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HEINRICH SCHENKER

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BEETHOVEN'S THIRD SYMPHONY:
ITS TRUE CONTENT DESCRIBED
FOR THE FIRST TIME

BEETHOVENS DRITTE SINFONIE
ZUM ERSTENMAL IN IHREM WAHREN
INHALT DARGESTELLT {29-101}

TRANSLATED BY
DERRICK PUFFETT AND ALFRED CLAYTON

to Beethoven the Hero

I DESCRIPTION OF THE CONTENT

First movement

The Urlinie of the first movement moves within the space of a third: $\hat{3}-\hat{2}-\hat{1}$.

The first middleground layer (see Fig. 1) shows the interruption $\hat{3}-\hat{2}||\hat{3}-\hat{2}-\hat{1}$. The seventh over V, instead of arising as a result of passing motion from the octave (V^{8-7}), seems to come about by means of a leap of a third from the fifth (V^{5-7}). However, the elevation of $\hat{3}$ ultimately creates an impression of neighbour-note motion: $\hat{3}-4-\hat{3}$; see 'Der freie Satz'.¹

The second middleground layer (see Fig. 2) introduces descending linear progressions from the first $\hat{3}$ and $\hat{2}$, then from the neighbour note and finally once more from $\hat{3}$ and $\hat{2}$.

¹ [At the time Schenker published *Meisterwerk III* the third and final volume of his 'Neue musikalische Theorien und Phantasien', i.e. *Der freie Satz*, was not yet completed in its final form and was not to appear in print for another five years. Though it was, of course, impossible for Schenker to assign page numbers to references to *Der freie Satz*, it is likely that, by 1930, he had a clear idea of its contents and was thinking of a specific passage when he referred the reader to it.

The passage from the definitive version of *Der freie Satz* that is of relevance to the present discussion comprises §§106-12 and concerns the neighbour note in the first middleground layer.]

The third middleground layer (see Fig. 3 on pp. 12-13) shows the prolongations of the bass. The third-progression from the first $\hat{3}$ is contrapuntally combined with the bass progression I-II-V-I,² and the fifth-progression from the first $\hat{2}$ with a cadence, apparently in B \flat major ([also] I-II-V-I): here the bass first makes a leap of a third - [the harmony] at this point is still $\frac{6}{3} \frac{5}{\sharp 3}$ - and then proceeds in stepwise motion to V; see 'Der freie Satz'.³ The seventh-progression

$\hat{3}-$ $(\hat{2})-\hat{2}$ | (Nbn) $\hat{3}$ $\hat{2}$ $\hat{1}$

Figur 1
(erste Schicht)

Es dur: I II V I V I

² [This I-II-V-I is not marked on Fig. 3. It is not to be confused with the larger-scale I-II-V-I whose final I coincides with the second $\hat{3}$.]

³ [§57, a commentary on Fig. 14/3, forms part of a more general discussion of the combination of Urlinie with bass arpeggiation at the middleground level. Fig. 14/3c shows the effect of I-IV-V, with the third implying 'only a passing motion, even though the second tone of the filling-in is missing' (the emphasis is Schenker's).]

Figur 2 (Terzzug) (zweite Schicht)

(2)-2 (Quintzug) (überg.) (Nbn.) (Septzug) (Nbn. durch) (Terzzug)

Es dur: I - II - V - I - II - V - I

from the neighbour note takes place over the dominant of the main key, and all the motion in the bass can be traced back to a single neighbour-note motion.

I now turn to the penultimate layer (see the Foreground Graph of the first movement⁴).

Bars 1-15 The $\hat{3}$ is established in bars 3-7 by means of an arpeggiation of the E \flat major chord in open position. The root and fifth are presented by cello in bars 3 and 5, the third by violin I in bar 7. As if summing up, however, the way to the fifth in bar 5 passes through the third in bar 3 in close position; both this third and the fifth occur on weak beats:

Fig. 4 (Gdt.-Terz — Quint)

Es dur: I —————

⁴ [siehe das Bild 1. For this analysis, Schenker abandons his long-standing practice of referring to this as the 'Urlinie-Tafel', a term which had become inappropriate as the notion of 'Urlinie' became more specifically associated with the upper voice of the background level. He did return to the term two years later, in the publication of the *Fünf Urlinie-Tafeln*, where it can refer either to the entire nexus of voice-leading graphs for a single work or to the specific representation of the foreground.

For practical reasons the Foreground Graphs of the symphony have been reprinted together at the end of this volume.]

The bass motion in bars 3-6 merely supports the arpeggiation; hence, as far as the counterpoint of the outer voices [*Aussensatz*] is concerned, this motion simply signifies a stationary E \flat . Not until bars 6-8 does the bass make its first move, a descent to C#. Generally such a descent implies a chromatic alteration of the kind associated with a tonicization of IV or II,⁵ and thus in both cases, in order to remain within the key of the symphony, a D \flat and not a C#:

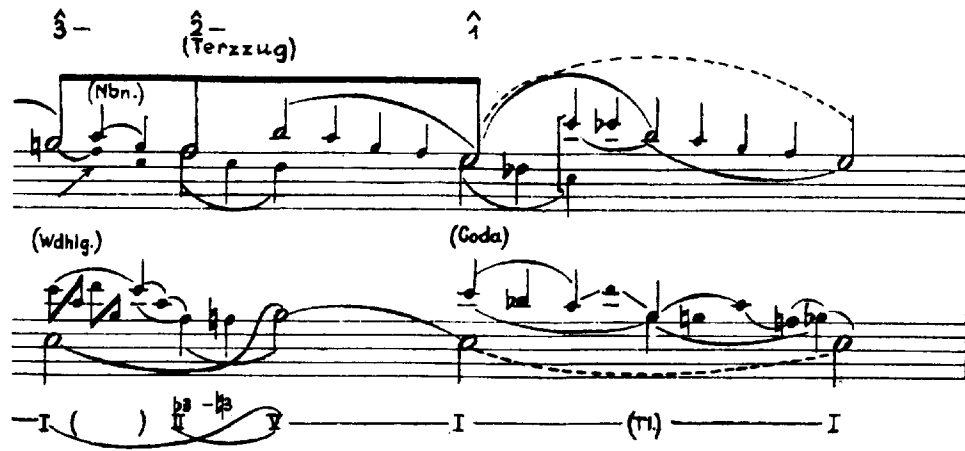
Fig 5 a) (Nbn.) (Nbn.)

I - (Dg)-IV V⁴³ I I - (Dg)-V⁴³ II V⁴³ I

In bar 7, however, the bass, surprisingly, has C# instead of D \flat . The sole purpose of this is to enable C# to drive back up to D (see the *cresc.* etc.). This upward drive communicates itself to the treble, which now also rises in a *cresc.* {30} to the neighbour note a \flat^2 (*sf*, bar 10). The fifths indicated by oblique lines in the Foreground Graph are avoided by means of syncopation.

This first upward drive is, so to speak, the initial breath of the movement. Thereafter it continues to be of importance for the procurement of the content,

⁵ [IV or VI³ in the original text. Fig. 5b shows a move to VI³, as part of a tonicization of II; this may be the origin of Schenker's mistake.]



Identifying the octave registers in which the voice-leading takes place is a task of the greatest importance for the composer, and especially for the interpreter.⁹ A change of register creates content and at the same time makes the latter organic (on the concept of 'octave-coupling' see *Meisterwerk* 1, p.69/p.36 and 'Der freie Satz').¹⁰ Moreover, the manner in which a change of register occurs {31} reveals the true character of the instrument: every instrument calls for a special kind of registral change. In order to facilitate the analysis, Fig. 6 depicts the changes of register in the exposition of the first movement.

Bars 15–37 From bar 15 the treble ascends by means of arpeggiation to e^3 in bar 37. In bars 15–23 the fifth e^2-b^2 is filled in with semitone steps, which show the continuing influence of the first upward drive (see the arrows in the Foreground Graph). Here, however, the semitone steps are passing notes, not neighbour notes (see above, [pp.11–12]).

The creation of a sense of directed motion¹¹ in music means more than the

bars? And so it is the case, too, with the Fifth Symphony: to be sure, Beethoven's mastery here resides not in the first two bars alone but in the continuation, in this manner of continuing.]

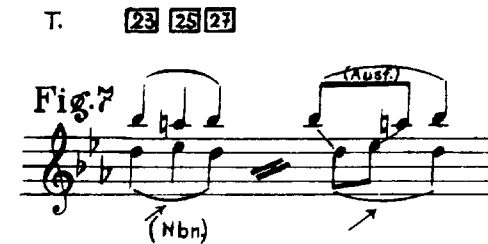
⁹ [Der Nachschaffender: this may presumably refer to the performer or to the critic/analyst.]

¹⁰ [In *Der freie Satz* 'coupling' (the term *Oktavkoppelung* is shortened to *Koppelung*) is discussed in §§152–54 and 240–41.]

¹¹ [*Die Erfüllung eines Weges*: literally 'the fulfilment of a path'. The word *Weg* crops up repeatedly in this essay, and only rarely does the English 'way' or 'path' seem adequate to the context; more often the word has to be translated freely. Here the idea of purposeful direction appears to be the important thing.]

form of the diminution that serves to create it, for it is only the logic of the motion that imposes logic on the diminution (diminutions lacking directional logic are completely ineffectual). Thus the effect of bars 15–23 depends more on the ascending fifth-progression than on the diminution that derives from bars 3–7. The bass, likewise, moves up from $E\flat$ to $B\flat$, interpolating tenths and a raised sixth so as to avoid the consecutive octaves that would otherwise result.

The completion of the aforementioned arpeggiation g^2-e^3 with the interval of a fourth b^2-e^3 , and in particular with the semitone step d^3-e^3 , which is once more to fulfil that mysterious upward drive and at the same time signal the end of the interval of a fourth, is still to come. In order to procure content for the fourth-progression, a prolongation by means of unfolding is set in motion in bars 23–6:



This prolongation in the first instance creates an opportunity to introduce the neighbour-note motion $d^2-e^2-d^2$ (3–4–3) in the spirit of the predominant

T. 23 37 45 57 77 83 90 99

3-
(Höherlegung) -(2)-
(1. Quintzug) -(2)-
(2. Quintzug) -(2)-
(3. Quintzug)

Fig. 6 (Terzzug) (Brechung durch Übergf.) (Anstieg) (Nbn.)

Bild der Oktavlage im ersten Teil. (Nbn.)

(1. Ged.) (Md.) (2. Ged.: VS-

Mtg: I- -(T1)- -I II^{b3} (Y) -Y- -Y- (T1) -Y-
Vdg: I- -(Y)- I/IV () Y^{b3} I IV Y I II Y⁹⁻⁸ I

Es dur B dur

upward drive. At first sight it seems strange that this neighbour-note motion, seemingly regressive, should still take place beneath bb^2 , which has already been reached in bar 23. But when we see how violin I, after several repetitions of d^2-e^2 (in bars 24|25, 29|31 and 33|34), sweeps upwards from the bb^1 in bar 35 and, after surmounting bb^2 in bar 36, finally presents the semitone step d^3-e^3 across bars 36|37, we realize that the events from bar 23 onwards are at once a preparation for this crucial semitone step and an artful delay; they are the seed that is sown and the harvest that is reaped.

In point of fact, the diminution in bars 23-7 signifies a hemiola, $3/2$ in two $3/4$ bars:

25 26

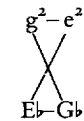
Fig. 8 *sf sf sf*

(Beethoven:)

However, the need for eb^2 and a^2 to be appropriately emphasized (see Fig. 7), given that eb^2 falls on a weak beat of the bar, has suggested to Beethoven the slurs and *sf* markings that actually contradict the true state of affairs.

Bars 37-45 Another passing-note progression upwards, another semitone shift from e^3 to f^3 , and the counterpoint has reached $\hat{2}$ in the three-line octave over F as $II^{\sharp}-(V)$ or $V-(I)$ (cf. the so-called 'modulation' in Fig. 6).¹² Here the diminution motive, the motive of bars 3-7, is in the bass; nevertheless it plays a more modest role than the ascending motion of the treble (see above, [p.13, left column]).

{32} The A^b major chord in bar 43, which is reached via two leaps of a third in the bass, is an interpolation whose sole purpose is to rectify the hidden false relation



¹² [That is, $II^{\sharp}-(V)$ in terms of E^b , $V-(I)$ in terms of B^b . Schenker uses *Modulation* (abbreviated 'Mod.' in Fig. 6) to mean 'transition' or 'bridge passage'.]

from the seventh onwards (see the beaming in the Foreground Graph). The arpeggiated form then determines the way in which the diminution is divided, in that in the first and second bars of each four-bar phrase the diminution attaches itself to the note of the inner voice, whereas in the third and fourth bars it attaches itself to that of the treble; by this means both arpeggiation and diminution gain in conviction and substance. {33} The diminution of the notes in the inner voice climaxes in the expression of the neighbour-note motion $f^2-g^2(g^b2)-f^2$, which also embodies the upward drive (see the oblique arrows in the Foreground Graph); the diminution of the treble notes indulges in descending arpeggiations.

However, the descending arpeggiation is discontinued in the second half of the third four-bar phrase (bars 55-6), to be replaced by a descending fifth-progression which, occupying both the three- and two-line octaves and including the neighbour-note motion $g^{3(2)}-f^{3(2)}$, sums up the three four-bar phrases in accelerated rhythm. Furthermore, in order to achieve a smoother transition to the bb^2 in bar 57, it does not introduce c^3 until the last crotchet of bar 56. Because of all this, the two versions of the first descending fifth-progression¹⁵ finally intersect, and indeed on this very c^3 , the one moving slowly via the top notes of flute 1, the other more rapidly in bars 55-7.

Against the first descending fifth-progression (bars 45-57) the bass merely sets the bare descent of a fifth, F-Bb (= V-I in Bb major), without in any way making the individual notes contrapuntally independent by turning them into consonances. (Concerning the actual possibility of the bass providing a counterpoint to a fifth-progression in the treble, see 'Der freie Satz'.)¹⁶

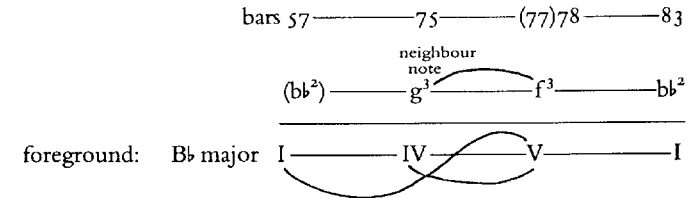
The slurs in bars 45-55 are drawn from the second crotchet of one bar to the first of the next and thus project with particular clarity both the neighbour notes in the inner voice and the top notes of the treble. Only across bars 48|49 and 52|53, where the four-bar phrases come to an end, is the articulation subordinated to this intention.

Bars 57-83 An arpeggiation of the treble, $bb^2-d^3-f^3$, whose purpose is to regain f^3 as $\hat{2}$, together with a reaching over whose function is to support this arpeggiation (see eb^3-d^3 in bars (64)65-7 and g^3-f^3 in bars 75-8), gives the bass a reason to pursue paths that are contrapuntally richer.

The sequence of scale steps alone:

¹⁵ [That is, the first of the four fifth-progressions mentioned in the previous note.]

¹⁶ [Der freie Satz §75, together with Fig. 16, considers 'structural consequences in the case of $\hat{5}-\hat{1}$ ', i.e. of the Urlinie descent, rather than of descending fifth-progressions in general. See also §§115-17, §213 and §§221-4, especially the discussion of Fig. 95c.]

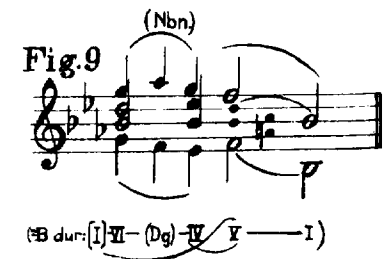


makes the second descending fifth-progression more significant than the even though IV is assigned only to the neighbour note g^3 , not to the first progression note eb^3 or even to the c^3 , where an Eb in the bass would of course signify II. Since the descending fifth-progression beginning on f^3 in bar 45 on the first beat of bar 57 with the vertical sixth d^2-bb^2 , and would have to reach to f^3 via d^3 by means of arpeggiation, the organic and most natural solution obviously reaching over, which, by simple octave displacement of the lower sixth, allows the upper third, bb^2-d^3 , to be attained. The diminution present composing-out of the sixths d^1-bb^1 and d^2-bb^2 , in bars 57-9 and 61-3 respectively, which in an organic way continues the arpeggiated sixths of bars 49-51 and 53-6.

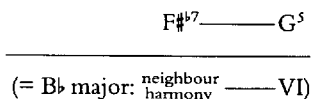
The third of the arpeggiation is reached with d^3 in bar 67. In bars 68-70 moves to the fifth, f^3 , via the neighbour-note motion $g^2-ab^2-g^2$ in bars 68-70 the coupling g^2-g^3 in bars 71-5 and, finally, a second reaching-over motion g^3-f^3 , in bars 75-(77)78.

The bass counterpoint to the reaching over in bars 57-61 comprises a variation of the fifth-progression of bars 55-7, as if the latter wished to make up, at least retrospect and by means of the diminution, for its earlier rhythmic and harmonic haste (see the Foreground Graph). The descending arpeggiations in bars 61-5 may be connected with those in bars 45-55.

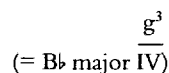
In point of fact, chord IV of the illusory Bb major could have been introduced as early as bar 71, at the end of the neighbour-note motion $g^2-ab^2-g^2$:



It was, however, omitted at this juncture because of the g^3 in bar 75, for this note marks the start of the second reaching-over motive, g^3-f^3 , and is thus of greater significance than the g^2 in bar 71. Furthermore, the contrapuntal structure



in bars 65–8, which seems to refer to VI of $B\flat$ major (here of course only as part of a passing motion through thirds),¹⁷ at first pressed ahead in a sequence, albeit one somewhat altered owing to the registral inversion: instead of $B^{\sharp 7}-C^5$ we have $F\sharp^4-E\flat^6$. The coupling of g^2-g^3 in bars 71–5 is now the means by which the contrapuntal structure is able to reach



In the passage based on passing motion in bars 71–2, consecutive fifths between bass and inner voice are avoided by the technique of a 5–6 exchange.

And yet, in spite of all the undeniable enrichment of the bass counterpoint, the descending fifth-progression in bars 78–83, on which so much depends, remains without any kind of contrapuntal independence having been imparted to the individual notes. Here again the bare leap of a fifth, V–I, is the salient feature. But the fact that in the course [of the movement] up to this point no *cantabile* diminution¹⁸ has come to the fore, whereas arpeggiations have predominated (their organic effect is ensured by the sequences and the bass progression), may perhaps be construed in programmatic terms. It is as if the arpeggiations expressed an initially careless impulse, a youthful insouciance and lack of inhibition. For this reason the second descending fifth-progression [like the first] still belongs to the modulatory section.

Bars 83–91 In order to understand the realization of the so-called second subject, it is first necessary to recall the simplest form of its antecedent. Taking up the obligatory register at the beginning of the movement, the two-line octave once again comes to the fore (cf. also Fig. 6), {35} not only to effect an external contrast to the three-line octave of the modulatory section but also to gain space for new couplings capable of increasing the content (see above, [p. 13, left column]).

¹⁷ [hier allerdings nur im Terzdurchgang: the thirds in question, $B\flat-G$ and $G-E\flat$, are most clearly visible in Fig. 6 and the Foreground Graph.]

¹⁸ [sängbare Diminution, presumably meaning 'stepwise' or 'melismatic' movement.]

Fig. 10a reproduces the voice-leading in a provisionally arrhythmical and ametrical state. The consecutive fifths implied by the first step of a second in the bass are pre-empted by the first 5–6 exchange. The sixth in the second 5–6 exchange creates a diminished fifth between the treble and the inner voice, $e\flat^2-a^1$, which in fact prevents the treble from ascending. C.P.E. Bach, in his tutor on thoroughbass [i.e. part II of the *Versuch*], 3/1, §16/pp.213–14, permits such a diminished fifth nevertheless to ascend, provided that as the piece continues it eventually resolves downwards; and this is what happens in Fig. 10a. The neighbour note g^2 promotes that mysterious upward drive which is also a feature of the synthesis in the second subject.

Fig. 10b presents a rhythmicized version of the same content in an eight-bar phrase in which the intervals of a tone in the inner voice are filled in with chromatic passing notes that accelerate as they proceed. In bars 1–4 of this figure the succession of semitones is still hesitant. It becomes increasingly urgent in bars 5–6, and most urgent of all in bar 7 in the treble, which finally moves on to the neighbour note g^2 in crotchets. This final acceleration into crotchets causes the

neighbour note g^2 to be syncopated across bars 7|8, an effect further enhanced in rhythmic terms by the entry of the inner voice on the first beat of bar 8.

The fact that there is also a bass note in bar 3 – and it can only be E^b ! – means that the rhythmic parallel created by the roots is complemented by leaps of a fourth (B^b-E^b , $C-F$). But a necessary adjunct of the E^b in bar 3 is the $\hat{7}-6$ suspension, which prevents the seventh, d^2 , from ascending. Under such circumstances only a reaching over can introduce the e^b required for the ascent.

The realization makes use of repeated notes for the purpose of diminution. In contrast to the arpeggiations in the preceding segments, the repeated notes provide the first example of genuinely *cantabile* and expressive writing¹⁹ (the so-called second subject). A diminution of this kind can only be used over short distances, and for this reason an eight-bar phrase is sufficient to encompass ascent, neighbour note and descending fifth-progression.

In addition the realization introduces into the metre a special rhythm, as evidenced in bars 83, 84, 85 and 86 by the entries of clarinet, oboe, flute and double bass beginning on the second crotchet, a more artificial rhythm, whose beauty and usefulness for the synthesis I have repeatedly had occasion to mention. If this rhythm were continued in bars 87–90, it would inevitably lead to the following result:

Fig. 11 (VI. I) (Nbn) (Quintzug) (Bässe)

The treble of the realization in fact accords with Fig. 11 up to the first beat of bar 89; thus in the realization f^2 appears {36} a bar earlier than in Fig. 10b. But the treble once again agrees with Fig. 10b when, in bars 89–90, the artificial rhythm of Fig. 11 is finally supplanted by the metrical and natural rhythm of the crotchets, which alone (see above) makes possible the syncopation of the neighbour note g^2 .

In Figs. 10a and 10b the root F (V) first appears simultaneously with f^2 . But in

¹⁹ [das erste wahrhafte Singen und Reden, literally 'the first genuine singing and speaking'.]

the realization this root is withheld in bar 88 because of the entry in bar 89, which, referring back to the artificial rhythm depicted in Fig. 11, achieves a rhythmic and synthetic parallel to the entry of the double bass across bars 86|87. This parallel not only creates a clear contrast between the two four-bar phrases (bars 83–6 and 87–90), but also confirms even more powerfully that the real g^2 of the ascent in the realization is f^2 in bar 90, and not f^2 in bar 88, which is in fact subsumed as a passing note within the unity of the e^b-g^2 progression.

Finally, even the descending fifth-progression in bars 90–1, the third fifth-progression of the movement (cf. bars 45(55)–57, (57)78–83, (83)90–1), remains without any kind of contrapuntal independence having been imparted to the individual notes. Thus, despite the tendency towards expressive and *cantabile* writing conveyed by the repeated notes, there is still an almost programmed limitation of the bass prolongations at the crucial point. But it is this that motivates the argument on. We suspect, indeed we know, that the bass of the descending fifth-progression must finally receive its contrapuntal due, and are therefore all the more curious to know how matters will continue. We now arrive at the so-called consequent of the second subject.

Bars 91–148 The consequent begins with modal mixture. An exact transcription of Fig. 10a would have created problems:

Fig. 12
(=b moll: I^{b3} (Dg) II^{b3} V^{b3} I)

In the minor mode, as opposed to the major, a diminished fifth already occurs at the entry of the root C. If in such a case the composer were to fail to take a short cut by letting the root F (V) follow C immediately (see Fig. 13, below), he would have to resort to the 5–6 exchange, as in Fig. 12, until g^b appeared in the treble. The eventual descent of this note to f^2 over V would finally do justice to the diminished fifth in question (which here also involves the leading note).

The short cut is also the path taken by Beethoven, with the proviso that he manages to disguise the curtailment by means of large expansions and of changes connected with the diminution:

Fig. 13

(Anstieg) -2-
(Quintzug)

a) (1. Übergf. = Mtv.) (2. Übergf. = Mtv.) (3. Übergf. = Mtv.)

Vdg: = b moll I ^{b5} - ^{b6} I — II — V — I ^{b5} — I ^{b5}

91 92 93 94 95 96 97 98 99 (103) 106 109

b)

Vdg: = b moll I ^{b3} — I — I ^{b7} — I ^{b7} — I ^{b7} — I ^{b7}

c)

= b moll I ^{b3} — (Nbh.m.) — I ^{b7} — I ^{b7} — I ^{b7} — I ^{b7} — I ^{b7}

Fig. 13a, in contrast to Fig. 12, confirms that curtailment has been made by means of a descent in the inner voice from g^b1 back to f^1 over II-V. This means that {37} f^2 ($\hat{2}$) now occurs over I^{b3} . But it also signifies a change in relation to the antecedent:

bars 83 — 87 — 90 — (91)

in the antecedent: d^2 — eb^2 — f^2 — bb^1

I — II — V — I

bars 91 — 99 — 109 — (144)

in the consequent: db^2 — eb^2 — $f^{2(3)}$ — $bb^{1(2)}$

I — (II) — V — I — I

In spite of the expansions, therefore, the events in the consequent are speeded up. Thus, in the consequent, the primary note of the fifth-progression appears over I for the first time, a fact which now heralds the long-overdue elaboration of the fifth-progression (see above, [p.17, left column]).

As can also be seen in Fig. 13a, the acceleration of events does not proceed without reaching-over progressions. When all is said and done, db^2 could have ascended freely to eb^2 . Thus the first reaching-over motive, db^2-c^2 , should not really be construed as a voice-leading necessity deriving from the interpolated root E^b (cf. Fig. 10b); see also above, [p.18, left column]; rather, it constitutes a deliberate parallel to d^2-c^2 in bars 83-6. On the other hand eb^2 , because of V, which turns it into a seventh, is in any case prevented from ascending to f^2 ; here only reaching over can be of any help. For this reason the consequent has three reaching-over motives, as compared with only one in the antecedent.

Now to Fig. 13b. The fact that Beethoven's consequent begins with three entries (bars 91, 92 and 93), as does his antecedent, creates a parallel for the sake of the synthesis. But since he combines the entries here, in contrast to the antecedent, with changes of harmony, certain modifications occur which mean that this parallel is no more than a merely superficial imitation of the three entries; in other respects they give the impression that the consequent is taking a new direction, especially since the main difference between antecedent and consequent is the acceleration to I below $\hat{2}$ described above.

As a result of the changes of harmony, the treble in bars 91-3 does not adopt the course of arpeggiating a single chord; rather, the reaching over of g^b1 leads to a chord of A^b_{b7} as neighbour-note harmony to D^b_{b5} and B^b_{b5} . Inasmuch as the inner voice at first ascends from f^1 in bar 91 to g^b1 {38} in bar 92, it might perhaps seem that in the consequent, as a further parallel, the 5-6 exchange is once again being set in motion. But the reaching over of eb^2 in this bar places g^b1

in a wholly different light. The entry of the root A^b in bar 93 finally puts an end to any idea of a 5-6 exchange progressing further on the lines of Fig. 12, in that it turns $g^{b^{(2)}}$ into a seventh and thus forces it to descend. This is also one of the reasons why Beethoven, in bars 93-5, avoids a^{b^1} in the inner voice: here in particular a^{b^1} would have created the illusion of an ascent from g^{b^1} to a^{b^1} along the lines of Fig. 12. It is, as it were, the a^{b^1} avoided in the inner voice that now moves down into the bass, even going so far as to act as a root. Indeed there was no objection to a bass succession of B^b-A^b in bars 91-3 in the first place; Beethoven merely had to ensure that the root A^b , having fully established the neighbour-note harmony A^b7 , was once again withdrawn from the progress of root notes, and here the master called to his aid a bass unfolding in which every single note, though originally intended only for the arpeggiation of a chord, is temporarily granted the status of an independent root.

The purpose of all these motions is shown in Fig. 13c. The neighbour-note harmony on A^{b7} is finally subsumed by a chord of B_{43}^{b7} , which in turn reveals itself to be only a neighbour-note harmony in relation to the second reaching-over motive. This is shown by the sequence of scale steps, $I-(41^{b7})-II^{b7}/V_{43}^{b7}$, and by the fact that the chord notes $a^{b^1}-d^{b^2}-f^2$, due over the D^b in bar 95, are omitted in order that all our attention may be reserved for the chord an octave lower, on B_{43}^{b7} , that replaces them, a chord in which, however, the third has already been raised (d^1 instead of d^{b^1}):

Fig. 14

a)

b)

In the major, as Fig. 14a shows, the succession $f^2-e^{b^2}$ would in itself have been sufficient for a reaching-over motive; to adopt a similar course in the minor would be impossible (see Fig. 14b). Beethoven takes advantage here of the fact that the note e^2 of the ascent has two roots, C and F (cf. Fig. 13a), to introduce into the treble clef in bars 97-8 the tonicizing chromaticism of the third, e^2 . In this way he obtains a reaching-over motive instead of the simple reaching-over motive $f^2-e^{b^2}$ (see Fig. 14), the diminution

$(g^{b^2})f^2-(e_4^2)e^{b^2}$ (see Fig. 13c).

Thus elaborated in the realization, the motion from d^{b^2} to e^{b^2} takes up 4 bars, and is therefore twice as long as the motion from d^2 to e^{b^2} in the antecedent. But all this came about as a result of the changing harmonies in bars 91, 92 and 93, which led to a 'detour' of this kind in the treble. The chord of C_{43}^{b7} in bar 92 also provides the first opportunity to reintroduce g^1 , finally disposing of the g^{b^1} created by mixture in bars 92-4. Beethoven thus {39} changes the succession $g^{b^1(2)}-f^1-e^1$ in bars 94-7 into the major-mode succession $g^2-f^2-e^{b^2}$ [see asterisks in the Foreground Graph], a change which, moreover, restores the two-line octave.

The expansion in bars 91-9 prepares for further expansions.

The third reaching-over motive is g^2-f^2 in bars (103)108-9 (see Fig. 15). Inherent in g^2 are both the voice-leading requirement of a note that is a seventh above a^1 in the inner voice (here it is also a ninth above the bass F) - cf. Fig. 14a - and a tribute to the upward drive that continually rekindles the motion. In this it is the purpose of the reaching-out motion²⁰ from a^1 to g^2 in bars 99-100 to make us very much aware of both: the seventh a^1-g^2 and the uninterrupted motion up to g^2 . At the same time, reaching out from a^1 is a means of expansion.

The Foreground Graph shows how the diminution in bars 99-109 is divided. This division develops the harmony in a manner that is often found in later music

99 103 105 107 109

Fig. 15

²⁰ [Ausholen: not a technical term in *Der freie Satz*. The Foreground Graph, however, identifies it as an unfolding of a seventh (*Sept-Auswicklung*).]

With the parallel entries in bars 91, 92 and 93 the special rhythm starting on the second crotchet also returns in the consequent. If in bar 94 there had not been a need to mark the end of a four-bar phrase (bars 91–4 = bars 83–6), and especially to work out the reaching-over motive db^2-c^2 (= d^2-c^2 in bars 83–6), the next entry could have begun on the second crotchet of this bar (94). Even though this does not occur, the required distance of three crotchets is maintained until the entry in bar 95, so that the requirement of this special rhythm is observed throughout. Thus the special rhythm continues in bars 95 [cello and double bass], 96 (violin 1), 97 (oboe 1), 98 (flutes, clarinets and bassoons) and 99 (violin 1), until it finally loses its *raison d'être* when the note expected on the first beat of bar 100 in accordance with the 3/4 grouping is omitted. The same thing happens across bars 100|101. Thus from bar 101 onwards the realization returns wholly to the natural metre.

The ascending register transfer of $\hat{2}$, whereby f^2 is finally replaced by f^3 (bar 109), means that the three-line octave will now take over the fourth fifth-progression (as well as the first and second ones): the final note of this fifth-progression, bb^2 , is of course intended to be a note of reaching over (see Figs. 2, 3 and 6).

The very first interval of a second in the fourth fifth-progression, f^3-eb^3 , is repeated (see Fig. 6 and bars 109–12 and 113–16 of the Foreground Graph). This repetition prompts a repetition of the ensuing notes of the fifth-progression: d^3-c^3 in bars 123–5 is repeated in bars 126–43 before being followed by the last note of the fifth-progression, bb^2 , in bar 144. Both repetitions occasion a powerful elaboration of the bass – this is the first time that a descending fifth-progression has been supported in this way – while simultaneously continuing the expansions of the ascent (bars 91–9 and 99–109).

{40} The descending arpeggiations of the treble in bars 109–18 are a response to the ascending arpeggiation in bars 99–108:²¹ the latter has $a^1-c^1-eb^2-g^2$, the former $f^{2(3)}-d^{2(3)}-bb^{2(3)}$ etc.

In bar 117 we finally expect d^3 , but once again, as has already happened in bar 113, f^3 appears in its stead on the first beat of the bar. There is every reason, therefore, to understand the repetition of bars 109–12 in bars 113–16 as follows: the play of expectation and deception in bar 113 is designed to prepare us for the same play in bar 117.

In bars 116 and 117 the bass takes up the motion of the treble through voice-exchange and brings it to an end with $E\flat$ and D (see the arrows in the Foreground

Graph and Fig. 6). This not only gives the f^3 on the first beat of bar 117 a more secure footing than it had in bar 113; it also makes possible a longer extension of the diminution in preparation for the ensuing content. By means of a two-octave descending arpeggiation, which clearly refers back to bars 109–10, f^3 at first descends in two bars to bb^1 in bar 118. From here an ascending fifth-progression leads to f^2 in bar 121; in this progression a descending third-progression is attached to every single note. (A series of 5–6 exchanges, together with an imitation of the descending third-progressions in the bass, ensures that there are no consecutive fifths.) These descending third-progressions in quavers prepare for the third-progressions in crotchets (i.e. in augmentation) that constitute the diminution in bars 123–5.

The same is true of the way the diminution is prepared rhythmically. The small third-progressions each comprise three quavers (actually two crotchets), and within the context of the 3/4 metre, therefore, the notes of the ascending fifth-progression ($bb^1-c^2-d^2-eb^2-f^2$) fall in turn on the third, second and first, and then again on the third and second, crotchets (see the Foreground Graph); on account of this, d^3 , the highest note of the $d^3-c^3-bb^2$ succession with which the fourth descending fifth-progression continues, must fall on the first crotchet of bar 123. It is only after such a thorough preparation of both the augmentation and the rhythm, a preparation which is the sole purpose of all the motions in bars 117–23, that d^3 finally appears.

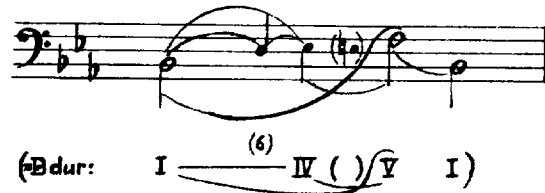
In bar 123 there was still a danger of relating d^3 to the f^3 in bar 117, in the sense of a parallel to the arpeggiated thirds f^3-d^3 in bars 109–10 and 113–14. In order to avoid this danger, the bass D in bar 123 – after the interpolation in bar 122 of the neighbour-note harmony $E\flat_3^6$, which transforms the inner-voice chromatic progression $f^2-f\sharp^2$ that might otherwise result (bars 109–23) into the diatonic $f^2-g^2-f\sharp^2$ – is supplied with a major third. Consequently D seems to acquire the status of a $III_{\sharp 3}^5$ chord. This illusion suffices to confer on the fifth-progression note d^3 in bar 123 the added significance of a new beginning that was necessitated by the curious unfurling of the descending fifth-progression – f^3-eb^3 twice, d^3-c^3 twice and then bb^2 – envisaged by Beethoven at this point. {41} Only now does it become absolutely clear why d^3 still had to be omitted in bar 117: d^3 over D^6 there would have completed the third-progression $f^3-eb^3-d^3$ and thus have brought about the usual division of the fifth-progression into $f^3-eb^3-d^3$ and $d^3-c^3-bb^2$; see 'Der freie Satz'.²²

²¹ [Schenker has '100–108'.]

²² [In *Der freie Satz*, §213 and Fig. 88/2, Schenker explains how a fifth-progression may be divided into two third-progressions.]

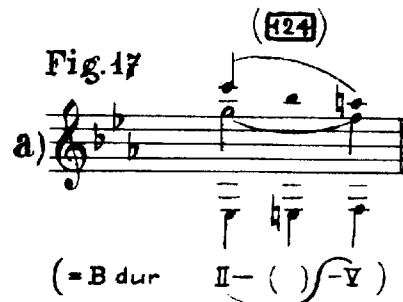
In bars 109–23 the bass has traversed $Bb^5-D_3^6-D_3^5$, evidently with the formula of contrapuntal prolongation in mind – see Fig. 16, the Foreground Graph and Fig. 3; cf. also 'Der freie Satz' and *Meisterwerk* II, pp.29ff²³ – and thus in bars 123–5 the bass progresses from D through Eb (E^{\sharp}) to F, the dominant of the foreground key, Bb major:

Fig. 16

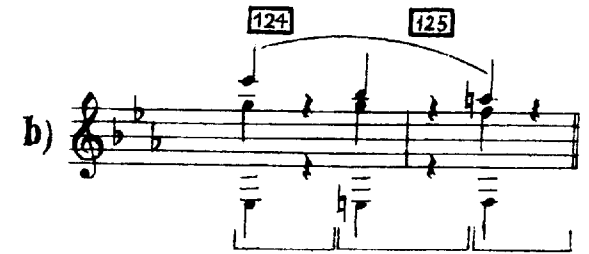


The rhythmic augmentation of the first third-progression in bar 123 is complemented by an augmentation of the corresponding bass counterpoint, with crotchets top and bottom (see the Foreground Graph at a)). Given the augmentation and the increased significance of the third-progression in bar 123, we are thus inclined to accord scale-step status to the rhythmically augmented fourth of the bass, D–G (= scale steps III[#]–VI). However, the subsequent motion of the bass makes us correct this impression (see [the paragraph] above).

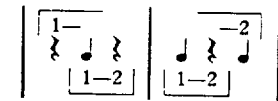
The next third-progression that is due, $c^3-bb^2-a^2$, is further augmented in comparison with that of bar 123: it already takes up two bars (bars 124–5; see the Foreground Graph at b)). If the second third-progression had been completed in only three crotchets, as can be seen in Fig. 17a, the cadential emphasis of the bass scale steps would have evaporated, just as the three bass crotchets in bar 124 would above all have demonstrated their rhythmic similarity to those in bar 123:



²³ [Der freie Satz, §§54ff and Fig. 14 concerns the various ways in which the bass can fill the space between I and V. The page reference for *Meisterwerk* must be an error: Schenker must be thinking of pp.21–2/p.8, which concern the same topic. See also note 42.]



Now forced, for the sake of the cadential effect, to introduce a further rhythmic augmentation of the second third-progression, the master nevertheless avoids the regular hemiola version of Fig. 17b, preferring the following, irregular one:

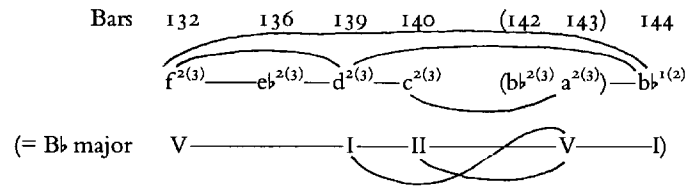


if only in order to thwart from the start an expectation of versions such as 17a and 17b. In bar 124 it is flute I and not violin I that has the primary note of the second third-progression, c^3 ; this helps explain why flute I still adheres to bar 123 to the primary note of the first third-progression, d^3 , above c^3-bb^2 (violin I).

Now follows the repeat of bars 123–5 (see above, [p.21, left column]). Bar 124 corresponds to bar 123, with the sole exception that d^3 is omitted on the first crotchet, so as not to interrupt the altered rhythm of bars 124ff. But corresponding to bars 124–5 are bars 127–43; that is, an {42} augmentation that has already been intensified becomes even more intensified, or, to put it in terms of intention, an initial broadening of the cadence is answered by one that is at once final and more comprehensive. The driving force (or motoric element) at this point is the broadening in note values from quavers in bars 118–22 through crotchets in bars 123 and the hemiola in bars 124–5 to the eighteen-bar section constituting the repeat [of the third-progression] (bars 126–43).

Bar 127 still progresses in a manner similar to bar 124, yet as early as bar 125 an expansion of the bass notes E and F (cf. bar 125), the last notes of the contrapuntal bass formula Fig. 16, commences. In place of the E on the second crotchet of bar 125, six hammerstrokes [*Schläge*] arranged in the manner of a hemiola are introduced in four bars, and this prepares the way for an even larger expansion of the bass note F in its role as scale step V. By the time V enters in bar 132,

second third-progression beginning in the treble in bar 127 is only in arrears with a^2 (cf. a^2 on the third crotchet of bar 125). But a^2 is prevented from entering at once over V in bar 132 by the expansion of the bb^2 that is maintained throughout bars 128-31. The usual delay occasioned by the \wedge_{4-3} suspension, which proves its worth in such cases, Beethoven turns to his advantage by incorporating into the suspension a small fifth-progression:



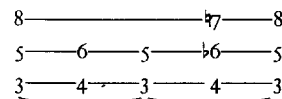
With this the large fifth-progression that has been operative from bar 109 onwards comes to an end (see Fig. 6).

The unfolding of the bass within chord V shows, in bars 132-9, a fourth-progression ascending to the root of chord I - in this bar [139] the small fifth-progression has just reached $d^{2(3)}$, its middle - and then a second cadence (I-II-V-I), employing the remaining notes of the small fifth-progression. The smaller, accelerated fifth-progression incorporated within chord V appears in both the two- and the three-line octaves (see the diagram above). This means that not only the three-line octave but also the two-line octave at last finds its fulfilment in accordance with the law of obligatory register (*Tonwille* I, p.39).

The more rapid progress of the smaller fifth-progression incorporated [within chord V] reflects something of the all too rapid progress of the first three fifth-progressions descending from $f^{3(2)}$.

The interruption of the second third-progression at the passing note bb^2 in bar 128, and the long duration of this interruption up to the appearance in bar 143 of a^2 , which is eventually followed by bb^2 , create a parallel both with the interruption between eb^3 and d^3 in bars 117 and 123 respectively and with its duration: {43} there the seed, here the harvest!

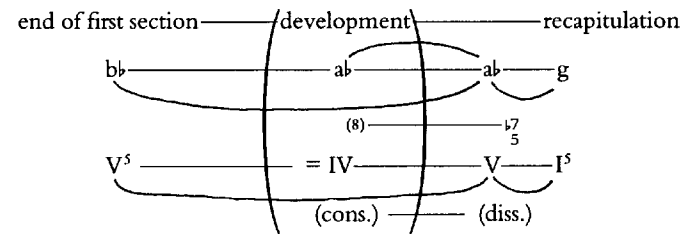
Bar 144 presents $bb^{2(1)}$. This note is the last of the final fifth-progression, and at the same time a note of reaching over (see above, [p.21, left column]). Bars 144-8 are filled out with neighbour-note motions:



over which the bb^2 that has just been reached remains stationary.

A review of all the fifth-progressions descending from $\hat{2}$ in the first section confirms that the two-line octave has maintained its predominance throughout. By its very nature, everything that is truly singable is reserved for the middle registers; cf. *Erläuterungsausgabe* of Op. 109, pp.32-3/pp.17-18.²⁴ The higher registers, on the other hand, serve to promote a spatial expansion which not only encourages the generation of new, far-reaching diminutions, but also enables the composer to make full use of the sonority of an instrument (this is particularly true where the orchestra is concerned). Here the three-line octave of the first two fifth-progressions also prepares the register of the fourth fifth-progression, which has the additional task of presenting the note of reaching over, bb^2 .

Bars 148-220 In bar 148 the return of the motive of bars 3-4 signals both the repeat of the first section, via the neighbour note ab^2 , which resolves to $\hat{3}$, and the development section. In bar 150 and in *prima volta* bar 152 the seventh, ab^{1-2} , is certainly appropriate because of the repeat, acting at the same time as a neighbour note; but at the beginning of the *seconda volta* it comes as a surprise. For as a rule, in order to create content for the development section, a seventh (V^{17}) leading back to the repeat is composed out in such a way that, in accordance with strict counterpoint, it is first displayed in a consonant state and then tied over. Thus in our case, for instance:



²⁴ [In the passage referred to here, Schenker compares the registers of the piano with those of the human voice:

On grounds that may most accurately be described as anthropocentric, everything melodic in character is largely cultivated, even on the piano, in registers that are more or less circumscribed by the four ranges of the human voice: soprano, alto, tenor and bass. [A music example here gives these ranges as c^1-g^2 , $f-c^2$, $c-g^1$ and $F-c^1$ respectively.] Even the compass of the old keyboard instruments already suffices to meet such 'anthropocentric' needs, for there can be no doubt that, thanks to the association of the aforementioned vocal ranges, everything that can speak to the human heart can be expressed in instrumental terms between contra-A and f^3 . Even the later extension of the compass of keyboard instruments was fundamentally unable to alter the natural basis of any kind of instrumental effect, which is as simple as it is psychologically profound.]

152, 156 166, 178 181 182 185 186

198
210
214
220

(1. Terzzug) (Halbtonschritt d-es) (2. Terzzug) (3. Terzzug) (4. Terzzug) (5. Terzzug)

Fig. 18

But this kind of composing-out is impossible when the seventh, as in this case, is already present at the beginning of the development. As Fig. 2 shows, Beethoven chooses {44} another kind of composing-out at this point, a horizontal unfurling of the seventh chord (cf. for example the development in Beethoven's Piano Sonata Op. 81a, first movement),²⁵ and against this seventh-progression, as can be seen in Fig. 3, writes a bass counterpoint involving a neighbour-note motion. However, the development could hardly have evolved in this way if, on the way to the foreground, the master had not from the start had some notion of the

²⁵ [The development section of Op. 81a is graphed as Fig. 62/4 in *Der freie Satz*, and discussed in §177 and §215. Oster, in a footnote to the English edition (p.64), draws attention to the 'specific problem of the seventh' to which Schenker alludes in an unpublished note on Op. 81a, adding (erroneously?) that Schenker did not remark on this problem in his 'Eroica' essay. (In *Der freie Satz*, Fig. 62/4 immediately follows a graph of the 'Eroica' first-movement development.)]

upward drive that is always present in the first section. As a means of creating tension on such a large scale [see the arrows in Fig. 3], the neighbour note in the bass is truly a great achievement of the intellect.

The graph of bars 152-220 in Fig. 18 serves to clarify the realization. Here the semitone step d-es, contrapuntally combined with the leap of a fourth B-Eb (see Fig. 3), is the essence of the whole motion: a surging ascent [*ein Ausholen*] from the depths of d¹ in bar 152 and an ascending register transfer to eb³ in bar 220 create the required space.

In bars 152-6, d¹ (violin 2) in fact makes a leap of a third to f¹ (violin 1). The e¹ interpolated on the first beat of bar 155 does, it is true, derive from a neighbour-note pattern, yet here it is also a tool of the upward drive. In this spirit the semitone step e¹-f¹ prepares the next semitone step, f¹-g¹, in bars 165-6. Furthermore, in bars 154-5 and 156-7, and in bars 158-9 and 160f., there are two

couplings of f^1 - f^2 (over two statements of $A\flat$ - G in the bass); these signify that the two-line octave is included in the play of registers.

The 5-6 exchange over B in the bass (see Fig. 18) would also have become apparent in the foreground if Beethoven had not preferred to place the root G (which, even in the form of an applied dominant, should only in fact have entered with the sixth, g^1 , i.e. in bar 166) under the f^1 in bars 156 and 160 as if it were a syncopation (see the oblique lines in Fig. 18), in order finally to reach g^1 in bar 166 via $f\sharp^1$ as if by reaching over (in bars 164-5). In this way the bass acquires the leap of a fourth G - C (bars 156-166-78), which serves to prepare the next leaps of a fourth, $G\sharp$ - $C\sharp$ and A - D (bars 181-2 and 185-6 respectively; see Fig. 18 and the Foreground Graph).

In bars 166-78 there is a change of diminution; here the diminution of the modulatory section is transferred to the root G . In the realization the following should also be noted: one *sf* each in bars 167, 168, 171 and 172; two *sf*s each in bars 174 and 175; and finally the change in slurring in bars 174-7 after the manner of bars 48|49 and 52|53 (see above, [p.16, left column]).

The diminution changes once more from bar 178 onwards. Here the motive from bars 3-5 of the first section is used, but in such a way that it is shared between bass and violin 1. This constitutes the first inroad into its former unity (see also Fig. 4), so that from now on the first two bars acquire the ability to stand alone and {45} can be used motivically. The diminution in bars 182-5 operates in the same manner.

In bar 186 the bass reaches the root D , the third of the initial root, $B\flat$. In the same space of time the treble has traversed the first third-progression (see Fig. 18).

In bars 186-97 the second third-progression is realized over $D_{\sharp 3-4}^{5-7}$. The diminution of the bass part is based on the motive from bars 3-4 of the exposition, the motive that has just, in bars 178-80 and 182-4, become independent. The motion of the bass [in bars 186-98] has to be understood as a fourth-progression, D - G , despite the fact that in bar 194 the treble takes up its continuation over the $F\sharp$ of the bass and in bars 194-7 completes a $_{\sharp 3-4}^{5-7}$ transformation of the chord by means of the same (though admittedly truncated) motive, whose extreme foreshortening even permits a hemiola in bars 196-7. That the bass on the third crotchet of bar 193 has G instead of A (cf. A on the third crotchets of bars 187, 189 and 191) has something to do with the fact that the step of a second, E - $F\sharp$, is contrapuntally preferable to the leap of a sixth, A - $F\sharp$, as a means of approaching $F\sharp$ in bar 194. The parallel created by the bass motives in bars 192 and 193, a relationship which in this context comes about by accident, Beethoven empha-

sizes still further by splitting up into two smaller slurs the slur that had hitherto encompassed two bars, thereby building a bridge to the diminished forms of the motive in bars 194-7.

The same voice-leading obtains in the third third-progression (bars 198-209), though in bar 206 violin 1 descends an octave lower with the sole purpose of gaining space for the upward continuation.

Given what has happened in bars 186-97 and 198-209, the realization of $C_{\sharp 3-4}^{5-7}$ has become due in bar 210, at the start of the fourth third-progression. It is thus at one and the same time a foreshortening and an acceleration when Beethoven omits the realization of $C_{\sharp 3}^5$ and moves at once to $C_{\sharp 3}^{\flat 7}$ (see bars 210-13). This also causes the treble to progress more swiftly: in bar 214 it is already at c^3 .

But in the last section of this passage, in the fifth third-progression, problems began to accumulate, as can be seen in Fig. 19:

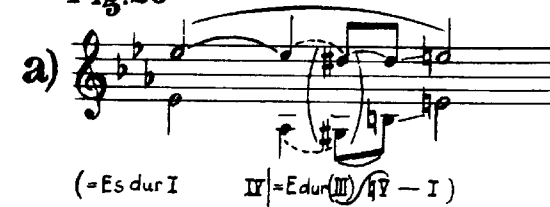
Fig. 19

On the one hand, the three-note character of the motive, given that it already prevailed in both the bass and the treble from bar 186 onwards, could hardly be contradicted in the end. On the other hand, if $e\flat^3$ was to be specially highlighted as the goal of the whole motion from bar 152 onwards, it had at all costs to be prised out of the three-note unit it would have formed with c^3 and d^3 , which were only a means of reaching the goal note (see the beaming in Fig. 19), and presented independently; apart from anything else, c^3 had to be supported by $C_{\sharp 3}^{\flat 6}$ if the motion were at last to proceed to the final notes. {46} All these difficulties the master resolves by means of a six-bar phrase (bars 214-19), arranged as 3×2 bars (hemiola). Specifically, in order to avoid a direct chromatic progression from e^2 to $e\flat^2$ (still shown by Fig. 19) he writes e^2 - f^2 - $e\flat^2$ (see Fig. 18 and the Foreground Graph), thereby sacrificing the first two-bar phrase of the hemiola merely in order to attain f^2 . In bars 216-17, the second two-bar phrase, he acquires $e\flat^2$ and $a\flat^2$, so that the preparation of the complete sixth chord ($C_{\sharp 3}^{\flat 6}$) has

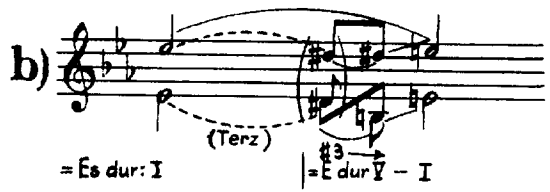
now taken up two two-bar phrases. But as in the meantime the treble has remained on c^3 , in the third two-bar phrase (bars 218–19) db^3 has to be newly interpolated and closely juxtaposed with d^3 in order to comply with the three-note character of the motive. Only in this way can eb^3 finally move out of the hemiola and start a new section (see above).

Bars 220–84 A path such as the one from eb to $e\sharp$ (see Df. b) in Fig. 3) can be pursued in various different ways, for example as in Fig. 20a or, in even shorter form, as in Fig. 20b:

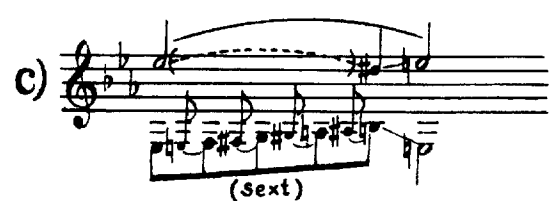
Fig.20

a) 

(= Es dur I II = E dur III / IV - I)

b) 

= Es dur: I (Terz) | = E dur V - I

c) 

(Sext)

In both cases an enharmonic change cannot be avoided. Beethoven selects the path given in Fig. 20b, though in the bass he unfolds a sixth instead of a third (see Fig. 20c). But in Fig. 20c the treble is still regarded as stationary for the duration

of the sixth-progression [*Sextgang*] in the bass. Now, on the basis of the motive of diminution that Beethoven has in mind, the treble can also be set in motion (see Fig. 21 opposite). Here, in the bass, every step motion contained within the unfolding of a sixth is transformed into a descending seventh-progression [*Septgang*]. Such a progression divides of its own accord into a third-progression and a fifth-progression, so that the chromaticism in question can now move away into the treble in the form of a tenth. In this way, however, the treble would also end up by ascending to the sixth, thus running the risk of losing the semitone step prescribed in Fig. 3 and in Figs. 20a and 20b. Consequently, at some point in its composing-out, the treble must accomplish the return to $d\sharp^2$. Beethoven resolves this difficulty in the manner shown in Fig. 22.

The realization in the first segment, $Eb-(E\sharp)-F$ (bars 220–36), does not as yet permit us to perceive the matter clearly. For, contrary to Fig. 21, in which the chromaticism seems to be assigned exclusively to the treble because of the semitone step that, in melodic terms, was more appropriate to strict counterpoint, and the bass has a seventh-progression on account of the leaps of a third and a fifth on which it is in fact based, there is an inversion in the realization of the first segment (see Fig. 22a): the descending motion is in the treble, the chromaticism in the bass. In addition, the primary note of the second seventh-progression, f^1 , reaches over the last note of the second third-progression,²⁶ the ab in bar 236 (see the following paragraph), so that at this point the first and second seventh-progressions interlock: {47} the last third-progression, $ab-g-f^{(1)}$ (bars 236–8), already dissolves into the technique of reaching over that is the main feature of the second segment.

The diminution of the first segment refers back to the diminution in bars 166–78, that is, to the arpeggiated motives of the modulatory section. Here they descend through the octaves eb^2-eb^3 and $eb-eb^1$ (see the two brackets in the Foreground Graph and Fig. 22a), finally contracting in bar 236 to a third, $f-ab$. By means of reaching over, this third is transformed into a sixth, $ab-f^1$, thereby creating both the primary note of the second seventh-progression²⁷ (see the previous paragraph) and the arpeggiated interval of a sixth that uniformly pervades the reaching over in the second segment.

Contrary to Fig. 21, in which the initial chord of Eb is, as it were, assumed to

²⁶ [Schenker is referring to the two inner-voice third-progressions shown in the Foreground Graph: $eb^1-db^1-c^1$ (bars 220–32) and $c^1-bb-ab$ (bars 233–6).]

²⁷ [This is shown most clearly in Fig. 21.]

Fig. 21 (Chroma)

(8 - 10 - 8 - 10 - 8 - 10 - 8 - 10 - 8)
(Terz) (Quint)

Fig. 22

Nb:

220 232 236 238 239 240 243 244 247 248 254 272 290 284

(Fl.) (Ob.) (VI. I.) (VI. II.) (Vcl.) (B.) (Chr.) (Übqf.) (Ausf.) (Ausfaltung) (Chr.)

a) b)

take the form I_3^5 , the initial chord of $E\flat$ in the realization (because it is derived from the diminution of the modulatory section) sounds like V^{b7} from the start. As a result, the root $A\flat$ in bar 232 has the effect of I^5 (actually, $I^{b7}-IV$ [in bars 220–32] = $V-I$), for which reason a 5–6 exchange on $A\flat$ is still required in order to avoid a direct chromatic progression from $e\flat$ to $e\sharp$ in bars 232–4. In bars 232–6 the bass in itself presents a two-voice structure by combining the second third-progression, $c^1-b\flat-a\flat$, as the treble with its counterpoint as the bass (see Fig. 22a and the Foreground Graph): it is for this reason that in bar 234 the chromatic note $e\sharp$ appears in the bass, as the sixth below c^1 arising out of an inversion of the tenth (third) in Fig. 21.

The second segment, $F-(F\sharp)-G$, extends from bar 236 to bar 243. Here at last the first chord of F in 5_3 position corresponds exactly to the scheme postulated in Fig. 21. The further progress of the seventh-progression, however, is continually complicated by reaching over. As a result, the final note of each third-progression is overshadowed by the first note of the voice that reaches over: we no longer think we are hearing complete third-progressions, as we did in the first segment, but steps of a second. Thus the curtailing of the third-progressions in the first segment²⁸ (instead of the third-progression leading to a fifth-progression, as in Fig. 21) already served to prepare for the two-note reaching-over motives $f^1-c\flat^1$ (viola), d^2-c^2 (violin 2) and $g^2-f\sharp^2$ (violin 1). The confusion is compounded by the fact that in bar 238 violin 2, taking the inner voice, initiates a second seventh-progression with f^1 , a progression which seems to imitate [the first seventh-progression] at the interval of a sixth below. Thus in this bar [because of the f^1] it is as yet impossible for the upper sixth, d^2 , to function as the primary note of the fifth-progression ($D^{\sharp 3}$) that according to Fig. 21 is due at this point; and it is only because of the unfolding to d^1 (violin 2) in bar 240, which serves to complete the 5–6 exchange F^{5-6} , that the effect as yet omitted in bar 238 [that is, the ability of d^2 to function as the primary note of a fifth-progression] can be compensated for by linking the fifth-progression to d^1 . This fifth-progression still remains in violin 2 (as a high-register bass),²⁹ with d^1-c^1 in bars 240–1, but then descends to the bass with the advent of the other notes in bars 241–3. And now that the fifth-

progression has arrived, it is time for the {48} second chromatic alteration. This time it appears in the treble (violin 1), in exact fulfilment of Fig. 21 (see the $f\sharp^2$ in bar 241); the direct juxtaposition of f^1 and $f\sharp^2$ in bars 236–41 is avoided by means of the reaching-over motive $g^2-f\sharp^2$.

Fig. 23 is designed to facilitate understanding of the unfolding. In particular Fig. 23b demonstrates how the bass notes of the unfolding conflict rhythmically and metrically with the seventh-progression of the treble and how the duple arrangement of the two-note reaching-over motives [shown on the upper staff] is dependent upon the unfolding.

The precipitate descent of the progressions in the first segment (see above, [p.26, right column]) was thus wholly necessary, as we now fully understand for the first time, in order to make way in the second segment for the ascent of the reaching-over progressions. The second segment comes to an end with the bass note G in bar 243. But the treble, which has already reached g^2 in bar 242, does not await the uncoiling of the last notes of the fifth-progression, $B\flat-A-G$, in the bass and ascends in contrary motion with the third-progression $g^2-a^2-b\flat^2$. By this means, in bars 242–3, the last notes of the fifth-progression interlock with a new diminution motive in the treble. We now understand in retrospect the intention of bar 236: just as there the last third-progression of the first seventh-progression, $a\flat-g-f$, already pointed beyond to the second segment, so in the second segment the third-progression $g^2-b\flat^2$ in the treble already points to the third segment. This prevents the large descending progressions from proceeding in a schematic manner and thus appearing to be lined up in unadorned contiguity.

Now to the realization of the last two segments of Fig. 21.

In bars 243–6 the third-progression in the treble, $b\flat^2-a^2-g^2$, provides a counterpart to the ascending progression $g^2-a^2-b\flat^2$ of bars 242–3 [see the arrows in the Foreground Graph], while the bass once again reaches out to an unfolding which is now designed to link G with the chromatic note $G\sharp$ (bars 243–8). In the meantime the woodwind, as if continuing the reaching over, make use of the three-line octave. In bar 247 $f^{2(3)}$ appears in the treble over $D^{\sharp 5}$: this consonant chord is expressly designed to prepare $f^{2(3)}$ as a seventh over the $G\sharp$ in bar 248, the note with which the unfolding beginning in bar 243 comes to an end and a new unfolding linking $G\sharp$ with A (bars 248 and 272) begins. The descent in bars 248 and 254 of the bass notes D and C , which in terms of the unfolding should only be understood as notes in the inner voice (see the Foreground Graph and Figs. 22a and 22b), now draws the treble with it in tenths, $f^{2(3)}-e^{2(3)}$: thus it is entirely on account of the unfolding that $e^{2(3)}$ in bar 254 should first be joined by

²⁸ [This remark refers to a point made three paragraphs earlier on the merging of the third-progression $a\flat-g-f^{(1)}$ (bars 236–8) into a passage governed by the technique of reaching over.]

²⁹ [als sog[enannter] junger Bass: 'as a young bass, so to speak'; Schenker uses this phrase whenever the bass appears in a high register. The theme of a 'rejuvenated' [verjüngt] orchestral bass part appears in the essay on Mozart's G minor Symphony (*Meisterwerk* II, p.122/p.70; there it signifies a greater participation in the motivic interplay of the parts.)

Fig. 23

a)

b)

(Br.) (VI. II) (VI. I)

(Ausf.) (Ausf.)

236 237, 238 239 240 241, 242 243

(5 - - 6 - 5)
= F - (Fis) - G

(5 - - 6 - 5)
= F - (Fis) - G

the third of the root A ($\overset{6}{3}$ position) instead of the root itself.³⁰ In bars 242–54 the treble has descended from g^2 to $e^{2(3)}$. Another step downwards, and the goal note $d\sharp^{2(3)}$ is reached. We recognize in this the return whose necessity has been discussed above [p.26, right column].

{49} Thus the succession of bass notes G–(G#)–A in bars 243–72 is all that still remains of the scheme postulated for the third segment in Fig. 21. In particular, the fact that the seventh-progression is omitted from the realization means that the chromatic note G# in the bass is deprived of the significance that, according to Fig. 21, was implicit in the chromatic notes E# and f#² in bars 234 and 241. Under the pressure of the treble, which, descending in an uninterrupted span, proceeds from g^2 in bar 242 until at last it reaches $d\sharp^2$, the bass now gives up the division into two independent segments (G–A and A–B) depicted in Fig. 21, joining up both segments to form a kind of third-progression, G–A–B.

So, in the two segments joined together in this way, the diminution of the treble – to sum up the whole thing – consists of two third-progressions, an ascending one and a descending one (bars 242–3 and 244–6 respectively), and of an (eight-note: 2×4) melisma which likewise comprises two third-progressions,

though this time a descending one and an ascending one (bars 248–72 and 272–9 respectively).

The bass approaches the last root, B (bar 280), both via G#–A–B in the lower voice and via D–C–B in the inner voice (see Figs. 22a and 22b); and when the latter succession is joined by the treble at the tenth with $f^{2(3)}$ – $e^{2(3)}$ – $d\sharp^1$, we have identified all the features that serve to unify the last two segments.

A comparison of the diminutions comprising the first and second semitone steps of the development section (bars 152–220 and 220–84: see Df. a) and b) in Fig. 3, and also Figs. 18 and 22a) reveals at first a parallel with regard to the repetition in bars 166–78 and 220–36 of the diminutions deriving from the modulatory section. On the other hand, the diminution of the second semitone step (see Df. b) in Fig. 3) offers no parallel to bars 178–220, whose place is taken in bars 236–42 by a series of reaching-over progressions. This continues the diminution of the modulatory section in an even more compressed and accelerated form, until at last a mysterious, seemingly new diminution enters, one which is explained only by the ensuing parts of the development section (see Df. c), d) and e) in Fig. 3).

The three-line octave is introduced in bar 245. From this point on, the treble moves in both the two-line and the three-line octaves (see violin 1 and flute 1).

³⁰ [The repeated bass As given in the Foreground Graph, bars 256–9, are clearly a copyist's error.]

Fig. 24.

a 1)

(4)

284 285 - 286 287 288 - 289 - 290 291 292

300

305

a 2)

(Ob.) (Fl. I) (Fl.)

(Vl. II) (Vcl.) (6-10-8-8)

(Fg. II) (Vl. I) (B)

b 1)

(4)

322

325

337

362

b 2)

(Ob.) (Cl.) (Fl. I) (Vl. I)

(Vcl. Fg. I) (Vl. II)

5 - 6(5) - 6 - 5(5) - 6 - 5

(B) (B)

From bar 269 onwards violin 1 also ascends to the three-line octave of the flute. But in bar 280 violin 1 suddenly plunges from $f^{3(2)}$ to $d\sharp^1$, instead of proceeding to $d\sharp^3$. The unleashing of the orchestra in two octave registers of the treble, which are joined from bar 260 onwards by octave couplings in the bass, was intended from the start to underline the impending fall of a diminished third in bars 279|280 in as dramatic a manner as {50} possible (cf. on this point the second movement, bar 150). Seen in this way, this unleashing represents a tragic partition, as it were, against which the last parts of the development section are supposed to be set off all the more effectively.

Bars 284–398 In bar 284 we enter the last three segments of the development section, designated in Fig. 3 as Df. c), d) and e). Fig. 24 provides a general overview. According to this, the three-line octave predominates in bars 284–366, with g^3 and $g\flat^3$ in bars 305 and 362. In both cases, as Fig. 24 a1) and b1) show, the pitch in question is approached via an arpeggiation of a tenth in open position.

The diminution of the first arpeggiation (bars 284–305) seems to be wholly new, but in fact it comes from the diminution in the treble in the preceding section (bars 242–79), which it simultaneously compresses: earlier, an ascending and descending motion in bars 242–6, now the same motion in cello and violin 2 in bars 284–5; earlier, an inverted form of the ascending and descending motion in bars 248–79, now the same motion in cello and violin 2 in bars 286–7.

But what, in the final analysis, is the significance of this diminution? If we subtract the passing notes from the content of cello and violin 2 in bars 284–8, we are surprised to discover the likeness of the cello's first arpeggiated motive, which extends from bar 3 to the first crotchet of bar 5 and includes the third of the arpeggiation (see a2) and b2) in Fig. 24). This confirms that the diminution of bars 242–79 is merely a preparation for the new transformation of the main motive (see 'Nb' in Fig. 22).

The new transformation is characterized by the use of the minor mode and by the way in which [the intervals] are filled in with passing notes that blur the original rhythm.

That Beethoven can only have intended the new diminution to refer to the main motive transpires from the counterpoint of oboe 1, which presents a diminution of that part of the arpeggiation of bars 5|6 that adds the fifth. Thus in bars 284–8 we are faced with a diminution of the smaller arpeggiation, in close position, of the cello in bars 3–6 (cf. Fig. 4), with the difference that this diminution – irrespective of its use of the minor key – does not present the content successively. Rather, it combines the content of bars 3–4 and that of bars

5–6 contrapuntally. This is what distinguishes the new treatment of the content from that in bars 178–80, 182–4 and 186ff.

However, it is only through the apex fifths [Quintenspitzen], b^2 and $b\flat^2$, that the two large arpeggiations of a tenth in open position (a1) and b1) in Fig. 24) materialize at this point. Thus these arpeggiations – and here we come upon the most profound aspect of the synthesis – create parallels with the first arpeggiation in open position ($e\flat-b\flat-g^2$ in bars 3–7), though with the difference that the unfolding takes place over a long distance and that the harmony changes as follows:

$$\begin{array}{l} e^2-b^2-g^3 \quad \text{and} \quad e\flat^2-b\flat^2-g\flat^3 \\ E\text{-----}C \quad \quad E\flat\text{-----}C\flat. \end{array}$$

{51} Because of the open position of the large arpeggiations, the fifth in each case has to lie in the middle. This explains why both voices, at every repetition, retain the same registers as in bars 284–8, that is, why they are never exchanged, even though they are in double counterpoint at the octave: the lower voice always retains the first succession of notes, which includes the third of the smaller arpeggiation, whereas the counterpoint has the second succession of notes, which includes its fifth.

The fifth that results from the smaller arpeggiations in close position also guides the composer in his arrangement of repeated material. Thus the repetition of A minor harmony in bars 292ff is explained by the fact that its fifth, e^3 , can also function as an octave in the arpeggiation of a tenth. In other words, the large arpeggiation only becomes operative through the apex fifths b^2 , e^3 and g^3 . The sense of compulsion that emanates from this arpeggiation is so strong that the consecutives produced between the apex fifths and their roots, $\begin{array}{l} b^2-e^3 \\ E\text{-----}A \end{array}$, are inaudible.

As can be seen at a2) in Fig. 24, the structure formed by the two voices evolves first by means of a 6–10 interval exchange ($\begin{array}{l} e^2-g^2 \\ g^1\text{-----}e^1 \end{array}$ in bar 285) and then by means of antiparallels ($\begin{array}{l} b^2-e^2 \\ b\text{-----}e^1 \end{array}$ in bars 287|288). The last two crotchets of bar 284 are filled out by oboe 1 with a figure involving the lower neighbour note to e^2 ; this naturally requires a similar neighbour-note treatment of b^2 on the last two crotchets of bar 286.

In both voices the diminution is effective because of the minor mode and the passing notes (which include the chromatic progression $d\sharp^1-d^1$ in bar 286), and not least because of its unusual rhythmic arrangement, beginning on the second crotchet and including *sf*s on the first beats of bars 285 and 287, all characteristics

that make it seem quite tender, indeed passionate – a wholly unexpected transformation of the main motive! When in bar 300 its first simple form, involving the succession of third and fifth, finally returns in the same voice, this return attaches itself to the preceding, new transformations in a wholly logical manner, just as the last apex fifth, g^2 in flute 1 (bar 305), attaches itself to the earlier apex fifths b^2 and e^3 , thus producing the aforementioned arpeggiation of a tenth. If we adhere to the interpretation advanced above, namely that the arpeggiations of the original form of the motive, from bars 3–6, are, within the totality of the diminution, as if in conscious contrast to the more declamatory and *cantabile* successions of notes, then this is particularly and most emphatically confirmed in the present segment of the development section, for here the first form of the arpeggiation triumphs even over its own transformation: it sounds as if the original form – the counterpoint is intended to represent the deuteragonist [*Gegenspieler*] – had suddenly experienced a fit of tenderness, indeed of undue tenderness, though in the end thrusting this aside in an energetic fashion.

{52} The root E in bars 284ff points to the C major in bars 300ff (cf. also Fig. 3). But through the mixture in bars 308ff and a pair of 5–6 exchanges in bars 312–16 we arrive at the root $E\flat$, at first with a major third (bars 316–19) and then with a minor third (bars 320ff).

As can be seen at b2) in Fig. 24, the realization of the arpeggiation in bars 322–62, despite retaining the new transformation as a motive of diminution, turns out to be quite different. All the alterations are linked to the fact that this time the bass conjointly performs the first arpeggiation of bars 3–4, reaching out to the third, in augmentation and in the minor.³¹ Thus it seemed apposite to give the third, $G\flat$, the temporary and illusory weight of a scale step, one that resembles the centre of a cadential arpeggiation in $E\flat$ minor (= I–III–V–I). In this sense the approach to $G\flat$ in bars 326–30 is shaped like a modulation. In bars 330–5 the diminution of the bass (see violin 2 and cello, bars 284–5) attains for the first time a register previously reserved for the fifth-based counterpoint of the oboe. This counterpoint had to be omitted here because the apex of the fifth, $d\flat^3$, would not have fitted into the arpeggiation of a tenth, and, furthermore, because the $G\flat$ would have emphasized the major more than was deemed desirable at this point.

In bar 366, in a manner reminiscent of the pedal effect of the piano, oboe 1 underlines the $g\flat^3$ of the flute with $g\flat^2$, so that the other notes that are still

³¹ [This is seen most clearly in the Foreground Graph (the open notes beamed above the lower stave in bars 322, 330, 337 and 338).]

required for the full composing out of the seventh, ab^2 (see Figs. 2 and 3), now also remain in the two-line octave. The interpolation of the bass motion $C\flat$ – $E\flat$ in bars 366–77 serves to avoid consecutive fifths:

Fig. 25

As early as bars 394–5 the horn, still within the dominant harmony, announces the reprise with the motive of bars 3–4, even though this expresses a triad of $E\flat$. Apart from the fact that such licence may be justified by a mere allusion to what is to come, the passage can also be explained in harmonic terms; see *Harmonielehre*, p.208.³² Violin 1 in bar 397 sums up the whole development section in that it once again assigns the seventh to the register in which it occurred in bar 152 (ab^2).

Bars 398–551 The reprise enters with g^2 , exactly as in bar 1. The following bars, corresponding to the first subject of the exposition, demonstrate the predominance of the two-line octave. Concerning the reaching-over progression in bars (398)402–30, see Fig. 3. The descending step $C\sharp$ – $C\flat$ in bars 402–4 has already been considered in connection with Fig. 5; here the descent of the bass brings with it the descent of the treble. That the motive of bars 3–6 resurfaces in

³² [Schenker refers here to his earlier explanation of this famous passage:

From a purely technical angle, the passage can actually be traced back to the combination of a held seventh, $A\flat$, within chord V and (in bars 5 and 6) a \sharp^4 chord of the kind almost regularly employed on the dominant, either in passing or with the character of an unprepared suspension.

Of course, in the symphony even this basic technical idea is almost wholly repressed and obscured by the prevailing sentiment. This is because, on the one hand, it is accomplished on a larger scale and, on the other, because here the phenomenon, which in reality can only be construed as a passing chord or as a suspension, is in fact composed out by the main motive of the symphony, on account of an incomparably expressed original and almost poetic prescience of what is to come. However, the enlargement of scale was only possible within the large-scale harmonic scale step. In other words, it was the practicable enlargement that first made it possible to conceive and express the poetic element.

The translation of the passage is our own; the rendering in the standard English translation is inadequate.]

bars 408ff remains of secondary importance compared to the true Uralinie-bearing register of the treble (see Fig. 3).

{53} In bars 430-40 there is an ascending register transfer: g^2 progresses, via the neighbour note $a\flat^3$, to g^3 , so that in bar 446 $\hat{2}$ presents itself as f^3 . The transfer of the modulatory section to the main key now brings with it the fifth-progression $b\flat^2-e\flat^2$, from which, in view of the fact that $\hat{3}$ and $\hat{2}$ have already been composed out, we take only the final note, $e\flat^2$, as $\hat{1}$.

Bars 551-691 A first insight into the coda has already been provided by Fig. 3; a more precise one is offered in Fig. 26. The treble could of course be interpreted as the unfolding of an octave ($e\flat^3-e\flat^2$), as so often occurs in a coda. But because of the chromatic $d\flat$ in bars 557-60, and also because of the predominance of the two-line octave (despite all the couplings in the treble), it is advisable for the

reader to familiarize himself with the graph of Fig. 26a, according to which $e\flat^2$ in fact ascends via the neighbour note c^3 to the fifth, $b\flat^2$, in order finally to return to $e\flat^2$ in the very last descending fifth-progression. The chromatic $d\flat$ mentioned above appears at this point [that is, as a preparation for c^3], as indeed it does whenever a voice eschews the execution of a direct chromatic progression, leaving the chromaticism to a higher voice and itself going down to the root of the chromatic note with a descending third-progression (cf., for example, Fig. 21). Here of course the entire outer-voice structure is involved in a third-progression of this kind [i.e. bars 551-61]. In the context consecutive octaves and fifths are unavoidable, and it is only because of the *unisono* that they do not appear as actual successions; but over and above this, Beethoven wrote the flute part (see especially bars 557-8) in such a way that in addition the outer-voice structure

Fig. 26
(Coda)

a)

b)

551 561 574 577 580 584 592 592 593 618 619 627 631

creates the effect of tenths. In bars 561–80 there is an arpeggiation of a C_{43}^{b7} chord, followed by a chord of F^5 ; both chords support a neighbour-note motion of $c^{2(3)}-d^{b3(2)}-c^{2(3)}$ in bars 574, 577, 580 and 584 [see Fig. 26b]. Bars 581–95 thus belong to the c^3-b^2 register, to which the diminution of bars 284ff, repeated at this juncture, makes a point of referring: just as in the earlier passage, where the apex fifths outlined by the counterpoint built up the arpeggiation, here the apex fifths, c^3 and b^2 , express the leading register. Thus in the final analysis it is as if the large fifth-progression, b^2-e^2 in bars 595–631, were only an augmented parallel to the small fifth-progression in bars 592|593 (cf. bars 584|585). The events of bars 595–631, in particular the use of reaching-over progressions and motions from an inner voice to support the descending fifth-progression, are sufficiently explained by Fig. 26b and the Foreground Graph.

In bar 631 the structure once more comes to a close on e^2 . The task of the last section will then be to draw in the three-line octave again in order to achieve a brilliant conclusion.

The original form of the main motive (bars 3–6) serves as diminution; its resumption at this point signifies a programmatic, deliberate overcoming of the {54} diminution of transformation introduced as a parallelism in bars 581–94. By way of the neighbour note ab^3 in bar 668, violin I reaches g^3 in bar 669, f^3 in bar 670 and e^3 in bar 673. In bars 671–2 flute I is kept above violin I; this is done intentionally, in order to be able to give precedence, in bars 681–5, to violin I with ab^3 , regardless of the fact that violin I also, in bar 689, finally reaches the end with g^2 .

Second Movement

The Urlinie moves within the space of a fifth.

The first middleground layer (Fig. 27) shows that the first section contains an (undivided) fifth-progression as the Urlinie, accompanied by a single bass arpeggiation passing through the third of the triad. The *Maggiore*, on the other hand, contains the interruption $\hat{5}-\hat{2}||\hat{5}-\hat{1}$.

The second middleground layer (Fig. 28) introduces the following: in the first section, an ascent to $\hat{5}$; in the *Maggiore*, a more intricate elaboration of V^{5-47} by means of an 8-47 reaching over, which also incorporates a neighbour note, and another neighbour note within the $\hat{5}-\hat{1}$ progression of the Urlinie; the passage leading back to the first section has its own ascent to $\hat{5}$.

Fig. 29 serves to illustrate the changes of register.

Let us now consider the Foreground Graph of the second movement.

Bars 1–8 The third-progression c^1-e^1 in bars 1–7 is supported by an unfolding in the bass. This unfolding also encompasses the neighbour note to the tonic: C–B–C. The two motions combine to create a unity which establishes the e^1 of bar 7 in the context of the ascent (as if it were already $\hat{3}$). Even though the initial note, c^1 , returns with the descending third-progression of bars 7–8, the third, e^1 , nevertheless remains of crucial importance for the ascent. In particular, the fact that e^1 and c^1 share the same tonic harmony is, as we shall see, the main point of the diminution in bars 1–8.

In addition, the Foreground Graph shows the following parallel arpeggiations: $c^1-e^1-g^1-e^1-(c^1)$ and $d^1-f^1-ab^1-f^1$. Their top notes prepare the way for the goal note g^1 ($\hat{5}$). In bars 3–4 the bass presents an arpeggiation of the triad which may also be regarded as an imitation of the arpeggiation in the treble.

In the realization the bass approaches the tonic C in bar 1 via a demisemi-quaver figure which is not as yet a true fourth-progression; for the time being, it is merely an attempt to represent a drum roll in instrumental terms. It is only later that this figure becomes the motive of diminution that fills in the arpeggiations: for this reason the demisemi-quaver figure on the strong beats of bars 1, 2 and 3 is written in small notes, whereas from the weak beat of bar 3 onwards it is written in {55} large notes (hence the difference in notation even between the two statements of the same figure in bars 1 and 6 – small notes in the former, large in the latter).³³

Bars 9–16 In bars 9–16 the first half of the ascent is repeated in the two-line octave, but in such a way that, as a result of an appropriate motion in the bass, the final note, e^2 , now occurs over III. It is precisely this contrast between e^1 and

³³ However, the fact that this figure, so long as it is written in small notes (as in bars 1, 2 and 3), appears immediately before the tonic, i.e. not on the upbeat or on the fourth quaver of bars 1 and 2, reflects an old-established law of notation. Even if in performance the figure is played earlier as an upbeat, in the notation it may only be written in the same bar as the note to which it belongs, as if it were as yet wholly lacking in metrical or rhythmic identity. It is a different matter once this figure, having acquired motivic significance in bars 3–7, assumes the form of third-, fourth- and fifth-progressions. Since they are now written in large notes, they must also be incorporated into the metre. Compare, for example, Haydn's Sonata in B♭ major, Hoboken XVI:41, first movement, bars 1, 20–1 etc.

[In the Haydn sonata (which Schenker erroneously identifies as no.49) an ascending arpeggio figure is written first in small notes in the same bar as the note it precedes (bar 1), then in large notes as an upbeat (bars 20–1). See also *Der freie Satz*, Fig. 119/2, where, interestingly enough, no distinction between small and large notes is made.]