IAN BENT

HEINRICH SCHENKER, CHOPIN AND DOMENICO SCARLATTI

I

> The presence of mind with which our geniuses mastered the tonal materials of music in so [lofty] a fashion empowered them for the first time to create long-spanning syntheses. Their works are not just scraped together; instead they are sketched out instantaneously in the manner of free fantasy, and are drawn up from a mysterious fundamental source (*Urgrund*).

The article 'The Art of Improvisation', from the conclusion of which the above is taken,[1] stands at the head of the first issue of *Das Meisterwerk in der Musik*. Published in the second half of 1925, it was an important milestone in the development of Schenker's theories. In one sense, it continued his discourse, dating from 1909, on J.S. Bach's *Chromatic Fantasia and Fugue*;[2] and at the same time it took up again his examination of C.P.E. Bach's *Essay on the True Art of Playing Keyboard Instruments* (1753, 1762), which had occupied him in 1904 in his *A Contribution to the Study of Ornamentation*[3] – itself an extension of the two volumes of edited keyboard works by C.P.E. Bach which he had issued in about 1902 – and which was a lifelong preoccupation for him and a constant source of ideas. It can thus be seen in this sense as a consolidation and confluence of two streams of Schenker's early thought: that on fantasia-like invention, and that on ornamentation – both of which contributed substantially to the theory as eventually formulated in *Free Composition* of 1935.[4]

In a second sense, the article is a commentary on the state of music in 1925. Indeed, the discourse on C.P.E. Bach's *Essay* – pp. 12-40 – is enclosed within an 'envelope' of such commentary – pp.11-12, 40 – which shapes and exploits the C.P.E. Bach discussion for propaganda purposes. It projects a narcotic image of 'despair and powerlessness' as the modern generation of composers engages in 'tormented craving for something ever-different'. To Schenker, 'different' meant alien from the unchanging processes of composition derived from Nature; innovation led to impotence, and impotence hid behind the banner of 'progress'. The entire article was in one aspect a reflection on this last

word. There was progress as practised by the revolutionary composer, which was no more than a face-saving device, an artifice; and there was the true progress of those composers who drew from their inalienable roots – the composers portrayed in the quotation at the head of the present article. Were such composers still possible in 1925? At the end of his reflection he affirmed the possibility in messianic terms: 'The art and the life of the genius that is to come shall bear no trace of today; it will – God grant it once again, and soon, to the German people! – resemble the great masters of the past . . . ' (*Mw*, i, p.40). And the two masters whom he cited, and three of whose works he had analyzed in the course of the article, were Handel and C.P.E. Bach. A sharp distinction was made between 'different' and 'new': the genius to come would not be different from those of the past, save insofar as the composers of the past themselves differed from each other; but he would be new: 'newer than all that is new today, newer than the very latest thing' (*ibid.*).

In both of the senses enumerated above, Schenker's article functioned (undeclaredly so, in stark contrast with the opening article of the first issue of *Der Tonwille*, 'Concerning the Mission of German Genius') [5] as a manifesto for the new journal as a whole, so plainly entitled *The Masterwork in Music: a Yearbook*. Clearly, some of the intention underlying *Der Tonwille* still remained: to educate a new generation of musicians to return, following the misdirections of the nineteenth century which had culminated in the crisis of the First World War, to the immutable laws of music embodied in the masterworks of the late eighteenth and early nineteenth centuries, and so to reactivate the quintessentially (as Schenker saw it) German genius in music: 'genius is possessedness, a demoniac streak, "God in the bosom"' (*Tw*, i, p.18). If the new *Yearbook* lacked the political diatribe of *Der Tonwille*, it retained the practical plan of that work: 'to present our great symphonies, sonatas, chamber music, vocal music . . . and to intersperse these with a variety of articles dealing with the theory and history of music, and finally to introduce under that rubric "miscellanea" which will reinforce the principal line of thought' (*Tw*, i, p.21). The 'our' here clearly signifies 'German', and by implication Austrian; and *Der Tonwille* adhered to that promise, presenting for analysis works by C.P.E. Bach, J.S. Bach, Beethoven, Brahms, Handel, Haydn, Mendelssohn, Mozart, Schumann and Schubert, including a symphony, works of many sorts for keyboard, chamber music, a choral work, and songs. The principal analytical presentations were those of Beethoven's Fifth Symphony and Piano Sonata Op.57 ('Appassionata') and of Brahms's *Variations on a Theme of Handel*.

Where did Domenico Scarlatti and Frederic Chopin fit into this exclusive cultural world, and into Schenker's aggressively Germanic scale of values? What had come over *The Masterwork in Music*, which after two sizeable theoretical articles and the first of five of its exemplifying 'masterworks', all by J.S. Bach, suddenly confronted its readers not with Beethoven or Brahms but with two Scarlatti sonatas, followed immediately by two Chopin Studies, all four given full-scale, free-standing analytical treatment?

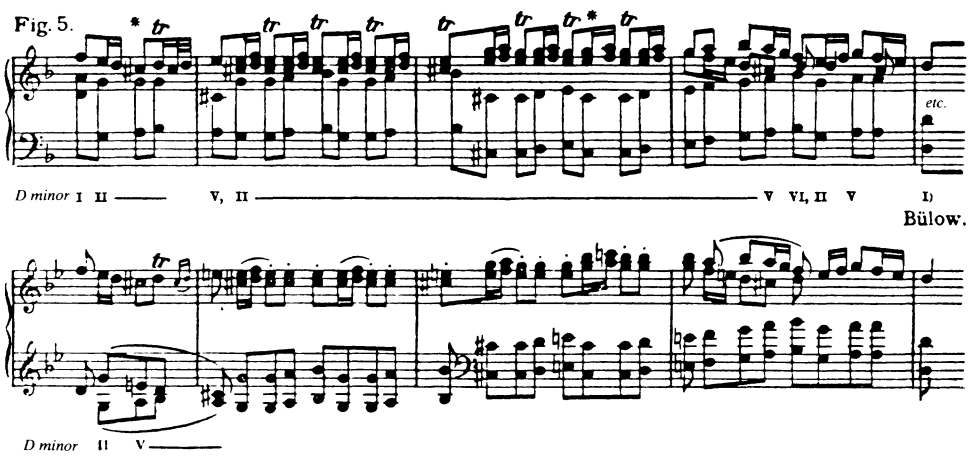
The conjunction of Scarlatti and Chopin had occurred once before, in *Der*

Tonwille – not in an analytical context but in a textual one. It might not merit inclusion here but for the fact that it relates nicely to textual points made in the analyses themselves, especially to Schenker's comments on von Bülow's editorial treatment of Scarlatti's Sonata in G major. Schenker's comments are, in any case, rarely purely bibliographic: most are concerned with issues of voice leading, and the tendency that editors had to obfuscate this. The conjunction in question dates from 1922, and occurred at the conclusion of 'The Art of Listening',[6] an article which adopted eighteenth-century mode of discourse between master and pupil, and proclaimed the need to train musicians to hear in long spans and to detect underlying scale-step-progressions rather than losing themselves in surface chord-progressions. It takes the F♯ major Prelude from Book I of *The Well-tempered Clavier* as its main instance, but then proceeds (*Tw*, iii, pp.24-5):

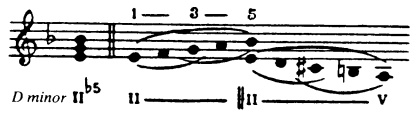
> But consider this instance from the field of editorial practice:

D. Scarlatti, Br. & H. V. A. Sonate Nr. 34.

Fig. 5.

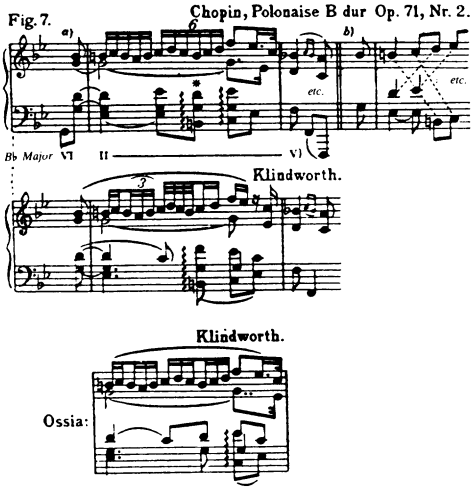


> As you can see, von Bülow does not have the ear to cope with the manifold processes of composing-out where voices drop beneath the root of the chord. . . . As a result, he fails to perceive the way in which, as the bass proceeds from scale-step II to scale-step V in the minor key:



the note which lies midway [in the descent e^1-a], $c\sharp^1$, which could otherwise in the minor easily give the impression of ♯VII = V, in fact scarcely ever signifies V, just as, for example, in b.2 of the Bach Prelude discussed above, the midpoint of the linear 5th-progression already represents scale-step II! How surprised von Bülow would be to learn that, for example, at the first asterisk of Fig. 5 the g^1 of the middle voice is not the 7th of scale-step V but the 3rd of scale-step II! And how he distorts this passage when each time it occurs he curtails it in his arrangement; and what is more, how he undermines the highest voice at the second asterisk, at the apex of a composing-out across the 3rd g^2-a^2-$b\flat^2$, so lovingly prepared and lucidly worked out by Scarlatti, when he anticipates the $b\flat^2$!

Or consider the instance of another editor:



> Klindworth evidently takes exception to the 8^{ve} B♮ -b♮ [1] at ⋆, if indeed he does not feel that he has, as in the *Ossia*, to eliminate consecutive 8^{ves} altogether – and all because he fails to perceive the true sense of the voice leading (shown in Fig. 7 (b)), in which 8^{ves} have no place. What presumption in the face of a Chopin! Similar meddling has disfigured all our masterworks for as long as the past 200 years – bar after bar, one might say. I resist the temptation to go on . . .

There is a natural progression here from the pupil (as I called him) of the first half of this article, who is in fact described as 'a highly-gifted composer', but who is left unnamed, to two of nineteenth-century Germany's best-known editors, who are now dragged to the pupil's stool to be named and publicly accused. Schenker's rhetoric powerfully reinforces this progression. Von Bülow was frequently the butt of Schenker's criticism in the editorial sphere; there was a running battle with him as early as 1908, and a pungent denunciation of him in 1914. Schenker delivered a vicious backhander at editors of Chopin (among others) in 1912; and in 1909 von Bülow and Klindworth were coupled with Riemann and Scholz as men who 'think they know better' and hence feel free to correct 'a J.S. Bach, a C.P.E. Bach, a Beethoven, a Chopin etc.'.[7]

This passage has, of course, intrinsic interest for its discussion of voice leading. But for present purposes we should note the ease with which Schenker moves from Scarlatti to J.S. Bach and back, and the clear implication that the same profound processes are at work in the two pieces. Even more telling at the end are the words 'Similar . . . *all our* masterworks'. We have already seen what 'our' meant in Schenker's language in such a context. Scarlatti and Chopin are palpably included here in the great, and now lost, tradition of German and Austrian composers, and at least some of their works are dubbed masterworks of genius.

II

Surprisingly, this is the only allusion to Domenico Scarlatti in the whole of *Der Tonwille*. Chopin, on the other hand, figures several times. In 1923, he is included in one of the many chronological lists of great composers of which Schenker was so enamoured – as illustrating ornamental keyboard technique: 'see in J.S. and C.P.E. Bach, Haydn, Mozart, Beethoven, Chopin etc.' (*Tw*, v, p.4). In 1924, in his extended discussion of Beethoven's 'Appassionata' Sonata, Schenker twice footnotes comparable situations in Chopin's output, one in the Study in A minor, Op.25, No.11, one in the Polonaise in C minor, Op.40 (*Tw*, IV/1 [=vii], pp.9, 18). However, it is at the very heart of Schenker's discussion of the Germanic spirit, in two passages in 'Concerning the Mission of German Genius' from 1921, that Chopin's status is made plain.

The first passage occurs in a long, rhetorically protracted list of 'betrayals'

which had allegedly been perpetrated on Germany by specific social groups (*Tw*, i, p.6):

> – by some of the Slavic peoples belonging to Austria, who to this very day remain oblivious of the fact that on the scales of true genius one solitary figure, Frederic Chopin, and perhaps also the one string quartet *From my Life* by Smetana, is worth more than all that the peoples of the West [i.e. West of Germany] have produced . . .

The reference to Smetana is perhaps surprising. It relates back eighteen years to a remarkable article that Schenker contributed to a journal of progressive social comment, *The Future*, edited by one of the leaders of the 'Naturalist rebellion' movement, Maximilian Harden.[8]

Schenker hailed Smetana there as an 'artist of genius' and lamented the scant treatment given to him by music historians, attributing his neglect to the provincial environment of 'the island of Bohemia' in which he worked. Schenker had seen *The Bartered Bride* several times in 1892-3, and likened it to Mozart's *Marriage of Figaro*. 'Nobody in buffo opera since Mozart's time has understood the mysteries of the motif, of thematic writing, in particular the communicative and propagative qualities of the motif, as well as Smetana.' Where Mozart and Smetana differed, it was because of the Bohemian national element in the latter's style: 'yet Bohemian music is much more closely akin to German than to Italian music', despite its greater reliance on rhythm and rhythmic contrast.

It was, however, the String Quartet *From my Life*, which he chanced to hear at the end of the 1892 season, which had confirmed his intimations of Smetana's genius – 'a shattering piece of autobiography which bears the stamp of Beethoven':

> In his originality, I discern clearly a certain substratum of stylistic receptivity (*Untergrund der Rezeption*); and yet there is no resemblance to the outward style of any other composer: it is only sheer artistic insight. This originality leaves me feeling that it has no antecedents, that it sprang from the moment when receptivity and insight came uniquely to fruition. This is why, when reading, playing or listening to his music before I realized this, it was always Beethoven, Schubert or Schumann who came to mind, and yet I was acutely conscious of the difference of outward style.

Returning now to Chopin, the second passage in 'Concerning the Mission of German Genius' occurs when at long last Schenker comes to apply what he has said in general to music in particular. He appends to his remarks (*Tw*, i, p.21):

> If the writer elevates the name of Frederic Chopin for inclusion in the roll of great German masters, this is because, despite the fact that his masterworks do not stem directly from Germanity but are indirectly bound

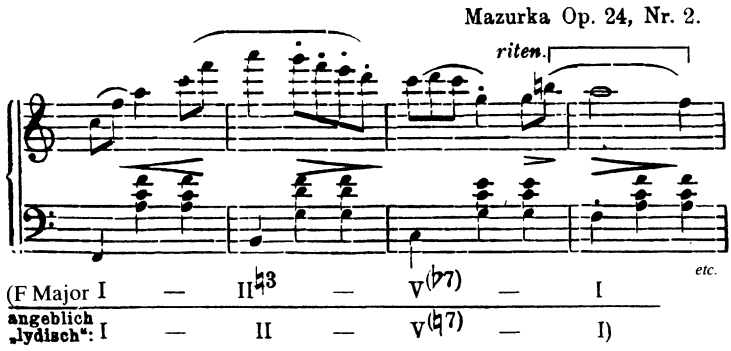
> to it, he wishes them, too, to be accessible as a source of the highest operations of genius, and in this most exalted sense also to place them newly at the service of the German youth.

Writing a year previously, in 1920, in his 'elucidatory edition' of Beethoven's Piano Sonata Op.101, Schenker refers to the autographs 'of the great masters' (of which he promises more discussion in *Der Tonwille*); and among these he names Chopin, the autograph of whose Scherzo in E major, Op.54, he briefly discusses (*Op.101*, p.6). Indeed, as we read the four volumes on the late Beethoven sonatas,[9] we cannot but be struck that Chopin's music was rarely far from Schenker's recall. A chromatic space-filling motion in the bass of the first movement of Op.111, with contrary motion in the upper voices, prompts Schenker to quote two analogous passages in Chopin's Nocturne in D♭ major, Op.27, No.2 (*Op.111*, p.7); the treatment of sextuplets in the first movement of Op.109 recalls comparable situations in Chopin's Nocturne in F♯ major, Op.15, No.2, and Study in A minor, Op.25, No.11 (*Op.109*, p.8); and Beethoven's notation of short note-values in the third movement of Op.109 prompts Schenker to suggest how Chopin would have notated them (*Op.109*, p.39). The Sonata Op.110 repeatedly prompts parallel cases: the *Höherlegung* of a motif in the first movement recalls three passages in the Study in C♯ minor, Op.25, No.7 (*Op.110*, p.28); and the localized tonicization of the dominant in the second movement recalls an 'absolutely identical situation' in the Mazurka in B♭ minor, Op.24, No.4, and prompts citation of further cases in the Studies Op.10, No.2 and Op.25, No.15 (*sic*) (p.50).

References to Chopin abound in the three principal theoretical writings. In *Harmony* (1906),[10] his music is quoted more frequently than that of any other composer except J.S. Bach and Beethoven – more, that is, even than Haydn, Mozart, Schumann and Brahms – and is brought into many of the major issues under discussion. In Part I of *Counterpoint* (1910),[11] he is again often quoted or cited. In *Free Composition* (1935: to move momentarily to the period beyond 1925) quotations of his music exceed all but those by Beethoven: there is scarcely a topic in Background, Middleground or Foreground which is not exemplified by reference to his music.

Indeed, in Part I of *Counterpoint* (1910), we find a discussion of Chopin's Mazurka in C major, Op.24, No.2, which, while strictly an exemplification of the admissibility of the tritone in free composition, amounts to a miniature analysis in its own right of the first section of the piece (pp.83-4):

> Thus, to take a most curious instance as our first example, Chopin writes:



If we are to understand the poetic basis [Schenker has just accounted for the augmented 4th at the beginning of Schubert's 'Ihr Bild' by reference to 'starrt' in the song-text] of the resultant tritone (bracketed in the example), and then come to appreciate the necessary function of this latter, we must visualize clearly the design of Section I in its entirety.

It is cast as a three-part songform, $A_1 - B - A_2$, and is as a whole in C major. However, at a more local level the disposition of the keys gives rise to a certain anomaly, and this in turn extends its influence with remarkable consistency upon all three subsections with surprisingly equal impact. For on the one hand A_1 and A_2, the outer subsections, both in C major, within their own orbit exploit a key contrast with A minor; but this does not take the form of a genuine A minor system, but more unusually of the quasi-'Aeolian' system, so that even at the cadences the leading-note G♯ is still avoided every time. And on the other hand the middle subsection of the songform, namely B (see Fig.44 above), in similar manner involves not an F major system but again, more curiously, a quasi-'Lydian' system, in order to strike a contrast with the A_1 and A_2 subsections. It is for this reason that in b.3 of our example the composer shuns B♭ – the only note which could wholly have confirmed F major in our minds (especially coming as it does after the chromatically-altered scale-step II).

That in doing this Chopin most certainly did not aim to recreate the old [modal] systems as genuinely equal and self-sufficient is plain from the way in which, quite to the contrary, he strives with the utmost artistic delicacy, in the Introduction and in the harmonic treatment throughout, to convince the listener that only C major and F major are present (see particularly in this connection the unequivocally tonal close of the Mazurka – a stroke of genius!). What we have here are only occasional touches of an archaicism which is no more than an artifice, an original whim of the sort that could at times come to a Chopin in the full flight of his creative imagination.

As to Schenker's earliest publications, Chopin figures several times in

A Contribution to the Study of Ornamentation, three times in association with Schumann. The one reference to him in the study of the Chromatic Fantasia and Fugue reads *prima facie* as yet another berating of nineteenth-century editors, but with hindsight takes on another meaning (p.18):

> May this study contribute to the recognition that masters such as J.S. Bach, C.P.E. Bach, Haydn, Mozart, Beethoven, Chopin etc. are musical natures of a radically more exalted organization, which stand high, infinitely high, above the wisdom of their editors.

III

Domenico Scarlatti is not mentioned in 'Concerning the Mission of German Genius', where Schenker's antagonism towards the Italian people surfaces at several points; nor in the four volumes on the late Beethoven sonatas, the study of the Ninth Symphony or in either volume of *Counterpoint*. More surprisingly, he is nowhere mentioned in the study of the Chromatic Fantasia and Fugue, where matters of keyboard technique are considered along with fantasy-like invention.

Seven of his sonatas are quoted or individually cited in *Harmony*, and by number of musical examples he ranks tenth out of twenty, below Schumann and above C.P.E. Bach. Three of these examples illustrate *Mischung* (the juxtaposition of major and minor of the same tonal centre), and in introduction of these three Schenker states: 'to show that the earliest masters were already quite familiar with the method of *Mischung*, I have placed this group of examples in historical order'. The others illustrate passing intervals, step-progressions by 5^{ths}, and direct tonicization. Several sonatas are elsewhere cited as having modal inclinations.[12]

It is in *A Contribution to the Study of Ornamentation*, at the beginning of Schenker's published writings, that Scarlatti's place in the theorist's scale of values is most clearly stated. That he belongs to the higher order of composers is made plain in the Foreword (p.2):

> For the few similarities that exist between them, there are clearly far greater differences which distinguish a Stamitz from a [C.P.E.] Bach, a Holzbauer from a [Domenico] Scarlatti, when the judgment of so many generations has made plain its preference for Bach and Scarlatti.

In this same Foreword, he expresses hope that C.P.E. Bach's *Essay*, through its then recent edition by Walter Niemann,[13] might prove a blessing to 'our generation', and goes on:

> And that is what we desperately need if we are to knock some sense into the

> heads of those still today whose judgment is so defective that they disdain the qualities of [C.P.E.] Bach (and also those of Scarlatti and Haydn) only to prize more highly some more limited talent.

Here we see Scarlatti associated in Schenker's mind with C.P.E. Bach and Haydn; in *Harmony* he was chronologically placed first in a sequence of composers: Scarlatti – J.S. Bach – Haydn – Mozart . . . as one of the 'earliest masters'; in 'The Art of Listening', he sprang to mind immediately after J.S. Bach. It is in the light of these associations that we should see his appearance in the first issue of *The Masterwork in Music*, after Schenker's reference to 'the full realization of the fundamental chord (*Grundklang*) and all the individual chords to be derived from that, with all the power of a Handel, a C.P.E. Bach and the other great masters' (p.40), and after the first five demonstrations of that power in analyses of movements from J.S. Bach's unaccompanied violin sonatas and *Twelve Little Preludes*.

IV

The first of the Scarlatti analyses in *The Masterwork in Music* contains, within its introduction, a miniature essay on the musical taste of the masses, and on the contrast between folksong and high art. All of this is designed to place Scarlatti in *haut relief* against the remainder of the Italian people, so abhorred by Schenker. What Schenker says of the people as measuring 'everything around it in terms only of financial reward and advantage' recalls his imputation, made thirteen years earlier when speaking of bad performances of early music, to Italy's leading opera composers of an interest in monetary gain:[14]

> Abundant springs of money well up from the shameful proliferation of tedious impressions. Precisely where billions could be made, nothing more than small change is handed out. What sums of money might be made out of J.S. Bach alone, if people only knew that his works . . . could, through authentic performance, acquire all the impressiveness of a Verdi or a Puccini!

Even more forthrightly he alleges in the present analysis:

> Only to think of [Scarlatti] shows us how little the output of all Italy's more recent composers has to do with real art – not even their dazzling worldwide success can gainsay this.

This *haut relief* is a necessary justification for Schenker's assumption of Scarlatti into the German world: not only was Scarlatti sharply differentiated from his fellow-countrymen, but they recognized this and shunned him. It was

Scarlatti's capacity to think from the background forwards, so to speak, which marked his claim to Germanity. This background quality placed him 'very close to the great masters of German Music' (. . . *den grossen deutschen Meistern sehr nahe*), and allows his memory to be honoured 'alongside theirs'. His alleged friendship with Handel is wheeled out to provide reflected glory, as too are Brahms's studies of his music.

Most interesting are the remarks on Scarlatti's abilities as a composer of sonatas. He has the 'sonata-spirit' or the 'breath of the sonata' (*Sonatenatem*). He harnesses his powers of 'synthesis' (*Synthese*) to sonata form. Notable is the absence of the notion of organicism from this discussion. The language is redolent of breast-feeding: the Fundamental Structure 'nourishes' the process of transformation, which yields 'new-born' intervals, these proliferating into a multitude, a great welling-up of intervals. And yet the notion advances no further than 'flights of synthesis'.

Comparison of this discussion with that of 'Concerning the Organic in Sonata Form', which appeared a year later in the second issue of the *Yearbook*, is pertinent. The following four passages present parallels:

(1) Now it becomes possible . . . with these new intervals, springing from transformation, to pour forth the first subject, followed by the transition and the second subject . . . as if they were all one. A single voice-leading procedure at once unites these sections . . . This outpouring takes place amidst a tempestuous unfolding of purely musical sonorities, as if in high drama. (D minor)

(2) The sonata spirit . . . takes hold so tempestuously here that the first subject, the transition and the first composing-out of the V scale-step are catapulted past in a single trajectory. (G major)

(3) Here the first subject, the consequent, the transition and the second subject are raised, under the compulsion of linear progressions and arpeggiations, to an organic whole. [continues directly:]

(4) Consider the first linear 5th progression, f^2-$b\flat^{1,15}$ which extends to b.31: this on its own integrates the first subject, the consequent, the transition and the antecedent of the second subject. ('Organic', p.49)

In the first two passages, synthesis takes place through hierarchical replication, which occurs as if in a storm, at great speed, in high drama – attributes which recall Schenker's characterization of genius as 'possessedness, a demoniac streak . . .' (*Tw*, i, p.18). This 'tempestuous unfolding', this 'compulsion', arises from the free-improvisatory nature of the invention: the stream of invention 'pours forth'.

The notion of 'invention in the spirit of improvisation' (*Erfindung aus dem Stegreif*) underlies the third and fourth passages also. However, hierarchical

replication has now been identified with the natural process of organic growth. This is not the place in which to survey the progressive inclusion of organicism in Schenker's developing thought. William Pastille has already provided a fascinating overview, in which he has traced the introduction of organicist terminology in *Harmony*, and its gradual assimilation in subsequent publications.[16] In the present case, the 1926 essay is a polemic against those nineteenth-century theorists (unnamed) who have used organic imagery in their prescriptions of sonata form while failing (according to Schenker) to grasp the essence of organic process; their attention has been diverted into surface melodic phenomena instead of focussing on elemental tonal material. Schenker slips back constantly into the language of the Scarlatti essays. Of the first movement of Beethoven's Piano Sonata Op.10, No.2, he says (*Mw*, ii, p.50):

> We can see that there is no other way in which the diminutions could have blossomed in the master's mind with such unity – unity and synthesis of the whole flow out of the Fundamental Line and Bass Arpeggiation – than through the miracle of improvisation.

Of the first movement of Haydn's Piano Sonata Hob.XVI/44 he asks 'the crucial question' (p.48):

> Would it have been possible for Haydn to effect the two arpeggiations without the thrust of improvisation to show him the way?

Schenker offers a definition of 'the essential feature' in the concept of sonata form, which is lacking from conventional theoretical accounts: 'the organic' (p.45):

> it is postulated solely by the invention of the parts out of the unity of the primary chord, that is by the composing-out of the Fundamental Line and the Bass Arpeggiation. The capacity to derive one's perceptions in this way from the primary chord is a prerogative of genius – a prerogative with which Nature endows it.

But how does the infusion of the organicist notion advance the argument? The essential ingredients of the idea are already present in 'Elucidations' from 1924, despite the fact that the concept of 'arpeggiation' had not yet been formalized; this article speaks of:

> a compulsive quest for unity, as the articulation of a tonal space replete with passing-note progressions in the background: that is to say, its synthesis . . . those who compose creatively out of the background, hence out of tonal space and the Fundamental Line – the geniuses . . .

Indeed, each assertion of the organicist notion seems to be reinforced by a

balancing syntheticist statement. Thus the definition quoted above is almost immediately qualified by (p.46):

> only invention in the spirit of improvisation is granted the unity of composing-out . . . *The whole must be invented in the spirit of improvisation* if it is to be anything more than an assortment of individual passages and motives in the manner of a schema.

Again, the discussion of Beethoven Op.10, No.2 quoted earlier continues with a similar balancing pair of statements (p.49):

> It is the sequence of all these linear progressions which creates the coherence of the parts, the organic nature of the content. It is invoked through the law of retention of the head-note.
>
> It should be said immediately that a linear 5^{th}-progression such as this first one in bs 1-31 cannot be invented in any other way than in the spirit of improvisation. The one linear 5^{th} impels the subsequent linear progressions, and so one's attention is swept up by this storm of improvisation which rages on, creating life and coherence from progression to progression.

This suggests that in the two Scarlatti analyses the two necessary components of the organicist view were already present: *growth*, through hierarchical replication, and *unity*, deriving from the controlling chord of Nature and guaranteed by the spirit of improvisation in which the invention is carried out. 'Concerning the Organic in Sonata Form' does little if anything more than bestow organic status on a process already well-formulated, and thereby accord to music the qualities of a living organism.

Finally, in *Free Composition* (1935) Schenker reiterated what he had said in his Scarlatti analyses. Condemning the Italians for their preoccupation with text ('music from the sidestreets and for the sidestreets, so to speak') and dubbing their opera and programme music 'word-generated diminution', he declares:[17]

> In only a single instance – that of Domenico Scarlatti – the Italian spirit revealed a superb capability for absolute diminution. Yet even he, a friend of Handel and a composer greatly revered by the last master of German tonal art, Johannes Brahms – even he had neither successors in his native country nor any real recognition of his unique worth. We must, however, give this Italian genius his rightful place with those Germans who mastered the art of absolute diminution.

The only extension of earlier ideas is Schenker's elaboration on 'the profound difference between Italian and German diminution – that is, between Italian and German music'.

V

The gulf between Chopin and his nation of origin is similarly emphasized in the introduction to the first of Schenker's two Chopin analyses; and the analogy with Scarlatti's position is struck immediately in the opening sentence (*Mw*, i, p.147):

> Like Scarlatti in Italy, Chopin stands isolated as a musical genius in Poland. And like Scarlatti, he too was for ever estranged from his fellow-countrymen, despite the fact that he came from the people, had its spirit in his veins and expressed it with fervour.

Schenker makes no comment on Polish art comparable to those on Italian art, but as with Scarlatti he draws Chopin into the bosom of Germanity (*Mw*, i, pp.147-8):

> For the profundity with which Nature has endowed him, Chopin belongs more to Germany than to Poland. May German musicians at long last turn their attention to him and come to understand him.

Turning to the European-wide comprehension of his music, Schenker considers him to have been underrated because 'of not having ventured to write symphonies, string quartets, operas, oratorios and the like'; and dismissed as a salon composer on account of the genres that he chose and the pianistic medium that he used: 'but if indeed he wrote for a salon of any sort, it was for a salon exclusively frequented by geniuses'. People would not come to admire him, Schenker claims, until they had finally learned how to listen to his music properly.

As with Scarlatti, it is the far reach, the long-range span of his invention that marks him out:

> The skill of his voice leading ranks him with the greatest masters of music; the sheer expansiveness of unfolding progressions rests on a compositional power without compare – yet who is there that has ever followed them!

He cites the neighbouring-note formation $b\flat^{1}$-$c\flat^{2}$-$b\flat^{1}$ of the Study in E♭ minor, Op.10, No.6, for the fact that it connects up across the first thirty-three bars of the piece, and the passing-note formation $a\flat^{1}$-$g\flat^{1}$-f^{1} of the Study in G♭ major, Op.10, No.5, for the way in which it spans bs 21-41 and is 'elaborated in so masterful a way'. 'But then every work of Chopin's abounds in such unfoldings – unfoldings which far outstrip the acuity of any ordinary ear.'

Not surprisingly, therefore, Schenker included analyses of two more of Chopin's Studies Op.10 in his *Five Graphic Music Analyses* of 1932, [18] alongside works by J.S. Bach and Haydn. The frequency with which Chopin's music is cited, and the sheer number of music examples drawn from his works, in *Free*

Composition have already been alluded to. There is no statement in that work which characterises Chopin; but there is one remark which suggests that Schenker saw Chopin as one of the last bastions of the art of diminution, after whom only Brahms stands alone as the final exponent:[19]

> German musical genius gave greater depth to diminution by creating an especial abundance in the middleground, which, in turn, made a still greater abundance of foreground relationship organic. Schubert, Mendelssohn and Chopin still revealed a genius for diminution, each expressing it in his own personal way. But their followers and imitators could equal neither the older nor the younger masters. Wagner's attack was then directed against the imitators . . .

VI

That Chopin and Domenico Scarlatti – non-German composers – occupied a special place in Schenker's mind has long been recognized. This article has investigated their privileged status by drawing together statements from the full range of Schenker's independent publications, and by relating these statements to associated, more general issues: Schenker's political attitudes, Germanity, genius, improvisatory invention, and organicism.

However, this article must do duty not only as a self-sufficient study of these matters, but also as an introduction to five translations made by the author. Three of these translations follow in the present issue, and the remaining two will appear in a future issue of this journal. These translations have been subjected to a high level of editorial activity, with intensive footnoting; specific issues have been taken up immediately in this way. Two matters call for comment here: the reason for including the article 'Elucidations' alongside the two Scarlatti analyses and the two Chopin analyses; the formal structure of the four analyses.

The first of these can be stated briefly. 'Elucidations' was apparently a fragment from the early version of *Der freie Satz* which Schenker prepared in 1915-19, and which survives in manuscript in the Ernst Oster Collection at the New York Public Library. Schenker published it four times, and details, with a brief discussion, are given in footnote 1 of the translation. The justification for including it here is simply that it is referred to by all four analyses (as indeed it is by all five of the other analyses in this volume of the *The Masterwork in Music*, and many other analyses of the time as well). It served as a residual source of ideas which Schenker did not wish to reiterate.[20]

On the second matter, all four analyses carry discussions of nineteenth-century editions and arrangements of the works in question: Czerny's, von Bülow's and Tausig's of Scarlatti, and the edition of Chopin's works by W. Bargiel, J. Brahms, A. Franchomme, F. Liszt, C. Reinecke and E. Rudorff,

which Schenker called the 'Urtext edition', published by Breitkopf und Härtel in 1878-80, of which the edition of *Etüden für das Pianoforte* formed Volume 2. The analyses of Chopin also carry remarks on performance, and critiques of Hugo Leichtentritt's analyses dating from three years earlier of the two studies.[21] It might have been tempting to omit these passages as of transitory significance. Like John Rothgeb in his fine translation of the first J.S. Bach analysis in the same volume,[22] I was not so tempted, and for two reasons.

First, as I indicated earlier, I consider them of intrinsic interest for what they tell us about voice leading, parallelisms and other matters. In these respects, they provide for each piece analytical material additional to that generated by the Graph of the Fundamental Line and the reductive figures within the running text. The consequence of Schenker's discourse does not evaporate where the formal description stops; the passages on textual particulars, the critique of secondary literature, and the remarks on performance, too, intimate other thoughts that were present in Schenker's mind.

Second, Schenker himself evidently held them to be constituent parts of an analysis, not appendages. For there is a certain consistency to Schenker's mode of analytical presentation. We might speak of a 'matrix' for analysis – a prescriptive order, traces of which are discernible very early in Schenker's published output.

This matrix reflects very closely Schenker's several concerns: with profound structure, with compositional process, with autograph studies, with textual scholarship, with the practicalities of performance, and with pedagogy. The matrix grew as Schenker's ideas developed. Its essentials exist in the study of the Chromatic Fantasia and Fugue. This, being the first of Schenker's line of *Erläuterungsausgaben*, comprises an edited text of the music accompanied by an extended commentary. The commentary in turn comprises a preamble (pp.17-18) on the primary source-material and on the Bachgesellschaft edition and subsequent editorial activity; then (pp.19-46) a conspectus and bar-by-bar commentary on the Fantasia and the Fugue; and then (pp.42-6) an examination of performance issues: touch, dynamics, fingering. Four essential components are thus already in place: primary sources – editorial activity – musical substance – performance.

The study of the Ninth Symphony (1912) adds to these components and crystallizes their order. Its subtitle reads: A Presentation of the Musical Content with Constant Resort to Performance Matters and Secondary Literature'. For so large a structure, the study takes each movement, first supplies a tabular representation of its form, then proceeds to give each section its own threefold treatment in accordance with the subtitle. The survey of secondary literature is the new component, assessing as it does the commentaries of Wagner, Riemann, Grove, Kretzschmar and Weingartner. However, these surveys invariably begin by transmitting Nottebohm's evidence from the sketch-materials and quoting from his transcriptions. The treatment, now systematically ordered, runs: musical content – performance – primary sources – secondary literature. This is not an *Erläuterungsausgabe*, therefore does not

supply its own edition and does not survey the nineteenth-century editorial activity, not even commenting on the Breitkopf und Härtel complete edition of 1864-90.

The *Erläuterungsausgabe* of four of the last five piano sonatas of Beethoven consolidates the formation of the matrix. To quote William Drabkin, whose cautionary review of the revised edition is essential reading:[23] 'Each volume consists of a score of the piece, based on the authentic extant manuscript and printed sources, and a text which comprises most or all of the following: an analysis of the piece, a discussion of variant readings among the sources and in modern editions, a selective transcription and discussion of the sketches, remarks on performance, and a commentary on selections from the secondary literature'.

Throughout *Der Tonwille* essentially the same procedure is followed. The analysis of Beethoven's Piano Sonata Op.2, No.1, for example (*Tw*, ii, pp.25-48), allots eleven pages to musical content, half a page to the sketches, three pages to textual and editorial issues, three and a half pages to performance and six pages to the secondary literature – but with one new element: a double-sided fold-out sheet tipped in at the back of the issue, not yet labelled *Urlinie-Tafel*, and indeed only partway to being such a thing.

The final stages of development concern entirely the treatment of musical content. This undergoes a radical transformation in the later issues of *Der Tonwille*. The details of the transformation alone would make a fascinating study. The conventional terminology of structure – 'first subject' (*erster Gedanke*), 'second subject', 'transition' (*Modulation*), etc. – which in the study of the Ninth Symphony dictated the form of the discussion, gradually assumes a secondary role. The introduction first of the fold-out supplement in 1921 (*Tw*, i), and then of the layered reductive graph in the course of the running text, of which the first fully-fledged example occurs in 1923 (*Tw*, v, p.8), now makes way for a wholly new presentation of content designed to trace the compositional process from its beginning to the completed work. This presentation is well-developed in the Scarlatti and Chopin analyses of 1925. The treatment of musical content now proceeds in three clearly-defined stages, each stage an exegesis of a specific musical text: Fig.1 (a layered graph, discussion of which is subdivided into paragraphs on layer (a), layer (b) and so forth); the *Urlinie-Tafel* or Graph of the Fundamental Line (the supplement); the *Ausführung* (Elaboration), or finished score. The beginning of each of the latter two stages is usually signalled by placing the word *Urlinie-Tafel* or *Ausführung* in spaced type.

The matrix as a whole, its principal elements usually separated off by an asterisk, now comprises: musical content (subdivided) – primary source-materials – subsequent editorial activity – performance – secondary literature. These elements are activated as required by the work under examination.

NOTES

1. *Das Meisterwerk in der Musik: ein Jahrbuch* [*Mw*], i (1925), pp.9-40; quotation from p.40. A translation of this essay is available in S.Kalib, *Thirteen Essays from the Three Yearbooks 'Das Meisterwerk in der Musik' by Heinrich Schenker: An Annotated Translation* (PhD diss.: Northwestern University, 1973), ii, pp.2-51; iii, pp.4-20. All translations from Schenker's German in the present article are my own except where specifically acknowledged.
2. *Chromatische Phantasia und Fuge, D moll von Joh. Seb. Bach: kritische Ausgabe mit Anhang* (Vienna: Universal Edition, 1910, rev. edn O. Jonas, 1970; Eng. trans. H. Siegel, 1984).
3. *Ein Beitrag zur Ornamentik, als Einführung zu Ph. Em. Bachs Klavierwerken, mitumfassend auch die Ornamentik Haydns, Mozarts u. Beethovens etc.* (Vienna: Universal Edition, 1904, 2/1908/*R*1954; Eng. trans. H. Siegel in *The Music Forum*, iv (1976), pp.1-139).
4. *Der freie Satz, Neue musikalische Theorien und Phantasien*, iii (Vienna: Universal Edition, 1935, 2/1956, ed. O. Jonas; Eng. trans. E. Oster, 1979).
5. 'Von der Sendung des deutschen Genies', *Der Tonwille* [*Tw*], i (1921), pp.3-21. Although in the translations of Schenker which follow this article I have chosen to render *Meisterwerk* as 'masterpiece' and *Meister* as 'composer', in the belief that these conform more closely to the Anglo-English style of my translation, I have throughout the present article rendered them 'masterwork' and 'master' so as to convey the feel of Schenker's words more directly.
6. 'Die Kunst zu hören', *Tw*, iii (1922), pp.22-5.
7. *Ein Beitrag zur Ornamentik*, pp.4-6, and *passim*: I have been unable to consult the 1904 edition in connection with either this or later discussion; *Die letzten fünf Sonaten von Beethoven . . . Op.110*, pp.7-10; *Beethovens Neunte Sinfonie* (Vienna: Universal Edition, 1912), pp.XIX-XX; *Chromatische Phantasia und Fuge*, rev. edn, 1970, p.17.
8. *Die Zukunft*, iv/40 (1 July 1893), pp.37-40.
9. *Die letzten fünf Sonaten von Beethoven: kritische Ausgabe mit Einführung und Erläuterung* (Vienna: Universal Edition, 1913-21, 2/1971-2, ed. O. Jonas): *Op.109* (1913), *Op.110* (1914), *Op.111* (1916), *Op.101* (1921).
10. *Harmonielehre, Neue musikalische Theorien und Phantasien*, i (Stuttgart and Berlin: Cotta, 1906/*R*1978; Eng. trans. E.M. Borgese, 1954/*R*1973).
11. *Kontrapunkt, I: Cantus firmus und zweistimmiger Satz, Neue musikalische Theorien und Phantasien*, ii/1 (Stuttgart: Cotta, 1910).
12. *Harmonielehre*, pp.119 (Eng. trans., p.96); exs 76 (69), 77 (70), 78, 105 (92), 270 (205), 288 (222); p.105 (omitted at p.82 in Eng. trans.).
13. (Leipzig: C.F. Kahnt, 1906, 5/1925).
14. *Beethovens Neunte Sinfonie*, 2/1969, p.XIX.
15. b♮ [1] : b♮ [2] in the original. 'Vom Organischen der Sonatenform', *Mw*, ii, pp.43-54; a translation of this essay by O. Grossman is available in *Journal of Music Theory*, xii (1968), pp.164-83.
16. W. Pastille: 'Heinrich Schenker, Anti-Organicist', *19th-century Music*, viii

(1984/5), pp.29-36; see also R.A. Solie: 'The Living Work: Organicism and Musical Analysis', *19th-century Music*, iv (1980/1), pp.147-56; J.Croy Kassler: 'Heinrich Schenker's Epistemology and Philosophy of Music: an Essay on the Relations between Evolutionary Theory and Music Theory', in *The Wider Domain of Evolutionary Thought*, ed. D.Oldroyd and I.Langham (Dordrecht: Reidel, 1983), pp. 221-60.

17. 1935, pp.27, 152, 153-4, quoted here in Oster's translation, pp. 161, 94, 161. The first and third passages briefly quoted here were omitted from the second edition.
18. *Fünf Urlinie-Tafeln/Five Analyses in Sketchform* . . . (New York: David Mannes Music School, 1933; new edn F. Salzer, 1969).
19. 1935, pp.173-4, quoted here in Oster's translation, p.106.
20. A translation is available in Kalib, *Thirteen Essays*, ii, pp.156-62; iii, pp.51-4, under the title 'Clarifications'.
21. *Analyse der Chopin'schen Klavierwerke* (Leipzig: Hesse, 1921-2): 'Die Etüden', ii, pp.78-209.
22. 'The Largo of J.S. Bach's Sonata No.3 for Unaccompanied Violin [BWV 1005]', *The Music Forum*, iv (1976), pp.141-59.
23. 'The New *Erläuterungsausgabe*', *Perspectives of New Music* (Fall-Winter 1973/ Spring-Summer 1974), pp. 319-30.