönen Künste* (1771–74; trans. Baker and Christensen 1995, s.v. *invention* and *disposition*). H. C. Koch later adapted Sulzer's ideas in his *Versuch einer Anleitung zur Composition* (1782–93; see Baker and Christensen 1995, 119–30).

<sup>35</sup> This is apparent in Schenker's praise of the masterworks for their improvisational qualities. The *locus classicus* is his commentary on improvisation, form, and the music of C. P. E. Bach in *Ein Beitrag zur Ornamentik* ([1903, rev. 1908] 1976, 33–36); also see Rink (1993), Petty (1995), and Koslovsky (2010).

<sup>36</sup> Along with these changes comes a shift from solar to polar tonality. Leonard Ratner (1980, 51) writes, "Solar arrangement promotes unity of key by subordinating related degrees to the tonic and by occasional returns to the primary key. This layout lends itself to discursive, exploratory treatment of a theme, as in fugues and concertos. . . . Polar arrangement sets the dominant *against* the tonic (in minor key movements, the relative major is the opposing key)." Polar tonality is the basis for sonata form's "large-scale dissonance," which creates an expectation of resolution in the recapitulation—like an arrow shot into the future (Rosen 1988, 229, 287).

<sup>37</sup> Bonds (1991, 132–41) emphasizes that some degree of continuity exists between the emerging nineteenth-century conception of form-as-organism and the eighteenth-century conception of form-as-rhetoric. For example, Koch (1811) describes form using both organic and spatial metaphors more closely associated with later theorists, while Lobe's (1844) *thematische Arbeit* is related to rhetoric's concepts of invention and elaboration (Bonds 1991, 145, 143). The above dichotomies—while useful heuristics—are also oversimplifications (Gould 1987, 8–10).

<sup>38</sup> Koch describes punctuation form in his *Versuch* (1782–93, vol. 3). See Berger (1996) for more on this topic, especially as it relates to the analysis of Mozart's music.

the early and mid-eighteenth century becomes the primacy of disposition over invention by the early nineteenth century. It is this inversion that Schenker laments in the “Niedergang” essay.

With musical events occurring in a predictable (or even prescribed) order, emphasis on part-whole relationships consonant with organicist thought becomes possible, all while enabling form’s diagrammatic representation.<sup>39</sup> From this newfound perspective, the “paradox of musical form” emerges (Bonds 1991, 13–16). This paradox entails two conceptions of form. Bonds characterizes the first as organic-generative:

According to this outlook, the component elements of every successful work of art must articulate in a manner analogous to the constituent parts of a living organism. The process of growth within a work, moreover, must be internally motivated. The shape of an organic whole is often held to be inherent in its germinal unit, with the whole existing in the part just as the part exists in the whole. . . . Elements imposed externally upon a work do not threaten its organic unity: they destroy it. (Bonds 1991, 142)

Schenker’s critique of composers who rely on external sources for inspiration—whether word, narrative, or reified form—is a logical extension of this idea. Bonds (1991, 146) characterizes the second conception of form as mechanistic-conformational—namely, a conception that favors taxonomies abstracted from a large number of individual works. Unlike eighteenth-century approaches based on rhetoric, the conformational approach results in schemas that are inherently synchronic (147). By the end of the nineteenth century, music’s temporal flow risks becoming frozen form.<sup>40</sup> Schenker’s polemics against nineteenth-century composers and theorists rely on this projection of time into space: composers fill up pre-determined spaces with themes, while

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<sup>39</sup> Bonds (2010, 267) writes that while form was represented spatially in the early nineteenth century—e.g., Anton Reicha’s (1824–26) diagram of the *grande coupe binaire*—it was only in the early twentieth century that such representations became commonplace.

<sup>40</sup> The work of Schenker and other early-twentieth-century energeticists, such as August Halm and Ernst Kurth, is perhaps a reaction against this trend; see Rothfarb (2002).

theorists derive fixed, generic architectural plans from the masterworks.<sup>41</sup> The organic-generative approach, on the other hand, is diachronic, but potentially in two dimensions: (1) the progressive flow of a composition from beginning to end as a motive is developed; and (2) the generative growth of a composition from background to foreground.<sup>42</sup>

The conflict between the organic-generative and mechanistic-conformational conceptions of form in the first half of the nineteenth century helps to explain the contradictions that exist between Schenker's early polemical writings, which identify with the organic-generative approach, and his early analytical practice, which relies on conventional schemas characteristic of the mechanistic-conformational approach. Schenker did not dismiss the nineteenth-century *Formenlehre* tradition in its entirety; instead, through synecdoche, he represented this tradition using only its mechanistic-conformational aspects. Having dismissed previous *Formenlehren* on conformational grounds—perhaps even willfully ignoring their generative features—he grabs the organic-generative mantle for himself.

In the following subsections, I do not provide a comprehensive overview of the nineteenth-century *Formenlehre* tradition. Rather, I am concerned with influential theories and aesthetic beliefs that Schenker either incorporated into his early approach to form or rejected vociferously. This narrative is just one of many threads that lead through the long nineteenth century: from the work of A. B. Marx to midcentury theorists E. F. Richter and J. C. Lobe,

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<sup>41</sup> These arguments rely on a network of conceptual metaphors, including TIME IS SPACE (Lakoff and Johnson 1980; Zbikowski 2002). In addition to form's increasingly diagrammatic representations (Bonds 2010), most nineteenth-century *Formenlehren* rely on the *container* image schema and its related orientational metaphors (e.g., Schenker's "melodies . . . locked up in cages"). Also see Saslaw (1996, 1997–98).

<sup>42</sup> Cook (2007, 70–1) describes the latter dimension as "axial causality."



Eduard Hanslick’s formalist aesthetics, Anton Bruckner’s studies in model composition and the reception of his symphonies, and Hugo Riemann’s motives (and forms). Together these vignettes show how “form” had become increasingly reified by the late 1850s (both in theory and compositional practice), which tipped the balance in favor of the conformational over the generative. Schenker sought to correct this imbalance. He took Marx (1824a, 1824b, [1859] 1884) to task in all four explanatory editions of the late Beethoven piano sonatas (Schenker 1913, 1914, 1915, 1921). Schenker was often critical of Bruckner’s compositions in the press (Federhofer 1990). And he went to great lengths to refute Riemann’s (1889, 1:140–60) analysis of Beethoven’s Ninth Symphony (Schenker 1912). By the end of chapter 1, we will have returned to where our story began: Schenker’s polemics levied against these figures at the turn of the twentieth century.

### § 1.3.1. A. B. Marx’s “Textbook” Approach to Form

A. B. Marx’s *Formenlehre* had a profound influence on Schenker’s early thought. Both theorists regarded sonata form—the paragon of absolute music—as the most dynamic schema in a series of increasingly complex structures.<sup>43</sup> Schenker’s early *Formenlehre* also betrays Marx’s influence in other ways, including emphasis on: (1) the motive as a seed from which a composition grows;<sup>44</sup> (2) a variety of *Perioden* articulated by cadences; (3) two- and three-part *Liedformen*; and (4) three-part *Sonatenform* rather than the two-part conception that endured in

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<sup>43</sup> I thank Wayne Petty for bringing this similarity to my attention.

<sup>44</sup> For instance, Schenker’s unpublished manuscript “Der Weg zum Gleichnis” uses examples taken directly from Marx’s works. See the footnotes enclosed by square brackets in § A1.2 for these correspondences.

other nineteenth-century treatises.<sup>45</sup> But Schenker also misunderstood Marx by viewing his *Formenlehre* as rigid in its conception. Scott Burnham (1989, 247–48) writes, “what many now regard as a formulaic recipe was, in its original statement, a dynamic understanding of sonata form.” Although Marx was best known for his “textbook” approach to the genre—his *Kompositionslehre* was written for students at the University of Berlin (then the Friedrich-Wilhelms-Universität)—like Schenker, he was skeptical of formalism if taken to an extreme.

Marx expresses his aesthetic views most succinctly in “Die Form in der Musik” (1856). He claims that music is unique compared to the other arts because its content does not represent an external source: “For music stands the farthest from the appearances and language of worldly life” (Burnham 1997, 61–62).<sup>46</sup> Marx also thought that by relying on schematic forms, composers risk creating dull compositions. He asks, “Do we not regularly observe around us those wretched mediocrities . . . carrying around forms that they picked up here or there, like so many cocoons from which the butterfly, Spirit, has flown?” (58).<sup>47</sup> Marx may employ models, but they are not the lifeless schemas characteristic of later theorists; they are dynamic in their conception, whether it is the tension created by the latent problem in each rondo (first, second, etc.) solved by the next, the dynamic *Gang*, or the *Ruhe–Bewegung–Ruhe* paradigm underlying his theory.<sup>48</sup> (It is for

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<sup>45</sup> For examples of two-part sonata form in the nineteenth century, see Reicha (1824–26), Czerny (1849?), Lobe (1844; 1850–67), and Richter (1852).

<sup>46</sup> “Denn sie [Musik] steht den Erscheinungen und der Sprache des Weltlebens am fernsten, und darum bietet das Leben für sie und ihre tiefere Verständniß den schwächsten Anhalt” (Marx 1856, 26).

<sup>47</sup> “Sehn wir nicht täglich um uns her jene unseligen Mittelmäßigkeiten, die nirgend übler daran sind als in der Kunst, sich mit Formen herumtragen, die sie da oder dort ausgelesen, aus denen, wie aus seiner Verpuppung der Schmetterling, der Geist ihnen entflohn ist?” (Marx 1856, 23).

<sup>48</sup> Burnham (1989, 248) writes, “In a sadly typical historical metamorphosis, the schema Marx considered as an underlying construct [of sonata form] later became a textbook recipe for

this reason that sonata form has three parts.) Like Marx, Schenker also admits that schematic forms may have some value if they do not become too rigid. Toward the end of “Geist,” Schenker writes,

The only fruitful significance of “form” seems, in my opinion, to be this: that the mere notion of a “form” can influence the creative imagination, and that from the perspective of a model—let us say, for instance, any of Beethoven’s sonatas—the imagination can do its work. . . . Despite the fact that the majority of unoriginal composers (and even the masters themselves, often enough) take this creative path, I nevertheless consider it pointless and unproductive always to account for and identify the form before the content.<sup>49</sup> (Schenker [1895] 2007, 331)

This is not an endorsement of Marx’s compositional method *per se*, but even acknowledging that the masters composed in this manner “often enough” is quite a concession. Schenker’s example is also telling, for Marx’s *Formenlehre* is most closely associated with Beethoven’s sonatas (Burnham 1995, 69–81). Might this particular example allude to Marx’s work? If so, then Schenker is far more sympathetic toward Marx in this passage than in his later writings.<sup>50</sup>

Nonetheless, a point of disagreement between Marx and Schenker does exist. According to Marx’s pedagogical method, form is a framework used to help the student develop and shape content; or, as Burnham (1989, 251) writes, “musical content is . . . intelligible only through the agency of form.” While Schenker might tolerate this view, he would surely disagree as a matter of

constructing form: the prototypical is mistaken for the literal [i.e., form’s reification]. . . . Marx’s model was not intended as a mold but rather as a dynamic pattern.”

<sup>49</sup> “Der einzige productive Werth der ‚Form‘ scheint nämlich meiner Ansicht nach der zu sein, dass die blosse Vorstellung einer ‚Form‘ die schaffende Phantasie beeinflussen kann, und dass unter dem Gesichtspunct eines Musters, sagen wir z.B. irgend eines Sonatenmusters von Beethoven, die Phantasie ihre Arbeit liefern kann. . . . Trotzdem die Mehrzahl der nichtoriginalen Componisten und oft genug auch die Meister selbst solchen Schaffungsweg gehen, finde ich es dennoch für müßig und unproductiv, immer wieder die Form vor dem Inhalt anzusehen und zu benennen” (Schenker 1895, 326).

<sup>50</sup> It is also possible that this sentiment betrays Brahms’s influence, with whom Schenker was acquainted. See Gustav Jenner’s ([1905] 2009, 411) account of how Brahms encouraged him to carefully study and emulate Beethoven’s sonatas in particular.

generative theory (or even metaphysics). Content has its own agency. Thus, Marx's position can be inverted to formulate Schenker's own: *form is intelligible only through the agency of content*. This is true of Schenker's early polemics—and a better summation of his late *Formenlehre* is hard to imagine—but whether he is able to substantiate this view through a generative mechanism that accounts for content's agency remains to be seen. Having reached this impasse, I introduce important theoretical concepts in Marx's *Formenlehre* and foreshadow their influence on Schenker.

In his most famous treatise, Marx (1837–47) distinguishes between two fundamental forms (*Grundformen*): *Satz* and *Gang*.<sup>51</sup> The *Satz* is harmonically closed and self-sufficient, whereas the *Gang* is associated with the continuous development of a motive (or motives).<sup>52</sup> Although motivic development plays an important role in Schenker's early *Formenlehre*, he does not have a *Gang*-like equivalent; all sections that compose full-movement forms are *Satz*-like in their conception.<sup>53</sup> Thus, Schenker's full-movement forms introduced in chapter 3 (see example 3.1.1, p. 158) conflate Marx's rondo and song forms: like Marx's rondo forms, they are increasingly complex, culminating in sonata form; but like Marx's song forms, they comprise only *Satz*-like units.

Example 1.3.2 shows a *Satz* as a self-sufficient, ascending melodic idea labeled *a*. A descending *Satz* labeled *b* answers this idea. Together these *Sätze* compose a higher-order structure, which Marx calls a *Periode*. They are interdependent due to their balanced contours (ascending then descending), creating *Satz* and *Gegensatz* (or *Vordersatz* and *Nachsatz*). However,

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<sup>51</sup> Marx regards the *Periode* as equal in rank to the *Satz* and the *Gang*, although the *Periode* is already a compound form comprising two *Sätze*.

<sup>52</sup> The *Gang* is often considered harmonically open, but it can end with a perfect authentic cadence. This is often the case with the *Gang* located between the *Seitensatz* (SS) and the *Schlußsatz* (SZ) in sonata-form expositions and recapitulations; see example 1.3.8(d), p. 24.

<sup>53</sup> Perhaps the only exception to this claim is the development section in Schenker's early conception of sonata form.

**EXAMPLE 1.3.2** A *Periode* with *Vordersatz* (a) and *Nachsatz* (b) (Marx [1837] 1846, 1:29, fig. 7)



**EXAMPLE 1.3.3** A *Periode* divided into three levels: *Satz* (A, B), *Abschnitt* (a, b), and *Glied* (c–i) (Marx [1837] 1846, 1:52, fig. 56)

as example 1.3.3 shows, *Perioden* can embed more than two levels of form (or grouping). In this case, a *Periode* comprises *Vordersatz* (A) and *Nachsatz* (B), the *Vordersatz* comprises two *Abschnitte* (a and b), and each *Abschnitt* comprises two *Glieder* (c and d, and e and f respectively). The *Nachsatz* comprises three *Glieder* (g, h, and i), with g and h together balancing the length of i.<sup>54</sup> Meanwhile, Schenker's motivic-formal analyses in *Harmonielehre* (1906) and other early writings never clearly articulate interacting levels of form in quite this way.

The two *Sätze* making up a *Periode* are also related harmonically. In example 1.3.4, a *Vordersatz* ends with a half cadence (*Halbschluss*); a *Nachsatz* ends with an authentic cadence (*Ganzschluss*). Although prototypical, the *Periode* is not limited to this cadential ordering (e.g., a

<sup>54</sup> Regarding example 1.3.3, Marx ([1837] 1846, 1:52) writes, “1. in Vorder- und Nachsatz (A, B) theilen, der Vordersatz 2. in zwei Abschnitte (a, b), jeder Abschnitt 3. in zwei, so wie der Nachsatz ebenfalls in drei Glieder (c und d, e und f, g, h und i),—welche letztere übrigens dadurch ebenmässig vertheilt werden, dass das letzte (i) so lang ist, als die beiden vorhergehenden (g und h) zusammengenommen.”

**EXAMPLE 1.3.4** A *Periode* schema: *Vordersatz* ending with a half cadence; *Nachsatz* ending with a perfect authentic cadence (Marx [1837] 1846, 1:62, fig. 72)



*Ganzschluss* can be followed by another *Ganzschluss*). Marx also writes that *Sätze* may be chained together in a variety of other ways:

The period is the first compound form and the second song form after the *Satz*. It consists primarily of two internally unified *Sätze*, which are called antecedent [*Vordersatz*] and consequent [*Nachsatz*]—or it can consist of more: two antecedents and a consequent, an antecedent and two consequents, two antecedents and two consequents, etc.<sup>55</sup> (Burnham 1997, 73)

Schenker’s conception of the *Periode* is equally flexible: the relationship between *Vorder-* and *Nachsatz* is based on a proposition–response paradigm rather than any prescribed cadential or thematic relationships.

Marx demonstrates how a two–part form (*zweitheilige Form*) emerges from the *Periode* in example 1.3.5. In the first *Theil* (mm. 1–8), the *Vordersatz* ends with an imperfect authentic cadence (m. 4), while the *Nachsatz* ends with a half cadence (m. 8). In the second *Theil*, the *Vordersatz* ends with a half cadence (m. 12), while the *Nachsatz* ends with a perfect authentic cadence (m. 16). The half cadence in m. 8 leaves the first *Theil* harmonically open, making it dependent on the second *Theil*, although this reverses the typical cadential ordering in a *Periode*. In this situation, the imperfect authentic cadence in m. 4 is used to create variety without providing

<sup>55</sup> “Die Periode ist die erste zusammengesetzte Kunstform, und nach dem Satze die zweite Liedform. Sie besteht aus zwei oder mehr innerlich einheitvollen Sätzen,—zunächst aus zweien, die *Vordersatz* und *Nachsatz* heißen, dann aus zwei *Vordersätzen* und einem *Nachsatz*, einem *Vorder-* und zwei *Nachsätzen*, zwei *Vorder-* und zwei *Nachsätzen* etc.” (Marx 1856, 35).

**EXAMPLE 1.3.5** A schema for *zweitheilige Form* (Marx [1837] 1846, 1:68, fig. 85)



**EXAMPLE 1.3.6** A derivation of *dreitheilige Form* from *zweitheilige Form* (Marx [1837] 1846, 1:72)

<b>Ruhe.</b>		<b>Bewegung.</b>		<b>Ruhe.</b>	
<b>Erster Theil.</b>		<b>Zweiter Theil.</b>			
<b>Vordersatz.</b>	<b>Nachsatz.</b>	<b>Vordersatz.</b>	<b>Nachsatz.</b>	<b>Vordersatz.</b>	<b>Nachsatz.</b>
4 Takte.	4 Takte.	4 Takte.	4 Takte.	4 Takte.	4 Takte.
<b>Erster Theil.</b>	<b>Zweiter Theil.</b>	<b>Dritter Theil.</b>			
8 Takte.	8 oder 16 Takte.	8 Takte.			
Ruhe.	Bewegung.	Ruhe.			

complete closure, since three half cadences in succession would become monotonous.

Example 1.3.6 shows how Marx derives three-part form from two-part form through the *Ruhe–Bewegung–Ruhe* paradigm. The first part's *Vordersatz* is doubled in length (8 *Takte*) to create a new *Periode*. The first part's *Nachsatz* and the second part's *Vordersatz* are fused together, while the second part's *Nachsatz* is also doubled in length. As a result, the first and third parts share similar thematic elements ( $a_1-b-a_2$ ). Schenker's conception of three-part form and its derivation from two-part form is quite similar to Marx's, although Schenker relies more on a contrasting key to distinguish the *b* section from the two *a* sections that bookend it (see § 3.2.3).

Two- and three-part forms are the basic building blocks for Schenker's full-movement forms. Combining two two-part forms creates a four-part form, combining two three-part forms with an elision creates a five-part form, and combining two three-part forms creates a six-part form. But in contrast to Schenker's process of creating larger structures from relatively tight-knit

**EXAMPLE 1.3.7** A *Satzkette*: W. A. Mozart's Piano Sonata in F Major, K. 332/i, mm. 1–22  
(Marx [1845] 1848, 265, exx. 310, 311; trans. Burnham 1997, 113–14, exx. 4.19, 4.20)

*Satzkette/Hauptpartie* (mm. 1–22)  
*Periode* (mm. 1–12)  
*Vordersatz* I:HC *Nachsatz*

**Allegro**  
*p* *cresc.*

11 I:AC *f* *p* *New Satz* *New Satz*

17 I:AC *Cadence* *Cadence*

*Sätze*, Marx includes looser constructions in his *Formenlehre*.<sup>56</sup> These occur as more diffuse groups, which Marx describes as *Satzketten* (*Satz-chains*) rather than *Perioden* or *Theile*:

The *Satz-chain* is a succession of *Sätze* that indeed belong to each other by dint of mood, the ordering of harmonic progressions, linking and mediating members, and common motives, but are not fused into a necessary unity through the firmly uniting periodic form.<sup>57</sup> (Burnham 1997, 112)

<sup>56</sup> The terms *tight knit* and *loose knit* are taken from Caplin (1998, 84–86).

<sup>57</sup> “*die Satz-kette, eine Folge von Sätzen, die zwar durch Stimmung, durch Modulationsordnung, durch verbindende Mittelglieder, durch gemeinsame Motiv zu einander gehören, nicht aber durch die fest einende Periodenform zu einer nothwendigen Einheit verschmolzen sind*” (Marx [1845] 1848, 3:263–64).



This is remarkably similar to Schenker's concept of *Gruppenbildung*); as I show in § 2.5, both theorists recognized that a single key (*Tonart*) can unify a variety of melodic ideas.<sup>58</sup>

To illustrate this idea, example 1.3.7 (shown above) reconstructs an analysis of Mozart's K. 332/i.<sup>59</sup> Marx suggests that two interpretations of mm. 1–12 are possible: either a single *Satz* or a *Periode*. According to the latter analysis (which he seems to favor), mm. 1–4 compose a *Vordersatz* that ends with a half cadence (despite the tonic pedal), while mm. 5–12 compose a *Nachsatz* that ends with a perfect authentic cadence. A new *Satz* begins in m. 12 and concludes with an authentic cadence in m. 16. A varied repetition of this idea follows (mm. 16–20), with confirmation of the authentic cadence in mm. 20–22. Marx writes,

That the last *Satz* [m. 13ff.] belongs to the main *Satz*, regardless of the full close that precedes it [m. 12], is shown at first by the identity of key and still more decisively by the further course of the composition, which we will consider later. Yet the designation *main Satz* seems neither reasonable nor applicable here; the designation *main group* [*Hauptpartie*] would more appropriately epitomize everything up to the subsidiary *Satz*, or the *subsidiary group* [*Seitenpartie*].<sup>60</sup> (Burnham 1997, 114; emphasis original)

In his early work, Schenker also relies on key areas to unify sections rather than themes (i.e., melodic ideas) or motives *per se*. Even in his work from the mid-1920s, he relies primarily on keys as a determinant of form rather than spans of transformational voice leading and the composing-

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<sup>58</sup> See *Ein Beitrag zur Ornamentik* (Schenker [1903, rev. 1908] 1976, 27–31) and § 2.4.

<sup>59</sup> The following discussion summarizes Marx's analysis of K. 332/i (Marx [1845] 1848, 3:265; trans. Burnham 1997, 113–14).

<sup>60</sup> “Dass aber der letzte Satz [m. 13ff.] ungeachtet des vorhergehenden vollkommnen Abschlusses zum Hauptsatze gehört, zeigt zunächst die Gleichheit der Tonart, dann noch entschiedner der weitere Verlauf der Komposition, den wir später zu betrachten haben werden. Nur erscheint hier die Benennung Hauptsatz nicht füglich noch anwendbar; man würde passender die Benennung Hauptpartie für den Inbegriff alles bis zum Seitensatz oder zur Seitenpartie Gegebenen brauchen” (Marx [1845] 1848, 3:265).

out of deep-level *Stufen*.<sup>61</sup> For example, Schenker's diverse groups unified by a single key function as the main components of a sonata-form exposition in particular—an observation that leads us to the disposition of themes in this complex schema.

Example 1.3.8 outlines Marx's rondo forms, including the derivation of two-part sonatina form (sonata form without development) and three-part sonata form from the fifth rondo.<sup>62</sup> In Example 1.3.8(a), the first rondo's *Hauptsatz* (*HS*)–*Gang* (*G*)–*HS* layout corresponds to Marx's *Ruhig–Bewegung–Ruhig* paradigm. The second rondo becomes more differentiated with the added *Seitensatz* (*SS*). While Marx states that the *HS* and *SS* can occur in the same key, he prefers a change in key (or mode) to distinguish these sections. The third rondo brings yet another *Seitensatz* (*SS.2*), and along with it, another iteration of the *HS–SS–G* pattern. Marx describes *SS.1* as an attempt to depart from the main *HS*, while *SS.2* is an even more dramatic attempt. The extra rhetorical weight of *SS.2* and its recency in the listener's mind requires a return of *SS.1* so that the listener does not forget it, resulting in the fourth rondo.

Yet the fourth rondo presents a new problem: *SS.1*, which was lighter in character than *SS.2*, concludes the entire movement. Marx introduces the fifth rondo to correct this imperfection. This rondo's three-part layout (again a manifestation of the *Ruhig–Bewegung–Ruhig* paradigm) is shown in example 1.3.8(b). A *Schlußsatz* (*SZ*) is added at the end of the *HS–SS–G* pattern to create a greater sense of rhetorical closure at the end of part III (this *SZ* also provides closure at the end of part I). In the fourth rondo, the *HS* is repeated three times, which risks monotony. However, since part I ends with a *SZ*, the *HS* in part II may be deleted. As a result,

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<sup>61</sup> In particular, see the correspondences between the parts of the form and the key areas in Schenker's analysis of Haydn's Piano Sonata in G Minor, Hob. XVI: 44/i, from "Vom organischen der Sonatenform" (Schenker [1926] 1996, 24, fig. 1b; see example 4.3.4, p. 338).

<sup>62</sup> The following discussion is based on Marx (1856, 39–43; trans. Burnham 1997, 78–83).

**EXAMPLE 1.3.8** Rondo forms, sonatina form, and sonata form (Marx 1856, 39–43; trans. Burnham 1997, 78–83; see Burnham 2002, 888)

**(A)** Rondo forms

First rondo:	$HS - G - HS$
Second rondo:	$HS - SS - G \frown HS$
Third rondo:	$HS - SS.1 - G \frown HS - SS.2 - G \frown HS$
Fourth rondo:	$HS - SS.1 - G \frown HS - SS.2 - G \frown HS - SS.1$
Fifth rondo:	$HS - SS.1 - G - SZ - SS.2 - G \frown - HS - SS.1 - G - SZ$

**(B)** The fifth rondo (three-part layout with expected keys)

I.	II.	III.
$HS - SS.1 - G - SZ$	$SS.2 - G$	$HS - SS.1 - G - SZ$
$C \text{ dur} \quad G \text{ dur} \quad G \text{ dur}$	$C \text{ moll}$	$C \text{ dur} \quad C \text{ dur} \quad C \text{ dur}$
	$E \text{ moll}$	
	$Es \text{ dur}$	
$A \text{ moll} \quad C \text{ dur} \quad C \text{ dur}$	$F \text{ dur}$	$A \text{ moll} \quad A \text{ moll} \quad A \text{ moll}$
	$F \text{ moll}$	$(A \text{ dur}) \quad (A \text{ dur})$
	$As \text{ dur}$	

**(C)** Sonatina form (two-part layout)

I.	II.
$HS - SS.1 - G - SZ$	$HS - SS.1 - G - SZ$

**(D)** Sonata form (three-part layout)

I.	II.	III.
$HS - SS.1 - G - SZ$	<i>Durcharbeitung</i>	$HS - SS.1 - G - SZ$

the first *SZ* rushes headlong into *SS.2*. (Without this first *SZ*, the form would have a *SS.1–G* pattern leading awkwardly to yet another *SS*.) Finally, Marx derives sonatina form and sonata form from the fifth rondo. Sonatina form, shown in example 1.3.8(c), is the product of deletion: part II in the fifth rondo is deleted, which leaves only two iterations of *HS–SS.1–G–SZ*. On the other hand, sonata form restores a three-part layout in example 1.3.8(d), with the *Durcharbeitung* replacing the fifth rondo's second large part. (This section develops material from the first part of the form while also working through different keys.)

Like Marx, Schenker couched his early *Formenlehre* in language that mixes energetics with psychology: as content proliferates, each form urges for further development; repetitions compensate for some imperfection in a previous form or are necessitated by the psychological principles that underlie our ability to remember music and make associations. With a similar combination of energetics and psychology as their basis, many concepts in Schenker's early *Formenlehre* can ultimately be traced back to Marx. These include the organic development of motives to generate *Sätze* articulated by cadences (usually authentic or half); the combination of *Sätze* into tight-knit structures of a higher order (e.g., the *Periode*, *zweiteilige Form*, and *dreitheilige Form*); the reliance on key areas to unify a more diverse group of ideas (as in Marx's *Satzkette*); and the progression of full-movement forms from simple to complex, culminating in sonata form. Both theorists thought that pre-existing forms could stimulate a composer's imagination, although Schenker did so with far more trepidation.

§ 1.3.2. Classicists from Anton Reicha to J. C. Lobe and E. F. Richter

Not long before Marx had completed his *Die Lehre von der musikalischen Komposition* (1837–47) while in Berlin, Johann Christian Lobe had published his *Compositions-Lehre* (1844) in Weimar.<sup>63</sup> Lobe understood form as melody punctuated by cadences and adhered to a two-part conception of sonata form rather than Marx’s three.<sup>64</sup> These “classical” features ally Lobe—and Ernst Friedrich Richter to some extent—with theorists from the second half of the eighteenth century. However, Lobe’s greatest influence was Anton Reicha—a longtime friend of Beethoven and the composition teacher of Berlioz and Liszt (among others). Carl Czerny (1832–34?) compiled Reicha’s first three treatises—including the *Traité de mélodie* (1814), the *Cours de composition musicale* (1818), and the *Traité de haute composition musicale* (1824–26)—into a dual-language edition that included the original French and a parallel German translation, making these works available to Lobe in his native language.<sup>65</sup>

Reicha’s *Traité de mélodie* was particularly influential on Lobe’s *Formenlehre*.<sup>66</sup> Reicha ([1814] 2000, 13) writes, “melody requires a *theory of rhythm; a theory of resting points, or cadences; the art of connecting and developing ideas* so as to create a whole; and a *knowledge of periods and their inter-relationships*.”<sup>67</sup> Although he focused on melody, Reicha’s approach was intimately connected with a theory of form (melody punctuated by cadences at various hierarchical levels). He also emphasized symmetry and proportion: a *période*, which must conclude with either an authentic

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<sup>63</sup> For an introduction to Lobe’s *Formenlehre*, see Moyer (1969, 145–57).

<sup>64</sup> Lobe and Richter did not use Marx’s term *Sonatenform*; instead, they described it as *die erste Form des Quartetts* or *der erste Satz einer Sonate* respectively.

<sup>65</sup> There is no evidence that Schenker knew Reicha’s works, even in translation.

<sup>66</sup> See Baker (1992) for an introduction to Reicha’s *Traité de mélodie*.

<sup>67</sup> “la Mélodie exige *la théorie du rythme; celle des points de repos ou cadences; l’art d’enchaîner et de développer des idées pour en faire un tout; la science des périodes et de leurs réunions entr’elles*” (Reicha 1814, 9; emphasis original).

**EXAMPLE 1.3.9** A *péri ode* comprising three *membres* (Czerny 1832–34?, 2:368, ex. J; see Reicha 1814, 2, ex. J)

cadence or a three-quarter cadence (an authentic cadence in a key other than the primary key), comprises two or more *rhythmes*. *Rhythmes*, which are anywhere between two and eight measures in length, may be strung together in succession and must conclude with at least a half cadence. *Rhythmes* may also be subdivided into smaller *dessins* (figures). In example 1.3.9, shown above, Reicha divides a *péri ode* into three *membres* (or *rhythmes*). The first two *membres* end with half cadences; the third *membre* ends with an authentic cadence. Each *membre* comprises two *dessins*. It is within this framework that Reicha describes “the development of a motif . . . and the composition of well-proportioned melodic phrases and periods with the resulting material.”<sup>68</sup>

In example 1.3.10(a), Reicha analyzes the *Thème ou Motif*, subdividing it into thirteen *dessins*. (A *motif* should not be confused with a traditional motive, which is equivalent to Reicha’s *dessin*.) From one or two of these *dessins*, Reicha generates the ten *péri odes* shown in example 1.3.10(b). He then combines these *péri odes* to create a composition (not shown).

<sup>68</sup> See Reicha ([1814] 2000, 80; emphasis added to match the original). “Qui a pour but de développer un motif . . . et de faire avec la matière qui en résulte des phrases et des périodes mélodiques bien rythmées” (Reicha 1814, 81).

EXAMPLE 1.3.10 Reicha's *thème* and ten related *péri odes*

(A) Reicha's *thème* divided into *dessins* (Czerny 1832–34?, 2:523; see Reicha 1814, 53, ex. J, no. 7)

Tempo di minuetto.

Thème ou Motif.  
Thema oder Motif.

1<sup>re</sup> fois.  
1<sup>re</sup> mal.

2<sup>de</sup> fois.  
2<sup>de</sup> mal.

(B) Related *péri odes* derived from the *dessins* identified above (Czerny 1832–34?, 2:523–24, ex. K, nos. 1–10; see Reicha 1814, 53–54, ex. K<sup>5</sup>, nos. 1–10)

N<sup>o</sup> 1. { Période faite avec le 1<sup>er</sup> et le 2<sup>e</sup> dessin du motif précédent.  
Periode aus dem 1<sup>ten</sup> und 2<sup>ten</sup> Umris des vorhergehenden Motifs gebildet.

N<sup>o</sup> 2. { Période faite avec le 4<sup>ème</sup> et le 5<sup>ème</sup> dessin du même motif.  
Periode aus dem 4<sup>ten</sup> und 5<sup>ten</sup> Umris desselben Thema gebildet.

N<sup>o</sup> 3. { Période faite avec le 5<sup>ème</sup> et le 10<sup>ème</sup> dessin du même motif.  
Periode aus dem 5<sup>ten</sup> und 10<sup>ten</sup> Umris desselben Motifs gebildet.

N<sup>o</sup> 4. { Période faite avec le 3<sup>ème</sup> et le 10<sup>ème</sup> dessin du même motif.  
Periode aus dem 3<sup>ten</sup> und 10<sup>ten</sup> Umris desselben Motifs gebildet.

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N<sup>o</sup> 5. { Période faite avec le 6<sup>ème</sup> dessin du même motif.  
Periode aus dem 6<sup>ten</sup> Umris desselben Thema gebildet.

N<sup>o</sup> 6. { Période faite avec le 8<sup>ème</sup> et le 9<sup>ème</sup> dessin du même motif.  
Periode aus dem 8<sup>ten</sup> und 9<sup>ten</sup> Umris desselben Thema gebildet.

N<sup>o</sup> 7. { Période faite avec le 13<sup>ème</sup> petit-dessin du même motif.  
Periode aus dem 13<sup>ten</sup> kleinen Umrisse desselben Thema gebildet.

N<sup>o</sup> 8. { Période faite avec le 7<sup>ème</sup> petit dessin du même motif.  
Periode aus dem 7<sup>ten</sup> kleinen Umrisse desselben Thema gebildet.

N<sup>o</sup> 9. { Période faite avec le 12<sup>ème</sup> dessin du même motif.  
Periode aus dem 12<sup>ten</sup> Umris desselben Thema gebildet.

N<sup>o</sup> 10. { Période faite avec le 11<sup>ème</sup> dessin du même motif.  
Periode aus dem 11<sup>ten</sup> Umris desselben Thema gebildet.

Lobe describes a similar method of melodic composition as *thematische Arbeit*. In this case, he finds the instrumental music of Haydn, Mozart, and Beethoven particularly instructive.<sup>69</sup> Indeed, Lobe and Schenker were kindred spirits—even if Schenker would never dare admit it. For example, in the “Niedergang” typescript Schenker ([1905–6] 2005a) concluded that the instrumental music of the First Viennese School represented an apex in music history because this repertoire was based on motivic development originating from an improvisational impulse inspired by genius. (And, as we saw earlier, he claimed that this apex was soon followed by a precipitous decline.) Schenker also used many of Lobe’s terms related to form, adopted Lobe’s terms and definitions for what constitutes a cadence (although Schenker’s innovative concept of the *Stufe* complicates this matter), and copied the layout of Lobe’s form diagrams. Moreover, while Schenker surely knew Marx’s *Kompositionslehre*, it is also possible that Schenker encountered Lobe’s work through his studies with Bruckner (see § 1.3.4 below).<sup>70</sup>

Example 1.3.11 demonstrates *thematische Arbeit* and its relationship to the *Periode*.<sup>71</sup> Here a theme from Haydn’s *London* Symphony is generated, which Lobe (1844, 3–5) then divides into its constituent parts. He begins with an *Urgestalt*: an eight-measure *Gedanke* (idea) composed entirely of whole notes on A<sub>4</sub>. Yet this idea lacks tonal and rhythmic interest. Rhythmic interest is added at stage 2, although a unified whole is not achieved because each measure contains a different rhythmic figure.<sup>72</sup> (Although Lobe often restricted his motives to the space between two bar lines,

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<sup>69</sup> Reicha, on the other hand, claimed that his work applied equally to instrumental or vocal music.

<sup>70</sup> Bruckner’s own training included studying *Formenlehren* by Lobe (1850–67, vols. 1 and 2) and Richter (1852).

<sup>71</sup> For more on Lobe’s approach to melodic composition, see Trippett (2013, 117–29).

<sup>72</sup> “Es ist zu grosse Mannichfaltigkeit darin, jeder Takt hat eine andere rhythmische Figur, und der Gedanke ist nicht als ein Ganzes zu erfassen” (Lobe 1844, 3).



**EXAMPLE 1.3.11** Haydn, Symphony no. 104 in D Major, Hob. I:104/iv, mm. 3–10 (Lobe 1844, 3–5, exx. 1–9; see Trippett 2013, 122, ex. 2.5)

*achttaktige Gedanke (Urgestalt)*

Stage 1 [ex. 1]

*nicht als ein Ganzes*

Stage 2 [ex. 2]

*Aehnlichkeit, Wiederholung*

Stage 3 [ex. 3]

*ein unsymmetrisches Herumschweifen der Töne*

Stage 4 [ex. 4]

**Allegro spiritoso**

Haydn's Thema [ex. 5]

*Satz*

Analysis 1 [ex. 6]

*Abschnitt*

Analysis 2 [ex. 7]

*Motiv*

Analysis 3 [ex. 8]

*Periode*

*Satz 1*

*Satz 2*

*Abschnitt 1*

*Abschnitt 2*

*Abschnitt 3*

*Abschnitt 4*

*Motiv 1*

*Motiv 2*

*Motiv 3*

*Motiv 4*

*Motiv 5*

*Motiv 6*

*Motiv 7*

*Motiv 8*

Analysis 4 [ex. 9]

**EXAMPLE 1.3.12** W. A. Mozart, Symphony no. 40 in G Minor, K. 550/i, mm. 1–9 (Lobe 1844, 8, ex. 22)

The musical score consists of two staves. The top staff begins with the tempo marking 'Allegro molto' and the dynamic marking 'p'. The melody is written in a treble clef with a key signature of two flats (B-flat and E-flat). The bottom staff is in a bass clef. Both staves show measures 1 through 9, with slurs and accents indicating phrasing and emphasis. The piece concludes with a double bar line.

he also allowed motives to cross the bar line; see example 1.3.12.) Stage 3 provides a synthesis of unity (*Einheit*) and variety (*Mannichfaltigkeit*) created through similarity (*Aehnlichkeit*) and repetition (*Wiederholung*). Measures 1–2 are parallel to mm. 5–6 (labeled *a*), while mm. 3–4 are parallel to mm. 7–8 (labeled *b*). As a result, mm. 1–4 are parallel to mm. 5–8 (labeled *c*).<sup>73</sup> Stage 4 offers one attempt to achieve tonal variety, which stage 3 lacked. However, Lobe describes stage 4 as “an asymmetrical rambling-about of tones.”<sup>74</sup> The appropriate balance between unity and variety is finally achieved at stage 5—the theme as Haydn composed it. Lobe divides this theme into its constituent parts: the eight-measure *Periode* divides into two four-measure *Sätze* (see analysis 1); each *Satz* divides into two two-measure *Abschnitte* (see analysis 2); and each *Abschnitt* divides into two one-measure *Motive* (see analysis 3). These terms are identical to those used by Marx (cf. example 1.3.3, p. 18), although this may be due to their use in Czerny’s translation of Reicha. The entire *Periode* is shown in example 1.3.11 as analysis 4.

<sup>73</sup> “Der erste, zweite, fünfte und sechste Takt gleichen sich; eben so der dritte und siebente; eben so der vierte und achte. Oder vergleicht man zwei und zwei Takte miteinander, so zeigen sich 5 und 6 als Wiederholungen von 1 und 2; 7 und 8 als Wiederholung von 3 und 4. Auch vier zu vier betrachtet, erscheint die zweite Abtheilung als eine Wiederholung der ersten” (Lobe 1844, 4).

<sup>74</sup> “Hier [stage 4] finden wir jedoch denselben Fehler im tonischen Element, wie oben im rhythmischen, nämlich ein unsymmetrisches Herumschweifen der Töne, weshalb uns der Gedanke auch so nicht anspricht” (Lobe 1844, 4).

Yet *thematische* (or *motivische*) *Arbeit* goes far beyond what we find in this relatively simple theme. Example 1.3.13 shows many transformations of Haydn's initial motive categorized according to whether they affect the pitch or the rhythm. For example, *Vorsetzung* transposes a motive to other *Stufen* (see pitch 1). *Verengerung* contracts an interval (or intervals) within a motive (see pitch 2). *Erweiterung* expands an interval (or intervals) within a motive (see pitch 3). *Verkehrung* inverts an interval (see pitch 4). *Vergrößerung* enlarges a motive's rhythm proportionally (see rhythm 1), while *Verkleinerung* reduces a motive's rhythm proportionally (see rhythm 2). These transformations can be combined (e.g., a motive might undergo *Vorsetzung* and *Vergrößerung*). Other mutations (*Umbildungen*) are also possible: a motive might be broken off (*Abreißen*) or broken off and repeated (see *Umbildung* 1); a new submotive (*Glied*) might be added to an existing submotive (see *Umbildung* 2); or a motive might undergo further variation (see *Umbildung* 3).

These transformations are all based on a model undergoing some varied repetition. This is made explicit in Lobe's *Lehrbuch der musikalischen Komposition* ([1850–67, vol. 1] 1858).<sup>75</sup> Example 1.3.14 illustrates how the opening theme from a Beethoven string quartet contains four individual motives.<sup>76</sup> Lobe then composes four new themes by sequencing each of them. He also creates themes that incorporate two of the original motives (e.g., *Motive* 1 and 2) or one original motive plus a new idea. This sequencing can either be strict (*strenge Sequenz*) or free (*freie Sequenz*), and it can operate at higher formal levels. For instance, example 1.3.15(a) shows how an

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<sup>75</sup> Schenker describes a model-copy paradigm in § 4 of *Harmonielehre* and in his earlier manuscript “Der Weg zum Gleichnis” (see appendix 1). In part IV of the latter, he describes this paradigm in the terms of *Vorbild* and *Gegenbild*.

<sup>76</sup> These motives create a single *Satz* (mm. 1–4) subject to varied repetition (not shown).

**EXAMPLE 1.3.13** Transformations of a motive (Lobe 1844, 15–19, exx. 56–59, 62, 64, 66–68, 70, 74, 76, 78)

Haydn's Motiv  
[ex. 56]

Pitch 1  
[ex. 57] *Versetzung* (transposition) usw.

Pitch 2  
[exx. 58, 59] *Verengering* (contraction) usw.

Pitch 3  
[ex. 62] *Erweiterung* (expansion) usw.

Pitch 4  
[ex. 64] *Verkehrung* (inversion) usw.

Rhythm 1  
[exx. 66, 67] *Vergrößerung* (enlargement) oder usw.

Rhythm 2  
[ex. 68] *Verkleinerung* (reduction) usw.

Umbildung 1  
[exx. 70, 74] *Abreißen or Wiederholung von Motivgliedern* (the breaking off or repetition of a submotive) usw.

Umbildung 2  
[ex. 76] *ein neues Glied* (a new submotive) usw.

Umbildung 3  
[ex. 78] *Variierung...durch reichere Figuren* (variation...through enriched figures) usw.

**EXAMPLE 1.3.14** Beethoven, String Quartet in F Major, op. 59, no. 1/i, theme (Lobe [1850–67, vol. 1] 1858, 252–53, 255, 257–58, exx. 714–18, 726, 733–39)

Beethoven's  
Thema [ex. 714]

Allegro

Motiv 1

Motiv 2

Motiv 3

Motiv 4

Motiv 1  
[ex. 715]

Motiv 2  
[ex. 716]

Motiv 3  
[ex. 717]

Motiv 4  
[ex. 718]

Motive 1 and 2  
[ex. 726]

Motive 1 and 3  
[ex. 733]

Motive 1 and 4  
[ex. 734]

Motive 2 and 3  
[ex. 735]

Motive 2 and 4  
[ex. 736]

Motive 3 and 4  
[ex. 737]

Motive 3 and 1  
[ex. 738]

Motive 1 and neues  
[ex. 739]

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**EXAMPLE 1.3.15** Model and sequence (Lobe [1850–67, vol. 1] 1858, 20–21, exx. 56a, 57a, 58)

**(A)** *Abschnitt als Modell*

strenge Sequenz [ex. 56a]

Satz

Abschnitt als Modell strenge Sequenz

F: 1 5 1 4 1 1 5 1 4 1

freie Sequenz [ex. 57a]

Satz

Modell freie Sequenz

F: 1 5 1 4 1 1 4 5 1 5

**(B)** *Satz als Modell*

[ex. 58]

Periode

Satz als Modell freie Sequenz

D: 1 5 1 4 1 5 1 4 1 4 1 5 1

*Abschnitt* subject to either strict or free sequencing creates a *Satz*, while example 1.3.15(b) shows how a *Satz* subject to free sequencing creates a *Periode*.<sup>77</sup>

Although eight measures is the prototypical length, the *Periode* can be shortened or lengthened from anywhere between six and thirteen measures (Lobe 1844, 78–81).<sup>78</sup> This might

<sup>77</sup> Here Lobe indicates *Stufen* with Arabic numerals.

<sup>78</sup> Lobe ([1850–67, vol. 1] 1858, 292–95, 325) describes *Perioden* that are six to twelve measures long (although one *Periode* is fifteen measures; see example 1.3.18, p. 43). Richter (1852, 22, ex. 36) also analyzes a *Periode* from Mendelssohn's *Hebrides* Overture that is twenty measures.

be accomplished in one of four ways (see example 1.3.16). Example 1.3.16(a) shows *Verengerung* (constriction): the eighth measure of a *Periode* overlaps with the first measure of a new *Periode*. Because Lobe privileges the *beginning* of each *Periode*, the first *Periode* is seven measures long rather than eight. This grouping is unusual because—assuming that Lobe would hear an authentic cadence, as I have indicated using Roman numerals below the *ossia* staff—it severs the tonic chord concluding the first *Periode* from its preceding dominant. In other words, the grouping cuts across the syntax of the authentic cadence.<sup>79</sup> *Perioden* can also be truncated through *Wegnehmen* (deletion). In example 1.3.16(b), mm. 7 and 8 of an eight-measure *Periode* are deleted; this shows how Lobe hears Haydn’s six-measure *Periode* in relation to an eight-measure prototype (see the *ossia* staff). On the other hand, example 1.3.16(c) shows how a *Periode* can undergo *Erweiterung* (expansion). In this case, the *Periode* is nine measures long, perhaps due to the repetition of the initial motive. Finally, example 1.3.16(d) shows how *Wiederholung* (repetition) and *Einschaltung* (insertion) together result in a twelve-measure *Periode*. Repeating the opening *Abschnitt* (although not exactly) creates two additional measures, while inserting this *Abschnitt* in mm. 7–8 has the same effect.

By 1846 both J. C. Lobe and E. F. Richter were living in Leipzig: Lobe had begun working on his *Lehrbuch* (1850–67), while Richter taught at the Conservatory and later published *Die Grundzüge zur musikalischen Setzkunst und ihre Analyse* (1852).<sup>80</sup> As its title suggests, Richter’s treatise was far more concise. Initially forgoing a description of *thematische Arbeit*, Richter focused more on the relationship between form and cadence instead.

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<sup>79</sup> This is a feature of Schenker’s early *Formenlehre* as well; see § 2.4.2.

<sup>80</sup> For an introduction to Richter’s *Grundzüge*, see Moyer (1969, 158–66).

**EXAMPLE 1.3.16** Modifying the *Periode* (Lobe 1844, 78–80, exx. 233–34, 236–38, 241)

**(A)** *Verengerung* (constriction): Haydn's Symphony no. 104 in D Major, Hob. I:104/iv, mm. 323–30 (winds)

[ex. 233] Musical score for measures 233 and 234. Measure 233 contains measures 1, 2, 3, 4, and 5. Measure 234 contains measures 7 and 8. Dynamic markings include *sf* and *p*. Phrasing is indicated by brackets and numbers 1 through 5. A *usu.* marking is present at the end of measure 234.

**(B)** *Wegnehmen* (deletion): Haydn's Symphony no. 104 in D Major, Hob. I:104/iv, mm. 291–98 (violins)

[ex. 237] Musical score for measure 237, containing measures 1 and 2. Dynamic marking is *f*.  
 [ex. 236] Musical score for measure 236, containing measures 1 through 8. Dynamic markings include *f* and *sf*. Phrasing is indicated by brackets and numbers 1 through 8. A *usu.* marking is present at the end of measure 236. The score ends with an ellipsis and further phrasing markings.

**(C)** *Erweiterung* (expansion): Haydn's Symphony no. 104 in D Major, Hob. I:104/iv, mm. 330–38 (winds)

[ex. 238] Musical score for measures 238 and 239. Measure 238 contains measures 1 through 4. Measure 239 contains measures 5 through 9. Dynamic markings include *f*, *sf*, and *ff*. Phrasing is indicated by brackets and numbers 1 through 9.



## EXAMPLE 1.3.16 CONTINUED

(D) *Wiederholung* and *Einschaltung* (repetition and insertion): Haydn's Symphony no. 104 in D Major, Hob. I:104/iv, mm. 108–21 (flutes and violins)

The musical score consists of two staves. The top staff is for Flutes I and II, starting at measure 108. It shows a melodic line with dynamics *sf* and markings for 'Abschnitt' (measures 1-4) and 'Einschaltung' (measures 6-7). The bottom staff is for Flute I and Violins I and II, starting at measure 108. It shows a melodic line with dynamics *p* and markings for 'Flute I' (measures 9-11) and 'Violins I and II' (measures 12-13).

Table 1.3.1 outlines Richter's (1852) cadence types and compares them to the descriptions found in Lobe (1844).<sup>81</sup> Both theorists describe a cadence as an event that comprises two chords (usually ending a *Satz* or a *Periode*).<sup>82</sup> The *Ganzschluss* (authentic cadence) occurs when a V or V<sup>7</sup> chord resolves to I. A *vollkommenen Ganzschluss* (perfect authentic cadence) occurs when both chords are in root position and the tonic chord ends with  $\hat{1}$  in the melody.<sup>83</sup> An *unvollkommenen Ganzschluss* occurs when at least one chord is inverted (although both can be inverted), when the melody ends with  $\hat{3}$  or  $\hat{5}$  over the tonic, or when there is some combination of chord inversion and melodic incompleteness.<sup>84</sup> A *plagalische Schluss* (plagal cadence) occurs when IV resolves to I (both in root position), while Lobe specifies that  $\hat{1}$  should occur over the final tonic. A *Halbschluss*

<sup>81</sup> The Roman numerals in table 1.3.1 and the following discussion represent chords in either the major or minor mode (in the minor mode, the dominant has a major quality).

<sup>82</sup> Richer (1852, 4, ex. 7) distinguishes between two-chord *Cadenzen* and *erweiterte Cadenzen* (enlarged cadences). The latter are better suited to close large sections of a composition; enlarged cadences can involve at least seven individual chords.

<sup>83</sup> Lobe's *Lehrbuch* ([1850–67, vol. 1] 1858, 175) gives additional instructions: to sound most conclusive, the second chord in a *Ganzschluss* should fall on the strong part of the measure (more specifically, the tonic should fall on the downbeat of a measure).

<sup>84</sup> Likewise, Schenker does not require that a *Ganzschluss* involve root-position chords; see § 2.4.3 and table 2.4.1, p. 126.

**TABLE 1.3.1** Lobe and Richter's cadence types (Lobe 1844, 75–76; Richter 1852, 2–4; cf. table 2.4.1, p. 126)

<i>Schluss</i>	<b>Lobe (1844)</b>	<b>Richter (1852)</b>
<i>Ganzschluss</i>	(A) <i>vollkommenen Ganzschluss</i> : $V^{(7)}-I$ , melody ends with $\hat{1}$ over I  (B) <i>unvollkommenen Ganzschluss</i> : $V^{(7)}-I$ , melody ends with $\hat{3}$ or $\hat{5}$ over I, or at least one chord is inverted (or some combination of both)	(A) <i>vollkommenen Ganzschluss</i> : $V^{(7)}-I$ , melody ends with $\hat{1}$ over I  (B) <i>unvollkommenen Ganzschluss</i> : $V^{(7)}-I$ , melody ends with $\hat{3}$ or $\hat{5}$ over I, or at least one chord is inverted (or some combination of both)
<i>plagalische Schluss</i>	IV–I, melody ends with $\hat{1}$ over I	IV–I
<i>Halbschluss</i>	X–V, where X is some other chord	X–V, where X is some other chord
<i>Trugschluss</i>	$V^{(7)}-X$ , where X is some chord other than the tonic	$V^{(7)}-X$ , where X is some chord other than the tonic

(half cadence) occurs when some chord (indicated here using the variable X) leads to a root-position V triad. (Neither Lobe nor Richter show an example of a half cadence ending with a  $V^7$  chord.) A *Trugschluss* (deceptive cadence) occurs when a V or  $V^7$  chord resolves to a chord other than the tonic, making it a broader category than V resolving to VI. Richter (1852, 6) specifies that the first *Abschnitt* (equivalent to Marx's *Satz*) in a *Periode* should usually end with an imperfect authentic cadence, plagal cadence, or a half cadence, whereas the second *Abschnitt* should end with a perfect authentic cadence.

At the next hierarchical level, *Perioden* articulated by cadences combine into a larger complex that Richter (1852, 17–26) calls a *Periodengruppe*, while multiple *Periodengruppen* combine to create a *Theil* (a large part of the overall form). In Lobe's *Lehrbuch* ([1850–67, vol. 1] 1858, 344), *Perioden* also combine to create various *Gruppen* (e.g., a *Themagruppe* or a *Gesanggruppe*). In example 1.3.17(a), Lobe shows how, in the first movement of a Beethoven string quartet, the opening *Themagruppe* comprises two *Perioden*: the first is an eight-measure *Modellperiode*; the second is a twelve-measure *Sequenzperiode*. Example 1.3.17(b) shows the first movement of

**EXAMPLE 1.3.17** *Themagruppen* (Lobe [1850–67, vol. 1] 1858, 344–46, exx. 907–8)

(A) *Themagruppe* with two *Perioden*: Beethoven's String Quartet in G Major, op. 18, no. 2/i, mm. 1–20 (violin I)

erste Periode (Modell)  
**Allegro**

Violin I  
 [based on ex. 907]

zweite Periode (freie Sequenz)

9

15

*f* *p* *f* *p* *cresc.* *f* *p*

(B) *Themagruppe* with three *Perioden*: Beethoven's String Quartet in F Major, op. 18, no. 1/i, mm. 1–29 (violins I and II)

erste Periode (Modell)  
**Allegro con brio**

Violins I and II  
 [based on ex. 908]

Violin I

F: 1 4 5 1 2 1 5

zweite Periode (Sequenz)

9

Violins I and II Violin I

*f* *p* <> <> *cresc.*

dritte Periode (Sequenz)

19

Violin I Violin II

*p* *sf* *sf* *sf* *sf* *f*

[Verengung?]

25

*sf* *sf* *sf* *f*

another Beethoven quartet. Here the opening *Themagruppe* comprises three *Perioden*: the first is an eight-measure *Modellperiode*, the second is a twelve-measure *Sequenzperiode*, and the third is an eight-measure *Sequenzperiode*. While Lobe indicates that all three *Perioden* are in F major, the third one does not include its final tonic—perhaps he hears a *Verengerung* (constriction) in mm. 28–29.

Table 1.3.2 compares the disposition of *Periodengruppen* in what Lobe and Richter both describe as “first-movement form” (sonata form). First-movement form comprises two *Theile*. The first *Theil* comprises four *Gruppen*. Although Lobe and Richter label them differently, these *Gruppen* have equivalent functions.<sup>85</sup> Adopting Lobe’s ([1850–67, vol. 1] 1858, 315–16) descriptions, the *Themagruppe* (theme group) establishes the primary key and the primary melodic material.<sup>86</sup> For first movements in the major mode, an *Übergangsgruppe* (transition group) begins in the primary key, modulates to the key of the dominant, and ends with a half cadence. A *Gesangsgruppe* (song group) and a *Schlussgruppe* (closing group) follow in the key of the dominant. For first movements in the minor mode, the *Gesang-* and *Schlussgruppe* are set in the relative major (the *Übergangsgruppe* would presumably end with a half cadence in the same key). Lobe states that while the *Übergangs-*, *Gesang-*, and *Schlussgruppe* can all introduce *neue Gedanken* (new ideas), the *Gruppen* in the second *Theil* cannot. Instead, the *Mittelsatzgruppe* (the beginning of the second *Theil*) develops the themes heard previously. Here *thematische Arbeit* comes to the fore.<sup>87</sup> The

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<sup>85</sup> However, Richter (1852, 33) characteristically places more emphasis on the cadence that ends each group.

<sup>86</sup> Lobe (1844, 134–35) uses the same terminology to describe first-movement form in his earlier treatise.

<sup>87</sup> Compared to Lobe, Richter (1852, 35, ex. 46) includes one additional section in the second *Theil*: the *Verbindungssatz* that follows the *Durchführungsperioden* proper. This section prepares for the *Repetition*. According to Richter’s example, taken from Mozart’s K. 533, this preparation is achieved by securing the dominant of the primary key.

**TABLE 1.3.2** First-movement form (Lobe [1850–67, vol. 1] 1858, 315–16; Richter 1852, 27–39; see Grandjean 2001, 75, ex. 13)

<b>Lobe ([1850–67, vol. 1] 1858)</b> <i>die erste Form des Quartetts</i>	<b>Richter (1852)</b> <i>der erste Satz einer Sonate</i>
<p style="text-align: center;"><b>erster Theil</b></p> <ol style="list-style-type: none"> <li>1. Themagruppe</li> <li>2. Übergangsgruppe</li> <li>3. Gesanggruppe</li> <li>4. Schlussgruppe</li> </ol>	<p style="text-align: center;"><b>erster Theil</b></p> <ol style="list-style-type: none"> <li>1. Periodengruppe: erster Hauptgedanke</li> <li>2. Periodengruppe: Verbindungs- or Übergangsperioden</li> <li>3. Periodengruppe: zweiter Hauptgedanke</li> <li>4. Periodengruppe: Schlussgruppe or Schlusssatz</li> </ol>
<p style="text-align: center;"><b>zweiter Theil</b></p> <ol style="list-style-type: none"> <li>5. Mittelsatzgruppe</li> <li>6. Repetition: der Wiederholung der Gruppen . . . des ersten Theiles</li> <li>7. Anhang</li> </ol>	<p style="text-align: center;"><b>zweiter Theil</b></p> <ol style="list-style-type: none"> <li>1. Durchführungsperioden</li> <li>2. Verbindungssatz</li> <li>3. Wiederholung des ersten Hauptgedankens</li> <li>4. Verbindungssatz</li> <li>5. Wiederholung des zweiten Hauptgedankens</li> <li>6. Schlusssätze or Schlussperioden</li> </ol>

*Repetition* section, which returns to the primary key, recapitulates the first *Theil* with the necessary tonal adjustments. For movements in the major mode, the *Gesanggruppe* and *Schlussgruppe* are set in the primary key; for movements in the minor mode, the *Gesanggruppe* is usually set in the parallel major, while the *Schlussgruppe* can be set in either mode. Unlike Richter, Lobe also includes an *Anhang* (coda).

Example 1.3.18 shows Lobe's form diagram for the first movement of Beethoven's String Quartet in G Major, op. 18, no. 2. Each *Periode* is listed according to its length (in measures) and the keys through which it moves (upper case indicates major keys; lower case indicates minor keys). The braces indicate that two or more *Perioden* have been yoked together to create a *Gruppe*. For example, in the first *Theil*, the *Thema-* and *Gesanggruppe* each comprise two *Perioden*, the *Übergangsgruppe* comprises one *Periode* and one freestanding *Satz*, and the *Schlussgruppe* comprises three *Perioden* and one *Satz*. The *Mittelsatzgruppe* moves through ten different keys and comprises

**EXAMPLE 1.3.18** Lobe's *erste Form des Quartetts*: Beethoven, String Quartet in G Major, op. 18, no. 2/i (Lobe [1850–67, vol. 1] 1858, 325)

	<i>Allegro, G dur, 2/4.</i>
	Erster Theil.
1. Themagruppe.	8 — G.
	12 — G.
2. Uebergangsgruppe.	11 — G — e — D — d.
	4 — d.
3. Gesangsgruppe.	8 — D — e — D.
	7 — D — e — h.
	10 — h — e — D — h — e — D.
	7 — D.
4. Schlussgruppe.	10 — D, mit kleinen eingeschalteten Ausweichungen.
	4 — D.
	Zweiter Theil.
	4 — d.
	15 — d — B — c — Es.
	4 — Es.
5. Mittelsatzgruppe.	7 — Es — As — B.
	10 — B — b — f — b — g.
	8 — g — c — a — d.
	11 — d — G.
	4 — G.
	[Repetition.]
6. Themagruppe.	12 — G.
	4 — G.
	9 — G — d — a — e.
7. Uebergangsgruppe.	9 — E — e — G — D.
	8 — G — D — e — D.
8. Gesangsgruppe.	8 — G — a — G.
	7 — G — a — e.
	10 — e — a — G — e — a — G.
	7 — G.
9. Schlussgruppe.	10 — G, mit kleinen eingeschalteten Ausweichungen.
	4 — G.
10. Anhang.	8 — G — C — e — G.
	8 — G.

five *Perioden* ranging from seven to fifteen measures long (plus three *Sätze*). Although Lobe emphasizes the importance of the eight-measure *Periode*, it is clear that he uses this prototype flexibly in analysis.

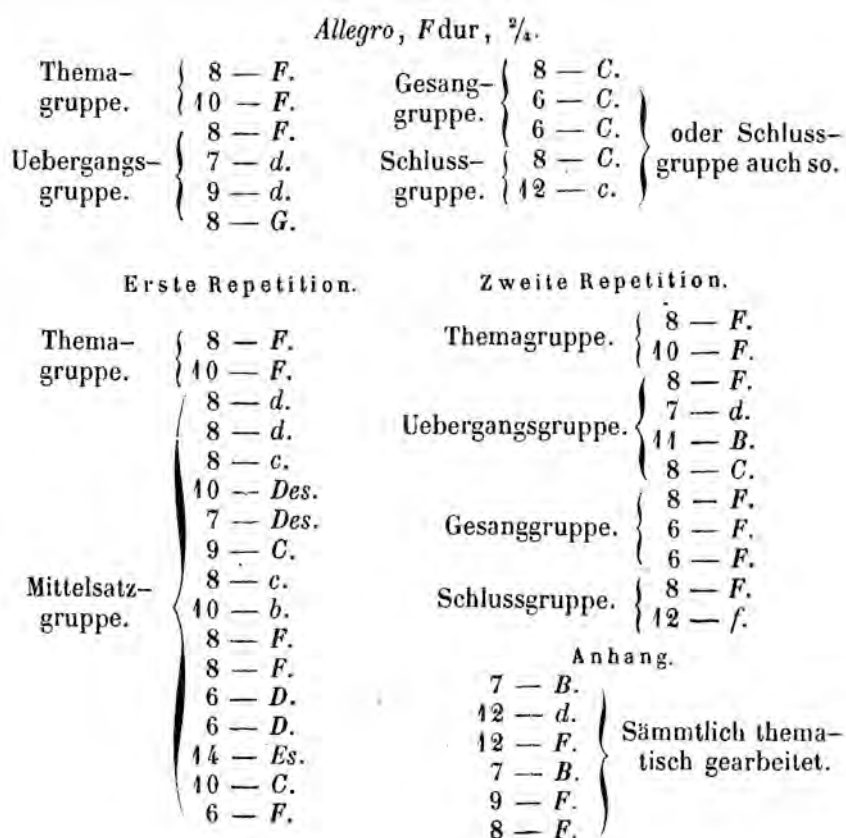
Example 1.3.19 shows an example of Lobe's rondo form. This form begins with the same initial *Theil* (comprising four *Gruppen*) found in table 1.3.2 and example 1.3.18, although there are two *Repetition* sections rather than one. (It is in this context that we might better understand why "sonata form" has two *Theile* rather than three.) The first *Repetition* includes the *Themagruppe* and an expansive *Mittelsatzgruppe*. The second *Repetition* is based on the first *Theil*, with the *Gesanggruppe* and *Schlussgruppe* set in the primary key followed by an *Anhang*.

Lobe's concept of *thematische Arbeit*, which perhaps derives from Reicha, had a profound influence on Schenker, whose early *Formenlehre* was animated by the instrumental motive and its development. Schenker also adopted Lobe and Richter's terminology and definitions for what constitutes a cadence. But unlike these theorists, Schenker did not regard the eight-measure *Periode* as prototypical—at least he never stated this directly. He was, however, deeply concerned with the length of *Perioden*, not only counting the measures in each, but using these numbers to represent weak and strong measures similar to the modern concept of hypermeter. The *Gruppe* and its formation through *Gruppenbildung*—a hallmark of sonata form in particular—was also integral to his early conception of form.<sup>88</sup> Although Schenker did not divide sonata form into two large *Theile*, nor did he divide the first *Theile* into four *Gruppen*, the layout of his form diagrams in the explanatory editions of the late Beethoven piano sonatas is quite similar to that of Lobe's

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<sup>88</sup> *Gruppenbildung*, which Schenker considered sonata form's defining feature, is described in § 2.5. This concept was introduced in *Ein Beitrag zur Ornamentik* ([1903, rev. 1908] 1976).

**EXAMPLE 1.3.19** Lobe's rondo form: Beethoven, String Quartet in F Major, op. 18, no. 1/iv (Lobe [1850–67, vol. 1] 1858, 332)



diagrams (Schenker 1913, 1914, 1915, 1921).<sup>89</sup> Example 1.3.20 illustrates: Schenker lists the large parts of the form for Beethoven's Piano Sonata in E Major, op. 109/ii, in order along the left side of the diagram, while measure numbers (or the length of *Perioden* in Lobe's diagrams) are given along the right side. Schenker also used a variant of Lobe's term *Themagruppe* and a variant of Richter's term *zweiter Hauptgedanke* (or II. *Gedanke*), along with Lobe's braces to indicate that the

<sup>89</sup> Schenker divides sonata form into three large parts, while the exposition also divides into three parts following Bruckner's later practice.



**EXAMPLE 1.3.20** Schenker’s diagram of Beethoven’s Piano Sonata in E Major, op. 109/ii (Schenker 1913, 36)

I. Themengruppe:		
(drei Teil-	$\left. \begin{array}{l} \text{a) } \\ \text{b) } \\ \text{c) } \end{array} \right\}$	T. 1—8
gedanken)		T. 9—24
		V. S.: T. 25—28
Modulation:	N. S.: T. 29—32	
II. Gedanke:		T. 33—56
III. Gedanke:		T. 57—69
Durchführung:		T. 70—104
Reprise:		T. 105—177

*Themengruppe* comprises the small *a*, *b*, and *c* sections, while the *c* section comprises a *Vorder-* and *Nachsatz* (this *Nachsatz* also functions as the *Modulationspartie*, or transition).

### § 1.3.3. Interlude: Hanslick, Wagner, and the “Lost Art of Hearing”

Eduard Hanslick and Heinrich Schenker shared much in common. Both studied law: Hanslick in Prague, Schenker in Vienna.<sup>90</sup> Both were pianists who later became music critics: Hanslick writing for Vienna’s *Neue Freie Presse*, Schenker writing for a variety of German-language periodicals (Federhofer 1990). And both were connected to Brahms’s circle, often defending Brahms against his critics. At first Brahms was unreceptive to Hanslick’s *Vom Musikalisch-Schönen*—even describing its contents as “stupid” in an 1856 letter to Clara Schumann (Litzmann 1927, 1:168)—although after making Hanslick’s acquaintance, Brahms wrote a warm letter that praised the pamphlet (Avins 1997, 284). Brahms even dedicated his op. 39 waltzes to

<sup>90</sup> For more on Schenker’s legal training, see Alpern (1999, 2012).

Hanslick a few years later. Schenker, on the other hand, had met Brahms on numerous occasions between 1894 and 1896. His influence on Schenker cannot be overstated.<sup>91</sup>

Given these mutual connections to Brahms's circle, Schenker corresponded with Hanslick regarding plans to write a "Geschichte der Melodie." Hanslick replied with a postcard that expressed his enthusiasm for the project (Federhofer 1985, 12–13).<sup>92</sup> The following year, Schenker published his first major theoretical statement, "Der Geist der musikalischen Technik," accompanied by an editor's note stating that it was part of a larger manuscript in progress. "Geist" was likely intended as an introduction to the "Geschichte der Melodie" (Federhofer 1895, 12): it begins with melody's origins, traces music's evolution from local repetitions (i.e., motives) to the rise of polyphony, describes how harmony is derived from melody, and ends with a discussion of large forms. The "Geist" essay's conclusion is indeed a fitting point of departure for the more detailed history that would follow.<sup>93</sup>

*the intrinsic nature of music is to create melodies which live together peaceably, like folksongs, like familial relations, and which, like the first humans in paradise, can frolic naked and unclothed in the paradise of music. But, of course, when music donned fig leaves and became Art, people began to keep track of how large a structure one can actually weld together; one melody established a homestead, as it were, and then whole families came along, and a dense population that, unfortunately, is not subject to the law of Malthus!—It is only because of this, I think, that people today, as in the past, turn their awareness of externals toward the artificial proliferation of melodies in a single movement, and yet feel themselves drawn above all and most intensely to the melodies themselves, which seem to be the intrinsic nature of music.*<sup>94</sup> (Schenker [1895] 2007, 332; emphasis original)

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<sup>91</sup> See Schenker (1933) and Karnes (2005).

<sup>92</sup> What follows is based on Cook (2007, 48–62).

<sup>93</sup> Schenker's unpublished essay, "Der Weg zum Gleichnis," was also likely intended to be part of the "Geschichte" project (see appendix 1).

<sup>94</sup> "die eigentliche Natur der Musik ist Melodien zu schaffen, die, wie die Volkslieder, frei und unabhängig mit einander leben, familienähnlich und versöhnlich, und die, wie die ersten Menschen im Paradies, nackt und unbekleidet im Paradies der Musik sich herumtummeln können. Ja, da die Musik Feigenblätter anlegte und zur Kunst geworden, begann

Hanslick ([1854] 1986, 69) likewise claimed, “melody is the jumping-off point, the life, the original artistic manifestation of the realm of sound; all additional determinations, all inclusion of content, are tied to it” in *Vom Musikalisch-Schönen*.<sup>95</sup> Regarding Schenker’s “Geschichte” project, “it makes sense that Hanslick would have been interested in the idea,” observes Nicholas Cook (2007, 49).

Hanslick ([1854] 1986, 80), like Schenker, also denied form’s independent status, writing, “In music there is no content as opposed to form, because music has no form other than the content.”<sup>96</sup> Hanslick even thought that forms—although he uses this term in a broad sense—risk becoming tired clichés:

There is no art which wears out so many forms so quickly as music. Modulations, cadences, intervallic and harmonic progressions all in this manner go stale in fifty, nay, thirty years, so that the gifted composer can no longer make use of them and will be forever making his way to the discovery of new, purely musical directions. Without inaccuracy we may say, of many compositions which were outstanding in their own day, that once upon a time they were beautiful.<sup>97</sup> (Hanslick [1854] 1986, 35; quoted in Cook 2007, 48)

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man zu zählen, wie viel Gebilde man eigentlich zusammenschweissen kann, eine Melodie gründete sozusagen einen Herd, und es kamen Familien und eine dichte Bevölkerung, für die es leider kein Malthus-Gesetz gibt!—Nur darum glaube ich, ist man heute noch wie früher mit äusserlicher Aufmerksamkeit auf die künstliche Vermehrung der Melodien in Einem Satz gespannt und fühlt sich vor Allem doch am intensivsten hingezogen zu den Melodien selbst, die die eigentliche Natur der Musik zu sein scheinen” (Schenker 1895, 326).

<sup>95</sup> Quoted in Cook (2007, 49). “Die Melodie aber ist, mit Krüger zu sprechen, ‚der springende Punkt,‘ das Leben, die erste Kunstgestalt des Tonreichs, an sie ist jede weitere Bestimmtheit, alle Erfassung des Inhalts geknüpft” (Hanslick 1854, 84).

<sup>96</sup> “Bei der Tonkunst giebt es keinen Inhalt gegenüber der Form, weil sie keine Form hat außerhalb dem Inhalt” (Hanslick 1854, 99).

<sup>97</sup> “Es gibt keine Kunst, welche so bald und so viele Formen verbraucht, wie die Musik. Modulationen, Cadenzen, Intervallenfortschreitungen, Harmonienfolgen nützen sich in 50, ja 30 Jahren dergestalt ab, daß der geistvolle Componist sich deren nicht mehr bedienen kann und fortwährend zur Erfindung neuer, rein musikalischer Züge gedrängt wird. Man kann von einer Menge Compositionen, die hoch über den Alltagsstand ihrer Zeit stehen, ohne Unrichtigkeit sagen, daß sie einmal schön waren” (Hanslick 1854, 41).

This sentiment—expressed just as the *Formenlehren* of Marx, Lobe, and Richter were emerging—is a further sign of form’s reification at midcentury. Hanslick’s claim is notable, however, because it represents a *conscious awareness* of this trend. The result was a self-perpetuating cycle: as forms became increasingly standardized, theorists were able to codify them with greater precision; but as these schemas were widely disseminated, this led to an even more standardized compositional practice. And while Schenker accepted Hanslick’s premise, he rejected Hanslick’s conclusion:

Each and every content that was fresh at one time was also endowed, self-evidently, with its own distinctive expressiveness. After this content has passed through the heads of many subsequent imitators and auditors, it degenerates into a familiar idiom, because one no longer needs to concentrate on its novelty or attend to it carefully. . . . In conjunction with these idioms, which seem to bring about a depreciation of expressive value, the preconception arises that content routinely loses expressiveness over time, and people become accustomed to saying, metaphorically, that contents expire and pass away. But I think differently. Each and every content retains the power which it had originally, and it is up to us to perceive this vitality anew.<sup>98</sup> (Schenker [1895] 2007, 330; cited in Cook 2007, 48)

By valuing form over content, (derivative) compositions become lifeless, but by valuing content over form, compositions can never lose their expressive power. Yet there were good reasons why listeners could not recapture the vitality of the masterworks anew. Schenker faults Wagner for “the inexorable destruction of the musical ear”:<sup>99</sup>

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<sup>98</sup> “Ein jeder Inhalt, der in einer gewissen Zeit neu gewesen, war selbstverständlich mit einem eigenen Ausdruck begabt. Nachdem dieser Inhalt durch die Köpfe vieler Nacherfindenden und Nachempfindenden gegangen, verblasste er zu einer bekannten Redensart, weil man ihm weder eine neue Aufmerksamkeit, noch ein dauerndes Interesse mehr zu widmen brauchte. . . . Gegenüber solchen Redensarten nun, die scheinbar ein Sinken des Ausdruckswerthes verursachen, regt sich das Vorurtheil, es gehe dem Inhalt mit der Zeit der Ausdruck von selbst ganz verloren, und man pflegt poetisch zu sagen, es sterben und vergehen die Inhalte. Ich aber denke anders. Es behält ein jeder Inhalt die Kraft, die er einst hatte, und es ist nur an uns, diese Kraft wieder neu zu fühlen” (Schenker 1895, 326).

<sup>99</sup> “Mit dieser aber nimmt die Destruktion des musikalischen Ohres immer und immer mehr zu” (Schenker [1905–6] 2005a, 212).

Custom has done its part in making the offense almost indiscernible. We have learned to come to terms with the individual parts, and to give up the demands of tonality and unity; we have become so demoralized that, for the undoubtedly great enjoyment that this or that passage elicits on account of its indisputable beauty, we confer gratitude upon the whole work of art, despite the fact that our great masters were so generous as to give us works whose value resides not in an individual passage but in the whole. We have repeatedly grown accustomed to following the individual motives with the same instinct with which we would otherwise follow a banal operatic melody, while at the same time we show little interest in the less significant connective materials. Even in the Wagnerian sense it was always just the melody that captivated the ear of the layman; the rest fell victim to inattentiveness. There arose in this way an unhealthy, almost intermittent attentiveness, i.e. the opposite to that artistic listening that always took—and still takes—as given that our masterworks are complete organisms in themselves. In other words, in conceding Wagner his principle, *we have lost the art of hearing continuously and artistically*.<sup>100</sup> (Schenker [1905–6] 2005a, 114; emphasis mine)

At the turn of the twentieth century, Schenker contends that the masterworks themselves have not diminished; rather, *pace* Hanslick, what has diminished is the ability of listeners to perceive the masterworks as organic wholes. Only by rejecting the formalist compositions of Berlioz, Liszt, Wagner, and their imitators can the musical ear—and musical culture—be restored.

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<sup>100</sup> “Die Gewohnheit hat das ihrige dazugetan, um das Uebel fast unkenntlich zu machen. Man hat es gelernt, mit den einzelnen Teilchen sich ab[zu]finden, die Forderung nach einer Tonalität, nach einer Einheit abzugeben[;] man liess sich soweit demoralisieren, für den unzweifelhaft hohen Genuss, den diese oder jene Stelle kraft ihrer wirklichen Schönheit auslösen muss, die Dankbarkeit auf das ganze Kunstwerk zu übertragen, trotzdem unsere grossen Meister so gütig waren, uns Werke zu schenken, deren Wert nicht blos in einer einzelnen Stelle, sondern im Ganzen ruht. Vielfach hat man sich auch angewöhnt, den einzelnen Motiven mit demselben Instinkt zu folgen, wie man einer banalen Opernmelodie sonst folgt, während man für die unbedeutenderen Verbindungsglieder ein geringeres Interesse zeigte. Wenn auch im Wagnerischen Sinne, war es doch immer wieder die Melodie, die das Ohr des Laien anzog, während der Rest Opfer der Unaufmerksamkeit wurde. Es entstand solchermassen eine ungesunde[,] gleichsam intermitti[e]rende Aufmerksamkeit, also das Gegenteil jenes künstlerischen Hörens, die unsere Meisterwerke als in sich vollendete Organismen stets vorausgesetzt haben und noch voraussetzen. Mit anderen Worten: indem man Wagner sein Prinzip konzedierte, hat man verlernt[,] fortlaufend und künstlerisch zu hören” (Schenker [1905–6] 2005a, 212).

It is in this context that Schenker launches his attacks against Anton Bruckner—one so-called imitator who combined Wagner’s style with symphonic conventions. Schenker thought that the consequences were severe: “Blinded by the success of Wagner’s music and driven to imitate him in the means with which he was able to conjure such a success, [composers] took so much trouble to get inside the sound of his music that, unfortunately, they thereby lost their powers of listening” (114).<sup>101</sup> But there would be no compromise. “Niedergang” ends with an ultimatum: “Beethoven oder Wagner?”<sup>102</sup>

#### § 1.3.4. Bruckner and the Consequences

Two strains of intellectual vulgarity:  
 defenselessness against content and  
 defenselessness against form. . . .  
 In which hell would the artist prefer to fry?

—Karl Kraus, *Heine und die Folgen* (1910)

As the nineteenth century drew to a close, an aesthetic debate raged: How should Bruckner’s symphonies be received?<sup>103</sup> The Brahms partisans thought that Bruckner’s music was based on an errant Wagnerian style that aped symphonic conventions. For example, Hanslick writes the following in his review of the Eighth Symphony:

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<sup>101</sup> “Geblendet vom Erfolg der Wagnerischen Musik und bestrebt[,] die Mittel ihm nachzumachen, mit denen er einen solchen Erfolg hervorzuzaubern gewusst hat, haben sie in seine Werke so hineinzuhören sich bemüht, dass sie leider auch ihre Ohren darüber verloren haben” (Schenker [1905–6] 2005a, 212).

<sup>102</sup> See Schenker ([1905–6] 2005a, 220). As Drabkin notes, this question was the original title of the “Niedergang” essay (129n100). Also, compare this title with “Rameau oder Beethoven,” in the third volume of *Das Meisterwerk in der Musik* (Schenker [1930] 1997, 1–9).

<sup>103</sup> See Korstvedt (2004, 170–72) for a summary of this reception history.

I found this newest one, as I have found the other Bruckner symphonies, interesting in detail but strange as a whole and even repugnant. The nature of the work consists—to put it briefly—in applying Wagner’s dramatic style to the symphony. . . . [Thus, e]verything flows, without clarity and without order, willy-nilly into dismal longwindedness. . . . It is not out of the question that the future belongs to this muddled hangover style [*traumverwirrten Katzenjammerstil*]<sup>104</sup>—which is no reason to regard the future with envy. (Hanslick [1896] 1950, 303–4)

Critics sympathetic to these views described Bruckner’s music as formless (*formlos*), a term which, as Benjamin Korstvedt (2004, 170) writes, “referred in part to matters—including novelties of harmony, syntax, and motivic work—that are not aspects of ‘form’ in the modern sense, as well as to Bruckner’s divergence from conventional *Formenlehre* paradigms.” By the turn of the century this sentiment had become so pervasive that Bruckner’s ardent supporters, such as Karl Grunsky (1908) and Max Kiel (1902), began to mount a defense. Kiel addressed the issue directly in “Ist Bruckner Formlos?” His answer was no: if Bruckner’s music seems formless, it is the listener’s fault. Meanwhile, some Wagnerians “felt that Bruckner’s symphonies were all too formal in their reliance on traditional symphonic models, both in their four-movement schemes and in the sonata form of individual movements” (Korstvedt 2004, 171). Rudolf Louis thought Bruckner was a “slave” to conventional form.<sup>105</sup> Regarded as both incoherent and schematic, Bruckner’s synthesis of Wagnerian content with conventional forms appeased neither side—an artist’s hell indeed.

Schenker attacked Bruckner on both fronts, although he championed Hanslick’s cause in

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<sup>104</sup> “Diese neueste hat mich, wie alles, was ich von Burcknerschen Symphonien kenne, in Einzelheiten interessiert, als Ganzes befremdet, ja abgestoßen. Die Eigenart dieser Werke besteht, um es mit einem Worte zu bezeichnen, in der Übertragung von Wagners dramatischem Stil auf die Symphonie. . . . Alles fließt unübersichtlich, ordnungslos, gewaltsam in eine grausame Länge zusammen. . . . Es ist nicht unmöglich, daß diesem traumverwirrten Katzenjammerstil die Zukunft gehört—eine Zukunft, die wir nicht darum beneiden” (Hanslick [1896] 1971, 190–91).

<sup>105</sup> “Bruckner oft geradezu sklavisch sich unter die konventionelle Form beugt” (Louis 1893, 103; quoted in Korstvedt 2004, 171).

particular, even reviewing many of the same works.<sup>106</sup> Schenker, of course, had also studied harmony and counterpoint with Bruckner at the Vienna Conservatory from 1887 to 1889 (Federhofer 1985, 5–6). Although critical of Bruckner’s music, Schenker remained fond of his former teacher, as we learn in a letter written to Karl Grunsky in 1908:

For, you see, when I had Bruckner as a teacher at the Conservatory, I loved him tremendously because of his genuine piety. It reminded me of the piety of my own father who . . . was filled with genuine religiosity. I enjoyed nothing as much about him as the strength of faith. Transplanted from the province into the horrid big city, it was a relief for me to find such faith again in Bruckner—particularly in a composer—full of wonderful effects. I felt it, gratefully, in light of the fate granted me to see what strength of faith that follows the path of art, and thought of the genuinely God-fearing Haydns, Bachs, Beethovens, etc.<sup>107</sup>

And in an earlier letter, we learn that Schenker even admired aspects of Bruckner’s compositions:

I have always evaluated Bruckner’s themes more highly than all invention of all other composers (<sup>that</sup> of a Brahms, Dvořák, Wolf excepted, of course), and so it remains still today. The gap from Bruckner to the others is so great that they don’t even deserve to be mentioned alongside of him.<sup>108</sup>

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<sup>106</sup> Schenker’s reviews are reprinted in Federhofer (1990, 41–42, 57–61, 197–205).

<sup>107</sup> “Denn, sehen Sie, als ich Bruckner am Conservatorium zum Lehrer hatte, liebte ich ihn maßlos wegen seiner—echten Frömmigkeit, diese erinnerte mich an die Frömmigkeit meines eigenen Vaters, der, trotzdem er Arzt war . . . u. nichts genoß ich an ihm so sehr, als die Kraft des Glaubens. In die entsetzliche Großstadt aus der Provinz verpflanzt, war es mir eine Wohltat, bei Bruckner—zumal einem Komponisten—den Glauben, voll[*corr*] wunderbarer Wirkungen, wieder anzutreffen. Ich empfand es dankbar gegen das Schicksal, das mir vergönnt hat, zu sehen, welche Kraft im Glauben steckt, die den Weg der Kunst geht, u. dachte an die echt gottesfürchtigen Haydn’s, Bach’s, Beethoven’s, etc.” (incomplete letter draft from Schenker to Grunsky, undated, ca. September 23–December 31, 1908; see Schenker Documents Online; transcr. Ian Bent and Lee Rothfarb, transl. Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj\\_515\\_4\\_septdec\\_190.html](http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj_515_4_septdec_190.html); Internet; accessed December 12, 2015). Schenker’s letter is located in the Jonas Collection (5/15).

<sup>108</sup> “Bruckners Thematisches habe ich stets höher bewertet, als alle Erfindung aller übrigen Komp. (natürlich <sup>die</sup> eines Brahms, Dvořák, Wolf ausgenommen), u. dabei bleibt es noch heute. Die Distanz von Bruckner zu den anderen ist so groß, daß diese gar nicht erwähnt zu werden verdienen neben ihm” (incomplete letter draft from Schenker to Grunsky, undated, ca. June 1, 1908; see Schenker Documents Online; transcr. Ian Bent and Lee Rothfarb, transl. Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj\\_515\\_y\\_](http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj_515_y_)



But in the same letter to Grunsky, Schenker criticizes Bruckner's compositional practice:

Nevertheless, I <sup>still cannot call</sup> Bruckner a master, <sup>let alone</sup> see in him an advancement in any regard whatsoever. The reasons are of a purely technical nature and will find their place extensively in the third volume.<sup>109</sup>

This third volume likely refers to the “Niedergang” typescript, where Bruckner's technical deficiencies are blamed on his imitation of Wagner and his inability to synthesize the parts of a composition into an organic whole.<sup>110</sup>

Schenker ([1905–6] 2005a, 115) examines the opening of Bruckner's Fifth Symphony to support these claims. This analysis is reconstructed in example 1.3.21. The first *Gruppe* comprises three *Teile* “without any connecting material between them” (115).<sup>111</sup> Measures 1–14 function as a prelude beginning on the tonic and ending on the dominant in the primary key of B-flat major. Measures 15–54 begin with a fanfare motive on a [b]VI *Stufe* in the primary key, modulate to the key of D minor with the entrance of new ideas in m. 31ff., and arrive on the dominant of D minor in m. 43. Measures 55–100 compose a two-part *Gedanke* (*Vorder-* and *Nachsatz*). This section effects another modulation, this time through E-flat major's dominant in m. 91 (although the key of E-flat minor colors this dominant).

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72208.html; Internet; accessed December 12, 2015). Schenker's original letter is located in the Jonas Collection (5/15).

<sup>109</sup> “Gleichwohl ~~muß~~ <sup>kann</sup> ich Bruck. ~~aus der Gruppe wirklicher~~ <sup>noch keinen</sup> Meister ausschließen, [illegible] nennen, ~~bin also noch weniger in der Lage~~ <sup>geschweige</sup> in ihm gar einen Fortschritt in irgendeiner Hinsicht erblicken. Die Gründe sind rein technischer Natur, u. werden ausführlich im III[.]” For the citation, see note 108 above.

<sup>110</sup> As described on Schenker Documents Online regarding the three volumes of *Neue musikalische Theorien und Phantasien*, “Schenker envisioned II/1, II/2, and III all as a single volume entitled *Kontrapunkt*. Around 1907–9, Schenker planned a volume entitled *Niedergang der Kompositionskunst* . . . as vol. III, but that work was not published in Schenker's lifetime (Schenker Documents Online; available from <http://www.schenkerdocumentsonline.org/profiles/work/entity-001723.html>; Internet; accessed January 30, 2016).

<sup>111</sup> “ohne Vermittlung neben einander gesetzt sind” (Schenker [1905–6] 2005a, 213).

**EXAMPLE 1.3.21** Bruckner, Symphony no. 5 in B-flat Major, WAB 105/i, mm. 1–101ff. (based on the arrangement by August Stradal)

**Gr u p p e ( m m . 1–100)**  
*T d i*:Prelude  
 A dag io  
 pp  
 B-flat major: I

*T e 2*:New motives  
 m o l t o m a e s t o s s o  
 A A A A  
 ff s u b t i l g e h a r t l i c h  
 ff m a r c a t o  
 1 5  
 b 2 2  
 b 2 2  
 |b|VI

*T e 3*:Two-part G e d a n k e  
 V o r d e r s a t z  
 p  
 Return to the key of B-flat major[minor]

*T e 4*:New motives  
 A l l m ä h l i c h b e l e b e n d  
 p  
 31  
 T o w a r d t h e k e y o f D m i n o r

*T e 5*:New motives  
 U r s p r ü n g l i c h e s Z e i t m a  
 4 3  
 ff m a r c a t o  
 V

*T e 6*:New motives  
 N a c h s a t z  
 ff  
 79

*M o d u l a t i o n s p a r t i e*  
 9 5  
 p p p p  
 1 0  
 L a n g s a m e r  
 p  
 p p  
 E-flat major: V

**Gr u p p e ( m m . 101ff)**  
 In the key of F major/minor

Schenker is puzzled why the second group begins in F major/minor (m. 101ff.), especially given the preceding dominant of E-flat major. He is also puzzled why the first *Gruppe* is structured in such a diffuse manner. He feels that the decisive modulation should have occurred in the third part's consequent phrase (m. 79ff.), and that the second part should have better established the primary key. Given this recomposition, mm. 1–54 would function as a prelude leading to the theme proper in m. 55ff., with this theme's *Nachsatz* functioning as a *Modulationspartie*. But in the symphony as Bruckner had composed it, Schenker claims there is no sense of progression through the first group, only succession:

[Bruckner's] musical brain consisted, as it were, merely of peaks; and what he conceives as moves into valleys in order to give the listener the illusion of trekking over hill and dale is artistically so improbable that the only impression which remains is that of leaping from peak to peak. He lacks all technique for gaining a highpoint and leading down from it; the gradients have all been incorrectly measured, and nearly all of them are so steep that one is truly at a loss to comprehend how, short of a miracle, one can possibly reach the next peak.<sup>112</sup> (Schenker [1905–6] 2005a, 117)

Therefore, Bruckner's music is formless: one idea follows the other without necessity, just as one key leads haphazardly to the next. Yet Schenker also argues that Bruckner's music was too periodic, too regular—and this he ties directly to form's reification in the nineteenth century.

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<sup>112</sup> “Sein musikalisches Gehirn bestand gleichsam nur aus Höhepunkten und was er an Thalzügen ersinnt, um dem Hörer eine Wanderung durch Gebirg und Thal vorzutäuschen, ist künstlerisch so unwahrscheinlich, dass der Eindruck doch nur der bleiben muss, als springe man von Gipfel zu Gipfel. Es fehlt ihm an jeglicher Technik zum Höhepunkt hinan und von ihm hinabzuführen, die Mensur der Abhänge ist allemal verfehlt, fast alle scheinen sie steil, so dass man förmlich verurteilt ist[,] wie durch Wunder zum nächsten gegenüberliegenden Gipfel zu gelangen” (Schenker [1905–6] 2005a, 215).

In a series of letters, Schenker leads Grunsky from Bruckner back to C. P. E. Bach through Riemann, Marx, Beethoven, Mozart, and Haydn:<sup>113</sup>

Although I gladly conceded . . . that isolated moments in Bruckner are grand and sublime, I am nonetheless not guilty of any contradiction if, despite all of that, I assert that Bruckner possessed only very minimal powers of invention. . . . First of all, the fact that Bruckner's invention expressed itself <sup>purely</sup> in periodic stretches between which emptiness lay is linked to that deficiency in inventive talent. The moment of ecstasy granted him measures 8 through 12. Then our ecstasy began: what next?<sup>114</sup>

Ecstasy upon ecstasy means—as in life, so too in the symphony—fragment upon fragment! . . . Accordingly[?], <sup>you see</sup> with him ~~such~~ <sup>as result, for example,</sup> the helplessness in momentum since individual impulses, and almost exclusively, and almost all proceed beginning on the ton[ic] . . . and almost all [begin] on the strong beat (see *Harmonielehre* and *Ein Beitrag zur Ornamentik*, p. . . ).<sup>115</sup>

When Haydn, Mozart, and Beethoven were creative there were no texts by Marx, Riemann, etc., on the market. If ever anyone had to follow only instinct, it was they. However, Bruckner stumbled on form, and tried in fullest consciousness—how often did he speak of it himself to the students!—to acquire and develop form, as he viewed it, of course (and he viewed it poorly, that is just

<sup>113</sup> The following passage condenses Schenker's argument spanning four letters sent to Grunsky beginning in June of 1908 and likely carrying into the fall (the date of the last letter has not been determined). Each new paragraph indicates an excerpt from a different letter, while each letter is cited with a separate footnote. All four letters are located in the Jonas Collection (5/15).

<sup>114</sup> “Gab ich oben gerne zu, daß die einzelne Momente bei Br. groß, u. erhaben sind, so mache ich mich gleichwohl noch keines Widerspruches schuldig, wenn ich behaupte, daß Br. Trotz alledem nur eine sehr geringe Erfindungskraft besaß. . . . Mit diesem Mangel an Erfindungsgabe hängt er fürs Erste zusammen, daß sich Br.'s Erfindung <sup>blos</sup> in periodischen Anfällen von Extase äußerte, zwischen denen ein Nichts lag. Der Moment der Extase bescherte ihm die Takte 8 bis 12; nun begann die Unsere: was weiter?” (incomplete letter draft from Schenker to Grunsky, undated, ca. June 1, 1908; see Schenker Documents Online; transcr. Ian Bent and Lee Rothfarb, transl. Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj\\_515\\_y\\_72208.html](http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj_515_y_72208.html); Internet; accessed December 13, 2015).

<sup>115</sup> “Extase um Extase heißt, ~~nach~~ wie im Leben, so auch in der Symph. Abschnitt um Abschnitt! . . . ~~Es bildete sich beim~~ <sup>Sie sehen</sup> daher[?] bei ihm als ~~solche~~ <sup>folge z.B. die</sup> Unbeholfenheit ~~z.B.~~ im Treiben da einzelne Gef.[ühle] u. fast nur, u. fast alle laufen hin von der Ton.[ika] aus, u. fast nur u. fast alle setzen hin auf dem guten Takt. ein (vgl. dazu Bd. I u. B. zu. Orn. S. . . )” (incomplete letter draft from Schenker to Grunsky, undated, but likely written between June 6 and September 9, 1908; see Schenker Documents Online; transcr. Ian Bent, transl. Ian Bent and Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker\\_33/correspondence/letter/oj\\_515\\_3\\_junesept\\_19.html](http://mt.ccnmtl.columbia.edu/schenker_33/correspondence/letter/oj_515_3_junesept_19.html); Internet; accessed December 13, 2015).

the thing!). With Bruckner, I think less instinct for form prevailed than with the aforementioned masters . . .<sup>116</sup>

[. . .] with him, art only serves the end of providing content <sup>laboriously and artificially</sup> instead of art being brought about, conversely, with the requirement of content, as with the masters. Expressed differently: with the latter, the flow of content brings with it all artificialities of the compositional technique (understood in the good and necessary sense), while with Bruckner the artificialities are there to produce content, and display this purpose just as naively [and] as radically as ecstasy displays its end in itself. . . . Take any work of Beethoven or Brahms. How difficult is it, often, to figure out the thematic relationships, even for the most musical ear! So concealed, so subconscious, so easy that we can often hear the main narrative without disturbance, without sensing whence it derives its material? With Bruckner, all tendencies lie too much on the surface. . . . Hopefully, you will see from these very fleeting hints that I have much to reproach Bruckner for with regard to technical backwardness, such as we certainly could by far no <sup>longer</sup> reproach C. P. E. Bach, Haydn, Mozart, and Beethoven, etc. for similar backwardness.<sup>117</sup>

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<sup>116</sup> “Als Haydn, Mozart u. Beeth. schufen, waren keine Lehrbücher von Marx, Riemann, etc. auf dem Marke; wenn je ein Mensch, so waren es sie, die blos dem Instinkt <sup>zu</sup>folgen hatten. Bruckner aber fand die Form vor, u. hatte mit vollstem Bewußtsein, wie oft sprach er doch selbst davon zu den Schülern!—die Form, freilich wie er sie sah (u. er sah sie schlecht, das ist es eben!) sich anzueignen u. fortzusetzen gesucht. Ich denke, bei Bruckner waltete weniger Instinkt zur Form, als bei den erstgenannten Meistern” (incomplete letter draft from Schenker to Grunsky, undated, ca. September 23–December 31, 1908; see Schenker Documents Online; transcr. Ian Bent and Lee Rothfarb, transl. Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj\\_515\\_4\\_septdec\\_190.html](http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/oj_515_4_septdec_190.html); Internet; accessed December 13, 2015).

<sup>117</sup> “[. . .] Kunst bei ihm deutlich nur darauf ausgeht, Inhalt <sup>mühevoll u. künstlich</sup> zu beschaffen, statt, daß sie wie bei den Meistern, umgekehrt mit der Forderung des Inhaltes gebracht wird. Oder anders: bei diesen letzteren bringt der Fluß des Inhaltes alle Künstlichkeiten des Satzes (im guten u. notwendigsten Sinne verstanden!) mit sich, während bei Br. [Bruckner] die Künstlichkeiten dazu da sind, den Inhalt zu beschaffen, a[uch] diesen Zweck ebenso naiv als drastisch zur Schau tragen, als der Ekstase ihren Selbstzweck zur Schau träg[t]. . . . Nehmen Sie irgend ein Werk von Beeth. oder von Brahms: wie schwer fällt es da oft, die thematischen Bezüge zu eruieren, selbst den musikalischsten Ohren! So verschleiert, so unbewußt, so leicht, daß man die Hauptfabel ohne Störung hören kann, ohne zu ahnen, woher sie ihren Stoff nähme? Bei Bruckner liegt alle Tendenz zu sehr obenauf. . . . Hoffentlich sehen Sie aus diesen sehr flüchtigen Andeutungen, daß ich Br. viel vorzuwerfen habe an technischen Rückständigkeiten, wie man ähnliche doch <sup>längst</sup> nicht mehr einem Ph. Em. Bach, Haydn, Mozart u. Beeth u.s.w vorwerfen könnte” (incomplete letter from Schenker to Grunsky, undated but likely written after September 10, 1908; see Schenker Documents Online; transcr. Ian Bent and Lee Rothfarb, transl. Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker\\_33/correspondence/letter/oj\\_515\\_5\\_undated.html](http://mt.ccnmtl.columbia.edu/schenker_33/correspondence/letter/oj_515_5_undated.html); Internet; accessed December 13, 2015).

To summarize: Schenker thought that Bruckner lacked sufficient powers of invention—namely, his forms were based on pre-existing molds instead of an improvisational impulse. These molds had become rigid, with each phrase (or section) beginning on both the tonic harmony and the strong (hyper)beat. Bruckner had reified form at the expense of organic content and necessary connection. And as for Grunsky, he agreed with Schenker’s assessment but reached very different conclusions. Bruckner’s approach to form provides “a clear logic . . . to orient us to the entry of new themes,” he composes just the right amount of transitional material, and his strong-beat entrances are necessary, for “[w]hoever is rich in harmony prefers strong beats in general.”<sup>118</sup>

What Schenker saw as Bruckner’s deficiencies, Grunsky saw as his strengths.

Yet Schenker’s critique is perhaps supported by Bruckner’s studies in model composition with Otto Kitzler, director of the Linz theater orchestra, from December 1861 to July 1863. Paul Hawkshaw (1998, 338–39, table 1) summarizes the contents of the *Kitzler-Studienbuch*, which includes over 300 pages of exercises scored for keyboard or string quartet.<sup>119</sup> These exercises were largely based on *Formenlehren* by Lobe (1850–67, vols. 1–2) and Richter (1852), while Marx (1837–47, vol. 4) was used for studies in orchestration (353). Bruckner’s lessons began with cadences, modulations to closely related keys, and the composition of eight-measure *Perioden*

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<sup>118</sup> “1) inbezug auf die Form. Wenn die Setzung der <sup>bekannten</sup> Folge im Sonatensatz einen klaren Sinn hat, so kann es nur der sein: über den Eintritt neuer Themen, über den Ort der durchgeführten Themen, über die Wiederkehr + Rückkehr, zu orientieren. . . . Übergänge u. alles was das Gerippe als Fleisch gleichsam umkleidet—das ist ja, soweit notwendig da. . . . 2) Einsatz auf gute Taktteile (wenigstens mit Vorliebe; Ausnahmen immerhin zahlreich!): ist ebenso ein gutes Zeichen für mich!” (letter from Grunsky to Schenker, dated September 10, 1908; see Schenker Documents Online; transcr. and transl. Lee Rothfarb; available from [http://mt.ccnmtl.columbia.edu/schenker\\_33/correspondence/letter/oj\\_1129\\_3\\_91008.html](http://mt.ccnmtl.columbia.edu/schenker_33/correspondence/letter/oj_1129_3_91008.html); Internet; accessed December 13, 2015). Grunsky’s letter is located in the Jonas Collection (11/29).

<sup>119</sup> For another summary of Bruckner’s *Kitzler-Studienbuch*, see Grandjean (2001, 61–75).

(337–39)—all are characteristic of Richter’s (1852) treatise in particular. Two- and three-part song forms, irregular periods (periods of lengths other than eight measures), and periods expanded through repetition followed. But as Hawkshaw writes, “creating melodic relationships between periods [was not] . . . an object of the exercises.” Instead, the exercises were primarily concerned with each period’s *length*. (This accords with Schenker’s own conception of the period as a simple proposition-response paradigm that does not require any particular thematic relationship.)

Bruckner’s lessons with Kitzler eventually addressed larger forms, including scherzo-trio form, rondo form, and sonata form. The rondos were classified as either small, middle, or large (see table 1.3.3). These schemas do not easily map onto Marx’s classifications, although Hawkshaw finds parallels between the small rondo and Marx’s second rondo (cf. example 1.3.8, p. 24): Bruckner’s *Themagruppe* has the same function as Marx’s *Hauptsatz*, and Bruckner’s trio section has the same function as Marx’s *Seitensatz*. The middle and large rondos are perhaps more characteristic of Lobe (certainly Bruckner uses Lobe’s terminology).<sup>120</sup> For example, Hawkshaw finds parallels between Bruckner’s large rondo and Lobe’s analysis of Beethoven’s String Quartet in F Major, op. 18, no. 1/iv (cf. example 1.3.19, p. 45). As the first Roman numeral under “large rondo form” in table 1.3.3 shows, Bruckner combines Lobe’s four opening *Gruppen* with Lobe’s *erste Repetition*. This includes a repetition of the *Themagruppe*, the *Mittelsatzgruppe* (which introduces new motives), and a *Durchführungsgruppe* (which develops original motives). The II. *Repetition* is similar to Lobe’s *zweite Repetition*; the III. *Repetition* is similar to Lobe’s *Anhang*.

Bruckner’s exercises in sonata form also betray Lobe’s influence. In this case, sonata form is divided into two large parts rather than Marx’s three. Moreover, in Bruckner’s exercises the

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<sup>120</sup> In 1863 Bruckner commented in a letter to Rudolf Weinwurm that he owned the first two volumes of Lobe’s *Lehrbuch* (1850–67); see Hawkshaw (1998, 353, n44).

**TABLE 1.3.3** Rondo forms in Bruckner's *Studienbuch* (Hawkshaw 1998, 349–50, nn27–28, n32)

<b>Small Rondo Form</b>
[I.] <i>Themagruppe</i> (three-part song form)
[II.] <i>Trio</i> (two- or three-part song form)
[III.] <i>Repetition</i> ( <i>Themagruppe</i> with variants), followed by an <i>Anhang</i>
<b>Middle Rondo Form</b>
[I.] <i>Themagruppe</i> ( <del>two or three part song form</del> ; one or two <i>Perioden</i> , etc.) <i>Übergangsgruppe</i> (or <i>Periode</i> ) <i>Gesangsperiode</i> (or <i>Gruppe</i> ; in the dominant key)
[II.] <i>Repetition</i> ( <i>Themagruppe</i> in the tonic key) <i>Übergangsgruppe</i> ( <i>Zwischen-Periode</i> that remains in the tonic key) <i>Gesangsgruppe</i> (in the tonic key)
[III.] <i>Themagruppe</i> (abbreviated), followed by an <i>Anhang</i>
<b>Large Rondo Form</b>
I. <i>Themagruppe</i> (two- or three-part song form) <i>Übergangsgruppe</i> <i>Gesangsgruppe</i> ( <i>Anhang</i> ?) <i>Schlußgruppe</i> <i>Repetition</i> ( <i>Themagruppe</i> ) <u><i>Neue Mittelsatzgruppe</i></u> (new motives) <u><i>Durchführungsgruppe</i></u> (original motives)
II. <i>Repetition</i> ( <i>Themagruppe</i> , <i>Übergangsgruppe</i> , <i>Gesangsgruppe</i> , <i>Schlußgruppe</i> )
III. <i>Repetition</i> ( <i>Themagruppe</i> , <i>Anhang</i> )

expositions are usually divided into four sections, each labeled using Lobe's terminology:

*Themagruppe*–*Übergangsgruppe*–*Gesangsgruppe*–*Schlußgruppe* (351).<sup>121</sup> Bruckner composed these sections in pairs: *Thema*- and *Übergangsgruppe* together with *Gesang*- and *Schlußgruppe* (338, table 1). He would later divide expositions into three sections (*Eingangsperiode*–*Gesangsperiode*–*Schlußperiode*), with little connecting material between them (Grandjean 2001, 75, ex. 13;

<sup>121</sup> For a comparison of sonata-form terminology in mid-nineteenth-century *Formenlehren*, see Grandjean (2001, 75, ex. 13).



Korstvedt 2004, 175–79). This change is reflected by Schenker’s own conception of the sonata-form exposition. We saw this in example 1.3.20 (p. 46), where he divides the exposition of Beethoven’s op. 109/ii into three parts (I. *Themengruppe*, II. *Gedanke*, and III. *Gedanke*).

“Bruckner was one of the first significant composers to learn classical forms from a textbook (or at least to admit it),” writes John Parkany (1989, 151). As Schenker would have it, Bruckner composed using dry schemas rather than the flight of an improvisatory imagination.<sup>122</sup> Schenker likely based this conclusion on personal experience, describing how “Bruckner [had] stumbled on form, and tried in fullest consciousness—how often did he speak of it himself to the students!—to acquire and develop form.”<sup>123</sup> Seen in this light, Schenker’s 1902 edition of keyboard sonatas by C. P. E. Bach is the single most damning critique of Bruckner’s music in existence—far more damning than Hanslick’s description of the Eighth Symphony as embodying a “muddled hangover style” (*traumverwirrten Katzenjammerstil*). Schenker explains this covert attack a year later in *Ein Beitrag zur Ornamentik* (1903, rev. 1908): C. P. E. Bach’s free use of motives, his music’s improvisatory qualities, and the lack of any prescribed formal models all stand in tacit opposition to Bruckner and his contemporaries. By returning to Bach’s music—which, in Schenker’s view, lay at the origins of a sonata style later perfected by Haydn, Mozart, and Beethoven (Petty 1995)—the errors of the nineteenth century might one day be corrected:

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<sup>122</sup> Of course, not everyone agreed with Schenker’s assessment. Other critics—especially Ernst Kurth (1925) and August Halm (1914)—saw Bruckner’s music as the paragon of dynamic form in motion. Kurth ([1920] 1968, 330–33) thought that the classicists (e.g., Brahms) were too schematic (*Form als Umriß*), while he thought that the romantics (e.g., Wagner and Bruckner) embodied form as properly understood (*Form als Kraft*, or *Entwicklung*, *Steigerung*, *Übergang*, *Spannungsausladung*). Halm, on the other hand, saw in Bruckner’s music the emergence of a new musical culture that synthesized (and even transcended) Bach’s fugues and Beethoven’s sonatas (Halm 1913, 1914; Rothfarb 2009, 108–12).

<sup>123</sup> See note 116 (p. 58) above for the original German.

For [in C. P. E. Bach's music] we are dealing with an art and a technique that are hardly described or discussed at all, either in textbooks on composition or in the schools. I refer here to the way in which Bach's themes and motives follow one another; when, how, and where they enter; how they are connected and separated, etc.; how Bach effects a synthesis of ideas. This synthesis may rightly be considered the deepest, indeed the ultimate mystery of musical composition.<sup>124</sup> (Schenker [1903, rev. 1908] 1976, 15–16)

Yet Schenker's emphasis on Bach's free use of motives and forms in *Ornamentik* was also a covert attack on another leading musical figure at the turn of the twentieth century: Hugo Riemann.

### § 1.3.5. Riemann's Motives (and Forms)

Schenker's commentary in *Ornamentik* on C. P. E. Bach's approach to form is concerned primarily with *Gruppenbildung* (group formation). *Gruppen* are large sections of a composition, much like a *Thema*- or *Gesangsgruppe* in Lobe's first-movement form (example 1.3.18, p. 43) or Bruckner's large rondo (table 1.3.3, p. 61). Tonality, rhythm, and dynamics all contribute to this technique. Regarding Bach's treatment of rhythm, Schenker writes:

The individual segments [*Teile*] of a group enter on *different* parts of the measure, sometimes on weak, sometimes on strong beats. . . . Thus, for *Bach*, each beat of a measure is equally suited for an entrance. . . . He pays no anxious theoretical respect to the strong beat of the measure, nor does he attempt to begin every idea on a strong beat. . . . Therefore he never suffers the embarrassment of having to fabricate rests because the succeeding phrase [*Gedanke*] could begin only about two or three eighth-notes later.<sup>125</sup> (Schenker [1903, rev. 1908] 1976, 29; emphasis added to match the original)

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<sup>124</sup> “Äußern sie sich doch hauptsächlich in einer Kunst, in einer Technik, die auch in den offiziellen Lehrbüchern der Komposition, oder in den Schulen leider nur allzuwenig beschrieben oder besprochen wird; ich meine, in der Kunst, mit der Bach seine Themen und Motive aufeinander folgen, d.i. in der Art, wann wie und wo er sie eintreten läßt, wie er sie bindet und trennt u. dgl., kurz in der Kunst der Gedankensynthese, die füglich als das letzte und wohl auch das tiefste Geheimnis der musikalischen Komposition überhaupt bezeichnet werden darf” (Schenker [1903] rev. 1908, 3).

<sup>125</sup> “Es besteht darin, daß die einzelnen Teile der Gruppe bald in den starken, bald in den schwachen, also in verschiedenen Takteilen einsetzen. . . . So sind bei Bach . . . alle

Bach's fluid metrical placement of a group's constituent parts is meant as a counterexample to Bruckner's compositional practice. As Schenker wrote to Grunsky in a letter already quoted above, in Bruckner's music, "almost all [impulses] proceed beginning on the ton[ic] . . . and almost all [begin] on the strong beat."<sup>126</sup> But this critique of rhythmic rigidity can also be applied to Riemann's *Formenlehre*, which is based on end-accented segments rather than Bruckner's beginning-accented segments.

Schenker owned several of Riemann's works that were published before *Ornamentik* (1903), although it is difficult to determine precisely when they were obtained.<sup>127</sup> Among the ca. 400 books listed in an auction catalog compiled after Schenker's death were Riemann's *Katechismus der Kompositionslehre* (1889) and *Große Kompositionslehre* (1902–3a).<sup>128</sup> Curiously, two terms characteristic of Schenker's early *Formenlehre* appear in the *Katechismus: Gruppenbildung*, which Riemann (1889, 1:11) used to describe the combination of *Takt-Motive* into *Gruppen*, and *cyklische Form*, which Riemann (1889, 2:126) used to describe a multi-movement work, such as a Baroque dance suite or modern sonata. Schenker often used the latter term to describe sonata form in particular.

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Takteile in Hinsicht des Einsatzes gleich. . . . Es ängstigt ihn keinerlei theoretischer Respekt vor dem, was der starke Takteil ist, er müht sich daher auch nicht, seine Gedanken allemal just mit dem starken Takteil zu beginnen. . . . Er kommt daher nie in Verlegenheit, erst Pausen erlügen zu müssen, weil vielleicht der nächste Gedanke nur um zwei oder drei Achtel später beginnen kann" (Schenker [1903] rev. 1908, 12).

<sup>126</sup> See note 115 (p. 57) above for the original German.

<sup>127</sup> The date of publication for *Ornamentik* is often given as 1904. This is an error; it was published in 1903 (Bent 2005, 75–81).

<sup>128</sup> This catalog is reproduced in Eybl (1995, 161–92). We know that Schenker had read Riemann (1889) because he reacts against its analysis of Beethoven's Ninth Symphony in his own monograph on the symphony (Schenker 1912).

Today Riemann is known for his harmonic and metrical theories; his *Formenlehre* is less well known.<sup>129</sup> In the *Katechismus der Kompositionslehre* (1889), Riemann begins with motives and their combination into higher-order structures. These motives have a prescribed rhythmic position in relation to the bar line, contrary to what Schenker finds in Bach's works. In example 1.3.22(a), Riemann uses motives found in Beethoven's Piano Sonata in E-flat Major, op. 7/iv, to illustrate growth toward the bar line (see the *crescendo* markings), a point of emphasis (*Schwerpunkt*) immediately after the bar line, followed by the dissipation of energy (see the *decrescendo* markings). In example 1.3.22(b), Riemann describes this gesture as the *Urtypus aller Form* (12). And as example 1.3.22(c) shows, this motion from upbeat to downbeat extends beyond the measure to the *Gruppe* (which comprises two *Takt-Motive*), the *Halbsatz* (which comprises two *Gruppen*), and the *Satz* (which comprises two *Halbsätze*). (The asterisks in this example indicate the *Schwerpunkten* at the end of each unit.<sup>130</sup>) Example 1.3.23, which appears in Riemann's *Musikalische Dynamik und Agogik* (1884), suggests that *Gruppenbildung* extends beyond the two-measure unit—or even the eight-measure *Satz*—to units with as many as 32, 36, or 48 measures.

In the *Katechismus der Kompositionslehre*, Riemann is also concerned with motivic (or thematic) resemblances at each hierarchical level. For example, table 1.3.4 shows resemblances at the *Gruppe* level. Each *Gruppe* comprises two *Motive* (one light, the other heavy), which can

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<sup>129</sup> Riemann's *Formenlehre*—which influenced later works such as Prout (1893), d'Indy (1912), Krehl (1902–3), and Leichtentritt (1911)—is summarized in Moyer (1969, 192–216). Also see Burnham (1995, 81–88) for a comparison of Marx's work with Riemann's. Burnham's thesis claims, "If Marx's work offers a temporal and dynamic representation of Beethoven's music, the focus at the end of the nineteenth century was to shift to the idea of the work as a totality that could be conceptualized more profitably as a spatial entity. This emphasis is nowhere so apparent as in the theoretical and analytical work of Hugo Riemann" (81).

<sup>130</sup> As in the *Formenlehren* of Lobe and Richter, Riemann considers the eight-measure *Satz* (or *Periode*) to be prototypical, although *Perioden* of other lengths are possible as well.

**EXAMPLE 1.3.22** Dynamic shading of the *Takt-Motiv* (Riemann 1889, 1:8, 12, 50)

(A) *Takt-Motive* in Beethoven's Piano Sonata in E-flat Major, op. 7/iv

The image shows three staves of musical notation in 2/4 time, illustrating dynamic shading. The first staff contains measures labeled 'a' and 'c'. The second staff contains measures labeled 'd', 'e', and 'f'. The third staff contains measures labeled 'g' and 'h'. Dynamic markings, represented by accents (>), are placed under various notes to indicate shading. Phrasing slurs are used to group notes within measures and across measures.

(B) *Der Urtypus aller Form*

The image shows a rhythmic pattern in 2/4 time. The first measure is labeled 'leicht' and contains two quarter notes. The second measure is labeled 'schwer' and contains two quarter notes with a slur over them. This is followed by 'resp.' and two measures in 3/4 time, each containing a quarter note followed by an eighth note and a sixteenth note.

(C) The *Urtypus* at higher levels

der Taktſchwerpunkt:

The image shows three examples of rhythmic patterns. The first example is in 2/4 time and shows two measures: the first has a quarter note followed by a quarter note with an asterisk, and the second has a quarter note followed by a quarter note with an asterisk. The second example is in 3/4 time and shows two measures: the first has a quarter note followed by an eighth note and a sixteenth note with an asterisk, and the second has a quarter note followed by an eighth note and a sixteenth note with an asterisk. The third example is in 3/4 time and shows two measures: the first has a quarter note followed by an eighth note and a sixteenth note with an asterisk, and the second has a quarter note followed by an eighth note and a sixteenth note with an asterisk.

der ſchwere Takt (Gruppenſchwerpunkt):

The image shows two examples of rhythmic patterns. The first example is in 2/4 time and shows two measures: the first has a quarter note followed by a quarter note with an asterisk, and the second has a quarter note followed by a quarter note with an asterisk. The second example is in 3/4 time and shows two measures: the first has a quarter note followed by an eighth note and a sixteenth note with an asterisk, and the second has a quarter note followed by an eighth note and a sixteenth note with an asterisk.

die ſchwere Gruppe (Halbfaßſchwerpunkt):

The image shows one example of a rhythmic pattern in 2/4 time. It consists of a single measure with a quarter note followed by a quarter note with an asterisk.

u. ſ. w.

EXAMPLE 1.3.23 *Gruppenbildung* (Riemann 1884, 8)

Diagram a) shows a sequence of notes with brackets above and below. The top bracket is labeled '2' and '3', and the bottom bracket is labeled '4'. Below the notes are numbers: 4, 8, 10, 8, 10, 8, 10, etc.

Diagram b) shows a sequence of notes with brackets above and below. The top bracket is labeled '3' and '3', and the bottom bracket is labeled '6'. Below the notes are numbers: 6, 12, 6, 12, 6, 12, 48, 34, etc.

Diagram c) shows a sequence of notes with brackets above and below. The top bracket is labeled '3' and '3', and the bottom bracket is labeled '6'. Below the notes are numbers: 6, 18, 6, 18, 36, 18, etc.

u. s. w.

TABLE 1.3.4 A taxonomy of *Gruppentypen* (Riemann 1889, 1:11, 14, 34)

<i>Gruppentypus</i>	Schema	Example
A		
B		
C		

either be similar ( $a-a$ ; type A) or dissimilar ( $a-b$ ; type B).<sup>131</sup> (*Gruppentypus* C is a version of type B, although the position of the first *Motiv* is shifted so that its *Schwerpunkt* occurs after the second bar line.) This approach is extended to the *Halbsatz* level in table 1.3.5. *Halbsätze* are classified according to their component *Gruppentypen* (e.g., AB, BB, or BA), while the numbered subtypes

<sup>131</sup> Schenker rarely labels motives with lowercase letters, but instances can be found in his manuscript “Der Weg zum Gleichnis.” See appendix 1, examples A1.2.10 and A1.2.11, p. 381.

TABLE 1.3.5 A taxonomy of *Halbsatz-Typen* (Riemann 1889, 1:17–22, 34)

<i>Halbsatz-Typus</i>	Schema	Example
AB1	$\begin{array}{c} \text{A} \qquad \qquad \text{B} \\ \text{a} \quad   \text{a} \quad   \quad \text{a} \quad   \text{b(a*)} \\ \text{1. Takt.} \quad \text{2. Takt} \quad \text{3. Takt} \quad \text{4. Takt.} \end{array}$	<p>Beethoven Op. 54.</p>
AB2	$\begin{array}{c} \text{A} \qquad \qquad \text{B} \\ \text{a} \quad   \text{a} \quad   \quad \text{b} \quad   \text{a} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>(Klassische Beispiele nicht zur Hand.)</p>
AB3	$\begin{array}{c} \text{A} \qquad \qquad \text{B} \\ \text{a} \quad   \text{a} \quad   \quad \text{b} \quad   \text{c (b*)} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>Beethoven Op. 2. II.</p>
BB1	$\begin{array}{c} \text{B} \qquad \qquad \text{B} \\ \text{a} \quad   \text{b} \quad   \quad \text{a} \quad   \text{b} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>Beethoven Op. 10. III.</p>
BB2	$\begin{array}{c} \text{B} \qquad \qquad \text{B} \\ \text{a} \quad   \text{b} \quad   \quad \text{a} \quad   \text{b} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>Beethoven Op. 18.</p>
BB3	$\begin{array}{c} \text{B} \qquad \qquad \text{B} \\ \text{a} \quad   \text{b} \quad   \quad \text{a} \quad   \text{b} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>Beethoven Op. 78.</p>
BB4	$\begin{array}{c} \text{B} \qquad \qquad \text{B} \\ \text{a} \quad   \text{b(a*)} \quad   \quad \text{a} \quad   \text{b(c)} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>Beethoven Op. 78.</p>
BB5	$\begin{array}{c} \text{B} \qquad \qquad \text{B*} \\ \text{a} \quad   \text{b} \quad   \quad \text{c} \quad   \text{d} \\ \text{1} \quad \text{2} \quad \text{3} \quad \text{4} \end{array}$	<p>(Mozart.)</p>
BA1	$\begin{array}{c} \text{B} \qquad \qquad \text{A} \\ \text{a} \quad   \text{b} \quad   \quad \text{b} \quad   \text{b} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>(Klassische Beispiele nicht zur Hand.)</p>
BA2	$\begin{array}{c} \text{B} \qquad \qquad \text{A} \\ \text{a} \quad   \text{b} \quad   \quad \text{a} \quad   \text{a} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>(Klassische Beispiele nicht zur Hand.)</p>
BA3	$\begin{array}{c} \text{B} \qquad \qquad \text{A} \\ \text{a} \quad   \text{b} \quad   \quad \text{c} \quad   \text{c} \\ \text{1.} \quad \text{2.} \quad \text{3.} \quad \text{4.} \end{array}$	<p>(Klassische Beispiele nicht zur Hand.)</p>
C	$\begin{array}{c} \text{a} \quad   \text{a} \quad   \quad \text{a} \quad   \text{b} \\ \text{2} \quad \text{1} \quad \text{2} \quad \text{1} \\ \text{rejp.} \quad \text{1} \quad \text{2} \quad \text{1} \quad \text{2} \\ \text{a} \quad   \text{b} \quad   \quad \text{c} \quad   \text{d} \\ \text{2} \quad \text{1} \quad \text{2} \quad \text{1} \end{array}$	<p>(Gruppentypus C durchgeführt.) NB. c(a*)</p> <p>(weiblicher Schluß.)</p>

TABLE 1.3.6 A taxonomy of Satz-Typen (Riemann 1889, 1:25–30, 34)

Satz-Typus	Schema	Example
Ia	<p>Vorderfuß (Typus AB1)    Nachfuß (Typus AB1)</p>	<p>(Beethoven Op. 2. III.)</p>
Ib	<p>Vorderfuß (Typus AB2)    Nachfuß (Typus AB2)</p>	<p>(Klassische Beispiele nicht zur Hand.)</p>
Ic	<p>Vorderfuß (Typus AB3)    Nachfuß (Typus AB3)</p>	<p>(Mozart, Sonate C-dur.)</p>
Id	<p>AB1    AB3</p>	
Ie	<p>Halbfuß-Typus AB1    Halbfuß-Typus BB1</p>	<p>(Beethoven, Op. 22, 1. Satz.) Halbfuß-Typus AB1. Halbfuß-Typus BB1.</p>
IIa	<p>(= Halbfuß-Typus AB1 im Großen) AB1</p> <p><math>\alpha</math>    <math>\beta</math> a   b    a   b    a   b    c   d</p>	<p>Satz-Typus IIa: (= Halbfuß-Typus AB1 im Großen.) (Beethoven Op. 2. I.)</p>
IIb	<p>a   b    a   b    c   c    c   d = AB1</p>	<p>AB1 (AB3)</p>



TABLE 1.3.6 CONTINUED

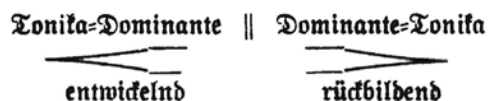
Satz-Typus	Schema	Example
IIIa	<p>Halbsatz-Typus BB5      Halbsatz-Typus AB1</p>	<p>Beethoven, Op. 49, II. Halbsatz-Typus BB5. Halbsatz-Typus AB1.</p> <p>Mozart, Sonate F-dur. Andante. Halbsatz-Typus BB5. Halbsatz-Typus AB1.</p>
IIIb	<p>Halbsatz-Typus BB5      Halbsatz-Typus BB1</p>	<p>Halbsatz-Typus BB5. Halbsatz-Typus BB1.</p>
IV	No schema given; see example	<p>(Gruppentypus C durchgeführt.) NB. (weiblicher Schluß.)</p>

help identify lower-level motivic resemblances (e.g., *Halbsatz-Typus* BB5 indicates that each motive is unique). Table 1.3.6 provides Riemann's extensive taxonomy at the *Satz* level, where types are again divided into subtypes based on motivic resemblances.

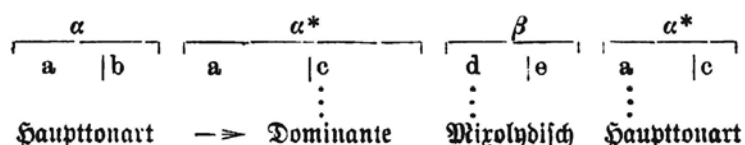
Riemann also applied his metrical concepts to harmonic progression and its interaction with form. One such harmonic progression is shown in example 1.3.24(a): a development from tonic to dominant followed by a return. Example 1.3.24(b) suggests that this paradigm also models how key areas interact with form. The first *Periode* effects a motion from the tonic key (*Haupttonart*) to the dominant key; the second *Periode* answers this with a motion from the dominant key (colored as *mixolydisch*) to the tonic key.

**EXAMPLE 1.3.24** Interaction between harmony and form (Riemann 1889, 71)

(A) Harmonic development and return



(B) Harmonic development (as key areas) across two *Perioden*



Given this penchant for creating taxonomies, Riemann provides additional examples of how harmony (or key) interacts with form, although these need not concern us here. Yet, as Schenker would have it, all of these exhaustive (and exhausting) taxonomies clearly indicate form's reification by the end of the nineteenth century. Themes produced through *thematische Arbeit*—a term that Riemann uses in the last chapter of his *Große Kompositionslehre*, where he describes “the modern theme-concept, with its combination of a large number of different motives into a larger unified structure”<sup>132</sup>—are like Nabokov's butterflies: no longer living things, they have become dry specimens classified and labeled accordingly. The unique contents of each *Motiv*, *Gruppe*, *Halbsatz*, and *Satz* is reduced to an abstract label indicating mere similarity or difference. As a result, Riemann risks the same fate as Marx's theory, whereby a dynamic process

<sup>132</sup> “der moderne Themabegriff mit seiner Vereinigung einer größeren Anzahl verschiedener Motive zu einem größeren Einheitsgebilde” (Riemann 1902–3a, 2:414).

becomes a stock pattern.<sup>133</sup> On the other hand, in Schenker's conception of *Gruppenbildung*, motives coalesce into larger units through a unifying key (or a few *Stufen*), although he resisted abstract schemas in analyses of C. P. E. Bach's keyboard sonatas in *Ornamentik* and Beethoven's op. 95 string quartet in *Harmonielehre* (see § 2.5).<sup>134</sup> Through these examples he meant to convey that fixed schemas were no match for the creativity and variety found in the masterworks.

Of course, Riemann was also familiar with Marx's work, having edited Marx's *Kompositionslehre* ([1837–47] 1887–90).<sup>135</sup> Like Marx, Riemann (1889, 95) based his full-movement forms on a ternary design, which he described as *Hauptgedanke–Nebengedanke–Hauptgedanke* (*A–B–A*). (Riemann also maps a *schwer–leicht–schwer* metric scheme onto this schema, although one must assume an initial *leicht* to maintain a sense of *Auftaktigkeit*.) Table 1.3.7 summarizes these forms in the order of increasing complexity. Riemann usually referred to them only by their ordinal numbers, indicated here by Roman numerals. The first form is in three parts (*A–B–A*), in which each *A* section is an eight-measure *Hauptgedanke* (or *Periode*). The *B* section is of a relatively small scope (either four or eight measures) and does not count as an independent section. It is for this reason that Riemann likens the first form to the “so-called two-part [form].”<sup>136</sup> With the second form (three-part song form) comes a more developed and independent *B* section that might embed a two-part form. The third form demonstrates how the ternary principle is fully recursive. Each large section in the *A–B–A* form embeds its own three-

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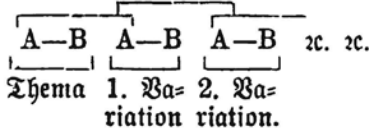
<sup>133</sup> See note 48 above (pp. 15–16).

<sup>134</sup> In *Harmonielehre*, Schenker ([1906] 1954, 241) writes that a passage from Beethoven's op. 95 will “reveal to us the connection between harmony and form on a *higher level*” (“*der Zusammenhang von Harmonie und Form uns Resultate höherer Ordnung offenbaren*”; Schenker 1906, 319). The phrase *höherer Ordnung*—*Sperrdruck* and all—is another characteristic expression found throughout Riemann (1884, 1889).

<sup>135</sup> This is the same edition of Marx's *Formenlehre* that Schenker owned (Eybl 1995, 173).

<sup>136</sup> “I. ist die sogenannte zweiteilige [Form]” (Riemann 1889, 97).

TABLE 1.3.7 A taxonomy of *große Formen* (Riemann 1889, 1:96–97, 100)

<i>große Form</i>	Alternate Description	Schema
I	<i>zweiteilige Form</i>	<p style="text-align: center;"> <b>A.</b> — <b>B.</b> — <b>A.</b>  <b>Hauptgedanke</b> — <b>Zwischenglied</b> — <b>Hauptgedanke</b>  (8 Takte) (4 oder auch 8 Takte) (8 Takte) </p>
II	<i>dreiteilige Liedform</i> (oder kleine Rondoform)	<p style="text-align: center;"> <b>A.</b> — <b>B.</b> — <b>A.</b>  <b>Hauptfaß</b> — <b>Zwischenfaß</b> — <b>Hauptfaß</b>  der Form I. (Trio) der Form I.  von 8 Takten, oder ausgeführt in der Form I.  (II. Thema.) </p>
III	<i>große Rondoform</i>	<p style="text-align: center;"> <b>A.</b> — <b>B.</b> — <b>A.</b>  <b>Zwischenglied zur selbständigen</b> — <b>Stärker kontrastierendes</b> — <b>A.</b>  <b>Themengruppe ausgewachsen:</b> III. Thema, eventuell mit <b>(wie zuerst)</b>  a — b — a ebenfalls ausgewachsenem <b>a b a</b>  <b>Zwischenglied:</b> <b>a b a</b> </p>
IV	<i>Sonatenform</i>	<p style="text-align: center;"> <b>A.</b> — <b>B.</b> — <b>A.</b>  <b>Themengruppe:</b> — <b>Durchführungsteil:</b> — <b>Themengruppe:</b>  a) erstes Thema, (Symmetrische Aufbaue verschiedenster Dimensionen, aber nur mit anders kombiniertem <b>(wie zuerst)</b>  c) zweites Thema, motivischen Material der Themen).  d) Schlußglied. </p>
—	<i>Variationen</i> (e.g., Beethoven's op. 109/ii)	<p style="text-align: center;">  </p>

part form (*a-b-a*). The fourth form, which Riemann likens to *Sonatenform*, has a three-part layout—although the *Themengruppe* has four parts similar to Lobe (cf. example 1.3.19, p. 45).<sup>137</sup> Finally, while not a large form *per se*, Riemann demonstrates how a variation set based on a two-part *Thema* maintains the ternary principle by overlapping the theme with the beginning of the first variation (and so on for the variations that follow). This is also how Schenker describes rondo form; for example, the five-part rondo is derived by combining two three-part forms with an elision.

<sup>137</sup> Notice that Schenker uses Riemann's term *Themengruppe* in example 1.3.20 (p. 46) rather than Lobe's term *Themagruppe*.

*Ornamentik* betrayed Schenker's unease with Riemann's theories (to put it mildly); and later, Schenker would directly challenge Riemann in print, including in his monograph on Beethoven's Ninth Symphony (1912) and the explanatory editions of Beethoven's late piano sonatas, op. 110 (1914) and op. 101 (1921). Despite its dynamic metrical qualities, Schenker found Riemann's *Formenlehre* too rigid and schematic. It did not help that Riemann dedicated his *Kompositionslehre* to Brahms, either. In the midst of a tirade against Riemann, Schenker writes,

I will, even before I refute Riemann's theories more precisely in Book II of my *Counterpoint*, and only to the extent necessary for elucidation of the foregoing remarks, still more clearly illustrate Riemann's relationship to our masters with reference to the essay published by Riemann himself in the program-book of the first German Brahms Festival in September 1909 under the title "Brahms and the Theory of Music." The very title shows a thoroughly conceited Riemann: "the theory" here is naturally supposed to mean—Riemann. What Riemann relates, however, proves just the opposite, namely that Brahms wants absolutely nothing to do with the theory that means "Riemann," and that it is thus only Riemann himself who sees everywhere in the theory again only Riemann.<sup>138</sup> (Schenker [1914] 2015, 2:12–13)

Schenker charges that Riemann's motives for the dedication were only self-serving; at first Brahms had refused it, although later he accepted.<sup>139</sup> But when Schenker launches a fierce attack such as this one, might he also be suffering from some anxiety of influence?

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<sup>138</sup> "noch bevor ich in II<sup>2</sup> meines ‚Kontrapunkts‘ seine Theorien genauer als bisher widerlege und nur soweit es hier zur Erläuterung des Obigen eben notwendig ist, durch einen weiteren Hinweis auf den von Riemann selbst im Programmbuch des 1. deutschen Brahms-Festes im September 1909 unter dem Titel: ‚Brahms und die Theorie der Musik‘ veröffentlichten Aufsatz noch deutlicher illustrieren. Schon der Titel des Aufsatzes ist ein ganzer eitler Riemann: ‚die Theorie‘ soll hier natürlich heißen—Riemann. Was aber Riemann erzählt, beweist das Gegenteil, nämlich daß Brahms gerade von der Theorie, die ‚Riemann‘ hieß, ganz und gar nichts wissen wollte, daß somit einzig nur Riemann selbst es war, der überall in der Theorie wieder nur Riemann allein gesehen" (Schenker 1914, 26).

<sup>139</sup> Riemann later encountered Brahms in Hamburg. According to Schenker, Brahms was quite angry because Riemann "had made the attempt to explain and justify certain 'unusual notes in Brahms's music' in regard to their nature and effect" (quoted in Schenker [1914] 2015, 2:13; "weil ich sowohl in dem Buche als auch um dieselbe Zeit in Zeitungsartikeln den Versuch

We return now to where our story began: Vienna at the turn of the century, including Schenker's attempts to overthrow the prevailing musical order and restore German culture by returning to the masterworks and their inner laws given by Nature. Not Marx, but Beethoven. Not Riemann, but Brahms. Not form, but content. Yet Schenker was deeply indebted to the *Formenlehre* tradition that he had inherited—perhaps he protests too much.

#### § 1.4. SCHENKER'S IMPASSE

Many philosophical traditions collide in Schenker's early essay "Der Geist der musikalischen Technik" ([1895] 2007).<sup>140</sup> William Pastille (1984) identifies anti-organicist tendencies. Allan Keiler (1989, 291) rejects Pastille's interpretation and argues that the idea "Schenker moved gradually from anti-organicist to arch-organicist throughout the course of his writings" is an "utter absurdity." Keiler locates Schenker's early thought within the German idealist tradition—including Goethe, Kant, Hegel, and Schiller—and in opposition to Hanslick's formalist aesthetics expressed in *Vom Musikalisch-Schönen* ([1854] 1986). But as Kevin Korsyn (1993, 86–87) observes, "German idealism in particular was resisted in Austria." Korsyn (1993, 109–16) identifies the influence of other philosophers in 1890s Austria, including Schopenhauer, Nietzsche, Wagner, and scientist and philosopher Ernst Mach (with whom Schenker corresponded). But in whatever context(s) we read "Geist," its final section makes it clear that

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unternommen hatte, gewisse ‚seltsame Noten bei Brahms‘ ihrer Natur und Wirkung nach zu erklären und zu begründen" [quoted in Schenker 1914, 26]).

<sup>140</sup> For more on "Geist," see Cook (2007, 63–88) and Morgan (2014, 41–59).

Schenker is wrestling with a question that would occupy him for decades to come: By what *causal mechanism* does music operate?

The “Geist” essay proposes an answer to this question by denying music has any internal logic or necessary connection, leading Schenker to conclude that music is inherently not organic:

As a matter of fact, no musical content is organic. *It lacks any principle of causation*, and a contrived melody never has a determination so resolute that it can say, “Only that particular melody, and none other, may follow me.” Indeed, it is part of the work of shaping content for the composer to obtain from his imagination a variety of similarities and contrasts, in order ultimately to select his best option. Because he has selected only one option, we cannot know what other materials were available for him to choose from (the rejected options can often be elicited from his studies and sketches), but only the one that was most agreeable to him personally.<sup>141</sup> (Schenker [1895] 2007, 328; emphasis mine)

Music’s organic qualities are only “an illusory halo of rational logic” consciously created by a composer (328).<sup>142</sup> As William Pastille (1984, 32) writes, this “guarantees the inorganic nature of music, since the musical artwork is shaped by the subjective will of an outside intelligence, and not by some natural, internal power.” Genuine organicism, according to Schenker, can exist only in exceptional cases; for example, when “a particular similarity has actually arisen *organically* in the imagination only inasmuch as the composer has *not intended* it” (330).<sup>143</sup> Throughout “Geist,” Schenker draws on such marked oppositions: natural versus artificial, unconscious versus

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<sup>141</sup> “In der That ist kein musikalischer Inhalt organisch. Es fehlt ihm ein jeglicher Causalnexus, und niemals hat eine erfundene Melodie einen so bestimmten Willen, dass sie sagen kann, nur jene bestimmte Melodie darf mir folgen, eine andere nicht. Gehört es doch zu den Schmerzen des Inhaltsaufbaues, dass der Componist von seiner Phantasie sich mehrere Aehnlichkeiten und Contraste verschafft, um schliesslich die beste Wahl zu treffen. Durch die Wahl, die er so getroffen, erfährt man zwar nicht, was er sonst noch zur Auswahl vorrätig hatte (das Unterdrückte kann man oft aus seinen Studien und Skizzen erfahren), wohl aber, was ihm persönlich am besten gefiel” (Schenker 1895, 309).

<sup>142</sup> “trügerisch der Schein einer gedanklichen Logik” (Schenker 1895, 297).

<sup>143</sup> “vorausgesetzt, dass der Componist jene Aehnlichkeit nicht gewollt hat, ist sie in der Phantasie wirklich organisch entstanden” (Schenker 1895, 310).

conscious, content versus form, organic versus inorganic, and cause versus effect.<sup>144</sup> For music to be an organic subject, it must have a logic all its own.

Perhaps it was due to the lack of a causal mechanism that Schenker found nineteenth-century *Formenlehren* so inadequate (notwithstanding, for example, Marx's *Ruhig–Bewegung–Ruhig* paradigm, Lobe's *thematische Arbeit*, or Riemann's *Auftaktigkeit*). As Cook (2007, 65) writes, “Schenker's problem is not then with music's organic quality as such, but in seeing how it can be translated into terms of theory. In this sense, the impasse of the *Geist* essay is a specifically theoretical one.” Schenker's *Harmonielehre* (1906) was a first attempt to solve this problem through the dual logic of motivic development and step–progression (Pastille 1984, 32)—although it is difficult to imagine how an entire sonata–form movement might be generated in this way. Schenker had indeed reached an impasse: his early *Formenlehre* was a conformational approach still in search of a generative mechanism.<sup>145</sup>

By the late 1910s Schenker had discovered a causal mechanism in the form of a melodically fluent line (*Urlinie*) propelled by the dynamics of consonance and dissonance realized via passing tones (or what he describes as “little causal motors” in an early draft of *Der freie Satz*; see appendix 3).<sup>146</sup> Nicholas Cook writes:

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<sup>144</sup> See Korsyn (1993, 94, fig. 1) for a list of oppositions taken “[f]rom Schopenhauer's account of genius . . . that structure[s] organicist discourse.”

<sup>145</sup> Mark Evan Bonds (1991, 13–16) distinguishes between conformational and generative approaches to form. A conformational approach demonstrates how compositions exemplify an abstract schema. A generative approach demonstrates how an individual composition evolves as an ongoing process.

<sup>146</sup> “Von elementarster Gewalt äußert sich in der horizontalern Richtung die Kausalität der fliessenden Linie; sie ist es, die längst bei sich weiß <sup>[illegible]</sup>, was da kommen wird, die Knotenpunkte der Linie verteilt, <sup>[illegible]</sup> die kleinen kausalen Motore der Durchgänge u. Vorhölte zu Leben u. Wirkung aufruft. Zu ihr, von der alles kommt, gehen schließlich auch alle Wirkungen ein” (OC 51/1382; see § A3.2). The term *Vorhölte* is best understood to mean



It is Schenker's insistence on the strict matching of cause and effect, on demonstrating why things are—even must be—as they are and not otherwise, that is responsible for the impasse in the *Geist* essay. . . . His solution—what I see as the fundamental insight of his theory and the key conceptual leap in its development—was to turn musical causality through ninety degrees, so to speak, so that cause-effect relations flow not from one note to the next but rather from the background to the foreground. (Cook 2007, 70)

Cook calls the motion from background to foreground “axial causality.” This idea began to emerge in Schenker's thought ca. 1917 in an early draft of *Der freie Satz*—namely, in a section titled “Von der musikalischen Kausalität—Rückblick u. Epilog” (appendix 3). A theory of musical causality was eventually realized through the *Urfinie* concept, which Schenker first described in his explanatory edition of Beethoven's op. 101 (1921). Perhaps this explains why the “ideas toward a ‘new theory of form’” mentioned in a 1907 diary entry and the “Entwurf einer neuen Formenlehre,” promised in 1912, were never completed.<sup>147</sup> For Schenker, any *Formenlehre* that does not reify form at the expense of organic content *requires a theory of musical causality*—and, until ca. 1917–21, he apparently lacked the prospects for such a theory. As Schenker would later write in *Der freie Satz*:

All forms appear in the ultimate foreground; but all of them have their origin in, and derive from, the background. This is the innovational aspect of my explanation of forms, which is to follow in the next sections. Previously in this book I have repeatedly referred to form as the ultimate manifestation of that structural coherence which grows out of background, middleground, and foreground; but I here reiterate in order to stress the difference between this new theory and all previous theories of form. . . . It is precisely because I derive the forms from the background and middleground that I have the advantage of brevity in presentation. However briefly I express myself, I am happy to offer, at least in

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accented dissonances in general rather than suspensions alone (Schenker 1976, 54n4). See Siegel (1999) for the early history of *Der freie Satz*.

<sup>147</sup> “Ideen zu einer ‘neuen Formenlehre’” (JC 1/6; see Bent 2005, 96).

this manner, the “Essay on a New Theory of Form” . . . which I have promised for decades.<sup>148</sup> (Schenker [1935] 1979, 130)

Nonetheless, Schenker’s early *Formenlehre*, which had existed long before his conceptions of the *Urlinie*, the *Ursatz*, and the dynamic transformation of the background into the foreground (axial causality) were developed, would provide a foundation for this later approach.

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<sup>148</sup> “Das Neue in der nachfolgenden Darstellung der Formen liegt in der Ableitung aller Formen als eines äußersten Vordergrundes von dem Hinter- und Mittelgrund. Habe ich schon im Verlaufe der früheren Darstellung wiederholt die Form als äußerste Auswirkung des von Hinter-, Mittel- und Vordergrund getragenen Zusammenhanges bezeichnet . . . so wiederhole und betone ich es auch an dieser Stelle, um so eindringlich wie möglich den Unterschied dieser neuen Formenlehre von allen früheren ins richtige Licht zu setzen. . . . Gerade daraus, daß ich die Formen aus dem Hinter- und Mittelgrund ableite, ziehe ich für ihre Darstellung den Vorteil der Kürze. Wie kurz ich mich aber auch fasse, schätze ich mich dennoch glücklich, den seit Jahrzehnten von mir versprochenen ‚Versuch einer neuen Formenlehre‘ mindestens in dieser Form bieten zu können” (Schenker 1935, 210).

## CHAPTER 2

## A GENERATIVE APPROACH TO FORM

## § 2.1. THE LAWS OF ART AND MUSIC'S ORIGINS

Schenker never offered a detailed exposition of his early *Formenlehre*; we must piece together ideas scattered throughout his early writings on our own instead. These writings include “Der Geist der musikalischen Technik” ([1895] 2007), an unpublished manuscript titled “Der Weg zum Gleichnis” (OC 83/2–43), *Ein Beitrag zur Ornamentik* ([1903, rev. 1908] 1976), *Harmonielehre* ([1906] 1954), and an unpublished typescript titled “Über den Niedergang der Kompositionskunst” ([1905–6] 2005a).<sup>1</sup> Although some of Schenker’s ideas may have changed during this time—e.g., his position on organicism (Pastille 1984)—a coherent approach to form still unites these writings: motivic development’s importance in “Geist” foreshadows the opening pages of *Harmonielehre*; sections of *Harmonielehre* and *Ornamentik* are allied through the concept of *Gruppenbildung*; sparse comments on two of Beethoven’s piano sonatas in *Ornamentik* likely derive from earlier analyses in “Gleichnis,” and so on. Given these echoes and allusions, Schenker’s early writings ca. 1895–1906 should be read together as a group, for a more unified *Formenlehre* existed during this time than has previously been acknowledged.

Schenker sought the basis for his early *Formenlehre* in music’s origins. For example, in the “Geist” essay, he describes how music developed from the simple, outward expression of humans’

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<sup>1</sup> See appendix 1 for a transcription of “Der Weg zum Gleichnis,” Petty (1995, 52–58) and Koslovsky (2010) for an introduction to *Ornamentik*, Wason (2008) for a history of *Harmonielehre* and its translation into English, and Drabkin (2005) for more on “Niedergang,” which was intended to supplement *Harmonielehre*.

inner urges to the complexities of modern harmony and counterpoint.<sup>2</sup> Schenker did not intend to write a history of music *per se*; instead, he identified music's first principles manifest through melody, polyphony, harmony, and form. This reflects a larger trend in the second half of the nineteenth century: the search for origins in diverse disciplines such as music, language, and biology. As Alexander Rehding (2000, 346) writes, "What historical and systematic musicologists were looking for . . . was the origin of music identified as a first principle, the initial cause that made the historical progress of music possible in the first place." However, Schenker sought more than a few generative principles; he promised to explain in future writings "the nature of harmonic and contrapuntal prescriptions almost solely in terms of their *psychological origins* and impulses" (324; emphasis mine).<sup>3</sup> Music's evolution is more than a history of technique; it is a history of human cognitive development—a history of mind (*Geist*).

Schenker later claimed that by tracing music's historical development we become sensitive to laws (*Gesetze*): *Kunstgesetze*, *Urgesetze*, and *Gesetze der Tonkunst*.<sup>4</sup> Schenker's penchant for stipulating such laws may have owed something to his legal training at the University of Vienna (Alpern 2012, 9–15). In this context, Eduard Hanslick's *Vom Musikalisch-Schönen* ([1854] 1986) was also influential (Cook 2007, 48–60). Hanslick suggested that the "philosophical foundations

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<sup>2</sup> For more on Schenker's early thought, see Karnes (2008), Keiler (1989, 1996), Korsyn (1988, 1993, 2009), Pastille (1984), and Cook (2007, 29–88).

<sup>3</sup> "Dadurch, dass ich die Natur der harmonischen und contrapunctischen Gebote fast rein psychologisch aus ihrer Ursache und ihrem Bedürfniss erläutern werde" (Schenker 1895, 259). These future writings became the first two parts of *Neue musikalische Theorien und Phantasien* (*Harmonielehre* and *Kontrapunkt* respectively).

<sup>4</sup> Schenker referred to *rein musikalischen Gesetze* as early as his 1897 essay "Unpersönliche Musik" (Federhofer 1990, 216–21; trans. Schenker 1988, 135–38). He uses the term *Kunstgesetze* in an unpublished essay titled "Von der Natur der Kunstgesetze Überhaupt" (OC 83/159–204; see appendix 2). The terms *Urgesetze* and *Gesetze der Tonkunst* are used in "Gesetze der Tonkunst," *Der Tonwille*, issue 2 (Schenker [1922] 2004, 51). Also see Cook (2007, 206–8).

of music” should be found in “general laws” (1986, 34).<sup>5</sup> Kevin Korsyn (1988, 10) attributes Schenker’s laws to Kant’s influence, writing, “The most obvious affinity between Schenker and Kant was their pursuit of rules or laws through which perceptions can be understood.”<sup>6</sup> To this we should also add Schenker’s faith in God, who guarantees the coherence of the cosmos (Cook 2007, 199–217; Alpern 2014; Reiter 2015).<sup>7</sup> Schenker claimed that music’s laws, which are eternal and unchanging, constrain both artist and listener.<sup>8</sup> Discovered by a few artistic geniuses, these laws are objective rather than subjective in nature.<sup>9</sup> It is through these laws that Schenker sought the basis for his *Formenlehre*.

## § 2.2. THE MOTIVE’S AUTONOMY

In the opening paragraphs of “Geist,” Schenker ([1895] 2007) reveals music’s origins through a creation myth. This myth’s first four stages are shown in table 2.2.1 below. At stage 1,

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<sup>5</sup> “Die Erforschung der Natur jedes einzelnen musikalischen Elementes, seines Zusammenhanges mit einem bestimmten Eindruck [nur der Thatsache, nicht des letzten Grundes] endlich die Zurückführung dieser speciellen Beobachtungen auf allgemeine Gesetze: das wäre jene ‘philosophische Begründung der Musik,’ welche so viele Autoren ersehnen, ohne uns nebenbei mitzuthellen, was sie darunter eigentlich verstehen” (Hanslick 1854, 39; quoted in Cook 2007, 61).

<sup>6</sup> Korsyn (1988, 11–12) also recognizes Goethe’s thought as an important source for Schenker’s “faith in the rule-governed nature of phenomena.” Also see Pastille (1990a).

<sup>7</sup> In fact, Schenker thought of himself as a musical Moses, heralding the true laws of music for the first time (Snarrenberg 1997, 154).

<sup>8</sup> See “Von der Natur der Kunstgesetze Überhaupt” (OC 83/159–63; appendix 2). Schenker writes, “Es gibt wirklich Gesetze in der Kunst. Sie binden den Künstler, sie binden den Hörer. . . . Nur die inneren Gesetze einer Schöpfung sind als deren Wahrheit zu verstehen, diese ist dann aber ewig u. unabänderlich, ebenso wie der Gegenstand selbst” (OC 83/159).

<sup>9</sup> “Es ist richtig, daß die Gesetze der Kunst von den Künstlern selbst, freilich nur von den Genies unter ihnen, verkündet werden, doch irrt, der da glaubt, sie seien deshalb bloß subjektiveren Wertes” (OC 83/160).

humans vocalize in response to stimuli and, much like songbirds, to fulfill innate drives. These outbursts are likened to those “one sees nowadays in children and shepherds when they convert instinctive joy into instinctive exultation” (319).<sup>10</sup> At stage 2, “the joy of singing must have become an end in itself, dissociating singing from its immediate stimuli and establishing it as an independent, specialized field”—or what Schenker calls “song for song’s sake” (319).<sup>11</sup> At stage 3, the “formal principle of creation” is introduced: music evolves from the aimlessness of shepherd songs to a coherent expression of ideas (320). This coherence is illusory, however, since music imitates language for its coherence. In other words, music is able to “suggest convincingly the impression of self-contained thought” and “mimic accurately all of thought’s vicissitudes—its striving, its self-organization, its closure” (320).<sup>12</sup> This self-contained thought is *texted vocal melody*.

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<sup>10</sup> “Wohl war das erste Singen ein plötzlicher spontaner Ausbruch einer aufgehäuften seelischen oder körperlichen Lust, ähnlich wie man heute Kinder oder Hirten ziellose Freude in zielloses Jauchzen tauchen hört” (Schenker 1895, 245).

<sup>11</sup> “Doch bald musste die Freude am Sang selbst schon zur Triebfeder werden, den Sang von unmittelbar erregenden Ursachen loszulösen und ihn auf einen geläuterten, absoluten Cultus zu stellen. Das war der Sang um des Sanges willen” (Schenker 1895, 245).

<sup>12</sup> “Es suchte da der Ton ein Abbild des Wortes und seines Tonfalls zu werden und vor Allem musste er lernen, analog nachzubilden, was dem Wort am eigenthümlichsten ist, nämlich die Schaffung des Gedankens, der befriedigend abgeschlossen in sich ruht. Durch die Verbindung mit dem Wort lernte der Ton, auch alle Wechselfälle des Gedankens treu zu begleiten, das Aufstreben, das Sich-Gliedern und Schliessen, und durch die Gewohnheit von vielleicht vielen Jahrhunderten bildete sich endlich die musikalische Kunst ein, eine ähnliche Logik wie die Sprache von Haus aus zu besitzen” (Schenker 1895, 246).

**TABLE 2.2.1** Four stages of development in the “Geist” essay (Schenker [1895] 2007)

<b>Stage 1</b> <i>Sentience</i>	<b>Stage 2</b> <i>Naïveté</i>	<b>Stage 3</b> <i>Imitation of language</i>	<b>Stage 4</b> <i>Freedom from language</i>
Vocalizations in response to stimuli (e.g., the instinctive singing of children and shepherds)	Singing dissociated from its stimuli (“song for song’s sake”)	Imitation of language’s coherence ↓ Melody ↓ A false sense of musical coherence	Repetition and association ↓ Motive ↓ Form

### § 2.2.1. First Principles I: Repetition

At the fourth stage of development, music breaks free from language through repetition. Repetition is intrinsically musical and contrary to the teleological trajectories of language and narrative, but unlike language, “the musical motive is only a sign for itself” (Schenker 2007, 321).<sup>13</sup> Kevin Korsyn (1993, 108) detects Hanslick’s influence here, citing a passage from *Vom Musikalisch-Schönen*:

The essential difference [between language and music] is that in speech the *sound* is only a *sign*, that is, a means to an end, which is entirely distinct from the means, while in *music* the *sound is an object*, i.e., it appears to us as an end in itself.<sup>14</sup> (Hanslick [1854] 1986, 42; emphasis added to match the original)

<sup>13</sup> “Ist das Wort eben nur ein Zeichen für Etwas . . . so ist das musikalische Motiv nur ein Zeichen für sich selbst oder, besser gesagt, Nichts mehr und Nichts weniger, als es selbst” (Schenker 1895, 257).

<sup>14</sup> “Der wesentliche Grundunterscheid besteht aber darin, daß in der Sprache der Ton nur Mittel zum Zweck eines diesem Mittel ganz fremden Auszudrückenden ist, während in der Musik der Ton als Selbstzweck auftritt” (Hanslick 1854, 49). This passage brings to mind Hanslick’s famous dictum: “The content of music is *tonally moving forms*” (1986, 29; “Tönend bewegte Formen sind einzig und allein Inhalt und Gegenstand der Musik” [1854, 32]).

In the “Niedergang” typescript, Schenker concludes that “it is precisely the emancipation from the word, the cultivation of those formal-technical elements and the cultivation of the *instrumental motive* that underlie the historical development that culminates in those peaks that are represented by a Bach, a Haydn, Mozart, Beethoven, and so on” (2005a, 121; emphasis added).<sup>15</sup> Yet these masters sometimes imitated music’s early reliance on language. For example, Schenker (1897) describes how, when listening to the music of J. S. Bach,

we are still so replete with the plasticity of his motives and the speech-like quality of his musical diction that we are involuntarily reminded of everything in plastic form which our senses have ever perceived or which has impressed us in elevated human speech. Behind his plasticity we can see an entire world; in his musical diction we hear again the everyday language of people—question, answer, plea, importuning, persistence, moodiness, laughter, etc.<sup>16</sup> (Schenker [1897] 1988, 135)

Or consider comments in *Harmonielehre*, where Schenker describes a passage from Beethoven’s Piano Sonata in A-flat Major, op. 110/iii (example 2.2.1). He argues that Beethoven’s arioso

re-evokes, if only fleetingly, the memory of that primordial or natural phase of our art which preceded the discovery of the motif as [the] intrinsic association of ideas, limiting itself to the use, however meager in its yield, of extrinsic association through motion or word (dance or song). It is easy to understand, accordingly, why music, on such occasions, assumes a rhetorical, declamatory character, with verbal associations lurking ghostlike behind the tones.<sup>17</sup> (Schenker [1906] 1954, 14)

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<sup>15</sup> “Denn gerade in der Befreiung vom Wort, im Kultus jener formal-technischen Elemente, im Kultus des instrumentalen Motivs liegt die historische Entwicklung bis zu jenen Gipfelpunkten, die ein Bach, ein Haydn, Mozart, Beethoven u.s.w. vorstellen” (Schenker [1905–6] 2005a, 219).

<sup>16</sup> “und so voll sind wir noch heute, beim Anhören eines Bach’schen Stückes, der Plastik seiner Motive und Sprachähnlichkeit seiner Tonfälle, daß wir unwillkürlich dabei denken an Alles, was plastisch unseren Sinnen je entgegentrat, oder in der gehobenen Rede der Menschen je Eindruck auf uns machte. Hinter seiner Plastik können wir eine ganze Welt—sehen, in seinen Tonfällen die gemeine Sprache der Menschen—wieder hören, Frage, Antwort, Bitte, Drängen, Beharren, Laune, Lachen u.s.w.” (Federhofer 1990, 216; trans. Schenker 1988, 135).

<sup>17</sup> “Wenn auch nur vorübergehend, erinnert die Musik in solchen Situationen an jenen Ur- und Naturzustand unserer Kunst, in welchem das interne Assoziationsprinzip des Motivs noch nicht entdeckt und nur durch Bewegungs- und Wortassoziationen (Tanz und Lied) notdürftig ersetzt war. Es erklärt sich daher von selbst, warum gerade bei solchen Gelegenheiten



**EXAMPLE 2.2.1** Beethoven, Piano Sonata in A-flat Major, op. 110/iii, mm. 7–16  
(Schenker 1906, 22, ex. 13)

*Adagio, ma non troppo*  
*p tutte le corde cresc.*

*Arioso dolente*  
*dim.*

*p cresc.*

*decresc.*

u. s. w.

While language still haunts music even after the rise of the instrumental motive, Schenker makes a startling claim: music without motivic repetition—music that has not transcended the illusory coherence of language—is hardly music at all.<sup>18</sup> Therefore, “Music became art in the real sense of this word only with the discovery of the motif and its use” (Schenker 1954, 4).<sup>19</sup>

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die Musik einen rhetorischen, deklamatorischen Charakter anzunehmen pflegt und gleichsam gespensterhaft hinter den Tönen Assoziationen von Worten hervorzubrechen scheinen” (Schenker 1906, 21).

<sup>18</sup> Due to its lack of repetition, Schenker (1954, 3) writes, “Greek music never was real art” (“daß ebensowenig je die griechische Musik schon wirklich Kunst gewesen” [1906, 3]).

<sup>19</sup> “Erst mit der Entdeckung und Einführung des Motivs ist die Musik wirkliche Kunst geworden” (Schenker 1906, 4).

### § 2.2.2. First Principles II: Association and Abbreviation

Similar to the “Geist” essay, Schenker’s *Harmonielehre* begins with motivic development. This might seem odd at first, for we typically expect a harmony treatise to begin with the overtone series, the generation of fundamental chords, or the construction of scales. But Schenker is not concerned with tonal materials *per se*; rather, he is concerned with the psychological principles that underlie their realization.<sup>20</sup> These principles first emerge through the motive. Moreover, motives not only give rise to more complex forms (as in many nineteenth-century *Formenlehren*)—they give rise to the tonal system.

Schenker (1954, 3) claims that artistic creation—including poetry, sculpture, and painting—begins by imitating Nature. Music is unique because it does not imitate Nature, although it does imitate itself: “The motif thus substitutes for the ageless and powerful associations of ideas from patterns in Nature” (4).<sup>21</sup> The motive is defined as a “recurring series of tones,” but a psychological constraint is added: a motive “can be recognized as such only where its repetition follows *immediately*” (4–5).<sup>22</sup> Yet motivic repetition is

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<sup>20</sup> As Kevin Korsyn (1993, 117) writes, “If we take Schenker’s appeals to psychology seriously, his *Harmony*, for example, becomes quite a different book.”

<sup>21</sup> “Das Motiv ist solcherart berufen, der Musik das zu ersetzen, was den anderen Künsten zum Segen geworden, nämlich die ewige und gewaltige Ideenassoziation der Natur” (Schenker 1906, 4).

<sup>22</sup> “Motiv ist eine Tonreihe, die zur Wiederholung gelangt. Jede Reihe von Tönen kann Motiv werden, jedoch ist sie als solches erst dann anzuerkennen, wenn die Wiederholung unmittelbar folgt” (Schenker 1906, 4; emphasis added to match the *Sperrdruck* [widely spaced type] in the original). This constraint is Gestalt psychology’s law of proximity. See Gjerdingen (2002, 967–69) for more on Gestalt psychology’s influence at the turn of the twentieth century. Ernst Mach’s (1903) work on melodic perception interests Gjerdingen in particular. Mach began his appointment at the University of Vienna in 1895 (Johnston 1972, 182). Kevin Korsyn (1993, 109–16) suggests that Mach may have shaped Schenker’s early work in particular, even writing an encouraging postcard in 1896 (Federhofer 1985, 14–15). First, Korsyn (110; emphasis mine) describes how Mach “envisioned a psycho-physics which would analyze the psychological bases

subject to an additional constraint: the law of abbreviation. This law limits a motive's life to a few fateful moments (*Schicksalswendungen*; 13). As such, Schenker likens a motive to a hero in a play:

The motif is led through various situations. At one time, its melodic character is tested; at another time, a harmonic peculiarity must prove its valor in unaccustomed surroundings; a third time, again, the motif is subjected to some rhythmic change: in other words, the motif lives through its fate, like a personage in a drama.<sup>23</sup> (Schenker [1906] 1954, 13)

Not all possible motivic variants are essential in a work, just as a playwright omits the main characters' mundane daily activities (e.g., eating lunch, sleeping). Therefore, the life of a hero and the life of a motive are both "quantitatively reduced and stylized" (13).<sup>24</sup>

Schenker's conception of motivic development *qua* drama has its origins in Wagner's aesthetic writings. In his famous "Beethoven" essay, Wagner links music's inability to represent ideas found in Nature with the motive as a dramatic character subject to stylized abbreviation:

Seeing that Music does not portray the Ideas inherent in the world's phenomena, but is itself an Idea of the World, and a comprehensive one, it naturally includes the Drama in itself; as Drama, again, expresses the only world's-Idea proportionate (*adäquat*) to Music. . . . As a drama does not depict human characters, but lets them display their immediate selves, so a piece of music gives us in its motives the character of all the world's appearances according to their inmost essence (*An-sich*).<sup>25</sup> (Wagner [1870] 1896, 106)

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of experience, organized according to the *principle of the association of ideas*." Second, Korsyn (115) suggests that "Mach might have urged Schenker to view music in Darwinian terms," or in the terms of the biological forces and procreative urges (described below).

<sup>23</sup> "Auch dieses wird in verschiedene Situationen gebracht und da heißt es, bald das Charakteristische der melodischen Intervalle bewähren, ein anderes Mal wieder eine harmonische Eigentümlichkeit im neuen Milieu erweisen; wieder ein anderes Mal muß es irgendwelche Veränderung im Rhythmus erleiden, kurz, man kann es glauben: das Motiv erleidet Schicksale, wie die Menschen im Schauspiel" (Schenker 1906, 19–20).

<sup>24</sup> "Freilich sind diese Schicksale im Drama wie in der Musik durch das Abbreviationsgesetz sozusagen quantitativ reduziert und stilistisch gestutzt" (Schenker 1906, 20).

<sup>25</sup> "Die Musik, welche nicht die in den Erscheinungen der Welt enthaltenen Ideen darstellt, dagegen selbst eine, und zwar eine umfassende Idee der Welt ist, schließt das Drama ganz

Wagner describes how two motives in Beethoven's *Coriolan* Overture represent "the defiant Coriolanus in conflict with his inmost voice." By tracing these motives, "we shall at like time be following the course of a drama whose own peculiar method of expression embraces all that held our interest, the complex plot and clash of minor characters, in the acted work of the playwright" (Wagner [1870] 1896, 108).<sup>26</sup> At this point Schenker breaks with Wagner and sides with Hanslick: he claims that the musical drama unfolds only in the realm of tones—tones that are imbued with biological forces. Schenker describes these forces using the following analogy:

In Nature: procreative urge → repetition → individual kind;  
 In music, analogously: procreative urge → repetition → individual motif.<sup>27</sup>  
 (Schenker [1906] 1954, 6–7)

Through repetition, abbreviation, and association, the drama of motivic development is born into existence. Our ability to make associations does not require exact repetition, for we are able to comprehend a variety of related motives:

The musical image [*musikalische Gleichnis*, or resemblance] created by repetition need not be, in all cases, a painstakingly exact reproduction of the original series of tones. Even freer forms of repetition and imitation, including manifold little contrasts, will not cancel the magical effects of association.<sup>28</sup> (Schenker [1906] 1954, 7)

von selbst in sich, da das Drama wiederum selbst die einzige der Musik adäquate Idee der Welt ausdrückt. . . . Wie das Drama die menschlichen Charaktere nicht schildert, sondern diese unmittelbar sich selbst darstellen läßt, so gibt uns eine Musik in ihren Motiven den Charakter aller Erscheinungen der Welt nach ihrem innersten An-sich" (Wagner [1870] 1983, 87).

<sup>26</sup> "auf uns wirken, so verfolgen wir zugleich ein Drama, welches in seinem eigentümlichen Ausdrücke wiederum alles das enthält, was im vorgeführten Werke des Bühnendichters als komplizierte Handlung und Reibung auch geringerer Charaktere unsere Teilnahme in Anspruch nahm" (Wagner [1870] 1983, 89).

<sup>27</sup> "In der Natur: Fortpflanzungstrieb—Wiederholung—individuelle Art; in der Tonwelt ganz so: Fortpflanzungstrieb—Wiederholung—individuelles Motiv" (Schenker 1906, 6).

<sup>28</sup> "Freilich braucht dieses musikalische Gleichnis, als welches die Wiederholung sich darstellt, nicht immer eine sklavische, eine allergenaueste zu sein, auch freiere Wiederholung und Nachahmungen, die auch mannigfache, kleine Kontraste in sich schließen, heben die Wunderwirkung der Assoziation noch immer nicht auf" (Schenker 1906, 6).

§ 2.2.3. Musical Resemblances: Beethoven's Piano Sonata in E Minor, op. 90/i, and Piano Sonata in B-flat Major, op. 106/i

The phrase *musikalische Gleichnis* in the above quotation is telling: it alludes to Schenker's earlier, unpublished manuscript "Der Weg zum Gleichnis" (see appendix 1). In "Gleichnis," we learn that motivic resemblance is based on a model-copy paradigm. Although such resemblances are often melodic in nature, they might also occur with respect to rhythm, harmony, or counterpoint.<sup>29</sup> Example 2.2.2 presents Schenker's analysis of motives in the D-minor prelude from J. S. Bach's *The Well-Tempered Clavier*, book I. Notice how the descending triads are grouped together, cutting across the triplet rhythms. The opening of Brahms's Rhapsody in G Minor, op. 79, no. 2, is shown in example 2.2.3. Here an ascending four-note motive is transposed up by step. The model-copy paradigm is clear in both examples, including the prescription that a motive be repeated immediately.

The *misalignment* of melodic grouping and metrical structure is one way to engender synthesis (*Synthese*)—or unity through variety. Schenker (2005a, 53) describes synthesis as "the connectedness of form" (*die Gebundenheit der Form, ihre Synthese*).<sup>30</sup> A composer's goal is "to find a selection of motives and to bind these together," adding that "to bring variety to the statements of individual themes, the masters liked to let their motives proceed from weak beats."<sup>31</sup> A clear

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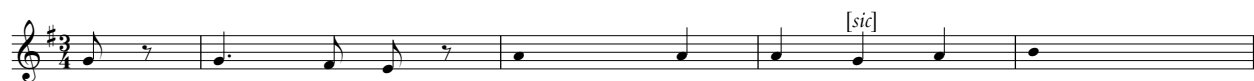
<sup>29</sup> "Es gehört so zum Motiv begrifflich wie [*illegible*] materiell zweierlei: das Vorbild u. sein Gegenstück, das Gleichnis, das wir <sup>soeben</sup> Nach- oder Gegenbild nannten. . . . Nun bietet uns die Musik in allen ihren Elementen Gelegenheit, Motive in diesem Sinne [*illegible*]. Im Melodischen, Rhythmischen, u. Harmonischen u. Contrapunktischen. Das Motiv, also ~~das~~ Gleichnis im Melodischen, <sup>enthält</sup> [*illegible*] so recht eigentlich die bekannteste, typischste Bedeutung: spricht man von Motiv, meint man fast immer zunächst Motiv im Melodischen" (OC 83/10–11).

<sup>30</sup> See Korsyn (1988, 19–43) for more on *Synthese* and its roots in Kant's philosophy.

<sup>31</sup> "Folgt die Notwendigkeit zu abbrevieren und zu stilisieren schon aus der Natur des begrenzten menschlichen Schaffens überhaupt[?], so kann dieses künstlerische Geschäft, eben eine Auslese von Motiven zu treffen und diese zu binden, doch nur als *Synthese* verstanden



EXAMPLE 2.2.4 Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 1–4 (OC 83/12)



EXAMPLE 2.2.5 Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 1–4 (Schenker 1906, 7, ex. 3)

*Mit Lebhaftigkeit und durchaus mit Empfindung und Ausdruck*

EXAMPLE 2.2.6 Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 39–50

39

A

B

cresc.

f

46

C

sf

sf

The change coincides with the G<sub>5</sub>–F<sub>5</sub> motive in the upper voice (m. 43). And going beyond Schenker’s analytical observations, the trochaic motive in mm. 43–44 gives way to yet another rhythmic variant in mm. 47–50 (labeled *c*). Unlike motive *a*, this iambic motive is contained within the measure, foreshadowing the melody’s new rhythm in m. 55ff. (see example 2.2.10 below). Finally, in example 2.2.7, Schenker traces the original iambic motive *a* throughout op. 90’s second movement. This motive bridges a formal boundary between mm. 31 and 32—an example of linkage technique (*Knüpftechnik*).<sup>34</sup>

The motives identified in op. 90 are likely clear to many listeners, but Schenker cautions that other motives may be concealed so that even experienced listeners might be unable to detect them.<sup>35</sup> For example, he uncovers a hidden motivic repetition in op. 90/i by comparing the bass voice in mm. 55 and 67 (see examples 2.2.8 and 2.2.9 respectively).<sup>36</sup> This comparison illustrates how motives can define larger formal units. For now, I use the neutral term “formal unit” to avoid ascribing a particular formal function—while a motive creates a higher-order complex, I do not yet define that complex’s formal function.

Example 2.2.10 reconstructs the analysis implied by comparing mm. 55 and 67. The downbeat of m. 55 is a point of arrival as the *fortissimo* V<sup>9</sup> chord in mm. 53–54 (not shown) gives way to the local B-minor tonic. This moment coincides with a *piano* dynamic and a change in texture, in which broken sixteenth notes accompany a melodic figure descending two octaves

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<sup>34</sup> The terms *Hauptgedanke* and *Modulationspartie* in example 2.2.7 do not appear in the English-language edition of *Harmonielehre* (1954).

<sup>35</sup> “Motivische Gleichnisse im hoher Vollendung zu schaffen, ist eine Vormacht nur der Genies. Oft gelingt es ihnen, das Gleichnishafte so zu verschleiern, [*illegible*] dass selbst geübte Hörer es nicht <sup>wiederfinden</sup> können, von ungeübten Hörern zu schweigen, dieses gar nie, leider <sup>sehr</sup> zu ihrem eigenen Schaden, wahrnehmen <sup>können</sup>” (OC 83/14).

<sup>36</sup> Schenker refers to m. 54 in “Gleichnis,” but this is an error; the example shows m. 55.



**EXAMPLE 2.2.7** Beethoven, Piano Sonata in E Minor, op. 90/ii, mm. 28–35 (Schenker 1906, 7, ex. 4)

Three systems of musical notation for piano. The first system is labeled "(Hauptgedanke) *cresc.*" and shows a melodic line in the right hand and a rhythmic accompaniment in the left hand. The second system is labeled "(Modulationspartie)" and shows a transition in the right hand. The third system continues the accompaniment with dynamic markings *sf* and *p*.

**EXAMPLE 2.2.8** Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 55–56 (OC 83/15)

55  
A single system of musical notation in bass clef, 3/4 time, starting at measure 55. The notation shows a simple melodic line.

**EXAMPLE 2.2.9** Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 67–68 (OC 83/15)

67  
A single system of musical notation in bass clef, 3/4 time, starting at measure 67. The notation shows a simple melodic line with dynamic markings *f* and *sf*.

## EXAMPLE 2.2.10 Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 55–81

55 *a tempo*  
*p*

58

61

64 *so!* *sfp*  
*f* *sf*

71 *sfp* *dim.* *pp*  
*f* *sf*

through open fifths and fourths (F#<sub>6</sub>–B<sub>5</sub>–F#<sub>5</sub>–B<sub>4</sub>–F#<sub>4</sub>). The G–F# step in mm. 55 and 59, which recalls m. 1, embellishes this descending melodic figure. Meanwhile, the downward-pointing beams in the bass highlight the ascending B<sub>2</sub>–C#<sub>3</sub>–D<sub>3</sub> motives in mm. 55, 56, and 57. This bass motive is repeated in m. 58, although it continues past D<sub>3</sub> up to F#<sub>3</sub> by beat 3 of m. 59. Here the ascending bass motive and descending melodic figure converge on F#, with the expansive registral space in m. 55 compressed into a single octave. (This entire process begins anew in m. 61ff.)

Schenker's comparison of mm. 55 and 67 suggests how motives can define larger formal units through a process of self-completion. Measures 55–60 compose a formal unit comprising four iterations of the bass motive; mm. 61–66 compose a varied repetition.<sup>37</sup> Both units project a B-minor *Stufe*: the scalar motive in the bass ascends from B<sub>2</sub> to its upper third (D<sub>3</sub>), and then from B<sub>2</sub> to its upper fifth (F#<sub>3</sub>). Schenker's comparison also reveals how the bass motive is compressed into a single measure in m. 67, where it resounds in stark octaves. This shortened form of the motive is repeated in m. 71, followed by echoes of the melody's G–F# motive in the upper voice.

In *Ornamentik*, Schenker (1976, 30) discusses the metrical placement of motives in Beethoven's op. 90/i and op. 106/i. Perhaps he is drawing on previous work in the "Gleichnis" manuscript, since therein, after analyzing op. 90/i, he turns to op. 106/i (examples 2.2.11–15). Schenker identifies an iambic rhythmic motive in op. 106's opening measures (example 2.2.11). This motive is developed in mm. 38–40 and 47–48 (see examples 2.2.12 and 2.2.13 respectively). In example 2.2.14, the original iambic motive (labeled *a*) and a trochaic motive (labeled *b*) are combined into a larger complex (labeled *c*). In example 2.2.15, the trochaic motive *b* emerges.

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<sup>37</sup> Grouping mm. 55–60 and 61–66 together is based on the ascending stepwise bass motive, but these units also overlap in m. 61 by virtue of the bass's cadential motion F#<sub>3</sub>–B<sub>2</sub> (mm. 66–67 repeat this motion). Some editions of op. 90/i even include a B<sub>4</sub> eighth note on the downbeat of m. 61, which would resolve the melody's A#<sub>4</sub> in m. 60.

EXAMPLE 2.2.11 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 1–3 (OC 83/16)

EXAMPLE 2.2.12 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 38–40 (OC 83/19)

EXAMPLE 2.2.13 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 47–48 (OC 83/19)

EXAMPLE 2.2.14 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 1–2 (OC 83/19)

EXAMPLE 2.2.15 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 17–19 (OC 83/19)

Schenker (1976, 30) hints at this rhythmic shift from iambic to trochaic, writing, “In bars 16–17 of Op. 106, one type of entrance is overcome for the sake of another that follows.”<sup>38</sup>

These motivic analyses are all quite traditional. Motives adhere to a model-copy paradigm, while variants are related based on melody, rhythm, or their combination. In the next section, I show how new motives requires new harmonies (or new *Stufen*). As a result, Schenker’s traditional approach to motivic analysis and his innovative concept of the *Stufe* converge to create form at a higher level.

### § 2.3. FROM MOTIVE TO TONAL SYSTEM: J. S. BACH’S FUGUE IN D MINOR

Motivic development is the impetus for Schenker’s early generative theory; indeed, the generation of the tonal system depends on it. In *Harmonielehre*, Schenker writes,

Thus the motif constitutes the only and unique germ cell of music as an art. Its discovery had been difficult indeed. No less difficult, however, proved to be the solution of a second problem, viz., the creation of a tonal system within which motivic association, once discovered, could expand and express itself. Basically, the two experiments are mutually dependent: any exploration of the function of the motif would, at the same time, advance the development of the tonal system, and, vice versa, any further development of the system would result in new openings for motivic association.<sup>39</sup> (Schenker [1906] 1954, 20)

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<sup>38</sup> “In der oben zitierten Sonate von Beethoven, op. 90, sind es die Takte 43 bis 45, in der Sonate op. 106 die Takte 16 bis 17, in denen der eine Einsatz zu Gunsten eines nächsten andern niedergerungen wird” (Schenker 1908, 12). I have altered the original English translation: the word *niedergerungen*, with its Nietzschean overtones, is translated as “overcome” rather than “interrupted.”

<sup>39</sup> “Ebenso schwierig als die Entdeckung des Motivs, des einzigen originalen Keimes der Musik, gestaltete sich die Schaffung des Systems der Töne, innerhalb dessen das endlich entdeckte assoziative Treiben der Motive nunmehr zum Ausdruck kommen konnte. Im Grunde liefen die Experimente parallel: lernte man die Wege des Motivs erforschen, so arbeitete man zugleich am System, und umgekehrt, da man das System baute, ergaben sich neue Resultate und Wege auch für das Motivische” (Schenker 1906, 32).

As motives seek further development, new harmonic possibilities are required. But harmony has another purpose: it provides a means to *unify* that content.<sup>40</sup> As Schenker writes, “It is the mission of harmony to enhance the planning of ample melodic ideas and, at the same time, to co-ordinate them” (169).<sup>41</sup>

The triad (particularly the major triad) serves as a motivic matrix. Example 2.3.1 shows this three-stage process: First, the major triad is derived from a fundamental and its first four overtones (26). Second, these tones are abbreviated to fall within an octave (28). Third, this close-position triad (transposed here to A-flat major) is realized as a melody. By deriving the major triad from the Nature-given overtone series, Schenker privileges it within his theory. Conversely, since the minor triad cannot be derived from the overtone series, it is considered a product of the artist; it is artificial (49–50; *künstlich*). The artist invents the minor triad due to the necessities of motivic development. Schenker writes, “Only melodic, i.e., motivic, reasons could have induced the artist to create, artificially, the minor triad as the foundation of the system; and in my opinion it was merely the contrast to the major triad that incited him to fashion his melos accordingly” (50).<sup>42</sup> Just as the primary triads (I, IV, and V) in the major mode have the same major quality, the primary triads in the minor mode should also have the same minor quality. The major (Ionian) and minor (Aeolian) modes are privileged for this reason. The qualities of the primary triads for the other diatonic modes are not uniform; therefore, “such irregular configurations of the I, V,

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<sup>40</sup> See Carl Schachter’s ([1995] 1999c) conception of the triad as both place and action.

<sup>41</sup> “Wie denn überhaupt der Geist des Harmonischen im letzten Grunde vielleicht nur dazu berufen ist, weite melodische Entwürfe planvoll entstehen zu machen und sie zugleich zu ordnen” (Schenker 1906, 214).

<sup>42</sup> “Es können nur melodische, d.i. motivische Gründe dafür maßgebend gewesen sein, den Molldreiklang überhaupt als die erste Grundlage des Systems künstlich zu kreieren, und meines Erachtens ist es eben bloß die Gegensätzlichkeit zum Durdreiklang allein, die den Künstler gereizt hat, das Melos danach zu formen” (Schenker 1906, 64–65).

**EXAMPLE 2.3.1** The motivic matrix realized in Haydn’s Piano Sonata in A-flat Major, Hob. XVI:46/i, mm. 1–3 (Schenker 1906, 39, 41, 46, exx. 20, 22, 25)

1. Overtone series

2. Abbreviated

3. Realized as melody

*Allegro moderato*

Grundton Quint Terz Grundton

*p*

Stufen in As-dur: I V I II I

and IV steps are most inappropriate for the [carrying out of] motivic intentions” (55–56).<sup>43</sup>

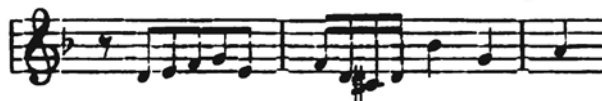
Schenker claims that the fugue “has been historically the touchstone of . . . [such] motivic-harmonic experiments” (56).<sup>44</sup> For example, in J. S. Bach’s D-minor fugue, from book I of *The Well-Tempered Clavier*, the subject begins on the first scale degree (see example 2.3.2). Yet, “The subject, thus put down, is possessed of an inherent urge toward the dominant to complete its nearest and strongest stage of development” (50).<sup>45</sup> (Perhaps this is due to the implied Phrygian half cadence on the downbeat of m. 3.) Schenker proposes a transposed answer that begins on

<sup>43</sup> “Nun wird es aber nach dem bereits im § 23 Gesagten klar sein, daß sich so ungleichmäßige Konfigurationen der ersten, fünften und vierten Stufe für die Durchführung motivischer Absichten gar nicht eignen, jedenfalls zu weit unnatürlicheren Resultaten führen müssen, als es der Stil überhaupt gestatten kann” (Schenker 1906, 71–72).

<sup>44</sup> “So würde es in der Fuge, die meiner Auffassung nach historisch der Brennpunkt und Proberstein dieser motivisch-harmonischen Experimente gewesen, zweifellos zur Verletzung der Natürlichkeit führen” (Schenker 1906, 72).

<sup>45</sup> “Wenn J. S. Bach das Fugenthema [example 2.3.2 shown here] setzt, so hat er, da ihn der Trieb der Entwicklung zur Oberquint als zu dessen erstem und stärkstem Stadium emporführt” (Schenker 1906, 65).

**EXAMPLE 2.3.2** J. S. Bach, Fugue no. 6 in D Minor, *The Well-Tempered Clavier*, book I, BWV 851, mm. 1–3 (Schenker 1906, 65, ex. 46)



the fifth degree (see example 2.3.3); it is in the major mode for reasons that are not clear (50).

This hypothetical answer proves unsatisfactory; Schenker much prefers Bach’s minor-mode answer instead (see example 2.3.4). He claims that Bach rejected the major-mode answer for two reasons. First, Bach’s minor-mode answer is more “natural” and therefore has privileged status. This may seem counterintuitive, since the major triad and the major mode are both derived from Nature, but Schenker likely has an analogy in mind: just as all three primary triads in the major mode are uniform in their major quality, it is most “natural” when all three primary triads in the minor mode are uniform in their minor quality. This uniformity allows for the exact replication of motives under transposition. Thus, the answer in example 2.3.3 is not suitable. Second, Schenker argues that a major-mode answer is more appropriate in the fugue’s development rather than its exposition (50). Bach recognized this, too:

[He] sensed that both processes [the major- and minor-mode versions of the answer] had different effects; he recognized clearly which of the two was more natural, and he preferred to conform to Nature by keeping the exposition of his fugue clear of elements which would find their place more appropriately in a later phase. Thus the exposition remained exposition, the development was what it should have been: each part was in its right place and carried its right meaning. Thus the fugue attained its functional structure and its own style.<sup>46</sup> (Schenker [1906] 1954, 50–51)

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<sup>46</sup> “Jedenfalls empfand er einen Unterschied zwischen beiden Wirkungen, hatte ein klares Gefühl darüber, welche von beiden die natürlichere ist, und so konnte er mit Hilfe der Natürlichkeit die Exposition der Fuge von Elementen freihalten, die besser ihren Platz im späteren Stadium der Fuge haben. Exposition blieb eben Exposition, Durchführung war eben das,





EXAMPLE 2.3.5 J. S. Bach, Fugue no. 6 in D Minor, *The Well-Tempered Clavier*, book I, BWV 851, mm. 1–30

a 3. Subject (voice 1)  
 Answer (voice 2)  
 Subject (voice 3)

8 Subject (voice 1) *so!*  
 Answer (voice 1)  
 elision  
 Subject fragment (voice 3; altered middle + tail)

14 Answer (voice 2)  
 Answer (voice 3)

19 Answer (voice 3)

25 Subject (voice 2)

$bII^6$

Another form of the answer enters in stretto (m. 18ff.), which reverses this course, replacing C#<sub>4</sub> with C $\flat$ <sub>4</sub>. Yet another answer enters in m. 21, but here only C#<sub>3</sub> is present. Indeed, C# wins out, with the dominant *Stufe* (now major) preparing for the recapitulation in m. 28.<sup>47</sup>

Since motivic-harmonic relationships have form-functional implications, this modal conflict would be out of place in the exposition, although it is appropriate in the fugue's development (*Durchführung*). This creates a heightened sense of tension, and with that tension, the expectation for resolution to the tonic and the subject's return. Yet the major-minor conflict is not resolved; it also infiltrates the recapitulation (see example 2.3.6). The subject's (voice 3) F $\sharp$ <sub>3</sub> in m. 39 is replaced by F#<sub>3</sub> in m. 40, while in mm. 40–41, the subject's (voice 2) F#<sub>4</sub> is replaced by F $\flat$ <sub>4</sub>. (This is parallel to the answer's entries in mm. 17–18.) Furthermore, F $\flat$  is replaced by F# in the fugue's final measures (a Picardy third): as A major prevailed over A minor in the measures leading to the recapitulation in m. 28, D major prevails over D minor at the fugue's end. This is all in keeping with Schenker's arguments in *Harmonielehre*: the major-minor conflicts are reserved for the development (and recapitulation), and the "artificial" minor mode is restored to the "natural" major.

For another example of how motivic development directly affects harmony in this fugue, consider the Neapolitan chord in m. 9 (see example 2.3.5). The subject-entry (voice 1) in m. 8 begins on E $\flat$ <sub>4</sub> in the key of D minor, E $\flat$  is replaced by E $\flat$  in m. 9, and as a result, the quality of the II chord in m. 9 is major rather than diminished. This alteration is made due to motivic considerations: the perfect fourth from B $\flat$ <sub>4</sub> up to E $\flat$ <sub>5</sub> in m. 9 corresponds to the subject's perfect fourth from F<sub>4</sub> up to B $\flat$ <sub>4</sub> in m. 2. The hypothetical answer in example 2.3.7 is based on what

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<sup>47</sup> Placing the tonic return in m. 28 rather than m. 25 follows Schenker's analysis in *Der freie Satz* ([1935] 1979, fig. 156). Note that the subject returns in its original form in m. 28.

**EXAMPLE 2.3.6** J. S. Bach, Fugue no. 6 in D Minor, *The Well-Tempered Clavier*, book I, BWV 851, mm. 39–44

**EXAMPLE 2.3.7** Hypothetical Phrygian-dominant answer (Schenker 1906, 72, ex. 51)

Schenker calls “the diminished triad of the Phrygian dominant (56–57).”<sup>48</sup> He hears this answer as unfolding a diminished triad on D Phrygian’s fifth degree (A–C–E $\flat$ ), which he describes as a “Procrustean bed”: a motive expressing this diminished harmony “would be altogether insufferable” (56).<sup>49</sup> On the other hand, the Neapolitan triad affords motivic replication on the supertonic *Stufe* in the minor mode because it avoids this situation. And, as Schenker writes, “the motif is not always happy at the thought of possibly finding itself in the position of a diminished triad” (110).<sup>50</sup>

<sup>48</sup> “Man denke sich doch nur das Motiv des Beispielles J. S. Bachs im § 23 [example 2.3.2, p. 101, shown here] im Sinne des verminderten Dreiklanges der Dominante im phrygischen System ausgeführt: [example 2.3.7 follows]” (Schenker 1906, 72).

<sup>49</sup> “Von den anderen, schwierigeren Fällen gar nicht zu sprechen, wo ein Dur- oder Mollmotiv wegen des phrygischen oder lydischen Systems plötzlich gar im Prokrustesbett des verminderten Dreiklangs zu liegen käme, was wirklich eine unerträgliche Lage ist” (Schenker 1906, 72).

<sup>50</sup> “haben doch auch die dorische und mixolydische Mischungsreihe ihre Entstehung vor allem nur dem immanenten Trieb zur Mischung zu verdanken—als wieder meistens aus den

We have seen how new motives require new harmonies (a centrifugal force), yet harmony binds motives together (a centripetal force). Regarding this dynamic process, Schenker writes,

To the extent that the harmonic concept uses as its interpreter the motif, which, as we saw earlier, constitutes the primal part of content—to this extent harmony and content become one. . . . Thus each harmony is not merely asserted but unfolded and demonstrated in this unfolding; as content and harmony join each other, the feeling for the scale-step awakes in us. . . . If we follow the phases of this process, two things become clear: Gradually we understand the form of a composition, and, vice versa, it is this form that reveals and stresses the psychology of the step progression.<sup>51</sup> (Schenker [1906] 1954, 212)

It is with this feeling for the *Stufe*—now awakened—that we turn to the *Stufengang*, cadences, and form on a higher level.

#### § 2.4. FROM *STUFE* TO *PERIODE*

To understand Schenker's early *Formenlehre*, we must cast aside our modern definitions of music theory's most basic concepts. Schenker never explicitly defined many of his ideas—and in practice, he applied them flexibly. Often we must infer their meaning based on fragmentary analyses, while resisting the urge to fill in the gaps with preconceived notions or more familiar

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motivischen Bedürfnissen,—nur daß es diesmal Bedürfnisse der II. Stufe, die ja die zweite Oberquint ist, . . . Ich sagte schon, daß dem Motiv nicht immer die Lage eines verminderten Dreiklangs erwünscht ist" (Schenker 1906, 144).

<sup>51</sup> "In dem Maße nun aber, als der harmonische Begriff zu seinem Dolmetsch eben das Motiv benützt, das ja den primärsten Teil des Inhaltes bildet, verwachsen Harmonie und Inhalt derart, daß von nun ab nur ein. . . . Es wird solchermassen eine jegliche Harmonie nicht bloß behauptet, sondern auch auskomponiert und dadurch erst erwiesen); wie denn eben aus diesem Bunde des Inhaltes und der Harmonie zugleich auch das Gefühl der Stufe (vgl. § 76ff.) in uns erblüht. . . . Verfolgen wir die Phasen dieses Bundes weiter, so wird uns, wenn auch schrittweise, sowohl die Form des Stückes klar, wie umgekehrt mit aus dem Grunde der Form nun auch die Psychologie des Stufenganges ihre wesentliche Bedeutung erst so recht nachdrücklich erweist" (Schenker 1906, 282).

concepts belonging to Schenker's later work.<sup>52</sup> That he failed to define even basic concepts is ironic, however, since he was starting from first principles, building his new *Formenlehre* from the ground up. But in many cases, he merely reproduced earlier approaches. He was “against” the nineteenth-century *Formenlehre* tradition in two senses: he wanted to discredit it, of course, but he was also unable to break through that tradition and create something new.<sup>53</sup>

That Schenker built his approach from the ground up should come as no surprise. He was obsessed with music's origins, first causes, and eternal laws. This was true in the “Geist” essay, where he chronicled music's development from the instinctive singing of early humans to modern-day harmony and counterpoint. And it was true in *Harmonielehre*, where Schenker's obsession with origins manifests through digressions on ancient Greek music (§ 1); the Bach family tree (§ 10; see example 2.4.1);<sup>54</sup> the music of “primitive peoples” (§ 25); and harmony's first unfoldings through melody in folksong and plainchant (§ 76). Yet *Harmonielehre* tells another story—that of an individual composer. In Schenker's treatise, as the tonal materials are generated from simple to complex, a *Künstler* persona is led from naïveté to mastery, which is attained largely through improvisation. Generative theory is thus conflated with music history; or, to put this in the terms of nineteenth-century evolutionary biology, ontogeny recapitulates phylogeny.<sup>55</sup>

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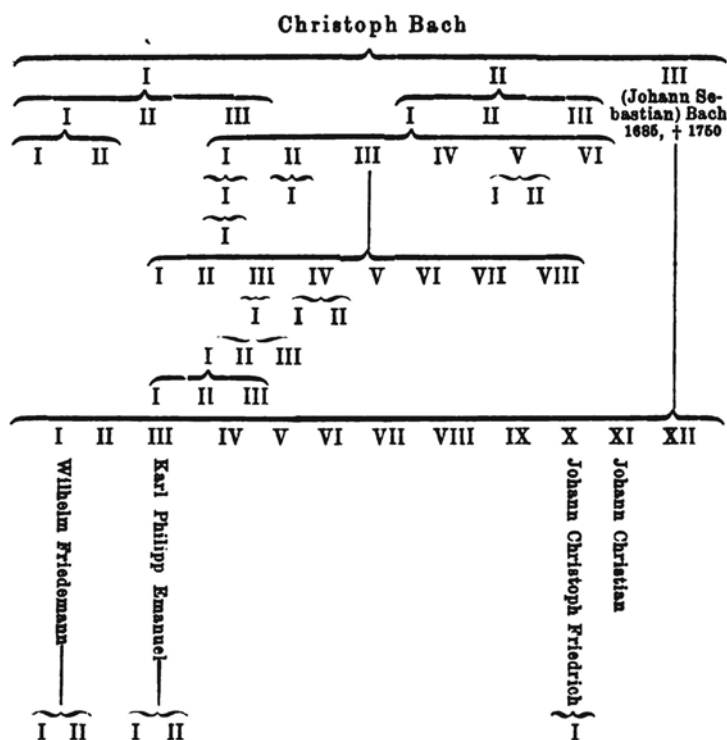
<sup>52</sup> For an example of the latter, see the introduction and footnotes added by Oswald Jonas to the English translation of *Harmonielehre* (Schenker [1906] 1954).

<sup>53</sup> Perhaps this is why Schenker (1912, vii) never published his long-promised “Entwurf einer neuen Formenlehre.”

<sup>54</sup> This example is used to explain tones derived from the overtone series through a “sequence and simultaneity of generations” (Schenker 1954, 23; “Was wir hier [example 2.4.1] sehen, ist ohne Zweifel nebst dem Nacheinander der Zeugung und Fortpflanzung auch ein Nebeneinander der Generationen” [1906, 36]).

<sup>55</sup> See Gould (1977).

EXAMPLE 2.4.1 Sequential and simultaneous generations of the Bach family (Schenker 1906, 36)



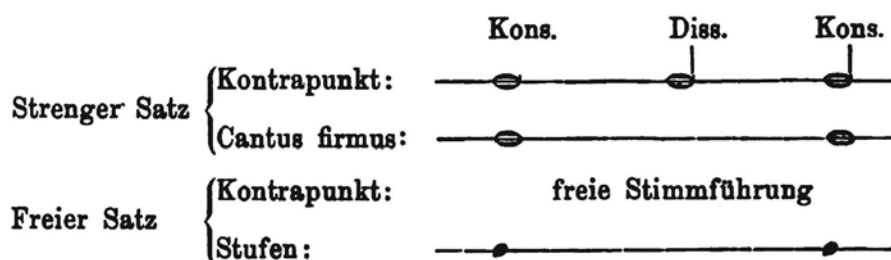
§ 2.4.1. The *Stufe*: Beethoven's *Diabelli* Variations, op. 120, variation 15

*Stufen* are not individual chords; they are idealized scale-steps (often chordal roots) that together function as an imaginary *cantus firmus* below the bass voice.<sup>56</sup> Example 2.4.2 illustrates: in strict counterpoint, the perpetual cycle of consonance and dissonance heard in relation to a *cantus firmus* is analogous to free composition, in which free voice leading is heard in relation to imaginary *Stufen* below the bass.<sup>57</sup> These imaginary *Stufen*—which, I emphasize, are chordal roots

<sup>56</sup> Schenker belongs to a long tradition of nineteenth-century Viennese fundamental-bass theorists that extends into the twentieth century, including Simon Sechter (1853–54), Anton Bruckner (1950), Rudolf Louis and Ludwig Thuille (1907), and Arnold Schoenberg (1911, 1954). For an introduction to Viennese fundamental-bass theory, see Wason (1985).

<sup>57</sup> Although this example was not included in the English-language edition of *Harmonielehre*, it may still be familiar to some; it appears in Jonas ([1934] 1982, 57).

**EXAMPLE 2.4.2** The *Stufengang* as an imaginary *cantus firmus* (Schenker 1906, 204)



but not chords (except when they are!)—serve important functions: they bind voice-leading spans (or motives) together through a common (imaginary) pedal point, and they distinguish these spans from one another. At the same time, the continuous flow of voice leading is contrary to the premise of any *Formenlehre*—namely, grouping music into discrete units.

In example 2.4.3, Schenker (1906, ex. 164) identifies the *Stufen* underlying variation 15 from Beethoven's *Diabelli Variations*, op. 120. I have revised the original example in *Harmonielehre*, providing pedal points beneath the bass voice rather than Roman numerals alone: this is what Schenker's Roman-numeral notation truly asks us to hear. These imaginary pedal points subdivide mm. 1–16 into four four-measure groups, with each group based on an individual *Stufe*.<sup>58</sup> A short-short-long rhythmic motive (labeled *a*) carries across the bar lines in mm. 1–8. At the next higher level of form, mm. 1–4 are bound together by the tonic *Stufe* (motive *A*), which comprises a descending leap followed by a repeated  $G_4$  (i.e., motive *A* comprises four iterations of motive *a*).<sup>59</sup> Motive *A* is repeated in mm. 5–8 but altered to

<sup>58</sup> The fourth group (mm. 13–16) is an exception; although based on the subdominant *Stufe*, there is a return to the tonic in m. 16. By definition, a cadential segment will always contain at least two *Stufen*.

<sup>59</sup> This is an example of durational rhythm (the *a* motives) interacting with tonal rhythm of the scale steps comprising the *Stufengang*; see Schachter ([1976] 1999a).



**EXAMPLE 2.4.3** Beethoven, *Diabelli Variations*, op. 120, variation 15, mm. 1–16 (based on Schenker 1906, 206, ex. 164)

The musical score is presented in three systems. The first system (mm. 1-8) is marked "Presto scherzando" and "sempre pp". It features a treble and bass staff with a piano accompaniment and a "Stufen" (harmonic) line in the bass. The piano part has a melodic line with accents "a" and a bass line with a steady eighth-note pattern. The harmonic line shows a progression from C major (I) to V. The second system (mm. 9-12) is marked "cresc." and "p". It features a treble and bass staff with a piano accompaniment and a "Stufen" line. The piano part has a melodic line with accents "b" and "a!", and a bass line with a steady eighth-note pattern. The harmonic line shows a progression from I<sup>b7</sup> to IV to I. A "recte:" correction is shown for the piano part in the first system.

accommodate the dominant *Stufe* (see *A*). A I<sup>b7</sup> harmony occurs in mm. 9–12 (motive *B*). This analysis is remarkable: every chord from beat 2 of m. 8 to beat 1 of m. 12 is heard over a C pedal, yet the note C does not sound in any voice. Schenker ([1906] 1954, 161) observes that the melody begins on E<sub>4</sub> in m. 8 and ends on G<sub>4</sub> in m. 12, outlining a third belonging to the I<sup>b7</sup> harmony. (This E<sub>4</sub>–G<sub>4</sub> third may also be heard in relation to the G<sub>b2</sub>–E<sub>b2</sub> third in the bass, creating a chromaticized voice exchange.) A change in surface rhythm coincides with a new harmony as

rhythmic motive *a* (short-short-long) gives way to rhythmic motive *b* (long-long).<sup>60</sup> Additionally, the repeated G<sub>4</sub> in motive *a* is transformed into a half step in motive *b*—that is, the upper voice in motive *b* features ascending half steps, while the bass voice features descending half steps.

Example 2.4.3 illustrates how *Stufen* unify surface motives to create higher-order formal units while differentiating those units from one another. The smallest rhythmic motives (*a* and *b*) are combined into four-measure groups through a single *Stufe*. These four-measure groups are then combined at yet a higher level to create an entire *Stufengang*: I–V–I<sup>b7</sup>–IV–I. Moreover, the pronounced change in surface rhythm at the I<sup>b7</sup> in m. 8 supports the thesis introduced in § 2.3: harmonic-motivic development has form-functional implications. A change in harmony signals a change in motivic design (and *vice versa*).

§ 2.4.2. The *Taktgruppe*: Beethoven's Symphony no. 9 in D Minor, op. 125/i, and Piano Trio in G Major, op. 1, no. 2/ii; W. A. Mozart's Symphony no. 39 in E-flat Major, K. 543/i

In addition to *Stufen*, Schenker grouped measures according to their larger hypermetrical context. Perhaps this approach betrays Anton Bruckner's influence. Bruckner, through his studies with Otto Kitzler (1861–63), composed according to a fixed number of measures. For example,

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<sup>60</sup> Both motives share the same weak-strong accentual pattern across the bar line. Furthermore, the motivic-harmonic grouping in this example does not coincide with the notated meter. Instead, all groups—both at the rhythmic motives' lower level and at the four-measure groups' higher level—are heard against the notated meter. Schenker apparently prefers examples that exhibit a mismatch between metrical structure and grouping structure at local levels (cf. examples 2.2.2–3, 2.2.5–7, and 2.2.11–13, p. 91ff.). However, in some examples shown below, he conflates hypermeter (rather than meter) with grouping, causing these parameters to be in phase with each other at levels beyond the measure, including the *Periode* (often eight measures). (The distinctions between meter, hypermeter, and grouping were not as clear in Schenker's early thought as presented here. See Lerdahl and Jackendoff [1983, 12–35] for an introduction to meter versus grouping.)

he divided a *zweiteilige Liedform* into *Perioden* of equal lengths (8 + 8) and a *dreitheilige Liedform* into *Perioden* of unequal lengths (8 + 10 + 8).<sup>61</sup> This compositional approach may have inspired the metrical numbers that appear in Bruckner's autographs from ca. 1876 onward. On the other hand, Timothy Jackson (1990, 103–4) suggests that it was Bruckner's earlier studies with Simon Sechter (1856–61) that inspired the metrical numbers in his compositions and revisions.<sup>62</sup> Jackson describes Bruckner's metrical numbers as follows: "They generally appear beneath the lowest musical staff to represent the number of measures within component phrases of from two to thirty-four measures" (102). That Bruckner aligns these numbers with phrases suggests they are as much an aspect of form (or grouping) as they are an aspect of (hyper)meter. This supports Jackson's hypothesis that one of the metrical numbers' most important functions "is to pinpoint the 'downbeat,' i.e., first, accented measure of the individual phrase" (102). Often this downbeat is where the melody enters. In other words, *the beginning of a melodic group is assumed to be hypermetrically strong*. Yet Bruckner is also concerned with the metrical placement of important cadences—namely, that cadences should also occur on strong (odd-numbered) measures (Grandjean 2001, 85–98). These preferences for strong melodic beginnings and strong cadential endings often conflict with each other.

Bruckner's analysis of Beethoven's Ninth Symphony is an excellent example of these principles at work.<sup>63</sup> Example 2.4.4 shows Bruckner's metrical numbers for the first 87 measures of the symphony's first movement. Two features stand out: the prevalence of eight-measure

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<sup>61</sup> See Hawkshaw (1998, 339–43).

<sup>62</sup> Jackson (1990, 103) suggests that Bruckner's interest in Sechter "may have been reintensified in 1876, when Bruckner began teaching at the University of Vienna." See Grandjean (2001, 43–60) for how Sechter's approach to rhythm and meter may have influenced Bruckner.

<sup>63</sup> This analysis, discussed in Grandjean (2001, 82–93), likely dates from ca. 1876–78.

**EXAMPLE 2.4.4** Bruckner's (hyper)metrical analysis of Beethoven's Symphony no. 9 in D Minor, op. 128/i, mm. 1–87 (based on Grandjean 2001, 90, ex. 17)

Measure numbers: (1) (3) (11) (17) (23) (28) (35)

Bruckner's metrical numbers:  
 1 2 3 4 5 6  
 1 2 3 4 5 6 7 8 1 2 3 4 5 6 7 8 1 2 3 4 5 6  
 1 2 3 4 5 6 7 8 1 2 3

9 10 [11?]

(43) (51) (59) (63) (74) (80)

7 8 1 2 3 4 5 6 7 8 1 2 3 4 5 6 7 8 1 2 3 4 5 6 7 8  
 1 2 3 4 5 6 7 8 9 1 2 3 4 5 6 7  
 10 11 1 2 3 4 5 6 1 2 3 4 5 6 7 8

59 1 2 3 4 5 6 7 8 1  
 ... 1 2 3 4 5  
 ... 1 2 3 4 5  
 ... 1 2 3 4 5

*Perioden* and the layers of (hyper)metrical numbers, which give some measures as many as three interpretations (e.g., see mm. 73–74). For example, Bruckner begins a new eight-measure group in m. 3, which overlaps with the initial six-measure group.<sup>64</sup> The odd (strong) measures in the first group map onto odd measures in the second, and even (weak) measures map onto even. (Bruckner begins a new group in m. 3 due to the entrance of the main motive, distinguishing the motive's entrance from the two introductory measures.) A similar overlap occurs in m. 17, where the main motive enters in a *fortissimo* orchestral tutti two measures before the preceding group reaches its conclusion (notice that Bruckner still maintains the integrity of the eight-measure *Periode* where possible). Wolfgang Grandjean (2011, 90) suggests that the new group beginning in m. 63 signals the onset of the transition section (*Überleitung*), while the group beginning in m. 80 signals the onset of the second theme (*Seitenthema*). If so, Bruckner is adjusting his metrics to reflect the form so that each new section (group) is beginning-accented.<sup>65</sup>

Bruckner may have introduced Schenker to these ideas at the Vienna Conservatory, where Schenker was Bruckner's student from 1887 to 1889 (Federhofer 1985, 5–6). In the “Niedergang” typescript, Schenker is particularly interested in how strong and weak measures combine into higher-level groups (what he calls *Taktgruppen*), writing,

Within a synthesis there arises, in an entirely natural way, the grouping of bars, i.e. their ordering and arrangement in stressed and unstressed or, if you prefer, strong and weak bars. The basic form of the ordering of bars is again two- or three-part, seldom five-part. Composite forms are based on simpler ones. The same applies to the individual beats within the bar itself.<sup>66</sup> (Schenker [1905–6] 2005a, 53)

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<sup>64</sup> I show the beginning of such overlaps with bold metric numbers enclosed by a box.

<sup>65</sup> Schenker (1912, 2) hears this exposition differently: *Einleitung* (mm. 1–16), subdivided into 4 + 4 + 4 + 4; I. *Gedanke* (mm. 17–70), subdivided into *Vorder-* (mm. 17–35) and *Nachsatz* (mm. 35–70); *Modulationspartie* (mm. 71–79); and II. *Gedanke* (m. 80ff.).

<sup>66</sup> “Innerhalb einer Synthese entsteht auf ganz natürlichem Wege die Gebundenheit der Takte, das heisst ihre Ordnung und Zusammensetzung aus betonten und unbetonten Takten

This is hypermeter, even if Schenker does not use the term: as beats are heard as strong or weak within a measure, individual measures are heard as strong or weak within a *Taktgruppe* (hypermeasure). However, this approach, like Bruckner's, conflates grouping and (hyper)meter.<sup>67</sup> Arguably this is not hypermeter alone; it is an approach based largely on the initiation of melodic motives.<sup>68</sup>

Schenker uses the scherzo from Beethoven's Piano Trio in G Major, op. 1, no. 2, to illustrate these ideas (see example 2.4.5). He focuses on the piano part:

Bars 9–12 are initially intended to represent a parallelism to bars 5–8, with the same four-bar ordering retained. Meanwhile, Beethoven uses the last bar (bar 12), verily in opposition to the tendency of parallelism, as the starting point of a new motivic phenomenon, thus making it the head of a new grouping of bars. The repeat of the latter, in bars 14–15, shows that the motive (bars 12–13) has a two-bar organization. From bar 12, then, the ordering is as follows: 12 + 13, 14 + 15. Thus we have a reinterpretation of what was originally a weak twelfth bar as a strong first bar of the new grouping.<sup>69</sup> (Schenker [1905–6] 2005a, 54)

In example 2.4.5, Schenker's *Taktgruppen* are indicated below each system; motives are indicated above the piano part with solid-line brackets. (The three wavy-line, open-ended brackets in

oder[,] wenn man will[,] starken und schwachen. Die Urform der Taktordnung ist wieder eine zwei- und dreiteilige, selten eine fünfteilige. Die zusammengesetzten Formen basieren auf den einfacheren. Ebenso aber ist es innerhalb des Taktes selbst mit den einzelnen Taktgliedern" (Schenker [1905–6] 2005a, 153).

<sup>67</sup> For differences between grouping and meter, see Lerdahl and Jackendoff (1983, ch. 2).

<sup>68</sup> For another example of *Taktgruppen*, see Schenker's ([1921–23] 2004, 28, fig. 6) analysis of Beethoven's Fifth Symphony in *Der Tonville*, issue 1, where he counts as high as 16 measures.

<sup>69</sup> "Takt 9–12 wollen zunächst den Parallelismus zu 5–8 vorstellen, mit Beibehaltung derselben viertaktigen Ordnung. Indessen benützt Beethoven eben den letzten Takt 12 (eben entgegen der Tendenz des Parallelismus) zum Anfangspunkt einer neuen motivischen Erscheinung, u. somit zum Kopf einer neuen Taktordnung. Das Ebenbild der Letztern in den Takten 14 und 15 zeigt, dass das Motiv (12–13) eine zweiertaktige Ordnung hat. Vom Takt 12 also will die Ordnung so heißen: 12 + 13 : 14 + 15. Es liegt hier also eine Umdeutung des ursprünglich schwachen zwölften Taktes in einen starken ersten der neuen Ordnung [vor]" (Schenker [1905–6] 2005a, 154). I have modified the translation somewhat; what was originally translated as "a new appearance of the motive" instead reads "a new motivic phenomenon."

**EXAMPLE 2.4.5** Beethoven, Piano Trio in G Major, op. 1, no. 2/ii, mm. 1–16

Alternative interpretation: 4 (6) 1 2 3 4 1 2 3

*Allegro*

Violin

Cello

Piano

*Allegro*

Schenker's *Taktgruppen*: 1 2 3 4 5 6 7 8

4 5 6 1 2 3 4 5

Parallel to mm. 5–8

9 10 11 12 = ! 2 3 4 [5]

mm. 1–4 indicate other instances of the motive that Schenker does not discuss.) Measures 5–8 are parallel to mm. 9–12, with m. 12 heard as a “weak twelfth bar” (indicated by counting 1 through 12). This hearing assumes—parallel to mm. 5 and 9—that m. 1 is metrically strong (odd).

However, signals in the music counteract this hearing, including the long G<sub>2</sub> in the cello (m. 2ff.) and the half notes in m. 4 (E<sub>4</sub> in the violin, C<sub>4</sub> in the piano).<sup>70</sup> An alternative interpretation,

<sup>70</sup> Lerdahl and Jackendoff's (1983, 84) metrical preference rule (MPR) 5a states, “a metrical structure in which a relatively strong beat occurs at the inception of . . . a relatively long

shown above the two systems in example 2.4.5, would hear mm. 2 and 4 as strong, with the cello's motive in m. 1 and the violin and piano's motives in m. 3 as anacruses—but this hearing would set the hypermeter *against* the melodic grouping.

Like Bruckner, Schenker usually prefers to hear hypermeter and grouping in phase at levels beyond the measure (earlier we saw that the same is not true of meter and motives at the level of the measure).<sup>71</sup> Rothstein (1995, 173) calls this “*the rule of congruence*, meaning congruence between the rhythmic grouping of a melody and its metrical organization.” Schenker's description of the hypermetric reinterpretation in m. 12 (example 2.4.5) makes this clear when he writes, “Beethoven uses the last bar (bar 12) . . . as the starting point of a new appearance of the motive, thus making it the head of a new motivic phenomenon.”<sup>72</sup> These measures would presumably combine to create a four-measure group parallel to mm. 5–8 and mm. 9–12, although it is unclear whether the cadence in m. 16 would also be included. Regarding this analysis, Schenker writes,

Music has, in fact, among other things the property that the end-point of one theme can be elevated to become the starting point of the next, without prejudicing other possibilities of continuing the content. And when, in a weak beat, the cadence of one theme and the start of the second converge, then it often occurs that the starting bar must, precisely for the sake of the second subject, be perceived as strong, i.e. as the beginning of a new metric ordering.<sup>73</sup> (Schenker [1905–6] 2005a, 54)

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pitch-event” is preferred. In Schenker's hypermetric analysis, the durational accents in mm. 2 and 4, which are syncopated against the prevailing hypermeter, foreshadow the reinterpretation 12 = 1 (m. 12). See Temperley (2008) for more on gradual hypermetric shifts.

<sup>71</sup> Rothstein (2011, 98) writes, “German metrical hearing, with its tendency to perceive phrases and metrical units as congruent, will suggest that a four-cycle be counted ‘1–2–3–4’ (first beat strong), corresponding to the metrical theories of Gottfried Weber, Moritz Hauptmann, Anton Bruckner, and Heinrich Schenker.” See Rothstein (2008) for more on German metrical hearing (as opposed to Franco-Italian metrical hearing).

<sup>72</sup> Schenker ([1905–6] 2005a, 54). See note 69 above for the original German.

<sup>73</sup> “Die Musik hat nämlich unter anderem die Eigenschaft, dass der Endpunkt eines Gedankens zu einem Anfangspunkt des nächsten erhoben werden kann, unbeschadet anderer Möglichkeiten[,] den Inhalt fortzuführen. Wenn nun in einem schwachen Takt die Kadenz des



A melodic beginning determines the onset of a *Taktgruppe*, while an in-phase relationship between hypermeter and grouping is assumed. Phrase endings are an afterthought.

An analysis of Mozart's Symphony no. 39 in E-flat Major, K. 543/i, illustrates how *Taktgruppen* create form at higher levels (see example 2.4.6). In fact, *Taktgruppen* are only one level of form within a larger hierarchy extending from motives, to *Perioden*, to *Gedankengruppen* (themes in a sonata exposition). Schenker describes this passage in the "Niedergang" typescript:<sup>74</sup>

And [we may consider] a similar metric within a larger group of themes. Take for example the first group of themes from Mozart's Symphony in E♭, K. 543. The group consists of three sections. The first section alone (bars 1–28) is two-part, that is, it is made up of an antecedent and consequent, each part of which comprises 14 bars resulting from the relationship 8 + 6. The middle section (bars 29–35), with *forte* character, contains 7 bars; [ . . . ] the third and last section (bars 36–45) is again two-part, this time with a relationship of 5 + 5 bars. The result is, first of all, the impression of three-part construction for the entire group which offers the ear a more irrational ordering than two-part construction, even if it is also less complicated. Secondly, the six-bar group following an eight-bar group in the first section represents a second irregularity. Thirdly, the seven-bar length of the middle section is certainly an irrational situation; and finally we have the two five-bar constructions of the last section, which are again far from being simple structures.<sup>75</sup> (Schenker [1905–6] 2005a, 54)

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einen und der Beginn des zweiten Gedankens zusammenstossen, so kommt es des öfters vor, dass eben dem zweiten Gedanken zuliebe der beginnende Takt für stark angesehen werden muss, d.h. für den Kopf einer neuen Taktordnung" (Schenker [1905–6] 2005a, 153).

<sup>74</sup> Schenker renumbers the measures, with K. 543/i's opening *Allegro* labeled as m. 1.

<sup>75</sup> "Und eine ähnlich[e] Taktoperation innerhalb einer grössern Gedankengruppe. Nehmen wir z.B. die erste Gedankengruppe aus Mozarts Es-dur Symphonie Köchel Verzeichnis Nummer [543]. Die Gruppe besteht aus drei Teilen. Der erste Teil allein (1–28) ist zweiteilig, aus Vorder- und Nachsatz also nun gebildet, wobei jeder Teil 14 Takte, die aus einem Verhältnis von 8–6 resultieren, zählt. Der mit[t]lere Teil (29–35) mit Forte-Charakter zählt 7 Takte, < . > der dritte letzte (36–45) ist wieder zweiteilig[,] weist aber[?] die Verhältnisse 5–5 auf. Das Resultat also ist erstens der Eindruck der Dreiteiligkeit der ganzen Gruppe, die dem Ohre immerhin ein[e], wenn auch noch wenig komplizierte dennoch irrationalere Ordnung bietet als die Zweiteiligkeit. Und nun zweitens: im ersten Teil die sechstaktige Gruppe in Fortführung der achttaktigen—eine zweite Unregelmässigkeit, drittens die Siebentaktigkeit des zweiten mittleren Teiles sicher eine Irrationalität, endlich die beiden fünftaktigen Bildungen des letzten Teiles, sicher doch wieder nichts weniger als einfache Gebilde" (Schenker [1905–6] 2005a, 154).

**EXAMPLE 2.4.6** W. A. Mozart, Symphony no. 39 in E-flat Major, K. 543/i, mm. 26–72 (string parts only; renumbered as mm. 1–47)

**Gedankengruppe (mm. 1–45)**  
**erste Teil (mm. 1–28)**  
 Vordersatz (mm. 1–14) I:HC?

*Allegro*  
*p*

Taktgruppen: 1 2 3 4 5 6 7 8 1 2 3 4 5 6

**Nachsatz (mm. 15–28)**

1 2 3 4 5 6 7 8 1 2 3 4 5 6

**mit[t]lere Teil (mm. 29–35)** **letzte Teil (mm. 36–45)**

I:PAC?

1 2 3 4 5 6 7 1 2

I:PAC?

3 4 5 1 2 3 4 5 [1 2]

The entire *Gedankengruppe* comprises three contrasting parts: mm. 1–28, 29–35, and 36–45. The first part is subdivided into a *Vordersatz* (mm. 1–14), ending with a half cadence, and a *Nachsatz* (mm. 15–28), ending with a perfect authentic cadence (with the latter cadence resolving to tonic harmony in m. 29). (Because Schenker never mentions these cadences, they are shown with question marks in example 2.4.6.<sup>76</sup>) The authentic cadence overlaps with the beginning of the *mit[t]lere Teil* (m. 29ff.), although Schenker’s grouping does not recognize this. Strangely, the *Nachsatz* (mm. 15–28) does not include the final tonic *Stufe* that completes its own *Stufengang*. This suggests that grouping (*qua* melodic structure) is weighted more heavily than cadential articulation, which is also true of previous *Formenlehren* by nineteenth-century theorists, such as Marx (1837–47) and Riemann (1889; 1902–3a).

Examples 2.4.5 and 2.4.6 share this feature in other places as well. In Beethoven’s scherzo, the authentic cadence (m. 16) was not part of the implied four-measure group (mm. 12–15). In Mozart’s symphony, the same phenomenon occurs in mm. 45–46: the authentic cadence’s tonic resolution is not included in the five-measure group (mm. 41–45) or the higher-order third *Teil* (mm. 36–45). Schenker’s adherence to the rule of congruence is so strong that new phrases often write over the old, lessening the role that cadences play in articulating parts of the form. We might therefore think of form in two ways: beginning-oriented, which emphasizes the onset of themes, and end-oriented, which emphasizes cadential goals. Most nineteenth-century theories of form fall into the former category, whereas eighteenth-century theories fall into the latter.

Schenker’s early *Formenlehre* is clearly aligned with the nineteenth century.

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<sup>76</sup> Throughout this dissertation, cadences that Schenker explicitly mentions are indicated using modern designations such as I:HC or V:PAC. Cadences that Schenker does not mention explicitly but likely would have heard are indicated using question marks (e.g., I:HC?). Schenker’s conception of the cadence is discussed in § 2.4.3 and summarized in table 2.4.1, p. 126.

§ 2.4.3. The *Schluß*: W. A. Mozart's Piano Sonata in C Major, K. 330/i; Chopin's Ballade in G Minor, op. 23; C. P. E. Bach's Keyboard Sonata in F Minor, H. 173/ii; Other Works

In example 2.4.6, Schenker combined *Taktgruppen* to create a *Periode* (mm. 1–28). His analysis of Mozart's K. 330/i, shown in example 2.4.7, introduces a new element: the cadence. Schenker begins with this passage's motivic content, observing that mm. 1–2 unfold a C-major triad. This triad has six possible harmonic meanings: it can function either in three major keys (as I, IV, or V) or in three minor keys (as III, VI, or VII) (213). Thus, “harmony . . . calls for a further clarification, which, in turn, creates in us the need and expectation of a continuation” (213).<sup>77</sup> Measures 5–8 provide this clarification by introducing new *Stufen*, which coincide with changes in motivic design. In m. 5, the subdominant *Stufe* coincides with the ascending arpeggio. In m. 7, the dominant *Stufe* coincides with the descending scalar figure (214).<sup>78</sup> In m. 8, the dominant *Stufe* resolves to the tonic, creating a “preliminary, relative kind of satisfaction” because “we lack the conceptual association which would be introduced by a repetition” (215).<sup>79</sup> This repetition follows in mm. 9–12. While the IV–[I]–V–I *Stufengang* is the same for both *Vorder-* and *Nachsatz*, “the melody, with the reappearance of the tonic, brings merely the third instead of the root itself [in m. 8], the authentic cadence here is *imperfect*” (217).<sup>80</sup> Therefore, three factors

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<sup>77</sup> “So verlangt denn also für ihren Teil die Harmonie schon allein nach weiterer Erläuterung, wer sie sei, wodurch das Bedürfnis und damit zugleich die Erwartung einer Fortsetzung in uns entsteht” (Schenker 1906, 283).

<sup>78</sup> It is unclear whether Schenker hears a tonic *Stufe* in m. 6; therefore, I have placed this Roman numeral in square brackets. His analysis of mm. 9–10 suggests that mm. 5–6 should be heard similarly.

<sup>79</sup> “Die Befriedigung, zu der wir in den beiden Fällen unserer Beispiele gelangen, können wir indessen noch nicht als eine endgültige, sondern nur erst als eine vorläufige, eine relative bezeichnen, da es zunächst ja noch an der für die Deutlichmachung des bereits gewonnenen Inhaltes unerläßlichen Assoziation der Wiederholung fehlt” (Schenker 1906, 285).

<sup>80</sup> I have modified Borgese's translation so the terminology is consistent with modern usage; emphasis is added to match the original. “Der Stufengang ist freilich derselbe wie im

**EXAMPLE 2.4.7** W. A. Mozart, Piano Sonata in C Major, K. 330/i, mm. 1–18 (based on Schenker 1906, 282, 284–85, exx. 246, 248, 250)

*Periode* (mm. 1–12)  
*Vordersatz* (mm. 1–8)

**Allegro moderato**  
 [Quint] [Grundton] [Terz] [Quint]

C major: I

5

IV [I] V I

*Nachsatz* (mm. 9–12)

I:PAC

9

IV I V I

interact to produce a cadence: the motivic design, the *Stufengang*, and the degree of melodic closure. In the opening of Mozart's K. 330/i, the *Nachsatz* answers the *Vordersatz*, which fulfills our need for repetition, while the progression IV–[I]–V–I provides harmonic closure for both segments (216). Regarding the second cadence,

Such step progression, IV–V–I, may occur anywhere—at the beginning, in the middle, or at the end of a musical thought. . . . If we consider such a step progression . . . from the harmonic angle alone and disregard any question of form, we find that it emphasizes, first of all, the tonic [*Stufe*] and, second, the key of the tonic. If we now consider that, in addition, the return to the tonic [*Stufe*] coincides

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*Nachsatz*, da indes die Melodie im Moment des Eintreffens der Tonika bloß die Terz des Tonikadreiklangs und nicht schon den Grundton selbst bringt, so ist der Ganzschluß hier eben nur ein unvollkommener" (Schenker 1906, 288).

with the formal conclusion—as it does in this consequent—and that it thus signifies a return to the harmonic point of departure, we see that the motion has reached its goal: form as well as harmony have closed their cycle.<sup>81</sup> (Schenker [1906] 1956, 217)

Schenker's metaphor suggests that there are two cycles: one models the step-progression's departure from and return to the tonic; the other models form's beginning–middle–end paradigm. These cycles may or may not be aligned—again, a IV–V–I progression might occur *anywhere* in a musical thought—although they must align to create a satisfactory cadence. For example, an authentic cadence occurs only when the *Stufengang* returns to the tonic and form's cycle reaches its end. When cadences do occur, the final harmonies are described as *Stufen als Satzteiler*, or *Stufen* that divide the form.<sup>82</sup>

Schenker returns to this idea in his analysis of Chopin's G-minor ballade, shown in example 2.4.8(a). This example suggests that a single thought (a *Vordersatz*) can incorporate at least three motions toward the tonic *Stufe*. The first motion begins off tonic. The third motion reaches only as far as the dominant—thus, a half cadence (although one might hear m. 12 as part of an authentic cadence overlapping with m. 13 [not shown]). However, this example is telling not for

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<sup>81</sup> I have modified this translation; Borgese translates *Kreislauf* as “circle” rather than “cycle.” “Dieser Stufengang IV, V, I kann indessen wohl überall—am Anfang, in der Mitte wie auch am Schlusse eines Gedankens—vorkommen. . . . Harmonisch allein betrachtet und von jeder Form losgelöst, sehen wir einen solchen Stufengang . . . seine Wirkung immer zunächst zu Gunsten einer Tonika und in weiterer Folge auch ihrer Tonart äußern. Kommt aber dazu noch die Tatsache, daß—wie oben im Nachsatz des Mozartschen Beispiels (Fig. 250) [example 2.4.7, mm. 9–12]—die Tonika gar nun mit dem Ende der Form zusammenfällt und somit denn auch die Rückkehr zum ersten harmonischen Ausgangspunkt bedeutet, so sehen wir die treibenden Kräfte endlich an ihrem Ziele, Form wie Harmonie haben einen vollen Kreislauf absolviert” (Schenker 1906, 287–88). This passage is also discussed in Arndt (2012, 7–10).

<sup>82</sup> Although the phrase *Stufen als Satzteiler* might generally describe cadences in Schenker's early work, he uses this term to describe modifications made to half cadences in particular (see note 90, p. 128). He later describes dominant *Stufen* as dividers of the form in the edition of J. S. Bach's *Chromatic Fantasy and Fugue* (Schenker [1910] 1984, 23, 23n9).

**EXAMPLE 2.4.8** *Stufen als Satzteiler*: Chopin, Ballade in G Minor, op. 23

(A) Chopin, Ballade in G Minor, op. 23, mm. 8–12 (OC 83/418; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

(B) Chopin, Ballade in G Minor, op. 23, mm. 8–12

(C) Chopin, Ballade in G Minor, op. 23, mm. 20–36 (OC 83/417; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

what it includes but for what it leaves out. In example 2.4.8(b), the two melodic ideas (*Abschnitte*) and three harmonic cycles are out of phase until the half cadence arrives. There is only one *Satzteiler*—the *Stufengang* alone is unable to create a cadence.<sup>83</sup> The *Nachsatz* in example 2.4.8(c) shows a similar three-stage process, although the third motion toward the tonic *Stufe* is discontinuous (written  $V^\sharp \parallel II^{\sharp 3}$ ). Schenker likens this to a deceptive cadence (*Trugschluß*), but the notation *Halb.* after m. 31 (see above the Roman numeral V) suggests that he initially heard it as a half cadence (*Halbschluß*).

On the left-hand side of example 2.4.8(a), a vertical line separating two dominants indicates a similar discontinuity. Perhaps this line represents the boundary between the introduction and the main theme; or, perhaps this line is meant to draw attention to the discontinuity (*Halbschluß*) that occurs when we reach the dominant at the end of the *Vordersatz* in m. 12, although this division is felt even more strongly once the *Nachsatz* repeats the first *Abschnitt*.<sup>84</sup> According to either interpretation, this vertical line manifests a force intruding from *outside* the logic of voice leading and harmonic progression—a force strong enough to split what might otherwise be a single dominant *Stufe* into two distinct entities. Before Schenker incorporated interruption (*Unterbrechung*) into his mature theory, no explanation based on harmony or voice leading alone could account for this phenomenon.<sup>85</sup> Until then it was a division based on grouping, design, and the larger *Periode* schema.

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<sup>83</sup> Here the *Stufengang* is linked with a formal division through the half cadence, but in Schenker's later work, cadences have an increasingly ambivalent relationship with formal divisions. In fact, in his later theory, cadences are often defined by their *Stufengang* aspect alone rather than their form-defining aspect. This is discussed further in § 3.2.2.

<sup>84</sup> On the right side of example 2.4.8(c), Schenker writes, “A<sub>1</sub> a) VS/2.” This indicates that within the A<sub>1</sub> section, a<sub>[1]</sub> is a *Periode* whose *Vordersatz* ends with a half cadence.

<sup>85</sup> See Samarotto (2005) for a nuanced account of interruption.



**TABLE 2.4.1** Schenker's cadence types (Schenker [1906] 1954, §§ 119–24; cf. table 1.3.1, p. 39)

	<b>Cadence Type</b>	<b>Stufen</b>
<b>Haupttypen</b>	Authentic cadence ( <i>der Ganzschluß</i> ; § 119): Conclusive, a full stop (A) Perfect authentic cadence ( <i>der vollkommene Ganzschluß</i> ): Melody ends with $\hat{1}$ over I (B) Imperfect authentic cadence ( <i>der unvollkommene Ganzschluß</i> ): Melody ends with either $\hat{3}$ or $\hat{5}$ over I	Primarily: V–I Often: IV–V–I Substitution: II–V–I Often: IV (or II)–V $\frac{4}{3}$ –I
	Half cadence ( <i>der Halbschluß</i> ; § 120): Less conclusive, as if a question mark in language	Primarily: I–V Often: I–IV [or II]–V
	Deceptive cadence ( <i>der Trugschluß</i> ; § 121): VI substitutes for I, as if an authentic cadence	Primarily: V–VI Often: V–IV
	Plagal cadence ( <i>der Plagalschluß</i> ; § 122): IV substitutes for V, as if an authentic cadence	Primarily: IV–I Often: V–IV–I

Table 2.4.1 summarizes the cadences described in *Harmonielehre* (Schenker [1906] 1954, §§ 119–24). There are three main types (*Haupttypen*): authentic, half, and deceptive (224). The authentic cadence provides complete closure. It comprises the progression V–I, which is often expanded to IV–V–I, II–V–I, or IV–V $\frac{4}{3}$ –I (216, 228–29). The two types of authentic cadence include those ending with  $\hat{1}$  over the tonic *Stufe* (*der vollkommene Ganzschluß*), and those ending with either  $\hat{3}$  or  $\hat{5}$  over the tonic *Stufe* (*der unvollkommene Ganzschluß*). The half cadence is likened to an inconclusive punctuation mark in language, such as a question mark (219). Half cadences occur when an incomplete *Stufengang* ends on a dominant *Stufe*, including I–IV–V or I–II–V (219). Schenker also allows half cadences to end with a dominant seventh chord.<sup>86</sup> In Schumann's “Im wunderschönen Monat Mai” (example 2.4.9), he emphasizes the dominant's added seventh. That Schenker indicates the seventh is unusual;<sup>87</sup> in this case, the Roman numeral indicates both a chord and a note belonging to an imaginary *cantus firmus*.

<sup>86</sup> Caplin (1998, 75; 2004, 70) does not, preferring the term *dominant arrival* in these cases. Burstein (2014, 210–18) questions this restriction.

<sup>87</sup> Schenker often does not indicate chordal sevenths, even when they are present.

**EXAMPLE 2.4.9** R. Schumann, “Im wunderschönen Monat Mai,” *Dichterliebe*, op. 48, no. 1, mm. 23–26 (Schenker 1906, 291–92, ex. 254)

The image shows two systems of musical notation for a piano accompaniment in F minor. The first system consists of four measures. Below the bass line, the Roman numerals VI, II, V, and VI are written, indicating the chord progression. The second system consists of two measures, with Roman numerals II and V7 written below the bass line. The notation includes treble and bass clefs, a key signature of two flats, and various musical symbols such as notes, rests, and accidentals.

While authentic cadences and half cadences demarcate parts of the form, such as at the end of a *Vorder-* or *Nachsatz*, the deceptive cadence (V–VI) typically does not. The submediant *Stufe* in the deceptive cadence substitutes for the tonic *as if* it were an authentic cadence (221–22). Schenker uses a novel metaphor to describe the deceptive cadence occurring in the last two measures of Chopin’s B-minor prelude, shown below in example 2.4.10(a):

Here the author gets ready to conclude his thought, as results obviously from the step progression V–I–V–VI and V, in measures 7–9 [mm. 15–17 in the score] of this example [example 2.4.10(a)]. At the last moment, however, instead of using the I step, which would have brought the closing effect, he introduces a VI, viz., G, which, here in the minor mode, lies half a tone above V. This, for the time being, defers the closing effect. Apparently, the effect of the tonic, B, is omitted, since it has been replaced by the VI; but if we hear and feel how the expected B arrives not as root tone but as a third, imprisoned, so to speak, by another root tone (viz., that of VI, G), we will understand that we are dealing here with a type of closing effect which is fittingly called a “*deceptive cadence*.”<sup>88</sup> (Schenker [1906] 1954, 221–22; emphasis added to match the original)

<sup>88</sup> “Hier schickt sich der Autor bereits an, den Gedanken zu schließen, wie man aus der Stufenfolge: V, I, V, VI und V in den Takten 7 bis 9 des Beispiels, leicht entnehmen kann. Im letzten Moment aber gebraucht er statt der ersten Stufe, welche die erwartete Schlußwirkung gebracht hätte, eine sechste Stufe, nämlich G, das hier in Moll um einen Halbton höher als die fünfte liegt, wodurch zunächst die Schlußwirkung vertagt wird. Scheinbar entfällt hier der Effekt der Tonika H, da statt ihrer die sechste Stufe gekommen ist; hört und empfindet man aber, wie das erwartete H zwar nicht selbst als Grundton gekommen, als Terz jedoch gleichsam in die Gefangenschaft eines anderen Grundtones (nämlich der sechsten Stufe G) geraten ist, so begreift man, daß hier eine Nuance der Schlußwirkung vorliegt, die psychologisch sehr treffend als ‚Trugschluß‘ bezeichnet wird” (Schenker 1906, 293–94).

Continuation is required since, “for the time being, [the deceptive cadence] defers the closing effect” (221). The “tonal prisoner” must be set free:

The author now is faced with the task—to continue our metaphor—of delivering the tonic from its imprisonment, i.e., to express it now in terms of scale-steps; he must find the way from VI, which is heard as the third fifth (in rising order), back to the tonic, descending through the second and first fifths.<sup>89</sup> (Schenker [1906] 1954, 222)

This task is accomplished by repeating mm. 15–18 (cf. mm. 19–22). A perfect authentic cadence brings final closure in example 2.4.10(b), mm. 21–22.

After establishing the three cadential *Haupttypen*, Schenker ([1906] 1954, §§ 122–24) provides examples of how each might be modified in practice. By modifying the authentic cadence, he derives the plagal cadence—that is, IV–V–I becomes V–IV–I (see table 2.4.1 above). He cites the passage in example 2.4.3 (p. 110), hearing the I–V–I<sup>7</sup>–IV–I progression as a variant of I–V–IV–I. In example 2.4.11, the chord at the fermata is heard as an altered half cadence. Schenker writes, “The half-close, too, allows for various modifications; for, besides the dominant, there are other scale-steps which can be used as temporary conclusions” (224).<sup>90</sup> The F-sharp-major triad in m. 96—or at least its root—belongs to the prevailing E-minor *Diatonie*. This harmony is heard as II<sup>#3</sup> in E minor rather than V in B minor; nonetheless, this “cadence” has the same effect as a half cadence. A passage from Beethoven’s *Pastoral* Symphony illustrates how the deceptive cadence might be modified. The V–VI progression in example 2.4.12 is altered to V–III<sup>#3</sup>, yet the latter progression creates the same effect as the former. In other words, III<sup>#3</sup> is

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<sup>89</sup> “Der Autor sieht sich daher vor die Aufgabe gestellt, die Tonika—um in unserem Bilde zu bleiben—aus der Gefangenschaft zu befreien, d.h. es gilt—um im Sinn der Stufen zu sprechen—von der sechsten Stufe, die als dritte Oberquint empfunden wird, den Weg zur Tonika zurück über die zweite und erste Oberquint fallend zu suchen” (Schenker 1906, 294).

<sup>90</sup> “Auch vom Halbschluß lassen sich verschiedene Modifikationen denken, da ja außer der Dominante noch andere Stufen als Satzteiler komponiert werden können” (Schenker 1906, 297).

**EXAMPLE 2.4.10** Cadences in Chopin's Prelude in B Minor, op. 28, no. 6, mm. 9–23

(A) Deceptive cadence (*Trugschluß*), mm. 9–18 (Schenker 1906, 286, ex. 251)

I  $\text{VI}^{\sharp 7}$   
 $\sharp\text{II}$  (phryg.)  
 V I VII (= V) VI  
 V VI  
 Trugschluß

(B) Authentic cadence, mm. 18–23 (Schenker 1906, 294, ex. 257)

VI VII (V) I VII (V) VI  
 V I  
 u. s. w.

**EXAMPLE 2.4.11** Beethoven, Piano Sonata in E Major, op. 109/ii, mm. 92–105 (Schenker 1906, 297, ex. 260)

The musical score for Example 2.4.11 is in E major and 3/4 time. It consists of three systems of piano and bass staves. The first system is marked *Prestissimo*. The second system has a *pp* dynamic marking. The third system has *pp* and *ff* dynamic markings.

**EXAMPLE 2.4.12** Beethoven, Symphony no. 6 in F Major, op. 68/ii, mm. 39–41 (Schenker 1906, 305, ex. 263)

The musical score for Example 2.4.12 is in F major and 3/4 time. It consists of two systems of piano and bass staves. The first system has *dim.* and *p* dynamic markings. The second system has *pp* and *u. s. w.* markings.

replaced by the expected tonic *Stufe* in m. 41 (and  $\hat{3}$  is held prisoner rather than  $\hat{1}$ ). A similar modification occurred in example 2.4.8(c) (see p. 124), where the progression  $V^{\sharp}-II^{\sharp 3}$  stood for a deceptive cadence (V–VI).

Other modifications are also possible. Although most cadences identified in *Harmonielehre* involve root-position chords, cadences are not limited to such chords in all instances. Because cadences involve ideal (or imaginary) *Stufen*, inversion does not cancel their effect.<sup>91</sup> For example, in *Ein Beitrag zur Ornamentik*, Schenker ([1903, rev. 1908] 1976, 40–41) identifies an authentic cadence in C. P. E. Bach’s Keyboard Sonata in F Minor, H. 173/ii, where both the V and I chords are inverted (see example 2.4.13). This movement begins with a motive that arpeggiates the tonic triad (F major). Based later on a D triad (first minor, then major), the motive is transferred from the lower voice to the upper voice in mm. 25–26. Schenker ([1903] rev. 1908, 18) describes mm. 26–27 as *eine kleine Kadenz nach c-moll*, but the dominant appears as  $V^4_2$  by the end of m. 26 and resolves to  $I^6$  on the downbeat of m. 27. The *Reprise*, beginning in m. 28, likely influences this hearing: because it is an important point in the form, Schenker is willing to acknowledge a cadence despite the inverted chords. Yet the C-minor triad in m. 27 does not relate to the following F-major triad directly:

When the F-major triad occurs [in m. 28], it is easy for the listener to realize what is expected of him, namely that his own instincts must supply the necessary chromatic change from C–E $\flat$ –G to C–E–G [in m. 27]. It is of no importance that the intent of the composer, especially in regard to the rests, becomes clear only at the entrance of the F-major chord; all music, as we know, is made up of similar *a posteriori* events.<sup>92</sup> (Schenker [1903, rev. 1908] 1976, 41)

It is unclear whether this imaginary C-major chord participates in a half cadence in m. 27 or a full cadence in mm. 27–28.

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<sup>91</sup> Caplin (1998, 43; 2004, 70) claims that chord inversion cancels the effect of a cadence.

<sup>92</sup> “Kommt nun der *f*-dur-Dreiklang, wie leicht hat es der Zuhörer zu merken, was der Autor von ihm verlangt: daß er nämlich selbst, aus dem eigenen Instinkt heraus, die hier nötige Chromatisierung des *c es g* nach *c e g* vollziehe. Es verschlägt nichts, daß ihm erst mit dem Eintritt des *f*-dur-Akkordes die Tendenz des Autors, bezw. der Pausen offenbar wird: ist doch alle Musik—wie bekannt—von Haus aus auf ein ähnliches *a posteriori* gestellt” (Schenker [1903] rev. 1908, 19).

**EXAMPLE 2.4.13** C. P. E. Bach, Keyboard Sonata in F Minor, H. 173/ii, from the third collection *für Kenner und Liebhaber*, mm. 1–2, 21–29

Andante

21

23

26 [Reprise]

C minor: V  $\overset{\flat}{\text{I}}$  F major: I

eine kleine Kadenz nach c-moll

#### § 2.4.4. The *Periode*: Chopin's Prelude in B Minor, op. 28, no. 6

The *Periode* is the most important schema in Schenker's early *Formenlehre*. Thematically, a *Periode* may have either two parallel sections (see example 2.4.6, mm. 1–28, p. 119) or two contrasting sections (see example 2.4.7, p. 122). A *Periode* may be either symmetrical, where *Vorder-* and *Nachsatz* are the same length (again, see example 2.4.6, mm. 1–28), or asymmetrical, where *Vorder-* and *Nachsatz* are different lengths (again, see example 2.4.7). The cadence at the end of each *Satz* is also flexible. In example 2.4.6, the *Vordersatz* ends with a half cadence in m. 14; the *Nachsatz* ends with a perfect authentic cadence in mm. 28–29. In example 2.4.7, the *Vordersatz* ends with an imperfect authentic cadence in m. 8; the *Nachsatz* ends with a perfect

authentic cadence in mm. 11–12. In some cases, a *Vordersatz* can even end with a perfect authentic cadence.<sup>93</sup> Schenker writes,

One might feel tempted to think that the perfect authentic cadence should be used only at the conclusion of the consequent, while the antecedent should always be concluded by an imperfect authentic cadence. This may hold true for most cases; such a connection between form and cadence, however, is not absolutely obligatory, and a perfect authentic cadence may occur also at the conclusion of an antecedent. For example: [example 2.4.14] in which . . . the perfect authentic cadence (despite even the fermata) is not strong enough to obliterate our desire for mental association, i.e., in this case, for a consequent. Thus . . . the cadence rests [first of all] on the harmonic principle of step progression. When form enters as a codetermining factor, the cadence reaches a point of satisfaction as soon as a resting point, however minimal, is formally reached.<sup>94</sup> (Schenker [1906] 1954, 217–18)

Schenker's conception of the *Periode* is a versatile type that accommodates a wide variety of tokens. It does not require any particular proportion (symmetrical or asymmetrical), thematic design, or cadential syntax. It is a simple proposition–response paradigm that results whenever two *Sätze* are yoked together.

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<sup>93</sup> Compare this with Caplin (1998, 51), who claims by definition that the “perfect authentic cadence cannot be used to close an antecedent phrase, since this strong cadence achieves complete harmonic and melodic closure,” although he allows an imperfect authentic cadence to close an antecedent. Rothstein ([1989] 2007, 18) limits the terms *antecedent* and *consequent* to cases where the antecedent ends in a half cadence. His conception of the period, however, is still rather general (and much like Schenker's): “the term *period* can refer to any phrase that contains at least two smaller phrases; it is not necessary that any of the smaller phrases end with a half cadence.”

<sup>94</sup> I have modified Borgese's translation to reflect modern terminology. “Man könnte freilich danach versucht sein zu glauben, daß der vollkommene Ganzschluß vielleicht immer nur ans Ende des Nachsatzes, dagegen ans Ende des Vordersatzes stets ein unvollkommener gehöre. Mag dies auch in den meisten Fällen zutreffen, so ist dennoch ein solcher Zusammenhang von Form und Kadenz keineswegs ein unbedingt, und es kann auch am Ende des Vordersatzes ein vollkommener Ganzschluß vorkommen, wie z.B.: [example 2.4.14] wo der vollkommene Ganzschluß (selbst trotz ☺) dennoch nicht die Macht hat, unser Bedürfnis nach der Assoziation d.h. hier nach dem Nachsatz aufzuheben. Wie man sieht, beruht das Wesen der Kadenz also in erster Linie auf dem harmonischen Gesichtspunkt des Stufenganges, wobei es ihr, sobald zugleich auch die Form mitbestimmend wirkt, schon genügt, wenn diese bei einem noch so kleinen Ruhepunkt anlangt” (Schenker 1906, 288–90).



**EXAMPLE 2.4.14** Haydn, Piano Sonata in E Minor, Hob. XVI:34/i, mm. 30–42 (Schenker 1906, 289, ex. 253)

Schenker’s analysis of Chopin’s B-minor prelude demonstrates how motives, the *Stufengang*, cadences, and the larger *Periode* schema all interact. This analysis—which I have reconstructed from brief commentary in *Harmonielehre*, in addition to Schenker’s personal copy of the score located in the Jonas Collection—follows the generative stages of his *Formenlehre* from a single motive to an entire *Periode*.<sup>95</sup> The prelude’s opening idea, shown in example 2.4.15, reveals the bond between motive and harmony: “it is the motif that gives life to the abstract concept of the triad, B, D, F-sharp. . . . [so that] harmony and content become one” (Schenker 1954, 211–12).<sup>96</sup> The opening motive (labeled *c*) comprises the initial arpeggio (labeled *a*) and the stepwise

<sup>95</sup> For another analysis of Chopin’s B-minor prelude, see Burkhart (1973).

<sup>96</sup> “So z.B. macht in Chopins Prélude, Op. 28, Nr. 6 erst das Motiv: [example 2.4.15] den abstrakten Dreiklangsbegriff H, D, Fis so recht lebendig, wogegen [example of a B-minor triad in first inversion] allein bloß etwa die Wirkung einer zunächst nur skizzierten Behauptung

**EXAMPLE 2.4.15** A composite motive: Chopin's Prelude in B Minor, op. 28, no. 6, mm. 1–3 (based on Schenker 1906, 281, ex. 244; JC 31/19)



third (labeled *b* and *b'*).<sup>97</sup> Schenker identifies only the first instance of motive *c*, while I show related variants in example 2.4.16 using solid brackets.<sup>98</sup> In some instances, motive *c* extends to the downbeat of a third measure (e.g., mm. 1–3), whereas in other instances, it is either two measures long (e.g., mm. 9–10) or dissolves into cadential material (e.g., mm. 5–6).<sup>99</sup> Variants of motive *b* are indicated using wavy-line brackets.<sup>100</sup> Unlike motive *a*, motive *b* sometimes occurs in the upper voice: see mm. 7–8 (the E<sub>5</sub>–D<sub>5</sub>–C<sub>5</sub> descent that leads to a half cadence), mm. 14–15 (the C<sub>4</sub>–B<sub>4</sub>–A<sub>4</sub> descent that leads to the entrance of a new melody in the lower voice), and mm. 22–23 (although the B<sub>4</sub>–A<sub>4</sub>–F<sub>4</sub> motive outlines a fourth instead of a third).

In keeping with Schenker's early theory, motive *c* produces new *Stufen*. In mm. 1–4, two instances of motive *c* initially express a B-minor triad, which has six possible harmonic meanings. This ambiguity requires further clarification, which is provided in mm. 5–6 through the VI, II<sup>#3</sup>, and V *Stufen* that follow. A half cadence occurs in m. 8, resulting in “only a preliminary, relative

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erreicht. . . . In dem Maße nun aber, als der harmonische Begriff zu seinem Dolmetsch eben das Motiv benützt, das ja den primärsten Teil des Inhaltes bildet, verwachsen Harmonie und Inhalt derart” (Schenker 1906, 281–82).

<sup>97</sup> This is modeled after the composite motive identified in example 2.2.15, p. 97. I highlight the initial triadic ascent (motive *a*); Schenker highlights the stepwise thirds (D–C#–B) in his personal copy of the score (JC 31/19).

<sup>98</sup> See mm. 3–4, 5–6, 9–10, 11–12, 13–14, and 23–26.

<sup>99</sup> In mm. 12–14, the altered supertonic *Stufe* supports Schenker's idea that the Neapolitan chord is a motivic necessity—an idea that is discussed in § 2.3 above.

<sup>100</sup> See mm. 3–4, 5–6, 6–7, 8–9, 9–10, 19, and 21.

**EXAMPLE 2.4.16** A *Periode*: Chopin's Prelude in B Minor, op. 28, no. 6 (based on Schenker 1906, 281, 283–84, 286, 294, exx. 244, 247, 249, 251, 257; JC 31/19)

**Periode (mm. 1–22)**  
*Vordersatz* (mm. 1–8)  
*Lento assai*  
*p sotto voce*

B minor: I I VI II<sup>#3</sup> V I

**Nachsatz (mm. 9–22)**  
*I:HC*  
*p*

IV V I VI<sup>#7</sup> II (phryg.) \* \*

**Deceptive cadence**  
*p*  
*sostenuto*

V I VII (=V) VI V VI VI VII (v) I VII (v) VI

**I:PAC [Codetta]**  
*sostenuto*  
*pp*  
*ppp*

V I

kind of satisfaction,” since the cadence is inconclusive (215).<sup>101</sup> Moreover, the proposition has not received its response; additional content is required to satisfy the law of repetition. Parallel to m. 1ff., the *Nachsatz* begins with motive *c* in m. 9. This *Satz* concludes with a perfect authentic cadence in mm. 21–22, although this conclusion is initially delayed by the deceptive cadence in mm. 17–18. This delay motivates yet another repetition, as the new melodic idea in the bass in mm. 15–18 is repeated in mm. 19–22. Measures 23–26 function as a codetta.

#### § 2.4.5. Conclusion

Motives and *Stufen* together create higher-order complexes. Once this bond is established, both seek further development: motives are further subject to the law of repetition, while harmony seeks further clarification due to the triad’s multivalence. *Taktgruppen*, in coordination with cadences, give rise to higher-order units, such as a *Vordersatz*. Together, two *Sätze* compose a *Periode*—a remarkably flexible schema. Yet the analysis of Mozart’s K. 543/i in example 2.4.6 (p. 119) introduced another hierarchical level: the *Gedankengruppe*. Together these large sections make up what Schenker (1906, 219) calls *der Form im Großen*. At this level, a *Gedankengruppe* functions as an essential part of a sonata-form exposition.

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<sup>101</sup> “Die Befriedigung, zu der wir in den beiden Fällen unserer Beispiele gelangen, können wir indessen noch nicht als eine endgültige, sondern nur erst als eine vorläufige, eine relative bezeichnen, da es zunächst ja noch an der für die Deutlichmachung des bereits gewonnenen Inhaltes unerläßlichen Assoziation der Wiederholung fehlt, von der in § 5 [of *Harmonielehre*] die Rede war” (Schenker 1906, 285).

§ 2.5. GRUPPENBILDUNG: A HALLMARK OF CYCLIC FORM

*Gruppenbildung* is the penultimate stage in Schenker's generative *Formenlehre*. First introduced in *Ein Beitrag zur Ornamentik* ([1903, rev. 1908] 1976), this concept reveals the improvisatory logic behind C. P. E. Bach's keyboard sonatas (among other works in sonata form, or what Schenker sometimes called "cyclic form").<sup>102</sup> Bach's diversity of ideas, his lack of any standardized form or mechanical modulation—these qualities were Schenker's (1976, 33–36) antidote to what he viewed as the nineteenth century's two plagues: (1) program music by the New German School, which was based on external sources; and (2) absolute music by "pseudo-classicists," which was based on preexisting forms.<sup>103</sup> Yet another conflict in *Ornamentik* lay much closer to the surface: a battle over the origins of Viennese Classicism. Schenker establishes C. P. E. Bach's sonatas as the definitive precursor to the sonata style of Haydn, Mozart, and Beethoven, and rejects Riemann's proposed origin for this style: the Mannheim School of symphonists.<sup>104</sup> Given Schenker's decline narrative in the "Niedergang" typescript, the stakes could not be higher: sonata form, as it existed in the works of eighteenth-century masters, embodies music's highest values—values that might one day redeem German musical culture for future generations. A battle over sonata form's origins was at once a battle over its destiny.

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<sup>102</sup> I thank Hedi Siegel for sharing the 1903 version of *Ornamentik* with me. In the 1908 revision, Schenker included a new preface, section headings, and footnotes that often refer to *Harmonielehre* (1906), which was published in the interim. For more on this essay and its place within Schenker's development, see Koslovsky (2010) and Petty (1995, § 2.1).

<sup>103</sup> See § 1.2 and Schenker's "Niedergang" typescript ([1905–6] 2005a).

<sup>104</sup> This is based on Koslovsky (2010, 61–63), who writes, "Schenker's thoughts [in *Ornamentik*] actually begin with his historiographic agenda: that is, to show why Bach should be considered the only forefather of the Viennese school. The 1908 Preface makes this clear, for it is nothing less than an attack on the work of Hugo Riemann in his early editions of the *Denkmäler der Tonkunst in Bayern*. There, Riemann wagered that Johann Stamitz and the Mannheim School of composition . . . were the proper precursors to Viennese Classicism." See Riemann (1902–3b).

§ 2.5.1. “By the Grace of an Improvisatory Imagination”: C. P. E. Bach’s Keyboard Sonata in G Major, H. 246/i

*Gruppenbildung* is characterized by its improvisational qualities (Koslovsky 2010, 61–64),

which Schenker ties directly to C. P. E. Bach’s keyboard works:

What first strikes one about Bach’s compositional technique is the absence of any kind of schematic formula, whether in regard to form, idea, or harmony. To invent something in advance, in isolation and out of context, only to insert it into a strained patchwork later on—this does not lie in his nature. Instead, everything . . . exists by the grace of an improvisatory imagination.<sup>105</sup> (Schenker [1903, rev. 1908] 1976, 27)

This “improvisatory imagination” leads to “a wealth and variety of ideas”—ideas made distinct through contrasts in dynamics and rhythm.<sup>106</sup> Schenker uses a passage from Bach’s Keyboard Sonata in G Major, H. 246/i, to illustrate (see example 2.5.1):

Here, starting on the third eighth of bar 8, and ending on the third eighth of bar 22, we find an unbroken flow of various short phrases and motives. The unifying factor that combines these elements into one group is the D-major tonality. Yet the individual constituents of the group are still recognized as such; we hear a cadence on the tonic in bar 12, a rise to the dominant in bars 15 and 16, a return to the tonic in bars 16–18, and a cadence in bars 20–22, all of which clearly point up the independent character of each element. From this example we may easily determine the role of tonality: *it tonally unites the diverse elements into a single group, without sacrificing the independence of the individual parts.*<sup>107</sup> (Schenker [1903, rev. 1908] 1976, 28; emphasis added to match the original)

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<sup>105</sup> “Was an Bachs Kompositionstechnik zunächst auffällt, ist die Abwesenheit einen jeglichen Schemas. Nirgends eine Vorgefaßtheit; nirgends ein Vorsatz, sei es in Bezug auf Form, Gedanken oder Harmonien. Gedanken im vorhinein, einzeln und abseits von Zusammenhängen zu erfinden, nur um sie dann gelegentlich an einer Stelle gewaltsam einzuflicken, ist nicht seine Art. Vielmehr ist alles, erste Erfindung wie fortlaufende Entwicklung, einzig auf die Gnade einer sozusagen improvisierenden Phantasie gestellt” (Schenker [1903] rev. 1908, 10–11; quoted in Rink 1993, 3; and Koslovsky 2010, 63–64).

<sup>106</sup> “Eine solche Willigkeit der Phantasie bedeutet immer zugleich Reichtum und Vielheit von Gedanken” (Schenker [1903] rev. 1908, 11).

<sup>107</sup> “Hier läuft, vom Takt 8 angefangen, beziehungsweise von dessen drittem Achtel an, eine Mehrzahl von Sätzchen und Motiven ununterbrochen bis zum Takt 22, beziehungsweise bis zu dessen drittem Achtel. Was diese Vielheit hier zu einer Gruppe bindet, ist die Tonalität *D*-dur. Gleichwohl sind aber die einzelnen Bestandteile der Gruppe als solche zu erkennen, da im Takt

**EXAMPLE 2.5.1** C. P. E. Bach, Keyboard Sonata in G Major, H. 246/i, from the second collection *für Kenner und Liebhaber*, mm. 1–29 (see Koslovsky 2010, 65, ex. 1)

**Gruppe 1 (mm. 1–8)**

Teil 1.1      Teil 1.2      Teil 1.3

*Allegretto*  
*ten.* *p* *f*

G major: I ————— IV<sup>(5–6)</sup> VII III<sup>(5–6)</sup> VI II V I IV

**Gruppe 2 (mm. 8–22)**

I:HC?      V:IAC      Teil 2.1      Teil 2.2

8 *f* *p* *f*

V – ]

15      Teil 2.3      Teil 2.4

*p* *f*

**Gruppe 3 (mm. 22–29)**

V:PAC?      Teil 3.1 (parallel to Teil 3.3)

20 *p* *(p)*

24      Teil 3.2 (parallel to Teil 3.4)      V:PAC?      Teil 3.3      Teil 3.4      V:IAC?      V:IAC?

*f* *pp* *f* *ten.* *ff* *ten.*

12 der Schluß auf der Tonika, im Takt 15 und 16 der Aufstieg zur Dominante, in den Takten 16 bis 18 die Rückbewegung zur Tonika, in den Takten 20 bis 22 die Kadenz deren selbständigen Charakter deutlich hervortreten lassen. Aus diesem Beispiele kann man leicht ersehen, welchen Dienst die Tonalität leistet: sie bindet die Vielheit tonal zu einer Gruppe, ohne indessen die Selbständigkeit der einzelnen Teile zu opfern” (Schenker [1903] rev. 1908, 11; quoted in Koslovsky 2010, 64).

The D-major tonality (*Tonalität*) in mm. 8–22 unifies the group’s four parts: mm. 8–12, 12–16, 16–18, and 18–22.<sup>108</sup> Despite this unity, Schenker emphasizes contrasts in rhythm through the placement of melodic beginnings: *Teil 2.1* (m. 8) and *Teil 2.2* (m. 12) begin on beat 2, whereas *Teil 2.3* (m. 16) and *Teil 2.4* (m. 18) enter an eighth note earlier in their respective measures (29).<sup>109</sup> Bach’s dynamics support this hearing, since the changes in dynamic coincide with changes in design: *Teil 2.1* is marked *forte* (although this dynamic is Schenker’s own); *Teil 2.2* is marked *piano*; *Teil 2.3* is again marked *piano* (which contrasts with the *forte* in m. 14); and *Teil 2.4* is again marked *forte* (30–31).

Schenker’s analysis can be extended to include two additional groups, which I have labeled *Gruppe 1* (mm. 1–8) and *Gruppe 3* (mm. 22–29). In example 2.5.1, I show the first group’s division into *Teile* 1.1, 1.2, and 1.3 using wavy-line brackets above the score. These divisions are based on motivic parallelism, dynamic contrasts, and the underlying *Stufengang* (the analysis of which is my own, following Schenker’s early practice). The initial motive (*Teil 1.1*) is repeated in mm. 3–4 at a *piano* dynamic. This satisfies the law of repetition, yet harmony calls for further development: *Stufen* other than the tonic pedal are needed to establish the key of G major. In m. 5, a new melodic idea (*Teil 1.3*) is introduced at a *forte* dynamic, accompanied by a complete *Sechter’sche Kette* (I–IV–VII–III–VI–II–V–I). Only after the motive has been repeated and the *Stufengang* has defined the key, *Gruppe 1* reaches a half cadence in m. 8.<sup>110</sup>

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<sup>108</sup> Felix Salzer analyzes mm. 8–22 in his dissertation (Koslovsky 2010, 66). Salzer divides this passage into three segments rather than Schenker’s four—that is, mm. 8–12, 12–15, and 16–22 (Salzer 1926, 11–12). Also see Petty (1995, § 9.5, exx. 9.13, 9.15).

<sup>109</sup> This is in contrast to Bruckner, whose themes Schenker criticizes for typically beginning on strong beats.

<sup>110</sup> Schenker only mentions the cadence in m. 12. I have added the other cadences in mm. 8, 22, 26, and 28/29 to this analysis.



In m. 22, the second group ends with a perfect authentic cadence in the key of the dominant (D major), followed by a third group in the same key. Schenker writes,

In bars 22–28 of the same sonata movement [example 2.5.1], we see how the dynamic markings underscore the internal organization of a *single* idea, and how they alternate and contrast to point up the individual elements that make up the idea. Thus the *p* in bar 22 corresponds to the *pp* in bar 26, while the *f* in bar 24 corresponds to the *f* in bar 27; it should also be noted that both *f*'s enter on the second eighth of the bar.<sup>111</sup> (Schenker [1903, rev. 1908] 1976, 31; emphasis added to match the original)

In example 2.5.1, this passage (*Gruppe 3*) is subdivided into *Teile* 3.1 (mm. 22–24), 3.2 (mm. 24–26), 3.3 (mm. 26–27), and 3.4 (mm. 27–28/29). *Teile* 3.1 and 3.3 correspond based on their *piano* dynamic, along with their dotted rhythms and placement within the measure; *Teile* 3.2 and 3.4 correspond based on their *forte* dynamic, in addition to their placement within the measure, descending scalar figures, and cadential bass motions. Therefore, at a higher level, mm. 22–26 (*Teil* 3.1 + *Teil* 3.2) are parallel to mm. 26–28/29 (*Teil* 3.3 + *Teil* 3.4). This is reinforced by the cadential structure: a perfect authentic cadence ends the first segment (m. 26); an imperfect authentic cadence ends the second (m. 28/29). Schenker would likely divide the entire exposition into three sections: *Gruppe 1* functions as the *Hauptsatz*, *Gruppe 2* functions as the *Seitensatz*, and *Gruppe 3* functions as the *Schlußsatz*.<sup>112</sup> This exposition has three parts instead of four.<sup>113</sup> The lack

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<sup>111</sup> “Betrachten wir z.B. die Takte 22 bis 28 derselben Sonate II, pag. 9, so sehen wir, wie auch hier, als in einem einzelnen Gedanken bloß, die dynamischen Zeichen den Organismus des Gedankens förmlich bloßlegen, wie sie wechselnd und kontrastierend, zugleich die einzelnen Elemente anzeigen, aus denen der Gedanke zusammengesetzt ist. So korrespondiert das *p* im Takt 22 mit *pp* im Takt 26, dagegen das *f* im Takt 24 mit dem *f* im Takt 27, wobei zu beachten ist, daß die beiden *f* beim zweiten Achtel angebracht sind” (Schenker [1903] rev. 1908, 12–13).

<sup>112</sup> Schenker does not use these terms in *Ornamentik*; however, he does use them in his analysis of Beethoven’s *Sting Quartet in F Minor, op. 95/i*, in § 129 of *Harmonielehre*.

<sup>113</sup> See Grandjean (2001, ex. 13) for a comparison of how different *Formenlehren* would subdivide a sonata-form exposition. For example, Lobe ([1850] 1858) and Richter (1852) label four parts, whereas Bruckner labels three parts in his studies with Kitzler and in a later analysis of

of a transition (or *Modulationspartie*) does not present a problem, since Schenker does not consider this to be an essential part of the form (see § 3.3). He might have derived this three-part exposition from Bruckner's teachings. Of course, this is one of Schenker's typical modes of discourse: to write a fierce polemic against an idea, only to rely on it in practice.

§ 2.5.2. "More Complex Groups": C. P. E. Bach's Keyboard Sonata in A Major, H. 186/i

Not all of C. P. E. Bach's sonata-form expositions divide neatly into three groups.

Schenker's commentary on Bach's Keyboard Sonata in A Major, H. 186/iii, suggests that its exposition comprises only two (see example 2.5.2). Schenker uses mm. 17–46 to illustrate what he calls "more complex groups."<sup>114</sup> A few pages later, he cryptically asks the reader to "note the events in bars 8, 25, 29, and 36" (38). He then clarifies the layout of mm. 17–46, writing: "The interpolation of bars 36–38 between the two parallel phrase groups [*Gruppen*] of bars 29–36 and 39–46 is both surprising and original" (38).<sup>115</sup> The following analysis is derived from these scant comments.

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his Fourth Symphony. A. B. Marx's ([1837–47] 1887–90) conception of the exposition is more complicated. While he divides the exposition into four parts, he does not have a separate transition section, as Lobe and Richter do. Marx preferred to include the "transition" within the latter part of the *Hauptsatz* (*qua* motion toward the *Seitensatz*). Marx's fourth part of the exposition is the *Gang* located between the *Seitensatz* and the *Schlußsatz*; see example 1.3.8(d), p. 24. In other words, Marx's exposition, much like Bruckner's and Schenker's, has only three main parts (*Sätze*).

<sup>114</sup> "Es mögen hier aber noch einige kompliziertere Gruppen der Beachtung empfohlen werden; z.B. . . . pag. 42 [example 2.5.2], Takt 17 bis Ende des ersten Teiles" (Schenker [1903] rev. 1908, 11). Also see Schenker ([1903, rev. 1908] 1976, 28).

<sup>115</sup> "Man bemerke die Situationen der Takte 8, 25, 29, 36. Sehr überraschend und originell ist die Lage der Takte 36 bis 38, zwischen den parallelen Gruppen 29 bis 36 und 39 bis 46" (Schenker [1903] rev. 1908, 17).

In example 2.5.2, the exposition's two groups (*Gruppen* 1 and 2) comprise mm. 1–16 and 17–46 respectively. Schenker asks us to consider events in mm. 8, 25, 29, and 36. Measure 25 (the beginning of *Teil* 2.2) is marked by a *piano* dynamic following an imperfect authentic cadence in the key of the dominant (E major).<sup>116</sup> Measure 29 begins a new segment (*Teil* 2.3) marked by a *forte* dynamic, lasting until m. 36; the interpolated mm. 36–38 are marked *piano*.<sup>117</sup> *Teil* 2.4 (mm. 39–46/47) is heard as parallel to *Teil* 2.3 (mm. 29–36); both sections end with a perfect authentic cadence in the key of the dominant (E major).

From these observations, when Schenker asks that we “note the events in bars 8, 25, 29, and 36,” he is asking us to observe divisions within groups. Therefore, I also interpret m. 8 as an internal division that subdivides *Gruppe* 1 into two segments: *Teil* 1.1 (mm. 1–8) ends with an imperfect authentic cadence in the primary key (remember, cadences do not have to involve root-position chords); *Teil* 1.2 (mm. 9–16) ends with a half cadence in the key of the dominant. Schenker draws attention to the modulatory nature of *Teil* 1.2, for careful consideration of mm. 8–16

yields the observation that in those sections of a composition which are generally considered *modulatory*, Bach never permits such modulation to take place mechanically. . . . The harmonic drive is made subservient to the musical idea, and *new ideas, new motives*. . . . are invented to attract our sensibilities. The new idea is, so to speak, the spearhead of the modulation.<sup>118</sup> (Schenker [1903, rev. 1908] 1976, 32–33; emphasis added to match the original)

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<sup>116</sup> Schenker does not mention any of the cadences labeled in example 2.5.2, as indicated by the question marks.

<sup>117</sup> In contrast to the other segments within this group, including all of the other segments within the entire exposition, the motives in mm. 36 and 37 begin on beat 2 rather than beat 1.

<sup>118</sup> “Prüfen wir Taktgruppen wie z.B. pag. 6, Takt 8 bis 12, . . . so erkennen wir, daß selbst solche Teile der Komposition, die man gewöhnlich Modulationsteile nennt, bei Bach niemals bloß mechanisch vor sich gehen. . . . Diesen Willen der Harmonien weiß er vielmehr dem Gedanken unterzuordnen, u. zw. ist es immer ein neuer Gedanke, ein neues

**EXAMPLE 2.5.2** C. P. E. Bach, Keyboard Sonata in A Major, H. 186/iii, from the first collection *für Kenner und Liebhaber*, mm. 1–47

**Gruppe 1 (mm. 1–16)**

Teil 1.1 I:IAC?

**Allegro**

[A major: I IV I V I]

Teil 1.2 (modulatory) V:HC?

[E major: IV V]

**Gruppe 2 (mm. 17–47)**

Teil 2.1

V I

Teil 2.2 V:IAC?

II V I II V I

Teil 2.3 (parallel to Teil 2.4) V:IAC?

I IV V I

= Interpolation V:PAC?

V I

Teil 2.4 V:PAC?

I II V I II

Motiv . . . die wohl in erster Linie unsere Empfindung anziehen berufen sind. Der neue Gedanke ist sodann sozusagen Pate der Modulation” (Schenker [1903] rev. 1908, 14).

Bach's modulatory passage in mm. 9–16 brings a new motivic idea: the descending scales in the upper voice (mm. 8–9, 10–11, and 12–13), each corresponding to a new note in the descending bass line (A<sub>2</sub>–G<sub>2</sub>–F<sub>2</sub>, reaching E<sub>2</sub> in m. 14). The E dominant seventh chord in m. 14 resolves to a tonic triad in A major; however, that tonic triad is immediately reinterpreted as a subdominant in the key of E major, which leads to the half cadence in m. 16. This half cadence prepares *Gruppe 2*'s tonal area (E major) through its own dominant (B major).

By drawing attention to this modulation, Schenker emphasizes the important role that tonality plays in *Gruppenbildung*:

Of particular note are the harmonies used to *begin* and *end* each segment. No less important is the *relationship* of the sum of the individual harmonies of each segment *to the tonality of the work as a whole*. . . . Here the tonic, here the dominant, and there the subdominant or yet another diatonic step (*Stufe*) introduces or closes a segment. Sometimes the scope of each tonal area [*Tonalität*] is unified and somewhat restricted; at other times, however, it extends to more distant keys.<sup>119</sup> (Schenker [1903, rev. 1908] 1976, 29; emphasis added to match the original)

First, he recognizes that groups—and especially segments within groups—may begin and end on harmonies other than the tonic.<sup>120</sup> Second, he recognizes that key changes help to define formal boundaries. For example, in Bach's G-major sonata (example 2.5.1), the key of the dominant (D major) unified *Gruppe 2*. (A similar situation occurs in example 2.5.2, mm. 17–47.) It seems that

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<sup>119</sup> “Insbesondere ist im einzelnen zu beachten: welche Harmonien den jeweiligen einzelnen Teil *beginnen* und welche ihn *beenden*; nicht minder aber, in welchem Verhältnisse sodann die Summen der den einzelnen Teilen zugehörigen Harmonien zu r gesamten Tonalität stehen. . . . So ist nun einmal die Tonika, einmal die Dominante, ein andermal die Unterdominante oder eine andere Stufe der Diatonie, die den Teil einleiten oder beschließen; bald ist die Tonalität strenger und einheitlicher, bald aber um entferntere Tonarten vermehrt” (Schenker [1903] rev. 1908, 11).

<sup>120</sup> This off-tonic beginning anticipates Schenker's concept of the auxiliary cadence (Burstein 2005a). That Schenker emphasizes groups beginning on harmonies other than the tonic should be read in response to Bruckner's music. In a letter to Karl Grunsky, Schenker criticizes Bruckner for too often beginning parts of the form on the tonic chord (see § 1.3.4).

Schenker's unifying *Tonalität* operates at the level of an individual *Gruppe*, but his analysis of Beethoven's String Quartet in F Minor, op. 95/i, in *Harmonielehre* (discussed below) suggests that the keys unifying individual groups are in fact *Stufen* (or *Stufen der Tonalität als Tonarten*) that operate in a larger diatonic context spanning an entire piece.<sup>121</sup> To use Schoenberg's terminology, local keys have become regions of the monotonicity.<sup>122</sup>

### § 2.5.3. *Stufen als Tonarten*: Beethoven's String Quartet in F Minor, op. 95/i

The analysis of Beethoven's op. 95/i in *Harmonielehre* is reconstructed in example 2.5.3.<sup>123</sup> By m. 24, the subordinate key (D-flat major) has already been established in the preceding *Modulationspartie* (not shown). Motive 1 (see the viola part) expresses tonic and dominant *Stufen* (mm. 24–25). However, writes Schenker, the “motif, as well as harmony, calls for a continuation—the motif needs its repetition; the harmony, an enlargement of its sphere by drawing in other diatonic scale-steps” ([1906] 1954, 243).<sup>124</sup> The cello repeats this motive (mm. 26–27), yet the harmony again does not develop beyond tonic and dominant. The law of repetition is satisfied, but the need for harmonic development remains. As listeners, “we feel bound to hear the total of those four measures [mm. 24–27] as the antecedent, leaving us in the expectation of a

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<sup>121</sup> For example, see the sketch of the Largo from J. S. Bach's Sonata no. 3 in C Major for solo violin, BWV 1005 (Schenker [1925] 1994, 32–33, fig. 1).

<sup>122</sup> Schoenberg ([1954] 1969, 19) writes, “The concept of regions is a logical consequence of the principle of *monotonicity*. . . there is only *one tonality* in a piece, and every segment formerly considered as another tonality is only a region, a harmonic contrast within that tonality.”

<sup>123</sup> Koslovsky (2010, 66–73, exx. 2 and 3) also discusses this analysis.

<sup>124</sup> “dennoch bedürfen sowohl das Motiv als die Harmonie einer Fortführung und zwar bedarf das Motiv seiner Wiederholung und die Harmonie einer Erweiterung des Kreises durch Heranziehung anderer Stufen der Tonart” (Schenker 1906, 323).

**EXAMPLE 2.5.3** Beethoven, String Quartet in F Minor, op. 95/i, mm. 24–47 (based on Schenker 1906, 319–23, ex. 273; see Koslovsky 2010, 68–71, exx. 2–3)

**Seitensatz (Vordersatz in relation to mm. 43–47)**  
*eine Arte Vordersatzes höherer Ordnung* (mm. 24–34)

Vordersatz (mm. 24–27)      Cadence?      Nachsatz (mm. 28–34?)

Allegro con brio

D-flat major: I      V      I      V      I      V      I

VI:HC

IV      V      III<sup>t</sup>      VI      II      V

Deceptive cadence?

VI      II (phryg.)      V

**Schlussatz (Nachsatz in relation to mm. 24–42)**

VI:IAC?      Vordersatz?      Nachsatz?

I      V      I      V      I

consequent” (243).<sup>125</sup> The *Nachsatz* (mm. 28–34) begins with another motivic repetition in the second violin (motive 3), although this section is again limited to tonic and dominant *Stufen*. Finally, other diatonic steps are introduced in mm. 31–33, leading to a half cadence in m. 34. Like other cadences involving inverted chords, this cadence ends with a V<sup>6</sup> chord on the music’s surface; “thus harmonic exigencies again make it necessary to continue the development of the content, as if the consequent were no final fulfillment of the antecedent but both together a kind of antecedent of a higher order” (243).<sup>126</sup>

The cello’s pedal C<sub>2</sub> unifies mm. 34–37, while “a considerable abundance of new motivic content and scale-steps (VI–II–V)” follow in mm. 38–42 (243).<sup>127</sup> However, the formal relationship between mm. 34–37 and 38–42 is unclear (Schenker does not suggest a *Vordersatz-Nachsatz* relationship in his commentary). The cadence structure is equally unclear: is the V–VI progression in mm. 37–38 a deceptive cadence?<sup>128</sup> This is plausible, along with hearing an imperfect authentic cadence in mm. 42–43, although Schenker never mentions this either. And if

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<sup>125</sup> “Da indessen auch in diesen Takten entscheidende Stufen ausbleiben, so fühlen wir uns noch immer nicht befriedigt: die Summe der vier Takte glauben wir daher nicht anders, denn als *Vordersatz* empfinden zu können und harren des *Nachsatzes*” (Schenker 1906, 323). It is unclear what kind of cadence Schenker might have placed at the end of the *Vordersatz* in m. 28, if any. He may have heard none at all, since the *Stufengang* is of a relatively small scope, alternating merely between tonic and dominant harmonies. This would decouple the concept of a *Vordersatz* from the form-defining cadence often associated with it.

<sup>126</sup> “so legen denn die Bedürfnisse des Harmonischen nun von neuem die Notwendigkeit nahe, den Inhalt fortzuführen, als wäre der *Nachsatz* keine endgültige Erfüllung des *Vordersatzes* und vielmehr beide erst eine Art *Vordersatzes* höherer Ordnung” (Schenker 1906, 323). While Schenker only mentions the initial tonic *Stufe* (m. 30) and the concluding dominant *Stufe* (m. 34), the progression I–[IV–V–III<sup>♯</sup>–VI–II]–V is most likely what he would have heard.

<sup>127</sup> “Lebhafter regt es sich erst in den Takten 15–19 [mm. 38–42], die bereits einen ansehnlichen Reichtum an neuem Inhalt und Stufen (VI–II–V) aufweisen und endlich denn auch (im Takt 20 [m. 43]) die lang ersehnte Tonika herbeiführen” (Schenker 1906, 324).

<sup>128</sup> The A-major chord in m. 38 is interpreted as an enharmonic respelling of a B $\flat$  *Stufe*; similarly, the D-major chord implied in m. 39 is interpreted as an enharmonic respelling of an E $\flat$  *Stufe* (Schenker ([1906] 1954, 244, ex. 209).



mm. 24–34 comprise an “antecedent of a higher order” (243), might mm. 34–42 comprise a consequent of a higher order, since a *Vordersatz* logically implies a *Nachsatz*?<sup>129</sup> The cadential structure again supports this interpretation: the higher-order *Vordersatz* would end with a half cadence (m. 34), and the *Nachsatz* would end with an imperfect authentic cadence (m. 43).

Meanwhile, in the last five measures of example 2.5.3, tonic and dominant *Stufen* alternate above a  $D\flat_2$  tonic pedal. Schenker interprets mm. 43–46 as two two-measure groups: mm. 43–44 might be said to compose a *Vordersatz*, to which mm. 45–46 would form the *Nachsatz*.<sup>130</sup>

Together these measures function at an even higher level: the *Seitensatz* (mm. 24–42) stands in a *Vordersatz*–*Nachsatz* relationship with the *Schlußsatz* (m. 43ff.). Schenker writes,

Here, finally, on this pedal point it sounds as if the whole tension, accumulated in the statement during measures 1–19 [mm. 24–42], were released in the long-expected consequent. He who already hears the concluding idea on this pedal point must marvel even more at such an organic connection between a so-called “subsidiary” section and the closing section—a connection which formally makes of the subsidiary section the introductory antecedent of the closing section.<sup>131</sup>  
(Schenker [1906] 1954, 244)

This illustrates how a *Seitensatz*–*Schlußsatz* complex emerges from nested *Vordersatz*–*Nachsatz* relationships. The *Periode* and *Gedankengruppe* are not mutually exclusive categories, nor is the

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<sup>129</sup> See note 126 above for Schenker’s original German. Koslovsky (2010, ex. 3) also infers a *Nachsatz* (mm. 34–42) in relation to the *Vordersatz* (mm. 24–34).

<sup>130</sup> The English translation of *Harmonielehre* does not make this clear on p. 244. Schenker’s German reads, “wenn man gerade die Takte 20 und 21 [mm. 43 and 44] gleichsam als *Vordersatz* der Takte 22–23 [mm. 45–46] zu definieren Lust hat” (Schenker 1906, 324). The words *gleichsam* and *Lust hat* suggest that the assignment of antecedent and consequent functions in mm. 43–46 is tentative.

<sup>131</sup> “Und nun endlich erst hier, bei diesem Orgelpunkt, klingt es, als würde die gesamte in den Takten 1 bis 19 [mm. 24–42] aufgehäuften *Vordersatz*spannung sich in den lange erwarteten *Nachsatz* entladen. Wer indessen bei eben diesem Orgelpunkt gar bereits den *Schlußgedanken* empfindet, muß über eine solche organische Verbindung von einem sogenannten *Seiten-* und einem *Schlußsatz* noch mehr erstaunen,—über eine Verbindung, die den *Seitensatz* förmlich zu einem *Vordersatz* des *Schlußgedankens* gemacht hat” (Schenker 1906, 324).

*Gedankengruppe* a higher-order form than the *Periode* by default (even if a *Gedankengruppe* often contains one or more *Perioden*). Although Schenker treats some *Gedankengruppen* as internally divided into two parts, applying the concepts of *Vorder-* and *Nachsatz*, in the case of Beethoven's op. 95/i, a *Vordersatz–Nachsatz* relationship organizes two *Gedankengruppen*. Beethoven achieves this effect by employing an economy of *Stufen*:

However one may look at this situation, this much is clear, that Beethoven, instead of basing his conception on one single theme, has offered here a major group of several variegated motifs and elements, which nevertheless yield the effect of a closed conceptual unit. He reached this effect by using few, relatively very few, scale-steps for each single element while attempting to make the most, motivically, of each given scale step.<sup>132</sup> (Schenker [1906] 1954, 244)

Thus, we have reached a level of form involving the main parts of a sonata-form exposition (and to the *Seitensatz* and *Schlußsatz*, we should add the implicit *Hauptsatz*). Each part of the exposition is created through the dynamic process of *Gruppenbildung*. That each group is based on a few *Stufen* is the hallmark of sonata form (245), for a *Stufengang* unfolds over the course of an entire exposition:

The psychological nature of step progression, which we have described so far in the context of form in the narrower sense, manifests itself in a marvelous, mysterious way also in the context of form in a wider sense—on the way from thematic complex to thematic complex, from group to group. In the form of established keys we have the same step progression, albeit at a superior level.<sup>133</sup> (Schenker [1906] 1954, 246)

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<sup>132</sup> “Doch betrachte man die Situation wie man will, so viel ist immerhin klar, daß hier Beethoven, statt den Gedanken auf einen einzigen Grundstoff zu stellen, vielmehr eine große Gruppe von mehreren und mannigfaltigen Motiven und Elementen geboten hat, und zwar mit der Wirkung einer völlig geschlossenen Gedankeneinheit. Diese erreichte er aber damit, daß er für das einzelne Element nur wenig, relativ sehr wenig Stufen verwendet, dafür aber desto mehr motivischen Inhalt aus der gegebenen Stufe herauszuschlagen gesucht hat” (Schenker 1906, 325; quoted in Koslovsky 2010, 72–73).

<sup>133</sup> “Aber auch in der Form im großen—auf dem Wege von Gedankenkomplex zu Gedankenkomplex, von Gruppe zu Gruppe—offenbart sich in wunderbar-mysteriöser Weise die bisher in der kleinen Form von uns dargelegte psychologische Natur des Stufenganges. Wir haben

**EXAMPLE 2.5.4** Beethoven, Piano Sonata in B-flat Major, op. 106/i (based on Schenker 1906, 330, ex. 278)



The same principles governing a *Stufengang* within a group (step-progression by fifths and thirds, sometimes seconds) govern a *Stufengang* encompassing an entire exposition—or perhaps even an entire movement. Schenker explains this is why, for example, most expositions in the major mode modulate to the key of the dominant (247).

Example 2.5.4 reconstructs Schenker’s analysis of groups and their corresponding *Stufen* in Beethoven’s Piano Sonata in B-flat Major, op. 106/i.<sup>134</sup> This movement begins on a tonic *Stufe* (corresponding to the *Hauptsatz*), progresses to a submediant *Stufe* (corresponding to the *Seitensatz* and *Schlußsatz*), and reaches a subdominant *Stufe* in the *Durchführungspartie*. The measure numbers in this example correspond to the key changes notated in the score—B-flat major (m. 1ff.), G major (m. 45ff.), and E-flat major (m. 130ff.)—although this may not correspond to the precise boundaries that Schenker has in mind. Schenker’s early *Formenlehre* has come full circle: *Gruppen* (rather than motives) share an intimate bond with *Stufen* that display themselves as key areas (*Stufen als Tonarten*).

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hier allerdings in Form von bereits ausgesprochenen Tonarten wieder nur einfach denselben Stufengang—aber höherer Ordnung” (Schenker 1906, 327).

<sup>134</sup> See Schenker ([1906] 1954, § 131). For more on “key succession as large-scale chord progression,” see Schachter ([1986] 1999b, 143–48).

§ 2.6. RECAPITULATION THEORY (HAECKEL'S LAW)

Nebular spirals solidify and become stars. Music, born from the original irrational state as if from a nebular spiral, and made ever more dense with diminution, grew into a star in the heavens of the spirit.

—Heinrich Schenker, *Der freie Satz* (1935)

Schenkerian theory, whether early or late, is a theory of origins (Cook 2007, 311–13). It explains how a piece is generated from the simple to the complex according to prescribed laws. Yet this process unfolds on another timescale—that of music history. These two perspectives—microcosm and macrocosm, individual and species—become one. In “Der Geist der musikalischen Technik,” Schenker describes how early humans first sang in response to external stimuli. Shepherds later sang aimlessly in their fields, “dissociating singing from its immediate stimuli and establishing it as an independent, specialized field” (Schenker [1895] 2007, 319).<sup>135</sup> Through the rise of *texted vocal melody*, music imitated language for its coherence, but this coherence was only illusory. Combining melodies led to polyphony; from polyphony grew harmony. Music later developed into an independent art only through the form-generative laws of repetition, association, and abbreviation—laws that gave birth to the *instrumental motive*. Schenker then concludes the “Geist” essay by reiterating the importance of melody:

It is only because of this, I think, that people today, as in the past, turn their awareness of externals toward the artificial proliferation of melodies in a single movement, and yet feel themselves drawn above all and most intensely to the melodies themselves, which seem to be the intrinsic nature of music.<sup>136</sup> (Schenker [1895] 2007, 332)

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<sup>135</sup> See note 11 (p. 83) for the original German.

<sup>136</sup> “Nur darum glaube ich, ist man heute noch wie früher mit äusserlicher Aufmerksamkeit auf die künstliche Vermehrung der Melodien in Einem Satz gespannt und fühlt

This “proliferation of melodies” parallels Schenker’s early approach to form. Motives subject to the law of repetition require new harmonies. New harmonies coalesce to create a *Stufengang*. Cadences emerge from the interaction of the *Stufengang* and form, which has a force all its own. Together cadences help to articulate the two component parts that make up a *Periode*. Meanwhile, modulations help to differentiate higher-order *Gedankengruppen* from one another.

Taking Schenker’s biological metaphors of growth and development seriously, and with nineteenth-century theories of evolutionary biology in mind, we arrive at something akin to recapitulation theory—namely, Haeckel’s law that ontogeny recapitulates phylogeny.<sup>137</sup> A piece’s generative development (ontogeny) parallels music’s historical development (phylogeny). Schenker would maintain this position throughout his entire career. He even begins the last chapter of *Der freie Satz* by conflating music’s phylogenic development (form’s development since Palestrina) with the ontogenetic process of diminution (the composing-out of passing and neighboring tones):

In the music of the early contrapuntal epoch, including even Palestrina, the basic voice-leading events, such as passing tones or neighboring tones, had not yet come to fruition, like flowers in bud. Who would have suspected, at that time, that these phenomena, through the process of diminution, were to become form-generative and would give rise to entire sections and large forms! Although the art of prolongation and diminution ultimately expanded and enriched the form, it was the force of the first passing tone, the first neighboring note, the power of the first structural division which bound form to take on organic unity; and the composer had to make these inner necessities of the background his own.<sup>138</sup> (Schenker [1935] 1979, 128)

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sich vor Allem doch am intensivsten hingezogen zu den Melodien selbst, die die eigentliche Natur der Musik zu sein scheinen” (Schenker 1895, 326).

<sup>137</sup> See Gould (1977, 78–85) and Morgan (2014, 43–44).

<sup>138</sup> “In der vertikal-kontrapunktischen Epoche, sogar noch bei Palestrina, lagen die Stimmführungserscheinungen wie z.B. die eines Durchganges, einer Nebennote u. dgl. noch knospenhaft da—wer hätte damals gehnt, daß sie je formenträftig werden und durch Diminuierung ganze Formteile und große Formen erstehen lassen könnten! Haben zuletzt die

According to Schenker, when we gaze into the background, we not only witness the generative past of one particular piece, we witness music's historical past—as if seeing the light from some distant star. Despite his innovative concept of the *Stufe* and its relationship to the motive's generative impetus, Schenker still faced a dilemma that continued to persist nearly a decade after the publication of *Harmonielehre*: What causal mechanism would animate this cosmos? Until he had apprehended the *Urlinie* and the background's dynamic transformation into the foreground, he based his generative theory on motives, *Stufen*, cadences, and changes in key to differentiate large thematic groups from one another.

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Künste der Auskomponierung die Form reich gestaltet, so war es doch wieder der Zwang des ersten Durchganges, einer ersten Nebennote, einer ersten Gliederung usw., die die Form zur Einheit ihrer Gestalt gebändigt haben: mußte doch auch der Komponist so, wie der Hintergrund mußte und wollte!" (Schenker 1935, 207).

## CHAPTER 3

## A CONFORMATIONAL APPROACH TO FORM

## § 3.1. SCHENKER'S FORMS AND THEIR PRECURSORS

Pages and pages of handwritten notes concerning form are scattered throughout file 83 of the Oster Collection. This archive, located at the Music Division of the New York Public Library, contains a large portion of Schenker's *Nachlass*.<sup>1</sup> Items in file 83 range from complete unpublished essays, such as “Der Weg zum Gleichnis” (OC 83/2–43; see appendix 1), to scraps of paper with jottings that provide only a cursory outline of a single work or movement. Most of these documents are not dated and appear in Schenker's handwriting, while other documents appear in the handwriting of Jeanette Kornfeld (*née* Schiff), whom Schenker later married (Federhofer 1985, 37). Of the documents in Jeanette's handwriting, most are dated (usually between 1911 and 1916).

It should come as no surprise that Schenker was actively working on a theory of form in the 1910s (and perhaps even earlier). By then he had completed *Harmonielehre* (1906) and the first book of *Kontrapunkt* (1910)—a *Formenlehre* would traditionally follow. In the preface to his monograph on Beethoven's Ninth Symphony, published in 1912, Schenker even promised an “Outline of a New Theory of Form” (*Entwurf einer neuen Formenlehre*). Perhaps the notes in file 83 of the Oster Collection are all that remain of this unfinished project (Schenker [1912] 1992, 4n3).

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<sup>1</sup> For an introduction to the Oster Collection, see Kosovsky (1999). Other important collections located in the United States containing portions of Schenker's *Nachlass* include the Oswald Jonas Memorial Collection, Special Collections & University Archives, UCR Libraries, University of California Riverside; and the Felix Salzer Papers, 1897–1995, Music Division, The New York Public Library for the Performing Arts.

It is also not clear why this new *Formenlehre* was ultimately abandoned. Around this time, Schenker was also working on the first three explanatory editions (*Erläuterungs-Ausgaben*) of Beethoven's late piano sonatas: op. 109 (1913), op. 110 (1914), and op. 111 (1916). By 1917 he had even completed a draft of "Freier Satz," which was intended to be part of *Kontrapunkt* (Siegel 1999, 14). But perhaps there was another reason—other than being occupied with new projects—why Schenker abandoned the *Entwurf einer neuen Formenlehre*: its approach was far more conformational than any of his earlier writings might have suggested. Perhaps he did not explicate his new theory of form until *Der freie Satz* (1935) because, until then, he lacked a generative approach surpassing the nineteenth century's dual legacy of *thematische Arbeit* and *Stufentheorie*.

This chapter outlines the conformational approach to form that Schenker developed in the 1910s—and rehabilitated after he apprehended the guiding hand of the *Urfinie* (Cook 2007, 285). Six schematic forms are introduced, and their precursors in the theories of A. B. Marx, Hugo Riemann, and Stefan Krehl are considered. For the remaining chapter, Schenker's forms are described in detail, each illustrated by published and unpublished analyses of compositions by Haydn, Mozart, Beethoven, Chopin, and Brahms.

### § 3.1.1. On Division and Repetition, Early and Late

Example 3.1.1(a), taken from file 83 of the Oster Collection, shows the six full-movement forms that Schenker devised perhaps even before the publication of *Harmonielehre* (1906). A transcription follows in example 3.1.1(b).<sup>2</sup> At the top of the document, Schenker writes, *Auf*

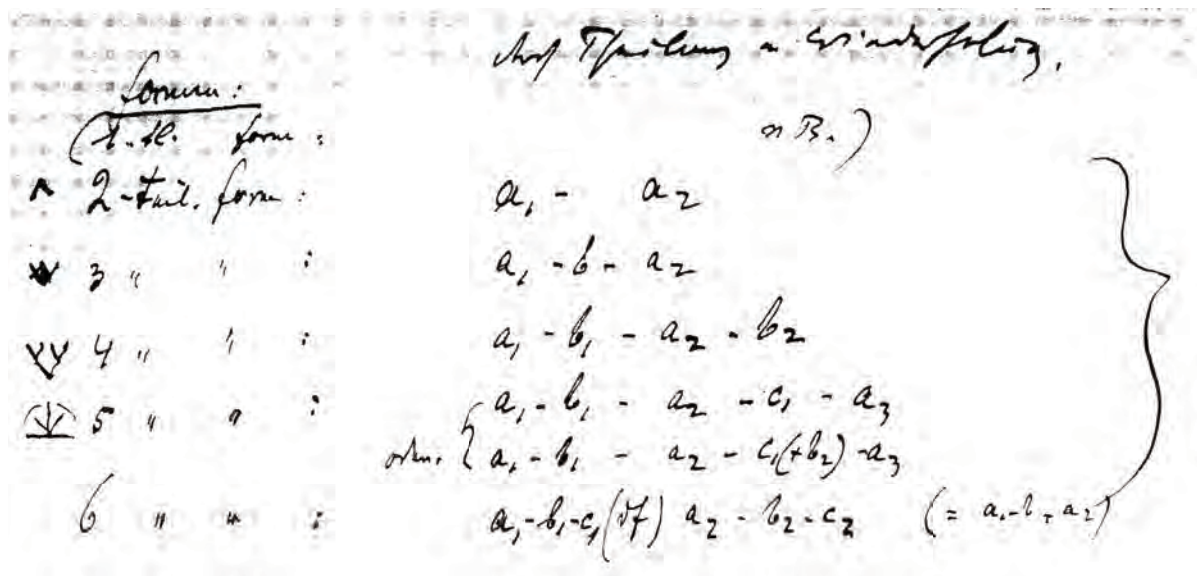
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<sup>2</sup> The transcriptions in this chapter were completed with the assistance of the University of Massachusetts Amherst Translation Center (Görkem Cilam, Assistant Director).



**EXAMPLE 3.1.1** Schenker's six conformational forms




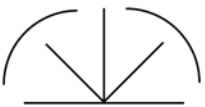

(A) In Schenker's handwriting (OC 83/255; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



(B) Transcription (OC 83/255)

Auf Theilung u. Wiederholung.

Formen:

(1-tl. Form:	N.B.)
	$a_1 - a_2$
2-teil. Form:	$a_1 - b - a_2$
	$a_1 - b_1 - a_2 - b_2$
3-teil. Form:	$a_1 - b_1 - a_2 - c_1 - a_3$
	$a_1 - b_1 - a_2 - c_1(+b_2) - a_3$
4-teil. Form:	$a_1 - b_1 - c_1(Df) a_2 - b_2 - c_2 (= a_1 - b - a_2)$
	
5-teil. Form:	
	
6-teil. Form:	

oder: {

*Theilung u. Wiederholung* (On Division and Repetition). In the left-hand column, under the word *Formen*, six schemas are listed from simple to complex: one-part form (*einteilige Form*), two-part form (*zweiteilige Form*), and so on, until the progression ends with six-part form (*sechsteilige Form*). On the right-hand side of the page, schemas for each form use lowercase letters to indicate similar sections; subscript Arabic numerals attached to these letters indicate repetitions. For example, the schema  $a_1-b-a_2$  indicates a three-part form whose outer sections are similar ( $a_1$  is a repetition or slight variant of  $a_2$ ), while the  $b$  section contains contrasting material. On the left-most side of the document, these schemas are organized hierarchically using tree diagrams. For example, four-part form ( $a_1-b_1-a_2-b_2$ ) is derived through two binary divisions: the first division creates the two main branches; the second divides these into  $a_1-b_1$  and  $a_2-b_2$  respectively. To generate five-part form, two three-part forms ( $a_1-b_1-a_2$  and  $a_2-c_1-a_3$ ) are combined with an elision of the  $a_2$  sections ( $a_1-b_1-a_2-c_1-a_3$ ), as the arcs drawn on the diagram for this schema suggest.

In § 5 of *Harmonielehre* (1906), Schenker provides us with a glimpse at how he derives these schemas. The laws of repetition and association, which together create the psychological basis for generating form at the lowest level (motives), also generate form at the highest level (entire works or movements):

The principle of repetition, once successfully applied to the understanding of the microcosm of musical composition [i.e., the motive], now could be applied on a larger scale as well. For if the significance of a small series [*Reihe*] of tones results clearly only after it has been repeated, it should seem plausible that a chain [*Kette*] of such small series [*Reihen*] would also acquire individuality and meaning by way of simple repetition. This is the origin of the two-part form  $a : a$ ; or, more exactly,  $a_1 : a_2$ .<sup>3</sup> (Schenker [1906] 1954, 9)

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<sup>3</sup> “Ist es so gelungen, im Kleinen und Kleinsten den Tönen Bedeutung zu geben, so konnte man es wagen, dasselbe Prinzip auch im Großen durchzuführen. Denn erfährt man, was eine kleine Reihe von Tönen bedeutet, erst dann, wenn und nachdem sie noch einmal gesetzt wird, so ist es einleuchtend, daß auch eine Kette von mehreren kleinen Reihen einfach durch Wiederholung zur Offenbarung ihres Sinnes gelangt. So entstand die zweiteilige Form  $a : a$  oder

Schenker goes on to describe how three-part form ( $a_1-b-a_2$ ) is derived from two-part form ( $a_1-a_2$ ) through the introduction of a contrasting element:

If there are, for example, two members,  $a_1$  and  $a_2$ , associatively linked, it is possible to insert an extraneous member  $b$ , which, so to speak, increases the tension and thereby emphasizes the effect of the repetition. Thus, apparently, there arises a three-part form. It should be stressed: “apparently.” For a true three-part form should consist of three members, viz.,  $a : b : c$ —a form whose application to music is simply unthinkable and is probably ruled out forever. The form  $a_1 : b : a_2$ , on the other hand, which seems to be the only three-part form applicable to music, can be reduced ideally to the two-part form,  $a_1 : a_2$ , on which it is originally founded. The inserted member  $b$ , however, whose function it is to delay the repetition, must be so characterized that it should not require, in its turn, a repetition for its clarification. For, in that case, we would obtain the form  $a_1 : b_1 : a_2 : b_2$ , in other words, a four-part form with an underlying two-part basis.<sup>4</sup> (Schenker [1906] 1954, 10–11)

These comments are reminiscent of A. B. Marx’s *Formenlehre*—particularly his increasingly complex rondos, where each new form compensates for an imperfection in a previous form (cf. example 1.3.8, p. 24). In Schenker’s case, for example, three-part form heightens our desire for the repetition underlying two-part form through delay. And if the  $b$  section of this three-part form is unable to stand on its own, it might be repeated to reinforce its independence, resulting in a four-part form. Schenker’s hierarchical tree diagrams on the left side of example 3.1.1(a) gradually emerge by chaining sections together, one after the other.

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um es noch deutlicher zu bezeichnen:  $a_1 : a_2$ ” (Schenker 1906, 10). I have modified Borgese’s translation: here “series” reads “chain” instead when Schenker uses the word *Kette*.

<sup>4</sup> “Z.B. wenn zwischen den assoziativ verbundenen Gliedern  $a_1$  und  $a_2$  ein fremdes  $b$  eingeschoben, das gleichsam die Spannung mehrt und dadurch erst recht die Wirkung des Gleichnisses steigert. Es entsteht somit dem Scheine nach eine dreiteilige Form. Ich betone: dem Scheine nach, denn eine wirklich dreiteilige Form müßte drei verschiedene Glieder aufweisen, also:  $a : b : c$  lauten,—eine Form, die in der Musik schlechthin undenkbar und für alle Zeiten wohl ausgeschlossen ist. Kann aber in der Musik die dreiteilige Form nun einmal nicht anders lauten als  $a_1 : b : a_2$ , so hat man hinter ihr offenbar doch nur die zweiteilige, nämlich  $a_1 : a_2$  als die ursprüngliche und grundlegende Form zu erkennen” (Schenker 1906, 12).

It is striking that the forms in example 3.1.1(a) closely resemble those described in chapter 5 of *Der freie Satz* (Schenker [1935] 1979, 128–45). Table 3.1.1 provides a comparison. The only noticeable difference involves sonata form. Schenker’s early conception of sonata form involves a three-part exposition ( $a_1-b_1-c_1$ ) and a three-part recapitulation ( $a_2-b_2-c_2$ ), for a total of six parts.<sup>5</sup> Through the addition of a development section (*Durchführung*) emerges a three-part form of a higher order: exposition–development–recapitulation (notated  $a_1-b-a_2$ ). Sonata form is described as a “cyclic form” for this reason: the three-part structures in the exposition and the recapitulation are replicated at a higher level (exposition–development–recapitulation). In *Der freie Satz*, Schenker emphasizes this higher-order three-part form and downplays his original six-part conception. Perhaps this is due to the principle of the “mysterious number five” (*geheimnisvolle Fünffzahl*), first described in *Harmonielehre* (1906, 51, 268).<sup>6</sup> At the end of *Der freie Satz*, Schenker writes, “Strangely, in agreement with the principle of the number 5 which I mentioned in my *Harmony* (§ 11), the number five also represents the limit in the world of form!” ([1935] 1979, 145).<sup>7</sup> Yet he did not always hold this belief so dearly, as the handwritten diagram of six-part form in example 3.1.1(a) attests.

But a more important difference between the early and late schemas exists: their derivation.<sup>8</sup> Schenker partitions forms based on their “outer” thematic resemblances in his early notes, whereas his explanation in *Der freie Satz* is based primarily on “inner” divisions of the

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<sup>5</sup> This is the same three-part form ( $a-b-c$ ) that Schenker discounted above (“a form whose application to music is simply unthinkable”); although, in this context, he is describing an exposition, whereas in *Harmonielehre*, he is likely describing the form of an entire movement.

<sup>6</sup> See Clark (1999, 87–88, 87n13).

<sup>7</sup> “Sonderbar: im Einklang mit dem Gesetz der Fünffzahl, dessen ich schon in Bd. I, § 11 gedachte, bedeutet die Zahl 5 auch in der Formenwelt die Grenze!” (Schenker 1935, 232).

<sup>8</sup> Also see Kalib (1973, 1:235–306) for the derivation of forms in Schenker’s late work.

**TABLE 3.1.1** Forms in Schenker's early notes (OC 83/255) compared with those in *Der freie Satz* ([1935] 1979, 128–45)

<i>Auf Theilung u. Wiederholung</i> (OC 83/255)		<i>Der freie Satz</i> ([1935] 1979)	
One-part form	[a]	Undivided form, § 307	[a]
Two-part form	$a_1-a_2$	Two-part form, § 309	$a_1 : a_2$
Three-part form	$a_1-b-a_2$	Three-part form, § 310	$a_1-b-a_2$
—	—	Sonata form, §§ 311–15	[Exp.–Dev.–Recap.]
Four-part form	$a_1-b_1-a_2-b_2$	Four-part form, § 317	$a_1-b_1 : a_2-b_2$
Five-part form (rondo form)	$a_1-b_1-a_2-c_1-a_3$ or $a_1-b_1-a_2-c_1(+b_2)-a_3$	Rondo form, §§ 319–21	$a_1-b_1-a_2-c_1-a_3$ or $a_1-b_1-a_2-c_1(+b_2)-a_3$
Six-part form (cyclic form)	$a_1-b_1-c_1$ (Df) $a_2-b_2-c_2$ (= $a_1-b-a_2$ )	See sonata form above	—

*Urlinie* and the composing-out of *Stufen* at deep levels of the middleground.<sup>9</sup> For example, he claims that undivided (one-part) form is based on an uninterrupted *Urlinie*:

The undivided progression of the fundamental line generates undivided form. Repetitions indicated by :||, or those written out in full, constitute neither an interruption of the fundamental line nor, consequently, a division of the form.<sup>10</sup> (Schenker [1935] 1979, 130)

Likewise, two-part form is derived through a division of the *Urlinie*, not thematic resemblances or repeated sections:

Two-part form evolves most naturally from the division  $\hat{3}-\hat{2} \parallel \hat{3}-\hat{2}-\hat{1}$ ,  $\hat{5}-\hat{2} \parallel \hat{5}-\hat{1}$ , or  $\hat{8}-\hat{5} \parallel \hat{5}-\hat{1}$ . This has nothing to do with the extent of the piece, which may be short . . . or . . . the result of more elaborate repetition.<sup>11</sup> (Schenker [1935] 1979, 132)

<sup>9</sup> It was not until the late 1910s that Schenker had developed the idea of the *Urlinie*. The term first appeared in print in his 1921 explanatory edition of Beethoven's Piano Sonata in A Major, op. 101 (Pastille 1990b, 74). By referring to “inner divisions of the *Urlinie*” and “outer thematic resemblances,” I allude to concepts of inner and outer form respectively (Rothstein [1989] 2007, 104; Salzer 1952, 1:223–26).

<sup>10</sup> “Der ungeteilte Ablauf des *Urlinie*-Zuges wird zur ungeteilten Form; etwaige mit :|| eingeforderte oder ausgeschriebene Wiederholungen bedeuten keine Unterbrechung des Zuges, also auch nicht der Form” (Schenker 1935, 211).

<sup>11</sup> “Zur zweiteiligen Form führt am natürlichsten die Gliederung  $\hat{3} \hat{2} \parallel \hat{3} \hat{2} \hat{1}$ ,  $\hat{5}-\hat{2} \parallel \hat{5}-\hat{1}$ ,  $\hat{8}-\hat{5} \parallel \hat{5}-\hat{1}$ , werde das Stück an Umfang klein . . . oder durch reichere Wiederholung auch umfangreicher” (Schenker 1935, 213).

This approach is exemplified by example 3.1.2: a sketch of Brahms's Waltz in B Major, op. 39, no. 1. The undivided *Urlinie* ( $\hat{3}-\hat{2}-\hat{1}$ ) makes for an undivided form despite this waltz having two repeated sections. (The first repeat sign is notated at the third level [3. *Schicht*]; the second repeat sign, which is not shown, appears in the score at the double bar at the end of the sketch.) This matter is complicated, however, when Schenker ([1935] 1979, 129) writes, "The omission of repeats [in performance], which is so widespread today, must be viewed as a violation of form."<sup>12</sup> In other words, a latent tension remains between a conception of form derived from thematic resemblances, repeated sections, and the like, and a conception derived purely from inner spans of voice leading (*Schichten*).<sup>13</sup>

In *Der freie Satz*, the schemas in table 3.1.1 are purportedly derived from divisions of the *Urlinie* and the composing-out of middleground *Stufen*, for all forms "have their origin in, and derive from, the background" (Schenker [1935] 1979, 130).<sup>14</sup> For example, three-part form ( $a_1-b-a_2$ ) arises through four distinct voice-leading paradigms: (1) the mere composing-out of the bass arpeggiation (I-V-I); (2) interruption (*Unterbrechung*), where the dividing dominant supporting  $\hat{2}$  at the interruption is composed out to become the  $b$  section; (3) mode mixture in the *Urlinie*

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<sup>12</sup> "Als ein Verstoß wider die Form ist es deshalb zu bezeichnen, wenn die Wiederholungen heute fast grundsätzlich fallengelassen werden" (Schenker 1935, 208). For more on Schenker's late theory of voice-leading coherence and repeat signs, particularly as these issues relate to interruption, see Smyth (1993).

<sup>13</sup> Consider whether Schenker, according to his early conception of form, would hear this waltz as either two-part ( $\parallel: a_1 : \parallel: a_2 : \parallel$ ) or three-part ( $\parallel: a_1 : \parallel: b-a_2 : \parallel$ ). The latter interpretation ignores the repeats *per se* and recognizes the return of the first thematic idea ( $a_2$ ) after contrasting material ( $b$ ) instead. Schenker struggled with this issue early on (see § 3.2.2 below).

<sup>14</sup> "Das Neue in der nachfolgenden Darstellung der Formen liegt in der Abteilung aller Formen als eines äußersten Vordergrundes von dem Hinter- und Mittelgrund" (Schenker 1935, 210). We saw in § 2.5.3 how, in *Harmonielehre*, Schenker coordinated large thematic groups with *Stufen* (or *Stufen als Tonarten*) through analyses of Beethoven's String Quartet in F Minor, op. 95/i (example 2.5.3, p. 148), and Piano Sonata in B-flat Major, op. 106/i (example 2.5.4, p. 152).

**EXAMPLE 3.1.2** Undivided (one-part) form based on an undivided *Urlinie*: Brahms's Waltz in B Major, op. 39, no. 1 (Schenker 1935, fig. 49.2)

(e.g., in the major mode,  $\hat{3}\hat{3}\text{---}\hat{3}\hat{3}\text{---}\hat{3}\hat{3}$  is supported by the progression  $I\text{---}VI\text{---}I$ ); and (4) the composing-out of a deep-middleground neighbor note and its harmonic support (e.g.,  $\hat{3}\hat{4}\hat{3}$  is supported by the progression  $I\text{---}IV\text{---}I$ ) (Schenker [1935] 1979, 132–33). The second paradigm, which has interruption as its basis, is conceptually a two-part form prior to it becoming a three-part form. On the other hand, the first paradigm, which has the  $I\text{---}V\text{---}I$  bass arpeggiation as its basis, does not go through this intermediate (two-part) stage.<sup>15</sup>

Such correspondences between inner and outer form confounded Schenker even after he had discovered them, writing,

<sup>15</sup> As Allen Cadwallader (1990, 14) observes, “basic formal patterns . . . derive from tonal process and characterize different levels of tonal structures. Consequently, a theory of form must be a theory of transformations that traces the evolution of formal patterns as they develop from one level to another.” Taking this view to its extreme, all forms begin as one-part forms.

The key to form lies, in some hidden way, in the number of parts (*Teile*). Just as 2, 3, 4, and 5, differ from one another, so do the forms derived from these numbers differ in their inner nature and significance.<sup>16</sup> (Schenker [1935] 1979, 145)

This passage, which appears in the epilogue to the chapter on form in *Der freie Satz*, betrays the earlier approach based on the schemas in example 3.1.1(a) (see p. 158) in addition to the *Urlinie* and its divisions. And if the key to form lies hidden in the number of parts—meaning the parts composing the outer form—then it is even more important that we understand Schenker’s early conception of outer form *on its own terms*. I contend that to understand the *Formenlehre* expressed in *Der freie Satz*, we must first understand the conformational approach that had existed before Schenker redefined form according to divisions of the *Urlinie* and its lower-level replicates.

### § 3.1.2. Precursors to Schenker’s Forms in the Works of A. B. Marx, Hugo Riemann, and Stephan Krehl

It is not clear which theorists might have influenced Schenker’s unique taxonomy in example 3.1.1(a). A. B. Marx’s (1856, 39–43) rondos offer one possibility, although these schemas do not all map easily onto Schenker’s. Example 3.1.3 shows some potential correspondences. Schenker’s two-part form corresponds to Marx’s first rondo, assuming that Marx’s *Gang* is not treated as an independent section. Similarly, Schenker’s three-part form corresponds to Marx’s second rondo. It is doubtful whether Schenker’s four-part form corresponds to any of Marx’s rondos, since it is based on binary divisions, whereas Marx’s forms are based primarily on ternary divisions. Comparing Schenker’s four-part form to Marx’s third rondo, the last *Hauptsatz* (*HS*) has

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<sup>16</sup> “Der Schlüssel zu den Formen liegt in der Zahl der Teile wie in einem Mysterium beschlossen: wie 2, 3, 4, 5 voneinander unterschieden sind, so unterscheiden sich auch die aus diesen Zahlen gezogenen Formen dem inneren Wesen nach” (Schenker 1935, 231–32).



**EXAMPLE 3.1.3** A comparison between Schenker's conformational forms (OC 83/255) and Marx's rondo forms (Marx 1856, 39–43; trans. Burnham 1997, 78–83)

{	Schenker's two-part form:	$a_1 - a_2$
	Marx's first rondo:	$HS - G - HS$
{	Schenker's three-part form:	$a_1 - b - a_2$
	Marx's second rondo:	$HS - SS - G \frown HS$
{	Schenker's four-part form:	$a_1 - b_1 - a_2 - b_2 \quad ?$
	Schenker's five-part form:	$a_1 - b_1 - a_2 - c_1 - a_3$
	Marx's third rondo:	$HS - SS.1 - G \frown HS - SS.2 - G \frown HS$
{	Schenker's five-part form:	$a_1 - b_1 - a_2 - c_1 - a_3 \quad ?$
	Marx's fourth rondo:	$HS - SS.1 - G \frown HS - SS.2 - G \frown HS - SS.1$
{	Schenker's six-part form:	$a_1 - b_1 - c_1 - (Df) - a_2 - b_2 - c_2$
	Marx's sonata form:	$HS - SS.1 - G - SZ - \textit{Durcharbeitung} - HS - SS.1 - G - SZ$

no correspondent (see the question mark).<sup>17</sup> A better correspondence exists between Marx's third rondo and Schenker's five-part form: the five parts align perfectly. Marx's fourth rondo has no analog in Schenker's taxonomy: while aligning most parts of this form with Schenker's five-part rondo is possible, the last *Seitensatz* (SS) has no clear correspondent (again, see the question mark).

Schenker's six-part form does closely resemble Marx's sonata form. Both theorists divide the

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<sup>17</sup> Neither does Schenker's four-part form map easily onto Marx's sonatina form (see example 1.3.8[c], p. 24). The two main sections in Marx's sonatina form each divide into three parts (*Hauptsatz–Seitensatz–Schlußsatz*), whereas the two main sections in Schenker's four-part form each divide into two parts ( $a_1-b_1$  and  $a_2-b_2$  respectively). In practice, however, Schenker analyzes movements as four-part forms that Marx would classify as sonatina form (Kalib 1973, 1:277–78).

exposition and recapitulation into three sections. Marx divides the exposition into *Hauptsatz* (HS), *Seitensatz* (SS), and *Schlußsatz* (SZ), whereas Schenker divides the exposition into what he only labels as  $a_1$ ,  $b_1$ , and  $c_1$ . Both theorists also divide sonata form as a whole into three sections.

Schenker labels these as  $a_1$ ,  $b$ , and  $a_2$  on the right-hand side of example 3.1.1(a) (see p. 158).<sup>18</sup>

Schenker may have also had the work of other theorists in mind. Riemann's (1889) large forms (*große Formen*) provide yet another taxonomy (see table 1.3.7, p. 73), but Stephan Krehl's *Musikalische Formenlehre* (1902–3) was perhaps the most influential.<sup>19</sup> We know Schenker likely owned the 1905–6 reprint of Krehl's treatise, since it was included in a catalog of books auctioned after Schenker's death in 1935 (Eybl 1995, 159, 172). And Krehl's reprint was published just as Schenker might have begun work on his own *Formenlehre*. In fact, in a diary entry dated July 11, 1907, Schenker records that he was developing “ideas toward a ‘new theory of form.’”<sup>20</sup>

Krehl's *Formenlehre* begins with a literature section listing previous treatises, including those surveyed in chapter 1: Reicha's *Traité de haute composition musicale* (1824–26), Marx's *Die Lehre von der musikalischen Komposition* (1837–47), Lobe's *Lehrbuch der musikalischen Komposition* (1850–67), and Riemann's *Katechismus der Kompositionslehre* (1889). Like Riemann's treatise, Krehl's is divided into two main parts: *Die reine Formenlehre* and *Die angewandte Formenlehre*.<sup>21</sup> The

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<sup>18</sup> This three-part design discounts any possible influence from Lobe (1850–67) or Richter (1852), who both understood sonata form as having two large sections (see table 1.3.2, p. 42).

<sup>19</sup> Krehl (1864–1924) taught at the Leipzig Conservatory, where Riemann was also on the faculty, and wrote textbooks on a variety of musical topics (Damschroder and Williams 1990, 152). Schenker corresponded with Krehl in the summer of 1923, when Schenker was invited to present a lecture at the first Congress of German Musicology in Leipzig, although this never came to fruition (diary entry dated July 17, 1923; Schenker Documents Online; transcr. Marko Deisinger, transl. Scott Witmer; available from [http://www.schenkerdocumentsonline.org/documents/diaries/OJ-03-04\\_1923-07/r0017.html](http://www.schenkerdocumentsonline.org/documents/diaries/OJ-03-04_1923-07/r0017.html); Internet; accessed May 4, 2016).

<sup>20</sup> “Ideen zu einer ‘neuen Formenlehre’” (JC 1/6; see Bent 2005, 96).

<sup>21</sup> More specifically, Riemann's treatise is divided into *Die allgemeine Formenlehre* and *Die angewandte Formenlehre*.

former part describes a system of structural relationships (form *per se*); the latter part describes genres such as the sonata, concerto, and symphony. Krehl's *reine Formenlehre* shows Riemann's influence in other ways as well. It begins by outlining four levels of musical structure—or, as Krehl ([1902–3] 1905–6, 1:9) titles the third chapter, “The Elements of Musical Composition” (*Die Elemente der musikalischen Schreibweise*). These elements include the *Taktmotiv*, *eigentliche Motiv* (actual motive), *kleine Satz*, and *ganze Satz*. In other words, Krehl recapitulates Riemann's eight-measure *Satz* (or *Periode*) and its component parts, but uses different terminology for each level.

Examples of Krehl's elements are shown in table 3.1.2.<sup>22</sup> The *Taktmotiv* comprises an upbeat followed by a downbeat across a bar line (cf. example 1.3.22, p. 66). Two *Taktmotive* combine into an *eigentliche Motiv*, such that a weak (*leicht*) measure leads to a strong (*schwer*) second measure, similar to Riemann's *Gruppe*. Krehl's *kleine Satz* combines two *Motive*, which can be either parallel (notated 1–1) or contrasting (notated 1–2), similar to Riemann's *Halbsatz*. Krehl's *große Satz* combines two *kleine Sätze* for a total of four *Motive*, similar to Riemann's *Satz*. Krehl highlights four patterns of motivic resemblance using Arabic numerals (1–1–1–1, 1–2–1–2, 1–2–3–1, and 1–2–3–4) but acknowledges that other patterns are possible.




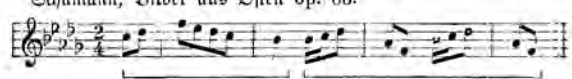




Having established the *große Satz*, Krehl ([1902–3] 1905–6, 1:43–44) introduces six full-movement forms (*große Formen*, *Grundformen*), followed by chapters dedicated to each. Krehl's taxonomy, from one-part form to sonata form, is shown in example 3.1.4.<sup>23</sup> Equivalent to a *große Satz*, one-part form (*einteilige Form*) is usually found in “the smallest songs or song-like pieces,”

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<sup>22</sup> The following discussion summarizes Krehl ([1902–3] 1905–6, 1:9–42 and *passim*).

<sup>23</sup> Krehl ([1902–3] 1905–6, 1:44) also lists *Übergangsformen* and the *Phantasieform*, describing them as freer formations (*freiere Bildungen*). For example, the *Übergangsformen* freely combine sections (*Teile*). Krehl (115–16) analyzes the first movement of Schumann's *Faschingschwank aus Wien*, op. 26, as an elaborate rondo: *A–B–A–C–A–D–A–E–A–F–A*, plus a coda.

**TABLE 3.1.2** Krehl's four elements of musical composition (Krehl [1902–3] 1905–6, 1:13, 22–23, 30–33, exx. 6–7, 18–19, 28–31)

Element	Example
<i>Taktmotiv</i>	
<i>eigentliche Motiv</i>	
<i>der kleine Satz</i> (Motive: 1–1)	<p>b. Himmel, an Alexis.</p> 
<i>der kleine Satz</i> (Motive: 1–2)	<p>Schumann, Bilder aus Osten op. 66.</p> 
<i>der große Satz</i> (Motive: 1–1–1–1)	<p>a. Schubert op. 53. II.</p> 
<i>der große Satz</i> (Motive: 1–2–1–2; 1–2–1–1 and 1–2–2–2 are also possible)	<p>a. Mozart, A dur-Sonate.</p> 
<i>der große Satz</i> (Motive: 1–2–3–1)	<p>a. Beethoven, op. 13.</p> 
<i>der große Satz</i> (Motive: 1–2–3–4; 1–2–3–2 and 1–2–3–3 are also possible)	

**EXAMPLE 3.1.4** Krehl's six *große Formen* (Krehl [1902–3] 1905–6, 1:43)

1. die einteilige Form;
2. die zweiteilige Form;
3. die kleine dreiteilige Form;
4. die zusammengesetzte dreiteilige Form;
5. die Rondoform;
6. die Sonatenform.

**EXAMPLE 3.1.5** Krehl's *einteilige Form*: R. Schumann, “Der Abendstern,” *Lieder-Album für die Jugend*, op. 79, no. 1 (Krehl [1902–3] 1905–6, 1:45, ex. 42)

Langsam.

1. Du lieb-licher Stern, du leuchtest so fern, doch  
hab' ich dich den-noch von Her-zen so gern.

although its main function is to serve as a building block for the other forms.<sup>24</sup> In example 3.1.5, Schumann's song “Der Abendstern,” Krehl (45–46) identifies four *Motive*. The melody's highpoint (*Höhepunkt*) falls on the *Schwerpunkt* of the third *Motiv* in m. 6 (see the F#<sub>5</sub>).<sup>25</sup> Although this song begins in the key of A major, Krehl observes that mm. 3–4 modulate to the “parallel key” (*Paralleltonart*), whereby the C-sharp-major chord in m. 4 is heard as a dominant in the key

<sup>24</sup> “Kleinste Lieder oder liedartige Stücke benutzen gern diese Form” (Krehl [1902–3] 1905–6, 1:44).

<sup>25</sup> The other *Schwerpunkte* all fall on the downbeats of the even-numbered measures.

of F-sharp minor.<sup>26</sup> Measures 5–6 modulate to the parallel key of the subdominant (the B-minor chord in m. 6 is “parallel” to D major). Krehl emphasizes that the piece concludes on the tonic in the primary key (m. 8), but cadences rarely determine form in his treatise.

Example 3.1.6(a), a menuet by J. S. Bach, illustrates Krehl’s (53–58) two-part form (*zweiteilige Form*). The tick marks notated on the downbeats of the even-numbered measures indicate *Schwerpunkte*. In this case, both eight-measure *große Sätze* are repeated: the first begins in the key of E-flat major and modulates to B-flat major; conversely, the second begins in B-flat major and modulates back to the primary key. Although these sections share internal similarities (e.g., mm. 1, 5, and 6 are related motivically), they are not parallel to one another. This form is therefore best represented as *a–b* (ignoring the repeats), which is rather different from Schenker’s two-part schema  $a_1–a_2$ . In fact, Krehl (53) claims that merely repeating a *Satz* cannot create a two-part form. Since two-part forms must offer some thematic contrast (*a–b*), he claims that Handel’s theme in example 3.1.6(b) is best classified as a one-part form.

Krehl’s (59–67) small three-part form (*kleine dreiteilige Form*), on the other hand, is divided into three sections (*Hauptsatz–Zwischensatz–Hauptsatz*) that are all based on the same motivic material. The *Zwischensatz* usually emphasizes the dominant harmony of the primary key, although it can modulate to a subordinate key instead. In either case, the *Zwischensatz* should not end with a definitive close (*keinem rechten Abschluß*). In example 3.1.7, Krehl divides Schumann’s “Soldatenmarsch” into three sections. The *Hauptsatz*, shown in example 3.1.7(a), begins in the primary key, modulates to the key of D major, and ends with an authentic cadence (*Ganzschluß*).<sup>27</sup> The *Zwischensatz*, shown in example 3.1.7(b), begins in the key of D major (where the *Hauptsatz*

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<sup>26</sup> Krehl uses Riemann’s “parallel” relationship, which maps C major onto A minor (and *vice versa*). This is equivalent to the relative operation (R) in current neo-Riemannian theory (Cohn 1998, 171–72, fig. 2).

**EXAMPLE 3.1.6** Krehl's *zweiteilige Form*

(A) J. S. Bach, French Suite no. 4 in E-flat Major, BWV 815, Menuet (Krehl [1902–3] 1905–6, 1:54, ex. 50)



(B) Doubtful as an example of *zweiteilige Form*: G. F. Handel's Suite in D Minor, HWV 437, Sarabande (Krehl [1902–3] 1905–6, 1:57, ex. 53)



**EXAMPLE 3.1.7** Krehl's *kleine dreiteilige Form*: R. Schumann's "Soldatenmarsch," *Album für die Jugend*, op. 68, no. 2

(A) *Hauptsatz* (Krehl [1902–3] 1905–6, 1:64, ex. 60)



<sup>27</sup> This explicit mention of a cadence in connection with a formal boundary is unusual. Like Marx and Riemann, Krehl will sometimes mention the presence of a cadence, but cadences are neither sufficient nor are they necessary to demarcate the end of a formal section.

## EXAMPLE 3.1.7 CONTINUED

(B) *Zwischensatz* (Krehl [1902–3] 1905–6, 1:64, ex. 61)



(C) Return of the *Hauptsatz* (Krehl [1902–3] 1905–6, 1:64, ex. 62)



left off) but soon modulates back to the primary key (G major).<sup>28</sup> The *Hauptsatz* returns in example 3.1.7(c) but it does not modulate this time.<sup>29</sup> To summarize: A *Zwischensatz* is not necessarily shorter than a *Hauptsatz* (despite the *Hauptsatz* being repeated in this example), but it is tonally dependent on and motivically related to the *Hauptsatz*.<sup>30</sup>

In contrast, the middle section (*Mittelsatz*) of Krehl's (72–79) composite three-part form (*zusammengesetzte dreitheilige Form*) is independent of the outer *Hauptsätze*.<sup>31</sup> All three sections should end on a tonic harmony, although the *Mittelsatz* (or *Trio*) is usually set in a contrasting key. Krehl uses the first two sections of Schumann's "Volksliedchen," shown in example 3.1.8, to

<sup>28</sup> Contrary to Krehl's claim that the middle section should not end with a definitive close, here the *Zwischensatz* ends with an authentic cadence, which he does not mention.

<sup>29</sup> Both the *Zwischensatz* and the *Hauptsatz* are then repeated—a fact that Krehl does not acknowledge.

<sup>30</sup> Krehl's *kleine dreiteilige Form* resembles Riemann's *zweiteilige Form* (cf. table 1.3.7, p. 73).

<sup>31</sup> Krehl's *zusammengesetzte dreitheilige Form* is comparable to Riemann's *dreiteilige Liedform* (cf. table 1.3.7, p. 73).



**EXAMPLE 3.1.8** Krehl's *zusammengesetzte dreiteilige Form*: R. Schumann, "Volksliedchen," *Album für die Jugend*, op. 68, no. 9

(A) *Hauptsatz* (Krehl [1902–3] 1905–6, 1:73, ex. 68a)



(B) *Mittelsatz* (Krehl [1902–3] 1905–6, 1:73, ex. 68b)



illustrate these features. The *Hauptsatz* in example 3.1.8(a) is eight measures long and set in the key of D minor. The *Mittelsatz* in example 3.1.8(b), which is the same length as the *Hauptsatz* when the repeat is accounted for, provides contrasting thematic material and a change in mode from D minor to D major. Yet the *Mittelsatz* is not entirely independent: it ends inconclusively on the dominant (a fact that Krehl fails to mention), contradicting his earlier description of this form. The *Hauptsatz* then returns to complete the three-part structure (not shown), bringing with it the opening motives and the primary key (D major).

Yet Krehl (75–77) has works with more substantial *Mittelsätze* in mind (see table 3.1.3). He categorizes works typically occurring in *zusammengesetzte dreiteilige Form* into three genres: (1) songs (*Lieder*); (2) dance pieces or scherzos from sonatas (*Tanzstücke oder Scherzosätze der Sonaten*); and (3) movements from chamber works and symphonies (*Kammermusikwerken und Symphonien*).

**TABLE 3.1.3** Works belonging to three genres typically found in *zusammengesetzte dreiteilige Form* (Krehl [1902–3] 1905–6, 1:75–77)

Category	Works
I. <i>Lieder</i>	L. van Beethoven: In questa tomba Fr. Schubert: Das Fischermädchen " " Der Doppelgänger " " An den Mond op. 57 Nr. 3. R. Schumann: Widmung op. 25 Nr. 1 " " Frühlingsnacht op. 39 Nr. 12.
II. <i>Tanzstücke oder Scherzosätze der Sonaten</i>	J. S. Bach: englische Suite Nr. 3, Gavotte L. van Beethoven: Andante der Sonate op. 28 Fr. Schubert: Moment musical op. 94 Nr. 1 Fr. Chopin: Polonaisen op. 40 M. Rubinstein: Scherzo op. 44 Nr. 2 E. Paganini: op. 25 Nr. 1, Gavotte J. L. Nicodé: op. 28 Nr. 1, Walzer M. Moszkowski: op. 17 Nr. 2, Menuett.
III. <i>Kammermusikwerken und Symphonien</i>	W. A. Mozart: 2. Streichquartett (d moll) Menuett. " Symphonie (Es dur) Menuett. L. van Beethoven: Streichquartett op. 18 Nr. 4 Menuett. " Symphonie F dur op. 93 Menuett. Fr. Schubert: Claviertrio Es dur op. 100, Scherzo. " Symphonie B dur. Menuetto. F. Mendelssohn: Symphonie A dur op. 90, 3. Satz. R. Schumann: Claviertrio op. 63 D moll, 2. Satz. " Symphonie D moll op. 120, Scherzo. J. Brahms: Serenade op. 16, Quasi Menuetto. " Symphonie F dur op. 90, Allegretto.

Within Krehl's first category, Schumann's song "Widmung," from the cycle *Myrthen*, op. 25 (not shown), has a clear three-part structure reflected by its contrasting keys (A-flat major–E major–A-flat major), melodic ideas, and piano accompaniments. But the *Mittelsatz* does not end with an E-major tonic harmony; instead, it remains harmonically open for the thematic return over a dominant pedal in the primary key (a characteristically Schumannesque blurring of formal boundaries). Within Krehl's second category, the *Andante* from Beethoven's Piano Sonata in D Major, op. 28, is also set in three large sections—the first in D minor, the second in D major, and the third again in D minor (not shown). The first *Hauptsatz* and the *Mittelsatz* are both structured as *kleine dreiteilige Formen* with two repeated sections (as in rounded binary form, to use modern

terminology), whereas the second *Hauptsatz* has varied reprises that are fully written out. Within Krehl's third category, we find minuets and scherzos from string quartets and larger symphonic works by composers ranging from Mozart to Brahms. In these examples, the *Mittelsätze* are designated as trios—namely, independent sections set in a contrasting key (or mode) featuring contrasting motivic ideas. For example, in the wistful *Poco Allegretto* from Brahms's Symphony no. 3 in F Major, op. 90, the outer *Hauptsätze* are set in the key of C minor; the *Mittelsatz* is set in the key of A-flat major (not shown).

One of Krehl's (79–84) most detailed analyses is of the last movement from Beethoven's Piano Sonata in C Minor, op. 13. This movement illustrates rondo form, which is organized as a large, more developed three-part structure (*A–B–A*; *eine erweiterte große dreiteilige Form*) whose outer *A* sections are further divided into three parts. This results in a seven-part structure overall: *A–B–A* | *C* | *A–B–A*.<sup>32</sup> Each of these sections may be structured either as a *Thema* or a *Themengruppe*. As table 3.1.4 shows, the *A* section in Beethoven's rondo comprises a *Hauptthema* and a short appendix (*Anhang*) set in the key of C minor, a second *Thema* (also in C minor), and a transition (*Überleitung*) that modulates to E-flat major.<sup>33</sup> The *B* section is structured as a *Themengruppe*, also in E-flat major, that is divided into three *Sätze*, which together are followed by a coda and a retransition (*Rückleitung*) to the primary key (C minor).<sup>34</sup> The *A* section returns in










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<sup>32</sup> Krehl (86) acknowledges that other rondo forms are possible. He analyzes the last movement of Mozart's Piano Sonata in B-flat Major, K. 281, as a nine-part rondo with three unique *Mittelsätze* (*B*, *C*, and *D*), the first of which is repeated. This results in the form *A–B–A–C–A–D–A–B–A*.

<sup>33</sup> In table 3.1.4, subsections listed in parentheses, such as the *Anhang* and *Überleitung* in the first *A* section, are treated as connecting ideas rather than true *Sätze* (or *Themen*). Information appearing in square brackets, including key areas and measure numbers, is based on my own reconstruction of Krehl's analysis.

<sup>34</sup> To illustrate the minimal role that cadential articulation plays in Krehl's *Formenlehre*, notice that he never mentions the perfect authentic cadence that occurs in the subordinate key

**TABLE 3.1.4** Krehl's *Rondoform*: Beethoven, Piano Sonata in C Minor, op. 13/iii (Krehl [1902–3] 1905–6, 1:80–84, exx. 72–78)

<i>Teil</i>	<i>Satz</i>	<b>Key</b>	<b>Measures</b>	<b>Krehl's Incipits</b>
<b>A</b> <i>Themengruppe</i>	<i>Hauptthema</i>	C minor	[1–8]	
	( <i>Anhang</i> )	[C minor]	[9–12]	—
	2. <i>Thema</i>	[C minor]	[12–17]	
	( <i>Überleitung</i> )	→ E-flat major	[18–25]	
<b>B</b> <i>Themengruppe</i>	1. <i>Satz</i>	[E-flat major]	[25ff.]	
	( <i>Vermittlung</i> )	—		—
	2. <i>Satz</i>	[E-flat major]	[37ff.]	
	3. <i>Satz</i>	[E-flat major]	[44ff.]	
	( <i>Coda</i> )	[E-flat major]	[50ff.]	—
	( <i>Rückleitung</i> )	[E-flat major → V of C minor]	[56–61]	
<b>A</b>	<i>Hauptthema</i>	C minor	[62–69]	<i>See above, mm. 1–8</i>
	( <i>Anhang</i> )	[C minor]	[70–73]	—
	2. <i>Thema</i>	[C minor]	[73–78]	<i>See above, mm. 12–17</i>
<b>C</b> <i>Mittelsatz</i>	1. <i>Satz</i>	A-flat major	[79–86]	
	2. <i>Satz</i>	A-flat major	[87–94]	—
	( <i>Zwischenspiel</i> )	—	[95–98?]	—
	3. <i>Satz</i>	A-flat major → V of C minor	[98ff.]	
<b>A</b>	<i>Hauptthema</i>	C minor	[121–28]	<i>See above, mm. 1–8</i>
	( <i>Anhang</i> )	[C minor]	[129–34]	—
<b>B</b> ( <i>etwas verkürzt</i> )	—	C major	[134ff.]	—
<b>A</b>	<i>Hauptthema</i>	C minor	[171ff.]	<i>See above, mm. 1–8</i>

(E-flat major) at the end of the second *Satz* (m. 43; see table 3.1.4). In other approaches to sonata form, such as Koch ([1782–93] 1983) and Hepokoski and Darcy (2006), this cadence would mark an important point of closure.

abbreviated form to complete the first large three-part structure (*A–B–A*). The *C* section (*Mittelsatz*) is set in the contrasting key of A-flat major, although a transition to this new key is absent. The *C* section is divided into three *Sätze*. The third *Satz* effects a retransition from A-flat major to the dominant of C minor, which prepares the return of the second three-part structure (*A–B–A*). Yet this large-scale repetition includes noticeable differences: (1) the initial *A* section lacks its second *Thema* (which Krehl fails to acknowledge); (2) the *B* section is abbreviated and now set in the key of C major; and (3) the final return of *A* is also abbreviated.

Krehl's *Rondoform* is similar to Riemann's *große Rondoform* (see table 1.3.7, p. 73) and Schenker's second version of five-part form shown in example 3.1.1(a) (p. 158). Krehl's schema *A–B–A | C | A–B–A* can be mapped onto Schenker's schema  $a_1-b_1-a_2-c_1(+b_2)-a_3$ , but only if we understand that an *a* section between  $c_1$  and  $b_2$  has been suppressed in the latter.<sup>35</sup> Furthermore, Krehl's *Rondoform* is similar to Schenker's conception of six-part sonata form, except that Schenker's three-part exposition and recapitulation comprise three distinct sections (*a–b–c*), which is in contrast to Krehl's *A–B–A* form. Krehl's *C* section would also be replaced by a *Durchführung*, similar to Marx's derivation of sonata form from his fifth rondo (see example 1.3.8[b], p. 24).

Krehl's (88–91) conception of sonata form, which he regards as “the most perfect, most developed of all forms” (*die vollkommenste, entwickeltste aller Formen*), is divided into three sections: exposition (*Aufstellung der Themen*), development (*Durchführung*), and recapitulation (*Wiederholung der Themen*). While Schenker's exposition comprises three themes, Krehl claims that usually there are only two.<sup>36</sup> In this case, the first theme is followed by a transition (*Überleitung*) leading to the second theme in a closely related key. The second theme sometimes includes a *Passagenteil* (similar

<sup>35</sup> Suppressing an *a* section between  $c_1$  and  $b_2$  is also found in example 3.2.1(d) (see p. 186).

<sup>36</sup> “Die Zahl der Themen ist, wie schon angedeutet, gering, denn sie beträgt in den meisten Fällen nicht mehr als zwei” (Krehl [1902–3] 1905–6, 1:88).

to the *Gang* at the end of the *Seitensatz* in Marx's conception of sonata form), or the second theme might be followed by a coda. Krehl never discusses a closing theme (*Schlußsatz*).

### § 3.1.3. Schenker's New *Formenlehre* and the Anxiety of Influence (*Tessera*)

It is clear that Schenker's forms in example 3.1.1(a) (p. 158) were not appropriated from any one theorist. On the surface, they resemble Marx's rondo forms, since they are increasingly complex and culminate in sonata form. However, Schenker's one-part form has no obvious correspondent in Marx's taxonomy; in the case of four-part form, correspondences with either Marx's third rondo or sonatina form are not exact (although they are not absent, either). Krehl's taxonomy of full-movement forms, which shows traces of Marx's *Formenlehre* (1837–47) as filtered through Riemann's (1889), provides another model that may have influenced Schenker.

Table 3.1.5 directly compares Schenker's forms found in the Oster Collection with Krehl's taxonomy.<sup>37</sup> Both theorists begin with one-part form. Their two-part forms differ with respect to thematic resemblance: Krehl's sections are contrasting (*A–B*), whereas Schenker's are similar (*a<sub>1</sub>–a<sub>2</sub>*). It is unclear whether Krehl's small three-part form more closely resembles Schenker's two- or three-part form; it largely depends on the status of Krehl's *Zwischensatz* and whether it counts as true "part" (*Teil*). Schenker's three-part form corresponds to Krehl's composite three-part form. Schenker's four-part form corresponds to Krehl's sonatina form (*Sonatine*), since Krehl's exposition typically comprises only two themes.<sup>38</sup>

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<sup>37</sup> The schemas provided in square brackets are my own, following what Schenker and Krehl would likely have indicated.

<sup>38</sup> However, Krehl's ([1902–3] 1905–6, 1:90–93) sonatina form is not a "sonata form without development," since this form sometimes includes a modest development section.

**TABLE 3.1.5** A comparison of Schenker's early forms (OC 83/255) with Krehl's *große Formen* (Krehl [1902–3] 1905–6, vol. 1)

Schenker's <i>Formen</i> (OC 83/255)		Krehl's <i>große Formen</i> ([1902–3] 1905–6, vol. 1)	
Form	Schema	Form	Schema
One-part form	[a]	One-part form	[A]
Two-part form	$a_1-a_2$	Two-part form	[A–B]
Three-part form	$a_1-b-a_2$	Small three-part form	<i>Hauptsatz–Zwischensatz–Hauptsatz</i> [A–B–A, or perhaps A–A?]
		Composite three-part form	<i>Hauptsatz–Mittelsatz–Hauptsatz</i> A–B–A
Four-part form	$a_1-b_1-a_2-b_2$	Sonatina form	[A–B   modest <i>Durchführung</i>   A–B]
Five-part form (rondo form)	$a_1-b_1-a_2-c_1-a_3$ or $a_1-b_1-a_2-c_1 (+b_2)-a_3$	Rondo form	A–B–A   C   A–B–A <i>Hauptsatz–Mittelsatz–Hauptsatz</i>
Six-part form (cyclic form)	$a_1-b_1-c_1$ (Df) $a_2-b_2-c_2$ (= $a_1-b-a_2$ )	Sonata form	<i>Aufstellung–Durchführung–Wiederholung</i> <i>Aufstellung</i> : 1. <i>Thema–(Überleitung)–</i> 2. <i>Thema–(Passagenteil)</i>

Schenker's alternative version of five-part rondo form has a potential correspondence with Krehl's, although it must be understood that an *a* section has been suppressed between  $c_1$  and  $b_2$ . And while Schenker's three-part sonata-form exposition ( $a-b-c$ ) differs from Krehl's emphasis on only two themes, the former can perhaps be attributed to Bruckner's influence (see § 1.3.4).

Yet there is a more important point to be made here other than the influence of particular theorists, for despite whatever differences exist between Schenker's schematic forms and those of his predecessors, it is abundantly clear that he is working within the nineteenth-century *Formenlehre* tradition—a tradition that originated with Marx and was passed down to Bruckner, Riemann, and Krehl (among many others). The forms described in Schenker's early notes (example 3.1.1[a], p. 158)—the same forms that Schenker describes in the final chapter of *Der freie Satz* ([1935] 1979, 128–45)—continue this tradition rather than break from it. As Nicholas Cook rightly observes, “What is at issue here is essentially the rehabilitation of certain aspects of what

Schenker saw as ‘false theory’” (2007, 285). Indeed, all of Schenker’s heated polemics against the *Formenlehre* tradition only betray that tradition’s enormous influence—whether in Schenker’s “Geist” essay ([1895] 2007), unpublished “Niedergang” typescript ([1905–6] 2005a), monograph on Beethoven’s Ninth Symphony ([1912] 1992), or any of his later polemics, up to and including *Der freie Satz* ([1935] 1979, 138), where he ardently complains that previous textbooks “present rubrics, which are like a set of children’s building blocks.”<sup>39</sup> The schemas derived in his late approach to form—schemas purportedly generated by spans of transformational voice leading—are in fact the same schemas that Schenker had devised before he ever developed the idea of the *Urlinie* (see table 3.1.1, p. 162).

By redefining form according to divisions of the *Urlinie*, Schenker attempted to complete the *Formenlehre* tradition through its antithesis (*tessera*): the continuity of voice leading.<sup>40</sup> Voice leading and form are antipodes. As Frank Samarotto (2005, 1) writes, “voice leading is by nature an embodiment of continuity, brought about by the coherence of melodic or harmonic units, while form is about segmentation, brought about by surface articulation, repetition, cadential closure, and so on.” In Schenker’s late thought, generative voice leading is privileged over traditional conceptions of outer form; or, as Cook (2007, 285) summarizes the approach in *Der freie Satz*, “What are traditionally called outer forms are epiphenomena, simply the outcomes of deeper process, the projection of background and middleground on the foreground: you cannot theorise them in their own right.” But Schenker did theorise outer forms in their own right, only

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<sup>39</sup> “Statt des in einem Meisterwerk waltenden Organischen einer Sonatenform stellen die Lehrbücher Rubriken auf, eine Art Steinbaukasten zu kindischem Spiel” (Schenker 1935, 223).

<sup>40</sup> Regarding *tessera*, see Bloom (1973, 14, 49–73). Bloom writes, “In this sense of a completing link, the *tessera* [completion and antithesis] represents any later poet’s attempt to persuade himself (and us) that the precursor’s Word would be worn out if not redeemed as a newly fulfilled and enlarged Word of the ephebe” (67).



he did so approximately twenty years earlier, jotting down cursory notes on a few pages now archived in the Oster Collection.

### § 3.2. SCHENKER'S FORMS IN CONTEXT: FROM ONE-PART TO FIVE-PART FORM

This section expounds the first five conformational forms shown in example 3.1.1(a) (see p. 158).<sup>41</sup> After representing these forms schematically, Schenker provides general notes (*Allgem[eines]*) regarding each (see example 3.2.1). Example 3.2.1(a) describes two-, three-, and four-part forms; a transcription follows in example 3.2.1(b). A second page of notes, shown in example 3.2.1(c), describes five- and six-part forms, again followed by a transcription in example 3.2.1(d). (Individual pages in the Oster Collection are dedicated to each form as well.) In the subsections below, these documents are described in detail. Representative analyses, both published and unpublished, illustrate how Schenker applied these schemas to compositions by Haydn, Mozart, Beethoven, Chopin, and Brahms.

#### § 3.2.1. One-part Form

Few details regarding Schenker's early conception of one-part form are known.<sup>42</sup> In example 3.1.1(a) (see p. 158), one-part form is listed as a possibility, but Schenker includes it in parentheses, does not provide a schema (writing only N.B.), and does not group it with the remaining forms through the large bracket on the right side of the page. He also does not include

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<sup>41</sup> Six-part sonata form (cyclic form) is discussed separately in § 3.3 below.

<sup>42</sup> See Kalib (1973, 1:238–39) for Schenker's later approach to one-part form.






## EXAMPLE 3.2.1 CONTINUED

## (B) Transcription: Notes on two-, three-, and four-part forms (OC 83/255)

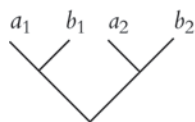
Allgem.2-tlg.):  $a_1-a_2$ 

ist durch den Wiederholungstrieb bedingt.

 $a_1-b-a_2$ :

$b$  (Mittelstück) <sup>zunächst</sup> mehr Spannungsmittel (vgl. I § ), als <sup>wirklicher</sup> Selbstzweck d.h. ~~ein wirklich~~ neuer Gegensatz. Braucht nicht einmal den bei jedem wirklichen Gegensatz sonst nothwendigen Gegensatz auch der Tonart mit sich zu führen, wodurch erwiesen ist, daß hinter dieser Form doch eigentlich die  sich verbirgt, daher Neigung zu Rückfällen der  in , besonders bei zu geringer Ausbildung des  $b_1$  u.s.w.

Noch ist Zweck der bloßen Dyadik u. der eines Gegensatzes gleichsam im Gleichgewicht.



$b$  wird Gegensatz. Gegensatz als Selbstzweck: Beweis dessen Wiederholung.

Auch Gegns. der Tonart <sup>zugleich</sup> <sup>organisch</sup> <sup>mit</sup> bedingt, wenn die Form Sinn haben soll.  $b_1$  u.  $b_2$  trägt mit Sicherheit selbst bereits eine ganze Form, ein größtes Stück, u. nicht leicht den Fall zu denken, wo diese Form bloß in Diensten einer anderen stand.

$b_1$  – durchaus neue Tonart.

$b_2$  – ebenso eine der  $a_1$  u.  $a_2$  [*illegible: fremde?*], also neue Tonart, die aber dieselbe sein kann, wie bei  $b_1$ .

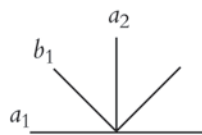
Diese Form weist nur einen Gegensatz auf.



## EXAMPLE 3.2.1 CONTINUED

## (D) Transcription: Notes on five- and six-part forms (OC 83/257)

Fünfte tlg.



- Die Form zweier Gegensätze. –

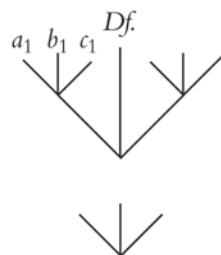
- Die Gegensätze sind aber von einander getrennt. Es ist, als wären 2  $\searrow \swarrow$  Formen mit einander verbunden, u. als würde jedes Mal das  $a_1$  den jeweiligen Gegensatz an der Hand führen u. so anführen. Daher  $a_1, a_2$  u.  $a_3$  immer dieselbe Tonart aufweisen. ★



- Aus  $a_1-b_1-a_2-c_1-a_3-b_2-a_4$  entsteht durch billige Restriction, d.i. durch Weglassung des  $a_3$  u. Zusammenziehung von  $c_1$  u.  $b_2$  zu neuer Gruppe auch die andere Form:

$$a_1-b_1-a_2-c(+b_2)-a_3$$

- $a_3$  eigentlich dann von Haus aus  $a_4$ .



- Die Form zweier Gegensätze, die sogar gleich hintereinander auftreten.

- Nicht mehr die Behutsamkeit der Einführung des zweiten Gegensatzes (wie bei der Rondoform) mittels rückkehrende  $a_2$ , vielmehr dramatische u. [illegible] Ausholen in Einem.

- Die mitten gelagerte Df. ist es, die dieser Form das Eigentümliche verschafft.

Setze man statt ihrer wieder  $a$ , also  $a_2$ , u. wir sind sofort

bei der bloß 4-tlg. Form  $\searrow \swarrow$ , möge der Gegensatz noch so stark

auf den Stand neuer zusammengesetzten „Gruppen“ gebracht worden sein;

$b_1$  u.  $c_1$  würden dann unbedingt [illegible] [illegible] aber bloß des [illegible: bekannten?]  $b_1$

des  $\searrow \swarrow$  [illegible] Gefühl erscheinen: so stark würde die

Rückkehr des  $a_2$  wirken.

Es müsste also statt  $a_2$  ein Neues gesetzt werden; d. ist der Sinn der Df.

Daß die große Inhaltsmasse den rasch hintereinander aufgebauten

Gegensatz  $b_1$  u.  $c_1$ , der Df. in thematischer Endsicht [illegible]

näherer Ausdeutung (thematische Arbeit) erfordert,

ist selbstverständlich. Diese [illegible: Tendenz?] kann aber unter

Umständen auch überflüssig sein.

- Verschleierte Rückkehr zur Urform  $\searrow \swarrow$ : müßig jedoch

[illegible] zu betonen. Der [illegible] gegenüber dieser liegt

darin: daß ein wirklicher Gegensatz in reiner [illegible] Tonart

gebracht wird, u. daß dieser Gegensatz eine quantitativ so

starke Erweiterung des Inhaltes aufweist.

a discussion of one-part form in the notes excerpted in example 3.2.1(a). Similar to Krehl's *Formenlehre*, perhaps this schema is understood primarily as a theoretical necessity—a basic building block from which other forms are constructed. Or perhaps this schema is not described in detail due to one-part form's violation of the law of repetition—the principle underlying Schenker's entire theory (see § 2.2). It is also unclear which pieces might have been classified as one-part forms. This schema likely includes strophic songs, themes for variation sets, and pattern preludes by Baroque composers such as J. S. Bach, but it is difficult to know with certainty.

§ 3.2.2. Two-part Form: Beethoven's Late Piano Sonatas (op. 109/ii and iii, op. 110/iii, and op. 111/ii); Other Works

Example 3.2.1(b) merely states that two-part form ( $a_1-a_2$ ) arises due to an urge toward repetition (*ist durch den Wiederholungstrieb bedingt*). Example 3.2.2 provides a more detailed explanation. In example 3.2.2(a), Schenker outlines two-part form as an independent (*selbstständig*), single entity (*Ein einzelnes Gebilde*). At the page's top-left corner, two schemas are listed:  $a_1-a_1$  (an exact repetition) and  $a_1-a_2$  (a varied repetition). These schemas, particularly  $a_1-a_2$ , are illustrated by works listed down the right side of the page (from top to bottom): the first movement of Beethoven's Piano Sonata in C-sharp Minor, op. 27, no. 2; waltzes by Schubert; movements from Schumann's *Davidsbündlertänze*, op. 6; themes from variation sets, including those from Beethoven's late piano sonatas op. 109 and op. 111; and the *Arioso dolente* from Beethoven's Piano Sonata in A-flat Major, op. 110/iii. Near the center of the page, Schenker questions whether exact parallelism between  $a_1$  and  $a_2$  should be ruled out (*Vollständiger Parallelismus von  $a_1$  u.  $a_2$  auszuschließen?*), concluding that the  $a_2$  section does require variety ( $a_2$



EXAMPLE 3.2.2 Notes on two-part forms

(A) Notes on independent two-part forms in Schenker's handwriting with transcription (OC 83/259; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

2 H. Form  
 $a_1 - a_2$   
 $a_1 \vee a_2$

1) Selbstständig.  
 Ein einzelnes Gebilde ( ? ) / Beeth. Fant. cis<sup>m</sup> Sonate

1) Vollständigkeit.  
 für einzelnes Gebilde ( ? ) / Beeth. Fant cis<sup>m</sup> Sonate

Aber mehrere Selbstständige zu einem Großen <sup>blos</sup> [illegible] u. [illegible]

Aber mehrere Selbstständige zu einem Großen <sup>blos</sup> [illegible] u. [illegible]  
 z.B. Walzer von Schubert  
 Schumann, Davidsbündlertänze  
 oder: als Thema nachfolg. Var.  
 z.B. Beeth. Son. op. 109, 111  
 Händel, B<sup>dur</sup> Th. mit Var.  
 oder: Arioso in Beeth. Sonate A<sup>dur</sup> op. 110.  
 Beeth. Arioso in Beeth. Son. op. 110.

Vollständiger Parallelismus von  $a_1$  u.  $a_2$  auszuschließen (?)

Vollständiger Parallelismus von  $a_1$  u.  $a_2$  auszuschließen (?)  
 $a_2$  bedarf einer Abwechslung:  
 $a_2$  bedarf einer Abwechslung:  
 für bescheidenen Gegensatz an Motiv oder  
 Ein bescheidener Gegensatz an 1) Motiv oder  
 2) Tonart oder endlich:  
 3) Motiv u. Tonart  
 ist in den meisten Fällen erforderlich.

Die Einheit darf <sup>dadurch</sup> aber nicht gesprengt werden.  
 in Funktion auf eine vollst. werden.

Sonstige Parallelismen

daher:  $a_1$   $a_2$   
 z.B. 3. 6. I-I I-II ( ? )  
 I-II ( ? ) - I ( ? )  
 N.B. M.B. I-I I-I ( ? )  
 I-I \* Rückm. - I Rückm.  
 I-II \* Rückm. - I Rückm.  
 Mdl. \* - Rückm. Rückm.

(Bezeichnung „arietta“ für Thema aus 111 vielleicht auf den Mangel an P. zurückzuführen?)  
 Schubert, Walzer, op. 9 As 2  
 Beeth. Thema nach 109, 111  
 Händel B<sup>dur</sup> Thema  
 Beeth. Arioso  
 As<sup>m</sup> Ces<sup>d</sup> - Rück. As<sup>m</sup>

\* Solange durch den Gebrauch der Tonika angezeigt wird, daß die alte Ton. fortbesteht, wird aber nur eine Entwickl. zu V nicht schon aber eine volle Mod. angewiesen sein.  
 Da die Aufbau neuer Motivbildung zu Anfang das  $a_2$  u. namentlich wenn dies auch von [illegible] Tonarten begleitet sind, ist das Embryo [illegible] nachfolg. Form zu erblicken.

\* So lange durch den Gebrauch der Tonika angezeigt wird, daß die alte Ton. fortbesteht, wird aber nur eine Entwickl. zu V nicht schon aber eine volle Mod. angewiesen sein.  
 Da die Aufbau neuer Motivbildung zu Anfang das  $a_2$  u. namentlich wenn dies auch von [illegible] Tonarten begleitet sind, ist das Embryo [illegible] nachfolg. Form zu erblicken.

EXAMPLE 3.2.2 CONTINUED

(B) Five types of two-part form enlarged with transcription (OC 83/259; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

daher:

z.B. 3.4. [Type 1:] I - I <sup>a<sub>1</sub></sup> <sup>a<sub>2</sub></sup> [illegible] Ton. mod.[?] I - I

N.B. [Type 2:] I - I

[Type 3:] M.S. I - I

[Type 4:] I - I \* Rückmd. - I

[Type 5:] I - Mdl.\* - Rückm. I

Beeth. Thema nach 109, 111  
Beeth. Thema nach 109, 111  
Händel B<sup>dur</sup> Thema  
Beeth. Arioso  
As<sup>m</sup> Ces<sup>d</sup> - Rück. As<sup>m</sup>

(C) Notes on dependent two-part forms in Schenker's handwriting with transcription (OC 83/260; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

2. 2. Form:

2) in diesem Schema, [illegible: unselbstständiger?] Formen, wie u.s.w.

als Wiederholung in einer [illegible: höheren?] oder tieferen Oktave:

z.B. Beeth. Son. F<sup>m</sup> op. 2, Fin. As<sup>dur</sup>

mit Varianten oder ohne

Tonarten wie oben:

Chopin Noct. f<sup>m</sup>  
Chopin Noct., Fis<sup>dur</sup>  
Beeth. Son. F<sup>m</sup> Adagio, erster Tl.  
Moz. Rondo a<sup>m</sup>: erste Liedf.



*bedarf einer Abwechslung*).<sup>43</sup> Indeed, a modest contrast (*Ein bescheidener Gegensatz*) is usually required (*ist in den meisten Fällen erforderlich*). This contrast is achieved through a new motive (*Motiv*), a new key (*Tonart*), or both (*Motiv u. Tonart*).<sup>44</sup> On the left side of the page, Schenker cautions that this contrast (*Gegensatz*) should not become too great (*Die Einheit darf dadurch aber nicht gesprengt werden*) because, as the note near the bottom of example 3.2.2(a) suggests, a two-part form ( $a_1-a_2$ ) risks becoming a three-part form ( $a_1-b-a_2$ ), whereby the beginning of the  $a_2$  section in the former develops into the  $b$  section in the latter (discussed below).

The asterisk written at the beginning of this note at the bottom of example 3.2.2(a) corresponds with the asterisks shown in the region highlighted by the dashed rectangle. This region is enlarged in example 3.2.2(b), where two-part form's five tonal plans, which I have designated types 1 through 5, are listed. The first type is outlined directly below the binary branch ( $a_1-a_2$ ) written at the top. In this case, the  $a_1$  and  $a_2$  sections both begin and end with tonic *Stufen* in the primary key. The question mark written just to the right of this schema suggests that Schenker did not have a ready example from the repertoire in mind, but this schema is offered as a theoretical possibility nonetheless. In a type-2 situation,  $a_1$  begins and ends on tonic *Stufen*;  $a_2$  begins with a modulation to a subordinate key (*Ton[art] mod[uliert?]*) and eventually returns to the primary key, which is confirmed by ending with a tonic *Stufe*. The type-3 schema presents a similar situation, except that  $a_1$  begins off tonic (e.g., on a supertonic or dominant *Stufe*).<sup>45</sup>

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<sup>43</sup> This conclusion implicitly rejects the  $a_1-a_1$  schema as a two-part form. Krehl reached a similar conclusion in his discussion of example 3.1.6(b) (see p. 172), claiming that two-part form is best conceived as  $a-b$  rather than  $a-a$ . Moreover, Schenker's conception of two-part form does not require a varied repetition; he also analyzes contrasting periods ( $a-b$ ) as two-part forms.

<sup>44</sup> See Kalib (1973, 1:239–42) for Schenker's later approach to two-part form, which has interruption (*Unterbrechung*) as its basis rather than contrasting motives and keys.

<sup>45</sup> This off-tonic beginning is what Schenker ([1935] 1979, 89) would later describe as an auxiliary cadence; see Burstein (2005a).

It is not clear how the Roman numerals beginning and ending each formal section in example 3.2.2(b) should be interpreted. Perhaps Schenker means to relate each section's beginning and ending to the beginning and ending harmonies of its underlying *Stufengang*. A stronger claim would suggest that each *Stufe* at the end of these progressions functions as what Schenker describes in *Harmonielehre* (1906, 297) as a *Stufe als Satzteiler*, or a *Stufe* that demarcates a formal division (see § 2.4.3). In this case, the last *Stufe* in each section represents a particular kind of cadence: (1) an authentic cadence if the section ends with a tonic *Stufe*; or (2) a half cadence if the section ends with a dominant *Stufe*.

Although Schenker describes in *Harmonielehre* ([1906] 1956, 217) how form interacts with the *Stufengang* to create a cadence, this relationship became increasingly ambivalent over time. He sometimes observes a cadence at the end of a formal division; at other times, a cadence is more akin to a harmonic progression unfolding over multiple measures. We find descriptions of both types in his explanatory edition of Beethoven's Piano Sonata in E Major, op. 109 (this 1913 publication is contemporaneous with the notes in example 3.2.2). Schenker relates cadences to formal punctuation in the second movement (see example 3.2.3[a]), when he writes, "The first thematic component *a* is divided as twice four bars, with half cadence in bar 4 and perfect authentic cadence in bar 8" ([1913] 2015, 1:43).<sup>46</sup> But later he describes how, in example 3.2.3(b), "the closing theme, at first a group of four bars and a group of five bars, are juxtaposed: bars 57–60 and 61–65 respectively; but for the final cadence in bars 66–69, the bass avails itself of the first four bars of the movement" ([1913] 2015, 1:47).<sup>47</sup> This "final cadence" is not a division at the end

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<sup>46</sup> "Der erste Teilgedanke a) gliedert sich in 2×4 Takte: Halbschluß in T. 4, vollkommener Ganzschluß in T. 8" (Schenker 1913, 36).

<sup>47</sup> "Im Schlußgedanken stehen einander zunächst vier und fünf Takte gegenüber, T. 57–60 : 61–65; die letzte Kadenz aber in T. 66–69 apostrophiert wieder die ersten vier Takte" (Schenker 1913, 37).

**EXAMPLE 3.2.3** Two kinds of “cadence” in Beethoven’s Piano Sonata in E Major, op. 109/ii

(A) Cadence as formal punctuation, mm. 1–8 (Schenker [1913] 2015, 1:43)

Musical score for Example 3.2.3(A) showing a cadence as formal punctuation in mm. 1–8 of Beethoven’s Piano Sonata in E Major, op. 109/ii. The score is in 6/8 time, E major, and features a Prestissimo tempo. The right hand has a melody with slurs and accents, while the left hand has a bass line with “ben marcato” and “ff” markings. Two boxes labeled “I:HC” and “I:PAC” are placed above the staff, indicating formal divisions.

(B) Cadence as harmonic progression (*Stufengang*), mm. 57–70 (Schenker [1913] 2015, 1:47)

Musical score for Example 3.2.3(B) showing a cadence as harmonic progression (*Stufengang*) in mm. 57–70 of Beethoven’s Piano Sonata in E Major, op. 109/ii. The score is in 6/8 time, E major, and features a *Schlußgedanken* section. The right hand has a melody with slurs and accents, while the left hand has a bass line with “f” and “dim.” markings. Two boxes labeled “[Kadenz]” are placed above the staff, indicating harmonic divisions. The section ends with “letzte Kadenz” and “p” markings.

of a formal section; rather, it comprises the entire *Stufengang* unfolding over the course of mm. 66–69.<sup>48</sup> Yet this “cadence” is still associated with a formal division, at least to some extent, since it marks the end of the closing theme.

<sup>48</sup> In other words, in example 3.2.3(a), Schenker observes a cadence in m. 4 as a formal division, whereas in example 3.2.3(b), he identifies the entire *Stufengang* comprising mm. 66–69 as

A more extreme divorce between the concepts of cadence and formal division occurs in the explanatory edition of Beethoven's Piano Sonata in A-flat Major, op. 110 (Schenker [1914] 2015, 2:80–81). Schenker observes a cadence in each of the third movement's first three measures, and in three different keys (see example 3.2.4): m. 1 presents a cadence in the key of B-flat minor, with the *Stufengang* I–IV–~~♯~~VII(V)–I over a tonic pedal; m. 2 presents a cadence in the key of C-flat major, with the *Stufengang* I–IV–V; and m. 3 presents a cadence in the key of A-flat minor, with the *Stufengang* I–II–V. Throughout this chapter, form-defining cadences like those in example 3.2.3(a), which Schenker mentions explicitly in his analyses, are indicated using modern designations (e.g., I:HC or V:PAC). Cadences that Schenker does not mention, but likely would have heard, are indicated using question marks (e.g., I:HC?).<sup>49</sup> The two conceptions of what a cadence involves suggest that the relationship between cadential articulation and formal division is not as strong in Schenker's early *Formenlehre* as it is in eighteenth-century approaches, such as Koch ([1782–93] 1983), or as it is in present-day approaches, such as Caplin (1998) and Hepokoski and Darcy (2006).<sup>50</sup> Although Schenker sometimes mentions cadences as form-defining events, we should not mistake this with an approach in which cadences (*qua* punctuation) are *necessary* to demarcate formal sections.

Returning to example 3.2.2(b) (see p. 189) and the discussion of two-part form, Schenker lists Schubert's Waltz in A-flat Major, op. 9, no. 2, as an example of the type-2 schema in particular. Example 3.2.5 reconstructs how he might have analyzed this piece ca. 1911. The  $a_1$  section (mm. 1–8) begins and ends on a tonic *Stufe* in the primary key. The  $a_2$  section (mm. 8–16)

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a cadence. Schenker's description of mm. 66–69 as the "final cadence" suggests that mm. 57–60 and mm. 61–65 are perhaps heard as cadences as well.

<sup>49</sup> Labels appearing in square brackets, such as those in example 3.2.3(b), are also my own.

<sup>50</sup> For more on Koch's punctuation form, see Ratner (1949) and Berger (1996).



swerves away from this key, first through A-flat minor in mm. 9–10 (reinterpreted as a mediant *Stufe* in E major), and then through a V–I progression in the key of E major (mm. 11–12). The new E-major tonic (an enharmonic respelling of F-flat major) also functions as ♭VI in the primary key. In m. 13, the ♭VI chord is transformed into a German augmented sixth chord (#IV), which leads to a perfect authentic cadence (V–I) confirming the primary key in m. 16.<sup>51</sup> The melodic similarities that  $a_1$  and  $a_2$  share support hearing these sections as parallel despite the harmonic events at the beginning of  $a_2$ .

With the type-4 schema in example 3.2.2(b) (p. 189), the  $a_1$  section moves from I to V; or, what the footnote at the bottom of example 3.2.2(a) describes as a development toward the dominant *Stufe* (*aber nur eine Entwicklung zu V*) that maintains a connection with the old tonic (*die alte Ton[ika] fortbesteht*).<sup>52</sup> But, to paraphrase Schenker’s continuing discussion: If there are new motives at the beginning of the  $a_2$  section accompanied by new keys, then this passage becomes an embryo for the  $b$  section in a more developed three-part form ( $a_1$ – $b$ – $a_2$ ).<sup>53</sup> The themes from the last movements of Beethoven’s piano sonatas op. 109 and op. 111 are listed as examples.<sup>54</sup>

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<sup>51</sup> In *Harmonielehre*, Schenker ([1906] 1954, 281, exx. 255–56) describes augmented sixth chords using *Stufen* from two different keys (e.g., a French augmented sixth chord in the key of F minor is heard as the combination of a supertonic *Stufe* in F minor and a dominant *Stufe* in C major). However, when a submediant *Stufe* progresses to a German augmented sixth chord, he usually interprets the augmented sixth chord as #IV (Schenker [1906] 1954, 270, ex. 239).

<sup>52</sup> Whether or not this might also constitute a modulation to the dominant key is unclear. Schenker’s schema indicates that a return-modulation (*Rückmodulation*) follows, which implies a prior modulation.

<sup>53</sup> “Da die Aufbau neuer Motivbildung zu Anfang das  $a_2$  u. namentlich wenn dies auch von [*illegible*] Tonarten begleitet sind, ist das Embryo [*illegible*] nachfolg. Form [ $b$  section in a three-part form] zu erblicken” (OC 83/259). This description of the beginning of  $a_2$  as an embryo for the  $b$  section in a three-part form is reminiscent of Schenker’s description of the “budding seventh-chord” (*keimende Vierklang*) in book II of *Kontrapunkt* ([1922] 1987, 215–17).

<sup>54</sup> Schenker also lists the theme from Handel’s *Aria con Variazioni*, Suite in B-flat Major, BWV 434. He later changed his mind about the form of this theme, describing it as a three-part form in *Der Tonwille*, issues 8–9 (Schenker [1923–24] 2005b, 78; [1915] 2015, 3:79–80n2).

**EXAMPLE 3.2.6** Type-4 two-part form: Beethoven's Piano Sonata in E Major, op. 109/iii, theme (Schenker [1913] 2015, 1:55–58)

**$a_1$  (Vordersatz)** I:HC?

Gesangvoll, mit innigster Empfindung  
Andante molto cantabile ed espressivo

mezzo voce *cresc.* *p*

E major: I ————— V ————— II ————— V

1. 2.

**$a_2$  (Nachsatz)** I:IAC?

*Schein-Modulation nach Gis-moll* *cresc.* *sf* *mezzo voce*

[Return to E major: V II]

The theme from Beethoven's Piano Sonata in E Major, op. 109/iii, is divided into  $a_1$  (mm. 1–8) and  $a_2$  (mm. 9–16), as shown in example 3.2.6. In commentary from his explanatory edition, Schenker ([1913] 2015, 1:55) identifies the two-note melodic motives highlighted by the wavy-line brackets in mm. 1, 3, 5, and 7, observing that they all lead to the note E<sub>4</sub>. He cautions that this repetition poses the “difficulty of expressing through variations a tonal event that occurs with such purposeful urgency no fewer than four times within eight bars.”<sup>55</sup> Schenker continues,

Apart from this danger lurking from the side of compositional technique, the Theme is hostage to yet a second peril, which springs from the fact that the

<sup>55</sup> “Welche Schwierigkeit es aber bedeutet, einen binnen 8 Takten nicht weniger als viermal mit so programmatischer Eindringlichkeit wiederkehrenden Tonfall durch Variationen auszudrücken” (Schenker 1913, 40).

harmonies in bars 1–8 twice make the turn to the dominant; and further, that these turns occur in bars 4 and 8, which have special and fundamental significance for the shaping of form. As a result the eight bars threaten from the outset to fragment into two four-bar groups.

Beethoven, however, was aware of all these difficulties, as is clearly shown by the means he employed to counter them: first, the application of a *cresc.* sign in bars 4–5, which, to the same extent that it enables the fifth bar to follow ineluctably from the fourth, now also compels the conceptual joining—that is to say the unification—of all eight bars . . . and second, the very telling legato slur that leads from the inner voice of the right hand of bar 4 across to the first tone of the arpeggio in bar 5.

In bars 9–16 too, which represent a consequent [*Nachsatz*] to bars 1–8, the danger impends on harmonic grounds of division into twice four bars; but since in bar 12, in an apparent modulation to G[-sharp] minor [*Schein-Modulation nach Gis-moll*], scale degree III (thus at least not once again the dominant of the key) appears, the danger is lessened, so that the remedy through crescendo used in bar 4 turns out here, in bar 12, to be unnecessary.<sup>56</sup> (Schenker [1913] 2015, 1:55–56)

Although the beginning of  $a_2$  carries with it a modulation—even if this modulation is only apparent, and despite the perfect authentic cadence that seemingly lurks in m. 12—Schenker is not willing to grant these tonal events form-generating status by raising mm. 9–12 to the level of a contrasting  $b$  section. Perhaps this is because he hears a parallelism in the melody between mm. 1–4 and mm. 9–12; perhaps he wishes to maintain the unity of mm. 9–16, parallel to the

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<sup>56</sup> “Außer dieser latenten kompositionstechnischen haftet dem Thema noch eine zweite Gefahr an, die davon herrührt, daß die Harmonien in den T. 1–8 die Wendung zur Dominante zweimal nehmen, obendrein in den für die Formbildung mit besonderer und prinzipieller Bedeutung in Frage kommenden T. 4 und 8, wodurch aber die 8 Takte von vornherein in zwei 4-taktige Gruppen zu zerfallen drohen. [/] Aller dieser Schwierigkeiten war sich indessen auch Beethoven bewußt, wie es deutlich die Mittel zeigen, deren er sich eigens zu dem Zwecke bedient, ihnen zu begegnen: 1. die Anweisung eines *cresc.*-Zeichens in T. 4–5, das im selben Maße, als es die Eroberung des 5. Taktes vom 4. aus ermöglicht, nun auch die geistige Verkettung, d.i. die Einheit sämtlicher 8 Takte . . . erzwingt; und 2. der sehr ingeniöse legato-Bogen, der von der Mittelstimme der r. H. des T. 4 hinüber zum 1. Arpeggioton des 5. Taktes führt! [/] Auch den T. 9–16, die sich als *Nachsatz* der T. 1–8 darstellen, droht aus harmonischen Gründen ebenfalls die Gefahr der Teilung in zweimal 4 Takte; da indessen in T. 12 die III. Stufe (*Schein-Modulation nach Gis-moll*)—also doch mindestens nicht wieder die Dominante der Tonart!—vorliegt, so ist die Gefahr eine geringere, weshalb denn auch das in T. 4 verwendete *cresc.*-Hilfsmittel sich hier, in T. 12, als überflüssig erweist” (Schenker 1913, 40; slashes [/] indicate new paragraphs).



unity of mm. 1–8; or, perhaps he simply wishes to acknowledge Beethoven’s repeat signs. But whatever the constellation of reasons for why he interprets this theme as  $a_1$ – $a_2$  rather than  $a_1$ – $b$ – $a_2$ , Schenker’s arguments clearly discount the importance of inner tonal processes, such as (apparent) modulations and cadences, and privilege the outer form as two parallel eight-measure units demarcated by repeats.

In example 3.2.2(b) (see p. 189), the type-5 schema further discounts inner tonal processes a determinant of form (namely, the presence of an independent  $b$  section in a three-part form). In this case,  $a_1$  begins on a tonic *Stufe* and leads to a true modulation; conversely,  $a_2$  begins with a return-modulation (*Rückmodulation*) and leads back to the tonic *Stufe* in the primary key. The *Arioso dolente* from Beethoven’s Piano Sonata in A-flat Major, op. 110/iii, illustrates this schema (an analysis appears in the lower right-hand corner of example 3.2.2[b]). Example 3.2.7 shows this analysis in context, taking into account commentary from Schenker’s ([1914] 2015, 2:93–103) explanatory edition. There he relates the modest formal scope of this *arioso* to Beethoven’s declining health:

Thus in our case the (programmatically posited) unhappy bodily constitution of the composer naturally sets only narrow boundaries to the form, and whatever in it could at all be interpreted as will to modulation (from A $\flat$  minor to C $\flat$  major) and thus, at the same time, as symptom of the first conquering of the weakness, the image of a real weakness is on the contrary nurtured by the fact that the tones of the melody drift as though broken and worn out, mostly only in displacements from the rhythmically strong positions.<sup>57</sup> (Schenker [1914] 2015, 2:93)

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<sup>57</sup> “So zieht denn also auch in unserem Falle die (programmatisch vorausgesetzte) unselige körperliche Verfassung des Autors der Form naturgemäß nur enge Grenzen, und was in ihr allenfalls als Wille zur Modulation (von A $\flat$  moll nach C $\flat$  dur) und damit immerhin zugleich als Symptom einer ersten Überwindung der Ohnmacht gedeutet werden könnte, wird dem Bild einer wirklichen Ohnmacht umgekehrt wieder dadurch genähert, daß die Töne der Melodie wie gebrochen und zermürbt meistens nur in Rückungen den rhythmisch stärkeren Stellen zutreiben” (Schenker 1914, 55). For musical narratives that involve Beethoven overcoming disability, see Straus (2011, 45–62).

**EXAMPLE 3.2.7** Type-5 two-part form: Beethoven's Piano Sonata in A-flat Major, op. 110/iii, *Arioso dolente* (Schenker [1914] 2015, 2:93–103)

**$a_1$  (mm. 9–16)** I:HC

(Klagender Gesang)  
Arioso dolente

A-flat minor: I

**$a_2$  (mm. 17–24)** No I:HC here

C-flat major: VI V I

**$a_3$  (mm. 21–24)** I:PAC? [Anhang]

Rückmodulation to A-flat minor: IV V

The  $a_1$  section (mm. 9–16) is internally divided by a half cadence in m. 12. The tonic in m. 13 is reinterpreted as VI in the key of C-flat major, followed by the confirmation of C-flat major through a perfect authentic cadence in m. 16. The  $a_2$  section (mm. 17–26) begins with a return-modulation (*Rückmodulation*) to the key of A-flat minor. Unlike  $a_1$ ,  $a_2$  is not internally divided: Schenker (102), in his commentary on proper performance, explicitly denies the existence of a half cadence in m. 20 (cf. m. 12). Presumably  $a_2$  concludes with a perfect authentic cadence in m. 24, perhaps followed by an *Anhang* in mm. 25–26.

This analysis raises a number of questions. Why might Schenker hear this passage as a two-part form rather than a three-part form? Given the half cadence in m. 12, might mm. 13–16 constitute a  $b$  section set in a contrasting key (C-flat major)? And if one hears a half cadence in m. 12, why not also hear one in m. 20? Perhaps Schenker hears this *arioso* as a two-part form due to the melodic parallelisms shared between mm. 9–12 and mm. 17–20—an approach that privileges the eight-measure *Periode* schema, even when it conflicts with the tonal layout.

But by 1915, Schenker ([1915] 2015, 3:79–84) had come to recognize the form-defining significance of such tonal events in his analysis of the theme from Beethoven’s Piano Sonata in C Minor, op. 111/ii, writing,

For all that the brevity as well as the *external division* of the Arietta (into eight bars followed by eight bars) may suggest the assumption of only a two-part song form, according to its *inner nature*, as will be demonstrated in the immediately following discussion, it is far more accurately described as a three-part song form, although to be sure as one of the smallest dimensions.<sup>58</sup> (Schenker [1915] 2015, 3:79; emphasis mine)

This theme appears in example 3.2.8. Schenker hears  $a_1$  (mm. 1–8) as twice progressing toward

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<sup>58</sup> “So sehr die Kürze wie die äußere Einteilung der Arietta (in 8 zu 8 Takten) die Annahme nur einer zweiteiligen Form nahelegen, ist sie ihrem inneren Wesen nach, wie gleich unten begründet wird, dennoch weit eher als eine dreiteilige Liedform, allerdings als eine solche kleinsten Ausmaßes zu bezeichnen” (Schenker 1915, 53).

the dominant, first in m. 4, and then in m. 8 (first ending only).<sup>59</sup> The second ending concludes with a tonic *Stufe*, which is then reinterpreted as III in the key of A minor. The *b* section (mm. 9–12; a four-measure *Taktgruppe*) is set in this new key, ending with a half cadence in m. 12. Measure 13 marks the beginning of *a*<sub>2</sub> and the return of the primary key, although this section is shortened by four measures relative to its eight-measure counterpart (*a*<sub>1</sub>).

Despite this theme's division into three parts (*a*<sub>1</sub>–*b*–*a*<sub>2</sub>) based on its tonal layout, Schenker still hears a two-part melodic-motivic design. The E<sub>5</sub>–C<sub>5</sub>–B<sub>4</sub> melodic motion in mm. 3–4 is heard in relation to similar melodic motion in mm. 11–12, the latter recontextualized in the key of A minor. Schenker also hears a parallelism between the end of *a*<sub>1</sub> and the end of *a*<sub>2</sub>, in which the ascending stepwise third in mm. 7–8 (B<sub>4</sub>–C<sub>5</sub>–D<sub>5</sub>) is continued by the ascending stepwise third in mm. 13–14 (D<sub>5</sub>–E<sub>5</sub>–F<sub>5</sub>). The latter ascent surpasses the space of a third (D<sub>5</sub>–F<sub>5</sub>) to complete an ascending fourth to G<sub>5</sub> (see mm. 15, 16, and 16 *bis*). As a result, the melody in *a*<sub>1</sub> (mm. 1–8) is largely parallel to the melody in *b*–*a*<sub>2</sub> (mm. 9–16). Therefore, while the latent two-part melodic-motivic design conflicts with the three-part tonal plan (C major–A minor–C major):

Thus the *a*<sub>2</sub> section excerpts from the *a*<sub>1</sub> actually nothing more than merely its cadential gesture, and the master was all the more able to leave it at that as the middle part itself had already provided an analogy to bars 1–4, so that bars 9–16 taken as a whole yield a counterpart to the first section that may be called nearly complete—which however by no means deters me from elevating bars 9–12, as already noted, to the status of a relatively independent middle section by virtue of the decisive role of its harmony alone.<sup>60</sup> (Schenker [1915] 2015, 3:84).

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<sup>59</sup> All *Stufen* notated in example 3.2.8, other than the submediant *Stufe* in m. 13, are mentioned in Schenker's commentary ([1915] 2015, 3:79–84). The placement of the dominant and tonic *Stufen* on the downbeats of m. 1 and m. 2 respectively is unusual: the inner-voice E<sub>4</sub> in m. 1 and the inner-voice D<sub>4</sub> in m. 2 are both heard as upward-resolving suspensions (81, fig. 80).

<sup>60</sup> “Somit exzerpiert der *a*<sub>2</sub>-Teil aus dem *a*<sub>1</sub>-Teil nun wirklich nichts mehr als bloß dessen Schlußwendung, und umsomehr konnte es der Meister bloß dabei allein bewenden lassen, als ja auch schon das Mittelstück in seiner Art eine Analogie zu den T. 1–4 geboten, so daß die T. 9–16 nun in Summa ein beinahe vollständig zu nennendes Gegenstück zum ersten Teil ergeben, —was mich aber durchaus nicht hindert, die T. 9–12, wie schon oben gesagt wurde, allein nur wegen

**EXAMPLE 3.2.8** Three-part versus two-part form: Beethoven's Piano Sonata in C Minor, op. 111/ii, theme (Schenker [1915] 2015, 3:79–84)

**a<sub>1</sub>** I:HC? I:IAC?

**ARIETTA**  
Adagio molto semplice e cantabile E-C—B B-C-D

C major: I V I V I V I II V A minor: I III V#

**b** (cf. mm. 3–4) VI:HC **a<sub>2</sub>** (from where m. 7 leaves off) I:IAC? I:IAC?

E—C—B D—E—F—G!

I V C major: [VI] V I IV V I I

Schenker tries to have it both ways, which is not unusual. Perhaps this is the earliest example of an overt conflict between inner and outer form in his published work—except, in this case, *key areas* define the inner form, similar to the key areas (*Stufen als Tonarten*) that unify groups in Schenker's early conception of cyclic form (see § 2.5.3). It is this correspondence between well-defined key areas and independent formal sections that increasingly became the basis for his conception of large-scale form in general, whether it is the form of an entire movement, the exposition of a sonata, or a modest theme from a set of variations.

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der entscheidenden Rolle ihrer Harmonie zu einem relativ selbständigen Mittelstück zu erheben” (Schenker 1915, 54–55).

Before considering three-part form further, we turn to example 3.2.2(c) (see p. 189), which outlines Schenker's conception of two-part form as a dependent (*unselbständig*) entity, or as a component part of some larger form. (In example 3.2.2[c], these schemas are highlighted by the dashed rectangle.) For instance, form diagrams for two of Chopin's nocturnes located at the bottom of the page indicate that their  $a_1$  sections, which are part of an overall three-part structure ( $a_1-b-a_2$ ), are divided further into  $a_1$  and  $a_2$ . The first diagram shows the form of Chopin's Nocturne in F Minor, op. 55, no. 1. The large  $a_1$  section (mm. 1–16; not shown) comprises a *Vordersatz* and a *Nachsatz*, each beginning and ending on tonic *Stufen*, perhaps implying authentic cadences. The second diagram shows the form of Chopin's Nocturne in F-sharp Major, op. 15, no. 2. Again, the large  $a_1$  section (mm. 1–16; not shown) comprises two parallel *Sätze* that begin on tonic *Stufen*. The *Vordersatz* (I–V) ends on a dominant *Stufe* (perhaps implying a half cadence), while the *Nachsatz* (I–I) ends on a tonic *Stufe* (perhaps implying an authentic cadence).

Below these diagrams, Schenker lists the first part (*erste T[ei]ll*) of the *Adagio* from Beethoven's Sonata for Piano and Violin in F Major, op. 24.<sup>61</sup> This analysis is reconstructed in example 3.2.9(a), based on the document from the Oster Collection shown in example 3.2.9(b).<sup>62</sup> The latter example divides the first large section of the form ( $A_1$ ) into two parts (*Vorder-* and *Nachsatz*), both based on the same underlying *Stufengang* (I–V–V–I). In example 3.2.9(a), these *Stufen* mark the beginning and ending harmonies, respectively, of the two four-measure *Taktgruppen* that compose each *Satz*. The *Vordersatz* begins with a tonic *Stufe* in m. 2; the

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<sup>61</sup> And below this diagram, Schenker lists the *erste Liedform* from Mozart's Rondo in A Minor, K. 511. This likely refers only to mm. 1–8. As shown below in example 3.2.10(b) (see p. 209) and table 3.2.1 (see p. 233), Schenker analyzed the entire  $A_1$  section (mm. 1–30) of the piece as a three-part song from ( $a_1-b-a_2$ ).

<sup>62</sup> At the top-right corner of example 3.2.9(b), Schenker lists this as an analysis of Beethoven's *VI. Sonate*, which is an error: op. 24 is Beethoven's fifth violin sonata.

**EXAMPLE 3.2.9** Dependent two-part form: Beethoven's Sonata for Piano and Violin in F Major, op. 24/ii, mm. 1–29 (*erster Teil*)

(A) Schenker's analysis reconstructed (OC 83/270)

**A<sub>1</sub>**

[Vorhang?] Adagio molto espressivo Vordersatz (mm. 2–9)

Violin

Piano

B-flat major:

5

9 [I:PAC?] Nachsatz (mm. 10–17)

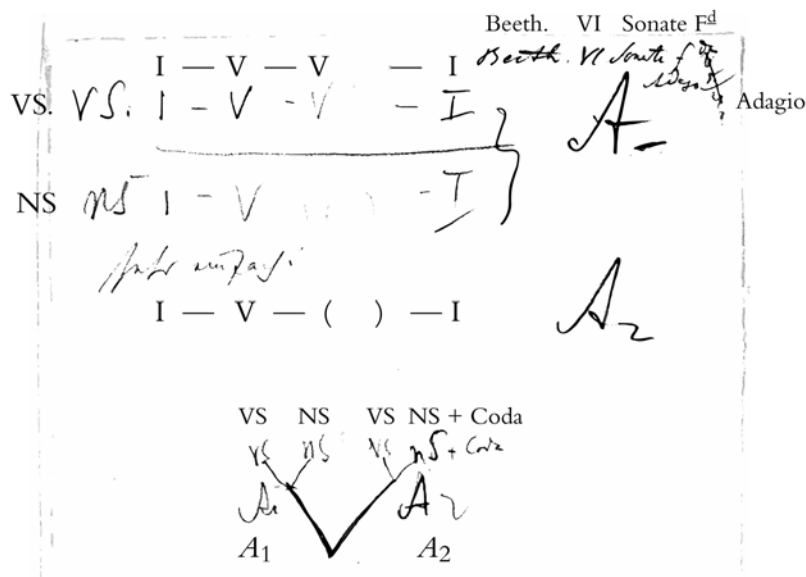
14 [I:PAC?] [Coda?]

20

24 [V:PAC?] [Rückmodulation?] A<sub>2</sub> [Vorhang?]

## EXAMPLE 3.2.9 CONTINUED

(B) Schenker's diagram of mm. 1–29 (OC 83/270; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



dominant *Stufe* arrives at the end of the first four-measure *Taktgruppe* in m. 5. The second *Taktgruppe* reverses this progression, beginning with a dominant *Stufe* in m. 6, followed by the tonic's return in m. 9. To obtain this eight-measure *Vordersatz*, I suggest that m. 1 be heard as a *Vorhang*. The *Nachsatz* is similarly divided into two four-measure *Taktgruppen*.

The coda (mm. 18–29), which is my own addition, foreshadows and perhaps parallels the more extensive coda that Schenker hears after the  $A_2$  section: see the diagram of the entire movement written near the bottom of example 3.2.9(b). This hearing is highly unusual: the first coda (m. 18ff.) modulates to the key of the dominant (F major). This new key is confirmed by a perfect authentic cadence in m. 25, after which a *Rückmodulation* might follow in mm. 25–28, whereby, through the addition of a chordal seventh (E $\flat$ ) in m. 26, the tonicized F-major triad in m. 25 becomes a dominant seventh chord in the primary key. We typically do not expect a coda



to modulate to a new key, but neither does Schenker regard mm. 18–25 as an independent *B* section. Perhaps he hears mm. 18–29 as all beginning and ultimately ending in the primary key despite the internal modulation to the dominant. In that case, mm. 18–29 might conclude in B-flat major with an imperfect authentic cadence in mm. 28–29 ( $V^7-I$ ). This hearing would explain why Schenker does not interpret mm. 18–29 as an independent *B* section—at least from the perspective of the tonal layout.

To summarize: this movement is divided into two parts at two hierarchical levels: (1) the large sections that compose the independent (*selbstständig*) two-part form ( $A_1 + A_2$ ); and (2) the further division of these sections into dependent (*unselbstständig*) two-part forms (*Perioden*). A more typical hearing might divide the movement into what Lewis Lockwood (2004, 36) describes as “a highly elaborated three-part reprise form with a well-defined coda.” In this case,  $A_1$  is set in the primary key (mm. 1–17), *B* is set in the key of the dominant (mm. 18–28), and  $A_2$  returns in the primary key (m. 29ff.), followed by the coda (not shown).

§ 3.2.3. Three-part Form: Brahms’s *Ein deutsches Requiem*, op. 45/ii, and *Begräbnisgesang*, op. 13; Haydn’s String Quartet in C Major, op. 54, no. 2/ii; W. A. Mozart’s Piano Sonata in A Major, K. 331/i; Other Works

As example 3.2.1(b) (see p. 184) makes clear, Schenker’s early conception of three-part from ( $a_1-b-a_2$ ) is derived from two-part form ( $a_1-a_2$ ).<sup>63</sup> To paraphrase: Although a contrasting *b* section (*Mittelstück*) creates tension, it is not a true end in itself (a new *Gegensatz*). Actually, a two-part form is hidden behind a three-part form; therefore, a three-part form risks lapsing into a two-part form if its *b* section is not developed sufficiently. Indeed, the purpose of three-part form is to

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<sup>63</sup> For Schenker’s later approach to three-part form, see Kalib (1973, 1:243–50).

balance an underlying binary division ( $a_1$ – $a_2$ ) with a contrasting element ( $b$ ). Example 3.2.10(a) describes three-part form as an independent (*selbständig*) entity. The table at the bottom of the page, labeled *Tonartendisposition*, outlines the disposition of keys. Reading the table from left to right, the  $a_1$  section can either remain in the primary key (*bleibt in der Tonart*) or modulate (*moduliert*) to a subordinate key. If  $a_1$  remains in the primary key throughout, there are two options for the  $b$  section: (1) it can remain in the primary key (*bleibt in der Ton[art]*), so that no key change exists anywhere in the three-part form; or (2) it can modulate (*moduliert*) to a subordinate key (this is more typical). If  $a_1$  does modulate (*moduliert*), a return-modulation (*rückmoduliert*) is expected within the  $b$  section. Presumably  $a_2$  is set in the primary key whether  $a_1$  modulates or not.

Fugues best exemplify how Schenker's conception of three-part form relies primarily on a subordinate key rather than a contrasting theme to establish an independent  $b$  section. A diagram of the fugue from Brahms's *Variations and Fugue on a Theme by Handel*, op. 24, is shown in example 3.2.11. The braces under this diagram divide the fugue into three sections, which are listed in *Der Tonwille* ([1923–24] 2005b, 98) as mm. 1–25, mm. 25–49, and mm. 49–109.<sup>64</sup> These sections are differentiated by changes in mode rather than changes in key *per se*:  $a_1$  is set in the key of B-flat major,  $b$  is set in the key of B-flat minor, and  $a_2$  returns to B-flat major.<sup>65</sup>

Example 3.2.10(b) describes three-part forms that are dependent (*unselbständig*) entities comprising a section of a full-movement form. Specifically, the key areas listed on the right side of the page describe the tonal layouts for three-part forms occurring within rondos. For example,

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<sup>64</sup> Schenker traces the fugue's subject entries in example 3.2.11. These entries are labeled 1 through 16, and they are coordinated on a vertical grid corresponding to voices 1 through 4.

<sup>65</sup> For another example of where a fugue's three-part form is coordinated with its disposition of keys (*Stufen als Tonarten*), see Schenker's analysis of J. S. Bach's Fugue in C Minor (Schenker [1926] 1996, 2:32–33, fig. 1; see example 4.3.3, p. 332).

EXAMPLE 3.2.10 Notes on three-part forms

(A) Notes on independent three-part forms in Schenker's handwriting with transcription (OC 83/275; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

1) Selbstst.  
 2) *Saloppf.*

Schubert: Walzer  
 Chopin: Noct. fis<sup>dur</sup>  
 Brahms: op. 117 G<sup>dur</sup>  
 Schumann: "Warum" Vogel als Prophet.  
 Schubert: Walzer  
 Chopin: Noct. fis<sup>dur</sup>, F<sup>III</sup>  
 Brahms: op. 117 Es<sup>dur</sup>

Trägt also das ganze Stück bei guter Ausbildung der einzelnen Theile, besonders des mittleren.

Weiderholung der einzelnen Theile:  
 +. Wiederholung der einzelnen Theile:  
 Meistens:  
 a<sub>1</sub>] - b - a<sub>2</sub>  
 meistens: a<sub>1</sub> - [b - a<sub>2</sub>]

Brahms: Requiem II. Ges<sup>dur</sup> Theil  
 Brahms: Requiem II. Ges<sup>dur</sup> Theil  
 (E<sup>III</sup>)<sup>IV</sup> (E<sup>III</sup>)  
 z.B. Chopin Noct. fis<sup>dur</sup> z.B. Chopin, Noct. F<sup>III</sup>  
 Beeth. Son. F<sup>III</sup> Finale, As<sup>dur</sup> Theil

Spaltung:  
 ... Spaltung:

Wiederhol. u. Spaltung combinirt.  
 ... Wiederhol. u. Spaltung combinirt.  
 " und Variat. " mit Variat. "

Haydn, 54. 2. Adagio  
 Haydn, 54. 2. Adagio

..... formale Kürzung des a<sub>2</sub>, unumt.  
 bei Geltung des a<sub>1</sub>  
 Eventuelle Kürzung des a<sub>2</sub>, namentlich bei Geltung des a<sub>1</sub>:  
 Brahms, op. 13, Begräbnisges.

Tonartendisposition.  
 bleibt in der Tonart  
 a<sub>1</sub> bleibt in d. Tonart  
 " modulirt  
 modulirt  
 bleibt in der Ton. modulirt  
 b  
 a<sub>2</sub>  
 a<sub>2</sub>  
 a<sub>2</sub>  
 rückmodulirt

EXAMPLE 3.2.10 CONTINUED

(B) Notes on dependent three-part forms in Schenker's handwriting with transcription (OC 83/281; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

2) Unselbstst. im Dienste [illegible: großen?] Formen.

2) unselbstst. im Dienste großer Formen.

1. ob. / ob.

Abhängigkeit Tonartenfolge. [illegible: die arrangierten?] Tonarten [illegible]

z.B. im Dienste der Rondoform z.B. im Dienste der Rondoform

Mozart, Rondo A <sup>moll</sup>	an-2 ed	a <sup>m</sup> -e <sup>m</sup>	oder f d <sup>h</sup> c <sup>h</sup>	A <sup>m</sup> -A <sup>m</sup>	oder	F <sup>dur</sup> -C <sup>dur</sup>
Mozart / Rondo c <sup>mo</sup>	a <sup>m</sup> d <sup>h</sup> a <sup>m</sup>	c <sup>d</sup> -u. Rückm	Rückm.	C <sup>d</sup> -u. Rückm.		Rückmod.
Beeth: Son. Es <sup>dur</sup> , Rondo 2. Gegensatz:	c <sup>m</sup> e <sup>m</sup> d <sup>h</sup>	C <sup>m</sup> -Es <sup>dur</sup>	f <sup>h</sup> -f <sup>h</sup>	A <sup>m</sup> -A <sup>m</sup>		F <sup>d</sup> -F <sup>dur</sup>
		Rückmod.				
		C <sup>m</sup> -C <sup>m</sup>				

EXAMPLE 3.2.11 Three-part form: Brahms's *Variations and Fugue on a Theme by Handel*, op. 24, fugue (OC 83/57; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Brahms  
Handel Var.  
Fuge: [Voices 1-4]

[Subject entries]

1. [a1: B-flat major, mm. 1-25]

2. [b: B-flat minor, mm. 25-49]

3. [a2: B-flat major, mm. 49-109]

consider the first large section ( $A_1$ ) of Mozart's Rondo in A Minor, K. 511:  $a_1$  begins and ends in the primary key;  $b$  begins in C major and returns to the primary key through a *Rückmodulation*; and  $a_2$  begins and ends in A minor. The second large section ( $B_2$ ) is similarly divided into three parts:  $a_1$  begins in the key of F major and modulates to C major;  $b$  leads back to F major through a *Rückmodulation*; and  $a_2$  begins and ends in F major (see table 3.2.1, p. 233).

Returning to example 3.2.10(a): After listing pieces in three parts at the top of the page—including Schubert waltzes, two Chopin nocturnes, a Brahms intermezzo, and two Schumann character pieces—Schenker explores ways that three-part form interacts with various repetition schemes. Any section might be repeated (*Weiderholung der einzelnen Theile*). This is illustrated by a diagram of the G-flat-major section (*Ges-dur Theil*) from the second movement of Brahms's *Requiem*, op. 45. Example 3.2.12(a) shows a detailed analysis of the entire movement, in which three-part form operates on at least two levels. At the large level, two sections—one before the transition (*Überleitung*) and one after—are each divided into three parts. At the small level, each of these parts in the first large section is further divided into a three-part form.<sup>66</sup>

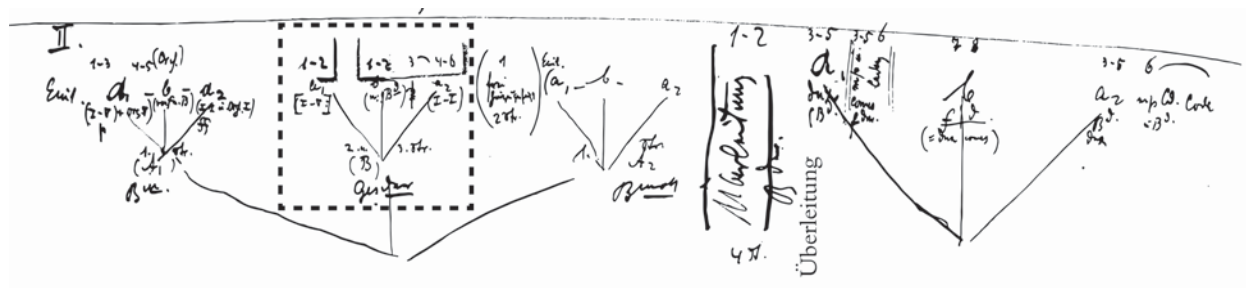
The *Ges-dur Theil* is highlighted by the dashed rectangle in example 3.2.12(a) and enlarged in example 3.2.12(b). In the latter example, the text (*2. u. 3. Stro[ophe]*) is coordinated with the form ( $a_1-b-a_1$ ) and the key structure (G-flat major–B-flat major–G-flat major). The Arabic numerals listed at the top correspond to lines of text. The brackets indicate that the  $a_1$  section sets lines 1 and 2 (designated strophe 2), while the  $b$  and  $a_2$  sections together set lines 1 through 6 (designated strophe 3). It is unclear why Schenker lists two strophes here, since all six lines belong to the same verse (James 5:7). Example 3.2.12(c) reconstructs this analysis in context.

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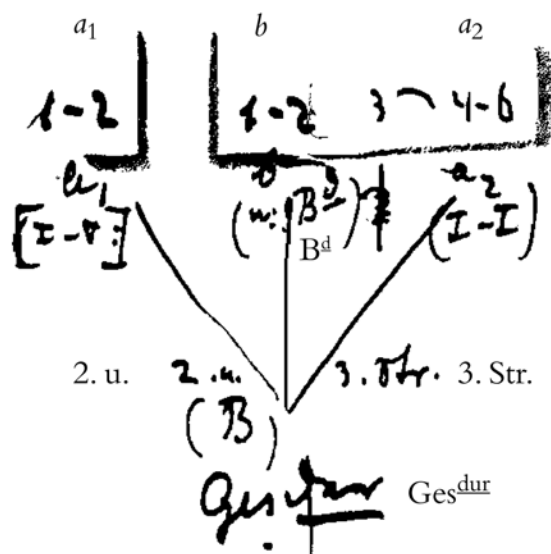
<sup>66</sup> In the middle of example 3.2.10(a), toward the left side of the page, Schenker calls this process *Spaltung*. Here each of the branches in a three-part form divides into a two-part form.

**EXAMPLE 3.2.12** Brahms, “Denn alles Fleisch, es ist wie Gras,” *Ein deutsches Requiem*, op. 45/ii

**(A)** Schenker's diagram of the entire movement (OC 83/324; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



**(B)** Dependent three-part form: G-flat-major section enlarged (OC 83/324; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



## EXAMPLE 3.2.12 CONTINUED

(C) Brahms, "Denn alles Fleisch, es ist wie Gras," *Ein deutsches Requiem*, op. 45/ii, mm. 74–123

**a<sub>1</sub>** I:HC?

74 *p espr.* **Etwas bewegter**

Sopranos  
So seid nun ge - dul - dig, lie - ben Brü - der, bis auf die Zu - kunft des Herrn.

Altos  
So seid nun ge - dul - dig, lie - ben Brü - der, bis auf die Zu - kunft, die Zu - kunft des

Tenors  
So seid nun ge - dul - dig, lie - ben Brü - der, bis auf die Zu - kunft, die Zu - kunft des

Basses  
So seid nun ge - dul - dig bis auf die Zu - kunft des

Piano reduction  
*p dolce* **Etwas bewegter**

G-flat major: I V

**a<sub>1</sub> bis** I:HC?

83

bis auf die Zu - kunft des Herrn.

Herrn, bis auf die Zu - kunft, die Zu - kunft des Herrn.

Herrn, bis auf die Zu - kunft, die Zu - kunft des Herrn.

Herrn, bis auf die Zu - kunft des Herrn.

*dolce espress.*

I V

**b**

91 *p dolce* **cresc.**

Sie - he ein Ack - er - mann war - - - - - tet auf die köst - li - che

*p dolce* **cresc.**

Sie - he ein Ack - er - mann war - - - - - tet auf die köst - li - che Frucht, die köst - li - che

*p dolce* **cresc.**

Sie - he war war - - - - - tet auf die köst - li - che Frucht, die köst - li - che

*p dolce* **cresc.**

Sie - he ein Ack - er - mann war - - - - - tet auf die köst - - li - che

*p dolce* **cresc.**

Toward B-flat major:

## EXAMPLE 3.2.12 CONTINUED

III; PAC?      [Rückleitung]

99

*p dolce*

Frucht der Er - - - de und ist ge - dul - - -

*p dolce*

Frucht, auf die köst - li - che Frucht der Er - - - de und ist ge -

*p dolce*

Frucht, auf die köst - li - che Frucht der Er - - - de und ist ge -

*p dolce*

Frucht, auf die köst - li - che Frucht der Er - - - de und

B-flat major:      V      I      Toward G-flat major:

*a<sub>2</sub>*

107

*sempre p*

- dig dar - ü - ber, bis er emp - fa - he den Mor - gen - re - - - - - gen

*sempre p*

dul - dig dar - ü - ber, bis er emp - fa - he den Mor - gen - re - - - - - gen

*sempre p*

- dig dar - ü ber, bis er emp - fa - he den Mor - gen - re - - - - - gen

*sempre p*

ist ge - dul - dig dar - ü - - - ber, bis er emp - fa - - - he den

G-flat major: I

I; PAC?      [Anhang]

115

*pp*

und A - bend - re - - - - - gen. So seid ge - dul - - - dig.

*pp*

und A - bend - re - - - - - gen. So seid ge - dul - - - dig.

*pp*

und A - bend - re - - - - - gen. So seid ge - dul - - - dig.

*pp*

A - bend - re - - - - - gen. So seid ge - dul - - - dig.

V      I



The  $a_1$  section (mm. 75–82) begins on a tonic *Stufe* and ends on a dominant *Stufe* in the (local) primary key of G-flat major. The orchestra repeats these eight measures ( $a_1$  *bis*) beginning in m. 83 (the choir joins in m. 87). The  $b$  section (mm. 91–106) is set in the (local) subordinate key of B-flat major, although this key is not confirmed by a cadence until m. 103. The  $a_2$  section returns in m. 107, again in the (local) primary key.

Returning again to example 3.2.10(a) (see p. 208): Schenker indicates that a repeated section can also be combined with variation (*Wiederhol. mit. Variat. kombiniert*), as in the *Adagio* from Haydn's String Quartet in C Major, op. 54, no. 2. An analysis of this movement that coordinates individual key areas with parts of the form is shown in example 3.2.13(a). In example 3.2.13(b), the first violin introduces the melody in mm. 1–8 ( $a_1$ ). The second violin repeats this melody in mm. 9–16 ( $a_1$  *bis*), while the first violin plays an elaborate obbligato line.<sup>67</sup> As illustrated by example 3.2.13(a), an abrupt modulation to the subordinate key (E-flat major) defines the  $b$  section (mm. 17–24; not shown). This section eventually returns to the dominant of the primary key (C minor), preparing the return of  $a_2$  in m. 25 (not shown).

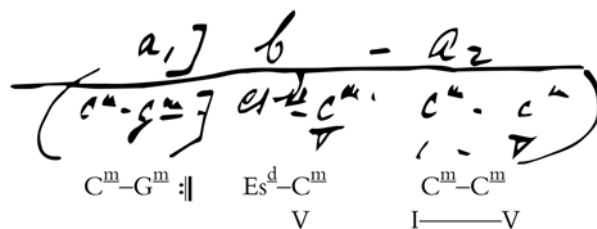
The first part of a three-part form can be repeated, although the  $b$ – $a_2$  portion might be repeated instead, as shown in example 3.2.10(a), near the middle of the page. Here the A-flat-major section (*As-dur Theil*) from Beethoven's Piano Sonata in F Minor, op. 2, no. 1/iv, is provided as an example. In the second issue of *Der Tonwille* (Schenker [1921–23] 2004, 80), this movement is considered a sonata form (not shown). Its development section (the *As-dur Theil*) is analyzed as a three-part song form that remains in the key of A-flat major throughout:  $a_1$  (m. 59ff.),  $b$  (m. 79ff.), and  $a_2$  (m. 87ff.). The diagram  $a_1$ –||:  $b$ – $a_2$  :|| in example 3.2.10(a) does not

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<sup>67</sup> In example 3.2.13(a),  $a_1$  and  $a_1$  *bis* modulate to the key of G minor, although both sections end with a G-major harmony. Schenker likely hears this as a Picardy third (B♯).

**EXAMPLE 3.2.13** Three-part form: Haydn's String Quartet in C Major, op. 54, no. 2/ii

(A) Schenker's diagram of the entire movement (OC 83/276; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



(B) Sections  $a_1$  and  $a_1$  bis (with variation)

$a_1$  V:PAC?

Adagio

C minor: I G minor: I II V I<sup>†</sup>

$a_1$  bis (with variation)

C minor: I

13 V:PAC?

G minor: I II V I<sup>†</sup>

include the fact that this development's  $a_1$  section (mm. 59–68) is also repeated (mm. 69–78), although this repeat is written out, with the melody embellished and transposed up an octave. Indeed, the most common scheme where three-part form interacts with repeats involves the repetition of both  $a_1$  and  $b-a_2$  (as in rounded binary form, to use modern terminology). Strangely, Schenker never shows these repetitions in combination ( $\parallel: a_1 :||: b-a_2 :||$ ).

There is, however, one analysis of a composition using this form in file 83 of the Oster Collection: the theme from Mozart's Piano Sonata in A Major, K. 331/i (see example 3.2.14). Schenker outlines the overall form at the top of the page:  $a_1$  (mm. 1–4 = 5–8),  $b$  (mm. 9–12), and  $a_2$  (mm. 13–18). Below the musical notation, near the bottom of the page (labeled *Plan*), arrows indicate that the first half of  $a_1$  (mm. 1–4) corresponds to the beginning of  $a_2$  (mm. 13–16); the second half of  $a_1$  (mm. 5–8) corresponds to the end of  $a_2$  (mm. 17–18). The three staves near the middle of the page illustrate the motivic basis for these correspondences. The first staff shows two melodic motives highlighted by brackets in mm. 1–4. Each motive comprises a descending third ( $E_5-D_5-C\#_5$ , followed by  $D_5-C\#_5-B_4$ ) shadowed by another stepwise motive a third below ( $C\#_5-B_4-A_4$  and  $B_4-A_4-G\#_4$  respectively). In mm. 5–8, brackets highlight other similar motives.

The melodic motives in mm. 1–8 are also coordinated with *Stufen*, as shown by the Roman numerals above the staff. In mm. 1–2, the first motive ( $E_5-D_5-C\#_5$ ) is coordinated with a tonic *Stufe* (the  $D_5$  is passing); in mm. 3–4, the second motive ( $D_5-C\#_5-B_4$ ) is coordinated with a dominant *Stufe* (the  $C\#_5$  is passing). As a result, this four-measure *Vordersatz* ends with a half cadence. Although Schenker does not mention this cadence specifically, perhaps the double bar line ( $\parallel$ ) notated at the end of m. 4 represents this local division. Meanwhile, the two motives comprising mm. 5–8 correspond to tonic and dominant *Stufen*. This *Nachsatz* concludes with a

**EXAMPLE 3.2.14** Three-part form: W. A. Mozart's Piano Sonata in A Major, K. 331/i, theme (OC 83/152; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Moz. Var. A<sup>d</sup>. Sonate.

*Moz. Var. A<sup>d</sup>. Sonate.*

a Thema a, 1-4 = 5-8 a<sub>1</sub> 1-4 = 5-8  
 b 9-12  
 a<sub>2</sub> 13-18

"a<sub>1</sub> - Non Parallelismus! Parallelismus!  
 "a<sub>2</sub> - Repetition!

[mm. 1-4] [mm. 5-8]

[mm. 9-12]

[mm. 13-16] [mm. 17-18]

Plan: *Plan: a, 1-4 a, 5-8 ja andere Formel  
 ja a<sub>2</sub> 13-16, 17-18 aber nicht untypisch  
 b. meist Formel in a<sub>1</sub>*

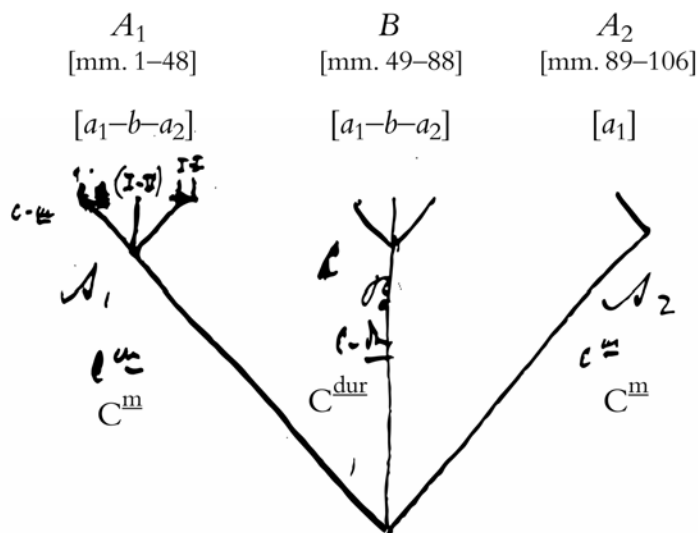
perfect authentic cadence (also not mentioned specifically by Schenker, but again, notice the double bar line at the end of m. 8).

Schenker's analysis of the *b* section, shown on the second stave in example 3.2.14, highlights a motive comprising a stepwise fourth from E<sub>5</sub> up to A<sub>5</sub>; a second motive retraces this

path from  $A_5$  down to  $E_5$ . The  $B_4$ , which comes from an inner-voice motion ( $C\#_5-D_5-C\#_5-B_4$ ) occurring below the conceptual upper voice ( $E_5$ ), perhaps marks the arrival of a half cadence at the end of m. 12 (this division is indicated yet again by a double bar line). The  $a_2$  section (mm. 13–18) begins identically to the  $a_1$  section, but in contrast to the likely half cadence in m. 4 and perfect authentic cadence in m. 8, the cadence expected in m. 16 is evaded (see the exclamation point written above the staff in example 3.2.14). At this point, the melody is redirected upward, while inverting the original descending-third motive into an ascending sixth ( $C\#_5$  up to  $A_5$ ) and surpassing the ascending fourth that began the  $b$  section ( $E_5-F\#_5-G\#_5-A_5$ ). Mozart's theme comes to a close in m. 18.

There are two ways in which the eight-measure  $a_1$  section might be transformed into the six-measure  $a_2$  section. The first way, to which Schenker apparently does not subscribe, hears  $a_2$  as parallel to one of the four-measure units in  $a_1$  (either mm. 1–4 or mm. 5–8), which is extended through a two-measure appendix that “corrects” the evaded cadence in m. 16. On the other hand, Schenker's arrow notation at the bottom of example 3.2.14 indicates that he hears mm. 5–8 corresponding to mm. 17–18, meaning that  $a_2$  has been shortened by two measures. At the bottom of example 3.2.10(a) (p. 208), Schenker describes this shortening of  $a_2$  relative to  $a_1$  (*eventuelle Kürzung des  $a_2$ , namentlich bei Geltung des  $a_1$* ), listing Brahms's *Begräbnisgesang*, op. 13, as a more extreme example. A diagram of this piece is shown in example 3.2.15. The three large sections of the form ( $A_1-B-A_2$ ) correspond to a three-part tonal plan (C minor–C major–C minor). The  $A_1$  and  $B$  sections comprise lower-level three-part forms ( $a_1-b-a_2$ ), but the  $A_2$  section truncates its expected  $b$  and  $a_2$  sections, leaving only  $a_1$ .

**EXAMPLE 3.2.15** Three-part form with truncated  $A_2$  section: Brahms's *Begräbnisgesang*, op. 13 (OC 83/323; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



§ 3.2.4. Four-part Form: Brahms's *Schicksalslied*, op. 54, and *Ein deutsches Requiem*, op. 45/i; Beethoven's Piano Sonata in F Minor, op. 2, no. 1/ii; Other Works

Early notes on four-part form ( $a_1-b_1-a_2-b_2$ ) appear in example 3.2.1(b) (see p. 184).<sup>68</sup> To paraphrase: The contrasting  $b$  section becomes an end in itself (*Gegensatz als Selbstzweck*); this is evidenced by its repetition (*Beweis dessen Wiederholung*).<sup>69</sup> Four-part form's  $b$  sections also gain independent status because they are set in a subordinate key. The  $b_1$  section is set in a new key throughout (*durchaus neue Tonart*); the  $b_2$  section can occur in this new key as well, although  $b_2$  usually occurs in the primary key (*also neue Tonart, die aber dieselbe sein kann, wie bei  $b_1$* ). At the end of example 3.2.1(b), Schenker emphasizes that four-part form has only one contrasting element

<sup>68</sup> For Schenker's later approach to four-part form, see Kalib (1973, 1:277-78).

<sup>69</sup> In Schenker's early generative theory, motives arise through repetition (§ 2.2); so too at higher levels of form, where entire sections gain their independent status through repetition. The  $b$  section in a three-part form is provisional rather than an actual end in itself (*als wirklicher Selbstzweck*) because three-part-form's  $b$  section is not repeated.

(*Diese Form weist nur einen Gegensatz auf*), perhaps ruling out the four-part schema  $a_1-b_1-a_2-c_1$  due to the risk of it being confused with five-part form ( $a_1-b_1-a_2-c_1-a_3$ ), which has two contrasting elements (*Gegensätze*).

Example 3.2.16 provides additional notes on four-part form. At the top of the page, a tree diagram shows how two successive binary divisions produce this form. Below this, two types of connection (*Verbindung*) between  $a_1$  and  $b_1$  are defined. The first type involves a modulation, as in the opening *Adagio* from Brahms's *Schicksalslied*, op. 54, and the *Adagio* from Beethoven's Piano Sonata in F Minor, op. 2, no. 1. The second type of connection (or lack thereof) between  $a_1$  and  $b_1$  involves an immediate change of key (*ex abrupto*), which occurs in the first movement of Brahms's *Requiem*, op. 45. The note at the bottom of example 3.2.16 addresses the connection between  $a_2$  and  $b_2$  in particular. To paraphrase Schenker's comments in this example: When a modulation between  $a_1$  and  $b_1$  is present, the same path must be completed between  $a_2$  and  $b_2$ ; however, if  $b_2$  is set in the primary key, then there is no reason for a modulation *per se*. The last sentence in example 3.2.16 suggests that the  $b_2$  section might sometimes begin in the key of the subdominant; this ascends by step to the dominant (likely a dominant *Stufe* in the primary key), presumably leading to the return of the tonic in the primary key.

A detailed analysis of Brahms's *Schicksalslied* appears in example 3.2.17. The work is divided into three large sections: (1) the opening *Adagio* comprises a four-part form preceded by an introduction (*Einleitung*); (2) the *Allegro* comprises a three-part form; and (3) the concluding *Adagio* functions as a coda based on material from the introduction. At the bottom of the diagram, Schenker aligns this three-part form with the text's three stanzas (*Strophen*), while at the top of the diagram, the lines (*Zeilen*) of text for each stanza are coordinated with more local sections.

**EXAMPLE 3.2.16** Notes on four-part forms with transcription (OC 83/282; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

4 H. form

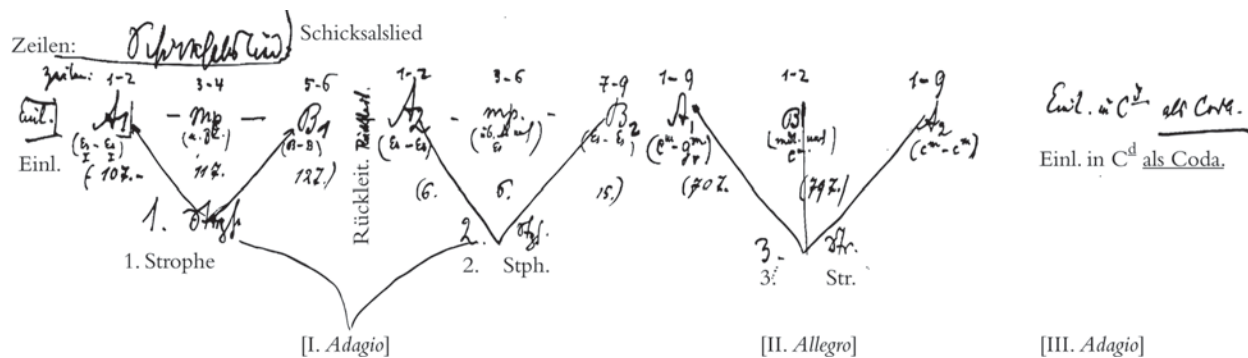
[illegible: modul.?] Verbindung zwischen  $a_1$  u.  $b_1$ :  
 .. unvoll. Verbindung zwischen  $a_2$  u.  $b_1$  : Brahms, Schicksalslied Strophe 1 u. 2  
 Brahms: Schicksalslied Strophe 1 u. 2  
 Beeth. Son. F<sup>m</sup> Adagio  
 :  
 .. Keine Verb., ex abrupto  $b_1$   
 Keine Verb., ex abrupto  $b_1$   
 Brahms: Requiem I. Brahms: Requiem I.

... Im Falle unvoll. Verbindung muß derselbe Weg auch  
 zwischen  $a_2$  u.  $b_2$  zurückgelegt werden, andern-  
 falls neue Mod. zwischen diesen beiden Punkten, die ja  
 nicht wiederum in die Ganztonart verbleiben sollen,  
 eigentlich keine Veranlassung vorliegt.  
 Gewöhnlich wird in die Tonart der Unterdom. <sup>zurückgeführt</sup> gegangen,  
 um von da aus, mit unvoll. Lenkung, zur Ganztonart  
 aufzusteigen.

Im Falle [illegible: modul.?] Verbindung muß derselbe Weg auch  
 zwischen  $a_2$  u.  $b_2$  zurückgelegt werden. Trotzdem  
 zu neuer Mod. zwischen diesen [illegible] Tonarten, die ja  
 [illegible] nunmehr in der Ganztonart verbleiben sollen,  
 eigentlich keine Veranlassung vorliegt.  
 Gewöhnlich wird in die Tonart der Unterdom. [illegible] gegangen,  
 um von da aus, mit [illegible: modul.?] Lenkung, zur Ganztonart  
 aufzusteigen.



**EXAMPLE 3.2.17** Form diagram: Brahms's *Schicksalslied*, op. 54 (OC 83/324; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



Focusing on the first *Adagio* in particular,  $A_1$ , which begins and ends in E-flat major, sets lines 1–2 of the first strophe. The subordinate key (B-flat major) is established through a *Modulationspartie* (lines 3–4);  $B_1$  is also set in this key (lines 5–6). A brief retransition (*Rückleitung*) leads to  $A_2$ , which sets lines 1–2 of the second stanza and brings with it a return to the primary key. The *Modulationspartie* (lines 3–6) remains in E-flat major (creating a terminological contradiction of sorts), as does  $B_2$  (lines 7–9).

A second example of a four-part form that includes a modulation between  $a_1$  and  $b_1$  is shown in example 3.2.18.<sup>70</sup> This sketch of the *Adagio* from Beethoven's first piano sonata appears in the second issue of *Der Tonwille* (Schenker [1921–23] 2004, 78). The  $A_1$  section (mm. 1–16) is divided into three parts ( $a_1$ – $b$ – $a_2$ ). Measures 1–8 ( $a_1$ ) comprise a *Vordersatz* (mm. 1–4) and a *Nachsatz* (mm. 5–8). Here the brackets above the staff—the same notation that Schenker used to

<sup>70</sup> The form designations in this example are difficult to find. The designations for large sections of the form are located between the treble-clef staves (e.g., see  $A_1$  in m. 1), as are the designations for the *Modulation* (abbreviated *Md.* in m. 16) and *Rückmodulation* (abbreviated *Rmd.* in m. 31). Designations for the small sections of the form are located above the bass-clef staff (e.g., see  $a_1$  in m. 1).

EXAMPLE 3.2.18 Four-part form: Beethoven's Piano Sonata in F Minor, op. 2, no. 1/ii (Schenker [1921–23] 1990, 2:suppl., 3)

The image displays a musical score for the second movement of Beethoven's Piano Sonata in F Minor, op. 2, no. 1. The score is written in F minor, 3/4 time, and is marked 'Adagio'. It features a four-part form with Schenkerian analysis. The score is divided into measures 5, 10, 15, 20, 25, 30, 35, 40, 45, 50, 55, and 60. The analysis includes various annotations such as 'A1', 'A2', 'B1', 'B2', 'Ml.', 'C. dur.', 'F. dur.', and 'Rmd.'. The Schenkerian analysis is represented by Roman numerals (I, IV, V, etc.) and lines indicating the underlying structure of the music. The score is presented in a two-staff format, with the upper staff in treble clef and the lower staff in bass clef.

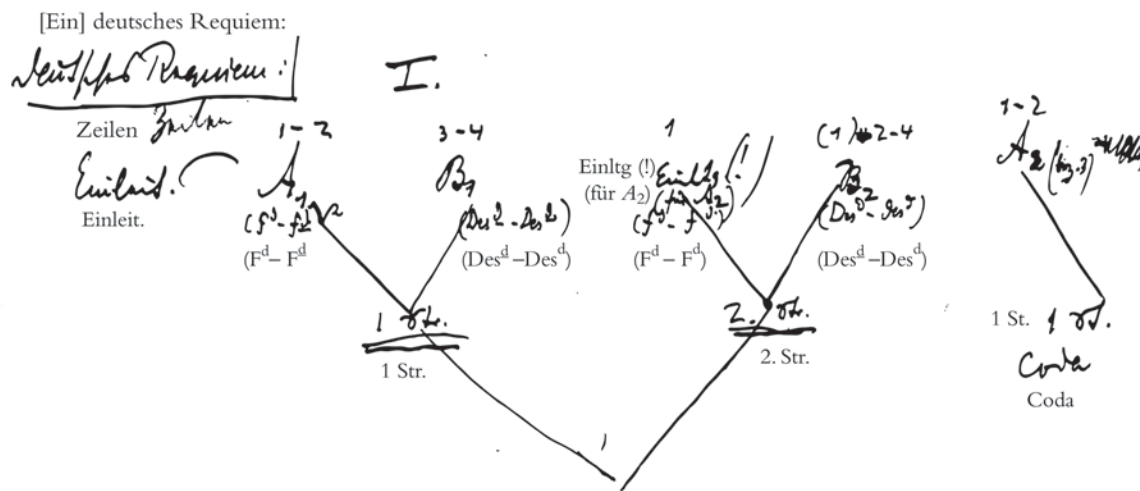
indicate motives earlier in his career—highlight the *Urlinie*. The first bracket is open-ended, showing a stepwise descent from  $A_4$  to  $G_4$  ( $\hat{3}-\hat{2}$ ) over the course of the *Vordersatz*; the second bracket is closed, indicating a complete stepwise descent from  $A_4$  to  $F_4$  ( $\hat{3}-\hat{2}-\hat{1}$ ) over the course of the *Nachsatz*.<sup>71</sup> The *b* section (mm. 9–12) composes out a dominant *Stufe* that supports  $B\flat_4$  ( $\hat{4}$ ) as a neighbor note to  $A_4$  ( $\hat{3}$ ). At four measures in length, the *a*<sub>2</sub> section is truncated, ending in m. 16. The *Modulation* (mm. 16–21) reinterprets the tonic *Stufe* in F major as a subdominant *Stufe* in the subordinate key (C major). Because these measures are set in the subordinate key (see the *Stufengang* IV–II–V), Schenker groups them with the *B*<sub>1</sub> section (*Modulation und B*<sub>1</sub>). The *B*<sub>1</sub> section begins with a descending stepwise third in m. 22ff. ( $E_4-D_4-C_4$ ), parallel to the beginning of *A*<sub>1</sub>. A return-modulation (*Rückmodulation*) in m. 30 leads to *A*<sub>2</sub> and a return of the primary key (here the tonic *Stufe* in C major is reinterpreted as a dominant *Stufe* F major). In m. 48, *B*<sub>2</sub> begins on a dominant *Stufe* (the surface harmony is in  $\frac{4}{2}$ -position, with  $B\flat$  in the bass), although this off-tonic beginning is understood within the context of a tonic *Stufe* at a deeper level.

A detailed form diagram of the first movement from Brahms's *Requiem* is shown in example 3.2.19. As noted in example 3.2.16, there is an immediate shift (*ex abrupto*) between *A*<sub>1</sub> (in F major) and *B*<sub>1</sub> (in D-flat major). The *A*<sub>2</sub> and *B*<sub>2</sub> sections follow a similar tonal plan, although thematically *A*<sub>2</sub> is written over by material from the introduction (*Einleitung für A*<sub>2</sub>). This analysis is remarkable because the form proper does not end in the primary key; instead, the *B*<sub>2</sub> section ends in the subordinate key (D-flat major). Tonal closure is not achieved until the coda, which Schenker labeled *A*<sub>3</sub> and then crossed out. This section does not function as part of a hypothetical five-part form (*A*<sub>1</sub>–*B*<sub>1</sub>–*A*<sub>2</sub>–*B*<sub>2</sub>–*A*<sub>3</sub>) because, as asserted in example 3.2.1(d) (see p. 186), five-part

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<sup>71</sup> This notation prefigures interruption (*Unterbrechung*), which asserts an inner-form discontinuity that coincides with an outer-form discontinuity (Schenker [1935] 1979, 36–40). For more on this topic, see P. Smith (1994), Samarotto (2005), Marvin (2011), and Arndt (2012).

**EXAMPLE 3.2.19** Form diagram: Brahms's "Selig sind, die da Lied tragen," *Ein deutsches Requiem*, op. 45/i (OC 83/324; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



form has two contrasting elements (*Die Form zweier Gegensätze*; B and C), whereas four-part form has only one (B). In other words, outer-form considerations have influenced Schenker's approach here to the extent that tonal closure occurs outside the form proper.

This is the best argument for why we should not equate Schenker's early conception of four-part form with sonata form without development, since we fully expect the  $B_2$  section to be set in the primary key in the latter. Clearly this tonal return is not a requirement. This is radically different from Schenker's approach in *Der freie Satz*, where the conclusion of a form proper does coincide with tonal closure (including the descent of the *Urlinie* to  $\hat{1}$  over the tonic *Stufe*). Schenker ([1935] 1979, 141) does not include even one example of four-part form in *Der freie Satz* where the  $B_2$  section is set in a subordinate key because this would seemingly violate tonal coherence. To summarize: His early conception of four-part form is a larger type, of which sonata form without development is one token, whereas his late conception of four-part form is virtually synonymous with sonata form without development (Kalib 1973, 1:277).

§ 3.2.5. Five-part Form (Rondo Form): Beethoven's Piano Sonata in A Major, op. 2, no. 2/iv; W. A. Mozart's Rondo in A Minor, K. 511; Other Works

Schenker describes five-part form in example 3.2.1(d) (see p. 186).<sup>72</sup> This form incorporates two contrasting elements (*Die Form zweier Gegensätze*), although example 3.2.20 suggests that a five-part form with only one *Gegensatz* ( $a_1-b_1-a_2-b_2-a_3$ ) may also be possible, as in Chopin's Polonaise in A-flat Major, op. 53. The second bullet point in example 3.2.1(d) states that five-part form is created through the combination of two three-part forms with an elision, such that  $a_1-b_1-a_2$  combined with  $a_2-c_1-a_3$  results in  $a_1-b_1-a_2-c_1-a_3$  (*Es ist, als wären 2 [three-part] Formen mit einander verbunden*); therefore, the *a* sections always occur in the same key (*Daher  $a_1$ ,  $a_2$ , u.  $a_3$  immer dieselbe Tonart aufweisen*). The third bullet point states that a seven-part form ( $a_1-b_1-a_2-c_1-a_3-b_2-a_4$ ) can be reduced to an alternative five-part form by omitting  $a_3$  and combining  $c_1$  and  $b_2$  to create a new group (*durch Weglassung des  $a_3$  u. Zusammenziehung von  $c_1$  u.  $b_2$  zu neuer Gruppe*).

Additional notes appear in example 3.2.21 below, where the construction of individual sections (*Ausbau der einzelnen Glieder*) is described either as (three-part) song form (*Liedform*) or group formation (*Gruppenbau*).<sup>73</sup> Below this, a note states that the  $A_2$  section in a five-part form is usually shortened (*in der Regel  $A_2$  gekürzt*); for example, this occurs in Mozart's Rondo in A Minor, K. 511; Beethoven's Piano Sonata in E-flat Major, op. 7/iv; and Mozart's Piano Quartet in G Minor, K. 478/iii. Mozart's piano quartet is also an example of a "seven-part form" reduced to a five-part form through the elision (or suppression) of  $A_3$  and the combination of  $C_1$  and  $B_2$  (*Zusammenziehung von  $C$  u.  $B_2$  durch Ellision von  $A_3$* )—an example that Schenker would refer to

<sup>72</sup> For Schenker's later approach to five-part form, see Kalib (1973, 1:278).

<sup>73</sup> A note near the bottom of example 3.2.21 states that in instrumental chamber music group formation is usually preferred instead of song forms (*Kammermusik mit mehreren Instrum. Bevorzugt Gruppenbau statt Liedformen*). At the very bottom of the page, a note states that a modulation may occur between individual sections (*Die Mod[u]l[ation] zwischen den einz[elnen] Gl[ieder]*). See § 2.5 for more on group formation (*Gruppenbau, Gruppenbildung*).

**EXAMPLE 3.2.20** An alternative five-part form ( $a_1-b_1-a_2-b_2-a_3$ ) with transcription (OC 83/136; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Form  $a_1 - b_1 - a_2 - b_2 - a_2$  [recte:  $a_3$ ]

form  $a_1 - b_1 - a_2 - b_2 - a_2$

2 Rondo Rondo al far niente ! As-E-As-Es-As

Chopin Pol. As<sup>dur</sup>: Chopin Pol. 7, As dur: As-E-b-Es-A

Brahms, Brahms, Horn Trio 1.ter Satz:

Horn Trio erster Satz: Es-G<sup>m</sup>-Es<sup>d</sup>-b<sup>m</sup>  $\frac{Es^d}{Es}$

vgl.  $a_1 - a_2 - a_3$  Es - G<sup>m</sup> - Es<sup>d</sup> - B<sup>m</sup> Ges<sup>d</sup>

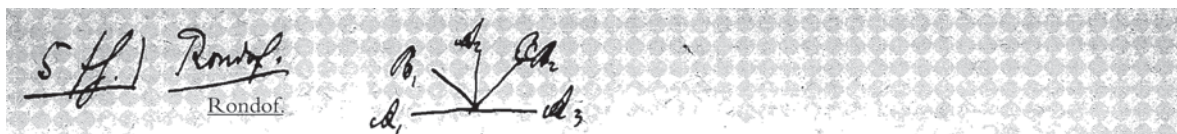
vgl.  $a_1 - a_2 - a_3$   $\frac{Es^d}{Es}$

again in *Der freie Satz* ([1935] 1979, 142), where he cautions that the combined  $C_1$  and  $B_2$  sections should not be confused with a development section in a sonata form.

In example 3.2.21, near the middle of the page, an elaborate diagram of the second movement from Beethoven's Piano Sonata in A Major, op. 2, no. 2, comprises nine parts:  $A_1-B_1-A_2-C_1-A_3-B_2-A_4-C_2-A_5$ . Schenker's analysis in *Der freie Satz* (1935, fig. 155.2), which was suppressed in all later editions, is shown above in example 3.2.22. The nine-part interpretation of the outer form is aligned with important tonal events, although this attempt is not entirely successful.<sup>74</sup>  $A_1$  (mm. 1–8) is aligned with the *Kopftön* ( $\hat{3}$ ), a third-progression that descends from the *Kopftön* ( $F\#_4-E_4-D_4$ ), and the underlying tonic *Stufe*.  $B_1$  (mm. 9–12) is aligned with a neighbor

<sup>74</sup> Readers may wish to consult a score for the following discussion. In the English translation of *Der freie Satz*, Ernst Oster writes, "Schenker interpreted [Beethoven's op. 2, no. 2/ii] as being written in a nine-part rondo form, plus coda (mm. 1, 9, 13, 21 [recte: 20], 32, 40, 44, 50, 68). This interpretation is so obviously misconceived that the editor of the second German edition [i.e., Oswald Jonas] omitted the example; and I did not feel that it should be reinstated. It can be assumed from Schenker's earlier notes on this movement that this analysis might well not have been his final thought about the matter" (Schenker [1935] 1979, 142n18).

**EXAMPLE 3.2.21** Notes on rondo forms with transcription (OC 83/288; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



Ausbau der einzelnen Glieder.

... *Ausbau der einzelnen Glieder.*  
Liedform. Gruppenbau

... *in der Regel A<sub>2</sub> gekürzt:* Moz. Rondo A<sup>m</sup>  
in der Regel A<sub>2</sub> gekürzt: Moz. Rondo a u.  
Beeth. 4 auf dem Es<sup>d</sup> op. 7. Beeth. Rondo aus Son. Es<sup>d</sup> op. 7  
Moz. Klavierquart. G<sup>m</sup>. Moz. Klavierquart. G<sup>m</sup>

Zusammenziehung von C u. B<sub>2</sub> durch Ellision von A<sub>3</sub>

... *Zusammenziehung von C u. B<sub>2</sub> durch Ellision von A<sub>3</sub>*  
Mozart, Klqu. G<sup>m</sup>.  
Mozart, Klqu. G<sup>m</sup>.

A<sub>1</sub>- B<sub>1</sub>- A<sub>2</sub>- C<sub>1</sub>- A<sub>3</sub>- B<sub>2</sub>- A<sub>4</sub> + C<sub>2</sub> + A<sub>5</sub>

... *A<sub>1</sub>- B<sub>1</sub>- A<sub>2</sub>- C<sub>1</sub>- A<sub>3</sub>- B<sub>2</sub>- A<sub>4</sub> + C<sub>2</sub> + A<sub>5</sub>*  
Beeth. Son. A<sup>d</sup> op. 2. Fin.  
Beeth. Son. A<sup>d</sup> op. 2. Fin.

Kammermusik mit mehreren Instrum. bevorzugt  
Gruppenbau statt Liedformen, wegen der Gelegenheit der Contrastierung.

... *Kammermusik mit mehreren Instrum. bevorzugt*  
*Gruppenbau statt Liedformen, wegen der Gelegenheit der Contrastierung.*  
Moz. Klquart. G<sup>m</sup>.  
Moz. Klquart. G<sup>m</sup>.

Die Modl. zwischen den einz. Gl.

... *Die Modl. zwischen den einz. Gl.*

**EXAMPLE 3.2.22** Nine-part form (rondo form): Beethoven's Piano Sonata in A Major, op. 2, no. 2/ii (Schenker 1935, fig. 155.2)

note ( $G\sharp_4$ ) to the *Kopftón* ( $F\sharp_4$ ) supported by a dominant *Stufe*.  $A_2$  (mm. 13–19) is aligned with a return to the tonic *Stufe* and the *Kopftón*—the latter first in its original register (m. 13), and then transferred up an octave (m. 18). The beginning of  $C_1$  (m. 19ff.) is aligned with an auxiliary cadence (IV–V–I) in the key of F-sharp minor that composes out a deeper-level mediant *Stufe* arriving in m. 23.<sup>75</sup> The remaining measures of  $C_1$  lead to a dominant *Stufe* in the primary key that supports a neighbor note ( $G\sharp_4$ ) in m. 31, similar to the end of  $B_1$ .  $A_3$  (mm. 32–39) is typeset too far to the left in the sketch: this section should be aligned with the return of the *Kopftón* and tonic *Stufe*.  $B_2$  (mm. 40–43) coincides with a dominant *Stufe* that supports a neighbor note ( $G\sharp_4$ ) to the *Kopftón*.  $A_4$  (mm. 44–49) and  $A_5$  (mm. 68–80) are both aligned with a return of the *Kopftón* in a higher register over the tonic *Stufe*.  $D_1$  (mm. 50–67;  $C_2$  in example 3.2.21), which lies between  $A_4$  and  $A_5$ , is characterized by a change in mode from major to minor and the corresponding alteration of the *Kopftón* from  $F\sharp$  to  $F\flat$ .

<sup>75</sup> Schenker's graph in example 3.2.22 indicates that  $C_1$  begins in m. 21, but this is likely a mistake. The third-progression ( $F\sharp_5$ – $E_5$ – $D_5$ ) that unfolds over the course of  $A_2$  reaches its conclusion in m. 19; the  $C_2$  section presumably begins in the following measure (m. 20).



Example 3.2.23 illustrates Schenker's early conformational approach to rondo form if taken to its extreme. Along the left side of this document, seven different rondos are listed, three of which are also included in the section on rondo form in *Der freie Satz*: Mozart's K. 511, Beethoven's op. 2, no. 2/iv, and Mozart's K. 478/iii (Schenker [1935] 1979, 141–45). Along the top of this document, large sections of the form are indicated ( $A_1$ ,  $B_1$ ,  $A_2$ , etc.), each separated by an optional transition (*Übergang*). This grid allows for the easy comparison of each movement's form, including a comparison of the form within each of the large sections.

Table 3.2.1 highlights Schenker's early analysis of Mozart's K. 511; example 3.2.24 shows a later analysis from *Der freie Satz* ([1935] 1979, fig. 155.4).<sup>76</sup> The outer form is the same in both cases. In table 3.2.1,  $A_1$  (mm. 1–30) is divided into three parts:  $a_1$  (mm. 1–8) is a *Periode* comprising a *Vordersatz* (I–V) and a *Nachsatz* (I); the  $b$  section (mm. 9–21) is set in the key of C major; and  $a_2$  (mm. 23–30) is an embellished version of  $a_1$ . A brief retransition on the dominant of A minor occurs in m. 22, which Schenker groups with  $a_2$ , since this measure is heard in the primary key. In example 3.2.24, Schenker aligns  $A_1$  with the establishment of the *Kopftön* ( $\hat{5}$ ) and the tonic *Stufe*. While lower-level forms are shown below the sketch ( $a_1$ – $b$ – $a_2$ ), their component parts are not aligned with tonal events at this level of the deep middleground. Returning to table 3.2.1: The  $B_1$  section (mm. 31–64), set in the closely related key of F major, is also divided into a three-part form:  $a_1$  (mm. 31–41) modulates from F major to C major, while  $b$  (mm. 42–53) effects a retransition (*Rückleitung*) from C minor back to F major, preparing for the return of  $a_2$  (mm. 54–64). The first *Übergang* (mm. 65–80) modulates back to the home key (*von F-d[ur] nach A-m[oll]*). In example 3.2.24, Schenker aligns  $B_1$  with a submediant *Stufe* and an upper neighbor ( $\hat{6}$ ) to the *Kopftön* ( $\hat{5}$ ).

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<sup>76</sup> Readers may wish to consult a score for the following discussion.

**EXAMPLE 3.2.23** Schenker's conformational approach to five-part rondo forms with transcription (OC 83/294; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

	A <sub>1</sub>	Übergang <sub>1</sub>	B <sub>1</sub>	Übergang <sub>2</sub>	A <sub>2</sub>	Übergang <sub>3</sub>
W.A. Mozart, Rondo in A Minor, K. 511	<i>Mozart</i> A <sub>1</sub> a <sub>1</sub> b a <sub>2</sub> I-V-I (C <sup>2</sup> -a <sup>2</sup> -v I)	<i>Übergang<sub>1</sub></i> A <sub>1</sub>	<i>B<sub>1</sub></i> f <sup>ma</sup> a <sub>1</sub> b a <sub>2</sub> (f-C <sup>2</sup> ) (c.g-f) (f-f)	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>
Beethoven, Piano Sonata in A Major, op. 2, no. 2/iv	<i>Beeth. Sonate in A</i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>B<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>
Beethoven, Piano Sonata in E-flat Major, op. 7/iv	<i>Beeth. Sonate in E<sup>b</sup></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>B<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>
Beethoven, Piano Concerto in E-flat Major, op. 73/iii	<i>Beeth. Kl. Konz. in E<sup>b</sup></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>B<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>
W.A. Mozart, Piano Quartet in G Minor, K. 478/iii	<i>Mozart Kl. Quart. in G<sup>m</sup></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>B<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>
Brahms, Clarinet Sonata in F Minor, op. 120, no. 1/iv	<i>Brahms, Klarinetten-Sonate in F<sup>m</sup></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>B<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>
R. Schumann, Piano Quartet in E-flat Major, op. 47/iv	<i>Schumann Kl. Quart. in E<sup>b</sup></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>B<sub>1</sub></i> a <sub>1</sub> b a <sub>2</sub> I-V-I	<i>Übergang<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> mf. and a <sub>1</sub>	<i>A<sub>2</sub></i> a <sub>1</sub> b a <sub>2</sub> v I	<i>Übergang<sub>3</sub></i> A <sub>1</sub>



EXAMPLE 3.2.23 CONTINUED

C<sub>1</sub>    Übergang<sub>4</sub>    A<sub>3</sub>    Übergang<sub>5</sub>    B<sub>2</sub>    Übergang<sub>6</sub>    [illegible: A<sub>4</sub>?]    A<sub>5</sub>    Coda

C <sub>1</sub>	Übergang <sub>4</sub>	A <sub>3</sub>	Übergang <sub>5</sub>	B <sub>2</sub>	Übergang <sub>6</sub>	[illegible: A <sub>4</sub> ?]	A <sub>5</sub>	Coda

**TABLE 3.2.1** Five-part form (rondo form): W. A. Mozart's Rondo in A Minor, K. 511 (OC 83/294; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

F o r m	M e a s u r	S c h e m a
A <sub>1</sub>	[1-30]	
B <sub>1</sub>	[31-64]	
Übergang <sub>1</sub>	[65-80]	
A <sub>2</sub>	[80-88]	
C <sub>1</sub>	[89-112]	
Übergang <sub>2</sub>	[112-28]	
A <sub>3</sub>	[129-60]	
Coda	[160-82]	

**EXAMPLE 3.2.24** Five-part form (rondo form): W. A. Mozart's Rondo in A Minor, K. 511 (Schenker 1935, fig. 155.4)

The image shows a musical score for W. A. Mozart's Rondo in A Minor, K. 511, with Schenker's analysis. The score is in bass clef and features a melodic line with various ornaments and a complex harmonic structure. Above the staff, Schenker's analysis includes Roman numerals (I, VI, V, I<sup>#3</sup>, I<sup>#3</sup>, V, I<sup>#3</sup>) and figured bass notation (A<sub>1</sub>, B<sub>1</sub>, A<sub>2</sub>, C, A<sub>3</sub>). Below the staff, the analysis is further detailed with branch notation (a<sub>1</sub>-b-a<sub>2</sub>) and specific terms like 'gekürzt' and 'Coda'. The score is divided into sections labeled A<sub>5</sub>, A<sub>4</sub>, A<sub>3</sub>, A<sub>2</sub>, and A<sub>1</sub>, with a final Coda section.

In table 3.2.1,  $A_2$  (mm. 80–88) is abbreviated as only one branch ( $a_1$ ) of the three-part form in  $A_1$ . Likewise, in example 3.2.24, Schenker indicates that this part of the form is cut short ( $a_1$ -gekürzt), aligning it with a return to the *Kopftón* ( $\hat{5}$ ) and the tonic *Stufe*. In this sketch, the *C* section (mm. 89–112) comprises a three-part form set in the contrasting key (or mode) of A major. Schenker's earlier analysis in table 3.2.1 shows this in detail:  $a_1$  (mm. 89–97) modulates to the key of E major;  $b$  (*Rückleitung*) modulates back to the key of A major over the course of mm. 98–103; and  $a_2$  (mm. 104–12) begins like  $a_1$  but remains in the primary key. The second *Übergang* effects a change in mode from A major back to the primary key of A minor (*von A-d[ur] nach A-m[oll]*). The last part of the form proper ( $A_3$ , mm. 129–60) is similar to  $A_1$ , although the melody contains more elaborate diminutions. In example 3.2.24, the *Urlinie* descends from  $\hat{5}$  to  $\hat{1}$  over the course of  $A_3$ , bringing tonal closure. A coda (mm. 160–82) restates motives heard throughout the rondo. In Schenker's sketch, this coda is likely typeset in the wrong location (too early), since it appears before the descent of the *Urlinie* is completed.

### § 3.2.6. Conclusion

The sketches in example 3.2.22 (Beethoven, op. 2, no. 2/ii) and example 3.2.24 (Mozart, K. 511) support this dissertation's main thesis: the schematic forms introduced in *Der freie Satz* ([1935] 1979, 128–45) were not derived from divisions (*Glieder*) of the *Urlinie* and the prolongation of *Stufen* at deep levels of the middleground. As a matter of history, Schenker developed a similar taxonomy of full-movement forms perhaps even before the publication of *Harmonielehre* in 1906, predating the idea of the *Urlinie* by ten years or more. Schenker likely considered this a generative approach nonetheless, since the principles of repetition and association, which together create the psychological basis for the lowest level of musical form (the motive), also operate at the highest levels. Despite all of Schenker's polemics during the first two decades of the twentieth century, in which he argued against the nineteenth-century *Formenlehre* tradition, his so-called "Outline of a New Theory of Form" (*Entwurf einer neuen Formenlehre*) was not significantly different from previous approaches (Schenker 1912, vii). Moreover, this traditional approach was at work throughout his entire career, including in *Der freie Satz*, where numerous sketches are rife with designations representing the formal schemas that he had developed more than twenty years earlier (see table 3.1.1, p. 162).<sup>77</sup>

Yet, as we saw in Schenker's changing conception of two- and three-part forms (§ 3.2.2), there was an increasing awareness of the ways in which tonal events might *also* determine form. In his early *Formenlehre*, this was especially true of *Stufen als Tonarten*, or *Stufen* of the monotonicity manifest as key areas (see § 2.5.3). As Schenker's organic theory of tonal coherence developed in the 1920s and early 1930s, he did not reject schematic forms in practice, even if his polemics leave

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<sup>77</sup> Sketches in *Der freie Satz* ([1935] 1979) that incorporate the more traditional formal schemas described in this chapter include figures 30, 35.1, 35.2, 39, 40.1, 42.1, 75, 88(a), 154.4, and 155.1, among many others.

us with this impression. Quite the contrary, he sought to *rehabilitate* these schemas by infusing them with their opposite (Cook 2007, 285): the dynamics of transformational voice leading (Samarotto 2015). He aligned spans of transformational voice leading with pre-existing outer forms in an attempt to accommodate both perspectives, even if this sometimes led to what Oster describes as “obviously misconceived” interpretations.<sup>78</sup> Through interruption (*Unterbrechung*), Schenker even altered his approach to voice leading to accommodate his existing conception of outer form (Samarotto 2005, 9).<sup>79</sup> This idea embodies the original meaning of *Synthese*—the productive interaction and integration of independent musical parameters—and contrasts with Schenker’s later explanation of form, which is often couched in the language of an all-encompassing monism (Lubben 1993, 60n5; Cohn 1992a, 1992b).<sup>80</sup>

### § 3.3. SIX-PART SONATA FORM (CYCLIC FORM)

Schenker’s early *Formenlehre* culminates in six-part sonata form, or what he described as cyclic form (*cyklische Form*) in the first decade of the twentieth century.<sup>81</sup> Cyclic form exhibits three-part construction (*Dreiteiligkeit*) on two levels (see example 3.3.1): (1) the large level with exposition, development, and recapitulation ( $A_1$ – $B$ – $A_2$ ); and (2) the small level at which the

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<sup>78</sup> See note 74 on p. 227.

<sup>79</sup> This is described more fully in chapter 4.

<sup>80</sup> For the origins of *Synthese* within Kant’s philosophy, see Korsyn (1988, 19–43). Other sources addressing this important concept include Cohn (1992a; 1992b) and Lubben (1993). For an extended discussion of Schenker’s late monism and its relationship to his earlier conception of *Synthese*, to which my argument here is indebted, see Cook (2007, 281–96).

<sup>81</sup> For a summary of Schenker’s approach to sonata form after he had developed the idea of the *Urlinie* ca. 1921, see Kalib (1973, 1:251–76). My approach in this section is different because I am concerned primarily with Schenker’s approach to sonata form before this discovery. Also, as mentioned in § 1.3.5, Riemann (1889, 2:126) used the term *cyklische Form*; he used it to describe multi-movement works such as dance suites and sonatas.

**EXAMPLE 3.3.1** Schenker's early conception of six-part sonata form (cyclic form)*A*<sub>1</sub> (*erster Teil*): die drei ersten Gedankengruppen

	<b>a<sub>1</sub></b>		<b>b<sub>1</sub></b>		<b>c<sub>1</sub></b>
(Einleitung)	I. Gedankengruppe	(Modulationspartie)	II. Gedankengruppe		III. Schlußgedanke

*B* (*zweiter Teil*): Durchführung*A*<sub>2</sub> (*dritter Teil*): Reprise or Wiederholung

<b>a<sub>2</sub></b>		<b>b<sub>2</sub></b>		<b>c<sub>2</sub></b>	
I. Gedankengruppe	(Modulationspartie)	II. Gedankengruppe		III. Schlußgedanke	(Coda)

exposition ( $a_1$ – $b_1$ – $c_1$ ) and recapitulation ( $a_2$ – $b_2$ – $c_2$ ) both comprise three themes (*Gedanken*). Despite this apparent recursion, the exposition and recapitulation have three contrasting elements occurring one after the other ( $a$ – $b$ – $c$ ), whereas the overall form ( $A_1$ – $B$ – $A_2$ ) has only one contrasting element ( $B$ ).<sup>82</sup> The development section does not count at the small level. This ensures that the six-part structure continues the arithmetic progression established in example 3.1.1(a) (see p. 158), with the number of parts increasing by one from one schema to the next.<sup>83</sup>

In the “Niedergang” typescript, Schenker ([1905–6] 2005a, 44) describes the exposition, development, and recapitulation as the *drei ersten Gedankengruppen*, *Durchführung*, and *Reprise* (or

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<sup>82</sup> See example 3.2.1(d) (p. 186): In the first bullet point regarding six-part form, Schenker writes, “Die Form zweier Gegensätze, die sogar gleich hintereinander auftreten.” Surprisingly, in *Harmonielehre*, he claims that the three-part form  $a$ – $b$ – $c$  “is simply unthinkable and . . . probably ruled out forever” (Schenker [1906] 1954, 10; 1906, 12; “eine Form, die in der Musik schlechthin undenkbar und für alle Zeiten wohl ausgeschlossen ist”).

<sup>83</sup> Schenker eventually abandoned this six-part conception of sonata form in favor of a three-part conception by the publication of *Der freie Satz* ([1935] 1979, 133–38); see table 3.1.1, p. 162. Perhaps this is due to the principle of the “mysterious number five” (*geheimnisvolle Fünfzahl*), which somehow limits the number of large sections that make up a full-movement form (Schenker 1906, 51, 268; [1935] 1979, 145; see Clark 1999).



*Wiederholung*) respectively (see example 3.3.1); or, similar to Marx, he describes these sections in his monograph on Beethoven's Ninth Symphony (1912, 2) simply as the *erster Teil*, *zweiter Teil*, and *dritter Teil*. Schenker also used a variety of terms to characterize the three parts that make up the exposition and recapitulation, including *Gedanke*, *Gedankengruppe*, *Thema*, and *Themengruppe*.

Contrasting keys are used to distinguish the first and second *Gedankengruppen*, although Schenker's criterion for determining where the second *Gedankengruppe* ends and the *Schlußgedanke* begins is not defined as clearly. Both sections are typically set in the same key; therefore, they might be distinguished based on a change in character (texture, motive, dynamic, and so on). More importantly, Schenker does not rely on cadential articulation to mark the end of the second *Gedankengruppe*, as we might find in late-eighteenth-century approaches to form (Koch [1782–93] 1983) and more recent approaches (Hepokoski and Darcy 2006; Caplin 1998). In fact, as was discussed in § 3.2.2, the relationship between cadential articulation and the demarcation of large sections in Schenker's early *Formenlehre* was ambivalent, which is true of most nineteenth-century *Formenlehren* as well. Finally, while Schenker recognizes the parts in example 3.3.1 shown in parentheses when they are present in individual works—namely, the introduction (*Einleitung*), transition (*Modulationspartie*), and coda—they are not considered essential.<sup>84</sup>

Schenker's descriptions of cyclic form became increasingly detailed over time, from *Ein Beitrag zur Ornamentik* ([1903, rev. 1908] 1976, 27–36) to *Harmonielehre* ([1906] 1954, 245–49) and the related “Niedergang” typescript ([1905–6] 2005a, 43–60) in the first decade of the twentieth century, to the analyses of Beethoven's Ninth Symphony ([1912] 1992) and late piano

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<sup>84</sup> For example, compare example 3.3.1 with Schenker's diagram of six-part form in example 3.1.1(a) (p. 158): the *Modulationspartie* is not included as an essential part of the form in the latter. In other words, in contrast to Lobe (1850–67) and Richter (1852), Schenker's exposition has three parts rather than four (cf. table 1.3.2 on p. 42 and example 3.3.1 above).

sonatas ([1913, 1914, 1915] 2015) in the second decade. The schema in example 3.3.1 is evinced by many of his analyses dating from the 1910s, when he began to use the more traditional term *Sonatenform*. A collection of representative form diagrams published between 1912 and 1921 that model works by Beethoven is shown below in example 3.3.2. In every case, the exposition (*erster Teil*) comprises three *Gedanken* embedded within a larger three-part form.<sup>85</sup> It is ironic that some of Schenker's most conformational analyses would culminate with the first published discussion of the *Urlinie* in the explanatory edition of Beethoven's Piano Sonata in A Major, op. 101 (Schenker [1921] 2015, 4:8–12).<sup>86</sup>

Of course, Schenker dismissed previous theories of sonata form near the end of his career, replacing those approaches with one based on an interrupted *Urlinie* and its elaboration:

Here . . . it is necessary to discard the concepts and terminology of conventional theory. These all involve the “motive” and are therefore most imprecise. It does not matter that so many designations are offered for the prolongation of the primary tone of the fundamental line (“first theme,” “main theme,” “first-theme group,” and such); what matters is that none of these designations answers the essential question, not one explains why the first prolongation takes just this particular course and no other. Conventional theory simply does not know how to read diminutions; it assumes erroneous entities, splitting up those actually present and creating new ones where none exist.<sup>87</sup> (Schenker [1935] 1979, 133)

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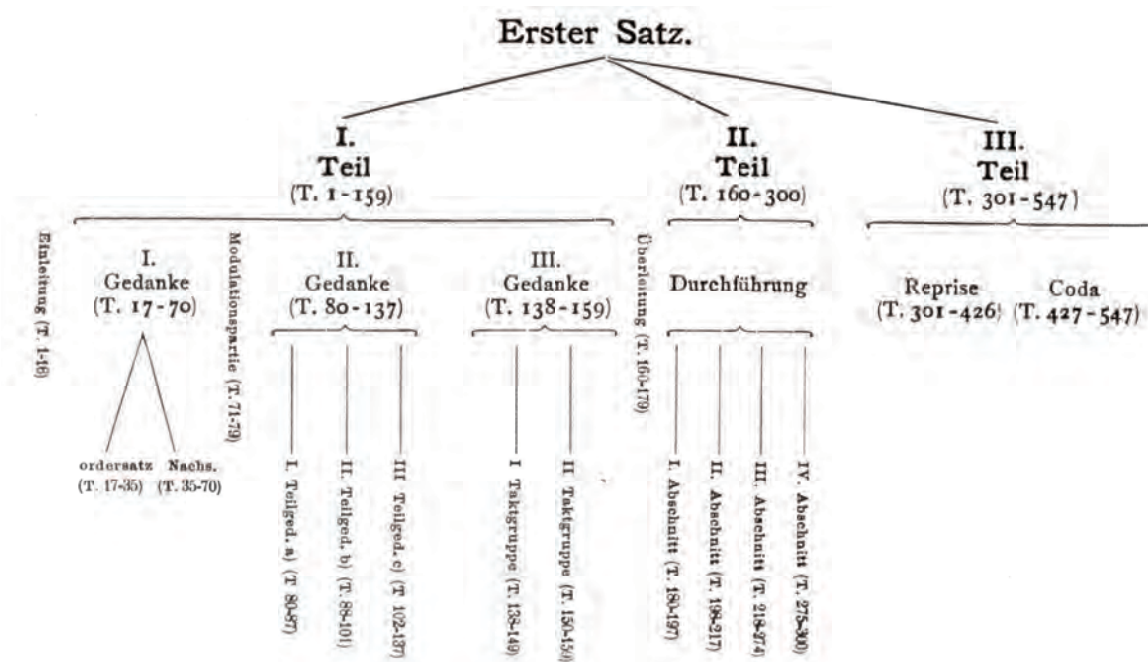
<sup>85</sup> See example 1.3.20 (p. 46) for another diagram similar to those found in example 3.3.2.

<sup>86</sup> See Pastille (1990b, 74–79) for the history of the *Urlinie* in Schenker's published works. For more on the important role that Beethoven's music in particular might have played in the development of Schenker's ideas, including the idea of the *Urlinie*, see Burnham (1995, 89–102). And see Korsyn (1983, 11–30) for an analysis of the first movement from Beethoven's sonata op. 101 inspired in part by Schenker's own (1921).

<sup>87</sup> “Wie . . . ist auch hier zunächst nötig, die Begriffe und Bezeichnungen der üblichen Theorien abzulehnen: hängen sie doch alle mit dem ‚Motiv‘ zusammen und sind deshalb völlig unbestimmt. Nicht daran also liegt es, daß z.B. für die Auskomponierung des Urlinie-Kopftones so viele Bezeichnungen geboten werden wie: erster Gedanke, Hauptgedanke, Hauptthema, Hauptsatz, Satzgruppe usw., sondern daran, daß diese Bezeichnungen die Wahrheit nicht treffen, daß nicht eine erklärt, weshalb denn die erste Auskomponierung nur solche Wege geht, keine anderen. Das kommt aber daher, daß diese Theorie die Diminution nicht zu lesen versteht, falsche Einheiten hineinliest, vorhandene zerschneidet und neue behauptet” (Schenker 1935, 215–16).

**EXAMPLE 3.3.2** Schenker's analyses of select sonata forms by Beethoven

(A) Beethoven, Symphony no. 9 in D Minor, op. 125/i (Schenker 1912, 2)



(B) Beethoven, Piano Sonata in A-flat Major, op. 110/i (Schenker 1914, 31)

I. Gedankengruppe:											
(zwei Teilgedanken)	<table style="display: inline-table; vertical-align: middle;"> <tr> <td style="font-size: 2em; padding-right: 5px;">{</td> <td style="padding-right: 5px;">a)</td> <td style="padding-right: 5px;">T.</td> <td style="padding-right: 5px;">1—</td> <td style="padding-right: 5px;">4</td> </tr> <tr> <td></td> <td>b)</td> <td>T.</td> <td>5—</td> <td>11</td> </tr> </table>	{	a)	T.	1—	4		b)	T.	5—	11
{	a)	T.	1—	4							
	b)	T.	5—	11							
Modulation:	T. 12—19										
II. Gedankengruppe:											
(zwei Teilgedanken)	<table style="display: inline-table; vertical-align: middle;"> <tr> <td style="font-size: 2em; padding-right: 5px;">{</td> <td style="padding-right: 5px;">a)</td> <td style="padding-right: 5px;">T.</td> <td style="padding-right: 5px;">20—</td> <td style="padding-right: 5px;">28</td> </tr> <tr> <td></td> <td>b)</td> <td>T.</td> <td>29—</td> <td>33</td> </tr> </table>	{	a)	T.	20—	28		b)	T.	29—	33
{	a)	T.	20—	28							
	b)	T.	29—	33							
III. (Schluß-)Gedanke:	T. 34—39										
Durchführung:	T. 40—55										
Reprise:	T. 56—104										
Coda:	T. 105—116										

## EXAMPLE 3.3.2 CONTINUED

(C) Beethoven, Piano Sonata in C Minor, op. 111/i (Schenker 1916, 32)

Einleitung	T. 1— 18
1. Gedanke:	T. 19— 35
Modulation:	T. 35— 49
2. Gedanke:	T. 50— 57
3. (Schluß-)Gedanke:	T. 58— 69
Überltg. z. Dchfg.:	T. 69— 71
Durchführung:	T. 72— 91
Reprise:	T. 92—158

(D) Beethoven, Piano Sonata in A Major, op. 101/i (Schenker 1921, 27)

1. Gedanke:	
Vordersatz }	T. 1— 4
Nachsatz }	
Modulation }	T. 5— 25
2. Gedanke:	
3. (Schluß-)Gedanke:	T. 25— 34
Durchführung:	T. 35— 54
Reprise:	T. 55—102



But beginning in the late 1910s and continuing well into the 1920s, the *Urlinie* coexisted with a more traditional conception of sonata form in Schenker's work, particularly in the analysis of Beethoven's Fifth Symphony, from the first issue of *Der Tonwille* ([1921–23] 2004, 25–33), and in the essay “Vom organischen der Sonatenform,” from *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996, 23–30). As late as 1930, Schenker even analyzed the first movement of Beethoven's Third Symphony according to what he begrudgingly called “the customary theory of sonata form.”<sup>88</sup> In example 3.3.3 above, the labels for each section are abbreviated between the staves (they have also been added in full above the sketch). The exposition comprises a first and second group connected by a *Modulationspartie* (a closing group is absent). The development (*Durchführung*) is subdivided into five parts labeled *a* through *e*. The recapitulation (*Wiederholung*) is followed by a lengthy coda. This interpretation of the form is likely what Schenker would have also heard fifteen years earlier, before the idea of the *Urlinie* was developed.

In the context of Schenker's later work, correspondences between the levels of voice leading (inner form) and the disposition of themes (outer form) are implied by example 3.3.3, if not stated directly in its accompanying prose. For instance, the beginning of the first theme corresponds to the establishment of the *Kopftón*  $\hat{3}$  ( $G_5$ ) supported by a tonic *Stufe*. The beginning of the second theme corresponds to the arrival of  $\hat{2}$  ( $F_5$ ) supported by a dominant *Stufe*, after which the first branch of the *Urlinie* is interrupted at  $\hat{2}$ . The *Kopftón* returns to  $\hat{3}$  ( $G_5$ ) to begin the second branch of the *Urlinie* at the onset of the recapitulation, although first the development section prolongs  $\hat{4}$  ( $A\flat_5$ ), which functions as a neighbor note to the *Kopftón* composed-out through a seventh-progression descending to  $B\flat_4$  (a motion into an inner voice). (This transforms

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<sup>88</sup> “nach der üblichen Lehre der Sonatenform” (Schenker [1930] 1997, 12–13, fig. 3).

the B-flat *Stufe* from a local tonic to a dominant in the primary key.) Before such correspondences were uncovered, what was Schenker's understanding of sonata form *on its own terms*?

The most thorough discussion of sonata form before the 1920s appears in the "Niedergang" typescript ([1905–6] 2005a, 43–60). Schenker describes how cyclic form (or sonata form) is integral to both his early music aesthetics and his understanding of music history. These views, introduced in § 1.2, are summarized as follows: First, there was the productivity of the masters; composers such as Haydn, Mozart, and Beethoven all wrote in a variety of forms and genres. Next, the art of composition began to decline: composers after Beethoven did not match the same level of productivity as the earlier masters. This was the result of two related trends: (1) inferior compositional technique, defined primarily as a composer's inability to develop a motivic chain in an organic, improvisational manner; and (2) the reification of form as a musical domain separate from content.<sup>89</sup> Schenker ([1905–6] 2005a, 69) believed that composers in the second half of the nineteenth century fundamentally misunderstood the organic nature of sonata form in particular, mistaking the exposition for "a potpourri comprising three melodies that seem to have been locked up in cages."<sup>90</sup> To compensate for their inferior technique, composers relied on extramusical principles to organize their work. This resulted in music based on programs, such as Berlioz's *Symphonie fantastique*, or music based on words and narrative, as in Wagner's music dramas. But Schenker held absolute music in highest regard, with sonata form its paragon. Music's

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<sup>89</sup> See Schenker ([1903, rev. 1908] 1976, 27–36) and Koslovsky (2009, 80–94).

<sup>90</sup> "Vielmehr ist die Langweile Folge gerade des Misverständnisses in Bezug auf das, was in Wirklichkeit ein zyklisches Werk doch zu sein hat. Das Werk ist eben kein organisches Gebilde geworden, sondern nur ein Potpourri von drei Melodien, die wie in Käfigen eingesperrt scheinen, und da es auch sonst, wegen allzugroßer Regelmäßigkeit und Philiströsität keinerlei Kunstwirkungen höherer Natur, wie sie die Technik der Meister beschert hat, so ist es klar, jene Irrationalität gar nicht entstehen kann, die ein wirkliches Kunstwerk erst anziehend macht" (Schenker [1905–6] 2005a, 164).

increasing reliance on language and narrative in the nineteenth century was considered regressive—a conclusion partly aligned with Hanslick’s influential formalist aesthetics.<sup>91</sup>

Schenker developed a theory of sonata form in the first two decades of the twentieth century to support this larger historical narrative. If he was to do battle with the likes of Berlioz, Liszt, and Wagner—holding them responsible for the decline of European musical culture—then he needed a working theory of absolute music (which is to say, he needed a working theory of sonata form). This theory and the values that it embodies—including the development of motives in an improvisatory manner and the foregoing of any predetermined formal schema or plan—functions like the *Urfonie* in his later work: it provides a basis for criticism.<sup>92</sup> Only compositions that successfully embody these values are deemed masterworks.

§ 3.3.1. The Three-part Exposition (*erster Teil*): W. A. Mozart’s Piano Quartet in G Minor, K. 478/iii, and Piano Trio in G Major, K. 496/ii; Haydn’s String Quartets, op. 33; Beethoven’s Piano Sonata in A Major, op. 101/i; Other Works

Gustav Jenner is widely considered Johannes Brahms’s only composition student. Jenner’s ([1905] 2009, 381–423) reminiscences of Brahms, first published in 1903, conclude with a history of sonata form and a reconsideration of its status at the turn of the twentieth century. Jenner claims that sonata form developed primarily in instrumental music by J. S. Bach, Haydn, Mozart, and Beethoven—followed by a precipitous decline due to Wagner’s negative influence (413–21). This narrative was common at the turn of the twentieth century; it was not unique to Jenner or to Schenker. Indeed, the “Niedergang” typescript glows with Brahms’s aura.

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<sup>91</sup> See § 1.3.3 and Cook (2007, 48–62).

<sup>92</sup> See Pastille (1995) for more on Schenker’s conception of music history and the use of his theory for the purpose of making value judgments.



Schenker became acquainted with Brahms in the spring of 1894 (Schenker 1933; Karnes 2005). Through their conversations, perhaps he had the opportunity to learn some of the same lessons that Jenner had, even if Schenker never studied composition with Brahms formally. For example, consider this well-known anecdote where, early one morning in a Leipzig hotel room, Brahms critiques one of Jenner's compositions:

At the first movement of the trio there was much turning of pages back and forth. With devastating precision Brahms demonstrated to me the lack of logic in the structure; it was as if the whole thing dissolved into its component parts in his hands. With growing horror I saw how loosely and weakly the parts were joined together. I realized that the bond that was supposed to hold them together was less an internal than an external one; it was nothing more than the device of sonata form. The essence of form began to reveal itself to me, and I suddenly realized that it is not enough to have a good idea here and there; that one has not written a sonata when one has merely combined several such ideas through the outward form of the sonata, but that, on the contrary, the sonata form must emerge of necessity from the idea.<sup>93</sup> (Jenner [1905] 2009, 385)

External form versus internal logic: Schenker likewise claimed that sonata form was never a mere schema to the master composers. And from an analytical standpoint, Schenker writes, “it is much more profitable to speak about the differences in form among individual three-part cyclic works, rather than referring continually to their most decisive feature, three-part construction, which degrades the form to a schematic plan” (Schenker [1905–6] 2005a, 45).<sup>94</sup> This is particularly true

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<sup>93</sup> “Bei dem ersten Satz des Trios wurde viel hin- und hergeblättert. Mit vernichtender Schärfe wies Brahms mir das Unlogische des Aufbaues nach; es war, als wenn alles unter seinen Händen zerbröckelte und das Ganze in seine einzelnen Teile auseinanderfiel. Mit wachsendem Schrecken sah ich, wie schwach und lose diese zusammenhingen; ich erkannte, dass das Band, das sie zusammenhalten sollte, weniger ein innerliches als ein äusserliches war: es war nichts weiter, als das Schema der Sonatenform. Das Wesen der Form begann sich mir zu enthüllen, und ich begriff mit einem Male, dass es nicht genügend sei, hier und da einen guten Einfall zu haben; dass man nicht eine Sonate geschrieben hat, wenn man einige solcher Einfälle äusserlich durch die Form der Sonate zusammenhält, sondern dass umgekehrt die Sonatenform mit Notwendigkeit aus dem Gedanken hervorgehen muss” (Jenner 1905, 6).

<sup>94</sup> “Ebenso < · > ist es viel nützlicher[,] von den Formunterschieden der einzelnen dreiteiligen cyklischen Werke als immer wieder von der Dreiteiligkeit als von ihrem

of the exposition: although the diagram in example 3.1.1(a) (see p. 158) emphasizes three-part construction, Schenker was more interested in manifold ways that individual compositions realize this schema. In fact, he developed four types of exposition through the study of Haydn's string quartets, Mozart's chamber music for piano and strings, and Beethoven's late piano sonatas.

The placement of the modulation within the exposition, from the primary key to the subordinate key, largely determines which type is at hand. In the "Niedergang" typescript, Schenker explains how this opposition of keys (and their associated themes) is integral to sonata form's dramatic trajectory, for

the significance even of a key can only be made sufficiently perceptible to the ear by the contrast of another, just as one does not want to remain with a single theme; rather a development leading from one theme to other, new themes should take place. So the fact that a development takes place—but at its best only by means of a resplendent evolution of key—is made plausible to the ear. In addition, the return to the principal key, from which one had started, attains its rightful sound only if in the meantime one had lingered elsewhere, namely, in a different key.<sup>95</sup> (Schenker [1905–6] 2005a, 46)

This suggests that a new key and a new theme both contribute to the exposition's sense of development, but Schenker continues:

From the above account of three-part form [in the exposition], one may be inclined to derive what appears to be a self-evident postulate: that the themes of the second and third groups would have to be entirely new. Nevertheless, the masters did not always hold firmly to such a principle, for often enough we encounter themes from the first group in the second or third. Such a continuity of

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entscheidendsten Kriterium zu sprechen und dadurch[?] die Form < · > zu einem Schema zu degradieren" (Schenker [1905–6] 2005a, 144).

<sup>95</sup> "Auch die Bedeutung einer Tonalität kann nämlich nur durch den Kontrast wieder einer andern dem Ohre genügend begrifflich gemacht werden, wie hier eben nicht bei einem einzelnen Gedanken allein zu verbleiben, sondern wie gesagt eine Entwicklung von einem Gedanken aus zu noch anderen neuen Gedanken stattzufinden. So wird die Tatsache, dass eine Entwicklung stattfindet, doch nur am besten durch das Mittel einer glanzartigen[?] tonartlichen Evolution dem Ohre plausibel gemacht. Ausserdem hat die Rückkehr zur Haupttonart, von der man ausgegangen ist, erst dann ihre volle[?] Wirkung, wenn man inzwischen sich eben anderswo, d.h. in einer anderen Tonart aufgehalten hat" (Schenker [1905–6] 2005a, 145).

motivic material might mislead us into rejecting three-part construction in this particular case. That, however, would be a mistake. For without doubt a change of key has taken place, and this alone provides sufficient grounds for themes that stand upon the foundation of the new key—for despite any similarity to the principal theme, they may still exhibit sufficient differences—to be regarded as entirely independent themes. . . . This applies especially to the closing theme, which, even more often than the second group, is connected thematically to the first and nevertheless, merely on the grounds of the space allotted to it, must indeed be regarded as a third theme.

The criterion of tonality is, in fact, decisive also when the parts of the form flow into one another in such a way that a differentiation between them is simply impossible.<sup>96</sup> (Schenker [1905–6] 2005a, 49)

Using key changes to determine form rather than contrasting themes *per se* represents a significant departure from the approach of most nineteenth-century theorists. Furthermore, this all-important opposition of keys usually comes to the fore in an exposition within the *Modulationspartie*. Schenker even advises, “when judging the worth of a composition, always start by looking at the modulation section and only then, secondarily, to see whether the composer understands group construction” (48).<sup>97</sup> Perhaps this view betrays Brahms’s influence as well.<sup>98</sup>

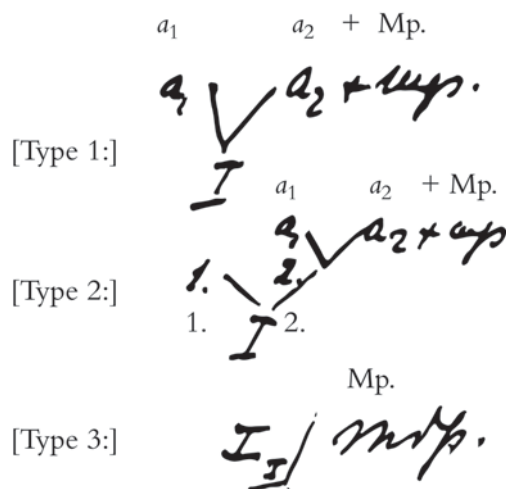
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<sup>96</sup> “Aus obiger Darstellung der dreiteiligen Form könnte man vielleicht geneigt sein, als ein selbstverständliches Postulat zu folgern, dass die Gedanken der zweiten wie dritten Gruppe durchaus neu zu sein hätten. Indessen halten die Meister an einem solchen Prinzip nicht immer fest, denn oft genug treffen wir in der zweiten und dritten Gruppe Gedanken auch der ersten wieder an. Eine solche Kontinuität des motivischen Stoffes könnte freilich dazu verleiten, die Dreiteiligkeit im gegebenen Fall auszuschliessen. Das wäre jedoch eine irrtümliche Auffassung. Denn ohne Zweifel hat eine Entwicklung der Tonart stattgefunden, und schon damit allein ist die genügende Ursache dafür gegeben, auch von den auf dem Boden der neuen Tonart stehenden Gedanken—immerhin dürften dieselben bei aller Aehnlichkeit mit dem Hauptgedanken doch auch genug Verschiedenheiten aufweisen—als von durchaus selbständigen Gedanken zu sprechen. . . . Besonders gilt das vom Schlussgedanken, der noch häufiger als die zweite Gruppe an die erste t[h]ematisch anknüpft und dennoch, kraft des Platzes allein, für einen dritten Gedanken gehalten werden muss. [/] Das Kriterium der Tonart hat namentlich auch dann zu entscheiden, wenn das Ineinanderfließen der Formteile ein derartiges ist, daß eine Differenzierung schlechthin unmöglich ist” (Schenker [1905–6] 2005a, 148).

<sup>97</sup> “immer vor allem die Modulationspartie anzusehen. Und erst in zweiter Linie zu sehen, ob der Autor auf Gruppenbildung sich versteht” (Schenker [1905–6] 2005a, 147).

<sup>98</sup> For more on Brahms’s late approach to sonata form in general and the consequences of first themes in particular, see Notley (2007, 72–106). Schachter (1983) analyzes Brahms’s Second

**EXAMPLE 3.3.4** Three ways that the end of the I. *Gedanke* might relate to the beginning of the *Modulationspartie* (OC 83/83; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)



In the “Niedergang” typescript, Schenker outlines four ways that the end of the first group might connect to the beginning of the *Modulationspartie*. The first three match a diagram found in file 83 of the Oster Collection (see example 3.3.4). In what I have labeled type-1, type-2, and type-3 situations, a capital Roman numeral one (I) represents the *erster Gedanke*, or first group. (A fourth situation, discussed below, is mentioned only in the “Niedergang” typescript.) The diagram for a type-1 situation shows that the first theme is divided into a *Vordersatz* ( $a_1$ ) and a *Nachsatz* ( $a_2$ ); the latter is fused with the *Modulationspartie* ( $a_2 + Mp.$ )<sup>99</sup> Schenker describes this situation as follows:

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Symphony, also taking as a point of departure Brahms’s comments regarding first themes and their consequences as reported by Jenner above.

<sup>99</sup> Caplin (1998, 255) defines fusion as the “merging of two formal functions within a single unit.” In Schenker’s explanatory edition of Beethoven’s Piano Sonata in A Major, op. 101, he uses the term *Zusammenziehung*, which John Rothgeb translates as “compression” (Schenker 1921, 27; 2015, 4:22).

The modulation takes its continuation from the consequent phrase of the main theme, whether or not this continuation forms a group. . . . In such cases as these, the consequent phrase by no means loses the character of a consequent as a result of being charged with the modulation. The consequent merely entwines itself with the actual modulation section to form a unity, as it were.<sup>100</sup> (Schenker [1905–6] 2005a, 47)

The first movement of Beethoven’s Piano Sonata in A Major, op. 101, is provided as an example, “where the first theme is very short and the consequent phrase immediately sets to work on the modulation” (47).<sup>101</sup> A diagram of this movement, which was published approximately fifteen years after the “Niedergang” typescript had been written, appears in example 3.3.2(d) (see p. 241). The first theme (I. *Gedanke*) comprises a *Vordersatz* (mm. 1–4) and a *Nachsatz* (m. 5ff.); the latter is fused with the *Modulation*, as the right-facing brace shows. But this analysis is more radical: the end of the *Modulation* is fused with the II. *Gedanke*, creating the effect of one continuous gesture from the first theme through the *Modulationspartie* to the second theme (discussed below).

Returning to example 3.3.4: A type-2 situation occurs when “the modulation proceeds from the consequent phrase of the second theme belonging to the group, a technique that presupposes group construction in the main theme” (47).<sup>102</sup> In this instance, the “main theme” comprises a group that is divided into two parts (labeled 1 and 2); the second part is structured as a type-1 situation. In the “Niedergang” typescript, Schenker writes, “the antecedent phrase of the

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<sup>100</sup> “Die Modulation nimmt ihren Fortgang vom Nachsatz des Hauptgedankens selbst, ob nun dieser eine Gruppe bildet oder nicht. . . . In allen solchen Fällen verliert der Nachsatz schon dadurch allein noch lange nicht den Nachsatzcharacter. Es verwächst nur eben der Nachsatz mit der eigentliche[n] Modulationspartie gleichsam zu einer Einheit zusammen” (Schenker [1905–6] 2005a, 146).

<sup>101</sup> “wo der erste Gedanke sehr kurz ist und schon der Nachsatz sofort sich mit der Modulation befasst” (Schenker [1905–6] 2005a, 146).

<sup>102</sup> “die Modulation läuft vom Nachsatz des zweiten zur Gruppe gehörenden Gedankens aus, welche Technik der Gruppenbildung < · · > voraussetzt” (Schenker [1905–6] 2005a, 146).

second theme is reckoned as part of the first group on account of being in the same key, but the consequent must already be called upon for the modulation section” (47).<sup>103</sup>

Schenker provides the rondo finale from Mozart’s Piano Quartet in G Minor, K. 478, as an example of a type-2 situation (even if this movement is considered a rondo and not a sonata form). Example 3.2.23 (pp. 231–32), Schenker’s comparative analysis of five-part rondos, includes a diagram of the first theme and transition. This diagram is enlarged in example 3.3.5.<sup>104</sup> Here the first group ( $A_1$ ) is divided into two sections (labeled 1 and 2).<sup>105</sup> The first comprises a *Vordersatz* ( $a_1$ ; mm. 1–8) and a *Nachsatz* ( $a_2$ ; mm. 9–16); the second also comprises two parts, as the binary branch shows, but in this case only the first part is labeled ( $a_1$ ; mm. 17–26). I suggest that the second branch be labeled  $a_2$  (mm. 27–43), since this passage is similar to the preceding  $a_1$ . (What looks like “t.” written where  $a_2$  should be likely stands for *tutti*, referring to all three string parts; notes throughout this diagram indicate the instruments playing at any given moment.) Moreover, in the “Niedergang” typescript, Schenker comments that a rest articulates the end of the first theme, which occurs in all four instrumental parts at the end of  $a_2$  in m. 43. The subsequent music is again divided into two parts, as indicated by the third binary branch in the diagram (counting from left to right). Schenker comments, “One could, if one likes, call this a third theme, reckoning from the start of the piece” (47).<sup>106</sup> The  $a_2$  branch of this potential third

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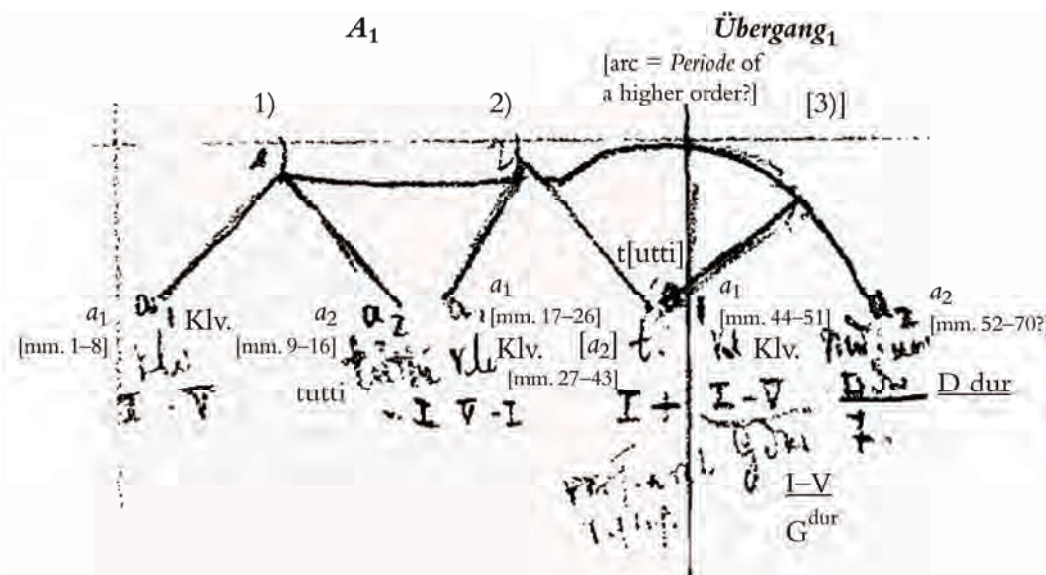
<sup>103</sup> “So dass zwar der Vordersatz des zw[eiten] Ged[anken] vermöge schon der Identität der Tonart noch ganz zur ersten Gruppe gezählt, jedoch der Nachsatz bereits für die Modulationspartie in Anspruch genommen werden muss” (Schenker [1905–6] 2005a, 146).

<sup>104</sup> Readers may wish to consult a score for the following discussion. The measure numbers in example 3.3.5 are my own attempt to align the events shown with what occurs in the opening of Mozart’s rondo.

<sup>105</sup> The indications  $A_1$  and *Übergang*<sub>1</sub> appear at the top of Schenker’s complete diagram in example 3.2.23 (p. 231).

<sup>106</sup> “Wenn man will, so ist es hier der dritte Gedanke, der Reihe nach, während es in den meisten Fällen der zweite ist” (Schenker [1905–6] 2005a, 146).

**EXAMPLE 3.3.5** Form diagram (enlarged): W. A. Mozart's Piano Quartet in G Minor, K. 478/iii, mm. 1–70 (OC 83/294; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations; see ex. 3.2.23, p. 231)



theme (that is, the third theme within the first group) functions as a transition (*Übergang*) that modulates to the key of the dominant (D major). Due to this modulation, Schenker divides the third theme internally: the branch for  $a_1$  (mm. 44–51) begins to the left of the vertical line that separates  $A_1$  from the *Übergang*, while the modulating  $a_2$  (mm. 52–70?) lies entirely to the right of this boundary. In other words, perhaps this line represents a formal boundary that is marked by a key change—although it is difficult to say for sure. A I–V progression in the key of G major is shown to the right of this boundary. Schenker likely drew this grid before he filled it in with analytical notations; perhaps he simply ran out of room to write.

To summarize example 3.3.5: The first group has three components, the last of which comprises a *Vordersatz* and a *Nachsatz*; the latter functions as the transition section. This fits well with the type-2 situation. Yet Schenker may have an additional formal relationship in mind. As the arc connecting the second and third binary branches shows, he may have thought that these

large sections also stand in relationship to each other as *Vorder-* and *Nachsatz*, creating a contrasting *Periode* of a higher order.<sup>107</sup> In this sense, we might understand the opening of Mozart's rondo as an example of a type-2 situation, where the first group is divided into two large sections (1 and [2 + 3]). The second large section comprises two binary branches (2 + 3); the second of these branches (3) is divided into  $a_1$  and  $a_2$ , with the latter functioning as a transition.

Returning to example 3.3.4: A type-3 situation occurs when “the modulation section is introduced after the conclusion of the principal theme without further ado; and thus it lacks the character of a consequent phrase” (47).<sup>108</sup> The example shows a subscript Roman numeral one attached to the designation for the first theme (I<sub>1</sub>), indicating that this close (*Abschluss*) coincides with the tonic *Stufe* in the primary key. Schenker writes, “the start of the main theme and that of the modulation section want to give the impression of being related to one another as antecedent and consequent phrase,” particularly when both start with the same *Hauptmotiv* (47–48).<sup>109</sup>

This occurs in Mozart's Piano Trio in G Major, K. 496/ii, shown in example 3.3.6 (47n27). The I. *Gedanke* begins and ends on a tonic *Stufe* in the primary key (C major). The *Modulationspartie* begins on a submediant *Stufe* (m. 13ff) that is reinterpreted as a supertonic *Stufe* in the subordinate key (G major), leading to a dominant *Stufe* in the new key. The II. *Gedanke* begins in m. 22 on the tonic *Stufe* of the subordinate key. All three sections begin with the same melodic motive. In other words, this is an example of what today is sometimes described as a “monothematic sonata,” whereby the first and second themes are based on the same melodic-

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<sup>107</sup> We saw this in § 2.5.3, in the context of Beethoven's string quartet, op. 95/i, where the *Seitensatz* and *Schlußsatz* together created a higher-order *Periode*.

<sup>108</sup> “Vielfach setzt die Modulationspartie nach < · > Abschluss des Hauptgedankens ohne weiteres frei ein. Also ohne Nachsatzcharakter” (Schenker [1905–6] 2005a, 146).

<sup>109</sup> “Und zwar wollen sich eben scheinbar der Beginn des Hauptgedankens wie der der Modulationspartie wie Vorder- und Nachsatz beantworten” (Schenker [1905–6] 2005a, 147).



EXAMPLE 3.3.6 W. A. Mozart, Piano Trio in G Major, K. 496/ii, exposition

**I. *Gedanke* (mm. 1–12)** **Modulationspartie (mm. 13–21)**

Andante Andante

C major: I G major: II

**II. *Gedanke* (m. 22ff.)**

G major: I

motivic material (although alterations are often made in the second theme).<sup>110</sup> Schenker would surely have rejected this concept because a "theme" is determined by a contrasting key (or *Stufe als Tonart*) and never by surface motives or melodies, whether similar or dissimilar.

The “Niedergang” typescript also describes a fourth way that the end of the first theme might relate to the beginning of the transition, one that is not shown in example 3.3.4. Schenker writes, “The modulation section can also be made up of rhetorical progressions; this procedure rules out a clearly defined two-part construction in the antecedent and consequent

<sup>110</sup> For more on the so-called monothematic sonata, particularly as it relates to Haydn’s oeuvre, see Brown (1975) and Somafi (1995, 270–74). Also see Caplin (1998, 169) and Hepokoski and Darcy (2006, 135–36).

phrases” (48).<sup>111</sup> This “two-part construction” presumably refers to the division of the first theme, as seen in types 1 and 2, where a consequent ( $a_2$ ) is fused with the beginning of the *Modulationspartie*. Schenker (47n29) lists the first movement of Haydn’s Piano Trio in A-flat Major, Hob. XV:14, as one example (not shown), yet it is not entirely clear how this exposition might conform to the description above.<sup>112</sup> As in a type-3 situation, the first theme ends on a tonic *Stufe* in the primary key (m. 24), followed by the *Modulationspartie*, which leads to a pedal point on B $\flat$  in m. 34ff. This dominant pedal prepares for the arrival of the second theme and the subordinate key of E-flat major beginning in m. 41.<sup>113</sup> The *Modulationspartie* is largely based on two-measure melodic fragments, particularly descending scalar figures. Perhaps this is what is meant by “rhetorical progressions” (*rhetorischen Gängen*).<sup>114</sup>

Having described the *Modulationspartie* at length, Schenker ([1905–6] 2005a, 48) continues with a brief description of how this section joins with the beginning of the second theme. He emphasizes the tonal layout, writing, “Often, it is the case that the modulation section finishes on the dominant and the second group begins with the same dominant chord” (48).<sup>115</sup> Presumably this refers to the dominant of the subordinate key. By definition, a *Modulationspartie* must modulate by its end; the possibility that a transition section might end on the dominant of the

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<sup>111</sup> “Es kann aber auch die Modulationspartie aus rhetorischen Gängen bestehen, die eine bestimmte Unterscheidung der Zweiteiligkeit im Vorder- und Nachsatz nicht zulässt” (Schenker [1905–6] 2005a, 147).

<sup>112</sup> Readers may wish to consult a score for the following discussion.

<sup>113</sup> Incidentally, this is another example of a monothematic sonata (to use modern terminology), since the second theme is based on melodic-motivic material similar to that found in the first theme.

<sup>114</sup> Schenker uses Marx’s term *Gang* to refer to the loosening of melodic-motivic ideas in the *Modulationspartie*. In some of his more polemical analyses, Schenker often criticized this concept; for example, see his critique of Marx’s work in the analysis of Beethoven’s Piano Sonata in F Minor, op. 2, no. 1 ([1921–23] 2004, 89–92).

<sup>115</sup> “Oft ist es z.B. so, dass die M[odulations]p[artie] in die Dominante hinausläuft und die zweite Gruppe mit eben der selben Dominante eröffnet” (Schenker [1905–6] 2005a, 147).

primary key is therefore excluded (see my description of Schenker's type-A exposition and example 3.3.7 below, where the *Modulationspartie* is absent altogether). However, "the modulation section may finish on a harmony other than the dominant [of the subordinate key], and still other harmonies may be used to open the second group" (48).<sup>116</sup>

Fewer guidelines are provided regarding the nature of the closing group, for "there are in general no binding regulations" (48).<sup>117</sup> At most we can say that the closing theme is syntactically less important than the first theme, which establishes the primary key, and syntactically less important than the second theme, which establishes the subordinate key. Despite privileging the exposition's tonal layout, Schenker chooses to express the relative importance of its three themes using a rhythmic analogy:

in a higher sense, [the exposition is] comparable to a bar in triple time, where the first element is strong (that is, accentuated), the other two weak (that is, less strongly accented); likewise the strongest emphasis in the three-part construction of a cyclically designed work falls on the first group, whereas the second group and closing theme appear less accentuated. The slighter degree of emphasis is revealed in most cases by the fact that the closing group is customarily kept shorter than the previous sections. It thus takes the form of a kind of narrow outlet, so to speak, for the first and second groups.<sup>118</sup> (Schenker [1905–6] 2005a, 49)

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<sup>116</sup> "auch andere Stufen als die Dominante kann die M[odulations]p[artie] abschliessen[,] und wieder andere Stufen können die zweite Gruppe eröffnen" (Schenker [1905–6] 2005a, 147).

<sup>117</sup> "Auch für den Entwurf des dritten Teiles endlich . . . giebt es im Allgemeinen keine feststehende Vorschrift" (Schenker [1905–6] 2005a, 148).

<sup>118</sup> "Denn diese ist im höheren Sinne einer dreiteiligen Taktart zu vergleichen[,] und wie in dieser das erste Glied stark (d.i. betont), die beiden Letzten aber schwach (d.i. minder betont), sind, ebenso liegt der stärkste Nachdruck im dreiteiligen Bau eines cyklisch entworfenen Satzes auf der ersten Gruppe, wogegen die zweite Gruppe und der Schlussgedanke weniger betont erscheinen. Der geringere Grad von Nachdruck offenbart sich in dem Schlussgedanken meistens nun so, dass er kürzer als die vorhergehenden Teile gehalten zu werden pflegt. Er bildet dann gleichsam eine Art schmalen Abflusses für die erste und zweite Gruppe" (Schenker [1905–6] 2005a, 148).

This is reminiscent of Riemann's (1889, 95) rhythmic conception of three-part form in which a *schwer-leicht-schwer* metrical pattern is mapped onto a three-part schema ( $A-B-A$ ; see § 1.3.5).

Schenker effectively maps a *schwer-leicht-leicht* metrical pattern onto  $a-b-c$ .

The method of classifying expositions in the "Niedergang" typescript was perhaps an early template for what became an even more systematic approach that was never published. Schenker developed the latter, now located in file 83 of the Oster Collection, through the careful study of Haydn's string quartets opp. 20, 33, 42, 50, and 54. Expositions from these works challenge nineteenth-century conceptions of sonata form, particularly the notion that the second theme must contrast with the first. Haydn's expositions often include a second theme that is based on material similar to that found in the first theme (again, a "monothematic sonata"). Haydn's expositions have even caused some modern analysts to doubt whether a second theme (in the traditional sense) is present at all.<sup>119</sup> This includes expositions where the transition apparently fails to lead to a contrasting theme and devolves into *Fortspinnung* material instead—a "continuous exposition," in Hepokoski and Darcy's terminology.<sup>120</sup> Certainly these are unique environments for Schenker to test his own approach to sonata form, which considers the exposition's tonal layout at the expense of its melodic design to the extent that a subordinate key is nearly all that is

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<sup>119</sup> As noted in Hepokoski and Darcy (2006, 51n1 and n2), these scholars include Larsen (1963, 226–27), Rosen (1980, 100–4), Brown (1986, 295), and Webster (1991, 166, 326).

<sup>120</sup> Hepokoski and Darcy (2006, 51) write, "The continuous exposition is identified by its lack of a clearly articulated medial caesura followed by a successfully launched secondary theme. Instead of providing a TR [transition] that leads to a medial caesura and thence to an S [secondary-theme zone], as with the two-part exposition, the continuous exposition, especially in Haydn's works, usually fills up most of the expositional space with the relentlessly ongoing, expansive spinning-out (*Fortspinnung*) of an initial idea or its immediate consequences." See Hepokoski (2016) for more on the continuous exposition as it relates to Sonata Theory and Caplin's (1998) theory of formal functions.

required to establish a second theme.<sup>121</sup> The following examples illustrate Schenker's systematic method of classifying sonata-form expositions as one of four types according how the I. *Gedanke*, *Modulationspartie* (if present), and II. *Gedanke* interact with the tonal layout (the location of the primary and subordinate keys).<sup>122</sup>

Example 3.3.7 outlines the first expositional type (labeled A in the upper-left corner).<sup>123</sup> String quartets from Haydn's op. 33 and op. 54 are listed down the right side of the page (these designations all refer to their respective first movements). To indicate that a *Modulationspartie* is lacking in all of these expositions, Schenker writes *ohne Mp.* at the top of the page.<sup>124</sup> A Roman numeral one (I) at the top-left side stands for the I. *Gedanke*, or first theme. In this column, a diagram of the first theme is given for each movement. In every case, it is divided into two parts, labeled 1 and 2 (see the binary branches), with the second part ending on a dominant *Stufe* in the primary key (indicated 2<sub>v</sub>). It is unclear whether this dominant represents a cadence *per se*, although it is clear that the end of the first theme (or at least the second branch of the first theme) coincides with this *Stufe*.<sup>125</sup> A Roman numeral two (II) heads the page's center column, which provides an analysis of the II. *Gedanke* for each exposition. These themes all begin on a tonic *Stufe*

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<sup>121</sup> This resembles the position of Caplin and Martin (2016, 10), who reject Sonata Theory's concept of "continuous exposition" in favor of an approach where "the boundary between the transition and the subordinate theme can become blurred." In particular, their approach is roughly similar to Schenker's type-B exposition described below, where the end of the *Modulationspartie* and the beginning of the II. *Gedanke* are fused together.

<sup>122</sup> For a preview and summary of these expositional types, which Schenker labels A through D, see example 3.3.15, pp. 278–79.

<sup>123</sup> The four types of exposition described in the "Niedergang" typescript are referred to using Arabic numerals (types 1 through 4), whereas the four types described in file 83 of the Oster Collection are referred to using capital letters (types A through D).

<sup>124</sup> Perhaps the lack of a *Modulationspartie* is what characterizes *Overtüreform*, which appears to be written in the top-right corner of the page.

<sup>125</sup> In reconstructing the following analyses, I observe prominent cadences and their relationship to the form. Schenker also appears to have observed some of these cadences, but a

**EXAMPLE 3.3.7** Type-A expositions from select string quartets by Haydn (OC 83/87; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Handwritten musical analysis notes for Type-A expositions in string quartets by Haydn. The notes are organized into several sections:

- Section 1:**
  - 1) I [Gedanke] *ohne mp* II [Gedanke] *ohne Mp.* [Overtüreform?] [Haydn, op. 33, no. 6/i]
  - 2) I  $\frac{1}{2}$  II  $\frac{1}{2}$  [I  $\frac{1}{2}$  neu?] 33. 6. [Haydn, op. 33, no. 1/i]
  - 3) I  $\frac{1}{2}$  II  $\frac{1}{2}$  [I  $\frac{1}{2}$  Kopf von I. [Gedanke] 33. 1. [Haydn, op. 33, no. 3/i]
  - 4) I  $\frac{1}{2}$  II  $\frac{1}{2}$  [I  $\frac{1}{2}$  Kopf von I. [Gedanke] 33. 3. [Haydn, op. 54, no. 3/i]
- Section 2: Übergang.**
  - 5) (Fugato) *Marsch* [I  $\frac{1}{2}$   $\frac{1}{2}$ ] [Haydn, op. 20, no. 2/i]
  - 6) (Fugato)  $\frac{1}{2}$   $\frac{1}{2}$   $\frac{1}{2}$   $\frac{1}{2}$  [I  $\frac{1}{2}$   $\frac{1}{2}$ ] *afubis* *alle korrekt! keine untp., wie oben*
- Section 3:**
  - (Mp. ohne Mod.?)* *Mp. ohne Mod.?* *oder bloße Funktion ohne Zweck* *als zu d. Gefühlg.*
- Section 4:**
  - $\frac{1}{2}$   $\frac{1}{2}$  *2  $\frac{1}{2}$  nicht mp. 3. Teil - V/I*

strict relationship between cadential articulations and formal boundaries likely did not exist in his early *Formenlehre* to the extent that it did either in eighteenth-century approaches (Koch [1782–93] 1983) or in more recent theories (Caplin 1998; Hepokoski and Darcy 2006).

in their respective subordinate keys. They are also characterized either as new (op. 33, no. 6/i) or as beginning with the same motive as the first theme (op. 33, no. 1/i; *Kopf von I. [Gedanke]*).

Near the middle of the page, Schenker draws a horizontal line that separates the first four movements listed in example 3.3.7 from the fifth: Haydn's String Quartet in C Major, op. 20, no. 2/i. The first diagram for this movement conforms to the schema outlined at the top of the page. The I. *Gedanke* is divided into two parts: the first is characterized as a *Fugato*; the second ends on a dominant *Stufe* (2v). A *Modulationspartie* is lacking altogether. The II. *Gedanke* begins on a tonic *Stufe* in the subordinate key (G major). An alternative analysis is provided below this. Here the I. *Gedanke* leads to a *Modulationspartie* that remains in the primary key and ends with a dominant *Stufe*. Schenker writes *Mp. ohne Mod.?* to the lower-right of this diagram: Is it possible to have a *Modulationspartie* without a modulation? Recognizing the inherent contradiction, the word *Übergang* is written near the center of the page below the horizontal line that separates Haydn's op. 20, no. 2/i, from the other analyses. Perhaps an *Übergang* in this case is a broader category of transition that does not necessarily modulate, while a *Modulationspartie* has a narrower meaning that requires a modulation to a subordinate key.<sup>126</sup>

Haydn's String Quartet in B Minor, op. 33, no. 1, illustrates the type-A exposition in context (see Schenker's diagram for this movement in example 3.3.7).<sup>127</sup> In example 3.3.8, the I. *Gedanke* (mm. 1–17) comprises two parts, which I interpret as a *Periode* of a higher order. While it is unclear exactly where the first part (*Vordersatz*) ends, the downbeat of m. 11 is the best

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<sup>126</sup> This alternative analysis of Haydn's op. 20, no. 2/i, is somewhat related to Schenker's type-C exposition shown in example 3.3.11, p. 269.

<sup>127</sup> For this quartet and Haydn's other quartets in the following examples, I have used the archaic Eulenburg edition. This is the edition that Schenker would most likely have available to him at the time; in fact, all of his personal copies of Haydn's string quartets in the Oster Collection are from the Eulenburg edition published in Leipzig (although a copy of op. 33 is not extant).

candidate. Schenker would likely observe an authentic cadence here, as the question mark attached to the cadence label suggests, but what *formal significance* he might attach to this cadence (and other similar cadences) is a bit unclear. Presumably the second part (*Nachsatz*) begins in m. 11 and ends before the fermata in m. 17 on a dominant *Stufe*. Notice how this *Periode* reverses the typical cadential ordering (assuming that mm. 11 and 17 are cadences): a conclusive authentic cadence is followed by an inconclusive half cadence. Furthermore, the *Vordersatz* and *Nachsatz* are contrasting rather than parallel to each other thematically, and they are unequal in length (10 measures versus 7 measures respectively). As we saw in § 2.4.4, Schenker's conception of the *Periode* does not require any particular thematic resemblance, cadential syntax, or symmetry; it is a simple proposition–response paradigm.

No *Modulationspartie* exists in this exposition because the music does not depart from the primary key until the onset of the II. *Gedanke*. In example 3.3.8, this theme begins immediately on a tonic *Stufe* in the subordinate key of D major (see m. 18). The motive in the first violin is nearly identical to the motive at the beginning of the movement *at pitch level* despite its harmonization in a different key (D major versus B minor). Schenker indicates this in example 3.3.7, writing *Kopf von I. [Gedanke]* in the column for the II. *Gedanke*. I suggest that the downbeat of m. 33 is the best candidate for marking the end of the II. *Gedanke* and the beginning of the *Schlußgedanke*. This formal boundary coincides with a change in character and a perfect authentic cadence in the subordinate key embellished by a prominent trill in the first violin—although this cadence is not strictly required, as I described near the beginning of § 3.3. In all of the diagrams in example 3.3.7, there is no mention of the *Schlußgedanke*, or third theme. From



**EXAMPLE 3.3.8** Type-A exposition: Haydn's String Quartet in B Minor, op. 33, no. 1/i,  
mm. 1–37

**I. Gedanke (mm. 1–17)**  
 Periode: Vordersatz (mm. 1–10)

[Hauptmotiv]  
 Allegro moderato

Violin I  
 Violin II  
 Viola  
 Violoncello

4

8

I:PAC? Nachsatz (mm. 11–17)

13

**II. Gedanke (mm. 18–32)**  
 Kopf von I. Gedanke

[I:HC?]

17

B minor: V

D major: I

## EXAMPLE 3.3.8 CONTINUED

21

*sf* *sf* *sf*

*f*

25

*p* *f* *f*

*sf* *p* *f*

## III. Schlußgedanke (mm. 33–37?)

III: PAC?

30

*p* *f* *mezza voce* *sf* *mezza voce*

*p* *f* *mezza voce* *sf* *p*

*p* *f* *fp* *sf* *p* *mezza voce*

*p* *f* *fp* *sf*

35

*sf* *f* *f*

Schenker's perspective, perhaps this is because the *Schlußgedanke* performs no essential "tonal work": by its onset, the modulation has already occurred.

Example 3.3.9 outlines two versions of the type-B exposition: one in which the I. *Gedanke* ends on a tonic *Stufe* and another in which the I. *Gedanke* ends on a dominant *Stufe*. The first appears in example 3.3.9(a). In the upper-left corner, a capital Roman numeral one with a subscript Roman numeral one ( $I_1$ ) indicates that the I. *Gedanke* ends on a tonic *Stufe*. All of the first movements from Haydn's string quartets listed down the right side of the page conform to this schema. Looking at the top of the page from left to right, we find an analysis of Haydn's String Quartet in D Major, op. 20, no. 4/i. A capital Roman numeral one represents the first theme ending on a tonic *Stufe* in the primary key ( $I_1$ ). The I. *Gedanke*, a *Periode*, is divided into  $a_1$  (*Vordersatz*) and  $a_2$  (*Nachsatz*).<sup>128</sup> A break separates the end of the I. *Gedanke* from the beginning of the *Modulationspartie*. The end of the *Modulationspartie* and the beginning of the II. *Gedanke* are then fused together (*Mp.* + II. [*Gedanke*]) because they are both set in the subordinate key: the *Modulationspartie* begins on a pivot chord, functioning as VI in D major and II in A major (VI/II). The II. *Gedanke*, also in A major, begins with a motive resembling the one found at the opening of the first theme (*Kopf von I.* [*Gedanke*]). The two expositions listed in example 3.3.9(b) are identical to the situation just described, except that their first themes are harmonically open rather than closed, ending on a dominant *Stufe* in the primary key (indicated  $I_v$ ).

The first movement from Haydn's String Quartet in B-flat Major, op. 33, no. 4, shown above in example 3.3.10, exemplifies a type-B exposition (cf. Schenker's diagram on the second line in example 3.3.9[a]). The opening measures make up a *Gruppe* that ends on a tonic *Stufe* in

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<sup>128</sup> I interpret the wavy lines written above some first themes in example 3.3.8(a) to represent group construction rather than period construction; for instance, see the diagram of the first theme for Haydn's op. 33, no. 4/i.

**EXAMPLE 3.3.9** Type-B expositions from select string quartets by Haydn

(A) Type-B exposition: I. *Gedanke* ends on a tonic *Stufe* (OC 83/88; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

<p>B) I I</p> <p>6/ <math>\frac{a_1 \quad a_2}{\sqrt{a_2}}</math> I [Gedanke]</p> <p>[= Gruppe?] →</p> <p>3) I I</p> <p>5/ <math>\frac{a_1 \sqrt{a_2}}{a_2}</math> I</p> <p>[= Gruppe?] →</p> <p>1) I I</p> <p>[= Gruppe?] →</p> <p>2) C<sup>2</sup> I</p> <p>4) <math>\frac{1}{f.o.} \sqrt{a_2} I</math></p>	<p>(Mp. u. Kopf von I [Gedanke])</p> <p>VI/II <i>mp</i> + II [Gedanke]</p> <p>A<sup>d</sup></p> <p><math>\frac{VI}{f.o.} \sqrt{a_2} I - V</math></p> <p><i>mp</i> + II</p> <p><math>\frac{VI}{f.o.} \sqrt{a_2} I - V</math></p> <p><i>mp</i> + II</p> <p>I auf A<sup>d</sup>.</p> <p><i>mp</i> + II</p> <p><math>\frac{VI}{f.o.} \sqrt{a_2} I - V</math></p> <p>I auf C<sup>2</sup>.</p>	<p>[Haydn, op. 20, no. 4/i]</p> <p>Op. 20. 4</p> <p>[Haydn, op. 33, no. 4/i]</p> <p>33. 4.</p> <p>[Haydn, op. 50, no. 1/i]</p> <p>50. 1.</p> <p>[Haydn, op. 50, no. 6/i]</p> <p>50. 6</p> <p>[Haydn, op. 54, no. 2/i]</p> <p>54. 2</p> <p>[Haydn, op. 50, no. 5/i]</p> <p>50. 5</p>
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(B) Type-B exposition: I. *Gedanke* ends on a dominant *Stufe* (OC 83/89; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

<p>B) I V</p> <p>I [Gedanke]</p> <p>Fugato</p> <p>2) <math>\frac{f.o.}{a_2} \sqrt{a_2} I</math></p> <p>1) <math>\frac{1}{f.o.} \sqrt{a_2} I</math></p>	<p><i>mp</i> + II [Gedanke]</p> <p><math>\frac{I}{f.o.} \sqrt{a_2} I - V</math></p> <p>I auf A<sup>d</sup>.</p> <p><math>\frac{I}{f.o.} \sqrt{a_2} I - V</math></p>	<p>[Haydn, op. 20, no. 1/i]</p> <p>Kopf von I. [Gedanke]</p> <p>Kopf m I</p> <p>20. 1.</p> <p>[Haydn, op. 54, no. 1/i]</p> <p>54. 1</p>
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**EXAMPLE 3.3.10** Type-B exposition: Haydn's String Quartet in B-flat Major, op. 33, no. 4/i, mm. 1–31

**I. Gedanke (mm. 1–12)**  
*Gruppe*  
 [Hauptmotiv]

*Allegro moderato*

Violin I  
 Violin II  
 Viola  
 Violoncello

6

**Modulationspartie (mm. 13–17)**  
 I:PAC?

12

B-flat major: I III#  
 F major: VI# II

**II. Gedanke (mm. 17–25)**  
*Kopf von I. Gedanke*  
 V:HC?

17

V

## EXAMPLE 3.3.10 CONTINUED

III. *Schlußgedanke* (mm. 26–31?)

V:PAC?

The musical score is presented in four staves. The first system (measures 22-25) features a violin part with trills and accents, a flute part with a trill, and piano accompaniment. Dynamics range from *f* to *p*, with *cresc.* markings. The second system (measures 26-31) shows a violin part with a *f* dynamic, a flute part with a *p* dynamic, and piano accompaniment. Dynamics include *f*, *p*, and *dim.*

m. 12. The *Modulationspartie* begins in m. 13 on a pivot chord functioning as III<sup>#</sup> in the primary key (B-flat major) and VI<sup>#</sup> in the subordinate key (F major). The *Modulationspartie* progresses by falling fifths (VI<sup>#</sup>–II–V), ending on a dominant *Stufe* in m. 17. The II. *Gedanke* enters in the subordinate key with a motive that is related to the beginning of the first theme (*Kopf von* I. [*Gedanke*]). Example 3.3.9(b) does not show where the II. *Gedanke* ends and the *Schlußgedanke* begins, or even whether a closing theme is present, but we might reasonably infer that the II. *Gedanke* comes to a close in mm. 25–26 given the perfect authentic cadence and the first violin's characteristic trill. Presumably a *Schlußgedanke* would follow in mm. 26–31.

Example 3.3.11 outlines the type-C exposition. As shown at the top of the page from left to right, here the end of the I. *Gedanke* and the beginning of the *Modulationspartie* are fused together (I. [*Gedanke*] + *Mp.*). The diagram for the first movement of Haydn's String Quartet in

E-flat Major, op. 50, no. 3, shows that the first theme is structured as a *Gruppe* (per the wavy line) that is fused with the *Modulationspartie*. The *Modulationspartie* begins on a tonic *Stufe* in the primary key (E-flat major), although it eventually modulates, ending on a dominant *Stufe* in the subordinate key (B-flat major). The second theme then enters on a tonic *Stufe* in the new key.

In example 3.3.11, the diagram for the first movement of Haydn's String Quartet in G Major, op. 33, no. 5, illustrates a related schema. The I. *Gedanke* comprises two parts ( $a_1$  and  $a_2$ ), making it a *Periode* rather than a *Gruppe*. The wavy line leading from the end of  $a_2$  through to the end of the *Modulationspartie* suggests that they are fused together. The II. *Gedanke* begins with new motivic material on a tonic *Stufe* in the subordinate key (D major).

Example 3.3.12 shows this analysis in context. After what I suggest is a short *Vorhang* (mm. 1–2), the I. *Gedanke* is divided into two parts (a *Periode* of a higher order): I suggest that the *Vordersatz* ends in m. 23 on a dominant *Stufe* (a half cadence), after which the *Nachsatz* begins in m. 25, due in part to the melodic parallelism with the beginning of the *Vordersatz*. As the wavy line above the score in m. 26ff. suggests, the *Nachsatz* eventually gives way to the *Modulationspartie*, blurring the boundary between them. It is unclear exactly where the *Nachsatz* gives way to the *Modulationspartie*; the latter's placement in m. 35 is only an approximation (of course, that is the nature of boundary blurring).<sup>129</sup> The *Modulationspartie* clearly ends before the fermata in m. 48 on a dominant *Stufe* in the subordinate key (D major). The II. *Gedanke* enters with a new melodic idea in the first violin over a tonic pedal in the new key (mm. 49–52). I suggest that the II. *Gedanke* ends and the *Schlußgedanke* begins on the downbeat of m. 89. The first violin signals a cadence, with its trill in the previous measure; a perfect authentic cadence in the subordinate key arrives on the downbeat of m. 89, while a change in character and dynamic

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<sup>129</sup> I borrow the concept of boundary blurring from Caplin and Martin (2006, 10).

EXAMPLE 3.3.11 Type-C expositions from select string quartets by Haydn (OC 83/90; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

C)	I [Gedanke] + Mp. I + mp	II [Gedanke]	I rub. <i>piu</i> and <i>mp.</i> II <i>trik</i> <i>swell.</i> <i>un.</i>
	[= Gruppe?]	(K. v. I [Gedanke])	[Haydn, op. 50, no. 3/i]
	I + mp Es <sup>d</sup> (I) u. B <sup>d</sup> V	II (K. v. I) I B <sup>d</sup>	50. 3
1) <i>a</i> V <sup>mp</sup> C <sup>d</sup> g <sup>d</sup> . V	II	neu un <sup>o</sup>	[Haydn, op. 50, no. 2/i] 50. 2
2) <i>a</i> V <sup>mp</sup> g <sup>u</sup> u. B <sup>d</sup> V	II	(K. v. I [Gedanke]) (u. K. v. I)	[Haydn, op. 20, no. 3/i] 20. 3
3) <i>a</i> V <sup>mp</sup> g <sup>d</sup> . u. B <sup>d</sup> V	I	neu un <sup>o</sup>	[Haydn, op. 33, no. 5/i] 33. 5
4) <i>a</i> V <sup>mp</sup> g <sup>u</sup> u. B <sup>d</sup> V	II	K. v. I [Gedanke] u. K. v. I	[Haydn, op. 42/i] 42
5) <i>a</i> V <sup>mp</sup> u. B <sup>d</sup> V	II	neu (K. v. I [Gedanke])	[Haydn, op. 20, no. 6/i] 20. 6
5) <i>a</i> V <sup>mp</sup> f <sup>u</sup> u. B <sup>d</sup> V	II (u. K. v. I)	(K. v. I [Gedanke])	[Haydn, op. 20, no. 5/i] 20. 5

~~Handwritten scribble at the bottom left of the page.~~



**EXAMPLE 3.3.12** Type-C exposition: Haydn's String Quartet in G Major, op. 33, no. 5/i,  
mm. 1–95

**I. Gedanke (m. 3ff.)**  
*Periode: Vordersatz (mm. 3–24)*

[Vorhang, mm. 1–2]  
 Vivace assai

Violin I  
 Violin II  
 Viola  
 Violoncello

8

15

I:HC?

Nachsatz (m. 25ff.)

23

## EXAMPLE 3.3.12 CONTINUED

Modulationspartie

32

38

## II. Gedanke (mm. 49–89?)

V:HC? *neu*

45

*dolce*

*dolce*

*dolce*

D major: V

53

*fz*

*f*

*dim.*

*sf*

*sf*

## EXAMPLE 3.3.12 CONTINUED

62

*p* *sf* *sf* *sf* *sf* *sf* *sf*

*dim.* *p* *sf* *sf* *sf* *sf* *sf*

*dim.* *p* *f* *sf* *sf* *sf* *f*

*dim.* *p* *f* *sf* *sf* *sf* *f*

71

*sf* *f* *f* *f* *f* *f* *ff*

*sf* *f* *f* *f* *f* *f* *ff*

*f* *f* *f* *f* *f* *f* *ff*

*f* *f* *f* *f* *f* *f* *ff*

79

*sf* *f* *f* *f* *f* *f* *ff*

*sf* *f* *f* *f* *f* *f* *ff*

*f* *f* *f* *f* *f* *f* *ff*

*f* *f* *f* *f* *f* *f* *ff*

## III. Schlußgedanke (mm. 89–95?)

87

*p* *p* *p* *p* *p* *p* *p*

*p* *p* *p* *p* *p* *p* *p*

*p* *p* *p* *p* *p* *p* *p*

*p* *p* *p* *p* *p* *p* *p*

V:PAC?

**EXAMPLE 3.3.13** Type-D expositions from select string quartets by Haydn (OC 83/91; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

(K. v. I.) [Haydn, op. 50, no. 4/i]  
50. 4.

[Haydn, op. 33, no. 2/i]  
33. 2.

follows. As an alternative to this analysis, mm. 89–95 might be heard simply as a coda rather than a *Schlußgedanke*.<sup>130</sup>

The type-D exposition, shown in example 3.3.13, incorporates two blurred boundaries. This is seen most clearly in the second diagram from the top: the first movement of Haydn's Quartet in E-flat Major, op. 33, no. 2. A long wavy line shows that the boundary between the end of the I. *Gedanke* and the beginning of the *Modulationspartie* is blurred ( $a_2 + Mp.$ ). This line continues through the *Modulationspartie*, where at some point a dominant *Stufe* in the subordinate key arrives. Yet the line continues even further, blurring the boundary between the end of the *Modulationspartie* and the beginning of the II. *Gedanke*.

Example 3.3.14 shows this analysis in greater detail. The I. *Gedanke* comprises a *Vordersatz* ( $a_1$ ), perhaps ending with a half cadence in m. 8, and a *Nachsatz* ( $a_2$ ) that at some point fuses to

<sup>130</sup> For instance, we saw in example 3.3.3 (p. 242) that a *Schlußgedanke* was not present in Schenker's analysis of Beethoven's Third Symphony, first movement.

**EXAMPLE 3.3.14** Type-D exposition: Haydn's String Quartet in E-flat Major, op. 33, no. 2/i, mm. 1–32

**I. Gedanke (m. 1ff.)**

Periode: Vordersatz (mm. 1–8)

**Allegro moderato, cantabile**

Violin I *mf* *p*

Violin II *mf*

Viola *mf*

Violoncello *mf*

*sf* *sf* *sf* *sf* *mf*

*p* *p*

*p*

I:HC?

Nachsatz (m. 9ff.)

Modulationspartie

*mf*

*p* *p* *p*

*p* *ten.* *mf*

*p* *p* *mf* *mf*

*p* *mf*

B-flat major: V

## EXAMPLE 3.3.14 CONTINUED

II. Gedanke

18

*cresc.* *f*

*cresc.* *f*

*cresc.* *f*

*cresc.* *f*

23

*p* *f*

*p* *f*

*p* *f*

*p* *f*

III. Schlußgedanke (mm. 29–32?)

26

*mezza voce* *p*

*mezza voce* *p*

*mezza voce*

V:PAC?

30

*p*

*p*

become the *Modulationspartie*. The wavy line written above the staff beginning in m. 9 indicates this fusion (or boundary blurring). A pedal on the dominant *Stufe* in the subordinate key (B-flat major) arrives in m. 15 and lasts until m. 19. In a type-C exposition, we might expect a break between the end of the *Modulationspartie* and the beginning of the II. *Gedanke*, but this boundary is also blurred, making it difficult to determine the precise moment where the II. *Gedanke* begins. Presumably the II. *Gedanke* ends in m. 28, where a trill in the first violin signals the oncoming perfect authentic cadence in the subordinate key. The *Schlußgedanke*, or perhaps a short coda, follows in mm. 29–32.<sup>131</sup>

On the other hand, the diagram at the top of example 3.3.13—Haydn’s String Quartet in F-sharp Minor, op. 50, no. 4/i—shows a tonal layout that is similar to a type-C exposition; namely, the *Modulationspartie* begins in the primary key and modulates to end on a dominant *Stufe* in the subordinate key. The arc in this diagram suggests that the boundary between the end of the *Modulationspartie* and the beginning of the II. *Gedanke* is blurred somewhat due to the lengthy standing on the dominant and caesura fill in the subordinate key of A major (mm. 21–26; not shown). However, the wavy line in Schenker’s diagram is also much shorter than the one used for Haydn’s op. 33, no. 2. In both diagrams, the boundary between the end of the I. *Gedanke* and the beginning of the *Modulationspartie* is blurred, but the arc in the diagram for Haydn’s F-sharp-minor quartet suggests that the boundary between the end of the *Modulationspartie* and the beginning of the II. *Gedanke* is blurred to a lesser degree. Perhaps there are two versions of the

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<sup>131</sup> Hepokoski and Darcy (2006, 54–57, ex. 4.1) analyze this as a “continuous exposition,” whereas Caplin and Martin (2016, 18–23, ex. 7) analyze it as two-part. According to Caplin and Martin, the transition beginning in m. 13 is retrospectively heard as Subordinate Theme 1. As a consequence, the standing on the dominant in mm. 15–18, “which initially is heard as ending the transition, is *reinterpreted retrospectively* as occurring *internal* to a subordinate theme” (22; emphasis in original).

type-D exposition: one in which the boundary between the end of the *Modulationspartie* and the beginning of the II. *Gedanke* is blurred only somewhat, which might be confused with a type-C exposition if this is relegated to the equivalent of a caesura fill, and another version in which this boundary is blurred unequivocally.

Example 3.3.15 summarizes types A through D while adhering to the terms and symbols used in Schenker's own diagrams. The four types of exposition have been ordered from the most sectional to the most continuous: The type-A exposition in example 3.3.15(a) has a clear break between the I. *Gedanke*, which ends on a dominant *Stufe* in the primary key, and the II. *Gedanke*, which begins on a tonic *Stufe* in the subordinate key.<sup>132</sup> A *Modulationspartie* is omitted altogether because the subordinate key does not arrive until the onset of the II. *Gedanke*. The type-B exposition in example 3.3.15(b) has a clear break between the end of the I. *Gedanke* and the beginning of the *Modulationspartie*, while the *Modulationspartie* and II. *Gedanke* are grouped together based on their shared subordinate key. The type-C exposition in example 3.3.15(c) presents a similar situation, except that that I. *Gedanke* and *Modulationspartie* are grouped together based on their shared primary key, even if the *Modulationspartie* eventually modulates to end on a dominant *Stufe* in the subordinate key. This prepares for the entrance of the II. *Gedanke* on a tonic *Stufe*, also in the subordinate key.<sup>133</sup> The type-D exposition in example 3.3.15(d) blurs the

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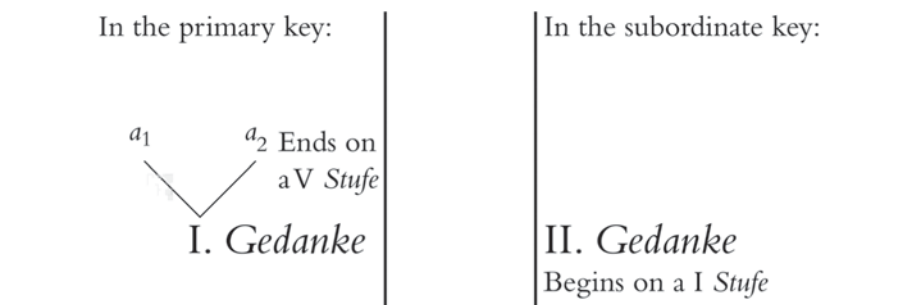
<sup>132</sup> The tonal layout of the type-A exposition is closely related to Robert Winter's (1989) "bifocal close," which he describes as having the following features: "1) a diatonic first group that reaches a half cadence on the dominant, 2) the articulation of this half cadence by a prominent rest immediately after, 3) the continuation and immediate tonicization in the second group of the local dominant harmony of the half cadence, and 4) a parallel structure in the recapitulation in which the half cadence now functions as a local dominant to the second group in the tonic" (278). This is also apparently similar to Hepokoski and Darcy's I:HC medial caesura (2006, 25, 25n3).

<sup>133</sup> This situation is similar to Hepokoski and Darcy's V:HC medial caesura (2006, 25).

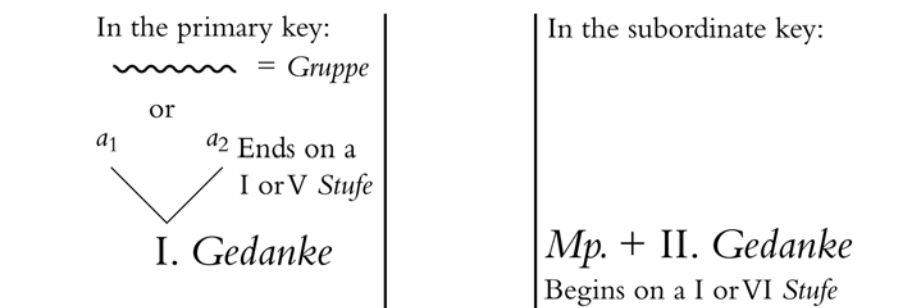


**EXAMPLE 3.3.15** Schenker's four types of sonata-form exposition arranged from the most sectional to the most continuous

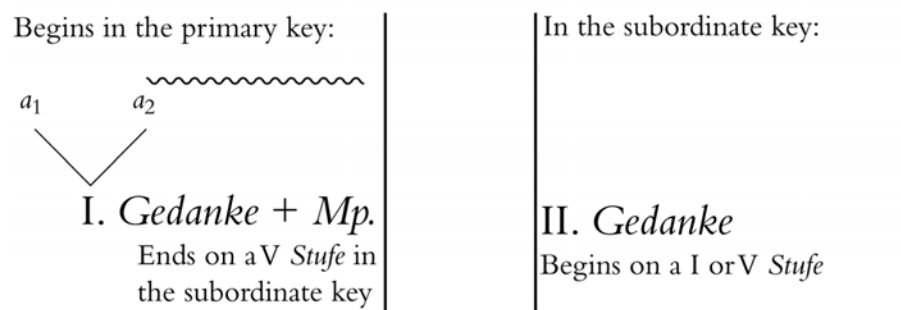
(A) Type-A exposition: *Modulationspartie* absent (OC 83/87)



(B) Type-B exposition: *Modulationspartie* fused with the II. *Gedanke* (OC 83/88 and 89)

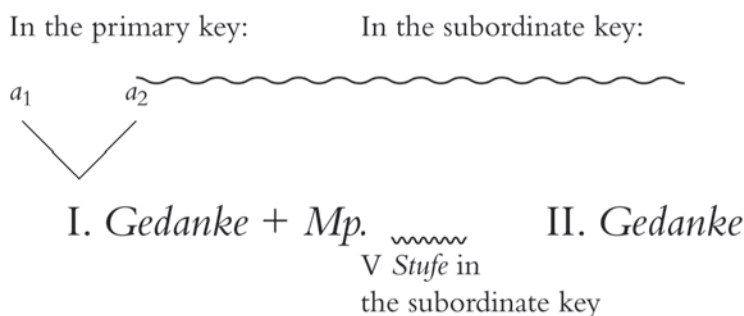


(C) Type-C exposition: The I. *Gedanke* fused with the *Modulationspartie* (OC 83/90)



**EXAMPLE 3.3.15 CONTINUED**

(D) Type-D exposition: The end of the I. *Gedanke* and the beginning of the II. *Gedanke* fused with the *Modulationspartie* (OC 83/91)



boundary between the end of the I. *Gedanke* and the beginning of the *Modulationspartie*, and the boundary between the end of the *Modulationspartie* and the beginning of the II. *Gedanke*.

Three of these types resemble those already described in the “Niedergang” typescript; correspondences are shown in table 3.3.1. The type-A exposition found in the Oster Collection has no correspondent with the types in the “Niedergang” typescript because the latter all describe cases where a *Modulationspartie* is present. Schenker’s type-B exposition is closely related to the type-3 exposition: the *Modulationspartie* is separate from the end of the I. *Gedanke* in both cases (cf. example 3.3.15[b] above and example 3.3.4 on p. 249). The type-C exposition is related to types 1 and 2: the end of the I. *Gedanke* is fused with the beginning of the *Modulationspartie* in all three cases (again, cf. example 3.3.15[c] and example 3.3.4). Schenker’s type-D exposition might be somewhat related to the type-4 exposition described in the “Niedergang” typescript. The latter is “made up of rhetorical progressions.”<sup>134</sup> Perhaps this is how Schenker first conceived of boundary

<sup>134</sup> Although complicating matters in this regard, Schenker’s example—Mozart’s K. 496/ii (example 3.3.6, p. 254)—is not a type-D exposition. See note 111 (p. 255) for Schenker’s original German.

**TABLE 3.3.1** A comparison of the expositional types in the “Niedergang” typescript (Schenker [1905–6] 2005a, 47–48) and the Oster Collection (file 83, items 87–91)

Oster Collection <i>See example 3.3.15, pp. 278–79</i>	“Niedergang” typescript <i>See example 3.3.4, p. 249</i>
Type A	No correspondent
Type B	Type 3 and perhaps type 4?
Type C	Types 1 and 2
Type D	Perhaps type 4? (doubtful)

blurring in this situation, although the type-B exposition is perhaps more comparable if this occurs primarily at the end of the *Modulationspartie* and the beginning of the II. *Gedanke*.

In example 3.3.2 (pp. 240–41), we saw Schenker’s many published diagrams of sonata forms by Beethoven dating from the second decade of the twentieth century. These analyses all seem rather *ad hoc*; they do not seem to reflect Schenker’s systematic method of classification outlined in the Oster Collection (at least not explicitly). Nonetheless, we can better understand these analyses by applying Schenker’s latter approach.<sup>135</sup> For instance, the analysis of Beethoven’s op. 111/i is similar to a type-C exposition (see example 3.3.2[c]): the *Modulationspartie* begins in the primary key and modulates to the subordinate key (Schenker [1916] 2015, 3:41–43). However, the *Modulationspartie* ends on a chromatically altered subdominant *Stufe* instead of the expected dominant *Stufe*, while the II. *Gedanke* continues on a dominant *Stufe* (mm. 49–50; not shown). From a tonal perspective, this blurs the boundary between these two sections, making

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<sup>135</sup> One might also apply Schenker’s method of classifying expositions outlined in the Oster Collection to his later analyses, such as the sketch of the first movement from Beethoven’s Third Symphony in example 3.3.3 (p. 242). This analysis closely resembles a type-B exposition: a foreground sketch (Schenker [1930] 1997, 14–15, fig. 6; not shown) reveals that the tonic *Stufe* in the primary key (E-flat major) at the end of the I. *Gedanke* is reinterpreted as a subdominant *Stufe* in the subordinate key (B-flat major). As a result, a local change in key coincides with the beginning of the *Modulationspartie*.

this closer to a type-B exposition—again, notwithstanding the fact that the *Modulationspartie* begins in the primary key. Given both aspects of the tonal layout, perhaps we might even consider this in dialogue with a type-D exposition.

Beethoven's Piano Sonata in A Major, op. 101/i, shown in example 3.3.2(d) (p. 241), clearly conforms to a type-D exposition. This analysis, reconstructed in example 3.3.16, reveals the fundamental principles underlying his conception of the exposition, including the definitive role played by the tonal layout (Schenker [1921] 2015, 4:21–28). Together mm. 1–4 function as a *Vordersatz* (perhaps ending with a half cadence); the *Nachsatz* is then fused with the *Modulationspartie* beginning in m. 5. This matches the description in the “Niedergang” typescript ([1905–6] 2005a, 47) and conforms to the type-1 schema in example 3.3.4 (p. 249). But in the explanatory edition of op. 101, Schenker observes that we also find this technique in Beethoven's early sonatas, including the Piano Sonata in F Minor, op. 2, no. 1/i. He continues:

What in op. 101 far exceeds this daring feat of the early work, however, is the circumstance that here the consequent, having embarked on the modulation, simultaneously also yields the head of the second theme, so that the latter—exactly as a product of the consequent character—shares the motif with the first theme. Now it would amount to a misjudgment of the nature of sonata form if one were to espy a contradiction in such a procedure, for the point of emphasis in that form is above all the modulation between the first and second theme—that is, the opposition of the keys, not that of the thematic aspect; for this reason, the second theme can under certain circumstances be related to the first, or may even be identical to it, so long as it occupies the territory of an opposing key. . . . In this sense Beethoven's technique in the First Part [exposition] of our sonata movement can be understood as a most extreme compression [*Zusammenziehung*] of no fewer than three formal components: a consequent of the first theme, the modulation, and the second theme. This is possible, as stated, because the second theme of a sonata movement need by no means exhibit a new motif.<sup>136</sup> (Schenker [1921] 2015, 4:21–22).

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<sup>136</sup> “Was aber in op. 101 noch weit über diese Kühnheit des Jugendwerkes hinausgeht, ist der Umstand, daß hier der in Modulation geratene Nachsatz in einem auch den Kopf des 2. Ged. abgibt, so daß der letztere, was sich eben aus dem Nachsatzcharakter ergibt, das Motiv mit dem 1. Ged. gemeinsam hat. Nun hieße es aber das Wesen der Sonatenform verkennen, wenn man in

In example 3.3.16, the wavy line above the staff in mm. 5–6 highlights the fusion of the I. *Gedanke* with the *Modulationspartie*. The *Nachsatz* begins with a progression in the primary key (A major) that resembles a deceptive cadence (V–VI). The submediant *Stufe* is reinterpreted as a supertonic *Stufe* in the subordinate key of E major (VI/II). A *Stufengang* in this new key leads to a tonic *Stufe* on the downbeat of m. 8 (II–V–I). Presumably the *Modulationspartie* begins with the pivot chord at the fermata in m. 6, but it is unclear where the II. *Gedanke* begins. Schenker observes that the primary melodic motive and the tonic *Stufe* in the subordinate key coincide for the first time in m. 8 and concludes that the II. *Gedanke* must be established by this point. The first attempt to effect a cadence in the II. *Gedanke* occurs m. 16, although it is unsuccessful (I–II–V–VI, thus a deceptive cadence). A second attempt occurs in the subsequent measures: the dominant *Stufe* in m. 19 does not resolve until the downbeat of m. 25 (effectively II–V $\frac{6}{4}$  $\frac{5}{3}$ –I over the course of mm. 18–25, thus an authentic cadence). The *Schlußgedanke* follows in mm. 25–34.

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einer solchen Inhaltsführung schon einen Widerspruch erblicken wollte, denn worauf jene vor allem Gewicht legt, ist die Modulation zwischen 1. und 2. Ged., d.i. der Gegensatz der Tonarten und nicht der der Thematik, weshalb denn der 2. Ged. unter Umständen mit dem ersten auch verwandt sein, sogar sich decken darf, wenn er nur eben auf dem Boden einer gegensätzlichen Tonart steht. . . . In diesem Sinne läßt sich nun die Technik Beethovens im ersten Teile unseres Sonatensatzes als eine äußerste Zusammenziehung nicht weniger als dreier Formbestandteile: eines Nachsatzes des ersten Gedankens, der Modulation und des zweiten Gedankens auffassen, die wie gesagt dadurch möglich wurde, daß der zweite Gedanke eines Sonatensatzes durchaus nicht ein neues Motiv aufzuweisen braucht” (Schenker 1921, 27).

**EXAMPLE 3.3.16** Type-D exposition: Beethoven's Piano Sonata in A Major, op. 101/i (Schenker 1921, 27–29; 2015, 4:21–28)

**I. Gedanke (m. 1ff.)**  
*Periode: Vordersatz (mm. 1–4)*  
*Motiv (cf. mm. 5–6, 7, and 8)*  
*Etwas lebhaft, und mit der innigsten Empfindung*  
**Allegretto, ma non troppo** I:HC?

Piano

*Nachsatz (m. 5ff.)* *Modulationspartie* **II. Gedanke (to m. 24)**

Motiv *poco ritard.* Motiv *a tempo* Motiv *cresc.* *mf*

A major: V VI E major: II V I IV II V<sup>7</sup> —

11 *dim.* *p* *cresc.* *dim.*

(I V ) I II V VI #IV —

17 *cresc.* *p* *cresc.* *p*

V #I II V<sub>4</sub><sup>6</sup> ( <sub>3</sub> <sub>6</sub> <sub>4</sub> <sub>5</sub> )

**III. Schlußgedanke (mm. 25–34)** V:PAC

23 *cresc.* *sf* *p* *espressivo e semplice*

6 4 *sf* ) = <sub>3</sub> I

29 *pp*

§ 3.3.2. The Development (*zweiter Teil*): Beethoven's Symphony no. 9 in D Minor, op. 125/i, and Late Piano Sonatas (op. 101/i, op. 109/i, and op. 110/i)

By the standards of most nineteenth-century *Formenlehren*, Schenker's early conception of the development (*Durchführung, zweiter Teil*) was rather traditional. This section's three primary tasks are described in the "Niedergang" typescript (Schenker [1905–6] 2005a, 50–51). The most important task is "to create the necessary tension between the first and third sections, by analogy with the middle section, *b*, of an  $a_1$ –*b*– $a_2$  song form" (50; see example 3.1.1, p. 158).<sup>137</sup> (By the first and third sections, Schenker means the exposition and recapitulation respectively.) The second task is to develop thematic material from the exposition. Since the *Durchführung* is heard only once, "everything must be offered in such a way that it indeed becomes clear in its own terms, without the aid of repetition" (50).<sup>138</sup> We find "numerous and rapid parallelisms in this section, and above all the technique of returning to themes and thematic elements from the first part, their development and clarification" (50).<sup>139</sup> Schenker cautions that the term *Durchführung* can be misleading; composers sometimes "introduce entirely new themes, rather than develop the old material still further" (50).<sup>140</sup> The third task is to signal the oncoming recapitulation. "In other words," Schenker writes, "in the final phase of the development, the recapitulation must, so to

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<sup>137</sup> "Ihr fällt die Mission zu, nach Analogie des Mittelstückes *b* der Liedform  $a_1$ –*b*– $a_2$ , zumeist die nötige Spannung zwischen dem ersten u. dritten Teil zu erzeugen" (Schenker [1905–6] 2005a, 150).

<sup>138</sup> "Da sie aber . . . durch sich selbst sich zu erläutern hat, so muß alles aufgeboten werden, damit sie eben aus sich selbst hinaus, ohne Beihilfe einer Wiederholung klar werde" (Schenker [1905–6] 2005a, 150).

<sup>139</sup> "Daher die zahlreichen u. raschen Parallelismen in dieser Partie, u. vor allem die Technik des Zurückgreifens auf die Themen u. Thementeile des ersten Teiles, ihre Verarbeitung u. Beleuchtung" (Schenker [1905–6] 2005a, 150).

<sup>140</sup> "Weit entfernt von einer bloß schemat[ischen] Behandlung des Mittelstückes, fühlen sie sich in einem solchen Falle gedrängt[,] hier lieber gar einen Ged[anken] zu bringen, als das alte Material noch weiter zu verarb[eiten]" (Schenker [1905–6] 2005a, 150).

speak, already hang in the air” (51).<sup>141</sup> Yet he seemingly refuses to describe what this might entail:

The means that the masters used to convey this can in no way be reduced to artistic concepts that can be technically defined: they are mainly of a psychological nature and are based on an almost divinatory gift—on the secure feeling that this or that device will work its intended effect upon the listener.<sup>142</sup> (Schenker [1905–6] 2005a, 51)

Where musical technique ends a vague psychology begins. For example, a description of the tonal forces at work in the *Durchführung* is absent: there is no mention of the local modulations that usually accompany the motivic transformations, nor is there any mention of how the *Durchführung* might facilitate a retransition from the subordinate key established in the exposition to the primary key in the recapitulation. Marx, by comparison, describes both features.<sup>143</sup>

Schenker’s analyses of Beethoven’s Ninth Symphony and late piano sonatas, all published in the 1910s, conform to the conception of the *Durchführung* described in the “Niedergang” typescript—although additional details do emerge. In the first movement of Beethoven’s Ninth Symphony, the development is divided into four subsections (*Abschnitte*) preceded by a transition (*Überleitung*; see example 3.3.2[a], p. 240). Table 3.3.2 reconstructs this analysis (Schenker [1912] 1992, 89–90). The *Überleitung* (mm. 169–79) has two functions: (1) introduce what follows (this introduction is based on motivic material from the opening measures; see example 1.3.1, p. 10); and (2) modulate twice via pivot chord—first from B-flat major to D minor (I/VI), then from D minor to G minor (I<sup>#3</sup>/V<sup>#[3]</sup>). The four remaining subdivisions (*Abschnitte*) develop material from

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<sup>141</sup> “Mit anderen Worten: im letzten Stadium der Durchführung muss die Reprise sozusagen bereits in der Luft liegen” (Schenker [1905–6] 2005a, 150).

<sup>142</sup> “Die Mittel, die die Meister hiebei anwendeten, lassen sich leider auf technisch zu definierende Kunstgriffe absolut nicht reduzieren: sie sind meist psychologischer Natur und beruhen auf einer fast divinatorischen Gabe, auf dem sicheren Gefühl dessen, dass diese oder jene Wendung die beabsichtigte Wirkung im Zuhörer üben müsse” (Schenker [1905–6] 2005a, 150–51).

<sup>143</sup> For Marx’s conception of the *Durchführung*, see Burnham (1997, 96–100, 146–51).



**TABLE 3.3.2** An analysis of the *Durchführung* from Beethoven's Symphony no. 9 in D Minor, op. 125/i (Schenker [1912] 1992, 89–97)

Subsections	Measures	Motivic Material	Keys Observed
<i>Überleitung</i>	160–79	<i>Einleitung</i> , mm. 1–16 See example 1.3.1, p. 10	B-flat major → D minor → G minor
I. <i>Abschnitt</i>	180–97	I. <i>Gedanke</i> , mm. 17–18, 19 See example 3.3.17(a)	G minor
II. <i>Abschnitt</i>	198–217	I. <i>Gedanke</i> , mm. 17–18, 19 See example 3.3.17(a)	G minor → C minor
III. <i>Abschnitt</i>	218–74	I. <i>Gedanke</i> , mm. 19–20 See example 3.3.17(a)	C minor → G minor → B-flat major → D minor → A minor
IV. <i>Abschnitt</i>	275–300	II. <i>Gedanke</i> , mm. 80–83 See example 3.3.17(b)	A minor → F major

**EXAMPLE 3.3.17** Motivic ideas from Beethoven's Symphony no. 9 in D Minor, op. 125/i

(A) I. *Gedanke*, mm. 17–20

Violins I and II

(B) II. *Gedanke*, mm. 80–83

Woodwinds

Cl. I

Fl.

Strings

*sempre p*

the exposition (see example 3.3.17 above)—namely, the first four measures of the I. *Gedanke* (mm. 17–20) and the first four measures of the II. *Gedanke* (mm. 80–83). Schenker observes that, as a result, the themes in the development occur in the same order that they were presented in the exposition, writing,

As in so many other works, Beethoven has chosen . . . that technique of working-out which adheres strictly to the order of the themes, and within them to the order of the bars. Thus appearing in the first two subdivisions are bars 1–2 and, at first independently, bar 3 of the first theme; in the third subdivision bars 3–4 of the same first theme; and finally in the fourth subdivision bars 1–4 of the second theme. (Schenker [1912] 1992, 89).<sup>144</sup>

And while Schenker makes note of the modulations that occur within each subsection, it is not clear how these modulations coalesce into some larger tonal framework (91–97).

On the other hand, this was not a problem that needed solving—at least not ca. 1912. In *Harmonielehre*, Schenker writes,

The lack of a definite main diatonic system [*Hauptdiatonie*] for whose sake we are to assume chromatically simulated keys is found more often in the so-called *development parts* of cyclic compositions. Such a lack may even be considered the *main criterion* of such parts, and it certainly would run counter to the author’s attention if we busied ourselves trying to construct here, artificially and arbitrarily, a possibly continuous diatonic system. Since there is no interest of any particular diatonic system to defend, the only correct thing to do is to accept all keys as real, i.e., to take the modulations to be definite.<sup>145</sup> (Schenker [1906] 1954, 299; emphasis added to match original)

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<sup>144</sup> “Wie in so manchem anderen Werk . . . Beethoven jene Technik der Verarbeitung gewählt, die sich streng an die Reihe der Gedanken und innerhalb derselben wieder an die Reihe der Takte hält. So erscheinen in den ersten beiden Abschnitten Takt 1–2 und, davon zunächst unabhängig, Takt 3 des ersten Gedankens, im 3. Abschnitt Takt 3–4 ebenfalls des ersten Gedankens und endlich im 4. Abschnitt die Takte 1–4 des zweiten Gedankens” (Schenker 1912, 75). This is similar to Hepokoski and Darcy’s concept of rotation, which they define as “those [structures] that extend through musical space by recycling one or more times—with appropriate alterations and adjustments—a referential thematic pattern established as an ordered succession at the piece’s outset” (2006, 611). This is also related to Koch’s ([1782–93] 1983) *Anlage*.

<sup>145</sup> “Ein solcher Mangel an einer bestimmten Hauptdiatonie, zu deren Gunsten chromatische Scheintonarten sonst angenommen werden müssten, tritt am häufigsten in den sogenannten Durchführungspartien der zyklischen Werke hervor. Ja, jener Mangel ist sogar als das wesentliche Merkmal solcher Abschnitte zu bezeichnen, so daß es sicher der Absicht des Autors zuwiderlaufen würde, wenn wir uns hier eigens abmühen wollten, eine womöglich kontinuierliche Diatonie künstlich und willkürlich zu konstruieren. Hier ist es daher einzig richtig, und zwar nur eben weil das Interesse einer Diatonie wegfällt, alle Tonarten für wirklich, d.h. die Modulationen für definitiv zu nehmen” (Schenker 1906, 397).

In the case of the development from the first movement from Beethoven's Ninth, the first *Abschnitt* remains in the key of G minor throughout. The second *Abschnitt* modulates to the key of C minor. The third *Abschnitt* is much longer than the others: beginning "in the manner of a *double fugue*," it modulates through three different keys while on its way from C minor to A minor (see table 3.3.2 above).<sup>146</sup> The fourth *Abschnitt* modulates from A minor to F major, but the tonal motion that stitches the seam between the end of the development and the beginning of the recapitulation (mm. 300–1) is never mentioned, including possibly hearing a dominant *Stufe* in the primary key (D minor) in the measures leading up to the recapitulation. Instead, this tonal retransition is left to the recapitulation through the *Stufengang*  $I^{#3}-\#IV^7-[V]-I^{#3}$ , which navigates its way from a major tonic *Stufe* in the key of D minor—a product of chromaticism rather than mixture because this tonicizes the following subdominant *Stufe*—back to its original minor form.

Motivic transformations and local modulations are also the focus of Schenker's analyses of the developments from Beethoven's late piano sonatas. Some of these development sections deviate from a strict ordering of the themes as they occur in their respective expositions. For example, while the development from Beethoven's Piano Sonata in E Major, op. 109/i, begins with an idea belonging to the first theme, soon two new motives are introduced and persist throughout the rest of this section (Schenker [1913] 2015, 1:26–31). In contrast, the development from Beethoven's Piano Sonata in A-flat Major, op. 110/i, is based on only one idea from the first theme (Schenker [1914] 2015, 2:45–47).

The development from Beethoven's Piano Sonata in A Major, op. 101/i, is also based on motivic material from the first theme (Schenker [1921] 2015, 4:35–38). In example 3.3.18(a),

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<sup>146</sup> "Die Verarbeitung der Takte 3 und 4 geschieht zunächst nach Art einer Doppelfuge" (Schenker 1912, 81; emphasis original).

Schenker observes that the movement's opening motive (mm. 1–2) returns at the beginning of the development (mm. 35–36).<sup>147</sup> The melodic motive in mm. 35–36 is repeated in mm. 38–39— notwithstanding the intensification of E $\flat$ <sub>5</sub> in m. 35 to E $\sharp$ <sub>5</sub> in m. 38)—and again a step higher in mm. 41–42. In mm. 43–45, the upper voice repeats only the second half of the motive: the descending third. This interval becomes progressively larger: first as the descending fourths in mm. 46–47, and then as a descending fifth in mm. 48–49. (The descending fifth is also accompanied by rhythmic augmentation: the dotted quarter notes in mm. 42–47 become half notes in mm. 48–49.) Schenker relates the descending melodic line in mm. 50–51 to the second half of the first theme (cf. example 3.3.16, mm. 3–4, on p. 283), in effect retracing the motivic content of mm. 1–4 over the course of the entire development.

Contrary to the approach described in Beethoven's Ninth Symphony, the analysis of the development's tonal trajectory in op. 101 gains significantly greater diatonic unity (*Diatonie*). Example 3.3.18(b) illustrates what he describes as the “logic and daring” (*Logik und Kühnheit*) of the overall harmonic framework. While the development begins in the subordinate key (E major; mm. 35–37), mm. 38–43 are heard locally in the key of F-sharp minor ( $V\frac{7}{4}$ –I) and *prospectively* in the primary key (A major). This reinterprets the local F $\sharp$  tonic *Stufe* in mm. 41–43 as a submediant *Stufe* (I/VI). At a deep level, this submediant *Stufe* progresses by falling fifths (VI–II–V–I) during the development and leading into the recapitulation. In example 3.3.18(b), the recapitulation begins on a dominant *Stufe* in m. 55. Schenker is able to hear beyond what otherwise might be interpreted as local key changes—F-sharp minor in m. 41, D major in m. 46, B minor in m. 48, and C-sharp minor in m. 53—and integrate this larger harmonic motion into a single *Stufengang* that points toward the return of the primary key in the recapitulation. Indeed,

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<sup>147</sup> Example 3.3.18(a) begins where example 3.3.16 left off.

**EXAMPLE 3.3.18** Beethoven, Piano Sonata in A Major, op. 101/i, development

(A) Sketch, mm. 35–55 (Schenker 1921, 32, fig. 17)

(B) Harmonic framework, mm. 41–55 (Schenker 1921, 33, fig. 19)

the recapitulation “hangs in the air,” just as the underlying *Stufengang* ventures across a formal division that might otherwise separate the end of the development from the beginning of the recapitulation for its completion.<sup>148</sup> Descriptions of large-scale tonal coherence in sonata-form expositions had existed already (Schenker [1906] 1954 246–49; see § 2.5.3), but until 1921,

<sup>148</sup> Schenker writes *V zu I* at the end of example 3.3.18(b). Compare this with his later conception of sonata form, where interruption closes off the voice leading between the end of the development and the beginning of the recapitulation, thus fully recognizing a formal division.

similar coherence had not yet been described in development sections. This was due to the many changes in key that are typically found in the development—modulations that Schenker considered “real,” as we saw in Beethoven’s Ninth Symphony (table 3.3.2, p. 286).

§ 3.3.3. The Recapitulation (*dritter Teil*): Beethoven’s Symphony no. 9 in D Minor, op. 125/i, Piano Sonata in F Major, op. 10, no. 2/i, and Late Piano Sonatas (op. 101/i and op. 111/i); W. A. Mozart’s Piano Sonata in D Major, K. 311/i; Other Works

Of sonata form’s three main sections, Schenker’s early conception of the recapitulation (*dritter Teil*, *Reprise*, or *Wiederholung*) is the most under-theorized. This is to be expected since, as Charles Rosen (1988, 284) writes, “Theorists of the eighteenth century and later have traditionally paid less attention to the recapitulation than to other sections of the sonata—giving, in the eighteenth century, the impression that the composer was free to do much as he liked, and, in the nineteenth, that the repetition of the opening material was a cut-and-dried affair.” In the “Niedergang” typescript, Schenker simply claims that “the task of the recapitulation is to repeat the content of the first section in full” ([1905–6] 2005a, 51).<sup>149</sup> But he qualifies this claim, for

the principle of diversity and variety applies here, too. This explains why the masters liked to reproduce the content of the first part [exposition] with all sorts of delays, variations, expansions, and contractions; every caprice is appropriate, diversity alone is reason enough for these changes. To look for deeper reasons is entirely futile; for how could one find a reason that was even deeper than the most artistic and natural requirement of variety and diversity? (Schenker [1905–6] 2005a, 51).<sup>150</sup>

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<sup>149</sup> “Die Reprise hat im Grunde zwar die Aufgabe, den ersten Teil vollinhaltlich zu wiederholen” (Schenker [1905–6] 2005a, 151).

<sup>150</sup> “Jedoch schwebt auch über < … > das Gesetz der Mannigfaltigkeit oder Varietät. Darauf beruht es denn, dass die Meister in der Reprise den Inhalt des ersten Teiles nur mit allerhand Verschiebungen, Veränderungen, Erweiterungen und Verkleinerungen zu reproduzieren lieben, alle Laune behält Recht und Mannigfaltigkeit allein ist Grundes genug. Nach tieferen Gründen zu forschen ist völlig vergebens, denn wie wollte man noch einen tieferen

Schenker seems unable to theorise what occurs in the recapitulation beyond vague notions of repetition and variation. In all of the diagrams in example 3.3.2 (pp. 240–41), the parts that make up each recapitulation are never outlined in the same detail as the parts that make up each exposition. More importantly, in the “Niedergang” typescript, any mention of the recapitulation’s expected tonal adjustments relative to what occurred in the exposition is absent. From the first issue of *Der Tonwille* ([1921–23] 2004) to *Der freie Satz* ([1935] 1979), this is characteristic of Schenker’s later work as well. Often voice-leading sketches leave off at the end of the development (Marvin 2012–13, 224–26, exx. 4 and 5).<sup>151</sup> In these sketches, Schenker simply writes *und so weiter* (*u.s.w.*) for the recapitulation. We saw this already in example 3.3.18(a): the sketch of the development from Beethoven’s op. 101/i.

Because Schenker’s early *Formenlehre* offers few criteria for what defines a recapitulation, we might compare his published analyses of sonata forms by Beethoven dating from the 1910s to criteria proposed more recently. In particular, we might investigate how Schenker’s analyses conform to James Webster’s (n.d., § 3/iii) concept of the double return, or the idea that a recapitulation proper requires the return of the first theme in the primary key.<sup>152</sup> We might also

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Grund finden, als den des künstlerisch [*sic*] so natürlichen Bedürfnisses nach Abwechslung und Mannigfaltigkeit?” (Schenker [1905–6] 2005a, 151).

<sup>151</sup> Studies that specifically consider the recapitulation from a Schenkerian voice-leading perspective include Burstein (2005b, 2011), Hur (1992), Inman (2014), McGuire (1995), Marvin (2012–13), and Suurpää (2005).

<sup>152</sup> Webster (n.d., § 1/i) states, “The second part of a sonata-form movement is longer than the first; it comprises two sections, the development and the recapitulation. The central structural event, distinguishing sonata form from all others that begin with an exposition, is the simultaneous return of the main theme and the tonic key in the middle of the second part. Neither a simple restatement of the main theme alone, nor a simple return to the tonic alone, has the intense impact of this simultaneous return.” Although it is true that together a return of the tonic key and main theme creates an immense impact, whether these are both necessary conditions for a recapitulation in a sonata-form movement perhaps remains an open question; see chapter 1 in Hoyt (1999).

consider how the various tonal adjustments made typically in the recapitulation are described—particularly the ways that the *Modulationspartie* and II. *Gedanke* are handled, and whether these sections are stated in the primary key or some other key. But we also must be cautious: few documents regarding the recapitulation are extant in the Oster Collection, and the analyses published in the 1910s might risk telling us more about what occurs in Beethoven’s late sonata forms than Schenker’s more general conception of the recapitulation.

Schenker’s analysis of the recapitulation from the first movement of Beethoven’s Ninth Symphony largely adheres to the idea of the double return ([1912] 1992, 105–36). The beginning of the recapitulation (m. 301ff.) is similar to the movement’s introduction, “since, as we know, Beethoven treats the Introduction as an organic component of the principal theme” (105; see example 3.3.2[a], p. 240).<sup>153</sup> Other than observing that the primary key returns, there is no mention of the recapitulation providing any large-scale tonal resolution.<sup>154</sup> The tonal modifications made in the *Modulationspartie* largely go unmentioned, although Schenker does describe how, “[i]n order to preserve the major quality of the corresponding [second] theme in the First Part, the second theme here begins likewise in major, thus in D major” (111).<sup>155</sup> This is a common procedure in the recapitulation for minor-mode sonata forms that allows the second theme to be restated in the global tonic while still maintaining the major-mode quality from the exposition, since there the second theme is usually stated in the key of the relative major.

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<sup>153</sup> “Die Reprise beginnt mit Takt 301, da, wie wir wissen, Beethoven die Einleitung als organischen Bestandteil des Hauptthemas behandelt” (Schenker 1912, 95).

<sup>154</sup> Again, the famous D-major harmony in  $\frac{6}{8}$ -position that begins the recapitulation tonicizes a subdominant *Stufe*, all in the key of D minor (the entire *Stufengang* is  $I^{\#3}-\#IV^{\flat}-[V]-I^{\sharp 3}$ ).

<sup>155</sup> “Der zweite Gedanke beginnt, um den Durcharakter des korrespondierenden Gedankens im ersten Teile beizubehalten, ebenfalls in Dur, hier also in D-dur” (Schenker 1912, 102).



In Schenker's ([1921] 2015, 4:41) analysis of Beethoven's Piano Sonata in A Major, op. 101/i, the recapitulation begins in m. 55ff. over a dominant *Stufe* in the primary key.<sup>156</sup> This off-tonic return is similar to the opening of the first theme (see example 3.3.16, p. 283), which also began over a dominant *Stufe* in mm. 1–2 (although the recapitulation changes mode from A major to A minor).<sup>157</sup> The reprise conforms to the idea of the double return, but, complicating matters somewhat, the primary key does not return at the onset of the recapitulation *per se*, since Schenker also heard the development in this key (see example 3.3.18[b], p. 290). A more restrictive version of the double return might require that the recapitulation begin on a tonic *Stufe* in the primary key, but Schenker does not adhere to this idea.

In the recapitulation, the first theme is shortened, “so that as early as bar 58 we have arrived at the point where formerly the amalgamation of consequent phrase and second theme (see bars 7ff.) had already occurred,” but “[f]rom here on . . . the Reprise takes its normal course” (41; see example 3.3.16, mm. 5–8, on p. 283).<sup>158</sup> There is no mention of the tonal adjustments that occur, including the restatement of the II. *Gedanke* in the primary key. Presumably this is considered a matter of due course.

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<sup>156</sup> A somewhat related situation occurs in the recapitulation from Beethoven's Piano Sonata in F Minor, op. 57/i. Schenker's graph in *Der frei Satz* ([1935] 1979, fig. 154.4) shows the recapitulation beginning with the primary theme heard over a dominant *Stufe* in m. 135, although a  $\frac{6}{4}$ -chord is initially heard over this dominant pedal, resulting in a local F-minor harmony.

<sup>157</sup> Schenker's conception of key incorporates mixture, so that we might more accurately refer to the key of A major/minor; see Rothstein (2001, 214) and Schenker ([1906] 1954, 87, ex. 68). The distinction between D major and D minor in the recapitulation of the Ninth Symphony presents a different situation: the major tonic harmony ( $I^{*3}$ ) is understood as the result of a chromatic alteration (tonicization) rather than mixture.

<sup>158</sup> “so daß wir bei T. 58 schon gleich dort angelangt sind, wo sich im ersten Teile bereits der Nachsatz mit dem 2. Gedanken mischte (s. T. 7ff.). Von hier aber nimmt die Reprise ihren regelmäßigen Fortgang” (Schenker 1921, 34).

On the other hand, the tonal adjustments made in the recapitulation from the first movement of Beethoven's Piano Sonata in C Minor, op. 111, are described at length (Schenker [1915] 2015, 3:60–69). The *Modulationspartie* (m. 100ff.) moves through four different keys: F minor, B-flat minor, D-flat minor, ultimately returning to the primary key of C minor. This is “a detour that is needed to provide full justification to the repetition of the modulating section within the framework of the Reprise” (60). The II. *Gedanke* (m. 116ff.) begins in what at first seems like the key of C major. But as example 3.3.19 illustrates, this C-major harmony is ultimately reinterpreted as a dominant *Stufe* in the key of the subdominant (F minor) in m. 124ff. An authentic cadence in the primary key is finally achieved in m. 135, perhaps marking the end of the second theme and the beginning of the closing theme.<sup>159</sup>

The recapitulations in these sonatas all begin with material from their respective first themes set in their respective primary keys, even if, as we saw in op. 101/i, a recapitulation might begin on a *Stufe* other than the tonic. Yet Schenker did not require a return of the first theme at the beginning of the recapitulation in all cases. See example 3.3.20: Schenker's form diagram from the Oster Collection of Mozart's Piano Sonata in D Major, K. 311/i. The themes in this recapitulation occur in a different order than they are presented in the exposition; namely, the recapitulation (clearly labeled *Rp.* for *Reprise*) begins with the II. *Gedanke*, followed by the III. *Gedanke* and the I. *Gedanke*.<sup>160</sup>

From these analyses we can surmise a less restrictive version of the double return. Schenker's conception of the recapitulation (1) begins on a *Stufe* (not necessarily the tonic) heard

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<sup>159</sup> For a second theme that makes a more radical swerve toward the subdominant in the recapitulation, see Schenker's description of Beethoven's Piano Sonata in A-flat Major, op. 110/i (Schenker [1914] 2015, 2:50–52).

<sup>160</sup> Webster, by comparison, might not consider this a true sonata form for this reason.

**EXAMPLE 3.3.19** A harmonic reinterpretation within the II. *Gedanke*: Beethoven's Piano Sonata in C Minor, op. 111/i, recapitulation, mm. 122–23 (Schenker 1915, 47, fig. 62)

C dur: I<sup>7</sup>  
F moll: V<sup>43</sup> VI

**EXAMPLE 3.3.20** Form diagram: Mozart's Piano Sonata in D Major, K. 311/i (OC 83/120; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Mozart  
Sonate No 9  
Ddur  
I-II (III)  
Df.  
Rp. II-III-I!

in the primary key, either prospectively or retrospectively; and (2) begins with thematic material heard in the exposition, although this does not have to be the first theme. These criteria are similar to Schenker's position in *Der freie Satz* ([1935] 1979, 137–38), although for somewhat different reasons:

Since the principle of division necessitates the closure of the fundamental line and the bass arpeggiation, a return to the *main key* is understood for the recapitulation. When the main tonality is thus secured, it is also possible to take some liberty in restating the content of the exposition.<sup>161</sup> (Schenker [1935] 1979, 137; emphasis mine)

Schenker goes on to describe how, for example, in the first movement of Beethoven's Piano Sonata in F Major, op. 10, no. 2, the recapitulation begins with what seems to be a tonic harmony in the key of D major—but, in retrospect, this is properly understood as a submediant *Stufe* on its way to the tonic in the primary key of F major (VI<sup>#3</sup>–II–V–I). (Notice that both the D-major and F-major harmonies are able to support the *Kopftön* A [3].) Years earlier Schenker recognized a similar off-tonic beginning in the recapitulation from the first movement of Beethoven's Violin Sonata in A Minor, op. 47, writing, “at the beginning of the Reprise, where at first, in place of the principal key, A minor, the key of the subdominant, D minor, appears, in fact to give the impression that it was itself the intended one; but as early as the consequent of the first theme D minor gives way to the principal key” (Schenker [1914] 2015, 2:52n23).<sup>162</sup> In either case, whether before Schenker had discovered the idea of the *Urlinie* (op. 47/i) or after (op. 10, no. 2/i), the language is the same: the recapitulation is understood primarily as a return to the *Haupttonart*. When the primary key is apparently displaced by some other key, the latter is retrospectively understood as a composed-out *Stufe* (or *Stufe als Tonart*) that is part of a larger harmonic progression that points toward the primary key's tonic *Stufe*. In other words,

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<sup>161</sup> “Mit der Notwendigkeit, gemäß dem Gesetz der Gliederung den Urlinie-Zug und die Baßbrechung abzuschließen, ist im Wiederholungsteil die Rückkehr der Haupttonart vorgezeichnet. Wenn solcherart die Haupttonart gesichert ist, wird es auch möglich, sich verschiedenen Freiheiten in der Wiederverwendung des Hauptteilinhaltes hinzugeben” (Schenker 1935, 222).

<sup>162</sup> “zu Beginn der Reprise, wo statt der Haupttonart A moll vorerst die Tonart der Unter-Dominante, D moll, erscheint, und zwar um den Eindruck zu erwecken, als wäre gerade sie die intendierte; schon aber im Nachsatz des 1. Gedankens weicht D moll der Haupttonart” (Schenker 1914, 41).

recapitulations can begin with an auxiliary cadence; the beginning of the recapitulation does not have to coincide with the resumption of the *Kopfton* supported by a tonic *Stufe* in the primary key.<sup>163</sup> And regarding the return of thematic material from the exposition, in *Der freie Satz* Schenker writes, “Even a reordering of the original sequence of the material is possible in the recapitulation, since the fundamental line and the bass arpeggiation ultimately restore the balance” (138).<sup>164</sup> We saw this reordering earlier in Mozart’s K. 311/i (example 3.3.20). Now that the *Urlinie* and the *Bassbrechung* together guarantee coherence, an even greater freedom of form is made possible. As chapter 4 will show, this view betrays Schenker’s earlier concept of synthesis rather than the monism that characterizes so much else in *Der freie Satz*.<sup>165</sup>

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<sup>163</sup> Schenker never explicitly claimed that the beginning of the recapitulation must coincide with the resumption of the *Kopfton* supported by a tonic *Stufe* in the primary key in the foreground, although he might have arrived at this position with respect to the middleground had he lived longer. For example, compare his voice-leading sketches of Mozart’s Piano Sonata in C major, K. 545/i, in the fourth issue of *Der Tonwille* (1921–23) 2004, 157) and *Der freie Satz* ([1935] 1979, fig. 47.1). Schenker first heard the recapitulation beginning in m. 42ff. in the key of the subdominant (F major); the local F-major tonic, which coincides with the return of the first theme, is then reinterpreted as a subdominant *Stufe* in the primary key (C major). In Schenker’s later sketch, the recapitulation apparently coincides with the arrival of the *Kopfton* ( $\hat{3}$ ) over the tonic *Stufe* in C major in m. 53 rather than with the entrance of the first theme in m. 42, which according to this analysis, occurs within the development (Kalib 1973, 1:254, 273–76; Snyder 1991, 57ff.).

<sup>164</sup> “Auch Umstellungen sind in der Reprise zulässig, da zum Schluß Urlinie und Brechung das Gleichgewicht doch wieder herstellen” (Schenker 1935, 222).

<sup>165</sup> See note 80 (p. 236) for more on synthesis versus monism in Schenker’s work.

## CHAPTER 4

## TOWARD AN ORGANIC APPROACH TO FORM

The whole modern conception of the world is founded on the illusion that the so-called laws of nature are the explanations of natural phenomena.

Thus people today stop at the laws of nature, treating them as something inviolable, just as God and Fate were treated in past ages.

—Ludwig Wittgenstein, *Logisch-Philosophische Abhandlung* (1921)

## § 4.1. INTRODUCTION

In 1921 Schenker described the *Urlinie* in print for the first time—although soon after developing this idea, his conception of musical form remained largely unchanged.<sup>1</sup> His approach in the early 1920s was one of accommodation: a nascent theory of organic voice leading operated alongside the more traditional *Formenlehre* described in chapter 3. By the following decade, however, the *Urlinie* had become the basis for a causal theory—which is to say, an *organic theory*—of musical coherence.<sup>2</sup> Near the end of his career, Schenker came to believe that the *Urlinie*, through the background's dynamic transformation into the foreground, generated all aspects of a composition, including its form.

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<sup>1</sup> See Schenker ([1921] 2015, 4:8ff.) and Pastille (1990b, 74–77).

<sup>2</sup> For the integral relationship between causality and organicism in Schenker's thought and its roots in Kant's philosophy, see Korsyn (1988, 21–22). Also see appendix 3.

In the early issues of *Der Tonwille* ([1921–23] 2004), Schenker would often present a voice-leading sketch and demarcate large sections of the form according to key areas (*Stufen als Tonarten*) and thematic resemblances rather than melodic factors based on the *Urlinie*. Melodic factors were, however, correlated with more local formal articulations, usually at the level of the *Taktgruppe* (four to eight measures). For example, an incomplete stepwise melodic descent unfolding over the course of a *Vordersatz* might be answered and completed in the *Nachsatz*. The first melodic descent ends on  $\hat{2}$  over a dominant *Stufe*, while the second descent ends on  $\hat{1}$  over a tonic *Stufe*.<sup>3</sup>

The relationship between melodic descent (incomplete, then complete) and the *Periode* schema anticipates the concept of interruption (*Unterbrechung*), particularly when the *Nachsatz* repeats the same thematic idea heard in the *Vordersatz* (Marvin 2011). Through interruption, Schenker was able to relate voice leading and formal articulation more directly and on a much larger scale (Samarotto 2005). As a result, form was redefined primarily according to divisions (*Glieder*) of the *Urlinie* and its replicates at multiple levels. The question, then, is to what extent was Schenker’s conformational approach to form still operating covertly, even here (C. Smith 1996, 193–95)?

The schematic forms purportedly derived from articulations of the *Urlinie* and composed-out *Stufen* existed long before the idea of the *Urlinie* was developed, as we saw in chapter 3. This accords with Nicholas Cook’s (2007, 285) claim that the approach to form expressed in *Der freie Satz* represents “the rehabilitation of certain aspects of what Schenker saw as ‘false theory,’” or

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<sup>3</sup> We saw this in the first eight measures of example 3.2.18 (p. 223): Schenker’s sketch of Beethoven’s Piano Sonata in F Minor, op. 2, no. 1/ii, from the second issue of *Der Tonwille* ([1921–23] 1990, 2:suppl., 3).

what I described as the *Formenlehre* tradition in chapter 1. Beginning in the mid-1920s, Schenker reimagined form, which is inherently discontinuous, in the terms of its opposite: the continuity of voice leading. Bloom's (1973, 14, 49–73) revisionist ratio of completion through antithesis (*tessera*) captures Schenker's final response to the “paradox” posed by the generative and conformational approaches inherited from the nineteenth century.<sup>4</sup>

As we saw in chapter 2, Schenker's early generative theory was based on two long-established ideas: *motivische Arbeit* and *Stufentheorie*. Melody and harmony converged in *Harmonielehre* ([1906] 1954, 20), where new motivic variants required new harmonies (and *vice versa*). As a result, melody (*qua* motives) was connected with the logic of the *Stufengang* at local levels to some extent, even if the precise nature of this relationship was unclear. Later, in chapter 3, we saw how Schenker's early conformational approach to form was influenced by Marx's taxonomy of increasingly complex full-movement forms—an idea that was perpetuated by later theorists, such as Riemann and Krehl. Both generative and conformational approaches coexisted in Schenker's analyses dating from the 1910s, including those of Beethoven's Ninth Symphony and late piano sonatas.

Yet, as we saw near the end of chapter 1, a theoretical impasse emerged in Schenker's “Geist” essay ([1895] 2007, 328) and persisted well into the twentieth century: in order for music to be truly organic, what causal mechanism would animate it from the inside out (Korsyn 1988, 44–56; Cook 2007, 65, 70)? And if a masterwork's form results from its content's organic growth

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<sup>4</sup> Mark Evan Bonds writes, “Definitions of musical form almost inevitably call attention to the paradox by which a single term can be applied with equal justification to two fundamentally different concepts: form as an aggregate of features that many unrelated works have in common, and form as an element of that which makes an individual work unique. . . . this paradox is useful, for it reminds us that no single perspective . . . is sufficient by itself” (1991, 13).



and development, how might we trace a connected path from the smallest motive to an entire movement in sonata form? (Ironically, this was the same problem that the nineteenth-century *Formenlehre* tradition, which Schenker apparently rejected, had attempted to solve.) Put even more strongly, how might we unify the generative and conformational approaches by demonstrating that the latter is merely a byproduct of the former?<sup>5</sup> According to this view, forms are what Cook characterizes as “epiphenomena, simply the outcomes of deeper processes” (2007, 285). Of course, Schenker had long valued content over form—a belief that predates the *Urlinie*, or the idea that music is generated from background to foreground.

This chapter outlines how Schenker attempted to solve these difficulties in the early to mid-1920s. In § 4.2, I show how his generative approach to form based on *motivische Arbeit* and *Stufentheorie*, when combined with the concept of melodic fluency (*fließender Gesang*), gave rise to the *Urlinie* (Pastille 1990b, 71–73). Through this idea, Schenker was able to organize a work into well-defined layers of voice leading (*Schichten*) arranged logically, although he was still left with a generative approach on one hand and a conformational approach resembling a more traditional *Formenlehre* on the other. Again, if the masterworks are to be truly organic, animated by some causal mechanism, he needed a way to unify these approaches.

I show in § 4.3 how this desire for unity contrasts with the aesthetics of August Halm, Schenker’s contemporary and frequent correspondent. Halm, in *Von zwei Kulturen der Musik* ([1913] 2008), divided music into two cultures: (1) the fugue, which embodies melodic development and formal continuity; and (2) the sonata, which embodies harmonic and thematic contrast. In a direct yet covert response to Halm, Schenker synthesized these ideals into what I

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<sup>5</sup> Charles Smith (1996) claims quite the opposite—namely, that the outer form should determine aspects of the middleground and background voice leading through analysis.

call a *monoculture of organicism* by juxtaposing two essays in *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996, 23–54): one on the organic nature of fugue, the other on the organic nature of sonata form. Halm combined these cultures into what he regarded as a grand synthesis of musical forces in Bruckner's symphonies (Halm 1913, 253–54).

In this chapter, I also argue that Schenker's desire to identify music's origins through a causal mechanism was motivated by his deeply held Jewish faith, particularly his monotheistic religious beliefs.<sup>6</sup> But as he was striving toward a more unified approach based on the background's transformation into the foreground, perhaps another force was also at work: that of form or grouping. Indeed, form exerts its own force, a force that *also* influences voice leading: their relationship is reciprocal rather than unidirectional (Brody 2015). In fact, as a matter of history, Schenker's traditional *Formenlehre* may have guided him from the surface to the depths of the *Ursatz* (C. Smith 1996).

Some of the theoretical ideas in this chapter originated through conversations with Frank Samarotto. These ideas include the dichotomy between the continuity of counterpoint and the discontinuity of form, the importance of fugue for understanding Schenker's work in the 1920s, and the idea that form largely determines interruption rather than *vice versa* (Samarotto 2005). The philosophical ideas presented in this chapter—particularly as they relate to causality, organicism, synthesis, and monism—are indebted to the last chapter of Nicholas Cook's *The Schenker Project* (2007), as well as to Cohn (1992a, 1992b), Lubben (1993), and Korsyn (1988). My aim is to show how these ideas, both theoretical and philosophical, together inform Schenker's late *Formenlehre*, while doing so in the context of his earlier work.

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<sup>6</sup> In addition to these religious beliefs, we should also include the influence of Goethe on Schenker's thought; see Pastille (1990a).

## § 4.2. FROM SYNTHESIS TO MONISM: THE MOTIVE REDEFINED

*Music is the living motion of tones in  
the space given in Nature.*

—Heinrich Schenker, “Der Kunst der  
Improvisation” (1925)

Schenker found a solution to the problem of musical causality through the *Urlinie*. A complete history of this concept is beyond the scope of this dissertation, but consider two theoretical constructs from his early work that likely coalesced into this idea: (1) motives express harmonies; and (2) melodies move predominantly by step.<sup>7</sup> The first idea can be traced back to *Harmonielehre* ([1906] 1954, 20). The second idea, what Schenker called melodic fluency (*fließender Gesang*), can be traced back to *Kontrapunkt*, book I ([1910] 1987, 94–100; see Pastille 1990b, 71–73). In other words, the *Urlinie* is a melodically fluent motive propelled forward in time by the resolution of dissonance via passing tones as it composes-out harmonic space (i.e., the intervals provided by Nature through the consonant triad, which is generated by the overtone series).<sup>8</sup> Or, as Cook writes, the “development of the *Urlinie* concept resulted in a redefinition of the motive” (2007, 256).<sup>9</sup> Schenker’s challenge in the 1920s was to investigate the extent to which the *Urlinie* might control progressively longer spans of music.

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<sup>7</sup> See Pastille (1990b) for a history of the *Urlinie* and *Ursatz* in Schenker’s publications. Neumeyer (1987, 276–79) also briefly outlines a history of the *Urlinie*, particularly as this history relates to melodic contour. An *Urlinie* could either ascend or descend according to Schenker’s early conception, but later it was limited to descending lines, likely due to the sense of closure that melodic descent engenders. See Burnham (1995, 90–98) for a discussion of the *Urlinie* as it relates to *Stufen* and surface-level motives in Schenker’s analysis of Beethoven’s Fifth Symphony from *Der Tonville* ([1921–23] 2004, 25–33; [1923–24] 2005b, 8–30).

<sup>8</sup> For a history of Schenker’s changing conception of the motive, see Cadwallader and Pastille (1992); also see Cadwallader (1988).

<sup>9</sup> In this regard, see Cohn (1992b, 152–53).

§ 4.2.1. Continuous Melodies and Forms: J. S. Bach's Prelude no. 8 in E-flat Minor, *The Well-Tempered Clavier*, book I, BWV 853, and Little Prelude no. 5 in D Minor, BWV 926

The following examples, both preludes by J. S. Bach, illustrate how the *Urlinie* evolved from a local motivic idea to a melodic force that determines the course of an entire composition. See example 4.2.1: a sketch of J. S. Bach's Prelude in E-flat Minor, published in the first issue of *Der Tonwille* (Schenker [1921–23] 2004, 34).<sup>10</sup> The notes belonging to each instance of the *Urlinie* are grouped together through brackets above the treble-clef staff—the same notation that was used to identify motives in *Harmonielehre*. Schenker writes,

It is immediately evident here that the *Urlinie* has the form of what is in essence a three-note motive, whose reproductive urge . . . gives birth to countless repetitions. Granted, such a motive, since it has just three notes, is in itself nothing more than the elaboration [*Auskomponierung*] of any given space of a third, and its repetition is also, in itself, nothing more than a repetition; but here, how differently does each execution of the motive take shape, and how differently does each repetition appear! How suddenly the chords change in quantity and harmonic meaning in order to bring forth that three-note succession and, especially, how multifarious is the manner in which the repetitions are interwoven with one another.<sup>11</sup> (Schenker [1921–23] 2004, 34)

The *Urlinien* in example 4.2.1, like the motives in *Harmonielehre* ([1906] 1954, 4–7, 20), are subject to repetition and express an underlying harmony (or, as in the above quotation, the space of a third as contextualized by some underlying harmony). Many instances of the *Urlinie* occur throughout this prelude, for it is a relatively local phenomenon that spans only a few measures.

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<sup>10</sup> See Lubben (1993, 61–62) for additional commentary on this prelude, including the inconsistencies in Schenker's sketch.

<sup>11</sup> “Hier fällt zunächst auf, daß schon die Urlinie die Form eines im Grunde dreitönigen Motivs hat, dessen Fortpflanzungstrieb . . . zahllose Wiederholung gebiert. Wohl ist an sich ein solches Motiv, weil eben dreitönig, bloß Auskomponierung eines beliebigen Terzraumes, an sich ist auch dessen Wiederholung nichts weiter als eben nur eine Wiederholung, aber hier, wie immer anders gestaltet sich die Gewinnung des Motivs und wie immer anders erscheint die Wiederholung! Wie wechseln, um jene dreitönige Folge hervorzubringen, allzumal die Klänge an Zahl und Stufenbedeutung, namentlich aber wie mannigfaltig ist die Art, in der die Wiederholungen aneinandergeknüpft erscheinen” (Schenker [1921–23] 1990, 1:38).

**EXAMPLE 4.2.1** Voice-leading sketch: J. S. Bach's Prelude no. 8 in E-flat Minor, *The Well-Tempered Clavier*, book I, BWV 853 (Schenker [1921–23] 1990, 1:38, fig. 1)

Yet Schenker also reveals conceptions of the *Urlinie* through this analysis that we usually associate with his later work. He describes the melodic motion  $G_b_5$ – $F_b_5$ – $E_b_5$  (mm. 4–6) in the terms of what amounts to an obligatory register; in fact, he is often interested in the play of registers in this analysis (35).<sup>12</sup> And he implies a tone,  $D_b_6$  in m. 16, to guarantee a complete third-progression in mm. 16–19 ( $[D_b_6]$ – $C_b_6$ – $B_b_5$ ). These ideas, both involving aspects of melodic fluency, were certainly not part of his earlier conception of the motive.

Few clues in this sketch reveal how Schenker might have heard this prelude's form, although his commentary suggests that it is divided into two large sections, plus a coda. The first section (mm. 1–16) modulates from the key of E-flat minor to the key of B-flat minor through a pivot chord in m. 10 (I/IV). Schenker does not observe a cadence *per se* in m. 16, writing only,

<sup>12</sup> See Schenker's description of obligatory register in *Der freie Satz* ([1935] 1979, 107–8).

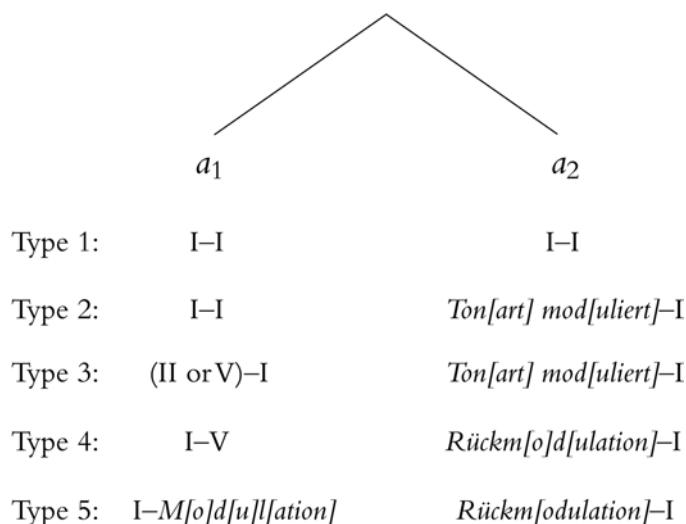
“[w]ith the tonic at the beginning of bar 16, the first section of the piece has come to a close; there now follows the return through A-flat minor to the principal key of E-flat minor” (35).<sup>13</sup> The motion away from the primary key in the first part of the prelude (mm. 1–16), followed by a return to the primary key (*Rückleitung*) in the second part (mm. 16–37), resembles the tonal layout of Schenker’s type-5 two-part form, shown in example 4.2.2. Whether he would also hear the thematic relationship between these two parts as  $a_1$ – $a_2$  is unknown, but perhaps he might, given the possible resemblances between the *Urlinien* in m. 1ff. and m. 16ff. Regardless, the form in this case is defined primarily by the key areas: first as a modulation away from the primary key, and then as a return to the primary key.

An exception to this idea involves what occurs near the end of the prelude. After the deceptive cadence in mm. 28–29 (V–IV), Schenker notices that a linear descent from  $E\flat_5$  in m. 29 to  $E\flat_4$  in m. 37 brings the prelude to a close, with a coda following in mm. 37–40 (37). Despite a nascent connection between melodic descent and formal closure, the motion down by step from  $E\flat_5$  beginning in m. 29 is not an octave–progression *per se*, for in keeping with his motivic conception of the *Urlinie*, Schenker subdivides this descent into three overlapping thirds, plus a step:  $E\flat_5$ – $D\flat_5$ – $C\flat_5$  (mm. 29–31),  $C\flat_5$ – $B\flat_4$ – $A\flat_4$  (mm. 31–32),  $A\flat_4$ – $G\flat_4$ – $F_4$  (mm. 32–36), and  $E\flat_4$  on the downbeat of m. 37. Likewise, what might later be heard as a sixth–progression from  $E\flat_4$  down to  $G\sharp_3$ , spanning the coda, is instead divided into two thirds, plus a step:  $E\flat_4$ – $D\flat_4$ – $C\flat_4$  (mm. 37–38),  $C\flat_4$ – $B\flat_3$ – $A\flat_3$  (m. 39), and  $G\sharp_3$  arriving on the downbeat of m. 40. Again, while Schenker might hear this long–range linear motion, a predominantly motivic conception of the *Urlinie*

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<sup>13</sup> “Mit der Tonika zu Beginn des T. 16 ist der erste Teil zu Ende gegangen; nun folgt . . . die Rückleitung über As–Moll zur Haupttonart Es–Moll” (Schenker [1921–23] 1990, 1:40).

**EXAMPLE 4.2.2** Schenker's five types of two-part form (see example 3.2.2[b], p. 189)



inhibits him from showing it in the sketch. How might one integrate the smaller details (motives) with the larger linear motions, all while preserving the identity of the former?

An analysis of J. S. Bach's Little Prelude no. 5 in D Minor, published only two years later, appears to have solved this problem.<sup>14</sup> In example 4.2.3, Bach's prelude is presented in successive layers from simple to complex; or, as Schenker describes, this sketch "shows the gradual growth of the voice-leading prolongations, all pre-determined in the womb of the *Urlinie*" ([1921–23] 2004, 180).<sup>15</sup> Here the *Urlinie* spans the entire prelude (see level *a*).<sup>16</sup> In this sense, we might think of the prelude as a one-part form, although Schenker never says as much in his commentary.

<sup>14</sup> For additional commentary on example 4.2.3, see Lubben (1993, 63–66) and Pastille (1990b, 79–80).

<sup>15</sup> "Die nachstehende Figur [here example 4.2.3] zeigt das allmähliche Anwachsen der Stimmführungsprolongationen, alle vorgebeutet im Schoß der *Urlinie*" (Schenker [1921–23] 1990, 5:8).

<sup>16</sup> Perhaps level *a* anticipates Schenker's concept of the *Ursatz*. However, level *a* represents only the counterpoint between outer voices, whereas the *Ursatz* is a more harmonically oriented framework that also incorporates *Stufen* (Lubben 1993, 66).

**EXAMPLE 4.2.3** Voice-leading sketch: J. S. Bach's Little Prelude no. 5 in D Minor, BWV 926 (Schenker [1921–23] 1990, 5:8, fig. 1)

The image shows a musical score for J.S. Bach's Little Prelude no. 5 in D Minor, BWV 926, with six levels of voice-leading sketches labeled a) through f). Above the staves, measure numbers are indicated: 7, 9, 21, 25, 29, 33, 39, 44, and 45. Level a) shows the beginning of the piece with a treble clef and a key signature of one flat. Level b) shows a long descending line with a slur. Level c) shows a similar line with a slur. Level d) shows a downward-facing slur. Level e) shows a similar line with a slur. Level f) shows the bass line with a slur and Roman numerals: D moll I, V#3, VI, IV, V, I, II VI. The score includes various musical notations such as slurs, ties, and Roman numerals.

The first note of the *Urlinie* (*Kopfton*) is retained throughout the course of an octave-progression from  $F_5$  to  $F_4$  in mm. 7–39 (see the upper slur at level *b*). This descending line embeds third-progressions, which have a motivic function, on two additional levels: (1) the descending third-progression,  $E_5$ – $D_5$ – $C\sharp_5$ , highlighted by the dashed slur at level *d*; and (2) the more local third-progressions shown by the slurs at level *f* in m. 9ff. ( $E_5$ – $D_5$ – $C_5$ ,  $D_5$ – $C_4$ – $B\flat_4$ , etc.). The latter grow from the notes comprising the fifth-progression from  $E_5$  to  $A_4$ , an interval belonging to the dominant harmony (see the downward-facing slur at level *d*, mm. 9–21).

By comparing the sketches in examples 4.2.1 and 4.2.3, we see how Schenker's conception of the *Urlinie* (and linear progressions in general) changed in a short time, from a



local organizing force integrating motives and harmony to a global organizing force integrating an entire composition through successive layers of diminution. In example 4.2.1, the motives (*qua Urlinien*) generate the nascent octave–progression from  $E_b5$  beginning in m. 29, whereas in example 4.2.3, the linear descent from  $F_5$  beginning in m. 7 generates the motives as an outgrowth of a single *Urlinie*. By the fifth issue of *Der Tonwille*, published in 1923, the *Urlinie* had truly become a causal mechanism.

§ 4.2.2. Discontinuous Melodies and Forms: Beethoven’s Piano Sonata in F Minor, op. 2, no. 1/ii; Schubert’s Impromptu in G[–flat] Major, op. 90, no. 3

Let us also compare analyses from early and late issues of *Der Tonwille* that deal with pieces exhibiting more discontinuous melodies and forms. Again, consider the sketch of Beethoven’s Piano Sonata in F Minor, op. 2, no. 1/ii, from the second issue of *Der Tonwille* ([1921–23] 2004, 78), shown in example 4.2.4. Traditional thematic resemblances and key areas define this four-part form: F major for  $A_1$  (mm. 1–16), C major for the *Modulation* and  $B_1$  (mm. 16–30), and a *Rückmodulation* (m. 31) to F major for  $A_2$  (mm. 32–47) and  $B_2$  (mm. 48–61).<sup>17</sup> The *Urlinie*, shown on the topmost treble-clef staff, is coordinated with local levels of the form but it is not in control of the entire movement.

For example, Schenker divides the  $A_1$  section (mm. 1–16) into a three-part song form:  $a_1$  (mm. 1–8),  $b$  (mm. 9–12), and  $a_2$  (mm. 13–16). This schema is correlated with the *Urlinie*:  $a_1$  achieves a complete descent, from  $A_4$  ( $\hat{3}$ ) to  $F_4$  ( $\hat{1}$ ), although this motion is divided into two

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<sup>17</sup> In a four-part form, the  $B_2$  section typically remains in the primary key rather than modulate to a contrasting key.



EXAMPLE 4.2.5 Voice-leading sketch: Schubert's Impromptu in G[-flat] Major, op. 90, no. 3 (Schenker [1923-24] 1990, 10:15, fig. 1)

The image displays five staves of musical notation, labeled a) through e), representing voice-leading sketches for Schubert's Impromptu in G-flat Major, op. 90, no. 3. The staves are arranged vertically, with measure numbers 27, 32, 49, 69, 79, 93, 101, 105, 107, and 109 indicated at the top. Each staff contains musical notation with Roman numerals (I, II, III, IV, V, VI) and other markings such as *molto*, *molto*, *molto*, *molto*, and *molto*. The sketches illustrate the harmonic structure and voice-leading of the piece, with various chords and intervals marked. The notation includes notes, rests, and dynamic markings, providing a detailed view of the harmonic progression and voice-leading in the specified measures.

branches. The first branch, correlated with the *Vordersatz* (mm. 1–4), is incomplete: it reaches only as far as  $G_4$  ( $\hat{2}$ ), which is supported by a dominant *Stufe* in m. 4. The second branch, correlated with the *Nachsatz* (mm. 5–8), is complete: it resumes by re-establishing  $A_4$  ( $\hat{3}$ ) and then descending by step to  $F_4$  ( $\hat{1}$ ). This *Periode* ends with an authentic cadence in m. 16. For the *b* section, a dominant *Stufe* supports a neighbor note ( $B_{b4}$ ,  $\hat{4}$ ), while at the beginning of the  $a_2$  section, this neighbor note resolves to  $A_4$  ( $\hat{3}$ ). The  $a_2$  section creates a greater sense of closure, descending by step from  $A_4$  ( $\hat{3}$ ) to  $F_4$  ( $\hat{1}$ ). Although not explicitly shown in the sketch, Schenker's prose description of mm. 1–16 suggests that the  $a_1$  section is correlated with  $A_4$  ( $\hat{3}$ ) in the *Urlinie* over a tonic *Stufe*; the *b* section is correlated with a neighbor note ( $B_{b4}$ ,  $\hat{4}$ ), supported by a dominant *Stufe*; and the  $a_2$  section returns to  $A_4$  ( $\hat{3}$ ), descending by step to  $F_4$  ( $\hat{1}$ ). No single *Urlinie* unifies the entire movement in an analogous way.

By comparison, see example 4.2.5 above: a sketch of Schubert's Impromptu in G[-flat] Major, op. 90, no. 3, from the last issue of *Der Tonwille* ([1923–24] 1990, 10:15, fig. 1).<sup>18</sup> At level *a*, the  $\hat{3}$ –( $\hat{4}$ )– $\hat{3}$  neighbor motion in the *Urlinie* that was previously correlated with a local three-part form is now correlated with a three-part form that makes up an entire movement:  $a_1$  (mm. 1–48), *b* (mm. 49–108), and  $a_2$  (m. 109ff.). Schenker writes,

What is also special about the path of the *Urlinie* in the  $a_1$ -section is that it lacks the neighbor note  $\hat{4}$  that usually appears in such cases [that is, in the context of a local three-part form]. But the master's intuition is also aware of this, for the middle section (bars 49–108) sets out precisely to achieve the neighbor note  $C_5$ . Since  $\hat{4}$  ( $C_5$ ) did not come about through  $\hat{5}$ – $\hat{4}$ – $\hat{3}$ , it should at least appear as a neighboring elevation [*Überhöhung*] of  $\hat{3}$ . Harmonic degrees of the principal key serve the

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<sup>18</sup> During the nineteenth century, Schubert's impromptu was published in the key of G major rather than the original key of G-flat major. To avoid confusion, I describe the G-major version of the piece, following Schenker's sketch.

neighbor-note structure in the *b*-section: VI–II–V–I (see bars 49, 105, 107, and 109).<sup>19</sup> (Schenker [1923–24] 2005b, 138)

It is significant that only one key is shown at level *a*: it is primarily the  $\hat{3}$ –( $\hat{4}$ )– $\hat{3}$  neighbor motion in the *Urlinie*, along with its accompanying harmonic support (I–VI–II–V–I), that generates the large three-part form.

Yet key changes also support hearing a three-part form, as shown at level *b*: the *a*<sub>1</sub> section is set in G major (mm. 1–48), the *b* section is set in E minor (mm. 49–108), and the *a*<sub>2</sub> section (m. 109ff.) returns to G major through a pivot-chord modulation in m. 101 (I<sup>#3</sup>/VI<sup>!#3</sup>). This leads to a contradiction: although Schenker’s commentary suggests that the three-part form is derived primarily from the  $\hat{3}$ –( $\hat{4}$ )– $\hat{3}$  neighbor motion in the *Urlinie*, he also correlates the three-part form with the disposition of keys (G major–E minor–G major) in the sketch. But the E-minor submediant *Stufe* at level *a*, which is expressed as a key at level *b*, does not support the neighbor note C<sub>5</sub> ( $\hat{4}$ ). Rather, the supertonic and dominant *Stufen* support this note late in the *b* section at m. 105ff.—*Stufen* that are heard locally in the key of G major. In other words, Schenker cannot derive the *b* section from both changes in key (G major to E minor and back) and the neighbor note (C<sub>5</sub>, or  $\hat{4}$ ) at the same level. The form-defining *Stufen* as keys (I–VI–I) do not resemble the more syntactic *Stufengang* I–(II–V)–I that might otherwise support the  $\hat{3}$ –( $\hat{4}$ )– $\hat{3}$  neighbor motion. Instead, the submediant *Stufe* supports a continuous B<sub>4</sub> ( $\hat{3}$ ) in the *Urlinie*, as the sketch shows.<sup>20</sup>

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<sup>19</sup> “Das Besondere am Urlinie–Gang im *a*<sub>1</sub>–Teil ist außerdem, daß er der Nebennote  $\hat{4}$  entbehrt, die sonst in solchen Fällen erscheint. Auch davon aber hatte des Meisters Gefühl Kunde, denn eigens auf die Gewinnung der Nebennote *c*<sup>2</sup> geht dann der Mittelteil T. 49–108 aus: wenn die  $\hat{4}$  (*c*<sup>2</sup>) nicht schon durch  $\hat{5}$   $\hat{4}$   $\hat{3}$  zustande kommt, so sollte sie zumindest als Nebennoten–Überhöhung der  $\hat{3}$  erscheinen. Dem Nebennotenbau im *b*–Teil dienen Stufen der Haupttonart: VI–II–V–I, s. T. 49, 105, 107 und 109” (Schenker [1923–24] 1990, 10:14).

<sup>20</sup> On this basis, the *b* section of compositions in three-part form with  $\hat{3}$  as the *Kopftön* should modulate to the subdominant. The motion  $\hat{3}$ –( $\hat{4}$ )– $\hat{3}$  would be supported by the I–(IV)–I

As Charles Smith has observed, there are two kinds of three-part form derived through a neighbor configuration, “those in which the upper voice moves to a neighbor of the primary note for the middle section (the *neighbor* type); and those in which the primary note remains in effect into the middle section (the *common-tone* type)” (1996, 252; emphasis original). This is an important distinction. In Schubert’s impromptu, if the *Urlinie* had begun on  $\hat{5}$ , Schenker could logically maintain both the underlying I–(VI)–I *Stufen* as keys and the neighbor motion  $\hat{5}$ –( $\hat{6}$ )– $\hat{5}$ . In example 4.2.5, a similar configuration is shown locally within the *b* section, from mm. 49–93 (see level *b*). Hearing this section in the key of E minor, the  $\hat{5}$ –( $\hat{6}$ )– $\hat{5}$  ( $B_4$ –[ $C_5$ ]– $B_4$ ) neighbor motion is coordinated with a modulation, shown at level *e*, from E minor to C major and back. This situation does not present the same problem that we encountered over the course of the entire impromptu. Yet, in both cases, two approaches to musical form are at work in the same analysis: one based on key areas, the other based on articulations of the *Urlinie*.

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progression of *Stufen* realized as foreground keys (and perhaps an underlying dominant *Stufe* in the primary key at the end of the *b* section could also be added, resulting in the *Stufengang* I–IV–V–I). My discussion here is indebted to William Rothstein (2001, 215), who observes a related contradiction between form-defining keys and the hierarchy of *Stufen* at levels of the deep middleground in Schenker’s ([1926] 1996, 24, fig. 1b) sketch of Haydn’s Piano Sonata in G Minor, Hob. XVI:44/i, which I discuss below in § 4.3.2.

## § 4.2.3. TOWARD A MORE UNIFIED APPROACH

The phenomenon of form in the foreground can be described in an almost physical-mechanical sense as an energy transformation—a transformation of the forces which flow from the background to the foreground through the structural levels.

—Heinrich Schenker, *Der freie Satz* (1935)

As Schenker developed his organic theory of voice leading in the 1920s, more musical features were subsumed by the controlling force of the *Urlinie*—and later, the *Ursatz*. As Joseph Lubben writes,

One of Schenker's chief analytic concerns at the time of *Tonwille* was the elucidation of what he called *Synthese*, the means by which all manner of musical strategies and structures were ingeniously woven together into a complex musical fabric. Because Schenker privileged *Synthese* in *Tonwille*, these analyses exhibit less of the restrictive tendency—characteristic of later Schenker—to subordinate all parameters to the composing-out of the *Ursatz*. (Lubben 1993, 60)

Lubben is careful, however, to distinguish between two kinds of synthesis in *Der Tonwille*:

The first was used primarily in discussions that were not part of an analysis of a specific piece. In these contexts, Schenker usually treated *Synthese* as a consequence of the ubiquitous guiding light of the *Urlinie*. . . . This meaning of *Synthese* is essentially the same one that he uses throughout his later works. . . . The second meaning of *Synthese* dispenses with the guiding hand of the *Urlinie* or *Ursatz*. In the context of specific analyses, Schenker would often use the term even when his discussion made it perfectly clear that he did not consider the *Ursatz* or *Urlinie* to be exerting total control over the situation. (Lubben 1993, 60n5)

Schenker's theoretical development can be viewed as a progressive evolution from an approach where “he did not consider the *Ursatz* or *Urlinie* to be exerting total control over the situation” to an approach where nearly all of a composition's musical features are viewed as “a consequence of

the ubiquitous guiding light of the *Urlinie*.<sup>21</sup> The early stages of this evolution were illustrated through my comparison of the sketches from *Der Tonwille* above. To distinguish between these two conceptions of musical coherence, I will use the term *synthesis* to characterize an approach where all aspects of a work are not necessarily generated from the *Urlinie* or the *Ursatz*.<sup>22</sup> Conversely, I will use the term *monism* to characterize an approach where Schenker does derive (or at least claim to derive) all aspects of a composition from the *Urlinie* or the *Ursatz* in a specifically causal fashion (rather than merely in a logical fashion) from background to foreground.<sup>23</sup> As Cook (2007, 291) observes, “It is basically the latter meaning [i.e., monism] which is carried over into *Der freie Satz*.”

In *Der freie Satz*, Schenker attempted to derive rhythm and form from the controlling force of the *Urlinie*. And before then, even the dynamics of a work in performance were correlated with various levels of voice leading, although he soon abandoned this idea.<sup>24</sup> As Richard Cohn argues,

After Schenker “saw through to the *Ursatz*,” the notions of conflict and congruence between autonomous forces began to disappear from Schenker’s work.

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<sup>21</sup> Cook (2007, 255–65, 290–1), to whom my discussion here is indebted, provides the most comprehensive description of how Schenker’s theoretical development evolved in this way.

<sup>22</sup> For an extended discussion of *Synthese* in Schenker’s thought, particularly as it relates to Kant’s philosophy, see Korsyn (1988, 19–43). Cohn (1992b) suggests that even when Schenker’s late approach made an appeal toward monism, his analyses contained relationships that were not strictly derived through the levels of voice leading from background to foreground; instead, some analytical relationships continued to be based on *associations*, as in a more traditional conception of motivic relationships.

<sup>23</sup> I borrow the term monism to describe Schenker’s late theory from Cohn (1992a, 8), who borrows it from Pastille (1985, 33).

<sup>24</sup> Regarding rhythm and form, see Schenker ([1935] 1979, 118–45). Regarding dynamics, see Schenker’s analysis of the Prelude from J. S. Bach’s Partita no. 3 in E Major for solo violin, BWV 1006, in *Das Meisterwerk in der Musik*, vol. 1 ([1925] 1994, 46, fig. 2). And see Burkhart (1983) for an introduction to Schenker’s thoughts on how the interpretation of voice-leading levels (*Schichten*) might influence musical performance.



Schenker crowned the *Ursatz* as the sole source of all compositional unity, and all other compositional parameters lost their autonomy as independently functioning modes of organization. (Cohn 1992b, 153)

Cook (2007, 285–89) uses this tendency toward monism to characterize Schenker’s late approach to form in particular. As we saw briefly in chapter 3, Schenker sought to derive the forms that belonged to his more traditional *Formenlehre* from aspects of the background and middleground voice leading. In the early issues of *Der Tonwille*, this preexisting *Formenlehre* and a burgeoning conception of the *Urlinie* coexisted. Schenker’s analyses usually were not in a state of internal conflict—at least where form is concerned—because his methodology did not yet presuppose an all-encompassing unity of inner and outer form.<sup>25</sup>

The purpose of the chapter on form in *Der freie Satz* ([1935] 1979, 128–45) was to demonstrate how this previous model of correlation between voice leading and more traditional outer forms was, in fact, proof of causation. But there is also a sense in which, as a matter of historical development, Schenker’s pre-existing *Formenlehre* helped him to uncover longer spans of music that were under the controlling influence of the *Urlinie*. In example 4.2.4 (see p. 311), Schenker discovered how a local three-part form ( $a_1-b-a_2$ ) was correlated with a  $\hat{3}-(\hat{4})-\hat{3}$  neighbor motion in mm. 1–16. This might have prompted him to investigate how a neighbor motion unfolds similarly over a three-part form making up an entire movement, thus motivating him to look for signs of the *Urlinie* operating at the deepest levels. Charles Smith makes a related argument in his article “Musical Form and Fundamental Structure: An Investigation of Schenker’s *Formenlehre*” (1996). Indeed, in the early 1920s, Schenker likely also adhered to one of Smith’s assumptions underlying his own conception of form—namely, “*that the traditional forms are*

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<sup>25</sup> Admittedly, Schenker’s analyses were sometimes inconsistent during this time with respect to voice leading and harmony; see Lubben (1993) and Cook (2007, 291–93).

*trustworthy guides to large-scale shape*” (1996, 194; emphasis original). (By large-scale shape, I take Smith to include all of a composition’s voice-leading levels as derived from the *Ursatz*.) Smith also finds traces of this formal approach in *Der freie Satz*, wondering why, “after going to such pains to construct a particularist mechanism,” does Schenker “then revert to conventional formal plans” (193)? Perhaps the relationship between voice leading and form is reciprocal: as a matter of generative theory, as a matter of historical development, and as a matter of analysis.

#### § 4.3. HALM’S TWO CULTURES, SCHENKER’S MONOCULTURE

Belief in the causal nexus is *superstition*.

—Ludwig Wittgenstein, *Logisch-Philosophische  
Abhandlung* (1921)

Near the end of chapter 3, I described how Gustav Jenner’s reminiscences of Brahms conclude by reevaluating the status of sonata form at the turn of the twentieth century. Jenner’s argument is similar to Schenker’s in the “Niedergang” typescript, claiming, “Brahms’s very arrival is a living protest against Wagner’s statements, and his compositions prove that their creator considered false the tenet that since Beethoven the sonata has no intrinsic value” ([2005] 2009, 414).<sup>26</sup> Contra Wagner’s music dramas, Jenner establishes two sets of principles derived from absolute music: the fugue exemplifies one set, the sonata the other. In a passage that Schenker could have written himself during the first decade of the twentieth century, Jenner continues,

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<sup>26</sup> “Brahms’ ganze Erscheinung ist ein lebendiger Protest gegen jene Wagnerschen Sätze, und seine Werke beweisen, dass ihr Schöpfer jene Ansicht, die Sonate habe nach Beethoven keine Berechtigung mehr, für falsch hielt” (Jenner 1905, 64).

The principles of the sonata do not provide a rigid scheme, but rather an idea that originated in the dualism of thematic content. It is therefore a dramatic idea. . . .

[On the other hand, t]here is a musical form that evolved purely from the essence of music, just as the sonata did, and has a lot in common with it yet is entirely different: the *fugue*. . . . The fugue, however, is more one-dimensional than the sonata. Since the primary elements of music are movement, music can be expressed according to two principles—one, juxtaposition, and the other, succession: thus there is polyphonic and homophonic music. Though within a fugue the latter principle is given ample space to unfold its inexhaustible richness, the core of the dramatic idea that determines its form lies in the simultaneity of contrasting theme and counterpoint: the principle of counterpoint. By comparison, the Haydn sonata initially emphasized the homophonic principle; the dramatic main focus was anchored in the succession of contrasting themes.<sup>27</sup> (Jenner [2005] 2009, 415–16; emphasis added to match the original)

Thus, the sonata is characterized by a succession of contrasting themes and homophony, whereas the fugue is one-dimensional and the result of polyphony (the principle of counterpoint). In the following decade, August Halm (1913) would solidify this dichotomy in *Von zwei Kulturen der Music* (1913) by establishing “two cultures of music.”<sup>28</sup> As Halm describes, “Fugal form is the form of unity and sonata form is the form of opposition. The former is principally concerned with

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<sup>27</sup> “Mit der Aufstellung des Sonatenprinzips ist keineswegs ein starres Schema gegeben, sondern vielmehr eine Idee, die ursprünglich ausgeht vom Dualismus des thematischen Gehalts. Sie ist also eine dramatische Idee. . . . [/] Eine musikalische Form giebt es, die, ebenso wie die Sonate, rein aus dem Wesen der Musik hervorgegangen, vieles mit ihr gemeinsam hat und doch von Grund aus von ihr verschieden ist: die Fuge. . . . Aber die Fuge ist einseitiger als die Sonate. Denn die Musik, deren Urelement die Bewegung ist, vermag es, beide Prinzipien zum Ausdruck zu bringen: das Prinzip des Nebeneinander und das des Nacheinander: es giebt polyphone und homophone Musik. Wenn nun auch in der Fuge dem letzteren Prinzip Spielraum gegeben ist, einen unerschöpflichen Reichtum zu entfalten, so liegt doch der Schwerpunkt der dramatischen Idee, welche die Form bedingt, in der Gleichzeitigkeit des Gegensatzes von Thema und Contrapunkt: im contrapunktischen Prinzip. Diesem gegenüber betonte die Haydnsche Sonate zunächst das homophone Prinzip, der dramatische Schwerpunkt ruhte auf dem Nacheinander der Gegensätze” (Jenner 1905, 66–67; the slash [/] indicates a new paragraph).

<sup>28</sup> See Rothfarb (2009, 89–107) for more on Halm’s *Von zwei Kulturen der Music* (1913).

one theme, the latter with several or many” ([1913] 2008, 53).<sup>29</sup> Halm claims that J. S. Bach’s fugues represent the first culture, whereas Beethoven’s sonata forms represent the second:

[Beethoven] does not compose themes; he composes entire movements, or entire sonatas. Bach composes themes; he orders the events within the theme, dispenses the energy, and organizes its energy into a viable thematic body.<sup>30</sup> (Halm [1913] 2008, 99–100)

Underlying this dichotomy, musical form is conceived as the product of two forces that affect the tonal layout of a composition—one centrifugal, the other centripetal:

This centrifugal tendency [to change keys] is paired (as a corollary and corrective) with the centripetal tendency, the need to remain in one tonality. These contrasting elements [the centrifugal and centripetal tendencies], when regulated and organized, experience their synthesis in musical form, especially in the fugue and the sonata form, as these have as their law the temporary domination of the other keys but at the same time the [primary domination and final right] of the main tonality.<sup>31</sup> (Halm [1913] 2008, 46)

Having identified these competing forces, Halm describes the difference between the way that keys are deployed in the fugue and the sonata—a difference that resembles Ratner’s (1980, 51) solar and polar tonalities:<sup>32</sup>

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<sup>29</sup> “Die Fugenform ist die Form der Einheitlichkeit, die Sonatenform diejenige der Gegensätzlichkeit; die erstere hat es grundsätzlich mit einem Thema zu tun, die letztere mit mehreren oder vielen” (Halm 1913, 7).

<sup>30</sup> “Er [Beethoven] komponiert nicht Themen, sondern einen ganzen Satz, eine ganze Sonate. Bach komponiert Themen, ordnet ein Geschehen innerhalb des Themas, disponiert über Kräfte, organisiert Kräfte zu einem lebensfähigen thematischen Körper” (Halm 1913, 77). This dichotomy might also be mapped onto eighteenth-century conceptions of invention and disposition, as I described at the beginning of § 1.3.

<sup>31</sup> “Dieser zentrifugalen Tendenz gesellt sich, als Korrelat und auch Korrektiv, die zentripetale bei, nämlich das Bedürfnis, in einer Tonart zu verharren. Beide Gegensätze, geregelt und organisiert, erleben ihre Synthese in der Form, hauptsächlich der Fugen- und der Sonatenform, als welche das vorübergehende Herrschen anderer Tonarten ebenso wie das Vorherrschen und schliessliche endgültige Recht einer Haupttonart zum Gesetz haben” (Halm 1913, xxv).

<sup>32</sup> For Ratner’s definitions of solar and polar tonality, see chapter 1, p. 11, note 36.

In the sonata form, the second theme group is in a key that is a fifth or third away from the original key, and, according to rule, the main key is reserved for the recapitulation. On the other hand, the development section [of the sonata form] has great and truly unrestricted harmonic freedom, and as the sonata form became more expansive and broadened in content, the rule that demands each group be dominated by a single key was no longer strictly kept. The sonata is capable of a greater richness of harmonic activity, in practice, but the fugue has the harmonically richer schema: it touches a greater selection of keys in its basic plan.<sup>33</sup> (Halm [1913] 2008, 56)

Halm continues, critiquing Bach's use of modulation to articulate a fugue's form:

When Bach introduces a new thematic group, often it happens that we do not notice it. [For example:] After a group [*Durchführung*] in F major, we do hear that another follows in D minor, but we do not notice anything—no purposeful escalation, no excitement, no tremor heralds an important event, a decisive deed. A listener who is unable to recognize the keys will rarely notice that something happened. . . . [Bach's] fugue has contrapuntal mastery, but lacks formal mastery. It is formally correct, but nothing more.<sup>34</sup> (Halm [1913] 2008, 57)

From this discussion, we might conclude that Beethoven's sonatas apparently "corrected" this lack of "formal mastery," whereby the oppositions of key and theme are mutually reinforcing.

Halm's dichotomy carries with it the idea that the fugue and the sonata operate according to different principles, but in the 1920s, Schenker sought to demonstrate how these genres

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<sup>33</sup> "Die letztere [sonata form] hat für die Gruppe des zweiten Themas eine quint- oder terzverwandte Tonart vorgesehen, die Wiederkehr ist der Regel nach für die Haupttonart reserviert. Dagegen ist dort für die Gruppe der Durchführung grosse und eigentlich unbeschränkte Freiheit gelassen; ausserdem ist die Herrschaft einer bestimmten Tonart innerhalb einer Gruppe mit deren grösserer Ausdehnung, mit der weiteren Entfaltung ihres Inhalts nicht mehr strenge Regel. Die Sonate lässt also praktisch den grösseren Reichtum an harmonischem Geschehen zu; die Fuge dagegen hat das harmonisch reichere Schema; sie trifft die grössere Auswahl durch ihre grundsätzliche Anordnung" (Halm 1913, 12).

<sup>34</sup> "Wenn Bach eine neue Gruppe eröffnet, so geschieht das häufig, ohne dass man es merkt; man hört wohl, dass nach einer Durchführung in F-dur eine andere in D-moll kommt—aber man spürt nichts davon; keine entschlossene Steigerung, keine Erregung, kein Zittern kündigt ein wichtiges Geschehnis, eine entscheidende Tat an; wer nicht die Tonarten selbst hört, wird selten etwas davon merken, dass hier etwas Besonderes los ist. . . . Die Fuge, die er schafft, hat kontrapunktische, aber nicht formale Meisterschaft; sie ist formal richtig, aber nicht mehr" (Halm 1913, 13).

belonged to a single musical culture: a *culture of organicism*. As a result, Halm's two cultures were synthesized into a monoculture based on the generative force of the *Uralinie*.

Halm and Schenker knew each other's work and maintained a vigorous correspondence from ca. 1916 to 1927—the crucial years when Schenker was developing his theory of organic coherence.<sup>35</sup> And while their correspondence was usually cordial, we learn Schenker's true feelings regarding *Von zwei Kulturen der Music* (1913) in a diary entry from March 19, 1914:

Reading Halm's book! What peculiar paths do the imagination and pen of a man take who "in obscure impulses" seeks a way to the purely musical but sadly is unable to find it. An absolutely grotesque mixture of technical material and the most far-flung aesthetics. Time and again the purely musical breaks down, and the writer's imagination so often resorts to feelings, philosophizings, in short it interjects surrogates that cast an inadequate light even on the technical aspect.<sup>36</sup> (Bent, Bretherton, and Drabkin 2014, 257)

Near the beginning of chapter 1, I claimed that Schenker was usually writing against someone, even when this is not explicitly mentioned in the text (Cook 1989, 416–17). Since Schenker had read *Von zwei Kulturen der Music*, regarded it as lacking in understanding regarding music's intrinsic technical features (the "purely musical"), and corresponded with Halm in the 1920s about related aesthetic issues, the two essays juxtaposed in the second volume of *Das Meisterwerk in der Musik* (Schenker [1926] 1996, 23–54)—one on the organic nature of fugue, the other on the organic nature of sonata form—should be read as a direct response and corrective.

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<sup>35</sup> Schenker's correspondence with Halm may be found at Schenker Documents Online; available from <http://www.schenkerdocumentsonline.org/search/?kw=halm&fq=correspondence&fq2=&lang=all>; Internet. Also see Bent, Bretherton, and Drabkin (2014, 256–93).

<sup>36</sup> The original German for this diary entry is not available on Schenker Documents Online as of August 16, 2016. By referring to "obscure impulses," Schenker is reacting to Halm's energeticist approach to music; see Rothfarb (2002, 927–30, 936–39).

In fact, some of Schenker's most succinct descriptions of his organic theory of voice-leading coherence in the 1920s unfold through his correspondence with Halm. In one letter, dated in early April of 1924, Schenker describes his approach:

I mean that art of figuration alone which is built on the narrowest shoulders of a few primal intervals, thus that powerful foreground (romping about in chords, scale-steps, keys), which, arising from the middle and background, is *all in all itself figure* before the primal intervals—not, therefore, the figures in the foreground but rather the whole as—figure! . . . Figure is then synthesis, so that whole, synthesis, organicism, figure are *synonyms!* Just as human beings, animals, plants are figurations that arise from the smallest seed, so are pieces by geniuses figurations of a few intervals. . . . All religious feeling, all philosophy and science, urges towards the briefest formulation of the world, and a similar religious tendency allows me to hear a piece of music as “figuration” of a kernel. That, therefore, is the “art of figuration” of our masters, that is music, that alone is also improvisation!<sup>37</sup> (Bent, Bretherton, and Drabkin 2014, 283; emphasis original)

Here ideas concerning figuration, synthesis, organicism, and improvisation are directly related to Schenker's own sense of religiosity. Halm countered in another letter, arguing against Schenker's conception of “the whole as figure” and instead in favor of “foreground music”:

a good expression which, depending on the findings, I would surely also accept for my music with much modesty as well as some pride. That is, I have long since believed that the foreground, or surface, has been neglected at the expense of the

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<sup>37</sup> “Ich meine jene Figurenkunst allein, die auf schmalsten Schulterchen von wenigen Erst. Intervallen ruht, <sup>also</sup> jenen gewaltigen (Klänge, Stufen, Tonarten tummelnden) Vordergrund, der es Mittel- u. UrGrund kommend, in Allem u. Allem selbst Figur ist vor jeden Erst. Intervallen,— nicht also die Figuren im Vordergrunde, sondern das Ganzen als—Figur! . . . Das Ganze als Figurierung <sup>aber</sup> ist ein *Organismus*, Figur ist dann = Synthese, so daß Ganzes, Synthese, Organismus, Figur, Synonyma sind! Wie Menschen, Tiere, Pflanzen Figurierungen von kleinstem Samen sind, so <sup>sind</sup> die Stücke der Genies Figurierungen von wenigen Intervallen. . . . Zur kürzesten Formel der Welt drängt alles Religions-Empfinden, alle Philosophie u. Wissenschaft, u. ein ähnlich religiöser Zug läßt mich das Tonstück als ‚Figurierung‘ eines Kernes hören, das also ist die ‚Figurierungskunst‘ unserer Meister, das ist Musik, das allein ist auch die Improvisation!” (handwritten letter from Schenker to Halm, dated April 3–4, 1924; see Schenker Documents Online; transcr. Ian Bent and Lee Rothfarb, transl. Lee Rothfarb; available from <http://www.schenkerdocumentsonline.org/documents/correspondence/DLA-69.930-12.html>; Internet; accessed August 16, 2016). This letter is located in the Halm Estate Papers (DLA 69.930/12).

background and foundation, corporeality at the expense of spirituality.<sup>38</sup> (Bent, Bretherton, and Drabkin 2014, 289)

This was a fundamental misunderstanding. To restate Schenker's position while incorporating Halm's terms, the corporeal foreground can be understood only through the spiritual background. Not two cultures but one. Not vague energetic notions of musical force but the force of the *Urlinie*, which composes-out the tonal spaces given by Nature through the consonant triad as derived from the overtone series. This view anticipates Schenker's later descriptions of the background in quasi-religious terms. For example, near the beginning of *Der freie Satz*, he presents three aphorisms:

All that is organic, every relatedness belongs to God and remains His gift, even when man creates the work and perceives that it is organic.

The whole of the foreground, which men call chaos, God derives from His cosmos, the background. The eternal harmony of His eternal Being is grounded in this relationship.

The astronomer knows that every system is part of a higher system; the highest system of all is God himself, God the creator.<sup>39</sup> (Schenker [1935] 1979, xxiii).

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<sup>38</sup> “,Vordergrundmusik’—ein guter Ausdruck, den ich, je nach Befund, wohl auch für meine Musik akzeptieren würde mit <sup>viel</sup> Bescheidenheit sowohl als mit <sup>etwas</sup> Stolz, d.h.: ich glaube schon lang, daß das Vordergründliche oder Oberfläch ~~lich~~ <sup>ig</sup> über dem Hinter- u. Untergründlichen, oder die Körperlichkeit über dem Geistigen vernachlässigt worden ist” (handwritten letter from Halm to Schenker, dated April 7, April 14, and May 6, 1924; see Schenker Documents Online; transcr. and transl. Lee Rothfarb; available from <http://www.schenkerdocumentsonline.org/documents/correspondence/OC-12-15-17.html>; Internet; accessed August 16, 2016). Halm's letter is located in the Oster Collection (12/15–17).

<sup>39</sup> “Alles Organische, aller Zusammenhang gehört Gott und bleibt sein Geschenk auch in dem Hervorbringungen der Menschen, die als organisch empfunden werden. [/] Die Summe allen Vordergrundes, von den Menschen Chaos benannt, leitet Gott von seinem Kosmos als Hintergrund ab: in diesem Zusammenhang ruht die unendliche Harmonie seines unendlichen Wesens. [/] Der Astronom ist davon überzeugt, daß jedes System Teil eines höheren Systems ist, das allerhöchste System ist der Schöpfer-Gott selbst!” (Schenker 1935, 4–5).



Sigmund Freud, in his book *Moses and Monotheism* (1939), thought that the belief in an unseen God increases one's capacity for abstract thought (*Geistigkeit*)—the kind of abstract thought that is required to enter Schenker's spiritual world of the *Ursatz*. Freud writes,

Among the precepts of Mosaic religion is one that has more significance than is at first obvious. It is the prohibition against making an image of God, which means the compulsion to worship an invisible God. I surmise that in this point Moses surpassed the Aton religion in strictness. Perhaps he meant to be consistent; his God was to have neither a name nor a countenance. The prohibition was perhaps a fresh precaution against magic malpractices. If this prohibition was accepted, however, it was bound to exercise a profound influence. For it signified subordinating sense perception to an abstract idea; it was a triumph of spirituality [*Geistigkeit*] over the senses [*Sinnlichkeit*]; more precisely, an instinctual renunciation accompanied by its psychologically necessary consequences.<sup>40</sup> (Freud 1939, 144)

This triumph of intellectuality over sensuality resonates deeply with Schenker's burgeoning conception of the *Ursatz* in the 1920s: an abstract schema that would eventually lead him to a musical theory resembling aspects of Jewish monotheism.<sup>41</sup> Schenker stated this plainly in a letter to Oswald Jonas dated August 2, 1934:

Now a world of materials stands open to you; the very musical creation appears new to us, young, and there we can but marvel, yea rejoice beyond our capability: we feel like the writer of the Bible, who uttered the first astonishment over God's creation. If only help were at our disposal! Publishers cannot be patrons; the rich,

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<sup>40</sup> “Unter den Vorschriften der Moses-Religion findet sich eine, die bedeutungsvoller ist, als man zunächst erkennt. Es ist das Verbot, sich ein Bild von Gott zu machen, also der Zwang, einen Gott zu verehren, den man nicht sehen kann. Wir vermuten, daß Moses in diesem Punkt die Strenge der Aton-Religion überboten hat; vielleicht wollte er nur konsequent sein, sein Gott hatte weder einen Namen noch ein Angesicht, vielleicht war es eine neue Vorkehrung gegen magische Mißbräuche. Aber wenn man dies Verbot annahm, mußte es eine tiefgreifende Wirkung ausüben. Denn es bedeutete eine Zurücksetzung der sinnlichen Wahrnehmung gegen eine abstrakt zu nennende Vorstellung, einen Triumph der Geistigkeit über die Sinnlichkeit, streng genommen einen Triebverzicht mit seinen psychologisch notwendigen Folgen” (Freud [1939] 1979, 146).

<sup>41</sup> See Cook (2007, 199–205) and Alpern (2014) on Schenker's Jewish upbringing, and see Cook (2007, 207–15) and Reiter (2015, 285–86) on the relationship between Schenker's late theory and his monotheistic religious beliefs.

who could be, are more impressed so to speak by a "foreground lot" than by our "background lot" which touches the genius, God, and transcendental things. . . .

Fundamentally our project [*Sache*] is one of present-day Jewry as race and religious community. There was a time when the peoples learned from the Jews: contemplate God, write poetry; why should the Jews not on the contrary learn music from the other peoples and propagate it through the ages, since the other peoples have probably abandoned it for good? That way the Jew would join to his religious monotheism the belief in one musical Ursache [prime cause]!<sup>42</sup>

Example 4.3.1 suggests that Schenker, near the end of his life, drew a direct correspondence between the *Ursatz* and God, between the first layer of diminution (1. *Schicht*) and Adam and Eve, and, as an analogous correspondence would suggest, between subsequent layers of diminution and the later generations of the Old Testament.<sup>43</sup>

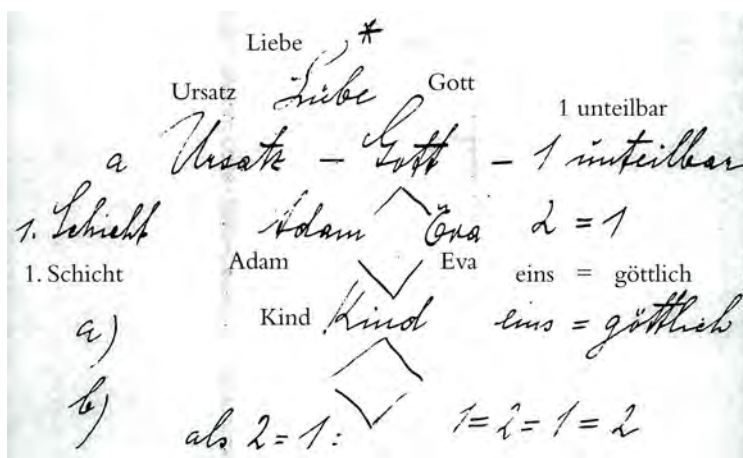
As Nicholas Cook observes, "The principle that aesthetic ideas function as a surrogate for religion helps to explain much that is otherwise perplexing about the tone of Schenker's polemics" (2007, 207). We find such a polemical expression in *Der freie Satz* (1935), where Schenker compares himself to Moses (although this passage was censored in all later editions):

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<sup>42</sup>"Nun steht Ihnen eine Welt von Stoffen offen, uns erscheint eben die Musikschöpfung neu, jung, und da gibt es zu bestaunen, zu bejubeln wohl über unser Vermögen: uns erscheint diese <sup>geht es</sup> [*illegible*] wie dem Bibelschreiber, der das erste Staunen über Gottes Schöpfung aussprach. Stünde uns nur Hilfe zu Gebote! Verleger können nicht Mäzene sein, den Reichen, die es sein könnten, sagt sozusagen ein Vordergrundstück des besser zu denn unser Hintergrundstück, das an das Genie, an Gott, an Jenseitigkeiten rührt. . . . [/] Im Grunde wäre unsere Sache eine des heutigen Judentums als Rasse u. religiöser Gemeinschaft[.] Einmal haben die Völker von den Juden gelernt: an Gott denken, dichten, warum sollten die Juden nicht umgekehrt von den anderen Völkern Musik lernen u. sie durch die Zeiten vorantragen, da die anderen Völker wohl für immer ihr gegenüber versagten? Der Jude gesellte so zu seinem religiösen Monotheismus den Glauben auch an eine musikalische Ur-Sache!" (handwritten letter from Schenker to Jonas, dated August 2, 1934; see Schenker Documents Online; transcr. and transl. John Rothgeb; <http://www.schenkerdocumentsonline.org/documents/correspondence/OJ-5-18-49.html>; Internet; accessed August 16, 2016). Schenker's letter is located in the Jonas Collection (5/18, 49).

<sup>43</sup> We saw a similar idea expressed in example 2.4.1 (p. 108), where, in *Harmonielehre* (1906, 26), an analogy is drawn between generations of the Bach family and the generation of triads within a key.

**EXAMPLE 4.3.1** From Schenker's aphorisms: *Liebe, Ursatz, Gott*, dated January 1, 1932 (JC 21/5, p. 281; from the holdings of Special Collections & University Archives, UCR Library, University of California, Riverside; used with the kind permission of Irene Schreier Scott)



By confessing, both in its creation and in its finished state, only *one prime cause* [*eine Ursache*] in the background, a work is arranged *monotheistically*. In that case, so-called heathens are those who, whether creative or re-creative, consider only the foreground of the work and lose themselves in its particulars, while confessors of a true divinity are those who worship the background. In the artwork, too, the one prime cause remains immutable in the background, and deviating toward the cravings of the foreground heathens is a sin against the spirit of monotheism. Shall I therefore proclaim my monotheistic doctrine of art from a Mount Sinai and thereby seek to win confessors of it? Am I to perform a miracle?<sup>44</sup> (Snarrenberg 1997, 154; emphasis original; quoted in Cook 2007, 260)

Form, too, must logically be the product of one prime cause—music's Divine Creator. Yet Schenker struggled to integrate his organic theory of voice leading with the traditional *Formenlehre* developed in the 1910s, particularly in *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996).

<sup>44</sup> “Indem ein Werk, werdend und geworden, im Hintergrunde nur eine Ursache bekennt, ist es wie monotheistisch gerichtet: Gleichsam Heiden sind deshalb jene, die schaffend oder nachschaffend nur den Vordergrund des Werkes gelten lassen und sich an seine Einzelheiten verlieren, Bekenner eines wahrhaft Göttlichen dagegen jene, die den Hintergrund anbeten. Auch im Kunstwerk bleibt die eine Ursache im Hintergrund unwandelbar, eine Abweichung nach den Gelüsten der Vordergrund-Heiden ist Sünde wider den Geist des Monotheismus. Soll ich meine kunst-monotheistische Lehre deshalb etwa von einem Sinai verkünden und ihr Bekenner damit zu gewinnen suchen, daß ich Wunder tue?” (Schenker 1935, 5).

§ 4.3.1. “The Organic Nature of Fugue”: J. S. Bach’s Fugue no. 2 in C Minor, *The Well-Tempered Clavier*, book I, BWV 847

The analysis of J. S. Bach’s Fugue in C Minor, from *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996, 31–54), demonstrates how a three-part form might grow from the *Urlinie*, the *Stufen* supporting the notes of the *Urlinie*, and the realization of these *Stufen* as keys in the foreground (*Stufen als Tonarten*). (This fugue is shown in example 4.3.2, which may be referred to throughout the following discussion.) Contrary to Halm’s views, Schenker relies on opposing keys to demarcate parts of the form. Regarding the voice-leading sketch shown in example 4.3.3, Schenker comments, “Here we see two  $\hat{5}$ – $\hat{1}$  descents [of the *Urlinie*] within the C-minor triad, concluded by the octave-progression  $\hat{8}$ – $\hat{1}$ ; this reflects the fugue’s three-part structure” (32).<sup>45</sup> The first descent progresses by step from  $\hat{5}$  ( $G_5$ ) in m. 3 to  $\hat{1}$  ( $C_5$ ) in m. 9.<sup>46</sup> Below the sketch, three foreground keys are shown in mm. 1–9: C minor, G minor, back to C minor. These keys are loosely coordinated with the subject (*Führer*) in the middle voice (m. 1ff.), the answer (*Gefährte*) in the upper voice (m. 3ff.), and the subject’s return (*Führer*) in the bass voice (m. 7ff.).

These keys are also understood as *Stufen* operating within the monotonicity (*Tonalität*), resulting in the progression I–V–I.<sup>47</sup> Schenker abbreviates this progression using a single tonic *Stufe*, which functions as an imaginary pedal (see the Roman numerals labeled *Kürzer*). The stepwise descent of the *Urlinie* from  $\hat{5}$  to  $\hat{1}$  unfolds in the horizontal (melodic) dimension what

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<sup>45</sup> “Wir sehen hier im Mollklang C einen zweimaligen Ablauf von  $\hat{5}$ – $\hat{1}$ , abgeschlossen durch den Oktavzug  $\hat{8}$ – $\hat{1}$ , was somit auf eine dreiteilige Gliederung der Fuge hinweist” (Schenker [1926] 1974, 2:58).

<sup>46</sup> The motion from  $\hat{1}$  ( $C_5$ ) up to  $\hat{5}$  ( $G_5$ ) in mm. 1–3 is what Schenker later describes as an initial arpeggiation (Schenker [1935] 1979, 46–47).

<sup>47</sup> The bass arpeggiation (I–V–I) is described as the “sacred triangle” (*heilige Dreieck*) in *Der freie Satz*. Schenker writes, “every triad, whether it belongs to middleground or foreground, strives for its own triangle” ([1935] 1979, 15; “Im übertragenen Sinne strebt jeder Einzelklang zu seinem eigenen Dreieck, ob er nun dem Mittel- oder Vordergrund angehöre” [1935, 37]).

EXAMPLE 4.3.2 J. S. Bach, Fugue no. 2 in C Minor, *The Well-Tempered Clavier*, book I, BWV 847

a 3.

5

8

11

14

## EXAMPLE 4.3.2 CONTINUED

16

Musical notation for measures 16-18. The piece is in a minor key with a 7/8 time signature. Measure 16 features a complex rhythmic pattern in the right hand with eighth and sixteenth notes, and a steady eighth-note bass line. Measure 17 continues the right-hand pattern with some rests, while the bass line remains active. Measure 18 shows a continuation of the right-hand melody and a slightly more varied bass line.

19

Musical notation for measures 19-21. Measure 19 has a right hand with eighth-note chords and a bass line of eighth notes. Measure 20 shows a more active right hand with sixteenth-note runs and a consistent bass line. Measure 21 features a right hand with eighth-note chords and a bass line of eighth notes.

22

Musical notation for measures 22-24. Measure 22 has a right hand with eighth-note chords and a bass line of eighth notes. Measure 23 continues with similar right-hand patterns and a steady bass line. Measure 24 features a right hand with eighth-note chords and a bass line of eighth notes.

25

Musical notation for measures 25-27. Measure 25 has a right hand with eighth-note chords and a bass line of eighth notes. Measure 26 continues with similar right-hand patterns and a steady bass line. Measure 27 features a right hand with eighth-note chords and a bass line of eighth notes.

28

Musical notation for measures 28-30. Measure 28 has a right hand with eighth-note chords and a bass line of eighth notes. Measure 29 continues with similar right-hand patterns and a steady bass line. Measure 30 features a right hand with eighth-note chords and a bass line of eighth notes.

EXAMPLE 4.3.3 Voice-leading sketch: J. S. Bach's Fugue no. 2 in C Minor, *The Well-Tempered Clavier*, book I, BWV 847 (Schenker [1926] 1974, 2:58, *Anhang V*)

29  
26  
20  
16  
11  
9  
7  
6  
3

**Stufen als Tonarten:**  
*C moll.*: I - IV - V - I  
*C nat.*: I - V - I - V - I

*G m.*:  
 VI | I | V - I  
 V - I

*G m.*:  
 I | V - I |  
 V - I

*C m.*:  
 I | V - I |  
 V - I

*G m.*:  
 VI | I | V - I  
 V - I

*C m.*:  
 I | V - I |  
 V - I

might otherwise be conceptualized as an interval in the vertical (harmonic) dimension: the mutual reinforcement of harmony and melody thus defines the first part of this fugue. However, Schenker conceives of this section's formal close primarily in the terms of the *Urlinie*, writing, "In bar 9 the *Urlinie* arrives at  $\hat{1}$ ; this also signals the end of the first part of the fugue, the so-called exposition" (39).<sup>48</sup> As a motion into an inner voice, this descent is only preliminary: the scale degrees representing the notes of the *Urlinie* above the sketch in mm. 1–9 are placed in parentheses, while  $\hat{5}$  ( $G_5$ ) is retained in the upper voice (see the dashed slur connecting  $G_5$  in m. 3 to  $G_5$  in m. 9).<sup>49</sup>

The fugue's second part (mm. 9–20) is marked by modulations away from the tonic, first to E-flat major, and then to G minor. At a deeper level, these keys are understood as *Stufen* belonging to the monotonicity (III and V respectively). This section's formal close is again defined by the descending *Urlinie*, which moves by step from  $\hat{5}$  ( $G_5$ ), retained from the previous section, to  $\hat{1}$  ( $C_5$ ) in m. 20. The scale degrees representing the notes of the *Urlinie* above the staff are not shown in parentheses, for this descent represents a more definitive close. Schenker writes, "The  $\hat{1}$  in bar 20 does in fact conclude the *Urlinie* progression, and the subject enters in the treble at the new entry in C minor, which begins the last part of the fugue" (41).<sup>50</sup>

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<sup>48</sup> "In T. 9 ist die Urlinie bei  $\hat{1}$  angelangt, siehe [example 4.3.3], und damit ist auch der erste Teil der Fuge, die sogenannte Exposition, zu Ende gegangen" (Schenker [1926] 1974, 2:71).

<sup>49</sup> Schenker would describe this motion into an inner voice as a linear progression of the first order in *Der freie Satz* ([1935] 1979, 43–44). Notice that the *Kopftón* ( $\hat{5}$ ) is present in the sketch from the very beginning of the piece at an even deeper level, in which the initial arpeggiation is heard as rhythmic displacement (or delay); see Rothstein's (1981, 87–100) "rule of arpeggiation" and "rule of the initiating tone."

<sup>50</sup> "In T. 20 geht mit der  $\hat{1}$  der Urlinie-Zug wirklich zuende und der Führer setzt bei der Oberstimme mit dem neuen Einsatz in C ein, der den letzten Teil der Fuge eröffnet" (Schenker [1926] 1974, 2:74).



The close in m. 20 is more definitive than the close in m. 9 because the former coincides with a descent of the *Urlinie* (from  $\hat{5}$  to  $\hat{1}$ ) and a return to the tonic *Stufe* at the deepest level after an initial departure (*Kürzer*: I–III–V–I). Although the first *Urlinie* descent in mm. 1–9 composes out the underlying tonic *Stufe*, there is no departure from that *Stufe* at the deepest level, and therefore, no real sense of closure upon its “return” (in fact, at this level, the tonic *Stufe* had never left). Schenker also likely hears the descent from  $\hat{5}$  ( $G_5$ ) beginning in m. 9 as more definitive because the deep-level mediant and dominant *Stufen* in the following measures provide additional consonant support, resulting in a 5–8–5–8 linear intervallic pattern between the outer voices (this pattern is obscured somewhat by the foreground detail shown in the sketch). At the deepest level, over the course of mm. 9–20,  $\hat{5}$  ( $G_5$ ) is supported by the tonic *Stufe* (an interval of a fifth),  $\hat{4}$  ( $F_5$ ) is passing,  $\hat{3}$  ( $E\flat_5$ ) is supported by the mediant *Stufe* in m. 11ff. (an interval of an octave),  $\hat{2}$  ( $D_5$ ) is supported by the dominant *Stufe* in m. 16 (an interval of a fifth), and  $\hat{1}$  ( $C_5$ ) is supported by the tonic *Stufe* arriving in m. 20 (an interval of an octave)—although the tonic *Stufe* in m. 20 does not appear in root position on the music’s surface until m. 22. Nonetheless, in Schenker’s analysis, the goal-directed motion of both *Urlinie* and *Stufengang* converge to create formal closure in m. 20.

The fugue’s third section (mm. 20–29) is harmonically static at the deepest level. Set in the key of C minor in the foreground, this section composes-out only the tonic *Stufe* (see below the sketch at m. 20ff.). Although the melody completes an octave–progression from  $\hat{8}$  ( $C_5$ ) in m. 20 down to  $\hat{1}$  ( $C_4$ ) in m. 29, this descent is less structurally significant, as indicated by the scale degrees above the staff placed in parentheses. After the octave–progression’s resolution to  $\hat{1}$  ( $C_4$ ) in m. 29, the fugue’s last two measures function as a coda.

To summarize: In this analysis, Schenker attempts to integrate his previous conception of fugue as a three-part form based on contrasting keys with his newly developed conception of the *Urlinie* as a melodic idea unfolding over the course of an entire composition.<sup>51</sup> Each section is demarcated by deep-level *Stufen* manifest as foreground keys: the first section (mm. 1–9) is based on the tonic *Stufe* alone, the second section (mm. 9–20) is based on mediant and dominant *Stufen*, and the third section is again based on the tonic *Stufe*. The three main linear progressions in the upper voice comport with this three-part tonal layout. Schenker writes,

The briefest formulation of events, I–III–V–I, expresses the composing-out of the C-minor triad: a motion to the dominant (V), the triad’s divider, followed by a return to the tonic root. The unified composing-out guarantees the organic life of the fugue and even reinforces, in the background tonality, the particular feature of the three-part structure which has already been mentioned, namely, that the third part of the fugue simply functions as an emphatic conformation of the reiterated I.<sup>52</sup> (Schenker [1926] 1996, 32)

But Schenker seems to overlook a problem with this analysis. Despite the apparent agreement of voice leading, harmony, and form, hearing this fugue’s definitive close at the beginning of the third section (m. 20) is deeply unsatisfying. According to Schenker’s analysis, the piece effectively “ends” two thirds of the way through.<sup>53</sup> Moreover, m. 20 initiates a sequence of falling fifths in

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<sup>51</sup> Compare Schenker’s three-part conception of this fugue to example 3.2.11 (p. 209), an earlier diagram from the Oster Collection. There the three-part disposition of keys (B-flat major–B-flat minor–B-flat major) in the fugue from Brahms’s *Variations and Fugue on a Theme by Handel*, op. 24, is coordinated with a three-part form ( $a_1$ – $b$ – $a_2$ ).

<sup>52</sup> “Das auf die kürzest Formel gebrachte Ergebnis I–III–V–I drückt die Auskomponierung des Mollklanges C aus, die sich zum Quintklang (V) als dem Teiler des Klanges bewegt, hierauf zum Grundton zurücksinkt. Diese Einheit in der Auskomponierung verbürgt das organische Leben der Fuge und hebt sogar, im Hintergrund der Tonalität, die Besonderheit der erwähnten drei Teile auf, namentlich der dritte Teil der Fuge bedeutet nur eine nachdrückliche Bestätigung der wiedererreichten I. Stufe” (Schenker [1926] 1974, 2:59).

<sup>53</sup> I thank Frank Samarotto, who first pointed out to me that the *Urlinie* descends much too early in example 4.3.3.

the bass—namely, the *Stufenkreis* I–(IV–VII–III–VI–II–V–I–V)–I shown in example 4.3.3. This harmonic motion suggests that we are still in the midst of a *continuation*.

To better capture this sense of continuation, we might, for example, hear an octave-progression from  $\hat{2}$  ( $D_5$ ), implied on the second half of m. 16, down to  $\hat{2}$  ( $D_4$ ) over V, arriving just before m. 29, which would compose-out a deep-level dominant *Stufe*. The tonic *Stufe* that Schenker implies in m. 20—which he connects to the tonic *Stufe* on the downbeat of m. 22—would be heard merely as consonant support for a passing tone in the upper voice ( $C_5$ , or  $\hat{1}$ ). Schenker’s search for uniform agreement among the descent of the *Urlinie*, the motion of the *Stufengang* toward the tonic, and a pre-existing conception of the fugue as having three parts demarcated by key areas (*Stufen als Tonarten*) leads him to hear a definitive close in m. 20 that seems much too soon—yet, ironically, this close is also overdetermined given his approach. To coordinate the *Urlinie* with foreground keys and a three-part form, Schenker overlooks—or, to put matters less generously, he willfully ignores—important surface features, such as the harmonic sequence beginning in m. 20. What is gained in terms of theoretical consistency is lost in terms of our ability to capture fully what occurs in this composition, particularly as it relates to matters of large-scale closure.

§ 4.3.2. “On Organicism in Sonata Form”: Haydn’s Piano Sonata in G Minor, Hob. XVI:44/i; Beethoven’s Piano Sonata in F Major, op. 10, no. 2/i

Schenker demonstrates the organic nature of sonata form through the analysis of sonatas by Haydn and Beethoven in *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996, 23–30). Consequently, he implies that the same continuity of melody (*Urlinie*) and voice leading that was

present in Bach's fugue is also at work in Beethoven's sonata: Halm's two cultures become one. Yet, as Schenker sought greater theoretical (and even ideological) unity, his analyses risked greater internal contradictions. These contradictions result when his earlier conception of sonata form, which was based primarily on key areas, collides with his newfound conception of the *Urlinie* as a melodic idea spanning an entire work. But as these analyses show, the coordination of more traditional key areas and formal divisions do not always coincide with articulations of the *Urlinie* (*Glieder*), its first-order linear progressions, and their supporting *Stufen*.<sup>54</sup>

A sketch of Haydn's Piano Sonata in G Minor, Hob. XVI:44/i, is shown below in example 4.3.4(a). As William Rothstein (2001, 215) observes, the *Stufengang* at level *a* (labeled *Tonalität*)—namely, the first bass arpeggiation I–[III]–V–I—contradicts the foreground keys at level *b* (labeled *Stufen als Tonarten*). Rothstein writes,

a closer inspection reveals that this series of keys is G minor–B-flat major–G minor, and that there is no corresponding progression I–III–I at the deeper level. The deeper-level progression is I–III–V–I, but the V in question is never a “key”; it is the active dominant of G minor at the end of the movement's development section. As is not infrequently the case, what Schenker says and what Schenker does are somewhat at odds here. (Rothstein 2001, 215)

This contradiction between foreground keys (G minor–B-flat major–G minor) and deep-level *Stufen* derived from the bass arpeggiation (I–V–I) is made intelligible if we consider the possibility

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<sup>54</sup> This coordination, or lack thereof, is similar to what Peter Smith (2005) calls “dimensional counterpoint.” Dimensional counterpoint involves the interaction of thematic design, key scheme, and tonal structure, although it can include other aspects of a composition. Smith writes, “Thematic design refers to patterns of melodic ideas organized into phrases, phrase groups, and so forth up to the largest sections of a piece. Key scheme indicates the succession of harmonic areas that are tonicized across the main sections of the form. Tonal structure encapsulates contrapuntal and harmonic relationships revealed in Schenkerian analysis” (31). Smith observes that, while “traditional discussions of form often conflate key scheme and large-scale harmonic progression, these dimensions are not necessarily coextensive” (31). This is an important distinction for us to keep in mind.

**EXAMPLE 4.3.4** Voice-leading sketches: Haydn's Piano Sonata in G Minor, Hob. XVI:44/i

(A) A sketch of the entire movement (Schenker [1926] 1974, 2:46, fig. 1)

Staff a) shows a high-level sketch of the entire movement. The tonality line is: Tonalität: I — [III] 8-10-8- — -8-8 — V-I — II V I. The key signature line is: Stufen als Tonarten: I — II V I VI IV V I — II V I III — [Durchgänge] — V — II V I. The key signatures are G moll, B dur, G moll, G moll.

Staff b) shows a more detailed sketch of the exposition. The tonality line is: Tonalität: I — [III] 8-10-8- — -8-8 — V-I — II V I. The key signature line is: Stufen als Tonarten: I — II V I VI IV V I — II V I III — [Durchgänge] — V — II V I. The key signatures are G moll, B dur, G moll, G moll.

(B) A more detailed sketch of the exposition: I. *Gedanke* (mm. 1–4), *Modulationspartie* (mm. 5–12), and II. *Gedanke* (mm. 13–20) (Schenker [1926] 1974, 2:47, *Anhang III*)

Staff b) shows a more detailed sketch of the exposition. The tonality line is: Tonalität: I — [III] 8-10-8- — -8-8 — V-I — II V I. The key signature line is: Stufen als Tonarten: I — II V I VI IV V I — II V I III — [Durchgänge] — V — II V I. The key signatures are G moll, B dur, G moll, G moll.

that two entirely different theories are operating in this sketch. Level *a* shows a deep middleground based on Schenker's organic theory of transformational voice leading, in which harmonies are composed-out through linear progressions. In contrast, level *b* incorporates an earlier approach to sonata form based on analysis by key (Schachter [1986] 1999b). In fact, the labels for the traditional parts of the outer form and the labels for the foreground keys are both

reserved for level *b*.<sup>55</sup> This analysis represents Schenker's type-B exposition, shown in example 4.3.5(b), where the *Modulationspartie* begins in the subordinate key and is therefore grouped with the beginning of the II. *Gedanke*. In this case, Haydn's sonata modulates via a pivot chord in m. 5—namely, the tonic *Stufe* in the key of G minor becomes the submediant *Stufe* in the key of B-flat major (I/VI).<sup>56</sup> Example 4.3.4(a) is not a fully integrated or even coherent analysis; rather, it uses *two different methodologies*, one laid over the other, with the hope that the ways they align will become apparent.

While Schenker's conception of the type-B exposition binds the *Modulationspartie* with the II. *Gedanke* based on a common subordinate key, his description of the foreground voice leading in example 4.3.4(b) suggests that the I. *Gedanke* and *Modulationspartie* are bound together instead through a single arpeggiation (*erste Brechung*) unfolding in mm. 1–12 (D<sub>5</sub>–G<sub>5</sub>–B<sub>b5</sub>–D<sub>6</sub>):

we finally realize, to our great astonishment, that the entire contents of bars 1–12 have amounted to an ascending register transfer D<sub>5</sub>–D<sub>6</sub> which establishes D<sub>5</sub> as  $\hat{5}$ , not G<sub>5</sub>; and that, furthermore, this single register transfer evidently joins together the parts of the form that the theorists designate separately as the antecedent of the first subject, consequent, and transition!<sup>57</sup> (Schenker [1926] 1996, 24)

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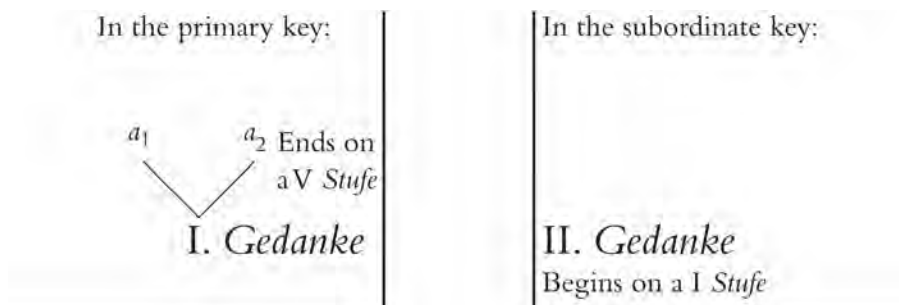
<sup>55</sup> In example 4.3.4(a), the more detailed sketch (level *b*) should include a tonic *Stufe* that coincides with the bass voice's G<sub>3</sub> at m. 52 (cf. the tonic Roman numeral shown in the sketch at level *a* directly above).

<sup>56</sup> Again, see example 4.3.5(b), where the *Modulationspartie* in a type-B exposition might begin on either a tonic or submediant *Stufe* in the subordinate key. The analysis of Haydn's G-minor piano sonata conforms to the latter situation. Also see Schenker's reading of Haydn's op. 33, no. 4/i, shown on p. 265 in example 3.3.9(a). In m. 13 of this analysis, which I reconstruct in example 3.3.10 (pp. 266–67), Schenker hears a III<sup>#</sup> chord in B-flat major reinterpreted as VI<sup>#</sup> in F major to begin the *Modulationspartie*.

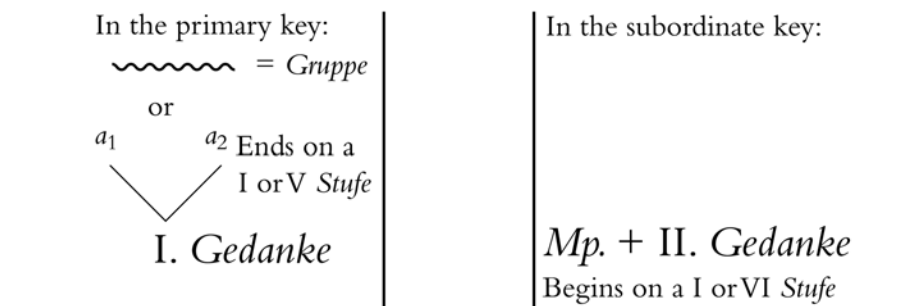
<sup>57</sup> “zum größten Erstaunen erkennt man endlich hier, obwohl c<sup>3</sup> nicht einmal ausdrücklich ausgesprochen wird, daß aller Inhalt von T. 1–12 nur die Höherlegung d<sup>2</sup>–d<sup>3</sup> gewesen, die nicht g<sup>2</sup> meint, sondern d<sup>2</sup> in die Rechte einer  $\hat{5}$  einsetzt, daß ferner die eine Höherlegung ihren großen Bogen nun offenbar über alle Formteile schlägt, die von der Theorie mit Vordersatz des 1. Gedankens, Nachsatz und Modulation bezeichnet sind!” (Schenker [1926] 1974, 2:47).

**EXAMPLE 4.3.5** Schenker's four types of sonata-form exposition arranged from the most sectional to the most continuous

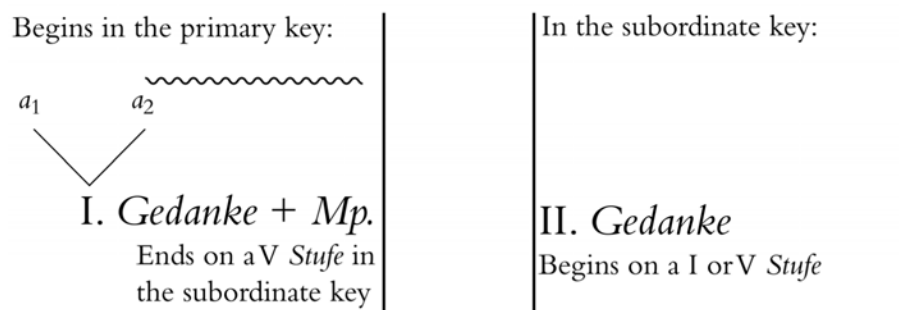
(A) Type-A exposition: *Modulationspartie* absent (OC 83/87)



(B) Type-B exposition: *Modulationspartie* fused with the II. *Gedanke* (OC 83/88 and 89)

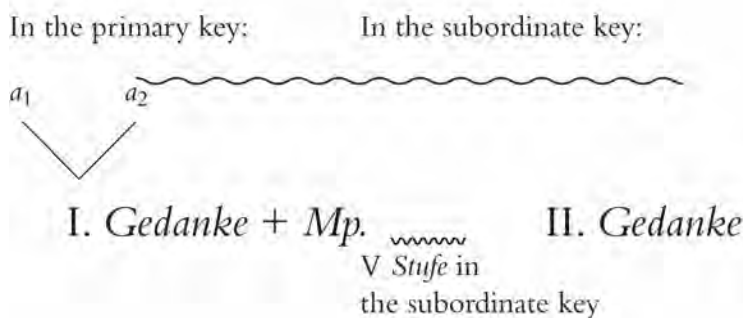


(C) Type-C exposition: The I. *Gedanke* fused with the *Modulationspartie* (OC 83/90)



## EXAMPLE 4.3.5 CONTINUED

(D) Type-D exposition: The end of the I. *Gedanke* and the beginning of the II. *Gedanke* fused with the *Modulationspartie* (OC 83/91)



Moreover, the II. *Gedanke* coincides with a second arpeggiation (*zweite Brechung*) in mm. 12–17, from F<sub>5</sub> in m. 12 to B $\flat$ <sub>5</sub> in m. 13, and then retracing this path by stepwise motion and exceeding it up to D<sub>6</sub> in m. 17 (a sixth-progression). The second arpeggiation is F<sub>5</sub>–B $\flat$ <sub>5</sub>–D<sub>6</sub>.<sup>58</sup> As a result, the first arpeggiation of the G-minor triad spanning the I. *Gedanke* and *Modulationspartie* (mm. 1–12) is answered by the second arpeggiation of the B-flat-major triad spanning the II. *Gedanke* (mm. 13–20). Rather than an opposing theme, as in Halm’s conception of sonata form *qua* disposition, the second theme is heard as a continuation of the first, as Halm might expect to find in Bach’s fugues *qua* invention. In Schenker’s analysis, these arpeggiations have gained a quasi-motivic function that provides unity between what might traditionally be considered opposing formal sections.

Schenker describes this kind of long-range coherence, where spans of generative voice leading cut across traditional formal boundaries, as follows:

<sup>58</sup> Notice in example 4.3.4(b) that the D<sub>6</sub> in m. 8 is given a small notehead and no  $\hat{5}$  indication, while the D<sub>6</sub> in m. 17 is given a large notehead and a  $\hat{5}$  indication. The D<sub>6</sub> in m. 17 is the ultimate goal of the ascending motion in the upper voice, yet in the sketches shown in example 4.3.4(a) (levels *a* and *b*), the emphasis on D<sub>6</sub> in m. 17 disappears altogether.



It is not enough merely to read off the changes of key from the foreground, as the theorists do; it is also of the utmost importance to know what forces motivate these changes and guarantee the unity of the whole. Haydn, of course, did not know any theories of form as we know them; the new animation that he created was the product of his lively imagination. The *Urlinie* and bass arpeggiation ruled over him with an instinctive power, and from them he developed an ingenious capacity for creating tension across the whole of a work, as an entity. But who among the theorists can give us so much as a hint of such a path towards unity?<sup>59</sup> (Schenker [1926] 1996, 24)

This “capacity for creating tension” is very different, however, from a one-to-one correspondence between parts of the form and articulations of the *Urlinie* and deep-level *Stufen*. As we saw in example 4.3.4(a), at level *b*, the key of G minor defines the I. *Gedanke* (mm. 1–4), while the key of B-flat major binds together the *Modulationspartie* and II. *Gedanke*. The first arpeggiation in example 4.3.4(b), from D<sub>5</sub> as the pick-up to m. 1 to D<sub>6</sub> in m. 8, ventures beyond the boundary that is created by the key change in m. 5. As the G-minor triad is still being arpeggiated (D<sub>5</sub>–G<sub>5</sub>–B<sub>b5</sub>–D<sub>6</sub>), the music modulates to the key of B-flat major (m. 5ff.). Admittedly, the B<sub>b5</sub>–D<sub>6</sub> interval in this arpeggiation is common to both the G-minor triad and the B-flat-major triad, as Schenker’s pivot-chord modulation in m. 5 (I/VI) suggests. There is no real contradiction here, yet there is also a sense in which a trace of the G-minor harmony from the I. *Gedanke* (mm. 1–4) is carried forward into the *Modulationspartie* (mm. 5–12). The second arpeggiation, from F<sub>5</sub> (the pick-up to m. 13) to D<sub>6</sub> (m. 17), unifies the II. *Gedanke*, but this gesture simultaneously distinguishes the II. *Gedanke* from the *Modulationspartie*—sections that were

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<sup>59</sup> “Es genügt eben nicht, vom Vordergrund den Tonartenwechsel abzulesen, wie die Theorie es tut, es ist durchaus nötig, auch noch zu wissen, welche Kraft den Tonartenwechsel hervortreibt und für die Einheit des Ganzen sorgt. Haydn kannte ja noch keine Formenlehren, wie wir sie kennen; das neue Leben, das er zeugte, schöpfte er aus dem Leben seines Geistes. Ihn beherrschte die *Urlinie* und die *Baßbrechung* mit der Macht eines Naturtriebes und von ihnen bezog er auch die geniale Spannkraft zur Bewältigung des Ganzen als einer Einheit. Wo findet sich aber in der bisherigen Theorie auch nur die Andeutung eines solchen Weges zur Einheit?” (Schenker [1926] 1974, 2:46–47).

initially grouped together based on their shared key (B-flat major). This is not a unity of inner and outer form through rigid alignment (monism); rather, it is a unity created by *dovetailing* aspects of inner and outer form through various overlaps (synthesis).<sup>60</sup> This dovetailing, according to Schenker, is produced by an improvisatory impulse originating from within the composer's imagination:

without understanding motives in this sense, the scope and sweep of improvisation, which alone creates organic coherence in sonata form, would never be achieved. For this reason, too, there can never be a tradition of sonata form; for how could one arise if general consciousness, like the general instinct, has been blind to its chief characteristic, the improvisatory impulse, which gives coherence to the parts of the form by means of linear progressions?<sup>61</sup> (Schenker [1926] 1996, 30)

In effect, Schenker regards the *misalignment* of inner and outer form as organic synthesis.

This dovetailing features prominently in the analysis of Beethoven's Piano Sonata in F Major, op. 10, no. 2/i, from the same essay in *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996, 23–30). But in this case, the misalignment of inner and outer form becomes so extreme that any relationship between Schenker's more traditional conception of sonata form based on key areas and his new approach to organic voice leading based on the *Urlinie* and the composing-out of harmonies within a single diatonic framework (*Tonalität*) seems to fall apart. The voice-leading

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<sup>60</sup> Throughout this chapter, inner form is understood as the “tonal dynamic of a work—its large-scale harmonic and linear layout,” while outer form is understood as the “thematic aspect of a piece, as well as its layout into periods and phrases” (Rothstein [1989] 2007, 104). To clarify these terms in the present context, the foreground key areas properly belong to the outer form, whereas the deep-level *Stufen* belong to the inner form.

<sup>61</sup> “Ohne Kenntnis der Motive in diesem Sinne war aber das Weite und Flughafte des Stegreifs, der allein das Organische der Sonatenform schafft, nicht zu erreichen. Deshalb muß es auch an einer Tradition der Sonatenform fehlen; wie hätte es denn zu einer solchen kommen können, wenn das allgemeine Bewußtsein wie der allgemeine Instinkt gerade vor dem Hauptmerkmal versagt hat, vor dem Stegreif-Zug, der die Formteile durch Züge zusammenfaßt?” (Schenker [1926] 1974, 2:54). For more on Schenker and improvisation, see Koslovsky (2010) and Rink (1993).

sketch of the exposition is shown in example 4.3.6. Schenker prefaces this analysis by again attacking the so-called theorists:

Here, too, the theorists have up to now made use of their customary names for the content. In this way however they are merely describing, externally and superficially, the condition of that which has become [*Zustand des Gewordenen*]; they clearly betray their lack of understanding of the law of the particular process of becoming [*Gesetz des besonderen Werdens*], which is the only thing that matters even when one is conceptualizing form in a general way.<sup>62</sup> (Schenker [1926] 1996, 25)

This “process of becoming” is the motion from background to foreground, or what Cook describes as “axial causality” (2007, 70–71). But if we retrace the analysis presented in example 4.3.6 along this path—from level *a* in the background to level *h* in the middleground (and even beyond to level *k* in the foreground)—it is difficult to understand how Schenker’s formal analysis at level *h* might meaningfully derive from the levels of voice leading.

Consider the outer form at level *h*. Key areas (*Stufen als Tonarten*) are not shown at any level in example 4.3.6, thus concealing possible conflicts between key areas and deep-level *Stufen*. The lack of clearly indicated key areas also obscures whether level *h* is indicative of Schenker’s type-B or type-C exposition—it largely depends on where he would place the modulation, either at the beginning of the *Modulationspartie* (type-B) or near the end (type-C). If this exposition were read as a type-C exposition (see above, example 4.3.5[c]), the end of the I. *Gedanke* would be combined with the beginning of the *Modulationspartie* based on the shared key of F major (cf. example 4.3.6, level *h*, up to m. 18), although the *Modulationspartie* would typically end on a

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<sup>62</sup> “Auch auf einen solchen Inhalt wendet die bisherige Theorie ihre üblichen Bezeichnungen an: damit beschreibt sie aber nur den Zustand des Gewordenen äußerlich und flach und verrät deutlich, daß sie vom Gesetz des besonderen Werdens keine Kenntnis hat, auf das allein es auch in der allgemeinen Begriffsbestimmung der Form ankommt” (Schenker [1926] 1974, 49).



dominant *Stufe* in the subordinate key. In Beethoven's sonata, the subordinate key eventually turns out to be C major—the key of the dominant, as we might expect—although the *Modulationspartie* ends on an E-major harmony, or what we might understand as a local dominant in A minor (a key that never materializes). Not until m. 19 does the II. *Gedanke* begin in the subordinate key (C major), lasting until m. 55, at which point the *Schlußgedanke* begins in the same key.<sup>63</sup>

Furthermore, if this exposition were heard as a type-C exposition, consider how the disposition of keys—F major for the I. *Gedanke* and the beginning of the *Modulationspartie*, C major for the II. *Gedanke* and the *Schlußgedanke*—interacts with the *Urlinie* and deep-level *Stufen* at levels *a* through *g*. At level *a*, the entire exposition, until the beginning of the *Schlußgedanke* beginning in m. 55, is bound together through a descent of the *Urlinie* from F<sub>5</sub> (♂) to C<sub>5</sub> (♂). This linear motion is similar to the dovetailing that we saw in the sketch of Haydn's G-minor sonata (example 4.3.4, p. 338), where the upward arpeggiations bound formal sections together. But also notice what happens at level *b* with respect to the key areas. The underlying diatonic *Stufengang*—described in the sketch as the *Tonalität*, or what we might regard as the monotonicity—shows a tonic *Stufe* at the beginning of the I. *Gedanke* progressing to a supertonic *Stufe* in the middle of the II. *Gedanke* (cf. level *h*, m. 31). In a major-mode sonata exposition, we might typically expect the supertonic *Stufe* to arrive near the end of the *Modulationspartie*. Also, notice that the deep-level dominant *Stufe* does not arrive until near the end of the II. *Gedanke* (cf. level *h*, m. 49).

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<sup>63</sup> In example 4.3.6, Schenker lists the II. *Gedanke* beginning in m. 21, but this is likely a mistake (*recte*: m. 19). For an alternative analysis of this exposition, where the secondary-theme group is understood as a “trimodular block,” see Hepokoski and Darcy (2006, 175). Caplin (1998, 115–17, 117n57) hears the second theme (mm. 19–55) as divided by an internal half cadence in the subordinate key (see Schenker's supertonic *Stufe* in example 4.3.6, m. 31, levels *b* and *h*).

Moreover, compare levels *d* and *e* with level *h*. At level *d*, the upper voice effects a motion into an inner voice from F<sub>5</sub> to B $\sharp$ <sub>4</sub> (1. *Quintzug*), which “binds together the first-subject antecedent and consequent, the transition, and the first part of the second group” ([1926] 1996, 25–26).<sup>64</sup> At level *e*, the E<sub>5</sub> in the upper voice, which is passing between F<sub>5</sub> and D<sub>5</sub>, is made consonant through the C<sub>4</sub> shown in the bass. This leaping passing tone (*Kons. Dg.*) is the basis for the onset of the II. *Gedanke*, shown at level *h* in m. 21.<sup>65</sup> Therefore, the II. *Gedanke* begins within the composing-out of the deep-level tonic *Stufe*, but paradoxically, also in the key of the dominant. Specifically, see level *b*, where the F-major tonic triad is prolonged in mm. 1–29 through a 5–6 exchange before the supertonic *Stufe* arrives in m. 31 (cf. level *h* for measure numbers). This is an extreme example of dovetailing: (1) the dominant *Stufe* that defines the beginning of the II. *Gedanke* is wholly subsumed within the composing-out of the tonic *Stufe*; (2) the deep-level supertonic *Stufe*, which one might typically expect to find near the end of the *Modulationspartie* in a type-C exposition, does not arrive until the middle of the II. *Gedanke* (see level *h*, m. 31); and (3) the deep-level dominant *Stufe* that one might typically expect to find near the beginning of the II. *Gedanke* does not arrive until the very end of that section (see level *h*, m. 49). Moreover, the first *Quintzug*, from F<sub>5</sub> to B $\sharp$ <sub>4</sub> (see level *d*), binds together the first theme, transition, and the beginning of the second theme. The second *Quintzug*, also from F<sub>5</sub> to B $\sharp$ <sub>4</sub> (see level *f*), only

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<sup>64</sup> “hält den 1. Gedanken, Nachsatz, Modulation und Vordersatz des 2. Gedankens zusammen” (Schenker [1926] 1974, 2:49).

<sup>65</sup> Cadwallader and Gagné (2011, 206n8) define a leaping passing tone (*springenden Durchgang*) as “a tone that leaps in a lower voice to support a literal, stepwise passing tone in an upper voice.” See Schenker’s description of this phenomenon in the second book of *Kontrapunkt* ([1922] 2001, 182).

provides coherence for the second half of the second theme (*Nachsatz*). In neither case does a first-order linear progression directly correlate to a traditional part of the outer form.<sup>66</sup>

Although Schenker claimed that previous theorists did not understand “the law of the particular process of becoming,” in what meaningful sense can the analysis of the outer form at level *h* in example 4.3.6 be derived through the transformational levels of voice leading from background to foreground ([1926] 1996, 25)? The parts of the outer form seem to exist in spite of the improvisatory melodic gestures—and certainly it does not appear that the parts of the outer form relate to these gestures in any causal (or even logical) way. In 1926, Schenker is exploring how aspects of his more traditional *Formenlehre* interact with his organic theory of voice-leading coherence, but he has not yet defined the former wholly in the terms of the latter. Form still exerts its own force in this analysis—a force that exists outside the transformation from background to foreground.

#### § 4.3.3. The Myth of Axial Causality: Interruption as a Special Case in Chopin’s Nocturne in E-flat Major, op. 9, no. 2

Given conflicts between outer forms, key areas, and spans of generative voice leading, Schenker needed a way to integrate these compositional features more directly and at levels closer to the *Ursatz*. In other words, Schenker needed a way to integrate the discontinuity of form (exemplified by the sonata) with the continuity of counterpoint and voice leading (exemplified by

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<sup>66</sup> Compare this approach with Janet Schmalfeldt’s (1991) attempt to reconcile levels of Schenkerian voice leading with more traditional theories of form.

the fugue). This was likely the motivation for why he developed the concept of interruption (*Unterbrechung*).<sup>67</sup> As William Rothstein writes,

Prior to the appearance of *Unterbrechung* in Schenker's analytical arsenal, it is plausible to claim that Schenker's graphs have something Baroque about them. With the partial exception of foreground graphs, they are pictures of unidirectional, forward-moving voice leading, seemingly unaffected by rhetorical pauses, thematic and textural contrasts, and all the rest of what makes the Classical style so distinctive in comparison to the late Baroque. They therefore lend themselves especially well to figuration preludes and other pieces in which a relative uniformity of texture and figure throws most of the burden of musical shaping onto harmony, voice leading, and subtle (as opposed to dramatic) effects of rhythm. (Rothstein 2001, 213)

And as Frank Samarotto observes,

Schenker did not need a concept of interruption to show voice-leading coherence; indeed, it does not follow naturally from the species model. It is precisely because he wished to recognize formal design that interruption was added, demonstrating that his approach recognized form much more than has been acknowledged (and often in very subtle ways). (Samarotto 2005, 9)

If interruption does not arise naturally from the continuity of voice leading, how might it originate along the pathway from background to foreground? In what sense can interruption develop from the deepest levels of the middleground, which does not yet know the particularities of a composition's surface-level grouping and thematic design? Or, as Samarotto seems to imply, is interruption imposed onto the deep middleground from the foreground, perhaps reversing the causal flow of musical forces? Earlier, I suggested that Schenker's growing awareness of how a

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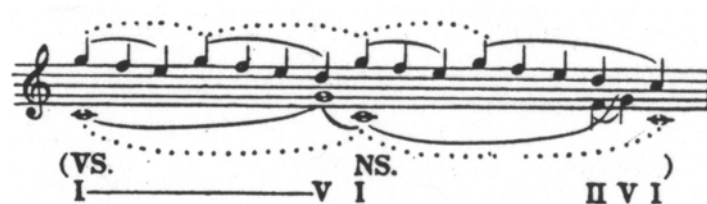
<sup>67</sup> See Rothstein (2011, 212–13). Schenker discusses interruption for the first time in *Der freie Satz* ([1935] 1979, 36–40), although the interruption symbol can already be found in his sketches of Beethoven's Third Symphony from *Das Meisterwerk in der Musik*, vol. 3 ([1930] 1997, 10, fig. 1). There is a great deal of secondary literature concerning interruption, including Arndt (2012), Baker (2010), Marston (2013), Marvin (2011), Priore (2004a, 2004b) Samarotto (2005), P. Smith (1994), and Smyth (1993). Also see Cadwallader and Gagné (2011, 116–20). For a look at how Chopin's music may have influenced Schenker's conception of form in general and the concept of interruption in particular, see Drabkin (2000).



neighbor motion in the *Urlinie* (e.g.,  $\hat{3}-\hat{4}-\hat{3}$ ) is coextensive with a three-part form ( $a_1-b-a_2$ ) at a local level might have led him to uncover deeper levels of voice leading in an analogous way. Moreover, as we saw in chapter 3, the formal types described in the last chapter of *Der freie Satz* ([1935] 1979, 128–45) predate the idea of the *Urlinie* altogether. In this sense, perhaps the outer forms became a guide to discovering the inner form (C. Smith 1996). Might interruption originate in a similar way—not only as a matter of history but also as a matter of generative theory? Given Schenker’s pre-existing conception of the *Periode* schema, might the formal division between a *Vordersatz* and a *Nachsatz* in the foreground also be projected into the deepest levels of voice leading (rather than *vice versa*)?

In example 4.3.7, taken from the second volume of *Das Meisterwerk in der Musik* ([1926] 1996, 4, fig. 5), the *Periode* schema is directly related to the *Urlinie* and the *Stufengang*. The *Vordersatz* (*VS*) includes a preliminarily descent from the *Kopftön*  $\hat{5}$  ( $G_5$ ) down to  $\hat{2}$  ( $D_5$ )—a motion into an inner voice that Schenker likely understands as a fourth-progression. The *Nachsatz* includes a complete stepwise descent of the *Urlinie* from the *Kopftön* down to  $\hat{1}$  ( $C_5$ ). However, there is no formal division between the end of the *Vordersatz* and the beginning of the *Nachsatz* as reflected by either the voice leading or the *Stufengang*. The dashed tie in the upper voice shows a continuous retention of the *Kopftön*; in the bass voice, the dominant *Stufe* ( $G_4$ ) near the end of the *Vordersatz* is slurred across the potential formal boundary to the  $C_4$  at the beginning of the *Nachsatz*. Similarly, a dashed tie across this boundary connects the tonic *Stufen* in the bass at the beginning of the *Vordersatz* and the *Nachsatz*. Schenker’s conception of the two-part *Periode* does not yet recognize a similar articulation of the voice leading and *Stufengang*. Instead, he focuses on the unity and cohesiveness of the *Periode* as an example of what I have described as dovetailing,

**EXAMPLE 4.3.7** The *Periode* schema before interruption (Schenker [1926] 1974, 2:16, fig. 5)



writing, “The carrying forward of the first primary note over all linear progressions up to and including that of the *Urlinie* itself, which brings the  $\hat{I}$  at the end, signifies tension throughout all parts of the form, hence cohesiveness, synthesis of the whole” (Schenker [1926] 1996, 4).<sup>68</sup>

As described in § 2.4.4, Schenker’s early conception of the *Periode* did not require any particular thematic design or cadential syntax; rather, the *Periode* was conceptualized as a simple proposition–response paradigm. But within the context of interruption, especially given the two parallel branches of the *Urlinie* (the first incomplete, the second complete), his conception of the *Periode* is usually more limited. It is subject to what William Marvin calls the reprise constraint:

A harmonic and thematic reprise on the musical surface is necessary in order to invoke interruption as a Schenkerian transformation. Without such a reprise, the form and voice leading are uninterrupted. (Marvin 2011, ex. 6)

This is a way of stating that, from a generative perspective, interruption only takes place at deeper levels with the knowledge of what occurs (or will occur) in the foreground. As Cook argues,

There is something impossible about this monist compulsion [in Schenker’s later work], a point at which it begins ineluctably to unravel. In terms of logic, there is a basic contradiction within Schenkerian theory as embodied in *Der freie Satz*. It is a matter of principle that features of surface “design”—motives, themes, taxonomic forms, and the rest—can only be properly apprehended on the basis of the fundamental structure (that is what they are designs of, so to speak), yet in

<sup>68</sup> “Das Forttragen des ersten Kopftones über die Auskomponierungszüge bis zu dem letzten *Urlinie*-Zug, der die  $\hat{I}$  bringt, bedeutet Spannung über alle Formteile hinweg, also den Zusammenhang, die Synthese des Ganzen” (Schenker 1926) 1974, 2:16).

practice, as Smith [1996] pointed out, it is only on the basis of such features that you can decide what the fundamental structure is. (Cook 2007, 294)

What motivates interruption to occur—a dramatic rupture of otherwise continuous deep-middleground voice leading—when these more foreground events have not yet to come into existence? For example, after an interruption, the second branch of the *Urlinie* (or its replicate at a more foreground level) might unknowingly reestablish the *Kopftön* in a context other than the original thematic material, thus violating Marvin’s reprise constraint.<sup>69</sup> It is as if causes in the background and middleground have already foreseen their effects in the foreground.

In *Der freie Satz*, Schenker claims exactly that, writing, “The inner law of origin accompanies all development and is ultimately part of the present” ([1935] 1979, 3).<sup>70</sup> According to this view, the *Ursatz* is never a generic prototype, for each *Ursatz*, as an origin, already contains within it a unique destiny: every detail manifest on the surface of a particular composition. But to say that foreground events originate in the background is also to beg the question, for it is never in doubt that a composition will ultimately manifest in one particular way. Cook describes this as “retrospective prophecy, the deeply conservative pattern of thought by which you explain empirical phenomena through positing ideal (external, immutable) entities that correspond to them, and then deriving the former from the latter, the actual from the ideal” (301). Instead, we might reimagine the generative aspects of Schenker’s theory to resemble how they developed historically and analytically. In this sense, of course the foreground influences our conception of the background, and of course the form influences our conception of the content: in practice, it

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<sup>69</sup> For example, compare this with the “tonal return section” often noted (since Mary Hunter [1982]) in Mozart’s arias, such as “Dove sono,” from act 3 of *Le nozze di Figaro*, K. 492. This section is not a thematic recapitulation *per se* but instead replaces it.

<sup>70</sup> “Das innere Gesetz des Ursprungs geht dann mit aller späteren Entwicklung einher und ist zuletzt in jeder Gegenwart mitenthalten” (Schenker 1935, 13).

could not be any other way (C. Smith 1996; Rothgeb 1971). In this sense, perhaps axial causality is something of a myth: a story that Schenker tells to make sense of events, but only after they have occurred. In other words, what Schenker ([1926] 1996, 25) calls “the law of the particular process of becoming” (*Gesetz des besonderen Werdens*) can be understood only under “the condition of that which has become” (*Zustand des Gewordenen*).

Schenker eventually recognized formal divisions more fully and at deeper levels of voice leading, as Samarotto notes above. For example, consider how various analyses of Chopin’s Nocturne in E-flat Major, op. 9, no. 2, changed over time.<sup>71</sup> Schenker’s sketch from *Das Meisterwerk in der Musik*, vol. 2 ([1926] 1996), is shown in example 4.3.8(a). The form ( $a_1$ – $b$ – $a_2$ ) is related to two continuous yet three-part tonal gestures. The first gesture occurs melodically: the neighbor motion  $\hat{3}$ –( $\hat{2}$ )– $\hat{3}$  in the *Urlinie* is correlated with the beginning of the  $a_1$ ,  $b$ , and  $a_2$  sections respectively. The second gesture occurs harmonically: the bass arpeggiation (I–V–I) is similarly correlated with the three parts of the form. Although the inner form articulates three formal sections, it is still not inherently discontinuous at this level.

In *Harmonielehre* ([1906] 1954, 10–11), Schenker describes how a three-part form ( $a_1$ – $b$ – $a_2$ ) “can be reduced ideally to the two-part form,  $a_1 : a_2$ , on which it is originally founded.”<sup>72</sup> In this case, he is describing more conventional thematic relationships based on repetition and association—namely, that the two-part schema  $a_1$ – $a_2$  somehow exists prior to or is more

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<sup>71</sup> This nocturne and Schenker’s sketches of it have been frequently discussed in the secondary literature: see Drabkin (2000, 176), Rink (1999, 110), Rothstein (1988, 118–21), Salzer (1952, 1:245–46, 2:117–18, 290–92, exx. 324, 500), and especially C. Smith (1996, 253–54).

<sup>72</sup> “Kann aber in der Musik die dreiteilige Form nun einmal nicht anders lauten als  $a_1 : b : a_2$ , so hat man hinter ihr offenbar doch nur die zweiteilige, nämlich  $a_1 : a_2$  als die ursprüngliche und grundlegende Form zu erkennen” (Schenker 1906, 12). Schenker also hints at the idea that the  $b$  section in a three-part form is at a lower level than the  $a_1$  and  $a_2$  sections bookending it in the footnote at the bottom of example 3.2.2(a), p. 188.

**EXAMPLE 4.3.8** Voice-leading sketches: Chopin's Nocturne in E-flat Major, op. 9, no. 2

(A) From *Das Meisterwerk in der Musik*, vol. 2 (Schenker [1926] 1974, 2:17, fig. 8)

Formteile:  $a_1 - b - a_2$   
 Urlinie:  $\hat{3} - \hat{2} - \hat{3} \hat{2} \hat{1}$   
 Stufen:  $I - V - I - (V) - I$   
 als durch  $\hat{3} \hat{2} \hat{1} - \hat{2} - \hat{3} \hat{2} \hat{1}$ :

Es dur:  $I \overset{7}{VI-II} V^7 - I V - (\text{Durchgänge}) - I \overset{7}{VI-II} V^7 - I$

(B) From the Oster Collection, date unknown (OC 32/35; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Chop. Noct. Op. 9, no. 2 (J.H.)

1.  $\overset{3}{\text{J.}}$

2.  $\overset{1.}{\text{J.}}$

3.  $\overset{2.}{\text{J.}}$

4.  $\overset{3.}{\text{J.}}$

Mr. Felger's Parallelen

Konting.

## EXAMPLE 4.3.8 CONTINUED

(C) Transcription of the above (OC 32/35)

Chop. Noct. E<sup>b</sup> op. 9 (No. II)

[Ursatz]

[Level] 1. Tl.

[Level] 2. Tl. Mittelgr.

[Level] 3. Tl.

[Level] 4. Vordergr.

$a_1$   $b$   $a_2$

$a_1$   $b$

Parallelism[us]

I (VI) II V

(D) From *Der freie Satz* (Schenker 1935, fig. 84)

$A_1$   $B$   $A_2$

$\hat{3}$   $\hat{2}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

fundamental than  $a_1-b-a_2$ . That Chopin's nocturne can ultimately be reduced to two parts in relation to its *voice leading* is a more profound idea, which Schenker explores in the sketch shown in example 4.3.8(b), followed by my transcription in example 4.3.8(c). Example 4.3.8(b) appears in Schenker's hand and is found among various other Chopin analyses located in file 32 of the Oster Collection dating from the mid-1920s to the early 1930s. The topmost staff shows an *Ursatz* with an undivided *Urlinie* that descends from  $\hat{3}$  ( $G_5$ ) as the *Kopftön*. At the first level, the *Urlinie* is divided into two branches: the first incomplete, descending only to  $\hat{2}$  ( $F_5$ ); the second complete, descending by step from the *Kopftön* down to  $\hat{1}$  ( $E_b_5$ ). The first  $\hat{2}$  is supported by a dominant *Stufe*—a leaping passing tone, or what Schenker labels as a *Teiler* (*Tl.*).<sup>73</sup> From this two-part structure at the first level emerges a three-part structure ( $a_1-b-a_2$ ) at the second and third levels. To generate a more fully developed *b* section, the dividing dominant is composed-out, and  $\hat{2}$  in the *Urlinie* is prolonged through the fifth-progression from  $F_5$  to  $B_b_4$  (a motion into an inner voice), shown most clearly at the third level. It is difficult to date this sketch, but notice that the interruption sign (||) is nowhere to be found. Therefore, the sketch likely dates sometime between 1926 and 1930—that is, after the sketch in 4.3.8(a), which shows an uninterrupted  $\hat{3}-(\hat{2})-\hat{3}$  lower-neighbor motion in the *Urlinie*, and before the third volume of *Das Meisterwerk in der Musik* ([1930] 1997), when the interruption symbol was first used.

Schenker's sketch of this nocturne from *Der freie Satz* ([1935] 1979, fig. 84) is shown in example 4.3.8(d). This sketch is nearly identical to the second level shown in example 4.3.8(b), except the interruption sign is placed at the end of the *B* section. The three-part from  $A_1-B-A_2$  is divided into two parts ( $A_1-B$  and  $A_2$ ), which, if we recall from *Harmonielehre*, perhaps more

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<sup>73</sup> For a history of the divider (*Teiler*), see Cadwallader and Gagné (2016).

closely resembles Schenker's original conception of three-part form as derived from two-part form. Through the concept of interruption, Schenker is able to more fully integrate his previous ideas regarding traditional two- and three-part forms with spans of organic voice leading and harmonic composing-out at the deepest levels. It is in this sense that we might understand how a pre-existing *Formenlehre* contributed to his understanding of inner form. As Schenker's theory of transformational voice leading developed, it was modified to recognize aspects of the outer form. Then, through what Cook describes as "retrospective prophecy," Schenker claims that the inner form had, in fact, generated these aspects of the outer form all along. This sleight of hand deftly conceals forces that emanate from form in the foreground—forces that might also affect the voice leading at deeper levels. We might even question whether Schenker's causal (organic) theory of musical coherence, where forces seems to move from background to foreground in only one direction, is still plausible.<sup>74</sup>

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<sup>74</sup> My discussion of how we might reimagine the relationship between background and foreground in Schenker's late theory is indebted to Cohn (1992b) and Cook (2007, 269–306).



§ 4.4. “BOTH FRAGRANCE AND SPIRIT”: SCHENKER’S LATE *FORMENLEHRE* RECONSIDERED

Goethe in *Metamorphose der Pflanzen*, suggests that all plants are variations on a theme. What is the theme? Goethe says “They all point to a hidden law.” But you wouldn’t ask: What is the law? *That* they point is all there is to it.

Darwin made a hypothesis to account for this. But you might treat it quite differently. You might say what is satisfactory in Darwin is not the hypothesis, but the putting the facts in a system—helping us to overlook them.

You may ask: What is in common to all music from Palestrina to Brahms? And one might answer: They start from tonic, go to dominant, & return to tonic.

—Ludwig Wittgenstein, Cambridge Lecture 6a, May 22, 1933, as recorded by G. E. Moore

Ludwig Wittgenstein leads us from Goethe to Darwin to a sardonic characterization of Schenker’s late work as overly reductive.<sup>75</sup> Yet, when Schenker first described the *Urlinie* in print in 1921, he thought he had achieved something far greater: a theory of musical causality. In that same year, Wittgenstein published his *Logisch-Philosophische Abhandlung*.<sup>76</sup> Therein, he critiqued explanatory theories based on causal necessity, including scientific theories that invoke so-called

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<sup>75</sup> In fact, Wittgenstein was familiar with Schenker’s ideas through Felix Salzer. As Eran Guter (2004, 193–94) has observed, “Salzer was . . . Wittgenstein’s nephew, and according to Brian McGuinness the two men spent some time together discussing Salzer’s own work and the music theory of Heinrich Schenker, who was Salzer’s mentor. These discussions began in 1926 and continued down to summers on the *Hochreit*, the Wittgenstein country estate, in the early 1930s.” Although Salzer did not study with Schenker until 1931, he had studied with Hans Weisse, one of Schenker’s students, beginning in the early 1920s (Koslovsky 2009, 18–19). For a biographical sketch of Salzer, including his relationship to the Wittgenstein family, see Koslovsky (2009, 13–52). The above epigraph is quoted in Guter (2015, 432).

<sup>76</sup> Wittgenstein’s *Abhandlung* was translated into English in 1922 as *Tractatus Logico-Philosophicus*, the title by which it is best known today.

natural laws. He described causality as a form of superstition—an idea that belongs to ages past, such as God and Fate. Schenker’s own conception of musical causality was deeply connected with his monotheistic religious beliefs, even equating the *Ursatz* with God (example 4.3.1, p. 328). Today we might regard his organic theory of tonal coherence much as Wittgenstein regarded Darwin’s theory: as a source of great explanatory power, but also as something of a danger, where we risk not hearing all that a composition has to tell us. Schenker’s later tendency toward monism should be resisted.

In a diary entry dated July 31, 1925, Schenker recorded a dream that betrays his own concerns about organic unity even before fully achieving the method expressed in *Der freie Satz*. He defends his theory against the capriciousness of none other than Beethoven:

at a performance of his Septet [op. 20], Beethoven insists on not letting the last movement be performed! I am asked for my opinion on how that is compatible with the “organicism of the whole?”<sup>77</sup>

This is a most private confession—a dream recorded in a diary. But more public doubts regarding the strictly causal (organic) aspects of Schenker’s theory are also found in *Der freie Satz*:

The content of the second and the subsequent levels is determined by the content of the first level, but at the same time it is influenced by goals in the foreground, mysteriously sensed and pursued.<sup>78</sup> (Schenker [1935] 1979, 68; quoted in Lubben 1993, 62; and Cook 2007, 294)

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<sup>77</sup> “bei einer Aufführung seines Septetts besteht Beethoven darauf, den letzten Satz nicht spielen zu lassen! Ich werde um meine Meinung gefragt, wie sich das mit dem ‚Organismus des Ganzen‘ vertrage?” (diary entry by Schenker, dated July 31, 1925; see Schenker Documents Online; transcr. Marko Deisinger, transl. Scott Witmer; available from [http://www.schenkerdocumentsonline.org/documents/diaries/OJ-03-07\\_1925-07/r0031.html](http://www.schenkerdocumentsonline.org/documents/diaries/OJ-03-07_1925-07/r0031.html); Internet; accessed August 17, 2016).

<sup>78</sup> “Einerseits richtet sich der Inhalt der zweiten und der folgenden Schichten nach dem der ersten Schicht, zugleich aber nach dem geheimnisvoll geahnten und verfolgten Ziele im Vordergrund. Deutlicher schon als die erste läßt die zweite Schicht die Abzweigung in das Besondere des Werkes erkennen” (Schenker 1935, 111).

We saw how this mysterious influence of the foreground on the background was manifest through the concept of interruption. This influence challenges a truly organic, even monotheistic theory of music, where energy is transferred in one direction only. Schenker seems to concede that effects might influence their causes, that Creation might influence God.<sup>79</sup> Cook writes, “The most generous construction, which is probably too generous, is that [Schenker] insisted on strict causality as a matter of principle, but in practice was more flexible, more humanistic than his principles should properly have allowed” (2007, 300). And with this thought, we return to where this dissertation began: the disparity between what Schenker says and what he does—a conflict between polemics and practice.

By reconstructing Schenker’s early *Formenlehre*, we gain a new perspective from which we might understand this conflict from a historical perspective—namely, that a pre-existing *Formenlehre* prompted him, at least in part, to follow a path that eventually led to the *Ursatz* (C. Smith 1996). Given this insight, we are invited to reimagine the relationship of background to foreground, including the relationship between so-called causes and their effects. Is this relationship causal in one direction, paradoxically causal in both directions, or is belief in causality a form of superstition, as Wittgenstein would have it?

We might disenchant Schenkerian theory by replacing causal relationships with logical relationships—in practice, this has already occurred in the United States with the reception of Schenker’s ideas by Milton Babbitt and Allen Forte<sup>80</sup>—but does this truly solve the difficulties that we encounter when attempting to redefine form in the terms of content? We either risk imposing unity of voice leading and form onto the music so that we “overlook the facts,” as in the analysis

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<sup>79</sup> For more on “retrocausality” (or “backward causation”), see Dummett (1954).

<sup>80</sup> See Rothstein (1990, 199–200) and Bernstein (2015, 1–18).

of Bach's C-minor fugue (example 4.3.3, p. 332); or, we risk analyses that seem to be internally at odds, as in the sketch of Beethoven's F-major sonata (example 4.3.6, p. 345). The latter choice offers us the best way forward. As Richard Cohn writes,

To deny the monolithic status of the *Ursatz* is not to abandon Schenker, but rather to jettison an aspect of his late work that he valued highly, and to attach the remaining cargo of his late work to the paradigm of his earlier work, where, as Carl Schachter [1988, 525] puts it, "the elements of counterpoint combine with such other compositional factors as harmony, patterned rhythm, form, and motivic design in a complex fabric where each factor acts upon all others." (Cohn 1992b, 169).

This is a revisionist version of Schenker's late theory—although it is a version that presupposes the unified approach achieved in *Der freie Satz* (or nearly so at least). After this achievement, only then do we overcome it. To appropriate Wittgenstein, "[We] must, so to speak, throw away the ladder after [we] have climbed up it" ([1921] 1974, 89).<sup>81</sup>

We might reimagine the relationship between inner form and outer form as a synthesis, "where each factor acts upon all others." Schenker describes this "interplay of forces" in his first published description of the *Urlinie*:

A musical work comes into being as an interweaving of *Urlinie*, scale degree, and voice leading. All of these fundamental fluids and forces—motif and melody spring from the *Urlinie*—constantly interpenetrate one another; one must not be confused about this reality by the manner of conceptualization according to which we can bring each of these to consciousness only individually. . . . This means to say that it is possible, indeed necessary, to speak of the *Urlinie* too in particular, even though it may cooperate inseparably with others in the interplay of forces within the work of art.<sup>82</sup> (Schenker [1921] 2015, 4:9)

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<sup>81</sup> "Er muss sozusagen die Leiter wegwerfen, nachdem er auf ihr hinaufgestiegen ist" (Wittgenstein 1921, § 6.54).

<sup>82</sup> "Zur Welt kommt ein Musikstück lebendig gewoben aus *Urlinie*, Stufe und Stimmführung. Daß alle diese Ursäfte und Kräfte—der *Urlinie* entquellten Motiv und Melodie—ständig ineinander weben und greifen, darüber darf nicht die Betrachtungsweise täuschen, daß man sich jede derselben erst einzeln zum Bewußtsein bringen muß. . . . Damit soll gesagt sein, daß wohl auch von der *Urlinie* im besonderen gesprochen werden darf, ja muß, mag sie auch im

This description is similar to what Christopher Brody calls fractional independence: a conception of form where the “parameters of tonal structure and thematic design are not independent—they move in tandem to some extent—nor are they perfectly in lockstep” (2015, 124). But we might also go a step further, preserving causality in two directions *as if* it were real. Inner and outer form affect each other in a reciprocal way: form in the foreground exerts its own force through the transformational levels to the background, while the background voice leading has a similar effect on the foreground (C. Smith 1996; Samarotto 2005). By acknowledging this, the generative aspects of Schenker’s theory recapitulate aspects of its historical development (a version of Haeckel’s law). This conclusion is not new, but given what we know about Schenker’s early *Formenlehre* and the role that it might have played in the development of his later ideas, we can state it with greater historical awareness and theoretical understanding.

In January of 1935, not long after Schenker had passed away, his longtime friends Moriz Rosenthal and Moriz Violin were grappling with these issues. How do we reconcile content with form, foreground with background, flower with *Urpflanze*, and corporeality with spirituality? How are we not only to understand but also experience the *Urlinie* and its relationship to the layers of voice leading as they are manifest in a composition?<sup>83</sup> Violin tells Rosenthal,

For me, a remark of yours concerning the *Urlinie* sticks deep, deep in my ear and mind. You said approximately: "What, after all, can the individual notes (linear formations) signify over against the indefinable imponderabilities of melody, indeed of the whole work?" . . . Schenker distinguishes, as it were, the mental idea from the sensuous idea. He speaks of a musical foreground and background technique and [*illegible*] I should like to express that more precisely through the likeness [*Gleichnis*] or an eternal truth:

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Kräftespiel des Kunstwerks nur untrennbar mit den anderen Kräften zusammenwirken” (Schenker 1921, 22).

<sup>83</sup> See Samarotto (2015, 65–67) for how we might experience the *Urlinie* and composing-out framed “as a dichotomy between materiality and conceptuality.”

[*illegible*] Every living thing in the world lives off the creator's foreground technique. His enchanting motivic enfoldings, the sensuality, craving, voluptuousness, the appeal of beauty: all these are in truth only form <sup>designed to</sup> gain recognition for the primordial law of his mental idea, of procreation (of the *Urlinie* of happening). The foreground, the secondary phenomenon, is indeed the primary thing in our lives and we are in fact closest to the creator when we carry within ourselves our *Urlinie* of life, love, this true mental procreative idea.

We breathe the fragrance of flowers. That is certainly not the spiritual mission of flowers. The fragrance awakes in us only a love for it [the flower]. We come closer to it and to the creator when we view it as botanist, <sup>as [*illegible*]</sup>. Then we shudder before the signs that show us how the law of procreation, this spiritual idea, was provided through mechanical procreative arrangements of eternal value. Then we will enjoy doubly both fragrance and spirit.<sup>84</sup>

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<sup>84</sup> “Es liegt mir eine Bemerkung von Ihnen zur Urlinie tief, tief im Ohr u. Gemüt. Sie sagten ungefähr: ‚Was sollen denn die einzelnen Noten (Linienführung) gegenüber den undefinierbaren Imponderabilien der Melodie, ja des ganzen Werkes bedeuten?‘ . . . Schenker unterscheidet quasi die geistige Idee von der sinnlichen Idee. Er spricht von einer musikalischen Vordergrund u. Hintergrundstechnik u. [*illegible*] Ich möchte das präziser durch das Gleichnis einer ewigen Wahrheit ausdrücken: [/] [*illegible*] Alles Lebende der Welt, lebt von der Vordergrundstechnik des Schöpfers. Seine reizvollen motivischen Kniffe, die Sinnlichkeit, Begierde Wollust, Schönheitsdrang, sind wahrlich nur ~~die~~ Form, <sup>um</sup> dem Urgesetz seiner geistigen Idee, der Zeugung, (der Urlinie des Geschehens) Geltung zu verschaffen. Gewiß ist der Vordergrund, das Sekundäre, das Primäre in unserem Leben u. doch sind wir am nächsten dem Schöpfer, wenn wir unsere Urlinie des Lebens, die Liebe, diese wahre geistige Zeugungsidee in uns tragen. [/] Wir atmen den Duft der Blumen. Das ist sicher nicht die geistige Mission der Blumen. Der Duft erweckt in uns nur die Liebe zu ihr. Wir kommen ihr u. dem Schöpfer näher wenn wir sie als Botaniker, <sup>als [*illegible*]</sup>tater betrachten. Wir erschauern <sup>dann</sup> vor den Zeichen, die uns zeigen, wie das Gesetz der Zeugung, diese geistige Idee, durch ~~die~~ mechanische Zeugungseinrichtungen ewiger Geltung verschafft wurde. Genießen werden wir dann doppelt Duft u. Geist” (handwritten draft of a letter from Moriz Violin to Moriz Rosenthal, undated, likely from ca. January 20, 1935; see Schenker Documents Online; transc. Christoph Hust, transl. Ian Bent; available from [http://www.schenkerdocumentsonline.org/documents/correspondence/OJ-70-3\\_1.html](http://www.schenkerdocumentsonline.org/documents/correspondence/OJ-70-3_1.html); Internet; accessed August 17, 2016).

## APPENDIX 1

## THE PATH TO RESEMBLANCE

## § A1.1. INTRODUCTION

“Der Weg zum Gleichnis” is an unpublished manuscript located in file 83 of the Oster Collection.<sup>1</sup> This document is not dated, although it was likely written ca. 1895—the same year that “Geist der musikalischen Technik” was published. Schenker expresses skepticism in “Gleichnis” regarding both organicism and formalism—sentiments reminiscent of “Geist’s” final paragraphs.<sup>2</sup> He also further develops the idea expressed in “Geist” that music evolved from an art based on imitating language to an art based on developing a motive (internal repetition).

The word “Gleichnis”—meaning resemblance, likeness, or parable—is taken from the opening of the Mystic Chorus at the conclusion of Goethe’s *Faust* (“Alles Vergängliche / Ist nur ein Gleichnis”).<sup>3</sup> Resemblances are how we understand the world: they occur between painting and Nature, poetry and soul, and word and tone. However, these relationships all involve different domains. When we perceive motivic resemblances as a listener, or create motivic variants as a composer, we do so in the same domain. In Schenker’s view, this sets music apart from the other arts—an idea he likely took from Wagner.

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<sup>1</sup> File 83 also contains the notes on form discussed in chapters 2 and 3, as well as the manuscript transcribed in appendix 2 titled “Von der Natur der Kunstgesetze überhaupt.”

<sup>2</sup> See parts IV and V of “Gleichnis” respectively. When first published in the *Musikalisches Wochenblatt*, “Geist” included a footnote stating that it was intended as part of a larger work in progress (Schenker 1895, 245). It is likely that both “Geist” and “Gleichnis” were part of this larger work.

<sup>3</sup> See part III, p. 370. Schenker also quotes this phrase in *Der freie Satz* ([1935] 1979, xxii).

Hanslick's (1854) influence on Schenker is also clear in this essay—namely, that music is only a sign for itself. However, in the essay's fifth part, Schenker argues that music can express something beyond the “purely musical” (*Reinmusikalische*). This, too, is in keeping with Hanslick's aesthetics. As Mark Evan Bonds (2006, 110) observes, Hanslick “implicitly sanctions—or at the very least does not preclude—the validity of programmatic and even political interpretations of ‘absolute’ works.” For example, Schenker describes Beethoven's Piano Sonata in A Major, op. 101/i, as “the most sublime program music imaginable” (see part V below, p. 385).

Schenker's claims are buttressed by examples taken from Beethoven's late piano sonatas (plus one example by J. S. Bach and another by Brahms). These examples provide the concrete analytical detail that “Geist” lacks. Curiously, many of these examples are identical to those found in A. B. Marx's writings.<sup>4</sup> I have numbered Schenker's examples, added captions, and placed them within the text as they appear in the manuscript. I have also added Roman numerals and subheadings to help organize the essay's five parts. Some of the Roman numerals and subheadings are Schenker's own, while the titles that appear in square brackets are memorable phrases gleaned from the text.

The original document is written in Schenker's hand, and it is often quite difficult to decipher as a result (see example A1.1.1 below). I thank an anonymous transcriber and Görkem Cilam, Assistant Director of the University of Massachusetts Amherst Translation Center, for their considerable help interpreting these documents. Any remaining errors are my own. Finally, Schenker's original orthography is maintained whenever possible:

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<sup>4</sup> See the footnotes given in square brackets below. These citations are to examples found in the fourth edition of Marx's *Die Lehre von der musikalischen Komposition* ([1845] 1868, vol. 3) and the second edition of Marx's *Anleitung zum Vortrag Beethovenscher Klavierwerke* ([1863] 1875).



1. All editorial additions and changes are indicated in [square brackets];
2. An illegible word in the manuscript is indicated as [*illegible*];
3. A question mark indicates doubt regarding the transcription of a word (e.g., [*illegible*: entstammen?]);
4. When a word is partially legible, it has been partially transcribed, either preceded or followed by an em dash and a question mark (e.g., [*illegible*: Menschen—?]);
5. Words or phrases crossed out in the manuscript are indicated with a ~~strikethrough~~;
6. Words in <sup>superscript</sup> indicate that they have been added by Schenker (or perhaps someone else) between lines of the original text;
7. Bold numbers in {curly brackets} indicate the item number in file 83 of the Oster Collection (e.g., {4} indicates that the following text appears on item 4 of file 83);
8. Archaic or unusual spellings in the text have not been corrected (e.g., *Rhythmus* versus *Rhythmus*, *Theil* versus *Teil*, or *blos* versus *bloß*).

EXAMPLE A1.1.1 The beginning of "Der Weg zum Gleichnis," by Heinrich Schenker (OC 83/2; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

## Der Weg zum Gleichnis

In höherem Maasse als die andern Künste versteht Musik als  
 die weiteste Schöpfung der Menschheit aufgesetzt, geformt zu werden.  
 Einmal doch unter allen sie allein, die eine, so im höchsten sie  
 im niederen Gebilde, und noch heute wie am Anfang ihres Daseins,  
 jenseits Vorbildes der Natur, jenseits Zerkers, jenseits Helms, jenseits  
 Melerei u. Plastik sämtlich die Aufgabe, ins Persönliche der Menschen  
 alle Entscheidungen der Natur hereinüberleiten, sie legt über sie  
 die erste Form geistigen Stillschweigens in die eigene Seele, diese  
 die beiden andern die Farben u. Harmonie aber vollkommenen, also,  
 z. B. Bild Architektur, um auch diese Kunst zu nennen, immer am  
 Anfangpunkt, als ersten Kern, fest, so hat dagegen die Musik in diesen  
 oder vorwärts im Sinne letzten Kerni Helfern an die Natur gefunden.  
 Ihre Kunst ist davon befreit, die Absicht der Natur, wenn  
 man es sagen darf, zu vollführen, die es vorhatte, da Menschen  
 vor Tieren, Pflanzen u. Steinen durch des Persönlichen seiner  
 selbst, so wie der irdigen Welt auszureichen u. sie  
 sind Kunst als Persönlichem, der größten Geschenk  
 der Natur gegen die Menschen, da es aber nur eine Natur gibt  
 die einzigen Art, gibt, <sup>ihre eigene</sup> <sup>das ist</sup> <sup>das ist</sup> <sup>das ist</sup>  
 einzig der Mensch, so gibt es nur selbst über nur eine

## § A1.2. "DER WEG ZUM GLEICHNIS," BY HEINRICH SCHENKER (OC 83/2–39)

## [I. Künste des Bewusstseins]

{2} In einem höheren Masse noch als die andren Künste verdient Musik als die illegible ureigenste Schöpfung des Menschen aufgefasst, gepriesen zu werden. Entbehrt doch unter allen nur sie allein, die eine, so in ihrer höchsten wie im niedrigsten Gebilde, und so illegible heute wie am Anfang ihres Daseins, eines jeglichen Vorbildes der Natur u. jeglichen Zwecks. illegible Haben illegible Poesie, Malerei u. Plastik sämtlich die Aufgabe, ins Bewusstsein des Menschen illegible die Erscheinungen der Natur hinüberzuleiten u. legt uns daher Insonderheit die erst vorm geistigen Auge illegible die eigene Seele bloß, zeigen die illegible ~~beiden andere~~ die Farben u. Umrisse aller Welterscheinungen illegible u. hält Architektur, um auch diese Kunst zu nennen, immer am Wohnzweck, als erstem Kern, fest, so hat dagegen die Musik in diesem aber erwarteten Sinne leider keine Helferin an der Natur gefunden. Jene Künste sind dazu bestimmt, die wenn es Absicht der Noten gewesen, wenn man so sagen darf illegible, zu verführen, die es vorhatte, den Menschen von den illegible Tieren, Pflanzen u. Steinen durch das Bewusstsein seiner selbst, ~~von des~~ der übrigen Umwelt auszuzeichnen, u. so scheinen sie vor allem, sie sind gleichsam Künste des Bewusstseins, des grössten Geschenkes der Natur gegen die Menschen. Da es aber nur eine Natur gibt[,] das einzige All, illegible dieser gegenüber wieder nur das eine Bewusstsein, illegible das einzige des Menschen, so gibt es von selbst daher nur eine {3} einzige Aufgabe, nämlich die Natur im Bewusstsein aufzulösen. Eine andere, zweite Aufgabe könnte gar nicht anstehen, denn mit einer solchen hätte die Natur sich selbst überschritten. Und es scheint denn illegible fürs Erste jede Gelegenheit zur Entstehung einer anderen Kunst ausgeschlossen, sofern diese nicht schon vorher berufen wurde illegible, an illegible der Erfüllung jener

Aufgabe theilzunehmen. Eine solche Kunst aber war von Anfang, u. ist es noch die Musik. Sie vermittelt weder Inner- noch Aussenwelt dem menschlichen Bewußtsein; sie enthüllt die Seele nicht, wie Poesie, mindestens nicht bis zum selben Grad der Deutlichkeit, sie schildert nicht das Grün der Wiese, <sup>nicht</sup> das Laub des Waldes, wie Malerei; <sup>sie</sup> hält nicht menschliche oder tierische Form fest, wie Plastik; sie kehrt sich nicht an all das; nicht an Natur noch an Bewusstsein;—und doch erschien sie unter uns, u. theilte bald die Ehren der übrigen Künste. Wie konnte solches kommen?

## II. [Kunst um ihrer selbst willen]

Die Natur hatte keinen Grund, die Musik zu erfinden, ebenso wenig Grund hatte dann auch der Mensch, es zu [*illegible*: thun?], der selbst doch nur ein Stück Natur. Sie hatte keinerlei privates Interesse an ihr, daher hatte auch er keines. So dauerte es lange Zeit, Jahrhunderte, Jahrtausende. Bis endlich der Mensch, durch schönen Gebrauch jene zweck- u. naturgeborenen Künste verfeinert, endlich auch reif geworden, Kunst um ihrer selbst willen {4} zu üben u. zu pflegen. Schon gab es [*illegible*] [*illegible*] längst herrliche Poesie, entwickelte, ja klassische Plastik u. Architektur, erfreuliche Malerei; doch nicht [*illegible*] zur selben Zeit eine Musik, <sup>noch</sup> die wir <sup>Kunst</sup> mit ebensoviel recht als jene <sup>hätten</sup> heissen können. Glaubt man <sup>denn</sup> wirklich, [*illegible*] <sup>es sei z.B.</sup> die Musik <sup>der Griechen</sup> sie genau so Kunst gewesen, wie ihre Poesie, oder Plastik? Oder glaubt man wirklich, sie wäre so ganz verloren gegangen, bloß weil es die Notenschrift verschuldet, oder dieses u. jenes äussere Moment? Ach, es lag nicht <sup>wahrhaft</sup> an äusserlichen Hindernissen, nicht daran, dass alle griechische Musik trotz Orpheus, Marsyas, Homer, Aischylos, Sophokles, Pythagoras, Aristoteles

u. Aristoxenus u.a. noch keine rechte Kunst gewesen.<sup>5</sup> Wenn man nicht Kunst überhaupt, [illegible] wolle, ebenbürtige Kunst, so war [illegible] die Betätigung der Griechen auf musikalischem Boden <sup>jedenfalls</sup> kein Zeugnis dafür, dass nun in jener Zeit [illegible] <sup>schon</sup> Kunst geübt [illegible] <sup>werden kann</sup>, ohne dass das Vorbild der Natur, als irgend ein Zweck die Menschheit dazu gedrängt. Der Boden war <sup>also</sup> da, <sup>nur</sup> noch aber nicht die Kunst. Diese sollte erst kommen, da sie <sup>ganz</sup> befreit von der Knechtschaft gegenüber der Poesie u. dem Tanz, von welchen sie [illegible] **indirekt** Zweck u. Vorbild empfing, dieses ihr so fremden[,] materiellen zweckhaften Moments <sup>völlig</sup> verlustig [illegible] u. [illegible] ganz auf sich selbst gestellt, im reinsten Sinne {5} des Wortes nun ihrer selbst unsicher <sup>allein</sup> gepflegt werden konnte. Dieses reine in sich selbst-Ruhen ohne Trübung durch Vorbild u. Zweck, hat erst die Musik zur <sup>wahren</sup> Kunst gemacht. Ich werde mich <sup>danach</sup> hüten, den Anfang der wahren musikalischen Kunst vor das XVI[.] Jahrh. zu setzen. Bis dahin aber hatte es noch seine guten Wege.

### III. [Ein kühner, genialer Griff]

Gegenüber der Musik hatten so die übrigen Künste den Vortheil [illegible] eines Vorbildes voraus, u. was denen noch so gross, erhaben, u. unerschöpflich, so war durch die stete Gegenwart des Zieles [illegible] ~~dennoch~~ Ruhe, Sicherheit u. einige Behaglichkeit in der Übung derselben möglich. Der Künstler konnte stets wissen, was er zu wollen hatte, denn vor ihm stand das ewige Ziel: Natur. Selbst sein Irrthum war noch vom Licht des Zweckes erhellt u. durchleuchtet.

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<sup>5</sup> [This idea is also expressed in § 1 of *Harmonielehre* (1906). The “Gleichnis” manuscript may be the initial formulation of many ideas found throughout §§ 1–7 of Schenker’s first treatise.]

Aus demselben unschätzbaren Vortheil entsprang indessen eine noch tiefere Befriedigung der menschlichen Seele, die im Folgenden ihren besonderen Grund hatte. Es ist nämlich eine Eigentümlichkeit des Menschengestes, dass er die Welt, somit auch sich selbst, nur im Gleichnis begreifen kann. Er nennt König den, der nicht Unterthan heißt; reich denjenigen, der nicht Armut hat; Sonne, was nicht Mond ist; Mann, was nicht Weib ist; Tag, was nicht Nacht ist; Liebe, was {6} nicht Hass ist, u. so fort[.] Durch alle Erscheinungen der Welt, die er gegen einander stellen muss, um zu vergleichen, zu unterscheiden, und mit besonderem Namen zu bedenken. Gäbe es nur Liebe, nur Liebe allein in der Welt, wahrhaftig, es gäbe dann überhaupt keine! Goethe spricht dieses mit den berühmten Worten aus: „Alles Vergängliche ist <sup>nur</sup> ein Gleichnis.“ Die Art <sup>denn</sup>, nur durch das Gleichnis zu begreifen, ist Form unsres Bewusstseins. Natur, die uns das Bewusstsein gab, gab <sup>uns</sup> auch die Form dazu. In ihrem eigenen Interesse schien es [*illegible*] <sup>daher</sup> zu liegen, dass sie ihr Geschenk an uns nicht selbst schon vereitelte. Da sie also sich selbst zum Vorbild dem Künstler schenkte, setzte sie dadurch zum Gleichnis ihrer, wie sie umgekehrt die Künste sich selbst zum Gleichnis bestellte. Vorbild ward zum Gleichnis: die Natur als Gleichnis der Künste, Künste als Gleichnis der Natur. So erfüllte Natur unser Bewusstsein, unter Beibehalten ihrer Form, mit allem Inhalt der Welt, u. erreichte [*illegible*] ihren ursprünglichen Zweck, durch das Bewusstsein ~~allein~~ uns über alle Thierwelt zu erhöhen. Poesie ward Gleichnis des Menschen selbst: Vorbild und Gleichnis seiner Seele. Ob im Lyrischen, Dramatischen, überall stellt der Mensch sich selbst dar, macht sich zum Gleichnis seiner selbst, um sich u. seine anderen zu begreifen. „Erkenne dich selbst“ sagten damals die Alten. {7} Ähnlich erhielten Malerei u. Plastik die ganze grosse Welt der sichtbaren u. farbigen Erscheinungen zum Gleichnis: Linie und Farbe des Bildes wurden Gleichnis der Natur, wie diese Gleichnis des Bildes.

Von allen solchen Vortheilen aber sahen wir die Musik ausgeschlossen. Die Natur konnte sie nicht brauchen, da sie den Dienst der Künste gegenüber dem Bewusstsein organisierte; u. so entfiel ihr leider Nothwendigkeit, Ziel, Vorbild[,] u. Gleichnis. Selbst der Zugang zum Bewusstsein war ihr fürs Erste, da ihr das Gleichnis noch fehlte, gänzlich verrammelt. Man kettete sie daher gerne am Anfang, wie wir schon oben zeigten, an die Poesie, damit sie <sup>mindestens</sup> an ihr und durch sie als Gleichnis von der Natur doch empfinde. Das Wort, im Menschen, als auch Situation <sup>der Seele</sup> vorgebildet, selbst also ein erstes Gleichnis, sollte das zweite Gleichnis aus sich gebären, das Gleichnis von Wort zu Ton. Wenn schon nicht weiter, ursprüngliches Gleichnis von Ton zur Welt, von dieser zu jenem, sollte mindestens ein derivatives, erborgtes an die Stelle treten. Jedoch <sup>noch</sup> immer dann behielt das Gedicht, das erste Gleichnis, auch die erste Kraft, u. so gern man sich vor Alters darüber täuschte, niemals konnte <sup>Musik</sup> sich zur Macht eines ersten Gleichnisses erheben, u. mehr noch, nicht einmal zur wahren Kunst konnte sie werden, solange sie den Mangel {8} in sich hatte, dass sie der Form unseres Bewusstseins, unserem Bedürfnis nach Gleichnissen nicht zu entsprechen wusste. So musste vorerst dieser Mangel behoben werden. Wie das zu aber machen war, musste der Mensch, hier der Künstler, selbst errathen, denn die Natur schwieg. Ohne Anleitung der Natur machten dem die Künstler, bloß Instinkten folgend, sich mit dem harten Rätsel abzufinden: sie begingen dazu neue Wege, übten sich in mannigfaltigen Erfahrungen, die sie zu Systemen verdichteten, jedoch nur, um alles am nächsten Tag <sup>wieder</sup> über den Haufen zu werfen. Es war das ein furchtbares Ringen mit einem unbekanntem Geheimnis, das, wie gesagt, bis an den Anfang der Neuzeit andauerte. Endlich aber, war es ein guter Genius der Menschheit, oder Macht des Instinktes, der den Weg ahnte, auch hier ihn nicht finden konnte, ward die Entdeckung gemacht. Man fand das Prinzip, das grundlegende Gesetz der

Musik u. wusste es auch in Wort u. Absicht. Die Periode der Versuche wird abgeschlossen: man wusste[,] was die Musik brauchte, um Kunst zu sein, u. damit begann schon auch die Kunst selbst. Man hat das [*ihr* witten over *das*?] Gleichnis <sup>[illegible]</sup> der Musik gegeben.

Die Künstler hatten die glückliche rettende Idee gefunden, das Gleichnis der Musik nicht <sup>[illegible]</sup> ausserhalb {9} ihrer zu suchen, da sie <sup>dieses</sup> ohnehin <sup>nirgends</sup> wie sie [*illegible*: genaustens?] erfahren mussten, zu finden gewesen; vielmehr verlegten sie das Gleichnis der Musik in diese selbst hinein. Ein kühner, genialer Griff, der dem [*illegible*: Menschen—?] vielleicht die grösste Ehre ~~bringt~~ <sup>macht</sup>. War das auch künstlich, die Kunst zu ihrem <sup>eigenen</sup> Gleichnis <sup>selbst</sup> zu erheben, so war doch dadurch der Forderung unseres Bewusstseins, die nun einmal nicht zu umgehen war, voll genug geleistet. Allen Theilen ward auf einmal Recht geschehen: die Kunst hatte ihr Gleichnis wegbekommen, u. deswegen konnten [*illegible*] <sup>die Kunst</sup> nun erst begreifen u. entwickeln[.] Welch grosser Schritt!

Die Natur selbst ward gar erhöht dadurch, dass die Künstler ihre natürlichen Gleichnisse zu den anderen Künsten aus eigener Kraft in einem künstlichen Gleichnis innerhalb man der Musik allein so trefflich, ja witzig, nachzubilden wusste. Es ward eine neue Kunst künstlich gegründet, gleichsam eine eigene zweite, künstliche, u. höhere Natur, die [*illegible*] <sup>der</sup> <sup>ersten</sup> <sup>hierzu</sup> glich [*illegible*] <sup>[illegible]</sup>. Reinen Druck, reine Absicht zu verbinden, [*illegible*] <sup>sie aber übertraf</sup>, indem sie sich selbst gar den Spiegel vorhielt, <sup>u.</sup> ihr eigenes Gleichnis im eigenen Schosse trug. Welch stolze Schöpfung des Menschen, des Künstlers. Welcher Triumph, da die Natur, vom Geist des Menschen <sup>endlich</sup> besiegt, wenn auch diese {10} kunsthafte Kunst neben die anderen Künste, als Kind zu den eigenen Kindern, stellen musste!



## [IV.] Über das Gleichnis selbst

Dieses Gleichnis aber heißt „Motiv“.

Wenn wir in der Folge diesem so allgemein angewandten Terminus eine umfassende, [illegible] Bedeutung beilegen, so hoffen wir damit weniger ~~auch~~ einer Unterstellung gegenüber Künstlern u. Theoretikern[,] was schwierig zu machen, als vielmehr ihre wahre Absicht [illegible] reiner ins Licht zu stellen. Unter Motiv verstehen wir somit alles u. jedes in der Musik, das zum Vorbild eines Nach- oder Gegenbildes erhoben wird. Es gehört so zum Motiv begrifflich wie [illegible] materiell zweierlei: das Vorbild u. sein Gegenstück, das Gleichnis, das wir <sup>soeben</sup> Nach- oder Gegenbild nannten. Ohne Gleichnis ~~gibt es~~ kein Vorbild, kein Motiv, u. was noch selbstverständlicher, ohne ~~Motive~~ <sup>Vorbild</sup> kein Gleichnis. Daher im Begriff Motiv auch schon das Gleichnis, das Gegenbild <sup>mit</sup> einbegriffen erscheinen.

Nun bietet uns die Musik in allen ihren Elementen Gelegenheit, Motive in diesem Sinne [illegible]. Im Melodischen, Rhythmischen, u. Harmonischen u. Contrapunktischen. {11} Das Motiv, also ~~das~~ Gleichnis im Melodischen, <sup>enthält</sup> [illegible] so recht eigentlich die bekannteste, typischste Bedeutung: spricht man von Motiv, meint man fast immer zunächst Motiv im Melodischen. Es macht <sup>weiter</sup>—die Verbreitung der Bezeichnung allein spricht dafür—keine besondere Schwierigkeit das melodische Motiv zu kontrastieren, samt allem, was dazu [illegible] gehört. Ob man es gleichnishafte u. einer genauen Wiederholung oder einer freieren [illegible], sei es etwa in einer Transkription [illegible] der Oktave oder anderen Intervalls, oder gar noch ob man an den einschränkenden Veränderungen, ist es überall doch als Gleichnis zu hören, dadurch [illegible] das Motiv unserem Bewusstsein als solches verständlich gemacht wird. Auch ist <sup>hier</sup> die Zahl der Töne, die zum Motiv erhoben werden, nicht von Belang. Kleine, <sup>wie</sup> grosse Gruppen

können diese Bedeutung erlangen. Ohne in diesem Zusammenhang alles Besondere, das zu dieser Materie gehört, zu schildern, führen wir ein paar Beispiele dafür an, dem Fleiss des Lesers es anheimstellend, sich an den Kunstwerken der Meister mehr daran zu üben.

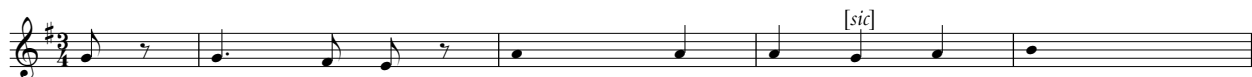
**EXAMPLE A1.2.1** J. S. Bach, Prelude no. 6 in D Minor, *The Well-Tempered Clavier*, book I, BWV 851, mm. 1–2



**EXAMPLE A1.2.2** Brahms, Rhapsody in G Minor, op. 79, no. 2, mm. 1–4



{12} **EXAMPLE A1.2.3** Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 1–4<sup>6</sup>



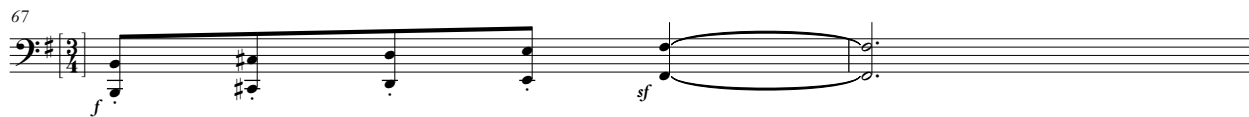
Solche Darstellung, Entwicklung des Gleichnishaften pflegt man oft auch besonders im Hinblick auf die cykliche [sic] Form der Sonate, <sup>auch</sup> Thematik zu nennen, wobei, wie leicht zu sehen, <sup>das</sup> Motiv auch Thema genannt wird. Wie überhaupt beide Bezeichnungen im melodischen Sinne bald näher zu einander gerückt werden, ja bis zur völligen Identität, bald <sup>weiter</sup> auseinander gehalten werden, bald bewusst, bald unbewusst, mit deutlicher Absicht oder keiner. Die Summe aller Gleichnisse, aller Thematik, die anderen später abzuhandelnden Arten[,] das Motiv

<sup>6</sup> [Cf. Marx ([1845] 1868, 261–62, ex. 305) and Marx ([1863] 1875, 50, 53).]

eingeschlossen, pflegt man dann auch mit dem grossen Wort „organisch“ zu benennen. Nun damit ist es aber genau so wie mit dem Motivischen, d.h. dem Gleichnis selbst: wie dieses nur künstlichen Ursprunges, nicht in der Natur vorgebildet, nur der Form ~~des~~ unsres Bewusstsein entsprechend, so kann auch die Summer alles daran nicht mehr als künstlich genannt, sondern das genannte Charakteristikum organisch[,] daher nur im freien, analogen, künstlichen Sinn begriffen u. angewendet werden. Wenn man schon dieses Wort aus seinem eigenen Geltungsbereich herausnehmen {14} wo es das letzte Geheimnis der Natur andeutet, u. auf die Kunst es anwenden wird, um ihr <sup>damit</sup> die höchste Ehre völliger Gleichstellung mit der Natur zu bezeigen, so mag man <sup>sich</sup> indessen immer dessen bewusst bleiben, dass eher Poesie, Malerei[,] oder Plastik die Bezeichnung jenes Wortes verdienen, als Musik. Womit aber keineswegs eine Zurücksetzung dieser letzteren Kunst angesprochen werden will, da ja Musik auf künstlichen Voraussetzungen ruhend auch nicht Anspruch erhebt darauf, andere, als künstliche Folgen zu zeitigen. In Entstehung[,] sowohl, als in Entwicklung ist die Musik eine <sup>ganz</sup> andere Kunst, als die übrigen, dass am allerwenigsten gerade jenes Wort auf alle, ~~u.~~ [illegible] <sup>geschweige nämlich</sup> im selben Sinn, passen [illegible] <sup>möchte</sup>.

Motivische Gleichnisse im hoher Vollendung zu schaffen, ist eine Vormacht nur der Genies. Oft gelingt es ihnen, das Gleichnishafte so zu verschleiern, [illegible] dass selbst geübte Hörer es nicht <sup>wiederfinden</sup> können, von ungeübten Hörern zu schweigen, dieses gar nie, leider <sup>sehr</sup> zu ihrem eigenen Schaden, wahrnehmen <sup>können</sup>. Und nicht selten steht man gar vor unlösbarer Situation, ratlos <sup>im Zweifel</sup>, ob hier ein Gleichnis vorliege oder keines. Wer wollte, um nur ein Beispiel zu nennen, auch mit [illegible] {15} Bestimmtheit behaupten, Takt 67 der e<sup>m</sup> Sonate von Beethoven sei gleichnishaft aus dem Bass des Taktes 54 u. ff. hervorgegangen:

**EXAMPLE A1.2.4** Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 67–68



**EXAMPLE A1.2.5** Beethoven, Piano Sonata in E Minor, op. 90/i, mm. 55–56<sup>7</sup>



der die als Verkleinerung in Achteln der Viertel h cis d in Takt 54; oder um noch ein Beispiel hier anzuführen, ob in den folgenden Takten 24–25 der Sonate as<sup>dur</sup> op[.] 110:

**EXAMPLE A1.2.6** Beethoven, Piano Sonata in A-flat Major, op. 110/i, mm. 23–25<sup>8</sup>

Das Gleichnis die zwischen den Klavieren eingeschlossenen Tongruppen umfasse, <sup>u</sup> als solches Beethoven bewusst gewesen, oder ob keinerlei Gleichnis zwischen den eingeklammerten Gruppen bestehe, <sup>u. der Autor vielmehr</sup> *illegible* ein Gleichnis <sup>auch</sup> auf den Discant allein, mit Bewusstsein beschränkte?

<sup>7</sup> [Cf. Marx ([1863] 1875, 23–24).]

<sup>8</sup> [Cf. Marx (1824a, 88).]

Zur Feststellung des Begriffes u. Werthes des Gleichnisses möge nun das soeben Vorgetragene, <sup>zunächst</sup> genügen, da es uns im Augenblicke, <sup>es</sup> sich noch gar nicht darum handelt, die kompositorische Bedeutung des Motivs im Hinblick auf das einzelne Kunstwerk selbst zu orten. Daher wollen wir auch im Folgenden, stets im Hinblick nur **{16}** auf die Kunst im Allgemeinen, das Motiv im Rhythmischen, Harmonischen[,] u. Contrapunktischen <sup>nur</sup> kurz darstellen, <sup>u.</sup> dessen Bedeutung an kurzen Beispielen aufweisen.

Unter Rhythmus verstehen wir die zeitliche Erscheinung, die zeitliche Form der Melodie selbst, als im Gegensatz zur reinen, sich ewig gleichbleibenden Zeit, die noch hinter dem Rhythmus besteht [*illegible*], die man zuweilen Metrik nennt. Ein Beispiel, an dem wir rhythmische Gleichnisse entwickeln werden, wird [*illegible*] uns dieses klar machen; es ist der Anfang der grossen B<sup>dur</sup> Sonate von Beethoven op. 106[.]

**EXAMPLE A1.2.7** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 1–3<sup>9</sup>

The image shows a musical score for the first three measures of the first movement of Beethoven's Piano Sonata in B-flat Major, op. 106. The score is in 2/4 time and features a piano introduction. The bass line consists of eighth notes, and the treble line consists of chords. Dynamics include *ff* and *f*.

Das Maas der Zeit geben wir uns selbst [*illegible*] mit dem ersten Achtel, B, an, denn bis dahin blieb alle Zeit [*illegible: virtuell?*]. Mit diesem Maas nun messen wir [*illegible*] das erste [*illegible*] Viertel, das in sich drei jener Achtel enthält, u. schon entsteht in Einem das erste <sup>gleich</sup> zeitliche Vorbild, zunächst ihrer [*illegible*] dem melodischen verbunden. Das Gefühl für Zeit erlangen wir

<sup>9</sup> [Cf. Marx ([1845] 1868, 279, ex. 340).]

hier somit nicht <sup>[illegible]</sup> durch ein abstraktes **{17}** sogenanntes, metrisches Schema, nur durch die leibhaftige, wirklich Dauer, die wir selbst <sup>sic</sup> dem ersten Achtel verliehen haben. Auch in der Zeit begreifen wir einen „Theil“ nur dadurch, indem <sup>[illegible]</sup> wir einen „Gegen-Theil“ dazu setzen. Was ein <sup>[illegible]</sup> sei, kann uns erst ein zweites, nächstes sagen, u. ohne letzteres gäbe es überhaupt kein halbes, den so auch vor der Zeit verlangt unser Bewusstsein das Mittel des Gleichnisses, ohne welches es <sup>nun</sup> einmal nichts begreifen kann. <sup>[illegible: Also?]</sup> wir setzen einen Theil zum Ganzen so ins Gleichnis, dass es dessen dritten Theil ausmacht. (1 : 3) Hier gäbe es wieder kein Drittel, wenn nicht zwei andere Theile folgten, die <sup>[illegible]</sup> über das Gleichnis der Theile zum Ganzen, wie zu einander selbst aussagen würden. So theilt also unser Gefühl ~~mit~~ in angeborener Art die Zeit von selbst dort auf, dass sie im Gleichnis von 2 oder 3 uns erscheint. Andere Gleichnisse schafft sich unser Gefühl nicht, u. wenn zuweilen in Laune Künstler es verlangen, dass wir in Gleichnis 5 fühlen, es sträubt sich dagegen unser Gefühl, immer werde es verlängert u. zu dem ersten, weil erfahrenen Gleichnissen 2 oder 3 zurückkehren. So wäre dann auf <sup>[illegible]</sup> letzterem allein unser Gefühl für Zeit zurückzuführen, somit auch alles das, was wir Natur nennen. **{18}** Es gibt meiner Ansicht nach keine andre Metrik, als <sup>[illegible]</sup> in jenen Gleichnissen eingeschlossene Gefühl. Nun ist dieses Gefühl aber <sup>ihr</sup> <sup>[illegible]</sup> Grundgefühl, das wir <sup>ja</sup> immer haben, wenn wir Zeit aufzuteilen genöthigt sind, es ist die Art selbst, womit wir Zeit <sup>[illegible]</sup> hören, also nur Form <sup>des</sup> Gefühls, die uns nie verlässt. Diese stete Verwachsenheit der Form mit uns ist aber, wie selbstverständlich, Grund davon, dass wir in Beurtheilung der Zeit <sup>nun</sup> im Kunstwerk selbst besser von ihr absehen u. nur jene Form der zeitlichen Erscheinung <sup>noch</sup> betrachte, die die Melodie selbst hervorbringt. Dadurch dass die Melodie in ihrer eigenen Weise die Zeit aufgetheilt, wird unser Grundgefühl <sup>für Zeit</sup> <sup>[illegible]</sup> nicht aufgehoben, aber umgekehrt reicht das nicht <sup>allein schon</sup> aus, um die

zeitliche Formen der Melodie zu begreifen. Diese wollen für sich, als Neues, höheres, u. lebendiges Gleichnis aufgefasst werden. Auf das obige Beispiel angewendet, fühlen wir deshalb was im allgemeinen Gleichnis der Zeit, das wir mit der Zahl 2 ausdrücken, doch daraus erwächst [illegible] nicht der [illegible: Gewinn?], den wir haben, da wir die besonderen zeitlichen Gleichnisse ins Auge fassen, wie die Melodie sie uns aktuell, stets lebendig hervorbringt. Daher wir dann mit Rhythmus nur eben {19} diese lebendigen zeitlichen Gleichnisse nicht jenes Grundgefühl überhaupt bereichert haben.

Um zu den rhythmischen Gleichnissen zurückzukehren, die wir dem oben angeführten Beispiel [illegible] entnehmen, so sehen wir das erste Achtel mit nachfolgender punktierter Note in vollster Reinheit zum Vorbild, also Motiv im folgenden erhoben:

**EXAMPLE A1.2.8** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 38–40

[illegible] aber mehr gegenbildlich mit [illegible] in der Bassfigur:

**EXAMPLE A1.2.9** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 47–48

am interessantesten, weil sofort mit einem weiteren rhythmischen Motiv verbunden am Anfang selbst:

**EXAMPLE A1.2.10** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 1–2



wo es zunächst den Anschein hat, als wollte auf das Achtel <sup>wieder</sup> eine ähnlich punktierte Viertelnote folgen. Weiterhin wird der Inhalt der Klavier b zum rhythmischen Vorbild erhoben, u. zwar so, dass ein Gegenbild in zweimal so grossen [*illegible*: Werth—?] ihm entgegentritt:

**EXAMPLE A1.2.11** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 17–19<sup>10</sup>



{20} ~~Oder~~ <sup>Aber</sup> am kühnsten, in einer Art, die nur Beethoven allein. Ihm dem einzigen, zu Gebote stand, wird der volle Inhalt der Klammer c zum rhythmischen Vorbild erhoben, dass als Gegenbild ihnen folgendes folgen könnte:

<sup>10</sup> [Cf. Marx ([1845] 1868, 280, ex. 342a).]



EXAMPLE A1.2.12 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 91–95

Man sehe nur wie das Motiv,—rhythmisches genommen <sup>[illegible]</sup> als so gross zu nennen, mit einem *sf* anhebt, das ein genialer <sup>[illegible: Werth?]</sup> ~~ist~~ sein <sup>will</sup>, nicht für mechanische Stärke, ein mechanisches Forte, nur <sup>[illegible]</sup> für Leidenschaft u. Trotz, als <sup>[illegible]</sup> <sup>[illegible]</sup> dies <sup>nur</sup> die Änderung des ersten Achtels in ein Viertel bewirkt <sup>[illegible]</sup> <sup>haben könnte</sup>. Wie weiterhin nun die beiden Viertel, Inhalt des kleinen b, vorbildlich wirken, nur mit dem *sf* am zweiten Gegenviertel so herrlich ausgestattet, <sup>wie</sup> ein Gleichnis aber statt Viertels eine Pause steht, auf die <sup>aber</sup> das zweite, mit *sf* versehene Viertel folgt: Welch rhythmisches Gleichnis! Und wie viel Seele und Leidenschaft dazu! Und wer <sup>[illegible: sein?]</sup>, ob nicht auch noch nach

EXAMPLE A1.2.13 Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 112–13

als Gegenbild u. Gleichnis jene beiden Viertel <sup>[illegible: gefühlt?]</sup> werden **{21}** möchten, als wäre hier bloß das *sf* in <sup>jene</sup> Breite gegangen nach der ihre Sehnsucht, genau geprüft, schon gleich am Anfang ging. Was ist dann [das] Forzato im zweiten Viertel mehr als sozusagen eine psychische Synkope, im Gegensatz zur physisch materiellen, die allein unter diesem Namen <sup>[illegible]</sup> <sup>bekannt?</sup>

Wenn wir [illegible] zum Schluss noch hinzufügen, es sei Art des rhythmischen Motivs in viel höherem Masse, als das mehr [illegible], gleich hinter einander sich viel zahlreiche Gleichnisse zu schaffen, u. aus dieser Hinsicht z.B. aus der [illegible] Sonate auf Takt

**EXAMPLE A1.2.14** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 62–64<sup>11</sup>



u. ff. verweisen, so glauben wir über die Natur des rhythmischen Motivs [illegible] das wichtigste so weit es zur Klarstellung des für die Musik so [illegible] grundlegenden Begriffs Gleichnis dienen [illegible], gesagt zu haben.

Im Gefühl kann, der Klarheit [illegible] [illegible] geblieben zu sein, wollen wir über das harmonische Gleichnis im Kürze nur sagen, es ist auch dieses, wie die vorangehende [illegible] ein Nach- oder Gegenbild u. geben hierfür gleich folgende Beispiele an.

**{22} EXAMPLE A1.2.15** Beethoven, Piano Sonata in B-flat Major, op. 106/i, mm. 100–111



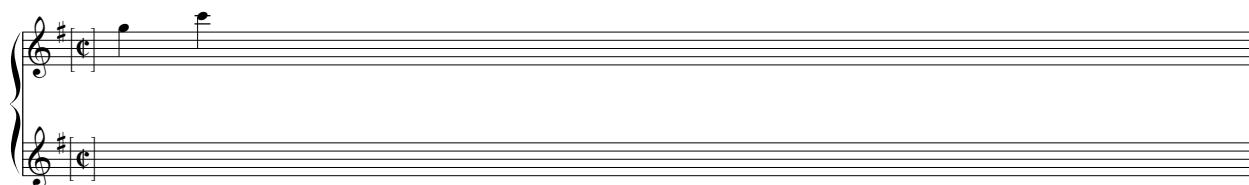
Dieses als Beispiel [illegible] wie der Mollunterdominante (T. 2–4) die [illegible: lei—?] durchkonstruiert (T. 8–10) aber im Melodischen selbst entgegnetritt. Wenn man will, vergleiche man weiter

<sup>11</sup> [Cf. Marx ([1863] 1875, 150).]

damit Beisp. 3, in ähnlicher Art, wo wir sehen, wie das melodische Vorbild zumindest in Moll (c), das Nachbild im Durdreiklang (g) liegt.

Als Beispiel im sogenannten eigentlichen harmonischen Sinn folgt aus derselben Sonate:

**EXAMPLE A1.2.16** Beethoven, Piano Sonata in B-flat Major, op. 106/i



Wo man: [illegible] Stufe [illegible] auf einmal eine [illegible] resultierendes fast zu hören bekommt. Gerade aber von harmonischen Veränderungen dieser Natur wimmelt die praktische Musik, die meistens Künstler niederen Grads in Ermangelung der erforderlichen [illegible] Talente zu motivischen u. rhythmischen Gleichnissen am liebste in jene ausschweiften, wobei sie ja bei [illegible] selbst gleichbleibenden, monotonen, oder vielen Motiven[.] {23} Eben ja immer noch harmonische Reize hervorbringen können, mit denen sie zwar nicht den Kenner täuschen, desto mehr aber den Nichtkenner lochen u. [illegible] entzücken können.

Von der Ansicht, die wir später der Näheren auszuführen haben werden, ausgehend, dass der Contrapunkt im reinsten u. eigentlichsten Verstand des Wortes nur im zweistimmigen Satz authentisch ist, [illegible] lassen wir hier ein [illegible] paar Beispiele contrapunktischer Gleichnisse folgen, Beethoven [illegible: entstammen?], jedoch bloß auf den [illegible: war?] traurigen Satz, wie er durch die beiden äussersten Stimmen läuft, reduziert.

EXAMPLE A1.2.17 Beethoven, Piano Sonata in E-flat Major, op. 81a/ii, mm. 1–3, 10–11<sup>12</sup>

EXAMPLE A1.2.18 Beethoven, Piano Sonata in B-flat Major, op. 106/iii, mm. 13–16, 21–22

{24} [V.] Das weiter entwickelnde Gleichnis des Poetischen

### Schlusswort u. Ueberleitung

Mit solchem Gleichnis im Herzen ward nun Musik eine wirkliche Kunst. Sie ist es geworden, im Laufe der Zeiten, <sup>ist es aber</sup> nicht schon von Anfang ~~aber~~ <sup>an</sup> gewesen, wie die anderen Künste, denen das Gleichnis <sup>schon sofort a priori</sup> der Natur durch u. [*illegible*] sich selbst anbot. Da das Gleichnis der Musik <sup>rein</sup> innerlich, abstrakter Art, darf man, wenn's beliebt, diese Kunst eine abstrakte nennen: Neben allen Künsten ist sie aus dem Grunde der Entstehung ihres Gleichnisses eben wohl die abstrakteste Kunst, <sup>ja</sup> die Kunst κατ'εξοχήν.<sup>13</sup> Wenn man will, kann man <sup>ferner</sup> Musik <sup>auch</sup> als ~~eine~~ Kunst par analogium auffassen, wenn man dem Umstand Rechnung trägt, dass

<sup>12</sup> [Cf. Marx ([1863] 1875, 142) and Riemann (1889, 61).]

<sup>13</sup> [Greek for *par excellence*.]

jenes Gleichnis nur eine analoge u. künstliche Nachbildung der Gleichnisse ist, wie sie sonst die Natur uns darbietet.

Erst im Besitz dieses Mittels des Gleichnisses durften die Künstler es wagen, nunmehr auch auf andere Einflüsse u. Anregungen zu horchen, die sie dann in ihrer Kunst umso eifriger verwertheten, je besser sie die Macht fühlten, die von diesen <sup>Ausgängen</sup> kommend Musik zur wirklichen Kunst zu gestalten. Je besser sie ihre Kunst zu machen verstanden, desto sicherer benutzten sie ~~auch~~ solche fremden Anregungen. Unter diesen Anregungen verstehen wir **{25}** aber Anregungen des wirklichen, ja wirklichsten täglichen Lebens. Also Seelenzustände, u. *[illegible]* nicht bloß solche allgemeinsten Natur, wie Liebe, Zorn, Rache, Heftigkeit, Trauer, Heiterkeit, als Ausgelassenheit, Ernst[,] oder Scherz, sondern, was auch wunderbarer, besondere Zustände ~~eine~~ [der] Menschenseele, ja Körperbewegungen, Bewegungen der Hände, der Augen, dem selteneren Tonfall seltener Gefühle usw. Mit alle dem trat somit das Leben selbst, das ganze, breite Menschenleben ins Gleichnis zur Tonkunst. Es war das ein zweites[,] neues Gleichnis, da sich vom innermusikalischen Gleichnis doch deutlich genug unterschied. Von nun an konnte Musik sich nun auch *[illegible]* mit dem Leben u. der Natur so nähren, wie die anderen Künste, denen sie dadurch in die Nähe kam. Nur hatte sie nach <sup>obenhin</sup> dem Grundprinzip ihres Wesens, als dem Gleichnis höherer Kategorie, gerecht zu werden, während die Schwesterkünste am Gleichnis *[illegible: der?]* Natur genug, vielleicht übergenug hatten. Ob es nun treffend wäre, die Sache so betrachtet, zu sagen, die Musik habe im Vergleich zu den anderen Künsten eine doppelt schwere Last zu tragen, nämlich *[illegible]* zweierlei Arten von Gleichnissen, beliebe dahingestellt. Uns wenigstens **{26}** scheint, was noch zum Wesen einer Kunst als solcher gehört, nicht schon eine Last für sie zu bedeuten. Denn es müsste dann mit ebenso viel Recht Essen u. Schlafen als Last des

Menschen gelten, was aber nicht der Fall. Musik hat also in erster Linie Kunst zu sein, dann komme, was kommen mag, der Mensch, die Natur, die ganze, ganze Welt, waren nur in zweiter Linie.

Wie leicht zu errathen, sprechen wir hier von der Gattung Musik, die man missbräuchlich mit dem besonderen Namen Programmmusik benennt. Missbräuchlich darum, weil alle gute u. beste Musik in diesem Sinne Programmmusik sein kann u. es auch ist, ohne dass sie noch aufhört, künstliche Musik, als wahre Musik u. wahre Kunst zu sein. Dahingegen die Besonderheit des Namens weit weniger eine Auszeichnung, als Tadel der Gattung zu bedeuten hätte, wenn man damit sage wollte, in ihm trete das Programm vor die Musik selbst in den Vordergrund. Was dann aber sonst möchte man Kunst gewagt haben, wenn man nicht andernfalls, gleich uns, die Ueberzeugung hat, schon Beethoven oder Haydn haben noch <sup>vor</sup> Berlioz, Liszt[,] oder Wagner Programm- {27} musik geschrieben, und sogar eine bessere als diese. Wer, wie wir, daran glaubt, u. dafür die besten Gründe in sich trägt, dass z.B. der erste Satz aus der A<sup>dur</sup> Sonate von Beethoven op. [101] die allersublimste Programmmusik, die je erreicht <sup>wurde oder</sup> werden kann, [illegible], wird sich <sup>doch sicher</sup> hüten, das Wort Programmmusik im Sinne einer neuen, besonderen Kunstgattung z.B. auf [illegible: Liszt?]; Musik zu „Tasso“ anzuwenden. Was würde er denn <sup>nur</sup> neues über die Liszt'sche Musik sich gestehen oder aussagen können, was er nicht schon von Beethoven tausendfach [illegible] auch sagen muss! Oder läuft der ganze Spass nur wirklich darauf allein hinaus, dass jenes Wort von Beethoven nur einfach „Sonate“ sich nennt, dagegen Liszt's opus mit Tasso's Namen überschrieben ist, das schon durch sich selbst einen Musiker, Dichter, Charakter vielleicht sogar eine Begebenheit aus seinem so bekannten Leben anzeigt? Hat man also Programmmusik alle jene Musik zu heissen, die eine besondere Ueberschrift hat, [illegible] einen

Name, oder gar eine verzwickte Erzählung, Sage oder Legende? Ist alle Welt wirklich so thöricht, nur um eine solche Lappalie willen, einen Gattungsunterschied zwischen z.B. dem letzten Streichquartetten Beethovens u. dem [illegible] {28} von Berlioz zu statuieren?

Nun denn, selbst [illegible] Beethoven, der vieles gekannt, ja Alles, was nur irgend die Kunst vom Künstler zu wünschen schiene, vermochte den poetischen Gleichnissen seiner Werke nicht jene Deutlichkeit u. Körperhaftigkeit zu geben, wie man sie gerne heute der Musik, geringeren Meistern wohl zuliebe, anhängt. Diesen Landsleuten, deren Beisammensein er in seiner VI[.] Symph. schildert, sind lange nicht so greifbar u. sichtbar, wie etwa die Landsleute, die z.B. [illegible] uns malt, oder [illegible] dichtet. Das Lebewohl, das er dem schlichten Freund zuwirft, hat lange nicht die Körperhaftigkeit selbst des schlechtesten Abschiednehmens. Und wäre es schon nützlich, dass den Tönen die beiden Worte „lebe wohl“ gleichsam aus ihrem Mund herausfallen könnten, wie [illegible] wäre das Alles doch noch so wenig, so viel zu wenig, gegenüber der Wirklichkeit des Abschiedes? Wo bliebe das stockende Herz, die erblassenden Wangen, der Druck der Hand, die Beklemmung des Blutes, das unverwandte Harren der Augen nach dem ziehenden Freund, ach, wo blieb das nur Alles? Der ganze Körper wie ertrunken in der Tiefe der Trauer, die Seele wie erstickt in einem Augenblick ohne Zukunft!—wie wollte

### {29} Überleitung

[The following page is crossed out in the manuscript.]

~~Jedoch musste, um die Aufgabe der Tonkunst zu erfüllen, das Tonmaterial erst beschaffen werden; es musste das Tonsystem gefunden werden, worin die musikalischen wie poetischen~~

~~Gleichnisse darzustellen möglich war. Dieses aber zu finden war fast noch schwerer, als es schwer war, das inner-musikalische Prinzip zu entdecken, u. es dauerte Jahrhunderte, ja sogar Jahrtausende, ehe beschafft wurde, was wir besitzen. [The remainder of the page is illegible.]~~

**{30}** [Continued from item 28 above.] sie das <sup>alles</sup> zu schildern unternehmen die Musik? Doch ist es auch <sup>gleicherweise</sup> nicht ihr Beruf, das Alles zu machen, wo Sprachen nicht [*illegible*: gewähren?], geben nicht Statuen, schon nicht Worte, so brauchen auch die Töne nicht zu sprechen wie das Wort, zu malen, wie die Farbe, zu [*illegible*] [*illegible*] [*illegible*] verkörpern, wie der Meisel. Jede Kunst hat ihre Aufgabe, u. mit dieser ihre Grenze, ihre eigenen Mittel: nur ist die Treue zur Aufgabe wie allen dieselben, die Treue zum Gleichnis dieselbe. Wie nun der Natur als ihrem Gleichnis Poesie, Malerei[,] u. Plastik so durchaus treu bleiben müssen, so die Musik ihrem eigenen. [*illegible*: Gleichnis?] Das ist Alles. Treu zum musikalischen Gleichnis aber heisst: immerwährend melodische, rhythmische, harmonische[,] u. contrapunktische Gleichnisse zu schaffen, u. [*illegible*] diese unverdrossen, u. ohne Rast Nach- u. Gegenbild zu bringen. Hat in das eine oder andere Gleichnis daneben auch der Mensch hineingesehen, oder die Natur, dann <sup>gewiss</sup> nur, desto besser, wenn nie dem Vor- sein Gegenbild [*illegible*] fehlt! Pareat mundus, vivat musica!

Wehe aber dem, der solch schönes Geschäft der Treue aber mit dem ekeln Namen „Formalismus“ bewandelt. Dieser scheint nicht zu ahnen, wie arg er dadurch **{32}** <sup>nur</sup> seine Unkenntnis der wahren Kunst compromittiert. Gerne anerkennen wir [*illegible*] sein Recht darauf, sich von dem musikalischen Gleichnissen des Künstlers X oder Y gelangweilt zu fühlen; so oft er aber, gar verständlich darüber geworden, die Lust verspüren möchte [*illegible*: wie sich?], gleich das ganze System der Gleichnisse niederzurennen, erinnere er sich nur [*illegible*] Beethoven's oder Bach's, die beide nur <sup>allein</sup> in jenem die Wunder der Kunst, wie auch der Seele geartet, ja selbst ~~der~~

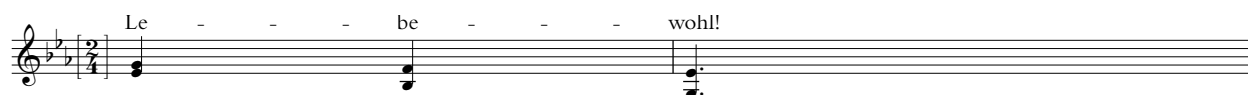


ein hübsch gesondertes System ~~der Gleichnisse~~ geworden zu sein scheinen. Was können denn Beethoven u. das System dafür, dass ein Geringerer ihnen nicht zu folgen vermag? Oder will jener gar ernstlich dem Formalismus Beethovens, die so gemachten, u. musikalisch überdies [illegible] <sup>[illegible]</sup> so dürftig erledigten poetischen Gleichnisse <sup>z.B.</sup> eines Berlioz entgegensetzen, als ein Neueres u. Vorgeschritteneres, als das ersehnte Unformalistische? So sage er gleich lieber, er sei Feind aller Kunst überhaupt, weil sie einen gebundenen Zustand darstelle. Nun denn solche Gebundenheit wird der Kunst gar nie erspart bleiben! Wie umgekehrt denn auch die Natur, geborgen in Ewigkeit, Kraft ihrer unerschöpflichen Fruchtbarkeit nie aus den Ufern stets wird treten müssen. **{33}** Kann alle Kunst nur begrenzt an Zeit u. Raum vor unseren Geist treten, u. muss sie davon gar viele u. mannigfaltige Beschränkungen erleiden, so kann ihr Problem nur heissen, wie solche äusseren <sup>notwendigen</sup> Gebundenheit zu durchdringen sei mit grösster innerer Ungebundenheit? Wie es zu machen sei, dass beide, Gebundenheit sowohl als Ungebundenheit, gegen,—wie aneinander zu Voraussetzungen; Vorbedingungen werden möchten, [illegible] dass in grösster Gebundenheit ein noch gleichsam ausreichender Raum sei für grösste Ungebundenheit, d.h. charakteristischsten Entwurf der Seele, u. <sup>doch auch</sup> umgekehrt in grösster Ungebundenheit strengste Gebundenheit gleichsam vorgeformt, vorgedeutet sei? Ja, nur dies allein ist Grundproblem der Kunst; und unter den Schaffenden wird derjenige immer der künstlerischste sein, der jenes Problem am gemässesten lösen wird, d.h. der es <sup>[illegible]</sup> verstehen <sup>[illegible]</sup> wird, psychische Ungebundenheit nur durch das Mittel der formellen Gebundenheit auszudrücken, u. in formeller Gebundenheit grösste Ungebundenheit zu entfalten. Und nicht einmal gestattet ist es uns mehr, ob solches denn wirklich möglich sei, zu bezweifeln, denn wir hatten **{34}** schon Einen, der es gekonnt u. erwiesen, [illegible]—Beethoven!

Folgen wir denn seinen Spuren [*illegible*], u. sehen wir, wie er das Gleichnis gehandhabt, [u.] zu Nutz u. Frommen aller, die ihm hierin folgen möchten!

Nehmen wir vorerst ein durch ihn selbst gleichsam über alle Zweifel erhabenes Beispiel für poetische Gleichnis, aus der „les adieux“ Sonate op. [81a]. Durch die Überschrift schon allein wünscht er unzweideutig zu sagen, er habe hier poetische Gleichnisse im Grossen und Kleinen getrieben, ~~und wir haben kein Recht, ihm Lügen zu strafen~~. Extra: es wären die Wörter „lebe wohl“ den ersten Tönen Pate gestanden.

**EXAMPLE A1.2.19** Beethoven, Piano Sonata in E-flat Major, op. 81a/i, mm. 1–2



Nun fragt es sich: Hat hier eine Beeinflussung eines Tonwerkes durch ein poetisches Wort- u. Situationsvorbild <sup>wirklich</sup> stattgefunden, oder nicht? Haben wir ferner die Pflicht, ihm zu glauben, oben stehe seine persönliche schriftliche Versicherung, oder auch das Recht, trotz dieser persönlichen Bürgschaft, jenes Gleichnis als solches zu leugnen? **{35}** Nein[,] wir denken: es müsse auf's Wort des Meisters geglaubt werden, zumal der Eindruck der unter dem Einfluss des Gleichnisses geborenen Tonwerke so ist, dass er das Wort des Meisters mehr <sup>zu</sup> unterstützen als zu entkräften vermöchte. Haben wir aber einmal angenommen, es sei wirklich wahr, was Beeth. uns versichert, u. zwar wahr in Wort u. Ton, haben wir dann nicht schon durch dieses allein zugleich auch die Pflicht, der Musik ein Recht auf poetisches Gleichnis zuzugestehen? Wenn das Gleichnis in Beeth.'s Kunst sich vollzog, u. wir es selbst glauben, weil wir es doch nicht leugnen können, wie dürfen wir dann in einem den Gegensatz davon behaupten, Musik könne kein Gleichnis

ausdrücken? Soll u. muss es nicht <sup>schon</sup> genügen, dass dieses ihm, dem Autor, das Gleichnis voll ausgedrückt hat? [~~illegible~~] Was geht hierbei wir, die Zuhörer, die Kunst, u. der Künstler an? War ihm selbst nur des Gleichnis Thatsache u. Ereignis, so ist es nicht nur aus der Welt zu schaffen, gleichviel welchen Antheil wir daran haben oder keinen; u. wir dürfen nicht zögern zu sagen, Musik kenne poetische Gleichnisse aus- {36} drücken, u. sie drücke sie aus, ob <sup>wir</sup> sie wahrnehmen oder nicht. Das Alles folgt aus der Thatsache, der Wahrheit im Künstler, u. zwar schon daraus allein. Mit ihm, der behauptet, das Gleichnis erlebt u. geschaffen zu haben, müssen wir einstimmen zu sagen, Musik könne sehr wohl auch poetische Gleichnisse ausdrücken.

Doch auch wird, die blos hören, nicht schaffen, haben gleichfalls Rechte auf Thatsachen, nöthigenfalls auch einseitige gegenüber dem Künstler, wie vorher <sup>doch dieser</sup> gegenüber uns welche hatte. Unser Recht besteht <sup>nicht</sup> darin, sagen zu dürfen, dass diese als jene Tonreihe uns ein Gleichnis scheinen will diesem oder jenem seelischen Vorgang, ein Gleichnis dieser oder jener dramatischen Gebärde[,] usw. Geschieht es, dass eine Tonreihe uns <sup>eben</sup> an ein Bestimmtes aus dem Leben denken lässt, so ist ihr Gleichnis schon da, da <sup>es</sup> gekommen ist, wie jede Ideenassoziation, ungerufen, ungewollt, u. ohne dass wir sie finden könnten. Wir können ja nichts dafür, das was bei jener Tonreihe Kraft eines Gleichnisaktes der [~~illegible~~: Lebens—?] einfiel, {37} geschah es aber so, wer wird das Recht auch nehmen, diese Thatsache <sup>uns</sup> abzuleugnen, oder [~~illegible~~] überhaupt uns gar verwehren? Und warum sollte sie <sup>denn uns</sup> verwehrt werden? Wem schadet es denn, dass jene Thatsache unser ausschliessliches seelisches Eigenthum ist, u. vielleicht auch bleiben muss? Ein Beispiel. So oft wir den jagenden „Durchführungstheil“ jener oben genannten Sonate hören, haben wir immer wieder den bestimmten Eindruck des Lebens; u. glauben <sup>nämlich</sup> leises Schluchzen zu sehen u. zu hören, denn alle Gedanken, alle Gefühle wie zusammenbrechen noch vor ihrem

Ende, wohin sie gehen möchte; <sup>u.</sup> als [illegible] möchte er die Grausamkeit des Abschieds nicht zu Ende denken [illegible], nicht zu Ende fühlen, meist aus Mangel an [illegible] Schmerz, oder weil <sup>es</sup> ihm trostreicher dünkt, zu hoffen, ~~bevor~~ <sup>aber</sup> er ganz zur Beute des Schmerzes geworden, hören wir deutlich, wie all die letzten Worte ins Leere ihm fallen, <sup>ins Leere</sup> dorthin, wo Gefühle u. Geist sich zu entfernen [illegible] scheinen, u. der Augenblick so hohl u. ewig wird, und nur der Körper, allein, <sup>so</sup> ungefühlt, u. ungedacht von der Feuersbrunst des Schmerzes verzehrt wird. Wir hören jenen {38} Theil ungefähr so, um es auch in Noten auszudrücken:

**EXAMPLE A1.2.20** Beethoven, Piano Sonata in E-flat Major, op. 81a/i, mm. 73–89

Wenn nun die <sup>in</sup> den [illegible: Bruchstücken?] eines zweiten, unteren [illegible: R—systems?] enthaltenen Töne fehlen, wo sie fehlen[,] ja auch in der Sonate selbst, wo stets ihre andern musikalische u. poetische Gleichnissen enthalten, ist es nun nicht so, als [illegible] hätte das erste Motiv <sup>gar</sup> nicht zu Ende gebracht werden können, wie aus Ohnmacht oder Schmerz? Und wenn nur wir allein es sind, die wir so hören, ist dieses darum weniger wahr? Ist die Thatsache meines Gefühls [illegible] nicht <sup>etwa</sup> ebenso lieb, wie der Andern [illegible], wie gar dem Künstler die seine?

Dadurch[,] dass wir so fühlen, wollen wir noch [illegible] zu [illegible] Gefühlen bekehren, aber selbst ein Beethoven [illegible] dürfte es [illegible] nicht wehren, so zu fühlen, somit [illegible] wie {39} gegen [illegible] solchen Zufall doch ebenso wehrlos [illegible], ihm zu kommen [illegible][,] [illegible] ebenso wenig hindern kann, [illegible] wie er. Unser Gefühl besteht somit auch zu Recht, ob nun auch den Meister selbst ein anderes poetisches Gleichnis hier vorhatte, wovon [illegible] wir aber nichts wissen.

Von hier aus zu noch anderen Fällen vorzuschreiten, ist nicht schwer, u. so möchten sich im Allgemeinen etwas folgende Fälle ergeben: erstens es schafft der Künstler ein poetisches-musikalisches Gleichnis, davon weiss aber der Hörer gar nichts, oder denkt dem musikalischen ein anderes poetisches Gleichnis als der Künstler; oder zweitens es denkt sich der Zuhörer ein poetisches-musikalisches Gleichnis, ohne dass der Künstler überhaupt an ein solches dachte, aber doch <sup>auch</sup> nur dasselbe. Daraus aber ist zu sehen, dass ein poetisch-musikalisches Gleichnis zur gleichen Zeit nach zwei Subjekten zielt, dem Künstler u. Zuhörer, u. schon begründet ist, wenn es nur auf der einen Seite oder der andern zutrifft, <sup>dass es</sup> nicht nothwendig hat, zugleich Bedeutung für Künstler u. Zuhörer zu gelten, unbeschadet des seltensten u. besten Falles, wo beide Theile über das Gleichnis in bester Übereinstimmung.

Auch dieses erfährt man aus Beethoven am besten.

## [Miscellaneous Notes]

{42} Das Leid, weil im Verhältnis eines Gleichnisses zum Wort stehend, bedarf eines weitem Gleichnisses die der rein Musik. Nicht mehr. Besonders geltend in der Chormusik.

{43} Auslese Gleichnis.

In den thematischen Motivverwandlungen, kurz in allen Gleichnissen sämtlicher Kategorien herrscht das Gesetz der Auslese, das stärkste charakteristischste hat sich zu behaupten. Daher Auswahl. Abbreviation erinnernd an die des Dramas u. der anderen Künste.

## APPENDIX 2

## ON THE NATURE OF ARTISTIC LAWS IN GENERAL

## § A2.1. INTRODUCTION

“Von der Natur der Kunstgesetze überhaupt” is an unpublished manuscript located in file 83 of the Oster Collection. The same editorial conventions described in § A1.1 are used here. Roman numerals have been added to help organize the text’s seven parts. Notwithstanding the introduction, the numbered subheadings are original to the manuscript. I thank an anonymous transcriber and Görkem Cilam, Assistant Director of the University of Massachusetts Amherst Translation Center, for their help interpreting these documents.

The “Kunstgesetze” essay expresses many of the same ideas found in “Geist der musikalischen Technik” (1895), “Der Weg zum Gleichnis” (n.d.; see § A1.2), *Ein Beitrag zur Ornamentik* (1903, rev. 1908), “Über den Niedergang der Kompositionskunst” (1905–6), and *Harmonielehre* (1906). These ideas include: (1) the immutability of music’s laws as apprehended by genius alone (§§ 1–3, 18–19); (2) the primacy of content over form (§ 9); (3) the importance of repetition and motivic development in music’s evolution (§ 11–12); (4) the historical importance of C. P. E. Bach, who established the conventions of sonata form, including the long-range transformations of a motive (*fernliegende Verwandlungen eines Motivs*) and the use of different keys to create contrasting sections (§ 15); and (5) the musical decline that occurred after Beethoven’s death, which, in Schenker’s view, was precipitated by Berlioz, Liszt, and Wagner (§§ 12, 20).

The first and last sentences of “Kunstgesetze” feel as if they belong to *Harmonielehre* in particular; perhaps they allude to the same quasi-historical *Künstler* persona who develops the tonal materials provided by Nature. Yet this essay also contains clues that suggest it was written well after *Harmonielehre*. First, the document is written in the hand of Schenker’s wife, Jeanette (although they were not married until 1919). This is unusual for Schenker’s earliest writings, which appear in his own hand. Second, in § 14 Schenker refers to “I u. II<sup>2</sup>” of *Neue musikalische Theorien und Phantasien*, or *Harmonielehre* (1906) and what became book II of *Kontrapunkt* (1922) respectively. Perhaps this dates the manuscript to sometime after *Harmonielehre* (and perhaps also after the first book of *Kontrapunkt*, which was published in 1910)—but judging “Kunstgesetze” by its contents, it was likely written before 1921. Because Schenker relies on motivic resemblances for musical coherence, “Kunstgesetze” likely dates from before ca. 1917, especially since any reference to the *Urlinie* (or a *fließenden Linie*) is conspicuously absent.<sup>1</sup> Or perhaps the essay was intended to be part of the new *Formenlehre* that Schenker had planned as the third volume of *Neue musikalische Theorien und Phantasien*.

In “Kunstgesetze,” Schenker describes how motives give rise to larger forms through the laws of *Mannigfaltigkeit* and *Gebundenheit* (§ 15).<sup>2</sup> *Mannigfaltigkeit* is a centrifugal force that generates motivic variants and is associated with the proliferation of content. *Gebundenheit* is a centripetal force that creates order from the “chaos” of the foreground and is associated with coherence (§ 17). It is tempting to apply these principles in relation to Schenker’s ([1976] 1903,

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<sup>1</sup> Before its publication, Schenker’s draft of II<sup>2</sup> included a section titled “Freier Satz,” which he later described as II<sup>3</sup>. This third book of *Kontrapunkt* eventually became *Der freie Satz* in the years following the development of the *Urlinie* concept ca. 1917–20; see Siegel (1999, 12–16, 16n13).

<sup>2</sup> For the role artistic laws play in Schenker’s early thought and their relation to thinkers such as Eduard Hanslick and Guido Adler, see Karnes (2008, 41–43).



rev. 1908) comments on C. P. E. Bach's sonata-form movements: motives multiply in the foreground (*Mannigfaltigkeit*), while the resulting "chaos" is unified through a single key area (*Gebundenheit*). Contrasting sections set in different keys would then result in *Mannigfaltigkeit* of a higher order (and so on).<sup>3</sup>

Schenker concludes the "Kunstgesetze" essay by reiterating the primacy of content over form, but his final sentence comes as a surprise, for he also recognizes that form can serve an important purpose for the creative artist. In the "urge toward synthesis," which Schenker equates to an urge toward form, the artist is driven to new compositional inventions that might not have occurred otherwise.<sup>4</sup> Although form may be the result of content's organic growth, this thought betrays a sense in which form also shapes that content. This is a telling concession indeed.

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<sup>3</sup> Schenker describes in § 15 below how it was C. P. E. Bach who first extended motivic content by creating "Gegensätzen auf Grund des Tonartwechsels."

<sup>4</sup> "Doch über solchen organischen Zusammenhang hinaus besitzt die Form in einem bis heute wohl noch unbeachteten Sinne einen besonderen produktiven Wert. Der Trieb zur Synthese, das ist zur Form, nötigt den Künstler zu Erfindungen, die er außerhalb des Zwanges einer Synthese sich gar nicht einfallen lassen könnte" (see § 24 below). For a more detailed exposition of this idea, see Schenker ([1895] 2007, 331).



§ A2.2. "VON DER NATUR DER KUNSTGESETZE ÜBERHAUPT," BY HEINRICH SCHENKER (OC 83/159–202)

[I. Introduction] (§§ 1–3)

{159} § 1. Es gibt wirklich Gesetze in der Kunst. Sie binden den Künstler, sie binden den Hörer.

§ 2. Hier sind die Beweisgründe: Erstlich ist die Kunst <sup>innerhalb des Kosmos</sup> so gut Schöpfung ~~in~~ ~~der Welt~~ wie jede andere u. ~~so~~ hat sie <sup>[illegible]</sup> mit allen anderen Schöpfungen, seien es <sup>[illegible]</sup> organische oder anorganische Körper, beseelte oder unbeseelte, die Wahrheit ihrer eigenen speziellen Gesetze gemein, die Gesetze des Entstehens, Fortbestehens, Vergehens, usw.

Nur die inneren Gesetze einer Schöpfung sind als deren Wahrheit zu verstehen, diese ist dann aber ewig u. unabänderlich, ebenso wie der Gegenstand selbst.

Auch über den Beziehungen von Gegenstand zu Gegenstand walten Gesetze u. <sup>begreifen</sup> <sup>[illegible]</sup> wir jene <sup>unter dem Namen</sup> <sup>[illegible]</sup> Situation, so müssen wir auch das Gesetz der Situation Wahrheit nennen, ~~u.~~ <sup>die dann</sup> ebenso nur einzig u. unabänderlich <sup>ist</sup>, wie jede andere Wahrheit. Mit kürzeren Worten; Das Gesetz ~~allein~~ <sup>ist</sup> <sup>die</sup> Wahrheit u. in jedem Gesetz nur eine. So hat jeder menschliche Körper im Namen der ihn zustande bringenden Gesetze die einzige u. {160} unabänderliche Wahrheit der einen Seele, sofern wir dieses Wort für das Gesetz des Körpers gebrauchen wollen. So hat auch jede Beziehung von Mensch zu Mensch im Namen der Gesetze dieser Beziehung wieder nur eine Wahrheit als deren Ausdruck\* u. so sind endlich auch der einen Wahrheit u. Seele eigene Gesetze gegeben, welche dann schließlich wie man sieht, als Synonima gelten mögen.

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\* dramatische Dichter siehe Tagebuch, dramatischer Konflikt, was Lüge ist

§ 3. Es ist richtig, daß die Gesetze der Kunst von den Künstlern selbst, freilich nur von den Genies unter ihnen, verkündet werden, doch irrt, der da glaubt, sie seien deshalb bloß subjektiveren Wertes; in Wahrheit verhält es sich nämlich anders u. zwar so: Die Gesetze, die die Genies der Kunst anerschaffen, stammen zugleich von uns selber; auch wir hegen sie, ohne aber von ihnen zu wissen; nun spricht das Genie sie aus, u. erlöst sie so! **{161}** Wir waren eben zu schwach, sie selbst zum Ausdruck zu bringen u. besitzen sie erst durch die Kraft des Genies u. dass das Gesetz unser ist dürfen wir selbst dann aussprechen, wenn wir unser eigenes im ersten Augenblick nicht erkannten u. erst später dem Genie zuzustimmen uns bewegen fühlten. Ein Beispiel möge die Wahrheit näher erklären: Wenn die Genies zum Zweck der Darstellung eines Gegensatzes zugleich einen Tonartwechsel vornahmen (somit auch von anderen ihn forderten), so ist auch diese Gesetz nicht nur aus ihrer eigenen sondern auch aus unserer Seele entnommen, denn, früher als wir ahnten eben sie, daß Gedanke an Gedanke ohne Tonartwechsel gereiht den Eindruck nur einer u. derselben Gruppe, nicht aber den eines Gegensatzes ergibt, u. daß in solchem Falle Mannigfaltigkeit daher vom Gegensatz psychologisch wohl unterschieden wird. Daraus folgt nun, daß dieses Gesetz keine Ausnahme kennt, müßte doch die Verletzung des Gebotes eines Tonartwechsels sofort den gegenteiligen **{162}** Eindruck einer bloß mannigfaltig gebauten Gruppe hervorrufen. Es muss daher bei jedermann, sei er schaffender oder nichtschaffender Künstler oder nur Laie, in der Kunst eben jener Zustand der Empfindungsschwache angenommen werden (von dem oben die Rede gewesen) wenn er in diesem Punkte noch indifferent u. unempfindlich bleibt. Solche Unentwicklung dürfen wir z.B. auch bei Bruckner annehmen, wenn er, wie in Andante der IV. Symphonie zu sehen ist, dem gegensätzlichen Gedanken nicht auch den Boden einer neuen Tonart bereitet. Ihm gegenüber

werden daher die Meister aller Zeiten Recht behalten, die zu solchem Zweck den Tonartwechsel präzise vornehmen, u. über kurz oder lang wird der Fehler Bruckners der Missbilligung sämtlicher Zuhörer verfallen, die bis dahin das Gesetz eines Bach, Emanuel Bach, Haydn, Mozart, Beethoven usw. in sich bestätigt finden werden.

Man sieht, daß es irrig ist, {163} Gesetze der Kunst bloß für subjektiv auszugeben, u. daraus die Konsequenz zu ziehen, sie seien ewig veränderlich u. objektiv nicht bindend.

## [II.] Vom Urgrund der Form (§§ 4–13)

§ 4. Alle Form läßt sich im Grunde zurückführen 1. Auf<sup>die</sup> organische Notwendigkeit des Inhalts selbst, u. 2. auf ein selbstständig anzuerkennendes Bedürfnis der Kunst als solcher. Um dieses deutlich zu machen, will ich die Poesie zuhilfe nehmen, deren Schuldigkeit u. Verschiedenheit uns die Frage auch nach der Form in der Musik näher erläutern wird.

§ 5. Ich wende mich zunächst der Poesie zu. Sie ruht auf dem Grunde der Sprache u. der Anteil des Inhaltes an der Form läßt sich folgendermaßen darstellen:

Habe ich bloß eine Tatsache u. diese nur in wenig Worten mitzuteilen, wie z.B. „Ich komme morgen, spätestens abends“, {164} so ist es an eben dem mitzuteilenden Inhalt gemessen ohne alle Bedeutung, ob die Stellung der Worte nun gerade so, oder anders, z.B.: „Morgen, spätestens abends, komme ich“ geprägt wird.<sup>5</sup>

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<sup>5</sup> [Schenker conducts a similar linguistic exercise in *Harmonielehre* (1906, 45). He illustrates *Inversion*—i.e., the descending fifth from tonic to subdominant, which is in opposition to the Nature-given ascending fifth from tonic to dominant found in the overtone series—by reordering the words in a simple sentence: *Der Vater ritt durch den Wald* becomes *Es ritt der Vater durch den Wald*, or even *Durch den Wald ritt der Vater*.]

Habe ich dagegen mehreres zu sagen, so wird es sofort auch von akutester Wichtigkeit, wie ich den Inhalt der Mitteilung aufbaue. Dann ist es nämlich die zu erreichende Wirkung, die mir eine bestimmte Ordnung der Sätze als die einzige u. diejenige aufzwingt, die am sichersten zum Ziel des gewünschten Eindruckes führt. Daraus folgt, daß die Frage nach einer Ordnung des Inhaltes erst mit dessen Vermehrung u. Differenzierung akut wird. Es versteht sich, daß hier für „Ordnung“, ohne weiters auch „Form“ gesetzt werden darf.

§ 6. Unschwer gelangt aber die Poesie zur Vermehrung ihres Inhaltes, denn schon von Haus aus besitzt alles, was Gegenstand **{165}** der Poesie wird oder werden kann, die mannigfaltigsten Beziehungen in Zeit, Raum, usf., man bedenke, wie viel Beziehungen z.B. um den Menschen selbst lagern, der Verhältnisse zu Eltern, Geschwistern, zu Haus und Hof, Staat u. Gesellschaft, Kunst u. Wissenschaft usw., welche Verhältnisse sich nun sofort unserer Vorstellungskraft melden sobald wir irgend einen Menschen ins Auge fassen. Dasselbe drückt Goethe im west- östlichen Diwan mit folgenden Worten aus: „ — “. Soweit der Anteil des Inhaltes an der Form.

§ 7. Indessen bedeutet selbst der größte Inhalt u. noch so zweckmäßig angeordnet nicht an u. für sich schon Kunst zugleich; da, wie gesagt, die Poesie im Material der Sprache sich ausdrückt, so hat sie, um Poesie zu werden, erst eine deutlichere Abgrenzung nötig, gegenüber jenen weiten Gebieten **{166}** der Sprache, die wir Gespräch, Alltag, Brief, kurz gesprochene oder geschriebene Prosa nennen dürfen.

§ 8. Zum Zeichen der Absonderung der poetischen Kunst von der Prosa des Lebens bedarf nun jene: 1. Einer Auslese der Situation u. die Worte, die zu einer Abkürzung (Abbreviation) [*illegible*: führt?], in der alles Reinwesentliche u. Zufällige des Tages gleichwohl

noch aus eigener Erfahrung Ereignis werden kann, 2. unter Umständen auch noch eines metrischen Schemas, das dann gleichsam als ein künstliches Podium betrachtet werden kann, auf dem künstliche Worte wie Schauspieler agieren, um eine Illusion hervorzurufen, u. 3. Endlich auch des Reimes, der durch die ihm innewohnende Absichtlichkeit auf Gleichklang, die Künstlichkeit der Kunst, nicht minder wie das metrische Schema selbst, sie darstellen hilft.

Wie im Theater Bühne und Vorhang, Kunst u. Leben aufs wirksamste wohl schon allein von einander trennen, so {167} trennt auch die Bühne des metrischen Schemas die Worte des Gedichts von solchen des gewöhnlichen Lebens ab. Oder ein anderes Bild: Was die Chaussee unter den Wagen und Pfaden bedeutet, das ist das metrische Schema in der Kunst als eine gut angelegter, sicherer Weg der Gedanken u. der Sprache, die sich solcher Art von des Lebens Wirklichkeit abtrennen will.

§ 9. Ähnlich, wenn auch nicht ganz so, verhält es sich in der Musik. Da nämlich Musik von vornherein dem Alltag, dessen Treiben u. Ausdruck selbstständig gegenüber steht, so ist sie eben <sup>daher</sup> allemal schon Kunst, wo u. wie immer sie auch erscheinen mag. Sie bedarf nicht erst einer künstlichen Absonderung vom gemeinen Leben, weshalb ihr denn auch eine Prosa fehlt, wie sie der Poesie entgegen steht. Oder noch kürzer ausgedrückt: In der Musik kommt alle Form nur aus dem Grunde der Inhaltsbildung- u. Vermehrung; daher weist die {168} Form in der Musik nur den Anteil auf, den Inhaltbeschaffung- u. Vermehrung an ihr nimmt, dagegen ist sie in der Lage, jenes 2. Anteils zu entbehren, dessen die poetische Form bedurfte, um Kunst überhaupt vorzustellen.

§ 10. Freilich gerade die beiden letzteren waren seit jeher auch die einzige Sorge der musikalischen Kunst; denn während, wie oben gezeigt wurde, die Poesie ihren Stoff u. dessen

Beziehungen ohne weiteres dem Vorrat der Welt entnimmt, musste dagegen in die Musik sowohl erst der Stoff, als dessen Beziehungen künstlich hineingetragen werden. Daß es dann erst mit der Vermehrung des Inhaltes erst recht schwierige Bewandnis hatte, mag schon aus der Schwierigkeit des Urprozesses geschlossen werden.

§ 11. Der künstliche Stoff in der Musik bildet das Motiv u. die Wiederholung ist jenes künstliche Ferment, das zur Inhaltserzeugung u. Vermehrung der Beziehungen den ersten Weg wies.

{169} So betrachtet zeigt die musikalische Kunst ihre ersten Stadien in jenen Wiederholungen, die sich als Kanons, u. später hin selbst noch in der Fuge um ihrer selbst willen ausbreiten, ohne noch den Inhalt deshalb wesentlich zu vermehren, denn durch Vielheit allein dehnen Wiederholungen wohl den Inhalt, bereichern ihn aber noch durchaus nicht, wenn sonst gedankliche oder tonartliche Gegensätze fehlen, die bereits wieder auf einer anderen Technik beruhen.

§ 12. Die Wiederholung war es auch, die sofort die musikalische [und] die poetische Kunst für immer von einander schied. Während bis dahin die Musik den Forderungen des Textes so weit nachgeht, darf sie mit diesem stets ~~auch~~ gleiche Schritte auch im Fortschritte des Gedanken hielt, hat sie nach Eroberung des technischen Prinzips der Wiederholung ihre Selbstständigkeit gegenüber der Poesie zum ersten Mal gewonnen. Nun geht der musikalische {170} Schritt seit jener Zeit doppelt langsamer, als der poetische, da ersterer schon zur Entwicklung der Wiederholung einer eigenen, zweiten Zeit bedarf, in welcher der letztere, d.i. der poetische Schritt inzwischen doch bereits neuen Inhalt dem vorausgegangenen angliedern darf. Schon daraus allein entnimmt man eine Handhabe zur Verurteilung der Technik Richard



Wagners in seinem Musikdrama; wo er die Musik in einem Ausmaße, wie es bis dahin weder in Opern noch auch Liedern, selbst durch Komponisten, nicht gewagt worden, dazu zwingt, mit der Poesie gleichen Schritt zu halten, was natürlich nur unter beinahe vollständigem Verzicht auf jene Technik geschehen konnte, die die Musik durchaus nicht mehr entbehren darf, wenn sie auf dem Rang einer wirklichen Kunst Anspruch erheben soll.

§ 13. Die Wiederholung scheidet die Musik übrigens auch von der Malerei u. Plastik. In anderer Weise nämlich, als es bei der Poesie der Fall ist, knüpfen {171} die letzteren Künste an die gegebene Umwelt, da Gegenstand der letzteren auch ihre Gegenstände sind, u. so läßt sich, wenn man den Unterschied der Musik gegenüber sämtlichen anderen Künsten kennzeichnen will, gerade die Wiederholung als dasjenige Gesetz der Musik bezeichnen, das nur ihr allein angehört; wie denn sofort auch dieses klar wird, daß die Musik ein solches Gesetz einzuverleiben bloß deshalb nötig hatte, weil sie zum Unterschied gegenüber den [*illegible*: übrigen?] Künsten jeder Beziehung von Haus aus entbehren muss. In diesem Sinne nun aber ist die Wiederholung das Gesetz einer Beziehung eines allerersten Gleichnisses, wodurch dem Urstoff, d.i. dem Motiv, dieselbe Erläuterung u. Klarheit zuteil wird, wie dem Stoff, die Gegenstand der Poesie, Malerei, Plastik wird, u. dort seine Erläuterung aus der Umwelt bezieht, vor der er auch stammt.—

### [III.] Von der Ausführung der Form (§§ 14–15)

{172} § 14. Da die Motivbildung Urstoff aller Form in der Musik ist, so hat vor allem eben das Motiv die bestimmteste Prägung zu erhalten.

In den früheren Epochen, natürlich aber denjenigen, die Wesen u. Wert des Motivs bereits kannten, empfand man besonders stark auch die Notwendigkeit, einer Präzisierung des Motivs; damit ist es heute leider anders u. schlechter geworden. Die Verwahrlosung der letzten Generation inbezug auf die Erfordernisse der musikalischen Technik, hat auch in Hinsicht schon des Motivs selbst zu dem kläglichen Resultat geführt, daß dessen Bestimmtheit vernachlässigt wurde.

Diese Erscheinung hängt mit der parallellaufenden auch in der Malerei u. Poesie zusammen, die, unter dem Titel Impressionismus bekannt, nur die Eindrücke von Gegenständen, u. nicht diese selbst in den Vordergrund stellt. Ging ehemals die Malerei bloß dem Gegenstand selbst nach, u. suchte ihn von innen aus zu erforschen, um {173} so alle Forderungen erfüllen zu können, die jener stellte, so gibt dagegen der Maler von heute, da er in Ermangelung ergiebiger Nervenkraft den schweren sachlichen Forderungen des Gegenstandes nicht gewachsen ist, bloß den Eindruck wieder, den er selbst von ihm empfängt. Der Schaden liegt klar zu Tage: denn erstens kommen uns die Gegenstände selbst abhanden, die doch in erster Reihe zu stehen haben; ferner verliert die Kunst am Besitz so vielfältiger subtilen <sup>technischen</sup> Mittel, wie sie erforderlich sind, um die an dem Gegenstand zu Tage tretenden Schöpfungswunder (die der Farbe eingeschlossen) auszudrücken; u. führen ja auch die Gegenstände zu Eindrücken einen jeden zu einem eigenen u. anderen, weshalb es nicht erst nötig ist[,] sie der vollen Gegenständlichkeit zu entkleiden, da mit der Beschauer zu einem Eindruck gelange, davon abgesehen, daß der impressionistische Eindruck des Künstlers den Beschauer um seinen eigenen Eindruck bringt.—

{174} Hat doch schließlich die Malerei, um den vollen Eindruck der wahren Natur zu erreichen, noch so unendlich schwieriges zu vollbringen, da sie die Wirkung bloß auf das Auge

des Beschauers zu berechnen u. darin, d.i. in dessen Auge, jene Wirkungen auszulösen hat, die in der Wirklichkeit den Zuschauer sich auch durch andere Nerven, wie z.B. die Gehör, Geruch u. Gesichtsnerven, vermittelt werden. Welche Aufgabe doch für die malerische Kunst künstliche Fälschungen zu ersinnen u. anzuwenden, die es möglich machen, daß der Betrachter des Bildes, einzig vermöge seiner Augennerven, Stimmungen der Natur imaginieren, die, wie z.B. Feuchtigkeit der Atmosphäre, glühendes Singen des Sonnenballs usf. im Grunde Tastnervengefühle voraussetze! Hat so die Malerei vor allem die Schwierigkeit des Problems zu erledigen, wie im Beschauer eine Stellvertretung, ein Austausch in seinen Nervenfunktionen zu erzwingen sei, so möchte <sup>hinter</sup> einer solchen Hauptaufgabe die andere wohl **{175}** zurücktreten, die sich bloß mit der Wiedergabe von subjektiven Eindrücken bescheidet, ohne die Majestät des Gegenstandes selbst erreichen zu wollen.

In der Musik nun drückt sich die impressionistische Tendenz technisch dadurch aus, daß die Klänge unauskomponiert bleiben. Ist nämlich die Auskomponierung eines Klanges dessen einziger Beweis, wie ich das bereits in I u. II<sup>2</sup> ausgeführt habe, u. kann diese Erkenntnis <sup>fast</sup> so formuliert werden: „quod non est in melodia, non est in harmonia“, so ergibt sich e contrario, daß das Nichtauskomponieren der Klänge heute bereits den Impressionismus bedeuten muss. Es ist dann mit die Folge der unauskomponiert gebliebenen Klänge so, als würde man mittelst einer Eisenbahn, wie sie heute alleingebäulich; von Ort zu Ort eilen u. so wenig man in letzterem Falle sagen kann, man habe die Orte auch wirklich kennen gelernt, die man nur durchheilt, **{176}** ebensowenig werden die Klänge erkannt, die man so rasch mit dem Ohre durchheilt hat. Daher bleibt alles Eilen von Klang zu Klang unfruchtbar, u. hindert das Ziel zu erreichen, das allein

erstrebenswert, nämlich die bestimmte Fassung des Motivs. So sagt Goethe, „Propylaen“: „Wer zu den Sinnen nicht klar spricht, redet auch nicht rein zum Gemüt.“

§ 15. Die weitere Auseinanderwicklung des Inhalts vollzieht sich gemäß der oben aufgezeigten Verschiedenheit in der Natur der Poesie u. Musik, anders dort als hier.

Gleichwohl schweben über beiden Künsten inbezug auf die weitere Ausgestaltung des Inhaltes zwei Gesetze: das der Mannigfaltigkeit u. das der Gebundenheit. Sprechen wir zuerst von der Poesie. Hier ist für die Auseinanderwicklung eines Stoffes die Natur selbst Vorbild; diese nämlich zeigt in jedem Stoff eine Unendlichkeit an, indem sie, wie bekannt, jeden Gegenstand aus Atomen u. {177} noch weiteren letzten Einheiten entstehen läßt. Nennen wir diese Technik der Natur ihr Zusammensetzungsprinzip, so ist umgekehrt sowohl für den forschenden, als den künstlerisch nachbildenden Geist wohl die einzige Aufgabe, in die von der Natur gegebene Zusammensetzung einzudringen, um daraus für wissenschaftliche oder künstlerische Zwecke die Möglichkeit zu gewinnen, durch Nachbildung jener Zusammensetzungen neue künstliche Zusammensetzungen; d.s. Synthesen aufzubauen, die dann auf dem Gebiete der Wissenschaft Entdeckungen, auf dem Gebiete der Kunst dagegen besser Erfindungen u. Kunstwerke heißen.\* Fasse ich nun den Begriff des dichterischen Stoffes, soweit darunter dessen sämtliche Beziehungen u. Situationen verstanden werden können, so wird derjenige Dichter wohl als der stärkere zu bezeichnen sein, {179} der sozusagen die meisten Atome des Stoffes u. deren Zusammenhänge erforscht u. in entsprechender Auslese, in neuer Synthese, dem Leser oder Zuhörer wiedergegeben hat.

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\* {178} Denn immerhin obliegt es der Kunst völlig eigene, in der Natur selbst ja nicht einmal vorhandene Zutaten, ihren Produkten zu amalgamieren, ohne welche sie keine Kunst wäre.

Ganz so auch in der Musik. Denn wenn auch hier, wie später ausführlich gezeigt werden soll, selbst die weiteste Form den eigenen Weg der Wiederholung gehen u. außerdem sich unabänderlich auch des Mittels des Tonartwechsels bedienen muss, so ist es, Dank dem genialen Instinkte unserer großen Meister, gelungen, dem Zusammensetzungsprinzip der Natur auch in der Musik zum vollen Siege zu verhelfen. Nicht nur ist es ihnen gelungen[,] so schon den einzelnen Gedanken selbst aus verschiedenen kleinen Einheiten, gleichsam musikalischen Atomen, zusammensetzen, sondern über den einzelnen Gedanken hinaus, in der Folge sämtlicher, ähnlich das Zusammensetzungsprinzip wal- {180} ten zu lassen, mit Zuhilfenahme aber nicht nur der Auslese (die ja notwendig) sondern auch von Zusammenhängen tieferer Natur, die völlig jenen Zusammenhängen gleichen, wie sie in den Beziehungen eines dichterischen Stoffes noch deutlicher erkennbar herrschen. Die Kunst, in der Musik solche Zusammenhänge zu schaffen, ist verhältnismäßig jungen Datums, u. Errungenschaft der genialen Instinkte unserer Meister. Noch hat z.B. Philip Emanuel Bach selbst, der der erste die Erweiterung des Inhalts durch Schaffung von Gegensätzen auf Grund des Tonartwechsels durchgeführt hat, jene visionäre Kraft nicht, die ihn befähigt hätte, fernliegende Verwandlungen eines Motivs, also das, was wir in der Musik thematische Durcharbeitung nennen, so zu ahnen u. zu schaffen, wie es spatter {181} ein Haydn, Mozart u. noch intensiver ein Beethoven u. Brahms zu gestalten wußten.—

#### [IV.] Von der Gebundenheit (§§ 16–17)

§ 16. Würde man es in der Sprache wagen, in <sup>demselben</sup> ~~Satzen~~ zunächst von einem Subjekt A. zu sprechen, sich in einem <sup>Neben</sup> ~~Absatz~~ sofort aber auch schon an ein Subjekt B. zu verlieren,

und sodann in einem 3. oder 4. Nebensatz neuerdings wieder an noch andere Subjekte C., D., usf. so müsste aus solcher Summe von Subjekten eine übermäßige Belastung unserer Vorstellungskraft sich ergeben. Man kennt zur Genüge die heillose Verwirrung, die aus solchen Einschachtelungen u. falschen Fortsetzungen entstehen. Wir haben Mühe zu begreifen, um welches Subjekt es sich eigentlich in der Hauptsache handle, welche Beziehungen dann zwischen den Subjekten untereinander walten u. verlieren darüber alle Sicherheit, den Gedanken des Schriftstellers zu verstehen u. müssen sogar annehmen, daß der letztere selbst keinerlei Klarheit darin hatte, was er mitteilen wollte.

Ebenso wenig gestattet aber auch die Musik eine übermäßige Ausdehnung der Zusammensetzung, sei diese auf bloß eine Gedankeneinheit oder auch auf das ganze Werk, als die Summe des einzelnen Gedanke, angewandt, die Motive sind dann gleichsam jene logischen Subjekte, A., B., C., D., usf. deren eben nicht zu viele aufeinander folgen dürfen, wenn wir eine Einheit darin noch begreifen sollen. Wie in der Poesie, so handelt es sich auch in der Musik darum, das richtige Maß zwischen Mannigfaltigkeit u. Gebundenheit zu halten. Neues um Neues ergäbe nämlich in der Musik ebenso wie in der Poesie eine Verwirrung von Subjekt zu Subjekt, wobei in {183} der Musik nicht einmal die Logik der Stufen—u. Klangfolgen diese heilen könnte. Setze ich, um schon hier Beispiele für das Gesagte zu bringen, den ersten Gedanken aus Beethovens E<sup>moll</sup> Sonate als Muster eines sehr gut zusammengesetzten Gedankens, so mögen als warnende Bilder schlecht zusammengesetzter Gedanken dienen zunächst Schubert, C<sup>dur</sup> Symphonie, Andante u.—freilich um vieles schlechter noch Bruckners VII. Symphonie, I. Satz, 2. Gedanke oder Adagio, 1. Gedankengruppe.—

§ 17. Auch für die Gebundenheit gibt die Natur selbst, ebenso wie für die Zusammensetzung, das allerwirksamste Vorbild. Ist denn nicht der ewige Gang der Sterne, das Abrollen der Jahreszeiten, ist nicht in uns selbst der Blutlauf u. der Puls eine strenge Gebundenheit?

Doch muss die Gebundenheit immer nur eine Fülle voraussetzen, denn jegliche Armut {184} steht unter ihr, da sie eben zu wenig Stoff bietet, woran der Geist Auslese u. Gebundenheit üben könnte. Wo zu wenig vorhanden, ist eine durchempfundene u. durchgearbeitete Ordnung ebenso überflüssig, als selbstverständlich.

Eben daher kommt es, daß der Durchschnittsmensch als solcher, <sup>der</sup> ja die Geistesarmut geradezu verkörpert, den Wert u. Segen der Gebundenheit weder ahnt noch kennt. Sich selbst ins Chaos des Lebens verlierend u. schwimmend als Atom unter Atomen, unfähig zu sehen, wie die Natur unendliche Manigfaltigkeit treibt um ihr eine ebenso unendliche Gebundenheit gegenüber zu stellen; noch weniger fähig, als Weltorgan zu dienen, das durch gottähnliche Schöpferkraft der Welt zu neuen Kombinationen vereint, wird er auch in der Kunst am meisten wieder an- {185} gezogen durch <sup>das-Chaos</sup> Bilder des Chaos, nur weil diese, u. nicht die Gebundenheit, ihm Reichtum zu bedeuten scheint. Wie jedes Lebewesen nun einmal zentripetal denkend u. empfindend u. unvernünftig des so schwierigen Geschäftes, das Chaos mit Gebundenheit zu meistern, gefällt er sich darin, just das Chaos den Reichtum zu nennen, worin er selbst lebt u. das er um sich herum sieht. Sein inneres Auge reicht nicht so weit, um hinter der Manigfaltigkeit der Natur auch deren Gebundenheit zu sehen, u. daher empfindet er, was ihm in die äußeren Augen fällt, eben nur den Vordergrund der Manigfaltigkeit. Mit dieser Empfindung, die ihm selbst so unendlich schmeichelt, stellt er sich nun aber auch vor die Kunst, wo er ebenso

die Gebundenheit verkennt, u. jederzeit zu Gunsten schlechter Ungebundenheit zu unter- {186} schätzen bereit ist.—

[V.] Allgemeines über die Form (§§ 18–21)

§ 18. Ich sagte schon, daß die Entstehung sämtlicher Formen den genialen Instinkten der großen Meister zu verdanken ist, die andererseits doch nie wieder auch unsere eigenen Instinkte dadurch zum Ausdruck gebracht hat.

Man braucht nur, um zu einer klaren Erkenntnis hier zu gelangen, sich zu vergegenwärtigen, daß die Epoche, in der unsere großen Meister gelebt haben, noch gar nicht jene Lehren kannte, die ja erst später aus ihren Werken deduziert werden konnten; daraus folgt, daß sich einem Em. Bach das innere Wesen der Sonatenform offenbar auf einem anderen Wege, als dem eines Lehrbuches, oder sonstiger mündlicher Anregung erschlossen u. was konnte es denn anderes gewesen sein in diesem {187} Falle, als jene divinatorische Gabe, die den Künstler befähigt im voraus die Wirkung zu wissen, die er selbst erst neu zeugt. Wir haben also die Pflicht, die auf dem Wege solcher divinatorischen Gabe entstandenen Formen als Form—Axiome zu betrachten, die keinerlei Wandel mehr unterworfen sein können. Kommen doch dann Gesetze zum Ausdruck (z.B. Wiederholung, Tonartenwechsel, u. Rückkehr zur Haupttonart) die die Musik ebenso ewig beherrschen werden, als das Gesetze der Lehren das Weltall durchdringt.

Freilich erblicken Künstler u. Laien, die die Spontaneität einer Formgeburt aus genialem Instinkt ebenso schwer wie den letzteren selbst begreifen können, in der Form zugleich auch ein fertiges, wie sie meinen objektiv dastehendes Schema, jederman zu seiner eigenen Verfügung. Ja,



ein solches Nicht-begreifen jener höchsten Instinkte, hat so manchen {188} Künstler sogar so weit getrieben, in jeglicher musikalischen Form nur einen Irrtum, eine Willkür u. Lüge zu sehen u. daraus einen Vorwurf der Kunst selbst zu machen, daß sie angeblich in Folge ihrer Künstlichkeit eine solche Umzüchtung einer Lüge zur Wahrheit gestatte. In einem solchen Falle ist es nur gerecht, den Vorwurf mangelhafter Instinkte zu den ewigen Gesetzen der Musik an den Künstler selbst zurückzuschleudern u. sei der Künstler auch einer, wie z.B. Richard Wagner, der von einem Irrtum auch bei den Beethovenschen Formen spricht.

§ 19. Wem obiges nicht schon Beweises genug ist dafür, daß die von den großen Meistern uns geschenkten Formen ebenso Kunst—, als in einem anderen Sinne auch Naturprodukt ist, mit all' den inneren Notwendigkeiten eines solchen, dem gebe ich zu bedenken, daß nicht nur die Sonaten z.B. erst eines Beethoven, sondern auch die z.B. eines Haydn von Werk zu Werk ebenso verschieden sind, {189} als in der Natur eine Blume von der anderen. Freilich sind es dieselben grundlegenden Gesetze der Musik, die sich in sämtlichen Sonaten manifestieren, aber darum allein ist es doch nicht gestattet, die Identität u. Unwandelbarkeit der Gesetze mit der Unwandelbarkeit der einzelnen Kunstwerke selbst zu verwechseln. Was wir vielfach von sämtlichen Sonaten unserer Meister abziehen, ist ja nur der Anblick der Gesetze der Zusammensetzung der Modulation, einer Durchführung, Reprise[,] usf., um die sich aber eine wahrhaft produktive Kraft in einem gewissen Sinne ebenso wenig kümmert, wie die ewig schaffende Natur um Linnes Einteilung der Pflanzen, denn wiederum schaffen ein Mendelssohn u. Brahms die Formen ihrer Kammermusikwerke weniger in Befolgung eines eigens zu diesem Zwecke von den Musikwerken abstrahierten Schemas, sondern als aus tiefster Erkenntnis u. Empfindung jener Notwendigkeit, wie sie den ersten Instinkten eines Emanuel Bach, {190}

Haydn, Mozart[,] usw. sich offenbart haben. Man kann daher auch bei Mendelssohn u. Brahms von einer originalen Neuerfindung der Form sprechen, die besonders zu Recht besteht, wie z.B. auf dem Gebiete der Wissenschaft Entdeckungen gleichzeitig oder nach einander unabhängig gemacht werden können.

Nur das Genie alleine hat Zutritt zu den letzten Geheimnissen der Formnotwendigkeit, den Talenten <sup>aber</sup> ist es nur möglich Trugbilder jener ewigen Formnaturen zu glauben, die sie im Widerspruch zur Wahrheit sich selbst schaffen, um in ihnen auch zugrund zu gehen. Oder anders: War die Form bei großen Genies die spontane Verkörperung transcendenten Gesetze, so sinkt sie bei den Talenten bloß zu einer Denkform herab, die sie bald dazu benützen, um sich über das naturgeborene Kunstwerk der Genies Rechenschaft zu legen, bald aber auch dazu um leider auch selbst Kunstwerke mit ihrer Hilfe zu verfertigen. Die Kluft aber zwischen den Formen dort ~~wie~~ und hier ist eine ewig unüber- **{191}** brückbare. Ewig wahr, kunst—wie naturwahr bleiben die Sonaten eines Haydn, verlogene Trugbilder aber nur Sonaten der . . .

§ 20. Die Formen sind u. bleiben unabänderlich. Man muss Dank wissen den Genies, daß sie sie einmal aus ihrer u. unserer Seele geschöpft u. der Welt zu ewigen Gesetzen einverleibt haben. An die Ewigkeit u. Unabänderlichkeit der Formen zu glauben u. noch mehr, von ihr überzeugt zu sein, offenbart eine höhere Gesinnung u. tieferen Einblick als mit der Wandelbarkeit des Alltags, auch eine solche der Formen auszunehmen. Fällt doch dem Menschen schwer zu verstehen, wie selbst die Natur sich in ihrem unendlichen Reiche bloß mit den Formen des Kreises, der Parabel u. Ellipse behilft, ohne deshalb die Fähigkeit einzubüßen, Manigfaltigkeit aus Manigfaltigkeit immer wieder neu zu zeugen. Ebenso wenig aber darf es dem armseligen Erdenmenschen ein Einschränkung, wie er in seiner Kleinlichkeit befürchtet, bedeuten, wenn

{192} sich die Kunst mit denselben Gesetzen u. denselben Formen behilft u. ausdrückt. Auch hierin ist, wie ich schon zeigte, der Unterschied vom Genie u. Talent zu erkennen[,] ohne weiteres schreibt ein Brahms seine Konzerte, wie sie ein Mozart u. ein Beethoven vor ihm geschrieben haben; er konnte sie ja auch anders nicht schreiben. Nur aber ein bescheidenes Talent, z.B. Liszt glaubte nicht an die Stabilität des Konzertformgesetzes u. drängt der Form, bloß weil ~~ihm~~ eine höhere Macht ihn vor dem Irrtum nicht bewahrt, in seinem Konzert eine Lüge auf.

So muss die gewiss doch auffallende Erscheinung gedeutet werden, daß nach Beethoven die stärkeren musikalischen Talente wie Schubert, Schumann, Mendelssohn u. Brahms auf die Seite Haydns, Mozarts, Beethovens sich stellten, während die schwächeren Talente wie Berlioz und Liszt neue Wege zu gehen u. auch gehen zu müssen glaubten, inzwischen aber doch nur schlechtere Musik machten.

Es folgt daraus aber auch dieses, daß bei Unabän- {193} derlichkeit die Formen nicht auch schon die Individualität des Genies aufgehoben wird. So wird ein Brahms'sches Werk niemals mit einem Beethoven'schen verwechselt werden, auch wenn bei beiden Meistern dieselbe Notwendigkeit befolgt wird.

Mit der Unabänderlichkeit der Form ist zugleich auch die Unabänderlichkeit ihres inneren Charakters gegeben. Jede Form bleibt immer das, was sie bei ihrer Entstehung offenbarte.

In diesem Sinne mag von einem jugendlichen Charakter bei der Fugenform oder Suite gesprochen werden, welche ihre Jugendlichkeit ewig bewahren wird, mögen Jahrhunderte noch über sie hinweggehen, wie Jahrhunderte schon über sie dahingegangen sind; denn was bedeutet die Fugenform anderes, als jene Form, in der das Gesetz der Wiederholung ohne Combination mit dem Gesetz des Gegensatzes allein Breite u. Tiefe sucht. Bei Fortwirken nur des einen

Gesetzes ist die Länge von vornherein beschränkter, zumal wie in jedem Kunstwerk, so auch bei ihr Auslese u. Gebundenheit beobachtet werden müssen. {194} Es steht dem Künstler demnach frei, von dieser jugendlichen Form, die von der Dynamik der Sonatenform so verschieden ist, nach Belieben auch noch heute Gebrauch zu machen, nur wisse er, daß niemals die Fuge etwas anderes werden könne u. solle, als was sie schon vor Jahrhunderten gewesen.

Der Fugenform aber gegenüber von Alter zu sprechen, von „Furchen des Alters“, wie man es zuweilen zu lesen bekommt, ist dasselbe, als würde man angesichts des Portraits eines Kindes aus dem 17. Jahrhundert von einem allen Menschen sprechen, bloß wegen des 17. Jahrhunderts. Und wie die Fugenform, ebenso bewahren denselben Charakter für immer auch die anderen Formen. Ewig werden die 4-teiligen Formen, die Rondos u. die Sonaten den ihnen zukommenden (u. später auch näher auszuführenden) Charakter behalten.

§ 21. Der innere Charakter der jeweiligen Form beruht so stark auf seiner inneren Wahrheit, daß nicht jeder Inhalt in eine beliebige Form gezwängt werden kann. Wer könnte {195} z.B. in einer 4-teiligen Form Gedanken ausdrücken, wie sie z.B. Chopin in seinen Balladen bringt? Wehe dem, der es träfe, denn er hätte gelogen.

Die innere Wahrhaftigkeit der Form entlarvt sogar die Unwahrhaftigkeit eines Genies wie Chopin, wenn er seine Gedankenwelt in eine Ordnung fügen will, die jener von Haus aus widerstrebt. Unvergleichlich in der Haltung kleinerer Kunstgebilde, versinkt er, vielleicht aus physischer in eine künstlerische Ohnmacht, dem breiteren Inhalt in der Form seine eigene Wahrheit zu gewinnen.

Wie alle letzte Natur, so ist auch die letzte Natur eines Formcharakters unergründlich tief u. nur den stärksten Geistern zugänglich; man vergleiche mit den Rhapsodien von Brahms

Opus . . . die Balladen von Chopin: wie beinahe haltlos bei so vieler unvergleichlicher Schönheit u. Originalität sind die letzteren gegenüber jenen u. zw. Nur deshalb, weil besser als Chopin seine Form, Brahms die seine verstanden, wobei es ganz {196} irrelevant ist, daß die Form bei beiden nicht dieselbe.

[VI.] Allgemeine Anblicke der Formen unserer Meister (§§ 22–23)

§ 22. Der Umstand, daß die Meister die Kunst ihrer Formen aus den Instinkten heraufgeholt haben, bringt für die Erscheinungen der Formen nach außen Vorteile, wie die dem inneren Charakter zukommen.

Es ist seltsam zu sehen, wie sich alle Welt in einem falschen Vorurteil wider die klassischen Formen bewegt. Man substituiert nämlich ihnen jene Schemenrugbilder, die man, wie ich oben zeigte, aus Ohnmacht gegenüber der Wahrheit, sich selbst zu bescheidenen Behelfen entworfen hat. Man identifiziert eine Beethoven'sche Sonate u. eine Brahms'sche u. obendrein jede mit dem unwahren Schema u. zieht, statt von der lebendigen Natur jener Werke, die Eindrücke bloß vom Schema ab. So kam man dazu, bei den klassischen Formen von einer „Glätte“, von einem Gleichgewicht zu sprechen, u. zog daraus <sup>Schlüsse</sup> schließlich gegen diese u. zugleich für die Notwendig- {197} keit eines darüber hinausgehenden Fortschrittes, welch' letztere Schlüsse, wie ich schon oben zeigte, ebenfalls in der mittelmäßigen Natur der Durchschnittstalente u. Menschen ihre Ursache haben. In Wahrheit aber ist es von ~~der~~ <sup>einer</sup> Glätte bei der klassischen Form zu sprechen ebenso absurd, als es absurd wäre, von der Glätte eines beliebigen anderen Naturerzeugnisses, z.B. einer Blume, eines Thieres usw. zu sprechen. Wo eine wahre

Notwendigkeit innerer Gesetze, also auch der psychologisch so naturgemäß fundierten Kunstgesetze herrscht, ist genau soviel Inhalt gegeben, als es die Notwendigkeit braucht u. genau soviel Form als der Inhalt braucht. Keine überflüssige Zutat drängt sich in die Glieder des Baues um gleichsam dem Körper Fell u. Rundung zu geben. Natur—nackt mit allen Notwendigkeiten schon des ersten Gedankensamens ruht das Genie vor uns, so gut ein Wunder, wie das einer Blume. Viel eher daher spreche man bei klassischen Werken von ihren [*illegible: flimmende?*] Formen wie sie dem durch {198} geheimnisvolle Inspiration aus den gewaltigen Instinkten hervorbrechenden impressionistischen Inhalt einzig u. allein entsprechen. Es ist dieses einzusehen gerade heute umso notwendiger, als in Folge des oben dargestellten Misverhältnisses bezüglich die wahren Form u. deren Schemas, die Sehnsucht nach frei-flimmernden Formen lebendig wurde, die endlich uns von den angeblich nur schematischen Erzeugnissen unserer Meister erlösen sollten, der Kunst u. uns selbst zum Heile. Wahrhaftig die Sehnsucht, die überall laut wird, ist ja schon längst erfüllt u. eben nur durch die Werke unserer Meister; nur weiß eben die Welt davon gar nichts u. kommt daher—wie edel waltet doch die Nemesis über dem undankbaren Menschengeschlecht—in die groteske Lage z.B. ein schlechtes Werk von Reger für flimmernder als eine Beethoven'sche Sonate zu halten, während es in Wirklichkeit nur eben schlecht ist.—

Mit aller Macht der Instinkte vermochten unsere großen Meister ihren Werken Manigfaltigkeit u. Gebundenheit mitzugeben u. selbst {199} als nach der monotematischen Epoche, mit deren Erzeugnissen die Gebundenheit im gewissen Sinne schon von selbst verknüpft war, die polytematische gekommen, die in ihren Werken Gebundenheit ungleich schwieriger machte, gelang es dennoch den Meistern, auch diese Schwierigkeit zu überwinden u. in ihren Sonaten u. Symphonien eine Gebundenheit größten Stils zu erzeugen, wie sie von den spätern

Geschlechtern kaum erst wahrgenommen, in der heutigen Kunstpraxis aber nicht wieder anzutreffen ist.

§ 23. Es ist müßig, darüber zu streiten, ob die Gebundenheit der Form mehr dem Kunstverstande als der Inspiration zuzuschreiben sei, u. zwar ist es darum müßig, weil es irrig ist, die beiden Begriffe, die ja wieder nur Denkformen der reflektierenden Menschen sind, beim wahren Künstler getrennt anzuwenden. Alle Verwirrung in Auffassung u. Ausdruck kommt daher, daß für die auf das Kunstwerk gerichtete schöpferische Tätigkeit des Künstlers in der Bereicherung, Kunstverstand, eben das Wort Verstand zu Hilfe genommen wurde. Man begeht **{200}** den Fehler, dieses ominöse Wort des Alltags im Sinne des Alltags auch noch dort zu deuten, wo es sich um die Kunst handelt. Man übersieht, daß der Verstand als geistige Funktion ja auch je nach dem Gegenstande modifiziert wird, dem er sich zuwendet; so <sup>ist</sup> z.B. der auf Gelderwerb gerichtete Verstand bei aller Unteilbarkeit der geistigen Funktion doch wieder ein anderer Verstand, als der auf die Kunstschöpfung gerichtete. Besser wäre es freilich, wenn man zur Vermeidung von Irrtümern für Kunstverstand ein anderes, neues Wort schaffen u. anwenden könnte; indessen mag, so lange es eben nicht der Fall ist, es trotzdem notwendig sein, sich stets vor Augen zu halten, daß auch der Kunstverstand beim großen Künstler von wirklicher Inspiration getragen wird. Nur damit allein erklärt es sich, daß ein Bach, ein Beethoven eine so unerhört tief sinnige Kunst der Zusammenhänge der thematischen Durcharbeitung offenbaren, das will sagen: Nicht allein Arbeit ist es bei ihnen, die solche Schätze zutage gefördert hat, sondern immer wieder die Begeisterung. **{201}** Wäre es nur der Verstand im gemeinen Sinne des Wortes gewesen, so wären sie wohl niemals dorthin gelangt, während es andererseits auch anderen, minder begabten Komponisten möglich wäre, solche Zusammenhänge zu creieren. Im letzten

Grunde also ist es immer nur die Begeisterung, die im Künstler wirkt, selbst auch dann, wenn er feilend, kürzend oder verlängernd seinem Werk die letzte Form zu geben sich bestrebt. In diesem Sinne wird, wenn vom Unterschied eines Schumann oder Schubert gegenüber Brahms gesprochen werden soll, die stärkere Inspiration beim letzteren angenommen werden müssen, da sie in seinen Werken zu vollendeteren Formen geführt hat.

Von Arbeit im gewöhnlichen Sinne des Wortes kann man daher weniger bei den Genies selbst, als bei den Talenten sprechen, die auch die Kunst der Zusammenhänge vom Standpunkt eines Trugbildes, wie die Schemen der Form selbst, sehen. Bei den Genies ist eben alle Tätigkeit tief, wie die Natur selbst, während bei den Talenten alle Mechanik obenauf liegt, sofort her-  
{202} stellen, sofort erinnerbar.—

#### [VII.] Nutzen der Form (§ 24)

§ 24. Wie sehr die Form selbst notwendiges Produkt des Inhaltes ist, habe ich oben bereits gezeigt; desgleichen habe ich bereits dargestellt, welchen Einfluß die Form auf die Themenbildung nimmt. In diesem Sinne stellt die Form ein organisch notwendiges Correlat des Inhaltes u. im Grunde diesen selbst, nur von einer anderen Seite gesehen, denn nichts enthält die Form, was nicht zugleich Inhalt wäre, wie denn auch umgekehrt nichts der Inhalt enthält, was nicht zugleich die Form ausmachen würde.

Doch über solchen organischen Zusammenhang hinaus besitzt die Form in einem bis heute wohl noch unbeachteten Sinne einen besonderen produktiven Wert. Der Trieb zur



Synthese, das ist zur Form, nötigt den Künstler zu Erfindungen, die er außerhalb des Zwanges einer Synthese sich gar nicht einfallen lassen könnte.

APPENDIX 3  
ON MUSICAL CAUSALITY

§ A3.1. INTRODUCTION

Schenker intended for “Von der musikalischen Kausalität—Rückblick u. Epilog,” found in this appendix, to conclude an early draft of *Kontrapunkt*, book II. As Hedi Siegel (1999) has shown, initial plans for book II contained three sections that ultimately were not included in the version published in 1922. These sections discuss free composition (“Freier Satz”), the voice leading of thoroughbass (“Von der Stimmführung des Generalbasses”), and musical causality (“Von der musikalischen Kausalität”).<sup>1</sup> The “Kausalität” section, transcribed here by William Rothstein and edited based on the guidelines in § A1.1, appears in the hand of Jeanette Kornfeld (see example A3.1.1), whom Schenker endearingly refers to as “Lie-Liechen.”<sup>2</sup> At the end of the document, we learn that it was completed on Jeanette’s forty-third birthday: August 31, 1917.<sup>3</sup>

“Kausalität” addresses many of the themes found throughout Schenker’s writings, both early and late. These themes include music’s fundamental laws (*Urgesetzen*) and their ability to explain an infinite variety of phenomena, the relationship between Nature and Art, the corrupting

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<sup>1</sup> See Siegel (1999, 13, fig. 1). A handwritten draft of “Von der Stimmführung des Generalbasses” is located in the Felix Salzer Papers (SP 52/1–8), while a typescript of this document made by Ernst Oster is located in file 6 of the Oster Collection. After substantial revisions and the further development of Schenker’s ideas, “Freier Satz” eventually became what is better known as *Der freie Satz* (1935); see Kosovsky (1990, 370–81).

<sup>2</sup> “Kausalität” is written in ink pen, although it appears that various emendations have been added in pencil in Schenker’s handwriting. These additions include the underlining of many key words throughout the text.

<sup>3</sup> Heinrich and Jeanette would later marry in November of 1919.

influence of program music and music drama in the nineteenth century, and the inadequacy of previous textbooks on form, which are allegedly ignorant of musical synthesis and causality. Perhaps Schenker's focus on causality was an attempt to solve a problem first identified in the "Geist" essay (Schenker [1895] 2007, 328–29)—namely, for any musical content to be truly organic, it must be animated by some causal mechanism, as described at the end of chapter 1 (see § 1.4). Throughout "Kausalität" it also becomes clear that, at least for Schenker, musical synthesis and causality are deeply connected to his religious sensibilities. Near the end of the document, he describes music as a primordial gift from God (*ein Urgeschenk von Gott*); and in an earlier passage, he describes how, for those few geniuses, the primordial laws of music are worshiped as if they were religious commandments (*Die Urgesetze aber verehere man wie gleichsam Religionsgebote*).<sup>4</sup>

In contrast to program music and music drama, which rely on external sources for their coherence, Schenker locates causality in what might be described as the purely musical worlds of counterpoint and harmony. Musical causality manifests through the dynamic interaction of consonance and dissonance. In the horizontal dimension, causality manifests through a melodically fluent line (*die Kausalität der fliessenden Linie*), especially the forward motion created by the resolution of dissonant passing tones of all kinds (metrically accented or unaccented). And in the vertical dimension, causality manifests through the *Stufe*, which serves as the basis for composing-out (*die Kausalität der Auskomponierung*). Schenker describes how causal forces also manifest through mixture (*Mischung*), modulation (*Modulation*), chromatic semitones (*Chroma*), thematic design (*die Kausalität der Thematik*), and even form (*die Form als kausaler Motor!*). Yet, despite such

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<sup>4</sup> Schenker's identification of musical causality with his monotheistic religious beliefs was described in chapter 4 (see § 4.3).

diverse phenomena, we are reminded that “Music knows only a few laws—Ur-mothers—from which everything comes. . . . the infinite sum of the cosmos.”<sup>5</sup>

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<sup>5</sup> “Die Musik kennt nur wenige Gesetze—Urmütter—aus denen alles kommt. . . . die unendliche Summe des Kosmos.”

**EXAMPLE A3.1.1** The beginning of “Von der musikalischen Kausalität—Rückblick u. Epilog,” by Heinrich Schenker (OC 51/1378; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

Von der musikalischen Kausalität — Rückblick  
u. Epilog

Man ist der Wirklichkeit gewisser die  
Länge der ganzen hier gesehen Arbeit zu  
sehen. Die könnte dieses aber nicht ohne ge-  
sehen, ab wenn man im Zusammenhang  
mit sich in der Kausalität der letzten  
inmensität die hier an ihm vorübergehen  
sind. In der Kausalität hat man sich einen  
Takt, einen Taktus vorstellen die den Ton  
ab gleichsam im Takt der Takt der Takt  
Takt der Taktus aber auch Taktus Taktus  
am wie man sie analog immer Sprache zu  
sehen s. T. 153. Von der wirklichen Kausalität  
in das Taktensystem immer wieder man  
sich in der Kausalität kann die Kausalität  
das ich wenn Taktus erhalten sein. wieder  
sehen wenn es ich erkennen man eben  
gibt, sondern aneinander ist. Taktus ist  
man im Takt der Takt der Takt der Takt  
einzelnen Taktus die schon eben man  
tunlichen Gedächtnis, d. i. musikalischen  
Takt, schon erkannt, so kommt es in  
diesem Takt der Takt der Takt der Takt  
alle diese Taktus noch einmal in die Takt.  
stellung zurückzuführen. In dem wir die  
Kausalität als das allererste Prinzip der  
Kausalität erkannt, T. 153-155, fanden wir  
dabei wieder eine Kausalität unter dem  
Takt. Die Kausalität der Taktus vom Takt  
besteht in dem Taktus im Takt der Takt  
Taktus, das ist das Taktus s. Takt der  
Taktus in dem Takt der Takt der Takt  
man man, welche Taktus diesem Taktus  
man man ist, so ist eben diese Taktus  
Taktus als dasjenige, das anerkannt wird  
oder Taktus man. Die Taktus dieser Taktus  
schreibt dann im Takt der Taktus  
den man, im Takt der Taktus oder Taktus  
hier zu Taktus, aber etwas hervorzuheben

§ A3.2. “VON DER MUSIKALISCHEN KAUSALITÄT—RÜCKBLICK U. EPILOG,” BY HEINRICH SCHENKER (OC 51/1378–91)

{1378} Nun ist der Augenblick gekommen, die Summe der ganzen hier getanen Arbeit zu ziehen. Wie könnte dieses aber fruchtbarer geschehen, als wenn wir uns vergegenwärtigen, wie viel ureigener Kausalität den Gesetzen innewohnt, die hier an uns vorübergezogen sind. Unter Kausalität hat man sich einen Trieb, einen Zwang vorzustellen, der den Ton als gleichsam ein lebendes, logisch denkendes Wesen legitimiert, also logische Motore sozusagen, wie wir sie analog unserer Sprache zu geben, s. II<sup>1</sup>, S. 376.<sup>6</sup> Nur die vertiefte Einsicht in das Vorhandensein einer solchen rein musikalischen Kausalität kann der Musik das ihr eigene Wesen erhalten bezw. wiedergeben, wenn es ihr zeitweise wie eben jetzt, verloren gegangen ist.

Habe ich <sup>[illegible]</sup> zwar im Verlaufe der Darstellung bei den einzelnen Gesetzen der ihnen eben eigentümlichen Bedeutung, d.i. motorischen Kraft, schon gedacht, so geziemt es in diesem Augenblick in gedrängter Fassung alle diese Kräfte noch einmal in die Vorstellung zurückzurufen. Indem wir die Konsonanz als das allererste Prinzip der Klänge erkannten, S. 153–155,<sup>7</sup> fanden wir darin zugleich eine Kausalität ersten Ranges. Die konsonante Beziehung zweier Töne begründet zwischen ihnen ein logisches Verhältnis, das unzweifelhaft <sup>[illegible]</sup> auf das Kommen u. Gehen der Töne Einfluß gewinnt <sup>[illegible]</sup>. Denn weiß man, welche Wirkung diesem Verhältnis eigen ist, so ist eben diese Wirkung oft dasjenige, das angestrebt wird oder <sup>[illegible]</sup> werden muß. Die Idee dieser

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<sup>6</sup> [The designation “II<sup>1</sup>” refers to the first book of *Kontrapunkt* (Schenker 1910, 376). In the first edition, p. 376ff. corresponds to part 2, chapter 4, § 12. This section discusses dissonant suspensions (*dissonanten Synkopen*), which Schenker relates to ideas regarding musical causality and logic. For an English translation of this passage, see Schenker ([1910] 1987, 290–91).]

<sup>7</sup> [These pages correspond to part 2, chapter 1, § 2 of *Kontrapunkt*, book I. For the corresponding pages in the English translation, see Schenker ([1910] 1987, 110–12).]

Wirkung schreitet dann im Kopfe des Komponierenden voran, um die Töne hier- oder dorthin zu lenken, also etwas hervorbringen, {1379} wozu auch der denkende Mensch sich immer bereit ~~findet~~ finden muß.

An diesem allerersten Prinzip gemessen bewährt sich die Dissonanz noch viel deutlicher als ein wahrer Motor; sucht sie aber auch wieder ~~der~~ <sup>[illegible]</sup> die Konsonanz u. so, gehend u. kommend, den Tonereignissen die Wege vorzeichnet, S. ?

Aber auch den Intervallen im einzelnen wohnt die lebendige Kraft inne, um derentwillen man sie ebenfalls als musikalisch-logische Motore ansprechen muß. Wir sehen, wie die Quint den Klang gleichsam <sup>als</sup> sperrend sich äußert; die Quart Zweifel erregt, blos weil sie eine zweite Quint <sup>[illegible]</sup> nicht sein kann, u. sonst andere Erscheinungen, die andere Wirkungen zeitigen; wie die Terz die Grundtonhaftigkeit des tieferen Intervalles nicht auszuschließen braucht, die bei der Sext zumindest in Zweifel kommt. Alle diese Wirkungen sind einmalig; nicht übertragbar u. sofern es <sup>[illegible]</sup> nur auf die Intervalle <sup>[illegible]</sup> ankommt, vermag ~~daher~~ niemals eine Quart auszudrücken, was eine Quint vermag, sowenig als die ~~Terz~~ Sext dasselbe, wie die Terz. So schweben auch diese Wirkungen in der Phantasie des Komponierenden voran; wohl ihm, wenn er ihre <sup>[illegible]</sup> Forderung versteht u. die <sup>[illegible]</sup> Kausalität sich so ausleben läßt, wie es in der <sup>[illegible]</sup> Erscheinung vorher bestimmt ist.

Die kausale Macht des Durchganges in horizontaler Richtung äußert sich schon durch den schwachen Takteil, auf dem er erscheint, wobei es zunächst gleichgiltig ist, ob <sup>[illegible]</sup> <sup>der</sup> <sup>D[urch]g[ang]</sup> konsonant oder dissonant ist. Schon ist <sup>[illegible]</sup> in die Differenzierung eines starken u. schwachen Takteils die Vorbedingung einer Kausalität gegeben, u. soll dann der starke Takteil als solcher zur Geltung kommen, so verlangt {1380} er von selbst—u. hierin wirkt er seine

Kausalität aus—die Folie eines schwachen Taktteiles. Zieht nun ein Ton nach gewissen Gesetzen des Sekundschnittes gerade den Weg des schwachen Taktteiles daher, so bezieht er schon vom Charakter des schwachen Taktteiles <sup>[illegible]</sup> sein bestes Stück Durchgangcharakter. Mit dem schwachen Taktteil erscheint er dann bestimmt <sup>[illegible]</sup> zur Ueberführung in den nächsten starken Taktteil, weshalb dem auch Vorsicht geboten ist, diesen kausalen Prozess nicht etwa dadurch zu trüben, daß man einen auf dem schwachen Taktteil im Zuge befindlichen Durchgang mit Dingen belaste, die eine Ueberführung zum starken illusorisch machen könnten (vgl. Einschnitt). Und ähnlich hat man auch alle andern Nuançen des Durchganges zu beurteilen, wie nicht minder auch die Durchgangs- bzw. Nebennoten- Antizipations- u. Wechselnoten-Harmonien. Diese alle wollen freilich zunächst ihre Durchgangskraft auswirken u. tun noch ein Uebriges, wenn sie diese durch eine Nebenwirkung in vertikaler Richtung verstärken, die <sup>[illegible]</sup> von dem Grad der Rationalität abhängt, in der sich die durchgehenden Elemente zusammenfinden. Haben sie den Typus einer bestimmten Harmonie angenommen, so wirkt <sup>aber</sup> auch dieser innerhalb des dominierenden Durchgangcharakters mit.

Im speziellen sei hier noch der Einzellerscheinungen des Durchganges gedacht, vor allem der Sept als Durchgang. Welche schärfere Wirkung, welche stärkere Kausalität strömt <sup>[illegible]</sup> <sup>der</sup> <sup>D[urch]g[ang]</sup> aus, wenn er <sup>als Sept</sup> in sich auch noch den Ausgangspunkt aufgesaugt, also auch noch die Ellisionswirkung in sich hat. Welche Konzentration bewirkt die Sept, wenn sie auf dem Punkt ihres Erscheinens uns dazu zwingt, ~~hier an dieser Stelle~~ <sup>[illegible]</sup>, mag der Klang wo immer stehen, ein Stark u. **{1381}** Schwach vorwegzudenken, sodann das Ueberspringen des starken u. das Einsammeln aller kausalen Kraft <sup>blos</sup> auf dem schwachen Taktteil, der aber, vom starken entblößt, infolge <sup>[illegible: verminderter?]</sup> Kausalität selbst einen starken vorstellt. <sup>[illegible]</sup>



Welche Wirkungen finden sich bei der Wechselnote zusammen! Gibt das Metrum rhythmische Knotenpunkte an, sofern wir mit diesem Ausdruck die starken Takteile bezeichnen wollen, so fügt die Wechselnote um ihrerseits <sup>[illegible]</sup> eine andere Kategorie Knotenpunkte hinzu, indem sie uns zwingt, ihren <sup>[illegible]</sup> konsonanten Ausgangspunkt auf dem schwachen Takteil ebenfalls als einen anzusehen. So werden zwei Takte energischer zusammengeschlossen, wie gleichsam durch einen doppelt geschlungenen Strick.

Und wäre es bei der Antizipation nur gleichsam um einen Fingerzug nach vorn zu tun, so darf auch diese kausale Kraft nicht unterschätzt werden.

Daß die Nebennote den Hauptton zurückzubringen gesonnen ist, wer vermöchte ihr das schon zum voraus anzusehen? Es genügt, daß sie uns mit sich auf ihren Weg fortreibt, <sup>[illegible]</sup> u. uns schon damit ein Kommendes andeutet. Führt sie uns aber endlich <sup>[illegible]</sup> zur demselben Ton <sup>[illegible]</sup> zurück, so ist es <sup>[illegible]</sup> inzwischen <sup>[illegible]</sup> wie das Erlebnis des Weges <sup>[illegible]</sup> reifer geworden u. der Ton, bei dem wir landen, ist nicht mehr derjenige, von dem wir ausgingen.

Der dissonante Durchgang spendet gar doppelte Kausalität: als Durchgang u. als Dissonanz.

In jeder Ueberbindung liegt auch wieder, wie bei der Wechselnote, eine Art Doppelstrom von Kausalität. In einem Bett strömt das Metrum dahin, u. im andern sucht die Ueberbindung ihr Bett. Und indem so beide Kräfte gegeneinander wirken, wirken sie zugleich auch füreinander.

Ist gar der Vorhalt {1382} dissonierend, so tritt hinzu die motorische Kraft der Dissonanz. Beim wirklichen Vorhalt schiebt sich eben der Vorhalt (wie jedes andere[s] Ornament, das auf Vorhaltswirkung beruht) vor, um die darauf folgende Hauptnote gleichsam zu bedecken.

Die Rückung wieder stellt gleichsam eine plötzlich von links daherspringende Kausalität vor, im unerwarteter kausaler Ruck, dessen motorische Kraft man freilich sehr bald zügeln muß.

Von elementarster Gewalt äußert sich in der horizontalern Richtung die Kausalität der fließenden Linie; sie ist es, die längst bei sich weiß <sup>[illegible]</sup>, was da kommen wird, die Knotenpunkte der Linie verteilt, <sup>[illegible]</sup> die kleinen kausalen Motore der Durchgänge u. Vorhätte zu Leben u. Wirkung aufruft. Zu ihr, von der alles kommt, gehen schließlich auch alle Wirkungen ein.

In der Welt der vertikalen Richtung regen sich wieder unzählige Kräfte, bestimmend, vorwärtsdrängend, zwingend u. unerbittlich einmalig. So erscheint uns vor allem die Stufe selbst als der letzte Urgrund, <sup>[illegible]</sup> die Kausalität der Auskomponierung. So wie sie durch ihren Begriff <sup>[illegible]</sup> die Synthese der Auskomponierung kausal verdolmetscht,  $\varnothing$  <sup>analog</sup> trägt in sich die Tonalität wieder die Kausalität der Stufengänge.

Wer gedächte nicht <sup>[illegible]</sup> im speziellen des unermüdlichen Motors der V. u. VII. Stufe, deren Eindeutigkeit in allen Lagen u. Nöten Klarheit schafft?

Aber auch in der Mischung hat man eine kausale Kraft zu achten, sofern sie immerhin auf der Voraussetzung zweier, wenn auch gleichnamiger u. zueinander gehöriger Diatonien beruht. Gehe ich <sup>[illegible]</sup> von der einen Diatonie <sup>[illegible]</sup> in die zweite ein, so harrt meiner sicher <sup>[illegible]</sup> noch ein Weg, der Weg der Rückkehr, **{1383}** wenn ich nicht <sup>anders</sup> durch die Ellision einer solchen (auf Grund der vorherbestimmten immanenten Idee der Mischung) den psychologischen Effekt <sup>blos</sup> einer Spannung <sup>[illegible]</sup> erzielen will.

Und so bedeutet in noch viel höherem Grade die Modulation eine Kausalität, bei der man sogar die Haupttonart verläßt. Hier ~~wieder~~ ist die Wiederherstellung derselben ein psychologisch vorgezeichneter Weg, was der Modulation ihre motorische Kraft verleiht.\*

Sogar jedes [*illegible*: Quentchen?] Chroma träufelt von der ihm verliehenen ewigen kausalen Kraft mehr oder weniger in das Ton-Geschehen: ob es nur <sup>etwa</sup> zum Schein [*illegible*] einen Ton <sup>blos</sup> auf stärkere Wirkung herausputzt, ob es Organ einer wirklich modulatorischen Kausalität, [*illegible*] am kleinsten wie am wichtigsten Punkt bewährt es sich [*illegible*] unter den kausalen Kräften.

Am geheimnisvollsten freilich äußert sich die Kausalität der Thematik; [*illegible*] diese allein ist eine Kraft, deren letzte Wurzel bis zur letzten Ursache aller Welt hinabreicht! Noch kann man alle übrigen kausalen Motore, wie sie das Leben der Töne kennt, sich durch treues Beobachten, fleißige Uebung aneignen, durch Nachahmung erwerben, aber wirklich schöpferisch u. [*illegible*] mit dem Schöpferischen verwoben erscheint [*illegible*] die Thematik, freilich nur diejenige, die ich meine! Wir stehen vor den Rätseln dieser von Gott kommenden Kraft ~~ebenso~~, wie vor den Rätseln des Schicksals. Wer könnte [*illegible*] ~~vor diesem~~ Ursache u. Wirkung vorausbestimmen, wer wüßte zu sagen, ob dieses [*illegible*] bestimmt sei, jenes [*illegible*] hervorzubringen oder wann dieser Ursache jene Wirkung folgen [*illegible*] würde? Ebenso unerforschlich sind [*illegible*] die Wege der Thematik. Plötzlich wird da etwas zur Ursache, {1384} u. schon stehen wir inmitten von Wirkungen, ohne daß wie auch nur wüßten, woher sie gekommen wären. Hier versagen vorausbestimmte Ideen, die der Mensch durchs Leben zu tragen berufen [*illegible*] ist. Am ehesten drückt sich darin das absolute Schaffen aus, dessen Ursache wohl auch der Schöpfer selbst nicht

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\* Wie traurig, daß Bruckner . . .

wüß. Aus dem Chaos wird ein Etwas, aber wie es würde ist nicht zu erfahren, jedenfalls wird die Brücke nicht von Ideen geschlagen.

Und zu alledem nun <sup>[illegible]</sup> noch die Form als kausaler Motor! Welch eine übergewaltige Summe von motorischen Kräften nun <sup>[illegible]</sup> hier in dieser <sup>[illegible]</sup> Welt. Was alles erzwingt der Gedanke, um das zu sein, was er sein will u. muß. Was fordert nicht alles die Beziehung zweier Gedanken, wenn sie diese u. keine andere sein will u. muß. Und so vom Kleinsten bis zum Weitesten wissen Formteilchen wie ~~die ganzen~~ Sätze Ansprüche zu erheben, die den Tönen zugleich Wegweiser sind. So manches davon wird in verschiedenen Lehrbüchern über die Form erzählt, aber leider wieder nur ungenügend, mit völliger Außerachtlassung <sup>der</sup> geheimsten kausalen Kräfte. Nach Möglichkeit gedenke ich <sup>[illegible]</sup> dieses Versäumnis der anderen nachzuholen. Hier gestatte man mir aber zum Voraus, etwas von den Wundern kausaler Kräfte zu verraten, daran bis heute noch niemand gedacht hat. (Umstellung: Chopin, Berceuse, Cismoll; Brahms: Bdur-Variationen; Schubert: Quintett usw.)

[illegible: a line of text written in pencil is inserted here]

Einer solchen Welt vermeinte man u. vermeint man heute mehr denn je Logik u. Kausalität abzusprechen! <sup>[illegible]</sup> Man kennt eben die Gesetze der Musik noch immer nicht. Und von so verschiedenen Seiten drängen sich Mißverständnisse an sie heran, daß man nicht genug tun **{1385}** kann in der Klarstellung des Wesens jener Gesetze. So nehme denn der Leser zum Beschluß einige Bemerkungen willig hin, mit denen zunächst fürs erste Licht gemacht werden soll.

Wie jede Synthese ist auch die musikalische Synthese <sup>also</sup> Zusammenfügung von Tönen zum Zwecke einer grösseren Einheit, Gesichtspunkt bloß der Kunst u. nicht der Natur. Natur u.

Kunst sind aber, obgleich aus einer letzten Wurzel gemeinsam stammend, in ihrer Entfaltung dennoch verschieden. Man mache sich den Gegensatz etwa so klar: Weiß etwa der Löwe davon, daß er ein reißendes Tier ist? Er ist <sup>[illegible]</sup> eben so, wie er von Natur aus ist u. sein muß, er erfüllt seinen Zweck <sup>[illegible]</sup> auch im Reißen. Nur wir Menschen, die Ursache haben, ihn z.B. von einem Hunde zu unterscheiden, nennen ihn wild u. reißend u. schaffen dadurch einen Begriff, der nur uns aber nicht dem Löwen gehört. Denkt man diesem Prozesse weiter nach, so wird man finden, daß wir diesem Begriff schließlich auch nur deshalb aufgestellt haben, weil wir uns eines drohenden Schadens zu erwehren hatten. Ohne diese Ursache hätten wir jenen Begriff nicht geformt. Damit soll nun gezeigt werden, wie Natur u. <sup>[illegible]</sup> Begriff immer verschieden sind, zumal die Synthese <sup>[illegible]</sup> als etwas erscheint, deren Bedingungen nur wir selbst eigenmächtig feststellen.

Außerhalb einer musikalischen Synthese gibt es kein Tonleben, äußert sich kein Gesetz, keine kausale Kraft, so wenig man ein Robinson-Leben zum Maßstab der menschlichen Ordnung u. Gesellschaft, ihres Zusammenschlusses in Verbänden, Städten u. Staaten machen dürfte.<sup>8</sup> Es lassen sich nicht musikalische Gesetze beliebig neu **{1386}** creieren u. außerhalb einer Synthese demonstrieren, vielmehr müssen alle Aeüßerungen <sup>[illegible]</sup> der Gesellschaft der Töne <sup>[illegible]</sup> dienstbar werden können. Was nicht diesen hohen Zweck erfüllen kann, hat nicht nur keinen Wert, sondern besteht noch einfach gar nicht, daher <sup>[illegible]</sup> im strengsten Sinne des Wortes jegliches Beziehen anderer Kausalitäten als derjenigen, denen die Töne sonst aus eigenem zu gehorchen gewohnt sind, eine Fälschung des Tonlebens, ein Widerspruch gegen das allererste Erfordernis der musikalischen Synthese überhaupt ist. Darnach sind Programm-Musik u. Musikdrama zu werten:

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<sup>8</sup> [“Robinson-Leben” is a reference to Daniel Defoe’s novel *Robinson Crusoe*.]

Dort hat man gleichsam Tonmarionetten mit [*illegible*: Sprachbänden?] vor sich, aber nicht die Musik selbst; im Musikdrama, wegen vollständiger Ausschaltung der Kausalitäten der Synthese (insbesondere doch der Formen!) einen verhängnisvollen Widerspruch gegen die Musik.

Die Musik kennt nur wenige Gesetze—Urmütter—aus denen alles kommt. Was ~~sehen u.~~ [*illegible*] nacheinander ~~gebracht~~ [*illegible*] als ~~ein~~ Folge vieler Gesetze erscheinen könnte, ist genau betrachtet ~~die~~ [*illegible*] Entfaltung [*illegible*] nur ganz weniger Gesetze: Konsonanz [*illegible*], Dissonanz, Durchgang, Vorhalt—~~damit~~ ist alles, ja [*illegible*] schon zu viel gesagt. Wie erhebt sich von hier der Blick zum [*illegible*] Schöpfer [*illegible*], der um so viel mehr [*illegible*] Ur-Ideen im Vorrat hat, aus denen sich [*illegible*] ähnlich wie aus den wenigen musikalischen Urgesetzen, die unendliche Summe des Kosmos ergießt. Indem der Musiker das Geheimnis der wenigen Urgesetze sich zu Eigen macht, ist er vor allen Künstlern u. so auch vor allen Menschen in der glücklichen Lage, am besten das [*illegible*] Absolute zu begreifen. Das erkennende u. fühlende Genie verliert sich so, erkennend u. fühlend, in Gott. Könnte nur aber {1387} ähnlich sich das Nicht-Genie so im Genie verlieren u. durch diese u. mit diesem in Gott—denn nur bei solchem [*illegible*] ~~Eingehen~~ in die letzten Urgesetze bewahrt man bei aller [*illegible*] Kleinheit das Eigenschöpferische, indem man den Zusammenhang zwischen wenigen Gesetzen u. einer unendlichen Mannigfaltigkeit erkennt.

Die Urgesetze aber verehere man wie gleichsam Religionsgebote; sie zeigen Identität in Erscheinungen, die sonst als verschieden begriffen werden. Auf dieses Zurückführen aller Erscheinungen muß der Musiker am stärksten dringen. Von hier aus winkt ihm die Wohltat der Erkenntnis, daß es ja auch mit der menschlichen Sozietät besser stünde, wenn man sich nur in ~~Leben der~~ Moral u. Gesetzen zu einer ähnlichen Erkenntnis nur [*illegible*] weniger Urgesetze durchringen könnte, auf die dann die Einzelercheinungen zurückgeführt werden. Blatt! (Der

Urbegriff des Verbrechers; Blättchen vom 14.VIII.1916) Zugegeben sei aber, daß die Auswirkung der wenigen ethischen Gebote schwerer ist, als die der Ton-Urgesetze; denn woran sämtliche Religionen scheiterten u. bis aus Ende der Welt scheitern werden ist ja, daß gegen ~~den~~<sup>[illegible]</sup> Zweiten u. Dritten kein ethisches Gebot durchgesetzt werden kann, wenn dieser es nicht versteht oder nicht verstehen will. Wohingegen ein Tonleben, das nur dem Künstler selbst reine Entstehung verdankt, eben dieser, ohne Störung durch Zweite u. Dritte, die wenigen Urgesetze zum Triumphe wie <sup>[illegible]</sup> ein Schöpfer <sup>[illegible]</sup> führen kann. Umso frevelhafter u. verbrecherischer, wenn er dieses Glückes unkundig sich der <sup>[illegible]</sup> Gunst unwürdig erweist durch Unfleiß, Unachtsamkeit, Bedachtnahme auf widersprechende Interessen u.s.f. [*illegible: a note is written in pencil in the right margin*]

Der schöpferische Kopf ist es, der an {1388} die einzelnen Töne als Träger von Einzelinteressen das Austragen des Gesamtinteresses der Synthese verteilt. Wieder darf der Musiker einen Schluß davon auf die menschliche Sozietät ziehen, freilich einen Schluss, der betrübend ist. Blatt vom 11.I.17

Uns erfreut u. imponiert schon eine Maschine u. zwar nur wegen des Effektes ihrer mechanischen kausalen Bezüge—als wäre der Effekt die Seele der Maschine, als hätte der Mensch in der Maschine ein Lebewesen, <sup>gleichsam</sup> ein ~~[illegible]~~ Kind gezeugt, so freut er sich des Zusammenklanges der kausalen Kräfte. Warum weiß er aber so wenig noch von den kausalen Bezügen in der Kunst? Goethe: Propylaen, Einleitung, S. 4 Blatt! Δ Voraussicht.

Woher immer das letzte Geheimnis kommen mag, so ist doch der Mensch Träger desselben, u. so drücken die Urgesetze zugleich einen einfachen, reinen Menschheitsbesitz aus. Die Psychologie der Urgesetze ist so einfach wie die Einfachheit; sie scheint <sup>[illegible]</sup> ~~von~~ geringsten

Menschen zu <sup>[illegible: greifen?]</sup> kommen u. vermag sich <sup>diese</sup> an den geringsten <sup>[illegible]</sup> zu wenden. Sie gehören allen gemeinsam an, obgleich sie, schaffend oder nachschaffend, doch nur sehr wenige zum Ausdruck bringen können. Vielleicht wäre es möglich, die Menschen ihres eigensten Besitzes sich bewußt machen zu lassen, nur müßte man ihnen zuvor die Neigung austreiben, sich lieber zwanzig Regeln mit tausend u. abertausend Ausnahmen anweisen zu lassen, als selbst ein wenig über so wenige Urgesetze nachzudenken.

An allem Bösen ist die Unfähigkeit u. Trägheit Schuld u. sicher ist jene Ursache dieser. Doch für so unfähig halte ich die Menschen eben nicht, daß sie hinter die Urgesetze nicht <sup>[illegible]</sup> selbst kommen könnten. Sie scheinen nur das <sup>[illegible]</sup> Weitere, das Wiedererkennen **{1389}** der Urgesetze in der Mannigfaltigkeit. Die Welt der Erscheinungen, die auf sie einströmt, ist so gewaltig groß, daß sie, wie sie glauben, Eile haben müssen, auf diese oder jene Weise dem plötzlich sich darbietenden Problemen beizukommen. Sie glauben auf rechtem Wege zu sein, wenn sie annehmen, viele Erscheinungen auch mit vielen Regeln begreifen zu können u. ahnen nicht, daß gerade umgekehrt nur wenige Gesetze dazu genügen. Sie ahnen aber auch nicht, ~~daß~~ <sup>[illegible]</sup> sie über jeder Lösung stolpern. Zuliabe einer Regel, die sie anwenden zu müssen glauben, verwechseln sie die eine Situation mit der andern, nur damit sie die Regel anwenden können.

Blatt vom 26.VII.14 u. vom 10.X.1914 Zitate von Gluck u. Mozart.

Die da aber der Urgesetze nicht mächtig sind, sind verurteilt zu <sup>[illegible: leiden?]</sup> am Leben u. Denken, als stellten sie <sup>[illegible]</sup> sich selbst als irgend eine falsche quere Anwendung des biologischen Prinzipes dar. Ihrer harrt das Loos, sich stets davor zu fürchten, was wohlverstanden doch nur von Segen für die Menschheit u. Kunst sein muß. Da <sup>[illegible]</sup> sie nicht zu erkennen vermögen, wie sich an den Genies immer nur dieselben Urgesetze bewähren, die ein jedes freilich



nach seiner Art zum Ausdruck bringt, glauben sie in der Bewegung der genialen Temperamente auch eine Bewegung der Gesetze zu erkennen, so daß sie zu dem Schluß gelangen, der Stillstand sei die einzige Gefahr für die “Kunst.” Als ob nicht Gottes große weite Natur noch länger in denselben Gesetzen hängengeblieben wäre u. doch im Wechsel der Jahreszeiten wohl auch für die Menschen zur Genüge Wechselndes hervorbringt; als ob nicht dieselbe Natur bestimmt wäre, noch weiter {1390} nach denselben Gesetzen sich auszuleben, um doch Tag um Tag Neu u. wechselnd zu bringen. Wer selbst stille steht, möchte<sup>[illegible]</sup> alles um sich her in Bewegung<sup>[illegible]</sup> wissen,<sup>[illegible]</sup> aber derjenige, der<sup>[illegible]</sup> in Bewegung ist, weiß, daß er nicht stillsteht. Bei aller Identität der Urgesetze stand Brahms nicht still, da er nach Beethoven erschien; wohl aber stehen still alle diejenigen, die die Bewegung bei Brahms noch nicht zu erkennen vermögen, geschweige daß sie<sup>[illegible]</sup> erkennen<sup>[illegible]</sup>, wie diese Bewegung eine geniale Auswirkung ewiger Urgesetze ist.

Blatt vom 25.III.17 u. 7.IV.17.

Hat es aber mit den Urgesetzen solche Bewandnis, so wird man es wohl glauben, daß es in der Musik auch Schlechtgeschriebenes gibt, so wie man auch in der Sprache schlecht geschriebene Dokumente von gut geschriebenen zu unterscheiden weiß (wohl<sup>[illegible]</sup> doch schon von Schulaufsätzen her!)[.] Zitate aus der „N.Fr.Pr.“ sprachliche Entgleisungen.<sup>9</sup> Genau so verhält es sich in der Musik: auch hier schreiben die meisten Autoren<sup>[illegible]</sup> ~~[illegible]~~ schlechte Musik, bei der den Kenner sehr deutlich hören, wo ein Besseres versäumt wurde u. daher auch die Beweisführung sowohl gegen den Autor als alle diejenigen, die ihn verteidigen möchten, führen kann. Strauß—Reger—Gutes vom Schlechten zu unterscheiden ist aber ein hygienisches Prinzip sowohl in der Kunst wie im Leben. Man stirbt an schlechten Werken genau so wie an giftigen

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<sup>9</sup> [“N.Fr.Pr.” stands for *Neue Freie Presse*, a popular daily newspaper in Vienna.]

Pilzen; u. was noch weit verhängnisvoller: mit den an der Kunst sterbenden Menschen stirbt ja leider auch die Kunst mit! Mache sich doch der Mensch endlich der Gunst Gottes würdig.

Wahrlich, der Schönheitssinn ist ja keine rein menschliche {1391} Erfindung; er ist von [page torn: Gott in den Menschen?] eingepflanzt, wie doch sicher auch jeder anderen Türe u. wird durch den Anblick gefordert, den uns Natur, Landschaft, Menschen bieten mit allen ihren Reizen. Erst auf diesem Urgeschenk ruht die schöpferische Kraft im Menschen. Genau so ist es auch in die Musik: auch hier ist ein Urgeschenk von Gott gegeben, aber welche Gnade des Himmels, daß wie daraus eine Kunst wie die Musik entwickeln konnten u. durften. Der Mensch entwickelte das Material der Musik aus dem Urgeschenk u. hat daher alle Ursache, dasselbe in Ehren zu halten u. zu pflegen, damit es der Kunst nicht verlustig gehe. Nur im <sup>[illegible]</sup> Kunstwerk selbst ist mit diesem ersten u. einzigenmale auch das Material enthalten. Und schon der Dreiklang im Kunstwerk ist im Grunde etwas von dem Verschiedenes, was uns die Natur geboten. So lerne doch endlich der Mensch, schon um des Materiales willen, das nur er selbst erzeugen kann, die Gesetze kennen, die ihm dazu behilflich sein könnten, das Material u. die Kunst zu erhalten.

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Lie-Liechens Geburtstag

[August 31,] 1917

APPENDIX 4

A COMPENDIUM OF SCHENKER'S FORMS

EXAMPLE A4.1 Six full-movement forms

(A) In Schenker's handwriting (OC 83/255; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

*Auf Theilung u. Wiederholung.*

Formen:

1-teil. form:	$a_1 - a_2$	}
2-teil. form:	$a_1 - b_1 - a_2$	
3 " " :	$a_1 - b_1 - a_2 - b_2$	
4 " " :	$a_1 - b_1 - a_2 - c_1 - a_3$	
5 " " :	oder: $a_1 - b_1 - a_2 - c_1(+b_2) - a_3$	
6 " " :	$a_1 - b_1 - c_1(Df) a_2 - b_2 - c_2 (= a_1 - b_1 - a_2)$	

(B) Transcription (OC 83/255)

Auf Theilung u. Wiederholung.

Formen:

(1-tl. Form:	N.B.)	}
2-teil. Form:	$a_1 - a_2$	
3-teil. Form:	$a_1 - b - a_2$	
4-teil. Form:	$a_1 - b_1 - a_2 - b_2$	
5-teil. Form:	oder: $\begin{cases} a_1 - b_1 - a_2 - c_1 - a_3 \\ a_1 - b_1 - a_2 - c_1(+b_2) - a_3 \end{cases}$	
6-teil. Form:	$a_1 - b_1 - c_1 (Df) a_2 - b_2 - c_2 (= a_1 - b - a_2)$	

**EXAMPLE A4.2** Five types of two-part form

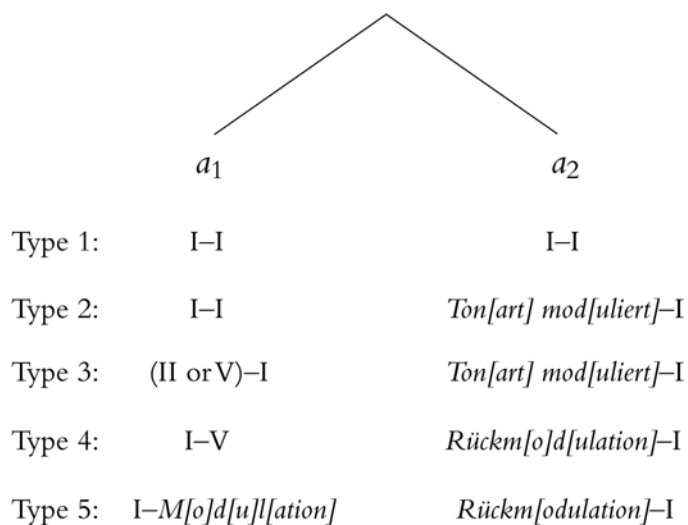
(A) In Schenker's handwriting, enlarged with transcription (OC 83/259; used courtesy of the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations)

daher:

z.B. [Type 1:] I-I  
 N.B. [Type 2:] I-I  
 [Type 3:] (II or V)-I  
 [Type 4:] I-V \* Rückm. -I  
 [Type 5:] I-Mdl.\* - Rückm. I  
 Mdl.\* - Rückm.

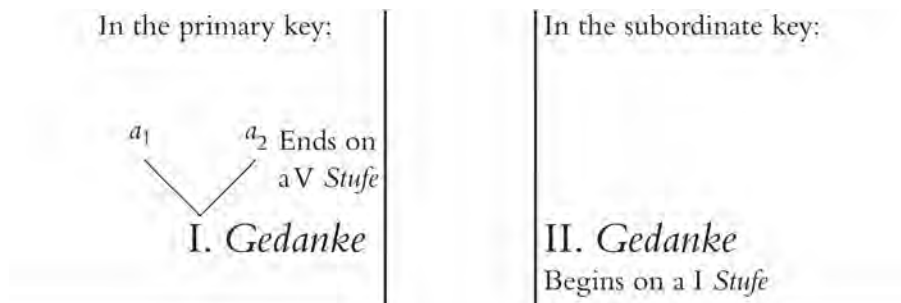
Beeth. Thema nach 109, 111  
 Beeth. Thema nach 109, 111  
 Handel B<sup>dur</sup> Thema  
 Beeth. Arioso  
 As<sup>III</sup> Ces<sup>d1</sup> - Rück. As<sup>III</sup>

(B) Partial transcription (OC 83/259)

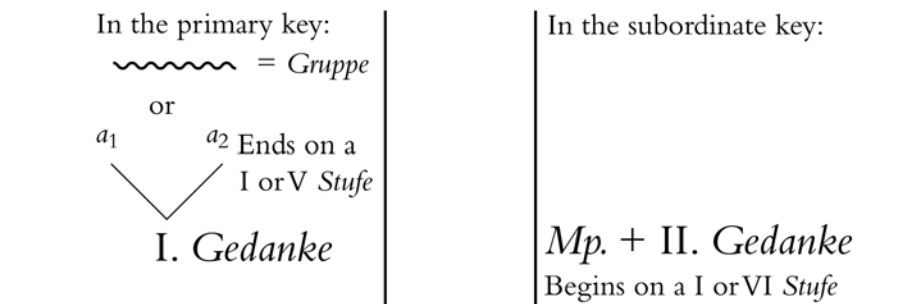


**EXAMPLE A4.3** Four types of sonata-form exposition arranged from the most sectional to the most continuous

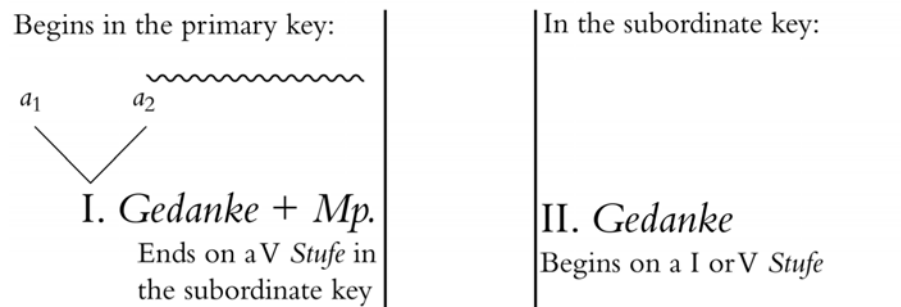
(A) Type-A exposition: *Modulationspartie* absent (OC 83/87)



(B) Type-B exposition: *Modulationspartie* fused with the II. *Gedanke* (OC 83/88 and 89)

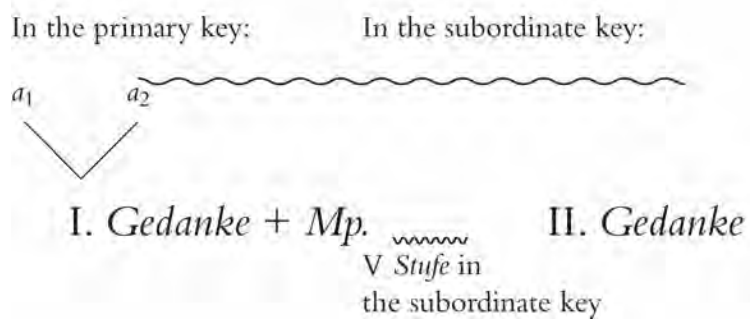


(C) Type-C exposition: The I. *Gedanke* fused with the *Modulationspartie* (OC 83/90)



**EXAMPLE A4.3 CONTINUED**

(D) Type-D exposition: The end of the I. *Gedanke* and the beginning of the II. *Gedanke* fused with the *Modulationspartie* (OC 83/91)



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