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INCOMPLETE *URSATZFORMEN* TRANSFERENCES
IN THE VOCAL MUSIC OF HEINRICH SCHENKER

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Benajmin McKay Ayotte

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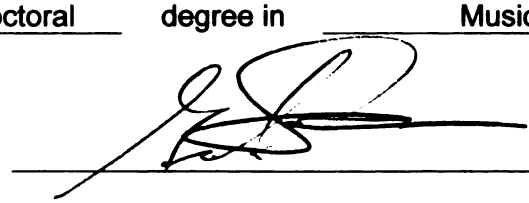

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INCOMPLETE *URSATZFORMEN* TRANSFERENCES IN THE VOCAL MUSIC OF HEINRICH SCHENKER

By

Benjamin McKay Ayotte

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ABSTRACT

INCOMPLETE *URSATZFORMEN* TRANSFERRENCES
IN THE VOCAL MUSIC OF HEINRICH SCHENKER

By

Benjamin McKay Ayotte

Although his fame now rests on his theoretical works, Heinrich Schenker (1868–1935) was a composer of sufficient talent to attract the notice of Johannes Brahms and Ferruccio Busoni, both of whom encouraged and assisted him. Unfortunately, there is a dearth in the professional literature of material pertaining to Schenker's professional activities outside of his theoretical writing. This dissertation proposes to begin to fill this void by providing transcriptions of a sample of Schenker's early compositions (four unpublished vocal works) with accompanying commentary investigating the relationship between the tonal structures found in these pieces and the place these structures have in his developing theories of tonal music. Specifically, I investigate incomplete transferences of the *Ursatzformen* involving the auxiliary cadence and back-relating dominant. As a secondary concern, I show some hidden motivic repetitions in the music against a background of Schenker's ideas of monotonality and musical organicism derived from his theoretical works. I show, through careful analysis of Schenker's own compositions, how these ideas, far from being arcane and abstract (as the theoretical descriptions tend to indicate), are living and vital components of his musical fabric.

Part I of the dissertation will serve as an introduction to Schenker as a composer and to the theoretical and philosophical bases of the subsequent analysis by surveying the development of musical organicism throughout his writings. In this section, I include: (1) a

biographical sketch highlighting experiences and relationships pertinent to Schenker's development as a composer, an overview of his compositions, and an examination of contemporaneous critical reaction based on archival research; and (2) an account of the genesis of the concepts of monotonality and musical organicism through Schenker's theoretical work illustrated by examples from the standard tonal literature. Part II comprises the analytical component and consists of: (1) a presentation of the main compositional techniques to be discussed, namely incomplete transferences of the *Ursatzformen*, as found in Schenker's writings and illustrated by examples drawn from the tonal literature; and Schenker's own works; and (2) demonstrations, via analytical commentary and graphic analyses, that several of Schenker's unpublished vocal works show his dramatic use of these particular techniques. This commentary will focus on salient features of the work in question and will examine: (1) the compositional techniques described above; (2) issues of text setting including use of programmatic techniques; and (3) Schenker's setting of a given text *vis-à-vis* that of other composers of whom he can reasonably be expected to have had knowledge, especially when structural similarities, as opposed to merely stylistic similarities, are evidenced. Appendices include copies of the manuscripts and complete transcriptions of Schenker's music cited in this study, poetic texts and translations, and supplemental illustrations.

For Sara,

sine qua non

ACKNOWLEDGMENTS

During the long process of conceiving and writing this dissertation, I have been supported and sustained by the faith, hope, and love of my family and friends. To my children, Victoria, Jonathan, and Benjamin, I offer my love and thanks for their extending to me as much patience and understanding as their few years would allow while I sat in front of my computer day after day surrounded by mountains of papers and many a quaint and curious volume of Schenkerian lore. To my wife Sara I must offer the uttermost gratitude (for which my poor words are grossly insufficient) for her unyielding faith in me, her selfless love for me, and her fervent hope (as mine) that this project would eventually come to fruition. My parents have also blessed me with love and support of every kind during these years of struggle, for which I shall always be grateful. They have provided me with models of kindness, generosity, faith, perseverance, and grace under pressure. I thank my father in particular for his willingness to debate the relative merits of French music, for quelling my tendency towards academic elitism, and for keeping me humble.

In addition to the αγάπη love of family, I have been equally blessed by the φιλία love of friendship in the persons of James H. Wagner and Carmen Aquila, and Michael Newberry with whom I discussed the basic tenets of this thesis and received encouragement, ideas, and pracyical advice.

As a tree is known by its fruit, I hope that this fruit reflects well upon my tree of knowledge at whose trunk is the knowledge base provided by Sylvan Kalib, Marilyn Saker, and Anthony Iannaccone during my undergraduate studies at Eastern Michigan University; a tree whose first branch leads to Bowling Green State University and diverse musical

experiences with, first and foremost, Vincent Benitez, a wonderful mentor and scholar whose enthusiasm for twentieth-century music and music theory in general and Messiaen in particular was contagious. Also with Vincent Corrigan, whose punctiliousness in deciphering Medieval and Renaissance notation increased my appreciation for those who labor to create performing editions. My tree's final branch leads back to Michigan and Michigan State University where I was able to polish my teaching skills as a teaching assistant and later instructor, and be challenged by the rigors of a doctoral course of study. To the administration, especially Dr. Frederick Tims, and later Dr. David Rayl who supported my work financially and allowed the Ph. D. program to stay open long enough for me to graduate, I remain grateful. To the faculty who served as my TA supervisors, Bruce Campbell, Alan Gosman (now a professor at the University of Michigan), and Gordon Sly: you served as mentors and offered many practical suggestions, both in words and through their fine examples, to improve my teaching of music; I am grateful for your fine examples. To my dissertation committee, Professors Bruce Campbell, Gordon Sly, Mark Sullivan, and Leigh Van Handel, I thank you for your careful reading of this document and for your many suggestions for its improvement.

In particular, I owe tremendous thanks to my adviser Gordon Sly for his support, understanding, and encouragement during my six years at MSU. From my initial recruitment through the long and circuitous dissertation road, even when my family responsibilities made it difficult or impossible for me to work on the dissertation for months at a time, he never lost faith in me. Quite the contrary, he was always empathetic and understanding. I am grateful for his entrusting to me the role of editorial assistant for his essay collection *Keys to the Drama.* I look forward to the published volume as much as he!

soli deo gloria!

PREFACE

The work of Heinrich Schenker has provided the music-theoretical community with powerful analytical tools and philosophical underpinnings with which to explore the music of the so-called common-practice period of tonal musical art; the period during which music that composed-out a diatonic background flourished. The fundamental question that I wish to explore in this dissertation involves using the young Schenker's musical works as a lens through which to view his later theoretical apparatus. I hope to show that Schenker's analytical method is born out of a composer thinking about the fundamental questions of tonality and not out of abstractness or arbitrariness and certainly not out of a scientific (and therefore inartistic) approach to analysis that is divorced from musical practice.

From my examination of all of Schenker's compositional manuscripts, I have selected four songs that have one feature in common: tonal designs that lend themselves to varying interpretations which suggest that Schenker was more closely allied with his progressive Viennese contemporaries than his theoretical writings would tend to suggest. I hope to show that, despite the novelty of the designs in these works, Schenker's concern for unified voice-leading structure is strongly in evidence in his youthful compositional efforts. His desire to unify his musical compositions with a solid voice-leading structure that could support the tonal design suggested by the text and by his compositional instinct yielded some very creative solutions indeed.

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KEY TO SYMBOLS AND ABBREVIATIONS

References to Schenker's Writings

Following what is by now an established convention in the Schenkerian literature, I will be using the following rubric of abbreviation for Schenker's published theoretical works:

Work*	Original cited as	Translation cited as
The Art of Performance	-	AP
Ein Beitrag zur Ornamentik	BO	BO-Eng
Harmonielehre	HL	HL-Eng
Chromatische Fantasie und Fuge	CFF	CFF-Eng
Kontrapunkt I, II	KPT I, II	CPT I, II
Beethovens Neunte Sinfonie	BNS	BNS-Eng
Erläuterungsausgabe Op. 109	EA 109	-
Erläuterungsausgabe Op. 110	EA 110	-
Erläuterungsausgabe Op. 111	EA 111	-
Erläuterungsausgabe Op. 101	EA 101	EA 101-Eng
Der Tonwille 1—10	TW1, TW2, etc.	TW1-Eng, TW2-Eng, etc.
Meisterwerk I, II, III	MW1, MW2, etc.	MW1-Eng, MW2-Eng
Fünf Urlinie Tafeln	FUT	FUT
Oktave und Quinten	OQ	OQ-Eng
Der freie Satz	FS	FC

References to Archival Materials

JC = Oswald Jonas Memorial Collection, University of California, Riverside. Format: JC XXII: 5 = Box 22, folio 5 (according to the Lang/Kunselman catalogue) available at *http://content.cdlib.org/view?docId=tf4j49n9zc*

OC = Ernst Oster Collection of the Papers of Heinrich Schenker, New York Public Library. Format: OC II: 6 = File 2, page 6 (According to Robert Kosovsky's catalogue)

*see references for complete bibliographic citation

PART ONE: HEINRICH SCHENKER AS COMPOSER

1.1. Biographical Sketch of Heinrich Schenker and His Relationships with Other Musicians in Vienna.

Heinrich Schenker was born on 19 June 1868 at Wisniowzyk (Galicia) in western Ukraine. Little is known of his early musical influences or formative years. In 1884, Schenker registered at the University of Vienna to study law, completing a doctorate of jurisprudence in 1890.[1] In 1887 he began studying composition with Franz Krenn (1816–1897) and Johann Fuchs, harmony and counterpoint with Anton Bruckner (1824–1896), and piano with Ernst Ludwig at the Vienna Conservatory. Schenker also studied choral pedagogy.[2] Between 1891 and 1898, his most fertile period in terms of his musical output, Schenker contributed concert reviews and short essays on musical and cultural subjects to the periodicals *Die Zukunft* of Berlin (eighteen articles), *Musikalisches Wochenblatt* of Leipzig (seven articles), *Die Zeit* of Vienna (forty-five articles), and *Wiener Abendpost* (one article).[3] It was through this musical criticism, as well as his performances of his own and others' music, that he became known among the Viennese musical establishment. On 10 May 1897, Schenker wrote Max Kalbeck:

> I dare not flatter myself to assume that you have heeded my literary attempts in Harden's *Zukunft,*[4] in the Viennese *Neuer Revue,* or in *Die Zeit*. It would mean so much more to me,

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[1] For a discussion of Schenker's legal studies, see Wayne Alpern, "Music Theory as a Mode of Law: The Case of Heinrich Schenker, Esq.," *Cardozo Law Review* 20/5–6 (1999): 1459–1511.

[2]("Choralübung," "Choralschule"). Hellmut Federhofer, *Heinrich Schenker: Nach Tagebücher und Briefen in der Oswald Jonas Memorial Collection, University of California, Riverside* (Hildesheim: Georg Olms Verlag, 1985), 5-6

[3]The texts of the articles have been re-published in Hellmut Federhofer, *Heinrich Schenker als Essayist und Kritiker: Gasammelte Aufsätze und Kleinere Berichte aus dem Jahren 1891-1901* (Hildesheim: Georg Olms Verlag, 1990). For an insightful discussion of Schenker's early critical work vis-à-vis Hanslick and other writers of the time, see Kevin Karnes's dissertation, "Heinrich Schenker and Musical Thought in Late Nineteenth-Century Vienne" (Brandeis University, 2001).

[4]Maximilien Harden (1861-1927) was the editor of *Die Zukunft*, to which Schenker contributed some eighteen articles between 1892 and 1897.

> however, if you wanted to do me the honor of hearing compositions of mine, which Brahms, Goldmark, d'Albert and Busoni have recognized and praised, perhaps too much. I do not ask you to trouble yourself with the thought, as I implore your prominent literary help. The only thing left for me to do is to introduce myself as a composer in the circle of the very best even before d'Albert plays something of mine. May I hope? [5]

As his letter indicates, Schenker's compositions attracted the notice of Brahms (1833–1897), who subsequently recommended Schenker to Simrock (Berlin) and Breitkopf and Härtel (Leipzig). Breitkopf would go on to publish four opuses of Schenker's in 1898 and 1901 and Simrock published one in 1899. Schenker became personally acquainted with Brahms upon being introduced by Eugen d'Albert.[6] After complimenting Schenker's pianistic abilities, Brahms examined what was to become Schenker's *Fantasie* op. 2, declared it "more orchestral than pianistic" but recommended it for publication, nonetheless.[7] In the year of Brahms's death, Schenker published obituaries in *Neue Revue* (bd. 8/1, 1897) and *Die Zukunft* (bd. 8/19, 1897). In the latter article, he recalls "once when I had occasion to be telling [Brahms] about Bruckner, and when, in the course of my account, I repeatedly mentioned the names Bruckner and Hugo Wolf in connection with one another, he interrupted me suddenly and corrected me with irony: "Really? I thought that Hugo Wolf was a completely isolated summit! [eine Spitze

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[5]Ich darf mir wohl nicht schmeicheln, anzunehmen, daß Sie meine schriftstellerischen Versuche in Harden's *Zukunft*, in der Wiener *Neuen revue* oder in der *Zeit* beachtet haben? Es läge mir aber mehr daran, wenn Sie mir die Ehre erweisen wollten, Compositionen von mir anzuhören, über die sowohl Brahms, als Goldmark, d'Albert und Busoni sehr, vielleicht allzusehr anerkennend sich aussprachen. Ich bitte Sie, durch den Gedanken sich gar nicht zu beunruhigen, als bate ich implicite um Ihre markante schriftstellerische Hilfe. Mir ist nur darum zu thun, im Kreis der Allerbesten mich als Komponist enzuführen, noch ehe d'Albert von mir einiges spielt. Darf ich hoffen? Cited in Federhofer 1985, 15-16. Unless otherwise specified, all translations from the German are mine.

[6]D'Albert was a virtuoso performer and professor of piano at the Vienna conservatory and a pupil of Franz Liszt. He was also quite famous for his compositions, including eighteen (Wagner-influenced) operas, the most famous of which is probably *Tiefland* (1903).

[7]Heinrich Schenker, "Erinnerungen an Brahms," *Deutsche Zeitschrift* 46 (May 1933), 475-482 cited in Patrick Miller, "The Published Music of Heinrich Schenker: An Historical-Archival Introduction," *Journal of Musicological Research* 10 (1991), 181. The *Fantasy* was subsequently published by Breitkopf in 1897.

für sich]"[8] Such ironic and sarcastic comments were, apparently, typical of Brahms in his later years and were often misunderstood by the recipients. Schenker later wrote in his critical edition of Beethoven's op. 111, "not only did the recipients of [Brahms's criticism], to their own detriment, fail to understand the master's wisdom, but they began to revile him almost as soon as they had left his home, proclaiming him to be an intolerable, cruel artist, even a boor."[9] Schenker, who idolized Brahms, described him as "the last master of German composition" in the dedication to his 1912 monograph on Beethoven's ninth symphony (see below).

The Dutch baritone Johannes Messchaert (1857–1922) learned of Schenker through his concert reviews in the Austrian press, and enlisted him as his accompanist for a concert tour, which further established Schenker's reputation as a pianist and composer. Between 7 January and 4 February 1899, Schenker toured with Messchaert, giving concerts in Klagenfurt, Graz, Triest, Brünn, Lemberg, Vienna, Budapest (two), Linz, and Aussig. In addition to the songs of Grieg, Brahms, Schubert and Wolf, the programs featured two of Schenker's compositions: the *Legende* movement from his Fantasia, op. 2, and one of his piano pieces, op. 4.[10]

Busoni initiated contact with Schenker upon hearing the praises that Karl Goldmark[11] lavished on him. Busoni writes, in a letter of 1897 "it would be – from everything Master Goldmark tells me of you – a great pleasure to become acquainted with you personally."[12]

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[8]William Pastille, "Schenker's Brahms," *The American Brahms Society Newsletter* 5/2 (1987), 1. Pastille's citation of *Die Zukunft* 8 disagrees with Federhofer 1990 who cites *Zukunft* 19. Brahms is quoted as having said, "So, ich denke, Hugo Wolf ist eine Spitze für sich?" (Federhofer 1990, 235).

[9]Cited in Pastille 1987, 2. This passage is not to be found in Jonas's edition of EA 111

[10]The travel plan and content of the concerts is found in the JC XXXV: 5 entitled *Österreichische Tournée des Herrn Professor Johannes Messchaert,* cited in Federhofer 1985, 18

[11]Goldmark (1830-1915) was a composer of operas and champion (although not a radical one) of Wagner's works. His most successful work was *Die Königin von Saba*, seen as a "musical counterpoint to the orientalistic paintings of Hans Makart and the monumental Viennese *fin-de-siècle* buildings in the Ringstrasse." (Grove, 2000)

Busoni offered Schenker the prediction that "his compositions, because of the great *subjectivity* that characterizes them, will not be popular hits."[13] Busoni is known to have given Schenker compositional guidance on his op. 2 Fantasie and performed his Syrian Dances in an orchestral transcription.

Busoni and Schenker did not collaborate on any further projects, but remained interested in each other's work until the appearance of Busoni's *Entwurf einer Neuen Ästhetik der Tonkunst* (1907). In his *Kontrapunkt I* of 1910 Schenker criticizes Busoni, saying: "it is inconceivable . . . how artists and theorists in our midst (for example, Saint-Saëns, Busoni, Bellerman, Capellen, A. J. Polak, L. Riemann, and others) can call for a return to the old church modes and exotic scales as a means of expanding our musical horizon. This certainly belongs among the most ironic and shameful characteristics of the present confusion and lack of orientation." He goes on, recommending that "those artists and theorists who long so much for other systems . . . save their energy for more worthwhile matters."[14]

Busoni, in a letter of 1910 to Emil Hertzka,[15] writes that he "look[s] forward to receiving Schenker's study of the *Chromatic Fantasia.*" This publication, however, deepened the rift between himself and Schenker for, upon examining it, he lamented, "I scarcely understand Schenker anymore. We used to be good musical friends. This manner of gaping

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[12]Es wird mir – nach Allem, was Meister Goldmark von Ihnen erzählt – eine große freude sein, Sie persönlich kennenzulernen. Federhofer 1985, 77.

[13]Ihre Compositionen, dank der großen Subjuktivitaet, die in ihnen herrscht, nicht eben mit einem Schlag populaer werden (Emphasis original). Ibid., 78.

[14][CPT I: 21, 32] Wie nun aber umgekehrt in unsere Mitte von Künstlern, von Theoretikern ... gar der Ruf nach den alten Kirschtonarten oder den exotischen Tonleitern, als nach einer Erweiterung unseres musikalischen Horizontes ausgehen konnte, ist unbegreiflich, und diese Tatsache gehört ganz sicher zu den ironischsten und beschämendsten Merkmalen der gegenwärtigen Zerrütung und allgemeined Instinktlosigkeit." "möchte ich den Künstlern und Theoretikern, die so dürstend nach anderen Systemen verlangen, dringend empfehlen, ihre Energie für lohnendere Gegenstände aufzusparen. (KPT I: 33, 47)

[15]Emil Hertzka (1869-1932) was the managing director of Universal Edition as of 1907.

open-mouthed at a master's earthly achievements is, to my mind, too uncritical. What would such a 'researcher' (who has written 30 pages of close print about a 15-page keyboard work) have to do if he were to work through Bach's *complete* compositions? However – music and music research are two different matters. Let us allow Schenker his contribution."[16]

The correspondence between Schoenberg and Schenker from September through November 1903 also refers to the orchestration of the *Syrische Tänze*.[17] Subsequent correspondence reveals Schoenberg importuning Schenker to join the *Wiener Ansorge-Verein*,[18] later to become the *Vereinigung schaffender Tonkünstler*, an organization in Vienna devoted to modern music. Judging from the correspondence, Schenker refused all invitations to their meetings. The relationship between the two men became resentful and confrontational in later years with each attacking the other in their respective writings. Schenker virulently attacks modern music and culture in his prefaces to *Kontrapunkt I* (1910) and *Beethovens Neunte Sinfonie* (1912). Schoenberg responded, in his own *Harmonielehre* of 1911 that "what he says there is not much better than the complaining old pensioner [Invaliden-Geraunze] speaking about 'the good old days'."[19]

Schoenberg wrote a polemical essay of his own in 1923 where he criticizes the "Spenglers,[20] Schenkers, and so forth . . . [as] totally lacking in creative talent" and "merely

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[16]Anthony Beaumont, ed. *Ferruccio Busoni: Selected Letters* (London, Boston: Faber and Faber, 1987), 409.

[17]The letters from Schoenberg to Schenker and transcribed and translated in Charlotte Erwin and Bryan R. Simms, "Schoenberg's Correspondence with Heinrich Schenker," *Journal of the Arnold Schoenberg Institute* 5/1 (1981): 23-43. Schenker's replies, unfortunately, are not preserved in either legacy.

[18]Named for Conrad Ansorge (1862-1930) a Berlin pianist and song composer.

[19]Arnold Schoenberg, *Harmonielehre*, 1911, 454n, cited in Bryan R. Simms, "New Documents in the Schoenberg-Schenker Polemic," *Perspectives of New Music* 16/1 (1977), 111.

[20]Oswald Spengler (1880-1936) was a philosopher and social critic whose work *The Decline of the West* (1918-22) compares the history of civilizations to the life cycles of organisms (e.g., every culture passes through the age-

thrashing about with tasteful turns of phrase." He concludes by repenting ever of having praised Schenker, saying, "I so enjoy paying due tribute, or tempering criticism by dwelling on whatever there is to praise – but here I almost believe that I am in the wrong, and that this case calls for action with a firm hand, or even, perhaps, foot."[21] Nevertheless, it is known that Schoenberg possessed and studied a number of Schenker's works at least through 1924. Furthermore, he listed Schenker's works first ("vor allem") in a letter of 3 December 1938 to Hugo Leichtentritt listing "German writers on music who had interested him." Particularly telling is his listing Schenker's works as "before all the others" followed immediately by "although I disagree with almost everything [in them]."[22]

As an advocate of "absolute music," Schenker felt a special disdain for Richard Strauss, both as a conductor and composer. In his 1897 article "Unpersönliche Musik," he wrote contemptuously of Strauss, as the foremost representative of "program music," for attempting to "reproduce Nietzsche's ideas and emotions in the symphonic poem *Also Sprach Zarathustra*" before coming to terms with his own musical individuality.[23] In a diary entry of 29 October 1906 regarding a concert that Strauss conducted, he wrote, "with explicit exposition of his weakness, his ignorance of the synthesis and the lack of a true deep expression and creative organization, [Strauss commits] violence against the best pieces everywhere." Of

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phases of the individual man. Each has its childhood, youth, manhood, and old age. For a comparison of the worldviews of Schenker and Spengler, see Byron Almén, "Prophets of the Decline: The Worldviews of Heinrich Schenker and Oswald Spengler." *Indiana Theory Review* 17/1 (1996): 1-24.

[21]"Those who Complain About the Decline" in *Style and Idea: Selected Writings of Arnold Schoenberg* ed. Leonard Stein (Berkeley: University of California Press, 1984): 203-4.

[22]"vor allem: (obwohl ich fast allen nicht einverstanden bin) Heinrich Schenkers sämtliche Schriften" cited in Jonathan M. Dunsby, "Schoenberg and the Writings of Schenker," *Journal of the Arnold Schoenberg Institute* 2 (1977), 26. The works Schoenberg owned, which contain many glosses and marginalia are: *Ein Beitrag zur Ornamentik, Harmonielehre, Kontrapunkt, Beethovens IX. Sinfonie,* and *Der Tonwille,* vol. 1. The letter is reproduced in Appendix B, page 138.

[23]Heinrich Schenker, "Unpersönliche Musik," *Neue Revue* 8/1 (1897): 464-468, cited in Federhofer 1985, 219.

Strauss's tone poems, Schenker seems to have admired *Tod und Verklärung* and *Till Eulenspiegel*. His diary entries mention his finding *Züge* (linear progressions) in *Tod und Verklärung*, and describing *Till Eulenspiegel* as "quite ingenious" [wirklich genial]. *Don Juan*, however, was dismissed as "melodically banal and corny [*kitschig*]." Schenker disliked the *Sinfonia Domestica* ("incomplete artistry; incomplete instinct"), calling Strauss's compositional style "papier-mâché simplicity."[24] Schenker attended the Viennese premiere of *Salome*, recording the following in his diary for 25 May 1907:

> On the stage, however, without such background, without perceptible prerequisites and causes, merely standing on its own, the violent point of the action is not at all able to work, let alone to shock. The action remains internally distant to the spectator, and only boredom is the effect (provided certainly infection of the nerves remain through complaint and the same play). The music of Strauss is always, in its "motives," (a bar in length and even shorter), always repeating the same trick, the trick of the tension of the neighbor notes—against the whole form an unparalleled triviality. Bad passing motions, etc.[25]

Later, in *Kontrapunkt I*, Schenker writes that "despite heaviest orchestration, despite noisy and pompous gestures, despite "polyphony" and "cacophony," the proudest products of Richard Strauss are inferior – in terms of true musical spirit and authentic inner complexity of texture, form, and articulation – to a string quartet of Haydn, in which external grace hides the

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[24]Federhofer 1985, 257

[25] Auf der Bühne aber ohne solchen Hintergrund, ohne wahrnehmbar Voraussetzungen und Ursachen bloss auf sich selbst gestellt, vermag die grauenvolle Pointe der Handlung ueberhaupt gar nicht zu wirken, geschweige zu erschuettern. Die Handlung bleibt dem Zuschauer innerlich ferne, und nur Langeweile ist die Wirkung (sofern freilich Ansteckung der Nerven durch Reklame und der gleichen ausser Spiel bleibt). – Die Musik von Strauss ist in ihren "Motiven" (ein taktigen und noch kuerzeren!) immer wie der auf delselben Trick gestellt, den Trick der Spannung der Nebennoten, –in den breiteren dagegen von einer Trivialitaet ohnegleichen. Schlechte Durchgaenge usw. Federhofer 1985, 258

inner complexity, just as color and fragrance of a flower render mysterious to humans the undiscovered, great miracles of creation."[26]

Schenker never held an academic post; rather, he supported himself and his wife through private teaching in piano and theory. Many of his students were influential musicians: scholars and pedagogues, conductors, and composers, notably Felix-Eberhard von Cube (1903–1987), John Petrie Dunn (1878–1933), Wilhelm Furtwängler (1886–1954), Anthony von Hoboken (1887–1983), Oswald Jonas (1897–1978), Erwin Ratz (1898–1973), Hermann Roth (1882–1934), Felix Salzer (1904–1986), Otto Vrieslander (1880–1950), Hans Weisse (1892–1940), and Victor Zuckerkandl (1896–1965). Schenker's influence is evident in their writing and teaching.

Furtwängler was particularly impressed with Schenker's ideas on Beethoven's ninth symphony, and his later writings contain many references to Schenker. He was known to have consulted Schenker routinely on scores he was preparing, and the two men enjoyed an amiable correspondence. The idea that resonated most powerfully for Furtwängler was the concept of *Fernhören* ("distance-hearing"). In 1954 he wrote:

> What Schenker places at the center of all of his observations is the concept of *Fernhören* in music . . . *Fernhören* (i.e., hearing applied over great spans to fundamental relationships that often spread across many pages), characterizes for Schenker great classical German music. This is the reason Schenker began again with this classical music, referred to it again and again, and never grew tired of demonstrating its organic superiority to what is considered music today. With the idea of advancing *Fernhören*, Schenker forged a platform, beyond all historical tests, beyond all subjective preferences, and which, properly grasped, will be just as demonstrably certain as other contemporary scientific judgments.[27]

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[26]CPT I: xxi.

In 1927, Schenker founded the *Wiener Archiv für Photogramme musikalischer Meisterhandschriften* with Otto Erich Deutsch (1883–1967) and Anthony van Hoboken.[28] The archive was established in the Austrian National Library to collect and preserve manuscripts of the master composers for use by scholars. The importance that Schenker places on manuscript study for performers and scholars cannot be overstated. Schenker believed that the composer's own notation frequently provided clues to the structure of the work. These clues were often destroyed by modern editors interpolating their own expression marks, altering slurring and bowing markings, and in some cases even changing notes or bar lines. The establishment of the *Photogramme Archiv* made the manuscripts of various composers available in an attempt to counter this practice. Oswald Jonas, a disciple of Schenker's and important proponent of his work, maintained that "most people look upon musical autographs as a hobby or, at most, as historical documents preserved from [*sic*] matters of piety." He goes on to describe how "the master-works are far too often left in their practical reproduction to those whose musical training and instinct are far too imperfect to allow them to understand the depth of the work."[29]

Schenker died on 14 January 1935 with his main work, *Der freie Satz*, still in manuscript form. In his Last Will and Testament (1929), Schenker left everything to his wife and asked that his supporters help her, for he said "my work is also her work." In a second

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[27]Was Schenker in den mittelpunkt aller seiner Betrachtungen stellt, ist der Begriff des Fernhörens in der Musik . . . Das Fernhören, das heißt das Hören, das Ausgerichtetsein auf weite Ferne, auf einen großen, oft viele Seiten weggehenden Zusammenhand, kennzeichnet für Schenker die große klassische deutsche Musik, und es ist dies der Grund, warum Schenker immer wieder von dieser klassischen Musik ausging, immer wieder auf sie hinweis und nich müde wurde, ihre organische Überlegenheit über das, was heute als Musik gilt, nachzuweisen, Mit dem Begriff der Forderung des Fernhörens hat Schenker eine Plattform geschaffen, genau so sicher zu wissenschaftlicher Erkenntnis werden wird, wie die Geschichte andered wissenschäftlicher Erkenntnisse unserer Zeit. Wilhelm Furtwängler, *Ton und Wort*, Brockhaus (Wiesbaden), 1954: 201-202.

[28]Deutsch was Hoboken's music librarian from 1926-1935; he was also considered the leading authority on Schubert. Hoboken was a collector of early editions of music, and most famous for his catalogue of Haydn's works.

[29]Oswald Jonas, "The Photogramm-Archives in Vienna." *Music and Letters* 15/4 (Oct. 1934), 344-45.

document (1934), he requested that his epitaph be "Here rests one who understood the soul of music, who revealed its laws in the spirit of the masters, as none before him."[30] His body was interred in the Central Cemetery in Vienna.[31] Upon his death, his wife made a list of his possessions, including numerous unfinished projects. These include notes for *Der freie Satz* and *Die Kunst des Vortrags*, a treatise on performance. Other unfinished projects included articles on thoroughbass and numerous analytical sketches.[32] She also divided Schenker's literary estate among several of his students. The greater portion of Schenker's literary estate was given to Oswald Jonas and Ernst Oster. Smaller collections may be found in the legacies of Felix Salzer and Rheinhard Oppel.

1.2. Overview of Schenker's Music and its Reception

Part I: Schenker's Published Music

Patrick Miller, in the only article-length source dedicated to Schenker's compositions, notes that "[Schenker's] published compositions, which were printed between 1892 and 1901, consist of seven works, which represent an assimilation of a wide range of musical styles with a predominance of minor keys and ternary form" and that "a close examination of his compositions reveals that prior to the establishment of his reputation as a theorist, Schenker had absorbed many of the stylistic features of the tonal music which he was later to explain

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[30]Hier ruht, der die Seele der Musik vernommen, ihre Gesetze im Sinne der großen verkündet, wie keiner vor ihm. Federhofer 1985, 37.

[31]In an essay-review entitled "Current Issues in Schenkerian Analysis," *Musical Quarterly* 76/2 (Summer 1992): 242-263, Timothy Jackson gives very precise directions for those interested in visiting Schenker's gravesite. Pictures exist in the booklet from the Schenker exhibition in Vienna, *Heinrich Schenker als Rebell und Visionär*, ed. Evelyn Fink (Verlag Lafite: Vienna, 2003), 60.

[32]This list is preserved in OC I.

theoretically."[33] He goes on to say that the compositions themselves reveal an "introspective brooding, emotional quality" and feature "thick textures with a predominance of octave doublings, frequent emphasis of lower registers, harmonic ambiguity, and striking voice-leading effects."[34] In summary, he writes that "the published compositions succinctly reflect not only Schenker's thorough assimilation of the German tonal tradition, but also reveal an individual musical sensibility and a discerning mind that would later investigate that tradition from a new theoretical point of view."[35]

Schenker's published compositions employ a variety of styles and compositional techniques reflecting his close study of the German masters. His published works include a fantasia (op. 2), solo songs (op. 3),[36] seven character pieces (opp. 1 and 4), inventions (op. 5), a part song (op. 7/3), and a set of Ländler (op. 9) as well as the Syrian Dances mentioned above. Patrick Miller describes each of the published works in terms of its stylistic characteristics and speculates on the influence of other composers on Schenker. He focuses in particular on Schumann, especially the Toccata op. 7 and Fantasia op. 17, whose influence is corroborated in both Schenker's correspondence and his diary entries. In fact, Schenker praises Schumann when describing, in a letter to Julius Röntgen, his own compositional style evidenced in his opp. 3 and 5:

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[33]Patrick Miller, "The Published Music of Heinrich Schenker: An Historical-Archival Introduction," *Journal of Musicological Research* 10 (1991), 177-78. Emphasis mine. This point will be demonstrated through the analyses of Part II.

[34]Ibid., 181-82.

[35]Ibid., 194.

[36]A work for accompanied mixed chorus, "Mondnacht," bears "op. 3, Heft 1, no. 1" on its front page (JC XXII:2). One can speculate that it belongs more properly with Schenker's other works for mixed chorus grouped by him as op. 7 (though the other op. 7 works are unaccompanied)

> From everything I've sent, it will be obvious to you that I take no pleasure in getting wrapped up in enharmonicism and chromaticism, as people are so fond of doing today in the most childish of ways. The reason for all the present carrying on is the following view of mine: No one has such a brilliant sense of tonality that he is able to write with such brilliant, multifaceted inventiveness (and, in turn, in such multifaceted forms) as, e.g., Schumann.[37]

Opus	Title	Publisher	Date	Dedicatee
1	Zwei Clavierstücke	Doblinger	1892	Julius Epstein
2	Fantasie für Pianoforte	Breitkopf	1898	Feruccio Busoni
3	Sechs Lieder	Breitkopf	1901	[none]
4	Fünf Klavierstücke	Breitkopf	1898	Feruccio Busoni
5	Zweistimmige Inventionen	Breitkopf	1901	Irene Mayerhofer
7/3	Vorüber[38]	Unknown	Unknown	[none]
10	Ländler	Simrock	1899	Wilhelm Kux
[9][39]	Syrische Tänze	Wieinberger	n.d.	Alphons von Rothschild

Table 1.1 Schenker's Published Compositions, 1892–1901

Opus 1: Zwei Clavierstücke

Marc Rochester, in a recent review of the reissue of Schenker's op. 1 notes that Schenker "had been a fairly successful composer." He writes, "both the Etude and Capriccio are lively pieces showing little of the dryness so often a feature of late 19th-century German piano music. That Schenker was a pupil of Bruckner is clear in the harmonic language, but beyond that much of the melodic and rhythmic shape shows that had he pursued a career as a composer he would

[37] Aus Allem Eingesandten aber werden Sie ersehen, dass es mir kein Spass ist, mit Enharmonik u Chromatik umzuspringen, so, wie man es gerne in kindischester Weise heute thut. Die Ursache alles heutigen Treibens ist meiner Ansicht nach wohl die: **{6}** Keiner hat ein so geniales Tonartgefühl, keine so geniale Mannigfaltigkeit der Erfindung u. was dasselbe Mannigfaltigkeit der Form, um so schreiben zu können, wie z. B. sagen wir: Schumann. Federhofer 1985: 189-92, translated by Ian D. Bent on the Schenker Correspondence Project website http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/nmi_c_17601_41301.html.

[38] There exist in the JC XXII: 9 photocopies of four printed pages numbered 151 – 154 containing *Vorüber* in open score. The name and date of the publication is unknown.

[39] The *Syrische Tänze* do not bear an opus number. Inasmuch as Schenker's opus numbers do not seem to reflect chronology, The piece should logically be considered his op. 9. This would result in ten opuses, either grouped by him or published, with no gaps in the numbering.

have had much that was original and distinctive to offer."[40] Miller perceives the influence of Schumann and Chopin in his discussion of the piece, which has been recorded by Anne Koscielny and by Peter Barcaba.[41]

> Each piece focuses on a specific technical-musical task. In the Etude, legato playing of double notes in required, while the Capriccio consists of the powerful execution of elaborate arpeggiations. The overall musical effect of the pairing of the two pieces is that the Etude serves as a kind of prelude to the impassioned Capriccio. The quiet, yet agitated, Etude recalls to a certain extent the pianistic writing of Schumann (e.g., Toccata in C major, op. 7), while the dramatic Capriccio, with its tempestuous mood, declamatory expression, and brilliant pianistic surface clearly shows the influence of Chopin (e.g., Etude in F minor, op. 10/9). ... Both pieces, however, reveal in introspective, brooding emotional quality."[42]

Opus 2: Fantasie für Pianoforte

The Fantasia for piano is easily Schenker's most ambitious work. It was performed on his concert tour with Messchaert and was, judging from correspondence, also performed in some form by Busoni, although I have been unable to locate programs corroborating this. Milles assesses the Fantasie as very Schumannesque:

> With its shifting moods and apparently free form, the work seems to have been inspired by Schumann's *Fantasie* in C major, op. 17. The title of the work and the tempo-expressive marking for the first movement . . . confirm a conscious similarity to Schumann's *Fantasie*. ... Perhaps more than any of his published compositions, the *Fantasie* reveals important aspects of Schenker's compositional personality. While the work displays imaginative thematic development and striking textural patterns, the overall mood of the composition is primarily introspective rather than extroverted.[43]

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[40]*The Musical Times*, vol. 124, No. 1686 (Aug., 1983): 490.

[41]For Koscielny's recording, see the Musical Heritage Society disc MHS 522205H. Barcaba's recording is part of a multimedia presentation accompanying the proceedings from the Schenker symposium in Vienna, *Schenker-Traditionen*, ed. Evelyn Fink and Martin Eybl (Köln: Böhlau, 2006)

[42]Miller 1991, 181.

[43]Miller 1991, 181, 184.

Opus 3: Sechs Lieder

Schenker's only published set of songs contain settings of poems by Ludwig Jacobowski (*Versteckte Jasminen, Vogel im Busch, Ausklang, Allein*) Detlev von Liliencron (*Wiegenlied*), and Wilhelm Müller (*Einkleidung*). According to Patrick Miller, the songs are reminiscent of the *Lieder* of Schubert and Brahms and show a predominant influence of Schumann.[44] A review of his op. 3 *Lieder* from the *Neue Musikalische Presse* of March 1905 by "H. G.," however, was unflattering:

> [These] songs would have better remained unwritten and unpublished. They propose criminal tasks to the singer and the listener. In any case, a "lullaby" would have been enjoyable although the one included also swarms with ugliness and eccentricities. The intentions of the author are often good, and if one considers the score without differentiating the tones, one may believe that he recognizes characteristic lines. But the tones! Discordant crazy ideas that must have been imagined with effort.[45]

Eduard Gärtner was a vocalist and (based on the photograph in Appendix C.2) a violinist. He supported Schenker's compositional work and is known to have performed several of Schenker's songs in recitals. He performed *Ausklang* from the op. 3 songs and *Heimat, Nachtgruß,* and *Meeresstille* from the op. 6 songs on two separate recitals.[46] In a letter to Röntgen, Schenker writes:

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[44]Miller 1991, 185.

[45]Lieder, die besser ungeschrieben und ungedruckt geblieben wären. Sue muten dem Sänger und Hörer wahre Strafaufgaben zu Geniessbar wäre allenfalls ein "Wiegenlied" obwohl es auch darin von Hässlichkeiten und Verschrobenheiten wimmelt. Die Intentionen des Autors sind oft gut und wenn man das Blatt aus einer Sah weite betrachtet, dass man ein Notenbilderhält, ohne die Noten selbst unterscheiden zu können, mag man treffende Züge der Charakteristik zu erkennen glauben. Aber die Noten! Misstönigeres Schrullen hafteres lässt sich mit Mühe ausdenken. OC II: 18.

[46]16 Nov 1900 and 19 Mar 1902. See Appendix B, illustrations B.3 and B.4 for the concert programs

> I am absolutely certain that you must—that you simply must—find one of the [op. 3] Lieder pleasing (so firmly am I convinced of this, and I say so nevertheless with all the modesty that you and I both deserve): "Der Ausklang." There is, incidentally, a strange, uncanny reason for this ... (and here comes the tragedy): On the same evening as the concert [19 March 1902] , almost the same hour, even the same minute in which Gärtner performed [my work], the uncommonly congenial author of the poem "Leuchtende Tage"—the author of "Ausklang"—died in Berlin, before the end of his thirty-second year!! If Gärtner had sung "Ausklang" at that moment, how strange the coincidence would have been![47]

Miller, in his article, suggests that *Ausklang* is the "most effective" of the set; it is surely the most introspective and somber. Röntgen largely concurs in his reply to Schenker:

> To me, "Ausklang" stands out among the Lieder. The marvelous text has found immediate expression in the music, and the Lied must make a profound impression. The other Lieder seem a bit less natural to me (with the exception of the delightful "Wiegenlied"!). But the texts are of a wittier sort, and you have illustrated everything interestingly! The last Lied is least to my liking—it seems, to me, to be too heavy for the clever text in places (the G♯ minor episode). As I said, however, I must probe them further and ask that you consider these few words as merely provisional.[48]

This particular song merits further discussion especially because is it singled out for praise both by the composer himself and a prominent colleague and, in addition, was programmed on

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[47]Zweifle ich gar nicht, – so fest überzeugt bin ich davon, u. sage es dennoch mit aller Bescheidenheit, die mir vor mir selbst u. vor Ihnen doch zukommt, – dass Ihnen unter {4} den Liedern ein einziges gefallen muss, ja, gefallen muss: „Der Ausklang". Damit hat es übrigens eine düstere, unheimliche Bewandtnis. ... – hier setzt eine Tragik ein – denken Sie: am selben Abend des Concertes, fast auf die Stunde, auf die Minute genau, in der Gärtner mich vortrug, starb in Berlin der umgemein [*recte:* ungemein] sympatische Dichter der "Leuchtenden Tage", der Autor des "Ausklangs" in Alter von nicht 32 Jahren!! Hätte Gärtner um diese Minute den "Ausklang" gesungen, wie eigentümlich wäre diese Zusammentreffen gewesen! Federhofer 1985: 189-92. Translated by Ian Bent on the Schenker Correspondence Project website http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/nmi_c_17601_41301. See Appendix B, illustration B.4 for the concert program.

48 "Ausklang" steht mir unter den Liedern obenan. Der herrliche Text hat einen unmittelbaren Ausdruck in der Musik gefunden und das Lied muß eine tiefe Wirkung machen. Die anderen Lieder kommen mir zum Theil nicht so natürlich vor (das reizende Wiegenlied [*in lower right corner:*] ausgenommen!) Die Texte sind ja aber auch mehr geistreicher Art und interessant haben Sie Alles illustrirt! Am Wenigsten sagt mir das letzte Lied zu – mir kommt's hie und da etwas zu schwer für den leichtfertigen Text vor (gis-moll *Episode*)[.] Doch, wie gesagt, ich muß noch besser eindringen und bitte Sie diese paar Worte nur als vorläufig anzusehen. Federhofer 1985: 189-92. Translated by Ian Bent on the Schenker Correspondence Project website http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/nmi_c_17601_41301

recitals to the exclusion of the other songs of the set. The text, below, bespeaks the redemptive nature of suffering and sorrow. Sorrow, Jacabowski writes, has "justly" wounded us out of the depths of our hearts. It is as if our hearts convict us of a wrongdoing. If we overcome it through contrition, we will then be blessed by it and grow spiritually. Schenker sents the poem in F♯ minor, moves through D♯ major, G major, C minor, and B♭ major before returning to F♯ and ends the tonic major.

Es wird kein Leid so tief gefunden dem Heil und Heilung nicht begegnet. Und hast Du's innig überwunden, so recht aus Herzensgrund verwunden, hat's Dich am Ende noch gesegnet	There is no sorrow felt so deeply For which one will not meet salvation and healing. And if you have oversoce it deeply which has so justly wounded you for reasons of your heart, then in the end it will yet bless you

Table 1.2 Ludwig Jacobowski's *Ausklang*

Opus 4: Fünf Klavierstücke

His op. 4 piano pieces were reviewed in *The Musical Times* (March 1, 1900: 175). The unidentified reviewer describes the pieces as "more difficult [than Roland Revell's *Five Caprices*] but they would repay the extra practice they might require. The would form excellent studies for development of independence between the hands, a feature of pianoforte playing which does not always receive the attention it deserves."[49] Miller describes the pieces as follows:

> With regard to key, thematic material, and texture, the first piece closely resembles passages from the first movement of Schenker's *Fantasie*. The pastoral character of the second piece recalls Schubert, with its simple folklike thematic material, while the haunting melody and impassioned development of the third piece reflect the influence of Beethoven and Brahms. ... Like the first piece of the set, the fourth piece, with its drone-like qualities also resembles in texture passages from the *Fantasie*. The fifth piece opens in a leisurely

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[49]*The Musical Times and Singing Class Circular*, Vol. 41, No. 685. (Mar. 1, 1900), p. 175.

> manner, eventually gives way to declamatory passages, and concludes with arresting harmonies and textures.[50]

Opus 5: Zweistimmige Inventionen

Schenker is known to have sent Julius Röntgen a copy of his *Zweistimmige Inventionen.* He seems to have been particularly fond on no. 2 of the set of four. He wrote to Röntgen on 13 April 1901, "I hope that *Invention* No. 2, of which I am very proud, interests you. It is indeed rather quick—I mean passionate, deliberate, very expressive! It is here, primarily, where I've breached modernism. It would make me very happy if this invention pleased you."[51] Patrick Miller offers this assessment of these works vis-à-vis Scheker's other published output.

> The four pieces in this set seemingly mark a departure from the dense harmonic and rhythmic textures of Schenker's previously published piano compositions. The intricate melodic lines of these pieces, however, imply a texture rich with harmonic and rhythmic details. ... The first invention is a delicate chromatic study, while the second invention is an intense chromatic piece based on the B–A–C–H motive, B♭–A–C–B. With regard to thematic material and texture, the third invention is the most transparent of the set and is an exacting study in finger articulation. The fourth invention is a canon and, according to a printed footnote, is 'a study after JS Bach's Invention no. 2 (C minor)[52]

Opus 9: Ländler

The Ländler are a set of Austro-German folk dances in three-quarter time. Although written as a set, the individual dances seem successively composed. The opening and closing dance are identical, but there is no formal scheme that one can speak of.

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[50] Miller 1991, 185.

[51] "Ich bitte Sie um Ihr Interesse für die Invention Nº 2, auf die ich sehr stolz bin. Sie ist sogar ziemlich rasch, ich meine passionirt, gedacht, sehr ausdrucksvoll! Hier ist es hauptsächlich, wo ich das Moderne brachte. Es würde mich sehr freuen, wenn diese Inv. Ihnen gefallen wollte." Federhofer 1985: 189-92.

[52] Ibid., 187, 190.

> In the tradition of Schubert and Brahms, theses dance–like 'character pieces' combine simple folklike melodies with inventive harmonic digressions and varied textural juxtapositions. The *Ländler* begin and end in G major and commence with musical material designated *tempo giusto*.[53]

Syrische Tänze

In January of 1900, Schenker and fellow pianist Moriz Violin (1879–1959) premiered Schenker's *Syrische Tänze* for piano, four hands. This work proved to be a high point in his career, for it sparked an unlikely relationship between himself and Ferruccio Busoni (1866–1924), ever the proponent of new music. The correspondence between Schenker and Busoni from November 1900 through September 1903 regards the *Syrische Tänze*. Busoni evaluated the work favorably (after playing through them, he pronounced them "genial") and desired to perform them in an orchestral version with the Berlin Philharmonic. He thought that they would serve well to introduce Schenker in his concert "of new and rarely played works." In a letter of 25 August 1903, he writes to Schenker: "I would like very, very much to have your name on the program and thought that an *orchestral version* of the *Syrische Tänze* would introduce you well. Do you have the pieces for orchestra? They 'cry out' for it, and I pray you, to realize this wish for me and write to me with your opinion about it."[54]

After securing Schenker's approval, he contacted Arnold Schoenberg (1874–1951) to orchestrate the dances, so that he "could have his name on the program as well." Schenker, upon studying Schoenberg's orchestration, remarked in a letter to Busoni, "a first glance suggests the style of Richard Strauss. Not to my personal taste,

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[53] Ibid., 185, 187.

[54] Ich möchte Sie sehr, sehr gern auf dem Programm haben und dachte, daß eine orcherstrirte Auswahl der Syrischer Taenze Sie sehr günstig einführen würde. Haben Sie die Sachen für Orchester? Sie 'schreien' danach, und ich bitte Sie, mir diesen Wunsch zu ermöglichen und umgehend Ihre Meinung darüber zu schreiben. Ibid., 82.

using the orchestra that way. But, if I'm not mistaken, it will sound quite good."[55] This work was performed on a concert of the Berlin Philharmonic on 5 November 1905.[56] Thus, three of the great talents of the early twentieth century collaborated on this work as composer, orchestrator, and conductor.

The *Syrische Tänze* received generally negative reviews. One reviewer, complaining of about the lack of German music on the program, wrote that "[the *Syrische Tänze*] have nothing one can distinguish from Negro marches, Turkish shepherd music, and similar enchantments."[57] Many reviewers called it simply "entertainment music" [*Unterhaltungsmusik*].[58] One reviewer mentions Schoenberg's orchestration, writing that "[it] stands in proper relation to the content." Others speak of his "erotic colors."[59] One of the more colorful reviewers calls the *Tänze* "banal in the highest degree" and writes "during them, one felt as if he were in a hospital imagining drunken dervishes or belly-dancers across the way."[60] Still other reviewers called them "trivial and uninteresting" and stated that they "[do] not belong at a serious concert."[61]

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[55]Erwin, Charlotte and Bryan R. Simms. "Schoenberg's Correspondence with Heinrich Schenker," *Journal of the Arnold Schoenberg Institute* 5/1 (1981): 23-43.

[56]A copy of the concert program, in the JC XXXV: 5, shows the work having been performed along with d'Indy's *L'Entranger,* Debussy's *Prelude de l'aprés-midi d'un faun,* Berlioz's March from *Troyenes,* and Nielsen's *4 Temperamente.*

[57][die *Syrische Tänze*] haben nichts, was sie wesentlich von Niggermärschen, türkischer Scharwachenmusik und dergleichen Zauber unterscheidet. *Berliner Local-Anzeiger* 6 November 1903. OC II: 5.

[58]See, for example, reviews in *Berliner Börsencourier* (6 November 1903) and *Berliner Tageblatt* (7 November 1903) etc. OC II: 6

[59]*Die Gegenwart* (Berlin), 12 November 1903. OC II: 7

[60]Bei jenen glaubte man sich ins Krankenhaus verfeßt, bei den Tänzen wähnte man sich betrunkenen Derwischen ofer Bauchtänzerinnen gegenüber zu sehen. *Tägliche Rundschau* (Berlin), 9 November 1903. OC II: 7.

Miller describes the character of the dances:

> The first dance of book one opens with a wistful section followed by an energetic *allegro scherzando* which builds in intensity until the unexpected end. ... The second dance of book one begins with a forceful section of persistent dissonances which gives way to a bright *vivace* middle section. A plaintive melody is presented at the outset of the first dance of book two and leads into a lyrical middle section." The second dance of book two consists of repetitive rhythms, abrupt syncopations, and compressed melodies which provide an energetic finale for the set.[62]

Part II: Schenker's Unpublished Compositions

Schenker's compositional manuscripts number over 450 pages contained in 48 folders in Box XXII and XXIII of the Oswald Jonas Memorial Collection at the University of California, Riverside. These are songs (177 pages), incidental music for *Hamlet* (40 pages), Moriz Violin's instrumentation of the *Syrian Dances* (94 pages), and Schenker's instrumental works (122 pages) plus 25 pages of sketches. Among his unpublished works are thirty-six complete songs, only six of which bear dates, all before 1899 (see table 1.3 and 1.4). Schenker's texts are drawn from the German Romantic poets, with the exception of German translations of Sappho ("Eros rüffelt mich wieder") and Byron ("O mein einsem Kissen"). His unpublished songs bearing opus numbers include (1) a set of three (possibly four) songs for solo voice and piano, op. 6[63]; (2) three songs for mixed chorus, op. 7[64]; and four songs for

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[61]Sie sind belanglos und uninteressant und gehören kaum in ein ernstes Konzert. *Nationalzeitung (Berlin),* 10 November 1903. OC II: 7.

[62]Miller 1991, 190, 194.

[63]Manuscript sources include JC XXII:3—6, of in which no. 3 is given twice, to two different Goethe texts. The first, "Meeresstille," is in Schenker's hand (nos. 1 and 2 being in a his copyist's hand), and the second, "Wanderers Nachtlied" is in the same copyist's hand. This leads me to believe that perhaps Wanderers Nachtlied was being prepared for publication. Curiously, the disputed no. 3 was not performed along with the other two Gärtner's concert on 26 January 1905 (see table 1.5)

women's chorus, op. 8. Several songs, moreover, exist in more than one version, indicating revision. The three (or four) op. 6 songs are found both individually and as conjugate manuscript leaves. The opus 8 songs also are found in more than one version and the three (or four) songs are likewise found individually and within conjugate manuscript leaves. Other songs that have more than one source include *Drunten auf der Gassen, Der Gang von Wittow nach Jasmund, Mir Träumte von einen Myrthenbaum, O Mein einsam, einsam, einsam Kissen.*

His unpublished instrumental works number two piano pieces, eight string trio movements, four string quartet movements, a work for horn, and incidental music for *Hamlet.* Judging from the scores, Schenker had a proclivity for minor keys and triple meters, as well as a marked fondness for the string trio. Some manuscripts give indications of being part of larger works (e.g., the string trios marked "II," Scherzo, etc.), but it is difficult to determine this conclusively.

[64]One of the songs for mixed chorus, *Vorüber* op. 7/3, was published (see above). All are listed in table 1.2.

Source	Title and opus number	Poet	Tempo	Key	Time	Range*
Opus 3 [?] (mixed chorus [SATB] songs)						
JC XXII: 2	Mondnacht (Op. 3, Heft 1, No. 1 SATB)	Richard Dehmel	Träumerisch und leise	D Minor	4/4	S: C♯4–5; A: G4–E5
						T: D3 – G4; B: G2 – D4
Opus 6 (3 – 4 solo songs)						
JC XXII: 3 and 4	Heimat, op. 6/1	Richard Dehmel	Unruhig (fast im Allebreve)	C Minor	4/4	C4 – F♯5
JC XXII: 3 and 5	Nachtgruß, op. 6/2	Johann von Eichendorff	Leise, mit Ausdruck	B♭ Major	4/4	C4 – F5
JC XXII: 3	Meeresstille, op. 6/3	Johann Wolfgang von Goethe	Sehr langsam	G Major	3/4	A♭3 – F5
JC XXII: 6	Wanders Nachtlied, op. 6/3	J. W. Goethe	Feierlich, nicht zu langsam	D♭ Major	4/4	G3 – D5
Opus 7 (3 mixed chorus [SATB] songs)						
JC XXII: 7	Was ich liebe?, op. 7/1	Johanna Ambrosius	Poco Allegro	D Major	4/4	S: E4 – A5; A: B3 – D5
						T: F♯3 – G4; B: A2 – E4
JC XXII: 8	Die Nachtigall, op. 7/2	Theodore Storm	Grazioso	E Major	2/4	S: E4 – F♭5; A: B3 – D5
						T: F♯3 – A4; B: E2 – C4
JC XXII: 9	Vorüber, op. 7/3	J. Ambrosius	Andante non lento	E Minor	4/4	S: D♯4 – G5; A: A♭4 – C♯5
						T: D3 – A4; B: E2 – E4
Opus 8 (3 – 4 women's chorus [SSAA] songs)						
JC XXII: 10	Agnes, op. 8/1	Eduard Mörike	Andante	A Minor	3/4	S1: G4 – G5; S2: D4 – E5
						A1: B3 – D4; A2: E3 – A4
JC XXII: 10 and 11	Im Rosenbusch die Liebe schlief, op. 8/2	Hoffmann von Fallersleben	Ziemlich Schnell	B♭ Major	¢	S1: D4 – G5; S2: D4 – E5
						A1: B♭3 – C5; A2: F3 – B♭4
JC XXII: 10 and 12	Der Traum, op. 8/3	Ludwig Uhland	Träumerisch langsam	B Major	4/4	S1: G♯4 – G5;S2: C♯4 – D♯5
						A1: G3 – E5; A2: E3 – C5
JC XXII: 13	Tausend schöne golden Sterne, op. 8/4	Ludwig Uhland	Allegretto	E Major	6/8	S1: G♯4 – G♯5; S2: E4 – C♯5
						A1: D♯5 – B5; A2: E3 – G4

Table 1.3 Unpublished Songs with Opus Numbers

JC XXII: 25	Ich bei dir gewesen	Johanna Ambrosius	Langsam	G# Major	4	4	B#3 - F5
JC XXII: 29	Mein Freund	Johanna Ambrosius	Maestoso	F# Major	¢	4	C#4 - D5
JC XXII: 31	O mein einsam Kinen	George Gordon Noel Byron	[illegible]	E Minor	4	4	E4 - D5
JC XXII: 34	Wiegenlied "Reinchen, beruhchen,"	Richard Dehmel	Andantino semplice	G Major	4	4	D4 - G5
JC XXII: 30	Die Nachtgallen (6 - 19 - 1897)	Johann von Eichendorff	Träumerisch, sehr langsam	G Major	¢	4	D4 - E5
JC XXII: 15	Blumengruß	Johann Wolfgang von Goethe	Allegretto Grazioso	C Major	3	4	C4 - G5
JC XXII: 33	Das Stäubchen. [Abhhhmmcch] (6 23 1897) (SATB)	Johann Wolfgang von Goethe	Mäßig, Langsam	E Minor	6	8	S: G4 - B4; A: G3 - E5
JC XXII: 20	Harfenspieler (8 - 10 - 1897) (SATB)	Johann Wolfgang von Goethe	Andante	F# Major	¢	4	T: D4 - G4; B: E2 - D4 S: F#4 - A5; A: A3 - D4 T: D3 - G4; B: G2 - D4
JC XXII: 27	Zwischen Weizen und Korn [Mailied]	Johann Wolfgang von Goethe	non lagano	Db Major	2	2	Db4 - F5
JC XXII: 23	Auf die Nacht in der Spinnstubyn (7 - 1895)	Paul Heyse	Poco Sostenuto	G Minor	3	8	D4 - F6
JC XXII: 17	Dornröse auf der Gassen	Paul Heyse	Bewegt	G Minor	2	4	F#4 - G5
JC XXII: 24	Der Himmel hat keine Sterne so Klar [Mädchenlied]	Paul Heyse	Langsam	D Major	4	4	D4 - F6
JC XXII: 26	Mir traumte von einem Myrthenbaum	Paul Heyse	Langsam, leise	D Minor	4	4	C#4 - D5
JC XXII: 26	Mir traumte von einem Myrthenbaum	Paul Heyse	Innisch gekehrt	F Minor	4	4	E4 - A5
JC XXII: 43	Der Lindenbaum	H. Myrtenfeder	Ziemlich Langsam	D Minor	3	8	C4 - G5
JC XXII: 19	Der Gang von Willow nach Jammoal	Wilhelm Müller	[none]	Bb Major	2	4	Bb3 - F5
JC XXII: 19	Der Gang von Willow nach Jammoal	Wilhelm Müller	Allegro agitato	D Minor	¢	4	A3 - E5
JC XXII: 16	Die Braut (5 - 14 - 1898)	Wilhelm Müller	Beweegt (und) klagend	F Minor	¢	4	D#4 - G5
JC XXII: 18	Eros rüffelt mich Wieder	Sappho	Allegro moderato	F# Minor	3	4	C4 - E5
JC XXII: 14	Der Abschied	Unknown	Allegro Risoluto	G# Major	4	4	C4 - E5
JC XXII: 21	Ich bin' im Himmel Rosse Traben	Unknown	Allegretto	C# Major	¢	4	C#4 - F5
JC XXII: 28	Mei Schatz hat mir 'n Kuss gestoh	Unknown	[none]	D Major	3	4	C4 - F5
JC XXII: 32	Rosenzeit	Unknown	[none]	D Major	4	4	D4 - E5

Table 1.4 Unpublished vocal music without opus numbers

Judging from the number of reviews in Schenker's scrapbook,[65] his best known works were his arrangements of J. S. and C. P. E. Bach, the *Syrische Tänze* (best known in Schoenberg's orchestral setting), and three works for women's chorus: *Vorüber,* op. 7/3 after a poem by Johanna Ambrosius (1854–1938), *Agnes*, op. 8/1, after a poem by Eduard Mörike (1804–1875), and *Im Rosenbusch der Liebe schlief,* op. 8/2 after Hoffman von Fallersleben's (1798–1874) poem. Of these, *Vorüber* was performed in December 1903 at a concert of the *Wiener Sängerverein,* and *Agnes* and *Im Rosenbusch der Liebe Schlief* in February of 1904.[66]

Vorüber, according to H. von Friedländer-Abel's review "snakes through the church modes and then trivially ends with a reminiscence of the song-table. [*Liedertafelreminiszenzen]*"[67] Another reviewer described its "wonderful text" and its "having been composed with great art."[68] Regarding *Agnes* and *Im Rosenbusch der Liebe* Schlief, a reviewer from an unidentified periodical wrote "these charming *a capella* pieces for women's chorus are the best that I, as a knowledgeable author on music, know of the effective compositions.[69] Still another wrote, "[the pieces] show consummate mastery of setting technique and a rich artistic experience. The old and modern elements of style are bound

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[65]The scrapbook is preserved in OC II. It was begun in 1902 and maintained until Schenker's death in 1935.

[66]The concert programs are preserved in JC XXXV: 5. See table 1.5 below for a list of performances.

[67]Heinrich Schenker's "Vorüber," . . . durch die Kirschentonarten durchschlängelt und dann recht trivial mit Liedertafelreminiszenzen zu enden. *Montags-Revue* (21 December 1903), OC II: 8. The reference *Liedertafelreminiszenzen* is obscure; the author possibly means either (1) that the song ends with the same melodic material with which it began, or that (2) an announcement was made reminding the audience about the singing society. The *Reminiszenzen* ("reminiscence") is an operetta convention of repeating a song with the whole company at the end of the work.

[68]Heinrich Schenker dirigirte ein auf wundervollen Text der Johanna Ambrosius mit viel Kunst komponiertes Tonstück "Vorüber." *Fremdenblatt* (Vienna), 24 December 1903. OC II: 8.

[69]Diese reizenden a-capella-Stücke für Frauenstimmen sind das beste, was ich von dem auch als kenntnißreichen Musikschriftsteller wirkenden Compositionen kenne. *Unidentified Periodical,* 2 March 1904. OC II: 13.

harmoniously. The first choir [*Agnes*] effectively developed its intimate charm, but the piquancy in the voice-leading of the second [*Rosenbusch*] was a bit blurred."[70]

TITLE	INSTRUMENT	TEMPO	TIME, KEY	DATE
Monolog	Piano	[None]	$\frac{2}{4}$, A♭ Major	
"V."	Piano	Träumersich bewegt	$\frac{4}{4}$, D Minor	1893
Serenade	Horn, Piano	Rasch	$\frac{2}{4}$, A Major	<1893[71]
[Trio]	Violin, Viola, Piano	Allegro [moderato]	$\frac{3}{4}$, C Minor	
[Trio] "II"	Violin, Viola, Piano	Allegretto	$\frac{3}{4}$, E Minor	
[Trio]	Violin, Viola, Piano	Andante	$\frac{2}{4}$, C Minor	4 Apr ??
"Scherzo"	Violin, Viola, Piano	[None]	$\frac{3}{4}$, G Minor	
"Finale"	Violin, Viola, Piano	[None]	$\frac{2}{4}$, C Major	
[Trio]	Violin, Viola, Piano	[None]	$\frac{3}{4}$, E Minor	
[Trio]	Violin, Viola, Piano	[None]	$\frac{3}{4}$, E Major	
"Streichtrio"	Violin, Viola, Cello	[None]	$\frac{3}{4}$, F Major	
"Aria"	2 Violins, Viola, Cello	Allegretto (quasi allegro) con sentimento	$\frac{3}{8}$, C Major	
"Scherzo"	2 Violins, Viola, Cello	Prestissimo e capriccioso	$\frac{2}{8}$, G Minor	
[Quartet]	2 Violins, Viola, Cello	Largo	$\frac{3}{4}$, A Minor	
"Scene"	2 Violins, Viola, Cello	Andante, con molto espressione	$\frac{2}{4}$, A Minor	

Table 1.5 Unpublished Instrumental Compositions

Schenker's arrangements of two J. S. Bach cantatas were quite successful, the first of which ("*Selig ist der Mann*," BWV 57) was performed in November and December of 1902 and the second ("*Ich will den Kreutzstab gern tragen*," BWV 56) in January and April of 1911. The reviewers, as is perhaps to be expected, devoted more space to discussions of Gärtner's performance and Bach's music than technical details of Schenker's arrangements. Schenker was said to have "led [the performance of BWV 57] with great piety, correct style, and effectiveness."[72]

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[70][die Chöre] zeigen vollendete Beherrschung der schweierigen Sasstechnik und reiche Kunsterfahrung, die alte und moderne Elemente des Stils harmonisch bindet. Der erste Chor entfaltete wirksam seine intimen Reize, doch die Pikanterien in der Stimmführung des zeriten wurden im Vortrage ein wenig verwischt. *Wiener Abendpost* (4 arch 1904). OC II: 13.

[71]This is surmised because of the performance date of 5 Aug 1893 (see table 1.5 below)

Other musicians programmed Schenker's works on their recitals. Eduard Gärtner (1862–1918) performed Schenker's *Meeresstille* op. 6/3 and *Blumengruß* on 19 January 1895, his *Wiegenlied* op. 3/2 (accompanied by Alexander Zemlinsky) on 1 December 1900, *Ausklang* op. 3/4 on 19 March 1902, and his *Heimat* and *Nachtgruß* op. 6/1–2 on 26 January 1905. Louis Savant, also a friend of Schenker, performed the latter's unpublished horn serenade on concerts of 5 August 1893 and 5 March 1894.[73]

DATE	WORKS	PERFORMERS
5 Aug 1893	Horn Serenade	Louis Savart (horn), Martha Horning (piano)
5 Mar 1894	Horn Serenade	L. Savart (horn), Maria Baumeyer (piano)
19 Jan 1895	*Meeresstille* (op. 6/3a), *Blumengruß*	Eduard Gärtner (voice)
8 Jan 1899	*Legende* (from op. 2), *Klavierstück* op. 4/2	Heinrich Schenker (piano)
14 Jan 1899	*Legende* (from op. 2), *Klavierstück* op. 4/2	H. Schenker (piano)
26 Jan 1900	*Syrische Tänze* (Piano, four hands)	H. Schenker, Moriz Violin
16 Nov 1900	*Wiegenlied* (op. 3/2)	E. Gärtner (voice), Alexander von Zemlinsky(piano)
19 Mar 1902	*Ausklang* (op. 3/4)	E. Gärtner (voice)
18 Nov 1903	*Vorüber* op. 7/3	Wiener Singakademie, H. Schenker (dir.)
3 Nov 1904	Arr. Of Ph. Em. Bach's A-Minor Concerto (W. 26, H. 430)	H. Schenker (piano), M. Violin (dir.)
26 Jan 1905	*Heimat* (op. 6/1), *Nachtgruß* (op. 6/2)	E. Gärtner (voice)
5 Nov 1905	*Syrische Tänze* (Orchestrated by Schoenberg)	Berlin Philharmonic (Ferruccio Busoni, dir.)
15 Apr 1906	Arr. Ph. Em. Bach's A-Minor Concerto	Richard Epstein (piano)
13 Jan 1911	Arr. *Selig ist der Mann* (BWV 57)	E. Gärtner, Mina Lefler
	Arr. Ph. Em. Bach's F-Major Concerto (W. 46, H. 410)	Paul de Conne, M. Violin (pianos)
	Arr. *Ich will den Kreutzstab gern Tragen* (BWV 56)	E. Gärtner
17 May 1911	Arr. Ph. Em. Bach's A-Minor Concerto	Anna Voileanu (piano)
	Arr. Händel's B Major concerto	Stefania Goldner, Angela Novack (harps)
	Arr. Ph. Em. Bach's F-Major Concerto	Aurelre Cerné, Stella Wang (pianos)

Table 1.6 Contemporaneous Performances of Schenker's Works[74]

Later in life, in a diary entry of 10 October 1931, Schenker reflected that " my compositions, real 'treasures,' are as original in the world of today as my theory! Those around

[72]Dr. Schenker führten das Werk mit voller Pietät, stilgerecht und wirkungsvoll aus. *Neue Musikalische Presse* (Vienna), 23 November 1902. OC II: 1.
[73]JC XXXV: 5. See the illustration in Appendix B.2. for a picture of Savart and Gärtner

[74]Based on concert programs (JC XXXV: 5) or Schenker's scrapbook (OC II)

me and the public have suitably treasured and admired the works, – it was clear to me, however, that I would not arrive at the level of master, let alone surpass one – on the other hand, I felt the duty to place into the world that which only I knew. Today, however, I am proud of what I was able to accomplish compositionally."[75] Judging from the reviews that Schenker kept in his scrapbook, the Viennese public and critics did not share his optimistic appraisal of his compositions. As far as his renunciation of composition goes, Schenker said, "I composed many [pieces] in my youth, [and] my things were received with applause; but when I saw how people misunderstood Brahms, I suffered so much because of it, that I let everything stand and wrote my theoretical works."[76] Evidence in Schenker's correspondence suggests that, precisely because of the negative reviews of his compositions, he elected to publish his first theoretical work, *Harmonielehre*, anonymously. In a letter to the publisher, Cotta Verlag, dated 8 November 1905, Schenker writes about his condition of anonymity:

> First let me explain the anonymity. A critical edition of C. P. E. Bach, published by order of Universal Edition here, to which I have written a supplementary book, *A Contribution to Ornamentation*, has had such success with the press and the public that, in accordance with an long-standing human foible, hostile opinions have suddenly been expressed about my work as a composer, despite the successes of the performances, and despite the fact that firms such as Simrock, Breitkopf & Härtel, Weinberger, etc. have published my works. So as not to jeopardize my future work, I elected to assume anonymity for the time being.[77]

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[75]Meine Kompositionen, wahre 'Schätze', in die Welt von Heute so einmalig wie meine Theorie! Die um mich und die Offentlichkets haben die Arbeiten nach Gebühr hoch geschätzt und bewundert, – ich selbst war mir aber klar darüber, daß ich keinen Meister erreiche, geschwiehe übertreffe dagegen fühlte ich die Verpflichtung, das, was ich allein nur wußte, in die Welt zu setzen. Doch hin ich heute stolzer als je auf das, was ich auch komponierend leisten konnte! Federhofer 1985, 21.

[76]Ich komponiert viel in meiner Jugend, meine Sachen wurden mit Beifall aufgenommen; aber als ich sah, wie man Brahms mißverstand, litt ich so sehr darunter, daß ich alles stehen und liegen ließ und meine theoretischen Werke schrieb. Hans Wolf, "Heinrich Schenkers persönlichkeit im Unterrich." *Der Dreiklang* 7 (1937), 182.

[77] Vorerst die Erklärung der *Anonymität*. Eine auf Bestellung der hiesigen „*Universal-Edition*" veröffentlichte kritische *Ph. Em. Bach*-Ausgabe,3 der ich ein Buch "Beitrag zur *Ornamentik*" beigegeben habe, hatte einen solchen Erfolg bei der Presse u. dem *Publikum*, daß sich, nach einer lieben alten Gewohnheit der Menschen, plötzlich Vorurteile gegen meine kompositorische Tätigkeit ge laut zu machen

Nicholas Cook, speculating on Schenker's abandonment of composition, suggests that "it is hard to reconcile the nature of Schenker's compositions with his developing orientation as a theorist." Further, he notes that "there is no evidence of Schenker's engagement as a composer with the issues of 'cyclic form' which were occupying him as a theorist by the early 1900s, and one wonders whether it was not his realization that as a composer he was essentially a miniaturist . . . that lay behind his comments in a diary entry [cited above]"[78]

1.3. On Organic Theory in General

One of the great tasks a composer faces is how to create and balance unity and diversity in a composition. The metaphor of organicism in music resonated powerfully with Schenker and he sought to unify his compositions with motivic association. He sought to diversify his compositions, and add to their impact, through compositional devices that he would later describe as incomplete transferences of the *Ursatzform*. This dramatic technique creates apparent diversity within the unity of the *Ursatz*. In order to appreciate Schenker's technique as a composer, it is necessary to examine several ideas that occupied him throughout his works, and to trace the development of these ideas: (1) the means of conferring organic unity on music through the motive and the progression of *Stufen*, the examination of precisely what Schenker means by organicism in music; (2) the various means of uniting a composition by motivic repetition; and (3) the incomplete transferences of the *Ursatzform* as a means of creating

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versucht haben, trotz den Erfolgen der Aufführungen, u. trotzdem Firmen wie *Simrock, Br. & Härtel, Weinberger, etc.* meine Sachen druckten. Um den künftigen Arbeiten nicht zu schaden, entschied ich mich zur vorläufigen *Anomymität*. Transcribed and translated by Ian D. Bent on the Schenker Correspondence Project website (http://mt.ccnmtl.columbia.edu/schenker/correspondence/letter/ca_12_11805.html)

[78] Nicholas Cook, *The Schenker Project* (Oxford, 2007): 83

diversity and ambiguity within the unity of the *Ursatz*. This chapter will examine these ideas, illustrating them with examples drawn from Schenker's own work or other works from the standard repertoire.

Organic theory is finds its origins in the writings of Classical Greece, but achieved real currency in the nineteenth century with the ascendancy of Romanticticism. The conception of the work of art as analogous to a biological organism is a prevalent one in critical discourse and is often a tacit assumption of the analytical process itself. One might say that the goal of analysis is to prove synthesis. This conception lies at the core of most eighteenth- and nineteenth-century discourse on music as an *a priori* assumption: great works of art can be shown to demonstrate organic coherence if they demonstrate unity of parts and whole, and if they exhibit growth. In the case of music, Schenker also sees the tones themselves as being possessed of "wills" and "biological urges." As Schenker was primarily occupied with the music of the eighteenth and nineteenth centuries, it is not surprising that he should adopt its critical apparatus as well.

Plato writes in *Phaedrus*, "Every speech must be put together like a living creature, with a body of its own; it must be neither without head nor without legs; and it must have a middle and extremities that are fitting both to one another and to the whole work."[79] Aristotle writes in his *Poetics*, "the composition of its [i.e., the epic poem's] stories should clearly be like that in a drama; they should be based on a single action, one that is a complete whole in itself, with a beginning, middle, and end, so as to enable the work to produce its own proper pleasure with all the organic unity of a living creature."[80] He also

[79] Plato, *the Phaedrus*, trans. by Alexander Nehamas and Paul Woodruff. From *Plato: Complete Works*, ed. by John M. Cooper, 264c.

writes that the mark of a good (i.e., well-composed) work is that nothing can be added or subtracted without damaging the whole.[81] These comments of both Plato and Aristotle refer to well-structured rhetoric, but are easily applicable to music and feed into the *musica poetica* of the eighteenth century and its outgrowth, the organism metaphor in the nineteenth.

The man to whom many writers look as the source and summit of organic thought in the nineteenth century is Johann Wolfgang von Goethe. Although organic thought certainly is not original to Goethe, and though Goethe does not define it *per se*, his conception of it can be deduced from his many aphorisms on art and nature. He observed, for example, "every work of art, large or small, comes from the [initial] conception."[82] And again, "[art] has neither core nor covering, but is everything at once."[83] Even the English Romantic poets Samuel Taylor Coleridge (1772–1834) and William Wordsworth (1770–1850) took up such thinking. Coleridge writes "the difference between an inorganic and organic body is this: In the first . . . the whole is nothing more than a collection of the individual parts or phenomena . . . while in the second the whole is everything and the parts are nothing."[84] Bendetto Croce writes "the fact that we divide a work of art into parts, a poem into scenes, episodes, similes, sentences, or a picture into single figures and objects, background, foreground, etc. . . .

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[80] Aristotle, "On Poetics," Chapter 23 in *Great Books of the Western World*, ed. Mortimer J. Adler et al. Volume 9: Aristotle, II. Chicago: University of Chicago Press, 1954.

[82]Bei jedem Kunstwerk, groß oder klein, kommt alles auf die Konzeption an. cited in Oswald Jonas, *Einführung in die Lehre Heinrich Schenkers*, p. 115.

[83][die Kunst] hat weder kern noch Schale, alles ist sie mit einem Male. *Allerdings.* (gesammelte Gedichte)

[84]Samuel Taylor Coleridge, *Table Talk* cited in Ruth Solie, "The Living Work: Organicism and Musical Analysis," *Neneteenth-Century Music* 4/2 (1980), 150.

annihilates the work, as dividing the organism into heart, brain, nerves, muscles, and so on turns the living being into a corpse."[85]

Many scholars have pointed out connections between Schenker and the German philosophers Kant (1724–1804), Goethe (1749–1832), Hegel (1770–1831), and Schopenhauer (1788–1860).[86] These scholars each attempt to equate Schenker's mature theoretical formulation, the *Ursatz*, with a philosophical metaphor drawn out of the philosopher's works. Kevin Korsyn equated the *Ursatz* with Kant's "transcendental logic," while William Pastille, Severine Neff and Gary Don link it to Goethe's *Urphänomen* ["archetypal phenomenon"] and *Urpflanze* ["archetypal plant"]. Richard Cherlin proposes the *Ursatz* to be a three-stage Hegelian dialectic (thesis vs. antithesis = synthesis) expressed as *Urlinie* vs. *Baßbrechung* = *Ursatz*. Nicholas Cook sees the influence of Schopenhauer in Schenker's use of musical criticism as an instrument of social criticism and or ethics. Some basic knowledge of the ideas of these men is necessary if one is to understand Schenker's view of organicism and its pervasiveness in the critical literature.

While each of these contributions illuminates a facet of Schenker's theory, Schenker's epistemology draws abundantly from a multitude of sources. A survey of the aphorisms with which Schenker sought to relate another's idea with his own reveals a man eager to place his own ideas about the nature and structure of music in the context of the great German thinkers of the past, drawing abundant inspiration from Goethe in *Der Tonwille*, *Das Meisterwerk* and even in *Der freie Satz*. The following discussion traces the organicist metaphor through

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[85]Bendetto Croce, *Aesthetic as Science of Expression and General Linguistic.*, trans. Douglas Ainslie, 2nd edn. (London, 1929), p. 20. Cited in Solie 1980, p. 150.

[86]See, for example Korsyn, 1988 (Kant), Don 1988 and Pastille 1990 (Goethe), Cherlin 1988 (Hegel), and Cook 1989 (Schopenhauer).

Schenker's writing, showing how the idea bears fruit in the ideas of the motive and its permeation of the musical texture, and the composing-out of *Stufen*.

1.4. The Development of the Organic Metaphor in Schenker's Theoretical Writings

Der Geist des Musikalischen Technik (1895)

Schenker's most ambitious article, written in 1895 for *Musikalisches Wochenblatt* and appearing in seven installments, is called *Der Geist der musikalischen Technik* ("The Spirit of Musical Technique").[87] This article contains, in embryonic form, theoretical precepts that inform Schenker's later theoretical works. Ideas that continued to engage him throughout his career included discontent with traditional theoretical instruction in music and the need for a system of analysis that addresses the unity and coherence that he perceived in music—traits for which literary descriptions alone were insufficient.[88] *Der Geist des musikalischen Technik*, being Schenker's first purely speculative work, is a starting point for the investigation of Schenker's developing ideas about the nature and structure of music. He divides the article into five sections, with 1 and 2 (untitled) devoted to discussions of melody and repetition, respectively. Subsequent sections are entitled "Polyphony," "Harmony," and "Mood, Form and the Organic." In his study of the article, William Pastille notes its apparent discontinuity.

> In addition to offering fragmentary ideas, *Geist* further inhibits clarity with its faulty style. Schenker glides effortlessly over large gaps of reasoning.

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[87]A translation, by William Pastille, may be found in *Theoria* 3 (1988), 86-104. A completely revised translation, also by Pastille can be found as Appendix A of Nicholas Cook's *The Schenker project: Race, Politics, and Music Theory in fin-de-siecle Vienna* (New York: Oxford, 2007)

[88]In the first volume of *Der Tonwille* (1921), Schenker ridicules those who describe the rhythmic motive of Beethoven's fifth symphony as "fate knocking on a door." Noting an identical note-repetition in the fourth piano concerto, he asks, "Was that, perhaps another door on which Fate was knocking, or on the same door but a different knocking?" [*war das etwa ein anderes Tor, an das das Schicksal gepocht oder hat es an dasselbe Tor nur anders gepocht?]* Heinrich Schenker, *Der Tonwille* 1 (1921), p. 31.

> He often turns away from one topic to entertain a parenthetical idea, returning to the first subject only later, in a different context. Sometimes definitions of special terms do not appear until after the terms have already been introduced. And the occasional inappropriate illustration complicates matters even more.[89]

One reason for its episodic nature is that *Der Geist des musikalischen Technik* was, according to the editor of *Musikalisches Wochenblatt* (the journal in which it appeared) part of a larger work, still in manuscript, that formed the basis for a lecture at the University of Vienna. No evidence in support of this can be found in either the Jonas or the Oster collection.[90] In spite of this, *Geist* remains a valuable study, for it treats subjects to which Schenker would return in his later works: (1) the fundamental importance of repetition as a generator of musical content, (2) polyphony as the foundation of western art music, (3) the explanatory nature of counterpoint in analysis, (4) the "immortality" of musical content, and (5) the primacy of this content over external form.[91]

In *Der Geist des Musikalisches Technik* (1897), Schenker objects to musical organicism: "in reality, musical content is never organic, for it lacks any principal of causation. An invented melody never has a determination so resolute that it can say, 'only that particular melody may follow me, none other.' Rather, as a part of the labor of building content, the composer draws from his imagination various similarities and contrasts, from which he eventually makes the best choice."[92] Schenker's objections are that (1) music lacks causality,

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[89]William Pastille, "Heinrich Schenker, Anti-Organicist," *Nineteenth-Century Music* 8/1 (1984), 30.

[90]Pastille 1984, 30.

[91]Pastille 1984, 31.

[92]In der That ist kein musikalischer Inhalt organisch. Es fehlt ihm ein jeglicher Causalnexus, und niemals hat eine erfundene Melodie eben so bestimmen Willen, daß sie sagen kann, "nur jene bestimme Melodie darf mir folgen, eine andere nicht." Gehört es doch zu den Schmerzen des Inhalts-aufbaues, daß der Componist von seiner

and thus lacks organic *growth* and that (2) the composer imposes his own will on the material, which thus lacks organic *unity*.[93]

Other Early Works

Schenker worked for Universal Edition of Vienna. In 1902 he published an edition of five sonatas and one rondo from C. P. E. Bach's 1779 collection *Für Kenner und Liebhaber* (1902). He followed this with a treatise of his own on ornamentation (*Ein Beitrag zur Ornamentik*, 1904, rev. 1908) intended to be an introductory volume to the sonatas. Schenker also edited the complete piano sonatas of Beethoven, based on the autograph score or, where no score was extant, on the earliest printed editions with the composer's corrections. He also made arrangements of two Cantatas of Johann Sebastian Bach, two piano concertos of Philip Emmanuel Bach and two organ concerti of Händel.[94]

Harmonielehre (1906)

In 1906 Schenker published his *Harmonielehre* anonymously.[95] He largely abandoned composition and criticism and devoted his life to elucidating the great masterworks of music. *Harmonielehre* became the first volume of Schenker's *Neue Musikalische Theorien und Phantasien*, the work upon which his reputation would later rest. In it, Schenker further develops the idea of repetition and association in music (first postulated by him in *Der Geist der musikalische Technik*) and begins to resolve these difficulties in his mind and accept the concept of organicism in music. These ideas of repetition and association, signifying for

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Phantasie sich mehere Ähnlichkeiten une Contraste verschafft, un schließlih die beste Wahl zu treffen. Schenker, *Der Geist des Musikalisches Technik*. [translation by William Pastille]

[93]William Pastille, "Heinrich Schenker, Anti-Organicist," *Nineteenth-Century Music* 8/1 (1984), 32.

[94]The Organ Concerto arrangements were published by Universal and, later, International

Schenker organic coherence, were embodied in the concepts of *Motiv* and *Stufe*, respectively. With the *Motiv* and *Stufe*, Schenker develops the ideas of the "biological life" of tones, and the "unconscious genius."

The *Stufe*, according to Schenker, "is a higher and more abstract unit [than the triad], so that it may, many times consume several harmonies, of which any one could be an independent triad or seventh-chord[96]; that means, even if certain harmonies seem to be independent triads or seventh-chords, they may nonetheless add up, in their totality, to one single triad, e.g., C–E–G, and they would have to be subsumed under the concept of this triad on C as a *Stufe*."[97] Schenker rejects the notion of "closely related" and "distantly related" keys, preferring to show the major-minor system as supporting chromatic inflections on all scale steps through mode mixture:

C	D♭	D	E♭, E	F	G	A♭, A	B♭, B
I	♭II	II	III	IV	V	VI	VII

Table 1.7. *Stufen* available in the Major-Minor System

Schenker goes on to describe how, in the music of late Romanticism, major and minor fuse together: he combines the notes of both the major and minor scale into a single chromatic scale and then places major and minor triads (via mixture) on each degree. Schenker then shows how each of these degrees may serve as an illusory key ("scheinbare Tonart") that could, in turn, be composed out.[98]

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[96]by *Vierklang*, Schenker intends the only consonant four-note combination: the seventh chord.

[97]Denn die stufe bildet eine höhere abstrakte Einheit [als Dreiklang], so daß sie zuweilen mehere Harmonien konsumiert, von denen jede einzelne sich als selbsbeständiger Dreiklang oder Vierkland betrachten ließe; d. h. wenn gegebenenfalls mehere Harmonien auch selbständigen Drei- oder Vire-klängen ähnligh sehen, so können sie unter Umständen nichtsdestoweniger zugleich auch eine Dreiklangssumme, z. B. C E G hervortrieben, um derentwillen sie dann alle unter den Begriff eben des Dreiklanges auf C, als einer Stufe, subsumiert werden müssen.
HL: 181.

[98]HL §160

In Harmonielehre, Schenker explains the biological metaphor of the inner life of tones, furthering his acceptance of organicism and making his unique contribution:

> We should get accustomed to seeing tones as creatures. We should learn to assume in them biological urges as they characterize living beings. We are faced, then, with the following equation: in nature, procreative urge → repetition → individual kind; in music, analogously: procreative urge → repetition → individual motif. The musical image created by repetition need not be, in all cases, a painstakingly exact reproduction of the original series of tones. Even freer forms of repetition and imitation, including manifold little contrasts, will not cancel the magical effects of association.[99]

Throughout his writings, Schenker contrasts the "genius" with the "non-genius." His definition of genius narrows as his writings progress (and as he accepts more fully the organic nature of music). In *Harmonielehre*, the genius is one who allows music to speak for itself without undue imposition of his own will on it: "a great talent or a man of genius, like a sleepwalker, often finds the right way, even when his instinct is thwarted by one thing or another . . . by the full and conscious intention to follow the wrong direction. The superior force of Truth – of Nature, as it were – is at work mysteriously behind his consciousness, guiding his pen, without caring in the least whether the happy artist himself wanted to do the right thing or not."[100] Thus, the music of the true genius, as Schenker understood and defined the term, will always be organic for his will is guided by nature. In contrast, Schenker viewed

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[99]Man gewöhne sich endlich, Tönen wie Kreaturen ins Auge sehen; man gewöhne sich, in ihnen biologische Triebe anzunehmen, wie sie den Lebewesen innewohnen. Haben wir doch schon hier vor uns eine Gleichung: In der Natur: Fortpflanzungstrieb – Wiederholung – individuelle Art; in der Tonart ganz so: Fortpflanzungstrieb – Wiederholung – individuelles Motiv. Schenker 1906, 6.

[100]Großen Talenten und Genies nämlich ist es oft eigen, Nachtwandlern gleich den rechten weg zu gehen, auch wenn sie durch dieses oder jenes hier sogar durch die volle Absicht auf Falsches, verhindert sind, auf ihren Instinkt zu horchen. Es ist, als komponierte geheimnissvoll hinter ihrem Bewußtsein und in ihrem Namen die weit Höhere Macht einer Wahrheit, einer Natur, der es gar nicht verschlägt, ob der glückliche Künstler selbst die Richtige wollte oder auch nicht. Ibid., p. 76-77.

the music of the non-genius to be composed successively, by stringing together musical materials in the manner of a quilt, thus lacking true background synthesis.

To Schenker, a motive was not simply an adjacent series of tones that may be manipulated in various ways by the composer,[101] but was rather a *linear pattern* that binds the piece together; a unidirectional line that exhibits control over a larger passage, and that may be operative on various levels of structure. He goes on to say, "only by repetition can a series of tones be characterized as something definite. Only repetition can demarcate a series of tones and its purpose. Repetition is thus the basis of music as an art."[102] Oswald Jonas, in his *Einführung in die Lehre Heinrich Schenkers*, provides an illustration of Schenker's enlarged concept of motive as a unifying factor. In this example, the upper-voice line A–G–F–E in mm. 3–4 is expanded into the scalar passage of mm. 5–8, whose initiating and peak tones duplicate this sequence of pitches:

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[101]E.g., by transposition, sequential repetition, inversion, retrograde and the like.

[102]HL-Eng, 5

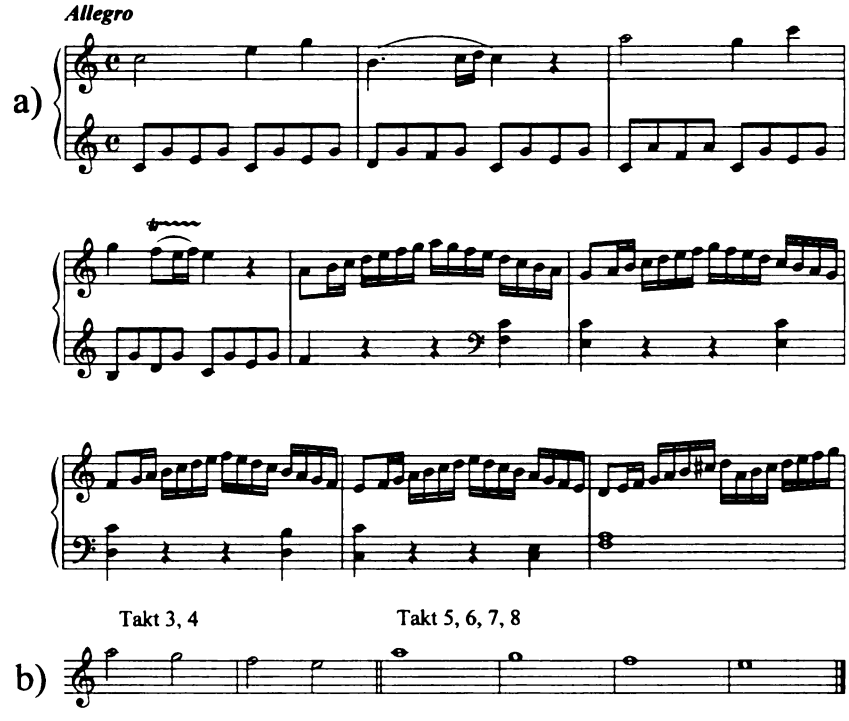

Figure 1.1. Mozart Sonata K. 545, mm. 1–9[103]

Although he has yet to discover the *Urlinie*, which, in Schenker's mature theory, is the fundamental guiding motive of the whole work, his discovery of linear progressions (*Züge*) is a major factor in determining the organic coherence behind the musical artwork. The idea of a unifying motive is hardly unique to Schenker. What is unique, however, is the conception of motive as a linear progression that may be elaborated on several layers of structure, often simultaneously.

Bach's Chromatic Fantasia (1909)

Schenker's study of Bach's *Chromatic Fantasy* (1909) contains an early references to the idea of linear coherence and linear progression revealed through a reductive analytic technique, i.e.,

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[103]Oswald Jonas, *Einführung in die Lehre Heinrich Schenker* (Vienna: Universal Edition), p. 3

stripping away the more ornamental pitches in order that the underlying structure of a passage may be seen more clearly. In this study, Schenker explains the subject of the fugue as being based on the compositional unfolding of the D-Minor harmony. His commentary reveals his pleasure in this discovery: "Thus the veil is lifted from a wondrous and profound mystery. All of the chromaticism of the subject, seemingly so diffuse and aimless, is in fact firmly rooted in the composed-out D-Minor chord. Indeed, it is as if we heard only the composed-out chord itself! What inspired construction!"[104]

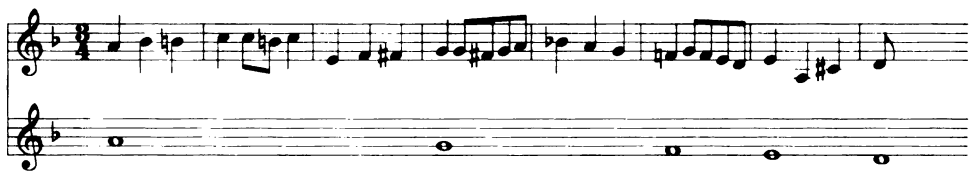

Figure 1.2. Schenker's subject analysis of 1909

Later, in *Der freie Satz* (1935), he returned to the work, providing the following analysis of the subject and showing its harmonic basis:

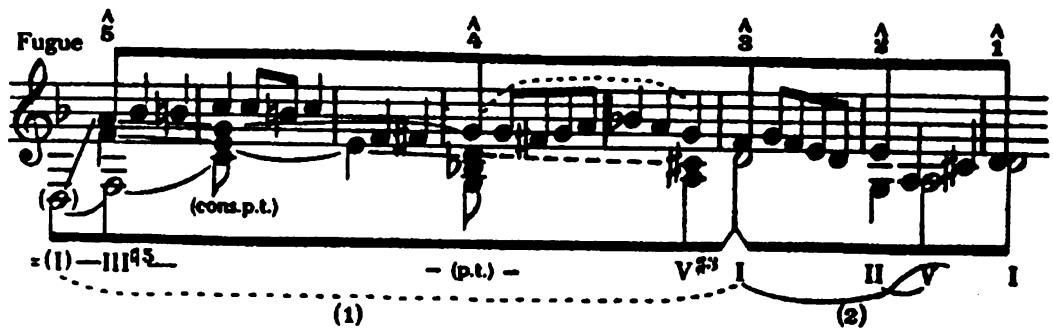

Figure 1.3 Schenker's subject analysis of 1935[105]

Schenker's edition of Bach's work is not a full-scale contrapuntal analysis. It is, rather, a bar-by-bar commentary that reveals his concern with standard performance considerations (e.g.,

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[104]CFF: 45.

[105]FS, 7 (fig. 20-2)

tempo, dynamics, fingering, ornamentation) insofar as they convey the performer's technical understanding of the work.

Der Kontrapunkt: 1910 And 1921

Four years after *Harmonielehre*, the first part of his second volume of *Neue Musikalische Theorien und Phantasien* was published. *Der Kontrapunkt*, published in two volumes in 1910 and 1922, was a study of voice-leading, showing how the connections between the scale degrees are achieved. He first justifies his treatise by explaining that previous methods of instruction (those of Fux, C. P. E. Bach, and Rameau) failed to differentiate between exercises and actual composition.[106] Furthermore, these methods were based on either voice-leading only, without reference to scale-degrees (Fux, Bach), or on scale-degrees only, without reference to voice-leading (Rameau).[107] In *Kontrapunkt*, Schenker begins to show how the concepts embodied in strict counterpoint underlie and inform free composition. This idea is of paramount importance in the development of Schenker's thought and is closely linked to his later theory of *Schichten* ("structural layers"). Schenker shows how "ideas in free composition are expressed mostly in a texture of two voices," citing the following example and concluding that "the real connection between strict counterpoint and free composition can in general be discovered only in reductions similar to the one just quoted."[108]

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[106]Schenker refers to Fux's *Gradus ad Parmassum* of 1727 and Bach's *Versuch Über das Wahre Art, das Klavier zu Spielen* of 1759.

[107]Schenker, *Counterpoint* I. In the case of Rameau, while he did discuss scale-degrees he interpreted every vertical sonority as a scale-degree, with no regard to actual contrapuntal function.

[108]Schenker, *Counterpoint* I, p. 199-200.

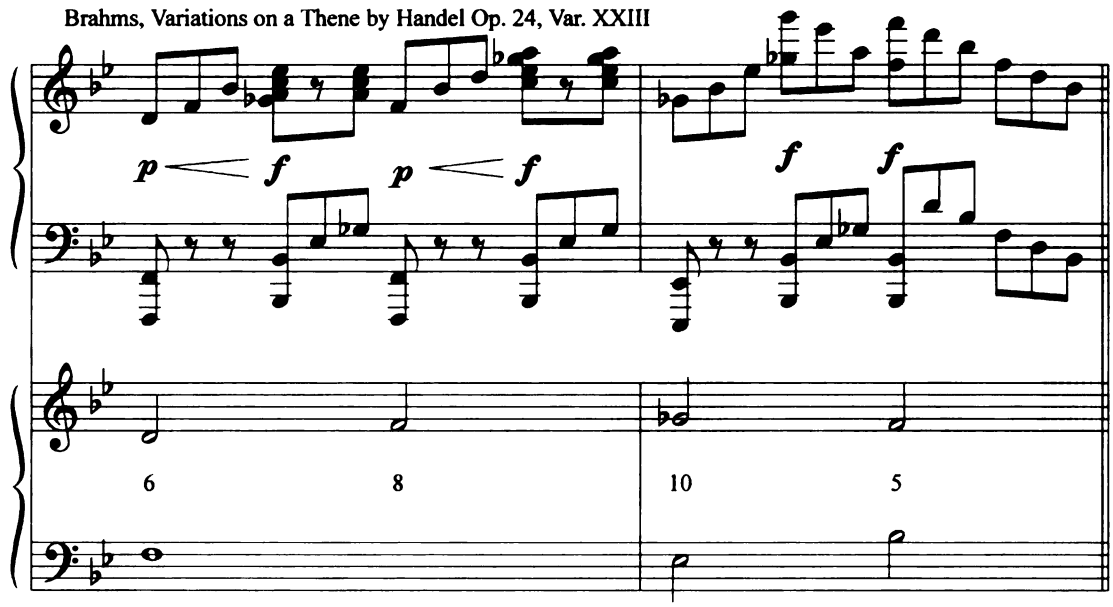

Figure 1.4 Brahms, Variations on a theme by Händel op. 24

If there is one principal idea that Schenker is trying to express in *Der Kontrapunkt*, it is that linear progressions underlie even the most angular foreground melodies. This idea finds its expression in the concept of "melodic fluency," which he describes as "a kind of compensating aesthetic justice vis-à-vis the overall shape, within which each individual tone is a constituent part of the whole as well as an end unto itself." He further describes the cantus firmus as "a spare melodic beauty burdened with the purpose of an exercise" and "a little organism ... [that] still has its animation."[109] Rothgeb's rendering of "Seele" with "animation" is curious as the English word almost exclusively connotes movement, whereas the German "Seele" is typically translated "soul." Rothgeb may have been thinking of the Latin root, "anima"

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[109] Schenker,*Counterpoint* I, p. 94. *Kontrapunkt* I states, "Im 'fließenden Gesang' finden wir somit eine Art ausgleichender ästhetischer Gerechtigkeit gegenüber dem Gesamtgebilde von Tönen, innerhalb dessen jeder einzelne Ton ebensosehr Mittel zum Gesamtzweck als auch Selbstzweck ist." And later, "Wir haben eben in C. f. zwar eine mit einem Aufgabenzweck belastete karge Melodieschönheit, aber immerhin eine. Der kleine, mit beobachtung so vieler Verbote künstlich hergestellte Organismus hat dennoch auch seine Seele!" (134)

which, of course, means "soul" but the context here does not make that connection clear. Schenker's diction is in keeping with his organic thinking, that the coherence conferred upon the Cantus by the requirements of melodic fluency constitutes its "soul."

Erläuterungsausgaben (1913—1921)

In 1913, Schenker delved into critical studies of the last five piano sonatas of Beethoven. These appeared at irregular intervals, in 1913 (op. 109), 1914 (op. 110), 1915 (op. 111), and 1921 (op. 101). An edition on op. 106 was not completed or published. In the critical edition of Beethoven's op. 111, Schenker's analysis is still tied to the rhythm of the foreground. He shows, through durational reduction, linear progressions in an (in this case) arpeggiated texture (Figure 1.5). In the critical edition of op. 101, however, Schenker employs the term *Urlinie* for the first time denoting his reduction of the foreground to a coherent linear progression. Later, he would use the term to denote the fundamental motive governing all of the tonal relationship in the piece. His describes the Urlinie as a "photograph of the essence of the soul, so to speak" and maintains that it "is the possession of genius alone."[110]

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[110]"Gewißermassen ist die Urlinie Lichtbild des Seelenkernes." "Die Urlinie ist Besitz des genies allein." Schenker 1920: 7-8.

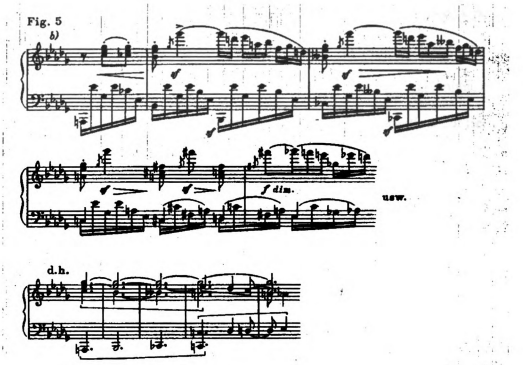

Figure 1.5. Chopin *Nocturne* op. 27/2, mm. 41–45[111]

Following the publication of the critical edition of op. 111, there was a five-year period in which no new works appeared. This gap in Schenker's publications between 1915 and 1920 was filled, presumably, by the crystallization of own concepts and formulations. His thinking was undergoing a change that would emerge in his pamphlets *Der Tonwille* ("the will of the tone"). This change in Schenker's thinking was not limited to his ideas on music, but his ideas about culture and nationalism, as well. He, like many Austrians and Germans, was incensed over the Treaty of Versailles that marked the ending of the war, as well as the fall of the Habsburg Empire. His writing thus tended to take on a more pronounced anti-French and anti-Democratic turn. The fruits of this period are seen in the second installment of *Der Tonwille,* wherein Schenker wholeheartedly embraces the concept of organicism.

Der Tonwille: 1921—1924

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[111]Heinrich Schenker, *Erläuterungsausgebe die letzten Sonaten Beethoven: Sonate C moll op. 111*, p. 7

The ten pamphlets that comprised *Der Tonwille* were devoted to expository essays, political and social commentary, and analyses of individual pieces.[112] In them, his analytical methodology and conceptual thinking crystallized further, using an evolving graphic notation to convey the voice-leading. The most significant analyses in *Der Tonwille* are of Beethoven's Fifth Symphony and Brahms's Variations and Fugue on a theme by Händel. The publications also contain essays expounding his most important musical discovery, the *Urlinie*, essays on the nature and history of music, and a particularly polemical essay entitled "On the Mission of the German Geniuses." He also examined compositions of Haydn, J. S. Bach, Mozart, Beethoven, C. P. E. Bach, Schubert, Schumann, and Mendelssohn. Of greatest significance in the *Tonwille* booklets is Schenker's conception of the *Urlinie* as the primary melodic motion governing an entire piece. Essays on the *Urlinie* can be found in volumes 1 and 2, with commentary spread throughout. This concept was to undergo further refinement (as was its graphic presentation) in the three yearbooks of *Das Meisterwerk in der Musik*.[113]

Schenker's organic thinking comes to full fruition in his analysis of Mozart's piano sonata K. 310 from the second *Tonwille* booklet:

> The work of the youthful master conceals mysterious relations – in some ways similar and comparable to the ultimately inexplicable secrets of our circulatory system –, which interconnect and nourish the whole. If so-called thematic work is understood to mean, for example, motivic alteration, inversion, augmentation, and similar transformations, which lie on the surface and meet every ear, then this term may certainly not be applied to those causative factors – brought to light here only to a modest extent for the first time – which defy the

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[112]An excellent discussion of the general content, as well as translations of twelve essays from *Der Tonwille* may be found in Joseph Lubben's "Analytic Practice and Ideology in Schenker's *Der Tonwille*," PhD diss., Brandeis University, 1995. A complete translation has recently been published by Oxford University Press.

[113]In general, the voice-leading graphs of *Der Tonwille* retain the literal rhythm of the foreground, while in *Das Meisterwerk*, Schenker begins to differentiate between levels of structure using rhythmic durations to signify structural significance (e.g., the *Urlinie* would be presented in whole-notes, being the most remote level of structure).

> narrowness of a single concept, the constriction of a single word. In addition we see that, in dimension, direction, and inner motion, in repetition of subdivisions and key and so on, all the parts of the line are mutually interdependent, the vigor and abundance of the organic streaming into every vein. Motive and diminution, as offshoots of the line, variegate *Urlinie*-segments, individual *Stufen*, and modulations, and juxtapose the parts in such a way as to bind the whole all the more tightly. Further aids to synthesis are: in the realm of rhythm, for example, the reinterpretation of measures, the opposition of motives to the fundamental meter; in the realm of voice-leading, the skill and beauty of the *Außensatz* setting – both of the *Urlinie* and of the diminutions – and above all the broad, elaborate passing motions. And in each and every particular the richest diversity, attesting to the boundlessness of organic life.[114]

With his embrace of the organic metaphor conjoining the *Urlinie*, the *Stufe*, transformations and repetitions of the *Motiv*, and the *Synthese* itself, Schenker continued his probing analyses.

Das Meisterwerk In Der Musik: 1925—1930

In 1925 he began publishing a "yearbook" instead of quarterly pamphlets, in order to analyze pieces in greater detail and provide longer expository essays. These yearbooks, entitled *Das Meisterwerk in der Musik*, contain analyses of Beethoven's third symphony and Mozart's fortieth along with two extraordinary essays, "On The Organic Nature of Sonata Form" and

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[114]Das werk des jugendlichen Meisters birgt in sich gehemnisvolle Beziehungen, die, den unerforschlich-letzten Geheimnissen undseres Blutkreislaufs irgendwie verwand und vergleichbar, das ganze bilden und nähren. Versteht man unter sogennanter thematische Arbeit zum Beispiel Motivveränderungen, Umkehrung, Vergrößerung und dergleichen Verwandlungen, die obenauf liegen und jedem Ohr entgekommen, so dafk diese Beziechnung sicher nicht aud jene Ursächlichkeiten angewendet werden, die, hier nur zu einem geringen Teile zum erstenmal and Light gezogen, der Enge eined Begriffes, der Kleinheit eines Wortes spotten. Wir sehen ferned alle teile der Linie in Größe, Richtung und innerer Bewegung, in Wiederholung von Unterteilungen und Tonart u. s. w. einander bedingen, in alle Adern Kraft und Segen des Organischen verströmend. Motiv und Diminution, als Sprößlinge der Linie, verfärben Urlinie-Abschnitte, einzelne Stufen, Modulation und seßen so die Teile gegeneinander, um desto fester das Ganze zu binden. Als weitere Behelfe für die Synthese finden sich im Bereich der Rhythmik zum Beispiel die Umdeutung von Takten, das Gegenspiel von Motiven gegen das grundlegende Metrum; im Berich der Stimmführung Kunst und Schönheit das Außensatzes, und zwar sowohl des Saßes der Urlinie als der Diminution und ganz beseonders die weiten so kunstvollen Durchgänge. Und im allem und jedem reichste Mannigfaltigkeit, die Unendlichkeit organischen Lebens bezeugend. Schenker, *Der Tonwille* 2 (1922), p. 17 [translation by William Pastille]

"The Organic Nature Of The Fugue."[115] In volume 1 of *Meisterwerk*, Schenker opens with an essay on improvisation, illustrating how the principles of composing a free fantasia as laid out in C. P. E. Bach's *Versuch* corroborated his own view of composition. He follows this with a tirade against modern editorial practices, showing how modern editors have corrupted the texts of the composers by inserting their own articulations (and adversely affecting the synthesis). Schenker then moves on to analyses of Bach, D. Scarlatti, and Chopin. He concludes with another essay on the *Urlinie* that builds upon the essays in *Der Tonwille* 1 and 2. The second volume opens with another essay on the *Urlinie* that forms a continuation from the first Yearbook and contains attacks on Schoenberg and Stravinsky before moving into two of his most original essays, "The Organic Nature of Sonata Form," and "The Organic Nature of the Fugue." These two seminal essays will be discussed below. Mozart's fortieth symphony is analyzed as well as Haydn's "Representation of Chaos" from *The Creation*. In another essay, Max Reger's variations and fugue on a theme of Bach is held up as a *Gegenbeispiel* (counter-example) and shows how, in Schenker's view, Reger misunderstands the structure of Bach's theme, as is evidenced by his variations.

The third yearbook of *Meisterwerk*, appearing in 1930, opens with an essay on Rameau and is a classic example of Schenker's polemic. In it, he traces conventional theory back to Rameau and shows the detrimental effect that Rameau's theories have had on theory and composition. The remainder of the volume is devoted to a lengthy and thorough analysis of Beethoven's third symphony with a discussion of literature and performance suggestions.

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[115]The first translation of many of the essays in *Meisterwerk* is found in Sylvan Kalib's dissertation "Thirteen Essays from the Three Yearbooks *Das Meisterwerk in der Music*: An Annotated Translation," PhD diss., Northwestern University, 1974 in which Kalib gives translations of each general "type" of essay. The three yearbooks have since been translated in their entirety by Ian Bent et al., and issued by Cambridge University Press.

In *Das Meisterwerk in der Musik*, the most significant examples of his organicist thinking are the previously-cited essays on fugue and sonata form from yearbook two (1926). In these two essays, Schenker explains his position as an organicist *vis-à-vis* traditional (non-organic) theory. In the essay on sonata form he shows that, whereas conventional theory teaches a generalized pattern based on themes, key relationships and the like, the sonata of the "geniuses" takes place "through the extemporizing flow of *Auskomponierung*, with the boundaries of sections, and choices of key being determined by the specific manner in which the *Urlinie* and *Ursatz* are unfolded and distributed."[116] As his examples, Schenker chooses Haydn's sonata in G-Minor (Hob. XVI: 44), and Beethoven's piano sonatas op. 10 (nr. 1 and 2) and op. 109. He talks of the "degeneracy" of the generation following the masters, of the Romantics who "aspired to create sonatas and symphonies of even grander scope than those written by the masters. ... The results were deplorable. Instead of producing organic works of art, works were being written which might be compared to batter in which raisins had been added; but even after the cake was finished, the raisins were still discernible. The sonata, however, is not a cake – it is a tonal mass, comprised of such material in which raisins should not be detectable."[117]

In the essay "On the Organic Nature of the Fugue," Schenker dispenses with traditional structure of subject, answer, episode, modulation, stretto and the like, preferring to show how the fugue is an organic composition like the sonata but one that generally shows more foreground contrapuntal activity. Schenker takes as his example the C-Minor fugue from J. S.

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[116]Sylvan Kalib, "Thirteen Essays from the Three Yearbooks *Das Meisterwerk in der Music* by Heinrich Schenker: An Annotated Translation," PhD diss., Northewstern University, 1973, Vol III. p. 70.

[117]sie wollten die Sonaten, Sinfonien noch größerm aks die Meister sie schaffen. ... Das Ergebnis war entsprechend kläglich: statt organische Kunstwerke entstanded Werke, in die, wie in einen Tieg, Rosinen getan waren – auch im fertigen Kuchen sind die Rosinen zu untersceiden -, die Sonate ist aber kein Kuchen, sie ist eine Tonmasse aus einem Stoff, in dem Rosinen nicht zu unterscheiden sind. Schenker, *Das Meisterwerk in der Musik* II, p. 53.

Bach's Well-Tempered Clavier, Book I. He systematically points out the greater logic of his organic explanation versus the traditional approach, citing analyses by Marpurg, Adolph Marx, Hugo Riemann, Wilhelm Werker, and Wolfgang Graeser. He concludes, "How does such an interpretation [i.e., those of the preceding theorists] differ from mine? Does the difference lie simply in the terminology, or does it go beyond this or that 'theory' and depend on a completely different way of hearing? One writer hears three sections; I hear only one. Yet another heard rumbling notes and intensifications and poetic effects; I hear a rational language of tones, more rational than the language of speech can ever be. And if applied to speech, can one possibly imagine such totally different ways of hearing? I leave the reader to draw his own conclusion."[118]

Der freie Satz (1935)

The culmination of his life's work, *Der freie Satz*, published posthumously by his disciple Oswald Jonas in 1935, contained a systematic working-out of his theory of structural levels, governed by an *Ursatz*, according to the demands of organic construction. He showed how the *Ursatz* may be divided to produce formal junctures and apparent changes of key. He systematically discusses: (1) the various diminutions that serve to prolong the tonic triad and their graphic presentation; and (2) how the principles of strict counterpoint are borne out and

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[118]Ist der Unterschied dieser und ähnlicher Auffassungen gegenüber der meinen bloß auf die verschiedene Namengebung zurückzuführen oder geht es jenseits von wie immer beschaffenen "Theorien: um ein wesentlich andered Hören? Der andere hört drei Sätze, ich nur einen, der andere drei Tonarten, ich nur eine, der andere eube Tonrumpelei und Steigerung und Poetisches, ich eine Tonverkunft, wie vernünftiger keine Sprachvernunft sich gebärden kann – ist eine so auffällig große Verschiedenheit des Hörens auf den Gebiete der Sprache auch nur denkbar? Das Nachprüfen der Wahrheit überlasse ich dem Leser. Schekner, *Das Meisterwerk in der Musik* II, p. 94.

broadened in scope at various levels of structure.[119] The conclusion is a discussion of the various forms in tonal music. Appearing throughout, and woven into the analytical text, are political-social diatribes, exaltations of the genius of German composers, and various other commentaries typical of the *Vermischtes* ("miscellaneous") sections of *Der Tonwille* and *Das Meisterwerk in der Musik.*

In the introduction to *Der Freie Satz*, Schenker summarizes its content and lays out what he feels is the preferred method of instruction for the musician:

> In opposition to [previous theories of music], I present here a new concept, one inherent in the works of the great masters; indeed, it is the very secret and source of their being: *the concept of organic coherence.* The following instructional plan provides a truly practical understanding of the concept. It is the only plan which corresponds exactly to the history and development of the masterworks, and so is the only feasible sequence: instruction in strict counterpoint (according to Fux-Schenker), in thoroughbass (according to J. S. and C. P. E. Bach), and in free composition (Schenker). Free composition, finally, combines all the others, placing them in the service of the law of organic coherence as it is revealed in the *Ursatz* (*Urlinie* and *Baßbrechung*) in the background, the voice-leading transformations in the middleground, and ultimately in the appearance of the foreground.[120]

Schenker's motto, stated on the covers of the *Tonwille* booklets and *Der freie Satz*, *Semper idem sed non eodem modo* ("always the same but not in the same manner") refers to the idea that the configuration of a great many pieces may be, for example, a third-line, but the manner in which that third-line itself is prolonged and *auskomponiert* is what gives the composition its

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[119] *Freie Satz* was originally intended by Schenker to be Book III of *Kontrapunkt.* See Hedi Siegel, "When *freier Satz* was part of *Kontrapunkt* (Schenker Studies 2: 12–25)

[120]Ihr stele ich nun hier eine neue Lehre entgegen, wie sie sich in der Werken der großen meister, und zwar als das Geheimnis ihrer Entstehung und ihres Werdens birgt: die *Lehre vom organischen Zusammenhang.* Als zu iht nun wirklich praktisch hinleitend, stele ich, wieder nur der Geschichte und Entwicklung des Geniewerks streng entsprechend, den einzig gebotenen Lehrplan auf: die Lehre vom strengen Satz (nach Fux-Schenker), vom Generalbaß (nach Joh. Seb. and Ph. Em. Bach) und die Lehre vom freien Satz (nach Schenker), die zuletzt alle Lehren ineinanderschlingt und dem Gesetz des organischen Zusammenhanges dienstbar macht, wie er sich durch den Ursatz (Urlinie, Baßbrechung) als Hintergrund, durch die Stimmführungsverwandling als Mittelgrund und schließlich durch den Vordergrund offenbert. Schenker, *Der Freie Satz*, pp. 15-16 [Translation by Ernst Oster].

individuality. This idea also has profound ramifications for any great work of art, whether it be literary, musical, or visual.

PART TWO: INCOMPLETE TRANSFERENCES OF THE *URSATZFORMEN* AS USED IN SCHENKER'S VOCAL MUSIC

2.1. Introduction

As a composer, Schenker's music employs the tonal language of nineteenth-century Romanticism. Thus, to understanding his compositional choices, we will employ the analytical methodology and techniques that he established in his later writings to explain that language. After a general discussion of the weakening of diatonic key relationships and the (inherent) analytical problems that result, I will explore Schenker's theoretical concepts of hidden motivic repetition and incomplete *Ursatzform* transferences as a means to understand his own music, as it employs these devices consistently.

Schenker views the musical artwork as the temporal unfolding of the chord of nature (formed by the first five partials of the overtone series) by filling in its tonal spaces with passing tones in the upper voice. The upper voice melody (*Urlinie*) may take any of three forms, filling in the tonal space of the chord by descending from the third, the fifth, or the upper octave into the tonic. The bass voice expresses the tonality by arpeggiating to its upper fifth, coinciding with the $\hat{2}$ of the *Urlinie* and returning to its point of origin. The temporal extension of the chord of nature in time is called *Prolongation*, and the method by which this is accomplished is termed *Auskomponierung*: the chord, unfolded in time, is thus transformed from a vertical to a horizontal entity. This configuration, which Schenker termed the *Ursatz,* forms the skeletal basis for most music that Schenker investigated. The *Ursatz* itself may be prolonged through various *diminutions* such as passing tones, neighboring tones, and arpeggiation.

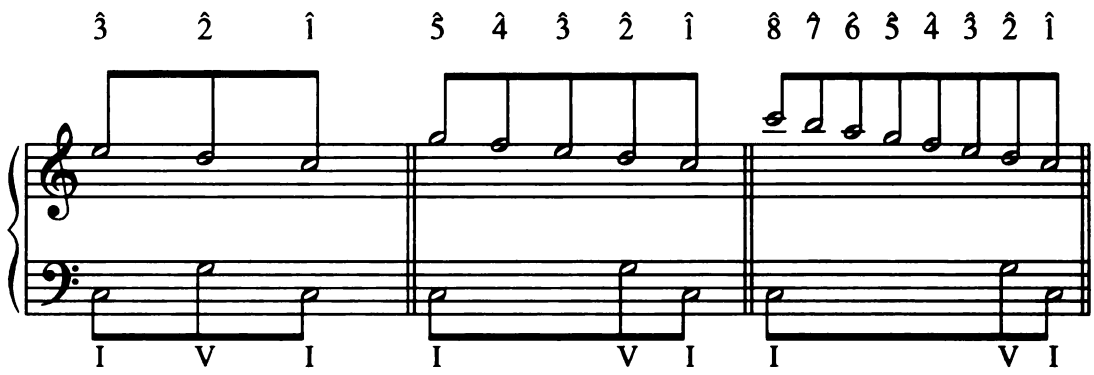

Figure 2.1 The Three *Ursatzformen*

These diminutions create musical content. Likewise, these main diminutions may give rise to additional diminutions, each stage becoming further and further removed from the germinal *Ursatz*. This idea of successively generated content illustrates Schenker's concept of *Schichten* ("structural levels").

Occasionally, however, tonal motion may be incomplete. Two types of incomplete progressions that Schenker considers in his writings are the auxiliary cadence and the back-relating dominant, both of which are major tenets of Schenker's theories and have powerful analytical implications. Both are incomplete transferences of the *Ursatzformen*, which is Schenker's archetype for tonality. The relationship between the two concepts, though, has not been explored in the literature, and it is this relationship that I would like now to consider. A complete tonal structure, in Schenker's view, will consist of three parts: (1) the opening tonic, which is the point of departure for all musical activity; (2) the upper fifth, or dominant, which represents a departure from the tonic; and (3) a return to the point of origin. This tonal triangle is elided in both the auxiliary cadence and the back-relating dominant, which are reciprocally related in that the former consists of the second two thirds of the *Bassbrechung*, or fundamental bass arpeggiation, and the latter

consists of the first two-thirds, as shown:

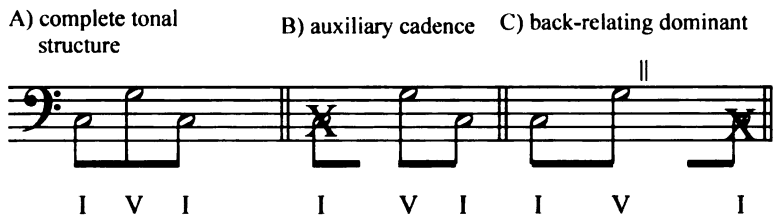

Figure 2.2 Comparing Complete and Incomplete *Ursatzformen*

Each piece explored in this dissertation is predicated upon an auxiliary cadence design that incorporates a back-relating dominant in a different way (recall *semper idem sed non eodem modo*). Both the auxiliary cadence and back-relating dominant are open tonal progressions that conceptually prolong the tonic. They differ in that the auxiliary cadence is not closed in its beginning, and the back-relating dominant is not closed at its ending. This seems to threaten organic unity which needs a beginning, middle, and end (e.g., the I—V—I of the *Ursatz*). The auxiliary cadence, in particular, offers the analyst a lens through which to view a seemingly non-unified structure. Both of these ideas will be discussed in the engiuing discussion: first the auxiliary cadence (section 2.1, pp. 55–78), and then the back-relating dominant (section 2.2, pp. 78–87)

Agnes employs an incomplete progression that begins on VI and moves through ♭II to V resulting in an auxiliary divider leading to a recommencement in the tonic major that is similar to Brahms's setting of the same text. In the opus six songs, the three chosen texts, while seeming to exhibit a teleological plan, lend themselves to auxiliary cadence designs because of their poetic ambiguities. Each of the three songs realizes that ambiguity in a different way. The first, *Heimat*, exhibits a design similar to *Agnes*

inasmuch as the auxiliary-cadence beginning proceeded to a dominant, but the design is expanded to encompass two key areas, C and E, resulting in a double-tonic tonal plan that is subsumed and unified within the auxiliary-cadence design. *Nachtgruß* begans with auxiliary cadence and moves into a ternary form whose tonal clarity is striking given the ambiguities of the two songs that border it. Finally, *Wanderers Nachtlied* takes the double-tonic idea of *Heimat* but works it out in a different way, specifically by embracing one key within another by employing subtle motivic designs to highlight relationships between the keys of F and D♭.

I intend to show that the tonal problems Schenker explored as a composer were similar to those faced by Mahler and Wagner, but on a lesser scale. Schenker, after all, was a composer of *Lieder* and chamber music, not of grand symphonies and Music-dramas. Schenker's compositional problem becomes, then, how to capture the essence of a poetic text using the tonal palette of post-Wagnerian harmony and how, at the same time, to create tonally unified works of art. I will be examining in this section: (1) the analytical problems of directional tonality (including the double-tonic complex) in which I will show how Schenker employed this technique in his *Heimat*, op. 6/1; (2) the analytical problems of determining the tonic or non-tonic status of an opening (which is of crucial importance to the tonal design of a work) illustrated by Schenker's setting of Goethe's *Wanderers Nachtlied*, op. 6/3; and (3) the importance of motivic unity and hidden motivic repetition in unifying music that contains such tonally problematic structure.

2.2 The Auxiliary Cadence as an incomplete *Ursatzform* transference

The *auxiliary cadence* is an incomplete progression, opening with a non-tonic harmony and moving into the tonic. At the beginning of a piece, it lends a sense of ambiguity to the tonality and results in a comparatively greater sense of "arrival" once the tonic harmony does, in fact, sound. The opening progression is then understood retrospectively as having pointed toward the tonic. Schenker refers to such procedures as "deceptive beginnings." He notes in *Harmonielehre* that the ear expects the tonic chord at the beginning of a piece and will, until evidence to the contrary appears, accept the opening sonority and key as the tonic:

> If we hear, for example, the tone G, our first impulse is to expect the prompt appearance of also D and B, the descendants of G; for this is the way Nature has conditioned our ear. If the artist subverts this natural order, if he proceeds, e.g., with the lower fifth C, he belies our natural expectation. The actual appearance of C informs us ex post facto that the subject was not G but C. In this case, however, it would have been more natural to introduce the C first and to have it followed by G.[121]

Many pieces, for dramatic or programmatic reasons, will open with a non-tonic sonority or even key area. Schenker's term, *Hilfkadenz* (auxiliary cadence) refers to "[t]he voice-leading [being] 'closed off' from what precedes it: that is, the opening harmonies are related only to the forthcoming I; they point only to it. However, despite the degrees which belong to the forthcoming root, the space up to its actual entrance belongs conceptually to the

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[121]Erscheint, z. B. der Ton G, so plädiert unser Gefühl zunächst dafür, daß offenbar zu G sich bald sine eigenen Dezendenten D und H gesellen werden, da in diesem Sinne unser Gefühl von der Natur instruiert ist. Stellt nun der Künstler diese natürliche Ordnung um, und läßt auf ein G gar die Unterquint C folgen, so hat er damit ohne Zweifel unsere Erwartung Lügen gestraft. Daraus, daß das C tatsächlich gefolgt ist, erfahren wir hinterher, daß es sich da gar nicht um G, sondern vielmehr um C gehandelt hat, in welchem Falle aber G auf C folgen zu lassen doch das Natürliche gewesen wäre. Schenker, *Harmonielehre*, p. 45-6. [Translation Jonas, p. 32.]

preceding harmony."[122] Obviously, if an auxiliary cadence were to begin a composition there would be no music preceding it. There are three ways in which the auxiliary cadence can operate: (1) the non-tonic opening; (2) an auxiliary cadence in the middle of a progression; and (3) a whole piece structured as an auxiliary cadence. This is distinguished from the first type by the tonic being reached only at the end of the piece (both, necessarily, are non-tonic beginnings). The first type is prefaced by a discussion of tonicity – the factors that determine how is the tonic of a piece to be determined, especially at its outset. The third type includes cases of "directional tonality" discussed above.

First type: The non-tonic opening and factors determining tonic status

The auxiliary cadence may operate on the foreground or on the background.[123] An example of an auxiliary cadence that exists only on the foreground is a phrase that does not begin with the tonic chord but one whose beginning is understood retrospectively as leading to the tonic chord that eventually occurs. One example is found in the *Wedding March* of Felix Mendelssohn's incidental music for *A Midsummer Night's Dream* (1843):

[122]FC p. 88. A structure similar to *Heimat* governs Schumann's *Im Wunderschönen Monat Mai* (op. 48/1), except that the work opens with the upper third, III$^{\natural}$, instead of the lower ♭VI and thus does not require a change of key signature.

[123]This would seem to contradict Schenker's conception of the auxiliary cadence as specifically a foreground event. When I speak of a "background" auxiliary cadence, I am referring to directional tonality, where two keys are set up as rival tonics and the first key, which features complete progressions and motivic autonomy, is eventually understood to be subordinate to the second.

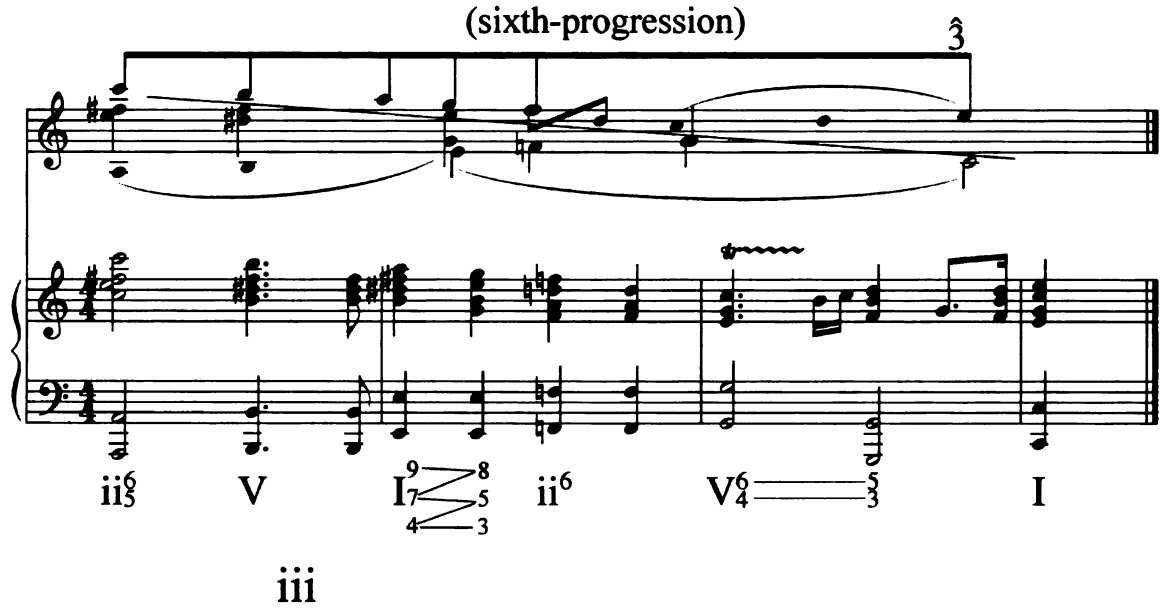

Figure 2.3 Mendelssohn's *Wedding March*, mm. 1–4,
with Schenker's analysis (FS fig. 89/4)

Schenker's analysis from *Der freie Satz* shows the subordinate nature of the opening harmonies. In this example, the line connecting the upper voice C^3 with the beginning of the structural C in the bass (shown as an open notehead) that makes clear the retrospective connection. Such "normalization" is common in Schenker's analyses and shows structural connection at a deeper level.[124] The opening sonority relates only locally to the E minor beginning, and not to the tonic C major.

The first section of Schenker's *Nachtgruß* op. 6/1 (with what will be shown to be a characteristic gesture in Schenker's compositional language) begins with an auxiliary cadence II(=$V^{\flat 9}/_V$)—V—I. The auxiliary cadence is appropriate here since a progression beginning "in the middle" may, in the context of the chosen text, symbolize that death may take us at any time, as a thief in the night.[125]

[124] Normalization refers to the conceptual re-alignment of foreground pitches at a middleground level; it is the opposite of displacement.

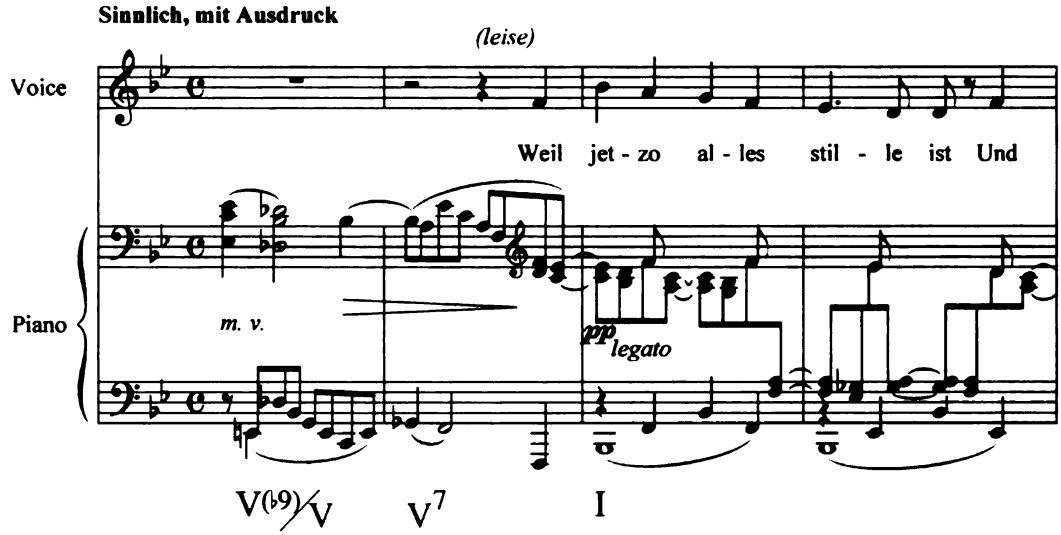

Figure 2.4. *Nachtgruß*, mm. 1-4

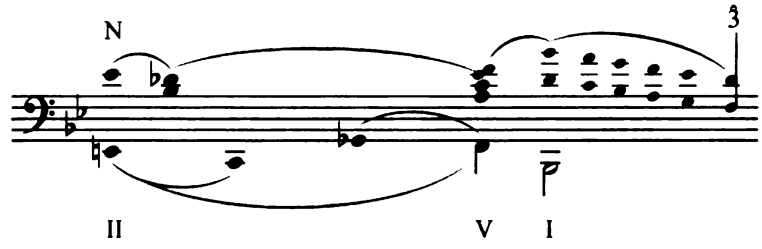

Figure 2.5 *Nachtgruß*, mm. 1-4 as auxiliary cadence

The remainder song is cast in ternary form with a clear I—V—I tonal scheme at the background level. The large-scale tonal design of the song does not raise the types of analytical questions that the two outer members of the set, *Heimat* and *Wanderers Nachtlied*, do. Rather, within this clear tonal structure, Schenker employs overlapping phrases and long chromatic ascent. The overall structure reveals an interrupted descent from $\hat{3}$ where the middle section, in F major, beginning and ending on C serves to prolong the $\hat{2}$. The opening music returns and the descent to the tonic ensues.

[125] Cf. I Thessalonians 5:2, II Peter 3:10 and Revelation 16:10

Measures	1—19 A	20—39 B	40—67 A^1
Tonality	B♭ major	F major	B♭ major
Text	"Weil jetzso alles stille ist"	"Der falsche fleiß"	"Ein ander König"
Dramatic Situation	Calmness, stillness, rest	Remembrance of the vanities of the world	Ascent of the king to His throne

Table 2.1 Form of *Nachtgruß*

The Determination of the Structural Tonic

Related to ambiguous beginnings is the opening with a tonic (or apparent tonic; this distinction is crucial) sonority that the subsequent music reveals to be another scale degree altogether. One of the tasks of the analyst is to evaluate, based on contextual evidence, the tonic or non-tonic status of a harmony. A literal statement of a tonic triad at the beginning of a work is not, according to Schenker, sufficient to establish a structural tonic conclusively; nor is the absence of a literal tonic triad enough to preclude a structural tonic. L. Poundie Burstein, in his writings on the auxiliary cadence,[126] addresses these issues and, inasmuch as this aspect of design figures into Schenker's compositional work, it will be beneficial to summarize his ideas here. Burstein suggests that, for Schenker, the presence or absence of a tonic is an either/or question. It is analytically useful, however, to accept that the presence or absence of a tonic can be ambiguous. Such cases might be a weakly-established tonic or non-tonic beginnings that strongly hint at an opening I.[127]

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[126] See, for example, "Unravelling Schenker's Concept of the Auxiliary Cadence," *Music Theory Spectrum* 27.2 (Fall 2005): 159-185 and "Schenker's Concept of the Auxiliary Cadence" in *Essays from the Third International Schenker Symposium* (Hildesheim: Olms, 2007): 1-38.

[127] Frank Samarotto, in his forthcoming article on the first movement Beethoven's op. 132 quartet, examines one case of such a weakly established tonic that he terms a "divided tonic" that is present almost

Burstein examines several of Schenker's analyses from *Der freie Satz*, which are summarized below. He notes,

> It may seem troubling that subtle differences may separate progressions that are read as beginning with a true tonic from those that are read as auxiliary cadences. Schenker never provides clear rules for deciding if an opening sonority is a tonic or not, nor does it even seem possible that such a determination could be made. And yet this determination often has far-reaching ramifications. If an opening chord that is weakly suggested nonetheless is accepted as tonic, it can serve on the highest level as the background tonic, one of the most important harmonies of the entire piece. If it is not accepted as a tonic, then all traces of the chord disappear from the analysis, even on the foreground level.[128]

In his article, he examines several analyses from *Der freie Satz* in which Schenker grapples with this issue.

I. Structural, but not literal, tonic beginnings:[129]
   a. Chopin F♯m nocturne op. 15/2 (fig. 117/1)
   b. Chopin A minor mazurka op. 17/4 (fig. 63/2)
   c. Beethoven, Symphony no. 2, first movement (fig. 100/2b)
II. Literal, but not structural, tonic beginnings:
   a. Beethoven A♭ major sonata, op. 26/ii (fig. 110/e3)
   b. Brahms, B major waltz, op. 39/1 (fig. 110/b1)
   c. Chopin, A♭ major mazurka, op. 24/3 (fig. 40/7)
III. More problematic cases
   a. Mozart's 'dissonant' quartet (fig. 99/3)
   b. Beethoven's E minor sonata, op. 90
   c. Beethoven's C major symphony, op. 21

Table 2.2. Structural versus Literal Tonic Beginning

The opening of Beethoven's first symphony with its famous non-tonic opening is illustrative in this regard. I propose here two readings of the opening twelve bars, the first showing a I—V progression, and the second reading an auxiliary cadence leading to a back-

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by implication only and whose elusiveness governs the whole design of the movement. See "The Divided Tonic in the First Movement of Beethoven's Op. 132," in *Keys to the Drama: Nine Perspectives on Sonata Form* ed. Gordon Sly (Ashgate, forthcoming).

[128] Burstein 2007: 21-22.

[129] Roman numerals I and II contain the titles cited in Burstein 2007, examples 10 and 11 (pp. 20 and 22). Titles under Roman numeral III are discussed on p. 19

relating dominant, IV—V—(I). Reading the passage as opening on the tonic (see Figure 2.6), the opening sonority is interpreted as a tonic chord with a flatted seventh. This tonic is prolonged until the structural dominant in bar 9. This necessitates the strong tonicization of V in bar 3 to be read part of the *Bassbrechung* I—V—I that extends the tonic function until bar 8. Melodically, the upper voice moves from $\hat{3}$ to $\hat{5}$, passing through $\sharp\hat{4}$ in the manner of an *Anstieg*. The G, once attained, remains conceptually in force throughout the introduction; the interruption in bar 12 comes from an inner-voice descent.

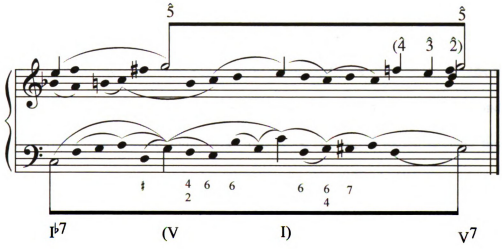

Figure 2.6 Beethoven, First Symphony mm. 1–12, I–V reading

Schenker seems to agree with this view, for he writes (also in *Harmonielehre*) "We should be wary, however of all sorts of deceptions which spirited authors have in store for us, particularly at the beginning of a work. I do not include here the beginning of Beethoven's *Symphony No. I*, which at first raised such excitement because allegedly it did not open with a tonic. For, in reality, it does begin with the tonic, even though a dominant seventh-chord is piled upon it."[130]

An alternate reading that interprets the opening as an auxiliary cadence hinges on the interpretation of the very first chord: is it the tonic or not? Secondary V^7 chords are usually

[130] Schenker, *Harmonielehre* §135

dependent for their meaning upon the following chord. A reading that I consider more accurate interprets the first twelve bars as an auxiliary cadence IV—II—V with the V leading to I in bar 13 (the start of the first theme group). To do otherwise, I think, robs the introduction of much of its dramatic power: Beethoven does not give us a root-position tonic chord until that start of the first theme group. The tonic function of the opening sonority is compromised by the addition of a flatted seventh, which tends toward resolution to the IV and thence to V. Schenker admits that the composer will play upon the audience's expectation of a tonic only to lead the composition in an entirely different direction be reinterpreting the chord. He writes that the composer "tries to mock us, consciously and purposively, by suddenly revealing the same chord which we supposed to be a tonic as an entirely different scale-step.[131]" The reading that I propose, illustrated in Figure 2.7, brings the primacy of the dominant to the fore and, as it does not relate back to an opening tonic, is not interrupted and allows for the dramatic thrust into the first idea of the symphony.

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[131] Schenker, *Harmonielehre* 235.

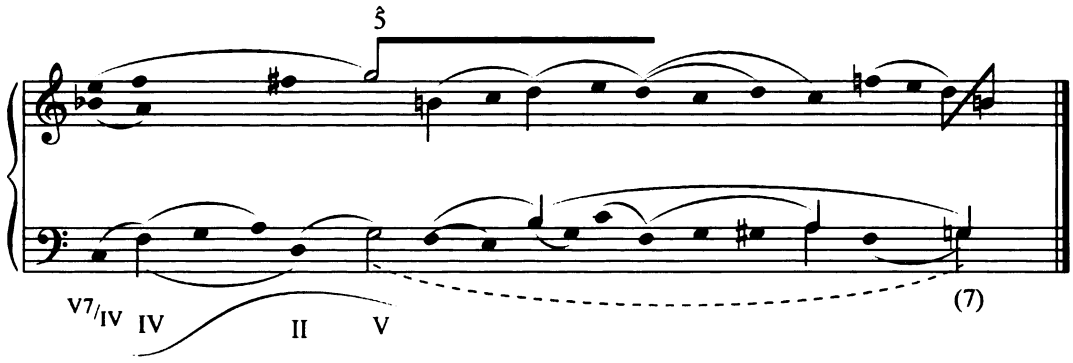

Figure 2.7 Beethoven, First Symphony, mm. 1–12 aux. cad. reading

The interpretation of figure 2.7 hinges on the interpretation of the structure and function of the dominant seventh chord. Schenker acknowledges that the dissonance can be elided, that is, lacking an initiating tone. According to this logic, the opening chord is a tonic according to the idea that the passing or neighbor tone may appear without its initiating tone: "thus the preparation itself may be elided and the dissonance placed on the strong beat in its absence. Dissonant chords thereby arise, for which in certain circumstances a purely *implicit preparation* . . . can be assumed; otherwise the apparently free dissonance must be understood as the clearly established internal element of a *latent passing motion.*"[132] This is intuitively understood by musicians who, even without the benefit of a Schenkerian understanding, speak of seventh "chords" or augmented-sixth "chords" whose evolution into independent harmonies depends on the concept of elision thus:

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[132] "so kann nämlich die Vorbereitung elidiert und die Dissonanz auf den guten Taktteil auch ohne solche gesetzt warden. Es entstehen dadurch dissonante Akkorde, bei denen unter Umständen immerhin eine bloß *stillschweigende Vorbereitung* durch die vorausgegangene Harmonie . . . wohl angenommen warden kann, sonst aber die scheinbar frei auftretende Dissonanz aur als mittlerer, dueutlich fixierter Teil eines *latenten Durchgsnges.*" Schenker, *Kontrapunkt* I, 366.

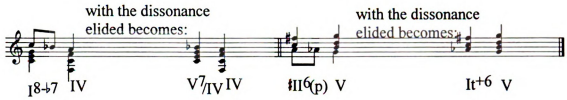

Figure 2.8 Example of elided dissonance

Another ambiguous example is found in the opening of Beethoven's op. 90 Piano Sonata in E Minor. Schenker mentions this work in *Harmonielehre* and returns to it briefly in *Der freie Satz*. He wrote in 1906: "When we listen to the opening measures of Beethoven's piano sonata , op. 90, our instinct suggests unfailingly that we are probably dealing here with a tonic [triad] in E minor. … Our assumption, however, will not be confirmed [because in] the Beethoven sonata, the E minor triad reveals itself soon enough to be a VI step in G major."

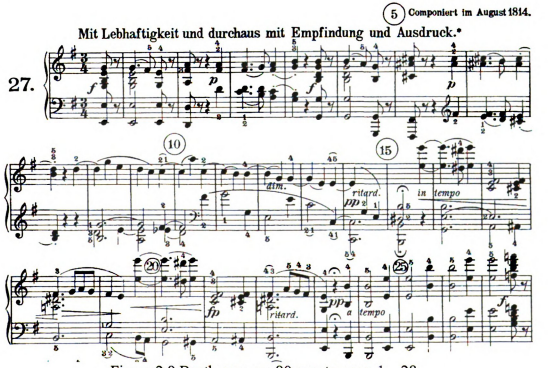

Figure 2.9 Beethoven op. 90 sonata, mm. 1—28

Oswald Jonas, in a footnote, comments on Schenker's interpretation: "obviously, Schenker made a mistake here. As a matter of fact, the sonata is in E minor and the G can be understood only as the result of a progression by a third, dividing into two the ascent to the dominant, B."[133] This is corroborated by his 1935 reading, where he describes precisely that situation: "the paths [in fig. 14/1 a, b] represent an arpeggiation of the fifth through the third. This gives rise to the concept of a *third-divider* (which will be explored more fully in the discussion of *Heimat* below, p. 94ff). The meaning of this third-divider changes according to whether it achieves the value of an independent toot, especially when the third is raised (III', as at b). However, in both instances, the essential unity of the fifth-arpeggiation prevails over the third-divider. Schenker provides the following middleground sketch of the opening measures showing the progression closed in E minor.

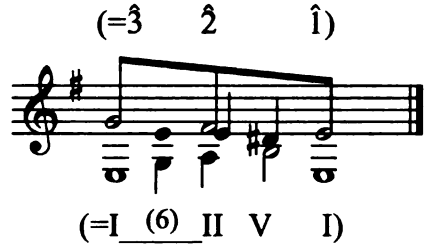

Figure 2.10 Schenker, FS fig. 109a1

A foreground reading of the passage is shown in figure 2.11, which prioritizes the auxiliary cadence beginning since the absence of the leading tone forces swift tonicization of III. E minor is confirmed only at the close of the passage with the

[133] HL-Eng, 251.

dominant at m. 15 (which does not in any way refute Jonas's correction).

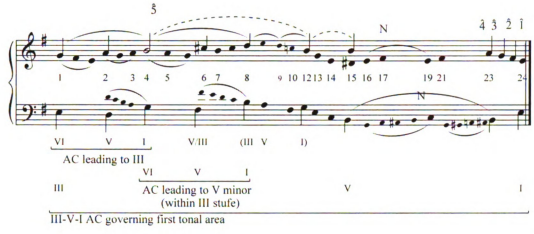

Figure 2.11 Beethoven Op. 90: foreground reading

The interpretation of the opening tonality of Schenker's *Wanderers Nachtlied* poses similar concerns. The tonicity of the opening triad is in question inasmuch as it functions as $^{VI}/_{III}$, exactly as in the Beethoven:

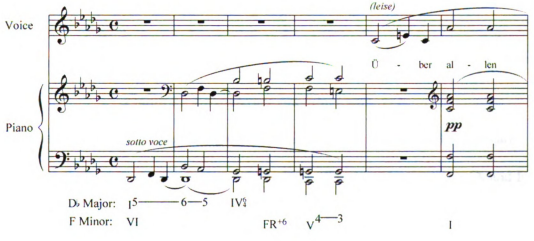

Figure 2.12 Schenker, *Wanderers Nachtlied* showing tonal ambiguity

Schenker begins this song with an auxiliary cadence that obscures the tonality and

embraces the D♭ tonic within the local context of F minor. By reinterpreting the tonic opening as an auxiliary cadence leading to the dominant of the mediant, Schenker sets us immediately in the world of the wanderer seeking his rest: we are disoriented tonally. The basic tonal motion of the song is summarized in the table below:

Section	1	2	3	4
Harmony	Auxiliary Cadence to V of Fm; D♭M	Cadence on A♭	Auxiliary Cadence to V of Cm; Fm	D♭
Text	"Über allen Gipfeln"	"In allen Wipfeln"	"Die Vögelein schweigen"	"Warte nur"

Table 2.3 Form of *Wanderers Nachtlied*

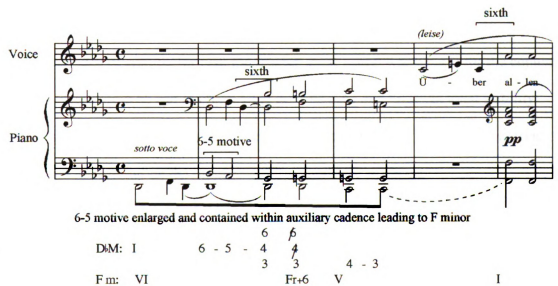

Figure 2.13 *Wanderers Nachtlied*, mm. 1–6

The chromaticism of the passage following this is vague and diffuse as if we too are wandering in the mists, unsure of our tonal bearings. The interplay between D♭ and F is a prominent feature of the design of the work. This analysis focuses principally on two different interpretations of the movement's basic voice-leading structure, one of which is a response to the music's novel tonal design. As explained above, our ears are conditioned to accept the opening notes as the tonic until evidence to the contrary

appears. This is the case with the opening D♭ major which is the first full triad heard, and which then progresses to IV, albeit in six-four position, on the first beat of m. 3. Such a progression (I $\frac{5}{3} = \frac{6}{4} = \frac{5}{3}$) would establish, albeit weakly, D♭ as tonic. The notes of the six-four, however, are inflected upwards, forming the Fr^{+6} of F minor which then resolve to the dominant of that key.

Figure 2.13 also shows how the piano introduction serves to (1) introduce the tonality in an ambiguous manner; and (2) introduce the two most prominent motives: (a) the ascending sixth; and (b) the $\hat{6}$–$\hat{5}$ motion. Tonal ambiguity is employed for programmatic and musical reasons. It is programmatic in that it musically portrays the central poetic idea of waiting for rest: the listener must wait ("warte nur") for the context to become clear before he can interpret what he is hearing and "rest" in tonal stability. Schenker's musical reasons are made clear in his choice of motive: nested $\hat{6}$–$\hat{5}$ motivic ideas that are manifested on the middleground as auxiliary cadences.

This idea, that a key is established, however tenuously, by means of an incomplete progression ties in to Schenker's motivic plans for the piece as a whole. In this case, the $\hat{6}$–$\hat{5}$ motive, appearing first on the foreground as contrapuntal motion above the bass, is enlarged on the middleground as the harmonic progression VI–V, which is used in to tonicize the mediant and the subtonic via auxiliary cadence in those key areas. Additionally, lest this subcutaneous motivic play be too abstract, the initial component, the sixth scale step, is expressed as a melodic motive of a sixth which is also composed-out on the middleground as a series of linear progressions. Figure 2.14 shows two variant readings of the first part of the song (mm. 1–22):

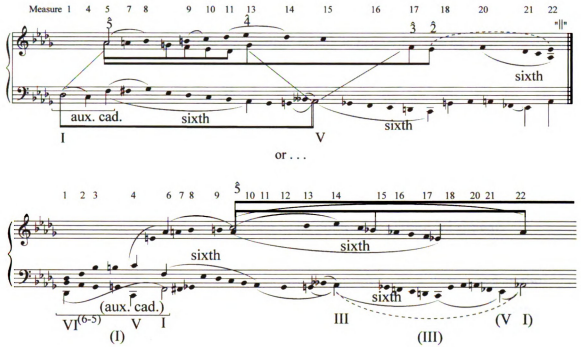

Figure 2.14 Two Interpretations of mm. 1–22

This certainly illustrates the concept of which Goethe was thinking when he penned the lines, "there is nothing in the skin that is not in the bones."[134] In this case, the motivic saturation from the foreground to the background corroborates the primacy of the sixth which even extends to the last chord of the song – a sixth-position tonic triad!

Of central importance to Schenker's conception of form is the idea of interruption and the related ideas of the dividing, or back-relating, dominant. By bar 22, the music has established D♭ as a tonic by means of an incomplete progression (m. 1–3) and, more strongly, by the half cadence at m. 22. Does this mean that Schenker implied the song to be a two-part form? This apparent upper-fifth divider segments the four-line poem into two two-line units. Corroborating the interruption interpretation are (1) the motivic

[134] Goethe's poem *Typus*, from which that line comes, seems to have had particular resonance for Schenker and his followers. Schenker quotes it in *Der Tonwille* II (1922): 5 Jonas quotes it in *Der Dreiklang*, a short-lived periodical produced in collaboration with Felix Salzer, similar in many respects to *Der Tonwille*.

descent of the upper-voice in mm. 6–17ff (and its copy in mm. 6–11); and (2) the sense of recommencement in the following section, which is brought about by a progression analogous to that of mm. 1–4. Reading the dominant as an interruption would be incorrect, I think, for the single reason that the harmonic progression is continuous, i.e., we have reached the dominant in m. 22 and a true interruption would require a melodic and harmonic recommencement analogous to an interrupted period. The music that follows takes the newly-attained dominant as its point of departure, as shown:

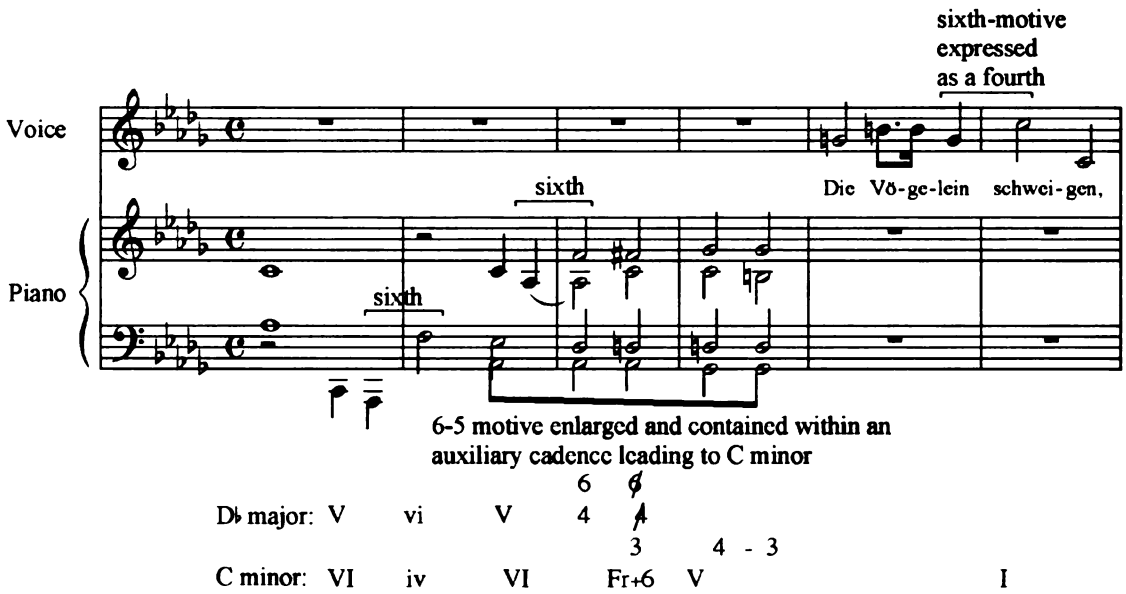

Figure 2.15 Measures 22–27 showing parallel construction (cf. fig. 2.13)

A more correct reading of the *Urlinie*, then, should point to an uninterrupted structure, although the parallelism makes an interruption reading seem plausible but harmonically untenable. The overall course of the *Urlinie* prolongs $\hat{5}$ (A♭) from bars 5 through 37, which descends over a I–ii–V–I progression.

Figure 2.16 Background of *Wanderers Nachtlied*

There is an intriguing correspondence between Franz Schubert's setting of *Wanderer's Nachtlied* and Schenker's. Of course, Schenker would surely have known of his more famous countryman's setting (as he was an accompanist of *Lieder*), and probably had intimate knowledge of the score. In light of this, it is curious that the song was not analyzed by Schenker in either his published or unpublished works. Nor can sketches be found in either the Jonas or Oster collections.

The correspondence (one might even call it intertextuality) lies in each composer's use of a VI–V–I auxiliary cadence but, whereas Schenker uses this gesture twice (once at the beginning of each strophe), Schubert reserves the auxiliary cadence for the climactic "warte nur." While Schubert's use of the technique at this point in the progression emphasizes the need for patience on the part of the wanderer seeking his rest, there is no doubt that rest will come. The tonal structure is unequivocal in Schubert's setting. In Schenker's, by contrast, the tonal structure is restless and ambiguous.

The notion of rest seems uncertain in Schenker's setting on three counts: *first*, the auxiliary cadences are placed at the beginnings of strophes and are applied to non-tonic degrees. *Second*, the melodic line at "ruhest du auch" occurs three times: (1) in m. 35–38 coming to rest on $\hat{2}$ supported by a C♭–D♭ dyad suggesting a $^{V}/_{IV}$ (that progresses to an altered IV); (2) coming to rest on a C♭ in m. 41, extending that harmony; and finally (3) a melodic $\hat{5}$–$\hat{1}$ descent supported by a unison D♭—the most conclusive end thus far. *Third*, the four-measure piano postlude establishes F as the lowest bass pitch, which puts the tonic triad into sixth position – a kinetic, not static, position – which seems to contradict the text (or provide for the interpretation) that the rest of earthly death is only the first stage of a spiritual journey. Additionally, the prominent F in the bass may be some

attempt to compensate for the lack of a $\hat{3}$ of the fundamental line.

An alternate reading that might explain the curious F conclusion in the bass is that the song was actually conceived in F minor, and that the opening D♭ relates to the tonality only as VI. Such a reading (one possibility is shown in Figure 2.17) is borne out by the tonal plan of the music and especially by the parallel auxiliary cadences VI–V–I of I (F minor) and VI–V–I of V (C minor) resulting in the characteristic long-term arpeggiation I–III–V–I over the course of the work.

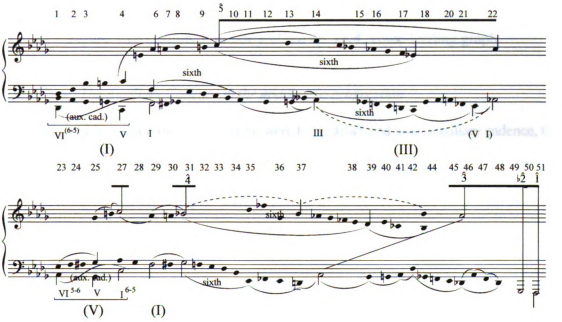

Figure 2.17 F minor reading of *Wanderers Nachtlied*

Two issues that are evident in this reading are (1) the modal mixture in the fundamental line ($\hat{5}$–$\hat{4}$–$\hat{3}$–♭$\hat{2}$–$\hat{1}$); and (2) the migration of the *Urlinie* into the bass. Both have

precedents in the tonal literature.[135] As an example, consider Chopin's E minor prelude, op. 28/4, in which the Urlinie, beginning in the upper voice, migrates and concludes in the tenor.

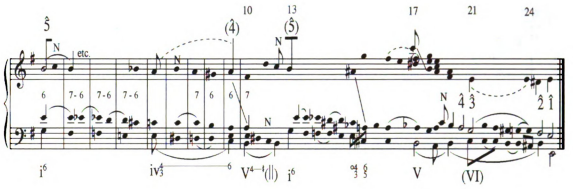

Figure 2.18 Chopin, E minor prelude op. 28/4, voice-leading graph

Second Type: The Auxiliary Cadence in the middle of a progression

If a middle section of a ternary form were to be structured as an auxiliary cadence, the voice-leading graph would show the opening chord of the auxiliary cadence connecting to its tonic, and not to the harmony immediately preceding it. Schenker, in *Der freie Satz*, gives an example from Johann Strauss's "Blue Danube" waltz No. 1:

[135]For a discussion of such events, see Carl Schachter's "The Submerged Urlinie" *Current Musicology* 56 (1994): 54-71. Also of interest is Brent Yorgeson's unpublished paper, "The Melodic Bass: Submerged *Urlinies,* Shadow *Urlinies* and 'Urlinie Envy'," Music Theoy Midwest (Friday, 16 May, 2003, Indianapolis, IN). The author furnished me a copy of the paper, which remains unpublished.

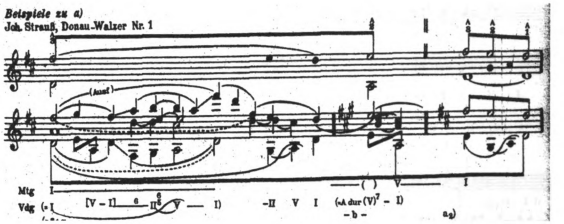

Figure 2.19 Schenker's graph of Strauss's *Blue Danube Waltz*

Here the middle section, which composes out the $\hat{2}$ of the first branch, is structured as an auxiliary cadence. The unfolded interval E—A in the bass voice of the lower staff functions locally as an auxiliary cadence in A Major. It is "closed off" from what precedes it, a foreground descent from $\hat{3}$–$\hat{1}$ in D Major (note the parentheses on the middleground Roman numeral analysis showing that the E major harmony does not relate to D Major but rather to A Major).

Another interesting example occurs in Schubert's setting of Goethe's *Wanderers Nachtlied* in which the ascent to the primary tone of the *Urlinie* pauses at the V and re-commences (as if it had been interrupted) in diminution over a VI–V–I auxiliary cadence. The auxiliary cadence in this case is closed off through the restatement of the third-span of the *Anstieg*; the VI harmony does not serve as a neighbor between the two V's, nor does it function as any sort of tonic-prolonging "deceptive" progression. Its meaning is that of an introductory harmony leading to the tonic of measure 10.

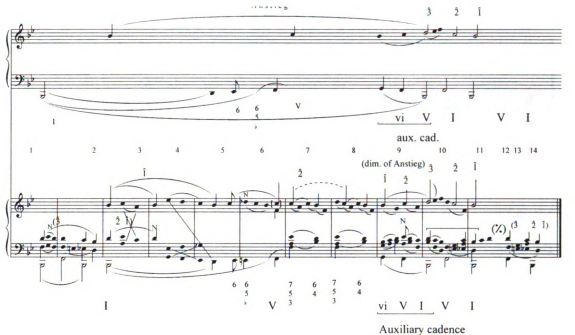

Figure 2.20 Schubert's setting of *Wanderers Nachtlied*

Third-Type: The Auxiliary Cadence as the basis for an entire composition

It is rare for such an auxiliary cadence to form the basis for an entire composition. In such cases, the composer must create harmonic motion within his chosen harmony while circumventing the urge to resolve to the structural I. Examples occur in Schumann (e.g., *Mondnacht* and *Schöne Fremde* from *Liederkreis.* [136] Another example is Chopin's *Prelude* op. 28/2 (1838–9). This is the most extensive example of an auxiliary cadence given by Schenker; the whole piece is heard as a prolongation of V, supporting a fifth-line, with the I reached only in the final bar. Regarding this example, Schenker writes "This example shows the complete composition. The piece is a true prelude: it represents a fifth-progression over V—I only."[137]

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[136] Charles Burkhart, "Departures from the Norm in two songs from Schumann's *Liederkreis*," *Schenker Studies* (Cambridge: Cambridge University Press, 1990), 146-47. Burkhart examines *Mondnacht* and *Schöne Fremde* from the cycle.

[137] Hierher zählt auch unser Beispiel das, obgleich ein Ganzes vorstellend, immerhin das Wesen eines Prélude so weit wahrt, als es nur einen Quintzug darbringt über V—I. Scheker, *Freie Satz* p. 136.

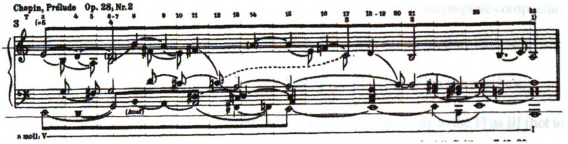

Figure 2.21 Schenker's analysis of Chopin's *Prelude* op. 28/2[138]

Ultimately, there comes a point when even Schenker admits confusion regarding the tonality of a given work. His interpretation of Chopin's Mazurka op. 30/2 (1837) shows this. In the analysis, he writes, "an *Urlinie* progression and $V^{\natural 3}$—I in the bass are lacking here; the uncertainty which arises about the tonality almost prevents us from calling this mazurka a completed composition."[139] Schenker provides the following sketch of the bass:

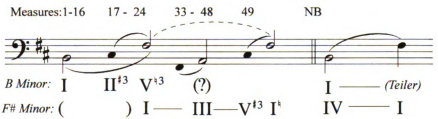

Figure 2.22 Chopin, Mazurka op. 30/2, background

He goes on to say that "[the example] is undivided, due to the large arpeggiation which leads to $\hat{3}$–$\hat{2}$–$\hat{1}$; but it represents only the first part of a three-part song form."[140] Is the Chopin

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[138]Schenker, *Freie Satz*, Figure 110/3.

[139]Auch fehlt hier ein Urlinie-Zug und beim Basse $V^{\natural 3}$—I; die dadurch entstehenden Zweifel an der Tonart gestatten im Grunde nicht, hier schon vom einer fertigen Mazurka zu sprechen. Schenker, *Der freie Satz*, p. 201.

[140][das Beispiel], das bei $\hat{3}$—$\hat{2}$—$\hat{1}$ vermöge der brechung ungeteilt ist, dennoch den ersten Teil in einer dreiteiligen Liedform dar[.] Idem. Schenker is discussing musical form in this portion of the text. According to his approach, the divisions of the *Ursatz* are the means by which formal demarcations are made (i.e., an undivided Ursatz yields an undivided or one-part form, while a divided *Ursatz* may give rise to forms ranging from a simple ternary to a sonata-allegro form.

Mazurka, then, a *bona-fide* example of directional tonality; or, is it an incomplete composition that ends with a back-relating dominant? Even Schenker does not propose a monotonal reading; his *Stufen* analysis shows the V♮^{3} as a "pivot," functioning as I in the new key. Corroborating this is the A Major of m. 48, whose meaning relates only to the F♮ as III (not to the B as VII). One cannot help but wonder why Schenker inserted the parenthesis in front of the F♮ analysis. The B minor and C♮ Major harmonies could very well be read as IV and V$^{6}_{3}$ in F♮ Minor, producing an auxiliary cadence of IV—V—I. Yet Schenker proposes that it is the "first part" of a song form. The preceding mazurka is in C minor and the one that follows is in D♭ Major. Since they bear no relationship, motivically or tonally, to the B minor Mazurka, Schenker's judgment is questionable.

Schenker's understanding of the dramatic possibilities of these incomplete progressions informed his compositional practice in many ways. As a composer, he seems to have grasped the myriad ways in which these progressions can be used to create musical expectation and meaning. In *Agnes*, he employs an auxiliary divider, explained below as an auxiliary cadence leading to a back-relating dominant which is quite rare in the tonal repertoire because of the absence of a tonic at either end of the progression; in *Heimat* he employs a similarly-structured tonal design that employs two different keys, combining a double-tonic design with the auxiliary cadence structure. *Nachtgruss* displays one his simplest uses of the technique, while *Wanderers Nachtlied* explores the fundamental tonal problem of tonicity and shows Schenker's clever manipulation of motives at the service of larger design considerations.

2.3 The Back-relating Dominant as an incomplete *Ursatzform* transference

In order to understand the incomplete transferences that form the basis for this examination of Schenker's music, consider again the complete *Ursatzformen* that consist of the *Urlinie* filling in the tonal space of the triad from $\hat{3}$, $\hat{5}$, or $\hat{8}$ coupled with the structural *Baßbrechung* from I to V and back.

The back-relating dominant can exist on several musical levels and is best understood as a composing-out of the tonic triad leading to the dominant. What usually follows is a regaining of the tonic and finishing the musical phrase or section. I show three types of back-relating dominanta: (1) a single chord within a phrase; (2) a semicadence at the end of a phrase; and (3) a structural dividing dominant at the end of a section. An example of the first type, an extremely local back-relating dominant (kind of a parenthetical insertion), would be one that, in the manner of a sentence, allows the composer to elaborate his basic idea[141] as Figure 2.23 shows:

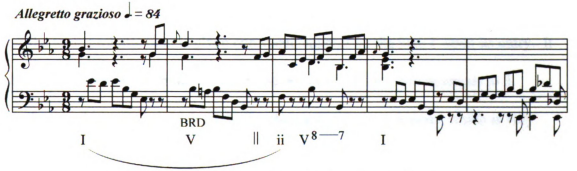


Figure 2.23 back-relating dominant as single chord

In this example, the dominant harmony in the second measure relates back to the opening

[141] The usage of "basic idea" here follows William Caplin's in *Classical Form* and refers to the melodic content of the phrase

tonic, and *not* (this is the crucial point) to the ii and V that follow it. A proper reading of the passage would prioritize the tonic and characterize the melody as expanding tonic by prolonging the fifth scale degree via a third-span, thus:

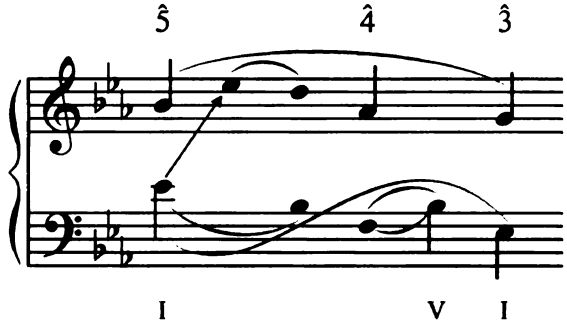


Figure 2.24 Voice-Leading Interpretation [of figure 2.23]

The two V chords in m. 2 and m. 3 function differently: the first serves to interrupt the harmonic motion after the opening melody is stated (at the level of the dominant and in the manner of an echo) while the second is the cadential dominant and of correspondingly greater structural importance. The passing tone A♭ (4̂), which is conceptually dissonant against the tonic prolongation, is given consonant support by the bass F upon its entry. It then becomes dissonant upon the arrival of the dominant B♭ and then descends to 3̂.

A second context in which the back-relating dominant functions, which is very typical, is at the end of an antecedent phrase, such as one would find in an interrupted period leading to a recommencement of the melody. Here, the back-relating dominant serves to establish 2̂ (supported by V) at the semicadence of the antecedent phrase. The consequent phrase then recommences melodically, reattaining 3̂ and progressing through 2̂ to 1̂ for melodic closure.

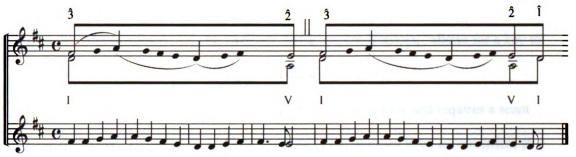


Figure 2.25 Beethoven, theme from the Ninth Symphony, IV.

A third type of back-relating dominant is the high-level form-generating type such as a structural semicadence in a binary, ternary, or sonata form. Such a dominant is termed a *divider* inasmuch as it divides the *Urlinie* into two (or more) *Auskomponierung* spans. This is found, for example, at the end of the development of many sonatas.

Schenker's use of Incomplete Ursatzformen Transferrences in Agnes op. 8/1

Schenker, sensing the dramatic potential for these two types of incomplete transferences , combines them to form an "auxiliary divider" in which the tonic of a passage is present only by implication.

In *Agnes* op. 8/1,[142] Schenker employs a back-relating dominant in this manner. He begins his setting ambiguously, and the key of A minor is only defined retrospectively by the auxiliary cadence VI–♭II–V leading to the back-relating dominant of mm. 5–6. This type of progression occurs "when the tonic *Stufe* is completely omitted from a progression. Such a progression begins in the manner of an auxiliary cadence yet ends

[142] This poem has been set by several other composers, including Schenker's student Otto Vrieslander (1880–1950). Other settings are found in Hugo Wolf's *Mörike-Lieder* (no. 14, 1888), and Brahms op. 59/5 (published in 1873). Schenker's setting, the first of his op. 8 songs for women's chorus, was first performed in February 1904 with the *Wiener Sängerverein* conducted by the composer (For the program, see JC XXXV: 5).

with a dividing dominant."[143] An auxiliary divider writes Burstein, "allows for a key to be established without an actual statement of the tonal center."

Schenker's setting of the poem is unpretentiously strophic and requires a scant twelve measures. The song, in A minor, consists of two phrases in an asymmetrical (5 + 7) antecedent-consequent relationship. The antecedent phrase terminates on a half cadence with the broad motion VI–♭II–V[ii] and the consequent phrase completes the tonal motion I–♭II–V–I. It is reproduced in its entirety below along with a bi-level chordal analysis consisting of a chord-by-chord description along with an interpretation of the progression of *Stufen* showing how the individual chords serve the prolonged harmony.[144]

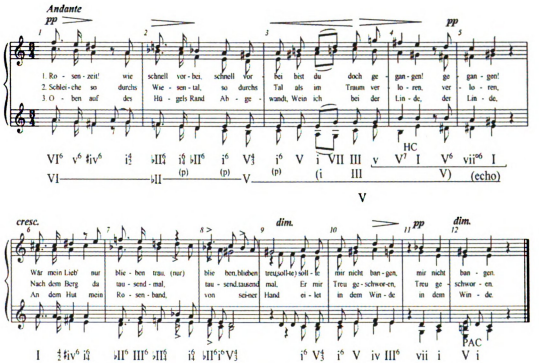


Figure 2.26 Schenker's *Agnes* op. 8, no. 1 with Chordal Analysis

[143] Burstein 2007: 31.

[144] I should note here that Schenker's manuscript (JC XXII: 10) found in Appendix A, is in open score; in my analytical reduction the two staves are SS and AA

Figure 2.27 sketches the antecedent phrase, showing the auxiliary divider:

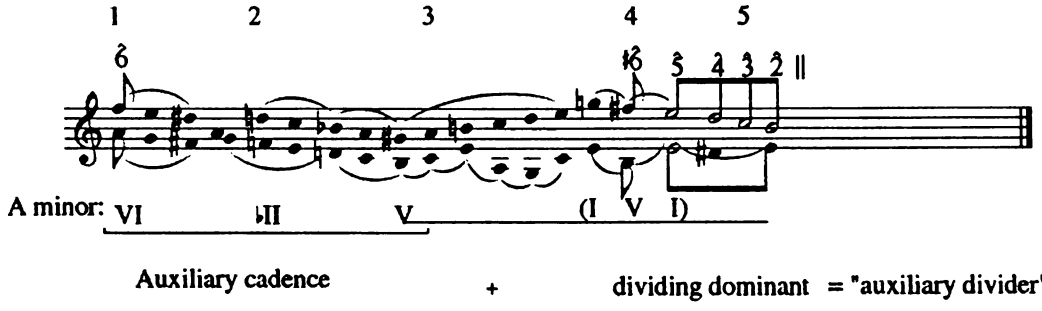


Figure 2.27 *Agnes*, mm. 1–5

There are several tonic chords within the phrase, but they are not structural; they are all serving to prolong a different harmony. A root-position V–I progression does occur in bar 3, but it functions within a dominant prolongation as the lower level harmonic analysis shows. While the brevity of *Agnes* might be enough to dissuade some analysts from reading an interrupted structure, the auxiliary cadence and strong half cadence make such a reading compelling. The tonal motion of the opening phrase suggests an incomplete, chromatically inflected neighbor motion ($\hat{6}$–$\flat\hat{6}$) leading to a $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$ melodic descent.

The consequent phrase (mm. 6–12) begins on the tonic major, preserves the characteristic Phrygian ♭II of the antecedent phrase, and completes the V–I harmonic motion and melodic descent to $\hat{1}$. The final two bars confirm the motivic significance of the Phrygian ♭II with the melodic succession $\flat\hat{2}$–$\hat{1}$–$\flat\hat{7}$–$\hat{1}$ counterpointed by $\flat\hat{7}$–$\hat{1}$–$\hat{5}$–$\hat{1}$ resulting in a ♭vii–i–V–i during which the $\hat{2}$ of the *Urlinie* occurs first as $\flat\hat{2}$ and then (implied) as $\flat\hat{2}$ over the V of the last bar. The unusual progression towards the end (mm. 10–12), in which $\hat{3}$ supported by III^6 and $\hat{2}$ by V, mimics a cadential six-four; the

substitution of G (yielding a III^6) for the more usual A (which would have formed a $V\frac{6}{5}$) is a detail of voice-leading.

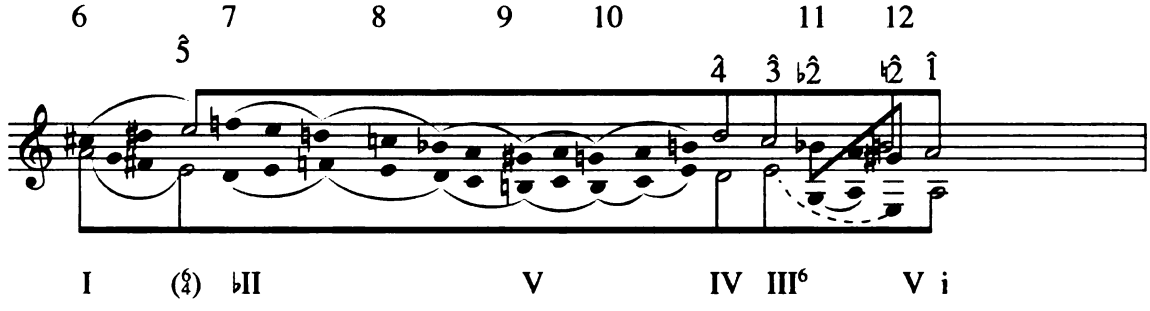


Figure 2.28 *Agnes*, mm. 6–12, foreground graph

The text describes a woman whose lover has been unfaithful and who is lamenting the quick passing of the "time of roses." As roses are an archetypal symbol of love, the meaning of the text is a yearning for a return to the time during which the relationship blossomed. There is not a clear beginning and exposition of the situation in this poem. The speaker describes being repulsed by the cheerful singing of the other women and wandering, trancelike, through the valley, finally stopping at a linden tree to weep. The linden tree carries with it several symbolic connotations: conjugal love (see, for example, Walther von der Vogelweide's *Unter den Linden*), resting under the linden tree tends to symbolize death (e.g., Schubert's *Am Brunnen vor dem Tore* from *Winterreise* or Mahler's *Die zwei blauen Augen* from *Lieder eines fahrenden Gesellen*).

In another setting of the text by Brahms (op. 59/5), several structural characteristics are very similar to Schenker's. Given Schenker's broad musical knowledge and given his admiration of Brahms, it is likely, that Schenker knew Brahms's setting. Brahms's *Agnes* begins with an auxiliary cadence (but not an auxiliary divider),

shares the rhythmic motive ♫ ♪. 𝅘𝅥𝅯| ♫ ♪𝅘𝅥, shares the basic antecedent-consequent phrase structure, and shares the modal shift to the tonic major in the consequent phrase. Differences in Brahms's setting include the repeated consequent phrase that cadences first imperfectly (with the melody on ♭$\hat{3}$), reserving the perfect cadence (in the tonic minor) for the end of the strophe. The melodic characters are different, too, although the third-motive is shared. But, while Schenker prefers the filled-in third, Brahms melody prioritizes the leap of a third, either down (bars 3–6, 11, and 16) or up (bars 8–10 and 13–15). Another difference between the two settings is that, while Schenker's is strophic, as described above, Brahms's accompaniment changes for each verse, resulting in a mofidied strophic setting. For example, he sets verse 1 in a homorhythmic chordal texture while verse 2, which describes the women singing, changes to a jaunty off-beat accompaniment that is transformed, in verses 3 and 4 into a richer contrapuntal setting depicting the aimless trance-like wandering of the woman. A score of the first strophe with analysis is shown as Figure 2.29, which is followed by a foreground voice-leading graph (Figure 2.30)

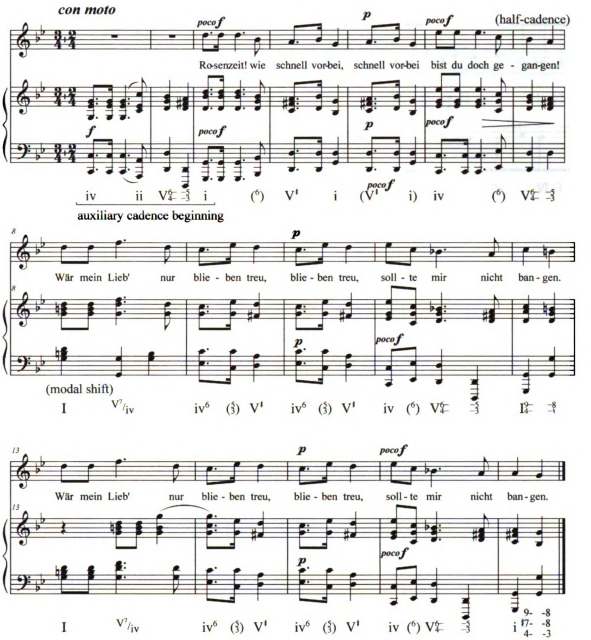


Figure 2.29 Brahms's setting of *Agnes* (strophe 1, mm. 1–17 with analysis)

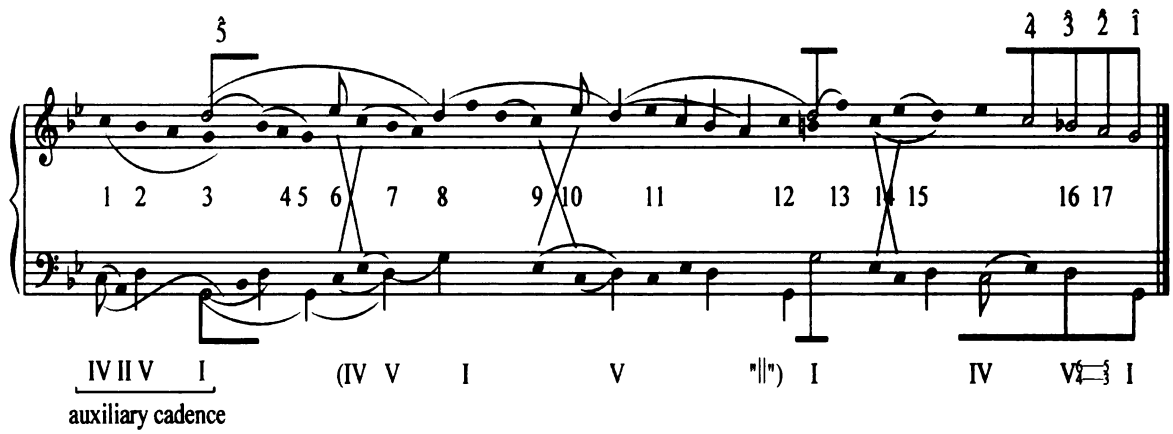


Figure 2.30 Voice-leading graph of Brahms's *Agnes* op. 59/5

2.4 Hidden Motivic Repetition as an agent of organic coherence

The idea of motivic parallelism was introduced above in section 1.4. Its compositional usage usually takes the form of a melodic span that shapes the music at a number of structural levels. Examples of motives treated in this way include: (1) ornamental figures, such as neighbor-note motions; (2) linear progressions through a particular interval, e.g., a sixth-span; or (3) the combination of these to create a melodic shape that is used motivically.

First Type: Ornamental Figure as Motive

An example of an ornamental figure (such as a neighbor note) becoming motivic can be found in Schenker's famous analysis of the first movement of Beethoven's Fifth Symphony from *Der Tonwille* (1921). He writes, "the *Urlinie* shows us that it is not actually all four tones making up the principal motive that are of the essence, but merely the two half-notes separated by a step." He then demonstrates "how the two primary

tones of the motive strive towards the nodal points of the fourth or fifth by the annexation of further tones."[145] By the "annexation of further tones" Schenker is describing the process of motivic enlargement, which is the repetition of a motive over a longer time-span In Schenker's own work, *Heimat*, to be discussed more fully below, a single chromatic neighbor motion becomes a prominent background motive joining two foreground keys.

Second Type: Linear Progression as Motive

The expansion of the $\hat{6}$–$\hat{5}$–$\hat{4}$–$\hat{3}$ motive of Mozart's K. 545 piano sonata, first movement, (given on page 37) is a second type of motive that may be subject to hidden repetition. As a further example of this second type, Beethoven's first piano sonata is permeated with a sixth-motive that grows organically from the opening gesture (a descent from $\hat{5}$ to $\hat{7}$), through the transition and second theme, and underlies the development section as well. Figure 2.31 shows the sixth expanded through the second theme (and is indicative of how this type of parallelism operates):

[145]Der Urlinie entnehmen wir, daß für sie nicht einmal alle vier Töne des Hauptmotivs, sondern nur die beiden einen Sekundschriff voneinander entfernten halben wesentlich in Frage kommen. ... wie die beiden Kerntöne des Motivs sogar nach einem Zusammenschluß noch weiterer Töne bis zu den Knotenpunkten der Quart oder Quint streben.

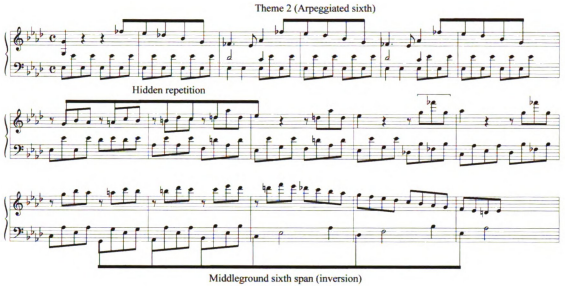
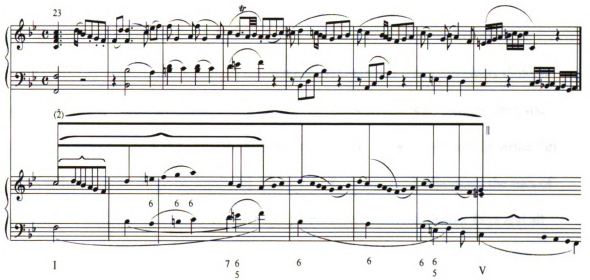


Figure 2.31 Beethoven op. 2, no. 1, mm. 21–34

Third Type: Melodic shape as motive (combination)



For an example of this third type, consider the second theme of the first movement of Mozart's Piano Sonata in B♭ Major, K. 333:

Figure 2.32 Mozart K. 333, I, mm. 23–30 showing hidden repetition[146]

In this example, the initial melodic idea (pattern) consisting of the neighbor motion ($\hat{5}$–$\hat{6}$–$\hat{5}$) and the descent ($\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$) is copied twice[147] as shown with the nested beams. The first copy, spanning mm. 23-26 retains the neighbor motion, but truncates the original fifth to a third, $\hat{5}$–$\hat{4}$–$\hat{3}$. The second copy spans the entire eight bars but terminates at $\hat{2}$ because of the interrupted period structure of the theme. The consequent phrase is an extended repetition with the necessary termination on $\hat{1}$. A fourth motivic repetition is found in the bass voice linking the antecedent and consequent phrases. In this statement, however, the initial C is missing.

2.5 The Analytical Problems of Directional Tonality

Teleological monotonality is the idea that musical works express one key and that apparent changes of key[148] are prolonged chromatic elaborations of a fundamentally diatonic progression. This diatonic, and unidirectional, linear progression that is prolonging the tonic triad, is a core axiom of Schenker's conception of music as art. In *Der freie Satz,* he writes "in contrast [to the *Diatonie* of the background], *tonality,* in the foreground, represents the sum of all occurrences, from the smallest to the most comprehensive, including illusory keys and all the various musical forms."[149] However autonomous other tonal regions may seem in the

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[146] This sketch was given to the author during a course in Schenkerian Analysis with Gordon Sly.

[147] I am using the term "pattern" to refer to the first occurrence of a motive, and "copy" to refer to subsequent occurrences as Charles Burkhart does in "Schenker's Motivic Parallelisms" (*Journal of Music Theory* 22 (1978): 145-75.

[148] Schenker favors the term *scheinbare tonart*, "illusory key."

[149]. . .so zeigt in der Vordergrund *die Tonalität* als summe aller Erscheinungen von den niedersten bis zu dem umfassendsten, bis zu scheinbaren Tonarten und den Formen. Schenker, *Freie Satz*, p. 28 [Translation Oster, p. 5].

foreground, they are still under the control of the *Diatonie* of the background and are realized as composed-out *Stufen.*

Applying Schenkerian principles to nineteenth-century chromatic music can be problematic depending on the type and extent of the chromaticism. In his *Harmonielehre*, Schenker states "the artist cannot write too chromatically as long as his intention is, through chromatic contrasts, to show [the chromaticism's] relationship to diatonicism in the proper light."[150] In the music of the late-nineteenth and early-twentieth centuries, the artistic expression of tonality (through linear progressions, hidden repetitions, and diminutions) became less important to composers. Rather, greater and greater modes of expression, typically characterized by a higher degree of chromaticism and more remote tonal relationships, are often the composer's goal.[151] Brian Hyer, in the *Grove Dictionary,* writes:

> [Nineteenth-century] motivic chromaticism destabilizes the careful coordination between the melodic and harmonic dimensions that characterized Classical music, freeing music from the requirement to close on the original tonic: numerous pieces from Schubert onwards begin and end in different keys; . . . the dictum that pieces close on the original tonic was an aesthetic rather than a cognitive requirement.[152]

Whether creating a musical setting of a text or a work of "absolute" music, the Romantic composer tends to confer unity upon a work through motivic and thematic means or through programmatic or associative use of tonality rather than through functional harmonic relationships.

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[150][D]er Künstler nicht genug chromatisch schreiben könne, sofern er eben durch chromatische Kontraste die Verhältnisse der Diatonie ins rechte Licht setzen will. Schenker, *Harmonielehre,* 396.

[151]Robert Morgan, ed. *Modern Times*, (Englewood Cliffs: Prentice Hall, 1993), 5.

[152] Brian Hyer, "Tonality §4.iii" in *Grove Music Online* ed. L. Macy (Accessed 14 January 2008), <http://www.grovemusic.com.proxy2.cl.msu.edu:2047>

Thus key relationships that compose-out a diatonic background began to weaken in the nineteenth century, especially the fifth-relationship of the all-important dominant-tonic axis.[153] This axis, which is for Schenker part of a "sacred triangle"[154] of a tonic-dominant-tonic bass arpeggiation, begins to be replaced with third-relations beginning with simple chordal juxtapositions, and extending to thematic areas. In the first movement of Beethoven's fourth piano concerto (1810), for example, the opening phrase (mm. 1–5) moves from I – V in the tonic of G major. The orchestra then enters on B major (III$^{\sharp}$): an upper chromatic mediant relationship. In the second movement of his fifth symphony (1808) the second idea (mm. 32ff) likewise occurs within the III$^{\sharp}$ harmony.

This weakening of foreground diatonicism was especially appropriate in vocal music, in which the interpretation of the text's meaning and mood is crucial, and where each composer seeks to interpret the poem that he is setting.[155] Additionally, the composer no longer felt required to end a work in the same key in which it began. Composers tended to gravitate towards third-relations in cases where the opening and closing tonalities were not identical. As early as 1815, Schubert was experimenting with directional tonality.[156] Directional tonality, or tonal pairing, is the use of two tonalities, one of which serves as an opening tonic and one of

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[153]Bryan Simms, *Twentieth-Century Music: Style and Structure* (New York: Schirmer, 1995), 10-11.

[154] "heilig sei ihm [der Musiker] dieses Dreieck! [Das Bild der Bassbrechung]" FS p. 45, §19.

[155]There exist in the literature numerous examples of songs by Mahler, Wolf, Schubert, and others that employ directional tonality involving third- or fifth-related keys. Some of these will be discussed below.

[156] See William Kinderman's "Some Early Examples of Tonal Pairing" in *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs (Lincoln: University of Nebraska Press, 1996): 23-30.

which serves as a closing tonic.[157] In his article, "The End of *Die Feen* and Wagner's Beginnings," Matthew Bribitzer-Stull discusses the difference between directional tonality and the double-tonic complex:

> While directional tonality comprises the transformation of tonic function from one tonic chord (key) to another across the span of a piece, the two tonic keys of a double-tonic complex are not simply its opening and closing tonal centres: rather, they are the dual harmonic poles between which the music oscillates, at one point suggesting one key, and on another occasion the other. The most fluid examples give the impression that the tonic chord of either key can serve a tonal function at nearly any time, often merely implying each tonic sonority through their respective dominant chords.[158]

Both of these procedures seem to preclude the possibility of a unified tonal framework, thus bringing into question the applicability of Schenker's notion of organicism (a notion that depends on monotonality). In analyzing a directionally tonal work, the analyst is faced with the problem of interpreting the two tonalities. It is entirely possible that the opening tonality serves as an "introduction" to the principal tonality with which the work closes. Such cases will typically involve a reinterpretation of the *Urlinie* (e.g., $\hat{5}$ becomes $\hat{3}$ when the harmony moves from VI to I).[159] This is the case in the Chopin Scherzo op. 31 (1837):

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[157] There seems to be no agreement regarding this term. Scholars will speak of "double tonality," "directional tonality," "progressive tonality," "tonal pairing," or "double-tonic complex" to express similar ideas. See especially the work of Robert Bailey.

[158] Matthew Bribitzer-Stull, "The End of *Die Feen* and Wagner's Beginnings: Multiple Approaches to an Early Example of Double-Tonic Complex, Associative Theme, and Wagnerian Form." *Music Analysis* 25/3 (2006): 324.

[159] Harald Krebs comments upon this Scherzo in "Tonal and Formal Dualism in Chopin's Scherzo, Op. 31," *Music Theory Spectrum* 13 (1991), 48-60. Krebs takes issue with Schenker's analysis and prefers to show two descents, one in B♭ minor interrupted at the $\hat{2}$ and finishing in D♭ Major.

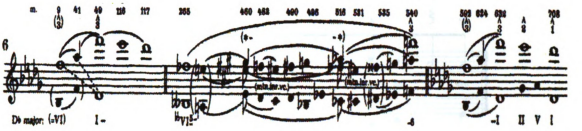

Figure 2.33 Schenker's graph of Chopin's *Scherzo*, op. 31[160]

Often, the two tonalities at work in a piece are third related, possibly the result of mixture, e.g., a work will begin or end in the key of the VI or III (or ♭VI or III♯). A work may also begin in the key of the dominant, resolving to the tonic only at the end. In his song cycle *Lieder eines fahrenden Gesellen* (1883), Gustav Mahler (1860–1911) exploits directional tonality, using plagal (fourth) relations: in the first of the four songs, *Wenn mein Schatz Hochzeit macht*, Mahler begins in D Minor and moves to G Minor for the final cadence. This song is probably best explained as a non-tonic opening in G Minor, beginning on the minor V and returning to that degree via descending thirds before cadencing on G:

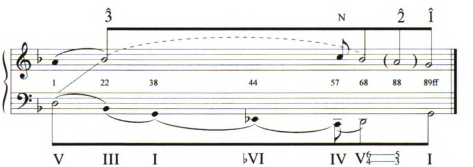

Figure 2.34 Mahler, *Wenn mein Schatz Hochzeit macht,* G minor reading

The alternative, analyzing the work in D minor, produces a nonsensical, incomplete *Urlinie* that terminates on 4̂:

[160] Schenker, *Freie Satz*, fig. 102.6.

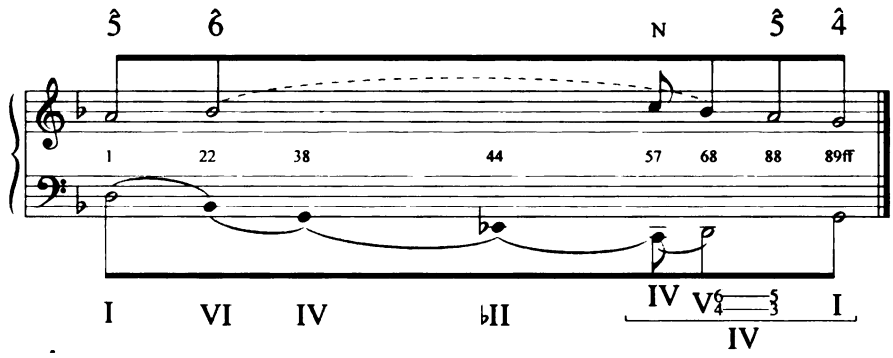

Figure 2.35 D Minor reading of *Schatz*

Mahler employs directional tonality in the other songs of the cycle, moving from D to B Major in *Gieng heut' Morgens über feld*, from D to E♭ Minor in *Ich hab' ein glühend Messer*, and moving from E Minor to F Major in *Die zwei blauen Auge*. Similarly Brahms, whose influence on Schenker has been indicated above, employs directional tonality in two of his op. 59 songs, no. 4 (*"Nachtklang")* and no. 6 (*"Ein gute nacht")*. The first of these songs moves from C♯ Minor to F♯ Minor, and the second from D Major to A Major, both employing fifth-relations.

Schenker's Use of Directional Tonality in Heimat op. 6/1

Schenker employs directional tonality in *Heimat* op. 6/1 probably in an effort to reflect the rhetorical structure of the poem.[161] The first strophe, beginning in C minor and moving to E♭ major (m. 8), establishes a mood of anxiety and restlessness brought about by the

[161] Heimat is the first song of Schenker's "three songs for low voice with pianoforte accompaniment op. 6." A concert program preserved in the Jonas Collection (XXXV: 5)indicates that Eduard Gärtner performed the work at a *Liederabend* on 26 January 1905 at the Bösendorfersaal, Vienna (see Appendix B for a copy of the program). Another, later, setting of the same poem was made by Rudi Stephen (1887–1915) in 1914. Stephen, according to an article by Robert Blackburn was killed in action near Tarnpol in Galicia, Schenker's birthplace. His setting is described as showing a "fondness for a warm and ambiguous chromaticism."(See *Sieben Lieder nach verschiedenen Dichiern*, Ed.2049, published posthumously by Schott, with a preface by Karl Höll). The same might be said of Schenker's setting, although it is unlikely that Stephen had knowledge of it.

rustling of trees. This is possibly an allusion to remembrance of childhood fears. Harmony and rhythm contribute to the evocativeness of the setting: the harmonies are unstable, the rhythm is syncopated, and the texture is thick, replete with octave doublings in the lower register of the piano.

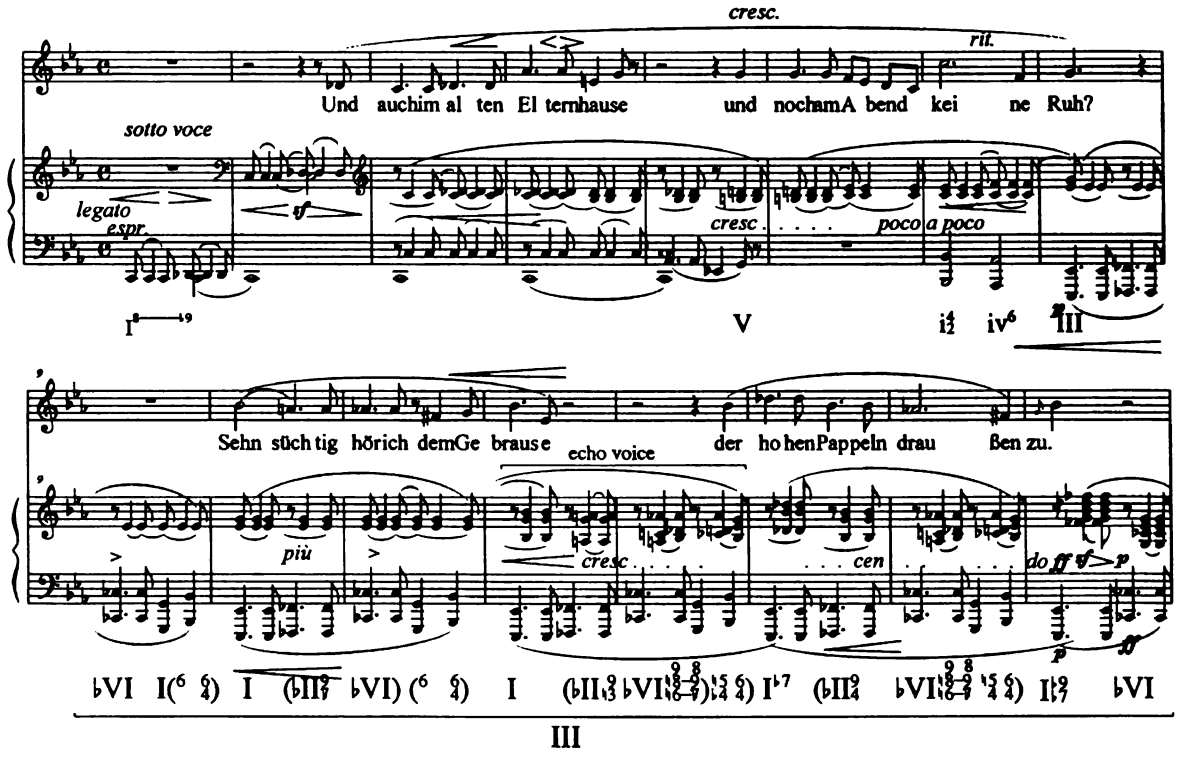

Figure 2.36 *Heimat* mm. 1–16 (Strophe 1)

The second strophe transitions (mm. 26–30) to E major (a doubly chromatic mediant relationship, mm. 31–40), digresses briefly to C major (mm. 40–51), and closes in E major (mm. 52–66). This strophe depicts the assuagement of anxiety through the presence of the mother coming into the room with her lamp. The texture of the accompaniment, correspondingly, is reduced to a gently undulating arpeggio, possibly representing the remembrances of rocking with Mother and the calming of the above fears, and the melody takes on longer note values and a more lyrical character. The harmonies, correspondingly, are more stable and diatonic.

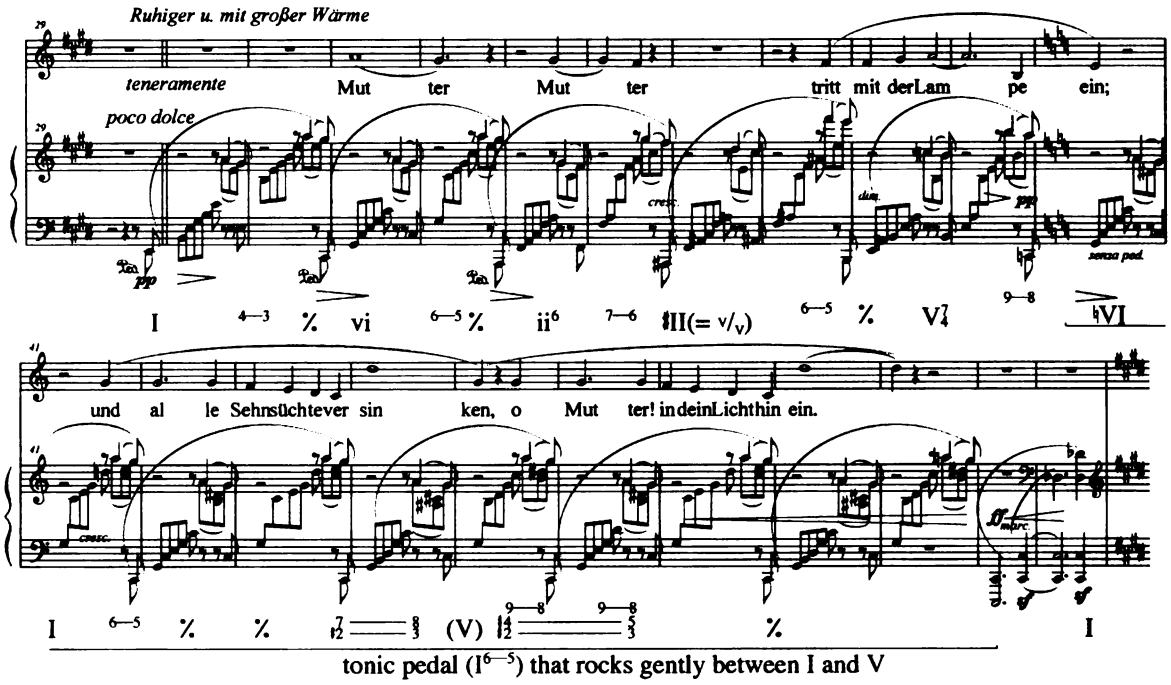

Figure 2.37 *Heimat* mm. 29–50 (Strophe 2)

Overview of the Formal Scheme and Tonal Design Heimat

The formal scheme of the song reveals a binary design which is appropriate to the tonal scheme. This tonal scheme lends itself to at least two possible readings, each of which prioritizes a particular feature of the design. Figure 2.38 below does not seek to interpret the structure, except to indicate that the transition between the two keys, represented by the pitches C♯ and B, is of less structural weight than the framing sections. The dual-layer harmonic analysis hints at two possible interpretations of the tonal scheme:

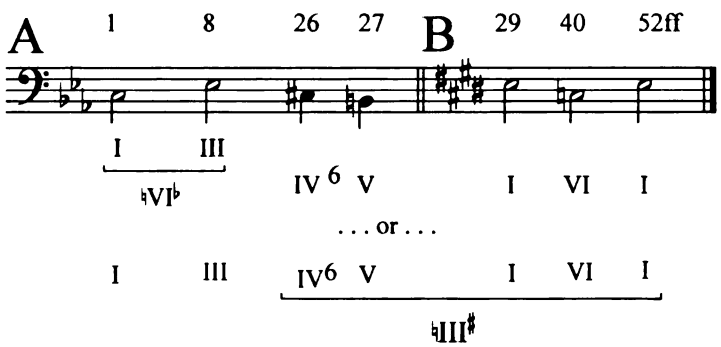

Figure 2.38 *Heimat*, summary of tonal motion

The two readings proposed are (1) a third-divider reading that prioritizes the opening key and results in an incomplete tonal structure; (2) an auxiliary cadence reading that considers the piece to be in E major beginning with a composed-out non-tonic harmony. These two mutually exclusive readings are both incomplete *Ursatzform* transferences and both encapsulate the conundrum of a piece with different beginning and ending keys: where does the structural weight lie? Both the beginning and the ending are equally important. Further, the two tonal areas of the song occupy roughly equal time spans. However, as analysts concerned with unity, it is the ending that defines closure. These two readings of the background structure are shown in Figure 2.39.

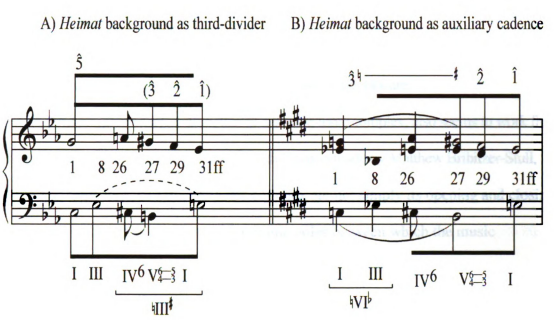

Figure 2.39 *Heimat*, third-divider versus auxiliary cadence interpretation

The first reading presents a C minor structure that is "interrupted" at its upper chromatic mediant whose importance is prefigured by a rapid tonal shift from C minor to its upper diatonic mediant, or relative major (note the dotted slur in the figure). This reading, which prioritizes the opening C minor section and shows the E major as subordinate, does not reflect the dramatic structure of the poem quite as well as I would like. The chief reasons for this are (1) that the poem is over and there is no return to the state of anxiety represented in the first strophe; and (2) that the tonal structure is open and incomplete. A structure that is divided, whether by the fifth or by the third, necessitates a tonal or thematic return after the point of division and that is lacking in this interpretation.

The second interpretation presents an auxiliary cadence ♭VI—IV—V—I in E major in which the opening harmony, C minor (♭VI of E), is prolonged by composing-out its upper third, E♭ (♭I). This interpretation clearly shows that the opening C minor section is subordinate to the closing E major despite the seeming equality of the two keys (each tonal area does

indeed have its own motivic ideas and its own musical character). This interpretation also seems to fit well with the narrative of the poem (anxiety moving to calmness) which is best represented by an open beginning moving toward proper tonal closure.

A third possible interpretation, that of a double-tonic complex, also seems to work from a narrative point of view. Bearing in mind the distinction made by Matthew Bribitzer-Stull, that "the two tonic keys of a double-tonic complex are not simply its opening and closing tonal centers: rather, they are the dual harmonic poles between which the music oscillates," the double-tonic complex idea is compelling inasmuch as it allows for either structural model to serve. The C tonality, introduced as minor with stormy dissonance ("dem Gebrause") and intense chromaticism (mm. 1—16), represents the speaker. The change to major (mm. 40—50) with its gentleness and lyricism vanquishes the yearning ("alle sehnsüchte versinken") signifies a change in the speaker's condition: same tonic (speaker) but different mode (calm, not anxious). The agent for the change of condition is the mother, represented by the key of E major. The music does certainly oscillate between these poles.

Measures	1—7	8—18	19—30	31—40	41—52	53—66
Tonality	C minor	E♭ major	**transition**	E major	C major	E major
Text	"und noch am abend keine ruh"	"sehtsüchtig hör ich den Gebrause"	"und höre sacht dir türe klinken"	"Mutter tritt mit die lampe ein"	"und alle sehtsüchte versinken"	"Mutter, in dein licht hinein"
Dramatic Situation	"I have no peace of mind; I'm anxious"	"The sounds of the night are frightening me."	"Someone's coming! But who!? Is it a monster?"	"Whew! It's my mother coming to check on me."	"Mom always knows what's best for me."	Sleeping?

Table 2.4 *Heimat* tonal structure with narrative implications

It is my contention that the design of *Heimat* features a double-tonic complex design that is structured as an auxiliary cadence. Of the three ways to interpet the broad tonal design of the song, I believe that this provides the listener with the most meaningful experience of the music: two distinct and seemingly equal tonal poles are perceived but, at the same time, our need for unified musical structure must be addressed, and the separation of elements of design and structure allow for both experiences to be accommodated analytically. I would, therefore, like to pursue this idea further and examine how unified tonal structure is present despite the double-tonic design.

Structure versus Design; or, An ersatz Ursatz?

It is often useful in analysis to separate elements of design (form, melody, rhythm, motives) from structural elements (the work's contrapuntal-harmonic framework) so that workings of each may be made clear and, in the case of unusual designs, an attempt at reconciliation can be made. In the case of *Heimat*, the elements of tonal design (such as the key scheme and rhythmic activity of the sections) are striking and an analysis that completely ignores these simply does injustice to the music. At the same time, as coherent tonal structure, if present, must be reflected, the analysis should "assimilate into [its] interpretations an acknowledgment of the expressive and form-making potential of key change"[162] as well as demonstrate that the tonal design, while it informs the structure, is ultimately subordinate to the structure. Since we have already posited a sketch of the tonal structure of the music (the auxiliary cadence structure of Figure 2.39b), let us now examine the melodic character of the work and see how the structural path of the *Urlinie* is affected by the tonal design.

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[162] Carl Schachter, "Analysis by Key: Another Look at Modulation." *Music Analysis* 6/3 (1987), 289-318: 315

The first section of the song, mm. 1—17, establishes the key of C minor by means of a bass pedal, and a weak V—I progression before moving to the mediant via a $I\frac{4}{2}$—iv^6—III With the early move away from C minor, the melodic $\hat{5}$ assumes the function of $\hat{3}$, the significance of which becomes clear in the transition to follow. From this point (m. 8), the E♭ chord is prolonged by arpeggiation in the bass (E♭–G–B♭ with incomplete chromatic neighboring tones decorating $\hat{1}$ and $\hat{5}$), and repetition as an ostinato. This prolongation continues, in the upper voice, as a minor-ninth chord above the E♭ bass ostinato is unfolded through mm. 8–17: E♭ (bass, m. 8) G (soprano, m. 8) – B♭ (mm. 10–13) – D♭ (mm. 14–15) – F♭ (mm. 16–17). Each successive tone of the arpeggiation, moreover, is enriched on the foreground by a descent to the initiating upper-voice G4. The unfolded sonority then yields to an E♭ Major triad with G in the outer voices.

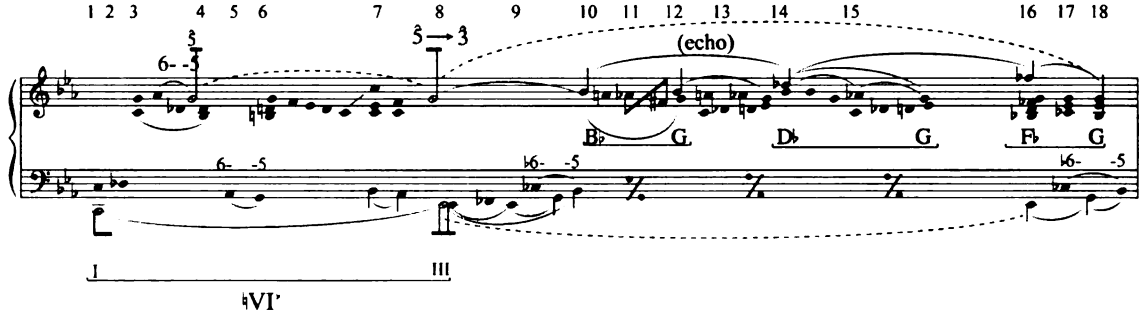

Figure 2.40 *Heimat* mm. 1—18 foreground graph

The transitional passage of mm. 19—30 begins with the E♭ major chord in sixth position, articulated in a syncopated rhythm in the right hand, while the notes of the bass descend chromatically from G to E♭, moving the chord back in root position. After stating the ostinato E♭–C♭–G–B♭ once more, the upper voice descends to E♭, a unison with the bass, and then ascends by semitone recalling the E♭–F♭ of the ostinato. The E♭ of the bass descends through D♭ (which functions as C♯) to C with which the melodic B♮, approached by leap from the E,

dissonates sharply (although the extreme registral gap serves to mollify the effect). The bass's return to C♯ (that had been spelled as D♭) and descent to B supporting a $\frac{6}{4}$–$\frac{5}{3}$ melodic figure in the upper voice effects the transition to E major and transforms G♮ into the G♯ ($\hat{3}$) required of E major.

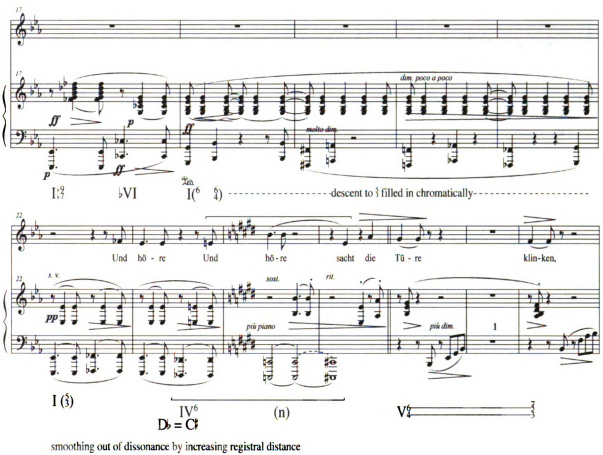

Figure 2.41 *Heimat*, mm. 17—28 (transition)

At this point, the melodic descent G♯–F♮ ($\hat{3}$—$\hat{2}$) is interrupted just as the knock on the door interrupted the speaker's reverie. As described above, the musical character of the song changes from the pungent chromaticism and agitated rhythms to a gentle lyricism and unperturbed diatonicism. The upper voice slowly begins its descent once more and reaches its goal. The bass, however, ascends by semitone bringing the music into a region of ♮VI and

recalling the opening section's C–tonality and the prominent melodic G ($\hat{5}$) but with the following changes: (1) the mode is changes from minor to major; and (2) the gentle arpeggios and diatonicism are carried over from the previous section.

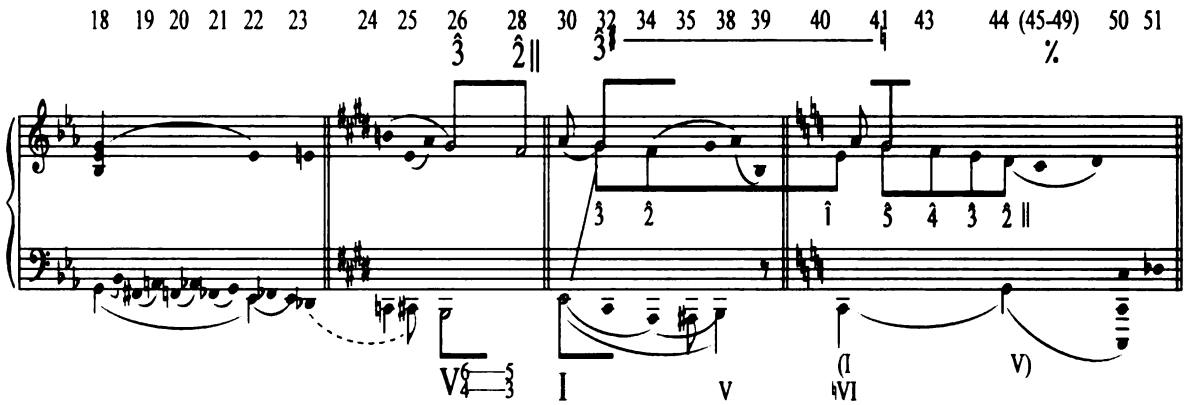

Figure 2.42 *Heimat* mm. 18—51, foreground graph

The gentleness of this C major section is interrupted (again, in two senses) by the unfinished melodic descent $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$ and by the *fortissimo* octave C's in the piano's lowest register. The D♭ which sounds above the C recalls the opening of the song and brings the section to a close. The final section returns to E major with the getle arpeggios becoming more ethereal as they ascend into the uppermost register of the keyboard. The melodic descent to $\hat{1}$, implicit in the tonic pedal, is unfulfilled in the melody which diverts to $\hat{5}$ (recalling the melodic emphasis of the opening section). The harmonic support for $\hat{2}$ is elusive here, even though the melodic $\hat{2}$ is quite prominent. The notes of the dominant are all present in m. 60, but the bass has been anchored on E.

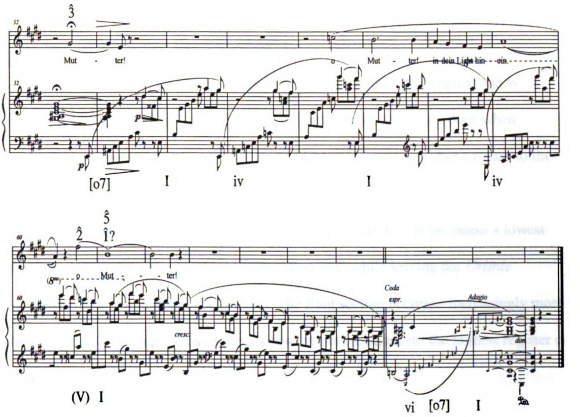

Figure 2.43 *Heimat* mm. 52—69 (coda)

2.6 Musical-Textual Symbolism and Narrative of the Op. 6 Song Texts

The narrative that is suggested by both the text and the structural characteristics of the music is about dying and the separation of the soul from the body (the body-soul dichotomy being the most fundamental existentialistic dualism). The text suggests a man returning to his childhood home, reliving old childhood fears, and dying there. In his moments before death he experiences a serenity and peace that he imagines is brought about by his mother bringing in a lamp. All his yearning vanishes in that light. The mother-figure is possibly a guardian angel, or some sort of spiritual guide, leading him into the afterlife. He is no

longer yearning because he is to be united with God. As St. Augustine wrote, "our hearts are restless untill they find rest in Thee."[163]

The death of the speaker is implied by the *Urlinie* in C that begins, and is interrupted twice. The first interruption occurs with the knock on the door when "mother" comes in with her lamp. The second interruption occurs after a return to the key of C, now major, and is an interruption in the technical Schenkerian sense. The actual moment of death is depicted by the *fortissimo* octave C's in the piano's lowest range which completes the I—V—I tonal motion in C while leaving the *Urlinie* incomplete. The implication: life goes on. The final section becomes increasingly more ethereal as the gentle arpeggios of the accompaniment ascend into the highest register of the piano.

The spiritual odyssey is continued in the next song, *Nachtgruß,* which describes a peaceful death and the entrance of the soul into eternity. The predominant images are of rest; of the sleep of death and of the soul greeting the "eternal light." The first strophe describes the process of dying, concentrating on spiritual liberation rather than physical agony: the world quiets down, as if everyone is sleeping. The soul of the persona becomes detached from the tumult of the world and perceives only the eternal light, which it greets and rests within. The second strophe is a reflection on life, its "false purposes" and its "vanity" that recall the book of Ecclesiastes "vanity of vanities, saith Ecclesiastes, vanity of vanities; all *is* vanity."[164] Vanity is described as "the false purpose that no one wants to endure." The third strophe describes the ascendancy of "another

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[163] "inquietum est cor nostrum, donec requiescat in te." St. Augustine of Hipo, *Confessions*, Book I.

[164]"vanitas vanitatum dixit Ecclesiastes vanitas vanitatum omnia vanitas"Ecclesiastes 1: 2; translation from the Douay-Reims version of the Holy Scriptures.

king," which is likely a reference to the Lamb of God, described as the "King of Kings" in Revelation. As a text describing the entrance of the soul into eternity, Schenker's musical setting is appropriately serene.

In our overall teleological interpretation of the three texts, as *Heimat* dealt with death and the separation os the soul from the body, and as *Nachtgruß* described the soul resting "as a ship" and "greeting the eternal light" as the King ascended the pinnacle, *Wanderers Nachtlied* seems to reflect the rapt and reverent awe-filled stillness before the moment of judgment. The basic question to be resolved is whether the promised "rest" will indeed occur. Throughout the song, all of its ambiguities suggest that the question is never answered.

This poem, arguably the most famous lyric poem in the German language, was written on the wall of a hut while Goethe was vacationing in Tyrol. Goethe evokes a mood, not merely by describing the stillness of evening but, one might say, by *becoming* evening stillness itself. Key words of the text illustrate the hierarchical evolutionary progression in nature from the inanimate to the animate, from the mineral, through the vegetable, to the animal kingdom; from the hilltops to the tree-tops to the birds and finally to man. The poet-wanderer here is not embracing nature in the romantic way. He is embraced within it, as the last link in the organic scale of being.[165]

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[165]Stein, Deborah et al. *Poetry into Song: Performance and Analysis of Lieder*, (New York: Oxford University Press, 1995): 46. The idea of the "great chain of being" [165] is valuable here, which organizes creation hierarchically according to additive positive attributes. In this case, rocks (which have existence) would be at the bottom of the chain, followed by trees (which have existence and life), animals (which have existence, life, and motion), and finally to man (which has existence, life, motion and a spirit). The chain progresses upward into the spirit world through the nine orders of angels, and finally to God, the source and summit of all existence. A corollary of this idea is the development of morality owing to the spirit-flesh dichotomy inherent to man. For a discussion of the development of this idea, see the *Dictionary of the History of Ideas*, edited by Philip Wiener (New York: Scribner, 1974), Vol. I, pp. 325-335.

The metric and rhythmic organization is basically in trochaic rhythm (˘/) although the line lengths are irregular. The final "du auch" is a spondee that interrupts the metric flow, i.e., "WAR-te nur, BAL-de RUH-est DU AUCH" conveying a final sense of repose, in an inversely analogous manner to the famous spondee of the third witch in *Macbeth* (I.i.8-10) "WHERE the PLACE? up-ON the HEATH. THERE to WAIT for MAC-BETH" that introduces the eponymous hero of Shakespeare's play.

CONCLUSION

I have tried to show in this dissertation that Schenker's understanding of the dramatic possibilities of incomplete progressions informed his compositional practice in many ways. He seems, as a composer, to have grasped the myriad ways in which these progressions can be used to create musical expectation and meaning. I have shown that his compositional practice explored the various ways in which one compositional technique could be applied.

It is hoped that this preliminary investigation into Schenker's compositional technique will inspire musicians to explore these "real treasures" and to breathe life into them through their performances and analyses. Although this dissertation focused on only one specific compositional technique (namely, Schenker's varied use of the auxiliary cadence and back-relating dominant), the riches of his music will reward critical inquiry. Much more work remains to be done if a complete understanding of Heinrich Schenker as a Viennese musician is to be obtained. His compositional output is varied, as I catalogued in this work's first chapter, and invites further investigation. [166] Although the relationship between Schenker's theoretical writing and his compositional practice offers a compelling avenue of exploration, other avenues include poetic interpretation and choice of texts, the various questions of textual/musical relationships or the dramatic nature of his incidental music and songs from *Hamlet*. Placing Schenker's setting of a particular text alongside a setting by a more established composer, as I have done briefly, may yield insight into his poetic interpretation or structural characteristics held in common. Schenker, primarily a *Liedkomponist*, has been characterized by Nicholas

[166]See also the catalogue of Schenker's compositions in Chapter 2Benjamin Ayotte, *Heinrich Schenker: A Guide to Research* (New York and London: Routledge, 2004)

Cook as "essentially a miniaturist." Cook concedes that Schenker's compositions do not engage the issues of 'cyclic form' that were informing his theoretical writings of the early 1900s. He also suggests that "it is hard to reconcile the nature of Schenker's compositions with his developing orientation as a theorist."[167] Criticisms notwithstanding, including Schenker's own statement that he knew he would "become no master let alone surpass one," I believe that these pieces deserve to be better known. The compositions of Heinrich Schenker reveal a keen and probing mind with a flair for drama; they reveal a composer of talent who recognized the dramatic potential of dynamic tonal progressions, one who was able to frame novel tonal designs within a unified structure, and a composer who had a most intimate knowledge of the German Romantic tradition and was conversant with its tonal language. Despite (or perhaps because of) the more conservative turn his theories and view of repertoire later took, Schenker's compositions afford important access to his musical thought. Taken in the context of his life's work, they reveal a musical thinker whose compositional style and theoretical understanding were closer than might initially appear.

[167] Nicholas Cook, *The Schenker Project* (Oxford, 2007): 82—83

APPENDICES

APPENDIX A

MANUSCRIPTS AND TRANSCRIPTIONS

A.1 *Agnes* op. 8, no. 1 (manuscript)

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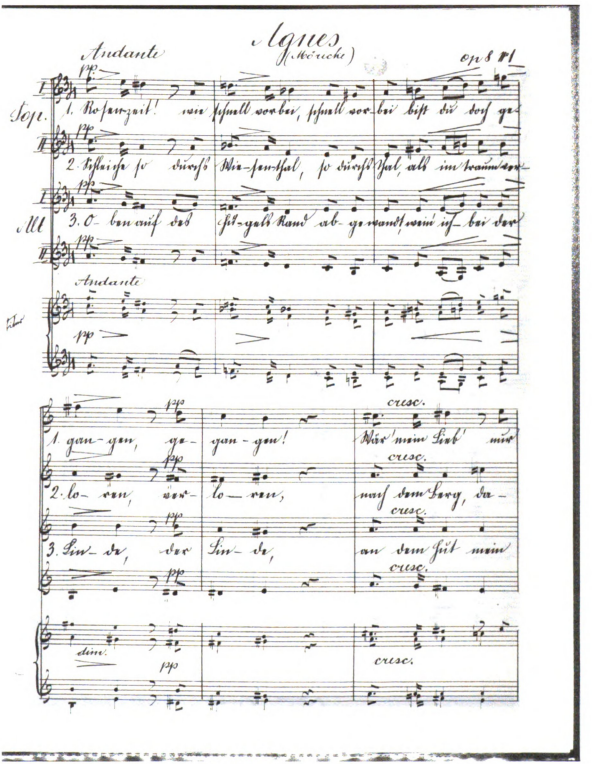

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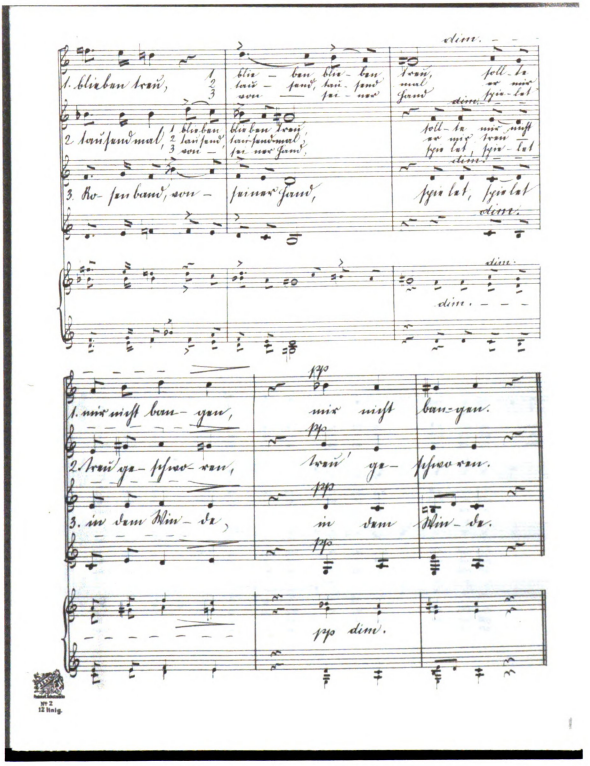
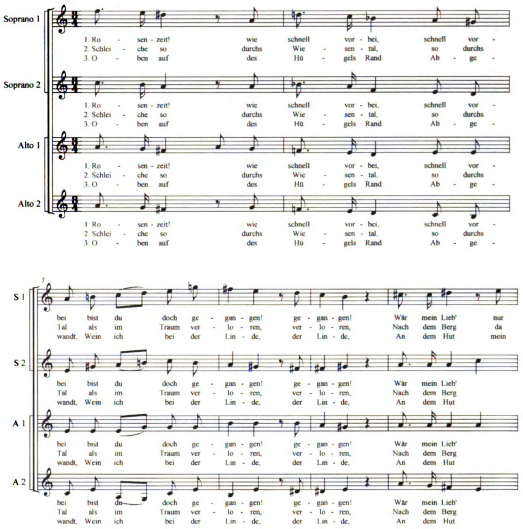


A.2 *Agnes* (transcription)

Agnes

Heinrich Schenker, op. 8, no. 1
Eduars Mörike (1804-1875)



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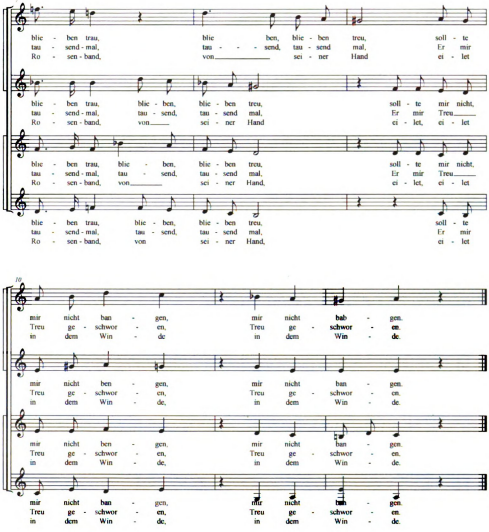

A.3 *Heimat* op. 6, no. 1 (manuscript)

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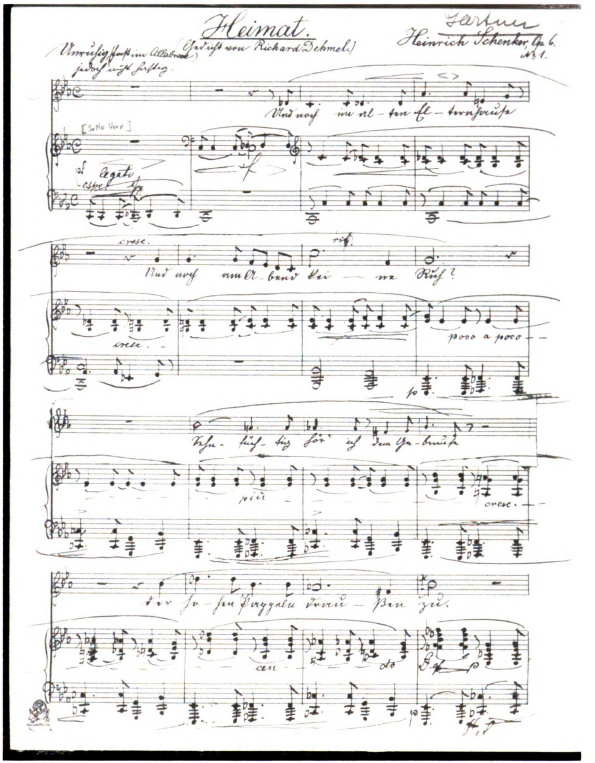

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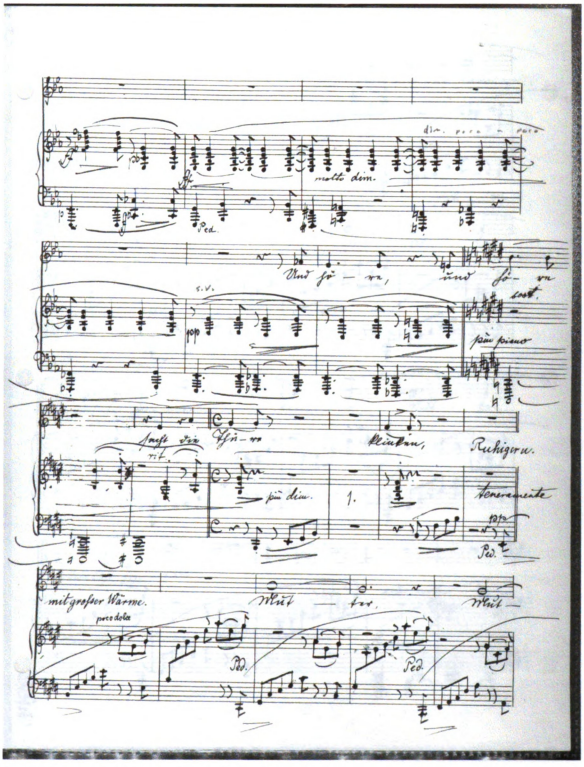

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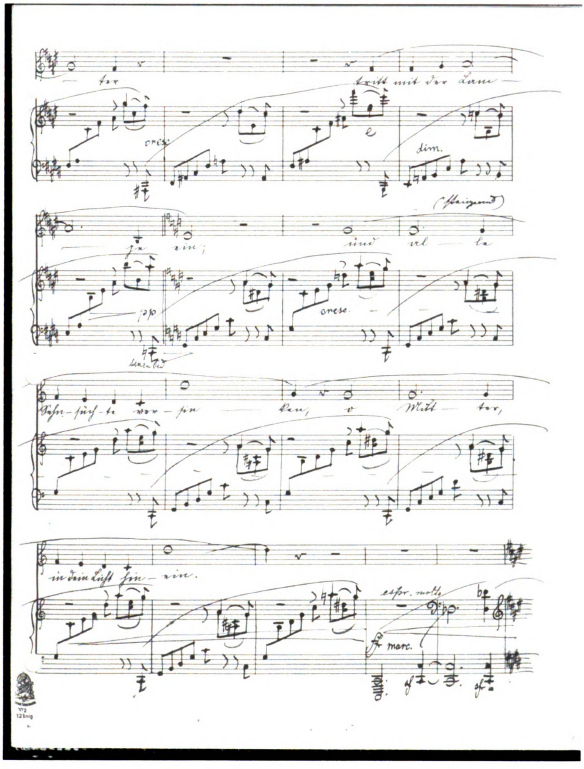

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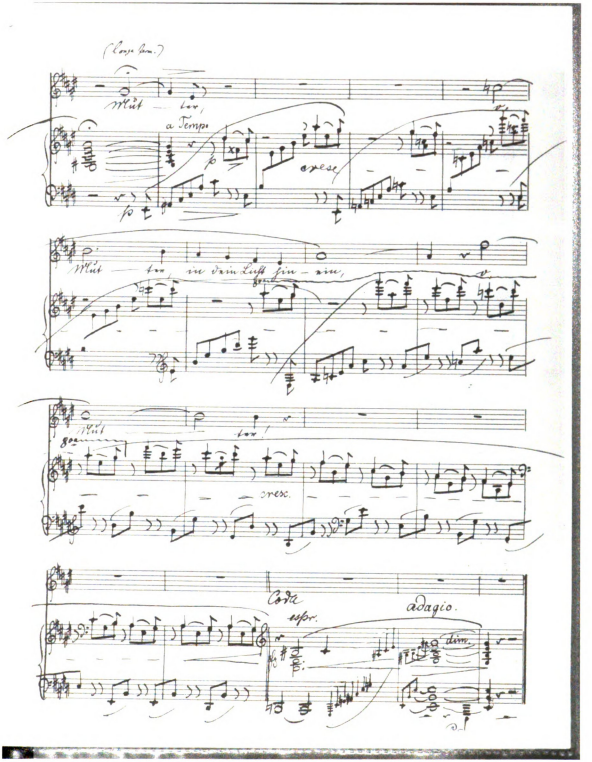
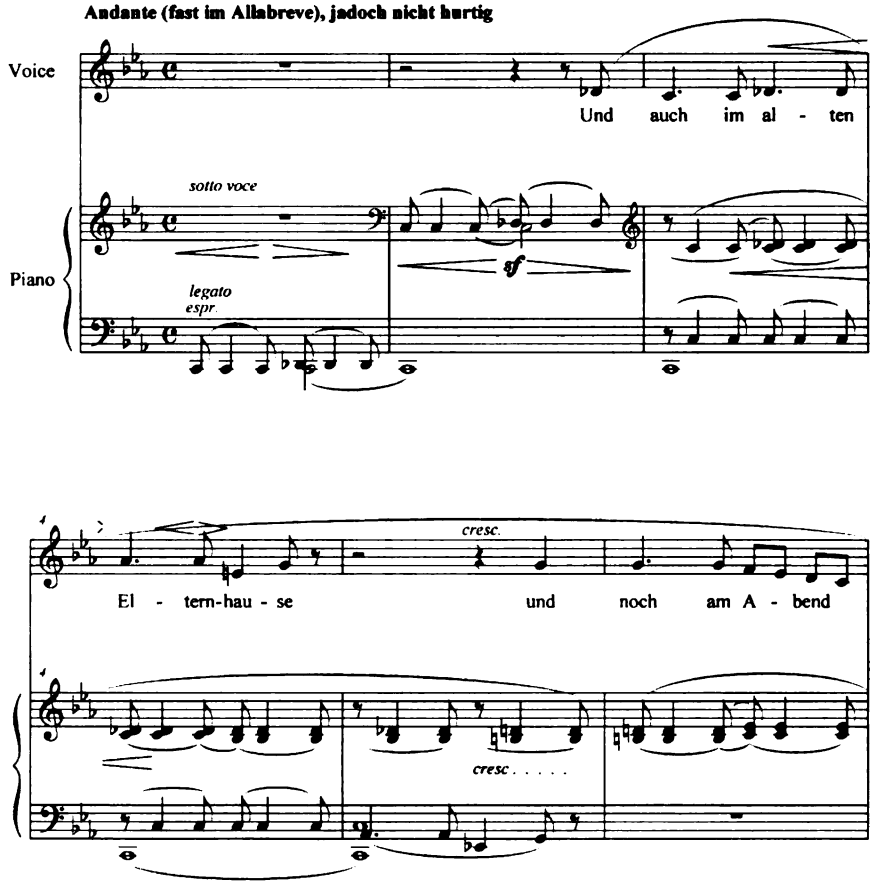


A.4 *Heimat* (transcription)

Heimat

Heinrich Schenker, 1868-1935
Richard Dehmel, 1863-1920

Andante (fast im Allabreve), jedoch nicht hurtig



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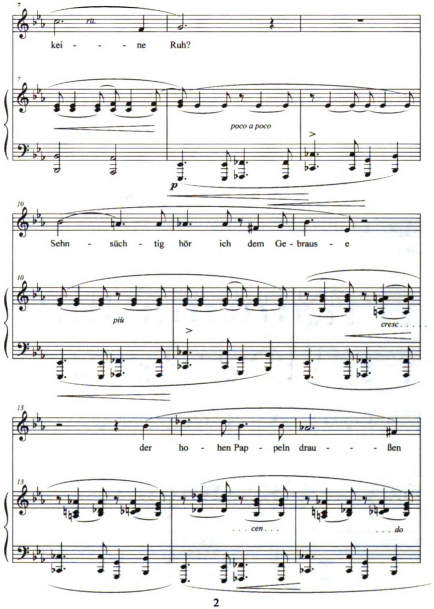

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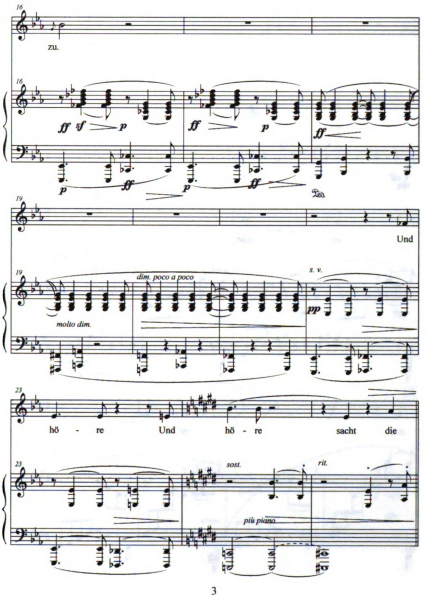

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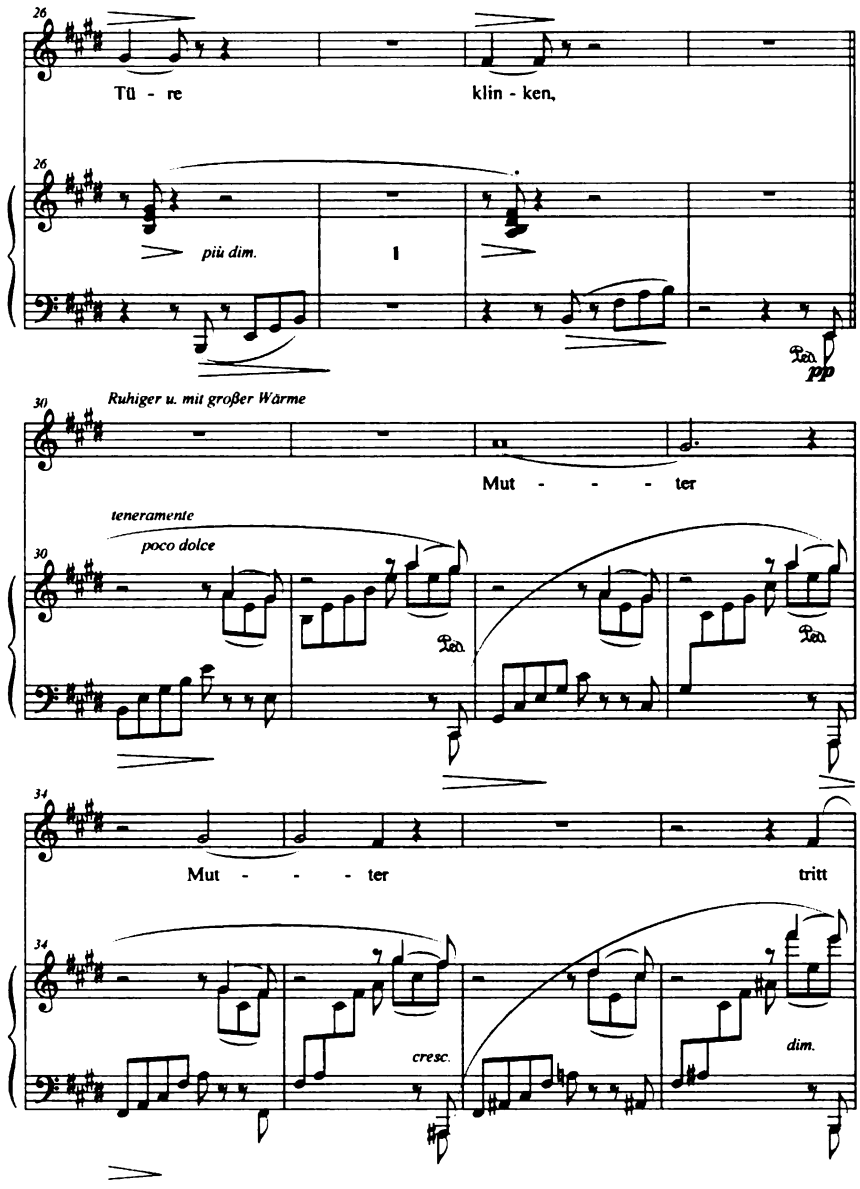

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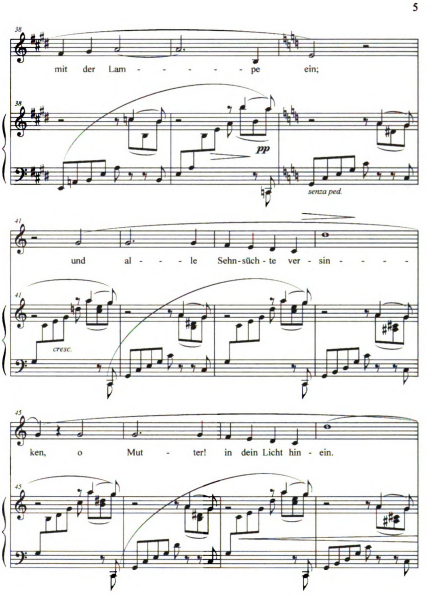

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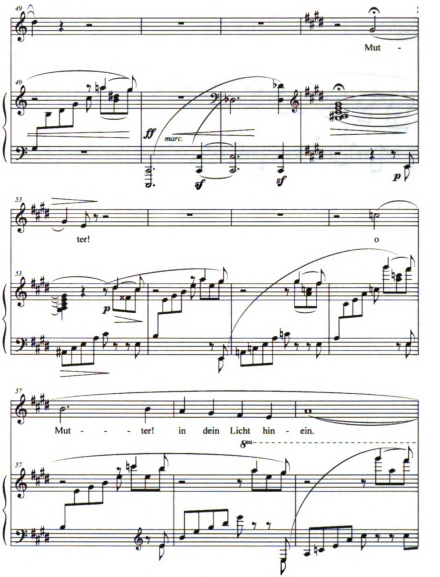

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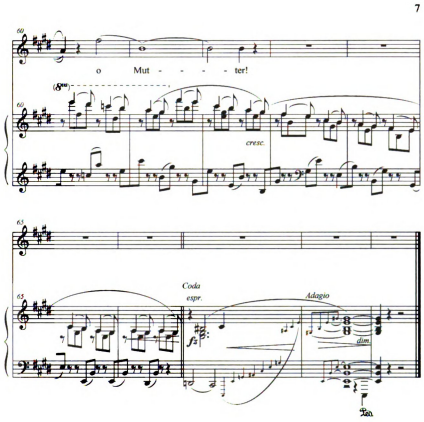

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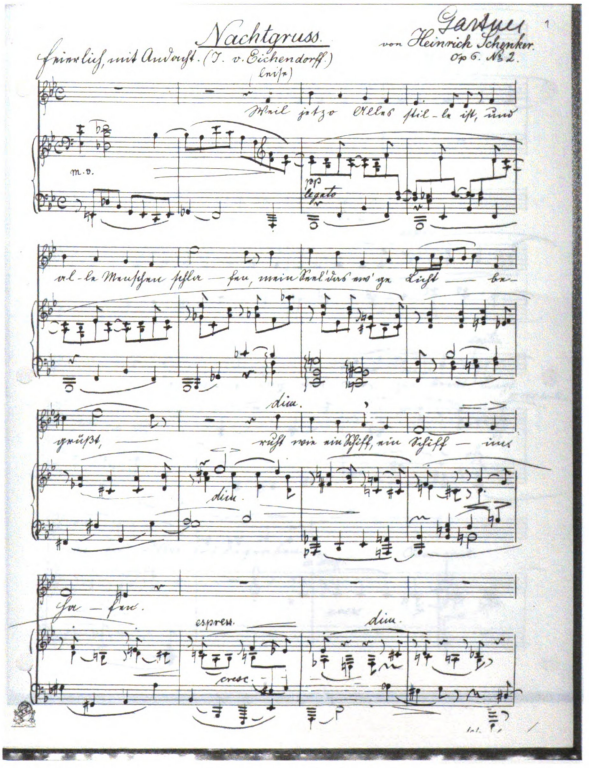

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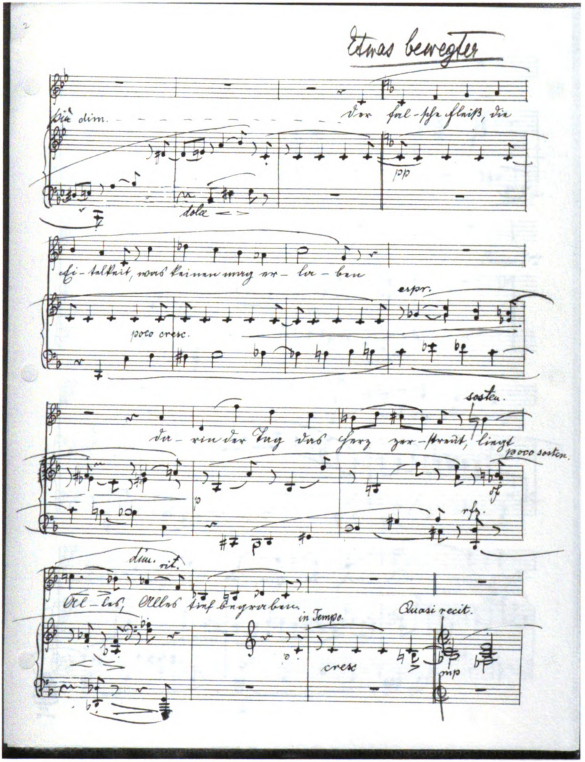

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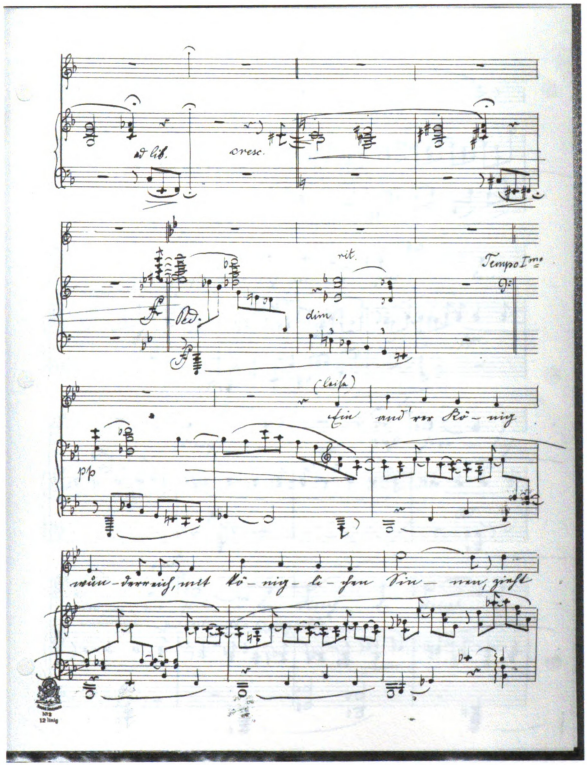

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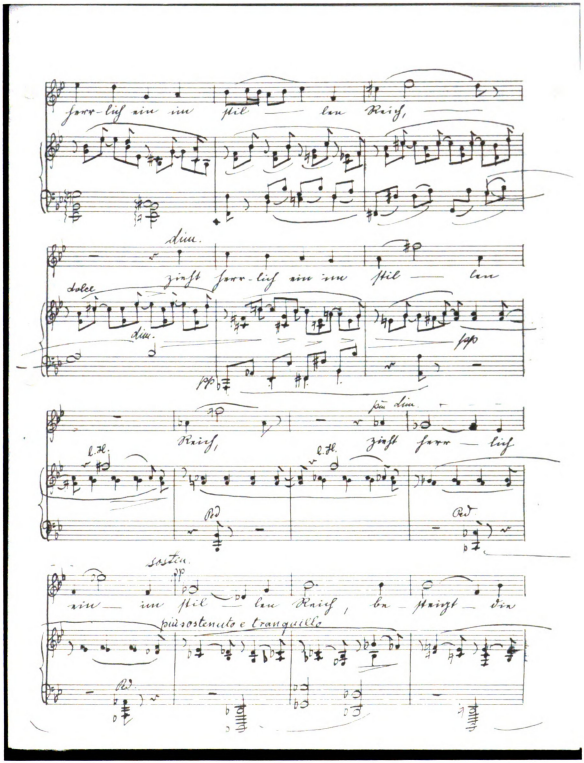

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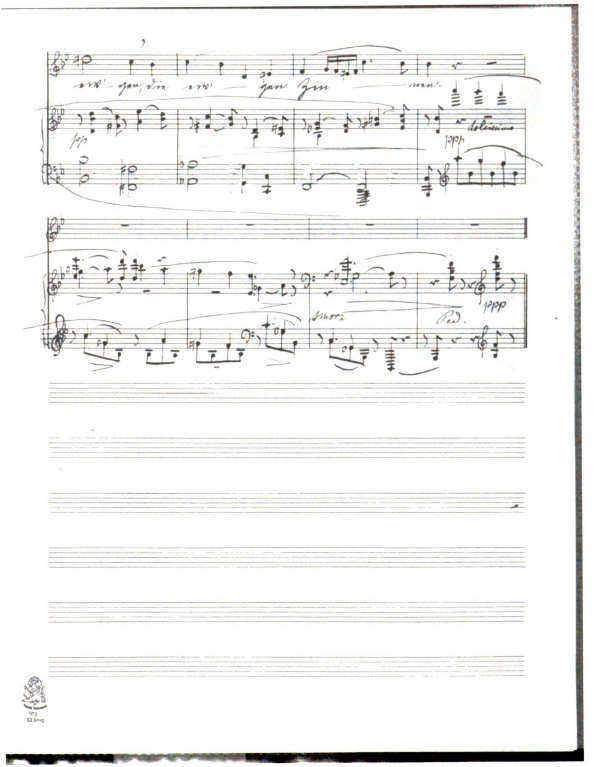

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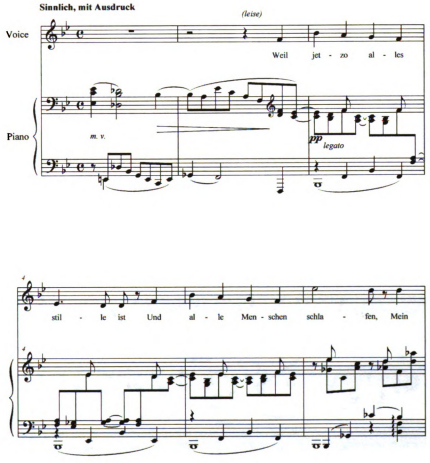
Nachtgruß

Heinrich Schenker, 1868-1935
Joseph von Eichendorff 1788-1857



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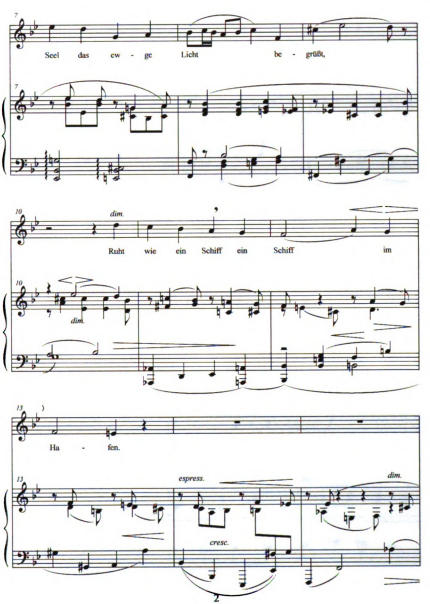

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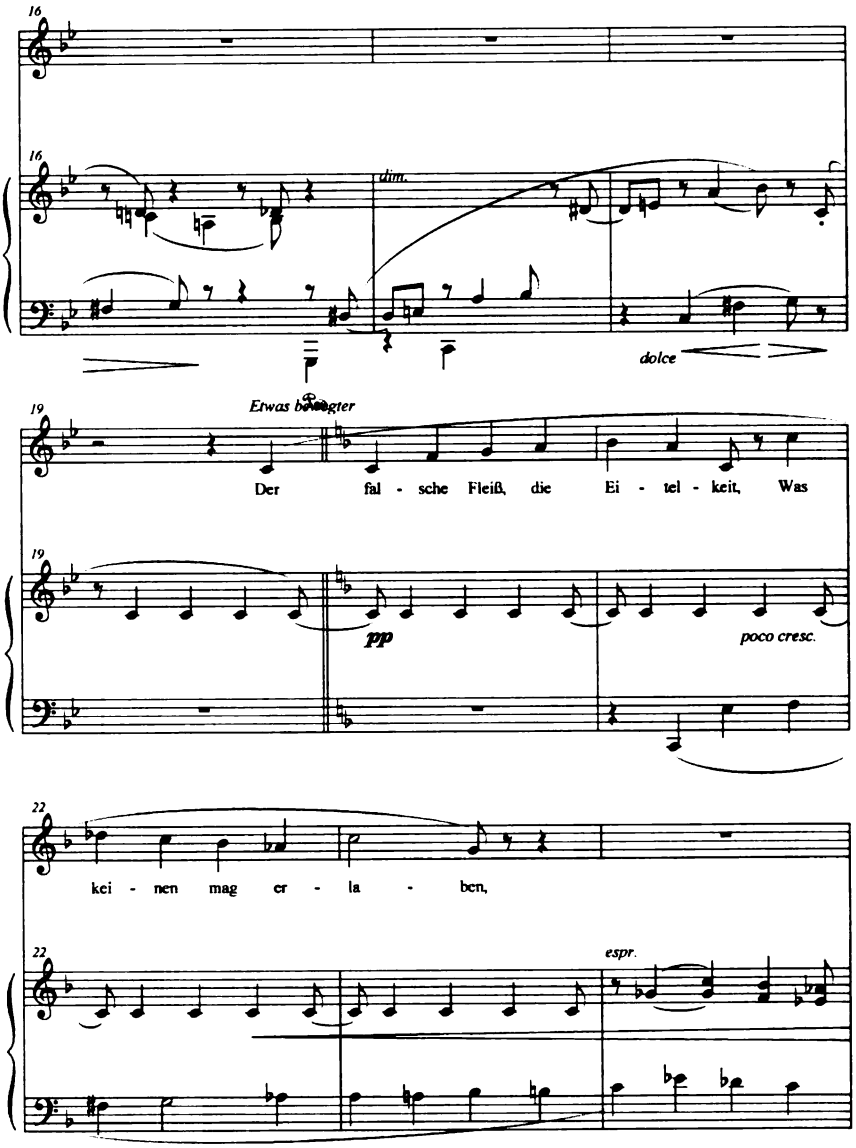

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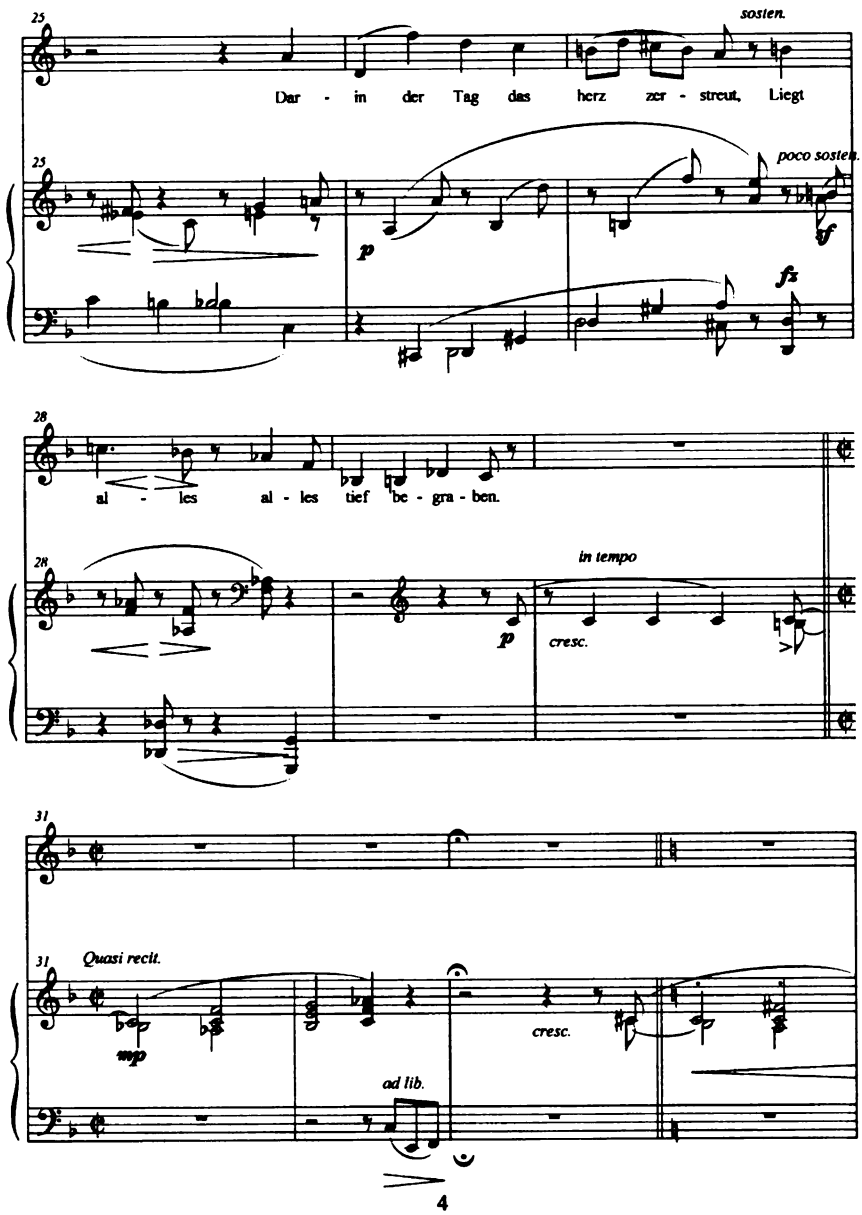

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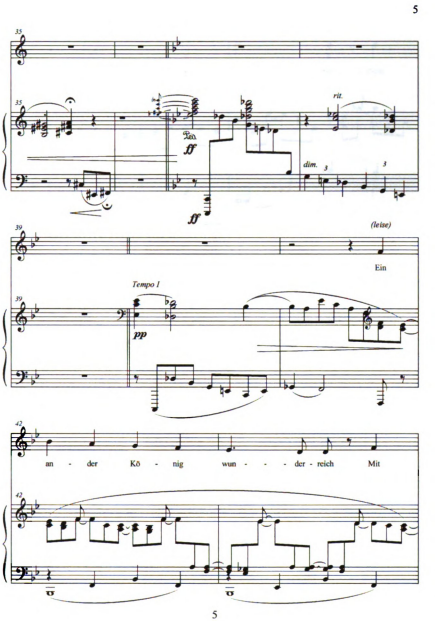

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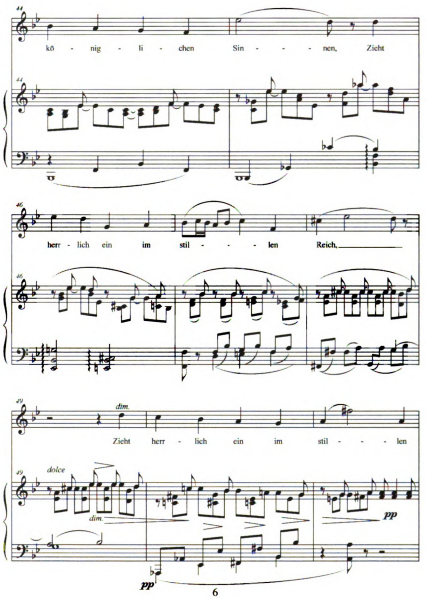

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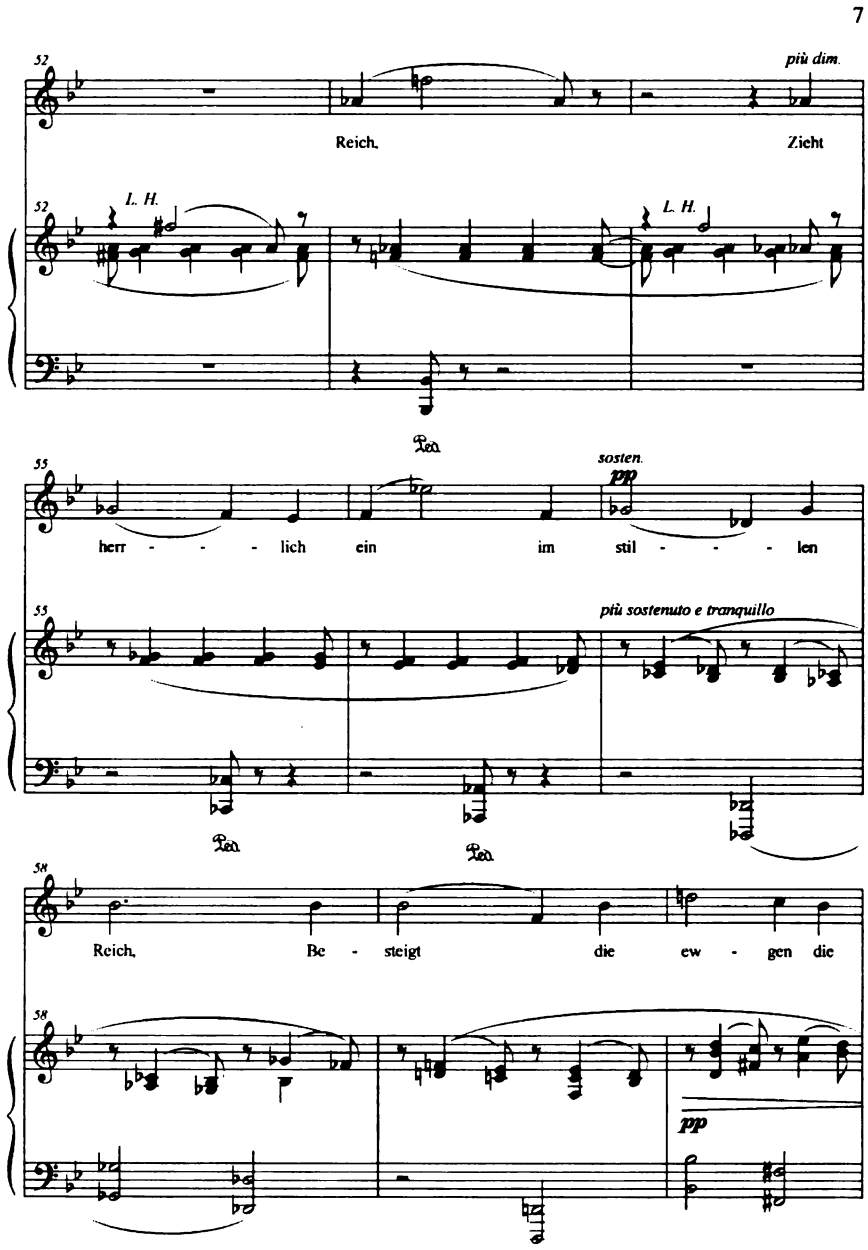

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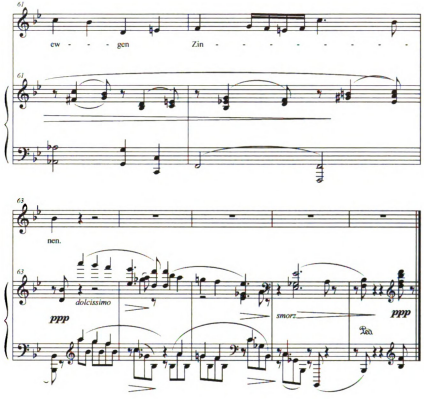

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A.7 *Wandereds Nachtlied* op. 6, no. 3 (manuscript)

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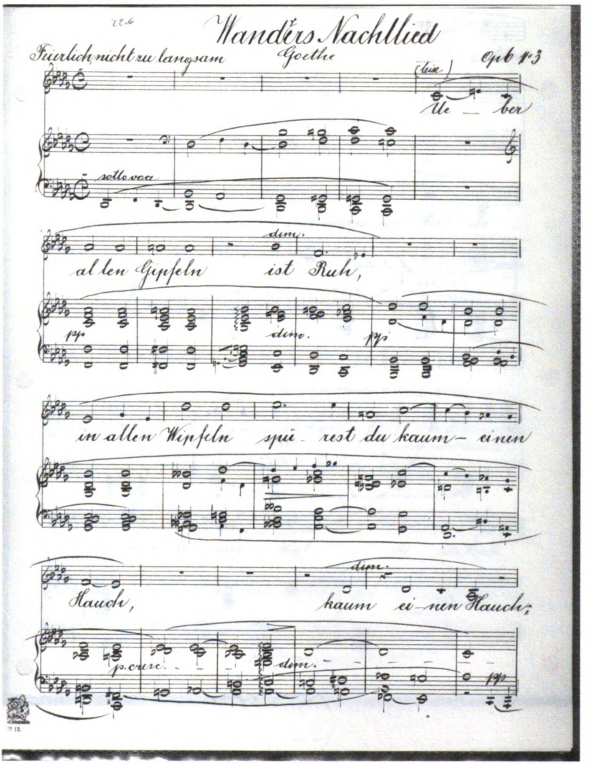

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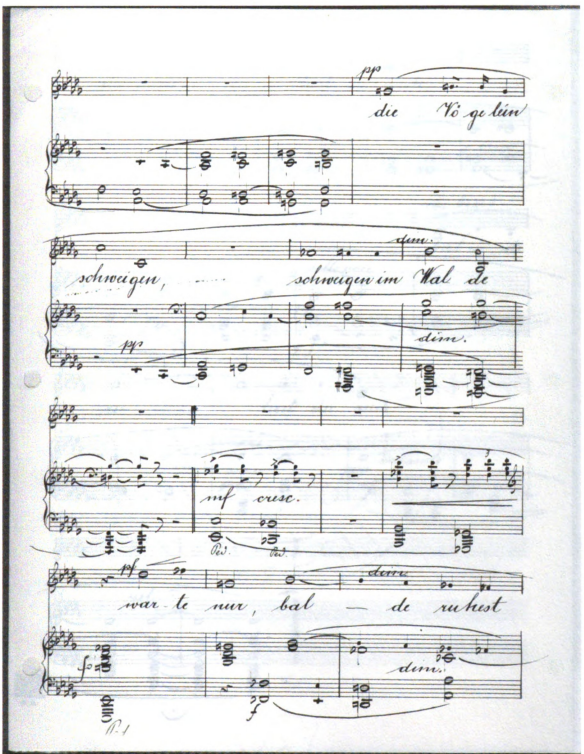

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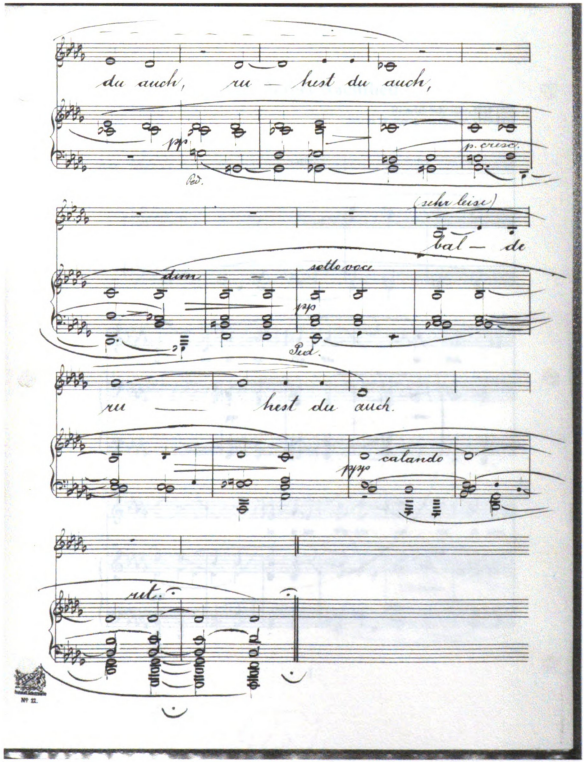
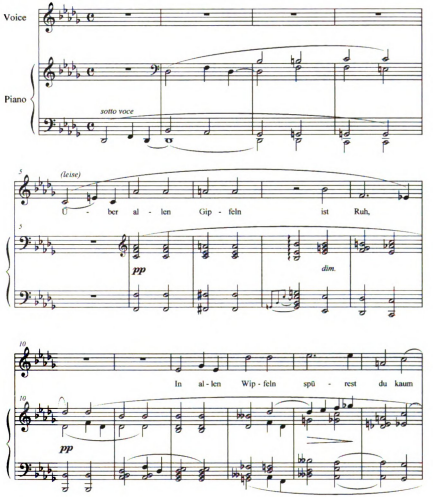


A8. *Wanderers Nachtlied* (transcription)

Wanderers Nachtlied

Heinrich Schenker, 1868-1935
Johann Wolfgang von Goethe, 1749-1832

Feierlich, nicht zu langsam



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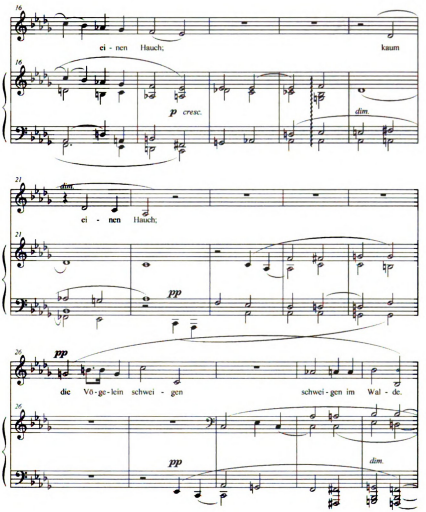
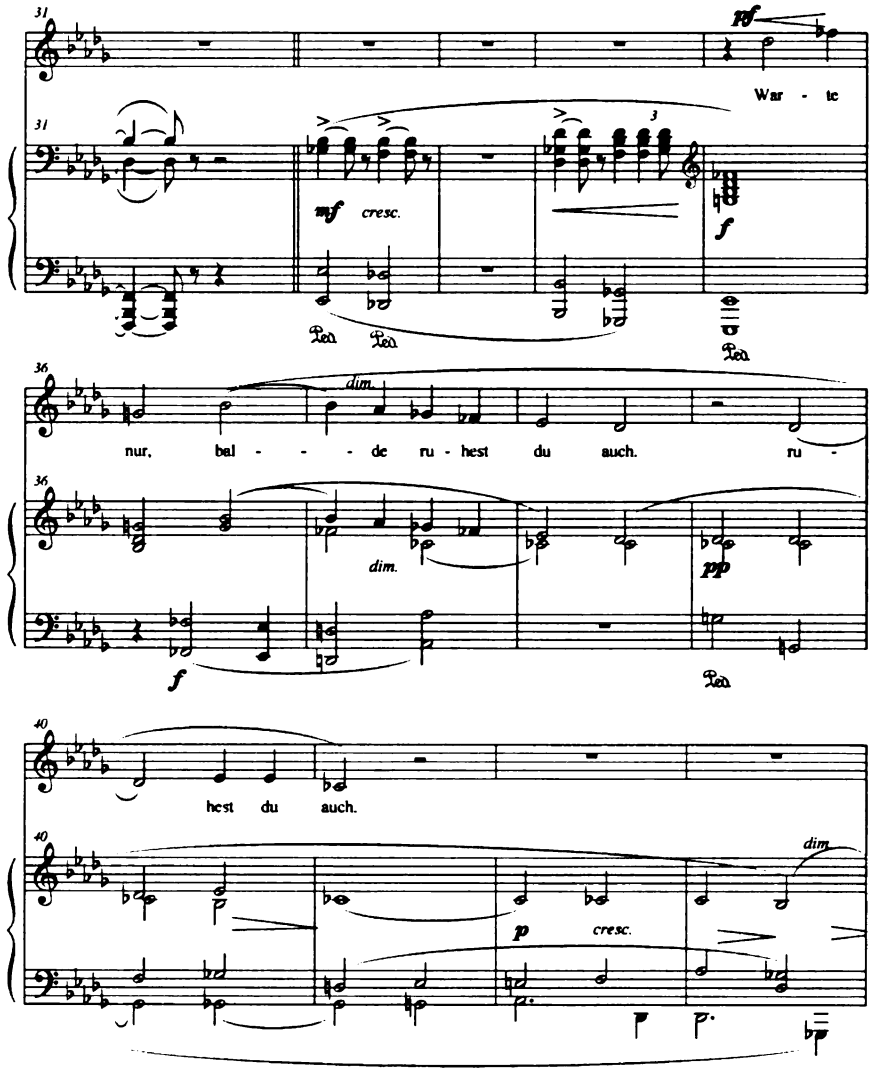
A8. *Wanderers Nachtlied* (transcription, cont'd)



2

A8. *Wanderers Nachtlied* (transcription, cont'd)



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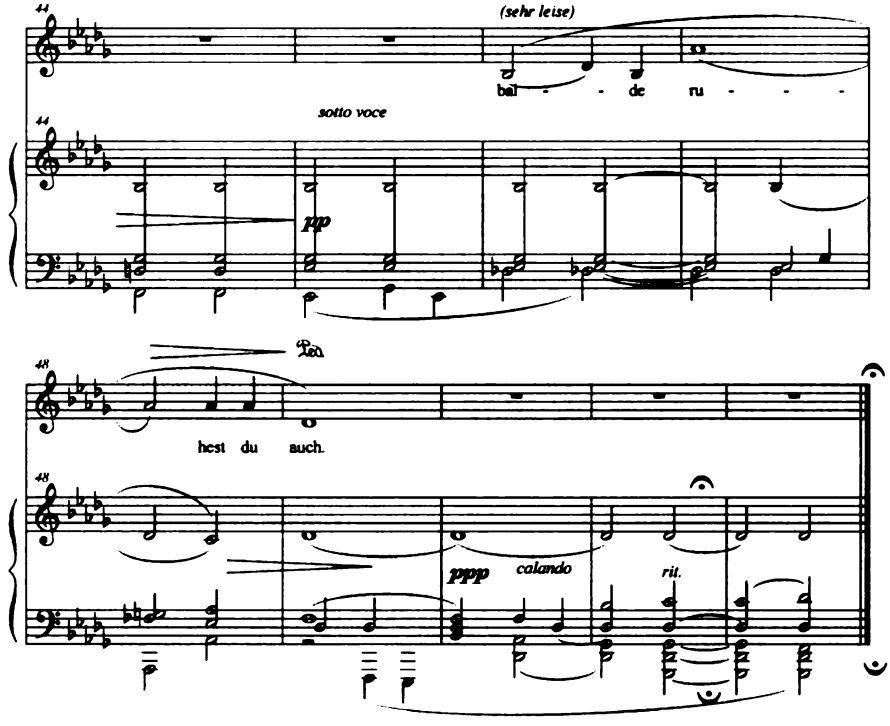
A8. *Wanderers Nachtlied* (transcription, cont'd)



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APPENDIX B

SONG TEXTS AND TRANSLATIONS

B.1 *Agnes* by Eduard Mörike (1804–75)

Rosenzeit! wie schnell vorbei,	Time of roses! How quickly past,
schnell vorbei bist du doch gegangen!	Quickly past have you gone!
Wär mein Lieb' nur blieben treu,	Had my sweetheart only remained true,
sollte mir nicht bangen.	Then I should fear nothing.
Um die Ernte wohlgemut,	At the harvest, cheerfully,
wohlgemut Schnitterrinnen singen.	the reaping women sing.
Aber, ach! mir kranken Blut,	But ah! my sick blood,
will nichts mehr gelingen.	does not want to succeed anymore
Schleiche so durch's Wiesental,	I creep thus through the meadow valley,
so durch's Tal, als im Traum verloren,	as if lost in a dream,
nach dem Berg, da tausendmal,	to the mountain, where a thousand
er mir Treu' geschworen.	times, he swore he would be true.
Oben auf des Hügels Rand,	Above on the hill's edge, turning away,
abgewandt,wein' ich bei der Linde;	I weep by the linden tree;
an dem Hut mein Rosenband,	On my hat, the wreath of roses
von seiner Hand,	from his hand
spielet in dem Winde.	Blows in the wind.

B.2 *Heimat* by Richard Dehmel (1863–1920)

Und auch im alten Elternhause	And also in my parents' old house
und noch am Abend keine Ruh?	and yet no peace in the evening?
Sehnsüchtig hör ich dem Gebrause	Yearning, I hear the rushing
der hohen Pappeln draußen zu.	of the tall poplars outside.
Und höre sacht die Türe klinken,	And I hear the door ring gently,
Mutter tritt mit der Lampe ein;	Mother steps in with a lamp;
und alle Schnsüchte versinken,	and all yearning vanishes,
o Mutter, in dein Licht hinein.	O mother, in thy light

B.3 *Nachtgruß* by Johann Eichendorff (1788–1857)

Weil jetzo alles stille ist	While all the world is quiet,
Und alle Menschen schlafen,	And everyone asleep,
Mein Seel das ewge Licht begrüßt,	My soul hails the eternal light,
Ruht wie ein Schiff im Hafen.	And rests safely as a ship in harbor.
Der falsche Fleiß, die Eitelkeit,	Deceitful acts and vanity by day
Was keinen mag erlaben,	Will keep us troubled,
Darin der Tag das herz zerstreut,	But they cannot touch the heart at night,
Liegt alles tief begraben.	So deeply are they buried.
Ein ander König wunderreich	Another king,
Mit königlichen Sinnen,	With a similarly wonderful essence,
Zieht herrlich ein im stillen Reich,	Will be with us in this hour
Besteigt die ew'igen Zinnen.	As we mount the eternal pinnacle.

B.4 *Wanderers Nachtlied* II by Johann Wolfgang von Goethe (1749–1832)

Über allen Gipfeln ist Ruh,	O'er all the hill-tops
in allen Wipfeln	Is quiet now
spürest du	In all the tree-tops
kaum einen Hauch;	Hearest thou
Die Vögelein schweigen im Walde.	Hardly a breath;
Warte nur, balde	The birds are asleep in the trees:
Ruhest du auch.	Wait; soon like these
	Thou too will rest.[168]

[168]Translation by Henry Wadsworth Longfellow.

APPENDIX C

SUPPLEMENTAL ILLUSTRATIONS

Herrn Dr. Hugo Leichtentritt
Music Department
Harvard University
Cambridge, Mass 3.XII.1938

Lieber Herr Dr. Leichtentritt:

In der Universität hatte ich nicht Zeit, Ihre Frage nach deutschen Büchern die mich interessieren ausführlich zu beantworten.

Ich bin kein "Leser" und konne daher eigentlich die folgenden Bücher nur sehr oberflächlich und meistens nur einzelne aus dem Zusammenhang gerissene Abschnitte. Nichtsdestoweniger erinnere ich mich an manchen guten Gedanken. Voraussichtlich werden Sie ja selbst, wenn nicht alle so die meisten davon selbst kennen.

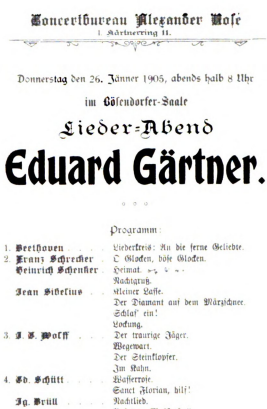
Vor allem: (obwohl ich mit fast allem nicht einverstanden bin)
Heinrich Schenkers sämtliche Schriften.
Wilhelm Weber: Ueber das Wesen der Fugen.
Alois Hába Neue Harmonielehre
Fritz Cassirer: Beethoven und die Gestalt
Mayrhofer: der Kunstklang
Walter Howard: Auf dem Wege zur Musik
Lotte Kallenbach Greller: Grundlagen der modernen Musik
Paul Stefans Mahler Bücher
Adlers Mahler Biographie
Specht's " "
Bellermann: Kontrapunkt !!!!!!!
Bernhard Marx: Kompositionslehre
Hermann Erpf: Studien zur Harmonik

Vielleicht fallen mir noch mehr meiner Gegner ein, dann schreibe ich wieder. Ich glaube man sollte manche dieser Bücher den Amerikanern zur Kenntnis bringen. Es könnte helfen, sie von ihrer fossilen Aesthetik wegzuleiten: das sind doch, trotz der meist verschnoerkelten Ausdrucksweise, andere Gesichtspunkte, als die, die man in Englischen und amerikanischen Theoriebuechern findet.

Mit besten Grüssen, Ihr

Illustration C.1, a letter from Schoenberg to Hugo Leichtentritt indicating his (Schoenberg's) interest in Schenker's writings. Property of the Arnold Schönberg Centre; downloaded from http://www.schoenberg.at/scans/DVD017/3106.jpg

Illustration C.2. from left: Louis Savart (horn), Fritz Kreisler and Eduard Gärtner (violins), Hans Redlich (flageolet), and Arnold Schoenberg (violoncello). Savart and Gärtner were known to have performed Schenker's music (see below for programs), and Schoenberg orchestrated his Syrian Dances.
Picture downloaded from
http://www.schule-bw.de/unterricht/faecher/musik/projekte/schoenberg.htm



Concertbureau Alexander Rosé
I. Kärtnerring 11.

Donnerstag den 26. Jänner 1905, abends halb 8 Uhr

im Lösendorfer-Saale

Lieder-Abend

Eduard Gärtner.

Programm:

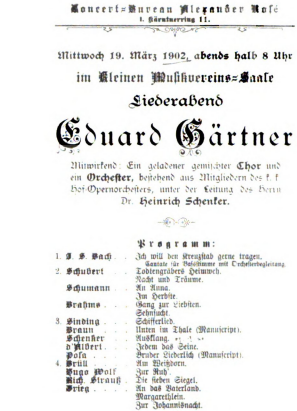
1. Beethoven . . . Liederkreis: An die ferne Geliebte.
2. Franz Schrecker . . O Glocken, höre Glocken.
   Heinrich Schenker . Heimat.
   Nachtgruß.
   Jean Sibelius . . . Meiner Laffe.
   Der Diamant auf dem Märzschnee.
   Schlaf' ein!
   Lockung.
3. J. S. Wolff . . . Der traurige Jäger.
   Wegwart.
   Der Steinklopfer.
   Im Kahn.
4. Ed. Schütt . . . . Wasserrose.
   Sanct Florian, hilf!
   Jg. Brüll . . . . . Nachtlied.
   Auf dem Maskenball.
   Ed. Soldini . . . . An die Nacht.
   Nun pfeif' ich noch ein zweites Stück.

Am Clavier: Herr **Willy Klasen.**

Während der Vorträge bleiben die Saalthüren geschlossen.

Lieder-Texte: Preis 20 Heller.

Illustration C.3. concert of 26 January 1905 at which Eduard Gärtner sang Schenker's *Heimat* and *Nachtgruß*, op. 6, nos. 1 and 2



Concert-Bureau Alexander Rosé
I. Kärntnerring 11.

Mittwoch 19. März 1902, abends halb 8 Uhr

im Kleinen Musikvereins-Saale

Liederabend

Eduard Gärtner

Mitwirkend: Ein geladener gemischter **Chor** und ein **Orchester**, bestehend aus Mitgliedern des k. k. Hof-Opernorchesters, unter der Leitung des Herrn Dr. **Heinrich Schenker.**

Programm:

1. J. S. Bach . . Ich will den Kreuzstab gerne tragen.
   Cantate für Baßstimme mit Orchesterbegleitung.
2. Schubert . . . Todtengräbers Heimweh.
   Nacht und Träume.
   Schumann . . . An Anna.
   Im Herbste.
   Brahms . . . . Gang zur Liebsten.
   Sehnsucht.
3. Binding . . . Schifferlied.
   Braun . . . . Unten im Thale (Manuscript).
   Schenker . . . Ausklang.
   d'Albert . . . Jeden das Seine.
   Pola . . . . . Bruder Liederlich (Manuscript).
4. Brüll . . . . Am Weihern.
   Hugo Wolf . . Zur Ruh.
   Rich. Strauß . Die sieben Siegel.
   Krieg . . . . . An das Vaterland.
   Margeritlein.
   Zur Johannisnacht.

Concertflügel: **Lösendorfer.**

Preis: 20 Heller.

Illustration C.4. concert of 19 March 1902 at which Eduard Gärtner sang Schenker's *Ausklang* op. 3, no. 4

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