

**DISCORD, INTRANSIGENCE, AMBIVALENCE, AND ULTIMATE COHERENCE:
RELATIONSHIPS BETWEEN THE MUSICAL SURFACE AND ITS UNDERLYING
STRUCTURES IN FAURÉ'S NOCTURNE NO. 6, OP. 63**

by

Hoi Wai Lin

B.A., The Chinese University of Hong Kong, 2011

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Abstract

The Sixth Nocturne of Gabriel Fauré has long been acclaimed and widely performed. However, its musical and compositional values sadly lack reflection in the music-analytical literature. The Nocturne's style is eclectic, incorporating chromatic, modal, and non-tonal (symmetric) collections into diatonic tonality. That the frame of traditional, functional tonality is made to accommodate these diverse constructs suggests many questions and implies the need for advanced analysis.

In Chapter 1 I identify specific complexities encountered in this work, including deformed voice leading, temporally skewed counterpoint, subtle metric dissonance, recourse to the whole-tone and octatonic collections, modal mixture in local and global context, and ambiguity of tonic and dominant functions. Their presence serves as my justification in searching for a simpler, more fundamental and continuous underlying structure, of the sort aimed at by Schenkerian analysis. Because this type of analysis must be adapted for late nineteenth-century music, the Chapter also summarizes prior work along these lines that I found suggestive. A 1993 article by Edward Phillips was of primary importance to me, but I also summarize noteworthy contributions by James Sobaskie, Taylor Greer and Robert Morgan.

Chapter 2 presents a complete Schenkerian two-leveled graph (the standard background graph is omitted), accompanied by a detailed commentary. Finally, Chapter 3 summarizes four significant structural features of the Nocturne that my experience suggests are of general importance to the composer's style. They are 1) Discord: when what may seem “wrong” at the surface sounds

“right” at a deeper level; 2) Intransigence: conflict in the harmonic-melodic structure due to skewed counterpoint and persisting, sometimes migratory scale degrees; 3) Ambivalence: blurring between tonic and dominant harmonies and 4) Coherence: modality and mixture in the large and the small.

Ultimately, I hope this study successfully portrays the delightful equilibrium that constitutes the distinctive “flavor of Fauré”—between innovation and tradition, the clouded and the clear, the conflicted and the concordant; and that it captures some of the ways in which these balances operate, thereby shedding additional aesthetic light on one of the gems of the piano repertoire.

Preface

This thesis is an original and unpublished work by the author, H.W. (Connie) Lin.

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Finally, I want to give my heartfelt thanks to my parents Eva and Ricky, my sister Linette and my fiancé Lawrence, who have been with me all these years with their unlimited love and support, which have always been my profound motivation to endure till the completion of this thesis. For those friends who have accompanied and supported me all along the tough journey, I owe you my hugs and tears.

Dedication

In memory of my dear grandpa, who has become my angel since May 22, 2014.

Chapter 1: Introduction

A Case for a Schenkerian Approach to the Nocturne

In the words of Fauré's son Philippe, "the Nocturnes are not necessarily based on night inspired reveries or emotions but are lyrical, generally impassioned pieces, sometimes anguished, or pure elegies like the Eleventh..."¹ The same commentator adds, speaking more generally, "in piano music there's no room for padding, one has to pay cash and make it constantly interesting. It's perhaps the most difficult medium of all, if one wants to make it as satisfying as possible..."² There is no doubt that, along with the songs and the Barcarolles, the thirteen Nocturnes are the most representative works of the composer, as well as being most definitive of his keyboard style in all its harmonic richness, and most characteristic of his mode of expression and its capacity to evoke something akin to personal charisma. Among the thirteen Nocturnes, the Sixth Nocturne is widely regarded as one of the finest. "There are few pages in all music comparable to these," as pianist Alfred Cortot effusively put it.³ However, in view of its reputation in the performance repertory, the musical and intellectual values of the Sixth Nocturne sadly lack reflection in the music-analytical literature.

Among the relatively few general studies of Faure's music, Richard H. Crouch's 1980 dissertation is representative. It deals with the complete collection of Fauré's Nocturnes and Barcarolles. Of necessity, Crouch's comments regarding different musical elements in the Nocturnes, found in the preface, are quite general:

¹ Philippe Fauré-Fremiet, *Gabriel Fauré* (Paris: Albin Michel, 1957), 138-39.

² Gabriel Fauré and Philippe Fauré-Fremiet, *Lettres Intimes Présentées par Philippe Fauré-Fremiet* (Paris: La Colombe, 1951), 186. This quotation is from a letter written by Fauré to his wife Marie in August 1910.

³ Aaron Copland, "Gabriel Fauré: a Neglected Master," *The Musical Quarterly* 10 (1924), 579.

He is fascinated with highly linear chords like augmented triads and augmented-sixth chords.....voice leading, however free and problematic at times, is a strong factor in harmonic generation and motion. Structural chords and structural progressions are contrapuntally prolonged, and these prolongations represent some of the most interesting harmonic writing.....forms tend to be more complex and extended, their rhythm is more sophisticated and their piano textures more advanced.....melody is marked by increased motivic writing and modality.....harmony is marked by freer successions of 7th and 9th chords, larger and more frequent sequential structures and modal chords and successions.....impressionist elements like whole-tone scales and parallel chords in whole-tone successions represent significant harmonic developments. In the Nocturnes, Fauré shows a clear preference for large ternary structures with highly contrasting middle sections.⁴

In talking about the Sixth Nocturne, he describes the formal organization and discusses a few passages in more detail. However, his writing remains quite general when describing the latter, and his harmonic analysis, while accurate as a description of sonorities present on the surface, lacks much discussion about their roles in shaping a larger multi-leveled harmonic context or tonality. Along with confused labeling of 6/4 chords, his analysis sometimes confuses scalar content with harmonic function: in mm. 7-9, he posits the use of a D^b Phrygian scale, arguing for the presence of a “modal diatonic structure that goes beyond the traditional major and minor modes.”⁵ He asks, “Has tonal modulation or modal interchange taken place?”⁶ Missing here is a more comprehensive and piece-specific explanation of the D^b Phrygian mode as arising from the elaboration of the ^bVI in D^b major (further discussion in Chapter 3, section 3.4). This lack of a consistent reference to a larger tonal picture marks much of the discussion in Crouch’s study.

⁴ Richard H. Crouch, “The Nocturnes and Barcarolles for Solo Piano of Gabriel Fauré” (Ph.D. diss., The Catholic University of America, 1980), i-ii.

⁵ Ibid., 44.

⁶ Ibid., 46.

Joseph A. Valicenti's dissertation, on the complete collection of Nocturnes, appeared in the same year as Crouch's.⁷ Valicenti gives a general analysis of each Nocturne, proceeding in chronological order. Following this is a chapter dealing with pedagogical concerns around the performance of the Nocturnes. With respect to No. 6, there is this single sentence regarding the rhythmic complexity of the opening phrase: "Rhythmic variety occurs with two-against-three patterns throughout the first phrase."⁸ This perfectly valid observation receives no further comment. The rhythmic complexities in the opening phrase obviously demand analysis regarding coordination between melody and harmony, metrical ambiguity and the contrapuntal structure as a whole (which I discuss in Chapter 3, particularly in section 3.1.2 and 3.2).

Jean-Michel Nectoux, in his general study of the composer, points to some of the special features of Fauré's rhythmic practice. He comments on the rhythmic variety found in Fauré's music, pointing out that that less common time signatures such as 3/2 and 4/2 are employed in the Sixth Nocturne, and claiming that "characteristic superimposition of binary and ternary" divisions of the beat proves that Fauré was ambidextrously gifted as a pianist.⁹ The usage of less common time signatures is again mentioned by Robert Orledge in his monograph,¹⁰ in the section entitled "Rhythm." Of much greater interest are his comments on Fauré's approach to modulation. Orledge suggests that, to make a smooth transition between keys, Fauré relies on melodic means. He uses the overlapping content of two scales in melodic formations, subtracting the starting tonic note and carefully adding the modulatory one, rather than relying on pivot chords or related harmonic techniques.¹¹ In some cases, the two scales involved are simply two

⁷ Joseph A. Valicenti, "The Thirteen Nocturnes of Gabriel Fauré" (D.M.A diss., University of Miami, 1980).

⁸ Ibid., 87.

⁹ Jean-Michel Nectoux, *Gabriel Fauré: A Musical Life* (Cambridge: Cambridge University Press, 1991), 244.

¹⁰ Robert Orledge, *Gabriel Fauré* (London: Ernst Eulenburg Ltd., 1979), 259.

¹¹ Ibid., 239.

modes of the same collection, in which case the content overlap is complete. This happens in the Sixth Nocturne, where the overlapping scale degrees of C# minor and A-Lydian help to effect the transition between themes, as well as transforming the quality of the tonality from diatonic to modal. I discuss this in Chapter 3, section 3.4.

Since this thesis is an attempt to use Schenker's theory in a reasonably strict way to explain the coherence of the Sixth Nocturne (more discussion on the reasoning for the Schenkerian approach can be found later in this Chapter), the articles I found most useful were those that have some relation to the Schenkerian approach. Before commenting on a few of these, I want to offer some general observations about Fauré's style as manifest in the Nocturne, and on some of difficulties that this work presents to the analyst who is trying to sketch the sort of unified harmonic, contrapuntal, and motivic picture that Schenkerian analysis aims at.

Fauré is probably best known for his song cycle *La Bonne Chanson* and for his celebrated *Requiem*. Compared to composers to whom he is musically related—such as Debussy, Wagner and Ravel—Fauré had and perhaps still has an underserved reputation as a salon composer, probably because of his much smaller output of symphonic or orchestral music. Having studied for eleven years at École Niedermeyer, Fauré developed a compositional ear for modality from the study of church music. Like other late nineteenth-century composers, he used modality as one aspect of a chromatic technique that pushed the boundaries of tonality. Other aspects of this technique are more collectional in nature, and include the use of octatonic and whole-tone collections. However, a substratum of functional harmony generally undergirds even the most radical surfaces, and it is the tension between the tonal base and the modal-chromatic superstructure that results in the distinctive “flavor of Fauré.”

While the early piano music of Fauré shows him very much under the spell of Chopin, and while he continued to compose in the genres that Chopin made famous—Nocturnes, Barcarolles, Impromptus and Preludes—by the time of the Sixth Nocturne Fauré had developed a style very much his own, one that went considerably beyond anything found in Chopin in terms of harmonic complexity, contrapuntal freedom, and chromatic integration.

Composed in July-August 1894, the Sixth Nocturne exemplifies the features of what is generally regarded as the composer's middle period (1885-1906), that in which his distinctive voice first becomes fully evident: an extended A–B–A form with varied textures delineating the different sections, freedom in the voice leading, chromatic harmonies, modal mixture, octatonicism, and unusual counterpoint between the structural outer voices. Some places on the musical surface of the Nocturne raise up difficulties in analyzing it in a tonal manner:



Figure 1.1 Misalignment between melody and harmony in mm. 0-3

The opening phrase (mm. 0-3) shown in Figure 1.1 is mysterious in the sense of the coordination between the melody and the harmony as well as the bass line supporting it. While

the bass line simply prolongs the tonic by means of a standard filling in of the tonic octave divided by the dominant, and follows this with a typical IV-V-I, the upper melody sounds mismatched to the bass line in terms of traditional counterpoint. As an example, the lack of any dominant-triad pitch in the melody on the last beat of m. 2 results in an apparent dissonant V¹³. This, and the clashing of a V⁷ sonority against the D^b bass on downbeat of m.3 raises the issue of ambiguity between tonic and dominant harmonies, which appear to bleed into one another. Acting as a refrain, this singular passage appears a number of times, so that the sense of harmonic clouding becomes symptomatic of the nocturne as a whole.

Figure 1.2 (mm. 11-16) presents an issue of how this second part of the opening section of the music, a sentence-like structure, is tonally integrated. It presents a highly chromatic and inexact sequence (the quasi-sequence in mm. 12-15) that is difficult to account for as a linear intervallic pattern.

In Figure 1.3 (mm. 19-26) we see the opening phrase of the contrasting (or **b₁**) subsection of the first main part (**A**).¹² Problems abound here. First, it is difficult to determine the functional bass at many points. Then, although the music is in C# minor, it wants to tonicize the dominant minor in mm. 22-23. In fact, the melody arpeggiates a G# minor triad over the course of the excerpt. But no stable G# minor chord occurs anywhere in the metrically displaced accompaniment, which sidesteps the dominant minor to cadence on the dominant seventh chord, on the last beat of m. 26. All of this is a challenge to graph, it being especially difficult to know how to handle the relation between melody and accompaniment in mm. 21-23 and the melodic falling seventh in m. 24.

¹² These labels are found in the formal diagram of the nocturne, in Chapter 2, Table 2.1.

4

11 dolce

12

13 cresc.

14

15 *f molto espressivo*

16 *sempre*

17 *p* *rall.*

18 *pp*

19 *p*

20 *p*

Allegretto molto moderato.

Red. * Red. *

Figure 1.2 Showing mm. 10-20: the highly chromatic sequences in mm. 11-16

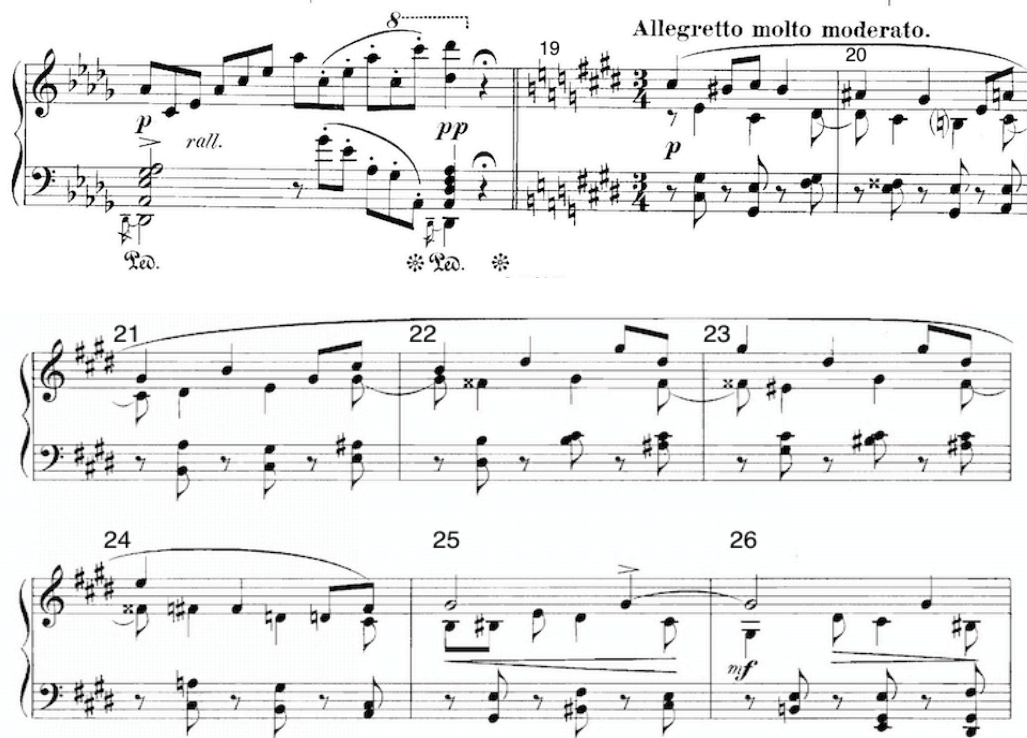


Figure 1.3 Showing mm. 18-26: obscure functional bass in mm. 19-26

Figure 1.4 shows mm. 37-56 of the music, which is subsection b_2 in my formal analysis (see Table 2.1). This three-measure group passage leads to a several problems in analyzing it from a Schenkerian point of view: 1) the unusual melodic leaps to non-diatonic tones, e.g., the $C\flat_5$ in m. 39 and the $D\flat_5$ in m. 42; 2) the very distant diatonic areas introduced with these leaps; and 3) the difficulty of ascertaining the prevailing harmony in these measures. Moreover, in the last nine measures of the passage, the harmony consists entirely of diminished seventh chords, one per measure, but the low bass notes at mm. 49, 51, 53, etc. do not fit with the harmonies above them and, thus, defy easy explanation of any traditional sort.

37 38 39

dolce

40 41 42 43

44 45 46

47 48 49 50

51 52 53

cresc.

54 *molto* 55 56

p

Figure 1.4 Sudden shift to distant harmonies and diminished-sevenths in mm. 37-56



Figure 1.5 Showing mm. 58-61: mM7 chords in mm. 59-61

Figure 1.5 (mm. 59-61) presents the approach to the cadential dominant of the first large section (A). Of particular interest here is one of Fauré's trademark mM7 chords, located on the downbeat of m. 61. These sonorities are always hard to account for in traditional tonal terms, and in this instance, the contrapuntal path that leads beat 1 to beat 3 of the measure requires careful explication.

In Figure 1.6 (mm. 111-114) we find the developmental climax that leads to the closural return of the opening music (the end of the section I label C). This is a very difficult passage to analyze for many reasons. First, the bass in mm. 111-112 is actually a quotation of material from the opening melody (cf. mm. 4-6), but with an implied harmonization that is very different. Then, the succession of chords is neither diatonic nor obviously functional, most of them being 6/4 chords. Finally, a purely linear explanation of how the chords fit together is not immediately evident.



Figure 1.6 Unclear harmonization over opening melody in the bass in mm. 111-114

As the above examples show, the foreground appears to be very challenging from the standpoint of Schenker's theory. Moreover, this is not a complete account of the difficulties found in this Nocturne, being a mere selection from among many very unusual and challenging spots. In deciding how to approach this music, I began by looking for studies that tackle its harmonic and contrapuntal subtleties head on. The articles discussed in what follows, all of which deal with chromaticism in Fauré's music, were especially suggestive for my work.

In Edward R. Phillips's essay entitled "Smoke, Mirrors and Prisms: Tonal Contradiction in Fauré,"¹³ he analyzes and examines some of Fauré's songs from a Schenkerian point of view and summarizes three tonal idioms that are often found in Fauré's music. The first is "the imputation of the 'wrong' function to a harmony at one level of structure while that harmony proceeds in its 'right' function at a deeper level."¹⁴ It is this technique to which the word "mirror" in Phillips's title refers. The second idiom is really a sub-category of the first, a specific instance of the general case. This is the ambiguity of dominant-tonic relationship, metaphorically pictured as a "smoke-screen." The third, captured in the image of prismatic refraction, is the phenomenon of temporal distortion in the voice leading. These three characteristics certainly appear in the Sixth Nocturne. More important to me, however, was being able to take Phillips's first point and generalize it. Generally speaking, in the Nocturne, events that are difficult to understand at the surface find their explanation at levels beneath that surface. For example, in Chapter 3, I explore and extend this point with reference to underlying whole-tone and octatonic scales. Specifically, dissonant formations that appear to have little tonal meaning are shown to form horizontal, outer-voice continuities that do have harmonic functionality and lead convincingly from one area of tonal stability to another. Simpler examples include instances where the dominant harmony is prevented from going to the tonic by a short but complex prolongation. On the other hand, it is also true that in some cases an apparent V proves to be not functional at all, but instead a contrapuntal chord that leads to harmonies other than I. I also present specific examples of dominant-tonic ambiguity, echoing Phillips's "smoke-screen." For

¹³ Edward R. Phillips, "Smoke, Mirrors and Prisms: Tonal Contradiction in Fauré," *Music Analysis* 12 (1993): 3-24.

¹⁴ *Ibid.*, 4.

example, the cadential V chord, as noted in Example 1 and as can also be seen in Example 2, often bleeds over into the succeeding tonic chord, weakening the perfect cadence.

Closely connected with dominant-tonic ambiguity is the status of the 6/4 chord in this music. Such chords do sometimes function traditionally, as cadential (and therefore as dominant) 6/4's, leading to I. At other times, however, they act either as linear 6/4 chords (e.g., mm. 65-66) or as chords of tonic function (as in mm. 106-119). The multifaceted nature of 6/4 chords in this music—and resultant uncertainty as to the true “root” of the chord—implies some effort in analyzing the 6/4 chords with regard to context so as to determine their functions at various levels (as is discussed in Chapter 3, section 3.3).

Other examples of functional ambiguity arise with major-minor seventh chords. While many Mm7 chords do function as dominants, others have tonic function or work as contrapuntal chords. In effect, Fauré blurs the relationship between dominant and tonic by employing the 6/4 chord and the Mm seventh chord in diverse ways.

The third of Phillips's concerns is with distortion in voice leading. This is seen throughout the Nocturne. In Phillips's article, he provides examples that show: unusual dissonances that occur because of temporal displacement of pitches with reference to an underlying counterpoint; and the exchange of voices where a pitch-class leads across different registers, becoming dissonant in the process. As I see it, these are instances of a kind of conflict in melodic-harmonic structure due to deformed voice leading.¹⁵ Melodic and bass structures can be misaligned by the following means: misplacing pitches backward or forward to obscure the actual counterpoint, resulting in dissonance without preparation or resolution; and interrupting

¹⁵ The ascription “deformed” carries no negative connotation. I am using it in a way similar to that employed by theorists who speak of deformations in sonata form.

underlying voice leading, which can then be recovered by invoking Schenkerian techniques, such as voice exchange, motion into inner voice, registral shift and reaching over, sometimes in necessarily free and imaginative ways. My graph of the Nocturne, in Chapter 2, is of course a comprehensive demonstration of the relevance of these techniques, and others related to them, to this music. Phillips concludes his discussion, saying, “As I have demonstrated, Fauré’s music often clouds this basic tonal relationship with specific techniques which may, in a historical sense, originate near the foreground but which come to affect structures that are more fundamental.”¹⁶ This seems to me is a very inclusive and concise account of Fauré’s musical style. All in all, his article opened a door for me and constituted a basis on which to develop my own perspectives on the Nocturne.

James W. Sobaskie touches on some of the same harmonic characteristics of Fauré’s discussed by Phillips. However, in his article named “The Emergence of Gabriel Fauré’s Late Musical Style and Technique,”¹⁷ there is a focus on the texts Fauré chose to set, and on the relationship between music and text in his late vocal works. In this study and in a second article of his,¹⁸ he consistently refers to Fauré’s style as one of “nuance” or “allusion.” These descriptive terms are not very far from the “smoke, prism and mirrors” of Phillips’s descriptions, since they carry related connotations of subtlety, implicitness and indirect reference. As Sobaskie’s text makes clear, the cited terms refer more specifically to tonal implication (a concern of Phillips in his basic, first category), modality, transient tonicization (referenced to

¹⁶ Phillips, “Smoke, Mirrors and Prisms,” 20.

¹⁷ James W. Sobaskie, “The Emergence of Gabriel Fauré’s Late Musical Style and Technique,” *Journal of Musicological Research* 22 (2003): 223-75.

¹⁸ James W. Sobaskie, “Allusion in Fauré’s Music,” in *Regarding Fauré*, ed. and trans. Tom Gordon (Amsterdam: Gordon and Breach Publishers, 1999), 163-205.

Robert Orledge's term of "tonal side-stepping,"¹⁹ as well as to Vladimir Jankélévitch's "false modulation"²⁰ and Gustave Lefèvre's "passing modulation") and metric texturation or the use of (secondary) "shadow meter" (which I treat in section 3.1 of Ch.3), etc.

In discussing transient tonicization, Sobaskie uses Fauré's Sixth Nocturne as an example to illustrate how distant tonalities such as \flat VI and \flat III penetrate from the surface to the deeper levels of musical structure. This discussion incorporates a voice leading sketch of the complete nocturne.²¹ However, I found it hard to evaluate this sketch on account of its compactness and without being apprised of the detailed elaborations on the foreground and middleground. This reinforced my belief that it is essential, especially with highly idiosyncratic approaches to tonality such as one finds in the Nocturne, to work out the foreground and middleground continuities in depth before attempting to arrive at any conception of large-scale structure, including any generalization about important secondary keys, for example, A major and E major in the case at hand. The graph in Chapter 2 and my commentary in the last chapter are the record of my attempt to do just that.

A very different perspective is adopted by Taylor Greer in his dissertation on Fauré. Greer starts from two abstract structural features of the whole-tone scale and treats aspects of selected works of Fauré as flowing from the application of these features: 1) the linked-third span and 2) whole-tone parallelism. He defines the linked-third span as "an intervallic space which is divided into successive major seconds and whose two boundary pitches determine its melodic and harmonic function."²² He notices that two linear progressions of a major third,

¹⁹ Ibid., 183.

²⁰ Ibid., 182.

²¹ Ibid., 186-87. See Example 8.11a and 8.11b.

²² Taylor Greer, "Tonal Process in the Songs of Gabriel Fauré: Two Structural Features of the Whole-tone Scale" (PhD diss., Yale University, 1986), i.

linked by a common tone at their juncture, are often found in high-level top and bass lines, providing melodic continuity, harmonic prolongation and motivic coherence. It was important to me to note that an earlier scholar had emphasized the structural importance of the whole-tone scale in this music. While my analysis places no special emphasis on linked major-third spans, I do find structurally important whole-tone lines in one recurring section of the work (**b₂**).

By “whole-tone parallelism” Greer means “a three-or four-note chord, usually a triad or dominant seventh chord, being transposed by equal intervals, often major seconds, in ascending direction.”²³ This happens in the Nocturne in sequential passages, often involving an abrupt shift between diatonic collections. A particularly clear example is at m. 106, the beginning of the C section.

Robert Morgan’s oft-cited essay, “Dissonant Prolongation: Theoretical and Compositional Precedents,”²⁴ has striking insights about the possibilities for prolongation of diminished seventh and augmented chords. His observations broadened my conception of tonality and encouraged me to consider applying ideas of prolongation to dissonant chords in whole-tone areas and in octatonic passages formed of chains of diminished seventh chords. In Morgan’s terms, some dissonant harmonies can be viewed as structural because they are composed-out or linearized in ways analogous to the treatment of ordinary triads in standard contexts. The following is his definition of the word “dissonant prolongation” listed in his first reference note:

²³ Ibid., 28.

²⁴ Robert Morgan, “Dissonant Prolongation: Theoretical and Compositional Precedents,” *Journal of Music Theory* 20 (1976): 49-91.

In this article the word “prolongation” refers to the overall process of the horizontal unfolding of an interval or chord. Thus it is not, strictly speaking, a translation of Schenker’s term *Prolongation*; rather, it includes this term, as well as such related ones as *Auskomponierung*, or “compositional unfolding.” A “dissonant prolongation” is here taken to be one in which both the sonority prolonged and the manner of its prolongation are dissonant (i.e., not reducible to a major or minor triad).²⁵

Morgan provides a convincing critique of Schenker’s viewpoint, as expressed in the section entitled “The Seventh” under Chapter 1 in *Der freie Satz*. There, Schenker writes that the seventh of a chord is “dissonant ... and cannot at the same time give rise to a further composing-out; only the transformation of the dissonance into a consonance can make composing-out possible.”²⁶ Morgan claims that the examples Schenker provides are somewhat ambiguous and “suggest certain inconsistencies in this regard,”²⁷ that is, in regard to Schenker’s comment about the incapacity of a seventh chord to serve as a means of prolongation. He makes his point by discussing two of Schenker’s examples in detail, one by Bach and the other by Beethoven. I agree that in these examples, as well as others, the dominant seventh chord is used as a structural harmony, and that its seventh is composed-out with a large-scale linear motion, thereby earning the right to be spoken of as prolonged, and conferring that right on the seventh chord as a whole. Morgan speculates that Schenker would insist that these passages are only “passing moments in between stable harmonic regions in some transition and development section.”²⁸ To me, the whole question of consonance vs. dissonance is beside the point. What is really at issue is whether a sonority is fundamental to a passage by virtue of being treated in a manner analogous to the treatment of ordinary triads in standard tonal music. Of course, the analogy is never total

²⁵ Morgan, “Dissonant Prolongation,” 87.

²⁶ Heinrich Schenker, *Free Composition (Der freie Satz): Volume III of New Musical Theories and Fantasies*, trans and ed. Ernst Oster (New York: Longman, 1979), 63-65.

²⁷ Morgan, “Dissonant Prolongation,” 54. See discussion on pp.53-56.

²⁸ *Ibid.*, 54-55.

or exact, but if the linear processes applied to thirds and fifths in conventional tonality are applied to sevenths and to augmented or diminished intervals in later music, or to chords that contain these intervals, then it makes sense to speak of these intervals and chords as being prolonged. Furthermore, whereas such procedures occurred only with transitional formal functions in earlier music, and could thus be spoken of as passing from an overall formal perspective, Morgan shows that in later music, entire thematic sections are based on non-traditional extra-triadic sonorities, treated in more or less the same manner but without engendering any expectation of resolution. This makes recourse to the idea that these sonorities are “just” passing chords unnecessary and unconvincing.

Defined on a contextual basis, “dissonant” prolongation can be attributed to any “dissonant” harmony that is judged to be more fundamental than the others in a self-contained musical continuity of some scope, and thus to constitute the basis of a level of structure. In the last part of his article, Morgan includes an example from Scriabin’s *Enigme* to illustrate the development of the concept of dissonant prolongation in a manner that leads to the serial organization of some twentieth century music. I see a similarity between Morgan’s comments on mm. 23-41 of this piece,²⁹ where parallel sixths ascend through the whole-tone scale, and my treatment of mm. 90-99 in the Nocturne, where I too find that there are parallel tenths ascending through a whole-tone scale (see my graph on p.7 in Chapter 2). The concept of contextually based dissonant prolongation and Greer’s whole of whole-tone parallelism helped to organize my thinking regarding the non-tonal, medial sub-sections (mm. 37-62, 80-99) in the Nocturne.

The essays just surveyed provide significant insights into Fauré’s harmonic language, and suggest approaches to extended chromaticism from a Schenkerian perspective. It seems fair to

²⁹ Ibid., 79-86. See Example 14 on p.85 and 13 on p.81.

ask why these scholars have in common their resort to a Schenkerian approach or, to put the question in a more focused way, what makes a work—for example the Sixth Nocturne—amenable to such an approach. First of all, the composition must lie generally within a diatonic framework. Most music from late nineteenth century, and arguably quite a lot from the early twentieth century, belongs to this category. In this music, even the most extravagant chromaticism, extending to passages that use the whole tone and octatonic collections in their pure forms, can be readily understood as rooted in a diatonic framework, if one that fluctuates unstably among diatonic collections. The Sixth Nocturne is an example. To be sure, there are notable studies that extend the Schenkerian approach to post-tonal music,³⁰ but I do not feel compelled to take a position on such extension to defend the approach's validity to the piece I have chosen to analyze, one in which problematic constructs appear only at the most detailed level and are such as can be accounted for via straightforward, if somewhat involved, extensions of traditional practice, with occasional liberties taken. Most importantly, this Nocturne is linear and contrapuntal in general. As Jean-Michel Nectoux aptly said, “his reliance on modality means that any investigation into his harmonic style must look at the horizontal lines that make up his progressions.”³¹ Many of the chords in the Nocturne are without harmonic function and are most convincingly explained as contrapuntal products of melodic-motivic activity, a situation that seems to cry out for Schenker's concept of prolongation, in which middleground harmonies are composed-out by contrapuntal chords.

³⁰ Examples include Matthew Brown, *Explaining Tonality: Schenkerian Theory and Beyond* (New York: University of Rochester Press, 2005); and James Baker, “Voice Leading in Post-Tonal Music: Suggestions for Extending Schenker's Theory,” *Music Analysis* 9 (1990): 177-200.

³¹ Nectoux, *Gabriel Fauré: a Musical Life*, 229. Nectoux discusses modulations referred to in Lefèvre's *Traité d'harmonie* that influenced Fauré's harmonic language (pp. 227-229).

Phillips's notion that "here details conspire to present different information at different levels of structure"³² accords well with the situation in the Nocturne: ambiguities and complexities, as well as seeming loose ends or discontinuities at the in musical surface, invite the search for a simpler, more rule-bound and more continuous underlying structure, while summoning up the need for commentary regarding relations (which would include any conflicts) among levels, exactly the purpose and ultimate goal of doing a Schenkerian analysis. In specific, temporally displaced voice leading, studied by Phillips, and other disruptive phenomena, such as leaps to unstable tones or registral shifts of pitch classes within harmonic successions that are neither diatonic nor functional, cause difficulty in determining the structural upper voice; while the bass in this music is often implied, not stated. But the voice leading operations of Schenkerian theory (arpeggiation, voice exchange, shift of register, reaching over, etc.) are well suited to disentangling such upper-voice complexities, while Schenker's analyses offer many examples where a structural bass must be read into the texture. Moreover, a Schenkerian approach, which deals explicitly with subtleties of voice leading whereby conventional harmonic progressions are realized in melodically and motivically unique and artistically stimulating ways, is ideally suited to generating the sort of unifying graphic picture, with supporting commentary, that the Nocturne calls out for.

In this thesis, it is my intention to show a relatively simple underlying structure behind the music's complicated surface using Schenkerian analysis. This seems to me the best way to begin to uncover special issues that are unique to Fauré's musical style. In view of the incompleteness and necessarily hard to pin down nature of the full-length voice leading sketch of

³² Phillips, "Smoke, Mirrors and Prisms," 4.

the Nocturne by James W. Sobaskie,³³ however, I feel justified in making another attempt, one that hopefully results in a more detailed and complete picture.

Having provided a context and justification for my project, my thesis now proceeds as follows: Chapter 2 presents a two-leveled graph of the entire work, each level of which incorporates many sub-levels. I have tried to stay as close as possible to an authentically Schenkerian approach, one that Schenker himself would have endorsed, and have also adopted the style of commentary—minus the polemics—found in his major studies. In the final chapter, I concentrate on four issues that emerge from my analysis, being matters that I sense are basic to Fauré's style, and that are perhaps especially, if not uniquely, characteristic of his work. They are: 1) Discord: when what may seem “wrong” at the surface sounds “right” at a deeper level; 2) Intransigence: conflict in the harmonic-melodic structure due to skewed counterpoint and persisting scale degrees; 3) Ambivalence: blurring between tonic and dominant harmonies and 4) Coherence: modality and mixture in the large and the small. My indebtedness to earlier scholars, notably to those discussed here, is obvious.

³³ Sobaskie, “Allusion,” 186-87.

Chapter 2: Investigation

A Comprehensive Schenkerian Analysis

This Chapter consists of two parts and forms the central part of this thesis: first, I will talk about the formal structure of the Nocturne, explaining how I divide the piece into nine sections by their distinctive and diversified grouping of styles, local tonalities, textures and motivic-thematic characteristics; then, I will present an intensive and thorough investigation of each section, focusing particularly on the middleground level.

2.1 Formal organization

The nocturne is divided into four large sections, $\langle A^1, B, C, A^2 \rangle$ and is thus, in effect, a ternary form in which the middle is comprised of two sections. The A^1 and B sections are likewise ternary in design, giving the form as a whole a compound ternary aspect. Section A^1 is comprised of an introductory phrase (mm. 1-3), a statement of the work's principal theme (a , mm. 4-18), and a bipartite contrasting subsection of which the first part (b_1 —mm. 19-36) constitutes a second theme and the second (b_2 —mm. 37-56) a developmental transition. Section A^1 closes with a partial reprise of theme a (mm. 57-62). Section B is a contrasting episode to A , with the new music in a different texture, sonority and style. It is comprised of c^1 (mm. 63-79), a loosely formed theme; b_2' (mm. 80-99), an expanded variation of the developmental transition from the middle of the A^1 section; and c^2 (mm. 100-105), a considerably modified reprise of c^1 . This leads directly to what I have chosen to identify as a separate (large-scale) developmental section (C , mm. 106-114), in which the fragments and materials of section A and B are developed to a climax, and which expands on the cadenza-like character of subsection b_2' .

Finally, section **A**² offers a somewhat more complete (though still partial) reprise of theme **a** (**a'**, mm. 114-129), which is followed by a post-cadential codetta (129-133). Each subsection presents a change of key area, texture and motivic-thematic content, and has a distinct formal and tonal function in relation to the whole. Below is a table showing the formal layout of the nocturne, as just described. The superscript number beside a letter, and/or the prime symbol after it, indicate the varied reappearance of that theme after intervening music; the subscript number indicates a development or continuation of an immediately preceding subsection.

The nocturne opens with the tranquil introductory phrase in mm. 0-3. Theme **a** (mm. 4-18) is divided into two large phrase-pairs. The first phrase-pair, from (mm. 4-10), consists of two segments: a four-measure presentation phrase on dominant harmony, and a continuation phrase that is closely modeled on the introductory phrase, but beginning with an elaborate tonicization of $\flat VI$. The theme continues, with the second phrase-pair (m. 11-18) being a typical sentence structure: with a 2+2+(1+1+2) segmentation in which the continuation (mm. 15-18) returns as a closing refrain in the later part of the piece. This continuation ends with an elaborate approach to and statement of the dominant, which leads to a PAC. The second theme **b**₁ then follows, acting like an intermezzo, with new tempo and character. In nineteenth-century terms, this can also be considered a typical contrasting or lyrical theme. But it is paired with its own developmental continuation (**b**₂), made of much more intense music with an imitative texture and sequential construction.

Sections	A ¹				B			C	A ²
Subsections	a (theme)	b ₁ (theme)	b ₂	a ^{fragment}	c ¹ (theme)	b ₂ '	c ²	Developmental	a'
Mm.	0-3 introduction, 4-18 theme	19-36	37-56	57-62	63-79	80-99	100-105	106-114	114-129, 129-133 as codetta
Key areas	D ^b (I)	C [#] m (i) → E (III)	C [#] m (V) with WT elements; octatonic passage	D ^b (I)	A (b ^b VI)	As in b ₂ previously	E, B (b ^b VII), descending by fourths to F [#] and C [#] = D ^b	Motions from AM (b ^b VI) to 6/4 over V	D ^b (I)
Texture, style	Melody plus arpeggiated accompaniment	Homophonic with a syncopated counterpoint	Cyclic grouping, imitative	Same as theme a	Arpeggio figuration	mm. 80-87: cadenza- like, scale runs; mm. 88-99: same as b ₂	mm. 100-105: Arpeggio	Sequential with accelerated motives from B; bravura arpeggios with idea from A in left hand	Same as theme a

Table 2.1 The formal structure of the Sixth Nocturne

Theme **b₁** (mm. 19-36) is linear, tonal and classical in style and never reappears in the rest of the nocturne. It provides only minimal tonal contrast with theme **a**, since it is in the parallel minor (C#). This whole theme takes the form of a large modulatory period in which an eight-measure antecedent ends on a half-cadence and a parallel consequent ends with an IAC in E major (III of C#m). The following subsection (**b₂**, mm. 37-56) is not in E major; rather it begins on the dominant of C#m but digresses, in three-measure cycles, into remote chords that support a middleground whole-tone melodic pattern. Eventually, the theme liquidates its motivic structure in sequences based on a succession of octatonic collections; these have a transitional function and prepare the music for the return of **a** (mm. 57-62), listed in the table as **a^{fragment}** because it is much truncated relative to its first appearance. Only the climatic continuation phrase of the first theme is quoted, leading to a prolonged cadential dominant.

Section **B** (mm. 63-105) forms an extended and extreme contrast with the preceding music, yet there is a tricky reappearance of **b₂**, in varied form, between two new subsections (**c¹** and **c²**). Subsection **c¹**, a loosely shaped theme, has the key signature of A major after the first two measures of tonic (C# major) introduction, however it never really establishes that key with tonal stability. It is comprised of intertwined flowing lines with a prominent melodic top voice over floating harmonies that stand in octatonic relations to one another. The **b₂** idea is then recalled (mm. 80-99) in much varied form, with a texture of cadenza-like and scalar passages. Instead of serving as a preparation for the return of **a** (as did **b₂** in Section **A**), it unexpectedly returns (**c²**, at m. 100) to the material of **c¹**, but in a form completely lacking whatever tonal stability that theme had. After beginning on the $\hat{5}$ of E major (with V7 treated octatonically), it winds its way to B major and then in a circle of rising fifths, to F# and C# majors. At the end of theme **c²**, there is a move towards cadential tonicization of C# major (in effect the global tonic, enharmonically), but a deceptive turn toward \flat VI (m. 106) leads to a new section (section **C**) that acts as a short development and

progresses to a climax in which the tonic 6/4 chord (on the bass, V, at m. 111) yields dramatically to the 6/4 chord on the bass \flat III at m. 113 (which I label \flat VI^{6/4}). Thus Section A², a large-scale ternary reprise, is welcomed by big cadential 6/4's crowned with cadenza-like figuration in mm. 111-114. Neither 6/4 chord (that on the bass V or that on the bass \flat III) resolves to a to 5/3, and the section dissolves into the high register with a diminuendo on the \flat VI^{6/4}, which is followed by a grand pause (m. 114). This seems a natural elaboration of repeated drifts into this tonal region: in theme a (m. 7 ff.), in **a**^{fragment} (mm. 60-61), and of course in theme c¹. The way the final return is preceded by a cadential 6/4 and cadenza-like figuration recalls the concerto idiom, with the important difference that there is no resolution to tonic within section C.

Section A² reprises the second half of theme a, its second large phrase, arriving at a cadential 6/4 in m. 124. This is prolonged by a lengthy series of chords organized by chromatic contrary motion, and ultimately resolves with a PAC at m. 129. Mm. 129-133 form a post-cadential codetta. From section A to B and to C, it is not hard to see that there is a trend of going from standard to extended tonality, from functional to non-functional harmony, and from tight-knit to loose textural and rhythmic design.

2.2 In-depth study of each section

This part is aimed at analyzing the important details in each section, shedding light on the foreground and middleground levels, and dealing with complexities: harmonic, melodic, rhythmic, formal and textural. Since I am using the Schenkerian method as strictly as possible, I want to begin by explaining my choice of *Urlinie*. I have chosen a 3-line rather than a 5-line due to the insufficient and non-structural appearance of, or the lack of adequate support for, the $\hat{5}$ and especially for the $\hat{4}$, the latter of which is in fact quite consistently avoided altogether in linear melodic descent, being replaced, for example, by the $\hat{6}$. I also want to explain that I understand the

extensive use of A major in this piece as a notational convenience, taking it to represent B \flat major, the \flat VI.

2.2.1 Section A (mm. 0-62)

Section A begins in mm. 0-3 with a self-contained introductory phrase that has a closing-gestural quality (see Figure 2.1). While this phrase is short its counterpoint is not simple. There is a series of seventh chords in the beginning measures, but their sevenths are not necessarily prepared and may be resolved in free ways. There is a hemiola in mm. 1-2, with three similar melodic patterns, each lasting two beats. These patterns elaborate a linear progression of a descending third with local rising and falling thirds, but are coordinated with the bass (which has a rising fourth-progression) to produce a seventh (m. 1.2), an “eleventh” (m. 2.1), and a dissonant sixth, (m. 2.3), all with foreground seventh chords. After the pre-dominant is reached in the bass at m. 2.2, there is a PAC that supports $\hat{2}$ - $\hat{1}$ for the closure of this small phrase. Note that the $\hat{3}$ is introduced at m. 1.1 over a 6-chord (of F minor), so that neither the F4 at this location nor that which serves as a neighbour to the $\hat{2}$ at m. 2.3 is given fully consonant support. Yet the arpeggio descent at the beginning of the phrase (m. 0), which is also profoundly motivic as we shall see, is enough to establish the F4 at m. 1.1 as the initiator of the *Urlinie*. The first chord of m. 3 is a suspension of the V7 sonority over the tonic root. One could also view the chord at m. 2.3 as resulting from the suppression or compression of a tonic 6/4, which is here reduced to the aforementioned neighbouring 6 above the A \flat bass. These elisions and overlappings of dominant and tonic sonorities suppress the effect of the perfect authentic cadence.

Fauré, Nocturne No. 6 Op. 63



Figure 2.1 Schenkerian graph showing mm. 0-10

It is worth mentioning that, as well as the two-beat hemiola pattern beginning at m. 2.1, one can clearly perceive a three-beat pattern that follows the notated meter in the bass. But there is a further possible perception here, namely, of a two-beat pattern in the top voice, beginning with the third beat of m. 0. This seems to follow from the contour accents at the peaks on m. 0.1, 1.2, 2.1, and (less strongly) 2.3. Clearly, though, this pattern peters out at the cadence. One way of listening might be to hear this pattern at first, but shift at some point to the “correct” hemiola, correct because it takes one to the cadence, as hemiolas should.

In the middleground level, I show a simpler counterpoint. Since the constant 7th chords are built on the passing steps in the bass that connect the low opening D♭2 to D3, they are actually part of the prolongation of the tonic chord. The C half-diminished chord at m.1 b.3, which might be expected to resolve to a D♭ tonic chord, moves to a D♭9 chord instead. In the process, the G♭4 of the foreground (m. 2.1) is displaced: it could be viewed as an inner-voice suspension that delays the F3 in the D♭9 chord. The latter serves as the end of local tonic-harmony elaboration, since the end of the linear progression in the top voice already introduces the IV. Furthermore, the $\hat{3}$ is prolonged from the tonic in m.0 to the 6 over the V at m.2 b.3. The phrase thus exhibits a standard I-IV-V-I progression amid complex counterpoint.

I will continue this discussion of theme **a** by treating mm. 4-10 with more focus on the middleground level. Generally speaking mm. 4-5 is an elaboration of V, and mm. 6 repeats m. 4. Therefore I omit the music of mm. 4-5 in the middleground. In m.6, the V⁶ harmony mutates into a ♭VII⁶ chord with the aid of a passing diminished seventh. The resulting C♭ then reaches over to form a seventh above the tonic in m. 7. But instead of resolving to IV, as in m. 2, this chord resolves here, significantly, to ♭VI. The “deception” in this progression is more obviously seen in the bass, where the D♭ stays as a common tone rather than falling by fifth. The ♭VII can be regarded as the IV in a IV–V implied motion to G♭ (in which the deceptive ♭VI acts as a ♭III). The

tonicized \flat VI is enharmonically written as A major in the score. I consistently notate it in $B\flat\flat$ in my graph to clearly show its scale-degree function in the larger tonality of $D\flat$. Beat 3 of m. 7 and all of m. 8 present a pretty standard I-IV-V-I in \flat VI with all in root position, yet the seventh of IV ($C\sharp = D\flat$) moves *up* by step to the seventh of the following V chord. Note that the $D\flat$ major arpeggiated motive reappears and transforms to $B\flat\flat$ major, as shown in square brackets. It is this motive which causes me to omit the local V of \flat VI (in m. 8) at the middleground, while retaining the IV, a decision also supported by the foreground melody in m. 8, which clearly refers to the IV, not the V. Likewise, the tenor voice's $G\flat3-A\flat3$ at m. 8 b. 2 never reaches $B\flat\flat3$, as the presence of a V would demand; instead, the leading tone drops down to $A\flat\flat$ to form a Mm seventh chord. The purpose of this is to introduce a chain of three Mm7's that takes us, through $G\flat7$, to $E\flat7$, the V7/V in $D\flat$, in preparation for the PAC that ends the first part of theme **a**.

The top voice regains F4 ($\hat{3}$) in m. 9 by way of a linear progression of a third from $D\flat4$, one of unusual nature because it is supported by inversions of the $E\flat7$. Although F4, when reached, is not consonant, being supported by a V7, it serves to return the mode to major, and to introduce the $\hat{2}-\hat{1}$ cadential descent.

The second half of theme **a** (mm. 11-18) shown in Figure 2.2 is modulatory and sequential in character, but its phrase structure is that of a sentence and it ends with strong tonal closure in the tonic key. The intervallic structure of the melodic lines in this part strongly recalls mm. 4-5. Linearly, the sequence (model mm. 11-12, copy mm. 13-14) exhibits two different species of motion at two levels: locally it descends to an inner voice, while globally it ascends to form an arpeggiation of the $D\flat$ minor chord $\{D\flat, F\flat, A\flat\}$ in an upper middleground melody that hints at the parallel minor mode of theme **b**₁. Harmonically, it sets up the motion to \flat III (m. 15), to which **b**₁ also modulates. In mm. 15-16 there is an accelerated, much simpler sequence, in which the \flat III

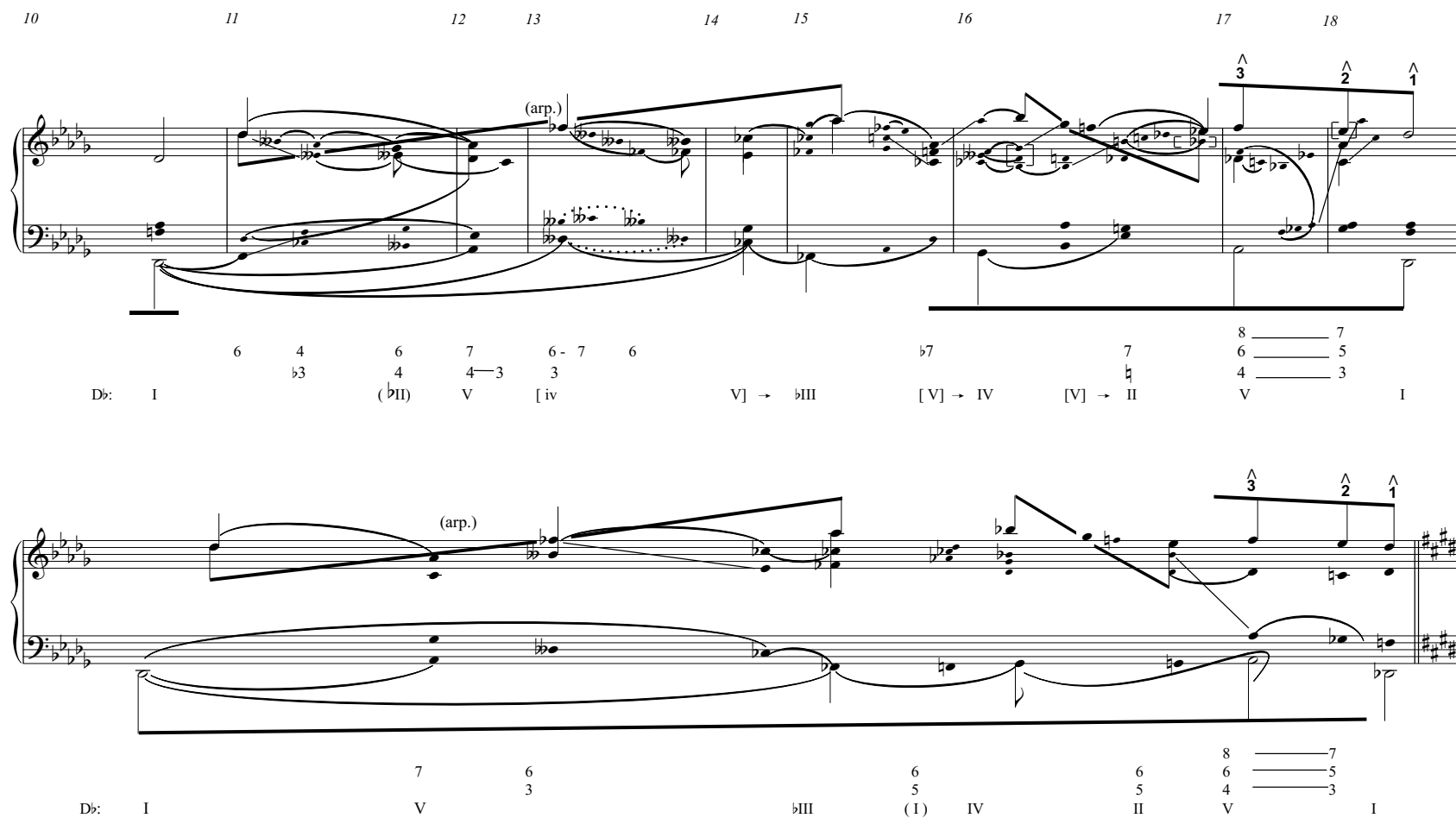


Figure 2.2 Schenkerian graph showing mm. 10-18

arrived at the end of the preceding sequence is connected to IV, through the latter's secondary dominant, while the IV similarly connected to the cadential V in m. 17. In m.16, there is a melodic unfolding of ii, B \flat 5–E \flat 4, as the IV turns into ii over a bass arpeggiation of the latter harmony. This downward unfolding answers the upward triadic unfolding in mm. 11-15. The short inner-voice motive <F4, C4, B \flat 3, A \flat 3> (marked with accents) decorates the extended 6/4 before the closure of section A. This motive is later developed as a terminal signature of the theme **a**.

The middleground shows a clearer picture when the details of the sequential motions are removed. It highlights the descending-4th interval pattern from the sequence: first D \flat –A \flat , then F \flat –C \flat . The large scale tonic minor-chord motive <D \flat , F \flat , A \flat > in mm. 11-15 is composed out of the first note of each sequential unit. In the bass line, the broader motion is from D \flat 2 to C \flat 3, then a fifth down to the F \flat where \flat III harmony is introduced. I have shown the seventh chords on the last beats of mm. 15 and 16, the applied dominants to the following chords, in first inversion. This is to demonstrate the smooth chromatically ascending bass that may be said to conceptually underlie the sequential pattern.

Following theme **a** comes the second theme (**b**₁), shown in Figure 2.3. Subsection **b**₁ is in tonic minor, notated as C# minor. The whole of **b**₁ can be seen as a large-scale period, with mm. 19-26 as the antecedent, ending on the dominant, and mm. 27-36 as the modulatory consequent ending in the relative major as tonic. In the antecedent, a structural fifth, rising from C#5, is shown at the middleground. This is preceded by a melodic fourth falling from C#5 to G#4, where the tonic minor chord digresses to III. This descent is exceptionally in melodic minor, with $\hat{6}$ and $\hat{7}$ being sharpened. One remarkable point about this theme is that there are frequent shifts of register by octave transfer or reaching over, which are made clear at the foreground. In m. 21, the C#5 reaches over from the inner voice, prolonging the C# from the start of the theme, at m. 19, in its original register.

19 20 21 22 23-24 25-26 27 28 29 30 31 32 33 34 35 36

5th-prog ↑

8ve ↑

6-5 4 6 7 5 4 4 4 6 6 7-8
 4-#3 3 3 3 3 2 3 4 4 4 6 7 7
 2 2 2 2 2 2 2 2 2 2 4 3 3

c#: i III II iv V i E: I (V) I (bVI) IV V I

5th-prog ↑

8ve ↑

7 5 6 7 7
 3 3 4 b3 4 4

c#: i II V i E: I IV V I

Figure 2.3 Schenkerian graph showing mm. 19-36

However, the rising fifth is not destined to occur in the C5 octave: the note E5 in m. 23 moves down a seventh to F# rather than up a second, interrupting with a downward octave shift. As a result, this rising fifth is articulated as a rising second (C# to D#, V/V) followed by a rising fourth, using a descending octave shift to change registers. Hence, the antecedent is symmetrically balanced melodically as well as harmonically: the opening falling fourth leads to G#4, which is also the goal of the subsequent rising fourth, and the harmonic progression from I to V is bisected by III at the arrival on the axial G#4. In effect, the III is a divider in both melodic and harmonic senses.

The consequent starts in parallel with the antecedent, however the later half departs and develops from III, the relative major. There is a long lingering on the dominant of III in mm. 30-33, with a chromatic wedge expanding to the bVI (with added sixth) in m. 33 and then to a big appoggiatura to the I6 chord in E major, followed by the standard cadential progression IV–V–I. Although the A#5 appoggiatura in m. 34 seems rather sudden, it is worth remembering the rising fifth in the antecedent, which led to a G#4. Since, as I explained, this G#4 would have been a G#5 had the octave shift at mm. 23-24 not taken place, one can hear the A#5 as a stepwise continuation (motivically, not in a structural sense) of the rising fifth as a result of the superimposed E5, F5, and A5. The overall linear shape of the theme is a descent from C# to B, where the structural notes C#5 and B4 at the beginning are transferred the higher octave at the end.

Subsection **b**₂ (see Figure 2.4) has a transitional function, and connects the second theme to the return of the first theme, which closes section **A**. There is a cyclic structure to **b**₂, in which similar groups of three measures recur four times. The first two three-measure groups (mm. 37-39, mm. 40-42) depart from a V7 chord of C# to different ends. The second two (mm. 43-45 and mm. 46-48) depart from a B diminished seventh chord and have the function of prolonging that chord and transitioning to diminished seventh cycles. It is difficult to understand the harmonic progression in traditional terms: after the V7 of C# in m.37, the music reaches to a quasi-C major

chord (with added A) in m. 39, reaching it by means of an A dominant-7th sonority (in m. 38) that is either heard as a German 6th to the preceding V or as implying a motion to D, the Neapolitan. Since there is no obvious tonal-harmonic link between the A7 and the C ^{9/6/4} chord, it seems better to identify a horizontal and linear relationship of the C chord to the G#7 chord (the linear relationship to the A7 is obvious). Both the soprano A4 and the G \flat 2 in the bass are the neighboring tones of G# with a neighboring motion in both the soprano and tenor voice. C \flat 5, actually a B#, is superposed from the inner voice in the G#7 chord serve as the top voice of the C chord instead of A4. Each voice moves independently with neighboring motion such that the harmony is a by-product of the linear motions embellishing the G#V7 chord. The second group begins the same way as the first, but travels to a more distant chord, the B \flat major sonority in m. 42. This can be understood as a mixture of D minor and B \flat major, or the Neapolitan minor of C# and its \flat VI. The pitches D5 and F2 in this chord are chromatically derived from B# and D# in the G#V7 chord respectively, via the motions B#–C#–D and D#–E–F, where C# and E are found in m.41. B \flat 2 is emphasized as the main chord root by its approach from F2. The D and F become the common-tones for the B diminished seventh chord in the third group, which leads to a clear statement of a B \flat chord in m. 45, in root position. The fourth three-measure cycle (mm. 46-48) is a prolongation of the Bdim7 chord, which occurs in mm. 46, 48, 50, and 53-56. Over the course of the four three-measure groups, the music moves from elaborating the dominant of C# into a harmonic realm in which diminished seventh chords progress sequentially from one to the other without any clear tonal reference, forming octatonic complexes. Starting at m. 48, there are two two-measure ideas based on motion from Bdim7 to C#dim7. This pattern is then sequenced up a tone in mm. 52-53, and links to a big octatonic cycle in which diminished seventh chords on minor-third related notes D, F, G#, B are pitted against their “tonics” of resolution in the bass, respectively E \flat , G \flat , A and C. This whole diminished seventh

37 38 39 40 41 42 43 44 45-47 48-50 51 52 53 54 55 56

whole-tone scale in top voice

G# minor scale in bass

c#: V 4 2 6 6 5 N minor bVI/ N minor Bdim7 B#dim7 C#dim7 [Octatonic cycle]

whole-tone scale in top voice

G# minor scale in bass

c#: V bVI/ N minor dim7 dim7 [Octatonic cycle]

Figure 2.4 Schenkerian graph showing mm. 37-56

passage builds up much tension and a great desire for resolution. One could hear the lower diminished seventh chord (formed of the “tonics” {D \sharp , F \sharp , A, C}) as leading to the bass E in m. 57, the point at which theme **a** returns in fragmentary form. However, the matter of horizontal and linear approach outweighs any harmonic perspective in reaching the E major chord. In my graphs of mm. 53-56, the bass line indicated by the slur emanating from the stemmed D \sharp 2 is a linear form of D \sharp dim7 chord, which resolves to E chord in m. 57; the F in top voice prolonged to an upper octave acts as a sort of leading tone to the F \sharp appoggiatura in m. 57.

Linear relationships and the counterpoint of top and bass voices are the main features of **b**₂. In the middleground, my graph clearly shows the structural top voice as a whole tone scale from {C–D–E–(F)} leading to F \sharp . The bass line is interesting in that it structurally forms a G \sharp minor scale, from the G \sharp 2 m. 37 to the A \flat 2 in m. 59. This seems to flow from G \sharp ’s starting role as the root of the V chord at m. 37, and it is this aspect of **b**₂ that links it with the C \sharp minor of **b**₁. The whole-tone upper voice, as well as the motion to B \flat (m. 42) and its eventual transformation into a Bdim7 chord and, through the latter, into the octatonic cycle, all underlie a textural and rhythmic design that produce an effect of searching transition, without tonal focus.

The first theme returns in fragmentary form, as a quotation of the continuation phrase of the second sentence of theme **a** (mm. 15-18), but the dominant is prolonged for three measures (mm. 59-61) with an infusion of the \flat VI sonority (see Figure 2.5). The motive that decorates the closure of theme **a** <F, C, B \flat , A \flat > reappears and is further developed here—stated three times in different registers as the main device for the prolongation of dominant harmony. It is expanded to <A \flat 5, C5, B \flat 4, A \flat 4> and repeated once more an octave higher in mm. 60 and 61. On the downbeat of m. 62, an A minor chord with seventh G \sharp is sounded, preceded by the dominant seventh of A minor on the third beat of m. 62. This reference to A minor recalls the preceding emphasis on \flat VI (B $\flat\flat$ major),

which is here linked to G^\sharp , the $\hat{5}$ of C^\sharp minor, in a single chord. The glue of this relationship is of course the augmented chord $\{C, E, G^\sharp\}$ which relates in an equivalent way to the D^\flat and A triads, major or minor. The stress laid upon this augmented chord means that the $\hat{2}$ of D^\flat major's *Urlinie* appears somewhat belatedly, at the very end of m. 61 and then, suspended, over the tonic bass of m. 62.

2.2.2 Section B (mm. 63-105)

Section **B** provides large-scale and substantively marked contrast to section **A**. It introduces a new subsection **c** in A major, one with a shimmering high-register melody over modal and octatonic sonorities. After an extended interruption by subsection **b**₂, which here incorporates quasi-improvisatory passages, **c** returns in the key of B major. To a degree **B** resembles **A** in terms of structure: like **A**, it starts with an introduction, and alternates themes: $\langle \mathbf{c}^1, \mathbf{b}_2, \mathbf{c}^2 \rangle$ in **B** vs. $\langle \mathbf{a}, (\mathbf{b}_1 + \mathbf{b}_2), \mathbf{a}^{\text{fragment}} \rangle$ in **A**. The difference is that **B** leads directly into section **C** (at m. 106), with a local deceptive progression (V to $\flat VI$ in $C^\sharp = D^\flat$) leading from a descending $P4$ sequence that implies a possible cadence in the tonic key to an ascending $M2$ sequence that implies further development.

Episode **c** (see Figure 2.6) is preceded by a two-measure introduction, consisting of an arpeggiated D^\flat major chord, in which upper-neighbour motions from F to G^\flat and F to G^\sharp alternate in the top voice, while lower-neighbour motion to from A^\flat to G^\sharp occurs in an inner voice. This prefigures the semitonal motions $D^\sharp-E$ in the top voice and $C^\sharp-C^\flat$ in the bass of theme **c** proper (e.g., at mm. 65-66). The introduction provides a space for transitioning from D^\flat major to A major, the enharmonically spelled $\flat VI$. The abstract voice leading involved is this: D^\flat is retained as C^\sharp , F

descends a semitone to E, and A \flat rises a semitone to A, all of which suggests the augmented triad as underlying glue.³⁴

Subsection **c** once again assumes the form of a period, thereby resembling that of theme **b**¹. It opens with repeated two-measure idea (65–66 and 67–68), followed by a continuing phrase that leads to a half-cadence (at m. 71). In the opening idea, an A major 6/4 leads to a C major 5/3 chord, the \flat III of A major. This harmonic progression is the result of an unusual counterpoint of the two outer voices: a gapped Lydian scale on A {A–(B)–C#–D#–E} in the top voice against a minor-scale bass (E–D#–C#–C). That is how Fauré might have understood these lines; we can also say that both are octatonic in the A/A# scale. This results in a voice exchange between C#/C and E, one that is reversed in the next measure, via a passing diminished seventh chord. When the two-measure idea is repeated, the initial voice exchange is followed by an ascending chromatic 4-progression in mm. 68–69, where it reaches A6, the apex of the section. It then falls down to C#6 and ultimately to E5 through a series of Mm7 chords. As my middleground graph shows, the structural melody of theme **c** is based entirely on arpeggiation of the A major chord in both outer voices. The antecedent ends with the dominant seventh in third inversion, yet on the last beat of m. 71 the root E2 is added. In my graph I assume that E3 is understood on the downbeat, since it is necessary for the half cadence that produces the interruption preceding the consequent. The E2 on beat 4 makes it clear that D3 (on beat 1 of m. 71) is not a neighbor to the first bass note of the consequent.

Mm. 80–99 bring back **b**₂ which, once again, has two parts: the first is a varied version of the cyclic patterns, found in the earlier statement of **b**₂, in which G#7 chords digress into distant harmonies (mm. 80–87); the second is a series of diminished seventh chords built on chromatic

³⁴ See the discussion of the pitch-class voice leading centrality of the augmented triad in much nineteenth-century music in Richard Cohn, *Audacious Euphony* (New York: Oxford University Press, 2012), 33–37 and 48–56.

63-64 65 66 67 68 69 70 71 76 77-78 79 80

6 6 6 5 6 6 6 7 7 4 6 7 6 7

4 4 3 4 4 6 7 7 2 6 7 6 7

D \flat : I I \flat VI (P) (P) I V I V = G \sharp : ii V I

A: III \sharp (P) (P) I V I I I I

A major-arp 4-prog ↑ A major-arp

mm. 65-68, 69 b.1-2

D \flat : I I \flat VI 6 6 7 V = G \sharp : ii V I

Figure 2.6 Schenkerian graph showing mm. 63-80

90 91 92 93 94 95 96 97 98 99 100

chromatic ascending top voice

chromatic ascending bass line

B dim 7 B# dim 7 C# dim 7 D dim 7 D# dim 7 [Octatonic Cycle]

chromatic ascending top voice

chromatic ascending bass line

series of chromatically ascending diminished-7th chords

vii[°] 7 \longrightarrow $\begin{matrix} 7 \\ 4 \\ V \end{matrix}$

Figure 2.7 Schenkerian graph showing mm. 90-100

steps (mm. 90-100), an expanded and differently directed rewrite of the concluding phrase of the first iteration of **b₂**. Mm. 80-89 are not shown in the graph since the harmonic structure is a repeat of the first half of **b₂**'s earlier appearance (mm. 37-45). The variation in this music consists in changed meter (where a bar of 4/2 replaces two of 3/4) and much altered figuration—the distant sonorities are now “magnified” by running scales: m. 81's scale of C major corresponding to m. 39 and B \flat major scales in mm. 86 and 89 to m. 42 and m. 45, respectively.

Mm. 88-89, which begin the second part of **b₂**, correspond exactly to mm. 46-47, and are also absent from the graph. Mm. 90-99 (see Figure 2.7) show an extended sequence of dim7 chords. Mm. 91-97 correspond to mm. 49-53, except for the insertion of measures (92 and 95) that transpose the preceding measures by T^3 , hence by one step up in the prevailing dim7 chord. These insertions are shown in the graph with unfolding symbols. Also, in the varied and expanded restatement, there is a rise through four half steps, from D#5 in the top voice of m. 91 to G5 in m. 97, whereas in the earlier passage, the rise is only of two half steps, from D#5 in m. 49 to F5 in m. 53.

There are actually two octatonic collections in play in both passages (**b₁** and **b₂**). All notes except the bass downbeats of mm. 97-99 are in octatonic (0,1). The bass adds the missing diminished seventh, so all twelve tones (except for D) can be heard in this passage. After reducing out the passing tones in the upper voices, we get just the diminished sevenths that appear in the middleground graph. Thus, at the middleground the music reduces to octatonic (1,2). However, if the important passing tones in the top voice are retained, and the bass downbeats omitted from consideration, octatonic (0,1) is shown to be present. And it is actually octatonic (0,1) that is tonally functional here, because it omits B, the root of the B7 that is being prepared at m. 100. In other words, octatonic (0, 1) acts as an extended vii/V, and the low notes in the bass, on the downbeats, anticipate the B root of the goal chord. In the earlier passage (mm. 53-56), on the other hand, it was

the diminished seventh formed by the low notes of the bass (note that all four notes of the chord are sounded there, while only three sound here) that were tonally functional, by virtue of arpeggiating the vii of the \flat III in m. 57. This helps to explain why the final arpeggiation is one measure shorter in the recomposed version of \mathbf{b}_2 .

The middleground provides a clear picture of the series of chromatically ascending diminished seventh chords. The stemmed notes in the top voice indicate the whole-tone gesture echoing that in the earlier \mathbf{b}_2 : the (D–E–F \sharp) transposes the whole-tone segment {C–D–E} found in the earlier \mathbf{b}_2 by T^2 , as a result of the changes detailed above. Another whole-tone segment (B–C \sharp –D \sharp) can be found in the bass as well. The whole-tone transposition of a line ascending in whole tones is of course a preparation for \mathbf{c}^2 , which despite beginning on the dominant of E major, finds its way to B major, and thus to a whole-tone-up restatement of the core melodic content of \mathbf{c}^1 .

The opening motive of \mathbf{c}^1 reappears in quasi-E major to initiate the \mathbf{c}^2 subsection (mm. 100–105, shown in Figure 2.8). Although the melodic line and the phrase structure are similar to \mathbf{c}^1 , the bass line, harmonic progression and some details of the melody differentiate it from the earlier passage. Unlike \mathbf{c}^1 , this section has a less stable sense of any key. It begins with a BMm7 with 4-3 suspension, which goes to an octatonically related G \sharp Mm7 chord, utilizing the common-tones D \sharp and F \sharp . There is thus a significant difference in the opening motive between \mathbf{c}^1 and \mathbf{c}^2 : though both passages rely on octatonic (minor-third) relations, \mathbf{c}^1 starts with a tonic 6/4 going up a minor third to \flat III by passing motion, while \mathbf{c}^2 starts with a dominant seventh chord with suspended 4th going down a minor third to III by way of common tones. When the motive is repeated in m. 101 it leads to an ascending 8-progression. This finally establishes the B major chord at m. 103, beat 3 in a more assured 6/3 position as well as producing an upward octave shift of B in the top voice. What is unusual, and less than easy to grasp, about the tonality here is that the B chord at the beginning

100 101 102 103 104 105 106 107

8-prog ↑

octatonic

7 4 2 V

4 2 III

7 6

6 5 4 3

E: V III V B: V vii° I F#: V I C#:D#: V (I) bVI bVII

8-prog ↑

octatonic

7 4 2 V

4 2 III

6

6 5 4 3

E: V B: V I C#:D#: [IV] → V I

vii/[IV] 4

vii/V 4

(m.108)

Figure 2.8 Schenkerian graph showing mm. 100-107

sounds like a dominant (presumably of E major), but at the conclusion of the rising 8-progression, at m. 103, beat 3, the chord has lost its seventh and sounds like a tonic. The process is more one of transmutation rather than modulation, and relies on the rising-m3 progression of augmented chords in m. 102. In augmented-triad space, a rising m3 is equivalent to a rising P5, which is the relation between E major and B major. There follows a transpositional cycle by descending fourths, in which the four-beat motive that begins at m. 103, beat 3 is taken to (implied) F# and C# majors in mm. 104-105. The implied arrival on an F# root at m. 105, beat 1 together with the progression to a G# root at the start of the final sequence pattern on beat 3 of m. 105 add up to a cadential preparation (IV–V) of C# major, which is the global tonic, enharmonically interpreted, though it is evident that any easy recourse to enharmonic equivalence would not do here: considerably more work is needed to make C# major, arrived at in this manner, sound anything like the tonic of this Nocturne. Therefore, a deceptive twist towards \flat VI (m. 106) brings forth a new section (section **C**) that acts as a development with climax. Relying on a blend of motives from theme **c** and theme **a**, this section acts to prepare the re-establishment of a proper tonic, signaled by the return of section **A**.

2.2.3 Section C (mm. 106-114.2)

Section **C** starts with a series of sequences, eventually resetting the key to global tonic D \flat major (see Figure 2.9). The head-motive of the theme **c**¹ is the sequential model, and the sequence starts on A major at m. 106 and reaches D \flat major at m. 108, ascending by whole steps. At the middleground (mm. 104-108; see Figure 2.8) the square bracket shows an upper-voice arpeggiation of D \flat major, notated enharmonically as <C#6, G#5, F5>. This shows that the global tonic triad is present throughout mm. 104-108, connecting the sequence that ends the **B** section (mm. 103-105)



Figure 2.9 Schenkerian graph showing mm. 108-114

with that which initiates the **C** section (mm. 106-108). Mm. 108-109 transition from the second of these sequences to the cadential passage in mm. 110-111. Some imagination is required to fill in an implied but missing chord in m. 109. The EMm7 chord at m. 108.3 is rewritten enharmonically as F \flat Mm7, due to the return of D \flat major. This leads to an implied E \flat Mm7 not found on the score. This added chord results in a consistent pattern of Mm7 chords that descend in in chromatic steps. At a surface level in m. 109, there is an implied II-V-I progression in the series of seventh chords; at a deeper level, the series of seventh chords serve as a medium of a prolongation of the global tonic chord. Although the D \flat chord in m. 108.1 is in second inversion, it is functionally a I chord and indicates the first sign of the return to D \flat major.³⁵ While mm. 108-109 set the stage for the return of the tonic key, it is only in mm. 110-111, where we find the standard progression of IV-II-cad6/4, that we understand that a cadence in the tonic is being prepared. More hints for the return of section **A** are provided by the reappearance of the opening motive of theme a (mm. 4-6) in octaves in the bass line, against vivid arpeggios above. However, this thematic return is no occasion for the resolution of the cadential 6/4, which by m. 113 is replaced by another 6/4 chord, this time of A major. The latter sounds like a cadential 6/4 in \flat VI, but instead of prefiguring a cadence in A, this chord offers a point of reentry into the main theme at the equivalent of m. 7.3.

2.2.4 Section A' (mm. 114.3-129, codetta in mm. 129-133)

The last page of the graph (see Figure 2.10) portrays the Section A'. Mm. 114.3-123 are a literal restatement of mm. 7.3 to 16. At m.124 a 6/4 on the dominant is reached and the final cadence begins. This V6/4 is extended and prolonged by the infusion of a chain of linear chords making up a chromatic wedge, which leads to a PAC in m. 129. At m. 124 he decorative motive

³⁵ See further discussion about this dominant-tonic ambiguity in Chapter 3, section 3.3.

<F4, C4, B♭3, A♭3> is featured, changing to the varied form <G♯5, B4, A4, G♯4>, doubled at upper octave, over the bIII in m. 125. Chords with stemmed top notes G♯, C♯ and F (signifying arpeggiation of a D♭ major triad) are highlighted by a square bracket. The 5/3 resolution chord on the last beat of m. 128 is preceded with alterations in the bass and top notes: ♭7̂ (C♭) goes to 7̂ (C♯) in the top voice and ♭6 (B♭♭) goes to 5 (A♭) in the bass. This counterpoint leads to the conclusive tonic chord on m. 129 beat 1. At the foreground, the 2̂ is implied in the upper register because the arrival of 1̂ is preceded by 7̂ at the musical surface.

After the formal closure with the extended PAC in m. 129, there is a post-cadential codetta in mm. 129.2-133. It plays with the decorative motive <F, C, B♭, A♭> over chromatically rising major thirds: <C♭ with E♭, C♯ with E♯, and D with F> in the inner voices.

115-116 117 124 125 126 127 128 129

mm.118-123
same as
mm.11-15

mm.118-123
same as
mm.11-15

6 4 7 5 6—5 4—3 I

Db: bVI II V I

6 4 6 4 7 5 3 1

V bVII V I

6 4 7 5 6—5 4—3 I

Db: bVI bVI II V I

6 4 6 4 7 5 3 1

V V V I

Figure 2.10 Schenkerian graph showing mm. 115-129

Chapter 3: Conclusion

A Path from Complexity to Coherence via Reductive Approach

Chapter 2 describes a reduction of the musical surface from foreground to middleground, in which my understanding of controlling events and structures is laid out. Despite the chromatically challenging situation at the foreground level, Schenkerian analysis provides clear tonal interpretations of the music's details, and leads to a view of large-scale structure of sections, giving more substance to a formal analysis based only on themes and textures.

In this chapter I use what I learned from completing the graph to give substance to four general observations. These point to features that may be especially characteristic of Fauré's music. As the reader will note, these observations are based on the ideas of Edward Phillips, which are discussed in Chapter 1.³⁶

My first observation is that what appears to be “wrong” at the surface may sound “right” at a more fundamental level. Challenging examples shown in Chapter 1 are discussed here to show how a Schenkerian perspective dissolves problems at a deeper level. As a generalization of this observation, I discuss how somewhat surprising, and even jarring shifts to non-tonal collections can be made to seem plausible because of the way that elements of these collections are mapped on to higher-level diatonic continuities, which are thereby prolonged. In other words, the same middleground linear continuities acquire dual meaning, within the prevailing non-tonal collection and within a diatonic framework that extends to the piece as a whole.

³⁶ See pp. 10-12 in Chapter One where I discussed the ideas of Phillips, “Smoke, Mirrors and Prisms.”

My second observation concerns artful deformations of standard counterpoint, including temporal misplacement (either backwards or forwards in time) of a voice in a counterpoint, unusual pitch substitutions, and registral migration of structural voices. These kinds of deformation are frequent in the Nocturne and can lead to confusion in determining melodic and harmonic continuity. I believe that they are mainly responsible for the frequently enigmatic character of the music of Fauré's middle and late periods.

One possible result of temporal misplacement of elements within a counterpoint is metric ambiguity (or metric dissonance) and the emergence of "shadow" meters. This phenomenon can also be approached via my first observation, since it results in music that has an unsettled quality from a phrase-structural point of view. Appreciating the metric complexity of the music can remove an initial sense that the music is simply awkwardly asymmetric. An instance is discussed below.

The third of my observations is actually a special case of the second, in which a complex of distortions results in a characteristic harmonic phenomenon: obscuring of the boundary between, and thus blurring of the structural relationship between, tonic and dominant harmony. But along these lines, I will concentrate in what follows on a particular, related phenomenon: the use of 6/4 chords of ambiguous or indeterminable harmonic function.

Finally, I observe that events, as they happen locally, are mirrored by similar successions of events at the global level. This determines the particulars of the music's large-scale harmonic plan and, of course, imparts formal coherence and compositional integrity to the whole.

3.1 Discord: when what may seem “wrong” at the surface sounds “right” at a deeper level

If we try to understand Fauré’s music in terms of its vertical sonorities, the outcome is likely to be confusion on account of the presence of so many chords the harmonic identity (root) or functional meaning of which is unclear. In order to resolve such difficulties, a linear and prolongational understanding is very helpful.

Figure 3.1 (a second presentation of Figure 1.2) shows the second part of a subsection (**a**₂). From a Classical formal standpoint this is unusual since m. 10 concludes a PAC, which might be thought to bring the opening theme to a close. Instead, mm. 11-18 function as the second part of a larger theme, ending in a stronger PAC. What is difficult to grasp in tonal terms in these measures is the typical late-nineteenth-century technique of chromatic sequence, in which an entire block of material is transferred to different keys in succession. The chromatic sequence in this case involves a model and a copy, the first prolonging V in mm. 11-12, and the second elaborating the dominant of \flat III in mm. 13-14 before returning to the V in mm. 15-16. A simple and comprehensive tonal interpretation results from considering the harmonically supported melody tones in mm. 11, 13, and 15 as forming the larger motion $\langle D\flat, F\flat, A\flat \rangle$, an arpeggiation of the (minor) tonic triad (see Figure 2.2). The presence here of modal mixture in the middleground makes tonal sense of the sequence and hints at the following section in C# minor.

Figure 3.2 presents the climax of the developmental C section, which immediately precedes the concluding return to a truncated version of the opening music, one in which the first seven measures are omitted. As noted in Chapter 1, the thematic material, taken from m. 4, is found here in the bass, but is given a harmonization that is virtually impossible to interpret

4

11 dolce

12 cresc.

13 f molto espressivo

14 sempre

15 ff

16 p

Allegretto molto moderato.

p rall. pp

Figure 3.1 Showing mm. 10-20: the highly chromatic sequences in mm. 11-16



Figure 3.2 Unclear harmonization over opening melody in the bass in mm. 111-114

functionally. The main sonority, on the downbeats of mm. 111 and 112, is a $D\flat$ 6/4 chord presumably of dominant function, but the second and third chords of these measures are major-minor sevenths on VI and $\flat VII$. Clearly, harmonic progression is not the issue here, although the $\flat VII$ does lead, as an applied dominant, to the $B\flat\flat$ 6/4 chord³⁷ on the downbeat of m. 113, by virtue of the fifth motion $\langle C\flat 2, F\flat 3 \rangle$ in the bass from m. 112 to m. 113. The graph of these

³⁷ The $B\flat\flat$ chord sounds initially like a $\flat III$, but turns into a $\flat VI$.

measures (see Figure 2.9) makes the basis of coherence more evident. First, the $D\flat$ 6/4 chord, prolonged for two measures, turns into the $B\flat\flat$ 6/4 chord by pitch class chromatic motion of F to $F\flat$ and $A\flat$ to $B\flat\flat$, which the neo-Riemannians would call a PL operation. More importantly, though, coherence comes from the outer voices, both of which arpeggiate versions of the governing $D\flat$ triad, with the upper voice having the motivic descending arpeggiation $\langle F6, A\flat4, D\flat4 \rangle$ (enclosed on the bottom staff of the graph by a square bracket), while the bass has $\langle A\flat2, F2 \rangle$. In m. 111, the upper voice (see the top staff of the graph) has a subsidiary arpeggiation of almost the same chord in chromatic form, namely, $\langle F6, D6, B\flat\flat5 \rangle$; while in m. 112, the upper voice executes an augmentation of the double neighbour figure in the bass on the first two beats of each measure, descending to $D\flat4$ (implied in the score and notated in the graph) as a substitute for the expected F4 on the downbeat of m. 113.

Not to belabour the point, these details show that a Schenkerian analysis does the job: it alone is capable of showing the melodic and motivic basis of elaboration, whereby a tonic sonority is effectively sustained through the course of a passage that appears to lack tonal unity when its chords are considered from a harmonic point of view.

3.1.1 The incorporation of non-tonal collections at deeper levels

Figure 3.3 (a second presentation of Figure 1.4) shows the second part of the **b** section (**b**₂). The first part, a period, concludes with a PAC that tonicizes the relative key, E major. The following measure, however, returns to the global dominant harmony ($G\sharp7$), initiating a three-measure cyclic pattern that has a persistently impatient and searching character. The cyclic patterns start on $G\sharp7$ in mm. 37 and 40, digressing (in mm. 39 and 42) into distant C major and $B\flat$ major sonorities (in both cases with added major sixths). Moreover, the roots of these distant

The image displays a musical score for piano, spanning measures 37 to 56. The score is written for both the right and left hands on a grand staff. The key signature is three sharps (F#, C#, G#), and the time signature is 3/4. The score is divided into six systems, each containing two measures. The measures are numbered 37 through 56. The score includes various musical notations such as notes, rests, and accidentals. Dynamic markings include *dolce* (measures 37-38), *p* (measures 43, 49, 52), and *cresc.* (measure 53). The tempo marking *molto* appears at the beginning of measure 54. The score shows a significant shift in harmony starting around measure 40, moving towards distant harmonies and diminished-seventh chords, particularly evident in measures 54-56.

Figure 3.3 Sudden shift to distant harmonies and diminished-sevenths in mm. 37-56

sonorities (C and B \flat) are given importance as the harmonic supports of accented melody pitches C5 and D5. This emphasis on harmonies that are hard to make sense of in the prevailing key is initially quite puzzling. This raises a question: should the distant harmonies be treated as parenthetical fade-outs or dead ends within a dominant prolongation; or in some way be emphasized as part of an underlying continuity? In this case, I decided on the latter course, because the melody pitches C5 and D5 initiate a structural upper-voice line that can be seen to lead all the way to the return of the last part of the opening theme (**a**^{frag}). This is shown in my graph (Figure 2.4), where a dotted beam connects the notes of this line. The basic continuity in this stretch of music is shown in Figure 3.4.

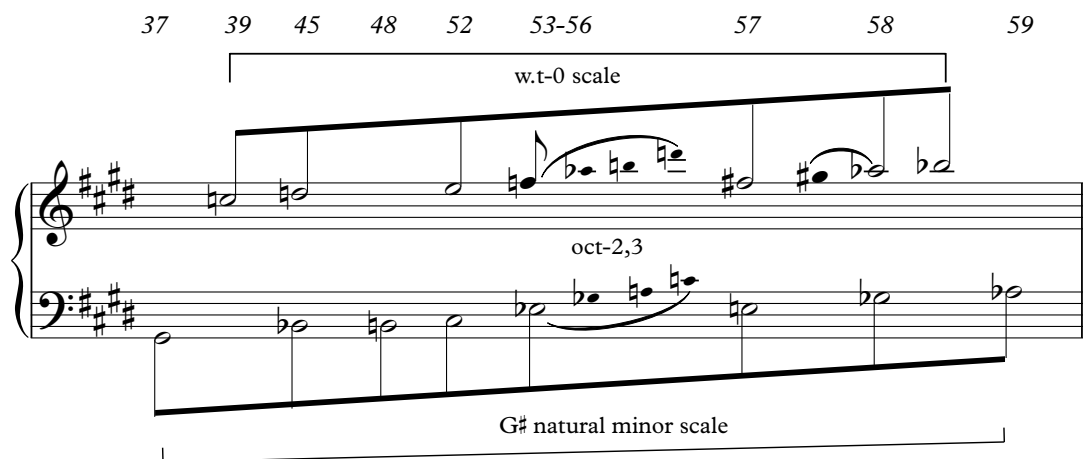


Figure 3.4 Middleground structure of mm. 37-59

As can be seen, the line thus traced is a whole-tone scale, beginning on C4 in m. 39 and ending with B \flat 6 m. 57. The segment of this linear progression beginning with the opening C5 and extending to A \flat 5 in m. 58 might be said to prolong the V7 of D \flat , since that chord is present under both of these pitches, but at the same time, the whole-tone scale introduces of realm of

symmetrical, non-tonal scales and leads, rather appropriately, to the diminished-seventh-chord series that extends from m. 48 to m. 56. Each of the chords in this series is elaborated with an octatonic collection in the upper voices, with additional neighbors and passing notes drawn from the remaining diminished seventh chord in the bass. In mm. 53-56, opposed diminished seventh chords are arpeggiated in the outer voices, the lower of which leads into the resumption of functional harmony in m.57. What we have here is a stunning example of Fauré's ability to integrate symmetrical collections, in transitional functions, into tonal discourse. It should be noted, as well, that from m. 37 to m. 59, the bass, as I have interpreted it, moves through a complete G# minor scale, thus preserving a kind of allegiance to the prevailing tonal context.

My justification in giving importance to the C major chord in m. 39 and the B \flat major chords in mm. 42 and 45 is, paradoxically, that they offer consonant support to a meaningful linear upper-voice continuity which, in itself, does not recognize the consonance/dissonance distinction. This seeming contradiction seems to me endemic to much music of the late nineteenth century. Consonance, in these contexts, is not a pervasive feature of the structure, but a surface marker. To sum up the events in this passage, after the dominant at m.37, the C chord and B \flat chord are launched by motivic coherence in the upper voice (F#–A–C) and (G#–A–D). The latter then connects melodically (via the top voice D5) to the diminished seventh on B at m.48, which is followed by chains of diminished seventh chords that form a big area of octatonic sonority. Looked at linearly and globally, this section reveals an unusual, non-tonal counterpoint of the structural outer voices, with an upper-voice whole-tone scale pitted against a lower voice diatonic scale. This section creates an expansive developmental bridge that connects the dominant chords of mm. 37 and 40 to the overtly traditional expanded cadential bass progression that begins in m. 57.

The situation in Figure 3.4 reappears in Section **B**, in mm. 80-99, a sketch of which is shown below in Figure 3.5. Here, Fauré makes the C major and B \flat major chords stand out more by changing their figuration: each is made the basis of a short cadenza-like scalar passage. Because of how the varied **b**₂ subsection fits into the very different context of the **B** section, one is forced to interpret it somewhat differently. In its second iteration, this transitional music joins a theme (**c**¹) in A “major” to its varied repetition (**c**²) in B “major.” The qualified designation “major”³⁸ reflects the essentially non-diatonic (and in fact, largely octatonic) nature of the harmony in the main theme of the **B** section. Because the prevailing context is centric without really being tonal in terms of functional harmony, it makes sense to emphasize the non-tonal nature of the transitional music that intervenes between **c**¹ and **c**². Thus I do not think it is as important to hear the G \sharp minor scale in the bass, and instead I point out, in Figure 3.5, that the bass itself, although starting out to trace G \sharp minor, moves into its own whole-tone scale fragment, moving in parallel minor tenths with the upper voice. This changes to parallel major ninths as the outer voices shift, at the middleground level, into an octatonic realm, specifically of octatonic (1,2).

³⁸ The music here is not in any major scale. The quotation marks indicate that the majorness results only from the presence of a tonic chord, its normal major scale being absent.

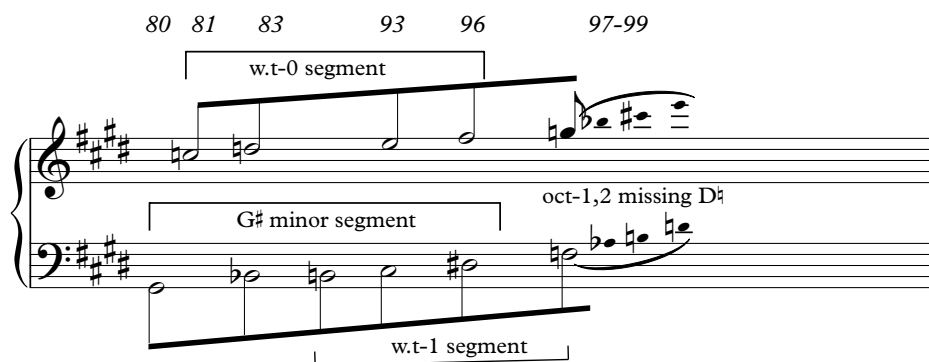


Figure 3.5 Middleground structure of mm. 80-99

3.1.2 Metric ambiguity

In the article by Sobaskie cited in Chapter 1,³⁹ he introduces the term “shadow meter.” This refers to an underlying metrical pattern that contradicts the notated meter. This can be seen at the beginning of the Nocturne, in mm. 0-3.



Figure 3.6 "Shadow meter" in mm. 0-3

³⁹ Sobaskie, “Emergence,” 241-42.

As discussed in Chapter 2, one may perceive the upper voice in this introductory passage in 2/2 time. In fact, one might say that hearing the first four beats as two bars of cut time (designated in Figure 3.6 by the square brackets) is more “natural” than hearing the music as notated. But then, mm. 2 and 3 sound curiously unbalanced. They seem to make a hemiola, since the two-beat pattern continues in the upper voice while the bass is obviously in 3/2. A hemiola pattern, however, would seem to belong in the two measures *preceding* the final cadential chord, as a way of increasing the emphasis on the last downbeat, where that cadential chord is located. Here, the hemiola that is apparently created *deemphasizes* the tonic chord on the downbeat of m. 3. Not only that; if one focuses on the 2/2 meter, there are five bars of it in the passage. The net result is deeply unsettling, particularly as a way of beginning a piece.

While it is often stressed, by Schenkerian analysts, that elements in the fundamental line (the *Urlinie*) or in its foreground copies do not need to be stressed, either by factors in the music itself or by the performer, this might be a case where the exception proves the rule. It might make sense to stress the F4 on the downbeat of m. 1, even though it occurs as part of an unusual F minor 6/3 chord, over the dominant in the bass. This will have the effect of disrupting any tendency to hear the duple meter that begins a beat earlier and will tend to make what is notated as an anacrusis sound like an anacrusis. Downplaying the downbeat of m. 2 will make that beat sound like a prolongation of the $\hat{3}$ by means of a linear progression of a descending third, to the D \flat 4 on beat 2 of m. 2, with the result that the F4 over the V on beat 3 of m. 2 will be heard as a linear replacement for E \flat 4. This will invite a strong accent on the downbeat of m. 3, where the bass regains the tonic while the upper voice can be understood to have a delayed $\hat{2}$ as an appoggiatura that, for reasons of motivic momentum (preserving the two-beat motive) substitutes the pre-arpeggiating A \flat 3 for E \flat 4. What emerges is a three-bar phrase in 3/2, as notated, albeit

with a true shadow meter in 2/2, one not sufficiently real to disturb the music's graceful equilibrium.

What this example shows is, in a very direct way, how a Schenkerian picture can help to make a potentially very confusing metric situation clearer, by putting conflicting meters in the proper perspective. It also shows how motivic structure can result in strange deformations of the underlying counterpoint, by leading to a temporal shift in the placement of structural tones. This introduces the next part of my discussion.

3.2 Intransigence: conflict in the harmonic-melodic structure due to skewed counterpoint and persisting scale degrees

In this subsection, Examples 1, 3 and 5 in Chapter 1 will be reviewed for problems concerning skewed counterpoint, whereby two reasonably traditional outer voices are counterpointed in a temporally odd way, leading to unusual dissonance.



Figure 3.7 Misalignment between melody and harmony in mm. 0-3

The passage shown once again as Figure 3.7 is problematic if chord-to-chord harmonic analysis is carried out on its own. For instance, in m.1, the first beat composes a F-minor chord in first inversion, followed by B \flat minor-seventh and C half-diminished seventh. None of these chords are functional in a harmonic sense but rather form a complex product of the melodic lines and bass line within the larger context of a fairly standard harmonic prolongation of the tonic chord: <I, IV, V, I>.

In the upper voice there is a foreground transference of the *Urlinie*: < $\hat{3}.\hat{2}.\hat{1}$ >. This is elaborated by a preliminary descent that reproduces it exactly. In a traditional context, the preliminary descent, following upon an opening upper-voice $\hat{3}$ over I, could well be supported by the bass counterpoint < $\hat{5}.\hat{6}.\hat{7}.\hat{8}$ >, with the $\hat{5}$, $\hat{6}$, and $\hat{7}$ occurring against $\hat{2}$ and the $\hat{8}$ against $\hat{1}$, as in Figure 3.8.

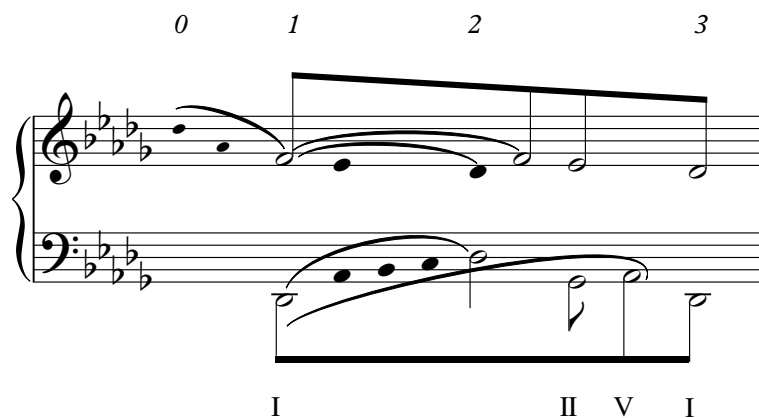


Figure 3.8 Normalized counterpoint in mm. 0-3

The upper voice could then return to $\hat{3}$ over the $\hat{1}$ in the bass (or over another scale degree offering consonant support), whereupon the primary $\hat{2}$ could then enter over $\hat{4}$ in the bass, making a II chord, with the bass continuing thence to the V under $\hat{2}$.

All the right elements are present in Fauré's setting, but they are temporally skewed and melody notes persist longer than they ordinarily would, in contrapuntal terms. As Figure 3.9 shows, the initiating upper-voice $\hat{3}$ is held over the $\hat{5}$ and $\hat{6}$ in the bass. The upper voice $\hat{2}$ of the preliminary descent is placed above the $\hat{7}$ and held over while the bass continues to $\hat{8}$, generating a sort of "eleventh" chord on the downbeat of m. 2. The $\hat{1}$ of the preliminary upper-voice descent then arrives over IV. The foreground motives that prolong the pitches of the preliminary descent (small rising linear progressions of a third and their complementary descending arpeggiations) force a strange ending to the counterpoint. The upper voice returns to $\hat{3}$, but the bass is now ready to proceed to V, which it does. As a result, the primary $\hat{2}$ never appears at all (in the upper voice). Instead, $\hat{3}$ persists and the cadential dominant assumes the form of a "thirteenth" chord.

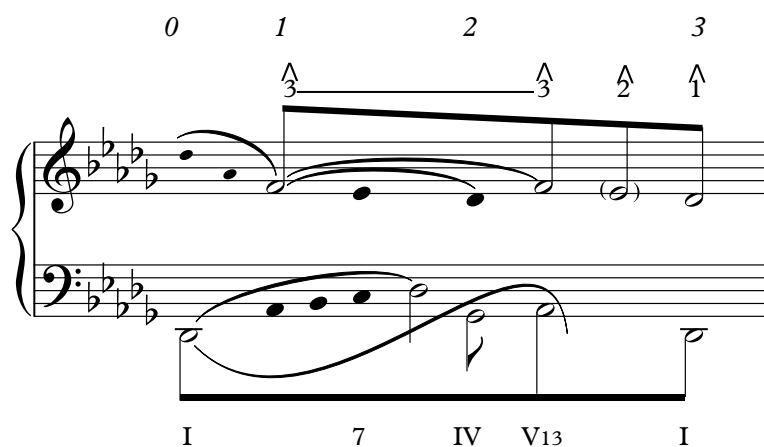


Figure 3.9 Fauré's counterpoint in mm. 0-3

Figure 3.10 shows the beginning of the **b** subsection. As was mentioned in Chapter 1, the melody in mm. 21-23 invites interpretation as a simple arpeggiation of a G# minor triad. The bass, however, is actually a motion from the V/III (in C# minor) on the downbeat of m. 21 to the

V of v, the dominant of G# minor, in the next measure. It would seem, then, that the melody in mm. 22-23, by expressing tonic harmony in G# minor, conflicts with the dominant function in the bass and inner voices. What Fauré has done here is to use melodic substitution to add piquancy to the top voice. The high G#5's in mm. 22 and 23 can all be replaced by upper-neighbour E5's to yield a perfectly conventional surface in which the dominant function of those two measures is undisturbed. In this instance, then, the deformation is in the pitch dimension itself, rather than arising from the temporal skewing of the counterpoint. The tonic of G# minor, or $\hat{5}$ of the global key of C# minor, persists as a kind of intermittent pedal. In m. 24, the melody has a descending seventh <E5, F#4> which is easily misread as a motion between voices when it is actually a registral transfer within an underlying rising fifth-progression, from $\hat{1}$ to $\hat{5}$ (see Figure 2.3).

The image displays a musical score for piano, measures 19 through 26. The tempo is marked 'Allegretto molto moderato.' The key signature is G# minor (three sharps: F#, C#, G#). The score is written for piano with a grand staff (treble and bass clefs). Measures 19-20 are marked with a 'p' (piano) dynamic and a 'rall.' (rallentando) marking. Measures 21-23 are marked with a 'pp' (pianissimo) dynamic. Measures 24-26 are marked with an 'mf' (mezzo-forte) dynamic. The bass line is particularly complex, featuring a series of chords and intervals that create a sense of harmonic tension and ambiguity. The melody in the treble clef is more straightforward, with some chromaticism. The overall texture is dense and expressive, characteristic of Fauré's style.

Figure 3.10 Obscure functional bass in mm. 19-26

Figure 3.11 shows a striking example of persistence of a melodic element over incompatible harmonies. Here the intransigent element is the $\hat{5}$, or $A\flat = G\sharp$. I will not go into detail with this example, except to point out that the bass line, essentially $\langle A\flat, B\flat, C, E\flat, A\flat, G\flat, A\flat \rangle$ from mm. 59-61, is a chromatic double neighbour motion around the dominant $A\flat$. What is unusual in Fauré's treatment, from a conventional standpoint, is the persistence of $A\flat$ in the main melodic and motivic voice, where it is the goal tone of a descending four-note motive that ends, in each of its three statements, with $\langle C, B\flat, A\flat \rangle$. The result of combining the two lines is the very striking chordal profile of m. 61, in which a mM seventh chord is followed by a chord in fourths (m. 61, b.2) before the music settles on a particularly satisfying V7.



Figure 3.11 The approach to a mM7 chord in m. 61

3.3 Ambivalence: blurring between tonic and dominant harmonies

Figure 3.10 already introduces the idea of a coincidence of the tonic as a melodic element with dominant harmony (in that case in $G\sharp$ minor). Likewise, there is a mixture of tonic and dominant elements in the blurred cadence of Figure 3.7. In the following discussion, however, I

will focus on a special instance where tonic and dominant functions are seemingly mixed in a way that makes it difficult to identify a chord as having primarily one or the other. In the Nocturne this applies especially to particular 6/4 chords.

It must first be noticed that there are plenty of 6/4 chords of unambiguous function in this work. Cadential 6/4 chords of dominant function are discernable, either at the surface or just below the surface at most of the major cadences, for example at m. 59 and m. 124. Less standard are passages based on 6/4 chords of *tonic* function. These are found particularly in the **B** section, for example at m. 65 and again at m. 72. It needs to be said, though, that 6/4 chords of tonic function do not accommodate themselves easily to functional harmonic syntax. Thus, where Fauré uses these chords, the harmonic organization is not at all traditional. At m. 65, for example, the governing chord progression is from A major 6/4 to C major 5/3. If anything, this is an octatonic progression, and in fact the bass traces an octatonic path between these two chords, as Figure 3.12 shows. The upper voice in this instance may either be viewed as modal, exhibiting the character of the Lydian mode, or as itself octatonic.

The music in this section is not only differently organized, but also sounds utterly different in a textural sense. Otherworldly and floating, it appears as if out of a dream, offering reverie-like respite from the passions of the surrounding music.

The real problems in this music, as far as the functional designation of 6/4 chords is concerned, arise in the **C** section, which extends from m. 106 to m. 114. There are 6/4 chords on the downbeats of mm. 106, 107, 108, 111, 112, and 113. The first three of these initiate, respectively, a model and two copies of a sequence. Whether these 6/4 chords are tonics or dominants is probably a moot point. Oddly, if the third of these, a D \flat 6/4, is taken to be the start of a cadence, it does turn out to be the start of a dominant, but only of a secondary dominant

(V⁷/IV) which arrives after two passing chords, on the second half of m. 109. As an incipient V/IV it is in effect a I, and thus a tonic. One can see how tied up in knots it is possible to become by trying to assign one of two values to a chord type that, in this music, has many different functions.

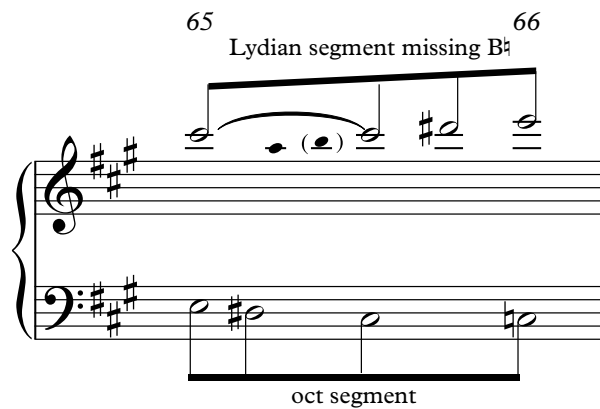


Figure 3.12 Overall sketch of mm. 65-66

The D^b 6/4 chord at m. 111 sounds for all the world like a cadential 6/4, if only for reasons of rhetorical presentation, but it never yields to a dominant triad or dominant seventh chord. Instead it turns into a B^{bb} 6/4, spelled as an A major chord, in m. 113 (see Figure 3.2). This in turn is functionally indeterminate. It is a chord of dissolution, and dissolution cannot be associated with the functional repertoire of harmonic tonality. After a silence in m. 114 the A major chord reappears without a clear bass, soon turning (at m. 115, b.3) into a root-position dominant seventh with the scale-degree meaning of ^bVI, and leading in the most predictable way to a <II, V, I> cadence.

3.4 Coherence: modality and mixture in the large and the small

James Sobaskie mentions the many allusions, by transient tonicization, to tonalities distant from D \flat major.⁴⁰ In my view, the music is saturated, at all levels, with references to particular diatonic regions related by mixture to the tonic key of D \flat major. Moreover, these keys, particularly that of \flat VI, are responsible for the modal touches that form an important aspect of the music's surface.

3.4.1 D \flat major or D \flat Phrygian?

In his dissertation (discussed in Chapter 1), Richard Crouch, as I noted in Chapter 1, suggests that the Nocturne is a modal diatonic structure rooted in D \flat Phrygian. This is his way of explaining the frequent tonicizations to A major and E major. However, this is an odd conception of modality since it applies only to harmonies on the chromatically inflected scale degrees of the D \flat Phrygian mode – such as chords of D major, E major, and A major. I certainly agree that triads found in the diatonic collection of 9 \flat 's (or 3 \sharp 's) are unusually prominent in this work. But the melody of the Nocturne does not carry any sense of the Phrygian mode, nor does something that might be called “modal harmony”—progressions of triads that are centric without being based on the circle of fifths— apply to most of the piece. On the contrary, the *Ursatz* descent of $\hat{3}$ – $\hat{2}$ – $\hat{1}$ and the dominant-tonic and preparatory fifth-related chords at all the principal cadences in D \flat major are clear evidence of a composer thinking in terms of the hierarchy that is the conventional tonal system. Furthermore, the fact is that the A major sonority, important as it is, does not infuse the entire piece – rather, it appears transiently or episodically. Transitions

⁴⁰ Sobaskie, “Allusions,” 185.

from D \flat to A major are smooth, resulting from suavely conjunct voice leading, with the A major playing a contrapuntal-elaborative role inside the confines of a governing D \flat major. Moreover, A major is not developed in an assertive manner; for example, when the dominant of A major is tonicized at m. 36, it constitutes a dead end: the music immediately reverts to the dominant of C \sharp . A major does dominate at the start of the **B** section, but as noted above, it sounds as if on an utterly different plane from the rest of the piece. The A major chord does not even appear in root position anywhere in this section. In accordance with these observations, I believe that a more or less standard Schenkerian picture of the tonality of this composition, in which the A major regions and others closely related to it are seen as the product of an intensely cultivated and rigorous approach to mixture as an elaborative technique, with frequent recourse to the tonicization, on various levels, of chords thereby derived.

Table 3.1 is the summary of high-level harmonic progression in the Nocturne. This is useful not only in seeing the basic importance of mixture chords in the large-scale organization of the music; it also points to how the occasional modal effects (for example of Phrygian or Lydian) arise.

The extended passage in A major at m. 7, which amplifies what starts out as a deceptive cadence, of the V- \flat III of G \flat (all in tonicized IV) type,⁴¹ into an imitation in \flat VI of the entire opening phrase, hints at the centrality of A major to the opening of the **B** section. The C \sharp minor passage in **b**₁ provides palpable preparation for the modal aspect of the medial A major section: the flattened degrees $\hat{3}$, $\hat{6}$ and $\hat{7}$ in C \sharp minor introduce the very notes found in the A-Lydian scale

⁴¹ The first two chords of m. 7 are basically a V- \flat III motion in G \flat , or IV of D \flat . Only the bass is static, so the \flat III is in first inversion (on beat 2).

in the melody in subsection c^1 (allowing for the missing B in the latter) which they share the same collection of notes (see Figure 3.13).⁴²

Sections	Subsections	Mm.	High-level harmonic progressions
A^1	a (introduction)	mm. 0-3	I–IV–V–I
	a (theme)	mm. 4-10	V– \flat VI–V–I
		mm. 11-18	V– \flat III–IV–V–I
	b_1 (theme)	mm. 19-36	i–V, i– \flat III
	b_2 + a ^{fragment}	mm. 37-62	V ——— \flat III–IV–V–I w.t., oct
B	c^1 (theme)	mm. 63-80	A-Lydian mode
	b_2'	mm. 80-99	V ————— w.t., oct
	c^2	mm. 100-105	E major, B major
C, A^2	Developmental + a'	mm. 105-117	V– \flat VI–V–I
A^2	a'	mm. 118-133	V– \flat III–IV–V–I

Table 3.1 Large-scale harmonic organization of the Nocturne

⁴² See similar discussion on Orledge, *Gabriel Fauré*, 239.

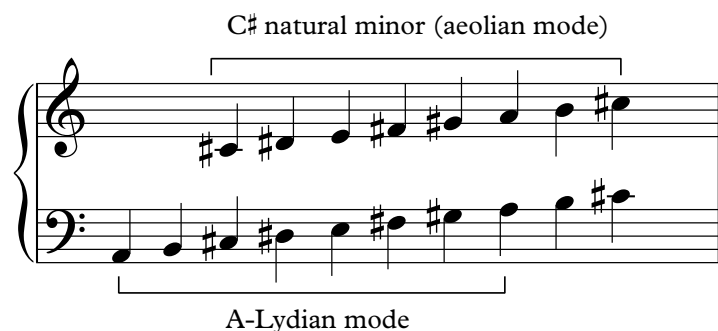


Figure 3.13 Overlapping of C# minor and A-Lydian scales

In other words, the C# minor passage acts subtly as a transition from D \flat major, via modal mixture, to the more explicitly “modal” (because melodically modal) music of the dreamy middle section. A further allusion to the complex of relations that connects A-Lydian to D-flat major via C# minor may be seen in the returning, developmental passage that I have labeled **C**. This begins with the sequence discussed above, in which the successive limbs begin, respectively, on 6/4 chords of A major, B major, D \flat major. This string of chords moves through a complete C# natural minor or A-Lydian scale, adding an F at the top of the third chord. This F can be seen either as restoring D \flat major or, considering the top two notes of each of the three chords in succession, as strongly suggesting a the whole tone scale <A, B, C#, D#, F, (G)> and thereby introducing a local reminder of the larger-scale whole-tone continuities that are found in section **b**₂, which occurs in a medial position in both the **A**^I and **B** main sections.

* * * *

3.5 Conclusion

Phillips talks about ambiguity in Fauré, Sobaskie about allusion and nuance. Perhaps the common character to which they point is a certain duality of structures in concord and others in conflict. A Schenkerian analysis of this Nocturne reveals a surface in which the dimensions of harmony, melody, meter, form—both individually and in various combinations—are by no means perfectly concordant: that is why the music sounds somewhat outside the tradition for which this type of analysis was designed. At the same time, it is possible to see how, allowing for a certain amount of conceptual freedom, it is possible to sidestep some of the many loose ends produced by a proliferation of fascinating details, and to reveal a tight design of an essentially traditional cast. In this thesis I have relied heavily on the descriptions of other scholars as to what is obviously distinctive in this music. What I hope is more original is my demonstration of some ways in which the music coheres. In particular, I hope to have contributed to an understanding of how non-tonal collections are used in a basically tonal context, and not only at the most foreground levels. The combination of modes of structuring—of chromaticism rooted in mixture, extensive use of sequences, hints of modality, and recourse to the whole-tone and octatonic collections—held together by tight phrase structure overlaid with subtle metric dissonance, by motivic integrity, and above all by the secure harmonic control of free counterpoint; this is Faure's style in a few nutshell. It presents us with a delightful equilibrium—between innovation and tradition, the clouded and the clear, the conflicted and the concordant. I hope in this study to have captured some of the ways in which these balances operate, and in this way to have shed additional light on one of the gems of the piano repertoire.

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**Appendix: The Complete Schenkerian Graphs on Fauré's Nocturne No. 6,
Op. 63 shown in Chapter 2**

Fauré, Nocturne No. 6 Op. 63

0 1 2 3 4 5 6 7 8 9 10

6 7 7 9 7—8 6—5 6—7 6 6 9—8 7 7 7 7 6 4 7 7—
7 IV V I V V [V] bVI I IV V I 5 3 II V I

Db: I

6 7 7 9 7—8 6—5 6 9—8 7 7 6 4 7 7—
7 IV V I V bVI 7 5 3 II V I

Db: I

10

11

12

13

14

15

16

17

18

(arp.)

6 4 6 7 6-7 6

$\flat 3$ 4 $\flat 3$ 4

D \flat : I (bII) V [iv] V] \rightarrow \flat III [V] \rightarrow IV [V] \rightarrow II V I

8 7 6 5 4 3

(arp.)

7 6 6 5 6 5 6 5 4 3

D \flat : I V \flat III (I) IV II V I

8 7 6 5 4 3

19 20 21 22 23-24 25-26 27 28 29 30 31 32 33 34 35 36

5th-prog ↑

8ve ↑

6 - 5 4 6 7 5 — 4 4 4 7 — 8 6 — 7 7

4 - #3 3 iv V i 3 — 3 2 3 4 — 4 4 4 — 3 2 — 3

2 — #2 b3 2 — 3

C#: i III II iv V i E: I (V) I (bVI) — IV V I

5th-prog ↑

8ve ↑

5 — 7 5 — b6 6 7 7

3 — 4 b3

C#: i II V i III E: I IV V I

37 38 39 40 41 42 43 44 45-47 48-50 51 52 53 54 55 56

whole-tone scale in top voice

G# minor scale in bass

c#: V 4 2 6 6 5 N minor bVI/ N minor Bdim7 B#dim7 C#dim7 [Octatonic cycle]

whole-tone scale in top voice

G# minor scale in bass

c#: V bVI/ N minor dim7 dim7 [Octatonic cycle]

57

58

59
3

60

61

62
2

1

#5 6 6 6 #7 7
 5 5 5 4 5 5
 Db: III (I) IV (II) V ([V] → (bVI) V I

6 6 8 7
 5 5 6 5
 4 4 4 3
 Db: (I) (II^b) V (bVI) V I

63-64 65 66 67 68 69 70 71 76 77-78 79 80

6	6	6	5	6	6	6	7	7	4	6	7	6	7
		4	3	4	4				2				
Db: I		bVI				I		V		I		V= G#: ii V I	
A: III#		(P)		(P)									

	6	6	6	7
	4			
Db: I	bVI			V= G#: ii V I

90 91 92 93 94 95 96 97 98 99 100

chromatic ascending top voice

10 10 10 10 10 10 10 10 10 10 10

chromatic ascending bass line

B dim 7 B# dim 7 C# dim 7 D dim 7 D# dim 7 [Octatonic Cycle]

chromatic ascending top voice

10 10 10 10 10 9 9 9

chromatic ascending bass line

series of chromatically ascending diminished-7th chords

vii^o7 \longrightarrow $\begin{matrix} 7 \\ 4 \\ V \end{matrix}$

100

101

102

103

104

105

106

107

8-prog ↑

7 4 2
E: V

octatonic
4 2
III

V

7 6
B: V vi^o I

6 5
4 3
C#-D#: V (I) \flat VI \flat VII

8-prog ↑

7 4 2
E: V

octatonic
4 2
V

6
B: V I

6 5
4 3
vii/[IV] 4 C#-D#: [IV] → V

vii/V 4 3

(m.108)

I

108

109

110

111

112

113 -114

6	$\sharp 6$	7	(6)	$\flat 7$	7	9	6	6
4	$\flat 5$	\sharp	4	3	IV	II	4	4
Db:	I	(II	V)	I	IV	II	V	\flat III= \flat VI

6	$\sharp 6$	$\flat 7$	7	9	6	6
4	$\flat 5$	\sharp	IV	II \sharp	4	4
Db:	I	I	IV	II \sharp	V	\flat III= \flat VI

