

Interruption and the Problem of Unity and Repetition

MATTHEW ARNDT

INTRODUCTION

Schenker's concept of interruption presents something of a puzzle, in that Schenker describes and depicts interruption in seemingly contradictory ways that have elicited conflicting interpretations. Schenker bases his depictions on the two contrasting models in Examples 1 and 2, which he uses to introduce the concept in *Der freie Satz* ([1935] 1979). On the one hand, Schenker prefaces Example 1 with the comment that "the first $\hat{3}-\hat{2}$ has the appearance of a first attempt of the *Urlinie*."¹ Example 1 shows the first harmonic-contrapuntal progression with only two whole notes but the second progression with three whole notes. This comment and this representation could give the impression that the first progression is incomplete. On the other hand, Example 2 shows the first harmonic-contrapuntal progression with an overarching set of beamed notes but the second progression with embedded notes. Schenker says that Example 2 shows how "with regard to the unity of the *Ursatz*, the first stand of $\hat{2}$ over V is more essential than the second."² This representation and this comment could give the impression that the second progression is a diminution. This impression is heightened by the parentheses around its notes, though these do not feature regularly in depictions of interruption. Thus Schenker's descriptions and depictions could seem contradictory, for the first harmonic-contrapuntal progression cannot be both complete and incomplete, nor can the second progression be both a diminution and not a diminution. When Schenker combines elements from the two models, then these seeming contradictions are brought into relief. In Example 3b, the first bass progression uses an overarching beam as in Example 2, while the first upper-voice progression uses an incomplete beam as in Example 1. This depiction effectively conveys the power of the *Ursatz*, in that the burly *Baßbrechung* appears to bear the weight of a set of *Urlinie* barbells with its mighty, flexed arms, unlike "most people today," who, according to Schenker, "are quite unable to bear the tension of musical coherence" (*FS*, 6). However, this depiction could suggest contradictorily that the first bass progression is complete, while its upper-voice counterpoint is incomplete. In Example 4, the overarching beam, like that in Example 2, could suggest that the first upper-voice progression is complete, but the slur from G to D under the dotted slur from G to G, like the set of two whole notes E and D in Example 1, sets these notes apart from their continuation and could suggest contradictorily that this progression is incomplete. Taken together, these various depictions of interruption, in which the two harmonic-contrapuntal progressions alternately come to the

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1 "Die erste Folge $\hat{3}-\hat{2}$ erscheint wie ein erster Versuch des *Urlinie*-Zuges" (*FS*, 71/36). All translations in the essay accompanied by quotations of the original German are mine. German page number references are to the following editions: *Der freie Satz* (*FS*) ([1935] 1979), *Harmonielehre* (*HL*) ([1906] 1954), *Kontrapunkt* (*KP*) ([1910 and 1922] 1987), *Der Tonwille* (*TW*) ([1921–1924] 2004–2005), and *Das Meisterwerk in der Musik* (*MW*) ([1925–1930] 1994–1997). In such cases, the first citation refers to the original, while the second after the slash refers to the published translation for purposes of comparison. Where there are no quotations of the original German, page numbers refer to the published translation.

2 "Im Sinne der Einheit des *Ursatzes* gerade der erste Stand $\hat{2}$ wesentlicher als der zweite ist" (*FS*, 72/37).

Example 1. The first model for depicting interruption (FS, Figure 21a)



Example 2. The second model for depicting interruption (FS, Figure 21b)



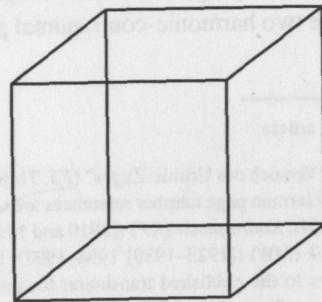
Example 3. A mixed depiction of interruption (FS, Figure 34)



Example 4. Another mixed depiction of interruption (FS, Figure 24)



Example 5. The Necker Cube



forefront, resemble the Necker Cube, shown in Example 5, which shifts its orientation depending on how one looks at it. How exactly does Schenker conceive of interruption? Is one of the two harmonic-contrapuntal progressions in a piece of music with interruption the *Ursatz* and the other one not? Or does the resemblance to the Necker Cube rather suggest that both progressions are somehow the *Ursatz*? The issue of interruption is important, because Schenker considers interruption “the sole basis of the large sonata form” (“allein grundlegend für die große Form der Sonate” [FS, 74/39]),³ which in turn he considers “the highest representation of absolute music” (2005, 43).

Largely in keeping with the common notion that Schenker’s central concern is hierarchy,⁴ Schenker’s interpreters and theorists revising or drawing on his theories have responded to the puzzle of interruption in one of three ways: 1) privileging the first harmonic-contrapuntal progression in a piece with interruption as superordinate and downgrading the second one as subordinate, 2) privileging the second progression, or perhaps the initial tonic triad plus the second progression, as complete and possibly superordinate and downgrading the first one as incomplete and possibly subordinate, or 3) simply finding the concept of interruption logically or empirically flawed. Ernst Oster has established the first camp, which favors the first harmonic-contrapuntal progression, claiming in his translation of *Der freie Satz* that “Schenker did not intend to give the interruption principle an interpretation different from that shown in [Example 1]” (FS, 37n7). James Webster, drawing on Schenker’s theories for analysis, concurs that “Schenker himself preferred a more nearly unitary form, in which the consequent [in a period with interruption] is a *middleground prolongation* that is *embedded within the background*” (1991, 50). And Irna Priore similarly claims in a study of interruption that for Schenker “the first part is structurally more important than the second.”⁵ Fred Lerdahl and Ray Jackendoff have established the second camp, which favors the second harmonic-contrapuntal progression. In their quasi-Schenkerian *A Generative Theory of Tonal Music* (1983), Lerdahl and Jackendoff, describe the first V in an interruption configuration as a subordinate elaboration of the initial I and the second V as “the structural dominant” (140). Lerdahl continues to put forward this interpretation in *Tonal Pitch Space* (2001, 245). In a study of Schenker’s theory of free composition as a generative grammar, Allan Keiler (1983–1984) similarly claims that Schenker ought to regard the first progression as incomplete and subordinate and the second progression as “the definitive one” (227) in order for his “derivational musical grammar” (217) to be coherent, but that Schenker makes “contradictory statements about the hierarchical values he wishes to attach to the incomplete and completed *Ursatz* structures that underlie any interruption technique” (222). In a reworking of Schenker’s theory of form, Charles J. Smith (1996, 269) finds that an incomplete first progression and an equivalent but complete second progression is

3 With the exception of a schematic 8-line example (FS, Figure 27b), all of Schenker’s depictions of sonata form in *Der freie Satz* involve interruption.

4 For example, William Drabkin writes, “If one were to attempt to reduce Schenker’s understanding of music to a single concept, ‘hierarchy’ would perhaps be the best choice” (2002, 816).

5 Priore (2004, 118). The quotation refers to a 5-line piece with interruption, but Priore interprets 3-line pieces with interruption in the same manner. It should be noted that Priore regards a continuous 5 prolonged into the recapitulation as a type of interruption, so with respect to this proposed type she falls in the second camp.

“the only viable configuration” for a piece with interruption and is consistent with most of Schenker’s analyses if not his theory. In *Explaining Tonality* (2005), a systematization of Schenker’s theory of free composition, Matthew Brown treats the first progression as incomplete and “derived” from the second (89). And Frank Samarotto, seeking to reconcile strict forms of interruption with freer forms, considers both of them as ways that a melodic or harmonic-contrapuntal progression undergoes “bifurcation” into two equivalent progressions and “deletion” of any number of their elements, so he regards strict interruption as a bifurcation of the *Ursatz* followed by a deletion of the first \hat{I} over I, which renders the first progression incomplete.⁶ Peter H. Smith well represents the third camp, arguing that the concept of interruption represents a contradictory and counterintuitive attempt by Schenker to reconcile a “late-nineteenth-century view of musical form in which continuous linear evolution is valued above elements of sectionalization” with “the realities of a formal type based on the dramatic delineation of a parallel thematic design” (1994, 103). Smith and others have identified backgrounds without interruption in various sonata-form movements.⁷

Clearly, Schenker’s concept of interruption is a matter of deep division amongst theorists, both in terms of how they interpret Schenker and in terms of how they interpret the music. Leaving aside the question of how to interpret the music, I would submit that the lack of consensus about how to interpret Schenker in fact reflects a lack of understanding, due in part to a lack of adequate attention to the particular technical and aesthetic demands that the concept of interruption speaks to. Peter H. Smith’s suggestion that Schenker’s concept of interruption reflects his valuation of linear evolution is true, but this valuation is only part of the story. As I will demonstrate through a close reading of Schenker’s theoretical writings informed in the end by blending theory and metaphor theory, Schenker is equally committed to both harmonic-linear unity, which is highlighted by the overarching beam in Example 2, and melodic-formal repetition, which is highlighted by the two sets of whole notes in Example 1, as expressions of tonal life, and interruption, which involves a dual articulation of the one *Ursatz*, not only caps a sustained effort to theorize the integration of harmonic unity and formal repetition but also brings them together in such a way that they complement rather than contradict one another.

THE PERFECT AUTHENTIC CADENCE

Schenker’s quest to reconcile form and harmony begins with the concept of the perfect authentic cadence, which he theorizes in *Harmonielehre* (1906). As I have argued elsewhere, at least at the time of *Harmonielehre*, Schenker conceives of the tone as a living idea of nature that manifests itself in the ground tone (the tonic) of a piece of music through the motive and the key (2011). This conception entails Schenker’s commitment to both melodic repetition and harmonic unity. Like every tone, the tonic as a ground tone (a fundamental) is marked primarily by “the urge to procreate an infinite progeny of overtones” (“den Treib, Generationen von Obertönen ins Unendliche zu zeugen” [HL, 42/28]), which

6 Samarotto (2005). Mart Humal (2001) also falls in the second camp, claiming that the first $\hat{2}$ in a $3-2\hat{1}3-2-1$ configuration is an incomplete neighbor.

7 See for example Snyder (1991); Webster (1991, 50); Beach (1993); Sly (1995); and Suurpää (2005).

is at the same time an urge for “development” or manifestation (HL, 31), such that paradoxically the ground tone is in essence a tone, and by extension the tone is a triad. But the tonic only partially realizes its procreative urge through its unconsciously perceived, undeveloped, latent overtones. On the one hand, then, the motive realizes this urge through repetition, procreating itself like the tone. Schenker writes:

In nature: procreative urge → repetition → individual kind;

In the world of tones, analogously: procreative urge → repetition → individual motive.⁸

On the other hand, the key realizes this same urge as a tonic-generated “community” (“Gemeinschaft” [HL, 106/84]) of ground tones (roots) called *Stufen*. The establishment of unified, tonic-centered *Stufe* progressions at different scales of magnitude in a piece of music, from *Stufen* as their own keys to *Stufen* as chords, carries out this process of generation. The progressively more expansive meanings of the term “ground tone,” from fundamental to root to tonic, speak to this process (“Grundton” [HL, 34/21, 41/28, and 51/38]).

As Patrick McCreless (1989, 222–223) and Richard Cohn (1992) have observed, these principles of motivic repetition and harmonic unity come to be in tension with one another in Schenker’s later writings, where Schenker sometimes identifies motives as entities regardless of their status as diminutions. But there is a broader tension between harmonic unity and melodic repetition more generally that is already present in *Harmonielehre*, because the need for repetition extends from the motive, “the elemental part of content” (“den primärsten Teil des Inhaltes” [HL, 282/212]), to the form, the melodic content considered as a whole, which must follow a unified harmonic course. On the need for formal repetition, Schenker writes, “If one learns what a small series of tones signifies only after it is repeated, then it is evident that a series of several small series likewise reveals its meaning only through repetition. This is the origin of the two-part form A:A, or—to designate it more precisely—A¹:A².”⁹ The two-part form must be A:A, two similar parts, rather than A:B, two contrasting parts, because A:B has no repetition between its parts and is hence unrecognizable, not a form at all. And the form is more precisely A¹:A² because repetition involves variation. Schenker writes, “Of course the musical likeness presented by repetition should not always be painstakingly exact, and repetitions and imitations that take liberties by including various little contrasts will not necessarily cancel the miraculous effect of association.”¹⁰

Schenker takes the repetitive two-part form as the prototype or foundation for all other forms. The peculiar one-part form presupposes the two-part form as the norm. Schenker writes, “However much repetition is an inherent and inviolable principle in music, under certain conditions situations can yet be

8 “In der Natur: Fortpflanzungstrieb—Wiederholung—individuelle Art; /in der Tonwelt ganz so: Fortpflanzungstrieb—Wiederholung—individuelles Motiv” (HL, 6/6–7).

9 “Erfährt man, was eine kleine Reihe von Tönen bedeutet, erst dann, wenn und nachdem sie noch einmal gesetzt wird, so ist es einleuchtend, daß auch eine Kette von mehreren kleinen Reihen einfach durch Wiederholung zur Offenbarung ihres Sinnes gelangt. So entstand die zweiteilige Form a:a oder um es noch deutlicher zu bezeichnen: a₁:a₂” (HL, 10/9).

10 “Freilich braucht dieses musikalisches Gleichnis, als welches die Wiederholung sich darstellt, nicht immer eine sklavische, eine allgeringste zu sein, auch freiere Wiederholungen und Nachahmungen, die auch mannigfache, kleine Kontraste in sich schließen, heben die Wunderwirkung der Assoziation noch immer nicht auf” (HL, 6/7).

imagined that are of such a peculiar nature that the composer may deviate from the norm and get along without repetition."¹¹ Similarly, the two-part form underlies the apparent three-part form, the basis of "the sonata [form], with its exposition, development, and recapitulation" (*HL*, 11). Schenker writes, "A true three-part form would have to consist of three different members, reading thus: A:B:C—a form which is simply unthinkable in music and probably ruled out for all time. Accordingly, the three-part form in music cannot read otherwise than A¹:B:A², but then one must obviously recognize behind it only the two-part form, namely A¹:A², as the original and fundamental form."¹² One must recognize A¹:A² behind A¹:B:A² because B lacks a repetition of itself and thus an independent identity.

But whereas repetition is necessary for the form in order to bring about "final satisfaction" (*HL*, 243), according to Schenker repetition is not at all necessary for the harmony, which need only complete a circuit around the tonic, effecting "an enlargement of its sphere through a drawing in of other *Stufen* of the key" ("einer Erweiterung des Kreises durch Heranziehung anderer Stufen der Tonart" [*HL*, 323/243]). In the case of most sonata-form movements, for example, "the content develops from the ground of the main key to the key of the *first overfifth*.... And contrariwise the 'reprise' then bring the inverse span from the first overfifth to the tonic."¹³ Thus the tone places two entirely different demands on a piece of music: melodic or formal repetition and harmonic unity. How are these qualities to be integrated, produced in tandem?

Harmonielehre, in which Schenker attempts to theorize such an integration, also reflects that most integrative of forms, sonata form: just as a two-part sonata-form movement introduces tonally conflicting themes in the first part and reconciles them in the second, so the two-part *Harmonielehre* introduces the conflicting themes of form and harmony in the first, theoretical part and attempts to reconcile them in the second, practical part. Moreover, this analogy between *Harmonielehre* and a sonata-form movement is elaborated by the successive topics of the book serving as metonyms for the successive sections of an imaginary piece of music. *Harmonielehre* as a sonata-form movement runs as follows, where metonymic topics are italicized and cited by their section number. After an introductory evocation of a chaos in which music has not yet asserted itself, the main *motive* bursts forth (§§1–3). This motive, through *repetition* (§4), develops into the primary theme, which explores possibilities of *form* (§§5–7). *Harmonielehre* then modulates to the secondary *key* (§§8–25) by presenting those elements that distinguish it from *other systems* (§§26–52), namely its unique set of *intervals* (§§53–75). This key then ushers in the secondary theme, which explores possibilities of *harmony* (§§76–89). A development follows that elaborates upon the secondary theme by presenting it with various sets of

11 "So sehr aber die Wiederholung ein immanentes und unverbrüchliches Prinzip in der Musik überhaupt ist, lassen sich dennoch unter Umständen Situationen denken, die so eigentümlich beschaffen sind, daß in ihnen der Komponist von der Norm abgehen und sich ohne Wiederholungen behelfen kann" (*HL*, 21/14).

12 "Eine wirklich dreiteilige Form müßte drei verschiedene Glieder aufweisen, also: a:b:c lauten.—eine Form, die in der Musik schlechthin undenkbar und für alle Zeiten wohl ausgeschlossen ist. Kann aber in der Musik die dreiteilige Form nun einmal nicht anders lauten als a¹:b:a², so hat man hinter ihr offenbar doch nur die zweiteilige, nämlich a¹:a² als die ursprüngliche und grundlegende Form zu erkennen" (*HL*, 12/10–11).

13 "Der Inhalt vom Boden der Haupttonart zur Tonart der *ersten Oberquint* entwickelt.... Und umgekehrt bringt die „Reprise“ dann den invertiven Zug von eben der ersten Oberquint zur Tonika" (*HL*, 328/247).

chords (§§90–114). The reappearance of the *motive* (§115) initiates the recapitulation, in which the two themes, *harmony and form*—or content—are reconciled (§§116–132), and tonal life arises. Schenker writes, "Now, inasmuch as the harmonic concept uses for its interpreter only the motive, which forms the elemental part of content, harmony and content fuse and merge, so that, from now on, only a particular member of the total organism's content brings a triad or tetrad from our feeling to our consciousness, and, vice versa, the laws of harmony exercise an influence on the rise of content."¹⁴ The phrase "from now on" in the preceding quotation is telling: there is no chronological context, so the phrase can only sensibly refer to the sequence of ideas in the book. An exuberant and harmonically adventurous coda follows, which, like the development, focuses on the secondary theme, incorporating *chromaticism* (§§133–162), *figuration* (§§163–170), and *modulation* (§§171–182). Perhaps it is not too fanciful to corroborate this reading of *Harmonielehre* as a sonata-form movement by noting that the theoretical part ends with an example from Bruckner's Seventh Symphony showing a 20-measure dominant pedal point in B major (*HL*, 274–277; only in the German edition), while the practical part begins with an example showing a tonic triad arpeggio from Chopin's Prelude in B minor (*HL*, 211). *Harmonielehre*, it seems, is in B major-minor.

The cadence toward which *Harmonielehre* drives to accomplish the reconciliation of its themes is the *perfect authentic cadence* (§119). Schenker introduces this cadence by introspecting on the feeling of absolute satisfaction aroused by the first theme of Mozart's Piano Sonata No. 10 in C major, K. 330, reproduced in Examples 6–8, which Schenker analyzes as a period, but which we might analyze as a sentence with two continuation phrases:

Let us first of all observe the consequent of the Mozart example. Here our satisfaction is indeed absolute. How does this come about? Obviously, on account of two causes, which lie together at the core of the musical idea and condition one another—the one formal, the other harmonic. To begin with, since the consequent has brought the repetition demanded by our need for association, our formal requirements have been fully met, so that no uncertainty, no doubt remains in our mind—insofar as just this one idea comes into consideration, of course. But also, it now becomes possible for the harmonic element, which is represented here by the *Stufe* progression IV–V–I, to arouse in us, only just through the cooperation of the form, the feeling of complete satisfaction.

To be sure, this IV–V–I *Stufe* progression can occur at any time—at the beginning or in the middle of an idea as well as at the end.... Considered just harmonically and apart from any question of form, the *Stufe* progression I–IV–V–I conveys its effect by speaking first of all in favor of a tonic and second also in favor of its key. However, if it so happens in addition that the

14 "In dem Maße nun aber, als der harmonische Begriff zu seinem Dolmetsch eben das Motiv benützt, das ja den primärsten Teil des Inhaltes bildet, verwachsen Harmonie und Inhalt derart, daß von nun ab nur ein bestimmtes inhaltliches Glied des Gesamtorganismus erst den Drei- oder Vierklang unserer Empfindung zum Bewußtsein bringt, und umgekehrt die Gesetze des Harmonischen die Entstehung des Inhaltes beeinflussen" (*HL*, 282/212).

Example 6. The beginning of the antecedent in the first theme of Mozart's Piano Sonata No. 10 in C major, K. 330 (HL, 282/212, Example 246/182)

Example 7. The end of the antecedent (HL, 284/213, Example 248/184)

Example 8. The consequent (HL, 285/215, Example 250/186)

tonic coincides with the end of the form and thereby also signifies a return to the harmonic point of departure, as is the case in the consequent of the Mozart example (Example 8), then we see the driving powers finally at their goals—form as well as harmony have come full circle—and therefore we speak in such cases of a *perfect authentic cadence*.¹⁵

It is critical to recognize how and why Schenker's definition of the perfect authentic cadence departs from a conventional definition as either a IV (or II)–V–I progression that closes a phrase ending on the tonic or the conclusion of such a progression. This much is included in his definition, for immediately after the above quotation Schenker goes on to distinguish this cadence from the imperfect authentic cadence on the basis of their melodic ending tones: "The end of the antecedent in this example offers us a somewhat weaker degree of satisfaction. To be sure, the *Stufe* progression is the same as in the consequent, but inasmuch as the melody at the moment of the tonic's arrival brings merely the third of the tonic triad and not the ground tone itself, the authentic cadence here is only *imperfect*."¹⁶ But also, a cadence must come at "the end of the form" in order to be a perfect authentic cadence; in the case of a period as a two-part form, it must come in the consequent. By means of this unconventional definition of an accepted concept, Schenker evidently attempts to link the posited integration of harmonic unity and formal repetition to a recognizable, concrete, musical event.

But the set of concrete characteristics by which the perfect authentic cadence can be recognized—its harmonic and melodic profile—is itself the conventional definition that Schenker departs from. Accordingly, Schenker backs off from his definition in an apparent effort to salvage the recognizability of the perfect authentic cadence. Directly after defining the perfect and imperfect authentic cadences, he writes, "One could accordingly be tempted to think that perhaps the perfect authentic cadence only belongs at the end of the consequent, whereas an imperfect one on the contrary always belongs at the end of the antecedent. While this may occur in most cases, nevertheless such a connection between form

15 "Betrachten wir zuerst den Nachsatz des Mozartschen Beispiels. Hier ist unsere Befriedigung wohl die absoluteste. Woher kommt das? Offenbar aus zwei Gründen, die im Schoße des Gedankens beisammen liegen und sich gegenseitig bedingen,—aus einem formellen und einem harmonischen Grunde. Denn indem der Nachsatz die durch die Assoziation gebotenen Wiederholung gebracht hat, ist zunächst unserem Formbedürfnis in vollem Maße Genüge geschehen, so daß in unserer Empfindung—selbstverständlich soweit eben nur dieser einzelne Gedanke selbst in Betracht kommt—keinerlei Unbestimmtheit, keinerlei Zweifel zurückbleibt. Andererseits aber wird denn auch zugleich dem harmonischen Element, welches hier durch den Stufengang IV, V, I repräsentiert ist, nun erst gerade unter Mithilfe der Form möglich, das Gefühl der vollständigen Befriedigung in uns zu erzeugen.

"Dieser Stufengang IV, V, I kann indessen wohl überall—am Anfang, in der Mitte wie auch am Schlusse eines Gedankens—vorkommen.... Harmonisch allein betrachtet und von jeder Form losgelöst, sehen wir einen solchen Stufengang I, IV, V, I, seine Wirkung immer zunächst zu Gunsten einer Tonika und in weiterer Folge auch ihrer Tonart äußern. Kommt aber dazu noch die Tatsache, daß—wie oben im Nachsatz des Mozartschen Beispiels (Fig. 250)—die Tonika gar nun mit dem Ende der Form zusammenfällt und somit denn auch die Rückkehr zum ersten harmonischen Ausgangspunkt bedeutet, so sehen wir die triebenden Kräfte endlich an ihrem Ziele, Form wie Harmonie haben einen vollen Kreislauf absolviert,—und darum sprechen wir in solchen Fällen auch von einem *vollkommenen Ganzschluß*, von einer *vollkommenen Kadenz*" (HL, 287–288/216–217).

16 "Einen etwas schwächeren Grad von Befriedigung bietet uns das Ende des Vordersatzes in demselben Beispiel. Der Stufengang ist freilich derselbe wie im Nachsatz, da indes die Melodie im Moment des Eintreffens der Tonika bloß die Terz des Tonikadreiklangs und nicht schon den Grundton selbst bringt, so ist der Ganzschluß hier eben nur ein *unvollkommener*" (HL, 288/217).

and authentic cadence is in no way an unconditional, and a perfect authentic cadence can also appear at the end of the antecedent.¹⁷ The text becomes somewhat disordered, redundant, and fragmentary at this point, as if it is warping and tearing under the strain of the retraction, featuring the pronoun “this” prior to the antecedent “connection” and the double negative with a nounless adjective “in no way an unconditional.” Schenker goes on to explain that only a formal “resting point, however minimal,” is needed for an authentic cadence, be it perfect or imperfect (*HL*, 218), which contradicts his earlier statement that “the end of the form,” the maximal resting point, is needed for a perfect authentic cadence. In sum, Schenker cannot use the perfect authentic cadence to reconcile harmony and form: either his definition of this cadence includes this reconciliation but cannot isolate a recognizable event, or his definition does isolate a recognizable event but has nothing to do with this reconciliation. Schenker tries to satisfy both of these conditions without owning up to their antithesis: his perfect authentic cadence is in fact deceptive.

THE URLINIE

In the second stage of his theoretical career, represented by *Kontrapunkt* (1910 and 1922), *Der Tonwille* (1921–1924), and the first two issues of *Das Meisterwerk in der Musik* (1925–1926), Schenker abandons the perfect authentic cadence as the locus of the reconciliation of form and harmony, he develops the notion of harmonic unity through the concepts of consonance and dissonance, and he attempts to wed harmonic unity and formal repetition in accordance with this new understanding through the concept of the *Urlinie*.

In *Der Tonwille* and *Das Meisterwerk in der Musik*, Schenker continues to proclaim his conception of the tone as a living idea of nature that manifests itself in music. He writes, “The harmonic tone in nature is a triad” (“Der Klang in der Natur ist ein Dreiklang” [*TW*, 5:49/2:117]). Conventionally, “Klang” can refer to a tone as a composite sound or a harmony. Schenker often combines these meanings, as here, using “Klang” to refer to a tone with regard to its synecdochic identity with its triad, an identity I mean to allude to with the translation “harmonic tone.”¹⁸ Schenker underscores this paradox—that one tone, a *part*, is three tones, the *whole*—through his juxtaposition of the words “Klang” and “Dreiklang”: the root word “Klang” acts like the variable x in the paradoxical equation $x = 3x$. Although the tone is a triad, it is misleading to translate “Klang” here as “chord” or even “musical sonority,” as Ian Bent has alternately translated it (*TW*, 2:117; *MW*, 2:118), because we are talking about nature—the natural world as a reflection of the natural order—not music, and in nature the tone’s triadic essence is latent, whereas music “brings the harmonic tone to expression, to consciousness” (“bringt den Klang...

17 “Man könnte freilich danach versucht sein zu glauben, daß der vollkommene Ganzschluß vielleicht immer nur ans Ende des Nachsatzes, dagegen ans Ende des Vordersatzes stets ein unvollkommener gehöre. Mag dies auch in den meisten Fällen zutreffen, so ist dennoch ein solcher Zusammenhang von Form und Kadenz keineswegs ein unbedingter, und es kann auch am Ende des Vordersatzes ein vollkommener Ganzschluß vorkommen” (*HL*, 288–289/217).

18 For example, Schenker uses the word “Klang” in this way in *MW*, 1:12/2, 1:187–188/104–105, and especially 2:12/2, to be discussed, where he refers to the composing out of the *Klang* F. For later examples, see *FS*, 39/10, 57/25, and especially 42/12, where Schenker says that the composing out of a *Klang* entails overtones becoming tones.

zum Ausdruck, zum Bewußtsein” [*TW*, 5:49/2:117 and *MW*, 2:195/118]). Music presents “the ultimate actualization of a tone, thus the ultimate concretion of a triad” (“äußerste Ton-Wirklichkeit, also die äußerste Vergegenständlichung eines Dreiklangs” [*MW*, 2:42/22]). A tone makes its manifoldness manifest or expresses its idea by generating or developing into a musical work. As Schenker succinctly puts it, “Idea, perfection, masterwork are one concept” (*MW*, 1:1). As a fully developed tone, with blood coursing “through all of its veins” (*TW*, 1:64), a piece of music “partakes of the eternal life of the idea” (*MW*, 1:1); it is “the idea-made-flesh” (*TW*, 1:161).¹⁹

To further explain the dynamics of tonal life, Schenker supplements his theory of harmony with a theory of species counterpoint in *Kontrapunkt* and the first two issues of *Der Tonwille* (1921–1922), not as a pedagogical compositional system but as a theory of the laws of voice leading, which the rules of counterpoint allow to operate without disturbance from other musical factors. He writes, “The theory of counterpoint, being purely a theory of voice leading, shows tonal laws and effects from their unconditioned side.”²⁰ These laws remain in effect in free composition, for “free composition is essentially a continuation of strict counterpoint” (*TW*, 1:21).

According to Schenker’s theory of counterpoint, there are only two laws of tonal life, consonance and dissonance, which are embodied in the triad and the passing tone:

Tonal life works itself out in consonance and dissonance....

Consonance dwells in the triad, dissonance in the passing tone.

From the triad and the passing tone stem all the phenomena of tonal life: the triad can become a *Stufe*; the passing tone can be modified to become a neighbor note, an accented passing tone, an anticipation, a dissonant syncopation, and the seventh of a tetrad.

There are no further laws beyond consonance and dissonance, nor are there any further fundamental derivations.²¹

The passing motion, by in a sense returning to its starting point (consonance), illustrates the self-generating, autotelic, and self-referential nature of the triadic consonance, which reflects that of the tone: the consonance is its own cause, purpose, and meaning, as well as that of the dissonance. The above quotation continues, “Dissonance must be understood as purely contingent on consonance and thus the consonance of nature alone must be understood as the ultimate ground of all artistic possibilities

19 Cf. John 6:54 and 1:14.

20 “Die Kontrapunktslehre, als bloß eine Lehre der Stimmführung, weist somit Tongesetze und wirkungen von ihrer absoluten Seite nach” (*KP*, 1:21/14).

21 “Das Tonleben wirkt sich aus in Konsonanz und Dissonanz....

“Die Konsonanz lebt im Dreiklang, die Dissonanz im Durchgang.

“Vom Dreiklang und Durchgang stammen alle Erscheinungen des Tonlebens: Der Dreiklang kann zur Stufe werden, der Durchgang sich als Neben-, Wechselnote, Vorausnahme, als dissonante Synkope und Sept des Vierklanges abwandeln. “Mehr Gesetze als Konsonanz und Dissonanz gibt es nicht, auch nicht mehr Grundableitungen” (*TW*, 2:3/1:51).

in music and acknowledged at the same time as the ultimate goal of all that strives in passing" (*TW*, 1:51). In the same vein, Schenker writes:

It comes down to this: the *consonance* speaks for itself; it rests in its euphony, signifying itself as both origin and end. This is not true, however, of the *dissonance*, the reason for whose existence always requires further demonstration; far from resting in itself, the dissonance instead presses urgently beyond itself; it can only be understood in relation to—i.e., by means of and in terms of—a unified consonance, from which it follows that only the unified consonance represents the origin and end of the dissonance.²²

The consonance's unity, which is sensed as euphony, consists in its manifestation of a tone in the guise of a triadic interval.

For Schenker, even though the dissonance is contingent upon the consonance, the consonance ironically depends upon the dissonance to secure its unity, its manifestation of a tone, because again it is the dissonant passing tone that concretizes the self-generating, autotelic, and self-referential nature of the triadic consonance. Schenker writes:

If...the dissonance remains bound for the time being to the rather strict specification that it must flow back into a consonance, and therefore can count only as a path, or a bridge from the one consonance to the other, there is still no danger whatever that such a dissonance might destroy the unity of the two voices. Rather, the transient independence increases the value and power of the unity of the two, a unity that was intended from the beginning and is indeed once again asserted. (*KP*, 1:183–184)

The incomparable "psychological significance of the passing dissonance" for free composition lies in its projection not just of the consonance's unity in species counterpoint but of harmonic unity in free composition (*KP*, 1:183). The above quotation continues, "Exactly in this situation we are provided a beautiful, deep insight into free composition, which strives similarly to abstract the unity of its 'Stufen' from the independence of indeed many voices."²³ More specifically, the passing dissonance, which both displaces and confirms the consonance, is the basis of the fundamental phenomenon of composing out: the development of an underlying vertical harmony in and through the horizontal melodic line. Schenker writes:

We recognize in the dissonant passing tone the most dependable—indeed the only—vehicle of the melodic element. Whereas in the first species the melodic line still unfolds laboriously,

22 "Das ist es ja eben: Die Konsonanz ist sich selbst Beweises genug; sie ruht in ihrem Wohlklang, sich selbst Anfang und Ende bedeutend;—nicht so aber die Dissonanz, der gegenüber wir durchaus noch nach einem weiteren Beweise ihres Existenzgrundes verlangen; denn weit davon entfernt, in sich selbst zu ruhen, weist sie vielmehr dringend über sich selbst hinaus; sie kann nur in Beziehung auf eine konsonante Einheit, d. i. aus ihr und durch sie begriffen werden, weshalb eben nur die konsonante Einheit Anfang und Ende der Dissonanz bedeutet" (*KP*, 1:153/111).

23 "So eröffnet sich denn gerade in diesem Punkte ein schöner, weiter Ausblick in den freien Satz hinein, der die Einheit seiner 'Stufen' ebenso aus der Selbständigkeit gar vieler Stimmen zu abstrahieren sucht" (*KP*, 1:247/183).

sonority by sonority, in the second species we already see it move ahead during a sustaining verticality. Therefore even two-voice counterpoint shows the beginnings of melodic composing-out—that is, the simultaneous development of the same harmony in the vertical as well as the horizontal direction—to the extent that it is capable...of setting up a relation of downbeat and upbeat to the same harmony.²⁴

On the grandest scale, the melodic content of a piece of music as a whole, in conjunction with the harmony, composes out the tonic triad as both origin and end. With this ultimate significance of the dissonant passing tone in mind, Schenker writes:

It is here in two-voice counterpoint, where *dissonance* is introduced for the first time, that one should first learn to grasp its primary function and become acquainted with the prerequisites of this function, and one should not forget that, however modestly and drily the problem of dissonance here presents itself, it is nevertheless in this beginning that the primary wellspring of free composition's limitless beauties is to be met with.²⁵

And what are the prerequisites for the dissonant passing tone's projection of harmonic unity? Immediately following the above quotation, Schenker tells us by describing the passing motion as a rather brusque dialogue between consonance and dissonance:

The basic moral of this problem runs as follows...:

In the beginning is the consonance, agreement!

Only after a consonance does opposition, the dissonance, follow, until finally agreement has the last word!²⁶

24 "Wir erkennen im dissonanten Durchgang den verlässlichsten, ja einzigen Träger des Melodischen überhaupt. Während in der ersten Gattung die melodische Linie sich noch mühsam Klang um Klang enthüllt, sehen wir sie in der zweiten Gattung bereits bei einer ruhenden Vertikalen fortschreiten. In diesem Sinne weist schon der zweistimmige Satz einen ersten Ansatz zur melodischen Auskomponierung, das ist der gleichzeitigen Entwicklung derselben Harmonie in vertikaler und horizontaler Richtung auf, sofern er...zwischen Niederstreich und Aufstreich eine Beziehung der selben Harmonie zu schaffen vermag" (*KP*, 2:59/58).

25 "Hier im zweistimmigen Satze aber, wo die Dissonanz zum erstenmal eingeführt wird, lerne man zunächst ihre erste Funktion erfassen und die Vorbedingungen dieser Funktion kennen; und man vergesse nicht, daß so bescheiden und nüchtern das Problem der Dissonanz sich hier regt, gleichwohl in diesem Anfang die erste Quelle der unendlichen Schönheiten im freien Satze zu begrüßen ist" (*KP*, 1:247–248/184).

26 "Die Grundmoral auch dieses Problems aber lautet demnach...:

"Am Anfang ist die Konsonanz, die Übereinstimmung!

"Erst auf eine Konsonanz folgt der Widerspruch, die Dissonanz, bis endlich Übereinstimmung das letzte Wort behält!" (*KP*, 1:248/184).

Cf. John 1:1–5. Schenker's one-sided, quasi-biblical dialogue speaks to a connection traced by David Cohen (1993) between the hierarchized opposition of consonance and dissonance in Western music and a conception of divinity as absolute unity but also the ground of plurality.

For the consonance to have the last word means that there is no further discussion, no more dissonance.²⁷ In other words, the dissonant passing tone's projection of harmonic unity is contingent for Schenker upon the absence of melodic repetition, which would bely the connection between the passing motion and the self-generation of the triad, because one cannot come into being twice. In fact, this contingency applies to all tonal effects observed in species counterpoint. For these reasons, melodic repetition is unconditionally prohibited in species counterpoint in general and second-species counterpoint in particular. Schenker writes that "the repetition of a series of tones within the cantus firmus, by its very nature, calls attention to that series and, for that reason alone, highlights it as a factor disruptive to the general equilibrium of the entire melody. Such repetition is, therefore, prohibited in the cantus firmus" (*KP*, 1:100). But also, "all the rules and prohibitions that are valid for the cantus firmus itself are also to be applied to the counterpoint."²⁸ In his discussion of second-species counterpoint, he amplifies this prohibition: "The proliferation of tones... could evoke, even more than in the first species, the danger of a unified motivic, melodic-thematic formation; for that reason, I again emphatically caution against such shapes" (*KP*, 1:217). Significantly, repetition is not included among the many modifications identified by Schenker that the passing dissonance may undergo in free composition (see *KP*, 1:184–194).

And yet Schenker continues to affirm "the repetition of a series of tones as the driving principle of all music for all times" ("das treibende Prinzip aller Musik für alle Zeiten nur in der Wiederholung einer Tonreihe" [*KP*, 1:34/22]). Indeed, according to Schenker all life involves repetition as procreation. He writes, "The law of procreation... is the law of repetition" (*TW*, 1:21).²⁹ Thus Schenker is faced with the quandary that harmonic unity and melodic repetition are both indispensable and yet antithetical.

To resolve this conundrum, Schenker turns to the *Urlinie*, which arrives on the scene in the explanatory edition of Beethoven's Piano Sonata No. 28 in A major, op. 101 (1921), and undergoes extensive development in *Der Tonwille* and the first two issues of *Das Meisterwerk in der Musik* (1925–1926). Schenker describes the *Urlinie* as the partner of the key and the mother of the motive and hence the mediatrix between harmony and form: "The *Urlinie* bears in itself the seeds of all the forces that shape tonal life. It is the *Urlinie* which, with the cooperation of the *Stufen*, indicates the paths to all composing out.... It is also the *Urlinie* which gives life to the motive and to melody."³⁰ As the mother of the motive, the *Urlinie* nurtures hidden repetitions in its womb. Schenker writes, "While motives and melodies bustle about before our ears in repetitions that are easily perceptible, the *Urlinie* begets repetitions of a concealed, most sublime sort in its primal womb" (*TW*, 1:21). Not only are these repetitions hidden, but also the *Urlinie* itself ultimately remains mysterious. Schenker writes, "The fullness of its mysteries and true face is so great that no one can succeed in unveiling it in its entirety."³¹ That being the case,

27 This closing off of debate illustrates Schenker's more general reliance on closure or limitation for synthesis; see Blasius (1996, 100).

28 "Auch auf den Kontrapunkt sind alle für den C. f. selbst gültigen Regeln und Verbote anzuwenden" (*KP*, 1:223/163).

29 Schenker also refers elsewhere to "the law of repetition" (*TW*, 1:175).

30 "Die *Urlinie* birgt in sich die Keime aller das Tonleben gestaltenden Kräfte: Sie ist es, die unter Mitwirkung der *Stufen* aller Auskomponierung... die Bahnen weist.... Sie ist es auch, die dem Motiv, der Melodie das Leben schenkt" (*TW*, 1:22/1:21).

31 "Die Fülle ihrer Geheimnisse und Urgesichte ist so groß, daß es niemand gelingen könnte, sie ganz zu entschleiern" (*TW*,

however, we are not much further along in understanding the integration of harmonic unity and melodic repetition with the concept of the *Urlinie* than we were without it; essentially, all Schenker has done is recast their impasse as the inscrutability of the *Urlinie*.

It is not until the second issue of *Das Meisterwerk in der Musik* that Schenker develops his concept of the *Urlinie* and his concurrently invented method of graphically depicting pieces extensively enough to offer a more concrete illustration of how harmony and form might work together. Schenker opens the volume with an essay devoted to the *Urlinie*, "Further Consideration of the *Urlinie*: II," and he begins this essay by returning to the music that he used twenty years earlier in *Harmonielehre* as the initial example of the repetitive two-part form (*HL*, 9), namely the period that constitutes the secondary theme in the first movement of Mozart's Piano Sonata No. 12 in F major, K. 332, reproduced in Example 9. It is understandable that Schenker would find this period particularly suitable for illustrating his ideas about harmony and form, since it bears the same basic organization as the paradigmatic sonata form, with its two parts ending on V and I respectively.

The thrust of Schenker's essay is that the *Urlinie*'s capacity for integration or synthesis is attributable to its nature as a *Zug*. Schenker writes, "The *Zug* is the sole bearer of coherence, of synthesis."³² Schenker's explanation of the music and his accompanying depiction of the music in Example 10 suggest that harmonic unity is provided by a fifth-*Zug* C–F, marked $\hat{5}-\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}$, a passing motion that composes out the tonic triad across the entire period, while melodic or formal repetition is provided by the fourth-*Zug* C–G of the antecedent and the answering fifth-*Zug* of the consequent, marked with slurs. To the extent, then, that the fifth-*Zug* can be both the consequent and the period as a whole, the repetition will be integral to the passing motion and will not cancel its effect of unity, and the ground tone will be able to flourish. Schenker writes:

From the third-*Zug* C–A, only C is to be extracted as the head tone, which first moves ahead with B \flat in m. 5 (the fourth *Stufe* appears here as well); this motion leads to an amalgamation of the two third-*Züge* into the higher unity of the fourth-*Zug* C–G in mm. 1–8, which is answered by the complete fifth-*Zug* C–F in mm. 9–16. The totality, mm. 1–16, thus expresses the tension of a fifth-*Zug*: the upper voice presents the fifth-*Zug*, the bass the arpeggiation F–C–F; together, these represent the harmonic tone F's living of life to the fullest, coherence of the *Züge* and diminutions, tension of the content, synthesis.³³

2:6/1:54). Cf. Exodus 33:20 and 34:35.

32 "Der Auskomponierungszug ist der alleinige Träger des Zusammenhanges, der Synthese" (*MW*, 2:11/1).

33 "Vom Terzzug c^2-a^2 [*sic*] ist nur c^2 als Kopftön abziehen und erst mit b^2 [*sic*] in T. 5 fortzusetzen (hier auch die IV. Stufe); das führt zur Zusammenlegung beider Terzzüge zur höheren Einheit des Quartzuges c^2-g^1 in T. 1–8, dem der vollständige Quintzug c^2-f^2 [*sic*] in T. 9–16 erwidert. Das Ganze, T. 1–16, drückt so die Spannung eines Quintzuges aus: die Oberstimme bringt den Quintzug, der Baß die Brechung F–C–F,—das alles bedeutet ein Sichausleben des Klanges F, Zusammenhang der Auskomponierungszüge und der Diminutionen, Spannung des Inhalts, Synthese" (*MW*, 2:12/2).

Example 9. The second theme in the first movement of Mozart's Piano Sonata No. 12 in F Major, K. 332 (actually mm. 177–192)

Example 10. The harmony and voice leading of the theme (MW, 2:11–12/1, Figure 1)

Schenker seems to associate the *Urlinie-Zug*'s reconciliation of harmonic unity and formal repetition with its tension, "a mental tension between the beginning and the end of the *Zug*" ("eine geistige Spannung zwischen Anfang und Ende des Zuges" [MW, 2:11/1]). On the one hand, this tension reflects the unified triadic framework of the whole, while on the other hand, this tension reflects how the consequent repeats and completes a motion that the antecedent leaves hanging. The word "*Zug*" in fact also means tension, and its synonym "*Spann*" gives rise to the verb "*spannen*" (to make tense).

But there is a problem here. Schenker describes and depicts the fifth-*Zug* C–F as starting at two different times: as the repetition of the fourth-*Zug* C–G, the fifth-*Zug* begins in m. 9, but as the passing motion that composes out the tonic triad, the fifth-*Zug* begins in m. 1. However, as the bearer of tension between its starting and ending points, a *Zug* cannot start twice; it cannot reintroduce its tension. Either the fifth-*Zug* begins in m. 1 together with the fourth-*Zug*, in which case it cannot be a repetition, or it begins in m. 9, in which case it does not span the whole. Thus the *Urlinie* as a tension-bearing *Zug* cannot resolve the tension between harmony and form.

INTERRUPTION

In the final stage of his theoretical career, represented by the third issue of *Das Meisterwerk in der Musik* (1930) and *Der freie Satz* (1935), Schenker combines the *Urlinie* with the *Baßbrechung* to form the *Ursatz*, which he sees as the origin of a piece of music, and he arrives at the concept of interruption, which not only finally integrates formal repetition and harmonic unity but does so in a way that recuperates aspects of the tone not captured by these principles in themselves.

Even though Schenker now downplays the significance of the motive “in the usual sense” (*FS*, 99), he continues to hold repetition as “a biological law of life, physical life as well as spiritual” (*FS*, 118), or as “a sign of organic life in the world of tones, as if the original and copy and were connected by bonds of blood” (“Zeichen organischen Lebens in der Welt der Töne, wie durch Blutsbande waren Vor- und Nachbild verbunden” [*FS*, 154/99]). Echoing his earlier statements in *Harmonielehre*, Schenker writes, “A series of tones...reveals itself only through parallelisms” (“Eine Tonreihe...sich nur durch Parallelismen erschließt” [*FS*, 195–196/127]). For example, repetition is a fundamental feature of sonata form, in which the recapitulation is the “repetition part” (“Wiederholungsteil” [*FS*, 210/137]). Conversely, Schenker regards pieces that forgo melodic or formal repetition as deficient, literally deformed, regardless of whether they otherwise seem to present an *Urlinie*. Concerning the pieces in Example 11, he writes:

Whether a *Zug* is lacking altogether, as in [Example 11.1], or whether there are third-*Züge*, as in [Examples 11.3 and 5], or fifth-*Züge*, as in [Examples 11.2 and 4]—all that remains without significance in view of the fact that these three-, four-, and six-measure pieces lack a repetition; their content only just suffices for preludes, which—as the name implies—merely prepare for pieces founded on repetition. Nor should the designated meters deceive one on this point; these are based only on the figurations, whose repetition, however, does not suffice to eliminate the basic deficiency.³⁴

We will find that a piece of music with interruption satisfies this need for melodic or formal repetition while yet maintaining harmonic unity. But to understand interruption, we first need to understand Schenker’s concept of a *Gliederung* of the *Urlinie*, an organization of the *Urlinie* into parts (*FS*, 71/36), for Schenker’s discussion of interruption in *Der freie Satz* takes place within the section “On the *Gliederung* of the *Urlinie*” (“Von der Gliederung des Urlinie-Zuges” [*FS*, 71/36]). According to Schenker, each form of the *Urlinie* has its own form of *Gliederung*: the $\hat{3}-\hat{1}$ form uses the interruption configuration $\hat{3}-\hat{2}||\hat{3}-\hat{2}-\hat{1}$, the $\hat{5}-\hat{1}$ form uses the interruption configuration $\hat{5}-\hat{2}||\hat{5}-\hat{1}$, and the $\hat{8}-\hat{1}$ form uses the non-interruption configuration $\hat{8}-\hat{5}-\hat{1}$. While “*Gliederung*” can be rendered as “division,”

³⁴ “Ob wie bei Beispiel 1 ein Zug überhaupt fehlt, ob wie bei 3 und 5 Terzzüge oder wie bei 2 und 4 Quintzüge gegeben sind—all das bleibt ohne Bedeutung gegenüber der Tatsache, daß den Drei-, Vier-, Fünf- und Sechstaktern eine Wiederholung fehlt; ihr Inhalt reicht deshalb gerade nur zu Präludien hin, die—wie schon die Bezeichnung sagt—Stücke, die auf Wiederholungen aufgebaut sind, erst vorbereiten. Darüber kann auch die Bezeichnung ihrer Taktarten nicht täuschen, sie gründen sich nur auf die Figurierungen, deren Wiederholung aber nicht hinreicht, den erwähnten Grundmangel zu beheben” (*FS*, 184/119).

Example 11. Pieces lacking repetition (*FS*, Figure 136)

The image displays three musical examples from Clementi's *Préludes et Exercices*, numbered 32, 28, and 9. Each example is presented in two staves (treble and bass clef). The notation includes notes, rests, and dynamic markings. Schenkerian analysis is overlaid on the music, showing the *Urlinie* (melodic lines) and *Gliederung* (divisions) with various symbols like $\hat{3}$, $\hat{1}$, $\hat{5}$, and $\hat{8}$. Brackets and arrows indicate *Baßbrechung* (bass breaks) and other structural elements. The examples are labeled with their respective numbers and titles: 'Clementi, Préludes et Exercices, Nr. 32', 'Clementi Nr. 28', and 'Clementi Nr. 9'.

as Oster and others have translated it, this translation by itself is misleading, because the *Urlinie* is indivisible in the sense that it always remains a unified whole. Schenker writes:

The *Urlinie*'s passing motion automatically entails its unity and indivisibility.

Whatever the middle- and foreground may bring in the way of new upper voices, *Gliederungen*, forms, and the like, nothing can set itself against the fundamental indivisibility of the *Urlinie*. This represents the greatest triumph of that coherence which is attainable in music.³⁵

Schenker's characterization of an interruption configuration as a *Gliederung* of the *Urlinie* means that it is made up entirely of tones of the *Urlinie*. For example, Schenker says that in the $\hat{3}-\hat{2}||\hat{3}-\hat{2}-\hat{1}$ configuration, the first $\hat{3}$ and the second $\hat{3}$ are both the head tone of the *Urlinie*: "The first $\hat{3}$, which is the head tone of the entire *Urlinie* $\hat{3}-\hat{1}$, is bound up with the second $\hat{3}$ as the head tone of the reinitiated *Zug* that now leads to $\hat{1}$."³⁶ The duplication of some members of the indivisible *Urlinie* in a piece with interruption means that all of them must be duplicated, and that there are thus two equivalent occurrences or articulations of the one underlying *Ursatz* that coincide with the final $\hat{1}$ over I.

The dual articulation of a series of chords, as distinguished from that of a single chord, is an unfamiliar feature of Schenker's theory of free composition, because it involves, so to speak, an overlap of different harmonic-contrapuntal progressions at the same hierarchical level, and so one must choose between representing the equivalence of the progressions, as in Example 1, or their completeness, as in Example 2, yet it is an unmistakable feature of the theory. For example, unfolding can involve such a dual articulation, unfolding being the horizontalization of either "one chord" or "a series of chords" so as to connect the upper voice with an inner voice ("eines Klanges" or "einer Folge von Klängen" [FS, 87/50]). Schenker presents Example 12 as an illustration of the latter variety of unfolding; the diminished-fifth-to-major-third figure in Example 12 is unfolded in frames 3 and 4 in such a way that it occurs twice, the second time in textural inversion. Schenker apparently perceives such an unfolding in Beethoven's Piano Sonata No. 20 in G major, op. 49/2, II, mm. 1–8, which he depicts in Example 13, using the same notation for the diminished-fifth-to-major-third figure. Significantly, Schenker presents Example 13 as an example of "the freest" "type of interruption," in which "the counterpoint takes up its initial formation again" ("die freieste" "Art von Unterbrechung," in which "der Kontrapunkt seine erste Aufstellung wieder aufnimmt" [FS, 124/77]). Here, the counterpoint takes up its initial pair of chords three times. In strict interruption, the counterpoint takes up not just its initial formation again but the entire *Ursatz*.

To say that the *Ursatz* in a piece with interruption occurs twice is akin to saying, with Samarotto, that the *Ursatz* undergoes bifurcation. However, contrary to Samarotto's interpretation, the first $\hat{1}$ over I is not deleted, because again, the *Urlinie* is indivisible. Schenker specifically denies the possibility

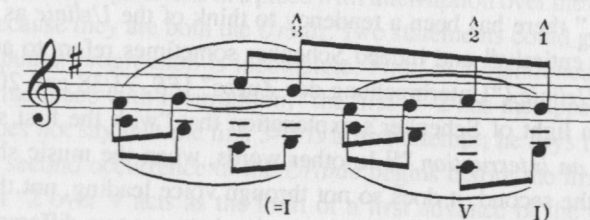
35 "Der Durchgang bringt zwangsläufig die Einheit und Unteilbarkeit des Urlinie-Zuges mit sich. Was immer der Mittel- und Vordergrund an neuen Oberstimmen, Gliederungen, Formen u. dgl. bringt, nichts kann sich zu seiner grundlegenden Unteilbarkeit in Widerspruch setzen. Dies bedeutet den höchsten Triumph des in der Musik erzielbaren Zusammenhanges" (FS, 41–42/12).

36 "An die erste $\hat{3}$, die Kopftön des ganzen Urlinie-Zuges $\hat{3}-\hat{1}$ ist, knüpft die zweite $\hat{3}$ als Kopftön des wiederaufgenommenen nun zur $\hat{1}$ führenden Zuges an" (FS, 73/38).

Example 12. The unfolding of a series of chords (FS, Figure 43d)



Example 13. Unfolding in Beethoven's Piano Sonata No. 20 in G major, op. 49/2, II, mm. 1–8, as an example of the freest type of interruption (FS, Figure 91)



of omitting $\hat{1}$ in the *Urlinie*: "To man is given the experience of ending, the cessation of all tensions and aims. In this way we have a natural need to lead the *Urlinie* downward until it reaches the ground tone $\hat{1}$, just as we must also let the bass fall back to the ground tone of the harmony; with $\hat{1}$ over I all tensions in a musical organism cease. Thus an *Urlinie* can never end, for example, with $\hat{3}-\hat{2}$."³⁷ The *Ursatz* must reach the ground tone not only from the standpoint of human psychology but also from the standpoint of tonal biology, because the ground tone is both the end and the ultimate origin of the *Ursatz*. Schenker says that "the *Ursatz* signifies the harmonic tone stepping forth into life through a

37 "Den Menschen ist die Erfahrung eines Endes, des Erlöschens aller Spannungen und Ziele gegeben. In diesem Sinne ist es uns ein natürliches Bedürfnis, auch die Urlinie bis hinab zum Grundton $\hat{1}$ zu führen, wie auch den Baß wieder zum Grundton des Klanges zurückfallen zu lassen; mit $\hat{1}$ /I erlöschen alle Spannungen eines Kunstorganismus. Niemals also kann eine Urlinie etwa mit $\hat{3}-\hat{2}$ zu Ende gehen" (FS, 43/13). More generally, an *Urlinie* cannot span a second, as would be the case with $\hat{3}-\hat{2}$. Schenker writes that "the space of an *Urlinie* must comprise at least a third progression. A step of a second as an *Urlinie* is unthinkable" ("Ein Urlinie-Raum muß zumindest einen Terzzug enthalten; ein Sekundschritt ist als Urlinie undenkbar" [FS, 41/12]).

vital, natural power."³⁸ Thus the music cannot exist at all unless it reaches the ground tone. The ground tone generates the music by inspiring it to push onward in spite of all obstacles.

The *goal*, the path, is the first thing; only second in order comes the *content*: no goal, no content.

On the path to the goal there are in the art of music as in life obstacles, setbacks, disappointments, long roads, detours, expansions, and interpolations—in short, delays of all kinds. Therein lies the seed of all artistic delaying, with which a fortunate inventor can bring ever new content into play.

In this sense we almost hear in the middleground and foreground a dramatic course of events.³⁹

Schenker applies this principle of the goal's necessity for generating content and artistic tension directly to interruption: "Interruption...creates not only more content but also the effect of a delay, a retardation, on the way to the ultimate goal, $\hat{1}$ over I. Interruption is able to produce this effect only because it carries within itself the *Ursatz*, which attains its fulfillment despite all detours."⁴⁰

We also need to understand what is being interrupted. In keeping with the misleading translation of "Gliederung" as "division," there has been a tendency to think of the *Urlinie* as being interrupted in the sense of being cut off entirely,⁴¹ and indeed Schenker sometimes refers to an "interruption of the *Zug*" that makes up the *Urlinie* ("Unterbrechung des Zuges" [FS, 73/38 and 200/130]), but such references need to be read in light of Schenker's explanation that "with the first stand of $\hat{2}$ over V, the voice leading undergoes an interruption."⁴² In other words, when the music shifts from the first occurrence of the *Ursatz* to the second, it does so not through voice leading, not through continuous motion along a tonal path, but through a discontinuous motion between two different paths. The crack between the two occurrences is so deep that it cannot be spackled over with additional connective threads. Schenker writes that "interruption creates such a strong effect that it overcomes any links, as for example through connective *Züge*."⁴³ The continuity of the voice leading and the continuity of the tonal paths are separate issues for Schenker. For example, an "interruption of the voice leading" ("Unterbrechung der Stimmführung") is produced by the divider, which "appears...on the occasion of a *Gliederung*" ("bei Gelegenheit der Gliederung...auftretende"), as well as by the applied divider, which

38 "Der *Ursatz* ein Inslebentreten des Klanges aus einer lebendigen Naturkraft heraus bedeutet" (FS, 57/25).

39 "Das *Ziel*, der Weg ist das Erste, in zweiter Reihe erst kommt der *Inhalt*: ohne *Ziel* kein *Inhalt*. Auf dem Wege zum *Ziel* gibt es in der Kunst der Musik wie im Leben Hindernisse, Rückschläge, Enttäuschung, weite Wege, Umwege, Dehnungen, Einschaltungen, kurz Aufhaltungen aller Art. Darin liegt der Keim all der künstlichen Aufhaltungen, mit denen ein glücklicher Erfinder immer neuen *Inhalt* ins Rollen bringen kann. In diesem Sinne hören wir im Mittel- und Vordergrund fast einen dramatischen Verlauf" (FS, 29/5).

40 "Die Unterbrechung schafft...nicht nur mehr *Inhalt*, sondern auf dem Wege zum letzten *Ziel* $\hat{1}/I$ auch die Wirkung einer *Aufhaltung*, *Retardation*. Die Unterbrechung vermag diese Wirkung zu erzielen, nur weil sie den *Ursatz* in sich trägt, der auf Umwegen doch zu seiner Erfüllung gelangt" (FS, 72/37).

41 For example, three well-known textbooks on Schenkerian analysis (Forte and Gilbert 1982, 168; Neumeyer and Tepping 1992, 86; and Cadwallader and Gagné 1998, 167) describe interruption in this way.

42 "Bei dem ersten Stand $\hat{2}$ erfährt die *Stimmführung* eine *Unterbrechung*" (FS, 72/37).

43 "Die Unterbrechung übt eine so starke Wirkung aus, daß die auch Verschleierungen—etwa durch Verbindungszüge—überwindet" (FS, 71/36).

is "used apart from a *Gliederung*" ("jenseits einer *Gliederung* verwendet werden")—that is, simply appended to a harmony "as its emanation of a fifth" ("als seine Quinaustrahlung" [FS, 175/113]).⁴⁴ The divider and the applied divider are mirror images of one another with respect to their interruption of the voice leading: after the divider, the music shifts *to* a tonal path (the second occurrence of the *Ursatz*) at its *starting* point, whereas after the applied divider, the music shifts *from* a tonal path at its *endpoint*. So an "interruption of the *Zug*" that makes up the *Urlinie* can be understood more precisely as an interruption of the voice leading and a concomitant delay or retardation of the *Zug*. The object of interruption has been obscured first because Schenker introduces the concept in §87 but only names the object in §90, and second because in doing so he uses the term "interruption" metonymically, as in "the interruption $\hat{3}-\hat{2}||\hat{3}-\hat{2}-\hat{1}$ " (FS, 36), before he uses it literally, as in, "An interruption takes place through $\hat{3}-\hat{2}||\hat{3}-\hat{2}-\hat{1}$."⁴⁵

Once one understands that interruption means an interruption in the voice leading produced by a duplicatory *Gliederung* of the *Urlinie*, then it becomes clear that Schenker does not privilege one of the harmonic-contrapuntal progressions in a piece with interruption over the other one, either consistently or inconsistently, because they are both the *Ursatz*. Two statements could give the impression that the first harmonic-contrapuntal progression is incomplete. First, as I mentioned in the introduction, Schenker says that in a $\hat{3}$ -line piece with interruption, "the first $\hat{3}-\hat{2}$ has the appearance of a first attempt of the *Urlinie*."⁴⁶ He does not say that the first $\hat{3}-\hat{2}$ is a first attempt; he says that it "has the appearance of" one, because the second occurrence of the *Urlinie* begins before the first one ends. Second, Schenker says that the first " $\hat{2}$ over V acts as the limit of a first advance of the *Urlinie*."⁴⁷ Again, he does not say that the *Urlinie* reaches a limit; he says that the "first advance" reaches a limit. With the final $\hat{1}$ over I, the *Urlinie* advances further. Two other statements could give the impression that the second harmonic-contrapuntal progression is subordinate. First, Schenker says that "the first $\hat{3}-\hat{2}$ represents a course already run, as it were; only the $\hat{1}$ is still lacking."⁴⁸ This statement does not imply anything about hierarchy; rather, it just means that the first $\hat{3}-\hat{2}$ is a partially completed passing motion and not a neighbor motion along a course that would need to be run again, as the text states directly afterwards: "The first $\hat{2}$ remains true to the law of the passing tone in the space of a third and accordingly never takes on the character of a lower neighbor note."⁴⁹ And second, as I mentioned in the introduction, Schenker says that "with regard to the unity of the *Ursatz*, the first stand of $\hat{2}$ over V is more essential than the

44 For example, in the fugal fourth movement of Beethoven's Piano Sonata No. 29 in B \flat major, op. 106, the second entry occurs in the dominant A \flat major "according to the law of the divider, but without returning to D \flat " ("nach dem Gesetz des Teilers, ohne aber zu Des zurückzukehren" [FS, 176/113]). Oster translates this passage as "in accord with the principle of the divider, that is, without returning to D \flat " (FS, 113), making it seem as though Schenker is saying that all dividers do not return.

45 "Durch $\hat{3}-\hat{2}||\hat{3}-\hat{2}-\hat{1}$ eine Unterbrechung zustandekommt" (FS, 73/38).

46 "Die erste Folge $\hat{3}-\hat{2}$ erscheint wie ein erster Versuch des *Urlinie*-Zuges" (FS, 71/36).

47 "Wirkt $\hat{2}$ als Grenze eines ersten Vortreibens des *Urlinie*-Zuges" (FS, 71/36).

48 "Die ersten $\hat{3}-\hat{2}$ stellen gleichsam erledigte Bahnen vor, nur die $\hat{1}$ fehlt noch" (FS, 72/37).

49 "Die erste $\hat{2}$ dem Gesetz des Durchganges im Terzraum treu und begibt sich dadurch des Charakters einer tieferen Nebennote von vornherein" (FS, 72/37).

second."⁵⁰ Again, the issue here is not hierarchy but rather "the unity of the *Ursatz*," a unity which the *Ursatz* also bestows upon a piece of music. The first $\hat{2}$ over V is more essential for this unity because it binds together the tonic triads that frame the entire piece.

By interlocking two equivalent occurrences of the one *Ursatz*, interruption brings to an end Schenker's quest to reconcile harmony and form, succeeding where the perfect authentic cadence and the *Ursatz* by themselves fell short, in that the first occurrence of the *Ursatz*, a harmonized passing motion that composes out the tonic triad across the entire piece, provides harmonic unity, as illustrated in Example 2, while the second, equivalent occurrence provides formal repetition, as illustrated in Example 1. Furthermore, interruption integrates these features in a way that reflects the tone more fully than these features do taken individually. In terms of the temporally unfolding "drama of the *Ursatz*" ("Drama des Ursatzes" [FS, 210n/137n14]), the first occurrence of the *Ursatz*, while still apparently incomplete, a part, repeats itself in the second occurrence of the *Ursatz*, the whole, and in so doing paradoxically becomes the whole, in precisely the same way that a ground tone (a fundamental) procreates the tone as a whole and in so doing paradoxically develops into the whole. Thus the concept of interruption both settles and transcends the issue of harmonic unity and formal repetition, as if the concept—like the goals of the foreground—had been "mysteriously sensed and pursued" all along (FS, 68).

This point can be clarified and amplified by examining Schenker's concept of interruption through the lens of blending theory, put forward by Gilles Fauconnier and Mark Turner. Fauconnier and Turner posit a basic cognitive operation called blending or conceptual integration, which is the combining of mental spaces, or cognitive structures activated as units, to form new ones. In a blend or integration network, structural elements from two or more input spaces, having been connected by relations such as analogy, representation, identity, change, or causation, come together in a blended space, which can feature emergent structure not present in the input spaces. Blended spaces can feed inferences back into the input spaces or themselves become input spaces, and they can be ephemeral or become entrenched. Blending is thought to underlie a broad range of cognitive and cultural phenomena, including conceptualization, categorization, grammatical constructions, linguistic tropes, scientific innovation, and artistic expression.⁵¹ In the field of music, Lawrence M. Zbikowski and others have applied blending theory to the analysis of musical meaning.⁵²

Because of its implications for conceptualization and language, blending theory has impacted metaphor theory, put forward by George Lakoff and Mark Johnson.⁵³ According to Lakoff and Johnson, concepts are metaphorical, in that conceptualization in more abstract cognitive domains involves the mapping of structure from more concrete domains. Conceptual structure is thought to be ultimately derived from bodily experience in the form of image schemas, or patterns of objects and forces, such

50 "Im Sinne der Einheit des Ursatzes gerade der erste Stand $\hat{2}$ wesentlicher als der zweite ist" (FS, 72/37).

51 See especially Fauconnier and Turner (2002 and [1998] 2010). See Turner (2011) for an extensive bibliography.

52 See for example Zbikowski (1999, 2002, 2002–2003, and 2008); Cook (2001); Sayrs (2003); Bauer (2004); Johnson (2004); and Bhogal (2006).

53 See especially Lakoff and Johnson (1980 and 1999); and Johnson (1987). See Zbikowski (2008) for a thorough account of music studies that draw on metaphor theory.

as source-path-goal, center-periphery, part-whole, blockage, or removal-of-restraint. While Fauconnier and Turner agree that concepts are metaphorical and based on image schemas, they have shown that cross-domain mapping cannot account for the full complexity of conceptual metaphors. For example, even the apparently elementary conceptual metaphor "time is space" involves an intricate integration network that allows for thinking of time as a path or as a moving object, objective and subjective perspectives on time, and poetic elaboration of these notions (Fauconnier and Turner 2008). Example 14 shows one component of this network, the concept of a day as an abstract event, which blends analogous individual days with identical path schemas for the apparent motion of the sun into a single abstract day with a cycle schema. Janna K. Saslaw, Michael Spitzer, and others have analyzed conceptual metaphors and image schemas in historical music theories, including Schenker's theories, but they have not framed their analyses in terms of blending.⁵⁴ Elsewhere, I have begun to apply blending theory and metaphor theory together to the analysis of Schenker's musical thought (2011), and I continue that effort here.

As shown in Example 15, Schenker's conception of a piece of music with interruption is a blend of his conceptions of the tone and the *Ursatz*. His conception of the tone as an idea and as a phenomenon is the first input space (shown at the top center). The concept of the tone as an idea features a combination of a source-path-goal schema and a part-whole schema, whereas the concept of the tone as a phenomenon adds a blockage schema. In the tone as an idea, the ground tone (the fundamental) is a part and the source (shown as the point), which is also the whole and the goal (shown as the circle). Schenker refers alternately to "C as a ground tone" and "the tone C" ("C als Grundton" and "des Tones C" [HL, 34/21; 54/39]). The act of procreating overtones or development is the path, understood here as both the trajectory of the ground tone's force and a path of motion (shown as the arrow). Schenker says that "all life is movement, and all movement life."⁵⁵ More specifically, he says that "nature has offered only development and procreation, an infinite advance."⁵⁶ Procreation and development correspond to two different interpretations of the source-path-goal schema with respect to the target of force. In procreation, the ground tone propels the tone outward as a repetition of itself; that is, the whole or goal and the target of force are identical. In development, the ground tone propels itself outward; that is, the part or source and the target of force are identical. Through this procreation or development, not only does the ground tone become a tone, but also the tone becomes a triad. Schenker writes, "Every tone carries its own progeny and...its own major triad, [partials] 1:5:3, with itself."⁵⁷ But in the tone as a phenomenon, this triad is unconscious or latent, which means that the motion encounters a blockage (shown as an inner circle) and becomes only potential, hypothetical motion (shown as the dotted portion of the arrow). It is thus the task of music to actualize the tone as a triad, to overcome this blockage. Schenker writes, "Music is the unfurling of a harmonic tone; this is its totality,"⁵⁸ where "such an

54 See for example Saslaw (1996 and 1997–1998); Urista (2001, 66–94 and 111–119); Zbikowski (2002, 126–130 and 317–318); Michael Spitzer (2003 and 2004); and Gur (2008).

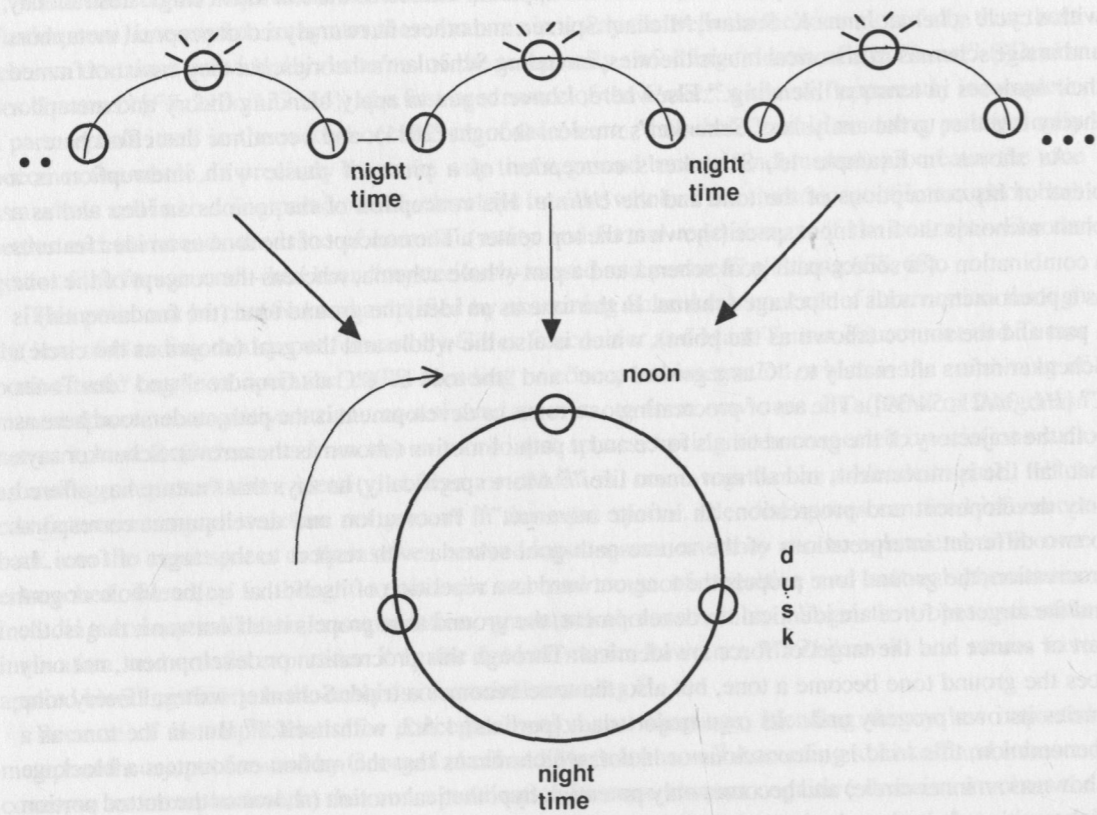
55 "Alles Leben Bewegung ist und alle Bewegung Leben" (MW, 1:95/1:51).

56 "Hat die Natur nur Entwicklung und Zeugung vorgeschlagen, ein unendliches Vorwärts" (HL, 44/31).

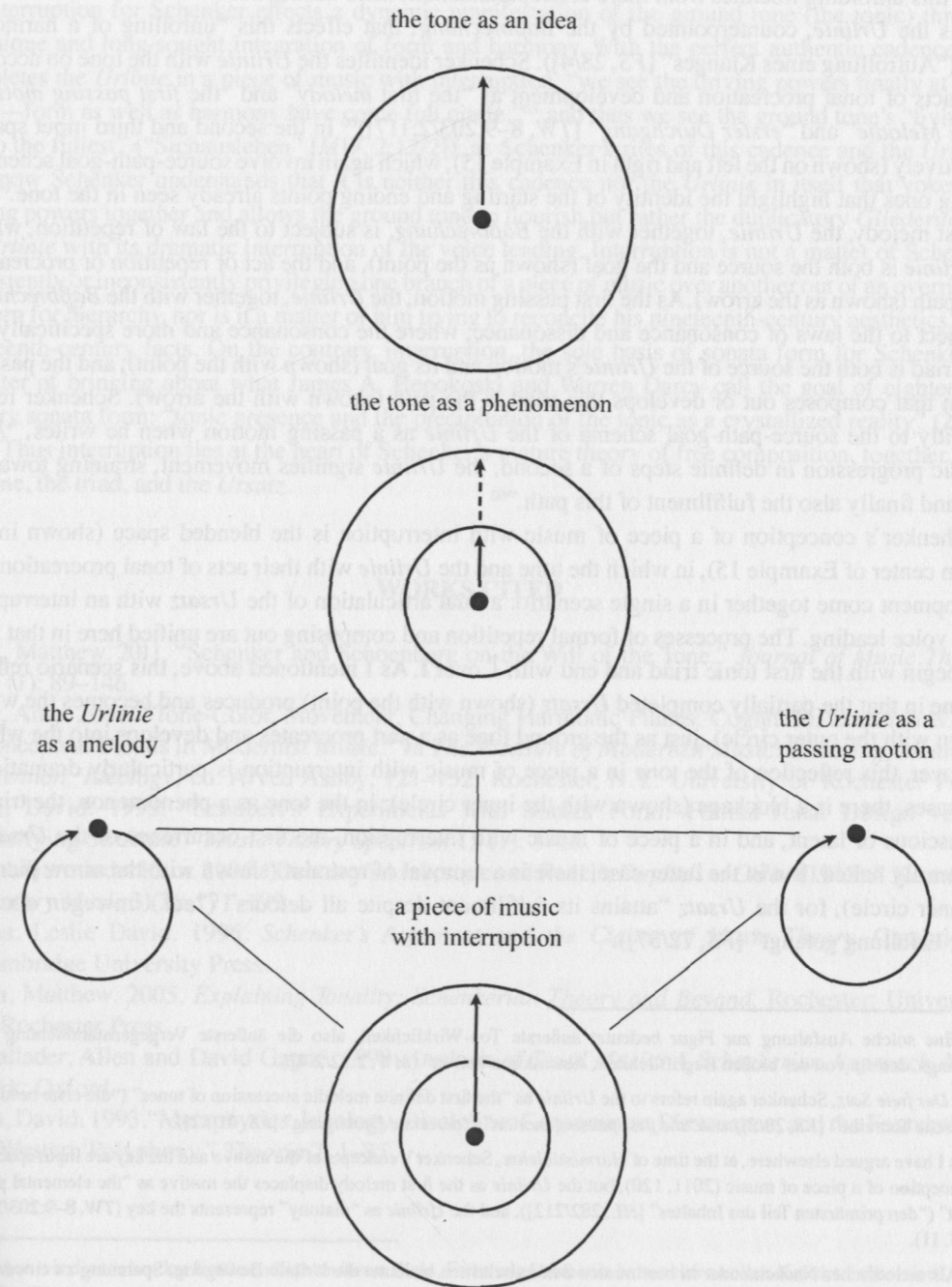
57 "Führt denn jeder der Töne seine Generationen und...seine eigene Durdreiklänge 1:5:3 immer mit sich" (HL, 42/29).

58 "Die Auswicklung eines Klanges ist die Musik, sie ist ihr Alles" (MW, 1:187/104).

Example 14. The concept of a day as a cyclical event (Fauconnier and Turner 2008, Figure 1, 11)



Example 15. Schenker's conception of a piece of music with interruption



unfolding into a figure means the ultimate actuality of a tone, thus the ultimate concretion of a triad, which this unfolding liberates from mere conceptualization, mere abstraction."⁵⁹

It is the *Urlinie*, counterpointed by the *Baßbrechung*, that effects this "unrolling of a harmonic tone" ("Aufrollung eines Klanges" [FS, 28/4]). Schenker identifies the *Urlinie* with the tone on account of its acts of tonal procreation and development as "the first melody" and "the first passing motion" ("erste Melodie" and "erster Durchgang" [TW, 8–9:203/2:117])⁶⁰ in the second and third input spaces respectively (shown on the left and right in Example 15), which again involve source-path-goal schemas: looping ones that highlight the identity of the starting and ending points already seen in the tone.⁶¹ As the first melody, the *Urlinie*, together with the *Baßbrechung*, is subject to the law of repetition, where the *Urlinie* is both the source and the goal (shown as the point), and the act of repetition or procreation is the path (shown as the arrow). As the first passing motion, the *Urlinie*, together with the *Baßbrechung*, is subject to the laws of consonance and dissonance, where the consonance and more specifically the tonic triad is both the source of the *Urlinie*'s motion and its goal (shown with the point), and the passing motion that composes out or develops this triad is the path (shown with the arrow). Schenker refers explicitly to the source-path-goal schema of the *Urlinie* as a passing motion when he writes, "As a melodic progression in definite steps of a second, the *Urlinie* signifies movement, straining toward a goal, and finally also the fulfillment of this path."⁶²

Schenker's conception of a piece of music with interruption is the blended space (shown in the bottom center of Example 15), in which the tone and the *Urlinie* with their acts of tonal procreation and development come together in a single scenario: a dual articulation of the *Ursatz* with an interruption of the voice leading. The processes of formal repetition and composing out are unified here in that they both begin with the first tonic triad and end with \hat{I} over I. As I mentioned above, this scenario reflects the tone in that the partially completed *Ursatz* (shown with the point) produces and becomes the whole (shown with the outer circle), just as the ground tone as a part procreates and develops into the whole. Moreover, this reflection of the tone in a piece of music with interruption is particularly dramatic. In both cases, there is a blockage (shown with the inner circle): in the tone as a phenomenon, the triad is unconscious or latent, and in a piece of music with interruption, the first occurrence of the *Ursatz* is temporarily halted. But in the latter case, there is a removal of restraint (shown with the arrow piercing the inner circle), for the *Ursatz* "attains its fulfillment despite all detours" ("auf Umwegen doch zu seiner Erfüllung gelangt" [FS, 72/37]).

59 "Eine solche Ausfaltung zur Figur bedeutet äußerste Ton-Wirklichkeit, also die äußerste Vergegenständlichung eines Dreiklanks, den sie von der bloßen Begrifflichkeit, Abstraktion befreit" (MW, 2:22/2:42).

60 In *Der freie Satz*, Schenker again refers to the *Urlinie* as "the first definite melodic succession of tones" ("die erste bestimmte melodische Tonreihe" [FS, 28/5]) and "the first passing motion" ("der erste Durchgang" [FS, 41/12]).

61 As I have argued elsewhere, at the time of *Harmonielehre*, Schenker's concepts of the motive and the key are input spaces for his conception of a piece of music (2011, 120), but the *Urlinie* as the first melody displaces the motive as "the elemental part of content" ("den primärsten Teil des Inhaltes" [HL, 282/212]), and the *Urlinie* as "diatony" represents the key (TW, 8–9:203/2:117; and FS, 11).

62 "Als melodisches Nacheinander in bestimmten Sekundschritten bedeutet die Urlinie Bewegung, Spannung zu einem Ziele hin, und zuletzt auch die Erfüllung dieses Weges" (FS, 28/4).

CONCLUSION

Interruption for Schenker effects a dynamic manifestation of the ground tone (the tonic) through its unique and long-sought integration of form and harmony. With the perfect authentic cadence that completes the *Urlinie* in a piece of music with interruption, "we see the driving powers finally at their goals—form as well as harmony have come full circle,"⁶³ and thus we see the ground tone's "living of life to the fullest" ("Sichausleben" [MW, 2:12/2]), as Schenker writes of this cadence and the *Urlinie*, only now Schenker understands that it is neither this cadence nor the *Urlinie* in itself that yokes the driving powers together and allows the ground tone to flourish but rather the duplicatory *Gliederung* of the *Urlinie* with its dramatic interruption of the voice leading. Interruption is not a matter of Schenker consistently or inconsistently privileging one branch of a piece of music over another out of an overriding concern for hierarchy, nor is it a matter of him trying to reconcile his nineteenth-century aesthetics with eighteenth-century facts. On the contrary, interruption, the sole basis of sonata form for Schenker, is a matter of bringing about what James A. Hepokoski and Warren Darcy call the goal of eighteenth-century sonata form: "tonic presence and the precipitation of the tonic as a crystallized reality" (2006, 232). Thus interruption lies at the heart of Schenker's mature theory of free composition, together with the tone, the triad, and the *Ursatz*.

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Bill Evans and the Limits of Schenkerian Analysis

MARK MCFARLAND

The application of Schenkerian analysis to jazz, something that Schenker would likely have done only to prove the deficiency of the style, has become more prominent in recent years. The history of similar research stretches back to the 1970s, although these studies were relegated primarily to jazz journals and the occasional thesis or dissertation.¹ By 1995, however, monographs on the American popular ballad and the music of Gershwin, by Forte and Gilbert, respectively, brought greater legitimacy to this line of research. These were, after all, the joint authors of the first widely-used textbook on Schenkerian theory (Forte and Gilbert 1982). Their studies suggested that these styles were not, in the words of Furtwängler (1985, 4), merely a string of intricacies that "exist for the moment in which they sound," but that long-range hearing could highlight the same sorts of characteristics that unify the works of the tonal masters.

These two books, along with that of Martin on the music of Charlie Parker from 1996, all adapt Schenkerian theory in a variety of ways. Among these three studies, the most radical modifications are made by Forte,² who redefines basic tenets such as the automatic beaming of descending fifth bass movement,³ the use of beams in the upper voice to connect a succession of tones that do not create a linear progression,⁴ and the addition of $\hat{6}$ as a potential *Kopftón*.⁵ Gilbert's modifications to Schenkerian analysis are less extreme and stem from the treatment of dissonance in jazz. Gilbert tackles this topic at the beginning of his study:

Since Gershwin wrote basically tonal music, it is reasonable that we adopt a modified Schenkerian approach. However, the word "modified" must be stressed. The main point of difference is that in

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1 Stewart (1973/1974–75); Owen (1974); Martin (1975, 37); Simon (1978); Strunk (1979); and Larson (1981 and 1982). Two studies published in the mid-1980s anticipated the importance of the three monographs that followed a decade later: Strunk (1985) and Larson (1987).

2 Earlier studies have proposed more radical modifications to Schenkerian theory in their analysis of jazz. For example, Davis (1990) has proposed concepts in his dissertation that undermine the majority of the fundamental principles of Schenkerian theory, including the addition of the leading tone and supertonic scale degrees as *Kopftöne*, the appearance of mixture in the *Urlinie*, the arrival of the *Ursatz* on harmony other than tonic or on the tonic scale degree ("atonal fundamental structure"), a gapped *Urlinie*, the identification of dissonance based partly on register ("registral stratification"), and the asynchronicity between the *Bassbrechung* and the *Urlinie* ("structural syncopation"). Many of these radical modifications to Schenkerian theory are due to the author's use of lead sheets as the basis for his analyses, a problem that is discussed below.

3 While Forte extends the meaning of Schenkerian beaming to identify such common harmonic patterns in this repertoire, these patterns will be represented in this study as tonicizations, ones that frequently consist of segments of the chain of fifths (i.e. II–V–I).

4 As Forte explains, "some ballads may have long-range melodic configurations that are not stepwise lines, and indeed that is the case. Usually these are arpeggiations of some kind" (1995, 51).

5 Forte (1995, 49). True to the pronouncement made early in his study, "Nor do I intend to explain at every turn the adaptations of Schenkerian theory or derivations from them," Forte gives no explanation for the addition of $\hat{6}$ as a *Kopftón* or any of his other modifications noted above (51).