Schenkerian Performance and Analysis in Dialogue: A Reconsideration of Beethoven's Piano Sonata in E minor, Op. 90, i

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Abstract

Heinrich Schenker's analytical essays in *Das Meisterwerk in der Musik* and *Der Tonwille* demonstrate a prescriptive and analytically-biased approach to performance. His critical editions and personally-annotated scores reveal a similar approach, where only the universal structure of a piece—attained through analysis and a consideration of the composer's intentions—should inform performance. Schenker's restrictions on the performer's agency and personal interpretation stand opposed to current scholarship, where a reciprocal and equal relationship between performers and analysts is central. In order to ameliorate this disjuncture, this thesis negotiates between Schenker's polemics and performers' interpretive freedom through the shared concept of ambiguity. Since an *a priori* understanding of objective musical content is axiomatic in Schenker's philosophy of performance, what happens when a work's structure resists a straightforward Schenkerian reading? In this situation, can we reverse Schenker's unidirectional analysis-to-performance method and reconcile a single analytical reading with multiple interpretations?

From these questions, my thesis examines the first movement of Beethoven's Piano Sonata in E minor, Op. 90, a work in which Schenker himself encountered formal and structural ambiguities. After an investigation of the historical and philosophical development of Schenker's thoughts on performance, I explore his unpublished conflicting graphs and annotated scores of this work. In these primary documents, I identify two ambiguous passages and demonstrate how these multiple readings can be clarified in my own Schenkerian graph through considering the performer's perspective on register and expectation. I conclude by suggesting a potential reconciliatory path between a Schenkerian graph and multiple interpretations by reconceptualizing the graph as an analytical process which encounters multiple possible readings in time.

Résumé

Dans *Das Meisterwerk in der Musik* et *Der Tonwille*, qui regroupent des articles analytiques, Heinrich Schenker présente une théorie de l'interprétation musicale régie par la prescription et l'analyse. Les éditions critiques qu'il a préparées et les annotations de ses partitions illustrent cette même philosophie, selon laquelle l'interprétation d'une oeuvre ne doit être guidée que par sa structure fondamentale, révélée grâce à l'analyse et à la prise en compte des intentions du compositeur.

Les restrictions qu'impose Schenker au rôle des interprètes et à leur interprétation personnelle vont à l'encontre des recherches actuelles, qui privilégient une relation réciproque et égalitaire entre interprètes et analystes. La présente thèse vise à dresser un pont entre ces deux visions, c'est-à-dire entre les perspectives polémiques de Schenker et la liberté d'interprétation des exécutants, en tirant parti du concept d'ambiguïté qui leur est commun. Comme la philosophie interprétative de Schenker repose sur une compréhension *a priori* du contenu musical d'une oeuvre, qu'arrive-t-il quand la structure de l'œuvre résiste à une analyse strictement schenkérienne? Dans une telle situation, est-il possible d'inverser la méthode unidirectionnelle de Schenker, qui s'ancre dans l'analyse pour guider l'interprétation, et de concilier une lecture analytique unique et des interprétations multiples?

Pour explorer ces questions, j'examine dans ma thèse le premier mouvement de la sonate en mi mineur op. 90 de Beethoven, une œuvre dans laquelle Schenker lui-même s'est buté à des ambiguïtés formelles et structurelles. Après avoir tracé l'évolution historique et philosophique des réflexions de Schenker sur l'interprétation, j'examine les graphes contradictoires non publiés qu'il a produits pour cette œuvre, de même que ses partitions annotées. J'extrais de ces sources primaires deux passages ambigus et, pour démontrer comment la prise en compte de la perspective de l'interprète à l'égard du registre et des

attentes permet de clarifier ces lectures multiples, je propose mon propre graphe. En conclusion, je suggère une façon de concilier graphe schenkérien et interprétations multiples qui passe par une reconception du graphe, considéré comme un processus analytique se prêtant à diverses lectures au fil du temps.

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Introduction

Schenkerian Research and Performance

Heinrich Schenker's deep concern with performance spans the entirety of his prolific career as a theorist, editor, and pedagogue. His analytical publications from *Beethovens neunte Sinfonie* [Beethoven's Ninth Symphony] (1912) to *Der Tonwille* (1921–24) and *Das Meisterwerk in der Musik* [The Masterwork in Music] (1925–30) contain extensive analysis-based performance commentary on compositions in addition to general essays on the practice of performance.[1] Schenker's critical editions of C. P. E. Bach's keyboard works (ca. 1903), J. S. Bach's Chromatic Fantasy and Fugue (ca. 1910), and the complete set of Beethoven piano sonatas (1921–23) reveal a rigourous editorial procedure concerned with textual accuracy based on the synthesis of performance with analysis.[2] Finally, his numerous personally-annotated scores, lesson plans, and drafts of his intended monograph on performance, *Die Kunst des Vortrags* [The

1 Heinrich Schenker, *Beethoven's Ninth Symphony: A Portrayal of Its Musical Content with Running Commentary on Performance and Literature as Well*, ed. and trans. John Rothgeb (New Haven: Yale University Press, 1992); Schenker, *Der Tonwille: Pamphlets in Witness of the Immutable Laws of Music*, ed. and trans. William Drabkin, trans. Ian Bent, Joseph Dubiel, Timothy Jackson, Joseph Lubben, and Robert Snarrenberg, 2 vols. (Oxford: Oxford University Press, 2004–5); and Schenker, *The Masterwork in Music: A Yearbook*, ed. and trans. William Drabkin, trans. Ian Bent, John Rothgeb, and Hedi Siegel, 3 vols. (Cambridge: Cambridge Press, 1994–97).

2 Carl Phillipp Emanuel Bach, *Klavierwerke von Philipp Emanuel Bach: New kritische Ausgabe von Heinrich Schenker* [The Keyboard Works of C. P. E. Bach: A New Critical Edition by Heinrich Schenker], ed. Heinrich Schenker (Vienna: Universal Edition [1903]); Schenker, *J. S. Bach's Chromatic Fantasy and Fugue: Critical Edition with Commentary*, trans. Hedi Siegel (New York: Longman, 1984); and Ludwig van Beethoven, *Complete Piano Sonatas*, ed. Heinrich Schenker (New York: Dover, 1975).

Art of Performance] (2000), root practical and technical performance considerations in analytical observations.[3] Overall, Schenker's interdisciplinary contributions to performance are unified by a focus on the utmost importance of analysis and musical content. From the musical score to the stage, only the underlying structure of a piece—revealed through analysis and a consideration of the composer's intentions—should inform all aspects of performance.

Schenker clarifies his philosophy of performance with two further arguments. First, since performance must express utmost fidelity to a work's universal and unchanging content, an ideal performance is one which aligns most closely with this static structure.[4] Thus, analysis of content becomes not only a means to produce a good performance but a measure of its aesthetic value as well. Second, a performance is required to transmit structural meaning from composer to listener.[5] This perspective assumes a direct, unidirectional relationship from analysis to performance to the listening experience.

Schenker's approach to performance has generated many critical and revisionist responses from scholars.[6] Joel Lester, for example, rejects Schenker's

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3 Schenker, *The Art of Performance*, ed. Heribert Esser, trans. Irene Schreier Scott (Oxford: Oxford University Press, 2000). Schenker's *Nachlass* is divided between approximately twenty collections, of which the following four are the most extensive: the Ernst Oster and Felix Salzer Collections in the New York Public Library, the Oswald Jonas Memorial Collection at the University of California at Riverside, *Wienbibliothek im Rathaus* in Vienna, and the *Cotta-Archiv (Stiftung der Stuttgarter Zeitung)* in the Schiller National Museum in Marbach, Germany.

4 "To his [Schenker's] way of thinking, performance is the means of making audible that which is already objectively there in the work." William Rothstein, "Heinrich Schenker as Interpreter of Beethoven Piano Sonatas," *19th-Century Music* 8 (1984): 10.

5 Schenker, *The Art of Performance*, 4.

6 Some notable examples include Nicholas Cook, *A Guide to Music Analysis* (London:

notion of an ideal performance as a strict aesthetic standard since it does not account for multiple, existing interpretations in performance and glosses over the interpretive conflicts that can occur in analysis.[7] Instead, Lester advocates a reciprocal and constructive dialogue, where the shared, interpretive tendencies of performance and analysis may serve as a productive common ground for the two disciplines.[8] Nicholas Cook suggests a similar balanced relationship between performance and analysis by revealing how performance can elicit independent and equally significant commentary on a work.[9] Cook also questions Schenker's idea of a direct, correlative transmission of meaning from analytical observation to performance to listener.[10] Cook aligns his observation with John Rink, who argues that an assumption of a simple, one-to-one mapping of analysis onto performance is flawed since it ignores the idiosyncratic language sets of the individual disciplines of performance and analysis.[11]

How can we reconcile Schenker's notion of one ideal performance with

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J. M. Dent, 1987), 232; Jonathan Dunsby, "Guest Editorial: Performance and Analysis of Music," *Music Analysis* 8 (1989): 5–20; Cook, "Analysing Performance, Performing Analysis," in *Rethinking Music*, eds. Nicholas Cook and Mark Everist (New York: Oxford University Press, 1999), 241, 246–47; John Rink, "Analysis and (or?) Performance," in *Musical Performance: A Guide to Understanding*, ed. John Rink (Cambridge: Cambridge University Press, 1995), 38–39; and Joel Lester, "Performance and Analysis: Interaction and Interpretation," in *The Practice of Performance: Studies in Musical Interpretation*, ed. John Rink (New York: Cambridge University Press, 1995), 128–38.

7 Lester, "Performance and Analysis," 210–14.

8 Ibid.

9 Cook, "Between Process and Product: Music and/as Performance," *Music Theory Online* 7 (April 2001).

10 Cook, "Analysing Performance, Performing Analysis," 247.

11 Ibid.; and Rink, review of *Musical Structure and Performance*, by Wallace Berry, *Music Analysis* 9 (1990): 320.

multiple, existing interpretations in real performance? Furthermore, to what extent can a performance accurately communicate analytical observations? While prior research has offered valuable critiques on the relationship between Schenker's method and multiple interpretations, my thesis seeks an alternative, reconciliatory path through a focus on the shared concept of ambiguity in performance and analysis. As noted above, Schenker's philosophy of performance centres on the all-encompassing authority of universal content. But what happens if a work's structure resists a straightforward Schenkerian reading? Does this situation reveal a potential way to negotiate between Schenker's polemics and multiple interpretations?

Methodology

To address these questions, my thesis examines the repercussions of a Schenkerian approach to the performance and analysis of the first movement from Beethoven's Piano Sonata in E minor, Op. 90. Specifically, my work explores particular passages in the music that pose ambiguities to Schenkerian analysis with respect to structural and formal relationships in performance and analysis.

Beethoven's Op. 90 is an ideal example for such an investigation because Schenker himself encountered problems with interpreting its structure and form. While fragments of his analysis can be found in publications such as

Harmonielehre [Harmony] (1906) and *Der freie Satz* [Free Composition] (1935), he never published extensively on the composition.[12] However, one of the only Schenkerian studies on Op. 90 by Stefan Treber reveals that Schenker produced graphs of the entire work that he left unpublished.[13] Treber's archival research on Schenker's diaries and correspondence indicates that he made multiple and conflicting analytical readings of the work late in his career. While Treber's work observes Schenker's struggle to reconcile his theory with the composition in these sketches, the significance of these documents to the fundamental criticisms of Schenker's performance approach and his analytical theory has yet to be explored. As well, this conflict puts into question Schenker's own philosophy about the relationship between performance and analysis.

Chapter One expands on the formation of Schenker's views on performance and analysis. To what extent were Schenker's theories meant to be instructive for performance? Does his perspective align with the trajectory of his theoretical developments? To address these questions, I focus on four selected publications where Schenker attempts to synthesize performance and analysis through a theory of performative dynamics: his critical edition of J. S. Bach's Chromatic Fantasy and Fugue, *Die Kunst des Vortrags*, "Brahms's Variations and Fugue on a Theme by Handel, Op. 24" (1924) from *Der Tonwille*, and "The

12 Schenker, *Harmony*, ed. and trans. Elizabeth Mann Borgese (Cambridge: MIT Press, 1954); and Schenker, *Free Composition*, ed. and trans. Ernst Oster (New York: Longman, 1979).

13 Stefan Treber, "A Schenkerian Analysis of Beethoven's E minor Piano Sonata, Opus 90" (MA thesis, University of North Texas, 2010).

Largo of Bach's Sonata No. 3 for Solo Violin, BWV 1005" (1925) from *Das Meisterwerk*.[14] This section contextualizes Schenker's editorial, pedagogical, and analytical contributions to performance within his philosophical shifts during his career noted by William Pastille, Leslie Blasius, and Kevin Korsyn.[15]

Chapter Two provides a concrete musical example of the problems with Schenker's perspective in an analysis of the first movement of Op. 90. Here, I present Schenker's multiple conflicting and unpublished analyses of the work from the Ernst Oster Collection. I observe a struggle between Schenker's theory of formal structure versus design in two significant ambiguous sections in the work. Following this investigation of Schenker's graphs, I examine the connections between Schenker's personal score annotations from the Oswald Jonas Memorial Collection and his analyses in order to reveal how Schenker addressed structural ambiguity in performance. William Rothstein's work on Schenker's unique annotation system in "Heinrich Schenker as an Interpreter of Beethoven Piano Sonatas" and Schenker's discussion of performance technique in *Die Kunst des Vortrags* are referenced.[16]

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14 Schenker, *J. S. Bach Chromatic Fantasy and Fugue*; Schenker, *The Art of Performance*; Schenker, "Brahms's Variations and Fugue on a Theme by Handel, Op. 24," in *Der Tonwille*, ed. William Drabkin, trans. William Renwick (Oxford: Oxford University Press, 2005), 77–114; and Schenker, "The Largo of Bach's Sonata No. 3 for Solo Violin," in *The Masterwork in Music*, ed. William Drabkin, trans. John Rothgeb (Cambridge: Cambridge University Press, 1994), 1:31–38.

15 William Pastille, "Heinrich Schenker, Anti-Organicist," *19th-Century Music* 8 (1984): 29–36; Leslie David Blasius, *Schenker's Argument and the Claims of Music Theory* (Cambridge: Cambridge University Press, 1996); and Kevin Korsyn, "Schenker's Organicism Reexamined," *Intégral* 7 (1993): 82–118.

16 Rothstein, "Heinrich Schenker as Interpreter," 10–24; and Schenker, *The Art of*

Chapter Three centres on ambiguity as a possible mediating factor between Schenkerian performance and modern approaches to performance and analysis. I provide a solution to the problematic passages in Schenker's graphs by reversing his traditional analysis-to-performance model. To accomplish this, I draw from Amanda Sauer Stringer's theory of "cognitive dissonance" in performance—the tension created by moments of conflict between a performer's musical intuition and a composer's seemingly counterintuitive notation—to consider how a performer's perspective on register and musical expectation may inform and clarify an analysis.[17] Referencing Lester, I also investigate interpretation as a constructive common ground between performance and analysis through a reassessment of ambiguity as a temporal process that bridges the Schenkerian graph and performance.[18]

Performance.

17 Amanda Stringer Sauer, "Cognitive Dissonance and the Performer's Inner Conflict: A New Perspective on the First Movement of Beethoven's Op. 101," *Music Theory Online* 13 (June 2007).

18 Lester, "Performance and Analysis," 128–38

Chapter One: Schenker's Views on Performance and Analysis

This chapter examines connections and disjunctures between the formation of Schenker's philosophy of performance and his theoretical contributions. Did his thoughts on performance reflect the changes in his theories? Or are there points of conflict in his conceptualization of these two disciplines? To investigate Schenker's development, I focus on four writings from 1910 to 1925: his critical edition of J. S. Bach's Chromatic Fantasy and Fugue, his unfinished monograph *Die Kunst des Vortrags*, "Brahms's Variations and Fugue on a Theme by Handel, Op. 24" from *Der Tonwille*, and "The Largo of Bach's Sonata No. 3 for Solo Violin, BWV 1005" from the first volume of *Das Meisterwerk in der Musik*.

In my critical assessment of these texts, I reveal a divide between Schenker's broader aesthetic observations on performance and his specific practical considerations for the performer. While Schenker's theoretical writings on performance consistently focus on the centrality of musical content as a static and universal measure for good performance, the framework in which he defined content and addressed the technical concerns of the performer, such as dynamics and fingering, change. Schenker's performance suggestions in his edition of the Chromatic Fantasy and Fugue and *Die Kunst des Vortrags* reflect his earlier focus on foreground, psychological explanations in *Harmonielehre* and

Kontrapunkt I, while the latter two essays support his more mature theories of organic coherence in *Der freie Satz*.

To demonstrate this shift in thought, I examine the emergence of Schenker's experimentation with a unified system of performance dynamics in these four publications. I trace the trajectory of Schenker's analytical and performative theory of structural dynamics from its beginnings in *J. S. Bach's Chromatic Fantasy and Fugue* and *Die Kunst des Vortrags* to its culmination in his essays on Brahms's Op. 24 and Bach's Largo from BWV 1005. I conclude by returning to the significance of musical content in Schenker's philosophy of performance and consider some gaps in his approach.

Harmonielehre and *Kontrapunkt I*: A Psychological Approach

Prior to an investigation of the philosophical influences in Schenker's early publications on performance, I will first expand on the psychological tenets in his contemporary theoretical writings, *Harmonielehre* and *Kontrapunkt I*. As revealed below in my discussion of the four chosen texts, conflicting philosophical frameworks in Schenker's writings deeply affect his views on performance and analysis. While Schenker's later publications are often viewed as more unanimously organicist, his texts from 1891 to the early 1920s reveal a gradual shift in perspective from an initially diverse philosophical viewpoint to a full-fledged organicist perspective.[1]

1 Pastille, "Schenker, Anti-Organicist," 34.

The following quotation from Schenker's controversial 1895 essay "*Der Geist der musikalischen Technik*" [The Spirit of Musical Technique] exemplifies his more ambivalent point of view in his early philosophical explorations:

> In reality, musical content is never organic, for it lacks any principle of causation. An invented melody never has a determination so resolute that it can say "Only that particular melody may follow me, none other." Rather, as part of the labor [sic] of building content, the composer draws from his imagination various similarities and contrasts, from which he eventually makes the best choice.[2]

As William Pastille notes in his essay "Heinrich Schenker, Anti-Organicist," this statement above appears to question organicism as an adequate explanatory framework for musical phenomena.[3] Since music itself lacks three fundamental criteria associated with organicism—logic, growth, and unity—it cannot be organic.[4] While an interpretation of anti-organicist sentiments in this statement and of the entire "*Der Geist*" essay have been countered by Allan Keiler's and Marva Duerksen's pro-organicist readings, my investigation of Schenker's earlier performance theories sides more with Pastille's anti-organicist interpretation.[5] Like Pastille, I view organicism as a framework that Schenker only gradually embraced after his initial reservations based on the requirements

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2 Ibid., 31.

3 Ibid.

4 Ibid., 31–32.

5 Keiler and Duerksen consider the quotation in the larger context of the essay, where they assert that Schenker's organic tendencies are too substantial to ignore. Korsyn mediates between the views of Keiler, Duerksen, and Pastille by suggesting that "*Der Geist*" contains a heterogeneous mixture of organicist and anti-organicist thoughts. Allan Keiler, "Origins of Schenker's Thought: How Man is Musical," *Journal of Music Theory* 33 (Autumn 1989): 278–98; Marva Duerksen, "Schenker's Organicism Revisited," *Intégral* 22 (2008): 1–58; and Pastille, "Schenker, Anti-Organicist." See also Korsyn, "Schenker's Organicism Reexamined."

of organicism were addressed. Schenker's early search for organic criteria in music led to an experimentation with a particular explanatory model in *Harmonielehre* and *Kontrapunkt I*: psychology.[6]

The psychological influences in *Harmonielehre* are immediately apparent in the table of contents of the text, which advertises sections "on the psychology of contents and of step progression" and "on the psychology of chromatic alteration."[7] As Leslie Blasius observes, Schenker did not merely use the term to suggest surface-level and passing connections to the popular scientific practice of the time.[8] A consideration of Schenker's temporal concerns with harmony in these sections illustrates a genuine concern with the listener's experience and perceptions of musical events.[9] Schenker's analysis of the first eight measures of Mozart's Piano Sonata in C major, K. 330, for example, exemplifies his focus on psychological experiences of the listener (Example 1.1):[10]

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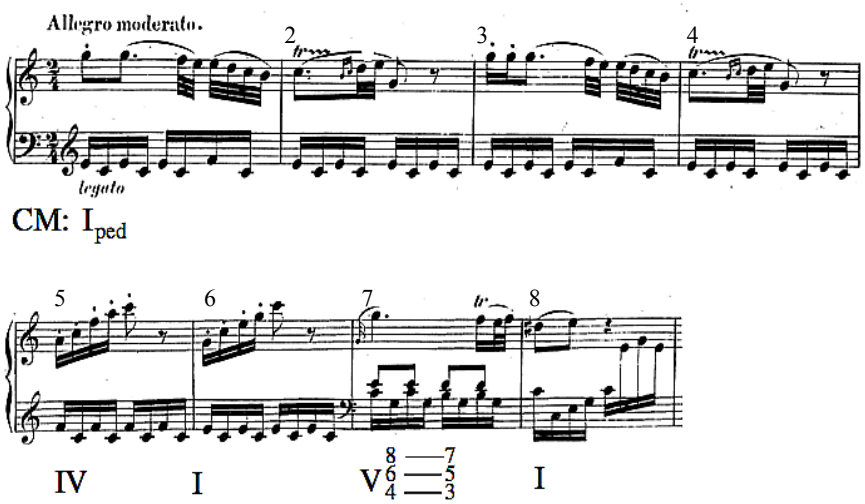
6 Blasius, *Schenker's Arguments*, 1–35. Blasius observes a hidden psychological agenda during and after the publication of *Kontrapunkt I*. To support this argument, he highlights the similarities in Schenker's and Wilhelm Dilthey's perspectives on empirical versus introspective psychology. In particular, he notes that Dilthey's hypothetical aims in *Geistewissenschaft* [spiritual science], a separate and autonomous psychology for human rather natural science, resonates with Schenker's contemporaneous viewpoint where he develops an exclusively music-based psychological method. Alternatively, see Korsyn, "Schenker's Organicism Reexamined;" and Korsyn, "Schenker's Vienna: Nicholas Cook on Culture, Race, and Music Theory in *fin-de-siècle* Austria," *Music Analysis* 28 (2009): 162–69 In these articles, Korsyn roots Schenker's early psychological influences in Ernst Mach and nineteenth-century Viennese skepticism.

7 "Von der Psychologie des Inhalts und des Stufenganges" and "Von der Psychologie der Chromatik und der Alteration." Schenker, *Harmonielehre* (Stuttgart: Cotta, 1906), xiv.

8 Blasius, *Schenker's Arguments*, 6–8.

9 Schenker, *Harmony*, 211–301.

10 Korsyn observes another example of psychology in *Harmony* in Schenker's discussion on period form. See Korsyn, "Schenker's Vienna," 168; and Schenker, *Harmony*, 215–16.



EXAMPLE 1.1: Mozart, Piano Sonata in C major, K. 330, i, mm. 1–8.

In the section on the unfolding of harmony and content, Schenker observes that the initial four measures of this Mozart sonata ignite a "feeling of the scale-step" in the listener through a gradual unfolding of the triad C-E-G. However, a simple iteration of a single triad is not substantial enough to establish a tonal centre. Therefore, the listener expects the music to continue in order to clarify harmonic meaning. Mozart addresses this expectation by presenting IV and V of C major in the following measures so that the genuine meaning of C major as tonic is clarified by the return of the triad in m. 8. Through this process, we gain "a harmonic and conceptual satisfaction."[11] Schenker's references to "feelings," "satisfaction," and "expectation" in his explanation reveal an approach oriented in the listener's internal, temporal experience of musical events. This perspective continues in *Kontrapunkt I*.

11 Schenker, *Harmony*, 214.

Originally referred to in the preface of *Harmonielehre* as the "Psychology of Counterpoint," *Kontrapunkt I* contains a methodical and experientially-based approach akin to a "contrapuntal laboratory."[12] Blasius explores this claim in Schenker's section on prohibited perfect consonances, where the concepts of voice, similar motion, and perfect consonances are enlivened with psychologically-loaded explanations.[13]

Using these ideas, Schenker justifies the distinction between existent octave doublings and false fifth doublings in composition. For Schenker, the fundamental difference lies in the particular psychological effects based on the distinction between "boundary" and "identity" intervals.[14] The fifth is a boundary interval which *binds* the members of the harmonic triad together in the overtone series, while the octave is an identity interval because it *identifies* with the root of the harmony.[15] Schenker's focus on these qualities resonates with a rational, psychological agenda, where the listener is conditioned to experience effects such as the opposition between boundary versus identity in order to understand the logic of counterpoint.[16]

After *Kontrapunkt I*, a considerable break occurs before Schenker's next significant theoretical publication, *Kontrapunkt II* in 1922. In the gap from 1910

12 Blasius, *Schenker's Argument*, 14–21.
13 Ibid, 15. See Schenker, *Counterpoint*, 1:131–40.
14 Blasius, 19. See Schenker, *Counterpoint*, 1:133.
15 Schenker, *Counterpoint*, 1:124.
16 Blasius, *Schenker's Argument*, 19.

to 1922, Schenker's theoretical discoveries in his analytical publications, such as the *Urlinie*, provided solutions to his initial reservations with organicism.[17] Pastille observes that this period of exploration culminates in 1922 with Schenker's analytical essay on Mozart's Piano Sonata in A minor, K. 310, where Schenker is able to explain the complete and self-contained coherence of this composition.[18] As I will illustrate in the sections below, the switch from a psychological viewpoint in *Harmonielehre* and *Kontrapunkt I* to an organic, unified perspective strongly influenced how Schenker defined musical content and how he put his theory of performance and dynamics into practice.

J. S. Bach's Chromatic Fantasy and Fugue

Completed in 1909 and published around 1910, Schenker's critical edition of Bach's Chromatic Fantasy and Fugue closely follows *Harmonielehre* and *Kontrapunkt I* and undoubtedly contains the same psychological influences. In addition to its connections to psychology, the text reveals the foundation of Schenker's philosophy of performance and music editing based on the complete authority of musical content. In my analysis of this text, I will first elaborate on the placement of this publication in Schenker's theoretical development. I will then clarify his thoughts on performance and analysis before I examine the significance of psychology in his theory of dynamics and performance.

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17 Pastille, "Schenker, Anti-Organicist," 32–34.

18 Ibid., 34. See Schenker, "Mozart's Sonata in A Minor, K. 310," *Der Tonwille*, ed. William Drabkin, trans. Timothy Jackson (Oxford: Oxford University Press, 2004), 1:55–71.

In the preface to the 1984 English translation of this text, Hedi Siegel places Schenker's critical edition of the Chromatic Fantasy and Fugue at the end of a rather productive decade in his career, from approximately 1900 to 1910.[19] This text was preceded by two other editorial publications, a critical edition of C. P. E. Bach's entire collection of keyboard works and an accompanying examination of ornamentation in *Ein Beitrag zur Ornamentik* [A Contribution to the Study of Ornamentation], in addition to *Harmonielehre* and *Kontrapunkt I*.

In relation to Schenker's earlier publications, *Chromatic Fantasy and Fugue* draws very clearly from his preliminary perspectives on editorial procedure, analysis, and theory. As Rothstein observes in his review of Siegel's translation, the rudimentary nature of the text is exemplified by Schenker's more surface-level rather than background analyses and in his Marpurgian analysis of the fugue section, which contrasts with his later theories on fugue found in Schenker's *Erläuterungsausgabe* of Beethoven's Op. 111 and in his essay "The Organic Nature of Fugue" from the second volume of *Das Meisterwerk*.[20]

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19 Hedi Siegel, translator's preface to *J. S. Bach's Chromatic Fantasy and Fugue: Critical Edition with Commentary*, by Heinrich Schenker, trans. Hedi Siegel (New York: Longman, 1984), vii.

20 Rothstein, review of *J. S. Bach's Chromatic Fantasy and Fugue: Critical Edition with Commentary*, by Heinrich Schenker, trans. Hedi Siegel, *Music Theory Spectrum* 7 (Spring 1985): 204. Aside from these differences, Schenker's commentary also contains foreshadowings of his more mature ideas. Arguably, the most remarkable connection to his subsequent work comes from his commentary on the "magical (descending) line" hidden at the beginning of the fugue section which has remarkable connections of Schenker's later conception of the *Urlinie*. See Schenker, *J. S. Bach's Chromatic Fantasy and Fugue*, 44–45; and Ian Bent, "'That Bright New Light': Schenker, Universal Edition, and the Origins of the *Erläuterung* Series, 1901–1910," *Journal of the American Musicological Society* 58 (2005): 125–30.

Schenker's editorial practice in *Chromatic Fantasy and Fugue* is also less thorough than his later work. As I will discuss below, textual accuracy based on original autographs was central to Schenker's editing philosophy throughout his career. In the case of this publication, Schenker did not have access to the autograph and instead drew on the Bach-Gesellenschaft edition.[21] Aside from Schenker's reliance on another edition instead of primary sources, the rushed editorial procedure is evident in Schenker's dynamic markings. Although he promises his reader that he will separate his own indications from Bach's original markings with parentheses, this distinction does not appear in the edition.[22] This relatively limited approach contrasts with Schenker's later editorial process, exemplified by his version of the Beethoven piano sonatas, which involved a thorough examination of autographs and first editions.

While this publication is often viewed as marginal in Schenkerian literature due to its preliminary nature, an interrogation of the text remains valuable.[23] In this early philosophical and pedagogical study aimed at the performer, Schenker solidifies the central role of musical content and introduces the relationship between dynamics and analysis in psychological terms. In the introduction to his edition, Schenker begins immediately by defining his philosophy on music editing: one must respect and maintain the composer's

21 Rothstein, review of *J. S. Bach's Chromatic Fantasy*, 203.

22 See Schenker, *J. S. Bach's Chromatic Fantasy*, 71, where Siegel notes other dynamic-related discrepancies.

23 Rothstein, review of *J. S. Bach's Chromatic Fantasy*, 203.

notation in order to truly understand the work's content.[24] For Schenker, textual authenticity and fidelity are central to the practice of editing, since only a proper version of a score can correctly inform a performer. To adhere to this requirement, the editor must always refer to the original autograph manuscript, or if that is not available, an authoritative, early edition, since the composer's idiosyncratic notational nuances hold vital connections to content.

To highlight the dire consequences of inaccurate editorial approaches, he critiques the problematic editions of his contemporaries including Hans von Bülow and Carl Reinecke.[25] According to Schenker, their superfluous and ungrounded additions to Bach's already well-formed notation result in the distortion of the work's true compositional meaning. The disregard for the composer's intentions upsets another important concept in Schenker's philosophy of performance, the hierarchical binary between creators (composers) and re-creators (editors and performers). Bülow and Reinecke overstep their roles as re-creators by attempting to create "artistically superior" copies of the original through their individual performance markings.[26] This subversion of the creator/re-creator binary only results in a problematic distortion of the real intentions of the composers. Schenker warns against the continuation of these

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24 This perspective remains mostly consistent in his career from its precedents in *Ein Beitrag zur Ornamentik* and the preface to *Kontrapunkt I* to *Beethovens neunte Sinfonie.* See also Schenker, "Abolish the Phrasing Slur," in vol. 1 of *The Masterwork in Music: A Yearbook*, ed. and trans. William Drabkin (Cambridge: Cambridge University Press, 1994), 20–30.

25 Schenker, *J. S. Bach's Chromatic Fantasy*, 20.

26 Ibid.

haphazard, self-indulgent procedures since they risk further proliferation of false musical meaning through performances based on these scores.

To properly serve the performer and the audience, Schenker offers a comprehensive study of the musical content and original sources, in an effort to return to the composer's real intentions. Through this approach, Schenker promises to "reveal the true compositional basis" of the work:[27]

> I am quite certain that I have done the reader and performer a practical service whose value should not be underestimated, since only this kind of detailed study enables one to perform or understand a work in its true meaning![28]

In order to adequately inform his reader, Schenker presents a lengthy, bar-by-bar analysis of the Chromatic Fugue and Fantasy before providing performance commentary. As noted previously, Schenker's analysis contains a combination of rudimentary and deeper-level observations. His comments on performance illustrate a similar mixture of early ideas that foreshadow his later work.

The section on performance is divided into three distinct sections titled "non-legato," "dynamics," and "fingering." Throughout these three chapters, Schenker constantly reasons his performance suggestions with references to his analysis and to Bach's notation. I will focus my discussion on his comments on dynamics where the psychological connections to *Harmonielehre* and

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27 Ibid., 19.
28 Ibid.

Kontrapunkt I are most apparent.

Schenker begins his discussion on dynamics with a critique of the two opposing approaches of his contemporaries. On the first practice—terraced dynamics—Schenker observes that conductors and performers strictly and blindly adhere to a literal reading of dynamic markings on the score. As Schenker notes, this method results in falsely uniform and static dynamics. At the other extreme lies the second approach where editors and performers simply ignore the composer's intentions and insert dynamic changes to satisfy their personal need for variety.[29] For Schenker, both of these practices result in inaccurate performances. The first group's "sham of artistic fidelity" is flawed in their too literal and mechanical interpretations of the score.[30] As a result, they miss the subtle and essential dynamic gradations hidden beneath the notation. The second group ignores the meaning of the composition by disregarding the indications altogether and thus attempts to assume false superiority over the composer.

Schenker's ideal method maintains a balance between the two approaches. His method combines the desired textual fidelity of the first group

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29 See also Schenker, "A Contribution to the Study of Ornamentation," in vol. 4 of *Music Forum*, eds. Felix Salzer and Carl Schachter, trans. Hedi Siegel (New York: Columbia University Press, 1976), 32: "For it is my great desire to dispel the misconception that older works contain either nothing at all or far too little in the way of dynamic indications ... One will surely find their use of these signs to be as inspired as his [C. P. E. Bach's], providing that he understands the music itself."

30 Schenker, *J. S. Bach's Chromatic Fantasy*, 65.

with the dynamic variety of the second. But in order to achieve these goals, Schenker roots his editorial decisions in a precise understanding of the composer's intentions that extends beyond a surface-level reading of the score's markings.[31]

In the case of the Chromatic Fantasy and Fugue, Schenker investigates the true meaning of Bach's idiosyncratic *forte* markings found throughout the Fantasy section. Taking the alarming overall frequency of *forte* indications in the work into consideration, he postulates an alternative meaning for Bach's notation. Instead of reading *forte* as a quantitative, acoustical phenomenon, Schenker argues that Bach intended a deeper meaning related to psychological intensity.[32] In this interpretation, the concept of dynamics becomes more varied and complex. For example, *forte* can be "shaded" with different levels of *piano* in order to provide much needed variety. Such shading, he writes, benefits the listener's experience and understanding:

> The use of shading is advisable if for physiological reasons alone; the ear welcomes contrast even within higher levels of intensity, and soon becomes stultified by a long stretch of *forte*! Thus such shadings are not

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31 See Schenker, preface to *Counterpoint I*, ed. and trans. John Rothgeb, trans. Jürgen Thym (New York: Schirmer, 1987), xvii. Here, Schenker makes a similar argument related to notation and compositional meaning: "Performers disregard the fact that notational symbols really hide more than they make explicit, and that strictly speaking, even today they are hardly more than neumes behind which another world opens wide and deep—a true *beyond*, like the very soul of art." These sentiments are also echoed in Schenker, *Beethoven's Ninth Symphony*, ed. and trans. John Rothgeb (New Haven: Yale University Press, 1992), 8–15.

32 Schenker, *J. S. Bach's Chromatic Fantasy*, 66. Schenker's reactions against a measurable and acoustically-focused definition of dynamics may have been influenced by his more empirically-centred contemporaries such as Otto Tiersch, Arthur von Oettingen, and Hugo Riemann. See Blasius, *Schenker's Arguments*, 5–13.

> merely permissible; they are an absolute necessity! One should therefore strive for intellectual understanding of *forte* and finally come to regard it as a *psychological phenomenon* rather than a mere physical quantity! It would be high time!"[33]

In this statement, Schenker justifies his idea of dynamics on experiential reasoning. The listener requires variety, therefore the composer must have acknowledged this need with hidden dynamic nuances. While Schenker's section on dynamics presents a significant explanation of his ideas on the topic, a disjuncture between theory and practice can be observed.

This break is particularly apparent in the explanation of his own editorial dynamic markings. Although he claims to base the dynamic indications of his edition on the idea of dynamic shading, a systematized methodology remains lacking in his descriptions. As a result, Schenker's underlying motivations for his additional dynamic markings remain unclear at times.

Schenker admits himself that his markings, in combination to those originally provided by Bach, are not entirely sufficient for the performer: "It would be impossible to notate all the gradations of *forte*; the performer must therefore supply them himself."[34] This statement seems to echo commentary from *Ein Beitrag*:

> The eye of the player reacts automatically to all the signs that it encounters while reading the notes. The visual detour necessitated by a superfluous sign added by an editor might cause the hand to play something in excess of what it would have played without the editor's indication. *When a player decides, of his own accord, upon some*

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33 Schenker, *J. S. Bach's Chromatic Fantasy*, 66. Emphasis mine.
34 Ibid., 69.

> *indefinable nuance of dynamics or rhythm impelled during performance, this is quite a different matter from his purely optical reaction to a fixed editorial sign.* The principal fault of such a sign is its unequivocal presence—which leads it a factual existence it does not indeed possess.[35]

These two exceptional statements from the *Chromatic Fantasy and Fugue* and *Ein Beitrag* reveal a gap in Schenker's early philosophy of performance and editing. Where does an editor draw the line between a hidden analytical observation that should remain hidden and one that should be brought out in the score? Schenker appears to grapple with the same question in his next project, *Die Kunst*.

Die Kunst des Vortrags [The Art of Performance]

The publication history of *Die Kunst* is rather tumultuous. Schenker's diaries and sporadic references to the eventual publication of *Die Kunst* from *Beethovens neunte Sinfonie* to his essays from *Das Meisterwerk* and correspondence reveal that the monograph was formed around 1911 and remained on Schenker's mind until the end of his career.[36] Despite the lengthy development of the text, Schenker's monograph remained unpublished until 2000.[37] The printed version is reconstructed from four sources housed in the

35 Schenker, "A Contribution to the Study of Ornamentation," 32n17. Emphasis mine.

36 Heribert Esser, editor's introduction to *The Art of Performance*, by Heinrich Schenker, ed. Heribert Esser, trans. Irene Schreier Scott (Oxford: Oxford University Press, 2000), xii. On the mystery of Schenker's reluctance to publish his manual on performance, Jonas hypothesizes performance became a subordinate concern in relation to Schenker's theoretical and analytical work.

37 Schenker, *The Art of Performance*, xix–xx. Oswald Jonas tried twice to publish the document after Schenker's death. Upon accomplishing the formidable task of interpreting and organizing Schenker's numerous notes, Jonas approached a private publisher in 1958, but the project fell through due to problems in the production of Schenker's musical examples. A second

Ernst Oster and Oswald Jonas Memorial Collections. These documents include a complete eighty-four-page manuscript titled "*Vom Vortrag*" [On Performance] written around 1911, a folder of unordered notes from 1914 to 1932, and two posthumous typescripts by Jonas. Although these documents span a considerable period in Schenker's career, Heribert Esser situates this monograph within Schenker's earlier period of theoretical development since the majority of the material, particularly "*Vom Vortrag*," appears to have been formulated well before his later concepts of structure and levels.[38]

As an intended pedagogical guide for the performer, Schenker's *Die Kunst* contains only brief analytical and theoretical observations. The book focuses instead on a combination of philosophical concerns with performance and practical observations. Chapters One and Two of *Die Kunst*, titled "Musical Composition and Performance" and "Mode of Notation and Performance," substantially clarify Schenker's general philosophy of performance, while the remaining chapters address specific technical concerns, such as pedalling, fingering, and tempo fluctuations. In the context of my study, I will focus on Schenker's elaborations on his overall thoughts on performance in the first two chapters of *Die Kunst* and on his later section pertaining to dynamics.

The initial chapters of the book reiterate the fundamental axiom of

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publishing attempt with Universal Edition proved subsequently unsuccessful as well.

38 Esser, editor's translation to *The Art of Performance*, xv.

Schenker's thoughts on performance: the centrality of musical content. The privileged status of content is established immediately in the first paragraph of the monograph:

> Basically, a composition does not require a performance in order to exist. Just as an imagined sound appears real in the mind, the reading of a score is sufficient to prove the existence of the composition. The mechanical realization of the work of art can thus be considered superfluous.[39]

Since the score represents a self-contained and complete record of a work's inherent meaning, performance becomes an auxiliary and subordinate expression of the same content. This idea brings Schenker to the necessity of analysis in performance:

> What is essential is a thorough knowledge of all laws of composition. Having enabled the composer to create, these laws, in a different way, will enable the performer to re-create the composition. Inevitably one concludes that a performer who truly re-creates is indeed close to the creator.[40]

In order to elevate performance closer to the higher level of the score, a performer must grasp and internalize the meaning of the composition through analysis. But for Schenker, analysis goes beyond a study of the surface-level notation in a score. Similar to his commentary on musical orthography in *Kontrapunkt I* and his 1912 monograph *Beethovens neunte Sinfonie*, Schenker's perspective on musical notation and performance cautions against a mere literal translation of the composer's markings.[41] Instead, he writes:

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39 Schenker, *The Art of Performance*, 3.
40 Ibid., 3–4.
41 Schenker, preface to *Beethoven's Ninth Symphony*, 9; and Schenker, preface to

> The author's mode of notation does not indicate his directions for the performance but, in a far more profound sense, represents the *effect* he wishes to attain ... Herein lies the true secret of the art of performance: to find those peculiar ways of dissembling through which—via the detour of the effect—the mode of notation is realized.[42]

Here, Schenker appears to concede that our notation system is limited in its ability to inform performance. The score only communicates the end goals of the performer—the specific effects intended by the composer—but not the technical means in which to accomplish these effects in performance.[43] In order to properly proceed from musical score to performance, the performer must first discover the meaning of the work through the essential act of analysis. After acquiring a true understanding of content, the performer will then be able to differentiate inner, genuine meaning of notation from external, incomplete readings. From this process, the performer can then determine their technical decisions.

After establishing the importance of analysis prior to performance, Schenker moves on to technique. While he offers many useful insights on pianistic concerns such as pedalling, articulation, and fingering, my study will focus on his chapter on dynamics. In comparison to the relatively brief and basic introduction to dynamics in *Chromatic Fantasy and Fugue*, Chapter Eight of *Die Kunst des Vortrags* offers a considerably more expansive elaboration on Schenker's theory of dynamics.

Counterpoint, 1:xvii-xxiii.

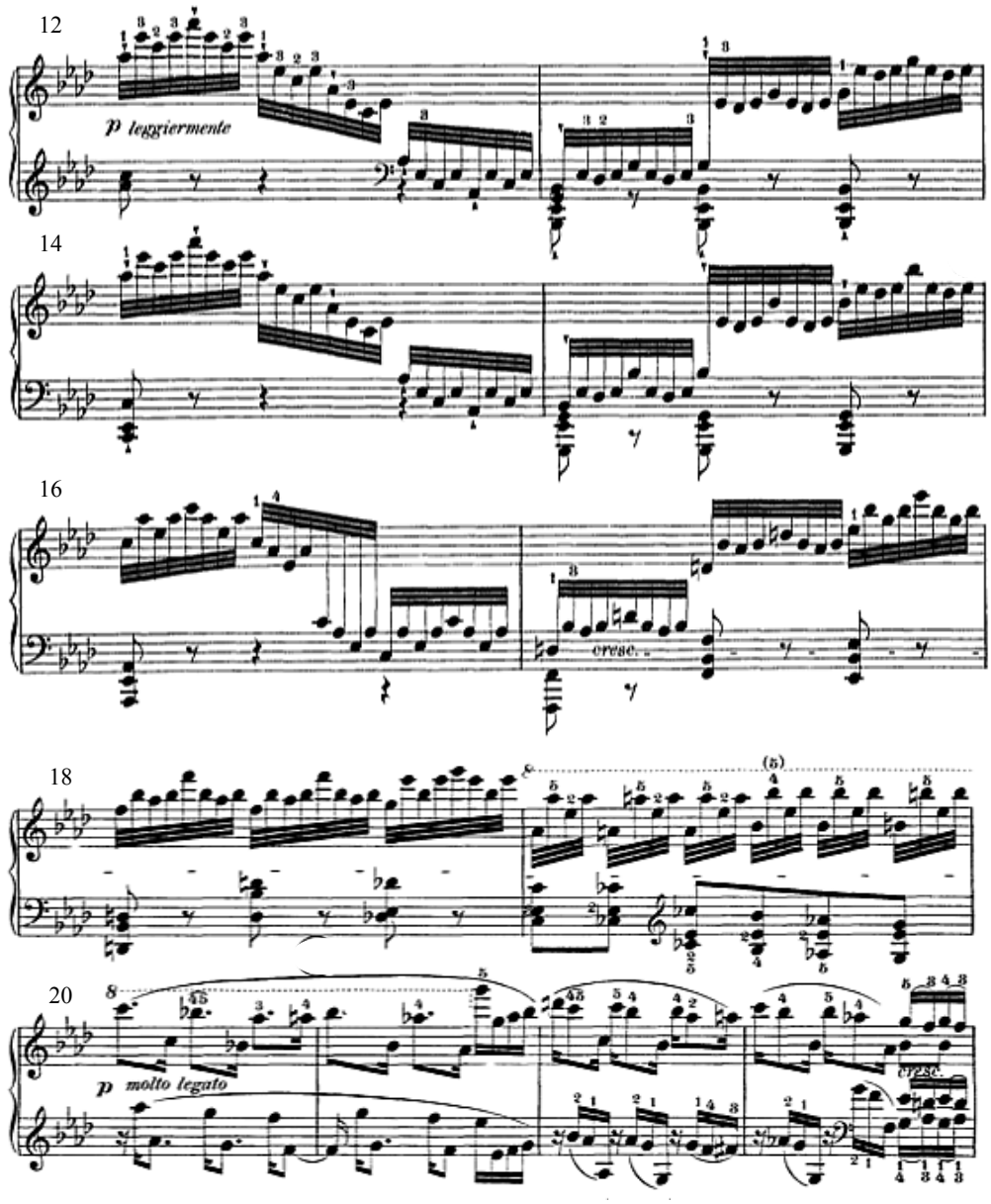
42 Schenker, *The Art of Performance*, 5–6. Emphasis author's.

43 Rothstein, “Heinrich Schenker as Interpreter,” 10.

Drawing from the same psychological considerations as *Harmonielehre*, *Kontrapunkt I*, and *Chromatic Fantasy and Fugue*, Schenker continues to differentiate between two types of dynamics, the physical and the psychological. For Schenker, the literal, acoustical meanings of *piano* and *forte* as weak and strong are not sufficient in the creation of good performances. Instead, the performer must be able to decide between dynamics as physical "quantities" and psychological "qualities" depending on the particular musical situation.[44] Since the second category is often overlooked by performers, Schenker commits to clarifying the concept in this section.

His first example of psychological dynamics occurs in the first movement of Beethoven's Op. 110, mm. 20–21 (Example 1.2). In this excerpt, Schenker constructs a dynamic reading by considering musical content based on formal, melodic, and registral context. In order to facilitate the dissipation of energy from the preceding transition section (mm. 12–19), he requires the performer to play the subsequent subordinate theme, labeled "*piano*" by Beethoven, with a psychological *forte*, an inner sense of intensity, strength, and motion.

44 Schenker, *The Art of Performance*, 39.



EXAMPLE 1.2: Beethoven, Op. 110, i, mm. 12–23.

Schenker then briefly contrasts this example of psychological *forte* with a description of its opposite, a psychologically-based *pianissimo*. He likens this type of dynamic category to the feeling of stillness and clarity rather than

dynamic weight. Schenker suggests that the framing sections of Wagner's Prelude to *Lohengrin* contain this type of psychological pianissimo, although he does not provide a detailed explanation of these moments.[45]

Following an introduction of the different categories of dynamics, Schenker describes more definitive types of dynamic interpretation. These include internal shadings between *piano* and *forte*, such as psychological levels of *mp* and *mf* in addition to *crescendi* and *decrescendi.* Schenker further categorizes internal shadings into two types, those specifically indicated by the composer and those hidden beneath the surface of the score. In the latter category of "freely executed" shadings, Schenker repeats his warning against excessive editorial dynamic markings:

> The attempt to add such shadings to editions of older masterworks is a grave error of certain editors. Once the performer sees them written out, the mere optical reflex tempts him to such a degree that he will exaggerate the nuance where, left to his own resources, he would surely be more restrained. After all, something must be left up to the performer![46]

This quotation has obvious connections to his philosophy on dynamics and music editing expressed in *Ein Beitrag zur Ornamentik* and *Chromatic Fantasy and Fugue*. Related to his critique on the limitations of musical notation, he notes that our notational system simply cannot express all the subtle delineations of dynamic levels required in performance: "Nuances of this kind

45 Ibid., 40.
46 Ibid., 42.

are as thoroughly undefinable as the vibrations in the rise and fall of the voice of an orator or actor and thus entirely defy a precise depiction."[47] Attempts to convey all of these details would result in undesirably over-saturated scores.

Once again, this leads us to ask how Schenker differentiates between hidden intentions that should be revealed in the score and meanings that should not be explicitly brought out. If an analytically-informed performer should be able to discern all of the composer's implied performance from the original score alone, why are certain editorial markings still necessary? This conflict between internal and external notation will feature prominently in the following two examples.

The texts examined so far illustrate how Schenker's psychological considerations in his theories also influenced his thoughts on performance. The psychological framework is particularly apparent in Schenker's appeal to the internal, experiential qualities of performing and listening exemplified in his theory of dynamics. In Schenker's concept of an inner understanding of *piano* and *forte*, his early philosophy of performance dynamics relies heavily on the descriptive metaphors such as the binary opposition between intense motion and stillness. The latter half of my chapter will discuss the shift in Schenker's explanatory method of performance dynamics from text-based, psychological metaphors to graphical representations associated with his later, organicist

47 Ibid.

perspective. This change undoubtedly parallels with the transformation of his analytical method from abundant prose to concise visual representations of compositions in the *Fünf Urlinie-Tafeln* [Five Graphic Analyses] (1932) and *Der freie Satz*.[48]

"Brahms's Variations and Fugue on a Theme by Handel, Op. 24"

Schenker's 1924 essay on "Brahms's Variations and Fugue" follows several important publications and discoveries in Schenker's career: his critical, explanatory editions [*Erläuterungsausgaben*] of Beethoven's Opp. 101, 109, 110, and 111, Beethoven's complete set of piano sonatas, and the invention of the *Urlinie* in 1920.[49] Like other analytical essays after the discovery of the *Urlinie*, "Brahms's Variations and Fugue" demonstrates a change in focus from the musical score to the voice-leading graph, and from psychology to organicism.

Prior to the publication of this text, Brahms's Op. 24 was already a well-established favourite in Schenker's teaching repertory.[50] The pedagogical focus of the essay is evidenced by the meticulous *Urlinie* tables, which align the measure numbers of each variation graph to aid comparison.[51] With these graphs and his

48 Schenker, *Five Graphic Analyses*, ed. Felix Salzer (New York: Dover, 1969).

49 Schenker, *Erläuterungsausgabe. Die letzten fünf Sonaten von Beethoven* [Explanatory Edition: The Last Five Sonatas of Beethoven], ed. Oswald Jonas, 4 vols (Vienna: Universal Edition, 1971–72); Ludwig van Beethoven, *Complete Piano Sonatas,* ed. Heinrich Schenker (New York: Dover, 1975), and Pastille, "The Development of the *Ursatz* in Schenker's Published Writings," in *Trends in Schenkerian Research*, ed. Allen Cadwallader (New York: Schirmer, 1990), 74.

50 Bent and Drabkin, general preface to *Der Tonwille*, 2:xiin18.

51 Bent, "Tonwille 8/9," Schenker Documents Online, accessed July 7, 2012, http://www.schenkerdocumentsonline.org/profiles/work/entity-001747.html

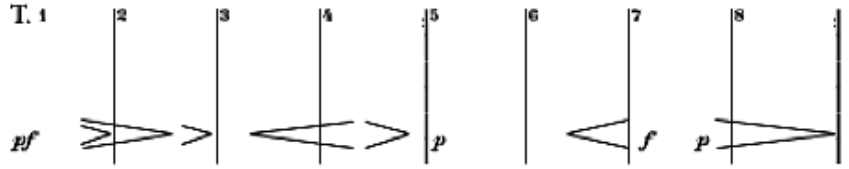
detailed, multi-level analysis of the work, Schenker leads his readers through a reading of profound, large-scale teleological growth in Brahms's succession of variations.[52] Adhering to his current analytical method, he investigates the work's inner, background connections first before discussing the various levels of middleground and foreground elaborations.

An equally meticulous and pedagogically-oriented study of performance follows. In comparison to Schenker's early writings, his discussion on performance and on editions of Brahms's Op. 24 illustrates similar concerns with textual accuracy and fidelity to musical content. His literature review critiques modern editions of the work in their overabundant markings. Here, he specifically takes aim at Alfred Reisenauer's version for failing to separate Brahms's original fingerings from additional markings.[53] For Schenker, this drastically affects the ability of a performer to connect with the true content of the work. To address these flaws, Schenker's performance commentary illustrates a deep connection between content and performance, particularly in his section on dynamic levels in Handel's theme.

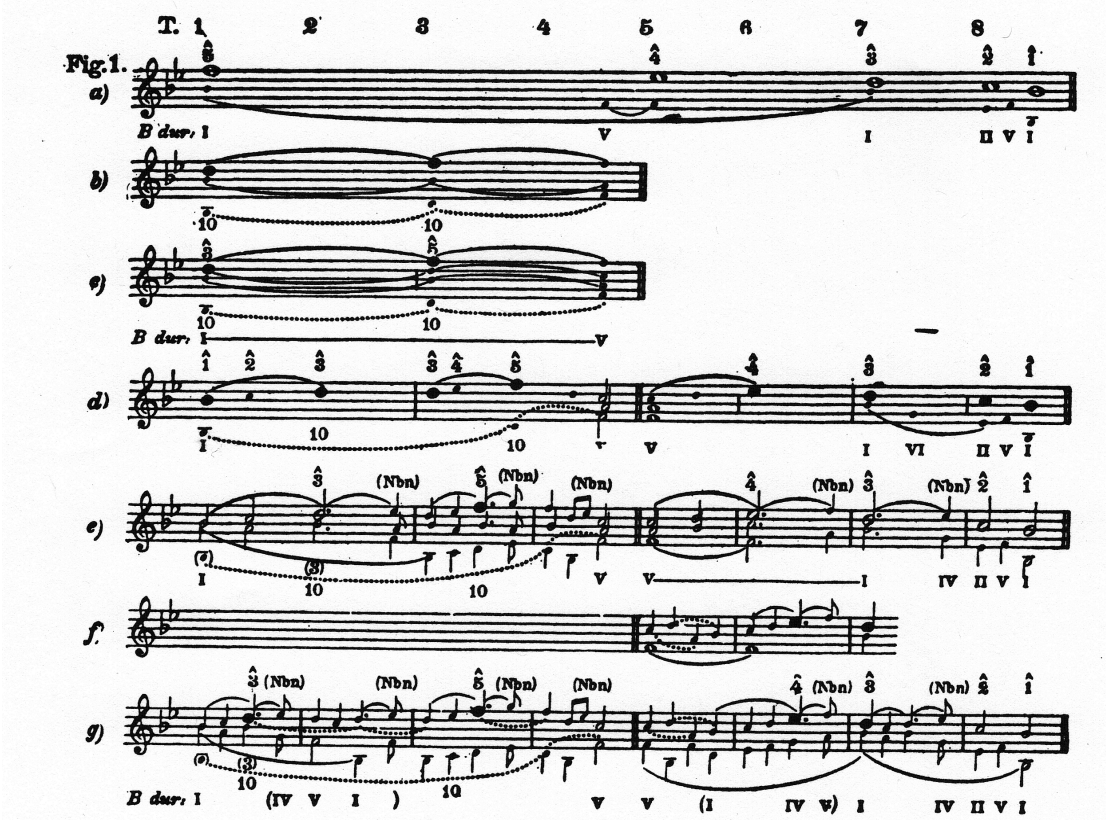
After noting that neither Handel or Brahms provide dynamics for the theme, Schenker provides his own markings rooted in his prior analysis of the composition. Connections between Schenker's multi-level perspective in his

52 Schenker, “Brahms's Variations and Fugue,” 105–6.
53 Ibid., 114.

analysis and in his performance suggestions are most apparent in his unique graphic representation of dynamics (Example 1.3a)

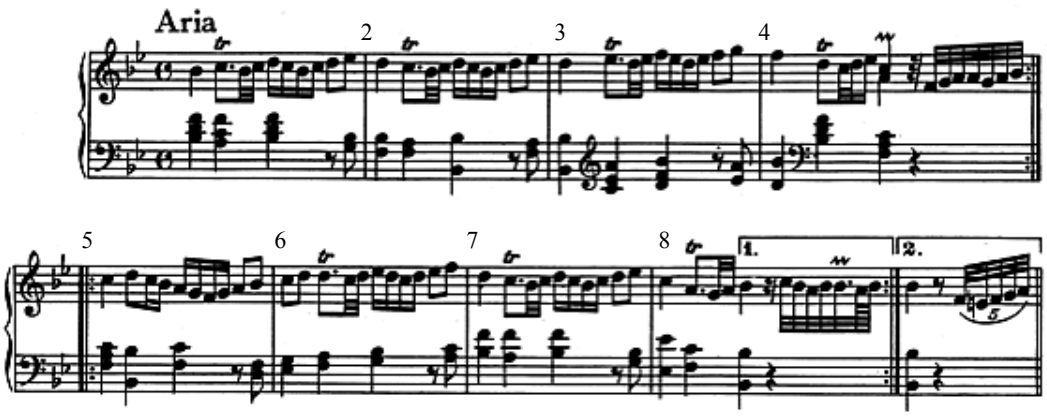


EXAMPLE 1.3a: Schenker's dynamic graph of Brahms, Op. 24, mm. 1–8.[54]



EXAMPLE 1.3b: Schenker's analysis of Brahms, Op. 24, mm. 1–8.[55]

54 Ibid., 107.
55 Ibid., 77.



EXAMPLE 1.3c: Brahms, Op. 24, mm. 1–8.

The relationship between structure and performance dynamics is exemplified in the nesting of two decrescendos at the end of m. 1, where Schenker indicates two simultaneous but different levels of dynamics. The large decrescendo that extends halfway through the second measure marks a higher-level process, a decline in intensity after $\hat{3}$ of the initial ascent reappears on the fourth beat of m. 1. The smaller decrescendo accompanies the upper neighbour, $E^{\flat}$, of $\hat{3}$, a more foreground prolongation.

Although Schenker's dynamic graph is considerably innovative, the diagram alone does not communicate the same level of proficiency as his voice-leading graphs. Instead, he still relies heavily on prose to situate his observations on dynamics. The graph itself appears to only communicate background and middleground connections (Example 1.3b). For example, the growth in intensity toward the arrival of the *Kopfton*, $\hat{5}$, in m. 4, and the crescendo that marks the

Urlinie descent from the structural $\hat{4}$ to $\hat{3}$ from the end of mm. 6–7 emphasize significant structural events.

The graph also reveals higher-level formal events. Schenker's *forte* indication at m. 7 strongly marks the large-scale return of the A section of the theme's tripartite (ABA`) structure in addition to the arrival of the structural $\hat{3}$. He further emphasizes this measure in his commentary by stating that the performer should play the left hand "like a horn part," possibly with a contrasting tone and increased dynamic intensity. This instruction allows the performer to highlight the subtle change in the left-hand accompanimental texture from a triad on the first beat of m. 1 to an open fifth in m. 7.

An examination of Schenker's text shows more foreground observations which correspond with the markings in the graph. For example, the performer should emphasize the motivically-related upper neighbour $E^{\flat}$ in mm. 1 and 2 with accents. The connection between the pair of ascending third-progressions in m. 3 and the third-progressions derived from the initial arpeggiation from mm. 1–4 should be brought out with mini-crescendi from mm. 3–4.

Despite the clarification provided by Schenker's commentary, a rift results between his graphical system of dynamics and his overall analytical theory. As previously noted, Schenker does not provide foreground dynamic events in his graph. While this does not align with his analytical method, where connections

between levels are explicitly shown, it does conform to Schenker's philosophy of editing and performance from *Ein Beitrag* and the *Chromatic Fantasy and Fugue.* By only revealing background dynamics, Schenker resists visually overwhelming his performer. This perspective provides a possible solution to our previous question: How does an editor decide between hiding or revealing certain analytical observations? From this graph, it appears that dynamics which align with more structural events should have priority.

"Bach's Largo from Sonata No. 3 for Solo Violin, BWV 1005"

Schenker's theory of dynamic levels culminates in his pair of essays from 1925 on Bach's Largo from BWV 1005 and Bach's Prelude to Partita No. 3 for Violin, BWV 1006. While Schenker groups these two analyses together in his writings, I will focus on the first article where he explicitly states his agenda on dynamic levels:

> In my forthcoming treatise, *Die Kunst des Vortrags*, it will be systematically shown for the first time that dynamics, like voice-leading and diminution, are organized according to structural levels, genealogically, as it were. For each level of voice-leading, whether background or foreground, and for each level of diminution, there is a corresponding dynamic level of the first order, second order, and so forth.[56]

As Esser and Charles Burkhart have both observed, this promised systematic method does not appear in the published version of *Die Kunst des Vortrags*, where, as previously stated, Schenker's mature theoretical ideas on

56 Schenker, "Bach's Largo," 37.

musical structure are also generally not featured.[57] Before discussing Schenker's abandonment of this theory of structural dynamics, I will examine how Schenker attempts absolute synthesis between analytical observations on content and performance in "Bach's Largo from BWV 1005." I will also reveal connections to his earlier writings on performance.

Noticeably, Schenker discards the separate graphing system of dynamics from his essay on Brahms's Op. 24. Instead, he combines the level of dynamic markings with his voice-leading graph, thereby highlighting the unified and vital connection between dynamics and musical structure. Schenker's foreground and middleground graphs of the movement are reproduced in Examples 1.4a and 1.4b respectively.

Schenker's foreground graph visually separates his two levels of dynamics. The higher-level dynamic markings, which he calls "primary dynamic shadings" are located at the bottom of the staff, while the more subordinate or "inner shadings" are relegated to above the staff. The division of levels continues in his multi-level graph where Schenker eliminates the foreground dynamics in his middleground analysis.

Schenker's commentary reveals a separation of musical levels as well.

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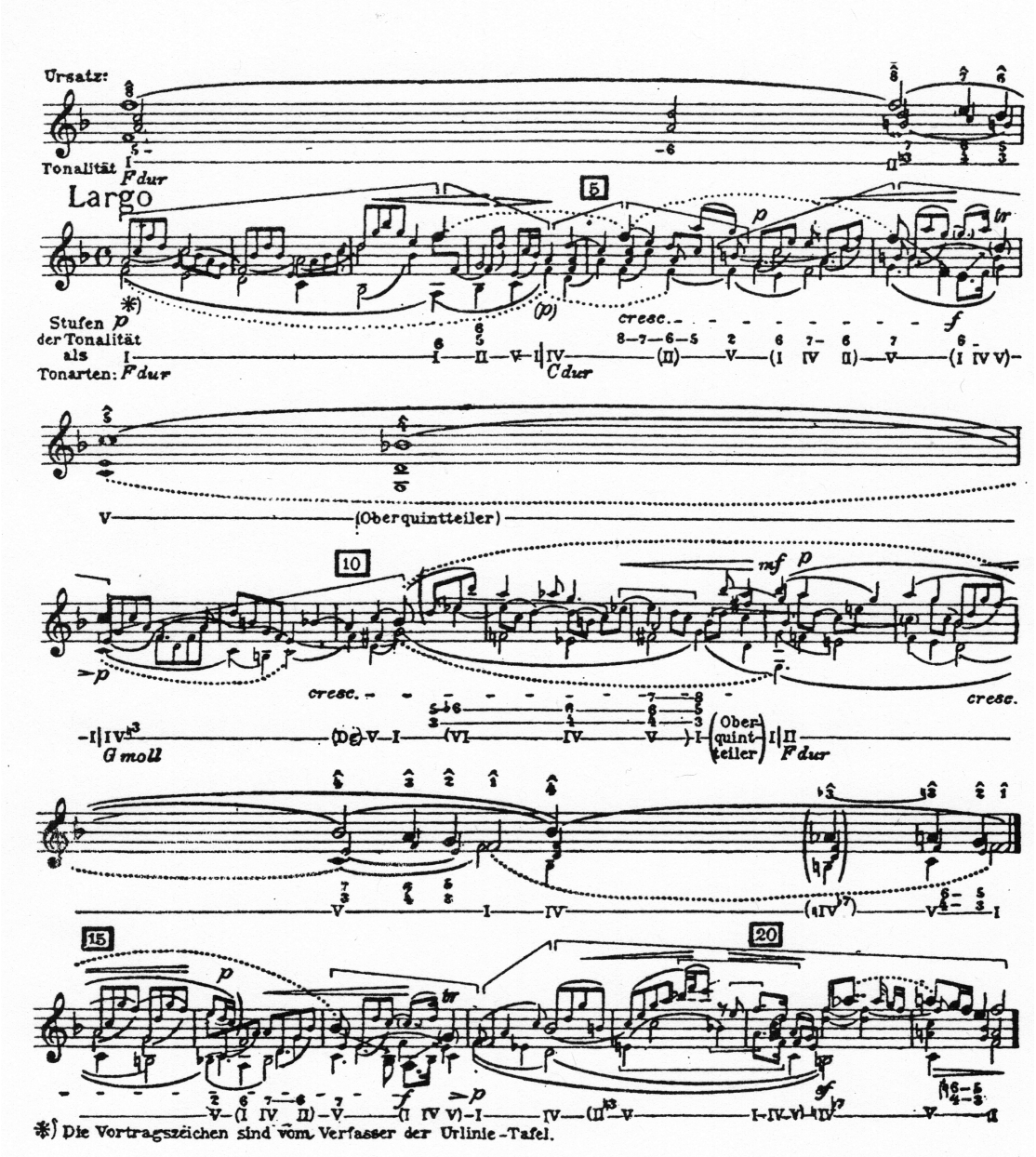
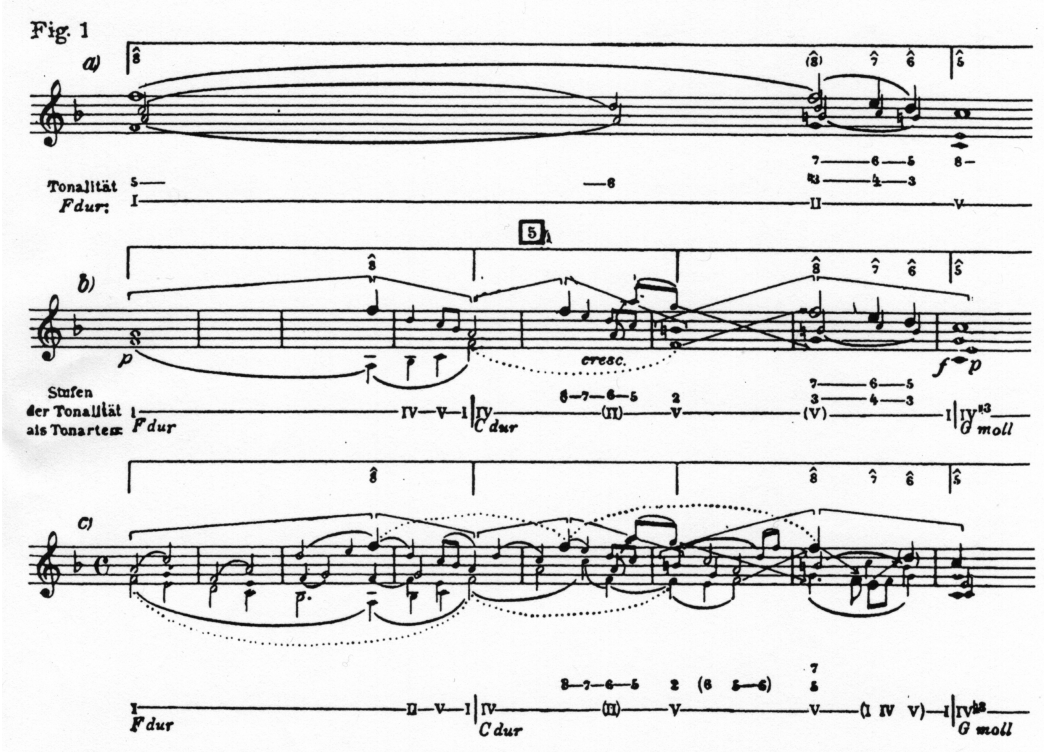
57 Esser, editor's translation to *The Art of Performance*, xv; Charles Burkhart, "Schenker's Theory of Levels and Musical Performance," in *Aspects of Schenkerian Theory*, ed. David Beach (New Haven: Yale University Press, 1983), 112n13. Future research may clarify the development of these ideas in *Die Kunst* through an investigation of Schenker's numerous unpublished notes on performance.

After dividing the movement into two large formal sections, mm. 1–8 and 8–18, he then discusses the performance suggestions for each part methodically from background to foreground. In particular, he moves from an explanation of the primary dynamic shadings before elaborating with observations on the inner shadings. This process parallels the clearer demarcation of levels in his preceding text on the movement's musical structure, where he categorizes his observations into first-, second-, and third-order events.

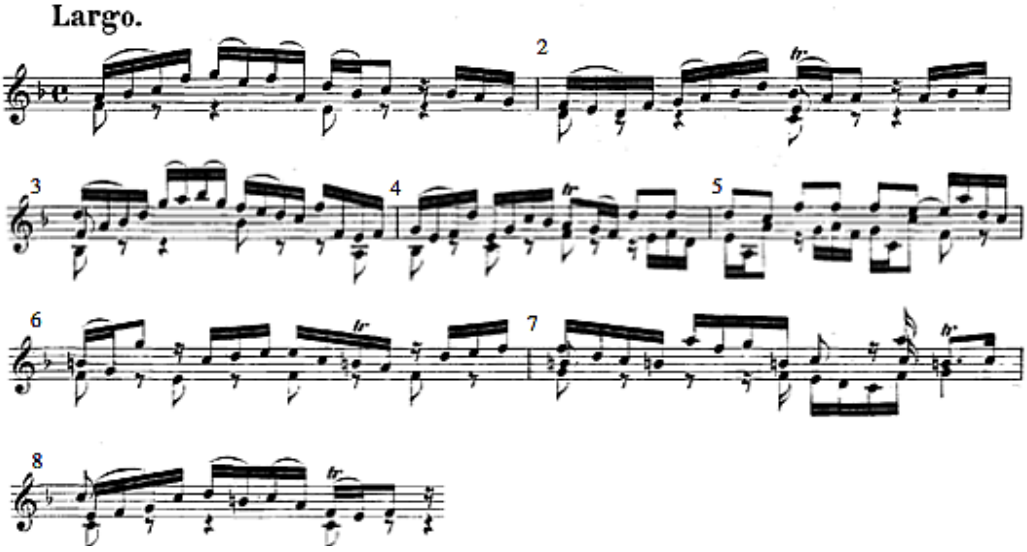


EXAMPLE 1.4a: Schenker's foreground graph with multi-level dynamics of Bach, BWV 1005, Largo.[58]

58 Schenker, "Bach's Largo," 35.



EXAMPLE 1.4b: Excerpt from Schenker's multi-level graph of Bach, BWV 1005, Largo.[59]



EXAMPLE 1.4c: Bach, BWV 1005, Largo.

59 Ibid., 32–33.

To illustrate Schenker's multi-level observations on dynamics, I will briefly describe his comments on the first section of the work from mm. 1–8. At the first level, Schenker reveals an underlying I–II♯$^{7}_{5}$–V progression. To emphasize this harmonic motion, he suggests that the performer start with a softer dynamic level. This prepares the required crescendo which expresses the descent of the *Kopfton*, F, in m. 5 to B♮ and II♯$^{7}_{5}$ in m. 7. This growth in intensity should continue to *forte* in order to support the cadence in C major, V of the home key, in m. 8. For the foreground, Schenker adds a small-level crescendo and decrescendo around the dissonant ii$^{6}_{5}$ harmony in m. 4. Since this is a foreground-level event, the crescendo and decrescendo should remain within the range of the softer, primary dynamic level. Beyond these requirements, Schenker suggests that even more surface-level dynamic nuances are available to the performer through further, individual study of the work.

Overall, Schenker's structural dynamics in "Bach's Largo" aligns with his mature analytical theory, where the background level depicts longer-range dynamics and foreground events contain lower-level gradations. But as Burkhart notes, the idea of structural dynamics disappears shortly after this essay.[60] What motivated Schenker's renunciation of this theory in the final decade of his

60 Burkhart, "Schenker's Theory of Levels and Musical Performance," 112n13. Schenker's last references to structural dynamics appear in the second volume of *Das Meisterwerk* in his analyses of Bach's Sarabande from BWV 1009, Mozart's Symphony in G minor, K. 550, and Haydn's *Creation*. Schenker, *The Masterwork in Music: A Yearbook*, ed. William Drabkin, trans. Ian Bent, William Drabkin, John Rothgeb, and Hedi Siegel (Cambridge: Cambridge University Press, 1996), 2:58, 78–81, 85–86, 96, 102.

career? I suggest that the answer lies in a contradiction between this theory and Schenker's philosophy of performance.

First, an incorporation of dynamic markings in the graph itself counters Schenker's editorial policy against extraneous performance indications. An examination of Schenker's contemporary articles on performance and editing including "Genuine versus Sham Effects," "True Performance," and "Abolish the Phrasing Slur" show that his thoughts on editing still reflect his early opinions from *Ein Beitrag* and the Chromatic Fantasy and Fugue.[61] A score should contain minimal editorial markings in order to avoid misdirecting the performer away from the work's structure. Second, according to his mature analytical theory, musical content, the source of all of a performer's interpretations, should already be adequately expressed in the voice-leading graph.[62] Therefore, dynamic indications in the graph, which should arise from the work's voice-leading structure, would be extraneous and unnecessary. The visual clutter and redundancy of structural dynamics may have led to Schenker's desertion of the theory of structural dynamics. Although Schenker's attempt at producing a theory of synthesis between structure and dynamics was ultimately

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61 Schenker, "True Performance," in *Der Tonwille*, ed. William Drabkin, trans. Robert Snarrenberg (Oxford: Oxford University Press, 2005), 2:31–34; Schenker, "True Performance," in *Der Tonwille*, ed. William Drabkin, trans. Robert Snarrenberg (Oxford: Oxford University Press, 2005), 2:115–18; and Schenker, "Abolish the Phrasing Slur," in *The Masterwork in Music: A Yearbook*, ed. and trans. William Drabkin (Cambridge: Cambridge University Press, 1994), 20–30.

62 See Schenker, foreword to *Five Graphic Analyses*, 9.

unsuccessful, nevertheless, it illustrates a consistent trend in the fundamental tenets of Schenker's philosophy of performance: the importance of analysis and musical content.

In my investigations of the four texts above, I have examined the unchanging centrality of content amidst external changes to Schenker's explanatory models. Schenker's early foreground analyses provide an important context for his editorial and performance suggestions in *Chromatic Fantasy and Fugue* and *Die Kunst*. His later analytical model—based on the organic coherence presented in the voice-leading graph—facilitated his large-scale, multi-level dynamic indications in "Brahms's Op. 24" and "Bach's Largo." When considered together, Schenker's comments on performance in these publications remain consistently rooted in the absolute authority of a work's compositional meaning. This content-focused approach raises two issues.

First, his method of performance requires a restrictive relationship between performance and analysis. A performer must always rely primarily on analytical observations to inform their interpretations. As previously noted, scholars such as Lester, Cook, and Rink have challenged Schenker's limiting, subordinate role for performers since it denies multiple, personal interpretations.[63]

63 Lester, "Performance and Analysis," 210–14; Cook, "Analysing Performance, Performing Analysis," 241, 246–47; John Rink, "Analysis and (or?) Performance," 38–39

Second, Schenker allows only one true analytical interpretation of a work to clarify and instruct the performer's decisions. But what happens when content itself is ambiguous? How does one construct a performance in this situation? In the following chapter, I will examine how the *a priori* status of analysis and musical content becomes problematic in the performance and analysis of an ambiguous work, the first movement of Beethoven's Op. 90.

Chapter Two: Schenkerian Performance and Analysis of Beethoven, Op. 90, First Movement, Part I

As revealed in Chapter One, Schenker's philosophy of performance centres on the authority of intrinsic and indisputable musical content. In order to create a proper performance, a performer must first develop a thorough knowledge of compositional laws and the composer's specific intentions. The reliance of Schenker's model on clearly defined content encounters a methodological problem when a work's structure resists a straightforward Schenkerian interpretation. In this chapter, I provide a concrete example of a work which poses such obstacles to Schenker's model of performance and analysis, the first movement of Beethoven's Piano Sonata in E minor, Op. 90.

This composition is an ideal example for my investigation because Schenker himself encountered analytical difficulties in relation to the work's voice-leading structure and form, as evidenced by his unpublished conflicting graphs of the work housed in the Ernst Oster Collection. Aside from these graphs, an examination of other documents from Schenker's *Nachlass* suggests that he was well-acquainted with the work in his capacity as a music editor and pianist. These connections to performance are apparent in his published edition of the sonata and performance annotations from his personal library currently found in the Oswald Jonas Memorial Collection at the University of California at Riverside.

To examine how Schenker mediated issues of structure and performance, I focus on two sections of the movement, the exposition's transition and the end of the development, which presented structural and formal ambiguities in Schenker's analyses and performance annotations. The clash between the movement's fundamental structure and its formal design in these two passages provides a unique opportunity to evaluate Schenker's analytical theory of form as it relates to his philosophy of performance. Drawing from the conclusions of this investigation, Chapter Three will further examine the relationship between Schenkerian analysis and performance in Op. 90 by incorporating current revisionist Schenkerian theories that explore the question of multiple analytical and performance interpretations of a work.

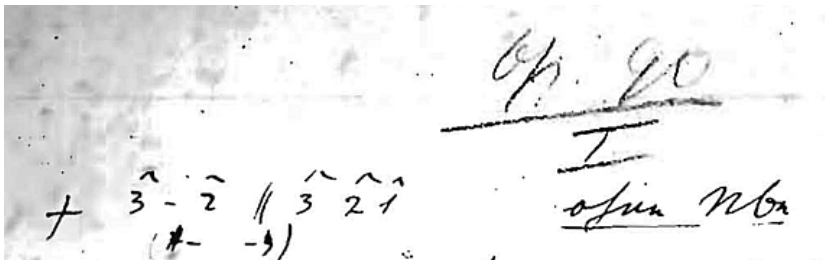
Schenker's Analyses: Historical Background

Prior to a discussion of Schenker's analyses, I will contextualize these documents within his theoretical development. Schenker's unpublished graphs of the first movement, stored in file 64 of the Oster Collection, contain analyses in various states of completion including rough sketches, one complete graph in Schenker's hand, and two clean copies by his pupil and assistant, Angelika Elias.[1]

1 See William Drabkin, "Felix-Bernhard von Cube and the North-German Tradition of Schenkerism," *Proceedings of the Royal Musical Association* 111 (1984–85): 184–58; and "A Lesson in Analysis from Heinrich Schenker: The C-Major Prelude from Bach's Well-Tempered Clavier, Book I," *Music Analysis* 4 (October 1985): 252–55, 257n13. In the first article, Drabkin proposes that Elias had a larger role in Schenkerian theory than previous scholarship has observed. In particular, he cites private correspondence with another pupil, Felix-Eberhard von Cube, which states that it was Elias who suggested separating structural notes with hollow noteheads and beams—An essential and defining feature in Schenker's system of analysis. See also Michaela Rejack, "Introducing Angelika Elias—A Discovery in Schenkerian Studies,"

Although these items are undated, earlier research on Schenker's diaries and correspondence suggests that these analyses were completed between approximately 1927 and 1930 due to the more mature theoretical concepts and notation symbols located in the graphs.[2] However, further examination of Schenker's contemporary theories shows that some of Schenker's graphs may have been produced after 1930. The relationship between Schenker's concept of interruption and sonata form is particularly revealing in my argument for a later dating of these documents.

The majority of Schenker's graphs in items 64/122, 64/127, and 64/128 contain interruption symbols. Example 2.1 illustrates Schenker's use of the symbol, a pair of vertical lines (||), in his notes on the movement. Example 2.2 shows a foreground interruption in one of his sketches of the main theme.

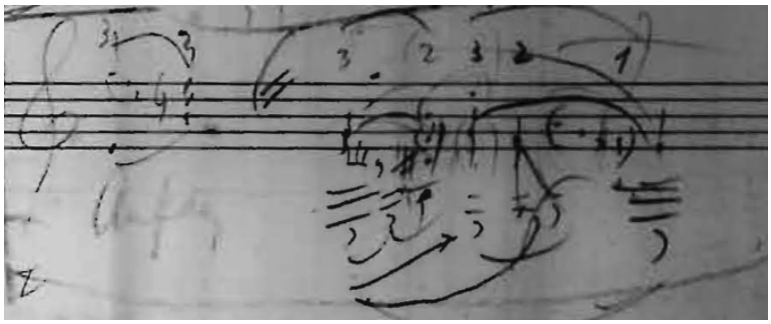


EXAMPLE 2.1: Schenker's structural summary of Beethoven, Op. 90, i.[3]

MMusic thesis, Ohio State University, 2004.

2 Treber, "Schenkerian Analysis of Beethoven's Op. 90," 46–47.

3 Schenker, analysis of Beethoven's Op. 90, n.d. Ernst Oster Collection, New York Public Library, 64/122, recto.



EXAMPLE 2.2: Schenker's foreground sketch of Op. 90, i, main theme, mm. 1–24.[4]

While the fundamental tenets of interruption can be located in Schenker's analyses from as early as 1922, he further developed the concept between the publication of his second and third volumes of *Das Meisterwerk* between 1926 and 1929.[5] Schenker's first published analysis that includes the interruption symbol is his extensive essay on Beethoven's Eroica Symphony from the final volume of *Das Meisterwerk* in 1930.[6]

Despite this innovation, Roger Kamien notes that Schenker did not fully clarify the concept and its relationship to sonata form until *Der freie Satz* in 1935.[7] In my investigation of Schenker's graphs below, I suggest that his analytical struggle with the composition resonates more with this later theory of sonata form which I will briefly summarize below.

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4 Ibid., 64/124, recto.

5 Roger Kamien, review of *The Masterwork in Music: A Yearbook*, by Heinrich Schenker, ed. and trans. William Drabkin, trans. Ian Bent, John Rothgeb, and Hedi Siegel, *Journal of Music Theory* 45 (Spring 2001): 163–65.

6 Schenker, *The Masterwork in Music*, 3:10–11.

7 Kamien, review of *The Masterwork in Music*, 164. See also Schenker, *Free Composition*, §87–§101 (interruption in general) and §312–§315 (interruption in sonata form).

In *Der freie Satz*, Schenker introduces a formal theory based on a hierarchical division between internal structure derived from voice-leading and external design tied to a traditional focus on themes and melodies.[8] For Schenker, sonata form's apparent tripartite organization, outlined by the exposition, development, and recapitulation sections, derives from an underlying two-part interrupted structure.[9]

Although he aimed to separate his formal theory from prior views, Charles J. Smith and David Beach observe that connections between Schenker's thoughts and older theories remain in *Der freie Satz*.[10] Beach, for example, states that Schenker's higher-level formal structures often accommodated the more established conceptualizations of form at a lower level.[11] In the case of sonata form, Schenker acknowledged its tripartite organization in his structural model.

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8 "All forms appear in the ultimate foreground, but all of them have their origin in, and derive from, the background." Schenker, *Free Composition*, §306. To contrast Schenker's approach, see A. B. Marx, "Form in Music," in *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 55–90; and Marx, "*A Practical and Theoretical Method of Musical Composition*, vol. 3: Selected Excerpts," in *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 91–154.

9 Prior to Schenker's introduction of interruption to sonata form, he was already seeking a way to reconcile his theory of organic structure with the formal genre: "The concept of sonata form, as the theorists have taught it until now, lacks precisely the essential feature—that of organicism—which alone is determined by the creation of the parts from the unity of the principal triad." Schenker, "Organicism in Sonata Form," *The Masterwork in Music: A Yearbook*, ed. and trans. William Drabkin (Cambridge: Cambridge University Press, 1996), 23.

10 Charles J. Smith, "Musical Form and Fundamental Structure: An Investigation of Schenker's *Formenlehre,*" *Music Analysis* 15 (July–October 1996): 191–297; and David Beach, "Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure," *Music Theory Spectrum* 15 (Spring 1993): 1–18.

11 Beach, "Schubert's Experiments," 4.

The exposition presents a descent of the fundamental line to $\hat{2}$ over a tonicization of V in the subordinate theme. The development section prolongs $\hat{2}$ and transforms V from a local tonic back to V of the home key. Finally, an interruption occurs, after which the recapitulation restates the descent and brings the line to complete closure. From this explanation, a fundamental binary structure results. Since the development functions primarily as an extension of the structural $\hat{2}$ already attained in the exposition, it becomes subsumed by the first part of the structure.

Schenker's requirement of interruption in sonata form has been challenged by Ernst Oster, Irna Priore, and Beach as too restrictive since not all works of this formal type contain clear interruptions at the point of recapitulation.[12] The problematic sections in Schenker's graphs of the first movement of Op. 90 reveal the tension between his new theory of sonata form as a two-part interrupted structure and its traditional three-part formal labels.

An investigation of his personal score collection located in the Oswald Jonas Memorial Collection may also extend Schenker's analytical observations to an earlier point in his career. Schenker's five copies of Op. 90 contain numerous revealing analytical and performance annotations. Of these five scores, four are copies of Schenker's own edition published by Universal Edition in

12 See Oster's lengthy footnote in Schenker, *Free Composition*, 139–41. See also Irna Priore, "Further Considerations of the Continuous $\hat{5}$ with an Introduction and Explanation of Schenker's Five Interruption Models," *Indiana Theory Review* 25 (Spring–Fall 2004): 115–38; and Beach, "Schubert's Experiments with Sonata Form."

1923, while the remaining score is of Breitkopf & Härtel's 1898 Urtext version edited by Carl Krebs.[13]

While the Breitkopf & Härtel edition contains many of Schenker's unique markings in coloured pencil, the annotations from his own edition are especially revealing. As Rothstein notes in his study of these documents, Schenker's markings from his Universal Edition collection provide the most insight since they were Schenker's latest observations from 1921 to 1923.[14] As well, the article also points out that since Schenker's edition already reflected his editorial decisions, he was free to devote more of his annotations to analytical and performance concerns.[15] Together, Schenker's earlier performance annotations from 1923 and his mature analytical graphs from 1930 onwards show a lengthy engagement with the first movement of Op. 90. Since Schenker's graphs provide a more detailed view of his analytical perspective, I will consider his later analyses first before returning to these score annotations.

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13 Beethoven, *Sonaten für Clavier*, ed. Carl Krebs, 3 vols. (Leipzig: Breitkopf & Härtel, 1898). Within the four versions of Schenker's Op. 90 edition, only the first contains a date, "8./X, 1923" and Schenker's signature. The second and fourth copies are undated while the third is posthumously dated "28.II.1935" by the engraver. There is a discrepancy between my interpretation of the date of the first copy above and the finding list for the Oswald Jonas Memorial Collection, which reads "8.IX.1923." I believe that my reading aligns more with other primary documents at the time. In particular, Schenker's letter to Hans Weisse from September 19, 1923 notes that he had only recently submitted the first proofs for Op. 90. Therefore, he would not have had a copy of his edition to annotate yet by the date suggested by the finding list. My interpretation is also confirmed by a diary entry from the same date, October 8, 1923, which notes that he received a copy of his edition that morning. See Schenker to Hans Weisse, 19 September 1923, Oswald Jonas Memorial Collection, 5/45 [3]; and Schenker, diary entry, 8 October 1923, Oswald Jonas Memorial Collection.

14 William Rothstein, "Heinrich Schenker as Interpreter," 5.

15 Ibid.

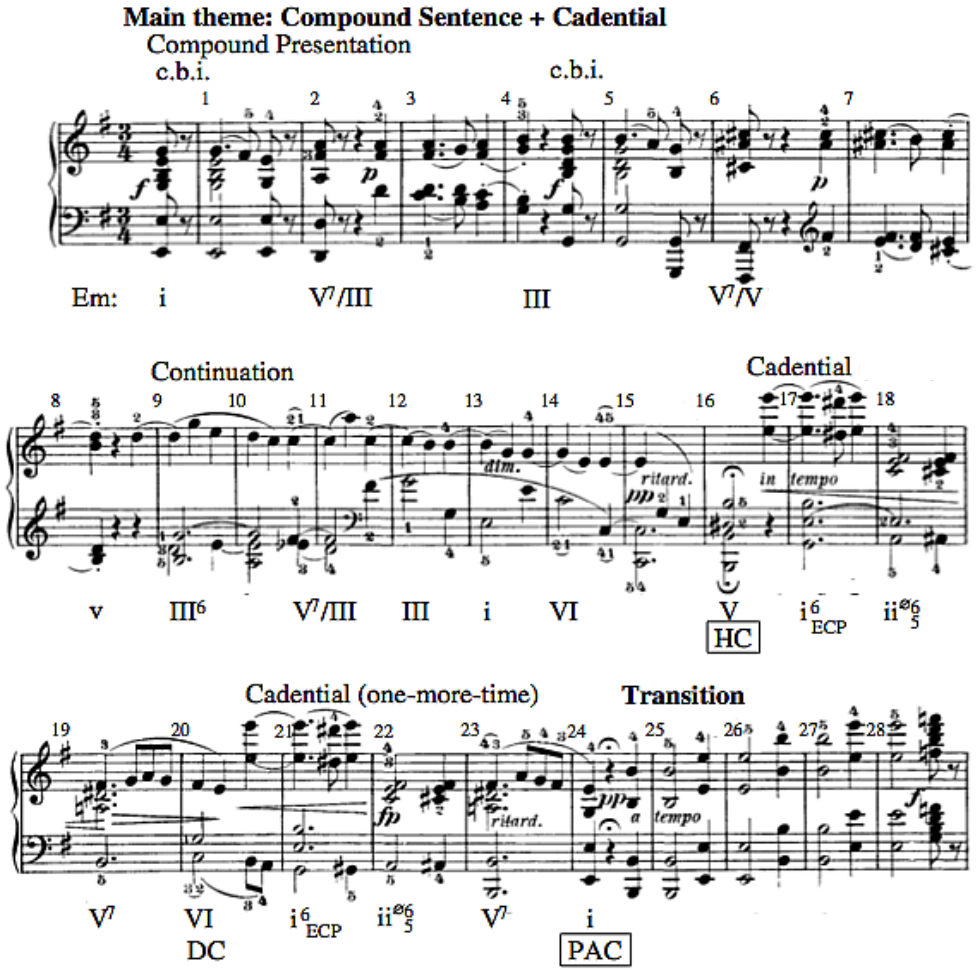
A Formal Outline of Op. 90, First Movement

To prepare my examination of the formal and structural issues in Schenker's analyses, I will first clarify the overall organization of the movement (Example 2.3). At first glance, the first movement of Op. 90 appears to conform to the typical expectations of sonata form. However, a closer examination reveals some puzzling formal procedures. Specifically, the blurring of formal functions (beginnings, middles, and ends of formal sections) and boundaries through unexpected harmonic events features prominently in the movement. This tendency toward ambiguous harmonic and thus formal moments is exemplified by the obscured division between the transition and subordinate theme in the exposition and the unresolved cadential $\frac{6}{4}$ at the end of the development. My discussion will focus on these two peculiar moments.

Exposition (mm. 1–84)		
	Main Theme	1–24
	Transition	25–54
	Subordinate Theme	55–67
	Closing Section	67–84
Development (mm. 85–143)		
Recapitulation (mm. 144–222)		
	Main Theme	144–67
	Retransition	168–97
	Subordinate Theme	198–214
	Closing Section	214–22
Coda (mm. 223–45)		

EXAMPLE 2.3: Formal outline of Beethoven, Op. 90, i.

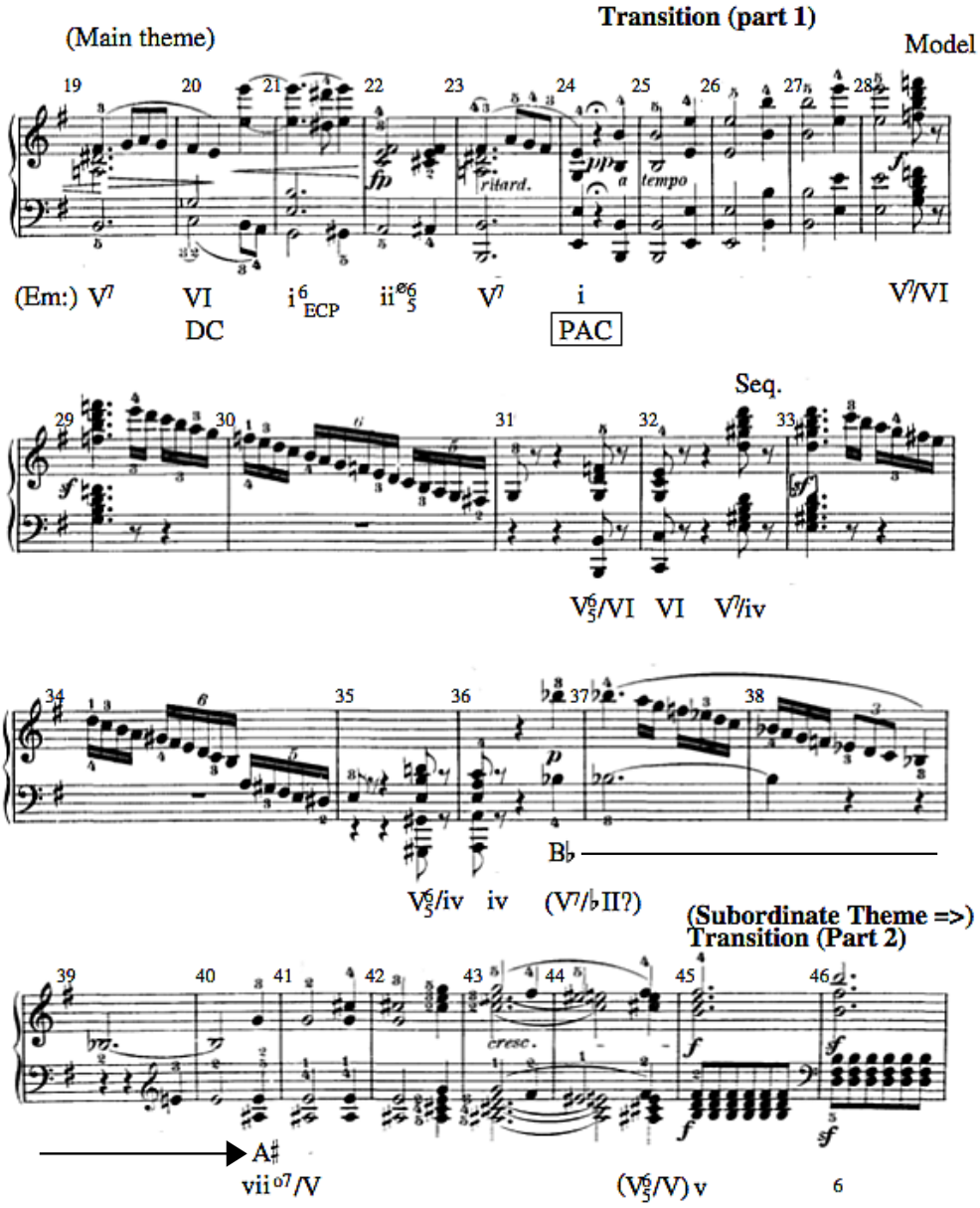
The exposition consists of a main theme, two-part transition, and a subordinate theme. The main theme contains two sub-sections, a compound sentence from mm. 1–16 and two statements of a new cadential phrase from mm. 17–24 (Example 2.4). The first cadential phrase, from mm. 17–20, ends deceptively while the second, mm. 21–24, closes the main theme with a perfect authentic cadence in the home key, E minor.



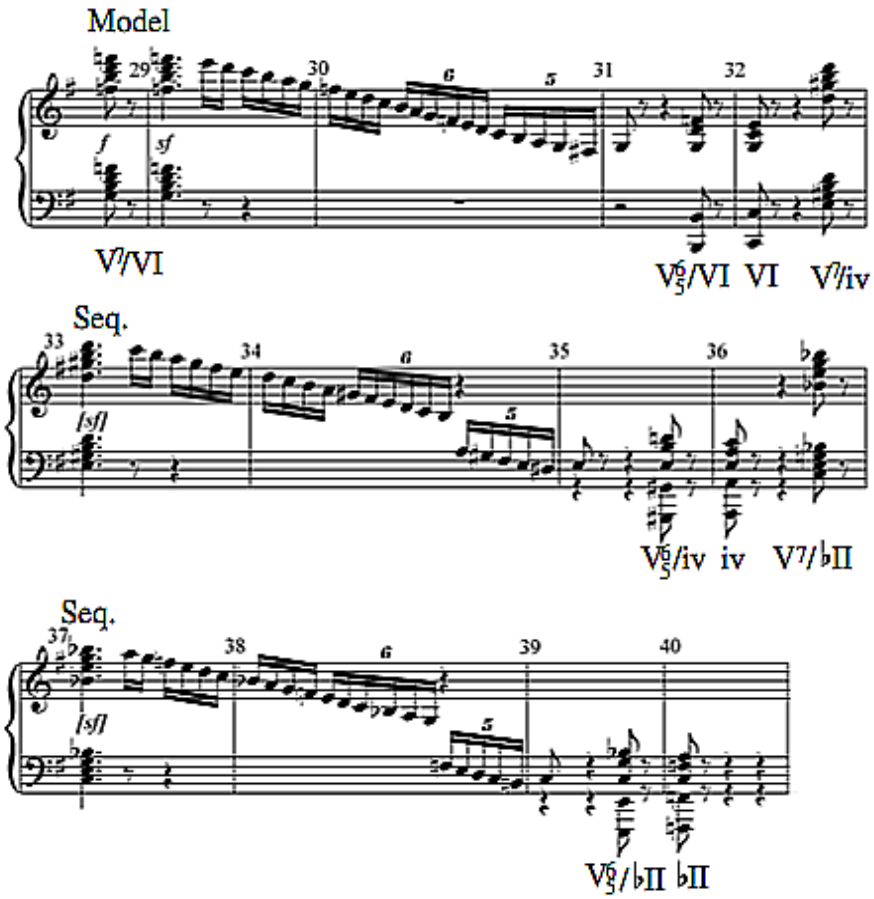
EXAMPLE 2.4: Beethoven, Op. 90, i, main theme, mm. 1–24.

A transition immediately follows the main theme at the pick-up to m. 25 (Example 2.5a). Beethoven's subversion of typical harmonic and formal processes in this section are reflected in the first point of conflict in Schenker's graphs. The beginning of the transition features a descending-third sequence (mm. 29–36) which passes through VI and iv. Beethoven tonicizes both of these harmonic regions with applied dominant-seventh harmonies.

Although the sequence breaks in m. 37, its ending is initially obscured. This ambiguity is created by Beethoven's enharmonic reinterpretation of B♭ from mm. 37–44. Although B♭ initially suggests the applied dominant-seventh harmony of ♭II, the logical continuation of the descending-third sequence, Beethoven subverts this expectation by transforming B♭ into A♯, the leading tone of B minor. To contrast Beethoven's compositional procedure at this moment, Example 2.5b illustrates a hypothetical continuation of the sequence at m. 37. The real meaning of B♭ is clarified as Beethoven gradually reveals the chordal members of vii^{o7} of B minor, A♯–C♯–E–G, from mm. 41–44.



EXAMPLE 2.5a: Beethoven, Op. 90, i, excerpt from transition, mm. 19–46.



EXAMPLE 2.5b: Recomposition of Beethoven, Op. 90, i, transition, mm. 29–40.

This significant moment is further intensified by a number of rhetorical features. First, Beethoven highlights the arrival of B♭ in m. 37 by altering the dynamic level from the *forte* of the previous sequential statements to *piano*. Second, B♭ is marked by its contrasting sparse texture in comparison to the full dominant-seventh chords at the beginning of the previous sequential units.[16] Finally, Beethoven indicates a crescendo in m. 43, the point when the music

16 See mm. 29 and 33.

returns to a fuller, chordal texture and the genuine meaning of B♭ as A♯ is fully revealed.

The gradual unfolding of the applied vii^{o7} harmony resolves to an arrival in the subordinate key, B minor, in m. 45 (Example 2.6). While the articulation of B minor initially suggests the beginning of the subordinate theme, a consideration of William Caplin's formal functions reveals ambiguous formal boundaries.[17] The material at m. 45 lacks an initiating function generally associated with the beginning of a theme. Instead, the theme starts *in medias res* with continuational characteristics exemplified by a 6–6 linear intervallic pattern (L.I.P.) in mm. 47–50.[18] While the omission of initiating function is not uncommon in subordinate themes due to their looser formal organization, the formal and harmonic context of this passage appears to emphasize ambiguity.[19] Specifically, the meaning of the passage is further obscured by the ending of the L.I.P which arrives at another, more emphatic standing on the dominant from mm. 53–54. This dominant arrival, coupled with the continuational characteristics of the passage so far, retrospectively suggest a prolongation of a two-part transition. This reading is supported by the introduction of contrasting subordinate thematic material in m. 55.

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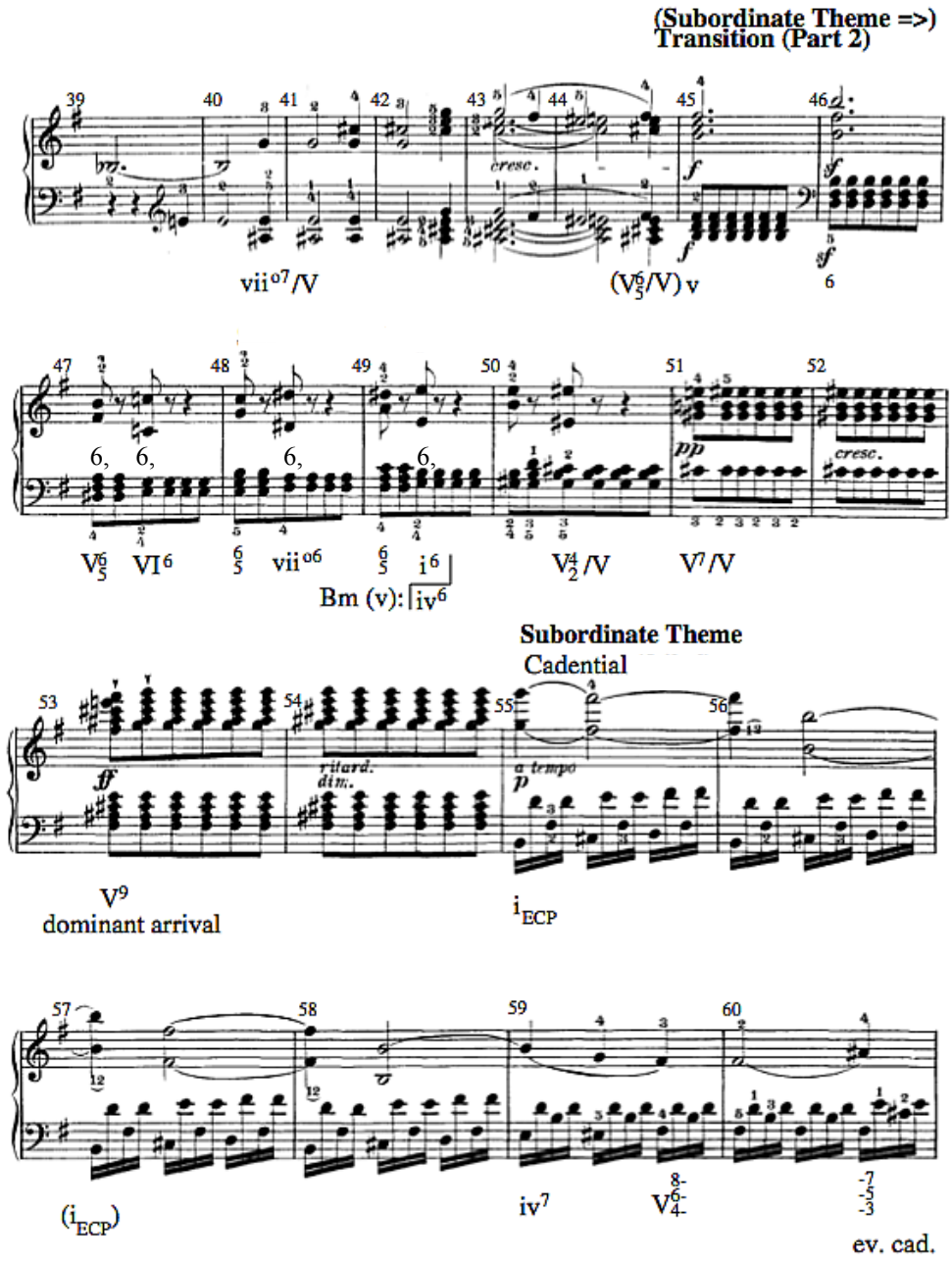
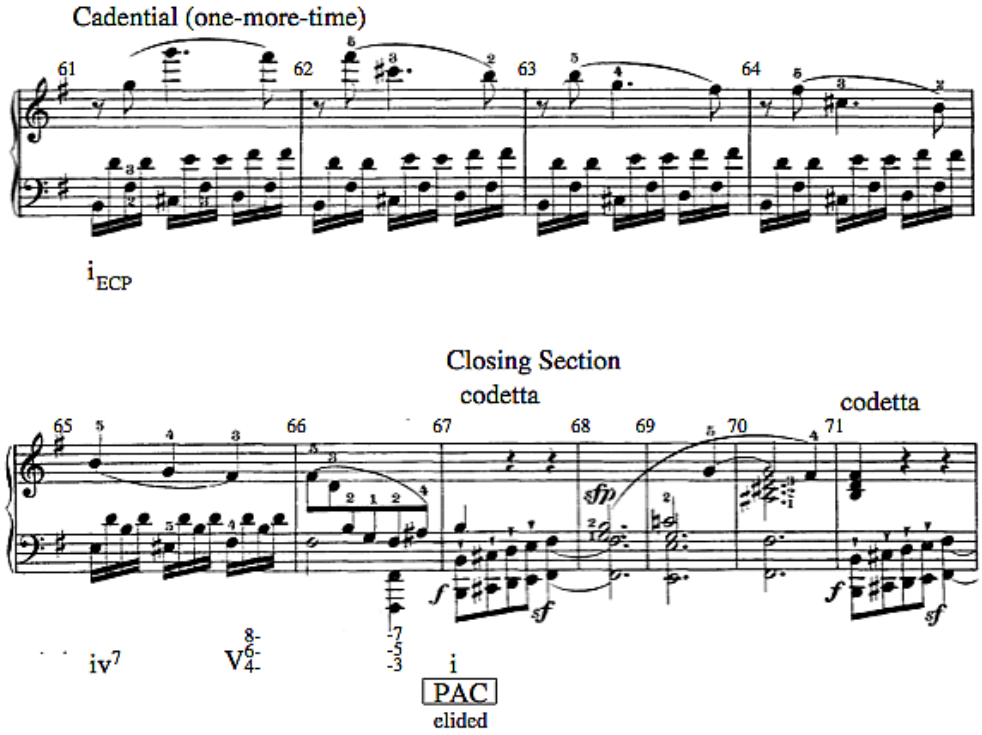
17 William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 1998).

18 Ibid., 97. Caplin's subordinate theme may contain three types of function in the following order: initiating (e.g. antecedent or presentation), medial (continuation), and concluding (cadential) functions.

19 Ibid., 111–15.



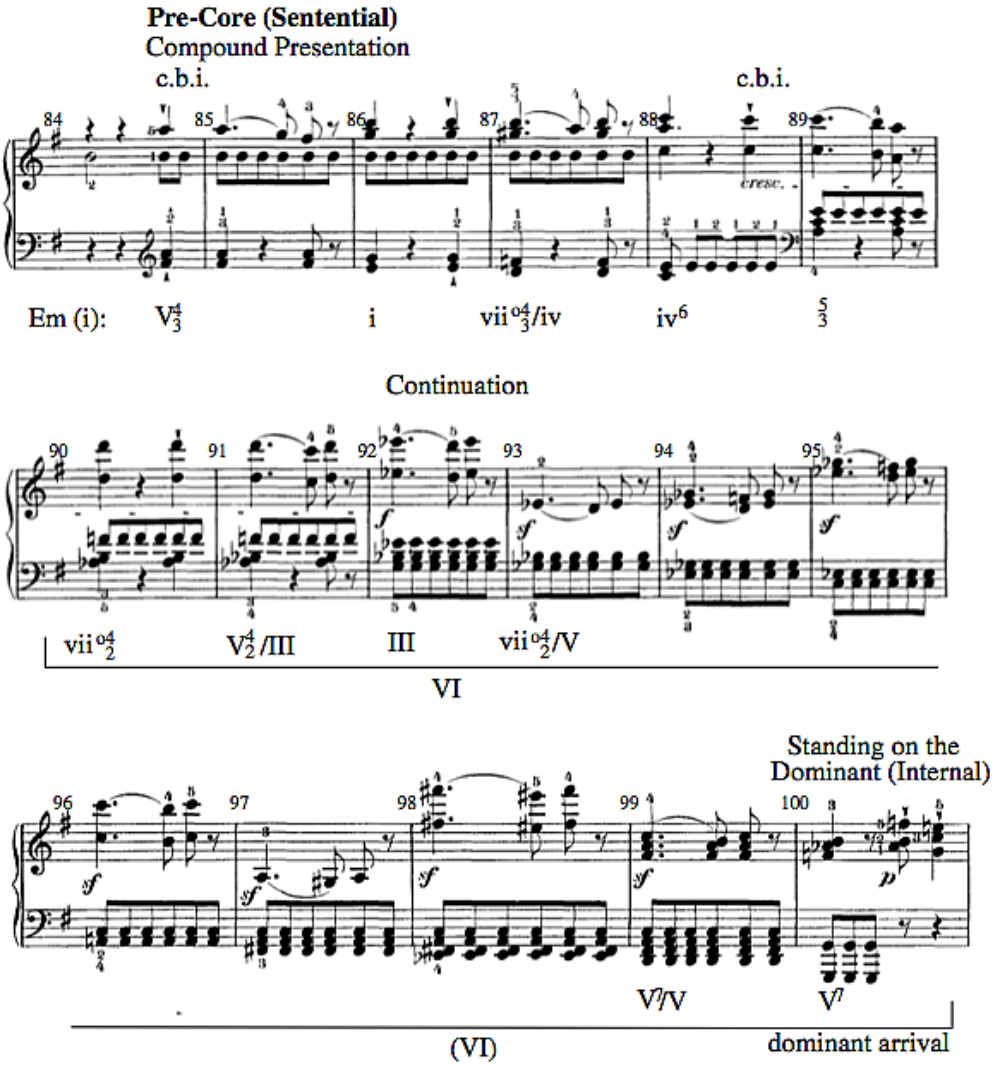
EXAMPLE 2.6: Beethoven, Op. 90, i, second part of transition and subordinate theme, mm. 39–71 (continued on following page).



EXAMPLE 2.6 (continued).

However, an interpretation of m. 55 as the real arrival of the subordinate theme also encounters conflicting analytical evidence. Once again, Beethoven omits an initiating function at the beginning of the theme. This subordinate theme (mm. 55–67) is composed of two expanded cadential phrases which are often associated with medial and concluding functions, rather than initiating. The first phrase, from mm. 55–60, ends with an evaded cadence and the second from mm. 61–67 leads to an elided perfect authentic cadence. Since these phrases lack initiating function, a listener could also retrospectively group the material from m. 45 as the beginning of a two-part subordinate theme. The ambiguity of the

placement of the subordinate theme at either m. 45 or m. 55 will feature prominently in Schenker's graphs.



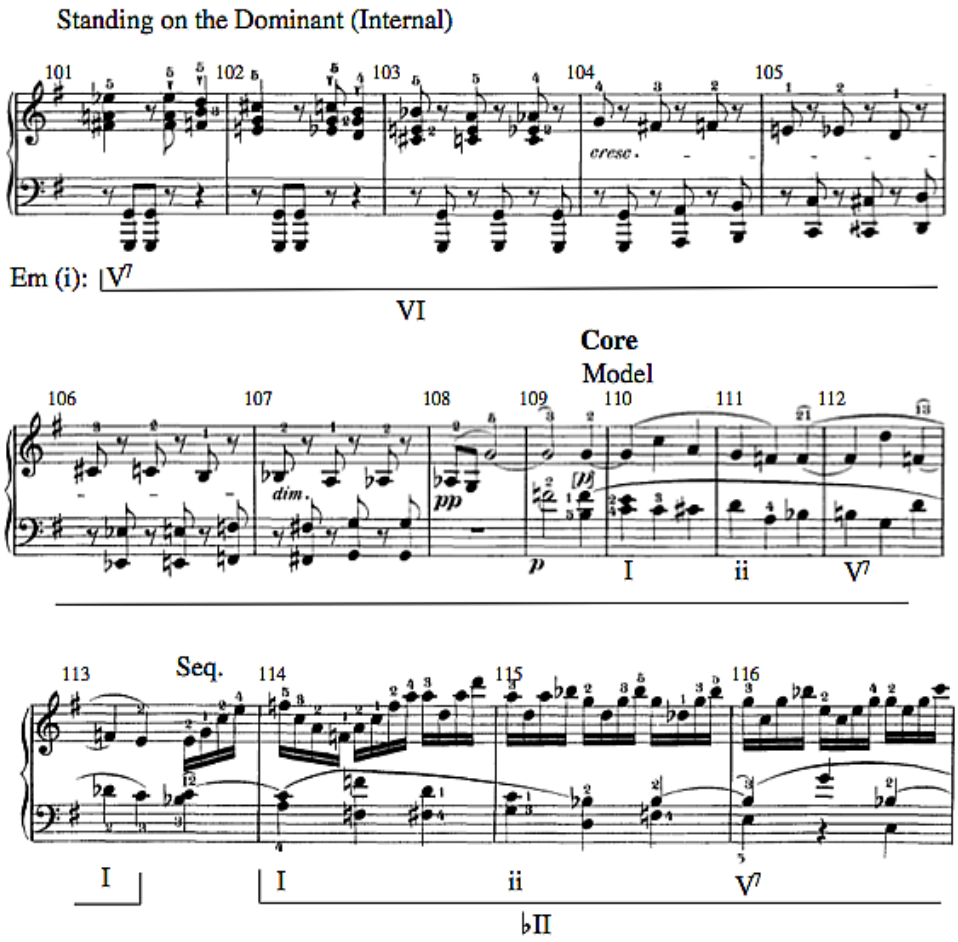
EXAMPLE 2.7: Beethoven, Op. 90, i, beginning of the development, mm. 85–100.

The following development section (mm. 85–143) adheres to Caplin's description of pre-core/core technique. The pre-core returns to the home key and begins with an altered statement of the main theme's compound presentation

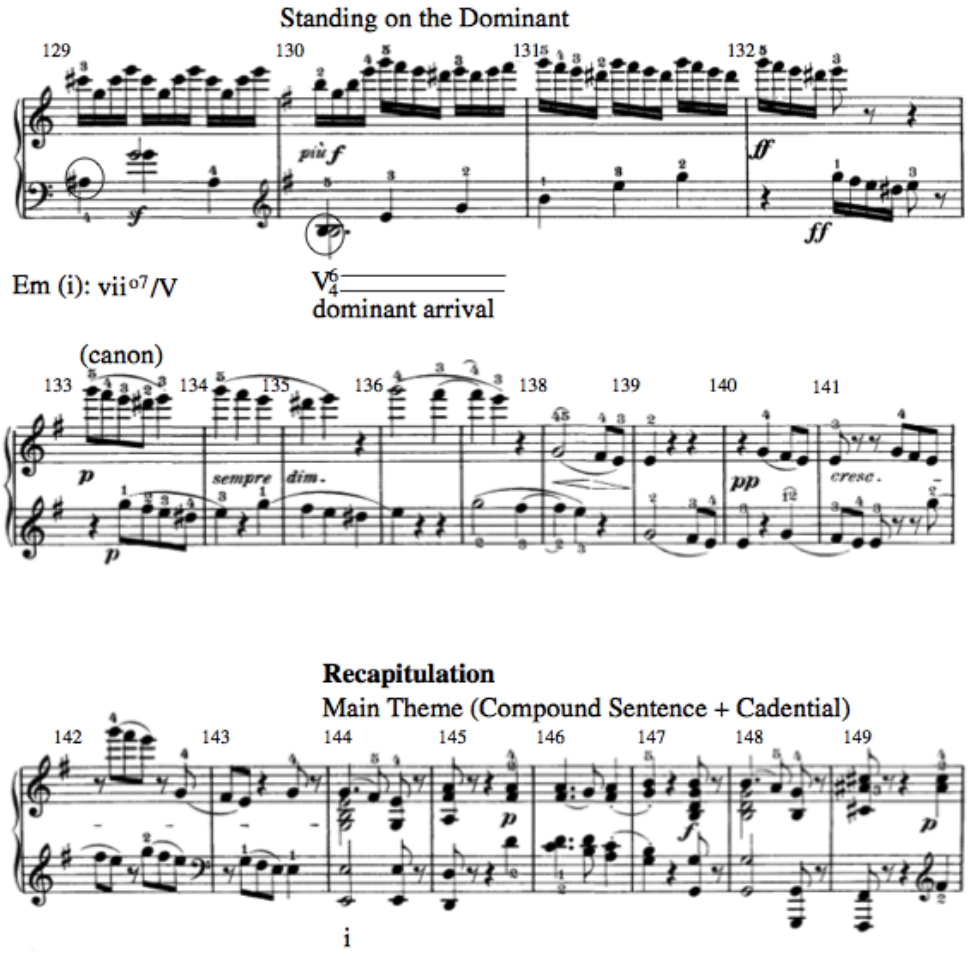
from mm. 85–92 (Example 2.7). However, the material promptly departs from its model in m. 92 where a transition to the key of VI, C major, commences. The arrival of C major's dominant and its subsequent prolongation in an internal standing on the dominant from mm. 100–109 confirms the tonicization.

Beethoven begins the core of the development at m. 110 (Example 2.8). The harmonic regions explored in the core align with those emphasized in the first part of the exposition's transition: VI (mm. 29–32; 110–13), iv (33–36; 118–19), and ♭II (36–39; 114–17), although Beethoven reverses the order of the final two harmonies in the development.

After the model-sequence technique in the core, mm. 118–29 introduce an additional continuational characteristic, the intensification of the surface and harmonic rhythm. Coupled with a scalar ascent in the bass from A^2 to B^3, these continuational elements create a powerful drive toward the harmonic goal of the development section, the dominant of the home key. To establish even more expectation and harmonic tension, Beethoven delays the dominant with a cadential $\frac{6}{4}$ in m. 130 (Example 2.9).



EXAMPLE 2.8: Beethoven, Op. 90, i, development, mm. 101–16.



EXAMPLE 2.9: Beethoven, Op. 90, i, arrival of the unresolved cadential $\frac{6}{4}$ and two-part canon, mm. 129–49.

While the material before this dominant arrival conforms to the expectations of a development section in the high classical style, Beethoven's subsequent treatment of the cadential $\frac{6}{4}$ is more atypical. Instead of resolving the cadential $\frac{6}{4}$ to a root-position dominant, Beethoven quickly dissipates the considerable momentum and energy generated from the prior section through a liquidation of melodic, harmonic, and textural elements. This process culminates

in the arrival of a sparse, two-part canon in m. 133.[20] The melodic material of the canon, based on the descending-third motive from the first measure of the main theme, G–F♯–E, further emphasizes the significance of liquidation through a durational augmentation of the motive until m. 140.[21] From this measure, the descending third-motive accelerates and gradually builds in intensity until the sudden arrival of the recapitulation in m. 144.

The abrupt return to the main theme at this moment is smoothed out by a textural change in the first chord of the theme. Compared to the first statement, the beginning of the recapitulation lacks a *forte* dynamic marking and the first sonority is transformed from a full chord into a sparsely-voiced octave.[22] These changes help to create a seamless connection between the canon and the main theme.

Overall, Beethoven's elimination of the cadential $\frac{6}{4}$ resolution creates a sense of harmonic elision emphasized by his manipulation of the relationship

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20 Peter H. Smith, "Liquidation, Augmentation, and Brahms's Recapitulatory Overlaps," *19th-Century Music* 17 (Spring 1994): 241–42.

21 Ibid. My analysis is similar to Smith's reading of this moment, where he also observes a liquidation and rhythmic augmentation of motivic material. Similarly, Charles Rosen notes the passage's focus on "the process of reduction." Rosen, *Beethoven's Piano Sonatas: A Short Companion* (New Haven: Yale University Press, 2002), 210.

22 See the accompanying commentary in Barry Cooper, *Beethoven: The 35 Piano Sonatas*, (London: The Associated Board of the Royal Schools of Music, 2007), 3:27. Cooper's comparative study of the original manuscript and copy of this movement by Archduke Rudolph notes a discrepancy in the interpretation of the upbeat to m. 144. Since Beethoven only roughly sketched the repeated measures in the recapitulation and indicated "*come sopra*" [as above], Archduke Rudolph's widely used copy incorrectly assumes a full-chord on the upbeat to m. 144, which would correspond to the upbeat to m. 1. However, Cooper notes that Beethoven explicitly intended to use sparse octaves at this moment.

between the cadential $\frac{6}{4}$ and the tonic triad.[23] Since they share the same notes, Beethoven's constant repetition of the motive, G–F♯–E, throughout mm. 130–44 seems to suggest both dominant and tonic function.[24] Dominant function continues through the canon since the listener still expects the resolution of the cadential $\frac{6}{4}$ and because the section continues the prior liquidation process from m. 130. A retrospective interpretation of an anticipation of tonic function is also possible due to the motivic connection between the canon and the main theme. The latter reading is strengthened further by Beethoven's notated acceleration, from mm. 138–44, which generates forward motion into the recapitulated main theme.

Aside from a few textural changes and the required tonal adjustment of the subordinate theme, the recapitulation presents a straightforward return of the exposition's material.[25] The movement ends with a coda (mm. 223–45) that features a condensed statement of the main theme at the very end (mm. 232–45).

In my summary of the movement above, I have highlighted two

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23 See Donald Francis Tovey, *A Comparison to Beethoven's Pianoforte Sonatas* (London: The Associated Board of the Royal Schools of Music, 1931), 201; Charles Rosen, *Beethoven's Piano Sonatas*, 209; and Treber, "Schenkerian Analysis of Beethoven's Op. 90," 29. My interpretation of this passage is similar to Tovey's analysis, where he also observes the non-resolution of the cadential $\frac{6}{4}$ as a significant event. Rosen and Treber note that Beethoven attempted a similar procedure in his the first movement of his Fourth Symphony. Similar to Op. 90, Schenker did not publish an analysis of Beethoven's Fourth Symphony. An incomplete portion of a graph is available in the Oster Collection in File 30, items 116 to 118.

24 Robert Taub describes the blurring of harmonic function as a "monochromatic harmony." Taub, *Playing the Beethoven Piano Sonatas* (Portland: Amadeus Press, 2002), 154.

25 The harmonic readjustment occurs in m. 180 which corresponds to m. 37. Instead of suggesting V^7 of ♭II at this moment like the exposition, Beethoven moves to ♭II in m. 180 then V in m. 196 in order to properly prepare the subordinate theme in the home key at m. 198.

significant passages where formal and harmonic ambiguities occur. First, Beethoven's omission of initiating function in the subordinate thematic region and an early articulation of the subordinate key result in two different readings of the subordinate theme, m. 45 and m. 55. Second, the missing cadential $\frac{6}{4}$ resolution resists a straightforward separation of formal and harmonic categories. I will now turn to Schenker's analyses to investigate how he addressed these two problematic sections.

Schenker's Analyses: Graphs

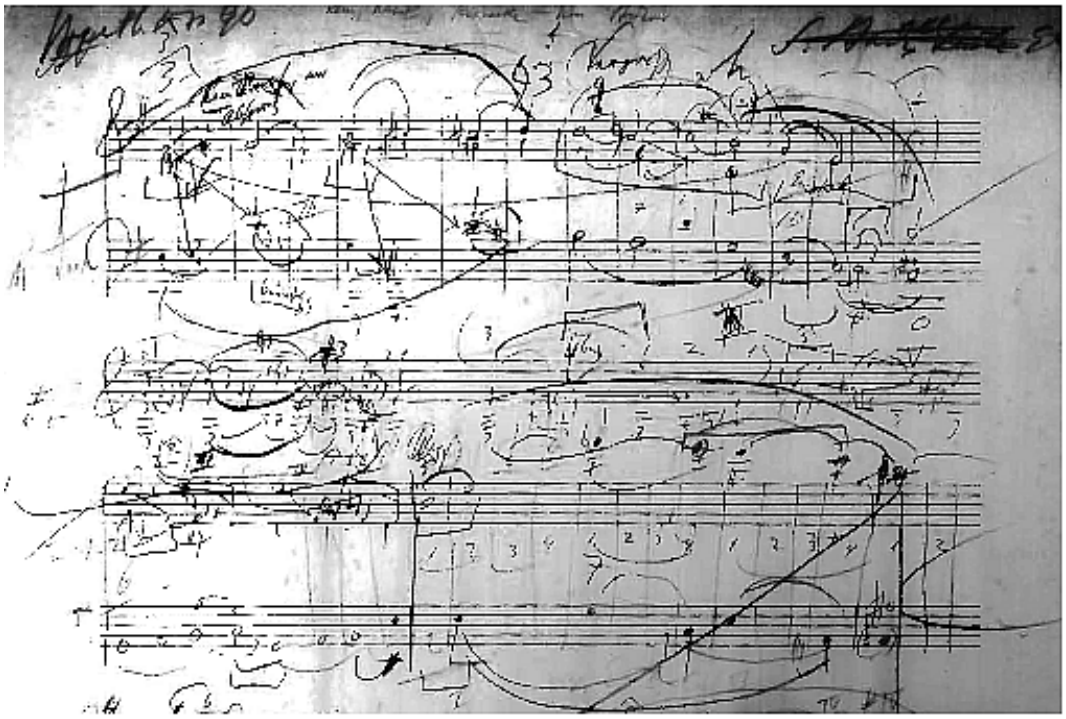
As Example 2.1 illustrated, one of Schenker's interpretations of the *Urlinie* is of an interrupted $\hat{3}$-line. While Schenker's observations of the overall structure appear straightforward and unproblematic in this example, an investigation of Schenker's middleground graphs of the first movement of Op. 90 reveal considerably divergent readings. These differences arise from the two formal moments discussed above, the boundary between the transition and subordinate theme and the unresolved cadential $\frac{6}{4}$.

First, the premature arrival of B minor in the transition affects Schenker's placement of the structural $\hat{2}$. His two interpretations of the structural $\hat{2}$ are in m. 44 at the applied dominant right before B minor appears in m. 45 and in m. 53 as an anticipation of a second dominant arrival that precedes my reading of the subordinate theme in m. 55. The graphs from items 64/124 and 64/125–26 in the

Oster Collection mark the structural $\hat{2}$ in m. 44, while 64/127 and 64/128 indicate its arrival in m. 53. Second, the cadential $\frac{6}{4}$ from the close of the development poses problems for Schenker's concept of interruption in sonata form since a genuine return to root-position V, and thus $\hat{2}$, are lacking in this movement. Items 64/124, 64/127 and 64/128 illustrate a similar interpretation of interruption, while 64/125–26 indicates another reading of interruption. As previously noted, since Schenker's analyses are undated, I will discuss the documents in the order that they appear in the collection.

The first graph in this file, 64/124, consists of an incomplete middleground sketch in Schenker's own hand. Only portions of the graph can be accurately identified due to the fragmented nature of the document and the lack of measure numbers. The front side of the item contains one continuous graph of the exposition as well as several displaced diagrams related to this section (Example 2.10).[26] The back of the document features a development sketch and possibly incomplete sections of the recapitulation and coda.

26 Due to the process of reproducing Schenker's graphs from microfilm, certain examples below are significantly less clear than the original documents. Future research may provide transcriptions of these analyses.



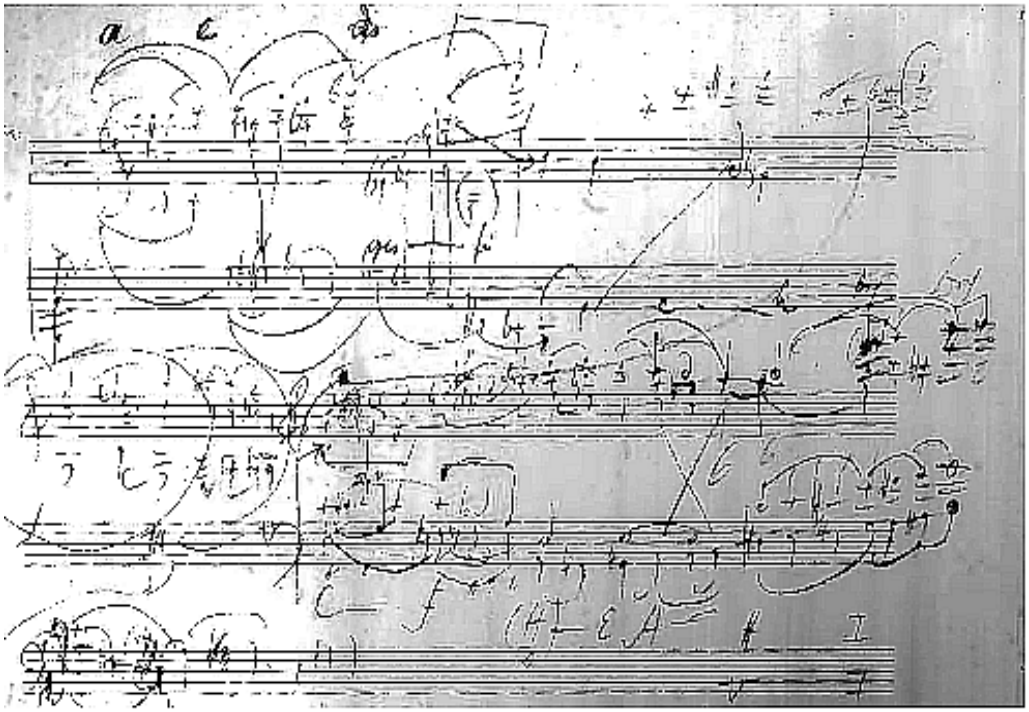
EXAMPLE 2.10: Schenker's rough sketch of Beethoven, Op. 90, i, main theme, mm. 1–24.[27]

In the continuous sketch of the exposition, Schenker notes that the main theme introduces the *Kopfton*, $\hat{3}$, immediately. Following a prolongation of $\hat{3}$ throughout the main theme, the fundamental line descends to $\hat{2}$ in m. 44. In this reading, Schenker negates the alternate placement for the $\hat{2}$ at m. 53, by suggesting that A♯ rather than F♯ acts as the upper voice at that moment over the dominant of B minor. This interpretation is supported by his observation of a tenth between the outer voices, F♯ to A♯, rather than the octave between F♯ to F♯ in the score and the note "*über ais*?" [A♯ above?] at this measure.

In the sketch of the development from the same document, Schenker

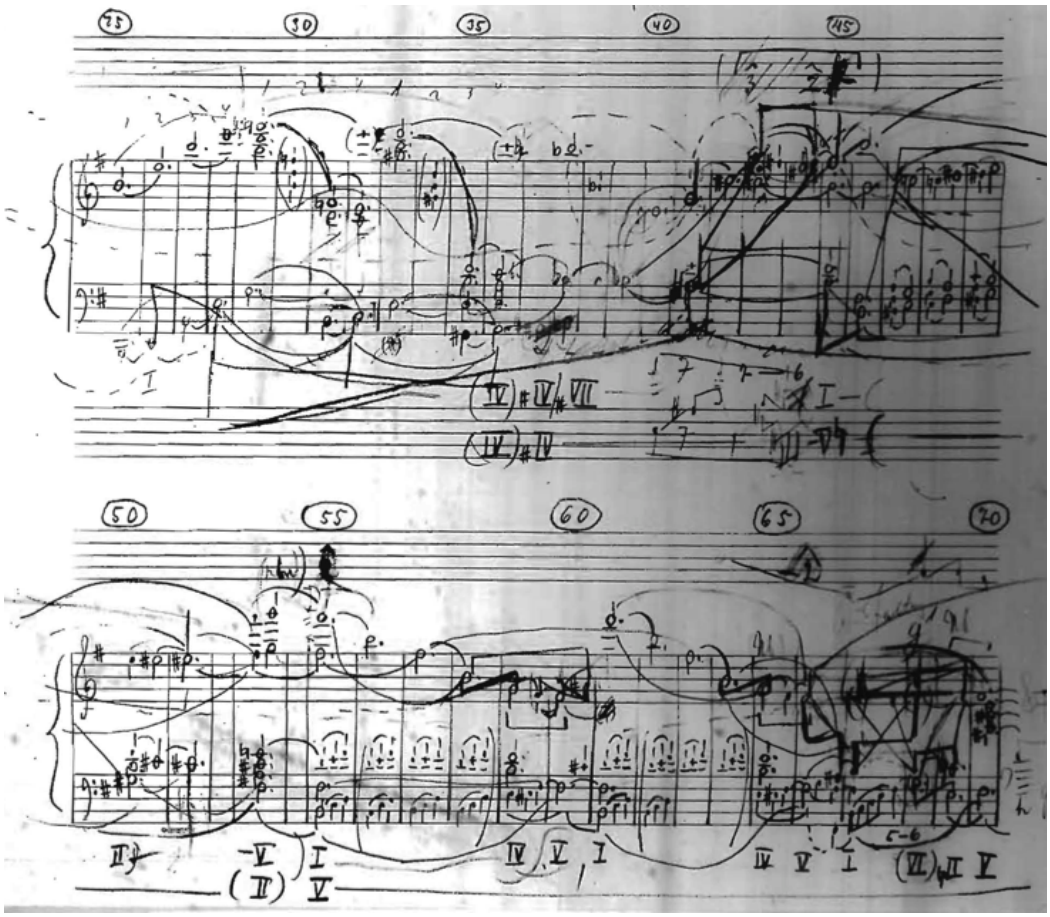
27 Schenker, analysis of Beethoven's Op. 90, n.d. Ernst Oster Collection, 64/124, recto.

works around the unresolved cadential $\frac{6}{4}$ by placing the return to the dominant before m. 130. As Example 2.11 shows, he identifies the dominant arrival in m. 124, in the middle of the bass scalar ascent from A^2 to B^3. He then marks a tonic return in m. 127. As a result, Schenker transforms the cadential $\frac{6}{4}$ and canon into an expansive tonic prolongation and anticipation of the recapitulation.



EXAMPLE 2.11: Schenker's sketch of Beethoven, Op. 90, i, unresolved cadential $\frac{6}{4}$, mm. 85–130.[28]

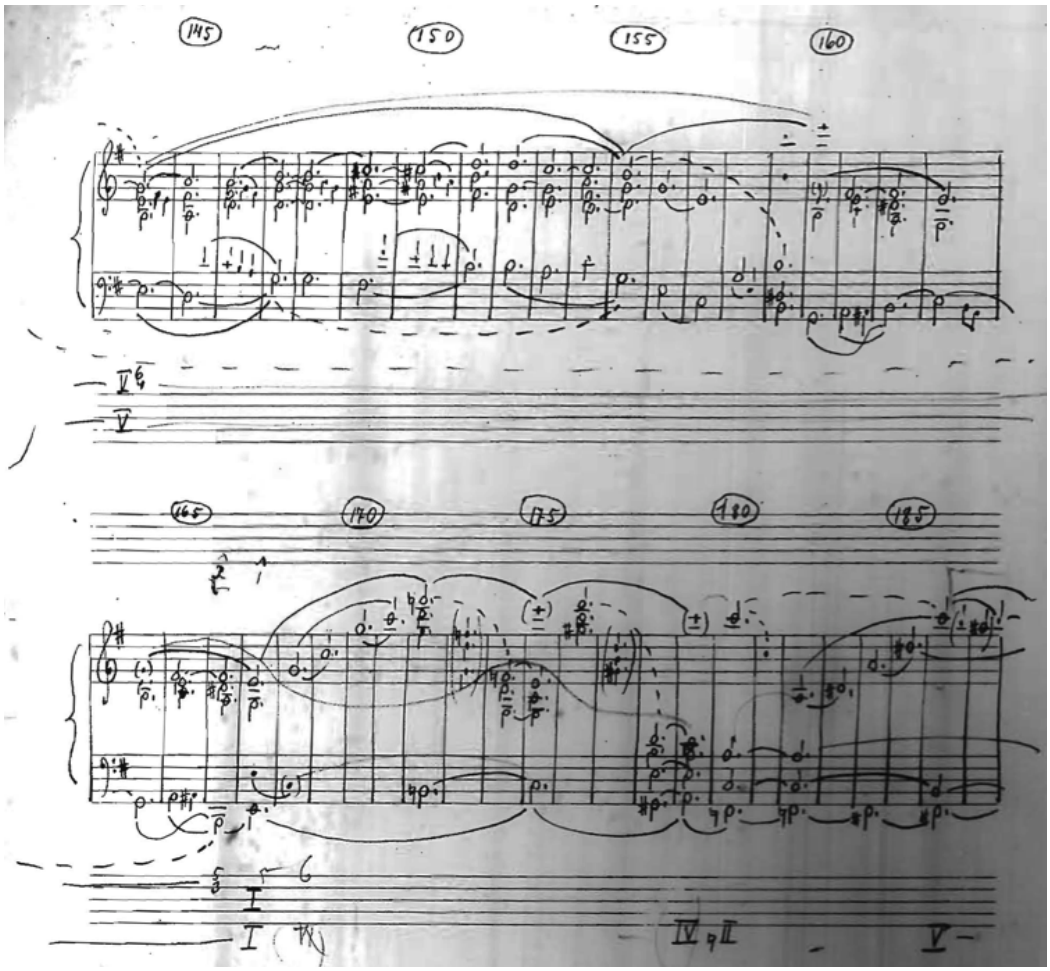
28 Ibid., 64/124, verso.



EXAMPLE 2.12: Schenker and Elias's graph of Beethoven, Op. 90, i, transition and subordinate theme, mm. 25–70.[29]

The following items in the folder, 64/125 and 64/126, consist of an entire graph of the movement in his student Elias's hand. The document also contains numerous markings by Schenker. In this version, he also indicates the arrival of the structural $\hat{2}$ in m. 44. However, the $\hat{2}$ in m. 53 appears to have been marked but crossed out (Example 2.12).

29 Ibid., 64/125, verso.



EXAMPLE 2.13: Schenker and Elias's graph of Beethoven, Op. 90, i, the recapitulation, mm. 144–87.

The analysis of the unresolved cadential $\frac{6}{4}$ is the most atypical in the collection. Similar to his previous sketch from 64/124, Schenker and Elias also locate the return of V in m. 124. However, in this instance, the return to the tonic at m. 127 does not occur. Instead, the graph suggests that the dominant remains prolonged throughout the recapitulated main theme until the perfect authentic cadence in m. 167 (Example 2.13). In this graph, the cadential $\frac{6}{4}$ finally resolves

to a root-position V in m. 166 and moves to tonic in this measure.

This interpretation reveals a tension between traditional sonata form and Schenker's own model. By prolonging the dominant throughout the main theme, Schenker and Elias deemphasize the point of recapitulation, an integral moment in traditional sonata form. As noted earlier, Schenker's concept of interruption in sonata form typically aligns with the break between the development and recapitulation sections. But in the case of this sonata, the lack of a genuine return to V at the end of the development does not allow Schenker to reconcile his method of interruption with the recapitulation. From the previously discussed graph and the remaining graphs below, Schenker attempts to correct this methodological disjuncture by placing the dominant return and interruption prior to or during the prolongation of the unresolved cadential $\frac{6}{4}$.

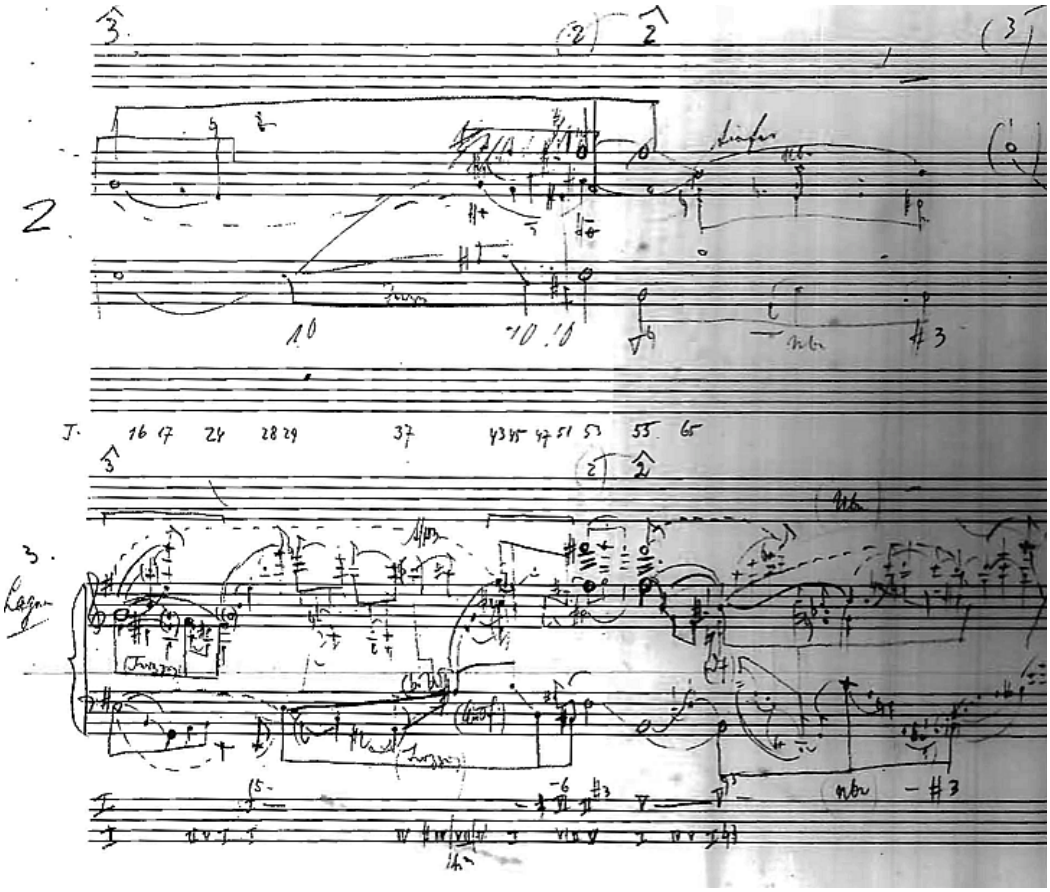
Despite this issue, a generous reading of this particular graph can be considered if one accounts for the experiential effect of this passage's blurred formal boundaries. In my analysis of this moment, Beethoven appears to actively conceal the delineation between the end of the development and beginning of the recapitulation through a variety of rhetorical means such as rhythmic augmentation and acceleration. Since the energy and expectation of a root-position dominant has yet to be realized at the end of the development section, the listener might not feel grounded in the home key until the syntactically

strong perfect authentic cadence in mm. 165–67. It is possible then to argue that Schenker's reading reflected a phenomenologically- and temporally-sensitive perspective of this moment.

The two final graphs of the first movement share a number of analytical details and can be grouped together in their interpretation of the structural $\hat{2}$ and the cadential $\frac{6}{4}$. The third analysis in the folder, item 64/127, contains a multi-level graph in Schenker's hand. 64/128 contains another multi-level graph notated by Elias.

In both of these analyses, Schenker changes the arrival of the structural $\hat{2}$ to m. 53. 64/127 reinterprets the F$\sharp$ in m. 44 within a middleground descending third-progression, G–F$\sharp$–E$\sharp$, (mm. 1–52) which is echoed in parallel tenths below in the bass with E–D–C$\sharp$ (Example 2.14).

Schenker's new reading of m. 44 brings out a particular motivic parallelism. The descending third-progression, G–F$\sharp$–E$\sharp$, in this document suggests a middleground manifestation of the fundamental $\hat{3}$-line. While this new interpretation highlights multi-level connections, it also problematically subsumes the importance of the first arrival of B minor at m. 45.

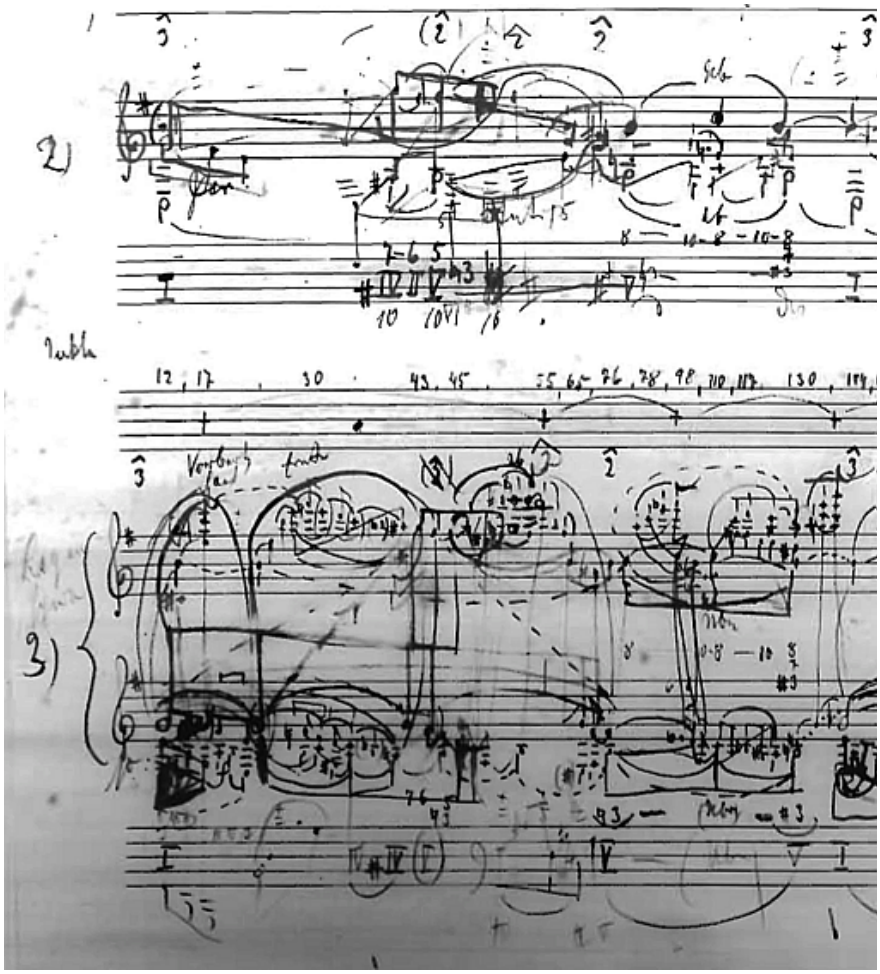


EXAMPLE 2.14: Schenker's alternate graph of Beethoven, Op. 90, i, main theme and transition, 64/127, mm. 1–55.[30]

This issue is addressed in the final graph, where Schenker and Elias combine the anticipation of $\hat{2}$ in m. 44 with their middleground reading of the descending G–F♯–E♯ line (Example 2.15). In this graph, a crossed-out $\hat{2}$ appears above the F♯ in m. 44 in the foreground level, while a "$\hat{2}$" in parentheses is maintained in the middleground. While this reading appears to achieve a compromise between the importance of m. 44 and 53, it conflicts with

30 Schenker, analysis of Beethoven's Op. 90, n.d. Ernst Oster Collection, 64/127, verso.

Schenker's analytical rules since this interpretation suggests two simultaneous readings of tonic and dominant function at m. 44.



EXAMPLE 2.15: Schenker and Elias's alternate graph of Beethoven, Op. 90, i, main theme and transition, 64/128, mm. 1–55.[31]

First, Schenker and Elias beam together the G–F♯–E♯ line in mm. 1–52 to show a prolongation of the tonic scale step with the underlying progression, i–v–♯VI, which becomes an upper-level $i^{5—\sharp 6}$ motion. At the same time, the slurs in

31 Schenker, analysis of Beethoven's Op. 90, n.d. Ernst Oster Collection, 64/127, verso.

the graph also indicate that the F♯ in the middle of this third-progression (m. 44) acts as an anticipation of m. 53. This reading contradicts a reading of tonic function since the slurs suggest that the E♯ in m. 52 also functions as a lower-neighbour in a prolongation of F♯ over the early arrival of the dominant in m. 44. Although the higher-level graph of this moment eliminates this ambiguity by choosing the second interpretation of m. 44 as an anticipation of $\hat{2}$, the multiple readings in the middleground suggest that Schenker was still unsure of the structure of this moment.

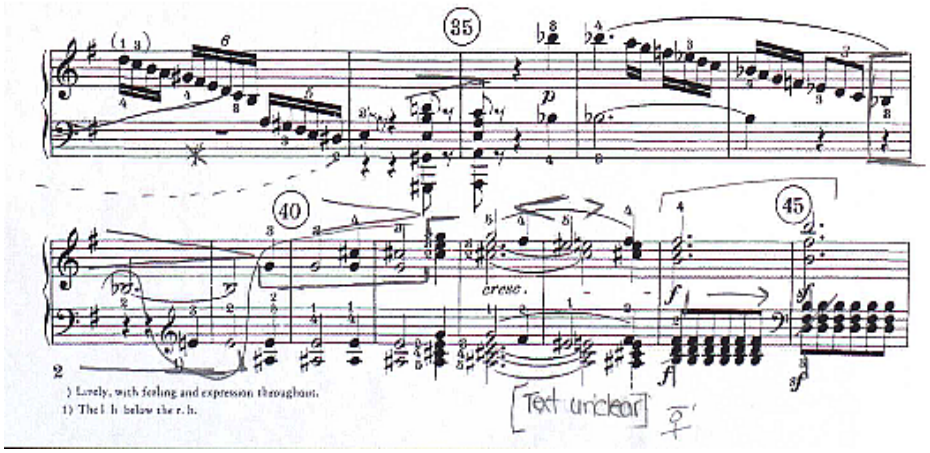
Finally, the reading of the cadential $\frac{6}{4}$ in both of these graphs feature a third interpretation of the moment. Once again, these two analyses imply an arrival of root-position V in m. 124. In these graphs, Schenker places an interruption right before the cadential $\frac{6}{4}$ in m. 130 in order to avoid the issue of the unresolved cadential $\frac{6}{4}$ in the following measures.

In summary, the two instances of formal ambiguity in Op. 90 highlight some analytical disagreements in Schenker's graphs. First, his treatment of the structural $\hat{2}$ at m. 44 or 53 offers an either/or reading of these moments. While his graphs in items 64/124 and 64/125–26 choose m. 44, his remaining analyses favour m. 53. Second, Schenker's analyses also struggled to reconcile the unresolved cadential $\frac{6}{4}$ from mm. 130–44 with his theory of interrupted structure. While Schenker's second analysis from 64/126 appears to have experimented

with an ambiguous experiential reading of the moment which contradicted the boundary between the development and recapitulation, his other graphs attempted to find a more definitive moment of interruption. In the following section, I will investigate how Schenker approached these two passages in performance.

Schenker's Analyses: Performance Annotations

Since the first copy of Schenker's own edition of Op. 90 is the most heavily annotated, I will focus my investigation on the markings in this document.[32] In relation to the placement of the structural $\hat{2}$, Schenker's observations seem to indicate its arrival in m. 44 rather than m. 53 (Example 2.16).



EXAMPLE 2.16: Schenker's performance markings, Beethoven, Op. 90, i, mm. 34–46.[33]

32 For a discussion of other markings from this score, see Rothstein, "Heinrich Schenker as Interpreter," 22–24. In this section, Rothstein points out Schenker's pedal and hand-shape indications as phrase and structural indicators in mm. 1–8 (Ex. 35) and mm. 29–33 (Ex. 36).

33 Since the pencil markings are rather faint in the original, I have reproduced

From the performance markings above, it appears that Schenker emphasizes the F♯ in m. 44 as an arrival. First, he highlights the transformation of the *Kopfton*, G, into the chordal seventh of vii^{o7} of B minor in m. 41 by writing a decrescendo after the G is articulated. According to Schenker's theory of dynamics, this G is marked in order to highlight its effect as a dissonant chordal seventh and subsequently creates an expectation for the resolution of G to F♯ in m. 44.[34] The expectation for F♯ is further heightened by Schenker's marking over the E♯ in m. 44. In this measure, he intensifies E♯ as a lower neighbour with a small-scale crescendo and decrescendo in addition to Beethoven's crescendo indication.[35] Overall, Schenker appears to highlight a wedge-like resolution of G and E♯ to F♯, where both G and E♯ move toward F♯ from opposite directions.

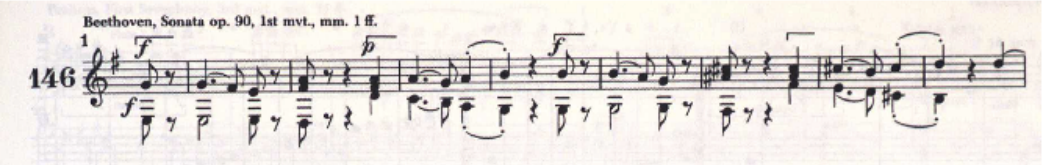
Finally, Schenker's brackets at the end of m. 42 and on the downbeat of m. 45 illustrate a shift in phrase grouping, which further confirms m. 45 as an important structural moment. This observation is discussed in *Der freie Satz* (Example 2.17).[36]

Schenker's markings in this example and example 2.18 below. I have inserted the annotation "[Text unclear]" to indicate illegible text in the original documents.

34 Rothstein, "Heinrich Schenker as Interpreter," 14.

35 Ibid., 10–15; and Schenker, *The Art of Performance*, 47.

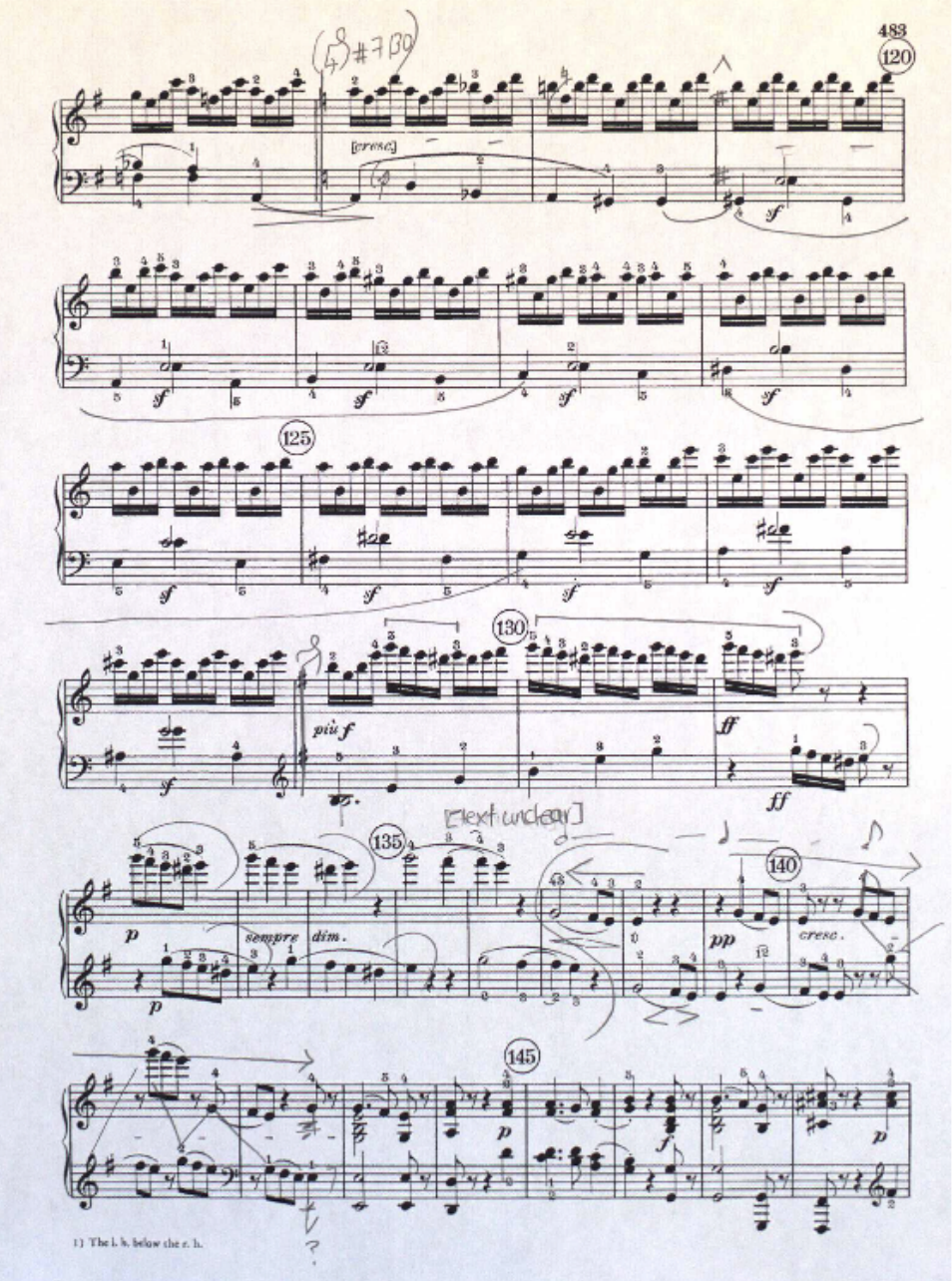
36 Schenker, *Free Composition*, §295, figure 146.1.



EXAMPLE 2.17: Schenker's metrical analysis of Beethoven's Op. 90, i, mm. 1–8.

In his commentary on upbeats, Schenker notes that grouping of phrases starting on the upbeat is problematic due to the disagreement between this rhythmic gesture and the notated meter. Therefore, a composer must subsequently resolve this conflict by bringing the focus back to the downbeat. He notes then that Beethoven's rhythmic-metric correction in the first movement of Op. 90 occurs in mm. 43–44, which results in a confirmation of the real downbeat at the beginning of m. 45.

Schenker's markings at the end of the development, illustrated in Example 2.18, also provide insight into his analysis of the unresolved cadential $\frac{6}{4}$. First, his slurs from mm. 120–23 and 124–27 segment the bass ascent from A^2 to B^3 into two sections, G♯ to C and D♯ to G. The second unit, in particular, connects to Schenker's analyses, where the D♯ in m. 124 represents the structural return of the dominant and the G represents the anticipation of tonic.



EXAMPLE 2.18: Schenker's performance markings, Beethoven, Op. 90, i, mm. 117–49.

However, Schenker's markings around m. 138 suggest a conflicting reading. Specifically, he notes a significant break in m. 138, which subsequently hints at a dominant prolongation until this moment. Schenker highlights m. 138 with a curved line down the staff and by his performance annotations. Schenker's indications which emphasize the division include a slight slowing down of tempo at m. 138, illustrated by a back-directed arrow.[37] This slowing down then prepares the written-in acceleration, noted by Schenker's forward-directed arrow and note values above the score, from m. 140 right through the beginning of the recapitulation in m. 144.

The beginning of m. 138 is further emphasized by Schenker's fingering choice on the downbeat. Here, he indicates that the performer should switch from finger 4 to 5 while G is held down. This fingering helps to define the moment in two ways. First, the shift from finger 4 to 5 may help to internally bring out the slight crescendo into F♯ in the measure for the performer.[38] As well, the physical demand of the change would add to the slowing down of tempo, since the performer would require slightly more time to prepare his or her hand position following the shift. Through these techniques, Schenker's performance asserts a new place for a structural break in m. 138, where the unresolved

37 On Schenker's philosophy on rubato see Schenker, *The Art of Performance*, 53–57; and Rothstein, "Heinrich Schenker as Interpreter," 15–18.

38 Schenker, *The Art of Performance*, 26–28. In his section on the technique of changing the finger on the same key, Schenker notes that this creates a "spinning out" of sound similar to the effect created by a violinist's continuous bowing.

cadential $\frac{6}{4}$ becomes an anticipation to the recapitulation and tonic.

The Role of Performance

My discussion above illustrated how the two problematic passages in the first movement of Beethoven's Op. 90 conflict with Schenker's desire for only one true structural interpretation and performance of the work. Although Schenker attempted a number of analytical solutions for the formal and structural ambiguities posed by this composition, the unpublished state of these graphs suggest that his divergent analytical readings were never resolved. Since Schenker could not ultimately reconcile his analytical theory with the first movement of Op. 90, what are the repercussions of the ambiguity in this work on performance? How can analysis inform performance according to Schenker's model if the content itself appears to be unclear? These questions create a valuable opportunity to reevaluate Schenker's unidirectional relationship between the Schenkerian graph and performance. While Schenker's approach centres on how analysis determines performance, revisionist perspectives have reversed this perspective to ask how performance can influence analysis.

In his critique of Schenker's and other restrictive performance and analysis models, Joel Lester observes that a strict analysis-to-performance pathway neglects a possible constructive dialogue where performance can inform and enrich analysis.[39] To facilitate a reciprocal relationship between performance

39 Lester, “Performance and Analysis,” 214.

and analysis, Lester emphasizes the shared act of interpretation in these two disciplines.[40] For Suzanne Cusick, this interpretive juncture may lie in the amalgamation of mind and body exemplified by her exploration of how the physical experiences of the performer may generate valid musical meaning for analysis.[41] Alan Dodson, on the other hand, investigates how a performer's manipulation of musical parameters, such as time, phrasing, and dynamics, can confirm or create a number of alternative Schenkerian graphs.[42] These three perspectives provide the foundation for my analytical response to Schenker's graphs of the first movement of Op. 90. How might a performer's physical and internal experiences address Schenker's analyses of this work and clarify the work's two ambiguous sections? In this instance, is it possible for Schenker's method of performance and analysis to accommodate multiple readings of a composition?

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40 Ibid. See also Janet Schmalfeldt's seminal articles "On the Relation between Performance and Analysis: Beethoven's Bagatelles op. 126, nos. 2 and 5," *Journal of Music Theory* 29 (1985): 1–31; and "On Performance, Analysis, and Schubert," *Per musi: Revista de performance musical* 5 (2002): 38–54.

41 Suzanne Cusick, "Feminist Theory, Music Theory, and the Mind/Body Problem," *Perspectives of New Music* 32 (Winter 1994): 8–27.

42 Alan Dodson, "Performance, Grouping, and Schenkerian Alternative Readings in Some Passages from Beethoven's '*Lebewohl*' Sonata," *Music Analysis* 27 (2008): 107–34; and Dodson, "Interpreting the Performed Work: Studies in Methodology" (PhD diss., University of Western Ontario, 2003), 98–155.

Chapter Three: Schenkerian Performance and Analysis of Beethoven's Op. 90, First Movement, Part II

My previous chapters demonstrated a disjuncture between theory and practice in Schenker's philosophy of performance. Chapter One clarified how a work's true content is central to Schenker's performance. From this assertion, a performer must first uncover the work's inherent meaning prior to the act of performance. Chapter Two examined how the ambiguous voice-leading structure and form of the first movement Beethoven's Op. 90 proved resistant to Schenkerian analysis and thus a proper Schenkerian performance. Since a strict Schenkerian analysis of the work was unsuccessful, where does this leave the performer in Schenker's model?

To answer this question, this chapter will return to the two ambiguous passages of the first movement in Op. 90, the placement of the structural $\hat{2}$ and the unresolved cadential $\frac{6}{4}$, to suggest how a performer's perspective on register and musical expectation can solve these problematic moments in analysis. To formulate my own performance-informed Schenkerian reading, I will draw from Cusick's idea of the body as a generator of analytical knowledge by incorporating Amanda Stringer Sauer's model of "cognitive dissonance." Sauer's concept focuses on the tension between a performer's physical and internal expectations and a composer's notation which may hold hidden yet vital interpretive clues for formal and structural analyses.[1] I argue that Sauer's

1 Sauer, "Cognitive Dissonance and the Performer's Inner Conflict: A New Perspective

approach remains compatible with Schenker's philosophy of performance since her ideas of cognitive dissonance and hidden meaning in the score are similar to Schenker's focus on textual fidelity and early psychological considerations of dynamics.

To conclude, I will turn to the relationship between a single, unified Schenkerian graph and multiple performances to suggest a potential pathway towards reconciliation. I consider how the temporal experience of ambiguity in the two significant passages of the first movement of Op. 90 may provide an interpretive common ground for performance and analysis. To define ambiguity in performance and analysis as processes in time, I will refer to Kofi Agawu's and Peter H. Smith's synoptic versus diachronic definitions of multiple meaning.[2] I suggest that the Schenkerian graph represents not only a finalized result of an analysis but also the temporal process in which an analyst confronts and resolves ambiguity. By conceptualizing graph as process, performance can then enliven and present varied analytical experiences through time.

Performance and Cognitive Dissonance as Analytical Context

Before exploring Sauer's cognitive dissonance in Op. 90, I will clarify her main points. As Sauer notes in her article "Cognitive Dissonance and the

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on the First Movement of Beethoven's Op. 101," *Music Theory Online* 13 (June 2007).

2 Kofi Agawu, "Ambiguity in Tonal Music: A Preliminary Study," in *Theory, Analysis, and Meaning in Music*, ed. Anthony Pople (Cambridge: Cambridge University Press, 1994), 86–107; and Peter H. Smith, "You Reap What You Sow: Some Instances of Rhythmic and Harmonic Ambiguity in Brahms," *Music Theory Spectrum* 28 (Spring 2006): 57–97.

Performer's Inner Conflict: A New Perspective on the First Movement of Beethoven's Op. 101," the negation or realization of musical expectation is a defining process in music from the common-practice period. While this perspective is not new, she argues that Beethoven's later works express a level of tension-building and conflict that distinctly invades the psychological state of the performer.[3] Sauer borrows the term "cognitive dissonance" from social psychologist Leon Festinger, who defines the concept as a tension between two understandings of an event.[4] The first cognition is related to the expectations that one builds from prior knowledge of what is appropriate or typical. The second arises from the actual event, which counters the first expectation to create a negative and psychologically-unpleasant experience. In performance, Sauer defines these two modes of cognition as the performer's musical intuition and the composer's idiosyncratic performance indications. When a performer's context-based expectations are thwarted by the composer's markings, a significant psychological discomfort results.[5]

In her analysis of the first movement in Beethoven's Op. 101, Sauer observes cognitive dissonance in Beethoven's dynamic undercutting of expected

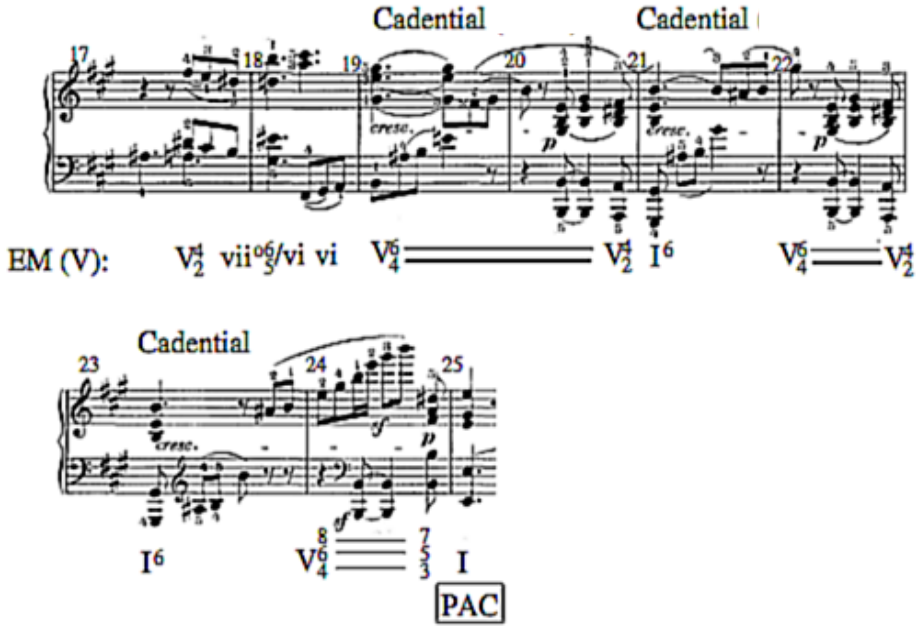
3 Ibid., paragraph 3.

4 Ibid., paragraph 34. See Leon Festinger, *A Theory of Cognitive Dissonance* (Stanford: Stanford University Press, 1957).

5 Sauer's perspective also opens up issues of the mind-body problem in performance and analysis research. See Cusick, "Feminist Theory, Music Theory, and the Mind/Body Problem;" Diane Urista, "Embodying Music Theory: Image Schemas as Sources for Musical Concepts and Analysis, and as Tools for Expressive Performance" (PhD diss., Columbia University, 2001); and Alexandra Pierce, *Deepening Musical Performance through Movement* (Bloomington, Indiana: Indiana University Press, 2007).

cadential moments.[6] One of her first examples of this motivic subversion of expectation arises in m. 25 of the exposition (Example 3.1). She observes that the performer may want to perform the cadence in m. 25 with more dynamic and durational emphasis, since it occurs after two iterations of abandoned cadences between mm. 19–24. The tension between the performer's expectation and Beethoven's unfulfilled cadential progressions is compounded by the circular dynamic pattern in these measures. Beethoven intensifies the performer's desire for cadence in these prior statements through crescendi and then frustratingly denies this expectation through a return back to *piano* in mm. 20 and 22. The third attempt, which culminates in the perfect authentic cadence in m. 25, builds even more internal conflict through a slight expansion of the previous upward arpeggiation between the hands from one measure to two and the extension of the crescendo to a *sforzando* in m. 24.[7] At the moment of the performer's desired catharsis by cadence between mm. 24 and 25, Beethoven obfuscates its arrival with a sudden *piano* indication.

6 Sauer, “Cognitive Dissonance and the Performer's Inner Conflict,” paragraphs 11–19.
7 Compare the arpeggiations in mm. 19 and 21 to mm. 23–24.



EXAMPLE 3.1: Beethoven, Op. 101, i, mm. 17–25.

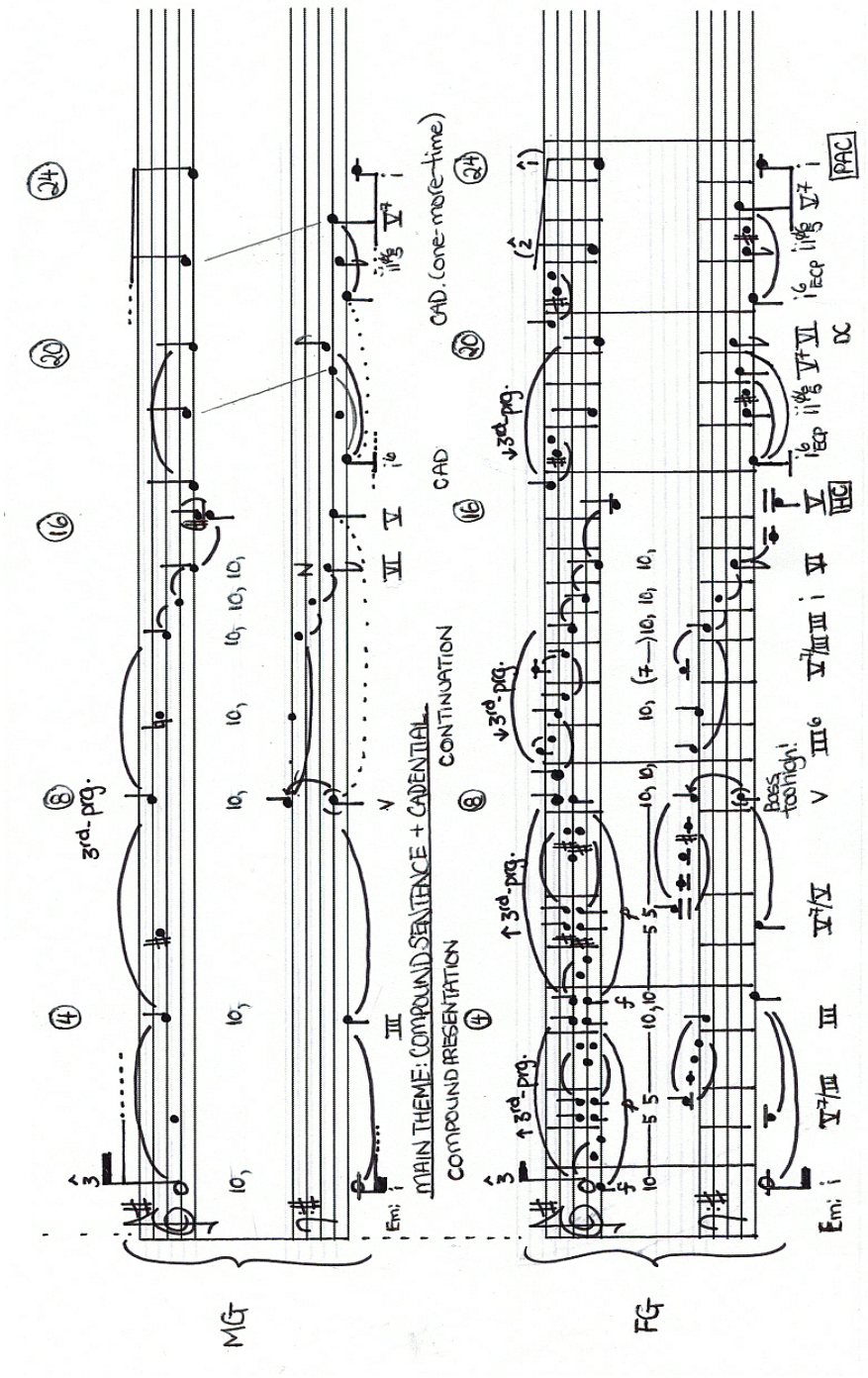
Sauer's focus on the hidden meaning behind Beethoven's performance indications has obvious connections to Schenker's philosophy of performance. First, both Sauer and Schenker require the performer to interpret Beethoven's intentions beyond a literal translation of his performance indications. For Sauer, these deeper meanings result in a series of interconnected psychological dissonances throughout the work. Second, Sauer's focus on the psychological discomfort of a performer aligns with Schenker's idea of inner, psychological dynamics. For example, Sauer's analysis of cognitive dissonance in m. 25 of Op. 101 resembles Schenker's idea of an internal, psychologically intense *piano* due to its rhetorical cadential weight as a highly anticipated yet ultimately

unfulfilling moment of arrival. In the first movement of Op. 90, Sauer's idea of cognitive dissonance brings out a particular psychological and registral motive which clarifies the two ambiguous passages of the work. To contextualize this motive, we must first consider the significance of register revealed in the beginning of the movement.

Register and Cognitive Dissonance in the First Movement of Op. 90

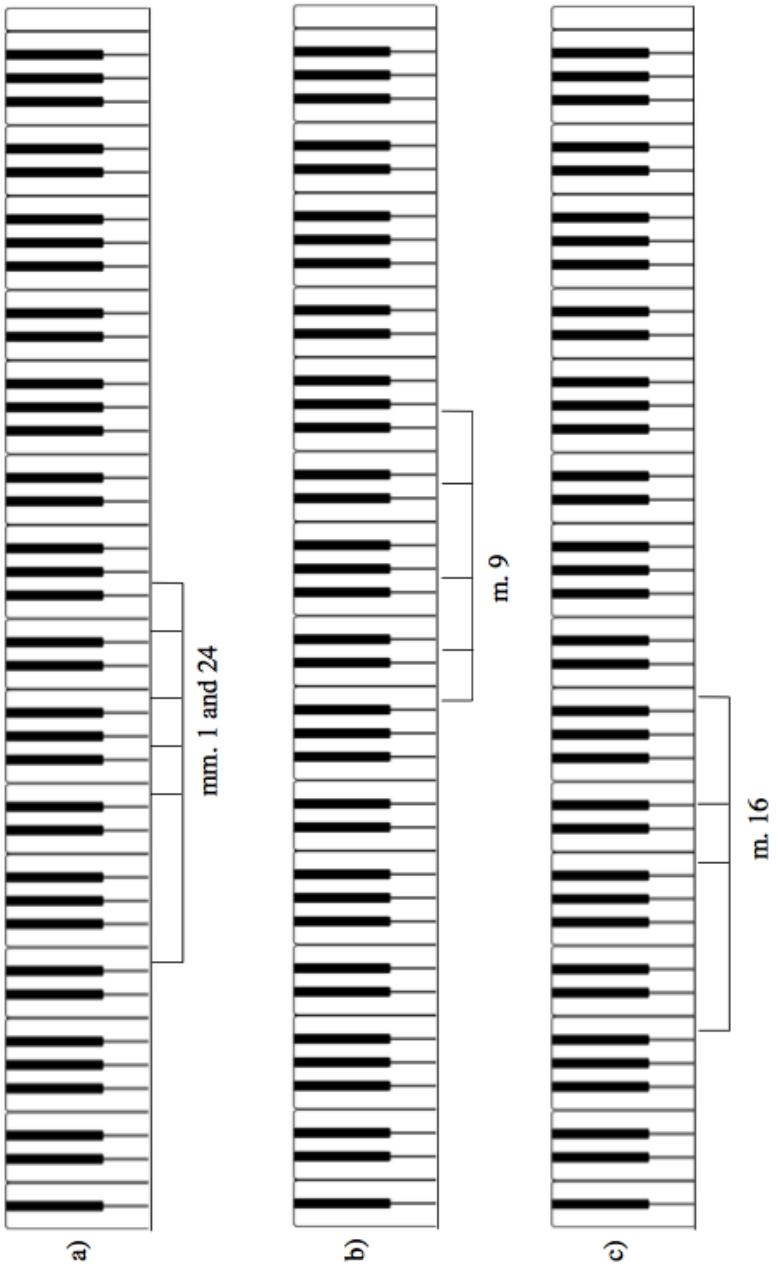
Investigations on the structural and motivic significance of register are not new to Schenkerian and music theories in general. Yet in this particular composition, the Schenkerian concept of obligatory register is deeply tied to the performer's and analyst's perception of Beethoven's textural, dynamic, and psychological clues.[8]

8 For Schenkerian studies on register see Schenker, "On Organicism in Sonata Form," in *The Masterwork in Music: A Yearbook*, ed. and trans. William Drabkin (Cambridge: Cambridge University Press, 1996), 28; Ernst Oster, "Register and the Large-Scale Connection," *Journal of Music Theory* 5 (Spring 1961): 54–71; and David Gagné. "The Compositional Use of Register in Three Piano Sonatas by Mozart," in *Trends in Schenkerian Research*, ed. Allen Cadwallader, (New York: Schirmer Books, 1990), 23–40. See also Gregory Karl, "Structuralism and Musical Plot," *Music Theory Spectrum* 19 (Spring 1997): 13–34.



EXAMPLE 3.2: Foreground and middleground graphs of Beethoven, Op. 90, i, main theme, mm. 1–24.

As revealed in the graph in Example 3.2, the main theme reflects the *Urlinie*, G–F♯–E (3̂-2̂-1̂). In addition to this connection to the fundamental line, the main theme also references larger structural events in its articulation of Beethoven's overall registral plan on a smaller scale. The theme is framed by two tonic sonorities (mm. 1 and 24) which share the same hand position and placement on the piano. Between these two pillars, Beethoven marks mm. 8–9 and 16 as two registrally significant events. Example 3.3 presents a summary of the pianist's hand movement over the duration of the main theme. In the opening unit of the theme, the compound presentation from mm. 1–8 contains a thick chordal texture and drastic dynamic changes between *forte* and *piano*. Through an observation of texture and dynamics, the performer may observe a break at m. 8. In mm. 8–16, the continuation phrase, Beethoven contrasts the preceding measures by introducing new material with a thinner texture, more stable and softer dynamics, and a descending rather than ascending line. These differences require the performer to play mm. 8–16 in a more subdued manner compared to the sudden dynamic changes in the first eight measures.



EXAMPLE 3.3a, b, and c: Summary of pianist's hand movement, Beethoven, Op. 90, i, main theme, mm. 1–24.

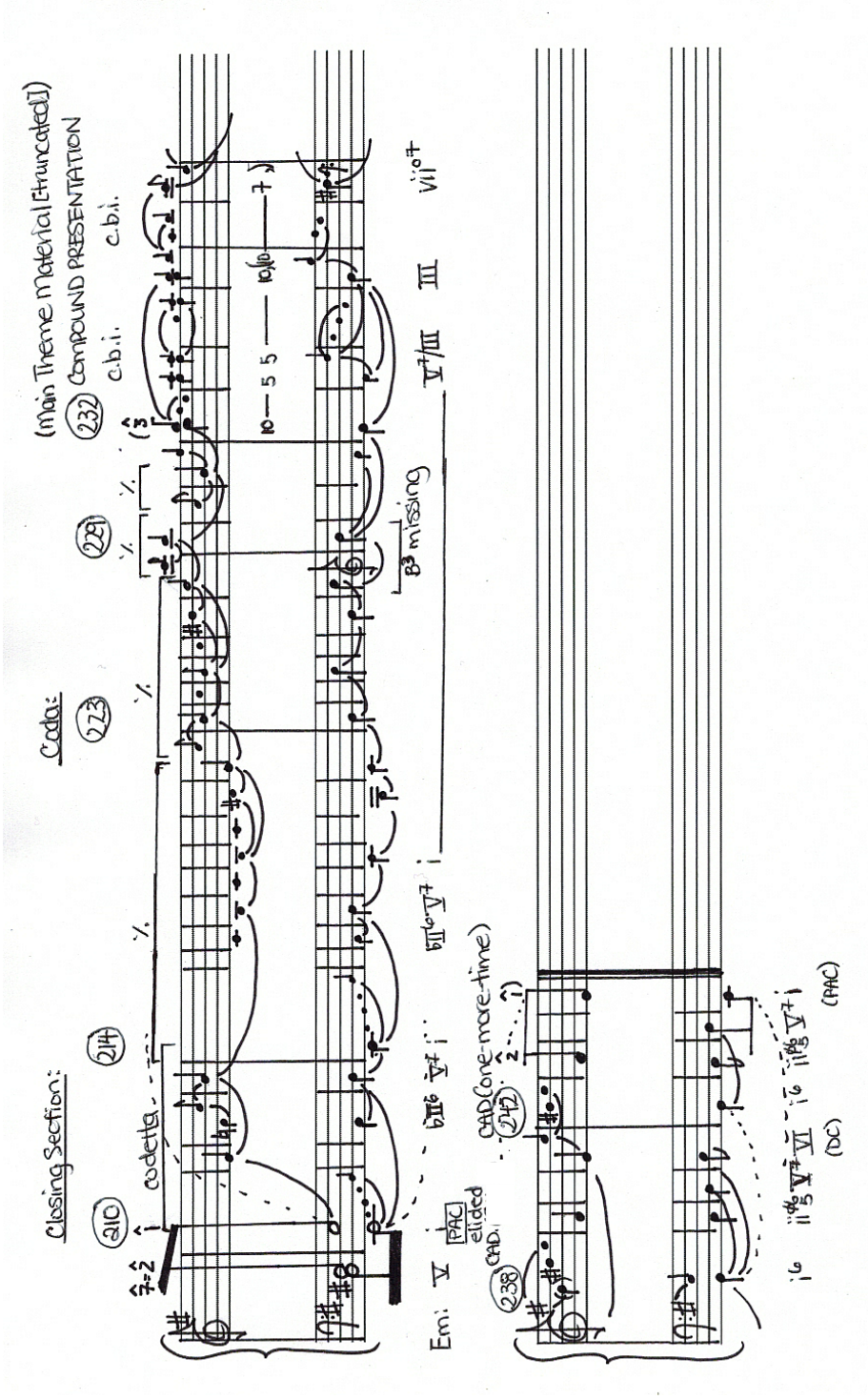
The contrasts between the first and second sections also serve to highlight registral extremes to the performer. First, m. 8 presents the registral highpoint of the theme so far. M. 16 ends with the lowest and leftmost placement of both hands on the keyboard. Beethoven's *ritardando* and *fermata* markings in m. 16 also communicate another break to the performer. How might these delineations affect and foreshadow a Schenkerian analysis of this section and the entire movement?

First, these boundaries may lead the performer to an awareness of the voice-leading and formal structure. The abrupt dynamic changes throughout mm. 1–8 point toward an ascending pattern of third-progressions with parallel tenths between the outer voices: G–(A)–B, B–(C)–D in the right hand, and E–(D)–G, G–(F♯)–B in the left. Mm. 8–16 provide contrast to mm. 1–8 with melodic descending thirds in the outer voices, once again separated by parallel tenths.

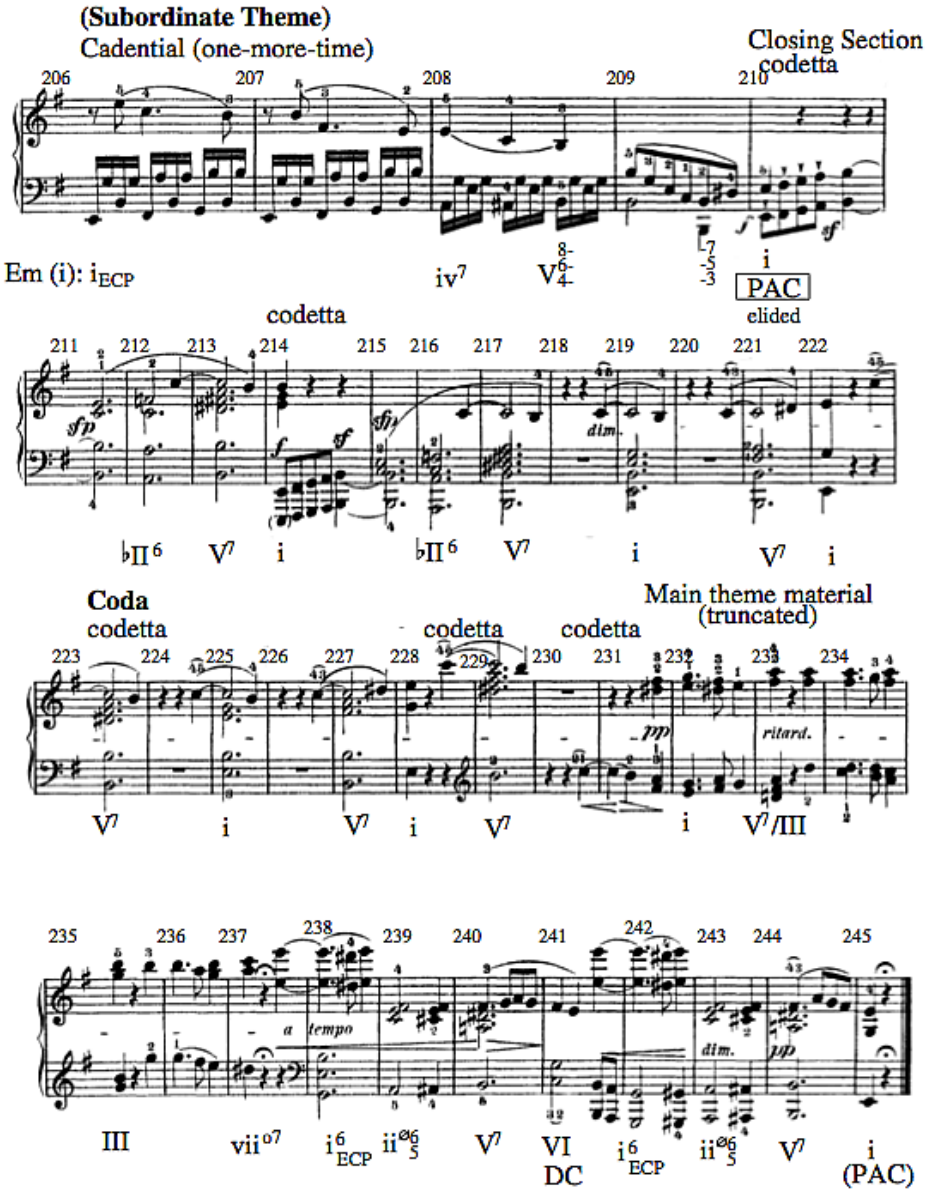
In addition to contrapuntal connections and segmentation, the emphasis on mm. 8 and 16 alludes to a specific registral gesture which may influence the harmonic and structural analyses of the following sections. First, m. 8 articulates an anticipation of the dominant in m. 16. The subordinate quality of the anticipated dominant is supported by its deviation from the established obligatory register and its lack of the leading tone, D♯. Here, the bass note in m. 8 appears too high with respect to the obligatory register, which would require a

B^2 rather than the articulated B^3. Second, Beethoven corrects this registral "mistake" by unfolding B's upper neighbour, C, downward until the left hand arrives at the correct bass note, B^2, in m. 16. The structural significance of this dominant in m. 16 is supported by the inclusion of the leading tone and a half cadence. This formal marker supports the surface-level reflection of the fundamental line's interruption. To summarize the entire process, the first dominant harmony in m. 8 functions not as a genuine dominant harmony, but rather as an anticipation of the real dominant in m. 16.

To support my argument for this particular registral motive, further clues can be discerned at the coda of the recapitulation (Examples 3.4a and b). After the final perfect authentic cadence at the end of the recapitulation in m. 214, the *Urlinie* remains in the wrong register. In order to resolve the *Urlinie* in its obligatory register, Beethoven repeats and fragments a series of codettas (mm. 210–14, 214–22, 223–28, 229, and 230). With the exception of the final repetition in m. 230, Beethoven transposes each repeated codetta at least one octave higher. Notably, a two-octave gap appears between the codettas in mm. 223–28 and 229. A consideration of register in the main theme reveals that this two-octave leap avoids the same problematic B^3 as the lowest sounding note.



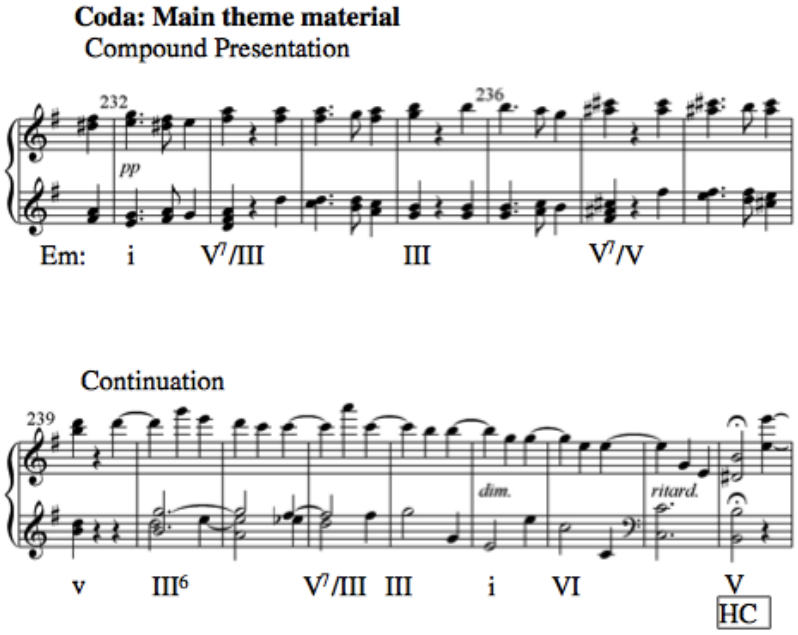
EXAMPLE 3.4a: Graph of Beethoven, Op. 90, i, coda, mm. 209–45.



EXAMPLE 3.4b: Beethoven, Op. 90, i, subordinate theme and coda, mm. 206–45.

While the avoidance of this specific pitch may appear to be an arbitrary decision at first, the final measures of the movement suggest otherwise. Following the codetta statements, Beethoven concludes the piece with a truncated reference to the main theme. A comparison with the exposition's main theme reveals that mm. 7–16 are missing in this restatement. Like the codettas in mm. 210–30, Beethoven appears to eliminate these measures to avoid additional emphasis on B^3 in order to reveal the genuine obligatory register. In the exposition, mm. 7 and 8 contain the first articulation of B^3 as a significant bass sonority. While mm. 8–16 initially functioned as a correction to this registral error by descending down to the proper B, the coda's restatement of the main theme does not require the material from mm. 8–16 since Beethoven already started the material an octave higher. Thus, as the recomposition in Example 3.5 illustrates, a complete repetition of these measures would result in a strong emphasis on the wrong B.

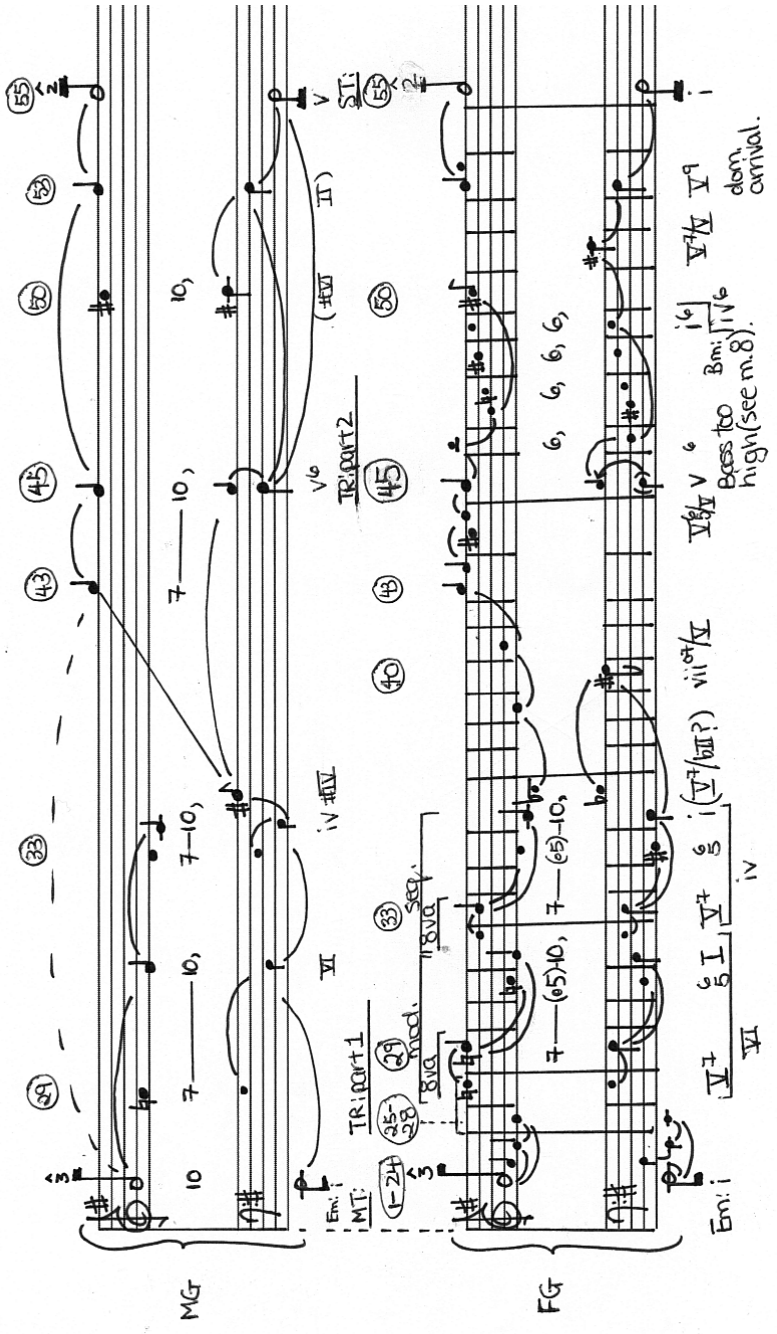
Now that register has been highlighted as a potential motive in the work, I will move on to an examination of the two previously problematic sections Schenker encountered in his graphic analyses of the work: first, the placement of the structural $\hat{2}$ in the exposition, and second, the harmonic and structural function of unresolved cadential $\frac{6}{4}$ in mm. 130–44.



EXAMPLE 3.5: Recomposition of Beethoven, Op. 90, i, coda, from m. 232 onward.

The ambiguous placement of the structural $\hat{2}$ between either mm. 44–45 or 53–55 can be clarified by a comparison to a similar process in mm. 8–16 (Example 3.6). By referencing the opening material, one observes that the arrival of B minor, the subordinate key, in m. 45 is articulated by the same incorrect bass register as m. 8. In a similar fashion to the main theme, Beethoven then corrects this situation by subsequently rearticulating B minor in the proper bass register in m. 55. Thus, m. 55 is the most likely candidate for the placement of the structural $\hat{2}$ while m. 44 becomes an anticipation of the structural descent.[9]

9 Schenker's graphs from 64/127 and 64/128 align the most with this reading.



EXAMPLE 3.6: Foreground and middleground graphs of Beethoven, Op. 90, i, transition, mm. 25–55.

The same problematic bass note occurs at the beginning of the unresolved cadential $\frac{6}{4}$ in m. 130 (Example 3.7a). However, unlike the previous instances where Beethoven subsequently drops the bass down to the appropriate register, the registral connection never appears. As noted before, Beethoven instead prolongs the cadential $\frac{6}{4}$ until the arrival of the recapitulation. Despite the lack of resolution, this apparently ambiguous moment can be clarified by referencing Sauer's perspective of cognitive dissonance.

In relation to the first movement of Op. 90, a consideration of Sauer's cognitive dissonance between mm. 53–55 and 130–44 creates a long-range connection which may clarify ambiguity. In the first instance of cognitive dissonance, the expectation for a dynamically intense arrival of the structural $\hat{2}$ in m. 55 is carefully set up and denied. First, Beethoven creates dynamic intensity and expectation into the premature arrival of the subordinate key in m. 45 through gradual unfolding of the previously noted B$\flat$-becoming-A$\sharp$ process in mm. 36–40. Second, when harmonic clarification is achieved in m. 45, albeit in the wrong register, Beethoven continues to build motion and intensity through the incorporation of more transitional and continuational features. In particular, the constant eighth-note pattern in the bass, the chordal texture, and model-sequence technique maintain a strong sense of medial function heading towards a goal. Finally, the textural and dynamic intensification culminates in m. 53, where

Beethoven indicates a *fortissimo* marking and fully-voiced chords in both hands. Following this build-up of tension, a performer may form an expectation for a loud, emphatic arrival in m. 55. However, Beethoven denies this intuition by subsequently indicating a *diminuendo* and *ritardando* in m. 54. Similar to Beethoven's dynamic subversion of expectation in the first movement of Op. 101, the moment of climax declines in intensity and the arrival of the structural $\hat{2}$ subsequently becomes undermined by a *piano* indication. To further highlight the considerable psychological tension of this moment, Beethoven incorporates a technically demanding left-hand accompaniment pattern. The large span and sixteenth-note rhythm of this modified Alberti-bass pattern throws a physical obstacle at the performer since the difficulty of this accompaniment makes it challenging to stay within the dynamic range of *piano*.

The psychological dissonance created at this important structural moment contains vital clues on the unresolved cadential $\frac{6}{4}$ in mm. 130–44. As noted in the previous chapter, Beethoven generates a powerful amount of expectation toward the harmonic arrival of m. 130. These tension-building qualities from mm. 118–30 include an increase in surface and harmonic rhythm, fragmentation, growth in dynamic intensity, and a scale ascent in the bass from A^2 to B^3. Upon the statement of the cadential $\frac{6}{4}$, Beethoven prolongs the increase in dynamic intensity until m. 132. At the end of this measure, he suddenly inserts a brief

eighth-note rest before a sudden drop to *piano* in the next measure.[10]

The process of building and then denying a performer's expectation in these measures parallels the process in the transition and in the subordinate theme. First, m. 130 presents the dominant in the wrong register which references similar moments mm. 8 and 45. Second, mm. 130–32 attempt to correct the issue. In this instance, however, the left hand does not arrive at the correct register because it arpeggiates upwards instead of downwards.

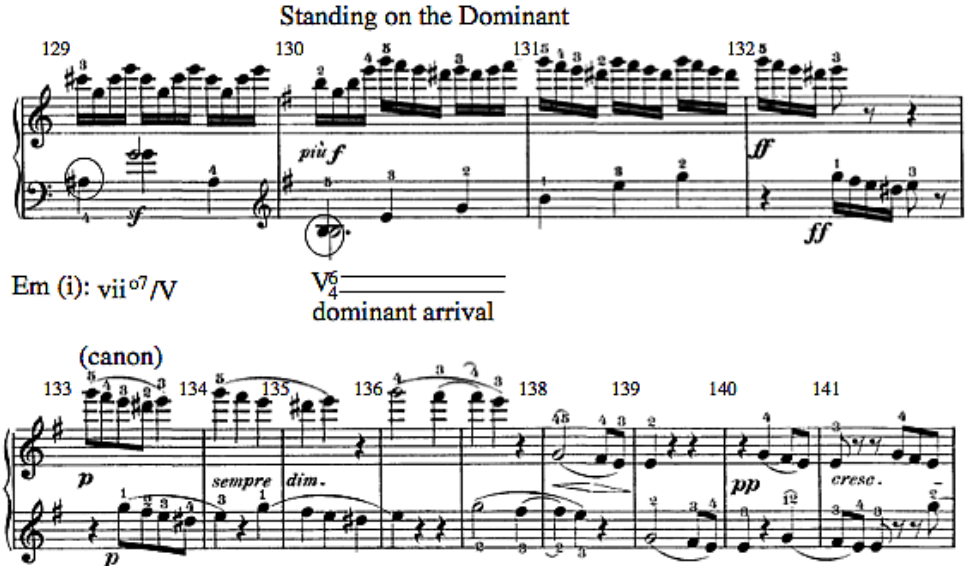
By referencing these connections and the rhetorical gestures of intensification, a performer might strongly desire a resolution to the dominant. However, the occurrence of cognitive dissonance in the development is even more extreme in its complete nullification of expectation. Here, Beethoven entirely eliminates any realization of the goal in this instance, while the first example in m. 55, the arrival was merely dynamically weakened. He also stresses the performer's psychological discomfort with a difficult physical gesture and literal, sounding dissonance, of which the former parallels the accompaniment figure in m. 55.

To contrast a performer's desire to strongly emphasize the root-position dominant, the score indicates a prolongation of the cadential $\frac{6}{4}$ with soft and decreasing dynamics until the *pianissimo* in m. 140. This measure, which

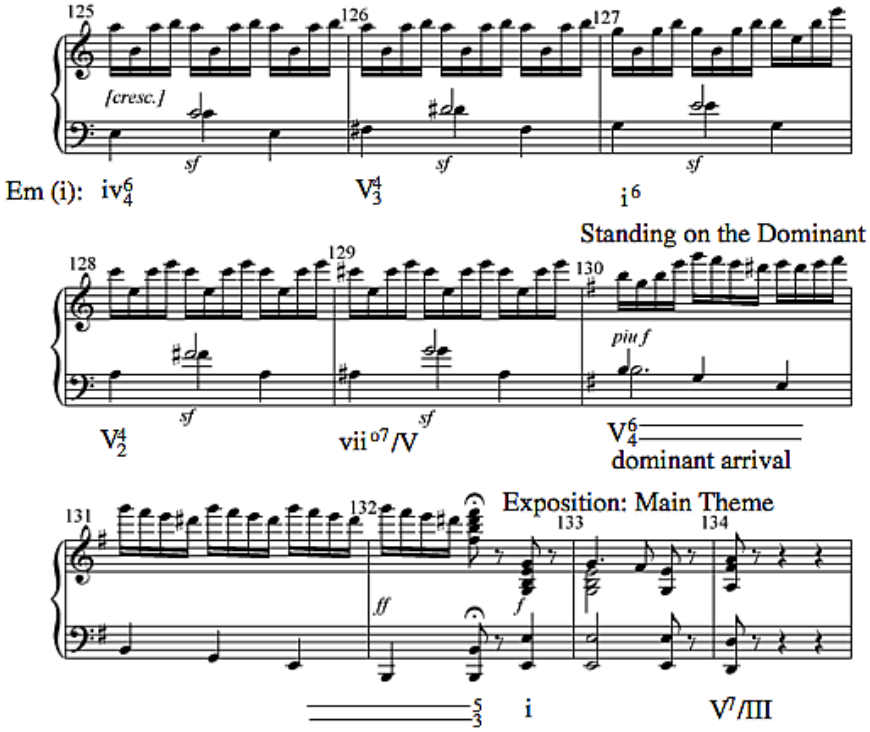
10 Treber also offers the same placement of the elided resolution. Treber, “Schenkerian Analysis of Beethoven's Op. 90,” 25.

functions as the lowest point in dynamic intensity, features a difficult overlap between the hands, since both the left and right hand compete to play the descending-third motive in canon and in the same register. The moment is further emphasized by the exposed, dissonant major second between the F♯4 and G4 in m. 140 and also in mm. F♯4 and E4 in m. 141. Arguably, the entire section is rife with cognitive dissonance that may help provide clarity to a Schenkerian reading of this moment.

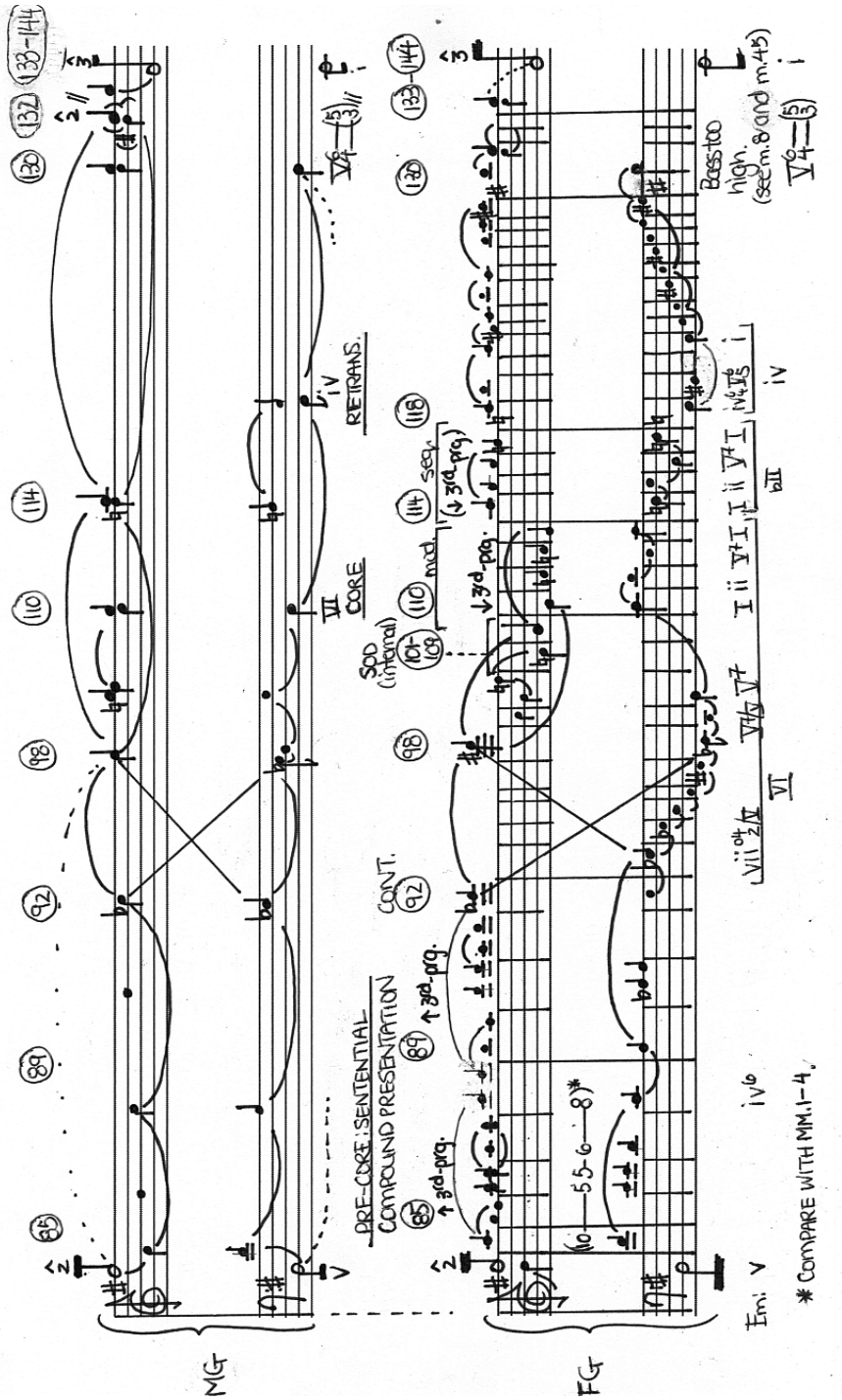
Specifically, the sudden drop in dynamic level and literal break between mm. 132 and 133 hint at an elided resolution to a root-position dominant. Example 3.7b illustrates a hypothetical recomposition of this moment with a straightforward cadential $\frac{6}{4}$ resolution. By drawing from this imagined reading based on the performer's expectation and cognitive dissonance, the elision in m. 132 provides clarification to the two main ambiguities posed in Schenker's graphs. This elided resolution accommodates a return to the structural $\hat{2}$ and dominant scale step in order to suggest a clear interruption (Example 3.8).



EXAMPLE 3.7a: Beethoven, Op. 90, i, excerpt from development, mm. 129–41.



EXAMPLE 3.7b: Recomposition of unresolved cadential $\frac{6}{4}$, mm. 125 onward.



EXAMPLE 3.8: Graph of Beethoven, Op. 90, development section, mm. 84–144.

Towards a Reconciliation of Ambiguity with Schenkerian Analysis and Performance

In my analysis above, I addressed how a performer can illuminate an analysis in my examination of register and musical expectation. While this approach to performance and analysis helped to clarify Schenker's analytical ambiguities, questions remain: How does a single unified graph inform performance? Should a performance strive for an ideal rendering of a musical work? Or can a graph accommodate multiple interpretations which highlight different aspects of a composition? To develop preliminary answers to these questions, I will return to the ambiguity in the first movement of Op. 90. Drawing from Agawu's and Smith's definitions of ambiguity as a temporal process, I will consider how the process of graphing, in addition to the graph itself, can inspire and accommodate a performer's personal interpretation.

First, I will summarize Agawu and Smith's general arguments. In "Ambiguity in Tonal Music: A Preliminary Study," Agawu argues for a more refined definition of musical ambiguity after noting its increasing popularity in contemporary music scholarship. Taking a cautionary stance, he observes that the issue is not whether ambiguity exists in music—for it must—but rather the paradoxical relationship between ambiguity and our systems of analysis. By drawing from the semiotic and philosophical work of Charles Sanders Peirce and Israel Scheffler, Agawu defines musical ambiguity as an instance when two or

more interpretations are *equally* possible.[11] Such a requirement, he adds, seems possible in the abstract, but within the context of a concrete music theoretical system, this specific type of ambiguity is quickly negated. Furthermore, Agawu states that our systems of music analysis resist ambiguous readings since these methods fundamentally seek to clarify such musical events. He expands on the anti-ambiguity stance of analysis in two main points. First, he asserts that musical ambiguity, when it truly exists, is a fleeting process within an irreversible ambiguity-to-clarity progression. For Agawu, the focus on clear closure in tonal music eliminates multiple meanings. Within the temporal aspects of music, ambiguity may be relegated to the beginning and middle sections of a process, but once a sense of closure is achieved, ambiguity is irrevocably eliminated. Thus, musical ambiguity becomes merely a temporary and subordinate experience. Second, context- and theory-based analyses eliminate ambiguity since certain theories will favour particular interpretations over others. Such a hierarchical organization of potential meanings would then disqualify analyses from being ambiguous since the individual readings are no longer equivalently possible.

To counter Agawu's skepticism, Smith suggests that genuine musical ambiguity can be communicated in analysis when we focus on the temporal

11 Charles S. Peirce, "Logic as Semiotic: The Theory of Signs," in *Semiotics: An Introductory Reader*, ed. Robert E. Innis (Bloomington: Indiana University Press, 1982); and Israel Scheffler, *Beyond the Letter: A Philosophical Inquiry into Ambiguity, Vagueness, and Metaphor in Language* (London: Routledge and Kegan Paul, 1979).

experience and retrospective interpretations of the listener. While Smith agrees with Agawu's point that ultimately closural and ending processes provide clarity to initially ambiguous situations, he argues that the instances of multiple meaning in music remain significant despite the end-goal of clarification. In particular, Smith notes that Brahms manipulates the possible multiple meanings in his themes with developmental and generative thematic restatements. Thus, a listener may come away with an altered and possibly conflicting interpretation of each repetition of the theme as the piece progresses. For Smith, the accumulation of these different meanings throughout the span of the work results in an overall perception of ambiguity.[12]

As we can observe up to this point, Agawu and Smith present two seemingly opposed viewpoints on musical ambiguity. In the first method, Agawu centres on a synoptic view of ambiguity, where the overall content of a work trumps momentary instances of multiple meanings. Comparatively, the second view by Smith focuses on the experiential and phenomenological aspects of ambiguity. These two approaches represent the respective experiences of analysis and performance. A Schenkerian graph's finalized presentation of an analytical process aligns with Agawu's point of view. Performance, on the other hand, relies on the unfolding of musical events through time and therefore, reflects

12 See David Lewin, “Music Theory, Phenomenology, and Modes of Perception,” *Music Perception* 3 (Summer 1986): 327–92. Alan Dodson incorporates Lewin's phenomenological model in his study on Schenkerian analysis and performance. Dodson, “Interpreting the Performed Work: Studies in Methodology.”

more of Smith's concerns.

While these two approaches initially appear opposed, the boundaries between an atemporal Schenkerian graph and the chronological perspective of performance are far from clear-cut. Analysts and performers share the same ambiguity-to-clarity model proposed by Agawu and Smith. Although the graph itself presents the end product of an analysis, an investigation of an analyst's method, such as my examination of Schenker's graphs, reveals a temporal process that inevitably confronts and then solves ambiguity. As Kevin Korsyn observes in his article on Schenker and Kantian epistemology:

> For Schenker, graphing is an activity, a process, rather than an end in itself. Each voice-leading sketch must be lived through, experienced, not admired like a visual pattern. To read a sketch is to recapitulate the process of analysis: one must interrogate the piece with all the questions the analyst asked. *The graph does not display time, because time can only be lived. But the process of analysis can bring temporality to consciousness*.[13]

Thus, the graph itself suggests temporality which can be subsequently realized through an internal reenactment of the beginnings, middles, and ends of an analytical process. While the graph in its entirety may present the end goal of an analysis, a reconstruction of a graph's initial and medial processes can be accomplished through an interrogation of the different levels of the graphs and by retracing an analyst's encounters with possible problems in the work. By referencing these analytical questions, a performance may present another

13 Korsyn, "Schenker and Kantian Epistemology," *Theoria: Historical Aspects of Music Theory* 3 (1988): 58. Emphasis mine.

method to enliven these foreground temporal aspects of the graph.

In the case of the first movement of Op. 90, Schenker's multiple graphs are important artifacts for the reconstruction of his particular analytical experience. The ambiguities in the placement of the structural $\hat{2}$ in the exposition and the unresolved cadential $\frac{6}{4}$ suggest possible moments where the performer can comment on and acknowledge multiple readings. While the completed graph itself clarifies such questions, a dialogue between performance and the act of analysis rather than the final version of the graph can allow a performer to interrogate and present multiple interpretations of these events. For example, m. 44 and/or m. 53 may be emphasized to highlight or hide the structural $\hat{2}$ and the boundary between tonic and dominant in the unresolved cadential $\frac{6}{4}$ may be manipulated in performance.[14] Thus, a performance can reference and present different points in Schenker's analytical process.

The alignment of performance with analytical process rather than with a finished, static view of the graph may suggest a way to manage our initial concerns with Schenker's philosophy of performance: 1) the reliance on objective and universal musical content expressed in the voice-leading graph; and 2) a unidirectional relationship from analysis to performance. While

14 Although it is beyond the scope of this study, a comparative study of different recordings may help to expand this thought. See Dodson, "Performance, Grouping, and Schenkerian Alternative Readings in Some Passages from Beethoven's '*Lebewohl*' Sonata;" and Mitchell S. Ohriner, "Grouping Hierarchy and Trajectories of Pacing in Performances of Chopin's Mazurkas," *Music Theory Online* 18 (April 2012).

Schenker's ideal, imagined performance may express his ideal, finalized analysis, perhaps alternative performances are possible in a revisionist reading of Schenker's philosophy, where performances may reflect the analytical processes and inquiries inherent in an active reading of the voice-leading graph. Thus, performance may become a vital and essential element in a Schenkerian perspective on performance and analysis, where the act of performance can revitalize the search for structure and clarity, and present paths to the underlying structure in time.

Conclusion

While this project was primarily focused on Schenker's philosophy of performance and analysis, an evaluation of his concerns within the context of modern scholarship is also possible. In his recent article on performance and analysis studies, Robert Hatten identifies three distinct approaches in the subdiscipline: prescriptive, interactive, and performative.[1] In the first type, a composition exists as an idealized and fixed entity discovered through analysis, while performance becomes a subordinate activity solely focused on bringing out the work's inherent meaning. As noted by Hatten, this perspective championed by Schenker, Edward T. Cone, Eugene Narmour, and Wallace Berry poses too many restrictions on the performer and silences their viable, creative input on the work.[2] The second approach centres on the balanced analytical interaction between performers and analysts. By viewing the musical score as a text, the performer may contribute gestural and embodied knowledge and the analyst can share their structural concerns in a reciprocal discovery of the composition.[3] The final method considers both performance and analysis as equally performative practices. From an interpretation of the work as an incomplete script, this

1 Robert Hatten, "Performance and Analysis—Or *Synthesis*: Theorizing Gesture, Topics, and Tropes in Chopin's F-Minor Ballade," *Indiana Theory Review* 28 (Spring and Fall 2010): 45–50.

2 Edward T. Cone, *Musical Form and Musical Performance* (New York: W. W. Norton, 1968); Eugene Narmour, "On the Relationship of Analytical Theory to Performance and Interpretation," in *Explorations in Music, the Arts, and Ideas: Essays in Honor of Leonard B. Meyer*, eds. Ruth A. Solie and Eugene Narmour (Stuyvesant, NY: Pendragon Press, 1988), 317–40; and Wallace Berry, *Musical Structure and Performance* (New Haven, CT: Yale University Press, 1989).

3 See Daphne Leong and Elizabeth McNutt, "Virtuosity in Babbitt's *Lonely Flute*," *Music Theory Online* 11 (March 2005).

perspective encourages a metatheoretical consideration of generated social meaning in the performer's and analyst's collective responses to the score.[4]

In this study, we have primarily encountered the first two categories. In relation to the first type based on prescriptivism, I observed that Schenker's philosophy was deeply rooted in the idea of clear and objective musical content. Although his definition of "content" changed during his career from psychological, foreground context to organicist, multi-level structure, the importance of analysis prior to the act of performance remained constant. After considering the interpretive flaws of this method, I presented a solution from Hatten's second category by examining how performance and analysis can interact to create a coherent reading of the first movement of Beethoven's Op. 90. I demonstrated that a performer's perception of register and musical expectation could reveal crucial clues that can help to clarify musical content. This new approach provided an opportunity to reverse Schenker's strict analysis-to-performance method and to suggest ways to manage the relationship between one ideal analytical reading and multiple interpretations.

Further investigation of Schenker's philosophy of performance may expand on all three kinds of performance and analysis discourse. First, an examination of Schenker's conflicting analyses of the second movement of Op. 90 and of his many unpublished notes on performance in the Oswald Jonas

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4 See Cook, "Analysing Performance and Performing Analysis;" and Cook, "Between Process and Product: Music and/as Performance," *Music Theory Online* 7 (April 2001).

Memorial Collection may yield more information on his prescriptive views and how they developed through time. Such research might present more definitive answers to why Schenker abandoned his theory of structural dynamics and why he left *Die Kunst des Vortrags* unpublished during his career.

Second, this project may provide the foundation for further research on the relationship between a Schenkerian graph and performance. Alexandra Pierce's embodied Schenkerian method of performance and Diane Urista's study on metaphor and embodiment in Schenkerian analytical terminology might suggest ways to connect the process of graphing to gesture and the physical concerns of performers.[5] Jeffrey Swinkin's work on Schenkerian performance and analysis based on Susanne Langer's discursive and presentational symbolization suggests another meaningful juncture between metaphor, Schenkerian analysis, and performance.[6]

A study of recordings and different performance interpretations similar to Dodson's and Julian Hellaby's research may lead to another interactive exchange between performance and analysis in the first movement of Op. 90.[7] Such a project might further illuminate the two ambiguous passages in the work and

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5 Pierce, *Deepening Musical Performance through Movement*; and Urista, "Embodying Music Theory: Image Schemas as Sources for Musical Concepts and Analysis, and as Tools for Expressive Performance."

6 Jeffrey Swinkin, "Schenkerian Analysis, Metaphor, and Performance," *College Music Symposium* 47 (2007): 76–99; and Susanne Langer, *Philosophy in a New Key: A Study in the Symbolism of Reason, Rite, and Art*, 3rd ed. (Cambridge: Harvard University Press, 1957).

7 Dodson, "Performance, Grouping, and Schenkerian Alternative Readings," and Julian Hellaby, *Reading Musical Interpretation: Case Studies in Solo Piano Performance* (Burlington, VT: Ashgate, 2009).

perhaps reveal more moments for productive discussion.

Finally, Blasius's preliminary work on the social, cultural, and philosophical influences in Schenker's performance methodology could be expanded with more archival research on Schenker's unpublished commentary.[8] Together, these potential research paths might lead toward a reconciliation between Schenker's many insightful contributions to the topic of performance and analysis and our own current modes of discourse.

8 Blasius, *Schenker's Argument*, 36–85.

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