PART ONE

Methodological Orientation

1 Harmonic progression

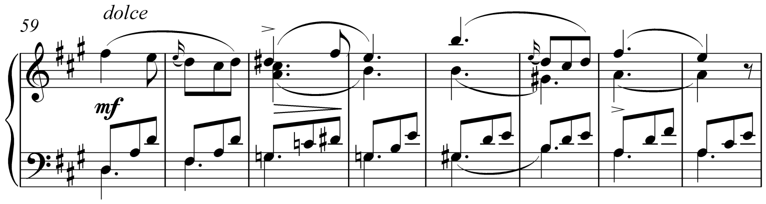
Tonicized keys and chromatic chords

Tonality's scope encompasses both local and broad relationships. The pitches in a phrase from the third movement of Schubert's early Piano Sonata in A Minor [**1.1**] form a local community. Their interactions establish D Major as a tonal center – as a *tonicized key* within the broader A Minor/Major tonality. The phrase traverses the tonal space from tonic D to dominant A. Though the movement is in the key of A, during these measures A is a subservient pitch. To persist in charting these chords' interactions within the movement's tonic key would be counterproductive. For example, the E minor chord of measure 62 functions as a supertonic in D Major, *not* as a dominant in A Minor. A careful analysis will assess both the inner workings of the D Major region and how D Major fits within the broader tonal scheme. (An exploration of the latter topic at present would take us beyond our current agenda.)

The phrase employs all seven of D Major's diatonic pitch classes plus three of its five chromatic pitch classes: C♮, D♯, and G♯. Since every pitch class is diatonic in fourteen of the twenty-four keys,[1] some analysts seek out contexts in which chromatic chords may be interpreted diatonically.[2] For example, Schubert's chromatic G♯ (measures 63 and 64) might be interpreted diatonically as $\hat{7}$ in the key of A Major, a notion embedded within the label "V/V" (the dominant of the dominant). I eschew that practice, instead deploying symbols that account for local transformative processes within the governing key. Here Schubert's bass G (measures 61 and 62), a diatonic member of D Major's supertonic chord, is chromatically inflected to G♯ in pursuit of the dominant root. The *harmonic* activity involves the connection of just two roots: E to A. To analyze the passage as

m.	61–62	63–64	65–66
D Major:	II	V^7/V	V^{6-5}_{4-3}

gives the misleading impression that three harmonic events occur and that the tonal center shifts from D to A and then back to D. I propose instead



1.1 Piano Sonata in A Minor (D. 537), mvmt. 3, mm. 59–66.

that a transformation occurs within the supertonic as the succession to V draws near:

	m.	61–62	63–64	65–66
		6	6 4 / 5 3	
D Major:		II♮ 8 ——	7 —— / ♯ ——	V 6–5 / 4–3

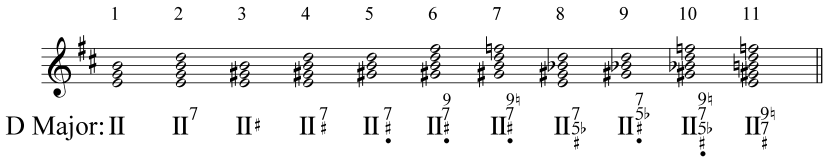
The alterations to the supertonic chord result in *dominant emulation*. Though the supertonic's transformed state mimics the construction of a V^7, the chord remains a supertonic.[3] An arrow may be used to acknowledge a fifth-relationship in which dominant emulation is operative (e.g., II→V or E→A).

The following guidelines should prove useful in interpreting analytical symbols such as those employed above:

(1) A Roman numeral corresponds to the scale degree of a chord's root within the prevailing key, indicated at the left edge of the row of numerals. (This analytical practice, extensively documented in *TAH*, began in the eighteenth century and was developed especially in German music pedagogy during the nineteenth century. It is often referred to by the German term *Stufentheorie*, or scale-step theory.) Capital Roman numerals are employed exclusively. Only chords with a harmonic function are so labeled. (Thus II proceeds directly to V: there is no intervening I in measure 65.)

(2) If the third above a root is modified, the corresponding accidental is placed to the right of the Roman numeral. In the II chord above, the third above root E is transformed from diatonic G♮ to chromatic G♯. The notation "♮——♯" acknowledges this shift. Diatonic and chromatic relate to the stated key – here D Major – not to the composer's key signature, which will seldom shift during a tonicization.

(3) Modifications to other chord members above the root are displayed via accidentals to the right of Arabic numerals corresponding to those chord members, counting upwards from the root, regardless of the



1.2 The II family of chords in D Major.

inversion in which the chord appears. An absent root is indicated by a bullet symbol (•).[4]

(4) For the II chord of measures 61 through 64, the symbol "8——7" indicates the stepwise descent to the chordal seventh. The prolongation of a harmony may involve several stages of transformation. Typically a chord becomes more dissonant and more chromatic over time.[5] If a seventh is present in a chord from the outset, the number 7 generally will be placed to the right of its Roman numeral.

(5) A chord's positioning – root position, first inversion, etc. – is indicated using conventional figured-bass numbers placed *above* the Roman numeral (just below the bass pitches if a score or reduction is provided).[6] Often such numbers will be omitted even when a chord is inverted if that information is not germane to the topic under discussion.[7]

The most common variants of II in D Major are displayed in **1.2**. Alterations include omission of the root, raising of the third, lowering of the fifth, and the addition of a seventh or ninth. In measures 62 and 63 of **1.1**, Schubert proceeds from Chord 1 to Chord 4 (both inverted).

Whereas other analytical systems offer a hodgepodge of incommensurable symbols (ii, V/V, vii°7/V, Ger+6, etc.) that mask the functional commonality among similar chords, here the label II is shared by all chords built on the same root, with adjustable components to the right of the numeral noting the chord's specific constitution. This composite symbol will always be formulated in terms of the chord in root position, even when the root is absent. In general, a chordal variant will be referred to not via a name such as "Chord 8" or "French augmented sixth chord," but through the unique combination of symbols that appears to the right of the Roman numeral.[8] A chief asset of this notation is that *chordal evolution* from one variant to another (a pervasive feature of Schubert's music) can be precisely and efficiently charted, maintaining a single parent-chord designation (here II) to the left of the symbols that indicate the shifting chordal constitution (here $\frac{8\text{–}7}{\flat\text{–}\sharp}$).

The chromatic chord in measure 61 has a complex derivation. Its potency results in part from the clash of two distinct entities. Bass G announces the arrival of the supertonic (in first inversion), secured only in the following measure.[9] None of the other pitches of measure 61 assist G in its mission. Instead D♯-F♯-A-C♮ extends the opening tonic. A *5–6 shift* (for example, D-F♯-A to D-F♯-B) is a common means of facilitating the connection of two chords whose roots form an ascending second.[10] The procedure fosters a gradual changeover of pitch content and avoids the potential hazard of parallel fifths:

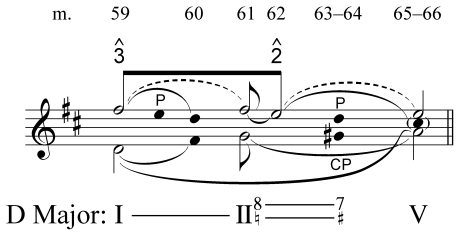
	A	–	B	–	B
	F♯	–	F♯	–	G
	D	–	D	–	E
D Major:	I^5	———	^{6}		II

In this context the D-F♯-B chord (either in $^6_3$ position or *unfurled* into $^5_3$ position) may be referred to as tonic's *6 phase*, rather than as VI, to emphasize its voice-leading genesis and the hierarchical relationship with its parent *5-phase* chord. However, in a process that I call *assertion*, the 6-phase chord may come to life, undergoing transformations like those we encountered in the II chord on its way to V. In the context under discussion, the pitch B is transformed from a voice-leading anticipation into a chordal root. The resulting entity is tonic's *lower-third chord*. That status is acknowledged by a Roman-numeral label within parentheses, as follows:

D Major: I^5 ——— ^{6} II.

(= VI $^{9\flat5}_{7}$)

Since the B→E succession (leading to II) parallels the E→A succession explored above, the B chord may be fashioned in an array of variants equivalent to those shown for the II chord in **1.2**. In measures 59 through 61, Schubert skips over B-D-F♯, the consonant, diatonic 6 phase of $I^{5–6}$, utilizing only its dissonant, chromatic variant D♯-F♯-A-C♮ (a transposition of **1.2**, Chord 7),[11] positioning it not *before* the arrival of II, as would be normative, but *in collision with* it.[12] A bracket is deployed above to indicate that two separate syntactic events are merged into the same moment in time. The bullet symbol indicates that root B is absent. This is an important point: *the 6 phase's eponymous 6 is not always present in a chord's evolved state*. Usually when Schubert employs a ninth, the root will be absent.



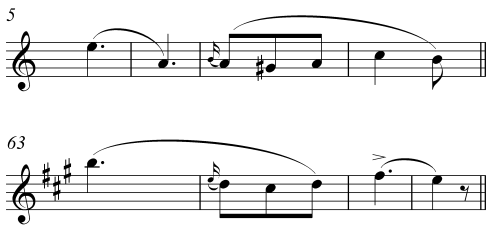
1.3 Analysis of Piano Sonata in A Minor (D. 537), mvmt. 3, mm. 59–66.

In an attempt to create a diatonic context for as much of the chromatic content as possible, many analysts would employ Roman-numeral labels conceived not only in relation to D, but also in relation to E and to A, as in

m.	59–60	61	62	63–64	65–66
D Major:	I	vii°7/ii	ii	V7/V	V

My analysis instead embraces chromaticism within the governing key as one of the principal devices of chordal evolution. The entire phrase is in D Major, even though some of its chords contain pitches that are not diatonic within the key. Though the VI and II chords are transformed so as to emulate dominants, only one chord within the phrase *is* a dominant. In my view analysts who deploy an "applied" V (or vii°) label for tonic's asserted 6 phase and for the major supertonic confuse chordal function and chordal quality. The term "dominant emulation" and the arrow symbol (→) that I advocate allow analysts to acknowledge certain types of chordal evolution without losing sight of a chord's non-dominant function within its broader context.

Schubert's voice leading is a bit quirky. As the phrase begins, a descending melodic third emanating from the initial F♯ is followed by a reinstatement of F♯ during measure 61 [**1.3**]. F♯'s successor E (measure 62) seems to be the starting point for a similar prolongational strategy: D (measure 64) is a descending passing note that, prodded by the diminished fifth formed with G♯, we expect will lead to C♯. Yet C♯ does not occur in this register. E is reinstated (measure 66), but the E>D>. . . line simply peters out. (Observe that C♯ does occur in a lower register in measure 66.) Later, in a varied repetition of the phrase transposed to E Major, the descent succeeds conspicuously in reaching the leading tone, D♯ (measure 135). The high B of measure 63, which punctures the broader F♯>E ($\hat{3}$>$\hat{2}$) melodic descent displayed in **1.3**, may be understood as an inner voice temporarily hoisted to the top of the texture. That melodic contour has a strong unifying impact,



1.4 Comparison of Piano Sonata in A Minor (D. 537), mvmt. 3, mm. 5–8 and 63–66.

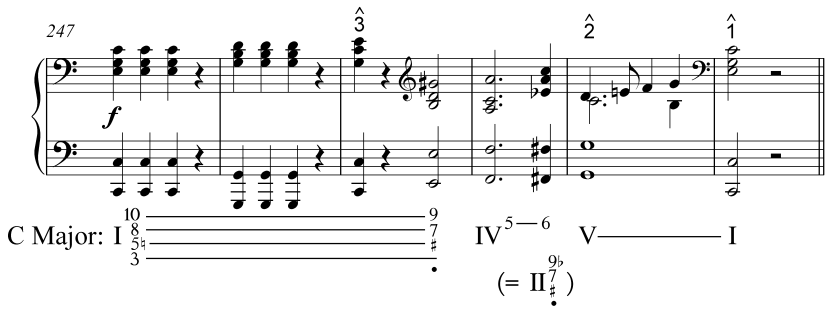
for it mimics thematic material from early in the movement [**1.4**] and goes on to become a pervasive feature of measures 71 through 110.[13]

Finally, we should acknowledge that in pursuing a harmonic analysis we sort out pitches that perform a local embellishing role, giving most subsequent attention to the remaining structural pitches. Though E in measure 59 and C♯ in measures 60 and 64 would be missed if omitted, their role is not structural. Likewise, D and F♯ in measure 65 are embellishments. Though tonic chords do occasionally appear in second inversion, the chord of measure 65 does not function as a tonic. Instead it consists of the dominant root (A, in two registers), a suspension (D), and a neighboring note (F♯, in two registers). Depending on the level of detail warranted in a given analysis, passages such as measures 65 and 66 may be labeled as V^{6-5}_{4-3}, or simply as V. Numbers to the right of a Roman numeral always refer to intervals above the *root*. To acknowledge the second inversion of a dominant chord, one would instead place the $^{6}_{4}$ figures *above* the numeral.

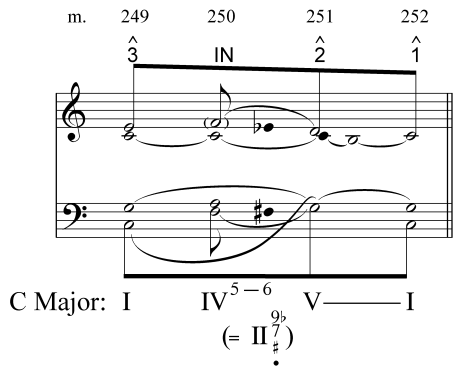
Context determines function

"Hagars Klage" is one of Schubert's earliest surviving compositions. The confidence and creativity displayed therein signal that its composer was no ordinary teenager. A keyboard interlude [**1.5**] reconfirms a cadence that has just occurred. C Major's $^{E}_{C}$ third is traversed at two levels: as a space-opening ascent to $\hat{3}$ (C<D<E) within the initial tonic expanse, and as a third-progression (E>D>C) that shapes the entire excerpt. The latter is marked in both **1.5** and **1.6**. After $\hat{3}$ and after $\hat{2}$ Schubert extends the melody upwards, bringing pitches that reside in the interior of the basic structure to the top of the texture: G♯ above $\hat{3}$ in measure 249; A and C above $\hat{3}$'s implied neighbor F in measure 250; G above $\hat{2}$ in measure 251.

In a major key, the I<V span typically incorporates either II or IV. The passage from the Piano Sonata in A Minor [**1.1**] follows the path I<II<V,



1.5 "Hagars Klage" (D. 5), mm. 247–252.



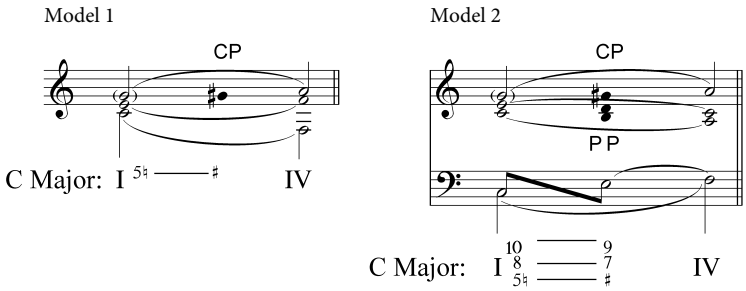
1.6 Analysis of "Hagars Klage" (D. 5), mm. 249–252.

while the passage from "Hagars Klage" proceeds as I<IV<V. In both cases a 5–6 shift facilitates the internal ascending-second root succession:

D Major:	I5–6	II	V
C Major:	I	IV5–6	V

In "Hagars Klage" IV's 6 phase (F-A-D) is represented by the potent chromatic variant F♯-A-C-E♭ (measure 250). This chord's relationship to IV is identical to that of D♯-F♯-A-C♮ in measure 61 of the sonata to the preceding I.

The I chord in a I–IV succession is susceptible to dominant emulation similar to that which often enlivens II in a II–V succession. In the Piano Sonata in A Minor [**1.1**], II (E-G-B) is transformed through a raised third (G♯) and an added minor seventh (D). For the I chord in "Hagars Klage," a similar state of emulation would result from the addition of B♭. That does not occur, however. Schubert chooses a different means of propelling the



1.7 Models for the connection of I and IV.

root succession of an ascending fourth: he raises the chord's fifth, thereby emulating an augmented dominant.[14] Here soprano G♯, emanating from a G lower in the texture, passes chromatically to IV's A [**1.7**, Model 1]. The construction becomes more complex as I's diatonic seventh and ninth are engaged, passing downwards to IV's third and fifth, respectively [**1.7**, Model 2]. As often happens when the ninth sounds, Schubert omits the chordal root [**1.5**, second half of measure 249]. E behaves as a tonic chord's major third ought to behave: it ascends by half step to the root of IV. There is a danger of losing track of the foundational C<F ascending-fourth succession. Many analysts would label this chord as $V^7_♯$/VI, an interpretation that unjustifiably makes the IV chord that follows seem out of place, a "deceptive" resolution of its predecessor. Depending upon its context, an E-G♯-B-D chord might in fact resolve to an A chord, in which case E functions as its root. If it instead resolves to an F chord, then it may be appropriate to interpret E as a chordal third.[15] Here E-G♯-B-D functions as tonic's chromaticized *upper-third chord*,[16] an entity that may precede, follow, or represent a harmony rooted a third lower. Whether or not a pitch such as this E asserts itself as an independent structural root is an important analytical question.[17] Too often the casual application of a Roman-numeral label (such as $V^7_♯$/VI here) claims such an assertion when the composer may have had no such intention. As mentioned earlier, chordal evolution generally works in the direction of increased chromaticism and increased dissonance. Particularly as the ninth is added, the chord may well become overburdened. One should not regard the root as sacrosanct: it is in fact the pitch Schubert is most likely to jettison in such situations.

Third-related chords both below and above a principal chord occur frequently in Schubert's music.[18] Thus two prominent generative principles have been introduced at the outset of this study: lower-third chords come about through a 5–6 shift; upper-third chords come about through the