Schoenberg's "Phantasy" Form

Lisa A. Tipton

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SCHOENBERG’S “PHANTASY” FORM

by

LISA A. TIPTON

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

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LISA A. TIPTON

This manuscript has been read and accepted for the Graduate Faculty in Music to satisfy the dissertation Requirements for the degree of Doctor of Musical Arts.

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CITY UNIVERSITY OF NEW YORK
Abstract

Schoenberg’s “Phantasy” Form

by

Lisa A. Tipton

Advisor: Joseph Straus

Scholars have long debated the form of Schoenberg’s Phantasy for Violin and Piano accompaniment, Op. 47, his last instrumental work. The numerous accounts (by Rufer, Lewin, Lester, Hasty, Hyde, and others) have variously proposed a pseudo-sonata, a three-part, and a four-part form. This dissertation suggests that the piece is best thought of as a multi-layered four-part form, in which the thematic pattern ABB1A1 is found at every structural level, from the phrase up to the entire work. An intriguing compositional sketch found on the Schoenberg Center’s website inspired the exploration of a four-part form with elements of symmetry. Linear graphs and rectangular outlines of the form of the Phantasy illustrate Schoenberg’s concept of symmetry within the four-part design on every level.

My analysis suggests that Schoenberg creates the Phantasy with the principal hexachord [F, G, A, Bb, B, C#] sc 6-21 (023468) as the Grundgestalt and combines it with its combinatorially related inversion to construct the prime row, P10, with a micro “abba” design. Schoenberg composes four-part patterns on every level culminating in an overall ABB1A1 formal design with elements of symmetry that create unity. The micro and macro ABB1A1’s mirror each other to create a paradigm of the twelve-tone system. This dissertation explores Schoenberg’s Phantasy as his fantasy four-part symmetrical ABB1A1 design within a heroic form (albeit relatively short). This ABB1A1 design represents a formal paradigm of the structures inherent in
his twelve-tone system from the *Grundgestalt* through the overall form. Furthermore, this paper offers a rebuttal to Boulez’s “Schoenberg is Dead” proclamation.
I became fascinated with Arnold Schoenberg’s *Phantasy*, Op. 47, in preparation for a recital at the CUNY Grad Center in NY in 2013. Schoenberg wrote the *Phantasy*, Op 47, in March 1949, at the request of Adolph Koldofsky (1905-1951). Koldofsky, a British-born violinist spent most of his professional life in Canada and California. His family moved to Canada in 1912, but Adolph returned to Europe to study with Eugène Ysaÿe (1858-1931) and Otakar Ševčik (1858-1931). Koldofsky returned to Canada after his studies and played in the Toronto Symphony on and off from 1928-38, second violinist with the Hart House String Quartet from 1938-42, concertmaster for the Vancouver Symphony in 1944, and from 1945 earned a living as a member of the RKO studio orchestra in Los Angeles, California. Koldofsky, a longtime colleague of Rudolph Kolisch (Gertrude Schoenberg’s brother), became close friends with the Schoenbergs when he moved to California in 1945. This friendship lasted until Koldofsky’s untimely death in 1951.

Koldofsky played a crucial role in the revival of the Los Angeles chapter of the International Society for Contemporary Music (ISCM). The Koldofsky Trio played the West Coast premiere of Schoenberg’s String Trio, Op. 45, 1948. Schoenberg greatly admired Koldofsky’s performance. Subsequently, Koldofsky commissioned the *Phantasy*. Schoenberg completed the

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5 Ibid., 172.
violin part on March 22, 1949 and the piano part a week later on March 30th (according to the
dates on the signed manuscripts in his archives) and dedicated the work to Koldofsky.⁶

Koldofsky premiered the _Phantasy_, with pianist and composer Leonard Stein, as part of an
all-Schoenberg concert (including the _Ode to Napoleon_, the String Trio, Op. 45 and two songs)
presented by the ICSM in Los Angeles for Schoenberg’s 75th birthday on September 13, 1949.⁷
Schoenberg was pleased with the performance and “praised Koldofsky’s ‘convincing
performance’ and ‘deep understanding and feeling of the meaning and expression’ of the work.”⁸

The ICSM performance of the _Phantasy_ received positive critical acclaim. A reviewer for
_International Musician_ wrote of the Los Angeles performance: “Schoenberg is loved and
appreciated by the community of his adoption.”⁹ The reviewer, continues to express his
admiration:

> We came away with a new set of critical values and a new awareness of what is eternal
and what is merely passing in the matter of styles or mediums in any art. It is in the light
of these permanent standards that Arnold Schoenberg wants his world to understand his
music. If this, the desire of any sincere composer, has not been quite realized yet, at least
this birthday demonstration should reassure him that the fulfillment is on its way.¹⁰

Koldofsky recorded the work with pianist, Eduard Steuermann in 1951. Tragically, Koldofsky
died of a heart attack in 1951 at the age 46, only a few months before Schoenberg’s death.¹¹

Interestingly, the score for the _Phantasy_ contains evidence of Schoenberg’s
triskaidekaphobia, a superstitious fear related to the number 13, and his fear of death. In the

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⁶ “Phantasy for violin with piano accompaniment,” _Arnold Schoenberg Center_,
werke
⁷ Sabine Feisst, _Schoenberg’s New World: The American Years_, 81.
⁸ Ibid.
⁹ Anonymous, “Happy Birthday!” _International Musician_ (November, 1949), accessed on March
¹⁰ Ibid.
Phantasy, he avoids the measure 13 by numbering 12 as measure 12a then a measure 12b followed by 14, to avoid measure 13. He does the same thing with measure 39, by marking measure 38 as 38a, and then 38b followed by measure 40. Ironically, Schoenberg was born on September 13, 1874 and died on July 13, 1951.

In the course of my analysis and research, I discovered a rectangular sketch in the digital archives of Schoenberg’s manuscripts, available on the website of the Viennese based Arnold Schoenberg Center. The sketch consists of four music staff lines hand-drawn around the perimeter of a tiny scrap piece of lined paper. The sketch includes one clear quote from the work (and is discussed in detail in Chapter 1 and displayed in Figure 1-2). The sketch does not provide any definitive ideas about Schoenberg’s process or ideas on form. However, it inspired my exploration of a four-part form with elements of symmetry. Subsequently, I had the chance to visit the Schönberg Center in Vienna in August of 2015. During this visit, thanks to Theresa Muxeneder, I had the privilege of viewing the sketch, the beautifully rendered, preserved and oversized score of the Phantasy as well as letters between Koldofsky and Schoenberg in preparation for publication by Peters Corporation.
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I am deeply grateful and thankful for the profound guidance, mentoring and support of my advisor Joseph Straus. His commitment to excellence inspired me to strive for high standards of thought, process and writing.

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An extended thanks to all the brilliant faculty and administration of the CUNY Graduate Center, who have encouraged me as a musician and scholar; particularly Sylvia Kahan, professor and chair of my committee; and the professors of inspiring classes: Raymond Erickson, Ursula Oppens, Jason Eckhart, and Anne Stone. A special thank you to Jacqueline Martelle and all of the administrative staff of the Music Department for all of their help and support.

Thank you to Theresa Muxeneder, who arranged for me to view the archives at The Schoenberg Center in Vienna, in August of 2015, despite the official closing of the office due to a fire in the building. I am grateful she made the visit possible and as a result I had the privilege of examining the beautiful oversized manuscript of the *Phantasy*. She also put me in touch with the Schoenberg family in order to gain permission to use musical examples in my dissertation.

Thank you to the Schoenberg family, who gave me the permission to include the musical examples and sketches, through Anne Wirth, and put me in touch with Peters Corporation.
A special thanks to Gene Caprioglio and Hector Colón and the C. F. Peters Corporation, who granted me permission to reproduce excerpts from Schoenberg’s *Phantasy*, Op. 47 (1952; 1978 corrected reprint), gratis, to include in the musical examples.

Thank you to all my wonderful and invaluable friends and colleagues for their inspiration and support.

Finally, from the bottom of my heart, I am grateful for the support and guidance of my dear husband, Sebu Sirinian, and my amazing daughter Adrianna Sirinian who have weathered the storms through thick and thin. And thank you Mom, Dad, Marty (who I know is cheering and prodding me from above) and Jennifer. No words can express the deep gratitude for my family, who planted and nurtured the seeds of my love for music and intellectual curiosity.
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Chapter 1

SCHOENBERG AND FORM

Introduction: The Form of the Phantasy

Scholars have long debated the form of Schoenberg’s *Phantasy for Violin and Piano accompaniment*, Op. 47 (1949). Schoenberg wrote the *Phantasy*, his last instrumental work, in California near the end of his life. The extant literature on the form of the *Phantasy*, by Allen Forte, Josef Rufer, David Lewin, Larry Polansky, Michael Friedman, Christopher Hasty, Joel Lester, Gianmario Borio, Claus Raab, Matthias Schmidt, and Arnulf Mattes12 presents many varying opinions on the form, from a pseudo sonata structure, free multi-sectional form, three-part ABA to a four-part form. The different opinions and lack of consensus on the form derive from the diverse analytical approaches to the large multi-sectional middle portion of the work between measures 34 and 154, the section several theorists refer to as the “B” section. The clear

rhythm, contour and character similarities between the opening and closing sections book end the work. This dissertation examines the Phantasy as a multi-layered four-part form, in which the thematic pattern ABB₁A₁ is found at every structural level, from the phrase up to the entire work.

Schoenberg believed and wrote much about the importance of comprehensibility in music and form. He believed that the characteristics of the prime twelve-tone row as motive, along with variation, formed the basic building blocks to create a unified form. He aimed to bring intellectual and emotional comprehensibility to his compositions using the tone rows as unifying motivic melodic material as well as the cell for the overall formal structure.

True art and genius does not lend itself to simple analysis. I suspect that many people would agree with Larry Polansky’s view.

It is a tribute to Schoenberg’s mastery of the ambiguity of form, such as that which he admires in the asymmetry of Brahms’ phrasing, that no such outline of the Phantasy can really contribute much to its understanding. Any such sectionalization only describes its own axioms for perceptual distinction—Schoenberg always knew this and sought to integrate all the varied parameters of his craft in such a way as to at once clarify form and at the same time confound the superficial perception of it. ¹³

However, as a performer, I believe that a having a concept of the work’s architecture is imperative if one is to achieve a convincing, comprehensible performance. There are many ways to listen to and come to terms with the Phantasy. As Joel Lester states, “There is no single avenue from the dots on the page of a score to the creation of a living performance. But being responsive to as many sources of information as possible—whether performer’s intuitions, analytical knowledge, historical and biographical information, or anecdotes—surely can’t hurt,

and may even help.” 14 The outer sections of the Phantasy, clearly relate to each other with rhythmic, melodic and character similarities. The sections also mirror each other. Schoenberg varies and mirrors the pitches by utilizing the retrograde and inversions of the prime row.

On listening to the middle section, many variations may be apparent to performers and listeners alike. The sectional variations flow smoothly and create the impression of a free form hinting at improvisation. However, my formal analysis suggest that Schoenberg’s concept indeed has a multi-dimensional formal design.

The section between measures 34 and 85 includes four extremely different melodically expressive variations. The variations between measures 85 and 154 at first hearing appear very different, with clear ABA Scherzo Grazioso Scherzo sections. The more obvious melodic, rhythmic, and pitch relationships that occur between the opening and the closing of the work do not appear in the middle of the work. However, the middle sections do mirror each other in terms of tempo, contour, and character.

Schoenberg’s ambivalent relationship to tonal music and classical forms inspired creative tension in the composer. For much of his life, he studied and cited the musical masterpieces of the eighteenth and nineteenth centuries in his writings, teachings and lectures. Many of the writings in Schoenberg’s collection of essays, Style and Idea (1975), and his books, Fundamentals of Musical Composition (1975) and Harmonielehre (1948), focus on the attributes of tonality and formal tonal structures. He admired the structures that created unity and comprehensibility, and strove to reinvent a new universe for musical exploration. In developing his twelve-tone serial system, Schoenberg established a technique to organize musical ideas that

were free from the constraints of tonality and chromaticism. He states, in his manifesto *Composition with Twelve Tones*, “The method of composing with twelve tones grew out of necessity. In the last hundred years, the concept of harmony has changed tremendously through the development of chromaticism [and] such a change became necessary when there occurred simultaneously a development which ended in what I call the emancipation of the dissonance.”

In *Tonality and Form* he argues, “[The notion] that the harmonic alone is form-determining is a widely spread delusion, probably just because I have already refuted it in my *Harmonielehre*.“ He asserts in an essay on Hauer’s theories that in tonality, the tension of opposites holds the works together and creates unity. However, “To find means of replacing this is the task of the theory of twelve-tone composition.” Schoenberg explored the possibilities of dodecaphony with his own personal style and methods to create works with unified and comprehensible structures.

Initial analysis involved a complete annotated score, followed by the construction of linear diagrams of the *Phantasy*, incorporating the transpositions of pitch areas, tempos, and dynamics. The development of these diagrams, depicting the overall formal structure of the *Phantasy*, that synthesize and extend the analysis of Rufer, Lewin, Polansky, Lester, Mattes and Stein suggests that Schoenberg envisioned a form that integrates the sections through mirrors and inversions. My analysis (Ex. 1-12) of the *Phantasy* suggests a new lens, a four-part ABB\(^1\)A\(^1\) rather than the three-part ABA\(^1\), free, multi-sectional or loose sonata forms, through which to listen to Schoenberg’s *Phantasy*.

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16 Schoenberg, “Tonality and Form,” (1925) in Ibid., 255.
17 Schoenberg, “Hauer’s Theories,” (1923) in Ibid., 209.
The formal structural mirrors and inversions in turn, reflect the structure of the prime row itself in form and function. Schoenberg’s twelve-tone system utilizes a Grundgestalt to build his prime row, retrograde, inversion and retrograde inversion. The Grundgestalt contains the basic idea and germinal motives for the work. In Schoenberg’s Twelve-Tone Music: Symmetry and the Musical Idea, Jack Boss explains:

The idea is, essentially, a compositional dialectc (the outline of which is given to the composer as a sudden inspiration [Einfall], and then reworks out the details as he composes)….A specific succession of pitches and intervals associated with a specific rhythm, which Schoenberg called a Grundgestalt (thesis).18

Schoenberg, in the Phantasy for Violin and Piano, created his “phantasy” form inside and out.

This form, analogous to his serial system, includes AB and B\(^1\)A\(^1\) sections that mirror each other, as do the inversions of the prime and retrograde forms of the hexachords. The concept of the ABB\(^1\)A\(^1\) form inspired further analysis that suggests nesting of ABB\(^1\)A\(^1\) within ABB\(^1\)A\(^1\). Schoenberg created the Phantasy with prime row, P\(_{10}\) consisting of four trichords that create a micro ABB\(^1\)A\(^1\). This compositional device will be discussed in detail in Chapter 2. This ABB\(^1\)A\(^1\) extends outward through each section.

The concept of nesting motivic material strengthens the multi-dimensional aspect of the form. The nesting often involves micro “abba”. However, the nesting material sometimes includes “abab” as a variation rather than consistent “abba” structures. The examination of the relationships between the rows, retrograde, inversion and retrograde reveals similar characteristics. In certain Grundgestalt, the row variations share common traits. “B” is not always that different from “A”. The form could also be viewed as A\(^1\) A\(^2\) A\(^3\) A\(^4\). However, for the

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purpose of this paper, and to clarify the discussion, the argument will identify the sections in terms of ABB\(^1\)A\(^1\), even though “B” and “A” share common features.

This dissertation builds the argument with the identification of ABB\(^1\)A\(^1\) and ABA\(^1\)B\(^1\) mirrors and inversions from the Grundgestalt at the micro-level through the phrases, then the sections, and up to the macro-level structural concept of the work as a whole revealing that Schoenberg has created a formal ABB\(^1\)A\(^1\) design for the entire work. Thus, the internal and external ABB\(^1\)A\(^1\)’s not only mirror each other at the micro and macro level, but also create a paradigm of the entire twelve-tone system

The creation of this ambiguous and multi-dimensional form affirms Schoenberg’s genius in a way undiscussed by previous scholars. Rufer, Lewin, Stein, Polansky, and Lester all offer valid analyses of the formal design. This dissertation explores Schoenberg’s Phantasy as his fantasy four-part symmetrical ABB\(^1\)A\(^1\) design within a heroic form (albeit relatively short). Furthermore, this paper offers a rebuttal to Boulez’s “Schoenberg is Dead” proclamation.

**The Fantasy as a Historical Form**

Schoenberg knew well the fantasies of J. S. Bach, C.P. E. Bach, Mozart, and Beethoven as well as the multi-sectional Fantasie in C Major for violin and piano (D. 934. Op. posth. 159) by Franz Schubert. The Schoenberg Phantasy includes several sections that pay tribute to these earlier works. Sabine Feisst, in her book *Schoenberg’s New World: The American Years*, states

Since Schoenberg chose “Phantasy” as the work’s title, he may have wanted to underscore connections to Bach’s Chromatic Fantasy and Fugue, C. P. E. Bach’s work (which Koldofsky extensively explored in the 1940’s), Mozart’s C minor Fantasia, K. 475, Beethoven’s Phantasie, op. 77, or even Beethoven’s Sonatas quasi una fantasia, op. 27. More explicitly, the title highlights his music’s “unhindered flow” that “cannot be traced back to any kind of formal theories,” including some of Schoenberg’s own previously established compositional principles. It also points to the work’s tension between formal disintegration and coherence, and justifies the works’ unusual
instrumentation for solo violin with a secondary, purely accompanimental piano part composed after the completion of the violin part.19

Although Schoenberg wrote in detail about many structures, including rondos, scherzos, ternary and binary dorms, variations and sonata forms. He apparently made only one statement about the fantasy “form”: “Fantasy, in contradistinction to logic, which everyone should be able to follow, favors a lack of restraint and a freedom in the manner of expression, permissible in our day only perhaps in dreams. In dreams of future fulfillment; in dreams of a possibility of expression which has no regard for the perceptive faculties of a contemporary audience.”20 The statement implies a loose form.

The Grove New Music Dictionary defines “fantasia” as:

A term adopted in the Renaissance for an instrumental composition whose form and invention springs ‘solely from the fantasy and skill of the author who created it’ (Luis de Milán, 1535-6). From the 16th century to the 19th the fantasia tended to retain this subjective license, and its formal and stylistic characteristics may consequently vary widely from free, improvisatory types to strictly contrapuntal and more or less standard sectional forms.21

In his article, “Work Structure and Musical Representation: Reflections on Adorno’s Analyses for Interpretation,” Gianmario Borio discusses Adorno’s philosophy of analysis in relation to performance. Adorno understood the context of Schoenberg’s Phantasy as one “both accompanying principles of the ‘stable” and the ‘loose formation.”22 Borio refers to the various

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phrases and segments as “intonations” describing the structure as fluid and evolving from section to section:

In the context of Schoenberg’s *Phantasy* ‘intonation should at first indicate that the thematic substance is not presented in a single shot; it unfolds much more in four orders of events, similar to the stance of an improvising violinist, who strives to plot the contours of a melody.  

Borio continues,

The concept of fantasy acquires utopian characteristics in Adornos’ analysis of interpretation, which are reminiscent of the high position this elusive form occupies in Adolf Bernhard Marx’s hierarchy (March, 1948, PP. 335-340.) As a free form – the episodes of which, though different in character and since, nonetheless come to a synthesis – it is for him a certainty that need not be questioned: it introduces discontinuity and counteracts developing variation.

Borio goes on to present René Leibowitz’s differing view, which suggests a form named a “double function form.” Leibowitz asserts that the unifying factor serves to couple the formal design with the row.

The relationships within a succession of *recitativo*-like intonations on the one hand, and between theme and liquidation on the other hand, belong to two different areas compositionally speaking. Adorno and Leibowitz share the idea that performance is nothing other than ‘the authentic reproduction of musical shapes and characters” (Leibowitz & Kolisch, 1979, p. 149….One can perceive…the following assertion: ‘Title deliberately chosen: Fantasy style/free form/but not unorganized/Structurally oriented more on *baroque* examples than classical/avoids any *sonata-like development*, which continues, ‘rather progressive athematic.’

Schoenberg’s title, *Phantasy*, suggests an ambiguous form distinct from the structures of sonata, rondo and ternary. The term “fantasy” hints at improvisation within sections. However, even a cursory look at the score reveals an overall unified concept of form apart from the multi-sectional improvisatorial component. Schoenberg brings back the opening motivic material at the

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23 Ibid.
24 Ibid., 61.
25 Ibid.
26 Ibid., 62.
end of the work, hinting at a recapitulation and in association a more structured form. The suggestion of free form juxtaposed on top of a formal structure contradicts itself, or creates a dream of new possibilities. The contradiction represents Schoenberg’s *Phantasy* paradigm form that mirrors his twelve–tone system with symmetry, inversions and variation within a unified comprehensible form.

**Recent Theoretical Accounts**

Several theorists published essays or papers with different approaches to the analysis of the structure and form of the *Phantasy*. Allen Forte (1955) discusses the prime row, Arnulf Mattes (2011) discusses sound sheets within sections, and Christopher Hasty (1977) and Michael Friedman (1985) discuss details about the organization of the small motives and phrases. Josef Rufer (1954), Joel Lester (2000), Larry Polansky (1985), (who cites Leonard Stein’s interpretation), David Lewin (1967), Claus Raab (1976) and Matthias Schmidt (2004) attempt to come to terms with the overall formal concept of the *Phantasy*, and particularly the middle “B” section of the work.

The building of the form, depicted in my overall outline (Ex. 1-11), will be discussed in greater detail in Chapter 3. However, in this chapter I will discuss my views in comparison to those of Rufer, Lewin, Polansky, Lester, Stein, Raab, Schmidt and Mattes. Lewin, Lester and Polansky describe the overall structure as a modified ABA\(^1\) form, Rufer as a new free form, Stein as a four-part, Raab and Schmidt as four-part free with a remote reference to quasi sonata forms. The main motives introduced in the opening, in terms of rhythm and contour, discussed above, clearly return at the end of the piece and constitute the “A” sections. The distinctly more complex “B” section makes up the bulk of the work. Theorists’ differ on their interpretation of
the “B” section’s organization, the formal outlines as to the boundaries of the “A” and “B” sections and their defenses of these boundaries. All the studies admit inconsistencies with any definitive concept form and discuss puzzling aspects of this interpretation.

Josef Rufer views the *Phantasy* as an example of one of Schoenberg’s new free forms, based on developing and extending variations of the first three-measure motive. The variations create contrasting shapes within the large-scale work. In *Composition with Twelve Notes*, Rufer discusses Schoenberg’s view of both old and new forms through an analysis of the *Phantasy*. “In a work of art form is never an end in itself, but always merely a means to the end of presenting the content of the work; thus the form depends on the content and the way in which the latter is presented.”27 He goes on to say, “Musical form only becomes alive through its content.”28

Rufer argues that the form emerges from the ideas and not through Schoenberg’s techniques. He writes:

> These (the *Phantasy*, String Trio and String Quartet # 4) are new, free forms, which were not consciously worked out in advance, but, like the old forms, grew out of the music itself, through the innate laws of logical coherence, clarity and comprehensibility. It is clear that this unpreconceived and unmethodical approach of Schoenberg to the creation of form puts special difficulties in the way of analysis--even of those movements, which correspond to forms, which are already known.29

Rufer quotes Schoenberg: “All these old masters have also written preludes, introductions, fantasies, toccatas, fugues and many similar compositions in which they allowed their powers of imagination free and unlimited in scope; in doing this they renounced the use of almost all the formal and articulating means which provided the form in others of their works.”30

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28 Ibid., 167.
29 Ibid., 169.
30 Schoenberg as cited in Rufer, 170.
Example 1-1: Annotated diagram of Rufer’s free form outline of Schoenberg’s *Phantasy*

Rufer creates a table (Ex. 1-1) to depict his view of the new free form. Rufer bases much of the structure on the various shapes of phrases built from a basic three-measure phrase. Rufer also discusses the opening ten measures, and the fact that Schoenberg appears to vary the prime row in measure 10. He explains that Schoenberg’s manipulation and variation of the row within the *Phantasy* allow for more variety. Rufer points to the fact that the first three measures utilize the first hexachord, and measures 3-6 its retrograde. He acknowledges that the second half of the series appears in measure 10 for the first time. “This is unusual, and possibly is connected with the new type of form shown in this work; the form develops from small ideas and units of form to larger and larger ones.” He continues: “Because of its relatively short length of 166 bars and its “one-part” structure, the *Phantasy* for Violin and Piano, Op. 47, is especially suited to illustrate the development of one of these new forms, its “shape-elements” and the way in which these are combined to form a whole.” I agree that Schoenberg experimented with a new form. However, I do not believe it is free.

David Lewin traces the transpositions and notes patterns of transposition of intervals nine and five. He discusses the relevance of these two transpositions, including the fact that the first Hexachord, H₁, has five common tones with H₂ at T₅ and four common tones at T₉. Lewin

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31 Rufer depicts his table vertically. I manipulated his table to lie horizontally for the purpose of comparison.
32 Rufer, *Composition with Twelve Notes*, 158.
33 Ibid., 173.
continues by pointing out that several series of transpositions at T9 outline two of the three diminished chords. He contends that the hexachordal areas and the internal transpositions establish structural divisions. Lewin illustrates (Ex. 1-2) that the transpositions suggest a three-part form.

**Example 1-2: Annotated diagram of Lewin’s three-part formal outline of Schoenberg’s Phantasy**

He does not specifically describe the *Phantasy* as an ABA\(^1\) form, but as a three-part form defined by the formal sections corresponding to the areas he calls A\(_0\) based on the P\(_{10}\) and I\(_3\) rows. “Such areas are often (but not always!) strongly associated with obvious formal articulations in Schoenberg’s hexachordal pieces (such as changes of texture, tempo, thematic material, et al.). I intend to demonstrate here their specifically structural role in the piece.”\(^{35}\)

Brian Moseley, in his recent dissertation on the twelve-tone music of Anton Webern, discusses the “paradigmatic” relationship between the row “modulations” through the $T_5$ and $T_9$ relations. Moseley explains the shared notes between the hexachords with the $T_5$ and $T_9$ relation and how Schoenberg substitutes pitches to create unity at the transitions. Moseley then illustrates Lewin’s concept of the *Phantasy’s* formal design shown in Figure 1-1 below. The first and third $A_0$ areas correspond to the “A” sections that occur at the beginning and reprise of the main thematic material. Moseley’s graph (Fig. 1-1) depicts Lewin’s analysis as an ABA form.

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36 Ibid., 167.
Lewin -- and Moseley -- view the section between measures 32-143 as one section focusing on movement between areas at T9. Such movement connects the various small phrases within the sections. However, in the overall architecture, it appears that Schoenberg moves from one major area to the next through T5.

Both T9 and T5 play an important role in the harmonic development of the work. Lewin and Moseley focus on the importance of T9 in developing the material, and from moving from phrase to phrase and from area to area. The overall structure, however, appears to move through larger sections at T5. My view of the form implies that T5 plays a more important structural role in the development of the overall form, while T9 internally moves each section forward.

Larry Polansky, in contrast to Lewin, argues that Schoenberg’s form is not based on the manipulation of the pitches in the row.38 “Form is not determined by pitch. Motive and morphology, rhythm, temporal density, dynamics and timbre offer the composer more than enough, and perhaps the Phantasy is the last time Schoenberg states his case that twelve-tone technique is indeed an ‘emancipation’ and not a restriction.”39 Polansky identifies several ternary sections including the Grazioso and Scherzando areas, as well as the song-like Brahmsian sections in measures 32-34 and 40-44. Polansky elaborates on the ternary idea and divides the entire work into three sections: “The rather startling fact that the Phantasy, a work whose formal intricacies, rapid character shifts, and high density of information suggest an absence of a simple large scale structure, can be divided so ‘neatly’ into a three part form (mm. 1-84, 85-153, 154-166.)”40

39 Ibid., 33.
40 Ibid., 36.
Example 1-3: Polansky’s three-part formal outline of Schoenberg’s *Phantasy*

As shown in Example 1-3, Polansky like Lewin, divides the work into three sections and identifies a “B” section. However, he bases his organization on implications of tonality and issues of rhythm, motive, timbre and musical character rather than prime row areas. Polansky, like Rufer, notes a division of the work at measure 85. Thus, his first area “A,” encompasses a larger musical section than Lewin’s, from measure 1-84. Polansky’s “B” section commences at the beginning of the ternary *Scherzando* section. I agree with Polansky that the issues of musical moods and character play a role in the organization of the sections within the overall design. Furthermore, I view m. 85 as the start of a new section. However, I view it as third section, which I label “B1”.

Lewin and Polansky agree on the boundaries of their third section, or return of the opening musical material, “A.” Lewin defines his third section by the return to the A0 at measure 143. However, he also puts in parentheses (154) indicating a return of the opening material. Polansky agrees that the return of the opening notes appear in measure 143. He contends that measure 143 acts as a false reprise and designates measure 154 with the return of the opening motive and gesture as the reprise of the “A” section. I also view m. 154 as the return of the opening, which I label “A1”.

Joel Lester approaches the work from a performer’s analytical perspective, which takes into consideration melodic and rhythmic motives as well as twelve-tone and tonal harmonic factors. He states, “Schoenberg…was passionately devoted to aesthetic notions of conceptual

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unity and of organically developing an entire piece from its basic idea.” Like Lewin and Polansky, Lester dismisses a kaleidoscopic, free approach to the form in favor of a structure based on the ABA motives introduced in the first six measures of the work.

Lester, like Rufer, finds ABA\(^1\) sections (Ex. 1-4) within the work and argues that the ABA\(^1\) motive develops organically. He finds many nesting levels of ABA’s within an overall ABA\(^1\) structure of the *Phantasy*. Like Lewin and Polansky, Lester points out similarities between the opening sections, which he labels “A,” with the return of the transformed material at measure 154, which he labels “A\(^1\)”. The similarities between these sections are clearly audible and verified by analysis. Both sections, based on the prime row of the work, P\(_{10}\), present similar rhythmic and melodic contour motivic material.

**Example 1-4: Lester’s three-part formal outline of Schoenberg’s *Phantasy*\(^43\)**

Lester elaborates on the analogy by asserting that the entire work includes a series of sections related as developmental variations of the opening. In his “B” section from measures 34 to 154, identifies another large ABA\(^1\), with transitions, development and retransition sections.

The central portions of the *Phantasy*…form a series of sections that are both ever-new and always related to the materials surveyed here: the motives, the phase shapes, the interactions between violin and piano and the differentiation between relatively

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\(^42\) Ibid., 153.

\(^43\) Ibid., 170
expository passages in which phrase-length and hexachords are coordinated, and more developmental sections in which they are not.44

Lester’s formal outline (Ex. 1-4) hints at an overall sonata form although he states that it is not a sonata but “instead this is music that ruminates about its own structure.”45 Lewin acknowledges the difficulty in coming to terms with the depth and complexity of the Phantasy. He mentions moments that hint at tonality with references to Strauss waltzes and popular music. Lester acknowledges the musical and historical reminiscing sheds light on one layer of this very complex, multi-dimensional work. I agree with Lester, that the large middle section of the work includes a series of variations. My outline’s second section or “B” coincides with Lester’s “B” section starting in m. 34. However, Lester incorporates m. 34-124 in his “B” section, while my outline defines another section as “B1” at m. 85.

Example 1-5: Stein’s four-part formal outline of Schoenberg’s Phantasy

Larry Polansky, in his essay, briefly cites Leonard Stein’s concept of a four-part form, (Ex. 1-5), extracted from the liner notes to the ARS NOVA recording.46 Stein asserts that Schoenberg wrote the violin part first. “Since Schoenberg wanted to write a phantasy for violin with piano accompaniment and not a duo, he first composed the entire violin part alone.”47 Stein, like Polansky and Lester, bases his concept of structure on musical characteristics. He goes on to describe the form:

<table>
<thead>
<tr>
<th>STEIN: (1969) FOUR PART ABCA FORM</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Main Section</td>
</tr>
<tr>
<td>1-31</td>
</tr>
<tr>
<td>Grave (Dramatic)</td>
</tr>
<tr>
<td>1C Second Episode</td>
</tr>
<tr>
<td>Form and Character/ Scherzo (condensed)</td>
</tr>
<tr>
<td>1A Main Section</td>
</tr>
<tr>
<td>1D Coda (A)</td>
</tr>
</tbody>
</table>

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44 Ibid., 168.
Multi sectional structure with many strong contrasts in tempo, character and form …and that the recurrence of the opening main section serves to unify the entire piece, much in the manner of a Rondo or Sonata – as suggested by the following outline:

1. Main Section (A): Grave- dramatic in character (mm 1-31)
2. First Episode (B): Meno Mosso (m. 32), Lento (m. 40), Grazioso (m. 52) – mostly lyrical
3. Second Episode (C): Scherzando (m. 85)- form and character of a scherzo
4. Main Section (condensed) (m. (133) 135) and coda A2) (m 154?)

Leonard Stein suggests a four-part form. It is interesting to note that his “B” and “C” sections coincide with the different “B” sections defined by Lewin and Polansky.

Theorists Claus Raab (1976) and Matthias Schmidt (2004) offer another possible reading that suggests remote references to sonata style within four sections. Raab, like Rufer hears a combination of free and fixed forms. However, as opposed to Rufer, Raab suggests a four-part concept reminiscent of a loose or quasi sonata form. Schmidt argues for a free fantasy form that in one movement remotely recalls a four-part sonata. The sonata, traditionally an ABA form, contains a middle “B” section, which requires harmonic and thematic development. The middle section of the Phantasy, I interpret as a series of variations, rather than a development section. Furthermore, the views of the Phantasy as a four-part form contradict the idea of three-part sonata form. Theorists agree on the difficulty of pinpointing a definitive form and the many different variations of the form argue in favor of a fantasy.

In a footnote of his paper, Mattes mentions “the Phantasy’s comprehensible overall design was never considered controversial.” Mattes then goes on to mention the works of

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48 Ibid., 31.
Rufer, Adorno, Lewin, Claus Raab and Polansky, all who suggest different overall designs. He admits, “The divergent interpretations of the Phantasy’s large-scale formal design in terms of historical schemes and models reveal the form’s functional and referential complexity.”

Mattes includes Stein’s concept of the overall form, labeling the four sections Part I, Part 2, Part 3 and Part 4. His article focuses on the organization of Part 2 in relation to its “sound sheets.” Mattes concept will be discussed in more depth in Chapter 3 on the designs of the individual sections.

Example 1-6: Comparisons of theorists’ formal analyses of Schoenberg’s Phantasy

All the theorists mentioned offer valid interpretations. Example 1-6 depicts a graphic comparison of Rufer’s, Lewin’s, Stein’s, Polansky’s and Lester’s formal analyses with my

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51 Ibid.
outline (Ex. 1-11, which will be discussed in greater detail later in this chapter as well as in Chapter 3).

Rufer views the structure as a new free form, and Lewin defines a three-part form based on the pitch areas and the transpositions. Polansky and Lester view the work as an ABA, with differing concepts of where “B” commences. Stein’s four-part form most closely resembles my analysis. The major differences in the boundaries exist in the exact division between “A” and “B”, the exact return of “A1” and the overall view of the music between “A” and “A1”. All recognize the return of the material at measure 154, either as a coda, reprise or as the varied return of “A”, as “A1”. Lewin’s “A” sections do coincide with the “A” sections of my analysis.

The different views of Lewin, Lester and Polansky, on the boundaries for the “B” section derive from their differing methods of analysis. All three view a large “B” section, but disagree on the boundaries. Polansky bases the boundaries on his perception of an ABA form based on passages with cadentially harmonic characteristics, rhythmic and motivic considerations. His first “A” section is much longer than Lewin’s. Polansky’s three sections include “A” from measures 1-85, “B” from measures 85-154 with a return to “A” at 154 to the end. Polansky’s view of the end of his section “A” coincides with Stein’s “C” section and my view of “B1”. Where Polansky sees an ABA, taking into consideration tempo, rhythm, dynamics and timbre my formal outline indicates an “A” and contrasting “B” within his first “A”. However, where Stein perceives a “C” episode, my analysis reveals a mirroring “B1” section. Stein’s boundaries are slightly different, and he views it as an ABCA1 form. Lester’s formal outline resembles the sections defined by Lewin more than Polansky. Like Polansky, Lester’s analysis is based on musical characteristics as well as harmonic considerations. Like Lewin, Lester’s “A” section includes measure 1-33. Lester’s “B” section encompasses measure 34-153 and starts two bars
later than Lewin’s “B” section. My and Lester’s “B” starts with the “Brahmsian” style section built on P3 or A3 and includes several episodes in including a transition, development and retransition. Lester does discuss the puzzling reprise of the prime row material in measure 143 and suggests a false recapitulation. His formal outline defines measure 154 as “the return of ‘A1’”.

My formal outline (Ex. 1-11), which includes the hexachordal areas, transpositions, tempo, character as well as motivic and rhythmic considerations suggests a four-part form. This dissertation synthesizes the harmonic and musical mood considerations in an effort to come to terms with another reading of the overall design as a four-part ABB1A1 outline with elements of symmetry.

**Boulez’s critique (and Hyde’s defense)**

In his famous essay, “Schoenberg is Dead,” Pierre Boulez criticizes Schoenberg’s attachment to classical structures, finding that his large-scale forms lack originality and fail to create a sense of unity with the twelve-tone system. Boulez states:

> And there, it seems, you have what led to the decrepitude of the larger part of [Schoenberg’s] serial *oeuvre*. The pre-classic or classic forms ruling most of the architectures have no historic link to the dodecaphonic discovery: thus an inadmissible hiatus is produced between infrastructures related to the tonal phenomenon and a language in which one again perceives the laws of organization summarily. Not only does the proposed project run aground – such a language was not consolidated by such architectures—but also the opposite happens, which is to say that those architectures annihilate the possibilities of organization inherent in the new language. The two worlds are incompatible and Schoenberg had attempted to justify one by the other. 

Boulez continues:

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I mean to say that Schoenberg employed the series as a smaller common denominator to
assure the semantic unity of the work, but that he organized the language elements thus
obtained by a preexisting rhetoric, not a serial one. I believe we can assert that it is there
that the troubling lack of clarity of a work without real unity becomes manifest.53

Boulez argues that Schoenberg’s attachment to classical forms prevented him from exploring
new formal possibilities with the new language.

Martha MacLean Hyde, in her article “The Roots of Form in Schoenberg’s Sketches,”
refutes Boulez’s view that “Schoenberg failed to explore the potential of the twelve tone method
to generate its own forms”54 and defends Schoenberg’s concepts of form. She argues that
Schoenberg’s sketches reveal clues about his concept of form and unity in his compositions. In
her view, Schoenberg’s forms do emerge from the structure of the germinal set, or Grundgestalt.
In “Composition with Twelve Tones,” Schoenberg states three basic principles, “That the basic
set alone generates harmonic and formal structure, that the basic set contain only twelve pitches
with no pitch repeated, and that a composition have only one basic set.”55 Hyde uses
Schoenberg’s sketches to demonstrate that the composer modifies these rules -- except the first
principle. “The first principle that the structure and form of twelve-tone music derive from a
basic set is absolute and in fact both motivates and controls departures from the secondary
principles.”56

According to Hyde, Schoenberg’s sketches shed light on a rigorous process for
organization. Yet, for or unknown reasons, Schoenberg did not make his methods of organization
obvious. Hyde, with the support of Schoenberg’s sketches, demonstrates that his technique for

53 Ibid., 274.
54 Martha MacLean Hyde, “The Roots of Form in Schoenberg’s Sketches,” Journal of Music
55 Ibid., 31.
56 Ibid., 32.
organizing phrases and for variation “provide the means by which Schoenberg was able to build up extended forms using twelve-tone procedures alone.” For the most part, the sketches that Hyde discusses include musical illustrations of phrases, or rows, with annotations that hint at Schoenberg’s compositional process. Moreover, Hyde disputes Boulez’s criticism that Schoenberg was not experimental in terms of form. She cites statements from Schoenberg’s writings that suggest he was interested in exploring the method’s potential for eliciting large forms. In “Problems of Harmony,” Schoenberg writes, “it is evident that abandoning tonality can be contemplated only if other satisfactory means for coherence and articulation present themselves.” In “Opinion or Insights?” Schoenberg states, “from the beginning, this was clear in my mind: tonality’s aids to articulation having dropped out, one must find some substitute, so that longer forms can once more be constructed.”

Hyde’s essay does not discuss the sketches of the Phantasy. However, her insights into the relationship of Schoenberg’s sketches to the concept of form and compositional process inspired the examination of the sketches for the Phantasy for clues. The sketches of the Phantasy, include the title page, series cards, tone rows, dated manuscripts of the violin part, dated manuscript of the complete score and an intriguing rectangular sketch that appear on the Schoenberg Center’s website. This rectangular sketch (Fig. 1-2 discussed in the following section), although very different from the sketches Hyde discusses, hints at Schoenberg’s musings as he composed the work.

Schoenberg, in his essay on “Schoenberg’s Tone Rows” (1936) admits “to explain understandably and thoroughly the idea, I had shown them a certain number of cases. But I

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57 Ibid., 2.
59 Schoenberg, “Opinion or Insights?” in Ibid., 263
refused to explain more of it….”\textsuperscript{60} Hyde suggests that “they [the sketches] are therefore crucially important in understanding Schoenberg’s system, for they make clear what he kept hidden how an extended form can be derived from a single twelve tone row.”\textsuperscript{61} Indeed, an intriguing sketch raises questions about Schoenberg’s concept of the form of the \textit{Phantasy}.

\textbf{An Intriguing Sketch}

Schoenberg’s heirs made his archives available after his death in 1951. His widow Gertrude administered the archives until 1967. In the 1970’s his heirs decided to make the archives available in the Arnold Schoenberg Institute at the University of Southern California in Los Angeles. The family wanted his archives available for research and scholarly work. USC housed them from 1975 until 1993 at which time the University felt it could not fulfill the heirs’ conditions. A search for a new home for the archives ensued. Subsequently, the Arnold Schoenberg Center opened in Vienna, Austria in 1998 and made the archives available to the public (including manuscripts, sketches, letters, photographs, correspondence, diaries, programs, paintings and countless memorabilia) through its library and on its website.\textsuperscript{62}

\footnotesize\textsuperscript{60} Schoenberg, “Schoenberg’s Tone Rows,” in Ibid., 214.  
\textsuperscript{61} Hyde, “The Roots of Form in Schoenberg’s Sketches,” 3-4.  
The discovery of the composer’s sketch on the scrap of lined paper (Fig. 1-2) in Schoenberg’s files for the *Phantasy* raises questions about its role in his compositional process. This sketch, as mentioned above is distinctly different in content from those examined by Hyde. Schoenberg, exhibited paintings in the *Blue Rider* show in Vienna in 1912. Schoenberg possibly experimented with visual imagery as a source of inspiration for his compositional process. The sketch does not provide any conclusive evidence of its purpose in Schoenberg’s process, as opposed to the sketches discussed by Hyde. Any conclusions about its relationship to the form of the composition are purely speculative.

The sketch contains four staff lines arranged in a rectangle around the perimeter of the paper. The top horizontal line of the sketch directly quotes the violin part in measure 34 of the composition.

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Phantasy (Ex. 1-7). This is the only clear and distinct quote from the manuscript. The rest of the sketch is more difficult to decipher. The remaining three sides, at first glance, appear to contain random scribbled notes. However, a closer look reveals other possible references to moments in the work, as well as contours that mirror each other.

Example 1-7: Measure 32 quote in sketch

The notes on the left vertical staff depict two parallel rows: his prime row P_{10} and its inversion I_{3}. (Fig. 1-3 exhibits Schoenberg’s row cards for P_{10} and I_{3} in the following section.) Schoenberg opens and closes the first section of the work, “A” (measures 1-33), with music based on P_{10} and I_{3}. Furthermore, the parallel rows illustrate mirror relationships in terms of contour between the prime row and its inversion (indicated by the dotted line). The notes displayed on the right vertical staff (A, F, C#, B) all appear in the first measure of the Scherzando at measure 85 as part of H_{1} of P_{2} (excluding D and Eb). These notes, written as part of a sixteenth note triplet arpeggio, indicate dance-like music and possibly reference the scherzo, and waltz music of the Phantasy starting in measure 85, the section I label “B’” (Ex. 1-8).

Example 1-8: Measure 85 possible quote in the sketch
Example 1-9: Measure 154 possible quotes in the sketch

The notes on the bottom horizontal line do not directly quote the work, but suggest music from the return of the opening material in measure 154. Schoenberg indicated the time signature 4/4 followed by an eighth note rest and the pitches: Bb₆, E₆, Eb₆, C₆. These notes all appear in a different order in measure 154. The return of P₁₀ occurs in the middle of measure 154 after an eighth note rest with the same Bb₆ (Ex. 1-9). The time signature of 4/4 may not seem significant. However, the only other time 4/4 appears in the Phantasy after the first section (measures 1-34), is in measure 64, and at the return in measure 154. The music at measure 64, is dark and lugubrious, and in a low register, with no resemblance to the sketch. The 4/4, with the high Bb₆ after the rest, on closer examination quotes the middle of measure 154. This quote commences the final section of the work, which I label “A¹” (Ex. 1-9). Furthermore, the contours of the notes on the two horizontal lines appear to mirror each other in a similar fashion to the mirroring between P₁₀ and I₃ on the vertical right (indicated with the dotted line).

This sketch, on a tiny scrap of paper, does not reveal a definitive concept of the form, nor any distinct indication of its relationship to Schoenberg’s compositional process. However, the fact that it exists in the files for this work, raises questions about its purpose. Furthermore, the sketch inspired my exploration of a four-part form and the possibility of symmetrical mirrors and inversions within the structure.
My Approach

The method of analysis for this paper builds on and extends the work of Rufer, Lewin, Polansky, Lester, Stein, and Mattes. The process began by identifying the characteristics inherent in Schoenberg’s later works starting with the rows and pitch areas throughout the work in the violin part, which Schoenberg completed first. Dates of the archived violin part and complete score on the Schoenberg website corroborates the theory that he first completed the violin part. This fact along with his title for the genre, Phantasy for Violin and Piano accompaniment, suggest that Schoenberg’s violin line generates and reflects the concept of the whole. The detailed focus of this paper focuses on the violin part, but includes relevant points about the piano part and their relationship.

Figure 1-3: Phantasy row cards sketch with superimposed pitch and row labels (reproduced with permission by the Schoenberg family at Belmont)

The next step led to further analysis within a complete annotated score based on the prime row depicted in Schoenberg’s tone row cards (Fig. 1-3: P₁₀ as the prime row with its

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inversion as I3). Schoenberg’s sketch of his tone row card for the Phantasy’s prime row (Fig. 1-3) illustrates the row with the post-tonal pitch class numbers superimposed. A complete analysis of the Phantasy based on P10 as the prime row (Appendix A) identifies the rows and the pitch areas throughout the work and produces consistent linear set presentation.

Schoenberg uses all the prime rows within the work except for P6. Almost all the rows appear in linear set order, with a few anomalies. Measures 110-117, 138-142, and measures 150-153 consist of extremely complex row constructions. The three complex row organizational sections all occur in transitional sections.

Initial analysis inspired the next step: to trace the transpositions between the different pitch areas, as discussed in Lewin’s paper. Tracing the rows throughout the work reveal a few interesting patterns. Most of the transpositions between pitch areas occur at T9 or T5, with a few others that include T1, T4, T7, and T8. T1, T4, T7 each occur once, and T8 occurs three times. The transpositions between pitch areas within the large sections occur mostly at T9. Transposition at T9 creates smooth transitions because the second hexachord of the first row contains four common tones with the first hexachord of the transposed row.

Example 1-10: Common pitches moving from A8 to A5 in measures 75-77

One transition between measures 75-77 (Ex. 1-10), illustrates the flow between pitch areas at T9. The common pitches between I1 of A8 and R5 of A5 (7 E 3 9), part of the melodic line in between measures 75-77, include an overlapping note, pitch 9. Pitches (7 E 3) in 75 create the
impression of an inversion, in measure 77, with (3 7 E) where pitches E and 7 are reversed. These common tones create melodic continuity.

The next step involved the creation of the outline (Ex. 1-11) that juxtaposed tempos, dynamics and musical character markings on top of the pitch areas and transpositions. Interesting symmetries, mirroring and inversions surfaced with implications of complex relationships between variations.

Example 1-11: Tipton’s formal outline of Schoenberg’s Phantasy

My detailed formal outline (Ex. 1-11) indicates a prevalence of ABB₁A¹ patterns with mirrors and inversions. The area between measures 34 and 154 includes many variations that flow one into the other. My concept of the two “B” sections, involve mirroring. I agree with Rufer, Polansky and Stein that measure 85 clearly introduces new musical material. This is not clear when viewing the form from Lewin’s harmonic, or pitch area perspective. The formal chart (Ex. 1-11) includes tempo and musical character indications that reveal relationships between the
areas that I label “B” and “B¹” and suggests an overall ABB¹A¹ form with mirrors and
inversions. “B” and “B¹” musically mirror each other with sections in opposing tempo
relationship and musical characters. “B”, at measure 34, commences with a lyric, melodic
variation reminiscent of music by Brahms. The “B¹” area ends the section with material based on
the prime row that almost directly quotes the slow movement of Schubert’s Eb piano trio. These
two musical tributes are clearly recognizable. The variations in-between mirror each other in
terms of tempo and character. The four sections within the area labeled “B” consist of
consecutive slow, fast, slow, fast variations. The four sections within the area labeled “B¹”
consist of variations with inverse tempos and characters: consecutively fast, slow, fast, slow.
This will be discussed in more detail in Chapter 3 on the macro elements of form. I do not think
it is a coincidence that the beginning of “B” and end of “B¹” include tips of the hat to the
composers Schoenberg admired.
Schoenberg’s sketch (Fig. 1-2), inspired the manipulation of this formal outline (below Ex. 1-12). Example 1-12 depicts a rectangular reconstruction of the outline in Example 1-11. Examination of the reconstructed outline reveals symmetry and suggests that Schoenberg’s form simulates the relationships between the structures of his prime rows and inversions. Elements of “A” and “A1”, “B” and “B1”, as well as “A” and “B1” and “A1” and “B” mirror each other.

Example 1-12: Rectangular overall form (arrow indicating T5)

The mirrors and inversions occur on many levels, and vary in terms of the quality. The pitch areas of the different sections either mirror or create inversions. The same area may involve the opposite quality, mirror or inversion, when comparing the rhythm, dynamics, tempo, contour, and musical character. As a performer of the work, I noticed extreme changes in character between the sections. During the course of my analysis, I discovered that these contrasting
characters and qualities add to a multi-layered concept of a four-part form. The obvious return of the opening material, from measures 1-32, at the end of the work in measure 154 to the close, suggests a cycle or reprise. The opening gesture, in measure 1, returns in measure 154, (Ex. 1-13). The notes and the tone row differ, but the rhythmic upbeat and three-note arpeggio motive as well as the melodic contour represent a return of the opening material. The opening gesture includes the H₁ of P₁₀ with the piano part playing the aggregate with H₁ of I₃.

Example 1-13: Hexachordal inversions between measures 1 and 154

The notes of the gesture starting with the upbeat in measure 154 begin with RI₃ and are accompanied by aggregates in the piano part consisting of H₂ of I₁ followed by a P₁₀ tetrachord mirroring the opening gesture. The piano part answers the violin line in both measure 1 and in measure 154 with similar rhythmic gestures. In measure 1, the piano part answers the violin’s first three notes with mirroring gestures in terms of rhythm and contour.

Example 1-14: Contour inversion between measures 25 and 161.5

Material introduced in measure 25 reappears in measure 161, (Ex. 1-14). The two areas do not have a clear pitch relationship. Schoenberg uses H₂ of I₀ to build the gesture in measure
25 and the gesture in 161 from H₁ of P₃. However, the rhythmic gesture and contour of measure 161.5 clearly represents a return of the material. Note, that the contour of measure 25 is the inverse of the contour of measure 161.5. The contour of the violin starts with an ascending half step followed by falling minor fourth in measure 25, <120> and <021>. In measure 161.5 the violin line mirrors measure 25 with the second note falling a half step and the next note rising a major third (or enharmonically a minor ⁴th) with contours <102> and <201>. This return, a condensed representation of the opening material, suggests a reprise. The opening and closing reprise material, described above, refer to the “A” sections of the formal outline illustrated in Example 1-11.

The two “A” sections mirror each other within P₁₀. A closer look reveals that they are harmonic inversions of each other. Schoenberg opens the piece with a strong opening phrase using his prime row P₁₀. Schoenberg creates the return of “A”, with the same tempo, strong rhythmic, contour and dynamic motives using the same prime row, P₁₀. With the reprise, rather than presenting the row as prime, he mirrors the opening by utilizing the retrograde inversion, RI₃.
Lewin focuses on the importance of the T9 relationships between sections. However, the T5 relations occur often, especially between hinges of formal sections of the work. Example 1-15 illustrates Moseley’s transposition through T5 at the first formal transition between the section, “A” to “B”, from measure 32 to 34 shows. This T5 transposition flows beautifully with the reversal of the second two pitches, 2 and 6, from <120> at the end of the phrase in measure 33 to <102>, creating a contour inversion.

The tempo markings of the two “B” sections also clearly mirror each other in the rectangle version of the formal structure. The transposition that connects the musical lines between the sections occurs at T5. The number of measures between the two halves of the work, “B” and “B1”, mirror each other. Section “A” is much longer than its reprise at “A1”. However, “B1” is much longer than “B” which makes both halves of the piece a similar length. Sections AB consist of 84 measures while B1A1 consist of 81 measures.

The linear and rectangular formal outlines that juxtapose musical moods and contour over the pitch areas and transpositions suggests that Schoenberg envisioned a form that integrates the sections through mirrors and inversions. Schoenberg, in the *Phantasy for Violin and Piano*, created his “phantasy” form, inside and out. Did he consciously create this paradigm? The

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66 Moseley, “Twelve Tone Cartography: Space, Chains and Intimation of ‘Tonal’ Form in Anton Webern’s Twelve Tone Music,” 166.
answer is not definitive. However, the four-part design, analogous to his serial system, includes AB and $B^1A^1$ that mirror each other, as do the inversions of the prime and retrograde forms of the Hexachords.

Further analysis included examination of the germinal motive, *Grundgestalt*, to explore the idea of nesting. Where Lester finds nesting ABA sections, my analysis reveals many levels of $ABB^1A^1$. Schoenberg’s twelve-tone system utilizes germinal material, tone rows or *Grundgestalt*, with variations of the prime row, retrograde, inversion and retrograde inversion that mirror each other. The internal and external $ABB^1A^1$ forms build outward and mirror each other to create a paradigm of his twelve-tone system. The following chapter will develop the concept of the $ABB^1A^1$ form within the prime row and basic germinal material of the work.
Chapter 2

MICRO-ELEMENTS OF THE FOUR-PART FORM

The complexity of Schoenberg’s *Phantasy* presents a challenge in pinpointing a definitive analysis and interpretation. Several possible interpretations of the *Phantasy*, from its *Grundgestalt* through the over-arching form, shed light on Schoenberg’s genius. As Jack Boss states, in *Schoenberg’s Twelve Tone Music: Symmetry and the Musical Idea*, “my explanations of how [the Idea] is presented and worked out should be understood as suggestions to hearers and readers of this music concerning one way they can make sense of it.”

Schoenberg introduces the *Grundgestalt* in the first measure, which contains music he explores through the work. The *Grundgestalt* contains the germinal rhythmic and melodic motivic material that he develops through variation. Boss quotes Schoenberg explaining one of his concepts about the basic idea or *Grundgestalt*: “[Each composition] raises a question, puts a problem, which in the course of the piece has to be answered, resolved, carried through. It has to be carried through many contradictory situations; it has to be developed by drawing consequences from what it postulates…and all this might lead to a conclusion.” The identification of the exact *Grundgestalt* raises questions explored in this chapter. My analysis suggests that Schoenberg conceived the *Grundgestalt* as the first hexachord of the work, H₁ of P₁₀. Micro-elements of harmony, contour, rhythm, dynamics and character all play into the exploration of the use of the *Grundgestalt* in building the four-part form.

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68 Ibid.
The Prime Row of the Phantasy

Schoenberg constructed a four-part $\text{ABB}^1\text{A}^1/\text{ABA}^1\text{B}^1$ prime row for the Phantasy with symmetry and expressive potential. The fact that he did not open the work with the complete prime row confounded many theorists and scholars. Joseph Rufer and David Lewin present possible explanations for Schoenberg’s use of the first hexachord of Schoenberg’s prime row, $P_{10}$ and its inversion, $I_5$, in the first nine measures.

Rufer discusses the use of the first hexachord in the opening material of the Phantasy. He argues that Schoenberg uses two variations of the row within the Phantasy to allow for more variety. He points to the fact that the first three measures utilize the first hexachord, and measures three to six the retrograde. He also acknowledges that the second half of the series appears in measure 10 for the first time. “This is unusual and possibly is connected with the new type of form shown in this work; the form develops from small ideas and units of form to larger and larger ones.”69 This creates difficulties in analysis. The variation of the row right from the start adds to the complexity of the form. The fact that Schoenberg introduces rhythmic and melodic contour motives, with the first hexachord and its inversion, suggests that he plants the concept of the Phantasy in the first six notes.

David Lewin, in his analytic essay of 1967, notes that the first six notes of the violin line create the first prime hexachord $[579\text{TE}1]$, a member of $\text{sc} \ 6-21 \ (023468)$. Lewin asserts that the first nine and a half measures act as an introduction with the first hexachord. He states, “One of the most striking features of the piece is that until m. 10 only the antecedent forms of the

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hexachords, $H_0^a$ and $h_0^a$, and their retrogrades, are employed.” He proposes that the complete row, $P_{10}$ [T91E57 408362], with a different ordering of the pitches in the consequent hexachord, appears for the first time in measures 9.5-11.71

The accessibility of Schoenberg’s sketches in the archives of The Schoenberg Center dispels any questions about the prime row. Example 1-10 in Chapter 1 displays Schoenberg’s original sketch for the prime row and its inversion. Example 2-1 below transcribes Schoenberg’s sketch and illustrates the two hexachords, which I label $H_1$ and $H_2$, of the row.

Example 2-1: Hexachords of Schoenberg’s prime row for the *Phantasy*

A critical look at the prime row reveals interesting characteristics of symmetry and inversions within the row. The row consists of two combinatorially related hexachords: they are T₃₁-related forms of sc 6-21 (023468). The hexachords, in turn, are built from related trichords. The first hexachord, $H_1$ consists of discrete trichords [A, Bb, C#], a member of sc 3-3 (014) and


71 Previous to Lewin’s study, several theorists, including Polansky, Stein and Allen Forte identified the first twelve notes as the Prime Row. A dissertation, written in 2008 by Hyae Rhyun Yim, “Schoenberg’s Phantasy Op. 47: Analysis by twelve-tone row and hexachordal combinatoriality with suggestions for Performance” bases the analysis on these first twelve notes of the violin line. These twelve notes do complete a row with two combinatorial related hexachords. In fact, the consequent hexachord, [340286] an inversion at I₃ of the antecedent hexachord [T91E57], gives unity and structure to the row. The argument that the first twelve notes establishes the Prime Row has validity because of the combinatorial and inversive relationship. Furthermore, the rhythm, contour, articulations and dynamics defend the argument for the first twelve notes, as the two bars establish gestural, rhythmic and contour motives that Schoenberg develops and varies throughout the work. However, his own sketches provide the information that validate the prime row introduced in measure 9.
[B, F, G], a member of sc 3-8 (026). The second hexachord, H2 consists of discrete trichords [E, C, Ab], a member of sc 3-12 (408), and [Eb, F#, D], a member of sc 3-3 (014). The trichords and the hexachords of P₁₀ of the Phantasy relate and create symmetry.

Example 2-2: Trichords of the prime row

Example 2-2 illustrates the four discrete trichords of the prime row. The outer two trichords, members of sc 3-3 (014), clearly mirror each other and are T₅ related. The two inner trichords vary, but have similarities. All four trichords include an interval-class 4. The two outer trichords also include an interval of a half step or interval-class (ic) 1. The inner trichord (048) includes two major thirds (ic 4), while (026) includes a whole step, (ic 2) and a major third, (ic 4).

At the end of his life, when he wrote this piece, Schoenberg characteristically utilized a Grundgestalt that incorporated two combinatorially related hexachords. This feature creates symmetry within the row and its variations. The prime row for the Phantasy, not only includes two combinatorially related hexachords, but also four related trichords that create a micro-ABB¹A¹ form in terms of pitch. The mirrors and inversions establish symmetry. The four related trichords reflect the relationship between the prime row (P), retrograde (R), inversion (I) and retrograde inversion (RI) within Schoenberg’s twelve-tone system. This does not mean that one cannot hear or analyze the prime row in terms of tetrachords, or other units. Another lens may reveal another dimension. However, for the purpose of this study, I will focus on the trichord.
Mirrors and inversions exist on many levels within the organization of the *Phantasy*, extending to the trichords, hexachords, melodic contour, rhythms, and dynamics. Schoenberg, in his essay on Hauer’s theories states “…in a key, opposites are at work, binding together. Practically the whole thing consists exclusively of opposites, and this gives the strong effect of cohesion. To find means of replacing this is the task of the theory of twelve-tone composition.”

Schoenberg attempts to create cohesion throughout the many levels of the *Phantasy* by building the musical material on small units that reflect the structure of the whole.

Schoenberg incorporates what he considers the best concepts of the past with his twelve-tone system and develops the idea of motivic unity using the prime row, or what he calls the *Grundgestalt*. This basic musical motive establishes the germinal motive on which the whole work evolves and ideally contains the concept of the entire work. Joseph Straus explains:

Through the twelve-tone system, Schoenberg attempts to ensure the motivic unity of his compositions. More specifically, he seeks a means for equaling or surpassing what he considers the greatest achievement of his predecessors, the concentration and coherence of their motivic structure. “For the sake of a more profound logic, the Method of Composing with Twelve Tones derives all configurations [element of a work] from a basic set (*Grundgestalt*) [tone-row or note-series]. The order in this basic set and the three derivatives – contrary motion [inversion], retrograde, and retrograde inversion respectively – is, like the motive [in classical music], obligatory for a whole piece.”

The quality of the unifying set characterizes the organization of the music of Schoenberg. Straus compares Schoenberg’s concept of the *Grundgestalt* to Schenker’s *Urlinie*:

“*The Grundgestalt* is the referential source of musical structure. It has the status in Schoenberg’s

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74 Ibid., 27.
analytical outlook that the tonic triad does in Schenker’s: The irreducible core of musical coherence.”

Straus continues,

In Schoenberg’s view a single Grundgestalt underlies the structure of any piece of music (either tonal or post-tonal) and all the particularities of the surface are derived from it. This is a strikingly contextual view of musical structure. Instead of emphasizing shared musical syntax as the source of musical coherence (as Schenker does), Schoenberg emphasizes piece-specific elements like motives.

Furthermore:

[Schoenberg] obscures crucial differences between tonal and twelve-tone composition. In tonal music the motivic manipulations are constrained by the norms of tonal syntax. In twelve-tone music the motives themselves determine the progression and structure of the music. Yet it is not difficult to imagine why Schoenberg did not want to dwell on such distinctions. He wanted to present himself as the rightful heir to the classical tradition by emphasizing his continuity and connection with his predecessors. At the same time, he sought to prove his own originality and independence, by depicting his predecessors as nascent Schoenbergs. They work with tones of the motif in a relatively rudimentary way; he does so with unprecedented abundance and intensity.

Jack Boss, in Schoenberg’s Twelve Tone Music: Symmetry and the Musical Idea, argues that the Grundgestalt plays a different role from a Schenker line.

Through it plays a similar role as large framework, this musical design is something substantially different from Schenker’s Ursatz, and from recent adaptations of Schenker for Schoenberg’s music, in that it constitutes a diachronic process from beginning to end of the piece more accurately, a master process incorporating numerous subprocesses), instead of a synchronic structure that guarantees coherence from back to front.

Symmetry fascinated Schoenberg and characterized the structure of much of his music from the middle period of his life onward. As he states in Composition with Twelve Tones, (1941),

The two-or-more dimensional space in which musical ideas are presented is a unit. Though the elements of these ideas appear separate and independent to the eye and the ear, they reveal their true meaning only through their co-operation, even as no single word alone can express a thought without relation to other words. All that happens at any

75 Ibid., 28.
76 Ibid.
77 Ibid., 37.
78 Boss, Schoenberg’s Twelve-Tone Music: Symmetry and the Musical Idea, 7-8.
point of this musical space has more than a local effect. It functions not only in its own plane, but also in all other directions and planes, and is not without influence even at remote points. …A musical idea, accordingly, though consisting of melody, rhythm, and harmony, is neither the one nor the other alone, but all three together. The elements of a musical idea are partly incorporated in the horizontal plane as successive sounds, and partly in the vertical plane as simultaneous sounds.  

Schoenberg aimed to bring intellectual and emotional comprehensibility to his compositions through the use of the tone rows as unifying motivic melodic material as well as the cell for the overall formal structure. Schoenberg does indeed compose the *Phantasy* utilizing a four-part tone row with elements of symmetry, and clear unifying motivic melodic and rhythmic material that mirrors the form of the entire work.

**The Principal Hexachord, Grundgestalt and Germinal Motive**

Schoenberg’s complete four-part symmetrical prime row, however, does not open the work. Perhaps Schoenberg purposely obscures his *Grundgestalt*. As Hyde mentions, he was not forthcoming with his compositional thought processes for his works. The prime row of the String Trio, Op. 45, confounded many theorists until his archives became public. The discovery of a sketch of his eighteen-note row for the string trio in the archives cleared up many questions about inconsistency in his use of a twelve-tone row.  

Schoenberg displays his genius three years later, in the *Phantasy*, by distilling his *Grundgestalt* further. My analysis suggests that Schoenberg opens the work with the hexachord, a member of sc 6-21 (023468) as the *Grundgestalt*. The principal hexachord, as the *Grundgestalt*, provides Schoenberg with countless compositional possibilities of exploration and variation through the construction of the *Phantasy*.

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79 Schoenberg, “Composition with Twelve Tones,” (1941) in *Style and Idea*, 220.  
Schoenberg introduces the *Grundgestalt*, which contains the germinal motivic material, in the first measure with the musical characteristics that he continues to develop and vary throughout the work. He claims, in *Brahms the Progressive*:

Intoxication, whether Dionysian or Apollonian, of an artist’s fantasy increases the clarity of his vision. Great art must proceed to precision and brevity. It presupposed the alert mind of an educated listener who, in a single act of thinking, includes with every concept all associations pertaining to the complex. This enables a musician to write for upper-class minds, not only doing what grammar and idiom require, but, in other respects lending to every sentence the full pregnancy of meaning of a maxim, of a proverb, of an aphorism.  

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**Example 2-3: Measure 1 of the Phantasy with set class of trichords**

My analysis suggests that Schoenberg’s creates this *Grundgestalt* with a distinct rhythm, contour, and character built from the principal hexachord and concentrates the seeds of the germinal motive within the first measure. Example 2-3 identifies the two trichords of the first measure: [A, Bb, C#], member of sc 3-3 (014) and [F, G, B], member of sc 3-8 (026). Together, the trichords create a micro AB structure.

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Example 2-4: Measure 1 of the *Phantasy* with contour class of trichords

Schoenberg composes the two trichords with mirroring contours of <012> and <210>, as identified in Ex. 2-4 shown. The declamatory musical gesture introduces the rising and falling motivic ideas developed throughout the work.

The first measure includes the motivic upbeat gesture that Schoenberg develops. The first declamatory accented upbeat on the opening Bb is mirrored at the end of the measure with the upbeat gesture as a downward leap. Example 2-5 identifies the two musical gestures in circles. The gestures’ intervals and musical characters mirror each other. The first upbeat opens the work like a trumpet fanfare. The closing gesture descends and diminuendos like an echoing sigh. Not only do the upbeat gestures imitate each other, the three sixteenth notes act as a hinge in-between the gestures.

Example 2-5: Measure 1 with mirroring upbeat gestures
Example 2-6: Trichords in measures 1-2

Schoenberg expands the *Grundgestalt* and varies the germinal material in the next measure. The trichord sets of the first two measures repeat. Example 2-6 transcribes the first four discrete trichords while example 2-7 shows how they appear in the score. The first two trichords, [A, Bb C#] and [F, G, B], consecutively members of sc 3-3 (014), and sc 3-8 (026), introduce the *Grundgestalt*. Trichords [C, Eb, E] and [D, Gb, Ab], members of sc 3-3 (014) and sc 3-8 (026), answer the opening gesture. The alternation of the sc 3-3 and sc 3-8 create a micro ABA\(^1\)B\(^1\) statement within the first two measures.

Example 2-7: Measures 1-2 shown with trichords

The first and third trichords mirror each other and are inversionally equivalent at I\(_1\). The first notes of these discrete trichords relate by T\(_5\). At this point, this fact appears insignificant. However, it hints at a T\(_5\) relationship between the first two measures. Chapters 3 and 4 examine the importance of this relationship in the overall form.
Example 2-8: The contours of measures 1-2 as ABAB\textsuperscript{1}

A look at the first two measures, in terms of contour class strengthens the argument supporting symmetrical mirroring. Example 2-8 identifies the contour class of each trichord and reveals continued symmetrical patterns. The first two trichords with inverse mirroring contours of <012> and <210> are followed by trichords with contours of <012> and <102>. The first and third measures imitate each other while trichords two and four create variants. In terms of contour, the first two measures create a micro ABAB\textsuperscript{1} form, identified in Ex. 2-8.

Example 2-9: Comparison of interval range between hexachords

The intervallic range of the second trichord extends the range of the first trichord. Similarly, the range of the fourth trichord exceeds the third. Not only that, it is the largest interval in the first two-measure phrase. The highest and lowest notes, in terms of register, appear in the second trichord in each of the two hexachords. They also appear in mirroring gestures in terms of contour (Ex. 2-9). The intervallic range of register of the first hexachord from B\textsubscript{5} down to G\textsubscript{3}, interval 28, mirrors the range of the second hexachord from Ab\textsubscript{3} to Gb\textsubscript{6}, interval 34. The range of the second hexachord exceeds the first in the opposite or mirror
direction. The top note of each gesture rises throughout the line. The issue of register throughout
the work and in terms of the overall formal structure will be discussed in Chapters 3 and 4.

Figure 2-1: Schoenberg’s diagram of wave contours superimposed over melodies

Schoenberg discussed the contours of melodic material in *Fundamentals of Musical
Composition*. He devotes several pages to diagrams, depicting the wave contours in several
masterpieces. Figure 2-1 displays an example of Schoenberg’s visual wave representation of the
contour shapes of several melodies.

Example 2-10: Measure 1-2 with wave contour superimposed

Example 2-10 illustrates the first two measures with the contour superimposed, revealing
the wave contour. The illustration suggests an ABB\(^1\)A\(^1\) form in terms of contour. The two
obvious upward waves, “B”, in the middle of the phrase, imitate each other. The first two notes

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82 Arnold Schoenberg, *Fundamentals of Musical Composition*, edited by Gerald Strang and
Leonard Stein (London: Faber and Faber, 1975), 115.
and last two notes, “A”, create opposite or inverse gestures in terms of intervals and contour. The first two notes, repeated Bb’s are the only two repeated notes in the two bars. The last two notes present the widest intervals between Ab₃ and Gb₆, almost two octaves apart.

Schoenberg explains waves:

A well-balanced melody progresses in waves, i.e. each elevation is countered by a depression. It approaches a high point or climax through a series of intermediate lesser high points, interrupted by recessions. Upward movements are balanced by downward movements; large intervals are compensated for by conjunct movement in the opposite direction. A good melody generally remains within a reasonable compass, not straying too far from a central range.\(^83\)

The wave contour of the first two measures is consistent with Schoenberg’s concept of a well-balanced theme, and establishes another level of symmetry. The two measures create an ABBA\(^1\) in terms of contour.

Michael Friedman proposes several tools for discussing and analyzing contours: the Contour Adjacency Series (CAS), CAS vector (CASV) and Contour Class (CC).\(^84\) He identifies and classifies these in several of Schoenberg’s works, including the Phantasy. Friedman states, “Although I have not explored the subject here, I believe that Schoenberg’s treatment of contour relationships often results in a mapping of elements that functions as a quirky and independent commentary on the mapping of pitch-class relationships, both ordered and unordered. The resulting tension provides a key to his musical personality.”\(^85\) He concludes,

Schoenberg uses contour both in conjunction with pitch class and as an independent structuring tool. His music shows that contour can convey a network of associations different from the one created by pitch, interval, and set class—a network sometimes powerful enough even to integrate gestures into an organic whole. Like all other aspects

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\(^{83}\) Ibid., 16.


\(^{85}\) Ibid., 244.
of Schoenberg’s music, contour serves to create a maximum concentration of expression, as well as to weave an infinitely rich web of structural associations.\textsuperscript{86}

I do not identify the contours with the same detail as Friedman. Friedman classifies many larger units of contours while I focus on the trichord. However, I do agree that Schoenberg uses contour, along with pitch, rhythm and musical characteristics to create an organic form.

\textbf{Example 2-11: Measures 1-2 ABA\textsuperscript{1}B\textsuperscript{1} in terms of set classes}

Schoenberg does not make it easy to identify the four-part forms. The symmetrical organization of the melodic material appears to conflict with a clear four-part square form. Example 2-11 identifies the ABA\textsuperscript{1}B\textsuperscript{1} harmonic form in terms of trichords. The alternating trichords, members of sc 3-3 and 3-8, create the harmonic structure ABA\textsuperscript{1}B\textsuperscript{1}. Example 2-8, shown previously, identifies an ABAB\textsuperscript{1} form in terms of contour class, whereas the wave contour suggests an ABBA. The set classes and contours of the trichords of the first two measures suggest both an ABA\textsuperscript{1}B\textsuperscript{1} and ABB\textsuperscript{1}A\textsuperscript{1} form.

\textsuperscript{86} Ibid.
Example 2-12: Measures 1-2 with inverse rhythmic shapes

Example 2-12, however, identifies mirrors and inversions in terms of rhythm, gesture, character and contour that indicate another dimension to the opening idea. The curved lines connect the notes or gestures with inverse and mirror relationships. The first opening upbeat gesture on a low Bb₃ mirrors the quarter note tied to an eighth on a high Gb₆ at the end. The subsequent accented upward arpeggio inversely mirrors an accented downward arpeggio in the same position in the answering hexachord. The last upbeat gesture of the first hexachord mirrors the first upbeat gesture of consequent hexachord in terms of contour. This example of mirroring does not create an ABB¹A¹ form. However, juxtaposed over the pitch and harmonic content of the hexachords, mirrors and inversions create another dimension to the ABA¹B¹/ABB¹A¹ form. The entire fortissimo first phrase is aggressive and declamatory.

A look at the elements of harmony, contour, and rhythm in the first two measures (Exx. 2-11 and 2-12) supports the concept of a four-part ABA¹B¹ pattern with dimensional mirrors and inversions. The first two measures introduce the motivic, harmonic, pitch, rhythmic and contour mirrors and inversions as well as two distinct melodic motives consisting of an upward and downward arpeggio. Both gestures include the Viennese upbeat.

The T₅ relationship between the first notes of the two hexachords, P₁₀ and its inversion I₃, establishes the importance of T₅. The inversion creates the combinatorially related symmetrical
relationship between the two hexachords. T₅ plays a critical role in the overall structure of the work. The trichords in the first two measures are equivalent via I₁ while the first notes relate by T₅. This relationship seems inconsequential in the opening. However, this transposition, T₅, introduced within the very first two bars foreshadows the importance of T₅ formally in the structure of the work. Chapters 3 and 4 explore the T₅ relationship in detail.

Lewin’s concept, that the first nine measures acts as an introduction, partially applies. The concept of a theme that includes mirrors, inversions and harmonic implications that reflect the structure of the entire work, indicates that the two measures are more of a germinal idea, or Grundgestalt. Schoenberg discusses motive in Fundamentals of Musical Composition, stating, “The motive generally appears in a characteristic and impressive manner at the beginning of a piece. The features of a motive are intervals and rhythms, combined to produce a memorable shape or contour which usually implies an inherent harmony.”⁸⁷ Later, he asserts that

The construction of the beginning determines the construction of the continuation. In its opening segment a theme must clearly present (in addition to tonality, tempo and meter) its basic motive. The continuation must meet the requirements of comprehensibility. An immediate repetition is the simplest solution, and is characteristic of the sentence structure. If the beginning is a two-measure phrase, the continuation (m. 3 and 4) may be either an unvaried or a transposed repetition. Slight changes in the melody or harmony may be made without obscuring the repetition.⁸⁸

I suggest that Schoenberg introduces the principal hexachord [F, G, A, Bb, B, C#], a member of sc 6-21 (023468), as the Grundgestalt of the Phantasy. He responds to the first two-part “AB” hexachord in the first measure with its inversion and develops it through variation in the second measure. As Jack Boss states, “The solutions in these cases typically involves a demonstration of how all the conflicting segments and partitions can be traced back to the

⁸⁷ Schoenberg, Fundamentals of Musical Composition, 8.
⁸⁸ Ibid., 21.
original source row,”89 in this case the principal hexachord. This opening statement introduces not only the first half of the prime row, but also rhythmic, contour, register, dynamic and musical character qualities that establish the recognizable motives and set the foundation for the complete work. Schoenberg sets the stage for the concept of a multi-layered form by not utilizing the complete row in the opening. The AB structure of the *Grundgestalt* allows for multiple four-part combinations, $\text{ABB}^1\text{A}^1/\text{ABA}^1\text{B}^1/\text{AA}^1\text{BB}^1$ to explore and vary, depending on the musical quality of the response. The mirror response creates an $\text{ABA}^1\text{B}^1$ form, while the inverse creates an $\text{ABB}^1\text{A}^1$ form. Schoenberg condenses his *Grundgestalt* concept, utilizing the first hexachord and its inversion within the first two-measure phrase that incorporates several layers of $\text{ABB}^1\text{A}^1$ and ABAB with symmetrical mirrors and inversions.

**The $\text{ABB}^1\text{A}^1$ Theme Design**

Schoenberg develops the *Grundgestalt* through variation and builds a nine-measure twelve-tone modified theme. Schoenberg thought and wrote a lot about the sentence and perhaps adapted and developed this concept to create a phrase model for his twelve-tone system. Aspects of the phrase do resemble features of Schoenberg’s definition of a classical musical sentence. However, Schoenberg modifies his concept in the *Phantasy* to create a four-part $\text{ABB}^1\text{A}^1$ phrase.

Several scholars, including Joel Lester and Christopher Hasty, identify three-part phrases and forms. This paper, however, focuses on the four-part theme construction. In *Classical Form*, Caplin states, “the sentence is normatively an eight-measure structure. It begins with a two-measure basic idea, which brings in the fundamental melodic material of the theme. The basic

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idea frequently contains several distinct motives, which are developed in the course of the theme.\textsuperscript{90}

The first two measures of the \textit{Phantasy} appear to introduce the basic idea; which Schoenberg creates from the \textit{Grundgestalt}. However, a closer look reveals that Schoenberg modifies this concept by introducing the basic material in the first measure. The second measure includes a repetition of the \textit{Grundgestalt}. Thus, first measure contains the “A” part of the theme, while the second measure contains a variation as the “B” phase. The third measure of the \textit{Phantasy} repeats the motivic upbeat gesture, emphasizing the motivic Viennese upbeat used throughout the work. In the \textit{Phantasy}, the upbeat gesture continues as a fragment of the first basic idea.

The second phrase, based on the retrograde of the prime hexachord, develops the \textit{Grundgestalt} harmonically and acts as the “B\textsuperscript{1}” section. The second phrase also incorporates the concept of \textit{liquidation}. Schoenberg condenses the upward arpeggio into one rising intervallic leap. He repeats the condensation in the downward leap. The second continuing phrase audibly includes motivic material from the first \textit{Grundgestalt} on the harmonic retrograde and in a mirroring musical character. The more delicate phrase in a piano dynamic answers the first fortissimo, aggressive gesture.

The overall harmonic structure foreshadows the formal structure of the entire work. The opening material returns at the end of the \textit{Phantasy} in the same pitch area, A\textsubscript{10}. However, the work starts in A\textsubscript{10} with P\textsubscript{10}, but at the end of the work, he reintroduces the opening motivic material with RI\textsubscript{3} as an inversional mirror of the opening. Schoenberg introduces this idea in the

opening theme with the return of the opening idea followed by a cadential phase using the retrograde inversion, RI3. The harmonic structure of the first nine measures, illustrated in Ex. 2-13, establishes the four-part structure with inversions and mirrors: $P_{10}$, $I_3$, followed by $R_{10}$ and $P_{10}/RI_3$.

**Example 2-13: Measures 1-9 as a paradigm for the entire work**

Example 2-14 suggests the theme includes mirror or inverse dynamics as well as articulations. The first three-measure phase includes accents and marcato marks within a “ff” dynamic while Schoenberg indicates the answering phase in a “p” and “pp” dynamic as “dolce”.

**Example 2-14: Measures 1-7 with indications of inverse dynamics**

**Example 2-15: Measures 1-8 with wave contour**

Example 2-15 illustrates the wave contour of the *Phantasy’s* first nine measures, extending from the first *Grundgestalt*. A close look and analysis of the wave contour reveals an $ABB^1A^1$ contour. The contour of the first two measures, “A”, include a double arch and final rising gesture. The final two measures of the sentence, “A^1”, mirror the first two measures with double arches, with an inverse closing downward gesture. The two arches mirror each other, with
the higher pitch range as the second of each pair. Additionally, the lowest note at the end of measure one, mirrors the highest note, the violin harmonic on beat two of measure eight. The two “B” sections of the phrase include inverse upward and downward gestures, creating a symmetrical ABBA in terms of contour.

Christopher Hasty analyzes in detail the first seventeen measures in terms of “a,” “b” and “c” sub-phrases and constituents within larger phrases. He identifies two large phrases each made up of two sub phrases, three parts within each phrase, and states that “what is occurring, I believe, is that the proportions we have gotten used to are growing larger. The end of the first section is expanding--in a sense, slowing down--making room in its own peculiar way for a second section, or rather for what will become a transition to a second section.”91 Hasty recognizes the growth and variety of the basic idea that create the beauty, expressiveness and comprehensibility of the work. He argues that the evolution of the basic idea is part of the process and creates overlapping, ambiguous phrasing. This accounts for the vehement disagreement by musicians, of phrasing in this work.

Schoenberg manipulates his concept of phrase and theme structures to reflect his twelve-tone compositional system within this four-part ABB\textsuperscript{1}A\textsuperscript{1} formal concept. The idea of mirrors and inversions expands from the first measure into a four-part, twelve-tone ABB\textsuperscript{1}A\textsuperscript{1} theme in the first nine bars. He continues to develop the ideas as the section evolves.

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The Prime Row Melodic Variations: Measures 9-11

Schoenberg ends the first phrase with a gesture he develops in the following phrase. The appearance of the first complete prime row in measures 9-11 (Ex. 2-16) almost sneaks in as an afterthought, while referencing the Viennese waltz. Schoenberg builds on a motivic idea introduced in the first sentence, and creates an answer with developing variations. This phrase contains several possible four-part forms, depending on the focus on harmony or contour.

Example 2-16: Measures 9-11

Example 2-17: Measures 9-11 shown with trichords

Example 2-17 identifies the set classes of the trichords of the prime row. The above example identifies the relationship between the first and fourth trichords of the prime row as a $T_5$ transformation. Schoenberg hinted at this relationship in the first two measures. He solidifies the connection in his composing out of the first appearance of the prime row. Schoenberg creates symmetry, not only with set classes of the trichords, but also with the contours.
Example 2-18 identifies the contour class organization of the measures 9-11 indicating similar relationships as the set classes of the trichords. The first two trichords create a mini AB form, with inverse contour classes of <012> and <210>. The contour of the third trichord includes both <210> and <201>, as the last dyad is repeated. One can hear it both ways. Thus, it creates another <210> or “B” contour. However, it also can be heard as a <201> contour, creating a mirror to the fourth trichord, which complicates the dimension. The fourth trichord, which I identify as “A¹”, is a combination of both contours. A look at the wave contour suggests another possible reading.

Example 2-18: Contour class of the trichords in measures 9-11

Example 2-19: Wave contour in measures 9-11

Example 2-19 illustrates the wave contour of the phrase in measures 9-11. The wave contour suggests an ABAB¹ form with alternating upward and downward facing arches.
Example 2-20 suggests another level to the wave contours with overlapping arches. Inverse overlapping arches, indicated by the dotted lines, connect the alternating “AB” arches.

![Example 2-20: Overlapping contours in measures 9 though 11](image)

Harmonically, the trichords create a four-part form with an ABB₁A relationship, as shown in Ex. 2-17. The contour relationship, on the other hand, can be heard two ways. The first possibility of the contour class view (Ex. 2-18) suggests an ABBA₁ form. The second possibility of the wave contour (Ex. 2-20) suggests an ABA₁B₁ form. The concept of a clear ABB₁A₁/ABA₁B₁ form varies depending on the point of focus. The variations between the sections mirror and imitate each other in different patterns. However, the idea of the four-part structure continues to develop, and the complex possibilities create depth.

Taken together, the musical material in measures 1-2 and the prime row in measures 9-11 plant the seeds for the germinal motives of the Grundgestalt. Examination of the first two measures, based on the Grundgestalt, or first hexachord of P₁₀, and its inversion I₁, as well as the first appearance of the complete prime row, P₁₀, in measures 9-11, introduce motives and gestural elements that create unity and structure for the entire work.

The opening section of the Phantasy introduces rhythmic motives, characters, and melodic contours in phrases that mirror each other, create symmetry, and as a result unify the work. The prime row phrase, in measures 9-11, continues to explore variations on the response to the symmetric Grundgestalt introduced in the first measure. The concepts of mirrors and
inversions appear consistent throughout the four-part modified theme and following variations that develop within each section.

Motivic Development throughout the Work

The four-part concept of gestures and phrases continues throughout the first section that I label the “A” section. The *Piu mosso* in measure 25, the second part of the first “A” section, begins with a virtuosic passage consisting of furiously rising swirling gestures. Example 2-21 illustrates the ABB¹A¹ form seen with the trichord set class members. Schoenberg composes this passage from the inversion of the prime row starting on [C], or I₀.

Example 2-21: Measure 25 ABB¹A¹ form with trichords

Example 2-22: Measure 25 ABAB contours

The concept of symmetry and mirroring remains consistent in terms of the contour class and rhythms of the trichords. The first and last trichord, with inverse contours of <120> and <021> mirror each other. The inner two trichords with inverse contours <021> and <120> mirror each other (Ex. 2-22) creating a micro ABAB. The rhythm of the trichords mirror each other.
with the rest beginning the gesture followed by the three thirty-second notes. The following trichord answers with the mirror rhythm of three thirty-second notes followed by a rest. The articulation of the following hexachord also includes mirrors with the slurs and staccato notes.

Example 2-23: Trichords in measures 64-72

The four-part idea with multi-dimensional mirrors and inversions continues throughout the first section and into the variations of the middle section. Example 2-23 illustrates the dark and expressive variation that begins in measure 64. This phrase, built on the inverse I₁ variation of the row, creates a micro ABB¹A¹ in terms of the trichord set classes, as shown in Example 2-23.

Example 2-24: Contours of the trichords in measures 64-72

Examination of the contour of the phrase in measures 64-72 reveals several possibilities. Example 2-24 identifies the contour classes of the trichords suggesting an ABB¹A form. The first and last trichords, both members of the <120> contour class, bookend the phrase. The middle two trichords do not obviously relate. However, a look at the phrase in terms of the wave contour, suggests another possible hearing.
Example 2-25: Wave contour of measures 64-72

Example 2-25, which illustrates the wave contours, suggests that the first two trichords create inverse arch gestures. The first trichord, with a rising interval 1 followed by a descending interval 4, mirrors the answering gesture that opens with a larger interval 6 followed by a smaller interval 2. The second pair of trichords create obvious inverse arches with a falling arch answered by a rising arch. This view does not create a four-part form, but supports the concepts of symmetrical mirrors and inversions. However, examination of overlapping wave contours suggests a four-part form.

Example 2-26: Overlapping wave contours in measures 64-72

Example 2-26 illustrates overlapping contour waves, indicated with the dotted lines. The overlapping wave contours create an ABBA form with the “A” contours created by falling arches, and the “B” contours rising arches.

Rhythmically the trichords create an ABBA in terms of length of notes. The final “A” trichord, a rhythmic augmentation of the first trichord, is almost exactly twice the value. The two “B” trichords’ relationship is more complex. Perhaps Schoenberg achieves variation through rotation within groups. Rotating the Eb to the front of the third trichord would create another exact rhythmic augmentation of the previous trichord. This rotation also creates mirroring
contour classes. In this case the “B” trichords would contain inverse contours of <021> and <210>.

It is interesting to note that a look at the phrase in terms of dyads, Example 2-27, reveals that the larger intervals of the second half of the phrase answer the smaller intervals in the first hexachord. The final falling interval of 8 inversionally mirrors the first ascending interval of 1. The second to last descending dyad of interval 7 inversionally mirrors the second ascending dyad of interval 2. The middle two dyads, both preceded by a quarter-note rest, include a falling interval 2, and a falling interval 8. This eight-measure phrase is the lowest and most condensed phrase in the entire Phantasy, in terms of the contour. The range of the entire phrase spans only a major seventh or interval 11.

Example 2-27: Measures 64-72 dyad intervals and inversions

The above section discusses in detail the micro-elements of several phrases within the first “A” section of the Phantasy as well as one of the variations in the following “B” section. Examination of the subsequent variations of the Phantasy suggests multiple symmetrical four-part ABB₁A¹/ABA¹B¹ phrases. However, to build the argument for a four-part overall form, I only discuss a few.

Violin and Piano Aggregates

The complex relationship between the piano and the violin parts suggests multi-dimensionality, as well as validates the possibility of a symmetrical ABB¹A¹/ABA¹B¹ four-part structure. As Schoenberg states in Fundamentals of Musical Composition:
As a unifying device the accompaniment must be organized in a manner similar to the organization of a theme: by utilization of a motive, the motive of the accompaniment. The motive of the accompaniment can seldom be worked out with as much variety and development as that of a melody, or theme. Its treatment consists, rather, of simple rhythmic repetition, and adaptation to the harmony. Its special form must be so constituted that it can be modified, liquidated or abandoned, as the nature of the theme demands.\footnote{Schoenberg, \textit{Fundamentals of Musical Composition}, 83.}

The piano consistently utilizes an aggregate. Examination of the trichords in the first measure suggests a micro ABA\textsuperscript{1}B\textsuperscript{1} (Ex. 2-28). The violin opens the movement with a declamatory upbeat gesture introducing the trichord [A, Bb, C\#], a member of sc 3-3 (014). The piano interrupts the violin, after the reiteration of the opening Bb, with a tetrachord. The first three notes of the tetrachord can be heard as [C, D\#, E], also a member of sc 3-3 (014). The violin continues with [F, G, B,], member of sc 3-8 (026). The piano answers with a reiteration of the first tetrachord, imitating the opening one note reiteration of the violin’s Bb. Schoenberg completes the hexachord in the piano answer that creates the trichord [D, Gb, Ab], a member of sc 3-8 (026). The trichords alternately create an ABA\textsuperscript{1}B\textsuperscript{1} form. However, hearing the opening in terms of tetrachords and dyads creates another possibility.

\textbf{Example 2-28: Violin and piano trichords in measure 1}
Example 2-29 identifies the first ascending four-note violin gesture coupled with the piano’s response with a four-note descending gesture. Tetrachords, \([A, B, Bb, C\#]\) and \([C, D, D\#, E]\), both members of sc 4-2 (0124) have opposite contours and rhythmic gestures. The piano contour \(<3210>\) mirrors the violin contour of \(<0123>\), with the inverse rhythmic relationship. The violin gesture starts with eighth and quarter notes followed by sixteenth notes. The piano starts with thirty-second notes followed by a longer sixteenth. A descending dyad answers the tetrachord in the violin line. The piano repeats the tetrachord, mirroring the opening repeated notes of the violin, followed by a descending dyad that mirrors the violin dyad. The tetrachord/dyad view suggests another four-part form, \(ABA^1B^1\) or \(AA^1BB^1\), depending on the relationship between the violin and piano. The call and response view creates an \(AA^1BB^1\) relationship. The violin complete measure followed by the piano creates an \(ABA^1B^1\).
Example 2-30: Hexachords in the violin and piano parts in measures 1-2

Examination of the hexachords of the first two measures supports the $\text{ABB}^1\text{A}^1$ relationship between the violin and piano. Example 2-30 identifies the first six-note violin gesture [F, G, A, Bb, B, C#] coupled with the piano's six-note gesture consisting of the complementary hexachord [C, D, Eb, E, Gb, Ab]. Both six-note gestures are members of sc 6-21 (023468). In the second measure the instruments exchange hexachords. The harmonic relationship between the violin and piano part create a four-part $\text{ABB}^1\text{A}^1$ structure as well as symmetry.
Example 2-31: Measure 25 indicating ABBA form with hexachords

Another beautiful example of violin and piano aggregates occurs in measure 25, a passage discussed in terms of the violin line in the previous section. A more detailed look at the complete score in measure 25 (Ex. 2-31) identifies a four-part, ABB₁A₁ symmetrical construction based on the harmonic prime rows. In this case, the piano initiates the passage, which I label “A” with the hexachord [D, E, F#, G, Ab, Bb] member of sc 6-21 (023468), that the violin responds with its complementary hexachord [A, B, C, C#, Eb, F]. These hexachords together, present the complete inversion starting on [C], labeled I₀. The violin line presents both hexachords of I₀ in order. The piano part presents them in the opposite order. Between the violin and piano, the hexachords create an ABB₁A₁ form. The violin line consists of linear melodic motion while the piano line states the material vertically.

The rhythmic and contour relationship between the violin and piano strengthens the concepts of symmetry, mirrors and inversions. The aggregate relationship between the violin and piano remains consistent throughout the work.
Transition to the Second or “B” Section

Schoenberg ends the opening section, in measures 32-33 (Ex. 2-32) with a two-measure phrase echoing the first two measures. This phrase appears to answer and complete the first original thought. The opening phrase, based on the first hexachord and its inversion, is answered at the end of the section with the same rhythmic and musical characteristics in a two-measure phrase with the complete prime row. Schoenberg opens the *Phantasy* with an AB question, and closes the section with an AB¹ answer. Rhythmically the two phrases mirror each other. However, musically they appear as inversions. The closing passage with a lyric *dolce* phrase in a *piano* dynamic answers the opening aggressive, *forte* passage. The contours are also inversions. The opening passage explodes with a wide contour of interval 35, while the section closes with its answer in a narrower range of interval 25.

Example 2-32 also identifies a mini ABB¹A¹ in terms of articulation. The contrasting lengths of the first and last notes, a sixteenth and a dotted half, surround two identical rhythmic and contour gestures with inversional articulations. The first, a *dolce legato* gesture in *piano*, is followed by a *tenuto* gesture with an expressive dynamic hairpin. This phrase supplies another answer to the declamatory opening statement of the *Grundgestalt*.

Example 2-32: Measures 32-33 with articulation comparisons.

Schoenberg builds the *Phantasy* from the *Grundgestalt*, in the first measure, first theme, and first section, through various combinations of rows, pitch areas, and musical moods.
Schoenberg explores various responses to the AB Grundgestalt question that opens the work. The many possibilities of composing out from the Grundgestalt create multi-dimensional four-part forms, depending on the musical quality. The same phrase or section can include both ABA\textsuperscript{1}B\textsuperscript{1} and ABB\textsuperscript{1}A\textsuperscript{1} forms, as well as superimposed three part forms depending on the lens of focus: harmonic, contour class, wave contour, range, dynamics or articulations.

The middle portions of the work, the two “B” sections, consist of several contrasting variations of the Grundgestalt. The middle ground of the Phantasy continues to evolve from the inside out to form ABB\textsuperscript{1}A\textsuperscript{1} and ABA\textsuperscript{1}B forms with multi-dimensional symmetry. The first and last phrase of the first section, as discussed above, set the stage for the next chapter.
Chapter 3
FOUR-PART ABB\textsuperscript{1}A\textsuperscript{1} FORMAL DESIGN OF THE PHANTASY

Exploration of the overall form for the \textit{Phantasy} suggests a symmetrical four-part ABB\textsuperscript{1}A\textsuperscript{1} structure. The most compelling, but difficult argument in support of the overall four-part ABB\textsuperscript{1}A\textsuperscript{1} design derives from the contrasting musical motives, characters and moods of the sections. Examination of the pitch areas, transformations and contours support this four-part concept. Additionally, each of the large sections sub-divides into four parts. These four internal sections often mirror the overall ABB\textsuperscript{1}A\textsuperscript{1} form, but not always. Zeroing in on the different qualities of mood, character, pitch area and contour within each section reveals variations of the four-part form. In this chapter, the four-part internal sections are labeled with lower case “ab” letters for the purpose of clarity. The variations include “abab”, “baba”, “aaba”, “baab”, “baac”, “aabb”, “aaaa”, “bbbb” as well as “abba” formal organizations. The articulation of the four sections at every level reflects changes in character or mood supported by changes in pitch areas through transpositions and large-scale projections of contour.

The organization of this chapter falls into three areas of discussion that focus on the four-part design in terms of mood, followed by organization of the pitch areas and issues of contour. Discussion of these three categories covers two levels: first, the overall design suggested by each category, followed in turn by the four-part articulations within each section.
Example 3-1: Tipton’s overall ABB\textsuperscript{1}A\textsuperscript{1} outline of the *Phantasy*

Example 3-1 displays the overall four-part ABB\textsuperscript{1}A\textsuperscript{1} outline of the *Phantasy* that includes the tempo indications, metronome markings, pitch areas, and dynamics. The four sections explored and defined consist of “A” in measures 1-33; “B” in measures 34-84; “B\textsuperscript{1}” in measures 85-153; and the concluding “A\textsuperscript{1}” in measures 153.5 through the final measure 166.

**Overall Four-Part Design in Terms of Musical Character or Mood**

Exploration of a four-part design that includes musical qualities and moods suggests an overall ABB\textsuperscript{1}A\textsuperscript{1} form in which the moods of the “A” sections differ dramatically from those in the “B” section. Discussion of the form in terms of character or mood creates a challenge as well as supplies the ambiguity that creates the impression of a free form that obscures a fixed formal design. The exploration of mood involves not easily quantifiable musical qualities including...
musical character, dynamics, timbre, tempo and textures. In general, the declamatory, furious moods of the “A” sections contrast with those in the “B” sections that include elements of nostalgia, references to Viennese waltzes, scherzos and tributes to Schoenberg’s musical heritage. Example 3-2 illustrates the overall ABB\textsuperscript{1}A\textsuperscript{1} outline of the work with a focus on the tempos and musical characteristics.

Example 3-2: Overall ABB\textsuperscript{1}A\textsuperscript{1} outline in terms of tempo and mood

Arnulf Mattes, in “Radiant Moments of Remembrance: on Sound Sheets in Schoenberg’s Late Chamber Works,”\textsuperscript{93} suggests that Schoenberg’s exploration of Klangfläche, or “sound sheets,” (Mattes term for mood) plays into his overall concept of free form. In a letter to his former student, Josef Rufer, dating from 1951, Schoenberg seemed to dismiss questions regarding formal design and twelve-note structure in the Phantasy, emphasizing the quintessentially expressionist quest for creating forms free of convention. Form, according to Schoenberg, is the unhindered flow of musical ideas conceived and juxtaposed spontaneously.\textsuperscript{94}

Mattes explores his idea of Klangfläche through the second section of the work focusing on the Lento phrase in measures 40-51 of the Phantasy. This phrase quotes measures 602-607 of


\textsuperscript{94} Ibid., 45.
Schoenberg’s *Die Jakobsleiter*, written for the off-stage violin solo. Mattes discusses this appearance of this phrase in measures 40-51 (Ex. 3-3) of the *Phantasy* as an example of *Klangflächen*.

The frequent appearances of “ethereal sonorities” and “celestial moods” in Schoenberg’s works prior to world War I, from “Entrückung” (the final movement of the Second String Quartet) to *Die Jakobsleiter*, transfer the nineteenth-century ideas of absolute music as the supreme organon of truth – the substitute for religion and theology in a secularized world – to the early twentieth century...The features of instrumental timbre, articulation, texture, and instrumentation that comprise Schoenberg’s *Klangflächen* acquire “extra-musical” significance through their association with key text-bound metaphors such as light, radiance, and ascension. In this way the concept of the *Klangfläche* goes far beyond the scope of mundane category of texture composition or style analysis. Schoenberg’s *Klangflächen* convey musical and extra-musical dimensions, sensuous experience, and mystical vision.

Mattes continues,

This essay [the essay “Composition with Twelve Tones” (1941)] is saturated with poetic references to metaphors of light, heavenly space, and mystical visions, mixing technical language with allusions to the book of Genesis and Swedenborg’s mystical theosophy. Schoenberg’s letters to such friends as Busoni, Zemlinsky, and Kandinsky from the period prior to World War I demonstrate that his concept of the musical idea was always anything but formalistic. In a letter to Alma Mahler in 1910 he wrote that music is nothing but ‘colours, noises, lights, sounds, gestures, gazes’.  

Schoenberg himself argues that the flow of musical ideas based on emotional quality or contrasting expressions of character aid in the freedom of expression and can support a free

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95 Ibid., 53.
96 Ibid., 47.
97 Ibid., 45.
formal design. In “Brahms the Progressive,” he states that a free formal design may include emotional and mood elements, as well as harmonic, rhythmic, and motivic.

Asymmetry and imparity of structural elements are no miracle in contemporary music, nor do they constitute a merit. A contemporary composer connects phrases irrespective of their size and shape, only vigilant of harmonic progression, of rhythmic and motival contents, fluency and logic….Merits of contemporary compositions may consist of formal finesses of a different kind. It may be the variety and multitude of the ideas, the manner in which they develop and grow out of germinating units, how they are contrasted and how they complement one another; it may also be their emotional quality, romantic or unromantic, subjective or objective, their expression of moods and characters of illustration.98

Throughout the movement, the sections flow through areas with contrasting musical characteristics. These moods, although not all precisely the Klangfläche described by Mattes, possess distinct qualities and personalities. Mattes suggests an outline for the first “B” section based on musical characteristics, or moods, that he labels Klangfläche (displayed later in this chapter in Ex. 3-18.) This first portion of the chapter builds on his model and suggests similar mood outlines for each section, based on timbre, dynamics, tempo, and register that create distinct musical characters. These mood outlines, in turn, support Schoenberg’s concept of a free form with subtle formal designs inspired by musical ideas.

The outer “A” sections contain and develop similar declamatory motives. The opening “A” section introduces the distinct explosive musical gestures and spiral motives of the Phantasy. The musical mood and character of the final “A” section imitates the opening “A” completely, except for its brevity. The final “A” section appears as a summary, by including the opening declamatory explosive statement as well as the virtuosic flourishes of the second half of the opening section starting in measure 25. Detailed discussion along with diagrams of these two

musical characters appears in Chapter 1. Example 3-4 and 3-5 redisplay the motives of the two “A” sections side by side. Example 3-4 shows the clear imitation of the rhythm, arpeggiated contour, dynamics, and articulation of the opening motive with its return in measure 154.

Example 3-5 defines the second motivic phrases as sub-sections “b1” (these lower case labels will be discussed in detail in the following sub-chapter). This example illustrates the similarity of the rhythm and characteristic spiraling gesture of the phrases in measure 25 with measure 161.5.

Example 3-4: The opening gesture in “A” followed by its motivic return at “A1”

Example 3-5: The motivic gesture in measure 25 and its return in “A1” in measure 161.5

The two “A” sections include the most virtuosic violin techniques that include double stop harmonics, extreme changes in register, tremolos, and pizzicatos (shown in the following sub-chapter). These “A” sections clearly bookend the Phantasy.
The middle portion of the work, which includes two “B” sections, at first, appears as a sequence of variations without formal design. However, the symbolic references to Schoenberg’s past create structure for the middle section of the work that includes a distinct formal delineation at measure 85. Section “B” commences with a change from the square 4/4 meter to a dance-like 3/4 as well as a change in tempo and a complete change of mood. Both “B” sections contain qualities of nostalgia and tributes to Schoenberg’s musical heritage and past. Sabine Feisst, in *Schoenberg’s New World: The American Years* suggests that:

The *Phantasy*’s fragments of a “broken” sonata and splinters of waltzes and Ländler may be seen as nostalgic symbols of a European culture shattered by the Nazis. Moreover, the *Phantasy*, coincidentally or not, points to Schoenberg’s Jewish Identity and spiritual quest at that time. As Mattes discovered, Schoenberg included in the *Phantasy*’s lento section an ethereal violin passage (mm. 40-51) with a remarkable affinity to the opening off-stage violin solo of *Jakobsleiter*’s “Great Symphonic Interlude: (the movement following ‘The Dying one’). He contemplated this oratorio’s completion in the 1940s and pondered the preparation of a performable version in the 1950s when he knew he would not finish it.99

Schoenberg introduces the first playful, dance-like Scherzando at measure 85, the delineation point between the two “B” sections. With the exception of Lester and Lewin, all theorists mentioned in Chapter 1 -- Rufer, Stein, Polansky and myself -- recognize a formal shift in measure 85. The pace and mood of the music changes noticeably from lyric and somber, to dance-like and playful. The meter of “B1” remains in 6/8 in a new faster tempo. Lester’s view, which includes considerations of mood, incorporates both “B” and “B1” into one large “B” section. Lewin’s view, based on his study of hexachords and pitch areas, does not support the idea of a formal break at measure 85. However, considerations of mood that include tempo, texture, dynamics, and character strongly suggest a formal break at measure 85.

Tributes to Brahms and Schubert flank these two “B” sections. Schoenberg wrote much about the influence of various composers on his artistry, including Brahms and Schubert. He explains that he learned from “Brahms structural finesses, the richness of his fundamental harmony, the beauty of his melodies; Schubert’s ability to use rather simple structural devices, in spite of which he could ennoble a popular touch in his melodies.”\textsuperscript{100}

Schoenberg wrote much about Brahms’ extraordinary style of composition in his essay “Brahms the Progressive.” He learned a great deal about asymmetrical phrases from studying Brahms. Schoenberg opens the second or “B” section, with a beautiful, lyric, and expressive phrase in a 3/4 meter (Ex. 3-6). He designates the violin line as \textit{cantabile} with eighth-note subdivisions and the piano part as \textit{legato}, written with triplets. Although not a direct musical quotation, the example in measure 34, with the two-against-three rhythms and cross-measure phrasing, pays tribute to Brahms’s progressive genius.

\begin{figure}[h]
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\includegraphics[width=0.5\textwidth]{example3-6.png}
\caption{Example 3-6: Musical reference to Brahms in measure 34}
\end{figure}

Schoenberg modeled his String Quartet #3 Op. 30 (1926) on Schubert’s “Rosamunde,” String Quartet in a minor, D. 804, Op. 29. The final section includes the musical tip of the hat to Schubert. Schoenberg introduces the sixteenth- and eighth-note (Ex. 3-7) in the transition to

Example 3-7: Sixteenth-note motive in measure 134

the final section between measures 134-135. Schoenberg then returns to the original pitch area of his prime row in measure 143 with the same sixteenth-note motive.

Example 3-8: Musical reference to Schubert in measures 143 and 149

Example 3-8 depicts both the sixteenth-note motive reintroducing the prime row, P10, and the repeated figure. Schoenberg introduces the motive on E4, in measure 134, and later directly quotes Schubert’s Eb4 piano trio with the same figure on Eb in measure 149 (Ex. 3-8).

This motive appears in the Schubert trio in the recapitulation of the first movement, played first by the piano in eighth notes and then by the violin an octave higher (measures 444-445 shown in Ex. 3-9). The use of this motive in the *Phantasy* pays tribute to Schubert’s trio.

Example 3-9: Measures 444-445 of the first movement of Schubert’s Eb piano trio

Several aspects of this quote are noteworthy. The quote pays tribute to Schoenberg’s musical home of origin and heritage. It also occurs at the end of the section that starts exactly 100 measures after his tribute to Brahms. The Brahms tribute opens the “B” section, at measure 34, while the Schubert quote closes the “B¹”, at measure 134 that starts the final phrase of this section. These tributes bookend the large middle portion of the work designated as “B” and “B¹” and suggest musical symmetry. The variations between the two tributes include references to waltzes, and elements of nostalgia. The following portion of the chapter examines the internal sub-sections within each ABB¹A¹ of the overall form.
Example 3-10: Four-part outline in terms of the metronome markings and meter

The outline of the tempo and metronome markings displayed in Example 3-10 supports the four-part ABB\(^1\)A\(^1\) concept. Schoenberg designates the outer “A” sections, with Tempo I in a 4/4 meter as well as with the metronome marking of \( \text{j}=52 \). The “B” section commences with a slower, \textit{meno mosso} tempo, in a dance-like 3/4 meter with a metronome marking of \( \text{j}=46 \). Most of section “B” remains in a slow tempo. The section also contains two contrasting slightly more flowing sections. The second part of “B” returns to Tempo \( \text{I} \) at metronome marking \( \text{j}=52 \), followed by \( \text{j}=80 \). This pattern mimics the markings of “A” suggesting a return. However, the musical material differs and in “B” refers to tempo rather than character. The relationship between the tempo markings of the opening and measure 64 becomes relevant when viewing the overall form in comparison to Schoenberg’s rectangular sketch, which will be discussed in Chapter 4.

The delineation between the two “B” sections occurs at measure 85 with the onset of the faster \textit{Scherzando}, in a 6/8 meter. Schoenberg designates “B\(^1\)” with the fastest metronome marking in the work at \( \text{j}=112 \). Most of “B\(^1\)” remains in this faster tempo with two slightly contrasting slower sections at the \textit{Poco tranquillo} and \textit{meno mosso}. Both “B” sections contain alternating slow and faster, flowing sections. However, the orders differ. In “B” the sections
move from slow-fast-slow to fast, while in “B1” the opposite occurs with the sections moving from fast-slow-fast to slow.

Example 3-11: Four-part dynamic scheme of the *Phantasy*

The dynamics also support the overall concept of the ABB1A1 form. Example 3-11 depicts the overall dynamic scheme. The outer two “A” sections remain in a fierce *ff*, with a few contrasting moments. The two “B” sections have opposite dynamic shape. The first “B” section opens in *p* and gradually crescendos to *ff* at the end of the section. Section “B1” starts in *f*, winding down to a *p* with the Schubert tribute at the end of the section, directly before the explosive return of the opening material at “A1”.

The outline of the musical moods, which includes the meter, tempos, and dynamics, supports the idea of four-part ABB1A1 form with symmetry. The nature of the musical ideas creates the impression of a free-flowing design. However, a four-part form emerges to support the flow of musical ideas. The outer “A” sections include the pure Schoenbergian motives and gestures that characterize the *Phantasy*. The “A” sections surround the larger “B” sections of the work, which reference Schoenberg’s legacy, heritage and past. The following section examines these tributes.
Four-Part Articulations of Mood within Each Formal ABB₁A¹ Section

Four-Part Mood Scenes of “A”

Example 3-12: Four-part “abb¹a¹” mood scenes of “A”

Example 3-12 illustrates the musical and dynamic characteristics and moods of the four “abb¹a¹” sub-sections within “A”. As mentioned previously, the first section opens with an aggressive, declamatory statement. The second part of the phrase, however, appears in a piano dynamic and introduces a dance-like quality with the triplets. A short phrase, in measures 32-33, that mirrors the opening statement and closes the formal section “A” to create a sub-section with an “abb¹a¹” form that reflects the overall ABB₁A¹ design of the entire work.

The opening and closing phrases of “A” that include “a” and “a¹” bookend the section and contain similarities as well as differences. This design mirrors the ABBA design of the complete work. The closing statement of the first “A” section in measures 32 to 33, representing “a¹”, creates a contrasting response to the opening gesture in measure one from the response in measure two. Measure 32 begins with a note-by-note replica of measure 1.
Example 3-13 depicts the phrases beginning in measure 1 and measure 32 side by side. The answer to the first half of measure 32 differs harmonically from the response in measure 1. Schoenberg answers the first half of the phrase in measure 32 with the second hexachord, H₂ of P₁₀ completing his prime row, rather than the inversion, I₃, that he uses in measure 1.

![Example 3-13: Comparison of the phrases in measures 1-2 with measures 32-33](image)

Schoenberg changes the character dramatically between the two phrases. He composes the opening *forte* statement with accents and specifies a *passionate* performance. The closing statement in measures 32-33 appears melodically under a slur stipulated with *dolce* and a *piano* dynamic. In other words, measure 32 represents a lyrical, melodic expression of the prime row in contrast to the opening aggressive, declamatory statement of the principal hexachord and its complementary inversion. The contour of the phrase in measures 32-33 covers a smaller range, interval 25, than that of measures one to two, interval 35. The phrases mirror each other harmonically, with identical first hexachords, and variations within the second set of hexachords. However, the character and dynamics differ dramatically and give rise to the possibility of musical inversions. Sections “a” and “a¹” contain similar pitch and melodic shapes, with opposite musical characters, creating inverse symmetry.

The second section “b”, starting in measure 9, commences with a *piano* dance-like quality that quickly spirals into a furious and subsequent *pesante* phrase. The dance-like triplets foreshadow the extension of the dance-like sections in the large formal “B” section of the work and reference the waltz. The following measures of “b” require a lot of extended violin
techniques and virtuosic histrionics that create excitement. The extended techniques (Ex. 3-14) include double-stop harmonics that introduce the highest notes of the work. These circled highest notes, which sound as E\textsuperscript{7} and Eb\textsubscript{7} as harmonics, are later repeated as solid notes at the end of the large section “B”. Thus, the high harmonics of this section foreshadow the solid highest notes of the work, Eb\textsubscript{7} at the end of the third section and D\#\textsubscript{7} on the last note of the work.

Example 3-14: Extended techniques in measures 14-19 with high harmonics circled

The third section (“b\textsuperscript{1}”) starts in a piano dynamic, like “b” with the motivic furioso, spiraling thirty-second notes at measure 25, previously shown in Example 3-5, at metronome marking 80. This leads to other virtuosic violin histrionics and pesante triple stops in fortissimo, (Ex. 3-15). These sections get softer into the final or fourth section, “a\textsuperscript{1}”.

Example 3-15: Measures 27-29 with violin virtuosic passages and triple stops

As discussed above, the closing section, “a\textsuperscript{1}” (measure 32) presents a phrase with the opposite or inverse character of the opening phrase, based on the same pitch area, and contour. Schoenberg marks this area as Poco meno mosso, distinguishing it from the following section, Meno mosso, that commences “B” with a metronome marking \( \textit{j} = 46 \). Poco meno mosso implies a
little faster than *Meno mosso* and perhaps suggests the opening metronome marking of $J=52$.

Examination of the musical moods, including the dynamics, tempos and character suggests a four-part “abb’a’” form in “A”.

Four-Part Mood Scenes of “B”

Example 3-16: Four-part “aba1b1” mood scenes of “B”

Exploration of the moods in section “B” suggests an “aba1b1” variation of the four-part design. Example 3-16 focuses on the musical characteristics of the sections within “B”.

<table>
<thead>
<tr>
<th>Tempo</th>
<th>Piu mosso</th>
<th>Poco meno</th>
<th>LENTO</th>
<th>Grazioso</th>
<th>Tempo I</th>
<th>Piu Mosso</th>
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<tr>
<td>bars</td>
<td>25-31</td>
<td>32-33</td>
<td>40-51</td>
<td>52-63</td>
<td>64-71</td>
<td>72-84</td>
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Example: 3-17: Mattes outline of moods of his part 2, or “B”

As mentioned in the beginning of this chapter, Mattes provides an outline (Ex. 3-17) that defines this section in terms of musical characteristics. Mattes’ outline differs from the one shown above, in the articulations within his part 2. No designation of an overall formal design is

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102 Mattes, “Radiant Moments of Remembrance: on Sound Sheets in Schoenberg’s Late Chamber Works,” 55.
indicated. However, he does provide a point of departure for discussion on the structure in terms of mood.

Larry Polansky describes the opening of this section as follows:

The *Meno Mosso* section beginning at ms. 34 relaxes both the rhythmic and melodic density, and one is reminded of another great Fantasy, the Mozart D minor for piano. K. 397, where the same sort of dramatic textural contrast occurs so often.....The section that follows, mm. (32) 34-52 is one of the most extraordinary in the piece. .....mm 34-38b present a relatively song-like idea, with a rather typical (Brahmsian) broken chord accompaniment, followed by what seems to be an even more deliberately Brahmsian passage (mm. 40-44), with the piano ostinato dreamily underscoring the slowest violin melody in the work. Here the term fantasy is interpreted not with respect to the overall form, but in regard to moods. It is not surprising that the Brahms *Fantasien* (op. 116), with all their diverse formal characteristics but clear “modal” consistency were among Brahms’ last works.103

The opening two phrases, both melodic and lyrical, provide a contrast to the surrounding sections and create the “a” section of “B”. This includes the phrase that pays tribute to Brahms, in measures 34-39, followed by the quote from *Jakobsleiter* in measures 40-51. The significance of the appearance of both phrases in this work suggests memory and nostalgia, and provides a significantly contrasting musical experience to the surrounding music. The *Jakobsleiter* phrase, in *pianissimo* and in an extremely high register for both instruments, introduces an otherworldly quality to the musical moment.

The effect of the texture might be described as a standstill, imbued with a sense of vibrant tension. This episode constitutes one of the most beautiful passages in the work, representing its work-immanent past and future, to speak in temporal terms. For an instant the harsh sonority and shattered syntax are suspended, as is the insistent and relentless drive of the rhythmic-motivic momentum. In terms of *Formenlehre*, the lento would probably be characterized simply as a further extension of the more subdued lyrical and melodic character of the preceding *Meno mosso*.104

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104 Mattes, “Radiant Moments of Remembrance: on Sound Sheets in Schoenberg’s Late Chamber Works,” 50.
Both phrases pay homage to the past.

Example 3-18: Section “b” of “A” with Viennese waltz character

The “a” section segues into “b”, which also references Schoenberg’s past with its Viennese waltz character in a 9/8 meter (Ex. 3-18). The reference to the waltz hints at its strong associations for Schoenberg and references his past. Joel Lester suggests:

Waltzes carried powerful connotations for Schoenberg—they were in a way the official popular music of the Austro-Hungarian Empire, written by “Waltz King” (a significant nickname!) Johann Strauss. Celebrating the old regimes and their cultures that died with World War I. Schoenberg loved Johann Strauss’s music. When Schoenberg was young and earning a living by making arrangements of other composers’ works he lavished loving care on his chamber version of Strauss’s Emperor’s Waltz.105

Example 3-19: Phrase in m. 64-72 representing German expressionism

The waltz-like “b” section leads to the dark, expressionistic phrase, labeled “a1” that begins in measure 64. This phrase (Ex. 3-19), the lowest and darkest phrase in the work, and full of pathos, hints at a caricature of late German expressionist music. This also references Schoenberg’s past as it hints at Schoenberg’s early style, of which Verklärte Nacht os am exemplar. This phrase suggests the musical inversion of the ethereal Klangfläche music of the

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Lento phrase in section “a”. The ethereal “a” section, in *pp*, and in a very high register, mirrors the “a” phrase in *f* and in a low register.

The final phrase, section, “b1”, returns to a dance-like feeling that builds to a *furioso* conclusion. This section (Ex. 3-20), although not in the dance-like 9/8 meter, includes many dance-like triplets. The two faster sections of “B” that include “b” and “b1” both have a dance-like quality, while the two sections, “a” and “a1” include more melodic qualities.

![Example 3-20: Measures 72-73 displaying the dance triplets of “b1” of “B”](image)

Examination of the metronome markings also suggests an “aba1b1” concept within “B”. Schoenberg marks the “a” sections with similar metronome markings of *♩*=46 and *♩*=52 consecutively. Both “a” sections have melodic characters and reference Schoenberg’s musical past. The first “a” contains a tribute to his musical legacy as well as his opera, *Jakobsleiter*. The next “a”, or third section, refers to extreme musical German expressionism, which influenced the early works of Schoenberg. Schoenberg specifies both “b” sections with faster tempos. The first “b” section has a metronome marking of *♩*=56 to the dotted quarter, while in the second “b1”, or fourth section, Schoenberg specifies *♩*=80 to the quarter. These markings suggest similar quick tempos, taking into account the difference in note values of the markings. If one does the math, the eighth note for the first “b” section would be *♩*=168 while the eighth note of the next “b” section would be *♩*=160. The ratio between the two “b” sections correlates to the difference in the marking between the two “a” sections.
Examination of the dynamics suggests symmetry but not necessarily an “abab” form. A close look reveals parallel hairpins. The first half of section “B”, from “a” to “b” exists within a *piano* dynamic with a slight crescendo. The second half of “B”, from “a′” to “b′”, remains in a *forte* and crescendos to a *fortissimo*. Exploration of the moods in section “B, which includes character, historical references, meter, tempo and dynamics, suggests an overall “aba′b′” form.

**Four-Part Mood Scenes of “B′”**

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<td></td>
<td>b</td>
<td>a</td>
<td>B′</td>
<td>b</td>
</tr>
<tr>
<td>85 -92</td>
<td>93 - 102</td>
<td>110- 116</td>
<td>117 -134</td>
<td>135-143-153</td>
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<tr>
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<td>Tranquillo</td>
<td>Scherzo:</td>
<td>Meno</td>
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<td>♩/=112</td>
<td>dolce</td>
<td>♩/=112</td>
<td>♩/=70</td>
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<td>dolce</td>
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| Playful dance | < | playful dance | | }

**Example 3-21: Four-part “baba′” mood scenes of “B′”**

Moving on to the sub-sections in “B′”, Example 3-21 displays the outline of this section in terms of musical character moods and reveals another variation, “bab′a′”, of the four-part design. The *Scherzandos*, the first starting in measure 85 and the second in measure 117, pay homage to Viennese playful dance-like scherzos and alternate with slower and more *dolce* melodic sections.
Example 3-22 displays the contrasting sections: the first measure of the first scherzo alongside the subsequent tranquillo passage. Keeping in mind that “b” designates the dance-like sections of “B” section “B°” acts as its inverse. “B°” starts with a dance-like “b”. The dance-like sections alternate with more lyric sections to build a four-part “baba°” form.

![Scherzando and Tranquillo](image.png)

**“a”**

**Example 3-22: Scherzando (measure 85) as “b” and Tranquillo (measure 93) as “a” of “B°”**

The metronome markings support this “bab°a°” four-part design. The playful dance-like sections both labeled as *Scherzando*, relate with the same metronome marking of J. =112.

Schoenberg assigns the *Meno* with a metronome marking of J. =70. Although he does not specify a metronome marking of the *Tranquillo*, the music suggests a similar tempo to the *Meno*. The metronome marking of J. =112 defines the “b” sections, while the tranquillo and *meno* at J. =70 define the “a” sections (Ex. 3-21). It is interesting to note that the metronome marking of J. =112 of the dance-like sections in “B°” exactly doubles the metronome marking of the first dance section “b” of “B” at metronome marking J. = 56.

A look at the dynamics indicates a symmetrical dimension, as well as a four-part design. Both “b” sections begin in *forte*, and both “a” sections begin in *piano*. The two inner sections incorporate inverse hairpins and suggest symmetry.
Exploration of section “B’” through the musical mood that includes character, tempo and
dynamics suggests a “bab\textsuperscript{1}a\textsuperscript{1}” form. This four-part form represents an inverse form to the “abab”
design of section “B”, with alternating melodic and dance-like sections.

**Four-Part Mood Scenes of “A’”**

<table>
<thead>
<tr>
<th></th>
<th>Character</th>
<th>Dynamics</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Passionato</td>
<td>ff</td>
</tr>
<tr>
<td>b</td>
<td>Recitative</td>
<td>p</td>
</tr>
<tr>
<td>b’</td>
<td>furioso</td>
<td>f</td>
</tr>
<tr>
<td>ab</td>
<td>Pesante – furioso</td>
<td>ff, fp, ff, sf</td>
</tr>
</tbody>
</table>

Example 3-23: Four-part “abb\textsuperscript{1}(ab)” mood scenes of “A’”

Example 3-23 portrays the character scenes of “A’” along with the dynamics and
suggests yet another “abb\textsuperscript{1}(ab)”, or modified “a” variation of the four-part form. Examination of
the musical character within this section reveals symmetry and the final response to the opening
statement or question. The onset of this section brings back the opening material in an
aggressive, *passionate*, declamatory statement as “a” in *fortissimo*. A brief passage in *piano*, in
measure 158, provides contrast and a respite from the ferociousness of the surrounding music,
with a recitative-like gesture. The *furioso* upward spiraling music that clearly recaps the *pesante*
music of measure 25 leads to the final statement. This final statement spans a range from G\textsubscript{3}, the
lowest note, to the highest solid note, D#\textsubscript{7}, of the work in a gesture that starts from *fortepiano* and
explodes through *fortissimo* to a final *sforzando* in *fortissimo*. Perhaps this final section
represents a variation on the alternating “ab”. The final section represents a microcosm of the entire work. The “ab” represents the original hexachord as the Grundgestalt of the Phantasy.

An exploration of the form of the Phantasy in terms of musical mood suggests an overall ABBA form supported by four-part sub-sections. However, the structure of the sub-sections varies consecutively from “abb1a1”, “aba1b1”, “bab1a1”, to “abb1(ab)”. These reflect the overall ABB1 concept, with inverse symmetry between the middle two “B” sections, whose sub-sections mirror each other with their “ba1b1” and “ba1a1” designs.

**Overall Four-Part ABB1A1 Form in Terms of Pitch Areas and Transformations**

![Diagram showing ABB1A1 form]

**Example 3-24: Overall ABB1A1 outline of pitch areas of the Phantasy**

A look at the pitch areas and the transformations between sections supports the concept of an overall ABB1A1 form with mirrors and inversions. The pitch area organization of the internal or sub-sections suggests four-parts. The pitch area transformations between the large formal sections occur mostly at T5 while the internal movement within sections occurs mostly at T9, with a few exceptions. Example 3-24 depicts the overall outline of the pitch areas with transformations.
The outer “A” sections begin and end in the prime pitch area of A$_{10}$. Schoenberg introduces and builds the opening musical material in the opening “A” section with the prime hexachord, its inversion and then the complete prime row, P$_{10}$. He builds the final “A$_{1}$” section with the inverse variation, or the retrograde inversion RI$_{3}$. Thus, Schoenberg creates harmonic mirrors within the overall form, through the return of the musical motives of the opening material in the return at measure 154, on the retrograde inversion RI$_{3}$, of the prime row.

Schoenberg moves the music between sections “A” and “B”, at measure 34, with a T$_{5}$ transformation, from A$_{10}$ to A$_{3}$. The shift of mood between “A” and “B” at measure 34 is subtle, while the harmonic shift from A$_{10}$ to A$_{3}$ via the T$_{5}$ transformation suggests the formal hinge. Examining the T$_{5}$ transformations on the linear outline does not necessarily reveal its overall importance. This becomes clearer when looking at the outline in a rectangular formation that reflects Schoenberg’s sketch (discussed in more detail in Chapter 4). However, looking at the linear outline does reveal other T$_{5}$ connections between large sections as well as the repeat of the sequence in “A”, from A$_{7}$ to A$_{4}$ to A$_{1}$ in “B”.

A view of the four-part form in terms of mood, substantiated by the pitch areas and transformations, reveals a clear delineation between “A” and “B”, with “A” centered in A$_{10}$ and “B” starting in A$_{3}$. The view in terms of mood and character blurs the exact boundary. Several theorists, Stein and Mattes, consider the hinge to be at measure 32 with the poco meno mosso. However, the T$_{5}$ transformation that commences with the Brahmsian phrase supports the argument for a formal shift at measure 34 (Ex. 3-24).

The delineation between sections “B” and “B$_{1}$” at measure 85 involves a T$_{9}$ pitch area transformation from A$_{5}$ to A$_{2}$. This harmonic motion supports the change in mood, but does not necessarily suggest a formal hinge, as T$_{9}$ occurs regularly within sections. In terms of pitch areas,
this shift corroborates Lewin’s view and does not point to a formal hinge at measure 85.
However, the $T_9$ transformation is a subtle harmonic shift that supports the more obvious formal shift suggested by mood and character.

**Four-Part Pitch Area Articulations within Each of the ABB$^1$A$^1$ Formal Sections**

*Four-Part Pitch Area Articulations in “A”*

![Diagram of Four-Part Pitch Area Articulations in “A”]

**Example 3-25: Four-part “abb$^1$a$^1$” pitch areas and transformations of “A”**

Examination of the pitch areas and transformations of the “A” section suggests a four-part “abb$^1$a$^1$” at an internal level. Example 3-25 illustrates in detail the pitch areas and transpositions of the first “A” section (measures 1-33). $T_9$ plays a significant role in the flow of music between phrases. Within this section, $T_9$ occurs four times. The points at which the transitions take place vary. Sometimes the transposition occurs at the outset of a new section, sometimes before, and sometimes after creating overlaps. The transpositions suggest a complex four-part form. The first $T_9$ transposition does not occur until the end of the “b” section at measure the end of measure 21. This slow harmonic rhythm contrasts the quick harmonic rhythm of the following “b$^1$” section.

Section “a” establishes the pitch area $A_{10}$, while section “b” moves the music to pitch area $A_7$ via $T_9$. The music rapidly transitions to pitch area $A_4$ via another $T_9$ transformation in the first few measures of “b$^1$”, followed by another transformation to pitch area $A_9$, followed by $A_1$. 

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The motion from A4 to area A9 transforms via T5. T5 plays a significant role between the large sections in the overall formal design, while T9 plays a more important role within the sections. The T5 transformation that occurs at the beginning of “b” at first appears insignificant, but represents a germinal concept that Schoenberg utilizes in the overall design (to be discussed in Chapter 4).

The final pitch transformation, from A1 to A10, passing through A9, also occurs via T9. The “ab” and “b1a1” halves mirror each other in these transformations: “a” to “b” occurs with a slow transposition while the harmonic motion accelerates rapidly in the beginning of “b1” followed by a slower motion to the final “a1” to A10. The transformation from A7 to A4 to A1 to A10 creates a pattern that Schoenberg utilizes again in “B1”. Schoenberg creates in “A” a four-part “abb1a1” with overlapping pitch areas. The pitch area design does not obviously create a four-part design. However, a close look at the transformations suggests an underlying four-part “abb1a1” concept in which the T9 transformation plays a significant role.

**Four-Part Pitch Area Articulations in “B”**

<table>
<thead>
<tr>
<th></th>
<th>a</th>
<th>b</th>
<th>a’</th>
<th>b’</th>
</tr>
</thead>
<tbody>
<tr>
<td>34</td>
<td>36</td>
<td>38b</td>
<td>40-51</td>
<td></td>
</tr>
<tr>
<td>52</td>
<td>63</td>
<td>64-71</td>
<td></td>
<td>72-84</td>
</tr>
</tbody>
</table>

Examination of the pitch areas of the “B” section suggests a four-part “aba1b1” form, in contrast to the “abb1a1” of section “A”. Example 3-26 outlines the pitch areas and transpositions.
of “B” that includes four distinct pitch areas. Section “a” based in A₃ transitions into “b” via a T₉ transformation to pitch area A₀. This transformation occurs at the onset of the “b” section. Schoenberg then transitions to A₈ through a T₈ transformation at the end of section “b”. The following section remains in A₈ and transitions to A₅ via another T₉ transformation, six measures into “a¹”. The pitch area transformations mirror each other within the “B” section, in that the transformations overlap. The slow harmonic rhythm of this section occurs in “b”. Again, T₉ plays a crucial role in the transformations, with the help of T₈. T₅ also plays a role in the relationship between A₃ and A₈ and contiguously between A₀ and A₅ (Ex. 3-26). This T₅ relationship is not as obvious as the T₉. The T₅ relationships are reflected over areas, but not between adjacent sections. The T₅ relationship in section “B” between the internal sections foreshadows the role it plays in the overall form. Examination of the pitch areas of the sections suggests a four-part “aba¹b¹” form for the “B” section of the Phantasy. The “a” sections relate to each other by T₅ as do the “b” sections, while “a” relates to “b” by T₉.

Examination of the pitch areas and transformations of section “B” suggests a four-part concept. However, the exploration of the pitch areas in this section suggests the four-part variation “aba¹b¹” where the internals motion occurs via a T₉ transformation, and section “a” relates to “a¹” and “b” to “b¹” by T₅.
Four-Part Pitch Area Articulations in “B¹”

Example 3-27: Four-part “bab¹a¹” pitch areas and transformations of “B¹”

Exploration of the pitch area transformations of section “B¹” (Ex. 3-27) shows the fast and most complicated harmonic rhythm of the *Phantasy*. As mentioned above, the transformations vary in placement, and sometimes occur before or after the onset of each section. The first section, in A₂, transitions to A₁₁ via T₉ eighteen measures after the start of the second section. However, shortly after, the harmonic rhythm increases and transitions to A₇ via T₈, mirroring the T₈ transformation within the second or “b” section of “B” (Ex. 3-27). A T₉ transformation follows transitioning directly into the third section in A₄. Section four follows with another T₉ transformation to A₁. The end of this section returns to the original A₁₀ via a T₉ transformation, concluding this portion of the work.

Schoenberg repeats the transformation from A₇ to A₄ to A₁ to A₁₀ that he uses in the opening “b¹” section of “A” in “B¹”. In “A” this rapid harmonic motion occurs in its “b¹” section, perhaps foreshadowing its reappearance in the second half of “B¹”. The harmonic rhythms alternate slow and fast. The first and third sections remain in one pitch area, while the second and fourth include movement between pitch areas. The pitch areas and transformations suggest a four-part form defined as a “bab¹a¹” form because the final “a” returns to the prime pitch area of A₁₀. The return to A₁₀ at the end of the section inversely relates to the beginning of
the “B” section, which transitions at the end of “A” to “B” at A\textsubscript{10}. Like section “B”, the internal movement in “B\textsuperscript{1}” occurs via T\textsubscript{9} transformations. The relationship between the “b” sections exists because the sections remain in one pitch area, versus the “a” sections, which contain two pitch areas. A look at the pitch areas and transformations supports the “bab\textsuperscript{1}a\textsuperscript{1}” concept of section “B\textsuperscript{1}”.

**Four-Part Pitch Area Articulations in “A\textsuperscript{1}”**

Examination of the pitch areas and transformations of section “A\textsuperscript{1}” reveals the simplest version of the “abb\textsuperscript{1}a” form. Example 3-28 focuses on the pitch areas and transformations within “A\textsuperscript{1}”. The harmonic rhythm of this section is the least complex of all the sections. Schoenberg opens “A\textsuperscript{1}” with music that mimics the opening in terms of character, contour, rhythm and gesture. This statement harmonically returns to the original A\textsubscript{10} and clearly represents a return of the opening material. However, as mentioned previously in this chapter, the music here returns in the retrograde inversion form, RI\textsubscript{3}, of the row to provide an inverse harmonic experience from the opening. The music remains in RI\textsubscript{3} within “A\textsuperscript{1}” except for a brief move to A\textsubscript{3} in measure 161 with the prime row version of A\textsubscript{3}. This time he brings back the musical material from section “b\textsuperscript{1}” of “A”.
Within the “A1” the music transitions from A10 to A3 via a T5 transformation, between “b” and “b1”. This T5 transformation references the pitch area transformation from A10 to A3 that occurs between the large formal sections “A” to “B”. This section is the only one of the four that does not utilize a T9 transformation. Rather Schoenberg utilizes one transformation, T5, briefly and then returns to A10. This fact heightens the importance of T5, as this section appears to present a microcosm of the entire work. The return from P3 back to P10 occurs via a T7 transformation. However its inverse transformation, or mirror image hints at a T5 inversion or plagal cadence. The view of the pitch areas and transformations in “A1” subtly suggests a four-part “abb1a1” form, in that the “b” section transitions into A3 while “b1” returns to A10.

Analysis of the of the pitch areas in the sub-sections of overall form supports the four-part ABB1A1 concept. The pitch areas of the outer “A” and “A1” sections, composed in A10, incorporate four part “abba” sub-sections. The pitch areas of the “B” sections, although more complex, suggest four-part forms, “aba1b1” and “bab1a1” consecutively.

**Overall Four-Part Concept of Contour**

Exploration of the overall contour of the *Phantasy* does not reveal a definitive symmetrical four-part form. However, detailed discussion about the contour of internal sub-sections suggests several variations on the four-part designs, as well as symmetry. The exploration of the contour in terms of contour segment (CSEG), wave contours and intervals, involves the creation of a range of notes for each section. A contour segment (CSEG) consists of numbers that identify their register order. In *Introduction to Post-Tonal Theory*, Joseph Straus explains: “The numbers are then arranged in order to describe the musical contour…. [to create] a
contour segment or CSEG.” I assign four outlining notes create a CSEG for each section. These notes consist of the first and last notes, as well as the highest and the lowest notes of each section. The lowest notes often include the violin’s lowest note of the “G” string, while the highest notes vary considerably. Other methods of analyzing contour exist. However, this method, which gives an overall contour of a section, provides an informative angle for examination.

Example 3-29 displays the wave contour of the entire work. A view of the contour in terms of the highest notes suggests a four-part variation, AABA, with the highest notes defining the “A” sections. In the first “A” section, the highest notes occur as harmonics, while the high notes in the following sections occur as solid notes. The harmonics foreshadow the explosive solid high notes at the end of “B” and the final note of the work. This overall view of the contour appears insignificant. However, a detailed look at the contour within each sub-section reveals significant patterns.

Example 3-29: Overall wave contour of the Phantasy

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Four-Part Articulations of Contour within Each of the ABB¹A¹ Formal Sections

Four-Part Articulations of Contour within “A”

Example 3-30: Four-part “aaba” CSEG design within “A”

Example 3-30 illustrates the first, lowest, highest and last notes in each of the four sections within “A” that suggest an “aaba” variation of the four-part form. The four notes create an outline of the section. Example 3-31 identifies the contour segment (CSEG) of the outlining notes. The outlining CSEG of section “a”, <1032>, repeats in the adjacent section “a”. The CSEG of section “b” creates an inverse mirror with <2301>. Identifying a comparable CSEG for the final “a¹” section creates a challenge, as the first note is also the lowest note. For the purpose of comparison, the first note has two numbers, 1 and 0, in order to classify a four-note CSEG. The final “a”, looking at it with the first note representing “10”, repeats the <1032> of the first two sections, creating a four-part “aaba” form. However, the “10” number placement within the contour class of the first note could also be “01” creating a <0132> contour. This contour resembles “a” with one rotation of the contour. This also creates a four-part “aaba¹” variation of the form.
Example 3-31: Four-part “aaba” contour wave design within “A”

Examination of the contour waves in “A” reveals an alternate view of the “aaba” four-part form that suggests symmetry. Example 3-31 depicts contour waves over the outline notes of each internal section. The four-note section outlines labeled as “a” reach their peak on the third note in contrast to those labeled “b” that peak on the second note of the group. The second “a” resembles the first section, with the lowest and highest notes, consecutively as the second and third notes of the four-note contour. The second section varies slightly by ascending to a higher third note, followed by the fourth note that is higher in register than the fourth note of the first section. The contour wave of the third section creates a mirror, or inverse, of the preceding section, with the inverse placements of the lowest and highest notes, as second and third. The final or fourth section, consisting of only three notes, resembles the first section. The wave contour of the “A” section suggests an “aaba1” form.

Example 3-32: The four-part “abb1a1” overall contour & “aa1bb1” intervals of “A”

Example 3-32 depicts a third way to examine the contour of “A” that incorporates the overall contour supported by the interval ranges of each sub-section. The overall contour wave suggests an arch that rises to the second section and descends to the fourth section. The overall
arch of the contour wave suggests an “abb₁a₁” with the highest notes in the middle two sections. However, the intervals, with the largest intervals as “a”, the diagram suggests an “aa₁bb₁” form. This example does not necessarily support a definitive four-part form, but it does suggest symmetry with inverse shapes. The second half of the entire section inversely mirrors the first half.

The view of the four-part form of the CSEG and contour waves within “A”, suggests an “aa₁ba” design. The overall contour with intervals suggests two variations as “abb₁a₁” and “aa₁bb₁”. The fact that the different views yield varying results does not weaken the argument for a symmetrical four-part form. Rather, the variations illuminate Schoenberg’s genius in artistic variation that camouflages his exact concept of the structure.

Four-Part Articulations of Contour within “B”

Example 3-33: Four-part “abb₁a₁” CSEG design within “B”

Examination of the contour of section “B” suggests an “abb₁a₁” four-part design. Example 3-33 illustrates the first, lowest, highest and last notes of each section. The example identifies the CSEG of outlining notes of each section and reveals that the contours of the first two sections inversely relate with <1032> mirroring <2301>. Sections three and four mirror each other the same way consecutively, with CSEG <2301> and <1032>. A look at the CSEG
suggests an “abba” four-part form for section “B” with “a” having a CSEG of <1032> and “b” its inverse of <2301>.

Example 3-34 illustrates the contour waves of the four sections within “B”. The first and second sections mirror with wave contours consisting of an inverse order between the lowest and highest notes. The contour wave supports the CSEG view of the internal sections creating an “abb₁a₁” four-part form within “B”.

![Example 3-34: Four-part “abb₁a₁” contour wave design within “B”](image)

Example 3-35 depicts the overall contour wave of section “B” and identifies the interval range of each section. The overall convex contour of “B” (Ex. 3-35) creates an inverse to the concave wave of section “A” (Ex. 3-32). In “B”, the overall “baab”, with “b” representing the highest notes creates the inversion to “A” with the “abba” convex pattern. This “baa₁b₁” design in “B” contradicts the notion of an “abb₁a₁”. However, this pattern supports the concept of inverse symmetry and suggest that Schoenberg rotates elements from section to section. The range of the intervals suggests an “abb₁a₁” concept, with the largest intervals, as “a” surrounding the smaller intervals as “b”.

![Example 3-35: The four-part “baa₁b₁” overall contour & “abb₁a₁” intervals of “B”](image)
The highest note of this section, Eb7 occurs in “A” at the end of the final sub-section in measure 75. Interestingly, the highest note of the first “A” section, E7 occurs in the middle of its “b” section at the end of measure 16. Thus, the Eb occurs in “b” of A and inversely in “a1” of B. The fact that the phrase with the smallest interval range of 11 directly precedes the section with the largest interval range of 44 provides a noteworthy musical extreme contrast in the middle of the work. The views of the CSEG, contour wave and overall contour with interval range within section “B” all suggest an “abb1a1”, with the “baa1b1” inverse variation.

Four-Part Articulations of Contour within “B1”

Example 3-36: Four-part “b'ab'a” CSEG design within “B1”

Examination of the contour of section “B1” reveals three variations on the concept of a four-part form, including “bab1a1”, “aaaa” and “bbbb”. Example 3-36 illustrates the pitch outlines of the internal sections of “B1” and identifies their CSEG. The outline of the first “b” section of “B1” creates a <2031> CSEG. The adjacent section follows with an inversion with the four notes <1032> CSEG, like the “a” section of “B”. The last note of the fourth section is both the highest and last. For purposes of comparison, two numbers are assigned to the last note creating a CSEG of <1032>. The third and fourth sections repeat the pattern of the first two sections with the <2031> and <1032> CSEG. Examination of the CSEG of “B1” suggests a four-part “b'ab'a” form, with CSEG <2031> as “b’” and <1032> as “a”. This creates an inversion of the CSEG patterns within section “B”, with “a” as <1032> and “b” as <2301>. The “a’s” in “B”
and “B₁” are identical, while the “b’s” vary, with “b” as <2301> and “b₁” with reversed inner numbers as <2031>.

Example 3-37: Four-part “ababⁿ” (“aaaa”) contour wave design within “Bⁿ”

Example 3-37 portrays the wave contours of the internal sections of “Bⁿ”. At first look the wave contours appear very similar and create an “aaaaⁿ” four-part form. However, the first and third sections resemble each other with their descents to the final notes, respectively to Eb₄ and E₄. The second section relates to the fourth in that contour descends to a note significantly higher than sections one and three. The final section differs in that it ends with its highest note, A₆. Examination of the contour wave reveals both, “aaaa”, and a subtle “ababⁿ” form.

Example 3-38: The four-part “abbᵃᵃⁿ” overall contour and “bbbb” intervals of “Bⁿ”

Example 3-38 depicts the overall contour wave of “Bⁿ” and interval range of each section. The overall contour wave of this section does not vary drastically. The top notes of each section indicate a gentle rise in register, with an initial dip. The descent by interval one of the first two high notes inversely mirrors the interval one ascent from the penultimate to the final highest note. This creates a subtle “abbᵃᵃⁿ”. The interval range indicates that the contour of the overall section remains more consistent and stable than the previous “A” and “B” sections with a smaller range, creating “bbbb”. This differs from the impression one gets when analyzing the
complex pitch-area arrangements and transformations. The views of the CSEG, contour wave, and overall contour with interval range within “B\textsuperscript{1}” suggest five different four-part designs, “b\textsuperscript{1}ab\textsuperscript{1}a”, “abab\textsuperscript{1}” “aaaa”, “abb\textsuperscript{1}a\textsuperscript{1}”, and “bbbb” consecutively.

**Four-Part Articulations of Contour within “A\textsuperscript{1}”**

Example 3-39: Four-part “baac” CSEG design within “A\textsuperscript{1}”

Example 3-39 portrays the CSEG of the outlining notes within section “A\textsuperscript{1}” that suggests a “baac” variation. The first section, with CSEG <2031>, inversely relates to the subsequent section with CSEG <1302>. The third section repeats the <1302> pattern. Thus far, the section appears to build an “baab” form. However, the final section does not complete the pattern. The final section, with the final containing both the two highest notes, has a CSEG of <1023>, which does not relate to the others. The CSEG of the final section gives the impression of a new “baab” form. Schoenberg creates variations in the way he develops and composes out the material and continues to confound. However, examining the contour wave of section suggests another possibility.
Example 3-40: Four-part “abb1a1” contour wave design within “A1”

Example 3-40 illustrates the contour waves of the internal sections of “A1”. The first two sections inversely mirror each other with the waves. The first “a” section consists of the lowest and highest notes as the second and third in the outline. The consecutive “b” section consists of the opposite order, with the lowest and highest as the third and second notes. The next “b” section repeats the wave pattern of its previous “b” section. The final section, the most similar to the wave in “a”, shoots the pattern into the heavens with its ascent to the highest solid and concluding note of the work. Exploration of the form contour wave suggests an “abba1” pattern.

Example 3-41: The four-part “bb1b1a” overall contour and intervals of “A1”

Example 3-41 depicts the overall contour wave of “A1” as well as the interval range of each section. The overall contour wave, at first, appears to continue the pattern of the previous section, although in a higher range. The final gesture hits the wave out of the ballpark into the atmosphere with a heroic gesture. The wave continues to rise, unlike the previous section that includes an initial downward dip. The pattern of the interval ranges indicates a subtle “bb1b1a” form.
The views of the CSEG, wave contour and overall contour, with interval range within “A₁” suggest three four-part designs, “baac,” “abb₁a¹” and “bb₁b₁a”. Examination of the contour within all of the sections reveals several variations on the four-part form that include interesting patterns as well as symmetry.

| A | CSEG | a | a | b | a | B | a | b | b | a | B | a | b | b₁ | a | A¹ | a | b | a | a | a | b | b | a |
|   | Wave | a | a | b | a₁| a | b | b₁| a₁| a | a | a | a | b | b | a | a | b | a | a | b | b | a |
|   | Overall/ Interval | a | b | b₁| a | b | a | a₁| b₁| a | b | b₁| a₁| b | b₁| b₁| a | a | b | b₁| a | b | b | b₁| b₁| a |
|   |   | 42 | 45 | 37 | 28 | 33 | 29 | 11 | 44 | 35 | 34 | 37 | 36 | 38 | 39 | 39 | 44 |

Example 3-42: Summary of the contour in terms of CSEG, wave and interval range

A detailed examination of the contour within each section of the *Phantasy* (Ex. 3-42), reveals many variations on the four-part design. These variations suggest symmetry within each section, while camouflaging the overall form. The various combinations of elements each could suggest a different overall form and does not necessarily support the overall ABBA concept. However, examination of the contour within the sub-sections suggests four-part concepts. The study of the contour supports the concept of symmetry within the ABB₁A¹ design, as well as presents an overall concept when looking at the form in relationship to the rectangular sketch (and explored in more detail in Chapter 4).
Summary of Four-Part Design Incorporating Elements of Pitch Area, Contour & Mood

Example 3-43: Overall outline of section “A”

Example 3-43 depicts the outline of section “A” that includes tempo markings, time signatures, characters, dynamics and pitch areas. It is interesting to note that the opening “a” within the “A” section (measures 1-9.5) is longer than the final “a1” section in measures 32-33. The “b” sections are also longer: “b” from measure 9.5-24 and “b1” from measure 25-31. This mirrors the design of the entire piece. The “A” section, 33 measures in length, is twenty measures longer than the final thirteen-measure “A1” section (Ex. 3-46). Both “B” sections exceed the length of “A”. “B” consists of fifty-one measures and “B1” sixty-nine measures, larger by eighteen measures. The ratio of size, with “A” twenty measures longer than “A1” and “B1” eighteen measures longer than “B”, creates symmetry as well as architectural balance.

Exploration of the pitch areas, contour and musical moods, shown in Ex. 3-43, within the first “A” section suggests several four-part forms. The lens through which one examines the section yields different variations and combinations of “a” with “b”. The musical moods suggest an “abb1a1” (Ex. 3-12), as does the pitch areas (Ex. 3-25). The CSEG and wave contour suggests “aaba1” (Exx. 3-30 and 3-31), while the overall contour suggests “abb1a1” (Ex. 3-32).
Schoenberg creates a multi-dimensional four-part section. Depending on the aspect of examination, the form varies, creating complexity and depth.

**Example 3-44: Overall outline of section “B”**

Example 3-44 depicts the overall outline of section “B”, identifying the musical characteristics as well as the pitch areas. The view through the mood or character scenes in “B” suggests an “aba¹b¹” form (Ex. 3-16), with alternating cantabile, melodic, and dance-like sections. The pitch areas support the “aba¹b¹” four-part form (Ex. 3-26). However, the contour, including CSEG, wave and overall, suggests another dimension with an “abb¹a¹” four-part form (Exx. 3-33, 3-34 and 3-35). Schoenberg creates depth and complexity by rotating the contrasting qualities of pitch, contour and character within the four parts.
Examination of the pitch areas, transformations, contour, and moods of the internal sections of “B¹” (Ex. 3-45) suggests several possible four-part forms. The musical moods suggest a “bab¹a¹” design (Ex. 3-21). The design of pitch areas and transformations is the least obvious “bab¹a¹” form (Ex. 3-27). The CSEG suggests a “b¹ab¹a” form (Ex. 3-36) while the contour wave suggests “abab¹” (Ex. 3-37), and the overall wave with interval range an “abb¹a¹” and “bbbb” (Ex. 3-38). Once again, exploration of Schoenberg’s compositional design reveals multi-dimensions, with each level having its own design within an overall “bab¹a¹” concept of “B¹”.
Example 3-46: Overall outline of section “A$^1$”

Example 3-46 depicts the overall outline of “A$^1$”, the final and shortest section of the Phantasy. The brevity of this section generates difficulty in definitively identifying four sections. This final section brings back material from the opening and presents new possible responses to the opening statement. Examination of the final “A$^1$” of the Phantasy provides difficulty in identifying patterns of design consistent with the previous sections. The moods suggest a new form “abb$^1$(ab)” (Ex. 3-23). The pitch areas suggest a subtle “abb$^1$a$^1$” (Ex. 3-28). The CSEG suggests “baac” (Ex. 3-39), wave “abba$^1$” (Ex. 3-40) and wave plus interval “bb$^1$b$^1$a” (Ex. 3-41). The complexity and depth provide a concise synopsis of the work. The final section, when taken apart with a toothpick, reveals subtle divisions and variations. The fact that Schoenberg varies the final section, yet again, provides evidence of his musical genius and creativity.

Examination of the mood, pitch areas, transformations, and contours within the four sections shines a different light on dimensions and formal possibilities. No single view creates a strong argument for a definitive four-part form. However, a view that encompasses all elements, mood, pitch, and contour supports the ABB$^1$A$^1$ design.
The combinations of “a” and “b” vary depending on the lens of examination, as seen in Example 3-47. The combinations and variations include “abb'\text{a}^1”, “aba'b^1”, “bab'a^1”, “aa'ba”, “bba'b”, “baac”, “aa'bb”, “bb'b'a”, “bbbb”, “aaaa” and an extended variation, “abb'(ab)”. For the most part, the concepts create “abb'\text{a}^1”, “aba'b^1”, “bab'a^1”, forms and support the overall ABB^1A^1 concept with multi-dimensions. The final section creates the biggest problem in identifying an exact form for comparison. This mirrors the structure of Schoenberg’s prime row, in that the fourth trichord varies. Schoenberg appears to add another dimension while rotating elements to create depth.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>B^1</th>
<th>A^1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mood</td>
<td>abb'\text{a}^1</td>
<td>aba'b^1</td>
<td>baba</td>
</tr>
<tr>
<td>Pitch/transformations</td>
<td>abb'\text{a}^1</td>
<td>aba'b^1</td>
<td>bab'a^1</td>
</tr>
<tr>
<td>Contour class, CSEG</td>
<td>aaba</td>
<td>abba</td>
<td>b'ab'a</td>
</tr>
<tr>
<td>Wave Contour</td>
<td>aaba'\text{i}</td>
<td>abb'a^1</td>
<td>aaaa</td>
</tr>
<tr>
<td>Contour with intervals</td>
<td>abb'a^1</td>
<td>baa'b</td>
<td>abb'a^1</td>
</tr>
<tr>
<td></td>
<td>aa'bb</td>
<td>abb'a^1</td>
<td>bbbb</td>
</tr>
</tbody>
</table>

**Example 3-47 Overview of the four-part variations of the sub-sections of ABB^1A^1**

Detailed examination of mood, pitch areas, and transformations within each section supports the concept of a four-part ABB\textsuperscript{1}A\textsuperscript{1} form, in which the internal sections contain four parts that suggest overall symmetry. The moods and pitch areas suggest symmetry, with both “A” sections built from internal “abb'\text{a}^1” sub-sections, while the internal sections of both “B” and “B^1” have inversely related four-part designs of “aba'b^1” and “bab'a^1”.

Detailed examination of the contour and range reveals many variations of the four-part design within each section, although no clear symmetrical concept of the overall ABB\textsuperscript{1}A\textsuperscript{1} form. Rather, they create the impression of a free form. The highest notes of the Phantasy come into
play in creating symmetry within the work, and this becomes more obvious when exploring the form in relation to Schoenberg’s rectangular sketch. The following and final chapter explores the symmetrical aspects of the ABB1A1 design.
Chapter 4

SYMMETRY AND UNITY IN THE PHANTASY’S ABB1A1 FORM,

Chapter 4 explores the role that symmetry plays in creating unity within the four-part form of the Phantasy. The previous chapters develop the argument in support of a four-part ABB1A1 structure for the Phantasy on every level, from the Grundgestalt. The four-part articulations include variations with combinations of “ab” to include “abb1a1”, “baa1b1”, “aba1b1”, “bab1a1”, “aabb”, “aa1ba”, “bbbb”, “aaaa”, “abb1(ab)”, as well as “baac”. Further probing of the overall form uncovers symmetry on every level of the Phantasy that strengthens formal unity.

In Schoenberg’s Twelve-Tone Music: Symmetry and the Musical Idea,107 presents Jack Boss’ analyses of nine of Schoenberg’s works in order to expose the Grundgestalt, that contains the blueprint or framework for the work and underpins the overall design. According to Boss, “[As a] musical entity, the Idea is essentially, a compositional dialectic (the outline of which is given to the composer as a sudden inspiration [Einfall], and then he works out the details as he composes.”108 Boss analyses support Schoenberg’s thought that “the Idea (content) and its artistic representation (the form of the artwork) must not be divisible: they must be fused into a single entity.”109 Schoenberg himself describes creativity and unity in “Composition with Twelve Tones” (1941) as follows:

Alas, it is one thing to envision in a creative instant of inspiration, and it is another thing to materialize one’s vision by painstakingly connecting details until they fuse in a kind of organism…Alas, suppose it becomes an organism, a homunculus or a robot, and

108 Ibid., 7.
109 Ibid., 17.
possesses some of the spontaneity of a vision; it remains yet another thing to organize this form so that it becomes a comprehensible message “to whom it may concern.”

Rudolph Kolisch (Gertrude Stein’s brother) sent Schoenberg a letter with a tone-row analysis of one of his quartets. Schoenberg responded by admonishing him for only considering the rows. Schoenberg retorted, “But do you think one’s any better off for knowing it?...The only sort of analysis there can be any question of for me is one that throws the idea into relief and shows how it is presented and worked out.” Boss attempts to provide “a model [of useful analyses] for the ‘Kolisches.’”

Boss presents his concept of the Grundgestalt for each work and Schoenberg’s working out of the idea that often obscures the unity through the process of composition. For example, the String Trio, Op. 45 (1946):

is a complete musical idea consisting of problem, elaboration, and solution, in which the “problem” involves uncertainty about the basic row’s identity….The Trio leaves the listener uncertain about how the work’s hexachords chain together to create a basic row (it shares that quality with the Violin Fantasy Op. 47)....Schoenberg moves, in fits and starts as it were, toward realizing the eighteen-tone row as the work’s true Grundgestalt.114

Boss mentions the Phantasy, but does not delve into its idea. However, the symmetry principles he discusses in other works play into the unity and balance of the Phantasy.

As discussed in Chapter 2, Schoenberg disguises the Grundgestalt for the Phantasy as he does for the String Trio, Op 45. However, as opposed to the String Trio’s extended eighteen-note row, the Phantasy’s Grundgestalt consists of the concise six-note unit of the first hexachord.

111 Ibid., 1.
112 Ibid.
113 Boss, Schoenberg’s Twelve-Tone Music: Symmetry and the Musical Idea, 34.
114 Ibid., 398.
Schoenberg builds unity and balance by composing out with variations on the “ab” pairs of trichords in the primary hexachord and its inversion, and creates symmetry through pitch palindromes, repetitions and inversions.

Boss’s argument centers, for the most part, on Schoenberg’s pitch organization and row development. However, in the Phantasy, Schoenberg achieves unity not only through symmetry of pitch area organization, but also through the balance of musical moods and contour. Discussion about inversions or retrogrades in terms of the musical moods creates a challenge. Inversions of musical moods in this context, for the most part, refer to opposite musical characters.

The linear graph and rectangle formats supply structures that support visual representations of symmetry. Schoenberg’s suggestive sketch, mentioned in Chapter 1, inspired the recreation of a rectangular outline in which to investigate symmetry within the previously examined four-part ABB1A1 form. The rectangular contains four useful axes of symmetry: a North/South (NS) and a W/E through midpoints as well as a SW to NE and the NW to SE axes. Each of these suggests different symmetries, balancing various elements through a midpoint. The linear graph exhibits one principal central axis around which symmetry revolves. The linear and rectangular formats each provide different viewpoints and useful information.

The principal axis of symmetry in the rectangular format of musical moods and pitch areas, for the most part, revolves around the SW and NE axis of the rectangle to create balance between the two “A” and “B” sides of the form. The symmetry of the CSEG contours revolves around two polar opposite axes, the SW to NE and the NW to SE. The relationship between elements around these axes includes simple repetitions, inversions and palindromes or retrogrades. However, symmetries also occur around alternate axes and complicate the issue.
The layout of the rectangular diagrams in this chapter exhibits the format with “A” (or “a”), that commences each section, situated on the left vertical line, while section “B”, starts with the passage in measure 34, displayed on the top horizontal line. “B₁” lies on the right vertical line and “A₁” on the bottom horizontal line.

Example 4-1: Rectangular reproduction of the overall outline for the Phantasy

Example 4-1 exhibits a rectangular reproduction of the overall outline of the Phantasy, with a SW/NE axis. Many layers of variations of the four-parts exist simultaneously to create a complex form, in both the overall outline and within the internal sections. Schoenberg creates variations for each musical quality, from the musical characteristics, harmonic pitch areas, transformations, to the contour. This illustration, at first glance, appears complicated with no clear visual representation of symmetry. Therefore, the following section dissects the diagram to provide clear symmetrical images.
Example 4-2: Musical mood inversion of “a” and “b\textsuperscript{1}” between “A” and “A\textsuperscript{1}”

Manipulation of the overall ABB\textsuperscript{1}A\textsuperscript{1} musical mood outline (examined in the previous chapter), into a rectangular format reveals symmetry between the “A” and “A\textsuperscript{1}” as well as the “B” and “B\textsuperscript{1}” sections of the four-part ABB\textsuperscript{1}A\textsuperscript{1} around the SW and NE axis. Example 4-2 displays the rectangular musical mood outline and identifies the relationship between “A” and “A\textsuperscript{1}” that involves repetition, or inversion. The passionate “a” passages, followed by the furioso and pesante “b\textsuperscript{1}” passages occur in the same order in both sections. The “abb\textsuperscript{1}a\textsuperscript{1}” outlines of “A” and “A\textsuperscript{1}” imitate each other in inversion.
Example 4-3: Symmetry of musical moods around the SW/NE axis

The view that examines the adjacent “B” and “B1” sides of the rectangle (Ex. 4-3) reveals a clear palindromic or retrograde relationship around the SW and NE axis. The “Brahmsian” and “Schubertian” phrases mirror each other on the opposite ends of the two sections. The dance-like Grazioso and Piu mosso of “B” mirror the two Scherzandos of “B1”. The intense, expressionist phrase at measure 64 appears across from the Poco Tranquillo of “B1”, both of which contain lyrical qualities but opposite musical characters. The adjacent “B” and “B1” sides reflect obvious mirrors. Eight variations occur within the two “B” sections. In terms of tempo and characters, the slow, fast, slow, fast variations of “B” mirror as a palindrome the fast, slow, fast, slow variations of “B1”.

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Examination of the overall outline reveals symmetry and balance of musical moods around the SW/NE axis. The character and tempo indications suggest both imitation and inversive symmetry between “a” and “a\textsuperscript{1}” as well as “b” and “b\textsuperscript{1}”. The metronome markings offer further support for symmetry.

Example 4-4: A\textsubscript{10} symmetry between “A” and “A\textsuperscript{1}” around the SW/NE axis

The diagram of the pitch areas within the rectangle illuminates symmetry around the primary SW and NE axis. Example 4-4 illustrates the overall pitch outline of the Phantasy and identifies the symmetrical placement of the prime row areas, A\textsubscript{10}, within the work. The areas composed on the prime row appear in “a” and “a\textsuperscript{1}” of both “A” and “A\textsuperscript{1}” as well as at the end of “B\textsuperscript{1}” in “a\textsuperscript{1}”. The areas based on A\textsubscript{10} mirror each other on the adjacent “A” and “A\textsuperscript{1}” sides of the rectangle and create inversions, as Schoenberg composes the music of “A” on the prime row, P\textsubscript{10}, and “A\textsuperscript{1}” on the retrograde inversion, RI\textsubscript{3}, of the prime row. Thus, the pitch relationship between
the music in “A” and “A¹” creates both a mirror in terms of the prime row, and inversions in terms of the order of pitches.

The alternate linear views of the outlines further strengthen the concept of symmetry and unity of both musical moods and pitch areas between “A” and “A¹” as well as “B” and “B¹”. Example 4-5 displays a linear graph that identifies inversions, or imitations between the “a” and “b¹” musical moods of “A” and “A¹”. The graph also reveals pitch area palindromes of A₁₀ as well as inversions of row variations with P₁₀ in “A” and its retrograde inversion, RI₃, in “A¹”.

Example 4-5: Linear graph of “A” and “A¹” that indicates inversionsal symmetry
Example 4-6: Linear graph of “B” and “B¹” that indicates palindromic symmetry

The linear view of the adjacent sections “B” and “B¹” (Ex. 4-6) demonstrates clear palindromic or retrograde symmetry of the musical moods as well as $T_9$ transformations. The melodic and dance-like or playful scherzos occur in reverse order in the two sections.

Example 4-7: Linear graph of ABB¹A¹ with retrograde and inversional symmetry

The linear graphs that illustrate the relationships between the “A” and “A¹” sections and the “B” and “B¹” sections demonstrate different forms of symmetry. The “A’s” display inversional symmetry while the “B’s” contain palindromes. The extended linear graph of all four sections (Ex. 4-7) suggests both inversional and retrograde symmetry in the overall form. The dotted line identifies the inversional relationship between the musical modes of “A” and “A¹”,

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while the solid lines indicate the palindromic relationships between “B” and “B¹”. The linear graph also reveals symmetry and balance of the T₅ transformations between the sections.

The rectangular and linear outlines, in terms of musical moods, pitch areas and transformations, each offer a different view that supports the concept of symmetry within the overall concept. Consideration of the overall form in terms of contour reveals two polar opposite axes of symmetry, SW/NE and NW/SE for the CSEG. As discussed in the previous chapter, the CSEG represents the first, lowest, highest and last note for each section of the *Phantasy*. The CSEG view suggests complex imitative and retrograde relationships.

**Example 4-8: CSEG overall rectangle identifying “A” & “A¹” and “B” & “B¹” mirroring**

Example 4-8 illustrates the CSEG symmetry revolving around the SW/NE axis that includes exact mirroring of <1032>. The SW/NE axis coincides with the polar connection between the two highest notes of the piece in measures 75 and 166. The diagram identifies the
highest notes of the violin line in the *Phantasy* that mirror each other across the diagram at the end of “B” and the last note of the piece at the end of “A¹”.

Example 4-9: High Eb₇/D♯₇ in measures 75 and 166 (last measure)

The highest stopped notes of the violin (Ex. 4-9), D♯₇ (or Eb₇), appear only twice in the work at structural hinges: in measure 75 and the very last note of the piece. The high note in measure 75 occurs right before the second *Scherzando* section and the final note ends the work. These highest notes appear at polar opposite corners of my formal chart.
Example 4-10: CSEG overall rectangle identifying “A” & “B” and “B1” & “A1” mirroring

Another compelling view of CSEG symmetry, however, revolves around the opposite NW/SE axis with the focus on the relationships between “A” and “B” and “B1” and “A1”. This view (Ex. 4-10) identifies four pairs of <1032> contours as well as the mirror reflection of the high Eb7 and D#7 and suggests that symmetrical balance exists not only between “A” and “A1” and then “B” and “B1” but also between “A” and “B” and then “A1” and “B1”. Both views display relatively consistent mirroring.

Symmetrical Mood Outlines of the Internal Sections

Manipulations of the mood outlines of the internal sections suggest that individually the “A”, “B”, “B1”, and “A1” reflect variations of the symmetrical balance of the overall form. The
linear graphs provide stronger visual representations of symmetry within the internal sections than the rectangular form. Even so, the verification for symmetry is ambiguous. Schoenberg obscures the symmetry within each section by incorporating a combination of elements, the musical moods, pitch areas and contour, to create balance rather than clear conformity for each quality.

Example 4-11: Linear musical mood outlines of "A"

Example 4-12: Measures 1-2 “a” alongside m. 32-33 “a’” illustrating opposite moods

Example 4-11 displays the outline of “A” and reveals symmetrical inverse and retrograde relationships around a central axis between “a” and “a’” as well as “b” and “b’”. As discussed in the previous chapter, the musical material note-by-note of measures 32 and 33 mirror the music of measures 1 and 2 (both depicted in Ex. 4-12). In terms of pitch areas, “a” and “a’” imitate each other based in A_{10}. Albeit, the first six notes of each phrase contains the identical order, or the prime hexachord, while the second half consists of inversions. Additionally, the opposite characteristics of the two phrases, the ferocious statement in fortissimo in “a” and dolce phrase in piano in “a’”, imply inverse musical moods. The <1032> CSEG contours of both “a” and “a’”,
moreover, suggest imitative mirror symmetry. The relationship between “a” and “a1” suggests both imitative mirrors and inversions.

The relationship between “b” and “b1” suggests similar imitative mirrors. The musical mood of both “b” sections contains furious and virtuosic passagework. Both “b” and “b1” involve a crescendo and building of intensity. In this way, the musical moods of “b” and “b1” imitate each other, while the respective <1032> and <2301> CSEG contours imply retrograde symmetry.

Example 4-13: Linear musical mood outline of “B”

Example 4-13 displays the musical mood outline of “B”. The organization suggests that inversional and retrograde symmetric relationships between the variations around the central axis. The alternating musical moods of “a” and “b” with “a1” and “b1” suggest inversional symmetry around the central axis. The slower moving “a” and “a1” variations reflect musical mirrors as well as inversions. The tempo and pace suggest imitative mirrors. Yet, the opposite musical mood and intensity suggest inversions. The intense German expressionistic phrase at measure 64 creates the opposite musical impression from the “Brahmsian” and subsequent ethereal Jakobsleiter music of measures 34-51.

The faster moving “b” variations mirror each other in terms of tempo and pace and suggest inversional musical moods. Both “b” variations contain dance-like qualities, with opposite intensity and dynamic character. The Grazioso, or “b”, in a dance-like 9/8 in piano
contrasts the *furioso* quality of the *Piu Mosso*. Thus, the variations within “B” contain both imitations and inversions within the rectangular musical mood outline.

The mirroring $T_9$ transformations between the two halves of the section, relate at $I_5$ around the central axis. The contours, however, indicate retrograde symmetrical relationships around the axis. The symmetries of the musical moods, pitch transformations and contours in “B” involve both inversive and retrograde relationships around the central axis.

![Example 4-14: Linear musical mood outline of “B1”](image)

Example 4-14 illustrates the musical mood outline of “B1” that affirms similar imitative relationships found in “B” around the central axis. In “B1” Schoenberg rotates the order between “a” and “b”. In both sections, “b” represents the dance-like variations while “a” represents the contrasting material. In “B1”, symmetry between the musical moods of “a” and “a1” as well as “b” and “b1” revolves inversionally around the center axis. The *Scherzando* “b” and “b1” imitate each other as do the more melodic music of the *Tranquillo* at “a” and the “Schubertian” variation at “a1”. The $T_9$ transformations between “b” and “a” and “b1” and “a1” mirror each other. The CSEG contours support the musical mood inversions, in that both the musical mood and contour relationship revolve around the axis with inversive symmetry. Thus, both the musical mood outlines and contours imply inversive symmetry while the $T_9$ transformations of “B1” imply imitation.
Example 4-15: Linear musical mood outline of “A¹”

Example 4-15 displays the outline of “A¹” that alludes to retrograde relationships around the central axis. The symmetrical balance around the axis in “A¹” parallels the symmetry in “A”. The musical mood relationships between sections “a” and “a¹” imitate each other in terms of intensity as well as pitch. The opening statement at “a” contains the exact pitches as “a¹”, although the contours differ. The musical moods within “A¹” do not vary as much as the other sections and create difficulty in observing obvious retrogrades and inversions. Like “A”, the musical moods and pitch areas of the sections (P₁₀ of “a” and “a¹” of “A” and RI₃, of “a” and “a¹” of “A¹”) simulate each other and imply retrograde symmetry. The CSEG contours and musical moods of “b” and “b¹” further imply retrograde symmetry around the center axis.

The musical moods of the internal sections of the Phantasy reflect the four-part concept of the overall ABB¹A¹, but the symmetrical designs of the internal sections vary. Schoenberg creates unity in the overall form through symmetrical balance of musical moods, pitch areas and contour that revolve primarily around a SW to NE axis. He obscures the symmetry of the internal sections by creating symmetry with a combination of qualities, musical mood, pitch area and contours, around a central axis. This combination of elements generates multi-dimensionality.
Seeds of the Form and Symmetry in the *Grundgestalt*

Chapter 2 explored the possibility that the initial hexachord, sc 6-21 (023468) contains the germinal material of Schoenberg’s *Grundgestalt* for the *Phantasy*. Schoenberg utilizes two combinations of the hexachord that introduce two variations of the germinal material within the first eleven measures of the work. However, comparison of the phrases beginning in measure one with that in measure 32 provides the best example of his development of the opening idea in context of the form of the work. Example 4-18 exhibits the violin lines with the exact pitch sequences of both variations (the first two measures that include the primary hexachord and its inversion, and the similar melody with the complete prime row at measures 32-33) as well as linear representations that illustrate symmetry.

Schoenberg introduces two characteristic variations of ABB\(^1\)A\(^1\) that recur throughout the work. The primary hexachord and its I\(_3\) inversion of the first two measures proposes an “abab” form while the complete prime row of measures 32 and 33 (and introduced in measures 9-11) establishes the “abba” format. The linear representations displayed in Ex. 4-16 illustrate these two symmetrical patterns that occur multiple times throughout the overall form and internal sections. The order of the trichord set classes in the first two measures imitate each other around the central axis and support the “aba'b'\(^1\)” concept. At the same time, the order of the trichord set classes of the prime in measures 32-33 (and measures 9-11) appear in retrograde around the axis (with a variation between “b” and “b\(^1\)”) and intimate an “abb\(^1\)a\(^1\)” concept.
Measures 1-2

Furthermore, Schoenberg opens and closes “A” with two phrases that clearly relate to each other in terms of pitch with opposite moods and contours (Exx. 4-12 and 4-16). Schoenberg builds the two phrases with the two germinal variations of the row (Ex. 4-16). These two phrases
that bookend the section “A” represent opposite or inverse musical moods in terms of character, dynamics, articulation, and contour.

Example 4-17: The *Phantasy*’s 12 x 12 matrix indicating “abb₁a₁” within ABA¹B¹

Example 4-17 displays Schoenberg’s four row forms for the *Phantasy* (prime form P₁₀, inversion I₃, retrograde R₁₀, and retrograde inversion R₁₃) in rectangular form. This diagram utilizes and modifies the format of a “12 x 12 matrix”¹¹⁵ with a rotation and displays only P₁₀, I₃, R₁₀, and R₁₃ (rather than all twelve transpositions of the prime row). I altered the format to mirror the rectangular design used in this chapter. In a standard 12 x 12 matrix, the prime row appears on the top horizontal line, while the version displayed in this chapter positions the prime row on the left vertical line with the inversion on the top horizontal line.

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Example 4-18a: The 12x12 matrix of the prime row of the *Phantasy*

Example 4-18b: The overall pitch area *Phantasy* outline

Example 4-18a and 4-18b offer the views of the 12 x 12 matrix that mirrors the rectangular four-part outline of the *Phantasy*. The organization of the trichord set classes of the
rows in the rectangular format, reveal internal “abb1a” s within an overall ABA1B1 system. The ABB1A1 and ABA1B1 variations exist on many levels in the work, as do several other permutations. The preponderance of variations alludes to Schoenberg’s reluctance to make obvious his creative process. The relationships between both formats of the Grundgestalt with its two hexachord partners, as well as the relationship between the prime row and its variations, pave the way for both of the four-part designs, ABA1B1 and ABB1A1, that incorporate symmetry.

Ultimately, the multi-dimensional four-part design of the Phantasy embraces many combinations of “ab”, Schoenberg's opening hexachord, that represents his Grundgestalt. Schoenberg’s system of dodecaphony incorporates symmetry. Furthermore, his use of combinatorial related hexachords to create his row enhances the possibilities of symmetry. Example 4-18a exhibits another view of the 12 x 12 matrix of Schoenberg’s row in comparison to the overall rectangular outline (4-18b) of the Phantasy. This version emphasizes the similarity of the matrix organization of P10 tone row and variations to the overall rectangular pitch area outline of the Phantasy. The overall pitch outline of the work, with section “A” starting and ending in the prime row, P10, and “A1” based on the retrograde inversion, RI3, simulates the matrix with P10 on the left vertical or “A” side and RI3 on the bottom horizontal or “A1” side.

The resemblance continues with section “B” in A3. “B” starts on Eb, or “3”, as does the inversion I3 on the top horizontal line of the matrix. However, in the Phantasy, Schoenberg camouflages the obvious connection by composing the opening phrase of “B” in A3 rather than I3. Similarly, “B1” in A2 begins on D or “2” as does the retrograde, R10, on the right vertical side of the matrix. Furthermore, the matrix mostly contains the same order that Schoenberg utilizes in the overall pitch-area transformation outline. The A4, A7, A1, A9 pitch area transformation sequence in “A”, and the sequence in A4, A7, A1 of “B1” parallel the order of pitches in the prime
row and retrograde on the “A” and “B1” sides of the matrix. Correspondingly, order of pitches “3, 0, 8, 5” that occur in the inversion on the top horizontal line, or “B” of the matrix, mimics the A3, A0, A8, A5 sequence of “B” in the overall outline. The only pitch that does not occur in the exact parallel spot in the overall outline is “B” or “11”. In the Phantasy, Schoenberg rotates the order of “11” and “2”. Finally, the interval five relationships between the prime row and its inversion, as well as between the retrograde and the retrograde inversion mimic the T5 relationship between formal sections of the work.

Revisiting the overall pitch outline alongside the 12 x 12 matrix reveals astonishing similarities between the structure of the prime row and variations to the overall pitch area organization of the Phantasy. The parallels between the pitch area sequences and transformations in the overall outline and the matrix pitch order may be a coincidence. However, the suggestive sketch alludes to Schoenberg’s contemplation of the outline of the Phantasy and the abundance of corresponding resemblances reinforces the possibility of the intriguing analogy.

The Implications of the ABB1A1 Form of the Phantasy on Performance

The concept of an ABB1A1 symmetrical form exerts a subtle but profound impact on the interpretation and performance of the Phantasy. The knowledge of the formal architecture of a work informs any performance and influences the pacing, tempo relationships, and direction of phrasing, character, articulation, dynamics, and color. In Analysis and Performance in Schoenberg’s Phantasy, Op. 47, Joel Lester recounts a story of Alban Berg coaching a group on his Lyric Suite and spending hours obsessively going over details of every notation.

Finally, after many hours of coached rehearsals, they were able to play exactly what was on the page. At that point, Berg told the ensemble to forget all the details, and simply relax and play as they wished. In effect, what Berg had done was insist that the ensemble
assimilate every nuance—or, in other words, assimilate the piece. Once that is accomplished, any freedoms that occur will be within the bounds of that piece.116

Historically, performances of the Phantasy emphasize the ferocious, aggressive and even harsh qualities that characterize the opening of the work. Unquestionably, the opening section “A” exhibits a fierce character, and requires a commitment to a bold expression. However, an aggressive interpretation often permeates the entire work and misses many moments for subtle, sensitive expression. Analysis suggests that sections “A” and “A1” require the communication of the fierce and passionate character with a few moments of respite in gentle, playful and dancelike moods. However, sections “B” and “B1” provide many opportunities for the expression of the contrasting moods of tenderness, nostalgia, ethereal mysticism and Viennese waltz playfulness. At first, the emotional and character extremes give the impression of a disjointed and random design. On the contrary, the balance of the extreme musical moods and contours results in the symmetry that imparts comprehensible unity. The understanding of the four-part symmetrical form calls for a commitment to full expression of all the extremes to produce a clear musical statement.

The pitch areas lay the foundation for the architecture, although the musical moods and contours direct the flow. Traditionally in tonal music, voice leading, harmonic tension and resolution dictate the phrasing and flow. Schoenberg’s reproach of Kolisch for only scratching the surface of understanding his String Quartet, by employing a pitch based analysis, applies as well to the Phantasy. The pitch area organization of the Phantasy definitely plays an important role in the overall design. However, unlike tonal music, pitch organization plays a supporting role in the four-part symmetrical form.

rather than leading role. Elements of the musical moods, supported by the contour and symmetry, govern the musical impact and work together with the pitch area organization to create the multi-dimensional complex architecture.

The ABB\(^1\)A\(^1\) concept influences the interpretation on all levels, from the individual phrases that build each section, outward to the overarching artistic design. Borio, in “Work Structure and Musical Representation: Reflections on Adorno’s Analyses for Interpretation,” discusses Adorno’s view: “For Adorno, the showcase of the coherence of meaning is musical form…without form, musical meaning would not emerge from the situation of potentiality, the realm of the merely imagined.”\(^{117}\) The architecture defines the sections and requires a commitment to clear expressive communication of the musical moods and contour, supported by the change of pitch areas. For example, the connection between the first few measures to the phrase in measures 32-33 has been discussed at length (Ex. 4-16). In performance, communicating the ferocious mood of the opening idea through the indicated crisp, marcato articulations in \textit{forte} and \textit{fortissimo} with accents, as well as exaggerating the jagged quality of the intervals and contour sets the tone for the work. In contrast, commitment to the execution of the \textit{dolce}, lyric phrase in measures 32-33, through the legato articulations in \textit{piano} closes the section and gives definition to “A” as well as segues into the contrasting “B” sections.

Commitment to the articulations and dynamics that support the musical mood gives definition to the character of each phrase, as does the CSEG contour. The CSEG outlines provide the information required to make informed decisions about the direction and focus, whether on

the highest or lowest notes of the contour that supports the musical moods and character. To continue with the two bookend phrases of “A” (Ex. 4-16), the CSEG of the first two measures would suggest the phrasing and direction emphasize the flow from the first note to the low open G string to the highest and last note of the phrase, Ab6. This emphasis illuminates the ferocious, bold character. In contrast, the narrow CSEG of measures 32-33, along with the dolce mood, recommends attention to the close intervals leading to the last three low melodic notes, which result in highlighting the more intimate character.

The phrase that sneaks in at measure 9 (Ex. 4-19) introduces the first appearance of the complete prime row as well as the quiet dance-like elements that Schoenberg later develops to build complete sections. Exaggerating the dance-like quality of the triplets enhances the flow and plants the seeds that Schoenberg cultivates in the waltz-like and scherzo phrases of “B” and “B1”. The wide range of intervals of the phrases that follow can appear disjointed. However, knowledge of the lowest and highest notes of each section articulates the choices as to which intervals and notes to emphasize to give direction and shape to the phrase, and continues to develop the virtuosic and ferocious mood of “A”.

Example 4-19: Measures 9.5 to 11 with complete P10 & dance-like musical mood

The musical rendering of the phrase at measure 34 as a romantic, expressive Brahmsian phrase, in contrast to the lighter expression of the Schubertian passage from measures 134-149 communicates a sense of nostalgia as well as balance and unity between “B” and “B1”. Example 4-20 displays the return of the prime row at the end of section “B1” with the Schubert
articulation. The actual quote appears on the second line with the repeated Eb4’s. The execution of the dotted notes under a slur in measures 134-149 with a delicate Schubert

Example 4-20: Schubertian articulation at measure 143 with the return of P10

sound creates a totally different mood to the usual crisp articulation, and gives definition to the closing phrase of “B1”. Exaggeration of the waltz-like and playful qualities of the dance and scherzo sections unifies sections “B” and “B1”.

Commitment to the expression of the extreme contrasting musical moods between the ethereal Jakobsleiter music (Ex. 4-21) and the dark German expressionistic phrases, Example 4-22, creates balance in “B”. Arnulf Mattes, in “Radiant Moments of Remembrance: on Sound Sheets in Schoenberg’s Late Chamber Works,” praises Glen Gould’s and Yehudi Menuhin’s performance:

Menuhin, following Gould’s lead, creates an equally striking effect simply through subtle nuances of timbre and articulation. In a way that transcends the prescriptions of the notation, the piano texture seems ultimately to merge with the brittle, airy grain of the violin timbre, an effect that enhances the impression of the Lento as an episode of suspension. This sudden turn in the performance by Menuhin and Gould from the relative euphony of the preceding Meno mosso to the disembodied pallor of the violin cantilena – along with the creation of a ‘sound sheet’ in the accompaniment – is needed to draw attention to a particular instance of sensuous resemblance. The expressive sound-colours unleashed by Gould and Menuhin’s sensitivity to nuances of timbre serve to transport the listener from the sound sheets of the Phantasy to a similar moment in one of Schoenberg’s most stylistically significant works from three decades earlier, his mystical oratorio Die Jakobsleiter.118

Example 4-21: *Jakobsleiter* quote in the *Phantasy* of measures 40-51

In the *Jakobsleiter* music (Ex. 4-21), focus on the brittle quality of the high notes that lead to the F♯7 sounding harmonic gives direction to the phrase and creates the ethereal timbre. The focus and direction towards the lower notes of the German expressionist phrase (Ex. 4-22), creates the intense and dark musical mood that contrasts the mystical mood of the previously discussed phrase. The articulation of each section along with the CSEG contour informs the shape and direction of each phrase followed by optimal pronunciation of dynamics, articulation, timbre, tone color, all of which plays into the musical expression.

Example 4-22: Dark, German Expressionist phrase of measures 64-71

Example 4-23: Upbeat to downbeat at hinge between “B¹” and “A¹” at m. 152

A commitment to the same or more enhanced ferocious mood, when the opening material returns in the transitions into “A¹” at measure 152 (Ex. 4-23), brings the musical idea full circle, after the journey through many variations. This time, Schoenberg presents the idea in the final retrograde inversion RI₃. However, the exact hinge between sections “B¹” and “A¹” occurs in
between the two hexachords of RI₃, from the highest to the lowest note (Ex. 4-23), with the motivic upbeat gesture. Lester, in his article, speaks about the importance of delineating the characteristic upbeat to highlight and make clear the phrases.¹¹⁹ I would agree that the motivic upbeat plays an important role throughout, and in this case, it announces the return to “A¹” with the extremes in contour.

Example 4-24: Last 3 measures of the Phantasy built on RI₃

Throughout the work, Schoenberg presents his idea with a multitude of contours, hinting at a climax at the end of the “B” section with the highest note, in fortissimo, in measure 75 (seen in Ex. 4-9). However, he repeats the highest note one last time as the last note. These two highpoints suggest two climactic points along the SW/NE axis of symmetry and create balance. At the end of the work, Schoenberg finally knocks his idea out of the ballpark (Ex. 4-24), with the last phrase, which extends from the low open G₃ in piano to the highest note of the piece, D#₇ in fortissimo emphasized with a sf. A committed performance communicates Schoenberg’s idea as an exclamation point at the climactic end.

Conclusion: The Phantasy’s Form as Paradigm for Schoenberg’s Twelve-Tone System

The Phantasy opens with “A” and ends in “A¹” with clear twelve-tone jagged, ferocious, Schoenberonian musical material. He develops his idea through a series of referential variations,

or musical conversions, throughout “B” and “B¹”. These variations communicate nostalgia as well as tributes to his musical heritage and his own musical journeys. These tributes include tips of the hat to Brahms, Schubert, Viennese Waltzes, German Expressionism and his own Jakobsleiter mystical oratorio. These variations transport the Grundgestalt through an evolutionary process, with many pitch area, musical mood and contour transformations. Schoenberg returns to his original idea, after the evolutionary journey, at the end of the work in “A¹” with the same musical mood as the opening, in the retrograde inversion of the prime row, RI₃. Furthermore, the condensed “A¹” ends with a heroic gesture from the lowest note on the violin to the highest solid note of the work.

In composing the Phantasy, Schoenberg created his fantasy form as a paradigm for his system of dodecaphony and composition. The symmetry of the Grundgestalt, the prime row, the internal sections, and to the overall formal structure provide unity to the work. As Borio states: “The symmetrical ordering of related sections around a deeply symbolic center represents precisely the opposing principle to sonata-form development.”¹²⁰ With the Phantasy, Schoenberg creates, his beautiful challenge to serial composers to find a new way to unify large heroic works within the twelve-tone system. The work’s innovative formal structure manifestly refutes Boulez’s “Schoenberg is “Dead” proclamation. Furthermore, the Phantasy is not totally free flowing nor improvisatorial. Nor is it a sonata or a ternary form. Schoenberg built on his legacy to create the four-part concept with symmetry. The analysis suggests that Schoenberg created a fundamentally new and fresh design.

The creation of an ingenious multi-dimensional four-part $\text{ABB}^1 \text{A}^1$ form with elements of symmetry in the *Phantasy* results in unity. This unity and comprehensibility offers a formal paradigm compatible with Schoenberg’s twelve-tone system. The *Phantasy* is very much an innovative and bold design. Perhaps Schoenberg’s *Phantasy* is his personal fantasy of a $P_{10} I_3 R_{10}$ RI₃ form that employs pitch, musical mood and contour in the formal design! The final cannonball gesture exclaims: “I am not dead!!!”
BIBLIOGRAPHY


