

## Further Considerations of the Continuous $\wedge^5$ with an Introduction and Explanation of Schenker's Five Interruption Models

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### **Article:**

Schenker’s works span about thirty years, from his early performance editions in the first decade of the twentieth century to *Free Composition* in 1935.<sup>1</sup> Nevertheless, the focus of modern scholarship has most often been on the ideas contained in this last work. Although *Free Composition* is indeed a monumental accomplishment, Schenker's early ideas are insightful and merit further study. Not everything in these early essays was incorporated into *Free Composition* and some ideas that appear in their final form in *Free Composition* can be traced back to his previous writings. This is the case with the discussion of interruption, a term coined only in *Free Composition*.

After the idea of the chord of nature and its unfolding, interruption is probably the most important concept in *Free Composition*. In this work Schenker studied the implications of melodic descent, referring to the momentary pause of this descent prior to the achievement of tonal closure as interruption. In his earlier works he focused more on the continuity of the line itself rather than its tonal closure, and used the notion of melodic line or melodic continuity to address long-range connections.

Lately, the Schenkerian idea of interruption has been greatly discussed and debated, as several scholarly articles have sparked further interest in this topic.<sup>2</sup> I have argued elsewhere that there are five models for Schenkerian interruption, although only three are traditionally accepted.<sup>3</sup> The present article addresses Schenker's models of interruption, focusing particularly on one of the most unusual cases, what I call the "continuous  $\wedge^5$ ." The significance of this work is to show that, in light of Schenker's own writings (including his earlier works), all five models have theoretical support and should be considered viable for analysis.

### **Schenkerian Interruption Theory**

By closely examining Schenker's works, one might conclude that interruption defines Schenker's idea of binary structures. Strictly speaking, the most remote background is an uninterrupted unit. For binary forms, however, interruption constitutes the first transformation of a vital background. (In Schenker's view, interruption occurs at the first middleground level and on all subsequent levels.) In Schenker's critical writings, five types of interruption may be identified in relation to binary forms: from  $\wedge^3$ , from  $\wedge^5$  (two types), and from  $\wedge^8$  (two types); although only three of these have been considered viable models. Briefly, in the commonly accepted interruption models from  $\wedge^3$  and  $\wedge^5$ , the fundamental line unfolds and eventually descends to  $\wedge^2$  over V at the end of the first part of the structure. In the only model from  $\wedge^8$  accepted by Schenker, the line moves down to  $\wedge^5$  over V at the point of interruption and from there it descends to  $\wedge^1$  at the second part of the divided structure. Again, these are the three types of interruption that are normative and most commonly associated with binary-form paradigms (the model from  $\wedge^8$  appears less frequently than the other two). The two additional types of interruption are considered non-normative. One of them does not appear in *Free Composition*, while the other does appear but is considered impossible. Table 1 summarizes all five types.

TABLE 1. Five types of interruption

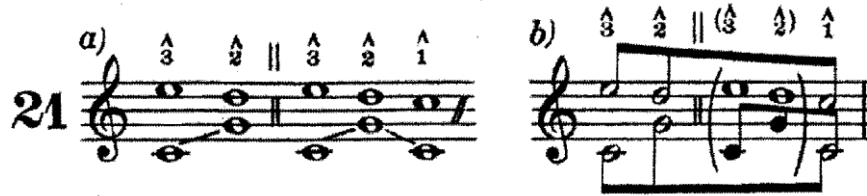
|  |
|--|
| <p>a) <b>From <math>\hat{3}</math></b></p> $\hat{3} - \hat{2} // \hat{3} - \hat{2} - \hat{1}$ $I - V // (I - V) - I$   |
| <p>b) <b>From <math>\hat{5}</math>: Common Type</b></p> $\hat{5} - \hat{4} - \hat{3} - \hat{2} // \hat{5} - \hat{4} - \hat{3} - \hat{2} - \hat{1}$ $I - ii^6 - V_4^6 = \hat{5} // (I - ii^6 - V_4^6 = \hat{5}) - I$  |
| <p>c) <b>From <math>\hat{5}</math>: Continuous <math>\hat{5}</math></b></p> $\hat{5} - \hat{5} // \hat{5} - \hat{4} - \hat{3} - \hat{2} - \hat{1}$ $I - V // (I - ii^6 - V_4^6 = \hat{5}) - I$   |
| <p>d) <b>From <math>\hat{8}</math></b></p> $\hat{8} - \hat{7} - \hat{6} - \hat{5} - \hat{4} - \hat{3} - \hat{2} // \hat{8} - \hat{7} - \hat{6} - \hat{5} - \hat{4} - \hat{3} - \hat{2} - \hat{1}$ $I ( ) ii^6 - V_4^6 = \hat{5} // (I ( ) ii^6 - V_4^6 = \hat{5}) - I$ |
| <p>e) <b>From <math>\hat{8}</math>: Reaching <math>\hat{5}</math></b></p> $\hat{8} - \hat{7} - \hat{6} - \hat{5} // \hat{5} - \hat{4} - \hat{3} - \hat{2} - \hat{1}$ $I ( ) V // (I - ii^6 - V_4^6 = \hat{5}) - I$   |

I will now discuss in detail these five interruption models. Rather than treating each type in taxonomical order, my discussion proceeds according to a gradually ascending order of complexity. I would like to suggest at the outset that the principle of interruption is a higher-level idea that embraces all three fundamental descents, from  $\hat{3}$ , from  $\hat{5}$ , and from  $\hat{8}$ . In all of these structural models, what varies is which note presides over the interruption - with the only possibilities being  $\hat{2}$  (the most common) and  $\hat{5}$ , as only these may be supported by the dividing dominant. For each model, my discussion presents characteristic structural features and traces the paradigm in Schenker's own critical writings.

The first type, from  $\hat{3}$ (table 1, a), is clearly discussed by Schenker. The tonic opens with  $\hat{3}$  in the upper voice and moves by step to  $\hat{2}$  over the dominant. Interruption from  $\hat{3}$  is illustrated by Schenker in his figures 21a and 21b (reproduced below as my example 1).<sup>4</sup> Schenker's figure 21a shows the two parts of a binary structure, while figure 21 b shows the two parts as they appear within the background structure. This is the simplest of all five models, as very little deviation is possible within this paradigmatic structure. Schenker explains that

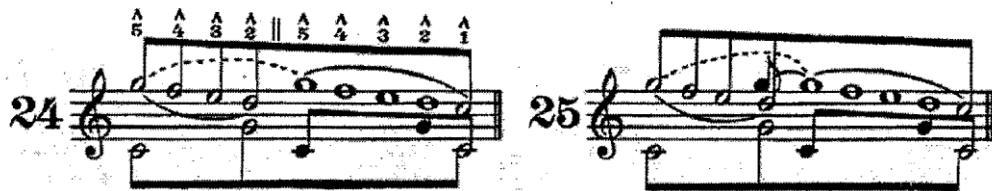
as a linear progression of a third, the fundamental line  $\hat{3} - \hat{1}$  represents the smallest range of composing-out, the ultimate unity which cannot be further split. Therefore, the fundamental line  $\hat{3} - \hat{1}$  admits of only one form of division, the *interruption*  $\hat{3} - \hat{2} // \hat{3} - \hat{2} - \hat{1}$ .<sup>5</sup>

EXAMPLE 1. Schenker, *Free Composition*: interruption from  $\hat{3}$



I will refer to the second model (table 1, b) as "interruption from  $\hat{5}$ : the common type." In *Free Composition*, Schenker illustrates the interruption from  $\hat{5}$  in his figures 24 and 25 (reproduced below as my example 2). In his figure 24, Schenker shows a structure with two similar descents. According to the sketch, the first part is structurally more important than the second, since he indicates the first branch with beamed notes (a descent is completed by the final beamed note of the second half). The bass moves from tonic to dominant, and the succession from  $\hat{4} - \hat{3}$  is left as a passing motion between and 2 in both branches. Similarly, in Schenker's figure 25, the descent from  $\hat{5}$  to  $\hat{2}$  in the first part of the structure occurs as an unsupported stretch. What differentiates figure 25 from figure 24 is a melodic overlap between the end of the first branch and the beginning of the second: in figure 25 the *Kopfton* returns prior to the recurrence of the tonic harmony. The melodic overlap of  $\hat{5}$  over  $\hat{2}$  is supported by the dominant, and this is also shown as the prevailing harmony during the second part of the structure, lasting until the final tonic is reached.

EXAMPLE 2. Schenker, *Free Composition*: abstract models of interruption from  $\hat{5}$



Since the third model of interruption (table 1, c) is best understood in light of both the common type from  $\hat{5}$  and Schenker's accepted model from  $\hat{8}$  will now discuss the 8-line interruption models before returning to an explication of the continuous  $\hat{5}$ . On table 1 above, the fourth model of interruption is the model from  $\hat{8}$  reaching  $\hat{2}$ , where both parts of the structure are almost identical (example 3).<sup>6</sup> Schenker rejects this paradigm because

instead of the descending motion  $\hat{8} - \hat{2}$ , one would hear a rising second ( $=c^2 - d^2$ ); but an ascending step would be contrary to the progression of a fundamental line. This resulting effect of a rising second creates an ambiguity in all the settings of  $\hat{8}$ ; none of them permits a thoroughgoing harmonic division of motion  $\hat{8} - \hat{2}$  to occur.<sup>7</sup>

In the comment above, Schenker is suggesting that the motion  $\hat{8} - \hat{2}$  would actually be perceived as  $\hat{1} - \hat{2}$  moving in an upward direction; for this reason he discards altogether the possibility of an 8-line moving to  $\hat{2}$  at the moment of interruption. Schenker rejects this model because, in principle, the inherent tendency of the *Urfinie* is a descending force.<sup>8</sup>

EXAMPLE 3. Interruption from  $\hat{8}$  reaching  $\hat{2}$

The fifth model of interruption (table 1, e) is suggested by Schenker as a viable possibility for 8-lines (see his figure 27 reproduced below as my example 4). In this example, Schenker shows that  $\hat{8}$  reaches  $\hat{5}$  before the interruption, and it is from  $\hat{5}$  that the second part of the structure completes its descent to  $\hat{1}$ . He calls this type of interruption "a substitute for the interruption at  $\hat{2}$ ."<sup>9</sup> In this example, Schenker specifically indicates that a line from  $\hat{8}$  has necessarily to stop at  $\hat{5}$  before proceeding to the final descent.<sup>10</sup>

EXAMPLE 4. Schenker, *Free Composition*: interruption from  $\hat{8}$  reaching  $\hat{5}$

Having laid the necessary groundwork, I return to a discussion of the third model of interruption (table 1, c). This paradigm is the continuous- $\hat{5}$  type.<sup>11</sup> A continuous  $\hat{5}$  would suggest that in some sonata-form movements, the *Kopfton*  $\hat{5}$  is maintained from the structural beginning until the final structural descent to  $\hat{1}$  over I (see my example 5).

EXAMPLE 5. Continuous- $\hat{5}$  paradigm

The model starts from  $\hat{5}$  over I at the exposition and reaches  $\hat{5}$  over V at the point of interruption; the second part of the structure again starts with  $\hat{5}$  over I and closes with  $\hat{1}$  over I. As we shall see, this model has been more problematic, not least because although Schenker used this paradigm in his earlier analyses, he later dismissed the idea. I shall argue, however, that among several other reasons for entertaining the continuous  $\hat{5}$  as an explanatory paradigm, the model from  $\hat{8}$  reaching  $\hat{5}$  over V at the moment of interruption is so similar to the model of the continuous- $\hat{5}$  type that I believe it would be inconsistent within Schenker's own theory not to include the continuous  $\hat{5}$  as a legitimate analytical paradigm. As we have seen, the model from  $\hat{8}$  to  $\hat{5}$  begins with  $\hat{8}$  and proceeds to  $\hat{5}$  at the point of interruption. If this is acceptable here, then  $\hat{5}$  is capable of creating interruption.

### The Continuous $\hat{5}$ in Schenker's Early Writings

The first appearance of a continuous- $\hat{5}$  graphic interpretation occurs in Schenker's 1926 publication *The Masterwork in Music*, volume 2.<sup>12</sup> It is not coincidental that the idea of a continuous  $\hat{5}$  is first found in this publication, because at that time Schenker's writings were focused on the continuity of the melodic line through a composition rather than on the supported descent. In fact, these analyses predate Schenker's abstract formulation of interruption by almost ten years.

In the first analysis of volume 2, Schenker sketches Haydn's Sonata in G Minor, Hob. XVI: 44, showing the *Kopfton* extending from the beginning of the exposition until the final descent (this is reproduced as my example 6).<sup>13</sup> In this sketch Schenker demonstrates that the *Kopfton*  $\hat{5}$  is elaborated through a local descent to  $\hat{3}$  (measures 13-20). We must bear in mind, however, that this descent is a momentary one, as  $\hat{5}$  is regained through a continuous ascending motion that culminates at the end of the development (the process comprises measures 30-51), where  $\hat{5}$  is now supported by the dominant harmony. Therefore,  $\hat{5}$  is sustained in the upper voice throughout the exposition and development, while the bass moves from tonic to dominant.

At the onset of the recapitulation,  $\hat{5}$  is restated over the tonic – a repetition of the opening gesture. The *Kopfton* descends over the supporting harmonic progression II – V – I. Schenker provides a lengthy explanation of this graph, remarking that

it is not enough to merely read off the changes of key from the foreground, as the theorists do; it is also of the utmost importance to know what forces motivate these changes and guarantee the unity of the whole. . . . The *Urlinie* and bass arpeggiation ruled over [Haydn] with an instinctive power, and from them he developed an ingenious capacity for creating tension across the whole of a work, as an entity.<sup>14</sup>

Similarly, in further commentary, Schenker clarifies that he chose  $\hat{5}$  (rather than  $\hat{8}$ ) as the *Kopfton* because the work's opening ascending gesture to G actually initiates a register transfer pointing to the structural importance of D. Schenker explains:

Here we finally realize, to our great astonishment, that the entire contents of bars 1-12 have amounted to an ascending register transfer  $d^2$ — $d^3$ , which establishes  $d^2$  as  $\hat{5}$ , not  $g^2$ ; and that, furthermore, this single register evidently joins together the parts of the form that the theorists designate separately as the antecedent of the first subject, consequent and transition!<sup>15</sup>

Schenker's graphic interpretation of the Haydn is remarkable because it shows a continuous  $\hat{5}$  extending from the beginning of the composition to the recapitulation (*Wiederholung*). The development (*Durchführung*) reveals an ascent to regain  $\hat{5}$  at the point of the recapitulation (level b of the graph)—but  $\hat{2}$  is neither shown in the dominant chord nor implied at the structural  $\hat{5}$  at the close of the development.

Fig 1

a) Tonalität: I [III] 8-10-6- -6-8 V-I II/V I

T. 1 4 5 12 13 20 23 30 31 45 50 52

[erster Ged] [Mod] [zweiter Ged] [Durchführung] [Wiederholung]

b) Stufen als Tonarten: I II/V IVI IV V I II/V III [Durchgänge] V II/V I

G moll B dur G moll

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Although Schenker never formally articulated the continuous  $\wedge 5$  as a model of interruption (and, in fact, had not yet codified a theory of interruption), this early graphic interpretation suggests that the continuous  $\wedge 5$  was a stylistically unexceptional occurrence in sonata form, as it did not prompt him here to further explanation or commentary. Indeed, an important point to consider is that this movement is in the minor mode. Pieces in minor that modulate to the relative major tend to hold  $\wedge 5$  at the end of the exposition because  $\wedge 5$  becomes the local  $\wedge 3$ . Still, as we shall see, the  $\wedge 5$  at the end of the exposition in such movements is not in itself the only requirement for the continuous- $\wedge 5$  interpretation. Rather, the process of regaining  $\wedge 5$  that ensues at the beginning of the development and lasts until the point of interruption may indicate the presence of a continuous 5-line.

In the same chapter of *The Masterwork in Music* (vol. 2) appear two further analyses that show a continuous- $\wedge 5$  interpretation. In this famous essay, Schenker analyzes all four movements of Mozart's Symphony in G Minor, K. 550, interpreting all of them as 5-line descents. I will consider here only the two movements that are in sonata form, namely the first and the fourth. Again, although these analyses are fully discussed in Schenker's text, the idea of a continuous  $\wedge 5$  in sonata-form movements is not theorized abstractly.

In his detailed graph of the first movement, Schenker shows a continuous- $\wedge 5$  interpretation.<sup>16</sup> He then offers an especially telling explanation of the transformations of the primary tone  $\wedge 5$ , and its implications for the form of the movement:

The Ursatz shows the motions of the *Urlinie* and the bass. The *Urlinie* begins immediately with  $\wedge 5$ . . .

. . . The changes of interval signify that the  $\wedge 5$  experiences changes within itself, so to speak, and needs to return to its original position before the *Urlinie* can proceed with its descending fifth-progression. In this way, the Ursatz already reveals the meaning of sonata form.<sup>17</sup>

Schenker emphasizes that the *Ursatz* establishes  $\wedge 5$ , sustains  $\wedge 5$ , and then proceeds to complete the structural descent at the recapitulation. In this sketch, the semantic mutability of  $\wedge 5$  depicts the internal structure of a sonata-form work.<sup>18</sup> Embedded in Schenker's comment above is a subtle and elegant definition of the continuous- $\wedge 5$  paradigm:  $\wedge 5$  assumes different harmonic support (the "changes within itself") as it moves from the exposition through the development before the recapitulation (the "return to its original position") and final

descent at the structural closing of the movement. The "motion" of the *Urlinie* in the first branch of the structure is thus represented as a semantic change.

After discussing other details of voice leading and motivic parallelisms throughout the *Allegro molto*, Schenker again refers to the importance of retaining  $\wedge 5$  in the recapitulation (a parallel to the exposition), despite the fact that this section (as is typical) presents a non-modulating transition between themes. He says that "the difference between the consequent statement in the reprise, compared with the exposition, results simply from the nature of the reprise: since there is no modulation here, the consequent must hold onto  $d$  as  $\wedge 5$  regardless of register."<sup>19</sup> Schenker shows that parallelism between the exposition and recapitulation is achieved by retaining  $\wedge 5$  in the *Urlinie*: the exposition's second theme modulates to the dominant, concluding with a full closure from  $\wedge 5$  to  $\wedge 1$  at the dominant level (therefore local  $\wedge 1$  equals *Kopfton*  $\wedge 5$ ). This same gesture is reproduced at the recapitulation, where the second theme appears transposed to the tonic level. Both are 5-line descents: the first one over dominant, the second over tonic.

The fourth movement of Mozart's symphony, the *Allegro assai*, is another example of a continuous  $\wedge 5$  as illustrated by Schenker. Remarking on his sketch this is reproduced below as my example 7 he notes that "the *Ursatz* (Fig. 16a) already shows how the movement can be understood in terms of sonata form."<sup>20</sup> Rather than expressing any ambivalence regarding the continuous  $\wedge 5$  in relationship to this binary sonata form, Schenker goes on to explain how  $\wedge 5$  is maintained and supported in the upper register. Here he comments on the role of the neighboring motion  $\wedge 5 - \wedge 4 - \wedge 5$ : "In the next group, bars 9-16,  $d^3$  is confirmed as  $\wedge 5$ , above a  $V-I$  progression, and at the same time is reinforced by neighbor-note motion."<sup>21</sup> Once again, the *Kopfton*  $\wedge 5$  is maintained from the structural beginning until the final structural descent to  $\wedge 1$  over  $I$ . The sketch starts with  $\wedge 5$  over  $I$  at the exposition, and reaches  $\wedge 5$  over  $V$  at the point of interruption; the second part begins with  $\wedge 5$  over  $I$  and closes with  $\wedge 1$  over  $I$  at the end of the structure.

EXAMPLE 7. Schenker, *The Masterwork in Music*, vol. 2: Mozart's Köchel 550/iv

Fig. 16

a)  $\hat{5}$  -  $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

Tonalität: *G* moll I - III - V-I - II/V I

b) I - III - V-I II V I

(Nbn) (Nbn)

c)  $\hat{5}$  -  $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$

(Teller) I - III - V I II/V I

(8-10 8-10 8-10 8) (5-6 5-6 5-6)

d) I - III - V I II/V I

## The Continuous $\hat{5}$ in Free Composition

In *Free Composition*, Schenker revisited the subject of a prominent  $\hat{5}$  in certain works. According to this later formulation, "besides resting on the interruption  $\hat{2}$ , the interruption of  $\hat{5} - \hat{1}$  rests also on the first  $\hat{5}$  as the

primary tone of the linear progression  $\hat{5} - \hat{2}$ , just as though the line of the fourth were not present between those two points."<sup>22</sup> This statement is the closest Schenker comes to discussing the continuous  $\hat{5}$  in sonata form. As Oswald Jonas suggests in his editorial note, Schenker's discussion of this text expands the idea that "the  $\hat{5}$ , the primary tone, could actually appear above the  $\hat{2}$  - and not only conceptually as in the case of  $\hat{3}$ ."<sup>23</sup>

When confronted with the analytical choice of a 5-line or a 3-line in sonata form, Schenker often prefers to label a prolongation of  $\hat{5}$  as a cover tone over  $\hat{3} - \hat{2} // \hat{3} - \hat{2} - \hat{1}$  (third progression), as he demonstrates with figures 35/2 and 89 of *Free Composition*. Schenker maintains that in certain other cases, a prominent  $\hat{5}$  should always be considered subordinate to the descent of a fourth that reaches the normative interruption at  $\hat{2}$ , suggesting that "the linear progression of a fourth [ $\hat{5} - \hat{2}$ ] forces itself through the exposition and development, even in the larger forms, no matter how much this motion may be concealed by a return to  $\hat{5}$ ."<sup>24</sup> As may be seen in figures 26a and b from *Free Composition* (reproduced as example 8), Schenker thus came to consider the apparent prolongation of  $\hat{5}$  as a surface event, since figure 26a shows  $\hat{2}$  as a deeper level entity, under the cover tone  $\hat{5}$  (see also figure 25 reproduced above in example 2).

EXAMPLE 8. Schenker, *Free Composition*: interruption from  $\hat{5}$  reaching  $\hat{2}$

The image shows two musical examples, (a) and (b), illustrating Schenker's analysis of a sonata form movement. Both examples feature a melodic line on a staff with a treble clef and a key signature of one flat. Above the staff, structural levels are indicated by numbers 5, 4, 3, 2, 1, with arrows showing the progression. In (a), a dashed line connects the first 5 to the 2, representing a cover tone. In (b), the 5 is prolonged further. Below the staff, a diagram shows the structural levels: I (Exposition), III<sup>45</sup> (Development), V<sup>#3</sup> (Development), I (Recapitulation), and V I (Recapitulation). The diagram also includes a key signature change from minor to major (♭ to ♮) and a time signature change from 3/4 to 2/4.

In fact, it is Ernst Oster's famous editorial remark that provides the clearest early formulation of the structure I am calling the continuous- $\hat{5}$  interruption model:

Quite frequently found, yet never mentioned by Schenker, is the following: in a sonata movement that starts on  $\hat{5}$ , the upper voice does not descend via  $\hat{4}$  and  $\hat{3}$  to the  $\hat{2}$  at the interruption point, as it normally would (Figs. 24-26). This means that the composition is not based on the interruption principle in the strictest sense. . . . In such a sonata exposition this tone is then composed out in the usual way, by means of a fifth-progression. In the meantime, the  $\hat{5}$  is extended till the end of the exposition and from there to the beginning of the recapitulation; it only descends to  $\hat{1}$  as late as the end of this section [the recapitulation].<sup>25</sup>

Oster's discussion makes no reference to Schenker's graphs from volume 2 of *The Masterwork in Music*, but his (Oster's) theoretical model certainly resonates with these early sketches.

## The Continuous- $\hat{5}$ Model: Its Conflicted Structure and Legacy

Of the two models eventually discarded by Schenker, namely the continuous  $\hat{5}$  and the  $\hat{8} - \hat{2}$  interruption, the continuous  $\hat{5}$  is by far the one that has most often been criticized or dismissed.<sup>26</sup> The structural idiosyncrasies of this model have made it more difficult to incorporate within interruption theory. In the common type of 5-line interruption, both parts of the form present a descent, while in the continuous  $\hat{5}$  only the second does. If structural weight is measured by the number of structural notes presented, the continuous- $\hat{5}$  model may give the impression that the balance between the two parts of a sonata-form movement is off (that is, the second branch has more structural notes than the first; please refer back to example 5). Thus, in the continuous- $\hat{5}$



model, the harmony bears most of the structural weight of the interruption. The question that arises in regard to this paradigm is whether or not the dominant is able to sustain interruption by itself, even if the *Urlinie* does not descend to  $\wedge^2$ .

Because of the model's melodic asymmetry, it is important to explain how the dividing dominant differs from the structural dominant. The structural dominant is that which appears on the abstract background level, before the first subdivision of the fundamental structure. On the other hand, the dividing dominant is the one that separates the branches of the divided paradigm; it is a deep middleground occurrence. Interruption, as we have seen, takes place at the first subdivision of the fundamental structure. For Schenker, the elaboration of the melodic line descending to  $\wedge^2$  can only occur because the bass moves from tonic to dominant, thereby providing a supporting harmony.

A 5-line *Urlinie* that does not feature a descent to  $\wedge^2$  at the point of interruption (when the bass moves to V) is considered non-normative. In contrast, the bass arpeggiation of the continuous- $\wedge^5$  interruption model is *identical* to the normative paradigm of the common type of interruption from  $\wedge^5$ . This parallel between models (between the normative  $\wedge^5$  and the continuous  $\wedge^5$ ) does suggest that interruption is in fact present in both cases. Again, as we have seen above, Schenker had no trouble with  $\wedge^5$  sustaining a point of interruption in his  $\wedge^8 - \wedge^5$  paradigm. Neither can the argument be that both branches of an interruption model must trace the same melodic path, for the 8-line model embraced by Schenker does not observe this stricture. What is therefore anomalous about the continuous  $\wedge^5$  is that the melodic "path" of the first branch is evinced by a change of context rather than a change in melodic tones.

As we have seen, even though no melodic interruption occurs at  $\wedge^5$  over V,  $\wedge^5$  at the end of the development has according to Schenker acquired a different meaning from the  $\wedge^5$  at the beginning of the recapitulation:  $\wedge^5$  at the end of the development is supported by the dividing dominant, whereas the  $\wedge^5$  reinstated at the opening of the recapitulation is supported by the tonic a return to initial conditions. These two sections of a sonata-form movement (development and recapitulation), while articulated in succession, are distinctly independent on the middleground level. Moreover, the point of interruption, which usually occurs at the end of the development, is not only articulated by the presence of the dividing dominant but also, typically, by texture, register, and harmonic tension. Even if the dividing dominant is only weakly sounded, the break in structure is still perceived because of the entrance of the recapitulation.

To further clarify the theoretical ambit of the continuous- $\wedge^5$  model, I present a counterexample. This example might initially seem to conform to the continuous- $\wedge^5$  model but—in fact—does not. Figure 152/4- of *Free Composition*, (reproduced below as my example 9), presents Schenker's analysis of J. S. Bach's *Aria variata*, BWV 989.

EXAMPLE 9. Schenker, *Free Composition*, fig. 152/4: Bach's *Aria variata*

In this example Schenker shows that  $\wedge^5$ , which continues after the double bar, is not supported by V, but instead by III (C major). This harmony acts as a divider between I and V; it is therefore a transitory event (marked by Schenker with a "Dg" [*Durchgangl*]) and not a stable point of arrival. The unfolding sign connecting C back to

A links this divider to the tonic, not the dominant. This graph depicts a work of undivided form and, therefore, cannot be understood as relating to the melodically continuous  $\hat{5}$  of a harmonically *interrupted* paradigm.

Schenkerian analysts have not typically invoked a continuous- $\hat{5}$  paradigm for sonata-form compositions. Nevertheless, scholars have not entirely ignored the model per se. In *Analysis of Tonal Music: A Schenkerian Approach*, Allen Cadwallader and David Gagne briefly discuss the theoretical possibility of the continuous  $\hat{5}$ .<sup>27</sup> Their graph is reproduced as my example 10 below. As the text explains,

Particularly in pieces in which the first theme involves a prominent  $\hat{5}$  appearances of  $\hat{4}$  may be fleeting and function only at more local levels, meaning that a *structural* descent to  $\hat{3}$  does not actually occur. In such cases, the structure may follow the pattern shown in the second part of Example 12.9. Here the elaboration of scale degree  $\hat{2}$  (the subordinate fifth-progression) still expands the dominant area of the form; scale degree  $\hat{2}$ , however, is understood as emerging from  $\hat{3}$  in an inner voice. In other words, the motion  $\hat{3} - \hat{2}$  takes place beneath the higher-ranking  $\hat{5}$ , which is prolonged into subsequent section. This means that the piece is not based on an interruption in the usual sense. The primary tone  $\hat{5}$  is prolonged from the beginning until the final section (recapitulation), where it descends to  $\hat{1}$  in the transposed fifth-progression that now represents the descent of the Urlinie.<sup>28</sup>

EXAMPLE 10. Cadwallader and Gagné: elaborations of  $\hat{5}$

Example 12.9 (page 369) from *Analysis of Tonal Music: A Schenkerian Approach* (1998) by Allen Cadwallader and David Gagné. By permission of Oxford University Press.

For Cadwallader and Gagné, however, this interpretation remains theoretical, since they do not apply it in the analysis of any specific piece. Similarly, Charles Smith acknowledges Schenker's mention of the continuous  $\hat{5}$ , citing Schenker's background structure in figure 26b of *Free Composition* as an "abstract configuration, never used in *Der freie Satz*."<sup>29</sup> Other scholars who have considered this paradigm most recently include Edward Laufer and Eric Wen, and both will be addressed below.

### Features of Sonata-Form Movements that Correlate with the Continuous- $\hat{5}$ Model

I would like to suggest other distinctive indications that, taken together, may suggest that a sonata-form movement evokes the continuous- $\hat{5}$  paradigm. While these observations should not be considered prescriptive, their presence in certain sonata-form movements constitutes compelling evidence that a continuous  $\hat{5}$  may be a viable analytical model. The analytical choice of a 3- rather than a 5-line descent is often related to the very brief appearance of  $\hat{4}$ . The unsupported stretch across  $\hat{4}$  may be equally problematic in both the exposition and the recapitulation. The stretch between  $\hat{5}$  and  $\hat{3}$  may in fact be the result of an arpeggiation of the tonic chord that allows  $\hat{5}$  to be a cover tone, a prominent foreground motion that skips from  $\hat{3}$  to  $\hat{5}$  without a structural  $\hat{4}$ . Nonetheless, such cases should also be considered in light of the continuous- $\hat{5}$  paradigm. The lack of  $\hat{4}$  does not guarantee the presence of a continuous  $\hat{5}$ , but the structural prominence of  $\hat{5}$ , in conjunction with other compositional procedures, may promote the interpretation of a continuous  $\hat{5}$ .<sup>30</sup>

Another implication of the continuous  $\hat{5}$  relates to the idea of the opening of the register. At the beginning of a composition that allows a 5-line interpretation, the work's obligatory register is established. In continuous- $\hat{5}$  compositions, the register becomes not only fixed, but literally static, as there is no descent in the first branch of the division. In such instances, the upper voice (*Urlinie*) may exhibit a neighboring motion in the secondary-theme area, creating a temporary shift to the submediant key and alleviating the overwhelming presence of  $\hat{5}$ . When the upper voice moves to  $\hat{6}$ , the harmonic support will be either VI or (if in minor) *b*VI. (Other harmonies, such as IV or *vii*<sup>07</sup> of V, are also possibilities.)<sup>31</sup> This brief shift to the submediant is responsible for neighboring motions such as  $\hat{6} - \hat{5}$  that may appear in some sonata-form movements; examples include the first movements of Beethoven's Sonata op. 111 and Schubert's Sonata D. 960. Once the composition arrives at the second part of the division (at the recapitulation), the register moves from being open ( $\hat{5}$  to  $\hat{5}$ ) to being closed ( $\hat{5}$  moves to  $\hat{1}$ ). Consequently, the second theme area in the recapitulation does not necessarily have to elaborate an upper neighbor note, because motion is now directed downwards through the *Urlinie*'s descent. Alternatively, it is also possible to temporarily abandon  $\hat{5}$  in the beginning of the development in order to regain it at the close of the section. Usually an ascending motion reinstates the  $\hat{5}$  before the onset of the recapitulation.

### Mozart's Sonata K. 545: A Case Study

As we have seen in Schenker's early sketches, variations on the continuous- $\hat{5}$  model (although not so named) do occur in practical analyses. This analytical application, although rare, is also part of current Schenkerian practice. One such instance appears in an article by Edward Laufer (his graph is given in example 11 below).<sup>32</sup> In this analysis of the first movement of Mozart's Köchel 545, Laufer gives us two possible interpretations for the *Urlinie*: one from  $\hat{5}$ , and a second one from  $\hat{3}$ , which he shows in parentheses. On the sketch, Laufer marks the common subdivisions of a sonata-form movement (exposition, development, and recapitulation). Above each of those sections, Laufer indicates that the *Kopfton* is always  $\hat{5}$ . He comments:

This movement present many unusual feature, which perhaps arise out of Mozart's wish to make the movement very compact and—psychologically short and quick. . . . The motivic continuity, as suggested by the brackets . . . is one aspect of this compactness. . . . Indeed, the  $\hat{5}$  is maintained unabated throughout, in the background, and in fact does not really descend at all in the sense of a fundamental line.<sup>33</sup>

The first movement of this sonata is somewhat unusual because the recapitulation takes place in the subdominant key rather than in the tonic. The appearance of the subdominant harmony at the onset of the recapitulation provides a way to maintain a thematic parallelism between exposition and recapitulation, since the motion from tonic to dominant (C to G) in the exposition is mirrored in the recapitulation by the motion from F to C. With the subdominant support for the thematic return in the recapitulation, the structural expression of the bass arpeggiation is momentarily suspended. The first theme of the recapitulation does not function as the expected resolution of the harmonic tension of the dividing dominant and development but as a thematic reinstatement of the beginning. Indeed, thematic similarities are maintained between exposition and recapitulation in both first and second themes (both are faithful transpositions of each other) and both second themes are cadentially closed.

Laufer understands the recapitulation to be supported by an auxiliary cadence (since the tonic is not present here). He says,

Since the auxiliary cadence is not a *background* procedure, there is not *background* support for the descent of the fundamental line. . . . (Reading a 5<sup>th</sup>-progression is the reason why, as noted earlier, the  $\hat{5}$  is to be understood as being maintained throughout the movement.<sup>34</sup>

Because the return to tonic does coincide with the thematic return, Laufer chooses to maintain  $\hat{5}$  as the structural note and considers the others to be surface embellishments. Laufer indicates in his graphs that the recapitulation occurs when the tonic arrives, and not at the thematic return in F.

Laufer agrees that movements that present a prominent  $\wedge^5$  in conjunction with sonata-form characteristics should be treated as examples of sonata form, even though the type of interruption that takes place in these situations is of a different kind. He asks:

What does this mean with regard to Schenker's concept of interruption as a basic characteristic of sonata form? For those movement in which the  $\wedge^5$  remains on top while an inner voice proceeds  $\wedge^3\text{-}\wedge^2$  (viz.  $\wedge^5$  -- [over]  $\wedge^3\text{-}\wedge^2$ ), such as this movement, or K. 333, Beethoven's sonata op. 14/1, Seventh Symphony, Clementi's op. 36/4 . . . one would not speak of an interruption *in the strictest* sense, since the upper voice remains on top in the background. And yet the above instances . . . are all indubitably sonata movements. In this situation . . . , when the  $\wedge^2$  over V is reached, to be followed by a fresh assertion of the  $\wedge^5$  supported by the I, there is undeniably a kinship with interruption  $\wedge^5\text{-}\wedge^4\text{-}\wedge^3\text{-}\wedge^2$ ; that is, a *different order of interruption*, not specifically described by Schenker, but alluded to by Oster.<sup>35</sup>

Laufer's remarks suggest that the theory needs to be flexible in order to deal with non-normative pieces. In the case of the Mozart sonata, if this approach is taken, the recapitulation parallels the exposition in several ways, with  $\wedge^5$  maintained in the upper voice until the final descent.

EXAMPLE 11. Edward Laufer's analysis of Mozart's Köchel 545

Laufer, "Revised Sketch of Mozart, K. 545/I and Commentary," *Journal of Music Theory* 45, no. 1 (2001): 145. Reprinted by permission.

It is difficult to determine precisely where interruption takes place in Laufer's graphic analysis, even though his written comments mention that interruption is indeed present. The likeliest moment is at measure 56, where he shows an inner motion to  $\wedge^2$  coinciding with the structural  $\wedge^5$  and the beginning of the final descent.<sup>36</sup> Therefore, the thematic recapitulation of the opening theme is *not* part of the second branch of the structure.

Laufer indicates that the return to tonic (and the continuation of the structural  $\hat{5}$  in the upper voice) is supported by a first inversion chord ( $I^6$ ). This chord, however, is notated as a surface occurrence. In Laufer's analysis, the real support for measure 59 is the final tonic of the movement (indicated by the unfolding sign from m. 59 to the end); the entire final descent takes place over the tonic harmony.

Eric Wen, in response to Laufer's analysis, offers an alternative reading of the movement.<sup>37</sup> His discomfort with Laufer's graph is that "to read the F-major recapitulation as an incidental occurrence contained within a prolongation of the dominant . . . seems to go against our aural experience of the movement."<sup>38</sup> The thematic reinstatement of the theme over IV is, according to Wen, enough to give a sense of recapitulation even if the tonic is not present at that time. The problem here too is how to reconcile the dominant at the end of the exposition with the motion to the subdominant that supports the recapitulation. Wen's solution is to understand the dominant at the end of the exposition as back-relating rather than dividing, therefore considering the exposition as a simple binary form, in which the tonic is still the structural harmony. Wen's analysis also suggests a continuous— $\hat{5}$  approach, although I disagree that the exposition has only tonic as its structural harmony.

Instead, I would like to offer yet another alternative *Ursatz* reading of Köchel 545, shown here as example 12. In my brief sketch of the movement, the recapitulation belongs to the second part of the structure and the fact that  $I^6$  is the support for  $\hat{5}$  is not a coincidence of a foreground motion, but rather a beautiful way in which the counterpoint between the *Urlinie* and the bass is worked out. The inverted tonic serves to avoid parallel fifths between soprano and bass that otherwise would appear if a root position tonic had been used instead.

EXAMPLE 12. An alternative sketch of Mozart's Köchel 545/i

## Conclusion

The crucial question for the continuous- $\hat{5}$  model remains: can the dominant at the point of break sustain interruption by itself, even if the *Urlinie* does not descend to  $\hat{2}$ ? If not, we would perhaps have to contend with an uninterrupted sonata form.<sup>39</sup> Alternatively, as Schenker eventually chose to do, the analyst could automatically interpret a prominent  $\hat{5}$  as a cover tone.

In fact, despite any initial appearance to the contrary, the continuous- $\hat{5}$  paradigm does not contradict Schenker's work. As this article has discussed, the continuous  $\hat{5}$  can be justified by extrapolation given Schenker's 1935 explanation of the 8-line reaching  $\hat{5}$ , where  $\hat{5}$  is capable of sustaining interruption at the point of break. This accepted model from  $\hat{8}$  also requires no retracing of an earlier descent as is expected in the more common models from  $\hat{5}$  and  $\hat{3}$ . Secondly, sonata forms that modulate to the dominant do tend to hold  $\hat{5}$  because it becomes the tonicized key at the end of the exposition. As discussed, the influence of specific repertoire is exemplified by Schenker himself in his analysis of the Haydn sonata in G minor. Third, Schenker had posited a continuous- $\hat{5}$  model in earlier works because he was then more concerned with the continuity of the line than with tonal closure. The fact that he had emphasized the continuity of the line earlier, in the 1926 volume of *The Masterwork in Music*, and not later in *Free Composition*, does not mean that the continuity of

the structural line represented by the continuous-<sup>5</sup> interpretation is nonexistent: it is a matter of interpretation and focus.

Given the evidence from the span of Schenker's own analyses and writings, and as I have demonstrated in my sketch of the Mozart sonata, I suggest that the validity of the continuous-<sup>5</sup> model be decided in analysis based on the music itself, rather than predetermined by a narrowed theoretical focus.

#### Notes:

<sup>1</sup>Heinrich Schenker, *Free Composition*, trans. and ed. Ernst Oster (New York: Longman, 1979).

<sup>2</sup>Examples include Edward Laufer, "Revised Sketch of Mozart, K. 545/I and Commentary," *Journal of Music Theory* 45, no. 1 (2001): 144-150; Eric Wen, "A Response to Gordon Sly and Edward Laufer: An Alternative Interpretation of the First Movement of Mozart's K. 545," *Journal of Music Theory* 46, no. 2 (2002): 364-71; Edward Latham, "Working from <sup>8</sup> to <sup>5</sup>: Interpreting the Interrupted <sup>8</sup>-line in American Song" (paper presented at the joint meeting of the Music Theory Southeast and the South Central Society for Music Theory, Atlanta, Ga., February 2004); Frank Samarotto, "Schenker's Free Forms of Interruption and the Strict: Towards a General Theory of Interruption," (paper presented at the Music Theory Society of New York State Annual Meeting, Baruch College, New York, April 2005).

<sup>3</sup>km Priore, "The Case for a Continuous <sup>5</sup>: Expanding the Schenkerian Interruption Concept with Analytical Interpretations of Beethoven Opp. 101, 109, 111" (Ph.D. diss., University of Iowa, 2004).

<sup>4</sup>Schenker, , *Free Composition*, 36.

<sup>5</sup>Ibid.

<sup>6</sup>In fact, although 8-line descents appear in the common-practice period, they do not appear as frequently as the model from <sup>3</sup> and the common type from <sup>5</sup>. There are many problems involving an 8-line descent, including: <sup>7</sup> needs to be supported by a structural dominant and at the same time move to <sup>6</sup>; the unresolved <sup>7</sup> may imply that <sup>7</sup> is only a passing tone between <sup>8</sup> and <sup>6</sup>, and therefore not structural; and if the stretch between <sup>8</sup> and <sup>5</sup> is left unsupported, it may also imply that the *Kopfton* is actually <sup>5</sup> and not <sup>8</sup>.

<sup>7</sup>Schenker, *Free Composition*, 34.

<sup>8</sup>The filling of the space between <sup>8</sup> - <sup>2</sup> is what Schenker perceives as an *ascent* from <sup>8</sup> (= <sup>1</sup>) to <sup>2</sup>.

<sup>9</sup>Schenker, *Free Composition*, 40.

<sup>10</sup>The only two figures in *Free Composition* that show this particular paradigm are figures 20/4 and 47/3.

<sup>11</sup>In my dissertation work on this subject (see n. 3), I have named this model the "continuous <sup>5</sup>."

<sup>12</sup>Schenker, *The Masterwork in Music: A Yearbook*, vol. 2 (1926), ed. William Drabkin, trans. Ian Bent, William Drabkin, John Rothgeb, and Hedi Siegel; vol. 8 of *Cambridge Studies in Music Theory and Analysis*, ed. Ian Bent (Cambridge: Cambridge University Press, 1996).

<sup>13</sup>Ibid., 24.

<sup>14</sup>Ibid.

<sup>15</sup>Ibid. Schenker demonstrates this assertion with a more detailed sketch of the opening bars (p. 25, fig. 2).

<sup>16</sup>Ibid., 60-61.

<sup>17</sup>Ibid., 61. In his explanatory footnote William Drabkin comments, "This extraordinary remark [above] merits clarification. What Schenker appears to be saying is that the Ursatz, as understood here is the interface between a voice-leading analysis and a conventional formal reading of the piece, The 'testing' of  $d^2$  as the fifth of the G minor triad, the third of B $b$  major and the octave of D major corresponds, respectively, to the first group, the second group, and the so-called 'dominant preparation' at the end of the development; the regaining of the fifth above G and subsequent descent of the Urlinie represents the recapitulation. Schenker does not explain why the Urlinie represents the recapitulation of the second group ( $\wedge^5 - \wedge^1$ ) but not in the exposition, i.e., from  $\wedge^5$  to  $\wedge^3$ , and in the development to  $\wedge^2$  (above scale degree V); this was to feature in subsequent analyses of works in sonata form" (61—62).

<sup>18</sup>Ibid., 61.

<sup>19</sup>Ibid., 74.

<sup>20</sup>Ibid., 91.

<sup>21</sup>Ibid., 92. This neighboring motion occasions a passing pattern,  $\wedge^5 - \wedge^4 - \wedge^3$ , at the conclusion of which  $\wedge^5$  appears simultaneously with and above  $\wedge^3$ .

<sup>22</sup>Schenker, *Free Composition*, 39.

<sup>23</sup>Ibid., n. 9. Jonas is likely addressing only the concepts in *Free Composition*, and therefore makes no mention of the Haydn analysis from *The Masterwork in Music* (vol. 2).

<sup>24</sup>Schenker, *Free Composition*, 40.

<sup>25</sup>Ibid., 139, n. In this discussion, Oster makes no reference to Schenker's 1926 graphs; he may have believed that Schenker's ideas about structure and other theoretical formulations prior to *Free Composition* were only partially developed. Since Oster gives an extended explanation of this type of 5-line interpretation, this specific schema has been colloquially referred to as the "Oster Paradigm."

<sup>26</sup>The fact that 8-lines are not as prevalent as the other types has kept Schenker's comments on 8-line interruption models relatively unexamined, although several papers have appeared in recent scholarship; see Latham, "Working from  $\wedge^8$  to  $\wedge^5$ ," and Hiu-Wah Au, "The Role of Non-Tonic-Key Variations in the Large-Scale Organization of Brahms's Variations for Four Hands on a Theme of Robert Schumann, Op. 23" (paper presented at the Music Theory Society of the Mid-Atlantic Second Annual Meeting, Philadelphia, Pa., March 2004).

<sup>27</sup>Allen Cadwallader and David Gagne, *Analysis of Tonal Music: A Schenkerian Approach* (Oxford: Oxford University Press, 1998).

<sup>28</sup>Cadwallader and Gagne, *Analysis of Tonal Music*, 369.

<sup>29</sup>Charles Smith, "Musical Form and Fundamental Structure: An Investigation of Schenker's *Formenlehre*," *Musical Analysis* 15, nos. 2-3 (1996): 236.

<sup>30</sup>Clearly, not every piece with a weak or fleeting  $\wedge^4$ - should be analyzed as a continuous  $\wedge^5$ . The first movements of Mozart's Sonata K. 310 and Beethoven's Sonata op. 14, no. 2 are examples of pieces that, according to my reading, present a problematic and yet are not cases for the continuous- $\wedge^5$  model.

<sup>31</sup>The secondary key area of the exposition of Beethoven's Sonata op. 111/i is an example of this. Actually, the neighboring motion around  $\hat{5}$  over V (supported by an augmented sixth and  $\text{vii}^{07}$  of V) is so prevalent that it can be traced through the entire movement.

<sup>32</sup>Laufer, "Revised Sketch of Mozart, K. 54S/1 and Commentary," 145.

<sup>33</sup>Ibid , 144.

<sup>34</sup>Ibid., 146.

<sup>35</sup>Ibid., 144.

<sup>36</sup>There is no interruption sign indicated in his graphs.

<sup>37</sup>Wen, "A Response to Gordon Sly and Edward Laufer."

<sup>38</sup>Ibid., 365.

<sup>39</sup>Schenker did not favor uninterrupted descents for sonata-form movements since—for him—sonata form is inherently binary, and what generates form is the behavior of the paradigmatic structure.