COLLEGE OF MUSIC Volume 10 ▪ 2011-2012

HARMONIA

The Journal of the Graduate Association of Musicologists und Theorists (GAMuT)

UNT
UNIVERSITY OF NORTH TEXAS

HARMONIA

VOLUME 10 ■ 2011-2012

The Journal of the Graduate Association of Musicologists und
Theorists at the University of North Texas

Editorial Board
Kristin Wolski, Editor
Clare Carrasco, Associate editor
Amy Cooper, Associate editor
Jeff Ensign, Associate editor
Ryan Taycher, Associate editor

Type Setters
Scott Topazi

Faculty Reviewers
Dr. Daniel Arthurs
Dr. Paul Dworak
Dr. John Murphy

GAMuT Executive Committee
Andrea Recek, President
Benjamin Graf, Vice-President
Emily Hagen, Secretary
Jeff Ensign, Treasurer

GAMuT Faculty Advisor
Dr. Hendrik Schulze

Harmonia is the in-house journal of the Graduate Association of Musicologists und Theorists (GAMuT) at the University of North Texas. The objective of GAMuT is to provide a forum for the professional development of the graduate student community, and the annual publication of *Harmonia* functions in support of this goal.

The membership of GAMuT would like to extend its sincere appreciation to Dr. Daniel Arthurs, Dr. Paul Dworak, and Dr. John Murphy for their service as faculty reviewers for this volume of *Harmonia*.

Congratulations to Kimary Fick, whose paper "*Empfindsamkeit* and the Free Fantasia: The Philosophy of Music Performance in the Early German Enlightenment" was the winner of the 2011-2012 Graham H. Phipps Paper Award.

For information about submitting an article to *Harmonia*, please contact music.gamut@unt.edu.

GAMuT
Graduate Association of Musicologists *und* Theorists
http://music.unt.edu/mhte/node/112

HARMONIA

Volume 10 ■ 2011-2012

The Journal of the Graduate Association of Musicologists und
Theorists at the University of North Texas

CONTENTS

Empfindsamkeit and the Free Fantasia: The Philosophy of Music Performance in the Early German Enlightenment **1**
KIMARY FICK
Graham H. Phipps Paper Award Winner

Tonal Trajectory in "De quan qu'on peut": An Examination of Directed Progression and Modal Species in an Anonymous *Ballade* from the *Ars subtilior* **37**
BENJAMIN DOBBS

Schoenberg's Use of Soprano Voice in the Second String Quartet **57**
EMILY HAGEN

Beethoven's Op. 7, II and the Sublime **77**
BENJAMIN GRAF

About the Contributors **90**

Empfindsamkeit and the Free Fantasia: The Philosophy of Music Performance in the Early German Enlightenment

KIMARY FICK

In his chapter on performance in *Versuch über die wahre Art das Clavier zu spielen* (1753) C.P.E. Bach emphasizes the role of the performer in moving the affections of the listener and states that the best keyboardist can take over the minds of his listener through improvised fantasias.[1] Charles Burney witnessed Bach improvise at the clavichord and wrote that Bach "grew so animated and *possessed*, that he not only played, but looked like one inspired. His eyes were fixed, his under lip fell, and drops of effervescence distilled from his countenance."[2] Burney added that Bach was not only one of the greatest composers, but was also the best player, particularly in his expression.[3] Perhaps giving us a glimpse of himself improvising at the clavichord, the composer inscribed "C.P.E. Bachs Empfindungen" above one of his most expressive works for keyboard, the Fantasia in F sharp Minor (Wq. 67/H. 300, 1787).[4] This fantasy exemplifies what we now call the *empfindsamer Stil*, a style that exhibits surprising turns of harmony, rhythm, and dynamics, and is thought to be a more personal and individualistic expression of the *galant* style.[5]

Charles Rosen writes that the *empfindsamer Stil* was just one of the many diverse styles during the transitional period between the high Baroque and the Viennese Classical eras.[6] Leonard Ratner also describes Bach as the chief exponent of the *empfindsamer Stil*, particularly in his keyboard music in which the "rapid changes in mood, broken figures, interrupted continuity, elaborate ornamentation, pregnant pauses, shifting, uncertain, often dissonant harmonies" suggests an intimate personal style.[7] Thus, *Empfindsamkeit* is recognized by its element of surprise, unpredictability, and arbitrariness. However, it is a term that has been only relatively recently appropriated by twentieth-century musical scholars in an attempt to relate the so-called "sensitive style" in music to a contemporary literary counterpart.[8] Our current definition of *Empfindsamkeit* as a musical style is a twentieth-century construction shaped by teleological approaches to history in which an understanding of eighteenth-century musical cultural is based on the familiarity of the canonized composers of the eighteenth century: J.S. Bach, Mozart, and Haydn. Consequently, from this framework our ability to interpret the music of those that do not conform to the style these three composers, such as the music of C.P.E. Bach, is limited.[9] Rosen, for example, writes that the personal style of composers in the period of 1755-1775 was defined against a "background of Baroque workmanship and tradition and half-understood classic and *galant* aspirations"; however, this background is a modern construction formed by a narrow view of the eighteenth-century canon. [10] Hence, those aspects of Bach's style that are neither Baroque, as represented by J. S. Bach, nor Classical, as defined by Haydn and Mozart, become designated as *Empfindsamkeit*, i.e. displaying irregular rhythms, unpredictable harmonies, etc.

---

[1] Paraphrase of "Besonders aber kan ein Clavieriste vorzüglich auf allerlei Art sich der Gemüther seiner Zuhörer durch Fantasien aus dem Kopfe bemeistern." C.P.E. Bach, *Versuch über die wahre Art, das Clavierzu spielen*, ed. Lothar Hoffmann-Erbrecht (Leipzig: Breitkopf & Hartel, 1957 [facsimile reprint Berlin, 1753 and 1762, first edition]), 122.

[2] Charles Burney, *Dr. Burney's Musical Tours in Europe, Volume II: An Eighteenth-Century Musical Tour in Central Europe and the Netherlands*, ed. Percy A. Scholes (London: Oxford University Press, 1959), 219. Emphasis in original.

[3] Burney, 219.

[4] Hans-Günter Ottenberg, *Carl Philipp Emanuel Bach* (Leipzig: Reclam, 1987), 176.

[5] See William S. Newman, *The Sonata in the Classic Era* (Chapel Hill: The University of North Carolina Press, 1963), 122-123, 423.

[6] Charles Rosen, *The Classical Style* (New York: Norton, 1997), 44.

Even though the term *Empfindsamkeit* was not used in the eighteenth century to describe a composer's musical style, it can, in fact, gain a new and richer meaning when understood in the context of Bach's cosmological framework. Stanley Tambiah defines cosmology as the collection of ideas that inform a culture in their understanding of how the world operates.[11] By exploring Bach's cosmology, which was informed by the philosophies of the Early German Enlightenment, a framework for understanding not only his music, but also the role improvisatory music performance played in establishing him by his contemporaries as an *Originalgenie* of *Empfindsamkeit.* From this new perspective, *Empfindsamkeit* can be understood not as a musical style whose purpose was to surprise the listener; rather, it was a psychological, trance state in which one experienced an overflow of sensations.

---

[7] Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 22.

[8] Darrell Matthews Berg, "The Keyboard Sonatas of C.P.E. Bach: An Expression of the Mannerist Principle" (PhD diss, State University of New York Buffalo, 1975), 14.

[9] Gary Tomlinson problematizes teleological and hegemonic approaches to historiography in *Music in Renaissance Magic: Towards a Historiography of Others* (Chicago: University of Chicago Press, 1993) 6-20.

[10] Rosen, 48.

[11] *A Performative Apprach to Ritual* (London: The British Academy, 1981), 20-22. I choose to use the more broad term cosmology rather than episteme as used by Foucault and Tomlinson. See Michel Foucault, *The Order of Things* (New York: Pantheon, 1970) and Tomlinson, xi.

Philosophical Cosmology of the Early German Enlightenment

One aspect of the cosmology during the Early German Enlightenment (ca. 1750-1775) was formed by the philosophies of Gottfried Leibniz, Christian Wolff, and Alexander Baumgarten, among others. These philosophers were concerned with cognitive processes and the relationship between the mind and the body in the development of ideas. Unlike for previous generations, sensory impressions became an integral aspect of the process of understanding, which was crucial in the development of the discipline of aesthetics.

Eighteenth-century German epistemological philosophy was first established from a Cartesian framework and examined the relationship between the mind and the body and the role of consciousness in sensory perception. In the seventeenth century, René Descartes (1596-1650) had established a philosophy that distinguished between the rational, thinking part of the mind, the *res cogitans*, and the purely mechanical part of the body, the *res extensa*. Descartes described a dualism in which the perception of the mind is immaterial, clearly distinct, and separable from the physical body, thus placing emphasis on the consciousness of the mind and the awareness of the self as a perceiving subject.[12] One criticism of Descartes's theory by eighteenth-century philosophers addressed the problem of direct causation between the mind and the body: how were physical sensations perceived if they were not directly connected to the mind?[13] The German philosophers Gottfried Leibniz (1646-1716) and Christian Wolff (1679-1754) sought to unify the mind and body by establishing a continuum of mental activity that does not require the mind to be conscious in order to perceive physical sensations.

Leibniz described a system of monads, which he defined as the foundational substance of the soul that is not spatially extended from the body. Monads are representations in the soul of what is perceived and vary in their clarity depending on the level of mental activity. The lowest and most obscure forms of the monad are sensations, which are merely physical matter. Monads are driven by what Leibniz calls appetition, which is the desire of the human psyche to improve the monad's representations. The highest form of the monad contains the most clear and distinct representations and can only be achieved through the development of cognitive habits such as memory and reason.[14] Christian Wolff rejected Leibniz's theory of monads, but did accept a duality of perception that included both a physical and a cognitive element: impressions begin as sensations on the physical body, while at the same time the mind is conscious of these impressions. Consciousness and sensation are inherently linked in this dual perception; therefore, Wolff argued for a connection between the body and the mind.[15] From this foundation, Wolff describes a hierarchical process of cognition produced by mental faculties, which have the final purpose of creating rational ideas.

---

[12] Marleen Rosemond, *Descartes's Dualism* (Cambridge: Harvard University Press, 1998), 2-3. Matthew Bell, *The German Tradition of Psychology in Literature and Thought, 1700-1840* (New York: Cambridge University Press, 2005), 16.
[13] Stanley Victor Keeling, *Descartes* (Westport, CT: Greenwood Press, 1934), 141-143.

Wolff names seven faculties of cognition: sensations (*Empfindung*), apperception, imagination (*Einbildungskraft*), attention (*Aufmerksamkeit*), memory (*Gedächtniß*), invention (*zu* e*rdichten*), and understanding (*Verstand*) (see Figure 1). The cognitive process begins with the sense organs receiving physical impressions from an object. Apperception, a concept he borrows from Leibniz, focuses the mind on the senses. Imagination then stores the impressions, and attention isolates the impressions from one another. Through the faculty of memory, known and unknown ideas are distinguished, which then leads to the invention of new, but empty ideas out of existing ideas. Finally, the process of understanding allows for the capacity to create truly new ideas.[16] Wolff's process is to create clear ideas out of unclear, or confused ideas. Confused ideas are those perceptions of an object that can only be measured through the imprecise qualities of the senses, qualities that are difficult to define and differentiate from other objects. Wolff considered physical sensations to be the most unclear of all ideas, while those obtained through understanding the clearest. According to Wolff, because the lower faculties produced inferior, indefinable ideas, only the higher faculties, those faculties that could produce clear and rational ideas, could discover truths.[17] From this perspective, the purpose of the lower cognitions was to lead to understanding; yet, they did not always do so. While all ideas begin as perceptions of an object by the lower faculties, not all perceptions are focused up through the cognitive faculties. Sensations can still be perceived with very little mental activity because the body and mind are connected – in such a case the result is a unique state of sensory cognition.

---

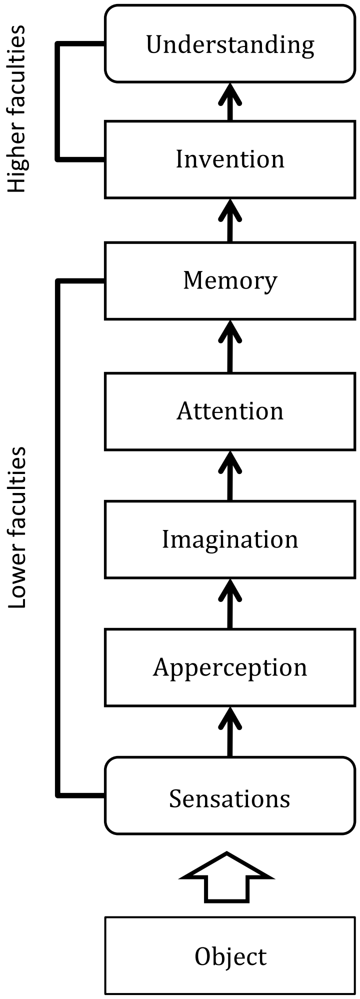
[14] Bell, 17-18.

[15] Bell, 21.

[16] Christian Wolff, *Vernünfftige Gedanken von Gott, der Welt und der Seele des Menschen, auch allen Dingen überhaupt* (Ann Arbor, MI: UMI, 2007 [facsimile reprint Halle: Magdeburgischen, 1751]), 106-155.

[17] Bell, 29.

Figure 1. Flowchart of Wolff's Faculties of Cognition


Higher faculties
Lower faculties
Understanding
Invention
Memory
Attention
Imagination
Apperception
Sensations
Object

Both Leibniz and Wolff's conception of sensations as perceptions requiring mental activity diverges from the previously accepted notion of sensations by Descartes as a part of the purely mechanical *res extensa*. For Leibniz, *petites perceptions* occur during the lowest level of mental activity when the sensations are so strong they cannot be controlled by attention. *Petites perceptions* take place during sleep or other times when the higher faculties are too weak to focus the perceptions.[18] He argues that *petites perceptions* "constitute that *je ne sais quoi*, those flavors, those images of sensible qualities, vivid in the aggregate but confused as to the parts."[19] Leibniz recognized the inability to specifically define the experience of *petites perceptions*, but at the same time could not deny the intensity of sensations in this state. Wolff also believed that the mind is continuously active regardless if one is conscious of being a perceiving subject. The stages between sensations and understanding can then be described as a continuum, as opposed to Descartes's formulation that consciousness is either on or off.[20] For Wolff, the distinction in the level of clarity of ideas is then attributed to the activity of the mind. Higher mental activity means clearer ideas and a higher level of understanding, which he viewed as a superior type of understanding. The next generation of Wolffian philosophers, however, developed a philosophy of aesthetics that challenged the notion that higher mental activity leads to superior ideas.

---

[18] Bell, 19-29.

[19] Gottfried Wilhelm Leibniz, *New Essays on Human Understanding*, trans. Peter Remnant and Jonathan Bennett (Cambridge: Cambridge University Press, 1981), 54-55.

Aesthetics

Alexander Gottlieb Baumgarten (1714-1762), often credited as being the founder of the discipline of aesthetics, based his new philosophy on Wolff's theories of cognition. [21] All of Baumgarten's works were published in Latin, so their direct influence was somewhat minimal until the middle of the eighteenth century when he began teaching philosophy at the University of Frankfurt an der Oder. His philosophy gained greater prominence when his student, Georg Friedrich Meier, published a treatise based on Baumgarten's lectures (*Anfansgsgründe aller schönen Wissenschaften*, 1748).[22] Baumgarten's philosophy is an expansion on Leibniz's and Wolff's ideas of perception and cognition; however, for Baumgarten, unclear ideas are not necessarily inferior to clear ideas, and it is from this point that he departs from Wolff to define his theory of aesthetics.

In the first paragraph of his 1750 treatise *Aesthetica* Baumgarten writes, "aesthetics (as the theory of the liberal arts, as inferior cognition, as the art of beautiful thinking and as the art of thinking analogous to reason) is the science of sensual cognition."[23] Baumgarten's definition of aesthetics differs from how it came to be used at the end of the eighteenth century as the study of fine arts.[24] His definition is rooted in Wolffian cognitive philosophy; however, rather than considering the lower cognitions part of a hierarchical process, Baumgarten sought to elevate sensual cognition to its own philosophical discipline equal to that of rationality.[25] For Baumgarten, although indistinct ideas obtained from the lower faculties of the senses may lack rational truths, they do consist of aesthetic, or beautiful truths, which contain a vivacity and richness of imagination that are lost in rational truths.[26] Aesthetics had both practical and ethical applications – the practical to create works of art, and the ethical to develop a beautiful spirit (*schöner Geist*, *igenium venutum)*. In order to create a beautiful spirit, one must develop all of the faculties of cognition, including the faculty of the senses. Thus, the arts are not merely for the purpose of creating beautiful objects but serve a greater moral function in the development of a beautiful soul.[27] According to Baumgarten, the ideal logician is one who has cultivated both the disciplines of aesthetics and of rational thinking.[28]

---

[20] Bell, 20-21.

[21] See Bell and Kai Hammermesister, *The German Aesthetic Tradition* (Cambridge: Cambridge University Press, 2002).

[22] Hammermeister, 6-7.

[23] Translated by Hammermeister (7) from Alexander Baumgarten*, Theoritsche Ästhetik: Die grundlegenden Abschnitte aus der "Aesthetica"(1750/58): Lateinisch-Deutsch*, trans. Hans Rudolf Schweizer (Hamburg: F. Meiner, 1983), 3.

[24] Frederick C. Beiser, *Diotima's Children: German Aesthetic Rationalism from Leibniz to Lessing* (New York: Oxford University Press, 2009), 119.

Baumgarten's definition of aesthetics inextricably links sensual cognition, which he calls inferior cognition, to the fine arts. In his application of aesthetics to the poetic arts, he defines two categories of ideas: they can be made up of either clear or obscure representations, and either confused or distinct representations. On the one hand, a clear representation of an object is one that can be distinguished from other objects, whereas obscure representations are not distinguishable. Distinct representations, on the other hand, are those that can be analyzed for their individual features, whereas confused representations cannot be. In poetry, representation should be clear and confused.[29] It is the confused essence of the representations, or the "*je ne sais quoi,*" that requires poetics to be within the realm of the lower cognitions. Because poetry cannot be defined with distinct terminology, poetic communication is untranslatable. It is this untranslatable essence that becomes, for Baumgarten, perfection, wherein lies the beautiful truth.

***Empfindsamkeit* and Music Performance**

The burgeoning discipline of aesthetics permeated the arts, as is evidenced by artistic theories and art works of the time. After Baumgarten, Moses Mendelssohn (1729-1786) established an aesthetic theory on the literary genre of the tragedy (*Trauerspiel)* and discussed the perception of emotions of characters by the audience.[30] Johann Georg Sulzer (1720-1779), a student of Baumgarten, explored the psychological aspect of artistic creation with an emphasis on the cultivation of one's morality.[31] Sulzer's multi-volume encyclopedia, *Allgemeine Theorie der Schönen Künste*, not only addressed the arts in general, but also entered music into the discussion of aesthetics, giving us a unique outlook on the philosophy of music at the time. [32] Having established the cosmological framework, a more precise definition of *Empfindsamkeit* from the perspective of aesthetics can be obtained. This new definition has important ramifications for our understanding of eighteenth-century artistic creation, as well as the psychology of improvisatory music performance.

---

[25] Hammermeister, 9.
[26] Hammermeister, 9-10.
[27] Beiser, 121.
[28] Hammermeister, 8-10.
[29] Beiser, 126-127.
[30] See Moses Mendelssohn, "Rhapsodie; oder, Zusätze zu den Briefen über die Empfindungen" in *Philosophische Schriften*, v. 2 (Berlin: Voß, 1761).

German playwright Gotthold Ephraim Lessing (1729-1781) was credited with the first use of the word *empfindsam* in relation to literature in J.C.C. Bode's preface to the second edition of his translation of Sterne's *Sentimental Journey* (1769).[33] Bode had difficulty finding the German word that most closely reflects the English word sentimental, for which he claims Lessing suggested *empfindsam*. However, by this time the word was already in popular use. In his sixth volume of *Zeitschrift für deutsche Wortforschung*, Friederich Kluge cites a now lost letter by Johann Christoph Gottsched, written in 1757 and printed in 1771, as the first known documented use of the word.[34] Regardless of whether the term was in use, Lessing, a critical figure in German Enlightenment literature and aesthetics, certainly explored the concept through the characters in his tragedies as an illustration of his philosophical views. Lessing not only had access to Leibniz's works, but also referenced Wolffian philosophy in his theoretical treatise *Hamburgische Dramaturgie*, and corresponded with Mendelssohn on the aesthetics of tragedy.[35]

The heroic characters of Lessing's works are often described as *empfindsam* and are placed in opposition to the rational, though flawed, characters. The *empfindsam* characters discover beautiful truths during lower cognitive mental states, such as through dreams, imaginations, and intuitions, by which Lessing implies a value of beautiful truths over those obtained through reasoning.[36] An example of this tension between *empfindsam* and rationality can be seen in Lessing's first bourgeois tragedy (*bürgerliches Trauerspiel)*, *Miss Sara Sampson*.[37] In Act I, Scene vii Sara recounts a nightmare to the rational Mellefont, who does not believe in the validity of dreams. Sara describes the dream as taking place with "half-closed eyelids" and "not quite asleep."[38] Following the Wolffian view on perceptions, dreaming is a state when the mind is still somewhat active but not fully conscious. Leibniz would define this state as a *petite perception*. The nightmare represents the ability of Sara's consciousness, in a state of low cognition, to alert her of danger.[39] The dream does foreshadow later events in the story, proving that certain truths can only be perceived when the faculties are too weak to drown out the upper, rational faculties of cognition. Thus, *Empfindsamkeit* is not merely defined as sensitivity, but also implies a psychological state in which the faculties of reason are suppressed and one is susceptible to the feelings (*Empfindungen*) aroused by sensations. Furthermore, the final purpose of *Empfindungen* was to discover aesthetic truths in order to form the foundation of a beautiful soul. The psychology of the *empfindsam* state entered into the discussion of artistic creation, and the ability to access one's *Empfindungen* was an essential characteristic of an artistic genius.

---

[31] Thomas Christensen, introduction to "General Theory of the Fine Arts (1771-74) Selected Articles," in *Aesthetics and the Art of Musical Composition in the German Enlightenment*, ed. Ian Bent (Cambridge: Cambridge University Press, 1995), 5-9.

[32] Johann Georg Sulzer, *Allgemeine Theorie der Schönen Kunste* (Hildesheim: G. Olms, 1967 [reprint of the second edition Leipzig: F. von Blankenburg, 1792]).

[33] Johann Joachim Christoph Bode, introduction to *Yoricks empfindsame Reise durch Frankreich und Italien* (Hamburg and Bremen: Cramer, 1769): i-xxii.

[34] Friederich Kluge, ed., *Zeitschrift für deutsche wortforschung* (Straßburg: Karl J. Trübner, 1902), 306-315. Berg, n. 6, 11.

[35] Gotthold Ephraim Lessing, *Hamburgische Dramaturgie* (Hamburg and Bremen: Cramer, 1767). Bell, 34-36

[36] Bell, 38.

***Empfindungen*, Genius, and Inspiration**

For Baumgarten, the purpose of aesthetics was to acquire knowledge, and the arts served as a practical discipline for the development of a beautiful spirit.[40] Sulzer supports this purpose in his definition of *Empfindung*, which includes both psychological and moral concepts. The psychological concept (*psychologischen Begriff*) refers more generally to the experience of pleasing or displeasing impressions, which are considered in contrast to clear knowledge. However, the ultimate goal of *Empfindungen* is to build a strong moral character in an individual.[41] A genius is one who possesses the ability to explore the inner self and can experience *Empfindungen* with a greater intensity. In his article titled "Analyse du Génie," published in 1757, Sulzer states that the essence of a genius is always marked by an active force of the soul that makes it "easier to feel within oneself."[42] In addition, "the immediate effect of this intensity of the active force of the soul is a greater *sensibilité*."[43] Artists who possess genius at times experience a force upon the soul that Sulzer calls inspiration (*Begeisterung)*. Inspiration can come in two forms, either as a "craving" (*Begehrungskräften*) or as an "imaginative force" (*Vorstellungskräften*).[44] The difference between the two forms of inspiration is that the former is developed through the senses, while the latter formulates ideas through the higher faculty of imagination, which requires the power of reason.

---

[37] Bell, 36. Gotthold Ephraim Lessing, *Miß Sara Sampson* (Berlin: Voß, 1755)

[38] Translation by Bell, 36.

[39] Bell, 36-37.

[40] Beiser, 120-121.

[41] Johann Georg Sulzer, "General Theory of the Fine Arts (1771-74) Selected Articles", trans. with an introduction by Thomas Christensen, in *Aesthetics and the Art of Musical Composition in the German Enlightenement*, ed. Ian Bent (Cambridge: Cambridge University Press, 1995), 27-28.

[42] Paraphrased from "C'est cette force active, qu'il est plus facile de sentir au dedans de soi-même," Johann Georg Sulzer, "Analyse de Génie," in *Histoire de l'Académie Royale des Scieces et des Belle-Lettres de Berlin* (1757), 394.

The "craving" form of inspiration, which Sulzer calls the "enthusiasm of the heart," can be experienced through "devotional, mannered, tender, or cheerful rapture" and creates impressions that are "more vivid than one's knowledge of its essence."[45] Sulzer adds:

> The soul becomes, in essence, all feeling; it knows of nothing outside, but only of what is inside itself. All ideas of things outside itself recede into darkness; the soul sinks into a dream, whose effects for the most part restrain one's reason as much as enlivens one's feelings (*Empfindungen*).[46]

Sulzer is describing the lower cognitive *empfindsam* state in which the upper faculties of cognition are suppressed and one experiences sensations from within the self. An artist in this form of an inspired state is able to easily express their ideas.[47] The second form of inspiration, on the other hand, uses reason and imagination, which requires thought and reflection on the object. By using the higher levels of cognition, Sulzer suggests that ideas can be made more clear and vivid.[48]

For the composer, this dichotomy between sensations and imagination may be the difference between free improvisation and composition, which involves the invention of clear ideas. Sulzer writes that invention (*Erfindung*), a term reserved for the arts, is a product of reason.[49] While invention belongs to the higher faculties of cognition, the ultimate goal of inventing artistic ideas is to have an effect on the human temperament.[50] Thus, the two forms of inspiration imply distinct functions: through an "enthusiasm of the heart" the composer explores their own lower cognitions, while imagination leads to the development of ideas for the purpose of evoking a lower cognitive state in others. A closer look at descriptions of Bach improvising at the keyboard not only illustrates the first form of inspiration, but can also enhance our understanding of the psychology of music performance in the context of contemporaneous cognitive theories.

---

[43] "L'effet immediat de cette intensité de la force active de l'ame, est une plus grande sensibilité," Sulzer "Analyse," 395.

[44] Sulzer, "General Theory," 32.

[45] Sulzer, "General Theory," 33.

[46] Sulzer, "General Theory," 32-33.

[47] Sulzer, "General Theory," 32.

[48] Sulzer, "General Theory," 33.

[49] Sulzer, "General Theory," 55-56.

[50] Sulzer, "General Theory," 55-56.

Mind, Body, Music, and Trance

Accounts of Bach improvising at the keyboard by Charles Burney, Johann Friedrich Reichardt, Carl F. Cramer connect music performance to the lower faculties of cognition. Burney wrote that Bach was "possessed," and "looked like one inspired."[51] Reichardt recounted that Bach "puts his entire soul into [his improvisations], as is abundantly clear from the utter repose, one might almost say lifelessness of his body."[52] Cramer said that Bach improvises when he is in "the right frame of mind for them."[53] All three accounts suggest that Bach enters an altered psychological state during his improvisations, and, more specifically, Burney and Reichardt both imply a dreamlike or trance state. To borrow terminology from eighteenth-century literature, this dreamlike, trance experience can be understood as an *empfindsam* state – a psychological state in which one explores the realm of the lower cognitions to develop beautiful truths. However, this type of sensory, trance experience has often been ignored in discussions of eighteenth-century music performance and listening. Aspects of music performance of this period are often limited to technical and stylistic details, such as tempo, rhythm, dynamics, articulation, phrasing, etc. and are not concerned with the psychology of performance.[54] The unpredictability of the *empfindsamer Stil* has been thought to surprise or shock the listener, which is contradictory to a trance condition in a performer.[55] Evidence suggests that the *empfindsam* state is, in fact, a trance experience for the performer in the performance of improvisatory music such as the free fantasia.[56]

---

[51] Burney, 219.

[52] Translated by Ottenberg (169) from Johann Friedrich Reichardt, *Briefe eines aufmerksamen Reisenden die Musik betreffend*, v.2 (Hildsheim: G. Olms, 1977 [reprint of Frankfurt and Breslau edition, 1776]), 15.

[53] Translated by Ottenberg (167-168) from Carl Friedrich Cramer, *Magazin der Music*, v.2, (Hildesheim: G. Olms, 1971 [reprint of Hamburg, 1786]), 871.

[54] See Frederick Neumann, *Performance Practices of the Seventeenth and Eighteenth Centuries* (New York: Schirmer Books, 1993) and Clive Brown, *Classical and Romantic Performing Practices 1750-1900* (New York: Oxford University Press, 1999).

[55] See Rosen, Ratner, Newman, and Matthew Riley, *Musical Listening in the German Enlightenment: Attention, Wonder and Astonishment* (Burlington, VT: Ashgate Publishing Company, 2004).

[56] I use terms such as "trance" and "dreamstates" in a very general sense, without attaching specific meanings as used in ethnomusicological discourse.

Ethnomusicologist Judith Becker defines trance as a "deeply emotional" and "intensely private" experience that takes place in an "absent-minded, dreamy state."[57] The concept of the trance in music is often associated with non-western and developing countries, usually as a phenomenon that takes place during religious ceremonies.[58] A trance state is evoked in a listener when the senses are stimulated by sight and sound, which results in a flood of emotional sensations.[59] Becker writes that the concept of trance disappeared from Western culture when Descartes established the dualism between the mind and the body, in which physical sensations were not connected to mental activity. Descartes placed musical thinking in the domain of the *res cogitans*, the thinking realm of the mind, thus excluding the physical body, the *res extensa.* The physical sensations brought on by sounds and sights are a crucial aspect in evoking a trance in the listener. Becker asserts that the separation of the mind and body established an ideology of music as a thinking art that continued into the twentieth century; therefore, emphasis is placed on the cognitive response to music rather than the physical response.[60] However, the German Enlightenment philosophy recognized a connection between the mind and body, which established relationships among physical sensations, emotions, and ideas. Because, according to Wolffian philosophy, the soul inhabits both the mind and the physical body, physical sensations are perceptions of the soul and not merely mechanistic responses to the passions. Wolff's definition of the lowest level of mental activity, a dream-state in which the body is overpowered by sensations, is congruent with Becker's definition of trance. The descriptions of Bach improvising free fantasias provide further evidence that the "craving" form of inspiration, or the *empfindsam* state, is, indeed, what we would define today as a trance. However, this trance experience is not exclusive to the composer. According to the practice of aesthetics, clear and confused musical ideas can inspire the trance state in a listener.

Jean Paul Friedrich Richter, an early German romantic writer, connected music listening and trance in an elaborate scene of his 1794 novel *Hesperus*.[61] By demonstrating how music can inspire even the most rational person to discover beautiful truths, Jean Paul contributes to a deeper understanding of musical aesthetics. Victor, the son of English nobility, was trained to be a physician, and, as a rational thinker, does not believe in love at first sight. However, during the performance of an Adagio movement of a Stamitz symphony at a garden party, Victor is transported into an

---

[57] Becker, 38.
[58] Becker, 38.
[59] Becker, 2.
[60] Becker, 4-5.
[61] Jean Paul Friedrich Richter, *Hesperus or Forty-Five Dog-Post-Days*, translated by Charles T. Brooks (Boston: Ticknor and Fields, 1865).

empfindsam state, in which his faculties of reason are suppressed and he is open to experience the overwhelming sensations brought on by the music. When he sees Clotilda at the concert, a woman with whom his friend is deeply in love, Victor's perception of her becomes immediately clear as he realizes his love for her. Through this episode, Jean Paul suggests that listening to music, and more specifically, an Adagio, is considered equivalent to a dream-state, in which the mind is less active in its ability to focus impressions. Jean Paul cannot describe the Adagio with distinct representations; rather, he must do so with confused images in a highly poetic language. For Victor, the confused impressions caused by the Adagio are too powerful for him to control through reason. The Adagio conjures up other impressions in Victor's mind, impressions, which, like music, are not able to be defined, yet contain beautiful truths:

> There is in a man a mighty wish which was never fulfilled: it has no name, it seeks its object, though all that thou namest it and all joys are not its reality; but it recurs, when in a summer night thou lookest to the north or towards the distant mountains, or when moonlight is on the earth, or the heavens are studded with stars, or when thou are very happy…But this wish, to which nothing can give a name, – our strings and tones name it to the human spirit.[62]

The "mighty wish," which cannot be defined by reason, is experienced at night, during a time of dreams when one's cognitions are too weak to focus impressions. The images of nature – the distant mountains, the moonlight, the stars – are clear, but confused objects whose individual parts cannot be distinguished. The ultimate obscure object, the indefinable wish, can only be described through other obscure objects, which, in this case, are music and nature. Thus, *Empfindsamkeit*, as an experience of the lower faculties of cognition, can only be achieved when the impressions are both clear and confused. Victor's senses were so overwhelmed by the Adagio that he entered into an *empfindsam* state and discovered a truth that he would not have discovered through reason and understanding: his love for Clotilda.

A definition of *Empfindsamkeit* according to aesthetic theories has shown the importance of the experience of lower cognitive states in artistic creation and in music performance. Thus, *Empfindsamkeit* is not merely a musical style; rather, arousing *Empfindsamkeit* is the ultimate purpose of the arts. A closer look at the music and writings of C.P.E. Bach will show how this was achieved in music.

---

[62] Jean Paul, 369.

The Free Fantasia: Embodiment of the Soul

Throughout his *Versuch* Bach emphasizes the importance of the free fantasia as a principal skill necessary for great performers and composers alike. Matthew Head suggests that the fantasia was not only the highest level of art music at the time, but also the primary outlet of individual expression for the artist.[63] In his autobiography Bach wrote that many of his works were restrained in their style because they were written either for individuals or the general public.[64] The free fantasia, according to Bach, is a unique form of improvisation as it allows the performer to be completely free of constraints, unlike the improvised prelude, whose construction is restricted by the piece it prefaces.[65] As suggested by Head, the free fantasia was the only genre in which Bach could write solely for himself.[66] This is perhaps because it is composed during an *empfindsam* state.

The free fantasia is exceptional in that it is the only genre exclusive to the composer-performer. The above-mentioned accounts of Bach improvising at the keyboard suggest that the performance of free fantasias played a significant role in establishing Bach as an *Originalgenie*; in particular, as one who has the capacity to explore the inner self, experiences *Empfindungen* with greater intensity, and possesses an active force of the soul that arouses inspiration from within. Burney observed the mark of a genius by describing Bach as one who looked inspired. Reichardt wrote that Bach put his entire soul into his improvisations. Thus, while improvising a free fantasia in an inspired, *empfindsam* state a genius taps into the inner self, and the ultimate result, as suggested by Bach's subtitle to his F sharp minor fantasy, is an intensely personal expression that embodies the soul. From this perspective, Bach's description of how to improvise a fantasia is an instruction on how to arouse an *empfindsam* state. While his rules may at times seem complex in their technical application, they appear to serve three overall purposes: 1) to develop ideas from within the self, 2) to explore a variety of affects in juxtaposition, and 3) to present aesthetic (i.e. clear but confused) ideas.

One of Bach's primary requirements for the improviser of a free fantasia is the elimination of outside influences, which ensures that the performer is expressing only their own *Empfindungen*. For example, Bach specifies that the free fantasia should not contain passages taken from other works, but rather "must come out of a good musical soul."[67] In addition, the fantasia must be unbarred because meters contain their own type of compulsion.[68] By eliminating barring, a clear sense of meter, and ideas taken from other composers, the performer is not motivated by an outside force, but is compelled only by the force of inspiration from within the soul.

---

[63] Matthew Head, "Fantasy in the Instrumental Music of C.P.E. Bach" (PhD diss, Yale Univeristy, 1995), 2, 9.
[64] English translation with preface in William S. Newman, "Emanuel Bach's Autobiography," in *The Musical Quarterly* 51 (1965), 371.
[65] C.P.E. Bach, *Essay on the True Art of Playing Keyboard Instruments*, trans. and ed. by William J. Mitchell (New York: W. W. Norton, 1949), 431.
[66] Head, 9.

Bach writes that the free fantasia goes through more keys than is customary and consists of varied harmonic progressions that are expressed through figuration.[69] Modulation is not confined to closely related keys, but rather should be taken to distant keys if time is not limited.[70] In the free fantasia the keyboardist is to move "audaciously from one affect to another," which can be achieved through harmony and modulation.[71] Sulzer writes that each key has its own special character, and it is important to choose a key whose mood agrees with the thoughts one wants to portray in order to reinforce the true expression of feeling.[72] The idea that each key has its own mood was an established concept in the eighteenth century. Johann Mattheson describes the affects of each key in his 1713 publication *Das neu-eröffnete Orchestre*.[73] As late as 1787 Koch writes of the importance of the affects of keys and the effect of modulation on the listener in his *Versuch einer Anleitung zur Composition*.[74] Therefore, by exploring as many keys as time will allow, the improviser can move through many different affects. Bach writes that it is important to clearly establish the tonic in the beginning and end.[75] In doing so, one creates an affect that functions as the foundation of the fantasia. Through the modulation to different key areas, the performer juxtaposes different affects against one another and against the foundational affect in a way that no other musical genre permits. When one improvises in an *empfindsam* state, the performer allows their own sensations and *Empfindungen* to guide the harmonic progression rather than the rules of composition (though rules of harmony do apply).

---

[67] "…sondern aus einer guten musikalischen Seele herkommen müssen…" Bach *Versuch*, 123.
[68] Bach translated by Mitchell, 153.
[69] Bach translated by Mitchell, 430.
[70] Bach translated by Mitchell, 431-434.
[71] Bach translated by Mitchell, 153.
[72] Paraphrased from "Wenn also unter den mannichfaltigen Tonleitern, deren jede ihren besondern Charakter hat, diejenige allemal ausgesucht wird, deren Stimmung mit dem Gepräge jeder einzeln Gedanken übereinkommt, so wird dadurch der wahre Ausdruck der Empfindung noch mehr verstärkt." Sulzer, "Musik," *Allgemeine Theorie der Schönen Kunste*, v. 3 (Berlin: Heilmannischen Buchhandlung, 1777), 268.
[73] Johann Mattheson's discussion of the affects in relation to keys can be found in "Von der Musicalischen Tohne Eigenschafft und Wirkung in Ausdrückung der Affecten," in *Das neu-eröffnete Orchestre* (Hamburg: Benjamin Schiller, 1713): 231-253.
[74] Nancy Kovaleff Baker, introduction to "Introductory Essay on Composition, Vol. II (1787)" by Heinrich Koch in *Aesthetics and the Art of Musical Composition in the German Enlightenment*, ed. Ian Bent (Cambridge: Cambridge University Press, 1995), 131.
[75] Bach translated by Mitchell, 431.

Bach's emphasis on harmony rather than melody is in opposition to Sulzer's conclusions that harmony is not an essential characteristic of music.[76] There is no mention of the construction of melodies in Bach's chapter on the free fantasia, only that the harmony is expressed through a variety of figurations. While Sulzer does suggest that melody is primary in stirring the passions, he does admit that, "a strong element of expressivity is already inherent to harmony itself. A powerful harmony, without the aid of melody, movement and rhythm, can express many passions and agitate or calm one's soul in many ways."[77] When considered from the perspective of Baumgarten's definition of ideas, the difference between figured harmony and a melody is in the level of distinction of the representation: a melody can be understood as a more focused representation of the affect presented by the harmony. Sulzer writes that a melody must be in a single key so it can modulate appropriately and it must have a perceptible meter.[78] Figuration in a free fantasia, on the other hand, is less distinct as it is not bound by meter and does not limit the performer from freely modulating. A performer should vary the figuration, dynamics, and register to represent the affect at any given moment.[79] The free fantasia removes the limitations created by the melody and in turn, creates the most confused kind of musical representations. The lack of distinction is perhaps due to the function of the free fantasia; namely, for an individual to experience their own *Empfindungen*. While in *empfindsam* states, the performers are concerned not with the perception of ideas by an audience, but on developing their own sensations; therefore, ideas in a free fantasia can be less distinct.

Considered from the practical and moral purposes of aesthetics, the free fantasia allows a performer to develop the complex inner relationships of their *Empfindungen* without constraints: without the intrusion of outside influences, free of limitations on how and where one is guided by their *Empfindungen*, and not obliged to create ideas distinct enough for others to understand. Thus, the improvised free fantasia, the primary outlet for individual expression, embodies the soul of the performer.

---

[76] Sulzer, "General Theory," 97. In his article on "Harmony," Sulzer concludes that beautiful melodies can exist without a bass or harmonic accompaniment using the example of dance melodies and concludes that harmony is not essential to music.

[77] Sulzer, "General Theory," 99.

[78] Sulzer, "General Theory," 92.

[79] Bach translated by Mitchell, 439.

The Composed Free Fantasia: Object for *Empfindungen*

If the free fantasia is to be improvised during an *empfindsam* state, then the composed fantasia stands in direct contradiction to the principles of the genre. Bach published various fantasias throughout his career, though apparently with some reluctance. In a letter to Johann Forkel in 1775 Bach said that he was concerned with "how few people there are who like such music, understand it, and can perform it properly."[80] However, the composed fantasia serves a different purpose than the improvised fantasia: if the improvised free fantasia is the product of what Sulzer calls the "craving" form of inspiration, then the composed free fantasia utilizes the powers of the second form of inspiration, namely imagination. Thought and reason do not eliminate the *Empfindungen* (feelings) of the composer from the piece, rather the composer's *Empfindungen* are made more vivid and distinct so as to move the temperaments of other performers of his fantasias. Because the primary function of the improvised free fantasia is to inspire the *empfindsam* state in the composer-performer, the focus of the composed fantasia must be on the performer rather than the listener.

Bach published two types of fantasias in his lifetime. The first, which I call the "simple composed fantasia," is typically quite short and has very few, if any, modulations. The second type, which I call the "complex composed fantasia," is significantly longer than its simple counterpart; it is multi-sectional with each section having its own distinct idea, and it uses much more harmonic variety with bold modulations and key changes. The following analyses of two of Bach's fantasias, the Fantasia in F major (Wq. 112/15) from *Clavierstücke verschiedener Art* and the Fantasia in F sharp minor ("CPE Bachs Empfindungen," Wq. 67) will serve as examples of the two types of composed fantasias, the former as the "simple composed fantasia" and the latter as the "complex composed fantasia."

In his introduction to the complete works edition of the *Clavierstücke*, Peter Wollny determines that the Fantasia in F major was composed as early as 1759, which coincides with Bach's work on Part II of his *Versuch.*[81] For this reason Wollny asserts that some of the works contained in the *Clavierstücke*, including the Fantasia in F major, were initially intended as an appendix to the *Versuch*.[82] If that were the case, this fantasia as written merely serves as a harmonic foundation to inspire a short improvisation for those less skilled or ambitious with harmony. According to Bach's rules for the free fantasia defined in his *Versuch,* the key is clearly established with a tonicizing chord progression over a tonic pedal point in the opening, and a dominant pedal point (line 3) at the end (see Appendix A).[83] Otherwise, the harmony explores harmonic relationships to the tonic F major. Bach indicates in the score that the chords should be arpeggiated; yet, this should not be taken so literally. In his autobiography Bach wrote, "it seems to me that music primarily must touch the heart, and the clavierist never can accomplish that through a mere bluster, drumming, and arpeggiating, at least not in my opinion."[84] In other words, while Bach wrote that this should be arpeggiated, performers should vary the arpeggiation and figuration, among other things, as the affect moves them.

---

[80] Translated by Ottenberg, 167. Translation modified.

[81] Peter Wollny, introduction to *The Complete Works*, I/8.1, ed. Darrell Berg (Los Altos, CA: The Packard Humanities Institute, 2005), xiv. The final chapter in Part II of the *Versuch* discusses the free fantasia*.*

[82] Wollny, xiv.

Johann Mattheson describes F major with the words generosity (*Großmuth*), steadfastness (*Standhaftigkeit*)*,* and love (*Liebe*).[85] The key of F major in combination with the *Allegretto* tempo indication should provide a basic affect for the performer in order to arouse inspiration and sensations. Thus, this fantasia should be viewed as a prototype for the "simple composed fantasia": Bach provides the affect and harmonic progression as an apparatus for learning how to improvise a fantasia. Leaving nearly all performance aspects undefined, i.e. figuration, register, dynamics, rhythms, etc., the musician is free to elaborate on the harmonic progression following their own *Empfindungen*.

The Fantasia in F sharp minor ("CPE Bachs Empfindungen," Wq. 67), on the other hand, is written in much more detail, and does not appear to conform to the specifications laid out in the *Versuch*, particularly in the use of large-scale coherence and meter, and serves as an example of the "complex composed fantasia."

Bach presents three main sections consecutively from the beginning of the fantasia, Adagio (m. 1), Allegretto (m. 4a), and Largo (m. 5). These three sections will serve as the foundational material for the entire fantasia (see Appendix B). While the majority of the work does not have a specified meter, the opening of the Adagio is presented in 4/4 meter and the Largo is in 12/8 meter. By composing out a fantasia with specified sections, meters, and melodies, Bach has fundamentally changed the genre. Bach wrote that performers must be able to feel the affects they wish to arouse in their audiences and assume the emotions the composer intended.[86] In the case of the Fantasia in F sharp minor, the performer is taken through a variety of affects– a much more difficult task for less experienced musicians. Bach achieves this by limiting the material to four basic ideas, which act as a guide to arouse *Empfindungen* in the performer. These four ideas are clearly presented in the opening of the fantasia and all serve quite different functions.

---

[83] Bach translated by Mitchell, 431-432.

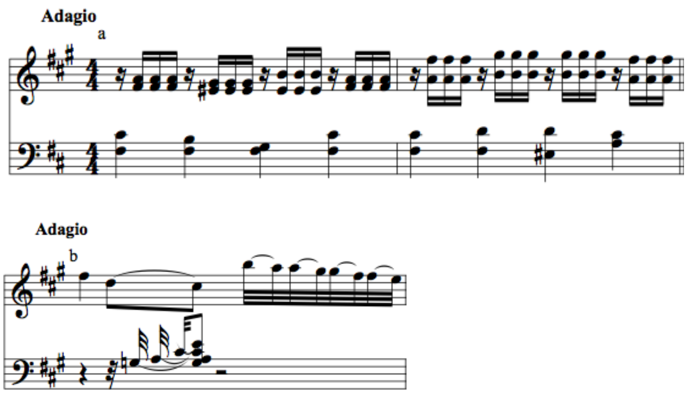
[84] Translated by Newman, "Emanuel Bach's Autobiography," *The Musical Quarterly* 51 (1965), 372.

[85] Johann Mattheson, *Das neu-eröffnete Orchestre* (Hamburg: Schiller, 1713), 241.

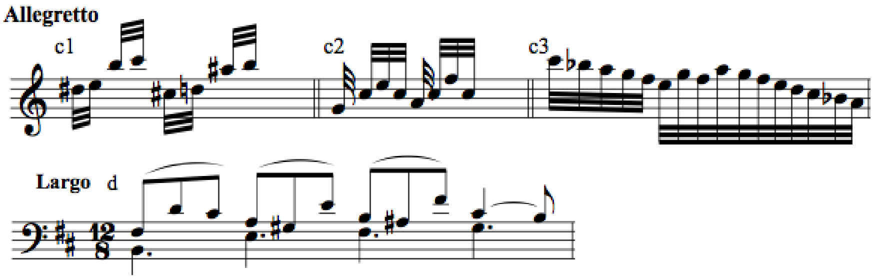
[86] Bach translated by Mitchell, 152.

In the opening Adagio, idea *a* (Example 1, *a*) establishes the key with a pedal on F sharp, indicated with the word “tenute” under the bass line (m. 1-2), and a tonicizing harmonic progression, as in the Fantasia in F major. This idea serves as a stable return throughout the fantasia. Idea *b*, which begins in the second part of the Adagio in measure 3a, is an elaborated appoggiatura that is continuously sequenced, making it harmonically unstable (Example 1, *b*). Idea *c* in the Allegretto is made up of three distinct representations, though they are all unified by very fast and erratic passagework, and unstable and quickly moving harmony (Example 1, *c*). The passages are presented as either ascending with a chromatic half step (Example 1, *c1*), apreggiated (Example 1, *c2*), or scalar (Example 1, *c3*). In contrast, idea *d* presented in the Largo (Example 1, *d*) is in 12/8 meter, slow, and the most melodic idea presented. Idea *d* is has a balanced phrase structure with a melody in the upper voice and bass line in the lower voice.

Example 1. Four basic ideas of Fantasia in F sharp minor



*Reduced from ornamentation with note values approximated



With each subsequent occurrence the ideas are re-contextualized through changes in figuration, harmony, key, or disposition and never return exactly the same. By placing the ideas in new contexts, a performer can interpret new meanings from them. For example, when the Adagio returns in m. 15, Bach undermines the function of *a*: where it was initially for the purpose of establishing stability, it is now made less harmonically stable. Idea *a* first returns on a D-major triad (m. 15); however it is missing some of its characteristic features. For example, there is no pedal point, nor is there an authentic cadence to fully establish the key of D major. An authentic cadence at m. 20 tonicizes E flat minor, which is then is followed by a progression over an E flat pedal point. This new and distantly related key area changes the initial character of the idea.

The context of the ideas can also be altered through their disposition, which adds a deeper layer of complexity to the ideas. Unlike the initial presentation of *a*, this Adagio does not conclude with *b*, rather it is followed by immediately by *d* (m. 23). Idea *d*, however, does not provide the sense of stability one would expect due to its quick juxtaposition with *c* (m. 24). By placing *c* immediately after *d*, *c* creates an interruption to *d*, both melodically and harmonically. *D* begins in B flat minor, though after one measure of *c* it returns in C minor (m. 25). With a modulation to D minor, *c* interrupts a second time before *d* is extended in m. 27.

It is not just the surface level harmony and melody that are altered, but, with their new dispositions, *c* and *d* influence one another and take on the characteristics of the other. For example, on the one hand, *d* comes across as less stable because the interruption of idea *c* requires it to constantly modulate, thus somewhat taking on the functional characteristic of *c*. On the other hand, *c* is made seemingly more lyrical due to the influence of the Largo tempo indication and character of *d*. One would presumably return to a faster tempo (though it is not indicated) gradually beginning around m. 36 where *c* completely takes over.

Bach continues to re-contextualize the four musical ideas in each of their subsequent occurrences through a variety of techniques as demonstrated in Figure 2. To be sure, each new context is not necessarily shocking to the performer or listener, as many sources suggest about Bach's music and the supposed *empfindsamer Stil*. Rather, the re-contextualization enriches the character of the ideas, which in turn creates more complex and deeper impressions for the performer to experience. By limiting the basic material of the entire fantasia to only four ideas, Bach provides a degree of clarity that allows the performer to interpret new meanings and *Empfindungen* from the ideas in different contexts, whether through changes in figuration, harmony, key, or disposition. With each new context, the ideas guide the performer through various affects and sensations; therefore, the ideas serve as objects of inspiration for the performer to explore their own *Empfindungen*. Because the aim of aesthetics was to develop a depth of character in an individual; the free fantasia, in its ability to facilitate such development through the senses, served the larger moral purpose of cultivating a beautiful soul.

Figure 2. Disposition of Musical Ideas in Fantasia in F sharp minor

Section	Measure	Idea	Description
Adagio	1	a^*	Harmonically stable; tonicizing F sharp minor
	3a	b^*	Modulatory
	3d	*a*	Tonicizing B minor
	3d	*b*	Modulatory; ends on a half cadence in A major in m. 3h
Allegretto	4a	c^*	Modulatory; all three forms of *c*; harmonic rhythm at the eighth note
Largo	5	d^*	B minor
Adagio	15	*a*	Begins on D major triad at m. 15; pedal point on E flat at m. 20; presented without idea *b*
Largo	23	*d/c*	Alternation of ideas *d* and *c*
Adagio	39	*a/b*	Transposition of first Adagio from F sharp minor to B minor until m. 41d
Allegretto	42a	*c3*	Only c^3
Adagio	42f	*b*	Presented without idea *a*
Allegretto	43b	*c*	Transitional
	43c	*c*	Harmonic rhythm at the quarter note
Largo	44	*d*	F sharp minor

* First presentation of idea.

The complex composed fantasia, though seemingly detailed in its composition, allows the performer a significant amount of freedom. A majority of the work is unmetered, durations of notes should be considered approximate, and the dynamics merely scratch the surface of possibilities. Bach wrote that when a person of "delicate, sensitive insight" performs, "the composer will learn to his astonishment that there is more in his music than he had ever known or believed."[87] In the act of performance, when the performer is taken into an *empfindsam* state, the fantasia is no longer Bach's *Empfindungen*, but the performer's perception of them.

Conclusion

Scholars have struggled to understand C.P.E. Bach's music against the styles of the high Baroque and the Viennese Classical eras. Those traits that are unique to Bach's music, particularly its irregularity and unpredictability, have been designated as

---

[87] Bach translated by Mitchell, 153.

empfindsam, a word that has been taken out of its context and applied to music. *Empfindsamkeit* came to be defined in the twentieth century as a musical style that links the Baroque and Classical periods. Bach's music cannot be evaluated on its own terms without first questioning those concepts that were defined by teleological approaches to history. When considering the cosmological framework of the Early German Enlightenment, a deeper understanding of not only the concept of *Empfindsamkeit*, but also Bach's music can be gained.

The early Enlightenment was a unique time in German philosophical history that formed its own philosophy of art distinct from the surrounding periods and geographic regions. Although Baumgarten's aesthetics formed the foundation for that of Kant, a broader, moral definition of aesthetics was lost. A more nuanced understanding of the relationship between the body and mind opens up strong implications for the concept of *Empfindsamkeit* and its function in music.

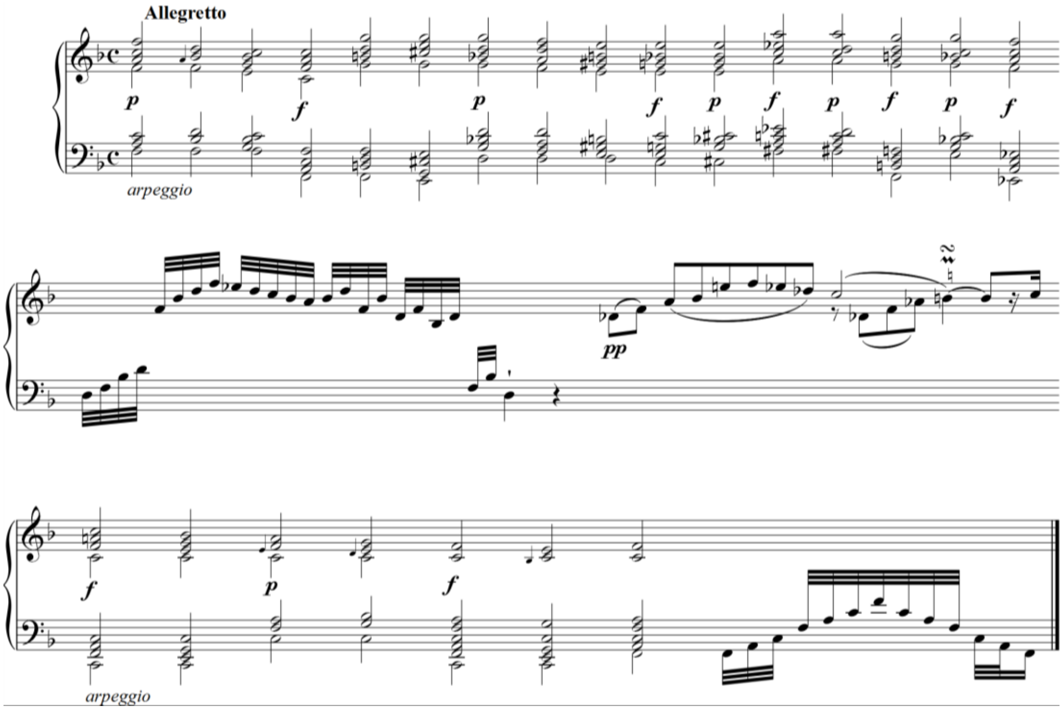
C.P.E. Bach's music was composed not merely to surprise the listener, but to arouse an *empfindsam* state whose purpose was to develop a beautiful soul. The free fantasia, whether improvised or composed, was the ideal vehicle for the discovery of beautiful truths and the development of the soul. While we cannot capture exactly how Bach may have improvised at the keyboard, we can at least understand both the function and meaning of the genre of the fantasia. The few that had the rare opportunity to witness Bach improvise saw Bach's *Empfindungen* in an undeveloped form – without the refinement of invention, thought, and reason. Annette Richards suggests that for Bach to fantasize for others was to "expose [his] naked consciousness."[88] Bach showed his genius in his ability to tap into the sensations of his soul and discover beautiful truths, and the improvised free fantasia was for that very purpose. The free fantasia was the only genre in which Bach could compose solely for himself. By publishing his fantasias Bach shared a very personal side of his genius to inspire others to explore their own *Empfindungen.*

---

[88] Annette Richards, *The Free Fantasia and the Musical Picturesque* (Cambridge: Cambridge University Press, 2001), 176.

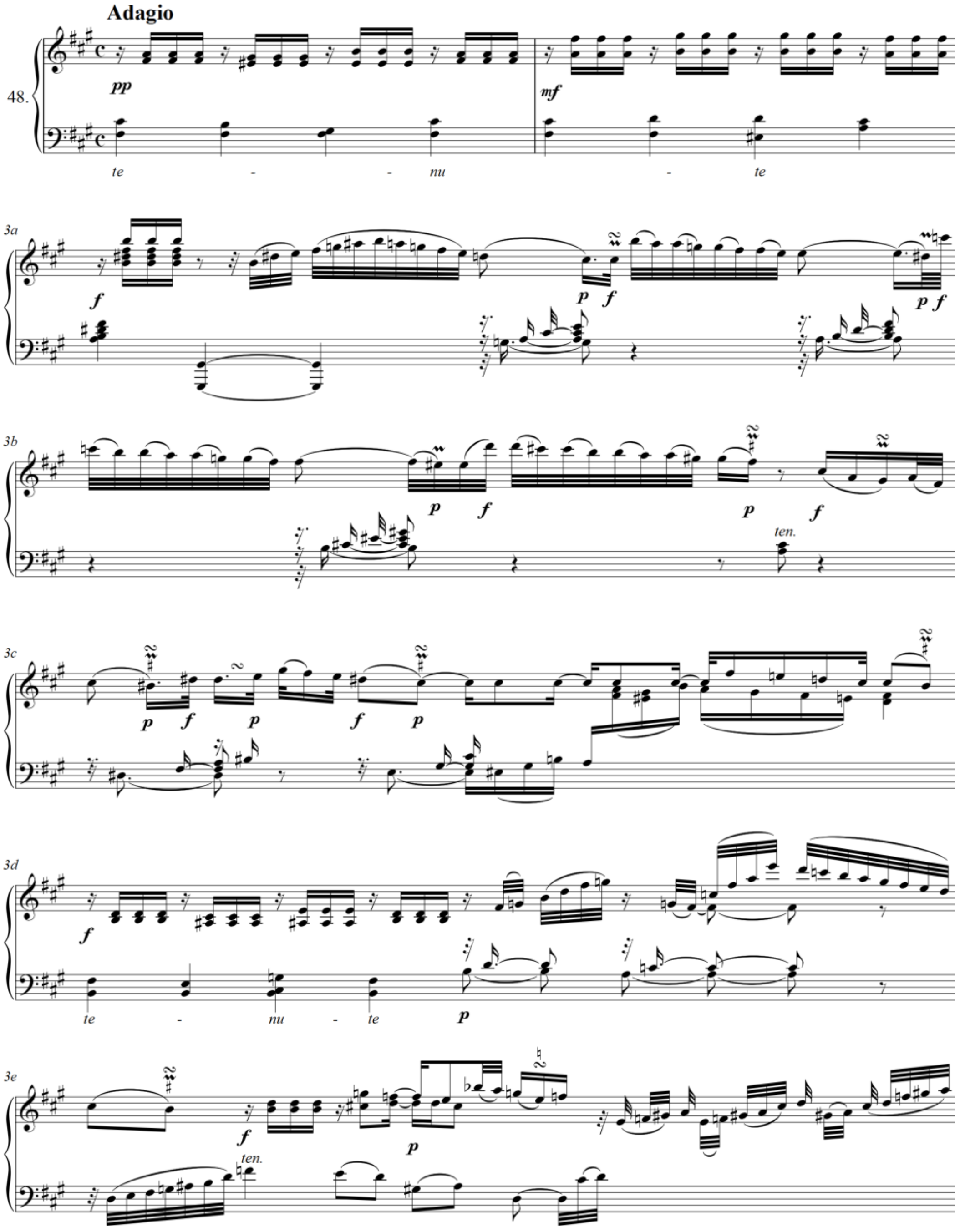
APPENDIX A

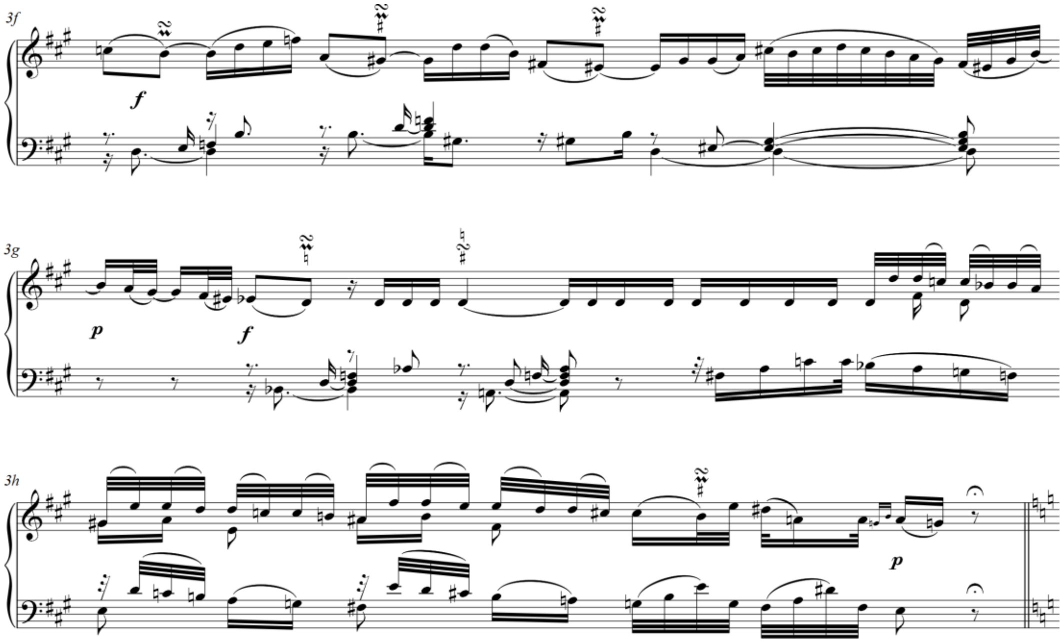
C.P.E. Bach, *Fantasia in F Major, Wq. 112.15/H. 148* (1765). Prepared using Bach's *Complete Works*, edited by Peter Wollny.

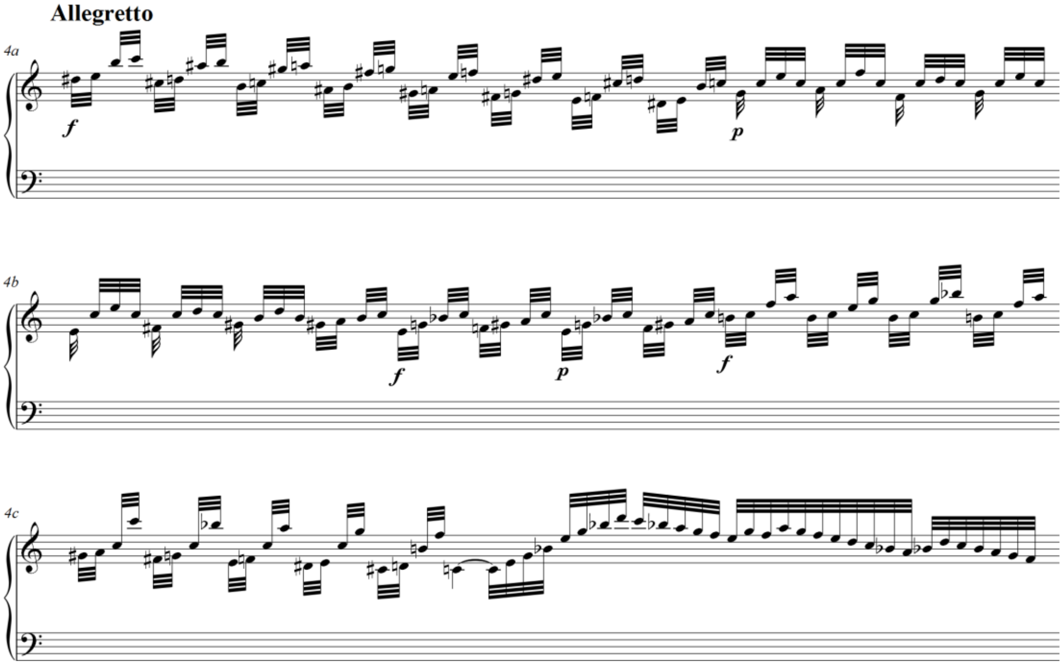

Allegretto
p
f
p
f
p
f
p
f
p
f
arpeggio
pp
f
p
f
arpeggio

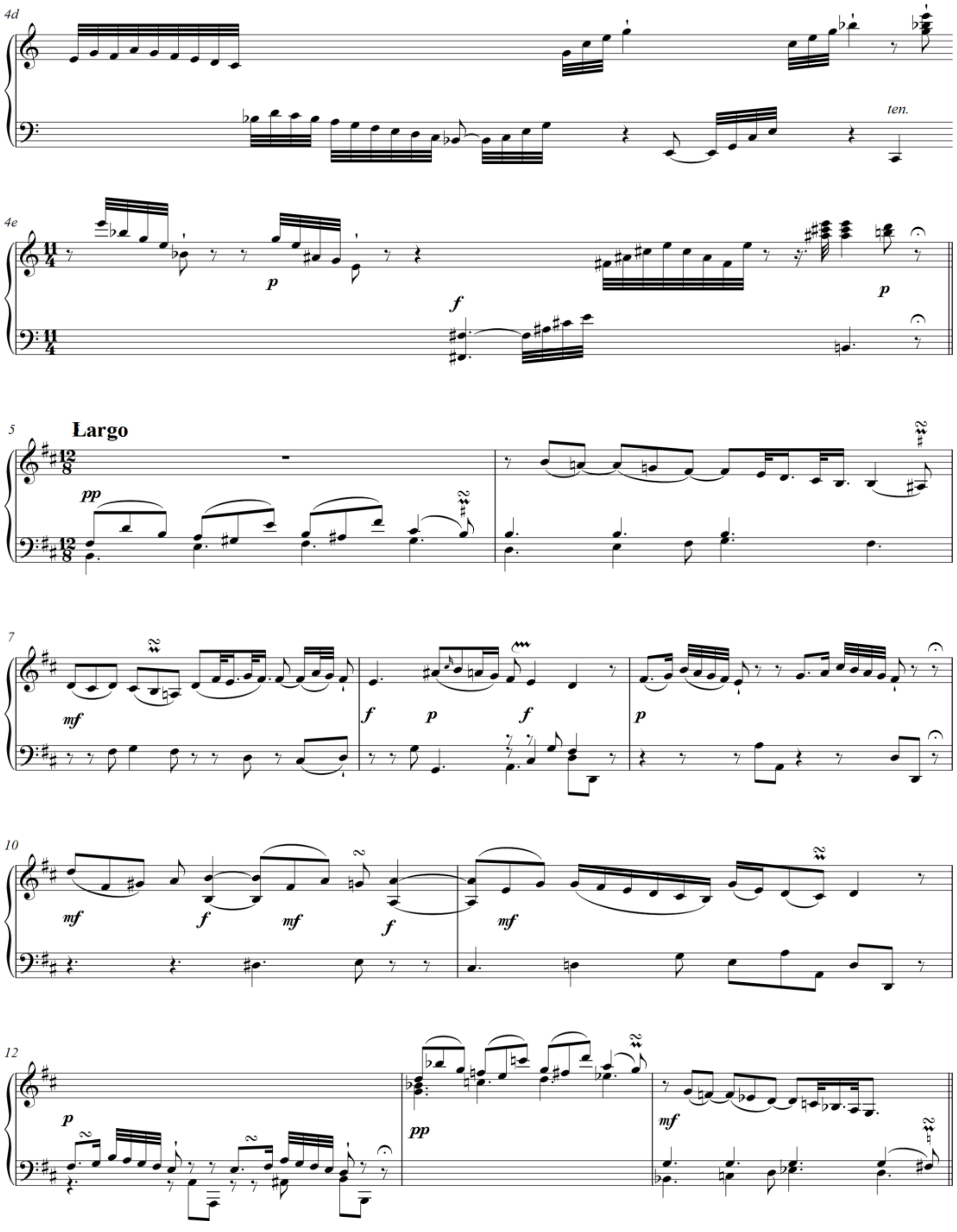
APPENDIX B

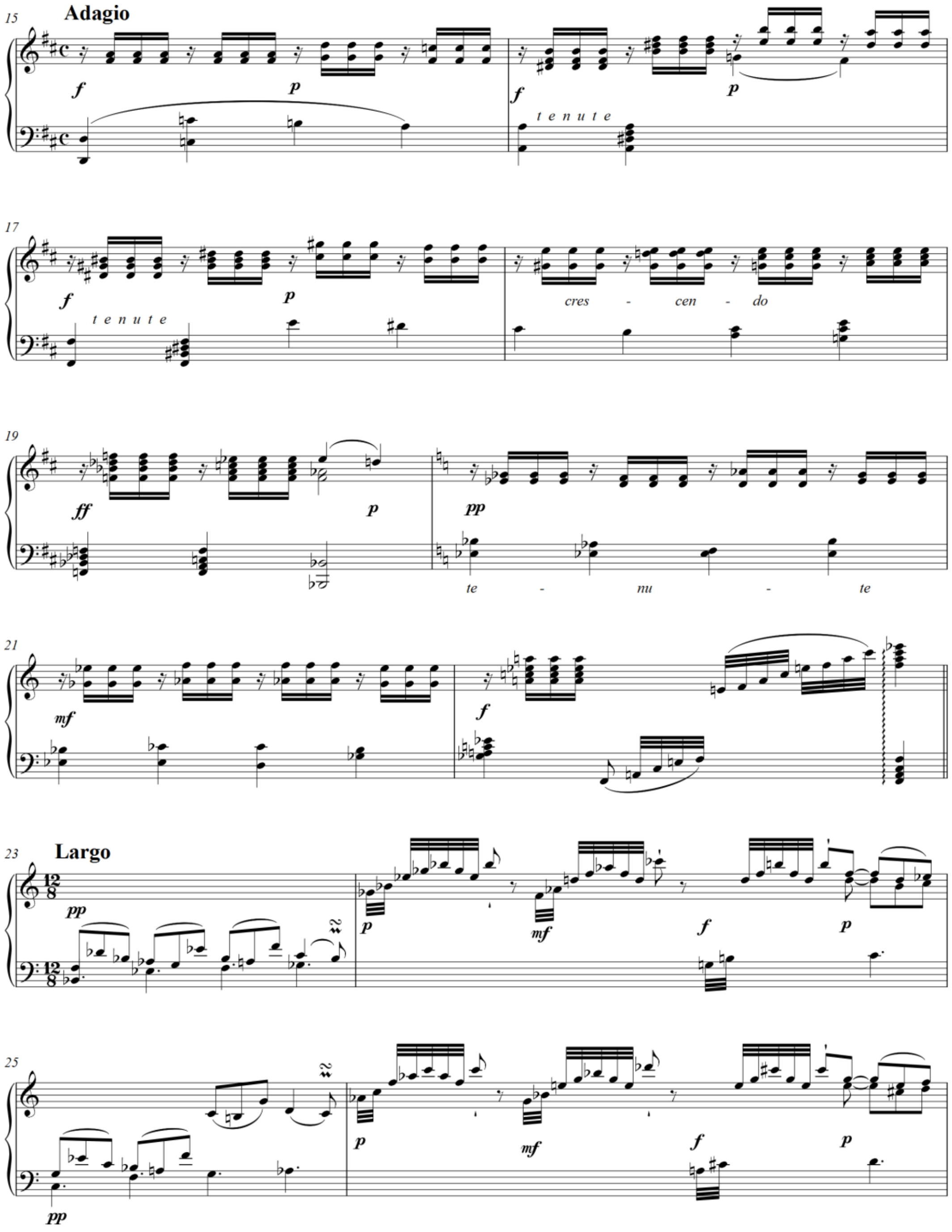
C.P.E. Bach, *Fantasia in F sharp minor, Wq. 67/H. 300* (1788). Prepared using Bach's *Complete Works*, edited by Peter Wollny.

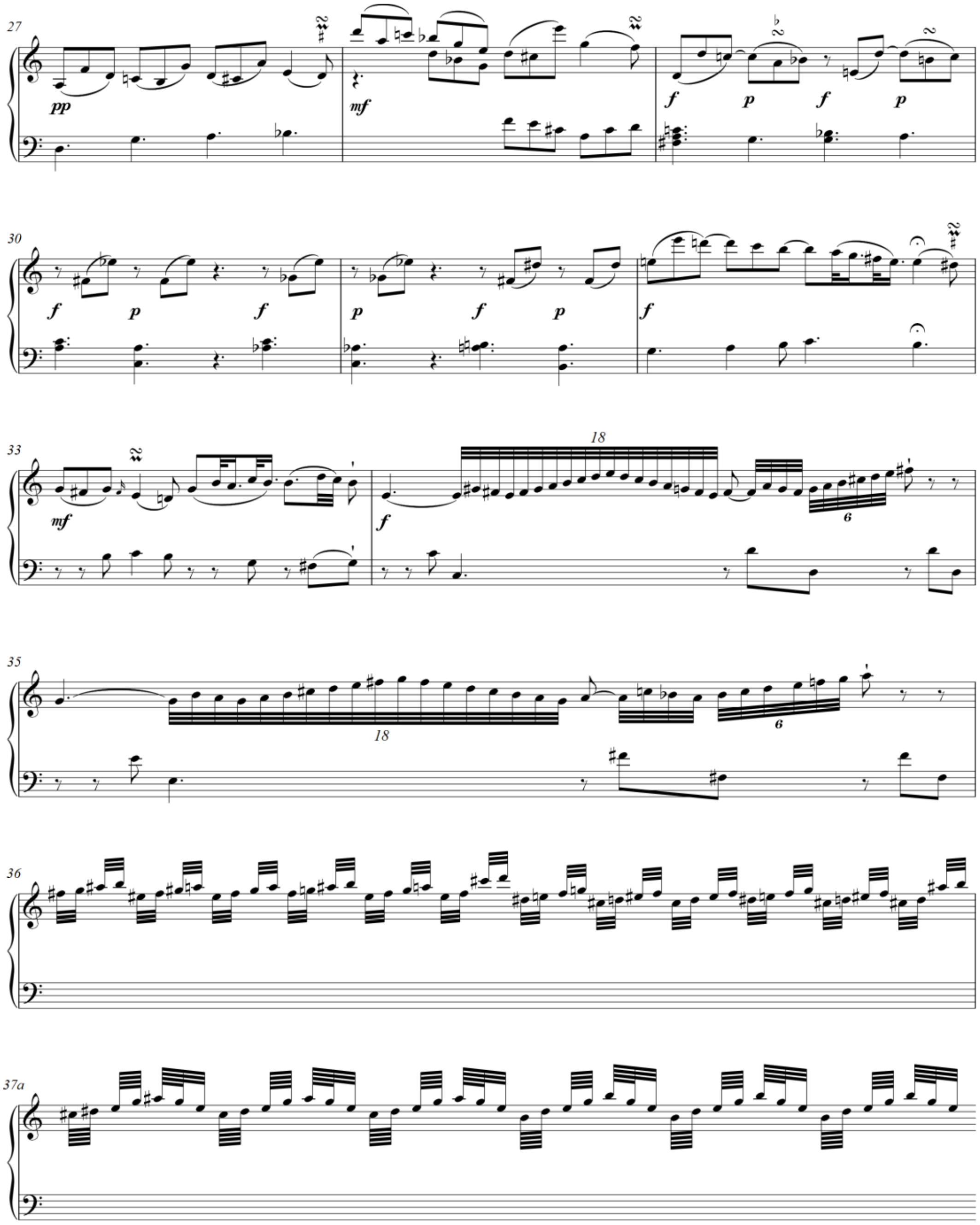

Adagio
48.
pp
mf
te - - nu - te
3a
f
p f
p f
3b
p f
p f
ten.
3c
p f p f p
3d
f
te - nu - te
p
3e
f
ten.
p

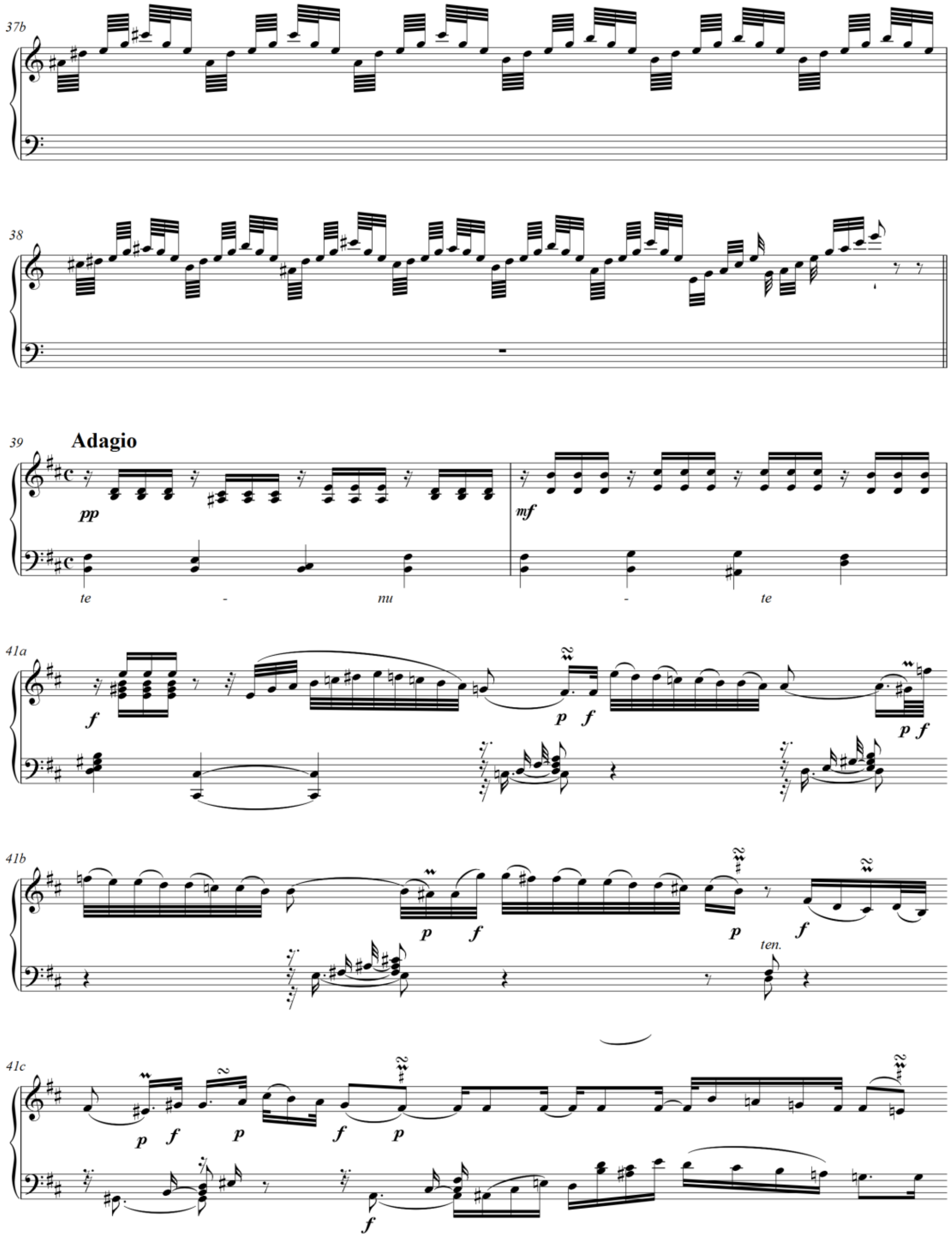

3f
f
3g
p
f
3h
p

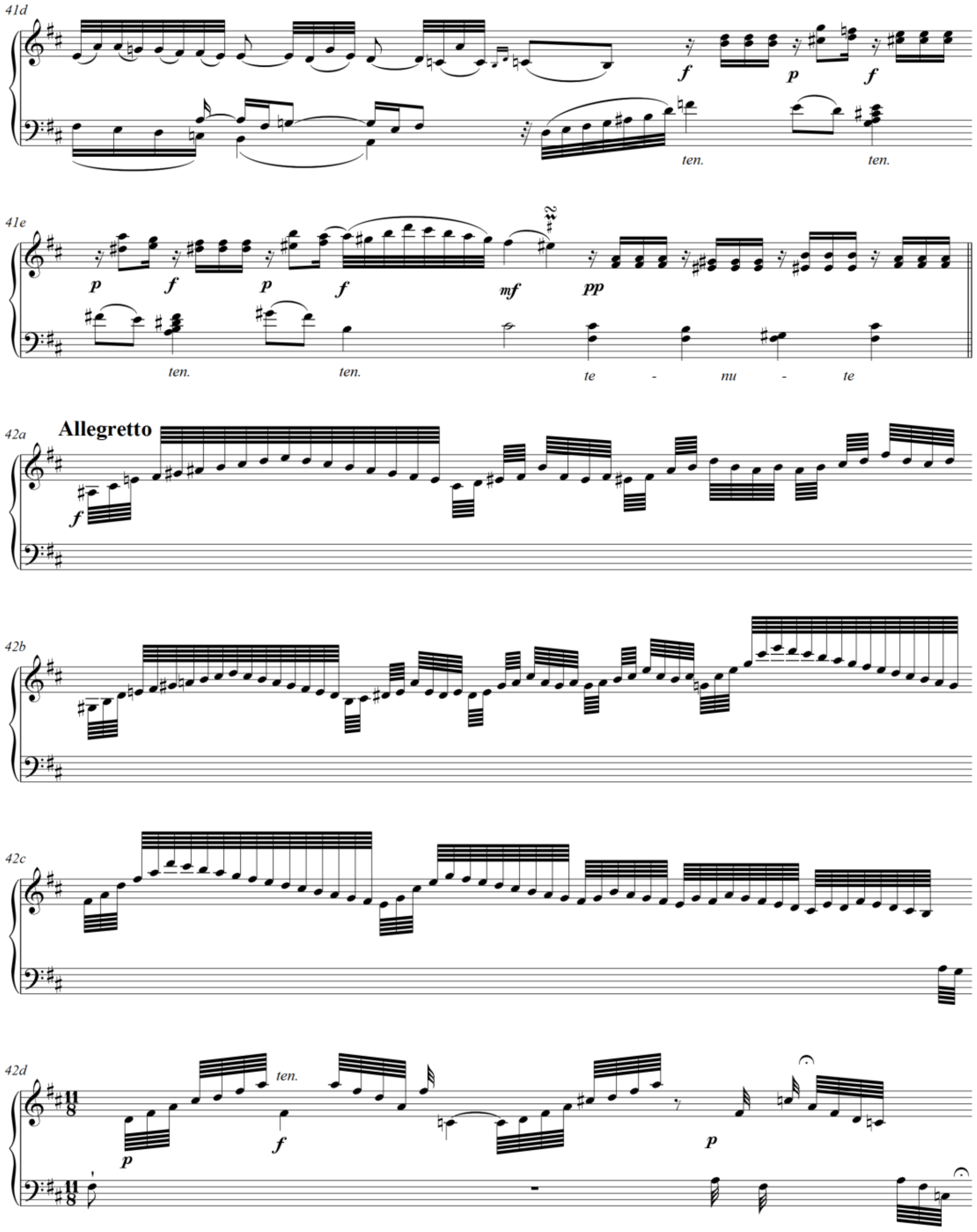

Allegretto
4a
f
p
4b
f
p
f
4c

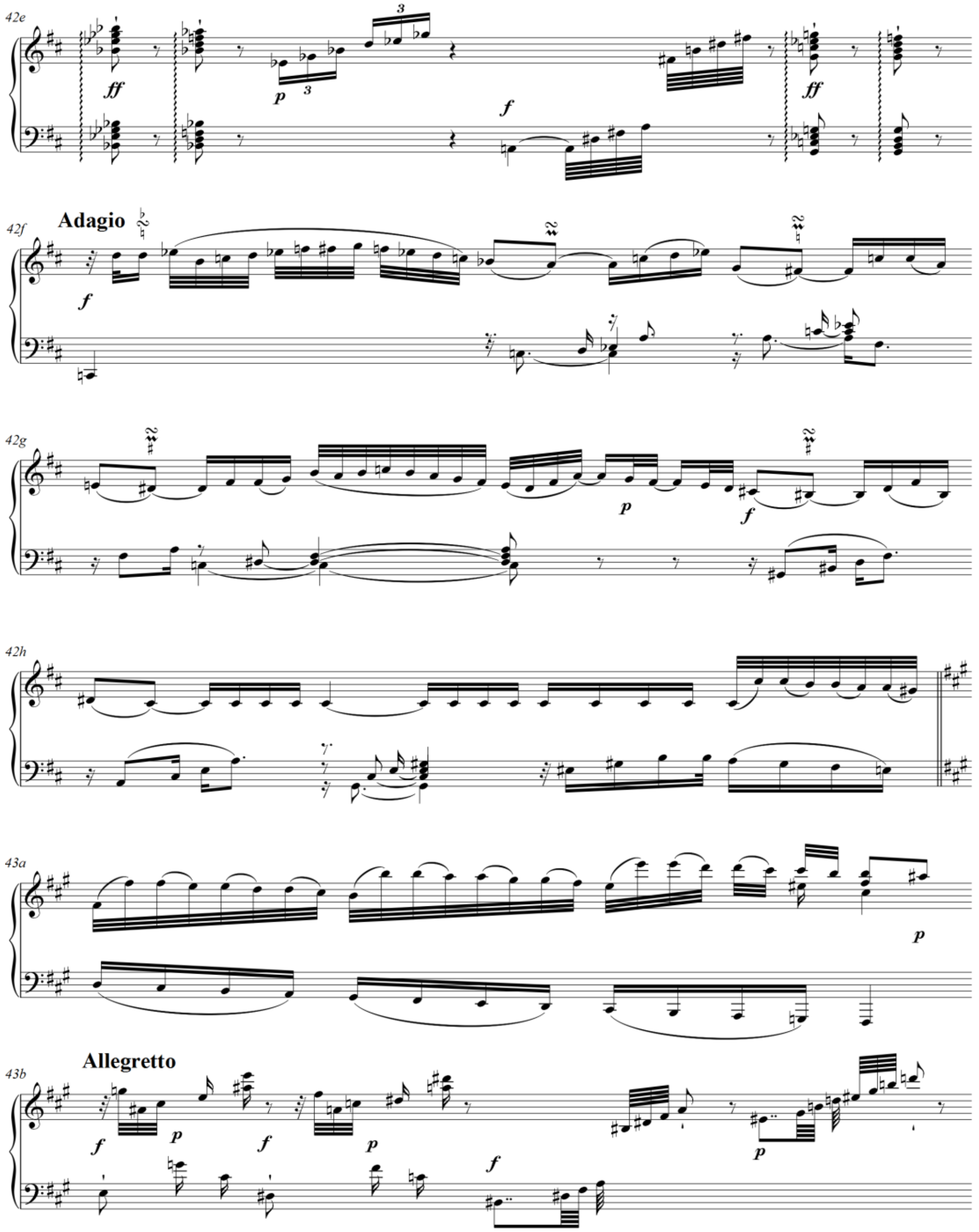

4d
ten.
4e
p
f
p
5
Largo
pp
7
mf
f
p
f
p
10
mf
f
mf
f
mf
12
p
pp
mf

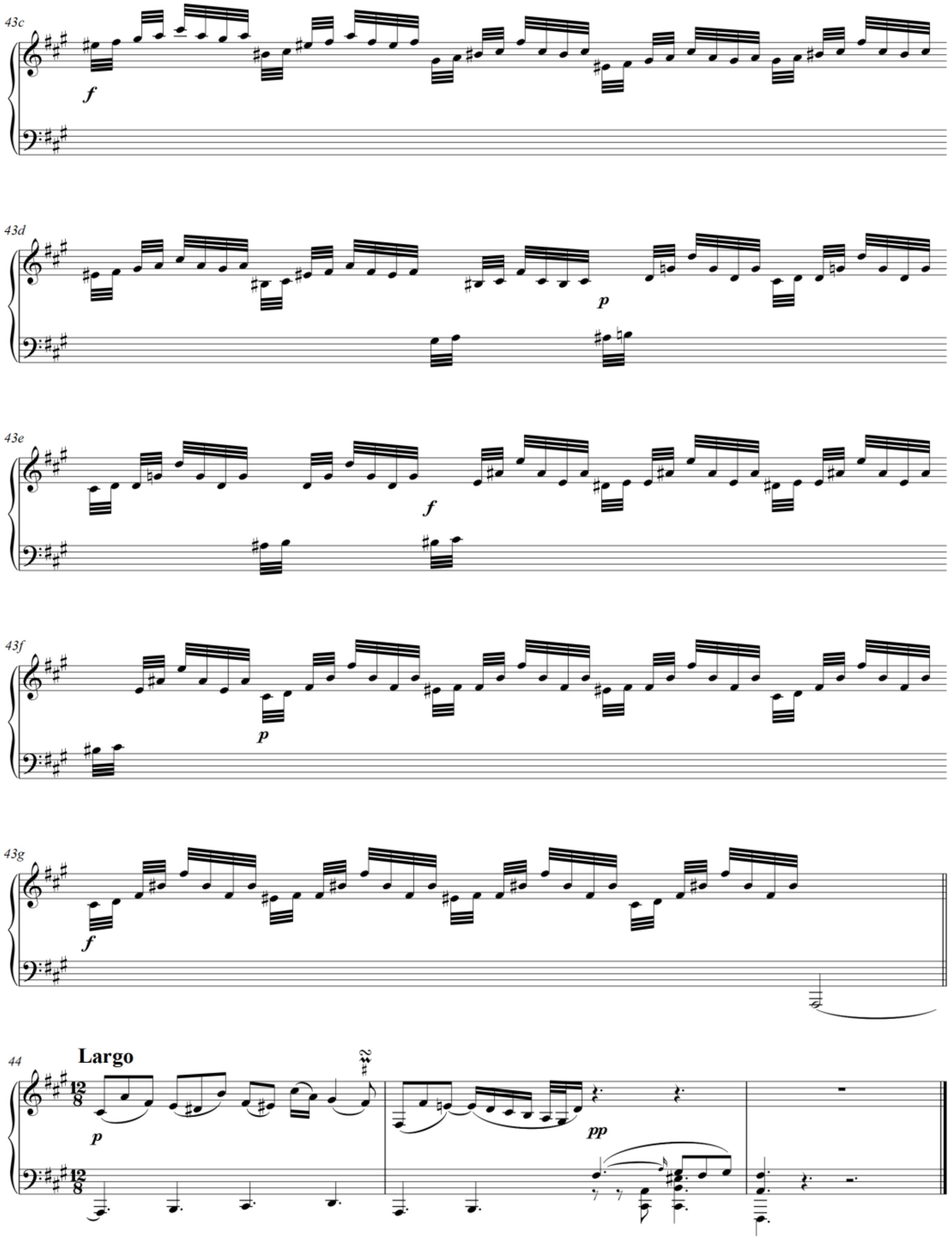

15
Adagio
f
p
f
tenute
p
17
f
tenute
p
cres - cen - do
19
ff
p
pp
te - nu - te
21
mf
f
23
Largo
12/8
pp
p
mf
f
p
25
pp
p
mf
f
p


27
pp
mf
f
p
f
p
30
f
p
f
p
f
p
f
33
mf
f
18
6
35
18
6
36
37a


37b
38
39
Adagio
pp
mf
te - nu - te
41a
f
p f
p f
41b
p f
p
ten.
f
41c
p f p
f p
f


41d
f
p
f
ten.
ten.
41e
p
f
p
f
mf
pp
ten.
ten.
te - nu - te
42a
Allegretto
f
42b
42c
42d
11
8
p
ten.
f
p


42e
3
3
ff
p
f
ff
42f
Adagio
f
42g
p
f
42h
43a
p
43b
Allegretto
f
p
f
p
f
p


43c
f
43d
p
43e
f
43f
p
43g
f
44
Largo
p
pp

Works cited:

Bach, Carl Philipp Emanuel. *The Complete Works*, I/8.1. Edited by Peter Wollny. General editor Darrell Berg. Los Altos, CA: The Packard Humanities Institute, 2005.

———. *Essay on the True Art of Playing Keyboard Instruments*. Translated and edited by William J. Mitchell. New York: W.W. Norton, 1949.

———. *Versuch über die wahre Art, das Clavier zu spielen*. Edited by Lothar Hoffmann-Erbrecht. Leipzig: Breitkopf & Hartel, 1957 [facsimile reprint Berlin, 1743 and 1762 first edition].

Baker, Nancy Kovaleff. Introduction to "Introductory Essay on Composition, Vol. II (1787)" by Heinrich Koch in *Aesthetics and the Art of Musical Composition in the German Enlightenment*, edited by Ian Bent. Cambridge: Cambridge University Press, 1995.

Baumgarten*,* Alexander. *Theoritsche Ästhetik: Die grundlegenden Abschnitte aus der "Aesthetica"(1750/58): Lateinisch-Deutsch*. Translated by Hans Rudolf Schweizer. Hamburg: F. Meiner, 1983.

Becker, Judith. *Deep Listeners: Music, Emotion, and Trancing.* Bloomington: Indiana University Press, 2004.

Beiser, Frederick. *Diotima's Children: German Aesthetic Rationalism from Leibniz to Lessing.* New York: Oxford University Press, 2009.

Bell, Matthew. *The German Tradition of Psychology in Literature and Thought, 1700-1840.* New York: Cambridge University Press: 2005.

Berg, Darrell Matthews. "The Keyboard Sonatas of C.P.E. Bach: An Expression of the Mannerist Principle." PhD diss., State University of New York Buffalo, 1975.

Bode, Johann Joachim Christoph, introduction to *Yoricks empfindsame Reise durch Frankreich und Italien*. Hamburg and Bremen: Cramer, 1769.

Brown, Clive. *Classical and Romantic Performing Practices 1750-1900*. New York: Oxford University Press, 1999.

Burney, Charles. *Dr. Burney's Musical Tours in Europe, Volume II: An Eighteenth-Century Musical Tour in Central Europe and the Netherlands.* Edited by Percy A. Scholes. London: Oxford University Press, 1959.

Cramer, Carl Friedrich. *Magazin der Music*, v.2. Hildesheim: G. Olms, 1971 [reprint of Hamburg, 1786].

Foucoult, Michel. *Archeology of Knowledge and the Discourse on Language*. Translated by A. M. Sheridan Smith. New York: Vintage Books, 1972.

Hammermeister, Kai. *The German Aesthetic Tradition.* Cambridge: Cambridge University Press, 2002.

Head, Matthew. "Fantasy in the Instrumental Music of C.P.E. Bach." PhD diss., Yale University, 1995.

Keeling, Stanley Victor. *Descartes*. Westport, CT: Greenwood Press, 1934.

Kluge, Friedrich, ed. *Zeitschrift für deutsche wortforschung*. Straßburg: Karl J. Trübner, 1902.

Leibniz, Gottfried Wilhelm. *New Essays on Human Understanding*. Translated by Peter Remnant and Jonathan Bennett. Cambridge: Cambridge University Press, 1981.

Lessing, Gotthold Ephraim. *Hamburgische Dramaturgie*. Hamburg and Bremen: Cramer, 1767-69.

———. *Miß Sara Sampson*. Berlin: Voß, 1755.

Mattheson, Johann. *Das neu-eröffnete Orchestre*. Hamburg: Schiller, 1713.

Mendelssohn, Moses. Moses Mendelssohn, "Rhapsodie; oder, Zusätze zu den Briefen über die Empfindungen." In *Philosophische Schriften*, v. 2. Berlin: Voß, 1761.

Neumann, Frederick. *Performance Practices of the Seventeenth and Eighteenth Centuries*. New York: Schirmer Books, 1993.

Newman, William S. "Emanuel Bach's Autobiography." *The Musical Quarterly* 51 (1965): 363-372.

Newman, William S. *The Sonata in the Classic Era.* Chapel Hill: University of North Carolina Press, 1963.

Norton, Robert E. *Herder's Aesthetics and the European Enlightenment.* Ithica: Cornell University Press, 1991.

Ottenberg, Hans-Günter. *Carl Philipp Emanuel Bach*. Leipzig: Reclam, 1987.

Quantz, Johann Joachim. *On Playing the Flute*. Translated by Edward Reilly. Boston: Northeastern University Press, 2001.

Ratner, Leonard. *Classic Music: Expression, Form, and Style*. New York: Schirmer Books, 1980.

Reichardt, Johann Friedrich. *Briefe eines aufmerksamen Reisenden die Musik betreffend*, v.2. Hildsheim: G. Olms, 1977 [reprint of Frankfurt and Breslau edition, 1776].

Richards, Annette. *The Free Fantasia and the Musical Picturesque*. Cambridge: Cambridge University Press, 2001.

Richter, Jean Paul Friedrich. *Hesperus or Forty-Five Dog-Post-Days*. Translated by Charles T. Brooks. Boston: Ticknor and Fields, 1865.

Riley, Matthew. *Musical Listening in the German Enlightenment: Attention, Wonder and Astonishment*. Burlington, VY: Ashgate Publishing Company, 2004.

Rosemond, Marleen. *Descartes's Dualism*. Cambridge: Harvard University Press, 1998.

Rosen, Charles. *The Classical Style*. New York: Norton, 1972.

Sulzer, Johann Georg. *Allgemeine Theorie der Schönen Kunste*. Hildesheim: G. Olms, 1967 [reprint of the second edition Leipzig: F. von Blankenburg, 1792].

———. *Allgemeine Theorie der Schönen Kunste*, v. 3. Berlin: Heilmannischen Buchhandlung, 1777.

———. "Analyse de Génie." *Histoire de de l'Académie Royale des Scieces et des Belle-Lettres de Berlin* (1757): 392-404.

———. "General Theory of the Fine Arts (1771-74) Selected Articles." Translated with and introduction by Thomas Christensen. In *Aesthetics and the Art of Musical Composition in the German Enlightenment.* Edited by Ian Bent. Cambridge: Cambridge University Press, 1995.

Tomlinson, Gary. *Music in Renaissance Magic: Toward a Historiography of Others*. Chicago: University of Chicago Press, 1993.

Wolff, Christian. *Vernünfftige Gedanken von Gott, der Welt und der Seele des Menschen, auch allen Dingen überhaupt.* Ann Arbor, MI: UMI, 2007 [facsimile reprint Halle: Magdeburgischen, 1751].

Wollny, Peter. Introduction to *The Complete Works*, I/8.1. Edited by Darrell Berg. Los Altos, CA: The Packard Humanities Institute, 2005.

Tonal Trajectory in “De quan qu’on peut”: An Examination of Directed Progression and Modal Species in an Anonymous *Ballade* from the *Ars subtilior*

BENJAMIN DOBBS

> “What are we seeking when we set out to identify tonal structure in a composition or within a defined repertory of music? What are we expecting to find? Our responses to these questions will largely determine our results, for they will set the course for how we apprehend and configure the phenomena at hand. A quest for tonal structure often amounts to a search for coherence and unity of pitch relations within a composition or for standard templates of order observed in a repertory. Few scholars wish to entertain the notion that a tonal structure might be disparate or incoherent in nature.”[1]

Noted early-music scholar Sarah Fuller begins her study of tonal structures in fourteenth-century French polyphonic song with these questions and postulates. Her statement is in response to an analytical tradition that features a search for tonality in which the final sonority determines *a priori* the tonality for an entire piece.[2] Arguing that such an approach presents a narrow picture of tonal motion within fourteenth-century compositional practice, Fuller recommends a more observation-oriented examination featuring an analytical method in which the analyst examines events as they unfold in time using certain pre-established analytical techniques.[3] Rather than forcing each composition to fit into a predefined category, her approach highlights the diversity and individuality within this repertory, ultimately revealing broader patterns of tonal trajectory than those evidenced by the final sonority alone.

Inquiry into fourteenth-century French polyphonic song has largely featured the *Ars nova* repertory as exemplified by Guillaume de Machaut, and studies by Fuller[4] as well as Jennifer Bain[5] and

---

[1] Sarah Fuller, “Exploring Tonal Structure in French Polyphonic Song of the Fourteenth Century,” in *Tonal Structures in Early Music*, ed. Cristle Collins Judd, 61-86. (New York and London: Garland Publishing, 1998): 61.

[2] In this paper, sonority refers to the sum total of any simultaneity formed by different voices, whether two or three pitch classes. Interval refers to the component parts of a sonority.

[3] Fuller, “Exploring Tonal Structures,” 61-62.

[4] Sarah Fuller, “Concerning Gendered Discourse in Medieval Music Theory: Was the Semitone ‘Gendered Feminine’?” *Music Theory Spectrum* 33, no. 1

Elizabeth Leach[6] over the last twenty-five years have increased understanding of this music. The somewhat enigmatic tradition of the late fourteenth-century known as the *Ars subtilior*, however, has remained largely untouched and thus demands further attention. This paper will build upon analytical premises established by Fuller, Bain, Leach, and others, adapting and applying their techniques to the similar yet distinct repertory of the *Ars subtililior*, specifically the anonymous *ballade* "De quan qu'on peut."[7] Using the *chanson* as a model, I will present modified categories of Fuller's directed progression, which will identify subtle distinctions within cadential formation in *Ars subtilior* music. In a shift from the vertical to the horizontal, I will then examine the implications of melodic line (i.e., the cantus) with regard to listener expectation as projected by the modal species of the octave, fifth, and fourth. Finally, I will observe ways in which melodic line and directed progression interact to either reinforce or oppose one another. Ultimately, I will demonstrate that "De quan qu'on peut" has a complex tonal structure that is only made clear after understanding both vertical and horizontal aspects within the music.

(2011): 65-89. "Discant and the Theory of Fifthing," *Acta Musicologica* 50, nos. 1 and 2 (1978): 241-275. "Line, 'Contrapunctus' and Structure in a Machaut Song," *Music Analysis* 6, nos. 1 and 2 (1987): 37-58. "Modal Discourse and Fourteenth-Century French Song: A 'Medieval' Perspective Recovered?" *Early Music History* 17 (1998): 61-108. "On Sonority in Fourteenth-Century Polyphony: Some Preliminary Reflections," *Journal of Music Theory* 30, no. 1 (1986): 35-70. "Tendencies and Resolutions: The Directed Progression in "Ars Nova" Music," *Journal of Music Theory* 32, no. 2 (1990): 229-258. "Theoretical Foundations of Early Organum Theory," *Acta Musicologica* 53 (1981): 52-84.

[5] Jennifer Bain, "Fourteenth-Century French Secular Polyphony and the Problem of Tonal Structure," (PhD diss., State University of New York at Stony Brook, 2001). " 'Messy Sctructure'? Multiple Tonal Centers in the Music of Machaut," *Music Theory Spectrum* 30, no. 2 (2008): 195-237. "Theorizing the Cadence in the Music of Machaut," *Journal of Music Theory* 47, no. 2 (2003): 325-362.

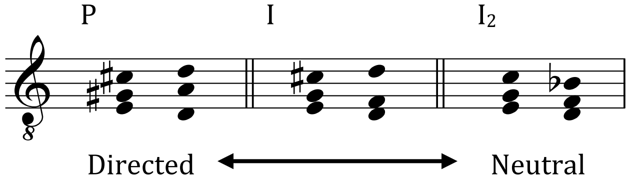
[6] Elizabeth Leach, "Counterpoint and Analysis in Fourteenth-Century Song," *Journal of Music Theory* 44, no. 1 (2000): 45-79. "Gendering the Semitone, Sexing the Leading Tone: Fourteenth-Century Music Theory and the Directed Progression," *Music Theory Spectrum* 28, no. 1 (2006): 1-21. "Interpretation and Counterpoint: The Case of Guillaume de Machaut's 'De toutes flours'," *Music Analysis* 19, no. 3 (Oct. 2000): 321-351. "Reading and Theorizing Medieval Music Theory: Interpretation and Its Contexts," *Music Theory Spectrum*, 33, no. 1 (2011): 90-98.

[7] The musical edition used in this paper is the result of a joint effort between Jeffrey Ensign, Andrea Recek, and myself. The edition was prepared as part of a final project for Professor Bernardo Illari's course on polyphonic notation at the University of North Texas in the fall of 2011. I would like to thank my colleagues for their permission to reproduce the score in full (see Appendix A), and for the numerous ideas and insights that we shared while working on the edition.

Defining the Directed Progression

The study will begin with a review of the concept of the directed progression as initially theorized by Fuller and then amended by subsequent authors. I will then present a reformulation of the concept into four categories for use in *Ars subtilior* music. In 1986, Fuller observed that the primary contrapuntal tendency in a two-voice texture in the fourteenth century is the contrapuntal motion from a sixth to an octave, i.e., from an imperfect consonance to a perfect one. When three or more voices are involved, the cadential formulation becomes more complex. Using Machaut as a guide, Fuller notes the three types of ending sonorities that occur most frequently: those with only perfect consonances (P), those with perfect consonances and one imperfect one (I), and those with multiple imperfect consonances (I_2).[8] Progressions leading to these types of endings occur on a continuum from directed (i.e., those with perfect consonances only) to neutral (i.e., those with imperfect consonances only).[9] The use of inflected notes—either written in the music by the composer or scribe, or as editorial adjustments—to make the imperfect interval major increases the drive toward the point of resolution. See Example 1 for examples of Fuller's three progression types.[10] Fuller explored the concept further in 1990, examining instances in which the basic directed progression is altered in some way as a method of delaying, prolonging, or redirecting cadential articulation.[11]

Example 1. Fuller's continuum of progression types



In 2003, Bain examined cadences in Machaut's compositions from a broader perspective, looking not only at directed progressions, but also at points involving non-stepwise motion but otherwise indicate cadential repose. This frequently occurs with leaps in either the tenor or cantus that allow the formation of a perfect consonance where stepwise motion might have led to a different interval.[12] Bain presents examples of such usage by

---

[8] Fuller, "On Sonority," 41-42.

[9] Fuller, "On Sonority," 51.

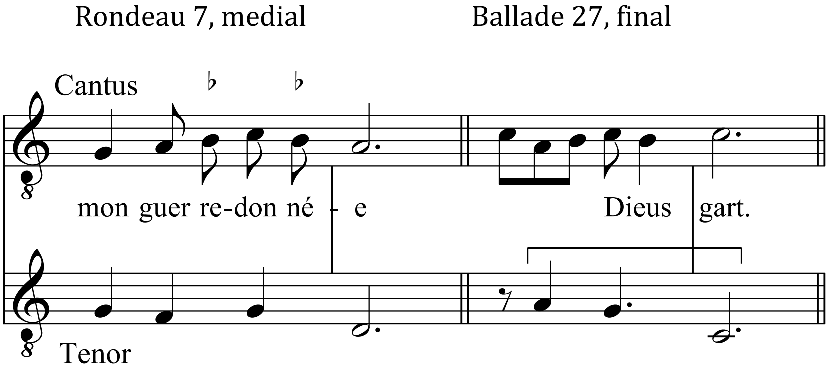
[10] This example is my interpretation of Fuller's three sonority types, and does not appear in her article.

[11] Fuller, "Tendencies and Resolutions," 239-241.

[12] Bain, "Theorizing the Cadence," 331, 334, 335, 337.

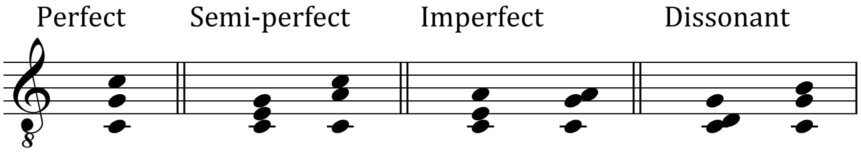
Machaut found in his Rondeau 7 and Ballade 27 (see Example 2).[13] At an internal cadential point in Rondeau 7, Machaut leaps down a fourth in the tenor to form a fifth with the cantus rather than stepping up to form a unison. The composer brings out the finality of Ballade 27 by leaping down a fifth in the tenor to form an octave with the cantus.

Example 2. Bain's examples of non-stepwise cadences (adapted), from Machaut's Rondeau 7 and Ballade 27



In his dissertation, Jared Hartt discusses a classification of sonorities by Helmutt Kühn, which predates Fuller's directed progression slightly.[14] Based on an intervallic content, Kühn divides sonority types into four categories: perfect sonorities (consist of the perfect fifth and octave), semi-perfect sonorities (consist of a perfect interval and no dissonant intervals[15]), imperfect sonorities (consist of two imperfect consonances), and dissonant sonorities (contain a dissonance above the lowest note)—see Example 3.

Example 3. Kühn's classification of sonorities (adapted from Hartt)



Hartt, however, finds Kühn's taxonomy to be flawed in two important ways. First, he takes issue with Kühn's dismissal of

---

[13] Bain, "Theorizing the Cadence," 335. This example is adapted from Bain's Example 9 in her article.

[14] Jared Hartt, "Sonority, Syntax, and Line in the Three-Voice Motets of Guillaume de Machaut," (PhD diss., Washington University in St. Louis, 2007), 21.

[15] Kühn figures dissonant intervals only from the tenor voice, and not between upper voices. For example, the interval of a second between two upper voices does not constitute a dissonant sonority.

Table 1. Hartt's classification of cadential sonorities (adapted)[16]

Perfect Perfect intervals	**P_2** Two different perfect intervals; the second cannot be an octave equivalent of the first; consists of three different pitches e.g., 8/5 12/8
	Pp Two perfect intervals; the second is an octave away from the first; consists of three different pitches e.g., 12/5
	P Two identical perfect intervals; or a perfect interval and a unison; consists of two different pitches e.g., 5/5 8/u
	(P) One perfect interval; consists of two different pitches e.g., 5
Mixed One of each	**P_1** One perfect and one imperfect interval; the perfect interval is between the outer voices; consists of three different pitches e.g., 8/3
	Ip One perfect and one imperfect interval; the imperfect interval is between the outer voices; consists of three different pitches e.g., 10/5
Imperfect Imperfect intervals	**(I)** One imperfect interval; consists of two different pitches e.g., 6
	I Two identical imperfect intervals; or an imperfect interval and a unison; consists of two different pitches e.g., 10/10 6/u
	Ii Two imperfect intervals; the second is an octave away from the first; consists of three different pitches e.g., 10/3
	I_2 Two different imperfect intervals; the second cannot be an octave equivalent of the first; consists of three different pitches e.g., 6/3 10/6

---

[16] Hartt, "Sonority, Syntax, and Line," 30.

intervals between upper voices. Second, he finds Kühn's second imperfect sonority to be problematic. A 6/5 sonority consists of one perfect and one imperfect interval, yet Kühn places this sonority in the imperfect category instead of semi-perfect. Dissatisfied with Kühn's conceptualization, Hartt turns to Fuller's analytical framework. He accepts her three categories of sonority, but adjusts the nomenclature slightly to perfect, mixed, and imperfect, and then organizes the categories into multiple subcategories. In doing so he establishes a more nuanced continuum of instability-stability within directed progressions (See Table 1).[17]

Directed progression types in the *Ars subtilior* are numerous to the extent that overly specific classification would render almost as many progression types as there are progressions. In an examination of "De quan qu'on peut," I have found that a system of four categories provides enough distinction between permutations, while not being too specific so as to create an overly complicated plurality of classifications. The categories are arranged on a spectrum of instability to stability with regards to the sonority of resolution (see Table 2).

Table 2. Reformulated categories of directed progressions

I	Unrealized directed progressions	Unstable
II	Imperfect directed progressions	Less Unstable
III	Incomplete/Inverted directed progressions	Less Stable
IV	Normative directed progressions	Stable

Category I consists of an imperfect sonority that could move to a point of repose but does not (e.g., one containing a sixth that could move to an octave, or a third that could move to a unison).[18] Because of frequent metrical misalignments between the different voices, sonorities in this category are the most vague and difficult to identify, and therefore the most subjective. Category II involves a resolution to an imperfect sonority. This most typically involves a third or fourth accompanying the octave at the point of repose. Category III consists of motion from an imperfect to a perfect sonority, but the resolution is either inverted—with the 7-8 *cantizans* pattern below the 2-1 *tenorizans* pattern—or consists of an empty octave with the third voice missing. Categories I through III constitute various types of what later theorists have called evaded cadences. Category IV is the most stable, and consists of what I call normative directed progressions. This type of progression involves motion over the tenor from 6/3 to 8/5, where the third and sixth are almost without exception major intervals, either written as such by the composer/scribe or inflected by the performer/interpreter. Thus the final sonority in Category I is the most unstable, and the final sonority in Category IV is the most stable.

---

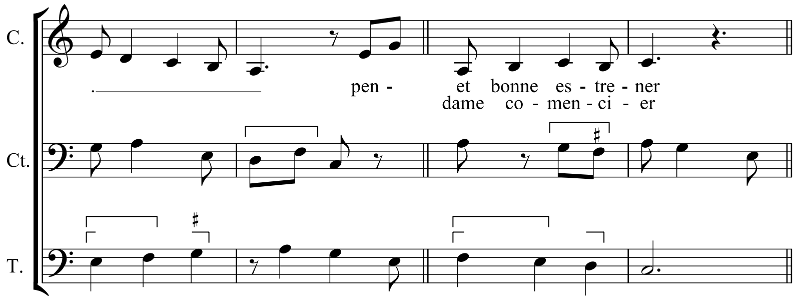
[17] Hartt, "Sonority, Syntax, and Line," 30.

[18] This category also includes motion from a third to a fifth. Although Fuller and Bain accept this type of motion as a directed progression, I believe that it carries less weight than motion from a sixth to an octave.

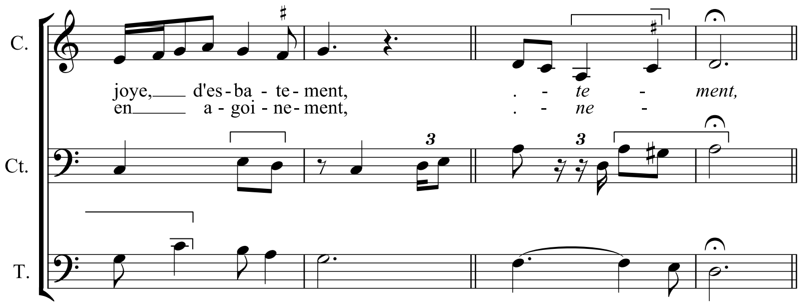
For an illustration from of each category within "De quan qu'on peut" see Example 4. In Example 4a, the G-sharp/B dyad could move to A/A, but the resolution of the G-sharp is delayed rhythmically, thus creating a Category I unrealized directed progression. Example 4b demonstrates Category II, in which the point of repose is weakened by an imperfect interval. Here, the F-sharp leaps up to A rather than moving stepwise to G. Example 4c contains what I call the incomplete Burgundian pattern, which ends with only an octave rather than a three-pitch sonority. In the Burgundian pattern, the contratenor has the lowest note of the preparatory sonority (usually a fifth below the *tenorizans* pattern) and then leaps up an octave to a fifth above the tenor at the point of resolution, thus giving the progression the sound of a leap of a fifth in the lowest voice. In this example, the contratenor is prepared to perform this task, but, rather than leaping up an octave, omits the second note forming a Category III progression. Example 4d presents the normative directed progression of Category IV: the major third and major sixth move outward to form a perfect fifth and octave.

Example 4. Examples of directed progression categories

a. Category I: mm. 31-32 b. Category II: mm. 8-9



c. Category III: m. 12-13 d. Category IV: mm. 16-17



Contrapuntal Analysis: Tonal Selectivity of the Directed Progression

When my four categories of progression are considered, an analysis of "De quan qu'on peut" reveals that the four types of formulae judiciously create a hierarchy of cadential structures. With the increasing rigidity and stability from Category I to Category IV, the composer resolves to sonorities built on a smaller set of pitches. In other words, the more directed the progression—to use Fuller's and Hartt's notion of a continuum—the more restrictive the final sonority. Whereas Category I progressions end on C, D, E, F, G, and A, Category IV progressions use only C, D, and E for final sonorities.[19] Table 3 presents an analysis of cadential formulae within the piece, indicating which category is used as well as the arrival note in the *tenorizans* pattern. Due to their highly unclear and ultimately subjective nature, I have not included Category I progressions in this table. Table 4 builds on Table 3 and clarifies the tonal hierarchy of the *chanson* by showing the notes used for the final sonority of each progression within each category. Upon reviewing these categories, a further organization emerges. Whereas the orders and pitches used in Categories II and III are less regular, Category IV progressions show a remarkable consistency. Not considering the repeated A section, there are only six Category IV progressions, and they follow a clear trajectory: D-C-D-E-D-C. As expected, these progressions confirm important points in the poetic and musical construction, appearing only at the endings of lines of text, shown in Table 5. Please refer to Appendix A for a complete edition of the piece.

Melodic Analysis: Modal Species

Writers have almost exclusively relied on an analysis of directed progressions when examining tonal structure within this repertory, but inspection of melodic line also provides valuable insight. Only a couple of authors—most notably Hartt—touch upon cantus material within the context of their work on directed progressions[20], but few go into much detail in order to look at the relationship between melodic line and directed progression. I have found that the most useful tool when examining melodic line is the modal species of the octave, fifth, and fourth. Examining the ambitus of musical segments and phrases, as well as the melodic goal of each segment brings to light some curious points regarding the coincidence—or lack thereof—of species and listener expectation. Although the goal note of each segment is often logical compared

---

[19] For the purposes of this analysis, I am labeling the sonorities based on *tenorizans* pattern final notes, which may or may not occur in the lowest sounding voice.

[20] See Hartt, "Sonority, Syntax and Line," and Fuller, "Line, 'Contrapunctus' and Structure in a Machaut Song."

Table 3. Analysis of directed progressions

m.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32
II					G				C											A											E	
III			D										G												G			G				
IV																	D					C										

m.	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63
II	F						G						G																A		
III																							G								
IV		D														E											D				C

Table 4. Pitch content of directed progressions

I	C, D, E, F, G, A
II	C, E, F, G, A
III	D, G
IV	C, D, E

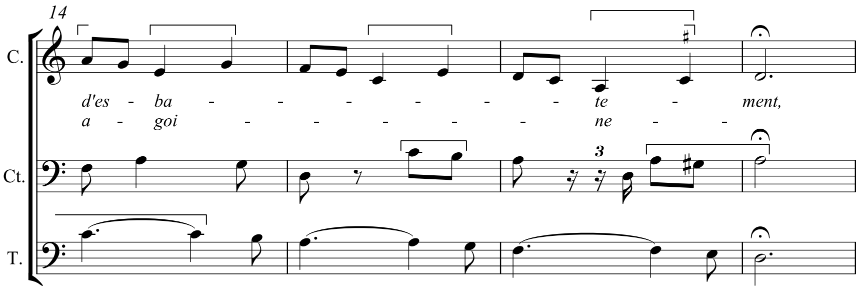
Table 5. Textual placement of Category IV progressions

A (mm. 1-9)	*De quan qu'on peut belle et bonne estrener*	
(mm. 10-17)	*de bien, d'onnour, de joye, d'esbatement,*	D (first ending)
A (mm. 1-9)	*veult aut jorn d'uy, ma dame, comencier*	
(mm. 10-22)	*celuy qui tient tout en agoinement;*	D/C (first/second ending)
B (mm. 23-34)	*et si li veult donner cel pensament*	D
(mm. 35-48)	*qu'en brief termine elle alege ma vie*	E
A' (mm. 49-63)	*comme celle que tient mes maulx en cuie.*	D/C (first/second ending)

with the species of that segment, the composer makes some unforeseen melodic turns at times.

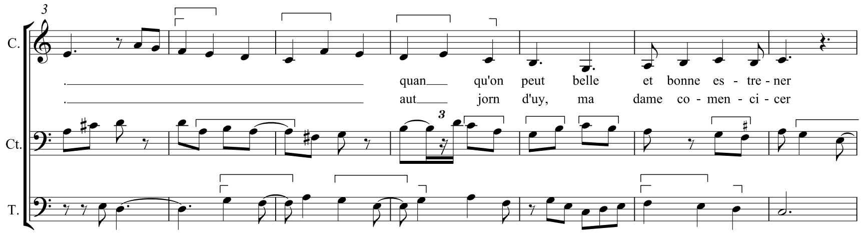
Example 5 presents a case in which the melodic goal (i.e., d^1) of the phrase is congruous with its ambitus (i.e., the octave species a-a^1). This segment emphasizes the tonal center of the *protus* final. The octave species coincides with the plagal register of that final, with the *diatessaron* placed below the final rather than above the *diapente*. Thus the phrase could be characterized as *hypodorian*. This progression is normative in all contrapuntal aspects, reflecting its Category IV status: the *cantizans* occurs in the cantus, the *tenorizans* occurs in the tenor, and the countertenor has a dissonant fourth resolving to a major third, which then expands to a perfect fifth.

Example 5. Anonymous, "De quan qu'on peut," mm. 14-17, Coinciding species and final at the phrase level


14
C.
d'es - ba - - - - - - - - te - ment,
a - goi - - - - - - ne - -
Ct.
3
T.

In contrast, the final note (c^1) of Example 6 contradicts the species, which is an octave plus a lower whole tone (g-a^1). The fluidity and length of this line create several opportunities for melodic closure. The phrase could have ended at the downbeat of m. 6 on d^1, thus serving as the bottom note and goal of a fifth species d^1-a^1. Instead, the tenor creates a dissonance, and the cantus must continue. Likewise, the line could have ended in the second *semibrevis* of m. 7 on a, thus serving as the bottom note of the a-a^1 octave species; however, the composer leaps from b to g, and then continues the phrase. The melodic segment reaches its eventual end in m. 9 on c^1. This goal note is unexpected when considering the ambitus of the phrase in the cantus to be g-a^1. On one hand, the listener might have expected the phrase to end on a, with the ambitus representing the authentic octave species plus the *subfinalis*. On the other hand, the listener might have expected a final note of d^1, with the ambitus representing both the fifth species above and below the final note. The note c^1 is completely unexpected from a melodic standpoint. Furthermore, the leap from F-sharp to A at the point of repose results not in a perfect fifth, but in a major sixth, classifying the progression as Category II.

Example 6. Anonymous, "De quan qu'on peut," mm. 3-9, Contradicting modal species and final


3
C.
quan qu'on peut belle et bonne es - tre - ner
aut jorn d'uy, ma dame co - men - ci - cer
3
Ct.
T.

Example 7a presents an analysis of phrasing for the cantus of "De quan qu'on peut" in its entirety. I have divided the melodic line into segments—indicated by dashed phrase markings. These coincide for the most part with the presence of rests. Example 7b shows an analysis of melodic species for each segment. Solid note heads outline the ambitus for each segment, and hollow note heads indicate the final note of each segment. I have further noted, according to my estimation, whether or not the ambitus and final of each segment are in contradiction or confirmation of one another: one asterisk indicates disagreement, and two asterisks indicate agreement. In a couple of cases (e.g., mm. 18-22, 44-45), the ambitus exceeds the typical species of octave, fifth, or fourth. This is usually a case of the melodic line moving either one tone lower or (occasionally) higher than the species.

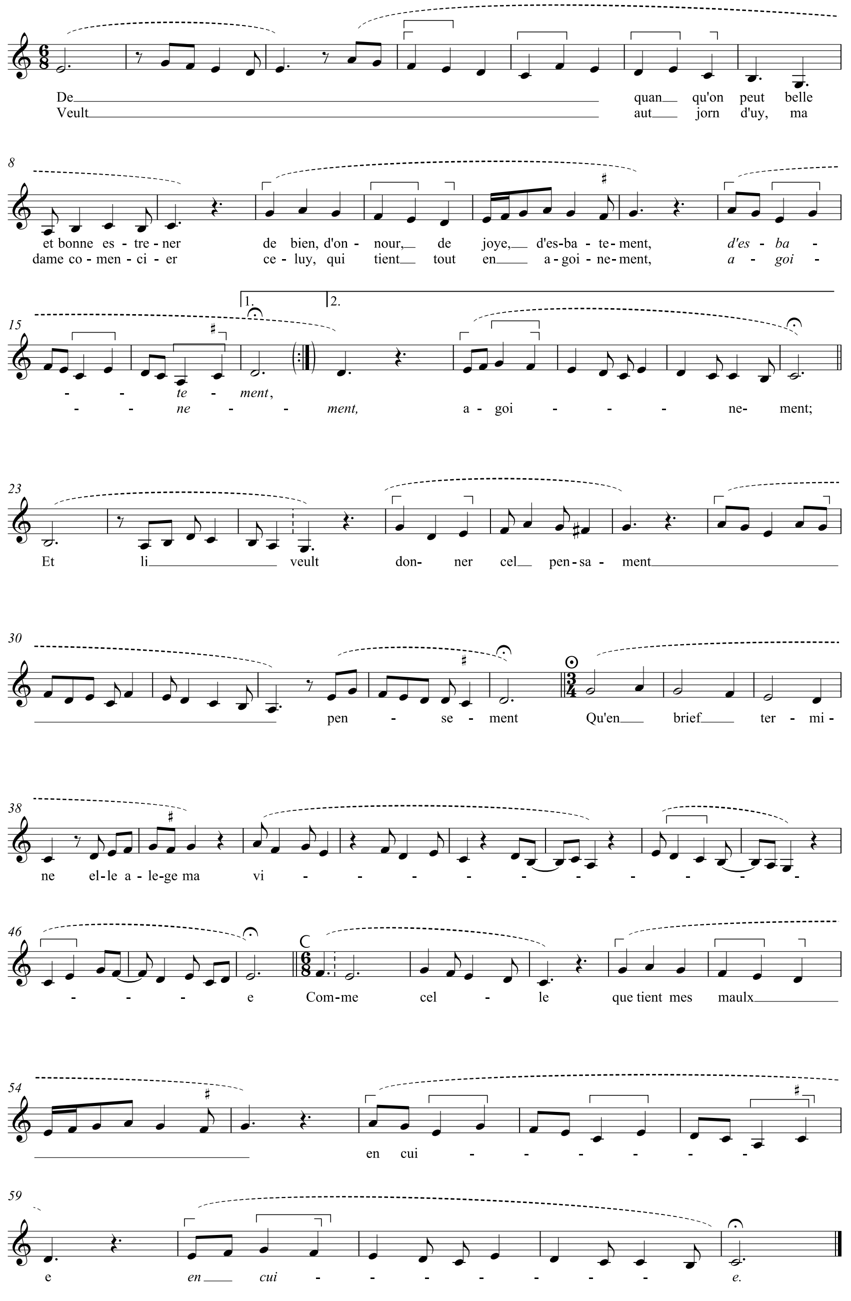
Contrapuntal and Melodic Analyses Combined

There are only three segments in which the final conflicts with the ambitus. The first (mm. 1-3) is of little consequence, and I have already addressed the second (mm. 3-9). The real interest lies in the third instance (mm. 46-48), and—after qualifying my comment about the insignificance of the first occurrence—I will offer an explanation for this passage. The line in mm. 1-3 can be understood as an announcement gesture opening the *chanson*. It is essentially a decoration of the pitch e^1 by a double neighbor figure, the first of which is further ornamented by an appoggiatura. Each e^1 is supported by the same pitch (a) in at least one of the lower voices, further suggesting an interpretation of the opening measures as an ornament. The early music ensemble *Tetraktys* seems to agree with this assessment, as they begin their performance with three instruments, and the voice enters only on the anacrusis to the fourth measure.[21] Example 8 presents a reduction of the cantus in these measures, with the supporting voices shown underneath.

---

[21] Tetraktys, *Chantilly Codex 1*, Et Cetera Records, 2009, KTC 1900, CD.

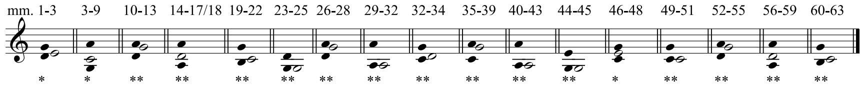
Example 7a. Anonymous, "De quan qu'on peut," mm. 1-63, Segmentation of the cantus according to phrasing


De quan qu'on peut belle
Veult aut jorn d'uy, ma
8
et bonne es - tre - ner de bien, d'on - nour, de joye, d'es-ba - te - ment, d'es - ba -
dame co - men - ci - er ce - luy, qui tient tout en a - goi - ne - ment, a - goi -
1.
2.
15
- - te - ment,
- - ne - - ment, a - goi - - - ne- ment;
23
Et li veult don- ner cel pen-sa - ment
30
pen - se - ment Qu'en brief ter - mi -
38
ne el-le a - le-ge ma vi - - - - - - - - - - - - -
46
- - - - e Com-me cel - le que tient mes maulx
54
en cui - - - - - - -
59
e en cui - - - - - - - - - e.

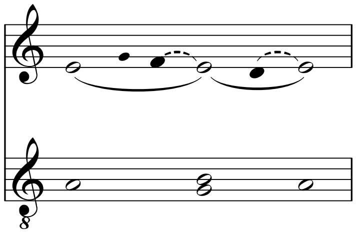
Example 7b. Extracted analysis of ambitus/species and final in the cantus

* Final conflicts with species

** Final fits with species

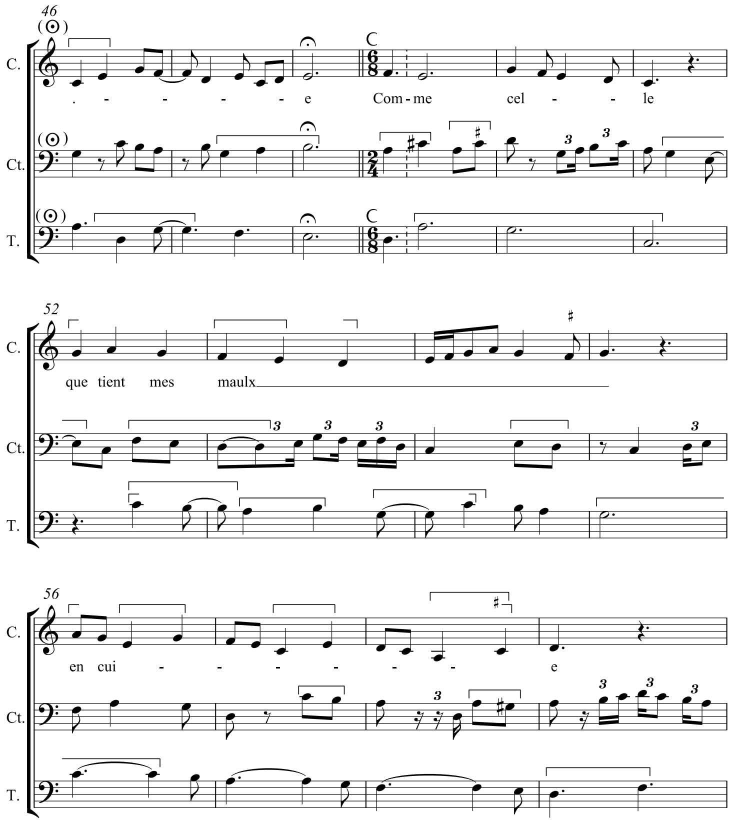

mm. 1-3
3-9
10-13
14-17/18
19-22
23-25
26-28
29-32
32-34
35-39
40-43
44-45
46-48
49-51
52-55
56-59
60-63
* * ** ** ** ** ** ** ** ** ** ** * ** ** ** **

Example 8. Anonymous, "De quan qu'on peut," mm. 1-3, Cantus reduction



Explanation of mm. 46-48 is more complicated, and involves a discussion of both directed progression and the tonal structure of the "De quan qu'on peut" as a whole. The species for these measures is a fifth c^1 – g^1, and the melodic goal is e^1. This motion passage is supported by a Category IV directed progression, the only such progression to occur on E. Rather than the final note being the upper or lower boundary of the fifth species, it is in the center, an abnormality which happens only once in the *chanson*. Furthermore, this anomalous tonal center arrives at the climax as dictated by formal construction, mensuration, tonal structure, and text.

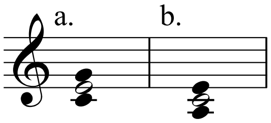
Example 9. Anonymous, "De quan qu'on peut," mm. 46-59, The category IV Directed Progression on E in Context



In terms of *ballade* form, the progression on E occurs just before the return on the A-section musical material (see Example 9). Because there is only one surviving stanza of text, we cannot be sure whether or not this return would have formed a refrain. The section from m. 49 to the end certainly seems refrain-like, especially considering the repetition of A-section material beginning at m. 56. The progression in m. 48 also ends the section in section in *tempus perfectum prolatio imperfectum*, with the mensuration sign ⊙, and precedes the return to the opening mensuration. This is also the highest point in terms of directed progression pitch in the *chanson*, which has the trajectory D-C-D-E-D-C as previously stated. This "highness" is a reflection of the text, which states, "so that very soon she might lighten my life"—the highpoint E signals the lightening of the poetic speaker's life.[22] All of this points to the culmination in m. 48 as the climax of the *chanson* textually, structurally, and formally.

Why then is there a conflict between the melodic final and modal species at the climax of the *chanson*? The answer lies in the symmetrical nature of mm. 46-48. The pitch e^1 is at the center of the species c^1-g^1. This is a microcosm for the tonal organization of the "De quan qu'on peut." The song begins on an A sonority and ends on a C sonority, a configuration which is quite rare in the fourteenth-century French polyphonic song. Bain points out that such a structure only occurs in two of Machaut's *chansons*.[23] Observation of beginning and ending sonority is not enough. The beginning of the B section is on an E sonority. Thus the beginning sonorities of the A section (i.e., A) and B section (i.e., E) form a fifth species in which the ending sonority (i.e., C) is medially located (see Example 10a.), and the structure of the climactic measures of the *chanson* reflect the structure of the whole (see Example 10b).

Example 10. Anonymous, "De quan qu'on peut," Mirrored structure of mm. 46-48 and the *chanson* as a whole



Conclusion: The Importance of the Vertical and Horizontal

This paper has demonstrated that, in order to fully understand the tonal organization of "De quan qu'on peut," one must examine both the vertical aspects in the form of the directed progression and the horizontal aspects in the form of modal species.

---

[22] The original is "*qu'en brief termine elle alege ma vie.*" See Appendix B for the text and translation.

[23] Bain, " 'Messy Structure'? Multiple Tonal Centers in the Music of Machaut," 199.

If one were to consider only the final sonority of *a priori* importance, one would see the ending sonority of C, but miss the rare structure of a piece that begins on A and descends a sixth to end on C. If one were only to examine the beginning sonorities of both musical sections as well as the ending sonority, one would find a piece beginning on A, traveling to E to begin the B section, and then ending on C. Taking a broad understanding of the directed progression would yield progressions on any number of pitches; however, using my four hierarchical categories, one sees that only three pitches are privileged as Category IV normative directed progressions. Furthermore, those pitches occur at significant points in the musical and poetic form of the *chanson*, and they occur in a specific stepwise order.

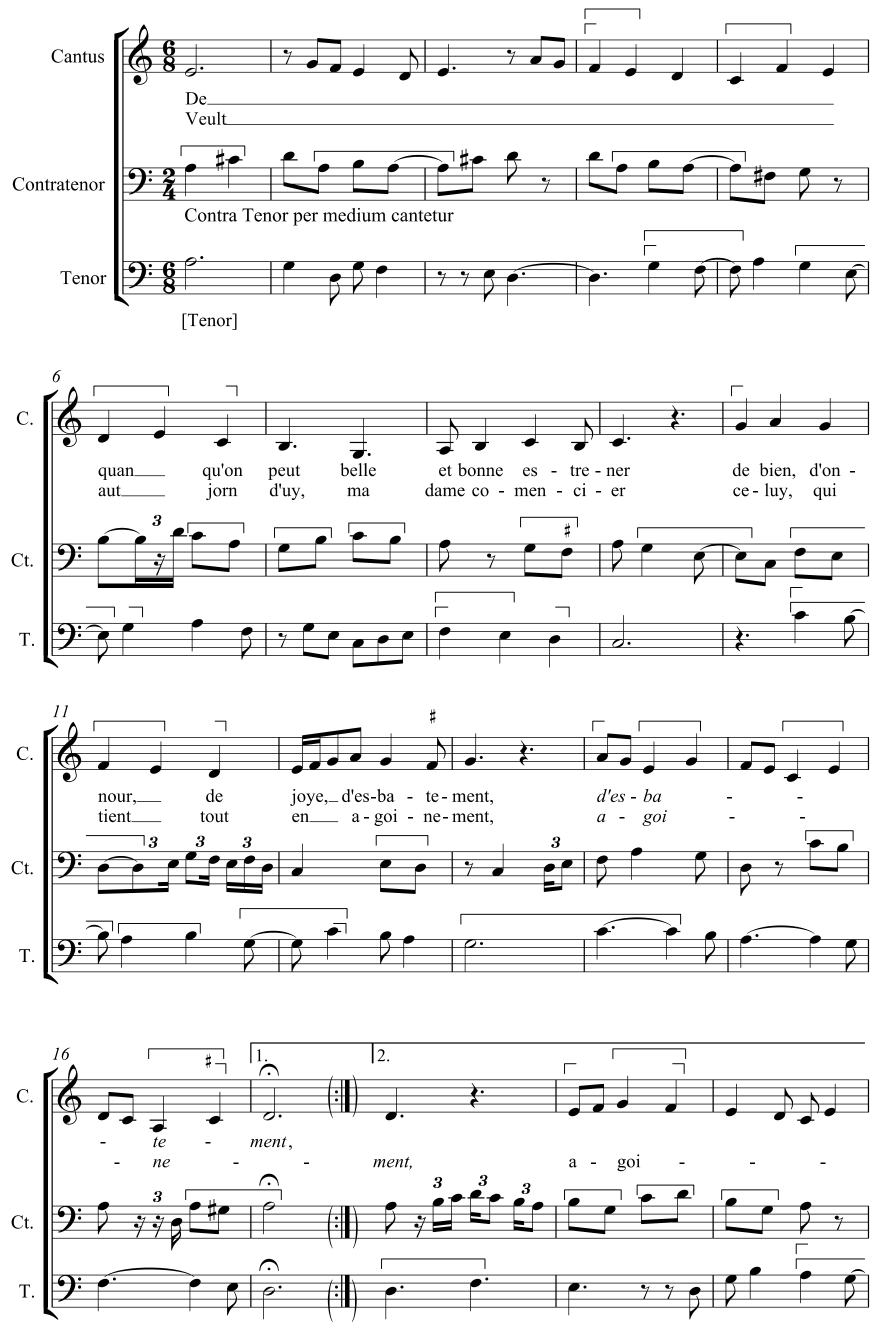
Understanding beginning, middle and ending cadential formulae, as well as the hierarchy of directed progressions is not enough to fully understand “De quan qu’on peut.” Through a phrase-by-phrase analysis of modal species one appreciates the singularity of the Category IV progression on E as the sole directed progression in which the contrapuntal final as well as the final note of the melodic line contradict the fifth species of the cantus. Only by examining both the tonal structure of the entire song with regard to directed progression and modal species does one realize that the structure of the climax in mm. 47-48 mirrors the tonal structure of “De quan qu’on peut” as a whole.

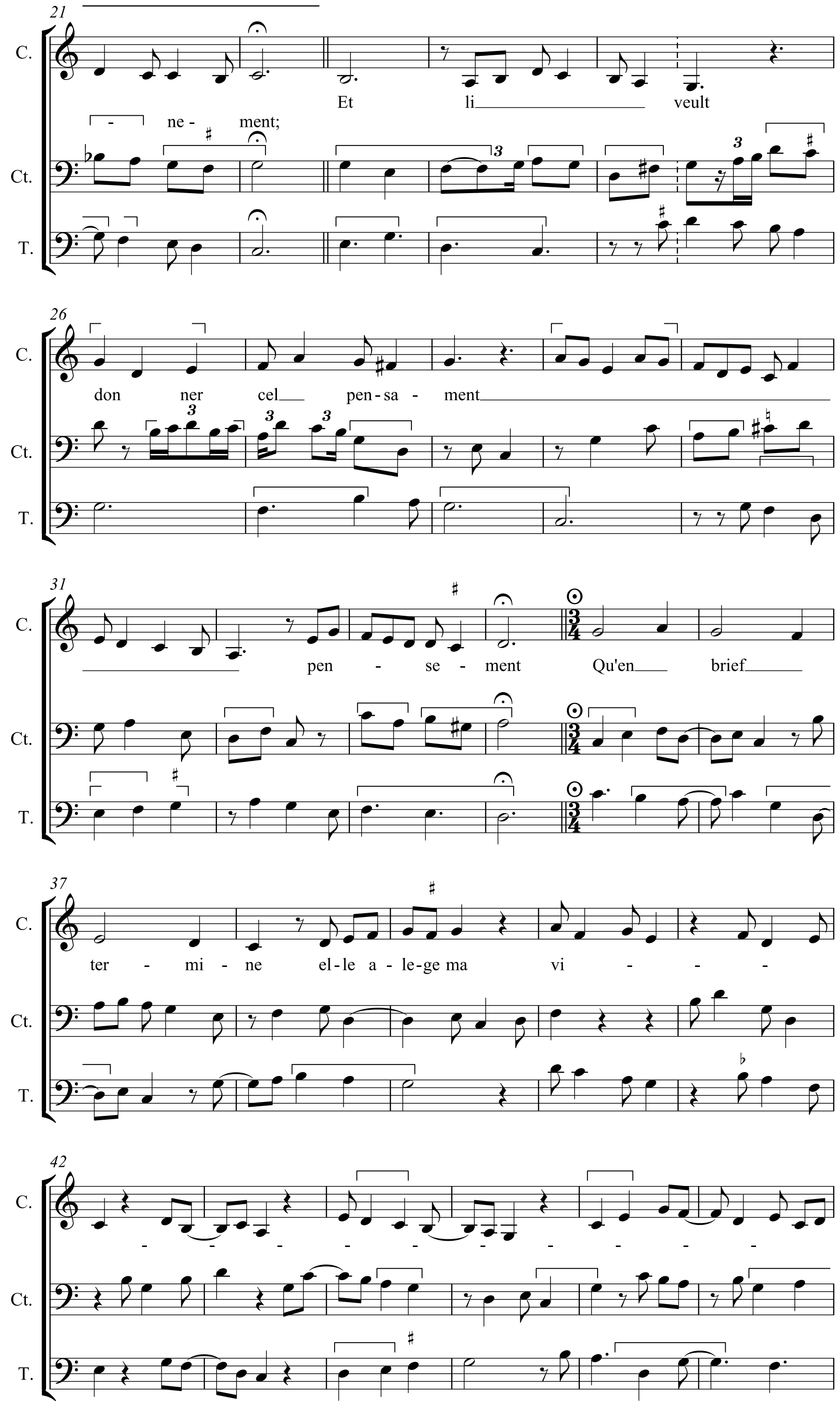
Appendix A: Edition

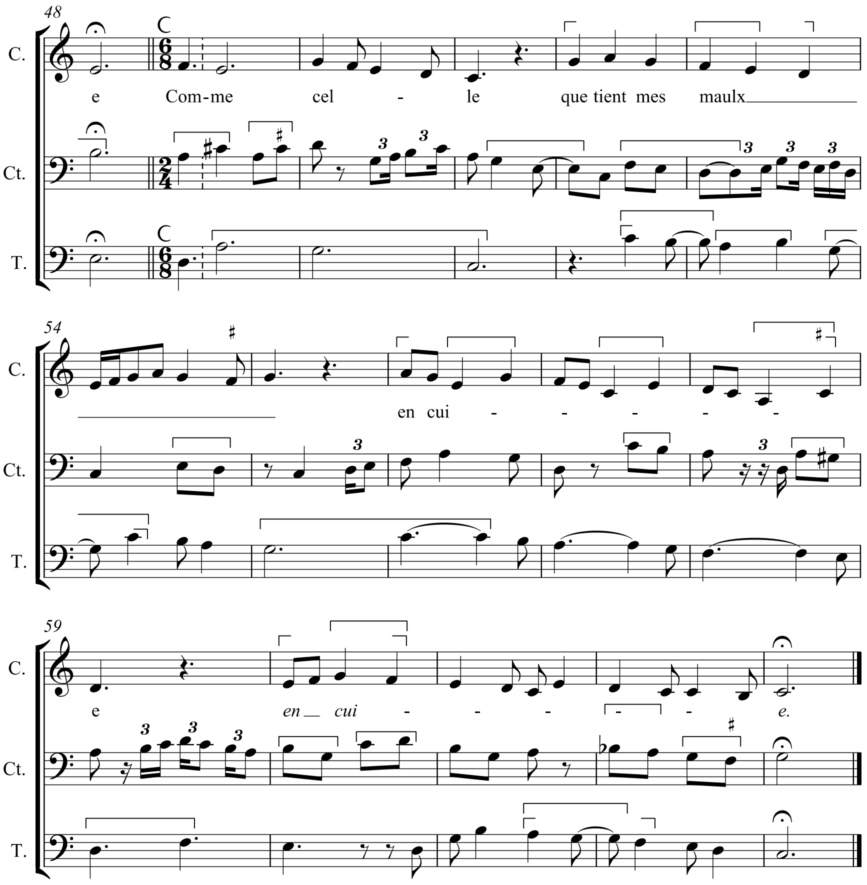
De quan qu'on peut (Anon. Ballade)

MS Chantilly, Musée Condé 564, f. 28 (ca. 1400).

Eds. Dobbs, Ensign, Recek (Dec. 2011)


Cantus
Contratenor
Tenor
De
Veult
Contra Tenor per medium cantetur
[Tenor]
6
C.
Ct.
T.
quan qu'on peut belle et bonne es - tre - ner de bien, d'on -
aut jorn d'uy, ma dame co - men - ci - er ce - luy, qui
11
nour, de joye, d'es-ba - te - ment, d'es - ba - -
tient tout en a - goi - ne - ment, a - goi - -
16
1.
2.
- te - ment,
- ne - - ment, a - goi - - - -


21
C.
Ct.
T.
- ne - ment;
Et li veult
26
don ner cel pen-sa - ment
31
pen - se - ment
Qu'en brief
37
ter - mi - ne el-le a-le-ge ma vi - - - -
42
- - - - - - - - - - - -



Appendix B: Text and Translation[24]

De quan qu'on peut belle et bonne estrener
de bien, d'onnour, de joye, d'esbatement,
veult aut jorn d'uy, ma dame, comencier
celuy qui tient tout en agoinement;
et si li veult donner cel pensament
qu'en brief termine elle alege ma vie
comme celle que tient mes maulx en cuie.

Of all one may give to a beautiful and kind lady
in goods, in honor, in joy, in pleasure
he would like to begin to do so today, my Lady,
he who remains in utter anguish;
and truly he wishes to give her this thought
so that very soon she might lighten my life
since it is she who holds the key to my pain.

---

[24] Tetraktys, *Chantilly Codex 1*.

Works Cited:

Bain, Jennifer. "Fourteenth-Century French Secular Polyphony and the Problem of Tonal Structure." PhD diss., State University of New York at Stony Brook, 2001.

–––. " 'Messy Sctructure'? Multiple Tonal Centers in the Music of Machaut." *Music Theory Spectrum* 30, no. 2 (2008): 195-237.

–––. "Theorizing the Cadence in the Music of Machaut." *Journal of Music Theory* 47, no. 2 (2003): 325-362.

Fuller, Sarah. "Concerning Gendered Discourse in Medieval Music Theory: Was the Semitone 'Gendered Feminine'?" *Music Theory Spectrum* 33, no. 1 (2011): 65-89.

–––. "Discant and the Theory of Fifthing." *Acta Musicologica* 50, nos. 1 and 2 (1978): 241-275.

–––. "Exploring Tonal Structure in French Polyphonic Song of the Fourteenth Century." In *Tonal Structures in Early Music*, edited by Cristle Collins Judd, 61-86. New York and London: Garland Publishing, 1998.

–––. "Line, 'Contrapunctus' and Structure in a Machaut Song." *Music Analysis* 6, nos. 1 and 2 (1987): 37-58.

–––. "Modal Discourse and Fourteenth-Century French Song: A 'Medieval' Perspective Recovered?" *Early Music History* 17 (1998): 61-108.

–––. "On Sonority in Fourteenth-Century Polyphony: Some Preliminary Reflections." *Journal of Music Theory* 30, no. 1 (1986): 35-70.

–––. "Tendencies and Resolutions: The Directed Progression in "Ars Nova" Music." *Journal of Music Theory* 32, no. 2 (1990): 229-258.

–––. "Theoretical Foundations of Early Organum Theory." *Acta Musicologica* 53 (1981): 52-84.

Hartt, Jared. "Sonority, Syntax, and Line in the Three-Voice Motets of Guillaume de Machaut." PhD diss., Washington University in St. Louis, 2007.

Leach, Elizabeth. "Counterpoint and Analysis in Fourteenth-Century Song." *Journal of Music Theory* 44, no. 1 (2000): 45-79.

–––. “Gendering the Semitone, Sexing the Leading Tone: Fourteenth-Century Music Theory and the Directed Progression.” *Music Theory Spectrum* 28, no. 1 (2006): 1-21.

–––. “Interpretation and Counterpoint: The Case of Guillaume de Machaut’s ‘De toutes flours’.” *Music Analysis* 19, no. 3 (Oct. 2000): 321-351.

–––. “Reading and Theorizing Medieval Music Theory: Interpretation and Its Contexts.” *Music Theory Spectrum*, 33, no. 1 (2011): 90-98.

Tetraktys. *Chantilly Codex 1*. Et Cetera Records, 2009. KTC 1900, CD.

Schoenberg's Use of Soprano Voice in the Second String Quartet

EMILY HAGEN

The final two movements of Schoenberg's Second String Quartet are remarkable in many ways, not the least of which is the composer's decision to include voice, which Severine Neff calls "the most striking of all Schoenberg's juxtapositions."[1] The quartet's composition in 1908, a year of upheaval in Schoenberg's life, has opened up this work to speculation regarding its connections with his personal life.[2] The fact that it was the last tonal composition before such significant atonal works as the first few songs of *Das Buch der hängenden Gärten*, Op. 15 also makes the Second Quartet significant. Lingering triadic elements in the quartet's third and fourth movements make this work particularly interesting for those who wish to trace the development of Schoenberg's atonal style. These complex matters have already been considered in some depth by several authors, including Bryan Simms and Ethan Haimo. If one wishes, however, to access the quartet's intrinsic elements more directly, a fruitful and relatively unexplored avenue of analysis lies in Schoenberg's most unusual element of all: the integration of soprano voice and poetry into a chamber work. This analysis results in the identification of several key elements of Schoenberg's vocal setting in the quartet, including subversive interaction between the poetic and formal structures, integration of the voice as a fifth instrument rather than in Lied format, and alternating patterns of vocal setting that are appropriate to the text's meaning. When considered together, Schoenberg's inclusion of voice in the Second String Quartet and unusual text setting techniques support the theory that the poems served as a compositional aid for these two movements.

Although voice had already been used in symphonic music, notably by Beethoven and Mahler, Haimo states that Schoenberg's decision to use voice in a chamber work "contradicted some of the core assumptions of the genre," particularly the "association of chamber music with absolute music."[3] Schoenberg had already composed a chamber work that departed from this paradigm: his *Verklärte Nacht*, composed around 1899, was based on a poem by Richard Dehmel. The text of *Verklärte Nacht*, however, served as an ostensive guide to composition and the work was entirely instrumental. Including the poetic text set for voice in his Second String Quartet was a more definitive break with the chamber music tradition. Schoenberg's setting also departed from the vocal tradition of the Lied, in which typical settings pair solo voice with piano or orchestral accompaniment.[4] In the case of the quartet, Schoenberg set the text in an independent fashion that is neither overtly characterized by text painting nor accompanied by the instruments in the traditional song texture of voice with accompaniment, either of which might have indicated the influence of the Lied or art song traditions.

---

[1] Severine Neff, "Part II: Background and Analysis," in *The Second String Quartet in F-sharp minor, Opus 10*, by Arnold Schoenberg, ed. Severine Neff (New York: Norton, 2006), 154.

[2] Karin von Maur, "Arnold Schönberg, or the Convergence of Music and Painting," in *The Visions of Arnold Schönberg: The Painting Years*, ed. Hatje Cantz (Frankfurt: Schirn Kunsthalle, 2002), 25, quoted in Ethan Haimo, *Schoenberg's Transformation of Musical Language* (Cambridge: Cambridge University Press, 2006), 275.

[3] Ethan Haimo, *Schoenberg's Transformation of Musical Language* (Cambridge: Cambridge University Press, 2006), 275. Reinhold Brinkmann also discusses this concept in "Schoenberg's Quartets and the Viennese Tradition," in *Music of My Future: The Schoenberg Quartets and Trio*, eds.

As previously implied, some scholars account for the inclusion of voice and these highly emotional poems by highlighting the work's biographical context. Schoenberg began composing these two movements during the 1908 summer holiday that he passed with his family at Gmunden, during which his marital situation reached the breaking point. This critical period ended in the Schoenbergs' short separation. In a description of this time period and the composition of the quartet, Simms attributes Schoenberg's sudden choice to include poetry, and particularly these poems by George, to Schoenberg's emotional reaction to the marital problems.[5] Karin von Maur also describes the influence that "the marital crisis" may have had on the quartet.[6] Both of these authors also simultaneously consider the role these events may have played in Schoenberg's break with tonality, which was evident in the Second String Quartet and contemporaneous works.

Haimo convincingly argues against the theory that the Schoenbergs' stressful marital situation heavily influenced the Second String Quartet, and in particular, he argues that it did not influence Schoenberg's intention to include voice in the work or his choice of poems. According to Haimo, the fact that Schoenberg wrote to Karl Horowitz in Vienna immediately upon arrival in Gmuden to request copies of these two poems clearly indicates that he had made these decisions before even leaving for the vacation. This is significant because a genuine crisis was not reached in Schoenberg's

---

Reinhold Brinkmann and Christoph Wolff (Cambridge, MA: Harvard University Music Department, 2000), 6.

[4] Haimo, 275.

[5] Bryan Simms, *The Atonal Music of Arnold Schoenberg* (New York: Oxford University Press, 2000), 39-41. On p. 41, Simms describes Schoenberg's choice to abandon the previous sketch for the third movement and instead set George's poems: "A connection between this transformation and the dissolution of his marriage is self-evident."

[6] Maur, "Arnold Schönberg," 25, qtd. in Haimo, 275.

marriage until Gerstl's arrival at Gmunden. The poems must have arrived by July 5, 1908, because this is the date of Schoenberg's letter to Horowitz acknowledging their arrival, and the quartet's third and fourth movements were written quickly thereafter, with the draft of "Litanei" completed in only six days. Haimo also shows through Mathilde's correspondence from this period that relations may have been somewhat strained before Schoenberg's arrival in Gmuden, but that Schoenberg would not have anticipated Gerstl's arrival or the emotion-laden events that would occur the following month.[7] Judith Ryan also argues that these events had little influence on Schoenberg's musical decisions about the quartet.[8] It is, therefore, unlikely that the emotional upheaval of the summer of 1908 influenced his decision to include soprano voice in the quartet. Haimo instead attributes Schoenberg's use of voice in a string quartet to the composer's desire to resume his position as a "leader of the avant-garde" after a brief "crisis of confidence" during that year.[9]

As analysis of the movements will show that there are strong indications that Schoenberg chose to use text purely as a compositional aid. For Bleek, Schoenberg's increased interest in setting texts during this period coincides with his gradual transition from functional tonality to atonality, which suggests that Schoenberg was capitalizing on the text's potential as a compositional guide. This viewpoint is based on a statement Schoenberg made to this effect. Bleek goes on to note that the text provided a way of approaching the work both for the composer and for the listener.[10] The idea that after a short hiatus from composing the Quartet, Schoenberg sought inspiration in transcendent textual images and a musical structure in poetic verse is certainly credible. Schoenberg used the poem freely to shape the composition's narrative flow and affect, but the musical form of the movement does not strictly follow the poetic form. Analysis indicates that Schoenberg's unusual text setting techniques aid in creating the movements' formal structures, particularly in "Entrückung." This provides the most convincing explanation for Schoenberg's decision to include voice.

Schoenberg's choice of soprano voice over other voice types has also given rise to discussion. David Lewin includes the Second Quartet in his discussion of the female voice and its association with human transcendence. In "Women's Voices and the Fundamental Bass," Lewin draws on work by Susan McClary to refine her definition of a particular category of female protagonist. McClary identifies female characters in opera such as Isolde and Salome who are afflicted with a sort of "madness," a state that allows the speaker (and therefore the composer) to transcend "both musical and social conventions."[11] Lewin amends "madness" to "transcendence" and chooses the Second String Quartet, and particularly "Litanei," to illustrate his interpretation of the transcendent female voice: "At its entrance it appears magically from within its accompaniment […] The acoustic effect is one of the most astonishing in music: the voice seems to rise Delphically from out of the quartet…" Lewin contrasts this use of voice with Beethoven's in the Ninth Symphony, in which the male voice "interrupts" the orchestra and "disputes" with it, rather than "arising from it" as the soprano does in the Second String Quartet. Lewin then considers several works that potentially embody a "crucial spiritual event" that occurred during what McClary calls Schoenberg's "break with tonality." While Lewin in not convinced that any such "break" occurred or can be specifically identified, he notes that "Litanei" is "one of the last pieces with a key signature" and "Entrückung" is "one of the first pieces without key signature." These two movements are unified by the inclusion of voice. In this reading, therefore, it is significant that the inclusion of a "transcendent" female voice occurs in these two key movements in Schoenberg's transition to a new musical framework, which would, like McClary's operatic characters, transcend established conventions.[12]

---

[7] Haimo, 268-70.

[8] Judith Ryan, "Ich fühle luft von anderem planeten": Schoenberg Reads George," in *Music of My Future: The Schoenberg Quartets and Trio*, eds. Reinhold Brinkmann and Christoph Wolff (Cambridge, MA: Harvard University Music Department, 2000), 91.

[9] Haimo, 275.

[10] Tobias Bleek, "Entrückung: Text und musikalische Struktur im Schlußsatz von Arnold Schönbergs II. Streichquartett," *Archiv für Musikwissenschaft* 57 (2000): 362-63.

How, then, does the poetic structure interact with the musical structure of these two movements? In approaching George's "Litanei" for the Quartet's third movement, Schoenberg provided an explanation of the connection between musical form and the chosen text: "I was afraid the great dramatic emotionality of the poem might cause me to surpass the borderline of what should be admitted in chamber music. I expected the serious elaboration required by variation would keep me from becoming too dramatic." He also provided musical examples describing the way that this movement presents the "elaborations" (Durchführungen) he had chosen not to incorporate in the first and second movements.[13] This statement clarifies the relationship of the poem to the form of the movement by showing that it was not the structure of the poem itself that suggested the formal organization for this movement, but rather its images and powerful meaning. To Schoenberg, these elements required a form that would use the text's lines as building blocks for musical content without strictly adhering to the poetic structure. Schoenberg chose the variation form to mitigate the possible musical excess that he felt the poem's emotional excess could produce: a way of containing the poem within an independently structured musical form. In making this choice, he took a decisive step away from George's own structure and textual rhythms and approached the text on a line-by-line basis. Schoenberg thus subverted the poetic structure and created his own strict text-setting patterns that interact with the musical form.

---

[11] David Lewin, "Women's Voices and the Fundamental Bass," *Journal of Musicology* 10 (Autumn, 1992): 468. In this article, Lewin evaluates and reacts to Susan McClary's ideas in her book *Feminine Endings: Music, Gender, and Sexuality* (Minneapolis: University of Minnesota Press, 1991).
[12] Lewin, 468.
[13] Arnold Schoenberg, Alban Berg, and Anton Webern, *The String Quartets: A Documentary Study*, ed. Ursula von Fauchhaupt (Hamburg: Deutsche Grammophon Gesellschaft, 1971), 47.

Neff describes Schoenberg's text setting in depth in her critical score of the quartet, beginning with his choice not to respect the dactylic text rhythms George uses, which can be shown to derive from the Catholic text "Sancta Maria, ora pro nobis."[14] To take just one example, George's "Lang war die reise, matt sind die glieder" is set in measures 18-22 in note values that distort the textual rhythm, particularly in the equal durations of the words "Lang war" set to two half notes.

In addition to altering the text rhythms, Schoenberg subverts the poem's overall structure by setting it so that variations begin and end within the poem's stanzas. This is indicated in Neff's analysis, in which variations may contain anything from three to five poetic lines each.[15] Haimo notes that these variations "fit no traditional mold," as they do not use established variation techniques such as "constant bass, chaconne, or passacaglia," nor are they "melodic outline or strophic variations in which decorated versions of a theme return in their entirety in each strophe." The variation is instead based on five "mini-sections" of text, each of which incorporates musical elaboration of motives from the first and second movements as well as new material. The "theme," therefore, takes the form of four motives from the preceding movements that occur within each variation.[16] This innovative conception of variation frees both the voice and the cello (the lowest pitched instrument) from the responsibility of repeating a single theme that must be constantly present, as traditional variation models might have required. In Schoenberg's setting, all five instruments are free either to present new material or develop motives from other movements at any time. The vocal line occasionally takes on particular importance, however; Neff posits that the first four measures of the vocal line present the *Grundgestalt* for the movement, which incorporates all four motives of the variation theme material.[17]

---

[14] For her discussion of the liturgical basis of text rhythms in "Litanei," Neff draws on Wolfgang Osthoff's work. His analysis can be found in *Stefan George und "Les deux musiques"* (Stuttgart: Franz Steiner Verlag, 1989), 175.

[15] Neff, 160-61.

[16] Haimo presents this overview along with detailed analysis of Schoenberg's use of variation in *Schoenberg's Transformation*, 279. Neff provides a larger-scale analysis of the movement's formal makeup in her critical edition of the Norton score, pp. 160-161. The two analyses are largely compatible.

In Neff's analysis, the movement begins with thirteen measures of instrumental prelude that present the four motives and begin Variation I. The vocal entrance in measure 14 is uncharacteristically doubled at the octave by one of the strings, the first violin. This is a rare occurrence in "Litanei*,"* repeated only with the first violin in measures 47-48, the viola in measure 29, and the cello in measure 33. In general, the vocal line is not set in unison with any of the string parts. This rhythmic/melodic separateness suggests that the voice is incorporated as a fifth instrument, rather than following the traditional song format of unfolding as the primary musical line over an accompanimental string texture.

While Schoenberg treats the voice as a fifth instrument in these two movements, he also manipulates the texture of the string parts to encourage appropriate dynamic balance with the voice. He uses thinner string textures and soft dynamics when the voice is in its middle or low range and not melodically linked to any instrumental part. These tactics represent good vocal composition techniques that aid performers in achieving a correct balance of voice and instruments. Examples of these techniques can be found in measures 18-20, 45, and 66-69. He also restricts fast-moving figuration, louder dynamics, extreme pitches, and thick string textures to moments when the soprano sings in the upper *passaggio* or above, a tessitura that intrinsically provides greater force and carrying power. This is particularly evident in measures 24-25, in which the viola and cello play continuous *fortissimo* sixteenth notes in contrary motion, the second violin plays *fortissimo* tremolos, and the first violin plays a contrasting *fortissimo* triplet figure that extends into the upper extremes of its range, well beyond the possible range of the soprano voice. Any soprano with appropriate vocal tone and weight for this piece will find little challenge in being heard in the range in which Schoenberg sets these notes. The string texture then thins in time for the soprano's descent to a fairly low, speechlike range of the voice in measure 26 on the text "die qual," which has the added acoustic benefits of a written accent on "qual" and forceful consonants that enhance the rawness of the poetic line's meaning.

The shape of the vocal line alternates between two extremes: reactive, violent, disjunct motion and lyrical, conjunct motion, creating musical contrast that enhances contrasts in the text between weariness or resignation on the one hand and impulsive action or desperate cries for aid on the other. For example, the second poetic line is set in measures 18-23 in a relatively lyrical idiom and uses frequent descending semitones to portray the weariness of the long journey. This contrasts with the final two pitches of this line, in which a distressing idea is conveyed. Schoenberg follows this pattern in the next line, "voll nur die qual," which begins with semitone descent in measures 24-25 and culminates in an angular figure with leaps of a seventh and fifth to accompany the text's "anguish" (qual). Semitone descent again characterizes the line at measure 36 ("Gönne die ruhe schwankenden schritten"), then changes to an angular ascent and descent achieved through disjunct motion for the action-oriented text "hungrigem gaume bröckle dein brot!"

---

[17] Neff, 161.

This pattern of descent by conjunct motion alternating with disjunct motion in response to the textual meaning is borne out throughout the movement. Although the music seems to respond to the character of the text, it does not do so in a way consistent with text painting in that concrete images are not depicted in the vocal line. The culmination of the process of alternating motion relative to the text's activity or passiveness is reached in "Töte das sehnen, schließe die wunde!" which combines elements of both styles, and the climactic action phrase "nimm mir die liebe," in which disjunct chromatic motion, upper-*passaggio* tessitura, and a nearly unprecedented leap from c^3 to b create an almost insurmountable vocal challenge for most singers (see Appendix, example 1). This line is not supported by unison setting with any instrument and is sung over thick string textures that include tremolos, *ff/fff* dynamics, written accents, and high violin range. Still, the soprano's tessitura will permit the vocal line to be heard. Schoenberg then wisely places rests in the strings at the moment of the soprano's descent to b in measure 66, permitting the extreme contrast in the soprano's vocal color to be heard and setting up a dramatic change in dynamics and character for the final, peaceful "gib mir dein glück!" which seems to continue almost indefinitely due to the violin's continuing the final soprano note. The violin then brings the final phrase slowly to a conclusion through fluctuating semitone motion.

Following the dramatic conclusion of "Litanei," the introduction to "Entrückung" creates an atmospheric effect that prepares the listener for a new mood of transcendence. This long introduction merits some consideration in its own right. Haimo states that these twenty measures before the first vocal entrance create "an inimitable sound world" that "captures the otherworldly feeling of George's poem" through dynamics, "mysteriously ascending lines," and a lack of tonal center.[18] Schoenberg described this introduction as depicting the departure from earth to another planet. The visionary poet here foretold sensations, which perhaps soon will be affirmed. Becoming relieved from gravitation – passing through clouds into thinner and thinner air, forgetting all the troubles of life on earth – that is attempted to be illustrated in this introduction.[19]

---

[18] Haimo, 284-85.

The lack of a discernable tonality is particularly helpful in creating this sense of otherworldliness; all twelve pitch class sets are used in the opening thirty-second note gesture alone. Simms observes this to be the first instance in Schoenberg's work of an arrangement of all the pitch classes used in one musical gesture.[20] Neff describes the effect as "an absence of the gravitation inherent in any pitch center," creating a metaphorical musical application of the protagonist's departure from Earth's atmosphere.[21] After this effect is established, the sudden *sforzando* chord in measure 21 is a dramatic backdrop for the first vocal entry.

The beginning of the sung text marks the beginning of the complicated relationship between the meter of George's poetry and Schoenberg's musical setting. As in "Litanei," Schoenberg's setting for the text of "Entrückung" has a distorting effect on George's text rhythms. However, the setting of "Litanei" used variations as a framework, whereas Schoenberg sets the text for "Entrückung" in such a way that the form cannot be unequivocally defined. According to Simms, Schoenberg's own analysis indicates the "relevance" of sonata form, but not its direct application. Simms is primarily referring to the presence of a recapitulation-like section at measure 100.[22] In contrast, Webern states that the form is derived exclusively from the poetic structure and bears no resemblance to traditional types.[23] Analysis of the text setting shows that in this movement, the poetic text provides a basis for the form. An understanding of the poem and its structure is key to determining its subtle connection to the movement's form. The poem is written in a style that adheres (with slight alterations in rhyme scheme) to Dante's *terza rima* structure, including inter-stanza rhymes and hendecasyllabic lines. Its text and form reflect the "three states of Christian ecstasy described in the writings of Thomas Aquinas," which are employed to express the desire for unity with the departed "beloved, bright shadow" through transcendence of the earthly realm.[24]

---

[19] Schoenberg, Berg, and Webern, 48.

[20] René Leibowitz, *Schoenberg and His School: The Contemporary Stage of the Language of Music*, trans. Dika Newlin (New York: Philosophical Library, 1949), 79.

[21] Neff, 174.

[22] Simms, 45. Simms is referring to Schoenberg's comments in *The String Quartets: A Documentary Study,* 50.

[23] Neff, 171.

[24] Ryan, 88-89.

Judith Ryan explores the way that Schoenberg's setting of this text, far from adhering to its strict poetic structure, enhances the very elements of the poem that undermine its own formal integrity: "enjambement and semantic ambiguity." This setting moves away from a strophic form and instead focuses on the poem's lines to create a subversive setting of the poem. Enjambement in particular is evident in Schoenberg's construction of phrases that appear to consider poetic lines as sentences rather than lines, but that also respect the divisions of line through eighth rests placed at the point of enjambement. The first line of the poem is a complete sentence, and it is set as such; it is removed from the following two lines of its tercet and given a special setting with long, even note values. The following two lines taken together constitute one sentence. They are set in measures 31-35, the two lines separated by an eighth rest in measure 33. In contrast, the first stanza is separated from the second by a half rest plus an eighth rest (measures 35-36). The second stanza is an incomplete sentence, and the lines are separated with eighth rests as was the case in the first stanza (see Appendix, example 2). In this way, Schoenberg sets the vocal line in chains of fragments, separated by short rests in the vocal line that, while permitting the singer to breathe, also reflect the degree of closure in the text. The fragmentary nature of the vocal line is conducive to flexible breathing strategies for the singer, and by following this pattern strictly, Schoenberg creates the basis for this movement's form.

This strict pattern of text setting is also evident in the fifth stanza ("Mich überfährt ein ungestümes wehen"), in which the three lines together constitute a complete sentence and are set as three vocal fragments separated by eighth rests. The seventh stanza presents an even more telling example of sensitivity to complete poetic sentences rather than lines. The text printed in the score reflects the incompleteness of these three lines through the lack of capitalization for the first words of lines two and three. This incompleteness is rendered in the text setting through eighth rests. The final line of this stanza, however, is incomplete grammatically and the sentence is completed in the first line of the next stanza. Schoenberg therefore sets these two lines as fragments separated by a sixteenth rest. This setting combines the seventh stanza with the first line of the eighth stanza, which together create a full sentence. This setting separates the line "in einem meer kristall'nen glanzes schwimme" from the rest of its tercet and subverts the poetic form. The final two lines of the poem then receive a special setting that broadens the tempo and uses longer note values to create a new effect that expresses the speaker's complete transcendence and transition to a new realm. Schoenberg's sensitivity to the connectedness of poetic sentences and his dissolution of the *terza rima* stanzas support Webern's claim that the text of poem establishes the movement's basic outline if not its poetic structure.

Within the individual poetic lines, Schoenberg sets the text with considerable freedom in textual stress. Ryan notes that the first four notes of the vocal line are an example of the "unexpected expansions and contractions" that the poetic meter undergoes in Schoenberg's treatment. The equal note values of the first three words followed by equal, shorter note values for the words "von anderem pla-" destroy the line's iambic metrical effect, and only two syllables receive textual stress ("LUFT" and "pla-ne-TEN") through longer note values and placement as the highest pitches of ascending melodic lines. Schoenberg also isolates this line from the rest of its stanza, decreasing the effect of George's strict rhyme structure.[25] A similar effect is achieved in measures 51-55, in which "Ich lose mich in tönen" is set in equal, legato half notes. The resulting textual emphasis on "TÖN-en" makes this the only true stressed syllable in a line that was originally iambic.

This process reaches a culmination in the final vocal phrase, "ich bin ein dröhnen nur der heiligen stimme." The mainly quarter-note movement in measures 100-105 is replaced by half note and dotted half note values in measures 106-109, followed by whole notes (almost exclusively) in measures 110 through the soprano's final note in measure 116. This extreme vocal writing seems to symbolize the speaker's assumption into the supernatural force of the "holy voice," represented through nearly superhuman vocalism that almost certainly requires the soprano to separate the final word ("stimme") from its preceding line through a breath pause. This is a difficulty that must be hidden as much as possible in performance to avoid destroying the phrase's dramatic effect. These text setting choices move away from the structure of the poem, allowing Schoenberg to focus instead on the ambiguous images represented in the text and settings that present complete sentences as unified thoughts.

As in "Litanei," Schoenberg sets sections of low vocal line with a thinned string texture of one to three instruments that prevents the vocal line from disappearing completely into the texture, as in the *pianissimo* descending line of measures 31-38 (see Appendix, example 2). A thicker, more active texture is used only when the voice will certainly be heard, as in the dramatic, upper-*passaggio* singing of measures 77-78. Most of the movement's vocal line is set independently from the string parts in rhythm and pitch, with very little unison or harmony with the instruments. It follows, then, that moments when the voice and string parts converge must merit additional consideration.

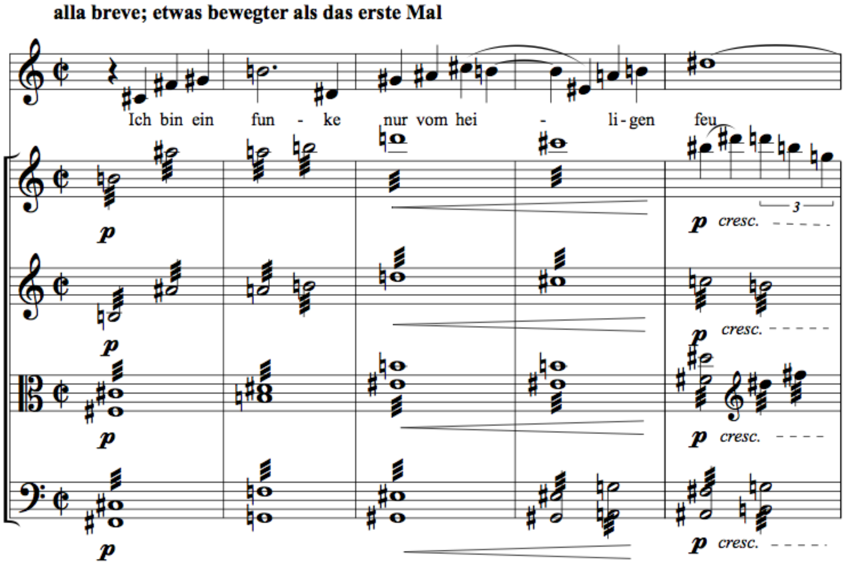
The vocal line's interaction with the string parts in "Entrückung" includes an interesting solution to the ubiquitous problem of singers' having no framework of keys, valves, or finger positions to aid in approximating a correct starting pitch. Finding the initial note of a vocal line can be difficult enough in some solidly tonal music, and negotiating the initial—and indeed, all—pitches of highly chromatic lines such as those in these two movements can require months of painstaking rehearsal. In "Entrückung," Schoenberg occasionally sets the vocal line in such a way that its pitches are present in the string parts, but the notes are scattered among several instruments with no more than one or two notes of the vocal line in each instrument. This alternation of notes in string parts, when examined together, provides a melodic underpinning for the vocal line, but in a far-removed tessitura. This setting also connects the voice with the instruments in a non-traditional way.

---

[25] Ryan, 88-89.

One example of this setting can be found beginning at measure 100. The first note of the soprano line is provided in the cello's whole note C-sharp. The soprano's notes on the downbeats of the next several measures are simultaneously played in the viola in measure 101, the cello in measure 102, both viola and cello in measure 103 (in this case the soprano line is tied on beat one, so the first new pitch of the measure is E-sharp), and the viola in measure 104 (see Example 3).

Example 3. Schoenberg, "Entrückung," mm. 100-104.[26]


alla breve; etwas bewegter als das erste Mal
Ich bin ein fun - ke nur vom hei - li-gen feu
p
p
p
p
p cresc.
p cresc.
p cresc.
p cresc.
3

These notes are placed in the lower two string parts, which means that they are consistently removed from the soprano pitch by one or two octaves, presenting a continuing challenge for the soprano. The pattern is taken up again in measures 110-115 (see Appendix, example 4) with the soprano pitch played in the cello, then the viola

---

[26] Examples reprinted from Arnold Schoenberg, *String Quartet No. 2, Op. 10* (Vienna: Universal Edition, 1921).

(measure 111), the cello (112), the viola (113), both viola and cello (114), and finally the cello (the doubled pitch in measure 115 being the new pitch, A-flat). A similar setting occurs in measures 57-60. These pitches provided in the low strings are too distant from the soprano's tessitura to be particularly effective in aiding the soprano's pitch orientation, but they do provide a reference point for the soprano that can be consciously accessed if the need should arise in rehearsal or performance.

At key moments, the singer does have the benefit of unison with one or more string instruments. The second vocal phrase at measure 31 begins with a pitch correspondence between the voice and the cello in the first two notes, although the notes are spelled enharmonically. The following notes, including the G-sharp in the viola and the E in the first violin, are also present in string parts. The entire vocal entry "Ich löse mich in tönen" at measure 51 is presented in unison with the first violin, as is the phrase "dem großen atem wunschlos mich ergebend" at measure 62. Both of these passages include textual references to abandonment of the self, which are enhanced by the voice's relinquishing its characteristic independence in these measures.

As in "Litanei," the vocal line's range and character sensitively reflect the text's meaning. Introspective sections using a decreased vocal range with many whole-tone and semitone intervals alternate with more active sections that include large intervals and a greater range of pitches. Measures 31-38 exemplify the former style, with all pitches except the initial two notes falling within the range of a perfect fifth above the soprano's low C in measure 32. This line is made up almost entirely of whole- and half-step motion that is appropriate to the subdued and passive nature of the text, which describes the fading of past acquaintances and familiar places. The arrival of the "lichter geliebter schatten" in measures 39-41 brings a greater vocal range and a more active style, using a range of an eleventh and more frequent leaps of thirds, fourths, and tritones. This style returns in measures 74-79, where a more active text describes the arrival of a "violent wind" and "ardent cries." Incidentally, this is the first point in the movement in which Schoenberg's vocal setting strays far beyond the range of normal speech. These two contrasting styles converge as the poem ends, depicting the speaker's final moments of departure from Earth and from past identity in measures 91-110. Both the third and fourth movements Schoenberg's vocal settings are thus characterized by contrasting vocal styles that are chosen in relation to the activity or passive descriptiveness of the text.

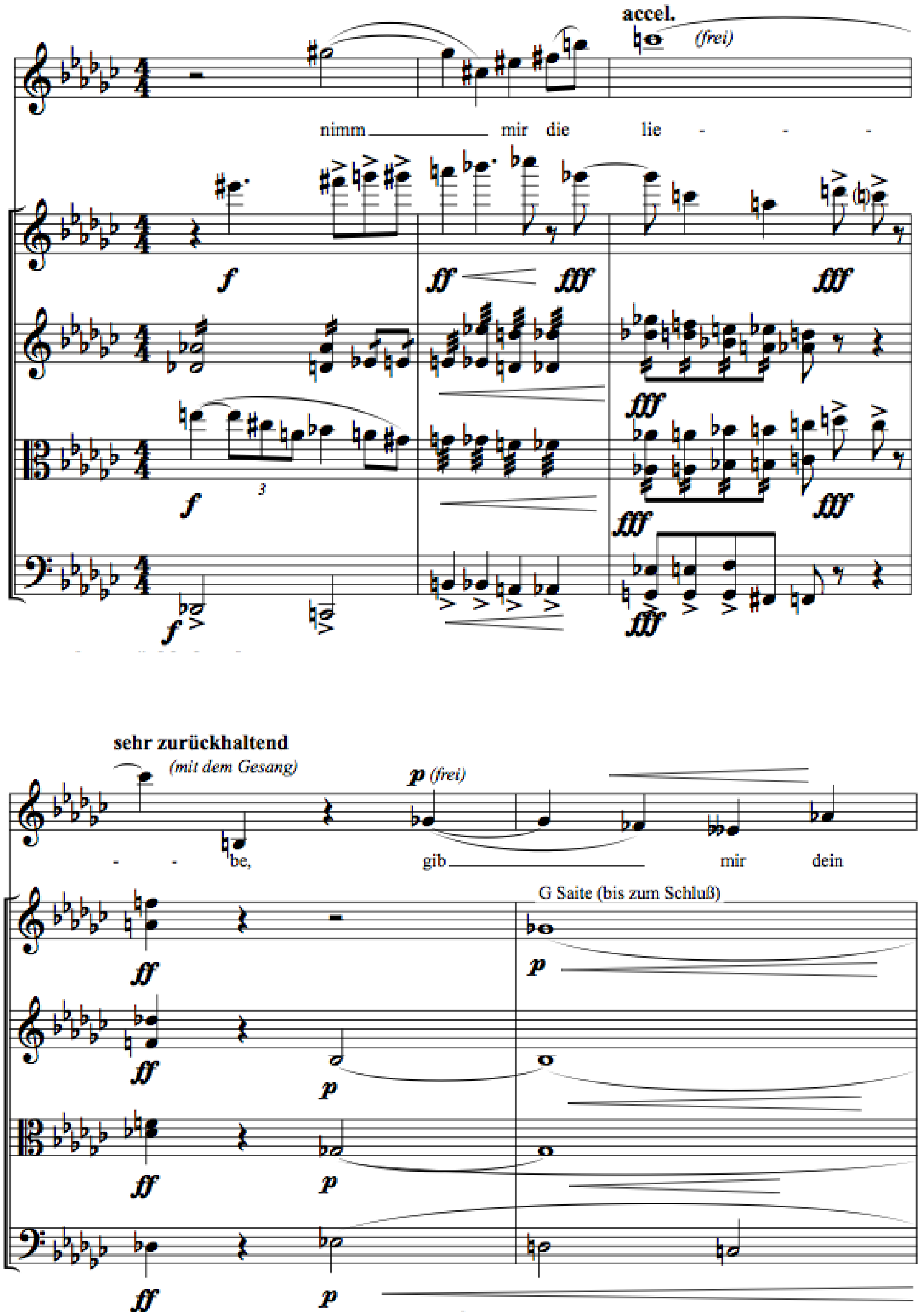
Poised as it is between Schoenberg's final tonal compositions and his first forays into new musical territory, the Second String Quartet is an innovative work in many respects. His use of voice provides an entirely new way to experience the string quartet. The choice of soprano voice for the interpretation of George's ambiguous, emotionally charged text creates an otherworldly effect that would be difficult or impossible to recreate with a lower voice type. The inclusion of poetry provided a compositional framework for these movements written some time after the first two were begun.[27] This suggestion is supported by the way that Schoenberg avoids the poems' formal structures, choosing instead to reflect the poem's emotions in his line-by-line musical setting. The strict vocal patterns he established provided an alternative framework to the poem's structure and influenced the shape of the movements, in particular that of "Entrückung." The resulting final movements create a dramatic ending that is sufficiently tied to the first two movements stylistically to complete a cohesive quartet that is important both in music history and within Schoenberg's own compositional development.

---

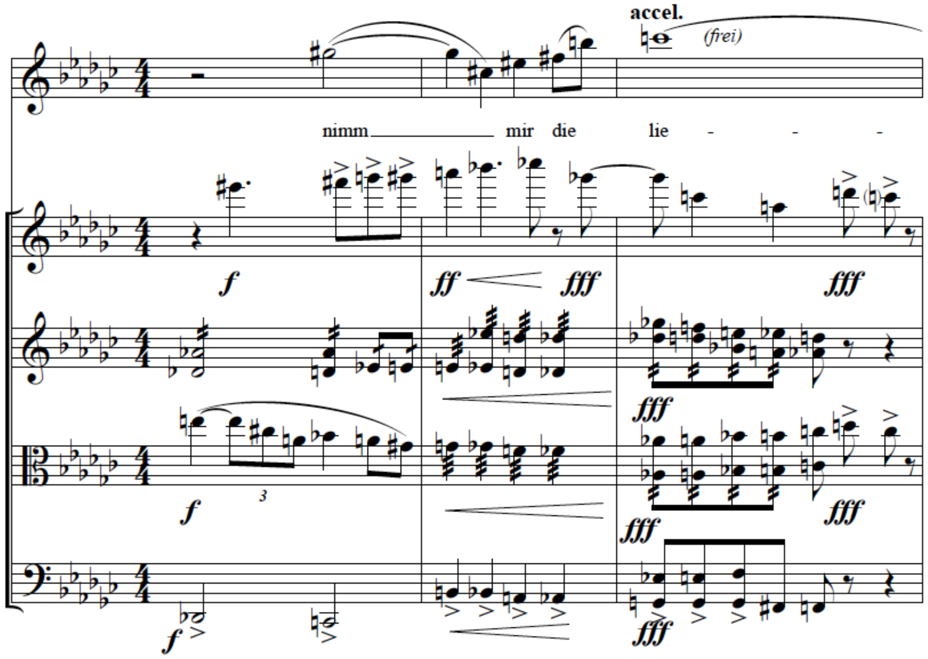
[27] Haimo, 273.

APPENDIX

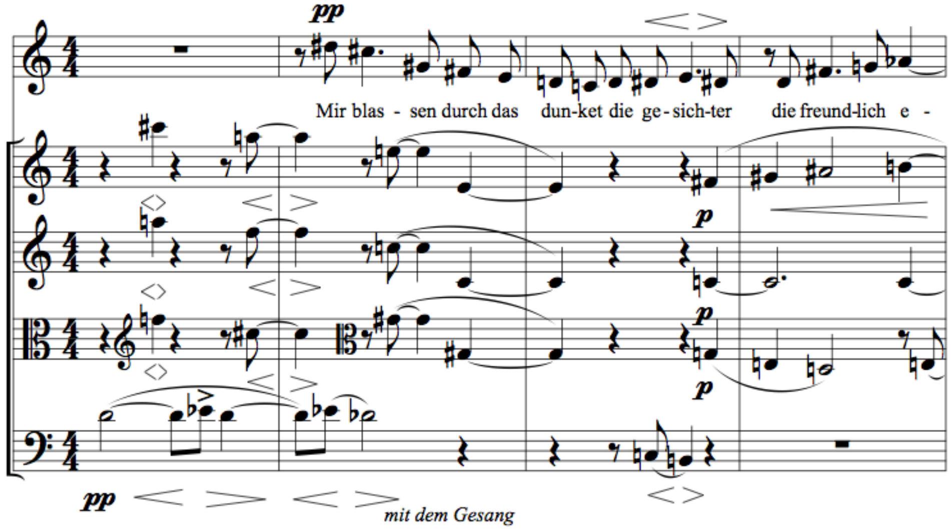
Example 1. Schoenberg, "Litanei," mm. 63-72


accel.
(frei)
nimm
mir
die
lie
f
ff
fff
3
sehr zurückhaltend
(mit dem Gesang)
p (frei)
be,
gib
mir
dein
G Saite (bis zum Schluß)
p

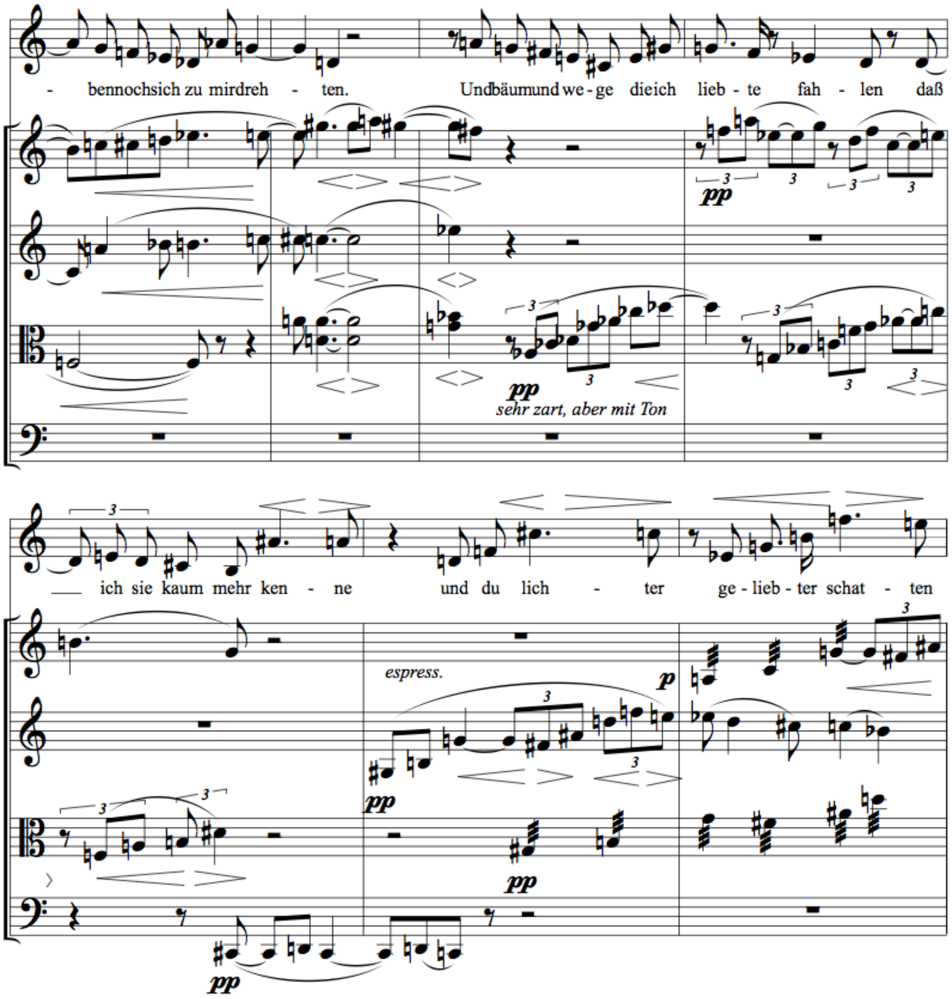
Example 1, ctd.


accel.
(frei)
nimm mir die lie - - -
f
ff
fff
3

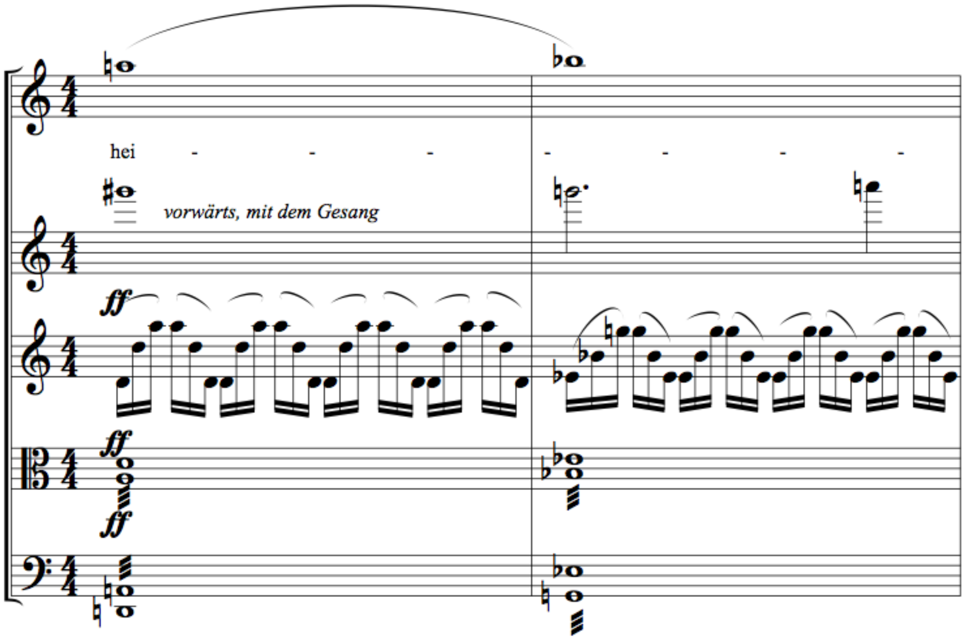
Example 2. Schoenberg, "Entrückung," mm. 30-41


pp
Mir blas - sen durch das dun-ket die ge - sich-ter die freund-lich e -
p
mit dem Gesang

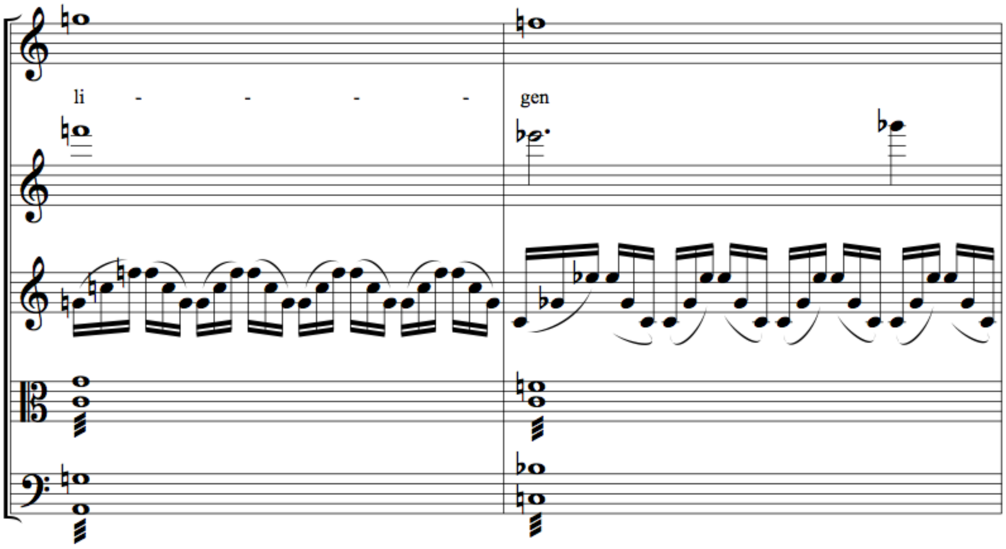
Example 2, ctd.

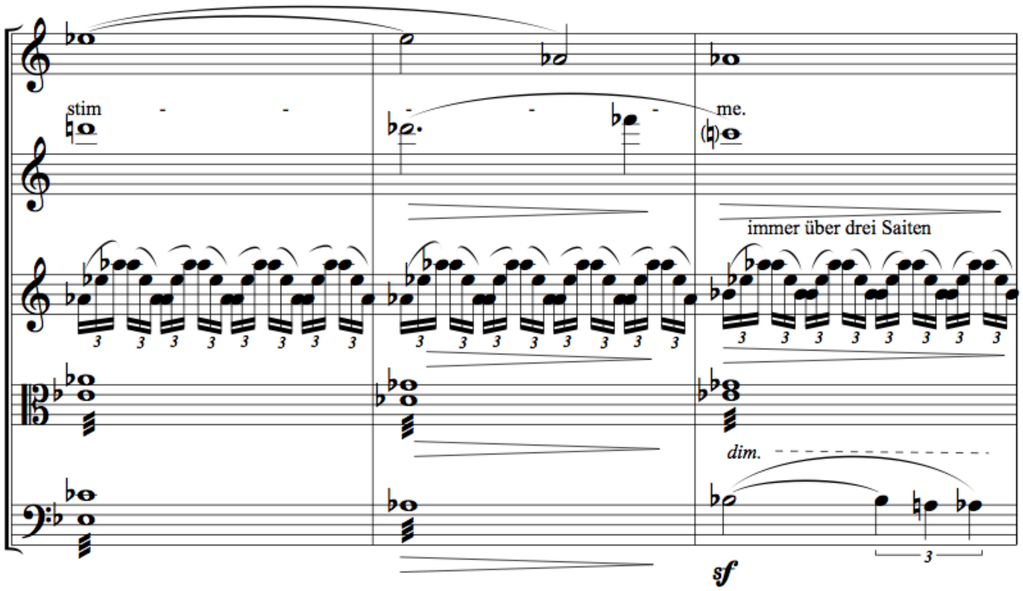

- bennochsich zu mirdreh - ten.
Undbäumund we - ge dieich lieb - te fah - len daß
pp
sehr zart, aber mit Ton
3
ich sie kaum mehr ken - ne
und du lich - ter
ge - lieb - ter schat - ten
espress.
p
pp

Example 4. Schoenberg, "Entrückung," mm. 110-116


hei - - - - - - -
vorwärts, mit dem Gesang
ff
ff
ff

Example 4, ctd.




stim - - - - me.
immer über drei Saiten
dim.
sf

Works Cited:

Bleek, Tobias. "Entrückung: Text und musikalische Struktur im Schlußsatz von Arnold Schönbergs II. Streichquartett." *Archiv für Musikwissenschaft* 57 (2000): 362-388.

Brinkmann, Reinhold. "Schoenberg's Quartets and the Viennese Tradition." In *Music of My Future: The Schoenberg Quartets and Trio*, edited by Reinhold Brinkmann and Christoph Wolff, 3-12. Cambridge, MA: Harvard University Press, 2000.

Haimo, Ethan. *Schoenberg's Transformation of Musical Language*. Cambridge: Cambridge University Press, 2006.

Leibowitz, René. *Schoenberg and His School: The Contemporary Stage of the Language of Music*. Translated by Dika Newlin. New York: Philosophical Library, 1949.

Maur, Karin von. "Arnold Schönberg, or the Convergence of Music and Painting." In *The Visions of Arnold Schönberg: The Painting Years*, edited by Hatje Cantz. Frankfurt: Schirn Kunsthalle, 2002. Quoted in Ethan Haimo, *Schoenberg's Transformation of Musical Language*. Cambridge: Cambridge University Press, 2006.

McClary, Susan. *Feminine Endings: Music, Gender, and Sexuality.* Minneapolis: University of Minnesota Press, 1991.

Neff, Severine. "Part II: Background and Analysis." In *The Second String Quartet in F-sharp minor, Opus 10*, by Arnold Schoenberg, 106-85. Edited by Severine Neff. New York: Norton, 2006.

Lewin, David. "Women's Voices and the Fundamental Bass." *Journal of Musicology* 10 (Autumn 1992): 464-82.

Osthoff, Wolfgang. *Stefan George und "Les Deux Musiques*." Stuttgart: Franz Steiner Verlag, 1989.

Ryan, Judith. "'Ich fühle luft von anderem planeten': Schoenberg Reads George." In *Music of My Future: The Schoenberg Quartets and Trio*, edited by Reinhold Brinkmann and Christoph Wolff, 81-93. Cambridge, MA: Harvard University Music Department, 2000.

Schoenberg, Arnold. *String Quartet No. 2, Op. 10*. Vienna: Universal Edition, 1921.

Schoenberg, Arnold, Alban Berg, and Anton Webern. *The String Quartets: A Documentary Study*. Edited by Ursula von Fauchhaupt. Hamburg: Deutsche Grammophon Gesellschaft, 1971.

Simms, Bryan. *The Atonal Music of Arnold Schoenberg.* New York: Oxford University Press, 2000.

Beethoven's Op. 7, II and the Sublime

BEN GRAF

In his 1764 essay *Observations on the Feeling of the Beautiful and Sublime*, Immanuel Kant posits that the sublime can be categorized in one of three ways: the noble, the splendid, and the terrifying.[1] Kant's notion of the sublime is embodied in nature by phenomena such as vast mountain ranges or canyons, but is there a connection between music and the sublime? Music critic E.T.A. Hoffmann stated, "Beethoven's music unveils before us the realm of the mighty and the immeasurable," which invokes this notion of the sublime.[2] In his article "The Sublime Beethoven," Dmitri Tymoczko has also observed sublime elements in Beethoven's pieces, such as extreme dynamic contrasts, immense length, registral extremes, and obsessive repetitions.[3] Although these factors are important, they are only surface level phenomena that cannot, by their own accord, distinguish the music as sublime. After all, many composers have employed these same musical elements, yet they have not been so closely associated with the sublime as Beethoven. Is there a deeper connection between Beethoven and the sublime, and if so, what did the sublime signify for him? In the second movement of Beethoven's Op. 7, the grandiose enlargement of surface level motives into deeper structural levels demonstrates his notion of the sublime.

The opening gestures of the movement establish two important motives that unfold across multiple structural levels. The first is the double-neighbor motive that decorates a prolonged E in the top voice in the first two measures, shown as motive "X" in Example 1.

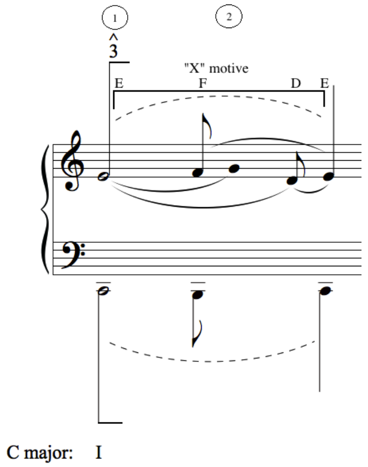
---

[1] Immanuel Kant, *Observations on the Feeling of the Beautiful and Sublime*. Trans. John T. Goldthwait (University of California Press, 1961).

[2] David Charlton, ed. *E.T.A. Hoffmann's Musical Writings* (Cambridge: Cambridge University Press, 1989), 96-98.

[3] Dmitri Tymoczko, "The Sublime Beethoven: Did the Composer Share an Aesthetic Principle with Immanuel Kant?" *Boston Review*, Vol. 24, No. 6 (2000), 40-43.

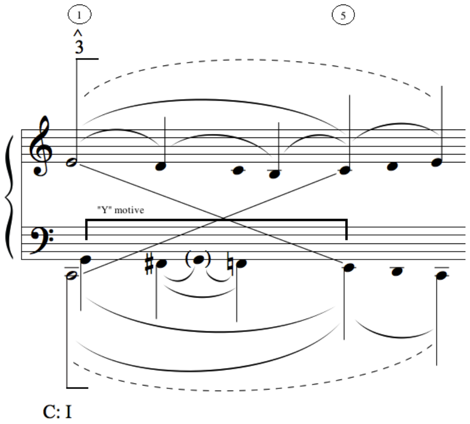
Example 1: Beethoven, Op. 7, II, mm. 1-2.[4]



However, the “X” motive is bifurcated by a G that occurs on the downbeat of the second measure. Beethoven could have left the double-neighbor figure uninterrupted and placed the G in the bass voice, but in this instance, the G stands amidst the initial “X” motive, allowing the bass voice to move through a lower-neighbor motion. Furthermore, the ascending motion from E to G creates a third progression and establishes a precedent for the chromatic third motive, the second important motive. Thus, in the first statement of the movement, Beethoven plants two motivic seeds that grow into expansive structures that span the entire movement.

In addition to the G that bifurcates the “X” motive, the G in the tenor voice of the second measure initiates a second important motivic idea in the movement as in example 2.

Example 2: Beethoven, Op. 7, II, mm. 1-5



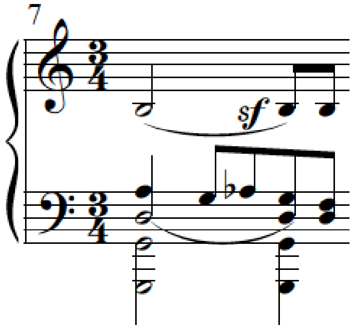
---

[4] Examples from Ludwig van Beethoven, *Piano Sonata No. 4 in E-flat major: Op. 7, II.* (New York: Dover Publications, 1975).

This inner voice G acts as a point of departure for the descending third motive, G–F-sharp–F-natural–E, labeled as motive “Y.” A striking feature of the “Y” motive is the elided resolution of the F-sharp, which would conventionally resolve to G as part of the $V^6{}_5/V$ harmony. However, in this case the resolution of the F-sharp is elided in the bass voice—resolving to G only in an inner voice—and continues down through F-natural to E.

In m. 7, a dissonant A sounds as a 9-8 suspension, and proceeds down to A-flat as an upper neighbor to G (see Example 3). Thus, within the first phrase, both the diatonic and the chromatic neighbors to the G (A, Ab, F#, and F) are significant. Perhaps this provides a preliminary connection between the double-neighbor note “X” motive and the G that bifurcated it in mm. 1-2.

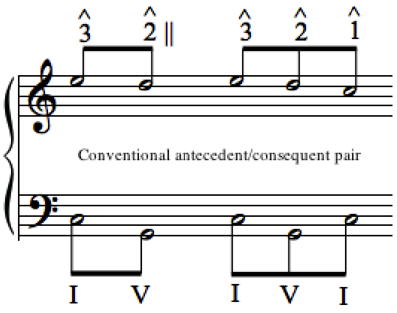
Example 3: Beethoven, Op. 7, II, m. 7

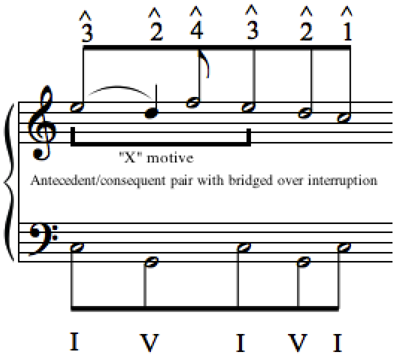


This idea becomes more prominent in the second phrase (mm. 9-14). The upper neighbors of G (A and A-flat) surface in the bass voice as G is prolonged (mm. 10-14). The A-flat, a chromatic upper neighbor in the first phrase, surfaces again in the last beat of m. 13, but this time functions as a passing tone from A to G. The lower neighbors of G are also prominent in mm. 9-14. The elided resolution of the F-sharp (from m. 4) is expanded, in that it initially resolves conventionally (up to G) in m. 11, but then moves down to F-natural (m. 13), which ultimately resolves to the E in m. 14 as part of an expanded “Y” motive (See Appendix, Example 4).

As a whole, the first fourteen measures establish a large-scale antecedent phrase that is followed by its consequent in mm. 15-24. A conventional antecedent/consequent phrase structure, illustrated in Example 5, consists of two paired phrases.

Example 5: Antecedent/consequent pairs.


$\hat{3}$ $\hat{2}$ ||
$\hat{3}$ $\hat{2}$ $\hat{1}$
Conventional antecedent/consequent pair
I V I V I


$\hat{3}$ $\hat{2}$ $\hat{4}$ $\hat{3}$ $\hat{2}$ $\hat{1}$
"X" motive
Antecedent/consequent pair with bridged over interruption
I V I V I

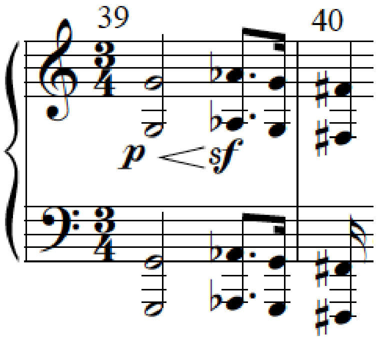
The first is an antecedent phrase that ends with a half cadence and an interruption following scale-degree 2 in the top voice. This is followed by the consequent phrase which re-establishes scale-degree 3 in the top voice over I in the bass and concludes with an authentic cadence and scale-degree 1. However, the antecedent phrase from mm. 1-14 is not conventional. The F in the top voice in m. 14 acts as an upper neighbor to scale-degree 3 and bridges over the interruption at the end of the antecedent, unifying the two phrases. Furthermore, the prominence of both D and F in the bridged-over interruption creates an enlarged version of the "X" motive in the top voice.

In the consequent phrase (mm. 15-24), a cadential dominant in m. 19 sets up what seems to be a cadence (see Appendix, Example 6). However, the motion from C to B that was a part of the cadential dominant continues to descend through B-flat to A in the bass voice, thus superseding what first appeared to be the end of the consequent phrase ("Y" motive transposed). Also, the bass voice of this "cadential detour" moves to A and F as neighbor notes of G in order to prolong the dominant of the consequent phrase. In a larger sense, the bass motion in this passage is a motivic enlargement of the "X" motive.

Further support for this notion is found in the voice exchanges that occur throughout mm. 18-24, which emphasize both diatonic neighbor notes of G (A and F) and one of the chromatic neighbors (F-sharp). A-flat is the only neighbor note of G absent from this passage.

The "missing" A-flat emerges in m. 25 as the root of an A-flat major harmony that begins the development section. This A-flat comes from the G in the inner voice of the tonic chord at m. 24 as part of a 5-6 exchange. In a similar fashion, the E-flat in the top voice moves to F in a second 5-6 exchange, this time above A-flat. The bass then moves to G in m. 37 and is prolonged trough m. 49. Within this prolongation, B-flat major functions as the lowered third of G (m. 42), which is then "corrected" to B-natural (m. 44, see Appendix, Example 7). Even though this prolonged G is a significant part of the development section, it is caught within a passing motion from A-flat to F-sharp, creating a large-scale voice exchange that spans the vast majority of the development section (m. 36-49). This doubly-chromatic voice exchange utilizes both the diatonic and chromatic neighbor notes of G, eliciting the double-neighbor motive from the opening measures on a larger scale. Even further, support for this notion is found in mm. 39-40 in which the bass voice mirrors the chromatic neighbor motive, summarizing the immense expansion of this motive across the development! (see Example 8).

Example 8: Beethoven, Op. 7, II, mm. 39-40

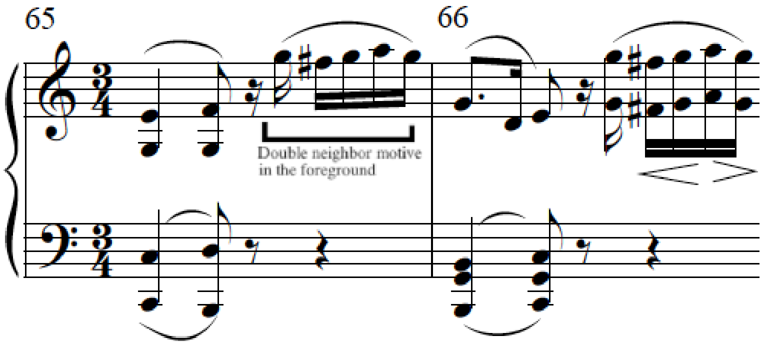


Recalling the antecedent/consequent structure of mm. 1-24, the structural dominant achieved in m. 50 represents the culmination of an even larger antecedent. The first antecedent/consequent pair is subsumed within a grander antecedent/consequent relationship that spans the entire structure of the movement. Since both potential points of interruption are bridged over by the upper neighbor contained in the V^7 harmony, the movement has an even greater sense of vastness achieved through the unity created by avoiding interruptions.

At the beginning of the recapitulation (m. 51), scale-degree 3 returns in the top voice and initiates a second subsumed antecedent phrase, mirroring the opening phrase in the exposition. The A that occurred in m. 6 as a 9-8 suspension returns in the recapitulation, but this time proceeds directly down through A-flat to G, then continues through F-sharp and F-natural to E in m. 58. Thus, all four neighbor notes of G sound in succession as an extended "Y" motive (see Appendix, Example 9).

At the onset of the second local consequent phrase, the recapitulation differs slightly from the exposition (see Example 10).

Example 10: Beethoven Op. 7, II, mm. 65-66



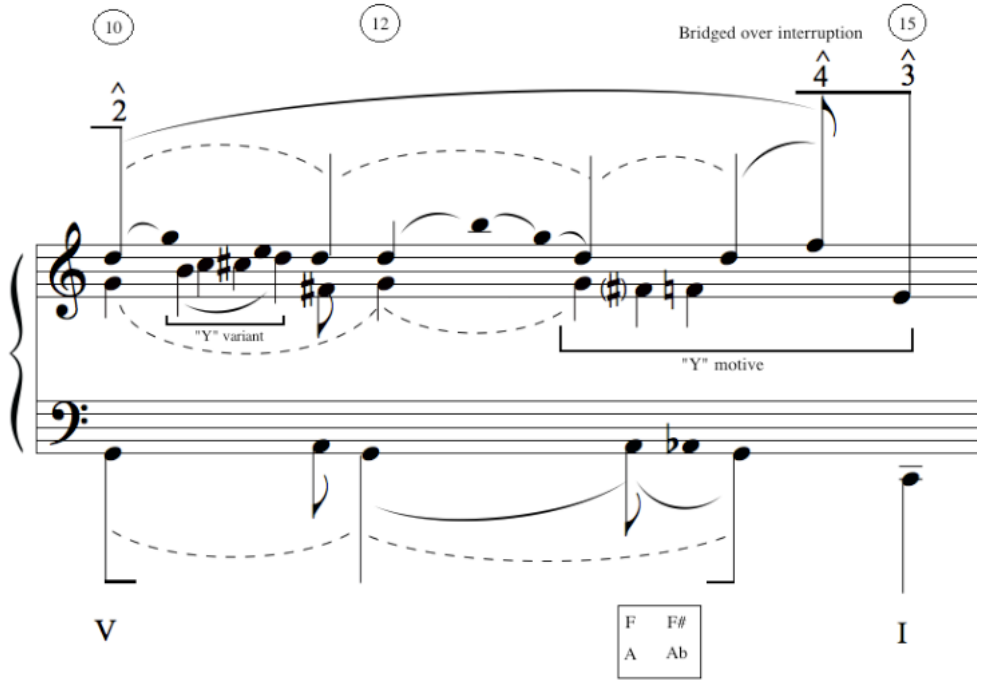
A foreground double-neighbor figure around G is inserted into the first theme gesture that recurs in m. 65, filling the space that was a rest in the first measure. Not only does this insertion emphasize the importance of the motive, but it is further highlighted by its registral separation.

In the closing of the structure (mm. 73-74), the cadential dominant is approached by a French augmented-sixth chord, evoking the neighbor-note gesture with the verticalization of A-flat and F-sharp. In addition, the E *Kopfton* is decorated with a turn figure during the structural descent of the *Urlinie* in m. 74, giving the movement a sense of coherence by recalling the initial presentation of the "X" motive from the opening measures. The coda (mm. 74-90) then returns the top voice to the obligatory register with a final restatement of the opening motive in the closing measures (see Appendix, Example 11).

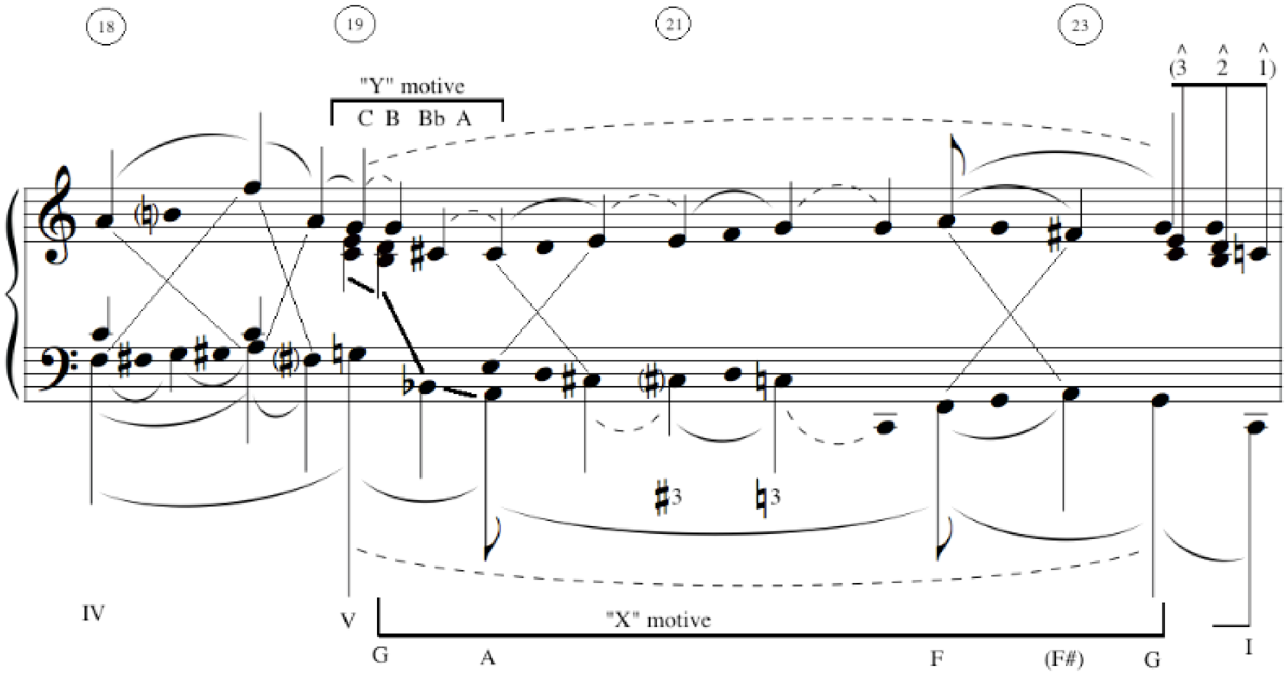
Upon greater understanding of the motives that establish paradigms for the structure of the movement, one can begin to grasp the sublime quality of Beethoven's music. Although foreground elements like dynamic contrasts and registral extremes can enhance the sublime quality of Beethoven's music, it is his expansive enlargements of scale that create a more compelling impression of sublimity. The way in which Beethoven subsumes a smaller antecedent/consequent relationship within an even larger antecedent/consequent framework is one manifestation of the sublime, combined with his presentation of small motivic seeds that expand across multiple structural levels creates the feeling of immensity that epitomizes Kant's notion of the sublime.

APPENDIX

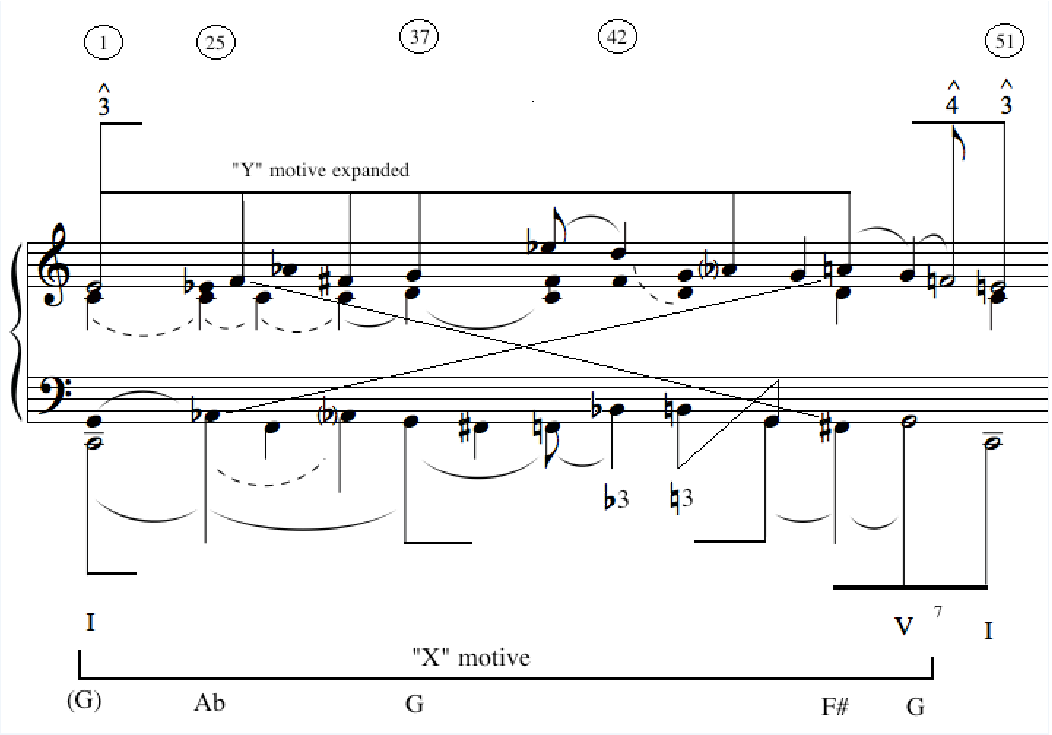
Example 4: Beethoven, Op. 7, II, mm. 10-15


10
12
15
Bridged over interruption
$\hat{2}$
$\hat{4}$
$\hat{3}$
"Y" variant
"Y" motive
V
I
F
F#
A
Ab

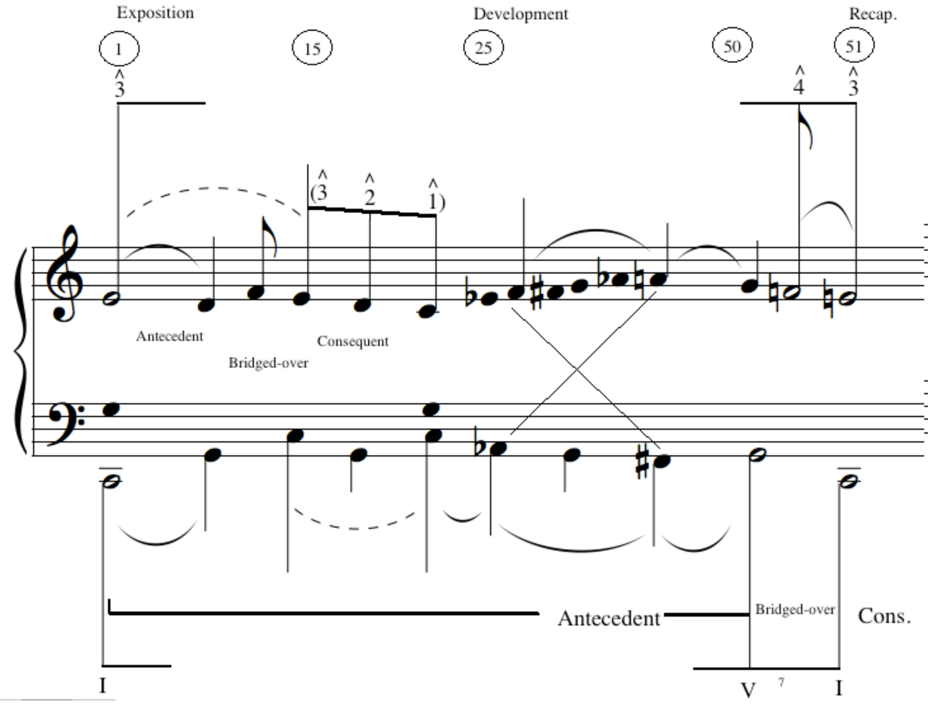
Example 6: Beethoven, Op. 7, II, mm. 18-24


18
19
21
23
"Y" motive
C B Bb A
(3̂ 2̂ 1̂)
♯3
♮3
IV
V
"X" motive
G
A
F
(F#)
G
I

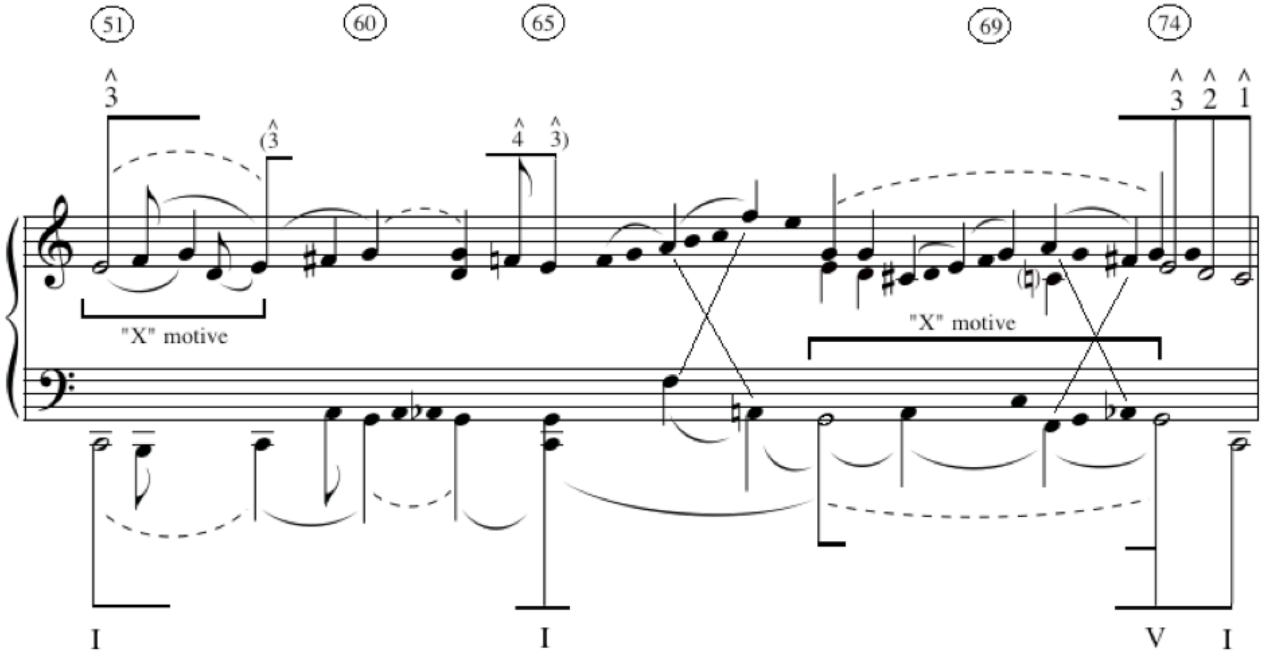
Example 7: Beethoven, Op. 7, II, mm. 25-51


①
㉕
㊲
㊷
(51)
3̂
4̂
3̂
"Y" motive expanded
♭3
♮3
I
V 7
I
"X" motive
(G)
Ab
G
F#
G

Example 9: Beethoven, Op. 7, II, mm. 1-51


Exposition
1
15
Development
25
50
Recap.
51
$\hat{3}$
($\hat{3}$
$\hat{2}$
$\hat{1}$)
$\hat{4}$
$\hat{3}$
Antecedent
Bridged-over
Consequent
Antecedent
Bridged-over
Cons.
I
V 7
I

Example 11: Beethoven, Op. 7, II, mm. 51-74


51
60
65
69
74
$\hat{3}$
($\hat{3}$
$\hat{4}$ $\hat{3}$)
$\hat{3}$ $\hat{2}$ $\hat{1}$
"X" motive
"X" motive
(♮)
I
I
V
I

Works Cited:

Beethoven, Ludwig Van. *Piano Sonata no. 4 in E-flat major: Op. 7, II.* New York: Dover Publications, 1975.

Charlton, David. ed. *E.T.A. Hoffmann's Musical Writings* (Cambridge: Cambridge University Press, 1989), pp. 96-98.

Kant, Immanuel. *Observations on the Feeling of the Beautiful and Sublime*. Trans. John T. Goldthwait. Berkeley: University of California Press, 1961, pp. 40-43.

Tymoczko, Dmitri. "The Sublime Beethoven: Did the Composer Share an Aesthetic Principle with Immanuel Kant?" *Boston Review*, Vol. 24, No. 6 (2000), 40-43.

About the Contributors

KIMARY FICK is a Ph.D. Candidate in Musicology at the University of North Texas who specializes in the research and performance practices of eighteenth-century music. Her dissertation will examine aesthetic principals of the Early German Enlightenment and their application to the music of C.P.E. Bach. While at UNT, Kimary has served as a teaching fellow for the division of music history. In addition, she is an active performer of Baroque and Classical music on historical flutes and recorders. Recently, she was a semifinalist for the 2012 National Flute Association Baroque Flute Artist Competition. Kimary has performed with various ensembles throughout the Dallas-Fort Worth area and has been featured on fringe concerts at the 2009 and 2011 Boston Early Music Festivals.

BENJAMIN DOBBS is a doctoral candidate in Music Theory at the University of North Texas where he is the recipient of a Masters/Doctoral Fellowship from the Tolouse Graduate School and a Teaching Fellowship from the College of Music. Benjamin's research interests lie in the history of music theory and the analysis of early music from the fourteenth to the seventeenth centuries, with special emphasis on the secular music of the *Ars subtilior* and the sacred music of the Protestant Reformation in Germany. He graduated *summa cum laude* with a Bachelor of Arts in Music from the University of Central Arkansas in 2007, and he completed his Master of Music in Music Theory at the University of North Texas in 2010. While working on his master's thesis, titled "*Gewesener Magdeburgische Musicus*: An Examination into the Stylistic Characteristics of Heinrich Grimm's Eight-Voice Motet, *Unser Leben wehret siebenzig Jahr'*," he was the recipient of a yearlong research grant from the *Deutscher Akademischer Austauschdienst* to conduct archival research on the polychoral motets of early seventeenth-century composer Heinrich Grimm at the Herzog August Bibliothek in Wolfenbüttel, Germany. During the summer of 2011, he received funding from the American Friends of the Herzog August Bibliothek to begin his dissertation research, which centers on a seventeenth-century music theory treatise by Heinrich Baryphonus titled *Pleiades musicae*.

EMILY HAGEN completed a Bachelor of Arts in Music and Spanish at the University of MN Duluth (UMD) in 2007. She was the 2006 recipient of the Olive Anna Tezla Award for outstanding achievement in the School of Fine Arts. She traveled to Izmir, Turkey as a 2006-2007 Rotary International Scholar to study voice, opera, and foreign languages. Ms. Hagen then studied voice, solfege and opera with sopranos Blandine de St. Sauveur and Esthel Durand at the Conservatoire Régionale de Boulogne-Billancourt in Paris, France. She completed her Master of Music degree in Vocal Performance in 2009 at UMD, where she studied with Dr. Regina Zona. In 2009-2011 she studied voice and opera at the Istituto Musicale Vincenzo Bellini in Caltanissetta, Sicily. Her recent performances have included the roles of Cherubino in *Le nozze di Figaro* and Giannetta in *L'elisir d'amore.* Ms. Hagen is currently pursuing a PhD in Musicology with a related field in Opera at the University of North Texas.

Benjamin Graf is a doctoral student in Music Theory at the University of North Texas where he is the recipient of a Teaching Fellowship in the College of Music. He has been awarded the Robert W. Ottman Graduate Music Theory Scholarship and the Ethelston and Lamarr Chapman Graduate Music Theory Scholarship. In addition, he was chosen by the MHTE Division as the Outstanding Graduate Student in Music Theory for 2010-2011 and the Outstanding Doctoral Student in Music Theory for 2011-2012. Benjamin came to the University of North Texas on a trumpet performance scholarship to study privately with Keith Johnson, earning his Master of Music degree in 2010. As an undergraduate, he was the Presidential Scholar for the College of Fine Arts at Towson University, where he graduated *summa cum laude* with a Bachelor of Science in Music Education in 2008. Benjamin's current research interests include Schenkerian analysis, Beethoven, the sublime, and music theory pedagogy.