18

ANALYSIS SYMPOSIUM

EDITOR'S NOTE

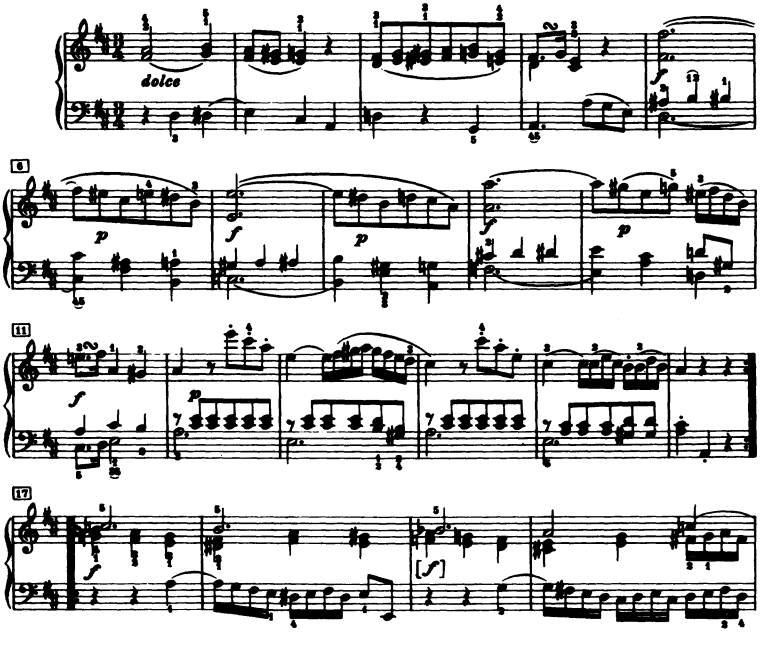
With this issue we begin a series of symposiums devoted to analysis. These should be of considerable interest to those concerned with problems of analytic method. The procedure is uncomplicated: A short composition is selected and experienced musicians are invited to prepare analyses. No constraints are imposed; each author is free to set down whatever he feels is relevant and to use any technique he regards as appropriate.

HOWARD BOATWRIGHT

ERNST OSTER

For the first symposium we have chosen a short piece by W. A. Mozart, the Menuetto in D major for Piano (K. 355). The score is reproduced in full on the following two pages.

We had intended to publish three analyses, not two. Unfortunately, one of those invited to contribute was unable to meet the deadline. We say this to forestall the notion that our two authors are to be viewed as adversaries in any sense.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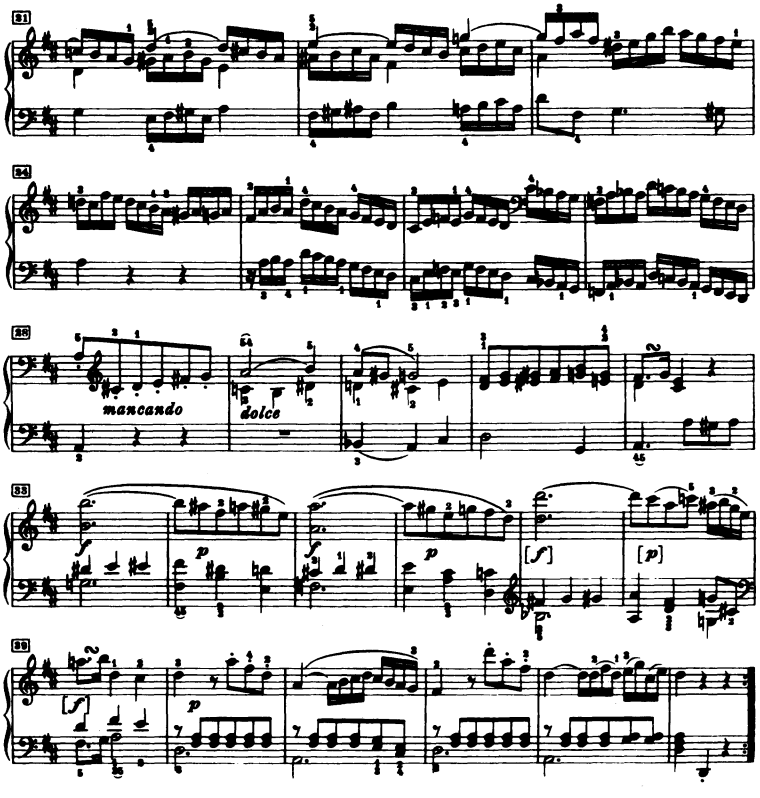
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ANALYSIS SYMPOSIUM

HOWARD BOATWRIGHT

I. Mozart's remarkable little Menuetto (K. V. 355, revised by Einstein to 594a and dated 1790) is one of those works which demonstrate his special interest in chromaticism. It is a mate to (and is sometimes printed next to) the well-known chromatic Gigue (K. V. 574) which Mozart wrote in the album of the Leipzig court organist, Engel, after his visit to Berlin and Leipzig in the spring of 1789. Perhaps it is not far-fetched to assume that contact with previously unknown works of J. S. Bach in Leipzig, as well as the tasks of orchestrating Handel's Messiah (1789), and Ode for St. Cecilia's Day and Alexander's Feast (1790), stimulated Mozart not only to intensified contrapuntal effort in his last works, but also to a style of harmony sometimes closer to baroque "affect" than to classical clarity. Looked at from another angle, Mozart's late chromaticism may appear to be an anticipation of romantic (or even later) har-

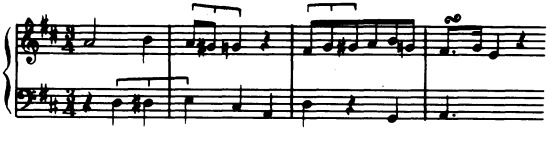
monic practice – a manifestation of that clairvoyance which genius possesses.

There are remarkable chromatic passages in a number of the mature works of Mozart. The Menuetto in question, however, provides an especially good illustration because one can discuss not merely a section, but a whole piece. Further, the non-functional character (no trio section; no place within a larger work) suggests that experiment as well as expression was perhaps Mozart's own objective. If so, all the more appropriate is analytical dissection, in itself a form of experiment.

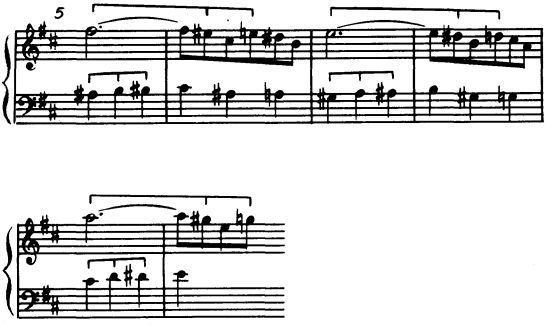
II. There is no doubt that one is first struck by the prominence of chromatic sonorities in the Menuetto, especially since the mode is major. The first measure of the piece contains such a sonority, and there are six others (augmented triads) which are boldly emphasized by a forte accent and strong metrical position. Further, there are abrupt shifts of accidentals which change the mode and/or key in unexpected ways. Except for the last four bars of the A section (and the transposed repetition of these bars at the end of the piece), which seem deliberately calculated to contrast ingenuousness with sophistication, nearly every measure contains some harmonic feature sufficiently complex to warrant discussion.

As challenging as the harmonic problems in the Menuetto are, I find even more interesting the high level of motivic development, all of which seems to be generated within the first four measures. I should like to discuss this aspect first, because a number of the surprising harmonic features may result, it seems to me, from compositional logic on the motivic level rather than from harmonic procedures, as such.

The first important melodic motive in the piece is a chromatic sequence of three tones:

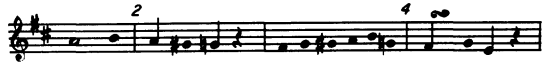


This motive is developed in the sequences of bars 5-10 (and in the transposition of these bars, 33-38):

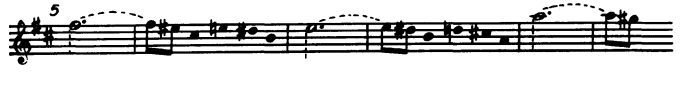


The fact that the outer voices in bars 5-10, considered alone, reveal no unusual harmonic thinking, and that the augmented triads, of such striking effect, occur through the exposition of the three-note chromatic motive in the tenor would seem to bolster the appropriateness of a non-harmonic explanation of these sonorities.

Actually, the falling resolution in bar 2 is in itself germinal, whether or not three chromatic steps are involved. The first instance (bar 2) involves a chromatic passing tone; the second (bar 4) is a $\frac{6}{4}$ - $\frac{5}{3}$ elaborated with a turn:



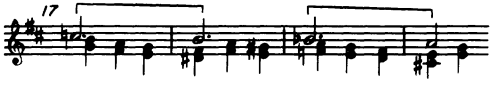
Having established that such a falling second occurs on the weak (thesis) bars, 2 and 4, it is not surprising that we find it again in bars 6, 8, and 10.



Beginning with bar 5, the strong (arsis) bars have a dissonance, which enhances the effect of resolution in the weak bars. In bars 5, 7 and 9, this dissonance is the augmented triad, in which the crucial tone (always in the tenor) enters without simple melodic preparation, producing the maximum shock for

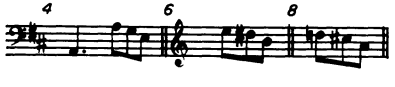
such a sonority.

That the falling second after a strong dissonance on the accented bar functions as a genuine compositional element in this piece (and that it is not merely a commonplace of the style) becomes evident in the B section, after the double bar. This section introduces no new melodic phrase, but consists entirely of a development of the falling second motive. The same conditions are present in each case: there is an unprepared dissonance on the first tone, and a resolution, albeit not a simple one, on the second. The first two statements are placed on alternate strong and weak bars, as before:



But the meter is ignored after the third beat of bar 20, when the motive is treated sequentially in diminution, leading to a climax on the dominant, prior to dissolution into running figures and a return to the A strain:

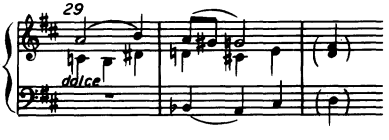
So pregnant are the opening measures of the Menuetto that significant issue is brought forth even from the three eighth-notes which serve as an upbeat link to bar 5. The same melodic figure occurs in the same metrical position in bars 6 and 8 (and in the return, at bars 34 and 36):



One may also construe a rhythmic relationship between the above figure and the three staccato eighth-note upbeats in the closing phrase:

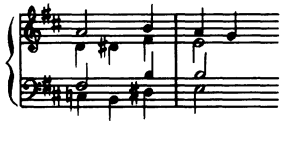
In spite of all the interesting features in the A section of the Menuetto and the B section "development", it is in the treatment of the return of the A strain that Mozart's thinking seems

to reach the highest level of compositional sophistication within this piece. First of all, the tonic, D major, is not touched until the third bar of the return – a clear rejection of the common assumption in classical music that tonality is used to clarify and reinforce the formal structure, if not, in fact, to make it. Mozart's evasion of the tonic in this case is no mere deceptive cadence but a total negation of D major by a succession of tones implying other tonics before the dominant is reached on the second beat of bar 30:



Here, especially, it seems evident that motivic considerations have taken precedence over purely harmonic ones; and, in fact, that the complexity of the harmony results directly from such a shift in the order of priority.

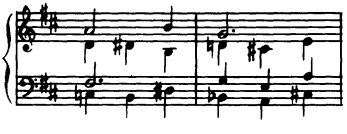
The first move in this extraordinary jeu is not unharmonic in its implications: it consists merely in an inflection towards the subdominant (G) by the introduction of a minor seventh in what normally would have been the tonic (D). The next harmony is a secondary dominant to the supertonic in D. Worked out in four voices, and resolved conventionally, the bar would be as follows:



But Mozart has treated the alto which expresses these harmonies in the two-part version as though it were a structurally important motive, repeating it sequentially in the next measure (bar 30) and imitating it in the bass as well. The imitations are literal – half-step for half-step and whole-step for whole-step – which means that a really violent cross relation

must occur between the soprano B (third beat of bar 29) and the bass B♭ (first beat of bar 30). Further, the melody has an A over the B♭, which may be construed as an accented passing tone (or a suspension from the A of the previous bar 29 ornamented by a returning tone). The A does not reach the G that could form a sixth chord with the B♭ in the bass until that tone itself has moved to A. *1

By accounting for the A and G♯ of bar 30 melodically (i.e., as non-harmonic tones), and substituting the G which is their goal on the first beat, we may postulate the completion of these two bars (29-30) in four-part harmony as follows:



The above harmonic sequence is not at all impossible within the conventional limits of the style because the grouping of the harmonic areas with the bars eliminates the incongruity of the cross relation. In fact, if bar by bar grouping of the harmony were the objective, the cross relation merely assists towards achieving it.

The point remains, however, that we have proved nothing at all by showing that some sort of orthodox harmonic explanation can be found for such a passage. Its very beauty is its flight into the harmonically improbable while in pursuit of motivic coherence in the lower voices. That such an event occurs at one of the most conspicuous intersections of the formal structure makes it all the more striking, giving the listener the maximum shock – or excitement, depending on how one looks at it.

III. While harmonic analysis alone may not approach very close to the core of musical thought as elegant as that of the mature Mozart, it would be begging the question not to examine any of the more unusual passages in the Menuetto from the harmonic point of view – especially those which involve the augmented triads.

If a sonority can function as a compositional element in the

28

EXAMPLE

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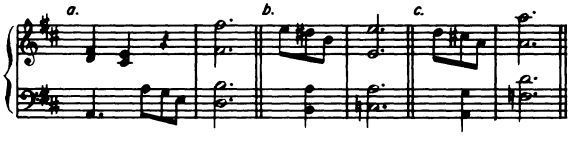

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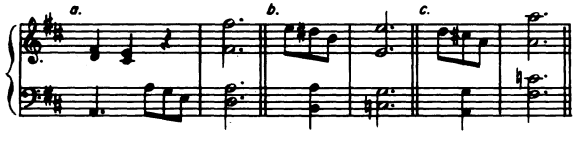


same way a melodic or rhythmic motive can, then the augmented triad is a "harmonic motive" in this piece. Once again, the genesis occurs in the opening bars. The second harmony in the piece (an augmented triad in 6/4 form, if regarded as an independent chord) serves warning on the listener that this is a context in which such sounds may be expected to occur.

It is not difficult to explain out of existence this first augmented chord: it results from a simple returning tone in the alto, which has its logic in being coupled in thirds to the melody. But to so dismiss this harmony is to lose sight of the significant fact that Mozart has given it deliberate prominence. Merely to demonstrate that its function is really that of a V6 (secondary dominant) shows that Mozart was working within the bounds of functional harmony, but it does not even touch the more interesting question of why he utilized the freedom within that system to thrust this particular sonority at the listener in this particular spot. Nor does information about the harmonic function of this sonority relate it to the other similar ones, each of which has to be explained, functionally, in a different way. The number of augmented chords in this little piece, as well as their prominence, can only suggest that Mozart simply wanted those sounds, and that he was so much a master of the harmonic system of his time that he could bend it to his subjective musical desires. At the same time, in that remarkable fusion of aurally and intellectually motivated procedures characteristic of the greatest composers, there is present with the augmented chords in bars 5-9 the element of motivic development, discussed earlier.

But to continue a harmonic analytical approach, the augmented chords in bars 5-9 may also be explained as "non-essential" harmonies (although essential to this piece, they certainly are) resulting from the melodic tendencies of an inner part. However, the terms under which the crucial tone (always in the tenor) may be explained as a non-chord tone must be stretched to the limit. The following could be the explanations, in those terms:

1. The A in the bass at the end of bar 4 is carried by the ear to the beginning of bar 5, where it moves into an accented passing tone, A♯, on the way to B.

2. The G♯ in bar 7 is an accented returning tone, coming from and returning to A.

3. The C♯ in bar 9 is a suspension of the C♯ in bar 8,

transferred from the melody to the tenor, and resolved to D.

Another possibility is to ignore the preparation of the crucial tones, but to look at their resolutions. Each may then be regarded simply as a lower neighbor at the half-step of the tone which follows it. The basic harmony for each bar, according to this approach, is a sixth chord. Such an interpretation leads to resolutions of the preceding dominants as shown in Example 1.

To approach the problem in still another way, we may take the unfigured bass and melody as a starting point, and assume that each augmented triad is a true altered chord, each having a raised fifth. If such were the case, the preceding dominants would then have the following resolutions shown in Example 2, substituting unaltered chords for altered ones. If we consider the two sets of resolutions given in Examples 1 and 2, the more convincing ones are Examples 1c and 2a and b.

It now becomes clear that in spite of the sequential nature of the passage, bars 5-9, each augmented chord has a different melodic origin and a different harmonic function. Therefore, they could not have originated through a single melodic or a single harmonic-functional intention. The single intention of Mozart, then, seems to have been simply to have the same sonority, an augmented triad, on the first beat of every other bar in the passage. Or from the motivic point of view, to have the three-note chromatic motive in the tenor part in every other bar. Or perhaps Mozart may have had one of these intentions, and the other formation may have been one of those lucky accidents which Stravinsky admits to be so important in composition, if the composer is shrewd enough to know how to seize upon them and to weave them into the fabric so that the intentional and the accidental can no longer be distinguished from each other (see Poetics of Music, pp. 53-55).

IV. The Menuetto contains a number of other features which are worthy of discussion in detail – the abrupt shift of mode and harsh double appogiaturas at the beginning of the B section (bars 17 and 19), the unconventional alignments of passing tones in the bass (bars 18 and 20), the vacillation between minor and major in the running figures which lead to the return of the A section (bars 24-28) – but the features already treated in some detail suffice to indicate main points about the piece which make it of particular interest, not only in itself, but in relation to later practice. In summary, these are:

1. Motivic development is sometimes carried to a level which places it in higher priority than functional harmony.

2. Delineation of the form is not always achieved by simultaneous delineation of the tonality.

3. Individual sonorities are sometimes treated for their sheer sound, their derivation through voice-leading or their position in the harmonic scheme being of secondary importance.

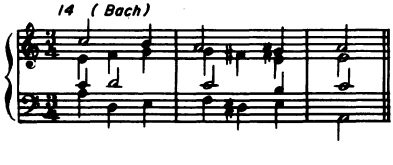
4. Modality (major or minor) is sometimes interchanged freely.

5. Musical thought of high density and multi-faceted complexity is expressed within a very short form.

One cannot help speculating, after considering the implications inherent in this small but symptomatically important Menuetto, written when Mozart was 34, what course his music, and European music in general, might have taken had he lived as long as Haydn, to the age of 74. He would then have spanned the entire careers of Beethoven and Schubert, and would have died in 1833, the year of the première of Schumann's First Symphony, and five years after the composition of Berlioz's Symphonie Fantastique.

REFERENCES

1 This sort of occurrence is not uncommon in Bach. For example, in the following passage from the chorale "Puer natus in Bethlehem", the first chord of bar 15 has a suspension in the alto (G). But as the suspension resolves, the bass moves, forcing the alto to assume a new accidental (F♯).



32

ANALYSIS SYMPOSIUM

ERNST OSTER

Nothing is known about the history of Mozart's D major Minuet. The autograph is lost, and it has been impossible to establish when it was composed. The piece was first published in 1801 under the title "Menuetto avec Trio pour le Piano-Forte par W. A. Mozart, et M. Stadler." Stadler added a trio in B minor, a second-rate composition, which was rightly omitted in later editions. The only modern edition which reprinted it is that published by Henle in 1951. In Henle's "improved edition" of 1955, however, the trio was again left out.

Köchel placed the piece in the year 1780 and assigned to it the number 355. Einstein (following Wyzewa and Saint-Foix) believed that it showed "all the characteristics of Mozart's most mature style" and gave it the number 594a (1790). In his appendix to Köchel 3, Einstein suggested that the piece might

originally have been part of the D major sonata K. 576 (1789); and, following this idea, the editors of Köchel 6 gave it still another number, 576b. But there is no real basis for Einstein's assumption, excepting the identity of key. And it appears highly unlikely that Mozart would have included a short minuet without a trio in a sonata of the length of the D major K. 576.

Neither the Minuet's chromaticism, nor its sudden dissonances, nor certain contrapuntal devices would of necessity point to a late period in Mozart's work. All of these features appear in some of his much earlier compositions. And the strange diversity of texture seems to deny the possibility that the piece was written in the vicinity of masterworks such as the D major sonata or the D major quartet K. 575. At first glance, most of its middle section with the running sixteenths seems out of keeping with the rest of the composition. It may have been features of this kind which led Siegmund-Schultze to assume that the piece was written somewhat earlier than 1790.*1 Siegmund-Schultze also says that Mozart seems to have tried "special minuet studies" in K. 355 and mentions that Mozart, at that time (1790), "experimented" with other forms as well, for instance with the gigue (K. 574) and particularly the rondo.

At least as far as our Minuet is concerned, I think that Siegmund-Schultze hit the nail on the head when he spoke of "minuet studies" and Mozart's "experimenting". The piece is certainly a genuine Mozart, and in many ways it is of great beauty. But it also contains a few compositional weaknesses not usually to be found in Mozart. If the piece really is a "study", then we are provided with an explanation for its occasional imperfections and are able to see them in their proper light. It would also explain why Mozart did not complete the composition. I even wonder whether the last twelve measures of the main part were written by Mozart himself. I shall deal with this question later on.

In order to make clear what I mean by "weaknesses", I should like to discuss the beginning of the middle section, measures 17-18. g^1 on the first beat must be understood as a passing tone, either coming from a^1 in m. 16, or else from an a^1 implied on the first beat, as shown in Example 6d. It then becomes apparent that the left hand repeats in smaller note values almost literally the lower part of the right hand (Example 6e). One could almost call this a canon by diminution. Both statement and imitation come to simultaneous close on e, and the coinciding of the closures results in the rather "unpleasant" octaves f♯-e. (Clearly, d♯ in the bass really represents a

quarter note and thus weakens the effect of the parallel octaves to a certain degree. But since f♯ in the left hand is melodically significant, the octaves undeniably exist and are heard.)

These consecutive octaves, coming about, as they do, unintentionally, show a certain awkwardness, a certain lack of routine or skill in contrapuntal and imitative writing which would never occur in Mozart's late compositions. A quick glance at the rondo of the quartet K. 575 or the corner movements of K. 576 makes us realize what incredible mastery, ease, and elegance in handling similar problems Mozart had arrived at in 1789. I wish to draw particular attention to the most beautiful open fifths in mm. 105-106 of the rondo of K. 576: note how these fifths are motivically prepared in the preceding measures — "motivated" in this specific sense and thus made logical to the ear. (This is in addition to the basic explanation that the chromatic passing tone b♯1 should really appear before the bar line but is, for motivic reasons, shifted to the first beat.) Even the most daring and most dissonant passages in Mozart's later works are in the same sense logical and convincing. (See for example the minuet of the G minor quintet; the famous dissonant "chords" in mm. 150ff of the G minor symphony; the opening of the C major quartet, discussed in Schenker's "Harmony" p. 346 in Appendix I by Oswald Jonas. *2) In comparison with these late compositions, the D major Minuet appears somewhat labored. And, to this writer, the vehement dissonances in mm. 5ff and mm. 17ff sound willful and not fully convincing. Even Wyzewa and Saint-Foix call them harsh (âpres).

For a piece of such short duration, there are too many disparate melodic and contrapuntal devices. The texture changes too frequently and too suddenly. All of this is quite different from the late works, where Mozart's aim seems to have been to achieve the greatest possible unification and integration of the materials employed.

There is a whole group of compositions by Mozart which occasionally show a similar lack of skill and even some awkwardness in the handling of contrapuntal devices. I refer to those compositions which Mozart wrote after he had met Baron van Swieten and became more closely acquainted with the "old style" of Bach and Handel. For further study, I shall briefly mention the location of a few such unsuccessful passages:

1) Prelude (Phantasy) and Fugue C major, K. 394 (383a): Fugue m. 4, first quarter; m. 5, first quarter; m. 13, second quarter.

2) Suite K. 399 (385i): Ouverture m. 48, second half; Allemande m. 3, third quarter and m. 19, last quarter; Courante: the two canonic passages mm. 9-13 and 36-41.

The canonic passages in the Courante especially show obviously that Mozart was at this time not skillful enough to cope successfully with the problem which he had posed for himself. Both the Suite and the Minuet remained fragments – possibly for the same reason.

It is my feeling, then, that the Minuet was written around 1782 and that it should be associated with Mozart's other "experimental" pieces of that period. Perhaps Mozart wanted to "see what happens" when he applied a variety of contrapuntal devices to a short piece of the type of a minuet. Perhaps the piece represents a first attempt at incorporating the "old" devices into his own, personal idiom, a first step towards their complete absorption and amalgamation in his music. If we accept this assumption, then Köchel, in 1862, was approximately right when he assigned the number 355 to the Minuet. In view of the particular character of the piece, it might have been better if Köchel 3 and Köchel 6 had let it remain in its old familiar place.

ANALYSIS

The Minuet is written in the usual ternary form. The first section moves from I to V, the middle section prolongs the dominant, and the reprise rests mainly on I. The first two measures of the reprise, however, differ from measures 1 and 2: they are based on the prolonged dominant of the preceding middle section. By embedding the initial melody in the still-prevailing dominant, Mozart binds the two sections closely together. At this point, the texture changes suddenly. Therefore, had Mozart started the reprise in the same way in which the composition began, a most noticeable gap would have resulted. The dominant is prolonged by means of the chromatically filled-in third-progression $c\sharp^1$-$c\natural^1$-b-B♭-A. With the exception of $c\sharp^1$, these are exactly the same tones with which the top voice of the middle section began. Thus the beginning of the reprise relates back to the beginning of the middle section – truly a remarkable feat of achieving unity. And how beautiful it is that this reprise starts on $c\natural^1$ which, contrapuntally, is merely a chromatic passing tone! Note also the "dolce" at this point. Example 1 shows the basic progression of mm. 28-30.

EXAMPLE

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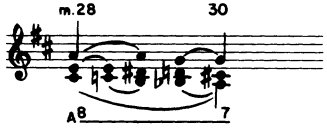

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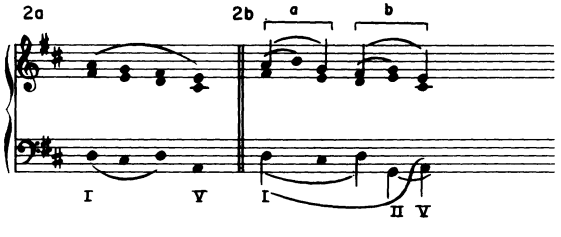
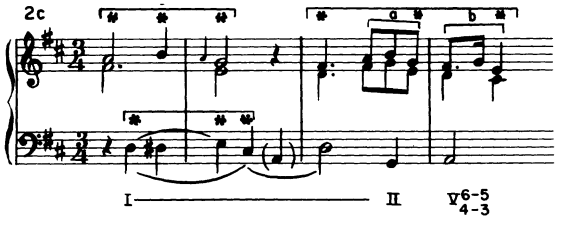




In mm. 33ff, the passage following m. 5 appears simply transposed a fourth upward, with the result that we arrive on I in measures 39 and 40. The possible significance of this procedure shall be discussed later on.

Measures 1-4 *3

The top voice shows a descending fourth-progression a^1-e^1. The bass supports the passing note g^1 by the neighboring note c♯, moves back to I and from there to V (Example 2a). The fourth-progression falls into two groups of two tones: a^1-g^1, $f\sharp^1$-e^1. Before proceeding to g^1, a^1 moves to the (incomplete) neighboring note b^1. (The first two eighth notes in m. 2 are passing notes.) The melodic pattern a^1-b^1-g^1, marked by brackets in Example 2b, forms a basic motive that recurs at various points in the composition.

$f\sharp^1$-e^1 is composed as an elaborated repetition of the same motive. (Again, $f\sharp^1$ and d^1 in the 6/4 chord m. 4 are accented passing tones.) Here we find repetitions within the repetition: a^1-b^1-g^1 in m. 3 repeats the contents of the first two measures, and $f\sharp^1$-g^1-e^1 in m. 4 repeats the contents of m. 3 and leads to the conclusion (Example 2c). Together, these two repetitions in small note values represent a compressed repetition, a summing-up of the total contents of measures 1-4. It is remarkable that, with the exception of a few passing tones and the turn, all the melody tones of mm. 1-4 are created by, and are part of our motive. In Example 2c the motives are indicated by brackets and asterisks.

The bass supports the neighboring note g^1 in m. 3 by the cadential II, thus underlining the reappearance of motive "a" and the final intensification of the melody. In m. 2, before going to the neighboring note c♯, it moves chromatically to e. It is thus the bass that introduces the chromaticism of the piece and also the quarter-note rhythm of mm. 5ff. Much more importantly, d-e-c♯ represents the basic motive of the top voice. One might even say that the motive appears in the form of a short canon at the fifth, with a quarter note's distance between the entries. This, and nothing else, is the reason why the bass starts on the second beat! (Example 2c) Here, then, the groundwork is laid for the contrapuntal character of the piece. The very first two measures contain the germ of much that is to follow. They provide the artistic justification for many subsequent events, in particular for the canonic treatment of mm. 17-18, and also of mm. 29-30.

Let us look once more at mm. 28-30, the end of the middle section and the beginning of the reprise. Here we had found the chromatically descending third-progression $c\sharp^1$-A which extends the dominant into the reprise, and which harks back to the beginning of the middle section. These features are astounding in themselves, but Mozart does even more: he adds the chordal thirds $d\sharp^1$ and $c\sharp^1$ to the descending line. Thus, while the top voice again sounds a^1-b^1-g^1 in mm. 29-30, the two lower parts counterpoint this basic motive by inversion of the same motive in quarter notes. Indeed, mm. 29-30 again resemble a canon – this time a canon by inversion and diminution. We must marvel at the rhythmic variety of these canonic devices: in the first one, at the beginning of the piece, the "comes" enters at the distance of a quarter beat; in the second, which opens the middle section, after two beats; and in the last one, in the first two bars of the third section, simultaneously with the "dux".

The basic voice-leading progression of mm. 28-30 was shown in Example 1. We should like to leave it to the reader to find further harmonic, rhythmic, and tone-similarities between mm. 29-30 and mm. 17-20. Even the imitative role which the bass plays in both cases contributes in bringing the two passages into the closest relationship to each other. At the same time, what a contrast in character between the harsh dissonances of mm. 17ff and the "mancando" and "dolce" later on! Indeed, the beginning of the reprise is probably the most inspired, the most masterly, the most beautiful place in the Minuet.

Measures 5-11

It is most difficult to determine the inner meaning of mm. 5-10. The pattern of mm. 5-6 is repeated literally in mm. 7-8 and again in mm. 9-10. This is certainly an unusual thing to do, especially when the repeated pattern is as complex as it is here, and one wonders why Mozart chose this procedure. Some preliminary observations may be helpful. The repetitions are literal to the point that they reproduce the exact intervallic relationship set forth in mm. 5-6, without the slightest adjustment being made for the sake of harmony or for other considerations. This accounts for the strange bass tones $c\natural$ and $f\natural$ in mm. 7 and 9. Or, to express it differently, since m. 5 started with a B minor sixth chord, m. 7 had to begin with an A minor, and m. 9 with a D minor sixth chord.

The augmented fifths at the beginning of each group are not part

of "augmented triads". The nature of augmented fifths is always linear, contrapuntal; it is never vertical. When we keep this in mind and examine the three augmented fifths closely, we find a surprising thing: they each have a different contrapuntal function. a♯ is an accented passing tone coming from a in m. 4; g♯ is a neighboring note between the two a's of mm. 6 and 7; and c♯^{1} takes over c♯^{2} of the top voice and resolves it upward in the manner of a suspension. The same applies to the sevenths B-a and A-g in mm. 6 and 8. g is an ordinary passing seventh between a and f♯. The seventh 'a', however, cannot "resolve" to the augmented fifth g♯; instead it acts in a very unusual, daring manner as anticipation of the sixth 'a' in m. 7 (see the figures in Example 4). Now we see that the "literal" repetitions are not so completely literal. The augmented fifths, which are so striking, and the sevenths "act" differently each time; that is, they actually sound differently. If it were otherwise, the bold, insistent repetitions of the two-measure groups would sound truly repetitious and annoying; they would not be worthy of a master of the rank of Mozart. *4

In each of the two-measure groups 5-6, 7-8, and 9-10, the outer voices show descending third-progressions moving in parallel major tenths. As a result, cross-relations arise between beginning and end of each group, D-d♯^{2} etc. (The term "cross-relation" is not quite correct here: d♯^{2} is really a passing tone in the passing motion D-d♯^{2}-e^2, c♯^{2} a passing tone in C-c♯^{2}-d^2.) Basically, one and the same harmony is prolonged over two measures: B minor-major, A minor-major, D minor-major (see Example 3).

The chromatic quarter notes of the left hand m. 5 show a certain resemblance to the bass of mm. 1-2. The chromatically descending broken thirds of m. 6 seem to be related to the right hand m. 2. And the right hand from m. 9 on to the e^2 in m. 11 shows a close similarity to certain features of mm. 1-4. The similarity becomes still closer when we realize that the inner voice reproduces almost exactly the bass of the beginning; even d-G-A of mm. 3-4 appears, now modified to d^1-g♯-a. And the bass moves in parallel tenths with the top voice, as if the intention were to reproduce even the parallel thirds of the beginning. Indeed, the whole passage seems to represent a free repetition of mm. 1-4 (without the embellishing eighths of m. 3), with bass and inner voice exchanged. Such a similarity cannot be accidental – not in Mozart.

But all the features we have discussed so far are only isolated details. The main question still remains: What is the inner

meaning of mm. 5-10? – what constitutes their guiding idea? The clue, in my opinion, lies not in the top voice but in the chromatic inner voice up to m. 9. The augmented fifth a♯ and the subsequent chromatic quarter notes attract our attention and throw this part into focus. If we consider that a♯-b really comes from a in m. 4, we see that the inner voice represents an expanded, free repetition of the top voice of mm. 1-3 or 1-4! (See Example 4.) b, then, is a neighboring note ("N" in the Example) between a in m. 4 and a in m. 7. In mm. 5-6, a♯-a♮ is not in itself significant; it serves as a preparation for the intended g♯-G♮ (m. 8), or as what one might call a "pre-figuration" of these tones. g then leads to f♮ in the bass – that is, the inner voice "disappears" into the bass and the top voice takes over. By repeating the last tones of the inner voice a-g♯-g♮-(f♮) (see the brackets in Example 4), the top voice virtually snatches the leading role away from the inner voice.

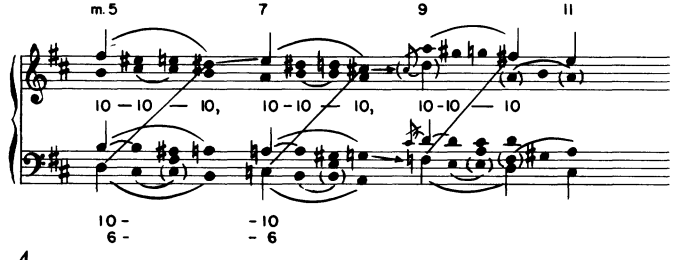
Since a-g♯-g♮-(f♮) of the inner voice represented an enlarged repetition of mm. 2-3, the repetition of the same tones in the top voice has the same meaning. Now we understand why mm. 9-10, in all three voices, refer back to the beginning. And it is clear why the top voice, having arrived at e^2 in m. 11, shows a design so similar to that of m. 4: it is as if m. 11 continued, an octave higher, where m. 4 left off. We are also able to explain the "lighter" character of the closing measures with their groups of sixteenths. All that happened in mm. 5-11 was a repetition; but it was a repetition of great complexity and seriousness. The complexities and difficulties have thus been explained, and the changed character of mm. 12-16 has been accounted for.

The charming chromatic passing tone $e♯^2$, added in m. 10, suggests the addition of still another tone, b^1, which is really a neighboring note to a^1. In this way the sixteenth notes are introduced, which soon after are to play such an important role. Also, the fifth $f♯^2$-b^1 now suggests the fifth e^2-a^1 in m. 11.

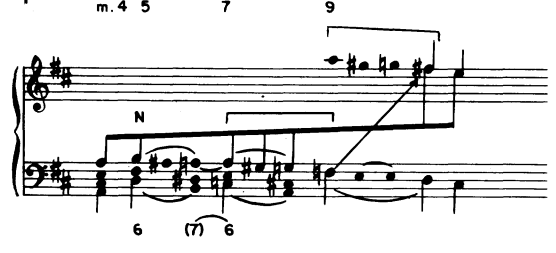
Two more details of mm. 5-10 require an explanation. If in mm. 5-6 the inner voice moves mainly from b through a♯ to a, what is the purpose of the intervening $c♯^1$ (not shown in Example 4)? The answer is that $c♯^1$ represents the second tone of the basic motive (mm. 1-2), which appears also here: b-$c♯^1$-a♯. In mm. 7-8 the motive reads a-b-g♯; and in mm. 9-10, where the inner voice repeats practically the entire bass of mm. 1-3, it again reads d^1-e^1-$c♯^1$ as in mm. 1-2. Further, with the inner voice playing the leading role, what is the function of the upper part in mm. 5-8? Because of the literal

EXAMPLE

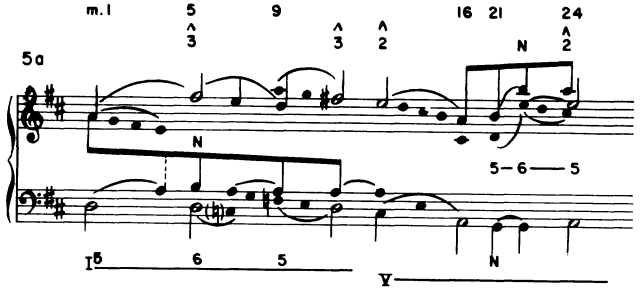
3

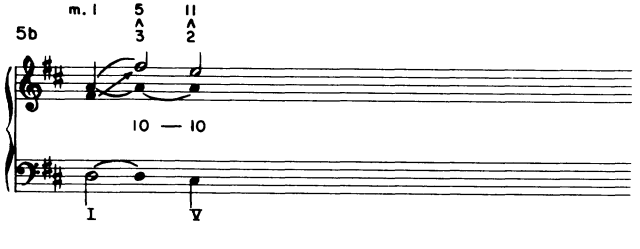

m. 5
7
9
11
10 — 10 — 10,
10 - 10 — 10,
10 - 10 — 10
10 -
6 -
- 10
- 6

4


m. 4 5
7
9
N
6
(7)
6

5


m. 1
5
9
16
21
24
5a
N
5 — 6 — 5
I
6
5
V
N


m. 1
5
11
5b
10 — 10
I
V

repetitions in mm. 5-10, each of the componant parts had to appear each time. Yet as we pointed out before, their function, their significance, could not be and was not supposed to be the same in each repetition-group. It seems to me that the top voice of mm. 5-8, aside from being musically "correct", has no special task to fulfill except to precede mm. 9-10, and to anticipate the configuration of those measures, which are the final goal. We must not forget that the threefold presentation of the same pattern in mm. 5-10 is a veritable tour-de-force: to achieve diversity of meaning within sameness of appearance would seem an almost impossible undertaking. The right hand of mm. 5-8, although "on top" and therefore apparently leading, does not contain the essential idea. So we may perhaps be allowed to say that Mozart was not completely successful in achieving a high degree of clarity here.

Measures 11-16

In m. 11, the bass cadences in A, the dominant; the top voice skips from e^2 to a^1. (This is an oversimplification but is sufficient for our purposes.) The skip of a fifth, e^2-a^1, is first repeated an octave higher in the form of a triad (m. 12). This repetition introduces the concluding fifth-progression which fills in the triad: e^2-d^2-$c\sharp^2$-b^1-a^1. Before e^2 proceeds to d^2 and $c\sharp^2$, a^2-e^2 in the first group of sixteenths recalls diatonically the chromatic a^2-e^2 of mm. 9-11. In the second sixteenths-group, e^2, superimposed above $c\sharp^2$, harks back to the primary tone e^2 (mm. 11 and 13) and goes on to d^2, which in turn introduces $c\natural^2$ of the middle section.

Background and middleground of the first section

Because of the abundance — one might almost say over-abundance — of details in the first section, we have so far concerned ourselves mainly with foreground features, For those readers who are familiar with Schenker's concepts we present a middleground-picture of the first and middle sections (Example 5a). The following brief remarks should be added: The sixth a^1-$f\sharp^2$ (mm. 1-5) arises as an inversion of the initial third (Example 5b); this inversion is again in keeping with the general character of the composition. When $f\sharp^2$ appears, a^1 has already moved, or is in the process of moving, to b. Example 5a shows the very beautiful interaction between background, middleground, and foreground. The background of course determines the general course of the composition, specifically its form and the apparent keys in the foreground. On the other hand, it is the short neighboring note b^1 in m. 1 which suggests the neigh-

boring-note motion a-b-a in the middleground of the first section. Indeed, the same neighboring-note motion controls the entire middle section (Example 5 and 9). Here, then, the foreground determines, in part, the middleground. Such interaction between middleground and foreground is a phenomenon mostly overlooked by those who are only superficially acquainted with Schenker's theory. In our Minuet, one cannot even really understand the middleground of mm. 1-10 unless one recognizes that it has its source in the foreground of mm. 1-2.

THE MIDDLE SECTION

Measures 17-20

The top voice moves chromatically through the third $c\flat^2$-a^1, which is subdivided into two two-measure groups, as was the descending fourth of mm. 1-4. The two-measure groups give rise to the accelerated two-tone groups in mm. 20ff: c^2-b^1, d^2-$c\sharp^2$, etc.

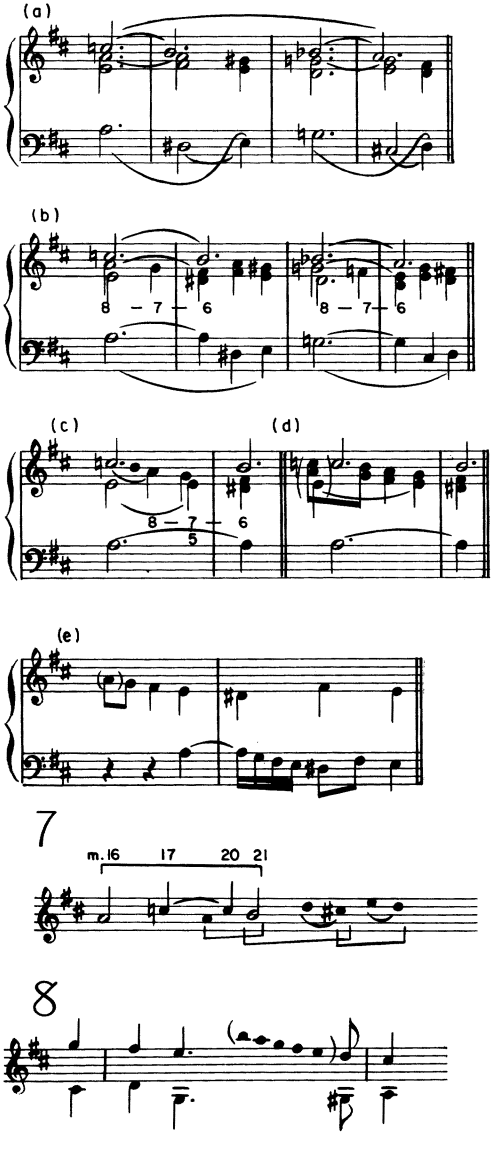
We have already mentioned the "canon by diminution" in mm. 17-18 and 19-20. We also said that the first g^1 must be understood as an (accented) passing tone. The first beat thus resembles the first beats in mm. 5, 7, and 9 and those in mm. 29 and 30. Obviously, these dissonant accented passing tones are a prominent characteristic of the piece.

Example 6 shows the development of these measures, from the simple to the more complex. It would be wrong to understand the second beat of m. 17 as a diminished triad, to relate it to the initial harmony of m. 18, and, specifically, to hear the a^1 in the diminished triad as being tied over to a^1 in m. 18. In such an interpretation, e^1 in m. 17 would be a passing tone. But just at this point, the bass enters with A and gives added emphasis to e^1 as its true fifth, thus invalidating our hypothetical reading. Attention should be drawn to the bold juxtaposition of the last two thirds in m. 18 and the first two thirds in the following measure with their chromatically changed pitches.

The quarter-note motion of the inner voices bears a certain resemblance to that of mm. 5ff. We would be going too far afield, in my opinion, if we tried to hear them as a very free, diatonic inversion of the chromatic inner voice of mm. 5-6. And it would be still more far-fetched to interpret the thirds of m. 18 as a retrograde version of the basic motive a^1-b^1-g^1 (mm. 1-2). The motion in thirds of course relates back to the thirds in mm. 1-4. But the specific melodic pattern which the

EXAMPLE

6



7

8

thirds create in mm. 17-18 simply results from the voice-leading events demonstrated in Example 6. Nevertheless, the three-tone motive of m. 18 plays an important role in the middle section (Example 7), even in the middleground (see the upper bracket).

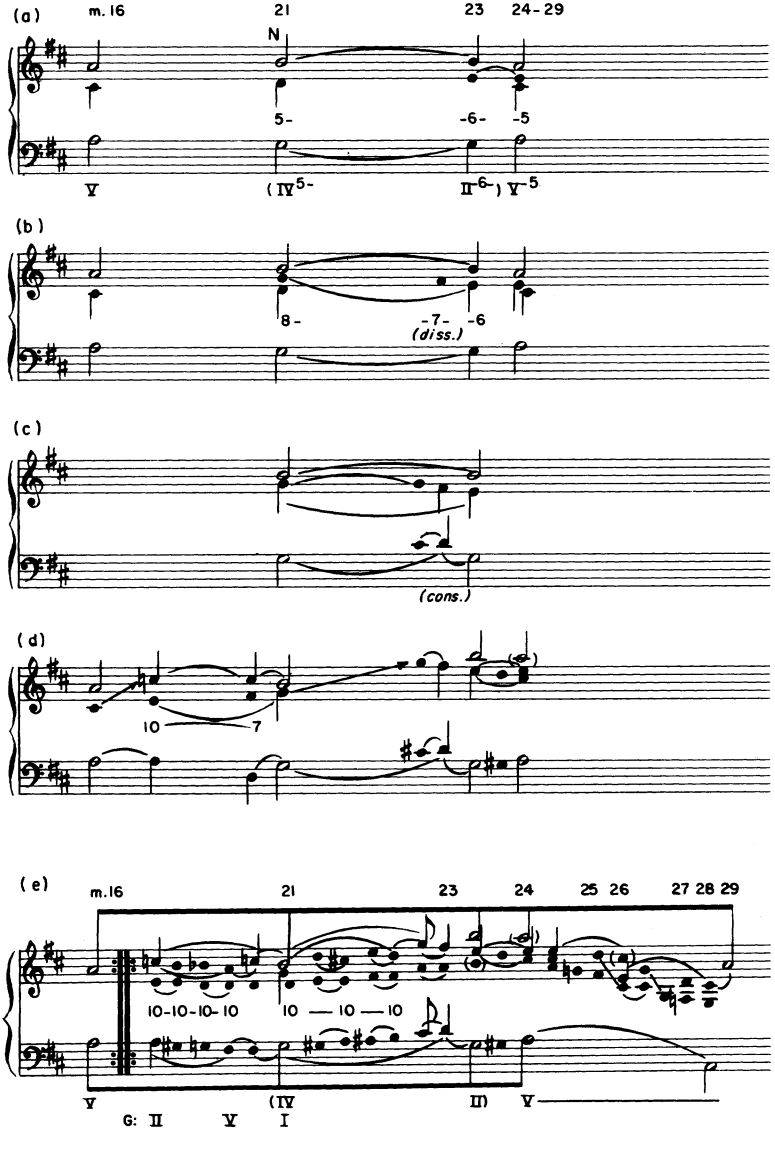
Measures 21-28

The most striking feature of the middle section is the continuous use of the bass pattern of mm. 17-18. This pattern arises as an imitation of the lower inner voice, but because of its changed rhythmicization it comprises only four beats.*5 The next entry still imitates the inner voice; it appears two measures after the first entry and comprises five beats (four plus one), since d, which would have been its last tone, moves on to g. (d-g becomes a bass motive in the following measures.) The third entry appears in the right hand after only one measure, slightly overlapping and with its ending adjusted to the subsequent harmony. Measures 21-22 show entries spaced at the distance of only two beats, each of them overlapping the last two beats of the previous entry. Thus the free canonic style of mm. 17-18 is continued through m. 22. The last entry, on g^2, is incomplete. It is noteworthy, however, that it continues further than one would assume at first glance; g^2-$f\sharp^2$ moves to e^2 and from there over d^2 (which relates to the bass $g\sharp$) to $c\sharp^2$. Example 8 shows this progression with most of the details omitted. We realize now that the descending line g^2-$c\sharp^2$ represents nothing less than an enlargement of the first five tones of the last entry – although this last entry is in the process of dissolution. And even the five sixteenths descending from b^2 (see the parentheses in Example 8) sound as if they signified one more, still higher entry.

Notwithstanding these last faint imitations, the imitative texture of the middle section comes to an end here. It gradually changes into simpler passage work (still motivically related to the descending fifths of mm. 18ff and those shown in Example 8), and these passages, disappearing, as it were, into the low registers, make it possible for the initial idea to come in again.

The overlapping entries in mm. 21 and 22 result in groups of two beats. This rhythmic ordering continues through m. 23. Here the dotted rhythm of the bass gives added emphasis to the first beat of m. 24, the V, and thus permits the basic 3/4 meter to re-enter.

EXAMPLE 9


(a)
m. 16
21
23
24-29
N
5-
-6-
-5
V
(IV5-
II-6-) V-5
(b)
8-
-7-
-6
(diss.)
(c)
(cons.)
(d)
10
7
(e)
m. 16
21
23
24
25 26
27 28 29
10-10-10-10
10 — 10 — 10
V
(IV
III)
V
G: II
V
I

Background and middleground of the middle section

The over-all course of the middle section can be understood only through the background and middleground. In Example 5 we presented a simple picture of the middleground. Example 9 shows the various structural levels in successive stages from the middleground (a) to the foreground (e).

At Level (a) we see the basic prolongation of V: a neighboring-note motion a^1-b^1-a^1 in the top voice, counterpointed by another neighboring-note motion a-g-a in the bass. The inner voice shows a 5-6-5 exchange, which produces the foreground-effect of IV-II. The basic neighboring-note motion of the top voice has its origin in mm. 1-2 and in the same motion mm. 1-5-10 (Example 5a). Simultaneously, it prepares for the reappearance of the same pattern in m. 29, the beginning of the reprise. And since the first a^1 appears at the end of the first section and the second a^1 is delayed until m. 29 (the beginning of the reprise), a^1-b^1-a^1 ties the three sections of the composition together into a structural whole.

Level (b) shows, as a first prolongation, the passing seventh $f\sharp^1$. This dissonance is transformed into a consonance by the bass-leap to d^1, which is the fifth of g (Level c). Thus, the D major triad in m. 23 does not represent a I in D major; it has nothing to do with the basic tonality of the composition. Its origin lies solely in the passing-tone motion g^1-$f\sharp^1$-e^1. d^1 is introduced by its lower neighboring note $c\sharp^1$, and this, together with the tied-over g^1, gives the foreground-effect of V-I in D major.

In Level (d), the same $f\sharp^1$ and e^1 appear transferred to the higher octave. The tied-over g^1 of Level (c) is also transferred upward and sounds now almost like an upper neighboring note of $f\sharp^2$. The neighboring note b^1 (m. 21) is introduced by its own neighboring note $c\natural^2$. At the same time, the bass inserts d between a and g, producing the foreground effect of II-V-I in G major.

Example 6a presented the harmonies of mm. 17-20 as they appear in the actual composition. For this reason, we show at Level (e) the contrapuntal (linear) basis of the same harmonies: a chromatic progression in tenths. The sixth b^1-g^2 in mm. 21-22 now appears filled-in by the third d^2, with the result that the top voice still outlines the G-harmony of m. 21. The first step b^1-d^2 is filled in by the passing $c\sharp^2$; the bass follows in tenths. We must marvel at Mozart's ingenuity in carrying out

this passage. We can virtually see the overlapping imitating entries stepping on each other's shoulders in order to reach higher and higher grounds and finally g^2, the goal indicated by the middleground (Level d). What consistency between the contents of the middleground and the technique used in the foreground! Clearly, the overlapping entries are not an aim in themselves, but they serve to express the middleground and are subordinate to it.

At Level (e), we show the descending passages of mm. 24-27 in their basic chordal shape. They express two third-progressions e-d-c♯, which stem from and repeat the same third-progression first appearing in mm. 23-24. In m. 24 we may detect a foreshadowing of the reprise: a^1-$g\sharp^1$-$g\natural^1$-$f\sharp^1$.

The whole middle section shows the following measure grouping:

measures 17 18 19 20, 21 22 23, 24 25 26 27, 28 29 30 31 32.

The three-measure partitioning at mm. 21-23 is due to the irregular two-beat groups, but it defies any further explanation. Obviously the metric equilibrium is restored by the five-measure group which begins in the last bar of the middle section. Here the dominant is extended to m. 30. But since its root A is suspended in m. 29, we hear this measure as an extension of the first measure of a basic four-measure grouping. Thus the reprise enters in a most subtle way over the extended dominant and within a metrically extended measure. What a marvelous overlap of events!

The reprise

As I said previously, I seriously doubt that Mozart himself wrote the conclusion of the Minuet (mm. 33ff). Even the transition from m. 32 to m. 33 is slightly awkward. $d\sharp^1$, although contrapuntally correct, does not seem to come from anywhere and is weak in comparison to the powerful accented passing tone a♯ in m. 5. The last three eighth notes in m. 4 have an obvious melodic-contrapuntal function; in contrast, the neighboring note a-g♯-a in m. 32 is merely a rhythmic "filler-in". One recalls Mozart's words, in his corrections of a pupil's counterpoint exercises: ". . . just as the bad poets write some nonsense for the sake of a rhyme." *6

The most persuasive argument against the authenticity of mm. 33ff lies in their exact transposition, note for note, of mm. 5ff.

Of course, nothing is musically "wrong" with the procedure: we arrive very conveniently at the closure in mm. 39-40. This solution to the recapitulation problem is very simple; in fact, it is so simple that any conservatory student could have found it. But when we examine Mozart's work, we recognize that he never resorts to this easy device of simple transposition.*7 (The same applies to Haydn and Beethoven.) Mozart would always modify the reprise by a variety of means, adding emphasis to the section, letting the previous material appear in a new light, establishing new relationships, or doing whatever else might appear necessary. Consider, for example, the reprise of the relatively short and simple minuet of the D major quartet K. 575. Clearly, Mozart could have modified mm. 53-56 in such a way that, in m. 57 he would have arrived at the D major version of mm. 13ff. Instead, mm. 56-58 – and only these – differ melodically and harmonically from mm. 12-14. The remarkable thing is that these mm. 56-58 relate to a previous passage of the piece and also to a later one. They are prepared, in a free manner, by the beginning of the middle section; and, at the same time, they themselves "prepare" mm. 66-71, which are nothing but a transposed restatement of the analogous measures in the first section. Thus Mozart creates entirely new relationships for the reprise – relationships which did not exist at all in the first section of this minuet and which replace those relationships which can be found there.

Not a trace of this masterly kind of writing exists in the reprise of the Minuet K. 355. Or if it exists, I fail to see it. Of course, it is always possible to discover repetitions of short tone patterns anywhere. But if we find such repetitions, we will have to ask: Are the tone patterns truly related? Do we really hear them as repetitions? What is the compositional purpose of the repetitions? Measures 35-36 are almost the same as mm. 9-10, but, obviously, these measure-groups have nothing to do with each other. b♭-a in mm. 37-38 seems to reflect m. 30; but 'a' in m. 38 is merely a passing tone, a "connective", and so the similarity exists only on paper. b^2-a^2 in mm. 33 and 35 does remind us of mm. 1-2, mm. 29-30, and of the neighboring-note motion that spans the entire middle section (Example 9). But b^2-a^2 is not continued in a manner that would correspond to its previous appearances. Instead, it is followed by what is practically the high point (in terms of register) of the entire piece. Measures 37-38 are crucial in our examination of the reprise, and we have to ask the following decisive questions: What does this d^3-$c\sharp^3$-$c\natural^3$-b^2 relate to? How is its appearance prepared, in the sense of the ingenious preparations in K. 575? What does this tone-succession "do"? What

is its compositional "function"?

In my opinion, these questions can be answered only in a negative way. The whole ending from m. 33 on is, in a deeper sense, not related to the rest of the composition; it is not an organic part of the whole, and it lacks any guiding idea within itself. Let us think back to the same group in the first section. Let us remember to what lengths Mozart went in order to make the three two-measure groups sound differently each time, and how miraculously the beginning of the piece re-emerged in the third group (mm. 9-10). Let us consider Mozart's artistic sensitivity which suggested to him the subtle, profound beginning of the reprise. Compare such manifestations of highest artistry with this cliche – this perfunctory, mechanistic ending which any student could have found! At this point of the composition where the problem of the recapitulation had to be faced – would Mozart have settled for such a pseudo-solution as this, which only circumvents the real problem?

To me there is only one answer: Mozart did not finish even the main part of the Minuet, and Abbé Stadler completed it for publication. Of course we will never be entirely sure that this is what happened, unless, by some accident, the autograph should be discovered. But there is such a thing as internal evidence; and according to it, the ending is not well composed, not truly composed in the sense in which Mozart thought of and practiced composition.

We may well ask: Why did Mozart stop writing, just a few measures before the close? For many of his unfinished compositions, of course, an answer cannot be given. But in the case of our Minuet, one can very well imagine that Mozart stopped while searching for an ending that was musically logical and convincing. In particular, the answering, in a changed form, of what I called the tour-de-force of mm. 5-10 must have posed an almost insurmountable problem. Perhaps Mozart pondered the problem for quite a while – deliberated and rejected one solution after the other, and finally gave up the task. After all, the piece was just a study, an experiment in applying contrapuntal devices to minuet form.

It is almost a pity to have to end the analysis on this negative note. But from our negative finding we may gain a positive viewpoint. Musical analysis has of course various tasks; one of its most important tasks is that of evaluating a composition. It is not enough to furnish a purely descriptive analysis, that is, only to state that the composer did one thing or another. It

is not even enough to discuss what may have motivated the composer to proceed along the particular paths which he chose to pursue in a given composition. Ideally, analysis should advance to the point where it can show to what degree the composer was able to realize the nature of his art, and to what degree he realized his own intentions through the material of that art. It will then be possible for analysis to distinguish between masterworks and compositions of lesser caliber, to distinguish between good and bad, and also, whenever necessary, to distinguish between authentic compositions and spurious ones.

REFERENCES

1 Walther Siegmund-Schultze, Mozarts Melodik und Stil (Leipzig, 1957), 139.

2 Heinrich Schenker, Harmony, ed. Oswald Jonas (Chicago, 1954).

3 There is some doubt as to whether the second eighth note in m. 2 should read $e\sharp^1$ or e^1. The first editions have e, most later editions e♯. The only modern edition showing e is that of Peters (Kurt Soldan 1935). Einstein advocates e in the Appendix of Köchel 3; the incipit in K. 6 has e. I am nevertheless convinced that e♯ is the only possible reading. e♮ would have to be understood as an anticipation; g♯ above it is a chromatic passing tone. But the combining of a chromatic passing tone and an anticipation would be an odd thing to do; it would be too complicated for this beginning, where the lower voice simply follows the melody in thirds. The "stumbling" e-e would also be at variance with Mozart's "dolce". Furthermore, mm. 2-4 of the Minuet are almost identical with 3 bars of Leporello's aria in Don Giovanni; of course, Mozart writes e♯ in the second violins and the violas. And the words are: "nella bianca la dolcezza". Dolce, dolcezza: this might be only a curious coincidence. Yet the "guiding" character of both compositions makes the apparent coincidence meaningful.

4 Only the neighboring note g♯ in m. 7 does not have any real "task" to fulfill and may not be entirely convincing.

5 Even the rhythm of the bass imitates that of the lower inner voice. a^1 in m. 16, the starting point of the inner-voice line, represents a dotted half note; it is followed by quarter notes. This rhythmic pattern of a long note followed by shorter ones reappears, contracted, in the bass line. But we must go still further. a^1 occupies the last measure within the four-bar group 13-16. Since a in m. 17 is the starting point of the repetition-in-contraction, it occupies an analogous metrical position within a single bar, namely, the last beat. This is why the bass, in such seemingly unprepared fashion, enters on the upbeat. (Compare what was said about the entry of the bass in m. 1.) Subsequently, the upbeat pattern continues through mm. 21 and 22, creating a hemiola. Only at g in m. 23, which is a decisive point in the middleground (Examples 5a and 9), does the pattern weak-strong reverse into strong-weak. The dotted rhythm of m. 4 comes about in a similar way to that of mm. 17-18. It mirrors, in smaller note values, the basic rhythm of the three-tone motive discussed previously (see Examples 2b and 2c, especially the rhythm at bracket "a" in Example 2c). We see in these two instances that specific rhythms may be brought about by tonal events. Rhythm, here, is not something existing "per se", an element that is in some fashion combined with the rest of the tonal events. It is rather that the tonal events themselves create specific rhythms — a phenomenon which is rarely recognized. Of course it is true that the dotted rhythm of m. 4 is in keeping with the character of a minuet. Still, in this particular instance, the rhythm comes about through the contraction of the basic motive mm. 1-2 and mm. 3-4, together with the contraction of the fundamental rhythm of that motive.

6 Köchel 453b. Published in its entirety in Robert Lach, Mozart als Theoretiker (Wien, 1918).

7 The only exceptions are to be found in the recapitulations of a few early piano sonatas. It would go beyond the scope of this discussion to show in what respects the situation in these recapitulations differs from that in the Minuet.