HARMONY IN THE SONGS OF HUGO WOLF

DISSERTATION

Presented to the Graduate Council of the
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By

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The songs of Hugo Wolf represent the culmination of the Romantic German Lied tradition. Wolf developed a personal chromatic harmonic style that allowed him to respond to every nuance of a poetic text, thereby stretching tonality to its limits. He was convinced, however, that despite its novel nature his music could be explained through the traditional theory of harmony.

This study determines the degree to which Wolf's belief is true, and begins with an evaluation of the current state of research into Wolf's harmonic practice. An explanation of my analytical method and its underlying philosophy follows; historical perspective is provided by tracing the development of three major elements of traditional theory from their inception to the present day: fundamental bass, fundamental chords, and tonal function. The analytical method is then applied to the works of Wolf's predecessors in order to allow comparison with Wolf.

In the investigation of Wolf's harmonic practice the individual elements of traditional functional tonality are examined, focusing on Wolf's use of traditional harmonic functions in both traditional and innovative ways. This is
followed by an investigation of the manner in which Wolf assembles these traditional elements into larger harmonic units. Tonal instability, rapid key shifts, progressive tonality, tonal ambiguity, and transient keys are hallmarks of his style. He frequently alters the quality of chords while retaining the function of their scale-degree root. Such "color" chords are classified, and their effect on harmonic progression examined. Wolf's repetitive motivic style and the devices that he employs to provide motion in his music are also discussed. I conclude by examining Wolf's most adventurous techniques—including parallel chords successions, chromatic harmonic and melodic sequences, and successions of augmented triads—and the suspension of tonality that they produce.

This project encompasses all of Wolf's songs, and should be a useful tool for Wolf scholars and performers, students of late nineteenth-century music, the music theorist, and for anyone interested in the concept of harmony as a stylistic determinant.
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CHAPTER 1

INTRODUCTION TO THE STUDY

The songs of Hugo Wolf have long been regarded as the culmination of the Romantic German Lied tradition. Wolf's position in the history of the Lied rests firmly on his genius for representing poetic ideas through musical means. His songs are often described as the ideal synthesis of music and word, the perfect blend of declamation, melody, and harmony.\(^1\) In this regard Wolf is often credited with having developed an innovative and intensely personal harmonic style. Although Wolf is viewed as a successor to Schubert and Schumann in the lineage of the German Lied, his harmonic practice is usually mentioned in its relationship to that of Richard Wagner, whom Wolf idolized and whose major creative efforts lie in immense and grandiose music dramas rather than the more intimate realm of the art song.\(^2\) Wolf was intrigued and influenced by Wagner's musical language, and no doubt patterned much of his own harmonic

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technique after that of Wagner. As with any great composer, however, Wolf did not merely write in the manner of another; rather, he took elements from this and other sources to forge his own unique style.

Wolf's music was attacked by many of his contemporaries for its progressive, chromatic harmonic style; to this charge he responded:

The fact that I have been accused of perpetrating chains of unresolved discords leaves me wholly unmoved, for the simple reason that I am in a position to demonstrate how each of my boldest discords can be justified by the most severe criteria of the theory of harmony.3

Three important facets of Wolf's musical style and philosophy may be gleaned from the foregoing statement: (1) that Wolf's harmony contains features that are intrinsically new and that lie beyond established convention ("my boldest discords"); (2) that Wolf's innovative and individualistic style is characterized by avoidance of traditional resolutions of dissonant harmonies ("chains of unresolved discords"); and (3) that Wolf believed his harmonic language was an outgrowth and extension of earlier compositional practice, and one that still might be explained in traditional terms ("justified by the most severe criteria of the theory of harmony"). These ideas raise questions that have not been addressed directly in previous studies of

3From a letter to Emil Kauffmann, as translated by Eric Sams, The Songs of Hugo Wolf, 4.
Wolf's songs, questions that provide the impetus for the present study: How does Wolf treat the various elements of traditional harmonic progression? What are the effects of Wolf's innovations on harmonic progression in general? To what extent may Wolf's harmony be understood and explained by traditional harmonic theory?

The present study proposes to determine the degree to which Wolf's statement is an accurate assessment of his harmonic style by addressing these issues. It will be demonstrated that Wolf's innovative techniques are found more in the combination of a series of chords into a harmonic phrase than in the connection of individual chords. While it is true that there are many passages in Wolf's songs that present difficulties for a traditional, "common-practice" analysis, his basic tonal language is firmly rooted on traditional chordal relationships and voice-leading patterns. It is not so much the vocabulary of Wolf's harmony that is unique and innovative, but his grammar and syntax.

This last statement requires some explanation. Wolf constructs his music from the harmonic materials used by earlier composers, primarily the major, minor, diminished and augmented triads, the more common seventh chord varieties (the major-minor, minor-minor, major-major, diminished-minor and diminished-diminished seventh chords),
as well as the traditional augmented sixth sonorities. His music always rests on a tonal center, and the great majority of it is written in the major or minor modes. Wolf uses sonorities that are basic to the common-practice era; through traditional functional relationships, he groups these sonorities around a tonal center. Yet the structures he fabricates from these building blocks are distinctly different in overall effect than those of his predecessors.

Wolf's style of Lieder composition encompasses innovative developments in several parameters of compositional technique. Wagner's influence is seen in Wolf's declamatory manner of text setting, which immediately sets Wolf's works off from others of his time. Wolf's disjunct and relatively independent melodic style is uniquely his own; his melodies are often angular and seemingly unidiomatic for the voice, placing significant technical demands on the singer. Wolf subjugates music to

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4This method of classifying seventh chords will be used throughout the document. The first qualifier refers to the quality of the triad, and the second to the quality of the seventh. These may be abbreviated as follows: "M" for major, "m" for minor, "d" for diminished, and "A" for augmented. In addition, the diminished seventh chords will be distinguished by the terms "half-diminished" (diminished-minor) and "diminished" (diminished-diminished).


text to a degree attained by no previous composer, both in following speech rhythms and in pictorial depiction.7

The present study focuses primarily on one aspect of Wolf's style; namely, his harmonic language. The goal of this investigation into Wolf's music is to determine, define, and demonstrate the fundamental principles governing harmonic motion and the resulting form under which a Wolfian song takes shape, and to compare these principles with those governing music in traditional harmonic practice.

Hugo Wolf and his Songs

Hugo Wolf was first and foremost a composer of songs. In addition to several early piano pieces and other instrumental works, his few mature works in genres other than the song include a string quartet in D minor (1878-1884), the symphonic poem Penthesilea (1885), a Serenade in G major for string quartet (1887)—later transcribed for orchestra as the Italienische Serenade--, and the opera Der Corregidor (1896).8 Wolf, like Schubert, aspired to be an opera composer, but managed to bring only one such work to fruition. Wolf never mastered the larger forms required by instrumental music, and worked best when using a text to

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7See the numerous textual/musical studies discussed under "Other Wolf Studies" below, pp. 19-40.

8The present study does not include orchestral and choral arrangements that Wolf made of his songs.
shape his music and to provide a stimulus for his creative process.

Wolf's compositional process was erratic; he was given to sudden fits of creative energy separated by long periods in which he wrote nothing. Eric Sams provides a succinct summary of Wolf's unusual musical career:

Born 13 March 1860 in Windischgraz, Austria (now Slovenj Gradec, Yugoslavia); given violin and piano lessons at an early age; was a music critic in Vienna from 1884-1887; early in 1888 suddenly found himself as a composer; and composed in that year only nearly one hundred songs in rapid succession. These are among the few biographical details that Wolf himself sanctioned, in a letter to a friend (2 May 1890, to Oskar Grohe), which he ended by saying 'God grant me a long life and plenty of good ideas!'

This is a tragic irony. To complete the summary biography:

1888-91: over 200 songs to words by Mörike, Eichendorff, Goethe, Geibel, Keller and Heyse.

1892-94: silence.

1895-97: an opera (Der Corregidor), another thirty or so songs, an unfinished opera (Manuel Venegas).

1897-1903: madness - death.

Wolf's creative life was among the shortest and most sporadic known to musical history. He did not achieve mastery until he was twenty-eight. In the nine years left to him his songs were written in irregular outbursts, at the rate of one, two, or even three a day. These days add up to less than six months; the main creative periods add up to less than eighteen months. On the achievement of this short span his name and fame rest secure.9

Wolf had a discriminating literary taste, and would absorb himself in the works of a single poet or collection

at a time. He would read each poem over and over until a musical setting was suggested. Wolf did not compose cycles in the traditional sense, but created massive collections of songs on texts of the same author that contain a series of relatively independent musical compositions: **Gedichte von Eduard Mörike** (53 songs, published 1889), **Gedichte von Joseph v. Eichendorff** (20 songs, published 1889), **Gedichte von J. W. v. Goethe** (51 songs, published 1890), **Spanisches Liederbuch** (44 songs on largely anonymous Spanish texts translated by Paul Heyse and Emanuel Geibel, published 1891), and **Italienisches Liederbuch** (46 songs on largely anonymous Italian texts translated by Paul Heyse, published 1892-1896). Other, smaller collections include: **Sechs Lieder für eine Frauenstimme** (six songs, published 1888), **Sechs Gedichte von Scheffel, Mörike, Goethe und Just. Kerner** (six songs, published 1888), **Alte Weisen: Sechs Gedichte von Keller** (six songs, published 1892), **Drei Gedichte von Robert Reinick** (three songs, published 1897), **Drei Gesänge aus Ibsens Das Fest auf Solhaug** (three songs, published 1897), **Vier Gedichte nach Heine, Shakespeare, und Lord Byron** (four songs, published 1897), and (Wolf's last completed works) **Drei Gedichte von Michelangelo** (three songs, published 1897).  

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10 These collections will be referred to throughout this document, respectively, as the Mörike songs, the Eichendorff songs, the Goethe songs, the Spanish songs, and the Italian songs.
1898). These collections contain the 245 songs published during Wolf's lifetime. A further 69 early songs have been collected and published posthumously, bringing the total number of songs currently published to 314.\textsuperscript{12}

Biographical information on Wolf is readily available in standard sources,\textsuperscript{13} yet for our present purpose it will be useful to summarize what is known of Wolf's theoretical training. Many studies by various scholars have examined the details of Wolf's life and the genesis of his musical compositions, but despite this close scrutiny, relatively little is known of Wolf's formal training (or lack thereof).\textsuperscript{14} As with many great composers, Wolf was highly intelligent but undisciplined, and rebellious towards all things he considered pedantic. After attending (and being removed from) a series of secondary schools as a youth, Wolf

\textsuperscript{11}These smaller collections will be referred to by their full titles unless the texts contained therein are all by the same author, such as the Keller songs (Alte Weisen: Sechs Gedichte von Keller), the Reinick songs (Drei Gedichte von Robert Reinick), and the Michelangelo songs (Drei Gedichte von Michelangelo).

\textsuperscript{12}All of the songs that remained unpublished during Wolf's lifetime will be referred to here as the "unpublished songs." Many of these early songs were deemed unworthy of publication by Wolf, who in fact destroyed some of his manuscripts. Other manuscripts have been lost or are fragmentary, making an exact count of the total number of songs Wolf wrote during his lifetime impossible.


\textsuperscript{14}See "Other Wolf Studies" below, pp 19-40.
was accepted by the Vienna Conservatory where he studied harmony with Robert Fuchs (in the same class as Gustav Mahler) and, later, composition with Franz Krenn.15

Unfortunately, Wolf's years at the Vienna Conservatory (1875-1877) are relatively blank for historians; virtually nothing is known about the theoretical training he had there other than the odd comment in a letter or one of his diaries, or through the reminiscence of an associate. For example, Frank Walker recounts the following story:

Unable to progress in the harmony class as fast as he wished, Wolf used to sit at the Vinzenberg's piano for hours on end, striking successions of chords, and when he discovered a novel way of resolving a discord, used to call out into the living-room: 'Anna, Anna, another resolution!' and play it over to her a dozen times in succession.16

15Fuchs apparently wrote no textbooks on the subject of harmony and composition, but Franz Krenn published a brief self-instruction manual entitled Generalbass- (Harmonie-) Lehre zum Selbstunterrichte (Vienna: Tobias Haslinger's Witwe und Sohn, 1845).

16Walker, Hugo Wolf, 20. This process apparently remained important for Wolf: Walker also reports (p. 143) that Wolf "always liked to work out his ideas at the keyboard when composing." Wolf wrote a strong statement to this effect in a letter to his sister Adrienne Wolf (dated September 10, 1895) concerning a potential visit and the arrangements he would require:

You wrote to me with regard to the piano, that I could not have one in my room. I must, however, have the piano in my room, because I require it for my work. Without a piano in my room, it absolutely will not do.

Wolf's frustration at the pace of his harmony class, combined with his resentment of being forced to work elementary exercises for his composition teacher, led Wolf into a confrontation that broke his ties with the Conservatory:

The pedantry of Professor Krenn was becoming irksome to [Wolf], and he was no more ready to submit to a systematic course of instruction now than he had been in the earlier stages of his schooling. He came to imagine that his progress was being retarded in the routine of the Conservatoire, and one day he announced to the director that he was leaving the establishment, where he was forgetting more than he was learning. For this piece of impertinence he was officially expelled . . .

Thus was Wolf's formal music training ended.

We have no way of knowing how much of the traditional theory of harmony Wolf absorbed while at the Conservatory. Given his attitude, it seems likely that he did not learn as much as he could have during his brief time there. Wolf did, however, possess an intimate knowledge of a large body

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meinem Zimmer haben könne. Ich muss aber in meinem zimmer das Klavier haben, denn ich brauche es bei der Arbeit. Ohne ein Klavier in meinem Zimmer geht es absolut nicht.)

17Walker, Hugo Wolf, 43-44.

18This was Wolf's opinion of his experience at the Conservatory. Eric Sams omits a passage from the "biography" letter to Oskar Grohe cited above (see n. 9), which reads: "[Secondary-school] studies discontinued and entered the Vienna Conservatory, where I remained for a year and learned very little. Educated myself." (Hugo Wolf, Hugo Wolf's Briefe an Oskar Grohe, ed. Heinrich Werner [Berlin: C. Fischer, 1905], 18). (Studium unterbrochen und nach Wien ins Konservatorium, wo ich ein Jahr lang verblieben und sehr wenig erlernt. Mich selbst ausgebildet.)
of musical literature, and continued to study the works of other composers throughout his lifetime. He was well read in poetry, literature, and philosophy, and we have a few indications of a keen interest in books on music as well. In a small diary that he kept of his activities as a young man, Wolf records the following:

On Tuesday, 4th January 1876, taken for the first time to the Court Library by Herr Waldmann. . . . I took a Manual of Composition by Marx and studied it intently, which interested me very much. After we had studied from one o'clock till three, I went home with Herr Waldmann.19

A letter written in August of the same year refers to Berlioz's Treatise on Orchestration,20 and Ernst Decsey reports that Wolf had read Simon Sechter's Die richtige Folge der Grundharmonien "with interest."21 We do not know, however, what Wolf thought of these books, nor do we know at present what impact, if any, they may have had on his compositional process.


20Walker, Hugo Wolf, 40.

Wolf remained largely self taught, and his primary textbooks were the musical compositions of his predecessors and contemporaries. Wolf never attained the ability to handle larger forms successfully, and his works are rarely characterized by the motivic and contrapuntal development typical of these forms. Wolf's creative process was very sporadic, yet when the mood was right he would compose at a rapid rate. Despite these apparent drawbacks, Wolf developed a keen sense for interpreting a poem through music, and became a master of miniature musical composition. The songs of Hugo Wolf brought the German Romantic Lied tradition to its culmination, and obtained for him "a modest place among the immortals, in the hierarchy of musicians."  

Prior Research into Wolf's Harmony

Although Wolf's songs are held up as exemplary of the progressive nature of late nineteenth-century chromatic harmony, an extensive study and classification of his harmonic language in its relationship to traditional practice has not been done. The present investigation is intended to fill this gap. Only two studies of Wolf's music deal primarily with his tonal practice. Deborah Stein has recently published a revision of her Yale dissertation (1982) entitled Hugo Wolf's 'Lieder' and Extensions of

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22Walker, Hugo Wolf, 467.
Tonality. Stein approaches the subject from a Schenkerian perspective, and offers original interpretations of the extended tonal structures for which Schenkerian analysis (in its pure form) is deemed inappropriate. As indicated by her choice of title, Stein centers her study on certain large-scale tonal structures rather than surface-level harmonic progression, and her stated intent is not a full exposition of Wolf's harmonic technique: "This study will be neither a comprehensive examination of Hugo Wolf's songs nor an exhaustive survey of late-nineteenth-century tonal expansion." Her purpose is primarily twofold: to determine the extent to which Schenkerian analysis is applicable to "extended tonal structures," and to use Schenker's concept of tonal structure as a yardstick for measuring the degree of Wolf's tonal innovation.

The theoretical system of Heinrich Schenker was designed to provide a graphic representation of the paradigm of tonal structure upon which music of the common-practice era was based, and contains few provisions for the expansion of tonal practice found in music of the late nineteenth century.

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24Stein, Hugo Wolf's 'Lieder,' 1.
century.25 As Stein notes, Schenker himself did not apply his system extensively to Wolf, and his system must be modified in order to apply it in its totality to music beyond the common-practice era, and the music of Wolf in particular.26

For Schenker, all music of the common-practice era contains one, and only one, tonality (the concept of "monotonality"), while surface-level and middleground-level modulations are merely chromatic elaborations and emphases of diatonic scale degrees. Schenker maintained that music from this period constitutes a contrapuntal working out of its own basic tonality, symbolized at the most fundamental level by the Ursatz (the tonic-dominant-tonic progression represented by the descending Urline in conjunction with the 1 - 5 - 1 arpeggiation of the Bassbrechung).

Stein defines three major characteristics of Wolf's tonal structure which are innovative in light of Schenker's theories: the Plagal Domain, Third Relations, and Directional Tonality. By the "Plagal Domain" she refers to many of Wolf's songs which contain extensive emphasis of the subdominant area rather than the dominant emphasis required


26Stein, Hugo Wolf's 'Lieder,' 3-4.
by Schenker. "Third Relations" refers, of course, to Wolf's frequent use of third-related keys, often organized into symmetrical chains of thirds, while "Directional Tonality" refers to those songs which seem to begin and end in different keys. The problems these three "extensions of tonality" pose for Schenker's paradigm of tonal structure are discussed at length by Stein. In fact, Stein's work is as much a book about Schenker as it is a book about Wolf.

The present methodology differs somewhat from that employed by Stein. Rather than taking a particular system, determining its applicability to Wolf, and measuring Wolf's innovations by the precepts of a theoretical construct, the present analyses will attempt to find satisfactory means of explaining Wolf's harmonic language by drawing on whatever theoretical systems yield insight into the structure of the music. The present study also differs from Stein's in that for the most part it moves in a different structural stratum, centering on harmonic progression at a foreground level, on the motion of one chord to the next within a key, and on the connection of adjacent keys. Numerous references to Stein's study are made throughout the present document, and the reader is directed to her work for a fuller examination of large-scale tonal structure in Wolf's
songs.27 Other differences in approach and scope will be made apparent below.

The only other work devoted to an examination of Wolf's harmonic practice is a German-language dissertation of 1927, "Die Harmonik in den Liedern Hugo Wolfs" by Wilhelm Jarosch.28 Jarosch's study is divided into three parts; the first is concerned primarily with a theoretical ("systematic") investigation of Wolf's songs, the second with the relationship between text and music, and the third with Wolf's place in the history of music. Jarosch approaches Wolf's harmony by using Ernst Kurth's tension theory as a basis, with reference to Hugo Riemann's concept of Funktionslehre and the Harmonielehre of Rudolf Louis and Ludwig Thuille, as well as that of August Halm.29 Jarosch, drawing on Kurth, asserts that Wolf's music (and "Romantic harmony" in general) reflects a dichotomy between tonality as created by the natural tension (Spannung) inherent in the

27The current study is in no way designed as a reaction to Stein's work. For a perceptive critique, see Tim Howell, review of Hugo Wolf's 'Lieder' and Extensions of Tonality by Deborah J. Stein, Music Analysis VII/1 (March 1988), 93-99.


29Jarosch, 3. The works which Jarosch cites as authority are: Ernst Kurth, Romantische Harmonik und ihre Krise in Wagner's "Tristan" (Berlin: Max Hesses Verlag, 1923); Hugo Riemann, Handbuch der Harmonielehre (Leipzig: Breitkopf und Härtel, 1912 ed.); Rudolf Louis and Ludwig Thuille, Harmonielehre (Stuttgart: Carl Grüninger, 1913 ed.); and August Halm, Harmonielehre (Leipzig: G. J. Göschen'sche Verlagshandlung, 1905 ed.).
diatonic scale (with the most important tension being that of the leading tone) and those phenomena which tend to undermine tonality, such as transferral of the tension of the leading tone through chromaticism and the use of chords for their color-effect (Farbenwirkung) rather than function.30

Jarosch's discussion runs more to the philosophical than the practical, especially in his remarks on tension. For example, in discussing Kurth's notion that the third of all major triads contains a natural tendency (or tension) to act as an ascending leading tone to the following chord, and that the third of the minor triad tends to act as a descending leading tone, and the result of mediant relationships on these tendencies, Jarosch says:

If we ask ourselves, wherein the essence of a mediant chord progression actually exists, which has previously been designated as extremely important for the system of Wolfian harmony, so will we come to the conclusion that here, after all, the treatment of the third, thus those tones which would be understood as the driving, forward-leading, and relatively dissonant element in the triad, is decisive. And indeed in the following way: The mediant progression ignores the leading-tone requirement of the third entirely, in which it either does not continue at all, or (in the case of mediant progressions with non-diatonic roots) in the strictly opposite manner continues chromatically .... If the third remains as the same tone in the next chord (octave displacement by position change [of the chord] changes nothing in principle), thus the tone that had been the third takes the place of the root or fifth in the following chord; that is, its meaning [Ton-

30Jarosch, 57-58.
bezogenheit] will be changed, and therewith, naturally, also its scale-tension [Leitspannung] will be neutralized. In the case of mediant progressions whose roots do not belong to the same scale, something else other than the neutralization of the third occurs: this tone moves a half-step down, or up, in the opposite direction of its leading-tone tendency. That means, that it will be continued neither chromatically in the leading-tone sense, thus tonally determining, nor diatonically in the service of a functional progression; rather that the absolute pitch--functionally indifferent--will be changed a halfstep.31

While Jarosch provides enlightening glimpses into harmonic structure in his relatively brief survey of Wolf's harmony (such as the notion that the function of individual

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31Jarosch, 55-56. (Fragen wir uns, worin eigentlich das Wesen einer mediantischen Klangverbindungen, die für das System Wolf'scher Harmonik schon vorhin als ausserordentlich wichtig bezeichnet wurde, besteht, so werden wir zum Resultat kommen, dass da letzten Endes die Behandlung der Terz, also jenes Tones, der als das treibende, fort führende und relativ dissonierende Element im Dreiklang erkannt wurde, ausschlaggebend ist. Und zwar in folgender Weise: Die mediantischen Verbindung ignoriert das Leittonbedürfnis der Terz vollständig indem sie sie entweder garnicht, oder (bei Fortschreitung in die medianten mit nicht leitereigenem Grundton) in der strikt entgegengesetzten Weise chromatisch weiterführt .... Bleibt die Terz als der gleiche Ton dem nächsten Akkord erhalten (Oktavverschiebungen bei Lagenwechsel ändern prinzipiell nichts dabei), so nimmt der Ton, der früher Terz gewesen, im folgenden Klang die Stelle des Grundtones oder der Quint ein, d.h. seine Tonbezogenheit wird verändert und damit muss natürlich auch die Leitspannung neutralisiert werden. Bei der Verbindungen mit Medianten, deren Grundtöne nicht leiterreigen sind, aber ereignet sich ausser der Neutralisierung der Terz noch etwas: dieser Ton wird in der seinem Leittonbedürfnis entgegengesetzten Richtung um einen Halbton abwärts, bezw. aufwärts, gerückt. Das besagt, dass er weder im Leittonsinne chromatisch, also tonal determiniert, noch auch diatonische im Dienste einer Funktionsfortschreitung weitergeführt wird, sonder dass die absolute Tonhöhe--funktional indifferent--um einen Halbton verändert wird.)
members of a triad is subject to reinterpretation), the foregoing quotation demonstrates that he is only concerned with the immediate connection of one chord to the next; he does not deal with harmonic progression in a consistently systematic, contextual manner, nor does he employ a consistent analytical approach or system of notation. The present study, on the other hand, focuses on harmonic progression as a goal-oriented entity that cannot be separated from its structural context. Further, Jarosch does not present harmonic analyses of complete songs, as will be done here, only portions thereof.\textsuperscript{32} While Jarosch's attempted application of Kurth's tension-release theory to Wolf's songs is not without historical interest, the major value of his study for present-day scholars lies in his early attempt to investigate the relationship between the structure and emotional content of the text and its musical setting, and in his almost exclusive discussion of Wolf's influence on the following generation of composers, such as Hans Pfitzner and Max Reger.

Other Wolf Studies

The current state of Wolf research has recently been summarized in David Ossenkop's \textit{Hugo Wolf: A Guide to}

\textsuperscript{32}Another major drawback to Jarosch's work as it is currently available is that the musical illustrations and examples are almost entirely missing.
Research. Ossenkop's work is the most comprehensive research guide to the life and works of Wolf written thus far, and contains an exhaustive annotated bibliography covering primary and secondary source in many languages dating from 1890 to 1986 that should prove indispensable for future Wolf research. The reader is directed to Ossenkop's study for a vastly broader examination of existing Wolf research than may be presented here; the following discussion intends only to describe the various types of studies that have been done, and to summarize their more significant findings concerning Wolf's harmony.

Scholarship concerning Wolf may be divided into several categories: biographical and "life-and-works" studies, textual/musical studies, studies of Wolf's critical writings, and performance-project documents. Most of these works marvel at Wolf's chromatic technique at some point, but none are claimed or designed to be comprehensive studies of his harmonic practice. Of the biographical studies, Frank Walker's Hugo Wolf: A Biography is the most comprehensive and significant English-language work in the field, giving an intimate yet relatively unbiased account of the composer's life, philosophy, and creative process.34 A


valuable appendix to this work establishes a chronology for Wolf's music and gives locations for the original manuscripts. The other important biographical study in English is Ernest Newmann's *Hugo Wolf*, originally published in 1907. Ernest Decsey's *Hugo Wolf*, long the most authoritative text on Wolf's life and works, is still a valuable research tool, and among the first of many German-language Wolf biographies to appear in the first half of the century.

Of the numerous studies of Wolf's music, many have been written exclusively on his songs, with the majority of these focusing on Wolf's general style, his treatment of the piano, and his highly developed techniques of vocal declamation and musical representation of poetic ideas. Works of this type include Georg Bieri's *Die Lieder von Hugo Wolf* and Mosco Carner's *Hugo Wolf Songs*, in which harmony is

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scarcely discussed. Wolf's songs are organized into collections of various sizes which provide convenient bodies of literature for independent studies, such as Anton Tausche's *Hugo Wolf's Mörikelieder in Dichtung, Musik und Vortrag*. Tausche's work contains a descriptive summary of each of the Mörike songs, but offers very little information on harmonic or tonal structure. Others have taken the work of a single poet as a starting point for comparing Wolf's settings with those of other composers, such as Jurgen Thym's "The Solo Song Settings in Eichendorff's Poems by Schumann and Wolf" (see below). Wolf's method of vocal declamation has been the sole focal point of studies such as Rita Egger's *Die Deklamationsrhythmik Hugo Wolfs in historischer Sicht*. Performance-project documents comprise by far the largest body of recent Wolf research, centering on vocal techniques or performance problems, the relationship of text and music, or Wolf's treatment of the piano. The analysis sometimes found in these works is more

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40 Jurgen Thym, "The Solo Song Settings in Eichendorff's Poems by Schumann and Wolf" (Ph.D. diss., Case Western Reserve University, 1974).

descriptive than technical, and, in any event, is not comprehensive.

Those studies of Wolf's songs which demonstrate any analytical bent display a variety of approaches, yet most discuss harmony primarily as a means of pictorial text expression, an essential feature of Wolf's style. In fact, the relationship of text and music has been the basis of the majority of studies done on Wolf, in itself an indication of Wolf's mastery in this regard. This brief survey of existing Wolf research will conclude with a summary of the approach and results of several of these studies, primarily as regards Wolf's harmony.

Eric Sams' *The Songs of Hugo Wolf* is an invaluable companion to Wolf's songs, and is cited many times in the present document. All 245 songs published during Wolf's lifetime are provided with English translations and a brief commentary which should be of special interest to the listener or interpreter of Wolf's songs: "In the commentaries I try to describe each song, and, so far as possible in so brief a compass, to show the interconnection between the music and the poem."42 An introductory chapter seeks "to give some general account of the innumerable and complex ways in which Wolf responds to different aspects of a poem and to different kinds of poetry," and discusses

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Wolf's development as a song-writer, his creative method, and his means of text setting, declamation, melodic style, harmony, and keyboard accompaniment.\(^{43}\)

Sams' discussion of harmony focuses on its use to interpret a poem. His major analytical tools involve musical equivalents of "verbal associations and verbal concepts," by which he means associative keys and recurring motives that are tied to various textual ideas. Sams enumerates forty emotional states and other textual symbols (unrest, laughter, loneliness, night, etc.) that are consistently set with similar musical ideas (melodic, rhythmic, or harmonic motives, certain keys, etc.) throughout Wolf's songs. As regards harmony, for example, Sams finds that Wolf associates the augmented triad with powerful feelings ("pathos or bathos"), phrase endings on the dominant with textual questions, the diminished seventh chord with frustration or discontent, open octaves or fifths with emotional emptiness or transparency, readily identifiable cadential patterns with enhanced awareness or awakening, "horn" fifths with nature or freedom, and chromatic shifts between "unrelated" keys with mystery or magic.\(^{44}\)

\(^{43}\)Sams, The Songs of Hugo Wolf, 42.

\(^{44}\)Sams, The Songs of Hugo Wolf, 21-34. Sams also suggests (p. 29) that a harmonic progression such as that shown below is associated with narrative or reflective moods, although he quickly (and correctly) points out that
Sams' analytical method serves as the basis for Betty Smith Campbell's "The Solo Sacred Lieder of Hugo Wolf: The Interrelationship of Music and Text." Campbell centers on those Wolf songs that contain religious references, although her selection criteria are not exactly clear. After discussions of environmental, musical, and literary influences on Wolf, the Gesamtkunstwerk as a Romantic ideal, and Wolf's religious philosophy, Campbell explains her analytical method as an application and expansion of Sams' approach. She first lists Sams' musical equivalents of verbal associations and verbal concepts, and then adds her own. As regards harmony, the Sams/Campbell system finds that Wolf uses harmony:

(1) to enhance the emotive significance of words [emphasis hers] through choice of chord quality,
(2) to heighten stress or tension through momentary divergence in tonality from a well-established key or through a succession of dissonant chords, (3) to resolve tension by establishing a definite tonality after a succession of dissonant chords, (4) to project the overall mood or a change in mood of a poem or a phrase, (5) to establish and identify the emotional climax of the song, (6) to establish a

this progression is as much a Wolfian mannerism as it is a particular associative motive.

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sense of peace and repose through the delay or introduction or re-introduction of a major tonic chord, (7) to throw an idea or word into bright relief by the late introduction of the major form of a minor tonic, (8) to show contrast in characters or moods through the use of major/minor tonalities or chromatic/diatonic progressions, (9) for special moments in songs, as in the two single ninth chords in "Auf ein altes Bild," (10) for effects of chiaroscuro, as in "Karwoche," at the textual reference to the shadow of the cross moving across the earth. . . .

The writer finds that Wolf also uses harmony:
(11) to increase intensity through a quick succession of harmonic changes or through a succession of unresolved dissonant chords, (12) to achieve a balance of tension and release through an admixture of dissonant chords interspersed with major and minor triads, (13) to underline deep, intimate feelings through chords in close position, (14) to express feelings of expansion, (15) to suggest ambiguity, (16) to increase degree of intensity through a succession of dissonant chords, each one more dissonant than the preceding one, (17) to decrease degree of intensity through a succession of dissonant chords, each one less dissonant than the preceding one, (18) to increase animation through quick harmonic changes.46

Campbell then gives a descriptive analysis of each selected song, using the associations and associative patterns (motives) defined by Sams as well as those that she adds to his list. The musical examples are cited only, not actually given, and Campbell makes only occasional use of analytical symbols (Roman numerals) in the text. Campbell's primary concern is the interpretation of Wolf's songs as a performer, just as Sams is concerned with interpreting the song for the listener.

46Campbell, 23-24.
Georg Bieri also devotes a good deal of effort to uncovering associative motives in Wolf's songs, centering on those found in the piano part:

Various distinct possibilities are given from before Schubert's time for a composer who wishes to express the mood of a poem in the piano accompaniment. If he restricts himself to one fundamental mood [Grundstimmung], he will use the same motive throughout the entire song; if he wants contrasting verses to stand out from one another, he will accompany them differently thematically. Within these possibilities there is still large room for individual musical symbols [Tonsymbolik] to be created. In the majority of songs, Hugo Wolf restricts himself to one fundamental mood. Without deteriorating to stereotypes, one can readily set off several main types . . .

Bieri goes on to list nine categories of associative motives which may be found in Wolf's songs, most of which are rhythmic or melodic figures. These include a "wander motive," a riding motive, nature motives, motives which evoke serenade-like, Spanish, or oriental atmospheres, and motives which express various states of the soul.

Bieri's ideas on harmony are expressed in a section on piano

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47 Bieri, 175. (Für eine Komponisten sind verschiedene, schon vor Schubert ausgeprägte Möglichkeiten gegeben, wenn er die Stimmung eines Gedichtes in der Klavierbegleitung zum Ausdruck bringen will. Hält er sich an eine Grundstimmung, so verwendet er das gleiche Motive durch das ganze Lied; will er kontrastierende Verse voneinander abheben, so wird er sie thematisch verschieden begleiten. Innerhalb dieser Möglichkeit ist noch ein großer Raum für Tonsymbolik im einzelnen geschaffen. In der Mehrzahl der Lieder hält sich Hugo Wolf an eine Grundstimmung. Ohne der Schablone zu verfallen, kann man einige Haupttypen wohl herausheben . . .)

48 Bieri, 175-203.
accompaniments with "Impressionistic impact," where Bieri summarizes his view of Wolf's harmonic technique: "With Hugo Wolf, one may still . . . manage with the terminology of tonal (even if highly chromatic) harmony in analysis . . .."\(^{49}\)

A more comprehensive approach to analysis of Wolf's songs is found in Paul Charles Boylan's "The Lieder of Hugo Wolf: Zenith of the German Art Song."\(^{50}\) Boylan's study is divided into five parts, the first of which discusses the Brahms-Wagner controversy that raged during Wolf's lifetime, mentions Wolf's early training, traces the development of Wolf's creative process, and chronicles the creation of Wolf's song collections. The second part is entitled "Isolated Elements of the Style of Hugo Wolf as Reflected in the Műrikelieder;" these elements being associative patterns, tonality and harmony, formal structure, the setting of the poetic text, and the piano accompaniment. Boylan focuses on fewer associative patterns than either Sams or Bieri, and disputes their artistic significance:

\(^{49}\)Bieri, 183. (Bei Hugo Wolf kann man noch . . . mit den Bezeichnungen der tonalen, wenn auch schon hochromantisch durchbrochenen Harmonik in der Analyse auskommen. . . .) Bieri goes on to list the Eichendorff song "Die Zigeunerin," the Műrike songs "Agnes" and "Das verlassene Mädchen [sic]," and the Goethe song "Prometheus" as containing impressionistic progressions.

Both the authors just mentioned subscribe to what Eduard Hanslick would contemptuously call a "heteronomous" view of music: that is, specific emotions or affective states can be conjured up through a composer's manipulation of musical pitches. This attitude, highly questionable in light of much twentieth-century aesthetic theory, is of doubtful value in a critical and analytical study.

The fact that Wolf did, to some extent, associate certain melodic shapes, harmonic progressions, and rhythmic patterns with poetry of a certain consistency of mood, should not necessarily be viewed as a strength. Rather, this tendency might be assessed as a limiting factor in his ability as a composer, since his creative temperament was erratic and his composing processes were somewhat sporadic.51

Boylan defines five types of associative patterns in the Mörike songs, most of which involve melodic or rhythmic motives: (1) a descending chromatic melodic motion associated with melancholy or dispirited moods, (2) a "riding motive" employing a dotted rhythm (an expansion on Bieri's Rittmotive), (3) the "arbitrary linking" of songs through a recurrent musical device (Boylan's examples include primarily melodic links, although he mentions progressive tonality and the plagal cadence as additional links), (4) the association of "distinct manipulations of texture and register with poetry describing the fantastic" (such as an unusually high register in the piano accompaniment or gradations of textural density), and (5) the association of specific harmonic and tonal progressions.

51Boylan, 26.
with certain types of poetry.\textsuperscript{52} In this latter category, more important to our study, Boylan discusses Wolf's use of "freely juxtaposed" augmented triads in association with poetry "which might be termed melodramatic or mysterious," noting that the resulting tonal instability is reflective of the mood of the given poem.\textsuperscript{53}

Boylan provides a useful summary of Wolf's harmonic technique in a section entitled "Tonality and Harmony." Finding traditional analytical methods inadequate, Boylan proposes a system of Roman numerals that may describe not only primary chords (by which he means the diatonic triads) and secondary chords (under which he includes secondary dominants and the Neapolitan sixth), but also those chords he labels as "non-functional." The non-functional chords include those built on raised scale degrees and unusual chord qualities built on diatonic roots (such as major triads on 2 and 7 and a minor triad on 7).\textsuperscript{54} Boylan also defines three types of chromaticism in association with his harmonic system:

\begin{quote}
primary chromaticism (borrowing from the parallel modes), secondary chromaticism (non-diatonic chords functionally related to a central key [secondary dominants, etc.]), and non-functional chromaticism (chords which serve as enrichments of
\end{quote}

\textsuperscript{52}Boylan, 25-47.

\textsuperscript{53}Boylan, 43. Wolf's use of augmented triads in series is discussed in detail in Chapter 9 of the present document.

\textsuperscript{54}Boylan, 48-83.
the harmony with no functional relationship to a central key). 55

After devising his system of analytical notation and using it in several examples throughout the section on tonality and harmony, Boylan does not show his symbols in the subsequent analyses that make up the bulk of his work.

Although Boylan displays a depth of understanding into tonal structure in his examination of Wolf's songs, his true purpose in discussing harmony and tonality is revealed in the summary of this section:

Tonality and harmony play a crucial role in the music of Hugo Wolf. As demonstrated in the preceding discussion, tonality serves two functions: the first is that of delineating poetic structure through shifts in tonal focus; the second function, more general in nature, is that of providing a sense of motion which reinforces and complements the motion of ideas emerging from the poetry. Harmony also exhibits two important aspects: the first is that of generating relative stability or instability of tonal focus; the second is that of providing an immediate response to poetic ideas and nuance which emerges from the relatively expected or unexpected quality of harmonic progression. In summation, the flux and flow of harmonic progression and tonal focus are governed to a significant degree by the sense and meaning of the poetry. 56

Boylan's discussion of harmony and tonality thus focuses on their ability to reflect and reinforce the structure and meaning of the poem. This approach is also evident in the following section on formal structure in the

55 Boylan, 51-52.
56 Boylan, 83.
Mörike songs. Boylan defines three basic structural types:

"... Hugo Wolf was very responsive to the necessity of underscoring a poem with a musical structure which enhanced and reinforced the sense and mood of the poetry. His use of traditional partite designs was almost always modified to create the illusion of the design, but yet to reshape the design to be immediately responsive to the requirements of poetic declamation, mood, and sense. Also evident in the Mörikelieder, is Wolf's concern for imagining free structures which require the interaction of musical elements for cohesion and coherence. These freely designed musical structures always emanated directly from the poetry. The third general category of musical design used by Wolf is the through-composed structure. As demonstrated by the previous discussion, the consistency in texture and style, characteristic of this design, did not stop Wolf from musical manipulations which created the illusion of partite structure when the sense of the poetry demanded this. The genius of Hugo Wolf becomes clearly evident from his sensitivity and responsiveness to underscoring the poetry with a musical design which enhanced and animated the implicit structure of the poetry."

The relationship between text and music continues to be the focal point throughout the analyses in Part III of Boylan's work, which apply the principles derived from the Mörike songs in Part II to selected examples from Wolf's songs composed between 1888 and 1891 (thus excluding the unpublished songs, the second half of the Italian songbook, and several smaller, later collections such as the

57 For a further discussion of form, see also Reinhard Strehl, "Die musikalische Form bei Hugo Wolf" (Ph.D. diss., University of Göttingen, 1964).

58 Boylan, 105.
Michelangelo songs, although examples from each of these are mentioned on occasion). In a similar vein, texts set by Wolf that were also set by other nineteenth-century composers (Schubert, Schumann, and Brahms) are discussed in Part IV, allowing observation and comparison of each composer's style.

To date Boylan's work represents the most comprehensive study of Wolf's general style, even though he does not include Wolf's entire repertoire of songs. The relationship between text and music remains his central theme, and he approaches individual songs as unified structures consisting of numerous parameters, each of which is discussed. His individual analyses and commentaries are often referenced in the present dissertation.

The relationship of text and music is also the subject of a more recent study by Ellen Carole Bruner, who broadens the scope of her investigation to include Gustav Mahler as well as Wolf. Bruner discusses the setting of the poetic text, harmony and tonality, the piano accompaniment, and formal structure of the songs of both composers, and then compares the two. Her examination of Wolf's songs proceeds along much the same lines as those employed by Boylan, whom she frequently cites. In terms of harmony and tonality,

Bruner asserts that "Wolf's harmonies and tonal schemes reflect both the formal structure and the expressive content of the poetic text," and that "the lyric, epic, or dramatic nature of the poetry to a large extent determines the individual harmonic and tonal response." 60

When analyzing, Bruner makes occasional use of a Roman-numeral system similar to Boylan's, and refers to Schoenberg's concept of tonal regions in her discussion of modulation and key relations. Like Boylan, she investigates Wolf's use of harmony and tonality to reflect the organization and mood of the poem, appending a list of tonal devices that reads much like Campbell's:

In the area of lieder composition, Hugo Wolf epitomizes the desire to relate harmony and tonality to textual meaning and structure. His utilization of the full spectrum of late 19th century harmonic practices is most completely realized in his setting of dramatic texts. While harmony and tonality cannot express the specific emotive state described in any given poem, it can parallel and reinforce the tension projected by that emotive state through the use of tension-producing harmonic progressions. Wolf achieves harmonic tension in a number of ways: (1) by disruptive and irregular harmonic progression, (2) through the increased use of functionally ambiguous chords such as the augmented sixth and the diminished seventh, (3) through the addition of non-harmonic tones, (4) through an increased emphasis on linear counterpoint, (5) through the increased use of higher numbered chords - ninths, elevenths, and thirteenth, (6) through the deceptive, delayed, or non-resolution of tendency chords, (7) by means of non-confirmation of tonal areas, (8) by means of enharmonic modulations, modulations to remote and distant tonal areas, and

60 Bruner, 66.
by the free assumption [an expression also used by Boylan] of a new tonal area, (9) through the use of pedal point, and (10) through the use of harmonic sequence.  

Bruner elaborates briefly on each element in this list, citing numerous examples and providing several apt observations, but her discussion is summary in nature and uneven in quality. Although she speaks of irregular or disruptive progressions and deceptive, delayed, or avoided resolution of tendency chords, it is not her intent to expoit these fully, or to classify them categorically. For example, she groups many different irregular resolutions of the dominant seventh under the broad heading of "deceptive" resolutions, and in her section entitled "Augmented sixth chords, diminished and half-diminished sevenths," the "augmented sixth chords" to which she refers are actually augmented triads. Bruner also fails to demonstrate that the pedal point may be a "tension-producing" device, as it is designated in the list given above, but conversely finds that the pedal is frequently used to "establish a strong feeling of tonality" or to "retain reference to a tonal

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61 Bruner, 78-79.

62 Bruner's discussion of harmony and tonality is found on pp. 66-122.

63 Bruner, 85-87. While this might be a typographical error, the incorrect designation of augmented triads as augmented sixth chords occurs no less than seven times. The augmented triads in her example are not in first inversion, thus it is not likely that "augmented" is intended to be a modifier of "sixth chord."
center."  More appropriate is her observation that "Wolf often points to a particular tonal area without actually confirming it."  Bruner also notes that Wolf's ending of a song in a key other than the tonic "results from the composer's desire to parallel musical and poetic meanings rather than to present a tonally unified and closed entity."  

Bruner's study is a monumental undertaking, and its contribution lies in its comparison of the ways in which Wolf and Mahler approach setting a poetic text to music. She is only interested in harmony as it is used to reflect the content and structure of a poem, and, like Sams, Campbell, Bieri, and Boylan, makes no attempt to define or classify the norms of harmonic progression in Wolf's songs. Bruner provides excerpts from representative songs to support her points, but her analyses are largely descriptive, and she seldom makes use of any analytical notation. Among her more useful comments is the observation that Wolf uses tonal instability for narrative parts of a

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64 Bruner, 117-118. The tension to which she refers is not created by the pedal point but by those sonorities that are dissonant in relation to the pedal point. In other words, the pedal point remains the point of reference, and thus, in and of itself, not a source of tension.

65 Bruner, 109.

66 Bruner, 116.
poem, and a more diversified tonal scheme to reflect rapid progression of poetic ideas and imagery.67

Jurgen Thym's dissertation is also a comparative study of the song settings of two composer's, focusing on songs by Schumann and Wolf written to poems by Eichendorff.68 Thym devotes much space to the study of the poems as literature, and also to literary influences on Wolf. After a detailed discussion of Wolf's approach to song composition, Thym reaches the following conclusions:

Wolf's musical creativity depends to a high degree on inspiration from a literary stimulus; he considers poetry as the actual source of his music. High respect for the poet's intentions induces him to work toward an extremely close union between text and music. Wolf's literary approach to song composition leads him to tinge his settings with the semblance of reality through musical devices such as imitation of speech accents in the vocal part or descriptive figurations and motifs in the piano. The vivid musical portrayal of characters and of scenic surroundings in which these characters appear imbue Wolf's songs with dramatic qualities as found in operatic genres.69

Thym discusses various aspects of the Eichendorff songs in relation to Wolf's techniques of interpreting a poem: textual manipulation, illustrative devices, rhythm, harmony, parody, declamation, melody, and structure. Thym's thoughts

67Bruner, 67.

68Jurgen Thym, "The Solo Song Settings of Eichendorff's Poems by Schumann and Wolf" (Ph.D. diss., Case Western Reserve University, 1974).

69Thym, 248-249.
on illustrative devices echo those of Sams: "Wolf's musical language seems to have been particularly suited to the translation of verbal concepts into music." Thym summarizes Wolf's harmonic technique as follows:

Wolf's harmonic style is derived from the advanced tonal idiom of Wagner's Tristan and Parsifal. He applied to the song the rich harmonic resources Wagner had exploited in his music dramas. Chromatically altered harmonies, sharply dissonant chords, and rapid modulations (often enharmonic) are earmarks of Wolf's harmonic style.

Although Thym does not present any actual analysis, nor an analytical system, he gives several observations which are important to an understanding of Wolf's style. In discussing the song "Nachtzauber," the most complex work in the Eichendorff collection, Thym notes that Wolf approaches Debussy's impressionistic tonal idiom, but states that it is still possible "to interpret the harmonic events in terms of functional tonality" if one extracts "the harmony from the ascending and descending leading tones, which are interwoven in the chordal structure." In the Eichendorff songs in general, Thym finds that the harmonic style of a given musical setting corresponds to the Stimmung (mood concept) of the text, that harmonic ambiguity is used to depict textual uncertainty and mysteriousness, and that changes in

70Thym, 279.
71Thym, 293.
72Thym, 295.
harmonic style within a particular song may reflect changes in the emotional states characteristic of the protagonists of the poems; for example, rapid modulation to depict excitement as opposed to relative stability of harmony and text.73

Among the most recent studies of the relationship between text and music in Wolf's songs is Jean I. Haywood's The Musical Language of Hugo Wolf.74 Haywood presents descriptive analyses of six Mörike songs in which she traces three emotional states and their musical setting: (1) love of Nature and natural beauty ("Auf einer Wanderung and "Fussreise"), (2) religious devotion and serenity ("Gebet" and "Auf ein altes Bild"), and (3) sorrow when deprived of love ("Das verlassene Mägdlein" and "Verborgenheit"). Her approach does not involve a discussion of harmony in its own right; it is mentioned only as a means of text expression:

The musical language employed by Wolf contains techniques used by many other composers. Chords of the augmented fifth can be found frequently, usually at times of intense emotion. A chord such as G, B, D sharp for example, could have each note in turn as the tonic of a new chord--thus arriving at Wolf's favourite form of modulation, a succession of mediant keys. Intervals of the perfect fourth and perfect fifth, which convey a feeling of emptiness and pathos can be found. Chromatic harmony, cadential second inversions, altered chords, free suspensions and

73 Thym's discussion of harmony is found on pp. 293-303.

anticipations are all used with psychological insight in order to portray the emotions of his musical characters. Certain keys are associated with particular moods . . . . The chromaticism in Wolf's music, which was inspired by the music of Wagner, tends to make the key centre indistinct quite often as the framework of classical tonality is weakened by its employment.  

While Haywood touches upon several significant elements of Wolf's harmonic style in this statement, she does not pursue any of these concepts in a systematic or comprehensive fashion. For her, as for the majority of other Wolf scholars, analysis consists in describing the ways in which the structure and emotional content of the text are reflected in the music. She states:

In this perusal of a small selection of songs by Hugo Wolf, I have sought to adhere to the wishes of the composer; that in examining his musical language, the words must be considered to be of prime importance.  

**Purpose of the Study**

As demonstrated by the previous discussion, many studies have centered on the relationship between word and music in the songs of Hugo Wolf. My intent is quite different: the primary purpose of this research project is to determine the degree of harmonic and tonal innovation 

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75Haywood, 14-15.

76Haywood, 47.

77A forthcoming study in this area was unavailable at the time this dissertation was completed: Susaan Lee Youens, *Poetry and Music in the Songs of Hugo Wolf* (Ann Arbor, Michigan: UMI Research Press, in preparation).
that might be found in Wolf's music. With the sole exception of Stein's study mentioned above, prior studies do not pursue the effects of a particular device on the harmonic structure of the song in general. To be sure, this is not their purpose. For example, Jurgen Thym also quotes Wolf's statement that he could justify his music through the traditional theory of harmony,\textsuperscript{78} and goes on to say:

The question which concerns us here is not so much how Wolf's extended harmonic possibilities can be understood within the rules of traditional harmony but rather how the new devices are deployed as a means of interpreting a poem. The problem which is of relevancy to our study is: how does Wolf's rich harmonic language reflect the emotional values, as well as particular poetic images, of the text?\textsuperscript{79}

This statement epitomizes the current state of research into Wolf's harmonic practice, and throws into sharp relief the way in which the present study differs from previous ones. The question posed by Thym is vital to a proper understanding of Wolf's songs, and is one that forms an important part of this study. My purpose is to attempt to provide answers for the nagging questions that remain: What is the relationship between Wolf's harmonic language and traditional harmonic practice? In what ways do specific novel devices designed to depict certain textual ideas affect the overall structure of the work? What devices or

\textsuperscript{78}The quotation is found on p. 2 above.

\textsuperscript{79}Thym, 294.
techniques does Wolf use to provide musical coherence in his new harmonic language?

Wolf's music may be seen as a logical outgrowth of compositional principles employed by the previous generation of composers. Before discussing that which is new and different about Wolf's music, it seems appropriate to present some observations about the harmonic technique of earlier composers and about traditional harmonic theory in their relationship to the analytical method to be employed in the present document. These observations form the basis of the second chapter of this study, and serve as fundamental suppositions, the "theoretical baggage," of the investigation into Wolf's harmonic language.

Issues for Analysis

An important area to be investigated involves the changing role of the dominant chord. The dominant retains its primary function as the chord that most firmly establishes the centrality of the tonic in much of Wolf's music. One might be somewhat surprised to learn that the dominant chord appears with great frequency in Wolf's songs, perhaps even more frequently than in music of the common-practice era. The difference in Wolf's usage lies in the resolution of the chord. While the dominant chord has many possible progressions in traditional harmonic practice, it moves most often to the tonic, or less frequently to a
substitution chord of tonic function such as vi or IV₆, or
to another dominant-function chord indicating a different
tonal center. In Wolf’s music it is just as likely to move
to another scale degree as it is the tonic. In redefining
the role of the dominant as it is used by Wolf its various
resolutions are examined in detail in order to establish a
hierarchy of resolutions and the functional significance of
each. This discussion forms the basis of Chapter 3.

Traditional altered dominant-preparation chords such as
the Neapolitan sixth and augmented sixth chords are treated
in a similar fashion in Chapter 4. These harmonies are very
frequent sonorities in Wolf’s songs, and are used in a
variety of ways. Wolf’s use of the Neapolitan sixth remains
traditional for the most part, and the discussion of the
Neapolitan centers on ways in which Wolf expands on its
traditional function as a dominant-preparation chord through
irregular resolutions, altered qualities, and his extensive
use of the Neapolitan as a pivot chord. Wolf’s treatment of
the augmented sixth chord is much more varied and
innovative. The many unusual qualities that Wolf devises
for the augmented sixth are among his “boldest discords,”80
and yet most resolve in conventional fashion. Irregular
resolutions are examined in detail in light of their effect
on the traditional function of the augmented sixth chord.

80See n. 3 above.
The chapter concludes with a brief investigation of the augmented triad as a dominant-preparation chord.

The diminished seventh chord has traditionally been used as a substitute for the dominant. Its special structure permits numerous aurally indistinct enharmonic spellings, which makes it a valuable tool for modulation. Wolf's various uses of the diminished seventh chord are examined in Chapter 5, focusing on tonal shifts brought about through enharmonic reinterpretations. In addition, Wolf's different means of employing the so-called "common-tone" resolution of the chord are examined and classified.

Chapters 3 through 5 thus examine the individual components of traditional tonality and Wolf's treatment of them, while Chapters 6 through 9 investigate various aspects of harmonic progression that result from Wolf's often novel combination of these components. For example, tonal ambiguity is a major feature of Wolf's style. A large number of his songs begin without a clearly established key, and over the course of the composition an overriding tonal center gradually emerges. This technique has been called the "ambiguity principle" by Deborah Stein.81 Ambiguous passages frequently crop up in the midst of an otherwise clear tonality as well, most often in association with a certain poetic idea in the text. This issue raises several

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81 Stein, Hugo Wolf's 'Lieder,' 5-6.
questions: Is a sense of clear tonal center essential in Wolf's songs? What is it in his music that establishes a key? When is there clear establishment and when is there not? Does tonal ambiguity arise solely from attempts to express poetic or psychological effects through music, or might it also be a feature of Wolf's style in general?

Related to songs exhibiting tonal ambiguity are those songs that have a constantly shifting tonal center and a great deal of chromatic inflection. In this type of song virtually every chord is inflected with at least one tendency tone that creates motion toward the following chord. The result is goal-oriented music in which the goal changes constantly and a tonic chord is seldom heard. Many of Wolf's songs employ progressive tonality; that is, they end in a key other than the one in which they began. Wolf's frequent use of tonal ambiguity often makes difficult the process of distinguishing pieces that truly begin and end in different keys from those that merely do not express their tonic keys clearly at the onset. Other

82Wolf's debt to Wagner is most obvious in these songs, although they do not account for as much of his total output as is commonly thought. For example, Thym says "Wolf's harmonic style is derived from the advanced tonal idiom of Wagner's Tristan and Parsifal" (p. 293, cited above); Carner says "Where Wolf excels is as a harmonist of the late Romantic period, drawing on Wagner's rich harmonic resources" (p. 9); and Sams speaks of "Wolf's much-discussed and well-documented harmonic affinity with Wagner" (The Songs of Hugo Wolf, 10). See also Karl Heckel, Hugo Wolf in seinem Verhältnis zu Richard Wagner (Munich: G. Müller, 1905).
pieces are somewhat ambiguous at the end, concluding with what sounds like a dominant harmony. The questions of tonal instability, rapid key shifts, and progressive tonality are addressed in Chapter 6, while tonal ambiguity in general remains an issue throughout Chapters 6 through 9.

Upon looking at Wolf's music for the first time one is immediately struck with the impression that, to echo Hindemith's complaint, any chord may occur in any key, and that any chord may proceed to any other chord. On the other hand, one is also struck by a prevailing logic, a sense of unity in the movement of one chord to the next. Wolf does occasionally insert chords into keys in which they do not seem to belong, but these chords may usually be explained in functional terms. Those that may not seem functional are usually founded on a diatonic root, only

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83 Paul Hindemith, The Craft of Musical Composition, 2 vols., trans. Arthur Mendel (Mainz, London, New York and Tokyo: Schott, 1941-1942), II, 91. Hindemith's comment is directed at the traditional theory of harmony, which he considered to be too narrow:

In order to be able to include chords containing tones foreign to the scale of a key without abandoning that key, resort was had to the concept of alteration. Originally conceived to justify a few very common departures from the simplest tonality (such as the lowered sixth degree, and the Neapolitan sixth chord), this idea was expanded to shelter everything else that did not easily fit into the tonal structure, and the result was that such uncertainty and ambiguity were introduced into the system that the only rule that remained valid was: 'Any chord can occur in any key.'
their quality having been changed. For example, Wolf frequently places a major triad on the third degree of the major scale, a chord which is usually minor. Many times this chord functions as V/vi; other times it seems to derive its meaning directly from the original tonic. Chapter 7 of this document deals with these unusual chords, and attempts to determine how they function in relation to their surroundings, whether it be as an essential part of a fundamental progression, or as a decorative, coloristic effect.

In his later works Wolf shows a penchant for repeated progressions that create a rather static harmonic effect. These progressions seem to be of two basic types: the first consists of a tonic chord that alternates with another chord sharing a common tone, such as bVI, vii\(^{07}\)/V, or one of the augmented sixth sonorities; the second type of repeated chord progression consists of a dominant-preparation chord alternating with a dominant chord. The present analysis attempts to determine the effect of these static progressions on the overall structure of a song, and where they might appear within it.

Wolf's style is marked by his use of repeated rhythmic motives, with some songs consisting entirely of one repeated rhythmic pattern. These repeated patterns are often associated with recurring melodic and harmonic figures as well. In several songs Wolf creates a sense of motion in
spite of extensive repetition by moving the repeated pattern through a series of third-related keys. This is one method of avoiding redundancy within a relatively static setting, and yet another aspect of the curious blend of static and kinetic elements so characteristic of Wolf. The interaction of static and motion-creating devices such as these are discussed in Chapter 8.

Another tonal technique employed by Wolf is defined by Arnold Schoenberg as "suspended tonality." Suspended tonality arises within an otherwise clearly tonal passage when a stream of parallel chords of the same quality is introduced. In several of his songs Wolf introduces a succession of consecutive augmented triads, as, for instance, in "Das verlassene Mägdlein." Such a succession has the effect of "suspending" the tonal center while it runs its course, and usually has clear-cut tonal centers on either side. The function and effect of these passages are examined in their relationship to the harmonic structure of the song as a whole in Chapter 9.

A fundamental premise of this study of Wolf's songs is that their texts should be taken into account because Wolf's compositions were poetic-musical constructs from their very inception, and the two elements are inseparable. A danger

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exists in explaining musical events as representations of textual ideas, however. Such an approach can easily lead to the assertion that everything that happens musically in a Wolf song relates directly to the text. While some of its findings may be valid, this approach may also lead to untenable conclusions supported by reverse logic and cyclic thought: since textual idea "x" occurs at a given point, the accompanying musical ideas must be taken as interpretations of it. This is a convenient position, for it cannot be proven nor disproven. To have validity this type of analysis must support its claims through additional analytical questions: How does this musical device represent a poetic idea? Is this same musical device or idea used in other songs containing the same poetic idea? Is this particular device an extension of traditional means of expressing textual ideas, or might it exist for purely musical reasons?

The issue of structural unity is an important one in analysis of Wolf's music, and a difficult one to define using traditional approaches. Wolf's music gives the impression of coherence and unity, yet traditional theory does not provide an easy explanation of that coherence. In the absence of traditional tonal paradigms one must search for other unifying devices. The song "Seufzer" of the
Mörike collection is a good example. The mental anguish suffered by the penitent is depicted by the tonally incoherent musical introduction. There is only one chord in this 31-bar composition that clearly serves as a tonic, and this appears only in the last bar. During the remainder of the composition the tonal center remains unconfirmed. In compositions of this nature, aspects of harmonic technique other than tonal center must provide coherence and unity, for even though this song is disturbing in effect and structure, it is not chaotic. Its unity derives from repeated voice-leading patterns and sequential harmonic motions. These and other unifying devices constitute another important area of investigation in the present project.

In summary, I am primarily concerned with the two fundamental aspects of musical structure that are contained in most basic definitions of music: music has organization (even when seemingly random elements are the organizing feature); and music exists as motion in the dimension of time. My intent in examining Wolf's music is to shed light on his treatment of these two aspects of musical structure.

85"Seufzer" is analyzed in detail in Chapter 9.

86As pointed out by Eric Sams, Wolf's intense setting reads much more anguish into the text than is immediately apparent (The Songs of Hugo Wolf, 99).
Scope and Methodology

The complete body of Wolf songs is much too large to be discussed adequately in a single project. Although all 314 of Wolf's currently published songs were examined in preparation for the present document, a detailed written analysis of each song would require volumes of commentary and would likely cause the reader to become lost in a maze of detail. One must pick and choose, therefore, in order to render the subject more manageable. This may be done in several ways. One may choose examples bearing common characteristics from throughout Wolf's creative span, as did Deborah Stein. Another option is to focus on one of Wolf's collections and take the various characteristics found there to be representative of the whole. Either method has pitfalls; while there are common threads which bind his works together, each of Wolf's songs bears its own characteristic stamp. Wolf is a stylistic chameleon.

My approach is a combination of those mentioned above. I analyze the Italienisches Liederbuch in some detail as the centerpiece of the investigation, and bring numerous works from Wolf's other collections into the discussion where appropriate. In this manner I hope to reach some comprehensive conclusions.

There are several reasons for choosing the Italienisches Liederbuch. It is Wolf's last large collection, containing 46 songs, and thus provides a good-
sized body of literature which may be taken as representative of his mature style. The size of the individual compositions is another reason for selecting the Italian songs. The collection consists of short anonymous Italian poems translated into German by Paul Heyse. Since Wolf habitually avoids text repetitions and emphasizes syllabic, clearly-declaimed text settings, the resulting musical settings are much briefer than those of his other collections. The fact that the Italian songs are miniatures of musical composition makes them ideal for my purpose since more of them may be presented, and since their harmonic language differs in general from Wolf's other works only in its conciseness. All examples drawn from Wolf's works are reproduced in the present study, complete with the accompanying analysis, while some examples from the works of other composers are merely cited because of their length.
CHAPTER 2

THE ANALYTICAL APPROACH:
HISTORICAL BASIS AND RATIONALE

Considering Wolf's music in its relationship to traditional harmonic theory and practice poses the problem of choosing an analytical method that will yield useful results while at the same time remaining true to its own precepts. Pursuant to this goal, my analytical method is based primarily on compositional principles that may be deduced from the study of musical practice; I offer no mathematical, acoustical, or philosophical justification for the system of analysis. On the other hand, elements of the present analytical approach are derived from earlier theories of harmony, some of which were influential in Wolf's day: (1) the system of fundamental bass developed by Rameau, Kirnberger, and Sechter, (2) the system of fundamental chords as devised by Vogler and Weber, and (3) the concept of tonal function codified by Riemann.

The present analytical methodology is not based exclusively on any of these systems, but reflects the syntheses of many of their precepts that are characteristic of the modern theoretical and pedagogical tradition. Its basic principles are that each degree of the major and minor
scales may bear a triad and seventh chord, that each of these chords has a specific function in relationship to the tonal center, and that harmonic progression is governed by root relationships between successive chords and their functional relationship to a tonal center. Each of these principles will be considered from both a theoretical and practical standpoint to establish a view of traditional harmonic theory and practice with which Wolf may be compared. The discussion of traditional harmonic practice will center on basic principles of harmonic progression, common chromatic chord types, and modulation.

The Fundamental Bass

Most theoretical systems formulated since the time of Jean-Philippe Rameau (1683-1764) have been influenced in one way or another by his concepts of chord inversion and the fundamental bass. Although Rameau's theories were in a constant state of flux, primarily as regards the theoretical basis and justification of his system, throughout his life he remained convinced that his fundamental bass was an adequate explanation of the principles governing harmonic

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1Exceptions are found in the figured-bass treatises which continued to be written throughout the late eighteenth and early nineteenth centuries. In this connection, see William J. Mitchell, "Chord and Context in 18th-Century Theory," Journal of the American Musicological Society XVI/2 (Summer 1983), 221-239; and Robert Wason, Viennese Harmonic Theory from Albrechtsberger to Schenker and Schoenberg, No. 80 of Studies in Musicology, ed. George Buelow (Ann Arbor, Michigan: UMI Research Press, 1985).
progression, and that the foundation of the harmonic system is the dominant-to-tonic "perfect" cadence. Through his fundamental bass, Rameau established a hierarchy of the relative strengths of the various root movements: the descending fifth (most perfect), the descending fourth (or ascending fifth), the third, and finally the seventh (which should be avoided, and which Rameau inverts to obtain the second). Rameau believed that melody comes from harmony, and his view of the dynamic aspects of tonality may be seen in his assertion that only the tonic may bear a perfect chord (consonant triad); all other chords must contain a dissonance, the required resolution of which drives each successive harmony, subject to correct movements of the fundamental bass, toward the perfect cadence.

Rameau's fundamental bass and theory of chord progression was taken over and modified by Johann Philipp Kirnberger (1721-1783), whose primary contribution to music

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3Rameau, Treatise on Harmony, 333.

4Rameau's thoughts on tonality and harmonic progression are summarized on pp. 59-62 and 141-151 of Treatise on Harmony.
theory (for our purpose) was his distinction between essential (wesentlich) and nonessential (zufällig) dissonance. According to Kirnberger, a nonessential dissonance temporarily takes the place of a consonant tone within a chord. It must be prepared, and resolves over the bass tone with which it is dissonant. An essential dissonance (by which Kirnberger means the seventh), on the other hand, is a dissonance added to the consonant intervals of the chord, causing instability in the chord and requiring a different bass note over which to resolve. Equally significant is Kirnberger's distinction of the consonant and dissonant six-four: the consonant six-four may be introduced without preparation "and neither requires a specific progression or resolution," as opposed to the dissonant six-four which merely retards the five-three.

5Kirnberger's major theoretical work is Die Kunst des reines Satzes in der Musik, 2 vols. (Berlin and Königsberg: Decker & Hartung, 1771-1779), translated in part by David Beach and Jurgen Thym as The Art of Strict Musical Composition (New Haven and London: Yale University Press, 1982). A concise presentation of Kirnberger's principles, later known to have been written by his student J. A. P. Schulz, is Die wahren Grundsätze zum Gebrauch der Harmonie (Berlin and Königsberg: Decker & Hartung, 1773), translated by David Beach and Jurgen Thym as "The True Principle for the Practice of Harmony," Journal of Music Theory XXIII/2 (Fall 1979), 163-225. This latter document will be cited as "Kirnberger/Schulz." See also David Beach, "The Harmonic Theories of Johann Philipp Kirnberger; Their Origins and Influences" (Ph.D. diss., Yale University, 1974).


7Kirnberger, The Art of Strict Musical Composition, 71.
While Rameau and Kirnberger both employ a fundamental-bass system, each interprets the fundamental bass differently and each has a different means of defining and explaining the chords from which a harmonic progression is built. Rameau believes there are only two fundamental chords: the triad (major or minor) and the seventh chord (major-minor, minor-minor, major-major, diminished-minor, or diminished-diminished); all other chords are derivations of these. Rameau does not directly associate his fundamental harmonies with the scale degrees on which they may be found; in other words, he does not explicitly build a triad and seventh chord on each degree of the scale. The scale is not an important theoretical device for Rameau in the Treatise on Harmony; it is mentioned only after his harmonic system has been generated. In fact, Rameau derives the scale from the tones of the principal triads of the key.

Kirnberger, like Rameau, maintains that there are only two fundamental harmonies, the triad and the seventh chord; all other chords are derivatives of these. The harmonies Kirnberger includes under his two fundamental categories in his Die Kunst des reines Satzes differ from those enumerated by Rameau. In addition to major and minor, Kirnberger accepts the diminished triad as a consonance,\(^8\) which allows

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\(^8\)Kirnberger, *The Art of Strict Musical Composition*, 46-48. For further explanation, see also translator's note c, p. 47.
him to build a triad on every degree of the scale: "In a major key it is built on the seventh degree of the scale, and in the minor on the second degree." Under "essential seventh chords" Kirnberger lists not only the major-minor, minor-minor, major-major, and diminished minor, but also adds "the minor seventh with the major third and small fifth" (B-D#-F-A), or what is now called the "French" augmented sixth chord. In Die wahren Grundsätze, Kirnberger and Schulz list only four essential seventh chords, omitting the latter, and establish a hierarchy of seventh chords based on their distance from the tonic in fundamental progression by fifths:

The first seventh chord, which is formed above the dominant, prepares the tonic triad to which it leads directly, thereby effecting a complete rest. The second seventh chord [minor-minor] is less perfect because it cannot lead directly to the tonic triad, but first must go to its dominant [ii7 - V7 - I]. Yet it leads to a major cadence, and is therefore more perfect that the third seventh chord [diminished-minor], which leads in the same manner to a minor cadence [ii♭7 - V7 - i]. The fourth seventh chord [major-major] requires still one more progression before coming to rest [VI7 - ii♭7 - V7 - i], and is therefore the least perfect of all.

Although Kirnberger has a far different purpose in mind, merely demonstrating which of the fundamental seventh chords

10Kirnberger, The Art of Strict Musical Composition, 49.
are the more perfect, in this ranking and explanation of the seventh chords we find early traces of the notion that tonal function is governed not only by the relationship of successive roots in a harmonic progression, but also by the quality of the constituent chords. For Kirnberger, however, the intervals of the fundamental bass, rather than the diatonic scale, remain the governing principle in harmonic progression.

By limiting the number of possible root progressions, fundamental-bass theorists place themselves in the problematic position of having to explain those root movements that lie beyond their allowed progressions. For this purpose the theories of implied roots, multiple interpretations, and supposition were developed. Rameau defines the progression of the fundamental bass by the same principles with which he generates the major triad; thus the best progressions of the fundamental bass are those that duplicate the intervals of this triad: root movement by fifth and third. Rameau is forced to admit root movement by second as a necessary license (as in the deceptive cadence).

There are two further points of interest as regards this ranking of seventh chords. First is the absence of "the minor seventh with the major third and small fifth," which could not have been explained as part of a diatonic progression. Second is the change in the order of presentation of the four remaining seventh chords in Die Kunst and Die wahren Grundsätze from Mm-mm-MM-dm to Mm-mm-dm-MM, ostensibly to accommodate a ranking based on the distance of each quality from the tonic in a circle-of-fifths progression.
and the problematic progression (for theorists, at any rate) of IV to V is explained through his notion of double employment (double emploi). In keeping with his idea that each chord other than the tonic must bear a dissonance, Rameau adds the second scale degree to the subdominant triad. This subdominant discord (spelled F-A-C-D in C major) is subject to two interpretations according to its resolution: as a supertonic six-five (grande sixte) if it proceeds to V, or as a subdominant with added sixth (sixte ajoutée) if it goes to I. In both interpretations he selects the root that allows the fundamental bass to progress by fifth; in this particular case it is clear that harmonic context governs the interpretation of the chord. This is further evident in progressions such as I - IV - V, in which Rameau interprets the fundamental bass as 1 - 4 - (2) - 5, thereby interpolating the supertonic root. In this connection, Cecil Powell Grant notes that one is permitted "to imagine the simultaneous occurrence of both the sounded and interpolated bass notes," and that one may "adopt that which best suits the convenience of the progression at hand."  

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Kirnberger also prefers that the fundamental bass move by consonant intervals, leading him, as Rameau, to find a means of explaining away root movements by second. Although Kirnberger rejects Rameau's double employment, his solution obtains much the same result. In ascending step progressions the true fundamental of the first chord is not present, but its presence a third below the apparent fundamental is implied. Kirnberger employed the implied fundamental more widely than Rameau, as pointed out by Cecil Powell Grant:

In applying this technique to seventh chords, Kirnberger goes a significant step beyond Rameau, who could permit such an analysis only for simple triads.

... Whereas Rameau confines his use of the interpolated bass technique to relatively select cases, Kirnberger and Schulz apply this solution to a wide range of progressions ... 16

Although both Rameau and Kirnberger employ systems of fundamental bass and have basic chord categories that are similar, they have vastly different approaches to interpreting chords, with the essential distinction lying in their views on dissonance. Rameau relates all chords to two fundamental harmonies through the processes of inversion or

16Grant, 329. Grant distinguishes between an "implied" root, in which a root is not actually present but understood (for example, the diminished triad as an incomplete dominant seventh), and an "interpolated" root, which involves the analytical insertion of a chord not actually present in the score (as when the supertonic seventh is inserted between IV and V).
supposition. Kirnberger, on the other hand, makes use of inversion and his theory of nonessential dissonance.17

Rameau contends that all chords must be contained within the range of an octave above the fundamental; therefore, ninth and eleventh chords are explained through his theory of "supposition": an additional third or fifth is added below the fundamental sound, with this additional sound "supposing" (or "sub-posing") the true fundamental.18 The actual fundamental bass is the root of the original triad or seventh chord to which the supposed fundamental is added. Rameau invokes the concept of supposition to explain chords containing a suspension, believing that the suspension formula consists of two distinct fundamental harmonies: the chord in which the "suspension" occurs, and the chord of "resolution." For Kirnberger, the suspension formula contains but a single fundamental harmony, a tone of which is temporarily displaced through the suspension.

The theory of fundamental bass fell into disuse from around the turn of the nineteenth century until its revival in the middle of the century by the Viennese theorist Simon Sechter (1788-1867):


18Joan Ferris suggests "sub-pose" as the better translation of supposition ("The Evolution of Rameau's Harmonic Theories", 236).
After Kirnberger, and his student J. A. P. Schulz . . . the idea was essentially dead. All that remained of it was the explanation of diminished seventh chords as incomplete ninth chords that can be seen in a few theorists, such as Weber and Marx. The new breed of theorists began to see the essence of harmony embodied in the leading tone; to them the fundamental bass was useless.

. . . Sechter's "rescue attempt" was the reintroduction of the limited version of Rameau's fundamental bass, in which the only allowable fundamental progressions are by third or fifth.  

Sechter goes farther than Rameau and Kirnberger in his use of the interpolated root, and applies this concept to progressions that descend by second as well as those that ascend. The ascending progressions by second are viewed as the sum of a descending third and a descending fifth, while descending progressions by second represent the sum of two descending fifths.

The most important aspect of Sechter's theory (in light of the fundamental bass as found in Rameau and Kirnberger) is his contention that all harmonies are based on diatonic roots, either present or implied, and that chromaticism may

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19 Wason, 38.

20 Sechter's major theoretical work was Die Grundsätze der musikalischen Komposition, 3 vols. (Leipzig: Breitkopf & Härtel, 1853-1854); the first part of the treatise (Die richtige Folge der Grundharmonien) was edited and translated by C. C. Müller as The Correct Order of Fundamental Harmonies (New York: Wm A. Pond, 1880). Sechter's thoughts on the fundamental bass by second and the interpolated root (Zwischenfundament) may be found on pp. 47-50 of the Müller translation. For a detailed critique of Sechter's theories, see Wason, Viennese Harmonic Theory, 31-64.
only appear in the upper voices. Sechter's system is thus a Stufentheorie, or a "theory of scale degrees." His method of analysis consists in finding the diatonic root of each chord and determining its relationship (through the principles of fundamental bass) to the preceding and following chords. By doing so, Sechter creates a closer union between the fundamental bass and the diatonic scale than is found in earlier fundamental-bass theorists, and even accepts the diminished fifth as an allowable fundamental-bass progression in order to obtain a complete diatonic circle of descending fifths.

21 Sechter, The Correct Order of Fundamental Harmonies, 130 and 134.

22 The terms "Stufentheorie" and "Funktionstheorie" (or "-lehre") are frequently used to describe opposing nineteenth-century theoretical camps although the former term has been applied to theoretical approaches as disparate as those of Sechter and Gottfried Weber (see Wason, 33-34; see also further discussion of Sechter and Weber below). A clear distinction between the two schools of thought (Funktions- and Stufentheorie) is difficult to draw because each contains elements of the other. The heart of the issue lies in the theoretical bases of the respective systems: a Stufentheorie is founded on the diatonic scale and the relationship between its degrees, while a Funktionstheorie is founded on three tonal functions that are not governed by the scale (and that may even generate the scale). Carl Dahlhaus neatly summarizes the difference: "either ... the key is founded on the scale [Stufentheorie] or ... the scale is founded on the key [Funktionstheorie]." Harmony, The New Grove Dictionary of Music and Musicians, 20 vols., ed. Stanley Sadie [London: Macmillan and Co., 1980], VIII, 178.

23 Sechter's acceptance of the diminished fifth was attacked by his critics, primarily Georg Capellen, Ist das System S. Sechters ein geigneter Ausgangspunkt für die theoretische Wagnerforschung? (Leipzig, 1902). See Wason,
Although the fundamental bass as a distinct analytical tool did not survive the nineteenth century, the vast majority of subsequent theoretical systems have taken over several of its most basic precepts. The simplest and most pervasive of these is the concept of chord roots (Rameau's centre harmonique); that, for whatever reason, be it mathematical, acoustical, or perceptual, one tone within a chord is more important than the others. Second is the hierarchy of root movements (first established by Rameau) in which movement by fifth takes precedence over movement by third and second; and that this hierarchy constitutes a governing principle of harmonic progression. In addition, the influence of the fundamental-bass concept of implied roots can be seen in the fact that many theorists, past and present, interpret the leading-tone triad or seventh chord as a dominant chord with a missing root. The analytical stance taken in the present document does not forbid any root movement that may commonly be found in musical


24 The ranking of root movements varies widely from theorist to theorist, but the descending fifth always retains the highest place.

25 See, for example, Walter Piston, Harmony, 4th ed. rev. and enl. by Mark Devoto (New York: W. W. Norton, 1978), 309-310, where the fully-diminished seventh chord is known as the "incomplete dominant ninth."
practice, however, rendering the fundamental-bass theorists’ use of interpolated roots and multiple interpretations to explain root movement by second unnecessary.

Fundamental-bass theory does not recognize the entire chord as an important entity for analysis, only its root, and does not address the contextual relationship of the various scale-degree functions beyond that of the cadence. David Beach maintains:

But no matter how many (or how few) harmonies are shown in a fundamental bass, the problem of indicating the relative importance of the individual harmonies still remains. This is one major drawback in using the fundamental bass as a means of indicating the harmonic structure of a composition.26

This is true even of Sechter’s theory; although he places a triad and seventh chord on each degree of the scale and asserts that each chord must be founded on a diatonic root, in the final analysis he is interested only in the fundamental-bass tone and not the remaining members of the chord. Wason notes that chord quality is something which always remains unimportant for Sechter, just as it is unimportant in figured bass. For Sechter, analysis consists merely of the notation of chord fundamentals; the succession of the resulting diatonic roots is always the main issue.27

While lack of emphasis on contextual relationship to a tonal center is a weakness of fundamental-bass theory in general,


27Wason, 33.
Sechter's ideas prove useful in analyzing music of the late nineteenth century. As shown in Chapter 7, Wolf often uses altered chord qualities while maintaining a diatonic root. Sechter's concept of diatonic roots allows such chords to be understood with the context of the key despite the altered quality.

**Fundamental Chords and the Diatonic Scale**

The concepts that the chord as a whole is significant, that a key consists in a set of fundamental harmonies built on the various degrees of the scale, and that these harmonies serve not only to identify a key but may also establish it, appear early in the nineteenth century (prior to Sechter's *Grundsätze*) in the theoretical writings of Abbé Georg Joseph Vogler (1749-1814) and Gottfried Weber (1779-1839). Although it is currently common knowledge that Vogler was the first to use a system of Roman-numeral analysis, his contributions to the history of music theory have only recently been brought to light in this country through the efforts of Floyd and Margaret Grave.²⁸

was dissatisfied with the systems of figured bass and fundamental bass that were prevalent in the years preceding the turn of the nineteenth century, and sought a new means of explaining music:

Vogler's solution is to combine the principal advantages of fundamental-bass and thoroughbass approaches in his own system of reduction. As in a rigorous fundamental-bass system, the root of the chord is the foundation of the harmony, regardless of which note lies in the bass. But Vogler's notion of what constitutes the root of a chord is quite different from Rameau's: it is a scale degree, pure and simple, regardless of the quality of its third or fifth, and its location is determined by the context of the voice leading in accordance with the system of reduction.

The stable basis of Vogler's system, then, is not the perfect triad on one hand, nor the bass line on the other, but the tonal center represented by a scale. For Vogler, any given sonority may be explained in terms of its relationship to a scale-degree root within a key.²⁹

For Vogler, unlike Rameau, Kirnberger, and many others, there is only one fundamental harmony: the triad. All other chords are interpreted as triads through his "system of reduction" ("Redukzions-System"):

Reduction System signifies the instructional method, in which one can resolve all structures to a single and simple triad, and can rest assured that for every harmony that occurs, let it appear to be ever so complicated, a root with third and

salient facets of Vogler's theory as found in these treatises appears in Wason, 12-16.

²⁹Grave and Grave, In Praise of Harmony, 47.
fifth can be discovered, and that the third and fifth form a root-position chord.\textsuperscript{30} Vogler derives the fundamental major triad through string division, and, although he does not consider the seventh chord to be fundamental because the seventh division of the string (producing the Unterhaltungssiebente, or "supporting seventh") is not consonant, he builds a triad and seventh chord on each degree of the major scale.\textsuperscript{31} Vogler finds the "natural" scale that is derived from string division to be unsuitable for tonal music, but uses it as a model for a more suitable "artificial" scale that he constructs (as did Rameau) from the tones of three triads whose roots are a perfect fifth apart (becoming the tonic, dominant, and subdominant triads):

Having created his artificial scale from a conflation of three triads whose roots occupy the first, fourth, and fifth scale degrees, the theorist has no hesitation in building triads on all the other degrees as well. By analogy with the three primary chords, these additional triads are to be understood as fundamental, regardless of the size of their fifth. Unlike Rameau and his followers, Vogler does not shirk from regarding a triad whose fifth is diminished, such as B-D-F in

\textsuperscript{30}Vogler, \textit{Handbuch zur Harmonielehre}, 6. (Redukzions-System heisst das Lehrgebäude, wo man alle Gestalten auf die eine und einfache des Dreiklangs auflöset, und sich versichert hält, dass bei jeder vorkommenden Harmonie, sie mag auch noch so Kompliziert ausschen, ein Hauptklang mit Dritten und Fünften aufgefunden werden kann, und dass die Dritten und Fünften einen Stammakkord bilden.)

\textsuperscript{31}Vogler, \textit{Tonwissenschaft und Tonsezkunst}, 13-20. Vogler's string divisions are carried out on an eight-stringed \textit{Tonmaass} (tuned to F) rather than the traditional monochord.
C major, as a legitimate triad. He suggests that such a chord need not stand on its own acoustically. Instead, it acquires its fundamental status from the key in which it originates. Chords on all degrees of the scale, in other words, are understood as sovereign representatives of their key. This is the path of reasoning that leads Vogler to invent the system for representing chords that has since become standard: each degree of the scale is assigned a Roman numeral, which designates its function as a chord root within a key.32

From his experiments in string division, Vogler has determined that the perfect fifth is the strongest harmonic interval, that those triads related to the tonic by a perfect fifth up or down are the most significant and constitute the original cadences, and that "the rules for progression are inferred from this cadential quality [Schlussfallmassigkeit]." 33

Another important aspect of Vogler's theory is his concept of Mehrdeutigkeit,34 which he defines as follows:

The theory of Mehrdeutigkeit determines, once and for all, all possible situations in which either the ear experiences identical harmonies as being

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33 Vogler, Handbuch zur Harmonielehre, 31; translation from Wason, 14.
34 The term "Mehrdeutigkeit" has no true English equivalent. Grave translates the term variously as "multiple meaning" ("Vogler's Theory of Reduction," 49) and "multiple function" (In Praise of Harmony, 34). Wason prefers the term "plurisignificance," which he attributes to Bernhard Ziehn (150, n. 23).
dissimilar, or dissimilar [harmonies] as being identical.35

Vogler's definition distinguishes two types of Mehrdeutigkeit: (1) that which occurs when apparently identical chords occur in different functional contexts, for which Vogler demonstrates that a C-major triad may have several different functions (I in C major, III in A minor, IV in G major, V in F major and minor, VI in E minor, and VII in D minor); (2) that which occurs when chords with different spellings sound exactly alike (enharmonic equivalence).36

In Mehrdeutigkeit Vogler finds a vehicle for explaining diatonic and enharmonic pivot chords. His Roman-numeral system allows him to demonstrate that a chord may serve more than one function in relationship to different tonal centers, and thus provides deeper insight into the process of modulation (and harmonic progression in general) than earlier theoretical systems. Vogler's concept of Mehrdeutigkeit is perhaps his most significant contribution to music theory, and, as shown in the analyses presented in the present document, is an indispensable tool for

35Vogler, Handbuch zur Harmonielehre, 6. (Die Lehre der Mehrdeutigkeit bestimmt ein für alle Male alle möglichen Fälle, wo entweder dieselbigen Harmonien dem Gehöre wie verschiedene, oder verschiedene dem Gehöre wie dieselbigen vorkommen).

understanding harmonic structure in the late nineteenth century in general, and Wolf's songs in particular.

While chord quality is implicit in Vogler's system, he does not explicitly bind the quality of a chord to its tonal function. The premise that chord quality may influence and indicate a chord's function (other than simply that a dominant chord must be major) is expressed clearly for the first time by Gottfried Weber:37

One of the most important contributions to the development of harmonic analysis was made by Gottfried Weber (1779-1839). In the first volume of his Versuch einer geordneten Theorie der Tonsetzkunst (3 volumes, 1817-21), Weber introduced a new method of indicating fundamental harmonies. In place of figured bass, he proposed the use of roman numerals to indicate harmonies in their relationship to a tonal center. The advantages of this system over the fundamental bass are clear. First, the roman numeral indicates both the root of a chord as well as its relationship to a tonic. (The fundamental bass does only the first of these.) Thus the concept of harmony is related to that of key. Second, according to Weber's system, the roman numeral also indicates the type of chord involved. Upper and lower case numerals indicate the major and minor triads respectively, and a diminished triad is designated by a lower case numeral with the superscript °. Major and minor sevenths are designated by the subscripts 7 and 7 respectively.38


In addition, the key is indicated through its letter name: upper case for major, lower case for minor. Through his notational method, Weber recognizes that the quality of a chord on a given scale degree is fixed, and that the chord as a whole, not merely the scale degree on which it is based, has a diatonic function.

At the heart of Weber's theory is his concept of fundamental harmonies (Grundharmonien). He notes that the variety of chords is almost infinite, but all are related to seven fundamental chord qualities (the major, minor, and diminished triads, and the major-minor, minor-minor, major-major, and diminished-minor seventh chords):

To the seven principal species of harmonies above enumerated may be referred all the various combinations of tones that can occur in music. The sequel will show that every harmonic combination admits of being regarded as springing from one of these seven fundamental harmonies, and of being referred to one of them and explained as a modification of it, however varied and complicated it may appear; or, if there be a combination which can be referred to none of these species, it is one that always sounds repulsively to the ear.39

Weber's seven fundamental harmonies provide a complete explanation for the major diatonic system, which consists in seven fundamental triads and seven fundamental seventh chords, or fourteen fundamental chords all together. The minor mode poses difficulties, however, as it had for virtually every harmonic theorist prior to Weber, and

virtually every theorist since. The main stumbling block presented by the minor mode to most theorists is that it cannot be neatly explained by acoustical or mathematical manipulations, as can the major mode. Although Weber is not concerned with such manipulations, he is still faced with the problem of determining which harmonies are fundamental to the minor mode.

A diatonic minor system is difficult to pin down and classify because of certain voice-leading conventions traditionally associated with it. In fact, the theoretical tradition since Rameau contains not one, but three minor scales: the natural, the melodic, and the harmonic. The natural minor (or Aeolian) scale is a remnant of the older system of church modes, and exists mainly in theory during the eighteenth and nineteenth centuries.\textsuperscript{40} The compositional conventions followed by composers of the period, which we have come to know as "functional tonality," require a leading tone to the tonic, and thus the seventh degree of the "natural" minor scale is "raised." These same compositional conventions tend to avoid the augmented second as a melodic interval; therefore, the sixth degree may be raised as well to avoid the unwanted augmented second. These "chromatic" alterations create the "melodic" minor scale, so named because it arises from melodic

\textsuperscript{40}With the obvious exception of church music which continued to be written in the a cappella style.
considerations. The scale formed from the tones of the three principal triads of the key (which, as has been shown above, is a common means of scale derivation) results in the equally aptly named "harmonic" minor scale, which contains the augmented second between the natural sixth degree and the "raised" seventh degree.

The problem in speaking of a diatonic minor mode, then, lies in the fact that one must choose from among three possible scalar structures, which might lead one to wonder if such a thing as a "diatonic" minor scale truly exists. A quick glance at the triads formed from the "natural" minor scale (Example 2-1a) suffices to dispel any doubts that this

Ex. 2-1. Triads of the Minor Mode

scale cannot serve as a prototypical structure for harmonic progression in minor-mode music of the common-practice era. The most glaring deficiency of this scale is the absence of
one of the few undisputed necessities of functional tonality: there is no leading tone to the tonic, and therefore no major dominant and no leading-tone triad.\(^{41}\) The melodic minor scale solves the leading-tone problem, but also contains a raised sixth degree which alters the quality of modally important harmonies such as iv and ii\(^{o}\) (see Example 2-1b). It is in fact the harmonic minor scale that best represents harmonic function in the minor mode (see Example 2-1c).

For Weber, the harmonic minor scale reigns supreme:

Now, if we establish the definition: a scale or scale of a key is the collective mass of the tones which compose the three most essential three-fold chords [triads] of the key, and if we construct the scale of the small [minor] key on the same principles, the latter cannot, unless we abandon all pretensions to consistency, be constructed [on A] otherwise than with f and g# . . . \(^{42}\)

Given Weber's assertion that "All those fundamental harmonies belong appropriately to a key which can be

\(^{41}\)Again I turn to musical practice to support my contentions: one need only leaf through virtually any eighteenth- or nineteenth-century work in the minor mode to discover the importance of the leading tone and the major dominant chord for composers of the period.

\(^{42}\)Weber, *Theory of Musical Composition*, 265. In accordance with his rigid adherence to the harmonic minor scale, Weber proposes a new system of key signatures (p. 281) for the minor mode which include the leading tone, resulting in signatures containing both sharps and flats (for example, D minor would have both Bb and C# in the signature) and requiring that natural signs be used if necessary to fill in the traditional circle-of-fifths ordering of the accidentals in the signature.
composed of the tones of its scale," one might be surprised that the minor mode has only ten fundamental harmonies, as opposed to the fourteen of the major mode (see Example 2-2). 43 Weber offers the following explanation for this apparent discrepancy between the major and minor modes:

The small key, it is perceived, is considerably more meager in harmonies than the large key. The latter has seven three-fold harmonies belonging to its scale, each of which consequently has one of the seven notes of the scale for its fundamental tone; but a three-fold chord whose fundamental tone should be the third tone of the small scale, would be a monstrosity. In the small key of a, e.g., it would consist of the tones [c e g#]; but this would be a three-fold chord with a superfluous fifth, and such a fundamental harmony does not exist. Hence it comes to pass that the small key has one three-fold chord less than the large key.

The large key has, moreover, seven four-fold chords [seventh chords], one each on all the seven degrees of the scale; but in the small key there are three degrees of the scale which admit no four-fold chords appropriate to the scale as fundamental harmonies: not on the first degree, namely, because this would be a fundamental chord with a small third, large fifth and large seventh, as e.g. [A c e g#]; and such a chord does not exist; not on the third, as e.g. [c e g# b,] for there is no fundamental chord with a superfluous fifth;—not on the seventh, because that would necessarily be a four-fold chord with a diminished

seventh, as e.g. \([G\# B d f,]\) and such a fundamental harmony does not exist. Such combinations of tones as the following, do indeed sometimes occur, \([G\# B d f,] [A c e g\#], [c e g\#],\) and \([c e g\# b]\): none of these however is a fundamental harmony, but all of them are mere transformations of fundamental harmonies. If, on the other hand, the harmonies \([A c e g], [c e g], [c e g b],\) and \([G B d f]\) occur in passages in the small key of \(a,\) still these are not appropriate to the scale, but are modulations.\(^44\)

Weber's insistence on the harmonic minor scale leads him to exclude \(a \text{ priori}\) all chords containing the raised sixth degree or the natural seventh degree. Chords containing the raised sixth degree (\(ii, IV, vi^0\)) result from purely melodic (and therefore non-fundamental) considerations, and are viewed as alterations of fundamental harmonies. The exclusion of chords containing the natural seventh degree (\(III, v, VII\)) forces Weber to indicate a modulation to the relative major whenever these chords appear. In addition, all chords containing the leading tone, other than \(V, V_7,\) and \(vii^0,\) are not allowed as fundamental harmonies. The reason for the banishment of the chords in the latter category is not immediately apparent, other than Weber's repeated assertion that such fundamental harmonies do not exist. The answer lies in Weber's derivation of the fundamental chord qualities themselves:

\(^{44}\)Weber, Theory of Musical Composition, 287-288. Weber's listing of the fundamental harmonies in minor raises the question of whether his system may be rightly called a Stufentheorie, because the third degree of the scale may not be a chord root.
If we apply the above rather abstractly presented ideas and representations to our system of tones, we find that different species of three-fold and four-fold chords may occur in the series of natural tones.45

Weber goes on to enumerate the chord qualities which may appear in the "natural series of tones," resulting in his seven fundamental harmonies. By the "series of the natural tones," Weber means the white keys of the piano.46 The chords under discussion, therefore, cannot be fundamental because they cannot be played solely on the white keys of the piano; i.e., they require at least one accidental. This is true of the harmonic minor scale as well: it cannot be played solely on the white keys of the piano, nor can it be written without accidentals. The major scale, on the other hand, can be found in the "natural tones," and it may be further assumed that Weber does not wish to allow any fundamental chord qualities in the minor mode which may not also be found in the major mode.

Despite Weber's dogmatic assertions, the issue of diatonic triads in the minor mode remains unresolved because the sixth and seventh degrees are variable in musical practice, as noted by Sechter:

Are they not hypocrites, who purport to have great reverence for Bach, Handel, Haydn, and Mozart, and yet criticize that in which these masters are in complete agreement? Each of them used the sixth

45 Weber, Theory of Musical Composition, 166.
and seventh degrees of the minor scale in the natural form descending, and in the raised form ascending. But ever since Gottfried Weber preferred to see the seventh step always raised and the sixth step always natural, some respect the reputations of these masters less, and lament that they lived in a time when prejudice yet reigned. Some even flatter themselves that if these masters were still alive, they would also comply with the modern view.\textsuperscript{47}

Weber's strict adherence to the fundamental harmonies found in the harmonic minor scale creates as many problems as it solves, and, as with fundamental-bass theory's limited number of root progressions, demonstrates the inherent flaws of an over-particularized method of analysis.

In fairness to Weber, it should also be noted that, with the exception of the diminished seventh chord, the chord qualities he excludes were not frequent sonorities in the music of his day. The minor-major seventh on the tonic is virtually unheard of, while the augmented-major seventh on the mediant is scarcely more common. The augmented mediant triad is found most often in a nonessential role, with the third scale degree serving as a suspension or appoggiatura to the second scale degree within a dominant chord. It is relatively rare as an independent sonority. As for the more-common diminished seventh chord, Weber

\textsuperscript{47}Sechter, Neue Wiener Musikzeitung XXIV (May 22, 1856), 92, translated and quoted by Wason (Viennese Harmonic Theory, 51) after Walter Zeleny, Die historischen Grundlagen des Theoriesystems von Simon Sechter (Tutzing: Hans Schneider, 1979), 400. Sechter accepts the harmonic minor scale, however, as the most "natural" (The Correct Order of Fundamental Harmonies, 78-81).
believes that it is a dominant ninth chord with the root omitted, an explanation which can be traced back to Rameau's concept of implied roots.

Although Weber's minor scale contains a harmonic gap, his union of scale degrees and chord qualities leads him to formulate a definition of tonality (though he does not use the term) based on the chord as a whole and its relationship to a tonic. Weber makes no attempt to "prove" his theory of tonality by scientific means, but falls back, as always, on musical experience:

The question by what means the ear is determined to assume this or that harmony as the tonic harmony--by what means the perception of this or that key is awakened in it, cannot here be definitely be determined. It can only be said in general, that the ear perceives this or that key, according as it hears harmonies which in some way exhibit the appearance or convey the impression of belonging to this or that key.

That is to say, there are only certain particular harmonies which belong to any one particular key, and these, constituting as they do the family of the harmonies appropriate to a key, we denominate the peculiar or appropriate harmonies of the key.

Some, among these, exhibit a special alliance with the key, a very peculiar and intimate bond of connection with the tonic harmony, as their principal fundamental pillar; while others appear in a less close alliance with it.

The former are called the essential harmonies of the key [I, IV, V], while the latter are denominated its kindred or appropriate accessory harmonies, and also the proper accessory chords of the scale.48

Chord quality is of tremendous significance for Weber's system of harmony, yet it is the relationship of the various chords that make up his diatonic system that is of paramount importance:

Every harmony becomes more definite and unequivocal in its character and meaning by means of the connection in which it occurs in a musical composition, very much in the same way that an ambiguous word in a speech acquires a determinate signification by the connection of the discourse.49

A change in the quality of a chord, for Weber, requires a change in its diatonic interpretation, which he signifies in his analyses by showing a change of key. Weber again suffers from over-particularization, and subsequent commentators have taken him to task for his frequent key changes:

This points to a weakness in his system, namely, its failure to differentiate between actual modulation and the use of "secondary dominants" to stress important harmonies.50

Grave and Grave believe that Weber's emphasis on diatonic chord quality places too many restrictions on his analytical system (as compared to Vogler's). Vogler's "natural" scale


50Beach, "The Origins of Harmonic Analysis," 299.

Harald Krebs likely had Weber in mind (among others) when he asserted that "Nineteenth-century theorists generally regarded every modulation, however transient, as establishing a new key, and their analyses therefore came to look like bowls of alphabet soup." ("Alternatives to Monotonality in Early Nineteenth-Century Music," Journal of Music Theory XXV/1 [Spring 1981], 1.)
contained a fourth degree that was too high, leading him to accept a raised fourth degree as an extension of his "artificial" scale, thus obtaining a leading tone to the dominant and a built-in concept of secondary dominants:

. . . [For Vogler,] the functional designation of a given chord was relative and flexible: the succession #IV-V in major, for example, could be interpreted in a more local sense as VII-I. And the absence of symbols to specify keys meant that the structural significance assigned by the numerals remained open ended. The greater specificity of Weber's system, in other words, was achieved at the expense of the fluidity of Vogler's original concept.51

While these criticisms are justified, it is not Weber's system of harmony that is at fault; rather, it is his system of analytical notation. His notation shows no distinction between "tonicization" and "modulation," differing concepts of which he was very much aware:

. . . [if a modulation] still leaves the feeling of the foregoing key more or less impressed upon [the ear]; if it introduces the new key, not so much as a principal person, but rather only, so to speak, as a secondary or subordinate character, just to play a short scene;--such a digressive modulation is properly called an imperfect one or a half-digressive modulation. A case of this kind appears less like an actual and a formal deviation from the key, than as a slight allusion to a foreign key, as a transient digression, a mere momentary stepping aside into a foreign realm of tones, as a slight act of perfidy towards the previous key, as an episode briefly hinted at in passing. (Many call this species of digressive modulation accidental, and also transient.)52


Weber clearly distinguishes between a complete change of key (Ausweichung) on the one hand and a temporary excursion outside of the key (leitergleiche Modulation) on the other.

Weber's harmonic system and analytical approach had a far-reaching impact in the nineteenth century, and one which is still felt today:

Weber's approach to harmonic analysis had an immediate effect on other theorists. This influence grew steadily to the point where the use of roman numerals became an integral part of harmonic theory. One need only thumb through the standard textbooks on harmony published in the past twenty-five years to see this. In fact, one would find that, with few exceptions, there has been little change in the approach to harmony and harmonic analysis since Weber's time.53

**Tonal Function and Modern Syntheses**

The concept of harmonic function is one that may be interpreted in many different ways. For Hugo Riemann and other proponents of Funktionslehre, there are only three tonal functions: all chords must have either a tonic, subdominant, or dominant function. Riemann developed a rather complex set of analytical symbols designed to explain the chords that frequently appear in music of the common-practice era (and beyond) as belonging to one of these three categories.54 While Riemann's system is not frequently used

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54Riemann's mature Funktionstheorie may be found in his Vereinfachte Harmonielehre, oder die Lehre von den Tonalen Funktionen der Akkorde (London: Augener, 1893); translated by H. Bewerung as Harmony Simplified (London: Augener,
today in a pure form, elements from it may be found in almost any present-day harmony manual. The most important of these elements is his notion that all chords have one of three primary purposes, which has been reinterpreted in current harmonic theory to mean that (1) they may serve as tonics, (2) they may serve as dominants (those chords which most strongly define the centrality of the tonic), or (3) they may serve as chords that bridge the gap between tonic and dominant (variously called subdominant-function, pre-dominant, or dominant-preparation chords). My concept of tonal function retains this three-fold division while recognizing a greater autonomy for each individual scale degree than would Riemann. Tonal coherence within the diatonic key system of the common-practice era does not rest solely on three rather abstract "functions." Rather, it resides in the chord qualities found on the various degrees and the relationships between these degrees when used as chord roots in a harmonic progression.

Indeed, modern theoretical and pedagogical methods, while far from uniform, exhibit a rather curious blend of

traditional theoretical approaches when taken as a whole. Although a true synthesis of such systems is not possible, most modern harmony texts take the concept of scale-degree functions first found in Vogler and Weber, group these scale-degree functions into three basic categories of tonal function (tonic, dominant, and dominant-preparation) first found in Funktionstheorie, and rank the frequency and harmonic strength of various progressions by the relationship of successive chord roots in a manner first found in fundamental-bass theory. Despite the fierce polemics that raged in the eighteenth and nineteenth centuries, it should not be surprising that modern pedagogical methods have found the theoretical approaches of the most adamant antagonists to be somewhat compatible; after all, their systems were designed to explain various segments of the same basic body of musical literature. Carl Dahlhaus provides a neat summary:

The theories of function and of fundamental progressions, which are generally presented as alternatives, can in large part be understood as contrary but complementary. In the first place the distinction made by the theory of fundamental progressions between primary and secondary steps is certainly not stated as such by proponents of functional theory, but neither is it ignored or actively denied. And modern proponents of the fundamental progression, like Kurth, have not found the explanations attempted by functional theory superfluous; rather they find them too speculative on the one hand and too narrow on the other to do justice to all the functional differentiations between the degrees of the scale. In the second place it is obvious that the theory of fundamental progressions is primarily oriented
to early 18th-century harmony (namely to the harmonic model of the sequence of 5ths), while the theory of functions, in common with Riemann's doctrine of metre and rhythm, is developed from the music of Beethoven. It is thus to some degree not a case of competitive theories dealing with the same matter in hand, but of theses concerning different stages of a historical development. Third, the fundamental progressions described or reconstructed by that theory and the direct and indirect relationship of chords to the tonic conceptualized in the theory of functions are factors in composition that are perfectly capable of existing side by side.55

The Analytical Method and its Notation

The analytical notation used here consists of Roman numerals that indicate the scale degree upon which a chord is built, the quality of the chord, and its implied harmonic function. Major triads are indicated by an upper-case Roman numeral, minor triads by a lower-case Roman numeral, augmented triads by the addition of "+" to an upper-case Roman numeral, and diminished triads by the addition of "o" to a lower-case Roman numeral. Thus the symbol "V" designates not only a major triad built on the fifth scale degree, but also a chord having a dominant function, while the symbol "ii" indicates a minor triad built on the second scale degree and usually serving as a dominant-preparation chord. Although it is currently popular to criticize Weber's system and all subsequent systems of Roman-numeral analysis for showing only surface-level harmonic events and

55Dahlhaus, "Harmony," 186.
connections, primarily in comparison to the epoch-making
theory of tonal structure presented by Schenker, this
"weakness" makes such a system ideal for our present
purpose: examining harmonic progression in the songs of
Hugo Wolf in its relationship to traditional harmonic
practice.56

Any system of Roman-numeral analysis should, by
definition, be based on a set of fundamental harmonies built
on diatonic scale degrees. My concept of fundamental
harmonies does not depend on the acoustical and mathematical
superiority of the perfect fifth, and therefore need not
exclude the diminished and augmented triads a priori,
especially if these may be found in musical practice. I
share Vogler's opinion that a chord obtains its fundamental
status from the key to which it belongs: any tertian triad
that is founded on a diatonic root and that can be built

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56 This "weakness," pointed out by Beach ("The Origins
of Harmonic Analysis," 299), Grave and Grave (In Praise of
Harmony, 274), Wason (Viennese Harmonic Theory, 126), and a
host of others, may be alleviated through expanding the use
of Roman numerals to accommodate tonicizations and
modulations. For example, it has become common practice to
designate secondary dominants by symbols such as V/V (read
"V of V"), and, by extension, to place a series of Roman-
numeral symbols indicating secondary functions over a single
Roman numeral representing the secondary key (see, for
example, the discussion of "Secondary Tonal Levels" in
Robert Ottman, Advanced Harmony, 3rd ed. [Englewood Cliffs,
New Jersey: Prentice-Hall, 1984], 13-14). Finally, a Roman
numeral may replace the traditional pitch-name letter used
to represent keys within a composition, thus demonstrating
larger-scale harmonic structure and the relationship of all
keys to the tonic.
entirely from the tones of a given key constitutes a fundamental harmony.57

The problem of fundamental harmonies in the minor mode has not been solved to everyone's satisfaction, nor is it likely ever to be so. It seems that we are destined to have three minor scales and a continuing controversy, and yet a hierarchy based on the relative harmonic and tonal strength of the chords resulting from these different scales can be constructed. Chords containing the raised sixth degree arise from melodic, not harmonic, considerations, and are therefore designated here as chromatic variants of diatonic harmonics. The raised sixth degree merely changes iv and ii° into their major-mode equivalents (IV and ii), thus having little effect on their harmonic strength or functional significance. A chord built on the raised sixth degree (vi°), however, is not only rare, but has little harmonic value or functional significance of its own. It will normally function as a secondary dominant (vi°/bVII) or to effect a modulation (ii°/v).

On the other hand, chords that contain the leading tone (V, vii°, and the augmented mediant) have a great deal of harmonic significance in relationship to the tonic. When the leading tone is replaced by the subtonic, the resulting harmonies may lose their functional relationship to the

57See discussion of Vogler above.
tonic and tend to operate on a secondary level (towards the relative major).\textsuperscript{58}

For purposes of harmonic analysis, therefore, I accept as "diatonic" those triads that may be built from the harmonic minor scale while acknowledging the possibility that these harmonies may be altered in the service of voice leading, creating a part of what might be called an "extended diatonic system."\textsuperscript{59} The analytical symbols associated with each fundamental triad found in the diatonic major and minor scales are shown in Example 2-3. Because of the extensive modal interchange found in music of the nineteenth century, and because of Wolf's frequent use of altered chord qualities, it is beneficial to use symbols that indicate not only the generic scale degree upon which a chord is built, but also the particular modal variant of the scale degree and the quality of the given chord. To this end, simple Roman numerals are used to designate all chord roots derived from the major scale, while the modal degrees

\textsuperscript{58}While it may seem that I have the cart before the horse when the subtonic is presented as "replacing" the leading tone, this misperception is due only to the emphasis of a hypothetical "natural" minor scale in traditional pedagogy. As I have asserted, the natural minor scale with its subtonic degree is not the basis of functional harmonic progression. On the other hand, the natural minor scale is useful for understanding tonal structure on a deeper level because each of its major and minor triads serves as the tonic of one of the closely-related keys.

\textsuperscript{59}Other conventions of the extended diatonic system, including secondary dominants and the Neapolitan sixth and augmented sixth chords, are discussed below.
that distinguish the minor scale are prefixed by a flat sign (bIII, bVI, bVII). Thus, to present a hypothetical example, in relation to a tonal center of C, the symbol "bIII" would indicate an Eb-major triad, while "III" would indicate an E-major triad.60

![Diatonic Triads Diagram]

Ex. 2-3. The Diatonic Triads

It will be noticed that two fundamental harmonies have been placed on the third and seventh degrees of the minor scale. This results from the variable nature of the seventh scale degree in musical practice: contexts exist in which both chords on these scale degrees are used as fundamental harmonies.61 For example, if the major mediant (bIII) appears within the context of a modulation to the relative

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60 An E-major triad will normally function as V/vi in relation to a tonal center of C. The symbol "III" would be applied when the quality of the diatonic iii chord has been changed without a concomitant change in tonal function.

61 While the sixth scale degree is also variable, this variability has little effect on the function of the chords involved (see p. 89 above).
major, then it is best analyzed as the tonic harmony of the relative major and, as such, is no longer a mediant chord. If, however, the major mediant appears within the context of a minor-mode circle-of-fifths sequence, it is best analyzed as a major mediant.

The same is true of the major triad on the subtonic degree (bVII): if it appears in the context of a modulation to the relative major, then it is best analyzed as the dominant of that key, while in a circle-of-fifths sequence it is best analyzed as bVII. While bVII might be labeled V/bIII (and often functions as such), this designation also seems unnecessary in the circle-of-fifths sequence. In other words, in sequential passages the major subtonic and the major mediant are best analyzed as diatonic components of the key being expressed through the circle-of-fifths sequence rather than as components in a two-chord modulation to the relative major (as Weber would analyze them), or as a secondary function in the case of bVII (see Example 2-4).

Ex. 2-4. Mozart, Piano Sonata in F Major, K. 332, I
Chords containing the leading tone (vii° and bIII+) represent the other potential fundamental harmonies for the third and seventh degrees. While the leading-tone triad has been accepted by many theorists (see the discussion of Kirnberger, Vogler, and Weber above), there is a variety of opinion concerning the augmented mediant. Some theorists, usually those in the Stufentheorie camp such as Sechter and Vogler, have been willing to accept the augmented mediant in the minor scale.62 Eighteenth-century fundamental-bass theorists, with few exceptions, do not deny the existence of the sonority, yet do not count it among the fundamental harmonies.63 Rameau refuses to give "the name 'chord' to harmonically divided false and augmented fifths," yet he

62 The first theorist to accept the augmented mediant may have been Georg Andreas Sorge (1703-1778), who may also have been the first to build a triad on every degree of the scale in his Vorgemach der musikalischen Komposition, 3 vols. (Lobenstein: privately published, 1745-1747). Riemann makes this attribution, and obviously takes exception to the basic premise:

It would be difficult to name the person who initiated the disastrous idea of erecting triads on every scale degree, and which were followed by seventh chords, and so forth. I am inclined to believe that Sorge was responsible for it . . .

(Hugo Riemann's Theory of Harmony, 198).

63 A notable exception is Friedrich William Marpurg, commonly thought of as a misguided disciple of Rameau (see Mekeel below), who accepts the augmented triad as fundamental even though it is dissonant (Handbuch bei dem Generalbass und der Composition, 4 vols. [Berlin: G. A. Lange, 1755-1760], I, 28). See also Joyce Mekeel, "The Harmonic Theories of Kirnberger and Marpurg," Journal of Music Theory IV/2 (Fall 1960), 169-193.
later asserts that the augmented triad may only be used on the mediant of minor keys, and then only by license.64

Rameau explains the chord through supposition: it is actually a dominant seventh chord with an extra third added below the true fundamental.65

Although Rameau's explanation is somewhat convoluted, the essence of his interpretation approaches that which is presented here: that the augmented mediant may appear as a substitute chord of dominant function. Kirnberger distinguishes another important facet of the augmented triad by explaining it away as a nonessential dissonance: "Here the situation is the same as with passing notes that are not considered part of the harmony and not figured in the thorough bass."66

The issue at this point is whether the augmented mediant merely represents an altered fundamental dominant

64 Rameau, Treatise on Harmony, 36, 148, and 292.

65 Rameau, Treatise on Harmony, 299-300.

66 Kirnberger, The Art of Strict Musical Composition, 154. The example given by Kirnberger reflects a typical progression of the augmented mediant, although he does not specify that it is a mediant chord: in the key of A minor, C - C+ - A6. An interesting change takes place between this example and those found in Kirnberger/Schulz "The True Principles" (p. 189, Examples 33-34), which show the following successions: C6 - C+ - F; C - C+6 - F; and C6 - F6 - C+6 - F6. In these latter examples, presumably in the key of F major, Kirnberger and Schulz are demonstrating an augmented dominant, not an augmented mediant. A nonessential augmented mediant is found in Example 65 on p. 204 of the same work.
harmony, or whether it has any fundamental status in its own right. I accept the augmented mediant as a potential fundamental harmony on a conditional basis, with the condition being that it appear in a context in which it is recognizable as a fundamental harmony.

The three chords in the last measure of Example 2-5 serve to illustrate this point. Fundamental-bass theorists would interpret the succession of fundamentals in this measure as E - A - D, thus viewing the augmented mediant as a variant of the fundamental dominant harmony. Weber would obtain much the same result, though for different reasons, and would analyze the progression as $ii_{6}^{b} - V - i$. Both interpretations yield valid conclusions concerning the structural logic of the progression, yet both fall short of describing the effect created by the substitution of $b3$ for
\( \hat{2} \) (which is essentially a melodic phenomenon) within the dominant chord; in other words, although the second chord in the measure retains a dominant function, it is not precisely the same sonority as the dominant triad. I hold this fact to be analytically significant.

One solution to this problem is to consider the chord to be an augmented dominant that is enharmonically spelled \( (F=E^\#) \). This conclusion seems untenable to me because it requires that a diatonic tone \( (b3) \) be accepted as a chromatically raised and enharmonically spelled tone \( (#\hat{2}) \) that does not resolve as raised tones normally do (i.e., upwards); rather, it is held as an enharmonic common tone with the following chord.

Another solution for this problem (and this particular example) has recently been suggested by Stefan Kostka and Dorothy Payne, who advocate using the symbol "\( V_{6}^{Fs} \)" (meaning "V with a sixth above the bass substituted for the fifth") in such instances.\(^{67}\) In addition to showing the function of the chord, this symbol provides explanation for its derivation and its particular sonority. Because this symbol is somewhat cumbersome, I use the abbreviated version "\( V_s 6 \)."

The preceding discussion demonstrates that the designation of a fundamental harmony depends not only upon its construction in thirds from the tones of a given key, but also upon its appearance in a context in which it is recognizable as such. Following the logic of my definition of fundamental harmonies, one might label the augmented triad in Example 2-5 as "bIII+6." In its present context, however, the harmony is not recognizable as bIII+6 for two reasons: (1) the augmented triad is an equidistant sonority (i.e., it divides the octave equally into major thirds) whose interval structure does not permit aurally distinct inversions except by register; therefore it does not possess an unequivocal root; and (2) in order for bIII+ to be recognizable as a fundamental harmony b♭ must be heard as the fundamental-bass tone, while the fundamental bass of this chord is clearly 5 as part of a 2 - 5 - 1 cadential progression. Because of the clear cadential context of the present example, the substitution of b♭ for 2 as an ornamental gesture in the melodic line does not affect the succession of fundamentals.

While my philosophy of fundamental chords does not exclude the augmented mediant a priori, it does require that it be used in a context in which it may be perceived as a fundamental harmony. Such contexts are seldom employed by eighteenth- and early nineteenth-century composers, yet I retain the augmented mediant on my list of fundamental
harmonies because these contexts do in fact exist: the following chapter demonstrates that Wolf uses the augmented mediant as an independent fundamental harmony, and that this is one feature of his harmonic style that differs from that of his predecessors.68

Before leaving the discussion of fundamental harmonies we must touch upon two other facets of the analytical method and its notation, although as full discussion of these facets is reserved until each is encountered in the course of the present document. The first is an extension of the principle I have just presented in connection with the augmented mediant: if one takes a "vertical slice of time" at a given point within a harmonic progression, one might obtain a "chord" that can be construed as a fundamental harmony because of its spelling, yet that has little or no actual fundamental status because of the context in which it appears. The excerpt shown in Example 2-6 illustrates one such context: if one compiles all of the tones appearing on the accented portion of the downbeat of the second full measure, one could conceivably construct a fundamental ii7 chord.69 This interpretation is attractive because it allows a circle-of-fifths series of seventh chords to be

68See the section entitled "The Augmented Mediant" in Chapter 3.

69This has been done for this particular example; see Ottman, Advanced Harmony, 158.
shown in the analysis: $\text{iii}_7 - \text{vi}_7 - \text{i}_7$. Such an analysis overlooks the contextual implications of the manner in which this "chord" is approached and resolved: the $F$ in the alto voice is treated as a suspension rather than as an essential chordal seventh. This distinction between essential and nonessential sevenths was first made by Kirnberger:

Usually, it is easy to distinguish the seventh that is merely a suspension from the essential seventh, because the former never falls on a weak beat while the latter normally does. But when the essential seventh falls on a strong beat, as it sometimes does, it is more difficult to distinguish from the suspension. A characteristic of the seventh that is a suspension is that it does not occur with the fifth because its resolution would produce a new dissonance in the six-five chord.

Furthermore, the essential seventh can be recognized by the fact that it cannot be resolved over the same bass note, since its resolution down by step is not suitable to the rest of the harmony ...

70Kirnberger, The Art of Strict Musical Composition,
In Example 2-6 I interpret the essential chord on the downbeat of the second measure as vii\(^0\)\(_6\) with a 7-6 suspension. This is due not only to the premature resolution of the "seventh," but also in this case to the power of the tritone formed by this resolution (E-Bb). The tritone and its subsequent resolution to the root and third of the following tonic harmony establish a dominant function for the harmony on the downbeat.\(^71\)

Drawing on Kirnberger's definition of nonessential dissonance, then, I interpret as nonessential a tone that moves before the rest of the simultaneity (i.e., resolves) to another tone that forms a recognizable chord with the other constituent tones;\(^72\) meaning that such a nonessential tone does not effect a change of fundamental bass or fundamental harmony, and thus no change in the Roman-numeral symbol. There are occasions, as in Example 2-6 above, on which such a distinction is made difficult by the particular context in which the questionable harmony appears.\(^73\) These

\(^71\)While it is still possible to analyze two harmonies on this beat (Ii\(_7\) - vii\(^0\)\(_6\)), such an analysis is overly concerned with vertical simultaneity at the expense of voice-leading context. A similar example, but containing the fifth above the bass forbidden by Kirnberger, may be seen in m. 15 of Ex. 2-33.

\(^72\)Kirnberger, The Art of Strict Musical Composition, 141-145.

\(^73\)See the discussion of Schumann's "Ich grolle nicht" on pp. 117-123 below, in which several of these contexts are encountered.
instances are represented by placing the Roman-numeral symbol in parentheses, indicating that although a vertical slice of time will yield tones that spell a potential fundamental harmony, the given harmony is not necessarily an essential component in the harmonic progression.  

I make an exception to this practice concerning the cadential tonic six-four. I retain the symbol "i^4" without parentheses even though this is not a fundamental harmony in cadential contexts. I do so for sake of convenience and established tradition (the symbol has been used by many analysts who employ Roman numerals from Gottfried Weber to the present day), and because by the late nineteenth century the sounding of the cadential six-four is no guarantee that the expected cadence will take place: although the cadential six-four traditionally stands for the dominant five-three, the dominant chord may not actually arrive.

The other facet of the analytical method and its notation mentioned above concerns the degree to which a fundamental harmony may be altered and yet remain fundamental. While a discussion of each individual case must be left until each is encountered, I offer at this point the principles upon which I base my interpretations. First of all, I emphasize that the list of triads in Example

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74Roman numerals in parentheses will also be placed under another Roman numeral to show an alternate interpretation for a given chord.
2-3 is inclusive of all triads that I understand to be fundamental, and that the addition of the respective diatonic seventh to these triads creates fundamental seventh chords on each degree. Second, if a diatonic harmony is altered in such a way that it assumes the quality of the triad found on the same degree in the parallel major or minor mode, it is interpreted as having been "borrowed" from the parallel mode and retains its fundamental status by virtue of mode mixture. Third, a diatonic harmony may be altered in such a way that its function is not changed but enhanced, as in the case of derivatives of the subdominant and supertonic degrees such as the Neapolitan sixth and augmented sixth chords (see appropriate subheadings below). Although these chords are not "fundamental" to the key, they clearly operate within it and do not effect a modulation.

Fourth, through chromatic alteration any diatonic harmony can be made into the dominant of the harmony whose root lies a perfect fifth lower. Such an altered harmony is no longer fundamental to the key, yet borrows its fundamental status from a secondary key. This is shown in the present analyses by traditional means: the Roman numeral "V" is placed over the Roman numeral representing the key from which it is borrowed (V/V, V/ii, etc.).

From this discussion it should be apparent that any chromatic alteration to a diatonic harmony will create a concomitant change of some sort in the analytical symbol.
Although my set of fundamental harmonies differs from Weber's, I accept his view that the quality of a given fundamental harmony is fixed. Unlike Weber, however, I attempt to use symbols that indicate not only the fundamental harmony, but also any alterations it may contain. For example, Weber would place the symbol "V" under a chord spelled G-B-D# in the context of C major, while I would use the symbol "V+" and thus describe not only the fundamental harmony from which the chord derives its meaning and function, but also the particular sonority of the chord in its altered state.

In the event that a chord is altered to such an extent that the clarity of its function and the cognition of its derivation from a fundamental harmony are jeopardized, the symbol representing the altered fundamental harmony is placed in brackets (not to be confused with the use of parentheses mentioned above). This bracketed symbol does not imply fundamental status for the harmony, yet indicates the scale-degree root upon which it is built and the fundamental harmony from which it is derived. This represents an attempt on my part to integrate the concept of diatonic roots first presented by Sechter and developed by Bruckner and Schoenberg with the concept of fundamental
chords represented by Roman numerals first espoused by Vogler and Weber.75

For example, Wolf often uses a chord that resembles an altered minor-mode submediant: Ab-Cb-Eb in the context of C major or minor (see Chapter 7). Placing the symbol "bVI" under this chord explains its derivation and possible function yet does not explain or describe its actual sonority (and thus does not demonstrate how this harmony differs from a bVI chord as used by, say, eighteenth-century composers). The symbol "bvi" is more accurate, yet the alteration of the tonic pitch (C in this case) leads me to eschew a symbol that implies fundamental status for the chord as it actually appears; because of the alteration it is questionable whether this chord can be heard as fundamental in relationship to the tonic. Therefore, I suggest the symbol "[bvi]," which clearly identifies the scale-degree root and the quality of the chord, and at the same time implies the fundamental harmony from which it is derived without granting apparent fundamental status to the harmony in its present context.

A functional analysis employing the fundamental chords and their derivatives discussed above is flexible in application and provides not only measurement of Wolf's

75See discussion of Sechter, Vogler, and Weber above. As regards the influence of Sechter on Bruckner and Schoenberg, see Wason, Viennese Harmonic Theory, 67-84 and 133-143.
innovations, but also explanation of how these innovations elaborate on traditional procedures and how coherence is retained even in a highly chromatic and often tonally ambiguous harmonic style. Before proceeding to a discussion of Wolf's music, the analytical method will be applied to the music of Wolf's predecessors to demonstrate the basic vocabulary and syntax of traditional harmonic practice, including fundamental principles of harmonic progression, secondary functions and mode mixture, the Neapolitan sixth, augmented sixth, and other chromatic conventions, and modulation.

Basic Principles of Harmonic Progression

The preceding discussion has sought to trace the theoretical development of three basic principles of harmonic progression that are important constituents of the present concept of traditional harmony: root progression, fundamental chords, and tonal function. The majority of music written in the eighteenth and nineteenth centuries is based upon two scales: the major and minor modes. Chord structures of the common-practice era are built in thirds, and a tertian triad may be constructed on every degree of the scale. There is a certain logic governing the choice of a particular chord in a particular position within a series of chords. Chords built on the various scale degrees were not used in a random fashion, but in a systematic manner to
establish the primacy of the tonic note of the scale over all others. Every chord within a key has some relationship to the tonic note, and some role in establishing the centrality of the tonic note. These relationships as they were established and used in the eighteenth and nineteenth centuries are commonly defined as "functional harmony."

From the fundamental-bass theorists we have drawn a hierarchy of root movements in which the fifth predominates, followed by the third, and lastly the second. Because of the primacy of the perfect fifth, the circle of fifths is a commonly used model for harmonic progression (see above): I - IV - vii0 - iii - vi - ii - V - I. This model is useful in explaining traditional harmonic practice, as evidenced in Example 2-7, the beginning of the last movement of Mozart's well-known Piano Sonata in D major, K. 284. The opening phrase contains the following progression: I - vi - ii6 - V7 - I - ii6 - I6 - V. A comparison of this progression with the circle-of-fifths model above accounts for every

Ex. 2-7. Mozart, Piano Sonata in D Major, K. 284, IV
root movement except I - vi and I - ii₆, both of which may be explained by skipping over several chords in the model.

The latter root movements underscore a problem inherent in using the circle of fifths as the sole model for chord progression: it does not account for the normal position and function of every chord within a typical harmonic phrase, nor does it account for root movements other than that by fifth. Especially inappropriate is the placement of IV and vii°. While these chords may be found in these positions within the circle-of-fifths harmonic sequences frequently found in music of the eighteenth and nineteenth centuries (for which the circle of fifths serves as a perfect model), most phrases of this era are not based on a full circle of fifths. In an average phrase, vii° is more likely to proceed to I than iii, thus being located near the end of the phrase, and yet the circle of fifths requires that four intervening steps be skipped over to show this clearly. In a similar vein, the common function of IV as a dominant-preparation chord is obscured in the model.

A better representation of the relationship of the diatonic chords and the movement through them within the average phrase-level structure may be seen in the following diagram:76

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76Such diagrams have been in use in American classrooms for many years, and have begun to appear in theory textbooks as well. Two recent examples include Kostka and Payne, *Tonal Harmony*, 104; and Robert Ottman, *Elementary Harmony*, 
The chart does not encompass every possible progression, but aims at providing visual representation of the syntax of the harmonic phrase. Obviously, every phrase does not contain all of these chords, but the chart demonstrates the normal position and function of each chord within a phrase. For example, when iii appears in non-sequential contexts it is most often positioned near the beginning of the phrase, and serves to extend the tonic function.

The usual motion of chords within the chart is primarily from left to right, as indicated by the arrows. Progressions in the opposite direction are less common and somewhat retrogressive. The tonic chord may appear between any adjacent chords on the chart, and any chord may be skipped over. If the phrase is an opening phrase, then interruption of the progression commonly occurs at the V chord, with the following phrase most often returning to the tonic chord to begin the process again. Another means of interrupting harmonic motion within a phrase is the deceptive cadence. In this progression, a chord built on

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77 The issue at this point is not whether this progression arises from contrapuntal or harmonic considerations, but merely to define its position within a phrase.
another scale degree is substituted for the expected tonic chord. At the interruption, the motion within the chart reverts to the position in which the substitute chord normally appears, and then proceeds towards the dominant once again. If the phrase is a closing phrase (of a period, section, or movement), the V chord proceeds to the tonic chord at the far right, the final goal. Many common-practice period works begin with an immediate confirmation of the tonic (I - V - I), and often the first phrase consists of nothing but alternating tonic and dominant chords. On other occasions, the chart is cycled through more than once within a phrase (as in Example 2-7). In both cases the goal remains the final tonic or dominant chord, with rhythmic and melodic factors employed to provide motion throughout the phrase.

The model of harmonic progression represented by the chart given above has several advantages over a strict circle-of-fifths model while at the same time retaining much of the latter's structure. First, the normal position and function of IV and vii° in non-sequential passages are more

78It is not possible to construct a simple diagram that accounts for all possible harmonic progressions; thus IV and vii° must be re-positioned on the present diagram to reproduce the entire circle of fifths. The issue remains the normal position and function of these chords: in a circle-of-fifths sequence, IV and vii° assume positions and functions for which the circle of fifths remains the better model, and yet the average phrase is not based on a complete circle of fifths.
clearly shown, with IV acting as a dominant preparation and viio acting as a dominant substitute. Second, the chart is not restricted solely to progression by fifth, but demonstrates other root movements as well. Third, the chart serves the important purpose of demonstrating the diatonic contexts in which these root movements are likely to occur. For example, root movement by descending third is commonly found when vi moves to IV or IV moves to ii, while other descending thirds, such as iii - I or V - iii, are less common. The chart thus illustrates two basic principles of harmonic progression, forming a synthesis between a hierarchy of root progressions within the framework of fundamental harmonies and their diatonic context.

The chart also demonstrates the other basic principle of harmonic progression presented above, the broader classification of the diatonic triads into three categories of tonal function: tonic, dominant, and dominant preparation. Diatonic chords related by third to one of the three primary triads may assume its function by virtue of the two common tones shared between them. The substitute

79 The subdominant also frequently acts as a tonic embellishment in motions such as I - IV - I, thus extending the tonic function.

80 This concept finds its origins in Riemann's Parallelklänge; see Mickelsen, Hugo Riemann's Theory of Harmony, 80-81. Similar views on substitution are presented in many current theory texts. See, for example, Allen Forte, Tonal Harmony in Concept and Practice, 3rd ed. (New York: Holt, Rinehart and Winston, 1979), 111.
chords lying a third above and below each primary triad are as follows: vi - I - iii; (iii) - V - vii°; and ii - IV - vi. The chart clearly reflects a logical progression through the three tonal functions, moving from the tonic function and its substitutes, through the dominant preparations to the dominant and its substitutes, which then return to (and establish) the tonic.

Scale-degree functions are not greatly affected by mode, with the exception of chords containing the variable seventh degree, so that a chart of harmonic progression in the minor mode differs little from the major:

\[
\begin{align*}
[i] & \quad bVII \rightarrow bIII \rightarrow bVI \rightarrow iv \rightarrow V \rightarrow [i] \\
& \quad \downarrow \quad ii° (vii°) (bVI) (bIII+) \\
\end{align*}
\]

The primary distinction concerns the chord built on the seventh degree: it will function as a dominant substitute if built on the leading tone, and towards the third scale degree if built on the subtonic.

**Secondary Functions and Mode Mixture**

An important means of elaborating the basic diatonic framework is the use of secondary functions: each consonant chord on the chart may be emphasized by a secondary dominant. The essential progression within the harmonic unit often remains the same, with the secondary dominant serving as an embellishment of a scale degree other than the tonic. While secondary dominant-function chords (which
include major triads, major-minor seventh chords, and the half- and fully-diminished seventh chords) are usually not diatonic members of the key, they do not necessarily establish a new tonal center.

As noted above in connection with Vogler and Weber, the concept of secondary dominants had been understood long before a notational method for indicating them was developed. For example, the term *Wechseldominant* ("changing dominant" or "dominant of the dominant") has been in use in German theoretical writings since the time of Kirnberger. Late in the nineteenth century, Riemann recognized secondary dominants (*Zwischendominanten*) by placing the symbol representing dominant function ("D") in parentheses, meaning that the chord so indicated bears a dominant function toward the following chord. Early in this century Schenker introduced his concept of tonicalization, in which the "irresistible urge" of each scale degree "to attain the value of the tonic for itself" may be satisfied by preceding the given scale degree with the dominant of the key in which that scale degree is tonic:

For this purpose the preceding scale-step, the one which is to be used as a dominant, must be defined as such. This can be achieved by transforming the triad under consideration, whether this be a minor or diminished triad, into a major triad . . . .

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81Heinrich Schenker, *Harmonielehre*, Vol. I of *Neue musikalische Theorien und Phantasien* (Vienna: Universal Edition, 1906); abridged translation by Elisabeth Mann Borgese, ed. by Oswald Jonas, as *Harmony* (Chicago and
Schoenberg introduced the term "secondary dominant" ("Nebendominant"), although he admits that the term may not have originated with him,\(^{82}\) and the modern view of secondary dominants can be seen in his definition of the concept:

A secondary dominant can be used wherever the diatonic degree of the scale can be used, provided that the root progressions allow it. In keeping with the sense of secondary dominants they will of course best appear where there is a root progression resembling the dominant function, that is, according to the models V-I, V-IV, and V-VI. For their purpose is, above all, to reinforce this tendency toward a dominant-like progression by means of the artificial leading tone.\(^{83}\)

An example of how a series of secondary dominant chords may be used to embellish a rather simple diatonic progression is shown in Example 2-8, which is drawn from Schubert's "Abschied" of the Schwanengesang. The progression I - vi - IV - ii - V - I is expanded and ornamented through the use of secondary dominants of vi, IV, and ii. Notice that although this progression contains three altered chords (V/vi, V/IV, and V/ii), the chords they embellish (and the entire root progression) remain firmly diatonic, and move through the chart in the common direction.

\(^{82}\)Schoenberg, Theory of Harmony, 177.

\(^{83}\)Schoenberg, Theory of Harmony, 188.
The kind of chromaticism exhibited in this example is often described as "functional;" that is, each altered chord bears a clear dominant function toward the following chord. In order for this dominant effect and function to exist, two
factors are necessary: (1) the appropriate relationship must be found between the roots of the respective chords (analogous to 5 - 1 or 7 - 1, or the deceptive resolution 5 - 6), and (2) the quality of the chord that is to function as a secondary dominant is normally altered (becoming a major triad or major-minor seventh chord to function as a secondary dominant, or a diminished triad or seventh chord to function as a secondary leading-tone chord). Secondary dominants do not necessarily create a change of tonal center, but enlarge the chordal vocabulary within a key and cause a shift of tonal direction within it. For example, the V7/vi chord in m. 20 of Example 2-8 does not effect a modulation to the key of vi (C minor), as Weber's symbols would indicate, yet it does give greater emphasis to this scale degree by temporarily imparting to it a tonic function. In the larger scheme of the progression, vi continues to function in the context of the original key.

From this we draw the important conclusion, first clearly defined in Vogler's concept of Mehrdeutigkeit, that a chord may simultaneously have more than one function, although perhaps on different levels of harmonic structure. The vi chord in m. 21 of Example 2-8 serves as a surface-level goal for the secondary dominant in m. 20 while also serving as link in the diatonic chain of chords connecting the tonic chord of m. 19 with the perfect authentic cadence of m. 27.
The chart of the diatonic system given above presents a paradigm of tonal functions within a key as they were conventionally employed in eighteenth- and early nineteenth-century compositional practice. The interrelationship of chord qualities and the scale degrees upon which they appear is central to an understanding of traditional harmonic function. Certain chord qualities are only found on certain scale degrees within the diatonic system. For example, the half-diminished seventh chord appears only on scale degree 7 in the major mode and scale degree 2 in the minor mode. Thus, when one hears a half-diminished seventh chord, one expects it to behave (or "function") as either a ii$^6_7$ or a vii$^6_7$ on either a primary or secondary level.

When a half-diminished seventh chord is played, followed by a major triad whose root is a perfect fifth lower, the listener tends to interpret the progression as ii$^6_7$ – V. In fact, this is the only diatonic locus in which these qualities are found with a perfect fifth between their roots. The determination of whether this phenomenon is inherent in the tonal structure of the diatonic system, or whether it is merely the result of established convention, is beyond the scope of the present project. What is important here is simply that these relationships exist, and that they are audible.

The opening of Schumann's well-known "Ich grolle nicht" illustrates this last point (see Example 2-9). The song is
Ex. 2-9. Schumann, "Ich grolle nicht" from Dichterliebe

in C major, yet an Ab appears as an essential tone in the third measure as the fifth of a chord whose root is D: D-F-
Ab–C. The chromatic change to Ab creates a half-diminished seventh chord, and the following chord is a major-minor seventh chord built on G; thus, even when taken out of context, these chords indicate a tonal center of C because that is the only diatonic explanation for them. The mixing of the two modes found on each tonal center in this fashion is a frequent compositional device in the nineteenth century. By mixing modes, composers achieve a larger set of "diatonic" chords to work with, and gain greater variety in harmonic progression.

The G# appearing in the fourth measure of this song provides another case in point. The G# may be explained simply as a chromatic passing tone from G in the preceding chord to A in the following. This chromatic passing motion is coupled with a passing tone in the bass between C and A. Taking this chord out of context, however, and temporarily setting aside voice-leading considerations, we may still find a logical explanation for its existence.

There is no doubt that the G# lends urgency to the chord, and a greater need to resolve, primarily because of the melodic events outlined above. The question remains of whether there is any diatonic, functional explanation for the resulting change in the quality of the chord. I have already stated that any consonant chord may be preceded by its own dominant; that is, by the dominant chord whose root lies a perfect fifth higher. The goal of the chord
containing the G# is the A minor chord on the downbeat of m. 5. G# serves as a leading tone to A, and the chord in m. 4 emphasizes, or "tonicizes," the A chord by serving as dominant function in the key of A minor. The apparent root of the chord in question (as it is spelled) is C, the tonic note of the home key, and yet it would be inappropriate to label this chord as "I" because an augmented-major seventh chord may not serve a tonic function according to the principles of traditional harmonic practice.

If we are compelled to place a Roman numeral under this chord, we must first look for a diatonic explanation. The chord does not belong to the diatonic set of C major because of the G#, and because an augmented triad does not occur on the tonic note of the major or minor scale. The only location in the diatonic system upon which an augmented chord appears is scale degree 3 in the minor mode. Given that the A-minor chord is being tonicized, the preceding chord may be interpreted as behaving like a chord drawn from the key of A minor. The diatonic explanation for the augmented-major seventh chord in m. 4 would be as bIII+7 in the key of A, a view that is supported by the addition of the passing seventh in the bass (B) as the fifth (G) of the tonic chord is raised to G#. On the other hand, the C may also be analyzed as a pedal tone within the dominant of A.

84 The use of augmented dominants is discussed below.
minor ($E^\flat$). Either way ($V^\flat_7/vi$ or $bIII^\flat_7/vi$), the secondary-dominant function of the simultaneity in question is clear.85

The analytical problem posed by this chord is brought about by its appearance in a passing context: the B is the second tone of a stepwise bass-line descent from the tonic (C) in m. 4 to the dominant (G) in m. 9. It is this descending bass line, coupled with the accompanying tenths in the upper parts, that serves as the organizing factor of this passage. Although a fundamental-bass tone or Roman numeral may be placed under each simultaneity, such an analysis overlooks the simple fact that some of these vertical structures are passing sonorities. A fundamental-bass theorist could find the following series of fundamentals in mm. 4-9: C - E - A - C - F - A - D - F - B - D - G, or a sequence constructed from a root-movement pattern consisting of an ascending third followed by a descending fifth. A Roman-numeral analysis of each verticality in the same measures is also possible, yielding I - $V^\flat_7/vi$ - vi - $I^\flat_7$ - IV7 - vi$^\flat_7$ - ii$^\flat_7$ - IV$^\flat_7$ - vii$^\flat_7$ - i$^\flat_7$ - v.86 Comparison of this succession with my chart of

85 In the present analyses the symbol "wp" indicates that the designated harmony occurs with a pedal tone in a upper part and the symbol "op" indicates that the designated harmony appears over a pedal tone in the bass.

86 Schoenberg apparently takes this position in reference to this passage; see Theory of Harmony, 336.
diatonic progression reveals several "retrogressive" chordal pairs (or functionally "weak" progressions): vi moving to I₃, IV₇ moving to vi₃, ii₇ moving to IV₃, and vii♭₇ moving to ii₄ (i.e., each root progression by ascending third). In other words, the "chords" in this passage do not seem to function normally.

Another way of looking at this passage might suggest taking the apparent pattern set up in m. 4 as the key to interpreting the remaining measures, with the chord on each downbeat being essential and the chord on the second half of each measure being a nonessential passing sonority. This analysis results in a more acceptable succession of Roman numerals and root movement by descending third: I - vi - IV₇ - ii₇ - vii♭₇ - V. The flaw in this analysis is that not all of the so-called sevenths are resolved, as pointed out by William Mitchell:

The other voices accompany this [bass-line] motion in tenths, making use of neighbors and chromatic passing tones. At two points the passing tones in the bass form sevenths with the chord tones in the alto [mm. 6 and 8]. These sevenths obviously have nothing in common with chordal sevenths. Hence there arises no question of stepwise downward resolution.87

To get at the underlying structure of this progression one must look past the nonessential tones at the surface. The essential harmonies are those indicated in Example 2-9: I in m. 4, vi in mm. 5-6, and ii\text{7} in mm. 7-8. The passing nature of the second sonority in m. 4 has already been mentioned. To understand mm. 5-6 as containing only one essential harmony, one must recognize the nonessential nature of the B on the third beat of m. 5 (which resolves as a nonharmonic tone in the voice if not in the piano), and recognize that the G and F in the bass are passing tones (a pattern that is repeated within the supertonic harmony in mm. 7-8). Although each simultaneity is spelled as a fundamental harmony in the key, in the present context of a descending stepwise bass line and a sequential use of nonharmonic tones, each is not an essential component of the fundamental harmonic progression.

Having said all this, I reiterate that the G\# in m. 4 arises from contrapuntal considerations, and yet a harmonic explanation for its presence exists. It is interesting to note that this G\# is the same pitch class as the Ab in m. 3, but that it serves a different purpose. The Ab alters the quality of the supertonic seventh chord from minor-minor to half-diminished while having no effect on its function: the chord still behaves like a supertonic chord. The G\#, on the
other hand, changes not only the quality of the seventh chord built on the tonic C, but also its function. This chord no longer functions directly toward the tonal center of C, but toward the secondary level of A. Both tones, G# and Ab, are present for the greater tension they create, a more urgent need for resolution. The Ab is a passing tone from A to G, while the G# is a passing tone between the same pitches moving in the opposite direction: A - Ab - G versus G - G# - A.

In traditional compositional practice, as this example illustrates, voice leading is inextricable from harmony and harmony is inextricable from voice leading; the two musical parameters are inseparably intertwined. At the same time, much variety is possible within the relatively limited number of structural contrapuntal frameworks (or harmonic progressions) used during the period.

Two further examples of how a basic diatonic framework may be enriched through chromatic inflection are found in another passage of "Ich grolle nicht." The first occurs in the approach to the cadence in m. 30 (see Example 2-10). Note the simple, common-place nature of the circle-of-fifths bass line: 3 - 6 - 2 - 5 - 1. Although the bass line is elementary, the harmonization of it is not. A simple, diatonic fleshing-out would result in the progression iii - vi - ii - V - I, or iii7 - vi7 - ii7 - V7 - I.
Ex. 2-10. Schumann, "Ich grolle nicht" from Dichterliebe

Each of the chords in such a sequence is often made into a dominant seventh of the following chord by altering...
its quality: V7/vi - V7/ii - V7/V - V7 - I. Schumann has found another means of inflecting this relatively simple progression, with striking results. Where an E-minor chord would occur in the diatonic scale, Schumann uses an E half-diminished seventh. The A-minor chord is replaced with F augmented, and D minor is supplanted by D half-diminished seventh.

All of these altered qualities arise from chromatic composing-out of the intervals of the dominant chord (see Example 2-11). The framework of the progression remains unchanged, but is supplied with a delightful new color and effect. On the surface level, however, the interpretation of these chords changes. In a strictly diatonic sense, we can no longer call the E chord in m. 28 "iii," nor can the F augmented chord be "IV." Again we return to the question of where these qualities occur in the extended diatonic system.

Ex. 2-11. Reduction of Mm. 27-30 of Ex. 2-10
The E chord may be interpreted as ii\(^{7}\) in D minor or vii\(^{7}\) in F major, while the F chord most likely represents some form of dominant function. Since the root of the next chord (m. 29) is D, the two preceding chords may function as ii\(^{7}\)/ii - Vs6/ii.

The fact that the D chord has also been altered, hence no longer being able to serve a tonic function, has no effect on the interpretation of the preceding chords. For example, a V\(_7\) chord in a major key moves to a tonic chord to which a minor seventh has been added, making it a V\(_7\) in its own right (a secondary dominant of IV). Does this in any way diminish the function, the "dominantness," of the original V\(_7\) chord? My contention is that it does not. To put it more simply: in the progression X - Y - Z, where X and Y function toward Z, it is not the fault of chords X and Y if the quality and function of chord Z has been changed.

The explanation of the D half-diminished seventh chord in m. 29 is the same as that in m. 3: it results from mode mixture. While Schumann has avoided a diatonic sequence by substituting an F augmented chord for the expected A chord in the second half of m. 28, a sequential effect is still present. Measure 28 contains a dominant-preparation chord and a dominant-function chord in D minor while m. 29 contains a dominant-preparation chord and a dominant-function chord in C major. The treatment of the V chord in m. 29 also demonstrates the derivation (and justification)
of the Vs6 chord in m. 28: in m. 29 the sixth (E) is resolved as a nonharmonic tone to the fifth (D) before the bass moves, while in m. 28 the sixth (F) does not resolve.

A further example of chromatic elaboration of a diatonic framework occurs in mm. 30-31 of Example 2-10. Example 2-12a shows the essential voice leading of the outer parts in these measures, while Example 2-12b shows a diatonic means of filling in this framework. Schumann replaces G in the second chord with G#, however, ostensibly to provide a leading tone to A (see Example 2-12c). This chromatic inflection does not affect the essential voice leading of the passage, but does create a greater sense of motion by introducing an additional dissonance (the tritone from G# to D). The result is a major-minor seventh chord on the third scale degree, E. This chord does not function
directly toward the home key of C major, nor does it belong to the diatonic set of C major.

How, then, does this chord function? Since the essential voice leading remains unchanged by the addition of G# to the third-divider, one might say that the function of the chord has not been altered, only its quality and color. It is also possible to explain the change of chord quality in a functional sense. The expected interpretation of a major-minor seventh chord built on E is as a secondary dominant of A, V7/vi in the key of C major, and the chord is labeled as such in Example 2-12c. The chord does not resolve to A, however, but to an F-major triad. This resolution is no less "functional" than had the chord moved to an A chord. Thinking in the key of A minor (the key of vi), the F-major triad may be interpreted as bVI. The progression is a fairly common "deceptive" resolution of a secondary dominant: V7/vi - bVI/vi. The F chord has two functions simultaneously: it functions locally as the goal chord of the preceding E dominant seventh, and on a broader scale as the subdominant chord in C major.

So far, I have shown how the seven diatonic scale degrees tend to function within a harmonic progression, how scale degrees may be tonicized by their own dominant-function chords, and how the chord qualities of each individual scale may be expanded through mode mixture. I have suggested that harmonic progression and functional
tonality are governed by the relationship of successive chord roots and qualities within certain contrapuntal voice-leading patterns. I have demonstrated how basic progressions may achieve new meaning and color through chromatic inflection within a diatonic framework. Other chords which reflect this latter ability are the so-called altered dominant-preparation chords: the Neapolitan sixth and augmented sixth chords.

The Neapolitan Sixth Chord

The Neapolitan sixth is often described as a major triad built on the lowered second scale degree: Db-F-Ab in the key of C. The chord arose in the Baroque era in minor mode pieces as an alternate approach to the dominant, and was normally found in first inversion in this period, with scale degree 4 in the bass. The lowered second scale degree is a chromatic melodic elaboration over the fundamental-bass progression 4 - 5. Nineteenth-century composers began to use the chord in root position, and in the major mode as well as the minor. Although the chord is not diatonic in the strictest sense of the term, it does work within the context of the home key as an extension of a diatonic function.

The Neapolitan sixth has a much shorter history in the theory of music than it does in musical practice. Although the chord may be found in musical examples in many late
eighteenth- and early nineteenth-century treatises, it is not labeled as such nor treated as an independent entity. Both Vogler and Weber consider the chord to be borrowed from another key: for Vogler the chord is the subdominant of the key of the sixth degree (IV/bVI),\(^{88}\) while for Weber it is the submediant of the key of the fourth degree (bVI/iv).\(^{89}\)

Others consider the Neapolitan to be some form of altered subdominant chord within the original key. Sechter demonstrates the chord as a 6-5 suspension within a minor subdominant harmony, and designates the fourth scale degree as its fundamental.\(^{90}\) Riemann explains the chord as a "leading-tone change chord" ("Leittonwechselklang") for the minor subdominant, which results from the substitution of the lowered second degree for the normal fifth of the subdominant chord.\(^{91}\) Riemann expressly assigns a


\(^{90}\)Sechter, *The Correct Order of Fundamental Harmonies*, 156-157. Sechter gives several examples (always in the key of C) in which the seventh (Db) of vii\(^7\)/iv is held over as a suspension in the subdominant triad, which he says occurs "if the dominant ninth in F minor remains as thirteenth of F, and if the minor triad of F stands for the chord of the seventh of the second degree of C minor . . ." (p. 156).

\(^{91}\)Riemann, *Handbuch der Harmonielehre*, 76. In his comparison of Weber's Roman numerals with his own functional symbols in Book III of his *Geschichte der Musiktheorie im IX.-XIX. Jahrhundert* (see Mickelsen, 220-223), Riemann uses the symbol "bIII" in the Roman-numeral analysis. Weber did not, and would not, use such a symbol because it violates his concept of Grundharmonien.
subdominant function to the Neapolitan (a notion which is only implicit in Vogler and, to a certain extent, Sechter), and thus relates it to a tonal center.

Still others interpret the Neapolitan as an altered supertonic chord. Schoenberg calls the Neapolitan a "transformation of the second degree," and yet also describes it, as did Weber, as the submediant of the subdominant key.\(^{92}\) Schenker first viewed the Neapolitan as an alteration of the diminished supertonic triad,\(^{93}\) but in his mature theory he denies independent status for the chord:

\[
\text{[When counterpointing } b^2 \text{ in the upper voice with } b^2 \text{ in the bass], either an augmented fourth or a diminished fifth would result in the bass line. Also, because of the cross-relation, the root of the } b^2 \text{ II would make it difficult to adjust the } b^2 \text{ by restoring diatonic 2. In order to avoid all these difficulties, a sixth (the bass tone which is also the root of IV) is placed below the } b^2 \ldots \text{. This sixth has been misunderstood and introduced into theory as the "Neapolitan sixth." It is, however, an event that originates only in voice-leading . . . \(^{94}\)}
\]

A common thread that runs through all of these explanations is that the Neapolitan is in some way a substitute for something else; indeed, it must be explained

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in this fashion because it is not a diatonic member of the key in which it appears. Although theorists have differing opinions on the origins and proper explanation of the Neapolitan chord, all agree that its primary purpose is to lead to the dominant. As it was originally used, the Neapolitan strongly signals the impending dominant. While there is some freedom of motion for all of the chords on the chart, the typical Neapolitan moves to V without much delay. The traditional voice leading associated with the Neapolitan sixth is given in Example 2-13a. The lowered second scale degree most often moves to the leading tone of the key, resulting in a diminished third that contains a half-step approach to the tonic from above and below. The effect of this unusual melodic interval is frequently softened by inserting the tonic note between b\textsuperscript{2} and \textsuperscript{7}.

The two most common ways of "harmonizing" the tonic passing note are shown in Examples 2-13b and 2-13c. The essential voice leading of the outer parts remains the same in each instance. Versions b and c contain smooth parallel

95 I use the symbol "Ng" for the Neapolitan because its theoretical root is not a diatonic scale degree. This designation has been adopted in many current textbooks, such as (to name but a few) Allen Forte, Tonal Harmony, 360; Bruce Benward, Music in Theory and Practice, 2nd ed., 2 vols. (Dubuque, Iowa: Wm. C. Brown, 1982), II, 155; Robert Ottman, Advanced Harmony, 191; Kostka and Payne, Tonal Harmony, 357; John Baur, Music Theory through Literature, 2 vols. (Englewood Cliffs, New Jersey: Prentice-Hall, 1985), II, 81; and Thomas Benjamin, Michael Horvit, and Robert Nelson, Techniques and Materials of Tonal Music (Boston: Houghton Mifflin, 1986), 143.
sixths between the upper parts, while version c has the added benefit of the chromatic leading tone in the bass.

Ex. 2-13. Common Resolutions of the Neapolitan

An example demonstrating the most popular explanation of the origin of the Neapolitan sixth chord is shown in Example 2-14. The lowered second scale degree is introduced as a chromatic upper neighbor to the fifth of the minor subdominant triad, resulting in an apparent major triad

Ex. 2-14. Schubert, "Die Stadt" from Schwanengesang
built on the second scale degree. Whatever the origins of the chord might be, it is usually independently introduced and resolved.

Nineteenth-century composers often employed the Neapolitan triad in root position, in effect lending more credence to the view that it is an independent harmony. They also allowed it to move to chords other than those mentioned above before arriving at the dominant. The opening of Schubert’s "Die Krähe" from Die Winterreise illustrates both of these statements (see Example 2-15).

Schubert introduces the Neapolitan triad in root position in the third measure, and follows it with a submediant triad in
first inversion. A more traditional usage of the chord is seen in m. 4.

As with any consonant chord, the Neapolitan may be tonicized, thus extending its function (as shown in Example 2-16). The secondary dominant of the Neapolitan is built on the submediant scale degree, and the major-minor seventh

Ex. 2-16. Schubert, "Irrlicht" from Die Winterreise
chord built on this degree is aurally equivalent to the German augmented sixth chord.\(^9^6\) The key of this song is B minor, but brief excursions into C major are made in mm. 32-34 and 36-38. While C is clearly tonicized by its dominant (G), the final C chord in both instances proceeds to a tonic six-four in B minor, causing it to be heard as a Neapolitan on a different level of harmonic structure. Locally, C is the tonal center, but in the context of its surroundings it is the Neapolitan of B.

On several occasions this passage exemplifies another important convention of the common-practice era: second-inversion major or minor chords placed in an accented position usually prove to be tonic six-four chords, at least on a local level.\(^9^7\) This may be seen in mm. 33 and 37,

\(^9^6\)The importance of the aural equivalence of the dominant seventh and German sixth chords in nineteenth-century harmonic practice is discussed below.

\(^9^7\)This fact was also observed by Gottfried Weber over 150 years ago:

"... the tonic harmony very frequently occurs in the second inversion (in the fourth-sixth position,) particularly on the heavy portions of the measure ... . Our ear is so accustomed by this means to hear a tonic harmony occur in such a way, that it has become thereby inclined to take every large or small fourth-sixth chord that occurs in this way [i.e., accented], as a tonic harmony . . .."

(Theory of Musical Composition, 350). I use the term "tonic six-four" and the symbol "I\(^4\)" somewhat loosely: the accented six-four is usually an embellishment of the dominant five-three, and is rarely an essential harmony in the common-practice era.
where the C chord in second inversion indicates a local
tonic function, and also in mm. 35 and 39, where the overall
tonic of B minor is reestablished.

A seventh is sometimes added to the Neapolitan triad,
resulting in a major-major seventh chord in first inversion.
A well-known example occurs in the first movement of
Beethoven's *Eroica Symphony*, right before the introduction
of the famous "development" theme (see Example 2-17).
Beethoven emphasizes the dissonant half-step between the
root and seventh of the chord by placing it prominently in
the flutes. There is an interesting parallelism to this
passage. The Neapolitan six-five chord appears in the key
of E minor, which is the minor Neapolitan key of the home
key of Eb major. This somewhat surprising new theme which
crops up in the midst of the development section is placed
in the somewhat surprising key of the minor Neapolitan, and
introduced by a surprisingly dissonant Neapolitan six-five
chord.

The Neapolitan chord moves directly to the tonic
harmony on occasion, as in Example 2-18. In this particular
instance, the $4 - 1$ bass line creates an altered plagal
cadence on the tonic in the fifth measure.

A special characteristic of the Neapolitan chord is the
tritone relationship between its theoretical root and the
dominant pitch. There is no other progression in the
extended diatonic system in which a tritone relationship
exists between the roots of two major triads. Whenever this relationship is heard, therefore, we interpret the chords as a $N_6$ moving to $V$. Whether or not such an interpretation is
confirmed in the continuation of the passage does not affect its initial validity.


There are some curious exceptions to be found, such as in the fourth movement of Berlioz’s *Symphonie Fantastique*. In the key of G minor, a Db-major chord alternates with a G-minor chord (see Example 2-19). Although this is a tritone root movement, the second chord is not a major triad. By convention, a dominant-function chord built on the fifth scale degree is usually major. In context of the passage as a whole, G remains tonic. The first impression of the Db

chord is that it will be a Neapolitan chord in the key of C, but, as noted by Schenker, this relationship is not confirmed:
the step progression from D-flat to G arouses in the listener, above all, the impression of the step progression bII-V in C minor (not in G minor) . . . and this impression is not canceled by the subsequent measure, which claims, in a rather brutal fashion, the V step as the tonic I of G minor, a claim which is fulfilled without true force of conviction.98

It is obvious that Berlioz is manipulating the listener's expectations by toying with the Neapolitan relationship: "these harmonies are, so to speak, suspended in mid-air, without any further confirmation, a situation which must arouse doubts in our ear."99

The Augmented Sixth Chord

The augmented sixth chord, like the Neapolitan sixth chord, was first used in the Baroque period as a dominant-preparation chord in the minor mode. The chord derives its name from its characteristic interval: the augmented sixth between scale degree b6 in the bass and scale degree #4 in an upper part. This interval traditionally resolves to an octave on the dominant pitch. The chord has a strong purpose and function as a dominant-preparation chord.

Several different varieties of this chord exist, all of which share the characteristic interval of the augmented sixth between the lowered sixth and raised fourth scale degrees, and also the tonic note. The three most common

98Schenker, Harmony, 113.

forms of the chord have come to be known as the Italian sixth (Example 2-20a), the French sixth (Example 2-20b), and the German sixth (Example 2-20c). The French sixth contains the second scale degree in addition to #4, b6 and 7, while the German sixth adds b3. When the German sixth is used in the major mode, it is often spelled as in Example 2-20d because the raised second scale degree serves as a more satisfactory visual leading tone to the major third scale degree than does the minor third scale degree (see Example 2-21d).

Although the augmented sixth chord has three common forms, these represent essentially the same chord. The basic voice leading involved in the resolution of the chord to the dominant is unaffected by the minor differences in quality (see Example 2-21). The augmented sixth expands to

Ex. 2-20. The Augmented Sixth Chord

Ex. 2-21. Resolutions of the Augmented Sixth Chord
the dominant octave in each case, and the tonic pitch steps down to the third of the dominant chord. The difference lies in the way in which the fifth of the dominant chord is approached: in the Italian sixth it is approached from the tonic note, in the French sixth it is held as a common tone, and in the German sixth it is approached from the third scale degree, resulting in parallel fifths if the tonic six-four does not intervene.

As with the Neapolitan sixth, the augmented sixth chord had long been used in musical practice before it received any theoretical explanation. Explanations of the chord appear for the first time in treatises of the mid to late eighteenth century, and the French sixth is the most common variant to be discussed:

Of the three common augmented sixth chords, theorists show no nationalistic partiality in their discussion, except perhaps for the French authors. Only Marpurg and Roussier mention all three of the chords. Sorge discusses the Italian and French chords and Serre the French and German. Tartini speaks only of the German chord and Rameau, Rousseau, d'Alembert, Béthizy, and Ballière mention only the French chord. 

100 The brief historical survey to follow focuses on the more important theoretical issues associated with the augmented sixth chord, and will not include a catalogue of all existing derivations and explanations of the chord.

101 James Krehbiel, "Harmonic Principles of Jean-Phillipe Rameau and his Contemporaries" (Ph.D. diss., Indiana University, 1964), 282, n. 2. Rameau actually mentions the Italian sixth as well as the French; see n. 87 below.
The first theorist to grant fundamental status to the augmented sixth chord was apparently Georg Andreas Sorge (1703-1778), who allowed five fundamental triads: major, minor, diminished, augmented, and the "triade manca" (the "defective triad").

Sorge explains the triade manca as a combination of two chords: the major third of the major triad combined with the diminished fifth of the diminished triad (in A minor, B-D#-F). Although Sorge's triade manca is not one of the common varieties of the augmented sixth chord and would appear to have little practical value in explaining the music of his day, it does serve the theoretical purpose of providing a fundamental triad to which a seventh may be added to obtain the French sixth.

Sorge's derivation of the augmented sixth underscores a problem that has continued to plague theorists up to the present day: the question of a common "root" for the three qualities of the augmented sixth. If these chords are stacked in thirds and the lowest tone is taken as the "fundamental," the French sixth would appear to be based on the second scale degree, while the Italian and German sixths

102 Sorge, Vorgemach der musikalischen Komposition, 21-22.

103 Sorge, 376-377. Sorge also adds a ninth as well as a seventh to the triade manca, resulting in a chord which contains all of the tones of the French, Italian, and German sixths.
would be built on the raised fourth degree. Related to this problem is the question of whether the augmented sixth chords are to be interpreted as alterations of diatonic chords (ii° and iv), as alterations of secondary dominants (V/V and vii°/V), or as a mixture of both.

Rameau comes close to giving all three of these explanations in his discussion of the French sixth chord. He demonstrates that the tonic with added sixth in the key of C (C-E-G-A) is the same as the supertonic six-five of G, and that the supertonic seventh of C (D-F-A-C) differs by only one sharp from the dominant seventh of G (D-F#-A-C); next asserting:

From this latter community of chords [ii7 and V7/V] follows the possibility of an augmented sixth [sixte superflue], by sharpening also the fourth of the tonic of a minor key in its chord of the second [ii°] when the B[asso] C[ontinuo] descends a semitone to its dominant; which is frequently practiced when one wishes to make felt an absolute repose on this dominant.105

104 For example, Vogler places the German sixth on the raised fourth degree obtained from his "natural" scale, and constructs the French sixth on the second scale degree (Handbuch zur Harmonielehre, 112).

105 Rameau, Code de musique pratique (Paris: Imprimerie royale, 1760), 55-56; fasc. ed. in Vol. III of The Complete Theoretical Writings of Jean-Philippe Rameau, ed. Erwin Jacobi (Rome: American Institute of Musicology, 1969), 79-80. (De cette derniere communauté d'accords suit la possibilité d'une sixte superflue, en désiant également la quarte de la tonique d'un Ton mineur dans son accord de second lorsque la B.C. descend d'un demi-ton sur sa dominante-tonique; ce qui se pratique volontiers lorsqu'on veut faire sentir un repos absolu sur cette dominante-tonique.) The popular misconception that Rameau does not speak of the augmented sixth chord is largely due to Matthew
Rameau presents the French augmented sixth (B-D#-F-A) as an altered supertonic chord (showing the second scale degree in the fundamental bass), and yet notes its similarity to the dominant of the dominant, and that it may create a greater repose on the dominant than a normal supertonic chord. Through this discussion, Rameau also implies that the augmented sixth chord is composed of elements from two different keys.106

Having placed the French sixth on the second scale degree, Rameau later uses his theory of implied roots to explain the Italian sixth as an incomplete altered supertonic seventh chord.107 In a similar fashion, Rameau could have explained the German sixth as an incomplete altered supertonic ninth chord, but does not mention the chord. This step is taken by Kirnberger and Schulz:

When the older composers wanted to make a half cadence on the dominant of the tonic in a minor

Shirlaw's statement to this effect (The Theory of Harmony [London: Novello, 1917], 242), and also because Rameau does not include discussions of the augmented sixth in any of his major treatises. The importance and significance of Shirlaw's work may be seen in the extent to which some of its inaccuracies have spread. For example, Joan Ferris, citing Shirlaw, allows that "nowhere does [Rameau] treat of the chords of the augmented sixth" ("The Evolution of Rameau's Harmonic Theories," 235).

106 In fact, the title of the section in which this discussion appears is "Of the common chords to different tonics, where the question is of the augmented sixth" ("Des accords communs à différentes toniques, où il s'agit de la sixte superflue," Code, 55-56).

107 Rameau, Code, 124.
key, they used the natural four-three chord \(\text{ii}^6\text{V}\) as a suitable leading chord to such a cadence, or without the fourth [i.e., without the second scale degree], which is really the same chord. If they wanted to make the cadence more striking, they would raise the sixth by a half step and put D-sharp in place of D \([B-D\#-F-A \text{ in A minor}]\), thereby making the E chord \([V]\) more necessary and the cadence more sensible. But to avoid a certain mi-fa, which arises from the inversion of the diminished third D-sharp-F, and which was generally forbidden, they raised the bass note by a half step at the same time, and put F-sharp in place of F \([B-D\#-F\#-A, \text{ or } V_7/V]\). Modern composers have sought to retain the striking quality of this last cadence; but since the F-sharp in the bass is foreign to the key of A minor and sounds harsh, F instead of F-sharp was deemed more natural (in spite of the forbidden mi-fa), and the augmented sixth was introduced. Since it is merely a decoration transferred from the melody to the harmony and stands in place of the customary major sixth . . . the augmented sixth can neither effect a change in the fundamental harmony nor much less form an independent fundamental chord, as some have incorrectly taught [including Kirnberger himself, see The Art of Strict Musical Composition, p. 51]. Therefore the augmented sixth chord is always based on our third essential seventh chord \(\text{ii}^6\text{V}\), whose root \([B]\) is a fifth below the bass note \([F]\). And if the fifth \([C]\) instead of the fourth \([B]\) is used in this chord, the fifth is the non-essential ninth from the fundamental bass [which is still the second scale degree].

Kirnberger and Schulz have a rather roundabout way of explaining the augmented sixth: \(\text{ii}^6\text{V}\) may be altered to become \(V_7/V\), which may be further altered to obtain the French sixth. The Italian sixth consists of the same chord with the root missing, and the German sixth consists of the same chord with the root missing and an added ninth. All

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three chords, therefore, have the second scale degree as their fundamental bass.

The notion that all of the augmented sixth chords are based on the supertonic is accepted by many theorists in the nineteenth century. Weber places the symbol "ii°7" under all three forms of the chord,\(^{109}\) as does Richter later in the century.\(^{110}\) Weber gives two explanations for the chord: it may arise from raising the third of ii°7 or by lowering the fifth of a dominant seventh chord.\(^{111}\) The reason for this double derivation becomes apparent in analyses presented by Weber: since he has no theory of modal borrowing, he cannot designate the augmented sixth chord as ii°7 when it appears in the major mode; rather, he views it as an altered dominant from the key of the dominant.\(^{112}\) In keeping with Sechter's assertion that all chords must be founded on diatonic roots, he also considers the supertonic

\(^{109}\) Weber, Theory of Musical Composition, 210-212.


degree to be the root of all the augmented sixth chords. Sechter retains the twofold derivation of the chord as either ii°7 with raised third or V7 with lowered fifth, and designates it as a "hybrid chord" (Zwitteraccord) because it is constructed from elements drawn from two different keys. At the close of the century, Riemann retained the view that all three of the augmented sixth chords are built on the supertonic degree, yet he considered them as chords of dominant function, designating them as altered "double dominants" (dominants of the dominant) rather than altered supertonic.

The various explanations for the augmented sixth chord given above have survived and been influential in the twentieth century. For example, Schoenberg's explanation of the chord synthesizes many elements derived from earlier theorists; after first finding different roots for the French and German sixths, he asserts that both should be based on the supertonic degree, and that both may be thought of as altered secondary dominants:

In the derivation of the augmented six-five chord mentioned above, we find again the assumption of a raised root. I regard this assumption as incorrect in a system that considers roots (that can only be unraised ones) its unit of measure. Moreover, to derive the chord from two degrees is impractical. . . . Therefore, I find it more appropriate to derive the augmented six-five [i.e., the German sixth] from the ninth chord.

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113 Sechter, The Correct Order of Fundamental Harmonies, 149.
on II in major or minor, by way of secondary dominants, that is, from the diminished seventh chord.\textsuperscript{114}

Recent theoretical and pedagogical methods have continued to be divided on the issue of the augmented sixth chord. The notion that the common augmented sixths are built on different roots was espoused by Walter Piston, who also believed that they are "nondominant in function."\textsuperscript{115} Other theorists, such as Allen Forte, point to the origins of the augmented sixth in chromatic passing tones which are inserted between a diatonic dominant preparation (\textsuperscript{ii\#7}, iv, or iv\textsuperscript{7}) and the dominant, and therefore feel that designating a root is unnecessary.\textsuperscript{116} It has become common to use symbols such as "+6" that do not indicate a root for the harmony, sometimes with the quality of the chord being indicated by abbreviating its traditional label (It+6, Fr+6, It\textsuperscript{7}+6, Fr\textsuperscript{7}+6, etc.).

\textsuperscript{114}Schoenberg, Theory of Harmony, 246. Schoenberg's requirement that these chords be founded on diatonic roots reflects Sechter's influence. The Italian sixth is described by Schoenberg as an "augmented six-five without the ninth" (p. 249).

\textsuperscript{115}Walter Piston, Harmony, 3rd ed. (New York: W. W. Norton, 1962), 300-301. Mark DeVoto, the editor of the fourth edition (1978), has radically revised Piston's view of the augmented sixth chord as nondominant, stating that they are derived from secondary dominants instead of diatonic dominant-preparation chords. DeVoto also substitutes the abbreviated symbols mentioned below for Piston's Roman numerals, and asserts that the three common forms of the chord are different versions of an altered V/V (Harmony, 4th ed., 414-416).

\textsuperscript{116}Forte, Tonal Harmony, 353-358.
and Gr+6). These symbols will be used rather than Roman numerals in the present document for two primary reasons: Roman numerals cannot adequately express the various qualities of the augmented sixth chord, nor can they adequately express its function, which lies somewhere between dominant preparation and dominant. In addition, it is the common function shared by the augmented sixth chords which is of significance, moreso than whether or not a theoretical common root can be found and represented by a Roman numeral.

Theorists agree that the primary purpose and function of the augmented sixth chord is to lead to the dominant, although some prefer to see this as a dominant function rather than dominant preparation. I refer to the chord as a dominant preparation because the chord to which it normally resolves usually functions as a dominant; that is, the augmented sixth chord tends to enhance and intensify the dominant, making it sound more, not less, like a dominant.

The augmented sixth chord has a rich and varied history in eighteenth- and nineteenth-century musical practice, and, although its basic function remained dominant preparation, the chord was used differently in the various stylistic periods which make up this era. In the Baroque period the

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117 These abbreviations appear both with and without the "+" sign. See, for example, Ottman, Advanced Harmony, 219; Benward, Music in Theory and Practice, 169; or Kostka and Payne, Tonal Harmony, 368-372; among many others.
augmented sixth chord is frequently introduced in a chromatic, linear fashion, as in Example 2-22. In this example, the iv₆ chord on the fourth beat of the first measure is inflected by the chromatic passing tone G♯, resulting in an ever-so-brief augmented sixth. The raised fourth scale degree may also be approached from above, often in this period as part of a 7-6 suspension (see Example 2-23). On occasion, the raised fourth scale degree is introduced as part of a secondary dominant of V, with the
lowered sixth scale degree entering as a chromatic tone (see Example 2-24).

Ex. 2-24. Bach, Art of Fugue, Fuga IV

In the Viennese Classical era the augmented sixth chord achieved a greater degree of independence, but it remained largely within the minor mode. Composers of the period took advantage of the chord's strong resolution to the dominant by holding it in reserve to signal important arrivals on the dominant. In these instances, the basic role of the chord as dominant preparation is expanded, and it achieves the status of a formal indicator.

The first movement of Mozart's Piano Sonata in F, K. 332, illustrates this expanded role of the augmented sixth chord (see Example 2-25). The first key area consists of two primary sections, the first ending in m. 12 and the second in m. 22. The beginning of the transition in m. 22 is accompanied by an immediate shift to the relative minor, D. A brief sequential passage ensues in mm. 25-32,
Ex. 2-25. Mozart, Piano Sonata in F Major, K. 332, I

consisting of a leading-tone chord moving to tonic in the keys of D minor and C minor. Mozart has reached the dominant key level of C at this point, but has yet to establish it strongly. He remains in the minor mode in
order to introduce the augmented sixth chord in m. 35, signalling the arrival of the dominant of C in m. 37. Mozart concludes the transition with a half cadence in the key of C minor (m. 40), shifting the mode to C major for the entrance of the second theme in m. 41. The modulation to the dominant is the most important tonal event within the exposition of Classical sonata-allegro form, and the arrival of the dominant key is often signalled through the use of the augmented sixth chord, just as Mozart has done in this example.

The role of the augmented sixth chord changed again during the course of the nineteenth century: composers began to use the chord directly in the major mode with greater frequency, and began to use it with scale degrees other than b₆ in the bass. With the expansion and breakdown of Classical forms that took place during this century, the chord lost some of its significance as an indicator of formal structure, but at the same time became more frequently and freely used. In Example 2-26 the French sixth appears with the tonic note in the bass and proceeds directly to a root-position tonic, serving as a neighbor chord to i.

Nineteenth-century composers also devised new qualities for the augmented sixth chord. In the most common of these alternate qualities, the major third scale degree is substituted for the minor third scale degree. The advantage
Dach, da war es kalt und fin...ster, es

Ex. 2-26. Schubert, "Frühlingstraum" from Die Winterreise

of this substitution is evident in Example 2-27: the third scale degree may be held as a common tone between the augmented sixth chord and the major tonic six-four. For purposes of classification, this particular variant of the

Ex. 2-27. Schubert, "Aufenthalt" from Schwanengesang
The Augmented Triad and Common-Tone Diminished Seventh

The discussion thus far has presented the diatonic system and its conventional extensions as they were used during the common-practice era. We have seen how the basic set of diatonic chords may be supplemented and enlarged through secondary function, mode mixture, and the altered dominant-preparation chords. The great wealth and variety of music written during the target years precludes an exhaustive categorization of every possible chord and chord progression. I have sought instead to present the principles of the present premise of traditional tonality, to provide a paradigm of harmonic progression within the various styles making up the common-practice period. There are many other means of extending the diatonic system, two of which occur with a frequency that merits attention.

The first is the augmented triad. It was stated above that the augmented triad only appears on the third degree of the minor scale in the diatonic system. This chord substitutes for the dominant, and thus has a dominant function. As an extension of the diatonic system, the

\[\text{augmented sixth chords is called the "Austrian sixth" in this study.}\]
augmented triad may serve a dominant function in a more
direct fashion: it may appear as an altered chord on the
dominant scale degree. Frequently the dominant is heard in
its normal form first, with the raised fifth acting as a
chromatic passing tone (see Example 2-28). A greater need
for resolution is created by the chromatic passing tone, and
it serves as a leading tone to the third of the tonic triad.

Ex. 2-28. The Augmented Dominant

The chord is also used in a more independent fashion,
with the raised fifth being directly introduced (see Example
2-29). The chord often appears on the tonic note as well,
usually acting as a secondary dominant of the subdominant
(see Example 2-30). Any dominant, secondary or primary, may
appear with an augmented fifth, and yet retain its dominant
function.

The common-tone diminished seventh is the other means
of extending the diatonic system mentioned above, and also
has its origins in melody. The fully-diminished seventh
chord is primarily a chord of dominant function; that is, it tonicizes the following chord by serving as a leading-tone
chord. In this resolution of the chord, there are no common
tones between it and the following chord (see Example 2-
31a). The common-tone diminished seventh is so named

\[ \text{Ex. 2-31. Resolutions}
\text{of the Diminished}
\text{Seventh Chord} \]

because its resolution contains a common tone, usually the
spelled seventh of the diminished seventh chord becoming the
root of the following chord (Example 2-31b). The resolution
chord is almost always a major triad, usually I or V in a
major key.

The common-tone diminished seventh has a nonessential
flavor to it, primarily for two reasons. First, it is
usually introduced as a passing, appoggiatura, or pedal
chord, and its members may be analyzed as nonharmonic tones.
In Example 2-32 the passing motion over the tonic pedal is
evident. Second, lack of a clear harmonic function
contributes to the nonessential nature of the common-tone
diminished seventh. It does not tonicize the following
chord in the same manner as the leading-tone resolution, but
neither does it consistently serve as a dominant-preparation
chord. For these reasons its effect is more decorative than essential.

Modulation

Modulation and the relationship of keys within a piece were also subject to convention within the common-practice period. Modulation in the seventeenth and eighteenth centuries was governed by the closely related keys, those

119 The chord is often referred to as "nondominant." I use the term "common-tone" because it seems more fitting to describe the chord by what it is, rather than what it is not. In addition, the chord may be interpreted as a dominant function that resolves deceptively. In Example 2-28b, the dominant resolution for the F# diminished seventh would be G. Thinking in the key of G, a dominant seventh chord on D resolving to an Eb-major triad would be interpreted as $V_7 - bVI$, a deceptive resolution. The same privilege may be extended to the leading-tone seventh of the key. The two common-tone diminished sevenths that appear with the greatest frequency are often designated as #$ii_7^0$ and #$vi_7^0$. I prefer the label "ct$^0_7$" because these chords are not founded on diatonic roots and lack a clear sense of function, and thus violate the concept of fundamental harmonies presented above.
whose key signatures differ by no more than one sharp or flat from the original key. The most common modulations during this time were to the dominant from a major tonic, and the relative major from a minor tonic. Common-chord modulation was by far the predominant means by which one key was exchanged for another.

The Haydn rondo shown in Example 2-33 contains two good examples of common-chord modulation. The first phrase of the theme ends with a half cadence in the original key of E minor in m. 4. The second phrase takes up in E minor, but concludes in G major. The E chord in m. 5 is clearly still a tonic chord in E minor. The D chord in m. 7 functions as
the dominant of G, no longer indicating the original tonic, E. The A-minor chord in m. 6 is more ambivalent. This chord belongs to both keys, and may function toward either tonal center. It may simultaneously be iv₆ in E and ii₆ in G. In other words, it is approached as a iv chord and left as a ii chord, thus serving as a pivot between the keys of E minor and G major.

The modulation back to the home key is accomplished in mm. 9-12 by means of a harmonic and melodic sequence. The G and C chords in mm. 9-10 are still heard in the context of G major, while the B-major chord in m. 12 indicates a return to E minor. The F#-diminished triad in m. 11 could behave as vii° in the key of G major (as it is approached), but when the B chord of m. 12 sounds, it becomes evident that the F# chord also acts like ii° in the key of E.

Modulation in this period may also be more direct, employing no diatonic pivot chord. Phrase modulation, where one phrase ends in one key and the next phrase begins directly in another, is a common device. In addition, a dominant-function chord in one key may move directly to a dominant-function chord in another key. This frequently happens in modulations from a major tonic to its relative minor, as in Example 2-34. The excerpt begins in C major, with the dominant seventh alternating with the leading-tone seventh (another example of mode mixture, the Ab being borrowed from C minor). In m. 67 the V₇ chord is followed
immediately by $V_6^6$ in the key of A minor, transferring the dominant function to that tonal center. This particular progression is quite common, and is found especially frequently in recitatives from the Baroque era through the nineteenth century. It will also be seen to be very important for Wolf.

Ex. 2-34. Schubert, "Kriegers Ahnung" from *Schwanengesang*

Late eighteenth- and early nineteenth-century modulatory practice expands on the closely related keys through modal interchange or through enharmonic reinterpretation of aurally equivalent sonorities.
Beethoven was the first (and past) master of manipulating the listener through modal interchange in his key schemes. The first movement of his "Waldstein" Sonata (Op. 53) is a familiar example. The movement is in sonata-allegro form, and begins in C major. The transition moves to the closely related key of E minor, but Beethoven changes the mode to E major at the entrance of the second theme. In doing so he reaches a remote key through a relatively simple device, and the overall effect is quite smooth.

Another means of employing mode mixture to arrive at a foreign key is found in the finale of his Symphony #8, which contains a rather peculiar extension of sonata-allegro form. There are two development and recapitulation sections, so that the overall form reads: Exposition - Development I - Recapitulation I - Development II - Recapitulation II - Coda. This duplicity of the overall form is reflected on a smaller scale by the double announcement of each of the main themes in the exposition. The movement is in F major, and both statements of the first theme are in this key. The transition moves to the dominant of C major to set up the arrival of the second key area. We expect the second theme to enter in the key of C major because that is the key Beethoven prepares in his transition, and because the second theme is normally in the dominant key in a major-mode movement.
Beethoven has a surprise in store, however. The G chord, which the listener has been led to believe is the dominant of C major, resolves in traditional deceptive fashion to an Ab-major chord (bVI/C). Furthermore, it immediately becomes evident that Ab is now the tonal center, with the second theme being presented in the "wrong" key. A brief extension connects the two statements of the second theme, and in it Ab receives yet another interpretation. It moves in Neapolitan fashion to D7 (a tritone root movement), which is followed by G7, and finally C. Now Beethoven repeats the second theme in the "correct" key.

The key of Ab major is distantly related to both F and C major, but is closely related to both F and C minor. In this manner the technique of mode mixture may influence key relations: Ab is reached through a deceptive resolution of the dominant of C major, and thus is first heard as the submediant of C minor borrowed into the major mode.

Foreign keys may also be reached smoothly through the enharmonic reinterpretation of aurally equivalent sonorities such as the diminished seventh chord and the major-minor seventh/German sixth chords. The diminished seventh chord is constructed entirely of minor thirds, and the interval from its seventh to the octave of its spelled root is yet another minor third (enharmonically spelled). Because of the chords symmetrical structure (it divides the octave equally into minor thirds), it has a limited number of
exclusive transpositions. Although a diminished seventh chord may be built on each of the twelve tones of the chromatic scale, only four of these chords are aurally distinct, the others are mere duplications of one of these in a different register.

Since the leading-tone diminished seventh chord in C minor consists of the same pitch classes as that of Gb minor, one may easily be exchanged for the other. In fact, any of the four notes of a diminished seventh chord may be treated as a leading tone, with each such interpretation leading to another key (see Example 2-35). Combined with

Ex. 2-35. Enharmonic Resolutions of the Diminished Seventh Chord

mode mixture, then, any diminished seventh chord may lead directly to eight different major and minor keys. The diminished seventh chord may also be treated as a secondary function in either key, so that the possibilities seem almost endless.

An example of an enharmonic pivot employing the diminished seventh chord as a secondary function is shown in Example 2-36. The excerpt begins in F major. The diminished seventh chord on the second beat of m. 41 is
Ex. 2-36. Schubert, "Die Wetterfahne" from *Die Winterreise*

spelled as a leading-tone seventh to D. Because of the symmetrical structure of the chord, however, the listener is not aware that the C# is not a Db until the following chord is heard. The first interpretation of the diminished seventh is as vii\(^\text{07}\) in the key of F, but the chord is enharmonically reinterpreted as vii\(^\text{07}/\text{V}\) in G minor.

Despite the enharmonic versatility of the diminished seventh chord, composers have shown a preference for the enharmonic interchange of the major-minor seventh and the German sixth, perhaps because of its dramatic nature. The key to its striking effect lies in the change of function that occurs when these sonorities are reinterpreted. When the diminished seventh chord is enharmonically reinterpreted, it remains a dominant-function chord on a primary or secondary level. On the other hand, the dominant seventh chord is transformed into a dominant-preparation
chord in another key when it is reinterpreted as a German sixth.

The musical literature of the nineteenth century abounds with such transformations. Example 2-37 is drawn from Schubert's "Gefrorne Tränen" from the Die Winterreise cycle. The excerpt begins in Gb major, the Neapolitan key of the F-minor home key. The dominant seventh in the second measure of the example is enharmonically respelled at the end of the third measure, but the listener is not aware of the replacement of Cb with B until the F-minor tonic six-four arrives in the fourth measure. A very smooth modulation to a distant, half-step-related key results.

The Neapolitan often plays an important role in this type of reinterpretation. The secondary dominant seventh of the Neapolitan is enharmonically equivalent to the German
sixth of the key, thus both relate directly to the extended diatonic system. Schumann emphasizes this relationship in the first movement of his Piano Concerto in A minor in the passage leading to the cadenza (see Example 2-38). The passage begins in A major, with a F major-minor seventh serving as a secondary dominant of the Neapolitan on several occasions. The F7 chord is heard once more in the four-measure piano arpeggio immediately preceding the cadenza.

Ex. 2-38. Schumann, Piano Concerto in A minor, I (Example continued next page)
Ex. 2-38, continued

In the first measure of the cadenza Eb is respelled as D#, with the chord now functioning as the German sixth of A.
minor. In both of its spellings, the sonority in question functions more or less directly toward the tonal center of A.

The reverse interpretation, taking the German sixth of a given key and resolving it like a dominant seventh in another key, is less frequent but still merits mention. In either interpretation the dominant seventh may serve a secondary function, as in Example 2-39. The excerpt begins in the key of D minor and returns to the home key of Bb major. The Bb chord on the second beat of

Ex. 2-39. Schubert, "Frühlingassehnsucht" from Schwanengesang

the second measure has several potential interpretations. It could resolve as a German sixth in D minor, moving either to an A chord or a D six-four. When it resolves as a dominant seventh instead, it sounds like a secondary
dominant of the Neapolitan as in the Schumann example above. It is only when the key of Bb is established in the sixth and seventh measures that it becomes apparent that the Eb chord is actually the subdominant of Bb.

The enharmonic equivalence of the dominant seventh and German sixth chords was known to composers prior to the nineteenth century; Mozart was well aware of its existence, and used it in a very striking way in his Violin Sonata in Bb Major, K. 454. The second movement of this sonata contains an unusual sequential passage (see Example 2-40), which begins in Bb minor and moves through B minor to C minor. The modulation in each instance is effected through an enharmonic pivot chord.

The key of Bb minor is established in mm. 57-60. The F# major-minor seventh represents an enharmonic spelling of the German sixth in Bb minor: E-Gb-Bb-Db. It is approached as a German sixth, but resolves as the dominant seventh of B. The striking nature of this progression is created by the deceptive resolution to G, bVI of B. B is not established as the tonal center until m. 64, at which point the process is repeated in the modulation to C minor.

Conclusion

The explanations of traditional harmonic theory and practice outlined above present the principles we take as representative norms of harmonic progression to our
an investigation of Wolf's harmonic language. It is not possible within the present scope to offer a full exposition of traditional tonality: many passages exist in the common-practice period that are difficult to explain in terms of common practice, for they lie outside of its conventions. Examples of such exceptional passages will be brought into
play where appropriate in the discussion of Wolf's music. My approach posits explanation for each thread in a musical fabric either as a diatonic chord in some key, or as a diatonic extension such as secondary function, mode mixture, altered dominant-preparation, or other altered diatonic function.
CHAPTER 3

THE ROLE OF THE DOMINANT

The primary role of the dominant chord in eighteenth- and nineteenth-century music is to establish the centrality of the tonic note. Works of this period receive their firm sense of a tonal center from the frequent reiteration of the progression V - I. The dominant chord retains this role in Wolf's music, although he interprets and resolves it in different ways. The dominant chord appears as often in Wolf's music as in the music of earlier composers; Wolf's use of the chord differs most in resolution: in the common-practice period the dominant resolves most often to the tonic harmony, while in Wolf's music it resolves as often to other scale degrees as it does the tonic, with the most frequent irregular resolutions involving root movement by ascending step or descending major or minor third. In this chapter we will discuss irregular resolutions of the dominant, classify them by root movement, examine the various harmonic contexts in which these resolutions might occur, and conclude with a brief examination of altered dominant chords and Wolf's use of the augmented mediant as a dominant substitute.
The Deceptive Resolution

The most frequent alternate resolution in the common-practice era is the so-called "deceptive" resolution, usually V7 – vi. I define a deceptive resolution as one in which the leading tone (the third of the dominant seventh) resolves to the third of the following chord (vi or bVI), or, less commonly, the fifth (iv6 or IV6). The most common root movement in deceptive resolutions is an ascending step: an ascending half-step to a major triad for a minor key (bVI), or an ascending whole-step to a minor triad for a major key (vi). Secondary dominants may also have this deceptive resolution. In keeping with my procedure of first attempting to find a traditional explanation for every progression, I describe any progression in which the root of a dominant sonority moves a step to the root of the following chord a "deceptive resolution."¹

Interestingly, this resolution is not frequently used by Wolf in the major mode, and occurs in only six of the forty-six Italian songs (see Example 3-1).² It appears with much greater frequency in the minor mode in Wolf's songs (see Ex. 3-2). The deceptive resolution shown in Example 3-2 also demonstrates Wolf's frequent disregard for

¹This definition does not include V – IV when both are in root position; see the section entitled "The Retrograde" below.

²The deceptive resolution in Example 3-1 is embellished by a chromatic passing tone in the bass (F#).
Ex. 3-1. "Was für ein Lied soll dir gesungen werden,"
Italienisches Liederbuch #23

traditional voice leading: note the move of the root position V chord to a submediant chord in first inversion.

Ex. 3-2. "Heb' auf dein blondes Haupt und schlafe nicht,"
Italienisches Liederbuch #18
Wolf uses the deceptive resolution in the minor mode to reach the German sixth chord as well, as in Example 3-3.

Two other important aspects of Wolf's style (which will be discussed more fully below) are also shown in the example: the use of repeated progressions, and the use of a traditional progression in reverse. The first occurs with the repetition of Gr+6 – vii°7/V – V7, and the second in the move from the German sixth to vii°7/V. In the common-practice period it is far more typical to move from vii°7/V to the German sixth than the other way around.

The deceptive resolution in which V moves to iv6 or IV6 is relatively common in Wolf's music. Example 3-4 contains such a progression, and also a further example of a repeated chord progression. In this case the deceptive resolution
and the repeated chord progression serve a traditional purpose: to achieve a balanced phrase structure. The first two phrase segments are each two bars long, and the second 

\[ \text{Ex. 3-4. "Schweig' einmal still,"} \]
\[ \text{Italienisches Liederbuch #43} \]

contains a motion toward the relative major, C. This motion remains unconfirmed, because the V chord in C moves directly to the dominant of A minor. Wolf could have ended the introductory phrase with a half cadence in m. 5, but this would have upset the consistent two-bar phrase segment structure that is found throughout the remainder of the song. Through the deceptive resolution and the repetition
of the chord progression in m. 5, Wolf manages to balance
the first two two-bar phrase segments with a third.

Wolf often resolves secondary dominants in a deceptive
fashion, even more frequently than do earlier composers.
For example, the resolution of V7/vi to IV (bVI/vi) is
fairly common, occurring in eight of the Italian songs as
well as in many of his other works. The first four chords
of "Gesegnet sei das Grün" (Example 3-5) contain the same
harmonic progression as mm. 30-31 of the Schumann song in
Example 2-10: I - V7/vi - IV - V. Deceptive resolutions
predominate in "Gesegnet sei das Grün", occurring in mm. 1-
2, 2, 3-4, 4-5, 5-6, 6-7, 7-8, 14-15, and 16. Resolutions

Ex. 3-5. "Gesegnet sei das Grün," Italienisches
Liederbuch #39

3Deborah Stein discusses "Gesegnet sei das Grün" at
length; see Hugo Wolf's 'Lieder,' 22-23 and 109-116.
of dominant chords to tonic chords (at least on a local level), on the other hand, occur only in mm. 10-11 and 18-21.

Another secondary dominant frequently resolved in deceptive fashion is V7/IV, which moves to the Neapolitan chord or, less frequently, ii or V7/V. This progression occurs in eight of the Italian songs. The Neapolitan usually retains its traditional function as dominant preparation when reached in this fashion, as can be seen in Example 3-6. The excerpt is in A minor, with the secondary dominant of iv appearing on the second beat of m. 9. The

Ex. 3-6. "Nicht länger kann ich singen,"
Italienisches Liederbuch #42

\[\text{Ja wüsste ich was, würde ich nicht beim Spazieren und einsam diesen}
\]

\[a: bVI V_2^7 iv N_6 V_7 (ii^6_7) V_3^4 (iv_7) V_2^4 i\]

4 The progression from V7/IV to the Neapolitan occurs most frequently in the second half of the Italienisches Liederbuch. Seven of the eight songs containing this progression occur in this later group.
deceptive resolution occurs when the A major-minor seventh chord moves to the Bb-major triad on the third beat. The N6 then proceeds in traditional fashion to the dominant. While it is possible to analyze the Bb as a non-chord tone, in which case iv7 would result, such an analysis overlooks the strong effect created by the entrance of the Bb in an accented position.

Example 3-7 contains a more obvious example of V7/IV moving to the Neapolitan. The Neapolitan in this example is given greater emphasis through agogic accent, and by being placed in second inversion. The appearance of the chord in

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Ex. 3-7. "Schon streckt' ich aus im Bett,
Italienisches Liederbuch #27
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second inversion leaves open the possibility that a modulation to the Neapolitan key will take place, with the Neapolitan becoming a tonic six-four. Instead, its function
is twofold. On a surface level it functions as bVI/IV, serving a temporary tonic function as the resolution of the preceding V7/IV and as a dominant-preparation chord in its return to V7/IV. Considering the phrase as a whole, however, the chord retains its function as the Neapolitan of Ab by moving through V7/IV, vii\(^{0}\)/V, and the German sixth before finally reaching the phrase-ending dominant chord in m. 6.

A secondary dominant chord may move to another secondary dominant chord whose root is a step higher. While audibly this does not give a strong impression of a deceptive resolution, that relationship is still present, as when the C# major-minor seventh chord moves to the D# major-minor seventh chord in Example 3-8. The resolution of V7/IV


to vii\(^{0}\)/V in Example 3-7 can also be explained as a deceptive resolution, although this is not really necessary
owing to our rule that any dominant-function chord may move directly to any other dominant-function chord, the latter assuming the dominant function of the first and changing its direction. Beginning with fundamental-bass theorists such as Rameau and Kirnberger, it became common to consider the fully-diminished seventh chord as a dominant chord with its root missing. For such theorists, the theoretical root of the chord on the second beat of m. 6 would be Bb (see Example 3-7). When Bb is recognized as lying a whole-step above the preceding Ab dominant seventh, the deceptive relationship becomes apparent.

In the deceptive resolutions discussed thus far, it is a reasonable expectation that the dominant chord will resolve to its respective tonic harmony. Such an expectation also exists for those secondary functions remaining to be discussed, although several have alternate explanations as well. For example, the V7/vi chord in the Schumann excerpt in Example 2-10 was given two explanations: it can be seen as a secondary function that resolves deceptively, and also as some form of altered mediant chord that moves to the subdominant in imitation of a common diatonic progression. The progressions V/IV - N6 and V/V - bIII may also be viewed in both of these ways. In each of these progressions, the resolution chord retains its

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5See Chapter 2, p. 65.
function toward the original tonal center. This is not true of all deceptive resolutions, and in some others the "deceptive" resolution is the expected one.

An example in which the "deceptive" resolution is expected occurs in m. 4 of "Dass doch gemalt all' deine Reize wären" (see Example 3-9). The addition of a minor seventh to the major subdominant chord creates a dominant seventh sonority. As a secondary function, this chord would usually be labeled V7/bVII. While it is possible for the chord to function toward the subtonic in a minor key, this would not be a likely progression in a major key. It is more likely that this chord will be heard as it was just described: as a subdominant chord with a lowered seventh. When seen in this light, its resolution is more expected than deceptive. It functions more as an altered dominant-preparation chord than as a dominant chord that resolves

Ex. 3-9. "Dass doch gemalt all' deine Reize wären," Italienisches Liederbuch #9
deceptively, and yet the deceptive relationship is still present.

The dominant seventh sonority may be formed on the subdominant scale degree in the minor mode when voice-leading considerations require that the raised sixth scale degree be used to reach the leading tone (creating a chord such as F-A-C-Eb in C minor). Such cases result entirely from melodic considerations, and the dominant seventh sonority thus created is incidental to melodic necessities. Therefore, it is more logical to label the chord as IVb7 rather than V7/bVII.6

The IVb7 chord occurs in the common-practice era as well, appearing often in the chorale harmonizations of J. S. Bach. Bach used this sonority only in the minor mode, and it is usually formed by passing motion. The IVb7 appears twice in the chorale phrase shown in Example 3-10, both times moving to V. When this progression appears in the major mode, as it does in Wolf, it may be viewed as a

6Again, I employ analytical symbols that describe the particular sonority of a chord as well as its derivation and function. The IVb7 is not a fundamental harmony in and of itself; rather, it is an alteration of the fundamental IV7. A clear use of IVb7 occurs in the Mörike song "Auf eine Christblume II," in which the progression I - IVb7 - V7 appears nine times in the course of forty-two measures. Hans Tischler cites the I - IVb7 - V7 progression that opens this song, asserting that the subdominant major-minor seventh is "heard in direct reference to the main tonic" and that its root "is interpreted as a diatonic step of the main key, and those tones which do not belong to the key are heard as 'alterations,' or nonharmonic tones." (Practical Harmony [Boston: Allyn and Bacon, 1964], 244).
borrowed chord and retain its designation as a subdominant chord.

Ex. 3-10. Bach, Chorale #33, "Herr, ich habe missgehandelt"

Closely related to this last progression is the deceptive resolution $V_7/vii - V$. In this case, the dominant seventh sonority is built on the raised fourth scale degree and resolves up a half-step to $V$. While this motion provides an alternate approach to the dominant chord, the chord is not based on a diatonic root. How, then, does this chord function? It may have an entirely nonessential flavor, as in Example 3-11. The chord in question is the B-major triad in m. 98, which acts as a chromatic appoggiatura chord to $V$: each note of this chord moves up a half-step to a member of the $V$ chord. A case such as this may be easily dismissed as not being an essential chord at all.

This is not as true of the progression in Example 3-12. While the B dominant seventh chord in m. 15 can be
Ex. 3-11. "Ein Ständchen Euch zu bringen," Italienisches Liederbuch #22

Ex. 3-12. "Mein Liebster ist so klein," Italienisches Liederbuch #15
interpreted as originating from the chromatic passing tones D-D# and F-F#, it sounds essential when the passage is played. Although the key is F, the B half-diminished chord moving to the B dominant seventh chord sounds like iiø⁷ - V⁷/V in the key of A minor, making the F tonic chord sound more like a submediant. Because of the essential sound of the B dominant seventh, its resolution to the C dominant seventh of the home key is surprising, and deceptive. In addition, a dominant seventh built on the raised fourth degree may be viewed as an alteration of the diminished seventh that would normally appear in the progression vii⁰⁷/V - V.

Wolf frequently uses progressions containing two or more chords that function on a secondary level, with this secondary level never being firmly established. An examination of this practice will form the basis of a later chapter, and it is only mentioned here because its prevalence in Wolf's compositions precludes its confinement to one specific location in a discussion of his works. The best explanation of the chord in m. 15 of Example 3-12 is not as a secondary dominant of the leading tone or as an altered vii⁰⁷/V, nor is it entirely the result of chromatic passing motion. It is the result of an unconfirmed motion towards another key level which is shunted back to the home key by means of a deceptive resolution.
The same situation occurs on other scale degrees in Wolf's music. In m. 6 of Example 3-13, a dominant seventh chord built on the leading tone replaces the half-diminished chord normally found on that degree.

Ex. 3-13. "Wenn du, mein Liebster, steigst zum Himmel auf," Italienisches Liederbuch #36

The F major-minor seventh chord is approached from $V_\frac{3}{2}/V$ through a nonessential passing $I_6$ on the fourth eight-note of m. 6. As a secondary dominant it would be labeled $V_7/iii$, resolving deceptively to $I$ (bVI/iii). The deceptive relationship is present between the F and Gb chords, and yet the F chord retains a leading function. Again, the best explanation for this chord is as an unconfirmed motion towards a secondary level. The Ab major-minor seventh indicates the tonal level of Db, and on this level the Ab and F chords in mm. 5-6 may be understood as $V_\frac{3}{2}$ - $V_7/vi$ (a very common relationship, see under "Extended Deceptive
Resolution: The Raised-Root Deflection" below). The potential motion toward Bb minor indicated by the F7 chord is avoided by the deceptive resolution to I/Gb (bVI/Bb minor).

In the deceptive resolutions discussed above, the chord of resolution retains a clear function in the key. This is not always the case, as may be seen in Example 3-14. The first chord functions as V7/ii, resolving deceptively to bVII (bVI/ii). While bVII may be considered as a diatonic member of the minor mode, and may be viewed here as a borrowed chord, it usually functions as V/bIII. The Ab chord clearly functions as the goal of the V7/ii chord, but its relationship to the Bb tonic is not as clear. The tonal direction of the progression is shifted back toward Bb.
through a voice exchange (m. 13) in which Ab is replaced by
the leading tone, A.\textsuperscript{7}

All of the progressions I have called "deceptive" share
a common root movement, involving a major-minor seventh
chord which resolves to a chord whose root lies a step away.
We have found that this resolution serves different
purposes. In its diatonic usage (V - vi) it serves the
traditional function of interrupting a harmonic progression.
It sometimes results from the decoration of a common
progression, such as when I - iii - IV becomes I - V\textsubscript{7}/vi -
IV. We have seen how the deceptive resolution of a
secondary dominant chord may be used to reach altered chords
such as the Neapolitan or a further secondary dominant. We
have also seen how deceptive resolutions may be used to move
away from the home key, and to return. Through these means
Wolf extends the traditional function of the deceptive
resolution.

Extended Deceptive Resolution: The Raised-Root Deflection

Another traditional progression of which Wolf makes
frequent use, often in nontraditional ways, is the
relationship V\textsubscript{7} - V\textsubscript{6}/vi or V\textsubscript{7} - vii\textsuperscript{07}/vi; a progression that
often occurs in modulations from a major key to its relative
minor. The dominant function of the original key is

\textsuperscript{7}This passage may also be analyzed as an unconfirmed
motion to Eb major, beginning on the Ab chord in m. 12:
IV - I\textsubscript{6} - vii\textsuperscript{06}/V - V\textsubscript{7}/V.
deflected, or transformed, into that of the second key at the appearance of the second dominant chord. The root of the first dominant chord is raised, becoming the third (the new leading tone) of the second dominant chord. The function of the first dominant chord is not entirely lost, but is shifted in another direction. In addition to actual modulations to the relative minor, the progression is also used to embellish the traditional deceptive cadence: \( V_7 - (V^6_9/vi) - vi \). I call any progression bearing this relationship a "raised-root deflection." These progressions make up another major category of irregular resolutions of the dominant chord employed by Wolf.

As with the deceptive resolution, Wolf uses the raised-root deflection in several different contexts. This progression is also prevalent, rivaling the deceptive resolution in frequency of appearance: it appears in some form in thirty-eight of the forty-six Italian songs. Example 3-15 demonstrates the traditional use of the raised-root deflection to modulate to the relative minor. The excerpt begins in Eb major, and moves to C minor.\(^8\) The root of the Bb dominant seventh is raised at the beginning of m. 15 and becomes the leading tone of C.

\(^8\)Although the key of C minor remains unconfirmed in the continuation of the passage, the chords in m. 15 clearly function in the key of C.
Wolf employs this technique in conjunction with mode mixture to move smoothly to foreign keys. In Example 3-16, Wolf returns from the foreign key of Gb major to the tonic by way of a raised-root deflection. The passage is full of enharmonic spellings: the B-major chord in m. 12 is an enharmonic Cb chord (note the Eb in the voice part), and the apparent D major-minor seventh chord which follows is actually an enharmonic German sixth (Ebb-Gb-Bbb-C). The raised-root deflection in m. 13 leads toward Eb minor, yet Wolf goes to Eb major. The Eb chord is quickly changed into a major-minor seventh, becoming $V_7$ of the home key of Ab.

Wolf also uses mode mixture to modulate to what would be the relative minor of the tonic major, but departing from the tonic minor. For example, in Example 3-17 Wolf moves from F minor to D minor through a raised-root deflection.
Ex. 3-16. "Und willst du deinen Liebsten sterben sehen,"
Italienisches Liederbuch #17

Although the submediant of the major mode (vi) is rarely

tonicized in the minor mode, the relationship between the C
chord in m. 11 and the A chord in m. 12 remains the same whether the original key is F major or F minor. In this instance Wolf takes advantage of a traditional relationship to reach a foreign key smoothly.

A less traditional use of the raised-root deflection is seen in Example 3-18, the opening of "Nein, junger Herr, so treibt man's nicht": Wolf places the progression in the first measure of the song, which would be unusual for earlier composers. The deflection is part of a chromatic motion from a root-position V7 chord to its first inversion, a motion that also creates an additional raised-root deflection (bVII - V6) in mm 3-4. The text of the song recounts a young woman's complaints about the fickleness of
her lover; the ascending chromatic line and increasing dynamic level reflect her rising anger.

Ex. 3-18. "Nein, junger Herr, so treibt man's nicht," Italienisches Liederbuch #12

The raised-root deflection often takes place immediately after a tonic six-four in music of the eighteenth and nineteenth centuries, intensifying the effect of the deflection: \( I^6 - V^6/\text{vi} - \text{vi} \) (see Example 3-19). The

Ex. 3-19. "Was für ein Lied soll dir gesungen werden," Italienisches Liederbuch #23
six-four chord is not an essential harmony in this situation, but merely stands for the V chord despite the fact that the dominant never arrives. Progressions such as this, in which an expectation set up by the announcement of a conventional pattern of chords is denied by shifting the direction of the progression through chromatic inflection, are an essential feature of Wolf's style.

Wolf often uses the raised-root deflection as an irregular resolution of secondary dominants as well. By far the most frequent of these in the Italian songs is the progression V7/IV -V5/ii. Wolf interprets this progression in several ways. It may result in an actual modulation to the supertonic key, as in Example 3-20. The passage begins in G and moves to A major. A is the supertonic of G, but also the dominant of the D-major home key. On other occasions the supertonic chord is tonicized, but the progression as a whole remains in the home key, as in Example 3-21. In either event, these progressions are mere transpositions of the traditional V - V/vi relationship.

Less traditional are those situations in which the V7/ii chord does not resolve to ii. It may resolve deceptively, or it may serve as an interpolation between V7/IV and IV. Example 3-22 contains an example of the latter situation. In this instance the raised-root deflection takes place, but resolution is denied. The IV chord in m. 37 is the goal of the V7/IV of m. 35, with
either the $V_5^b/ii$ serving as a third-related dominant substitute, or the IV chord serving as a third-related tonic substitute (replacing ii).

The raised-root deflection $V_7/bIII - V_5^b$ is another frequent progression in Wolf's music. This progression must have been very much in Wolf's ear as he completed the Italian songs, because it appears in five of the last seven songs in this collection. Wolf's predilection for the
Ex. 3-21. "Ihr jungen Leute," Italienisches Liederbuch #16

Ex. 3-22. "Nun lass uns Frieden schliessen," Italienisches Liederbuch #8
raised-root deflection is best evidenced by the V/bIII – V progression: it seems that Wolf often introduces the V/bIII solely for the purpose of resolving it in a deflected fashion to V (see Example 3-23).

Ex. 3-23. "O wär' dein Haus durchsichtig wie ein Glas," Italienisches Liederbuch #40

At other times the V/bIII is used to direct the harmonic motion back toward the tonic from bVII or bVI. Such a situation is illustrated in Example 3-24. The excerpt begins with the deceptive resolution viiO7/II –
bVII₆. The bVII chord becomes V₇/bIII with the addition of the minor seventh on the fourth beat of m. 7, yet the dominant function of this chord is deflected back toward the tonic F in m. 9.

Ex. 3-24. "Verschling' der Abgrund meines Liebsten Hütte," Italienisches Liederbuch #45

The excerpt in Example 3-25 goes one step further. The first four chords (beginning in m. 8) clearly indicate a tonal center of E, but the bVI₇ chord is followed by V₇/bVII (also a raised-root deflection, but one in which the first chord does not have a dominant function). The V₇/bVII
resolves in normal fashion to bVII (V7/bIII). Once again, Wolf returns from the secondary level by transferring the dominant function from V7/bIII back to the original key in m. 9.

Ex. 3-25. "Hoffärtig seid Ihr," Italienisches Liederbuch #13
The raised-root deflection frequently appears between a major-minor seventh chord built on the fourth scale degree and V\(_7\)/V or vii\(^{07}\)/V. It is common in traditional harmonic practice for IV to progress to V/V. While the addition of a minor seventh to the IV chord may be seen as an extension of this basic progression, it is not commonly found in the music of earlier composers. This progression is like the deceptive resolution IV\(_{b7}\) - V mentioned above, with V/V being inserted between IV and V. The chord could function as V\(_7\)/bVII, but it is better seen as an altered dominant-preparation chord (see Example 3-26).

![Musical notation](image)

**Ex. 3-26.** "Wenn du mich mit den Augen streifst," *Italienisches Liederbuch #38*

Wolf uses this relationship to return to the tonic from the subdominant key level on occasion; one such instance is shown in Example 3-27. A motion toward the subdominant is
Ex. 3-27. "Wenn du, mein Liebster, steigst zum Himmel auf," Italienisches Liederbuch #36

initiated in m. 11 with the first appearance of V/IV. V/IV is embellished by its own dominant, and then resolves deceptively to ii\(^{6/4}\) in m. 12. V/IV returns on the third beat, finally resolving to IV on the downbeat of m. 13. A minor seventh is added to the Cb chord, causing it to sound V7/IV in the key of the subdominant (Cb). The root of this chord is then raised, becoming a leading tone to V of Gb,
and thus shifting the tonal direction back toward the home key.

An almost identical progression is found in another of the Italian songs, "O wär' dein Haus durchsichtig wie ein Glas" (Example 3-28). Again Wolf has slipped into the subdominant as a secondary tonal level, and again he shifts the tonal center back toward the tonic through a raised-root deflection of the V/IV chord in the subdominant key.

Ex. 3-28. "O wär' dein Haus durchsichtig wie ein Glas," italienisches Liederbuch #40
The raised-root deflection is not an unusual progression in and of itself. It occurs any time I moves to V/ii, IV moves to V/V, or V moves to V/vi, all of which are common progressions in traditional harmonic practice. Wolf uses this relationship in traditional ways, and in addition applies it to secondary dominants to an extent not found in the common-practice era. Our final example of raised-root deflection will further demonstrate the manner in which Wolf uses traditional materials in new and unusual ways.

Example 3-29 is drawn from "Du denkst mit einem Fädchen mich zu fangen." The key at the beginning of the excerpt is G minor. In m. 9 a German sixth moves to V7. One expects a similar resolution when the German sixth sonority returns in m. 10, especially given Wolf's predilection for repeated
progressions. The chord is spelled differently, however, and with reason. The Eb in the bass voice, which would be the root of the spelled major-minor seventh chord, is raised to E, creating a secondary leading-tone chord (an enharmonic vii°7/V). Wolf shifts the tonal direction by presenting us with a chord which he has led us to believe is a German sixth, and then treating it as a V7 chord with a raised-root deflection. The diminished seventh chord that results proves to be vii°7/V back in the home key of Bb major.

The relationship between the Eb major-minor seventh chord and the E diminished seventh chord is exactly the same to the tonic Bb as the relationships shown in Examples 3-26 through 3-28: in the key of Bb, Eb would be IV and the E diminished seventh chord would be vii°7/V. The difference, and novelty, of this progression lies in the fact that Wolf first established the Eb chord as a German sixth, not a dominant seventh.

Other Third-Related Resolutions

The dominant seventh chord may be found resolving to any scale degree at some point in Wolf's compositions. Thus far we have attempted to catalogue the resolutions of the dominant seventh chord that appear with the greatest frequency. The "tonic" resolution, that in which the root of the resolution chord lies a perfect fifth lower than that of the dominant-function chord, is the most traditional
resolution, but by no means the most common in Wolf's music; the dominant seventh sonority is just as likely to resolve to a scale degree other than the tonic. Among the most common of these alternate resolutions is the "deceptive" resolution, in which the root of the resolution chord lies a step away from that of the dominant-function chord. Also very common is the raised-root deflection resolution, which involves a root movement by descending minor third. The harmonic deflection created by transforming the root of the first dominant chord into the leading tone of the second through chromatic alteration is perhaps more significant than the chromatic third relationship between the adjacent chord roots that results. Like the raised-root deflection, the majority of the remaining irregular resolutions of the dominant seventh chord also contain root movement by third.

By far the most common of these additional irregular resolutions involves root movement by descending major third. The simplest form of this progression occurs when V7 resolves to bIII, with the latter assuming a temporary tonic function in these instances (see Example 3-30). The V7 - bIII relationship is common in earlier harmonic practice in motions from a minor key to its relative major, and usually forms the connection between paired movements in the Baroque era: slow movements in minor keys often end on the dominant, and are followed directly by the tonic harmony of the relative major at the beginning of the following fast
movement. The progression in Example 3-30 resembles this earlier usage because it occurs between phrases.

Ex. 3-30. "Du denkst mit einem Fädenne mich zu fangen,"
Italienisches Liederbuch #10

Wolf also expands on the V₇ - bIII relationship by placing the chords in direct succession within a phrase without their traditional significance: while earlier composers use bIII most often in motions toward the relative major, Wolf often uses the chord as a tonic substitute within the tonic key without reference to the relative major, and in either the major or minor mode (bIII is a common borrowed chord in Wolf's songs). In addition, Wolf frequently uses bIII as a pivot, employing the chromatic third relationship with the major tonic to move to a foreign

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The use of bIII in the manner described above was not "invented" by Wolf (see Example 3-44 below, for instance), yet this type of usage becomes common in his music.
key. Example 3-31, drawn from "Mein Liebster hat zu Tische mich geladen," contains three modulations, each to a third-related key. The first (m. 7) and third (m. 11) modulations are effected through traditional pivot chords, and each is smoothed over through mode mixture: in m. 7, F major and A major are foreign keys, while F major and A minor are closely related. We expect a modulation to A minor because

Ex. 3-31. "Mein Liebster hat zu Tische mich geladen,"
*Italienisches Liederbuch* #25
the pivot chord is borrowed from the minor mode, and yet A major is easily reached through modal interchange. The same situation recurs in the modulation from C major to E major in m. 11.

The modulation between mm. 8 and 9 of Example 3-31 is more abrupt, however, since the chromatic third relation is not smoothed over. The borrowed mediant (m. 9) serves a temporary tonic function in the preceding key in the same manner as in Example 3-30. It also serves as the tonic of C major, but it is not until the remainder of m. 9 is heard that we are sure that the tonal center has shifted to C.

On occasion bIII is made into V7/bVI through the addition of a minor seventh. The progression that results (V7 - V7/bVI) is similar to the raised-root deflection in that the root of the first major-minor seventh chord becomes the leading tone of the second (see Example 3-32), but differs because its root is not raised; the root is held as a common tone in the following chord. In m. 14 of Example 3-32, G, which is the root of V7 in C, is reinterpreted as the leading tone of Ab, becoming the third of V/bVI. As in the raised-root deflection, the dominant function of the first chord is passed on to the second, shifting the tonal focus to another location (very temporarily in this case). Secondary dominants may also resolve in a way analogous to V7 - bIII, as evidenced by the V7/iv moving to bVI in m. 17. Example 3-32 is also interesting for the deceptive
resolution $V_7/iv - N_6$, and the substitution of $(bVI_7^4)$ for $i_6$ in m. 16.

Ex. 3-32. "Was soll der Zorn, mein Schatz,"
**Italienisches Liederbuch #32**

Root movement by descending major third is also found when $V_7/vi$ moves directly to I, as in Example 3-33. This example demonstrates how swiftly Wolf moves through keys, and also how he establishes keys in nontraditional ways.
The song begins in Ab and contains two successive subdominant motions: to Db (IV) in m. 3 and Gb (IV/IV) in m. 5. Two irregular resolutions of major-minor seventh chords occur. We have already mentioned the resolution V7/vi - I in mm. 4-5; in this case V7/vi serves as a third-related dominant substitute. The other irregular resolution occurs when V7 moves retrogressively to ii7 in mm. 3-4.

Ex. 3-33. "Ihr seid die Allerschönste weit und breit," Italienisches Liederbuch #3

Another frequent irregular resolution is that in which the root of the resolution chord lies a minor third lower than that of the V7 chord; or V7 - iii. This is the same root movement as found in the raised-root deflection, but this resolution differs from the raised-root deflection in that the root of the first chord is not raised and the second chord does not have a dominant function. This
resolution is also found frequently on secondary levels, such as V7/IV - vi (see Example 3-34).

Ex. 3-34. "Gesegnet sei, durch den die Welt entstand,"
Italienisches Liederbuch #4

Resolutions involving root movement of an ascending minor third are relatively common, usually causing a
transfer of dominant function such as $V_7/vi - V_7$, $V_7/ii - V_7/IV$, or $V_7 - V_7/bIII$. These resolutions typically result from the denial of a raised-root deflection; i.e., when the $V_7 - V_7/vi$ motion (or a transposed equivalent) is followed by a return to $V_7$ (see mm. 9-10 of Example 6-8 and mm. 14-15 of Example 8-8). Measures 3-4 of Example 3-35 contain a transposed version of this progression: $V_7/iv$ moves in raised-root fashion to $V_6/ii$, but the motion is denied when $V_7/iv$ returns in m. 4. This passage also demonstrates that irregular resolutions of dominant sonorities are an important element in Wolf's use of tonal misdirection, which is in turn a major feature of his style: the $V_7/iv$ chord indicates a possible move to Ab minor and the $V_7/ii$ chord a possible move to F, yet the key to which Wolf actually modulates is Bb minor (the dominant).

The Retrograde

Wolf frequently employs the retrograde resolution $V_7 - IV$ in root position, a succession that earlier composers tended to avoid. The retrogression is sometimes found in the common-practice era, but it is the exception, not the rule. Composers of the earlier nineteenth century most often use the retrogression between phrases, where one phrase ends on V and the next begins on IV; this

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10 An instance of $V_7 - V_7/bIII$ may be seen in mm. 14-15 of Example 4-10.
relationship is especially frequent in Chopin's music (see Example 3-36).
Wolf was more liberal in his use of the retrograde resolution, employing it more freely, and often in response to a textual idea. "Und steht Ihr früh am Morgen auf" is a case in point (see Example 3-37). In this song, Wolf introduces the retrograde $\text{V} \rightarrow \text{IV}$ with the text "You take holy water, make the sign of the cross, ..." The retrogression and the resulting modal sound are intended to be reminiscent of church music, thus reflecting the religious references in the text.\(^{11}\) As will be seen throughout the present study, Wolf often uses the retrograde resolution in association with religious symbols or ideas. This is but one of many ways in which Wolf uses harmony to express poetic ideas.

\(^{11}\)For other information concerning text expression in this song, see Eric Sams, *The Songs of Hugo Wolf*, 353-354; and Stein, *Hugo Wolf's 'Lieder,'* 103-109.
Ex. 3-37. "Und steht Ihr früh am Morgen auf,"
Italienisches Liederbuch #34

Dominant Ninths, Elevenths, and Thirteenth

Like most nineteenth-century composers, Wolf often adds ninths, elevenths, or thirteenths to the dominant seventh chord. These added tones are usually nonessential, and resolve before the other members of the dominant chord move. On other occasions, they do not resolve prematurely and thus achieve the status of essential chord tones.
The dominant ninth is by far the most common extended tertian sonority in Wolf's music, and he shows a preference for the minor ninth (see Example 3-38). The thirteenth is also relatively frequent, especially at cadence points (see Example 3-39). The thirteenth, usually nonessential, had long been a feature of important cadences in operatic arias, having become a stereotype by Wolf's day. Given Wolf's love
of opera, it is not surprising to find this cadence occurring frequently in his songs.¹²

The dominant eleventh is less common, but is still found with a fair degree of frequency. Example 3-40 is drawn from the Goethe song "St. Nepomuks Vorabend," and contains an interesting example of word painting. A $V_{11}$ chord appears twice in the song, both times in m. 4. The accompanying text describes the ringing of cathedral bells; Wolf imitates the heavy overtones of bells by using a thick dominant chord that contains the seventh, ninth, and eleventh.

¹²Frank Walker's biographical study (Hugo Wolf) contains numerous references to Wolf's love of opera. See, for example, pp. 20-22.
Altered Dominants

Altered dominant chords play a major role in Wolf's music. The dominant chord with a raised fifth (V+) was mentioned in Chapter 2 as a frequent altered chord in the early to mid nineteenth century.\textsuperscript{13} Wolf uses the augmented dominant frequently, both as a primary and a secondary function. Raising the fifth of a dominant seventh chord creates an augmented-minor seventh chord (see Example 3-41), a chord that is often positioned so that the diminished third formed between the fifth and seventh of the chord is inverted and appears as an augmented sixth interval. The raised fifth and minor seventh most often resolve to the third of the following chord, thus causing an irregular doubling.

\textsuperscript{13}See pp. 157-159.
Breit und majestatisch. $\text{J} = \text{ss.}$

Ex. 3-41. "Gesegnet sei, durch den die Welt entstand,"
*Italienisches Liederbuch* #4

Wolf adds a major ninth to the augmented dominant on occasion, as in Example 3-42, drawn from the beginning of the Goethe song "Frühlings Über's Jahr." The song opens with a $V_{11}$ chord that is sustained for three measures. At the last possible instant in m. 4, the fifth of the dominant chord is raised. The eleventh is dropped, but the ninth is retained, forming a momentary $V+9$.

The dominant chord with a lowered fifth makes several appearances in Wolf's songs, but is used with much less frequency than the augmented dominant. Although the dominant seventh chord with a lowered fifth is equivalent to the French sixth chord both in sound and in notation, the chords usually serve different purposes: the French sixth resolves to $V$, while the dominant seventh with lowered fifth
Ex. 3-42. "Frühling Über's Jahr," Gedichte von J. W. v. Goethe #28

moves most often to a tonic-function chord (see Example 3-43, m. 30).

More often than not, the sonority proves to be a French sixth, especially when found in the characteristic augmented-sixth position, as in the Schubert excerpt shown in Example 3-44.\textsuperscript{14} Schubert uses this unusually dissonant chord to depict the word "Schmerzens" ("pain"). In Wolf's songs, on most occasions when the chord appears to be a

\textsuperscript{14}The "dominant augmented sixth" is discussed in Chapter 4.

Ex. 3-44. Schubert, "Der Doppelgänger" from Schwanengesang

**dominant seventh with lowered fifth (as in Example 3-43 above), the lowered fifth enters as a chromatic tone in a weak metric position (notice also that Wolf does not resolve the 4-3 suspension in the apparent tonic chord in m. 30, but**
does so in m. 31 after first returning to an unaltered V). Of the altered dominants, the augmented dominant has much greater significance in Wolf's music.

The Augmented Mediant

In addition to his extensive use of the augmented dominant, Wolf also expands on the traditional use of the augmented mediant as a dominant substitute. As was noted in Chapter 2, the augmented mediant is usually a nonessential sonority in traditional harmonic practice, with $b\hat{3}$ being an appoggiatura, suspension, or passing tone to $\hat{2}$.\(^\text{15}\) Scale degree $\hat{5}$ is almost invariably found in the bass, even when $b\hat{3}$ is used as an essential tone. In Example 3-45, an augmented mediant occurs on the third beat of m. 9 when $b\hat{3}$ (D) in the soprano (the given chorale tune) is harmonized with $\hat{5}$ (F) and $\hat{7}$ (A#) in the other voices.

Ex. 3-45. Bach, Chorale #324, "Jesu, meine Freude"

\(^{15}\)See pp. 93-98.
Wolf, on the other hand, often grants the augmented mediant greater independence by placing it in root position, as in m. 5 of Example 3-46.16 The different positions of the augmented mediants shown in Examples 3-45 and 3-46 demonstrates a significant change in the status of the chord. While earlier composers treat the augmented mediant as an embellished version of the dominant in which 5 remains paramount, Wolf treats the augmented mediant as a fundamental chord in its own right while preserving its role as a dominant substitute.

The enhanced status of the augmented mediant in Wolf's harmonic practice is further evidenced by its frequent appearance with a seventh, forming an augmented-major seventh chord. Like the augmented mediant, this sonority can be found in traditional harmonic practice, but it is

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16This example contains many characteristic features of Wolf's style that will be discussed in the course of the present study, such as the use of the Neapolitan in root position (m. 2) and the prevailing tonal ambiguity. Although the majority of the excerpt has been shown in Eb for sake of clarity, the F minor-minor seventh in m. 2 initially sounds as though it will be iv in C minor (iv/iv). The Fb-major triad that follows gives the aural impression of a 6 - 56 motion in Ab (vi7 - bVI). Wolf tonicizes Eb and then transforms it into the dominant of Ab in m. 8. Measures 9 through 16 (not shown) contain alternating V and bVI7 chords in Ab, further strengthening the expectation of an arrival in Ab that was first evoked in the second and third measures. As is typical of Wolf, however, after all this preparation, the key of Ab never arrives in the song. While the designation of the G-minor triad in m. 2 as iii/Eb is questionable, such an interpretation is supported by the return of this motive near the end of the song (mm. 59-61) within a clearer tonal context: I - iii - ii67 - N, all in root position (in the key of D major).
almost always the result of nonessential motion over scale
degree 5 or 7 in the bass. In Example 3-47a, a nonessential
augmented-major seventh is formed by the anticipation of b♭
(Bb) in the tenor voice, and in Example 3-47b b♭ appears as
a nonessential tone in the tenor voice on the second beat.
Wolf differs by using the augmented-major seventh on the
mediant as an essential sonority, and by placing it in root
position. The excerpt from the Goethe song "Der neue
Amadis" shown in Example 3-48 provides excellent
Ex. 3-47. a. Bach, Chorale #71, "Ich ruf zu Dir, Herr Jesu Christ," m. 8
   b. Bach, Chorale #123, "Zeuch ein zu Deinen Toren," m. 1


Illustration of Wolf's use of this sonority as an independent harmony: the progression bIII+7 - i occurs three times in succession (note the staggered voice leading in the third resolution).
Conclusion

Wolf resolves the dominant seventh chord in a myriad of ways; the most common of these resolutions have been classified and discussed above. The many resolutions that remain are much less common, and often subject to alternate explanations. These more unusual resolutions will be discussed as they arise in our investigation of other aspects of Wolf's harmonic technique. Wolf's use of the dominant, as we have discussed it thus far, differs from that of the common-practice period primarily in its diverse resolutions, with the deceptive resolution and the raised-root deflection being most prevalent. In the common-practice period the V7 chord resolves most often to I, and less frequently to vi, IV6, or a secondary dominant; other resolutions are relatively rare. Wolf also differs from the common practice through his increased use of the augmented mediant and the augmented dominant, and through his frequent irregular resolutions of secondary dominants, which rarely resolve other than in a "tonic" or "deceptive" fashion in the common-practice period. As demonstrated throughout this study, Wolf differs not so much in what he does, but in the frequency with which he does it.
CHAPTER 4

ALTERED DOMINANT-PREPARATION CHORDS

Dominant-preparation chords, or "subdominant-function" chords, are those chords which traditionally lead to the dominant, such as IV or ii. The term "altered dominant-preparation chords" describes chords that serve to prepare the dominant, but that are not strictly diatonic. These chords contain at least one chromatic alteration, yet still function within the context of the original key. The Neapolitan sixth and the various augmented sixth chords fall into this category, as do borrowed chords such as iv and ii°: each of these chords traditionally moves to the dominant, and each contains at least one chromatic alteration (when used in major keys). In this chapter we look briefly at borrowed chords before proceeding to the Neapolitan sixth and augmented sixth chords, and conclude with a discussion of the augmented triad as a dominant-preparation chord.

Mode Mixture: Borrowed Dominant-Preparation Chords

Mode mixture was first used in a consistent fashion in the Viennese Classical era, by composers such as Haydn and Mozart. The course of the nineteenth century saw an increasing use of mode mixture, a trend which can be traced
through the works of Beethoven, Schubert, Schumann, and Wagner. Throughout the nineteenth century it remained far more common to borrow tones from the minor mode into the major, rather than the other way around. By the latter half of the nineteenth century mode mixture was no longer remarkable, having become so commonplace that contemporary theorists such as Moritz Hauptmann began to construct scales with a major third degree and a minor sixth degree. The minor sixth scale degree is more often borrowed than any other, being found in bVI, iv, ii⁰, and the Neapolitan and augmented sixth chords.

Mode mixture abounds in Wolf's music, as it does in the works of contemporaries such as Brahms, Bruckner, and Mahler. Borrowed dominant-preparation chords (such as ii⁰, iv and bVI) lead more strongly to the dominant because of

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1 Hauptmann explains his Molldur (minor-major) as a "key-system which contains in essence and effect the major and minor notions joined;" noting that

Although it is unusual for the minor-major key to be formally made the basis of a piece of music, yet it occurs used in the course of one not rarely; oftener in the sentimental style of modern music than in the older.


2 The other scale degrees which may be borrowed are b³ and b⁷. b³ is sometimes borrowed to form the third of a minor tonic, sometimes as the root of bIII, and sometimes as the fifth of bVI. b⁷ is used as the fifth of bIII, or as the root of bVII.
the half-step between b6 and 5, and it is likely for this reason that nineteenth-century composers employed these chords so frequently. For example, in major keys Wolf is just as likely to use ii0 as ii. Wolf is not unique in this regard: borrowed chords were as much a part of the nineteenth-century composer's chordal vocabulary as the strictly diatonic chords were for the eighteenth-century composer.

The Neapolitan Sixth

While Wolf's use of borrowed dominant-preparation chords is quite conventional, his use of the Neapolitan sixth and augmented sixth chords is more varied, and more characteristic of his individual style. Wolf uses the Neapolitan sixth not only in traditional fashion, but also in several other ways. These may be grouped into three main categories: (1) traditional uses, including use as a pivot chord, (2) unusual qualities, and (3) unusual resolutions. We will begin our discussion by looking at Wolf's more traditional usages of the chord.

Traditional Uses

The traditional use of the Neapolitan sixth chord is in first inversion, with resolution to V; the majority of Neapolitan sixth chords in Wolf's songs are used in this fashion. The V chord is often preceded by vii07/V or i6, both of which may be seen in mm. 7-8 of Example 4-1. Wolf
often places the Neapolitan in root position (see Examples 4-1, 4-2, 4-9, and 4-10) or, less commonly, second inversion (see Examples 4-13, 4-19 and 4-38).

Ex. 4-1. "Ich liess mir sagen," Italienisches Liederbuch #26

The hallmark of the progression of the Neapolitan to V is the tritone relationship existing between the roots of these chords. This is the only common situation in which a tritone root movement occurs between two major chords. Wolf
utilized the value of this relationship for establishing keys. Not only is the tritone root movement a harbinger of a potential cadence, it may also serve to indicate the tonal center even in the absence of a subsequent cadence. Wolf uses the Neapolitan relationship and its accompanying tritone root movement as a pivot into a new key almost as often as he uses them within a single key. Any major triad within a key may suddenly be reinterpreted as a Neapolitan in another key, as in Example 4-2.

Wolf often uses the Neapolitan as a pivot to pass through keys quickly. Returning to Example 4-1, rapid key shifts employing the Neapolitan relationship are found in mm. 5 and 6. The first four measures of the song (not shown) have remained firmly in the home key of C minor. Measure 4 concludes with V7/V in that key, followed by the v
chord (G minor) on the downbeat of m. 5. The Eb-major chord on the second beat of m. 5 could be bIII in C minor, but is heard as the Neapolitan of D minor when the A dominant seventh chord enters on the third beat, allowing the preceding G-minor harmony to be heard as iv in the key of D minor. The reinterpretation is due to the tritone root movement Eb - A. The A dominant seventh resolves deceptively to bVI, which is reinterpreted as the Neapolitan of A minor when the E dominant seventh is heard, paralleling the progression in m. 5.

The E dominant seventh also resolves deceptively, moving to an F-major triad (bVI). Due to the sequential nature of the passage thus far, one might reasonably expect that the F chord will become yet another Neapolitan in the key of E. Wolf offers us another interpretation, however, by adding a minor seventh to the F chord on the last sixteenth note of the beat. This F major-minor seventh chord is aurally equivalent to the German sixth of A minor, the key of m. 6. Wolf could resolve the F chord as a German sixth and stay in the key of A minor. He could also resolve it as a dominant seventh in the key of Bb. Neither interpretation is chosen. Instead, the F7 resolves deceptively to a Gb-major triad which eventually proves to be the Neapolitan of F.

Each of the keys in this passage (D minor, A minor, and F minor) is indicated most strongly by the Neapolitan and
its characteristic progression. The tritone root movement from a major triad to a major-minor seventh chord points to the tonal center even in the absence of a cadence on the tonic. Wolf uses this relationship to drift into foreign keys much more so than earlier composers, and to such an extent that it may be said to be characteristic of his style.

Wolf employs the Neapolitan in other traditional ways. It may be tonicized by its own dominant, as in Example 4-3. Wolf toys with the enharmonic equivalence of the major-minor seventh and German sixth chords in this example in the same manner as did Schumann in the excerpt from his Piano Concerto in A minor shown in Example 2-38. The Eb major-minor seventh on the downbeat of m. 11 functions as V7/N in the key of G minor. When this sonority returns on the last
eighth-note of the measure, Db is respelled as C#, and the chord now functions as the German sixth of G minor. This example also shows the use of a minor thirteenth with the V7 chord in m. 12.

Wolf adds a major seventh to the Neapolitan chord on many occasions. While the Neapolitan seventh chord was used by earlier composers, once again Wolf differs by using such a device much more frequently and freely. The Neapolitan seventh is found most often in first inversion in Wolf's music, but may it appear in any position; Example 4-4 contains both root-position and first-inversion Neapolitan sevenths (notice also the insertion of viiº6/V and an

Ex. 4-4. "Wer rief dich denn?" Italienisches Liederbuch #6
implied augmented sixth between $I_6^6$ and $V_7$). On other occasions, the Neapolitan is placed over a tonic pedal, creating an apparent Neapolitan seventh with the seventh in the bass (although the pedal does not really participate in the harmony; see Example 4-5).

Ex. 4-5. "Lass sie nur gehn," Italienisches Liederbuch #30

Unusual Qualities

Less traditional is Wolf's use of irregular chord qualities built on the lowered second scale degree, including the minor triad and the major-minor seventh chord. The minor Neapolitan had been used on occasion prior to

3First-inversion Neapolitan sevenths may also be seen in Examples 4-18 and 4-22, second-inversion Neapolitan sevenths in Examples 4-10 and 4-29, and a root-position Neapolitan seventh in Example 4-19.
Wolf, but it is relatively rare, perhaps because the characteristic nature of the Neapolitan is lost when the chord is minor. Wolf uses the minor Neapolitan infrequently, and usually in modulatory passages. In Example 4-6, a modulation from G minor to F# minor hinges on the minor Neapolitan relationship in m. 26.

Ex. 4-6. "Storchenbotschaft," Gedichte von Eduard Mörike #48

4Hugo Riemann may well have been the first theorist to describe the minor Neapolitan, providing it with the symbol "Sv" (meaning a "variant of the minor subdominant leading-tone-change chord"). He finds such a chord in the second movement of Beethoven's Piano Sonata Op. 10, No. 3 in D major; see Riemann, L. van Beethovens Sämtliche Klavier-Solosonaten: Ästhetische und formell-technische Analyse mit historischen Notizen, 3rd ed., 3 vols. (Berlin: Max Hesses, 1919), I, 362 and 367. The chord in question is found in m. 50 of the movement. This Eb-minor harmony may only be considered as a minor Neapolitan in context of the key of the movement as a whole (D minor); locally, the chord is treated as iv6 of Bb major.
Much more interesting is Wolf's use of a major-minor seventh chord built on the lowered second scale degree (the Nb7). While the major-minor seventh chord on the Neapolitan might be interpreted as a secondary dominant (V/bV) or a German sixth, in the face of its traditional tritone root movement to V it seems more logical to view the chord as an altered Neapolitan, especially when the traditional Neapolitan appears first, with the minor seventh being added afterwards (see Example 4-7). The Nb7 contains the same

Ex. 4-7. "Klinge, klinge, mein Pandero," Spanisches Liederbuch, Weltliche Lieder #1
tritone as the V7 chord, enharmonically spelled, and the progression pivots on this "common-tritone exchange": the added seventh is reinterpreted as the third of the following dominant sonority, thus becoming the new leading tone.

On other occasions the Nb7 does not proceed directly to V7, thus the common-tritone exchange is not present. In m. 24 of Example 4-8, the Nb7 is created through the addition of the minor seventh on the last eighth note of the bar.

Ex. 4-8. "Gudmunds zweiter Gesang," Drei Gesänge aus Ibsens Das Fest auf Solhaug #3
Wolf retains the traditional first-inversion position of the Neapolitan in this instance, with the minor seventh (Ab) resolving chromatically upwards to the fifth of the following vii\(^{0}\)/V chord. The added minor seventh (that might, after all, be a chromatic passing tone [G#]) gives a Wolfian touch to an otherwise traditional progression. Several other characteristics of Wolf's style may be seen in this passage: (1) the unusual voice leading in the resolution of the German sixth in mm. 23 and 24, in which the upper note of the augmented sixth (D#) descends chromatically to the seventh (D) of the following V chord before moving to the root (E), creating the succession #4 - 4 - 5; (2) the staggered voice leading in the resolution just mentioned, in which D and B enter before the remainder of the dominant harmony, and also in m. 25, where the dominant root (E) is anticipated in the bass before V7/V resolves; (3) the substitution of bIII+7 for V7 in m. 24; (4) the retrogressive resolution bIII+7 - Ng; and (5) the unusual way that Wolf harmonizes a traditional bass line in mm. 24-25: b6 - b3 - 4 - #4 - 5 - 1.

Irregular Resolutions

Irregular resolutions of the Neapolitan chord are infrequent in the nineteenth century, and virtually unheard of in the eighteenth century. The Neapolitan and its characteristic progression constitute a stereotype, a signal
of an impending cadence. Although composers often resolve signal chords such as the dominant seventh and augmented sixth chords in new and unusual ways, the Neapolitan chord has not shared in their variety of motion.

I suggest that this lack of irregular Neapolitan progressions is due to the inherent nature of the context in which the chord appears. The Neapolitan is not, in and of itself, a dissonant chord like the dominant seventh and augmented sixth chords. It is made dissonant by context, and its power lies in its tritone relationship to the dominant. When this relationship is denied by means of an irregular resolution, the chord loses its strength and meaning. It is perhaps for this reason that most composers have tended to avoid irregular resolutions of the Neapolitan chord.

Irregular resolutions of the Neapolitan chord are found in the common-practice era, however. The Neapolitan moves directly to I on occasion, with the dominant being left out, as illustrated in the excerpt from Brahms' "Wie Melodien zieht es mir" shown in Example 2-18. Wolf also employs this progression (Example 4-9), even using it as a final cadence (Example 4-10), but favors those progressions in which chords are inserted between the Neapolitan and the dominant that elaborate and embellish the conventional ♯4 - ♯5 motion in the lowest voice. The more traditional of these inserted
Ex. 4-9. "Wir haben beide lange Zeit geschwiegen,"
Italienisches Liederbuch #19

Ex. 4-10. "Seufzer," Gedichte von Eduard Mörike #22
Ex. 4-11. "Wohl kenn' ich Euren Stand," *Italienisches Liederbuch*, #29

chords are the aforementioned i\(^6\) and vii\(^0\)/V, although Wolf frequently substitutes (bVI\(^4\)) for I\(^6\) (see Example 4-11).\(^5\)

\(^5\)This is a frequent substitution in Wolf's music; (bVI\(^4\)) might appear in any context in which the cadential six-four normally occurs, whether the tonic key is major or minor. Although both the I\(^6\) and (bVI\(^4\)) chords are nonessential when used in this role (merely delaying the V chord), I assign them Roman numerals because doing so allows an analysis to distinguish between different means of elaborating the arrival of the dominant harmony. The "seventh" of the bVI chord in this instance is the actual root of the sonority, and, as such, does not act as a seventh. Example 4-11 is also interesting for the varied uses of the dominant seventh it demonstrates: the excerpt begins with the deceptive resolution V\(^6\) - IV\(_5\), the return of V\(^6\) if followed by V\(_7\)/bIII (a common motion in modulations...
More typical of his individual style, the chord Wolf most frequently uses between the Neapolitan and V (more frequently than earlier composers) is the German sixth. The German sixth and vii\(^{0}\)/V differ by only one tone: the minor sixth scale degree in the German sixth, and the major sixth scale degree in vii\(^{0}\)/V. The move from the Neapolitan to the German sixth is actually the smoother of the two because the minor sixth scale degree may be retained as a common tone. The progression N\(_6\) - Gr+6 is not an innovation of Wolf's (see Example 4-12, for instance), yet he uses the progression more often than the more traditional N\(_6\) - vii\(^{0}\)/V. This progression is rare in Wolf's early, unpublished songs, yet becomes prevalent by the Mörike volume of 1888.

Wolf's first clear use of the N\(_6\) - Gr+6 in his songs ("Nachruf" of 1880) is, interestingly enough, almost identical to the Schubert excerpt: the Neapolitan appears in second inversion and b\(_6\) is held in the bass voice to place the augmented sixth chord in its characteristic position (compare Examples 4-12 and 4-13). In Wolf's works, however, this is the exception, not the rule: the from a major key to its relative minor, as mentioned in the previous chapter), and V\(_7\)/bIII moves in raised-root fashion back to V\(_6\) before bIII is heard; therefore, none of the four dominant sonorities in these measures resolve in "tonic" fashion. Instead, functions from the keys of F and Ab major seem to be interlocked, a procedure that is discussed further in Chapter 6.
Neapolitan usually appears in first inversion and the German sixth with \( \hat{4} \) in the bass, resulting in a different fleshing-out of the \( 4 - \hat{4} - 5 \) bass line of the traditional \( N_6 - \text{vii}_7^0/7 - V - V \) progression. Example 4-14 is a case in
point. Wolf approaches a second-inversion Neapolitan through a deceptive resolution of V7/iv, yet in the next measure places the Neapolitan in first inversion before moving to the German sixth.  

Ex. 4-14. "Wie viele Zeit verlor ich," Italienisches Liederbuch #37

As demonstrated throughout this study, Wolf often places harmonies in contexts where they have more than one possible interpretation, with the resulting ambiguity being especially characteristic of his style. The N₆ - Gr+6 progression is one such context: the major-minor seventh sonority may function either as the German sixth or as V₇/N.

6The 4 - #4 bass line resembles the raised-root deflection of the dominant seventh discussed in the preceding chapter, yet it is actually an "inflection" rather than a "deflection"; i.e., in the V₇ - V₈/vi progression the chromatic tone in the bass "deflects" harmonic motion toward another tonal level, while in the N₆ - Gr+6 progression the chromatic tone merely provides a different "inflection" of the 4 - 5 bass motion.
(as was noted in connection with Example 4-4). Example 4-15 exhibits this ambiguity, and also demonstrates how several chords which normally lead to the dominant may be strung together before the dominant is actually reached. The string begins on the third beat of m. 14, where the Eb major-minor seventh can be heard as a potential Gr+6 (having been approached through the deceptive resolution of V7).

This interpretation is not immediately confirmed; rather, the chord functions as V7/N. The N6 is followed by a return of the Eb major-minor seventh sonority on the second beat of m. 15. In this second appearance we are willing to accept the chord as V7/N, but it proves to be the Gr+6 this time. Wolf continues the string of dominant-preparation chords...
with $I_6^7$ and $V_4^2/V$ before $V$ is finally reached on the third beat of m. 16.

The bass line created by this succession of dominant-preparation chords circles the dominant before finally coming to rest on it: $b\hat{6} - b\hat{5} - \hat{4} - \#4 - \hat{5} - 6 - 5$. In this example, and in Example 4-3, Wolf took care to spell the chromatic tone "correctly"; $b\hat{5}$ is used for $V_7/N$ and $\#4$ for the German sixth. He is not always this scrupulous, and often spells $\#4$ as $b\hat{5}$ even when it moves directly to $\hat{5}$ (see Example 4-16, and also Examples 4-10, 4-21, and 4-22). The

Ex. 4-16. "Wie lange schon war immer mein Verlangen,"
italienisches Liederbuch #11
function of a chord is, of course, determined by its context and not its spelling.7

A major feature of Wolf’s style is his tendency to use traditional progressions in reverse order. A common, somewhat retrogressive, resolution of the Neapolitan chord in Wolf’s music occurs when the lowered supertonic returns to its diatonic form, as in Example 4-17. While it is not unusual for the Neapolitan to move to iv in traditional harmonic practice (b2 moving to 1), it does not commonly move to ii° (b2 - 2). The b2 - 2 motion is implied whenever

Ex. 4-17. "Schweig' einmal still," Italienisches Liederbuch #43

the Neapolitan moves to V, yet, in the actual voice leading of this resolution, b2 usually moves to 7. In the N6 - ii°6

7Enharmonic spellings of the augmented sixth are discussed further below.
succession, $b_2$ moves directly to $\hat{2}$, usually over (and prolonging) the same bass note ($\hat{4}$).

Wolf may combine the $N_6 - ii^{6}_6$ succession with other dominant-preparation chords, further elaborating the $\hat{4} - \hat{5}$ approach to the dominant. In Example 4-18, both $ii^{6}_6$ and the German sixth are inserted between the first-inversion Neapolitan seventh and $V$, with $V$ being further delayed by $(bVI)^{\frac{3}{4}}$ as a substitute for $I^{6}_6$. The progression from iv in m. 52 to $V_7$ in m. 54 has been greatly expanded and intensified while retaining $\hat{4} - \hat{5}$ in the bass line. The inserted chords are created by the chromatic ascent in the "tenor" line of the accompaniment, coupled with the chromatic tone in the bass. While it is common for earlier composers to string together several dominant-preparation harmonies, Wolf often uses these in a different order and in new combinations.

Ex. 4-18. "Locken, halten mich gefangen," Gedichte von J. W. v. Goethe #47
Wolf also uses such progressions with freer voice leading in the bass; i.e., without the conventional $4 \rightarrow 5$ bass motion. In Example 4-19, the dominant of A minor appears with various dominant-preparation chords, first in alternation, then in series. The $ii_7$ and $IV^6_7$ chords in m. 29 are primarily passing formations that result from stepwise contrary motion in the outer voices of the piano accompaniment, and merely embellish the $V^6_5$ that extends from the downbeat of m. 29 to the downbeat of m. 30. A series of dominant-preparation chords begins in m. 30. While the melodic contrary motion continues in the outer voices, the chromatic alterations and the leaps in the bass line ($b6 - b2; 2 - 5$) combine to give the accompanying chords greater harmonic value and a stronger sense of progression. Each of

![Ex. 4-19. "Nun bin ich dein," Spanisches Liederbuch, Geistliche Lieder #1](image)
the chords after the downbeat of m. 30 may lead directly to the dominant, yet Wolf combines them in such a way that each becomes more urgent in its need to resolve: the Neapolitan has a stronger pull toward V than does IV; the added major seventh gives the Neapolitan even more impetus to move; the bass motion from b2 to b creates a vertical tritone (b - b) and greater harmonic instability; and the melodic entrance of #4 provides even greater momentum toward the dominant. The juxtaposition of various dominant-preparation harmonies in this manner results in a bass line that contains chromatic variants of the sixth and second scale degrees in succession: 6 - b6 - b2 - b - b - 5.

Another progression in Wolf's works that is less commonly found in the works of earlier composers is N - V/V. This half-step progression between two major chords is quite striking. The relationship exists between V and bVI in the minor mode, but the diatonic context of the deceptive cadence renders this progression less shocking. The chromatic half-step that lies between the roots of the Neapolitan and V/V, coupled with the difficulty of avoiding parallel intervals, likely contributed to the tendency of earlier composers to avoid this progression.

Notice once again Wolf's use of staggered voice leading: #4 enters after the other members of the French sixth as a direct chromatic alteration, then hangs over into the V7 chord before resolving (up to 5 in the piano, and down to 4 in the voice).
While the bass may move $\hat{4} - \hat{#4}$ in the $N_6 - V/V$ progression, and most often does so in earlier harmonic practice, Wolf most often places $V_7/V$ in root position and thus avoids the traditional bass line. The voice leading associated with this progression may be seen in the final measure of Example 4-20: $\hat{4}$ in the bass moves to $\hat{2}$, $b_2$ moves to $\hat{1}$ (as it would in $N_6 - vii_0^7/V$), and $b_6$ moves by diminished third to $\hat{#4}$ (creating an interesting parallel with the $b_2 - \hat{7}$ diminished third commonly found in the traditional voice leading of the Neapolitan: in context of the dominant key, $b_6$ is $b_2$ and $\hat{#4}$ is $\hat{7}$). Wolf often takes advantage of the strength of the $N_6 - V/V$ progression to illustrate strong textual ideas. In Example 4-20 the text reads "buried by foreign hand," with the "foreign" effect of

Ex. 4-20. "Wo wird einst," Vier Gedichte nach Heine, Shakespeare und Lord Byron #1
the progression $N_6 - V/V$ being used to accompany the two syllables of the word "fremder" (meaning "foreign").

Wolf also employs the progression the other way around: $V_7/V - N_6$. The effect of the chromatic half-step is softened in descent, bearing the same relationship found in the progression $Gr+6 - V$. In Example 4-21 the descending half-step root movement appears at the word "Tränen" ("tears"), a further example of word painting.

Ex. 4-21. "Mein Liebster singt am Haus," *Italienisches Liederbuch* #20

The bass line associated with the $V_7/V - N_6$ progression $(2 - 4)$ does not participate in the chromaticism found in the upper voices $(2 - b2, \#4 - \hat{4}, 6 - b6)$, as may be seen in mm. 25-26 of Example 4-21. In this particular instance, the $N_6$ is interpolated between $V_7/V$ and $VII^6_7/V$ and thus forms part of a series of dominant-preparation harmonies that are not unusual in themselves, but that are combined in an
unusual way (see also Examples 4-15 through 4-20 above). In
the key of D minor, the bass line is 2 - 4 - #4 - 5 - 1, yet
the arrival on D indicated by the bass is avoided. After
three dominant-preparation harmonies, the fifth scale degree
in the bass is harmonized as the fifth of V/iv rather than
the root of the expected V chord. The dominant is left out,
and the cadential bass motion (5 - 1) merely results in a
change of inversion within V7/iv.

In a broad sense, Wolf is very traditional in his use
of the Neapolitan chord because it almost always proceeds
directly or indirectly to the dominant. In most of the
irregular resolutions discussed above, the Neapolitan
progresses to a chord that also leads to the dominant, such
as the Gr+6, V/V, or ii0. Overall, the function of the
Neapolitan as a dominant-preparation chord is preserved even
though the voice leading (particularly of the bass voice)
traditionally associated with the chord may be altered. In
addition, Wolf uses the Neapolitan extensively as a pivot
chord, with the Neapolitan function being used to establish
the new key. Modulations in which the Neapolitan of a given
key is reinterpreted as different function in another key
are much less common in Wolf. Wolf also alters the quality

9Wolf's frequent lack of concern for spelling that
looks functional is evidenced by his use of b5 rather than
#4 in vii07/V. This chord also exhibits staggered voice
leading: it contains a 6-5 suspension that does not resolve
before the harmony changes.
of the Neapolitan, making it a minor triad or major-minor seventh chord while retaining its characteristic function. In conclusion, Wolf treats the Neapolitan in traditional ways most of the time, perhaps because the Neapolitan loses its strength and identity when it does not eventually lead to the dominant.

The Augmented Sixth Chord

Wolf's use of the augmented sixth chord is much more varied, running the gamut from completely traditional uses of the chord through irregular resolutions and unusual qualities. He employs the augmented sixth chord extensively; it appears in some form in 247 of the 314 songs analyzed in this project. His music is also distinguished by the number of times an augmented sixth chord appears within a single composition. The great majority of these augmented sixth chords fall into one of the three standard qualities (German, French, and Italian), and resolve in traditional fashion to the dominant. The discussion of the augmented sixth chord will cover four primary areas: (1) the traditional augmented sixth, (2) the dominant augmented sixth, (3) unusual augmented sixth sonorities, and (4) irregular resolutions.

Traditional Uses

Wolf's traditional uses of the augmented sixth chord are not remarkable except for the frequency with which the
chord appears, and for Wolf's frequent disregard for traditional spelling, position, and voice-leading concerns. Example 4-22 illustrates several of these points. The German sixth on the downbeat of m. 18 is spelled as a major-minor seventh chord, a common occurrence in Wolf's music.

The characteristic position of the augmented sixth chord places the minor sixth scale degree in the bass. By the latter half of the nineteenth century, the augmented sixth is used with any of its tones in the lowest voice on a regular basis. In terms of frequency of appearance of a particular bass note in Wolf's songs, the traditional $b^6$ is most common, $\#5$ and $\hat{1}$ are common, while $b\hat{3}$ is less common. The tonic degree occurs most often in the lowest voice when the German sixth is used to embellish the tonic chord (I -
Gr+6 - I, see below), while the raised fourth degree appears most often when the augmented sixth is preceded by iv or N6, as noted above. In Example 4-22, the Fb in the lowest voice is an enharmonic spelling of E (♯4). Wolf usually has an obvious reason for using an enharmonic spelling, primarily for smoother-looking voice leading. In this particular instance, however, E would be more logical than Fb. Notice also the leaps involved in the resolution on the third beat, in which it seems that b6 (Gb) moves to 7 (A) in the upper piano part and b3 moves to 5 and then 7 in the voice.

The use of the German sixth as an enharmonic pivot chord is another traditional device very typical of Wolf's harmonic practice. Wolf frequently approaches a major-minor seventh sonority as though it were a dominant seventh, but resolves it as a German sixth, shunting the tonal direction into another key. In Example 4-23, the V7 of Gb major (m. 8) is resolved as a German sixth in the key of F major. Note once again the extensive use of nonessential chromaticism. The reverse procedure, approaching a chord as a German sixth but resolving it as a dominant seventh, is used by Wolf to a lesser extent.

The Dominant Augmented Sixth

The traditional role of the augmented sixth chord as a dominant-preparation chord was retained throughout the nineteenth century, yet nineteenth-century composers also
began to use the augmented sixth as a chord of dominant function. In its role as a dominant-function chord, the augmented sixth sonority resolves exactly as it does when used as a dominant-preparation chord. The difference lies in the fact that the following chord is not a dominant-function chord, and that the augmented sixth chord is built on a different set of scale degrees than those commonly used: \#4-b6-\hat{1} (2 or b\hat{3}).

The "dominant augmented sixth" appears relatively early on in the nineteenth century. Example 4-24 contains the concluding measures of the first movement of Schubert's
Piano Sonata in A major (Three Grand Sonatas, No. 2). The Neapolitan in the third measure of the example is followed in the fourth measure by a G#-Bb-D chord, with the final arrival of the tonic occurring in the fifth measure. The chord in the fourth measure is spelled and resolved as though it were an Italian sixth in the key of D major. The key is clearly A, however, so that the Italian sixth cannot be called a dominant-preparation chord. Instead, it serves

Ex. 4-24. Schubert, Piano Sonata in A major (Three Grand Sonatas, #2), I

to tonicize the final A chord, hence the term "dominant augmented sixth."

The theoretical issues involved with the augmented sixth chord were discussed in Chapter 2, where it was noted that many theorists view the augmented sixth in general as an altered dominant-function chord rather than specifically
as a dominant-preparation chord.\textsuperscript{11} Although its resolution may be identical in either case, I have chosen to retain an analytical distinction between the differing contexts in which this resolution appears. Sechter's concept of the augmented sixth is useful in understanding this distinction. For Sechter, the augmented sixth is not necessarily a dominant-preparation chord (although he admits that such is its origin), and it may be built on any degree of the scale. This allows him to explain the chord as a substitute for any function of any key.\textsuperscript{12} Sechter would consider the root of the G\#-Bb-D chord to be E, thus retaining the fundamental-bass progression $\hat{5} - \hat{1}$ by viewing the G\#-Bb-D chord as an altered $V_7/A$.

The dominant augmented sixth is not a major feature of Wolf's style, but he uses it often enough to merit mention. The great majority of dominant augmented sixths in Wolf's music are used to emphasize the tonic, as in the Schubert excerpt given in Example 4-24. On rare occasions, usually in intensely chromatic passages, the dominant augmented sixth is used to tonicize a secondary level, as in Example 4-25. The excerpt is in Db major, and the chord in question

\textsuperscript{11}See Chapter 2, pp. 141-157.

\textsuperscript{12}Sechter provides examples demonstrating this principle in \textit{The Correct Order of Fundamental Harmonies}, 149-151.
occurs on the third beat of m. 21: A-Cb-Eb-Gb. The sonority is spelled and resolved as a German sixth, but the following chord is not a dominant-function chord in any key. The resolution chord functions as vi in the key of Db. The dominant augmented sixth serves to emphasize vi in the same manner as would V7/vi or vii°7/vi, and it may be viewed as an altered vii°7/vi or V7/vi: A-Cb-Eb-Gb rather than (F)-A-C-Eb-Gb. Again it is the position of the chord that is unusual in this instance, with the bass note being analogous to ū rather than bē.

Ex. 4-25. "Peregrina II," Gedichte von Eduard Mörike #34

Several other important features of Wolf's style are exhibited in Example 4-25. The offset harmonies and

13Regarding the spelling of this chord, Eric Sams notes that the third lower quarter-note in the right hand of m. 21 is incorrectly indicated in some editions as C rather than Cb; The Songs of Hugo Wolf, 116, n. 1.
staggered voice leading brought about by the syncopated rhythm are a common Wolfian device, as are the unusual harmonies sometimes created as a byproduct.\textsuperscript{14} A chromatic line such as that in the upper piano part is also frequent in Wolf's music, as is the chromatic voice exchange within a dominant-function chord seen in m. 22. These types of chromaticism will be more fully discussed below.

Unusual Sonorities

The traditional augmented sixth chord is unique among the common vocabulary of chords in that it has three versions, or qualities. The essential feature of the different sonorities is the interval of the augmented sixth and its resolution; the other tones included in the chord are of secondary importance. It is for this reason that we may have three different sonorities, but group them under the heading "augmented sixth chord."

Composers in the nineteenth century recognized the primary importance of the interval of the augmented sixth, and began to fill in this characteristic interval in new and different ways. The most standard of these new qualities is the "Austrian" sixth, which consists of a German sixth with the major third degree replacing the minor (refer back to

\textsuperscript{14}Other instances of staggered voice leading and chromatic passing tones presented in this chapter include the last beat of m. 7 in Example 4-1, all of Examples 4-8 and 4-10, m. 30 of Example 4-19, mm. 27-28 of Example 4-21, and all of Example 4-27.
the excerpt from Schubert's "Aufenthalt" shown in Example 2-27. Wolf uses the Austrian sixth often: it appears in at least twenty-three of his songs.

Wolf uses other unusual qualities of augmented sixth chords on several occasions. Much of the time these irregular sonorities are created through a long-held nonessential tone (which moves before the chord changes); this is but one of many aspects of Wolf's harmony which is drawn from the works of Wagner. Example 4-26 contains the famous "Tristan chord" from the opening of the Prelude to Tristan und Isolde.15 The chord in the second full measure contains an augmented sixth (F-D#) drawn from the key of A minor, and the following chord (m. 3) is clearly an E dominant seventh in that key (after the resolution of the A# passing tone). The G# in the second measure may be analyzed

Ex. 4-26. Wagner, Prelude to Tristan und Isolde

15 For a summary of the theoretical controversy sparked by this composition, see Wason, Viennese Harmonic Theory, 90-96.
as a long appoggiatura, with a French sixth in the key of A minor resulting.

An almost identical progression occurs in the Goethe song "Anakreons Grab" (see Example 4-27). This passage is fraught with typical Wolfian nonessential chromaticism, and the chord in question occurs on the third beat of m. 11. As in the Wagner excerpt (Example 4-26), the leading tone (F#


in this case) serves as a chromatic appoggiatura to the tonic pitch within an augmented sixth sonority. While Wagner used a French sixth, Wolf here uses a German sixth.

On other occasions the seventh scale degree appears as an essential tone within the augmented sixth sonority, meaning that it does not resolve to the tonic before the chord changes. Example 4-28 contains an example in which
the leading tone and tonic appear together within the framing augmented sixth. The resulting sonority is like a German sixth with an added tone.

Ex. 4-28. "Wie glänzt der helle Mond," Alte Weisen: Sechs Gedichte von Keller #6

It is more common for Wolf to use the seventh scale degree within what would otherwise be a French sixth. This may involve the leading tone, or the lowered seventh scale degree as in m. 8 of Example 4-29. While the chord in this example might be dismissed as "nonessential," it is instrumental in establishing the key of F♯ minor that follows. The last chord in m. 8 is clearly V7 in the key of F♯ minor. The preceding chord contains the augmented sixth D–B♯, which resolves to a C♯ octave in the V7 chord, thus functioning as an augmented sixth in the key of F♯. Its quality is unusual, however, containing scale degrees 4 (B♯), 6 (D), 2 (G♯), and 7 (E).
"Mir ward gesagt," Italienisches Liederbuch #2

This example is also interesting for the complex way in which Wolf accomplishes the relatively simple task of modulating from B minor to F# minor. The tonal center is unclear at the opening of the song, but seems to be E
By m. 5 the tonal center has apparently shifted to B minor, the first four chords of m. 8 may be interpreted in that key. The chord on the third beat exemplifies another typical Wolfian device: using a dominant-function chord as an appoggiatura within its chord of resolution. The voice and the right hand of the piano part contain a B major-minor seventh chord (V7/iv in the key of B) while the bass line has already arrived on 4. The V7/iv resolves to an altered IV chord on the next eighth note. The chromatic shift from B to B#, coupled with the D in the bass, thrusts the progression into the key of F# minor.

The key of A major competes with B minor throughout mm. 6-8, and it is for this reason that the irregular augmented sixth in m. 8 is doubly significant. When the passage is played, Wolf seems to be setting up an arrival in A for m. 9. Backing up to m. 4, the key of B minor is indicated by the Neapolitan motion from the second half of the second beat to the V7 on the third beat, followed by the B-minor tonic triad in the next measure. The A-major triad appears on the downbeat of m. 6, muddying the tonal center once again. Measure 6 and the first half of m. 7 contain a brief motion to F# minor, which may be either the dominant of B or the submediant of A. Notice once again the staggered voice.

16"Mir ward gesagt" is discussed more fully in the following chapter.
leading, with the F# entering before the third beat of m. 7 and moving on to E when the rest of the C#7 resolves.

The second half of m. 7 and the majority of m. 8 may be viewed in either B minor or A major, with A major being the more audible choice. The series of dominant-preparation chords in mm. 7-8 culminates in the arrival of the dominant of A major on the third beat of m. 8. Even the exchange of B for B# does not prevent this chord from being a dominant; as previously noted, the augmented dominant is a frequent chord in Wolf's music. The key of A major remains unconfirmed, however: Wolf has set up an arrival in A, presents us with the augmented dominant in that key, and then resolves it as an altered augmented sixth chord in the key of F# minor.

In a similar instance, found in the Goethe song "Ganymed," Wolf takes a half-diminished seventh chord and resolves it as an irregular augmented sixth in another key (see Example 4-30). The excerpt begins in Ab major and returns to the home key of D major. The progression I - ii65 in mm. 37-38 is repeated in mm. 39-40. In the second instance, Wolf resolves the minor seventh Bb-Ab as though it were the augmented sixth Bb-G# in the key of D major. The resulting augmented sixth sonority does not match any of the standard types, containing (in the key of D) scale degrees #4, b6, 7, and 2.
(zart und ausdrucksvoll) Ich komm', ich komme!

Wo-hin? Ach, wo-hin?

The theoretical possibility of resolving the half-diminished seventh as an augmented sixth is recognized by Arnold Schoenberg. Schoenberg uses the term "vagrant" harmonies to refer to chords that allow more than one interpretation, such as the diminished seventh and German sixth/major-minor seventh. He also recognizes the possibility of resolving the augmented-minor seventh chord as though it were an augmented sixth chord in another region, giving the example shown in Example 4-31 in his Structural Functions of Harmony. In this instance, as with the half-diminished seventh chord, it is the minor seventh which is treated as an augmented sixth.

Schoenberg's example differs from the resolution of the augmented-minor seventh chord used by Wolf in Example 4-29.

Ex. 4-31. Schoenberg's resolutions of the augmented-minor seventh

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17Schoenberg, Structural Functions of Harmony, 45.
In Wolf’s example, the diminished third between the fifth of
the augmented dominant and its minor seventh is inverted,
and resolves like an augmented sixth. Schoenberg’s
resolution is also found in Wolf, and will be discussed in
connection with Example 4-34 below.

No discussion of unusual augmented sixth sonorities in
Wolf’s music may overlook the famous chord that opens
Eichendorff collection (see Example 4-32). Ernst Decsey
tells the following story:

With distinctive pride Wolf related to Professor
Schmid in Tübingen in April, 1891, how he had once
brought "Seemanns Abschied" to Bruckner, and that
the latter had exclaimed wholly startled at the
harmony of the first measure: "Where the devil
did you get that chord?"

A noteworthy confirmation of [Wolf’s]
originality, because it came spontaneously from
the mouth of one of the greatest harmonic
innovators. 18

Sams relates the same story, going on to call this a "whole-
tone chord," and to assert that it "has not wholly lost its
power to startle; it makes a rousing introduction to a tall
story."19 Mosco Carner describes Bruckner as having been

18 Decsey, Hugo Wolf, II, 94. (Mit besonderem Stolze
erzählte Wolf dem Prof. Schmid in Tübingen im April 1891,
wie er einmal Seemanns Abschied zu Bruckner gebracht, und
dieser von der Harmonie der ersten Takte ganz verblüfft
ausgerufen habe: "Teufel! woher haben Sie den Akkord?"
Eine bemerkenswerte Bestätigung seiner Originalität, weil
sie spontan aus dem Munde eines der größten harmonischen
Erfinder kam.)

19 Sams, The Songs of Hugo Wolf, 171.
Ex. 4-32. "Seemanns Abschied," Gedichte von Joseph v. Eichendorff #17

"nonplussed" by the chord, and offers his own opinion of it:

"It is, of course, the whole-tone scale on B telescoped into a chord."20 Both Decsey and Jarosch consider the chord to be $V_6/V$ with lowered fifth, thus analyzing the Eb as a

20Carner, Hugo Wolf Songs, 33.
nonessential tone that enhances the whole-tone effect of the sonority.\footnote{Decsey, Hugo Wolf, II, 94; Jarosch, 158.}

The chord does have a whole-tone sound (though it lacks one tone [A] of the whole-tone scale), and yet it makes perfect sense within the harmonic progression: it functions as an augmented sixth chord in the home key of F major, moving to the dominant in m. 3. In fact, if the Eb is thought of as an auxiliary (as it is notated), we are left with a perfectly normal French sixth in the key of F.

Irregular Resolutions

In addition to unusual augmented sixth sonorities, Wolf uses a plethora of irregular resolutions. The most common irregular resolution by far is that which proceeds directly to a root-position or first-inversion tonic chord, leaving out the dominant, as in m. 5 of Example 4-32. The position of this particular example is very unusual, with #4 as the lowest tone moving by tritone to the root of the tonic chord. The German sixth in m. 6 of Example 4-33 also resolves directly to the F-major tonic chord, here with the minor third scale degree in the lowest voice. The spelling of the German sixth in both Examples 4-32 and 4-33 is also curious: G# – A would be easier to read than Ab – A.

Wolf resolves the augmented sixth chord to a tonic harmony very frequently in his songs. This may happen...
within the context of a normal harmonic progression, as in Example 4-33, or the augmented sixth may serve as a neighbor chord to the tonic, as in Example 4-34. I use the term "neighbor chord" to refer to a chord that usually shares at least one common tone with the tonic, and whose other tones are neighbor tones to members of the tonic chord. The alternation of the German sixth and tonic chords as demonstrated in Example 4-34 is a common Wolfian device, often occurring over a tonic pedal point.
Measure 4 contains another interesting harmonic reinterpretation involving an augmented sixth sonority. As in "Mir ward gesagt" (Example 4-29), Wolf sets up an arrival in one key, but avoids confirmation of that key by resolving a dominant-function chord as an augmented sixth. The exchange of E for Eb on the third beat of m. 4 changes the quality of the A chord from minor to diminished. The B in
the upper piano line remains nonessential, as it was in previous statements of the motive.

Along with the change in quality of the A chord comes a change of function, since diminished triads do not usually serve a tonic function. The perfect fifth between the roots of the A and D chords, coupled with their qualities, creates the impression that an arrival on G is imminent. The D chord may be interpreted as V7 with a minor thirteenth, or as an enharmonically spelled augmented dominant (Bb for A#).

The D chord is approached as a dominant-function chord, but is enharmonically reinterpreted as an augmented sixth in the key of F# (this is the Schoenberg resolution mentioned above). Its spelling in the key of F# would be B#-D-F#-A#, an Austrian sixth. Having accomplished the tonal shift, Wolf repeats the prevailing motive in the new key.

As is so often the case, the sudden tonal shift in m. 5 is used to depict a change of mood in the poetic text. The first line of text (through m. 5) reads "They tell me your mother disapproves, so stay away, my dear, do her will."

The tonal shift in m. 5 immediately precedes the introduction of the second line of text: "Ah, dearest, no, do not do her will, visit me still, do it despite her, in secret." The change of mood in the text is reflected in the music by the sudden shift to a remote key. The furtive, vacillating tonic and German sixth chords in the recurrent
piano motive (Sams' "defiant motif") suggest the deceit of the speaker, whose insincerity in the first line is revealed by the second, and whose devious nature is revealed by urging that the lovers continue to meet "in secret."

The resolution of the augmented sixth chord to the tonic and the use of the German sixth as a neighbor chord to the tonic are not innovations of Wolf. For example, Schubert uses the German sixth as a neighbor to evoke a watery atmosphere in the introduction of "Am Meer" ("By the Sea," see Example 4-35). While not an innovation of his, Wolf employs these progressions to such an extent that they become a mannerism.

Sehr langsam (Molto adagio)

\[ C: \text{Gr}^6 \quad \text{I} \quad \text{Gr}^6 \quad \text{I} \]

Ex. 4-35. Schubert, "Am Meer" from Schwanengesang

Wolf's penchant for using traditional progressions in reverse order also manifests itself in irregular resolutions

\[ ^{22} \text{Sams, The Songs of Hugo Wolf, 339.} \]
of the augmented sixth chord. The resolution of the German sixth to vii°7/V has already been mentioned in connection with Example 3-4. The German sixth also moves frequently to V/V, as in mm. 15-16 of Example 4-36. In both of these

Ex. 4-36. "Und willst du deinen Liebsten sterben sehen," Italienisches Liederbuch #17

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23 When taken out of context, the progression Gr+6 - V7/V is identical in sound to the progression Nb7 - V7, yet differs in that both members of the shared tritone are not reinterpreted: #4 remains a leading tone in both chords in the former case.
resolutions the lowered sixth scale degree moves chromatically back to the major sixth degree, and thus away from the dominant. It is perhaps for this reason that other composers do not emphasize this progression to the degree Wolf does. It makes better linear sense to move $6 - b6 - \hat{5}$ than $b6 - 6 - \hat{5}$, although a notable exception is found in the traditional $N6 - vii07/V$ motion.

Another major category of irregular resolutions of the augmented sixth chord is that which I call deceptive. In a deceptive resolution the augmented sixth interval resolves to an octave, but the octave is not the root of the next chord. Instead, it is usually the third. Paul Badura-Skoda attributes the discovery of this resolution to Schubert, and makes a case for the dating of Schubert's works through the appearance in them of this progression:

It is astonishing that to my knowledge no attention has been given to the fact that in the first, third and fourth movements [of the 'Great' C Major Symphony] Schubert uses a new harmonic formula, of which no trace appears in his work before the end of 1826. He places the German augmented sixth with the bass not on the submediant, as is usually the case, but on the subdominant, and resolves it on to the $\flat$ of the tonic chord [Example 4-37]. This highly original turn of harmony, one of Schubert's discoveries, makes it possible for him to avoid the somewhat conventional resolutions which appear in his earlier works.\(^{24}\)

Wolf's resolution is the same as Schubert's, yet it often appears in a different context: the German sixth is built on the submediant (its normal location) rather than Schubert's subdominant, and resolves to bIII rather than I. The resolution in Example 4-38 demonstrates another distinction between Wolf's version and Schubert's: Wolf places the German sixth in a different position, having the tonic note in the bass.
In Example 4-38, the deceptive resolution also serves as a pivot into a new key. The passage begins in Bb, with the German sixth appearing on the third beat of m. 15. The augmented sixth Gb-E expands to an octave F, but F proves to be the third of the following chord. The Db chord is approached as bIII in Bb, but functions toward the remainder of the passage as the Neapolitan of C. Wolf confuses the issue further by placing the Db chord in second inversion, opening up the possibility that it could be a tonic six-four. Once again the tonal shift accompanies a poetic change, with the contrasting textual ideas "flieht mich" ("shuns me") and "zieht mich" ("attracts me") being set in contrasting keys.

Wolf also uses Schubert's version of the progression (resolving to I₆), yet with a French sixth rather than the German, as may be seen in Example 4-39. The excerpt begins with a confirmation of F# minor in m. 67; the chord in question follows on the fourth beat, and is spelled B-D#-F-A. Its function is not immediately apparent: as a French sixth it would belong to the key of A (bIII), and as an altered dominant it might indicate the key of E (bVII).²⁵

²⁵The braces around the Fr+6 symbol indicate that the sonority has the quality of a Fr+6, yet that it is not constructed on the same location of the scale and that it resolves deceptively. While the chord might be considered an altered secondary dominant, its appearance in the position characteristic of the augmented sixth chord supports its interpretation as a French sixth.
Instead, it resolves deceptively to I₆/C, and the remainder of the passage stays firmly in C major.


In some instances the resolution of the augmented sixth to bIII₆ merely delays the arrival of the dominant. While bIII₆ may often be considered nonessential in such a case, Example 4-40 demonstrates that the tempo of a passage may influence whether or not the deceptive resolution sounds essential or not upon first hearing. The deceptive resolution takes place on a secondary tonal level (G minor, ii of F major), and the French sixth moves to an essential-sounding bIII₆ before proceeding to V₇. The effect of a deceptive resolution is lost entirely when the augmented sixth moves to bIII+₆ as a dominant substitute, as in
Ex. 4-40. "Biterolf," Sechs Gedichte von Scheffel, Mörike, Goethe und Just, Kerner #3

Example 4-41. In this excerpt, bIII+6 and bVI4 only embellish the more-essential Gr+6 – V7 progression.

Ex. 4-41. "Mein Liebster singt am Haus," Italienisches Liederbuch #20

A last category of irregular resolutions of the augmented sixth involve the "common-tritone exchange"
introduced above in connection with the major-minor Neapolitan seventh. The common-tritone exchange found between two major-minor seventh chords a tritone apart also appears in contexts that are more difficult to interpret as $\text{Nb}_7 - V_7$; either of the sonorities might be a German sixth or a dominant seventh.

Example 4-42 highlights this ambiguity: while the second chord in m. 9 might be interpreted as $\text{Nb}_7$ in the home key of G minor, the chord first appears in the context of C minor. A motion toward C is initiated with the diminished seventh that begins on the last beat of m. 7 and that is prolonged through a chromatic voice exchange until the following beat. The dominant of C that follows resolves in common-tone fashion to $V_\flat^6/bVI$ (a transferral of dominant function as discussed in the preceding chapter), a chord which may also function as $V_7/N$ in G minor. The $\text{Eb}^\flat$ resolves as expected to an Ab-major triad that may be either $bVI_6$ in C minor or $N_6$ in G minor. The interpretation of the Ab chord as a Neapolitan is supported by the fact that it appears in first inversion (accomplished through an irregular resolution of the leading tone in the bass), while the $bVI_6$ interpretation is supported by the addition of F# on the third beat (which causes the chord to be spelled as, and sound like, the German sixth of C minor).

Sechter's concept of the augmented sixth again proves useful in understanding this progression. Sechter would
kein Mensch hat damals Acht auf mich gegeben, ein jeder Tag verloren.

Ich dachte wohl ganz dem Gesang zu leben,

etwas belehnt

für mich war.

Ich dachte wohl ganz dem Gesang zu leben.

(g:) $V_b9$

(c:) $V_b9/1$

Ex. 4-42. "Wohl denk' ich oft," Drei Gedichte von Michelangelo #1

interpret the German sixth as an altered $ii^09$; its implied fundamental would be D, which is also the root of the following $V_7$ chord. Since these chords share the same
fundamental, Sechter would assert that they are two
different variants of the same basic harmony, and that the
former might substitute for the latter. In any event, the
progression is rendered comprehensible through the common
tritone and its reinterpretation.

In summary, the augmented sixth chord in its various
guises and resolutions is a very frequent sonority in Wolf's
music. Most of the augmented sixth chords used by Wolf are
traditional in their quality and point of resolution. Wolf
often spells the German sixth as a major-minor seventh,
especially when the alternate spelling facilitates the ease
with which a passage may be read. Wolf is also somewhat
free with traditional voice-leading principles associated
with the augmented sixth, especially as regards placing b6 -
5 in the lowest voice: many of Wolf's "augmented sixths"
are in fact diminished thirds or tenths. The use of the
German sixth as an enharmonic pivot chord is another
traditional device frequently used by Wolf. The dominant
augmented sixth appears in Wolf's music, but not to a
greater extent than it might have been used by Schubert.

Less traditional is Wolf's use of irregular positions,
unusual augmented sixth chord qualities, and irregular
resolutions. The more significant irregular resolutions
include resolution directly to the tonic, the use of the
German sixth as a neighbor chord to the tonic, resolution to
a secondary dominant of V, and the deceptive resolution
(bIII). Most of these irregular resolutions can also be found in the works of Wolf's contemporaries; Wolf differs from other composers not so much by the unusual things he does, but by making the unusual commonplace. The frequency with which Wolf uses the augmented sixth chord in all the many interpretations he finds for it make this sonority a major feature of his style.

The Augmented Triad as Dominant Preparation

The augmented triad may serve as an altered dominant-preparation chord, usually as the result of chromatic passing motion. While the augmented triad commonly serves a dominant function (either V+ or the dominant substitute bIII+), it is often used by Wolf to prepare the dominant as IV+ or bVI+.26

Example 4-43 contains an example of an augmented subdominant chord, and also demonstrates how this chord usually arises through chromatic motion. The bass line ascends chromatically from a root-position to a first-inversion V chord, passing through the borrowed iv6 and IV+6 on the way. Wolf inserts the extra tone necessary to complete the chromatic line as a passing tone (the Gb in m. 2). That the Gb is less essential than the other tones of

26 Again, the use of Roman-numeral symbols in these instances does not imply fundamental status for the chords as they actually appear, yet the symbols express the particular sonority of an altered fundamental harmony as well as its derivation and function.
the chromatic line is evidenced by the recurring motive in the left hand of the piano part: the Gb does not receive its own statement of the motive, slipping in between the arpeggiated IV+6 and V§ chords. The raised fifth of IV+ usually resolves as a leading tone to the fifth of the V chord, as it does here in the left hand arpeggio.27

\[\begin{align*}
\text{Innig und leidenschaftlich.} & \quad j=100. \\
\text{Ab:} & \quad V_7 \quad \text{iv}_6 \quad \text{IV}^+6 \quad V^+_5 \quad V^+_5
\end{align*}\]

Ex. 4-43. "Ihr seid die Allerschönste weit und breit," Italienisches Liederbuch #3

The bVI+ chord is a frequent altered dominant-preparation chord in Wolf's songs. It shares the lowered sixth scale degree with minor-derived dominant-preparation chords such as iv, ii⁰, the Neapolitan sixth, and the augmented sixth chords. Although bVI+ may move to any chord that the unaltered submediant chord may, it most often proceeds to V. It appears frequently in the major mode as

27On another level of harmonic structure, of course, both the iv§ and IV+6 chords are nonessential sonorities that are created through passing motion from V7 to V§.
the result of a chromatic bass line: vi - bVI+ - V (see Example 4-44).

Ex. 4-44. "Auf dem grünen Balkon," Spanisches Liederbuch, Weltliche Lieder #5

Wolf uses the bVI+ chord to change key on many occasions. The modulation shown in Example 4-44 is a particular mannerism of Wolf's: a major triad (often V) in the original key becomes minor, signalling a possible key change. The change of key becomes apparent when the root of the minor triad is chromatically lowered. The resulting augmented triad then leads to I₆ or V in the new region, and the new key is confirmed.

A similar example emanating from a minor key is shown in Example 4-45. The root of the G-minor tonic chord is lowered in m. 15, creating what could be bIII+6 in G minor (as it is spelled). This augmented triad does not have a
dominant function, however, but serves as a dominant-preparation chord in the key of Bb major (the I\(^6\) that follows is not, of course, an essential harmony but merely delays the arrival of the dominant). Wolf often inserts a dominant-preparation chord between I\(^6\) and its resolution, as he does here with the subdominant major-major seventh chord in m. 16; this chord further delays and embellishes the expected arrival of V.
Conclusion

The preceding discussion has dealt with various altered dominant-preparation chords as they were used by Wolf. For the most part Wolf's treatment of these chords is traditional. Most of the altered dominant-preparation chords used by Wolf share a common element: the lowered sixth scale degree and its resolution to the dominant. Wolf builds some unusual chords around the lowered submediant, especially the unusual augmented sixth sonorities discussed above. Wolf also employs irregular resolutions with greater frequency than earlier composers, and alters traditional voice-leading patterns accordingly. Many of these irregular chords and resolutions are mannerisms of Wolf's individual style, such as the progressions $N_6 - Gr+6$ or $N_6 - V/V$, the use of the Neapolitan and German sixths as pivot chords, the use of the German sixth as a neighbor chord to the tonic, and the use of $bVI+$ in modulations.

Altered dominant-preparation chords constitute a significant facet of Wolf's style. While there may not be a single chord or resolution in Wolf's songs that may not be found in the works of his predecessors and contemporaries, Wolf uses the altered dominant-preparation chords extensively, and often in unusual combinations. The Neapolitan sixth and augmented sixth chords are especially common in Wolf's songs, both in traditional and nontraditional usages. As is discussed in Chapter 6, the
altered dominant-preparation chords allow Wolf to indicate a tonal center without actually establishing it, serving as tonal anchors in otherwise ambiguous passages. Finally, we have encountered and noted several of Wolf's other harmonic mannerisms, including repeated progressions, neighbor chords, staggered voice leading, the use of traditional progressions in reverse order, and occasional use of extensive nonessential chromaticism.
CHAPTER 5

THE DIMINISHED SEVENTH CHORD

The traditional uses of the diminished seventh chord as a dominant substitute and as an enharmonic pivot chord were discussed in Chapter 2, as was the common-tone resolution of the chord. Each of these aspects of the chord was used by Wolf, and the diminished seventh chord is a frequent sonority in his songs. Other than a marked emphasis on the common-tone resolution, Wolf's use of the chord is fairly traditional and requires little comment. The fact that an individual chapter has been provided for the chord here is not to imply any greater significance for the diminished seventh over those chords already discussed. The chord has been separated primarily because of the differing function of the common-tone, or "nondominant," resolution. Our discussion of the diminished seventh chord centers on two areas: (1) in its traditional dominant role we will examine tonal shifts and redirection brought about through enharmonic reinterpretations and other devices; and (2) the different uses of the common-tone resolution will be examined and classified.
Enharmonic Reinterpretation

Wolf's most frequently uses the diminished seventh as a leading-tone chord, on either a primary or secondary level. As a dominant-function chord, vii°7 may be substituted for V7 in most of the situations discussed in Chapter 3. Because of its special structure, the diminished seventh has a larger number of possible interpretations than the major-minor seventh. Due to its symmetrical construction, consisting entirely of minor thirds, the diminished seventh chord has no aurally distinct inversions. Through enharmonic reinterpretation the chord may be resolved in the context of several potential key centers. For example, the leading-tone seventh of A minor (G♯-B-D-F) may be resolved as the leading-tone seventh of Eb (D-F-Ab-Cb), resulting in a relatively smooth tonal shift to a foreign key.

The value of the enharmonic possibilities inherent in the diminished seventh chord was early recognized by composers and theorists alike. Rameau speaks of enharmonic reinterpretation of the diminished seventh in his Génération harmonique of 1737, stating that any of its tones may be treated as the leading tone.¹ Rameau goes on to cite examples from his own works in which such reinterpretations take place. Wolf's enharmonic use of the diminished seventh differs from that of Rameau and other composers who lived

¹Rameau, Génération harmonique, 152.
over 150 years earlier not because the enharmonic reinterpretation itself differs, but because it appears in the general context of Wolf's extended tonal language.

This last point is illustrated on a micro level in Example 5-1, drawn from the final measures of the Italian song "Heb' auf dein blondes Haupt." The key of the excerpt is Ab major, and a diminished seventh sonority appears twice in m. 21, each time with a different interpretation. It is spelled identically in both instances (G-Bb-Db-Fb), but different members of the chord serve as leading tones. On the second beat Bb is the leading tone to the following Cb-major chord (bIII). The chord returns on the fourth beat, accompanied by a 7-6 suspension. In the latter instance G serves as a leading tone to the tonic Ab. In the space of a measure Wolf has provided two different interpretations of the same chord. While Rameau and other earlier composers might use this type of enharmonic reinterpretation, it is

Ex. 5-1. "Heb' auf dein blondes Haupt und schlaf nicht," *Italienisches Liederbuch* #8
doubtful they would use such a tonally ambiguous progression this close to the end of a piece.

Example 5-1 also demonstrates how little importance chord spelling has for chord function. The "correct" spelling of the chord on the second beat would include a doubly-flat A rather than G. Wolf, and other nineteenth-century composers, often pick the spelling that is easiest to read, rather than the one that shows the function of the chord most clearly.

Keys that are a tritone distant may be easily reached through enharmonic reinterpretation of the diminished seventh chord. In Example 5-2, Wolf modulates from F# minor to B major, passing briefly through the key of C major on the way. The vii°7 in F# minor enters in the second half of m. 14 and is sustained through m. 15. Wolf highlights the enharmonic reinterpretation in this example by altering the spelling of the chord on the last beat of m. 15: E#-G#-B-D becomes B-D-F-Ab. The chord now leads to C rather than F#, yet the listener has no way of perceiving the change until the C chord actually enters in m. 16. The resulting modulation is a surprise, yet remains relatively smooth because the diminished seventh chord belongs to both keys. Note also the apparent change of inversion that accompanies the enharmonic change.

A further enharmonic modulation occurs in Example 5-2. Having accomplished the tritone motion from F# (v) to C (N),
Ex. 5-2. "Keine gleicht von allem Schönen," Vier Gedichte nach Heine, Shakespeare und Lord Byron #4
Wolf now turns towards his actual goal: the home key, B major. For this modulation Wolf takes advantage of the enharmonic equivalence of the major-minor seventh and German sixth chords, as he has in several of the examples presented above. The dominant seventh in the Neapolitan key is the same sonority as the German sixth in the tonic. The G7 chord on the fourth beat of m. 17 is approached as V7 in the key of C, but resolves as a German sixth in the key of B.

The symmetrical structure of the diminished seventh chord gives rise to another peculiarity. Lowering any of its tones a half-step results in a major-minor seventh sound, with a different major-minor seventh for each lowered tone of the diminished seventh. In an aural sense, the effect is that of lowering the seventh of the diminished seventh, with the lowered tone becoming the root of the following major-minor seventh chord. In the absence of an enharmonic reinterpretation the leading tone remains the same during the change. For example, the chord G#-B-D-F is spelled as vii°7/A. If the seventh of the chord is lowered, V♭7/A results: G#-B-D-E.

This "lower-any-tone" effect is often used by Wolf (and previous composers) in conjunction with an enharmonic reinterpretation, as in Example 5-3. This example begins in the relative minor (C#) and returns to the home key of E major. The dominant seventh of C# minor is sustained through mm. 25-28. The vii°♭7 of C# minor enters on the
second beat of m. 28 when G# is replaced by A. The spelled root of the diminished seventh chord (B#) is lowered a half-step on the next eighth note, creating V₇ in the key of E.

Ex. 5-3. "Morgenstimmung," Drei Gedichte von Robert Reinick #2

"Nicht länger kann ich singen"

More typical of Wolf's individual style is his use of the "lower-any-tone" effect to dip in or out of an unconfirmed secondary tonal level, thus expanding the tonal resource of a key without really leaving it. The brief Italian song "Nicht länger kann ich singen" contains an excellent example of this technique being used to express a
nuance of the poetic text (see Example 5-4). The passage to which I refer is found in mm. 6-8.

The song has remained in the home key of A minor up until this point. Potential motions to the dominant appear in mm. 1 and 5, but in both instances vii°½/V moves in retrogressive fashion to ii½, further exemplifying Wolf's habit of reversing traditional tonal direction. Alternatively, both mm. 1 and 5 may be analyzed as tonic triads which contain nonessential chromaticism. The brief tonicization of C major in m. 8 is the only confirmed motion away from A minor in the piece.

The modulation to C major is presaged by the G7 in m. 7, yet remains unconfirmed until m. 8. The vii°½ on the third beat of m. 6 is held into the downbeat of the following measure, at which time its spelled root (G#) is lowered a half-step to G. The "lower-any-tone" effect is combined with an enharmonic reinterpretation (G#=Ab) to create a major-minor seventh chord on G, setting up a motion to C. The raised-root deflection in m. 7 denies the motion to C, and casts the progression back into the key of A minor for the remainder of the bar. C major is briefly confirmed

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2 The piano melody in the first two measures of the song also forms the melodic basis of the following song ("Schweig einmal still"), which contains a caustic reply to the serenade of "Nicht länger kann ich singen." For this and other connections between the songs, see the excellent discussion in Sams, The Songs of Hugo Wolf, 362-364.
in the following measure, but the E7 concluding m. 8 immediately leads back to A minor once again.

The tonal center of the song is stable up until m. 7, at which point Wolf begins to move away from A. The resulting tonal instability coincides exactly with a change in the text. The poem consists of the musings of an unsuccessful serenader. In the first two lines of the poem the singer explains why he is abandoning his task: "I can sing no longer, for the wind blows strong and taxes my breath. Also I fear that time passes by profitlessly." The third line introduces an element of doubt: "If I were really sure, I should not now go back to bed." The fourth line continues in the same vein: "If I really knew, I should not now be walking home and losing this lovely time in loneliness."

The tonal instability created by the reinterpretation of the diminished seventh chord in m. 7 accompanies and mirrors the first appearance of uncertainty in the text: "If I were really sure." Tonal stability does not return until m. 11, where the key of A minor is firmly re-established.

The beginning of the singer's second uncertain statement, "Ja wüsst ich was" ("If I really knew"), is also accompanied by tonal instability in the form of two

3Translations of this text are drawn from Sams, The Songs of Hugo Wolf, 362.
Langsam und recht kläglich vorzutragen. \( \text{\textit{d=44}} \).

Nicht länger kann ich singen, denn der Wind auch fürchtet euch, dass die Weht stark wird und macht dem Atem was zu schaffen. Auch fürchtet euch, dass die Zeit umsonst verfrust.

Ja wisst ich was, würde ich nicht heim speisen und einsam die schöne Zeit verliehen.

Ex. 5-4. "Nicht länger kann ich singen,"
Italienisches Liederbuch #42
successive deceptive resolutions of major-minor seventh chords. The first occurs from the end of m. 8 into m. 9, and serves to shift the tonal center back toward A. The second occurs at a secondary level, and is used to reach the Neapolitan. Tonal instability continues through mm. 9 and 10 because of repeated denials of the dominant, a further musical illustration of the singer's wavering uncertainty. The dominant finally resolves in m. 11, ushering in the return of tonal stability and the opening motive.

Our final example of the "lower-any-tone" effect demonstrates another potential interpretation of this device (see Example 5-5). The excerpt begins in Eb major/minor and contains a modulation to F. Measure 66 contains the repeated motion iv7-vii07, pivoting around the Cb common tone in the voice. Wolf repeats the progression in m. 67, respelling D as a doubly-flatted E (once again, the enharmonic spelling is not immediately apparent to the listener). The root of vii07 (D) is lowered a half-step on the third beat, creating a Db major-minor seventh chord.

If this example were to proceed in the manner of the examples presented above, the Db7 would prove to be V7/Gb. Instead, Wolf resolves the chord as a German sixth in F major. Wolf advertises his intent: the G passing tone on the fourth beat of m. 67 destroys any sense of Gb, and signals that the sonority will be a German sixth.
The Common-Tone Diminished Seventh

There are no common tones between the diminished seventh chord and its resolution when the diminished seventh serves a leading-tone function. The major feature of this dominant-function resolution is the collapse of the two interlocking tritones which make up the diminished seventh. A different effect occurs when a common tone is held between the diminished seventh chord and its chord of resolution.\(^4\)

In such cases the function of the diminished seventh is more

\(^4\)This does not include progression such as \(\text{vii}^7/\text{V} \rightarrow \text{I}_6\). While a common tone exists between these chords, the \(\text{I}_6\) is not the final resolution of \(\text{vii}^7/\text{V}\), but merely delays the ultimate goal, \(\text{V}\).
ambiguous, and its strong tonicizing ability is lost. An exception is found in the progression vii$^{0}$ - bVI. While this resolution involves a common tone, the function of vii$^{0}$ as a substitute for V7 in the deceptive cadence (V7 - bVI) remains clear.

The common-tone diminished seventh has traditionally had a nonessential character, as noted in Chapter 2 (refer back to Example 2-31). Wolf uses the chord frequently as a decoration of an essential progression, as in Example 5-6. Secondary dominants of ii appear in mm. 4-5: vii$^{0}$/ii and V7/ii.5 The goal of these chords is the V$^{5}$/V on the second beat of m. 6, which is ornamented through the common-tone

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Ex. 5-6. "Geselle, woll'n wir uns in Kuppen hüllen,"
Italienisches Liederbuch #14

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5This is an elementary example of the "lower-any-tone" effect.
diminished seventh that precedes it. The common-tone diminished seventh provides three half-step leading tones to members of $V^7_V$, each of which may be viewed as passing tones from the preceding $V^7_{ii}$.

The common-tone diminished seventh appears often as a neighbor to the tonic in Wolf's music. Example 5-7 contains a typical example, with the common tone appearing in the bass as a pedal. Once again the function of the chord is ambiguous. It does not function in a dominant capacity because it does not tonicize the following Gb chord.

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Ex. 5-7. "Wenn du, mein Liebster, steigst zum Himmel auf," Italienisches Liederbuch #36
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Rather, it appears to be an embellishment of the tonic triad.\(^6\)

\(^6\)The common-tone resolution also results from ellipsis of the dominant, when $vii^0_7/V$ moves directly to a root-position or first-inversion tonic harmony, as in Example 8-
The common-tone diminished seventh can be used to provide a sense of motion when no actual progression occurs. Example 5-7 exemplifies this aspect of the chord. An example occurring within the dominant harmony may be seen in Example 4-36 (from "Und willst du deinen Liebsten sterben sehen"). The common-tone diminished seventh appears on the last beat of m. 14, positioned between two V7 chords. The root of the essential chord (V) remains in the bass as a pedal (as in Example 5-7), with the other members of the common-tone diminished seventh again serving as ascending half-step leading tones to members of the V7 chord. In this manner the common-tone diminished seventh creates a temporary tension that is resolved by the following V7 chord, but without a sense of true progression. The dominant function is retained from the third beat of m. 14 to the second beat of m. 15, with the embellishing common-tone diminished seventh serving to accomplish a registral shift within the dominant.

On other occasions Wolf gives the common-tone diminished seventh a more essential nature. In this chapter we have seen how Wolf takes advantage of the diminished seventh's multifarious resolution possibilities to change

5 ("Geh', Geliebter, geh' jetzt!"). The diminished seventh shown in this example is an integral part of an essential harmonic progression, and thus differs from the embellishing common-tone diminished seventh shown in Figure 5-7. For further information regarding this distinction, see the discussion accompanying Figure 8-5.
key. Wolf also uses the common-tone resolution to change tonal centers, as may be seen in Example 5-8. The excerpt begins in Bb major and moves to the closely related key of D minor in m. 21. The modulation is accomplished through a reinterpretation, or irregular resolution, of a diminished seventh chord.

Ex. 5-8. "Verschling' der Abgrund meines Liebsten Hütte," Italienisches Liederbuch #45

A Bb tonic pedal is sustained from mm. 17-20. In m. 19 vii°⁷₂ appears over the tonic pedal, a favorite device of Wolf's. In m. 20 Gb is enharmonically respelled as F♯, and
the dominant function of the diminished seventh chord is redirected by a common-tone resolution to the A7 that follows. This is similar to the enharmonic resolutions discussed above, but the diminished seventh functions differently. In an enharmonic reinterpretation the diminished seventh retains its dominant function, but that function is redirected. In the excerpt in Example 5-8, the dominant function of the diminished seventh chord is stripped away and transferred to the A7.

"Mir ward gesagt"

Our final example of the diminished seventh contains an excellent illustration of the many possible interpretations of the chord, and serves as a summary of the harmonic principles discussed in this chapter. It may be recalled from the discussion of "Mir ward gesagt" in Chapter 4 that the keys of B minor, A major, and F# minor compete for dominance in mm. 4-8 (see Example 5-9).\(^7\) The first four measures (with anacrusis) of the song return in mm. 9-13, transposed up a whole step. Because of the transposition, the B-minor passage in m. 4 is answered by a motion toward C# in m. 13.

It was noted earlier that in mm. 6-8 Wolf sets up a motion toward A major that he avoids by the irregular

\(^7\)For another view of tonal structure in this work, see Stein, Hugo Wolf's 'Lieder,' 156-168.
Langsam und sehr Innig,  

Mir ward gesagt, du reisst in die Ferne.

Ach, wohin gehst du, mein geleschter Leben? den Tag, an dem du scheiden,

dest, wisst ich gerne; mit Tränen will ich das Geleit dir geben.

Ex. 5-9. "Mir ward gesagt," Italienisches Liederbuch #2 (Example continued next page.)
Ex. 5-9, continued

Mit Tränen will ich deinen Weg befeuchten.

1. etwas zunehmend

Mit Tränen bin ich bei dir allerwärts geedenk an mich, und Hoffnung wird mir leuchten!

V7

Mit Tränen bin ich bei dir allerwärts geedenk an mich,

As: V7 c7 IV6 vii7  V7/IV IV6

sehr zart (vii7/vi)

vergiss es nicht, mein Herz!

zurückhaltend
resolution of V+4 in m. 8, moving instead to the key of F# minor. The first hint of A major (after the emphasis of A minor in mm. 2-4) occurs at the end of m. 5 and on into m. 6. In the corresponding passage in the second half of the song, the literal transposition of the song's opening measures breaks off at m. 14. If mm. 4-5 move toward A, mm. 13-14 would move toward B in an exact transposition. Instead, Wolf moves directly from V7/C# to V7/A (another possible motion toward A).

The expected A chord is not reached until m. 16, however, where it proves to be the dominant of D major, the final key of the piece. D major does not emerge as tonic until the song's final measures, but upon its arrival the earlier, less firmly established keys receive some clarification. The song opens in E minor or G major, both of which are subdominant regions to D (ii and IV, respectively). B and F# minor may be viewed in the same light, serving as vi and ii of D. The several unconfirmed motions toward A (mm. 2-4, 6-8, and 14-15) may now be understood as long-term denials of the dominant.

All of this tributary explanation is necessary to show the many possibilities of the diminished seventh chord appearing in the second half of m. 14. The key of A (or at least A as V in D) is heralded by the E7 on the downbeat of m. 14. The E7 moves in raised-root fashion to an E# diminished seventh, and the inflected root (E-E#) creates
expectation of an F#-minor chord (A: V7 - vii°7/vi - vi).
If this hypothetical F# chord were major, it could serve as V/B minor. Another possible interpretation for the diminished seventh chord is as vii°7 in A (or vii°7/V in D), enharmonically spelled (E#=F).

None of these possible interpretations is taken immediately by Wolf. Instead, the diminished seventh moves in common-tone fashion to a D-major triad, extending the tonal ambiguity a bit further. While D proves to be the tonic, we do not know that until the G-natural in m. 16. In m. 15 D major functions as the subdominant of A.

The ambiguous resolution of the diminished seventh chord in m. 14 sums up the tonal ambiguity characteristic of the song up until this point. The chord could lead directly or indirectly to F# minor, A major, or B minor, the three most important potential key centers of mm. 2-16. Instead, Wolf uses the common-tone resolution to lead to the first hint of D major, which becomes the undisputed tonic in mm. 16-20.

On another level the common-tone diminished seventh in m. 14 is wholly nonessential, serving as a link in the passing motion from the root-position E7 in m. 14 to the E6 ending m. 15. It is also interesting to note that the prolonged E dominant accompanies an expansion of the voice melody in m. 5 to two measures in mm. 14-15.
The transposition of the first half of the song is discontinued at m. 14, and the melodic line of m. 5 appears at its original pitch level and is given a different harmonization at that point. The melodic material of m. 6 is absent in m. 16, which relates more closely to the chromatic half-step found in m. 7. Measure 17 contains an expanded version of m. 8. Melodic resolution in m. 8 is denied by the sudden tonal shift toward F# minor, with the melody ending on the leading tone (E§). Melodic resolution is achieved in mm. 17-18 by a different interpretation of the motive. The G# of m. 8 served potentially as a leading tone to A, and alternatively as the second scale degree in F# minor. In m. 17 G# is replaced by G as the seventh of V7/D, and resolution of the melodic line results when G follows its natural resolution to F#. The interrupted motion in m. 8 is now completed.

Conclusion

In this chapter I have investigated both traditional and nontraditional uses of the diminished seventh chord, and have noted that a leading-tone diminished seventh may be substituted for a given dominant, on either a primary or secondary level, and that this leading-tone function remains the most prevalent use of the diminished seventh in Wolf's songs. Wolf frequently takes advantage of the special enharmonic abilities of the diminished seventh to reach
foreign keys smoothly or to slip in and out of secondary tonal levels, often accomplished through the "lower-any-tone" effect. The nonessential common-tone diminished seventh is another important element of Wolf's harmonic language, and the discussion has shown how Wolf expands its traditional role as an embellishing chord by using the common-tone resolution as a means of changing key or enhancing tonal ambiguity.
CHAPTER 6

TONAL INSTABILITY AND RAPID KEY SHIFTS

Perhaps the most outstanding feature of Wolf's style is the amount of tonal instability that occurs in his music. Tonal instability exists on many different levels and may be brought about in many different ways. It is created on a surface level by the irregular resolutions and reinterpretations discussed in Chapters 3-5, and on a background level by avoidance or replacement of traditional tonal relationships, such as his avoidance of the dominant region and his frequent substitution of the subdominant region for the dominant region.

The reader is directed to Stein's work for a fuller discussion of large-scale tonal structure in Wolf's songs. The discussion here centers on tonal instability as a local phenomenon, on ways in which the present tonal center is obscured or confirmed, and not on how the overall tonal structure or key scheme differs from those of the common-practice era.

My comments on instability in overall tonal schemes are limited to a few remarks concerning tonal ambiguity in general, and in particular on the use of certain types of

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1Stein, Hugo Wolf's 'Lieder.'
progressive tonality and their relationship to certain poetic ideas. While the bulk of this chapter is concerned with Wolf's use of rapid key shifts, we must first briefly examine a few other innovative features of his tonal schemes.

**Progressive Tonality**

It had been a law almost without exception from the inception of functional tonality through the middle of the nineteenth century that musical compositions should begin and end in the same key. This law fell by the wayside in the latter half of the nineteenth century. While most pieces continued to begin and end in the same key, many composers of the period wrote compositions exhibiting progressive tonality; that is, they end in a key other than the one in which they began.

Progressive tonality is not a particular innovation of Wolf's; rather, it was a sign of the time in which he worked. Wolf's use of progressive tonality to depict some aspect of dramatic action in a poetic text (also noted by

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2"Progressive tonality" and "directional tonality" are alternate terms for the same compositional device: beginning and ending a musical composition in different keys. Deborah Stein prefers "directional tonality," a term she credits to Robert Bailey (see Stein, Hugo Wolf's 'Lieder,' 228, n. 12). The term "progressive tonality" was apparently coined by Dika Newlin (Bruckner, Mahler, Schoenberg, rev. ed. [New York: W. W. Norton, 1978], 129, 186, 196, 209) and has been used by numerous other scholars, especially in studies of Mahler (see the Mitchell quotation below), and is used here.
Bruner and Stein) is a further sign of his time, as evidenced by the following quotation from Donald Mitchell concerning Mahler's early song cycle Lieder eines fahrenden Gesellen (completed in 1885):

Furthermore, we surely uncover here the dramatic justification for the cycle's progressive tonality (D minor–F minor). The Traveller travels and arrives at a destination that is wholly different from the point from which he has set out on his journey, and Mahler's overall key-scheme faithfully records the course of his hero's destiny. One might claim that Mahler's tonality, travelling along with his Traveller, is not only dramatic but also strictly realistic, even factual, perhaps. It seems to me that the same association of tonality and dramatic truth underlies the overall key-schemes of many of Mahler's symphonies. There is certainly another important relationship here between the song cycles and the symphonies: the roots of Mahler's use of progressive, dramatic tonality in the instrumental works are obviously to be found in the song-cycle which preceded the first of his symphonies. Even when the drama of the symphonies becomes increasingly interior, it continues to be served by, and indeed made comprehensible through, the use of tonality as narrative. In short, the majority of Mahler's key-schemes tell a story.

Progressive tonality raises several thorny problems that have been aptly summarized by Stein:

Did the piece begin on a nontonic harmony whose relationship to the real tonic eventually became clarified, or did the piece begin on a tonic whose function as tonic was contextually established and then altered during the course of the piece? Two other questions arise: first, did the opening harmony sound like a tonic by default (i.e., in an


initial absence of any other functioning tonic) and only become more clearly understood when the real tonic appeared? Second, does a transformation occur so that a harmony that functioned clearly as a tonic initially becomes reinterpreted later as a non-tonic harmony?^5

Dominant Endings

Over ten percent of Wolf's songs exhibit progressive tonality (at least forty-two songs).6 There is a fair degree of correlation between certain progressive tonal schemes and certain poetic ideas. The most common progressive tonal scheme in Wolf's songs involves a closing tonality that lies a perfect fifth above the opening tonality. At least fifteen songs contain this relationship. If the opening tonality is taken as the tonic, the closing tonality would be the dominant region. In addition, there are at least thirteen Wolf songs that end on dominant chords in the original or a secondary key, bringing the number of songs that end "on" or "in" the dominant to at least twenty-eight.

The most incontrovertible dominant ending in Wolf's total output occurs in "Die Spinnerin" from Sechs Lieder für eine Frauenstimme, which ends on a dominant seventh chord (see Example 6-1). The dominant seventh that ends "Die

^5Stein, Hugo Wolf's 'Lieder,' 144.

6An exact count is subject to individual interpretation due to the numerous songs which open in a tonally ambiguous manner.
Spinnerin" clearly reflects the question which concludes the poetic text: the unresolved ending of the text is accompanied by an unresolved dominant discord. The technique of using the dominant in association with textual questions is noted by Eric Sams (his motifs 31 and 32), who
points to Schumann's "Im wunderschönen Monat Mai" as Wolf's model.\(^7\)

Songs that end on a dominant chord are characterized by an obvious lack of harmonic closure. Those Wolf songs that end in the dominant region of the original tonic may be seen as extensions of the technique of ending on a dominant chord, thus exhibiting a lack of tonal closure on a large scale. One possible interpretation of this particular category of progressive tonality in Wolf's songs, in which the final key relates to the opening key as dominant, is that the opening key is the tonic, and that the fundamental structure remains incomplete: the final tonic is missing.

Stein mentions Schenker's puzzlement over Chopin's Mazurka Op. 30, No. 2, in connection with which he alludes to the possibility of an incomplete fundamental structure:

A fundamental line and V\(^\#3\) - I in the bass are also lacking here; the uncertainty which rises about the tonality . . . almost prevents us from calling this Mazurka a completed composition. (This peculiarity was pointed out by Schumann.)\(^8\)

Schenker makes another reference to incomplete musical form in an earlier passage:

If recent musical products have almost no end or seem to find no end, it is because they do not derive from a fundamental structure and hence do

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\(^7\)Sams, The Songs of Hugo Wolf, 10, 32, and 47. "Im wunderschönen Monat Mai" does not end with a direct textual question, however.

\(^8\)Stein, Hugo Wolf's 'Lieder,' 229, n. 14. The quote is from Heinrich Schenker, Free Composition, 131.
not arrive at a genuine 1; without this 1 a work is bound to give the effect of incompleteness.9

The majority of Wolf's songs that exhibit such tonal incompleteness contain some concomitant unresolved idea in the poetic text. In fact, six of the thirteen songs published during Wolf's life whose final line of text ends with a question mark exhibit progressive tonality or dominant endings. For example, the Goethe song "Der neue Amadis" begins in the key of G minor and ends in D major. The text concludes with the question "Sagt, wo ist ihr Land? Wo der Weg dahin?" ("Say, where is her country? Where is the road that leads there?"), as may be seen in Example 6-2.

This example also highlights the difficulty of determining whether a piece ends in the dominant key, or merely on the dominant chord of the original key. For our current purpose, it is irrelevant whether one is "in" the dominant, or merely "on" it. In either case, an overall sense of harmonic closure is absent.

Another example is found in the Spanish song "Weint nicht, ihr Mäglein," which begins in B minor and concludes on an F#-major chord. The text of this songs ends "Wie kann so trübe weinen vor Eifersucht, wer tötet durch Liebe?" ("How can one so sadly weep for jealousy who kills through love?"). The Mörike song "Wo find' ich Trost" contains a mixture of progressive tonality and a dominant ending. The

9Schenker, Free Composition, 129, n. 6.
song opens in C minor and ends on a dominant chord in G minor. The text concludes with the question "Und was rettet mich von Tod und Sünde?" ("And what saves me from death and sin?"). Other songs that end on or in the dominant and whose texts conclude with a question include the Mörike song "Elfenlied" and the Goethe song "Als ich auf dem Euphrat schiffte." 10

10 "Als ich auf dem Euphrat schiffte" begins in A, but ends on a V chord in F# minor. The following song ("Dies zu deuten, bin erbötig") is also in A, and contains a reply to the question posed at the end of "Als ich auf dem Euphrat schiffte."
In addition to those songs that end in actual questions, Wolf also uses endings on or in the dominant in songs whose texts have an overall questioning or beseeching air, as in the Spanish songs "Bitt' ihn, o Mutter" ("Ask him, o Mother") and "Muhvoll komm' ich und beladen," the Italian song "Wie soll ich fröhlich sein" ("How shall I be happy"), the Mörike songs "Im Frühling" and "Lied vom Winde," and "Wanderers Nachtlied" from Sechs Gedichte von Scheffel, Mörike, Goethe und Just. Kerner.

Other unresolved textual elements that might evoke a dominant ending include awakening from a dream (the Mörike songs "Ein Ständlein wohl vor Tag" and "Lied eines Verliebten," and the dream-like atmosphere of the Eichendorff song "Verschwiegen Liebe"), parted lovers or unfulfilled love (represented by vastly different moods in the Mörike songs "Lebe wohl" and "Begegnung," and the Spanish songs "Sagt ihm, dass er zu mir komme" and "Ob auch finstre Blicke"), and references to future events (the Goethe songs "Phänomen" and "Harfenspieler I," and the Keller song "Wie glänzt der helle Mond").

Another interesting aspect of Wolf's dominant endings is the frequency with which this technique appears in association with certain keys. Of the twenty-eight songs mentioned above, eleven have dominant endings for the key of schiffte." Consequently, the two may be considered together as one formal and tonal unit.
G, with one each for the chromatic variants of G (G# and Gb). Of the remaining fifteen songs, five have dominant endings for the key of B, five for the key of A, three for the key of F#, and one each for E and Ab (which is the same as G#). Four tonal centers (G, A, B, and F#/Gb) account for eighty-nine percent of the dominant endings, with G alone accounting for thirty-nine percent.

Other Fifth-Related Endings

As previously stated, fifteen of Wolf's progressive tonal schemes involve an ending key that lies a perfect fifth above the opening key, creating a large-scale I - V relationship. The majority of these songs have a text containing some unresolved aspect that is reflected by the incomplete tonal structure. Only four songs exhibiting progressive tonality contain the reverse relationship: an ending key which lies a perfect fourth above the opening key, or a large-scale V - I. The texts of these four songs exhibit a nature opposite to those previously discussed, being characterized by certainty rather than uncertainty.

The Italian song "Selig ihr Blinden" begins in Eb and concludes in Ab, a descending-fifth relationship. The text

The opening, or "dominant," key is minor in three out of four instances. Once again, an exact count might vary according to individual interpretation of tonally ambiguous openings.
concludes with a strong sense of finality: "Blessed are the dead, that have been buried! You shall have rest from love's torments." Contrast this with the dominant ending of "Harfenspieler I," which accompanies the text "Ah, only when I am lonely in my grave, there will it leave me alone." There is a sense of resolution in the ending of "Selig ihr Blinden": final rest has already been achieved through death. In "Harfenspieler I," rest through death is a longed-for but as yet unfulfilled desire.

The well-known Spanish song "Herr, was trägst der Boden hier" begins in B minor and ends in E major, a large-scale descending-fifth relation. The text contains a conversation between a sinner and Christ, the Redeemer. Alternately, the sinner asks impassioned questions and the Redeemer provides authoritative answers:12

Herr, was trägst der Boden hier,
Lord, what bears this ground,
den du tränkst so bitterlich? 
that you water so bitterly?
"Dornen, liebes Herz, für mich, 
"Thorns, dear heart, for me, 
und für dich der Blumen Zier." 
and for you ornamental flowers."

Sinner and Redeemer are each clearly portrayed: the sinner's anguish through nonessential chromaticism, weak chordal inversions, and vague harmonic progressions; and the Redeemer's reassurance through predominantly root-position triads and major-minor sevenths, and a clear sense of harmonic direction. This song is discussed further in Chapter 8.
Ach, wo solche Bäche rinnen,
Ah, where such brooks flow,
wird ein Garten da gedeih'n?
will a garden there thrive?
"Ja, und wisse! Kränzelein,
"Yes, and know! Garlands,
gar verschiedene, flicht man drinnen."
of great variety will be woven there."
O mein Herr, zu wesen Zier
Oh my Lord, for whose adornment
windet man die Kränze? sprich!
will the wreaths be woven? say!
"Die von Dornen sind für mich,
"Those of thorns are for me,
die von Blumen reich' ich dir."
those of flowers I give to you."

Resolution in this text is achieved through Christ's reassuring answers, setting this song off from the unresolved nature of those songs containing a large-scale ascending-fifth relation.

The two other songs containing a descending-fifth relation between their opening and closing tonalities are found in the Goethe volume: "Grenzen der Menschheit" (A minor - D minor) and "So lang man nüchtern ist" (A minor - D major). Both texts are characterized by a strong sense of resolution. In "Grenzen der Menschheit," the question "What distinguishes gods from men?" is posited and answered. This question-answer format is also found in "So lang man nüchtern ist," although the question is not as sublime:
So lang man nüchtern ist, gefällt das schlechte;
So long as one is sober, badness pleases;
wie man getrunken hat, weiß man das Rechte;
when one has drunk, one knows the truth;
nur ist das Übermaß auch gleich zuhanden.
but excess is also soon at hand.
Hafis, o lehre mich, wie du's verstanden.
Hafis, oh teach me, as you understand it.
Denn meine Meinung ist nicht übertrieben:
For my opinion is not exaggerated:
Wenn man nicht trinken kann, soll man nicht
lieben;
If one cannot drink, one should not love;
doch sollt ihr Trinker euch nicht besser dünken:
yet you drinkers should not fancy yourselves
besser:
Wenn man nicht lieben kann, soll man nicht
trinken.
If one cannot love, one should not drink.

The shift from opening to closing tonality in either Goethe
song does not coincide exactly with the textual shift from
question to answer. However, all four texts that are set
with opening and closing tonalities related by descending
fifth share a strong sense of dramatic resolution.13

Third-Related Endings

Songs which begin in a minor key and end in its
relative major make up another important category of
progressive tonality in Wolf's output. For the most part

13The Mörike song "Lied vom Winde," listed among the
unresolved texts above, also contains a question-answer
format, but the answers are cryptic rather than explanatory.
these settings share a poetic progression from uncertainty to certainty, darkness to light, or sadness to joy. Wolf expands on a well-established principle in this regard: the major and minor modes have traditionally been used to portray differing affections.¹⁴ For example, we would not sing "Happy Birthday" in the minor mode any more than we would prefer funeral marches to be in major.¹⁵

"Morgenstimmung"

The song "Morgenstimmung" (1896) from Drei Gedichte von Robert Reinick provides an excellent example of modal contrast, as well as tonal instability in general, and is cited in its entirety in Example 6-3. The song begins in the key of C# minor with the text "Soon will the night be brought to an end, already I feel morning breezes blowing." The concepts of darkness and night are indicated by the minor mode and a certain amount of tonal ambiguity. The first eight measures consist of alternating dominant-

¹⁴The notion of modal ethos has a long history. It can be traced in one form or another from classical antiquity (Plato), through medieval writers (Boethius, Regino of Prüm, Guido of Arezzo, John of Afflighem, among others) on into the fifteenth and sixteenth centuries (Tinctoris, Gaffurius, Aron, Clareanus, Zarlino, among others) before emerging as part of a full-blown Doctrine of Affections in the eighteenth century (Mattheson, Heinichen, Werckmeister, among others).

¹⁵There are, of course, many notable exceptions to this principle, such as Orfeo's famous lament ("Che farò senza Euridice?") from Gluck's Orfeo ed Euridice, which is written in C major.
preparation chords and dominant chords in C# minor, but the tonic harmony of this key is never heard.

A move toward Eb major is instigated by the enharmonic reinterpretation of the diminished seventh chord on the last eighth-note of m. 8, and is accompanied by growing dynamic volume and a textual shift from darkness to light: "The Lord says: 'Let there be light!'" The dominant of Eb is sustained through mm. 9-11, but moves to bIII in m. 12, setting up a third-related move to the tonic in m. 13.

The appearance of Cb within vii°7 in mm. 8 and 10 indicates that Wolf is actually headed toward Eb minor, a supposition that is strengthened by the bIII§ chord in m. 12: the move from 7 (D) to b7 (Db) in the bass causes bIII to initially sound like a tonic substitute in Eb minor. The added minor seventh (Fb) cancels the tonic-function effect of the Gb chord and opens the possibility that it will be a secondary dominant (V/bVI). The Gb chord moves directly to an Eb-major triad in m. 13, a motion that has the aural effect of a raised-root deflection (Gb - G) and causes the Eb chord to sound as though it could be a secondary dominant as well (V7/IV; the Db - Eb bass motion would be 4\,\rightarrow\,5 in the key of IV [Ab]).

The Eb chord does not function as a dominant, however, and proves to be the local tonic that Wolf had prepared in mm. 9-11. The specific function of the bIII§ chord in m. 12 remains unclear; it serves as an interpolation between V§
Ex. 6-3. "Morgenstimmung," Drei Gedichte von
Robert Reinick #2
(Example continued on next three pages)
Ex. 6-3, continued

Da muß, was

Ei
durch alle Welt die Engel
Ex. 6-3, continued

Der Sonne Strahl durchflammt das ausdrucksvoll etwas heisst

laß uns kämpfen, laß uns alle
and I and appears to assume the dominant function, resulting in an unusual bass-line approach to the tonic: $\hat{7} - b\hat{7} - \hat{1}$.

As often demonstrated in this study, Wolf frequently uses an unusual harmony to depict some aspect of the text he is setting. Such is the case here: the first consonant chord of the song is heard in m. 13 (Eb major) with the word "light;" the surge of dynamics and the unusual $b\text{III}^\flat - I$
mediant shift accompanying the arrival of a tonic-function harmony in mm. 12-13 allow Wolf to reflect the sudden blaze of light described in the text.\textsuperscript{16} The Eb tonic chord continues to sound until m. 21, alternating with embellishing augmented sixth chords in fanfare-like figures.\textsuperscript{17}

The dynamic level falls from fortissimo to pianissimo in mm. 19-22, preceding the next line of text: "Then what is dark must disappear" (mm. 21-22). The word "dark" ("dunkel") in m. 23 is accompanied by a return to the vague C#-minor tonality and piano motive of the song's opening measures. Wolf symbolizes the difference between night and day by juxtaposing tritone-related chords from foreign keys in mm. 22 and 23. Although root movement by tritone usually involves the Neapolitan chord in Wolf's music (and in traditional harmonic practice), in this particular case

\textsuperscript{16}Wolf's method of emphasizing the word "light" is reminiscent of the brilliant C-major chord in Haydn's treatment of the same text in Die Schöpfung. In the Haydn example, the fortissimo chord occurs on "and there was light," while this part of the Genesis text does not appear in "Morgenstimmung." While Haydn's setting does not employ a mediant shift, the overall effect is similar.

\textsuperscript{17}Edward Aldwell and Carl Schacter present a later recurrence of this passage (in mm. 53-57, incorrectly identified as beginning in m. 51) as an example of a "common-tone" augmented sixth, and designate this sonority a "chromatic embellishing chord." (Harmony and Voice Leading, 2 vols. [New York: Harcourt Brace Jovanovich, 1979], II, 201-202). This usage of the augmented sixth is discussed more fully in the section entitled "Neighbor Chords and Repeated Chord Progressions" in Chapter 8 below; see also pp. 287-292 above.
neither chord is a Neapolitan. In fact, there is no clear connection between the chords in mm. 22 and 23; rather, a direct modulation occurs in which Wolf emphasizes the remote relationship by placing the tritone in the bass voice.

The concept of darkness prevails until m. 28; a different enharmonic reinterpretation of the leading-tone seventh of C# minor leads to the key of E major for the introduction of the text "From Heaven's canopy through all the world the angels fly rejoicing." Measures 29-38 remain in the key of E major, with the major mode depicting the rejoicing angels. The tonal center is more firmly established than in mm. 23-28, primarily because of the frequently reiterated tonic chords. In mm. 13-18 Wolf used augmented sixth chords to embellish the tonic, while in mm. 29-38 he uses a common-tone diminished seventh. The way Wolf approaches this common-tone diminished seventh is interesting. The V6/iii chord in m. 31 resolves deceptively to vi6 (iv6/iii), and then returns in m. 32. The diminished seventh chord on the second beat of m. 32 is thus first heard as vii6/iii, but resolves directly to the tonic (bVI/iii) in mm. 33, 34, and 35. The bass line in mm. 33-34 contains a repeated tritone motion (E - A#), with the

18The designation of the Eb chord as V/V in the key of C# is not convincing, and designating the A chord as #IV in Eb seems even less worthwhile.
tritone having a clearer functional context than that between mm. 22-23.

The concept of darkness does not return in the text, and the song remains in the major mode from this point on. The text "The sun's ray flames through the universe" is accompanied by a brief ascending third cycle: Ab major - C major - E major. Such third cycles are frequently used by Wolf to depict the rising sun. The final line, "Lord, let us strive, let us conquer," is marked by a return of the heroic fanfares of "Let there be light."

This theme of conquest appears on a less lofty level in the Eichendorff song "Der Glücksritter." Progressive tonality involving a shift from minor to relative major also occurs in this song (A minor - C major), depicting the soldier of fortune's conquest of "coy Fortune." On other occasions Wolf uses this tonal shift to set texts having tensely dramatic beginnings and peaceful happy endings, such as the Mörike song "Storchenbotschaft" and the unpublished "Das Kind am Brunnen." In each of these songs, the progressive tonal scheme is used to portray some progression of dramatic action in the text.

The majority of Wolf's progressive tonal schemes involve closely related keys, or keys which share a tonic-dominant relationship (for example, G minor - D major).

19This habit of Wolf's is well documented, as will be seen in the next chapter.
Three primary relationships are found between opening and closing tonalities in Wolf's progressive tonal schemes: an ascending fifth, a descending fifth, and an ascending minor third (minor to relative major). Each scheme is used to set different kinds of text. The ascending fifth is used to set texts characterized by pervasive uncertainty or lack of a strong sense of resolution. Conversely, the descending fifth is found in songs whose texts have a strong sense of resolution. Most of the songs containing an ascending-minor-third relationship have texts characterized by a progression from uncertainty to certainty.

**Opening Ambiguity**

A more common aspect of tonal instability in Wolf's music is found in songs whose tonal center is not immediately apparent, but which gradually emerges throughout the course of the song. This technique has been called "the ambiguity principle" by Deborah Stein.\(^{20}\) While tonal ambiguity is certainly not unique with Wolf, it does constitute an extremely important feature of his style.\(^{21}\)


\(^{21}\)The reader is once again directed to Stein's study for a fuller discussion. For studies of tonal ambiguity in the works of Wolf and other composers, see Stein, *Hugo Wolf's 'Lieder,'* especially 224, n. 12. Also see Leonard Ratner, "Key Definition--A Structural Issue in Beethoven's Music," *Journal of the American Musicological Society* XXIII (1970), 472-483.
Opening ambiguity may be brought about in several ways: (1) by a harmonic progression lacking a clear point of origin or direction (see "Mir ward gesagt," Example 5-9), (2) by a harmonic progression whose goal is never fulfilled (see "Morgenstimmung," Example 6-3), (3) by an incomplete texture (again see "Mir ward gesagt," Example 5-9; a well-known example is "Das verlassene Magdlein"), or (4) by beginning on an inherently vague sonority such as the diminished seventh chord in Example 6-4. The chord is spelled as vii°7 in the key of D minor, the predominant tonality of the song. The chord is respelled before it resolves in m. 2, however, and proves to be vii°7 in the relative major, F. Indeed, the chord may be analyzed as vii°7/F from the first measure of the song: the point here is not the actual resolution, but the fact that the listener cannot predict with absolute certainty how the chord will resolve. Each of its tones may be the leading tone of a different key; this, combined with the changes of inversion in the present example, makes the diminished seventh an inherently vague sonority that is clarified only by resolution.

22Six of the Italian songs begin on diminished seventh sonorities.
Transient Keys and Functional Fragmentation

While many Wolf songs begin with tonal ambiguity, most conclude unambiguously on the tonic (with the exceptions noted above). Tonal instability in the middle of a composition may be created through any of the devices discussed thus far. Rapid key shifts through transient keys are a primary means through which tonal instability is introduced in the interior portions of a Wolf song. For our
discussion of transient keys we will return to the target collection, the Italienisches Liederbuch.

"Hoffärtig seid Ihr"

Several different levels of tonal instability are active in "Hoffärtig seid Ihr" (see Example 6-5), a song that also illustrates ways in which Wolf's harmonic progression differs from that of the common-practice era. The overall key of the song is F# minor, yet it begins on an E-major triad that might be either a tonic harmony in E or the dominant of A major. The key signature of three sharps may indicate either of the relative keys A major or F# minor. The tonal focus shifts to F# with the arrival of vii°§ of that key in the second measure. In retrospect, the E chord may be interpreted as V/A or bVII/F#. These first two harmonies (V - vii°§/vi or bVII - vii°§) presage a relationship which will be important throughout the song: the raised-root deflection.

The dominant-function chords of F# minor in m. 2 resolve deceptively to bVI in m. 3. Measure 3 and 4 are sequentially related to mm. 1 and 2: the D-major triad in m. 3 moves in raised-root fashion to a diminished seventh chord in m. 4, with D# appearing in the lowest voice. This diminished seventh could lead to E, but it is spelled as B#°7 and moves instead to G#7, breaking off the sequential repetition.
Lebhaft. \( \text{\textit{j}ess} \).

Hof-färtig seid Ihr, schönes Kind, und geht mit Euren Freunden um auf stolzem Fuss.

Spricht man Euch an, kaum dass Ihr Rede sieht, als kostet Euch viel.

Ex. 6-5. "Hoffärtig seid Ihr," Italienisches Liederbuch #14
(Example continued next page)
Ex. 6-5, continued

sehr zurückhaltend

a tempo

ein hol-der Gruss.

Bist kei-nes A - lex-an-ders

Töch - ter-lein, kein Es-nig-reich wird de-nne Mit - gilb seln, und

wil - let du nicht das Gold, so - llem das Zin;

Lie - be, nes Ver - seh - tung hin.

vi i 7/7 7/6/7 5/6/7 7/1 432.
The effect of this resolution is tantamount to an enharmonic reinterpretation: in m. 2 the raised root (E#) remains the leading tone in the following minor-minor seventh, while in m. 4 the raised root (D#) proves not to be the leading tone at all because a different member of the diminished seventh has been lowered. In m. 2 the seventh (D) of the E#-diminished chord is lowered, becoming the root (C#) of the following dominant seventh. In m. 4 the fifth (A) of the potential D#-diminished chord is lowered, becoming the root (G#) of the following dominant seventh. In this manner the diminished seventh chords in mm. 2 and 4 are given different interpretations.

For the first time in the song, a major-minor seventh resolves in regular dominant-to-tonic fashion when the G#7 moves to C#, with C# being heard as V/F#. Measures 2-7 may all be heard in F# although the tonic chord never appears, with further deceptive resolutions occurring in mm. 6 and 7 (V4/2 - bVI6). The unusual first-inversion position of bVI, combined with the tonicization of V in mm. 4-5, makes C# a potential tonal center for mm. 4-7. The D-major triad in first inversion could be the Neapolitan of C#, alternating with V4/iv. Neither F# nor C# is confirmed, however, since rapid key shifts further obfuscate the issue in mm. 7-8.

Measure 8 contains a form of rapid key shift in Wolf's music which might be called "key fragmentation" or "functional fragmentation." In this type of key shift,
strong functions in a particular key are presented, but their resolution is avoided, denied, or reinterpreted. For example, the C# chord ending m. 7 is accepted as $V_4^4/F#$ because of its appearance in that role in mm. 5 and 6. The C# chord in m. 7 is given a different interpretation, resolving as a German sixth in F moving directly to $I_6$.\textsuperscript{23}

The chord on the third beat of m. 8 is spelled as a German sixth in the key of E, which it eventually proves to be. It is first heard, however, as $V_4^4$ of the preceding F chord (A# Bb). A sequential pattern emerges: the dominant of $F#^4$ resolves as a German sixth in F, and the dominant of F resolves as a German sixth in E. The key of F appears fleetingly and in a fragmented fashion. Of the three chords that could function in F, the first and last chord may also function in the keys on either side. While the key of F# has not been confirmed by a tonic cadence, its presence is well indicated over the course of six measures. On the other hand, the key of F makes a fragmentary appearance, serving as a brief link in the sequential modulation from F# to E.\textsuperscript{24}

\textsuperscript{23}The resolution of the German sixth directly to the tonic does not affect the validity of an analysis in F major. As noted in Chapter 4, Wolf often resolves augmented sixth chord to root-position or first-inversion tonic harmonies (see "Ach, des Knaben Augen," Example 4-33, and "Man sagt mir," Example 4-27).

\textsuperscript{24}It might be argued that the key of F is not present at all, and that the F-major triad is simply the Neapolitan in a direct modulation from F# to E. While F does prove to
The tonal instability of mm. 8-10 was mentioned in connection with Example 3-26. These measures contain a vastly expanded cadence in the key of E. A string of dominant-preparation chords begins with the N6 in m. 8: N6 - Gr+6 - i6 - bVI7. The second and third chords of m. 9 shift the tonal direction away from E: V6/bVII - V7/bIII. The progression is shifted back toward E through the raised-root deflection V7/bIII - V6, at the same time reaching the goal of the preceding dominant-preparation chords. The progression in mm. 7-10 is given greater coherence through the ascending chromatic bass line: G# - A - A# - B - C - C# - D - D# - E.

The half-cadence in m. 9 ends the first half of the song, with the second half beginning much like the first. The E chord in m. 10 becomes V7/A through the addition of D on the last eighth-note (a telescoping of the opening piano motive). Measure 10-11 are a varied repeat of mm. 1-2, with the raised-root deflection E7 - E#7 being retained. Beyond this point the second half of the song differs.

The C#7 in m. 2 resolves deceptively to D, while the C#7 in m. 11 revolves normally to an F# chord that is heard locally as V6/B. The sequence in mm. 10-13 is more exact than that of mm. 1-4, and gives rise to a series of

be the Neapolitan of E, when the passage is played F sounds like a tonic-function harmony, a fact that is analytically significant.
The raised-root deflection $F#_7 - D#_7$ in mm. 12-13 parallels that of mm. 10-11 ($E_7 - C#_7$). The key of $A$, indicated by the $E_7$ in m. 10, is not confirmed. Measures 12 and 13 have been shown in $B$ because of the clearly sequential nature of the passage; the key of $B$ receives no more confirmation than did $A$.

The $D#_7$ in m. 13 resolves deceptively to $E$ in m. 14 ($V_7/vi - bVI/vi$). The tritone relationship between the $E$ major-major seventh chord in m. 14 and the $A#_7$ major-minor seventh in m. 15 causes the former to be heard as Neapolitan and the latter as $V_7$ in the unlikely key of $D#$ minor. The progression is repeated in mm. 15-16, but the key of $D#$ never receives confirmation. Rather, an enharmonic reinterpretation of $vii^0_7/V$ in $D#$ as $vii^0_7/V$ in $F#$ leads back to the tonic.

The choice of $A$ and $B$ as tonal centers in mm. 10-14 is somewhat arbitrary. The rationale behind the decision to show the passage in these keys is based on the governing principle of the analyses throughout this study: that key is chosen that most clearly indicates the local function of each chord. The raised-root deflections in mm. 13 and 14 are the characteristic feature of this passage, and they may be most clearly shown as $V_7 - V_7/vi$ in the indicated keys. Aside from these considerations, mm. 11-12 could just as easily be shown in $F#$ minor, and mm. 13-14 in $G#$ minor.
The fact that the passage may be analyzed in terms of more than one tonal center underscores my purpose in presenting it. Measures 10-16 contain a series of transient keys, none of which is confirmed by its tonic triad. Tonic harmonies appear only five times in the song. Two of these are nonessential six-fours (mm. 8 and 18), while two others are weakened by other factors. The F tonic in m. 8 is obviously weak due to the rapid key shifts surrounding it. The tonic effect of the E chord in m. 10 is immediately undermined by its reinterpretation as a dominant (much the same can be said of the E chord in m. 1). The very last chord of the song is the only unequivocal tonic chord in the piece.

Avoidance of tonic harmony is but one aspect of tonal instability operative in "Hoffärtig seid Ihr;" other aspects include the ambiguous opening and the numerous transient keys. Instability is created on a surface level through many avoided, deceptive, and redirected resolutions. The major-minor seventh resolves in tonic fashion on five occasions (V7/V - V in mm. 4-5, V5/bVII - V7/bIII in m. 9, the "dead interval" V5 - I in mm. 9-10, V7/vi - V5/ii in mm. 11-12, and V7 - i in mm. 19-20), deceptively on four occasions (mm. 2-3, 5-6, 6-7, and 13-14), with a raised-root deflection on at least four occasions (mm. 3-4, 9, 10-11, and 12-13, and also implied in mm. 1-2), and with an enharmonic reinterpretation on two occasions (mm. 7 and 8).
It was stated in the introduction to this study that Wolf's harmonic language differs from that of the common-practice era not through its vocabulary, but through its grammar and syntax. "Hoffärtig seid Ihr" provides an excellent illustration of this point. There is not a single essential chord in this song that may not be frequently found in the works of earlier composers. Neither is there a single relationship between two adjacent chords that may not be found in traditional harmonic practice. Wolf's language differs in the way he assembles these chords and relationships into musical sentences.

While transient keys and tonal instability are a general feature of Wolf's style, they may be combined with rhythmic and melodic elements to create differing moods appropriate to the subject matter of the text. The text of "Hoffärtig seid Ihr" contains the excited remonstrations of a rejected suitor:

Hoffärtig seid Ihr, schönes Kind,
Haughty are you, lovely child,

und geht mit Euren Freiern um auf stolzem Fuss.
and you treat your suitors arrogantly.

Spricht man Euch an, kaum dass Ihr Rede steht,
If one speaks to you, you scarcely answer,

als kostet' Euch zu viel ein holder Gruss.
as if a kindly greeting would cost you too much.

Bist keines Alexanders Töchterlein,
You are no Alexander's daughter,

kein Königreich wird deine Mitgift sein,
no kingdom will be your dowry,
und willst du nicht das Gold, so nimm das Zinn;
and if you do not want gold, take the dross;
willst du nicht Liebe, nimm Verachtung hin.
if you do not want love, take contempt.

The young man's rage swells in the piano introduction, and is barely held in check until the final insult is hurled in mm. 19-20. The fluctuating dynamics and shifting tonal centers mirror the agitation of the speaker. The torrent of invective pouring forth from the rejected suitor is briefly interrupted by the drawn-out setting of "als kostet' Euch zu viel ein holder Gruss," turning tender at the mention of a "kindly greeting" in mm. 8-9. This emotional shift is reflected by the rapid tonal shifts through F to E major. The radical contrast of the last line is also clearly portrayed in the music. The word "Liebe" ("love") is set with a protracted F#-major chord, while "take contempt" is accompanied by a change to F# minor and the extremely abrupt ending.25

Wolf emphasizes the more readily identifiable harmonic functions when using transient keys in a fragmented fashion. These functions include the dominant, and altered dominant-preparation chords such as the augmented sixth and

25 As Sams points out, Wolf originally included a four-bar piano postlude, but chose instead to end "on a single sharp final chord that is heard to break off the relationship" (The Songs of Hugo Wolf, 330). The original ending may be seen in the Kritische Gesamtausgabe (Vienna: Musikwissenschaftlicher Verlag, 1972), V, 106.
Neapolitan sixth chords. The ability of the tritone root movement associated with the Neapolitan to indicate tonal centers with or without eventual confirmation has been noted in connection with "Ich liess mir sagen" (Example 4-1) and "Hoffärtig seid Ihr" (Example 6-5). The augmented sixth chords are easily recognized through their characteristic voice leading: the chromatic expansion of the augmented-sixth interval to the dominant octave. Enharmonic reinterpretation of the major-minor seventh and German sixth chords is another common feature of fragmented keys, as is enharmonic reinterpretation of the diminished seventh (see Example 6-6).

Ex. 6-6. "Ihr seid die Allerschönste weit und breit,"
Italienisches Liederbuch #3
Wolf often uses functional fragmentation to hint at keys before they are actually established, as in Example 6-6. The Gb chord beginning m. 12 is approached as IV/Db, and is followed by the French sixth and dominant of Ab. The key of Ab does not receive confirmation until m. 14; the progression first slips into F minor. Wolf avoids confirming F minor through an enharmonic reinterpretation of the diminished seventh chord ending m. 13.

Interlocking Functions

Tonal instability created by progressions in which functions from different keys are interlocked is relatively common in Wolf's songs. Interlocking progressions occur most often in the common-practice era between relative major and minor keys. Such progressions are frequent in Wolf's music as well, with the conflict between relative keys sometimes stretching through an entire piece. This is true of the Italian song "Du denkst mit einem Fädchen mich zu fangen" (Example 6-7).26

"Du denkst mit einem Fädchen mich zu fangen"

The key of the song is Bb major, but Bb's supremacy is challenged throughout by G minor. An immediate motion toward G minor follows the opening Bb harmony, and Bb may

Du denkst mit einem Fäden ich mich zu fangen,
mich verliebt zu machen?
Ich sing schon andre, die sich höher schwangen;

Ex. 6-7. "Du denkst mit einem Fäden mich zu fangen,"
Italienisches Liederbuch #10
(Example continued next page)
Ex. 6-7, continued

du darfst mir ja nicht trau'n, stehst du mich lachen. Schon and're fing ich,

G+6 \( V_7 \) G+6

\[ \text{Ga} \] 6 7/bVI

\[ \text{Bb} : \text{vii}^6/7/V \] V I \( V+6 \) \( V^6/IV \)

glan'les sicherlich. Ich bin verliebt, doch e- ben nicht in dich; ich bin verliebt, doch e- ben nicht in dich.

\( V_7/II \) bVII \( IV^6 \) \( \text{vii}^6/5 \) \( IV^6 \) \( \text{vii}^6/3 \) V\( _7 \)

vi \( Fr+6 \) \( I^6 \) (\( IV^6 \)) V \( b\hat{6} \) - 5 I
only be designated as the opening tonality by default because it is not truly established. The key of G minor is not confirmed either: mm. 2-6 contain one of Wolf's habitual repeated progressions involving alternating augmented sixth and dominant chords.

A Bb chord serves as a third-related substitute for the expected G-minor chord in m. 7, possibly indicating a return to the tonic.27 Measures 7 and 8 may be viewed in either key, and the common-tone (or "deceptive") resolution of the leading-tone seventh of G minor (m. 8) intensifies the conflict between the relative keys. The Eb chord ending m. 8 could be either bVI/G or IV/Bb, yet locally it is G minor that predominates.

Measures 9 and 10 return to the alternating German sixth and dominant seventh chords of mm. 2-6, again pointing in G minor's direction. The German sixth is respelled as a major-minor seventh in m. 10, however, setting up a raised-root deflection back toward Bb (this passage was discussed in Chapter 3, Example 3-29). Wolf finally confirms Bb in m. 11, only to wander off into a series of secondary functions. Wolf (as he often does) immediately overshoots the tonic in m. 11 when the augmented dominant moves to V^6/IV. A raised-root deflection shifts the dominant function from

27As noted in Chapter 3 (pp. 210-211) in connection with this same passage (Example 3-30), V7 - bIII is a fairly common resolution in traditional harmonic practice.
V9/IV to V7/ii, which in turn resolves deceptively to bVII (bVI/ii, as mentioned in connection with Example 3-14). The progression in mm. 11-13 remains vague, and neither key has clearly won out over the other. The diminished seventh chord in m. 13 does not immediately clarify the situation, as it could be vii<sup>0</sup>7 in either Bb or G.

The V7/Bb in m. 14 heralds confirmation of Bb, but resolves deceptively to G. While this deceptive cadence serves the traditional purpose of interrupting the harmonic progression to avoid closure before repeating the final line of text, it also serves as one last reminder of the tonal conflict that characterizes this song. The cadential progression in mm. 15-17 establishes Bb once and for all.

The tonal conflict of Bb major and G minor in "Du denkst mit einem Fädchen mich zu fangen" is realized by the process of fragmenting and interlocking the harmonic functions of these keys. The single Bb chord in m. 1 serves a tonic function, but the ensuing harmonies are dominant-preparation and dominant chords in G minor. G minor is never heard as a tonic chord in this song, although it appears as a tonic substitute in the deceptive cadence in m. 15. In m. 7, Bb appears in place of a G-minor tonic as a third-related tonic substitute. In mm. 1-10, then, the tonic function is drawn from Bb major, while all dominant-preparation and dominant-function chords come from G minor;
because of this, G minor is the more audible tonal center even though it is never confirmed.

Edwin Hantz notes that in "Du denkst mit einem Fädelchen mich zu fangen"
two functional "habits" have been set up: F is the "dominant-which-always-goes-to-I"; and D is the "dominant-which-can't-get-to-I (at least not fully harmonized as a G minor tonic sonority). Also, the notion of deceptive resolution has now been clearly spelled out.28

Hantz believes that there are three keys in conflict in this song: Bb major, G minor, and Ab major. Hantz asserts that Ab is indicated by the German sixth of G minor in the song's opening measures, a sonority that could also function as V7/Ab, and that "Ab is reached by resolving a G dominant seventh chord deceptively (m. 12), with Ab then understood as bVI of C minor."29

Given Wolf's penchant for repeated G#-V7 successions, it seems unlikely that the German sixths in mm. 3-5 and 9-10 actually lead to the expectation that an Ab harmony is imminent, even though the German sixth is respelled as V7/Ab in m. 10 (as noted above, the chord is heard as a German sixth until after the raised-root deflection occurs, thus Ab is not expected). Although the Ab chord appears as bVI/C on a local level, Wolf might also have interpreted it as the Neapolitan of G in one of his

frequent V7/iv - N deceptive resolutions. If another tonal center were to be selected for mm. 12-13, Eb would be the most likely choice, resulting in the following succession (starting with the last chord in m. 11): V♭♭ - V7/vi - IV (bVI/vi) - I♭♭ - vii°7/V - V7/V. The keys of B♭ major and G minor are the most significant ones in conflict in this song.

Wolf uses this two-sided tonal conflict to highlight the dual nature of the text, in which a young woman brushes off a suitor:

Du denkst mit einem Feldchen mich zu fangen,
You think to catch me with a thread,
mit einem Blick schon mich verliebt zu machen?
with a glance to make me fall in love?
Ich fing schon Andre, die sich hőher schwangen;
I have already caught others, who soared higher than you;
du darfst mir ja nicht trau'n, siehst du mich lachen.
you may not trust me, when you see me laughing.
Schon andre fing ich, glaub' es sicherlich.
Already have I caught others, believe it surely.
Ich bin verliebt, doch eben nicht in dich.
I am in love, but not with you.

The girl is presented as the quarry in the first section of the text, but describes herself as the hunter in the second. This verbal tug-of-war is reflected by the tonal scheme of
the song. The key of Bb is associated with the girl, and G minor with the suitor.30

The opening motive in Bb sets the coy and sly tone with which the girl will speak.31 Her words are directed at the suitor ("Du"), however, and the progression slides into G minor for the remainder of this line of text (again note the use of the dominant in association with a question in m. 6). The Bb harmony returns briefly at the start of the second line of text ("Ich") in m. 7, yet harmonies from G minor predominate in m. 9 ("du darfst").

The girl grows more assertive in the second section of the text ("I have already caught others"), and at the end of

30General discussions of associative keys in Wolf's songs (for example, A major as the "spring" key) may be found in many studies, including Sams (The Songs of Hugo Wolf, 12-13), and Carner (Hugo Wolf Songs, 10). A systematic study of Wolf's use of associative keys appears in Jarosch, pp. 140-152. Jarosch's findings are summarized in part in Rita Resch, "A Comprehensive Performance Project in Piano Chamber Music and Accompanying with an Essay on the role of the Piano in Hugo Wolf's Italienisches Liederbuch" (D.M.A. diss., University of Iowa, 1973), 31-33. On occasion Wolf is very subtle in his use of associative keys, as in the Goethe song "Epiphanias." The song relates the Christmas story of the Three Kings, and was written for Wolf's mistress Melanie Köchert and performed by her children (see Walker, Hugo Wolf, 215-216). At the entrance of the "white" king, Wolf modulates to the "white-key" key of C major. The only other time C major appears in the song is when the kings make their exit, each accompanied by his characteristic motive and key.

31Wolf frequently uses dotted rhythms and large leaps such as these to set texts containing coy or deceitful elements. See the Italian songs "Nein, junger Herr" (m. 6, etc.), "Geselle, soll'n wir uns in Kütten hüllen" (m. 1, etc.), and "Man sagt mir" (Example 4-34, m. 1).
this thought ("siehst du mich lachen") dominant- and tonic-
function chords are heard in the same key for the first
time. In the beginning of the third textual phrase, the
girl refers to herself and other suitors ("Already have I
caught others, believe it surely"). The musical setting of
this text segment (mm. 11-12) contains no firm indication of
G minor; the series of secondary functions in these measures
follows the mention of "others" in the text.

The first statement of "I am in love" ends on the
diminished seventh chord in m. 13. The quarter-note Eb on
the final syllable of "verliebt" is the longest note in the
vocal melody thus far. The girl seems to relish drawing out
the suspense: she is in love, but with whom? Harmonically
the answer could go either way, because the diminished
seventh may be vii\(^{0}_7\) in G or Bb. The question is resolved
in m. 14 when V\(^7\)/Bb arrives ("yet not with you").

A G-minor harmony is finally heard in m. 15. It serves
a tonic function, but only as a tonic substitute in a
deceptive cadence in the key of Bb. The chord accompanies
the last reference to the suitor ("dich"), also noted by
Edwin Hantz:

Thus the tonic of what must be considered the
secondary tonality of the piece (G minor) is
finally reached, but in a context which clearly
indicates its relationship to the primary tonic,
Bb. Appropriately, this moment coincides with the
punch line of the text, "doch eben nicht in dich."\textsuperscript{32}

The last phrase is then repeated. The girl has stated her case (with feigned rapture then laughter in m. 16), the suitor has lost, and the song concludes firmly in Bb major.

Tonal Instability and Unconfirmed Digressions

Although rapid key shifts are a feature of Wolf's style in general, they are noticeably absent in songs whose texts reflect peace, bliss, or other stable elements. Examples in the \textit{Italienisches Liederbuch} include "Nun lass uns Frieden schliessen" and "Sterb' ich, so hüllt in Blumen meine Glieder." Conversely, songs with more impassioned subjects are often characterized by constantly shifting tonal direction, as in "Heb' auf dein blondes Haupt und schlaf nicht" (Example 6-8).

"Heb' auf dein blondes Haupt und schlaf nicht"

The conflict exhibited in "Du denkst" is absent in this text. The lovers of "Heb' auf" are in apparent agreement, and tonal instability in this song is used to depict the confusion and growing awareness of an awakened sleeper:

\textit{Heb' auf dein blondes Haupt und schlaf nicht},

\textit{Lift up your blond head and do not sleep,}

\textit{und lass dich ja vom Schlummer nicht betören},

\textit{and do not let yourself be deluded by sleep.}

\textsuperscript{32}Hantz, "Wolf's Harmony Revisited," 30.
Ich sage dir vier Worte von Gewicht,
I have four important things to say to you,
von denen darfst du keines überhören.
of which you must not miss one.

Das erste: dass um dich mein Herze bricht,
The first: that for you my heart breaks,
das zweite: dir nur will ich angehören,
the second: I want to belong to you alone,
das dritte: dass ich dir mein Heil befehle,
the third: that I commend my salvation to you,
das letzte: dich allein liebt meine Seele.
the last: my soul loves you alone.

The text falls into two sections: in the first the sleeper is awakened, and in the second the message is delivered. In the Heyse translation the speaker may be male or female, while Carner notes that the speaker is a woman in the original Italian text. Either way, the speaker's concern for the listener's state of consciousness is stressed by three admonitions: do not sleep, do not be deluded by sleep, and do not miss a word.

Wolf evokes a sleepy, nocturnal atmosphere through the rocking 12/8 rhythms and the lullaby-like opening vocal line. The awakening sleeper is depicted through the recurrent rising figures in the right hand of the piano part, and the constantly shifting tonal center.

The song opens in Ab major, with unconfirmed motions to other keys beginning almost immediately. The chromatic line

33Carner, 63.
in the first measure results in $b\text{III}^+/\text{vi} - \text{vi}$ and $V_7/\text{IV}$ on the fourth beat, but the progression may easily be heard in

Ex. 6-8. "Heb' auf dein blondes Haupt und schlafe nicht," Italienisches Liederbuch #18
(Example continued next two pages)
Ex. 6-8. continued

de - nen darfst du kei-nes ü - ber - hö - ren.

Das er - ste: dass um dich mein Her - se bricht,

das zwi - te: dir nur will ich an - ge - hö - ren,
Ex. 6-8, continued

Das dritte: dass ich dir mein Heil befehle,

Das letzte: dich allein liebt meine Seele.

Ab: $V_7 I v_4$  $vii^6$  $I I^{6}$  $I v_6$  $I i^{6}$  $I I^{6}$  $I i^{6}$
the context of Ab major (note once again the use of bIII+ as a dominant-function substitute in "root" position). The tonal center is momentarily obscured after Ab is confirmed on the second beat of m. 2. The D6\$ chord on the third beat could be ii&\$/C or vii&\$/Eb. Either interpretation may provide an explanation for the following chord: ii&\$ - i in C, or vii&\$ - vi in Eb. The Eb chord on the downbeat of m. 3 sounds like a half-cadence in Ab, and is followed by V/V. Thus, in mm. 2-3 elements of both C minor and Eb major are present, yet neither key is confirmed.

The progression turns back toward Ab in m. 4, but the tonic six-four is followed by a return of the ambiguous D6\$ chord. The D6\$ chord could be ii&\$/C this time as well, an interpretation that is strengthened when Cb arrives on the third eighth-note of the third beat. This Cb initially sounds like B-natural, making a potential V/C (G-B-D). An Eb chord arrives on the fourth beat, however, causing the third and fourth beats to be heard in retrospect in Ab: vii&\$/V - V6. In this phrase ending (m. 4), as in the first (m. 2), elements of C minor and Eb major are mixed together.

These early references to C minor and Eb major are expanded in the third and fourth phrases. The unresolved V7/IV in m. 1 receives a different interpretation in m. 5. The Gb is now spelled as F#, and the chord resolves as a German sixth in the key of C minor. C minor remains unconfirmed, but is much more in evidence: iv6 - Gr+6 -
V7 – bVI₆. As in mm. 2 and 4, the unconfirmed motion toward C minor is succeeded by an emphasis of the dominant, Eb, in mm. 6-7.

A tonic cadence confirming Eb is avoided by adding Db to the chord in m. 8, shifting the progression back toward Ab. Ab does not return immediately this time around. Instead, a raised-root deflection at the beginning of m. 9 (V7 – V6/vi) points toward F minor. The F-minor chord had been stressed twice before by the augmented triads in mm. 1 and 5. The key of F minor never arrives, with the V6/vi in m. 9 returning to V7/Ab in m. 10.

The listener accepts the Eb7 chord beginning m. 10 as V7/Ab, but the home key will not return until m. 16. The Eb7 resolves as a German sixth in the transient key of G by moving to D7. The D7 in turn is treated as a German sixth in Gb, resolving directly to I₆, with the irregular position of the German sixth creating a b₃ – 3 motion in the bass. The resulting chromatic slide from Ab through G and Gb accompanies the text "my heart breaks." Thus, the most

34Note the parallel between this passage and mm. 7-8 of "Hofförtig seid Ihr" (Example 6-5). Although the progression between mm. 10 and 11 of "Heb' auf" may be interpreted as a third-related irregular resolution of a dominant seventh chord, it is here analyzed as an irregular resolution of an augmented sixth chord. As noted in connection with Example 6-5, the validity of such an analysis is supported by the frequency with which Wolf resolves augmented sixth chords directly to the tonic in unambiguous contexts (see n. 23 above).
chromatic and unstable progression in the song coincides with the strongest emotional language of the text.

In mm. 9-11 Wolf suggests the keys of F, Ab, G, and Gb, yet none is confirmed. In fact, there has not been an unequivocal tonic chord in any key since m. 5. The Gb triad in m. 11 proves to be bVI/Bb, becoming a German sixth (again with b3 in the bass) on the fourth beat and moving to V/Bb in m. 12. While m. 12 looks very chromatic, the essential chords in this measure are easily understood in the key of Bb. The first two beats contain an F7 chord; the Bb on the downbeat is a suspension that is transferred to the lower voices before resolving to A on the third eighth-note of the second beat. On the third beat, A is suspended into a C7 (V7/V), with the suspension again resolving on the third eighth-note of the beat. The G# and B on the fourth beat may be analyzed as accented chromatic passing tones to A and C, or as part of a common-tone diminished seventh (which, as noted before, usually has a nonessential flavor).

Wolf does not let the tonal center stabilize on Bb. As he often does, he overshoots the tonic by making it into a major-minor seventh chord. In this manner the Bb chord in m. 13 becomes V7/Eb. A raised-root deflection (with an intervening F harmony) leads toward C minor once again, and once again confirmation of C is avoided by the deceptive resolution G7 - Ab on the second beat of m. 14.
Measure 13 and 14 contain the type of functional fragmentation and interlocking keys seen in "Ihr seid die Allerschönste" and "Du denkst mit einem Mädchen." Measure 13 is approached in Bb major, yet before that key is established Wolf moves into C minor. C remains unconfirmed as well, and the progression slips momentarily back toward Bb on the last two beats of m. 14. Functions from the keys of C and Bb are mixed, with neither key being confirmed. Instead, Wolf moves into Db major, the relative key of Bb minor, through the traditional progression V - V/bIII.

The Db chord on the downbeat of m. 15 is the first strong tonic-function chord heard since m. 5. This emphatic Db chord has long-term connections to the unresolved V7/IV chord of m. 1, but the real resolution of the Ab7 comes with the return of the opening motive in mm. 16-20. Because of a shift in the metrical arrangement of the motive, the V7/IV in m. 17 (corresponding to that in m. 1, and also to the Gr+6 in m. 5) is finally allowed to resolve to IV.35

The remainder of the return of the opening motive retains its original tonal instability. The unconfirmed motions toward C minor and Eb major reappear in m. 19, followed by a brief tonicization of Bb. Numerous tonal relationships are interlocked in mm. 16-21. The passage

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35Sams notes that this rhythmic shift "may be a Wolfian way of showing that the music has by then become (so to speak) fully awake and aware" (as has the sleeper); The Songs of Hugo Wolf, 335.
begins and ends in Ab major, but contains elements of Db, C minor, Eb major, Gb major, and Cb major.

The diminished seventh chord on the second beat of m. 20 is spelled as vii°⁷/V in Eb, but resolves as vii°⁶/V in Gb, proceeding to I⁷ and V. Locally, Db functions as V/Gb, but also as IV/Ab on another level. Similarly, Gb is tonicized in m. 20, but on another level it may be seen as the dominant of Cb in the next measure. Cb is reached through an enharmonic reinterpretation of vii°⁷/Ab, as discussed in connection with Example 5-1. This diminished seventh chord returns on the last beat of m. 21, now resolving as vii°⁷/Ab.

The use of tonal instability in "Heb' auf" differs from that found in "Du denkst mit einem Fädchen" and "Hoffärtig seid Ihr." In "Du denkst mit einem Fädchen," two keys are in constant conflict throughout the song, with the tonal functions of these keys being mixed together. In "Hoffärtig seid Ihr," the tonic is obscured at the beginning of the song, and is not confirmed until the song's final measures. Wolf almost immediately points toward F# minor, but passes through several transient keys before this tonic is firmly established. "Heb' auf," on the other hand, is characterized by several unconfirmed motions away from the tonic, with the amount of tonal instability growing with each successive divergence from and return to the tonic.
More Remote Relationships

The rapid key shifts in each of the songs discussed above are brought about through fairly traditional means, and a relatively clear connection can be found between adjacent keys. In other songs, Wolf juxtaposes chords from different keys whose relationship is not immediately apparent. Once such instance occurs in m. 7 of "Heut' Nacht erhob ich mich um Mitternacht" (see Example 6-9).

"Heut' Nacht erhob ich mich um Mitternacht"

The sparse texture in the song's opening measure creates a mild amount of tonal instability, with the key of D minor emerging by the second measure. A series of rapid harmonic shifts between clearly related tonal levels ensues in mm. 5-6, moving through F (the relative major) to A minor (v), and on to C (the relative major of A minor). This sequential passage shows Wolf at his most traditional, with scrupulous regard for voice-leading and counterpoint evidenced in each line of the four-part texture (note the b6 - 5 or b6 - 5 bass lines in each successive level: D - Db - C; F - E; A - Ab - G). The chords in m. 6 function in C minor, yet confirmation of that key is avoided through the raised-root deflection in m. 7 (G7 - E, V7 - V/vi) that shifts the progression back toward A minor.

\[36\text{An exception is the questionable fifths between the third and fourth beats of m. 5.}\]

Heut' Nacht erhob ich mich um Mitternacht, da

war mein Herz aus keiner vortraglichen. Ich fragte: Herr, wohin


Nun, wie muss es um mein Leben stehen: mein Herz entwich der

Brust, um dich zu sehen!

Ex. 6-9. "Heut' Nacht erhob ich mich um Mitternacht,"
Italienisches Liederbuch #41
While the tonal instability in mm. 5-6 involves clear relationships between adjacent chords, the succession in m. 7 is much more foreign in sound. The foreign effect is created by a half-step drop from an E-major triad to an Eb-major triad. The only common situation involving a descending-half-step relationship between adjacent major triads is bVI - V in the minor mode, which would lead in this case to Ab minor. However, the tritone relationship between Eb and the following A7 chord indicates a N6 - V7 progression back in the home key of D minor. In retrospect, a relationship may be shown between the E and Eb chords (V/V - N6, as discussed in Chapter 4), yet that relationship is not immediately apparent when the progression is heard.

The Bb chord ending m. 8 further obscures the tonal center. It is approached as bVI6 through a deceptive resolution of the A7, but its appearance in first inversion (note the descending-fifth bass line) opens the possibility that it will be the Neapolitan of A. A degree of tonal stability returns with the arrival of the tonic six-four in the home key of D on the third beat of m. 9.

As in the other songs discussed in this chapter, the text of "Heut' Nacht" played an important role in Wolf's choice of tonal relations. In the poem, a serenader tells his lover the reasons for his nocturnal activities:

Heut' Nacht erhob ich mich um Mitternacht,
Tonight I rose at midnight,
da war mein Herz mir heimlich fortgeschlichen.
since my heart had secretly stolen away from me.

Ich frug: Herz, wohin stürmst du so mit Macht?
I asked: heart, where do you storm with such
might?

es sprach: Nur Euch zu seh'n, sei es entwichen.
it answered: it had escaped only to see you.

Nun seid, wie muss es um mein Lieben steh'n:
Now you can see, how it must be with my love:

mein Herz entweicht der Brust, um dich zu seh'n!
my heart escapes my breast, in order to see you!

An air of darkness and mystery is evoked by the sparse opening texture and the minor key that emerges from it. The rapid key shifts in mm. 5-6 depict the serenader's heart "stealing away." The reason for the dramatic tonal shift in m. 7 is less obvious. The strength of the half-step relation in this measure may be intended to portray the might with which the heart storms off, but the word "Macht" does not appear until the following measure.\(^{37}\)

Rather than mere word painting, it seems more likely that Wolf uses the increased tonal instability in mm. 7-8 to strengthen the sense of resolution when D major arrives in m. 9, accompanying the first reference to the serenader's object of affection ("Euch"). The mystery of the opening minor key and the harmonic tension of mm. 5-8 mirror the mystery and tension of the poem to this point. Poetic

\(^{37}\)The use of the half-step relation between the Neapolitan and V/V to accompany strong textual images is discussed in Chapter 4.
tension is released with the heart's answer ("Nur Euch zu sehn"). Wolf's release of the pent-up tonal tension by shifting to the bright D-major key coincides with this textual release.

The key of D major is overshot, however, with D becoming $V_\frac{3}{4}/G$ in m. 11; Wolf also avoids a strong arrival in D major by holding $\hat 5$ as a common tone in the bass with the preceding $V_7$. The emphasis of G major that follows is used to set up another arrival on D at "um dich zu sehn!", paralleling the passage accompanying "Nur Euch zu sehn."
The Eb chord of m. 7 returns in m. 14 (presaged by the Eb upper-neighbor tone in m. 13), but again proves to be the Neapolitan of D, moving to $I_\frac{6}{5}$ in m. 15. Wolf delays the arrival of D through prolonging $\hat 5$ in the bass from mm. 9-16 with neighboring motions to $\hat 6$ (vii$\frac{6}{5}/V$ in mm. 10 and 15) and $\hat 4$ (IV and the $N_6$ in mm. 13-14). The final confirmation of D major first suggested in m. 9 occurs in mm. 17-18; the air of mystery has been dispelled, and the song closes quietly in D major.

Conclusion

The discussion has sought to enumerate ways in which Wolf introduces tonal instability into his songs and to suggest how tonal instability might be used to portray poetic images. Tonal instability occurs on a surface level when chords having strong implied functions (such as the
dominant seventh and augmented sixth chords) resolve irregularly. Wolf causes tonal ambiguity through avoidance of the tonic, either within a given key or in a series of unconfirmed keys. Transient keys are most often indicated by those chords whose function is readily identifiable, such as the dominant seventh and the Neapolitan and augmented sixth chords, while the tonic may never appear. Rapid key shifts are usually accomplished through a clear pivot-chord relationship, and often by enharmonic reinterpretation of a given chord.

Wolf frequently obscures the tonal center by interlocking chords from different keys. Functions from both keys are present, sometimes even in alternation, with neither key being firmly established. This technique is used throughout "Du denkst mit einem Fädchen." The use of conflicting tonal centers occurs on a broadest level in songs containing progressive tonality, beginning and ending in different keys.

Wolf uses tonal instability to depict certain aspects of the poem he is setting. Rapid key shifts are frequently used to set the most emotionally-charged passages of a text, while texts containing vague or mysterious elements might be accompanied by ambiguous harmonic progressions. The majority of Wolf's songs in which progressive tonality or dominant endings are used have texts that end without a strong sense of resolution. As with Mahler, Wolf's key
schemes and the presence or absence of a clearly defined
tonal center often tell a story.
CHAPTER 7

THIRD RELATIONS AND COLOR CHORDS

Wolf's use of third relations is an obvious and well-known aspect of his style. Third relations occur on many different levels in Wolf's music. On the broadest level, they are found between adjacent tonalities, with a symmetrical sequence of third-related keys (a "third cycle") occasionally shaping the tonal structure of an entire song. In other works, isolated third-related keys appear within a more traditional tonal scheme. Third relations on a surface level manifest themselves in several ways, ranging from simple modal borrowing (I - bVI) and irregular resolutions of the dominant seventh (V7 - V/vi) to chromatic passages involving a succession of harmonies whose relationship and function are not immediately apparent. In such successions chords are often used for their particular sonority and for the contrast they provide to their surroundings, as evidenced by the well-known example in Example 7-1. The juxtaposition of "color" chords in this manner usually involves a third relation.

Third relations between adjacent triads or keys fall into one of three categories. "Diatonic" third relations are those found between any two triads within a given key
whose roots lie a third apart. Two common tones are shared by these chords, and there is no chromatic alteration. "Chromatic" third relations involve one common tone and one chromatic half-step. Two triads in a "double-chromatic" third relation have no common tone, and two chromatic half-steps are necessary. These classifications are made by pitch class and not actual spelling, so that in the second measure of Example 7-1 G# and Ab would be classified as common tones within a chromatic third relation, while E - F would be defined as a chromatic half-step.

Ex. 7-1. Dvorak, Symphony in E minor, "From the New World," II

Example 7-2 summarizes these relationships for a C-major triad. The diatonic third relations for C major are shown at "a," the chromatic third relations at "b," and the double-chromatic third relations at "c." It may also be noted that triads in a diatonic or double-chromatic third

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1 This method of classifying third relations is used by Kostka and Payne, Tonal Harmony, 442.
relationship have different qualities (primarily major or minor), while chromatic third relations involve triads of the same quality.

Ex. 7-2. Types of Third Relations

The effect of third relations on the overall tonality of a piece of music has been the focus of several recent studies. Deborah Stein discusses third relations specifically in Wolf's songs, while Harald Krebs investigates third relations in general in the late eighteenth and early nineteenth centuries. The present study will be concerned primarily with third relations and "color" chords on a local level, and will provide only a few brief remarks concerning larger-scale third relations.

Color Chords Defined

Wolf uses color chords in two primary ways. A color chord may be created by altering the quality of a chord founded on a diatonic root in such a way that its function

is not immediately apparent. This type of color chord is similar in principle to chords resulting from mode mixture, as when i, ii°, bIII, iv, or bVI are introduced into a major key. The color chord differs in that it may not be explained strictly as a consequence of mode mixture, and its function is more ambiguous. The other method of using color chords employed by Wolf is the juxtaposition of a series of chords (often third-related) that seem to be drawn from different keys, thus lacking a clear sense of harmonic function.

In the first category of color chords, those used singly with altered qualities, the function of the chord often remains the same. When the chord is first heard, however, its chromatic alteration opens the possibility that it will function in another key. The concept behind color chords has already been introduced in Chapters 3 and 4 in connection with the IVb7, the Nb7, and the minor Neapolitan: each of these chords has an altered quality, but retains its original function. Each of these chords could also lead to a different tonal center due to their altered qualities. The altered quality introduces an element of doubt and instability that is resolved when the following chord is heard, clarifying its function either way. The chord's

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3Although the Neapolitan is not based on a diatonic root, it has by convention become a part of the expanded diatonic system. One does not expect to hear a minor Neapolitan because this chord has traditionally been major.
altered quality and its attendant chromatic alteration are used to add a touch of contrasting color to the harmonic progression.

When a chord that is normally minor is made major, it will usually function as a secondary dominant. It can be difficult to distinguish between color chords and secondary dominants that resolve irregularly. For example, is the second chord in m. 31 of Example 7-3 a secondary dominant (V/ii) that resolves irregularly, or merely an altered submediant chord (VI)? The sequential nature of mm. 30-31 supports a V/ii interpretation: I - V in D followed by bIII - V in E minor. Any sense of E minor is lost when the third-related Neapolitan of D arrives in m. 32, so that the B chord in m. 31 also behaves as an altered submediant in D major.

On other occasions, a third-related color chord may eventually prove to be a secondary dominant whose resolution is delayed, as in Example 7-4. The C chord in m. 26 could be V/vi, but it returns to the Ab tonic in m. 27. The second chord in m. 27 is a mixture of Ab and C: Ab-C-E. This augmented chord also points toward F. It could be either bIII+ or V+ (enharmonic) in that key. The resolution of C (V/vi) in m. 26 is thus delayed until the F-minor chord arrives in m. 28 (the same situation occurs in mm. 30-33).

4Irregular resolutions of the dominant and dominant seventh chords are discussed at length in Chapter 3.
After the C chord ending m. 28, two successive chromatic third relations (C – E, E – Db) turn the progression back toward Ab. While each chord in the example has some functional relationship to a tonal center, the outstanding

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5 The ascending major third between C and E in mm. 28-29 is the same as that found between B and Eb in Figure 7-3. The ascending major third is the most common third relation in Wolf's songs; see also the discussion of third cycles below.
feature of the passage is the contrasting harmonic color created through the chromatic mediant relations.6

The Minor Submediant Minor

The color-chord relationship is more readily apparent when diatonic chords that are normally major become minor or

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6Boylan discusses the first eight measures of "Dank des Paria" (pp. 161-165); these measures contain a passage similar to that shown in Example 7-4. He concludes (p. 165) that although the tonal focus of the passage is often unclear, "the passage is made comprehensible through the regular recurrence of brief harmonic units which are coalesced through traditional root relationships."
diminished, and when those that are normally minor become diminished. For example, Wolf often uses a minor triad on the submediant degree of the minor mode: [bvi].

Occasionally this chord may be found in the works of earlier composers, as in the excerpt from Schubert's "Aufenthalt" shown in Example 7-5. After reestablishing the home key of E minor in m. 111, Schubert briefly emphasizes the subdominant in mm. 119-121. The E-major triad in m. 122 could still be V/iv, but its tonic function is somewhat clarified when its quality changes to minor in m. 123.

Intense tonal ambiguity is created by the following chromatic third-related C-minor chord that does not initially seem to relate to either of the potential tonal centers of the preceding measures (E and A). Its function as an altered submediant in E becomes apparent only when it moves to V7/E in m. 128, providing a different harmonization and coloration for the traditional b6 - 5 arrival on the dominant.

As with many aspects of Wolf's style, what had been a rarity in earlier practice becomes relatively commonplace in

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7The bracketed Roman-numeral symbols used for the color chords discussed in this chapter indicate the derivation of the chord from a fundamental harmony and the function of its scale-degree root without implying fundamental status for the chord in its altered state. In other words, the chord symbol is placed in brackets to signify that the designated fundamental harmony has been altered to such an extent that it is doubtful whether it may be recognized as a fundamental harmony.
Wolf's music. The [bvi] chord appears twice in the opening measures of the Goethe song "Grenzen der Menschheit" (see Example 7-6). In m. 2 it is used as a chromatic third-related neighbor chord to the tonic A minor. In m. 8 it moves to bIII (C major), indicating a possible motion to that key (iv - I, with C receiving further emphasis in mm.
1 Sehr gehalten

Ex. 7-6. "Grenzen der Menschheit," Gedichte von J. W. v. Goethe #51

12-13). In both instances, the [bvi] chord may be understood as relating to the tonic A minor as an altered submediant chord.8

Wolf also uses the [bvi] chord as the temporary goal of a deceptive resolution of the dominant, as in Example 7-7.

The excerpt begins in the key of B major, arriving on the

8Wolf paints an expansive, profound image of "the eternal holy Father" through a series of strong root-position harmonies in mm. 1-12, including the Neapolitans in mm. 3 and 9. Notice also the retrogressive motion bIII - N accompanying "heilige," yet another example of Wolf using the retrograde in connection with a religious reference.
dominant in m. 29. The \([bvi]\) chord enters in m. 31, with a suspended major seventh moving to a minor seventh before "resolving" to the seventh (E) of the \(V_7\) chord in m. 32.

Ex. 7-7. "Schmerzliche Wonnen," Spanisches Liederbuch, Weltliche Lieder #18

This E holds over into the following chord, creating an apparent \([iv^6]\) chord before moving to D. Both progressions (mm. 30-31 and 32-33) retain the spirit of a deceptive dominant resolution, but the quality of the submediant tonic
substitute is altered. While this progression imitates a diatonic one, it creates enormous instability because of the chromatic alteration of the tonic pitch (B - Bb).

The [bvi] chord is occasionally used as a pivot chord between two keys, becoming a minor Neapolitan in the key of the dominant. The excerpt in Example 7-8 contains a very foreign-sounding double-chromatic third relation between an Eb-major triad and a B-minor triad (or Cb as it is spelled in the voice part). The excerpt begins in Eb, and moves toward Ab major through the transient key of Bb minor. The Eb-major and B-minor triads are juxtaposed between mm. 11-12. The function of the B-minor triad is not clear from the outset, and its effect is quite surprising. Its function is clarified by a tritone root movement to a major-minor seventh chord, giving it the aural impression of a Neapolitan even though the chord is minor.

The B-minor chord has been shown as [bvi] in order to demonstrate its relationship to the preceding key, and it is not a particularly clear pivot chord. The [bvi] triad in general is difficult to hear in relationship to the tonic because the tonic degree itself is altered. On the other hand, Wolf treats this chord as an altered submediant triad.

Wolf avoids confirming Ab major in m. 14 by raising the root of the Ab triad as the 7-6 suspension (Bb - A) resolves; the raised-root deflection transforms the expected tonic into vii\(^{0}\)/ii. Wolf also avoids confirming Ab major in m. 15: as is typical of Wolf, he overshoots the tonic by changing it into V\(_7\)/IV.
Und ein er- 

(ausdrucksvoll) 

staunt, ein fra- gend Lächeln quillt auf meinen Mund, ob mich kein 

Traum be- träuge, dass nun in dir, zu e- wi- ger Ge- 

Ex. 7-8. "An die Geliebte," Gedichte von Eduard Mörike #32
on occasion, taking advantage of its special color. This is especially true of Example 7-8, where the surprising double-chromatic mediant shift accompanies the two syllables of "erstaunt" ("astonished").

The Diminished Subdominant

Wolf sometimes builds a diminished triad on the subdominant scale degree. This chord shares the chromatic alteration of the tonic pitch with [bvi]. In fact, it is often difficult to distinguish between the two, as seen in m. 33 of Example 7-7, and also m. 14 of Example 7-9. The latter example begins in F# and modulates to F. The C# octaves of m. 13 clearly prolong V/F#, and resolve deceptively to [bvi] in m. 14. Due to the ambiguous octaves in the piano part, the B ending m. 14 in the vocal line could either be a passing tone or a late entrance of the root of [iv^6]. The V7/F# returns in m. 15 and again resolves deceptively to [bvi] or [iv^6]7 in m. 16. The B in the voice is accompanied in m. 16 by a change to Db in the bass, a possible enharmonic return to V7/F#. Wolf resolves this interval as an augmented sixth (as it is spelled) in the key of F, and thus modulates down a half-step.10

A much clearer example of [iv^6]7 is shown in Example 7-10, drawn from the Mörike song "Um Mitternacht." The

10Although Wolf immediately overshoots F and emphasizes Bb in mm. 18-19, the goal of the passage remains the return of the home key (F) in mm. 20-21.

undulating effect of constant neighbor tones seen in this example is a frequent device in Wolf's songs, often giving
the impression of added-tone chords. The chord in question occurs on the latter half of m. 18, and is approached from bVI. Despite the chromatic alteration of the tonic pitch (C# - C), and the resulting quality change, this chord retains its function as a dominant-preparation chord. The

Ex. 7-10. "Um Mitternacht," Gedichte von Eduard Mörike #19

voice leading is curious, with the change of C# to C leaving unprepared the suspended C# in the V7 chord (m. 19). The F#67 might also be explained as an unfulfilled motion toward E minor (ii67/iii). Either way, it is an unexpected sonority which provides local contrast without abandoning the tonal center.
The Minor Leading-Tone Triad

In a reverse procedure from the diminished subdominant, Wolf sometimes replaces the diminished triad on the leading tone with a minor triad. In such cases the function of the leading tone is obscured, and intense tonal instability results. Example 7-11 begins and ends in F♯ minor, with every chord in the example clearly functioning in that key except for the F-minor chord on the downbeat of m. 105. The F-minor chord is an enharmonic spelling of E♯-G♯-B♯, as evidenced by the E♯ in the voice part; Wolf evidently spelled the chord as he did to make it easier to read.\(^\text{11}\)

The voice part in mm. 103-105 contains a stepwise ascent from dominant to tonic, and the E♯ in m. 105 clearly functions as the leading tone in a purely melodic sense. The unusual effect of the passage is created by the way in which 7 → 1 is harmonized: the leading tone appears as the root of a minor triad, and the tonic as the fifth of the subdominant chord (an altered retrogression).

The progression from C♯ major to E♯ minor is only surprising because of its present context. In the key of C♯ this would be I → iii. The progression temporarily upsets F♯'s tonic stability, however, and the F-minor triad sounds as though it could be a tonic-function harmony in a direct

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\(^{11}\)He might also have chosen this spelling in connection with a parallel passage in mm. 65-68, in which the F-minor chord turns out to be iv/C. It is given a different interpretation in the present passage.
modulation. The arrival of B minor on the second half of m. 105 obscures rather than clarifies because of the unusual tritone root movement between F minor and B minor. The F# tonal center does not restabilize until the cadence in m. 106.

The F-minor chord disrupts the harmonic progression, but it does not clearly shift the progression into another key. Instead, it seems to be a dissonant interpolation into the key of F#. The illusory tonic effect of the F-minor
harmony is created through an implied augmented sixth-to-tonic relationship. This relationship is more apparent in the following example, drawn from the Spanish song "Eide, so die Liebe schwur" (see Example 7-12).

This excerpt begins in B minor and passes sequentially through a series of transient keys before returning to B minor. After the Neapolitan and dominant of B minor, an A#-minor chord disrupts the tonic key in the same manner as did the F-minor chord in Example 7-11. The preceding F#7 is enharmonically the same sonority as the German sixth of A# minor, lending a tonic effect to the A#-minor triad. The tonal center is further obscured when the A# triad descends chromatically to an A-major triad. Tonal stability does not return until the cadential progression in mm. 50-53.

The leading-tone function of the F and A# minor chords is lost in these examples, but these chords are not given a clear interpretation in a different key. Instead, they almost usurp the supremacy of the respective tonics. In this respect they differ from the other color chords discussed thus far.

In "Eide, so die Liebe schwur" the disruptive A#-minor chord is clearly a musical pun. The text of the passage

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12When Wolf moves from a root-position major or minor triad to a triad a half-step lower, he usually places the second triad in first inversion. See m. 25 of "Mein Liebster singt am Haus" (Example 4-21) and m. 7 of "Heut' Nacht erhob ich mich um Mitternacht" (Example 6-9).
Sind die Burgen gegenwär'tig,
alle samt des Spruchs ge-wär'tig,
ma-chen sie das Ur-teil
in wenig zurückhaltend a tempo
ein wenig zurückhaltend a tempo
von Voll-sie-hen kei-ne Spur!
Eide, so die Lie-beschwur, schwache Burgen sind sie nur.

Ex. 7-12. "Eide, so die Liebe schwur," Spanisches Liederbuch, Weltliche Lieder #10
translates as "And when the warrantors are present, and all await the verdict, they pronounce the sentence; but never carry it out!" The aforementioned sequence begins in m. 41 at the introduction of this line of text. The course of the sequence accompanies the gathering of the warrantors, the delivery of the verdict, and the passing of the sentence, culminating on V7/B in m. 47. The disruption of the expected arrival on B through the A#-minor harmony appears at the text "but never carry it out!" Thus the goal of the harmonic sequence is not carried out either.

**Unusual Chord Qualities**

The color chords discussed above all have traditional chord qualities, but are placed on scale degrees where these qualities are not usually found. Wolf also uses color chords that have nontraditional chord qualities. The vast majority of unusual sonorities in Wolf's music are the product of nonessential tones, such as the apparent quartal chord in m. 19 of Example 7-13.13 This chord results from implied 4-3 and 9-8 suspensions (C - B, Ab - G) coupled with a chromatically descending line from Eb to G, a combination of the traditional tonic six-four with a 9-8 suspension.

13This is as close as Wolf comes to true quartal harmony in his songs. Jarosch (p. 214) notes that the empty, clattering effect of this harmony is intended to convey to the audience a vision of death as a grinning skeleton (the last line of text reads "hurry, for death is a swift fellow").
within the dominant seventh chord. The nonessential tones resolve over the same bass note, leaving only a V7 chord on the second eighth-note of m. 20.14


14 Next to its function as a special effect Jarosch (p. 214) believes that "a theoretical explanation of the harmony, possibly as a three-fold suspension of the dominant seventh of C minor, appears unimportant to a certain degree." This remains the derivation of the sonority, however. ("... eine theoretische Erklärung der Harmonie, etwa als dreifacher Vorhalt vor dem Dominantseptakkord von C moll, bis zu einem gewissen Grade belanglos erscheinen.")
There are rare examples of seemingly essential nontraditional sonorities in Wolf's songs. Some of the altered dominants and irregular augmented sixth sonorities discussed in Chapters 3 and 4 may be included in this category, as well as unique sonorities such as that seen in mm. 14-15 of Example 7-14. This excerpt is in the key of Bb major/minor, and the chord in question appears to be an altered Neapolitan: Cb-E-Gb-Bb. The substitution of E for Eb in the Neapolitan seventh creates a dissonant, unique

sonority that resembles an altered augmented sixth chord (a French sixth with b\textsuperscript{2} rather than 2). Whether this chord is considered an altered Neapolitan or an altered French sixth, it remains a dominant-preparation chord, moving to i\textsubscript{6} and the German sixth before reaching V\textsubscript{7} in m. 17.\textsuperscript{15} It is also used as a color chord for a special effect, depicting the gunshot described in the poetic text.\textsuperscript{16}

An unusual sonority that appears relatively frequently in Wolf's songs is the minor-major seventh chord, an extremely dissonant sonority due to the augmented fifth found between its third and seventh. While this chord quality may be built on the tonic of the harmonic minor scale, the seventh of the chord almost invariably resolves to the tonic pitch as a nonessential tone. The chord is avoided also for the voice-leading difficulties it presents: if the seventh resolves down, as is customary for sevenths, an augmented second results. In Wolf's songs, this sonority is created almost exclusively by adding the major third scale degree to a minor subdominant triad; earlier composers did not frequently use mode mixture to the extent necessary

\textsuperscript{15}The voice leading in the bass is irregular in either interpretation, with #4 moving an augmented second to b\textsuperscript{3}; in the other voices b\textsuperscript{2} and b\textsuperscript{6} resolve in regular fashion to 1 and 5, respectively.

\textsuperscript{16}"... the bold imp shot and I fell on my nose." Again note the spelling of the German sixth in m. 16 as a major-minor seventh chord.
to form this chord, which requires that tones from both modes be used simultaneously. 17

A iv\#7 chord occurs in m. 17 of Example 7-15, and progresses to V\# on the fourth beat. 18 Although the dissonant F\# sounds like it could be a 7-6 suspension (within ii\#0) or a #7-8 retardation (within iv), it does not resolve before the chord changes. The sonority might be interpreted as an appoggiatura chord within the dominant harmony, yet its appearance in such a prominent and

17An exception is the "Austrian" augmented sixth used by Schubert and later composers, which also contains the third scale degree of the major mode and the sixth scale degree of the minor mode.

18Although this chord belongs to the category of altered dominant-preparation chords discussed in Chapter 4, its presentation has been reserved until this point because of its unusual sonority.
prolonged fashion, coupled with the fact that F# moves to E rather than G, gives substantial support to the view that this is a subdominant harmony. The arpeggiation through Bb and D in the voice provides further support for interpreting the chord as a subdominant harmony: these tones would be nonessential if the fundamental harmony were V, yet they are not treated as such.

The iv#7 sometimes occurs in altered plagal cadences (I - iv - I) when the third of the major tonic triad is held over into the borrowed subdominant, as in m. 19 of Example 7-16.19 Wolf emphasizes the dissonance in this instance by

Ex. 7-16. "Wenn du mich mit den Augen streifst,"
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19The Goethe song "Der neue Amadis" and the Spanish song "Sie blasen zum Abmarsch" also end with this altered plagal cadence.
placing an accent mark on the second beat. The potential V7/vi in m. 18 is a further example of a color chord, serving as a neighbor chord to the tonic. It may be viewed as a dominant substitute, which requires that D# be accepted in place of D. While the B7 chord does not tonicize G in a traditional sense, the tension created by the tritone D# - A is released when the tonic harmony returns (the same situation occurs in Example 7-21).

Color-Chord Successions

The other category of color chords in Wolf's music includes those resulting from a series of chords that do not clearly fall into a single key. Such successions usually contain a series of major triads, often involving chromatic mediant relationships. This technique is similar to rapid key shifts (as are color chords in general); the difference lies in the degree of tonal ambiguity. In rapid key shifts the more easily identifiable chords are used, including the dominant seventh and various altered dominant-preparation chords. A succession of color chords involves greater tonal ambiguity because the local function of each chord is not as readily apparent, thus obscuring the tonal center. The function of each sonority within a series of color chords may only be determined in retrospect, as in the succession of major triads in mm. 28-29 of Example 7-4.
An exceptionally clear example of this category of color chords appears in the Spanish song "Mögen alle bösen Zungen." The refrain "wer mich liebt, den lieb' ich wieder, und ich lieb' und bin geliebt" occurs four times in the song, and is set with similar music each time. The second appearance of the refrain is shown in Example 7-17a, and the fourth appearance in Example 7-17b.\(^\text{20}\)

Each of the first three appearances of the refrain contains the series of secondary dominants seen in the first two measures of Example 7-17a: vi - vi\(_6\) - V/iii - V\(_7\)/vi - V/ii - vii\(^\flat\)/V. Although this progression is very common in the music of earlier composers, using this many circle-of-fifths-related secondary dominants in succession is rather unusual for Wolf.

Wolf has a surprise in store at the last appearance of the refrain (Example 7-17b), in which he reverses each pair of secondary dominants: V/vi - V/iii - V/V - V/ii - vii\(^\flat\)/V. The function of each chord is obscured, and a chromatic mediant relation now occurs between V/iii and V/V. By permutating the order of the traditional circle-of-fifths sequence, Wolf creates a colorful new chord succession while retaining the same vocal melody and remaining in the same key.

\(^\text{20}\)The first and third appearances of the refrain are identical to the second for the first two measures, but then cadence in the dominant key (A major).
"Dass doch gemalt all' deine Reize wären"

Wolf's color-chord successions are not always organized as clearly as that in Example 7-17b. The Italian song "Dass doch gemalt all' deine Reize wären" is a compendium of many features of Wolf's style discussed thus far, and also contains an ambiguous series of color chords (see Example 7-18). The song begins and ends in F major, but an
unconfirmed motion towards A minor is begun in the first measure. The half-diminished seventh chord on the third beat of m. 1 could be vii\(^6\)/V in F, but is heard as ii\(^6\)/\(\text{E7}\) when the E\(\text{E7}\) chord arrives in the second measure. Confirmation of A minor is avoided when V\(\text{V7}\)/A moves directly to V\(\text{E7}\)/F (a frequent progression in Wolf's music, as discussed in Chapter 3), followed by the retrogression between mm. 2 and 3. The F\# passing tone on the third beat of m. 3 creates an apparent augmented subdominant triad (bIII+/ii). The deceptive resolution of V\(\text{V7}\)/b\(\text{VII}\) (or IV\(\text{b7}\), as discussed in connection with Example 3-10) denies another potential motion away from the tonic.

The key of F is finally confirmed in m. 5, followed by an emphasis of the Neapolitan region in mm. 6-8. The last eighth-note chord in m. 7 bears the augmented-sixth-chord variant containing the third scale degree of the major mode that was discussed in Chapter 4 (the Austrian sixth). An enharmonic modulation employing the V\(\text{V7}=\text{Gr+6}\) relationship returns to the key of F in m. 8.

Measure 9 contains some typical Wolfian nonessential chromaticism, occurring within a tonic harmony. Ab and Cb are held into the downbeat of m. 9, then respelled as G\# and \(\text{Bb}\) and acting as retardations of A and C. The E and G\# on the second beat are appoggiaturas to F and A, and create a nonessential diminished-third triad with the passing Bb in the bass.
Mässig. \( J = 40 \).  

Dass doch gemalt all' deine Reize wär'en, und dann der Held-

\[
\begin{align*}
F: I & \quad \text{I} \quad \text{V} \quad \text{IV} \quad \text{IV}^+ \\
\text{(bIII+/ii)} & \\
\end{align*}
\]

fürst das Bildeins sän'de. Er wür'de dir ein gross' Geschenk vereh-ren,

\[
\begin{align*}
\text{iI}_6 & \quad \text{IVb}_7 \quad \text{V}^\text{I}_6-5 \quad \text{i} \quad \text{I} \\
\text{Gb: V} & \quad \text{4} \quad \text{1} \\
\end{align*}
\]

und leg-te seinen Kron' in dei-ne Hän-de.

\[
\begin{align*}
\text{I}_7 & \quad \text{IV}^\text{I}_4-3 \quad \text{V}^\text{I}_7 \quad \text{L} \quad \text{V}^\text{I}_7 \quad \text{V}^\text{I}_4-3 \quad \text{I}^\#5-6 \quad \text{6} \quad \text{5} \\
\end{align*}
\]

Zum rechten Glan-zen müß'tisch bek-heren sein.

\[
\begin{align*}
\text{V} & \quad \text{IV} \quad \text{I} \quad \text{bVI} \quad \text{bVI} \\
\text{Ab: IV} & \quad \text{V} \quad \text{I} \quad \text{bVI} \quad \text{I} \\
\text{G, I} & \quad \text{bVI} \\
\end{align*}
\]

Ex. 7-18. "Dass doch gemalt all' deine Reize wären,"

Italienisches Liederbuch #9
(Example continued next page)
Ex. 7-18, continued

allmählich ein wenig belebt

ganzes Reich bis an sein ferneres Ende. Im ganzen Lan-

de wird es ausge- schrieben,

Tempo I.

Christ soll ein Jeder werden Gottlieb ge-

Ein jeder Heilige flog bekehrte sich

und würde ein guter Christ und lieb- te dich.

IV 11 7 I6 vii7/4 V7 4-3
A color-chord sequence begins in mm. 11, with nine successive major chords from various keys appearing in mm. 10-13. The first four of these chords may easily be heard in F: V - IV - I - bVI.\textsuperscript{21} The following chord may be bVII/F, but the succession Db - Eb sounds like IV - V in the key of Ab, creating expectation that an Ab triad will follow. A C-major triad intervenes, however, causing two successive chromatic third relations.

While the Ab chord might still be shown as a temporary tonic, it is difficult to hear it as such due to the sequential nature of the passage. Instead, Ab sounds like bVI/C (I - bVI) in relation to the similar progression ending the previous measure. The pattern is broken on the downbeat of m. 13. The Fb-major triad could be an altered mediant of C (III), but bears the same IV - I relationship to the following Cb chord as appeared on the first two beats of m. 11. In retrospect, all of mm. 13 and 14 may be interpreted in Eb: N - bVI - iv\textsuperscript{7} - V\textsuperscript{7}/V - (ii\#i\textsuperscript{7}) - V\textsuperscript{7}.

The ambiguous effect of this passage is created through a lack of clear harmonic function. While a relationship can be defined for each pair of adjacent chords, there is no sense of one or more overriding tonal centers. Of the seven pairs of major triads in mm. 11-13, four involve chromatic mediant relationships. Unusual harmonic effects in Wolf's

\textsuperscript{21}The retrogression in mm. 10-11 introduces a religious reference in the text ("To the correct faith").
songs are most often used in response to some element of the text. The chromatic turns and constantly shifting tonal focus in this passage depict the concepts of conversion and expanse contained in the text: "To the correct faith must be converted his entire kingdom to its farthest end."

The home key (F major) returns via the raised-root deflection Eb7 - C7 in m. 18, and remains in force for the remainder of the song. A possible motion to the subdominant is avoided in m. 19 by the deceptive resolution V7/IV - N. A further Wolfian harmonic twist occurs in mm. 24-25. The V^4/IV chord in m. 24 moves in raised-root fashion to V^3/ii, but V^3/ii resolves to IV (the frequent descending-major-third root movement from a dominant seventh). Thus the implied change of tonal direction suggested by V^3/ii is ignored.

The vast majority of harmonic progressions in Wolf's songs may be explained either in the context of a single key, or by way of a series of rapid key shifts. The series of major triads in mm. 11-13 is not so easily explained. This succession of chords is tonally ambiguous; portions of the succession may be analyzed in this or that key, but there is no undeniable sense of strong harmonic function in any of these keys. Chromatic mediant relationships contribute heavily to the ambiguous nature of the passage. As with the individual color chords discussed above, the
chords in this latter passage are used for the local contrast they provide.

**Third-Related Keys and Third Cycles**

Chromatic mediant relationships are also active on a larger scale in Wolf's songs, many of which contain third-related keys at some point. These chromatic thirds are sometimes softened and somewhat disguised through a clear process of modulation from one key to the next, as in the Spanish song "Sagt, seid Ihr es, feiner Herr" (Example 7-19). This example is also sequentially organized, where the tonic of each key acts like bVI of the next, resulting in the pattern bVI - V - I.

More significant and characteristic is Wolf's use of direct mediant shifts, moving directly from the tonic or

(Example continued next page)
Ex. 7-19, continued

10

vor dessen Kehle keiner mehr zu Wort gekommen? Habt die

13

Baeken voll genommen, sangt gar

16

artig, ohne Fehler.

G: bVI₂ V
dominant of the first key to the tonic of the next. Both
types of direct mediant shift (I → I and V → I) are
illustrated in Example 7-20, drawn from the Mörike song
"Jägerlied." The key of the song is A major, and a
prolonged V7/A occurs in mm. 7-8. This V7/A moves directly
to I/C# in m. 9, pivoting on G# as a common tone. The key
of C# in m. 9 is followed by F in m. 10. These keys are
connected by the enharmonic common tone E#/F. A further
chromatic mediant shift (F → A) returns to the tonic A major
in m. 11, also moving from the tonic of one key directly to
the tonic of the next.

Direct mediant shifts occur at least once in at least
twenty-five percent of Wolf's songs. They may be used
singly, or combined into symmetrical third cycles as in
"Jägerlied." In either case, the majority of Wolf's
chromatic mediant shifts involve an ascending major third
from one major key to another. Complete or partial
symmetrical third cycles based on an ascending major third
are found in the Italian songs "Schon streckt' ich aus im
Bett" and "Und steht Ihr früh am Morgen auf," the Spanish
songs "Die ihr schwebet," "Im dem Schatten meiner Locken,"
and "Sagt, seid Ihr es, feiner Herr," the Mörike songs "Auf
einer Wanderung" and "Jägerlied," the Eichendorff songs "Das
Ständchen" and "Liebesglück," the Goethe songs "Ganymed" and
"St. Nepomuks Vorabend," the Reinick song "Morgenstimmung"
In die Lüfte hoch ein Reiher steigt, da hin we der Pfeil noch Kugel fliegt:

tau-send-mal so hoch und so ge-schwind die Ge-dan-ken treuer Lie-ße sind.

Ex. 7-20. "Jägerlied," Gedichte von Eduard Mörike #4
(see Example 6-3), and the unpublished songs "Frohe Botschaft" and "Rückkehr."²²

Third cycles based on an ascending minor third are less common and always incomplete, with examples including the Mörike songs "In der Früh" and "Heimweh" (see Example 7-21). In both of these songs the cycle begins in a region other than the home key, and concludes in the home key. In "In der Früh," the cycle begins in E major, moves through G and Bb major, and then concludes with a major third to reach the home key of D. Complete third cycles of keys involving a descending major or minor third are not found in Wolf's songs, although a miniature descending third cycle appears in the Goethe song "Der Sänger" (see Example 7-22).

In the vast majority of Wolf's third cycles a given melodic and harmonic motive is passed sequentially through the various tonal levels. The degree of tonal ambiguity within a third cycle may vary. In Example 7-19 each successive key is established by an authentic cadence, and the connection between the keys is smooth because there is no direct chromatic mediant relationship: in mm. 8 and 14 each new key is approached through its minor tonic triad, which bears a diatonic third relationship to the preceding key.

²²Of these, "Und steht Ihr früh", "In dem Schatten meiner Locken," and "Das Ständchen" are discussed in Stein, Hugo Wolf's 'Lieder.'
Ex. 7-21. "Heimweh," Gedichte von Eduard Mörike #37

In other songs adjacent keys in a third cycle are juxtaposed without a clear process of modulation, moving directly from one key to the tonic of the next. In such cases a repeated motive usually provides a degree of coherence in the cycle, with the ambiguity created by the sudden tonal shift being offset by a melodic/harmonic
pattern that was heard in a clear functional context earlier in the song, as in "Jägerlied" (Example 7-20). The shift from V7/A to I/C# in mm. 8-9 is unexpected, but the listener accepts C# as a tonal center as soon as it becomes apparent that the material in m. 9 is a varied transposition of the tonic-function material in m. 3. The same is true of the shift from C# to F in mm. 9-10. The protracted half-cadence in A distinguishes the return to the home key from the earlier tonal shifts, with the home key being firmly reestablished by repeated cadential patterns.

"Schon streckt' ich aus im Bett"

In still other songs a third cycle appears in a more ambiguous context, as in the Italian song "Schon streckt' ich aus im Bett" (see Example 7-23). Tonal ambiguity and the third cycle in this song have close ties to images
contained in the poetic text, which contains three contrasting ideas:

Schon streckt' ich aus im Bett die müden Glieder,
I had already stretched out in bed my tired limbs,
da tritt dein Bildnis vor mich hin, du Traute.
when your image appeared before me, my darling.

Gleich spring' ich auf, fahr' in die Schuhe wieder
I jump up at once, put my shoes on again

und wandre durch die Stadt mit meiner Laute.
and wander through the town with my lute.

Ich sing' und spiele, dass die Strasse schallt;
I sing and play, so that the street resounds;

so manche lauscht - vorüber bin ich bald.
so many listen - soon I have gone past.

So manches Mädchen hat mein Lied gerührt,
Many a girl has my song stirred,

indes der Wind schon Sang und Klang entführt.
meanwhile the wind has already carried off my song and playing.

In the first section of the text the speaker describes his vision, in the second he arises, and in the third he strolls singing through the town.

The song opens in Ab major on an ambiguous diminished seventh chord (see Example 7-23). An A appoggiatura lends a disturbing sound to this opening progression, as does the dissonant counterpoint between the outer voices in the second measure. The tonal center crystallizes at the voice entry in the third and fourth measures with a very traditional progression in Ab major. One gets the impression of a troubled sleeper suddenly awakening in the
Sehr langsam. J = «.

Bett die müden Glieder, da bitt dein Blümchen vor mich hin, du Traute.

Gleich spring' ich auf, fahr' in die Stadt.

Schuhe wieder und wandere durch die Stadt mit meiner Liebe.

Ex. 7-23. "Schon streckt' ich aus im Bett,"
Italienisches Liederbuch #27
(Example continued next page)
Ex. 7-23, continued

Ich sing' und spiele, dass die Straße schallt, so manchmal vorüber bin ich bald.

So manches Mädchen hat mein Lied gerührt, in den der Wind schon Sang und Klang entführt.

C: I (V) I
I (V/vi) I (V) I
shift from the instability of mm. 1 and 2 to the serenity of mm. 3 and 4.

The Ab tonic becomes V7/IV in the second half of m. 4. The motion toward IV is denied when V7/IV resolves deceptively to the Neapolitan of Ab. The Bbb chord accompanies a reference to the dream image ("Bildnis") which awakened the sleeper. This dissonant Neapolitan six-four harkens back to the first chromatic tone of the song (A=Bbb), as the speaker recalls the image that disturbed him. V7/IV returns on the downbeat of m. 6, but once again its resolution is denied. The remainder of m. 6 sets up an expected cadence in Ab at the end of the first line of text.

The concept of awakening and springing out of bed in the second line of text is accompanied musically by an increase in tempo and an ascending symmetrical third cycle: Ab - C - E - Ab (mm. 6-12). The V7/Ab ending m. 6 resolves unexpectedly to a C harmony whose function is not immediately apparent. Although C may be taken as the tonal center of mm. 7-8 in retrospect, it initially sounds as though it could be the dominant of F minor being approached through a raised-root deflection: V7 - V/vi. This impression is strengthened when Db appears as an upper neighbor to C in mm. 7 and 8.

Although C is heavily tonicized in mm. 7-8, its eventual function as I or V is not entirely certain. The ambiguity of these measures is due in part to the fact that
a new motive is introduced when the tonal center shifts, a
motive that has not previously been heard in a tonic context
(as was the motive in "Jägerlied").

The same basic situation occurs in the shift to E in
mm. 9-10, with two significant differences. The melodic
motive in the upper piano part moves to a different location
within the chord: while this motive begins on the root of
the C-major chord in m. 7, it begins on the third of the E
chord in m. 9, with the voice simultaneously stating the
motive on the fifth of the chord. Coupled with the
relocation of the melodic motive is a change in the
accompanying harmonies: the diminished seventh on the third
beats of mm. 7 and 8 is replaced by a half-diminished
seventh in m. 9.

While the F♯6 chord is unexpected, it is less
ambiguous than the fully-diminished sevenths in mm. 7-8.
When the passage is heard, it is not entirely certain
whether C is I or V. The function of E is clearer, for
while it may still prove to be V, the melodic and harmonic
changes in mm. 9-10 provide greater tonal stability. The
ambiguity of the Db in m. 7 is avoided in m. 9 by shifting
the position of the melodic motive, and the half-diminished
seventh in m. 9 clearly functions as a dominant-preparation
chord. E is sustained throughout m. 10, with the slowing of
the harmonic rhythm also adding a greater degree of
stability.
Although "Schon streckt' ich aus" contains a third cycle, the question or whether or not this is a cycle of third-related keys remains open because the function of the tonal levels involved is not as clear as those in "Jägerlied." C is approached directly from the dominant of Ab, and the neighboring Db in m. 7 adds to the impression that the dominant function has been passed in raised-root fashion from the key of Ab to the relative minor, F. C is tonicized throughout mm. 7-8 and F never arrives, however, so that C may also be considered as I. On the other hand, E is more stable as a local tonal center and is given a clearer context in the overall tonal scheme, functioning as bVI when the home key returns in m. 11. The E chord in m. 10 moves to a tonic six-four in Ab, and the prolongation of V/Ab in mm. 11-12 creates a stronger arrival in the home key than was afforded C or E. The upper-neighbor motive of mm. 7-10 appears above the third and fifth of the tonic six-four in m. 11, with the Fb neighbor above the dominant pitch in m. 12 echoing (and perhaps explaining) the Db neighbor in mm. 7-8.

The C and E chords in mm. 7 and 9 are heard as third-related substitutes in relation to the V7 chords of the preceding regions, but in context it is not immediately apparent whether they are tonic or dominant substitutes. The modulation back to Ab is less ambiguous: it is not approached from V7 of the preceding region, and the Ab
harmony is placed in six-four position as part of an extended cadence that completes the Ab progression that was begun in mm. 1-6 and interrupted by the third cycle in mm. 7-10.

The left-hand accompaniment to the third line of text (beginning in m. 13) evokes the image of the serenader strumming his lute as he strolls through the deserted streets. This section of the song is marked by a greater degree of tonal stability. An Ab pedal point sounds from mm. 13-18, and alternates with C in mm. 19-26. A Gb returns in the vocal line in m. 15, again indicating a possible motion toward IV, and again turning back toward the tonic as in m. 6. The long-denied IV finally arrives in m. 17 over the double pedal point (the root and fifth of the tonic chord).

Tonal instability returns in m. 19 with a temporary shift back toward C major. In this level the voice intones the last phrase of text on the pitch G, which is both the dominant of C and the leading-tone of Ab. Ab returns in m. 22, only to be followed by C again in m. 23, and the final mediant shift back to Ab in m. 24. The function of the C chord which appears in mm. 19-21 and 23 is again unclear. It could be I/C, an altered mediant of Ab, or V/F. The C chord may also be viewed as either a tonic or dominant substitute in Ab. None of these possible functions clearly wins out over the others, and the C chords act as color
chords, being introduced for the local contrast and ambiguity they create rather than for a specific harmonic function. These final emphases of C serve both as a reminder of the reason for the serenader's nocturnal wanderings, and to depict his song being carried off by the wind.23

It is an interesting stylistic trait that Wolf does not use complete descending third cycles of keys in his songs, only ascending cycles. An ascending cycle of major thirds between major keys results in an increasingly brighter sound, a sound that Wolf obviously preferred (C-E-G - E-G#-B). A darker sound results when such a cycle descends, because the third of the first major key is lowered in the second (C-E-G - Ab-C-Eb). An ascending cycle moves toward the sharp side of the circle of fifths, while a descending cycle moves through the flat side. The supposition that a bright-sounding contrast was an important consideration in Wolf's use of third cycles is supported by the fact that he does not use third cycles of minor keys.22

There is a high degree of correlation between Wolf's use of symmetrical third cycles and certain poetic images.

23Wolf also reflects the fading song by fragmenting its motive in mm. 22-26.

22Although an ascending cycle of minor thirds involves a motion toward the flat side, these cycles are much less common in Wolf's music, and are never complete. In addition, the minor-third cycle in "In der Frühne" ends with a major third.
For example, ascending third cycles are used in connection with textual references to the rising sun in the Reinick song "Morgenstimmung" (Example 6-3), the Goethe song "Ganymed," and the Mörike song "In der Frühe," the sun suddenly appearing in the Eichendorff song "Liebesglück," and the setting sun in the Mörike song "Auf einer Wanderung." The poetic image of awakening or arising is accompanied by ascending third cycles in the Italian songs "Schon streckt' ich aus im Bett" and "Und steht Ihr früh am Morgen auf," and the Spanish song "Im dem Schatten meiner Locken."

Other poetic images accompanied by third cycles include a bird soaring upward in "Jägerlied" (Example 7-20), stars in the Goethe songs "Der Sänger" (the descending miniature third cycle in Example 7-22) and "St. Nepomuks Vorabend," angels in the Spanish song "Die ihr schwebet," and moonlight in "Das Ständchen." These poetic images are related by references to light (heavenly bodies), motion upwards (soaring birds or angels, or rising from bed), or combinations of the two (rising sun). Wolf is ever

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23 For other relationships between text and tonal structure in "Das Ständchen," see Stein, Hugo Wolf's 'Lieder,' 93-97.

sensitive to reflecting the text in his musical setting, so it is not surprising that he employs the bright sound of his ascending third cycles to depict bright poetic images.

Conclusion

Chromatic third relations constitute a significant facet of Wolf's style on several levels, ranging from symmetrical cycles of chromatic mediant shifts to individual third-related harmonies. Chromatic third relations occur most often between major triads and keys, although third-related minor chords and keys also appear. Double-chromatic third relations between chords and keys are found, but they are less common. Individual third relations may be ascending or descending, while symmetrical cycles are based almost exclusively on ascending major thirds.

Color chords most often result from chromatic alteration of a diatonic chord, or by further alteration of an accepted convention of the expanded diatonic system (such as the Neapolitan). Most color chords involve traditional chord qualities used in nontraditional locations, although rare examples of nontraditional chord qualities are found. Either way, individual color chords tend to retain the function of the scale degree upon which they are built. Color chords contain at least one chromatic alteration, however, so that their function is not immediately apparent.
Wolf's harmonic progressions are clearly based on traditional functional relationships for the most part. Wolf expands and combines these traditional relationships in many different ways, forging novel harmonic structures characterized by a constantly shifting sense of tonal direction. Third relations often play an important role in this process.
CHAPTER 8

STATIC AND KINETIC ELEMENTS

Wolf's style is a unique blend of static and kinetic elements. Static elements include Wolf's frequent use of repeated rhythmic and melodic figures, repeated harmonic progressions, and pervasive pedal tones. It is not unusual for a single motive to permeate an entire song or large part thereof. On the other hand, motion is created in Wolf's music by an emphasis on dissonant harmonies, irregular resolutions, and other means of tonal instability discussed in earlier chapters. This chapter focuses on the ways in which static and kinetic elements interact in Wolf's music.

We begin by noting that there are various levels of stability and instability in Wolf's songs, and that the mood of the text guided Wolf's choice of a particular type of musical setting.1 The more serene texts receive the more stable settings, while the more impassioned texts call forth much greater instability. Examples of the former include the Italian songs "Sterb' ich, so hüllt in Blumen meine Glieder" and "Nun lass uns Frieden schliessen," and examples of the latter include the Spanish sacred songs "Mühvoll

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1This fact has been well documented in earlier studies, as discussed in "Other Wolf Studies" in Chapter 1, pp. 19-40.
komm' ich und beladen," "Wunden trägst du, mein Geliebter," and "Herr, was trägt der Boden hier," and the three "Harfenspieler" songs opening the Goethe volume.²

While reflection of the spirit of a given text was of paramount importance to Wolf, his songs must also be governed by purely musical considerations in order to remain coherent musical structures. To this end, one song from either end of the stability spectrum will be examined in light of the interaction of text and music and of static and kinetic elements.

"Nun lass uns Frieden schliessen"

The Italian song "Nun lass uns Frieden schliessen" contains a tonic pedal point in thirty of its forty-four measures, with tonal instability playing a small but significant role (see Example 8-1). The rhythm of the accompaniment is repetitive: the left hand of the piano part contains two dotted quarters in every measure save two (mm. 40 and 44), and the right-hand pattern has the third eighth-note of the first beat tied to the first eighth-note of the second beat in every measure except the last. The only rhythmic variety in the right hand occurs on the downbeat: some downbeats are tied over from the preceding measure while some are not. The harmonic and rhythmic

²For an analysis of "Harfenspieler I," see Stein, Hugo Wolf's 'Lieder,' 38-46.
Ex. 8-1. "Nun lass uns Frieden schliessen,"
Italienisches Liederbuch #8
(Example continued next page)
Ex. 8-1 continued

19 - ni- ge und Fur - sten, und soll - ten Lie - ben - de nicht da - nach

24 - - sten? Es schlie - sen Fried - en, Für - sten und Sol - da - ten,

29 - - ten wohl mis - sa - ten? Melnst du,

34 dass, was so gro - sen Herrn ge - lingt, ein Paar su - fried - ner Her -

39 - 9 bis wenig zügern - nen nicht voll - bringt?
stability of the musical setting reflect the conciliatory
tone of the text:

Nun lass uns Frieden schliessen, liebestes Leben,
Now let us make peace, dearest life,
zu lang ist's schon, dass wir in Fehde liegen.
it is already too long, that we have quarreled.
Wenn du nicht willst, will ich mich dir ergeben;
If you refuse, I will surrender myself to you;
wie könnten wir uns auf den Tod bekriegen?
how could we fight to the death?
Es schliessen Frieden Könige und Fürsten,
Peace is made by kings and princes,
und sollten Liebende nicht danach dürsten?
and should lovers not thirst for it?
Es schliessen Frieden Fürsten und Soldaten,
Peace is made by princes and soldiers,
und solll' es zwei Verliebten wohl missraten?
and should two lovers fail to do it?
Meinst du, dass, was so grossen Herrn gelingt,
Do you think that what such great lords manage,
ein Paar zufriedner Herzen nicht vollbringt?
a pair of contented hearts cannot accomplish?

A pervasive tonic pedal leads naturally to an emphasis
of the subdominant region; in "Nun lass uns Frieden
schliessen" Wolf turns towards the subdominant over the
tonic pedal in mm. 4-7. In mm. 8-10 he briefly places an
augmented dominant over the tonic pedal, and in mm. 11-16
abandons the tonic pedal in order to initiate a motion
towards the dominant.

The tonic pedal is a static element, and the
subdominant motions are one means of creating motion within
it. The Db in m. 3 leads to C in m. 4, and the modal shift (C - Cb) in m. 7 leads to Bb in m. 8. A sense of motion is also created by the delayed resolutions of the augmented dominants in mm. 8-11. Actual progression away from the tonic does not occur until m. 11 when the tonic pedal is abandoned. An emphasis of IV in mm. 11-13 is followed by an emphasis of V in mm. 14-16.

Wolf repeats mm. 1-16 almost literally in mm. 17-32, with the last line of text (mm. 33-44) receiving a slightly different setting. The song is thus divided into three formal units, each of which contains a motion towards the dominant in its final measures, with the final section also containing a piano postlude that emphasizes the tonic. The five lines of the text are distributed unevenly: 2 + 2 + 1.

Wolf's grouping of the text is instructive. Eric Sams asserts:

There are also moments of heightened emotion, where the stepwise vocal melodies and generally diatonic piano part briefly diverge into a falling sixth or seventh among faintly perplexed or disturbed chromatic harmonies, at the questioning phrases 'auf den Tod bekriegen' (make war to the death?) and 'zwei Verliebten wohl missraten' (elude two lovers?)."3

Sams' comments are apposite; to his list of questioning phrases might be added the question ending in m. 40: "nicht vollbracht?" ("cannot accomplish?"). The three partitioning motions to the dominant thus accompany each reference to

3Sams, The Songs of Hugo Wolf, 323.
potential failure of peace-making efforts contained in the text. The question ending the third line of text ("and should lovers not thirst for it?") is not set with a motion toward the dominant for both textual and musical reasons: its emotional content is not as strong, and a motion to the dominant at this point would upset the formal scheme Wolf has devised.

The setting of the final line of text contains greater instability, with the V7/IV in m. 35 moving in raised-root fashion to V5/ii. As in "Dass doch gemalt" (Example 7-18), the implied motion toward ii is averted by moving to IV, the original goal of the V7/IV chord in m. 35 (note the leap of a diminished fourth in the bass, E – Ab). Again, there are both textual and musical reasons for increased instability in mm. 33-40. The earlier questions are largely rhetorical, while this one is more direct ("Do you think . . ."). Musically, the increased instability offsets the prevailing stasis of the song to this point, and provides a greater sense of finality when the tonic and opening motive return in mm. 41-44.

"Herr, was trägt der Boden hier"

While increased tonal instability is used as a harmonic and formal device in "Nun lass uns Frieden schliessen," the reverse is true of the Spanish song "Herr, was trägt der
Boden hier" (see Example 8-2). The structure and content of the text of this song also govern Wolf's musical setting, but musical stability and instability interact in a different way. The text is in a question-answer format, as noted in Chapter 6 (a translation appears on pp. 331-332 above). After the two-measure piano introduction, each of the sinner's questions is set with four unstable dissonant chords (mm. 2-6, 11-14, and 19-22). Each of Christ's answers is also four measures in length (mm. 7-10, 15-18, and 23-26), yet each ends with more stability.

The opening of the song is very ambiguous from a tonal standpoint, although the first three harmonies point toward B minor: ii\(^{6}\) - V\(^{3}\) - i\(_{7}\). A descending series of chords that may only loosely be interpreted in the key of B minor ensues in mm. 3-6, culminating on V\(_{7}\)/B. The dissonant chromatic ornaments of the sinner's motive and its general descending contour depict his sorrow and anguish. The sequential and repetitive nature of this passage creates a degree of coherence in the absence of a clearly defined tonal center.

Christ, on the other hand, speaks primarily with root-position triads and a clearer sense of harmonic direction. The V\(_{7}\)/B ending m. 6 bears a double-chromatic third relation to the following D-minor triad, perhaps symbolic of the

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4For other interpretations of "Herr, was trägt der Boden hier," see Boylan, 203-211; and Campbell, 139-143.
Sehr langsam und innig.

Herr, was trägt der Boden hier?

"Dornen, Hebes, Herr, für mich, und für dich der Blumenzirr."

Ex. 8-2. "Herr, was trägt der Boden hier," Spanisches Liederbuch, Geistliche Lieder #9

(Example continued next page)
solche Bächer, nen, wird ein Garten da gedeih? „Ja, und wisse!

Kranzlein, gar verschoben; flieht man drinnen? O mein

Herr, zu wessen Zier win-dei man die Kränze? spricht „Die von Dornen

sind für mich, die von Blumen reich ich dir."

(N) C6+6 = V7/N N6 N6 V7 vi i19 V7 i1
space separating sinner and Redeemer. The D-minor triad temporarily upsets any sense of B minor that was created by V7/B in m. 6, yet Christ's words end with a clear cadence on V/B, signifying a shift from Christ's pain (mm. 7-8) to promised reward for the sinner (mm. 9-10).

A B-minor chord follows in m. 11, but its tonic effect is quickly undermined by the A#-minor chord in m. 12. The sinner's second question (mm. 11-14) is accompanied by the same series of chords found in mm. 3-6, now transposed up a major third and leading to V7/D# in m. 14 (the arrival of the A#7 is slightly delayed). It is interesting to note that the vocal melody sounds at the same pitch level in mm. 3-4 and 11-12 despite the transposition of the accompanying chords.

The V7/D# chord in m. 14 resolves deceptively to a B chord in m. 15 that could either be bVI/D# or I/B. Tonal instability intensifies in mm. 15-16 with the progression B - a# - E - G+. The A#-minor chord prevents B from returning as a tonal center, but does not strongly suggest D# either. The following E-major chord could be the Neapolitan of D#, but eventually proves to be the first appearance of the final tonic key. In retrospect all of mm. 16-18 can be interpreted in E major, with a firm arrival on V7/E ending Christ's second statement in m. 18.

The sinner's third question (mm. 19-22) is accompanied by a return of his dissonant motive, but with a significant
difference. Wolf does away with the ambiguous descent he used in mm. 3-6 and 11-14, and for the first time all four chords may easily be heard in the same key (E minor). This phrase concludes firmly on V/E, as did the preceding phrase.

Christ's last statement (mm. 23-26) contains the contrasting symbols "thorns" and "flowers" also found in His first statement (mm. 7-10). Wolf reflects this contrast more starkly the second time. The G octaves in m. 23 are ambiguous: they may be heard as an incomplete tonic triad in E minor or G major. The pain associated with the "crown of thorns" is graphically depicted by symmetrical contrary motion from G to the tritone E-A#. The "explanation" of this tritone as V7/N in E accompanies an explanation of the reason for Christ's sacrifice: the sinner's redemption. Wolf avoids confirmation of the tonic one last time with a deceptive cadence in m. 26, followed by an unequivocal E-major cadence: ii9 - V7 - I.

The text of "Herr, was trägt der Boden hier" had tremendous impact on the structure and style of Wolf's musical setting, and yet the influence of purely musical considerations may also be seen. Boylan maintains:

The general pattern of musical events described in measures 1 through 10 is repeated twice and thus gives rise to the illusion of ... strophic design ... . The design is weakened since tonal focus shifts in each section and also because the vocal line is varied in each section. The transient quality of tonal focus creates a sense of motion highly complementary to the poem. However, Wolf anchors this tonal fluctuation with
a remarkably ingenious organization. . . . the first section (measures 1-10) concludes with a cadence on F-sharp minor. The second section (measures 11-18) concludes with a cadence on B-major, while the final section (measures 19-27) concludes with a cadence of [sic] E-major. The dominant (F-sharp) to dominant (B) to tonic (E) macro-progression just described not only provides motion, but it also gives recognizable and relatively strong direction to the song . . . . In this case, the fluctuating and transient quality of tonality is anchored by the relatively stable tonal focus which emerges at the end of each musical section.  

The influence of purely musical considerations runs deeper than Boylan notes, however, even to the point of taking precedence over textual considerations. The first two questions of the sinner are set with a tortured chromatic motive that wanders through a series of loosely related harmonies. While this motive returns for the sinner's third question, its accompanying tonality is much clearer. Wolf does this for musical, not textual reasons. The content of this question does not differ significantly from the earlier ones, but its position in the song does. In order for the song to have a conclusive ending (as warranted by the text), Wolf evidently felt he must set up a strong arrival in E. Once Wolf points toward E in mm. 17-18, he never really leaves it. Instead, he gives the phrase in mm. 19-23

5Boylan, 210-211.

6In fact, Betty Campbell notes that this final question is the "most intensely demanding of an answer" (p. 142). Therefore, there is no textual reason for increased harmonic stability.
greater tonal stability than the corresponding phrases in mm. 3-6 and 11-14, despite the parallel textual relationships of these passages.

Tonal instability and instability interact in different ways in "Nun lass uns Frieden schliessen" and "Herr, was trägt der Boden hier." In the first song, mild tonal instability was inserted in strategic locations to shape the form of the song, and to counteract its prevailing tonal stasis. Each instance of increased tonal instability coincides with an increase of emotional tension in the poetic text. In "Herr, was trägt der Boden hier," on the other hand, an increased amount of tonal stasis is inserted into a passage that was extremely ambiguous in earlier appearances. In this particular instance, musical considerations seem to have outweighed poetic ones.

Wolf offsets the stasis of the repeated motive that opens "Herr, was trägt der Boden hier" by moving the motive to various pitch levels that are only loosely related. The same principle is active in the majority of his songs containing third cycles: a repeated melodic, rhythmic, and/or harmonic motive is presented in a series of third-related keys (refer back to Examples 7-19 through 7-23). The two elements are complementary, with the stasis of the repeated motive lending added coherence to the third cycle, and the third cycle creating motion within the series of static repeated motives.
Several of the examples presented in this study have exhibited "neighbor" chords: a chord that alternates with the tonic triad and shares at least one common tone with it. Neighbor chords are usually dissonant harmonies, such as the German sixth, ii\(^6\)_7, or vii\(^7\)/V. These chords are used to create a sense of motion without actually progressing away from the tonic, and may be viewed as tonic embellishments. In this role they are quite often used at the beginning of a song, as in Example 8-3. In this example the German sixth is used not as a dominant-preparation chord, but as an embellishment of the tonic.7

Ex. 8-3. "Wer sein holdes Lieb verloren," Spanisches Liederbuch, Weltliche Lieder #7

7 Figure 4-34 (from "Man sagt mir") contains a related example.
Neighbor chords are used to inject a kinetic element into an otherwise harmonically static progression. At times Wolf uses a single type of neighbor chord (as in Example 8-3), while on other occasions he uses a series of different neighbor chords, lending more motion to the passage. The Italian song "Wenn du, mein Liebster, steigst zum Himmel auf" begins with three differing sonorities used as neighbor chords over a tonic pedal (see Example 8-4): an incomplete vii\(^{0}\)\(^{7}/V\) (or vi\(^{0}\)\(^{6}\)) used as a common-tone diminished seventh.

Ex. 8-4. "Wenn du, mein Liebster, steigst zum Himmel auf," Italienisches Liederbuch #36
in m. 1, $ii^6_7$ in m. 2, and a complete common-tone diminished seventh (an enharmonic vii$^0_7$/V) in m. 3. Each of these chords may be viewed as altered supertonic harmonies (if $\hat{2}$ is accepted as the fundamental of vii$^0_7$/V), yet they serve as tonic embellishments rather than dominant preparations; they create motion while prolonging the tonic function.

It has also been noted throughout this study that strong dominant-preparation chords, such as the augmented sixth chords, the Neapolitan sixth, and secondary dominants of V, often proceed directly to the tonic in Wolf's music, in effect leaving out the dominant. The opening of the Spanish song "Geh', Geliebter, geh' jetzt!" demonstrates the subtle but important difference between this practice and neighbor chords, and also that many of Wolf's more chromatic passages are merely prolongations of a fundamental harmony (see Example 8-5).

The song opens in F# major with extensive nonessential chromaticism. The first two measures contain a prolonged V7 which resolves to I in m. 3. After the tonic has been established, neighbor chords appearing over a tonic pedal in m. 4 (German sixth) and m. 6 ($ii^6_7$) serve to prolong the tonic without moving away from it. An actual progression begins in m. 8 with a series of dominant-preparation chords: bVI - Fr+6 - ii$^6_7$. Once again Wolf reverses a traditional relationship: it is much more common in earlier practice for ii$^6_7$ to move to the French sixth rather than from it.
Massig bewegt.

lebhaft drängend

sehr zurückhaltend

Geh', Geliebter, geh' jetzt! Sieh, der Morgen dämmer.

Ex. 8-5. "Geh', Geliebter, geh' jetzt!" Spanisches Liederbuch, Weltliche Lieder #34
The tonic-fifth pedal returns in m. 10, over which viio\(_5^7\)/V is placed. The expected dominant never arrives, and the series of dominant-preparation chords in mm. 8-10 moves directly to the tonic harmony in m. 11. A clear sense of motion toward the dominant is felt in mm. 8-10, a sense created by the abandonment of the tonic pedal and the b6 - b\(^2\) bass line that results. Because of this expectation, the chords in mm. 8-10 may be considered dominant-preparation chords even though the dominant is left out. The neighbor chords in mm. 4 and 6, on the other hand, merely embellish the tonic function, and do not constitute a motion away from the tonic. While the chords in mm. 8-10 do not act as neighbor chords to the tonic, on another level of harmonic structure they also serve as embellishments of the tonic function because the motion away from the tonic that they indicate is not completed.

Neighbor chords are also frequently used as tonic embellishments at the end of songs, appearing after the final authentic cadence. The ending of the Italian song "Schweig' einmal still" is shown in Example 8-6, with an authentic cadence accompanying the conclusion of the vocal line in m. 21. The approach to this cadence contains several characteristic Wolfian features: the dominant ninth chord in m. 18, the deceptive resolution V\(_7^3\)/iv - N\(_6\), and the motion N\(_6\) - ii\(_6^5\), a traditional relationship in reverse. A piano postlude follows the cadence in m. 21, containing ii\(_6^5\)
Ex. 8-6. "Schweig' einmal still," Italienisches Liederbuch #43

and the German and Italian sixths as embellishing neighbor chords to the tonic. Once again, all of these chords may be
considered as different chordal qualities that share the supertonic root.\(^8\)

Another type of repeated progression that occurs often in Wolf's songs is the alternation of dominant-preparation and dominant-function chords. On occasion Wolf uses such repeated chordal pairs to prepare and emphasize an important arrival on the tonic, as in Example 8-7. Wolf is very traditional in this regard: b\(^6\) - 5 bass motions, like those seen in this example, were used to set up important tonal arrivals throughout the common-practice era. Much less traditional is the voice leading of the deceptive resolution V\(_{7}\) - G+6, in which the seventh (4) resolves upwards to #\(^4\) in the bass voice.\(^9\) At other times Wolf uses repeated progressions involving dominant-preparation and dominant chords in transient keys to indicate a tonal center without confirming it, as was noted in Chapter 6 (refer back to

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\(^8\)The notion that the augmented sixth chords are all altered supertonic chords was a commonly-held view in nineteenth-century theory, as noted in Chapter 2, pp. 141-151.

\(^9\)This bass motion is part of a chromatic line moving from the leading tone in m. 47 to the dominant in m. 53 (embellished by b\(^6\) in mm. 55-57). Although Wolf's harmonization of this bass line results in an unusual resolution of the seventh of the dominant harmony in m. 50, it is interesting to note that this resolution is the reverse of an irregular resolution that was common in earlier harmonic practice: in a succession of fifth-related dominant sevenths, it is not unusual for the leading tone of the first to descend chromatically to the seventh of the next. Wolf here resolves the seventh upwards chromatically to the leading tone (if E is taken as the fundamental of the German sixth).
zurückhaltend
vielleicht noch eh' an ih- ren Hu-fen das Ei-sen los wird, das ich


"Morgenstimmung," Example 6-3; "Hoffürtig seid Ihr," Example 6-5; and "Du denkst mit einem Fädchen mich zu fangen, Example 6-7).
The Italian song "Benedeit die sel'ge Mutter" is an interesting study in the interaction of static and kinetic elements and of text and music, and will serve as our final example (see Example 8-8). The ABA form of this song is very traditional but unusual for Wolf, who more often used through-composed or varied-strophic forms. The text and music of mm. 3-18 are repeated literally in mm. 36-51, with a contrasting middle section in the parallel minor mode occurring in mm. 19-35. These musical sections closely follow the structure and emotional content of the text, with the first stanza reflecting peace and the second violent longing:

Benedeit die sel'ge Mutter,  
Blessed be the happy Mother,  
die so lieblich dich geboren,  
who so lovely bore you,  
so an schönheit auserkoren  
so in beauty chosen  
meine Sehnsucht fliegt dir zu!  
my longing flies to you!  
Du so lieblich von Gebärden,  
You with such lovely gestures,  
du die Holdeste der Erden,  
you the fairest on the earth,  
du mein Kleinod, meine Wonne,  
you my jewel, my bliss,  
Bitte, benedeit bist du!  
My sweet, blessed are you!
Wenn ich aus der Ferne schmachte
When I languish from afar

und betrachte deine Schönheit,
and reflect upon your beauty,

siehe wie ich beb' und stöhne,
see how I tremble and groan,

dass ich kaum es bergen kann!
so that I can scarcely conceal it!

Und in meiner Brust gewaltsam
And in my breast violently

fühlt' ich Flammen empören,
I feel flames stirring,

die den Frieden mir zerstören,
which destroy my peace,

ach, der Wahnsinn fasst mich an!
ah, insanity seizes me!

(First stanza repeated)

The first section of the song reflects the peaceful nature of the first stanza of text. The piano's opening figure becomes a five-measure ostinato, evoking a reflective attitude with its even rhythm and repeated I - V₆ - IV₆ - V₆ progression. The V₆ - IV₆ motion is reminiscent of Wolf's frequent use of the retrogression in connection with religious themes, adding to the prayer-like atmosphere at the beginning of the text ("Blessed be . . ."). The vocal line is predominantly diatonic and hymn-like, with a frequent Db lending a modal touch to the melody if not to the accompanying harmony.

The ostinato is broken in m. 6 to allow a cadence on the dominant to accompany the end of the first textual
Ex. 8-8. "Benedeit die sel'ge Mutter,"
Italienisches Liederbuch #35
(Example continued next three pages)
Ex. 8-8, continued

Wenn ich aus der Ferne schmachtete
und betrachte deine Schönheit, siehe wie ich

... und stöhne, dass ich kaum es kann!

...
Ex. 8-8, continued

leidenschaftlich und etwas drängend

Und in meiner Brust gewaltig fühle ich Flammen sich em-

poren, die den Frieden mir zerstören, auch der Wahn sam fasst sich

an!

Be- na- det die sel'ge Mut- ter, die so lieb- lich dich ge- bo- ren,

I (mn. 3-18 repeated)
Ex. 8-8, continued

so an Schönheit aus er-kö-ren, mei-ne Sehnsucht fliegt dir zu!

Du so fühl-lich von Ge-bür-den, du die Hei-

...de ste der Er-den, du mein Kie-nad, mei-ne Wun-ne,

Sü-sse, be-ne-delt bist du!

V₇, IV₇, ii₇, I
phrase. The quarter-note rhythm of the ostinato continues almost without break throughout the first section of the song (marked "Ruhige Viertelbewegung"). An increase in harmonic tension is felt in the second phrase (mm. 7-10), with a raised-root motion toward the submediant in m. 7, and a motion toward the (minor) dominant in mm. 9-10. These motions and their concomitant increase in harmonic tension accompany a change of emotion in the text ("my longing flies to you"), and also serve to highlight the end of the first complete line of text. The first chromatic tone in the vocal line (Db) appears at the word "Sehnsucht."

The harmonic tension created in mm. 7-10 is released when the ostinato returns in m. 11. The ostinato is altered in mm. 12 and 13, where vi replaces IV₆ on the third beat, presaging the motion toward vi ending the phrase in m. 14. The fourth phrase (mm. 15-18) returns to the variant of the ostinato seen in the second phrase (mm. 7-10), but with a different tonal goal. In m. 7 Wolf moved toward the submediant, and turned back toward the tonic in m. 8. In m. 14 Wolf has already emphasized the submediant, so in m. 15 (corresponding to m. 7) he moves back to the tonic, and in m. 16 (corresponding to m. 8) he heads toward the subdominant. The subdominant motions in mm. 16 and 17 allow a further emphasis of Db in the vocal line, and lead to a strong cadence on the tonic in m. 18.
The first stanza is marked by tonal stability that reflects the peaceful tone of the text. Most of the harmonies are consonant major and minor triads, with chromaticism and dissonant harmonies being reserved for cadential approaches. The tonal center is never in doubt, with each motion away from the tonic easily heard in the context of Eb major.

A much different situation ensues in the second stanza, corresponding with the differing emotional content of the text. The poetic images become progressively more agitated, ranging from languishing in the first phrase, trembling and groaning in the second, violent passion in the third, to madness in the fourth. The peaceful, stable musical elements of the first stanza disappear, being replaced with more active counterparts.

Wolf changes to the minor mode, an immediate indicator of the mood swing. The triadic ostinato of the first stanza is replaced by a linear motive containing contrary motion, often chromatic. An increase in emotional tension is also reflected by the dissonant stretto imitation between piano and voice in m. 19. The predominant quarter-note motion of the first stanza is replaced by a composite rhythm moving mainly in eighth-notes. The consonant triads of the first

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10The motivic structure of this stanza is discussed by Bruner, 96-99.
stanza are replaced by dissonant seventh chords and more nonessential dissonance.

The clear tonal center of the first stanza is also lost after the Eb-minor tonic chord in m. 19. An unequivocal tonic chord does not return until the beginning of the third stanza in m. 36. Wolf creates mounting tension and excitement by raising the pitch level of the piano motive in m. 19 successively in mm. 20-22, with a concomitant rise in the voice line from Bb to Eb (and eventually on to Fb in mm. 28-29 and Gb in m. 30). The constant linear motion in these measures prolongs triads on several levels. In m. 19 there is a clear voice exchange within the Eb-minor triad between the left and right hands of the piano (similar voice exchanges are found throughout this section), while mm. 19-21 contain a long-term change of inversion within the Eb chord.

Changing Gb into G in m. 21 indicates a motion toward the subdominant, but an enharmonic reinterpretation of vii°⁷/iv at the end of m. 21 leads to bVI instead. This bVI chord in turn becomes the Neapolitan in Bb minor. Wolf avoids confirmation of Bb minor by repeated deceptive resolutions of its dominant: V - bVI - V - bVI - V - iv₆.

The stasis of this repeated progression is overcome by the prevailing tonal ambiguity and the expectation of an arrival on Bb. This vacillating progression accompanies the textual reference to trembling and groaning. The chords in m. 25
serve as pivots between the transient keys Bb minor and Gb major. After reaching V7/Gb in m. 26, Wolf turns back toward Eb minor through the raised-root deflection (Db - D) in m. 27.

Wolf first avoids the tonic in m. 27 through a deceptive resolution, and then overshoots it by making it V/iv in m. 28. The motion toward the subdominant is denied through yet another deceptive resolution when V/iv moves to the Neapolitan in m. 29. The approach to the climax of the second stanza in mm. 29-30 is marked with an increase in dissonant nonessential chromaticism. The Neapolitan on the downbeat of m. 29 contains the retardation G, while the dominant on the second beat is delayed through the addition of the dissonant A passing tone to the traditional tonic six-four. The third and fourth beats contain a chromatic voice exchange within the bVI chord that, combined with a passing tone and upper neighbor, creates a nonessential Db♭₆ on the fourth beat.

The climax of the second stanza is set with a sustained vii⁰⁷/V, and all harmonic motion ceases as madness grips the speaker. Repeated dominant-preparation and dominant chords (or repeated deceptive resolutions) return in m. 32 as the chromaticism of the upper piano part gradually

Once again note the simultaneous enharmonic spelling between voice and piano: A=Bbb. Bbb is used in the voice as a convenience, to avoid the succession A - Ab - A - Ab.
subsides, or, as Sams says, "the groans and sighs of thwarted love are heard calming and relaxing into a reprise of the opening strains." Stability returns with the repetition of the opening material, and the prayerful attitude of the text is reflected once more in the church-like retrogressive final cadence in mm. 52-53.

The repetition of the first stanza at the end of the song is significant. Not only is such a repeat unusual for Wolf, it does not appear in the original Heyse translation. An obvious question arises: Why did Wolf choose to repeat this stanza? There are both direct musical and indirect textual reasons why he may have done so. While many of Wolf's songs begin in a tonally ambiguous manner, all end with a clear tonal center (albeit perhaps on the dominant or in another key altogether). Wolf may have thought that a cadence in Eb at the conclusion of the second stanza would have been unconvincing, or that if too convincing it would be detrimental to his depiction of the emotional contrasts found in the text.

Wolf's solution to the problem was to have the speaker regain his composure and recapitulate his opening prayer. This allows Wolf to adequately portray strong emotion through tonal instability while freeing him from the

necessity of stabilizing the tonal center immediately thereafter for musical reasons, without textual justification. Repeating the opening stanza provides the necessary textual justification for a return of tonal stability.

Conclusion

In Wolf's songs there is significant correlation between the emotional content of a given text and the tonal stability of its musical setting, as the examples presented in this chapter have demonstrated. Wolf's songs are also governed by purely musical considerations that manifest themselves in various ways. In "Nun lass uns Frieden schliessen" increased tonal motion at strategic locations within the prevailing stasis shapes the overall form of the song, while in "Herr, was trägt der Boden hier" greater tonal stability is injected towards the end of the song for musical rather than textual reasons.

The repetition of the first stanza of "Benedeit die sel'ge Mutter" appears to result from musical considerations, but also allows a more accurate representation of each stanza of the text. Wolf's association of serenity and spiritual love with diatonic harmony and anguish and passionate love with chromatic harmony in this latter song is reminiscent of similar
associations in Wagner's *Parsifal*, which might well have influenced Wolf's setting.¹⁴

I have also sought in this chapter to determine how static and kinetic elements interact in Wolf's songs on purely musical grounds. Repeated progressions and pedal tones are major static elements of Wolf's style. Wolf creates tonal motion within a static pedal tone through nonessential chromaticism, neighbor chords, and emphasis of the subdominant as well as through placing other traditional progressions over the pedal. Neighbor chords are frequently found as tonic embellishments near the beginning and end of songs, creating motion within the tonic without actually progressing away from it. Nonessential chromaticism often appears within a dominant seventh chord, serving to prolong and embellish the dominant function.

Wolf's repeated rhythmic, melodic, and harmonic motives often move through a series of different pitch levels, and are a primary organizing device in his use of third cycles. In other instances, a repeated motive remains essentially at

¹⁴In Wagner's *Parsifal*, the contrast between diatonic and chromatic harmony is associated with various characters and symbols. The evil of Klingsor, the anguish of Amfortas, and the sorrowful and seductive natures of Kundry are all pictured through the use of chromaticism, while Parsifal's motive, the Grail motive, the beauty of nature (Act III), and the final redemption scene are all set diatonically. For further interrelationships between chromatic and diatonic harmony in *Parsifal*, see Carl Dahlhaus, *Richard Wagner's Music Dramas*, trans. M. Whittall (Cambridge: Cambridge University Press, 1979), 142–155.
the same pitch level, and motion is created through an alteration of the motive itself, as in "Benedeit die sel'ge Mutter." The middle section of this song also demonstrates how Wolf uses repeated pairs of dominant-preparation and dominant-function chords to indicate transient unconfirmed keys, or to delay establishment of a key. Although the repetition of these pairs is static, the resulting tonal ambiguity and its expected clarification create a sense of progression.

The question of whether the static or the kinetic elements came first is here taken as moot. It is not my purpose to determine whether Wolf's repetitions result from an attempt to lend coherence to his extended tonal style, or whether repetition was inherent in his creative nature and his novel tonal language grew out of efforts to create motion with a limited motivic vocabulary. Either way, Wolf combines static and kinetic elements to create a style that is uniquely his own, and the various levels of stability and instability found in his songs grow out his attempt to depict the poetic content of a given text.
SUSPENDED TONALITY

Tonal ambiguity and tonal instability play major roles in Wolf's harmonic language, and manifest themselves in various ways as the preceding chapters of this study have demonstrated. Wolf obscures the tonal center through prolonged absence of the tonic harmony, ellipsis of the dominant, or through irregular resolutions of traditional harmonic functions. Tonal instability is also created through rapid key shifts, or by juxtaposition of functions drawn from different keys. Wolf also undermines the stability of the tonal center through the use of color chords, by altering the quality of a chord built on a diatonic root in such a way that its relationship to the tonal center is not immediately apparent.

On other occasions Wolf employs a brief series of chords, usually of the same quality, whose functional relationship to each other and to the tonal center is ambiguous. When such a series is enlarged and given some form of sequential organization the tonal center of the passage is temporarily lost until the series ends and the original or a new tonal center is established through
traditional harmonic functions. Such chord successions result in "suspended tonality."

The term "suspended tonality" was coined by Arnold Schoenberg and used in direct reference to the music of Wolf:

As for suspended (aufgehoben) tonality, the theme is undoubtedly the crux of the matter. It must give opportunity for such harmonic looseness through its characteristic figurations. The purely harmonic aspect will involve almost exclusive use of explicitly vagrant chords . . . . There, to be sure, at any particular moment, a key may be unmistakably expressed, yet so lacking in support that it can be lost at any time. Examples from the literature are easy to find in the works of modern composers, as well as in sections of Bruckner's and Hugo Wolf's music.¹

Carl Dahlhaus elaborates on Schoenberg's concept of suspended tonality, and summarizes several ways in which it may occur:

What he meant by 'suspended' tonality is not easy to grasp. It is obviously a collective term for a number of phenomena: first, that the tonal centre, as in the Tristan prelude, remains latent, unexpressed, and is yet unambiguous; second, the rapid alternation between weakly defined keys, as is typical in the development sections of sonata-form and symphonic movements; and third, passages in which 'vagrant' (tonally polyvalent) chords like the augmented triad and diminished 7ths predominate. This last category comprises passages that are tonal insofar as the chords' origins in tonal harmony remain recognizable but where the tonality is 'suspended', because while

¹Schoenberg, Theory of Harmony, 384. For further information regarding Schoenberg's use of the term, see translator Roy Carter's explanatory note (n. 1) on p. 383. Similar terminology may be found in other studies of Wolf's music; for example, both Boylan (p. 55) and Bruner (p. 79) use the phrase "to suspend tonality."
the tonal relationships can always be worked out they hardly exercise any authority. The choice between different, theoretically possible centres cannot, or can only insufficiently, be justified and remains abstract and irrelevant to the musical perception.²

Suspended tonality is created most often in Wolf's songs through chromatic sequences or parallel successions of chords sharing the same quality. As with most aspects of his style, suspended tonality is not peculiar to Wolf, but appears frequently in his music and more often in unusual ways. This chapter begins by looking at the more traditional types of suspended tonality found in Wolf's songs before examining the more novel streams of augmented triads and chromatic sequences used by Wolf.

Series of Diminished Seventh Chords

Successions of diminished seventh chords had long been used by composers to cause tonal instability, often in particularly dramatic passages of operatic or other vocal works, or in the development section of instrumental sonatas. Example 9-1 contains the beginning of the development section of the final movement of Mozart's well-known Symphony in G minor, K. 550. The exposition ends in Bb (the relative major), and the development takes up in that key with a fragment of the main theme.

Ex. 9-1. Mozart, Symphony #40 in G Minor, K. 550, IV

An apparent vii\(^{0}7\)/V (E\(^{0}7\)) or V\(^{7}\)/V (C\(^{7}\)) is outlined in the second measure of the example, and is followed by a series of implied diminished seventh chords: B\(^{0}7\) - F\(^{#0}7\) - C\(^{#0}7\) - G\(^{#0}7\). Despite their spelling, each successive diminished seventh is heard as lying a half-step higher than its predecessor: E\(^{0}7\) - F\(^{0}7\) - F\(^{#0}7\) - G\(^{0}7\) - G\(^{#0}7\). The tonal
center is suspended until one of these diminished sevenths is finally resolved to a chord of a different quality, the A7 in the eleventh measure of the example. Through the ascending series of diminished seventh chords, Mozart passes the vii°7/V function from the key of Bb in the second measure to D minor in the eleventh measure.

Wolf also uses chromatic series of ascending diminished seventh chords, as in Example 9-2. The excerpt begins in A
minor, with vii\(^7\)/A appearing in m. 34. This G\(^\#\)\(^7\) is followed by D\(^\#\)\(^7\) in m. 35 and C\(^\#\)\(^7\) in m. 36, passing the leading-tone function to the key of D major (which is established by a cadence in mm. 37-38). As in the Mozart example, each successive diminished seventh chord lies a half-step higher, so that each moves in leading-tone fashion to the next.

The Omnibus

Suspended tonality also appears in the works of earlier composers in the form of chromatic melodic sequences. One such sequence that occurs with relative frequency has been called the "omnibus" by Victor Fell Yellin,\(^3\) whose ideas have recently been summarized and expanded upon by Robert Wason.\(^4\) In its basic form, the "classical" omnibus (as defined by Yellin) consists of a chromatic voice exchange between the root and third of a root-position and first-inversion major-minor seventh chord (see Example 9-3).

The second simultaneity in this sequence is also a major-minor seventh sonority, and moves as a German sixth to

\(^3\)Victor Fell Yellin, "The Omnibus Idea" (unpublished paper, 1976; expanded version of a paper read at the 1972 AMS meeting in Dallas, Texas), cited by Wason (see note following).

\(^4\)Wason, Viennese Harmonic Theory, 16-19. Discussions of this progression have also found their way into current harmony textbooks, such as Piston, Harmony, 4th ed. rev. and enl. by Devoto, 440-442; and Kostka and Payne, Tonal Harmony, 439-440.
the third simultaneity. The second simultaneity returns in a different inversion as the fourth simultaneity, with the fifth simultaneity being a return of the original major-minor seventh chord in a different inversion. The chromatic voice exchange serves to prolong the dominant function, creating nonessential harmonies as a byproduct.

Ex. 9-3. The Classical Omnibus

Yellin also speaks of an "extended" omnibus, in which one "classical" omnibus is interlocked with another, a process which could theoretically be continued indefinitely. Wason gives the following example of an "extended" omnibus (see Example 9-4), and notes that the ear now interprets the progression as a "composing-out" of a single diminished seventh chord. Yellin and Wason cite examples of the classical omnibus in the works of Mozart (Don Giovanni), Beethoven (Diabelli Variations), and Schubert (Piano Sonata in A Major, D. 664, third movement; Wason, 18.

Wason, 18.
Ex. 9-4. The Extended Omnibus

"Der Wegweiser" from Die Winterreise), and Wason credits the theoretical discovery and exposition of the extended omnibus to Abbé Vogler.  

The extended omnibus is not found in Wolf's songs, but he does use the classical omnibus on occasion. A full classical omnibus is found in mm. 39-40 of the Goethe song "Dies zu deuten, bin erbötig!" (see Example 9-5). The excerpt begins in B minor and returns to the home key of A major via D major in mm. 39-41. The omnibus is used to prolong V/D, moving from V₆ on the second beat of m. 39 to V₇ on the third beat of m. 40.  

Wolf also uses the classical omnibus in incomplete forms in which the effect of a chromatic voice exchange within a dominant seventh chord is lost. Two different incomplete versions of the classical omnibus occur in the opening measures of the Goethe song "Nimmer will ich dich verlieren" (see Example 9-6). The song opens with mild

\[\text{\footnotesize Wason, 19.}\]
tonal ambiguity, but the home key of A major emerges by the third measure. The chord ending m. 3 is first heard as V7/IV, but is spelled and resolved as a German sixth in C# minor, moving to i6 in m. 4. This apparent augmented sixth chord could be explained as part of an incomplete classical omnibus in which the first simultaneity is missing, although an A# does appear in the bass at the end of m. 1. The omnibus seems to be interrupted in this instance, with the
Sehr lebhaft und leidenschaftlich

Nimmer will ich dich verlieren!

Liebe gibt der Liebe Kraft.

Magst du meine Jugend zieren mit gewaltiger Leidenschaft.

Ex. 9-6. "Nimmer will ich dich verlieren,"
Gedichte von J. W. von Goethe #48
motion toward ii begun in m. 1 being taken up again in mm. 3-6.

Measures 8-9 contain a brief motion toward V (E major), followed by a modulation to G# that is embellished by an incomplete omnibus. The G# chord on the third beat of m. 9 could be a pivot, becoming a tonic six-four in G# minor. The following E7 chord could be V7/A or the German sixth in G#, and moves in raised-root fashion to a major-minor seventh on C#. These three chords (g# - E7 - C#7) bear the relationships found between the third, fourth, and fifth simultaneities of a classical omnibus, but they are not used to prolong a C#7. Instead, they result from nonessential chromaticism which prolongs V/G#, as evidenced by the sustained D# in the voice part and the arrival of D#§ on the second beat of m. 10.

Chromatic Harmonic Sequences

Suspended tonality may also be created through chromatic harmonic sequences that pass rapidly through a series of different tonal levels without confirmation of any one key. Traditional harmonic function is replaced by a repeating pattern of root movement, and tonal stability does not return until the sequence has run its course. The most extensive chromatic harmonic sequence in Wolf's Lieder occurs in the unpublished Lenau song "Abendbilder" (Example 9-7), written in 1877 when Wolf was sixteen years old.
"Abendbilder" is actually three songs that are connected by transitional passages and that are to be performed as a single unit. The chromatic passage seen in Example 9-7 occurs as the transition between the second and
third songs, and effects a modulation from C major to Eb major. After a clear cadence on C (downbeat of m. 79), a sequence of major triads begins, based on a root-movement pattern of an ascending minor third followed by a descending perfect fourth (an ascending perfect fifth in terms of root movement). Wolf runs completely through this cycle, returning to C on the second eighth-note of m. 81.

Wolf immediately begins another sequence, retaining the same bass line but altering the root-movement pattern to a descending major third followed by a descending perfect fourth. The sequence is broken in m. 82 when the E-major triad moves to a Bb7. This descending tritone root movement indicates the Neapolitan and dominant seventh of Eb major, the opening key of the following song.

The sequences in mm. 79-81 suspend the tonal center, and may not be viewed in any one key. A tonal center returns only when the root-movement pattern is broken and Eb is established in mm. 82-83. This passage is a special effect, a youthful attempt at word painting: the preceding line of text refers to a herd of sheep whose "bells join so lovely in joyful chords" ("ihre Glöcklein stimmen so lieblich ein zu frohen Akkorden").

Earlier composers also use chromatic harmonic sequences as special effects on occasion. Example 9-8 contains an excerpt from the second "Trio of Fates" from Rameau's opera Hippolyte et Aricie ("Quelle soudaine horreur," Act 2, Scene
5). The unusual chromatic sequence contained in this passage occurs within the context of a G-minor tonality.

Ex. 9-8. Rameau, "Quelle soudaine horreur" from Hippolyte et Aricie, Act 2, Scene 5 (Example continued next page)
departing from and arriving on the dominant D in mm. 28 and 39. The root-movement pattern is similar to that of Example 9-7, consisting of an ascending major third (rather than
minor) followed by a descending fourth. The sequence resembles a series of minor chords preceding rather than following their dominants. Notice also the staggered chromatic descent in each voice part and the numerous enharmonic spellings in the accompaniment (as on the third beat of m. 31).

The text accompanying and preceding this passage is revealing: "Your destiny fills us with sharp horror! Whither do you run, poor wretch? Tremble, shake with fright!" Rameau cites this passage as an example of his "diatonic-enharmonic genre," and acknowledges its use as a special effect:

... we had found the means of inferring a melody formed from the diatonic-enharmonic genre in the second Trio of Fates in the Opera Hippolyte et Aricie, which promised us much by its relation to the [dramatic] situation."8

The ambiguity of this passage suspends the sense of a tonal center until the sequence concludes in m. 39, with the lack

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8Rameau, Génération harmonique, 154. (... nous avions trouvé le moyen d'inferer dans le deuxième Trio des Parques de l'Opera d'Hipolyte & Aricie un chant formé du genre Diatonique Enharmonique, dont nous nous prométions beaucoup par rapport à la situation ...). Rameau goes on to bemoan the fact that not all of the singers were capable of rendering the passage correctly, so that he had to alter it for performance although he left the passage in its original version in the published score. Since the opera was published in 1733 and the Génération in 1737, it might be tempting to say that Rameau's theory of the diatonic-enharmonic genre was developed to explain this passage. Rameau's first mention of the diatonic-enharmonic genre appears in the 1728 preface of Nouvelles suites de pièces de clavecin, however, so it is more likely that the passage was written to put the theory into practice.
of a firm tonal center clearly reflecting the text: the "poor wretch" runs without an apparent goal, as does the accompanying chromatic sequence.

The First-Inversion Series

In addition to chromatic harmonic sequences, Wolf also introduces suspended tonality into his songs through parallel stepwise successions of chords of the same quality. The traditional use of the diminished seventh chord in this fashion has already been mentioned, but more common in Wolf's music are extended parallel successions of other chordal qualities. Such parallel chord streams are frequently in first inversion, forming what might be termed a "first-inversion series."

Not all first-inversion series result in suspended tonality, with largely diatonic streams of first inversion chords being quite common in the works of Wolf's predecessors. A diatonic first-inversion series may result from melodic doubling, as in the opening of the last movement of Beethoven's Sonata in C major, Op. 2, No. 3 (Example 9-9). The parallel first-inversion series in this example supports rather than undermines the C tonal center.

Similar first-inversion series are found on occasion in Wolf's songs as special effects. In the Rückert song "Die Spinnerin," first-inversion series are used to portray a young girl's restlessness: "O sweet mother, I cannot spin,
I cannot sit in the little chamber in this narrow house" (see Example 9-10). A descending diatonic first-inversion series begins in m. 4 and ends before the cadence on the dominant in m. 5. A further descending series, beginning in m. 6, has one chord that may not be understood strictly in the key of A minor (the F#-major chord on the second eighth-note of m. 7). This chord is inserted so that Wolf does not reach V/A too soon, and does not affect the tonal stability of the passage. Other textual images that Wolf depicts with largely diatonic first-inversion series include a girl's laughter in the Eichendorff song "Die Zigeunerin" and the scampering of mice in "Mausfallen-Sprüchlein" from Sechs Lieder für eine Frauenstimme.

Although the tonality of the foregoing examples remains relatively stable, suspended tonality results when a first-
A series of major-major seventh chords in first inversion is used. 

Ex. 9-10. "Die Spinnerin," Sechs Lieder für eine Frauenstimme #3
appears in the Spanish song "Trebbe nur mit Lieben Spott" (see Example 9-11). The song opens in G minor, and moves to the dominant in m. 5 (note the irregular resolution of $V^6_{iv}$ to $V_7/N$ in m. 4). The Eb$^6$ chord beginning m. 6 is heard as the Neapolitan of D, but the tonal center is suspended when the following first-inversion series ensues: Eb - E - F - G.

A degree of tonal stability returns in m. 7 with a functional progression pointing toward Bb: bVI$^6$ - ii$^6$ - V. The first-inversion series resumes in m. 8, however, taking up where it left off: G - Ab - A - Bb. The series breaks off in m. 9, and G minor is firmly reestablished by the cadence in the eleventh measure. Measures 6-8 have no clear tonal center, aside from the unconfirmed motion toward Bb in m. 7. Tonal centers are clearly established on either side of the first-inversion series, but the tonality is suspended while the series is in effect.

A similar series built on the same chord roots appears in the Spanish song "Bitt' ihn, o Mutter," in this instance using major-minor seventh chords (see Example 9-12). Eric Sams also notes the textual and musical connections between these songs:

It sounds as though Wolf had been reminded, perhaps by the idea of Cupid in both poems, of "Trebbe nur mit Lieben Spott," dated eleven days earlier. The key, the opening melodies, and especially the chains of first inversions with added semitonal clashes (at "was man sagt, o Mutter" here and at "Magst an Spotten nach
Erstes Zeitmass.

Gefallen" in "Treibe nur mit Lieben Spott", are the very same chords) make it clear that the same thematic material is being unrolled again. This may have been intentional, to suggest that the singer of this song was the girl addressed in "Treibe nur mit Lieben Spott", and that the prophecy that she will one day in her turn be mocked by Cupid has been duly fulfilled. On the other hand it was Wolf's normal practice in the songbooks to juxtapose those unrelated texts into which he has introduced a deliberate thematic relationship... and it seems that this may well be an example of involuntarily recomposing an earlier inspiration.9

While the series begins on the same pitch (Eb), there is a significant difference between the related passages in these songs. The Eb of "Treibe nur mit Lieben Spott" was first heard as the Neapolitan of D, while the Eb of "Bitt' ihn, o Mutter" is approached through a raised-root deflection from V7 of B minor. Suspended tonality is operative in both songs, however. The Eb chord in m. 29 of Example 9-12 is first heard as V6/vi in the transient key of B minor. This sonority is then passed chromatically upwards: Eb - E - F - G - Ab - (Gb - Ab) - A - Bb - (A - Bb). One expects that one of these major-minor sevenths will eventually resolve as a dominant in the appropriate key, but the Bb7 that concludes the series resolves instead as a German sixth in the key of D minor.

Different types of tonal instability are thus seen in this song. Although the tonal center is ambiguous before the series begins (B minor is not truly established), clear

9Sams, The Songs of Hugo Wolf, 281, n. 2.
Ex. 9-12. "Bitt' ihn, o Mutter," Spanisches Liederbuch, Weltliche Lieder #16
(Example continued next page)
Ex. 9-12, continued

Mut-ter, bit-te den Kna-ben, nicht mehr zu zie-len,
weil er mich be-fet.

D: $I_2 \quad I_{110^6} I_{110^6} I_{110^6} I_{110^6} I_{110^6}$

V $v_{1/2} \quad V_{10^6} V_{10^6} V_{10^6} V_{10^6} V_{10^6}$

$E_{10^6} V_{1/3}$
functional relationships within the key of B minor may be found between the chords of mm. 27-28. The key of D that follows the series is not established either, although the chords in mm. 37-41 clearly function in D.

This is not true of the chords in the series in mm. 29-36, and tonality is suspended until the Bb chord resolves in m. 37. This is not to imply that the series is "nonfunctional," but rather that a function from one key is prolonged by being passed through various tonal levels before resolving in another key, albeit with an enharmonic reinterpretation in this example. The resolution of the Bb7 as a German sixth is anticipated by the repeated chordal pairs in mm. 31-34. Major-minor seventh sonorities a half-step apart (as the repeated G and Ab chord in m. 31 and the A and Bb chords in mm. 34-35) are commonly found between the V7 and German sixth chords of a given key, and Wolf frequently uses these chords in alternation (refer back to "Du denkst mit einem Fädchen mich zu fangen," Example 6-7).

"Gesegnet sei, durch den die Welt entstund"

The chromatic ascents used in "Treibe nur mit Lieben Spott" and "Bitt' ihn, o Mutter" accompany similar textual ideas, as noted in the quotation above. A chromatic series of major-minor seventh chords is used in the Italian song "Gesegnet sei, durch den die Welt entstund" ("Blessed be he, through whom the world came into being") to accompany a list
of the Creator's creations, interestingly enough also
beginning on an Eb chord.10

"Gesegnet sei, durch den die Welt entstund" is a
microcosm of many typical Wolfian devices.11 The song
begins and ends in Eb major, although the first and last
chords are the only clear tonic-function chords in that key
(see Example 9-13). Wolf immediately undermines the home
key by moving through a series of secondary tonal levels.
The subdominant is emphasized by its augmented dominant
seventh in mm. 1-2, followed by an emphasis of V in m. 3 and
vi in m. 4. The progression in mm. 3-4 demonstrates the
origin of the raised-root deflection in the deceptive
cadence: as the 4-3 suspension within the dominant seventh
is resolved, the root of the chord is raised, leading to a
stronger emphasis of vi in m. 4 (decorated with a 6-5
suspension).

The tonal center shifts suddenly to D major in mm. 5-6,
and a fanfare-like figure accompanies the text "how
excellently he created it on all sides!" The pitch D is
heard alone in the voice at the end of m. 6, and serves as a

10 While not all of Wolf's chromatic parallel chord
series begin on Eb (see, for example, the Goethe song
"Genialischen Treiben" and the Italian song "Lass sie nur
gehn"), it seems more than coincidental that three of the
most extended examples do so.

11 The musical and poetic structure of "Gesegnet sei,
durch den die Welt entstund" is also discussed by Boylan,
225-232; and Edwin Hantz, "Exempli gratia: Crying Wolf; or,
Whipping an Old Dog," In Theory Only 1/4 (July 1975), 24-25.
Breit und majestatisch. \(J = 88\).

Gesegnet sei, durch den die Welt entstand; wie trefflich schuf er sie nach allen Dimensionen!

Sei ten! Er schuf das Meer mit endlos tiefem Grund, er schuf die...

Ex. 9-13. "Gesegnet sei, durch den die Welt entstand,"

Italienisches Liederbuch #4
(Example continued next page)
Ex. 9-13, continued

Schiffe, die hinüber gleiten, er schuf das Paradies mit ewigem Licht,— er schuf die Schönheit und dein An...gsicht.

Eb: V7/vi

L.I.

v6 5 6 6 IV6 5 6 VI7 5 6 IV4 ii 2 I
common tone between the D-major triad and the following Eb major-major seventh chord that is locally the Neapolitan of D, but also is a long-term reference to the home key.

The chromatic chord succession begins quietly in m. 7 and continues until m. 12. After the initial Eb major-major seventh chord, four successive major-minor sevenths are heard: E7 - F7 - F#7 - G7. The last chord in the series is an Ab-major triad whose arrival is delayed one beat, and which turns out to be IV/Eb. Wolf prepares the return of Eb by leaving the minor seventh off of the Ab chord, and by placing it in first inversion to create a stronger bass-line arrival on V/Eb: 6 - b6 - 5. The return of tonal stability in mm. 12-13 coincides with an explanation of the motivating basis behind this song of praise: "He created beauty and your face." Wolf briefly overshoots the tonic to set up an extended plagal cadence in mm. 15-17.

Edwin Hantz offers three explanations for the chromatic chord succession in mm. 8-11:

One possible, though questionable, functional analysis of these measures claims that each of these "dominant sounding" chords is the German sixth of the preceding chord ... ... 

A more plausible functional analysis asserts that the chord succession in question can be considered ... ... a chain of deceptive cadences. The progression from measure 11 to the second beat of measure 12 lends credence to this interpretation, as this progression clearly sounds like V7 - bVI (despite the somewhat unorthodox voice-leading). The absence of a "predicted" Gb in the Ab triad of measure 12 breaks the chain, fortuitously on a diatonic triad in Eb.
A final, and substantially different, approach to the analysis would suggest that the "harmonies" of measures 8-11 have no harmonic function (or similarly, whatever function is suggested by the individual sonorities, chord "structures," is "denied"). From this viewpoint, the succession of chromatically rising "quasi-dominants" has primarily a linear function—to transfer the eb\(^1\) up an octave to eb\(^2\), returning the voice to the opening register of the song.\(^{12}\)

The fact that some support may be found for each of these explanations underscores the problem posed by the chromatic chord succession for a functional analysis; the succession derives coherence more from its sequential (Hantz's "linear") nature than traditional harmonic function.

The chromatic chord succession in mm. 7-11 is deployed to emphasize the structure of the text, as Boylan asserts:

The musical organization of this section is based on sequence thus generating a feeling of regularity and balanced motion. Notice that the poetry also exhibits an aspect of regularity since each of the poetic lines at this point begin with the words "Er schuf" ["He created"] . . . . Furthermore, the breaking of the sequence in measure 12, throws into particular relief the last poetic line which Wolf obviously wanted to highlight.\(^{13}\)

The song as a whole illustrates several common aspects of Wolf's tonal practice. Mild tonal instability is created in the first four measures by constant shifts in the direction of tonal focus. Wolf moves away from the tonic in these measures, and avoids confirmation of the tonic through

\(^{12}\)Hantz, "Crying Wolf," 25.

\(^{13}\)Boylan, 230-231.
the extended deceptive cadence in m. 4. When the expected
authentic cadence follows, it is abruptly placed in a
foreign key. Tonal instability returns with the
functionally ambiguous Eb chord of m. 7, and any feeling of
an overriding tonal center is suspended throughout the
chromatic succession in mm. 7-12. Clear functional
relationships resume following the chromatic sequence, and
the song ends firmly in Eb major.

The Augmented-Triad Series

The most striking and novel way in which Wolf
introduces suspended tonality in his songs involves streams
of successive augmented triads. The augmented triad is an
ambiguous sonority in its own right. It, like the
diminished seventh chord, is a symmetrical structure,
dividing the octave equally into major thirds. Because all
of its intervals are the same size, the chord has no aurally
distinct inversions (by interval structure), and has only
four aurally distinct transpositions (disregarding
register).

The augmented triad occurs in several functional
contexts, which enhances its inherent ambiguity: it appears
in the extended diatonic minor system on the third scale
degree as a dominant substitute (bIII+); the augmented triad
also serves a dominant function when formed by raising the
fifth of the dominant triad (V+); and the augmented triad
may be used as a dominant-preparation chord (IV+, bVI+), as noted in Chapter 4. On rare occasions the symmetrical nature of the augmented triad is used to effect an enharmonic modulation, as in Example 9-14. This excerpt is drawn from the unpublished Heine song "Wie des Mondes Abbild zittert" (1880), and the enharmonic pivot occurs in m. 27.

Ex. 9-14. "Wie des Mondes Abbild zittert," Unpublished, Text by Heinrich Heine
A tonic six-four in A major appears on the downbeat, and an enharmonic A+ results when E moves to F on the third quarter note. This initially sounds like V+/IV in the key of A, but resolves as V+/V back in the home key of Eb major.

The augmented triad therefore exists on the fringes of the traditional tonal system, appearing only as a substitute for, or an alteration of, something else. Intense tonal ambiguity ensues when this sonority is pushed to the forefront and used successively at different pitch levels. Parallel streams of augmented triads disrupt any sense of traditional harmonic progression, and in effect suspend functional tonality until traditional harmonic functions return.

Successions of augmented triads are occasionally found in the works of previous nineteenth-century composers (especially Liszt, as in the opening theme of his Eine Faust-Symphonie), and they occur in at least twelve of Wolf's songs. The present investigation of these songs has revealed several consistencies in Wolf's use of consecutive augmented triads: (1) adjacent augmented triads are almost always a half-step apart; (2) while Wolf's other chromatic chord successions usually ascend, the prevailing motion within a series of augmented triads always involves a

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14 For a discussion of Liszt's use of the augmented triad, see Allen Forte, "Liszt's Experimental Idiom and Music of the Early Twentieth Century," 19th-Century Music X/3 (Spring 1987), 209-228.
chromatic descent or repetition of adjacent pairs of augmented triads; (3) certain bass-note patterns tend to predominate (I hesitate to use the term "root movement" due to the symmetrical nature of the chord); and (4) consecutive augmented triads are used in association with texts which describe bizarre, supernatural, or mysterious phenomena, or which express extreme emotional or physical sensations or disorientation (also noted by Boylan).¹⁵

"Bei einer Trauung"

The Mörike song "Bei einer Trauung" provides concise illustration of suspended tonality created through

¹⁵Both Jarosch (pp. 93-94) and Boylan (pp. 43-47 and 54-56) discuss Wolf's streams of augmented triads and note that some of these passages are sequential, but neither provides a comprehensive comparison or classification of Wolf's organization of the augmented-triad series. Boylan's comments are taken into account below. Jarosch has little to say about the augmented-triad series, yet he offers (p. 93) a different opinion of its effect on tonality than that presented here:

... [it] in no way constitutes suspension of the tonality. On the contrary, the augmented stands clearly for the usual triad and ... [the series] acts as simple connection of the subdominant with the tonic--both with altered fifth--, usually continued in whole-tone sequence.

Jarosch offers no justification for finding tonic and subdominant functions within the augmented-triad series other than concluding that Wolf's harmony always works within the boundaries of tonality. (... ist keinerlei Aufhebung der Tonalität zu konstatieren. Im Gegenteil, der Übermässige steht deutlich für den gewöhnlichen Dreiklang und ... stellt sich als einfacher Verbindung der Subdominante mit der Tonika--beide mit alterierter Quint--dar, meistens in einer Ganztonsequenz weitergeführt.)
consecutive augmented triads (see Example 9-15). Although the song is entitled "At a Wedding," the fact that this is not a happy occasion is indicated by the minor key and funeral march in the piano accompaniment. The F-minor tonal center of the first nine measures is extremely stable due to the tonic pedal and clear progressions within the key. Typical Wolfian features in the first nine bars include the Gr+6 - V\(\frac{3}{2}/V\) motion in m. 4 (pivoting on the common tritone B-F), the dominant ninth sonority in m. 6, the deceptive resolution of V/iv to the Neapolitan in m. 7, and the chromatic nonessential ornaments in mm. 3, 5, 7, and 9.

After a cadence confirming F minor in m. 9, the Ab triad in m. 10 has the effect of a direct modulation to the relative major. When the fifth of this triad is enharmonically raised (Eb - Fb), we expect one of Wolf's frequent I - V+/IV - IV progressions in the key of Ab. This augmented triad could also be bIII+/F, but the tonal center evaporates when a new augmented triad enters on the downbeat of m. 11, followed by five other augmented triads in mm. 12-15.

No attempt has been made in the analysis to show these augmented triads in relation to a tonal center because such a series of chords cannot be understood in terms of traditional harmonic progression. Instead, each chord is designated by an Arabic numeral depending upon its pitch content: any augmented triad which contains the pitch class
C is labeled as "1," those containing C# as "2," those with D as "3," and those with D# as "4." The actual spelling of the chords is relatively insignificant when they are used in succession: while the chords are spelled in various inversions, they all sound the same. The use of Arabic numerals is a convenient means for defining motion within a given series, and for comparing one series with another. The pattern in the present example consists of a chromatic descent: 1-4-3-2-1-4-3.

Registral placement is another factor to be considered in augmented-triad successions. While each triad in the series may be theoretically designated as descending by half-step, in actuality the bass note of each chord lies a minor third higher than its predecessor (except for octave displacement of the chord beginning m. 15). Wolf creates contrary motion within the series by contrasting the descending chromaticism of the upper parts with ascending minor thirds in the bass.

Wolf exits the series in mm. 15-16 by changing the "inversion" of the Gb+ chord (3), placing Bb in the bass. The chord may now be viewed as a Bb-augmented triad that moves in raised-root fashion to vii°7/V in m. 16. Traditional harmonic functions in the key of F minor return in mm. 16-22, and the song closes firmly in the original key. The song begins and ends with a clear tonal center,
Langsam und mit Humor.

Vor lauter hoch-ad-ligen Zeugen

ko-pu-Hertman ih-fer Zwei; die Orgelklang voll

Gel- gen, der Himmel nicht, meh' Treu!

(Example continued next page)
Seht doch, sie weint ja greulich, er macht ein Gesicht ab.

Denn leider freilich, freilich kei-ne Lieb's landich da-bal.

Ex. 9-15, continued
but the tonal center is suspended during the series of augmented triads in mm. 10-15.

"Bei einer Trauung" demonstrates that Wolf does not form augmented triads into streams in a random fashion, but rather organizes them sequentially. The sequential chordal relationships are combined with sequential organization of the bass line and repeated rhythmic and melodic motives to lend coherence to the passage. These factors replace traditional harmonic function as the organizing principle of the chord succession.

The unusual effect of the augmented-triad series is used to depict strong emotional images in the poetic text:

Vor lauter hochadligen Zeugen
Before honest and exalted witnesses

die Orgel hängt voll Geigen,
the organ sounds of strings,

Der Himmel nicht, mein' Treu!
but heaven does not, I trust!

Seht doch, sie weint ja greulich,
See yet, she weeps horribly,

er macht ein Gesicht abscheulich!
he makes an abominable face!

Denn leider freilich, freilich
For unfortunately but certainly, certainly

keine Leib' is nicht dabei.
there is no love present.

The first half of the text contains only a hint that all is not well, and is set with relative tonal stability in mm. 1-
9. The apparent shift to Ab major in m. 10 leads to the expectation that music more appropriate to a wedding has begun, but that expectation is lost when the second augmented triad appears in m. 11 at the word "greulich" ("horribly"). The series of augmented triads accompanies the description of the unhappy bride (weeping horribly) and groom (abominable expression).

Other Examples

Other Wolf songs have series of augmented triads organized along similar lines. The Goethe song "Mignon II" ("Nur wer die Sehnsucht kennt") contains the descending chromatic series 3-2-1-4-3-2-1-4-3 (see Example 9-16). This song is characterized throughout by tonal instability created by vague harmonic progressions and nonessential chromaticism, but tonal ambiguity reaches its height in the series of augmented triads accompanying the text "Es schwindelt mir, es brennt mein Eingeweide" ("My head swims, my bowels burn"). Boylan offers the following explanation of Wolf's means of compensating for the intense tonal instability of this song:

The placement of dominant-sounding sonorities at crucial structural points [mm. 8, 17, 21, 47, and 56] seems to be Wolf's closest gesture to actual tonal focus. Between these points of repose on the dominant sonority, harmonic progression is nonfunctional . . . .

As with so much of Wolf's chromatic harmony, linear construction, sequential groupings, and rhythmic organization, require primary attention with the resultant harmonic sonorities being
understood within the larger context of motion from and to points of tonal and harmonic clarity. Clarity, in this case, results from the delineation of the formal structure with dominant sonorities. In the extended piano interlude beginning in measure 33 and ending in measure 44, Wolf freely juxtaposes augmented triads. The harmonic progression, which is nontonal, is organized through intervallic sequence and rhythmic ostinato. The nontonal quality of this section is made very congruous by the simplicity of the musical organization.\(^1\)

While Boylan's comments are apposite and enlightening, the harmonic progression is not as "nonfunctional" as he suggests. In the excerpt shown in Example 9-16, the keys of Ab, Db, and Eb vie for dominance in mm. 28-32 (and throughout much of the song), with Db receiving more emphasis. The C7 at the fermata in m. 25 marks the end of an unconfirmed motion to F, and the opening material of the song returns at the original pitch level (Ab) in m. 26. As in the first measures of the song the Ab chord quickly becomes V+/Db in m. 28, resolving to Db in a staggered fashion. A further subdominant motion (to Gb) is suggested by the Db\(_7\) in m. 29, but is avoided through the raised root deflection V\(_7\)/IV \(\rightarrow\) V\(_\#\)/ii. The German sixth of Db resolves to an Ab minor triad (v) in m. 33, again avoiding confirmation of Db. The Gb-augmented triad in m. 33 could be bIII+/Eb in relation to the chords in the preceding

measure, or an altered subdominant in Db, but Wolf instead uses it as the first of a series of augmented triads.

As in "Bei einer Trauung," Wolf gives the series a degree of coherence through repeated melodic motives and a

(Example continued next page)
Ex. 9-16, continued

allmählich ruhiger werdend

\[ Gb_6 \quad \text{4} \]

nach langsamer

Erstes Zeitmaß

(inng)

Nur wer die Sehnsucht kennt, weiss, was ich lei

\[ g^1 \quad N_6 \quad v_5 \quad I_4 \quad bVI \quad N_6 \quad V_7 \]

53

\[ V_7 \quad \text{dim.} \quad \text{ppp} \]

\[ (bVI) \quad v \quad bVI \quad iv_{7-6} \quad v \]

op \quad op \quad op
sequential bass line. The rising-fifth/falling-semitone motive in the piano in mm. 32-33 is repeated sequentially in mm. 34-39, and is imitated by a sequential bass line that rises a minor third and then falls a semitone (Bb - Db - C, transposed to Eb - Gb - F in mm. 35-36 and altered to Ab - Bb - Bbb in mm. 38-39).

The ascending contour of mm. 35-37 levels out in mm. 38-39 as the imitating bass line catches up, with the series of augmented triads being interrupted by the Gb chords in m. 38 (giving the temporary impression that the series has ended approximately where it began). In mm. 40-45 Wolf changes direction: he inverts and expands the upper piano motive, and the resumption of the augmented-triad series is given a descending contour. The emotions of the speaker are thus heard to swell and gradually subside, leading to a repetition of the opening line of text in mm. 49-53.17

The augmented-triad series ends on an ambiguous G sonority in mm. 45-46. The chord initially sounds like a French sixth, but an enharmonic G major-minor seventh chord is formed when Db moves to Ebb. This chord does not clarify the tonal center, but moves with staggered voice leading to a major-minor seventh on Db in mm. 47-48, with which it shares a common tritone (B-F). The Db chord is left hanging in m. 48 and could be V7/Gb or the German sixth of F, with

17A similar emotional arch was noted in the Italian song "Benedeit die sel'ge Mutter" in the preceding chapter.
both of these regions having been heard as potential tonal centers earlier in the song. Although the chord does not truly "resolve," it moves to an apparent C-minor chord in m. 49 (it is not until the last eighth-note of the measure that we learn this is actually an Ab chord), echoing the similar motion in mm. 31-32. The juxtaposition of the Db and Ab chords in mm. 48-49 might also be described as a deceptive resolution of a German sixth (equivalent to Gr+6 - bIII in the key of F minor). A clear sense of harmonic function finally returns in mm. 49-57, and the song ends on the dominant of G minor.

On other occasions Wolf eases in and out of an augmented-triad series in a much more functional way, as in the well-known Mörike song "Das verlassene Mägdlein."18 The song begins in A minor, with a modal shift to A major occurring in m. 13. The A-major tonic harmony alternates with a C# major-minor seventh chord in mm. 13-18 (see Example 9-17). The neighboring C# chord acts as a dominant substitute, or, as Stein asserts, "the function of V is

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understood even as the precise meaning of the substitute chord is enigmatic."\textsuperscript{19}

The tonal center shifts abruptly to Ab in m. 19, corresponding with a shift in the text from "Beautiful is the shine of the flames, the sparks fly" to "I stare at them, absorbed in sorrow."\textsuperscript{20} The Ab tonic chord alternates with its augmented dominant in mm. 19-22, and a descending chromatic augmented-triad series spins off V+/Ab in m. 22, resulting in the pattern 4-3-2-3-2. The last chord in the series (m. 26) also has (in retrospect) a clear function, serving as V+ in the following key of Bb.\textsuperscript{21} Thus the augmented-dominant function is passed sequentially from Ab in m. 22 to Bb in m. 26, with the repeated progression in mm. 23-25 being a continuation of those in mm. 13-22. The progression in mm. 27-34 is analogous to that in mm. 19-26, with V+/Bb beginning a further augmented triad series in m. 30: 2-1-4-1-4. The G+ in m. 34 acts as V+/E, which is gradually transformed into V7/A to prepare the return of the home key.

\textsuperscript{19}Stein, \textit{Hugo Wolf's 'Lieder,'} 9.

\textsuperscript{20}The direct modulation in mm. 18-19 contains the same chords found in mm. 48-49 of Example 9-16. In both cases the chords are directly juxtaposed without a strong sense of progression from one to the next.

\textsuperscript{21}Also noted by Berry (p. 138); and by Leon Plantinga: "tonally indeterminate augmented triads ... are used exclusively [in mm. 22-26], quite obliterating the tonal center, and in the following music [mm. 26-30] they act vaguely as a substitute dominant to Bb" (p. 457).
Schön ist der Flammen Schein, es springen die Funken, ich schaue
so da-rein, in Leid ver-sun-ken.
Plötz-lieh, da kommt es mir, treu-lo-ser Kna-be, dass ich die
Nacht von dir ge-trän-zeit ha-be.
The augmented-triad series in "Das verlassene Mägdlein" are based on the principles found in "Bei einer Trauung" and "Mignon II." Each of these series temporarily suspends the tonal center, each consists of a chromatic descent, and each is unified through sequential bass lines and repeated melodic and rhythmic motives. Each also accompanies texts with strong emotional content: sorrow and anger in "Bei einer Trauung" and "Das verlassene Mägdlein" and violent passion and pain in "Mignon II."

Passion and pain (albeit less violent) are also depicted with an augmented-triad series in the Mörike song "Nimmersatte Liebe," in which two young lovers have kissed themselves sore (see Example 9-18). An expected arrival on Ab is interrupted by the third-related Gb chord in m. 29, and the following Db+ sounds like V+/Gb but ushers in a brief augmented-triad series instead: 2-1-4-3-2-1. The bass line is sequential, first falling a semitone and then rising a minor third (with octave displacements), and the series is further unified by repeated melodic and rhythmic motives. Boylan describes the structure and function of this passage as follows:

... the principle of organization is that of sequence based on changes of register. The triads are not related in a functional sense, since their tendencies are never clarified with a resolution. The first and last measures of the example contain half-cadences in the principal tonality of A-flat major. Between these points, Wolf is able to suspend tonality and thus heighten
the dramatic (in this case, perhaps melodramatic) quality of the words.22

This example ends differently than those presented above, with the fifth of the final augmented triad being lowered (C - Cb), resulting in a Fb-major triad that functions as bVI/Ab (m. 35). The cadence in Ab that was interrupted in m. 28 is completed in mm. 36-38, with the series in between suspending the tonal center and acting as a chromatic interpolation within functional progressions in Ab.

Other augmented-triad series organized in the same fashion as those discussed above include the succession 3-2-3-2-3 in the Mörike song "Abschied" (with the text "you will grant that this is an aberration"); the succession 3-2-3-2-3-2 in the Mörike song "Lied vom Winde" (appearing as the wind says "we have travelled for many years through the wide, wide world"); the successions 1-4-1-4-3-2-3-2 and 4-3-2-1-4-3-2-1 in the Goethe song "Grenzen der Menschheit" (with the texts "if he raises himself upward to touch the stars with the top of his head, then nowhere clings his unsteady soles, and clouds and wind play with him" and "a small ring circumscribes our life, and many generations link in lasting succession" [note the cyclical structure of the second series and the accompanying textual images]); the succession 3-2-1-4-3 in the Goethe song "Gutmann und

22Boylan, 55.
immer erregter

küss-ten. Das Mäd-chen bliet in gu-terRuh', wie's Lämm-lein un-term

ves I 6 vii 6 1 2 2

ritard. -

Messer; ihr Au-getal: nur Im-mer zu, je we-her, desto

bes-ser!

So ist die Lieb, und war auch so, wie

Ex. 9-18. "Nimmersatte Liebe," Gedichte von Eduard Mörike #9
Gutweib" (with the mysterious text "the lamp was out, the hearth had died away, nothing was to be seen or heard"); the succession 2-1-2-1 in the Goethe song "Die Spröde" (with the text "she looked at him roguishly for a while"); the succession 2-1-4 in the Italian song "Ihr jungen Leute" (with the text "Do not let him sleep under the open sky, he is so delicate he might become ill"); and the successions 3-2-1-4-3 and 4-3-2-1-4-3 in the Italian song "Mein Liebster ist so klein" (accompanying a curse in the text).23

Wolf's series of augmented triads always descend chromatically, with a possible exception found in the Mörike song "Zur Warnung" (see Example 9-19). This song begins with a chromatic series of augmented triads, and is the only Wolf song to do so. The home key of the song is indicated by the first two pitches (A and G#), but the following augmented triad on G (4) destroys any sense of A. The next triad in the series (3) is not explicitly present, yet it might be inferred from the F# passing tone ending the first measure.

Augmented triad 2 appears on the downbeat of the second measure, and 1 might be implied by the C and E passing tones if the A in the "alto" voice were not sustained. Augmented

23The augmented-triad series seems to have been a rather transient phase in the course of Wolf's compositional career. Such series are not found in his surviving early unpublished songs, and are concentrated in the Mörike and Goethe volumes. They do not appear at all in the Spanish songs, and only twice in the Italian songs.
triads 4 and 3 enter on the third beat, followed by a brief succession of chords functioning in the key of Ab minor: Fr+6 - i6 - vii07/V. A possible motion toward C is indicated by the Italian sixth and vii07 of that key, or the F# could be viewed as nonessential. Either way, the same diminished seventh chord is sustained and embellished throughout m. 3.

The augmented-triad series in this example does descend, but there are apparent gaps: 4-3-2-1-4-3. Wolf repeats the series a tritone higher beginning in m. 4, with the key of D minor being indicated in mm. 5-7. Because of the tritone transposition, the diminished seventh chord sustained in these measures is the same as that in m. 3, with the ambiguous F# returning in m. 7. Wolf repeats the succession at the original pitch level in mm. 8-10, and the diminished seventh chord that has been heard as a potential vii07/V in the two tritone-related keys of D and Ab now proves to be vii07/A minor, with the home key finally being established at the cadence ending m. 11.

Wolf uses the tonal ambiguity of the augmented-triad series and tritone-related unconfirmed keys in the opening of this song to portray the physical and emotional sensations experienced by a poet who awakens with a hangover. The arrival of tonal stability in m. 11 prepares a change of dramatic content in the text as the poet writes and performs a song. The remainder of "Zur Warnung" is
Sehr langsam (schleichend und trübe.)

Ein - mal nach einer lustigen Nacht

war ich am Morgen seltsam aufgewacht:

Durst,

(Example continued next page)
Ex. 9-19, continued

Wasser-scheu, un-gleich Ge-blüt; da-bei ge-rührt und

weichlich im Ge-nüt, bei-nah po-e-tisch, ja, ich hat die Mu-

so um ein Lied. Sie, mit ver-stell-ten Fa-thos, spot-tet mein,

gas mir den schnö-den Da-fel ein:
appropriately set with a much-clearer tonal center, remaining largely in the home key of A minor. As in the other songs discussed above, the augmented-triad series opening "Zur Warnung" is sequentially organized, with repeated rhythmic and melodic motives providing a degree of coherence in the absence of a clearly defined tonal center.

Conclusion

The examples presented in this chapter demonstrate the common ways in which Wolf temporarily suspends traditional harmonic function, including chromatic melodic and harmonic sequences and parallel chord successions. In these examples, sequential organization of melody, rhythm, or harmony replaces traditional harmonic progression, creating a cogent musical structure despite the concomitant tonal ambiguity created by the sequence. Many of these sequences are extensions of traditional progressions, such as first-inversion series, successions of diminished seventh chords and dominant seventh chords, chromatic harmonic sequences, and the chromatic voice exchange found in the omnibus progression.

The augmented-triad series is more peculiar to Wolf, and we have seen that he is very consistent in his handling of it. A chromatic descent (or repetition thereof) is always found in these series, although the actual registral placement of each chord may result in an ascending contour
overall. Repeated melodic and rhythmic motives also accompany the augmented-triad series, with the bass line usually being sequentially organized as well, often moving in contrary motion to the upper parts. Finally, Wolf consistently introduces the augmented-triad series in association with texts describing strong emotional or physical sensations or supernatural events.

"Seufzer"

When Wolf suspends traditional harmonic function, other elements of musical structure come to the forefront, primarily melodic and harmonic sequences. By way of concluding this discussion, we will examine how traditional harmonic function and suspended tonality interact in what may well be the most tonally ambiguous of all of Wolf's songs: the Mörike song "Seufzer" (see Example 9-20). The text of this song expresses the anguish of failed religious faith:24

Dein Liebesfeuer, ach Herr!
Thy lovefire, ah Lord!

wie teuer wollt' ich es hegen,
how dearly I wanted to tend it,

wollt' ich es pflegen!
I wanted to nourish it!

---

Hab's nicht geheget und nich gepfleget,
I have not tended and nourished it,

bin tot im Herzen, o Höllenschmerzen!
I am dead at heart, o pains of Hell!

The key signature of "Seufzer" suggests E minor, although this key is not established until the final measure of the song. The song opens with a chromatic voice exchange within a major-minor seventh sonority similar to that found between the second through fifth simultaneities of the omnibus: D#-E-F in the upper part and F-E-Eb in the bass. The voice exchange is somewhat obscured by staggered voice leading, and by the time the F arrives in the bass the upper voice has already moved on to E. The staggered voice leading and the falling fifth (C - F) in the bass also tend to obscure the fact that this is a fairly common voice exchange which is often associated with the German sixth: G+6 - i6 - G+6. This succession would seem to indicate the key of A minor, although it could be a dominant augmented sixth in the key of E minor, as Ernst Kurth suggests:25

The harmony is . . . D#-F-A-C, an alteration of the diminished seventh chord of E minor; the long-held E of the upper voice is a chromatic passing tone to F, even though this [F] is an altered tone in the chord. . . . Yet the first measure hints at another interpretation: it appears first of all as if VII/E would move on to IV/E with the second quarter-note, in which case the bass tone

25Kurth discusses the song in G minor; I have transposed all references in the translation that follows to facilitate comparison of his comments with Example 9-20.
would be a passing tone to E. . . . [Yet] the swell to the forte with the second quarter-note and the diminuendo until the end of the motive, suggest that Wolf felt the second tone of the melody, the E, as a passing tone that strives for F . . . .

Kurth finds a connection between the opening chord and the remainder of the song by explaining the initial sonority as an altered dominant-function harmony in what will prove to be the concluding tonality of the song. Whether or not the first chord is accepted as indicating E minor in a harmonic sense (many nineteenth-century theorists would consider its fundamental to be B as it is first spelled), it does presage the eventual arrival of E minor in a purely melodic fashion: E is emphasized by its leading tone in the first two pitches of the upper part.

The opening sonority remains ambiguous from a tonal standpoint since it is not clarified by resolution: it might be the dominant of Bb or a German sixth in A (in fact, it is spelled both ways), or, as Kurth asserts, an altered dominant in E, yet it does not resolve as any of these. The

26Ernst Kurth, Romantische Harmonik, 198. (Die Harmonie ist . . . fis-as-c-es, eine Alteration des verminderten Septakkords von g-Moll; das langgehaltene g der Oberstimme ist chromatisch durchgehender Spannungston vor dem as, trotzdem dieses im Akkord selbst Alteration ist. . . . Aber der erste Takt spielt noch gegen eine andere Auffassungsart hinüber: es scheint zunächst, als würde sich mit dem zweiten Viertel g VII nach g IV weiterbewegen, wobei der Basston als Spannungston zu g wäre. . . . dem Schwellen zum Forte mit dem Zweiten Viertel und dem Diminuendo gegen das Motivende, weist Wolf darauf, dass er den zweiten Melodieton, das g, als Spannungston empfindet, der in das as strebt . . . .)
voice exchange in mm. 1-2 is repeated in mm. 3-4, after which a chromatic sequence beginning on Db ensues, pivoting on F as a common tone. The Db chord temporarily dispels any

\[ \text{Ex. 9-20. "Seufzer," Gedichte von Eduard Mörike #22} \]
(Example continued next page)
Ex. 9-20, continued

Ich es hegen, wollet ich es pflegen!

Hab's nicht gehangen und nicht gepflegen, bin tot im Herzen... e Höllen schmerzen!

e: V\^{1} \ bVI_{5} \ N_{6} \ \frac{vii}{v} \ V_{7} \ bVI_{5} \ N_{6} \ bVI_{7} \ ii^{6}

bVI_{7} \ N_{6} \ C66 \ V_{7} \ (iv_{6} \ IV_{6}^{0} \ iv_{6}) \ N \ i

op
sense of A minor or E minor. Although it could be interpreted as bIII/Bb, the following chromatic sequence does not clearly point to any one tonal center.

Staggered voice leading and chromatic passing tones also affect the sequence in mm. 5-8, and obscure to some extent its underlying structure: a chromatic ascent in first-inversion triads from Gb in m. 5 to A in m. 8. Each of these triads is preceded by its dominant in second inversion, with the chromatic passing tone in the bass on the second beat of mm. 5-7 passing through the minor third of each triad on the way to the major third. The pitches introduced on the last beats of mm. 5-7 create apparent augmented triads, but merely anticipate in each case the root of the following third-related dominant chord.

The sequence is altered slightly in m. 8: the E in the middle voice is sustained, and the upper part moves to Bb, reversing the role of these voices in mm. 7-8 and resulting in a fully diminished seventh on E. Although the sequence could end on A, one of the potential tonal centers for mm. 1-4, the E diminished seventh prevents A from assuming a tonic role by moving in common-tone fashion to a major-major seventh on C. While it is obvious that the C chord marks the end of the sequence, its interpretation is not immediately evident since it does not sound like the harmonic goal of the sequence.
The next four measures (9-12) clearly function in the key of E minor, and the return of the opening motive in m. 13 is given a new potential explanation: the C in the bass is elongated, and sounds initially like the root of an altered submediant triad in E minor, echoing the deceptive resolution V - bVI\(_7\) in mm. 10-11. The addition of the vocal line to the opening motive provides a chord tone (A) which was missing in mm. 1-4, but does not clarify the function of this sonority.

Measures 13-16 proceed like mm. 1-4, moving again to a Db sonority for the beginning of another chromatic sequence. This sequence is both an accelerated and an extended version of that in mm. 5-8. The first measure is the same, but in m. 17 the A is left out of the bass and the Eb arrives a beat earlier than before. The pitch level of the third measure of the earlier sequence (m. 7) is skipped over, and m. 19 assumes its role a half-step higher. Measure 20 is analogous to m. 8, and m. 21 is a further statement of the original motive. Strict sequential motion is broken in m. 22, and for the first time no common tones are held between the last chord of one measure and the first chord of the next.

The acceleration of the sequence lends a greater sense of urgency to the passage, further intensified when the sequence is broken in m. 22. This harmonic crescendo builds toward an expected climax, and culminates in the deceptive
resolution opening m. 23 as the key of E minor returns. A sonority built on F is finally given a clear functional context, appearing as the Neapolitan of E in mm. 23, 25, 27, and 30.

A partial explanation for the ambiguous motive in mm. 1-4 is also found in the final measures of the song. The opening melodic motion D# - E - F now receives a degree of resolution as the role of D# and F as chromatic neighbor tones to E becomes apparent in the upper line of mm. 28-30: D# - F - E, with F - E also appearing in the bass in mm. 30-31. Wolf provides one last conflict between A and E in these final measures, and the role of A as subdominant emerges in mm. 29-30, delaying the arrival of the tonic in m. 31 on a local level as it did on a deeper level at the beginning of the song.

Traditional harmonic function is operative in an obvious way only in mm. 9-12 and 23-31 of "Seufzer." The tonal center of the remainder of this song is in a suspended state, with the clearly sequential nature of the melodic lines and chord succession providing organization and structure in the absence of a clearly defined tonality. The overall tonality of the song is expressed in a novel way by the chromatic sequences, and in a way that may be seen as an extension of one of the most fundamental organizing principles of musical form throughout the common-practice era.
The first two notes of the song emphasize E, and also mark the beginning of a chromatic ascent which will serve as an organizing element in mm. 1-9. The opening D# - E - F is repeated in mm. 3-4, and then F is transferred an octave lower in m. 5. The ascent continues throughout the sequence in mm. 5-8 (F - Gb - G - Ab - A - Bb) and culminates on B in m. 9, at which point a clearly functional E-minor progression begins. By m. 12 the opening D# is put in place again, and the process starts over in m. 13.

The acceleration and expansion of the sequence in mm. 17-22 allows a continuation of the chromatic ascent that was interrupted on the dominant pitch in m. 9. The climax of the song coincides with the completion of this line in mm. 22-23 (D# - E), and a return to functional progression in the key of E minor. When viewed in light of taking the stable harmonic progressions in mm. 9-12 and 23-31 as being the goals of the preceding unstable chromatic sequences, and thus serving as points of division in the form of the song, a two-part antecedent-consequent relationship emerges. This relationship is seen in the interruption of the chromatic ascent on the dominant pitch in m. 9 at the entry of the voice part, followed by a repetition (or resumption) of the chromatic ascent in m. 13 that culminates on the tonic pitch at the climactic moment of the song in m. 23.

In this way Wolf expands on a fundamental principle of traditional compositional practice, and yet creates
something radically new from it. In neither instance does
the goal pitch occur immediately as the root of its own
chord, and yet the appropriate chord appears at the end of
both stable sections (mm. 12 and 31). While the chord
successions in the unstable sections of this song are
extremely ambiguous and may not progress toward a clear
harmonic goal in traditional ways, Wolf retains the time-
honored principle of harmonic progression in which a motion
is begun, interrupted at the dominant, begun again, and
completed on the tonic.
CHAPTER 10

CONCLUSION

Hugo Wolf's songs contain a rich and varied harmonic language, the vocabulary of which is rooted for the most part in traditional harmonic practice. Wolf's language differs from traditional practice in its grammar and syntax through the novel ways in which he combines traditional harmonic elements to create musical structures that are uniquely his own. The principles of harmonic function operative in Wolf's songs are the same as those governing the music of the master composers of the eighteenth and nineteenth centuries: a sense of harmonic progression and tonality is established through contextual relationships (root progression, chord quality, and voice leading) among the vertical sonorities from which music of the period is constructed. These principles are fundamental to Wolf's style, and he uses them as landmarks in his indigenous tonal landscapes. Through these guideposts, Wolf's more adventuresome and ambiguous passages remain coherent musical structures.

Tonal instability, misdirection, and ambiguity are the hallmarks of Wolf's style. Wolf frequently uses the more contextually dissonant sonorities, those that have a greater
urge to move and resolve; in other words, those that have the clearest harmonic function, such as the major-minor seventh, the diminished seventh, and altered dominant-preparation chords such as the Neapolitan sixth and augmented sixth chords. Wolf's music is thus very goal-oriented, but the exact goal may remain unclear or never actually appear. This apparent paradox is essential to an understanding of Wolf's music: he uses those chords that most strongly indicate a given tonal center, yet he may never confirm that key through its tonic harmony. The harmonic tension that results is perhaps the most important lesson Wolf learned from Wagner.

Avoidance of the tonic harmony is the primary means by which tonal ambiguity arises in Wolf's songs, and is an important aspect of his personal harmonic style. Other aspects include irregular resolutions and groupings of traditional harmonic functions, ellipses of the dominant, vague harmonic progressions in which the strongest harmonic functions are avoided or remain unresolved, reinterpretations of harmonic functions, and rapid key shifts. Tonal ambiguity may also result from the use of color chords created by altering the quality of a chord founded on a diatonic root so that its relationship to the tonal center is not immediately apparent, or through suspended tonality brought about by chromatic sequences and parallel chord successions.
Tonal instability and ambiguity exist on many different planes in Wolf's music, exemplified on a simplest level by the frequency with which Wolf uses irregular resolutions of the dominant seventh. The tonic resolution is by far the most common in traditional harmonic practice, followed by the deceptive resolution (V - vi or, less commonly, V - IV₆), with other resolutions (primarily transferrals of the dominant function from one region to another, such as V₇ - V₇/vi) running a distant third. In Wolf's songs, on the other hand, irregular resolutions come to the forefront, and a dominant seventh is just as likely to resolve to another scale degree as to the tonic. The most common of these are the deceptive resolution and resolutions involving a root movement by descending third (V - V/vi [the raised-root deflection] and V - bIII). Wolf uses these gestures with secondary dominants to a greater extent than earlier composers, often using several in succession and thereby constantly shifting the direction of tonal focus and obtaining a richer vocabulary of secondary tonal levels. By doing so, Wolf expands the tonal resources of a given key without actually leaving it, yet at the same time opens the possibility that a modulation will take place.

Wolf extends irregular resolution and grouping to other traditional functions as well. Within the course of a harmonic progression, dominant-preparation chords such as V/V, vii⁰/V, the Neapolitan sixth, or the augmented sixth
chord often proceed directly to a root-position or first-inversion tonic harmony, in effect leaving out the dominant. This obviously requires alteration of traditional voice-leading principles, particularly in the bass voice. In addition, the use of altered dominant-preparation chords as neighbor harmonies to a reiterated tonic harmony is a major facet of Wolf's style. Retrogressive resolutions of the dominant are not unusual, and Wolf frequently employs pairs of dominant-preparation chords in reverse of their traditional order, as when an augmented sixth moves to V/V or when V/V moves to ii° (again affecting traditional voice leading). Finally, the augmented sixth chord is an especially frequent sonority in Wolf's songs. While Wolf uses the augmented sixth chord in traditional ways, he also employs the chord in irregular positions and with irregular resolutions, both of which result in changes of the voice leading traditionally associated with the augmented sixth. Furthermore, unusual qualities of the augmented sixth chord are relatively frequent in Wolf's songs; in fact, any sonority that contains a minor seventh might be treated as an augmented sixth chord (see m. 31 of Example 9-14, in which the minor seventh of iv7 is spelled and resolved as an augmented sixth, with the progression iv7 - I thus resembling a deceptive resolution of an unusual augmented-sixth sonority).
The concept of tonal misdirection, approaching a chord as one thing and then providing it with an alternate interpretation, lies at the very heart of Wolf's style, and is an important issue in an investigation of his music. Many of the analyses presented in this study have dwelt upon the numerous possible explanations for a given chord or series of chords within the overall context of a song. Any chord within an established key may suddenly assume a different purpose, functioning on a secondary level or as a pivot chord into a foreign key. The major-minor seventh and diminished seventh chords are especially frequent pivot chords, primarily due to their special enharmonic capabilities. Wolf also places a marked emphasis on the Neapolitan as a pivot chord: any major triad (and sometimes minor) may be reinterpreted as the Neapolitan of another region.

Reinterpretations of these types are a major feature of Wolf's rapid key shifts, which are in turn a fundamental element of his style in general. Rapid key shifts often involve keys that are not confirmed by their tonic harmony; such transient keys are most often indicated by the chords within that key that are the most readily identifiable, including the dominant seventh and the Neapolitan sixth and augmented sixth chords. Wolf often interlocks functions drawn from different keys, so that two or more largely unconfirmed tonal centers are placed in conflict until one
or the other is eventually established. It is not unusual for transient keys to persist throughout an entire piece, with the last chord of a song being the only clear tonic-function harmony.

Wolf expands on traditional harmonic function through his increased use of substitution, best evidenced by his use of chords built on the third degree of the minor mode. Wolf substitutes bIII+ for the dominant to a greater extent than his predecessors, and treats bIII+ as a fundamental harmony in its own right by placing the chord in root position and often supplying it with a seventh. In Wolf's songs, b♯ - ♩ often replaces the traditional 5 - ♩ fundamental-bass progression as a means of tonicization, both on primary and secondary levels. On the other hand, bIII appears as a tonic substitute in both the major and minor modes more frequently in Wolf's music than in traditional harmonic practice, and in a different way: he more often uses bIII as a direct substitute for the tonic without reference to the relative major.

Wolf also expands on traditional harmonic function through his use of color chords. The most common of these unusual sonorities are [bvi], bVI+, IV+, [iv♯]7, IVb7, and iv♯7, all of which may be viewed as altered dominant-preparation chords. Each of these chords may result from the impetus that gave rise to the more traditional augmented sixth chords, the Neapolitan sixth, chords of mode mixture,
and secondary dominants: the desire to enrich the harmonic vocabulary and voice-leading possibilities of a given key without actually leaving it. Wolf's color chords usually retain the function (and fundamental-bass progression) of the diatonic fundamental harmony for which they are substituted. Since the turn of this century such "altered" chords have been classified and documented by many theorists, yet these chords have not truly been accepted as members of the expanded diatonic system alongside the established minor-derived altered dominant-preparation chords (such as the Neapolitan sixth and augmented sixth chords).¹ They are used as such by Wolf, as this study has demonstrated through numerous examples that explore the harmonic contexts in which these chords might appear.

The vast majority of Wolf's harmonic progressions may be explained in terms of traditional harmonic functions within a single key or through a series of rapid key shifts. Brief passages of color chords are found in Wolf's songs in which the local function of each chord is not immediately apparent, and chords are juxtaposed for the contrast they provide to their surroundings. On still other occasions, traditional harmonic function is suspended by chromatic melodic or harmonic sequences and through parallel chord successions. When Wolf suspends tonality, he replaces

¹See, for example, Schoenberg, Structural Functions of Harmony, especially pp. 38-43.
traditional harmonic progression with sequential organization of melody, rhythm, and/or harmony.

Wolf is consistent with the patterns he uses in passages exhibiting suspended tonality. Most of his first-inversion series and successions of diminished seventh and dominant seventh chords rise chromatically, while all of his streams of augmented triads descend chromatically. Passages containing suspended tonality are usually flanked on either side by more or less clearly established keys and traditional harmonic function, and are often organized by motives that have been heard before the chromatic sequence begins.

Repetition is an important characteristic of Wolf's style, and his songs provide fascinating studies into the interaction of motion-creating devices and more static elements. While Wolf tends to avoid large-scale repetition as a formal technique, repetition of small melodic, rhythmic, and harmonic motives (usually chordal pairs) is prevalent and often pervasive.

Wolf fends off the stagnant effect that might result from these motives in two primary ways: the motive might contain within itself motion-creating rhythmic, melodic, or harmonic factors; or the motive might be placed in various tonal levels in a more or less sequential fashion. The latter principle is usually operative in Wolf's symmetrical third cycles and chromatic sequences, in which a repeated
motive lends added coherence to the sudden tonal shifts, and the tonal shifts provide motion and interest in what might otherwise be a static passage. The former principle is exemplified by Wolf's frequent nonessential chromaticism, staggered voice leading, and embellishing neighbor chords, all of which may create motion within prevailing harmonic stasis.

Although the current effort has focused on chord progression as a local phenomenon within a key and on the connection of adjacent keys, and not on overall tonal structure, we may note a few of the ways in which the relationship of keys in Wolf's songs differs from traditional modulatory practice. First and foremost is Wolf's lack of emphasis on the dominant region: in many of his songs the dominant is never an important tonal goal. Second is his use of progressive tonality: many songs end in a key other than the one in which they began, often in the dominant region. In addition, many of Wolf's songs clearly end on a dominant harmony within the prevailing tonality. In both cases, the resulting incomplete or open-ended tonal structure is consistently found in association with poetic texts that are characterized by some unresolved element. Thirdly, adjacent third-related keys are very common, and symmetrical cycles of third-related keys appear on occasion. Such cycles almost invariably ascend, and are almost invariably based on a major third between major keys.
Finally, we note that Wolf's tonal schemes are governed by conventional key relationships to a far lesser extent than traditional harmonic practice. Wolf's modulatory schemes are much less consistent: many songs contain only the closely related keys or those that may be reached through modal interchange, while others emphasize foreign keys (such as "Gesegnet sei, durch den die Welt entstund" [Example 9-13], in which the only established region outside the home key is built on the leading tone!). Wolf often weaves his peculiar key schemes with little concern for traditional tonal relationships. In the typical Wolfian song, form is of secondary importance to content and may be viewed as a direct result of it. For Wolf, as the dramatic and emotional progression of the text should be reflected in the character of the music, so should it also be reflected in the tonal scheme of the song.

In all aspects of his compositional practice, ranging from unusual sonorities and irregular resolutions through rapid key shifts, third cycles, tonal stability/instability to suspended tonality, Wolf's musical creations were motivated by the structure, pictorial images, and emotional states contained in the text he was setting. The present study has focused on the ways in which the resulting musical structures make sense as music, and yet has also noted the consistency with which Wolf sets certain types of texts with certain types of compositional techniques.
To return to the question of how Wolf's music differs from that of his predecessors, this study has found that he differs not so much in what he does, but in the frequency with which he does it. While earlier composers worked largely within the established conventions of a clear tonal paradigm, Wolf twists and manipulates these conventions to serve his current purpose and thereby forges his own unique style, which is characterized by tonal ambiguity and constant shifts in the direction of tonal focus. In Wolf's songs the irregular becomes regular, the rare becomes commonplace, and the exception often becomes the rule.
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