

DRAFTS, PAGE PROOFS, AND REVISIONS OF SCHENKER'S *DER FREIE SATZ*:  
THE COLLECTION AT THE AUSTRIAN NATIONAL LIBRARY AND SCHENKER'S  
GENERATIVE PROCESS

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When Schenkerian theory began to influence scholarly circles in the United States, the primary – although not the only – work to which scholars had access was Schenker's last monograph, *Der freie Satz*. Reading textual passages and examining the many musical graphs in the companion volume of examples influenced their concept of the fundamental structure as Schenker understood it, as well as the relationship of the other levels (*Schichten*) to the larger structure. The problem is that most of the second generation of Schenkerian scholars were reading the 1956 second German edition, not the 1935 first German edition. The second edition had been altered for textual and musical content by Schenker's student, Oswald Jonas – so there is already a disconnect between the original version and the text scholars were reading at that time (the 1950s, 60s, and 70s). Furthermore, many younger North Americans were insufficiently fluent in German to be able to read the work in the original language.

In order to make Schenker's treatise accessible to English-speaking scholars, Ernst Oster set about translating the work into English, a task completed in 1979 just after his death. The text was based on the second German edition (ed. Jonas, Vienna, 1956), but the first edition (Vienna, 1935) was consulted also. Examples that were changed from the 1935 edition in the 1956 edition were not restored.

The first problem for those interested in gaining a more accurate understanding of Schenker's theories is that the first German edition is still unavailable in complete translation. The second and more serious issue involves the genesis of the first German edition. All these problems concerning the publication of the various editions have led to an incomplete

understanding of the work. Complicating matters is the relatively unexplored state of the late manuscript of *Der freie Satz* in the Vienna collection.

This study investigates the differences between the late manuscript material preserved in Vienna and the 1935 German printed edition of Schenker's *Der freie Satz*. The author seeks to provide new insight into the ordering of the text, and reveals, translates, and elucidates some omitted text and analyses.

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Jennifer Sadoff Auerbach

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## CHAPTER 1

### INTRODUCTION

The documents are kept in two copy-paper boxes that show age and wear. The workers bring them from the warehouse and the boxes sit on the shelves at Musiksammlung of the Österreichische Nationalbibliothek at the patron's orders. Deteriorating, the contents of the boxes that Anthony van Hoboken left to the library are unknown to most Schenkerian scholars, though the papers inside provide essential clues to the genesis of Schenker's most esteemed work, *Der freie Satz*.

When Schenkerian theory began to influence scholarly circles in the United States, the primary – although not the only – work to which scholars had access was Schenker's last monograph, *Der freie Satz*. Reading the passages in the text volume and examining the many musical graphs in the companion volume of examples influenced their concept of the fundamental structure as Schenker understood it, as well as the relationship of the other levels (*Schichten*) to the larger structure. The problem is that most of the second generation of Schenkerian scholars were reading the 1956 second German edition<sup>1</sup>, not the 1935 first German edition.<sup>2</sup> The second edition had been altered for textual and musical content by Schenker's student, Oswald Jonas – so there is already a disconnect between the original version and the text scholars were reading at that time (the 1950s, 60s, and 70s). Furthermore, many younger North Americans were insufficiently fluent in German to be able to read the work in the original language.

In order to make Schenker's treatise accessible to English-speaking scholars, Ernst Oster set about translating the work into English;<sup>3</sup> a task completed in 1979 just after his death.<sup>4</sup> In his preface to the English edition, Oster states that, “The text is based mainly on the second German edition (ed. Oswald Jonas, Vienna, 1956), but the first edition

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<sup>1</sup> Heinrich Schenker, *Neue Musikalische Theorien und Phantasien*. Vol. 3, *Der freie Satz* (book 1, text; book 2, musical figures), second edition, ed. Oswald Jonas (Vienna: Universal Edition, 1956).

<sup>2</sup> Heinrich Schenker, *Neue Musikalische Theorien und Phantasien*. Vol. 3, *Der freie Satz* (book 1, text; book 2, musical figures) (Vienna: Universal Edition, 1935).

<sup>3</sup> Heinrich Schenker, *Free Composition (Der freie Satz)* Volume III of *New Musical Theories and Fantasies*. Translated and edited by Ernst Oster (New York: Longman, 1979). Reprinted by Pendragon Press.

<sup>4</sup> The text had already been translated into English in Theodore Howard Kruger. “*Der freie Satz* by Heinrich Schenker: A Complete Translation and Re-Editing. Vol. I: The Complete Text. Vol. II: Supplement of the Musical Examples” (Ph.D. diss., University of Iowa, 1960). Although most scholars consider Kruger's translation to be inelegant and problematic.



(Vienna, 1935) was also consulted.”<sup>5</sup> Some passages that were removed in the 1956 edition because of their political bent were restored in the appendix to the English version, but not all of them.<sup>6</sup> Additionally, examples that were changed from the 1935 edition in the 1956 edition were not restored.

The first problem for those interested in gaining a more accurate understanding of Schenker’s theories is that the first German edition is still unavailable in complete translation. The second and perhaps more serious issue involves the genesis of the first German edition. All these problems concerning the publication of the various editions have led to an incomplete understanding of the work. Complicating matters is the relatively unexplored state of the late manuscript of *Der freie Satz* in the collection in Vienna.

To be sure, there have been some studies on the genesis of *Der freie Satz*. However, these have focused on materials found elsewhere. For instance in her essay “When Freier Satz was Part of Kontrapunkt: A Preliminary Report,” Hedi Siegel explores the genesis of *Der freie Satz* by considering some of the materials in the Oster Collection in the New York Public Library.<sup>7</sup> She shows that *Der freie Satz* began as a section slated to be the penultimate part of Schenker’s *Kontrapunkt*. This omitted part would have revealed the relationship between harmonic scale degree and voice leading as Schenker understood these concepts in 1922, before he had conceived the Ursatz and Urlinie as defined in his later work. Example 1 shows a chart from her essay that compares the seventh and eighth proposed chapters based on information contained in documents in the Oster Collection. Here we may observe that the structure of part 7 is not “Background, Middleground, Foreground,” as in the 1935 version,. Rather, these proposed sections mostly seem to deal with issues of voice leading at the foreground level and some other earlier-level matters, such as those involving scale steps (*Stufen*). Although she is aware of the collection in Vienna, Siegel does not deal with that source material or its ramifications in her essay.

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<sup>5</sup> Heinrich Schenker, *Free Composition (Der freie Satz)* Volume III of *New Musical Theories and Fantasies*. Translated and edited by Ernst Oster (New York: Longman, 1979), xiii.

<sup>6</sup> For a discussion of the omitted passages reinstatement in the English translation, Carl Schachter’s “Elephants, Crocodiles, and Beethoven: Schenker’s Politics and the Pedagogy of Schenkerian Analysis,” *Theory and Practice* 26 (2001): 2

<sup>7</sup> From *Schenker Studies II* (Cambridge: Cambridge University 1999), 12-25.

Others who have discussed the genesis of *Der freie Satz* as well include Charles Burkhart, who has explored the treatise's genesis in his lecture, "Schenker's 'Missing' Book: the Evolution of Schenker's *Der freie Satz*" given as the Keynote Lecture at the Texas Society for Music Theory Meeting (February 24, 2006). Like Siegel, however, he dealt primarily with features documented by the Oster Collection materials. Gregory Proctor and Herbert Lee Riggins also discuss aspects of organization in *Der freie Satz* in their article, "Levels and the Reordering of Chapters in Schenker's *Free Composition*."<sup>8</sup> However, their work has more to do with a conception of the parallels between the various larger sections in the work pertaining to structural levels and how the work might be clearer with a different ordering of the sub-chapters. Since their work does not address the various manuscript versions, they do not shed new light on how Schenker actually conceived of the structure of his book in the process of writing it.

There remains a need for a study that investigates the differences between the late manuscript material preserved in Vienna and the 1935 German printed edition of Schenker's *Der freie Satz*. The present dissertation seeks to facilitate new insight into the ordering of the text, as it attempts to reveal, translate, and elucidate some omitted text and analyses. As I shall demonstrate, the Anthony van Hoboken collection contains the latest draft material of the text and the fair copy of the examples, all of which are later than the material in the Oster Collection.

Most of my work has focused on going through the Vienna manuscripts and comparing them to the 1935 printed version. It has also been enlightening to find passages from the early manuscripts in the Oster Collection in New York and trace their development back even further. I shall present several examples of both text and music, some of which go all of the way back to the early manuscripts and some of which are to be found only the Vienna collection and the 1935 edition.

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<sup>8</sup> Gregory Proctor and Herbert Lee Riggins, "Levels and the Reordering of Chapters in Schenker's *Free Composition*," *Music Theory Spectrum* 10 (Spring, 1988): 102-126.

One goal of this dissertation is to describe the contents of the boxes in van Hoboken collection in detail. I will describe the documents in order of their appearance, which may or may not have been arbitrary—that is unknown to us. This collection was donated to the library by Hoboken in 1978 and was in his *Nachlass* at the time of his death.<sup>9</sup> While the exact dating and ordering of the materials is problematic, reconstructing the chronology is not completely impossible, owing to the dates entered by Schenker’s wife Jeanette on some of the leaves.<sup>10</sup> Although we may not have a description from Schenker about which versions and corrections were made when, Schenker seems to have been meticulous about labeling page numbers and authorial subject; perhaps he went to considerable lengths to leave clues to future researchers as to genesis of his book. There are several examples where text from the draft has been altered and musical examples omitted or changed compared to the published version. Since there are so many, this study will select approximately 50 passages to trace and translate, and 25 changed or omitted musical examples to discuss in depth. Further work may be done at a later time to create a complete edition of the changed passages.

Most of the research for this study was conducted while I was living in Vienna from September, 2005 to June, 2006, under the auspices of the William J. Fulbright international research scholar program with the generous support of the Austrian and United States governments. Additional research was conducted at the New York Public Library in June, 2006 and January, 2008, and at the Oswald Jonas Memorial Collection in January, 2008. I examined the documents in the Vienna collection using a short guide compiled by Hedi Siegel. Following her lead, I determined which documents fit together and what they represented. While there were other items in these two boxes, I focused on the hand-written manuscript (in Box 1) and the hand-written examples (in Box 2). I carefully read through each leaf of text and compared it to the 1935 printed edition. When I found a variation, I made a note of it and tried to determine if it had been moved, altered, or omitted entirely. I transcribed the changed or omitted text.

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<sup>9</sup> These are the contents of the two boxes comprising catalog number Mus.Hs. 36390 of the *Musiksammlung* of the *Österreichische Nationalbibliothek* (Music Collection of the Austrian National Library). The other large collections of Schenker documents are housed in “The Oswald Jonas Memorial Collection,” University of California, Riverside; Special Collections Library, Batchelor Hall; “The Oster Collection,” The New York Public Library, New York, NY (call no. JOB 89-25).

<sup>10</sup> Based on many of the dates in the manuscript given by Jeanette Schenker (occasionally she will list an exact date, time, and location of a thought, especially if it was devised late at night) I believe this manuscript was written mainly in 1932. I also base this conclusion on several scraps of paper that have dates on the back (scraps from medical reports and obituaries), which also have the 1932 year on them.

When I visited the Oster Collection in the New York Public Library, I looked through the leaves there to try to determine an approximate dating. Then I cross-referenced passages that had been changed or omitted in the Vienna collection in order to trace their development. I also visited other archives in Vienna to see if there was any other material of interest. In one of the archives at the Wiener Stadt- und Landesbibliothek, I found the Universal Edition correspondence between Schenker and Emil Hertzka (Hertzka's letters to Schenker), and I gained access, copied the letters, and read them to gain insight into the publication history of *Der freie Satz*. At the Jonas Memorial Collection, I examined correspondence between Anthony van Hoboken and Schenker and between Otto Erich Deutsch and Schenker in order to determine who may have worked on editing *Der freie Satz* after Schenker's death. Finally, I considered this work in order to put it into perspective and formulate a coherent study.

The first collection I visited was at the Austrian National Library. I had spoken with scholars who had seen the collection and confirmed that there were items of interest, especially the late drafts and *Korrekturen* of *Der freie Satz*<sup>11</sup>. I wrote to the head of the library, Thomas Leibnitz, who extended an invitation to me to work in the collection. After being awarded a Fulbright grant, I worked in the collection from September 2005 to June 2006. At the time of my arrival the entire music collection was being moved from a small room near the Albertina to larger premises in the Palais Mollard located at Herrengasse 9 in the first district of Vienna. In this particular collection (catalog number Mus.Hs. 36390), I was able to handle the documents, and I was sure to do so with care since some of them were starting to deteriorate. Some of the documents were bound with string, which had dug into the sides of the pages. I was careful to preserve the order in which I found the sections or bound material.

Regarding the other two collections I worked with, I was granted permission to examine original documents in the Oster Collection despite the fact that the collection has been preserved on microfilm. I found this necessary, because the reproductions on the microfilm are low resolution and monochrome, and the film is deteriorating. I went to the music collection at the New York public library and handled the material carefully in a monitored study room. In examining the documents I first needed to determine which ones were important. Besides the score collection and other larger materials, there are 86 "files" in this collection. Some of the files are small enough so that several can fit in one

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<sup>11</sup> Hedi Siegel provided me with invaluable information about her initial impression of this collection, as did Timothy Jackson.

“box,” while others are so big that they require multiple boxes. They are not all physically located in the same place, and they need to be ordered, at most three files at a time. I was able to determine which documents might be of interest based on the finder’s guide that was produced by Robert Kosovsky.<sup>12</sup> When I went to the library in New York to examine the documents I had already gone through the Vienna collection; therefore I was able to search for passages that may have changed at the later stage to find out if they had changed at an earlier stage as well. I did not look exhaustively through these materials comparing them to the 1935 printed version, since we can assume that changes made between the early drafts and the late drafts were made by Schenker.

The Oswald Jonas memorial collection did not contain much that would be applicable to this study. When I went I was able to easily access the materials in the collection. I had spoken with the person in charge ahead of time and they brought me materials in the monitored reading room. The most relevant materials that I found there were the revised editions of *Der freie Satz* with Jonas’s hand-written annotations. I searched through the book to see if some of the questions that I had about the 1935 printed German edition had been addressed by Jonas in his annotations, but they had not been. Most of the things he commented on were practical considerations. For instance, see Example 4, which shows page 118 of the examples in the first German edition. Here Jonas has corrected 10 measure numbers in the Mozart Rondo K.V. 485, which is in example 155 of the set. The changes he indicated and which we are familiar with are interesting for their own sake; nevertheless, after examining them I determined that they did not inform the changes I was concerned with, so I will not explore them in detail in this dissertation.

This study is organized into four main chapters: 1) Introduction, 2) Review of the Literature, 3) Research Findings, and 4) Conclusion. The transcriptions and translations, the heart of the research is located in the third chapter.

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<sup>12</sup> Robert Kosovsky, *The Oster Collection: Papers of Heinrich Schenker: A Finding List* (New York: New York Public Library, Music Division), 1990.

The bibliography is divided into two main sections: primary and secondary sources. The primary sources include select published works of Schenker and translations of *Der freie Satz*, while the secondary sources cite articles on the genesis and ordering of the work, guides, indices, and catalogues, and published reviews of *Der freie Satz*. Since Schenker was prolific and the scope of this study is narrow, I have included only selected essays written by others regarding Schenker's work (and Schenkerian methodology).

In conclusion, this dissertation presents the investigative work I have done in order to piece together the manuscript materials from the various known *Nachlässe* in New York and Vienna of *Der freie Satz*. I shall not discuss the documents in the Oswald Jonas Memorial Collection—in Riverside, California, mainly since there are so few materials that pertain to this study. There is a very interesting set of copies of *Der freie Satz* in that collection – that is – an original 1935 edition with Jonas's annotations – presumably which he used to make the 1956 edition. I also found a note from Hoboken to Jeanette Schenker from after the 1935 printing, where he expressed his wish that Otto Erich Deutsch help make a corrections list to send to Universal Edition—this, after observing the many errors in the work. The most wide-reaching goal of this dissertation is to show the importance of considering the omitted textual and musical passages from Schenker's *Der freie Satz*. I shall continue work in this area in order to complete a more comprehensive compendium of these passages, and ultimately, I hope to answer some of the questions surrounding the reasons for the changes at each stage of its genesis.

## CHAPTER 2

### REVIEW OF THE LITERATURE

Since this dissertation is mainly concerned with the genesis of Schenker's *Der freie Satz*, all known primary source English and German versions of the work have been reviewed and evaluated. As discussed in Chapter 1, the published German editions of *Der freie Satz* examined include the 1935 first edition published by Universal Edition (UE) as well as the 1956 second edition also published by UE, which was edited by Oswald Jonas, who was a student of Schenker from 1918–20. Schenker died on January 13, 1935, before he was able to complete the final revisions. In the second German edition, Jonas corrected errors from the first edition, and he also changed and omitted passages and musical examples. Specific examples of these changes will be discussed in later chapters.

The English translations of *Der freie Satz* include the 1960 dissertation and translation by Theodore Howard Kruger and the 1979 edition translated by Ernst Oster, who had been a student of Jonas in Berlin.<sup>1</sup> The Oster translation reinstates some passages that were left out of the second German edition. To complicate matters, Oster's passing before the translation was published means that, similar to the situation with the original, the publication of this work was made without Oster being able to apply his final thoughts before it took its final form. The Oster translation is widely known and cited most frequently. Since I do not believe it sheds any new light on this discussion, I shall not engage the Kruger translation, but I will compare passages from the Oster translation with other editions and manuscript materials.

Much of this dissertation focuses on unpublished materials in various *Nachlässe* that give hints as to Schenker's thinking at various stages of the development of *Der freie Satz*. The materials in the Oster Collection in the New York Public Library were donated by Ernst Oster's estate after his death in 1977. Most of the items in the collection were obtained from Schenker's wife, Jeanette Schenker, as Oster fled Europe. These include analyses, correspondence, unpublished writings on music, clippings, and musical scores. Most applicable to this study have been the early versions (in some cases prototypical) of *Der freie Satz*. Since they are wide-ranging, I shall discuss dating in the specific chapters

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<sup>1</sup> For a translation of *Der freie Satz* into French, see: Heinrich Schenker, *L'écriture libre*, trans. Nicolas Meeus, 2<sup>nd</sup> ed. (Liege: Mardaga, 1993).

that deal with the materials. Mrs. Schenker completed an inventory of the items and Oster included annotations on the list,<sup>2</sup> indicating their potential value with the following markings on specific items:<sup>3</sup>

! means the item is “valuable”

!! means the item is “very valuable”

w means that work is needed to put the item into publishable form.

ww means that “exceedingly much work” is required to put the item into publishable form.

The Oswald Jonas Memorial Collection at the University of California, Riverside does not contain documents that are particularly relevant to this study, but I did go to Riverside to examine the collection. I was intrigued by the annotations in the 1935 edition of *Der freie Satz* in this collection, since Jonas seems to have indicated the errors that he wished to correct in the second German edition. Most of these corrections are minutia and most are in the examples section. For the most part, I shall not deal with these changes since they have little to do with the genesis of the book. I did look at some correspondence between Otto Erich Deutsch and the Schenkers, especially focusing on the

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<sup>2</sup> Robert Kosovsky, *The Oster Collection: Papers of Heinrich Schenker: A Finding List* (New York, New York Public Library, Music Division, 1994).

<sup>3</sup> These markings are according to the Kosovsky finding list. Robert Kosovsky completed a comprehensive finding list of the items in 1990, which has been very helpful to me in exhuming the appropriate leaves for comparison. I am grateful to Dr. Kosovsky and the New York Public Library for allowing me direct access to the materials collection on numerous occasions and for granting permission to publish selected manuscript leaves in this dissertation.



pieces of correspondence with Mrs. Schenker after Schenker's death. I was looking for information about the editorial process after Schenker's death, and I did find a mention of Deutsch's concern about the errors in the edition.

The most intriguing aspects of my research are the new discoveries made in the Anthony van Hoboken Collection in the Österreichische Nationalbibliothek in Vienna. The collection in Vienna is made up of two of the latest manuscripts for *Der freie Satz*. One is on long leaves of paper bound with string, and the other comprises square leaves – both are written in Jeanette Schenker's handwriting with Schenker's comments on the leaves. There are several sets of *Korrekturen*, which appear to have been sent to Otto Erich Deutsch and to two other unknown people – they did not seem to suggest many changes. As noted above, although the exact dating and ordering of the materials is problematic, it is not completely impossible, based on the numbering of the pages and dates on some of the leaves.

I examined various pieces of correspondence throughout the process of trying to date the various manuscripts and also in an effort to understand when and why Schenker may have made certain changes or added or subtracted examples. One lingering question concerns Schenker's editor for *Der freie Satz*. Schenker used various publishing houses throughout his career, though Universal Edition was the most stalwart. His relationship with editor, Emil Hertzka of Universal Edition extends back to 1907 when Hertzka was brought on, and their correspondence continues to the time of Hertzka's death in 1932 (May 9, 1932).<sup>4</sup> Broken up by animosity at times, which even extended to legal action (in the 1920s) by Schenker, the two men did work together for twenty-five years. When Hertzka died, it is unclear who took up the duties of editing *Der freie Satz*. I did consult the correspondence between Schenker and Hertzka, which is housed in the Universal Edition collection of the Wiener Stadt- und Landesbibliothek (the city library of Vienna). It was enlightening to see the dialectic between the two, although there was little if anything that applied to this research.

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<sup>4</sup> Ian Bent has written about the tumultuous relationship between Hertzka and Schenker in: "'That Bright New Light': Schenker, Universal Edition, and the Origins of the Erläuterung Series, 1901–1910," *Journal of the American Musicological Society* 58/1 (Spring 2005): 69–138.

Various articles and books about Schenker's work and process have been beneficial to my research. The first type of source I shall discuss addresses issues of genesis and order in *Der freie Satz*. Although Carl Schachter's article was published both as a review and again as a commentary on the work, I shall consider Schachter's critical review in this section because I think that its weight seems to be heavier on the side of critical commentary.<sup>5</sup> In his essay, Carl Schachter spends very little time discussing issues surrounding this translated edition – mostly he talks about the structure of the monograph itself and identifies questionable aspects of design and problematic or questionable characteristics of the work. For example, he observes that it would have been useful for Schenker to have been explicit about which graphs specify how many levels are present, and he wishes that Schenker would have explained the kinetic metaphor mentioned in §183 to a greater extent.<sup>6</sup> He also expresses the view that the graphs in *Free Composition* are insufficiently elaborate to be convincing regarding the existence of octave lines.<sup>7</sup> Furthermore, like Laufer, he offers criticism of the work and criticizes some of Schenker's analyses.<sup>8</sup>

Works that have aided in the collection of information and in finding appropriate materials include guides, indices, and catalogs, which I shall explain here. Of the major Schenker collections guides exist to varying extents, Robert Kosovsky's Oster Collection finding list is by far the most extensive, having been completed over the process of 6 years and funded by a grant by the National Endowment for the Humanities.<sup>9</sup> In its first section, the guide lists 93 numbered and unnumbered files, appendices, and collections. Most of the files refer to a box or set of boxes with related materials (for example, File 51 is "An Early Version of *Der freie Satz*"). In subsequent sections of the guide, Kosovsky

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<sup>5</sup> Carl Schachter, Review of *Free Composition (Der freie Satz)*: Volume 3 of *New Musical Theories and Fantasies* by Heinrich Schenker, ed. and trans. by Ernst Oster, *Journal of Music Theory* 25/1 (Spring, 1981): 115-142. Later published as, "A Commentary on Schenker's *Free Composition*" in *Unfoldings: Essays in Schenkerian Theory and Analysis* (New York: Oxford University Press, 1999), 184-205.

<sup>6</sup> Schachter, "A Commentary on Schenker's *Free Composition*," 188 and 189.

<sup>7</sup> *Ibid.*, 194.

<sup>8</sup> For example, Schachter explains that the prolongations shown in the graphs in the section on the middleground seem more likely to represent background structures (*Ibid.*, 195). He also criticizes the section on contrapuntally prolonged basses for only including examples of pieces in major keys (*Ibid.*, 197). While there is little said regarding the translation of *Der freie Satz*, which Schachter was involved with to some extent (he wrote the biography of Oster, which appears in the book), the critical review of the work itself is certainly valuable for its own sake.

<sup>9</sup> Robert Kosovsky, *The Oster Collection: Papers of Heinrich Schenker: A Finding List* (New York: New York Public Library, Music Division, 1990).

goes leaf by leaf (recto and verso, sometimes), giving a description of the particular document and its significance. Furthermore, since there are so many versions and states of *Der freie Satz* draft material in this huge collection, Kosovsky has included an appendix (Appendix 1) that shows in which files the early versions of *Der freie Satz* are located, and he proposes a comparison with the published version's section headings.<sup>10</sup> This is problematic because, as Siegel has explained, the earliest version of *Der freie Satz* as it exists in this collection (the section that was to have been the next to last in Kontrapunkt II) did not morph directly into the finished 1935 monograph. Rather, these documents represent Schenker's early thinking about free composition that predates the concept of the Ursatz in Schenker's thinking.

Another extensive list is Robert Lang and Joan Kunselman's guide to the Oswald Jonas Collection. Oswald Jonas Memorial Collection housed at the University of California at Riverside<sup>11</sup> contains the some 4000 pages of diaries Schenker kept from 1896-1935, Jonas' papers and scores, a photograph collection, manuscripts and letters.<sup>12</sup> The collection was donated to the library after Jonas' death in 1978 by his step-daughter, Irene Schreier Scott. Most helpful for me in this research has been the checklist (finding guide) for the collection made by Robert Lang and Joan Kunselman.

Since few people are aware of the Anthony van Hoboken collection in Vienna, there has not yet been an extensive guide made of the contents. Hedi Siegel, however, has visited the collection and made a concise guide in 1991 for personal use that was never published.<sup>13</sup> The guide explains that the essay on top of all the documents is not one by Schenker (because it mentions his death), and it also lists the various versions of *Der freie Satz* in the collection (including the copies of the *Korrekturen* and the fair copies).

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<sup>10</sup> Includes files: 79, 74, 51, and 6.

<sup>11</sup> Oswald Jonas Memorial Collection, Collection Number 067. University of California, Riverside Libraries, Special Collections Department, University of California, Riverside.

<sup>12</sup> The guide is also conveniently now available in an online version. I am grateful to Eric Milenkiewicz, Assistant Archivist of the University of California, Riverside Special Collections Department for his assistance in gaining access to documents in the collection. [c.f. Robert Lang and Joan Kunselman, *Heinrich Schenker, Oswald Jonas, Moriz Violin: a Checklist of Manuscripts and Other Papers in the Oswald Jonas Memorial Collection* (Berkeley: University of California Press, 1994)].

<sup>13</sup> I am grateful to Hedi Siegel for making this guide available to me.

Evelyn Fink-Mennel has edited a booklet with examples and essays, which came out of a Schenker exhibition in Vienna in 2003. The book contains photos of Schenker and his circle and as Schenker memorabilia and essays about Schenker reception in Vienna. It also contains historical information about Schenker pedagogy in Vienna coinciding with the annexation as well as during post-war times to the present day. Contributors to this book include important Viennese Schenkerians: Peter Barcaba, a student of Franz Eibner (in turn a student of Jonas), and Martin Eybl, also a student of Eibner and at present the leader of the *Lehrgang für Tonsatz nach Heinrich Schenker* (the special course in Vienna for the study of Schenkerian structure). I was fortunate to have met Eybl, Fink-Mennel, and Patrick Boenke (also a student of Barcaba and Eybl) while in Vienna. Meetings with them as well as this pamphlet contributed to my understanding of the cultural context of Schenker's work. The papers from the exhibition were subsequently compiled in a book edited by Fink-Mennel and Martin Eybl, entitled, *Schenker-Traditionen: Eine Wiener Schule der Musiktheorie und ihre internationale Verbreitung / A Viennese School of Music Theory and Its International Dissemination*.

A new, developing project related to Schenker has also been helpful and merits discussion in this context. The online Schenker Correspondence Project, led by Ian Bent and other Schenkerian scholars, presents transcriptions and translations of letters, postcards, diary entries, obituaries, and other unpublished items relevant to Schenkerian scholarship.<sup>14</sup> Although much of the work on this project has been underway during my research, it no doubt will be a valuable resource for scholars in the future.

Finally, there are approximately ten significant reviews of *Der freie Satz* that I was able to locate. Of these, I shall focus on three representative reviews by Carl Dahlhaus, Roger Kamien, and Edward Laufer. The review of *Der freie Satz* by Carl Dahlhaus appeared in the *Die Musikforschung* in 1959 following the publication of the second German edition. Essentially, Dahlhaus (like some early commentators on Schenker's works or theories) presents an explanation of Schenker's methodology, presumably for those who are unfamiliar with it. He does not specifically mention the first edition, and I think it is noteworthy that this review was presented by a German-speaking musicologist in a German-

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<sup>14</sup> Schenker Correspondence Project. <http://mt.ccnmtl.columbia.edu/schenker/index.html> <accessed 20 March 2008>. Ian Bent, Geoffrey Chew, William Drabkin, Martin Ennis, Martin Eybl, Christoph Hust, Timothy L. Jackson, Kevin Karnes, Nicholas Marston, William B. Pastille, Michaela Rejack, John Rothgeb, Lee Rothfarb, Irene Schreier Scott, Hedi Siegel, and Robert Wason.

language journal despite the fact that most of the people interested in Schenker's theories at this time were living in the English-speaking world, mostly the United States. In any case, Dahlhaus attempts to remain objective about the theory, and simply present examples of the various levels and show how harmony and counterpoint interact. There are just a few times when he interjects a few critical remarks. It is noteworthy that Dahlhaus was an admirer of Wagner and his concept of *Gesamtkunstwerk*, and that Schenker did not regard Wagner well. Some interesting comments from Dahlhaus include the following:<sup>15</sup>

Dahlhaus - German	English Translation
Zwar ist der Vorrang der II. vor der IV. Stufe in der Kadenz eine historische Tatsache, doch darf die Subdominante der funktionalen Harmonik nicht der IV. Stufe in der Kadenz gleichgesetzt und zur sekundären Stufe degradiert werden.	Though the primacy of the second scale degree over the fourth scale degree at the cadence is an historical fact, one must not equate the functional subdominant to the IV in a cadence, and thus degrade the subdominant to a secondary degree.

<sup>15</sup> Unless otherwise noted, English translations of original German passages are my own. This passage is from Dahlhaus, 524.

He also goes on to say that Schenker's reduction (and extreme generalization) of the main theme of the first movement of Brahms' fourth symphony to the three-line "g-f#e" supported by a I-IV-V-I progression shows an absurdity of the system.<sup>16</sup> Otherwise he does not seem to criticize the method, and it is interesting to observe his impression of Schenker's theories, which is otherwise fairly accurate.

Like Schachter's review-article, Edward Laufer's review of *Der freie Satz* is not simply a retelling or an explanation of Schenker's methods (as may be said of Dahlhaus' review), but rather it is a self-contained piece of scholarship that engages the original work (*Der freie Satz*), the 1979 Oster translation, and its relationship to the previous German editions.<sup>17</sup> Though its first first pages discuss the merits of the work and the translation, the last section (some 20 pages) of the article take as its explicit premise the notion that the readings in *Der freie Satz* do not reflect Schenker's final view of the pieces they analyze. As Laufer puts it, "Certain musical examples in the posthumous DFS [*Der freie Satz*] would have undoubtedly have been revised had Schenker lived."<sup>18</sup> He does assert the fact that Schenker's ideas are complete as they are, however, and explains that any modifications or expansions of his ideas constitute a new method, though we may say that said new method is influenced by Schenkerian theory.<sup>19</sup> The reviews by both Laufer and Schachter engage Schenker directly, even though the stated goal of each article is to review the 1979 English translation. I shall engage some of the items each author takes issue with on the other end of the continuum; that is, since they both seem to think that Schenker may have (or should have) amended his analyses had he lived beyond 1935, any instances of variation beforehand will be noted (when Schenker may have considered presenting material in a different way, but somewhere along the line either changed it himself, or it was changed by someone else).

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<sup>16</sup> Ibid.

<sup>17</sup> Edward Laufer, Review of *Free Composition (Der freie Satz)*: Volume 3 of *New Musical Theories and Fantasies* by Heinrich Schenker, ed. and trans. by Ernst Oster, in *Music Theory Spectrum* 3 (Spring, 1981): 158-184.

<sup>18</sup> Ibid., 163.

<sup>19</sup> Ibid., 161.

Finally, Roger Kamien's 1981 review of *Free Composition* lauds the original work itself as well as the translation. Kamien explains that Schenker's ideas evolved and that *Der freie Satz* represents a snapshot of Schenker's analyses and methodologies.<sup>20</sup> He goes on to say that Schenker's notation changed and that the notational inconsistencies do not detract from the reader's understanding of Schenker's ideas in this work. He points out that since Oster possessed many of the unpublished materials he was singularly in a position to translate this work eloquently and put the ideas in context based on these unpublished materials.<sup>21</sup> I would argue that though he did have access to a great deal of the unpublished analyses and documents, Oster did not have in his possession the latest materials, which we now know are located in Vienna. While I would not disagree with the assertion that Oster was uniquely able to provide us with the best translation, I would humbly point out the problem (which I naturally address in this study) of his lack of familiarity with the late manuscripts; surely, the ability to review these documents would have informed his understanding to an even greater extent. Kamien also deals with the issue of rhythm and meter sensitively, since it has long been an element of Schenker's methodology addressed by critics of Schenkerian theory.<sup>22</sup> Mainly, Kamien shows how the section on *Dehnung* touches on this central issue, but admittedly requires refinement or elaboration. This is an issue that Dahlhaus also addresses, though Dahlhaus is not as positive about the ability of Schenkerian theory to speak to issues of rhythm in music at all. Finally, Kamien, like other commentators on this work, clarifies that *Der freie Satz* is not an introduction to doing Schenkerian analysis, nor does Schenker (or Oster for that matter) explain this methodology in this work. Rather this is a collection of analyses, reductions, and annotated score sections which are enlightening for the informed reader.

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<sup>20</sup> Roger Kamien, Review of *Free Composition (Der freie Satz)* in *The Musical Quarterly* 67/1 (January, 1981): 113.

<sup>21</sup> *Ibid.*, 115.

<sup>22</sup> *Ibid.*, 116.

## CHAPTER 3

### RESEARCH AND FINDINGS

This chapter deals with the research and findings of this dissertation. I assume that the various annotations in the documents of the collections were by readers whom Schenker authorized. Deciphering the handwritten documents and commentary posed a challenge. Since most of the text of the leaves were in Jeanette Schenker's handwriting, I needed to become familiar with her style of writing. Fortunately, she is fairly consistent and clear. As I read through more of the documents, I began to become familiar with the "look" of her letters. Her script seems to be a compromise between Latin script writing and *Sütterlinschrift*.<sup>1</sup> Example 1 shows a chart of *Sütterlinschrift* style letters.

Let us take, for example, a leaf from the Vienna collection (see Example 2). The third word of the fourth line down is "Quinten" – the capital "Q" resembles the one on this chart. The third word of the ninth line down is "können," which starts with a lower-case "k" that resembles the one on this chart as well. However, not all of her letters are constructed according to this system. The first letter of the first word on the second line is "S," which does not look exactly like the capital "S" on the chart in example 1, but does not resemble a modern "S" either. This is an example of a letter for which I just had to get to know her style. Since the lower-case "m" and "n" look similar in written prose, I had to make logical judgments much of the time regarding which letter was actually being used. This is especially complicated if the letter in question is preceded by an "e," since they are very close in construction. Most of the time I could make a reasonable guess about the letter based on the context, but I received help from native speakers in late stages of my work in an effort to be certain.<sup>2</sup>

Reading Schenker's handwriting was more challenging than reading his wife's. Here I used technology to help. I took a photograph of the document and enlarged it in order to make out the problematic words. Looking at Example 3, we can see that the first three words of the back of leaf 280 read, "Das ist also...." His capital "D" resembles the

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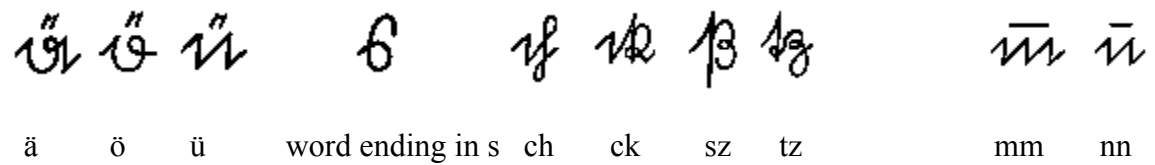
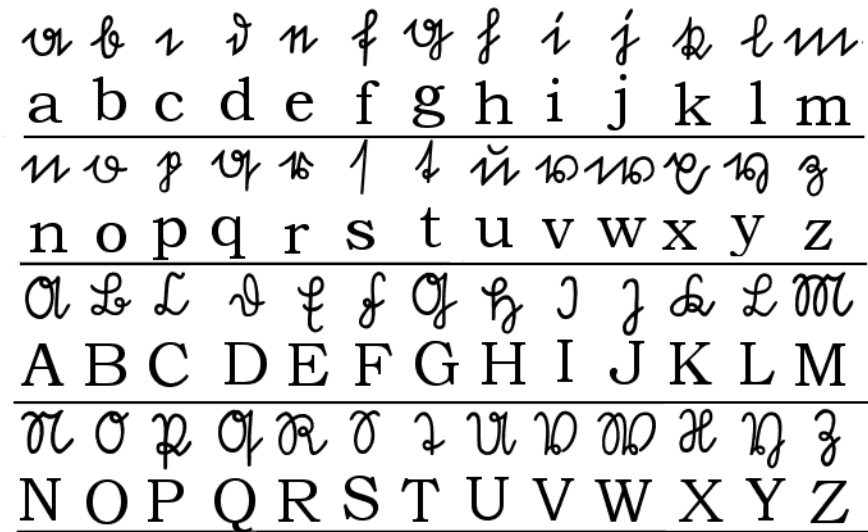
<sup>1</sup> This system of writing was developed by Ludwig Sütterlin (1865-1917), who was an artist from Berlin. It was the handwriting style that was taught from about 1915 to 1941 in German schools.

<sup>2</sup> I am particularly grateful to Dr. Timothy Jackson and Dr. Frank Heidlberger for their help with this.



one on the chart, as does the lower-case “s” from “ist” and “also.” It was also very helpful to be at the library since I could sometimes ask a question of the librarians. Essentially, there was a sharp learning curve to becoming acquainted with the handwriting well enough to understand these documents.

Example 1 Letters in the *Sütterlinschrift* handwriting style<sup>3</sup>

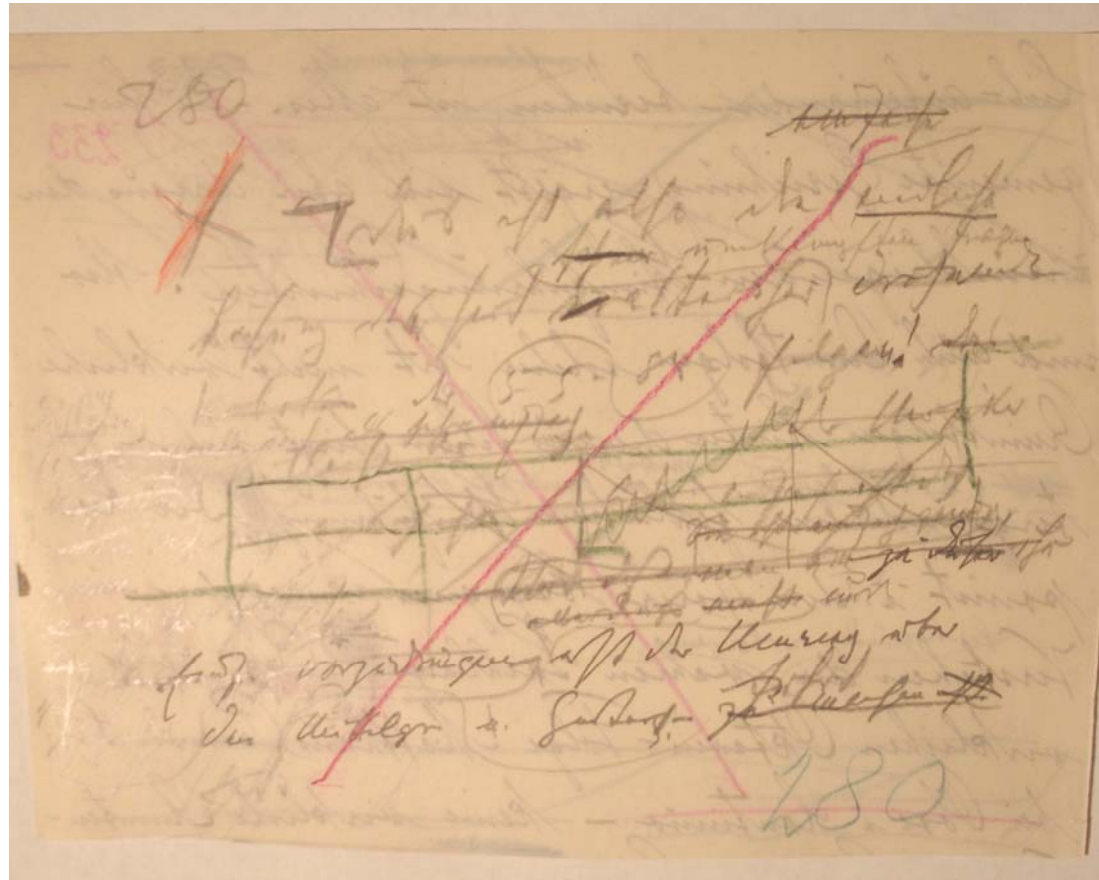


<sup>3</sup> This chart was made by Peter Doerling and accessed on his website: <http://www.suetterlinschrift.de> on May 10, 2008.

Example 2. Leaf 279 from Vienna Collection – in Jeanette Schenker's Handwriting

Turbat der offenen 8- u. 5- Folgen mit dem strengen  
Satz. Es bleibt somit bei dem Turbat der offenen  
8- u. 5- Folgen auch im Turbarumde, wenn die  
Oktaven oder Quinten mit unbedingt sich  
licher Unbedingtheit wie im strengen Satz aufstreben  
d. h. wenn die Töne, die die Oktaven oder Quin-  
ten ausmachen, sich aufeinander so unbedingt  
beziehen, wie im strengen Satz. Wenn solche  
Beziehung fehlt, können die Töne auch im  
Turbarsatz 8- oder 5- Folgen machen, es ist  
dann ein einfaches Geld zu nehmen  
ist, wie wenn zwei Menschen an einander vor-  
übergehen, die weil sie keine Beziehung  
haben, auch keinen Griff haben. Das sie  
übergehen allein macht es nicht, um das

Example 3. Leaf 280 from Vienna Collection – in Jeanette Schenker’s Handwriting



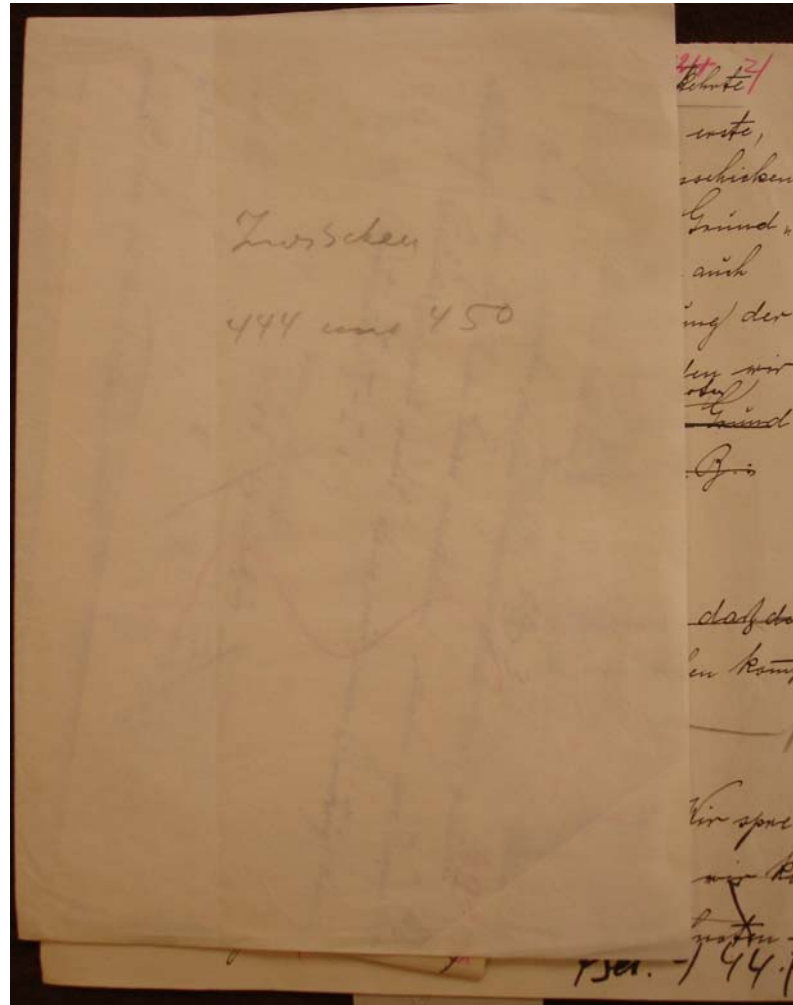
In addition, there is a file in this collection that contains 13 leaves that Jeanette Schenker indicated should go between leaf 449 and 450. Example 5 shows the cover page for this section, which I believe is in her handwriting. I cannot be sure if she meant these leaves were part of the earlier version in the Oster Collection or the later version in the Vienna collection. However, I do suspect that they belong with the Vienna collection leaves, because it is in the vicinity of leaf “444” in the Vienna pages that the numbering

system is disrupted. I estimate there to be about 100 unnumbered leaves which were inserted after leaf 444 of the Vienna collection. Then the next numbered leaf is 450. Perhaps these 13 leaves from the Jonas Collection belong to those unnumbered leaves. I shall consider these leaves in context of the order of the late draft manuscript examination.

Example 4. Page 118, First German Edition from the Oswald Jonas Memorial Collection

The image shows a page of handwritten musical notation. At the top, there is a handwritten note: "10 Differenz. !". The page is divided into three systems of music. The first system is for Mozart's Rondo, K.V. 485, starting at measure 4 and ending with a Coda. The second system is for Mozart's Rondo a moll, K.V. 311, starting at measure 5 and ending with a Coda. The third system is for S. Bach's Wtp. Klav. I, Fuga d moll (vgt. Fig. 58, 5), starting at measure 1 and ending at measure 156. The notation includes various musical symbols such as clefs, notes, rests, and dynamic markings. There are also some handwritten annotations and numbers above the staves.

Example 5. Cover page, 13 leaves between 449 and 450, Oswald Jonas Memorial Collection



Concerning research procedures, after certain assumptions were made regarding the authenticity of the documents, I set about to find out if there were differences between the late manuscript and the 1935 printed edition. When reading the manuscript, I had the 1935 printed edition open and followed along with the text. If I found something that

differed by omission or change of wording, I made a note of it. I found it useful to translate some passages as I went along in order to determine the topic of a particularly long omission ( for example, a passage that was found in the manuscript but not the printed text) in order to discern if it had been moved to a later section of the book.<sup>4</sup> Deciphering this also gave me an insight into the re-ordering of topics at this stage of the work's development.<sup>5</sup>

In approaching the editorial process of a work of music or text, certain decisions must be made with regard to editorial practice. In the 20<sup>th</sup> century, different ideologies of editing were developed that changed the type of final product. Specifically, critical theorists W. W. Greg and Fredson Bowers proposed a method for producing critical editions whereby the one main text, the copy-text, had other versions of the work incorporated into it.<sup>6</sup> Their main idea was to produce a single work derived from diverse sources or versions of it in ultimate service of what they deemed to be the author's intention.

Conversely, Jerome McGann took issue with this method of copy-text editing in his landmark monograph, "A Critique of Modern Textual Criticism."<sup>7</sup> McGann claimed that while the Greg-Bowers methodology may have been useful for ancient and pre-print texts, modern texts not only fail to benefit from this approach, but rather the final product ends up as an amalgamation of no individually extant version. McGann argued:

For the critic of modern texts, the Classical model upon which his own procedures are based frequently does not suit the material he is studying, and has often served, in the end, to confuse his procedures. Because this textual critic actually possesses the "lost originals" which the classical critic is forced to hypothesize, his concept of an ideal

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<sup>4</sup> For this task I relied on the interactive online dictionary, <http://dict.leo.org> because it is up to date, and words that may be jargon are commented on by actual German speakers in a separate section.

<sup>5</sup> As noted earlier, this work gestated for 15 years or longer, and evidence of the earlier ordering is found in documents in the Oster Collection, which suggests the most dramatic difference as far as stages of development goes.

<sup>6</sup> The "copy-text" refers to the text that is given to the printers from the author. Greg and Bowers appropriate this term for an editorial method that creates an amalgamation of sources to create the final "authoritative" text of a work.

<sup>7</sup> Jerome McGann, *A Critique of Modern Textual Criticism* (Chicago: University of Chicago Press, 1983).

text reveals itself to be – paradoxically – a pure abstraction, whereas the classical critic’s ideal text remains, if “lost,” historically actual. Modern editors who possess a large body of prepublication materials therefore stand in an entirely different relation to the editorial situation than do their classical counterparts.”<sup>8</sup>

In an effort to find the purest form of a work, editors using the copy-text method would privilege manuscript over published versions since they supposedly represent the author’s unadulterated intent. Supposedly contained in manuscripts is a version of the work that has not been tainted by publishers, critics or the public. The manuscript is supposedly reflects the author’s intent and not someone else’s.

McGann, however found several problems with this aspect of the approach. First, manuscripts contain “notational obscurities,” and the printed edition represents a version that the author has proofed and corrected to the point of being what s/he would reveal to the public. Perhaps more importantly, McGann saw the production of a text as a social phenomena that requires collaboration – for it is in this collaborative process that the literary text is located. The literary work can thus be seen as connected completely with the culture in which it was created.

Between whom exactly is the authorial dialectic taking place? The author does not compose a text as a sovereign entity without influence from cultural and political stimulus, as well as their editors. Rather, the author is influenced by such forces, so divorcing him/her from those forces in the editorial process is misguided. Reconceptualizing authorship is thus critical to determining appropriate text-editing procedures for modern texts.

In the case of Schenker’s *Der freie Satz*, numerous versions of the work exist that date as far back as 1919. There is no argument that Schenker himself was directly involved in each of the subsequent manuscript copies of *Der freie Satz*. Why then would an editor scrap the published version and return to the so-called “pure” version from its earliest conception? If one would not remove all the changes that came from Schenker’s reconsideration (1919-1935), from interaction with his colleagues, his publisher, his critics, his students, and the cultural milieu of *fin de siècle* Vienna, what would be the utility in reverting to an earlier state of the text? From the standpoint of piecing together

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<sup>8</sup> Ibid., 57.

Schenker's thought process, it is surely a fascinating endeavor to walk in his steps as his ideas congealed. Nevertheless, any proto-version of *Der freie Satz* is no more pure than it is final. It is for this reason that this study does *not* take as an assumption that Schenker's voice was somehow stifled or censored. Unfortunately the history of the publication of *Der freie Satz* is muddied with the censoring that was done in the process of translating the book into English – a fact that unfortunately burdens subsequent researchers of this text.

To be sure, this study will reveal a snapshot in time of *Der freie Satz* – one that shows what Schenker thought when he was dictating the latest draft to his wife, Jeanette. Intentionally not included are annotations that Schenker himself made at a later stage, since it is unknown when and under what circumstances those changes were made. More importantly, it is not the goal of this study to show how Schenker got from the 1932/1933 draft to the printed edition. Clearly that happened, and, as is written in the dedication, Schenker himself saw and edited *Korrekturen*, the latest of which to page 135, and up through Figure 122. The version of the text that was published represents the extent to which Schenker adjusted the work in order to present it to the public.

Perhaps the most arduous task of this study is the translation of Schenker's writing from German into English. Because Schenker writes in a style that is something between poetry and prose, I shall only be able to approximate what he is saying in my translations. Deciding between an interpretive and a more literal translation was at times difficult. Because the main task of this study is to highlight the differences between two versions, some potential translations had to be rejected because they would not allow for such a comparison. These translations are not meant to be an edition, but rather they solely are for scholarly use.

Based on many of the dates in the manuscript given by Jeanette Schenker (occasionally she will list an exact date, time, and location of a thought, especially if it was conceived late at night), I believe this manuscript was written mainly in 1932. I base this proposed dating also on several scraps of paper that have dates on the back (scraps from medical reports and obituaries), which also have the 1932 year on them. Let us consider the boxed *Der freie Satz* material found in the Anthony von Hoboken Collection in detail.



## **Box 1**

### **Object 1.1**

At the top of this box is an eight-inch by nine-inch black folder with handwritten notes in it. Some of the pages are loose and some are bound within. They are all written by hand in ink. Many of the sheets have comments written on them in other colored ink or pencil (pink, green, blue).

#### **Item 1.1.1**

There are 30 loose pages, which contain commentary on the examples and their ordering. All except for the first sheet are numbered from 1-14 and then from 1-15 in pink ink.

#### **Item 1.1.2**

The second set of loose pages, which are numbered 1-15 is headed with the word *Verzeichnis* (catalog).

#### **Item 1.1.3**

There are 34 sheets bound in the folder and they are numbered in pink from 1-34. These also contain addendums and corrections in pink, red, and green pencil. Each one of the sections § is detailed in this version, which resembles the ordering of the final published version table of contents.

### **Object 1.2**

83 long pages (doubled over themselves). These pages are about 8 inches by 30 inches and the text is printed lengthwise (not widthwise like the *Der freie Satz* examples volume). This is the entire text of *Der freie Satz* (not the examples) starting from chapter one. It does not include any forwards, preface material or table of contents. The pages are all engraved, presumably from Universal Edition (not typed from a typewriter) with very select annotations and corrections in ink by an editor (possibly Schenker himself, though this is unknown). Each long page has a large number typed on the top in the center rather cursively and in distinguishably larger type than the text itself. The annotations are made in ink and pink pencil.

### **Object 1.3**

This is a set of pages, which are on top of a cardboard envelope labeled with the following typed label:

Herrn

Otto Erich Deutsch

Wien II/1

Boecklinstr. 26

The label is crossed off in blue pencil and it is written, “mein Umbruch” (my changes) in the same blue pencil. These seem to be Deutsch’s corrections to this engraved draft (*Korrektur*).

The following pages are on top of this envelope in this order:

**Item 1.3.1**

Pages 233-240

Description: “Verzeichnis” This is an off-print of the appendix of the text volume. Some corrections are made on this copy in blue pencil. None of the listings are associated with page numbers in this version, as they are in the final version.

PAGE 233: On top of the page is written, “Deutsch” and after the word “Verzeichnis” is written “der Noten\*\*\*\*\*.” Commas are added after the word “Konzert” and before the word “Brandenburgisches” and “Italienisches,” and the editor indicates that the words “französische” and “englische” should be capitalized.

PAGE 234: There is a marking next to the word “Art” with an indication to include a comma. The mark appears to have been later stricken with a different regular pencil mark. There is a wavy blue line on the left margin next to where the word “Sinfonie” is repeated several times, in the Beethoven column, but there are no other directives.

PAGE 235: There is a wavy blue line written on the left margin next to where the word “Sonate” is repeated several times, but there are no other directives.

PAGE 236: There is a wavy blue line written on the left margin next to where the word “Etude” is repeated several times, but there are no other directives.

PAGE 237: There is a wavy blue line written on the left margin next to the words “Polonaise,” “Prélude,” “Scherzo,” “Sonate,” and “Walzer,” but there are no other directives. Between the entry for “Crüger” and “Hassler” the editor inserted an entry for “Despres,” which appears in the final printed version. In the fifth line, the word “Improptu” is corrected to be “impromptu.”

PAGE 238: There is a wavy blue line written on the left margin next to the word “Chaconne,” but there are no other directives. There is a wavy blue line written on the left margin next to the word “Andante,” but there are no other directives. The letter “v” in the word “Klv” has a strike in it and next to it the editor has indicated to omit this. It was not changed in the final version. Under the entry for “Sinfonie (mit dem Paukenschalg)” the editor wrote in blue to omit the parentheses in blue pencil, and then in pink pencil this editorial mark was stricken. There is a word in the left margin written in pink, which I cannot read (Gdin?). There is an “S” written in blue pencil next to the word “Sommernachtstraum,” but then it was crossed out with pink pencil. There is an “S” written in blue pencil next to the word “Fantasie,” but then it was crossed out with pink pencil.

PAGE 239: There is a pink mark through the letter “v” in “Klv” in the first line. The parenthesis are to be removed from the word “Haslinger” under the “Scarlati-Czerny” entry – this is also written in pink pencil. These two changes appear not to have been made in the final version. Under the Schubert entry the Roman numeral “III” is changed to “3” for the “Wanderers Nachtlid,” the “7” in “87” is stricken and changed to “9” in “Auf dem Flusse;” both of these changes were made in the final version. After the word “Forellen,” the comma is stricken with blue pencil, but this change was not incorporated into the final version, rather there is a dash after “Forellen” in the final version. The term “op.--- .” is stricken with blue pencil and it had been removed in the final version, and the term “3. Satz” is

in its place. Although there are other marginalia on this page indicating something (looks like an “H”), these additions do not appear to have come from this version of the Verzeichnis.

PAGE 240: Under the entry for Schubert’s works was listed the “Sonate in Bdur (posthum),” but it was stricken with pink pencil. In the final version this piece is omitted.

### **Item 1.3.2**

Pages 233-240

Description: “Verzeichnis” This is an off-print of the index of the text volume. It is identical to the previous pages but has no corrections or addendum.

### **Item 1.3.3**

Pages 30-232

Zweiter Abschnitt, Erstes Kapitel – [from the Erster Teil – Hintergrund]

There are no corrections made in this one at all. On empty pages, usually before a new chapter, it is written, “Leer.” The pages seem to look identical to the actual printed version of the text. All of the text is in the same place and these seem to be the off-prints of the text volume.

#### **Item 1.3.4**

Breitkopf und Härtel booklet

*Mitteilungen des Hauses Breitkopf und Härtel* dated March, 1935. This is a booklet of twenty-two pages that does not appear to be directly related to *Der freie Satz*. There are some listings of works available for purchase and a few essays. There is an essay about Schütz and Händel and an essay about a performer named “Lilo Martin,” who appears to be a woman composer whose first work is offered here by Breitkopf und Härtel. There is an essay by Kurt Thomas on an evangelical topic, and an insert regarding Chopin literature, as well as an essay about Brahms by Alfred von Ehrmann.

#### **Item 1.3.5**

Title page, table of contents and pages 1-240. This appears to be a version of the text fairly late in the printing progress. At this point the editors are still finding errors in the printing and also inserting the page numbers in the table of contents and the index. The first page found in this object was blank and editors have written on it, “Prof. Deutsch,” “LL” (probably stands for “Lieliechen,” Schenker’s pet name for his wife) “leer” (indicating that it should be left empty), “L.135 \*\*\*\*\*” (?) and a Roman numeral “I.” Each of the initial pages before the table of contents is labeled with a Roman numeral (I, II, III, IV, V).

PAGE III: This is a title page and it has the aphorism “Semper idem, sed non eodem modo” on it. The editor struck the comma after the word “idem” in order to remove it. It is omitted in the final version.

PAGE IV: Where it states the copyright on this page, this was added to “Alle Rechte vorbehalten”

### **Item 1.3.6**

Pages 23-26 of the Breikopf und Härtel booklet.

### **Object 1.4**

At the bottom of box one there is a stack of pages that appear to be the first manuscript of *Der Freie Satz* in Jeanette's hand with corrections indicated by Schenker himself. The pages are about eight inches by seven inches, but there are many other pieces of paper of varying sizes in this stack. Sometimes a sentence is written on a small scrap of torn blank paper, and sometimes a thought is scribbled on the back of some other document (for example Emil Hertzka's obituary!). There are approximately 700 pages in this stack. Most of the pages are numbered, and there are divisions within the stack. The first set of papers has a large number written in blue pencil, usually on the back of the page. Each of the pages has a line through it (usually in pink pencil) indicating that another copy has been made. The pages are mostly in order of the numbers written on them, but some of the pages are slightly out of order and required detective work to decipher where they fit in.

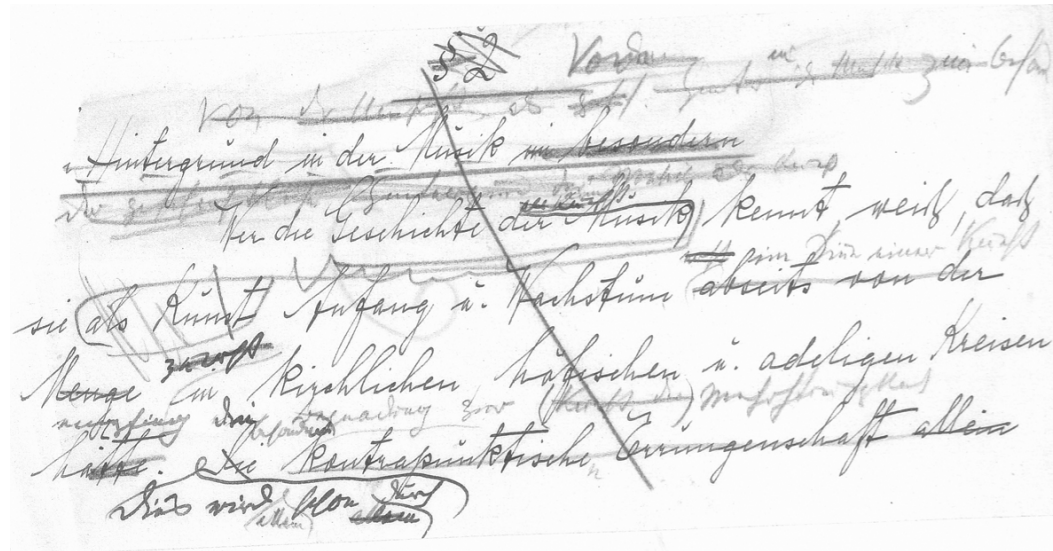
In the following section I shall compare the manuscript with the 1935 printed edition, and where there are changes I will indicate this using grayed text. Wherever applicable, I will include Oster's 1979 English translation of the 1935 German edition for contextualization. Because they are too difficult to discern, I will not include transcriptions or translations of material that Schenker changed within these leaves (usually indicated with strikethroughs on the leaves). Such a translation procedure may be pursued in further studies on the topic, but do not deal directly with the issue of changes from the manuscript to the printed edition.

## CHAPTER 4

### EXEGESIS AND COMPARISON OF THE VARIOUS MANUSCRIPT SKETCHES WITH THE 1935 PRINTED VERSION

This passage from leaf 5 shows the changes of §2 from the manuscript to the printed version (see Examples 6 and 7). The main difference is in the refinement of the explanation of the concept of “music” or “music as an art.” Schenker may have decided that the way this passage was phrased was redundant. The final statement of this selection originally spoke about “counterpoint” as the source of modern art music, but later it was changed to “polyphony.” The change of verb from “wird” to “muss” in the final sentence of this section creates a different connotation. Here Schenker is talking about how artistic achievement in music *will* remain unknown to the masses, but in the revised version, the use of the word, “must” in place of “will” changes the meaning to an active proscription on his part. Schenker seems to be saying that not everyone can or should understand the complexities of music, revealing Schenker’s elitism.

Example 6. Leaf 5, Vienna Manuscript





Example 7. Translation of Leaf 5 Selection

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§2 Hintergrund in der Musik im Besondern</p> <p>Wer die Geschichte der Musik kennt weiss, dass sie als Kunst Anfang u.[nd] Wachstum im Sinne einer Kunst abseits von der Menge im kirchlichen höfischen und adeligen Kreisen hätte empfing. Dies wird allein schon durch die kontrapunktische Errungenschaft bestätigt, die der Menge ewig fremd bleiben wird.</p>	<p>§2 The Background in Music, in particular</p> <p>The history of music reveals that music as an art really began and flourished in ecclesiastical, royal, and aristocratic circles, apart from the masses. This is already [confirmed] just by the achievement of counterpoint, which will forever remain alien to the masses[...]</p>	<p>Zweites Kapitel</p> <p>Vom Hintergrund in der Musik</p> <p>Wer die Geschichte der Musik kennt, weiss, dass sie Anfang und Wachstum in kirchlichen, höfischen und adeligen Kreisen empfing. Das wird allein schon durch die Begnadung zur Mehrstimmigkeit bestätigt, die der Menge gewiss ewig fremd beleiben muss.</p>	<p>Section 2:</p> <p>The Background in Music</p> <p>The history of music reveals that music really began and flourished in ecclesiastical, royal, and aristocratic circles. This is confirmed by the fact that music developed polyphony, which must forever remain alien to the masses.</p>

Examples 8 and 9 show a passage from leaf 13 removed from 1935 German version, which was originally between paragraphs 4 and 5 of the Drittes Kapitel: Vom Ursatz als Inhalt des Hintergrundes in der Musik (The Ursatz as the Content of the Background in Music). This passage reveals Schenker's belief that an Ursatz exists in music as in the

other arts.<sup>1</sup> The last sentence of this section presents problems for translation with Schenker's use of the term "in Zeit," which can mean "in a timeframe" (as is used in the translation in Example 9), or "in time." This omitted section was originally situated within a philosophical explanation of the Uralinie and its life through the transformation levels from middleground to foreground. The poetic omitted section does not seem out of place within this description, and is typical for Schenker; it would have been illuminating left in.

Example 8. Leaf 13, Vienna Manuscript

*Zu dem inner  
Hintergrund  
neuen Wachstum des Stimmführungsinhaltes im Verlauf des  
Mittelgrundes haben wir den Ersatz für jene tiefen  
u. Hintergründe in den anderen Künsten, sofern sie eben  
Hintergründe in Zeit u. dem Geist der Zusammenhänge  
bringen.*

<sup>1</sup> For further discussion of Schenker's interaction with members of other artistic circles see Hedi Siegel's essay, "Looking at the Uralinie" in *Structure and Meaning in Tonal Music: Festschrift in honor of Carl Schachter*. ed., L. Poundie Burstein, David Gagne (Hillsdale, NY: Pendragon Press, 2006), 79-99. In the essay Siegel reveals information about Schenker's discussions with the artist, Viktor Hammer, in which the two speculate about the presence of backgrounds in the visual arts.

Example 9. Translation of Leaf 13 Selection

Vienna Manuscript	English Translation of Manuscript
<p>Das Leben der Urlinie und der Baßbrechung drückt sich aber nicht allein in der ersten horizontalen Folge und in der ersten Brechung aus, es breitet sich auch noch durch den Mittelgrund, durch die von mir Stimmführungs-, Verwandlungsschichten, Prolongationen, Auswicklung u. Ä. Benannten Zustände aus bis hin zum Vordergrund. In dem nun neuen Wachstum des Stimmführungsinhalts im Verlauf des Mittelgrundes haben wir den Ersatz für jene Tiefen u[nd] Hintergründe in den anderen Künsten, sofern sie eben Hintergründe in Zeit u[nd] dem Geist der Zusammenhänge bringen.</p> <p>Wie immer sich ein Vordergrund zuletzt entfalte, immer ist es der Ursatz des Hintergrundes, der Mittelgrund der Verwandlungsschichten, die ihm die Gewähr naturorganischen Lebens bieten.</p>	<p>The life of the fundamental line and the bass arpeggiation manifests itself not only in the first horizontal succession and in the first arpeggiation; it also expands through the middleground, through what I have called the voice-leading and transformation levels, prolongations, elaborations, and similar means, into the foreground. In the new growth of the contents of voice-leading in proliferation of the middleground we find an analogy for those deeper levels and backgrounds in the other arts, as far as they provide such backgrounds within a timeframe and present unified wholes to the spirit.</p> <p>Whatever the manner in which the foreground unfolds, the fundamental structure of the background and the transformation levels of the middleground guarantee its organic life.</p>

A passage from leaves 14 to 15 was omitted from printed edition (see Examples 10–11), which was originally between paragraphs 9 and 10 of the *Drittes Kapitel: Vom Ursatz als Inhalt des Hintergrundes in der Musik*. This passage precedes Schenker’s religious discussions, where he reveals his idea about the relationship between man and God, which parallels the transformation of the background to the foreground.<sup>2</sup> Translating the word, “Schwung” in this context is problematic because it does not mean “emphasis” as

<sup>2</sup> This kind of mirroring of music to religion follows a tradition set forth by other music theorists, such as Jacques de Liège (*Speculum Musicae*, (Paris, ca. 1330), in which Jacques de Liège talks about how God’s divine laws are mirrored in musical structure. The sense of the Old Testament prophesy is a thread that runs throughout Hans Weise’s writings (see the unpublished diaries) as it runs through Schenker’s. Schenker

it normally would. Rather “Schwung” contains the flavor of “movement.” The foreground has impulse; its meaning is alive. Additionally, the change from “is” to “was” in the sentence, “The Ursatz was the viewing position of the whole that prevents a squinted perspective,” indicates a change in Schenker’s meaning. “Is” denotes something that is continuously true, whereas “was” denotes an historical perspective, or something that had been so historically. It is a shame that this poetic section was omitted since, again, it shows a projection of Schenker’s personification of musical concepts in life. The Ursatz has “impulse” as in *Gestalt* theory, where a generating force affects and propels the artwork like DNA.

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saw himself as a prophet, proclaiming the laws of music. The epitaph on his gravestone reads, “Here lies he who perceived the soul of music, and who proclaimed its laws in the greatest sense as no one did before him,” which exemplifies this world view [HIER RUHT DER DIE SEELE DER MUSIK VERNOMMEN IHRE GESETZE IM SINNE DER GROSSEN VERKUNDET WIE KEINER VOR IHM].

<sup>zum K. 14</sup>  
~~Auf allem Verweg des Vordergrundes ruht~~  
~~das Angesicht des Urates, der Urate <sup>dar, als</sup> ist der Blick~~  
~~punkt für das Ganze, <sup>das</sup> nur <sup>schilfend</sup> schilfend ge-~~  
~~trachtung schützt. Im Urate ruht die Zusammen-~~  
~~schau, die Lösung aller Spaltungen in eine letzte~~  
~~Einheit.~~

Schon der kleinste Blumenstrand bedarf ir-  
 gend einer Ordnung, leitender Linien, die dem  
 Auge möglich machen, auf kürzeste Weise das Ganze  
 zu umfassen! Leitender Linien bedarf auch das Ohr,  
 n. zwar muss mehr, als es sozusagen ein jüngeres

Organ als das Auge ist. 10  
 2. Und was ist ein Lauf mehr als die be-  
 stimmte Auskomposition einer Landschaft im Feld  
 n. Kein n. Haus, die als Linie von Einzelhäusern  
 nicht umschrieben wäre. 11  
<sub>zwar nicht, aber Verbeugung</sub>  
<sub>1. Lauf wo kein Dorf,</sub>

Example 11. Translation of Leaf 14-15 Selection

Vienna Manuscript	English Translation of Manuscript
<p>Auf allem Schwung des Vordergrundes ruht das Urgesicht des Ursatzes, der Ursatz war der Blickpunkt für das Ganze, der vor einer schielenden Betrachtung schützt. Im Ursatz ruht die Zusammenschau, die Lösung aller Spaltungen in eine letzte Einheit</p> <p>Schon der kleinste Blumenstrauss bedarf irgend einer Ordnung, leitenden Linien, die [es] dem Auge möglich machen, auf kürzeste Weise das Ganze zu umfassen! Leitender Linien bedarf auch das Ohr, u[nd] zwar umso mehr, als es sozusagen ein jüngerer Organ als das Auge ist.</p> <p>Und was ist ein [Ursatz] doch mehr als die bestimmte Auskomponierung einer Landschaft in Feld und Wiese und Haus, die als Summe von Einzelhäusern nicht umschreiben wäre?</p>	<p>Above all the impulse [Schwung] of the foreground derives the original shape of the Ursatz. The Ursatz was the viewing position of the whole that prevents a squinted perspective. The complete picture rests on the Ursatz, [it is] the resolution of all divisions into one final unity.</p> <p>Even the smallest bouquet of flowers requires some organization, a common thread that directs our attention and enables the eye to comprehend the whole in the most quick and economical way! The ear requires common threads to lead us, too - even more so since the ear is, so to speak, a younger organ than the eye.</p> <p>A landscape made up of a field, a meadow, and a house cannot be described as a sum of singles houses [or elements]. Similarly, should an Ursatz not be more than a particular composing out [contained within it]?</p>

The original name of the fourth chapter of the first *Abschnitt* of part one was slightly different, though the meaning does not seem to have changed a great deal (see Example 12). The newer title contains more detail, so it may have been changed in order to convey more information in the heading.

Example 12. Translations of the Original and Printed versions of the Fourth Chapter, First *Abschnitt* Heading

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Der Ursatz in Komposition und Theorie	The Ursatz in Composition and Theory	Bedeutung des Ursatzes für Komposition, Lehre und Vortrag	The Significance of the Fundamental Structure for Composition, Instruction, and Performance

In the first *Teil*, first *Abschnitt*, fourth *Kapitel*, paragraph 25 originally contained more material, which is shown on leaf 53 (see Examples 13 and 14). Here Schenker mentions several examples that illustrate his point, which is that deeper structural issues about pieces of music are frequently ignored, yet they remain critical for understanding key and tonality. For example, Schenker mentions, Chopin’s op. 25, #11, Brahms’ Fourth Symphony (second movement), and an unspecified Chopin Mazurka. Schenker criticizes other theories that derive meaning from passages or aspects of a piece that are not very significant structurally. It is unfortunate that this passage was cut because it does provide one more indication from Schenker about why he believes his methodology to be critical for reevaluating “misguided” analyses. Schenker probably removed this part because he did not want to explore details of these pieces in the introduction of his monograph. Following this omitted text is “Passage J” from the 1979 English edition, which purports that conventional music theory is problematic (more discussion of this subject follows in the next section).

The last sentence of the omitted passage shown in Example 14 contains the word “entziehen,” which means “to withdraw.” In this context Schenker expresses the notion that tonalities can “withdraw” their key (meaning). That means that at a local level, a musical excerpt may appear to be in a certain key, however the key would be “withdrawn” as the key of the overall work is privileged. Conventional music theorists try to change the meaning of the whole to fit their understanding of the small (foreground) ideas.

Example 13a. Leaf 53, Vienna Manuscript

*op. 25 XI, T.?, in Brahms IV Sinfonie, 2. Satz T.?, nicht die Parallelismen in Chopin Mazurka Cism[oll] und Adur usw.*

Example 13b. Leaf 54, Vienna Manuscript

*Wie oft stösst die Theorie im Vordergrund auch auf Stellen, die sich ihrer Deutung als Tonarten auch dann entziehen wenn sie Tonarten anzunehmen sich wollten. Ich sammle auf meine in den Jahrbüchern I-III in den Vokali-Fakeln durchgeführten Analysen.*

Example 14. Translation of Material from Leaves 53 and 54, Omitted from 1935 Printed Edition

Vienna Manuscript	English Translation of Manuscript
<p>Wie oft verkennt die Theorie Ereignisse des Vordergrundes, nur weil sie deren Herkunft aus Einfacherem nicht begriffen hat!</p> <p>z.B. nicht die Brechung in Chopin op.25 XI, T.?, in Brahms IV Sinfonie, 2. Satz T.?, nicht die Parallelismen in Chopin Mazurka Cism[oll] und Adur usw.</p> <p>Wie oft stösst die Theorie im Vordergrund auch auf Stellen, die sich ihrer Deutung als Tonarten auch dann entziehen wenn sie Tonarten anzunehmen sich</p>	<p>All too frequently theory has failed to recognize many events in the foreground, simply because it has not understood their origin in the more elemental.</p> <p>For example, [the theory has not seen] the interruption in Chopin's op. 25, #11, in Brahms' Fourth Symphony, second movement, and it has not understood the parallelisms in Chopin's c-sharp-minor and A-major Mazurka, and so on...</p> <p>How often does conventional theory trip up also on passages in the foreground that also then lose their meaning as tonalities (if one wanted to describe them as such)! See my</p>



entschliessen wollte. Ich verweise auf meine in den *Jahrbüchern I-III* und in den *Urlinie-Tafeln* durchgeführten Analysen.

analyses presented in *Meisterwerk 1-3* and in the *Fünf Urlinie-Tafeln*.

Leaf 60 contains a passage that was omitted from the printed version of paragraph 30 from the fourth chapter of the first Abschnitt (see Examples 15-16). This section (within the first chapter on the background) deals with “The Significance of the Ursatz for Composition, Instruction, and Performance,” and contains considerable philosophical text on the topics of creativity, technology, sketch study, and orchestration. Essentially, Schenker is critical of contemporary music theory’s tendency to be concerned with, and based on foreground phenomena. The passage in question was, in fact, among the passages that Rothgeb translated in the appendices (Appendix J) in the 1979 English translation. Naturally this passage itself was not in an appendix in the 1935 German printed edition, though the manuscript contains wordings that were omitted or changed, as shown in Example 16 (see below). There are several changed words or phrases and one omitted passage. While the first word is changed from “entspricht” (to correlate to) to “gleichkommt” (“to be equivalent to”), the meaning does not seem to be obscured by this change. In the sentence, “The theorist on the other hand feels modest enough to reject (dismiss) such music research right off the bat,” Schenker is being sarcastic. Music theorists will not question the flawed notion that music research is separate from music. He probably omitted this remark because he did not want to offend music theorists who were his colleagues. The second phrase was omitted, and that is a qualification within the sentence, that is that even though there are better solutions, musical hearing is still labeled erroneously as “music research.”



Example 16. Translation of Material from Leaves 60-61 omitted from the end of paragraph 30 from Abschnitt 1, section 4

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Bis heute mußte alle Theorie an dem Vordergrunde scheitern, weil sie alles eben nur aus dem Vordergrunde nahm und las, in ihm die einzige Quelle der Betrachtung pflegte. Der Tiefstand der Theorie, deren Anmaßung und Ueberheblichkeit ihrem Gehalt an Irrtümern entspricht, wird am besten dadurch gekennzeichnet, daß sie alle besseren Lösungen, wie das wirklich musikalische Hören [,] für „Musikforschung“ erklärt, die mit Musik nichts zu schaffen habe. Der Theoretiker wieder fühlt sich dann bescheiden genug [,] eine solche Musikforschung von sich abzulehnen. Wie traurig, daß so eine verkehrte Betrachtungsweise auch in Deutschland</p>	<p>Until now, all theory had to founder on the foreground, because theory selected and read only from the foreground, using it as the only source of phenomena to be considered. The sorry state of theory, whose arrogance and pretentiousness equals the amount of its errors, is most accurately characterized by the fact that it labels all other better solutions, like the true musical hearing, as “musical research” (<i>Musikforschung</i>) that has nothing to do with actual music. The theorist on the other hand feels modest enough to reject (dismiss) such music research right off the bat (a priori). How sad that such a distorted way of thinking</p>	<p>Bis heute mußte alle Theorie an dem Vordergrunde scheitern, weil sie alles eben nur aus dem Vordergrunde nahm und las, in ihm die einzige Quelle der Betrachtung pflegte. Der Tiefstand der Theorie, deren Anmaßung und Ueberheblichkeit ihrem Gehalt an Irrtümern gleichkommt, wird am besten dadurch gekennzeichnet, daß sie ein wirklich musikalisches Hören für „Musikforschung“ erklärt, die mit Musik nichts zu schaffen habe. Wie traurig, daß so eine verkehrte Betrachtungsweise auch in Deutschland zuhause ist, wo die größten Musik-</p>	<p>Until now, all theory had to founder on the foreground, because theory selected and read only from the foreground, using it as the only source of phenomena to be considered. The sorry state of theory, whose arrogance and pretentiousness is most accurately characterized by the fact that it labels a true musical hearing process as “musical research” (<i>Musikforschung</i>); what is commonly called musical research, however, has nothing to do with music. How sad that such a perverse way of thinking finds a place even in Germany, where</p>

zu Hause ist, wo die größten Musik-Genies wirkten!	finds a place even in Germany, where the greatest music-genius practiced their art!	Genies wirkten!	the greatest music-genius practiced their art!
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On leaf 63 there is a passage omitted between paragraphs 32 and 33 (see Examples 17 and 18). This section continues the vein of Schenker's frustration with music as it is taught. He takes issue with the notion that music can be quantified and taught step by step to children in what he sees as an unmusical, non-artistic fashion. In the omitted passage in question, Schenker explains that one should not bang out every note of the Urlinie just as one should not bang out every entry of a fugue subject. At the end of the passage, he continues by clarifying that one would not follow the barlines slavishly. He fears that the meaning of the musical work, and music in general is completely missed without analysis using the methods prescribed. Furthermore, he lends himself credibility by stating that the most famous conductors subscribe to his teachings. He may have omitted this section since it is too critical of the status quo of music pedagogy, or too self-justifying.

Example 17. Leaf 63, Vienna Manuscript

29/1 Ohne Kenntnis der ~~Hintergründe~~ <sup>Kann auch</sup>  
der Vertrag eines Ministerwesens nicht geraten. Nicht  
etwa daß die Valine ~~so~~ <sup>ausgerufen</sup> werden müßte,  
wie fälschlich im Vertrag ~~in~~ <sup>die</sup> Einsetzung aus  
gerufen werden. Schon allein das ~~Bestehen~~ <sup>Zusammen</sup>  
hängen ~~im~~ <sup>von</sup> ~~der~~ <sup>der</sup> ~~Vertrag~~ <sup>Vertrag</sup>  
~~einige~~ <sup>einige</sup> ~~von~~ <sup>von</sup> ~~den~~ <sup>den</sup> ~~Verträgen~~ <sup>Verträgen</sup>  
genügt ~~um~~ <sup>um</sup> ~~den~~ <sup>den</sup> ~~Vertrag~~ <sup>Vertrag</sup>  
zu übertragen. Ein solcher Vertrag ~~ist~~ <sup>ist</sup> ~~der~~ <sup>der</sup> ~~Orga~~ <sup>Orga</sup>  
nische Bewegung des Staates ~~war~~ <sup>war</sup> ~~allen~~ <sup>allen</sup> ~~betonen~~ <sup>betonen</sup> ~~ist~~ <sup>ist</sup>.  
damit, das Leben des Ministerwesens ~~ist~~ <sup>ist</sup> ~~aber~~ <sup>aber</sup> ~~aus~~ <sup>aus</sup> ~~Unkennt~~ <sup>Unkennt</sup>  
nis ~~der~~ <sup>der</sup> ~~Verträge~~ <sup>Verträge</sup> ~~zu~~ <sup>zu</sup> ~~erhalten~~ <sup>erhalten</sup> ~~ist~~ <sup>ist</sup> ~~unmöglich~~ <sup>unmöglich</sup>.  
Faktisch ~~ist~~ <sup>ist</sup> ~~aber~~ <sup>aber</sup> ~~kein~~ <sup>kein</sup> ~~Vertrag~~ <sup>Vertrag</sup> ~~einmal~~ <sup>einmal</sup> ~~im~~ <sup>im</sup> ~~Vertrag~~ <sup>Vertrag</sup>  
Kommen ~~zu~~ <sup>zu</sup> ~~den~~ <sup>den</sup> ~~Verträgen~~ <sup>Verträgen</sup> ~~ist~~ <sup>ist</sup> ~~meine~~ <sup>meine</sup> ~~sehr~~ <sup>sehr</sup> ~~an~~ <sup>an</sup> ~~den~~ <sup>den</sup> ~~Verträgen~~ <sup>Verträgen</sup>  
für den Vertrag entscheidend ~~ist~~ <sup>ist</sup> ~~praktisch~~ <sup>praktisch</sup>, ~~genet~~ <sup>genet</sup>  
geben das ~~an~~ <sup>an</sup> ~~schon~~ <sup>schon</sup> ~~die~~ <sup>die</sup> ~~namhaftesten~~ <sup>namhaftesten</sup> ~~Leigenten~~ <sup>Leigenten</sup> ~~zu~~ <sup>zu</sup>

Example 18. Translation of Leaf 63 Material Omitted from Between Paragraphs 32 and 33

Vienna Manuscript	English Translation of Manuscript
<p>Ohne Kenntnis des Hintergrundes kann auch der Vortrag eines Meisterwerkes nicht geraten. Nicht etwa dass die Urlinie so ausgerufen werden müßte wie fälschlich im Vortrag einer Fuge die Einsätze ausgerufen werden: schon allein das Bewußtsein der Zusammenhänge im Sinne von Hinter-[,) Mittel- und Vordergrund genügt um den wahren Inhalt auch auf den Zuhörer zu übertragen. Ein solcher Vortrag wird die organische Bewegung des Stückes vor allem betonen und damit das Leben des Meisterwerkes. Wer aber aus Unkenntnis die Fuge ertötet, lähmt unsere Teilnahme: der Taktstrich ist doch kein Weg [,] nicht einmal ein Zaun[,], nur der Weg aber führt. Also ist meine Lehre auch für den Vortrag entscheidend und praktisch, heute geben das auch schon die nahmhaftesten Dirigenten zu.</p>	<p>Also without knowledge of the background the performance of a masterwork cannot succeed. The Urlinie must not be called forth, just as each entry in a fugue may be falsely emphasized. It already suffices to have a consciousness of interconnectedness in the sense of the background, middleground, and foreground so that the performer can convey the true contents [of the music]. Such a performance will above all accentuate the organic movement of the piece, and with that, the life of the masterwork. However, he who through ignorance destroys the fugue, prevents our participation [in it]: the barline is never a pathway, just as a fence never leads, only the pathway. Therefore my teaching is decisive and practical for performance today as even the most well-known conductors admit.</p>

Paragraph 33 differs from the manuscript to the printed edition. It begins the same way but deviates in the second sentence (see Example 19-21). This paragraph continues from the last one in this section which was discussed in the previous example, and it is found on leaves 64-65 (see Examples 19-20). In the manuscript Schenker says that the harmonic progression I-V-I is possible in music, and any other type constitutes a homunculus (to be explained below). In the printed version, however, Schenker is more circumspect – perhaps he does not want to offend composers who do not use the I-V-I model (such as Bruckner and Schoenberg). Here Schenker talks about organicism in music as paralleling organicism in human nature and the human experience. He seems to be saying that certain characteristics in nature cannot be distorted, regardless of man’s



Example 21. Translation of Leaves 64-65, Material Omitted from Paragraph 33

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Die Musik ist nicht allein Objekt einer theoretischen Betrachtung, sie ist genau so Subjekt wie wir es sind. Wenn die Musik nach der Quint geht, ist das eine organische Verrichtung des Tones, wie wir das Bedürfnis nach Nahrung befriedigen. Eine andere Gestalt der Musik ist nicht denkbar. Die Frage nach einer neuen [Gestalt] wäre ohne Frage nach einem Homunkulus. Allerdings ist es den Menschen eigen, sich auch wider die Schöpfung vorzuwagen u[nd] sie verbessern zu wollen,— ein Glück, daß der Mensch von den Dingen in der Natur so wenig weiß, daß er über kurz oder lang zu seinem eigenen Vorteile doch wird davon absteh[e]n müssen, der Natur ins</p>	<p>Music is not only an object of theoretical consideration. It is <i>subject</i>, just as we ourselves are subject. Music depends upon the fifth; it is an organic activity of the tone as subject, just as man's need to satiate his hunger is organic. A different design [principle] in music is unthinkable. The search for another principle would be undoubtedly a <i>homunculus</i>. However, it is man's nature to develop himself against creation, and even wish to better it – it is fortunate that man knows so little about the way nature works, and that he must, either quickly or over a long period of time, distance himself from interfering</p>	<p>Die Musik ist nicht allein Objektiv einer theoretischen Betrachtung, sie ist genau so Subjekt wie wir selbst Subjekt sind. Schon die Oktav, Quint und Terz der Obertonreihe sind genau so eine organische Verrichtung des Tones also Subjekt, wie dem Menschen seine Triebe organisch sind.</p>	<p>Music is not only an object of theoretical consideration. It is <i>subject</i>, just as we ourselves are subject. Even the octave, fifth, and third of the harmonic series are a product of the organic activity of the tone as subject, just as the urges of the human being are organic.</p>



<p>Handwerk pfuschen zu wollen[.] [S]so ist es auch ein Glück, daß er von der großen Kunst der Musik so wenig weiß, daß er alles Pfuschen schließlich einmal wird aufgeben müssen!</p>	<p>with nature. It is also fortunate that he knows so little about the art of music that he (to his own benefit) will finally have to give up any kind of rebellion against it!</p>		
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The last paragraph of the *erster* Abschnitt, paragraph 40 of the 1935 printed edition differs slightly from the manuscript version found on leaf 68 (see Examples 22-23). This passage discusses the role of mastery in determining whether someone takes on a course of study. In the first sentence, the phrase about “learning to hear” being not just the FIRST thing, but the “most important thing” was omitted from the manuscript to the printed version of the passage. Schenker meant that people should not compose until they learn how to hear.<sup>3</sup> In this case the omission removed an element of emphasis from the declaration and may have been removed for that reason.

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<sup>3</sup> After this passage, something unusual happens. At the end of leaf 68, the sentence finishes and there is a question mark. But then on the next page (marked 69 – see Example 24) on the back, there is a single word, “mehr.” in lower case with a period after it; but it is stricken with pencil. The next sentence in the printed version begins “Wird die Menge...” but the next sentence on the manuscript begins, “So wahr Goethes Worte sind:...” Later on leaf 69 is the sentence that begins, “Wird die Menge...” but there is no indication for a change of order as it happens in the printed version. And where is the material between the omitted sentence “Warum soll es dann gerade in der Musik anders sein?” and the word “mehr?”

Example 22. Leaf 68, Vienna Manuscript

Wäre Hörenlehren denn nicht die <sup>denn</sup> erste <sup>so oft</sup> ~~wichtigste~~  
~~wichtigste~~ Aufgabe? ~~Richtig~~ hören lernen ist eine  
 Lebensaufgabe, bei der man sogar des Komponierens  
 enttraten <sup>Worte</sup> kann. <sup>Es ist so schwierig wie ein gutes</sup>  
 Komponieren, <sup>Rein</sup> deshalb geht mein Rat dahin, die  
 so belakten ~~Lehren~~ fallenzulassen, wie z.B. ich  
 kann es ja ~~schon~~ nicht erreichen - als ~~fügen~~ die  
 Menschen nicht <sup>so viele</sup> Linge, bei denen sie sich  
 bemüht sind, das Höchste zu erreichen ~~zu können~~.  
 Kann soll es denn gerade in der Musik anders sein? <sup>69</sup>

Example 23. Translation of Leaf 68, Material Changed in Paragraph 40

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Wäre Hörenlehren denn nicht die erste wichtigste Aufgabe? Richtig hören lernen	Is not learning to hear the first most important task, during which time the	Wäre Hörenlehren denn nicht die nächste Aufgabe, bei der man sogar des	Is not learning to hear the first task, during which time the student might well

<p>ist eine Lebensaufgabe, bei der man sogar des Komponierens entraten kann. Es ist so schwierig wie gut Komponieren und deshalb geht mein Rat dahin [,] die so beliebten Ausreden fallenzulassen, wie z. B.: ich kann es ja ohnehin nicht erreichen. Tun die Menschen nicht auch sonst so viele Dinge, bei denen sie sich bewußt sind, das Höchste nie erreichen zu können? Warum soll es denn gerade in der Musik anders sein?</p>	<p>student might well dispense with composition? It is as difficult as good composition and therefore my advice about that, to dispense with such favorite excuses as (for example): I cannot do it [learn to hear] successfully anyway. Do not people devote themselves to many ends, even though they are conscious that they can never attain mastery? Then why should it be any different in music?</p>	<p>Komponierens entraten könnte?</p> <p>Tun die Menschen nicht auch sonst so viele Dinge, bei denen sie sich bewußt sind, das Höchste nie erreichen zu können?</p>	<p>dispense with composition?</p> <p>Do not people devote themselves to many ends, even though they are conscious that they can never attain mastery?</p>
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Example 24. Leaf 69, Vienna Manuscript

~~mehr. Und so wahr das ist, was G<sup>o</sup>the <sup>1790</sup> meinte: 21  
„Woran die Menge glaubt, ist leicht zu glauben“ i. „Was  
die Bescheidte weiß, ist schwer zu wissen“ – so wahr ferner  
auch ist daß im Scheinweis des Ursatzes eine best. Natur,  
schon vor der Vermählung durch die Menge gegeben ist,  
ist dennoch der Hinweis auf jenes Scheinweis, unter allen Um-  
ständen geboten! Fordere doch die Menge in den Volksschü-  
len schon früh über Dinge unterweisen, die nicht alle  
in den Tag hineingehen, warum sollte sie nicht erfahren,  
daß hinter den rauschenden Tönen auch Scheinweise hatten.~~

The examples in the following section of this chapter center around the topics in Chapter 2 of the first section (the *erster Teil, zweiter Abschnitt*), subtitled, “The Ursatz.”



The first part of the book is divided into three sections: the background, the Ursatz, and the forms of the Ursatz. Having just discussed issues of background in the last several example, I will now turn to matters concerning the Ursatz in general. As in the previous chapter of this section, Schenker speaks philosophically about the musical concepts governing his theories, and provides some details about how elements of his theories work. Within the chapter, he discusses general issues concerning the Ursatz, the Urlinie, and the bass arpeggiation, as well as special issues within these topics, such as register, cadences, the overtone series and the leading tone. The following omitted or changed passages

contain variations, changes, and omissions that at times lend themselves to, slightly nuanced changes in understanding, and at other times they offer significantly different additions to the compendium of information we have regarding Schenker's concept of his theories.

In the *erster Teil, zweiter Abschnitt, erstes Kapitel* under the second and third sections, the manuscript is organized slightly differently than in the published version. This section is found on leaves 72-74 (see Examples 25-28). The subtitles of these sections are: "The Ursatz as Transmitter of the Primary Arpeggiation" and "The Ursatz as a Unity." In these sections Schenker explains simply that the Ursatz comprises the Urlinie and the Bassbrechung, and furthermore that the synthesis of these elements constitutes unity. However, the sections as they have been printed are truncated, and some of the wording has been changed or omitted. Example 28 shows that the whole first part of the section that became §2 was changed, which results in the removal of Schenker's explanation regarding passing tones in the Urlinie. This omitted passage creates a conceptual entelechy for the genesis of the Urlinie, while the changed version is more of an intelligent description. The last part of §2 is intact, but moved to the end of the passage that became §3. Like the concept of unity Schenker purports, these two sections then seem to be very closely related, and thus they are conducive to this kind of transference. Finally, the wording of the last section in §3 is changed significantly enough to warrant comment, but mostly the concepts are expressed in other words in the printed edition. The main difference here is that Schenker introduces counterpoint as a catalyst to the unity that exists between the Urlinie and the Bassbrechung.



Example 28. Translation of Material from Leaves 72, 74, and 73 – *Erster Teil, Zweiter Abschnitt, Erstes Kapitel, §§2 and 3*

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p><u>Von der Formel des Ursatzes – Brechung</u></p> <p>Der Ursatz besteht aus einem kontrapunktischen Satz von Ober- und Unterstimme, beide Stimmen gleicher[maßen] vo[n] jener ersten Brechung beherrscht, die sich als Fortbildung des Naturklanges ergibt. Indem die in der Brechung sich ergebenden Räume bei der Oberstimme mit Sekundsritten als Durchgänge gefüllt werden, gelangt der ursprüngliche Naturklang zu[r] ersten [w]aagerechten melodischen Auskomponierung, der ich</p>	<p><u>The Formulation of the Ursatz– the Bass Arpeggiation</u></p> <p>The fundamental structure is made up of a contrapuntal construct of upper and lower voices. Both voices are similarly governed by an initial arpeggiation, which results from the continuation of the “Naturklang.” By means of the space that results from the arpeggiation in the upper voice, which can be filled in by passing tones, the original chord of nature achieves its first level of horizontal melodic composition, which I have</p>	<p>§2 <u>Vom Ursatz als Mittler der ersten Brechungen</u></p> <p>Im Dienst der Kunst nimmt die Brechung, der Strenge der Natur sich entziehend, das Recht in Anspruch, sich nach den ihr möglichen Richtungen auf- und abwärts zur Geltung zu bringen. Dem menschlichen Singorgan bedeuten diese beiden Formen nun die nächsten und kürzesten Wege zur Erfüllung des Klanges:</p> <p style="text-align: center;"><b>Fig. 3</b></p> 	<p>§2 <u>The Fundamental Structure as Transmitter of the Primary Arpeggiation</u></p> <p>In the service of art, the arpeggiation throws off the restrictions of nature and claims the right to assert itself in either an upward or a downward direction. The following two forms represent the briefest and most direct ways for the harmonic series to be realized by human vocal organs:</p> <p style="text-align: center;"><b>Fig. 3</b></p>  <p>The upper voice &lt;of a fundamental</p>

<p>den Namen „Urlinie“ gegeben habe.</p> <p>Die Unterstimme führt die Brechung des Klanges durch dessen Quint aus, so daß sie auch in dieser neuen Form der steten Erinnerung u[nd] Gegenwart des Naturklanges dient.</p> <p>Doch kann weder die Urlinie noch die Brechung des Basses für sich allein bestehen, erst miteinander wirkend, also</p>	<p>named “Urlinie.”</p> <p>The lower voice executes the arpeggiation of the chord (through the interval of a fifth), so that it also serves in this new version as a recollection and presence of the chord of nature.</p> <p>Neither the fundamental line nor the bass arpeggiation can stand alone.</p> <p>Only when acting together, when unified in a contrapuntal structure, do they produce <i>art.*</i>)<sup>5</sup></p>	<p>Die Oberstimme, die Urlinie, s. u., bedient sich der fallenden, die Unterstimme, die Baßbrechung durch die Quint, der steigenden Richtung, die die ursprüngliche der Entwicklung ist und auch noch im Ursatz der steten Erinnerung und Gegenwart des Naturklanges dient.</p> <p><u>§3 Der Ursatz als Einheit</u></p> <p>Der Satz von Urlinie und Baßbrechug</p>	<p>structure&gt;, which is the fundamental line, utilizes the descending direction; the lower voice, which is the bass arpeggiation through the fifth, takes the ascending direction &lt;Fig. 1&gt;. As in the natural development of the arpeggiation, the ascending direction is the original one; indeed, in the fundamental structure it serves as a constant reminder of the presence of the chord of nature &lt;Fig. 1&gt; [ §§ 10, 12].</p> <p><u>§3 The Fundamental Structure as a Unity</u></p> <p>The combination of fundamental line and bass arpeggiation constitutes a <i>unity</i>. This</p>
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<p>zu einem kontrapunktischen Satz vereint, bringen sie <u>Kunst</u> hervor.*)</p> <p><u>Der Ursatz als Einheit</u></p> <p>Der kontrapunktische Satz von Urlinie u[nd] Baßbrechung bildet eine <u>Einheit</u>: Diese ist es [,] die Stimmführungsverwandlungen vorzunehmen gestattet [,] die, wie immer sie sein mögen, den Sinn jener Einheit erfüllen müssen [und Uebertragbarkeit auf jeden einzelnen Klang fördert].<sup>4</sup></p>	<p><u>The Ursatz as a Unity</u></p> <p>The contrapuntal structure made up of the fundamental line and the bass arpeggiation constitutes a <i>unity</i>. This is what makes voice-leading transformations possible that fulfill the logic of each unit, no matter what their shapes are, along with a transference of each individual harmony.</p>	<p>bildet als kontrapunktlicher Satz naturgemäß eine Einheit: diese ist es erst, die im Mittelgrund die Stimmführungsverwandlungen vorzunehmen gestattet, namentlich die Uebertragbarkeit der Ursatzformen auf jeden Einzelklang fördert, s. § 242 ff.</p> <p>Weder also die Urlinie noch die Brechung des Basses kann für sich allein bestehen, erst miteinander wirkend, zu einem kontrapunktischen Satz vereint, bringen sie <u>Kunst</u> hervor.*)</p>	<p>unity alone makes it possible for voice-leading transformations to take place in the middleground and enables the forms of the fundamental structure to be transferred to individual harmonies (§§ 242 ff.).</p> <p>Neither the fundamental line nor the bass arpeggiation can stand alone. Only when acting together, when unified in a contrapuntal structure, do they produce art.*<sup>1</sup>[this is an internal footnote]</p>
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<sup>4</sup> This section in bracket is in Schenker's later annotation, which is used in this case because the sentence does not make sense without it.

<sup>5</sup> This star is a reference to the same footnote that was included in the 1935 published edition.

Leaf 78 contains text that begins in the *zweiter Abschnitt, zweites Kapitel* (§4). The text begins the same, but in the second sentence the wording changes (see Examples 29-31). §4 begins with an explanation of how the chord of nature has influenced composers' understanding of how music should be best put together (whether consciously or not), and by extension how the ears of listeners and analysts also are molded to these conditions handed down by nature. Here Schenker suggests that nature is like the godmother standing watch as polyphony developed. The omitted sentence speaks about the benevolence of nature as the primary source for the contrapuntal congruence of the bass arpeggiation and the Urlinie, and it may have been omitted for being esoteric, though it shows a poetic reflection of Schenker's understanding of the source of music.

Example 29. Leaf 78, Vienna Manuscript

§

Der Ursatz setzt im Kontra...  
~~penitentes Denken vorans~~  
 In Forderungsrichtung der Urlinie...  
 für - in Kunstgerecht zu füllen würde erst möglich,  
 nachdem das künstlerische Ohr in Jahrhunderte lang

Example 30. Leaf 79, Vienna Manuscript

gem Lichen gelernt hatte mehrere Stimmen im einem 38  
 Kontrapunktischen Satz durchzubilden... 38  
 gen unter n. Gnade hatte die Natur schon beim ersten  
 Ausbreiten der Stimmen im Hintergrund gemacht:  
 ein Bestehen auf unbedingter Erfüllung der Forderung  
 unge bis in die äußersten Ausbreitungen im Ton-  
 dergrunde.

Example 31. Translation of Material from Leaves 78-79 of the Vienna Manuscript: *zweiter Abschnitt, zweites Kapitel* (§4)

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p><u>Der Ursatz setzt [ein]</u> <u>kontrapunktisches Denken voraus.</u></p> <p>Die Brechungsräume der Urlinie natur- und kunstgerecht zu füllen[,] wurde erst möglich, nachdem das künstlerische Ohr in Jahrhunderte langem Suchen gelernt hatte, mehrere Stimmen in einem kontrapunktischen Satze durchzubilden. In ihrer ewigen Güte und Gnade hatte die Natur schon beim ersten Ausschreiten der Stimmen im Hintergrunde gewacht: sie bestand auf unbedingter</p>	<p><u>The Fundamental Structure Requires</u> <u>Contrapuntal Thinking</u></p> <p>After centuries of striving, creative ears finally learned to mold several voices successfully into a contrapuntal complex, it became possible to fill in the spaces in the arpeggiation in the upper voices of the fundamental structure with passing tones in a manner which did justice to both nature and art. In its eternal goodness and grace, nature stood guard in the background over the first articulation of the voice, and it (nature) insisted on the fulfillment of the arpeggiation all the way to the foremost foreground.</p>	<p><u>§4 Der Weg zur Diatonie</u></p> <p>Die Brechungsräume der Urlinie natur- und kunstgerecht zu füllen würde erst möglich, nachdem das künstlerische Ohr im Jahrhunderte langem Suche gelernt hatte, mehrere Stimmen überhaupt zu einem kontrapunktischen Satze durchzubilden. Allmählich lernte man dabei zugleich auch der Natur zu entsprechen durch gleichzeitige Abstimmung der Horizontale und Vertikale nach Oktave, Quint und Terz, die die grundlegende Brechung des</p>	<p><u>§4 The Path Toward Diatonic Organization</u></p> <p>After centuries of striving, when creative ears had finally learned to mold several voices successfully into a contrapuntal complex, it became possible to fill in the spaces in the arpeggiation in the upper voices of the fundamental structure with passing tones in a manner which did justice to both nature and art. In the process musicians also gradually learned to conform to nature by adjusting the horizontal and vertical aspects simultaneously: they adopted the octave, fifth, and third, which dominate the fundamental arpeggiation of the</p>

Erfüllung der Brechung bis in die äußersten Auswirkungen im Vordergrunde.		Klanges beherrschen, wie auch durch Abstimmung der Durchgangintervalle als konsonant oder dissonant nach den Erfahrungen des strengen Satzes.	chord of nature. In addition they learned how to treat the passing tone as consonant or dissonant according to what the practice of strict counterpoint <in composition> revealed.
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Furthermore, leaves 80 and 82 contain material that is not found elsewhere, though these passages seem to belong in §4 (“The Path Toward Diatonic Organization”) (see Examples 32-34). The section starts out not as a continuation of the previous leaf, but rather in the middle of a sentence, which suggests that there is a leaf missing.<sup>6</sup> In the printed version, this section raises the issue of the role of “Diatonie” (Diatony) in determining laws of contrapuntal structure. Diatony is distinguished from tonality in this case by its horizontalization of the chord of nature. The chord itself, as well as intervals in their own right, may be tonal, but until they are filled out in the contrapuntal structure, they lack the “diatony” Schenker describes. The omitted section has filled in some information about why the contrapuntal structure is necessary for diatony. The end of the passage represents a stab against Debussy, Hindemith, Bartok and Stravinsky, who were interested in exotic music. The original version is a much more explicit attack, showing why Schenker feels that folk music is bad and why composers who use it are bringing about the downfall of diatony. Schenker describes how harmonic intervals can exist without contributing to the Urlinie; for this reason, the following section (why exotic music lacks diatony) makes a lot more sense.

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<sup>6</sup> There are, however, no leaves in the vicinity that fit the missing part.



Example 33. Leaf 80, Vienna Manuscript

~~2. Anwendung ergibt, in Folge der~~  
~~Antesotischen Musik an einer Diatone fehlen 4A~~  
müß. Fehlt ihr doch der Kontrapunktischen Satz  
die ~~Bestimmung~~ <sup>ein</sup> ~~Bestimmung~~ <sup>an</sup> in das Lieben der Intervalle es  
möglich ist. ~~Leitlich ist zu hören wie ihre Oktava~~  
von nicht wirkliche Oktaven ihre Quinten bei  
zu Quinten sind, daß alle in der ~~Intervalle~~ <sup>Intervalle</sup> sich  
eigenen Intervalle keine Festätigung ~~gini~~  
den. Sie sind noch nicht das was sie sein müß  
ten ~~in sollten~~. Und wenn auch der Verfall des  
Kontrapunktes ~~in dem~~ der Verfall der Bestim  
mung der Intervalle hat heute den Verfall auch  
der Diatone gebracht. ~~V.R.K. oder a.c.c.~~

Example 34. Translation of Material from Leaves 80 and 82 of the Vienna Manuscript (continuation of §4)

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
		<p>Die Brechungsräume der Ursatz- Oberstimme mit Durchgängen nature- und kunstgerecht zu füllen wurde erst möglich, nachdem das künstlerische Ohr in Jahrhunderte langem Suchen gelernt hatte, mehrere Stimmen überhaupt zu einem kontrapunktischen Satze durchzubilden. Allmählich lernte man dabei zugleich auch der Natur zu entsprechen durch gleichzeitige Abstimmung der Horizontale und Vertikale nach Oktave, Quint und Terz, die die grundlegende Brechung des Klanges beherrschen, wie auch durch Abstimmung der Durchgangsintervalle als consonant oder dissonant nach den Erfahrungen des</p>	<p>After centuries of striving, when creative ears had finally learned to mold several voices successfully into a contrapuntal complex, it became possible to fill in the spaces in the arpeggiation in the upper voice of the fundamental structure with passing tones in a manner which did justice to both nature and art. In the process musicians also gradually learned to confirm to nature by adjusting the horizontal and vertical aspects simultaneously: they adopted the octave, fifth, and third, which dominate the fundamental arpeggiation of the</p>

<p>[...]Oktave, also der Töne, die die Brechung eines Klanges vorstellen, wie der Durchgänge, die dazwischen liegen, stellt die <u>Diatonie</u> vor. Doch ist diese Gesamtheit nicht allein als Voraussetzung von Stimmführungsverwandlungen zu denken, sondern zu gleich als deren Ergebnis. Erst die kontrapunktische Auskomponierung der Stimmführungsverwandlungen, also die horizontale Auskomponierung immer den Klang füllend (Terz, Quint, Oktav), hat zu jener Abstimmung der Intervalle geführt, die</p>	<p>[Within the] [?] octave, the notes that constitute the arpeggiation of the chord, like passing tones that lie between, represent <u>Diatony</u>. However, we do not think of this entity alone as being a requirement of voice-leading transformations, but rather as being its result at the same time. First, the contrapuntal composing out of the voice-leading transformation guides each interval, which in turn brings the relatedness of the whole to the</p>	<p>strengen Satzes.</p> <p>Innerhalb der Oktave ergab sich durch eine solche erste Abstimmung eine Gesamtbezogenheit des Satzes nur auf den einen Grundton, den Grundton des Klanges. Die so für die Oberstimme des Satzes, die Urlinie erzielte Tonfolge stellt die Diatonie vor (s. u.). Obgleich im engsten Sinne nur der Oberstimme zugehörig, enthält die Diatonie gemäß ihrer Herkunft gleichwohl in Einem die Regelung des gesamten kontrapunktischen Satzes, also auch die der Baßbrechung und der</p>	<p>chord of nature. In addition they learned how to treat the passing tone as consonant or dissonant according to what the practice of strict counterpoint &lt;in composition&gt; revealed.</p> <p>Within the octave, the first adjustment resulted in a relatedness of the whole structure to a single tone, the fundamental of the chord. The series of tones thus created in the upper voice, the fundamental line, represents diatony (<i>Diatonie</i>). In the narrowest sense, diatony belongs only to the upper voice. But, in accord with its origin, it simultaneously governs the whole contrapuntal structure, including the bass arpeggiation and the passing tones.</p>
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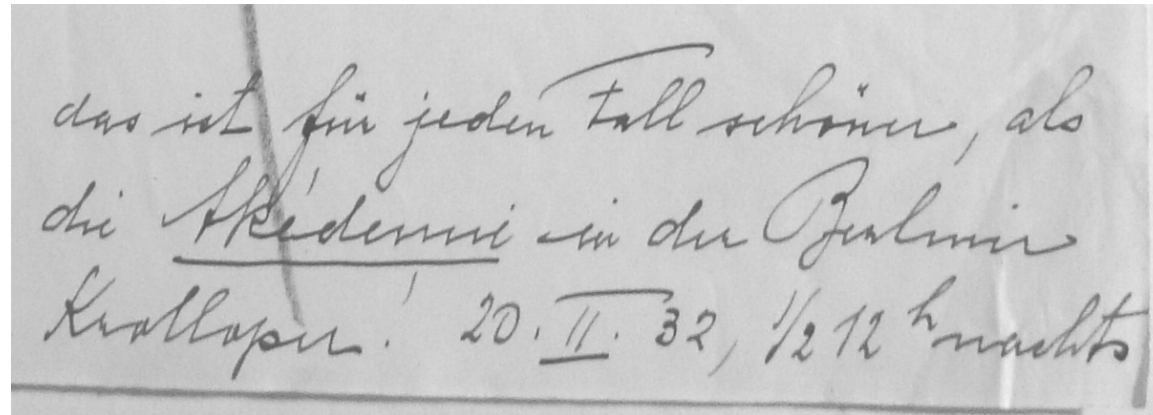


<p>im Hintergrund eine Gesamtbezogenheit auf den einen Grundton zum Ausdruck bringt. In seiner vertikalen Erscheinung kann ein Klang noch keine Urlinie vorstellen, erst der Durchgang durch die Horizontale und durch die Stimmführungsverwandlungen in der Horizontalen konnte die Diatonie zeitigen.</p> <p>Schon daraus ergibt sich, daß es der sogenannten exotischen Musik an einer Diatonie fehlen muß. Fehlt ihr doch der kontrapunktische Satz, der die Abstimmung und das Sieben der Intervalle ermöglicht: Deutlich ist zu hören, wie ihre Oktaven nicht</p>	<p>background. This is done since the chord is always composed out horizontally (third, fifth, octave). In its vertical appearance a chord still can not represent the fundamental line until the passing tone can yield diatony through the horizontalization and the voice-leading transformations of the horizontalization.</p> <p>Thus, so-called exotic music necessarily lacks diatony, because the absence of a contrapuntal structure makes the adjustment and selection of intervals impossible. One can hear clearly that its octaves are not true</p>	<p>Durchgänge.</p> <p>Die gleiche Bezogenheit auf den einen Grundton herrscht auch im Vordergrund: ist doch alle Vordergrund-Diminution, einschließlich der scheinbaren Tonarten aus den Stimmführungsverwandlungen, zuletzt eben aus der Diatonie im Hintergrund erflossen. Nannte ich Tonalität den die verschiedenen Scheinwirkungen des Vordergrundes einschließenden Begriff (s. u.), so ist die Tonkargheit der Diatonie im Hintergrunde und die Fülle der Tonalität im Vordergrunde dennoch das selbe.</p> <p>Daraus ergibt sich, daß es der sogenannten exotischen Musik an einer Diatonie fehlen muß, weil ohne kontrapunktischen Satz das Abstimmen und</p>	<p>The same relationship to a fundamental tone prevails also in the foreground: all the foreground diminutions, including the apparent “keys” arising out of the voice-leading transformations, ultimately emanate from the diatony in the background. I have used the term <i>tonality</i> to include the various illusory effects in the foreground; yet the tonal sparseness of diatony in the background and the fullness of tonality in the foreground are one and the same.</p> <p>Thus, so-called exotic music necessarily lacks diatony, because the absence of a contrapuntal structure makes the adjustment and selection of</p>
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wirkliche Oktaven, ihre Quinten keine Quinten sind, dass alle in der Horizontale sich ereignenden Intervalle keine Bestätigung finden. Sie sind noch nicht das, was sie sein möchten und solchten. Und eben auch der Verfall des Kontrapunktes und damit der Verfall der Abstimmung der Intervalle hat heute den Verfall auch der Diatonie gebracht.	octaves, its fifths are not fifths, and that all the intervals that appear horizontally have no justification. They are not yet what they want to be and what they should be. And the decline of counterpoint, and with it the mistuning of the intervals, has also lead to the downfall of diatony.	Sieben der Intervalle gar nicht möglich ist. Deutlich ist in ihren horizontalen Ausspannungen zu hören, wie sie Oktaven, Quinten, Terzen und andere Intervalle ahnt, anstrebt, wie sie diese Intervalle aber ohne kontrapunktische Ueberprüfung in der von Natur erforderlichen Bestimmtheit noch nicht erreichen kann. Umgekehrt hat heute der Verfall des Kontrapunktes den Verfall auch der Diatonie gebracht.	intervals impossible. One can clearly hear how it senses and strives for octaves, fifths, thirds, and other intervals in its horizontal projections, but one can also hear how it falls short of attaining them with the definiteness that nature demands; there is nothing against which these intervals can be tested contrapuntally.
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There is a brief note at the bottom of leaf 81 which does not appear in the printed edition of *Der freie Satz* (see Examples 35 and 36). Sometimes Schenker had ideas that came to him late at night and Jeanette would dutifully write them down. They may concern musical concepts, but often times they are anecdotal, which may be why they were not printed. Still, they are interesting. In this case, the brief note came after the section discussed above.

Example 35. Leaf 81, Vienna Manuscript



Example 36. Translation of Material from the Bottom of Leaf 81 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
das ist für jeden Fall schöner, als die <u>Akademie</u> in der Berliner Krolloper!	That is in every case more lovely than the academy in the Berlin Kroll Opera
20. II. 32 1/2 12 h nacht	-February 2, 1932 at 11:30pm

On leaves 88 and 89 there are two sections that became reworked into §8, or were removed entirely in this section (see Examples 37-39). In §8, subtitled “The Register of the Urlinie,” Schenker explains that the Urlinie exists in the obligatory register, while the notes within the line may change register. In the first omitted section, Schenker tells us that the upwards-resolving leading tone does not exist in the Urlinie, while this observation seems absent in the printed version. The second passage appears to clarify the issue of independence of the obligatory register and the register or registers of the Urlinie. The omission of this section has the effect of removing the emphasis Schenker places on the conviction that these several different issues of register are independent of each other.

Example 37. Leaf 88, Vienna Manuscript

Nicht in vor.

wechseln <sup>ist</sup> doch die vertikale Doppelstufe des  
 Naturklanges mit der horizontalen <sup>Quart</sup> <sup>von Vlni</sup>  
 mi - aug 8 - 1. Ist doch <sup>vielleicht</sup> das Quartstück der  
 Vlni erst durch das melodische <sup>naheinander</sup>  
 entstanden, wie es der <sup>vielleicht</sup> <sup>aus dem</sup> <sup>Reste</sup> <sup>ist</sup> <sup>Parais</sup>  
 folgt, das in Vlni - Aug der <sup>auf</sup> <sup>steigenden</sup> <sup>Stimme</sup>  
<sup>von</sup> <sup>5-8</sup> <sup>nicht</sup> <sup>bestimmt</sup> <sup>ist</sup>.  
 gegeben

Example 38. Leaf 89, Vienna Manuscript

70  
46  
46

Die Vlni ist unabhängig von der Lage  
 Die <sup>Linien</sup> <sup>nehmen</sup> <sup>mit</sup> <sup>den</sup> <sup>weitesten</sup> <sup>Räume</sup>  
 in Anspruch, sie kann es tun, weil sie zuletzt doch  
 auf die Lage des Vlni - Auges zurückgeht. Hierbei ist  
 es aber gleichgültig, ob der Vlni - Aug diatonisch -  
 natürlich <sup>oder</sup> <sup>oder</sup> <sup>sich</sup> <sup>wie</sup> <sup>es</sup> <sup>häufig</sup>  
 vorkommt, in der <sup>richtigkeit</sup> <sup>des</sup> <sup>Grundgrundes</sup> <sup>von</sup>  
 der <sup>Ortlage</sup> <sup>unabhängig</sup> <sup>steht</sup>. Ein <sup>stark</sup> <sup>kann</sup>  
 (also) in der Vlni - Lage <sup>bestimmt</sup> <sup>hineingehen</sup> <sup>ein</sup>  
 anderes <sup>braucht</sup> <sup>sich</sup> <sup>auf</sup> <sup>eine</sup> <sup>(bestimmte</sup> <sup>Ortlage)</sup> <sup>nicht</sup>  
 festzulegen. <sup>teillich</sup> <sup>ist</sup> <sup>auch</sup> <sup>dort</sup>, <sup>wo</sup> <sup>der</sup> <sup>Grund</sup>  
 grund die Vlni - Töne <sup>von</sup> <sup>der</sup> <sup>Ortlage</sup> <sup>unab</sup>  
 hängig <sup>steht</sup>, der Vlni - Aug <sup>doch</sup> <sup>auch</sup> <sup>in</sup> <sup>einer</sup>  
 bestimmten <sup>Ortlage</sup> <sup>anzunehmen</sup>, <sup>als</sup> <sup>in</sup> <sup>einer</sup> <sup>obliga</sup>  
 ten Lage, <sup>s. n.</sup> <sup>ja</sup> <sup>empfohlen</sup>. <sup>Die</sup> <sup>Ortlage</sup>  
 1. oblig. Lage, <sup>4. u. 5. u. 6. u. 7. u. 8. u. 9. u. 10. u. 11. u. 12.</sup> <sup>26</sup>

Example 39. Translation of Material from Leaves 88-89 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Nicht zu verwechseln ist deshalb die</p>	<p>Not to be confused is therefore the vertical</p>	<p>[end of §7]</p> <p>Darf so die vertikale Doppeloktave des Naturklanges nicht mit der horizontalen Quart verwechselt werden, so kann auch <math>\hat{8}-\hat{5}</math> als ein selbständiges Urlinie-Stück nicht gelten, nich einmal als Umkehrung von <math>\hat{5}-\hat{1}</math>, nur als ein Teil von <math>\hat{8}-\hat{1}</math>, wo uns dann aber die <math>\hat{8}</math> wieder wie in der Natur als Oktave, nicht als Quart begegnet:</p> <p style="text-align: center;"><b>Fig. 4</b></p> <p>§8 Von der Oktavlage der Urlinie</p>	<p>[end of §7]</p> <p>Since the interval between the fifth and the double octave is not equivalent to the horizontal fourth, the span <math>\hat{8}-\hat{5}</math> cannot have validity as an independent segment of the fundamental line (not even as the inversion of <math>\hat{5}-\hat{1}</math>). It is only a part of the span <math>\hat{8}-\hat{1}</math>, where we encounter the <math>\hat{8}</math> once again, in accordance with nature, as an octave, not a fourth.</p> <p style="text-align: center;"><b>Fig. 4</b></p> <p>§8 The Register of the Fundamental Line</p>

<sup>7</sup> There are insertions that Schenker made later (such as this one) in this passage.

<sup>8</sup> Here Frau Schenker used the old spelling for this word, “Hiebei.”

<p>vertikale Doppeloktave des Naturklanges mit der horizontalen Quart im Urlinie-Zug <math>\hat{8}-\hat{1}</math>. Ist doch (auch) [übrigens]<sup>7</sup> das Quartstück der Urlinie erst durch das melodische Nacheinander entstanden, wie es der Kunst [insertion:] <u>und der Natur</u> eigen ist. Daraus folgt, daß im Urlinie-Zug den Aufwärts-Leitton nicht <del>vertreten</del> gegeben ist.</p>	<p>double octave of the chord of nature with the horizontal fourth in the fundamental line <math>\hat{8}-\hat{1}</math>. The tetrachord of the fundamental line initially arose from the tones that were melodically consecutive, as is dictated by art and nature. Hence it follows that in the fundamental line the upwards-resolving leading tone is not represented.</p>	<p>Die Folge der Urlinie-Töne versteht sich nur in einer Oktave, sie wird von mir als die obligate Lage der Urlinie bezeichnet (s. § 268 ff.).</p> <p>Das schließt aber nicht aus, daß der Mittel-und Vordergrund auch einem Wechsel der Lagen bringen kann, er ist möglich und verständlich gerade deshalb, weil er auf die obligate Lage zurück-geht: so wird denn durch den Lagenwechsel der Urlinie-Töne eine Unabgängigkeit der Urlinie von der Lage nur vorgetäuscht.</p>	<p>The succession of tones of the fundamental line must be understood to lie within one octave, which I term the obligatory register of the fundamental line (§§ 268-70).</p> <p>This, however, does not exclude the possibility that a change of register can occur in the foreground or middleground. The change is both possible and understandable precisely because it refers back to the obligatory register; thus, any change in register of the tones of the fundamental line creates only an illusion of independence from this register.</p>
<p><u>Die Urlinie ist unabhängig von der Lage</u></p> <p>Die Diminution nimmt die weitesten Räume in Anspruch, sie kann es tun, weil sie zuletzt doch auf die Lage des Urlinie-zuges zurückgeht. Hie[r]bei<sup>8</sup> ist es aber gleichgültig, ob der Urlinie-Zug diatonisch- wörtlich die Lage reinhält oder</p>	<p><u>The Fundamental Line is Independent of Register</u></p> <p>Diminution requires the widest spaces: it can do that because ultimately it depends on the register of the Urlinie. At this juncture it is of no consequence whether</p>		

<p>sich, wie es häufig vorkommt, in der Wirklichkeit des Vordergrundes von der Oktavlage unabhängig zeigt. Ein Stück kann (also) [genau] in die Urlinie-Lage hineingehen, ein anderes braucht sich auf eine bestimmte Oktave nicht festzulegen. Freilich ist auch dort, wo der Vordergrund die Urlinie-Töne von der Oktavlage unabhängig zeigt, der Urlinie-Zug doch auch in einer bestimmten Oktave auszunehmen, als in einer <i>obligaten Lage</i>, s. u. [„siehe unten“]</p>	<p>the Urlinie remains diatonic and literally stays in a given register or, as frequently happens in the reality of the foreground, shows itself to be independent in terms of register. A piece can stay exactly within the register of the fundamental line, though it is not unnecessary for it to be fixed in a particular octave. In the foreground, in situations where the notes of the fundamental line may be independent of a particular octave register, one should of course also assume that the fundamental line progression lies in a specific octave, in an <i>obligatory register</i>, see below</p>		
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Leaves 92-93 contain a passage that seems to have been partially reworked and removed from §10, “The Urlinie Begins with  $\hat{8}$ ,  $\hat{5}$ ,  $\hat{3}$  and moves to  $\hat{1}$  via the descending leading tone  $\hat{2}$ ” (see Examples 40-42). In this section Schenker explains that the Urlinie must start on certain pitches and descend to  $\hat{1}$  at the end, rather than ending on some other scale degree. He then draws a parallel between this descent to the ultimate goal and the natural progression of life into death (the ultimate cessation). Furthermore, foreground motives may not take precedence over the structure or presence of the Urlinie. Schenker criticizes music that attempts to string together motives without the basis of the structural background, using the metaphor of the Ursatz “breathing life” into motives. The omission of these colorful terms might lead one to miss Schenker’s assertion that compositions attempting to string chunks of music together may only *pretend* to be music. In the draft he also spends more time on the metaphor of life being “breathed” into a motive, which emphasizes the importance of this concept.





Example 42. Translation of Material from Leaves 92-93 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p><u>Die Urlinie setzt in 8, 5, 3 ein und fällt durch den Abwärtsleitton 2 zu 1</u></p> <p>Der Naturklang zeigt nur eine Richtung, die steigende, als Entwicklung<sup>9</sup> nach oben, die Kunst hingegen, die ihre <del>besonderen</del> Gesetze außerdem auch <u>vom Menschen empfängt, kennt [auch] die fallende Richtung u[nd] muß sie auch verwenden.</u> Den Menschen ist die Erfahrung des Erlöschens des Endes, eines erreichten Ziels gegeben, mit dem jede Spannung erlischt! In diesem Sinne ist es unsere eigene Forderung, wenn</p>	<p><u>§10 The Fundamental Line Begins with 8, 5, 3 and moves to 1 via the descending leading tone 2</u></p> <p>The chord of nature shows only one direction: rising, which develops from above, but art on the other hand, whose special laws are also received by man, recognizes the falling direction and must employ those laws. To man is given the experience of definitive ending, the arrival at a goal with all tensions released! In this sense it is a fulfillment of our own desire</p>	<p><u>§10 Die Urlinie setzt in 8, 5, 3 ein und fällt durch den Abwärtsleitton 2 zu 1</u></p> <p>Den Menschen ist die Erfahrung eines Endes, des Erlöschens aller Spannungen und Ziele gegeben. In diesem Sinne ist es uns ein natürliches Bedürfnis, auch die</p>	<p><u>§10 The Fundamental Line Begins with 8, 5, 3 and moves to 1 via the descending leading tone 2</u></p> <p>To man is given the experience of ending, the cessation of all tensions and efforts. In this sense, we feel by nature that the fundamental line must lead</p>

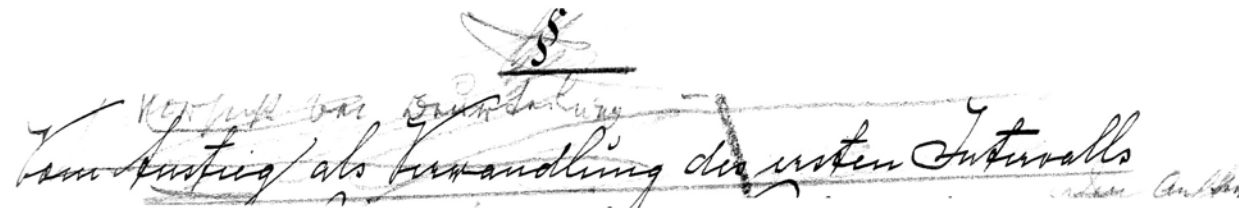
<sup>9</sup> This is an old spelling of “Entwicklung.”

<p>die Urlinie zum Grundton <math>\hat{1}</math> zurück(zu)fallen wünscht. Ebenso muß der Bass wieder zum Grundton zurückfallen. Niemals also kann eine Urlinie mit <math>\hat{3}-\hat{2}</math> zuendegehen, sie muß bis zur <math>\hat{1}</math> hinab. Mit dem ersten Ton des Urlinie-Zuges setzt die Spannung nach der <math>\hat{1}</math> schon ein. Kein Motiv im Vordergrund lebte uns, wenn ihm die Spannung jenes Urlinie-Zuges nicht Athem einbliese. Wo das Motiv auf jenen Urlinie-Zug nicht bezogen werden kann, muß ihm alles Leben fehlen, ihm kann vom Vordergrund aus kein Leben eingeblasen werden! Wie falsch sind deshalb Kompositions-Methoden, die nur auf solche Vordergrundmotive ausgehen u[nd] durch Aneinanderreihen solchen schon totgeborenen Tonfolgen eine lebendige</p>	<p>when the fundamental line returns to <math>\hat{1}</math>. And similarly that the bass must fall back to the fundamental. Thus a fundamental line can never end, for example, with <math>\hat{3}-\hat{2}</math>. It must go back to <math>\hat{1}</math>. With the first note of the fundamental line the tension towards <math>\hat{1}</math> already begins. No motive in the foreground would live for us, if the tension of each fundamental line did not infuse a vital breath into it. When the motive cannot be related to that progression of the Urlinie, it must lack all life, and no life can be infused from the foreground! How false, therefore, are musical compositions and methods that are only based on such foreground motives and which attempt to create a vital composition by lining up</p>	<p>Urlinie bis hinab zum Grundton <math>\hat{1}</math> zu führen, wie auch den Baß wieder zum Grundton des Klanges zurückfallen zu lassen; mit <math>\hat{1}</math> / I erlöschen alle Spannungen eines Kunst-Organismus. Niemals also kann eine Urlinie etwa mit <math>\hat{3}-\hat{2}</math> zuendgehen.</p> <p>Keine Tonfolge lebte uns im Vordergrund, wenn ihr die Gesamtspannung des Urlinie-Zuges nicht ihren Atem einbliese, vom Vordergrund aus kann ihr kein Leben eingehaucht werden! Wie verkehrt ist es deshalb, durch ein Aneinanderreihen von Tonfolgen ohne Hintergrund ein organisch lebendiges Werk gestalten zu wollen!</p>	<p>downward until it reaches <math>\hat{1}</math>, and that the bass must fall back to the fundamental.</p> <p>With <math>\hat{1}</math> / I all tensions in a musical work cease. Thus a fundamental line can never end, for example with <math>\hat{3}-\hat{2}</math>.</p> <p>A sequence of tones cannot live in the foreground unless the total tension of the fundamental linear progression provides it with breath; no life can be breathed into it from the foreground.</p> <p>How preposterous therefore to try to fashion an organic, living work by assembling various tones series without background!</p>
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Komposition zu gestalten hoffen.	already dead successions of tones!		
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On leaf 94 there is a subtopic heading that has been removed. In the printed edition these headings are printed in the margins. This one should divide the printed §12 into a new chapter starting approximately with the second paragraph (see Examples 43-44). The title of §12 is “ $\hat{8}, \hat{5}, \hat{3}$  anticipated chordally,” which reflects the content of this section dealing with the opening of a piece and the initiation of the Kopfton. In both versions Schenker clarifies that the path to the Kopfton may be via an arpeggiation, or through the anticipation of the Kopfton itself (as it is prolonged). Either way, there is a distinction between the immediate arrival of a Kopfton and the process of attaining it. The heading that was left out further clarifies that the ascent to the Kopfton could represent the transformation of the primary interval. Schenker may have taken this out since he thought it was understood, but arguably it is a clarification that would merit inclusion.

Example 43. Leaf 94, Vienna Manuscript



Example 44. Translation of Material from Leaf 94 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
Vom Anstieg als Verwandlung des ersten Intervalls	The Ascent as a Transformation of the Primary Interval

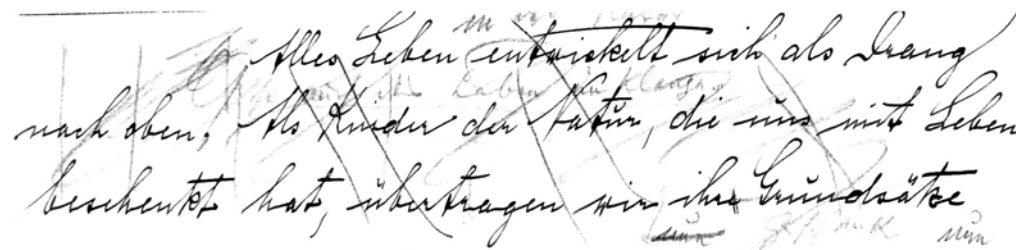
There is a small note written at the bottom of leaf 96 that does not appear in the printed edition because it is just a little note about how late the hour was when the preceding passage was written. The value of this note is it helps date these leaves; these notes consistently point to 1932 as the time when this manuscript was written. See Example 45.

Example 45. Translation of a Little Note at the Bottom of Leaf 96 of the Vienna Manuscript

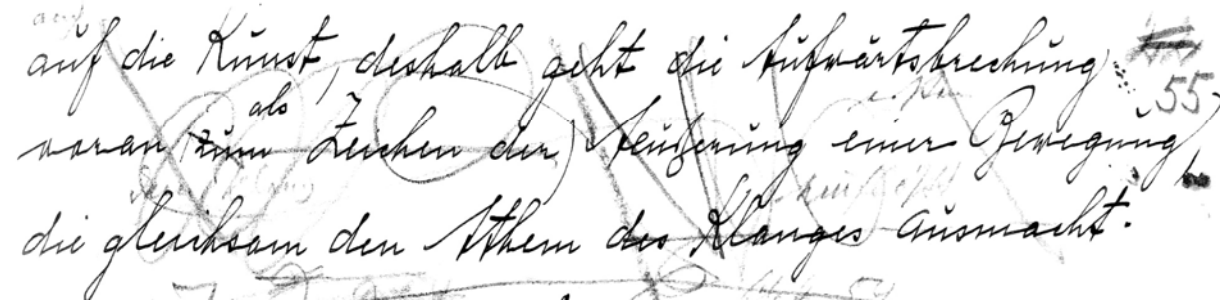
Vienna Manuscript	English Translation of Manuscript
nein, es ist schon spät genug, genug für Sonntag den 21.II.32 12h nachts—	All right... it's late enough. That's enough for Sunday, February 21, 1932 at midnight.

There is a passage that seems to belong after Figure 6, before §15 (“The Bass Arpeggiation in General”), and which is found on leaves 97 and 98 (see Examples 46-48). The way this section reads in the printed edition is quite matter of fact, as Schenker explains that an ascending bass takes priority over descending motion with examples of ineffective arpeggiations provided. The omitted section again shows Schenker’s penchant for metaphoric descriptions. He posits that life begins as an impulse, and draws a parallel between the arpeggiation of the Bassbrechung and the way a breath causes a sound to become extinguished. Since Schenker’s theories are so bound to the metaphor of life and creation, this passage enhances our understanding of Schenker’s perspective. It may have been excluded for being too poetic, but it seems a shame for the reader to miss out on this metaphor.

Example 46. Leaf 97, Vienna Manuscript



Example 47. Leaf 98 (top), Vienna Manuscript



Example 48. Translation of Material from after Figure 6, at the end of §15 from Leaves 97-98 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>Alles Leben entwickelt sich als Drang nach oben. Als Kinder der Natur, die uns mit Leben beschenkt hat, übertragen wir ihre Grundsätze auf die Kunst, deshalb geht die Aufwärtsbrechung voran, zum Zeichen der Steigerung einer Bewegung, die gleichsam den Athem des Klanges ausmacht.</p>	<p>All of life develops like an impulse from above. As children of nature, which has given us life, we transmute its essential laws to art. Therefore the arpeggiation upwards ascends as an indicator of the intensification of a motion that at the same time exhales the breath of the sonority.</p>

An omitted passage from the beginning of §16 (Von der Quint in Natur und Kunst) is found on leaf 98 (see Examples 47, 49, and 50). In the printed edition §16 is a brief section in which Schenker discusses the origin of the use of the fifth in ancient (pre-tonal) music. It was the intrusion of science in the field of music that forced composers to use the fifth for polyphonic settings rather than for reasons related to nature (the overtone series). In this omitted passage Schenker goes into more depth regarding the scientific origin

of the reification of the fifth. He explains that the Pythagorean theory of the overtones cannot or did not inhibit the creator from imbibing complexity into nature and music. Here Schenker seems to be saying that these methodical attempts to understand and codify sound could neither succeed nor impede the masters from hearing musical organization as it is in nature. In this passage Schenker shows his true belief in the power of God as being greater than all of science. Perhaps he removed this passage at the risk of sounding too anti-science.

Example 49. Leaf 98 (bottom), Vienna Manuscript

Die Vorstellung der Pythagoräer, daß der Kreis die vollkommenste Form ist, hat den Schöpfer nicht gehindert seine Stern <sup>die</sup> in kryptische Formen zu stellen. Jeglicher der Fortschritt der Wissenschaft, noch begreiflicher aber die Macht des Schöpfers. Es dauert lange, bis wir ein Atom ihres Umfangs erhaschen können. In der Wissenschaft ist auch die Vollkommenheit der Quinte in der Natur schon seit längster Zeit bekannt.

Example 50. Translation of Material from the Beginning of §16, Found on Leaf 98 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>Die Vorstellung der Pythagoräer, daß der Kreis die vollkommenste Form ist, hat den Schöpfer nicht gehindert, seine Sterne in elyptische Bahnen zu stellen. [ein Witz.] Begreiflich der Irrtum der Wissenschaft, noch begreiflicher aber die Macht des Schöpfers. Es dauert lange, bis wir ein Atom ihres Umfangs erhaschen können. Der Wissenschaft ist auch die Vollkommenheit der Quint in der Natur schon seit längster Zeit bekannt.</p>	<p>Pythagoras' theory, that the circle is the most perfect form has not inhibited the creator in placing his stars in elliptical orbits [comment aside: "a joke"]. The error of science is understandable: Even more understandable though is the power of the Creator. It takes a long time until we may be able to catch a glimpse of its extent in all its complexity. Science also has also known about the perfection of the fifth in nature for an extremely long time.</p>

The original title of §20 was changed from the manuscript to the printed edition (see Example 51). This topic is the first section of the viertes Kapital of the zweiter Abschnitt of Teil 1, and this heading is found on leaf 102. In some cases, comparing the manuscript to the printed edition reveals that while the exact phrasing of a section heading has changed, the meaning is very similar. In this case, however, new and different terms inserted into the printed edition create a different context. In the manuscript heading, Schenker explains that there are two different kinds of interruptions – the kind that occurs in the bass and the kind that occurs in the Urlinie. In the printed edition, on the other hand, the focus of the heading is less on the various kinds of interruptions, and more on register and its role in the interruption. The printed title matches the topic of this section more accurately. Nevertheless, it may have been more informative to keep the heading as it was in the manuscript since it gives a broader perspective, rather than simply stating again exactly what will come in the text of the section.



Example 51. Translation of Heading of §20 in the Vienna Manuscript and the 1935 Printed Edition

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Vom Unterscheid zwischen einer Brechung den Urlinie und der des Basses	The Difference Between an Interruption of the Urlinie and of the Bass	§20 Bedeutung der Höhe und Tiefe bei Urlinie und Baß	§20 Significance of High and Low Register with Respect to Fundamental Line and Bass

The original title of §24 was different in the manuscript, and the first part of the section was stricken – this material is found at the bottom of the page on leaf 105 and continuing on leaf 106 (see Examples 52-54). This change is considerable and one wonders whether Schenker changed his mind here about the possibility of  $\hat{3}$  or  $\hat{5}$  at the end of a piece. The title of the section was originally: “ $\hat{5}$  or  $\hat{3}$  may Never Happen at the Close of a Piece” but it changed to: “The Meaning of a Fifth or Third at the Close of a Piece.” If Schenker originally insisted that  $\hat{3}$  or  $\hat{5}$  *never* arise at the end of a piece, how could this section conceivably have changed to reflect a discussion about the cases when  $\hat{3}$  or  $\hat{5}$  come at the close of a piece? The original title was thus flat out wrong since  $\hat{3}$  or  $\hat{5}$  do sometimes come at the ends of pieces, as Schenker himself observed.<sup>10</sup> This conflict surely represents a discrepancy of meaning. The changes of text in this section are consistent with a change of meaning, because the material at the beginning that insists a piece close on  $\hat{1}$  is removed, and the final statement of the section is removed. This statement regards the qualification of the piece being in service of art requiring it to end on  $\hat{1}$  in all cases. The changes made in this section were probably for clarification and to avoid discrepancy of meaning.

<sup>10</sup> C.f. Schenker’s own analysis of the first movement of Schumann’s *Kinderscenen* in Tonwille. Heinrich Schenker, *Der Tonwille: Pamphlets in Witness of the Immutable Laws of Music*, translation ed. William Drabkin, Volume II (Oxford: Oxford University Press, 2004).

Example 52. Leaf 105, Vienna Manuscript

*Die Urlinie muß nur mit dem Tonikaton  
 schließen, deshalb ist schon hier anzumerken,  
 5 oder 3 können niemals am Schlusse stehen*

Example 53. Leaf 106, Vienna Manuscript

*Die Quint oder Terz, die sich zuweilen  
 schließen, deshalb ist schon hier anzumerken, daß  
 die Urlinie in denen, wo diese Intervalle am Ende  
 steht, nur etwa einer Coda nachgeht oder sonst  
 eine poetische Fügung, mit dem die Urlinie aber nichts  
 mehr zu schaffen hat, wie ganz gewiss schon  
 früher in den Gesängen war, wenn das Stück vor  
 der Kunst Gestalt haben soll.*

Example 54. Translation of §24 Material from leaves 105-106 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>5 oder 3 können niemals am Schlusse stehen</p> <p>Die Urlinie muß nur mit dem Tonikaton                      schließen, deshalb ist schon hier anzumerken,</p>	<p>5 or 3 may Never Occur at the Close of a                      Piece</p> <p>The fundamental line must only close with the</p>	<p>§24 Was eine Quint oder Terz am Schluß                      eines Stückes bedeutet</p> <p>Die Quint oder Terz, die sich zuweilen</p>	<p>§24 The Meaning of a Fifth or Third                      at the Close of a Piece</p> <p>A fifth or third occasionally found at</p>

<p>daß bei Stücken, in denen eins dieser Intervalle am Ende steht, nur etwa eine Coda vorliegt oder sonst ein poetischer Zug, mit dem die Urlinie aber nichts mehr zu schaffen hat: Diese muß ganz gewiss schon früher zuendegegangen sein, wenn das Stück vor der Kunst Bestand haben soll.</p>	<p>tonic. Therefore it should be noted that in pieces where one of these intervals comes at the end, [ie., <math>\hat{5}</math> or <math>\hat{3}</math>] that should occur only in service of a coda or some poetic idea unconnected with the fundamental line, which must certainly have come to an end earlier, if we are to consider the piece to be in service of art.</p>	<p>am Ende einer Komposition findet, steht im Dienste nur etwa einer Coda oder sonst eines poetischen Zuges, mit dem die Urlinie aber nichts mehr zu schaffen hat: Die muß ganz gewiß schon früher zu Ende gegangen sein (vgl. § 304).</p>	<p>the end of a composition occurs only in the service of a coda or some poetic idea unconnected with the fundamental line, which must certainly have come to an end earlier. (§304) [§267]</p>
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The original title of §26, which is found on leaf 107 was slightly different in the manuscript (see Example 55). The meaning of this section is considerably different with the slight change of wording. The heading was originally restrictive in its description of the contents of the foreground; that is to say that the Ursatz as permeating material for every structural level is emphasized in the manuscript version of the heading. On the other hand, the revised version seems to suggest that it is merely possible for the Ursatz to inform the foreground. The first version of this heading seems truer to Schenker’s core theory considering several earlier statements in the first chapter (The Background). For example, Schenker asserts in section 4 of Chapter 1, “Musical coherence can be achieved only through the Ursatz in the background and its transformations in the middleground and foreground.”<sup>11</sup> Later in this section he quotes Hugo von Hofmannsthal, “No part of the surface of a figure can be formed except from the innermost core outward.”<sup>12</sup> There seems to be little room for misunderstanding that the foreground cannot possibly be divorced from the Ursatz.

<sup>11</sup> Schenker (Oster trans.), *Free Composition*, 6.

Example 55. Translation of Heading of §26 in the Vienna Manuscript and the 1935 Printed Edition

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Der Ursatz allein kann schon Inhalt eines Vordergrundes sein	The Ursatz Can be the (Exclusive) Content of a Foreground	Der Ursatz kann schon Inhalt eines Vordergrundes sein	The Fundamental Structure can even be the Content of a Foreground

The original title of §28 was slightly different, as found on leaf 108 (see Example 56). This section comes from chapter 3 of part 1, which is called, “The Forms of the Ursatz.” Section 1 of this chapter is called “The Forms of the Ursatz: General Remarks.” The difference from the manuscript version of the heading for this section and the printed edition version is the addition of a clause of comparison. While in the manuscript version Schenker seems to be limiting the following discussion to simply the meanings of Ursatz, the version of this heading in the printed edition takes things to a different level by posing the forms of the Ursatz against cadences of conventional harmony. These may be seen as two different tasks. Similar to the change in the heading of §20, this heading becomes more of a direct repetition of what Schenker will discuss in the section itself rather than an insightful bit of perspective on the ensuing discussion.

Example 56. Comparison and Translation of Heading for §28 Change in Wording

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Von wahren Bedeutung der Ursatzformen	On the True Meaning of the Forms of the Ursatz	Vom Unterschied zwischen den Ursatzformen und den Kadenzen der üblichen Harmonielehre	The Difference Between the Forms of the Fundamental Structure and Cadences of Conventional Harmony

<sup>12</sup> Ibid.

The title and some of the text in §29 were changed from the manuscript to the printed version (see Examples 57-60).<sup>13</sup> This section deals with various forms of the Ursatz and how one arrives at a decision for a particular structure in a given piece. Some of the changes seem like superficial re-wordings. For example, in the first column, second paragraph of Example 60 “Das Leben erhebt nicht den Anspruch...” is changed to “Es erhebt durchaus nicht den Anspruch...” (shown in the third column). Though the sentence structure has changed from active to passive, relatively speaking, the meaning of these sentences is not very different (see the translations in columns 2 and 4). On the other hand, the sentence that directly precedes this changes very slightly from “Gerade ist aber das mit jenem **Leben will** gemeint” to “Gerade das ist aber mit jenem **Bilde nicht** gemeint.” Oster translates the latter as “This is not correct.” The color of the language here is lost in translation, though, since what Schenker says is more like, “With every view of things this is just is not what is meant.” In the original version of this sentence, however, yet another connotation is revealed in Schenker’s wording, which may be translated as “This is just not the life that is meant.” Though both of these translations lack elegance in English, it is noteworthy to show the change in flavor of Schenker’s word choices here. It seems like talking about the “life” in the context of the misguided attempt to introduce a “chronology of creation” in a piece through the choice of Ursatz is rather more poignant than using the word “picture” or “view.”

A section of text from the very beginning of this section that was omitted or at least mined for minimal material as it evolved from the version in the Vienna manuscript (found on leaves 110-111a) to the printed version. Although Schenker is not shy about saying that it is from nature that the Ursätze of music come, some of the background information is lost with the omission of this sentence. Here Schenker talks about the drive to create being present in every person, like a copy of some a greater being (read: God). Schenker is comparing this mapping of the drive for creation to phenomenon of parallelism, which he discusses circuitously following this section.

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<sup>13</sup> Paragraph 3 of §29 in the printed edition does not appear in the manuscript. The source of this paragraph in the printed edition is unknown.



~~X~~ ~~Handwritten notes~~ ~~68~~  
 schon fragen. Soll aber ein Absatz so lange  
 variiert werden, bis im Grund eine Lufonie  
 daraus entstanden ist. ~~oder dergleichen?~~ Es geht es  
 nun nicht! ~~Die Fragestellung ist falsch.~~ Das Gold  
 der Schichten, ~~vgl. W. ?~~ ~~Merkmale~~ "gibt Kei"  
 ne ~~Stück~~ über die Chronologie des Schaffens.

~~Handwritten notes in a circle~~

24. II. 32 — für einen  
 Schultag ganz annehmlich ge  
 fällt von Heinrich u. Sie - Sie  
 3/4 12 h nachts

Example 60. Translation of Material from §29. Vienna Leaves 110-111

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p><u>Was die Ursatzformen sagen wollen</u></p> <p>Der jedem Menschen eingeborene Trieb etwas schaffen zu wollen, zumindest als Nachahmung ausgeprägt, will vor allem erfahren, wie der andere Mensch es so gut, ja besser hat machen können. Die von mir aus den Meisterwerken geschöpften u[nd] nun der Welt dargebotenes Ursatzformeln geben Gelegenheit zu Mißverständnissen.</p> <p>Die Men- [next leaf] [to leaf 111a]</p> <p>[Der so fragt, trägt in das Bild der Ursatzformen die Vorstellung eines bloß</p>	<p><u>What the Forms of the Fundamental Structure Seem to Say</u></p> <p>The drive to want to make something, which exists in every person at least as a distinctive copy, wants to find out how the other person makes something that well, or even better.</p> <p>The forms of the fundamental structure, derived from the masterworks and now presented here to the world might give cause for misunderstandings.</p> <p>Whoever asks this introduces the notion of a time sequence, a “chronology of creation” into the idea of the fundamental structure. In</p>	<p><u>§29 Von der wahren Bedeutung der Ursatzformen</u></p> <p>Die von mir aus den Meisterwerken geschöpften Ursatzformen könnten einem hauptsächlich auf Nachahmung angewiesenen Kunstjünger Gelegenheit zu Mißverständnissen geben und im besonderen zu der Frage veranlassen: Braucht man also wirklich nur einen beliebigen Ursatz zu variieren, um im</p>	<p><u>§29 The True Meaning of the Forms of the Fundamental Structure</u></p> <p>The forms of the fundamental structure, derived from the masterworks, might give cause for misunderstanding to young artists, who are mainly dependent upon imitation. Specifically, the following question could arise: need one only vary some fundamental structure in</p>



<p>zeitlichen Verlaufes, sozusagen einer Chronologie des Schaffens. Gerade ist aber das mit jenem Leben will gemeint. Das Leben erhebt nicht den Anspruch, Bestimmtes über die Chronologie des Schaffens auszusagen,]</p> <p>[leaf 111: Die Men-]</p> <p>[-]schen fragen: Soll also ein Ursatz so lange variiert werden, bis im Vordergrund eine Sinfonie daraus entstanden ist oder dergleichen? So geht es nun nicht! Die Fragestellung ist falsch. Das Bild der Schichten, vgl. Tw. [Tonwille?]? und Meisterwerk—gibt keine Auskunft über die Chronologie des Schaffens.</p>	<p>order for life to exist it is not required that something be said about the chronology of creation. The concept of the fundamental structure by no means claims to provide specific information about the chronology of creation,</p> <p>People ask: should then a fundamental structure be varied so that one could derive from the foreground of a symphony, for example? Or the like? That is not how it works! The question itself is wrong. The view of the structural levels, as noted in “<i>Tonwille</i>” and “<i>Meisterwerk</i>” give no information about the chronology of creation.</p>	<p>Vordergrung z. B. zu einer Sinfonie zu gelangen? Der so fragt, trägt in das Bild der Ursatzformen die Vorstellung eines bloß zeitlichen Verlaufes, sozusagen einer Chronologie des Schaffens hinein. Gerade das ist aber mit jenem <b>Bilde nicht</b> gemeint. <b>Es erhebt durchaus nicht den Anspruch</b>, Bestimmtes über die Chronologie des Schaffens auszusagen, es stellt lediglich die strenglogische Bestimmtheit im Zusammenhang einfacher mit komplizierten Tonfolgen vor und zwar den Zusammenhang nicht nur in der Richtung vom Einfachen Komplizierten zurück zum Einfachen.</p>	<p>order to arrive at the foreground of, say, a symphony? Whoever asks this introduces the notion of a time sequence, a “chronology of creation” into the idea of the fundamental structure &lt;and the transformation levels&gt;. This notion is not correct. The concept of the fundamental structure by no means claims to provide specific information about the chronology of creation; it presents only the <i>strictly logical precision in the relationship</i> between simple tone-successions and more complex ones.</p>
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In the middle of leaf 111a Jeanette includes an interesting commentary with the typical, occasional dating, as shown in Example 61. This text shows again the progression of the preparation of this manuscript in 1932, though it is curious that the date is not February 29<sup>th</sup> (leap day), but rather February 24<sup>th</sup>.

Example 61. Peripheral Material from Leaf 111a, Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
24.II.32—für einen Schalttag ganz anschaulich gefüllt von Heinrich und Lie-Lie. <sup>3</sup> / <sub>4</sub> 12h nachts	February 24, 1932 – this "leap day," has been quite fruitful for Heinrich and Lie-Lie. (11:45pm at night).

It is noteworthy that leaf 111a is written on the back of the call for an Emil Hertzka Stiftung.<sup>14</sup>

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<sup>14</sup> Hertzka died on May 9, 1932. Evidence like this, along with notes by Jeanette or Schenker himself noting the date and exact time of certain revelations and thoughts (on the leaves of the manuscript) point to the fact that Schenker was involved heavily with the dictation of the text of this manuscript in 1932. As for his use of this Hertzka page — is it some sort of tongue in cheek gesture that Schenker used this “Hertzka Stiftung call” for a part of his manuscript? Most of the manuscript is in Jeanette’s hand, but this portion is in Heinrich Schenker’s hand. The text of the document is found in Example 62.

Example 62. Call for the Creation of the Emil Hertzka Stiftung, Vienna Manuscript

In the Vienna Manuscript	English Translation of Leaf from Manuscript Documents

The original title of §30 was slightly different in the manuscript version as found on leaf 113 (see Examples 63 and 64).<sup>15</sup> In the manuscript version, Schenker originally used the term “Stil” in the heading, “Die Schichten als Wiederholung größten Stiles” (literally translated: “Levels as Repetitions of the Greatest Style”), but §30 does not actually pertain to aspects of style.<sup>16</sup> Taking it one step further, changing the word “greatest” to “highest” yields the following, “Levels as Repetitions of the highest kind [or highest order].” Another illustrative phrasing could be “Levels as Repetitions in the Most Elevated Sense,” which includes the translation that Oster used in the body of §30. The printed

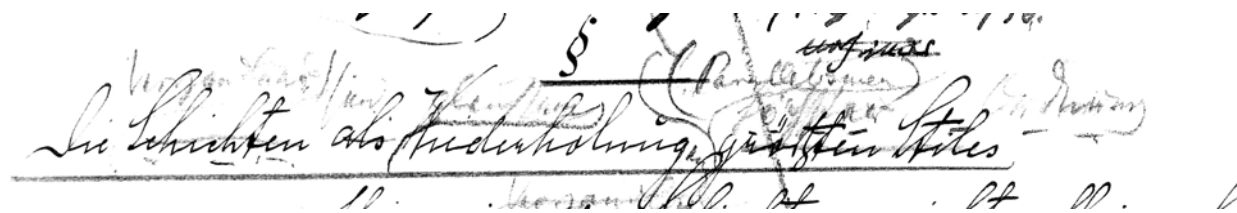
<p>AUFRUF ZU EINER EMIL HERTZKA-GEDÄCHTNISSTIFTUNG</p> <p>Am 9. Mai ist Emil Hertzka gestorben. Sein Lebenswerk, dessen Auswirkung die Musikgeschichte festhalten wird, seine Arbeit war vom ersten bis zum letzten Tag der Jugend gewidmet, dem Zukünftigen, dem noch nicht Bewährten. So hat er einen erstaunlich großen Kreis kunstschaftender Menschen von ihren ersten Anfängen an helfend begleitet und in zäher Überzeugungstreue geistiger Leistung sehen wir das Dauernde seiner Lebensarbeit.</p> <p>Sie soll—über das Andenken, das seinem Werk und seiner Persönlichkeit im Herzen seiner Freunde sicher bleibt—auch nach außen als ein dauerndes Denkmal fortleben. Deshalb hat ein Kreis von Wiener Freunden <i>die Initiative Verstorbenen einen Begriff</i>, die Verkörperung einer Idee gesehen haben, wie sie uns gerade heute wichtig und unersetzlich war, mitarbeiten sollen: also Musiker und Musikfreunde in der ganzen Welt, soweit sie im Sinne Emil Hertzkas an die Jugend, an die Zukunft, and das wirklich Neue glauben.</p> <p>Die Emil Hertzka-Stiftung in Wien hat den Zweck, zeitgenössische Komponisten zu unterstützen. Dieses Ziel soll in erster Linie durch die Errichtung eines Preises erreicht werden, der durch eine Jury von hervorragenden Musikern zur vorhandenen Möglichkeiten durch Veranstaltung von Aufführungen ihrem Zweck dienen.</p> <p>Wir fragen Sie, ob wir auf Ihre Unterstützung bei diesem Plan rechnen dürfen, vor allem, ob wir eine Spende für diese Stiftung von Ihnen... <i>[page is torn in half here and the rest is not found...]</i></p>	<p>Call for an Emil Hertzka Memorial Foundation</p> <p>On May 9, Emil Hertzka died. The effect of his life’s work will be remembered well in music history. He dedicated his work to young people – to the future, the not yet approved - from his first to his last day. He has assisted a large circle of creative men from their first beginnings, and this strong and faithful spiritual achievement is what will last.</p> <p>Surely his work and personality will live on in the hearts of his friends. In turn, there should also be something tangible as a lasting tribute. Therefore a circle of Viennese friends have taken the initiative to memorialize the dearly deceased. It is very important for us to do this now. So, musicians and friends of music throughout the whole world, let us do something as a tribute to Emil Hertzka’s life, for the future, and for the belief in all that is new and emerging.</p> <p>The Emil Hertzka Foundation in Vienna has the goal of supporting contemporary composers. The first aspect of this goal will be the endowment of an award which will be attainable though a Jury of reputable musicians who will do whatever is possible – they will plan an event consisting of musical performances in service of their goal.</p> <p>We are asking you, if we can count on your support for this plan. And above all, if we can count on a donation from you for this foundation...</p>
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<sup>15</sup> The last paragraph of §30 in the printed edition is not found in this manuscript.

<sup>16</sup> Hedi Siegel has pointed out to me in personal correspondence that here “Stil” could also mean “kind,” which would lead to such a translation: “Levels as Repetitions of the Greatest Kind.”

version shows that Schenker replaced the ambiguous word “Stil” with the more understandable “Ordnung,”<sup>17</sup> and therefore this passage was probably changed for the sake of clarity.

Example 63. Leaf 113, Vienna Manuscript



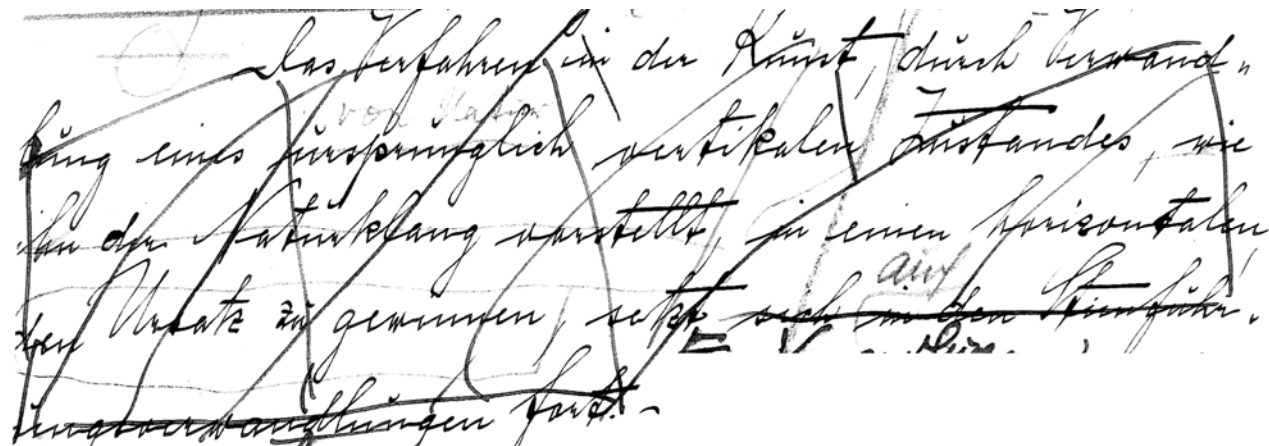
Example 64. Title heading of §30, Vienna Manuscript Compared to 1935 Printed Edition

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Die Schichten als Wiederholung größten Stiles	Levels as Repetitions of the Greatest Style	Die Verwandlungsschichten sind gleichsam Wiederholungen (Parallelismen) höchster Ordnung und bedeuten zugleich eine Aufhaltung	The Transformation Levels Are Repetitions or Parallelisms and also Constitute a Delaying

<sup>17</sup> I am grateful to Hedi Siegel for her help in translating and understanding this word change and heading meaning.

There is text omitted from the beginning of §46, which is found on leaf 126 (see Examples 65-66). This section comes from Chapter 1 (The Middleground in General) of Part II (The Middleground). Schenker starts out by defining the terms he will use in this section. In §46 the topic heading is “Voice-leading Transformations also Spring from a Vital Natural Power.” Here Schenker returns to the idea of the Ursatz being a life force, which exists by its own power and energy. He explains further that the voice-leading transformations are a vital element to this life force, rather than a disconnected peripheral element. In the omitted section Schenker takes this idea one step further to elaborate on the process of horizontalization of the vertical chord of nature. Furthermore, this process is an artistic one, which lends a deeper explanation of why the transformation levels are not merely superficial. The omitted passage actually seems to clarify this section, whereas the published version can be laconic and too compressed. It’s difficult to envision why this passage was omitted.

Example 65. Leaf 126, Vienna Manuscript



The image shows a handwritten manuscript snippet on a five-line staff. The text is written in cursive German. At the top, there is a circled 'D'. The text reads: "Das Verfahren in der Kunst durch Verwandlung eines ursprünglich vertikalen Zustandes, wie ihn der Naturklang darstellt, in einen horizontalen Ursatz zu gewinnen, setzt sich auf den Künftigen in Verwandlungen fort." There are some corrections and additional markings, including a small 'E' and some crossed-out lines.

Example 66. Text Omitted from Beginning of §46, Found on Leaf 126

Vienna Manuscript	English Translation of Manuscript
<p>Das Verfahren in der Kunst, durch Verwandlung eines ursprünglich vertikalen Zustandes, wie ihn der Naturklang verstellt, in einen horizontalen Ursatz zu gewinnen, setzt sich in den Stimmführungsverwandlungen fort. Diese nur als eine äußerliche Motiveinkleidung aufzufassen, entspreche nicht dem künstlerischen Sachverhalt, als zutreffen darf nur die künstlerisch lebendige Fassung gelten:</p>	<p>The process by which an element that was originally in a vertical state is transformed into a horizontal one also applies to voice-leading transformations. Take for example the transformation of the “Naturklang” into the “Ursatz”<sup>18</sup> To try to understand this only by taking account of the outward appearance of the motives does not correlate with the artistic content. Only the artistically living conception has validity.</p>

There are differences between §50 of the manuscript (leaves 131-132) to the printed version (see Examples 67-69). This section, entitled “Rejection of the Conventional Terms “Melody,” “Motive,” “Idea,” and the like” critically examines terminology and its historical and contemporary usage. In this section Schenker takes on composers who are not masters of music. Instead of keeping the larger structures in mind in composing, Schenker accuses these composers of rambling on with small musical utterances. In the manuscript version of the section that was changed, besides the altered syntax, the main omission is discussion of the role of logic in the composer’s musical decisions. To Schenker, it may seem that logic is not a cold, calculating, unmusical element of the compositional process, but instead it is a natural extension of a composer’s innate understanding and application of the Ursatz at later levels of the music (here, the middleground). The presence of the term “logic” therefore informs this commentary that much more in this case, and readers may well have benefited from its inclusion in the printed version.

<sup>18</sup> Here is an alternate translation of this passage: “The process in art of the transformation of a state originally vertical – as represented by the chord of nature [Naturklang] – so as to achieve a horizontal Ursatz, proceeds further through the voice-leading transformations.”

Example 67. Leaf 131, Vienna Manuscript

Example 68. Leaf 132, Vienna Manuscript

Die Genies schöpfen aus dem Ursatz einen  
 Weitblick, dem sie sich während der Stimmführungs-  
 verwandlungen vertrauensvoll überlassen, zumal sie sich  
 durch Fühlungnahme mit dem Vordergrund  
 stets die möglich haben, die Verwandlungen logisch

durchzuführen, deshalb stellen sie ihr Werk nicht  
 etwa auf das, was gemeinhin „Melodie“ oder „Ein-  
 fall“ genannt wird, vielmehr ist ihr Motivisches  
 in den Verwandlungen in ~~ihren~~ Zügen begrün-  
 det.

Example 69. §50 Varies from Manuscript to Printed Edition. Vienna Manuscript, Leaves 131-132

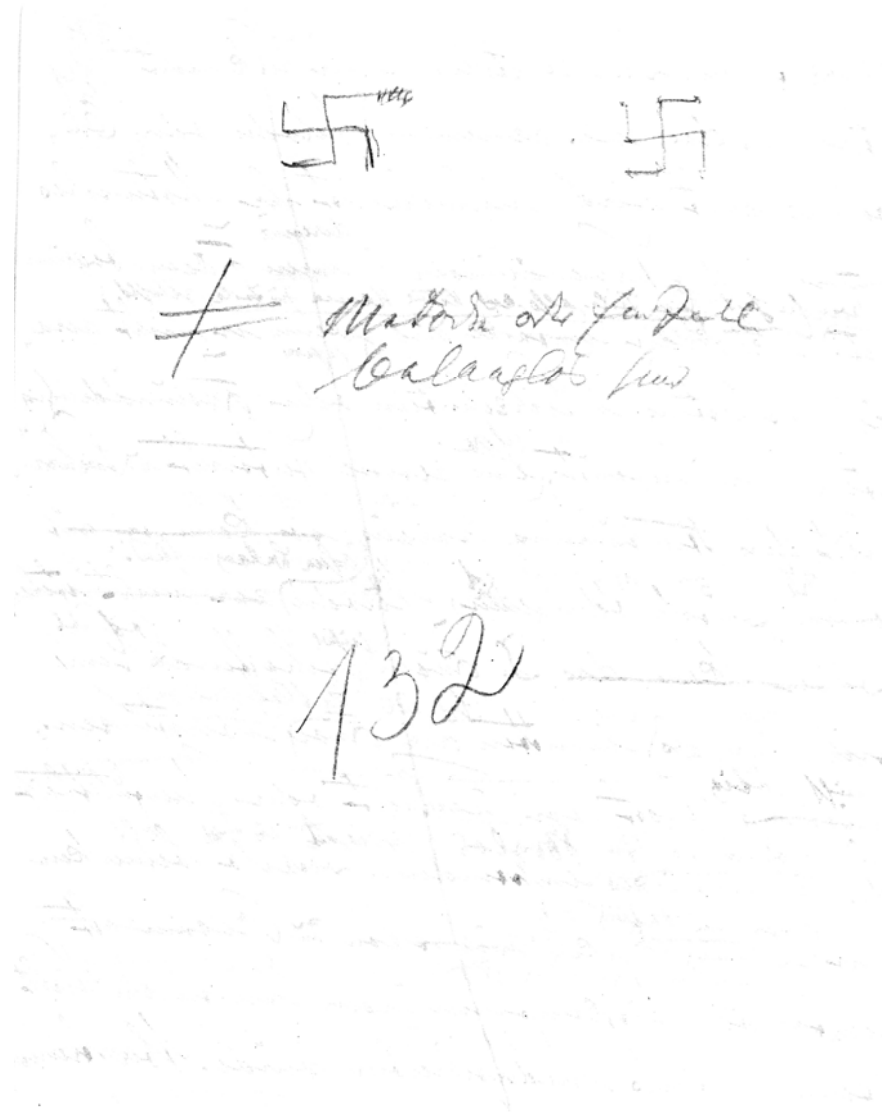
Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Die Genies schöpfen aus dem Ursatz einen Weitblick, dem sie sich während der Stimmführungsverwandlungen vertrauensvoll überlassen, zumal sie sich durch Fühlungnahme mit dem Vordergrund stets die möglich	The great composers create from the fundamental structure a long-range vision, which they steadfastly trust during the voice-leading transformations, since they always have the opportunity to develop transformations logically through contact	Die Genies überlassen sich vertrauensvoll ihrem Weitblick; deshalb stellen sie ihr Werk nicht etwa auf das was gemeinhin „Melodie“ oder „Einfall“ genannt wird, vielmehr ist der Inhalt in den Verwandlungen und Zügen begründet,	Great composers trust their long-range vision. For this reason they do not base their compositions upon some “melody,” “motive,” or “idea.” Rather, the content is rooted in the voice-leading transformations and linear progressions

<p>[Möglichkeit?] haben, die Verwandlungen logisch durchzuführen. Deshalb stellen sie ihr Werk nicht etwa auf das, was gemeinhin „Melodie“ oder „Einfall“ genannt wird, vielmehr ist ihr Motivisches in den Verwandlungen u[nd] Zügen begründet.</p>	<p>with the foreground. Therefore they do not arrange their work around what might commonly be called “melody” or “idea,” rather their motives are based on the transformations and linear progressions.</p>	<p>deren Einheit aber nicht Teile, also auch nicht Namen für Teile zuläßt.</p>	<p>whose unity allows no segmentation or names of segments &lt;§§ 308, 311, 313&gt;.</p>
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It is noteworthy that on the verso side of leaf 132 (opposite the text page) someone has drawn two swastikas next to each other (see Example 70). One is in blue pencil and one is in regular pencil. It is unknown who would have drawn them (Schenker, Frau Schenker, possibly someone else?), and their meaning, if any, is not completely – they may have just been doodles, but it is interesting from an historical standpoint to notice these sketches. Next to the pictures is the text, “Methode oder der Fall belanglos sein,” which means, “The system or the case of being trivial.”



Example 70. Leaf 132 verso, Vienna Manuscript. Swastika drawings





Example 72. Material from §50 of the Zweiter Teil, Found on Leaf 133 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Was könnte man auch Melodie oder Einfall in Stücken nennen, in denen sich der Gesamtablauf des Inhalts so mit der Urlinie deckt, daß die Oberstimme des Stückes keine anderen Töne als die der Urlinie aufweist?</p> <p>Sehen wir daraufhin z. B. Chopins Etude 10<sup>XII</sup> an: die Figuren sind auf <u>a-g-f</u> zurückzuführen, mit Einschaltung der Nebennote, die nichts anderes sind als <math>\hat{3}-\hat{2}-\hat{1}</math> (Beispiele?).</p>	<p>How can you call something “melody“ or “an idea” in a piece of music, where the entire process of the contents are so identical to the Urlinie that the upper voice of the piece features no other tones than that of the Urlinie? Let us look at Chopin’s etude 10<sup>XII</sup> for example: the figures lead back to A-G-F with the interpolation of the neighbor-note figure that is no different from <math>\hat{3}-\hat{2}-\hat{1}</math> (examples?).</p>	<p>Freilich aber hat ein Genie auch schon die Fortsetzung und damit eine Folge von Auskomponierungen im Ohr, die als Ganzes eine weit höhere und notwendiger Melodie vorstellen als die eine Melodie oder der eine Einfall im üblichen Sinne ergeben kann. Was sollte etwa als Melodie oder Einfall z. B. In jenen Stücken bezeichnet werden, in denen sich der Gesamtablauf genau nur mit dem Ursatz deckt? (Vgl. §26.)</p>	<p>Of course, the great composer already hears the continuation, and with it a series of composings-out. These form a <i>totality</i> and present a melody of far higher order and greater inevitability than a “melody” or “idea” could provide. What is to be designated as “melody” or “idea” in those pieces whose entire course is identical with the fundamental structure (§26)?</p>

Frau Schenker has written the following note about the time and location of the expression before the last paragraph of §50 (the Zweiter Teil of the printed edition) on leaf 135 of the manuscript. See Example 73.

Example 73. Translation of an Expression Marked on Leaf 135 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
3. III. 32	March 3, 1932
11h nachts – vor dem Bade!	11:00 at night – before bathing!

In the last paragraph of §50 Zweiter Teil of the printed version (leaf 135) there is a very slight difference from the manuscript to the printed edition — just one word, but it is a significant word (see Examples 74-75). The word “Menschen,” used in the printed edition, refers to men or people in a neutral sense, while the word “Menge” refers to “the masses,” probably in a derogatory tone. In this case Oster has taken some liberties in translating this section. The structure of the sentence in German does not translate directly, so Oster has changed the order of the clauses and the declination. The way he translates it, the term “Menschen” (versus “Menge”) would go unnoticed anyways since he calls that noun (“Neugier der Menschen,” the “curious.” The subtle difference of the curious *people* versus the curious *masses* is significant because here Schenker is criticizing the average person for being only superficially curious about events in the Ursatz, which cannot be codified in a simple way, easy enough for them to understand. Some flavor of this passage is lost in the change of one word, but also in translation. This passage was perhaps toned down to be less offensive.

Example 74. Leaf 135, Vienna Manuscript

Alle Vorgänge, die sich im Wunder der Fühlungnahme vom Ursatz zum Vordergrund u. umgekehrt begeben, auf feste anschauliche Formen zu bringen, ist undenkbar, am allerwenigsten auf solche Formen, die die öde flüchtige Phantasie der Neugehebräidigen künftigen.

Example 75. Translation of Material from the Last Paragraph of §50 Found on Leaf 135 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Alle Vorgänge, die sich im Wunder der Fühlungnahme vom Ursatz zum Vordergrund u[nd] umgekehrt begeben,	It is impossible to present in specific and perceptible forms all the events which occur through the miraculous rapport of	Alle Vorgänge, die sich im Wunder der Fühlungnahme vom Ursatz zum Vordergrund und umgekehrt begeben, auf	It is impossible to present in specific and perceptible forms all the events which occur through the miraculous rapport of

auf feste anschauliche Formen zu bringen, ist undenkbar, am allerwenigsten auf solche Formen, die die öde flüchtige Neugier der <b>Menge</b> befriedigen könnten.	fundamental structure with foreground – especially in forms which would satisfy the superficial interest of the curious masses.	feste anschauliche Formen zu bringen, ist undenkbar, am allerwenigsten auf solche Formen, die die öde flüchtige Neugier der <b>Menschen</b> befriedigen könnten.	fundamental structure with foreground – especially in forms which would satisfy the superficial interest of the curious.
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The original title of §51 of the *Zweiter Teil* was different and a little more biting (see Example 76). At some point the title changed from “The Truth in Music History” to “The Status of Music History.” Schenker did not hedge his opinions about music – he would have seen the content of his argument as being the truth rather than simply his opinion, so it seems more fitting that this initial title heading would have reflected his view of this section.

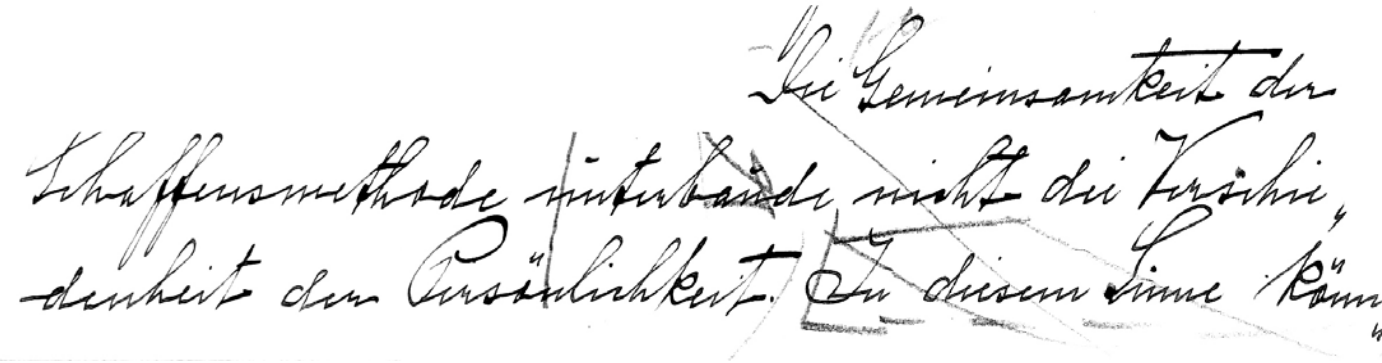
Example 76. Translation of Heading for §51 – Comparison of Manuscript Version and Printed Edition Version

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Von der Wahrheit in der Geschichte der Musik	The Truth in Music History	Vom Stand der Musikgeschichte	The Status of Music History

There is text omitted from the first paragraph of §51 of the *Zweiter Teil* from the printed edition, which is found on leaves 137 and 138 of the Vienna Manuscript (see Examples 77-79). The omitted text is descriptive about the creative process. Here Schenker is again critical of rubrics for teaching, which he admonishes for lacking critical artistic values. Schenker insists that what the great composers achieved can no longer be matched because of this lack in music education. In the final version however, Schenker

says that there is still room for countless geniuses, which seems contradictory to what he said in the omitted passage. He may have taken this passage out because he wanted to allow for future geniuses, an issue about which he may have been conflicted.<sup>19</sup>

Example 77. Leaf 137, Vienna Manuscript



Die Gemeinsamkeit der  
Schaffensmethode hinterläßt nicht die Frische,  
denheit der Persönlichkeit. In diesem Sinne kann

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<sup>19</sup> Notice that the original Example 13 was omitted from later versions of *Der freie Satz* (the 1956 German version and the 1979 English translation), however the example did exist in Schenker's fair copies in the Vienna collection and in the printed 1935 German version.

Example 78. Leaf 138, Vienna Manuscript

ten auch die Puhken gelten, die uns die Ge<sup>95</sup>  
 schichte der Musik lehren, wenn sie uns auf Kunst  
 lerischer Wirkung ruhren. Allerdings haben die  
 Meister in ihrer Kunst - im es zeitgemäß mit  
 einem Spontausdruck zu bezeichnen - einen Re  
 kend aufgestellt, der nicht mehr erreicht werden  
 kann.

Example 79. Translation of Text Omitted from §51 Found on Leaves 137 and 138 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>§51</p> <p>Die Geschichte der Musik – wiederholt schon habe ich darauf aufmerksam gemacht – hätte der Frage nachzugehen, wo, wann und wie der musikalische Stoff vom Unzusammenhängenden den Weg zum Zusammenhang gefunden, wann namentlich im</p>	<p>§51</p> <p>Music history, as I have repeatedly indicated, should pursue the questions of where, when, and how musical material found the path from incoherence to coherence: when did the first creative ear develop a sense for linear progressions as the essential unities,</p>



Ohr der ersten Schaffenden der Sinn für Züge sich ausgebildet hat als die ersten mit einem Zwang zum Fortschreiten in der Horizontale ausgestatteten Einheiten und hätte festzustellen, wann man darangung, ihre Tragkraft mit weiten und weitesten Verwandlungen ist es dann einerlei, ob – wie die Historiker meinen – z. B. Seb. Bach monothematisch, Beethoven polythematisch geschrieben hat. Trotz dem ewigen Einerlei an Zügen gibt die Kunst der Musik Raum noch für unzählbare Genies!

Die Gemeinsamkeit der Schaffensmethode unterbände nicht die Verschiedenheit der Persönlichkeit. In diesem Sinne könnten auch die Rubriken gelten, die uns die Geschichte der Musik lehrt, wenn sie nur auf künstlerischer Wertung ruhten. Allerdings haben die Meister in ihrer Kunst – um es zeitgemäß mit einem Sportausdruck zu bezeichnen – einen Rekord aufgestellt, der nicht mehr erreicht werden kann.

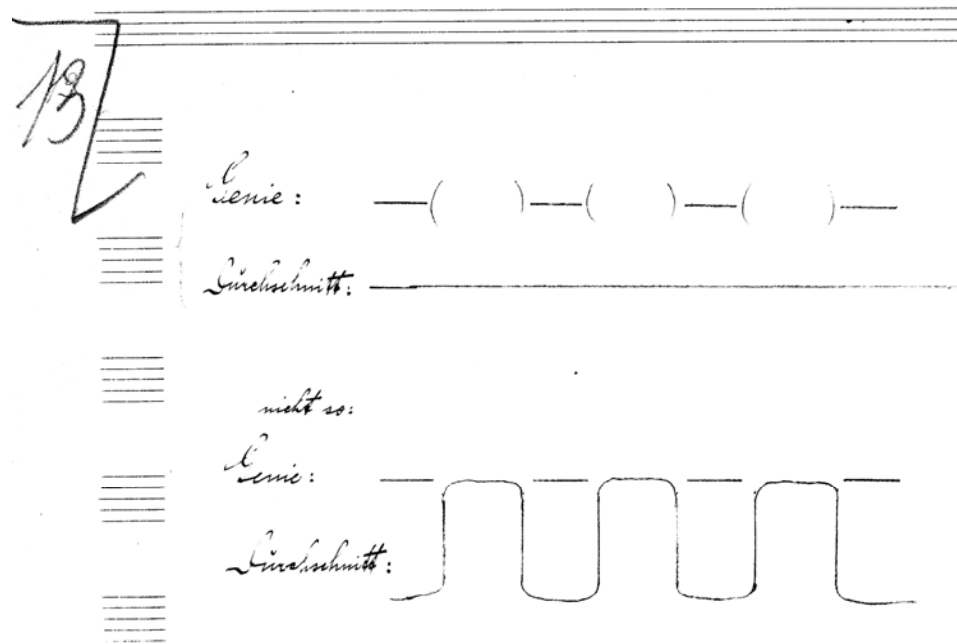
Nur hüte sich der Geschichtsschreiber, Genie und Durchschnitt in einer Ebene zusammenzulesen: Dieses Zusammenlesen hat zu einem falschen Begriff der Kultur überhaupt geführt. Das Genie tritt vereinzelt auf, der Durchschnitt ist ewig – zwischen diesen beiden Zonen gibt es niemals eine Verbindung, nie, nie! Für die Zeit, da das

complete with their constraint to move forward in the horizontal dimension? When did composers begin to demonstrate the sustaining power of these linear progressions by constructing more and more extended prolongations? When one considers the art of such prolongations, it becomes immaterial whether (as the historians suppose) J.S. Bach composed monothematically or Beethoven composed polythematically. Despite the eternal sameness of the linear progressions, there is still room in the art of music for countless gifted composers!

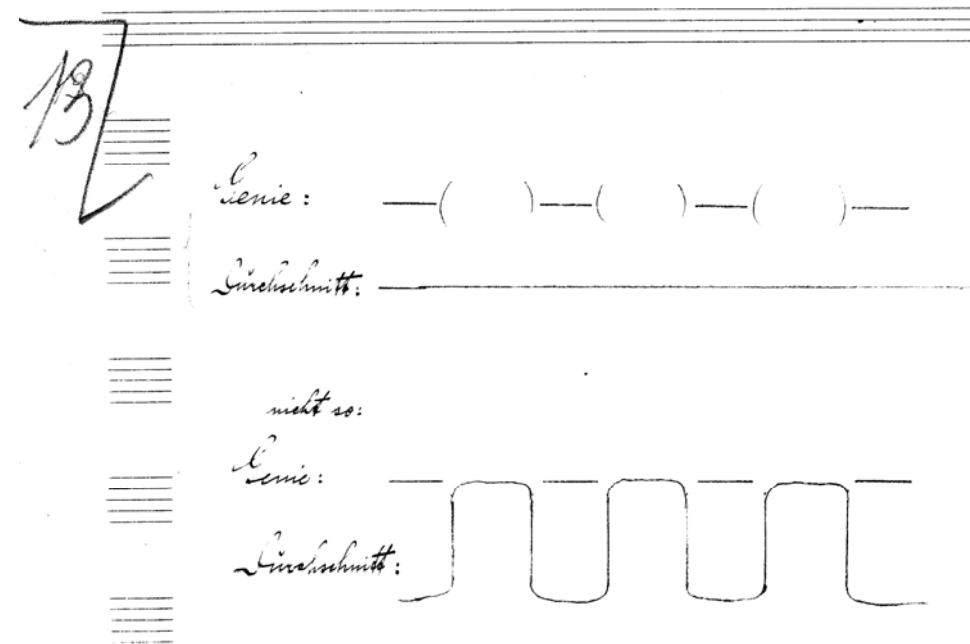
The similarity of creative method does not suppress variety of personality. In this sense the rubrics, which teach us music history, could be valid only if they are based on artistic values. In any case the great composers in their art achieved a record – to use a fashionable term from sports – that can no longer be broken.

But the historian should avoid placing the master and the man of moderate ability on the same level: such a grouping has led to a false concept of culture. The master composer enters the scene in isolated instances – the man of moderate ability is always there. Never can there be a connection between them! When genius has been absent,

Genie aussetzt, trotzt seit Urzeiten der Durchschnitt gleichmäßig weiter; aber auch die Gleichzeitigkeit von Genie und Durchschnitt bedeutet noch durchaus nicht Kultur für den Durchschnitt, am allerwenigsten aber ist es etwa so, daß der Gang der Kultur sich in Kurven bewegte:



mere talent has always plodded onward. But even the simultaneous presence of genius and talent has never meant true culture for the average man. At best, the course of culture moves in curves, something like this:



There is a phrase omitted from the end of the first paragraph of §52 of the Zweiter Teil from the printed edition, which is found on leaf 140 (see Example 80-81). Mostly the passage is the same, but the original end contains an elaborative idea extending this specific thought about music to other arts. Here Schenker is talking about how

contemporary composers do not understand diminution, so they ignore it or try to use it unsuccessfully in their works. It is enlightening to read the omitted material that on this topic, as in other areas, Schenker sees this as a problem that permeates the other arts.

Example 80. Leaf 140, Vienna Manuscript

Man redet sich  
eine Niedrigkeit des Primitiven, einen An-  
schluss an die <sup>alten</sup> ältesten Meister ein u. ä., ~~was~~  
das ~~eine~~ <sup>oben</sup> ~~wird~~ <sup>oben</sup> ~~nicht~~ <sup>oben</sup> ~~bedacht~~, daß die Diminution  
tion, wie sie in den Meisterwerken der Lieder-  
Epoche geschaffen worden ist, <sup>allen</sup> das eigentlich Schöpferi-  
sche <sup>des Meisters</sup> den eigentlichen Sinn, das Wesen der Kunst  
vorstellt, ~~wie~~ <sup>wie</sup> ~~ähnlich~~ <sup>ähnlich</sup> ~~doch~~ <sup>doch</sup> ~~wahrscheinlich~~  
~~auch~~ <sup>auch</sup> ~~in~~ <sup>in</sup> ~~den~~ <sup>den</sup> ~~anderen~~ <sup>anderen</sup> ~~Künsten~~.

Example 81. Translation of Material from the End of the First Paragraph of §52, Found on Leaf 140 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Man redet sich eine Wiedergeburt des Primitiven, einen Anschluß an die ältesten Meister ein u. ä., nur das eine wird nicht bedacht, daß die Diminution, wie sie in den Meisterwerken der Genie-Epoche geschaffen worden ist, das eigentlich Schöpferische, den eigentlichen Sinn, das Wesen der Musik vorstellt, wie ähnlich doch wahrscheinlich auch in den anderen Künsten.	They imagine a rebirth of the primitive, a bond with the old masters. Such composers never realize that only the diminutions in the masterworks of the epoch of genius represent the truly creative in music, music's actual nature and significance. This is probably similar to how it is in the other arts.	Man redet sich eine Wiedergeburt des Primitiven, einen Anschluß an die ältesten Meister ein u. ä., ohne aber zu bedenken, daß erst die Diminution, wie sie in den Meisterwerken der Genie-Epoche geschaffen worden ist, das allein Schöpferische in der Musik, ihren eigentlichen Sinn, ihr Wesen vorstellt.	They imagine a rebirth of the primitive, a bond with the old masters. Such composers never realize that only the diminutions in the masterworks of the epoch of genius represent the truly creative in music, music's actual nature and significance [ §§ 251-66].

There is a phrase omitted from the third paragraph of §52 of the Zweiter Teil from the printed edition, which is found on leaf 141 of the Vienna Manuscript. This paragraph comes at the end of a section where Schenker has been lamenting about the misunderstanding and misapprehension of the concept of melody by composers and listeners. To be sure, the text from this section that did get printed is inflammatory, so it doesn't seem like this section was censored. Essentially he is saying that people confuse

melodic synthesis with the “wide span of melody,” which is more spatial than conceptual. The addition of the clarification about melody as it may be meant by others and melody as a synthesis is critical to our understanding Schenker’s problem with contemporary composers. See Examples 82-83.

Example 82. Leaf 141, Vienna Manuscript

Auf der anderen Seite ertönt der Ruf  
nach Melodie, ~~Wie falsch~~ <sup>Zusatz</sup> dieser Begriff ist, habe  
ich schon oben gesagt. Mit Melodie wird  
ja auch nicht die Melodie der Synthese gemeint  
sondern <sup>kleine</sup> schmackhafte Ohr-Kanditen.

Example 83. Translation of Material from the Third Paragraph of §52, Found on Leaf 141 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Auf der anderen Seite ertönt der Ruf nach Melodie. Wie falsch dieser Begriff ist, habe ich schon oben gesagt. Mit Melodie	On the other hand one hears them cry out for melody. But, as I have already said above, this concept is wrong. When they	Auf der anderen Seite ertönt der Ruf nach Melodie, worunter zumeist kleine, schmackhafte Ohr-Kanditen verstanden	On the other hand one hears the cry for melody – most frequently meaning a tasty aural bonbon.

wird ja auch nicht die Melodie der Synthese gemeint sondern kleine schmackhafte Ohr-Kanditen.	say melody, they don't really mean the melody [created by] synthesis, but rather sweet little pieces of aural candy.	werden.	
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Turning to Chapter 2, entitled “Specific Characteristics of the Middleground: The First Level” and which elaborates on the middleground in a somewhat more practical sense,<sup>20</sup> we see that there is a sentence omitted from the end of the first paragraph of §53. This sentence is found on leaves 143-144 (see Examples 84-86). This section is entitled “An Unprolonged Urlinie Combined with an Ascending Bass Arpeggiation I-V That is Prolonged by Contrapuntal-Melodic Means.” The structure of this sentence is somewhat confusing because the pronoun “es” could not refer back to *Die* [N.B.] *Begrenzung*. Rather, “es” refers to “.....des Melodischen.” Identifying what “es” refers to could significantly change the meaning of the sentence. In this section Schenker is talking about his concept of melody, as it contrasts with the traditional sense of the word. In Schenker’s model, the melody is what fills in the space from I to V contrapuntally. The omitted text goes one step further by claiming that it is the sole function of the melody to horizontalize the unfolding of the vertical sonorities. Perhaps Schenker omitted this section because it was too limiting on the Urlinie, which — while not completely independent from the harmonic structure — may serve other purposes besides the horizontalization of a chord.

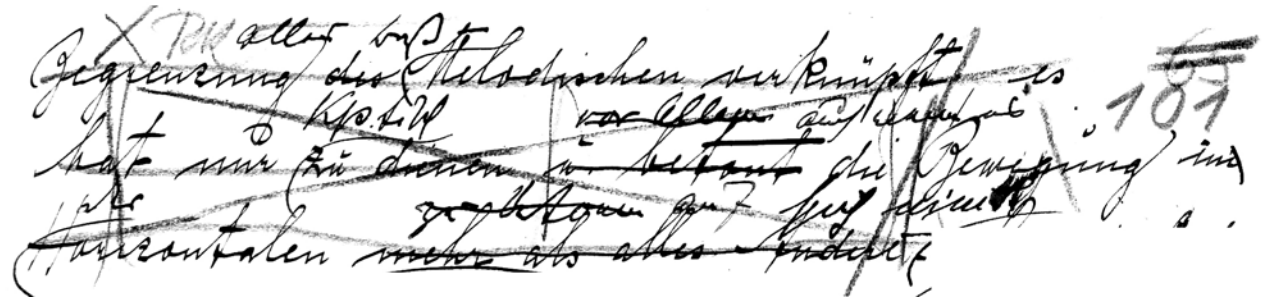
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<sup>20</sup> Some of the § headings in the *Erste Kapitel* of the *Zweite Teil* were changed slightly or moved around from manuscript to printed edition.

Example 84. Leaf 143, Vienna Manuscript



Example 85. Leaf 144, Vienna Manuscript



Example 86. Translation of Material from the End of the First Paragraph of §53, Found on Leaves 143-144 of the Vienna Manuscript

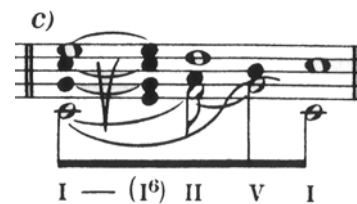
Vienna Manuscript	English Translation of Manuscript
<p><u>§53 Vom Begriff des Kontrapunktisch-Melodischen in der Aufwärtsbrechung</u></p> <p>Unter einem Melodischen des Basses ist hier nicht eine Bewegung des Basses im Sinne des gebräuchlichen Begriffes der Melodie zu verstehen – die Ablehnung dieses vermeintlichen Kunstbegriffes s. in § 50 –, sondern im Sinne der durch die Tiefenlage bedingten natürlichen Beschränkung des Basses (s. 20) bloß eine Auffüllung des Raumes I-V. Damit ist Begrenzung des Melodischen verknüpft, es hat nur zu dienen u[nd] betont die Bewegung im Horizontalen mehr als alles Andere.</p> <p>Dadurch, daß die Urlinie noch im unprolongierten Zustand bleibt, ist die Füllung, mit</p>	<p><u>§53 The Contrapuntal-Melodic Prolongation in the Ascending Arpeggiation</u></p> <p>By the word melodic I do not mean “melody” in its customary sense (§50), but a filling-in of the space from I to V in the bass. This space-filling motion serves to counterpoint the fundamental line, which is as yet unprolonged (§20). This is related to the limited role of the melodic element; its only service is to place more emphasis on the horizontal motion than on anything else.</p> <p>Because the fundamental line remains unprolonged, one scarcely notices the space-filling motion with which the bass goes beyond the I-V-I of the fundamental structure.</p>

der der Baß nun den Ursatzbaß überschreitet, fast nicht zu bemerken, und doch zwingt sie als Prolongation des Basses immerhin den neuen kontrapunktischen Satz schon in die erste Schicht zu verweisen.

Yet, since it is a prolongation of the bass, we must regard the new contrapuntal structure as part of the first level.

There is a sentence omitted from §57, which is found on leaf 149 of the Vienna Manuscript (see Example 87-90). Sections 55-60 deal with Figure 14 of the example set, which shows ways in which the Baßbrechung can elaborate an uninterrupted tonic prolongation to V and back to I. In this particular section (57), Schenker is explaining how an arpeggiation through the third and containing some sort of passing tone with varying degrees of weight may progress skipping the second (see Example 88, Figure 14: 3a-d). The omitted text seems to suggest an example be made of Bach's *Aria Variata*, but it is such a vague reference it is hard to know if Schenker is talking about the work as a whole, the theme, or another section of the piece. Additionally, he explains that non-contrapuntal listening is ill-advised since doing so is essential for determining the various Baßbrechungen. It is true that in this case only the Stufen are taken into consideration, rather than the whole Ursatz, which Schenker would say is necessary for determining any part of the Ursatz, any of the structural levels or transformation levels.

Example 87. Figure 15 3, c from *Der freie Satz*





Example 88. Figure 14 from *Der freie Satz*

14

1 a) b)

I — (I<sup>6</sup>) - V I I — (III<sup>♯</sup>) - V I

2 a) b) c) d)

I — (I<sup>6</sup>) — V I || I — (III<sup>♯</sup>) — V I || I — IV V I || I II — V I

I — (I<sup>6</sup>)

3 a) b) c) d)

I — (I<sup>6</sup>) — V I || I — (III<sup>♯</sup>) — V I || I — (I<sup>6</sup>) - IV - V I || I — (III<sup>♯</sup>) IV - V I

(p.t.) (p.t.)

(II<sup>6</sup>) (II<sup>6</sup>)

4 a) b)

I — (I<sup>6</sup>) - V I || I — (III<sup>♯</sup>) - V I

5

I — IV - V I

II<sup>6</sup>

6

I II — V I



<p>Sekundschrittes durch den Urlinie-Ton ist es, die die wahre Absicht auf die kontrapunktische Fassung I-IV-V oder I-II<sup>6</sup>-V zeigt (s. Fig. 15, 3 c).</p> <p>(Aria variata). Schon an dieser Stelle sei auf den Nachteil des nicht kontrapunktischen Hörens aufmerksam gemacht.</p> <p>Wer hier noch im Sinne der Rameau'schen Harmonielehre hört, kann sich freilich nicht entschließen, den Terzton zugunsten der Quart fallen zu lassen, was dann aber den Vordergrund ganz unzugänglich macht.</p>	<p>second tone of the filling-in is missing, and even when, as at d), there is a #; it is the stress upon the following second, given by a tone of the fundamental line, which reveals the true intention, the contrapuntal setting I-IV-V or I-II<sup>6</sup>-V (Fig. 15, 3c).</p> <p>(Aria variata). I have already mentioned by this point that non-contrapuntal listening is disadvantageous.</p> <p>Those who still hear in terms of Rameau's concept of harmony obviously cannot bring themselves to disregard the third in favor of the fourth. This assuredly makes the foreground inaccessible to them.</p>
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There is a slight difference in the last sentence of the last paragraph of §57, which is found on leaf 149 (see Examples 89 and 91), thereby altering the tone somewhat.. In the manuscript Schenker explains that those who listen to music according to Rameau's theories (especially the bass, here) will not hear the rise of a third as a significant structural move and that this is blatantly wrong ("makes for a bad violation)," whereas in the printed edition the words have changed to a more diplomatic sentence, expressing that "the foreground is inaccessible to them" (that is, to the people who still hear music within Rameau's theories). The wording may have been changed to be less offensive to some of his Viennese colleagues, although, ironically, it may be interpreted as being more offensive. Perhaps the manuscript version of the passage is more directly expressive of venom.

Example 91. Translation of Material Omitted from the end of §57, Found on Leaf 149 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Wer hier noch im Sinne der Rameau'schen Harmonielehre hört, kann sich freilich nicht entschließen, den Terzton zugunsten der Quint fallen zu lassen, was dann aber einen schweren Verstoß bedeutet.	Those who still hear in terms of Rameau's concept of harmony obviously cannot bring themselves to disregard the third in favor of the fifth. This makes for a bad violation.	Wer hier noch im Sinne der Rameau'schen Harmonielehre hört, kann sich freilich nicht entschließen, den Terzton zugunsten der Quart fallen zu lassen, was dann aber <b>den Vordergrund ganz gewiß unzugänglich macht.</b>	Those who still hear in terms of Rameau's concept of harmony obviously cannot bring themselves to disregard the third in favor of the fourth. <b>This assuredly makes the foreground inaccessible to them.</b>

There is a sentence omitted from the first paragraph of §66 (“The Laws of Strict Counterpoint Remain Valid in the Newly Achieved Structure),” which is found on leaves 155-166 (see Examples 92-94). In this section Schenker describes how the addition of the Urlinie to the bass structures of Figure 14 (see Example 88) must comply with the rules of strict counterpoint. This is a relatively short section, which is quite to the point. The omitted section shown in Example 90 elaborates that even if prolongation is not taking place in the Urlinie, it can be a part of the Ursatz, a detail that is further explored in the sections that follow (§67 and §68). This would have been a good bridge sentence moving from section to section in order to aide in clarifying the how the interaction of the bass and inner voices relate to the complete Ursatz (which has its roots in strict counterpoint).

Example 92 Leaf 155, Vienna Manuscript

Obwohl die Urlinie nicht prolongiert erscheint, gehört so ein Satz schon wegen der Baßprolongation zur 1. Schicht.

Example 93 Leaf 156, Vienna Manuscript

Baßprolongation zur 1. Schicht.

Example 94 Translation of Material Omitted from §66, Found on Leaves 155-156 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>Nun soll eine noch unprolongierte Urlinie, gleichviel ob mit <math>\hat{3}</math>, <math>\hat{5}</math> oder <math>\hat{8}</math> beginnend, mit den kontrapunktischen Fassungen des Basses Fig. 14, 1-6 zu einem Satz gefügt werden. Das erfolgt wieder nach den Regeln des strengen Satzes, somit bleibt die Kinsonanz das Grundgesetz der Stimmführung, die Dissonanz erscheint nur als Durchgang oder Synkope. Obwohl die Urlinie nicht prolongiert erscheint, gehört so ein Satz schon wegen der Baßprolongation zur 1. Schicht.</p> <p>Die durch den neu gewonnenen Satz erzielten Intervalle deuten schon die nächsten Aufgaben in den späteren Schichten an.</p>	<p>If an unprolonged fundamental line, beginning either with <math>\hat{3}</math>, <math>\hat{5}</math> or <math>\hat{8}</math>, is to be coordinated with the contrapuntal basses shown in Fig. 14 [also Fig. 14 of the printed version] to form a structure, it must be done according to the rules of strict counterpoint. Thus, the consonance remains the fundamental principle of voice-leading; the dissonance appears only as a passing tone or as a syncopation. Although the Urlinie does not appear to be prolonged, it does belong to the [contrapuntal] structure because of the bass prolongation in the first level.</p> <p>The intervals which are gained in the new structure indicate the tasks of the next structural level.</p>

§70 is one of the briefest sections in *Der freie Satz*. The topic, “Retardation by Means of the Prolonged Bass,” essentially elaborates the idea that a prolonged bass signifies a delayed resolution, so therefore a retardation is possible in this case. There is text omitted from §70, which is found on leaves 158-159 of the manuscript (see Examples 95-97). The omitted material is very interesting for this study because here Schenker not only comments further on this topic, including bringing to light other possible methods of prolongation like neighbor notes and interruption, but he also points to several pieces of music that illustrate his point. Since he only refers to the names of the pieces (shown in the translation in Example 97), and not even movements, it is unknown exactly what Schenker wanted to illustrate. Does prolongation take place in the pieces listed? Doesn’t prolongation happen in every musical work via some method or another?

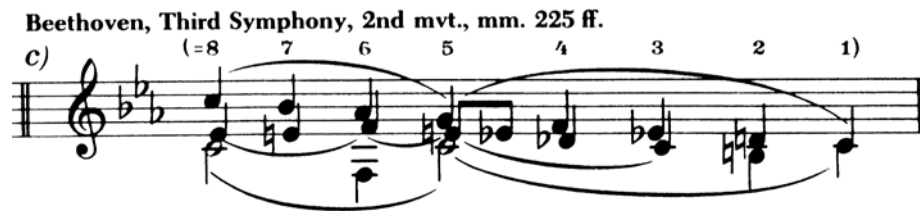
It would be impossible to know exactly what Schenker meant for sure, but one of the pieces will now be used as a possible example. Schenker refers to Beethoven’s Third Symphony, “Eroica.” Limiting a search for examples to *Der freie Satz*, in the second volume there are 18 examples of sections of this work (considering all the movements). Since the pertinent analytical issue is possible ascents of a sixth (to the Kopfton), there are many examples that can be eliminated as pertaining to this topic because they do not deal with any kind of ascent, the Urlinie, or the Ursatz in general. Example 98 shows Figure 109, 2c from the figures volume of *Der freie Satz*, and reveals a middleground 8-line in the second movement, mm. 225ff. This example shows no Anstieg to the Kopfton via a sixth, nor does it show any kind of 6-line. Figure 110, a2 shows a probable background graph of mm. 595-631 of the first movement. Here, too, this Ursatz shows neither a sixth ascent nor any kind of 6-line. Surely it would have been interesting to see what Schenker had in mind in including this example, but it appears that he either did not follow through with the example, or it is lost.



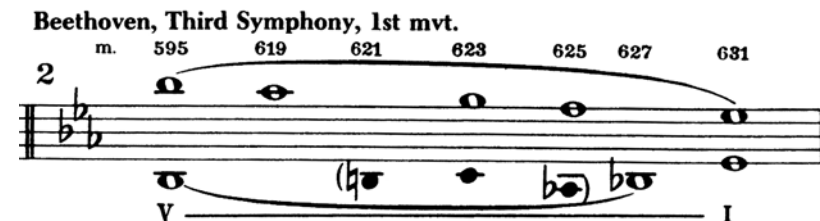
Example 97. Translation of Material Omitted from §70, Found on Leaves 158-159 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>Wir empfangen den ersten Einblick in einen Begriff, der bei der Komposition zur größten Bedeutung gelangt. Als solche Mittel der Aufhaltung werden wir z. B. den Anstieg zur <math>\hat{3}</math> oder <math>\hat{5}</math> (Sextanstieg in der Eroica), die Unterbrechung, Gliederung, die Nebennote, die Brechung zum Urlinie-Ton (Mondschein-Sonate, 1. S[atz] J. Brahms op. 76 A-dur, und op. 117<sup>III</sup>, Scherzo Desdur) zu erkennen haben.</p>	<p>We receive our first insight into a concept, which is most important in composition. As such a means for delay we will have recognized, for example the ascent to <math>\hat{3}</math> or <math>\hat{5}</math> (ascent of a sixth in the “Eroica”), the interruption, divider, the neighbor note, the arpeggiation to the Urlinie tone (“Moonlight” Sonata, Brahms’ op. 76 (A major - #6), and op. 117, no. 3, Scherzo in D<math>\flat</math> major).</p>

Example 98. Figure 109, 2c; Figures Volume of *Der freie Satz*



Example 99. Figure 110, a2; Figures Volume of *Der freie Satz*



The next few selections make up a block of text that is unaccounted for in the printed edition (see Examples 100-103). Leaf 168 contains an explanatory passage that seems to have been omitted from §75, whose topic is “The Structural Consequences in the Case of  $\hat{5}$ - $\hat{1}$ .” Leaves 169 and 170 contain the individual examples that make up Figure 16 from the examples volume of the printed edition (shown in Examples 100-101). The omitted text describes the examples in Figure 16 (N.B. that Schenker refers to it as Figure 7 in the



manuscript). Figure 16 shows possible uninterrupted 5-line Ursätze, but what is most interesting here is the comparison of the original version of some of the figures. In Figure 16, 1b, omitted notes from this example are shown comparing the original to the printed edition (see Example 105). The inner voices as well as their prolongational slurs were not included in the printed version. Schenker seems to devalue the prominence of the E in the upper voice by placing it in parentheses in the manuscript, a detail which was also omitted in the printed edition. It seems as though Schenker changed his mind about some of the details in Figure 16, and that he made changes to reflect these reconsiderations, which is why the examples are slightly different in the manuscript.

Example 100. Leaf 169, Vienna Manuscript

wie die nachstehenden Figuren seht:

Schubert 124

The manuscript shows three staves of music. The top staff is labeled '1/a)' and contains handwritten notes: '3/a)', '4. Symphon.', 'aber', 'für Paul', 'zu Kopf', 'muss', 'fortgesetzt', 'aufgehört', 'a I', and 'II'. The middle staff is labeled '2/a)' and contains notes: 'I (II) - VII', 'I - III', and 'IV'. The bottom staff is labeled '3/a)' and contains notes: 'I', 'II', and 'III'. The entire page is crossed out with a large 'X'.

Example 101. Leaf 170, Vienna Manuscript

The manuscript shows three staves of music. The top staff is labeled '3/a)' and contains notes: '3/8', 'c)', '125', and '(IV 5-8)'. The middle staff is labeled '4/a)' and contains notes: '2/a)', '3/a)', '4/a)', '5/a)', '6/a)', '7/a)', '8/a)', '9/a)', '10/a)', '11/a)', '12/a)', '13/a)', '14/a)', '15/a)', '16/a)', '17/a)', '18/a)', '19/a)', '20/a)', '21/a)', '22/a)', '23/a)', '24/a)', '25/a)', '26/a)', '27/a)', '28/a)', '29/a)', '30/a)', '31/a)', '32/a)', '33/a)', '34/a)', '35/a)', '36/a)', '37/a)', '38/a)', '39/a)', '40/a)', '41/a)', '42/a)', '43/a)', '44/a)', '45/a)', '46/a)', '47/a)', '48/a)', '49/a)', '50/a)', '51/a)', '52/a)', '53/a)', '54/a)', '55/a)', '56/a)', '57/a)', '58/a)', '59/a)', '60/a)', '61/a)', '62/a)', '63/a)', '64/a)', '65/a)', '66/a)', '67/a)', '68/a)', '69/a)', '70/a)', '71/a)', '72/a)', '73/a)', '74/a)', '75/a)', '76/a)', '77/a)', '78/a)', '79/a)', '80/a)', '81/a)', '82/a)', '83/a)', '84/a)', '85/a)', '86/a)', '87/a)', '88/a)', '89/a)', '90/a)', '91/a)', '92/a)', '93/a)', '94/a)', '95/a)', '96/a)', '97/a)', '98/a)', '99/a)', '100/a)'. The bottom staff is labeled '5/a)' and contains notes: 'I', 'II', and 'III'. The entire page is crossed out with a large 'X'.

Example 102. Figure 16; Figures Volume of *Der freie Satz*

16

1 a)  $\overset{\wedge}{5}$   $\overset{\wedge}{4}$   $\overset{\wedge}{3}$   $\overset{\wedge}{2}$   $\overset{\wedge}{1}$  b)

2 a) (I<sup>6</sup>) b) (III<sup>b2</sup>) c) d) etc.

I — IV<sup>7</sup> V I, I — II V, I II — V I  
 =IV<sup>(5)6</sup>

3 a) b) c) etc.

I — (p.t.)-IV<sup>7</sup> V I, I (p.t.) IV — V I, I — (p.t.)-II V I  
 =IV<sup>(5)6</sup>

4 a) b) See 1b, 2b, 3b.

5

I — IV<sup>7</sup> V I, =I IV — V I, I — II V I, I IV V<sup>6-5</sup> I  
 IV<sup>(5)6</sup> (II<sup>6</sup>)  $\overset{6}{4}$   $\overset{5}{3}$

6

I II V I I II V I

Example 103. Translation of Material Omitted from §75, Found on Leaves 168-169 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>§41 (Fig. 16, Bsp) Von den möglichen Formen eines rhythmischen Ausgleichs bei <math>\hat{5}</math>-<math>\hat{1}</math></p> <p>Die Fünftonreihe des Urlinie-Quintzuges und die kontrapunktischen Fassungen des Basses Fig. 7, 1-6, läßt verschiedene Formen des Ausgleichs zu wie die nachstehende Figur [later revised to plural: "nachstehenden Figuren"] zeigt:</p>	<p>§41 (Fig. 16, Example) The Possible Forms of a Rhythmic Compensation via <math>\hat{5}</math> to <math>\hat{1}</math></p> <p>The five-note scale of the Urlinie five-line and the contrapuntal versions of the bass Figure 7, 1-6, facilitates comparison of the various forms as the following figures show:</p>

Example 104. Leaf 168, Vienna Manuscript

§41 (Fig. 16, Bsp.) Von den möglichen Formen  
eines rhythmischen Ausgleichs bei  $\hat{5}$ - $\hat{1}$

Die Fünftonreihe des Urlinie-Quintzuges  
 u. die kontrapunktischen Fassungen des Basses Fig. 7,  
 1-6, läßt verschiedene Formen des Ausgleichs zu,

Example 105. Comparison of Figure 16, 1b – Manuscript to Printed Edition

The image shows two musical notations side-by-side. On the left is a handwritten manuscript snippet. It features a treble clef staff with several notes and a bass clef staff with notes. There are handwritten annotations: '2m-1b' above the treble staff and 'Schubert' written above the treble staff. A plus sign '+' is written below the bass staff. On the right is a printed edition of the same notation, labeled 'b)' above the treble staff. The printed edition shows a treble clef staff with notes and a bass clef staff with notes. Below the bass staff, there is a circled '(III#)'.

The text either stops abruptly or is continued on the verso side of the leaf in Schenker's own handwriting. This procedure of Schenker continuing the thought on the opposite side of the page is not uncommon in this manuscript. Since the methodology of this study specifically does not examine Schenker's later annotations and changes, the "verso" text will not be considered. The text that is unaccounted for resumes on leaf 171 (see Example 101) with the passage noted in Example 102. Since the passages in Example 102 are labeled §42 and §43 (following the last passage in Example 96, which is labeled §41, yet seemed to come from printed §75), we may deduce that these passages likely were to have originally been included in this section. In the first passage of Example 102, Schenker gives us more insight into the various kinds of five-line structures shown in Figure 16. The examples he seems to refer to (1b, 2b, 3c, 5a) appear not to exist. Schenker emphasizes the unity between the bass and the Urlinie, and explains that we will learn more about divided five-lines, like those in some of the examples shown in Figure 16 later. In the second passage Schenker alludes to the possibility of dissonant passing tones in the Urlinie. He had just talked about the Ursatz being governed by the laws of strict counterpoint, so this reference may have been taken out for the sake of being presented later with the possibility for more clarification. Still, it seems to be good foreshadowing for it to be here, especially if we do not to consider *Der freie Satz* an instructional manual, but rather a treatise on a methodology.

§ 42 (Begriff) Öster. Niedersachen einer  
Gliederung der Ulnie

28  
126

Obgleich der Ulnie-Quintenz' u. die Gafbrechung' ihre Einheiten auch im Verhältnis zueinander nahen, be-  
wirkt die kontrapunktische Fassung dennoch, daß sich  
der Ulnie-Quintenz' bei 1b 2b, 3c, 5a zu gliedern  
scheint. eine wirkliche Gliederung des Quintenziges  
werden wir erst später kennenlernen.

§ 43 (Zsp.) Im Zusammenhang des Quintenziges können  
einzelne Ulnie-Töne als dissonante Durch-  
gänge erscheinen A. 6. am 1111  
f. ob.

In mehreren in § 41 genannten musikalisch.  
formen, s. 1a, 1b 3b-c, 5a-c u. 6, merken  
wir, daß nicht alle Ulnie-Töne ursprünglich  
in ein konsonantes Verhältnis zu Singen sind, vgl.  
§ 27; setzt sich doch der kontrapunktische Gaf nicht

Example 107. Translation of Omitted Material from Printed Version's §75, Found on Leaf 171 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>§42 (Begriff) <u>Erster Widerschein einer Gliederung der Urlinie</u></p> <p>Obgleich der Urlinie-Quintzug u[nd] die Baßbrechung ihre Einheiten auch im Verhältnis zueinander wahren, bewirkt die kontrapunktische Fassung dennoch, daß sich der Urlinie-Quintzug bei 1b, 2b, 3c, 5a zu gliedern scheint; eine wirkliche Gliederung des Quintzuges werden wir erst später kennenlernen.</p>	<p>§42 (Concept) <u>First Appearance of a Division in the Urlinie</u></p> <p>Although the five-line Urlinie and the bass arpeggiation retain their unity also in relation to each other, the contrapuntal balance notwithstanding causes that the five-line Urlinie, is to be divided at 1b, 2b, 3c, 5a; we will learn later about a real subdivision of the “Quintzug”.</p>
<p>§43 (Bsp.) <u>In Zusammenhang des Quintzugs können einzelne Urlinie-Töne als dissonante Durchgänge erscheinen</u></p> <p>An mehreren in §41 gezeigten Ausgleichsformen, s. 1a, 1b, 3b-e, 5a-e u[nd] 6, merken wir, daß nicht alle Urlinie-Töne ursprünglich in ein konsonantes Verhältnis zu bringen sind, vgl. §27, setzt sich doch der kontrapunktische Baß nicht[...]</p>	<p>§43 (Examples) <u>In Conjunction with a Five-line, a Single Urlinie Tone Can Appear to be Dissonant Passing Tones</u></p> <p>In several of the forms shown in §41 (see 1a, 3b-e, 5a-e, and 6), we notice that not all the Urlinie tones originally appear as consonances (refer to §27) don't forget [?] the contrapuntal bass[...]</p>

Leaf 172 is missing and so the text stops here, and leaf 174 is also unfortunately missing. There is another block of text in the manuscript that cannot be accounted for, starting on leaf 175, and there is probably a continuation of these topics in and around printed version §75-76. The passage in question concerns Figure 18 (octave-lines), and the

section associated with this is §76 (“Structural Sequences in the Case of 8̂). The title of the manuscript heading is curious, though, since it does not seem to resemble the printed version – it is, “Possible Forms of Rhythmic Balances,” and contains a few sentences about rhythmic stasis. The printed version of this passage, however, contains more elaboration about the segments of an octave-line.

Example 108. Figure 18, *Der freie Satz*.

1 8̂ 7̂ 6̂ 5̂ 4̂ 3̂ 2̂ 1̂

18 (10) I (III<sup>#</sup>) V I etc.

2 III<sup>#</sup> etc.

3 etc.

4 etc.

5 etc.

6 etc.



Fig. 17 (Stas Jach - Largo)  $\frac{5}{4}$   $\frac{130}{}$   $\frac{32}{}$   
 Ad. Almande

§ 46 (Fig. 18, Op.) Ähnliche Formen

des rhythmischen Vergleichs

Las zusammenfassen von 8-7 mit der  
 Rhythmus  $\frac{5}{4}$   $\frac{130}{}$   $\frac{32}{}$   
 Kontrapunktischen Fassung Fig. 17 löst mehr Kap.  
 lichkeiten des rhythmischen Vergleichs in.  $\frac{32}{}$   
 Weist zum einen Verlauf vorzubringen, der  
 Ganz zwei Gesängen bringt beschränke ich mich  
 hier auf einige davon:

Fig. 18

2a

3a

3c

Example 110. Translation of Omitted Material from Leaf 175 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>§46 (Fig. 18 Bsp.) <u>Mögliche Formen des rhythmischen Ausgleichs</u></p> <p>Das Zusammenwirken von <math>\hat{8}</math>-<math>\hat{1}</math> mit der kontrapunktischen Fassung Fig. 1 läßt viele Möglichkeiten des rhythmischen Ausgleichs zu. Da meist, um einen Leerlauf vorzubringen, der Baß zwei Brechnungen bringt, beschränke ich mich hier auf einige davon:</p>	<p>§46 (Fig. 18 – examples) <u>Possible Forms of Rhythmic Compensation</u></p> <p>The combination of <math>\hat{8}</math>-<math>\hat{1}</math> with the contrapuntal version of Figure 1 allows for many possibilities for rhythmic compensations. Since, in most cases, in order to produce an unsupported stretch, the bass presents two arpeggiations; I will restrict myself here to some of them:</p>

On leaf 176 starts a section on the Brechung, “Von der ersten Brechung,” which continues through the middle of leaf 177. It was originally labeled §49, but it was crossed out and relabeled §77, which seems to fit with the topic of the printed §77, “Allgemeines von den beiden Brechnungen des Basses” (“The Combination of an Unprolonged Urlinie with Two Bass Arpeggiations”). The text from this section of the manuscript, which is not found elsewhere, is shown in Example 113. This is a critically important explanation of the Urlinie and its role with the arpeggiation. In this section, Schenker explains that the initial arpeggiation (I IV I) in support of a five-line in the form of: I IV I V I, is not a complete arpeggiation because it lacks its counterpart, the complete Urlinie-descent to  $\hat{1}$ . Neither the arpeggiation nor the Urlinie may stand on its own in defining the Ursatz. Referring to the need for tonal closure (descent to  $\hat{1}$  and the tonic harmony) Schenker concludes this section with a brilliant and biting aphorism, “Where there is no life, admittedly one finds no ending – just like many of the compositions we see.” This section may have been omitted for being too abstract or poetic, but in it Schenker does seem to express himself quite clearly regarding the connection of the Ursatz to life.

Example 111. Leaf 176, Vienna Manuscript

Die erste Rechnung gilt nur einem <sup>Abz</sup>  
 schritt der Volmie, 2. J. wenn bei  $\hat{5}-\hat{1}$  <sup>(54321)</sup>  
~~Rechnung in den <sup>ersten</sup> ~~ersten~~  $\hat{5}-\hat{3}$  <sup>gestellt</sup> wird.~~  
 Der ersten Rechnung des Jassas fehlt aber in  $\hat{5}$   
 manglung eines wirklichen Schlusses der Volmie  
 die Bedeutung einer vollendeten Rechnung: die  
 Einheit der Volmie ist <sup>an sich</sup> stärker als die erste Rech-  
 nung mit dem Niedersinken einer Gliederung,  
 die Volmie muß die  $\hat{1}$  erreichen, wenn der  
Schluss ~~wirklich~~ organisch sein soll. Bedeutet

Example 112. Leaf 177, Vienna Manuscript

$\hat{5}-\hat{1}$  einen Organismus als Einleitung, also organisch <sup>37</sup>  
 Leben, dann gilt auch davon was von allem Leben gilt:  
 es muß enden! <sup>1324</sup> Keim Leben ist dort freilich fin,  
 dort sich auch kein Ende, wie das an den neuesten  
 Kompositionen zu sehen ist. ~~...~~

Example 113. Translation of Omitted Material from §77, Found on Leaves 176-177.

Vienna Manuscript	English Translation of Manuscript
<p>Die erste Brechung gilt nur einem Abschnitt der Urlinie, z. B. wenn bei <math>\hat{5}-\hat{1}</math>:</p> <p>die erste Brechung in den Dienst von <math>\hat{5}-\hat{3}</math> gestellt wird. Der ersten Brechung</p> <p>des Basses fehlt aber in Ermanglung eines wirklichen Schlusses der Urlinie die Bedeutung einer vollendeten Brechung: die Einheit der Urlinie ist stärker als die erste Brechung mitsamt dem Widerschein [sic] einer Gliederung, <u>die Urlinie muß die <math>\hat{1}</math> erreichen</u>, wenn der Schluß wirklich <u>organisch</u> sein soll. Bedeutet <math>\hat{5}-\hat{1}</math> einen Organismus als Quintzug, also organisches Leben, dann gilt auch davon<sup>21</sup>, was von allem Leben gilt, es muß enden. Wo kein Leben ist, dort freilich findet sich auch kein Ende, wie das an den neuesten Kompositionen zu sehen ist.</p>	<p>The initial arpeggiation only applies to a section of the Urlinie, for instance if a an arpeggiation supporting (<math>\hat{5}-\hat{1}</math>) is utilized for <math>\hat{5}-\hat{3}</math>.</p> <p>The initial arpeggiation of the bass lacks, however, the true essence of the Urlinie since it has no ending. To the first arpeggiation of the bass is lacking a true conclusion of the Urlinie, however, the unity of the Urlinie is stronger than the first arpeggiation including the repetition of a division. <u>The Urlinie must arrive at <math>\hat{1}</math></u> if a true <u>organic</u> close is to be made. This means that <math>\hat{5}-\hat{1}</math> possesses an organic life, and therefore, like all living things must die! Where there is no life, admittedly one finds no ending – just like we see in the newest compositions.</p>

A large chunk of text was omitted from §78 (see Examples 114-119).<sup>22</sup> This material, which appears on leaves 177-179 of the Vienna manuscript seems somewhat related to the topic of this section, and the two editions are only very slightly related. This is a case where what Schenker had to say seems to have changed considerably from this manuscript to the printed edition. The overall topic of these sections (§77-§85) has to do with an unprolonged Urlinie and a bass line with two bass arpeggiations, as seen in its

<sup>21</sup> This word could be “daran.”

<sup>22</sup> It should be noted that the printed edition’s §79 appears in the manuscript later, after §86. The sections initially marked as §53 §54 §55 and §57 §58 §59 §60 are crossed out and in pencil written over the numbers are: §78 §80 §81 §82 §83 §84 §85.

most essential form in Figure 19a from the printed edition (shown in Example 114, in comparison with the manuscript version). This is not an interrupted Ursatz, but rather an Ursatz where the arpeggiation of the Klang happens twice in the structure. Within the omitted text Schenker says that this kind of dual-bass arpeggiated structure for three-line Urlinien (they are too short, Schenker explains). Although the passage cited in comparison with this omitted section (shown in Example 119) refers to Figure 20, rather than Figure 19, this is the section where the omitted material was to have been for the following reasons. The detailed explanations about the dual-bass arpeggiation structure in the text match in this section. Figure 20 contains more specific musical applications of the general structures set forth in Figure 10. The near congruence of musical examples cited in these passages also points to this being the relevant context. In both cases Schenker refers to the pieces illustrated in Figure 20: Bach's Passacaglia in C minor, Josef Strauß's Dorfschwalben #1, and Bach's Chromatic Fantasy and Fugue. Pieces that were omitted from the printed edition but discussed in the text include the Sarabande in E minor from Bach's English Suite, and a second movement of a Brandenburg Concerto (which Brandenburg Concerto is unknown). It seems difficult to draw a conclusion about whether Schenker omitted these examples for space or because he changed his mind about the analyses.

Example 114. Comparison of the Example on Leaf 178 with Figure 19a of Printed Edition of *Der freie Satz*



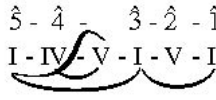
Example 115. Leaf 177, Vienna Manuscript

~~§ 50 Zwei <sup>zu bezeichnen</sup> Faltungen des Gasses, d. bei  $\hat{3}-\hat{1}$   
 bei  $\hat{3}-\hat{1}$  sind wegen des kurzen Ablaufs  
 der Melodie zwei Faltungen nicht ausführbar.  
 § 51 (Gsp) zwei Faltungen des Gasses, b. bei  $\hat{5}-\hat{1}$   
 vgl. § 41. <sup>sehen im dem Verlauf im Abschnitt</sup>~~

Example 116. Leaf 178, Vienna Manuscript

$\hat{5}-\hat{3}$  zu begegnen, namentlich im die  $\hat{4}$  <sup>38</sup> ~~133~~  
 trapezförmig durchzuarbeiten, wird unter Um-  
 ständen beim Gasse eine eigene Faltung ein-  
 gesetzt, <sup>z. B. ob. in § 49</sup> ~~für zusammen das Bild~~  $\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}$   
 ~~$\hat{1}-\hat{2}-\hat{3}-\hat{4}-\hat{5}$~~   
 Beide Faltungen des Gasses aber bewirken noch  
 keine Auflockerung der Melodie im Sinne einer  
 Unterbrechung, s. u.; sie bleibt noch immer in  
 unprolongiertem Zustand, vgl. § 49. Gsp.: Carl  
Passacaglia im. 1. Kap. 1. Larkende im aus der Engl.  
Suite, Brandenburgisches Konzert, 2. Satz,  
Jos. Haydn, 'Laufschwalben' N. 1  
 Ein ungewöhnliche Wort sehen wir  
 im Thema der trige der Chromatischen Fantasie;  
 der Gasp bringt zu  $\hat{5}-\hat{1}$  zwei Faltungen, doch  
 fehlt der ersten zu Beginn die Tonika. es ist als



<p>ausführbar.</p> <p>§51 (Bsp) <u>Zwei Brechungen des Basses, b:</u> bei <math>\hat{5}-\hat{1}</math></p> <p>Schon um den Leerlauf in Abschnitt <math>\hat{5}-\hat{3}</math> zu begegnen, namentlich um die <math>\hat{4}</math> kontrapunktisch durchzuarbeiten, wird unter Umständen beim Basse eine eigene Brechnung eingesetzt. Wir gewinnen das Bild:</p> <p>Beide Brechnungen des Basses aber bewirken noch keine Auflockerung der Urlinie im Sinne einer Unterbrechung, s. u., sie bleibt noch immer in unprolongirtem Zustand, vgl. §49 Bsp. S.: Bach <u>Passacaglio</u></p>	<p>§51 (example) <u>Two Bass Arpeggiations, b:</u> <math>\hat{5}-\hat{1}</math></p> <p>As we have already encountered the unsupported stretch in the <math>\hat{5}-\hat{3}</math> segment, namely to work out the <math>\hat{4}</math> contrapuntally, in certain circumstances the bass initiates its own arpeggiation. This sort of analysis emerges:</p> <p>Both bass arpeggiations, however, do not yet cause a weakening of the Urlinie in the sense of an interruption (see below), it would always remain in an unprolonged state (see §49, the example with S. Bach's <u>Passacaglia</u> in C minor, <u>Sarabande</u> in E minor from the English Suite, the <u>Brandenburg Concerto</u>,</p> 	<p>Die Darstellung der Beispiele in Fig. 20 ist ausschließlich darauf gerichtet, den Gang der Urlinie und die beiden Brechnungen des Basses im Sinne der Fig. 19 a und b herauszuarbeiten. Bei Urlinie und Baß dienen die Balken diesem besonderen Zweck:</p> <p>Fig. 20</p> <p>Dem Beispiel unter 1) liegt das unbegleitete Passacaglio-Thema zugrunde, der kontrapunktierende Baß ist von mir herausgeholt.</p> <p>Aehnlich liegt der Fall bei 2). Dem Fugenanfang geht eine Fantasie voraus, die als Ganzes die I. Stufe ausdrückt, so daß das Fugenthema</p>	<p>in</p> <p>Fig. 20</p> <p>Shows the fundamental line's progressions and the two bass arpeggiations in accordance with Fig. 19a and b. The beams serve this special purpose.</p> <p>Ex. 1: In the composition the bass is only implied, but I have indicated it here.</p> <p>Ex. 2: Here we have a case similar to Ex. 1. The beginning of the Fugue is preceded by a Fantasy, which in tot expresses the I, so that the fugue subject can enter on III in the middle of the first bass arpeggiation.</p>
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<p>Cm [,] <u>Sarabande</u> Em aus der Engl. Suite, <u>Brandenburgisches Konzert 2. Satz, Jos. Strauß „Dorfschwalben“ Nr. 1.</u></p> <p>Eine ungewöhnliche Abart sehen wir im Thema der Fuge der Chromatischen Fantasie: der Baß bringt zu <math>\hat{5}-\hat{1}</math> zwei Brechnungen, doch fehlt der ersten zu Beginn die Tonika; es ist als führte die der Fuge vorangehende Einleitung dem Hörer die Vorstellung der Tonika zu, so daß der Baß zu Beginn der Fuge schon mit der III. Stufe fortfahren kann.</p>	<p>Second movement, <u>Josef Strauß's</u> „<u>Dorfschwalben</u>“ #1).</p> <p>We encounter an anomaly in the theme of the fugue from the Chromatic Fantasy: the bass presents two arpeggiations against <math>\hat{5}-\hat{1}</math>, but the first one actually fails to begin in the tonic; it is as though the introduction preceding the fugue presents the tonic to the listener, so that the bass of the beginning of the fugue already starts on the III and can move forward that point.</p>	<p>schon in der Mitte der ersten Brechung in die III. Stufe treten kann.</p> <p>Das Beispiel aus Mozart unter 4) bezieht sich auf das 1. Beispiel in Fig. 19 b, vgl. Auch Seb. Bachs „Kleines Präludium“ Nr. 6, <i>D moll</i>, in Jahrb. I, 101 ff; zum 2. Beispiel Fig. 19 vgl. Seb. Bachs „Kleines Präludium“ Nr. 12, <i>A moll</i>, Jahrb. I, 117 ff.</p>	<p>Ex. 4: This example is related to Fig. 19b, first example. Compare this also with J.S. Bach's Little Prelude no. 6 in <i>D minor</i> (BWV 940) in <i>Jahrbuch I</i>, pp. 101 ff. The second example in Fig. 19b may be compared with the Little Prelude no. 12 in <i>A Minor</i> (BWV 942) in <i>Jahrbuch I</i>, pp. 117 ff.</p>
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In the printed edition's §83 there are a few phrases omitted from the manuscript, and which are found on leaf 185 (see Examples 120-121).<sup>24</sup> This section discusses the issue of fluency in music composition, comparing it to fluency of speech. In both versions, Schenker compares the preparation that goes into speaking to the planning that goes into creating a musical composition. The omitted passage is really an elaboration of the analogy that Schenker has already made. In the omitted passage he goes on to say that a

<sup>23</sup> Meaning “counterpointing  $\hat{3}-\hat{1}$ ”

<sup>24</sup> This sentence starts on leaf 184.

composer who is not “ready” to express himself creatively (by considering structural elements) focuses on the minutia like the upper voice and seems a slave to the barline. This passage may have been omitted since Schenker’s point is certainly made without the elaborative section, or perhaps because it becomes slightly inflammatory. It nonetheless would seem a valuable inclusion, for it shows how deeply Schenker believes that true musical genius requires forethought about the entire musical work before setting pen to paper.

Example 120. Leaves 184-185, Vienna Manuscript

In der Musik aber sind auch  
gottbegabte Menschen, Schaffende wie Bach u. 140  
schaffende, noch weit von einem ähnlichen Ge-  
richte entfernt. Ihr Musikgehirn hat einen  
late überhaupt noch nicht in, hält sich meist  
an die ~~Ordnung~~ <sup>(Zeit)</sup> und ~~an die~~ <sup>an die</sup> ~~Ordnung~~ <sup>Ordnung</sup> ~~des~~ <sup>des</sup> ~~ganzen~~ <sup>ganzen</sup> ~~Werkes~~ <sup>Werkes</sup>  
hält aber nach der ~~Ordnung~~ <sup>Ordnung</sup> entlang in Fakt,  
Striche wie Falcken sind ihnen wie blinde Litter  
Nicht einmal in der ~~Ordnung~~ <sup>Ordnung</sup> ~~geordnet~~ <sup>geordnet</sup> es ihnen,  
das ~~Geist~~ <sup>Geist</sup> eines ~~musikalischen~~ <sup>musikalischen</sup> ~~Flusses~~ <sup>Flusses</sup> ~~in~~ <sup>in</sup> ~~den~~ <sup>den</sup> ~~Werk~~ <sup>Werk</sup>  
wie in im Werk des Genies, ~~wie~~ <sup>wie</sup> ~~der~~ <sup>der</sup> ~~Fluss~~ <sup>Fluss</sup> ~~der~~ <sup>der</sup> ~~Sprache~~ <sup>Sprache</sup>  
eher läuft. ]

Example 121. Translation of Material Omitted from §83 of the Printed Edition, Found on Leaf 185 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Der Stimmführungszwang ist es, der in die Musik den gleichen Fluß hineinträgt, wie ihn die Sprache in der steten Gedanken- und Wortbereitschaft zeigt. In der Sprache rührt der Fluß daher, daß der Sprechende schon voraus weiß und formt, was er zu sagen hat, denn würde er erst während des Sprechens denken, käme nur ein Lallen zustande. In der Musik aber sind auch gutbegabte Menschen, schaffende wie nachschaffende, noch weit von einer ähnlichen Bereitschaft entfernt. Ihr Musikgehirn faßt einen Satz überhaupt noch nicht [:] er hält sich meist an die</p>	<p>The voice-leading constraint creates a certain “readiness” which imparts to music the same flow as language displays in its constant readiness for thought and word. In language, flow derives from the fact that the speaker knows in advance what he wants to say and therefore formulates it: if he were to delay thought until he spoke, only stammering would result. In music, however, there are even talented men, creators and interpreters, who are still far from a similar “tone-readiness.” Their musical mind still cannot grasp a structure – he clings to the upper voice and has no</p>	<p>Der Stimmführungszwang ist es, der in die Musik den gleichen Fluß hineinträgt, wie ihn die Sprache in der steten Gedanken- und Wortbereitschaft zeigt. In der Sprache rührt der Fluß daher, daß der Sprechende schon voraus weiß und formt, was er zu sagen hat, denn würde er erst während des Sprechens denken, käme nur ein Lallen zustande. In der Musik aber sind auch gutbegabte Menschen, schaffende wie nachschaffende, noch weit von einer ähnlichen Bereitschaft entfernt. Ein wirklich musikalischer Fluß ähnlich dem der Sprache findet sich nur im Werk</p>	<p>The voice-leading constraint creates a certain “readiness” which imparts to music the same flow as language displays in its constant readiness for thought and word. In language, flow derives from the fact that the speaker knows in advance what he wants to say and therefore formulates it: if he were to delay thought until he spoke, only stammering would result. In music, however, there are even talented men, creators and interpreters, who are still far from a similar “tone-readiness.” True musical fluency comparable to that in speech is to be found</p>

<p>Oberstimme u[nd] hat kein Organ für den Baß, lallt also noch die Oberstimme entlang u[nd] Taktstriche wie Balken sind ihnen wirkliche Gitter. Nicht einmal in der Vorstellung gelingt es ihnen, das Bild eines musikalischen Flusses zu erreichen, wie er im Werk der Genies, wie im Fluss der Sprache läuft.</p>	<p>ear for the bass. He babbles on about the upper voice and each measure as though the beams were really like fences. Not once in his imagination does he succeed in creating an image of musical fluency, which flows in the work of the geniuses similar to the fluency of speech.</p>	<p>der Genies.</p>	<p>only in works of genius. All such readiness springs only from the voice-leading of the fundamental structure and its subsequent prolongations.</p>
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The second paragraph of §89 is slightly different in the manuscript, as shown on leaf 191, and it also contains a reference to another example excluded from the printed version (see Examples 122-125). Here Schenker refers to how a dividing dominant in minor may change modality at a cadence. He explains that it is not a dividing dominant, but rather an interrupting dominant that transforms a minor dominant into a major dominant to smooth out the cadence and the return to the tonic, which is what Fig. 39 shows (see Example 124). The interrupting dominant is at a higher level than the dividing dominant. There may be confusion about the terminology because Schenker only comes to the concept of interruption in 1930 with the writing of *Das Meisterwerk in der Musik III*. Figure 39 shows that at the background level there is no interruption (it is a dividing dominant). At the middleground level, however the graph shows an interruption, which is confusing.

Originally, Schenker seemed to want to refer to Beethoven's op. 10, no. 3. Curiously there does not appear to be a movement marked "*Adagio*" in this piece. The sonata is in D major and the slow movement (*Largo e mesto*) is in D minor, but the third transformation in the dividing dominant does not seem to be an issue in this movement. It is

difficult to know where the breakdown of information is in this case. The three dots above the Roman numeral “3” as shown in Example 122 seem to suggest that it is indeed a “3,” but that does not make sense given the information about the piece. There are more questions than answers regarding this omitted passage.

Example 122. Leaf 191, Vienna Manuscript

The image shows a handwritten manuscript page with German text and musical notation. The text is written in cursive and includes phrases such as "Im Quinteiler in Aoll bringt einen Aoll", "Klang", "erst in der Folge wird die kleine Terz", "in eine große verwandelt", "die zur Kadenz ge", "eignet ist". There are several musical staves with notes and clefs, some of which are crossed out or have annotations. The text is somewhat obscured by the musical notation and some ink bleed-through from the reverse side of the page.

Example 123. Figure 21 a, *Der freie Satz*

The image shows a musical notation example labeled "a)". It features a treble clef staff with a series of notes. Above the staff, there are Roman numerals: 3, 2, 3, 2, 1. The notes are connected by lines, and there are double bar lines indicating a section break. The number "21" is written to the left of the staff.

Example 124. Figure 39, #2, *Der freie Satz*

Beethoven, Sonata op. 10 no. 3, 2nd mvt.

Example 125. Material Changed From §89, Found on Leaf 191 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
Mit dem für die erste $\hat{2}/V$ in Fig. 21 a allgemein gebrauchten Fachausdruck „Halbschluß“ wird mit auch der Begriff	The conventional technical term <i>semicadence</i> , used to describe the first $\hat{2}/V$ in Fig. 21a, too easily suggests the concept	Mit dem für die erste $\hat{2}/V$ in Fig. 21 a allgemein gebrauchten Fachausdruck „Halbschluß“ wird mit auch der Begriff	The conventional technical term <i>semicadence</i> , used to describe the first $\hat{2}/V$ in Fig. 21a, too easily suggests the concept

<p>„Schluß“ geweckt, der aber dem wahren Sinn einer Unterbrechung zuwiderläuft. Um dieser Gefahr auszuweichen, empfehle ich, die erste Dominante im Sinne der ersten Schicht als Prolongation besser mit dem Wort Teiler zu bezeichnen, der erinnert, daß der Baß gleich der Urlinie nur auf eine Brechung zielt, und zwar durch die Quintteilung Klanges.</p> <p>Der Quintteiler in Moll bringt einen Mollklang u[nd] erst in der Folge wird die kleine Terz zu eine große verwandelt, die zur Kadenz geeignet ist (Bd. I, S. ?) Bsp. Beethoven op. 10<sup>III</sup> Adagio.</p>	<p>of “cadence” in the sense of closure, which contradicts the true meaning of an interruption. In order to avoid this danger, and to indicate more clearly the prolongational significance of this dominant at the first level, I recommend the use of the term <i>dividing dominant</i>, or simply <i>divider</i>. This serves as a reminder that the bass, like the fundamental line, aims at only one arpeggiation, the quintal division of the triad.</p> <p>The dividing dominant in the minor mode creates a minor chord, and the initial minor third can, in the process, transform into a major third, which is more suited for the cadence. (Harm., Page ?) Example: Beethoven, op. 10, no. 3, Adagio.</p>	<p>„Schluß“ geweckt, der aber dem wahren Sinn einer Unterbrechung zuwiderläuft. Um dieser Gefahr auszuweichen, empfehle ich, die erste Dominante im Sinne der ersten Schicht als Prolongation besser mit dem Wort Teiler zu bezeichnen, der erinnert, daß der Baß gleich der Urlinie nur auf eine Brechung zielt, und zwar durch die Quintteilung Klanges.</p> <p>Der Quintteiler in Moll bringt gemäß der Diatonie einen Mollklang, dessen kleine Terz nur zur Kadenz in eine große verwandelt wird (Bd. I, § 29 ff. und § 45).</p>	<p>of “cadence” in the sense of closure, which contradicts the true meaning of an interruption. In order to avoid this danger, and to indicate more clearly the prolongational significance of this dominant at the first level, I recommend the use of the term <i>dividing dominant</i>, or simply <i>divider</i>. This serves as a reminder that the bass, like the fundamental line, aims at only one arpeggiation, the quintal division of the triad.</p> <p>Because of the diatonic system, the dividing dominant in the minor mode is a minor chord. Its minor third is changed to a major third only for cadential purposes (Harm. §§ 20 ff., 45).</p>
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There is a sentence omitted from the printed version in §91, which is found on leaf 193 of the Vienna Manuscript (see Examples 126–127). This is a brief section on the role of the initial  $\hat{2}$  in the Urlinie. Schenker maintains that it must not be considered a neighboring note because it must be a passing tone within the descending third. In this omitted passage Schenker goes on to clarify that when there is a return to  $\hat{3}$  over the V chord, that is acceptable since it does descend to  $\hat{1}$  after that. This is an important clarification since when the  $\hat{2}$  of an Urlinie goes back to  $\hat{3}$ , the  $\hat{2}$  could be construed as a neighbor note. Taking into consideration the information about the descent from this omission, this still does not constitute a neighbor motion. It would have been useful for this clarification to have remained.

Example 126. Leaf 193, Vienna Manuscript

*zur großen  
außerdem*

geht ihr, als der reinen Quint der V. Stufe, die  
~~stimmführungsgemäße Fortführung ab sich zur~~  
~~3 Zurückwenden zu müssen, da sie allenfalls~~  
~~auch zur 1. beschrifteten Kreuze.~~

*5*

*mit 1. Fortführung sind abwärts zu den 1. 2. 3. 4.*

*4*

*3*

*2*

*1*

*1*

*2*

*3*

*4*

*5*

*6*

*7*

*8*

*9*

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Example 127. Material Omitted From §91, Found on Leaf 193 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Indem die erste <math>\hat{2}</math> der Urlinie-Zug zu versuchen sich anschickt bleibt sie an dem Hintergrund gemessen dem Begriff eines Durchgangs [sic] im Terzraum treu und begibt sich dadurch des Charakters einer tieferen Nebennote von vornherein. Außerdem geht ihr als der reinen Quint der V. Stufe die stimmführungsgemäße Nötigung ab sich zur <math>\hat{3}</math> zurückwenden zu müssen, da sie allenfalls auch zur <math>\hat{1}</math> fortschreiten könnte.</p>	<p>Since it is associated with the fundamental structure, the first <math>\hat{2}</math> remains true to the principle of the passing tone within the space of a third; it never takes on the character of a lower neighboring note.</p> <p>Besides that, the pure fifth of V has no voice-leading tendency to return to <math>\hat{3}</math> since it also could basically advance to <math>\hat{1}</math>.</p>	<p>Indem die erste <math>\hat{2}</math> der Urlinie-Zug zu versuchen sich anschickt bleibt sie an dem Hintergrund gemessen dem Begriff eines Durchgangs [sic] im Terzraum treu und begibt sich dadurch des Charakters einer tieferen Nebennote von vornherein: Durchgang und Nebennote sind ganz verschiedene Begriffe.</p>	<p>Since it is associated with the fundamental structure, the first <math>\hat{2}</math> remains true to the principle of the passing tone within the space of a third; it never takes on the character of a lower neighboring note. “Passing note” and “neighboring note” are entirely different functions.</p>

There is a segment of text preceding the section that became §93; this sentence is found on leaf 197 (see Examples 128-129). This text, however, does not seem to be a part of §92, whose topic deals with register transfer of the seventh, nor does it seem to be a part of §93, whose topic is the Kopftön. The sections that come after this in the printed version, however, do deal with the Urlinie, interruption, and how all aspects of interruption work, so it seems to pertain more to those sections. The text, however, is still found nowhere in this region either. The omitted passage talks about when  $\hat{2}$ - $\hat{1}$  can be considered a progression or a line, as in part of the Urlinie. Schenker maintains, as he has in other



Example 129. Material Omitted from Before §93, Found on Leaf 197 of the Vienna Manuscript


Vienna Manuscript	English Translation of Manuscript
<p>§68 <u>Zur <math>\hat{1}</math> führt ein besonderer Zug</u></p> <p>Die <math>\hat{2}</math> zur <math>\hat{1}</math> im Sekundschrift folgen zu lassen ist unstatthaft, weil diese Folge keinen Zug bedeutet. Wenn auch die Folge <math>\hat{3} - \hat{2}</math> ebenfalls nur ein Sekundschrift ist, wird doch die <math>\hat{2}</math> wegen der Unterbrechung des Zuges als Durchgang empfunden: Eine solche Rechtfertigung fehlt aber der Folge <math>\hat{2}-\hat{1}</math>, deshalb wird in die <math>\hat{1}</math> durch einen besonderen Zug gegangen.</p>	<p>§68 <u>Going to <math>\hat{1}</math> Causes a Special Kind of Line</u></p> <p>It is not permitted for <math>\hat{2}</math> to go to <math>\hat{1}</math> as a progression by itself because this progression does not make a proper line. Even if the progression of a second <math>\hat{3} - \hat{2}</math> is only a second, the <math>\hat{2}</math> can still be perceived as a passing tone because of the interruption of the line: such justification is lacking for the <math>\hat{2}-\hat{1}</math> succession, but it is acceptable because it is a part of a special line that must eventually go to <math>\hat{1}</math> [from <math>\hat{3}</math> or <math>\hat{5}</math>]</p>


There is a sentence omitted from the first paragraph of §95, which is found on leaf 203 (see Examples 130-131). The topic of this section is “division by interruption in five-lines,” and Schenker spends the next several sections going through possible scenarios for five-lines as he did for three-lines in the previous section. This particular topic is the overview of interruption, delimiting the only possible situation as:  $\hat{5}-\hat{2} \parallel \hat{5}-\hat{1}$ . Just before the omitted text, Schenker explains that at the point of interruption must be the dividing dominant. In the omitted text, he clarifies the way to write the interruption and the fact that  $\hat{2}$  must be a part of the arrival on the dominant (the dividing dominant here). Without this detail the reader may be left to wonder why it is that  $\hat{2}$  has to be at the interruption or why a dividing dominant could not come with the arrival on  $\hat{4}$  or even  $\hat{3}$ . Scale-degree  $\hat{2}$  is necessarily bound to the dominant tension, which is clarified in the omitted passage. Schenker may have thought it was redundant and therefore omitted it, but its inclusion might have aided in clarifying this issue.

Example 130. Leaf 203, Vienna Manuscript

Wie bei  $\hat{3} - \hat{1}$  muß auch bei  $\hat{5} - \hat{1}$  die Unterbrechung bis zur  $\hat{2}/V$  vortreiben: da nur die  $\hat{2}$  zur Dominantwirkung gebracht werden kann. Das Zeichen der Unterbrechung ist somit wieder  $\hat{2}/V$ .

Example 131. Material Omitted from §95, Found on Leaf 203 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Wie bei <math>\hat{3} - \hat{1}</math> muß auch bei <math>\hat{5} - \hat{1}</math> die Unterbrechung bis zur <math>\hat{2}/V</math> vortreiben: da nur die <math>\hat{2}</math> zur Dominantwirkung gebracht werden kann. [D]as Zeichen der Unterbrechung ist somit wieder <math>\hat{2}/V</math>.</p> <p>Ueber den Unterschied dieser</p>	<p>As in the case of <math>\hat{3} - \hat{1}</math>, the interruption of <math>\hat{5} - \hat{1}</math> must push forward to <math>\hat{2}/V</math>: that is because only <math>\hat{2}</math> can be a part of the arrival on the dominant. Therefore we notate this to signify the interruption with: <math>\hat{2}/V</math>.</p> <p>For an explanation of the difference</p>	<p>Wie bei <math>\hat{3} - \hat{1}</math> muß auch bei <math>\hat{5} - \hat{1}</math> die Unterbrechung bis zur <math>\hat{2}/V</math> vortreiben:</p> <p style="text-align: center;"><b>Fig. 24</b></p>	<p>As in the case of <math>\hat{3} - \hat{1}</math>, the interruption of <math>\hat{5} - \hat{1}</math> must push forward to <math>\hat{2}/V</math>:</p> <p style="text-align: center;"><b>Fig. 24</b></p> 

<p>Unterbrechungsform gegenüber der scheinbaren Gliederung <math>\hat{5}-\hat{3}-\hat{1}</math>, s. § 36.</p>	<p>between this interruption form and the apparent division <math>\hat{5}-\hat{3}-\hat{1}</math> see § 36.</p>	 <p>Ueber den Unterschied dieser Unterbrechungsform gegenüber der scheinbaren Gliederung <math>\hat{5}-\hat{3}-\hat{1}</math>, s. § 36. Alle anderen Einteilungen gehören in spätere Schichten.</p>	<p>For an explanation of the difference between this interruption form and the seeming division <math>\hat{5}-\hat{3}-\hat{1}</math> see § 36. All other divisions belong to later levels.</p>
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There is a section of text found on leaf 204, which was omitted from §96, and which refers to figures 26a and b. §96 deals with the initial  $\hat{5}$  as Kopftön in a five-line; it essentially and briefly expresses that even in an interrupted line, the  $\hat{5}$  of a five-line Urlinie is the one and only Kopftön. The omitted text shown in Example 134 goes into greater detail about the relationship of the initial part of the divided structure and the last part. Essentially, the four-line that is created by virtue of  $\hat{5}$  going to  $\hat{2}$ , does not make up its own self-sufficient line, rather it is a part of the complete structure. Schenker also clarifies that the activity of reaching over may take place, but that does not change any aspect of the structure as a whole. These clarifications present a more-detailed understanding of what Schenker had in mind in defining the divided Urlinie of a five-line. They may have been omitted for containing too much detail, but they would have been valuable had they been left in.



Example 133. Figure 26 a and b, *Der freie Satz*

a) *in minor:*  
 I — III<sup>b5</sup> — V<sup>#3</sup> I V I  
 (= a<sub>1</sub> — b — a<sub>2</sub> — )  
 (= Exposition — Development — Recapitulation — )

b)  
 I — V<sup>#3</sup> — I  
 (= Exp. — Dev. — Recap. — )

Example 134. Material Omitted from §96, Found on Leaf 204 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>Außer auf <math>\hat{2}/V</math> stützt sich die Unterbrechung bei <math>\hat{5}-\hat{1}</math> auch auf die erste <math>\hat{5}</math> als Kopftön des Zuges <math>\hat{5}-\hat{2}</math>, an den dann die zweite <math>\hat{5}</math> anknüpft, als wäre der Quartzug nicht dazwischen.</p> <p>Das Festhalten an einem Kopftön erklärt sich als Gang der Oberstimme zur Mittelstimme [...] er macht hier einen</p>	<p>Besides resting on <math>\hat{2}/V</math>, the interruption of <math>\hat{5}-\hat{1}</math> rests also on the first <math>\hat{5}</math> as the primary tone of the linear progression <math>\hat{5}-\hat{2}</math>, to which the second <math>\hat{5}</math> is linked, just as though the line of a fourth were not present between these two points.</p> <p>The return to a Kopftön must be explained as the path of the upper voice to</p>	<p>Außer auf <math>\hat{2}/V</math> stützt sich die Unterbrechung bei <math>\hat{5}-\hat{1}</math> auch auf die erste <math>\hat{5}</math> als Kopftön des Zuges <math>\hat{5}-\hat{2}</math>, als wäre der Quartzug nicht dazwischen.</p>	<p>Besides resting on <math>\hat{2}/V</math>, the interruption of <math>\hat{5}-\hat{1}</math> rests also on the first <math>\hat{5}</math> as the primary tone of the linear progression <math>\hat{5}-\hat{2}</math>, just as though the line of a fourth were not present between these two points.</p>

<p>Quartzug. Auf die Beziehung von <math>\hat{5} - \hat{2}</math> I - V kommt es wesentlich an, erst das volle Ausschöpfen dieses Quartzuges macht seine Bedeutung für die Gliederung offenbar.</p> <p>Andererseits würde es genügen, zur <math>\hat{1}</math> auch nur durch einen Terzzug zu gehen, wie umgekehrt bei der <math>\hat{3}</math> eine Ueberhöhung zulässig war. In einem solchen Falle mag der Terz eine übergreifende 7 oder 8-7 vorangehen, es liefe doch nur auf einem Terzzug hinaus, so daß das Gesetz vom Kopftön überflüssig würde.</p>	<p>the middle voice – it consists of a fourth progression. Regarding the relationship of <math>\hat{5} - \hat{2}</math> I - V, essentially it is the fulfillment of this fourth progression that makes its meaning apparent for the formal division.</p> <p>On the other hand, it would also be sufficient to go to <math>\hat{1}</math> either through a third, or vice-versa, as though it were changing around at <math>\hat{3}</math>. In one such case the third may be preceded by a 7<sup>th</sup> reaching over or an 8-7 reaching over. It does seem to be a three-line since the rule about the Kopftön would be unnecessary.</p>		
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§97 continues the discussion about interruption and five-lines. A passage found on leaf 205 was omitted from this section (see Examples 135-137). The topic of §97 specifically deals with issues of cadence when considering the motion from  $\hat{2}$  back to  $\hat{5}$  after the interruption. This passage is unclear. Schenker is speaking very abstractly about interruptions, and he probably took it out on account of its lack of clarity. He seems to be describing a situation where a reaching-over is substituted with a linear progression.



Specifically, he cites the possibility that a reaching-over can originate on the last or second-to-last note of the first part of the divided Urlinie, and span the interruption at a middleground level.

Schenker explains in the printed version that there is no cadence in moving from  $\hat{2}$  to  $\hat{5}$  since that  $\hat{2}$  does not follow its pull and move down to the tonic. In the omitted text, Schenker draws more attention to the role of the Kopftou (transcending the return to  $\hat{5}$ ) to the lack of cadential effect in this situation. Furthermore, he shows that there may be an (upwards-moving) over-reaching effect from one of the last two notes of the four-line, which would not change the effect of the interruption or the placement of the cadential effect (at the descent to  $\hat{1}$ ).

Example 135. Leaf 205, Vienna Manuscript

*Handwritten text:*  
 $\hat{5} - \hat{2}$  die Wirkung des Kopftons jede Kadenzwirkung überwindet. Das alles gilt sogar in einem Falle wie im Beethoven Son. op. 69 u. d. § 63, v. 53  
~~Handwritten notes and diagrams are crossed out with a large 'X'.~~

Example 136. Leaf 206, Vienna Manuscript

*Handwritten text:*  
 Bei Unterbrechungen  $\hat{5} - \hat{2} | \hat{5} - \hat{1}$  wird nicht selten die Übergriffen eines Umsetzungs  $\hat{3}$  101 durch einen Aufwärtszug ersetzt, der entweder vom vorletzten oder letzten Ton des Umsetzungs ausgeht, unter dem Schutze der unersättlichen Einheit dieses Ton.  
 Als  $\hat{5} - \hat{2} = 3-8$   
 was der 1. Schicht gehört, wird der Aufwärtszug als Übergriffen verstanden.  
 758  
 43. 25

Example 137. Material Omitted from §97, Found on Leaf 205 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p>Die Rückwendung von der ersten <math>\hat{2}</math> zur <math>\hat{5}</math> ist keine Kadenz, ebensowenig wie bei <math>\hat{3}-\hat{2}-\hat{1}</math> die Rückwendung der ersten <math>\hat{2}</math> zur <math>\hat{3}</math>, hat doch die Rückwendung in beiden Fällen ihre psychologische Wurzel gerade darin, daß die <math>\hat{2}/V</math> von ihrem Leittonrecht keinen Gebrauch macht (vgl. § 88), wozu bei der Unterbrechung <math>\hat{5} - \hat{2}</math> die Wirkung des Kopftons jede Kadenzwirkung überwindet. Das alles gilt sogar in einen Falle wie in Beethoven, Son. op. 69, vgl §63. Bei Unterbrechungen <math>\hat{5}-\hat{2}  \hat{5}-\hat{1}</math> wird nicht selten das Uebergreifen eines Einzeltones, §101 durch einen Aufwärtzug ersetzt, der entweder vom vorletzten oder letzten Ton des Quartzuges ausgeht, unter den Schutze der unzerstörbaren Einheit dieses Zuges, der der 1. Schicht gehört, wird der Aufwärtzug als Uebergreifakt verstanden.</p>	<p>The return from <math>\hat{2}</math> to <math>\hat{5}</math> no more involves a cadence than did the return from <math>\hat{2}</math> to <math>\hat{3}</math> in the case of <math>\hat{3}-\hat{2}  \hat{3}-\hat{1}</math>. In both instances the return has its psychological root in the fact that at <math>\hat{2}/V</math> the descending leading tone does not follow its inherent tendency (§88). It is with regard to interruption <math>\hat{5} - \hat{2}</math> the effect of the Kopfton transcends each effect of the cadence. Actually, all of that holds true for a case such as in Beethoven's Sonata op. 69. See §63. In this interruption <math>\hat{5}-\hat{2}  \hat{5}-\hat{1}</math> it would not be uncommon for a single tone to reach over and be replaced by an upward linear progression (§101) that emanates either from the next to last or from the last tone of the four-line. This could happen under the aegis of the indestructible unity of this line [the Urlinie], which belongs to the first structural level, which will be understood as the upwards motion of an over-reaching act.</p>

A passage found in the manuscript at the end of §98 was omitted (see Examples 138-141). In the printed version of §98, examples are given to show how a structural  $\hat{2}$  in the obligatory register does not function as a neighbor note. The pieces Schenker refers to are by Scarlatti and Mozart, but in the manuscript (leaf 206) Schenker also references Beethoven's Sonata op. 69 (cello sonata), first movement, first fermata, as being an example of the non-neighbor-note octave transfer at a later level at a fermata. In the case of the cello sonata, the piano repeats its melody an octave higher just before the fermata. Then, after a brief cadenza in the piano part, the obligatory register resumes. There is an



Example 141. Material Omitted from §98, Found on Leaf 206 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>In späteren Schichten ist ein solches Uebergreifen sogar in einen Fermate-Figur möglich, z. B. Beethoven, Son. op. 69, 1. Satz, 1. Fermate.</p>	<p>In later levels such a case of reaching-over can actually be found in a fermata figure. For example, Beethoven's Sonata, op. 69, first movement, first fermata.</p>	<p>Fig. 25 zeigt die Höherlegung der Oktave bei <math>\hat{2}/V</math>, die Wirkung einer Nebennote kann sich dabei nicht einfinden:</p> <p style="text-align: center;"><b>Fig. 25</b></p> <p>Nicht selten wird die unmittelbare Höherlegung der Oktave, s. Fig. 25, durch einen Aufwärtzug ersetzt, der entweder vom vorletzten oder vom letzten Ton des Quartzuges ausgeht:</p> <p style="text-align: center;"><b>Fig. 26</b></p> <p>Bsp.: Scarlatti: Sonate Dmoll, Jhrb. I; Mozart: Sonate Amoll, Tw. 4.</p>	<p>The upward register transfer of the octave at <math>\hat{2}/V</math> is shown in:</p> <p style="text-align: center;"><b>Fig. 25</b></p> <p>There can be no neighboring-note effect here &lt;cf. Fig. 25&gt;. The direct transfer of the octave is often replaced by an ascending linear progression:</p> <p style="text-align: center;"><b>Fig. 26</b></p> <p>This linear progression can begin either with the next-to-last tone, as in a), or with the last tone, as in b), of the descending fourth.</p>

There is a section of text on leaf 210 that was omitted from the end of §100, as shown in Examples 142-144. In the sentence that precedes this material, Schenker explains that in an eight-line, it is not possible to have an interruption on  $\hat{2}$  because of the way the harmonies in the bass would end up getting divided. Instead, the only possible division would be at  $\hat{5}$ , being supported by a tonic chord. It seems like Schenker was trying to clarify this in the section that was omitted. In the omitted passage Schenker goes on to describe the difference between the division (that doesn't exist) and the real one (divided at  $\hat{5}$ ): the real division has two bass arpeggiations as described in the case of the interrupted five-line Urlinien dealt with in what is locally called §53 (but what eventually became §77 in the printed version).

Example 142. Figure 17, *Der freie Satz*

The image shows a musical staff with a treble clef and a key signature of one flat (B-flat). The staff contains three measures, each separated by a double bar line. Above the staff, three variations are labeled: a), b), and c). Each variation has Schenkerian annotations: a) has notes with stems and flags, with a '3' above the first note, a '2' above the second, and '(1)' above the third; b) has a '5' above the first note, a '2' above the second, and '(1)' above the third; c) has an '8' above the first note, a '2' above the second, and '(1)' above the third. Below the staff, Roman numerals 'I' and 'V' are placed under the first and second notes of each measure, respectively. The notes are connected by lines, and there are some additional markings like a dashed line in measure c).

Example 143. Leaf 210, Vienna Manuscript

~~Über den Unterschied  
dieser mittleren Gliederung gegenüber dem bloßen  
Kiederschen (Lhein?) einer Gliederung, die  
beim Fasse zwei mittlere Brechungen zeigt,  
hat §52 unterrichtet.~~  
*Di. Blending*

Example 144. Material Omitted from §100, Found on Leaf 210 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p><u>§100 Gliederung bei <math>\hat{8}</math></u></p> <p>Warum der Oktavzug <math>\hat{8}-\hat{1}</math> bei <math>\hat{2}/V</math> eine Unterbrechung unmöglich macht, wurde schon in §76 zu Fig. 17 gesagt.</p> <p>Als Ersatz für die bei <math>\hat{2}/V</math> fehlende Unterbrechung wird die Gliederung</p>	<p>§100 Linear division in the case of <math>\hat{8}</math></p> <p>The linear progression of an octave <math>\hat{8}-\hat{1}</math> makes an interruption at <math>\hat{2}/V</math> impossible. The reason for this has been given in §76 (Fig. 17). As a substitute for the interruption at <math>\hat{2}/V</math>, the division <math>\frac{\hat{8}-\hat{5}}{I-V} \frac{\hat{5}-\hat{1}}{I-V-I}</math>, in the form shown in the first example of Fig. 19b, is</p>

$\begin{array}{c} \hat{8}-\hat{5} \quad \hat{5}-\hat{1} \\ \text{I}-\text{V}-\text{I}-\text{V}-\text{I} \end{array}$ <p>in der Form wie in Fig. 19 b, erstes Beispiel, verwendet. Ueber den Unterschied dieser wirklichen Gliederung gegenüber dem blossen Widerschein (schein?) einer Gliederung, die beim Basse zwei wirkliche Brechungen zeigt, hat §52 unterrichtet.</p>	<p>used. §52 has already discussed the issues surrounding the difference between this real division as compared to the apparent return of a division that shows two real bass arpeggiations.</p>
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The third Kapitel (Abschnitt) on the topic of Mixture has different headings, and on a leaf containing sub-chapter headings, Schenker references sections that were possibly omitted (see Examples 145). The section originally set as §74 became §102, and the section originally set as §77 became §103. The sections entitled §75 and §76, however seem to have been cut altogether. These seem like very interesting subtopics within the topic of mixture, especially as it pertains to the Urlinie and the Ursatz. So, the sections on mixture that made it into the printed edition discuss mixture as it pertains to the Urlinie and form in general. The sections left out suggest that they would deal with differentiating mixture from other musical phenomenon such as the neighbor note and the chromaticism in general. When Schenker makes these differentiations the reader gains insight into the details of his theories, and it would have been nice to have had access to these passages.

Example 145. Omitted Sections – Headings from the Third Abschnitt

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
III. Abschnitt Mischung	Section 3: Mixture	3. Kapitel Mischung	Section 3: Mixture

§74 Mischung in der Terz $3^{h\flat}$ und $3^{b\sharp}$ als Mischung erster Ordnung	§74 Mixture of the third $3^{h\flat}$ and $3^{b\sharp}$ is mixture of the first order	§102 Mischung in der Terz der Urlinie als Mischung erster Ordnung (Fig. 28, 29, 30)	§102 Mixture at the third of the fundamental line is mixture of the first order (Fig. 28, 29, 30)
§75 Mischung in der Terz ist keine Nebennote	§75 Mixture of the third is not a neighbor note	§103 Beziehungen der Mischung erster Ordnung zur Form	§103 Relation of Mixture of the first order to form
§76 Mischung in der Terz unterscheidet sich vom Chromenwechsel	§76 Mixture of the third as differentiated from a chromatically altered tone		
§77 Beziehung der Mischung erster Ordnung zur Form	§77 The relationship of Mixture of the first order to form		

A passage found on leaves 212-213 (see Examples 146-148) was omitted from the end of the first paragraph of §102 of the published edition. This section deals with mixture at the third and contains references to two examples from the examples volume (Figures 28 and 29) showing Ursätze with mixed thirds (see Example 146).<sup>26</sup> In both versions Schenker explains that the Urlinie can contain a mixture of the major and minor third with an Urlinie from  $\hat{3}$ ,  $\hat{5}$ , or  $\hat{8}$ , and he denies the possibility of mixture of the sixth in an octave line because it creates an effective cadence (Phrygian cadence implied between  $b\hat{6}$  and  $\hat{5}$ ). The omitted passage explains that an examination of a three-line in this regard is most useful because it is present in all three types of Urlinien (five-lines, eight-lines, and three-lines) and that it can stand on its own in a harmonic progression. This passage does not really give any additional information, but rather it explains why the examples to follow may be three-line Urlinien and why that would be enough to exemplify the concept. Schenker may have omitted it because he thought it was redundant or unnecessary.

<sup>26</sup> Actually the third is chromatically altered and then returns to the original version of the third, as in Figure 28.



Example 146. Figures 28 and 29, *Der freie Satz*

The image displays musical notation for two figures, 28 and 29, from the piece 'Der freie Satz'. Figure 28 is divided into three parts: a), b), and c). Part a) shows a treble clef staff with a melodic line and a bass line. Above the staff are three chords labeled  $\overset{\wedge}{3}$ ,  $\overset{\wedge}{2}$ , and  $\overset{\wedge}{1}$ . Below the staff are the Roman numerals I, V, and I. Part b) shows a similar staff with a chord labeled  $\overset{\wedge}{5}$  above and I, V, I below. Part c) shows a staff with a chord labeled  $\overset{\wedge}{8}$  above and I, V, I below. Figure 29 is a single treble clef staff with a melodic line and a bass line. Above the staff are four chords labeled  $\overset{\wedge}{8}$ ,  $(b\overset{\wedge}{7})$ ,  $b\overset{\wedge}{6}$ , and  $\overset{\wedge}{5}$ . Below the staff are the Roman numerals (6) and 5.

Example 147. Leaf 212, Vienna Manuscript

Im Ursatz bleibt die Melodie streng diatonisch, dagegen <sup>Kamm</sup> ~~misst~~ <sup>die 1. 2. 3.</sup> ~~sich~~ <sup>ist</sup> in der ersten Schicht, auch schon die ~~Mischung~~ <sup>von</sup> gleichnamigen ~~Linien~~ <sup>Linien</sup>.

~~Nach~~ <sup>das</sup> ~~auf~~ <sup>bezieht</sup> ~~die~~ <sup>!</sup> ~~Mischung~~ <sup>!</sup> in der ~~1. u. 2. I.~~ <sup>1. u. 2. I.</sup> gleichwohl ob 3, 5 oder 8, den ~~Melodie~~ <sup>den</sup> ~~Zug~~ <sup>Zug</sup> führt:

Als Beispiel für die Figur sei aus Beethovens VII. das Allegretto angeführt. <sup>3/4</sup> ~~Die~~ <sup>3/4</sup> ~~Figur~~ <sup>Figur</sup> ist nicht allein des ~~3 2 1~~ <sup>3 2 1</sup> ~~ist~~ <sup>ist</sup> nicht allein des

Example 148. Leaf 213, Vienna Manuscript

habe für die Mischung so entscheidend, weil <sup>165</sup> ~~er~~ <sup>er</sup> ein ~~Melodie~~ <sup>Melodie</sup> - Zug ist, sondern weil er auch bei 5 in 8 das endlich zum 1 führende letzte Stück des ~~Melodie~~ <sup>Melodie</sup> - Zuges darstellt, das sogar eine eigene Kadenz auf I-T-I erhalten kann. Bei ~~Mischung~~ <sup>Mischung</sup> in der ~~1. u. 2. I.~~ <sup>1. u. 2. I.</sup> (auf ~~3+4~~ <sup>3+4</sup> in 5+7) ~~ist~~ <sup>ist</sup> (selbst bei 8-1 ~~ist~~ <sup>ist</sup> ~~die~~ <sup>die</sup> ~~Mischung~~ <sup>Mischung</sup>) nicht vermutbar, denn nicht nur ist das Quartstück 8-5 ~~hinreichend~~ <sup>hinreichend</sup> ~~klar~~ <sup>klar</sup> ~~als~~ <sup>als</sup> ~~letztes~~ <sup>letztes</sup> ~~Stück~~ <sup>Stück</sup> ~~des~~ <sup>des</sup> ~~Satzes~~ <sup>Satzes</sup> ~~zu~~ <sup>zu</sup> ~~erkennen~~ <sup>erkennen</sup> ~~aus~~ <sup>aus</sup> ~~der~~ <sup>der</sup> ~~Figur~~ <sup>Figur</sup> ~~zu~~ <sup>zu</sup> ~~sehen~~ <sup>sehen</sup> ~~und~~ <sup>und</sup>:

Die ~~Figur~~ <sup>Figur</sup> ~~ist~~ <sup>ist</sup> ~~in~~ <sup>in</sup> ~~der~~ <sup>der</sup> ~~Figur~~ <sup>Figur</sup> ~~zu~~ <sup>zu</sup> ~~sehen~~ <sup>sehen</sup> ~~und~~ <sup>und</sup>:

die aber die Kadenzform I-T-I nicht ~~lassen~~ <sup>lassen</sup> ~~zu~~ <sup>zu</sup> ~~sehen~~ <sup>sehen</sup> ~~ist~~ <sup>ist</sup>

Example 149. Translation of Omitted Material from §102, Found on Leaves 212-213

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p><u>§74 Mischung in der Terz als Mischung erster Ordnung</u></p> <p>Im Ursatz bleibt die Urlinie streng diatonisch, dagegen nimmt sie in der ersten Schicht auch schon die Mischung von gleichmässigen Dur- und Mollterz auf [und] zwar die Mischung in der [Terz], s. I gleichviel ob bei <math>\hat{3}</math>, <math>\hat{5}</math> oder <math>\hat{8}</math>, den Urlinie Zug führt:</p> <p style="text-align: center;"><b>Fig. 28</b></p> <p>Als Beispiel für b) der Figur sei aus Beethovens VII. das Allegretto angeführt.</p>	<p><u>§74 Mixture at the third is mixture of the first order</u></p> <p>In the Ursatz the Urlinie remains strictly diatonic. At the first level, however, it can contain a mixture of the major and minor third (see I). In this regard, it makes no difference whether the Urlinie begins with <math>\hat{3}</math>, <math>\hat{5}</math> or <math>\hat{8}</math>:</p> <p style="text-align: center;"><b>Fig. 28</b></p> <p>I would cite the figure from Beethoven's Seventh Symphony, the Allegretto as an</p>	<p><u>§§74 Mischung in der Terz der Urlinie als Mischung erster Ordnung</u></p> <p>Im Ursatz, Fig. 9-11, bleibt die Urlinie streng diatonisch, dagegen kann sie in der ersten Schicht, gleichviel ob bei <math>\hat{3}</math>, <math>\hat{5}</math> oder <math>\hat{8}</math>, auch schon die Mischung der Dur- und Mollterz aufnehmen:</p> <p style="text-align: center;"><b>Fig. 28</b></p>	<p><u>§102 Mixture at the third of the fundamental line is mixture of the first order</u></p> <p>In the fundamental structure (Figs. 9-11), the fundamental line remains strictly diatonic. At the first level, however, it can contain a mixture of the major and minor third. In this regard, it makes no difference whether the fundamental line begins with <math>\hat{3}</math>, <math>\hat{5}</math> or <math>\hat{8}</math>:</p> <p style="text-align: center;"><b>Fig. 28</b></p>

<sup>27</sup> Uncertain transcription – hard to tell if this word (“ja”) was written by Frau Schenker or by Schenker himself.

<p>Der Terzzug <math>\hat{3}-\hat{2}-\hat{1}</math> ist nicht allein deshalb für die Mischung so entscheidend [,] weil er ein Urlinie-Zug ist, sondern weil er auch bei <math>\hat{5}</math> u[nd] <math>\hat{8}</math> das endlich zur <math>\hat{1}</math> führende letzte Stück des Urlinie-Zuges vorstellt, das sogar eine eigene Kadenz auf I-V-I erhalten kann.</p> <p>Die Mischung in der Sext entfällt [ja]<sup>27</sup>, bei <math>\hat{3}-\hat{1}</math> u[nd] <math>\hat{5}-\hat{1}</math>, selbst bei <math>\hat{8} - \hat{1}</math> ist diese Mischung nicht verwertbar, denn nicht nur ist das Quartstück <math>\hat{8} - \hat{5}</math> künstlich, s. §7, sondern der Satz der <math>\hat{6}</math> weist nur auf die Grundtöne wie sie in b) der nachstehenden Fig. zu sehen sind:</p> <p style="text-align: center;"><b>Fig. 29</b></p>	<p>example for b).</p> <p>The three-line <math>\hat{3}-\hat{2}-\hat{1}</math> is not only helpful for examining the issue of mixture because it is an Urlinie progression, but also because it also represents with <math>\hat{5}</math> and <math>\hat{8}</math> the last part of the Urlinie, which, in the end, leads to <math>\hat{1}</math>, and it can actually even justify its own cadence above I-V-I.</p> <p>The mixture of the sixth however cannot occur in the case of <math>\hat{3}</math> and <math>\hat{5}</math>. It is not feasible even in the case of <math>\hat{8}-\hat{1}</math>: because not only is the fourth <math>\hat{8}-\hat{5}</math> artificial (§7), but also the phrase built on <math>\hat{6}</math> leads to the root pitches, as we see in b) the next figure.</p> <p style="text-align: center;"><b>Fig. 29</b></p>	<p>Die Mischung in der Sext aber, die bei <math>\hat{3}</math> und <math>\hat{5}</math> noch nicht vorkommt, ist selbst bei <math>\hat{8} - \hat{1}</math> nicht verwertbar, denn nicht nur ist das Quartstück <math>\hat{8} - \hat{5}</math> künstlich, s. §7, es läßt auch wegen der Intervallfolge <math>\overset{\hat{6}-\hat{5}}</math> 6-5:</p> <p style="text-align: center;"><b>Fig. 29</b></p>	<p>Mixture at the sixth of course cannot occur in the case of <math>\hat{3}</math> and <math>\hat{5}</math>. It is not feasible even in the case of <math>\hat{8}-\hat{1}</math>: the fourth <math>\hat{8}-\hat{5}</math> is artificial (§7), and, specifically, the interval succession 6-5 makes the decisive cadential figure</p> <p style="text-align: center;"><b>Fig. 29</b></p>
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Leaves 214-215 (see Examples 150–154) involve a section of text omitted from somewhere in the early part of the third chapter (near §102).. Continuing on the topic of mixture, §102 deals with mixture at the third and its place in the structural “first rank.” This section defines how mixture may occur, and describes its effect on the Urlinie. Mixture of the third is allowed and is common, while mixture of the sixth is not possible, for the reasons described above. The omitted text from this section gives a caveat that is lacking in the printed version. Schenker explains that besides being supported by tonic harmony, the mixed third may be supported by a neighboring harmony (he cites the VI chord in Chopin’s Mazurka op. 17, no. 3). Under those circumstances this would have to allow the mixed  $\hat{6}$  as well, though Schenker’s point stands, that the  $\flat\hat{6}$  does not effect the first-level structure.

Following that portion of text is a passage that was cut altogether, as cited above as heading §76 in Example 145. The omitted §76 is entitled “Mixture at the third as differentiated from a chromatically altered tone.” Schenker continues to emphasize the symbiotic relationship of the bass and the Urlinie, explaining that though a bass arpeggiation may appear with a chromatically altered tone, it is not necessarily mixture because it is not a part of the Ursatz or the Urlinie (see Figure 30 in Example 154). To demonstrate this principle he mentions several examples not referenced elsewhere in this section: Brahms’s op. 76, no. 6; and Beethoven’s op. 24, the Scherzo section. After this Schenker makes perhaps his most significant point of this passage by emphasizing that the process of deciding whether something falls into the category of mixture or chromaticism aids in the decisions analysts make regarding the Urlinie and even the tonal structure of a piece. This passage clarifies aspects of Schenker’s theory; it is not evident why it was removed.

Example 150. Figure 30, *Der freie Satz*

Chopin, Mazurka op. 17 no. 3  
 a)

Mgd. I -  
 m. 16, 17- (n.n.) 24, 25- 40, 41- 56, 57- (n.n.) 64, 65- 80

Fgd. I -  $\flat 7$  (n.n.hrm.) I , I -  $\sharp IV-V-I$  -  $\flat VI^{\flat 5}$  (=E major: I- (V I) -  $\Pi^{\sharp 3}$  - V- I ) - I  
 {  $A_1-$  - B -  $a_2$  }  
 {  $a_1-$  -  $b-$  -  $a_2$  }

Example 151. Leaf 214, Vienna Manuscript

~~man schon deshalb nicht, weil man § nicht~~  
~~abschließen kann. Fühl aber kann in den späte~~  
~~ren Schichten, namentlich in der Tota die~~  
~~Mischung auch eine C ergrufen. 1. 5 J. RK~~

~~Die Mischungstere ist keine Nebennote~~  
~~Die Mischungstere ist keine Neben-~~  
~~note deshalb tritt sie den Satz I oder II in,~~  
~~aber bei einer Nebennote macht in Frage Punkt. Van.~~  
~~Op.: Brahms 3<sup>te</sup> Auf dem Kirchhof. Chopin Ma.~~  
~~änirka Am. Prelude Lead. Falcen Lism. 4# 4~~

~~§ 75~~  
~~Die Mischungstere auch auf einer Nebenharmonie ste~~  
~~hen z. B. der II. Stufe. Op. Chopin Mazurka~~  
~~op. 17<sup>te</sup>.~~

~~§ 76~~  
~~Die Mischungstere unterscheidet sich vom Chromawechsel~~  
~~Die Mischung ist kein Chromawechsel,~~

Example 152. Leaf 215, Vienna Manuscript

~~aber mag die chromatische Bewegung des Passes irgend einen~~  
~~Chromawechsel mit sich bringen, es gehört doch~~  
~~nicht unter den Begriff Mischung: 167~~

~~Op. 76 II~~  
~~Op. 24, Scherzo~~  
~~Op. 76 II~~  
~~Op. 24, Scherzo~~  
~~Op. 76 II~~  
~~Op. 24, Scherzo~~

~~Op.: Brahms op. 76 II. Beethoven op 24, Scherzo~~  
~~Volini-Heft? Bechnitt 3 oder 5~~

~~Die Unterscheiden von Mischung u. Chroma in dem~~  
~~selben Augenblicke. Die Hilfe oft in der Unterscheid-~~  
~~ung über zusammen u. Volini- Fig. führt z. B.~~  
~~die Chromawechsel in Intervallen wie in Fig.~~  
~~a), b) u. c) zu sehen ist, dann ist kein Zweifel, dass~~

Example 153. Leaf 216, Vienna Manuscript



Example 154. Material Omitted from §103, Found on Leaves 214-215 of the Vienna Manuscript

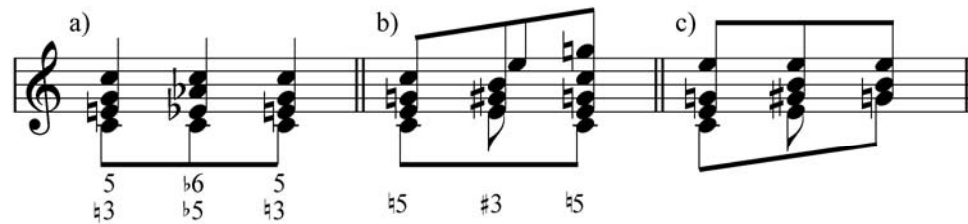
Vienna Manuscript	English Translation of Manuscript
<p><u>§75 Die Mischungsterz ist keine Nebennote</u></p> <p>Die Mischungsterz ist keine Nebennote deshalb läuft sie den Satz I <sup>4#3</sup> oder I <sup>b43</sup> zu der bei einer Nebennote nicht im Frage kommt. Bsp. Brahms, „Auf dem Kirchof,“ Chopin Mazurka Am. Prelude Desd. Walzer Cism.</p> <p>Doch kann unter Umständen die Mischungsterz auch auf einer Nebenharmonie stehen, z. B. der VI. Stufe. Bsp. Chopin’s Mazurka op. 17 <sup>III</sup></p>	<p><u>§75 Mixture of the third is not a neighboring tone</u></p> <p>Mixture of the third is not a neighboring tone. Therefore it never enters the structure as a neighbor note in the primary level.</p> <p>Of course under certain circumstances the mixed third can also support a neighboring harmony, for example by a VI chord – see Chopin’s Mazurka op. 17, no. 3.</p>
<p><u>§76 Die Mischungsterz unterscheidet sich vom Chromawechsel</u></p> <p>Die Mischung ist kein Chromawechsel, also mag z. B. eine Brechung des Basses irgend</p>	<p><u>§76 Mixture of the Third as Differentiated from a Chromatically Altered Tone</u></p> <p>Mixture is not a chromatic alteration. For example, any bass arpeggiation that brings a chromatic alteration with it, does not belong to the concept of mixture:</p>



einen Chromawechsel mit sich bringen, er gehört doch nicht unter den Begriff

Mischung:

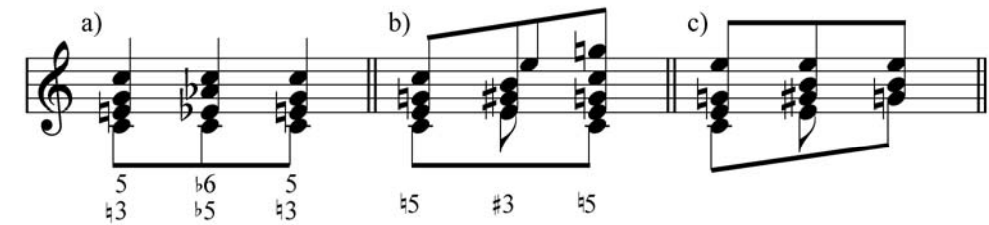
Figure 30



Bsp.: Brahms op. 76<sup>VI</sup> Beethoven op. 24, Scherzo Abschnitt  $\hat{3}$  oder  $\hat{5}$ .

Das Unterscheiden von Mischung u[nd] Chroma in dem hier ausgesprochenen Sinne hilft oft zur Entscheidung über Tonraum u[nd] Urlinie Zug. Führt z. B. der Chromawechsel zu Intervallen wie in Fig. a), b) u[nd] c) zu sehen ist, dann ist kein Zweifel, daß bei a) nicht die Terz, bei b) nicht die Quint den Urlinie-Zug eröffnen kann.

Figure 30



Example: Brahms's op. 76, no. 6; Beethoven's op. 24, Scherzo section ( $\hat{3}$  or  $\hat{5}$ )

Differentiating between mixture and chromaticism in this sense often helps us decide about its tonal space and about the Urlinie itself. For example, the chromatically altered tone leads to intervals like those seen in Fig. [ \_\_\_ ] a), b), and c). There is no doubt that in a) the third cannot establish the Urlinie and in b) the fifth cannot establish the Urlinie.

There is a section of text omitted from the end of §103 of the printed version, which is found on leaf 216 (see Examples 155-156). The topic of this section is how mixture effects form. In the published version, Schenker explains that a mixed third has less effect on structure in relation to form than interruption. In the omitted passage, however,



Example 156. Material Omitted from §103, Found on Leaves 216 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p><u>§77 Brechung der Mischung erster Ordnung zur Form</u></p> <p>Die Mischungsterz stellt keinen Zug, keine Nebennote vor, sie gibt zu einer Kadenz überhaupt keine Veranlassung ein Organisches geht durch sie nicht hindurch. Die Form kann sich der Mischung nur so bemächtigen, daß sie die Teile gegeneinander absetzt: mehr äußerlich, mehr aus Verlegenheit, als aus innerer Verbundenheit. An den oben [an]geführten Beispielen sehen wir deutlich, wie eine Unterbrechung vorangeht, formweisend, formbildend. Davon abgesehen kann durch eine Mischung sowohl eine zwei- wie eine dreiteilige Form erzielt werden, s.</p>	<p><u>§77 Relation of mixture of the first order to form</u></p> <p>The mixed third does not represent a linear progression or a neighboring note. It provides no occasion for a cadence, but can only give form the opportunity to set off two or three sections against one another: more outwardly, more to delay from internal connection. In the aforementioned examples we can clearly see how an interruption progresses, and thus leads to and creates the form itself. Besides that one can create a two- and three-part form via mixture.</p> <p>March 19, 1932</p>	<p><u>§ 103 Beziehung der Mischung erster Ordnung zur Form</u></p> <p>Die Mischungsterz stellt keinen Zug, keine Nebennote vor, sie gibt zu einer Kadenz überhaupt keine Veranlassung. Die Form kann sich deshalb der Mischung nur so bemächtigen, daß sie zwei oder drei Teile gegeneinander absetzt. Auch das bedeutet zwar eine Aufhaltung und Spannung, aber im streng organischen Sinne ist sie weniger formweisend, formbildend als die Gliederung, Unterbrechung.</p>	<p><u>§ 103 Relation of mixture of the first order to form</u></p> <p>The mixed third does not represent a linear progression or a neighboring note. It provides no occasion for a cadence, but can only give form the opportunity to set off two or three sections against one another. Certainly, this also means a delay, a tension, but, in a strict organic sense, mixture is less form-indicating, less form-generating than division or interruption.</p>

There is a portion of text omitted from the beginning of §105, which deals with treatment of the  $b\hat{2}$  (see Examples 157-159). The omitted passage starts this section and clarifies that  $b\hat{2}$  is not a substitution for  $\hat{2}$ , neither melodically nor harmonically. In the printed version, however, Schenker does explain that since a structural II is to progress to V, the resulting  $b\hat{2}$  in a  $b$ II chord would cause the interval of a tritone in the bass progression. The printed version contains an explanation that is clearer and more fleshed out than the original, and that is probably why it was changed.

Example 157. Leaf 218, Vienna Manuscript

*Handwritten notes:*  
Hier die diatonische  $\hat{2}$  gemäß Fig. a) dem  $b\hat{2}$   
per se auf  
auf der Seite nicht anders dürfte der Satz der  $b\hat{2}$   
hätten, s. Fig. a):

31

IV. 02

Handwritten musical notation on two staves. The top staff is a treble clef with notes and accidentals, and the bottom staff is a bass clef with notes and accidentals. The notation is handwritten and includes various symbols like 'a)', 'b)', and '32(32)'. There are also some numbers like '31' and 'IV. 02' written in the margins.

Example 158. Figure 31 from Printed Edition

Example 159. Material Omitted from §105, Found on Leaf 218 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§80 Vom Satz der <math>\flat\hat{2}</math> u[nd] der neapolitanischen Sext</p> <p>Wie die diatonische <math>\hat{2}</math> gemäß Fig. 15 a) den Satz <math>\hat{2}/II-V</math> aufweist, nicht anders dürfte der Satz der <math>\flat\hat{2}</math> lauten, s. Fig. ____ a):</p> <p style="text-align: center;"><b>Fig. 31</b></p>	<p>§ 80 The setting of the <math>\flat\hat{2}</math> and the so-called Neapolitan sixth</p> <p>As the diatonic <math>\hat{2}</math> shows, according to Figure 15 a) the structural <math>\hat{2}/II-V</math>, nothing else may stand for the <math>\flat\hat{2}</math>. See Figure ____ a):</p> <p style="text-align: center;"><b>Fig. 31</b></p>	<p>§105 Vom Satz der <math>\flat 2</math> und der sogenannten neapolitanischen Sext</p> <p>Gemäß Fig. 9 müßte auch der Satz der <math>\flat 2</math> wie in Fig. 31 a) lauten:</p> <p style="text-align: center;"><b>Fig. 31</b></p> <p>Dadurch ergäbe sic ihm Baßgang eine übermäßige Quart oder eine verminderte</p>	<p>§ 105 The setting of the <math>\flat\hat{2}</math> and the so-called Neapolitan sixth</p> <p>In accord with Fig. 9, the harmonic-contrapuntal setting of the <math>\flat\hat{2}</math> would read as in the a) of:</p> <p style="text-align: center;"><b>Fig. 31</b></p> <p>In this way, either an augmented fourth or a diminished fifth would result in the</p>

<p>Muß aber der Erniedrigung der <math>\hat{2}</math> auch eine Erniedrigung der II. Stufe entsprechen, so ergibt sich eine Schwierigkeit im „Bassgang der von der II. zu V. Stufe eine übermäßige Quart oder unter Umständen eine verminderte Quint abwärts fordert. Zudem erschwert <math>\flat</math>II die Richtigstellung durch die diatonische <math>\hat{2}</math> s. §?.</p>	<p>Insofar as the lowering of <math>\hat{2}</math> necessitates a lower of the II, a difficulty may arise in the bass in the motion from II to V since either an augmented fourth or, under certain circumstances, a diminished fifth may result. In these cases, the <math>\flat</math>II complicates the correction [of <math>\flat\hat{2}</math>] by the diatonic <math>\hat{2}</math>, see §?</p>	<p>Quint. Zudem würde der Grundton <math>\flat</math>II durch Querstand die Richtigstellung der <math>\flat\hat{2}</math> durch die diatonisch <math>\hat{2}</math> erschweren, s. § 194. Um alle diese Unbequemlichkeiten zu bannen, wird zur <math>\flat\hat{2}</math>, wie bei Fig. 31 b), eine Untersext gesetzt, also der Ton, der sonst Grundton der IV. Stufe ist. Diese Sext wurde mißverstanden und in der Theorie als „neapolitanische Sext“ geführt; sie ist aber eine Erscheinung, die nur mit der Stimmführung, nichts mit einer neapolitanischen Schule zu tun hat, vgl. I, 143 ff.</p>	<p>bass line. Also, because of the cross-relation, the root of the <math>\flat</math>II would make it difficult to adjust the <math>\flat\hat{2}</math> by restoring diatonic <math>\hat{2}</math>. In order to avoid all these difficulties, a sixth (the bass tone which is also the root of IV) is placed below the <math>\hat{2}</math> – as in Fig. 31b). This sixth has been misunderstood and introduced into theory as the “Neapolitan sixth.” It is, however, an event that originates in voice-leading and has nothing to do with a Neapolitan school (Harmony §50).</p>
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There is a short paragraph omitted from between the third and fourth paragraphs of §110, which is found on leaf 225 (see Examples 160-163). In this section of the chapter Schenker distinguishes interruption from various other musical devices. §110 deals specifically with differentiating between a neighbor-note formation and interruption. The main issue is that the  $\hat{2}$  must be able to be supported by the V chord in order for it not to be merely a member of a neighbor-note figure. In the omitted text Schenker adds a clarifying passage where he explains that what may appear to be a neighbor-note motive in the form of the octave transfer of an 8-7 figure is actually part of an interruption. This omitted passage may have been omitted because he thought it was redundant, but it does help to clarify Schenker's point, so it is a shame that it was omitted.

Example 160. Leaf 225, Vienna Manuscript

*Bei einer Unterbrechung höhergelegte  
(8)7 ist nur scheinbar eine Nebennote, wie  
schon oben gesagt worden ist, s. Gliederung.*

Example 161. Figure 32 from Printed Edition

Figure 32 consists of seven measures of music, numbered 1 through 7. The notation includes treble and bass staves with various annotations:

- Measure 1:** Treble staff has notes with accents (^) and fingerings (3, 2, 1). Bass staff has notes with 'c.f.' and 'cons. diss. cons.' annotations.
- Measure 2:** Treble staff has notes with accents (^) and fingerings (3, 2, 1). Bass staff has notes with 'cons. diss. cons.' annotations.
- Measure 3:** Treble staff has notes with accents (^) and fingerings (3, 2, 1). Bass staff has notes with '(3-prg.)' annotation.
- Measure 4:** Treble staff has notes with accents (^) and fingerings (5, 4, 3, 2, 1). Bass staff has notes with '(5-prg.)' annotation.
- Measure 5:** Treble staff has notes with accents (^) and fingerings (3, 2, 1). Bass staff has notes with 'I ( ) V I' and '(=I - IV - V - I)' annotations.
- Measure 6:** Treble staff has notes with accents (^) and fingerings (5, 4, 3, 2, 1). Bass staff has notes with '(=I - V<sub>7</sub> - I)' annotation.
- Measure 7:** Treble staff has notes with accents (^) and fingerings (3, 2, 1). Bass staff has notes with '(=I - IV - V I)' and '(=I - V<sup>5-7</sup> - I - V I)' annotations.

Example 162. Figures 21 and 24 from Printed Edition

Example 162 consists of three measures of music, numbered 21, 24, and 24:

- Measure 21:** Treble staff has notes with accents (^) and fingerings (3, 2, 3, 2, 1). Bass staff has notes.
- Measure 24 (first):** Treble staff has notes with accents (^) and fingerings (3, 2). Bass staff has notes.
- Measure 24 (second):** Treble staff has notes with accents (^) and fingerings (5, 4, 3, 2, 1). Bass staff has notes.



Example 163. Paragraph Omitted from §110, Found on Leaf 225 of the Vienna Manuscript

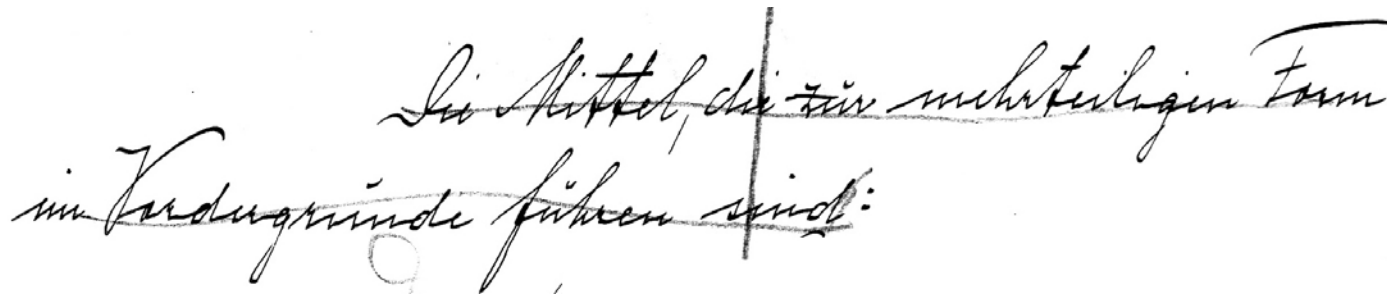
Vienna Manuscript	English Translation of Manuscript
<p><u>§110 Abgrenzung der Nebennote von einer Unterbrechung</u></p> <p>Die Nebennote behält im Gegensatz zur Unterbrechung die ursprüngliche Höhe und verstärkt so die Einheit des Kopftones.</p> <p>Die Nebennote kann sich auf die V. Stufe nicht so stützen, wie die <math>\hat{2}/V</math> bei der Unterbrechung, s. Fig. 21 und 24, ihr fehlt es deshalb an der Wucht der <math>\hat{2}/V</math>, sie kehrt mehr die Aufhaltung hervor, namentlich dort, wo sie wie bei Fig. 32, 3 und 4, nur auf eine IV, oder VI. Stufe gestellt ist; durch eine eigene Kadenz des Basses wie bei Fig. 32, 5 und 6, erscheint die Nebennote zumindest organisch mehr verankert.</p> <p>Anders als bei der Unterbrechung, wo mit <math>\hat{3}-\hat{2}</math> oder <math>\hat{5}-\hat{2}</math> der Hauptteil des Zuges schon abgelaufen ist, fällt bei der Nebennote das größere Gewicht dem Ablauf der aufhaltenden Nebennote, mag sie wie immer gebracht worden sein.</p> <p>Die bei einer Unterbrechung höhergelegte (8)-7 ist nur scheinbar eine Nebennote, wie schon oben gesagt worden ist, s. Gliederung. Da die Gliederung und die Nebennote zwei verschiedene, begrifflich von einander unabhängige Prolongationen vorstellen, können sie auch miteinander verknüpft werden, s. § 155 Z. B. Ist bei <math>\hat{8}-\hat{1}</math> die</p>	<p>§110 How the neighboring-note formation differs from an interruption</p> <p>In contrast to the interruption, the neighboring-note formation remains at the same pitch level and thus reinforces the primary tone.</p> <p>The neighboring note cannot be supported by the V in the same manner as can the <math>\hat{2}</math> in the interruption shown in Figs. 21 and 24. Therefore, it lacks the weight of the <math>\hat{2}/V</math> and stresses rather the effect of delay, particularly in cases where it is supported only by the IV or VI (Fig. 32, 3 and 4). Where it has its own cadential bass (Fig. 32, 5 and 6), the neighboring note is more organically established.</p> <p>In interruption, the main part of the line has already run its course with <math>\hat{3}-\hat{2}</math> or <math>\hat{5}-\hat{2}</math>. But in the case of the neighboring note, no matter how it is structurally supported, greater importance is attached to the descending line which follows the return of the main tone.</p> <p>The interruption using the transfer of the octave (with (8) to 7) only seems to be a neighbor note, as I have already said (see “Division”). Since structural division and the neighboring note represent two different concepts, independent of one another, they can be combined. Thus, in the case of <math>\hat{8}-\hat{1}</math> the employment of the neighboring note to <math>\hat{5}</math></p>

Anwendung der Nebennote zur  $\hat{5}$  nichts anderes als eine solche Verknüpfung von  
Gliederung und Nebennote.

represents such a combination of division and neighboring note.

Between paragraphs two and three of §111 there is an omitted sentence, which is found on leaf 226 (see Examples 164-165). §111 describes how the neighbor note may effect form at the middleground level. Schenker gives examples of Ursätze with both interrupted and uninterrupted structures, all of which contain some sort of formally significant neighbor tone. Before paragraph three of this section, the omitted sentence would have mainly set up the paragraphs that follow (which themselves set to enumerate the various structures). In the printed version Schenker does not offer a rationale for how the unity comes about, which is indeed present in the manuscript version. In the final version he simply calls it “organic” unity. He does not specify in such a precise way how the unity comes about, rather he leaves that more open. Maybe he thought that the way he described how unity is produced was too proscriptive and that was why this passage was removed.

Example 164. Leaf 226, Vienna Manuscript



Die Mittel, die zur mehrteiligen Form  
in Grundgründe führen sind:

Example 165. Material Omitted from §111 Between Paragraphs Two and Three, Found on Leaf 226 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
<p><u>§86 Die Nebennote als Wurzel der Form</u></p> <p>Ein wurzelhaft musikalisches Denken trägt die Nebennote, so bescheiden sie im Inhalt u[nd] Wesen sein mag, doch wie ein großes Ereignis der Stimmführung in sich. In den meisten Fällen ist die Nebennote der Urlinie formzeugend. Gerade ihre in der Retardation sich auswirkende Einheit macht im Vordergrund die zwei- oder dreiteilige Form zu einer organischen Einheit.</p> <p>Die Mittel, die zur mehrteiligen Form im Vordergrund führen [,] sind:</p> <p>der plagale Satz in Fig. 21, 3 und 4, er ist in sich abgeschlossen, deshalb ist es nicht gestattet die Nebenharmonie (=IV. oder VI. Stufe) mit der letzten V. Stufe zu einer Kadenz zusammenzulesen. Trotzdem kann sich die so gebrachte Nebennote im Vordergrund zum Mittelteil einer dreiteiligen Form auswachsen.</p>	<p><u>§86 The neighboring note as a source of form</u></p> <p>The neighboring note, however humble it may appear to be in content and nature, carries within itself a fundamental musical idea, a great voice-leading occurrence. The neighboring note of the fundamental line is in most cases form generative; already its unity produced by the delayed [return of the Kopfton] brings organic unity to that which in the foreground is a two- or three-part form.</p> <p>The means by which the multi-sectional form is presented in the foreground include:</p> <p>the plagal setting in Fig. 32, 3 and 4 is self-contained. Therefore, it is not permissible to read the neighboring-note harmony (IV or VI) together with the final V as a cadence. Nevertheless, the neighboring note in such a setting can be expanded at the foreground level to become the middle part of a three-part form.</p>

Around §117 of the printed version, there are two chapter headings missing, which are shown in the sixth Abschnitt of the manuscript as §93 and §98 and which are found on leaves 228a and 229a (see Examples 166-168). The heading for §93 would have been near chapters dealing with settings of linear progressions with  $\hat{3}$  or  $\hat{5}$ , as well as  $\hat{2}$ . This

omitted chapter heading may have been meant to clarify the topic by explaining the effect of the various settings of  $\hat{3}$  or  $\hat{5}$  Ursätze on closing forms. The second omitted chapter heading §98 affirms that in the case of the initial ascent of the Urlinie, it cannot come to a close. Perhaps this is so obvious that it was removed later for redundancy.

Example 166. Leaf 228a, Vienna Manuscript

§93 *Dem von der  $\hat{3}$  oder der  $\hat{5}$  abgeleiteten  $\hat{7}$  <sup>u</sup>  
 eignet die angewandte Schlußformel Fig. 185 <sup>98</sup>*

Example 167. Leaf 229a, Vienna Manuscript

§98 *Dem Anstieg fehlt die Schlußmöglichkeit 191 98*  
 → Fig. 1, 1

Example 168. Omitted Chapter Headings §93 and §98, Found on Leaves 228a and 229a of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript
§93 Dem von der $\hat{3}$ oder $\hat{5}$ abgeleiteten Zug eignet die angewandte Schlussformel	§93 The Progression that is Suited for Coming from $\hat{3}$ or $\hat{5}$ and its Closing Forms
§ 98 Dem Anstieg fehlt die Schlußmöglichkeit	§98 The Possibility of Closing is Lacking in the Ascent

There is a portion of text missing or changed from the end of the third paragraph of §116, which is found on leaves 232-233 (see Examples 169-172). This section of text discusses how linear progressions differ from the Urlinie. Schenker insists that the Urlinie has a certain will and necessity that is driven by forces higher than it (tonality, nature, etc.), and a line at a later level also contains the same will. The musical figures at some later levels may be decorative and expansive of that individual line. Schenker is saying that not all apparent third-progressions are third progressions, and therefore they don't have the same will and necessity. In the omitted portion of this paragraph there is an overlap of material that was actually changed from the manuscript to the printed version. The printed version talks about a progression of tones (at a more foreground level) as not having the will that the Urlinie has. But the manuscript actually talked about an interruption with an over-reaching 8-7 figure still not representing a third progression. It seems like a reasonable comparison to make. Having access to this alternate ending enhances our understanding of what Schenker may have been getting at in keeping musical figures in perspective depending on their structural level; it is unclear why this section was altered.



Example 171. Figure 23, *Der freie Satz*

Example 172. Omitted Material from §116, Found on Leaves 232-233 of the Vienna Manuscript

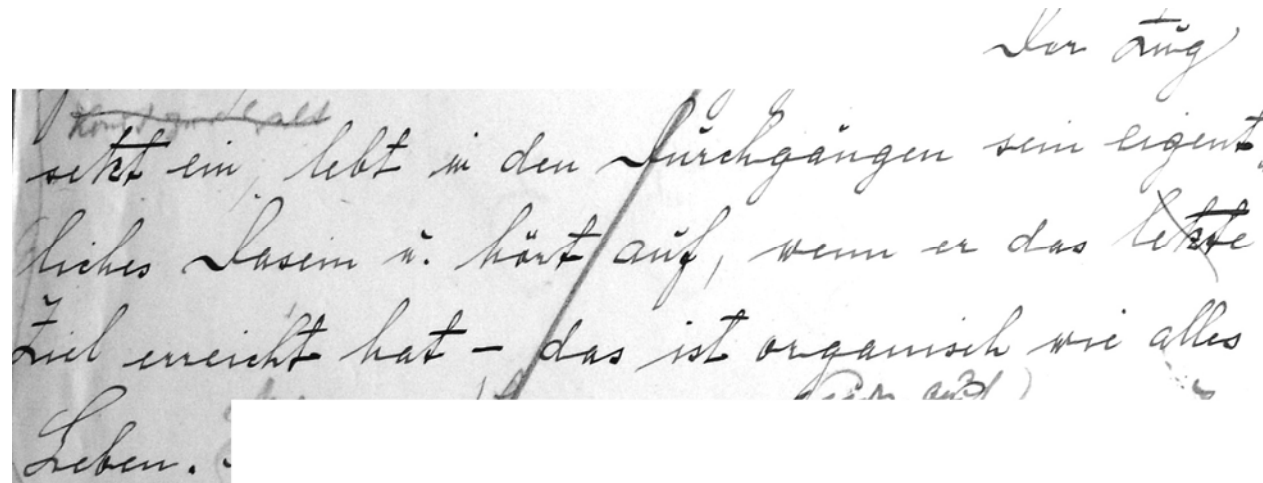
Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§116 Die Merkmale eines Urlinie-Zuges haften auch den fallenden Zügen erster Ordnung an</p> <p>Alle Erfordernisse eines Urlinie-Zuges, wie wir sie bei <math>\hat{3}-\hat{1}</math> und <math>\hat{5}</math> kennengelernt haben, gelten auch für die fallenden Züge erster Ordnung:</p> <p>Also müssen die Beziehungen zwischen</p>	<p>§116 Linear progressions of the first order display the characteristics of a fundamental line</p> <p>All the characteristics of a fundamental line as found in the case of <math>\hat{3}-\hat{1}</math> and <math>\hat{5}-\hat{1}</math> also apply to descending linear progressions of the first order.</p> <p>The first relationships between the new</p>	<p>§116 Die Merkmale eines Urlinie-Zuges haften auch den fallenden Zügen erster Ordnung an</p> <p>Alle Merkmale eines Urlinie-Zuges, wie wir sie bei <math>\hat{3}-\hat{1}</math> und <math>\hat{5}</math> kennengelernt haben, gelten auch für die fallenden Züge erster Ordnung:</p> <p>Die Beziehungen zwischen der neuen</p>	<p>§116 Linear progressions of the first order display the characteristics of a fundamental line</p> <p>All the characteristics of a fundamental line as found in the case of <math>\hat{3}-\hat{1}</math> and <math>\hat{5}-\hat{1}</math> also apply to descending linear progressions of the first order.</p> <p>The first relationships between the new</p>

<p>der neuen Oberstimme des Zuges u[nd] dem sie kontrapunktierenden Baß müssen bestimmt ausgeprägt sein, der Zug muß voll ausgeschöpft und dadurch verwickelt werden.</p> <p>Was im Urlinie-Zug des Ursatzes ein Müssen und Wollen ist, ist auch im abgeleiteten Zug ein Müssen und Wollen, d. h.: auch die abgeleitete Tonfolge will ein Zug sein. Deshalb ist um ein Gegenbeispiel auszuführen das bei einer Unterbrechung vorkommende Uebergreifen 8-7/V s. Gliederung §57 Fig. b), eben noch kein Terzzug. Die Intervalle 8-7 dürfen mit dem nachfolgenden Ton nicht zusammengelesen werden.</p>	<p>upper voice of the linear progression and the bass that has been subjected to counterpoint must be clearly defined, exactly as in the case of a fundamental structure. The possibilities of the linear progression must be fully utilized and thus fully realized.</p> <p>That which is both will and necessity in the Ursatz is also will and necessity in the derived linear progressions; in other words, the derived linear progression wants itself to be a true linear succession of tones. Therefore a negative example would be that of an interruption occurring with an over-reaching 8-7/V (see Division §57 Fig. b), which is still not a third-progression. The intervals 8-7 are not allowed to be read together with the tone that follows them.</p>	<p>Oberstimme des Zuges und dem neuen Baß müssen wie bei dem Ursatz bestimmt ausgeprägt sein, der Zug muß voll ausgeschöpft und dadurch verwickelt werden.</p> <p>Was im Urlinie-Zug des Ursatzes ein Müssen und Wollen ist, ist auch im abgeleiteten Zug ein Müssen und Wollen, d. h.: auch der abgeleitete Zug will wahrhaft ein Zug zu sein. Das Gegenbeispiel einer Tonfolge, die zu einem Zug keinen Willen hat, sehen wir in Fig. 23, zu §92, vgl. auch Fig. 82 zu §206.</p>	<p>upper voice of the linear progression and the new bass must be clearly defined, exactly as in the case of a fundamental structure. The possibilities of the linear progression must be fully utilized and thus fully realized.</p> <p>That which is both will and necessity in the fundamental line is also will and necessity in the derived linear progressions; in other words, the derived linear progression wants itself to be a true linear progression. A negative example, that of a tonal succession which has no will to be a linear progression, is to be seen in Fig. 23b of §92 (also §§205-7)</p>
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There is a very small change in text in the last paragraph of §116, which is found on leaf 233 (see Examples 173 and 150). The change is very slight – the difference between “its,” and “the last.” Upon reading the sentence the way it originally was, one may presuppose the existence of other goals, but the way it appears in the printed version makes it sound like there is only one goal. Schenker may have changed this because he did not always allow for other interpretations or other points of view; the statement in its printed form is stronger and less flexible.

Example 173. Leaf 233 (bottom), Vienna Manuscript



Example 174. Omitted Material from Last Paragraph of §116, Found on Leaf 233 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
In jedem Zuge ist die ewige ebensformel: Geburt u[nd] Ende gegeben. Der Zug setzt	Every linear progression shows the eternal shape of life – birth to death. The	In jedem Zuge ist die ewige Lebensformel: Geburt und Ende gegeben.	Every linear progression shows the eternal shape of life – birth to death. The

<p>ein, lebt in den Durchgängen sein eigentliches Dasein und hört auf, wenn er das letzte Ziel erreicht hat – das ist organisch wie alles Leben.</p>	<p>linear progression begins, lives its own existence in the passing tones, ceases when it has reached the final goal – all as organic as life itself.</p>	<p>Der Zug setzt ein, lebt in den Durchgängen sein eigentliches Dasein und hört auf, wenn er sein Ziel erreicht hat – das ist organisch wie alles Leben. Menschen sollten nun auch das Leben der Züge wohl verstehen, und doch – heute muß ich das Lesen von Zügen als Erster lehren!</p>	<p>linear progression begins, lives its own existence in the passing tones, ceased when it has reached its goal – all as organic as life itself. <b>People should now also really understand the life of the linear progressions – today I am compelled to be the first to teach the interpretation of linear progressions.</b><sup>28</sup></p>
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On leaf 234 (see Examples 175-182) there is a section of text missing from the beginning of §117. The topic of §117 centers around descending linear progressions from  $\hat{3}$  or  $\hat{5}$ . The printed version of this section focuses on how an interruption or neighbor note effects the rationale for determining if a linear progression is a first level occurrence or not. The omitted passage introduces the idea of the danger of confusing a mere falling “Zug” with the actual structural Urlinie. As Schenker explains, it is easy to confuse the two, especially when ignoring the bass arpeggiation. Additionally, the weight of the cadence with its V chord and leading-tone effect add to the finality and significance of such a line, according to the omitted material.

<sup>28</sup> The last sentence of this section was not included in Oster’s translation, and no note was made of this omission (for example, the sentence does not appear in an appendix as the other omissions do). Oster probably thought the sentence showed Schenker’s arrogance. The translation of the last sentence in this column is therefore my own.

Example 175. Figure 22, *Der freie Satz*

J.S. Bach, Chorale: "Ich bin's, ich sollte büßen" (*St. Matt. P.*, no. 16)

a)

22

Schumann, "Aus meinen Tränen spriessen" (*Dichterliebe*, no. 2)

b)

m.

Fgd. I — IV (p.t.) — V — I (A1) V — ( B ) — I (A2)

Detailed description: The image shows three musical excerpts. The top excerpt is a piano accompaniment for J.S. Bach's chorale 'Ich bin's, ich sollte büßen' (St. Matthew Passion, no. 16), marked '22'. It features a treble and bass clef with various ornaments and fingerings. The middle excerpt is Schumann's 'Aus meinen Tränen spriessen' (Dichterliebe, no. 2), marked 'b)', showing a treble clef with a triplet and a fermata. The bottom excerpt is another part of Schumann's piece, marked 'm.', showing a treble clef with a 4/4 time signature and a fermata. Below the bottom excerpt is a figured bass line: 'Fgd. I — IV (p.t.) — V — I (A1) V — ( B ) — I (A2)'. The 'p.t.' likely stands for 'piano' or 'piano trill'.

Example 176. Figure 32, *Der freie Satz*

1 (n.n.) 2 (n.n.) 3 (n.n.) 4 (n.n.)

c.f. (cons. diss. cons.) (cons. diss. cons.)

(3-prg.) (5-prg.)

I-( )-V-I (=I-IV-1) I-(VI-1) IV-V-I

5 (n.n.) 6 (n.n.) 7 (=n.n.)

not:

I-(V7-1) (=I-IV-V-1) (=I-V5-7-I-V-I)

Example 177. Figure 33, *Der freie Satz*

a) (3 2) 1 b) (5 4 3 2) (5 4 3 2) 1

I-(V-I) V (I-V) I I-(V-I) V(5) (I-V)-I

Example 178. Figure 14, *Der freie Satz*

14

1 a) b)

I — (I<sup>6</sup>) — V I || I — (III<sup>♯</sup>) — V I

2 a) b) c) d)

I — (I<sup>6</sup>) — V I || I — (III<sup>♯</sup>) — V I || I — IV V I || I II — V I

I — (II<sup>6</sup>)

3 a) b) c) d)

I — (I<sup>6</sup>) — V I || I — (III<sup>♯</sup>) — V I || I — (p.t.) || I — (p.t.)

I — (I<sup>6</sup>) — IV — V I || I — (III<sup>♯</sup>) IV — V I

I — (II<sup>6</sup>) (II<sup>6</sup>)

4 a) b)

I — (I<sup>6</sup>) — V I || I — (III<sup>♯</sup>) — V I

5

I — IV — V I

II<sup>6</sup>

6

I II — V I

Example 179. Figure 15, *Der freie Satz*

15

1 a)  $\hat{3}$   $\hat{2}$   $\hat{1}$  b)

I (I<sup>6</sup>) V I || I (III<sup>#</sup>) V I

2 a) b) c) d)

I - (I<sup>6</sup>) - V - I I - (III<sup>#</sup>) - V - I I - IV<sup>7</sup> - V - I I - II V I I II - V I  
=IV<sup>(5)6</sup>

3 a) b) c)

I (I<sup>6</sup>) - V I I (III<sup>#</sup>) - V I I - (I<sup>6</sup>) II V I I - (p.t.) - IV<sup>7</sup> V I I - (p.t.) II<sup>6</sup> V I  
=IV<sup>(5)6</sup>

4 a) b) See 1b, 2b, 3b.

I - (I<sup>6</sup>) - V I I - (III<sup>#</sup>) - V I

5 a) b)

I IV<sup>7</sup> V I I II V I  
IV<sup>(5)6</sup>

6

I II V I  
(= 8 - 5 - 8)

Example 180. Figure 16, *Der freie Satz*

16

1 a)  $\overset{\wedge}{5} \overset{\wedge}{4} \overset{\wedge}{3} \overset{\wedge}{2} \overset{\wedge}{1}$  b)

2 a) (I<sup>6</sup>) b) (III<sup>♯4</sup>) c) I — IV<sup>7</sup> V I, I — II V , I II — V I  
=IV<sup>(5)6</sup>

3 a) b) c) I — (p.t.)-IV<sup>7</sup> V I, I (p.t.) IV — V I, I — (p.t.)-II V I  
=IV<sup>(5)6</sup>

4 a) b) See 1b, 2b, 3b.

5 I — IV<sup>7</sup> V I, =I IV — V I, I — II V I I IV V<sup>6-5</sup><sub>4-3</sub> I  
IV<sup>(5)6</sup> (II<sup>6</sup>)

6 I II V I I II V I

Handwritten musical manuscript page with a circled number 185 in the top right corner. The page contains several lines of text in German, some of which are crossed out with a large 'X'. The text discusses musical concepts such as 'Crescendo', 'Cadenza', and 'Trübe' (trill). At the bottom of the page, there is a musical staff with notes and rests, also partially crossed out. The handwriting is in cursive and appears to be from the 18th or 19th century.

Handwritten text (partially crossed out):

Handwritten musical notation (partially crossed out):



Example 182. Omitted Material from §117, Found on Leaf 234 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§91 Dem besonderen Satz des fallenden Züges eignet die angewandte Schlußformel</p> <p>Eine entsprechende Prolongation beim Basse vorausgesetzt, namentlich die Beistellung einer besonderen Brechung durch die Quint[,] gibt de[m] fallende[n] Zug Gelegenheit zur Nachbildung eines Schlusses. Das erhöht zunächst die Gefahr einer Verwechslung des fallenden Zuges mit einem Urlinie-Zug.</p> <p>Die Uebertragung der Kadenz mit Leitton u[nd] V. Stufe bildet eben in verhänglichster Weise <math>\hat{3}-\hat{1}</math> und <math>\hat{5}-\hat{1}</math> nach.</p>	<p>§91 The special structure of descending linear progressions determines the related cadential formula.</p> <p>Given an analogous prolongation in the bass (particularly the provision of a special arpeggiation through the fifth) the falling line has the opportunity to reproduce a closing. That tends to increase the danger of initially confusing the falling line with an Urlinie. The sense of finality of the cadence, along with the leading tone and the V chord reproduces <math>\hat{3}-\hat{1}</math> and <math>\hat{5}-\hat{1}</math> in such a way that is very confusing.</p>	<p>§117 Vom Satz der von der <math>\hat{3}</math> oder <math>\hat{5}</math> abgeleiteten fallenden Züge</p>	<p>§117 The setting of linear progressions descending from <math>\hat{3}</math> or <math>\hat{5}</math></p>

<p>Deshalb sind in der 1. Schicht Züge wie bei a) der nächsten Figur selten anzutreffen, öfter ein Zug wie bei b):</p> <p style="text-align: center;">Fig. 36</p> <p>Sehr häufig aber ja unentbehrlich sind solche Züge in Verbindung mit einer Nebennote oder einer Unterbrechung in der nächster Schichten:</p> <p>Dann übt der vom ersten Urlinie-Ton abgeleitete Zug, von der Inhaltsmehrung abgesehen, einen ganz besondern Reiz aus: eben die Vortäuschung eines Urlinie-Zuges, die so lange anhält, bis die</p>	<p>Therefore, at the first level linear progressions such as at a) in the following figure, are seldom encountered, much more frequently is what is found in example b):</p> <p style="text-align: center;">Fig. 36</p> <p>However, very often such linear progressions are unable to dispense with a neighboring note or interruption at the next level.</p> <p>Quite apart from its expansion of content, the linear progression which departs from the first tone of the fundamental line exerts a special charm: the deceptive effect of a</p>	<p>Die Bestellung von I-V-I oder der prolongierten Formen wie in Fig. 14 gibt den von der <math>\hat{3}</math> oder <math>\hat{5}</math> abgeleiteten Zügen die Wirkung eines Ursatzes oder einer der Ursatzformen Fig. 15 und 16, vgl. § 242 ff.:</p> <p style="text-align: center;"><b>Fig. 33</b></p> <p>Deshalb sind solche Züge in der ersten Schicht selten anders anzutreffen als in Verbindung mit einer Unterbrechung, §87 ff, vgl. Fig. 22 b), 23, oder mit einer Nebennote, § 106 ff, vgl. Fig. 32, 3-7, usw.:</p> <p>Dann übt der vom ersten Urlinie-Ton abgeleitete Zug, von der Inhaltsmehrung abgesehen, einen ganz besondern Reiz aus:</p>	<p>The support provided by I –V-I or by the prolonged bass forms shown in Fig. 14 imparts to the linear progressions which descend from <math>\hat{3}</math> or <math>\hat{5}</math> the effect of a fundamental structure or of a form of the fundamental structure as shown in Figs. 15 and 16 (§§ 242ff.):</p> <p style="text-align: center;"><b>Fig.33</b></p> <p>Therefore, at the first level such linear progressions are chiefly encountered in connection with an interruption (Figs. 22b; 23) or with a neighboring note (Fig. 32, 3-7) &lt;Fig. 154, 3&gt;. Quite apart from its expansion of content, the linear progression which departs from the first</p>
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<p>Unterbrechung oder Nebennote auf den Plan tritt. Auch wegen dieser oft angestrebten Wirkung empfiehlt es sich, in der methodischen Darstellung der Züge den fallenden den ersten Platz einzuräumen.</p>	<p>fundamental line, which it maintains until the interruption or the neighboring note enters upon the scene. This effect, so often sought, gives us an additional reason for giving first place to the descending progression in the systematic presentation of the linear progressions.</p>	<p>eben die Vortäuschung eines Urlinie-Zuges, die so lange anhält, bis die Unterbrechung oder Nebennote auf den Plan tritt. Auch wegen dieser oft angestrebten Wirkung empfiehlt es sich, in der methodischen Darstellung der Züge den fallenden den ersten Platz einzuräumen.</p>	<p>tone of the fundamental line exerts a special charm: the deceptive effect of a fundamental line, which it maintains until the interruption or the neighboring note enters upon the scene. This effect, so often sought, gives us an additional reason for giving first place to the descending progression in the systematic presentation of the linear progressions.</p>
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Leaf 239 (see Examples 183-184) contains a small section of text omitted from the end of §121, which is found. This section deals with the Kopftön of the Urlinie and how it comes to be. Schenker makes the point that the ascent actually contains both the primary tone and the goal tone. The text of the omitted passage proposes that the primary tone may be approached by means of an ascending progression, but not by a descending progression. Schenker may have cut this sentence because he realized that it *is* possible for a descending linear progression to lead to a goal tone, which may also be the primary tone.

Example 183. Leaf 239, Vienna Manuscript

~~Das Gesetz des Kopftones bleibt auch im steigenden Zug wirksam~~  
 Damit vereint der steigende Zug Kopf- in ~~vielen~~ <sup>vielen</sup> in sich, allerdings mit Vorrang des ~~vielen~~ <sup>vielen</sup> da dieser ~~ähnlich~~ <sup>ähnlich</sup> der erste ~~vielen~~ <sup>vielen</sup> ist, ~~er~~ <sup>er</sup> als ~~schweres~~ <sup>schweres</sup> Hauptträger der ~~vielen~~ <sup>vielen</sup> in der ersten Schicht.  
~~Man begreifen wir weshalb bei dem fallen den Zug des ~~vielen~~ <sup>vielen</sup> nicht gedacht würde, sieht er doch nicht ~~in~~ <sup>in</sup> einem ~~vielen~~ <sup>vielen</sup> ~~sonst~~ <sup>sonst</sup> ~~aus~~ <sup>aus</sup>!~~

Example 184. Omitted Material from the end of §121, Found on Leaf 239 of the Vienna Manuscript

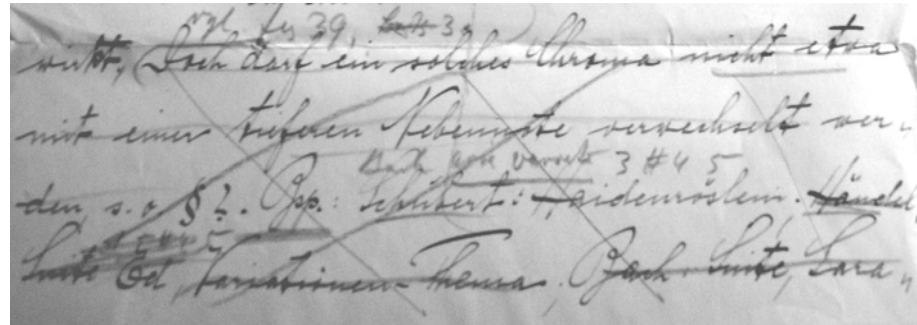
Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
§ 96 Das Gesetz des Kopftones bleibt auch im steigenden Zug wirksam	§ 96 The principle of the primary tone remains effective for the ascending line	§ 121 Das Gesetz des Kopftones bleibt auch im steigenden Zug wirksam	§ 121 The principle of the primary tone remains effective for the ascending line

<p>Auch bei dem steigenden Zug wirkt sich das Gesetz des Kopftones aus. Somit vereint der steigende Zug Kopf- und Zielton in sich, allerdings mit Vorrang des Zieltones, da dieser zugleich der erste Urlinie-Ton ist und als solcher Hauptträger der Oberstimme in der ersten Schicht.</p> <p>Nun begreifen wir, weshalb bei dem fallenden Zug des Zieltones nicht gedacht wurde, führt er doch nicht von [und] zu einem Urlinie-Ton.</p>	<p>The principle of the primary tone also applies to the ascending linear progression. Thus, the ascending line contains both the primary tone and the goal tone, the latter having priority here because it is simultaneously the first tone of the fundamental line, and as such, the principle structural element of the upper voice in the first level. Now we understand why we do not consider the goal tone in the falling line, since the latter does not lead to an Urlinie tone.</p>	<p>Auch bei dem steigenden Zug wirkt sich das Gesetz des Kopftones aus. Somit vereint der steigende Zug Kopf- und Zielton in sich, wobei der Zielton den Vorrang hat, weil er zugleich der erste Urlinie-Ton ist.</p>	<p>The principle of the primary tone also applies to the ascending linear progression &lt;§93&gt;. Thus, the ascending line contains both the primary tone and the goal tone, the latter having priority here because it is simultaneously the first tone of the fundamental line.</p>
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Leaves 241-242 (see Examples 185-189) contains a section of text that was omitted from the end of §123 of the published edition. This omitted section contains a discussion about how the ascent relates to the Ursatz as a whole. Schenker explains that a 1-8 ascent is ineffective because of the leading tone effect, and continues by explaining that one means of prolongation is via a chromatic note or notes (as part of an applied dominant chord). In the omitted passage, Schenker clarifies that chromatic tones should not be confused with lower neighbors, and then he gives several examples where this kind of confusion may be prevalent. This clarification is important since Schenker has discussed

this confusion earlier in the sections originally numbered §75 and §76.<sup>29</sup> It is not clear why this sentence and the examples were omitted from this section. The examples Schenker gives in the omitted passage seem not to appear in this region of the book, or elsewhere given the context of the topic. The omitted passage clears up further details of this section and would have been useful had it been left in.

Example 185. Leaf 241, Vienna Manuscript



Example 186. Leaf, 242, Vienna Manuscript



<sup>29</sup> These sections were omitted; see discussion above regarding Example 130.

Example 187. Figure 38, *Der freie Satz*

38

a) (ascent)  $\overset{\wedge}{3}$  I - ( ) III

b) (ascent)  $\overset{\wedge}{5}$  I - (5 - 6) (5) V

c) (ascent)  $\overset{\wedge}{5}$  I - (10 - 8, 10 = 8) V

d) (ascent)  $\overset{\wedge}{5}$  I - (10 - 8) V

Example 188, Figure 20, #4 *Der freie Satz*

4 Mozart, Sonata in A Major, K. 331, 2nd mvt.  
m.

4 7 10 16 17 21 25 30 36 37 47 48 50 52

$\overset{\wedge}{4}$   $\overset{\wedge}{7}$   $\overset{\wedge}{6}$   $\overset{\wedge}{5}$   $\overset{\wedge}{5}$   $\overset{\wedge}{4}$   $\overset{\wedge}{3}$   $\overset{\wedge}{2}$   $\overset{\wedge}{1}$

(ascent) 4-prg.

(1) (2)

I (a1) - II $\sharp$ 3 - V - (=8 - (1) -  $\sharp$ 7 -  $\sharp$ 6 - 5) I a2) II V I

b -

Example 189. Omitted Material from the end of §123, Found on Leaves 241-242 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 98 Dem Anstieg fehlt die Schlußmöglichkeit</p> <p>Im Gegensatz zu den fallenden Zügen, die Schlüsse nicht zulassen, s. o. § 91 sind beim Anstieg nicht einmal die Aufwärts-Leitetöne gegeben:</p> <p>Fig. 37 [→ Fig. 38]</p> <p>Zwar weist der diatonische Quartaufstieg <math>\hat{5}-\hat{8}</math> den diatonischen Leiteton auf, mit dem ein wirksamer Schluß, wenn auch in steigender Richtung gegeben sein könnte, doch ergäbe sich durch einen solchen</p>	<p>§ 98 There is no possibility for a complete [structural] close within the initial ascent</p> <p>In contrast to the descending progression, a close is not possible during an initial ascent (regardless of the presence of the leading tone) (see above, §91:</p> <p>Fig. 37 [→ Fig. 38]</p> <p>To be sure, the diatonic ascending fourth-progression <math>\hat{5}-\hat{8}</math> displays the leading tone, and so an effective close could be made even though the line ascends. But a</p>	<p>§ 123 Vom Satz des Anstiegs</p> <p>Die Zieltonen <math>\hat{3}</math> oder <math>\hat{5}</math> verhindern als Terz oder Quint die Wirkung eines vollkommenen Schlusses wie bei den fallenden Zügen in § 117 und Fig. 33 a) und b). Zwar weist der diatonische Quartaufstieg <math>\hat{5}-\hat{8}</math> den diatonischen Leiteton auf, mit dem ein wirksamer Schluß, wenn auch in steigender Richtung gegeben sein könnte, doch ergäbe sich durch einen vollständigen Anstieg zur <math>\hat{8}</math> (= <math>\hat{1} - \hat{8}</math>) eine zu starke Belastung für den Urlinie-Zug <math>\hat{8} - \hat{1}</math>; in der Literatur findet sich kein Beispiel dafür; zu <math>\hat{5} - \hat{8}</math> s. Fig. 20, 4.</p> <p>Wohl aber ist einer späteren Schicht</p>	<p>§ 123 Structure of the initial ascent</p> <p>The goal tones <math>\hat{3}</math> and <math>\hat{5}</math> prevent the effect of a complete close, such as is created by the descending line shown in Fig. 33. To be sure, the diatonic fourth-progression <math>\hat{5}-\hat{8}</math> displays the leading tone, and so an effective close could be made even though the line ascends. But a complete initial ascent to <math>\hat{8}</math> (<math>\hat{1}-\hat{8}</math>) would result in too heavy a burden for the fundamental line <math>\hat{8}-\hat{1}</math>.</p> <p>There is no example of this in the literature of music. For <math>\hat{5}-\hat{8}</math>, see Fig. 20, 4.</p> <p>However, at a later level, a leading-tone effect may be achieved by means of a</p>



<p>Anstieg zur <math>\hat{8}</math> als den Urlinie-Ton eine zu starke Belastung für einen ohnehin langen Urlinie-Zug <math>\hat{8} - \hat{1}</math>. Für den sich in der Literatur kein Beispiel findet.</p> <p>Wohl aber ist es möglich durch eine prolongierte Auswendung von Chromen Leittonwirkung zu erzielen, vorausgesetzt die Zuhilfenahme auch von prolongierte Brechungen V-I einer fremden Diatonie (s. Fig. 37 b).</p> <p>Namentlich gefällte sich ein Aufstieg zur 5 in der Anwendung von <math>\#4</math>; dadurch erfährt die <math>\hat{5}</math> einen besonderen Nachdruck, da sich das Chroma im Vordergrund als Modulation in die Tonart der Dominante auswirkt. Doch</p>	<p>complete initial ascent to <math>\hat{8}</math> (<math>\hat{1}-\hat{8}</math>) would result in too heavy a burden for the fundamental line <math>\hat{8}-\hat{1}</math>. There is no example of this in the literature of music.</p> <p>However, at a later level, a leading-tone effect may be achieved by means of a prolongational employment of chromatics, if such tones are aided by their respective dominants (see Fig. 37 b) [→38 b]</p> <p>Especially in an initial ascent to <math>\hat{5}</math>, the <math>\#4</math> is frequently employed. The <math>\hat{5}</math> receives thereby an extra emphasis, particularly when in the foreground the chromatic</p>	<p>vorbehalten, durch eine prolongierte Anwendung von Chromen Leittonwirkung zu erzielen, vorausgesetzt die Zuhilfenahme der den Chromen entsprechenden Dominanten, vgl. § 244 ff.:</p> <p style="text-align: center;"><b>Fig. 38</b></p> <p>Namentlich gefällte sich ein Aufstieg zur 5 in der Anwendung von <math>\#4</math>; dadurch erfährt die <math>\hat{5}</math> einen besonderen Nachdruck, vgl. Fig. 38 b) bis d), zumal wenn sich das Chroma im Vordergrund als Modulation in die Tonart der Dominante auswirkt.</p>	<p>prolongational employment of chromatics, if such tones are aided by their respective dominants (§§ 244 ff.):</p> <p style="text-align: center;"><b>Fig. 38</b></p> <p>Especially in an initial ascent to <math>\hat{5}</math>, the <math>\#4</math> is frequently employed. The <math>\hat{5}</math> receives thereby an extra emphasis, particularly when in the foreground the chromatic event takes the form of a modulation to the key of the dominant (Fig. 38, b-d) [§ 167].</p>
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<p>darf ein solches Chroma nicht etwa mit einer tieferen Nebennote verwechselt werden, s. o. §2. Bsp.: Schubert: Heidenröslein. Händel: Suite Ed, Variationen-Thema. Bach: Suite, Sarabande. Haydn: Sinfonie Dd, Menuett.</p>	<p>event takes the form of a modulation to the key of the dominant. Of course such a chromatic tone should not be confused with a lower neighbor. See §2, for example: Schubert: “Heidenröslein,” Händel: Suite in E major, Variations on a Theme. Bach: Suite, Sarabande. Haydn: Symphony in D major, Menuett</p>		
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Leaf 243 (see Examples 190–192) contains a passage that was omitted from the end of §125. This omitted passage is quite short and serves like an introduction to Section 7, entitled, “Arpeggiation.” This introduction section asserts that arpeggiations of the first level must ascend to the first note of the Urlinie. The omitted material clarifies this quite a bit, essentially broaching the topic of octave transfer sooner than the printed version does.<sup>30</sup> It also provides a list of examples from the literature, which are not discussed in the printed version. The reason the text tapers off at the end of the second paragraph is that when leaf 243 ends the next leaf contains material for a new section. The location or existence of the continuation is unknown. This passage may have been omitted because the topic is dealt with in later sections, though this specific text is not found later within the printed version.

<sup>30</sup> In the printed version, this topic is treated in §147, though not with the same text as shown in Example 159.

Leaf 243 (see Examples 190–192) contains a passage that was omitted from the end of §125. This omitted passage is quite short and serves like an introduction to Section 7, entitled, “Arpeggiation.” This introduction section asserts that arpeggiations of the first level must ascend to the first note of the Urlinie. The omitted material clarifies this quite a bit, essentially broaching the topic of octave transfer sooner than the printed version does.<sup>31</sup> It also provides a list of examples from the literature, which are not discussed in the printed version. The reason the text tapers off at the end of the second paragraph is that when leaf 243 ends the next leaf contains material for a new section. The location or existence of the continuation is unknown. This passage may have been omitted because the topic is dealt with in later sections, though this specific text is not found later within the printed version.

Example 190. Figure 40, *Der freie Satz*

Chopin, Polonaise op. 40 no. 1 (cf. Fig. 56, 2e)

m. 3 4 5 7 8 9 10 11 12 13 14 15 16

1

Bgd. I — IV — I II V — I

Mgd. I — V — I

Fgd. (I — II — V I) (Trio) — B — A<sub>2</sub>  
(a<sub>1</sub> — b — a<sub>2</sub>) (a<sub>1</sub>b — a<sub>2</sub>) (a<sub>1</sub> — b — a<sub>2</sub>)

Schubert, “Auf dem Flusse” (*Winterreise*, no. 7)

m. 5 9 13 23 40 41 53 54

2

(arpeg.) (10) (3-prg.)

(cf. Fig. 111) (6 - 5) (7-6)

I<sup>♯3</sup> — (div.) I<sup>♯3</sup> — (div.) I<sup>♯3</sup> — (I<sup>♯6</sup>) II — V — I

<sup>31</sup> In the printed version, this topic is treated in §147, though not with the same text as shown in Example 159.



Example 192. Omitted Material from the end of §125, Found on Leaf 243 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 100 Eine Brechung erster Ordnung geht zum ersten Urlinie-Ton aufwärts</p> <p>In die erste Schicht gehört nur die Brechung zum ersten Urlinie-Ton aufwärts.</p> <p>Eine solche Brechung bedeutet, wenn sie den Umfang einer Oktave hat, im Grunde eine Höherlegung des ersten Urlinie-Tones, genauer eine Brechung im Dienste einer Höherlegung, also eine Verknüpfung zweier Prolongationen. Bsp. Beethoven Appassionata, Andante, Tw.? Schubert:</p>	<p>§ 100 An arpeggiation of the first order ascends to the first tone of the fundamental line</p> <p>The only <i>arpeggiation</i> at the first level is that which ascends to the first tone of the fundamental line.</p> <p>If it has the range of an octave one such arpeggiation essentially signifies an ascending octave transfer of an Urlinie tone – to be sure, it is an arpeggiation in service of an ascending octave transfer and in conjunction with a prolongation.</p> <p>For example: Beethoven Appassionata,</p>	<p>§ 125 Eine Brechung erster Ordnung geht zum ersten Urlinie-Ton aufwärts</p> <p>In die erste Schicht gehört nur die Brechung zum ersten Urlinie-Ton aufwärts:</p> <p style="text-align: center;"><b>Fig. 40</b></p>	<p>§ 125 An arpeggiation of the first order ascends to the first tone of the fundamental line</p> <p>The only <i>arpeggiation</i> at the first level is that which ascends to the first tone of the fundamental line:</p> <p style="text-align: center;"><b>Fig. 40</b></p>

<p>Walzer Asd Jhrb [Jahrbuch] II? Chopin Scherzo Des d</p> <p>Dagegen stellt eine Aufwärtsbrechung die Verbindung einer Mittel- mit der Oberstimme vor[,] wenn sie nur den Umfang einer Terz oder Dezime, [...]</p>	<p>Andante (Tonwille), Schubert: Waltz in A<math>\flat</math> major (Jahrbuch II?), Chopin Scherzo in D<math>\flat</math> major.</p> <p>In contrast we consider an ascending arpeggiation that has a connection between a middle and upper voice – that is valid only if they are in the range of a third or tenth [...]</p>		
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The manuscript version of the eighth Abschnitt table of contents is different from the printed version (see Examples 193-194). Much of the wording is changed slightly, and some of the topics are moved around. There are seven unnumbered leaves, which contain the text and examples for Kapitel 9. Two of the pages are tables of contents and the other five pages represent the text. Example 193 shows the list of examples for this chapter, according to an unnumbered leaf in this general proximity, assigned the number “245b.”<sup>32</sup> Some of these pieces are treated in *Der freie Satz*, and some are not, but none of them are included in sections anywhere near §125 (the proximity of the leaves of the manuscript).

<sup>32</sup> Whenever leaves are not numbered they have been assigned the number of the closest preceding leaf, adding lower case letters in alphabetical order for ease of reference. Hence 245b is the second unnumbered leaf after leaf 245.

VIII. Abschnitt: Von Ueberquifen 199-204 ff.

Beispiele:

§ 107	Gaek S. "Herlichster Jesu" (2 <sup>2</sup> e. d.)	-	207
5	Beethoven T. Einf. Andante, Tenor	-	263
	Gaek S. Italienisches Konzert, Flageo	-	204
	Shubert Oktett	-	110
	Gaek S. Grandeb. Konz. 2. Satz	-	110
	Beethoven Streichquartett, Admoll	-	110
	Gaek S. Invention Esdur. 6 <sup>2</sup>	-	110
	Beethoven op. 27, 2. Satz	-	110
	(Violin-Heft)	-	110

Example 194. List of Examples for Kapitel 9, Found on Unnumbered Leaf “245b”

Bach, “Herzliebster Jesu” [from $\hat{3}$ ?]-----	107
Beethoven, V. Sinfonie, Andante scherzo [from $\hat{5}$ ?]-----	109
Bach, Italienisches Konzert, Adagio-----	109
Schubert, Oktett-----	110
Bach, Brandenb[urgisches] Konzert, 2. Satz-----	110
Beethoven Streichquartett, Cismoll-----	110
Bach, Invention Esdur (es 1 - b 2)-----	110
Beethoven, op. 27, 1. und letzter Satz-----	110
(Urfolie Heft)-----	110

On an unnumbered leaf with the text from what became §132, examples are listed to illustrate the concept of this section,; these examples were omitted in the printed version. See Example 197, which shows the pieces with the corresponding text, which was also omitted. This passage comes right after the first bullet point, whose topic is, “how the reaching over can occur with the effect of a neighbor note.” There are several examples Schenker shows in Figure 41 (referred to in the printed text), but “Herzliebster Jesu” is not one of them.. Schenker seems to be describing a piece that does not prove his point – a negative example.



The text from leaf 245d reveals several other examples under the subheading of the second point in §132. This subsection is on the topic of how a reaching-over can occur with the effect of a linear progression which has the sense of an initial ascent. Schenker points to several examples that illustrate his case, but they are not included in Figure 41 of the printed version (shown in Example 195). It is unknown why these examples were omitted from the printed version – they seem to clarify Schenker’s argument.

Example 195. Figure 41, *Der freie Satz*

41

a) 1  $\overset{\text{A}}{3}$  (=n.n.) 2  $\overset{\text{A}}{3}$  3  $\overset{\text{A}}{5}$  4  $\overset{\text{A}}{5}$   
 (=I (n.n. / hrn.) I) (=I V I) (= I II V I)

b) 1  $\overset{\text{A}}{3}$  (=n.n.) 2 (=3-prg.)  $\overset{\text{A}}{3}$  3 (=5-prg.)  $\overset{\text{A}}{5}$   
 (=I II - V<sup>7</sup> I)

c) (=3-prg.)  $\overset{\text{A}}{5}$  d) (=arpeg.)  $\overset{\text{A}}{5}$  e) (=arpeg.)  $\overset{\text{A}}{5}$

Figs. 41 (cont.)-42

Examples:

Beethoven, Fifth Sym., 3rd mvt.  
 (See a4.) m. 7 26 56 60 72 2nd mvt., mm. 1 ff.  
 (See b2.)

1 (4-prg.) (ascent) (8 - 5 - 8 - 5 - 8) I - V - I

J.S. Bach, Brandenburg Concerto No. 5, 2nd mvt.  
 3 (=arpeg.) (=5-prg.) (7) (7) (7) (10) (10) (10) (10) (=I - IV - II - V I)

Example 196. Figure 47, #2, *Der freie Satz*

Beethoven, Sonata op. 14 no. 2, 1st mvt. (cf. Fig. 122, 1)

Mgd. I  
Fgd. (Exp.) [(5) 6 - 6, 6 (hII) - 5-(6), 5-(6), 5-(6) - II#3 - 5] V<sup>5</sup> (8 - k7) Dev.—

Example 197. Example Referred to in §132, but Omitted from Printed Version, Found on unnumbered leaves “245c” and “245d”

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 107 Das Uebergreifen im Dienste des Kopftones</p> <p>Das Uebergreifen im Dienste des Kopftones kann stattfinden</p> <p>Erstens: mit der Wirkung einer Nebennote: z. B. J.S. Bach, “Herzliebster Jesu,” das Beispiel zeigt,</p>	<p>§ 107 Reaching-over serves the primary tone</p> <p>Reaching-over can occur in service of the primary tone:</p> <ol style="list-style-type: none"> <li>having a neighbor note effect.</li> </ol> <p>For Example, J.S. Bach, “Herzliebster Jesu,” the example</p>	<p>§ 132 Das Uebergreifen in der ersten Schicht dient dem Kopftone</p> <p>Im Dienste des Kopftones kann ein Uebergreifen statthaben mit der Wirkung</p> <p>erstens: einer Nebennote, s. Fig. 41 a, 1, b, 1;</p> <p>zweitens: eines Zuges als Anstieg, s.</p>	<p>§ 132 Reaching-over at the first level serves the primary tone</p> <p>In the service of the primary tone, a reaching-over can occur with the effect of:</p> <ol style="list-style-type: none"> <li>a neighboring note (Fig. 41, a1, b1);</li> <li>a linear progression which has the</li> </ol>

<p><b>wie der Fortgang des Basses im Sinne von Fig. das Uebergreifen nicht aufhebt.</b></p> <p>zweitens: mit der Wirkung eines Züges gegreifenden Tones an <b>Beispiele: Beethoven V. Andante und Scherzo. J. Bach, Italienisches Konzert, Adagio.</b></p> <p><i>[section that follows is not found in the manuscript]</i></p>	<p><b>shows the process of the bass in the sense of Figure [ ] that the reaching-over does not offset.</b></p> <p>2. having the effect of a linear progression of tones reaching over.</p> <p><b>For example: Beethoven's Fifth Symphony, Andante and Scherzo movements. J. Bach, Italian Concerto, Adagio movement.</b></p> <p><i>[section that follows is not found in the manuscript]</i></p>	<p>Fig. 41 a, 2-4; b 2, 3; c; Beispiel 1, 2; drittens: einer Brechung, s. Fig. 41 d, e und Beispiel 3; vgl. Fig. 47, 2.</p> <p>Je mehr die Einsätze des Uebergreifens sich auf harmonische Töne beschränken, desto mehr ähnelt das Uebergreifen einer Brechung; bei einer größeren Freiheit wird die Brechung weniger durchsichtig,</p>	<p>sense of an initial ascent (Fig. 41a, 2-4; b, 2 and 3; c and Exx. 1 and 2);</p> <p>3. an arpeggiation (Fig. 41, d and e, and Ex. 3; also Fig. 47, 2).</p> <p>The more the entries of the reaching-over restrict themselves to chord tones, the more the entries themselves resemble an arpeggiation. If greater freedom is employed, the arpeggiation becomes less obvious and the</p>
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		<p>das Uebergreifen tritt hervor, bis das erreichte Ziel volle Klarheit bringt.</p> <p>Die Weite des Uebergreifraumes kommt für den Begriff nicht in Frage, sie hängt nur mit der Besonderheit des betreffenden Kunstwerkes zusammen, über die die Fühlungnahme mit dem Hinter- und Vordergrund entscheidet. Also kann ein Uebergreifraum auch so lauten: 1-3-5-8-5 usw. (Vgl. S. Bach: Zwei-stimmige Invention <i>Es dur</i>)</p>	<p>reaching-over predominates until the goal is attained, bringing complete clarification.</p> <p>The amount of vertical space which the reaching-over occupies does not affect the concept. The intervals are determined by the particularities of the work involved: the rapport with background and middleground is decisive. Thus, the space of a reaching-over can even read: 1-3-5-8-5 (Bach, Two-part Invention in E<math>\flat</math> Major).</p>
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There is a slight word change in the third paragraph of §135, which is found in the manuscript on leaf 256 (see Example 198). In this section, Schenker explains how motion from an inner voice (*Untergreifen*) fits in with the middleground structure. In this case, the change of wording reflects the change from “Zug” (“progression” or “line”) to “Stimme” (“voice”). The difference between what is expressed by the original statement (a new **progression** springs forth...) to the new statement (a new **voice** springs forth) conveys meanings that are quite different. The appearance of a new progression is perhaps not as poignant as the sudden emergence of a new voice as though from primordial sources. Schenker may have changed this wording either to make it a stronger statement or to express something different.

Example 198. Material from the Third Paragraph of §135, Found on Leaf 256 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 135 Vom Wesen des Untergreifens</p> <p>Das Untergreifen besteht im Zurückgreifen auf eine tiefere Lage der Mittelstimme, um von dieser aus die frühere Lage zurückzugewinnen.</p> <p>Das Untergreifen wird angewendet, um in die Bewegung der Oberstimme eine gewisse Verlangsamung hineinzutragen und das Ziel hinauszuschieben, wenn es sonst zu früh erreicht wäre.</p> <p>Durch das Untergreifen kommt ein neuer Zug an die Oberfläche, die wie aus unbekannter Quelle hervorbricht; daß</p>	<p>§ 135 The nature of motion from the inner voice</p> <p><i>Motion from the inner voice (Untergreifen)</i> means a reaching-down to an inner voice at a lower register, in order to work back from there to the original register.</p> <p>This procedure is used to introduce a certain slowing down into the motion of the upper voice, and to postpone arrival at the goal if for some reason it would be reached too soon.</p> <p>As a result of this technique there appears on the surface a new progression which seems to spring forth from an unknown</p>	<p>§ 135 Vom Wesen des Untergreifens</p> <p>Das Untergreifen besteht im Zurückgreifen auf eine tiefere Lage der Mittelstimme, um von dieser aus die frühere Lage zurückzugewinnen.</p> <p>Das Untergreifen wird angewendet, um in die Bewegung der Oberstimme eine gewisse Verlangsamung hineinzutragen und das Ziel hinauszuschieben, wenn es sonst zu früh erreicht wäre.</p> <p>Durch das Untergreifen kommt eine neue Stimme an die Oberfläche, die wie aus unbekannter Quelle hervorbricht; daß</p>	<p>§ 135 The nature of motion from the inner voice</p> <p><i>Motion from the inner voice (Untergreifen)</i> means a reaching-down to an inner voice at a lower register, in order to work back from there to the original register.</p> <p>This procedure is used to introduce a certain slowing down into the motion of the upper voice, and to postpone arrival at the goal if for some reason it would be reached too soon.</p> <p>As a result of this technique there appears on the surface a new voice which seems to</p>

diese Oberstimme nur scheinbar neu ist, darüber klärt die Fühlungsnahme mit dem Ursatz auf: es ist, als ruhte die ursprüngliche Lage, bis sie von der untergreifenden Stimme erreicht wird.	source. However, rapport with the fundamental structure makes it clear that this upper voice is only seemingly new. It is as though the original register were suspended until it is regained by the motion from the inner voice.	diese Oberstimme nur scheinbar neu ist, darüber klärt die Fühlungsnahme mit dem Ursatz auf: es ist, als ruhte die ursprüngliche Lage, bis sie von der untergreifenden Stimme erreicht wird.	spring forth from an unknown source. However, rapport with the fundamental structure makes it clear that this upper voice is only seemingly new. It is as though the original register were suspended until it is regained by the motion from the inner voice.
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There is a passage missing from the end of the first paragraph of §146, including a reference to a Haydn piece (probably the theme from the *Andante con variazioni* in F minor, Hob. XBII:6) not referred to in the printed version. The text is found on leaves 264–265 of the Vienna manuscript (see Examples 199-203). This section discusses how the technique of substitution works. In the published version, Schenker focuses on the substitution of  $\hat{2}$  by  $\hat{7}$  in the Urlinie, but in the omitted text, he also brings in a discussion of the substitution of  $\hat{3}$  via ascending transfer from an inner voice for the purpose of avoiding parallel octaves, and cites a specific Haydn f-minor piece, though no musical example is given. The piece Schenker refers to here is very likely the variation set mentioned earlier in this paragraph. The  $\hat{3}$  of the final five-line should have appeared in measure 28. Schenker shows the  $A\flat$  in his graph in Figure 48, along with the “parallel octaves that threatened (albeit that would have been broken by a linear intervallic progression of 8-10-8 in any case) (See Example 202). In the coda the scale degree 3 literally appears in bar 225. .

Example 199. Leaf 264 of the Vienna Manuscript

Meist sind es kurze Stücke, deren erste  
Schicht schon die Fortsetzung eines Volimi-Tons  
aufweist, meist ist es auch eine Höherlegung davon.

Example 200. Leaf 265 of the Vienna Manuscript

sich die Fortsetzung bedient, da in dem Ton der ~~110~~  
Mittelstimm ~~214~~ wird ein Oktave hinaufgesetzt,  
um den eigentlichen Volimi-Ton zu vertreten u. eine  
scheinbar neue Oberstimm zu erzeugen.  
3] 9] Selten erscheint schon die 3 vertreten  
doch kann, wie das Beispiel aus Handen wohl zeigt,  
die Notwendigkeit einer 8-8- Folge auszuweichen u.  
einen Notiv-Parallelismus zu bekennen, in einer  
solchen Fortsetzung führen. In der Loda des Ton e.  
Bes. tritt die 3 dann deutlich auf.

Example 201. Figure 46, *Der freie Satz*

**Brahms, Waltz op. 39 no. 2**

m. 1 7 8, 9-16, 17

1 3 2 (A) 1

1

**Schubert, Valses nobles, op. 77 no. 1**

2

(ascent) (n.n.) (8) (n.n.)

1 3 3 2 1

1 (a<sub>1</sub>-) (II<sup>♯</sup>) V (8 - - 7) I (a<sub>2</sub>)

1 - b - a<sub>2</sub> ( ) V  $\frac{6}{4}$   $\frac{5}{3}$  I

Example 202. Figure 48, *Der freie Satz*

**Haydn, Andante con variazioni in F Minor, Theme**

1 minor: 5 4 3 2 1 major: 5 4 3 2 1

48

m. 6 12 16 17 18 25 27 28 29

(desc. rg. tr.) (5-prg.) (Coda)

(Trio) Variations (obl. rg.)

Mgd. I - (div.) I - II - V I

Fgd. I IV -  $\sharp$ IV V I - (p.t.) (-III) II - V, I - IV -  $\flat$ IV - I  $\sharp$ II V I

(5 -  $\flat$ 6)



Example 203. Material Missing from the End of the First Paragraph of §146, Found on Leaves 264-265 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 146 Von der Ausführung der Vertretung</p> <p>Meist sind es kurze Stücke, deren erste Schicht schon die Vertretung eines Urlinie-Tones aufweist, meist ist es auch eine Höherlegung, deren sich die Vertretung bedient, doch: ein Ton der Mittelstimme wird um eine Oktave hinaufgesetzt, um den eigentlichen Urlinie-Ton zu vertreten u[nd] eine scheinbar neue Oberstimme zu erzeugen.</p> <p>Selten erscheint schon die <math>\hat{3}</math> vertreten[,]</p> <p>doch kann, wie das Beispiel aus Haydn</p>	<p>§ 146 Regarding the Technique of Substitution</p> <p>For the most part substitution at the first level is to be found in short pieces. It is mostly an ascending transfer, whose purpose is to serve the substitution.</p> <p>However, a note in the middle voice is transferred up an octave, around the actual Urlinie note, which represents the cloning of an apparently new upper voice.</p> <p>Seldom does the <math>\hat{3}</math> appear to be displaced (by substitution). Nevertheless, as the example from the Haydn f-minor</p>	<p>§ 146 Beispiele einer Vertretung in der ersten Schicht</p> <p>Meist sind es kurze Stücke, deren erste Schicht schon die Vertretung eines Urlinie-Tones aufweist, und zwar ist es die <math>\hat{2}</math>, die am häufigsten eine Vertretung erfährt:</p>	<p>§ 146 Examples of substitution at the first level</p> <p>For the most part substitution at the first level is to be found in short pieces. Most frequently the substitution applies to the <math>\hat{2}</math> [§235]<sup>33</sup></p>

<sup>33</sup> Jonas's footnote in the English edition is as follows: "This allows the upper voice to bring in the ascending leading tone."

<p>Fmoll zeigt (<math>\hat{5}-\hat{1}</math>) [,] die Notwendigkeit einer 8-8 Folge auszuweichen u[nd] einen Motiv-Parallelismus zu bekommen, zu einer solchen Vertretung führen. In der Coda des Stückes tritt die <math>\flat\hat{3}</math> dann deutlich auf.</p> <p>Oefter erführt die <math>\hat{2}</math> eine Vertretung: (zitiert): Bach Fuge C-moll, Jhrb. II. Brahms 3gII. Clementi Preludes Nr. 1 u[nd] 4 in F dur. Fischer-Mozart. Haydn Fmoll. Schubert <i>Valses Nobles</i> Nr. 4.</p> <p>Die Vertretung einer <math>\hat{1}</math> begegnen wir in einem zusammengesetzten Werk, z. B. in einer Walzerserie wo einer Vertretung die Verknüpfung an die nächste Nummer geschmeidiger erscheinen läßt.</p>	<p>shows (<math>\hat{5}-\hat{1}</math>), it is necessary to avoid parallel octaves as well as the presence of a motivic parallelism, which actually leads to one such substitution. In the coda of this piece the <math>\flat\hat{3}</math> clearly appears.</p> <p>Most often the substitution applies to the <math>\hat{2}</math> (cited): Bach, c-minor fugue (Jahrbuch II), Brahms, 3<sup>rd</sup> Symphony, second movement, Clementi Preludes, numbers 1 and 4 in F major, Fischer-Mozart, Haydn, f minor, <i>Schubert, Valses Nobles</i> no. 4.</p> <p>We may encounter substitution of <math>\hat{1}</math> in a collection of pieces, for example, in a set of waltzes, where it makes the connection of the parts smoother.</p>	<p style="text-align: center;"><b>Fig. 46</b></p> <p>Vgl. hierzu S. Bach, Fuge C-moll I, T. 16, Jb. II, 58; Clementi, Preludes et Exercises Nr. 1, T. 2, usw.</p> <p>Die Vertretung einer <math>\hat{1}</math> treffen wir zuweilen in einem zusammengesetzten Werk, z. B. in einer Walzerkette, wo sie die Verknüpfung der Teile geschmeidiger macht vgl. Schubert: <i>Valses Nobles</i> Nr. 4, wo zuletzt die Terz <math>h^3</math> für <math>g^3</math> (<math>\hat{1}</math>) erscheint usw.</p>	<p style="text-align: center;"><b>Fig. 46</b></p> <p>Substitution for <math>\hat{1}</math> is occasionally found in a work comprised of short pieces, for example in a set of waltzes, where it makes the connection of the parts smoother. See Schubert: <i>Valses Nobles</i> no. 4, where, at the end, the third, <math>\flat\hat{3}</math>, substitutes for <math>\hat{1}</math>, <math>g^3</math>.</p>
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Example 205. Material Changed from §149, Found on Leaf 266 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 149 Von der Ausführung einer Höherlegung</p> <p>Die Höherlegung kann ausgeführt werden:</p> <p>1. in unmittelbarer Weise durch einfache Erhebung in die höhere Oktave oder:</p> <p>2. mittelbar durch Auskomponierung einer Verbindung zum höheren Oktavton mittels bestimmter Prolongationen oder in beliebiger anderer Art.</p>	<p>§ 149 Means of effecting an ascending register transfer</p> <p>An ascending register transfer may proceed –</p> <p>1. in direct fashion by means of a simple raising to a higher octave, or;</p> <p>2. in indirect fashion, by means of the composing out of a connection to the higher octave, by means of a specific prolongation or any other way.</p>	<p>§ 149 Von der Ausführung einer Höherlegung</p> <p>Die Höherlegung kann ausgeführt werden:</p> <p>1. in unmittelbarer Weise durch einfache Erhebung in die höhere Oktave oder:</p> <p>2. mittelbar durch eine Verbindung zum höheren Oktavton mittels einer andern Prolongation der ersten Schicht, wie Brechung, Uebergreifen usw.</p>	<p>§ 149 Means of effecting an ascending register transfer</p> <p>An ascending register transfer may proceed –</p> <p>1. in direct fashion by means of a simple raising to a higher octave, or;</p> <p>2. in indirect fashion, by means of a connection to the higher octave through another prolongation at the first level, such as arpeggiation or reaching-over</p>

The text of §150 varies quite a bit from the manuscript to the printed version This text appears in the manuscript on two leaves that are unnumbered, and which are referred to as “266a” and “266aa” (see Examples 206-216). In the printed version of the text, Schenker discusses how direct ascending register transfer interacts with fifth progressions and the chromaticized  $\hat{2}$ . In the manuscript version, however, Schenker starts this section by highlighting the notion that register transfer can be combined with interruption so that the

Kopfton can be recaptured through the shift of the root of a V chord to descend through the seventh back down to the Kopfton by step. This section of the text is completely gone from the printed version. There are several examples given in this version of the text; however, different examples are given in the manuscript version. For instance, Schenker points to Mozart's Sonata in C major, and Beethoven op. 49, movement 2 in G major as exemplars of such a register transfer with interruption (see the analyses of these pieces in Examples 212 and 213 from *Der Tonwille* 4). Actually it seems clear that these examples would be omitted from the printed edition since the theoretical idea they support was stricken from the section. That the section on interruption is at the beginning in the manuscript version of §150 underlines its significance to Schenker's thinking. The manuscript version seems to clarify the topic, and it seems like it would have been beneficial to have left this passage in.

Example 206. Figure 23, *Der freie Satz*

23

3̂ (2) 2̂ || 3̂ 2̂ 1̂

a) b)

(=n.n.) (=n.n.)

10-( )-8, (8-47)  
I - II# - V || I V I

(8 - 47) V —

(8 - 47) V —

Example 207. Figure 47, #1, *Der freie Satz*

Mozart, Sonata in C Major, K. 545, 1st mvt. (cf. Fig. 124,5a)

m. 4 12 14 28

1

I (Exp.) (div.) V 5 (8 - - 7) Dev. - I Recap.)

Example 208. Figure 88c, *Der freie Satz*

Mozart, Sonata in C Major, K. 545, 1st mvt., mm. 18 ff.

m. 18 23 24 25 26

(=5) 4 3 2 1

c)

(=G major: I 3 ( ) II 6 V I)

(cf. Fig. 47,1)

Example 209. Figure 46, *Der freie Satz*

Brahms, Waltz op. 39 no. 2

m. 1 7 8, 9-16, 17

1

I (a<sub>1</sub>-) (II<sup>2</sup>) V (8 - - 7) - b - I (a<sub>2</sub>)

Schubert, Valses nobles, op. 77 no. 1

2

I (a<sub>1</sub>-) ( ) V  $\frac{6}{4}$   $\frac{5}{3}$  I (a<sub>2</sub>)









Example 216. Material Omitted from §150, Found on Leaves 266a and 266aa of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§ 150 Von der unmittelbaren Höherlegung</p> <p>Die unmittelbare Höherlegung kann einen Urlinie-Ton z. B., bei einer Unterbrechung die <math>\hat{2}</math> betreffen, z. B. Brahms 39II. Mit der Erhebung der <math>\hat{2}</math> pflegt ein Quintzug oder Quintsprung von der <math>\hat{2}</math> einherzugehen, er fällt auf die <math>V^{8-7}</math> im ebenfalls erhöhter Lage, von wo aus die Reprise in der ersten Lage des Kopftones aufzunehmen möglich ist. Bsp. (zitiert): Mozart Sonate Cdur, Tw. 4, Beethoven 49<sup>II</sup> Gdur, Tw. 4.</p> <p>Die Höherlegung einer Folge von</p>	<p>§ 150 Regarding the direct ascending register transfer</p> <p>The direct ascending register transfer can affect an Urlinie tone, for example at an interruption on <math>\hat{2}</math>. See Brahms, op. 39, movement 2. The raising of the <math>\hat{2}</math> serves to accompany a fifth progression or the leap of a fifth from <math>\hat{2}</math>. It occurs in the <math>V^{8-7}</math> in a higher register, so that the reprise of the Kopftone at the first level is made possible. For example (cited): Mozart Sonata in C major, (see Tonwille 4), Beethoven op. 49, movement 2 in G major (see Tonwille 4).</p> <p>The register transfer of a progression of</p>	<p>§ 150 Beispiele</p> <p>Beispiele einer unmittelbaren Höherlegung von Urlinie-Tönen, s. Fig. 46, 1 und 2, wo sie mit einer Vertretung der <math>\hat{2}</math> verknüpft ist. Andere Beispiele einer Höherlegung:</p> <p><b>Fig. 47</b></p> <p>Bei 1 liegt eine unmittelbare Höherlegung vor, bei 2 und 3 eine mittelbare.</p> <p>Die von der <math>\hat{2}</math> fallenden Quintzüge wie bei 1 und 2 stoßen auf die ursprünglich der Mittelstimme zugehörige Oktave der V, die dadurch nun ebenfalls in die höhere Lage gebracht wird: durch 8-<math>\sharp 7</math> geht es</p>	<p>§ 150 Examples</p> <p>Examples of ascending register transfer are shown in</p> <p><b>Fig. 47</b></p> <p>A direct register transfer is shown in 1, an indirect register transfer in 2 and 3.</p> <p>In Exx. 1 and 2 the fifth-progressions which descend from <math>\hat{2}</math> arrive at the octave-doubling of V, which originally belonged to the inner voice but is now brought into the higher register also. Through 8-<math>\sharp 7</math> it then returns to the second <math>\hat{3}</math> in the original</p>

<p>Urlinie-Tönen ist bei <math>\hat{8}-\hat{1}</math> sehr am Ratze, z.  B. <math>\hat{8}-\hat{5}</math> u[nd] <math>\overset{8va}{\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}}</math>.</p> <p>Die Höherlegung eines Mittelstimmetones kann wie schon im XI. Abschnitt gesagt wurde, zur Vertretung einer <math>\hat{2}</math> führen oder zu einer <math>\flat\hat{2}</math> durch die <math>\natural\hat{2}</math>.  Bsp. Beethoven 27<sup>II</sup>: <math>d^2</math> zu <math>dis^2</math>, Chopin 10<sup>XII</sup>: <math>des^2</math> zu <math>d^2</math>.</p> <p>Von der Erhebung bei <math>V^{8-7}</math> wurde bei Gelegenheit der Unterbrechung schon gesprochen, s. II Abschn[itt]. Doch auch eine Folge von Tönen kann, eine Höherlegung erfahren, wenn durch sie eine unannehmbare Senkung der Lage herbeigeführt würde. Bsp. Bach Choral Hmoll.</p>	<p>Urlinie tones is quite related. For example, <math>\hat{8}-\hat{5}</math> and <math>\overset{8va}{\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}}</math>.</p> <p>As I have already said in the 11<sup>th</sup> chapter, the register transfer of a middle voice can lead to a substitution of <math>\hat{2}</math> or to a <math>\flat\hat{2}</math> through <math>\natural\hat{2}</math>. See examples: Beethoven 27<sup>II</sup>: <math>d^2</math> to <math>d\sharp^2</math>, Chopin 10<sup>XII</sup>: <math>db^2</math> to <math>d^2</math>.</p> <p>Concerning the upward shift at <math>V^{8-7}</math> the opportunity provided by the interruption was already described in the second chapter. Of course a progression of tones can also experience a register transfer if, through it, an unacceptable descent of the register is induced. See, for example, Bach's Chorale in b minor.</p>	<p>dann zur zweiten <math>\hat{3}</math> in die ursprüngliche Lage zurück, vgl. Fig. 23.</p> <p>Die Höherlegung eines Mittelstimme-Tones ist in Fig. 46, 1, 2 zu sehen, wo sie die Vertretung einer <math>\hat{2}</math> herbeiführt. Vgl. S. Bach, Choral "Herzliebster Jesu", s. Fig. 83, 3, wo zuletzt durch die Höherlegung <math>fis^1-fis^2</math> einer unmöglichen Stimmlage vorgebeugt wird.</p> <p>Schließlich muß die Berichtigung einer <math>\flat\hat{2}</math> durch eine <math>\natural\hat{2}</math>, wie z. B. in Chopin op. 10<sup>XII</sup>, s. "Fünf Urlinie-Tafeln" ebenfalls als Höherlegung einer ursprünglich der Mittelstimme zugehörigen <math>\natural 5</math> der V. Stufe (<math>V^{\flat 5}</math>) aufgefaßt werden.</p>	<p>register (Fig. 23).</p> <p>Examples of direct register transfer of fundamental-line tones, combined with a substitution for <math>\hat{2}</math>, are shown in Fig. 46, 1 and 2. The substitution itself is brought about by the ascending register transfer of a tone of the inner voice. Compare also Fig. 88,3, where, at the end, an impossible vocal register is avoided by means of the register transfer <math>f\sharp^1-f\sharp^2</math>.</p> <p>Finally, the frequent adjustment of <math>\flat\hat{2}</math> by means of <math>\natural\hat{2}</math> (as it appears in Chopin's Étude op. 10 no. 12, mm. 72-75) must be understood as a register transfer of the <math>\natural 5</math> of the V, originally in the inner voice.</p>
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The text for §152 from the manuscript differs from that of the printed version (see Examples 217-218). This section discusses the concept of coupling. As is shown in Example 218, the printed version of this section is very brief, with a simple statement explaining that coupling involves a connection between two registers separated by an octave. In the version of this section found in the manuscript Schenker seems to take more time to clarify not what coupling itself is and also how it compares to register transfer. Schenker explains in the manuscript version that while register transfer may apply to intervals other than an octave, coupling relates only to intervals of an octave. This is a very significant distinction that is lost in the printed version.

Example 217. Leaf 270 of the Vienna Manuscript

~~Unter Koppelung ist die Verbindung zweier eine  
Oktave voneinander entfernt ~~stehen~~ ~~zu~~ ~~stehen~~. ~~Es~~  
dass also als bei der Höhe - u. Registerlegung die sich  
auch auf ~~Leiterschritte~~ ~~besuchen~~ können ~~bezieht~~ sich  
eine Koppelung immer auf Oktaven.~~

Example 218. Material Changed from §152, Found on Leaf 270 of the Vienna Manuscript

Vienna Manuscript	English Translation of Manuscript	1935 German Printed Edition	1979 English Translation (Oster)
<p>§152 Begriff der Koppelung</p> <p>Unter Koppelung ist die Verbindung zweier eine Oktave voneinander entfernter Töne zu verstehen. Anders also als bei der Höher- u[nd] Tieferlegung, die sich auch auf Sekundschritte beziehen können, bezieht sich eine Koppelung immer auf Oktaven.</p>	<p>§152 Concept of Coupling</p> <p>Coupling is understood as a connection of two tones displaced from each other by one octave. Unlike upper- and lower register shift, which can also apply to the interval of a second, a coupling always applies to octaves.</p>	<p>§152 Begriff der Koppelung</p> <p>Koppelung ist die Verbindung zweier Lagen in Oktav-Entfernung.</p>	<p>§152 Concept of Coupling</p> <p>Coupling is the connection of two registers which lie an octave apart.</p>

## CHAPTER 5

### CONCLUSION

The main goal of this dissertation has been to present transcriptions and translations of selected passages that were altered or omitted from the latest “Vienna” manuscript to the printed German edition of 1935 of Heinrich Schenker’s *Der freie Satz*. Throughout the process of this study I have presented hypotheses regarding possible reasons for these changes, in light of the death of the author before the work’s publication, while trying to remain sensitive to the fact that any hypotheses can only be educated guesses: we will never really know why those passages were omitted or changed.

What are we to learn from this study? A central effect of the process of completing this study is the experience of reading Schenker’s thoughts in their “purest” “naked” version. Examining the manuscripts was like going back in time and talking with Schenker himself. Schenker’s inconsistency regarding his attitude towards his colleagues is illuminated through the many changed and omitted passages. While the change of wording or omission of passage may seem at times for the sake of sparing his colleagues’ egos, some passages potentially offensive to other music theorists remained. In yet other cases, changed passages may seem even more inflammatory. This dissertation is a rich source capable of pushing forward a discourse for more critical observations of musical compositions. By that I mean that we discover in the original version how firmly Schenker believed in the idea that his theories were not one of several valid ways of viewing music, but rather THE way to understand and judge music. Furthermore, he saw his methodology as a way of approaching music composition so that the future of music and culture would be ensured. Schenker (and Kurth and Strauß) thought that their original epistemology would save human culture so that the “right” civilization would advance. This dissertation calls attention to Schenker’s imperative for the salvation of music and culture.

What can be learned from the changes and omissions stems from the various types apparently present. I have found there to be four main types of changes. The first kind of change features a slight change in wording that does not significantly change the meaning of a passage. An example of this type is found in Example 16, where “entspricht” (to

correlate to) was changed to “gleichkommt” (to be equivalent to). The second kind of change reveals a change in wording that alters the meaning of the passage (by toning it down or reconsidering a concept technically). This kind of change is shown in Example 91, where Schenker originally espoused that those who listen to music according to Rameau’s theories will not hear the rise of the third as a significant structural move (which is wrong) – he changes the wording to be slightly less offensive to other music theorists. A third kind of change is that of an omitted passage where a confusing section is removed. Example 125 shows where a confusing passage about the transformation of the minor dominant into the major dominant in the context of dividing dominant versus interruption was removed. Finally, the fourth type of change found is that where an omitted passage that clarifies or would likely have been otherwise beneficial is removed. An illustration of this type of change is found in Example 14, where the original version of the passage clarifies the issue of foreground events being misunderstood as changing the tonality of a piece. In the omitted passage Schenker gives examples and clarifies this point in much greater detail.

The issue of why the changes happened is a complex one. Schenker may have decided on a different wording in order to clarify his expression. Some of the passages may have been changed by an Universal Edition editor, by Jeanette Schenker, by Otto Erich Deutsch, or by someone else – to be sure, we do not know who Schenker’s UE editor was.<sup>1</sup> Perhaps Schenker would have been dismayed to learn of the exclusion of some of the passages that would have helped readers understand what he was talking about. I took on the task of remaining as true as possible to the cited passages with earnest sincerity. In service of this principle I have included scans of the original manuscripts for scholars to scrutinize with a critical eye. In my translations I have also ventured to represent Schenker’s ideas, expressed so idiomatically in German, in the English language. In order to ensure that the passages made sense in English I made compromises in choosing phrasing and sentence structure. I have a renewed appreciation for the difficulties faced by those translating Schenker’s documents, letters, and diaries – especially Oster, whose English translation of *Der freie Satz* was a *magnum opus*. After having compared his entire translation with that of the original German, I have a great deal of respect for the elegance and art of his process.

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<sup>1</sup> When I contacted UE to see if I could find out who Schenker’s editor for *Der freie Satz* was, they answered that they did not know.

Although it would have been useful to have included a complete catalog of all the omitted and changed passages, in order to limit the scope of this dissertation I have focused on passages concerning sections 1 and 2 (Background and Middleground) of *Der freie Satz*. In the future I plan to examine the passages changed and omitted from section 3 of the work. Additionally, I propose the need for a new critical edition of *Der freie Satz* in parallel columns, which presents both the original German (with the omitted passages noted) and English alongside each other. I feel this is the best way to gain a comprehensive understanding of what Schenker was trying to convey.

Additionally, more work can be done to examine the various versions of the manuscript for *Der freie Satz*. Schenker seems to have revised this work over the process of 15 years or more, which is reflected in the numerous versions of the work in the Oster Collection alone. Add to that the various versions in the Vienna Collection and there is a rich pool of versions just waiting to be critically reviewed. It was beyond the scope of this study to compare all the versions, but in cases where I did compare a passage from an early draft through the late draft and to the printed edition, the evolution of thought was revealed in a new and exciting way. It would be edifying to see a comprehensive study of passages traced in such a way.



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