

2006

## Background conglomerates in Alkan's Quasi-Faust, op. 33, no. 2

Matthew James Steinbron

*Louisiana State University and Agricultural and Mechanical College*

Follow this and additional works at: [https://digitalcommons.lsu.edu/gradschool\\_theses](https://digitalcommons.lsu.edu/gradschool_theses)



Part of the [Music Commons](#)

---

### Recommended Citation

Steinbron, Matthew James, "Background conglomerates in Alkan's Quasi-Faust, op. 33, no. 2" (2006). *LSU Master's Theses*. 3412.

[https://digitalcommons.lsu.edu/gradschool\\_theses/3412](https://digitalcommons.lsu.edu/gradschool_theses/3412)

This Thesis is brought to you for free and open access by the Graduate School at LSU Digital Commons. It has been accepted for inclusion in LSU Master's Theses by an authorized graduate school editor of LSU Digital Commons. For more information, please contact [gradetd@lsu.edu](mailto:gradetd@lsu.edu).

BACKGROUND CONGLOMERATES IN ALKAN'S *QUASI-FAUST*, OP. 33, NO. 2

A Thesis

Submitted to the Graduate Faculty of the  
Louisiana State University and  
Agricultural and Mechanical College  
in partial fulfillment of the  
requirements for the degree of  
Master of Music

in

The School of Music

by

Matthew James Steinbron

B.M., University of Wisconsin at Eau Claire, 2004

August 2006

## **ACKNOWLEDGMENTS**

Many people need to be acknowledged for their contributions to this project. First and foremost, I would like to express my many thanks to my committee members: to Dr. Samuel Ng, my advisor, for introducing me to this topic, for sharpening my analytical skills by making me work for answers, and for being so patient in developing my writing style; to Dr. Jeffrey Perry, also for being so influential in my style of writing, for building the foundation for my understanding of Schenkerian theory, and for being ever ready to discuss any non-music topics (particularly food); and to Dr. Victoria Johnson, for being so willing to take on this task on such short notice.

Next, I would like to express my gratitude to those who supported me throughout this process: to Diane and Sterlyng Steinbron, my parents, for their ever present encouragement in my musical endeavors; to Richard and Patricia Durgin, my grandparents, for their unconditional support and many prayers; to Dr. Melvin Steinbron, my grandfather, for providing writing advice and motivational competition; to Lucy and Denny, my dogs, for only chewing on one of the many sources I have laying around the house; and to Stephanie, my wife, for being willing to follow me wherever my career takes me, for weathering the storms we have had to go through, and for putting up with all of the late nights during the final stages of this project.

## TABLE OF CONTENTS

ACKNOWLEDGMENTS .....	ii
ABSTRACT.....	iv
CHAPTER	
1 INTRODUCTION .....	1
2 TERMINOLOGY .....	3
Formal Paradigms .....	3
Progressive Tonality.....	4
Directional Tonality .....	9
Interlocking Structures .....	13
Background Conglomerate.....	15
Conclusions on Terminology .....	16
3 RECOGNIZING BACKGROUND CONGLOMERATES.....	19
Requirements for Background Conglomerates .....	19
Chopin's Prelude op. 28, no. 2 .....	22
Schubert's <i>Klage</i> D. 436 .....	29
Chopin's Ballade, op. 38 .....	32
4 EXPLORING BACKGROUND CONGLOMERATES .....	36
Background Conglomerate Scenarios .....	36
Elided <i>Ursätze</i> .....	40
Analysis of Alkan's <i>Quasi-Faust</i> .....	57
Background Conglomerates and Octave Lines .....	66
5 CONCLUSION.....	72
BIBLIOGRAPHY.....	73
APPENDIX	
A BACKGROUND CONGLOMERATE STRUCTURES THAT ALLOW FOR ELIDED <i>URSÄTZE</i> .....	81
Elisions with Identical <i>Kopftöne</i> .....	81
Elisions with Different <i>Kopftöne</i> .....	83
B TERMINOLOGY CHART .....	88
VITA.....	92

## ABSTRACT

Various approaches have been used over the past 50 years to describe and analyze works that exhibit tonality but have more than one tonic. This paper focuses solely on a subcategory of such works: those that begin in one key and end in another, the first key being permanently replaced by the second. The most prominent systems of terminology and analysis for such works include “progressive tonality,” “directional tonality,” “interlocking structures,” and “background conglomerates.” After examining these systems, “background conglomerates” is determined to best suit works that permanently change tonics. This approach, which was introduced by Harald Krebs, employs a Schenkerian based style of analysis to show that two *Ursätze* are present in the background of these works. Applying Krebs’s style of analysis reveals that many different structures can occur in background conglomerates, one of which has never been identified: elided *Ursätze*. The possibilities for elided *Ursätze* are explored and Alkan’s *Quasi-Faust*, the second movement of his *Grande Sonate* op. 33, is provided as an example. The effects that the elided *Ursätze* has on the sonata form and octave line of *Quasi-Faust* are also addressed.

## CHAPTER 1: INTRODUCTION

Tonality has long been described in terms of the gravitational pull that a central tonic has all other chords and pitches. Heinrich Schenker believed that the gravitational pull is caused by the overtone series.<sup>1</sup> The reason for this is that the most naturally occurring pitches in the overtone series, the first six partials, create a triad. This “chord of nature” is thus considered to be the central focus in tonal music because it is perceived to be the most stable. In comparison to the tonic, all other chords and pitches are heard as unstable and our ears desire them to return to the stability of the tonic. For this reason, composers of tonal music begin and end the majority of their pieces with the same tonic triad; indeed, such pieces are understood in Schenkerian terms as composing out a single triad. This triad typically occurs at the beginning and at the ending of tonal works, and all intervening tonal events are derived, directly or indirectly, from it. In contrast to tonally “secure” works, there are numerous pieces that have off-tonic beginnings and others that have multiple triads acting as tonic. Of these, Schenker’s theory accommodates the off-tonic beginnings only because they are retrospectively heard as leading to the final tonic, thus being referred to as “auxiliary cadences.”<sup>2</sup> Pieces that have more than one governing triad, on the other hand, do not fit well into typical theories on tonality. Over the past century, theorists have written about works with multiple tonics and have provided a variety of terms and approaches in an attempt to better understand the phenomenon that this repertoire represents. Unfortunately, the plethora of terminologies and methodologies for dealing with this repertoire only hinders research on the topic rather than furthering its development.

---

<sup>1</sup> Heinrich Schenker, *Harmony*, ed. Oswald Jones, trans. Elisabeth Borgese (Chicago: The University of Chicago Press, 1972), 21-31, and *Free Composition*, Edited and translated by Ernst Oster (New York: Longman, 1979), 10-16.

<sup>2</sup> Schenker, *Free Composition*, 88-90. Auxiliary cadences will be discussed in more detail in Chapter 2. Schenker had already introduced this idea in his *Harmonielehre*, but refers to it as “harmonic inversion development.” See Schenker, *Harmony*, 34.

As will be discussed in the second chapter, theorists tend to use one of two sets of terms when discussing pieces that have more than one tonic: “concentric tonality” or “monotonicity” when a single tonic governs a work and “progressive tonality” or “directional tonality” when more than one tonic is present in a work.<sup>3</sup> This study focuses solely on one structure of “progressive/directional tonality”: works that begin in one key and end in another, the first being permanently replaced by another.

The purpose of the second chapter is threefold: to examine the terminology that exists for pieces with multiple tonics and the analytical techniques associated with the terms; to determine which analytical technique and terminology is most appropriate for works that permanently change tonics; and to clearly define the terminology that best suits this phenomenon. The third chapter then clarifies what types of pieces truly belong to this repertoire. Due to past and recent confusion over what types of pieces begin and end in different keys, specific criteria need to be established. By using the conclusions from the second chapter, requirements will be established that distinguish between those pieces that permanently change tonics and those that do not. These requirements will then be applied to pieces that have a contentious analytical history in the hope of shedding new light on them.

The final chapter explores the diversity of situations that can occur in pieces that permanently change tonics. Subsequently, a theory of elided *Ursätze* will be presented as a way of analyzing specialized situations that occur in such pieces. The chapter will conclude with an analysis of Charles Alkan’s *Quasi-Faust*, the second movement of his *Grande Sonate* op. 33. *Quasi-Faust* serves as an example of elided *Ursätze* as well as of a sonata form movement that includes an octave line. The effect that elided *Ursätze* have on the octave line in *Quasi-Faust* will also be addressed.

---

<sup>3</sup> The origins of these terms will be discussed in the second chapter.

## CHAPTER 2: TERMINOLOGY

### Formal Paradigms

As will be made apparent, three formal paradigms are used by theorists as examples of forms beginning and ending in different keys: auxiliary cadences, oscillating tonalities, and background structures in which one key succeeds another at the deepest background level. This paper focuses on the latter of the three paradigms, but the first two need to be addressed because they play a key role in many of the following discussions.

As mentioned in Chapter 1, the concept of the auxiliary cadence originated with Schenker, who explains it as an authentic cadence that is not preceded by a root position tonic triad (Figure 2.1).<sup>4</sup> Auxiliary cadences can occur anywhere in a work, even at the beginning. An auxiliary cadence at the beginning of a work results in a non-tonic opening. Concentric tonality governs such a piece because all material prior to the tonic is retrospectively heard as leading to the tonic. It should be noted that two types of auxiliary cadences exist: shallow middleground and background.<sup>5</sup> Shallow middleground auxiliary cadences are fairly short and are heard as an anacrusis to a piece, and will most likely be reduced out in a deeper middleground level. Background auxiliary cadences, on the other hand, are prolonged over a significant portion of a piece and are included in a graphic analysis of the work's background

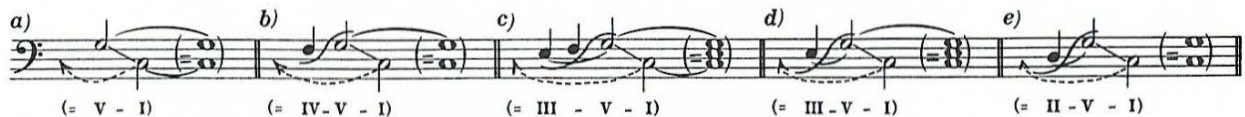


Figure 2.1: Schenker's graphs of possible auxiliary cadences<sup>6</sup>

<sup>4</sup> Schenker, *Free Composition*, 88.

<sup>5</sup> Schenker provides examples of both shallow middleground and background auxiliary cadences, but never makes a distinction between the two. The examples in Figure 2.1 can therefore represent either case. For all of Schenker's examples of auxiliary cadences, see *Free Composition*, Figure 110.

<sup>6</sup> Ibid., Figure 110a.



level.<sup>7</sup> When an auxiliary cadence is discussed from this point on, background auxiliary cadences that occur at the beginning of a work are assumed since they are the most applicable to this paper.

The other paradigm, oscillating tonalities, occurs when there is a continuous alternation between two or more keys throughout the duration of a work. The effect of such pieces is a tonal limbo in which any of the keys could end the piece at the composer's discretion. In the following discussions, examples will be given of analyses in which theorists confuse this type of paradigm with the third type, in which a background structure begins in one key and ends in another. If such pieces are ambiguous due to their undulating key scheme, then how can any key be said to govern the first portion of such a work, let alone a distinctive change of tonalities be perceived by the end of such a work? Even though many examples of this structure do end on a different "key" than they began, this is an arbitrary point since works of this sort could just as easily end with any of the tonalities that appear in alternation. The reason that auxiliary cadences and tonally oscillating structures are discussed in this paper is that they are often confused with works that have clear motion from one tonality to another tonality. In order to make further progress in analyzing pieces that permanently change tonal centers, confusion with analyses that depend on auxiliary cadences and tonally oscillating structures need to be avoided since these are different compositional processes.

### Progressive Tonality

One of the oldest terms for pieces that begin and end in different keys is "progressive tonality." The term was apparently first used by Dika Newlin in her discussion of numerous

---

<sup>7</sup> There are two ways that the off-tonic opening can be prolonged in background auxiliary cadences: the off-tonic *Stufe* can be tonicized, as in Chopin's Fantasy op. 49 (Figure 2.8); or it is not tonicized and always leads towards tonic, as in Chopin's Prelude op.28, no. 2 (Figure 3.3). Both of these examples will be discussed in more detail later.

compositions by Gustav Mahler that begin and end in different keys. Newlin introduces “progressive tonality” as an alternative process to what she calls “concentric tonality,” in other words pieces that have a single tonic.<sup>8</sup> As with most authors who have adopted the term “progressive tonality,” Newlin only mentions that it exists for dramatic effect and never goes into detail about the effect that “progressive tonality” has on form.<sup>9</sup> Since she uses the term in a purely descriptive manner and provides no detailed analysis, it is hard to determine if she means to apply “progressive tonality” solely to works that “progress” from one key to another or if she also includes works that have auxiliary cadences and or works that oscillate between keys under its rubric. In order to determine what types of works are included as examples of “progressive tonality,” the analyses of theorists who actually do more than simply describe the beginning and end keys of a work need to be examined.

One theorist who analyzes a “tonally progressive” piece as truly moving from a clearly defined key to another is John Nelson. According to Nelson’s analysis in Figure 2.2, the finale of Schumann’s Piano Quintet op. 44 is in a seven part rondo form that begins in G minor and ends in E<sup>b</sup> major. Nelson presents the sections of the movement out of order so comparisons can easily be made between similar sections. The ordering of sections in the movement is as follows: A<sub>1</sub>, B<sub>1</sub>, A<sub>2</sub>, C, A<sub>3</sub>, B<sub>2</sub>, A<sub>4</sub>. Sections A<sub>1</sub> and B<sub>1</sub> are shown as clearly prolonging G minor while the following A<sub>2</sub> and C sections contain ambiguous materials. This ambiguous stretch acts as a contrapuntal link between the two structurally stable keys and does not allow E<sup>b</sup> major to be heard as a governing tonic until Section B<sub>2</sub>, which it is then prolonged for the remainder of

---

<sup>8</sup> Dika Newlin, *Bruckner, Mahler, Schoenberg*, rev. ed. (New York: W.W. Norton and Company, Inc., 1978), 129. The works that Newlin considers as displaying the principle of “progressive tonality” include Mahler’s *Lieder eines fahrenden Gesellen*, *Das Lied von der Erde*, and Symphonies 1, 2, 4, 5, 7, and 9.

<sup>9</sup> Appendix B includes a list of terms used to discuss pieces that begin and end in different keys. Also included is who used each term and when they used it. One reason that Newlin’s terminology has lasted for so long is that Mahler scholars use it for sake of consistency. V. Kofi Agawu even states this in his article “Mahler’s Tonal Strategies: A Study of the Song Cycles,” *The Journal of Musicological Research* 6/1-2 (1986): 45.

the movement. There is no doubt that this “tonally progressive” movement has two governing tonics that occur in succession.

Figure 2.2: Nelson’s analysis of finale of Schubert’s Piano Quintet op. 44<sup>10</sup>

A different view of “progressive tonality” is found in David Fanning’s analysis of the first movement of Carl Nielsen’s Fifth Symphony (Figure 2.3).<sup>11</sup> Fanning shows in his

<sup>10</sup> John Nelson, “Progressive Tonality in the Finale of the Piano Quintet, Op. 44 of Robert Schumann,” *Indiana Theory Review* 13/1 (Spring 1992): 45.

<sup>11</sup> Along with Mahler, Nielsen is one of the composers who are most associated with “progressive tonality.” This association is due to Robert Simpson’s early reference to the “progressive tonality” found in Nielsen’s symphonies. Nielsen scholars appear to use “progressive tonality” for consistency’s sake just as Mahler scholars do. See Robert Simpson, *Carl Nielsen: Symphonist* (London: J.M. Dent and Sons Ltd., 1952) 23 and 87.

“progressively tonal” analysis that the movement has an auxiliary cadence.<sup>12</sup> The central tonality of the movement is G major, but G major is preceded by an ambiguous off-tonic opening that leads to G major. Similarly, Robert Simpson initially labels this same movement as exhibiting “progressive tonality,”<sup>13</sup> but later concludes that “emergent tonality” would be a better term since G major “emerges” as tonic from the ambiguous beginning.<sup>14</sup> No matter what terminology is used, this movement can only be said to have one tonic since an auxiliary cadence, not a fully realized separate tonal region, precedes the final section in G.

Middleground

Background

F:	I	⦿	V			
C:	IV	V		I	⦿	V
			G:	IV	V	I

Figure 2.3: Fanning’s analysis of the first movement of Nielsen’s Fifth Symphony<sup>15</sup>

<sup>12</sup> A similar instance of auxiliary cadences discussed in terms of “progressive tonality” can be found in William Ya Deau’s analyses of Chopin’s Ballade op. 38 and Fantasy op. 49. See William Ya Deau, *Tonal and Formal Structure in Selected Larger Works of Chopin*, Ph.D. diss. (University of Illinois, 1980), 84 and 124 respectively. Another example is Steven Laitz’s analysis of Chopin’s Prelude op. 28, no. 2. Steven Laitz, *The Complete Musician: An Integrated Approach to Tonal Theory, Analysis, and Listening*, 1<sup>st</sup> ed. (New York: Oxford University Press, 2003), 695.

<sup>13</sup> Simpson, *Carl Nielsen*, 86-7.

<sup>14</sup> Robert Simpson, *Carl Nielsen: Symphonist*, rev. ed. (New York: Taplinger Publishing Co., Inc., 1979), 113-15. Interestingly, Simpson refers to the “emergent” process as “progressively strengthening” the goal tonality. William Jones also comes to the same conclusion as Simpson, but refers to it as “evolving tonality.” See William Jones, *A Study of Tonality in the Symphonies of Carl Nielsen*, Ph.D. diss. (Florida State University, 1973), ii.

<sup>15</sup> David Fanning, *Nielsen; Symphony no. 5* (Cambridge: Cambridge University Press, 1997), 102. The circled numbers represent the following measure numbers: A1 (1-43), 2 (44-71), 3 (71-109), 4 (109-45), 5 (145-66), 6 (166-94), 7 (195-243), 8 (243-67), B1 (268-83), B2 (284-318), B3 (319-76), B4 (377-400).

Yet another interpretation of “progressive tonality” is that it can be used to describe pieces that oscillate between keys. This association originally began with Newlin’s claim that Mahler’s *Das Lied von der Erde* is “tonally progressive.”<sup>16</sup> Newlin’s observation that the cycle begins and ends in different keys is correct, but various theorists argue that she fails to realize the true relationship between the oscillating keys.<sup>17</sup> As is shown by V. Kofi Agawu in his analysis, the cycle lacks large scale dominants, thus calling into question the syntactic connection between the successive tonal centers (Figure 2.4). Agawu also points out that the cycle ends on a sonority



Figure 2.4: Agawu’s analyses of Mahler’s *Das Lied von der Erde*<sup>18</sup>

<sup>16</sup> Newlin, *Bruckner*, 199.

<sup>17</sup> Theorists that discuss the oscillation, or “double-tonic complex,” in Mahler’s *Das Lied von der Erde* include Christopher Lewis (1984), V. Kofi Agawu (1986), and Graeme Downes (1994). Lewis cites Robert Bailey as first presenting the idea in Bailey’s paper, “*Das Lied von der Erde*: Tonal Language and Formal Design,” Paper read before the Forty-Fourth Annual Meeting of the American Musicological Society (21 October 1978).

<sup>18</sup> Agawu, “Mahler’s Tonal Strategies,” 18.

consisting of the combination of the two tonic chords that provide the tonal foci of the cycle, C major and A minor.<sup>19</sup> This closing sonority further proves the previously stated argument that since oscillating keys do not produce sections that have definitive keys, the tonic chord that such a work begins and ends on is structurally arbitrary. Christopher Lewis and Jim Samson makes a similar claim that “progressive tonality” occurs in oscillating works, e.g. in the prelude and first act of Wagner’s *Tristan und Isolde*.<sup>20</sup> A slightly different structural type, just as ambiguous as oscillation, is described by Marjorie Hirsch as exemplifying “progressive tonality”: works that frequently change keys and end in different keys than they began, such as Schubert’s *Prometheus* D. 674.

In review, “progressive tonality” has been used to analyze the following structures: works with a single tonic that begin with an auxiliary cadence, works that have two established tonics that occur in succession, and works that are ambiguous due to oscillation between keys or rapid succession through various keys. With the above analyses, it can be concluded that “progressive tonality” is used as a larger category that includes works that truly begin in one key and progress to another as well as other works that display completely different compositional techniques. “Progressive tonality” is therefore too broad to be used as a specific term for pieces that truly begin and end in different keys.

### Directional Tonality

The next most popular set of terms is the more recent “monotonicity” and “directional tonality.” These terms replace “concentric tonality” and “progressive tonality” respectively. “Monotonicity” was originally used by Schoenberg to mean the same thing as “concentric

---

<sup>19</sup> Agawu presents the idea that this concluding sonority be labeled as a “double” or “bi-triadic background.” See Agawu, “Mahler’s Tonal Strategies,” 17-21.

<sup>20</sup> Christopher Lewis, “Mirrors and Metaphors: Reflections on Schoenberg and Nineteenth-Century Tonality,” *19<sup>th</sup> Century Music* 11/1 (Summer 1987): 29. Jim Samson, *Music In Transition* (New York: W.W. Norton and Company, Inc., 1977), 8-9.

tonality,” but Schoenberg used it to contrast conventional tonality to bi- and polytonality rather than to pieces that begin and end in different keys.<sup>21</sup> Later, theorists who refer to pieces that begin and end in different keys as “directional tonality” typically use the term “monotonicity” for contrast. The term “directional tonality” came into use by some of Robert Bailey’s students, who claim that he coined it and used in his lectures to refer to pieces that begin and end in different keys.<sup>22</sup>

Deborah Stein, a student of Bailey, was the first to extensively discuss “directional tonality” and provide detailed analyses of the phenomenon. As is seen in her graph of Wolf’s *Lebewohl*, Stein uses “directional tonality” to analyze works that exhibit a dual tonic structure (Figure 2.5). On the other hand, as in her analysis of Wolf’s *Mir ward gesagt*, Stein also shows that “directional tonality” can be used to account for pieces that begin with tonally ambiguous passages or with auxiliary cadences that resolves to a single tonic (Figure 2.6).

Figure 2.5 shows a musical score for piano and voice. The piano part is in G-flat major (two flats). The voice part is in D-flat major (three flats). Above the staff, there are numbers 4., 9., and 13. with arrows pointing to specific measures. Below the staff, there are Roman numerals for the piano and voice parts. The piano part has Roman numerals: I (III) V, I, V, I, IV, III, VI, VI, II, V, I, V, I. The voice part has Roman numerals: I, III, VI, VI, II, V, I, V, I.

Figure 2.5: Stein’s analysis of Wolf’s *Lebewohl*<sup>23</sup>

<sup>21</sup> Arnold Schoenberg, *Structural Functions of Harmony*, rev. ed. Edited by Leonard Stein (New York: W.W. Norton and Company, Inc., 1969), 19.

<sup>22</sup> Bailey’s students who attribute the term to him include Harald Krebs (1980, 174; 1989, 432; 1991, 49), Deborah Stein (1982, 209; 1985, 228), and Patrick McCreless (1983, 61). Oddly, Bailey does not seem to use this term in any of his published writings, at least that I have found. In McCreless’s citation, he mentions a “forthcoming” article of Bailey’s that was supposedly going to use and define “directional tonality,” but unfortunately the article seems to have never been published.

<sup>23</sup> Deborah Stein, *Hugo Wolf’s Lieder and Extensions of Tonality* (Ann Arbor: UMI Research Press, 1985), 169.



5. 8. 10. 13. 14. 15. 16. 17.

5 10 10 5 10 5 (7) 7 6 4 7

[e/G/b]: I V V  
 F# min: IV IV I  
 B min: I I V  
 D: I IV V/V  
 I IV V/V II  
 V/V VII IV V I

Figure 2.6: Stein's analysis of Wolf's *Mir ward gesagt*<sup>24</sup>

William Kinderman presents an alternative method of identifying “directional tonality” than Stein, but ultimately ends up confirming that works that begin with auxiliary cadences are examples of “directional tonality.” One example of this is his analysis of Chopin's Fantasy op. 49 (Figure 2.7).<sup>25</sup>

Introduction – ‘March’				Exposition				‘Development’				Recapitulation				Coda
f (A <sup>b</sup> )	(E)	f	(f) (A <sup>b</sup> ) etc. (bars 43ff.)	I	II	III	IV					I	II	III	IV	
				f	A <sup>b</sup>	c	E <sup>b</sup>	(c)	(G <sup>b</sup> )	(E <sup>b</sup> )	G <sup>b</sup>	B	b <sup>b</sup>	D <sup>b</sup>	f	A <sup>b</sup>
				(bar 68 – 143)				(bar 199)				(bar 235 – 310)				A <sup>b</sup>
				f → A <sup>b</sup> → c → E <sup>b</sup>				G <sup>b</sup> → [B] →				b <sup>b</sup> → D <sup>b</sup> → f → A <sup>b</sup>				
				(chain of ascending thirds)												

Figure 2.7: Kinderman's analysis of Chopin's Fantasy op. 49<sup>26</sup>

The arrows show that Kinderman considers A<sup>b</sup> major as the goal of all of the material prior to its arrival. Kinderman also shows direction by pointing out the ascending third progression found in the “exposition” that leads to the dominant of A<sup>b</sup> major. That same progression of thirds reappears in the “recapitulation” transposed so as to resolve to A<sup>b</sup> major. A Schenkerian analysis

<sup>24</sup> Ibid., 161.

<sup>25</sup> Boyd Pomeroy also uses “directional tonality” to describe many of Chopin's works that are considered to have auxiliary cadences. These include Chopin's Scherzo op. 31, Sonata no. 2, op. 35, Fantasy op. 49, and Prelude op. 28, no. 2. See Boyd Pomeroy, “Tales of Two Tonics: Directional Tonality in Debussy's Orchestral Music,” *Music Theory Spectrum* 26 (2004): 88.

<sup>26</sup> William Kinderman, “Directional Tonality in Chopin,” in *Chopin Studies*, ed. Jim Samson, 59-75 (New York: Cambridge University Press, 1988), 67.



of the Fantasy by Carl Schachter displays the auxiliary cadence in a more visible way (Figure 2.8).

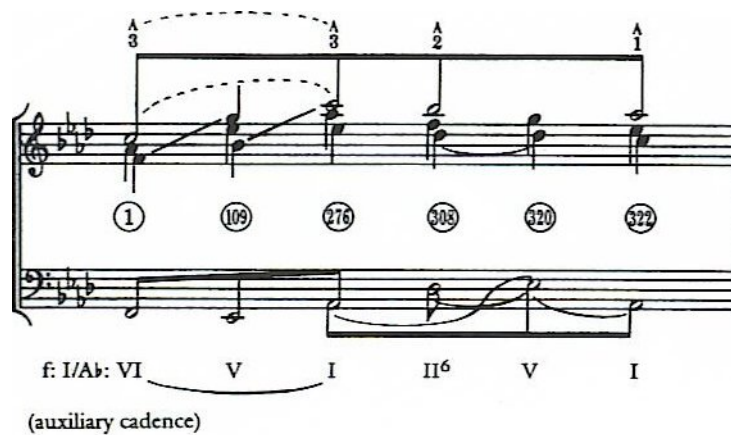


Figure 2.8: Schachter's analysis of Chopin's Fantasy op. 49<sup>27</sup>

Just as in the analyses of “progressive tonality,” oscillating tonalities are considered to be a kind of “directional tonality.” The most noted example of this is in Wagner's music, particularly in *Tristan und Isolde*. Both Kinderman<sup>28</sup> and Patrick McCreless argue this point, but McCreless is the only one who explicitly explains how this type of “directional tonality” operates:

[Directional tonality] concerns not so much prolongation of a tonality as the gradual turning from one key to another. Generally, in such works, the initial and final tonalities are “associative” or “cross-referential” in their own right. Structural depth is achieved by cross-relating these keys at a number of levels – at the level of large sections or scenes, or of subsections, or of brief passages, or even individual chords. Thus... the entire prologue and act 1 of *Götterdämmerung* progresses from E<sup>b</sup> to B, and this large-scale progression is reflected (or foreshadowed by) the first two chords, E<sup>b</sup> and C<sup>b</sup>.<sup>29</sup>

<sup>27</sup> Carl Schachter, “Chopin's Fantasy, op. 49: The Two-Key Scheme,” in *Chopin Studies*, ed. Jim Samson, 221-53 (New York: Cambridge University Press, 1988), 226.

<sup>28</sup> William Kinderman, “Dramatic Recapitulation and Tonal Pairing in Wagner's *Tristan und Isolde* and *Parsifal*,” in *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 187 (Lincoln: University of Nebraska Press, 1996).

<sup>29</sup> Patrick McCreless, “Ernst Kurth and the Analysis of the Chromatic Music of the Late Nineteenth Century,” *Music Theory Spectrum* 5 (1983): 61-2.

According to McCreless, prolonged tonics do not have to be present in “directionally tonal” pieces. The more important aspect is to alternate between keys so as to reflect the overall tonal scheme, or in other words to create hidden repetitions. This compositional technique, therefore, causes oscillating tonalities and a lack of prolongation, hence why McCreless does not require prolongation to be present in such works. In conclusion, “directional tonality” or “progressive tonality” is not suitable for use when exclusively referring to pieces that clearly move from one tonality to another. A more precise term and analytical approach is needed to discuss such works.

### Interlocking Structures

Graham George employs a completely different analytical approach and terminology for pieces that begin and end in different keys: “interlocking structures.” As is evident in his analysis of Mahler’s Second Symphony, George shows how different tonalities “interlock” with one another (Figure 2.9). George attempts to show that C major/minor and E<sup>b</sup> major/minor are “closed” structures. In other words, he contends that two complete tonal structures are being prolonged simultaneously. It is indeed interesting to see the large scale connections of key occurrences, but George fails to show two “closed” structures in his analysis. If the first movement has a single tonic of C minor, then the first E<sup>b</sup> minor tonicization would be heard as in the context of that key rather than as the beginning of a new structure. Without providing a clear sense of well delineated tonal structures and how the music moves from one to another, George’s analyses are only an intricate way of listing successive tonicizations throughout a composition.

It should be mentioned that George’s analyses are apt at displaying one type of structure: oscillation of tonalities. His analysis of Nielsen’s *Sinfonia Espansiva* provides an extremely visible alternation of D major/minor and B major/minor (Figure 2.10). But as previous

discussed, oscillation between keys is a different compositional technique than moving from one distinct tonal structure to another. Therefore, George's theory of "interlocking structures" is not suitable for pieces that change from one key to another.

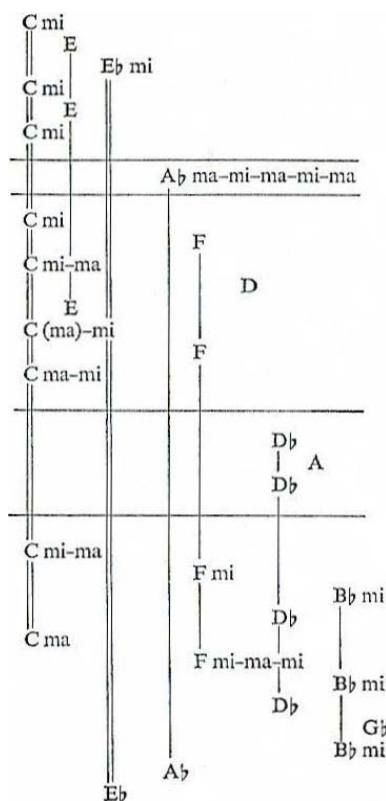


Figure 2.9: George's analysis of Mahler's Second Symphony<sup>30</sup>

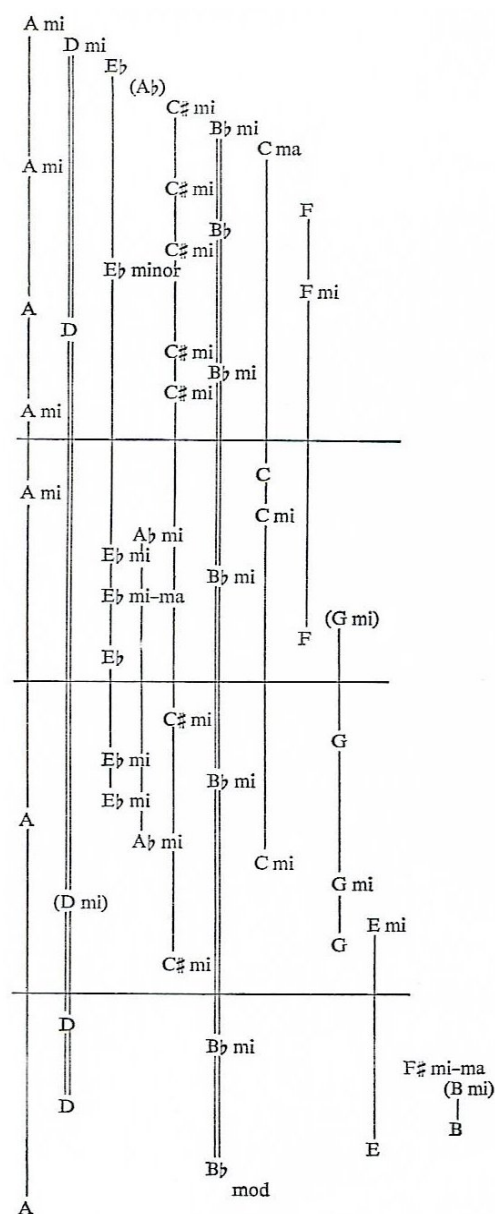


Figure 2.10: George's analysis of Nielsen's *Sinfonia Espansiva*<sup>31</sup>

<sup>30</sup> Graham George, *Tonality and Musical Structure* (New York: Praeger Publishers, 1970), 193. Major tonalities are shown by 'ma' following a letter or a letter by itself, and minor by 'mi.' Horizontal lines show where

## Background Conglomerate

The only other well publicized system to be used for describing and analyzing pieces that truly begin and end in different keys is Harald Krebs's "background conglomerate" approach. Figure 2.11 shows Krebs's analysis of Schubert's *Klage* D. 346. As is apparent in Krebs's analysis, his Schenkerian approach clearly reflects two tonal structures that occur within this Lied. Unlike the other approaches, the "background conglomerate" approach has only been used to analyze pieces that clearly move from one tonal structure to another. The single exception to this is that Krebs originally considered pieces with oscillating tonalities to be "background conglomerates," but he later dismisses this notion and clearly states that such pieces belong in their own separate category.<sup>32</sup> Since Krebs's "background conglomerate" style of analysis has been solely used for pieces containing two or more prolonged tonics that occur in succession, it is the only approach that is specific enough to be applied to such pieces.



Figure 2.11: Krebs's analysis of Schubert's *Klage* D. 346<sup>33</sup>

---

movements begin and end. Vertical lines help show the relative importance of each key and double vertical lines show the most important keys.

<sup>31</sup> Ibid., 205.

<sup>32</sup> Harald Krebs, "Tonal Structure in Nielsen's Symphonies: Some Addenda to Robert Simpson's Analyses," in *The Nielsen Companion*, ed. Mina Miller, 209-10 (Portland: Amadeus Press, 1994).

<sup>33</sup> Harald Krebs, "The Background Level in Some Tonally Deviating Works of Franz Schubert," *In Theory Only* 8/8 (December 1985): 7. This analysis is discussed in greater detail in Chapter 4.

## Conclusions on Terminology

The remainder of this study will develop and explore the implications of the Krebsian background conglomerate, which produces the most fitting conceptual framework for pieces that begin and end in different keys. Not only do the analyses that Krebs provides of background conglomerates reflect how such works are constructed, but the actual term “background conglomerate” captures a sense of the coherent but heterodox structure of an understudied collection of works. The first of the two words, “background,” implies a Schenkerian sensibility. This is appropriate since Krebs’s work capably demonstrates that Schenkerian graphic analysis is the best means of portraying multiple tonal structures within a single piece and explaining their relationship to the work as a whole. The second word, “conglomerate,” implies the presence of two or more structural units. In Schenkerian terms, this means the coexistence of two or more Ursätze: in order for two or more distinct Ursätze to occur, the key structures need to be in succession rather than in oscillation. Therefore, “background conglomerate” succinctly differentiates the structure of a piece that contains two or more tonics from polytonal, oscillating, or auxiliary cadence structures.

Next, the terminology concerning the number of tonics within a piece needs to be addressed. By far the most popular terms are Newlin’s “concentric tonality” and Schoenberg’s “monotonicity.” It only makes sense to choose between these because of their wide acceptance. I propose that “concentric tonality” be used rather than “monotonicity.” The major argument against “monotonicity” is its inherent association with bitonicity and polytonality, for which monotonicity is the etymological antonym. Because “polytonality” is unavoidably associated with music in which more than one tonal center occurs at one time, it is not available to describe otherwise conventionally tonal pieces in which two or more tonal centers succeed one another;

writers who wish to borrow Schoenberg's terminology thus must use the clumsy term "non-monotonicity" to discuss such pieces.<sup>34</sup> The use of such cumbersome terminology seems unnecessary when "concentric tonality" is an option.

With an argument made for the use of "monotonicity's" antonym, it is only fitting that the antonym for "concentric tonality" be argued for as well. Sarah Reid uses "non-concentric tonality" in this way, but this incorrectly implies that no center of gravity is present and would thus describe atonality.<sup>35</sup> Besides, why use "non-concentric" when the antonym for "concentric" is "eccentric"? The following is the first entry for eccentric found in the *Oxford English Dictionary*: "Of a circle: Not concentric with another circle... Of two or more circles: Not mutually concentric. Chiefly used of circles of which one is within the other." What better antithesis to "concentric tonality" could there be, therefore, than eccentric tonality?<sup>36</sup> It is also true that "eccentric" is commonly known to refer to something that is out of the ordinary. This definition is also suitable when concentric tonality is considered to be "ordinary" tonality. A final argument for "concentric tonality" is that so many descriptions of tonality includes similes

---

<sup>34</sup> There has been a recent argument by Peter Kaminsky for the abandonment of the term "polytonality." He proposes that "superimposition" be used instead. If this bold assertion takes hold and the prior meaning of polytonality is discarded, then it is feasible that polytonality could be used to refer to pieces with more than one tonic. While this change is possible, it is not likely to happen any time soon, if ever, since polytonality is so well established. See Peter Kaminsky, "Ravel's Late Music and the Problem of *Polytonality*," *Music Theory Spectrum* 26 (2004): 237-64.

<sup>35</sup> Sarah Reid, *Tonality's Changing Role: A Survey of Non-Concentric Instrumental Works of the Nineteenth Century*, Ph.D. diss. (University of Texas at Austin, 1980).

<sup>36</sup> Thomson uses "eccentric" in his book on tonality, but he only uses it when discussing single-line melodies that end off-tonic. Since it is only used in conjunction with single pitches and no discussion of tonal centricity appears near by, Thomson is using "eccentric" in a purely descriptive manner. See William Thomson, *Tonality in Music* (San Marino: Everett Books, 1999), 301-302. An odd occurrence of "eccentric" takes place in the abstract of an article by Lewis. The reason it is odd is that Lewis uses "eccentric foreground" in his abstract, but never in the article itself. Lewis's usage turns out to be the same as Thomson's: descriptive. Lewis discusses Edward Cone's idea of "tonal normal" and that there are surface sonorities that conflict with tonal normal, thus resulting in Lewis's description of an "eccentric foreground." See Christopher Lewis, "Mirrors and Metaphors," 35.

or metaphors that draw on gravity, planets, the solar system, etc., that it seems appropriate to use concentricity as the basis for terminology.<sup>37</sup>

Now that satisfactory terminology has been chosen, the next step is to provide concise definitions:

- 1) Concentric tonality: a hierarchy of pitch classes and chords that has one central pitch class, and the triad built on it, to which all other gravitate.
- 2) Eccentric tonality: any system of pitch classes and chords that is not governed by concentric tonality.
- 3) Background conglomerate: A fundamental structure that includes the prolongation of two or more triads.

With these terms and definitions, a foundation is provided for the development and exploration of background conglomerates.

---

<sup>37</sup> Joseph Yasser is one example of the many theorists who rely heavily on “gravity” and “centricity” for their explanations of tonality. In his glossary, Yasser defines tonality as a “principle which organically and tonocentrically unites the functions of a certain number of systematically arranged sounds (as most simple represented in a musical scale) in their melodic and harmonic aspects.” Other terms are defined that arise from his definition of tonality: tonal center, intertonal gravitation, and tonocentric system. See Joseph Yasser, *A Theory of Evolving Tonality* (New York: American Library of Musicology, Inc., 1932). The entry for “tonality” in *The Harvard Dictionary of Music* also mentions “tonal centers” and “tone-centering properties.” See Mark DeVoto, “Tonality,” in *The Harvard Dictionary of Music*, 4<sup>th</sup> edition, edited by Don Michael Randel, 898-99 (Massachusetts: Belknap Press of Harvard University Press, 2003).

## CHAPTER 3: RECOGNIZING BACKGROUND CONGLOMERATES

### Requirements for Background Conglomerates

General criteria must be established to decide whether or not the tonal structure of a piece constitutes a background conglomerate. An outline of such criteria is presented in this chapter. A defining property of the background conglomerate is that a succession of two or more tonics needs to be clearly prolonged. In this light, pieces with initial auxiliary cadences that lead to a single tonic prolongation are not background conglomerates.<sup>38</sup> Similarly, when a piece begins with a tonally ambiguous opening (or concludes with an ambiguous ending) that eventually reaches a single clear tonic, the piece is tonally concentric because only one tonic is present. The ambiguous material cannot be analyzed within a key because there is no definite tonic – dominant relationship, which means that there is no governing tonic for its duration. The ambiguous material should be interpreted as such rather than trying to force a tonic on it. As mentioned in the previous chapter, a work with an ambiguous opening would be a fitting situation in which to use Simpson's concept of emergent tonality; the tonic emerges out of vagueness. Another point discussed in the previous chapter is that structures that oscillate between keys have been mistakenly referred to as constituting background conglomerates. As seen in Krebs's analysis of Schubert's *Sehnsucht der Liebe*, D. 180, attempting to show two prolonged tonics in an oscillating situation is rather awkward (Figure 3.1). It is also doubtful that listeners are able to comprehend the *Ursätze* of each tonic when they overlap, creating conflicting claims on foreground events, up as they are in this analysis. Unless two or more

---

<sup>38</sup> The only exception is when a background conglomerate has an auxiliary cadence itself. The piece would still be heard as having more than one tonic, just that the opening to the initial tonic would begin off-tonic. An intriguing situation could arise if there was a background auxiliary cadence combined with a background conglomerate.



tonics are unequivocally prolonged in the background, the piece is not governed by a background conglomerate.

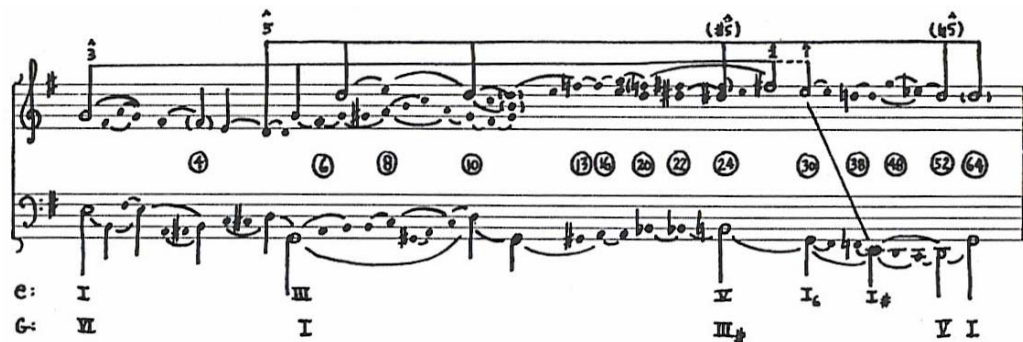


Figure 3.1: Krebs's analysis of Schubert's *Sehnsucht der Liebe*, D. 180<sup>39</sup>

The next defining property of a background conglomerate is that the non-final tonic triads must each be prolonged for a durationally significant time span: in other words, it must be durationally salient. The final tonic is automatically significant since it is the last tonic heard and may therefore occupy a shorter time span than its predecessors. In order to be considered a full-fledged tonic instead of an auxiliary cadence or illusory key, the prolongational span of each non-final tonic should be commensurate to that of any of the other non-final tonics. If the first of two potential tonics was only prolonged for a small fraction of the piece, it might be heard as an auxiliary cadence and not as an actual prolongation. Likewise, if the middle of three potential tonics was prolonged for considerably less time than the others, it would function as a tonicization and therefore an illusory key within one of the other tonic spans. With longer pieces, the issue of duration becomes more important. The initial tonic is aurally retained with ease in a short work, but becomes easier to forget in a more substantial work. If the final tonic in a lengthy movement is prolonged for a much longer period of time than any other tonic, the listeners are likely to become so grounded in the final key that they may forget what keys have

<sup>39</sup> Krebs, "The Background Level," 15.

previously occurred. When this situation arises, the final tonic is heard as the most important simply because the others have been forgotten. An analysis that properly reflects this situation would show concentric tonality with all of the “tonics” being subordinate to the final tonic.

The last property of a background conglomerate is that the final tonic prolongation has to have a complete *Ursatz*. The final key of a background conglomerate needs to provide closure for the movement as a whole. The background structures of previous prolongations need not be complete because the final key is providing closure. The non-final keys need only to be established and have durational salience in order to be recognized. This requirement for final completeness also weeds out pieces that are concentrically tonal, but end off-tonic.<sup>40</sup> The most typical example of this would be a half cadence that ends one movement and leads into the next movement of the same key. Another situation can arise between two movements with different keys; the first movement is concentric with a complete *Ursatz*, but then a transitory expansion occurs that leads into the following movement; here, an off-tonic ending serves as a transition. Off-tonic endings then do not have complete *Ursätze* due to their transitory function and therefore do not contribute to the formation of a background conglomerate.

To review, a piece must meet the following criteria to be considered background conglomerates:

- 1) More than one tonic is clearly prolonged.
- 2) Each tonic prolongation has durational salience.
- 3) The final tonic prolongation includes a complete *Ursatz*.

If a piece fails to meet these requirements, it is not necessarily tonally concentric; it could be an example of some other type of eccentric tonality. With these three conditions in place, it should be relatively easy to classify whether or not a piece is governed by a background conglomerate.

---

<sup>40</sup> As with auxiliary cadences, it would be interesting to find an example of a background conglomerate with an off-tonic ending.

## Chopin's Prelude op. 28, no. 2

A piece that epitomizes the lack of agreement over classification is Chopin's Prelude op. 28, no. 2 (Figure 3.2). Analyses of the piece have placed it into one of three general categories: as a concentric piece with an auxiliary cadence, as a concentric piece with an ambiguous



Figure 3.2: Chopin's Prelude op. 28, no. 2<sup>41</sup>

<sup>41</sup> Frédéric Chopin, "Prelude op. 28, no. 2," in *Frédéric Chopin: Complete Preludes and Etudes for Solo Piano*, ed. Ignacy Paderewski, Ludwik Bronarski, and Józef Turczyński, 2 (New York: Dover Publications, Inc., 1980).

opening, or as a background conglomerate. The most influential analysis of this prelude is Schenker's analysis from *Free Composition* (Figure 3.3).<sup>42</sup> As can be seen, Schenker analyzes the prelude as exemplifying concentric tonality with an auxiliary cadence. According to his analysis, V of A minor is stated at the outset of the prelude and is prolonged for the majority of the piece.

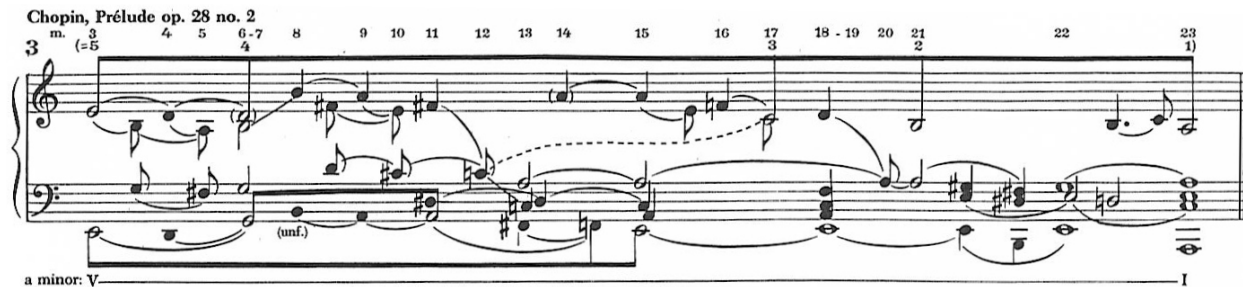


Figure 3.3: Schenker's analysis of Chopin's Prelude op. 28, no. 2<sup>43</sup>

Cheryl Noden-Skinner's analysis of the prelude largely agrees with Schenker's, but places stronger emphasis on its motivic structure (Figure 3.4). The most obvious difference between the two analyses is that Noden-Skinner uses slurs to highlight the melodic motive whereas Schenker employs them to show voice-leading connections. A subtler but more important difference between the graphs is where white noteheads are used. Most notably, Noden-Skinner shows the B<sup>2</sup> in m. 8 as having more structural weight than the A<sup>2</sup> that follows it.

<sup>42</sup> Theorists who agree with Schenker's analysis include Robert Lau (1979), Cheryl Noden-Skinner (1984), Jim Samson (1985), Marianne Kielian-Gilbert (1986), and Anatole Leikin (1997). Leikin claims that Samson discusses the prelude in great detail as well as the history of analyses on it, but Samson does not. He does discuss the prelude, but only on pages 144 and 154, not 142-58 as Leikin seems to believe. See Anatole Leikin, "Chopin's A-Minor Prelude and its Symbolic Language," *International Journal of Musicology* 6 (1997): 150, and Jim Samson, *The Music of Chopin* (London: Routledge and Kegan Paul, 1985), 142-58.

<sup>43</sup> Schenker, *Free Composition*, Figure 110 a3. In his earlier analysis of the prelude, Schenker considered the E minor triad to be VI of G major. See Schenker, *Harmony*, 251-52. This discrepancy is most likely due to his undeveloped idea of auxiliary cadences when he wrote *Harmony*. Schenker initially refers to off-tonic beginnings as "inverted harmonic development," but he only gives middleground examples. See Schenker, *Harmony*, 34-6. Later, in *Free Composition*, he develops the idea further to include background occurrences as well, as seen in the prelude.

While this helps reinforce the reading that the E triad is being prolonged, it is questionable on grounds of duration and overall harmonic coherence: the B<sup>2</sup> in m. 8 only lasts for one measure and, as Schenker's analysis suggests, is most plausibly interpreted as an incomplete neighbor to the A<sup>2</sup> in the following measure. That A<sup>2</sup> is then sustained for 4 measures (indeed, Schenker shows that it is prolonged in the deep middleground until m. 21), much longer than the duration of the B<sup>2</sup>, which assumes the role of a reaching-over. This detail, however, leads one to question a feature in Schenker's analysis; since this B<sup>2</sup> acts as a neighbor to A<sup>2</sup>, would not the same relationship apply to the initial E<sup>2</sup> and D<sup>2</sup>? Perhaps Noden-Skinner attempts to address this, but her reading of the B<sup>2</sup> in m. 8, which is so fleeting and weak, is ultimately unconvincing.

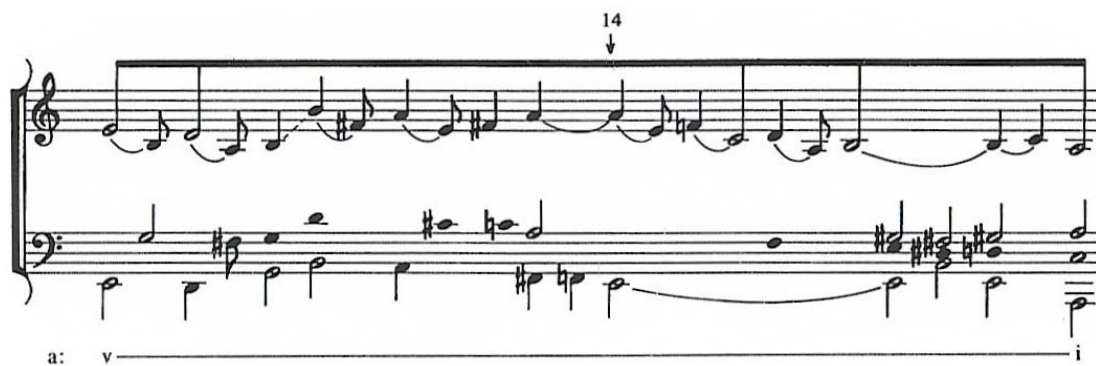


Figure 3.4: Noden-Skinner's analysis of Chopin's Prelude op. 28, no. 2<sup>44</sup>

Most of the published analyses of Op. 28 No. 2 disagree with Schenker's reading of the prelude's tonal structure. Leonard Meyer's analysis differs from Schenker's auxiliary cadence approach by showing concentric tonality with an ambiguous opening (Figure 3.5).<sup>45</sup> Even though Meyer does not provide a true Schenkerian graph, his reduction and roman numerals clearly show his intentions; phrases are sequentially repeated until A minor has arrived. Motivic

<sup>44</sup> Cheryl Noden-Skinner, "Tonal Ambiguity in the Opening Measures of Selected Works by Chopin," *College Music Symposium* 24/2 (Fall 1984): 32.

<sup>45</sup> Other theorists who have similar conclusions include Rose Subotnik (1978), Michael Rogers (1981), Reed Hoyt (1985), Lawrence Kramer (1985), Agawu (1987), and Laitz (2003).

patterns are actually what lead Meyer to his harmonic analysis. Figure 3.6 provides the three motives found in the prelude: a descending second motion, a descending third motion, and an octave leap.<sup>46</sup> Meyer provides a convincing argument that the motivic pattern is clearly disrupted between m. 14-16.<sup>47</sup> This disruption turns out to be important because it structurally articulates where the piece begins to truly imply A minor.



Figure 3.5: Meyer's harmonic analysis of Chopin's Prelude op. 28, no. 2<sup>48</sup>

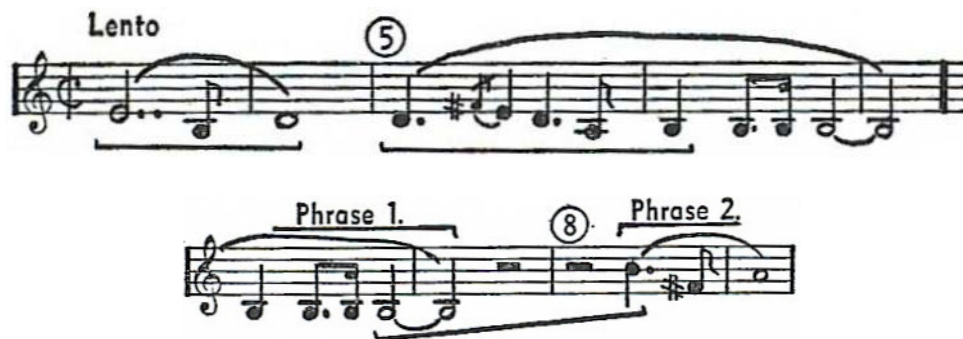


Figure 3.6: Meyer's motivic analysis of Chopin's Prelude op. 28, no. 2<sup>49</sup>

<sup>46</sup> Noden-Skinner emphasizes melodic motives in her analysis, but has a different take on the motivic structure. Instead of showing a series of descending seconds and thirds, Noden-Skinner shows a chain of descending perfect fourths, each resolving up by step or minor third. Even with this difference in motivic structure, her sequence is broken at m. 14, as are all of the other analyses considered.

<sup>47</sup> Leonard Meyer, *Emotion and Meaning in Music* (Chicago: The University of Chicago Press, 1956), 95.

<sup>48</sup> Ibid., 94-95.

<sup>49</sup> Ibid., 94.

Both the melody and the harmony make a decisive turn towards A minor during mm. 14-16. Meyer's harmonic analysis shows that the harmonic sequence is disrupted when the piece turns towards A minor. Meyer then notes that if the sequence were to continue unaltered, it would have arrived naturally at A minor (Figure 3.7). Chopin's alterations to the harmonic sequence produce tonal ambiguity in m. 11-14 that raises doubt as to the goal of the passage. This doubt is then increased by the break in the melodic pattern and harmonic sequence. All of these events combine to make the arrival of A minor stand out even more from the preceding material. According to Meyer's analysis, A minor "emerges" as tonic out of "directed" ambiguity, effectively showing that the prelude has concentric tonality.

$$\begin{array}{l} \text{G: VI} - \text{V}_4^6 \text{ : } \frac{5}{3} - \text{I} \\ \text{D: (IV)} - \text{VI} - \text{V}_4^6 \text{ : } \frac{5}{3} - \text{I} \\ \text{a: (IV)} - \text{VI} - \text{V}_4^6 \text{ : } \frac{5}{3} - \text{I} \end{array}$$

Figure 3.7: Meyer's continuation of the harmonic sequence<sup>50</sup>

Another analysis of the prelude that is worth mentioning is by Michael Rogers (Figure 3.8). What is noteworthy about his interpretation of the prelude is that his extremely different analytical technique reinforces Meyer's analysis. Unlike any other analysis of the work, Rogers bases his analysis on temporal events rather than melodic and harmonic details. Rogers believes that durational organization helps clarify the ambiguities created by the melody and harmony of the prelude. Using the same motivic analysis as Meyer, Rogers concentrates on the proportions created by the motives. Interestingly, a wealth of golden-section relationships occurs throughout

---

<sup>50</sup> Ibid., 96. The first phrase in G has been added to Meyer's original example to show the entire progression. Also, the roman numerals given here differ slightly from Meyer's; the cadential  $\frac{6}{4}$ 's are labeled as  $\text{V}_4^6 \text{ : } \frac{5}{3}$  rather than  $\text{I } \frac{6}{4} - \text{V } \frac{5}{3}$ .



the prelude.<sup>51</sup> The arrival of A minor's cadential  $\frac{6}{4}$  at m. 15, which signals the start of dominant harmonic function, is also the most important durational event of the piece since it lies on the golden section of the whole prelude.

Rogers's motivic analysis also emphasizes this important event: the first melodic descent of the prelude outlines a minor seventh that is constructed of alternating major seconds and minor thirds. The second melodic descent begins at m. 14, this time outlining a minor seventh with only minor thirds. Not only do the descending minor sevenths accentuate the turning point of the prelude, but the intervallic structure of the minor sevenths descents contribute to it as well. Even though Rogers uses different means to construct his graphic analysis and does not show the sequence as explicitly, his analysis concurs with Meyer's in that the prelude begins with tonal ambiguity that is resolved to A minor.<sup>52</sup>

Figure 3.8 shows a musical score for Chopin's Prelude op. 28, no. 2. The score is written for piano, with a treble and bass staff. The treble staff contains a melodic line with notes labeled 'a', 'b', 'a', 'b', 'b'', 'b', 'b'. The bass staff contains a harmonic line with notes labeled 'D: vi', 'V', '?', 'V'. A bracket labeled 'minor 7th' spans from measure 3 to measure 8. Another bracket labeled 'minor 7th' spans from measure 14 to measure 23. Measure numbers 3, 8, 14, 15, and 23 are indicated. Below the staff, Roman numerals are listed: G: vi V I, A/a: IV/IV, IV, V, i.

Figure 3.8: Rogers's analysis of Chopin's Prelude op. 28, no. 2<sup>53</sup>

<sup>51</sup> The golden section is basically 0.618034 and can be represented mathematically as  $\frac{1}{2}(\sqrt{5}-1)$ . Rogers includes a margin of error of 2% for his analysis.

<sup>52</sup> Even though it appears that Rogers is emphasizing E<sup>2</sup> in his "Schenkerian" graph, he does not advocate this emphasis anywhere in his article and stresses that the prelude has "myriad blurrings."

<sup>53</sup> Michael Rogers, "Chopin, Prelude in A Minor, Op. 28, No. 2," *19<sup>th</sup> Century Music* 4/3 (Spring 1981): 247.



Only two theorists, Deborah Stein and William Kinderman, argue that the structure of this prelude is a background conglomerate.<sup>54</sup> Of the two, Stein is the primary advocate since Kinderman only states that the prelude begins and ends in different keys with no further explanation or analysis.<sup>55</sup> One of Stein's own requirements for a piece to be a background conglomerate is that the first prolonged tonic needs to be convincingly established. Unfortunately, her analysis of the prelude does not reflect this (Figure 3.9). Stein even admits that the prelude begins ambiguously in either E minor or G major, or even both!<sup>56</sup> Stein's analysis noticeably contradicts her own requirements stated only two pages earlier.

Figure 3.9 displays Stein's harmonic analysis of Chopin's Prelude op. 28, no. 2. The analysis is presented in two systems of musical notation, each with a corresponding line of harmonic analysis below it.

**System 1 (Measures 6, 8, 10):**

- Measure 6: Analysis includes  $E\ min:I$  and  $G\ maj:VI$ .
- Measure 8: Analysis includes  $V/III$  and  $V$ .
- Measure 10: Analysis includes  $V/III$  and  $V$ .

**System 2 (Measures 12, 13, 17, 20):**

- Measure 12: Analysis includes  $III$  and  $I\ A\ min:II$ .
- Measure 13: Analysis includes  $Vb$  and  $V/III$ .
- Measure 17: Analysis includes  $VII7$  and  $VII7/V$ .
- Measure 20: Analysis includes  $V$  and  $I$ .

The musical notation shows the prelude in G major/E minor, with various accidentals and fingerings indicated. The analysis uses Roman numerals to denote chords and functional labels like 'N' for Neapolitan.

Figure 3.9: Stein's analysis of Chopin's Prelude op. 28, no. 2<sup>57</sup>

<sup>54</sup> Stein, *Hugo Wolf's Lieder*, 146-49. Kinderman, "Directional Tonality," 60. Stein and Kinderman use "directional tonality" rather than "background conglomerate." James Boyd also discusses the possibility that the prelude may exhibit "directional tonality," but never makes a firm conclusion on whether it does or not. Because of his indecisiveness, he cannot be considered as supporting any of the three types of analyses. For a more in-depth discussion of Schenker's, Meyer's, and Stein's analyses of the prelude, see James Boyd, *Tonality, Genre, and Form: Mahler's Lieder eines Fahrenden Gesellen*, Ph.D. diss., (University of Michigan, 1994), 21-41.

<sup>55</sup> Kinderman, "Directional Tonality," 60.

<sup>56</sup> Stein, *Hugo Wolf's Lieder*, 148.

<sup>57</sup> Stein, *Hugo Wolf's Lieder*, 148.

After examining three different ways of analyzing the prelude, the two concentric readings seem very possible while the background conglomerate reading is quite inadequate. The background auxiliary cadence reading is possible simply because the prelude is so short. By the time the authentic cadence in A minor is reached, it is still easy to recall the initial E minor and then hear it become transformed into the dominant seventh of A minor. The ambiguous opening reading is just as probable because it is difficult to prove that the initial E minor is prolonged through the sequential pattern, motivic patterns, and durational proportions that reinforce the patterns. In either case, both show concentric tonality. According to the requirements for background conglomerates stated above, the structure of Chopin's prelude cannot be a background conglomerate and does not represent any other type of eccentric tonality because there is only one tonic present.

#### Schubert's *Klage* D. 436

Now that an example has been presented of what a background conglomerate is not, an example of what it is should follow. An extremely clear background conglomerate can be observed in Schubert's *Klage* D. 436 (Figure 3.10). Krebs's analysis shows two distinctly prolonged tonics, F major and D minor, that each has its own complete *Ursatz* (Figure 3.11). This immediately fulfills two of the three requirements for background conglomerates listed on p.21: more than one tonic is clearly prolonged, and the final tonic prolongation includes a complete *Ursatz*.

The other requirement that needs to be investigated is durational significance. The first two strophes prolong the initial tonic, F major, and the final strophe prolongs D. This turns out to be nineteen measures in F major and ten measures in D minor; or nearly 2/3 in F major and 1/3 in D minor. F major is definitely the most proportionally significant in this song, but D

Mäßig

Dein Sil - ber schien durch Ei - chen-grün, das Küh-lung gab, auf mich her-ab, o

kei - ne Ruh mir Jüng-ling zu. Sieht's mei - ne Wan - ge blaß, mein Au - ge trä - nen-naß.

5 Mond, und lach - te Ruh mir fro - hen Kna - ben zu.

20 Bald lie - ber Freund! ach, bald be - scheint dein Sil - ber - scheinen den Lei - chen - stein, der mei - ne A - sche

10 Wenn itzt\_ dein Licht durch's Fen - ster bricht, lacht's

25 birgt, des Jüng - lings A - sche birgt.

Figure 3.10: Schubert's *Klage* D. 436<sup>58</sup>

<sup>58</sup> Franz Schubert, "Klage," in *Neue Schubert-Ausgabe IV: Lieder*, ed. Walter Dürr, Vol. 10, 166-67 (Kassel: Bärenreiter-Verlag, 2002).

minor is significant as well because it is the last tonic heard, as previously discussed in this chapter. *Klage* meets all the requirements for background conglomerates and Krebs's analysis properly indicates this. If a concentric analysis were made of this song, something along the lines of Figure 3.12 would result. This concentric reading undoubtedly misrepresents what occurs in the song. D minor cannot be heard as governing the F major section (nor visa versa). Any listener would agree that the song sounds like it is split into two sections, which Krebs's analysis adequately shows.

Figure 3.11: Krebs's background conglomerate analysis of *Klage an den Mond*<sup>59</sup>

Figure 3.12: A possible concentric analysis of *Klage an den Mond*

<sup>59</sup> Krebs, "The Background Level," 7.

### Chopin's Ballade, op. 38

A more extensive example that should be discussed is Chopin's Ballade op. 38. Theorists have disagreed on the classification of Chopin's Ballade, just as they have on the A minor Prelude: some view the piece as concentric with an off-tonic opening and others believe it is a background conglomerate. Burstein's analysis of the Ballade is representative of the off-tonic argument (Figure 3.13).<sup>60</sup> He shows a clear 5-line in A minor that is preceded by a background auxiliary cadence. The preceding incomplete upper neighbor of F major, in turn, ornaments the auxiliary cadence. Burstein uses black noteheads for the initial F major section to show that it eventually leads into the final A minor section. Since one prolonged triad is shown in his analysis, Burstein considers the Ballade to be tonally concentric.

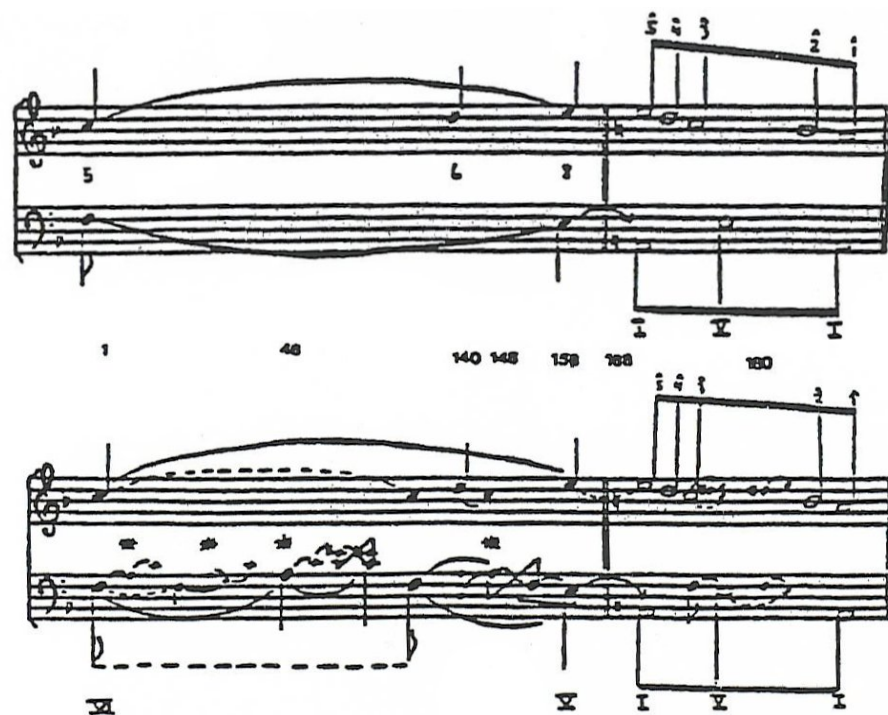


Figure 3.13: Burstein's concentric, off-tonic opening analysis of Chopin's Ballade op. 38<sup>61</sup>

<sup>60</sup> Burstein does state that a "multi-key" reading of the Ballade would provide some insight, but ultimately determines that everything leads to the A minor ending, thus making it concentric. See Burstein, *The Non-tonic Opening*, 213. Other theorists that Burstein cites as concurring with his analysis includes William Ya Deau (1980), Robert Lau (1979), Noden-Skinner (1984), Kinderman (1988), and Burstein's teacher, Carl Schachter.

<sup>61</sup> Burstein, *The Non-Tonic Opening*, 210.



Krebs's analysis of the Ballade presents the background conglomerate argument (Figure 3.14).<sup>62</sup> The first thing shown in his analysis is a prolongation of F major for at least 82 measures of the 203 measure Ballade. Following this is an ambiguous passage that approximately lasts until m. 148. Since Krebs hears this stretch of music as ambiguous, he does not give any tonality authority over its duration. A minor is finally established by m. 168 and remains in control for the remainder of the Ballade. Krebs actually points out that A minor is introduced at m. 46 during the F major section. With the dashed stemming, Krebs reflects that this is a brief tonicization and is still heard within F major. The early A minor tonicization can be heard as connecting to the final A minor section only in retrospect.

Even though Burstein's and Krebs's analyses of the Ballade is each convincing in its own way, Krebs's analysis ends up better representing the Ballade. The most questionable point in Burstein's analysis is that his more detailed level shows that the initial F major is clearly prolonged. By notating the F major portion with black noteheads, Burstein reduces it to the status of an upper neighbor in the deep middleground. Further, Burstein's analysis shows F major extending for nearly three-quarters of the total duration of the piece. How can one hear over 75% of a piece as based on a simple neighbor note? Taking this a step further, the physical proportions of Burstein's graph are faulty. According to the physical layout, the final A minor portion accounts for at least a third of the piece. In reality, the final section only takes up 17% of the entire Ballade, which is much less than what Burstein displays. The graph's inaccurate proportions contribute to the overall belittlement of F major.

Krebs, on the other hand, puts much more emphasis on the initial F major prolongation. He displays visual proportions and employs white noteheads to acknowledge the prolongation of F major. The only shortcoming of Krebs's analysis is that he does not show a complete *Ursatz*

---

<sup>62</sup> Samson also comes to the same conclusion as Krebs in 1985, 1992, and 1996.

Figure 3.14: Krebs's background conglomerate analysis of Chopin's Ballade op. 38<sup>63</sup>

<sup>63</sup> Krebs, "Alternative to Monotony," Example 4. This analysis is virtually identical to his previous analysis in *Third Relation*, Figure III.12 on pages 68-69 of his examples.

in the final key of A minor – a feature of the piece that is correctly shown in Burstein’s analysis. Figure 3.15 shows what Krebs’s deep middleground graph would look like ending with a complete *Ursatz*. With this alteration, Krebs’s analysis provides a compelling case for analyzing the Ballade as a background conglomerate; each tonic is clearly prolonged and proportionally significant, and the final tonic has a complete *Ursatz*.

From the above discussion, it is clear that Chopin's Prelude op. 28 no. 2 does not feature a background conglomerate due to a lack of two sufficiently prolonged triads; on the other hand, the tonal structures of Schubert's *Klage* D. 436 and Chopin's Ballade op. 38 are background conglomerates. It is hoped that the above criteria and case studies have cleared up misconceptions concerning potential background conglomerates.

Measure: 1 46 94 118 156 168

FM:  $\hat{5}$  Am:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

FM: I iii V I Am: V i iv<sup>6</sup> V<sup>6-5</sup><sub>4-3</sub> i

Figure 3.15: A modified version of Krebs's analysis of Chopin's Ballade op. 38



## CHAPTER 4: EXPLORING BACKGROUND CONGLOMERATES

### Background Conglomerate Scenarios

After deciding on terminology and determining what is or is not a background conglomerate, the final phase of this project is to explore what types of background conglomerates are possible. Recently, theorists have begun to recognize that different types of background conglomerates exist. The earliest example is Krebs's Schenkerian analyses of several works whose tonal structures are best classified as background conglomerates. Krebs discovers that three types of background conglomerates are possible when two triads are prolonged: first, both *Ursätze* are complete with no overlap between them (Figure 4.1); second; the initial *Ursatz* is incomplete and has no overlap with the final, complete line (Figure 4.2); and lastly, the first *Ursatz* is incomplete and overlaps with the second line that begins with a structural auxiliary cadence (Figure 4.3).<sup>64</sup>



Figure 4.1: Krebs's analysis of Schubert's *Klage* D. 346<sup>65</sup>



Figure 4.2: Krebs's analysis of Schubert's *Geistes-Gruss* D. 142<sup>66</sup>

<sup>64</sup> Krebs also includes oscillation between keys as a fourth type, but this is not a background conglomerate for reasons stated on page 5. See Figure 3.1 for Krebs's example of the fourth type. Later, Krebs rejects tonally oscillating structures as a form of background conglomerate. See page 16.

<sup>65</sup> Krebs, "The Background Level," 7. This analysis was previously discussed in Chapter 3. The music and graph appear in Figure 3.10 and 3.11 respectively.

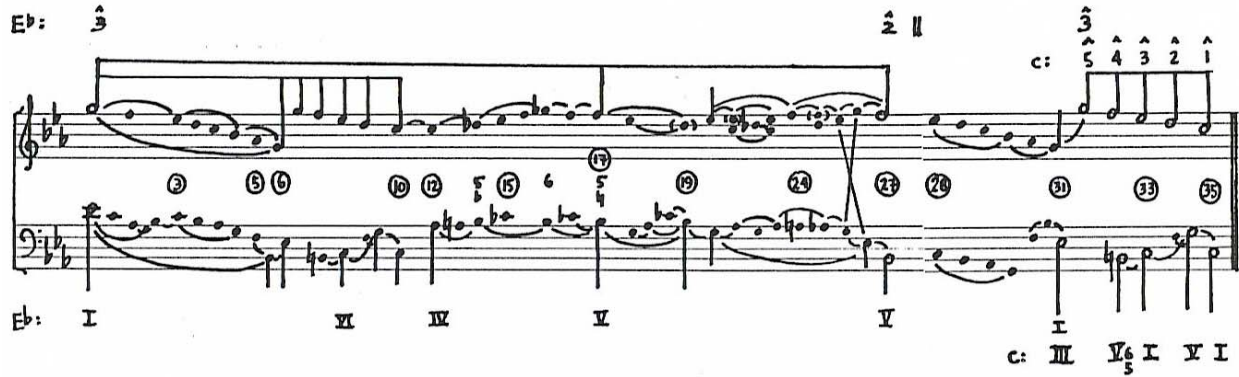


Figure 4.3: Krebs's analysis of Schubert's *Edone* D. 445<sup>67</sup>

Krebs's early categorizing is a positive advancement in the study of background conglomerates. Because he restricts himself to those types of background conglomerates that occur within the specific repertoire he considers, he leaves the way clear for others to propose a more comprehensive survey of all possibilities with respect to the typology of background conglomerate structures. By taking three general aspects from Krebs's observations and adding one other, as will be explained later, such a comprehensive survey emerges.

The first general aspect that should be considered when categorizing background conglomerates is the completeness of the first *Ursatz*. If the first *Ursatz* is complete, as in Schubert's *Klage* (Figure 4.1), then the *Kopftön* descends to  $\hat{1}$  and is supported by root position tonic harmony. Any other type of *Ursatz* is by definition incomplete. Incomplete *Ursätze*, then, either have a *Kopftön* that never reaches  $\hat{1}$ , as in Schubert's *Geistes-Gruss* (Figure 4.2), or have a *Kopftön* that reaches  $\hat{1}$  but is supported by something other than a root position tonic harmony.

The second aspect addresses the second *Ursatz*. According to the criteria presented in Chapter 2, the second *Ursatz* of a background conglomerate must be complete: the harmony that

<sup>66</sup> Ibid., 9.

<sup>67</sup> Ibid., 12.

supports the beginning of the second *Ursatz* can vary, however. One possible type of initial harmonic support is the tonic, as in Schubert's *Klage* (Figure 4.1). The other possibility is non-tonic support, which produces an auxiliary cadence in the second key, as seen in Schubert's *Edone* (Figure 4.3).

A third aspect is whether or not the *Ursätze* have identical *Kopftöne*. Here "identical" means that both *Ursätze* have their own *Kopftön* and that the same pitch is used for each *Kopftön*. Although the pitch used for both *Kopftöne* is the same, it has a different scale degree function in each key. Schubert's *Edone* is an example of a background conglomerate with identical *Kopftöne* (Figure 4.3). As is evident in Figure 4.4, "two" *Ursätze* that share the same *Kopftön* would no longer be heard as two separate lines, but rather a single *Ursatz* with an off-tonic beginning.



Figure 4.4: A single 3-line that begins off-tonic rather than two separate *Ursätze*

A fourth aspect not mentioned by Krebs is whether or not ambiguous materials occur between the two *Ursätze*. In some instances, the *Ursätze* simply occur side by side. At other times, materials occur between the *Ursätze* that have only a contrapuntal relationship to the two lines. Chopin's Ballade op. 38 includes such ambiguous materials in mm. 82-148 (Figure 3.15).

With these four general aspects of background conglomerates in mind, sixteen possible scenarios emerge as opposed to Krebs's three (Figure 4.5). A reevaluation of Krebs's examples can be made in terms of these scenarios. According to Krebs's analysis, *Klage* is a Scenario 1 work: it has an initial *Ursatz* that is complete, there is no ambiguous link, the second *Ursatz* begins with tonic harmony, and the *Ursätze* have different *Kopftöne*. One general difference exists between Krebs's graphs of *Geistes-Gruss* and *Klage*: the first *Ursatz* is incomplete rather than complete. This makes *Geistes-Gruss* a Scenario 9 composition. In contrast, Krebs's analysis of *Edone* has many differing features from the previous two analyses: the first *Ursatz* is incomplete, there is ambiguous material between the *Ursätze*, the second *Ursatz* begins with non-tonic harmony that results in an auxiliary cadence, and the *Ursätze* have identical *Kopftöne*. Therefore, according to Krebs's analysis, *Edone* is a piece whose structure follows Scenario 16.

<b>Scenario</b>	<b>1<sup>st</sup> <i>Ursatz</i> Ending</b>	<b>Ambiguous Link</b>	<b>2<sup>nd</sup> <i>Ursatz</i> Beginning</b>	<b><i>Kopfton</i> Relationship</b>
<b>1</b>	Complete	none	Tonic	Different
<b>2</b>	Complete	none	Tonic	Identical
<b>3*</b>	Complete	none	Non-tonic	Different
<b>4</b>	Complete	none	Non-tonic	Identical
<b>5</b>	Complete	Present	Tonic	Different
<b>6</b>	Complete	Present	Tonic	Identical
<b>7</b>	Complete	Present	Non-tonic	Different
<b>8</b>	Complete	Present	Non-tonic	Identical
<b>9*</b>	Incomplete	none	Tonic	Different
<b>10</b>	Incomplete	none	Tonic	Identical
<b>11*</b>	Incomplete	none	Non-tonic	Different
<b>12*</b>	Incomplete	none	Non-tonic	Identical
<b>13</b>	Incomplete	Present	Tonic	Different
<b>14</b>	Incomplete	Present	Tonic	Identical
<b>15</b>	Incomplete	Present	Non-tonic	Different
<b>16</b>	Incomplete	Present	Non-tonic	Identical

Figure 4.5: Possible scenarios for background conglomerates<sup>68</sup>

<sup>68</sup> Asterisks signify the scenarios that allow for elided *Ursätze*; see the discussion below.

Longer, purely instrumental works fit just as easily into these categories, e.g. Chopin's Ballade op. 38 (Figure 3.15). The Ballade has an incomplete first *Ursatz*, an ambiguous link is present, the second *Ursatz* begins with tonic harmony, and the *Kopftöne* are different between the *Ursätze*.<sup>69</sup> The Ballade is therefore an example of Scenario 13. As is evident, most background conglomerates can be easily described using these four basic aspects.

### Elided *Ursätze*

There is one type of situation that is not described precisely by the scenarios in Figure 3.2: a background conglomerate that has elided *Ursätze*, i.e. a structure in which the end of one *Ursatz* acts as the beginning of another, thus creating an elision of *Ursätze* that is similar to the elision of phrases.<sup>70</sup> The pivot between elided *Ursätze* can be either a single *Stufe* or an extended area of *Stufen*. Figure 4.6 shows a 5-line and another 5-line eliding with a single *Stufe* acting as the pivot, thus producing a 3/5-line.<sup>71</sup> A more extensive elision containing a pivot area of multiple *Stufen* can be seen with the 5/8-line presented in Figure 4.7.

The figure illustrates the elision of two 5-line structures. On the left, two separate 5-line structures are shown, each with its own CM and FM scale degrees and Roman numerals. On the right, the two structures are elided, resulting in a single 3/5-line structure. The CM and FM scale degrees and Roman numerals are shown for both the original and elided structures.

Figure 4.6: 5/5-line, C major to F major<sup>72</sup>

<sup>69</sup> As previously mentioned, the second fundamental line is complete, but Krebs does not acknowledge this.

<sup>70</sup> It goes without saying that elided *Ursätze* can only occur in a background conglomerate and not in any other form of eccentric tonality, or concentric tonality for that matter. Two clearly prolonged triads need to be present in order for this phenomenon to occur, which only background conglomerates possess.

<sup>71</sup> "A 3/5-line" would be spoken as "a three five line."

<sup>72</sup> The second of the two examples is the same as the first, but with a "generic" bass line. The only notes that are included in the "generic" bass line are those that are necessary to produce the specific example. This "generic" bass notation will be used for most of the examples in this chapter and for all of the examples in Appendix A. The reason for this is that there are numerous ways to support the *Urlinien* and rather than clutter the page with

E<sup>b</sup>M: 8 7 6 5 4 3 2 1  
Cm: 5 4 3 2 1

Cm: i V<sup>7</sup> i V i<sup>6</sup>

E<sup>b</sup>M: vi V→vi<sup>6</sup> V<sup>6</sup> 5 I V I

E<sup>b</sup>M: 8 7 6 5 4 3 2 1  
Cm: 5 4 3 2 1

Cm: i V<sup>7</sup> i V i<sup>6</sup>  
E<sup>b</sup>M: vi V→vi<sup>6</sup> V<sup>6</sup> 5 I V I

Figure 4.7: 5/8-line, C minor to E<sup>b</sup> Major<sup>73</sup>

As previously discussed, the first *Ursatz* in a background conglomerate need not be complete. With the final *Ursatz* providing closure for the work, any other line only needs to be well established and have durational significance. This also holds true for elided *Ursätze* since they only occur in background conglomerates. Figure 4.8 shows an incomplete 8-line eliding with a complete 8-line and a single *Stufe* as the pivot. While it is less likely, as will be discussed

---

every possible harmonization, a single prototype will suffice. Some examples in this chapter are given with complete bass lines and are notated in a different fashion. For an example of this, see Figure 4.7.

<sup>73</sup> The second of the two examples is a shorthand notation of the first. In elided *Ursätze*, the end of the first *Ursatz* will always have a different function in the second *Ursatz*. Rather than providing two bass staves throughout the remainder of the chapter, the lines will be combined and the change of function will be assumed.

later, multiple *Stufen* can be used as a pivot area between an incomplete *Ursatz* and a complete one (Figure 4.9).

Although there is an abundance of elided phrases in tonal music, elided *Ursätze* are uncommon. Not only does a piece have to meet all of the requirements for being a background conglomerate, but other stipulations need to be met as well. The most apparent stipulation on elided *Ursätze* is that there can be no ambiguous material between the *Ursätze*. If the *Ursätze* are separated, then no elision is possible. Take Chopin's Ballade op. 38 as an example: no overlapping of *Ursätze* occurs because an ambiguous link is present (Figure 3.15). Another example can be seen in Krebs's graph of *Edone* (Figure 4.3). This limitation is sufficient to prevent half of the background conglomerate scenarios from having elided *Ursätze*.

CM: 8̂ 7̂ 6̂ 5̂

GM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂

CM: I V

GM: I V I

Figure 4.8: 8/8-line, C major to G major

Cm: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂

Gm: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂

Cm: i v

Gm: i v V<sup>7</sup> i iv V i

Figure 4.9: 8/8-line, C minor to G minor

Another requirement for elided *Ursätze* is that the second *Kopftón* has to be supported by a common chord between the tonalities. Attempting to support the second *Kopftón* with a non-common chord would result in non-diatonic support for either the end of the first *Ursatz* or for the second *Kopftón*: both situations are actually perceived as separated, rather than elided *Ursätze* because one key fails to be heard in context of the other (Figure 4.10). By using a common chord, the second *Kopftón* can be supported by either tonic or off-tonic harmony. Tonic support will create a normative *Ursatz* for the second key and an incomplete *Ursatz* for the first key that ends in either a half cadence (Figure 4.11) or a deceptive cadence (Figure 4.12). When the support for the second *Kopftón* is non-tonic, then the first *Ursatz* can be either complete or incomplete depending on the specific situation.<sup>74</sup>

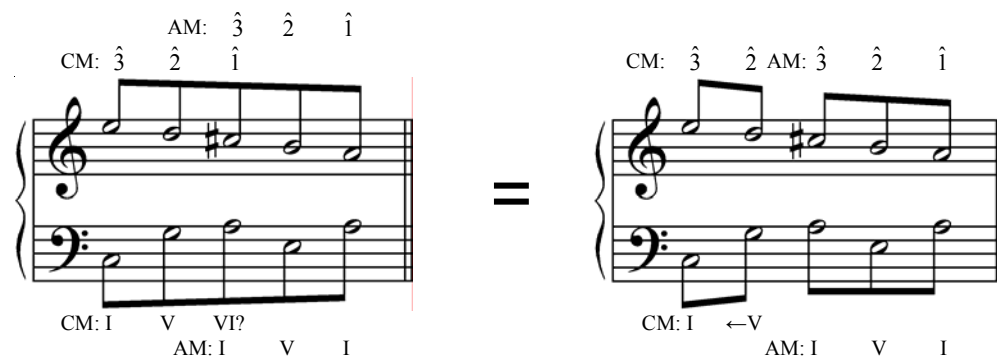


Figure 4.10: An apparent 3/3-line that is actually separate 3-lines, C major to A major



Figure 4.11: 8/8-line, C major to G major

<sup>74</sup> There will be a discussion of the specific situations shortly.



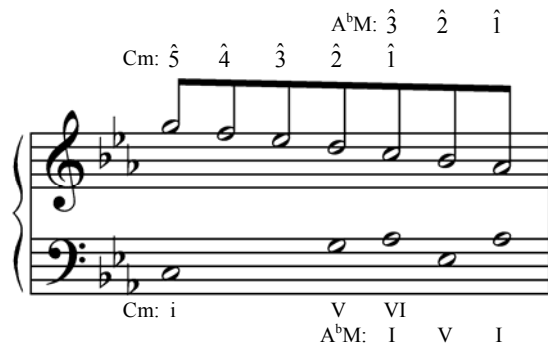


Figure 4.12: 5/3-line, C major to A<sup>b</sup> major

Out of the forty-four key relationships that are possible in two-key background conglomerates, only eleven allow for elided *Ursätze* because of the common chord prerequisite. If only C major or C minor are used for the first *Ursatz*, the eleven key relationships that allow for elision are as follows: C major is able to elide only with A<sup>b</sup> major, A minor, E minor, F major, F minor, and G major; C minor can only elide with A<sup>b</sup> major, E<sup>b</sup> major, F major, F minor, and G minor.

It is helpful at this point to compare requirements for the two obvious categories of elided *Ursätze*: those that have different *Kopftöne* between the *Ursätze* and those have identical *Kopftöne*. The most distinctive difference concerns the presence or absence of interruption. When the *Ursätze* have identical *Kopftöne*, the first *Ursatz* needs to be interrupted in order for there to be an elision (Figure 4.13). An interruption in the first *Ursatz* allows the initial key to be prolonged before the final key takes over. Not only is there a descent within the first key, there is also a half cadence followed by another statement of tonic that reinforces the key. Everything preceding the interruption is then heard within the context of the initial key and only that key. After the interruption, the initial *Ursatz* restarts, functioning as both a further prolongation of the initial tonic and an auxiliary cadence in the final key. The interruption thus creates an overlap of

*Ursätze* with identical *Kopftöne*. When there is no interruption, a single “shared” *Kopfton* results. As mentioned above, one *Ursatz* encompasses the other and is heard as a single line rather than an elision (Figure 4.14). In the case of this “3/5-line,” the C major portion can just be considered an auxiliary cadence in A minor. The same situation occurs in “3/8-lines” if there is no descent from the “first” *Kopfton* (Figure 4.15).



Figure 4.13: 3/5-line, C major to A minor



Figure 4.14: A single 3-line that begins off-tonic rather than two separate *Ursätze*



Figure 4.15: A single octave line that begins off-tonic rather than two separate *Ursätze*

4.17).



Figure 4.16: 5/5-line, C major to F major



Figure 4.17: Figure 4.16 reduced to an auxiliary cadence in F major

incomplete. If the first *Ursatz* is complete, then the goal of everything prior to its completion is

the initial tonic; thus the first *Ursatz* cannot be heard within the context of the final tonic. Take for instance the apparent 3/5-line in Figure 4.18. Due to the completed 3-line, an auxiliary cadence in A minor cannot be perceived until the final *Stufe* of the 3-line: this cannot, therefore, be a 3/5-line. This still results in elided *Ursätze*, but a 3/3-line with different *Kopftöne* rather than a 3/5-line with identical *Kopftöne*. A different situation comes about when a completed 3-line occurs in an apparent 3/8-line with identical *Kopftöne* (Figure 4.19). Due to the finality of the 3-line, there is no notion of the second *Ursatz* until after the 3-line is completed. This results in two separate *Ursätze* occurring side-by-side rather than elision. Therefore, this is an example of a Scenario 1 background conglomerate without elision: the first *Ursatz* is complete, there is no ambiguous link, the second *Ursatz* begins with tonic harmony, and there are two different *Kopftöne*. As is apparent, completeness plays a vital role for elisions with identical *Kopftöne*.

Figure 4.18 shows two equivalent musical notations for a 3/3-line from C major to A minor. The left notation shows a 3/5-line with a double bar line after the first three notes. The right notation shows a 3/3-line with a double bar line after the first three notes. Both versions have identical notes and chords.

Left notation (3/5-line):

CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   $\hat{2}$   $\hat{1}$

Am:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I V I

Am: III V→ III V i

Right notation (3/3-line):

CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   $\hat{2}$   $\hat{1}$

Am:  $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I V I

Am: III V i

Figure 4.18: An apparent 3/5-line that is actually a 3/3-line, C major to A minor

Figure 4.19 shows two equivalent musical notations for a 3/8-line from C major to E minor. The left notation shows a 3/5-line with a double bar line after the first three notes. The right notation shows a 3/3-line with a double bar line after the first three notes. Both versions have identical notes and chords.

Left notation (3/5-line):

CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   $\hat{2}$   $\hat{1}$

Em:  $\hat{8}$   $\hat{7}$   $\hat{6}$   $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I V I

Em: VI V→ VI V<sup>6</sup>  $\frac{6}{5}$  i V i

Right notation (3/3-line):

CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   $\hat{2}$   $\hat{1}$

Em:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I V I

Em: V<sup>6</sup>  $\frac{6}{5}$  i V i

Figure 4.19: An apparent 3/8-line that is actually separate 3- and 5-lines, C major to E minor

In most elisions with identical *Kopftöne*, the first *Ursatz* cannot be heard as descending past its *Kopfton* after the interruption. The cause of this is that the chord that directly proceeds the *Kopfton* would be non-diatonic within the first key and would only be understood within the context of the second key. An example of this can be found in Figure 4.20, which shows a 5/8-line with identical *Kopftöne*. After the interruption,  $\hat{5}$  of C major cannot be heard as descending because the next chord includes an  $F^\sharp$ , which is non-diatonic within C major. This *Stufe* can only be heard within the context of G major and once it is reached, any sense of the initial C major tonality is lost.

CM:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$  ||  $\hat{5}$

GM:  $\hat{8}$   $\hat{7}$   $\hat{6}$   $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I<sup>6</sup> GM: IV<sup>6</sup> V I

Figure 4.20: 5/8-line, C major to G major

Though most situations for elisions with identical *Kopftöne* do not allow the initial *Urlinie* to reach  $\hat{1}$ , a small number of situations do allow it. As previously discussed, the initial *Ursatz* cannot be complete in these types of elisions. This means that if  $\hat{1}$  is reached in the context of the first key, it has to be supported by something other than a root position tonic triad in the first key. Avoided cadences and deceptive cadences are left as the only options for ending the initial *Ursatz*. Avoided cadences occur when V is expected to resolve to a root position triad, but resolves to a non-root position tonic triad instead. When the non-root position tonic triad occurs, thus avoiding any sense of closure and propelling the music forward until closure is

reached. The initial 3-line in Figure 4.21 ends with an avoided cadence that forces the music to seek a complete resolution, but that resolution ends up being found in another key.

CM: 3̂ 2̂ || 3̂ 2̂ 1̂      Am: 5̂ 4̂ 3̂ 2̂ 1̂

CM: I V I V I<sup>6</sup>      Am: III V→ III<sup>6</sup> V I

Figure 4.21: 3/5-line, C major to A minor

Deceptive cadences have the same unsettling affect as avoided cadences, but produce a smoother pivot area than do avoided cadences. Since deceptive cadences resolve to non-tonic chords and the chord in this situation has to include  $\hat{1}$ , IV, IV<sup>6</sup>, and VI within the first key are left as the most likely options. Of these, IV cannot occur because parallel fifths occur when V resolves to IV (Figure 4.22). Besides that fact, VI provides the best harmonic support for both *Ursätze*. In the case of the 3/8-line in Figure 4.23, VI in the first key becomes IV in the second key, thus creating an auxiliary cadence in the second key.

CM: 5̂ 4̂ 3̂ 2̂ 1̂      FM: 5̂ 4̂ 3̂ 2̂ 1̂

CM: I V IV      FM: I V I

Figure 4.22: A 5/5-line that creates parallel fifths when V resolves to IV, C major to F major<sup>75</sup>

<sup>75</sup> The chords that produce parallel fifths are notated with an “X.”

Figure 4.23: 3/8-line, C major to E minor

Another set of possible deceptive resolutions is possible when modal mixture is taken into account. A technique frequently used in the eighteenth- and nineteenth-centuries, modal mixture occurs when a major key work contains chords from its parallel minor.<sup>76</sup> This technique allows deceptive cadences in these elided *Ursätze* to resolve to  $iv^6$ , and  $^bVI$ . Since modal mixture is such a popular technique in tonal music, an example like Figure 4.24 could very well exist.

Figure 4.24: 3/5-line, C major to F minor

The requirement for incompleteness in the first *Ursatz* also applies to elisions with different *Kopftöne*, except in cases where  $\hat{1}$  in the first key becomes the *Kopftön* of the second

<sup>76</sup> David Beach, "Modal Mixture and Schubert's Harmonic Practice," *Journal of Music Theory* 41/1 (1998): 73-74.

key. As opposed to elisions with identical *Kopftöne*, the completion of the first *Ursatz* presents no perceptible drawbacks for these elisions. As is shown in Figure 4.25, the last *Stufe* of the completed 5-line creates an auxiliary cadence for the 3-line. Keeping in mind that the first *Ursatz* has to be durationally salient, the 5-line in this example is not heard as a simple auxiliary cadence in A minor. With the exception of cases like Figure 4.25, the first *Ursatz* for elisions with different *Kopftöne* should end in an avoided or deceptive cadence when  $\hat{1}$  is reached for the same reasons stated for elisions with identical *Kopftöne*.

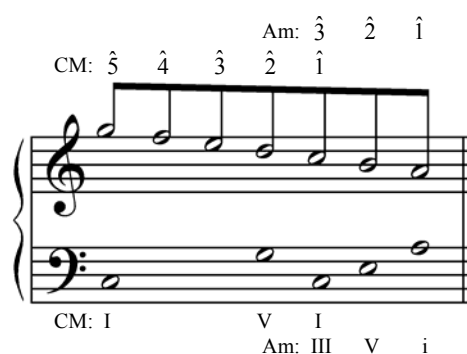


Figure 4.25: 5/3-line, C major to A minor

Elisions with a pivot area of multiple *Stufen* can occur in only eleven situations. Four of these situations have identical *Kopftöne*: the 3/5-line that elides C major to A minor, both 3/8-lines, and the 5/8-line that elides C minor and G minor.<sup>77</sup> The other seven situations occur when different *Kopftöne* are present: the 8/5- and 5/5-lines that elide C major and A minor, the 8/8- and 5/8-lines that elide C major and E minor, the 8/8- and 5/8-lines that elide C minor and E<sup>b</sup> major, and the 8/8-line that elides C minor and G minor. Other situations do not accommodate these extended elisions because there are either non-diatonic obstacles that block the unfolding of the first *Ursatz* or the second *Ursatz* is simply shorter than the first. Extended elisions also

<sup>77</sup> See Appendix A for graphs of these situations.



have a stipulation that is specific to them: the harmony that directly follows the end of the first *Ursatz* has to be V of the second key. An auxiliary cadence is produced in the final key when this happens (Figure 4.26). If the support for  $\hat{2}$  is not V, then the second *Ursatz* will lack an auxiliary cadence and any sense of elision (Figure 4.27). The reason for the lack of elision is that motion to tonic from a chord other than V would be present, but auxiliary cadences are required to reach tonic via V. As is seen in Figure 4.27, this ultimately results in the absence of elision between the lines.

Em:  $\hat{8}$   $\hat{7}$   $\hat{6}$   $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$   
 CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I V I<sup>6</sup> V<sup>6</sup> i V i  
 Em: VI V→ VI<sup>6</sup> V<sup>6</sup> i V i

Figure 4.26: 3/8-line, C major to E minor

Em:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$   
 CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   $\hat{2}$   $\hat{1}$

CM: I V I V I<sup>6</sup> V<sup>6</sup> i V i  
 Em: i V i V i

Figure 4.27: An apparent 3/8-line that is actually separate 3- and 5-lines, C major to E minor

The last aspect to consider is how the beginning of the second *Ursatz* is supported. Elisions with identical *Kopftöne* have only one possibility: the second *Ursatz* has to begin with an auxiliary cadence. In order for the required interruption to occur, the harmony directly after

the interruption needs to be of the first tonic. As seen in Figure 4.28, this forces the second *Ursatz* to begin with an auxiliary cadence. If the second *Ursatz* began with a tonic harmony in the second key, as in Figure 4.29, no interruption would be present, parallel fifths occur, and two separated *Ursätze* would emerge. The result would be a Scenario 10 background conglomerate: the first *Ursatz* is incomplete since it ends with a half cadence on  $\hat{2}$ , there is no ambiguous link present, the second *Ursatz* begins with tonic harmony, and the *Kopftöne* are identical. Analyzing Figure 4.29 as 2 separate lines is still not ideal since the parallel fifths are still present. As with all the other requirements for elisions with identical *Kopftöne*, beginning the second *Ursatz* with an auxiliary cadence is crucial.

Am:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$   
 CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   
 CM: I V I  
 Am: III V i

Figure 4.28: 3/5-line, C major to A minor

Am:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$   
 CM:  $\hat{3}$   $\hat{2}$  ||  $\hat{3}$   
 CM: I V vi  
 Am: i V i  
 =  
 Am:  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$   
 CM:  $\hat{3}$   $\hat{2}$   
 CM: I ←V  
 Am: i V i

Figure 4.29: An apparent 3/5-line that is actually separate 3- and 5-lines, C major to A minor<sup>78</sup>

<sup>78</sup> The chords that produce parallel fifths are notated with an “X.”

As is typical of elisions with different *Kopftöne*, there is an exception to beginning the second *Ursatz* with an auxiliary cadence: the second *Ursatz* can begin with tonic harmony of the second key. The result of this is either ending the first *Ursatz* with a half cadence (Figure 4.30) or a deceptive cadence (Figure 4.31). With no interruption required, a tonic beginning in the second key only presents structural problems in a few circumstances. One obvious circumstance is if the second key's tonic is IV in the first key. As previously discussed, V to IV would cause parallel fifths and is therefore not a viable option. The only other problem arises when the second key's tonic is not a diatonic chord in the first key. As noted above, when the beginning of the second *Ursatz* is not supported by a common chord with the first key, then it is non-diatonic in the first key and therefore not heard in context of the first key. This results in two separated *Ursätze* as was shown in Figure 4.10.

CM: 8 7 6 5 GM: 8 7 6 5 4 3 2 1

CM: I V V GM: I V I

Figure 4.30: 8/8-line, C major to G major

CM: 5 4 3 2 1 Am: 3 2 1

CM: I V vi Am: i V i

Figure 4.31: 5/3-line, C major to A minor

From the above discussion on elided *Ursätze*, a chart can be made for easy comparison between elisions with identical *Kopftöne* and those with different *Kopftöne*:

Identical <i>Kopftöne</i>	Different <i>Kopftöne</i>
Cannot have an ambiguous link	Same as identical <i>Kopftöne</i>
Second <i>Kopfton</i> has to be supported by a common chord between keys	Same as identical <i>Kopftöne</i>
When a more extensive elision is present, the harmony that directly proceeds the end of the first <i>Ursatz</i> has to be V of the final key	Same as identical <i>Kopftöne</i>
Interruption is necessary	Interruption is not necessary, but is possible
The first <i>Ursatz</i> ending has to be incomplete	Same as identical <i>Kopftöne</i> unless $\hat{1}$ of the first key is reinterpreted as the <i>Kopfton</i> of the second key, then it can be complete
The second <i>Ursatz</i> has to begin with an auxiliary cadence	Same as identical <i>Kopftöne</i> unless the final tonic is a common chord with the first key, then it can begin with tonic harmony

Figure 4.32: Elided *Ursatz* Requirements

Upon comparing the requirements for elided *Ursätze* to the scenarios for background conglomerates, only four scenarios allow for elided *Ursätze*. These are marked with asterisks in Figure 4.5. Of these four scenarios, elided *Ursätze* with identical *Kopftöne* are only possible in Scenario 12. Those with different *Kopftöne* can occur in Scenarios 3, 9, and 11. With so many stipulations to meet, only fifty-eight background conglomerate structures allow for elided *Ursätze*.<sup>79</sup> This number is dwarfed in comparison to the nearly infinite number of background structures that are possible due to different possible key relationships, sizes of *Ursätze*, completeness of the first line, etcetera.

<sup>79</sup> See the Appendix for the 55 possible scenarios. This number only accounts for generic key relationships and does not reflect transpositions. For simplicity's sake, C major or minor will be used for the first prolonged triad in every graph. Naturally, all graphs can be transposed to any level of tonality.

The following brief analyses are intended to help clarify the difference between elided and non-elided *Ursätze*. First, two of Krebs's previously discussed analyses will be considered again. His graph of Schubert's *Klage* appears to be a likely candidate for elided *Ursätze* (Figure 4.1). What makes this a possibility is that the first *Ursatz* reaches  $\hat{1}$  and that same pitch is used as the *Kopftön* for the second *Ursatz* (of which it is  $\hat{3}$ ), thus yielding a potential 5/3-line with different *Kopftöne*. It seems to meet all of the requirements for this type of elision: there is no ambiguous link, the second *Kopftön* is a common chord between the keys, the first *Ursatz* is complete (which is allowable since  $\hat{1}$  of the first line is the second *Kopftön*), and the second *Ursatz* begins with tonic harmony (which is allowable since it is a common chord with the first key and does not produce bad voice leading). Though all of these requirements are met, the interaction between the *Ursätze* prevents them from eliding. This thwarted elision is caused by the reharmonization of  $\hat{1}$  by the first *Ursatz*. Since a single *Stufe* was not used to support the end of the first *Ursatz* and the beginning of the second, a fresh beginning is heard rather than a continuation. This disjointedness is furthered by an initial ascent in D minor to its *Kopftön*. D minor then begins its descent without any help from F major. *Klage* thus remains a Scenario 1 background conglomerate without elided *Ursätze*.

Another analysis by Krebs that could possibly show elided *Ursätze* is his analysis of Schubert's *Edone* (Figure 4.3). What is unique about this graph amongst all of Krebs's graphs is that he actually reveals continuity between the *Ursätze*.<sup>80</sup> Krebs exposes this continuity by showing an incomplete and interrupted *Ursatz* in the first key that is reinterpreted as an auxiliary cadence after the interruption. This would be a prime candidate for a 3/5-line with identical

---

<sup>80</sup> This theory of elided *Ursätze* was originally conceived without the consultation of this graph. Krebs's graph of *Edone* was found after the fact and only helps to reinforce the theory. The theory came about in the process of formulating a cogent analysis of Alkan's *Quasi-Faust*, op. 33 no. 2. A brief introduction to the theory along with a graph of *Quasi-Faust* was presented at the convention for South Central Society for Music Theory in March 2006.

*Kopftöne*, but as previously mentioned, Krebs shows an ambiguous link that places this into Scenario 16 rather than 12. However, upon further examination of the work, this stretch of “ambiguity” is firmly grounded in E<sup>b</sup> major (Figure 4.34). Krebs actually analyzed *Edone* in an earlier paper and showed this stretch as belonging to E<sup>b</sup> major.<sup>81</sup> If Krebs’s present graph of *Edone* were modified to reflect this, the song could be presented as a perfect example of an elision with two identical *Kopftöne*: there is no ambiguous link, a common chord supports the second *Kopfton*, there is an interruption in the first key, the first *Ursatz* is incomplete, and the second *Ursatz* begins with an auxiliary cadence (Figure 4.33). *Edone* now fits nicely into a Scenario 12 background conglomerate with elided *Ursätze*.

Figure 4.33: Krebs’s analysis of Schubert’s *Edone*, with alterations

### Analysis of Alkan’s *Quasi-Faust*

The final example to be discussed is the most intricate of the pieces presented in this paper: Alkan’s *Quasi-Faust*, the second movement of his extraordinary and extensive *Grande Sonate* op. 33 for solo piano. The sonata was composed in 1848 and is typical for a nineteenth-century sonata in that it has four movements; however, many distinctive features make this sonata stand out from contemporaneous ones. These include an overall deceleration in the tempi

<sup>81</sup> Krebs, *Third Relation*, p.64 of his examples, Figure III.9.

**Mäßig**

Dein süßes Bild, E - do - ne, schwebt stets vor meinem Blick, al - lein ihn trüben

Zäh-ren, daß du es selbst nicht bist. Ich seh es, wenn der A-bend mir dämmert, wenn der

Mond — mir glänzt, seh ich's und wei-ne, daß du es selbst nicht bist. Bei je-nes Ta-les Blu-men, die

ich ihr lesen will, bei jenen Myrten-zweigen, die ich ihr flechten will, beschwör ich dich, Er-schei-nung, auf,

und ver-wand-le dich, ver-wand-le dich, Er-schei-nung, und werd E-do-ne selbst!

Figure 4.34: Schubert's *Edone*, D. 445<sup>82</sup>

<sup>82</sup> Franz Schubert, "Edone," in *Neue Schubert-Ausgabe IV: Lieder*, ed. Walter Dürr, Vol. 10, 170-71 (Kassel: Bärenreiter-Verlag, 2002).

of the movements, the use of different keys in all four movements, the appearance of sonata form only in the second movement, and the fact that the second movement begins and ends in different keys. It should be noted that each movement has a title: *20 years*, *30 years*, *40 years*, and *50 years* respectively. This sonata is programmatic and represents the aging of Alkan's father, as Alkan states in the preface of the sonata. The last three movements are subtitled: *Quasi-Faust*, *A Happy Household*, and *Prometheus In Chains* respectively. A diagram of the complete sonata is given in Figure 4.35. The second movement is most commonly programmed as a solo piece and is usually referred to by its subtitle *Quasi-Faust*; it will be referred to as such throughout the rest of this paper.

<b>Movement</b>	<b>Title</b>	<b>Subtitle</b>	<b>Key</b>	<b>Tempo</b>
<b>1</b>	<i>20 ans</i>	none	B minor	Très Vite
<b>2</b>	<i>30 ans</i>	<i>Quasi-Faust</i>	D <sup>#</sup> minor/F <sup>#</sup> major	Assez Vite
<b>3</b>	<i>40 ans</i>	<i>Un Heureux Ménage</i>	G major	Lentement
<b>4</b>	<i>50 ans</i>	<i>Prométhée Enchaîne</i>	G <sup>#</sup> minor	Extrêmement Lent

Figure 4.35: A formal diagram of Alkan's *Grande Sonate* op. 33

Since the movement is unfamiliar to most people, a brief overview of the piece is in order (Figure 4.36a). Though it has an unusual key scheme, *Quasi-Faust* is a convincing sonata-form movement. The movement begins without introduction with a first group begins in D<sup>#</sup> minor; the second group begins at m. 57 in G<sup>#</sup> minor. The relationship between these two groups is unique in that no other sonata form movement in the tonal repertoire has a second group in the subdominant.<sup>83</sup> This large area of subdominant is eventually followed by a dominant divider at the end of the development section, which begins at m. 131. After the interruption, the first group is recapitulated at m. 190 in D<sup>#</sup> minor. The second group is not recapitulated in tonic, but

---

<sup>83</sup> This interesting fact was pointed out by David Smyth.



a: A formal diagram of Alkan's *Quasi-Faust*

Exposition				Development	Recapitulation				
Theme I	Episode: trans. ("The Devil")	Theme II	closing theme		Theme I	Episode: <i>fugato</i> ("The Lord")	Theme II	closing theme	Coda
1-37	38-57	57-116	116-130	131-189	190-230	231-274	275-293	293-310	310-332

b: Alkan's *Quasi-Faust* analyzed as Scenario 11 without elided *Ursätze*

$d^\sharp$ :  $\hat{3}$ 
 $\hat{2}$   $\hat{3}$   $\hat{2}$   $\hat{1} F^\sharp$ :  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

$d^\sharp$ :  $i$ 
 $V$ 
 $i_4^6$   $\frac{6}{3} V$ 
 $I_3^6$   $F^\sharp V$ 
 $I_4^6$   $\frac{6}{3} V$ 
 $I$

c: Alkan's *Quasi-Faust* analyzed as Scenario 12 with elided *Ursätze*

$F^\sharp$ :  $\hat{8}$   $\hat{7}$   $\hat{6}$   $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$ 
 $\hat{2}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

$d^\sharp$ :  $i$ 
 $V$ 
 $i_4^6$   $\frac{6}{3} V$ 
 $I_3^6$ 
 $F^\sharp$ :  $vi_4^6$   $\frac{6}{3} V \rightarrow V_3 \rightarrow ii$   $V$ 
 $I_4^6$   $\frac{6}{3} V$ 
 $I$

d: Alkan's *Quasi-Faust* analyzed as an auxiliary cadence

$F^\sharp$ :  $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

$F^\sharp$ :  $vi$ 
 $ii$   $V$ 
 $I_4^6$   $\frac{6}{3} V$ 
 $I$

Figure 4.36: Analyses of Alkan's *Quasi-Faust*

rather in the relative major of tonic, F<sup>#</sup> major, at m. 275. F<sup>#</sup> major governs the coda as well, and thus remains the controlling tonic for the remaining third of *Quasi-Faust*.

As shown in Figure 4.36b, the structure of *Quasi-Faust* may be interpreted as a background conglomerate without elision. The movement begins in D<sup>#</sup> minor and remains in this key for two thirds of the movement's 332 measures. When the more than two hundred measures of D<sup>#</sup> are taken into account, it seems important enough to interpret it as a basic structure that unfolds at the background level. The initial motive found in the first measure actually foreshadows what is going to occur throughout the D<sup>#</sup> minor portion of *Quasi-Faust*; a 3-line with F<sup>#</sup> as the *Kopfton* (Figure 4.37). The prominence of F<sup>#</sup> is not only apparent at the outset of the theme, but is also reinforced by a hidden repetition in the first statement of the theme. The hypermetrical downbeats, shown with circles in Figure 4.37, reveal the initial motive prolonged over the first fifteen measures; D<sup>#</sup> in m. 1, F<sup>#</sup> in m. 5, E<sup>#</sup> in m. 9, and a return to D<sup>#</sup> in m. 15. When a transitional episode begins in m. 38, F<sup>#</sup> maintains its significant role (Figure 4.38). The episode imitates the opening motive of the movement by keeping the same rhythm and inverting the pitches. The episode leads to a D<sup>#</sup> major triad in m. 47, the dominant of the second group key, G<sup>#</sup> minor. This in turn transforms the *Kopfton* from F<sup>#</sup> to F<sup>X</sup>, the leading tone of the second theme. The F<sup>X</sup> then resolves to G<sup>#</sup> at the start of the second theme in m. 57. From this point, as is typical, the *Kopfton* does not resume its principal role in the *Ursatz* until after the interruption in m. 189, by which point structural  $\hat{2}$  has arrived. The recapitulation then begins at m. 190 with a thicker texture than the exposition, but returns to the original D<sup>#</sup> minor tonality as well as the initial motive and its hidden repetition, accented again by hypermetrical downbeats (Figure 4.39). With the arrival of  $\hat{1}$  at m. 296 and its D<sup>#</sup> minor support, an interrupted 3-line in D<sup>#</sup> minor has unfolded. From this point on, the D<sup>#</sup> minor tonality never reappears and F<sup>#</sup> major is

30 ANS.

QUASI-FAUST.

*Sataniquement.*

ASSEZ VITE.

6

11

13

15

(1) *mf* (2) *f* (3) *f* (4) *mf* (1)

(2) *f* (3) *ff* (4) (1) (2) *mf*

(3) (4)

(extension)

*mf* (1) (2)

Figure 4.37: Alkan's *Quasi-Faust*, m. 1-16<sup>84</sup>

<sup>84</sup> Circled indicate which notes are included in the hidden repetition. Measure numbers are given above the staves and hypermetrical "beat" numbers within the staves.





Figure 4.38: Alkan's *Quasi-Faust*, m. 36-5

prolonged. When the movement is read as a normal background conglomerate without elision, the final *Ursatz* of F# major is a clear 5-line that begins with an auxiliary cadence (Figure 4.36b). This analysis shows *Quasi-Faust* as a Scenario 11 background conglomerate without elision.

Having established that the movement's structure is that of a background conglomerate, the possibility of elided *Ursätze* can be explored. Since *Quasi-Faust* has a structural interruption and F# plays an important role as a *Kopftön*, it is possible to analyze it as a 3/8-line with two identical *Kopftöne* of F# (Figure 4.36c). When read in this fashion, the movement flawlessly meets all of the requirements for elided *Ursätze* with identical *Kopftöne*: there is no ambiguous link present; the second *Kopftön* is supported by a D# major triad, a common chord between the keys; the harmony that directly follows the end of the first *Ursatz* is V of F# major, as previously



discussed, this is a necessity for an extended elision; there is an interruption; the first *Ursatz* ends with an avoided cadence, making it incomplete; and the second *Ursatz* begins with an auxiliary cadence.

There is even evidence to support reading the F<sup>#</sup> major portion (m. 190-332) of the movement as an octave line. The replacement of D<sup>#</sup> minor by F<sup>#</sup> major is announced in m. 231 with an episode like no other: a seven-voice *fugato*!<sup>86</sup> This *fugato* includes octave descents between many of the subject statements. Figure 4.41 shows how the first two statements of the subject combine to form a local octave descent. This *fugato* therefore reinforces an octave line

Figure 4.40 shows a musical score for Alkan's *Quasi-Faust*, measures 227-238. The score is in F<sup>#</sup> major and 3/4 time. Measures 227-230 show a complex texture with multiple voices and heavy pedaling. Measures 231-238 show a more melodic passage with a clear octave descent in the bass line. The score includes dynamic markings like *fff* and *p*, and a tempo marking *p, et aussi lié que possible.*

Figure 4.40: Alkan's *Quasi-Faust*, m. 227-238

Figure 4.41 shows a musical score for Alkan's *Quasi-Faust*, measures 231-235. The score is in F<sup>#</sup> major and 3/4 time. Measures 231-235 show a melodic passage in the bass line with a clear octave descent. The score includes dynamic markings like *Ped.* and *Ped.\**. Above the staff, the measure numbers 231 and 235 are indicated, along with a sequence of notes: (8 7 6 5 4 4 3 2 1).

Figure 4.41: First two subjects forming a local octave descent

<sup>86</sup> An extremely rare musical oddity can be found in this peculiar *fugato*; a triple sharp in m. 258.

reading for the F<sup>#</sup> major portion just as the hidden repetitions of the D<sup>#</sup> minor portion indicate a 3-line. How better to reflect this than by analyzing the movement as a 3/8-line? According to the prior discussion on elided *Ursätze*, *Quasi-Faust* turns out to be a great example of a Scenario 12 background conglomerate with a 3/8-line. Could an analysis of *Quasi-Faust* that shows a background auxiliary cadence present the amount of information a 3/8-line reading does? Figure 4.36d presents such an analysis, which pales in comparison to the 3/8-line reading because over half of the musical events are marginalized, including the interruption that helps to define the movement's sonata form.

### Background Conglomerates and Octave Lines

One byproduct of the type of elision found in *Quasi-Faust* is an octave line in the second key. Many theorists that have followed Schenker and have developed his theories consider the use of octave lines in analysis problematic. These supposed problems are due to inadequacies found in the octave line graph itself and in its application to form, especially sonata form. David Smyth has convincingly addressed these purported problems, but as seen in *Quasi-Faust*, an alternative way to produce octave lines that overcome the problems is through the use of background conglomerates.<sup>87</sup>

David Neumeyer is one of the most prominent of the theorists who oppose the use of octave lines. He has drawn together five of the most common objections to the octave line.<sup>88</sup> His objections will be addressed in relation to the octave line in *Quasi-Faust*. The first these problems is the unsupported stretches that occur in the *Ursatz*. The most common to be unsupported are  $\hat{7}$  and  $\hat{6}$ . In order for a true octave line to occur, Neumeyer requires that these

---

<sup>87</sup> David Smyth, "Schenker's Octave Lines Reconsidered," *Journal of Music Theory* 43/1 (1999): 101-35.

<sup>88</sup> David Neumeyer, "The Urlinie from  $\hat{8}$  as a Middleground Phenomenon," *In Theory Only* 9/5-6 (1987): 3-25.

scale degrees be supported. If there is no support, then the portion of the line from  $\hat{8}$  to  $\hat{5}$  should be considered an “initial descent,” with the true line starting on  $\hat{5}$ . With the 3/8-line of *Quasi-Faust*,  $\hat{7}$  and  $\hat{6}$  are easily supported. When these scale degrees are considered in the context of D<sup>#</sup> minor, they are  $\hat{2}$  and  $\hat{1}$ . These are harmonized in the typical fashion; dominant and tonic respectively. What would normally be an unsupported stretch in the octave line is given full harmonic supported.

The second of Neumeyer’s problems is the inclusion of  $\hat{7}$  in the octave line. Neumeyer seems to assume that  $\hat{7}$  will be harmonized as the leading tone, which should resolve back to tonic. If this were always the case, no octave line could indeed exist: Smyth points out, however, that there are in fact many ways to harmonize  $\hat{7}$  so as not to engage its leading tone function.<sup>89</sup> *Quasi-Faust* is a great example of this as  $\hat{7}$  is harmonized in m. 200 with A<sup>#</sup> major, the dominant of D<sup>#</sup> minor, or in other words the submediant of F<sup>#</sup> major. By using this harmony,  $\hat{7}$  ( $\hat{2}$  of vi) is allowed and even encouraged to continue in the octave descent.

Neumeyer’s third problem concerns interruption. If an interruption were to occur at  $\hat{2}$ , the dissonant interval of a seventh would be outlined. According to Neumeyer and others, including Schenker, the outline of such an interval is problematic. Neumeyer admits that interruption in 3- and 5-lines also causes outlined dissonant intervals, but raises another related issue to take its place: a structural descent from  $\hat{8}$  to  $\hat{2}$  can actually be heard as a rising second from  $\hat{8}$  to  $\hat{9}$ , resulting in a line that move contrary to the descent of the *Ursatz* (Figure 4.42).<sup>90</sup> Contrary to this argument, Neumeyer later analyzes C. P. E. Bach’s *Prussian Sonata* no. 2, movement 1 as having an interrupted octave line (Figure 4.43). It appears that Neumeyer

---

<sup>89</sup> Smyth, “Octave Lines,” 103.

<sup>90</sup> This issue is also raised by Schenker. See Schenker, *Free Composition*, 34.



believes that some works exhibit only a descent to  $\hat{2}$  rather than an upper neighbor motion to  $\hat{9}$ . In any case, this issue does not present a problem for the octave line in *Quasi-Faust* since it does not begin until after the interruption.

$$\begin{array}{c} \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1} \\ = \hat{8} \qquad \qquad \hat{9} \parallel \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1} \end{array}$$

Figure 4.42: Interpretation of an interrupted octave line breaking its *obligatory register*

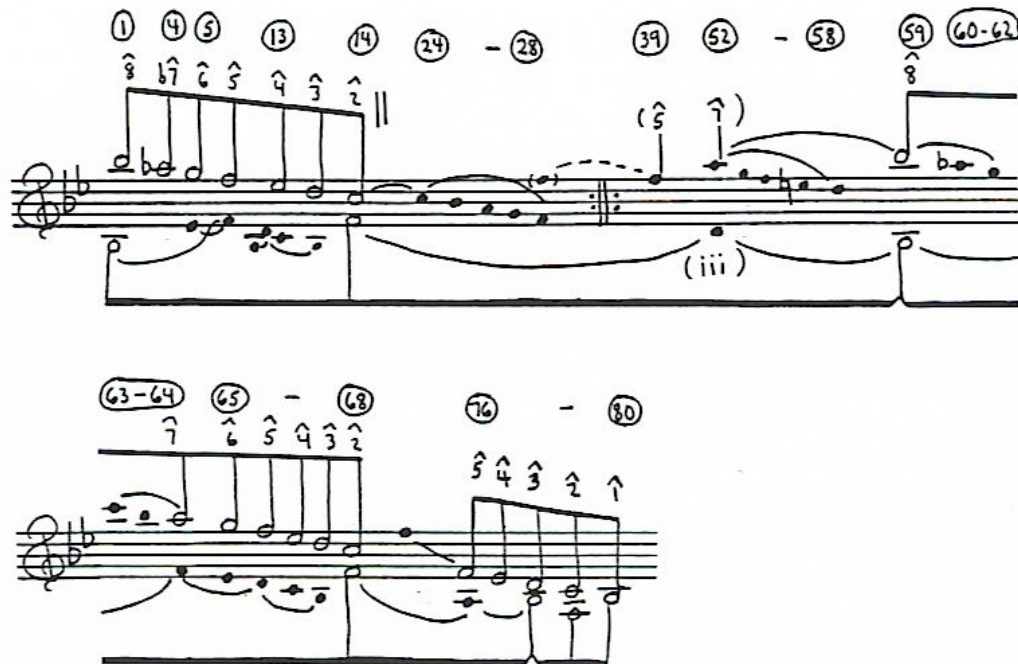


Figure 4.43: Neumeyer's analysis of C. P. E. Bach's *Prussian Sonata* no. 2, movement 1<sup>91</sup>

Yet another issue is taken up by Neumeyer that stems from the previous one: an octave line by definition descends from  $\hat{8}$  to  $\hat{1}$ , but Neumeyer believes this *Ursatz* can be viewed as a simple coupling, which Schenker defines as “the connection of two register which lie n octave apart.”<sup>92</sup> The outcome of such a reading would be a static background motion from  $\hat{8}$  to itself,

<sup>91</sup> Neumeyer, “The Urlinie from  $\hat{8}$ ,” 20.

<sup>92</sup> Schenker, *Free Composition*, 52.

or in other words an unelaborated prolongation of  $\hat{1}$ . An *Ursatz* should be goal oriented, as Neumeyer states. 3- and 5-lines accomplish this by starting on a scale degree other than  $\hat{1}$ , consequently requiring the line to descend until  $\hat{1}$  is reached. When an octave line is considered to be the result of coupling, there is no actual descent required as the line begins on its goal. This is not the case for *Quasi-Faust*, or any other octave line piece that begins with an auxiliary cadence.  $D^\#$  minor is perceived to be tonic at the beginning of the movement, and since  $F^\#$  is the *Kopftön*, a descent is initiated to reach  $D^\#$ . Once  $F^\#$  major takes control over the movement, a descent from  $F^\#$  has already begun and must continue until  $\hat{1}$  is reached in  $F^\#$  major.

Neumeyer's issue does not appear to pose any problems in *Quasi-Faust*.

The fourth octave line problem conveyed by Neumeyer is that such lines usually require two or more bass arpeggiations rather than one. Considering fundamental structures in general, Neumeyer is convinced that in order for a background graph to be viable, it has to have simple features. David Beach has discussed a conflicting view stated by Schenker himself in *Free Composition* and concludes that genuine octave lines should contain two bass arpeggiations.<sup>93</sup> Smyth argues the point further, writing that octave lines are more elaborate due to the wealth of melodic pitches and that the resulting bass arpeggiations produce a contrapuntally rich architecture. These appealing features should not be ruled out for the sake of "systemic economy."<sup>94</sup>

*Quasi-Faust* indeed presents such a case of contrapuntal richness and requires multiple bass arpeggiations. Would a background graph with a single bass arpeggiation truly be able to capture the play of keys apparent in *Quasi-Faust*? If such a graph were made, it would surely be

---

<sup>93</sup> David Beach, "The Fundamental Line from Scale Degree 8: Criteria for Evaluation," *Journal of Music Theory* 32/2 (1988): 272.

<sup>94</sup> Smyth, "Octave Lines," 105.

a poor representation of the movement. Neumeyer's analysis C. P. E. Bach's *Prussian Sonata* no. 2, movement 1 even contains multiple bass arpeggiations (Figure 4.43). According to his analysis, there are not only two, but three bass arpeggiations within the movement. Clearly some pieces need multiple bass arpeggiations at the background level in order to reveal the true nature of such pieces.

The final problem Neumeyer has with octave lines is that they are nearly impossible to apply to sonata form. Neumeyer makes this bold statement at the beginning of his article, but never provides an argument for it and even contradicts it by analyzing C. P. E. Bach's *Prussian Sonata* no. 2, movement 1 as having a sonata form and an octave line (Figure 4.43). Schenker also provides an example of an octave line paired with sonata form that opposes Neumeyer's statement (Figure 4.44). Even if Neumeyer's argument that sonata form and the octave line cannot appear together is seen as convincing, *Quasi-Faust's* 3/8-line presents an alternative method to combine them without causing any problems: the form is interrupted as sonata forms typically are, there is an incomplete *Ursatz* before the interruption and a complete *Ursatz* after the interruption, and the recapitulation begins after the interruption.

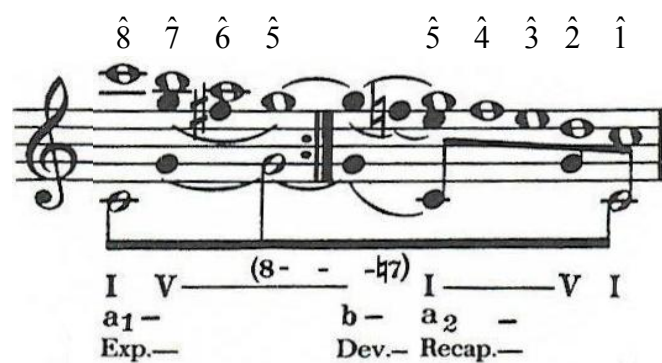


Figure 4.44: Schenker's graph of a possible combination of an octave line and sonata form<sup>95</sup>

<sup>95</sup> Schenker, *Free Composition*, Figure 27b. The scale degree numbers are not originally in 27b, but they do appear in 27a and apply to this octave line as well.

In summary, elided *Ursätze* present solutions to the “problems” that are associated with octave lines: unsupported stretches are no longer present,  $\hat{7}$  is harmonized in such a way that it encourages the *Urfinie* to descend, interruption is present, multiple bass arpeggiations are used in an appropriate manner, and an octave line exists within a sonata form. Since elided *Ursätze*, and more generally background conglomerates, have such a large impact on sonata form, their affect on other forms deserves more attention in future studies.

## CHAPTER 5: CONCLUSION

Pieces that begin and end in different keys have obviously been a topic of analytical interest for many years. It is remarkable that no standardized terminology or requirements for the phenomenon has come about, especially when the large number of publications on this topic is taken into consideration. In order for research on this topic to be more successful and complete, a system of terms and guidelines needs to be agreed upon. This paper has argued that such a system should include the terms concentric tonality, eccentric tonality, background conglomerate, and elided *Ursätze*, as defined here. By using this system, it is easier to distinguish between genuine background conglomerates and other structures that are commonly confused with background conglomerates. This distinction will allow much needed focus to fall on true background conglomerates rather than on other structures. Many implications of background conglomerate structures have gone largely untouched, an example being the possibility of a conglomerate of more than two prolonged triads. If interesting structures like elided *Ursätze* exist when there are only two keys present in a background conglomerate, it can only be speculated as to what structures may exist when more than two keys are present. With so many unanalyzed background conglomerates available, there is no telling what could be discovered beyond the elided *Ursätze* of the two-triad background conglomerate.

## BIBLIOGRAPHY

- Agawu, V. Kofi. "Concepts of Closure and Chopin's Opus 28." *Music Theory Spectrum* 9 (1987): 1-17.
- \_\_\_\_\_. "Mahler's Tonal Strategies: A Study of the Song Cycles." *The Journal of Musicological Research* 6/1-2 (1986): 1-48.
- Ahnell, Gustave. *The Concept of Tonality in the Operas of Jean-Philippe Rameau*. Ph.D. diss., University of Illinois, 1957.
- Alkan, Charles. *Grande Sonate Op.33*. Boca Raton: Masters Music Publications, Inc., no date given.
- Anson-Cartwright. "Chasing Rainbows: Wolf's *Phänomen* and Ideas of Coherence." *Journal of Music Theory* 45/2 (Fall 2001): 233-61.
- Ausubel, Hillel. "Aspects of Modulation Practice in the Period Between 1890 and 1910." *The Music Review* 16/3 (August 1955): 218-27.
- \_\_\_\_\_. *The Effect of Chromaticism on Tonality: As Found In Selected Compositions From the Period Between 1890 and 1910*. Ph.D. diss., Columbia University, 1953.
- Bailey, Robert. "Wagner's Preliminary Draft: An Analytical Study of Sketches and Drafts." In *Richard Wagner: Prelude and Transfiguration from Tristan and Isolde*, ed. Robert Bailey, 113-46. New York: W.W. Norton and Company, Inc., 1985.
- Beach, David. "Apples and Oranges: Neumeyer's Reading of the Octave Line." *In Theory Only* 11/5 (1990): 9-18.
- \_\_\_\_\_. "Modal Mixture and Schubert's Harmonic Practice." *Journal of Music Theory* 41/1 (1998): 73-100.
- \_\_\_\_\_. "The Current State of Schenkerian Research." *Acta Musicologica* 56 (1985): 275-307.
- \_\_\_\_\_. "The Fundamental Line from Scale Degree 8: Criteria for Evaluation." *Journal of Music Theory* 32/2 (1988): 271-94.
- Benjamin, William. "Interlocking Diatonic Collections as a Source of Chromaticism in Late Nineteenth-Century Music." *In Theory Only* 1/11-1/12 (February-March 1976): 31-52.
- \_\_\_\_\_. "Tonal Dualism in Bruckner's Eighth Symphony." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 237-58. Lincoln: University of Nebraska Press, 1996.

- Blaustein, Susan. Review of *Sonata Forms*, by Charles Rosen. *Theory and Practice* 7/2 (December 1982): 41-60.
- Boyd, James. *Tonality, Genre, and Form: Mahler's Lieder eines Fahrenden Gesellen*. Ph.D. diss., University of Michigan, 1994.
- Burstein, L. Poundie. *The Non-tonic Opening in Classical and Romantic Music*. Ph.D. diss., City University of New York, 1988.
- Chopin, Frédéric. "Prelude op. 28, no. 2." in *Frédéric Chopin: Complete Preludes and Etudes for Solo Piano*, ed. Ignacy Paderewski, Ludwik Bronarski, and Józef Turczyński, 2. New York: Dover Publications, Inc., 1980.
- Clarke, Frederick. "Schubert's Use of Tonality: Some Unique Features." *Canadian Association of University Schools of Music* 1/2 (Fall 1971): 25-38.
- Cooke, Deryck. *Gustav Mahler: An Introduction to his Music*. rev. ed. Cambridge: Cambridge University Press, 1980.
- Cooke, Greville. *Tonality and Expression*. London: Joseph Williams, Limited, 1929.
- Cuyler, Louise. "Progressive Concepts of Pitch Relationships As Observed in the Symphonies of Brahms." In *Essays On Music for Charles Warren Fox*, ed. Jerald Graue, 164-80. New York: Eastman School of Music Press, 1979.
- Denny, Thomas. "Directional Tonality in Schubert's Lieder." In *Franz Schubert – Der Fortschrittliche?: Analysen, Perspektiven, Fakten*, ed. Erich Partsch, 37-53. Tutzing: Hans Schneider, 1989.
- Devoto, Mark. "Non-Classical Diatonicism and Polyfocal Tonality: The Case of Nielsen's Fifth Symphony, First Movement." In *The Nielsen Companion*, ed. Mina Miller, 257-88. Portland: Amadeus Press, 1994.
- \_\_\_\_\_. "Tonality." In *The Harvard Dictionary of Music*, 4<sup>th</sup> ed., edited by Don Randel, 898-99. Massachusetts: Belknap Press of Harvard University Press, 2003.
- Diether, Jack. "Mahler and Atonality." *The Music Review* 17/2 (May 1956): 130-33.
- Downes, Graeme. *An Axial System of Tonality Applied to Progressive Tonality in the Works of Gustav Mahler and Nineteenth-Century Antecedents*. Ph.D. diss., University of Otago, 1994.
- Enix, Margery. "Formal Expansion Through Fusion of Major and Minor: A Study of Tonal Structure in Tristan Und Isolde, Act I." *Indiana Theory Review* 1/2 (Winter 1978): 28-34.

- \_\_\_\_\_. *The Dissolution of the Functional Harmonic Tonal System 1850-1910*. Ph.D. diss., Indiana University, 1977.
- Fanning, David. *Nielsen; Symphony no. 5*. Cambridge: Cambridge University Press, 1997.
- Gibbs, Christopher. "Beyond Song: Instrumental Transformations and Adaptations of the Lied from Schubert to Mahler." In *The Cambridge Companion to the Lied*, ed. James Parsons, 223-44. Cambridge: Cambridge University Press, 2004.
- George, Graham. *Tonality and Musical Structure*. New York: Praeger Publishers, 1970.
- Hirsch, Marjorie. *Schubert's Dramatic Lieder*. Cambridge: Cambridge University Press, 1993.
- Hopkins, Robert. *Closure and Mahler's Music*. Philadelphia: University of Pennsylvania Press, 1990.
- Hoyt, Reed. "Chopin's Prelude in A minor Revisited: The Issue of Tonality." *In Theory Only* 8/6 (April 1985): 7-16.
- Jones, William. *A Study of Tonality in the Symphonies of Carl Nielsen*. Ph.D. diss., Florida State University, 1973.
- Joseph, Charles. "Structural Pacing in the Nielsen String Quartets." In *The Nielsen Companion*, ed. Mina Miller, 460-88. Portland: Amadeus Press, 1994.
- Kaminsky, Peter. "Ravel's Late Music and the Problem of *Polytonality*." *Music Theory Spectrum* 26 (2004): 237-64.
- Kaplan, Richard. "The Interaction of Diatonic Collections in the Adagio of Mahler's Tenth Symphony." *In Theory Only* 6/1 (November 1981): 29-39.
- Keller, Hans. "Schumann After Freud." *The Listener* (July 1956): 141.
- \_\_\_\_\_. "The *Entführung's* 'Vaudeville.'" *The Music Review* 17/4 (November 1956): 304-13.
- \_\_\_\_\_. "The Music Survey's Festival Issue." *Music Survey* 4/2 (February 1952): 433-34.
- Kielian-Gilbert, Marianne. "Motive Transfer in Chopin's A Minor Prelude." *In Theory Only* 9/1 (March 1986): 21-32.
- Kinderman, William. "Directional Tonality in Chopin." In *Chopin Studies*, ed. Jim Samson, 59-75. New York: Cambridge University Press, 1988.
- \_\_\_\_\_. "Dramatic Recapitulation and Tonal Pairing in Wagner's *Tristan und Isolde* and *Parsifal*." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 178-214. Lincoln: University of Nebraska Press, 1996.



Korsyn, Kevin. "Directional Tonality and Intertextuality: Brahms's Quintet op.88 and Chopin's Ballade op.38." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 45-83. Lincoln: University of Nebraska Press, 1996.

Kramer, Lawrence. *Franz Schubert: Sexuality, Subjectivity, Song*. Cambridge: Cambridge University Press, 1998.

\_\_\_\_\_. "Romantic Meaning in Chopin's Prelude in A Minor." *19<sup>th</sup> Century Music* 9/2 (Fall 1985): 145-55.

\_\_\_\_\_. "The Schubert Lied: Romantic Form and Romantic Consciousness." In *Schubert: Critical and Analytical Studies*, ed. Walter Frisch, 200-36. Lincoln: University of Nebraska Press, 1986.

Krebs, Harald. "Alternatives to Monotonicity in Early Nineteenth-Century Music." *Journal of Music Theory* 25/1 (Spring 1981): 1-16.

\_\_\_\_\_. Review of *Chopin Studies*, ed. Jim Samson. *Journal of Music Theory* 33/2 (Fall 1989): 429-38.

\_\_\_\_\_. "Some Early Examples of Tonal Pairing: Schubert's 'Meeres Stille' and 'Der Wanderer.'" In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 19-33. Lincoln: University of Nebraska Press, 1996.

\_\_\_\_\_. "Techniques of Unification in Tonally Deviating Works." *Canadian University Music Review* 10/1 (1990): 55-70.

\_\_\_\_\_. "The Background Level in Some Tonally Deviating Works of Franz Schubert." *In Theory Only* 8/8 (December 1985): 5-17.

\_\_\_\_\_. *Third Relation and Dominant in Late 19<sup>th</sup>- and Early 19<sup>th</sup>-Century Music*. Ph.D. diss., Yale University, 1980.

\_\_\_\_\_. "Tonal and Formal Dualism in Chopin's Scherzo, op. 31." *Music Theory Spectrum* 13/1 (Spring 1991): 48-60.

\_\_\_\_\_. "Tonal Structure in Nielsen's Symphonies: Some Addenda to Robert Simpson's Analyses." In *The Nielsen Companion*, ed. Mina Miller, 208-49. Portland: Amadeus Press, 1994.

Laitz, Steven. *The Complete Musician: An Integrated Approach to Tonal Theory, Analysis, and Listening*. 1<sup>st</sup> ed. New York: Oxford University Press, 2003.

La Grange, Henry-Louis de. *Mahler*. Vol. 1. New York: Doubleday and Company, Inc., 1973.

- La Rue, Jan. "Bifocal Tonality: An Explanation for Ambiguous Baroque Cadences." In *Essays On Music In Honor of Archibald Thompson Davison*, ed. Randall Thomson, 173-84. Cambridge: Harvard University Press, 1957.
- Lau, Robert. *Initial Versus Ultimate Tonality in Instrumental Music of the Classic and Romantic Periods*. Ph.D. diss., The Catholic School of America, 1979.
- Leikin, Anatole. "Chopin's A-Minor Prelude and its Symbolic Language." *International Journal of Musicology* 6 (1997): 149-62.
- Lester, Joel. "Continuity and Form in the Sonatas for Violin and Piano." In *The Nielsen Companion*, ed. Mina Miller, 495-533. Portland: Amadeus Press, 1994.
- Lewis, Christopher. "Mirrors and Metaphors: Reflections on Schoenberg and Nineteenth-Century Tonality." *19<sup>th</sup> Century Music* 11/1 (Summer 1987): 26-42.
- Longyear, R. M. "Unusual Tonal Procedures in Schumann's Sonata-Type Cycles." *In Theory Only* 3/12 (March 1978): 22-30.
- McCreless, Patrick. "An Evolutionary Perspective on Nineteenth-Century Semitonal Relations." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 87-113. Lincoln: University of Nebraska Press, 1996.
- \_\_\_\_\_. "Ernst Kurth and the Analysis of the Chromatic Music of the Late Nineteenth Century." *Music Theory Spectrum* 5 (1983): 56-75.
- Meyer, Leonard. *Emotion and Meaning in Music*. Chicago: The University of Chicago Press, 1956.
- Miller, Mina, ed. "Interlude 2: Recapitulation and Tonality." In *The Nielsen Companion*, 250-56. Portland: Amadeus Press, 1994.
- \_\_\_\_\_, ed. "Interlude 3: Tonality, Tempo Relations and Performance." In *The Nielsen Companion*, 289-92. Portland: Amadeus Press, 1994.
- Mitchell, Donald. *Gustav Mahler, Songs and Symphonies of Life and Death: Interpretations and Annotations*. Berkeley: University of California Press, 1985.
- \_\_\_\_\_. *Gustav Mahler: The Early Years*. London: C. Tinling and Company Limited, 1958.
- \_\_\_\_\_. *Gustav Mahler: The Wunderhorn Years*. Boulder: Westview Press, 1976.
- \_\_\_\_\_. "Mahler, Gustav." In *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, v.11, 513-31. London: Macmillian Publishers Limited, 1980.

- Nelson, John. "Progressive Tonality in the Finale of the Piano Quintet, Op. 44 of Robert Schumann." *Indiana Theory Review* 13/1 (Spring 1992): 41-52.
- Neumeyer, David. "A Response to David Beach." *In Theory Only* 11/5 (1990): 19-22.
- \_\_\_\_\_. "Fragile Octaves, Broken Lines: On Some Limitations in Schenkerian Theory and Practice." *In Theory Only* 11/3 (1989): 11-30.
- \_\_\_\_\_. "The Urlinie from 8 as a Middleground Phenomenon." *In Theory Only* 9/5-6 (1987): 3-25.
- Newlin, Dika. *Bruckner, Mahler, Schoenberg*. rev. ed. New York: W.W. Norton and Company, Inc., 1978.
- Noden-Skinner, Cheryl. "Tonal Ambiguity in the Opening Measures of Selected Works by Chopin." *College Music Symposium* 24/2 (Fall 1984): 28-34.
- Plantinga, Leon. *Romantic Music: A History of Musical Style in Nineteenth-Century Europe*. New York: Norton, 1984.
- Pomeroy, Boyd. "Tales of Two Tonics: Directional Tonality in Debussy's Orchestral Music." *Music Theory Spectrum* 26 (2004): 87-118.
- Ratner, Leonard. *Harmony: Structure and Style*. New York: McGraw-Hill Book Company, Inc., 1962.
- Reid, Sarah. *Tonality's Changing Role: A Survey of Non-concentric Instrumental Works of the Nineteenth Century*. Ph.D. diss., University of Texas at Austin, 1980.
- Reynolds, Anne-Marie. "The Early Song Collections: Carl Nielsen Finds His Voice." In *The Nielsen Companion*, ed. Mina Miller, 399-453. Portland: Amadeus Press, 1994.
- Ricci, Adam. "A Hard Habit to Break: The Integration of Harmonic Cycles and Voice-Leading Structure in Two Songs by Chicago." *Indiana Theory Review* 21 (Fall/Spring 2000): 129-146.
- Rogers, Michael. "Chopin, Prelude in A Minor, Op. 28, No. 2." *19<sup>th</sup> Century Music* 4/3 (Spring 1981): 244-59.
- Salzer, Felix. *Structural Hearing: Tonal Coherence in Music*. New York: Charles Boni, 1952.
- Samson, Jim. *Chopin*. New York: Schirmer, 1997.
- \_\_\_\_\_. "Chopin's Alternatives to Monotonicity: A Historical Perspective." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 34-44. Lincoln: University of Nebraska Press, 1996.

- \_\_\_\_\_. *Chopin: The Four Ballades*. Cambridge: Cambridge University Press, 1992.
- \_\_\_\_\_. *Music In Transition*. New York: W.W. Norton and Company, Inc., 1977.
- \_\_\_\_\_. *The Music of Chopin*. London: Routhledge and Kegan Paul, 1985.
- Schachter, Carl. "A Commentary on Schenker's *Free Composition*." *Journal of Music Theory* 25/1 (1981): 115-42.
- \_\_\_\_\_. "Chopin's Fantasy, op. 49: The Two-Key Scheme." In *Chopin Studies*, ed. Jim Samson, 221-53. New York: Cambridge University Press, 1988.
- Schenker, Heinrich. *Free Composition (Der freie Satz)*. Edited and translated by Ernst Oster. New York: Longman, 1979.
- \_\_\_\_\_. *Harmony*. ed. Oswald Jones, trans. Elisabeth Borgese. Chicago: The University of Chicago Press, 1972.
- Schoenberg, Arnold. *Harmonielehre*. 3<sup>rd</sup> ed. Vienna: Universal Edition, 1922.
- \_\_\_\_\_. *Structural Functions of Harmony*. rev. ed. Edited by Leonard Stein. New York: W.W. Norton and Company, Inc., 1969.
- \_\_\_\_\_. *Theory of Harmony*. trans. Roy Carter. Berkeley: University of California Press, 1978.
- Schubert, Franz. "Edone." In *Neue Schubert-Ausgabe IV: Lieder*, ed. Walter Dürr, Vol. 10, 170-71. Kassel: Bärenreiter-Verlag, 2002.
- \_\_\_\_\_. "Klage." In *Neue Schubert-Ausgabe IV: Lieder*, ed. Walter Dürr, Vol. 10, 166-67. Kassel: Bärenreiter-Verlag, 2002.
- Simpson, Robert. *Carl Nielsen: Symphonist*. London: J.M. Dent and Sons Ltd., 1952.
- \_\_\_\_\_. *Carl Nielsen: Symphonist*. rev. ed. New York: Taplinger Publishing Co., Inc., 1979.
- \_\_\_\_\_. "Carl Nielsen; Symphonist 1865-1931." *Dansk musiktidskrift* 40 (1965): 89-93.
- Smyth, David. "Schenker's Octave Lines Reconsidered." *Journal of Music Theory* 43/1 (1999): 101-35.
- Stein, Deborah. *Extended Tonal Procedures in the Lieder of Hugo Wolf*. Ph.D. diss., Yale University, 1982.

- \_\_\_\_\_. *Hugo Wolf's Lieder and Extensions of Tonality*. Ann Arbor: UMI Research Press, 1985.
- Steinbeck, John. *Cannery Row*. Great Britain: Windmill Press, 1945.
- Subotnik, Rose. "Romantic Music as Post-Kantian Critique: Classicism, Romanticism, and the Concept of the Semiotic Universe." In *On Criticizing Music: Five Philosophical Perspectives*, ed. Kingsley Price, 74-98. Baltimore: The John Hopkins University Press, 1981.
- Thomson, William. *Tonality in Music*. San Marino: Everett Books, 1999.
- Tischler, Hans. "Key Symbolism versus *Progressive Tonality*." *Musicology* 2/4 (July 1949): 383-87.
- \_\_\_\_\_. "Mahler's Impact on the Crisis of Tonality." *The Music Review* 12/2 (May 1951): 113-21.
- Truscott, Harold. "Some Aspects of Mahler's Tonality." *The Monthly Musical Record* (November-December 1957): 203-8.
- Turchin, Barbara. "The Nineteenth-Century *Wanderlieder* Cycle." *The Journal of Musicology* 5/4 (Fall 1987): 498-526.
- Weidig, Adolf. *Harmonic Material and Its Uses*. Chicago: Clayton F. Summy Co., 1923.
- Williamson, John. "Wolf's Dissonant Prolongations." In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs, 215-236. Lincoln: University of Nebraska Press, 1996.
- \_\_\_\_\_. "Dissonance and Middleground Prolongations in Mahler's Later Music." In *Mahler Studies*, ed. Stephen Hefling, 248-70. Cambridge: Cambridge University Press, 1997.
- Ya Deau, William. *Tonal and Formal Structure in Selected Larger Works of Chopin*. Ph.D. diss., University of Illinois, 1980.
- Yasser, Joseph. *A Theory of Evolving Tonality*. New York: American Library of Musicology, Inc., 1932.
- Youens, Susan. *Schubert's Poets and the Making of Lieder*. Cambridge: Cambridge University Press, 1996.
- \_\_\_\_\_. "Tradition and Innovation: The Lieder of Hugo Wolf." In *The Cambridge Companion to the Lied*, ed. James Parsons, 204-22. Cambridge: Cambridge University Press, 2004.

## APPENDIX A: BACKGROUND CONGLOMERATE STRUCTURES THAT ALLOW FOR ELIDED *URSÄTZE*

### Elisions with Identical *Kopftöne*

Am:  $\hat{5} \ 4 \ 3 \ 2 \ \hat{1}$       Am:  $\hat{5} \ 4 \ 3 \ 2 \ \hat{1}$       A<sup>b</sup>M:  $\hat{5} \ 4 \ 3 \ 2 \ \hat{1}$   
 CM:  $\hat{3} \ 2 \parallel \hat{3}$       CM:  $\hat{3} \ 2 \parallel \hat{3}$       Cm:  $\hat{3} \ 2 \parallel \hat{3}$

CM: I      I<sup>(6)</sup>      CM: I      I<sup>(6)</sup>      Cm: i      i<sup>(6)</sup>      A<sup>b</sup>M: iii<sup>(6)</sup> V<sup>7</sup>      I

Em:  $\hat{8} \ 7 \ 6 \ \hat{5} \ 4 \ 3 \ 2 \ \hat{1}$       Em:  $\hat{8} \ 7 \ 6 \ \hat{5} \ 4 \ 3 \ 2 \ \hat{1}$   
 CM:  $\hat{3} \ 2 \parallel \hat{3}$       CM:  $\hat{3} \ 2 \parallel \hat{3}$

CM: I      I<sup>(6)</sup>      CM: I      I<sup>(6)</sup>      Em: VI<sup>(6)</sup>      i      V<sup>(6)</sup>      i

E<sup>b</sup>m:  $\hat{8} \ 7 \ 6 \ \hat{5} \ 4 \ 3 \ 2 \ \hat{1}$       E<sup>b</sup>M:  $\hat{8} \ 7 \ 6 \ \hat{5} \ 4 \ 3 \ 2 \ \hat{1}$   
 Cm:  $\hat{3} \ 2 \parallel \hat{3}$       Cm:  $\hat{3} \ 2 \parallel \hat{3}$

Cm: i      i<sup>(6)</sup>      Cm: i      i<sup>(6)</sup>      E<sup>b</sup>m: VI<sup>(6)</sup>      i      E<sup>b</sup>M: VI<sup>(6)</sup>      V<sup>(6)</sup>      i

Em:  $\hat{3} \ 2 \ \hat{1}$       E<sup>b</sup>M:  $\hat{3} \ 2 \ \hat{1}$   
 CM:  $\hat{5} \ 4 \ 3 \ 2 \parallel \hat{5}$       Cm:  $\hat{5} \ 4 \ 3 \ 2 \parallel \hat{5}$

CM: I      I<sup>(6)</sup>      Cm: i      i<sup>(6)</sup>      Em: VI<sup>(6)</sup> V      i      E<sup>b</sup>M: VI<sup>(6)</sup> V      i

GM:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$   
CM:  $\hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{5}$

CM: I I<sup>(6)</sup>  
GM: IV<sup>(6)</sup> I

Gm:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$  Gm:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$   
Cm:  $\hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{5}$  Cm:  $\hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{5} \hat{4} \hat{3}$

Cm: i i<sup>(6)</sup> Cm: i i<sup>(6)</sup> V<sup>(6)</sup> i  
Gm: iv<sup>(6)</sup> Gm: iv<sup>(6)</sup>

Am:  $\hat{3} \hat{2} \hat{1}$  A<sup>b</sup>M:  $\hat{3} \hat{2} \hat{1}$   
CM:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{8}$  Cm:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{8}$

CM: I I<sup>(6)</sup> Cm: i i<sup>(6)</sup>  
Am: VI<sup>(6)</sup> V i A<sup>b</sup>M: vi<sup>(6)</sup> V I

FM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$  CM:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{8}$  FM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$  CM:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \parallel \hat{8}$

CM: I I<sup>(6)</sup> CM: I I<sup>(6)</sup>  
FM: V<sup>(6)</sup> I FM: V<sup>(6)</sup> I

CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ || 8̂ FM: 5̂ 4̂ 3̂ 2̂ 1̂ CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ || 8̂ Fm: 5̂ 4̂ 3̂ 2̂ 1̂

CM: i Fm: i<sup>(6)</sup> V<sup>(6)</sup> CM: i Fm: i<sup>(6)</sup> V<sup>(6)</sup> (v<sup>(6)</sup>) i

### Elisions with Different *Kopftöne*

Am: 3̂ 2̂ 1̂ CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂ Am: 3̂ 2̂ 1̂ CM: 5̂ 4̂ 3̂ 2̂ 1̂ Am: 3̂ 2̂ 1̂ CM: 3̂ 2̂ 1̂

CM: I Am: V i CM: I Am: V i CM: I Am: V i

Am: 5̂ 4̂ 3̂ 2̂ 1̂ CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂ Am: 5̂ 4̂ 3̂ 2̂ 1̂ CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂ Am: 5̂ 4̂ 3̂ 2̂ 1̂ CM: 5̂ 4̂ 3̂ 2̂ 1̂ Am: 5̂ 4̂ 3̂ 2̂ 1̂ CM: 5̂ 4̂ 3̂ 2̂ 1̂

CM: I Am: V<sup>(6)</sup> i CM: I I<sup>(6)</sup> V i CM: I Am: V<sup>(6)</sup> i CM: I I<sup>(6)</sup> V i

A<sup>b</sup>M: 3̂ 2̂ 1̂ CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂ A<sup>b</sup>M: 3̂ 2̂ 1̂ CM: 5̂ 4̂ 3̂ 2̂ 1̂ A<sup>b</sup>M: 3̂ 2̂ 1̂ CM: 3̂ 2̂ 1̂

CM: I A<sup>b</sup>M: V I CM: I A<sup>b</sup>M: V I CM: I A<sup>b</sup>M: V I



$A^bM: \hat{3} \hat{2} \hat{1}$        $A^bM: \hat{3} \hat{2} \hat{1}$        $A^bM: \hat{3} \hat{2} \hat{1}$   
 $Cm: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$        $Cm: \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$        $Cm: \hat{3} \hat{2} \hat{1}$

$Cm: i$        $A^bM: V \ I$        $Cm: i$        $A^bM: V \ I$        $Cm: i$        $A^bM: V \ I$

$A^bM: \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$        $A^bM: \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$   
 $Cm: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3}$        $Cm: \hat{5} \hat{4} \hat{3}$

$Cm: i$        $i^{(6)}$        $A^bM: iii^{(6)} V$        $I$        $Cm: i$        $i^{(6)}$        $A^bM: iii^{(6)} V$        $I$

$Em: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$        $Em: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$   
 $CM: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3}$        $CM: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$

$CM: I$        $Em: i$        $CM: I$        $I^{(6)}$        $Em: VI^{(6)}$        $V^{(6)}$        $i$

$Em: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$        $Em: \hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$   
 $CM: \hat{5} \hat{4} \hat{3}$        $CM: \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$

$CM: I$        $Em: i$        $CM: I$        $I^{(6)}$        $Em: VI^{(6)}$        $V^{(6)}$        $i$

CM: 8̂ 7̂ 6̂ 5̂      Em: 3̂ 2̂ 1̂

CM: I      I<sup>(6)</sup>  
Em: VI<sup>(6)</sup> V i

CM: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂      E<sup>b</sup>M: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂      E<sup>b</sup>M: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂

CM: i      E<sup>b</sup>M: I      CM: i      i<sup>(6)</sup>  
E<sup>b</sup>M: I      E<sup>b</sup>M: vi<sup>(6)</sup> V<sup>(6)</sup> I

E<sup>b</sup>M: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂      E<sup>b</sup>M: 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂

CM: 5̂ 4̂ 3̂      CM: 5̂ 4̂ 3̂ 2̂ 1̂

CM: i      E<sup>b</sup>M: I      CM: i      i<sup>(6)</sup>  
E<sup>b</sup>M: I      E<sup>b</sup>M: vi<sup>(6)</sup> V<sup>(6)</sup> I

E<sup>b</sup>M: 3̂ 2̂ 1̂

CM: 8̂ 7̂ 6̂ 5̂

CM: i      i<sup>(6)</sup>  
E<sup>b</sup>M: vi<sup>(6)</sup> V I

Cm:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       FM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Cm:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       FM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Cm:  $\hat{3} \hat{2} \hat{1}$

Cm: i      FM: V<sup>(6)</sup>      I      Cm: i      FM: V<sup>(6)</sup>      I      Cm: i      FM: V<sup>(6)</sup>      I

Cm:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Fm:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Cm:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Fm:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Cm:  $\hat{3} \hat{2} \hat{1}$

Cm: i      Fm: V<sup>(6)</sup>      i      Cm: i      Fm: V<sup>(6)</sup>      i      Cm: i      Fm: V<sup>(6)</sup>      i

CM:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Fm:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       CM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       Fm:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       CM:  $\hat{3} \hat{2} \hat{1}$

CM: I      Fm: V<sup>(6)</sup>      i      CM: I      Fm: V<sup>(6)</sup>      i      CM: I      Fm: V<sup>(6)</sup>      i

CM:  $\hat{8} \hat{7} \hat{6} \hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       FM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       CM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       FM:  $\hat{5} \hat{4} \hat{3} \hat{2} \hat{1}$       CM:  $\hat{3} \hat{2} \hat{1}$

CM: I      FM: V<sup>(6)</sup>      I      CM: I      FM: V<sup>(6)</sup>      I      CM: I      FM: V<sup>(6)</sup>      I

Gm:  $\hat{8} \ \hat{7} \ \hat{6} \ \hat{5} \ \hat{4} \ \hat{3} \ \hat{2} \ \hat{1}$   
 CM:  $\hat{8} \ \hat{7} \ \hat{6} \ \hat{5}$

CM: I

GM: I

Gm:  $\hat{8} \ \hat{7} \ \hat{6} \ \hat{5} \ \hat{4} \ \hat{3} \ \hat{2} \ \hat{1}$       Gm:  $\hat{8} \ \hat{7} \ \hat{6} \ \hat{5} \ \hat{4} \ \hat{3} \ \hat{2} \ \hat{1}$   
 Cm:  $\hat{8} \ \hat{7} \ \hat{6} \ \hat{5} \ \hat{4} \ \hat{3}$       Cm:  $\hat{8} \ \hat{7} \ \hat{6} \ \hat{5}$

Cm: i       $i^{(6)}$       V      Cm: i      Gm: i

Gm: iv<sup>(6)</sup>

## APPENDIX B: TERMINOLOGY CHART

Note: This chart only takes into account whether or not authors mentions a term, not if they agree or disagree with its use. All of these sources are included in my bibliography, which is why only years and authors are provided. Although I was as thorough as possible, there may be instances of terms that were missed. If any others are found, feel free to contact me about them.

<b>Term</b>	<b>Date Discussed</b>	<b>Author</b>	<b>Sample Page Occurences</b>
Dual Form	1923	Weidig	350-51
Relative Tonality	1929	G. Cooke	47-8
	1973	Jones	iii, 65
	1980	Reid	55-57
	1999	Thomson	201
Progressive Tonality	1947	Newlin	129-31, 162, 186, 199, 201
	1949	Tischler	383-84
	1951	Tischler	114-15
	1952	Keller	433-34
	1952	Simpson	23, 87
	1956	Diether	131-32
	1956 (July)	Keller	141
	1956 (November)	Keller	307
	1958	Mitchell	219-25, 264-66
	1960	D. Cooke	14, 30, 52, 69, 81, 88, 104, 116, 127
	1970	George	191-92
	1976	Mitchell	34
	1977	Enix	222-27
	1979	Cuyler	164
	1979	Lau	104-5
	1980	Mitchell	513, 517, 521, 522, 527
	1984	Plantiga	454
	1980	Reid	57-8
	1985	Mitchell	76
	1985	Samson	179-84
	1987	Turchin	522-24
	1987	Lewis	29
	1988	Burstein	16, 197
	1988	Kinderman	59
	1989	Denny	37
	1990	Hopkins	65
	1991	Krebs	49
	1992	Nelson	41-2
	1993	Hirsch	55-6
	1994	Fanning	169
	1994	Krebs	208

<b>Term</b>	<b>Date Discussed</b>	<b>Author</b>	<b>Sample Page Occurences</b>
(Progressive Tonality)	1994	Miller	289
	1994	Joseph	463
	1994	Lester	502, 516
	1994	Downes	throughout
	1994	Boyd	8
	1996	Youens	189
	1997	Samson	95
	1997	Fanning	20
	2003	Laitz	695
Concentric Tonality	2004	Gibbs	240
	1947	Newlin	129-31
	1952	Keller	434
	1956 (November)	Keller	307
	1958	Mitchell	223
	1977	Enix	220, 243, 284
	1980	Mitchell	513, 518, 521, 525, 527
	1980	Reid	4
	1985	Mitchell	76
	1986	Agawu	9
	1994	Downes	throughout
	1994	Boyd	8
	1999	Thomson	212-26
Dramatic Key Symbolism	1949	Tischler	384-86
	1951	Tischler	114-15
	1952	Keller	433-34
	1977	Enix	224-27
	1980	Mitchell	514, 525, 527
	1980	Reid	65-69
	1988	Burstein	196
	1997	Williamson	250
Schwebende Tonalität (Wavering Tonality)	1953	Ausubel	150-51
	1955	Ausubel	227
	1980	Reid	58-60
Monotonicity	1954	Schoenberg	19, 76-77
	1980	Krebs	throughout
	1985	Samson	180
	1994	Krebs	throughout
	1994	Boyd	throughout
	1996	Krebs	throughout
	1996	Samson	throughout
	1996	Korsyn	throughout
	1996	Williamson	throughout
	1996	Benjamin	throughout
Regressive Tonality	1956 (November)	Keller	307
	1980	Mitchell	527

<b>Term</b>	<b>Date Discussed</b>	<b>Author</b>	<b>Sample Page Occurences</b>
Un- or Non-concentric	1956 (November)	Keller	307
	1980	Reid	4
Modulation	1957	Ahnell	69
	1980	Reid	28-9
Bifocal Tonality	1957	La Rue	182-83
	1978	Enix	31
	1980	Reid	69-73, 118, 144, 159, 299, 304
	1994	DeVoto	267, 288
Wandering Harmony (Tonality)	1962	Ratner	322
	1980	Reid	61-62
Emergent Tonality	1965	Simpson	91
	1979	Simpson	113-15
	1980	Reid	62-64
	1994	Miller	289
	1994	Joseph	463
	1994	Reynolds	411,413,449-50
Interlocking Structures	1970	George	29
	1971	Clarke	35-38
	1977	Enix	377-79
	1978	Longyear	throughout
	1980	Reid	82-88
	1985	Samson	180
	1988	Kinderman	59
	1994	Joseph	463, 485
Closed Tonality (Structure)	1970	George	29
	1977	Enix	426
	1980	Reid	89-90
	1990	Hopkins	throughout
Evolving Tonality	1973	Jones	ii
	1980	Mitchell	514
	1980	Reid	64-65
Extended (Merged) Tonality	1977	Enix	221, 422-23
	1978	Enix	33
	1994	Joseph	463
Related Key Set	1977	Enix	222
Open Tonality	1977	Enix	427
	1980	Reid	89-90
Linear Bitonality	1979	Cuyler	164
Developing Tonality	1980	Mitchell	525
Third Related Triads	1980	Krebs	125, 129
Non-monotonicity	1981	Krebs	14-15
	1994	Krebs	throughout
	1994	Boyd	throughout
	1996	Krebs	throughout
Transformational Tonality	1982	Stein	209

<b>Term</b>	<b>Date Discussed</b>	<b>Author</b>	<b>Sample Page Occurences</b>
(Transformational Tonality)	1989	Deny	37
	1996	Youens	189
Double Tonality	1982	Stein	ii, 173
	1982	Blaustein	57
	1985	Stein	7, 228
	1985	Beach	289-90
	1989	Denny	37
	1996	Youens	189
Directional Tonality	1983	McCreless	61
	1985	Stein	143, 149, 228
	1985	Beach	289-90
	1986	Agawu	45
	1988	Kinderman	59
	1989	Denny	throughout
	1989	Krebs	432
	1991	Krebs	49
	1994	Krebs	throughout
	1994	Miller	250-6, 289
	1994	Boyd	throughout
	1996	Youens	189-90
	1996	Krebs	17
	1996	Korsyn	throughout
	1996	McCreless	104
	1996	Kinderman	187, 195, 212
	1996	Williamson	218-9, 234
	1996	Benjamin	237, 256
	1997	Williamson	249
	1997	Samson	95, 183
	2001	Anson-Cartwright	235-9
	2004	Pomeroy	throughout
	2004	Youens	218-19
Background Conglomerate	1985	Krebs	17
Tonal Deviation	1985	Krebs	throughout
	1990	Krebs	throughout
	1991	Krebs	throughout
	1996	Benjamin	237, 250, 256
Double-Tonic Complex	1985	Bailey	121
Double or Bi-Triadic Background Tonic	1986	Agawu	17
Key-Shifting	1988	Burstein	194-95
Two-Key Scheme	1988	Schacter	throughout
	1996	Samson	throughout
	2000	Ricci	129
Tonal Pairing	1990	Krebs	65
	1996	Krebs	throughout
Anacrusis Secondary Tonality	1996	Benjamin	237
Super-Directional Process	2004	Pomeroy	115



## VITA

Matthew J. Steinbron was born and raised in Minnesota. He entered the University of Wisconsin at Eau Claire in 1999 as a music education major, but soon found his interests were in music theory, so he switched majors. After graduating in 2004 with a Bachelor of Music in music theory and an emphasis on piano, Steinbron entered the master's degree program in the School of Music of Louisiana State University, completing his master's thesis, "Background Conglomerates in Alkan's *Quasi-Faust*, op. 33, no. 2," in August 2006. Beginning in the fall semester of 2006, he will begin the Ph.D. program in music theory with a minor in piano pedagogy at Louisiana State University. Throughout his studies in music theory, Steinbron has continually pursued the study of piano and has given many performances, received various awards, accompanied countless soloists and ensembles, and has taught privately.