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**The non-tonic opening in Classical and Romantic music**

**Burstein, L. Poundie, Ph.D.**

**City University of New York, 1988**

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THE NON-TONIC OPENING  
IN CLASSICAL AND ROMANTIC MUSIC

by

L. Poundie Burstein

A dissertation submitted to the Graduate  
Faculty in Music in partial fulfillment of the  
requirements for the degree of Doctor of  
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1988

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ABSTRACT

THE NON-TONIC OPENING  
IN CLASSICAL AND ROMANTIC MUSIC

by

L. Poundie Burstein

Adviser: Professor Charles Burkhart

Compositions from the Classical and Romantic eras most typically begin with a statement of the tonic chord. Such an opening conforms to the Aristotelean principles of form by helping to establish the beginning of the work as a logical point of departure. Yet it is within the realm of art for a composition to begin on a non-tonic chord. Indeed, non-tonic openings may be found occasionally during the Classical era and with increasing frequency during the Romantic era. Such beginnings seem to undermine the normal function of an opening by producing an initial impression of either randomness or deception. The master composers, however, were careful to work these openings into the structure of the compositions through harmonic and motivic means. By such devices, an opening which initially gives the impression of randomness or deceptiveness can ultimately be recognized as a logical point of departure.

The key to understanding non-tonic openings lies in the appreciation of the "auxiliary cadence," a concept originated and developed by Heinrich Schenker to describe progressions which do not begin on the tonic. Auxiliary cadences can help us understand the inherent tonal unity not only of phrases within compositions which begin on non-tonic chords, but also of introductions and opening themes which begin on non-tonic chords ("auxiliary cadence openings"), works in which a statement of the tonic is delayed until near the end ("auxiliary cadence compositions"), and monotonal works which seem to start and end in different keys (works with "deceptive beginnings").

In Memory of Felix Salzer

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### INTRODUCTION

The construction of a work should be based on a single action, one that is a complete whole unto 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.

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A beginning is something which is not necessarily after anything else, and which naturally has something after it.

-- Aristotle, Poetics, XXIII/2

### THE CONCEPT OF BEGINNINGS

The beginning of a temporal work of art is of utmost importance. A beginning has relevance far beyond its moment of presentation, for it must set the work in motion and stand as a crucial point of reference throughout the composition. In a weak work, the beginning may sound arbitrary, giving the impression that the work could just as easily have started at a different point; or it may sound unpromisingly stagnant, leaving no impetus to continue. In a superior work, on the other hand, the opening will clearly establish a sense of movement and at the same time sow seeds for subsequent development.

Although beginnings are important in all forms of temporal art, they are most crucial in music. Whereas the characters of a literary work have a kind of presumptive existence prior to the first lines of the story or drama, the melodies and harmonies of a work of music do not exist conceptually before its opening notes.<sup>1</sup> The boundaries of a work of music are perhaps most clearly defined in tonal pieces, for the very nature of tonality provides a logical framework. Accordingly, most tonal pieces begin with a forceful statement of the tonic triad, thus establishing the tonic as a point of stability. This tonic triad will usually be followed by non-tonic chords and modulations to non-tonic keys, each of which stands in some relation of tension to the harmony and key stated at the opening. The harmonic tensions of the middle section are in turn resolved at the conclusion, where the tonic triad and key return to finish the movement. Such a tonal layout clearly delineates the distinctive roles of beginning, middle, and end.

But although such a structure is the most typical, it is not the only one available. It is quite possible for a work to be tonally unified even if the tonic chord does not appear at its outer boundaries. The opening tonic may be omitted more readily than closing tonic, since a tonic is by definition a harmonic goal, and a goal can certainly be implied

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1. See discussion in Edward Cone, Musical Form and Musical Performance (New York: Norton, 1968), pp. 1-25; see also Sigmund Levarie and Ernst Levy, Musical Morphology (Kent, Ohio: Kent University Press, 1983), p. 83.

without being present from the outset. Nevertheless, the withholding of the tonic chord at the crucial opening moment might well undermine the tonality of a work if its main key is not established through other means. Furthermore, a non-tonic opening will have a decided effect on the character of the composition, for such an opening will produce an impression of either randomness or deception.<sup>2</sup>

In a random-sounding non-tonic beginning, the opening will appear to be leading up to a more "official" beginning. This impression of randomness may arise when a work opens with a dissonant, non-tonic chord which nevertheless points to tonic (such as a V7 or II  $\bar{6}$ ). In more extreme instances, these beginnings also may arise when contradictory impulses are established, so that no tonic key is clearly implied (as in Beethoven's String Quartet, Op. 59, No. 3, I).

In compositions that start with a random beginning, there is an initial motion from tonal instability to stabili-

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2. A composer can create a seemingly random opening through means other than using a non-tonic opening. For instance, he can start a composition with fragments of a theme or with a hesitating tempo, as Beethoven does in the first movement of his "Pastorale" Symphony, a work which nevertheless begins with a firm tonic. Likewise, a composer can create a deceptive effect in the opening through means other than using a non-tonic opening. For instance, he can create a deception in rhythm by accenting the weak beats of a measure, as Beethoven does in his "March" from Fidelio. A composer can also effect deception and randomness in a composition by obscuring the tonic key, even if the work actually does begin with the tonic (see discussion in Chapter Two, pp. 140-42 below). Such openings certainly are related to non-tonic openings; this study, however, will focus only on works with bona fide non-tonic openings.

ty. This reverses the typical harmonic layout of a beginning in which there is an initial motion from stability to instability. The effect is not necessarily inappropriate, for it is within the realm of art for a work to begin in a manner simulating randomness, giving the impression that it begins "in the middle of something." Of course, this impression must be a surface one: in a deeper sense such a beginning must still be logical and well integrated into the composition as a whole. Such works thus demand great skill on the part of the composer, who in spite of the opening tonal instability must clearly establish the structural conditions of the work. As Aristotle noted, "a well constructed piece cannot begin at any point one likes."<sup>3</sup> While the beginning might sound initially as though it belonged after other events, it ultimately must be understood to be "something which is not necessarily after anything else."

A non-tonic opening is deceptive when the opening chord is initially interpreted as a stable, tonic chord, so that only retrospectively is it heard to function as an unstable, non-tonic chord within a different background tonality.<sup>4</sup> Such a deception is made possible by the fact that one does not experience temporal works of art merely on a moment-to-moment basis. Rather, one constantly reflects upon and reinterprets

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3. Poetics, VII/3

4. Though deceptions can occur at any point within a piece, the opening moments of a work, which occur before a context has been established, are the most propitious.

what has passed and constantly revises expectations on what will be forthcoming.

A "deceptive" opening is even more difficult to integrate into the whole than a "random" one, for the main tonality must overcome the impression of stability created by the opening key.<sup>5</sup> If the composer does not somehow establish the main tonality's supremacy, the piece will not be perceived as being tonally unified but rather as "key-shifting" (i.e., starting in one key and ending in another in such a way that no single tonality can be perceived as governing the entire work).<sup>6</sup>

#### HISTORY OF THE NON-TONIC OPENING

Any discussion of non-tonic openings will most logically begin with the Classical era. To be sure, many modal or modal-influenced works from the Middle Ages, Renaissance, and

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5. Often the outcome of works with extended misleading openings will be foreshadowed or prepared within the unfolding of the initial deception. For a literary analogy, take Jane Austen's Pride and Prejudice, in which the opening chapters lead one to believe that Darcy dislikes Elizabeth. Only towards the end of the novel are Darcy's true feelings revealed. The reader thereupon reinterprets the story up to that point, reflectively noting hints presented earlier in the novel which make such an outcome so logical.

6. A piece which is key shifting will not necessarily be inferior, for a composer may unify a work by means other than tonality. Indeed, there are a number of works within the Classical and Romantic repertoires that contain tonal shifts. Yet one should be aware of the possibility that a work which seems to start and end in different keys might actually be best understood in terms of a single, underlying background tonality (see discussion in Chapter Four, below).

Baroque begin on tones other than that of the finalis or other standard modal degrees.<sup>7</sup> But discussion of such works in terms of "non-tonic" openings would go beyond the main focus of this study; such works must be considered in terms of modal theory.

By the end of the Baroque the tonic opening had become standard to the extent that the tonic opening was practically a distinguishing feature of purely tonal (as opposed to modal) composition. The tonal language of the Classical era, with its slower harmonic rhythm, more readily permitted non-tonic openings without disruption of the underlying tonality. Even so, such openings were quite rare, as may be seen by surveying the masterworks of the time. For instance, only one of the movements from Haydn's symphonies and piano sonatas start with a clear-cut non-tonic opening (the second movement of his Symphony No. 65).<sup>8</sup> Haydn was a bit more adventuresome in this regard in his string quartets, of which at least eight movements have non-tonic openings. Mozart, however, hardly used non-tonic openings at all; of Mozart's symphonies, chamber pieces, concertos and piano works only

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7. An example is the Kyrie to Palestrina's Pope Marcellus Mass, which is in C Ionian but begins with a G-D sonority. This work is discussed in Lewis Lockwood, "Notes in the Text and Structure of the Pope Marcellus Mass," in Palestrina: Pope Marcellus Mass, edited by Lewis Lockwood (New York: Norton, 1973), pp. 103-05. Lockwood states here that "the decisive part for the tonality of a composition is the conclusion. The beginning, on the other hand, was much more freely handled, and one finds, not the least in the sixteenth century, that a great number of pieces begin in quite a different manner than they conclude."

8. See Appendix I, pp. 213 ff. below.

one movement, the second movement of his String Quartet, K. 160, clearly begins with an non-tonic opening. The very infrequency of non-tonic openings in the Classical era tells much about the style, for the standard tonic opening contributed to the the sense of balance and logic so typical of the Classical style.

Prototypes for non-tonic openings nevertheless may be found in Haydn's and Mozart's music in themes which, though appearing in the middle of a movement, start with non-tonic chords, thus forming an analogy to the non-tonic opening of an entire composition. For instance, the first themes to four first movements of Haydn's symphonies (Symphonies No. 73, 90, 92, and 94) begin on non-tonic chords, though each comes after an introduction starting on the tonic. And many secondary themes in the music of Haydn and Mozart start on local non-tonic chords; see, for instance, Mozart's String Quartet in E-flat Major, K. 428, I, where the second theme of bars 41 ff. is in the key of B-flat major but begins as though it were in G minor.

In contrast to Mozart and Haydn, Beethoven used non-tonic openings quite frequently. They are found in his works from all genres, including orchestral works (as in his Symphony No. 7, IV, and Symphony No. 9, I), chamber works (as in his Quartets Op. 18, No. 3, I and six other quartet movements), piano works (as in his Op. 26, III, and eight other piano sonatas), etc. Even his Piano Trio Op. 1, No. 1,

contains a movement with such an opening: the Scherzo of this work daringly starts in a non-tonic foreground key that delays the arrival of the I chord until bar 15. In all, about one-third of Beethoven's works with opus numbers have at least one movement with a non-tonic opening. Surely, such openings are an important feature of Beethoven's style and reflect the revolutionary nature of his output.

The non-tonic opening comes into its own in nineteenth-century music. Like other stylistic features of the Romantic era, such openings often yield an intended obscurity and sense of the exotic. To be sure, not every Romantic composer exploited the non-tonic opening. Mendelssohn, for instance, was quite conservative in this respect, as, perhaps surprisingly, was Berlioz. Likewise, Schubert used few significant non-tonic openings in his sonatas, symphonies, or chamber pieces, though he did employ a number of startling non-tonic beginnings in his short piano dances and songs.<sup>9</sup> Chopin, on the other hand, wrote over 60 pieces with non-tonic openings. To be sure, some of these consist merely of an introductory V chord which resolves to a tonic at the arrival of the first theme, as in his Valse Brillante in A-flat Major, Op. 34, No. 1. Yet others are quite complex and indeed landmarks of their kind, such as the Preludes Op. 28,

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9. Often the non-tonic openings in Schubert's songs related to the text; see, for instance, the discussion of Schubert's "Dass sie hier gewesen" in Carl Schachter, "Motive and Text in Four Schubert Songs", in Aspects of Schenkerian Theory, edited by David Beach (New Haven: Yale University Press, 1983), pp. 64-66.

No. 2 and 18, both of which avoid a structural tonic until their very end, and especially his Scherzo Op. 31 and Ballade Op. 38, both of which begin with extended passages in a non-tonic key (see discussions of the latter two works in Chapter Four below).

Schumann was even more prolific in his use of the non-tonic opening. I have counted over 150 movements from works of all genres which have some type of non-tonic opening. Over one-half of his opus numbers include at least one movement which starts off the tonic. But numbers alone cannot account for the wide variety of non-tonic opening progressions that Schumann experimented with. Nor do they reveal his brilliance at delaying the entrance of tonic until the last possible moment, a procedure most vividly seen in the first movement of his Fantasy in C Major, Op. 17, where Schumann deliberately avoids a C Major triad until close to the end.<sup>10</sup>

Brahms, following Chopin and Schumann in this regard, wrote over 75 movements that start on non-tonic chords. Perhaps most notable are those many works in which he either totally avoids or, at best, barely touches upon a structural tonic until near the end of the composition. Examples of this include his songs Op. 43, No. 2; Op. 59, No. 4 and No. 6; Op. 97, No. 2; his Klavierstücke Op. 76, No. 4 and 8; Op.

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10. See discussion of this work in Charles Rosen, Classical Style (New York: Norton, 1974), pp. 451.

116, No. 3; Op. 117, No. 2; Op. 118, No. 1; and his Third Symphony, IV.

Non-tonic openings also figured prominently in the composers of the "New German School" and the Late Romantics. For instance, a number of movements from Bruckner's symphonies have such openings, including three of the movements from his Eighth Symphony. Likewise, Liszt wrote many important works with non-tonic openings, such as his "Faust" Symphony, I, and his Sonetto del Petrarca 104. And Wagner perhaps avoided a tonic frame more deliberately than any other composer of his time, for many of the tonal sections within his operas both start and end on non-tonic chords, pushing towards the limits (and at times even beyond the limits) of traditional tonality.

Thus the non-tonic opening, as an occasional deviation from the norm, eventually became quite prevalent. Though firmly rooted in the tonal system, it contributed (together with chromaticism and the blurring of formal boundaries) to the breakdown of tonality. One might say that the deliberate avoidance of an opening tonic seen occasionally in the Classical era and frequently in the Romantic era paved the way for Wagner's even greater avoidance of the tonic, a process which had a great influence on later composers. By tracing the development of the non-tonic opening, one can better understand the tonal experiments of the Late-Romantic and early twentieth-century and their links with earlier, tonal practices.

THEORETICAL DISCUSSIONS OF NON-TONIC OPENINGS

Theorists since the Classical Era lagged behind composers in recognizing the possibilities of non-tonic openings. For years the main tonality of a composition was systematically regarded as equivalent to its opening key, a view which led to some absurd results. For instance, one sees Beethoven's Fantasy Op. 77 being called "Fantasy in G Minor," because it starts in G Minor (though it modulates from that key -- never to return -- by the end of the fourth measure), and Haydn's String Quartet Op. 30, No. 1 labeled "Quartet in D Major," because it seems to open in D Major (though from its fifth measure on it is clearly in B Minor). The notion that the opening tonic might differ from the background tonality was to come later.

When the concept that a single key could govern an entire work developed, however, the notion that the first key of a composition need not automatically be considered its tonic key gradually took hold. Donald Tovey, for instance, gave a number of insightful analyses in which he discussed the implications of non-tonic openings.<sup>11</sup> Likewise, Arnold Schoenberg argued that many pieces could be conceived as

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11. See, for instance, Donald Francis Tovey, Beethoven (London: Oxford University Press, 1945), pp. 24 and 101-2; Essays in Musical Analysis, 6 vols. (London: Oxford University Press, 1935-9), Vol. I, pp. 67-69 and 147-48, and Vol III, p. 81; A Companion to Beethoven's Pianoforte Sonatas (London: Associated Board of the Royal Schools of Music, 1931), pp. 130 and 205; and The Mainstream of Music and Other Essays, ed. Hubert Foss (New York: Oxford University Press, 1949), pp. 49-50.

being governed by a single tonality and noted that this underlying tonality need not be identical to the first chord of the piece. In his essay "Tonality and Form," Schoenberg summed up these concepts as follows:<sup>12</sup>

1. Every isolated major triad can of itself express a key.
2. If no contradiction is added it may be taken for a tonic chord.
3. But every succeeding chord contests the feeling for this tonality and pleads for others.
4. Only a few very special kinds of chord-successions permit the conception that any one of the used chords, chiefly the last one, is the fundamental chord of the key.
5. But even this designation is final only if nothing contradictory follows.
6. Without the application of very definite [artistic devices] a key cannot be unequivocally expressed.

Another theorist who discussed works with non-tonic openings is Heinrich Schenker. Though his writings on non-tonic openings are brief and at times confusing or contradictory, I feel that they are the most penetrating to date. Schenker, to an even greater extent than Schoenberg, felt that the masterpieces of the repertoire must be conceived in terms of a single key. He further claimed that the tonic chord of the underlying key will most typically begin the composition:

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12. Arnold Schoenberg, "Problems of Harmony," in Style and Idea, edited by Leonard Stein, translated by Adolphe Weiss (New York: St. Martins Press, 1975), p. 275. See also Arnold Schoenberg, Structural Functions of Harmony, edited by Leonard Stein (New York: Norton, 1954), 173 et. seq.

Our inclination to ascribe to any major or minor triad, first of all, the meaning of a tonic fully corresponds to the egotistic drive of the tone itself.

. . . . .

The general theory according to which we need merely have a look at the opening or concluding triad in order to find a key of a composition thus does not lack reason. We merely have to conclude this triad as tonic allegedly -- and immediately we can obtain the key. This calculation will be correct in most cases, and our supposition will be confirmed . . . .<sup>13</sup>

Yet he cautioned that there are important exceptions to this notion:

One should be wary, however, not to give this supposition [that the first chord of a piece will be its tonic] any interpretation other than the one given here. For only he who can feel exactly how the scale-step loves to show off its highest value can also understand the author when he tries to mock us, consciously and purposefully, by suddenly revealing the same chord which we supposed to be the tonic as an entirely different scale step. . . . In other words, one may say that, in fact, most compositions begin with a tonic . . . . 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.<sup>14</sup>

Indeed, Schenker discussed a number of works which do not begin on the tonic, including a number which start in a non-tonic foreground key. According to Schenker, such compositions are to be understood as opening with "auxiliary cadences," i.e., progressions which begin on a non-tonic

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13. Heinrich Schenker, Harmony, edited by Oswald Jonas, translated by Elisabeth Mann Borgese (Cambridge: MIT Press, 1954), p. 252-53.

14. *Ibid.*, p. 253.

chord, but conclude with a V-I.<sup>15</sup> In some cases, he showed that a large-scale auxiliary cadence could structure even an entire composition. The harmonic structure of such pieces would ultimately be reduced to a V-I progression in the background, much as a more typical composition would ultimately reduce to a I-V-I progression in the background.

Since Schenker's time, there have been no detailed studies devoted to the subject of non-tonic openings or auxiliary cadences, though there have been a number of brief discussions on these topics.<sup>16</sup> Furthermore, various analy-

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15. The term "auxiliary cadence" will be discussed in detail in Chapter One, below.

16. See, for instance, Felix Salzer, Structural Hearing (New York: Dover, 1952), pp. 153-55; Sylvan Kalib, "Thirteen Essays for the Three Yearbooks 'Das Meisterwerk in der Musik' by Heinrich Schenker: An Annotated Translation" (PhD dissertation, Northwestern University, 1973), Vol. I, pp. 87-88; Edward Cone, "Three Ways of Reading a Detective Story -- or a Brahms Intermezzo," The Georgia Review XXXI/3 (Fall, 1977), pp. 554-74; Robert Lau, "Initial Versus Ultimate Tonality in Instrumental Works of the Classic and Romantic Periods" (PhD dissertation, Catholic University, 1979);, pp. 78-98; Sigmund Levarie, "Once More: The Slow Introduction to Beethoven's First Symphony," Music Review, XL/3 (August, 1979), pp. 168-75; Karl-Otto Plum, Untersuchungen zu Heinrich Schenkers Stimmführungsanalyse (Regensburg, Germany: Gustav Bosse Verlag, 1979), p. 153; Harald Krebs, "Third Relation and Dominant in Late 18th and 19th Century Music" (PhD dissertation, Yale, 1980), pp. 125 ff.; Sarah Johnston Reid, "Tonality's Changing Role: A Survey of Non-Concentric Instrumental Works of the Nineteenth Century," (PhD dissertation, University of Texas at Austin, 1980), p. 118-51 et. seq.; William Yadeau, "Tonal and Formal Structures in Selected Larger Works of Chopin" (D.M.A. dissertation, University of Illinois, 1980), pp. 39 ff.; Harald Krebs, "Alternatives to Monotonicity," Journal of Music Theory, XXV/1 (Spring, 1981), pp. 1-4; Carl Schachter, "Chopin's Fantasy, Op. 49: The Two-Key Scheme," in Chopin Studies, ed. by Jim Samson (Cambridge: Cambridge University Press, publication forthcoming).

ses of pieces containing non-tonic openings have appeared.<sup>17</sup> More prevalent, especially recently, have been discussions on the related topics of "progressive tonality" and "dual-key tonality," concepts which contrast with the monotonal theories of music such as those of Schenker and Schoenberg.<sup>18</sup> "Progressive tonality" occurs when there is a continuous

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17. See, for instance, Adele Katz, Challenge to Musical Tradition (New York: Knopf, 1945), pp. 172-76 et. seq.; Douglass Green, Form in Tonal Music, Second Edition (New York: Holt, Rinehart and Winston, 1979), pp. 19 et. seq.; Robert S. Hatten, "An Approach to Ambiguity in Beethoven's String Quartet Op. 59 no. 3," Indiana Theory Review, III/3 (Spring, 1980), pp. 28-35; Jonathan Dunsby, "A Bagatelle on Beethoven's WoO 60," Music Analysis, III/1 (March, 1984), pp. 57-66; Charles Burkhart, "Departures from the Norm in Two Songs from Schumann's Liederkries," Schenker Studies (Cambridge: Cambridge University Press, publication forthcoming); Carl Schachter, "Analysis by Key: Another Look at Modulation," Music Analysis, VI/3 (October, 1987), pp. 289-318.

18. See, for instance, Dika Newlin, Bruckner, Mahler, Schoenberg (New York: King's Crown Press, 1947), pp. 128 et. seq.; Hans Keller, "Periodicals: The Music Survey's Festival Issue," Music Survey IV/2 (Feb. 1952), pp. 433-34; Robert Simpson, Carl Nielson, Symphonist 1865-1931 (London: J.M. Dent and Sons, Ltd., 1952), pp. 23 et. seq.; Margery Ann Enix, "The Dissolution of the Functional Harmonic Tonal System: 1850-1910" (PhD dissertation, Indiana University, 1977); Robert Lau, "Initial Versus Ultimate Tonality"; William Kinderman, "Dramatic Recapitulation in Wagner's 'Gotterdammerung,'" 19th Century Music, IV/1 (Summer, 1980), pp. 101-12; Harald Krebs, "Alternatives to Monotonicity," pp. 3 ff.; Sarah Johnston Reid, "Tonality's Changing Role," pp. 209 ff.; William Kinderman, "Das 'Geheimnis der Form' in Wagners 'Tristan und Isolde,'" Archiv für Musikwissenschaft, XL/3 (Spring, 1981), pp. 174-88; Leon Plantinga, "The 19th Century," Journal of Musicology, I/1 (June, 1981), p. 57; Susan Blaustein, "Review of Charles Rosen's Sonata Forms, Theory and Practice," VII/2 (December, 1982), pp. 56-58; Patrick McCreless, "Ernst Kurth and the Analysis of the Chromatic Music of the Late Nineteenth Century," Music Theory Spectrum V (1983), pp. 60 ff.; David Beach, "The Current State of Schenkerian Research," Acta Musicologica LVII/2 (July-December 1985), pp. 289-90; Deborah Stein, Hugo Wolf's Lieder and the Evolution of Tonality (Ann Arbor, Michigan, UMI Research Press, 1985); see also discussion on pp. 193

motion from one tonal center to another throughout a composition so that neither predominates as the background tonality. "Dual-key tonality" arises when two keys are simultaneously prolonged throughout a work. As in certain monotonal works with non-tonic openings, compositions structured by progressive or dual-key tonality often will seem to start in one key and end in another. Indeed, as I shall argue in Chapter Four, many works that have been analyzed as being structured by progressive or dual-key tonality can be better understood as being tonally unified compositions with non-tonic openings. While I do not at all deny the possibility of progressive or dual-key tonality, I feel these concepts can be put into clearer perspective with an appreciation of the function of non-tonic openings within a monotonal framework.

Like Schenker, I believe that the key to understanding non-tonic openings of pieces lies in the understanding of auxiliary cadences. Using Schenker's own discussions on auxiliary cadences as my starting point, I shall, in the following chapters, examine in turn auxiliary cadences (Chapter One), pieces that begin with auxiliary cadences (Chapter Two), pieces that are based entirely upon auxiliary cadences (Chapter Three), and pieces that seem to start and end in

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ff. below. See also Jan Larue, "Bifocal Tonality: An Explanation for Ambiguous Baroque Cadences," in Essays on Music in Honor of Archibald T. Davison (Cambridge: Harvard University Press, 1957), pp. 173-84; and Charles Rosen, Sonata Forms (New York: Norton, 1980), pp. 295-96.

different keys (Chapter Four). To be sure, works with non-tonic openings are statistically few in number. Yet included among them are some of the greatest and most intriguing works of the repertoire. By analyzing such difficult works, I hope to shed light on the history and nature of tonality in general.

CHAPTER ONE

THE AUXILIARY CADENCE

The sentence "Father rode his horse through the woods" makes a different impression from the other possible versions of that same sentence: "His horse father rode through the woods" or "Through the woods father rode his horse." The two latter versions differ from the original one by a nuance of tension. The natural way of proceeding is first to introduce the subject of our statement, and then to explain what it is all about regarding that subject. . . . The belated introduction of the subject finally resolves the tension; but tension undoubtedly has been created first. What could we not have thought during that brief moment of tension! "Who rode his horse?" friend? foe? stranger? acquaintance? etc.

-- Heinrich Schenker<sup>1</sup>

INTRODUCTION

The tonic chord, as the origin and goal of tonal motion, provides a structural foundation for the harmonies of not only an entire composition but often of the phrases and sections within it as well. Each section and phrase of a composition typically prolongs the tonic chord or (if a

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1. Heinrich Schenker, Harmony, translated by Elisabeth Mann Borgese (Chicago: University of Chicago Press, 1954), pp. 31-32. (I have slightly altered the translation.)

modulation has occurred) the tonic of a local key. Accordingly, progressions that structure the various sections and subsections of a composition usually begin with the tonic chord which they prolong.

If every section in a composition began with a strong statement of the tonic chord, however, it might impede the tonal momentum and cause the music to sound sectionalized. Skilled composers often avoid this stagnating effect by putting less emphasis on the tonics that open sections that lie within a work. This procedure partly accounts for the lyrical nature generally accorded to second themes, for which the forceful tonic statement of a typical opening theme often would be inappropriate. Imagine, for instance, the unhappy results if the theme-groups in a work such as the first movement of Mozart's "Eine kleine Nachtmusik" were switched. Among other problems caused by such a switch, the tonic stress in the first theme would sound ridiculous in the middle of the exposition, disrupting harmonic momentum to such an extent as to distort the structure beyond recovery.

A further way to prevent structural segmentation is not only to deemphasize the tonic at the opening of a theme or section, but to avoid an opening tonic altogether. For example, the second theme of Chopin's Mazurka Op. 17, No. 1, begins with a V chord, the second theme of Mozart's Linz Symphony, I, opens with a VI-IV-V-I progression, and the second theme of Beethoven's Piano Sonata Op. 13, I, is based

entirely on a prolongation of a dominant chord whose resolution is delayed until the very end of the section (these are shown in Example 1):

EXAMPLE 1: (a) Chopin, Mazurka in B-flat Major, Op. 17, No. 1, bars 9-12; (b) graph of Mozart, Symphony in C Major, K. 425 ("Linz"), I, bars 72-79 (see also Example 45); and (c) graph of Beethoven, Sonata for Piano in C Minor ("Pathétique"), Op. 13, I, bars 11-121, after Oster.<sup>2</sup>

Example (a) shows musical notation for Chopin's Mazurka with a graph below it: F: V —————> I

Example (b) shows musical notation for Mozart's Symphony with a graph below it: G: V — V — V: I: I — I

Example (c) shows musical notation for Beethoven's Sonata with a graph below it: Eb: I —————> III (Eb: V) — I

The avoidance of the tonic at the opening of the Mozart excerpt is particularly striking. The theme here initially sounds as if it were in the key of E minor. This is merely a

2. See Ernst Oster, "Register and Large-Scale Connection," Journal of Music Theory, V/1 (April, 1961), pp.67 ff.

surface sensation, however, for the E minor is not confirmed. Actually, the key of G Major (the V of C major) reigns in the middleground from bars 72 on, despite the fact that G is not heard as a local tonic until at least measure 77. By withholding a clear statement of the middleground key, Mozart creates a forward propulsion and softens the divisions of the formal design without destroying the tonal and structural cohesiveness of the movement.

Since the delay of a tonic goal can arouse feelings of suspense and deception, the avoidance of the tonic at the outset of a progression can create a variety of poetic effects. Skilled composers are quick to exploit the effects of such progressions, not only at the outset of secondary themes, but also at the outset of primary themes and other sections and subsections within a composition. Though such progressions are atypical, they form a vital part of the tonal vocabulary.

#### SCHENKER'S CONCEPT OF THE AUXILIARY CADENCE

##### The Development of the Idea in Schenker's Writings

Heinrich Schenker is the only theorist to have discussed at length progressions that do not start on the tonic. Unfortunately, his ideas on this subject are often either overlooked or misunderstood. Yet because of their importance and the great insights which they offer, his writings on progressions with non-tonic openings deserve detailed study.

Schenker first wrote about such progressions in his book Harmony (1906), in a discussion of the concept of "harmonic inversion."<sup>3</sup> Here he points out that while Nature (in the form of the overtone series) proposes "only . . . an infinite forward motion," the composer, through the power of his art, can create a "counterpart to Nature's proposition: an involution, which initially represented a purely artificial process, a phenomenon extraneous to nature." Schenker offers the following as an example of such an involution:

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."<sup>4</sup>

To demonstrate this principle further, Schenker cites a number of increasingly difficult examples, including a highly intriguing example from Brahms's B-flat Major Sextet.<sup>5</sup> Schenker points out that the opening theme of the second

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3. Op. cit., pp. 31-37; see also 251-255. Schenker's concept of "harmonic inversion" is not to be confused with the traditional concept of chord inversion, which Schenker discusses on pp. 186-87. Progressions that start with non-tonic chords are but one manifestation of Schenker's concept of harmonic inversion (for a discussion of the further implications of harmonic inversion, see Harmony, pp. 38 ff.).

4. Ibid., p. 32.

5. Ibid., pp. 291 ff. Though the discussion of the Sextet does not appear in the section on harmonic inversion, the analysis obviously relies upon this concept.

theme group in the Sextet seems initially to be in A major but is subsequently reinterpreted, first in D minor and ultimately in F Major:

EXAMPLE 2: Brahms, Sextet in B-flat Major, Op. 18, I, bars 61-68.

Schenker contrasts this harmonic layout with the clear-cut tonic opening in the second part of the second theme group (bars 85ff.), noting "how monotonous it would be if both themes of this group were to open uniformly and all too normally on the tonic!" Commenting further about this example, Schenker writes:

. . . the technique, once conquered, of not developing themes uniformly from the tonic is invaluable. The tonic, being the strongest scale-step, has, more than all the others, the inherent ability to mark and emphasize the opening (and, of course, the conclusion) of an idea -- so strikingly that, the moment the idea is born, its normal development can never be missed. Imagine now a whole series of movements with such normal beginnings and development, and test their effects. Each individual idea will turn out to be an all too complete and closed whole, and this saturated independence will kill in us the expectation of a continuation rather than inciting it. The entire series,

accordingly, will make the impression of a wreath of ideas, a potpourri rather than an organic whole, such as must be formed by an organic composition.<sup>6</sup>

Though examples of progressions that begin on a non-tonic chord are given throughout Schenker's later writings, he rarely comments on them, or does so only indirectly.<sup>7</sup> The next time that he directly addresses the subject again is in his last published work, Free Composition.<sup>8</sup> In addition to several discussions and analyses of excerpts having progressions that do not begin on the tonic, this book includes two subsections, Par. 244 and 245, which are devoted entirely to such progressions.

These paragraphs lie within a section entitled "Incomplete Transference of the Forms of the Fundamental Structure; Auxiliary Cadences" (Von unvollständigen Übertragungen der Ursatzformen und von Hilfskadenzten).<sup>9</sup> In the preceding two paragraphs, Par. 242 and 243, Schenker discusses "[complete] transferences of the forms of the fundamental structure." As he notes, such complete transferences arise when a form of the fundamental structure, such as those shown in Figs. 9-11

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6. Ibid., pp. 293-94.

7. See, for instance, Schenker's discussion in Counterpoint, translated by John Rothgeb and Jürgen Thym (New York: Schirmer, 1978), pp. 33-40.

8. Heinrich Schenker, Free Composition, translated and edited by Ernst Oster (New York: Longman, 1979).

9. Another paragraph within this section, Par. 246, which discusses "the descending third, VII-V," seems misplaced.

and 14-19 of Free Composition, structures a passage on some later level. In Par. 244, Schenker differentiates incomplete transferences from complete transferences:

It would be too great a burden for the synthesis if each transference of a form of the fundamental structure had to begin with  $\hat{3}$  or  $\hat{5}$  over  $\hat{1}$ . The transition from harmony to harmony is made smoother by the omission of the  $\hat{1}$ , the first tone of the bass arpeggiation.

This is Schenker's way of saying in systematic terms what he had said more informally in Harmony.

At the start of Fig. 110, which accompanies Par. 244 and 245, Schenker gives five short bass lines (a through e) to illustrate various incomplete progressions in their simplest form:

EXAMPLE 3: Abstract examples of auxiliary cadence bass lines, from Schenker, Free Composition, Fig. 110.



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These abstract examples are followed by a series of examples from the literature, each of which Schenker discusses in Par. 245.

In spite of the outward appearance of formal rigor, the discussions in these paragraphs are rather rhapsodic making it difficult at times to pinpoint exactly what Schenker is trying to say. Matters are further complicated by Schenker's extremely dense writing style and his tendency to bring up exceptions immediately after introducing a rule.<sup>10</sup> Nevertheless, the ideas presented here are so brilliant and comprehensive that they may well serve as a basis for a discussion of the concepts underlying progressions which start with a non-tonic chord.

### Definition of Auxiliary Cadence

#### The Definition Proper

In referring to progressions with non-tonic openings, Schenker often uses the term "auxiliary cadence" (Hilfskadenz), a term I shall adopt. Characteristically, Schenker never explains precisely what the term "auxiliary cadence" means. Indeed, as I shall show later, he uses the term rather loosely and even contradictorily at times. Nevertheless, he does stress a number of features that distinguish an auxiliary cadence. According to these criteria, I will define an auxiliary cadence as a progression which (1) begins on a non-tonic chord, (2) prolongs the tonic chord that arrives at its conclusion, and (3) is tonally

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10. See Carl Schachter's remarks regarding Schenker's writing style in "A Commentary on Schenker's Free Composition," Journal of Music Theory, XXV/1 (Spring, 1981), pp. 115-42.

"closed off" from the preceding harmonies.<sup>11</sup> Any progression that begins on a non-tonic chord but does not meet the other two criteria I will refer to as a progression which "simulates" an auxiliary cadence (see pages 67 ff. below).

An Auxiliary Cadence Starts on a Non-Tonic Chord

The most distinctive characteristic of the auxiliary cadence is that it begins on a non-tonic chord. This differentiates it from the complete harmonic progression, which starts as well as ends on the tonic. It also sets it apart from what might be called the "dividing dominant progression," that is, a progression that start on a tonic chord but ends on the dominant (but see pages 65-66 below). Schenker points out that auxiliary cadences can occur both in the background tonality and in local keys, noting that "the abbreviated form V-I can be applied to any descending fifth in a tonality, whatever the harmonic degree."<sup>12</sup>

The Auxiliary Cadence Prolongs Its Final Chord, i.e., Its Tonic

The auxiliary cadence derives its tonal meaning from the deeper levels of structure. The deepest level within the progression is represented by the final chord of the progression, that is, the tonic. As Schenker notes regarding the

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11. Note that the term cadence here refers to the entire progression; it does not refer merely to the closing chords of the progression (i.e., it is not equivalent to the German word "Schluss").

12. Free Composition, Par. 245.

abstract auxiliary cadences shown in Example 3 above: "From our experience of the ascending arpeggiation we understand, in retrospect, that the fundamental tone is  $\underline{c}$  in all such cases, especially since  $\underline{c}$  ultimately appears."<sup>13</sup> Thus on the deeper levels the auxiliary cadence is similar to a complete harmonic progression, because ultimately it too prolongs the tonic. But whereas a complete progression prolongs the chord found both at its beginning and its end, the auxiliary cadence prolongs the chord found at its end only.<sup>14</sup>

An Auxiliary Cadence Must Be  
Tonally Closed-Off

An auxiliary cadence is "closed off" in the sense that its beginning is harmonically unrelated to the chords that precede it, much as a dividing dominant is harmonically unrelated to the harmonies that follow it.<sup>15</sup> Even if the auxiliary cadence comes in the middle of a composition, the

13. Ibid., Par. 244.

14. The auxiliary cadence is not the only progression which prolongs only its final chord on the deeper levels of structure. Sometimes the final chord alone of a complete transference will reign in the middleground, even though the progression both begins and ends on a prolonged tonic. In such cases, the opening tonic might first be heard as a locally non-tonic chord or be deemphasized in some other way. See for instance, Schenker's graphs of the prolonged tonics in bars 13 ff. of Beethoven's "Ode to Joy" theme (Free Composition, Fig. 109, e3) and in bars 27 ff. of Beethoven's Piano Sonata in C Major, Op. 2, No. 3 (Free Composition, Fig. 154, 2). In both these graphs, the final chord is shown to be of higher rank. But through his use of beams and dotted slurs Schenker makes clear that he feels the tonic chord to be prolonged from the very beginning of the progressions, and thus it would be incorrect to classify them as auxiliary cadences, in spite of certain similarities.

15. Ibid., Par. 279.

initial chord of the progression ultimately owes its structural logic to the tonic that arrives at the end of the progression, not to the harmonies that come before it. As Schenker notes regarding the progressions shown in Example 3 above, "the voice-leading is 'closed off' from what precedes it: that is, the IV, III, and II are related only to the forthcoming I; they point only to it."<sup>16</sup> Accordingly, in a voice-leading graph the beginning of an auxiliary cadence will be connected to the upcoming tonic rather than to the preceding harmonies on its own structural level, as may be seen in the following sketches by Schenker (I have placed an asterisk and bracket under the auxiliary cadence in each; note particularly Schenker's use of beams and slurs in the bass line graphs of the auxiliary cadences):

EXAMPLE 4: Johann Strauss, The Blue Danube, Waltz No. 1, (a) graph from Schenker, Free Composition Fig. 43a; (b) quotation of bars 16-40.

a

Mgd I  
Fgd (= I IV - II c II V I - II V I (=A major(V)<sup>7</sup> - I) I  
(=a<sub>1</sub>- -b- a<sub>2</sub>)

\*

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(Continued on next page.)

16. Ibid., Par. 244.

## (Example 4, continued.)

b

It is quite evident that a progression which does not begin on the tonic must be closed off at the level under consideration. After all, if it were not closed off, its ostensible beginning would not truly represent a starting point, but rather it would fall in the midst of a larger progression. The following sketch clarifies this:

EXAMPLE 5: Graphs of (a) an abstract progression which contains an auxiliary cadence; (b) an abstract progression which does not contain an auxiliary cadence.

Because of the closed-off voice leading, in passages containing auxiliary cadences certain apparent harmonic progressions are mere juxtapositions; only through recourse to higher levels can we understand the logic of such chord successions. For instance, in bars 16-17 of Chopin's Mazurka

in G Minor, Op. 24, the V of G does not really progress to V of Bb chord. Rather, the D chord of measure 16 relates to what precedes it and the F chord of measure 17 relates to what comes after it. The actual chord succession of a D chord moving to an F chord is simply a by-product of middle-ground forces. Thus the V-I auxiliary cadence in Bb is closed off from what precedes it:<sup>17</sup>

EXAMPLE 6: Chopin, Mazurka in G Minor, Op. 24, No. 1, bars 14-20.

G minor: I      V      V      I  
 Bb major:

This is not to deny that the listener will momentarily perceive a connection between the initial chord of an auxiliary cadence and the harmony that precedes it. Nor does it deny that the possibility of an upper voice connection or a connection on a later level of structure. But ultimately the structural logic of chord successions such as those in Example 6 can be explained only by investigating the middle-ground level, not through a chord-by-chord analysis.

17. See also Schenker's graphs of this piece in Free Composition, especially Fig. 91, 4, and 119, 24.

The closed-off nature of the auxiliary cadence is not derived from the sphere of harmony alone. It must also be understood in relation to other features of free composition. Though Schenker never specifies exactly how the closed-off effect of the auxiliary cadence is created, it is clear from his examples that the closed-off nature of the auxiliary cadence is always determined, at least in part, by factors of design. The only exception is when an auxiliary cadence occurs at the beginning of a composition, where it is obvious that the initial chord of the progression does not relate to any previous harmonies. But when the auxiliary cadence appears in the middle of a piece, some rhythmic, thematic, or formal factor must establish it as a kind of beginning, analogous to a beginning of a composition.

Indeed, the harmonies of a passage containing an auxiliary cadence regarded abstractly and out of context may well imply a normal, complete harmonic progression. For instance, the harmonies of Example 7, taken abstractly, could certainly form a unified progression. But in the context of Haydn's Surprise Symphony, where these same harmonies appear, the clear demarcation in bar 18 signals that the progression that follows is closed off from what precedes it:

EXAMPLE 7: (a) Sketch of hypothetical chord progression; (b) Haydn, Symphony No. 94 in G Major ("Surprise"), I, bars 1-21, after Schenker, *Free Composition*, Fig. 110, e2 and quotation (see Example 17 below).

Part (a) is a sketch of a hypothetical chord progression. It shows a treble clef staff with notes G4, A4, B4, C5, B4, A4, G4. Above the staff are Roman numerals I, V, and I. A dashed box labeled 'Upper 5th' spans from the first G4 to the final G4. Above the staff are also the numbers 5, 4, and 3, indicating the scale degrees of the upper voice.

Part (b) shows the actual score for bars 1-21. It shows a treble clef staff with notes G4, A4, B4, C5, B4, A4, G4. Above the staff are Roman numerals (II, V, I) and (II, V, I) for the upper and lower voices respectively. Above the staff are also the numbers 5, 4, and 3, indicating the scale degrees of the upper voice.

The original score below shows bars 1-21. The tempo is 'Adagio cantabile' from bar 1 to 16, and 'Vivace assai' from bar 18 to 21. The score includes dynamics like *p*, *sf*, and *f*, and markings like 'strings' and 'r.H.'.

Aspects of design can help create an auxiliary cadence even when the first chord of the progression is literally the same as the chord which precedes it. In Example 8, for instance, the E chord of bar 62 is closed off from the E chord of bar 60. Though there is a foreground, upper-voice

link in the oboe, and though the listener readily perceives the similarity of the two E chords, the formal delineation at bar 62 establishes the ensuing harmonies as beginning a new progression, distinct from the progression before it:

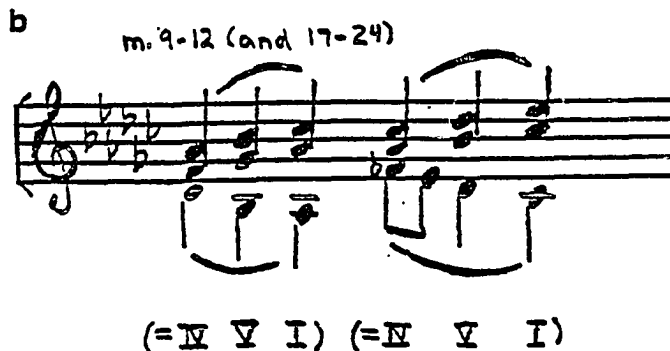
EXAMPLE 8: Haydn, Symphony No. 101 in D Major ("Clock") IV, bars 58-65.

The separation need not be so pronounced in order to close off a progression. Schenker's examples seem to show that progressions could be closed off with different degrees of clarity. In the examples shown above, the auxiliary cadence is delineated by the entrance of a new theme. In other cases, however, an auxiliary cadence can arise in the middle of a phrase, provided that it is somehow outlined by a rhythmic or motivic feature.

For instance, Schenker reads two auxiliary cadences in the following excerpt from Schubert's Impromptu Op. 90, No. 3. The first one (in bars 9-10) comes at the beginning of a secondary theme and thus is clearly closed off from what precedes it. The second one (in bars 11-12), however, occurs in the middle of a phrase. Nevertheless, the rhythmic and motivic structure of this passage establishes it as a kind of beginning, because this progression enters at the relatively

strong third bar of a four-bar phrase and forms an obvious thematic parallelism with bars 9-10:<sup>18</sup>

EXAMPLE 9: Schubert, Impromptu in G-flat Major, Op. 90, No. 3, bars 9-12, (a) quotation; (b) graph after Schenker, Free Composition, Fig. 110, b2.



In the excerpt of Example 10 the closed-off effect is even more subtle. Example 10b presents a graph by Schenker of Beethoven's Op. 129 which shows an auxiliary cadence occurring in the middle of the phrase (in bars 61-64). The 4 + 4 bar rhythmic structure of this phrase, a rhythmic structure which is supported by the change of register and

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18. In the varied repetition of this passage in bars 17-20 there are also two auxiliary cadences (in bars 17-18 and 19-20), in spite of the relatively foreground passing tone links in bars 16 and 18, respectively.

fifth progression of the melodic design, led Schenker to read the I<sup>6</sup> chord of bar 61 as being closed off from the preceding I chord. Evidently, Schenker felt that these rhythmic and melodic factors were sufficient to distinguish the harmonies of bars 61-64 as belonging to a separate progression. After all, if these same harmonies were taken abstractly, out of their rhythmic context, they would form a unified progression, as I show in Example 10c:

EXAMPLE 10: Beethoven, *Rondo a capriccio*, Op. 129, bars 57-64, (a) quotation; (b) graph from Schenker, *Free Composition*, Fig. 110, c1; (c) sketch of hypothetical chord progression.

Diagram (a) shows the original musical notation for bars 57-64 of Beethoven's *Rondo a capriccio*, Op. 129.

Diagram (b) is Schenker's graph of the original progression. It shows the G minor I chord (labeled "g minor: I -") leading to a sequence of chords: (=Bb major: I<sup>6</sup>), V, and I. A III<sup>5</sup> chord is also indicated. A dashed line above the staff indicates a melodic contour, with a note marked "(=b3)".

Diagram (c) is a sketch of a hypothetical chord progression. It shows the G minor I chord (labeled "G minor: I") leading to a sequence of chords: (=Bb Major: I, I<sup>6</sup>, V, I). A dashed line above the staff indicates a melodic contour, with a note marked "(=b)".

Example from *Free Composition* copyright© 1979 by Longman Inc. Used by permission.

Another way in which rhythmic and formal design may effect an auxiliary cadence may be seen in Brahms's Waltz Op. 39, No. 1 (Example 11). The progression in D-sharp minor (from the pickup to bar 5 through bar 8) literally begins on a D-sharp chord. Yet the extremely weak rhythmic position of this chord, coupled with the parallelism of bars 5-8 with bars 1-4, makes it clear that the D# does not function as a I chord, but as an ornamental harmony to an auxiliary cadence starting on IV:<sup>19</sup>

EXAMPLE 11: Brahms Waltz, Op. 39, No. 1, (a) quotation; (b) graph from Schenker, Free Composition, Fig. 110, b1.

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Sometimes transitional passages will lead into the first chord of the auxiliary cadence. Such transitions help to soften the closed-off effect of the auxiliary cadence, but they do not eradicate it, for in such cases the auxiliary cadence is still closed off from the harmonies which precede it on its own level.

19. See also Schenker's graph of the C-sharp minor section of the second movement of Brahms's First Symphony in Free Composition, Fig. 88a.

An example of such a transition may be seen in the first movement of Brahms's F Major Cello Sonata:

EXAMPLE 12: Brahms Sonata for Piano and Cello, Op. 99, I, (a) graph of bars 1-60, from Schenker, *Free Composition*, Fig. 110, d2; (b) detailed graph of bars bars 25 ff.

a

F major: I (=a minor:III) V III<sup>#3</sup> (I)

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b

transition

F: I (=c:II) Y (=A:III) I V I

In this movement the second theme group (bars 34 ff.) is to be regarded in A minor, in spite of its apparent opening key of C major. Admittedly, it might seem more plausible, at least initially, to either regard the local keys of C and A as equal in importance, or to regard C major as predominating. After all, the C-major section does last a bit longer and it presents a theme which is certainly more "tuneful"

than the one of the foreground A-minor section. Yet unlike the key of A minor, the key of C is never confirmed by a cadence. Rather, the C major theme concludes with a motion to E minor, the V of A (bar 45). Furthermore, the dominant preparation of A (bars 52 ff.) is introduced by a variation of bars 36-38, thus forcefully relating the local C-major section to the motion towards A minor:

EXAMPLE 13: Brahms Sonata for Piano and Cello, Op. 99, I, bars 36-39 and 46-49.

36

46

Subtle motivic factors involving the pitches G-G#(Ab)-A strengthen the sense of A as the tonal goal in bars 34 ff. In the first theme and transition sections (bars 1-33) an A-Ab-G

pervades, moving away from the pitch A. This is supplanted in the second theme group by related motives which move towards A with increasing vigor -- Ab-A-G in measures 34-37 and G-G#-A in measures 47-60:

EXAMPLE 14: Brahms, Sonata for Piano and Cello, Op. 99, I, (a) quotation of bars 1-12; (b) 19-20; (c) 24-33; (d) 36-37; (e) 46-49; and (f) 57-60.

a

A - Ab - G,

Violoncell

1 Pianoforte

A - Ab - G,

A - Ab - G

A - Ab - G

b

A - Ab - G

19

(Continued on next page.)

## (Example 14, continued.)

c

A - Ab - G

d

Ab-A-G

e

Ab-A-G

f

G-G#-A

To be sure, the C chord of bar 34 ff. is initially perceived as the dominant of F Major.<sup>20</sup> Yet it ultimately owes its logic in the middleground structure to its function as III of A minor, not to its function as V of F. Although there is a

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20. Schenker hints at the importance of the C chord in bar 34 through his careful use of stems; see Example 12a above.

relatively foreground transition linking the opening I chord of F major to the C chord of bar 34, the C chord nevertheless forms a type of beginning like that of the opening of a composition, auxiliary to the A chord of bar 60.

Auxiliary Cadences May Be Manifested in Various Ways

Auxiliary Cadences May Occur On Any Level

Schenker's discussion of the auxiliary cadence may at first present the concept as being limited, restricted to a small number of possible realizations. Yet careful investigation of Schenker's examples reveals his notion of the auxiliary cadence to be quite flexible, covering a wide range of possibilities. I have already shown how the auxiliary cadence can be closed off in a variety of ways. Further examination of auxiliary cadences will demonstrate how they may occur on various structural levels, support various upper-voice lines, have various rhythmic functions, and consist of various basic progressions.

For instance, since Schenker discusses auxiliary cadences in a chapter on foreground techniques, it might at first seem that he regarded auxiliary cadences as a purely foreground concept. Yet it is obvious from his examples that auxiliary cadences can occur on deeper levels of the structure as well. Indeed, an auxiliary cadence can encompass any unit from a few chords to an entire piece.

The following excerpt, for example, includes a series of four particularly short auxiliary cadences, each of which is merely two eighth notes long:<sup>21</sup>

EXAMPLE 15: Sketch of Chopin, Polonaise in A Major, Op. 40, No. 1, bars 25-31, from Schenker, Free Composition, Fig. 112, 3a (brackets added).



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An example of a much longer, middleground auxiliary cadence cited by Schenker may be found in the B section of the second movement of Beethoven's "Pathétique" Sonata (bars 17-28). Schenker does not interpret this section as merely starting in F Minor and then modulating to E-flat. Rather, he reads the section as a prolongation of E-flat throughout, albeit starting with a large-scale auxiliary cadence so as to establish the "illusory key" of F:<sup>22</sup>

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21. These auxiliary cadences, which are delineated by rhythm and the melodic fifth motive in the bass, are cited by Schenker in Free Composition, Par. 247.

22. *Ibid.*, Par. 319

EXAMPLE 16: Graph of Beethoven, Sonata for Piano in C Minor, Op. 13 ("Pathétique"), II, from Schenker, Free Composition, Fig. 155 (excerpt, bracket added).

The musical score for Example 16 shows a graph of Beethoven's Sonata for Piano in C Minor, Op. 13, II. The score is in C minor and features a complex melodic line with various intervals and accidentals. The graph includes annotations such as 'm.', '1-', '3-', '18 17-', '-28', '29', '(n.n.)', 'A1-', 'B1-', 'A2-', and 'I - ( = VI - II ) ( V - I )'. A bracket is added under the graph to indicate a specific section.

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Auxiliary cadences may even occur simultaneously on different levels. In such cases, a small auxiliary cadence is embedded within a larger one. In the following passage from Haydn's "Surprise" Symphony, for instance, a series of V-I auxiliary cadences in the local keys of A and G are contained within a larger II-V-I auxiliary cadence in G Major (see also Examples 29, 71, and 85a):

EXAMPLE 17: Graph of Haydn, Symphony No. 94 in G Major ("Surprise"), I, bars 17-21, after Schenker, Free Composition, Fig. 110, e2 (brackets and asterisks added; see also Example 7).

The musical score for Example 17 shows a graph of Haydn's Symphony No. 94 in G Major, I, bars 17-21. The score is in G major and features a series of auxiliary cadences. The graph includes annotations such as 'G major', 'II', 'V - I', and asterisks (\*) above the notes.

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In rare instances, an auxiliary cadence may even occur on the background level. Works which are entirely structured by an auxiliary cadence -- works which I shall call "auxiliary cadence compositions" -- will be discussed in detail in Chapter Three.

An Auxiliary Cadence Can Support a Variety of Upper-Voice Lines; Auxiliary Cadences and "Incomplete Transferences"

Schenker's rather cryptic discussion of the role of the upper voice in an auxiliary cadence might seem to imply incorrectly that auxiliary cadences can support only a limited number of upper-voice lines. To understand fully Schenker's concept of the role of the upper voice in the auxiliary cadence, one must refer to the preceding section of Free Composition, in which Schenker discusses complete transferences of the fundamental structure.<sup>23</sup> Schenker opens this discussion with examples in which both the bass and the upper voice of a form of the fundamental structure are transferred to the foreground and middleground. But he also notes that "transferring the prolonged bass of the fundamental structure alone will guarantee unity, even where the soprano shows no linear progression." He demonstrates this by presenting examples where the transference supports either an initial ascent, arpeggiation, unfolding, or diminution.

Similarly, Schenker opens his discussion of incomplete transferences by examining excerpts in which both the bass

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23. Par. 242 and 243.

(minus the initial I chord) and the upper voice of a form of the fundamental structure are transferred to a more foreground level. But in other examples, Schenker shows that in a progression beginning on a non-tonic chord, (just as in a progression beginning on the tonic), the upper line may be an ascent, (as in my Example 9), an arpeggiation (Example 85), an unfolding, (Example 4b) a diminution (Example 22), or a held tone (Example 4a).

Though his terminology on this point is not entirely clear, Schenker seemingly reserves the term "incomplete transference" for those auxiliary cadences which do have a form of the fundamental line in the upper voice. These are distinguished from auxiliary cadences which do not support such an upper voice and which therefore are not "incomplete transferences" in the strictest sense. This distinction arises in Schenker's discussion of the V-I auxiliary cadence, where he notes:

Even though the bass form which begins with I is the only true image of the fundamental structure, the bass can, if the synthesis requires, occasionally start with the V, provided a fifth-progression in the upper voice defines the specific harmony.<sup>24</sup>

Clearly Schenker is not arguing that all auxiliary cadences must support a fifth-progression, for he gives many examples where they do not. Rather, he is merely pointing out that a V-I auxiliary cadence must support a fifth-progression if it

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24. Ibid., Par. 245.

is to be considered an incomplete transference (i.e., patterned after the "true image of the fundamental structure").

Schenker's specifications regarding the upper voice would disqualify the possibility of a V-I incomplete transference supporting a  $\hat{2}-\hat{1}$  in the soprano. In other words, though the initial tonic bass note may be omitted in an incomplete transference, the initial  $\hat{5}-\hat{4}-\hat{3}$  of the linear descent in the soprano may not. If it were, the resulting auxiliary cadence would not be considered an incomplete transference, but rather an auxiliary cadence which supports a descending second in the upper voice.

It is also clear that a V-I incomplete transference could not support a  $\hat{3}-\hat{1}$  or  $\hat{8}-\hat{1}$  descent in the upper voice, since the first notes of such descents lie outside the V chord. These linear progressions are possible in incomplete transfereces with a harmony preceding the V, however. Indeed, Schenker himself gives two examples of III-V-I incomplete transfereces which support a  $\hat{3}-\hat{2}-\hat{1}$  in the upper voice in his Fig. 110 c2 and d3 (see Example 95 below).<sup>25</sup>

Elaborating on his concepts regarding the upper-voice fifth progression in the V-I incomplete transference, Schenker notes that its "meaning remains the same even when

---

25. Of course, a III-V-I incomplete tranference can also support a  $\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}$  line in the upper voice, as Schenker shows in his Fig. 110c, 1 (see Example 10b).

the I appears as soon as the  $\hat{3}$  sounds, thus subdividing the fifth-progression of the upper voice, as in Fig. 92, 2 (shown in my Example 18b); in any event the bass, with descending fifth-motion, finds true completion only when the  $\hat{1}$  is reached in the soprano":<sup>26</sup>

EXAMPLE 18: Handel, Suite No. 2 in F Major, Allegro, (a) bars 6-14; (b) graph of bars 1-14, from Schenker, Free Composition, Fig. 92, 2 (see also Example 21).

a

ALLEGRO

5

9

12

b

m. 1 4 6 7 8 10 14

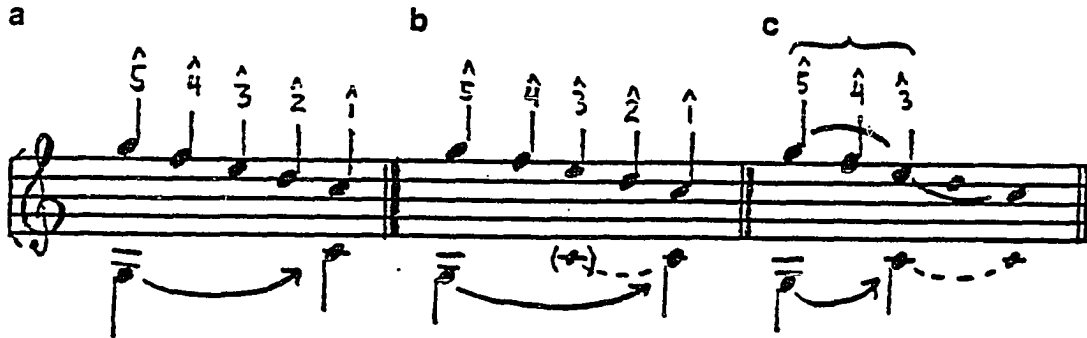
I II<sup>h</sup> (=V-) V I

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26. Ibid.

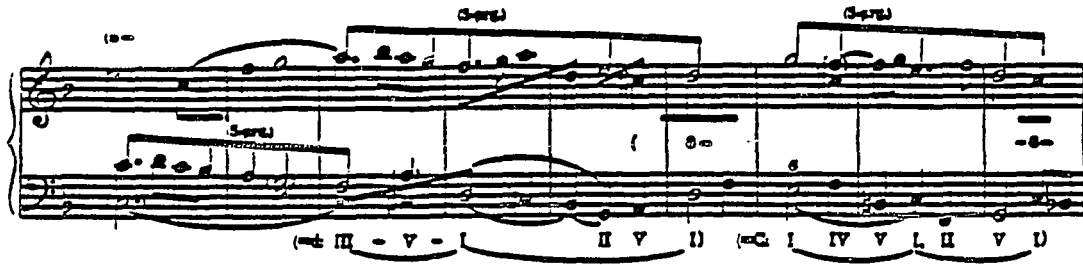
In the above example, the bass C on the the first beat of bar 8 is an anticipation of the true tonic bass tone of the incomplete transference. Had the bass C truly arrived on beat 3 of the graph, the progression would not be an incomplete transference, but an ordinary auxiliary cadence supporting a  $\hat{5}-\hat{4}-\hat{3}$  motion in the upper voice. The following graphs make this distinction clear:

EXAMPLE 19: Graphs of abstract progressions, (a) and (b) auxiliary cadences which also function as incomplete transferences; (c) progression which contains an auxiliary cadence which does not function as an incomplete transference.



An auxiliary cadence such as the one seen in Example 19c is certainly possible. Indeed, Schenker himself points to one such example when he mentions the Menuetto from Bach's Overture in F Major in connection with Fig. 110 c, specifically citing bars 3-4 and 7-8 (not 3-6 and 7-10) as an example of an auxiliary cadence:

EXAMPLE 20: Graph of JS Bach, Overture (BWV 820), from Schenker, Free Composition, Fig. 82, 5c (excerpt).



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It may seem strange that Schenker discusses incomplete transferences before he gives a general discussion on auxiliary cadences. After all, incomplete transferences form a subcategory of auxiliary cadences, and technical discussions usually move from the general to the specific. Yet this order is consistent with Schenker's style, in which he ultimately relates all musical content to the background fundamental structure. Incomplete transferences form a more fundamental concept than do auxiliary cadences, for incomplete transferences relate more directly to the background fundamental structure.

#### Rhythmic Structure of the Auxiliary Cadence

The structure of the auxiliary cadence sets the stage for some unique rhythmic possibilities. The first chord of a progression frequently occurs in a metrically strong position and may receive rhythmic emphasis in other ways as well. Since in a typical progression the first chord is also the most tonally important chord, rhythm and tonal structures

often complement one another. But in an auxiliary cadence the first chord is tonally subordinate, therefore causing a possible conflict between rhythmic and tonal structures.

The layout of an auxiliary cadence may be compared to that of an anticipation, for the initial part of the auxiliary cadence precedes and prepares the goal chord that it prolongs. The goal chord is not established until the very end of the progression, causing the tensions of the previous harmonies to remain in force throughout the auxiliary cadence. As Schenker notes:

. . . despite the degrees which belong to the forthcoming root, the space up to its actual entrance belongs conceptually to the preceding harmony. In a sense, the territory of the previous harmony provides a base for the preparation of the following one.<sup>27</sup>

---

27. Ibid., Par. 244. William Rothstein, in Rhythm and the Theory of Structural Levels (PhD diss., Yale, 1981), p. 123, takes this comment of Schenker literally. According to Rothstein:

"The goal harmony of an auxiliary cadence or incomplete transference is not to be interpreted as having been delayed. At a higher level, i.e., one at which only the fundamental tone of the bass structure would appear, the arrival point of the fundamental tone (and thus the goal harmony) is the same as at the lower level; the fundamental tone may not be shifted back (normalized) to the beginning of the auxiliary cadence. In an incomplete transference, consequently, the harmonic prolongation implied by the form of the fundamental line in the upper voice must be considered an anticipation of the goal harmony."

Though this concept, which Rothstein refers to as the "rule of the auxiliary cadence," might at first seem to be a plausible interpretation of Schenker's remarks in Par. 244, it is untenable in light of Schenker's other comments regarding the

Elaborating this concept, Schenker cites his Fig. 93 (a graph of an excerpt from Handel's F Major Suite) which demonstrates "anticipation of the closing harmony" (Par. 219):

EXAMPLE 21: Graphs of Handel, Suite in F Major, No. 2, (a) bars 4-5, from Schenker, Free Composition, Fig. 93; (b) bars 1-14, after Schenker, Free Composition, Fig. 93 and 92, 2 (see Example 18 above).

a

b

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auxiliary cadence, as I shall presently show. At best, the "rule of the auxiliary cadence" might refer to progressions involving applied chords such as are discussed on pp. 79 ff. below, progressions which, as I note, merely simulate auxiliary cadences.

In support of his "rule of the auxiliary cadence," Rothstein also cites (on p. 124) Schenker's remarks which I have discussed on page 46 above. Yet these remarks do not discuss the rhythmic role of the auxiliary cadence at all, but merely distinguish incomplete transferences from ordinary auxiliary cadences. Indeed, the Handel excerpt which Schenker cites in connection with these comments seems to contradict the "rule of the auxiliary cadence" (see my Example 18b and 21b; note particularly Schenker's use of parentheses around the first, but not the second, " $\hat{2}$ ").

the progression of measures 5-6 in the above passage is not an auxiliary cadence, it is like an auxiliary cadence in that the initial chords prepare for the chord which they prolong.

While an auxiliary cadence is similar to an anticipation in a tonal sense, it is not necessarily similar to an anticipation in a metric sense. An anticipation must begin in a rhythmically weak position, but the opening of an auxiliary cadence may be accented in relation to its final chord. An auxiliary cadence may function metrically like a suspension or an accented neighbor tone, so that its final chord is retrospectively realized to be present on a deep rhythmic level from the outset of the progression.

Schenker himself refers to auxiliary cadences as "suspension harmonies" (in Par. 245) and cites his graph of Beethoven's Op. 26, I, as an example of an auxiliary cadence which supports an accented neighbor tone. Here, at the beginning of the B section, an auxiliary cadence which leads to an A-flat chord supports an accented neighbor tone in the upper voice. A comparison of the graphs in Schenker's Fig. 110, a5 (shown in my Example 22b) and his Fig. 85 (shown in 22c), makes it clear that Schenker interprets the background rhythmic position of the goal chord to be located in measure 17, at the very outset of the auxiliary cadence:<sup>28</sup>

---

28. In Free Composition, Fig. 110, a6, Schenker cites a similar rhythmic structure in Handel's Concerto Grosso Op. 6, No. 7, bars 20-21 (mistakenly called bars 19-20). The

EXAMPLE 22: (a) Sketch from Free Composition, Fig. 110, a4; (b) graph of Beethoven, Op. 26, I, bars 17-20, from Schenker, Free Composition, Fig. 110, a5; (c) graph of Beethoven, Op. 26, I, bars 1-27, from Schenker, Free Composition, Fig. 85, (excerpt).

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Schenker also cites his graph of Chopin's Polonaise Op. 40, No. 2 in Fig. 56, 2e, in referring to the auxiliary cadence as a suspension or neighboring note harmony.<sup>29</sup> He

logic of this rhythmic analysis can partly be explained by comparing this passage to the analogous passage in bars 9-10; the V chord of bars 2-3 of bar 9 is replaced by a II-V in beats 2-3 of bar 20. Schenker's labelling of this II-V progression as an auxiliary cadence, however, is less defensible; perhaps, owing to the brevity of the passage, he felt that the II-V motion in the key of F is analogous to a V-I in the key of C.

29. Ibid., Par. 245. Schenker compares this passage with one from Chopin's Op. 40, No. 2, which Schenker graphs in Fig. 54, 2, and cites in Par. 164 to demonstrate the avoidance of parallel fifths by means of "a fifth-arpeggiation (6/4) in the manner of an auxiliary cadence." Both of these Polonaise excerpts exhibit auxiliary cadences involving unusual 6/4 chords, albeit functioning in different rhythmic manners. Though Schenker does not specify the rhythmic structure of the auxiliary cadence in the excerpt from Op. 40, No. 2, surely the underlying metric structure would dictate that the background rhythmic placement of the goal chord appear on the downbeat of bar 13, the point where it appears on the surface of the music.

reads the C-sharp chord of bar 6 of this work as being subjected to melodic delay (see Example 23 below). On a still deeper level, the upper voice  $c\sharp^3$  appears over the I chord of bar 1 and the bass motion  $G\sharp-C\sharp$  functions as a V-I auxiliary cadence supporting the upper voice  $d\sharp-e\sharp$  (the final part of the third motion  $c\sharp^3-d\sharp^3-e\sharp^3$ ). He specifies that the  $d\sharp$  is to be regarded as an accented passing tone (in spite of the fact that it appears literally on a weak beat). This is because on a deeper rhythmic level the C# chord appears on the downbeat of bar 5 (at the beginning of the auxiliary cadence), as Schenker makes clear in his Fig. 40, 1:

EXAMPLE 23: Graphs of Chopin, Polonaise, Op. 40, No. 1, (a) from Schenker, Free Composition, Fig. 40, 1; (b) from Schenker, Free Composition, Fig. 56, 2e; (c) bars 1-8, after Schenker.

Graph (a) details:  
 Bgd. — IV — I — II — V — I  
 Mgd. I — II — V — I  
 Fgd. (I — II — V — I)  
 { A<sub>1</sub> — } (a<sub>1</sub> — )  
 { A<sub>2</sub> — } (a<sub>2</sub> — )  
 (Trio) — B — (a<sub>1</sub>b — a<sub>2</sub>) (a<sub>1</sub> — b — a<sub>2</sub>)

Graph (b) details:  
 Bgd. — II — V — I  
 Mgd. I — II — V — I  
 Fgd. A major: I —  
 (= 8/4) (5/3) III# — II — V — I

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 (Continued on next page.)

(Example 23, continued.)

c

I III\* V V I

In Par. 286 (in his chapter on rhythm), Schenker again speaks of the possibility of an accented beginning for an auxiliary cadence:

Auxiliary harmonies and those arising from neighboring notes or suspensions in no way disturb a metric ordering; in fact, they too, can appear on the accented, strong measures (cf. 128, 9d; 54, 11b). . . in such cases the performer must also emphasize the metrical superiority of the auxiliary harmonies.

Though this passage mentions only "auxiliary harmonies" (a term which is not necessarily synonymous with the term "auxiliary cadences" -- see page 79 below), it is evident from Schenker's examples that the above concepts embrace auxiliary cadences as well, as in the following:

EXAMPLE 24: Graph of Chopin, Waltz in C-sharp Minor, Op. 64, No. 2, bars 33-48, from Schenker, Free Composition, Fig. 137, 1.

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Many similar examples of such rhythmic interpretations can be found in Schenker's output. The following graphs demonstrate two ways in which Schenker indicates the goal chord of the auxiliary cadence to be rhythmically present from the outset of the progression. In his graph of Mendelssohn's "Wedding March" (Example 25a), Schenker places the tonic goal chord in bar 9, at the point where it actually appears in the music. He represents the background rhythmic placement of the tonic chord by means of the top line of Roman numerals directly underneath the graph. These Roman numerals show the I chord as appearing in the background in bar 6, at the very outset of the progression. For the Schubert excerpt, on the other hand, Schenker provides a two-layered graph (Examples 25b and c). The first layer, showing the foreground, places the goal chord of the opening V-I auxiliary cadence (accompanied by its Roman numeral) in bar 8. This is the point at which it actually appears on the surface of the music. But in the second, deeper-level graph, Schenker shows that the background rhythmic placement of the

tonic goal chord is present from the outset of the progression. In this graph he places both the goal chord and its Roman numeral in measure 1:<sup>30</sup>

EXAMPLE 25: Graphs of (a) Mendelssohn, "Wedding March" from Midsummer's Night Dream, Op. 61, bars 6-13, from Schenker, Free Composition, Fig. 89, 4; (b) and (c) Schubert, Waltz, Op. 9, No. 1, from Schenker, Meisterwerk, Vol. 2, Fig. 12.<sup>31</sup>

The image contains three musical graphs labeled a, b, and c. Graph (a) shows a musical staff with notes and a graph above it with Roman numerals (i, V, II, III, V, i) and a 'Breach' (Brechung) indicated. Graph (b) shows a musical staff with notes and a graph above it with Roman numerals (I, III, VI, II, V, V, I) and a 'Breach' indicated. Graph (c) shows a musical staff with notes and a graph above it with Roman numerals (I, III, V, V, I).

30. Rothstein cites the Schubert example in Rhythm, pp. 84-86, where he classifies it as an "accented auxiliary harmony." I find this term to be misleading; it is not used by Schenker (though perhaps derived from Schenker's comments in Par. 286 of Free Composition -- see page 56 above). This term implies that progressions such as those in the Schubert Waltz are not true auxiliary cadences, but merely auxiliary harmonies (see page 79 below), which is not the case.

31. Heinrich Schenker, Das Meisterwerke in der Musik, 3 Vols. (Munich: Drei Masken Verlag, 1926-30).

Of course, Schenker does not always indicate the deep-level rhythmic structure of the auxiliary cadence in his graphs, for he often gives only a foreground view of an excerpt. In such cases, the goal chord of the auxiliary cadence is placed where it actually appears on the surface of the music and the Roman numeral is placed accordingly under the goal chord. But this common graphing practice does not imply that Schenker felt the background rhythmic placement of the goal chord to coincide with its surface appearance.

For instance, in Schenker's relatively foreground graph of Beethoven's Piano Sonata Op. 10, No. 3, II, he places the goal chord of the III-V-I progression in the local key of A Minor in bar 21, the point at which it actually appears on the surface of the music (Example 26). For visual clarity, the Roman numeral V is placed directly underneath it. This graph, however, merely shows the foreground rhythmic placement of the goal chord of the auxiliary cadence. Schenker's background graph of this passage, on the other hand, shows that he understood the background rhythmic placement of the goal chord to be at the start of the auxiliary cadence (measure 13):<sup>32</sup>

---

32. See also Example 4a above. Rothstein criticizes Schenker's analysis of the Beethoven excerpt shown in Example 26 and claims the positions of the V chords in the upper and lower graphs to be contradictory. While I agree that Schenker's interpretation of this passage is questionable in certain respects, this analysis is no more contradictory than that of the Schubert Waltz shown in Example 25b and c. In Example 26 the lower graph indicates the foreground rhythmic placement of the V chord while the upper graph indicates its background placement.

EXAMPLE 26: Graph of Beethoven, Sonata for Piano, Op. 10, No. 3, in D Major, II, from Schenker, Free Composition, Fig. 39, 2.

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Similarly, in his graph of the second theme of Mozart's K. 279, I, Schenker puts the V chord, with its Roman numeral, in bar 20 (Example 27). This graph does not, however, indicate the background rhythmic placement of the V chord, but merely the appearance of the V chord on the surface of the music. As Schenker's commentary explains, the  $\hat{2}$  of the fundamental line arrives in bar 17.<sup>33</sup> Since V occurs simultaneously with  $\hat{2}$  in the background, one must assume that Schenker understood the goal chord of the auxiliary cadence to be rhythmically present from the very beginning of the progression in bar 17.<sup>34</sup>

33. Free Composition, Par. 313.

34. As Rothstein notes in Rhythm, pp. 115-20, Schenker almost always places the background  $\hat{2}$  over the background V or diatonic II; it would be inconceivable for Schenker to place the  $\hat{2}$  over an auxiliary chord on a background level.

EXAMPLE 27: Graph of Mozart, Sonata in C Major, K. 279, I, from Schenker, Free Composition, Fig. 154, 1.

The image shows a musical score for Mozart's Sonata in C Major, K. 279, I, with Schenkerian graphing. The score is in C major and consists of measures 16 through 31. The graphing includes a melodic line with various ornaments and a harmonic line below it. The harmonic line is labeled with Roman numerals: I (div.) - (C major: VI) II - V - I<sup>5</sup>. The graphing also includes a 'pre' label and a 'post' label, indicating the beginning and end of the phrase.

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The above examples amply reveal Schenker's belief that the auxiliary cadence can function rhythmically as a deep-level delay. Though the chord that establishes the structural logic of the auxiliary cadence does not arrive until the end, and though the tensions of the preceding harmonies remain in effect until this chord is reached, retrospectively the chord can be understood to be rhythmically present in the background from the very outset of the progression.

There are also instances, however, in which auxiliary cadences do function metrically like anticipations. In such cases the deep level rhythmic placement of the goal chord of the auxiliary cadence does coincide with its actual appearance on the surface of the music. See, for instance, Schenker's reading from Five Graphic Analyses of the auxiliary cadence in bars 1 ff. of Chopin's "Revolutionary" Etude (Example 28).<sup>35</sup> As Schenker's deep level graphs of

this passage show, he understood the background placement of the goal chord to be at the same point as its foreground placement. The initial bars of this piece thus form a kind of large-scale upbeat:

EXAMPLE 28: Graphs of Chopin, Etude in C Minor, Op. 10, No. 2 ("Revolutionary"), from Schenker, Five Graphic Analyses.

The image displays a musical score for Chopin's Etude in C Minor, Op. 10, No. 2, with Schenkerian graphs overlaid. The score is divided into four parts: Ursatz, 1. Schicht (2-teilig), 2. Schicht (4-teilig), and 3. Schicht. The Ursatz shows a simple I-V-I progression. The 1. Schicht is a two-part structure. The 2. Schicht is a four-part structure with a Tactus line above it. The 3. Schicht is a more complex structure with a Tactus line and a graph showing the auxiliary cadence. The graphs use various symbols like boxes, lines, and arrows to represent the structural layers and the auxiliary cadence.

In many of the above examples the rhythmic structure of the auxiliary cadence is determined largely by design. For instance, in both the "Revolutionary Etude" (Example 28) and the excerpt from Mozart K. 279 (Example 27) the structural downbeat coincides with the entrance of a main theme. Con-

35. Heinrich Schenker, Five Graphic Analyses (New York: Dover, c. 1969), pp. 54 and 56-57.

sequently, in the Chopin excerpt the auxiliary cadence leads up to the goal chord in the manner of a large-scale upbeat or anticipation. In the Mozart excerpt, however, the auxiliary cadence seems to delay the expected entrance of the V chord in the manner of a large-scale accented neighbor-note harmony.

Auxiliary Cadences May Structure  
A Variety of Progressions

In addition to the ones listed at the top of Free Composition, Fig. 110 (Example 3 above), Schenker's analyses exemplify other possible basic progressions that may structure an auxiliary cadence. For instance, Schenker cites a number of passages based on I6-V-I progressions, referring to them as variants of the III-V-I auxiliary cadences (see the graphs shown in Examples 10 and 20 above).<sup>36</sup> To be sure, a root position tonic often is implied at the outset of progressions which literally begin with a I6. Such is the case, for example, in the opening progression of Schumann's song "Lieb' Liebchen, leg's Händchen," Op. 24, No. 4, and the mandolin version of Mozart's song "Die Zufriedenheit," K. 349. Yet in other cases when a I6 chord begins a progression, it does not necessarily imply a root position tonic. In these instances, a firm tonic opening is avoided, though clearly not to the same extent as in other auxiliary cadences.

---

36. William Rothstein makes similar observations in Rhythm, pp. 126-28.

The VI-V-I is another progression not listed in Free Composition; Fig. 110. Yet such a progression certainly could be considered as a possible structure for an auxiliary cadence, as Schenker demonstrates in the following example:

EXAMPLE 29: Graph of Schubert, Valses nobles, Op. 77, No. 5, from Schenker, Free Composition, Fig. 106, 2d.

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In certain instances, a VI-V-I progression can even support a transference of the fundamental line in the upper voice, as Schenker shows in his graph of Beethoven's String Quartet Op. 59, 2, IV (Example 30b). Though Schenker does not place Roman numerals under this graph, it is clear that the opening chord functions as a VI. The parallel fifths are avoided on the foreground through an unfolding which yields a foreground IV6 chord:

EXAMPLE 30: Beethoven, Quartet for Strings in E Minor, Op. 59, No. 2, IV, (a) graph of bars 1-9; (b) graph of bars 1-29, from Schenker, Free Composition, Fig. 149, 5.

Graph (a) shows the first nine bars of the piece. The notation includes a treble clef, a key signature of one sharp (F#), and a 2/4 time signature. The music consists of a single melodic line with a bass line. The first measure is marked *p* and contains a half note G4 and a half note E5. The second measure is marked *pf* and contains a half note G4 and a half note E5. The third measure is marked *(unf.)* and contains a half note G4 and a half note E5. Below the staff, Roman numerals are written: V - I, V - I, I - (V) - I.

Graph (b) shows the first 29 bars of the piece. The notation includes a treble clef, a key signature of one sharp (F#), and a 2/4 time signature. The music consists of a single melodic line with a bass line. The first measure is marked *p* and contains a half note G4 and a half note E5. The second measure is marked *p* and contains a half note G4 and a half note E5. The third measure is marked *(unf.)* and contains a half note G4 and a half note E5. The fourth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The fifth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The sixth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The seventh measure is marked *(unf.)* and contains a half note G4 and a half note E5. The eighth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The ninth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The tenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The eleventh measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twelfth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The thirteenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The fourteenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The fifteenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The sixteenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The seventeenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The eighteenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The nineteenth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twentieth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-first measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-second measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-third measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-fourth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-fifth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-sixth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-seventh measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-eighth measure is marked *(unf.)* and contains a half note G4 and a half note E5. The twenty-ninth measure is marked *(unf.)* and contains a half note G4 and a half note E5. Below the staff, bar numbers 1 through 8 are written above the notes.

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Another possible auxiliary cadence arises when a progression begins on a non-tonic chord and ends with a dividing dominant. In this instance, a structural tonic does not appear at all within the progression. Schenker cites an example of such a progression in his graph of Schubert's A Minor Piano Sonata, Op. 42, I (Example 31). Though he graphs the work only through bar 237, it is quite apparent that he understands the progression of measure 237-41 to be closed off from both preceding and succeeding harmonies:

EXAMPLE 31: Schubert, Sonata for Piano in A Minor, Op. 42, I; (a) sketch of bars 232-37 from Schenker, Free Composition, Fig. 53, 6 (bracket added); (b) quotation of bars 232-46.

a

$- I$                        $IV \ II$                        $V - \overset{(s)}{\quad} \overset{(s)}{\quad} VI - V,$

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b

238  
 $f$  *molto espress.*  $p$   $pp$   
 $VI -$   
 241  
 $- V,$

I shall refer to such progressions which both open and close off the tonic as "auxiliary half-cadences."

Progressions That Resemble Auxiliary Cadences  
But Do Not Qualify

Progressions Lacking a Dominant

In his discussion of "deceptive beginnings" (see Chapter Four), Schenker cites a number of progressions that begin on non-tonic chords and yet do not use a V chord as the penultimate chord -- progressions such as IV-I, VI-I, and III-I (see pages 178 ff. below). In his graphs of such progressions, Schenker labels the chords that precede the tonic as neighbor-note harmonies. Most probably, he would not regard these harmonies as auxiliary cadences, for he felt the presence of a dominant a necessary ingredient of true harmonic progressions.<sup>37</sup> Certainly such progressions cannot be considered to have derived from an incomplete transference of the fundamental structure. Nevertheless, these progressions do account for the non-tonic openings of a number of compositions and sections of compositions, as in the following example (see also Example 109 below):

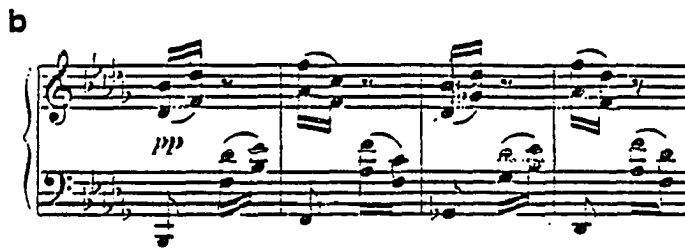
EXAMPLE 32: (a) graph of Brahms, Symphony No. 4 in E Minor, Op. 98, II, bars 1-5, from Schenker, Free Composition, Fig. 119, 15a; (b) Brahms, Sonata for Piano in F Minor, Op. 5, II, bars 53-56.

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(Continued on next page.)

37. See Free Composition, Par. 15 and 108.

(Example 32 continued.)



Progressions That are Not Closed Off

Schenker discusses a number of other progressions and apparent progressions that each simulate an auxiliary cadence but that do not meet the criteria of its definition. In a certain sense these progressions and apparent progressions do open away from the tonic, but either they are only apparently closed off from the preceding harmonies, or they prolong their initial rather than final chord, or both.

Such progressions clearly have a strong kinship with auxiliary cadences. At times even Schenker, who -- as noted above -- uses the term rather loosely, mislabels progressions that do not properly qualify as auxiliary cadences. Such is the case, I believe, in the following examples from Free Composition:

EXAMPLE 33: Graphs from Schenker, Free Composition, Fig. 110, a1 and a2; (a) Haydn, Symphony No. 104 ("London"), I, bars 92-99; (b) Beethoven, Symphony No. 3 in E-flat Major, Op. 55, I, bars 595-631.

m. 76 (92) 81 (97) 82 (98) 88 (99) m. 595 619 621 623 625 627 631

D major: II<sup>b</sup> (=A major: V) V I

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These examples of auxiliary cadences appear quite strange, for neither is in any sense closed off from the tonic that precedes it. Schenker himself evidently agreed that the opening dominant in the Beethoven is connected to the preceding tonic, as his use of beams in the following analysis from Das Meisterwerk demonstrates:

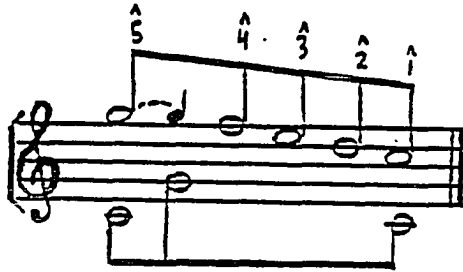
EXAMPLE 34: Beethoven, Symphony No. 3 in E-flat Major, Op. 55, I, bars 551-631 from Schenker, Meisterwerk, Vol. 3, Fig. 26.

(Cada) (Pfm.) (Uberg.) (Untergruppung) (Uberg.)

551 585 631

Schenker probably cites these excerpts as auxiliary cadences because each displays a fundamental line  $\hat{5}-\hat{1}$  that begins its descent only after the V chord is reached in the bass. Ordinarily the arrival of V in the bass coincides with the arrival of  $\hat{2}$  in the upper line, as Schenker shows in Fig. 10 of Free Composition. Schenker does not propose a progression such as seen in Example 35, where the descent from  $\hat{5}-\hat{2}$  of the fundamental line takes place over the V chord, as a possible fundamental structure. Such a progression would seem to form the prototype for the Beethoven and Haydn excerpts of Example 33:

EXAMPLE 35: Possible structure that Schenker does not isolate.



The notion that a  $\hat{5}-\hat{1}$  descent can begin over a V chord is certainly essential to the concept of incomplete transferences of the fundamental structure, and thus deserves mention in a chapter on auxiliary cadences. Still, I feel that it is confusing to classify such passages, which are not closed off from the preceding harmonies, as true auxiliary cadences.

There are a number of other apparent progressions that are not closed off from the harmonies preceding them, but that are similar to auxiliary cadences in other respects. Such apparent progressions arise when a unified progression spans a clear division in the formal design, causing the latter part of the progression to seemingly take on a certain autonomy. To be sure, often a fine line divides true auxiliary cadences from segments of a larger progression which are delineated by factors of design. After all, most auxiliary cadences are themselves established primarily by features of design. Furthermore, the initial chord of most auxiliary cadences have at least a momentarily perceived connection to the preceding harmonies. Though Schenker was quite severe in distinguishing progressions that are closed off from those that are not, there are some borderline instances which are probably best not categorized so strictly.

Still, in certain instances the larger harmonic and formal context demands that a section beginning on a non-tonic chord be understood as part of a larger progression. Such is the case, for instance, in Haydn's Symphony No. 90 in C Major, I, where a I-IV-V6-I progression spans the introduction and the opening measures of the exposition (Example 36). Taken by itself, the theme of bars 16 ff. would form a V6-I auxiliary cadence. But within the context of the composition, it forms part of a larger I-IV-V6-I progression:

EXAMPLE 36: Haydn, Symphony No. 90 in C Major, I, bars 1-20, (a) quotation; and (b) graph.

**a**

**b**

Adagio

Allegro assai

(Continued on next page)

## (Example 36, continued)

b

1      11    15    17  
Introduction | Exposition

The V6 chord in bar 16 of this excerpt does not merely "relate to the forthcoming I," but it is harmonically connected to the chords that precede it. Indeed, if the first theme of this movement did not begin with a dominant chord, the harmonies of bars 11-13 would be meaningless. Contrastingly, if a true auxiliary were replaced by a progression beginning on the tonic which it prolongs, the preceding harmonies would still make perfect sense (Compare, for instance, Example 36 with Example 8 above).

Similar instances often arise in recapitulations that begin on non-tonic chords. For instance, if the recapitulation of Beethoven's Piano Sonata Op. 10, No. 2, I, were taken out of context, it might seem to begin with an auxiliary cadence (Example 37). Within the broader harmonic context of the piece, however, it becomes clear that the opening harmonies of the recapitulation form part of a larger progres-

sion. Bars 118 ff. of this piece are therefore structured not by an true auxiliary cadence, but by a simulated auxiliary cadence:

EXAMPLE 37: Graph of Beethoven, Sonata for Piano in F Major, Op. 10, No. 2, I, bars 65-135, from Schenker, "Organic Structure in Sonata Form," Meisterwerk, II, Fig. 5.

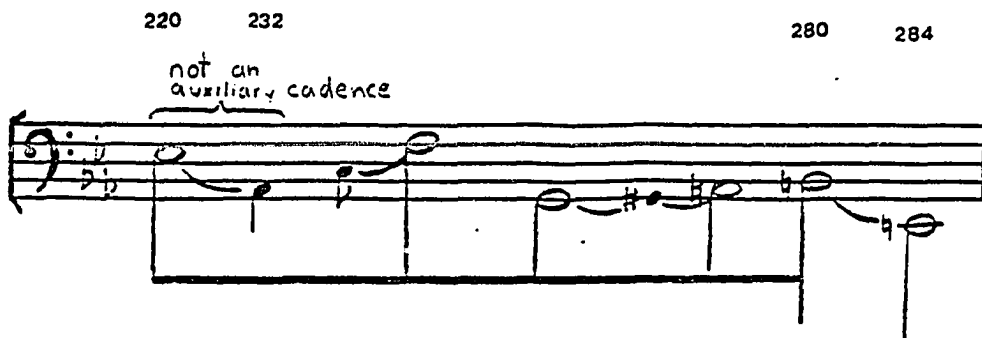
The graph shows a musical staff with notes and rests. Above the staff, the word "Development" is written between vertical lines at bar 67 and bar 118. To the right of bar 118, the word "Recapitulation" is written. A large, hand-drawn oval encloses the entire musical passage from bar 67 to the end of the staff. Inside this oval, a dotted line indicates a "4th prog." (fourth progression) starting around bar 100. Below the staff, a chord progression is indicated: "F maj. - V - (Nba) - V". There are also some numerical annotations: "(2-12)" and "-10 2-5 2)".

### Progressions That Prolong Their First Chord

Another construction that resembles an auxiliary cadence occurs in progressions where the first chord, rather than the final chord, is prolonged. Such is the case in bars 220-32 of the "Eroica" Symphony (Example 38). One might at first read the E-flat in measure 220 as subservient to the A-flat in 232, thus forming an auxiliary cadence. Further examination, however, proves exactly the opposite. On a deeper level, the E-flat progresses to the F of bar 236, and the in-

tervening A-flat is subordinate.<sup>38</sup> Since the first chord is the higher ranking of the two, the Eb-Ab progression does not constitute an auxiliary cadence:

EXAMPLE 38: Graph of bass line in 3, Beethoven, Symphony No. 3 in E-flat Major, Op. 55 ("Eroica"), I, bars 220-84, after Schenker, Meisterwerk, III, Fig. 22.



Bars 40-47 of Beethoven's "Pastorale" Sonata, I, present a similar situation. Schenker cites this excerpt in his discussion on auxiliary cadences, but is careful to note that these progressions,

worked out in fourth progressions, lay out a path to the fifths above I and V, namely, A and E; that D and A are only tones of the arpeggiation I-V is determined by the middleground (Fig. 103, 5b [shown in Example 39a on next page]).<sup>39</sup>

38. It is not uncommon for a dominant to function locally on a higher level than the tonic to which it progresses; see discussion in Edward Aldwell and Carl Schachter, Harmony and Voice Leading, Vol. I (New York: Harcourt Brace Jovanovich, 1978), pp. 104-5.

39. Free Composition, Par. 245.

EXAMPLE 39: Graphs of Beethoven, Sonata for Piano in D Major, Op. 26, ("Pastorale"), I, bars 40 ff., from Schenker, Free Composition, (a) Fig. 103, 5b; (b) Fig. 110, e1.

a

D major: I (5 - - - 6 - - - 5)  
 (= IV' - - - - - V - I)

b

D major: I (div.)  
 (=A major: II<sup>6</sup> - - - - - V - I)(=E maj.: II<sup>6</sup> - - - - - V - I)

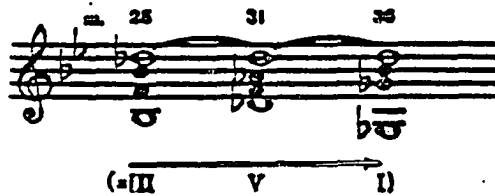
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To be sure, one does momentarily interpret these progressions as auxiliary cadences in which the final chord of each descending fourth is of the highest structural importance. But in the context of the larger structure, these passages are reinterpreted. It is the initial chord of each fourth progression that is prolonged, and which is, therefore, of highest rank. Schenker, then, is not following his own guidelines in referring to them as auxiliary cadences, because they they do not point "only to the forthcoming I," nor are they "'closed off' from what precedes."

Another case which may be cited in this connection involves Schenker's analysis of a passage from Brahms's "Han-

del Variations." In Free Composition, Fig. 110, Schenker interprets measures 25-36 of the closing fugue to be structured by an auxiliary cadence which leads to G-flat (see Example 40a). Had the piece ended in bar 36, this reading might indeed have been accurate. But the harmonic motion of the piece, taken as a whole, merely passes through the key of G-flat, which may be seen as just one of a succession of local keys. In retrospect, the G-flat chord is not understood to be a large-scale tonal goal, and therefore bars 25-36 are not truly governed by an auxiliary cadence. Schenker clarifies this point in an earlier, more accurate graph of this passage from Tonwille:<sup>40</sup>

EXAMPLE 40: Graphs of Brahms, Fugue from "Variations on a Theme by Handel," Op. 24, (a) bars 25-36, from Schenker, Free Composition, Fig. 110, d1; (b) bars 1-48, from Schenker, Tonwille 8-9 (1924), Fig. 20.



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(Continued on next page.)

40. Heinrich Schenker, Der Tonwille, 10 issues (Vienna: A. Gutmann Verlag, 1921-24).

(Example 40, continued.)

b

The musical score consists of six staves. The first staff is labeled 'T 25' and contains a treble clef, a key signature of one flat, and a common time signature. It begins with a whole note chord. The second staff is labeled '10' and contains a treble clef, a key signature of one flat, and a common time signature. It begins with a whole note chord. The third staff is labeled '15' and contains a treble clef, a key signature of one flat, and a common time signature. It begins with a whole note chord. The fourth staff is labeled '20' and contains a treble clef, a key signature of one flat, and a common time signature. It begins with a whole note chord. The fifth staff is labeled '25' and contains a treble clef, a key signature of one flat, and a common time signature. It begins with a whole note chord. The sixth staff is labeled '30' and contains a treble clef, a key signature of one flat, and a common time signature. It begins with a whole note chord. The score includes various musical notations such as notes, rests, and dynamic markings. Measure numbers 25, 30, 35, 40, and 45 are indicated at the top of the staves. The score is annotated with various symbols and lines, including a large oval encompassing the entire score and several smaller ovals highlighting specific sections.

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Various Progressions Involving  
Applied Chords

A key that is tonicized is often preceded by a progression that starts with a chord that is non-tonic in relation to the local, tonicized key. Clearly, such tonicizations have a kinship with auxiliary cadences. Schenker himself refers to applied chords with the rather loose term "auxiliary harmonies."<sup>41</sup> Yet he is careful to show that auxiliary harmonies are often not closed off from the preceding harmonies, and therefore do not form part of true auxiliary cadences:

EXAMPLE 41: Graphs from Schenker, Free Composition, (a) Schubert, "Wanderers Nachtlied," Op. 4, No. 3, Fig. 37a; (b) Beethoven, Sonata for Piano in G Major, Op. 14, No. 2, I, bars 1-122, Fig. 47, 2; (c) Brahms Waltz, Op. 39, No. 4, bars 1-8, Fig. 96, 4; (d) Mozart, Abduction from the Seraglio, Overture, Andante, bars 1-5, Fig. 100e.

a

(accent)

(10 - -10 - -10)

I - II - V - I - IV - (II<sup>b</sup>) - V - (I - V) - I

\*

(Continued on next page.)

41. Free Composition, Par. 313. In this regard Schenker's graph of Beethoven's Op. 10, No. 1, I in Fig. 154, 3 should be mentioned. In Par. 313 he compares this movement to Beethoven's "Appassionata," Op. 57, I. (Both these movements are minor-key sonata form movements in which there is a

(Example 41 continued.)

**b**

Musical score for Example 41 (continued), section b. The score shows a melodic line with various ornaments and dynamics. Above the staff, measures 1, 9, 13, 19, 20, 28, 31, and 34 are marked. The score includes annotations like "accent# (3-prg.)", "(rg-ov.)", "Mgd. Fgd.", "(Exp.)", and "Dev.-". Below the staff, Schenkerian symbols are provided: I, (5) 6-6, 6, (III) 5-(6), 5-(6), 5-(6), -II F#-, V#, and (8-57). A large asterisk is centered below the staff.

**c**

Musical score for Example 41 (continued), section c. The score shows a piano accompaniment with two staves. Annotations include "(leads)", "(mbd. inv. ve)", and "3-". Below the staff, Schenkerian symbols are provided: I, 5-6 6-6-6-6-6, II#, and V #3. A large asterisk is centered below the staff.

**d**

Musical score for Example 41 (continued), section d. The score shows a single melodic line with a C minor chord indicated below. Annotations include "c minor: I", "II (f3)", and "V". A large asterisk is centered below the staff.

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large scale modulation to III.) In this paragraph Schenker implies that the modulation in the "Appassionata" takes place without "auxiliary harmonies." This reflects the fact that within the large scale I- $\flat$ VII-III motion which structures the exposition the I moves directly to the  $\flat$ VII (V of III); his graph of this excerpt in Fig. 154, 4 leaves no doubt that he felt the I and  $\flat$ VII are not closed off from one another. In Op. 10, No. 1, however, the modulation to the mediant is more circuitous, and Schenker graphs this passage as though it were an auxiliary cadence. Yet curiously, Schenker does not interpret the modulation as beginning in bar 32, as one might expect, but in bar 30, the last measure of the first theme section. In a deeper sense, the C minor chord of bar 30 functions as a structural tonic on the same level as tonic chord of bar 1, and thus this transition could not truly structured by an auxiliary cadence.

A voice-leading connection often exists between a secondary dominant and its preceding chord even in the typical I-II#-V progression, the progression which most often introduces a modulation to the dominant key. In the following examples and many others like it, Schenker clearly shows the I and II# chord to be connected (particularly note his use of slurs and dashes which connect the the Roman numerals underneath the graphs):<sup>42</sup>

EXAMPLE 42: Graphs from Schenker, (a) Beethoven, Sonata for Cello and Piano in A Major, Op. 69, I, bars 1-7, Free Composition, Fig. 109e, 2; (b) Beethoven, Sonata Op. 27, No. 2, III, Free Composition, Fig. 40, 4; (c) Chopin, Etude in F Major, Op. 10, No. 8, bars 1-14, Five Graphic Analyses; (d) *ibid.*, bars 10-11, from Free Composition, Fig. 54, 1.

a

b

\*(Continued on next page.)

42. Significantly, the graph shown in Example 42a is included within Schenker's discussion of (complete) transferences of the fundamental structure in Par. 243. See also Schenker's various graphs of I-#IV-V progressions; in almost every case Schenker is careful to show the #IV (VII of V) connected to the preceding tonic chord.

## (Example 42, continued)

c

(Nbn)

(Su A, T, A)

M:q. 2-

V:q. 2-

10-9-8  
6-5  
I 4-3

7

\*

d

m. 10

11

5-

(3)

I - II

\*

Examples from *Free Composition*, copyright© 1979 by Longman Inc. Used by permission.

Such graphs contrast greatly with the graphs of similar modulations which actually do involve auxiliary cadences. For instance, compare the graphs in Example 42 with those in Example 4. In Example 4, the II $\sharp$ -V motions are shown to be closed-off from the preceding harmonies, thus forming V-I auxiliary cadences in the dominant key.<sup>43</sup> Unlike the ones

43. To be sure, Schenker's graphs do not always clarify the closed-off nature auxiliary cadences so distinctly. In Schenker's graph of the Handel excerpt shown in Example 18 above, for instance, there are no symbols visually separating the auxiliary cadence of bars 6-14 from the preceding I chord. But neither are there any dashes or slurs connecting the initial tonic with the II $\sharp$  chord of bar 6, as

in Example 42, the II $\sharp$ -V progressions in Example 4 are clearly separated from the preceding harmonies by factors of the formal design.

In cases where the I and II $\sharp$  are connected, the I chord may be said to lead to the II $\sharp$  similarly to the way a IV chord leads to a V chord in a typical I-IV-V progression. Schenker himself implies this point in Par. 230 of Free Composition. Noting that "the nature of the IV and the II is determined by their significance within the cadence of the prolonged fundamental structure," he gives the following (Example 43) as an example of "an interpolated II $\sharp$ <sub>3</sub><sup>8</sup> or II $\sharp$ <sub>3</sub><sup>7</sup>." The Roman numerals and dashes in parentheses under the graph of the Bach Largo reveal that Schenker regards the I-II $\sharp$ <sub>3</sub><sup>7</sup>-V progression in C major as equivalent to a foreground IV-V-I progression in G minor:

---

there would have been had the progression not been a true auxiliary cadence.

As far as I know, only once, in his graph of an excerpt from Beethoven's Op. 26 in Fig. 71, 2 of Free Composition, does Schenker visually connect a progression which he refers to as an auxiliary cadence (see Par.191) to a preceding harmony. Schenker himself contradicts this reading, however, in his Fig. 85: whereas in Fig. 71, 2 he implies the A-flat chords of B and A' sections to be on the same structural levels, in Fig. 85 he shows the A-flat of the B section to be subordinate, with the entire progression of this middle section functioning as an auxiliary cadence in to E-flat.

EXAMPLE 43: Graphs from Schenker, *Free Composition*, Fig. 132, 3a, (a) abstract I-II<sup>#</sup>-V progression; (b) JS Bach, Sonata for Solo Violin No. 3 in C Major, BWV 1003, Largo, bars 8-10.

-I II<sup>#3</sup> V (=g min.: (=IV V - I)

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Schenker notes analogies between I-II<sup>#</sup>-V and IV-V-I progressions in other graphs as well:

EXAMPLE 44: Graphs from Schenker, (a) Mozart Symphony in G Minor, K. 550, III, bars 43-60, from *Meisterwerk II*, Anhang X to page 143; (b) Beethoven, Symphony No. 3 in E-flat Major, Op. 44 55, I, bars 1-57, from Schenker, *Meisterwerk*, III, Fig. 3.

\*  
(Continued on next page)

44. See comments by Schenker regarding this passage in *Meisterwerk*, Vol. III, page 32.

(Example 44, continued.)

The musical score shows two staves, treble and bass clef. Above the treble staff, there are two boxed annotations: the first contains '(Hbn)' and the second contains '(Hbn)'. Above the first box, there is a trill symbol '3̂-' with '(Terzzug)' below it. Above the second box, there is a trill symbol '-(2)̂-2̂'. Below the treble staff, there are three annotations: '(1. Ged.)' with an arrow pointing to a note, '(Md.)' with an arrow pointing to a note, and '(2. Ged.)' with an arrow pointing to a note. Below the bass staff, there is a chord diagram for 'Es dur: I' followed by a sequence of notes and a star symbol.

The above graphs indicate that such II#-V motions may not be regarded as progressions separate from the larger I-II#-V progression. As Schenker implies, from the perspective of the dominant key, the preceding I-II#-V (of the main, tonic key) could retrospectively be viewed as a IV-V-I auxiliary cadence. But from a more inclusive perspective (one that takes in the whole piece), one sees that it is the initial chord of the I-II#-V which is prolonged, not the final chord, as in a true auxiliary cadence.

Unlike auxiliary cadences, the progressions discussed in this section (which are not closed-off or which prolong their first chord) do not form an analogy to a non-tonic opening of a composition. Yet they are like auxiliary cadences in that they each at least seemingly de-emphasize an opening tonic and form a vital part of the wide scope of possibilities available in tonal music.

MOTIVIC INTEGRATION OF AUXILIARY CADENCES

Though the tonal logic of an auxiliary cadence ultimately rests on the function of its final chord in the middle-ground voice-leading structure, the great masters were often careful as well to work the auxiliary cadences into the motivic fabric of a composition. They did this by relating the auxiliary cadence to some melodic or harmonic figure appearing elsewhere in the piece, either before it, after it, or both.

In Mozart's "Linz" Symphony, I, for instance, the second theme, which is structured by an auxiliary cadence, embodies a clever variation of the first theme's rising sixth:

EXAMPLE 45: Mozart, Symphony in C Major, K. 425 ("Linz"), I, (a) bars 72-79; and (b) bars 20-23 (see Example 1b above).

a

2<sup>nd</sup> theme: E c

f flute

pl winds

strings

G: VI  
(E: I I I I I) II V I

(Continued on next page.)

(Example 45, continued.)

b

1st theme:

E c

strings

C: I F I

Likewise, motivic elements of the auxiliary cadence that begins the second theme of Mozart's Violin Sonata K. 378 (bars 30 ff.) are echoed by a later passage (bar 53 ff.):

EXAMPLE 46: Graphs and quotations of Mozart, Sonata for Violin and Piano in B-flat Major, K. 378, I (a) bars 30-33; (b) bars 51-65.

a

30

F - G - B $\flat$  - F

F → II - V - I

(Continued on next page.)

## (Example 46, continued.)

b

47

52

56

47, 52

56

I II Y I

And the sub-surface motive, G#-A-F#-G, which occurs in the auxiliary cadence at the beginning of the second theme of Mozart's Piano Sonata, K. 279, I, relates to a passage which precedes it in the first theme section as well as to passages which succeed it:

EXAMPLE 47: Excerpts from Mozart, Sonata for Piano in C Major, K. 279, I.

a

7

$G\# - A,$   $F\# - G$

b

17

Second theme

$G\# - A,$   $F\# - G$

c

22

$G\# - A,$   $F\# - G$

For a detailed example of how a master composer is able to integrate auxiliary cadences motivically into a composition, let us take a look at the first movement of Haydn's "Surprise" Symphony. Many sections of this work open with auxiliary cadences. One of the few sections that does not is the introduction. During this section, however, a conflict between the pitches F-natural and F-sharp is introduced, relating to the auxiliary cadences which come later in the movement:

EXAMPLE 48: Graph of Haydn, Symphony No. 94 in G Major ("Surprise"), I, bars 1-17.

The image shows a musical score for the first 17 bars of Haydn's Symphony No. 94, I. The score is in G major and 4/4 time. It consists of two staves: a treble staff and a bass staff. A dashed line connects the first and tenth measures, indicating a large upbeat. The bass staff has a dashed line connecting the notes F4 and F#4, with a horizontal line between them. Below the staff, the Roman numerals G: I and V are written.

The introduction is followed by a lively first theme which opens with an auxiliary cadence functioning as a large upbeat (see Examples 7 and 17 above). The stark contrast of the sombre introduction with the lively first theme is a bit jolting. The conflicting natures of these two sections are reconciled, however, at the beginning of the section starting in bar 54. Bars 54 ff. paraphrase bars 18 ff. of the first theme while being colored by the F<sub>4</sub>-F<sub>#</sub> conflict of the introduction; note that the progression of measures 54 ff. is structured by an auxiliary cadence, composed so that the theme initially sounds as if it were in the key of F Major:

EXAMPLE 49: Graph of Haydn, Symphony No. 94 in G Major ("Surprise"), I, bars 1-66.

The image shows a musical score for Example 49, which is a graph of Haydn's Symphony No. 94 in G Major, first movement, bars 1-66. The score is presented in two staves: a treble clef staff and a bass clef staff. Above the treble clef staff, a graph shows a melodic contour with a peak at bar 53 (marked with a ^ and 3) and a trough at bar 66 (marked with a ^ and 2). The bass line includes chord symbols: I, II#, (III 5-6), IV, V, and I. The treble clef has notes with accidentals: F natural, F sharp, and F sharp. The bass clef has notes with accidentals: F natural, F sharp, and F sharp.

The harmonic structure of bars 54-66 may be said to return to shape portions of the development section (particularly note the motivic  $F\flat$ - $F\sharp$  conflict, shown in Example 50 d-f, and the bass line of bars 125-31). Any sense of a strong opening tonic is absent in the development, for all of the keys tonicized in this section are approached from a non-tonic chord:<sup>45</sup>

45. The keys of C (bars 108-14) and D (123-33) are approached through auxiliary cadences proper. The keys of F in bars 115-22 and B in 141 ff. are approached through V-I progressions in which the initial V is prolonged (this is especially evident for the passage in the key of F, in which the I is but barely touched upon). No local key is established in the thrilling progression of bars 134-140; the logic of this passage can only be understood from the deeper levels. One of the main elements which underlines the progressions is the drive of the pitch F-natural (E-sharp) to move up to F-sharp, thus reiterating the most essential motive of the movement (see Example 50d-f).

EXAMPLE 50: Graphs of Haydn, Symphony No. 94 in G Major ("Surprise"), I, (a)-(c) entire piece, detailed for bars 108-58; (d)-(e) bars 134-41.

Development Recapitulation

**a**

**b**

**c**

108 125 131 148 155 158

see mm. 56-59

(Continued on next page.)

(Example 50, continued.)

d

A - B $\flat$  (=A $\sharp$ ) - B $\sharp$  - A $\sharp$

e

(F = E $\sharp$ )

Haydn handles the return to the opening theme at the outset of the recapitulation with particular brilliance. Since the first theme starts on an auxiliary cadence, the recapitulation cannot easily be introduced by means of dominant preparation, as would be typical. Instead, the opening of the recapitulation connects the harmonies of the development, forming part of a larger progression and creating a fascinating conflict between the harmonic structure and formal design.<sup>46</sup>

Example 51 (on the following page) shows a graph of the entire movement:

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46. In a manner similar to the first movement of Beethoven's F Major Sonata, Op. 10, No. 2, I; see discussion above, page 74.

EXAMPLE 51: Graph of Haydn, Symphony No. 94 in G Major ("Surprise"), I, entire movement.

The image displays a musical score for the first movement of Haydn's Symphony No. 94 in G Major, with a graph overlay indicating chord changes. The score is divided into measures 1-21, 21-66, 66-148, and 148-158. The graph uses Roman numerals (I, II, III, IV, V) to indicate chord changes, with some chords marked with 'x' or 'y'.

Measure numbers are indicated on the left side of the score: 1, 21, 66, 148, and 158. The graph shows chord changes corresponding to the musical notation, with Roman numerals placed below the notes. The key signature is G major (one sharp).

What mastery of tonality and form is seen here! By starting each new key area with a non-tonic chord, Haydn prevents structural segmentation. He nevertheless maintains cohesion through a logical background structure and through brilliant motivic development in which a few essential ideas blossom to encompass large sections.

It is perhaps impossible to trace the artistic origins of the forces behind examples such as this. Were the auxiliary cadences generated by the composer's wish to create a desired motivic parallelism? Or were the motivic parallelisms generated from his need to structure a desired auxiliary cadence? In the art of the masters the forces of variety and unity work in such perfect balance that often their origins are forever hidden.

The skill of a Haydn is of course not to be found in the compositions of every composer. The way in which a lesser composer can mishandle auxiliary cadences may be seen in Dittersdorf's String Quartet in E-flat Major, I, K. 195 a charming, though decidedly third-rate, work.<sup>47</sup>

In this quartet the theme of both the first and second theme groups (bars 1-13 and 23-28) is based on a progression which might well be considered the antithesis of an auxiliary cadence. The theme firmly establishes its opening tonic, but does little else. While this theme might work nicely as

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47. See Appendix III, pages 228 ff.

a closing theme, it is inappropriate for a first, much less a second, theme, for it provides no impetus for continuation and holds no promise for future development (a great difference from the first and second themes of the Haydn work). Dittersdorf's theme merely creates harmonic stagnation in the beginning and in the middle of the exposition.

The only auxiliary cadences found in this movement occur in the middle of the second theme group of the exposition (bars 47-59) and the analogous passage of the recapitulation (bars 134-48). Because they are totally unconnected to the main themes of the movement, these harmonically shocking auxiliary cadences unfortunately aggravate rather than relieve the structural segmentation of the movement.<sup>48</sup> They relate only to the equally shocking transition sections (19-22 and 108-11) and development section (74-89), with which they share the motive B $\flat$ -B $\sharp$ -C and E $\flat$ -E $\sharp$ -F. In the "Surprise" Symphony, the harmonically daring sections are introduced gradually (climaxing in the breathtaking progression of bars 134 ff.). Furthermore, they are motivically related to the sections with more typical harmonic progressions. In Dittersdorf's String Quartet, however, the harmonically daring sections are introduced too abruptly and are not

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48. Note the unwitting similarity to the first movement of Mozart's "Musical Joke," K. 522, which, like the Dittersdorf, overemphasizes the opening tonic of almost every section. Likewise, the only auxiliary cadences in this movement (in bars 37 ff.) are so unrelated to the rest of the movement that (as in the Dittersdorf) they only serve to aggravate rather than relieve the structural segmentation.

motivically related to the harmonically static sections. A two-tiered work thus results, in which harmonically chaotic phrases and harmonically dull phrases alternate with little interaction.

The weakest part of the Dittersdorf movement is the opening of its recapitulation (bars 90 ff.). Whereas the main theme proved to be irritatingly stagnant in the exposition, it sounds absurd after the wild harmonic progressions of the development section. Just as in an amateurish novel in which the characters are able to endure all kinds of experiences and tribulations without undergoing any internal change, so in this work the theme continues undisturbed, oblivious to the musical tempests which surround it. The only substantial difference between the main theme as it appears in the recapitulation and in the exposition is that the later statement is transposed to the key of IV. In contrast to the Haydn work, the off-tonic recapitulation does not encourage tonal fluidity, for the theme is too heavy-handed. Rather, it merely distorts the structure by over-emphasizing the subdominant key.<sup>49</sup>

As the Dittersdorf example reveals, either the over-emphasis on opening tonics and local tonics or the misuse of

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49. To be fair, one must note that this quartet does have a number of commendable aspects. For instance, its textures are quite admirable; the closing theme (bars 40-48 and 128-35) in which a I6 chord is suspensefully prolonged, is quite exciting; and the chromatic progressions of the coda (116 ff.), by this time in the movement worked into the music, are convincing.

auxiliary cadences and similar progressions may impede the harmonic momentum of a work and disrupt its structural cohesion. In the works of the great masters, however, auxiliary cadences generate momentum and fluidity, without disrupting the underlying structure.

## CHAPTER TWO

### AUXILIARY CADENCE OPENINGS

#### AUXILIARY CADENCE OPENINGS IN INTRODUCTIONS

##### Types of Auxiliary Cadence Introductions

As noted in the previous chapter, auxiliary cadences can appear at the very outset of a work or movement. Indeed, the poetic effects of an auxiliary cadence are in many ways most striking when the progression appears at the beginning of a composition, before the tonic chord has been stated. By causing a piece to start on an unstable harmony, an auxiliary cadence opening can give the impression that the beginning of a work is a kind of prologue leading up to the main action (as in Chopin's Valse brillante in A-flat, Op. 34, No. 1), that it begins in medias res (as in Chopin's Prelude in D Major, Op. 28, No. 5), or even that it begins in the middle of nowhere (as in Beethoven's String Quartet Op. 59, No. 3, I).

These effects are most natural in introductory sections (whether they be formal introductions or a few introductory

bars), which can quite appropriately give the impression of leading up to a true beginning.<sup>1</sup> Not surprisingly, the repertoire includes a number of introductions which are structured by auxiliary cadences. Auxiliary cadence introductions can take many forms. In perhaps its simplest manifestation, an auxiliary cadence introduction consists of a simple prolongation of a V chord, as in the last movement of Beethoven's First Symphony. And in more complex examples, the auxiliary cadence introduction can be structured by an elaborate prolongation of a V chord or by a II-V or similar progression, as in the following examples cited by Schenker:

EXAMPLE 52: (a) Graph of Beethoven, Leonore Overture, No. 3, from Schenker, Free Composition, Fig. 62, 2 (excerpt); (b) Chopin, Mazurka in C-sharp Minor, Op. 30, No. 4, quotation of bars 1-5 and graph from Schenker, Free Composition, Fig. 53, 3 (bracket added)

a

The image shows a musical score for Beethoven's Leonore Overture, No. 3, with Schenkerian graphing. The score consists of two staves. The upper staff contains the main melodic line, and the lower staff contains the bass line. The graphing includes various lines and brackets indicating structural relationships between notes and chords. A 'Cadenza V' line is visible at the bottom of the graph. The tempo marking 'Allegro' is present on the right side of the score.

(Continued on next page.)

1. I shall use the term "introduction" in this section to refer both to formal introductions as well as other pre-thematic statements, such as is seen in Haydn's Op. 33 No. 5.

(Example 52, continued.)

**b** Allegretto

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Normally the auxiliary cadence introduction will lead to a tonic that comes at the beginning of the first theme, as in the above examples. A more unusual and original procedure occurs when the auxiliary cadence introduction leads to a theme which itself starts off the tonic. In such instances, the auxiliary cadence extends into the first theme section:

EXAMPLE 53: Schumann, Quartet for Strings in A Major, Op. 41, No. 3, I, bars 1-11, (a) quotation; (b) graph from Schenker, Free Composition, Fig. 110, 4.

a

Andante espressivo.  $\text{♩} = 66$ .

Allegro molto moderato.  $\text{♩} = 66$ .

b

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In other cases the tonic will arrive by the end of the auxiliary cadence introduction, before the statement of the first theme:

EXAMPLE 54: Schubert, "Lied der Mignon," Op. 62, No. 3, bars 1-7.

The musical score shows the first seven bars of Schubert's "Lied der Mignon". The first four bars are labeled "Introduction" and marked "Nicht zu langsam." The last three bars are labeled "Theme" and contain the lyrics "So laßt mich schei-nen, bis ich ver-de:". The score is written for voice and piano, with a treble clef and a key signature of one flat (B-flat major/D minor). Roman numerals 'V' and 'I' are placed below the piano accompaniment in the introduction and theme sections, respectively.

#### Thematic and Motivic Integration of Auxiliary Cadence Introductions

Although it may give the impression of being merely an unimportant prelude to the main action, an auxiliary cadence introduction must ultimately be understood to form a proper and logical beginning if the work which it heads is to be considered successful. Frequently thematic or motivic material from such an introduction returns later in the piece, thus binding the introduction to the body of the composition. In the last chapter it was noted that auxiliary cadences are often structurally integrated by means of motivic connections. Such connections are all the more vital when the auxiliary cadence appears at the start of a composition, for they allow a seemingly arbitrary beginning to be understood as laying the groundwork for the music which follows.

Often an auxiliary cadence introduction will be quoted later in the composition. Such quotations differ from quotations of introductions that begin on the tonic (as in the first movement of Beethoven's "Pathétique" Sonata), because upon their return the harmonies of an auxiliary cadence introduction can be incorporated into the context of a larger, complete harmonic progression. By such means, a composer can take a progression that lacks a stable point of departure and demonstrate its logic, as it were, by actually placing it in the middle of a larger progression. An example of this may be seen in Chopin's "Revolutionary" Etude, where the beginning of the auxiliary cadence introduction leads into the reprise (see the brackets in the following example):

EXAMPLE 55: Graph of Chopin, Etude in C Minor, Op. 10, No. 12 ("Revolutionary"), from Schenker, Free Composition, Fig. 12.

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An auxiliary cadence introduction can also return in a transformed state, as in the fourth movement of Beethoven's "Eroica" Symphony. This movement starts out as though it were in G Minor, with a bass motion from D to G. The D-G motion is quickly absorbed, however, within a larger prolongation of the V of E-flat which resolves to I at the en-

trance of the theme in bar 12 (Example 56a). Though this introduction might initially seem incidental, it is not forgotten, for it is recalled in bars 417 ff., right before the coda. Here, the D-G bass motion is greatly expanded and functions within a different prolongation:

EXAMPLE 56: Beethoven, Symphony No. 3 in E-flat Major, Op. 55 ("Eroica"), IV, after Schenker, *Meisterwerk*, Vol. 3, *Bild 1* (a) bars 1-11; (b) bars 420-35.

Example 56 consists of two musical excerpts, (a) and (b), each with a Schenkerian analysis below it. Excerpt (a) shows the first 11 bars of the piece. The analysis below it is labeled 'E♭: ( ) I¹', indicating a primary prolongation of the tonic triad. Excerpt (b) shows bars 420-35. The analysis below it is labeled 'E♭: III V', indicating a secondary prolongation of the tonic triad. Both excerpts feature a prominent D-G bass motion in the lower voice.

And in Haydn's String Quartet Op. 33, No. 5, the auxiliary cadence introduction is quoted a number of times within the course of the work, each time within the context of a larger I-V-I progression. Sometimes it is quoted almost literally (as in bars 9-10) and other times it is transformed (as in

bars 89-93). The following example shows just a sampling of its recurrences:

EXAMPLE 57: Haydn, Quartet for Strings in G Major, Op. 33, No. 5, excerpts.

a

1

*Vivace assai*

Violino I

Violino II

Viola

Violoncello

b

3

c

89

d

297

Elements from an auxiliary cadence introduction may return throughout a composition in the form of motivic fragments. In Schumann's String Quartet No. 3, I, for instance, the opening auxiliary cadence introduction starts with the interval of a fifth (see the F#-B in the first violin in Example 53 above) which becomes a central motive throughout the movement.<sup>2</sup> Likewise, the auxiliary cadence introduction of Chopin's "Revolutionary" Etude opens with a G-A $\flat$ -G motive which is reiterated throughout the composition, as Schenker shows in his sketches of this movement in Five Graphic Analyses (large scale instances of the G-A $\flat$ -G motive are beamed, smaller ones are indicated with brackets):

---

2. Schenker comments on the opening of this quartet in Free Composition, Par. 245, noting that "the Introduction shows first a descending third-progression as a unity above an essentially stationary bass tone. In the Allegro, however, the bass proceeds with II-V-I; thus the Introduction is, so to speak, connected, as if it were a prophecy, with the main section by the auxiliary cadence."

EXAMPLE 58: Excerpt from graph of Chopin, Etude in C Minor, Op. 10, No. 12 ("Revolutionary"), from Schenker, Five Graphic Analyses (see also Example 55 above).

The image displays two staves of musical notation for Chopin's Etude in C Minor, Op. 10, No. 12, with Schenkerian analysis. The top staff is labeled "Takter" and the bottom staff is labeled "Mittelgrunds".

**Takter Staff:**

- Annotations include "(Brechung h<sub>2</sub>-d<sub>2</sub>-f<sub>2</sub>)" and "(Abbau) der silber".
- Structural levels are marked with Roman numerals I, II, III, IV, V.
- A "K.R." (Kleinreduktion) is indicated at the bottom right.

**Mittelgrunds Staff:**

- Annotations include "(Abbau) - (Abbau) -" and "(1. Quartung C<sub>2</sub>-B<sub>2</sub>-A<sub>2</sub>-G<sub>2</sub>)".
- Structural levels are marked with Roman numerals I, II, III, IV, V.
- Additional annotations include "-(Teller)-" and "-II-".

For a detailed look at how an auxiliary cadence introduction can set the stage for the ensuing composition, let us examine Chopin's Polonaise in A-flat, Op. 53. In this work the introduction consists of a prolongation of the V chord. This passage might initially seem rather superficial, for it is not quoted later in the composition.<sup>3</sup> Yet the introduction presents a central idea of the composition by contrasting motions from F-flat to E-flat with motions from F-flat (and its enharmonic E-natural) to F:

EXAMPLE 59: Chopin, Polonaise in A-flat Major, Op. 53, bars 1-16, quotation and graph.

Maestoso.

a

5

10

cresc.

(Continued on next page.)

3. The descending groups of sixteenth notes, however, do prefigure the bass of the middle section.

(Example 59, continued.)

15

b

(V - )I

The dual tendency of the pitch class  $F\flat - E\sharp$  continues to be felt throughout the piece, which is permeated by  $E\sharp - F$  motions and  $F\flat (E\sharp) - E\flat$  (see the following excerpts:

EXAMPLE 60: Chopin, Polonaise in A-flat Major, Op. 53, (a) bars 51-52; and (b) bars 63-65.

a

E $\sharp$       E $\flat$

(Continued on next page.)

(Example 60, continued.)

b

$E_b$  - (F) -  $E_b$

In the middle section of bars 81-154, there is even a modulation to the key of F-flat (enharmonically respelled as E-natural for convenience). This prepares for a huge expansion of the  $F_b$ - $E_b$  motive, for in this section there are two modulations to the key of E-flat (respelled as D-sharp). In the first modulation, the E-flat functions as a VII of F-flat, but in the second modulation it functions as the background V of A-flat:

EXAMPLE 61: Chopin, Polonaise in A-flat Major, Op. 53, Graphs of the entire piece.

81      97      101    117      155

$E_b = F_b$

The passage in bars 120 ff. further develops the F $\flat$ -E $\sharp$  conflict in an almost dizzying manner. Here, a background V-I motion is divided by a III $\sharp$  chord which functions as a local V of F. The resultant middleground III-I motion is itself divided by a more local V-I motion. As the following graphs explicate, F $\flat$ -E $\sharp$  and E $\sharp$ -F motions here occur simultaneously, though on different levels:

EXAMPLE 62: Chopin, Polonaise in A-flat Major, Op. 53, graphs of entire piece.

The image contains two musical graphs. The top graph shows a sequence of notes in a bass clef with a key signature of two flats (B-flat and E-flat). The notes are: B-flat (bar 81), A-flat (bar 117), G (bar 145), F (bar 154), and E-flat (bar 155). Below the staff, a bracket spans from bar 81 to bar 117, labeled 'I'. Another bracket spans from bar 117 to bar 145, labeled 'V'. A final bracket spans from bar 145 to bar 155, labeled 'I'. The bottom graph shows a similar sequence: B-flat (bar 81), A-flat (bar 117), G (bar 137), F (bar 153), and E-flat (bar 155). Below the staff, a bracket spans from bar 81 to bar 117, labeled 'I'. Another bracket spans from bar 117 to bar 137, labeled 'V'. A final bracket spans from bar 137 to bar 155, labeled 'I'.

This central motive even appears in the final bars of the composition. Whereas in the introduction an F-flat contradicts its natural tendencies by moving up to F-natural, in the final cadence an E-natural (the third of III $\sharp$ ) contradicts its natural tendencies by moving down to E-flat:

EXAMPLE 63: Chopin, Polonaise in A-flat Major, Op. 53, bars 179-81.

Retrospectively, the opening of this composition, far from being a mere lead-in, is seen to introduce the motivic conflict which structures all the ensuing sections of the work. By such means it is raised to a level of significance appropriate for the beginning of a composition.

If elements from an auxiliary cadence opening are not worked into a composition convincingly, the results could be disastrous. Such is the case in the auxiliary cadence introduction in the first version of Tchaikovsky's Romeo and Juliet Overture.<sup>4</sup> This introduction, which (according to the program) portrays Friar Laurence, is in the local key of

4. See Appendix IV, pages 233 ff. below. This version was written in 1869. The overture was drastically revised in 1870, and a few further changes in the coda were effected in a third revision of 1880. For a comparison of the different versions and discussion on the genesis of this work, see David Brown, Tchaikovsky: The Early Years 1840-1874 (New York: Norton, 1978), pp. 180-97.

E major, the key of the major subdominant.<sup>5</sup> Perhaps Tchaikovsky felt that a non-tonic opening would best portray the spirituality of the friar, thus contrasting with the earthly struggles of the families (who are portrayed in main body of the work in the tonic key of B minor).<sup>6</sup> Unfortunately, the effect is carried too far, for the introduction lies in such a different world from the rest of the movement that it seems almost to form a separate piece. Though this introduction is not without merit considered alone, its connection with the rest of the movement is so tenuous that it destroys the power of the composition as a whole.

Fortunately, Tchaikovsky abandoned this introduction and replaced it with the one we know today. Like the old introduction, the new one starts with an auxiliary cadence introduction in a non-tonic key, for the piece initially seems to be in F-sharp minor (though it convincingly moves to the tonic key at the entrance of the first theme section). Unlike the old introduction, however, the new one is integrally related to the main body of the work. Not only does it present themes which are explicitly developed later in the composition, but the introduction also presents more subtle

---

5. Tchaikovsky spelled out the program of the overture in a letter to Balakirev, who evidently suggested both the programatic and tonal structure of the work to the young composer; see David Brown, Tchaikovsky, p. 182.

6. Non-tonic openings are often used to create such programatic effects; see also discussion on pp. 182-84 below of Schumann's "Am leuchtenden Sommermorgen," a song in which the non-tonic opening helps underline the meaning of the text.

motives. Note in particular the underlying F#-F#-E bass motion of the introduction, which foreshadows the striking harmonic motion in bars 113 ff. of the main theme section:

EXAMPLE 64: Graph of Tchaikovsky, Fantasy-Overture to Romeo and Juliet, Revised Version, bars 1-162.

1 28 68 96 111 117 119 121

Introduction First Theme

F# - F# - E F# - F# - E

E - F# - F#

B minor: ( ) I<sup>6</sup> IV V

Comparison of the two versions of this overture shows how important it is for a composer to relate an introduction -- especially one based on an auxiliary cadence -- with the rest of the work. The early version of "Romeo and Juliet," lacking musical cohesion, well deserves its almost total neglect. Tchaikovsky's revisions in the later version, in which he convincingly connects the introduction to the rest of the piece through a tight harmonic and motivic structure, help transform a potpourri of pretty melodies into an organic whole.

AUXILIARY CADENCES THAT OPEN THE  
MAIN BODY OF A COMPOSITION

Structural Ramifications

The opening theme of a work also can begin with an auxiliary cadence. Such main themes, whether they come right at the beginning of a composition (as in Beethoven's Piano Sonata Op. 31, No. 3) or after an introduction (as in Haydn's "Surprise" Symphony, I) represent a more radical procedure than auxiliary cadence introductions. A main theme, unlike an introduction, is supposed to sound like a "true" beginning, and one expects the harmonic stability that a tonic opening affords. By avoiding a tonic at the opening of such themes, a composer creates a conflict between harmony and form. In addition, other problems will arise when such themes return later in the composition, as they almost certainly will do.

Because of these conflicts, main themes based on auxiliary cadences are sometimes initially assumed to be introductions. But since their status as a main theme naturally engenders thematic and motivic repetition and development, such themes are ultimately recognized as a logical point of departure for the composition, in spite of the initial impression.

Consider the first theme from the first movement of C.P.E. Bach's Sonata in F Major, No. 5 from Book I of his Kenner und Liebhaber collection. The coy opening theme of

this movement, which initially seems to be in C Minor, contrasts starkly with a typical beginning statement:

EXAMPLE 65: C.P.E. Bach, Book I of "Clavier Sonaten für Kenner und Liebhaber," Sonata No. 5 for Keyboard in F Major, I, bars 1-4, quotation and graph.

Yet retrospectively the opening of the F Major Sonata is recognized as a proper main theme. Not only does the theme of the F Major Sonata return in full in the second half of the binary form movement (in bars 15-16'), but it presents motives that are reiterated throughout the movement, most notably the ascending third and the  $E\flat - E\sharp$  motion:<sup>7</sup>

7. Charles Rosen, in The Classical Style (New York: Norton, 1972), pp. 112-13, notes the connection of the opening chromaticism of this sonata with the passage in bars 6-7.

EXAMPLE 66: C.P.E. Bach, Book I of "Clavier Sonaten für Kenner und Liebhaber," Sonata No. 5 for Keyboard in F Major, I, various excerpts, (a) bars 5-6; (b) bar 7; (c) bar 19; (d) bar 28.

a

b

c

d

A well-known example of a work with an auxiliary cadence opening is Beethoven's Piano Sonata Op. 31, No. 3, I, which starts off with a hesitant, improvisatory theme based on a  $II_6^b-V-I$  progression:

EXAMPLE 67: Beethoven, Sonata for Piano in E-flat Major, Op. 31, No. 3, I, bars 1-8, (a) quotation; (b) graph.

a

Allegro

ritar . . . dan . do

cresc.

a tempo

b

F - Gb - G4

F

( II $\frac{3}{4}$  V ) I

At first these measures sound like an introduction.<sup>8</sup> As the movement continues, however, the opening is recognized as a proper main theme, for it returns throughout the movement and its primary motives (especially the descending fifth of bars 1-2 and the ascending chromatic motion of bars 3-6) are developed in almost every section. Particularly note the treatment of these motives in the second theme, in the devel-

8. Compare Beethoven's Piano Sonata in D Minor, Op. 31, No. 2 ("Tempest"), whose main theme also starts with an auxiliary cadence and sounds even more like an introduction.

opment, and in the coda. In these places it is quoted (in varied form) within the context of progressions that start with a tonic chord, as though to neutralize the effects of the opening auxiliary cadence:

EXAMPLE 68: Beethoven, Sonata for Piano in E-flat Major, Op. 31, No. 3, I, (a) bars 170-73; (b) bars 100-04, quotation and graph; and (c) bars 213-235.

a 170

b 100

100

(Continued on next page.)

(Example 58, continued.)

The musical score is presented in three systems, each with a grand staff (treble and bass clefs).  
 - The first system (measures 213-220) begins with a treble clef and a common time signature. It features a melodic line in the right hand with a long slur over measures 213-216 and a 'cresc.' marking in measure 218.  
 - The second system (measures 225-230) continues the melodic line with another 'cresc.' marking in measure 227.  
 - The third system (measures 230-235) includes vocal-like markings: 'rizz' above measure 230, 'da' above measure 231, and 'do' above measure 232. It also features 'a tempo' markings in measures 232 and 233, and 'cresc.' markings in measures 230 and 235.

As I shall later show, the auxiliary cadence opening of this sonata even helps determine the harmonic structure of the development section (see pages 131 ff. below).

It is worth comparing the opening of this movement to a normal opening. Whereas most compositions begin with a clear statement of the tonic, the E-flat Sonata starts with a tenuous, non-tonic opening. Nevertheless, as with other openings in Beethoven's works, the beginning of Op. 31, No. 3 helps determine the motivic and harmonic structure of the movement which it heads and thus conforms to the Aristotelean

principle of establishing a proper beginning for a composition.

Recapitulations and Thematic Returns of  
Opening Themes Based on Auxiliary Cadences

Thematic Returns Retaining an Auxiliary Cadence

As noted earlier, a main theme, by its very nature, will often return in the midst of a work. Such a return is an important moment within the piece, whether the return comes at the recapitulation proper or another point within the composition. With a typical theme that starts on the tonic, a return is usually prepared by a prolonged dominant, which leads into the first chord of the returning theme. Returning to a theme that starts on a non-tonic chord, however, often involves more complex and unusual procedures. Often the theme remains structured by an auxiliary cadence when it returns. In such cases it may follow directly after a deep-level harmony from which it is closed off, or it may be approached by means of transitional harmonies. At other times the theme will no longer be structured by an auxiliary cadence when it returns. In such cases, it either will be absorbed into a larger progression (owing to the changed context), or it will be rewritten so that it begins on the tonic.

The most normal of these possibilities occurs when the return of an auxiliary cadence main theme directly follows a

background dominant. This situation most closely resembles the return of a typical theme which starts on the tonic. In cases involving an auxiliary cadence theme, however, the background V chord does not point towards the chord found at the beginning of the theme (as does the progression in Example 69a) but rather towards the chord found at the end of the progression (that is, the background tonic, as in Example 69 b-d). The sharp formal division established at the return of the main theme makes it clear the opening harmonies of the theme are closed off from the V chord that precedes it:<sup>9</sup>

EXAMPLE 69: (a-b) abstract progressions; (c) Mozart, Quartet for Strings in E-flat Major, K. 160, bars 27-32; (d) Schumann, Quartet for Strings in A Major, Op. 41, No. 3, bars 99-105.

The image contains three musical examples labeled a, b, and c. Example a shows a single staff with a bass clef and a sequence of notes: I, V'', I. Example b shows a single staff with a bass clef and a sequence of notes: (II V), I, V'', (II V), I. Example c shows a four-staff musical score for Mozart's Quartet for Strings in E-flat Major, K. 160, bars 27-32, with a 'Recap.' marking above the staff. Example d shows a four-staff musical score for Schumann's Quartet for Strings in A Major, Op. 41, No. 3, bars 99-105, with a 'Recap.' marking above the staff. Below example d is a chord diagram: V'' ( ) I.

9. In the Mozart movement, the recapitulation follows a brief development section; in the Schumann, which is in "sonatina form," the recapitulation follows directly after the exposition.

(Example 69, continued.)

d

Recap.

pizz. arco

V "( ) I

The return of an auxiliary cadence theme also can be preceded by other deep-level harmonies from which it is closed off, as in the following examples. In the Schumann excerpt, the auxiliary cadence theme returns directly following a section in the subdominant; in the Haydn, it follows a statement of the tonic chord:<sup>10</sup>

EXAMPLE 70: (a) Schumann, "Grillen" from *Phantasiestücke*, Op. 12, bars 92-99; (b) Haydn, *Symphony No. 86 in D Major, I*, bars 172-80.

a

Return of main theme

IV (VI V I)

(Continued on next page.)

10. The thematic return cited in Example 70b takes place in the middle of the recapitulation.

(Example 70, continued.)

b

I ,

Return of main theme

(V<sup>6</sup> - II Y<sup>6</sup> - )I

Sometimes a theme based on an auxiliary cadence will remain closed off from the harmonies which precede it on its own level even if transitional harmonies, functioning on a more foreground level, lead into the initial chord of the

theme when it returns. An example of this may be found in the second movement of Beethoven's Piano Sonata Op. 26, where the motion towards the initial chord of the main theme governs the entire middle section. The harmonies of this section move not towards a V chord of the background tonic (as would be typical) but rather to a dominant of the first chord of the auxiliary cadence:<sup>11</sup>

EXAMPLE 71: Graph of Beethoven, Sonata in A-flat Major, Op. 26, III, after Schenker, Free Composition, Fig. 110, e3.

1 A      8      17 B      45 A'

app.

3 2 1

Ab: ( Y ) I  
 (=Eb: II (Y) I)

(=F: III IV V) (aEb: II (Y) I)

† transitional harmonies

[ NOT: I VI-V-I ]

auxiliary cadence V I II' V I

11. See discussion in Ernst Oster, "Register and Large-Scale Connection," Journal of Music Theory, V/1 (April, 1961), pp 58-59.

Other such transitions may be seen in the Brahms's Violin Sonata in G Major, III, which is in rondo form.<sup>12</sup> Each return of the main theme is preceded by a transition to an augmented sixth chord (E $\flat$ -C $\sharp$ ) which resolves into the V chord that heads the main theme. The necessity for such a transition helps explain the tonal logic of the C section of the rondo, which is in the local key of E-flat major ( $\flat$ VI of G):<sup>13</sup>

---

12. I discuss this movement further in Chapter Three, pp. 160 below. For other works which contains particularly long transitions leading to the first chord of an auxiliary cadence main theme, see the third movement of Beethoven's G Major Piano Concerto, Op. 58, and Chopin's Scherzo, Op. 31; Schenker mentions these works in this regard in Free Composition, Par. 303.

13. The theme of bars 125 ff. actually is absorbed into a larger VI-V-I progression, but this progression is also an auxiliary cadence. I feel that it would be wrong to read a complete I-VI-V-I progression spanning bars 82-139, for the section of 83 ff. is clearly closed off from what precedes.

EXAMPLE 72: Graph of Brahms, Sonata for Violin in G Major, Op. 78, III.

The image displays two systems of musical notation for Brahms' Sonata for Violin in G Major, Op. 78, III. The notation includes treble and bass staves with various musical symbols such as notes, rests, and accidentals. Above the staves, several thematic sections are labeled with letters and measures:

- System 1:**
  - A<sub>a</sub>** (measures 1-5)
  - trans. a'** (measures 10-15)
  - trans. B** (measures 23-28, 29)
  - trans.** (measures 53-57)
- System 2:**
  - A'<sub>a</sub> trans. a'** (measures 61-70, 74)
  - C trans.** (measures 83-113)
  - A''** (measures 120-125)

Below the staves, Roman numerals indicate harmonic structures: **V**, **I**, **V**, **I, V**, **V**, and **I**. A specific harmonic progression is noted as **(= Eb - D - Cb - B)**. The notation also includes performance instructions such as **(2<sup>nd</sup> movt.)** and **rit.** (ritardando). Fingerings are indicated by numbers 1-4 above notes in the A'' section.

Thematic Returns No Longer Structured  
by an Auxiliary Cadence

In each of the above cases, a main theme remains structured by an auxiliary cadence when it returns. At other times, however, a theme based on an auxiliary cadence in its first appearance will, by virtue of its changed context, form

part of a larger progression when it comes back.<sup>14</sup> Such structural procedures often go together with a blurring of formal articulation, a lack of harmonic direction towards the reprise, or both. In these instances, the theme will no longer be based literally on an auxiliary cadence, but rather will be structured by a "simulated auxiliary cadence" (see Chapter One, pages 70. ff. above). Such is the case, for instance, in Brahms's Junge Lieder II, Op. 63, No. 5. The first stanza of this song starts with an auxiliary cadence in bars 1-4. When this theme returns in the second stanza, however, it is preceded by a statement of the tonic chord in the piano, so that the original harmonies are now reinterpreted within a complete progression starting on the tonic.<sup>15</sup>

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14. As is the case with the auxiliary cadence introductions discussed on pp. 104-5 above.

15. I am grateful to Mr. Mark Holland for pointing out this example to me.

EXAMPLE 73: Brahms, *Junge Lieder* II, Op. 63, No. 5, (a) bars 1-4; and (b) bars 19-24 (contrast with Example 70b above).

a

1st verse

Lebhaft

Singstimme

Mei . ne Lie . . . . . be ist grün

Pianoforto

VI

#IV

V

I

b

2nd verse

*meno mos.*

Mei . ne See . . . . . le hat Schwin . . . . .

gen der Nach . . . . . ti . gall und

VI

#IV

V

I

The problems entailed in incorporating a theme originally based on an auxiliary cadence within the context of a larger progression can have an important impact on the tonal and formal structure of the composition.<sup>16</sup> Take Beethoven's Op. 31, No. 3, for instance. In order to prepare for the return of the main theme, the harmonies of the development section move towards a subdominant chord (Example 74). By means of a 5-6 motion in an inner voice, this IV chord turns into a II6 which begins the recapitulation. A conflict between harmony and form is thus created here. Although bar 144 is perceived thematically as forming a beginning, harmonically it functions within a larger progression. Notice that a V does not appear at the end of the development section, as normally it would. Instead the V is reached only after the start of the recapitulation, where it supports the beginning of a subsidiary  $\hat{3}-\hat{2}-\hat{1}$  progression. The V-I progression which concludes the harmonic motion of the development section, coming after such powerful stress on II, is de-emphasized.<sup>17</sup> The main structural emphasis therefore is shifted to the dominant of bars 205 ff., near the end of the movement:

---

16. See Schenker's discussion in Free Composition, Par. 310, regarding Chopin's Mazurka in C-sharp Minor, Op. 30, No. 4.

17. By virtue of its different context, The II chord at the opening of the recapitulation in bar 137 functions on a deeper level than does the analogous chord of bar 1. There are many other instances where chords of an auxiliary cadence that function on the foreground level at the outset of a work will function on a deeper structural level when they return; see also Examples 55, 72, and 75.

EXAMPLE 74: Graph of Beethoven, Sonata for Piano, Op. 31, No. 3, in E-flat Major, I (see also Examples 67-68 above).

8 41 88 137 144 209

Exposition Development Recapitulation

Eb: ( I II<sup>6</sup> V ) I ( I II<sup>4</sup> V )

N<sup>5-6</sup> V I

I V I

The D major rondo finale of Beethoven's Second Symphony presents another situation in which a theme with a non-tonic opening is incorporated within larger progressions when it returns. This allows for daring harmonic motions in the development section (bars 119-84), which, avoiding V, moves to a cadential six-four in F-sharp minor (bar 157). This chord, however, does not resolve to a V of F-sharp, but rather moves to a  $V_6^4$  of A (in bar 183, just before the main theme returns).<sup>18</sup> The V of the returning main theme in bar 185 is subsumed into the larger I-V-I progression, so that there is no auxiliary cadence here:

---

18. Compare with the recapitulation in Beethoven's String Quartet in D Major, Op. 18, No. 3, I.

EXAMPLE 75: Graph of Beethoven, Symphony in D Major, Op. 36, IV.

The image displays two systems of musical notation for a section of Beethoven's Symphony in D Major, Op. 36, IV. The first system spans measures 3 to 185, with measure numbers 3, 98, 116, 119, 139, 151, 157, 181, 183, and 185 marked above the staff. Annotations include 'N' above notes at measures 3, 116, and 185, and 'A' above notes at measures 3, 116, and 157. A bracket labeled '3' is placed above measures 3-5, and another bracket labeled '2' is above measures 116-119. Below the first system, the numbers '6-6 7' and '4-5' are written. The second system covers measures 185 to 296, with measure numbers 185, 294, and 296 marked above the staff. Annotations include 'N' above notes at measures 185 and 294, and 'A' above notes at measures 294, 296, and 298. Brackets labeled '3', '2', and '1' are placed above measures 294-296, 296-298, and 298 respectively. Below the second system, the text 'F# - F# - F#' is written.

Another possibility for returning to an auxiliary cadence theme arises when the theme is rewritten to begin on the tonic, thus eliminating the auxiliary cadence. Such recomposition neutralizes much of the harmonic instability of the theme, providing for a fitting close to the composition:

EXAMPLE 76: Beethoven, Symphony in D Major, Op. 36, IV, bars 424-27.

The musical score for Example 76 shows the orchestration of Beethoven's Symphony in D Major, Op. 36, IV, bars 424-27. The score includes staves for Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Horn (Cor.), Trumpet (Tr.), Timpani (Timp.), Violin I (Vl. I), Violin II (Vl. II), Viola (Vla.), and Violoncello/Double Bass (Vlc. e Cb.). The music features a prominent auxiliary cadence theme in the strings, with dynamic markings such as 'ff' and 'arco'.

This technique is particularly popular in codas of rondos which begin with auxiliary cadence themes. In addition to the example from Beethoven's Second Symphony, see Brahms's Violin Sonata in G Major, Op. 78, III, bars 161 ff., and Beethoven's Cello Sonata in G Minor, Op. 5, No. 2, II, bars 248 ff.<sup>19</sup>

19. The theme is also reharmonized in bars 167-74 of this rondo. At this point, however, it opens over a dominant harmony, and thus still remains structured by an auxiliary cadence.

From the examples discussed above, it is clear that non-tonic openings often have structural ramifications far beyond their initial statement. These examples do not exhaust the possibilities of how a first theme based on an auxiliary cadence may return. They do, however, present the basic ways in which the great composers managed to solve the problem of returning to a theme that, even in its first appearance, resists sounding like a true beginning.

PROBLEMS IN DETERMINING WHETHER OR NOT  
A WORK BEGINS WITH AN AUXILIARY CADENCE

Openings Which Begin Structurally,  
But Not Literally, on the Tonic

Often it is difficult to determine whether or not a composition actually begins on the tonic. For instance, an opening structural tonic may be obscured through (1) an incomplete statement of the chord, (2) an upper voice motion, (primarily a 5-6 motion), or (3) an apparent, non-tonic opening key. In such cases the work does not begin with an auxiliary cadence, though the work may literally open with a non-tonic sonority or in a non-tonic key.

An example of a piece whose opening tonic is obscured through being represented by an incomplete statement of the tonic chord is Chopin's Etude in G-sharp Minor, Op. 25, No. 6. Although this etude opens with a structural I chord, the root of the chord does not arrive until bar 3. As a result, the opening two bars might well be momentarily heard as pro-

longing a B chord before they are retrospectively understood within the context of G-sharp minor:

EXAMPLE 77: Chopin, Etude in G-sharp Minor, Op. 25, No. 6, bars 1-3.

Likewise, Mozart's "Dissonant" Quartet should be regarded as opening on a structural tonic, even though the tonic here is represented by the root of the chord alone:

EXAMPLE 78: Mozart, Quartet for Strings in C Major, K. 465 ("Dissonant"), I, bars 1-4.

Note how the first complete chord to appear in the above example is a first inversion A-flat major chord (bVI6 in C Major). Nevertheless, a G is implied over the bass C in the opening of bar 1. Thus the A-flat in bar 2 of the viola de-

rives from an implied 5-6 motion in the upper voice. Other pieces in which a firm statement of the tonic is avoided at the outset through an incomplete statement of the tonic chord combined with motions in the upper voice include Brahms's Intermezzo, Op. 119, No. 2, and C.P.E. Bach's Sonata in D Minor, II, from Book III of his Kenner und Liebhaber collection. Both of these works avoid a strong statement of the tonic in root position until well into the composition, thus lending a sense of instability to the compositions. Yet in each case a structural tonic is nevertheless implied in the opening measure:

EXAMPLE 79: (a) Brahms, Intermezzo in E Minor, Op. 119, No. 2, bar 1; (b) C.P.E. Bach, Sonata No. 2 for Keyboard in D Minor, from Book III of "Clavier Sonaten für Kenner und Liebhaber," II, bars 1-7.

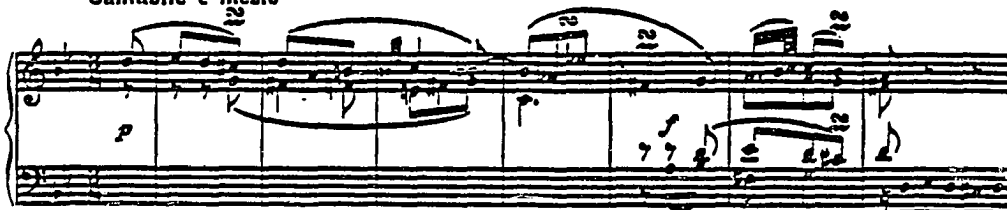
a *Andantino un poco agitato*



*p a.v. dolce*

I(5-6)

b *Cantabile e mesto*



*p*

I(5-6-#4) V<sup>6</sup>

A more complex example of an initial tonic being obscured by upper-voice motion may be found in Brahms's Rhapsody in G

minor, Op. 79, No. 2, (Example 80). A G chord proper does not appear in this composition until the fourth measure, and a G minor chord does not appear until bar 9. Unlike the three examples above, however, the tonic is not represented by an incomplete chord, for the harmony on the downbeat of bar 1 is literally a complete E-flat chord in first inversion. Nevertheless, the opening of this piece should be understood as representing a V-I motion that occurs simultaneously with a 5-6 motion in the upper voice. Thus though the Rhapsody does begin with a brief auxiliary cadence in its first two beats, it does not open with an extended one, since a tonic chord is implied on the downbeat of the first bar:<sup>20</sup>

EXAMPLE 80: Brahms, Rhapsody in G Minor, Op. 79, No. 2, bars 1-2, (a) quotations; (b) sketches of two levels of structure.

Figure 80 consists of two musical sketches, (a) and (b), illustrating the opening of Brahms' Rhapsody in G Minor, Op. 79, No. 2. Sketch (a) shows the first two measures of the piece in G minor, with a treble clef and a key signature of two flats. The melody in the upper voice begins with a half note G4, followed by a quarter note F4, and then a quarter note E4. The bass line starts with a half note E3, followed by a quarter note D3, and then a quarter note C3. Sketch (b) shows two levels of structure, labeled I and (I). The upper voice is shown with a treble clef and a key signature of two flats. The melody begins with a half note G4, followed by a quarter note F4, and then a quarter note E4. The bass line starts with a half note E3, followed by a quarter note D3, and then a quarter note C3. The text '5 - 6 becomes' is written above the upper voice staff, indicating the intervallic relationship between the notes G4 and F4.

20. For other discussions of the opening of this work, see Schenker, *Harmony*, pp. 35-36; Oswald Jonas in the appendix to the English translation of *Harmony*, p. 345; Schoenberg, *Structural Functions of Harmony* (New York: Norton, 1969) pp. 175-77; and Beth Greenberg, "Brahms' Rhapsody in G Minor, Op. 79, No. 2: A study of analyses by Schenker, Schoenberg, and Jonas," *In Theory Only*, IX-X (Dec. 1975-Jan 1976), pp. 21-29. See also Schenker's discussion of Chopin's Mazurka in A Minor, Op. 17, No. 4, in *Free Composition*, Par. 178.

The excerpts of Examples 78-80 exhibit a technique which Schenker discusses in Free Composition, Par. 261. Here he notes that "diminution often produces deceptive intervals in the foreground instead of authentic ones, which are ascertainable only by reference to a previous level." He cites the following as an example of such a diminution, noting that "the deceptive intervals arise here out of a rhythmic shift":

EXAMPLE 81: J.S. Bach, *Aria variata*, BWV 989, Var. 1, bars 7-8; quotation and graph, from Schenker, Free Composition, Fig. 125, 4.



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The unusual feature which distinguishes the rhythmic shifts in Examples 78-80 is that these shifts each take place not in the middle of a phrase, as in Bach's "Aria variata," but at the very beginning of a composition.

There are also cases of works that open with a chord that functions in the background as a tonic while functioning locally within another key. This particularly arises when a lowered seventh is added to the tonic, causing the tonic to function as a local V7 of IV. The most famous example occurs at the outset of Beethoven's First Symphony. On the foreground the first chord of this work acts as a dominant of F. In a deeper sense, however, this chord functions as a I in C,

as the listener retrospectively realizes by the end of bar 4:<sup>21</sup>

EXAMPLE 82: Beethoven, Symphony No. 1 in C Major, Op. 21, I, bars 1-4.

C: I - V  
 (= F: V - I)

Similar instances arise when there is tonicization of a non-tonic key shortly after the beginning or when a V-I motion following the opening tonic is delayed. For instance, Beethoven's Op. 90 begins with a progression which (taken by itself) would sound like a VI-V-I in G Major, and Brahms's Op. 119, No. 1, opens with a progression which is initially somewhat ambiguous. Ultimately, however, one realizes that the opening chords of each of these works function structurally as tonics:<sup>22</sup>

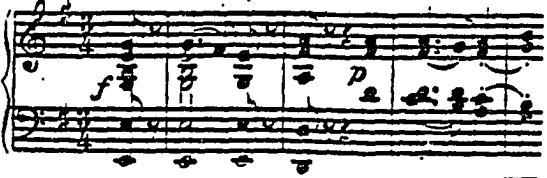
21. See Schenker's comments regarding the opening of Beethoven's First Symphony in Harmony, p. 255.

22. See Jonas's comments regarding Schenker's early, incorrect analysis of the opening to Beethoven's Op. 90 in Harmony, pp. 251-52.

See also the third movement of Schumann's Second Symphony. Though this movement clearly opens on the tonic, the first root position V-I cadence does not arrive until bars 114-18, eleven bars from the end.

EXAMPLE 83: (a) Beethoven, Sonata for Piano, Op. 90, I, bars 1-2; (b) Brahms, Intermezzo in B Minor, Op. 119, No. 1, bars 1-5.


a



E minor: I (not primarily)  
G Major: VI Y I III

b

Adagio



B minor: I (IV VI III VI II V) I<sup>s</sup>

In the examples above, though a clear-cut statement of an opening foreground tonic chord or tonic key is deliberately avoided, in a more background sense, the initial chords of these works should be considered to function as tonics. Therefore these works do not have auxiliary cadence openings.

Openings Which Begin Literally,  
But Not Structurally, on the Tonic

Just as a work can begin structurally on a I chord even if the tonic is not literally present, so too a work can begin structurally on a non-tonic harmony even if the tonic

23. See analysis of this work in Felix Salzer, Structural Hearing (New York: Dover, 1952), Example 477.

is literally present. To be sure, the appearance of tonic at the opening of a work often is so powerful that even a weak statement of the tonic can be regarded as structural. This is especially true if the tonic is returned to and confirmed shortly after the opening, as in the following:

EXAMPLE 84: Chopin, Nocturne in F-sharp Major, Op. 15, No. 2, (a) quotation; (b) graph from Schenker, Free Composition, Fig. 117, 1.

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Yet at other times the design and rhythmic structure of an opening progression can cause an opening tonic sonority to be subordinate to the initial harmony of the ensuing auxiliary cadence.<sup>24</sup> Schenker himself cites such openings, as in the following examples:<sup>25</sup>

24. Felix Salzer, in Structural Hearing (New York: Dover, 1962), Vol. I, p. 154, asserts that if "the upbeat tone is a chord tone of the I, we are still confronted with a complete I-V-I even if the first I is only hinted at and thus appears considerably weakened." Yet Salzer himself notes exceptions to this guideline; see his analysis of the beginning of Schumann's "Ich will meine Seele" (his Example 287).

25. See also discussion regarding Brahms's Waltz Op. 39, No. 1, in Chapter One, p. 37 above. In this waltz Schenker reads a progression within the movement as being structured by an auxiliary cadence, even though the progression literally begins with a tonic chord.



Indeed, a fine line often divides works which begin literally, but not structurally, on the tonic from those which begin on a weakly stated tonic. In such cases deciding whether or not an opening tonic is structural can have a bigger impact on the visual makeup of the voice-leading graph than it does on the meaning of the composition being analyzed. But this should not lead us into regarding the difference between all non-tonic openings and tonic openings as merely superficial. As I have shown, the avoidance of the tonic at the crucial opening moment can have a broad effect on the esthetic nature, motivic design, and harmonic structure of the composition as a whole.

#### NON-TONIC OPENINGS IN MULTI-MOVEMENT WORKS

##### Non-Tonic Openings Must Sometimes Be Considered Within a Multi-Movement Context

Thus far this study has not distinguished between non-tonic openings of first movements and those of later ones in multi-movement compositions. At times, however, non-tonic openings of middle or ending movements may owe their logic partly to their position within a multi-movement structure, as is the case with a number of the works discussed throughout this study. In other instances, works which may seem to have non-tonic openings might actually form part of a large-scale harmonic structure which spans the divisions between movements. Although a full investigation would go beyond the scope of this study, an appreciation of the role of a move-

ment within a multi-movement structure is often necessary in understanding the nature of non-tonic openings.<sup>26</sup>

Non-Tonic Openings Can Relate to Events in Other Movements Within the Same Composition

Movements within the same composition can be strongly connected without necessarily affecting their integrity. Often such connections will help explain the use of a non-tonic opening. For instance, the initial harmony of a movement with an auxiliary cadence opening can relate to the final harmony of the preceding movement. It is certainly relevant, for example, that the opening, non-tonic chord of "Das ist ein Flöten und Geigen" from Schumann's Dichterliebe is the same as the final, tonic chord of the preceding song.<sup>27</sup> Likewise, it is relevant in Brahms's Waltz Op. 39, No. 10, that the opening D chord (which functions as an auxiliary V chord) follows a Waltz in D Major ending on an unresolved dominant:

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26. Studies which address these issues in part include David Neumeyer, "Organic Structure and the Song Cycle: Another Look at Schumann's Dichterliebe," in Music Theory Spectrum, IV, 1982, pp. 92-105, Nicholas Marston, "Trifles or a Multi-Trifle? Beethoven's Bagatelles, Op. 119, Nos 7-11," Music Analysis V/2-3 (July-October, 1986), pp. 193-206, and David Loeb, "Dual-Key Movements," in Schenker Studies (Cambridge: Cambridge University Press, publication forthcoming).

27. Compare with Examples 8, where opening chord of the auxiliary cadence of bars 62 ff. is the same as the final chord of the preceding progression, from which it is nonetheless closed off. See also Rufus Hallmark, The Genesis of Schumann's Dichterliebe (Ann Arbor: UMI Research Press, 1979), pp. 142-43.

EXAMPLE 86: (a) Schumann, "Und wüssten's die Blumen," No. 8 from *Dichterliebe*, Op. 48, bars 34-37 and "Das ist ein Flöten und Geigen," No. 9 from *Dichterliebe*, bars 1-6; (b) Brahms, Waltzes, Op. 39, No. 9, bars 23-24b, and No. 10, bars 1-2.

The image contains two musical examples, (a) and (b), each consisting of a grand staff (treble and bass clefs).

Example (a) is divided into two parts. The first part, labeled 'a', shows two staves of music. The top staff begins with a treble clef, a key signature of one sharp (F#), and a dynamic marking of *sf*. The bottom staff begins with a bass clef and a key signature of one flat (Bb). A large slur covers the first few bars of both staves. The second part of example (a) shows a change in key signature to one flat (Bb) and a time signature of 3/8. The top staff has a dynamic marking of *p* and the instruction "Nicht zu rasch" above it. The bottom staff continues with the new key signature and time signature.

Example (b) shows two staves of music. The top staff begins with a treble clef, a key signature of one sharp (F#), and a time signature of 3/4. The bottom staff begins with a bass clef and a key signature of one flat (Bb). A large slur covers the first few bars of both staves. The instruction "poco scherzando" is written below the bottom staff.

A non-tonic opening can also relate motivically to an event in a previous movement of the same composition. As I have noted above, auxiliary cadences often connect motivically to something occurring elsewhere in the composition.<sup>28</sup> Clearly these connections are not limited to events within the same movement. In the third movement of Beethoven's "Quartetto Serioso," for instance, the opening auxiliary

28. See above, Chapter One, pp. 86 ff.

cadence which is followed by a series of measures of the previous movement.

Example 87: Beethoven, "Quartett für Klavier, Violine, Viola und Cello" Op. 127, ("Quartett Serioso")



In each of the cases above, the second of two movements is ultimately recognized as being closed off from the movement that precedes it. Nevertheless, the tentative harmonic

29. The transition from D Major to F minor via a D-B third motion leading to a VII<sup>o</sup>7 of V is reenacted in varied form in bars 79-119 and 157-83 of the third movement.

or motivic connections which one perceives between the final passage of one movement and the first passage of the next (connections which are encouraged by the non-tonic opening in the second of the two movements) bridges the division between movements in these examples.

The possible motivic or tonal connections of an auxiliary cadence opening within a multi-movement work are not restricted to the immediately preceding passage in the previous movement. In Beethoven's "Appassionata" Sonata, III, for instance, the auxiliary cadence opening makes it possible for the third movement to start with a statement of a D $\flat$ -C motive, a motive which plays a significant role throughout the entire sonata.<sup>30</sup> The initial sonority of an auxiliary cadence opening can also be connected by means of a key relation to an earlier movement or a section of a movement. For instance, there is a relationship between the deceptive beginning in C Major in the last movement of Beethoven's String Quartet Op. 59, No. 2, and the prominence given to the foreground key of C Major in the first movement.<sup>31</sup> Consider also the last movement of Beethoven's Quartet in B-flat Major, Op. 130, and the Grosse Fugue, Op. 133 (which was

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30. The significance of the (C)-D $\flat$ -C motive throughout the sonata is discussed at length in Schenker, Tonwille 7, 1924, pp. 3-34.

31. This is noted in Basil Lam, Beethoven String Quartets 1 (Seattle: University of Washington Press, 1975), p. 57. See also Joseph Kerman's comments regarding the C-B motive in The Beethoven Quartets, (New York: Knopf, 1971), p. 131.

originally intended as the final movement of the quartet). Different as they are, both open with auxiliary cadences starting on G chords, thus relating to the fourth movement ("Alla danza tedesca") which is in the key of G Major.<sup>32</sup> This connection helps strengthen the organic logic of the composition as a whole.

Movements Opening With Simulated or  
Apparent Auxiliary Cadences Can Form Part  
of a Larger, Multi-Movement Tonal Unit

Typically, the sense of tonality through a multi-movement work is much looser than in a single movement. The tonality in a tightly knit sonata form movement, for instance, will be much more keenly felt than any overarching tonality in a four-act opera. Yet the dividing line between single- and multiple-movement tonality is not always so clear-cut, especially when there are transitions between movements. Much as key shifts in a single movement may cause it to have a framework reminiscent of a multi-movement tonal structure, so may a drive towards a single tonic encompassing more than one movement cause a multi-movement work to have a tonal structure reminiscent of a single movement. Thus various movements which seem to open with an auxiliary cadence might actually form part of a larger tonal entity.

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32. This example was suggested to me by both Mr. David Loeb of The Mannes College of Music and Prof. Joel Lester of The City University of New York.

For instance, the Adagio section of Haydn's A Major Piano Sonata, XVI:30 (a section which Hoboken lists as the second movement of the sonata) should not be regarded as starting on an auxiliary cadence. Rather, this Adagio should be understood as a transition between the first and final movements, within the context of a large tonal plan that embraces all three movements. Likewise, the fourth movement of Beethoven's Sixth Symphony, which literally begins and concludes off the tonic, should be regarded within a tonal unit which embraces the last three movements of the composition. Here three movements function harmonically as though they were a single movement. The fourth movement opens with a "simulated auxiliary cadence" caused by a formal articulation, such as was discussed above in Chapter One, pages 70-73.

It is also possible for an inter-movement transition between two tonally discrete movements to create an apparent auxiliary cadence opening. Such is the case in the second movement of Mendelssohn's Violin Concerto. Unlike the Haydn and Beethoven examples cited above, this movement does form a tonal entity separate from the movements which surround it. Mendelssohn nevertheless links the movements of this concerto on the foreground by means of brief transitions. These cause the Andante section to start literally on a non-tonic chord, though the movement proper begins on the tonic chord of measure 7:

EXAMPLE 88: Mendelssohn, Concerto for Violin in E Minor, Op. 64, Allegro molto appassionato, bar 519 - Andante, bar 17.

(+transition) →

519 528 Andante

Audante. C: I

8) (main theme)

In a certain sense, the seeming non-tonic openings of such movements can result from the labelling of the movement divi-

sions. This can be seen clearly in the third movement of the Mendelssohn concerto. Some editions label this movement as beginning at the "Allegro molto vivace," in which case it opens on the tonic. Other editions label it as beginning with the "Allegro non troppo," in which case it opens literally off the tonic. From an analytic standpoint, however, the Allegro non troppo section belongs to neither the second nor the third movement. It is merely a transition between movements. Unlike, for instance, the opening of the third movement of Beethoven's Op. 95, the Allegro non troppo is not an integral part of the movement it precedes. Thus, however one chooses to label the movement divisions of this concerto, it would be wrong to regard this movement as beginning with an auxiliary cadence opening.

In some compositions the connections between movements are so strong and the divisions between them so slight that the labelling of distinct movements may seem almost arbitrary. Schumann's Carnaval, for example, is a cyclic work possessing a wealth of inter-movement connections. In this composition fewer than half of the labelled movements both begin and end on root position tonic chords. Often the final chord of one movement will lead into the beginning of the next. Furthermore, many of the movements are related by means of shared themes, shared motives, and key associations. Indeed, these connections are so strong that many of the movements are perhaps better understood as forming part of larger tonal units.

Large tonal units are particularly difficult to analyze in Wagner's operas, where tonal and formal delineations are often purposely blurred. Frequently key areas both begin and end on non-tonic chords, and the sections of different local tonal domains are often related by motivic associations and key relationships, making it difficult to determine exactly when passages are embraced by a more encompassing, background-level tonality. Any study of these works might well investigate to what extent Wagner's radical procedures are new departures, and to what extent they are rooted in more traditional ways of avoiding a tonic, such as the auxiliary cadence.

CHAPTER THREE

AUXILIARY CADENCE COMPOSITIONS

DEFINITION OF AUXILIARY CADENCE COMPOSITION

An opening auxiliary cadence can structure most of a composition so that the initial tonic of the background I-V-I progression does not arrive until just before the end. In still more extreme instances, a work can be based entirely on an auxiliary cadence. Such compositions, lacking an opening structural I altogether, are framed entirely by an incomplete transference (see Chapter One, pages 46 ff.). Such works represent a kind of compositional tour de force, requiring the composer to establish a background key without presenting a structural tonic until the the work is almost finished. Works which are based either mostly or entirely on auxiliary cadences form what I shall call "auxiliary cadence compositions."

AUXILIARY CADENCE COMPOSITIONS  
THAT START ON THE DOMINANT

Auxiliary cadence compositions are most typically structured by a large V-I progression. One way in which such a

structure may be realized is by opening in the dominant key, then modulating to the tonic by the end of the piece, as in Chopin's Prelude Op. 28, No. 2:<sup>1</sup>

EXAMPLE 89: Graph of Chopin, Prelude in A Minor, Op. 28, No. 2, from Schenker, Free Composition, Fig. 110, a3.

The image shows a musical score for Chopin's Prelude in A Minor, Op. 28, No. 2. The score is written on a grand staff (treble and bass clefs). Overlaid on the score is Schenker's graph, which consists of various lines, curves, and annotations representing the underlying harmonic structure. The graph includes a sequence of numbers at the top: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23. The graph shows a progression from a dominant key (E major) to the tonic key (A minor) through various harmonic stages.

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The brevity of this Chopin Prelude allows its opening key to be heard retrospectively in terms of the background tonic.<sup>2</sup> If its underlying progressions were expanded, the resulting compositions would probably be heard as starting in one key and ending in another. For an auxiliary cadence to be heard as such over a length of time, the tonic key must be present from a point sufficiently near the outset that the ultimate function of the opening harmonies is made clear.

1. Schenker comments on this example in Free Composition, Par. 245, noting "this example shows the complete composition. This piece is a true prelude: it represents a fifth-progression over V-I only." Evidently, Schenker feels that a true composition (as opposed to a mere prelude) must be based upon the complete form of the fundamental structure (see also his comments in Free Composition, Par. 304 and in Par. 307 regarding Fig. 152, 6 and 7). Nevertheless, this is not the only such work that he cites; see below, pp. 168-69, Examples 95 and 96.

2. Compare with Beethoven's Bagatelle Op. 119, No. 10, another short auxiliary cadence composition which starts in the dominant key area.

A tonic key often can be established simply by prolonging a V7 chord, even if the tonic is not stated. Unless its tendencies are contradicted by other elements of the context, a dominant seventh will readily imply a resolution to a I chord. It is rare, however, for a prolonged V7 chord to point towards a background tonic over a span of time without resolving to a tonic at least on the foreground. Such a resolution will not necessarily disturb the prolongation of the dominant, provided the tonic chord is subordinated by design, rhythm, upper-voice structure, etc.<sup>3</sup> (If a tonic chord near the opening were to be emphasized, it would probably be heard as structural and thus the work could not be considered an auxiliary cadence composition.)

A case in point is the opening dominant prolongation in the song "Verlust" by Fanny Mendelssohn Henselt (Example 90). Both stanzas of this strophic song are based entirely upon a V-I auxiliary cadence in D minor. In each strophe a structural tonic does not appear until the end, though the key of D is implied from the very outset. The opening dominant does resolve to a D chord in bar 5, but this chord is deemphasized through the sudden appearance of F-sharp and the overriding motion of the upper voice from A of bar 1 to the G of bar 9.<sup>4</sup>

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3. See discussion on page 74, fn.38, above; see also Fred Lerdahl and Ray Jackendoff, A Generative Theory of Tonal Music (Cambridge, Massachusetts: MIT Press, 1983), pp. 236-39.

4. Compare with Chopin's Prelude in F Minor, Op. 28, No. 18, and Schumann's Gesänge der Frühe, Op. 133, No. 2, two

The lack of a complete sense of resolution in bar 5 no doubt underlines the troubled, unresolved state of the narrator's "verwundertes Herz":

EXAMPLE 90: Fanny Mendelssohn Henselt, "Verlust" (published under Felix's name as Op. 9, No. 10), bars 1-21, (a) quotation; (b) graph.

a

Allegro con fuoco.

Singstimme.

Und wüßten's die Blumen, die Klei . sen, wie tief ver . wandet sein Herz, da

PIANOFORTE.

wür . den mit mir wei . ßen, zu bei . ken mei . nen Schmerz. Und wüßten's die Nachtig .

gal . ken, wie ich so traurig und krank, sie lassen fröhlich erschallen er . qui .

cken . den Ge . sang.

(Continued on next page.)

other auxiliary cadence compositions in which a foreground tonic appears towards the beginning of the work as a V of IV, subordinate to a  $\hat{5}-\hat{4}$  motion in the upper voice.

## (Example 90, continued.)

D minor: V

I

If the tonic key is well established by such a dominant prolongation, it is possible for a modulation to the dominant key to occur before a structural tonic chord itself appears. Such is the case in the first movement of Beethoven's Piano Sonata Op. 101 (Example 91), one of the most daring auxiliary cadence compositions in the repertoire. This movement is in a brilliantly devised sonata form in which the main theme appears in the tonic key which is established by a prolonged dominant. The first -- and only -- structural tonic of this movement does not arrive until near the end of the recapitulation in measure 77. Though a foreground, root position tonic does appear in bar 3, it is subordinated by its register and weak metric placement within the bar and the phrase. One expects a resolution to a structural I chord at the end

of bar 6, but this anticipated resolution is thwarted by a deceptive cadence which in turn leads to a modulation to the dominant key. Thus, as in a typical sonata form exposition, there is a modulation from the tonic key to the dominant key, though a background tonic chord does not appear:

EXAMPLE 91: Beethoven, Sonata for Piano in A Major, Op. 101, I, bars 1-25.

*Etwas lebhaft, und mit der innigsten Empfindung.  
Allegretto, ma non troppo.*

5

11

17

23

A similar modulation structure in an auxiliary cadence composition of comparable scope was not attempted again until Brahms's Third Symphony, IV, and Brahms's G Major Violin

Sonata, Op. 78, III. In the fourth movement of Brahms's Third Symphony, the first theme occurs over a prolonged V chord in the tonic key and is followed by a modulation to the dominant key, which arrives with the theme of bars 52 ff. A strong F minor tonic triad does not arrive until late in the movement -- in bar 217:<sup>5</sup>

EXAMPLE 92: Graph of Brahms, Symphony No. 3 in F Major, Op. 90, IV.

F: V (C: V - I)

(Continued on next page.)

5. The only tonic chords in the first theme section of the exposition occur in bars 5, 7, 14, and 16, but these tonics are subordinated by their weak metric placement, their appearance in inversion, and by the thwarted resolution of the leading tone. The first root position tonic does not arise until measure 42, where it appears as a major triad with a minor seventh and lies within the midst of a progression leading towards the key of C.

The auxiliary cadence structure of this movement was pointed out to me by Charles Burkhardt, who discussed the work in "The Delayed Tonic Effect in Brahms," talk delivered at International Brahms Congress (Wayne University, Detroit, April 12, 1980).

(Example 92, continued.)

The image shows a musical score for two staves. The top staff is in treble clef and the bottom staff is in bass clef. The key signature has two flats. Measure numbers 108, 182, 194, and 244 are indicated above the top staff. Above measure 108 is a '5' with an accent (^). Above measure 182 is a '4' with an accent (^). Above measure 194 is a '5' with an accent (^). Above measure 244 is a '2' with an accent (^). A dashed line connects the bass clef of measure 108 to the bass clef of measure 182, with a 'V' below it. Another dashed line connects the bass clef of measure 194 to the bass clef of measure 244, with an 'I' below it.

Brahms's Violin Sonata Op. 78, III, is sketched above in Chapter Two, Example 72, page 129. In the first two appearances of the A theme of the rondo there is a modulation to the dominant key within the prolongation of the dominant chord. Though a structural tonic does arrive in this movement at the end of the A sections in bars 22 and 82, the piece contains no I-V-I fundamental structure. Rather, each reprise of the rondo is built upon an incomplete transference, and thus the movement should be regarded as an auxiliary cadence composition.

Another possibility for an auxiliary cadence composition occurs when there is a modulation from a tonic key prolonged by a dominant chord to a key other than the dominant. Such

is the case, for instance, in Fanny Mendelssohn's "Verlust," where a modulation to F major (the key of III) occurs in bar 10 (see Example 90 above). A more complex example may be found in Tchaikovsky's Symphony No. 6 in B Minor, Op. 74 ("Pathétique"), IV. Like the Brahms movement discussed above, its first theme occurs in the tonic key over a prolonged V. But whereas in the Brahms the opening prolongation is followed by a modulation to the dominant key, in the Tchaikovsky the opening prolongation is followed by a modulation to the relative major. Though tonic chords do arise in the foreground every so often (as in bars 12, 27, 71, and 88), a structural I chord does not appear until bar 147, the entrance of the second theme in the recapitulation.

Another example of an auxiliary cadence composition in which there is a modulation to a key other than the dominant is Brahms's Intermezzo Op. 76, No. 4, in B-flat Major. This work begins in B-flat major and is followed by a prominent modulation to G minor, the key of VI. Remarkably, a tonic chord does not appear on the background or even on the surface of the music until bar 43, eleven bars from the end. Nevertheless, the tonic key is implied from the outset by virtue of a prolonged dominant seventh chord. Though not confirmed by a resolution to a foreground tonic (as in the above examples), the function of the opening chord as a dominant is not contradicted at any point.<sup>6</sup> Certainly the

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6. It would be naive to assume that a major chord with a minor seventh chord automatically will function as a dom-

cadence to G minor of bar 13 does not subvert the sense of B-flat major, for the emphasis on the pitch F (the lowered seventh of G) in the opening measures deters us from regarding G as the tonic. Furthermore, the persistent G-Gb-F motions in the second part of the piece counteract the previous F-F#-G motions, which move towards G, by emphasizing the motion away from G towards F, the dominant of the background key.

Schenker sketched the voice-leading of this work in an unpublished analysis now in the Oster Collection of the New York Public Library. According to his reading (summarized below in Example 93), a huge F-Bb fourth progression structures the bass line from bars 1-43. Note that he reads the G-flat in the bass of bar 20 differently upon its repetition, maintaining that the bass G-flat of this measure functions as a passing tone the first time and a neighbor tone to G-natural the second. Also note his reading of bars 43-45, which shows the structural melodic descent  $\hat{3}-\hat{2}-\hat{1}$  shifted to the bass line with the tonic harmony (I) implied at the  $\hat{3}$  in bar 45:

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inant seventh. In various contexts this chord will function and be expected to function quite naturally in other ways, as I note in my article "A New View of Tristan: Tonal Unity in the Prelude and Conclusion to Act I," Theory and Practice, XXI/1 (September, 1983), pp. 20-24. Nevertheless, if this chord is taken out of context, its simplest (and therefore most expected) resolution will be as a dominant seventh. By the same token, if this chord appears at the beginning of a composition -- before a context has been established -- it will be heard as a dominant unless this function is contradicted by what follows.



and second times it appears. The first time it moves directly to F. The second time it is prolonged by the harmonies of measures 21-32 before moving on to its destination. The bass motion from G-flat to A-flat of bars 21-31, which prolong the passing G-flat, parallels the bass motion F-G of bars 1-14:

EXAMPLE 94: Brahms, Intermezzo in B-flat Major, Op. 76, No. 4, my reading.

1-20 (both times)                      20                      33

However one reads this work, one can only marvel at Brahms's ability to write such a tonally coherent work while avoiding any statement of the actual tonic until so close to the end.

AUXILIARY CADENCE COMPOSITIONS THAT START ON A NON-DOMINANT CHORD

Auxiliary cadence compositions based on progressions that open with a harmony other than V involve more difficulties than those based on V-I auxiliary cadences. It is

not easy to establish a sense of tonality in a work that begins with an extended prolongation of a chord which--unlike the dominant chord -- does not point directly to the tonic. Nevertheless, there are a few such works in the repertoire. Schenker himself provides two examples in Free Composition of auxiliary cadence compositions based on a III-V-I progression, the only auxiliary cadence progression other than V-I which can comfortably support a fundamental line in the upper voice:

EXAMPLE 95: Graphs from Schenker, Free Composition, (a) Fig. 110, c2, Schumann, "Im wunderschönen Monat Mai," No. 1 from Dichterliebe, Op. 48; (b) Fig. 110, d3, Brahms, Intermezzo Op. 118, No. 1.

a

(=III<sup>#</sup> - V - I)

b

(=a minor: III<sup>#5</sup> - V<sup>#</sup> - I)

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Note that according to Schenker's reading of "Im wunderschönen Monat Mai," the tonic arrives relatively early -- in bar 6. But since the song is strophic, Schenker's reading of

these opening bars implies that this song, like the Brahms rondo discussed on page 163 above, will not contain a I-V-I fundamental structure, but rather will be based on a repeated statement of an incomplete progression.<sup>8</sup>

Before taking up Brahms's Op. 118, No. 1, I would like call attention to a recitative cited by Schenker which might be regarded as an auxiliary cadence composition (insofar as it may be regarded as a discrete composition) that starts on a chord that cannot support an initial tone of the fundamental line. According to Schenker's graph in Tonwille (shown in Example 96), the recitative "Erbarm es Gott" from Bach's St. Matthew Passion is structured entirely by a IV-V-I progression. The initial IV chord supports an incomplete neighbor  $\hat{6}$  in the upper voice which precedes a rapid  $\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}$  descent in measures 11-12 (see also discussion on pages 192-93 below):

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8. Schenker does not discuss the controversial ending of this song.

EXAMPLE 96: J.S. Bach, St. Matthew Passion, "Erbarm es Gott," graph from Schenker, Tonwille 7 (1924), page 35.

The image displays a musical score for the chorale "Erbarm es Gott" from J.S. Bach's St. Matthew Passion. The score is presented in a Schenkerian analytical format, consisting of five systems of staves labeled a) through e).  
- System a) shows the vocal line (T. I) and the lute accompaniment (Cdur: | 0 IV) with measure numbers 1 through 12.  
- System b) shows the vocal line and lute accompaniment with Schenkerian analysis symbols (arcs and stems) indicating the underlying structure.  
- System c) shows the vocal line and lute accompaniment with further analytical markings.  
- System d) shows the vocal line and lute accompaniment with additional analytical markings.  
- System e) shows the vocal line and lute accompaniment with a detailed analytical structure, including a large bracketed section and a final chord analysis at the bottom right.

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As in the recitative shown above, the initial chord of an auxiliary cadence composition will often be tonicized. This is especially true if the opening harmony is prolonged for an extended length of time, for it is hard to establish a sense of a key while prolonging a chord other than its tonic or dominant. But if neither the tonic key nor the tonic chord appears until the end of a composition, the sense of tonal unity may well be threatened. To avert this problem, the composer can foreshadow the tonic key, tonicizing the ultimate tonic as a foreground key within the prolongation of the first harmony.

This is exactly what Brahms does in his Op. 118, No. 1. The first key tonicized in this piece is C major, which is prolonged until bar 22 (I read this piece differently than does Schenker; compare Example 97 with Example 95b above). Within this prolongation there is a brief motion to the foreground key of A minor (measures 15-17). The ♯ chord at this point can by no means be regarded as a background tonic, coming as it does in the middle of the B section (bars 11-20) and as an abbreviated continuation of a sequence. Nonetheless, this local motion to A anticipates and prepares for the large-scale motion to the same key in measure 28 and allows the ultimate goal to seem logical in spite of its long delay:

EXAMPLE 97: Graph of Brahms, Intermezzo in A Minor, Op. 118, No. 1, my reading.

The image shows a musical score for Brahms' Intermezzo in A Minor, Op. 118, No. 1. The score is written on two staves, treble and bass clef. A graph is overlaid on the score, showing a dashed line that starts at measure 1, rises to a peak at measure 21, and then falls to a lower level at measure 29. The graph is labeled with 'A: III' at the start, '(=A:V - I)' in the middle, and 'V I' at the end. The graph is drawn over the score, with vertical lines connecting the graph's points to the corresponding measures in the music.

Such foreshadowing can be found not only in auxiliary cadence compositions, but in other types of works which begin with an extended section in a non-tonic key area (see Chapter Four, pages 200 ff.)

A composition can also be based on a I<sup>6</sup>-V-I auxiliary cadence. Since the tonic chord is present from the beginning, (albeit in inversion) these compositions are not threatened by the tonal problems of auxiliary cadence compositions that start on non-tonic sonorities. Nevertheless, as with other auxiliary cadence compositions, such works delay a strong statement of the tonic until the end, though their effect is naturally not as extreme. Examples of such compositions include Brahms's Intermezzo Op. 117, No. 2, and "Der Dichter spricht" from Schumann's Kinderscenen:

EXAMPLE 98: (a) Graph of Brahms, Intermezzo Op. 117, No. 2, after sketches by Schenker;<sup>9</sup> (b) graph of Schumann, "Der Dichter spricht," No. 13 from Kinder-scenen, Op. 15.

a

1 6 10 38 61

4 3 2 5 4 3 2 1

I<sup>6</sup> V I<sup>6</sup> V I

b

1 8 AM 21 25

background: I<sup>6</sup>  
(middleground: I<sup>6</sup>)

II V V I

9. This graph is based on transcriptions of Schenker's unpublished graphs in Allen Cadwallader, "Schenker's Unpublished Graphic Analysis of Brahms's Intermezzo Op. 117, No. 2: Tonal Structure and Concealed Motivic Repetition," Music Theory Spectrum, Vol. V (1984), pp. 1-13. See also the comments on this Intermezzo by Oswald Jonas in the Appendix to Schenker's Harmony, pp. 345-46.

COMPOSITIONS THAT COMPLETELY  
AVOID A STRUCTURAL TONIC

A very rare, not to say exotic, type of composition is one based entirely upon an auxiliary half-cadence (see Chapter One, pages 65-66) -- that is, one that lacks a structural tonic altogether. The Prelude to Tchaikovsky's opera Eugene Onegin -- inasmuch as it can be contemplated as a separate composition -- may be considered an example of this construction. Though foreground tonics appear throughout, the overture ends before the expected resolution to a background tonic G minor chord appears. As it stands, the composition is built upon a prolonged V which does not resolve within the course of the overture. (A tonic G does arrive, however, with the downbeat of the first number of the opera, which follows right on the heels of the Prelude.)

Wagner particularly enjoyed such structures. Though they are not delineated through conventional formal divisions, there are a number of sections in his operas that can be heard as tonally unified but that entirely avoid a structural tonic. In such cases the tonic expected at the end of the section is avoided by means of a deceptive cadence, a fadeout, or other such means.

An example of such a structure may be seen in the Prelude to Act I of Tristan.<sup>10</sup> This orchestral introduction

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10. I have discussed the Prelude at length in "A New View of Tristan" (op. cit.) and in "More on Tristan," Theory and Practice, IX/1-2 (July - December, 1984), pp. 125-28.

seems to start in the key of A by virtue of the E7 chord of bar 3 and elsewhere throughout the Prelude. This E7 chord and the analogous ones later in the overture do not resolve to tonic A chords, however. Rather, they move (either directly or through a passing tone) to G chords which function as the V of C.<sup>11</sup> Though a structural, root position C triad never appears, resolutions to C chords do appear on the foreground level in bars 12, 35, and 77. After the final motion to the G chord in measure 100, a resolution to a structural I chord in C is expected, for such a resolution has been foreshadowed in the previous, analogous sections.<sup>12</sup> This resolution is avoided, however, thus causing the Prelude to be structured on an large-scale auxiliary half-cadence:

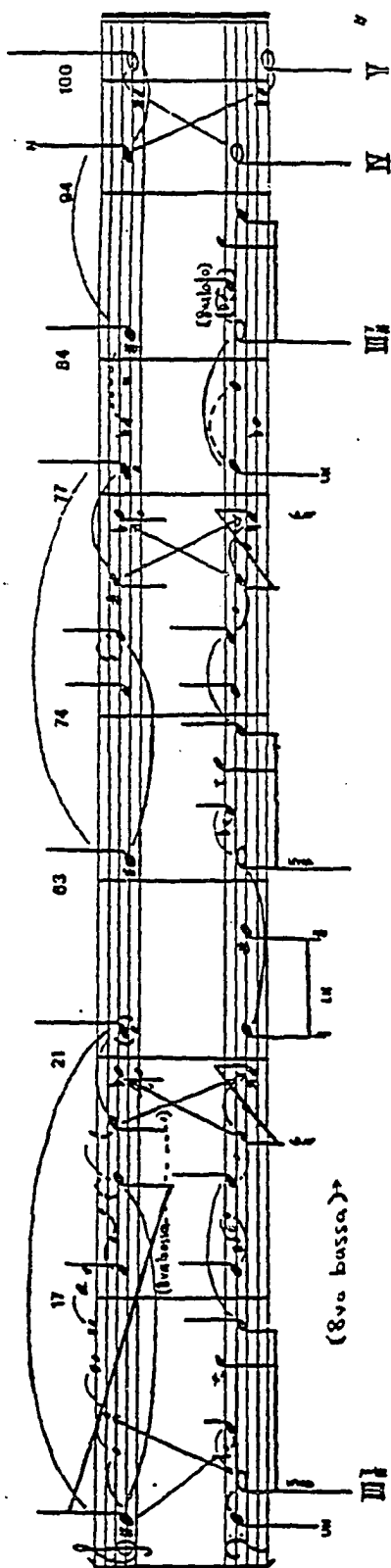
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11. There is a foreground level motion from an E7 chord to an A chord in bar 24, but this resolution, coming within a motion towards the key of E, can hardly be considered a structural V-I (see "A New View of Tristan," pp. 28-29). To be sure, this local resolution might have foreshadowed a deeper level motion to A had the key been developed further in the course of the Prelude, but as it stands, any tendency of the E7 chord to resolve to A is thwarted in all of its subsequent, structurally deeper appearances.

It could be argued that the repeated motions from the E7 chord to F might be regarded as deceptive cadences in A, especially in bar 17, where the tonality is still rather ambiguous and there is a pause on the F chord. But whereas most deceptive cadences reestablish the drive towards the tonic by quickly returning to the dominant chord, this progression rapidly moves on to a G chord, which would be the lowered VII in the key of A.

12. Many have analyzed the harmonic motion of bars 94 ff. as a sudden harmonic transition from the key of A to C, written to lead to the opening of Act I. I find such a reading strange, for the opening vocal solo is not even in the key of C, but rather is in B-flat! Besides, the harmonic motion of these measures have been previously foreshadowed a number of times and thus are quite expected -- surely more expected that the resolution to A Major which is found in Wagner's 1859 concert version of the Prelude (see "A New View of Tristan," p. 29).

EXAMPLE 99: Graph of Wagner, Tristan und Isolde, Act I, bars 1-111.



Unlike the Prelude to Tchaikovsky's Eugene Onegin, the tonic chord of this prelude does not follow at the beginning of the ensuing section (though, perhaps significantly, the sailor's solo of bars 112 ff. does start on an unfolded C minor chord that functions as the II of B-flat). Instead, the unresolved tensions of the Prelude are taken up and brought to resolution at the end of Act I in bars 1642 ff. (from Isolde's words "Ich trink' sie dir"). Here the music of the Prelude is repeated in a highly varied form, this time ending with a forceful resolution to a C major tonic in bar 1834.<sup>13</sup>

Such a tonal procedure pushes towards the limits of traditional tonality. It is well known that Wagner's deliberate avoidance of the tonic had a great influence on late Romantic and early twentieth-century composers such as Wolf, Strauss, and Schoenberg. In this regard it is worth noting Schoenberg's comments regarding his song "Der Wanderer," Op. 6, No. 8: "Perhaps the most interesting feature of this song whole piece."<sup>14</sup>

To be sure, it would be naive to ascribe all the harmonic innovations of these periods to the power of the auxiliary cadence. One must also take into account such factors as the deemphasis of dominant-to-tonic progressions, the

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13. See "A New View of Tristan," pp. 34-41.

14. Arnold Schoenberg, Structural Functions of Harmony, Revised Edition, edited by Leonard Stein (New York: Norton, c. 1954), p. 111.

increased interest in harmonies based on equal divisions of the octave, the freer dissonance treatment, and the influence of extended key relations. Yet surely the avoidance of the tonic at the crucial opening point of a composition, a process which has roots in the auxiliary cadence structures of the Classical era and which reached its apex in the auxiliary cadence compositions of the late Romantic era, had an impact on the breakdown of tonality in the late nineteenth and early twentieth centuries.

CHAPTER FOURDECEPTIVE BEGINNINGS

Half the musical miseducation in the world comes from people who know that the Ninth Symphony begins on the dominant of D minor, when the fact is that its opening bare fifth may mean anything . . . until the bass descends to D and settles most (but not all) of the question. A true analysis takes the standpoint of a listener who knows nothing beforehand, but hears and remembers everything.

-- Donald Tovey <sup>1</sup>

A COMPOSITION CAN OPEN IN AN APPARENT KEYApparent Opening Keys Can Be Established in Various Ways

As noted earlier, an auxiliary cadence can begin in a way that gives a deceptive impression of its tonal goal (see discussion of Mozart's "Linz" Symphony, I, second theme, in Chapter One, pages 20-21, Example 1b, above). In these cases a chord other than the tonic of the progression is

1. Essays in Music Analysis, Vol. I (London: Oxford University Press, 1935), p. 68. Schenker, in Beethoven's neunte Sinfonie (Vienna: Universal Edition, 1912), p. 3, makes similar observations regarding the opening tonal ambiguity, both of the initial A chord and the D chord in bars 15-16.

momentarily perceived to be the I chord. I call such a chord an "apparent tonic" and the area of its duration an "apparent key." The tonal deception inherent in such apparent keys has a particularly great impact when the auxiliary cadence comes at the start of a composition, where it will give a misleading impression for the tonality not only of the phrase but of the composition as well. A work starting in such a manner is said to have a "deceptive beginning" (a term which comes from Schenker; see page 192 below).<sup>2</sup>

There are various ways by which an apparent key may be established at the opening of a piece. Often the mere presence of a non-tonic chord at the outset of a piece will mislead the listener into hearing it as a tonic. In the opening bars of Beethoven's Piano Concerto Op. 58, III, for instance, the listener will readily accept the opening C chord as the tonic triad until further evidence reveals G to be I:<sup>3</sup>

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2. Apparent keys also can arise at the beginning of compositions which start on the tonic; see pp. 3, fn. 2, and 140-42 above.

3. See Schenker's comments regarding the beginning of this movement in Free Composition, Par. 303: ". . . the first theme of this Rondo . . . seems to begin in C major."

EXAMPLE 100: Beethoven, Concerto for Piano in G Major, Op. 58, III, bars 1-10, quotation and sketch from Schenker, Free Composition, Fig. 151.

Rondo  
Orch.

C major: IV — II — V — I — II — V — I

NB (continued)

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The C major here turns out to be only a single chord. Retrospectively, it does not exist here even as a genuine foreground key; its presence is only apparent.

Applied dominant chords that appear at the outset of a composition before the true tonic has been established can create a tonal deception to an even greater degree. An example of this can be found in the following Schubert Tanz, which at first seems to start in B minor but is eventually recognized as starting on a V of VI:

EXAMPLE 101: Schubert, Deutsche Tänze, Op. 33, No. 5, D. 783, bars 1-4.

The musical score shows four measures of music. The treble staff contains a melodic line with slurs and accents, marked 'legato' and 'p'. The bass staff contains a harmonic line with chords. Below the bass staff, the chord progression is labeled as V of VI - VI - V - I.

Unlike the previous example, the key of B does briefly exist here, albeit on the extreme foreground level.

In more complex examples, the apparent key can be tonicized at length. For instance, in Tchaikovsky's "Pathétique" Symphony the initial chord of a IV-V-I auxiliary cadence in B minor is prolonged in such a way that the symphony seems to be in the key of E for at least the first ten measures:

EXAMPLE 102: Tchaikovsky, Symphony No. 6 in B Minor, Op. 74 ("Pathétique"), I, bars 1-10.

The musical score for Tchaikovsky's Symphony No. 6, I, bars 1-10, is presented in three systems. The first system, marked "Adagio", shows the first five measures. The second system, marked "8", shows measures 6-10. The third system, marked "14", shows measures 11-15. The score includes staves for Basses, Viola, and Horns. The tempo changes from Adagio to Allegro non troppo at measure 14. The score is annotated with "ritenuto" and "string" markings.

Likewise, in Brahms's Intermezzo, Op. 118, No. 1, the key of C reigns in the middleground until about measure 28 (see Chapter Three, page 170-171, Example 97). Though ultimately reinterpreted within the context of the background tonality, the apparent opening key in each of these works is an important configuration of the composition.

Apparent Opening Keys Can Have  
Large-Scale Ramifications

The ramifications of apparent opening keys are not limited to the initial sensation of conflict and surprise which they arouse. By its very presence at the opening, the apparent tonic -- even if it is only barely touched upon-- achieves great importance. As a result, in many compositions with deceptive beginnings, the opening apparent key will return later as a foreground key. At such times these apparent keys have motivic implications which reach far into the composition, even after the structural tonic is reached.

An example of this can be seen in Schumann's "Am leuchtenden Sommermorgen." In the text of this song the love-stricken narrator enters a garden where (according to the narrator) the flowers speak to him. The music opens with a German augmented sixth chord moving to a V-I cadence in B-flat major (see Example 103 below). In the first measure, however, the listener has no inkling that the initial sonority should function as a German augmented sixth. More likely, he expects it to function in its simplest manner-- as a dominant seventh chord of B major (to which it is enharmonically equivalent).<sup>4</sup> But this expectation is contradicted by what follows, and the first chord is readily reinterpreted in retrospect. The shifting interpretation of

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4. See discussion of dominant seventh chord in Chapter Three, p. 163, fn. 6.

the opening chord relates to the text, helping prepare for the magical world of the garden.

Once the key of B-flat major is established, one expects the repetitions of the opening sonority to function as German augmented sixth chords, not as dominant sevenths, and most of them indeed do so. In bars 8-9, however, the chord surprisingly does act as the dominant seventh of B major. What would be an expected resolution in the opening bars thus turns out to be an unexpected resolution in the altered context of measure 9. This change of harmonic meaning highlights the shift in reality discussed in the text, for it is at this point that the narrator first mentions that he hears the flowers speaking:

EXAMPLE 103: Schumann, "Am leuchtenden Sommermorgen," No. 12 from Dichterliebe, bars 1- 11.

Ziemlich langsam.

Am leuchtenden Sommermorgen sah ich im Garten die Blumen sprechen.

B $\flat$  - B $\sharp$  - C

(Continued on next page.)

(Example 103, continued.)

The musical score consists of three staves. The top staff is a vocal line with the lyrics: "Hilf mir mich und mich - den Gei - stigen, ich bin der weis - e". The middle staff is the piano accompaniment for the right hand, and the bottom staff is for the left hand. Below the piano staves, the bass line is annotated with chord symbols: B $\flat$ , B $\sharp$ , and C(!!).

The otherworldly quality of the modulation to B major is further engendered by the fact that the bass tone of bar 9 is understood in retrospect to function harmonically not as a B, but as a C-flat, supporting  $\flat\hat{2}$  in the upper voice:

EXAMPLE 104: Schumann, "Am leuchtenden Sommermorgen," No. 12 from *Dichterliebe*, Op. 48, graph of bars 8-11.

This musical score shows a graph of bars 8-11. The top staff is the vocal line, and the bottom staff is the piano accompaniment. Above the vocal line, there are annotations:  $(\hat{4}3)$  over the first two notes,  $\flat\hat{3}$  over the third note,  $\flat\hat{2}$  over the fourth note,  $\sharp\hat{2}$  over the fifth note, and  $\hat{1}$  over the sixth note. The piano accompaniment has chord symbols:  $\underline{\underline{e}}$ ,  $\underline{\underline{\flat e}}$ ,  $\sharp$ ,  $\sharp\flat$ ,  $\flat\sharp$ , and  $\flat$ . Below the piano staff, there are harmonic analysis symbols: I,  $\flat\text{II}^{\flat}$ ,  $\sharp\text{II}^{\sharp}$ , V, and I. A bracket under the  $\flat\text{II}^{\flat}$  and  $\sharp\text{II}^{\sharp}$  symbols is labeled "(= B $\sharp$ )".

Significantly, however, the B $\flat$ -C $\flat$ -C bass motion of bars 8-10 is itself a hidden repetition of the same pitches in bars 4-5 (see the B $\flat$ -B $\sharp$ -C in the piano part, right hand). It is as though Schumann were emphasizing that, even at the height of his fantasies, the narrator remains in the same garden through which he strolled earlier.

The conflicts between B-flat and B-natural seen here were suggested by the conflict between the apparent opening tonic in measure 1 and the background tonality established in the measures 1-3. Other conflicts between B-flat and B-natural arise later in the song. Though the apparent key of B is only barely implied in the beginning, it continues to exert an influence on the entire composition.

At times a deceptive beginning key will jar the listener's expectations to such an extent that it will have tonal ramifications later in the composition. Such is the case, for instance, in Haydn's String Quartet Op. 33, No. 1, I. In bar 1 this quartet seems to be in D major. By the end of the first phrase, however, B minor is revealed as the main key:

EXAMPLE 105: Haydn, Quartet for Strings, Op. 33, No. 1, in B Minor, I, bars 1-10.

Allegro moderato

Violino I  
Violino II  
Viola  
Violoncello

4  
8

This witty opening creates a tonal disturbance that has repercussions when the theme returns in bars 18 *ff*. In spite of the bass support in the cello, the listener half expects the theme here to move towards B minor, as it did in its first statement. This notion is fostered by the strongly stated F-sharp chord of bar 17. Yet the listener is fooled again, for this time the theme remains in D major. Whereas

the motion towards B minor was surprising in bar 3, the failure to move towards B is surprising in bar 20:<sup>5</sup>

EXAMPLE 106: Haydn, Quartet for Strings, Op. 33, No. 1, in B Minor, bars 17-20.

Beethoven's Op. 59, No. 2, IV, provides another interesting example of a movement whose opening tonal deception casts a shadow far into the composition. In this work, the apparent key is so firmly established that the tonality of the composition remains in doubt even after the structural tonic arrives. The first phrase of this movement initially seems to be in C major. Although the phrase quickly veers towards the background tonality of E minor, it takes the listener a while to fully accept E as the tonic. As Schoenberg insightfully points out,

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5. The opening of this quartet also has a number of motivic ramifications felt later in the work, particularly as regards the contrast between the pivotal tones A (of D major) and A# (of B minor). Charles Rosen notes the significance of this A-A# conflict in Classical Style (New York: Norton, 1971), pp. 115-16.

. . . the last movement of Beethoven's quartet, Opus 59, No. 2, is in E-minor. We know this principally because it ends in E-minor. But it begins in C-major with a theme which uses every means to establish this key. After a few measures it turns to the key which Beethoven decides to make the main tonality of the piece. I beg you to give due consideration to this case: by every ingenious means C-major is at first stressed in the harmony and in the melody; and the subsequent turn to E-minor can be taken even at that point as the third degree of C-major.<sup>6</sup>

To be sure, the harmonic motions from C to E are much smoother and more convincing than the rather abrupt motions back from E to C. Furthermore, the F-sharp major chords of 19-20 and 32-33 (which foreshadow the motions to the background dominant) seem less compatible with the key of C than E. Thus, as the theme continues, the notion that E is the true tonic is given increasing support. Still, some doubt concerning the identity of the true tonality remains until the end of first theme in bar 52. On the other hand, when the first theme returns in the A' section (107 ff.), the harmonic ambiguity is no longer a factor. By this point in the composition the tonal goal of E minor can no longer be in doubt. Beethoven nevertheless keeps from overemphasizing the tonic here by avoiding a cadence to E at the end of the section. Instead, he prolongs the key of C from measure 142 through the following section in 146 ff. By the final statements of the theme in 275-300 and 371-83, however, the supremacy of the key of E minor is completely unchallenged.

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6. "Problems of Harmony," from Style and Idea, edited by Leonard Stein (New York: St. Martin's Press, 1973), pp. 274.

Whereas in the first statement of the theme, C major vies with E minor to be heard as the tonic, by the final statements E minor mocks its former tonal rival.

THE OPENING APPARENT KEY DOES NOT AFFECT  
THE BACKGROUND STRUCTURAL LOGIC

Clearly a voice-leading graph would not account for all of the tonal nuances so vital to the meaning of the Beethoven quartet movement discussed above. For instance, the C chords of bars 1-6 and 371-76 would both be labeled as VI chords. A graph would neglect to indicate that the first C chord, unlike the second, is initially perceived as a tonic. Likewise, it would show the structural tonic prolonged from measures 8-409. The E chords of these bars would be shown to function in identical ways, in spite of the harmonic ambiguity inherent in the first E chord but absent in the final one. A graph ignores the experience of the ideal listener who "knows nothing beforehand;" it is concerned only with a listener who has "heard and remembered everything."<sup>7</sup>

Yet these shortcomings by no means invalidate the relevance of graphs in describing the retrospective view of this piece anymore than do momentary, deceptive harmonic nuances negate the tonal coherence of a work. Of course, the momen-

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7. A similar shortcoming can be found even in graphs of works with tonic openings. Though the graphs will correctly show the opening and closing tonics to function on equal levels, the different tonics nevertheless will inevitably be perceived differently by virtue of their contrasting placement within the composition.

tary conclusions one draws while experiencing a work contribute greatly to its message. Yet unlike much popular art, where momentary sounds and sensations are central concerns, a serious work of art by definition must be able to withstand contemplation as a complete entity. The importance of a retrospective view of a composition (from which a work ultimately derives its logic) therefore should not be underestimated.

The significance of retrospective tonal interpretations and the tensions aroused by their conflicts with momentary tonal interpretations have been appreciated by a number of theorists.<sup>8</sup> Recently, however, many have questioned the validity of retrospective tonal analyses of works with harmonically ambiguous or misleading beginnings. Likewise, many have challenged the relevance of voice-leading graphs in describing the tonal structure of such works. Schenker, in particular, has received much criticism for his analyses of works which open in non-tonic keys. For instance, a number have complained that Schenker's analysis in Free Composition of Chopin's A Minor Prelude Op. 28, No. 2, (see Chapter Three, page 156, Example 89) fails to note the initial perceptions that first E minor and then G major function as the

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8. Tovey, for instance, in the quote cited on p. 178 above, does not deny that D is ultimately to be regarded as the key of Beethoven's Ninth Symphony, in spite of its ambiguous opening. Likewise, Schoenberg's recognition of the opening tonal ambiguity of Beethoven's Op. 59, No. 3, IV, does not prevent him from claiming that the movement is in E minor.

tonic. It is true that Schenker's graph gives an entirely retrospective reading, as it must by its very nature. Yet this does not imply that Schenker does not recognize the presence of the initial, deceptive keys of E and G; indeed, he mentions them in his discussion of this work in Harmony.<sup>9</sup>

Schenker discusses the contrast between prospective and retrospective views of tonality in other compositions where the opening tonality differs from the key which is eventually understood to structure the piece.<sup>10</sup> In Free Composition, Par. 307, he even devotes a paragraph to works with misleading tonal openings, for which he created the term "deceptive beginnings." As Schenker's examples here make clear, works with non-tonic openings differ from other works with auxiliary cadence openings only in that they initially promote a misleading tonal reading of the composition which they head.

The work with a deceptive beginning which Schenker discusses most explicitly is "Erbarm es Gott," Recitative No. 51 from Bach's St. Matthew Passion. In an essay from Tonwille, Schenker notes that this recitative "begins with a C Major chord, which -- because of the first motive (mm. 1-2) and

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9. See Schenker, Harmony, p. 251-61; see also comments by Marianne Kielian-Gilbert in "Motive Transformation in Chopin's A Minor Prelude," In Theory Only, IX/1 (March, 1986), p. 21-27, regarding Schenker's analysis of this Prelude. For a criticism of Schenker's analysis, see Reed J. Hoyt, "Chopin's Prelude in A Minor Revisited: The Issue of Tonality," In Theory Only, VIII/6 (April, 1985), pp. 7-16.

10. In addition to the many analyses by Schenker cited

because of the immediately entering seventh B-flat -- is already to be understood as the I of C major."<sup>11</sup> But though he states that the key of C major is established in the beginning, Schenker's text and his graph of the work make it clear that "already in the first measure the I of C major is reinterpreted as the IV of G major" (see page 168-69, Example 96).<sup>12</sup> Unlike some of his critics, Schenker realized that initial tonal perceptions do not necessarily prevent a later reinterpretation.

#### KEY-SHIFTING WORKS

Though Schenker was a great proponent of tonal unity, he recognized that some works are not tonally unified. This is evident from his analysis of Chopin's Mazurka Op. 30, No. 2, a work which begins in B major but finishes in F-sharp major. Regarding this piece he notes:

A fundamental line and  $v^{\#3}$ -I in the bass are . . . lacking here; the uncertainty which rises about the tonality (see N.B.) almost prevents us from calling this Mazurka a completed composition.<sup>13</sup>

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throughout this study which bear this statement out, see his comments regarding CPE Bach's F Major Sonata, I, in Harmony, p. 252.

11. "J. Seb. Bach: Matthäuspasion Recitativ: 'Erbarm es Gott,'" Tonwille 7 (1924), p. 34; translation by Martin Wulfhorst, to be published in forthcoming edition of Theory and Practice.

12. Ibid.

13. Free Composition, Par. 307.

EXAMPLE 107: Graph of Chopin, Mazurka Op. 30, No. 2, from Schenker, Free Composition, Fig. 152, 7.



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One could easily fabricate a monotonal analysis of this work in either B or F-sharp, as Schenker implies by the Roman numerals in parentheses underneath his graph. Yet I feel it would be more accurate to regard the work as starting in B and shifting to F-sharp in such a way that neither key predominates over the other. I refer to such compositions as "key-shifting" (see above, page 5).

Schenker probably would have been reluctant to accept the notion of a key-shifting structure as a valid framework for a composition, since tonal unity is so central to his concept of musical structure. This explains Schenker's hesitation in regarding the Chopin Mazurka as a "completed" composition. Certainly, tonal unity is a primary means by which the masters establish the organic cohesion necessary in a great composition. Yet the great composers at times purposely choose to avoid tonal unity in order to create a poetic or programmatic effect. The musician should thus be prepared to come upon works which change keys in such a man-

ner that the initial key or keys cannot be reinterpreted within the context of the final key.

Two examples of instrumental works that shift keys in their midst are Liszt's Hungarian Rhapsody, No. 2, and Schumann's String Quartet No. 1, I. Both works essentially comprise two movements in different keys linked by brief transitions. Similarly, a number of songs, such as Schubert's "Der Alpenjäger," divide into two sections belonging to separate tonal domains corresponding to significant divisions in their texts.<sup>14</sup> There are also compositions which contain more than one key shift. For example, Beethoven's Fanatsy, Op. 77, which starts G minor, shifts keys a number of times before landing in the final key of B major.<sup>15</sup> In these compositions, unlike pieces with deceptive beginnings, the opening tonalities are not reinterpreted in the context of the final key.

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14. Harald Krebs discusses the tonal structure of "Der Alpenjäger" and other Schubert songs which switch keys in their midst in "Alternatives to Monotonicity in Nineteenth-Century Music," Journal of Music Theory, XXV/1 (Spring, 1981), pp. 3-6. Similiar Schubert songs are discussed also in Walter Gerstenberg, "Der Rahmen der Tonalität im Liede Schuberts," Festschrift Karl Gustav Fellerer zum 70. Geburtstag, Ed. Heinrich Hüschen (Cologne: Arno-Volt Verlag, 1973), pp. 147-55; Harald Krebs, "Third Relation and Dominant in Late 18th- and Early 19th-century Music" (Ph.D. diss., Yale University, 1980); and Krebs, "The Background Level in Tonally Deviating Works of Franz Schubert," In Theory Only, VII/8 (December, 1985), pp. 5-18. Dr. Krebs has compiled a list of about 70 Shubert songs which at least apparently shift keys (pers. comm.).

15. Schoenberg, in Structural Functions of Harmony, Rev. Ed. (New York: Norton, 1954), pp. 185-86, tries to analyze this work in B major, but readily admits that this "analysis is very artificial and rather serves to demonstrate the absence of a tonal centre."

That a work is key-shifting does not necessarily mean that it lacks tonal logic. For instance, the key shift may be guided by key symbolism. At other times the sections of different tonal domains may be related through some motivic connection. Sometimes the relationship of the two keys will be significant, as in Chopin's Mazurka, Op. 30, No. 2, where the key shifts up a perfect fifth, (see Example 107 above), or in cases where the key shifts to the relative mode (eg., Schubert's Eccosaise No. 2 from Op. 18). And compositions with multiple key shifts will often be founded on a key plan with its own logic. Brahms's F Minor Piano Sonata, II, for example, is framed by an ABAB structure in which a theme in A-flat major alternates with one in D-flat. These and other devices can give a sense of order and cohesiveness to works in which no single tonal center predominates.<sup>16</sup>

A number of theorists also appeal to the notion of "progressive tonality" to describe pieces which "move" from one key to another (see Chapter One, page 15-16, above).

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16. The foregoing is but a brief accounting of some possible structural criteria for key-shifting works; a detailed discussion would go far beyond the scope of this study. For a more lengthy list of key shifting works and a survey of theories regarding the structure of key-shifting compositions, see Reid, Tonality's Changing Role, pp. 54-97. Other works which discuss specific theories regarding the structure of such compositions include Hans Tischler, "Key Symbolism versus Progressive Tonality," Musicology II/4 (July, 1949), pp. 383 ff.; Donald Mitchell, Gustav Mahler: The Early Years (London: Rockliff, 1958); Graham George, Tonality and Musical Structure (New York: Praeger, 1970); Robert Bailey, "The Structure of the Ring and its Evolution," Nineteenth Century Music, I/1 (July, 1977), pp. 31 ff.; Krebs, "Alternatives to Monotonicity," and David Loeb, "Dual-Key Movements," Schenker Studies (Cambridge University: Cambridge University Press, publication forthcoming).

Strictly defined, progressive tonality applies to works in which the tonal center changes continuously throughout the course of a work in such a way that no single key is established as the background tonality. Works structured by progressive tonality differ from other key-shifting works in that the tonality changes so gradually that the areas of different tonal domains cannot be clearly delineated. As with other works structured by key-shifts, they differ from monotonal works with deceptive beginnings (where there is likewise a gradual "motion" from one key to another) in that the initial key cannot be heard as subordinate to the final key, even retrospectively.

A related, though more radical, concept is that of "dual-key" tonality. Dual-key tonality arises when two keys simultaneously structure a composition so that neither predominates. While I do not deny that this concept might have validity, especially for twentieth-century music, I feel that too often dual-key readings result from half-hearted analyses. Though there are many compositions in which two keys are emphasized, often one of the keys will be recognized ultimately to be of higher rank, even if the perception of which key is the more fundamental one changes as the work proceeds. This is often the case in works with deceptive beginnings, where the ultimate key can be foreshadowed within the prolongation of the opening key (as in Brahms's Op. 118, No. 1,) and the opening key can be referred to later in the composition (as in Beethoven's Op. 59, No. 2). In such cases

the sense of foreground key will alternate between two keys. It would not be wrong to claim that, for instance, Haydn's Op. 33, No. 1, I is in both D major and in B minor or that the Prelude to Act I of Tristan is in both A minor and C major. Yet I feel that more precise analyses of these two works recognize that the final key of each is retrospectively recognized as the predominating tonality.<sup>17</sup>

MONOTONAL WORKS THAT BEGIN WITH APPARENT KEYS  
SHOULD BE DISTINGUISHED FROM KEY-SHIFTING WORKS

Criteria for Distinguishing Such Compositions

The difference between monotonal works with deceptive beginnings and key-shifting works is an important one. In the first case, one key is ultimately understood to govern the entire work, even if only in retrospect. It does not matter whether or not the tonic key is established at the outset, since tonality is defined in terms of goals. (Much as the tonic of a phrase is not necessarily the opening tone or chord, but rather the tone or chord in which the collective harmonies of the phrase can find their resolution, so the tonic of a composition is not necessarily the central tone or chord of the opening phrase, but rather the tone or chord to which the collective harmonies of the entire work can find

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17. Even in cases where the work is not monotonal, I feel that often dual key analyses are too unspecific. For instance, though one could read Mendelssohn's String Quartet Op. 12, IV, as being in both C minor and E-flat major, I feel a more accurate analysis would define which sections are governed by C and which by E-flat.

their resolution.) Furthermore, since the opening key of a monotonal work is retrospectively perceived as functioning within the context of the final key, it is clear that such compositions have a definite tonal hierarchy. In key-shifting works, however, no single key governs the entire work. In these compositions, one does not ultimately reinterpret the opening tonality in terms of the final key; even on the background level, the different keys function on equal levels.

It is often difficult to determine whether a particular work is monotonal or key shifting, for there are no quick formulas with which one can distinguish the two. One cannot, for instance, merely count the measures allotted to the final key to determine whether it functions as a goal. In my view, Brahms's *Intermezzo* Op. 118, No. 1, is monotonal, though the tonic is not reached until almost the final quarter of the piece (see Chapter Three, Example 98 above). On the other hand, I feel that Beethoven's *Fantasy* Op. 77 is key shifting, though its final key lasts for about three-fifths of the composition.<sup>18</sup> Nor can one merely piece together the foreground keys touched upon to see if they function in a syntactically normal manner in relation to the final key. The key structure of Brahms's *Piano Sonata*, Op. 5, II, for ex-

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18. This is not to deny that the key of B major has some type of priority in this piece. Yet much as one would not necessarily interpret a recitative preceding an aria as being in the key of the aria, so I feel that the chords preceding the B major section cannot be reinterpreted, even retrospectively, in terms of the final key.

ample, could be construed as forming a normal V-I structure in D-flat major; yet I feel there is little in the music that would support the notion that the A-flat major sections are subordinate to the ones in D-flat major.

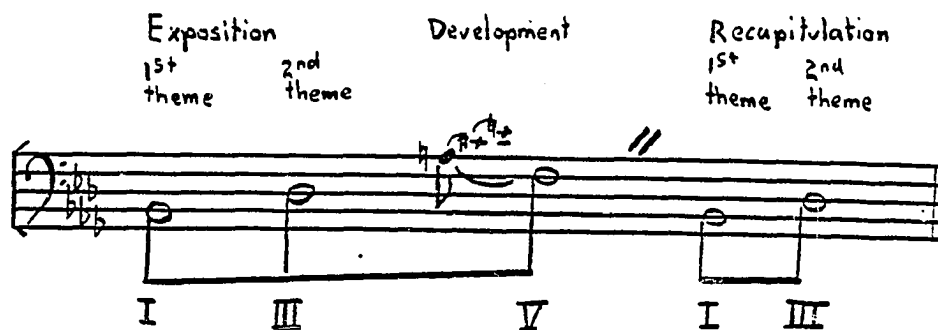
To determine whether a work is monotonal or key-shifting one must take into account the extent of the tentative tonal expectations aroused at the beginning as well as the relationship of each section to the rest of the piece. Does the tonal structure form a coherent whole? Is the final tonic, at least in retrospect, a logical outgrowth of the beginning, and is it somehow foreshadowed within the prolongation of the first key area? In each case we must ask ourselves which reading best reveals the true meaning of the work without obscuring our reactions merely in order to prove a point.

### Two Examples

#### Chopin's Scherzo, Op. 31

Upon detailed analysis, many works that initially seem to shift keys in their midst may be better understood in terms of a single tonality but opening with a deceptive beginning. A famous example is Chopin's Scherzo, Op. 31, often referred to as Chopin's "B-flat Minor Scherzo." This work might appear to be framed by a loose sonata-form structure in which the second theme modulates to the relative major in both the exposition and the recapitulation:

EXAMPLE 108: Hypothetical analysis of form and key structure of Chopin, Scherzo, Op. 31.



Yet the notion that this work ends in a non-tonic key is surely not correct, for by no means does this work conclude in a tonally unresolved state. Since the tonic of a composition is determined by its ultimate tonal goal, not by the local key of its first theme, the work cannot be regarded as being in B-flat minor. The piece also might be read in terms of key shifts, with the related keys of B-flat minor and D-flat major alternating in a logical fashion. Yet such a view, I believe, fails to account for the unbroken tonal drive which spans the entire movement, a drive which ultimately establishes the key of D-flat as the logical tonal goal.

I am not alone in feeling that this work should be understood as being in D-flat major. It is well known that Schenker insists on referring to the piece as Chopin's "Scherzo in D-flat Major" and graphs it in this key in various examples of Free Composition:

EXAMPLE 109: Graphs of Chopin, Scherzo, Op. 31, from Schenker, Free Composition, (a) Fig. 13; (b) Fig. 102, 6 (c) Fig. 119, 13.

a

b

c

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The sense that D-flat is the tonal goal of this composition is reinforced by motivic events. As Schenker points out, there is a significant arpeggio motive  $f^2-ab^2-f^3$ , which connects the B-flat minor section with the D-flat major section (the  $f^3$  being the initial tone of the fundamental structure). This motive, which helps point the B-flat minor section towards its D-flat major goal, is repeated in a some-

what different form in bars 65-87 and 265-540, within the local D-flat major section (see Example 109 above).<sup>19</sup>

Another important element which helps bind this work is the changing function of the pitch A<sup>b</sup>-B<sup>bb</sup>. The conflict between the keys of B-flat minor and D-flat major hinges upon the function of this pitch: when it acts as an A natural, it helps establish the key of B-flat minor; when it functions as a B double-flat, it drives towards the A-flat (the V of D-flat) and cancels the key of B-flat. In the opening bars of the piece, the pitch functions as an A-natural, and thus B-flat is initially heard as tonic. But even within the opening prolongation of B-flat there is an abrupt motion to A-flat (in measure 13), followed by a resolution to D-flat which foreshadows the arrival of the ultimate tonal center:

EXAMPLE 110: Chopin, Scherzo, Op. 31, graph of bars 1-49.

Db: (VI - ) I  
 (=Bb minor I III V I )

19. See Free Composition, Par. 43 and 254.

The following section in D-flat major contains a number of B $\flat\flat$ -A $\flat$  motions, as though to rectify the A $\natural$ -B $\flat$  motions of the opening bars:

EXAMPLE 111: Chopin, Scherzo, Op. 31, bars 49-56.

The middle section (bars 265-573) significantly begins in the key of A natural. As Schenker shows, however, this key functions B double-flat,  $\flat$ VI of D-flat major (see Example 8c above). In the background, however, the bass B double-flat goes contrary to its natural tendencies by moving to the B-flat chord of bar 592, at the beginning of the recapitulation:

EXAMPLE 112: Chopin, Scherzo, Op. 31, sketch of bars 49 ff., after Schenker.

The  $\flat$ VI returns with great force in the coda, this time moving towards a large scale V. There are a few last attempts to assert the  $A\sharp-B\flat$  motion, most notably in bars 706-719 and bars 738-41. But these motions are overwhelmed by the more tonally powerful  $B\flat\flat-A\flat$  motions which effectively cancel the motions to B-flat, forcing the motion towards its D-flat major goal:

EXAMPLE 113: Chopin, Scherzo, Op. 31, (a) bars 698-720, (b) bars 698-746, graph; (c) bars 752-53, quotation.

a

(Continued on next page.)

(Example 113, continued.)

b

698 706 721

I V (Nbnhm) I

c

Ab - Bbb - Ab

The last, almost desperate appearance of A-natural in bars 762-64 only serves to emphasize how overpowering the motion towards the V of D-flat has become by the conclusion of the Scherzo:

EXAMPLE 114: Chopin, Scherzo, Op. 31, bars 761-80, (a) quotation; and (b) graph.

a

762

\* D. \* D. \* D. \* D. \* D. V 1 1 \* D.

(Continued on next page.)

(Example 114, continued.)

Such motives help drive the harmonies towards the goal of D-flat in spite of the daringly misleading opening.

Chopin's Ballade, Op. 38

Chopin's Second Ballade, which starts in F major but concludes in A minor, poses more drastic tonal problems than those encountered in the Scherzo, Op. 31. Within the opening F major section there are two ominous modulations to A minor. The first of these modulations is introduced via a pivot chord, the second one comes more abruptly, following directly on the heels of a V of F:

EXAMPLE 115: Chopin, Ballade, Op. 38, graphs of excerpts, (a) bars 17-21; (b) bars 27-41.

20

a

I - III - V

b

I (III) II V I

These motions to A foreshadow the deeper-level motion to A minor in the second theme section (bars 46-81). In spite of the emphasis given to it, however, the motion to A here does not disturb the sense of the F-major tonality. The key of F major has been established too strongly in the previous section to allow a reinterpretation of the background tonality without the benefit of a dominant chord, like the one in Chopin's Scherzo Op. 31. Rather, the A=minor section here

appears as a III, part of a I-III-V of F major, which returns in the A' section (bars 82 ff).

Interestingly, Robert Schumann mentioned that he heard Chopin give an abbreviated performance in which the Ballade ended in F major.<sup>20</sup> It is not difficult to imagine a different, shorter version of the work ending in that key. After all, F major is prolonged and perceived to be the background key for most of the composition. As the work continues, however, what is initially heard as an F-major piece with strong tonicizations of A minor, turns into a piece in A minor with strong statements of F major. Preparations for this change in tonal perception intensify shortly after the beginning of the A' section (bar 82). Here the key of F major is prolonged much less emphatically than in the analogous section of measures 1-45. The decisive point arrives, however, in bar 157 (towards the end of the return of the A-minor theme). With the E chord of this measure, I feel that the motion towards A arrives at a point of no return and that the sense of F as the key center is overthrown. By this point, the key of A minor has been foreshadowed so thoroughly that it can be retrospectively understood as the logical goal of the entire composition. In spite of the lengthy opening deception, A minor is indeed the chord in which the collective harmonies of the work find their tonal resolution:<sup>21</sup>

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20. See Robert Schumann, On Music and Musicians, translated by Paul Rosenfeld, edited by Konrad Wolff (Berkeley: University of California Press, c. 1946), p. 143.

21. Though I have arrived at the main points of this

EXAMPLE 116: Chopin, Ballade, Op. 38, retrospective, background graphs for the entire composition.

The image displays two musical staves with background graphs. The top staff shows a simple graph with notes 5, 6, 7, 5, 4, 3, 2, 1 and Roman numerals I, V, I. The bottom staff shows a more complex graph with notes 1, 46, 140, 148, 159, 168, 180 and Roman numerals VI, V, I, V, I. Both graphs have a treble clef and a bass clef.

Significantly, the F-E motion in the bass which heralds the arrival of the background A minor in measure 168 plays an

background reading independently, I am not the first one to read the work in A minor. Brahms and Schenker, for instance, refer to this work as Chopin's "A Minor Ballade" (see Oswald Jonas, "On the Study of Chopin's Manuscripts," *Chopin-Jahrbuch* 1956, pp.142-44), and William Yadeau likewise reads it in A minor in "Tonal and Formal Structures in Selected Works of Chopin (D.M.A. diss, University of Illinois, 1980), where he discusses the work at length and gives a detailed graph of its structure and voice-leading. Among the others who read this composition in A minor is Carl Schachter; my own analysis of the Ballade is greatly indebted to Prof. Schachter's insights.

important role in the Ballade. The pitches F and E, after all, are the ones which differentiate an F major chord from an A minor chord; whereas motions from E to F help establish F major, motions from F to E establish A minor:

EXAMPLE 117: Abstract example.

Accordingly, during the opening section the E-F motions are conspicuous:

EXAMPLE 118: Chopin, Ballade, Op. 38, (a) bar 4; and (b) bars 21-25.

During the A minor sections, on the other hand, the F-E motive is stressed. Indeed, the A minor sections each begin with the appoggiatura figure F-E in the upper voice, so that they literally start with F major chords:

EXAMPLE 119: Chopin, Ballade, Op. 38, (a) bars 46 and 146; and (b) bar 168.

Figure 119 shows two musical excerpts from Chopin's Ballade, Op. 38. Excerpt (a) shows bars 46 and 146, marked 'Presto con fuoco' and 'ff'. Excerpt (b) shows bar 168, marked 'agitato'. Both excerpts feature the F-E motive in the upper voice, with F major chords indicated by asterisks below the bass line.

The F-E motive appears with particular forcefulness towards the end of the composition, as though to emphasize once and for all that A -- not F -- is the ultimate tonal goal of the work:

EXAMPLE 120: Chopin, Ballade, Op. 38, bars 186-88.

Figure 120 shows a musical excerpt from Chopin's Ballade, Op. 38, bars 186-88. The excerpt features the F-E motive in the upper voice, with F major chords indicated by asterisks below the bass line.

An F-E motion even embraces the final, transposed quotation of the first theme in bars 196-200:

EXAMPLE 121: Chopin, Ballade, Op. 38, bars 196-203.

The image shows a musical score for Chopin's Ballade, Op. 38, bars 196-203. The score is in F major and A minor. It features a piano (pp) dynamic and a tempo I marking. The key signature changes from F major to A minor. The score is annotated with 'F' and 'E' below the staff, with an arrow pointing from F to E, indicating the F-E motion mentioned in the text. There are also asterisks and other markings on the staff.

To be sure, a multi-key reading of this work could provide various insights, much as any analysis could which labels and delineates the local key areas of a composition. It would not be wrong to say that the composition is in both F major and A minor, or that it starts in F and ends in A. But I feel that a full understanding of the Ballade can come only through an analysis which accounts for the drive towards the single tonic goal that ultimately encompasses the work, a drive which distinguishes the tonality in this work from key-shifting ones.

It may appear to some that a single key analysis renders a static view of works such as the Chopin pieces discussed here. I feel, on the contrary, that such a reading more readily accounts for the ongoing mobility of these compositions. After all, harmonic movement is more keenly felt when

it works continuously through a single organism and in reference to a single tonal goal than when it takes place in segments and without a stable point of reference. Others might complain that a single key analysis of these works offers too narrow a view to account for the tonal variety which makes them so fascinating. I maintain that a sense of variety is vitiated when different keys are perceived as equal in rank. Measured against a single background tonality, the various keys take on a deeper kind of variety - a variety of function. Only through a proper understanding of the tonal hierarchy that embraces these works can one fully appreciate the conflicts and ambiguities that arise through the contrasts of the various structural levels and moments of perception. Much as the force of tonality can unify a progression that begins off the tonic, so it can effectively structure an entire composition in spite of a lengthy, deceptive, non-tonic opening.

### CONCLUSION

A non-tonic opening, though it may initially sound random or deceptive, must be integrated into the logical structural framework of a composition if the work is to be considered successful. This structural integration occurs primarily through the harmonic logic of the auxiliary cadence, i.e., a unified progression that starts on a non-tonic chord. All non-tonic openings, even complex ones which imply a deceptive key or in which the tonic is delayed for most of the composition, can be understood as being structured by an auxiliary cadence.

A non-tonic opening may be further integrated into a composition by motivic means. If themes and motivic fragments from it are reiterated later in the composition, an opening which initially seems irrelevant can retrospectively be understood as a logical point of departure. Thematic and motivic returns of themes that start on non-tonic chords can pose problems which have a great impact on the large-scale harmonic structure of the entire composition, problems which the master composers often handle with great ingenuity.

The study of the non-tonic opening gives insight into musical style. The incidence of its use clearly establishes it as primarily a nineteenth century phenomenon. Nevertheless, a line of influence may be traced from the use of internal auxiliary cadences by Mozart and Haydn, to the non-tonic openings of Beethoven, and in turn to the more daring omission of opening tonics by Schumann, Brahms, and Wagner. Future studies might well explore the use of the non-tonic opening in late-Romantic and early twentieth century music and the influence of the non-tonic opening on more radical approaches toward tonality. A related topic for future research would be an investigation into the ways in which composers establish a clear-cut beginnings in pre-tonal and post-tonal music.

By studying the unusual tonal implications of the non-tonic opening, one also gains much insight into the essence of tonality. The non-tonic opening contradicts the simplistic definition of tonality that requires a tonic to be present at the beginning and end of a work, and thus forces one to re-evaluate the nature of the tonal system.

Most of all, the study of the non-tonic opening increases our admiration for the achievement of those composers who have succeeded in incorporating this inherently chaotic element into works that are ultimately logical; works which, in spite of their seemingly free and irrelevant beginning,

ultimately fulfill the Aristotelean requirement that a work of art be a unified whole with a clear beginning, middle, and end.

APPENDIX I

In preparation for this study I have surveyed the literature for examples of non-tonic openings.<sup>1</sup> The following represents a portion of that survey. For practical reasons, I limit this list to piano works, string quartets, and symphonies (though I do discuss non-tonic openings from other genres in my dissertation). I also limit this list to clear-cut examples of non-tonic openings. I avoid key-shifting works, works in which an opening tonic is obscured (as in the opening of Beethoven's First Symphony; pages 135-41 above), recitative-like movements, and purely transitional movements (see pages 149-52 above). In order to make this list as objective as possible, I also avoid including cases in which works which begin structurally on a non-tonic chord but in which either a tonic is literally present or a tonic chord may be implied, works which I do discuss elsewhere throughout my dissertation (see discussion on pages 141-44).<sup>2</sup>

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1. Similar surveys may be found in Sarah Johnston Reid, "Tonality's Changing Role: A Survey of Non-Concentric Instrumental Works of the Nineteenth Century," (PhD dissertation, University of Texas at Austin, 1980), and in Cheryl Noden-Skinner, "Tonal Ambiguity in the Opening Measures of Selected Works by Chopin" College Music Symposium, XXIV/2 (Fall, 1985), 28-34.

2. Though an objective stance is obviously necessary in compiling a comparative list such as this, complete objec-

Haydn

Piano works:

--

String quartets:

Op. 33, No. 4, I  
           No. 5, I  
 Op. 50, No. 3, II  
           No. 6, I  
 Op. 55, No. 1, IV  
 Op. 64, No. 2, I  
 Op. 74, No. 1, I

Symphonies:

Symphony No. 65, II

Mozart

Piano works:

--

String Quartets:

K. 160, II

Symphonies:

--

---

tivity would hardly be possible. Indeed, in analyzing individual works, an objective stance toward the tonal status of an opening is not always even desirable. For instance, when presented with a similarly ambiguous case in a work by Mozart and a work by Schumann, one would more readily read the Schumann as having a non-tonic opening, since Schumann's predilection for non-tonic openings may be seen in many clear-cut instances in his oeuvre. Thus a list with an appropriately purposeful historical subjectivity would include even more pieces by Schumann and others with a similar leaning towards non-tonic openings.

Since there are no complete editions of their works, I could not include Liszt or C.P.E. Bach in this survey, two composers who nevertheless wrote a significant number of works with non-tonic openings.

Beethoven

## Piano works:

Op. 7, IV  
 Op. 31, No. 1, III  
           No. 2, I  
           No. 3, I  
 Op. 57, III  
 Op. 78, II  
 Op. 81a, III  
 Op. 101, I  
 Op. 106, III  
 Op. 111, I  
 Op. 119, No. 6  
           No. 10

## String quartets:

Op. 59, No. 2, IV  
           No. 3, I  
 Op. 95, III  
 Op. 127, II  
 Op. 130, VI  
 Op. 132, I  
 Op. 133  
 Op. 135, I  
           IV

## Symphonies:

Op. 21, IV  
 Op. 36, IV  
 Op. 55, IV  
 Op. 92, IV  
 Op. 125, I

Schubert

## piano works:

## Sonatas:

D. 960, IV

## Dances:

D. 145, Landler No. 10  
 D. 146, No. 15  
 D. 365, No. 1  
           No. 27  
           No. 30  
           No. 32  
 D. 783, No. 5  
           No. 10

D. 790, No. 3  
           No. 9  
           No. 11  
 D. 924, No. 6  
           No. 11  
 D. 969, No. 4  
           No. 5

String quartets:

D. 18, I

Symphonies:

D. 125, IV

Mendelssohn

Piano works:

Op. 30, No. 4  
 Op. 62, No. 1  
 Op. 82

String quartets:

--

Symphonies:

--

Chopin

Piano works:

Op. 6, No. 2  
 Op. 7, No. 1  
           No. 5  
 Op. 10, No. 12  
 Op. 19  
 Op. 20  
 Op. 23  
 Op. 24, No. 1  
           No. 4  
 Op. 25, No. 2  
           No. 7  
           No. 8  
           No. 10  
 Op. 28, No. 2  
           No. 5

No. 16  
 No. 17  
 No. 18  
 Op. 30, No. 1  
           No. 4  
 Op. 31  
 Op. 33, No. 1  
           No. 3  
 Op. 34, No. 3  
 Op. 35, I  
 Op. 38  
 Op. 39  
 Op. 44  
 Op. 48, No. 2  
 Op. 49  
 Op. 50, No. 1  
           No. 2  
           No. 3  
  
 Op. 51  
 Op. 52  
 Op. 53  
 Op. 56, No. 1  
           No. 3  
  
 Op. 58, IV  
 Op. 62  
 Op. 63, No. 2  
 Op. 67, No. 2

Schumann

Piano pieces:

Op. 2, No. 1  
           No. 6  
           No. 7  
           No. 11  
 Op. 4, No. 3  
           No. 4  
 Op. 5, No. 7  
 Op. 6, No. 5  
           No. 7  
           No. 9  
           No. 12  
  
 Op. 7  
 Op. 9, No. 3  
           No. 4  
           No. 6  
           No. 7  
           No. 8  
           No. 10  
           No. 12  
           No. 13

No. 19  
 No. 20  
 Op. 12, No. 2  
           No. 3  
           No. 4  
 Op. 15, No. 4  
           No. 5  
           No. 11  
 Op. 16, No. 1  
           No. 4  
           No. 7  
  
 Op. 17  
 Op. 20  
 Op. 21, No. 1  
           No. 4  
           No. 5  
           No. 8  
 Op. 23, No. 1  
           No. 2  
  
 Op. 26, II  
 Op. 28, III  
 Op. 32, scherzo  
 Op. 56, No. 3  
 Op. 68, No. 11  
           No. 41  
           No. 42  
  
 Op. 72, No. 3  
 Op. 76, I  
           III  
  
 Op. 82, V  
 Op. 99, No. 2  
           No. 12  
  
 Op. 118, No. 1, IV  
           No. 3, IV  
 Op. 124, No. 3  
           No. 4  
           No. 9  
           No. 11  
 Op. 133, No. 5  
           No. 21

String quartets:

Op. 41, No. 1, III  
           No. 2, IV  
           No. 3, I

Symphonies:

Op. 61, II

Brahms

## Piano pieces:

Op. 39, No. 10  
          No. 16  
Op. 76, No. 4  
          No. 8  
Op. 116, No. 3  
Op. 118, No. 1

## String quartets:

Op. 51, No. 1, IV  
          No. 2, I

## Symphonies:

Op. 73, II  
Op. 90, IV  
Op. 98, IV

APPENDIX II

The following is an index of works cited in examples.

## Bach, CPE

Sonata for Piano No. 5 in F Major, from Book I of  
"Clavier für Kenner und Liebhaber": Example 66  
Sonata for Piano No. 2 in D Major, from Book III of  
"Clavier für Kenner und Liebhaber": Example 79b

## Bach, JS

Aria Variata, BWV 989: Example 81  
Ouverture, BWV 820: Example 20  
Sonata for Solo Violin No. 3 in C Major, BWV 1003:  
Example 43  
St. Matthew Passion, "Erbarm es Gott": Example 96

## Beethoven

Concerto for Piano Op. 53, III: Example 100  
Leonore Overture No. 3: Example 52a  
Sonata for Cello and Piano, Op. 69, I: Example 42a  
Sonata for Piano, Op. 10, No. 2, I: Example 37  
Op. 10, No. 3, II: Example 26  
Op. 13, I: Example 1c  
II: Example 16  
Op. 14, No. 2, I: Example 41b  
Op. 22, II: Example 42b  
Op. 26, I: Example 22b  
III: Example 71, 85b  
Op. 27, No. 2, II: Example 85a  
Op. 28: Example 39  
Op. 31, I: Example 67, 68, 74  
Op. 90, I: Example 87a  
Op. 101, I: Example 91  
Sonata for Cello and Piano, Op. 69, I: Example 42a  
Quartet for Strings, Op. 59, No. 2, IV: Example 30  
Op. 95: Example 87  
Symphony Op. 21, I: Example 82  
Op. 36, IV: Example 75, 76  
Op. 55, I: Example 33b, 34, 38, 44b  
IV: Example 56

## Brahms

- Intermezzo Op. 76, No. 4: Example 93, 94  
 Op. 117, No. 2: Example 98c  
 Op. 118, No. 1: Example 95a, 97  
 Op. 119, No. 1: Example 83b  
                   No. 2: Example 79a
- Rhapsody, Op. 79, No. 2: Example 80
- Sextet Op. 18: Example 2
- Sonata for Cello and Piano, Op. 99, I: Example 12-14
- Sonata for Piano Op. 5, II: Example 32a
- Sonata for Violin and Piano, Op. 78, III: Example 72
- Symphony Op. 90, IV: Example 92  
           Op. 98, II: Example 32b
- Variations on a Theme by Handel, Op. 24: : Example 40
- Waltzes, Op. 39, No. 1: Example 11  
                   No. 4: Example 41c  
                   Nos. 9-10: Example 86b

## Chopin

- Ballade, Op. 38: Example 115-21
- Etude Op. 10, No. 2: Example 28  
           No. 6: Example 77  
           No. 8: Example 42c-d  
           No. 12: Example 55, 58
- Op. 24, No. 1: Example 6
- Mazurka Op. 17, No. 1: Example 1a  
           Op. 30, No. 2: Example 107  
           Op. 30, No. 4: 52b  
           Op. 67, No. 2: Example 73
- Polonaise Op. 53: Example 59-63  
           Op. 40, No. 1: Example 15, 23
- Prelude Op. 28, No. 2: Example 89b
- Nocturne Op. 15, No. 2: Example 84
- Scherzo Op. 31: Example 108-14
- Valse Op. 64, No. 2: Example 24

## Haydn

- Quartet for Strings Op. 33, No. 1, I: Example 105-6  
   No. 5, I: Example 57
- Symphony No. 86, I: Example 70b  
           No. 90, I: Example 36  
           No. 94, I: Example 7, 17, 48-51  
           No. 101, IV: Example 8  
           No. 104, I: Example 33a

## Mendelssohn Henslet, Fanny

- "Verlust," Op. 9, No. 10: Example 90



APPENDIX III

Dittersdorf, Quartet No. 5 in E-flat Major, K. 195, I.

The image displays a vertical musical score for a string quartet. It is divided into four systems, each containing four staves. The first system begins with the tempo marking 'Allegro' and a key signature of one flat (B-flat). The notation is dense and characteristic of the Classical period. The score is oriented vertically on the page.

This page contains 12 systems of handwritten musical notation, arranged in three columns and four rows. Each system consists of a vocal line with lyrics in Tamil script and a corresponding instrumental line. The notation is dense and characteristic of traditional Indian musical manuscripts. The lyrics are written in a clear, legible hand. The page is numbered 229 at the top center.

This page contains musical notation for a string quartet, organized into four systems. Each system consists of four staves, representing the four instruments. The notation includes various musical symbols such as notes, rests, and dynamic markings. The systems are numbered 11, 12, 13, and 14. The first system (11) shows a complex rhythmic pattern with many sixteenth notes. The second system (12) features a dense texture with many notes and rests. The third system (13) has a similar dense texture. The fourth system (14) shows a more melodic line with fewer notes and rests. The page is numbered 230 at the top.

This page contains 12 systems of musical notation, organized into three rows and four columns. Each system consists of two staves. The notation is dense and includes various musical symbols such as notes, rests, and clefs. The page is numbered 231 at the top center.

The image displays a musical score for four staves, oriented vertically on the page. The score is rotated 90 degrees counter-clockwise. It consists of four systems of staves, each containing two staves. The notation includes various musical symbols such as notes, rests, and dynamic markings. The first system shows a complex rhythmic pattern with many notes. The second system features a mix of notes and rests. The third system includes dynamic markings like *mf* and *f*. The fourth system shows a continuation of the musical notation. The page number '232' is located at the top center of the page.

## APPENDIX IV

Tchaikovsky, Fantasy Overture to Romeo and Juliet, first version, bars 1-87.

## Introduction

Andante non troppo

Flauto piccolo

2 Flauti

2 Oboi

Corno inglese

2 Clarinetti A

2 Fagotti

4 Corni F

2 Trombe E

3 Tromboni  
e  
Tuba

Timpani

Piatti

Gran cassa

Arpa

Andante non troppo

Violini I

Violini II

Viola

Violoncelli

Contrabassi

The image displays a musical score for two systems of instruments. The first system is labeled 'C. I.' and 'Archl.' and contains measures 10 through 19. The second system is also labeled 'C. I.' and 'Archl.' and contains measures 20 through 29. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'p' and 'pp'. A double bar line is present between the two systems. The score is written in a standard musical notation style with a key signature of one sharp (F#) and a common time signature (C).

10

C. I.

Archl.

19

20

C. I.

Archl.

29

The image displays two systems of musical notation for a chamber ensemble. The first system includes parts for Flute (Fl.), Clarinet (Cl.), Bassoon (Fs.), Cor Anglais (Cr.), Piano (A.), and Viola (Vlo.). The second system includes parts for Flute (Fl.), Clarinet (Cl.), Bassoon (Fs.), Cor Anglais (Cr.), Piano (A.), and Viola (Vlo.).

**System 1:**

- Fl.:** Part 1, starting with a first finger fingering (I) and a *pp* dynamic.
- Cl.:** Part 1, starting with a first finger fingering (I) and a *pp* dynamic.
- Fs.:** Part 1, starting with a first finger fingering (I) and a *pp* dynamic.
- Cr.:** Part 1, starting with a first finger fingering (I) and a *p* dynamic.
- A.:** Piano part, starting with a first finger fingering (I) and a *mf* dynamic.
- Vlo.:** Part 1, starting with a first finger fingering (I) and a *p* dynamic.

**System 2:**

- Fl.:** Part 2, starting with a first finger fingering (I) and a *pp* dynamic.
- Cl.:** Part 2, starting with a first finger fingering (I) and a *pp* dynamic.
- Fs.:** Part 2, starting with a first finger fingering (I) and a *pp* dynamic.
- Cr.:** Part 2, starting with a second finger fingering (II) and a *p* dynamic.
- A.:** Piano part, starting with a first finger fingering (I) and a *mf* dynamic.
- Vlo.:** Part 2, starting with a first finger fingering (I) and a *p* dynamic.

5

Musical score for five instruments: Flute (Fl.), Clarinet (Cl.), Bassoon (Fg.), Cor Anglais (Cr.), and Viola (Vla.). The score is written in a single system with five staves. The Flute part features a dense, rapid sixteenth-note passage. The Clarinet and Bassoon parts have more rhythmic, eighth-note patterns. The Cor Anglais and Viola parts play slower, sustained notes with some phrasing slurs.

Musical score for seven instruments: Flute (Fl.), Oboe (Ob.), Clarinet in A (Cl. A.), Clarinet (Cl.), Bassoon (Fg.), Cor Anglais (Cr.), and Viola (Vla.). The score is written in a single system with seven staves. The Flute part continues with its rapid sixteenth-note texture. The Oboe part is marked *pp* and features a rhythmic eighth-note pattern. The Clarinet in A and Clarinet parts have similar rhythmic patterns. The Bassoon part has a more melodic line. The Cor Anglais and Viola parts play sustained notes with some phrasing slurs.

The musical score is divided into two systems. The first system includes parts for Flute (Fl.), Oboe (Ob.), Clarinet I (Cl. I.), Clarinet II (Cl. II.), Bassoon (Fg.), Horn (Cr.), Piano (A.), Violin (Vio.), Viola (Vo.), and Cello (Cb.). The Flute part has a box containing the number '30' above it. The Horn part is marked 'I II a 2'. The Piano part has a dynamic marking of 'mf'. The Violin and Cello parts are marked 'pizz.'. The second system includes parts for Bassoon (Fg.), Horn (Cr.), Trombone (Trb.), Trumpet (Trbn.), and Piano (A.). The Bassoon part is marked 'I'. The Horn, Trombone, and Trumpet parts are marked 'p'. The Piano part features a complex rhythmic pattern with slurs.

M. 20558 R.

This musical score page, numbered 238, contains the following parts and staves:

- Flue.** (Flute) - Staff 1
- Fl.** (Flute) - Staff 2
- Ob.** (Oboe) - Staff 3
- C. i.** (Clarinet in C) - Staff 4
- Cl.** (Clarinet) - Staff 5
- Fg.** (Bassoon) - Staff 6
- Cr.** (Cornet) - Staff 7
- Trb.** (Trumpet) - Staff 8
- Trbn. e Th.** (Trumpet and Trombone) - Staff 9
- Tp.** (Tuba) - Staff 10
- A.** (Piano) - Staff 11
- Archi** (String Ensemble) - Staves 12-15

The score includes various musical notations such as clefs, key signatures, time signatures, and dynamic markings like *p* (piano). The woodwind and brass sections have some rests in the first two measures, while the strings and piano play throughout.

B 40

The musical score is divided into two systems. The first system includes parts for Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), and a string section (Archi). The woodwinds play melodic lines with various dynamics, including *piaz.*, *p*, and *piaz.*. The strings provide accompaniment with *p* dynamics. The second system includes parts for Flute (Fl.), Oboe (Ob.), Clarinet in A (Cl. I.), Clarinet in Bb (Cl.), Bassoon (Fg.), and a string section (Archi). The woodwinds play melodic lines with dynamics *p*, *poco*, *a poco*, and *cresc.*. The strings play a rhythmic accompaniment with dynamics *a poco* and *crescendo*. The score is in 4/4 time and features a key signature of one sharp (F#).

This musical score page contains two systems of music. The first system, starting at measure 42, features five woodwind staves: Flute (Fl.), Oboe (Ob.), Clarinet in A (Cl. A), Clarinet in Bb (Cl. Bb), and Bassoon (Fg.). The second system, starting at measure 50, features five woodwind staves: Flute (Fl.), Oboe (Ob.), Clarinet in A (Cl. A), Clarinet in Bb (Cl. Bb), and Bassoon (Fg.). Both systems include an Archi (string) section with four staves. The woodwind parts in both systems are marked with a dynamic of *mf* (mezzo-forte). The string parts in the first system are marked with a dynamic of *p* (piano). The score includes various musical notations such as notes, rests, and slurs.

Musical score for page 241, featuring woodwinds, brass, and strings. The score is divided into two systems. The first system includes Flute (Fl.), Oboe (Ob.), Clarinet in E-flat (Cl.), Bassoon (Fg.), Cor Anglais (Cr.), Trumpet (Tbn.), Trombone (Tbn.), and Trombone (Tb.). The second system includes strings (Archl.). The score is marked with a 'C' time signature and includes dynamic markings such as *f* and *sfz*. The woodwinds and brass parts feature complex rhythmic patterns and melodic lines, while the strings provide a steady accompaniment.

60

Flc.

Fl.

Ob.

Cl. I.

Cl.

Fg.

Cr.

Tbn.

Trbn.

Tb.

Trp.

Arch.

Moto A in Fis

*f* *p* *f* *p* *f* *p*

Detailed description: This is a page of a musical score, page 242, showing measures 60 through 64. The score is for a full orchestra. The instruments listed on the left are Flute (Flc.), Flute I (Fl.), Oboe (Ob.), Clarinet I (Cl. I.), Clarinet II (Cl.), Bassoon (Fg.), Horn (Cr.), Trombone (Tbn.), Trumpet (Trp.), and Arch (string section). The music is in 4/4 time and the key signature has one sharp (F#). Measure 60 is marked with a box containing the number '60'. The flute parts have melodic lines with some grace notes. The woodwinds and strings provide harmonic support. The trumpet part in measure 63 has dynamic markings: *f* *p* *f* *p* *f* *p*. The section is titled 'Moto A in Fis'.

The image displays a page of a musical score, numbered 243 at the top center. The score is divided into two systems. The first system, starting at measure 70, features parts for Flute (Fl.), Oboe (Ob.), Bassoon (Fs.), and Arches (Archi). The Flute part has a first ending bracketed and numbered '1' above it, and the dynamic marking 'p dolce' is present. The Bassoon part has a first ending bracketed and numbered '1' below it, with 'pp' below. The Arches part has 'pp' below. The second system, starting at measure 71, includes parts for Flute (Fl.), Oboe (Ob.), Clarinet in A (Cl.), Clarinet in Bb (Cl.), Bassoon (Fs.), Cor Anglais (Cr.), and Arches (Archi). A large 'D' is written above the Flute staff at the beginning of this system. The Bassoon part has a second ending bracketed and numbered 'II' below it. The Arches part has 'pp' below. The score concludes with a large 'D' written below the Arches staff.

50

Fr.  
Cr.  
Vo.  
Cb.

First theme  
Allegro giusto

Fl.  
Ob.  
Cl. B.  
Cl. C.  
Fg.  
Cr.  
Tp.

Allegro giusto

Archl.

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