

Semitonal Relationships in Chopin's Music

by

Heewon Chung

**A dissertation submitted in partial fulfillment
of the requirements for the degree of
Doctor of Philosophy
(Music Theory)
in the University of Michigan
2015**

Doctoral Committee:

**Associate Professor Wayne C. Petty, Chair
Professor Patricia Hall
Professor Kevin E. Korsyn
Associate Professor Ramon Satyendra
Professor Herbert G. Winful**

© Heewon Chung
2015

Acknowledgements

Wayne Petty, my committee chair, provided me with invaluable guidance at each stage of this dissertation, carefully reading my work with expertise and musicality. Both his scholarship and his constant support offered me a model that I hope to emulate as a scholar, musician, and teacher. I would like to thank Patricia Hall, Kevin Korsyn, Ramon Satyendra, and Herbert Winful, all of whom served on my committee, for their insightful comments. My experience in their classrooms and our discussions helped me in the development of this project. Several other professors from the School of Music, including Louis Nagel from the Department of Piano, inspired me to pursue this project and shared their time and wisdom. I am also grateful to many colleagues at the University of Michigan for their friendship, especially Jeffrey Swinkin, Suzy Park, Steve Lett, Jim DiNardo, Asaf Peres, Monica Ahn, and William van Geest. They helped me throughout the course of my doctoral study with cheerful motivation, useful suggestions, and editorial assistance.

My sincere gratitude goes to my parents for their immeasurable love. They have given me so many great things that I cannot even enumerate here; most importantly, they have instilled in me a passion for learning and the joy of music, which led me to where I am now. I cannot thank them enough. I would also like to thank my sister, Heejin, for her warm encouragement and support.

To my husband, Jungho, I would like to express my deepest appreciation for being there for me as my best friend and the most caring partner I could hope to share my life with. Finally, I am grateful to have my daughter and son, Olivia and Joshua, who are my continual source of strength and delight.

Table of Contents

Acknowledgements.....	ii
List of Examples.....	vi
List of Figures.....	viii
Abstract.....	xi
Chapter 1. Semitonal Relationships in Chopin’s Music: Theoretical Background.....	1
1. Introductory Remarks: Compositional Influence	1
2. Chromaticism and Tonal Ambiguity in Chopin’s Music	10
3. Problems of Semitonal Relationships	15
4. Previous Studies on Semitonal Relationships and Methods.....	21
5. Summary	37
Chapter 2. Semitone-Related Keys I: Leading-Tone Modulation.....	40
1. Definition and General Usage of the Leading-Tone Modulation	40
2. Analyses.....	51
3. Leading-Tone Modulation in Formal Design	77
Chapter 3. Semitone-Related Keys II: Other Types of Scale-Degree Transformation.....	104
1. Upward and Downward Leading Tones	104
2. Scale-Degree Transformation between $\flat\hat{6}$ and $\hat{5}$	112
3. Enharmonicism without Scale-Degree Transformation	144

Chapter 4. Further Use of Semitonal Relationships in an Analytical Context	151
1. Indirect Use of Semitonal Relationships	151
2. Semitonal Relationships as a Formal Element: Pitch Structuring	191
3. Compositional Influence: Chopin's Successors	207
Chapter 5. Summary and Conclusion.....	216
Bibliography	222

List of Examples

Example

1.1	Mozart, Piano Concerto in B \flat Major, K. 595, I, beginning of the development section	7
1.2	Chopin, Nocturne in B \flat Minor, Op. 9, No. 1, mm. 18–26	16
1.3	Chopin, Piano Sonata in B \flat Minor, Op. 35, I, mm. 206–27	17
1.4a	Verdi, <i>Falstaff</i> , Act I, part 2 (Rings 2011, 60)	23
1.4b	Beethoven, Piano Sonata in C Major, Op. 2, No. 3, III, mm. 19–31	23
2.1	Beethoven, Piano Sonata in F Minor, Op. 57, I, beginning section	43
2.2	Chopin, Nocturne in D \flat Major, Op. 27, No. 2, mm. 17–26	44
2.3	Chopin, Waltz in E \flat Major, Op. 18, retransition	48
2.4	Chopin, Prelude in B Minor, Op. 28, No. 6, mm. 9–17	52
2.5	Chopin, Op. 28, No. 6, mm. 13–14 as a hemiola measure (Cinnamon 1992, 93)	55
2.6	Chopin, Mazurka in C Major, Op. 24, No. 2, end of the first section	57
2.7	Chopin, Mazurka in A \flat Major Op. 7, No. 4, mm. 33–41	67
2.8	Chopin, Nocturne in C \sharp Minor, Op. 27, No. 1: Leading-tone modulation in the middle section	69
2.9a	Chopin, Waltz in A \flat Major, Op. 42, mm. 235–48: Leading-tone modulation	78
2.9b	Chopin, Waltz in A \flat Major, Op. 42, mm. 235–48: Harmonic reduction	78
2.10a	Chopin, Fantasy, Op. 49: Extended cadential motion in the last section	80
2.10b	Chopin, Fantasy, Op. 49: Harmonic reduction of the last section	80
2.11	Chopin, Piano Sonata in B \flat Minor, Op. 35, I: Ending and opening sections	83
2.12	Chopin, Mazurka in D Major, Op. 33, No. 2, mm. 49–75	85
2.13	Chopin, Mazurka in C Minor, Op. 56, No. 3, mm. 46–79	87
2.14a	Chopin, Ballade in F Minor, Op. 52: G \flat -F \flat in mm. 38–46	94
2.14b	Chopin, Ballade in F Minor, Op. 52: G \flat -F \flat motions in mm. 121–24	94
2.14c	Chopin, Ballade in F Minor, Op. 52: (A \flat)-G \flat -E \natural in mm. 125–28	95
2.15	Chopin, Ballade in F Minor, Op. 52: Return of the first theme (from m. 135)	98
3.1a	Chopin, Nocturne in F Major, Op. 15, No.1, middle section	115
3.1b	Chopin, Nocturne in F Major, Op. 15, No.1: Harmonic outline of mm. 25–36	116
3.2	Chopin, Impromptu in G \flat Major, Op. 51, mm. 19–29	117
3.3	Chopin, Nocturne in G Minor, Op. 15, No. 3, F-major section, mm. 89–96	125
3.4	Chopin, Nocturne in G Minor, F-major section, mm. 120–39	126
3.5	Chopin, Nocturne in G Minor, ending	127
3.6	Chopin, Nocturne in G Minor, first section	133

3.7	Chopin, Nocturne in G Minor: The last moment of the F [#] -major section, mm. 81–88	136
3.8	Chopin, Nocturne in F Major, Op. 15, No. 1, mm. 9–16	141
3.9	Chopin, Fantasy, Op. 49: tonal disorientation to E major in the opening march	146
4.1	Chopin, Scherzo, Op. 31: Retransition to B ^b -minor section	172
4.2	Chopin, Scherzo, Op. 31: Characteristic figure at the opening	173
4.3	Chopin, Scherzo, Op. 31: $\hat{5}$ - $\hat{6}$ motion in the opening section	173
4.4	Chopin, Scherzo, Op. 31: The opening of the A-major section	174
4.5	Chopin, Scherzo, Op. 31: Evolving network of motivic relations	176
4.6	Chopin, Scherzo, Op. 31: $\hat{6}$ - $\hat{5}$ motion at the end of the middle section	177
4.7	Chopin, Scherzo, Op. 31: Gradual change from $\hat{5}$ - $\hat{6}$ motion to $\hat{6}$ - $\hat{5}$ motion	178
4.8	Chopin, Scherzo, Op. 31: A-major passage in the last section	179
4.9	Chopin, Scherzo, Op. 31: A ^b -B ^b -A ^b motion in the main theme	181
4.10	Chopin, Prelude in C [#] Minor, Op. 45: F major – A major progression in the middle section	189
4.11	Chopin, Op. 9, No. 1: Leading tone A [#] from the incomplete measure	193
4.12a	Chopin, Op. 9, No. 1: A ^b -B ^b -A [#] -B ^b linear motion in mm. 6–8	194
4.12b	Chopin, Op. 9, No. 1: A [#] -B ^b enharmony in the middle section	194
4.13a	Chopin, Op. 9, No. 1: The dominant seventh chord on D ^b from m. 51	194
4.13b	Chopin, Op. 9, No. 1: Beginning of the A' section	195
4.14	Chopin, Ballade in G Minor, Op. 23: C ^b -B ^b motions in mm. 85–68 and 89–90	205
4.15	Schubert, String Quintet D. 956, II, mm. 25–30	208
4.16	Prokofiev, “March” from <i>Music for Children</i> (Bass 1988, 202, Example 4)	211
4.17	Shostakovich, Act II passacaglia from <i>Lady Macbeth</i> (McCreless 2010, 122, Example 6.1)	212
4.18	Wolf, “Ein Stündlein wohl vor Tag” from the <i>Mörrike Lieder</i> , mm. 1–14	214

List of Figures

Figure

1.1	Another possibility for Chopin’s Nocturne in B \flat Minor, Op. 9, No. 1, mm. 23–24	18
1.2	Harmonic reduction of Polonaise, Op. 40, No.2, mm. 73–80 (Cone 1994, 145)	19
1.3	Two modulations in Rings’s notation	22
1.4	One of the four hexatonic cycles by Cohn (2012, 18)	25
1.5	One of the analytical interpretations of the octave trisection (Harrison 2002, 122)	26
1.6	Middleground sketches of Mozart’s <i>Le Nozze di Figaro</i> , Act II, “Voi che sapete” (Schachter 1987, 313)	29
1.7	Part of middleground graph for Chopin’s Etude in F Major, Op. 25, No. 3 (Salzer 1973, 286)	30
1.8	Sketch of Wolf’s “Und steht Ihr früh” (Stein 1985, 103)	31
1.9	Process of retrospective hearing: Chopin, Op. 9, No. 1, mm. 23–26	33
1.10	Sketch of a chromatic sequence in Schubert, Symphony No. 4 in C Major, IV, mm. 139–66 (McCreless 1996, 93)	36
2.1	Leading-tone modulation in Chopin, Op. 9, No. 1, mm. 23–26	41
2.2	Leading-tone modulation vs. P, L, and PL relations	42
2.3a	Progression in the B \flat -Minor Nocturne, Op. 9, No. 1	46
2.3b	Progression in the D \flat -Major Nocturne, Op. 27, No. 2	46
2.4	Chopin, Nocturne in D \flat major, Op. 27, No. 2: Development of the semitonal motions, A \natural -B \flat and B \flat -A \flat	47
2.5a	Modulation in third relations	49
2.5b	Leading-tone modulation	49
2.6	Third relations vs. semitonal relations	49
2.7	Four types of leading-tone modulation	51
2.8	Two middleground graphs of Chopin’s Prelude in B Minor (Cinnamon 1992, 85)	54
2.9	Voice-leading graph of the B-Minor Prelude	56
2.10	Chopin, Op. 9, No. 1, mm. 23–24: Contrapuntal operation vs. chromatic substitution	58
2.11	Chopin, Op. 9, No. 1: Enharmonicism in mm. 23–24	59
2.12	Neapolitan formula motion vs. the E \flat -B \flat melodic motion in mm. 25–26	59
2.13	Retrospective hearing of mm. 25–26	60
2.14	Analysis of Op. 9, No. 1, mm. 19–26: Discontinuity within the passage	61
2.15	Analysis of Op. 9, No. 1, mm. 19–26: Diatonic interpretation	62

2.16	Overall structure and the C \flat -A \natural -B \flat motion in the Nocturne, Op. 9, No. 1	64
2.17	bII-V-I in the first section of the Nocturne, Op. 9, No. 1	66
2.18	Voice-leading graph of the middle section of the Nocturne, Op. 27, No. 1	69
2.19a	Scale-degree support for mixture	70
2.19b	Scale-degree support and leading-tone modulation in the Nocturne, Op. 27, No. 1	71
2.20	Possible interpretations of the middle section of the Nocturne, OP. 27, No. 1	72
2.21	Overall structure of the Nocturne, Op. 27, No. 1	73
2.22	Salzer's reading of the Nocturne, Op. 27, No. 1 (Salzer 1970, 285)	74
2.23	Voice-leading graph of the Nocturne, Op. 27, No. 1: First section	75
2.24	Tonal and Formal Structure of the Ballade, Op. 52	90
2.25	Voice-leading graph of the Ballade, Op. 52, developing episode	92
2.26	Overall progression of the Ballade, Op. 52 (Samson 1985, 191, Ex. 56)	99
2.27	Middleground graph of the Ballade, Op. 52 (Laufer 2009, 167, Example 7.7c)	100
2.28	Overview of the Ballade, Op. 52 (Suurpää 2000, 478, Example 19)	101
2.29	Voice-leading sketch of the Ballade, Op. 52, mm. 8–22	102
2.30	Contrapuntal motions in the developing episode (Suurpää 2000, 473, Example 15)	103
3.1	<i>Clausula vera</i> cadence (Anderson 1992, 65, Figure 24)	105
3.2	The model of a cadence (cadenza composta) by seventeenth-century writers (Chew 1983, 42, Example 7)	108
3.3	Harmonic outline of "Pause," mm. 55–69 (Ellis 2010, 196, Example 8.9b)	114
3.4	Voice-leading graph of the Rondo in E \flat major, Op. 16, introduction	119
3.5a	Overall progression of Op. 16, Introduction	120
3.5b	Alternative reading of Op. 16, Introduction	120
3.6	Schenker's graph of the Mazurka, Op. 33, No. 4 (<i>Free Composition</i> , Fig. 74,2)	121
3.7	Voice-leading graph of the Nocturne, Op. 15, No. 3, F-major section	128
3.8	Ending of the Nocturne, Op. 15, No. 3 (Kallberg 1988, 248)	131
3.9	Voice-leading graph of Op. 15, No. 3, G-minor section	134
3.10	Voice-leading graphs of Op. 15, No. 3, F \sharp -major section	135
3.11	Overall tonal structure of the Nocturne, Op. 15, No. 3	138
3.12a	Polonaise, Op. 53: Enharmonic modulation	143
3.12b	Polonaise, Op. 53: Leading-tone modulation	143
4.1a	Chopin, Impromptu in F \sharp Major, Op. 36: Outline of the introduction, mm. 1–6	153
4.1b	Impromptu in F \sharp Major, Op. 36: Outline of the opening theme, mm. 7–11	154
4.2	Impromptu in F \sharp Major, Op. 36: Voice-leading graph of the first section	155
4.3	Impromptu in F \sharp Major, Op. 36: Harmonic progression of the transitional measures	156
4.4	Impromptu in F \sharp Major, Op. 36: Voice-leading graph of the middle section	157
4.5	Impromptu in F \sharp Major, Op. 36: Voice-leading graph of the last section	158
4.6	Voice-leading graph of the entire Impromptu in F \sharp Major, Op. 36	161
4.7	Schenker's analysis of Chopin's Scherzo, Op. 31 in <i>Free Composition</i> (Fig. 102,6)	165
4.8	Krebs's alternative interpretation of the Scherzo, Op. 31 (1991, 50)	167
4.9	Overall structure of the Scherzo, Op. 31	170
4.10	Key-relations and the leading-tone modulation in the Scherzo, Op. 31	171
4.11	Analysis of Chopin's Prelude in C \sharp Minor, Op. 45, mm. 1–18	187

4.12	Analysis of Op. 45, mm. 19–35	188
4.13	Analysis of Op. 45, mm. 37–59	190
4.14	Overall tonal structure of Op. 45	191
4.15	Inversional symmetry in Chopin’s Nocturne in B♭ Minor, Op. 9, No. 1	196
4.16	Ballade, Op. 23: Overall voice-leading progression (Chung 2008, 96, Example 3)	199
4.17	Schenker’s graph of the Ballade, Op. 23 (<i>Free Composition</i> , Fig. 153, 1)	202
4.18	Ballade, Op. 23: B♭/C♭→B♭ motion in the transition	204

Abstract

This dissertation investigates Chopin's chromatic harmony and its coordination with chromatic voice leading, which produce modulations to remote tonal regions, by exploring his use of semitonal relationships. To the work of previous scholars who have discussed the audacity of Chopin's harmonic practice and his extensive use of third relationships this study adds by focusing on semitonal relationships to help account for the individuality of Chopin's approach to chromaticism as a distinctive feature of his compositional style.

One of the specific techniques identified in this dissertation, semitonal modulation, raises important issues in music theory as such a modulation often involves unusual voice-leading events. Such events disrupt a passage's tonal focus, requiring both a reorientation on the listener's part and an eventual reintegration of that event into a single-key framework. Combining a Schenkerian approach with ideas drawn from recent theories, the dissertation explains local chromatic events and phenomenological aspects of modulation to consider this reinterpretive process of listening. By incorporating these approaches into a reading, analysts can effectively show tonal disorientation of listeners in a local context and a retrospective understanding on a larger scale.

This dissertation addresses two main types of modulation—one involving a scale-degree transformation between $\hat{1}$ and $\hat{7}$, the other involving a transformation between $\flat\hat{6}$ and $\hat{5}$. I call the first type a *leading-tone modulation*, since it occurs when the tonic in one key changes into the leading tone of the new key. The second type involves a semitonal shift through a $\flat\hat{6}$ - $\hat{5}$

transformation, a widely used progression that Chopin handles in distinctive ways by emphasizing a note involved in that scale-degree transformation. The dissertation also sheds light on semitonal relationships as they affect musical parameters other than key areas, since Chopin's use of semitonal relationships radiates into other elements of music; it thus offers analysts a new perspective to interpret forms, motives, and large-scale pitch structuring as well. Analytical in orientation, the dissertation examines a large number of Chopin's works, including several Preludes and Nocturnes, the Ballades in G Minor (Op. 23) and F Minor (Op. 52), the Second Scherzo (Op. 31), and the Fantasy (Op. 49).

Chapter 1

Semitonal Relationships in Chopin's Music: Theoretical Background

1.1. Introductory Remarks: Compositional Influence

The factors that affect a composer's developing an individual style are many and varied. In the case of Chopin, music scholars—especially in the field of musicology—have traced these factors by studying the composer's biographical, historical, and cultural background.¹ Among the influences on Chopin, his reception of music by other composers has always offered intriguing issues to consider. Although compositional influence by itself is a broad and complicated topic, not within the scope of this dissertation, it may be useful, before turning to our main topic of chromaticism, to examine briefly two composers whose music exerted a powerful effect on Chopin's music style: J. S. Bach and W. A. Mozart.

¹ See, for example, Jean-Jacques Eigeldinger's works on Chopin's biography and musical style, represented in his book *Chopin: Pianist and Teacher as seen by Pupils* (1986), which collected a vast store of descriptions and sources from Chopin's students. Halina Goldberg's dissertation (1997) and *Music in Chopin's Warsaw* (2008) are main studies of Chopin's compositional training and musical environment in Warsaw. Jeffrey Kallberg's work encompasses the sketches and manuscripts of Chopin, editing and publications, and genre study; see his dissertation on Chopin's later manuscripts and editions (1982) and many of his articles (such as 1983; 1985; 1988; 1992; 1997; and 2001). Jim Samson is also an important figure in the historical study of Chopin, Chopin reception, and genre study; he provides a range of insightful works, including the books *The Music of Chopin* (1985) and *Chopin* (1996).

It is well known that Chopin became familiar with these two composers early in life, in part through his composition studies with Józef Elsner and Wojciech Żywny. As Benjamin Oren observes in his article “Connections between Bach and Chopin” (2003), “[t]hese two teachers [Elsner and Żywny], and other factors . . . implanted in Chopin an attitude of reverence and awe toward Bach and Mozart already in his youth, which only intensified in years to come. Chopin used works by these masters as a source of enlightenment and as models for composition” (8). Eigeldinger (1994) gives a more detailed account of their influence on the youthful composer: “Żywny, himself a violinist, generally supervised Fryderyk’s training at the piano (Chopin largely taught himself to play) and was responsible for forming the ‘taste’ of his brilliant pupil: as a ‘passionate admirer of the works of Bach,’ he inculcated in him an abiding worship of the Cantor, basing his teaching on the *Wohltemperirtes Clavier*. . . . As for Elsner, Fryderyk’s teacher of harmony and counterpoint first privately, then at the Conservatory, he was an adherent of both Haydn and (above all) Mozart, who occupied a special place in his teaching” (103). Chopin’s fondness and admiration for these two composers, Bach and Mozart, seems to continue throughout his lifetime, as I will explore in what follows.

First, Bach appears to be Chopin’s ideal model, at least for some of his compositions. Robert W. Wason (2002) observes that Chopin not only studied Bach from childhood but also that his conception of the Etudes and Preludes reveals his admiration for the German master. To support the claim of Bach’s influence, Wason mentions a letter by Chopin to his friend and agent Julian Fontana that provides evidence of his close contact with Bach’s work,² as well as

² See the letter to Fontana, 8 August, 1839 from Nohant, in *Selected Correspondence of Fryderyk Chopin*, trans. and ed. Arthur Hedley (1962, 180–82), cited in Wason (2002, 103): “When I have nothing particular to do I am correcting for myself, in the Paris edition of Bach, not only the mistakes made by the engraver but those which are backed by the authority of people who are supposed to understand Bach—not that I have any pretensions to a deeper understanding, but I

testimonials by students of Chopin who describe Chopin's teaching of such works as the *Well-Tempered Clavier* (103). In addition, a number of passages in the Chopin repertory show a range of foreground techniques, allusions or even quotations of Bach.³ That Chopin revered Bach and used his music as a lifelong inspiration thus seems clear.

What I would stress with regard to the perspective of this dissertation, however, is how Chopin emulates the refined sense of linear motion of Bach generally. This is an aspect of Chopin's technique to which Jim Samson draws attention. In *The Music of Chopin* (1985), Samson discusses what he calls "Chopin's highly personal contrapuntal style," in which layered textures, often articulated through dynamic shadings, "allow voices to emerge and recede from the texture" (74). Samson stresses the contrapuntal aspect of Chopin Preludes and Etudes in this

am convinced that I sometimes hit on the right answer." The recently published facsimile of a Chopin teaching copy of the *Well-Tempered Clavier* (Eigeldinger 2010) tends to confirm his intimate knowledge of this repertory.

³ For instance, Samson illustrates resemblances among the imitative techniques in the first movement of Chopin's Sonata Op. 4 and in Bach's Two-Part Invention in C Minor (1985, 38); Eigeldinger also mentions Ludwik Bronarski's observation (1944–6) of "the almost exact reminiscence" of the Bach invention (BWV 773) in the Sonata and points out the bold chromaticism in the opening passage. As he astutely observes, "[t]he fundamental similarity between the opening of this Bach *inventio* and Chopin's early Sonata suggests that the thought process behind the pre-Wagnerian audacities of bars 9–11 of Op. 4 is a linear one" (1994, 110). Eigeldinger continues discussing a chromatic descending fourth progression in the passage as a clear baroque *lamento*, saying that "Chopin takes the pattern not so much from his classical forebears as directly from Bach himself" (111), and illustrates other examples of the descending fourth progression, such as in the orchestral introduction to the "Là ci darem" Variations, Op. 2, and the beginning of the Concertos, Opp. 21 and 11. In the similar vein, Rothstein points out Bach's influence on Chopin by noting the harmonic progression of the principal theme in the Fourth Ballade (I–(III)–IV–V) and its continuous variation throughout the piece: "It is likely that Chopin, who venerated the music of J. S. Bach, took the inspiration for this procedure from Bach's ground bass forms (cf. the "Crucifixus" from the Mass in B Minor). Strengthening the historical connection is Chopin's conspicuous use of the descending tetrachord F-Eb-Db-C (♭-♭-♭-♮), especially in the coda" (1994, 25).

regard, noting various kinds of relationship to the counterpoint in Bach's *Well-Tempered Clavier*.⁴ He continues:

These two areas of affinity—figuration and counterpoint—have further implication for harmony. In both Bach and Chopin consistency of figure and contrapuntal integrity will provide sufficient justification for severe and often highly unorthodox dissonance. . . . And in general the balance between linear and harmonic elements is similar in both composers and perceptibly different from the Viennese classical style. In Bach and Chopin an organic chromaticism often directs the music and dictates its chord connections so that foreground diatonic functions are emaciated and the span between structural harmonies lengthened. (1985, 75)

This remark suggests that Chopin not only gives priority to counterpoint, but also that he absorbs it as a basis for his individual chromatic techniques. As Samson points out, in spite of the striking chromatic sonorities they often produce, the dissonances in Chopin's music emerge from the seamless voice leading. As a result of smooth linear motion, Chopin's chromatic harmony, including non-harmonic tones, chromatic sequences, and fast harmonic rhythms, counterbalances a moment-to-moment diatonic progression. And this seems likely to have been a feature that Chopin found in Bach as an ideal model. Thus, Chopin's personal approach to counterpoint was designed to allow for a high concentration of dissonance, and this would have been something he likely absorbed from his study of Bach.

Just as Chopin's admiration for Bach is well documented and evident in the music, his reverence for Mozart is well known. This admiration for Mozart was not limited, however, to the

⁴ Chapter 4, "Baroque Reflections," in Samson 1985, 58–80. Samson emphasizes two elements that Chopin inherited from Bach. One is Chopin's contrapuntal technique, and the other is Chopin's ability to construct figuration: "Like Bach, moreover, Chopin was adept at the construction of figuration which generates a clear harmonic flow while at the same time permitting linear elements to emerge through the pattern" (73–74). See also Samson 2001 where the author states that Chopin's transformation and maturity of style was based on techniques of figuration and counterpoint learned from Bach.

Viennese master's melodic writing or his flair for the operatic, though it certainly included these elements. It also included counterpoint in particular. In a conversation reported in the diary of Chopin's friend, the painter Eugène Delacroix, the composer praises the part writing in Mozart's music, contrasting it with that of Beethoven:

And Chopin said to me, "Where Beethoven is obscure and appears to be lacking in unity, it is not, as people claim, from a rather wild originality—the quality for which they honor him—it is because he turns his back on eternal principles [of counterpoint]. Mozart never does this. Each part has its own course which, although it harmonizes with the rest, makes its own melody and follows it to completion. This is what is meant by counterpoint, '*punto contrapunto*.'" He added that it was usual to learn chords before counterpoint, that is to say, [before] the succession of notes that leads to the chords.⁵

Much as Chopin declared his admiration for Mozart's counterpoint in this conversation with Delacroix,⁶ Mozart could also have served as a model for the use of chromaticism, locally and on a larger scale. In particular, for Chopin's use of foreign key areas, we can find precedents in Mozart perhaps more than in other composers who influenced Chopin. As demonstrated in Chopin's Variations in B♭ Major on "Là ci darem la mano," Op. 2, for which he took the theme from Mozart's *Don Giovanni*, Chopin was directly familiar with Mozart's music and keen to use it as a basis for a piece of his own while still a student in Warsaw. Therefore, it would be natural that Chopin's uses of chromatic elements would have much in common with those of Mozart.

⁵ *Journal de Eugène Delacroix* (Paris: Librairie Plon, 1932), vol. 1 (1822–1852), pp. 283–85. "Là, m'a-t-il dit, où ce dernier [Beethoven] est obscur et paraît manquer d'unité, ce n'est pas une prétendue originalité un peu sauvage, dont on lui fait honneur, qui en est cause; c'est qu'il tourne le dos à des principes éternels. Mozart jamais. Chacune des parties a sa marche, qui, tout en s'accordant avec les autres, forme un chant et le suit parfaitement; c'est là le contrepoint, '*punto contrapunto*.' Il m'a dit que l'on avait l'habitude d'apprendre les accords avant le contrepoint, c'est-à-dire la succession des notes qui mène aux accords." (284)

⁶ Eigeldinger (1986) observes, moreover, that their shared admiration for Mozart, and Chopin's comparison of Mozart with Haydn or Beethoven, are found in many of Delacroix's journal entries. See Eigeldinger 1986, 122–26.

As a preliminary example, we might consider a passage from the first movement of Mozart's Piano Sonata in C Minor, K. 457. In the recapitulation, the transition starts at m. 118 with imitative motion involving the exposition's basic idea. Mozart, however, uses a different strategy here than he did in the exposition, as the passage moves to introduce new material in D \flat major. Soon the A \flat -C-E \flat -G \flat chord at m. 121, a dominant seventh chord of the Neapolitan, is interpreted as the German sixth chord in C minor, and, at m. 125, as the A \flat changes to A \natural , this chromatic chord resolves to V of the home key, C minor. At this point we immediately realize that this is the end of the transition after a brief tonicization of the Neapolitan. A sense of a D \flat -major tonality is of course very brief, but it has an impressive effect. It not only functions as an expanded pre-dominant to get to the half cadence in the home key, but, by tonicizing this Neapolitan, the passage gives listeners a strong sense of tonal contrast in the recapitulation, even though the reworked transition does not modulate as the transition in the exposition did. From a composer's standpoint, one challenge in the recapitulation would be to create the sense of instability and modulation while still connecting tonic harmony of the first theme to the tonic harmony of the second theme.⁷ In this piece, Mozart creates a sense of subdominant moving to tonic, and replaces the tonic-mediant progression in the exposition by developing the transition through the Neapolitan.

Even bolder and more unexpected shifts to chromatic key areas appear elsewhere in Mozart. Consider, for example, the first movement of Mozart's last piano concerto, in B \flat major, K. 595. Near the beginning of the development section Mozart sets a sudden arrival of the main

⁷ In *Classical Form*, William Caplin explains that this is why many composers emphasize "flat" side regions, such as IV, \flat II, or \flat VI, in the first theme or transition in the recapitulation, even though the modulatory move is not required in the recapitulation. That is, these flat-side keys allow the second theme to sound new when it is transposed to the home key and prevent the recapitulation from becoming tonally monotonous (1988, 165).

theme in B minor, a tonal region very remote from the home key B \flat , and even more remote from the dominant key, F major, that just closed the exposition. The B-minor passage does not last long, but it certainly establishes the key, quoting the main theme. The passage demonstrates how adept Mozart was at getting into a remote key quickly while still making the modulation sound natural, completely unforced. Considering that this is the beginning of the development section, the use of B minor at this point, although temporary, is not fully enclosed within another key as was the case in the C-Minor Piano Sonata; it plays a role in announcing the new section, changing the color of the theme and creating an entirely different atmosphere.

Example 1.1. Mozart, *Piano Concerto in B \flat Major, K. 595, I, beginning of the development section*

What makes this moment even more remarkable is how Mozart holds harmonic irregularities together throughout the movement. He prepares this striking moment in the temporary B-minor key by starting the second theme in F minor at m. 108 and highlighting the Neapolitan chord of

the F minor. And after the principal theme goes through the emotional journey in the development section, listeners encounter a reminder of B minor in the recapitulation, as the Neapolitan C \flat -major chord this time, when the second theme recurs transposed to the home key. I believe that Mozart's marvelous ability to carry one moment to the next one and to interconnect the chromatic harmonies in remote regions is one type of technique that Chopin probably learned from him.

Similar types of arresting modulations to keys a semitone apart are found in a number of other Mozart works as well. The Adagio in B Minor, K. 540 is one of the Mozart works that displays a high degree of chromaticism.⁸ In the development section, Mozart presents the main theme first in G major, then in F \sharp minor. Afterwards, while turning back to B minor, the theme passes through in the tonal regions of G minor and A minor. This condensed use of foreign keys throughout the section shows, as David Stern states, “[Mozart’s] remarkable ability to convincingly lead the ear through even the most unlikely key areas” (164). Although Stern premises his remarks on the observation that such tonal excursions in Mozart are “typically quite transient,” differing in that respect from those in Schubert, he points out that Mozart’s advanced modulation techniques are still worth noting in that they often show “brief tonal excursions to create a remarkable depth of expression” (161). Although, as Suurpää observes, the keys of G minor and A minor are brief stations in a chromatically rising progression from V (F \sharp) to the I (B) that begins the recapitulation, thus in a sense contrapuntally generated, the remoteness of these keys, and the darkness of their expression, especially in this piece, remain very striking.

⁸ For analyses of the Adagio, see Stern (2005) and Suurpää (2008). Stern’s analysis deals mainly with chromaticism in Mozart’s music, particularly his late works. Suurpää focuses more on the relationships between the expressive aspects and formal, voice-leading structure in the piece.

The Fantasy in C Minor, K. 475 also provides us with an outstanding, successive employment of the remote tonal regions, one of the most famous in all of Mozart's works.⁹ In particular, the first *Adagio* section, as Phipps (2008) points out, is tonally ambiguous in terms of the unclear mode and doubtful harmony of the first phrase, and, above all, the exploration of unexpected tonal regions. Here Mozart leads the music to the foreign keys of D \flat major and B major/minor, in even a strange way; after only four measures of the beginning, the music already suggests the D \flat -major tonality, but it is not firmly established and the music moves to B major instead, through a chromatic ascending bass from A \flat to B. Eisen and Wintle considers these moves to be "extraordinary digressions to upper and lower Neapolitans" (1999, 46). Although the opening *Adagio* section reaches the dominant G at m. 18, it does so only after arriving at F \sharp , the dominant of B major, which resolves to G as a deceptive cadence. And in spite of this "dizzying circuitous path that leads from C to its major mode dominant," it soon turns out that G major is a "motion back to B minor by way of its augmented-sixth harmony" (Phipps 2008, 112–13). This adventurous and unusual key-structure of the section is a feature shared with several of Chopin's works, including, for example, the opening section of the Fantasy Op. 49, in which Chopin suggests various possible key areas, such as E major and A \flat major, keys that are suggested but not firmly established, yet still locate themselves beautifully within the section.

Last but not least, I should mention the first movement of the Piano Concerto in C Minor, K. 491. Another celebrated work, this concerto movement has an extremely chromatic, "twelve-tone" subject and almost immediately sets up chromatic density from the movement's beginning.

⁹ The striking chromaticism in the Fantasy has been noted by many scholars. See Wolf (1992), Atlas (1986), Eisen and Wintle (1999), and Phipps (2008).

Chopin probably knew this concerto, and it is logical to presume that this type of work, too, would have encouraged Chopin to experiment with his tonal language.¹⁰

The discussion so far suggests that Mozart's music, in addition to displaying the contrapuntal integrity that Chopin noted in conversation with Delacroix, is a rich resource for bold chromaticism and exploration of remote key areas. And Chopin's music shows how much he was inspired to emulate Mozart's rich and intense chromatic techniques, although in his own way, assimilating them to his own style. In particular, the immediate and timely change to key a semitone below or above, as we will see shortly, prefigures Chopin's far-reaching exploration of semitonal relations.

1.2. Chromaticism and Tonal Ambiguity in Chopin's Music

Chromaticism in nineteenth-century music has drawn the attention of music scholars for many years. Recently, "nineteenth-century chromatic tonality" seems to have become a popular idea, and this idea indeed plays a role in capturing a trend toward composers' increasingly fundamental use of chromaticism in the nineteenth century.¹¹ However, much as this term is meaningful in pointing toward distinctive characteristics of music in the nineteenth century, it runs the risk of lumping together all the diverse tendencies of many different composers.

Interesting, or even radical, innovations in the use of chromaticism are found even in the music

¹⁰ For the discussion of the C-Minor Concerto K. 491, see Wen (1990) and Kinderman (1996). See also Schachter's (1996) insightful article on chromatic slow movements by Mozart, K. 449, K. 453, and K. 467.

¹¹ This topic has produced a long list of studies. A partial list might include Salzer 1952; Mitchell 1962, 1967; Proctor 1978; Krebs 1980; Smith 1986; McCreless 1991, 1996; and Brown *et al.* 1997.

of early nineteenth-century composers, and such uses continue to the end of the century. Moreover, approaches to harmony and tonality also vary from composer to composer, and even in the works of a single composer. Thus, we can find a wide spectrum of compositional techniques involving chromatic harmony.

This fascination with chromaticism is surely one reason why there has been such active research on Chopin's music. Even with this level of scholarly attention, however, certain aspects of Chopin's compositional technique merit more attention, above all, the elements of Chopin's harmonic practice that often seem years ahead of his time. In his book *Music in Transition*, for example, Jim Samson points to this prophetic quality, stating that "there are, of course, no firm dividing lines, but already in some works by Chopin chromatic harmony has been developed as a more thoroughgoing *alternative* to diatonic progression, establishing an equilibrium of chromatic and diatonic material which anticipates procedures in Wagner and other late-Romantic composers" (1977, 3).

My purpose here, building on Samson, will be to specify which are "some works by Chopin" to which the expression above refers and what type of chromatic harmony distinguishes itself in the Chopin repertory. I think much remains to explore in the individual characteristics of Chopin's chromatic writing, especially in his use of semitonal relationships.

Before addressing this topic in detail, I should mention a couple of studies that examine the pioneering features of Chopin's harmony. One who provides an in-depth discussion of Chopin's expansion of tonality is Harald Krebs. In his dissertation (1980), Krebs discusses the use of third-progressions in early nineteenth-century music by analyzing works of Chopin and Schubert, presenting a vast range of Schenkerian sketches of complete works or passages by these composers. "The primary aim of the present study," Krebs clarifies, "is to show that early

nineteenth-century composers begin to use large scale third-related triads within circular constructs and within other progressions that avoid the dominant, and to investigate the effect on tonality of these new usages of the third relation” (18).

With this goal in mind, Krebs classifies uses of the third-related triads into three categories: third-related triads within the tonic-dominant axis, third-related triads temporarily independent of the tonic-dominant axis, and third-related triads permanently independent of the tonic-dominant axis. Through the many analyses in his dissertation, he tries to demonstrate how the use of third relations contributes to destabilizing tonality over time, and he deals with a number of Chopin examples mostly as illustrations of the last category, with Chopin viewed as one of the composers who “begin to use such [large-scale third-related] triads in such a way that a tonic is weakened or even abandoned and replaced” (173).

An article by Edward T. Cone, written in 1994, also conveys the author’s insight about the overall repertory of Chopin.¹² At the outset Cone identifies the quality of ambiguity in Chopin’s music:

Of course some degree of ambiguity is present in all music beyond the complexity of a bugle-call. . . . But the combination of persistence (in musical time) and penetration (of music texture) that characterizes Chopin’s ambiguity is rare in pre-romantic usage. (140)

I think this remark on the “persistence” and “penetration” of Chopin’s uses of ambiguity aptly describes the individuality of this feature in Chopin’s music. Chopin strives to apply new techniques throughout his oeuvre, but he does so in such a way that they are absorbed

¹² Even though here I will focus on Cone’s discussion on harmonic ambiguity in Chopin’s music from the second section of the article, he deals with rhythmic and formal ambiguity as well in the other parts of the article. See Cone (1994) for more details.

into traditional manners of writing so that listeners are surprised by the novelty but, to some extent, feel familiarity as well.

Cone's discussions of tonal ambiguity in certain passages, or even in some measures in the middle of a piece, make a number of valid points. Cone properly states this aspect of Chopin's music in the following manner:

One should not conclude from the foregoing examples [from the Ballades, Opp. 47 and 52, the Mazurka, Op. 41, No. 1, and the Scherzo, Op. 39] that Chopin's harmonic ambiguity depends on tonal instability, nor that it requires an entire theme or section—much less a whole composition—as its locus. On the contrary, it is typical of the composer to embed, within a stable key, a short passage which teasingly plays with “alternative reactions” to a harmonic or polyphonic detail. (144)

Cone then classifies three types of local ambiguity in Chopin's harmony: “those in which a harmony implies more than one function, those subject to divergent chordal and linear interpretations, and those involving what I call cadential reorientation” (144). The first feature in particular, situations where a harmony implies more than one function, draws much attention in the discussion. Cone provides examples of this feature in such works as Polonaise Op. 40, No. 2, Mazurka Op. 56, No. 1, Ballade Op. 23, and Mazurka Op. 59, No. 1 (145–47). I will not repeat his analyses here, but will simply point out that his keen observations provide useful explanations of many bold modulations in the Chopin repertory. I will return to these in the next section of this chapter.

In addition to Krebs's study of third-relations and dominant and Cone's study of ambiguity and reinterpretation, a number of previous studies of Chopin's chromatic harmony have focused on outstanding features such as off-tonic beginnings and directional tonality. First, there are many discussions of the tonally undefined openings or endings in the Chopin repertory. Samson (1977, 7) discusses “foreign openings”; Cone (1994, 144) remarks on the “oblique

approach to the tonic” in some works; and Schachter (1988), Korsyn (1996), and Bellman (2010), among others, discuss works by Chopin that begin in one key and end in another. Although the terms vary from scholar to scholar, such as Samson’s “foreign opening” and Cone’s “oblique approach to the tonic,” many scholars agree that there are notable cases in Chopin’s music where the principal tonality is not clearly defined at the beginning of the piece.¹³

There have also been discussions of unconventional endings in pieces by Chopin. In the early nineteenth century, the tonic key almost always returns at a major point of articulation, and especially at the end of a piece. In the late nineteenth century, however, composers incorporated their own strategies to weaken the return of the primary key, such as in the unclear start of the recapitulation in the first movement of Mahler’s First Symphony and the unexpected key of the recapitulation in the first movement of Tchaikovsky’s Fourth Symphony. However, we find the real change in the notion of returning tonic key happens when some composers, including Chopin, extend their approaches by never returning to the home key at all. In this case, the initial tonic usually turns out to be a harmony of non-tonic function later in the piece, as the music concludes in the other key.¹⁴ In the Chopin repertory, several works such as the Second Scherzo, Op. 31, the Fantasy, Op. 49, the Second Ballade, Op. 38, and the second movement of the Sonata,

¹³ For instance, Joyce Yip discusses the non-tonic beginning in Chopin’s Mazurkas in her dissertation; see “Incomplete Opening: Auxiliary Progression” from her Chapter 4 (2010, 65–70).

¹⁴ This technique is usually referred to as directional tonality. A good example of research into this topic is when Kevin Korsyn (1996) compares directional tonality in the Second Ballade of Chopin and the middle movement of the String Quintet Op. 88 of Brahms. The term “tonal pairing,” a term synonymous with double tonic complex, originates with Robert Bailey’s (1985) “two controlling tonics,” and refers to some pieces where two keys coexist. A distinction between directional tonality and tonal pairing could be arguable. In fact, the differentiation between them is dependent on an individual, subtle interpretation, and there is definitely an intersection between the two.

Op. 35 have drawn much attention of analysts as belonging to this category. I will return to this topic later in this dissertation, when analyzing the Second Scherzo, Op. 31.

1.3. Problems of Semitonal Relationships

The features described in the preceding section—chromatic third-relations, tonal ambiguity, beginnings that cast doubt on the key, and endings in key different from the starting key—point, in a general way, toward the boldness and originality of Chopin’s music. One prominent feature that is less well studied, although it is often present to some degree in the techniques just described, is Chopin’s use of semitonal relations. As we will see, semitonal relationships can be stylistically integral to Chopin’s approach to a variety of musical features—motivic content, remote modulations, and even to the large-scale structure of a piece. In saying this, I do not mean to suggest that one should disregard the features mentioned above; on the contrary, while I do not deal with them directly, I do approach those issues from a new perspective through the lens of semitonal relationships.

To illustrate the kind of problem this dissertation will explore, let us consider the passage from the Nocturne in B \flat Minor, Op. 9, No. 1, shown in Example 1.2. Taken from the Nocturne’s middle section, this eight-measure passage in D \flat major is an important part of the section since it is repeated four times without change. In the consequent, mm. 23–26, what draws the listener’s attention is a brief tonal disorientation as a new and remote key, D major, is established. In this particular passage, I would like to pay special attention to transformation of scale-degree function at m. 23. Here the tonic of D \flat major changes to the

leading tone of D major, and this transformation results in a modulation into a key that is a semitone above the original key. That is, in the consequent, the music temporarily modulates to D major, as the tonic $D\flat$ enharmonically changes its function to $C\sharp$ in D major.

The image shows a musical score for Chopin's Nocturne in B-flat Minor, Op. 9, No. 1, measures 18-26. The score is in B-flat minor and features a modulation to D major. The right hand part includes markings for 'sotto voce', 'pp', 'smorz.', 'poco rallent.', and 'a tempo'. The left hand part includes markings for 'ppp', 'f', and 'cresc.'. The score shows a sequence of chords and melodic lines that facilitate the modulation.

Example 1.2. Chopin, *Nocturne in B \flat Minor, Op. 9, No. 1*, mm. 18–26

This kind of modulation, which I call a *leading-tone modulation*, is one of a number of semitonal strategies that I have identified in the music of Chopin. It occurs when the tonic in one key changes into the leading tone of the new key. This transformation results in a modulation to a key whose tonic lies a semitone above the tonic of the original key.

As another example, let us look at a similar type of semitonal modulation in a larger-scale piece. Example 1.3, an excerpt from the first movement of Chopin's B-flat-Minor Sonata, Op. 35, shows how Chopin employs a different kind of semitonal shift. This passage had appeared near the end of the exposition; in the music shown in Example 1.3, it returns at the corresponding

juncture in the recapitulation. As shown in the example, moving toward the end of the movement, the lyrical theme ends on the tonic of B \flat major at m. 208. After the dominant and the tonic chords in B \flat major are repeated spanning a wide range of register in mm. 208–15, the following passage marks an impressive use of semitonal relationships. $\hat{7}$ (A) in B \flat major becomes $\hat{1}$ in A major at m. 216, while C and E \flat respectively move a semitone higher, thus activating the potential of A major as a key area. This A major key is easily recognized due to its sequential relationships to the previous phrase and the repetitive V–I progression.

206 PAC! Extended V-I motion in B \flat major

211

215 *segno.* V-I in A major!

219 *cresc.* Return to B \flat major

223 *ff*

Example 1.3. Chopin, *Piano Sonata in B \flat Minor, Op. 35, I, mm. 206–27*

However, in an instant, the music proceeds to the tonic in B \flat major again. The passage from m. 220 is a magical moment when the tonic in A major is transformed into the leading tone in B \flat major and then proceeds to the tonic of the key. When the top voice reaches the final tonic B \flat through this leading-tone modulation, it is clear that the music resumes the B \flat -major key and moves towards the final cadence of the movement.

These examples challenge analysts to explain in theoretical terms the tonal disorientation that they arouse. One might approach the passages with respect to harmonic function. For instance, in the B \flat -Minor Nocturne, the second chord might trigger in experienced listeners an expectation of the dominant chord of D \flat major since it can be regarded as a German sixth through the enharmonic respelling A \sharp /B $\flat\flat$ (Figure 1.1). However, Chopin thwarts that expectation by proceeding to the Neapolitan in the next measure. In other words, the second chord has “multiple meanings” in Cone’s words (1994, 145), the German sixth and the dominant of the Neapolitan of D \flat major.

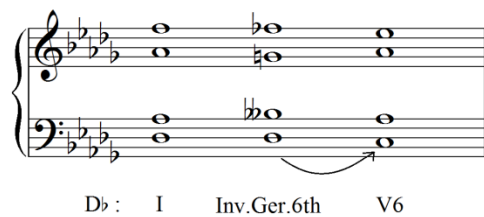


Figure 1.1. *Another possibility for Chopin’s Nocturne in B \flat Minor, Op. 9, No. 1, mm. 23–24*

We can find a similar technique in a passage from the Polonaise, Op. 40, No. 2 that Cone analyzes in a 1994 article. Cone points out that Chopin presents the German sixth first and then interprets it as a dominant seventh of a Neapolitan by means of enharmonicism (the enharmonically equivalent chords are indicated in the box in Figure 1.2), this being an example

of a chord with multiple meanings. Compared to the B \flat -Minor Nocturne example, here Chopin not only provides the German sixth beforehand but also more clearly presents the V/N–N progression due to the root positions of the chords. Still, the two passages show a similar diversion to the Neapolitan chord.

The figure displays a musical score for Chopin's Polonaise, Op. 40, No. 2, measures 73 to 80. Below the score is a harmonic reduction in A-flat major. The chords are: I⁶ (A-flat major), N (Neapolitan chord, B-flat major), I (A-flat major), vi (F minor), V/vi ii⁷ (E-flat major / F minor), V⁷ (A-flat major), and I (A-flat major). A bracket labeled '75-7' spans from measure 75 to measure 77. Bar numbers 73, 78, and 80 are marked above the staff.

Figure 1.2. *Harmonic reduction of Polonaise, Op. 40, No.2, mm. 73–80 (Cone 1994, 145)*

This general statement on multiple meaning, however, does not account for several aspects of the passage. First of all, it does not mention the common-tone modulation (D \flat =C \sharp), which is one of the frequently used modulation technique in Chopin’s harmonic language.¹⁵ In

¹⁵ In a 2008 article, William Rothstein links this feature, the modulation to a key by a chromatic third using a common-tone, to early-nineteenth-century Italian opera and mentions the influence of Rossini and Bellini on Chopin (for more details, see Rothstein 2008).

Chopin’s fondness for Italian opera and its compositional influence on Chopin has been well known. For example, in a 1994 article, Eigeldinger points out influence of Italian opera as one of the elements which “constitute the essential foundation of Chopin’s aesthetic orientation”: “The National Opera [in Warsaw] had strong Italianate tendencies under Kurpiński’s direction, and in the socio-cultural context of 1820s Warsaw it played a crucial role in feeding Chopin’s enthusiasm for Rossini. . . . Chopin’s predilection for Rossinian *bel canto* was eventually to be catered for at the Théâtre-Italien in Paris, where the unique revelation of Bellini’s cantilena awaited him as the logical development of his Warsaw passion for Rossini” (104). Samson (1985) also states that “certainly [Chopin] had ample opportunity to steep himself in this music [early nineteenth-century Italian opera] during his formative years in Warsaw and during his visits to Berlin and Vienna. . . . In broad stylistic terms his ornamental melody does indeed display a close affinity to the coloratura aria of Italian opera (Rossini in particular) and doubtless some of this was a direct result of his saturation with the medium” (81, See Chapter 5, titled “Bel canto” for more detailed discussion). More direct evidence of Chopin’s knowledge of Italian opera would be in his works, especially the B \flat -Minor Polonaise (Op. post.), composed in 1826, which quotes the cavatina “Vieni fra queste braccia” from Rossini’s opera *La gazza ladra*.

addition, even though Cone's explanation aptly captures the ambivalent moment of the German sixth/dominant seventh, it does not take full account of the individuality of the semitonal modulation in which the progression results. In other words, it describes the duality of the chord on the wedge very well, but doesn't state much about where the passage proceeds. In fact, Cone's first category, a harmony that implies more than one function, even covers the examples of third relations and semitonal relations together.

Moreover, although Cone explains harmonic ambiguity caused by linear progression as his second category, it is not easy to separate this feature from instances of the first category. According to him, such cases appear when a note heard as a functioning chord member turns out to be only a melodic elaboration, thus requiring listeners to reinterpret the passage. However, an actual passage will typically display all these harmonic and contrapuntal interplays interwoven with each other, so it is hard to distinguish linear progressions from the harmonic aspect. For instance, in the same passage of the B \flat -Minor Nocturne, listeners might regard the E in the top voice at m. 23, as a passing tone in an F-E-D motion, due to the weak beat and the repeated bass-note C \sharp ; but it also functions as the chord member of V/N as discussed above.

Therefore, I believe that there is a need to specify, from a somewhat different angle, the elements of tonal disorientation in passages like these. I would rather highlight the delicate change of interpretation on the common tone C \sharp in listeners' minds as the music unfolds, using the idea of scale-degree transformation. And I aim to shed light on semitonal relationships to which specific types of scale-degree transformation lead.

1.4. Previous Studies on Semitonal Relationships and Methods

In the scholarly literature, semitonal relationships have been indirectly addressed by a number of theorists, but in a way that I believe leaves more work to be done. In this section, I will examine previous studies that involve semitonal relationships in order to establish an analytical framework; in so doing I will suggest how my approach to Chopin's music relates to the literature and from what theoretical background I proceed.

The process of semitonal shift can be framed in terms of a scale-degree transformation. One can imagine a general case; a certain scale-degree in one key becomes a different scale-degree in a new key. The study of this general notion has already been undertaken in a remarkable recent book by Steven Rings, *Tonality and Transformation* (2011). In this book Rings considers all cases of scale-degree transformation in an abstract theoretical setting, demonstrating the considerable gains that come by considering all the possibilities of scale-degree transformation, such as $\hat{3} \rightarrow \hat{7}$, $b\hat{5} \rightarrow \hat{7}$, and $\#\hat{2} \rightarrow \hat{7}$. In particular, his system is useful in that it accounts for even so unusual modulation such as a scale-degree $\hat{1}$ to $\hat{7}$ transformation.

Though Rings's theoretical setting is logically valid, issues inevitably arise with any such generalized theory. It is true that scale-transformation occurs with every pivot chord employed in the process of modulation, just as Rings describes, but experienced listeners and performers perceive each kind of scale-degree transformation differently. For instance, when modulating from C to F, though scale degree $\hat{1}$ in C major becomes $\hat{5}$ in F major, one may be able to arrive at a voice-leading sketch that does not have a startling disconnection. On the other hand, some modulations, including many favored by Chopin, deform tonal space in a way that arouses an expressive gap in voice leading not present in many other modulations. For instance, it is

inherently easy to create unusual voice leadings to make $\hat{1}$ in C major become $\hat{7}$ in D \flat major. Consider Figure 1.3, which uses Rings's notation for these two transformations. It is true that from a group-theoretic perspective the two modulations are formally equal, since they are both operations of the same kind within the symmetrical group system. Yet for experienced listeners and performers, these two modulations are expressively quite different. In other words, Rings's system is formally elegant, but it does not prioritize how listeners will be sensitive to the level of disruption caused by of any particular scale-degree transformation.

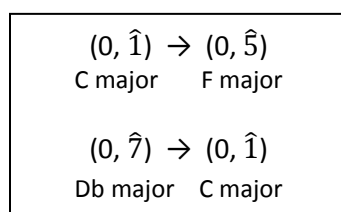


Figure 1.3. *Two modulations in Rings's notation*

In addition, when exploring a certain type of transformation, Rings does not take into account the stylistic context in which it occurs. The following two examples illustrate. The modulation in Example 1.4b, from a Beethoven piano sonata, is radically different with respect to the stylistic context, though according to Rings's system it resembles the modulation in Example 1.4a, from a Verdi opera. While both examples employ a scale-degree transformation of $\hat{5}$ to $\hat{1}$, which would be represented as moving three spaces to the right on Rings's sd/pc grid, the way the music modulates is dissimilar. In Example 1.4a, Verdi uses the pitch A \flat to facilitate the motion between the two keys, as A \flat is the common tone between the tonic triads of D \flat minor and A \flat major. That is, he does not use traditional diatonic modulatory process, but directly goes to another key by using one common tone. In the Beethoven sonata, the secondary

dominant to the V in C major, which is employed through a sequential motion, establishes the key of G major.

Nannetta
Fenton
Boc-ca ba - cia - ta non per-de ven tu- ra...
An-zi rin - no - va com - e fa - la lu

oboe
pp
+ strings
ppp

D \flat min: ♯ = = ♯ ♯ = = ?
A \flat maj: V $\hat{1}$ =

($\hat{5}$, A \flat) \longrightarrow ($\hat{1}$, A \flat)
D \flat minor A \flat major

Example 1.4a. Verdi, *Falstaff*, Act I, part 2 (Rings 2011, 60)

$\hat{5}$ 20 $\hat{1}$

$\hat{5}$ 30

($\hat{5}$, G) \longrightarrow ($\hat{1}$, G)
C major G major

Example 1.4b. Beethoven, *Piano Sonata in C Major*, Op. 2, No. 3, III, mm. 19–31

Robert Bailey (1977) avoids some of the problems of a generalized theory of semitonal modulation by framing a style-sensitive motion based on extensive analysis of one composer's music. Recognizing the role of all twelve pitches as tonics in the large-scale structure of Wagner's *Ring*, and in this stylistic context, Bailey posits a kind of "expressive tonality," in which semitone-related keys are employed to express a dramatic dichotomy against a chromatic background space,¹⁶ that is, a background in which there is not a single tonic but multiple tonics, whose pitches may be chromatically related. My work also seeks to take analysis of a specific composer's style as a basis, but, as we will see, Wagner's practice differs from Chopin's, and I do not think a background of the chromatic scale is the best avenue to characterizing the stylistic habits of Chopin.

It is true, however, that a theoretical irreconcilability of diatonic and chromatic systems lies behind the responses of many theorists to the kind of challenge posed by Example 1.2. Richard Cohn (2012) has argued for *double syntax*—a chromatic syntax and a diatonic one—suggesting two natures of the consonant triads. According to Cohn, triads serve not only as "root-indexing consonances" in diatonic space, but as "nearly even chords participating in a system of tight voice leading" in chromatic space (2012, 206). Two triads that share two common tones and one semitonal displacement are closely related. As we can see in Figure 1.4, the D \flat minor triad is related to its P relation chord, the D \flat major triad, and to its L relation chord, the A major triad. The successive chain of related triads forms a six-element hextonic cycle. Figure 1.4 shows one of the four hexatonic cycles, as proposed by Cohn, and how it corresponds to the PL relation mentioned before.

¹⁶ See Bailey 1977, 51: "The repetition or recall of a passage is transposed up to underscore intensification, or shifted down to indicate relaxation. These shifts are usually made by a semitone or a whole tone."

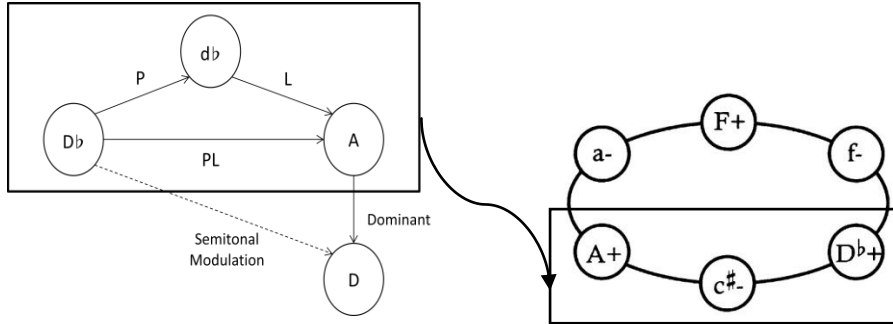


Figure 1.4. *One of the four hexatonic cycles by Cohn (2012, 18)*

Cohn’s idea of voice leading in a hexatonic cycle provides a helpful tool in the present study, as it can help to explain a chord progression between the tonic in a certain key and the dominant in the key a semitone apart. Cohn divides the juxtaposition of triads within the hexatonic cycle into three types. First, the juxtaposition of adjacent triads, which involves one semitonal displacement such as that between the D \flat major triad and the C \sharp minor triad. The second is next-adjacent triads with double displacement, which occurs in major-to-major, minor-to-minor by a third, such as between D \flat major and A major. The last is diametric triads with triple displacement, such as between D \flat major and A minor.

Cohn’s use of the hexatonic cycle to explain some chromatic chord progressions derives from his view that some kinds of enharmonic relationship are too remote to be interpreted diatonically.¹⁷ He understands that semitone relations, ultimately, are not “intrinsic to a diatonic

¹⁷ Also notable is what Cohn (2012) mentions about the effect of these progressions. He notes that, while one semitonal displacement is interpreted as a “change of diatonic degree, rather than as a chromatic inflection of an invariant degree” (22), the second and third types often offer “sublime, supernatural, or exotic phenomena” in music of the nineteenth century (21). This suggests that Chopin’s use of semitonal relationships may be linked to the issue of musical topics in the nineteenth century.

system” (2012, 206), whereas I understand them in the context of diatonic space by emphasizing the leading-tone relationship in the diatonic scale. In this sense, even though Cohn’s theory is effective in providing criteria for locating “enharmonic seams,” I depart from it, in the final analysis, in not adopting his fully chromatic theory.

Daniel Harrison also emphasizes that enharmonicism, contrary to atonality, is a rich resource for the interpretation of the tonal system governing large-scale key relations of the work. In a 2002 article, for instance, Harrison comments extensively on the meaning of enharmonicism in late nineteenth-century music by scrutinizing the benefits of what he calls nonconformist and conformist perspectives. He proposes different types of functional readings which convey the tonal meaning of a key. Figure 1.5 shows one of these analytical representations which carry “the overall E-ness of the passage” through “enharmonic reconciliation” in spite of the equal octave division of the bass; it demonstrates how listeners perceive the passage by replacing the descending major-third cycle departing from the initial E with the cycle arriving at the last E (2002, 121–2).



Figure 1.5. *One of the analytical interpretations of the octave trisection (Harrison 2002, 122)*

I agree that frequent enharmonic transformations in nineteenth-century music require listeners to reinterpret the same acoustic phenomenon in different ways, based on the tonal context such as the situation in the leading-tone/tonic transformation. Although Harrison

recognizes the problem of oversimplification in reducing enharmonicism to the pitch-class numbers of chromatic space (127), he also argues that this potential for multiple interpretations prevents a diatonic tonal reduction. Instead, Harrison devises his own analytical method that does not rely on the difference of the chords in structural importance. His analytical diagram focuses more on the change of the harmony; that is, where the chords move to as the music unfolds, rather than which chords frame the harmonic background of the piece.

While it is certainly true that the potential for interpreting a chord's function in multiple ways will sometimes tend to work against a single-key perspective, as when the D-major chord in Example 1.2 can be interpreted as either the tonic of D major or the Neapolitan of D \flat major, I will not assume that all such functional ambiguities require the abandonment of a diatonic perspective, advocated by Cohn:

The solution comes easily once we relinquish the diatonic gauge for a chromatic one. C \sharp and D \flat become notational variants of a single object. . . . Equivalence of root distance then follows automatically: the unified C \sharp /D \flat object is heard as equally distant from the F that precedes it and the A that follows. (Cohn 2012, 197)

We can see how Chopin's music could be considered a candidate for Cohn's idea of dual syntax, in that enharmonic relations often go along with the kinds of semitonal relationship I am investigating. Yet is it impossible to accommodate such enharmonic relationships in a diatonic reading? Many early nineteenth-century works—including, I will argue, those by Chopin—lie within the boundary of a diatonic framework.

Some theorists, including Cohn, might argue that enharmonic equivalence is a core element that causes a shift from diatonic space to chromatic space. We should note, however, that even though Chopin's chromatic techniques, which seem non-diatonic on the foreground, often involve enharmonicism, enharmonic interplay is not an inevitable element in semitonal

relationships. For instance, in the case of B \flat -Minor Nocturne, Op. 9, No. 1, discussed earlier, had Chopin notated the D \flat -major passage in C \sharp major, in spite of the inconvenience of notation, C \sharp , the tonic of C \sharp major, would remain just C \sharp , the leading tone in D major, without any enharmonic change. Nonetheless, the scale-degree transformation between $\hat{1}$ and $\hat{7}$ still occurs, and it leads to a semitonal shift.

In other words, even though a focus on enharmonicism would be worthwhile, I am questioning how useful it is, for the analysis of Chopin, to concentrate on enharmonicism. As seen in Example 1.2, the distinctive progression Chopin creates in the Nocturne does not result from the nature of the enharmonicism; rather, I think the idea of scale-degree transformation and voice-leading could be an alternative, another kind of emphasis. In this context, enharmonicism might be regarded as an additional phenomenon, rather than requisite for semitonal shift.

In this respect, I believe that a Schenkerian approach can be a useful tool for demonstrating the chromatic anomalies even though such anomalies resist Schenkerian analysis. Such irregularities in a Schenkerian graph themselves tell the analyst much about the techniques a composer employs. In this dissertation, I will not always employ thorough graphs at multiple levels, but will often draw upon Schenkerian sketches to illustrate how a passage causes disorientation for the listener, and how such a disorientation may be integrated into a diatonic hearing.

Among the scholars working in a Schenkerian tradition, Carl Schachter and Felix Salzer are representative figures. Schachter in particular deals with harmonic and voice-leading structure in many Chopin works, including the Fantasy, Op. 49 (1988), E-minor Prelude, Op. 28, No. 4 (1994a; 1995), F \sharp -Major Impromptu, Op. 36 (1999), and C \sharp -minor Mazurka, Op. 50, No. 3 (2000). In addition to these analytical studies, Schachter's article "Analysis by Key: Another

Look at Modulation” (1987) demonstrates how unrelated keys or key successions can be addressed from a Schenkerian perspective. Here Schachter pays careful attention to the specific voice-leading techniques that allow key changes to be integrated within a unifying monotonal structure. For instance, in Figure 1.6, an analysis of the aria “Voi che sapete” from Mozart’s *Marriage of Figaro*, Schachter sees the fully tonicized $A\flat$ major and the extended cadential motion in G minor as an “unfolding or horizontalization of the contrapuntal progression 5-6-5” within the $B\flat$ diatony (1987, 311). At m. 21, the music reaches V of $B\flat$ major, and the next part of the aria is based on the fourth-progression from F to $B\flat$. Prolonging the V, the bass shows a motion F- $A\flat$ -C, with $A\flat$ major as part of an arpeggiation within this dominant prolongation.

Figure 1.6. *Middleground sketches of Mozart’s Le Nozze di Figaro, Act II, “Voi che sapete” (Schachter 1987, 313)*

In addition, Schachter explores the specific voice-leading techniques as more general “elements of style” of the composer (298), which corresponds well with my own interest in the leading-tone modulation technique as a stylistic feature of Chopin.

Like Schachter, Felix Salzer examines the issue of tonality based on strong belief in the effectiveness of Schenkerian analysis. For instance, in a 1973 article, Salzer examines the issue of tonality in Chopin's Etude in F Major, Op. 25, No. 3, probing the function and meaning of the tritone-related B-major section within the tonal structure of the entire work, a question that interested Salzer in part because the key of B major is seemingly incongruent with the Etude's overall key of F major (Figure 1.7). Salzer suggests analyzing the middle section as a prolongation of the V of F major, as a part of a descending octave of whole-tone progressions. In this reading, the F# chord, which acts as V of the remote B major, is a passing chord within that octave. On this view, the B-major section is "a false recapitulation subordinate to the whole-tone progression which itself functions as the prolongation of a structural dominant" (287).¹⁸

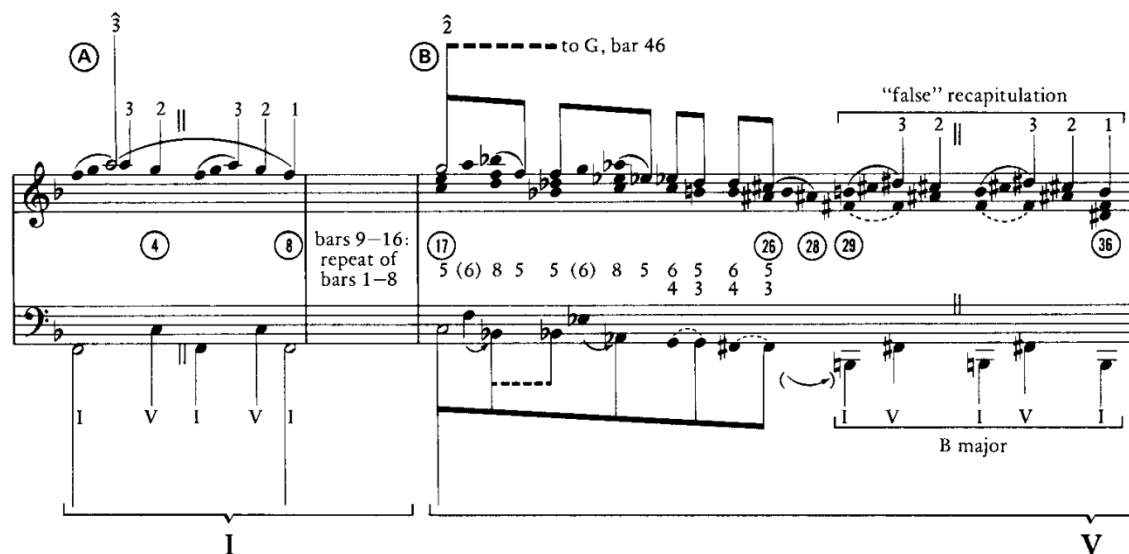


Figure 1.7. Part of middleground graph for Chopin's Etude in F Major, Op. 25, No. 3 (Salzer 1973, 286)

¹⁸ On the other hand, Matthew Brown et al. (1997) interpret B major as a part of a minor cycle (F-A \flat -B-D \rightarrow C), proceeding from the tonic to the dominant in F major. What the two interpretations have in common is that they preserve the diatonic frame despite the existence of tonal problems.

In other words, Salzer discusses the boundary of the tonal system by casting a question as to whether $\sharp IV$ can be reached directly I or not. I am applying Salzer's method but to a different case, also addressing the musical factors that cause tonal disorientation, but looking instead into situations where the music leads into the key a semitone above or below.

Further examples in which a Schenkerian approach is used to detect tonally abnormal features can be found in the work of Deborah Stein. Stein (1985) analyzes Hugo Wolf's extended tonal language in the *Lieder*, employing Schenker's system, to demonstrate how harmonic or tonal ambiguity that Wolf creates through textural extremes, chromatic third relations, double tonality, and so on, plays an important role in the formal design of a song. Stein uses Schenkerian analysis "as a gauge for tonal innovation" (1985, 4). That is, she locates tonal anomalies through sketching, paying special attention to where the music resists the sketching process.

For example, Figure 1.8 is Stein's middleground sketch for "Und steht Ihr früh am Morgen." This sketch shows how Stein deals with voice-leading anomalies such as the repetition of a $I-III\sharp-bVI$ progression without resolution of bVI to V within the large-scale $I-V-I$ progression of the key. For stylistic and historical reasons, I am interested in continuing this line of inquiry—particularly the idea that diatonic readings are often appropriate—in this study of remote modulation in Chopin.



Figure 1.8. Sketch of Wolf's "Und steht Ihr früh" (Stein 1985, 103)

A final study within the Schenkerian tradition deserves mention here, the dissertation of Harald Krebs (1980), which was mentioned earlier in this chapter. Working in a Schenkerian tradition, Krebs examines the third relation in a wide range of nineteenth-century works, including a large number by Chopin. I agree with Krebs's premise which fundamentally adheres to a monotonal view. As theoretical grounding, he suggests monotonal perspectives of C.P.E. Bach, Kirnberger, A. B. Marx, Louis and Thuille, and up to Schoenberg and Schenker (1980, 4–6). In particular, he makes clear that he develops his argument on the grounds of the large-scale, diatonic framework espoused by Schenker:

Schenker's large-scale view of tonality forms the basis of this study. When I use the term 'modulation,' I mean not the establishment of a new key, but the establishment of a new scale step of the one true tonic. Where many analysts would refer to a modulation to A major (within a piece in C), I refer to a modulation to, or an establishment of, VI#.
(1980, 7)

To support his argument, Krebs lends special importance to the dominant triad. For him, clarity of tonality means that progressions rest on the I–V axis: “Clearly, then, it is a significant issue whether or not triads and particularly chromatic triads, are used in connection with the dominant within large scale progression” (15). When considering the semitone-related keys \flat II and VII, Krebs regards \flat II as functioning as the predominant, and VII as dominant-function harmony. As a result, these harmonies, although they are chromatic, participate in an overarching diatonic framework. I would like to take a stand similar to that of Krebs, concentrating not on third relations as Krebs did, but on semitonal relations.

At the same time, another stream of scholarship, other than the Schenkerian literature, helps ground my perspective: the literature on the temporal, phenomenological aspect of modulation. As David Lewin claims in his 1986 article, “Music Theory, Phenomenology, and

Modes of Perception,” listeners perceive tonal events progressively across time. I think it is valuable to consider the recursive and successive process of musical perception in any analysis as Lewin does. Lewin suggests that a given musical event is interpreted “in its own context” first, but that this interpretation continuously changes. Indeed, the interpretation of a given musical event continuously changes “in the context of” the following events (1986, 347). Figure 1.9 shows a process of reinterpretation for the beginning of the middle section in Chopin’s B♭-Minor Nocturne (mm. 23–26).

Referring back to the score in Example 1.2, we can see how this process works in detail. From m. 19, the middle section starts with a typical parallel period. The characteristic of the first phrase is clear: for the first four measures, the melody in the right hand starts and ends on $\hat{3}$, while arpeggiation in the left hand prolongs the tonic harmony. The pedal point D♭ in the left hand clearly shows the D♭-major tonality, the relative major from the home key, B♭ minor.

	EV1 (23/1)	EV2 (23/2)	EV3 (24/1)	EV4 (24/2)	EV5 (25/1)	EV6 (25/2)	EV7 (26/1)	EV8 (26/2)
Interpretation 1	I of D♭ major	a passing chord?	a major triad on D					
Interpretation 2		V-I in D major	IV of D major	I confirmed	Dim. 7th chord on G: vii°4/3	#IV?	I of D♭ major	
Interpretation 3		V/♭II of D♭ major	♭II of D♭ major	IV/♭II of D♭ major	♭II of D♭ major	← vii°7/IV-V in D♭ major!		
Interpretation 4			♭II prolongation			V		I
Interpretation 5			Cadential motion in D♭ major					
								EV=event, 23/1=measure 23, beat 1

Figure 1.9. *Process of retrospective hearing: Chopin, Op. 9, No. 1, mm. 23–26*

Continuing now with Figure 1.9, we see that the consequent starts in the same way (Event 1) but soon takes a different direction. When listeners hear the chord on the second beat in m. 23 (Event 2), a certain kind of disorientation is aroused. Still, at this point, it is not clear whether the chord is the V6 in D major or a chromatic passing chord in D♭ major, since listeners have just experienced the same chromatic notes in the previous phrase: the chromatic passing

tones in the antecedent, $F\flat$ and $A\flat$, now change to $E\sharp$ and $G\sharp$, and listeners might wonder if this is merely the same type of chromatic elaboration as heard before in the phrase. In fact, every other note in the left hand is enharmonically the same as earlier, except for one: $A\flat$ changes to $A\sharp$, which, incidentally, is the first chromatic note of the passage.

However, once the following D-major chord in m. 24 is heard (Event 3), matters become clear. The music moves to D major, and the previous chord is retrospectively recognized as the dominant chord in D major (Interpretation 2). That is, $D\flat$, the tonic of $D\flat$ major, is respelled enharmonically in order that $C\sharp$ serves as a leading tone to D major.

Then, the following diatonic scale confirms the modulation to D major. The V of D major proceeds to I and then IV (Event 4). But reinterpretation does not stop here. Afterwards, the music seems to confirm I in D major (Event 5), but Chopin changes B in the top voice into $B\flat$, with support of a diminished seventh chord in the left hand at m. 26 (Event 6). When hearing the following V–I progression (Event 7 and 8), this diminished seventh chord $G-B\flat-C\sharp-E$ is interpreted as VII of V in $D\flat$ major retrospectively, and listeners realize that the music has come back to $D\flat$ major (Interpretation 3). Then, finally, it becomes clear that the D-major section is a brief tonicization of \flat II in $D\flat$ major (Interpretation 4), as a part of an extended cadential motion (Interpretation 5). As this analysis suggests, the temporal hearing of the passage is a highly sophisticated process; the continuation of a seemingly remote passage motivates listeners to interpret the tonal function of the passage in relation to what happens later.

The recent book by Janet Schmalfeldt, *In the Process of Becoming*, argues for a similar emphasis on temporal process in analysis. In the book's introduction, Schmalfeldt clarifies that her topic concerns "the special case whereby the formal function initially suggested by a musical

idea, phrase, or section invites retrospective reinterpretation within the larger formal context” (2011, 9). She explains the main notion of the book in a discussion of an example:

For such cases, the term “becomes” seemed right to me, and the double-lined right arrow (\Rightarrow), borrowed from symbolic logic, provided a means of representation. If one were thus to perceive that, say, the opening passage of a movement *initially projects the characteristics of an introduction but retroactively functions as a main theme*, one could represent that analytic perception as “Introduction \Rightarrow MT.” (2011, 9, italics mine)

As mentioned by Schmalfeldt, the basic idea of the book is in keeping with Lewin’s retrospective process of hearing, although she mainly investigates the formal aspect of music. I think this process of “retrospective formal reinterpretation” can be applied to analyzing harmonic syntax as well. If we adopt Schmalfeldt’s notation, the previous Chopin passage would be represented as “modulation to D major \Rightarrow \flat II in $D\flat$ major.” Schmalfeldt’s book also includes an insightful chapter about Chopin’s ascending third progression (I–III–V); she provides an overview of this “signature progression” by Chopin, and analyzes the Cello Sonata, Op. 65, with the aid of “processual formal reinterpretation” (195–226).

The author who most fully explores how semitonal shifts challenge our hearing, in this reinterpretive way, is Patrick McCreless. He considers that a remote modulation, although it might be interpreted within a large-scale, diatonic framework, arouses temporary tonal disorientation for listeners. His illustration is the chromatic sequence in the fourth movement of Schubert Symphony, No. 4:

Here a chromaticized simple voice-leading pattern brings a flurry of evanescent tonicization of $C\flat$, C, $D\flat$, D, and $E\flat$. To be sure, the succession of tonicizations is effected by the conventional voice-leading paradigm $\hat{5}-\hat{6}-\hat{5}-\hat{6}-\hat{5}$. The listener’s perception of a sequence of keys is no less real, however. (1996, 91)

I am very much in sympathy with viewing semitonal relationships as disruptive, much as McCreless shows in his analyses. Indeed, I see this as strengthening my view that leading-tone modulation is a special kind of tonal move, not readily understood in terms of a generalized theory, such as Rings's, that makes modulations formally equal to one another.

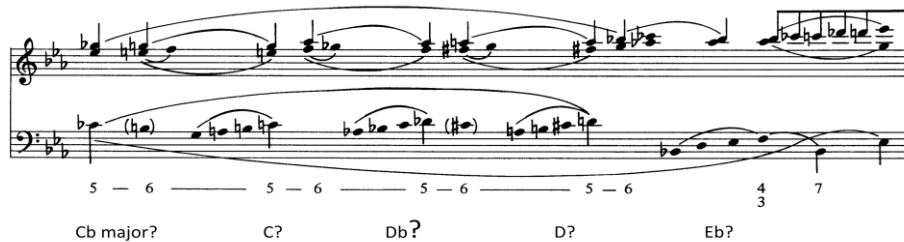


Figure 1.10. *Sketch of a chromatic sequence in Schubert, Symphony No. 4 in C Major, IV, mm. 139–66 (McCreless 1996, 93)*

McCreless's conclusions tip towards the dual syntax view that necessitates a chromatic background, however. He explores repertory such as Beethoven, Schubert, Wagner, and Shostakovich that uses the semitone relationships as a way to trace “the evolution of tonal practice” through the nineteenth century into the twentieth century (1996, 87). McCreless's article has interesting observations about when chromatic events create semitonal relationships that later are integrated into tonal voice leading, but, eventually, he posits intriguing questions about two kinds of tonal systems in the nineteenth century that may be distinguished from each other: 1) a classic diatonic system; 2) a nineteenth-century chromatic system. He clearly distinguishes “a brief tonicization in a fundamentally diatonic context” from “chromatic sequences or instances of the transposition operation” (95),¹⁹ and focuses more on the role of a

¹⁹ See also McCreless 1996, 101: “Yet I cannot help but feel that such [chromatic] sequences are different from earlier chromatic tonicization: they are ungrounded in the diatonic space that surrounds them, and they call out to be heard in different terms, even though we can explain them in traditional terms if we like.”

chromatic sequence in pushing beyond hearing in diatonic space (99–103). In other words, he accepts that semitonal relations can be a path to chromatic space in extreme cases.

I cannot deny that there is a mainstream of musical practice that can be described according to the relative proportions of techniques in a given idiom; the evolutionary view advanced by McCreless in his 1996 essay is indeed quite persuasive for explaining a change of mainstream. Still, as I mentioned at the outset, diverse music coexists throughout the nineteenth century, and I believe the expressive force of unusual semitonal relations stems from a rootedness in a diatonic background, at least in Chopin's music. I approach Chopin's chromatic anomalies, including semitonal relationships, in terms of the style of an individual composer, who, perhaps, may have been struggling with, or fostering this gradual change of the mainstream.

1.5. Summary

As has been discussed, semitonal relationships involve unique features that warrant study as a separate area of research, in that this particular case engages multiple issues of tonal hearing and analysis. In particular, the disruption in a listener's tonal orientation that these semitonal relations arouse may be the root cause of why many theorists have taken notice of this particular type of chromatic anomaly.

Rings recognizes that the chromatic system and diatonic system are not easily related to one another. For that reason, his theory puts the pitch-class in one cell, and the scale-degree in another. In this way, he relates a 12-pitch system to a 7-pitch system. Others have chosen to see music with unusual modulations as having overturned the 7-pitch system for the 12-pitch system.

In different ways, Bailey, Cohn, and Harrison have argued against diatonic monotony when interpreting tonally challenging music. Bailey notices the expressive effect of semitonal modulation in Wagner and recognizes the role of all twelve pitches as tonics in the large-scale structure of the *Ring*; Cohn's idea of voice leadings in hexatonic cycles offers a tool to explain extreme chord progressions; and Harrison devotes much attention to interpretive richness in enharmonicism.

While acknowledging the importance of each of these contributions to the study of chromaticism, I believe that placing less emphasis on the notion of enharmonicism may result in a fruitful approach. I suggest we interrogate the idea of enharmonicism in such a way that may reduce it, in certain musical contexts, to the status of an additional phenomenon. As a result of this perspective, I claim instead that semitonal relationships can be interpreted within a diatonic framework in the Chopin repertory, as can be argued for many other early nineteenth-century works. Particularly, in the case of Chopin's repertory as a whole, I feel there are historical and musical reasons to push as far as we can the hypothesis that semitonal shifts can be retrospectively interpreted within a diatonic space. In cases where that is nearly impossible the effort can still help us identify what interested Chopin when it came to pushing the limits of tonality.

To these ends, a Schenkerian approach is still helpful for demonstrating the chromatic anomalies which show the analyst much about the techniques a composer employs. With Schachter, Salzer, and Krebs, I share the belief that the tool of voice-leading sketching can be a useful way to characterize the varied and innovative ways in which semitonal relations open the door to novel compositional strategies in Chopin.

Many of the analyses in this dissertation will also pursue a view of retrospective hearing along the lines of the studies by Lewin and Schmalfeldt mentioned earlier in this chapter. In particular, my work is very much in keeping with McCreless's argument in that I will argue that semitonal relations are a key element in tonal disorientation which invites a reinterpretation process. Still, whereas McCreless sees different types of semitonal relations through evolutionary and historical perspective and ends up with chromatic space for extreme cases, I prefer to see them as a compositional potential within a stylistic, not evolutionary, context. For Chopin, the inherent unusualness of semitonal relations was an opening to creative innovation.

To disclose this nature of Chopin examples, I use a methodology which can show both the listener's tonal disorientation and the retrospective reinterpretation. First of all, recognizing the tonal uncertainty by semitonal relation is crucial, since, in my hypothesis, the composer intentionally uses this technique as a creative compositional method to achieve tonal ambiguity. However, this is more a "momentary" disorientation since the music usually returns back to the original key and the unusual event can be interpreted as a tonicization of a certain scale degree. In this retrospective process, as we will see, it is not only the harmonic features that affect the analyst's interpretation; the musical design may do so as well.

Though recent scholars have developed new theories concerning remote modulation, enharmonicism, and the chromatic scale as a framework, I believe these theories of tonal relationships can be extended and enriched by a close consideration of a composer's individual style (the interopus level) and the particular analytical contexts within which semitonal relationships arise (the intraopus level). In the next chapter, I will examine several types of semitonal relationships and their roles in Chopin works as well as the special problems semitonal relationships raise for music analysts.

Chapter 2

Semitone-Related Keys I: Leading-Tone Modulation

2.1. Definition and General Usage of the Leading-Tone Modulation

In this chapter, I will deal with semitonal relationships as a modulation technique. Chopin often employs direct semitonal modulations through transformation of scale-degree function, and among various types of semitonal modulations, I will focus on the transformation between $\hat{1}$ and $\hat{7}$, which I described in Chapter 1 as a leading-tone modulation. First of all, I will define the leading-tone modulation in this section, look into its special features by comparing it to other types of semitonal modulation and third relations, and examine the different kinds of leading-tone modulation.

As mentioned before, leading-tone modulation is one of the semitonal strategies that we frequently encounter in the music of Chopin, and it occurs when the tonic in one key changes into the leading tone of the new key, resulting in a modulation to a key whose tonic is a semitone above the tonic of the original key. In the previous chapter, I introduced an excerpt from Chopin's Nocturne in B \flat Minor, Op. 9, No. 1 (Example 1.2) to illustrate the leading-tone modulation. Recall that the second phrase of the excerpt (mm. 23–26) modulates briefly to D major, as the tonic B \flat changes to C \sharp to serve as the leading tone of D major.

The specifics of this leading-tone modulation should be examined closely. The leading-tone modulation incorporates two stages, as seen below in Figure 2.1: 1) scale-degree transformation from $\hat{1}$ to $\hat{7}$ —that is, the tonic in $D\flat$ major, the original key, is enharmonically renotated to $C\sharp$, and each of two other voices, F and $A\flat$, moves a semitone to $E\sharp$ and $A\sharp$; 2) traditional semitonal motion from $\hat{7}$ to $\hat{1}$. Here the leading-tone resolves up to $\hat{1}$ in the new key, D major.

$D\flat: \hat{1} = D: \hat{7} \longrightarrow \hat{1}$

Figure 2.1. *Leading-tone modulation in Chopin, Op. 9, No. 1, mm. 23–26*

This procedure looks simple at first glance. However, on closer inspection, we notice that Chopin creates a mixture of drastically different progressions. In fact, the first stage, which Neo-Riemann theorists have called the PL relation, is a famous, so-called Wagnerian chord progression, a kind of chromatic progression that has interested many scholars. Cohn (2012), for example, discusses the relation between triads with two semitonal displacements and connects the progression from B major to G major in the Schubert song “Nacht und Träume,” for the expression of a “nocturnal fixation on evanescent dreams,” to Wagner’s use of the progression from $G\sharp$ minor to E minor, for “wearer invisible” *Tarnhelm* (21).¹

¹ On the other hand, the PLP sequence produces the chords residing at the hexatonic poles—basically, a major triad down a major third to a minor triad. Cohn associates this diametric progression in the hexatonic pole with the Freudian uncanny. He provides a progression of examples from nineteenth- and twentieth-century music to depict the uncanny and explain the properties of the progression. The following quotation captures what he takes to be a feature of

Yet the following stage is also worth noting, even though it is a very common, traditional progression by descending fifth. The new chord, A major, functions as the dominant of the new key. As a result, it leads to the modulation to the key a semitone above the original key. That is, Chopin not only uses the chromatic third relations but also adds a conventional V-I progression to it.

Figure 2.2 also shows leading-tone modulation compared to P, L, PL relations in Neo-Riemann theory. As will be shown later, the first stage is a progression within a hexatonic cycle. In the next stage, however, a diatonic fifth progression is added, resulting in semitonal modulation. Thus, leading-tone modulation shows an interesting intersection of the hexatonic and diatonic progressions.

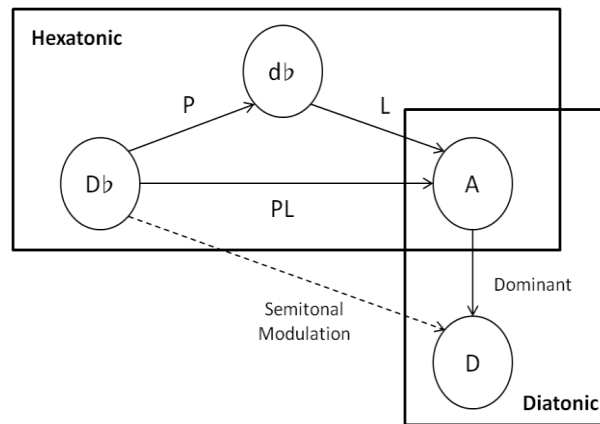


Figure 2.2. *Leading-tone modulation vs. P, L, and PL relations*

the progression: “The constituents of hexatonic poles both are and are not triads; they both are and are not consonant. In terms of music-theoretic writings of Freud’s contemporaries, their status as entities is both real and imaginary, both alive and dead” (2004, 303). Thus, Cohn emphasizes the juxtaposition of the two chords which do not blend together in one diatonic system (see Cohn 2004 for more details and examples). This discussion is noteworthy for its contrast with Chopin’s leading-tone modulations that attenuate the tension between two remote chords by adding the fifth relation that I explain as a next stage.

As the term suggests, “leading-tone modulation” places particular emphasis on the transformation between $\hat{1}$ and $\hat{7}$. The difference from other semitonal modulations can be made clearer by comparing this procedure to Beethoven’s use of the \flat II in the first movement of the Sonata in F Minor, Op. 57 (the “Appassionata”). In this famous beginning, after the F-minor key is established through I-V motion, the music moves directly to $G\flat$ major. Here Beethoven makes a strong articulation between F minor and $G\flat$ major in the different phrases. Due to the sequential motion and the rest before the $G\flat$ -major harmony, the passage sounds as if suddenly entering a different world. Despite the expressive boldness of the passage, this progression does not involve enharmonic changes or a scale-degree transformation of the tonic. Thus, though it is indeed a semitonal modulation, it is not a leading-tone modulation.²

Example 2.1. Beethoven, *Piano Sonata in F Minor, Op. 57, I, beginning section*

² Experienced listeners may soon realize that this $G\flat$ -major phrase can be interpreted as \flat II as the music continues. In order to return to the original key, Beethoven uses the pivot chord, $D\flat$ -major triad, between F minor and $G\flat$ major; $D\flat$, scale degree $\hat{5}$ in $G\flat$ major, becomes to $\hat{6}$ in F minor. I will discuss Chopin’s use of this type of scale-degree transformation between $\hat{6}$ and $\hat{5}$ in the next chapter.

Here it may also be useful to compare leading-tone modulation to other types of modulations that Chopin often uses. An excerpt from Chopin's Nocturne in D \flat Major, Op. 27, No. 2 provides another useful comparison. The passage in Example 2.2 is in the process of re-establishing the home key, D \flat major, after the music has moved to the first episode in B \flat minor and then E \flat minor. The D \flat -major return is quite clear when an A \flat -major triad, the dominant of D \flat major, appears at m. 18, but the bass continuously oscillates between A \flat and B $\flat\flat$.

The musical score shows measures 17 through 27. Measure 17 begins with a piano accompaniment in D \flat major. The bass line features a sequence of chords: A \flat (m. 17), B $\flat\flat$ (m. 18), A \flat (m. 19), B $\flat\flat$ (m. 20), A \flat (m. 21), B $\flat\flat$ (m. 22), A \flat (m. 23), B $\flat\flat$ (m. 24), and A \flat (m. 25). The treble line contains melodic phrases with various ornaments and dynamics. The score includes performance markings such as *cresc.*, *f*, *p*, *pp*, *con forza*, *sempre legatiss.*, and *ritenuto*. The tempo is marked *a tempo* at the end of the excerpt.

Example 2.2. Chopin, Nocturne in D \flat Major, Op. 27, No. 2, mm. 17–27

The following measures draw our attention, since they may give listeners an impression that the $\flat VI$ becomes a key area briefly. In mm. 21–24, the bass descends chromatically from $D\flat$ and reaches A at m. 24, and, as a result, it seems that the music briefly digresses into the key a major third apart. Chopin also notates the chord in m. 24 as an A-major triad. The music from the second beat of m. 22 may be heard as a $V7/V - V4/3 - I$ progression in A major, through an enharmonic reinterpretation the $C\flat$ at m. 23 as $B\sharp$. However, on the second beat of m. 24, the $A\sharp$ changes back to $B\flat$, and the dominant seventh chord on $A\flat$ in the following measure confirms that the music is still within the $D\flat$ -major key. Consequently, this momentary excursion to A major would be reinterpreted as $\flat VI$ which prolongs the V of $D\flat$ major. Here \hat{I} in A major becomes $\flat\hat{6}$ in $D\flat$ major, which resolves to $\hat{5}$. That is, this passage features a transformation between $\flat\hat{6}$ in $D\flat$ major and \hat{I} in A major by exploring the third-related keys, a situation different from the transformation between $\hat{7}$ and \hat{I} in the leading-tone modulation.

This third relationship is analytically central in this Nocturne; in fact, A major is later explored more fully in the second episode that begins at m. 34, and from what follows in that second episode, we can see even more clearly the difference between the semitonal modulation in the $B\flat$ -Minor Nocturne and a third relation in the $D\flat$ -Major Nocturne. Whereas the A-major triad becomes dominant of D major in the $B\flat$ -Minor Nocturne example (Figure 2.3a), Figure 2.3b shows that the A-major triad in the $D\flat$ -Major Nocturne becomes VI, revealing the main key of the episode to be $C\sharp$ minor. The same PL progression as in $B\flat$ -Minor Nocturne example leads a $D\flat$ -major triad to an A-major triad, which is immediately tonicized; but the bass leaps not to D, which would establish the next step in a semitonal modulation, but rather to $D\sharp$ at m. 37, which keeps the progression within a $D\flat$ context (spelled $C\sharp$ minor).

D \flat : I D : V6 (I)

Figure 2.3a. *Progression in the B \flat -Minor Nocturne, Op. 9, No. 1*

D \flat : I A : I6
(C \sharp m : VI6 V6)

Figure 2.3b. *Progression in the D \flat -Major Nocturne, Op. 27, No. 2*

In this Nocturne, Chopin carefully deploys A \natural at different levels. As we saw in Example 2.2, A \natural is briefly tonicized in the transition back to the opening theme; and later, A major finally becomes a key in the beginning of the second episode. In fact, the chromatic tone B \flat /A \natural plays a vital role from the outset in the Nocturne. At m. 5, A \natural in the melody draws attention by falling on the downbeat and by its long duration. That is, although it is chromatic enough to make a strong impression, in moving up to B \flat , it proves to be an embellishing note within the D \flat -major framework. Also in the left-hand part in mm. 7–8, through the enharmonic change from A \natural to B \flat , Chopin creates a chromaticized voice exchange, which begins to develop the semitones A \natural -B \flat and B \flat -A \flat . A similar voice exchange is employed later from m. 41. In this transition back to opening theme, the voice exchange occurs between the bass in the left-hand part and the lower voice in the right-hand part, which prompts the chromatic progression leading to the V of the home key. This comparison shows that, despite different handlings, the motivic idea involving the chromatic note B \flat /A \natural is common to both transitions.

The figure consists of three systems of musical notation, each showing a piano accompaniment with treble and bass staves. The first system (measures 1-9) shows a progression from $Db: I$ to $V(7) I$. The second system (measures 18-26) shows a progression from $Db: V_7 -$ to $- I$. The third system (measures 36-46) shows a progression from bVI to V_7-7 to I . The notation includes various chord symbols, accidentals, and melodic lines with slurs and ties.

Figure 2.4. Chopin, *Nocturne in D \flat major, Op. 27, No. 2*: Development of the semitonal motions, $A\sharp-B\flat$ and $B\flat-A\flat$

Among modulation techniques, common-tone modulation to a third-related key is very common in Chopin's music. A retransition from the Waltz in E \flat major, Op. 18, demonstrates the third progression in the simplest form (Example 2.3). This passage shows a modulation from G \flat

major to the home key. Here the common tone $B\flat$ ($\hat{3}$) is sustained while the other two voices move to a note a semitone apart in order to proceed to $B\flat$ major harmony (see Figure 2.5a). Then, through the fifth progression, the chord ultimately changes at the reprise into an $E\flat$ -major triad, the major triad a minor third below the $G\flat$ of the previous section.

Example 2.3. Chopin, *Waltz in E \flat Major, Op. 18, retransition*

Different as this progression may seem from a leading-tone modulation, a similar type of progression generates both, yielding a very different result through only a minor alteration.

Contrary to the sustained $\hat{3}$ in the case of the Chopin Waltz above, in a leading-tone modulation the root of the chord, $\hat{1}$, is sustained, accompanied by enharmonic reinterpretation. Figure 2.5b shows that, in spite of the process analogous to the former, this time the music changes to a key a major third below. And through the subsequent fifth progression, the leading-tone modulation, a modulation up by minor second, is completed.

M3↑ M3↑ + P5 = m3↓

Gb : I Bb : I Gb : I Eb : V I

Figure 2.5a. *Modulation in third relations*

M3↓ M3↓ + P5 = m2↑

Gb : I D : I Gb : I G : V I

Figure 2.5b. *Leading-tone modulation*

The next figure shows a more general comparison between third relations and semitonal relations. Whereas a chromatic third often moves eventually to V in the home key, as in the Chopin Waltz, composers later in the nineteenth century, such as Wagner, use these third relations independent of the V.³ Leading-tone modulation, by contrast, serves to use the chord related by chromatic third as a kind of pivot chord, the V of the new key.

chromatic third

C : I bVI6 V6 C : I Ab : I6

C : I VI6 → I
Db : V6

Figure 2.6. *Third relations vs. semitonal relations*

³ See my discussion of Krebs's dissertation (1980) in the previous chapter.

Before moving to more extended analyses, we should observe that several types of leading-tone modulation are possible. Figure 2.7 illustrates the four types of leading-tone modulation according to different combinations of the modes. The first type, major to major, draws perhaps the most attention for being the most unusual in effect, but it is the most common type of semitonal modulation in Chopin's music. Example 1.2 from the B \flat -Minor Nocturne falls into this category. The second category is major to minor. In spite of an example such as D \flat major to D minor in the Prelude Op. 28, No. 24 in mm. 43ff., it is relatively rare in Chopin. The third type is minor to major, as will be demonstrated in B-Minor Prelude excerpt in the next section. The last type is minor to minor.

These four types of leading-tone modulation have their own individual characteristics, as the impressions of tonal distance they arouse vary. As for the first stage, from the first chord to the second, it can be easily inferred that the last two categories of leading-tone modulation do not entail much tonal disorientation as they just involve one semitonal motion, compared to two semitonal displacements in the first two categories. In addition, due to the greater number of common tones, the middle chord in the last two categories takes a role of pivot chord; except for transformation between $\hat{1}-\hat{7}, \hat{3}$ in the original key becomes $\hat{2}$ in the new key, and $\hat{6}$ becomes $\hat{5}$. That is, it becomes a diatonic modulation using a pivot chord. As for the second stage, a modulation to the minor Neapolitan seems to entail more tonal distance, since the resulting triad (the minor triad on \flat II) includes more notes foreign to the original key. Therefore, different combinations of the two stages result in diverse uses and effects. These will be reflected in Chopin's music.



Figure 2.7. *Four types of leading-tone modulation*

As discussed so far, the leading-tone modulation, such as the one in Chopin’s Nocturne in B♭ Minor, sets itself apart from other kinds of modulations, by changing the tonic into the leading tone in order not only to change the tonal center into a key that is a semitone apart but also to connect two keys very smoothly in the middle of a phrase. Through scale-degree function between $\hat{1}$ and $\hat{7}$, a leading-tone modulation leads listeners to the remote area from the home key and temporary tonal disruption. In the following section I will return to this example to consider it in greater detail while analyzing several cases of leading-tone modulation in Chopin’s works.

2.2. Analyses

I now turn to a consideration of several Chopin pieces to demonstrate leading-tone modulations as well as to suggest some of the challenges that such modulations pose for analysis. The works I will examine in this section are the Prelude in B Minor, Op. 28, No. 6, Nocturne in B♭ Minor, Op. 9, No. 1, and Nocturne in C# Minor, Op. 27, No.1, along with several shorter excerpts from the Mazurkas.

The Prelude in B Minor, Op. 28, No. 6

This Prelude is a good first example for discussion of the leading-tone modulation. It is a short piece—only 26 measures—but its tonal structure displays numerous interesting features. This Prelude is one large parallel period, consisting of two phrases. In the second, expanded phrase, the dominant seventh chord on G proceeds to C-major harmony, which temporarily creates the sense of C-major tonality.

9 C major?

14 No!

sostenuto

Example 2.4. Chopin, *Prelude in B Minor, Op. 28, No. 6*, mm. 9–17

Here, the transition into the new key is smoother than that of the B \flat -Minor Nocturne discussed in Example 1.2, since it involves chromatic alteration of only one semitone in the first stage. It is a modulation from a minor key to a major key a semitone above, and consequently $\hat{3}$ from the original key does not need to be altered; only one semitone ($\hat{5}$ from the initial minor key) moves up by a semitone (see the third type in Figure 2.7). In addition, this semitone shift results in the submediant from the original key, which functions as an intermediary pivot chord between two keys.

In discussing the unusual effect of the C-major passage in this Prelude, I will use Howard Cinnamon's (1992) analysis as a basis. Although the main focus of Cinnamon's article is the rhythmic structure of the Prelude, he also carefully analyzes the piece's tonal structure, on the grounds that the rhythmic structure of the piece is closely tied to the tonal structure (67). His basic view on the form of the piece is the same as what many other analysts would reach: an expanded parallel period. To enlarge the eight-measure antecedent, he notes, the consequent is expanded by the Neapolitan chord, a deceptive cadence, and prolongation of the V and I harmonies (68).

Several points in Cinnamon's article merit attention. First of all, the author locates a structural melodic tone $\hat{2}$ in the antecedent (m. 8), whereas he sees $\hat{2}$ in the second phrase as being implied. As indicated in Figure 2.8, in the second phrase, the Neapolitan chord as a predominant at m. 13 is relatively explicit. I think this is one of the crucial elements that make the piece unusual. By giving significant weight to the chromatic harmony, the composer creates a tonal diversion beyond the merely momentary one that might be more typical at this point in a consequent phrase, a diversion responsible for one of the phrase expansions in the consequent.⁴

Second, mm. 12–14 mark special rhythmic treatment as well. Cinnamon acknowledges that the Neapolitan chord is the point from which the regular hypermeter takes a different path. He points out that in terms of metrical organization, “from measure 12 on the pattern [of two four-bar hypermeasures] becomes increasingly obscure” (86).

⁴ Cinnamon also observes that, in spite of this characteristic, the location of $\hat{2}$ at m.15 is easily-recognized by the correspondence of the measures to the dominant of the first phrase: “Example 8 presents a view of the voice leading for the second phrase that infers $\hat{2}$ as the melodic tone over the prolonged V in mm. 15–17 and 19–21. The association between mm. 6–8 where $\hat{2}$ is explicit, and mm. 15–17 and 19–21 where it is only implicit, supports this interpretation.” (84)

The image displays two musical staves for Chopin's Prelude in B Minor. The top staff shows the original notation with measures 5, 7, 8, 9, 13, 15, 17, 19, 21, and 22 marked. The bottom staff is a simplified version of the same passage, with Roman numerals (I, V, II, V, I) indicating the harmonic structure. A dotted line connects the two staves, suggesting a relationship between the original and the simplified version.

Figure 2.8. Two middleground graphs of Chopin's Prelude in B Minor (Cinnamon 1992, 85, Example 9)

In addition, he probes the function of the repeated or expanded measure in the consequent by using the concept of hemiola, arguing persuasively that the “hemiola measures”⁵ have “motivic” functions, as proposed by Burkhart, but also the “purpose of *ritardando*,” citing an argument of Schenker's.⁶ Then, according to Cinnamon, the two hemiola measures are considered as one extended measure in triple meter as a means of phrase expansion:

Because this “hemiola measure” is perceived as a *larger version* of the same metric prototype, it does not disrupt the basic meter but rather produces a *ritardando* or broadening of the metric pattern, without effecting a change in our perception of that pattern; thus, it functions more or less like a written-out rubato or change of *tempo*, rather than of *meter*. (95, italics by author)

⁵ The author documents three hemiola measures in the consequent: ♯II in mm. 13–14, V in mm. 16–17 and mm. 20–21, and I in mm. 25–26 (94).

⁶ Burkhart (1973, 83) and Schenker (1979, 122), cited in Cinnamon (1992, 94–95). Cinnamon notes that his analysis is based to a large extent on the Burkhart's (1973) paper; see Cinnamon's footnote 2 for further theoretical background to the article for more analytical detail. In terms of the hemiola effect, he adopts Schenker's idea; see his quotation from Schenker (95).

Notable is that one of the hemiola measures indicated here is the one where the C-major harmony appears (Example 2.5). It not only helps listeners fully appreciate this chromatic diversion, but also lends it an impression of improvisatory freedom. In particular, about mm. 13–14, Cinnamon states that:

Metric reinterpretation in mm. 13–14 is a bit more subtle. But rhythmic patterning and contour tend to articulate two local stress points on the first and third beats of m. 13 that sufficiently define a *hemiola* pattern, while the omission of the third statement of the pattern achieves a more effective diminuendo into the next measure. (94)



Example 2.5. Chopin, *Op. 28, No. 6*, mm. 13–14 as a hemiola measure (Cinnamon 1992, 93)

To summarize, this C-major harmony, as it appears in the context of this Prelude, attracts a listener’s attention as a tonal disruption. Although one might argue that it is only a typical use of the Neapolitan harmony as a predominant, I believe that what attracts listeners is not the harmony itself but the way Chopin employs it in term of the position, length, and rhythm. This Prelude clearly shows Chopin’s brilliant coordination of chromatic and metric disruption. Still, admittedly, the level of tonal disruption is very subtle in this Prelude, and overall the expanded consequent should be interpreted as I-♯II-V-I progression in B minor with “coordination between the hemiola measures and the two- and four-bar hypermeasures” (105), as Cinnamon suggests. Figure 2.9 shows my reading of the overall structure of the prelude, which includes an interruption between the antecedent and the expanded consequent. After a remarkable

coordination of chromatic and metric disruption by the Neapolitan harmony in mm. 12–14, Chopin corrects $\hat{2}$ and prolongs the dominant by treating the G and the E in the bass as double neighboring motions. Then the piece ends with a coda that prolongs the tonic and recalls the opening theme.

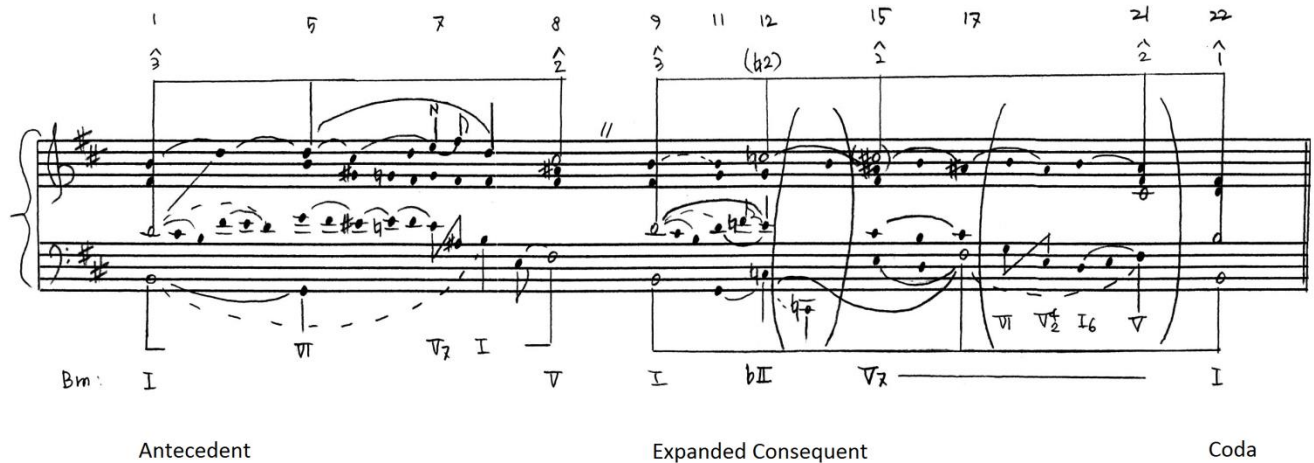


Figure 2.9. Voice-leading graph of the B-Minor Prelude

The Nocturne in B \flat Minor, Op. 9, No.1

To discuss tonal disruption greater than that in the B-Minor Prelude, I will return to Chopin's B \flat -Minor Nocturne and examine in greater depth the stages and causes of tonal disorientation. As previously discussed, leading-tone modulation here creates a different mood in the middle section of the Nocturne by changing the tonal center from D \flat to D. At m. 24, D \sharp is tonicized in the local context, as if the key of the music moves up a semitone (Example 1.2). This semitonal shift is more striking since it is a semitonal relation between two major modes; there is no pivot chord between two keys, and the tonal disruption it causes is greater than the instance in the B-Minor Prelude. As a simpler example, the Mazurka in C Major, Op. 24, No. 2, also shows a

similar abrupt modulation from C major to D \flat major. In this case, however, the effect of modulation is weakened by the reduced number of voices, decreased dynamics, and slower tempo at the moment of the scale-degree transformation at m. 56.

The image shows a musical score for Chopin's Mazurka in C Major, Op. 24, No. 2. It consists of two systems of music. The first system starts at measure 51 and ends at measure 56. The second system starts at measure 57 and ends at measure 62. The key signature changes from C major to D-flat major at measure 56. Dynamics include piano (p), forte (f), piano (p), and pianissimo (pp). Performance markings include 'a tempo.', 'dolce.', 'sotto voce.', and 'riten.'. A chord progression C: I to Db: 7 is indicated at the end of measure 56.

Example 2.6. Chopin, *Mazurka in C Major, Op. 24, No. 2, end of the first section*

On the other hand, in the B \flat -Minor Nocturne, the semitonal displacement as a means of modulation prevents a normal connection at both ends of the passage from the standpoint of voice leading. The tonal disorientation that listeners feel in this process may be traced to a complex of elements—the linear use of chromatic substitution, enharmonicism, and unusual counterpoint—and perceiving these elements may require phenomenological reinterpretation. Defining these elements one by one will be useful for the possibility of applying them to further analytical discussion.

First of all, there is confusion associated with chromatic substitution. At the juncture of two keys, the linear use of a chromatically altered note disorients listeners. In one interpretation, a note is a melodic diatonic step such as a passing tone, and thus is linear in character. But in another interpretation the same note is a chromatic substitution on a single scale-step. As seen in Figure 2.10, E \sharp looks like a passing tone, filling in the interval between F and D \sharp in D major.

However, as $F\flat$, $\flat\hat{3}$, it is not contrapuntal but a chromatic substitution, introduced by a mixture through V of $\flat II$. Thus, engaging two types of interpretations in two keys, the tonal function of the note is momentarily ambiguous.

The image shows a musical score for Chopin's Op. 9, No. 1, measures 23 and 24. Measure 23 is labeled 'contrapuntal operation' and features a piano (p) dynamic. Measure 24 is labeled 'chromatic substitution' and includes a trill (3) and a chromatic trill (b3) marking. The notes are written on a treble clef staff with a key signature of three flats.

Figure 2.10. *Chopin, Op. 9, No. 1, mm. 23–24: Contrapuntal operation vs. chromatic substitution*

Second, the discussion above is also closely related with scale-degree recognition as well since the notes involved generally entail enharmonicism. For instance, when listeners hear $E\flat$ at m. 23, they might wonder whether it is $F\flat$ ($\flat\hat{3}$) or $E\flat$ ($\#\hat{2}$). Figure 2.11 enumerates all possible interpretations at the start of the passage. There are scale-degree confusions with $F\flat/E\flat$ and $E\flat/D\flat$ in the upper part, and $D\flat/C\sharp$ and $D\flat/E\flat$ in the lower part. These four possibilities from two parts lead to sixteen possible interpretations in terms of enharmonicism. Some theorists, such as Cohn, argue that these enharmonic situations severely deform tonal space and call for a new theory. For Cohn, these multiple possibilities of notation imply the indeterminacy of representing the phenomenon and suggest a chromatic space of twelve pitch-classes. In this figure, when moving to the right side, one can see an interpretation more inclined to the key of D major, a semitone apart from the original key.

The upper part

The lower part

Figure 2.11. *Chopin, Op. 9, No. 1: Enharmonicism in mm. 23–24*

What is more, the treatment of the Neapolitan chord is irregular in this passage. In the progression $bII-V$, while $b\hat{2}$ usually moves to the $\hat{7}$, often with $\hat{1}$ added to fill in the melodic diminished third, here $b\hat{2}$ goes to $\hat{6}$. Even though the applied leading-tone seventh chord (vii_7/V) is common as a passing chord, it is interesting to note that $\hat{6}$ (Bb) is in the top voice, not $\hat{1}$ (Db). The motion down from $b\hat{2}$ to $\hat{6}$ ($Ebb-Bb$) results in an unusual diminished fourth. At the same time, the outer voices move in parallel motion, instead of the more typical contrary motion between the top voice and the bass line in the $bII-V$ progression.⁷

Formula

mm.25-26

$D\flat$ major : bII_6 V I bII V I

Figure 2.12. *Neapolitan formula motion vs. the $E\flat-B\flat$ melodic motion in mm. 25–26*

⁷ For detailed remarks about the unique quality of the Neapolitan chord, see *Harmony and Voice Leading*, 537–58 (Aldwell and Schachter, 2011). As described in the book, the voice leading of the Phrygian II (Neapolitan) is quite fixed. Typically $b\hat{2}$ goes down to the leading tone, by a diminished third. To fill in this diminished interval, the passing note $\hat{1}$ is often incorporated (538).

Recognizing these elements of semitonal relationships involves a process of retrospective hearing. Listeners, hearing the end of the passage at mm. 25–26, may perceive the D to G chord progression as I-iv in D major at first (Figure 2.13), since it follows a similar I-IV motion in D major. But upon hearing C supported by an A \flat -major chord, listeners realize a discontinuity of key, and retrospectively this passage may become reinterpreted as the progression \flat II-vii $_7$ /V-V-I in D \flat major.

D : I iv ?
 g : V i ?

Figure 2.13. *Retrospective hearing of mm. 25–26*

But, do all features mentioned so far call for the analyst to adopt the perspective of chromatic space? In the analysis of Figure 2.14 and Figure 2.15, I suggest a reading that illustrates how this pair of Schenkerian sketches displays a discontinuity that may be integrated into a larger tonal prolongation. The first half of Figure 2.14 is a sketch of the first phrase of Example 1.2 (mm. 19–22) which prolongs the tonic in D \flat major. The second half of Figure 2.14 shows a leading-tone modulation in the beginning and a discontinuity of key at the end of the second phrase (mm. 23–26). When the second phrase starts, one might feel that the music modulates to D major, but when B \flat arrives in the upper part at m. 25, with the support of G in the bass, a tonal distance occurs which signals the end of the D-major key.

Figure 2.14. *Analysis of Op. 9, No. 1, mm. 19–26: Discontinuity within the passage*

In spite of the notation as $D\sharp$ in the second phrase, then we can retrospectively interpret the whole period (mm. 19–26) in the key of $D\flat$ major as shown in Figure 2.15. $D\sharp$ becomes $\flat II$ ($E\flat$) in the larger tonal context of $D\flat$ major, which moves to the V. A possibly more convincing reading for the previous note E would be $\flat\hat{3}$, considering its downward motion to $\flat\hat{2}$. Contrary to the expectation, this $\flat\hat{2}$ proceeds to $\hat{6}$ while $\hat{1}$ appears in an inner voice. As a result, we may harmonically interpret the passage as a standard cadential motion, $I-\flat II-V-I$, with some peculiarity in terms of the counterpoint between the upper and the lower part.

We may say that this unusual voice leading reflects a strategy of the composer to recover the weight of the original tonic towards the end of phrase. Despite tonal disorientation at the beginning of the phrase, Chopin does not continue the tonal drive of D major but rather resorbs it back into the original key. That is, he needs to destabilize the new key and re-establish the original key. In this example, Chopin achieves this goal by means of the subdominant of D major, which contributes to obscuring the new key. Here, this D-major passage would be interpreted in G major as well, and listeners are even not sure whether it is in G major or G minor. And later, the G provides the root for the secondary leading-tone seventh chord of the dominant in the original key.

Figure 2.15. Analysis of Op. 9, No. 1, mm. 19–26: Diatonic interpretation

In other words, though the passage engages several issues that cause theorists to consider positing chromatic space, by placing the weight on distinctive voice leadings, it becomes possible to form an essentially diatonic interpretation without recourse to an entirely chromatic space. With this approach, I give more importance to linear motion, $\hat{3}-\flat\hat{3}-\flat\hat{2}-\hat{1}\hat{2}$ (F-F \flat -E \flat -Eb), rather than on enharmonic identity, E/F \flat and D/E \flat . Even though analysts will still have to confront challenges when problematic features come together as an irregular linear motion, I maintain that those features permit a reading according to a broader diatonic framework.

Interestingly, the same passage, including the excursion to D major, appears four times in the course of the Nocturne. Although the antecedent of the phrase changes to one based on the prolongation of the V rather than the I, the consequent including D-major excursion remains the same in all instances. One might assume that Chopin tries to normalize this irregular voice leading by repeating the phrase where it appears. The other possibility is that the composer tries to set up the atmosphere of the second part of the middle section which almost sounds like an expression of the transcendent world or dream. Even these two possibilities might be combined;

Chopin at once normalizes the progression and keeps it transcendent and dream-like, just as dreams often create their own internal normalcy and realism.

Moving ahead in our discussion of the interior section of the Nocturne in B \flat Minor, the long passage from m. 51 prolongs the seventh chord on D \flat (D \flat -F-A \flat -C \flat), in a fashion that raises questions about its function. The dynamics decrease gradually, and from m. 59, the seventh note C \flat is removed. Still, it is retained in the listener's mind since this seventh note is not resolved normally. Finally, right before the reprise starts, this C \flat descends to B \flat at m. 70, making clear its semitonal motivic connection with the other parts of the Nocturne.

In a discussion of the harmony in this section, Krebs (1980) describes the tonal progression in a chapter titled "The Avoidance of the Dominant: Tonic Oscillations and Tonic Circles." He interprets this Nocturne as a representative example of the oscillatory progression I-III-I:

When a I-III progression, rather than being followed by a V which would complete an arpeggiation and would lead strongly back to I, is followed directly by I, there arises the oscillatory progression I-III-I. . . . An interesting large scale example is found in Chopin's Nocturne op. 9 no. 1. The diatonic mediant triad arises from I in measure 19 and is prolonged at length. In measure 51, a seventh is added to the III triad. The seventh remains unresolved, merely dropping out of the chord in measure 59. The unadulterated III triad is prolonged for another ten measures, whereupon I returns via a chromatic passing tone from III \flat /4. (95-96)

I agree with his statement that the middle section in mm. 19-68 is a long prolongation of the III.

I also believe that Chopin's use of semitonal relationships is a remarkable device to create tension within this section which would have been monotonous otherwise. The dynamic and tempo markings such as *poco rallent.* in the D-major measures also draw our attention to this chromatic motion using the Neapolitan.

However, I partly disagree with Krebs's view that the V of B \flat minor is entirely avoided, because the cadential progression I-III-V-I cleverly implied during the return to the home key. Apparently, we cannot find the note F in the bass or even in any other voices, but we may infer it from the A \natural at m. 69. It is surprising how Chopin links the middle section to the reprise by using melodic elements of a \flat II-V-I motion, a progression which plays a vital role in the entire Nocturne. The first half of the middle section indeed projects a I- \flat II-V-I cadential progression in D \flat major with emphasis through repetition, and even the mysterious seventh note, C \flat , in the second half of the middle section turns out to be $\flat\hat{2}$ in B \flat minor which moves to the structural dominant of the piece. This moment which connects the middle section with the reprise is still highly imaginative. Implying a cadential progression, Chopin changes the color between C \flat and A \natural ; reducing the voices in the right hand, he not only emphasizes the note A \natural in the low register but effectively expresses emotional transition from a sweet dreaming or illusory world to reality.

The image shows a musical score for Chopin's Nocturne, Op. 9, No. 1. It features two staves, treble and bass clef. Above the staves, measure numbers 1, 19, 50, 69, and 70 are marked. The score includes various notes, accidentals, and phrasing slurs. A handwritten note 'elided' is placed above measure 69. Below the staves, Roman numerals indicate the harmonic structure: Bbm: I, III, V, I, I.

Figure 2.16. Overall structure and the C \flat -A \natural -B \flat motion in the Nocturne, Op. 9, No. 1

Also notable is the bass. As shown in Figure 2.16, as a result of register shift, the bass displays B \flat -D \flat -A \natural -B \flat , and this is the same melodic contour as the first six-note figure in the piece. Given that these pick-up notes to the downbeat establish the mood of the piece, the overall

bass line reflects the composer's careful manipulation of these notes including the diminished fourth and the semitone. When the reprise enters, it then restates and summarizes the bass motion just completed.

The leading tone $A\sharp$ in the bass at m. 69, as a substitution for C, inevitably causes an irregular voice leading again. As indicated in the graph of Figure 2.16, the expected C is elided, and this is quite common for $b\hat{2}$ to descend to the leading tone instead of a direct correction to $\hat{2}$. In this case, however, not only has the Cb been retained in listener's mind for a while, but also the leading tone $A\sharp$ occurs in the left-hand part through a drastic register shift. Even in the reprise, C, $\hat{2}$ of the linear motion, is not clearly restored. Although C appears with the support of the V at m. 77 and m. 78, $b\hat{2}$ takes on greater prominence in the last part of the Nocturne.

In this sense, this Nocturne is indeed a representative example of nineteenth-century innovation. Krebs argues that the cause of weakening the tonic in this piece is the extensive prolongation of III not directly connected to V, but there are the other important features Krebs does not mention. I want to point out the consistent, active use of bII as a component that is especially novel. In most cases, there would be no doubt about an implication of V just before a reprise, but the extensive use of bII certainly plays a role in loosening the connection between the initial Bb -minor tonic and the following dominant of a typical cadential progression. And this bII -V-I progression is an arresting feature from the first section of the Nocturne as shown in Figure 2.17. After $\hat{2}$ is presented at m. 16, the last cadence of the first section introduces a bII -V-I progression with the melodic line Cb - $A\sharp$ - Bb . It is also worth noting how extensively Chopin uses a semitonal motion $A\sharp$ - Bb in the first section. I will deal with this matter in greater detail in the last chapter of the dissertation when explaining the overall motivic structure of the piece.

Figure 2.17. *bII-V-I* in the first section of the Nocturne, Op. 9, No. 1

Before proceeding to the next piece, I will mention one more example that can be explained as involving an expanded Neapolitan harmony. In the Mazurka in A \flat major, Op. 7, No. 4, before the opening theme returns, a short A-major passage appears (Example 2.7). The approach to A major is not a leading-tone modulation since the preceding section ends in D \flat major, but rather a modulation to the key a third apart.

Yet, when the Mazurka returns to its original key, A \flat major, there still exists unusual voice leading that deserves attention, although, with the aid of the fermata and tempo markings, the time interval between two sections in A major and in A \flat major softens the abrupt change of key. The bass voice in the left-hand part seems to show a typical progression from the Neapolitan to the dominant seventh chord. The bass moves to the note a major second apart (A \natural to G), to proceed to the tonic of A \flat major. Although the tenor moves up a diminished fourth (A \natural to D \flat), it then resolves the dissonance by descending semitone down. What is unusual is the augmented second between C \sharp and B \flat that moves downward to A \flat in the right-hand part, while the E \natural in the top voice transfers to the left-hand part. In spite of some unusualness in voice leading, this progression can be interpreted as *bII-V-I* in A \flat major. That is, as in the example

from the B \flat -Minor Nocturne, the interpolation of the A-major passage is an expanded Neapolitan chord.

Example 2.7. Chopin, *Mazurka in A \flat major, Op. 7, No. 4, mm. 33–41*

Nocturne in C \sharp Minor, Op. 27, No. 1

Whereas the Nocturne in B \flat Minor shows a brief tonicization engaging the issues of enharmonicism and contrapuntal function, the middle section of the Nocturne in C \sharp Minor, Op. 27, No. 1, demonstrates a more extensive tonicization, one with an additional issue for the analyst. At the end of the middle section of the Nocturne (mm. 65–83), the music modulates from D \flat major to C major through an augmented sixth chord as pivot. The C-major section is extended, and, because of this extension and the sequential repetition of the D \flat -major music, the tonal disruption becomes more pronounced than in the B \flat -Minor Nocturne excerpt. Just before the reprise comes back, the tonic C changes to B \sharp , the leading tone of C \sharp minor (Example 2.8). In other words, B \sharp is set up within the C-major section in preparation for C \sharp minor. Since a transformation between $\hat{7}$ and $\hat{1}$ is involved (C/B \sharp), this is an instance of leading-tone modulation.

In this example, the top note F at m. 65 arouses the same issues encountered in the Nocturne in B \flat Minor; the scale-degree confusion here is between $\hat{3}\sharp$ and $\hat{4}\flat$ of C \sharp minor, and with the same conflation of linear motion with chromatic substitution. This note F, an enharmonic repelling of E \sharp , is especially important for this Nocturne as it is the first chromatic note of the piece, a note which transforms its function as the music unfolds. The major third E \sharp is introduced from the beginning, but initially functions as a leading tone in V7/iv and moves to iv in C \sharp minor. As illustrated in the graph of the middle section (Figure 2.18), the music modulates to several keys through sequence, finally reaching E major, and, by using the enharmonic ambiguity of the German sixth (E-G \sharp -B-D = F \flat -A \flat -C \flat -D) at m. 48, the tonic of E major changes to $\hat{6}\flat$ in A \flat major which resolves down to the dominant in the next measure. In the following passage, this A \flat major triad becomes the V of D \flat major.

65 *con anima* *ten.*
f

73 *pp* *ten.*
 C: $\hat{1}$

83 *con forza*
 c#: 7

Example 2.8. Chopin, *Nocturne in C# Minor, Op. 27, No. 1: Leading-tone modulation in the middle section*

Più mosso

45 48 49 52 63 65 73 81 83

C#: I E: V_2 I Ab: V I Db: V C: V I! c#: VII $\frac{2}{2}$ V $\frac{2}{2}$

Figure 2.18. *Voice-leading graph of the middle section of the Nocturne, Op. 27, No. 1*

The graph shows that finally the third of the tonic minor E \sharp is renotated to F, and it becomes the chord member of the tonic in D \flat major at m. 65. Since the top voice F moves to E \natural later at m. 73, retrospectively, the note F could be interpreted as $\sharp\hat{3}$ in the home key, as a mixture which prolongs the primary tone $\hat{3}$.

However, more interesting than this mixture for analytical method is the question of how to proceed when the top voice moves back to E \natural , $\hat{3}$. Figure 2.19a illustrates the possible harmonies which could support the scale degree $\hat{3}$ in this case. The typical harmonic support for this scale degree would be the tonic (a), or the dominant using 6-5 (b), or 4-3 motion (c). In other cases, Chopin often uses a third relationship: mediant (d), submediant (e), or chromatically altered versions of them. Yet, in the C \sharp -Minor Nocturne, $\sharp\hat{3}$ becomes a member of VII, a semitone from the tonic, which lends it the very distinctive quality of a leading-tone modulation (Figure 2.19b).

Figure 2.19a. *Scale-degree support for mixture*

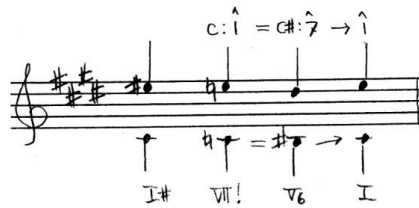


Figure 2.19b. *Scale-degree support and leading-tone modulation in the Nocturne, Op. 27, No. 1*

This use of mixture $\#3$ and VII for the correction of 3 raises a question of where analysts should locate it within the context of the larger tonal plan. Figure 2.20 illustrates several possibilities to read the middle section. One might consider a reading that puts more emphasis on the $A\flat$ -major harmony right before the $D\flat$ -major passage (Figure 2.20a). That is, it can be argued that the dominant of the home key arrives much earlier before the *con anima* section (from m. 65) and is prolonged until the right before the reprise. In this reading, the $E\sharp$ is a neighboring tone, with the addition of the passing tone $E\flat$, to prolong the dominant.⁸

⁸ Edward Laufer (1993) reads the Nocturne in this way. His examples of this Nocturne are categorized into “illusory tonal returns (without direct motivic support),” showing that the $D\flat$ major at m. 52 is not a return of the tonic. Rather, as his middleground graphs illustrate, Laufer considers the dominant at m. 65 as being prolonged to the end of the middle section. Still, this dominant is not where 2 is located, since Laufer interprets the $D\sharp$ as moving to the more structurally weighted note $F\sharp$ (at m. 83), with this $F\sharp$ functioning as a neighboring tone to the E at the beginning of the reprise, corresponding with a salient motivic feature of the piece, an upper neighboring tone $F\sharp$.

Figure 2.20. Possible interpretations of the middle section of the Nocturne Op. 27, No. 1

In contrast to this view, there can be another reading that regards the tonic as being prolonged until the bass note $C\sharp$ changes to the $B\sharp$ at the end of the middle section (Figure 2.20b). Particularly, with relation to my topic, this reading places more emphasis on the last dominant seventh chord that finally brings back the tonic of the home key through a process of leading-tone modulation. That is, in this reading, the moment of leading-tone modulation goes together with a major harmonic event and a formal division. Although the preceding dominant at m. 52 is a decisive moment of arriving at the dominant after traveling across several key areas, this dominant does not stay long; as dynamic markings and the indication *agitato* suggest, the dominant loses its strength immediately and moves to another direction from the next measure. Due to the density of chromatic notes, the passage from m. 53 does not seem like a settling down into the dominant in spite of the pedal point over the $A\flat$, and this feature continues even when the top voice ascends and reaches to $\hat{2}$ in mm. 63–64. On the other hand, the gestures and intensification to approach the dominant at m. 83 differ from those to the previous dominant, considering successive diminished seventh chords, tempo changes, and dynamics. The short cadenza after the dominant chord also supports the gravity of the chord.

For these reasons, I argue that the second reading has its own merits, and it is reflected in Figure 2.21, a view of the Nocturne's overall structure. In the graph, the E, $\hat{3}$, is prolonged until music reaches the VII (C-major section), via two neighboring motions, D \sharp and E \sharp . The function of the VII is distinctive since, when the passage reaches the C-major section through a parallel-third motion between the outer voices, a different musical atmosphere from the area of the home key is created by displaying the melody in a key a semitone below. In addition, this C \natural in the bass does not resolve into the tonic C \sharp directly. Rather, being respelled B \sharp , it leads to the structural dominant of the key. Therefore, although $\hat{3}$ appears in the upper voice, here the \flat I functions as a dominant harmony, as the VII rather than a neighboring motion to the tonic.

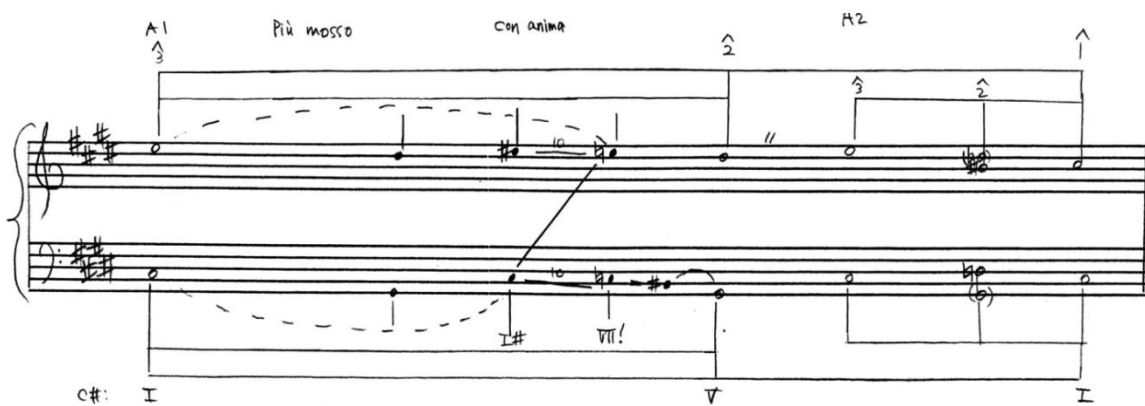


Figure 2.21. Overall structure of the Nocturne, Op. 27, No. 1

Figure 2.22 illustrates the other main possibility for reading this Nocturne, suggested in a 1970 essay by Felix Salzer. This alternative reading interprets the D \flat -major section as a quasi A' section and includes an interruption before the D \flat -major section. Salzer argues that although the surface design seems to be in ternary form, elements work against that view and argue in favor of an underlying binary form. He doesn't include much detail about key changes in the article, but

still acknowledges that the end of the middle section is the most fascinating part of the Nocturne, using the C-major chord as a “passing chord”:

Most fascinating is the way Chopin reaches the V in bar 83. The C-major chord, a passing chord, gives emphasis and support to the passing tone E \flat , which connects E \sharp (F \natural , bar 65), with D \sharp . The bass tone, C, subsequently becomes B \sharp , the inner voice (third) of the V; the root of this chord appears in the cadenza. (286)

Figure 2.22 shows that ultimately Salzer sees the F in the top voice as $\hat{3}$ in C \sharp minor. Even though this graph provides many insights into the Nocturne, this structure, $\hat{3}-\hat{2} // \hat{\sharp 3}-\hat{2}-\hat{1}$, is unusual because it seems to contradict Schenker’s premise that the *Ursatz* is fundamentally diatonic. Schenker admits that mixture can be used even in the first level of the middleground, but here we see $\hat{\sharp 3}$ in the background level. On the other hand, my reading in Figure 2.21 places greater emphasis on the VII section as a prolongation of $\hat{3}$, with some irregularities in the bass line.

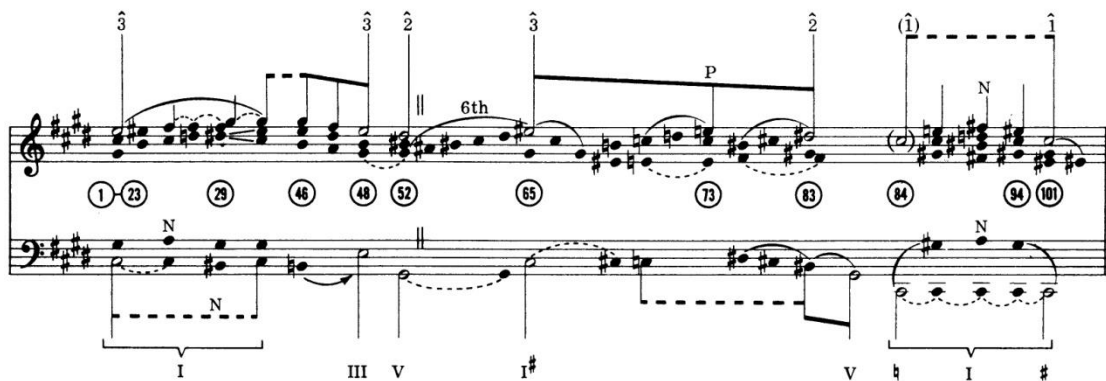


Figure 2.22. Salzer’s reading of the Nocturne, Op. 27, No. 1 (Salzer 1970, 285)

Although the bass progression C \sharp -C \flat seems unexpected and striking in the middle section, the C \sharp -B \sharp -C \sharp motion is in fact marked as crucial in the first section of the Nocturne. Furthermore, the composer calls attention to this semitonal motion, as shown in Figure 2.23; first

of all, as in m. 5, although B \sharp in the melody appears as a lower neighboring tone, the supporting harmony, a Neapolitan chord, suggests the possibility that it may be serving as C \sharp , the seventh of the chord. Second, the extended phrases, such as found in m. 10 and mm. 26–28, by presenting only the left-hand accompaniment on the Neapolitan, anticipate the delay in the later C-major passage of returning to the tonic C \sharp . Therefore, the later use of VII at the end of the middle section is not an impulsive transposition but rather a culmination in the development of the C \sharp -B \sharp -C \sharp motive.

Figure 2.23. *Voice-leading graph of the Nocturne, Op. 27, No. 1: First section*

In addition, the graph suggests that the entire first section is based on two motivic ideas, marked as *x* and *y*. Motive *x* is a falling third, E-D \sharp -C \sharp , with the addition of the incomplete neighbor F \sharp , while *y* consists of skips, C \sharp -G \sharp -E. It is interesting to note how closely the outer parts and the middle part of the first section are related to each other in terms of motive; even though Chopin changes the melodic contour of the middle part, mm. 11–18, it still consists of the two motives, only with the order reversed.⁹

⁹ The idea of the arpeggiation of the tonic triad stands out in the middle section as well, such as in the top voice from m. 29 (G \sharp -C \sharp -E).

After the leading-tone modulation at the end of the middle section, the reprise starts in the same way as the first section does, but this time, E[#] soon functions as the third of the major tonic. It not only gives a transcendent quality to the piece, but also reconnects the middle section with the outer sections. Notable is from m. 94, when the tonic is transformed to the major form; the interval of a descending sixth (E[#]-G[#]) recalls the first measure of the D^b-major passage F-(D^b)-A^b, and $\hat{6}$ (B^b) in the D^b major, initially harmonized with IV, establishes itself in the last plagal cadence of C[#] major. Thus, the tonic major, which appeared in the middle section, not in C[#] major, but in D^b major, is now fully accomplished, displaying the pure, diatonic C[#]-major scale.

So far I have considered several traits arising from leading-tone modulation in Chopin's music which challenge a Schenkerian perspective. In the C[#]-Minor Nocturne, for example, the critical role of the leading-tone modulation, along with its role in the Nocturne's motivic design, led me to argue for different emphases than in readings by well-known Schenkerian analysts. Indeed, Chopin uses semitonal relationships in such a skillful way that they occur not as an overt disruption of linear progression but rather as a seamless and smooth motion. Still, as close analysis of the passages above reveals, a sophisticated manipulation of chromaticism engages unusual and expressive voice leading. The chromatic materials produce uncommonly sensitive effects, pushing tonal limits but not destroying the overall tonal context.

2.3. Leading-Tone Modulation in Formal Design

So far I have discussed the definition of the leading-tone modulation and examined several representative cases. As shown in the above examples, semitonal relationships in Chopin's music are not only remarkable as a harmonic innovation; they may also suggest new directions for formal analysis. In this section, I will explore further examples to show more specifically that Chopin often uses semitonal relationships for special purposes at a juncture of the formal design. Here I will examine formal functions of semitonal modulations in two categories: leading-tone modulations that involve a cadence and those that blur formal boundaries.

Leading-Tone Modulation Involving a Cadence

I will start with the cases where the leading-tone modulation is involved in a cadence. First of all, Chopin seems to prefer integrating leading-tone modulation into a cadential progression to dramatize or maximize the resolution of tension. By digressing momentarily to a key a semitone apart, Chopin creates a strong sense of arriving at the home key when the music comes back to the original key. That is, the use of a semitonal shift becomes an effective way to expand a cadential motion and ultimately confirm the real tonic. For this reason, it is frequently employed right before the final cadence of a section or entire piece.

The Waltz in A \flat Major, Op. 42 is such a case, displaying a brief semitonal digression before the concluding cadence. As the work approaches its end, the music suddenly moves to the V $4/2$ of A major. This chord proceeds to the first inversion of the tonic in A major at m. 244, via a scalar passage, so the interrupted A-major tonality is clearly established. Shortly, however, the music comes back to the home key, and the A-major passage is reinterpreted as \flat II in the large-

scale progression. In other words, Chopin diverges to the A major to extend and intensify the cadential progression in $A\flat$ major. By expanding the final section in this manner, Chopin gives listeners a signal that they will hear this $A\flat$ -major theme, repeated many times in the piece, for the last time, and that the music will soon come to an end.

Example 2.9a. Chopin, *Waltz in $A\flat$ Major, Op. 42, mm. 235–48: Leading-tone modulation*

$A\flat$: V I $V\frac{3}{4}/N$ N_6 $VII\frac{3}{4}/V$ V I

Example 2.9b. Chopin, *Waltz in $A\flat$ Major, Op. 42, mm. 235–48: Harmonic reduction*

Chopin's skillful use of this technique is proved by the fact that he employs the technique in another piece in a very similar way to the excerpt from the Waltz above. In the Fantasy, Op. 49, the same chord appears with a similar function to prepare to close of the piece, but in a very different kind of piece, one that involves directional tonality beginning in F minor, ending in A \flat major. As seen in Example 2.10, when the music reaches the dominant of A \flat major, it suddenly invokes an A-major tonality by implying the V $4/2$ of A major. Retrospectively, however, the chord is interpreted as an inverted German sixth chord and, with semitonal displacement and enharmonic reinterpretation, the music finally arrives at the cadential dominant of A \flat major again.

Furthermore, this last digression into A major resonates with earlier events of the Fantasy, related to the conflict between F \flat and E \natural . From the opening march, the relationships between F \flat and E \natural play an important role in the work, reflecting two competing tonal forces, A \flat major and F minor. The E \natural , initially the leading tone of F minor, tries to be separated from the original key throughout the work, and finally proceeds to E \flat , the dominant of A \flat major (see the last section of Chapter 3 for a more detailed discussion). Thus, here Chopin employs leading-tone modulation in a wider context of the entire Fantasy, and this last event summarizes the previous events to help bring the piece to closure.

308

312

314

317

320 Adagio sostenuto.

ff *pp* *cresc.* *smorz.*

Example 2.10a. Chopin, *Fantasy*, Op. 49: Extended cadential motion in the last section

310 311 315 321 322

Ab: V A: V₂? Inv. Ger. 6th! V₄ V₇

Example 2.10b. Chopin, *Fantasy*, Op. 49: Harmonic reduction of the last section

On the other hand, the first movement of the B \flat -Minor Sonata, Op. 35, illustrates Chopin's different approach to a cadence. Whereas the cases above show that Chopin uses the leading-tone modulation to intensify the final cadence, in this sonata he uses the same technique, also related to the last cadence, in a different musical context. As seen the example from the previous chapter (Example 1.3), in the closing section of the recapitulation, an A-major passage immediately follows the cadential progression of the second theme,¹⁰ which makes listeners wonder what might have triggered this unusual progression here. Wayne Petty (1999) provides a convincing clue, discussing the connection between the opening of the first movement and the beginning of the Funeral March. According to Petty, in the opening of the Grave, a tonal closure to the tonic—with $\hat{1}$ in the melody—is interrupted by the *doppio movimento*, and this missing cadence is completed at the beginning of the Funeral March. "Thus," he states, "the Grave presents a thwarted closing impulse realized only by the first chord of the march," which has an effect that "the Funeral March *begins at the end*" (288).

Petty points out that Chopin designs the formal and tonal plans of the first movement (and the scherzo as well) such in a way that this "transmovemental progression" works. That is, Chopin needs to postpone tonal closure until the beginning of the Funeral March. This perspective convincingly explains what happens in the recapitulation. The recapitulation begins with the second theme, in B \flat major, rather than with the opening Grave and the first theme, in B \flat minor, so that no cadence in tonic minor returns. Above all, with regard to semitonal modulation, Petty's description of the stretto as "suggesting an inability of this cadence [of the second theme, in mm. 208–9] to provide satisfactory closure" (291) is noteworthy. In other

¹⁰ The use of semitonal shift occurs in the exposition and the recapitulation in the same manner, and I take the example from the recapitulation; in the exposition, semitonal shift to C major appears as the second theme ends in D \flat major.

words, the digression into A major and returning back to B♭ major, which I call a procedure of leading-tone modulation, show a remarkable tactic for a failed attempt to complete the cadence in B♭ minor.

In particular, the bass C♯, from m. 220, invokes the first notes in octave in the Grave, and it is a crucial note for the change to the minor mode as an enharmonic equivalent of D♭. By turning to the semitonal modulation, the A-major triad brings back the opening C♯ of the Grave that listeners may strongly associate with the opening B♭-minor key (Example 2.11).¹¹ In fact, it is notated as D♭ in mm. 221–3, but returns back to C♯ at the end of m. 223 as the music proceeds to B♭ major again. What follows also shows an attempt “to inflect the music back to the minor mode,” described by Petty (291). Compared to the corresponding passage in the exposition (mm. 97–100), which shows the pure sonorities of the D♭-major tonality, the one at mm. 224–7 in the recapitulation indicates the chromatic inflection of $\flat\hat{6}$ (G♭) of the minor mode.

¹¹ Petty relates the opening of the movement to the opening of the Funeral March, saying that “we find more than just thematic resemblance: a tonal *progression* connects these openings, of which the resemblances are more a sign than an actual cause” (286). Thus, this motion in the recapitulation shows the tonal connection between the opening and the ending of the movement, deferring the ultimate conclusion to the opening of the Funeral March.

Example 2.11. Chopin, *Piano Sonata in B \flat Minor, Op. 35, I: Ending and opening sections*

As discussed so far, the use of the semitonal modulation in the B \flat -Minor Sonata involves an effort to return to B \flat minor. The context of A major, however, shows that B \flat minor does not succeed in its efforts to bring back the Grave and the opening theme. The overall effect actually weakens the sense of closure, since the return of B \flat minor has been attempted but has not happened, thus deferring that closure to a later movement.

The usage of the leading-tone modulation in this movement may be grounded on the issue of the genre as well; whereas semitonal shifts do enhance closure in the other examples (the Waltz and the Fantasy), it is a sonata movement for which Chopin must have pondered over the construction of multiple movements. For the energy and narrative for the remaining parts of the work, Chopin might have needed to take a different approach this time. And I agree with the perspective that the B \flat -Minor Sonata's unique composition history and the Funeral March's

special quality would have affected the tonal design of the first movement. Whatever Chopin's intent might have been, this piece demonstrates how much Chopin was adept at utilizing semitonal modulations in an individual way within each piece. He was able to employ the same technique even for quite opposite purposes—to intensify or weaken a cadence, and in the hands of him, this seemingly simple technique turns into be a striking device in formal design.

Leading-Tone Modulation at a Formal Juncture

Whereas the examples above show leading-tone modulations involving a cadential motion, there are cases where a leading-tone modulation arises at a formal juncture, thereby blurring formal boundaries. In particular, semitonal relationships often precede a reprise, connected with the structural dominant, and in this case, they bring forth an effect of a more expressive return of the first section. For instance, as discussed in Section 2.2, the C-major section from the Nocturne Op. 27, No. 1, precedes the structural dominant of a I–V–I progression.

Some brief examples will illustrate this important new usage of leading-tone modulation. The Mazurka in D Major, Op. 33, No. 2 is one such example. After the middle section in B \flat major, the way in which the music returns D major is relevant here. Example 2.12 shows that the second period of the section attains a key a half step down, D \flat major, from the key of the reprise. It results in the next eight transitory measures (from m. 65 to m. 72) to effect the real return of the home key. Through the enharmonic interpretation between D \flat and C \sharp , the music seems to proceed to F \sharp minor, via the diminished seventh chord on E \sharp (mm. 65–68), but it soon moves to A major (mm. 69–72). Here the way in which Chopin manipulates the C \sharp is witty enough; the top voice repeats D–C \sharp motion, and the C \sharp is treated as a more stable note since the D resolves to

the C#. Not until the last measure of the second time is the D-major tonality is confirmed by the tritone between G#-C# on the bass note, A. At this moment, the C# finally becomes the leading tone of D major. In this way, Chopin not only disguises the transformation between the tonic Db and the leading tone C# but takes a detour to return to the home key rather than moving directly from Bb major to D major. It is not a very complicated deviation from the traditional approach to the reprise, but novel enough to give individuality to the piece, and the leading-tone modulation is a key ingredient.

49

Bb Major

55

60 *cresc.* *f* *ff* Db: $\hat{1}$

65 Db Major! *f* *f# : vii* *i* *vii* *i* *A : V7* *I* *I* (=V of F# minor)

71 *f* *I* *D : V7* *I* *I*

here is C# the LT of D major

Example 2.12. Chopin, *Mazurka in D Major, Op. 33, No. 2, mm. 49–75*

Another example demonstrating semitonal modulation at a juncture of formal division is the Mazurka in C Minor, Op. 56, No. 3. In this case, however, a leading-tone modulation is located not before the reprise but between the first section and the middle section. Joyce Yip deals with this mazurka in several chapters of her dissertation, emphasizing the unusual use of \flat VII (2010, 49–50), the expansion of the reprise (137–39), and the elaborate coda (160). The passage I would like to focus on, however, in regard to Chopin’s tactics for blurring the formal boundaries, is from m. 57 to m. 66, right before the music proceeds to the second section in $B\flat$ major (see Example 2.13). It is not easy to demarcate whether this passage belongs to the first section or the middle one. After the opening part is repeated in mm. 25–48, the expanded, transitional passage from m. 49 appears to indicate that the music modulates to the new section. Indeed, at m. 56, the music already arrives at the perfect authentic cadence of $B\flat$ major.

However, this expectation of the music heading to a new section in $B\flat$ major is frustrated when the tonic in $B\flat$ major transforms to a leading tone of B major at m. 57, and the dominant of B major continues for about ten measures. Confusion might arise as to whether the B-major passage continues the transition or starts a new section. It would first seem that a new key area, different dynamic and phrasing, and removal of the long-short rhythm on the first beat of the measure might steer listeners to regard it as a new section. On the other hand, in terms of melodic contour, the ascending scalar motion seems to show the element of transition rather than a new theme.

46 (expansion of section A)

52 Bb: I
PAC of Bb Major

67 Bb: I
cadential progression in Bb Major

73 (section B)
sempre legato.

57 B: 7!
p
m.g. *m.d.* *m.g.*

62 V7 of B Major
m.d. *m.g.*
cresc.

Example 2.13. Chopin, *Mazurka in C Minor, Op. 56, No. 3*, mm. 46–79

The sectional demarcation does not become clear even after B \flat -major key returns at m. 67. The last note of m. 66, the leading tone of B major, does not proceed to the tonic, B, but now changes back to the tonic of B \flat major in the next measure. It seems, as the dotted arrow in the example suggests, that the transitional B \flat -major passage resumes after the B-major passage is interpolated. But continuous ascending scalar motions and the return of the long-short rhythm from m. 67—strictly speaking, the long-short rhythm comes back from the last moment of the B-major passage—suggests that the music might still be in the transition, in which case the middle section would finally start on the upbeat to m. 73. One might argue that the moment where the key comes back to B \flat major (at m. 67) sounds like the beginning of a new section, but as the piece continues, we realize that the true middle section does not begin until m. 73; the last part of that central section, from m. 121, returns to m. 73 as the reprise with a small ternary form in B \flat major, thus confirming that mm. 67–72 were transitional. Thus, Chopin not only creates a semitonal shift before the new section but does not synchronize the return of the key with the thematic materials in this mazurka. The return in m. 121 does not correspond with the music in m. 67; rather it resumes from m. 73.

This technique calls to mind a remark of Charles Rosen's in *The Romantic Generation*, made when discussing Chopin's enlargement of the small mazurka form, that "what keeps the large structure from falling apart is Chopin's art of blurring the frontiers between different sections, and his unfailing sense of polyphonic continuity, above all the rich continuity of the inner voices which is the hallmark of his style" (1995, 453). Indeed, this complex C-Minor Mazurka shows how Chopin enhances the flow of the music by blurring the boundary of formal

division.¹² Particularly fascinating is that he employs leading-tone modulation as a way to bring variety to a typical construction of the middle section. We find a similar, but more extended case in the Fourth Ballade in F Minor, Op. 52. With respect to Chopin's mature technique in this domain, this work deserves in-depth analysis.

The striking features of the Fourth Ballade have been well noted by many scholars, such as the V–I progression in the opening (Cone 1994; Samson 1992b; and Noden-Skinner 1984), motivic associations throughout the work (Walker 1973), and the ambiguous rhythmic and metrical structure of the themes (Rothstein 1994). In what follows, I shall focus on the unusual tonal structure of the Ballade, specifically a leading-tone modulation in middle section of the piece. Before doing so, it might be necessary to discuss the overall construction of the Ballade. I will outline the tonal and formal structure of the piece and then move to the detailed discussion of the development section.¹³

The term “development section,” which implies the sonata form, seems to be a good point to start the discussion of the Ballade's overall design, since many scholars have pointed to elements of sonata form in the Ballade. For instance, Laufer states that “in specific ways the *Ballades* are related to the traditional view of sonata form, with Chopin's characteristic modification” (2009, 157, italics in the original). William Rothstein also notices that “all of the

¹² Schachter also takes note of Chopin's technique of blurring formal boundaries in the discussion of D-Major Prelude, Op. 28, No. 5. He points out the incongruous structure between the tonal organization and motivic pattern: “Because of this overlapping between tonal motion and motivic design, there is not uncontented point of articulation or formal division in the middle of the piece. This blurring of boundaries produces a special kind of continuity for the Prelude” (1994b, 32)

¹³ For more detailed analyses of the work, see Laufer (2009) and Suurpää (2000). Both authors provide detailed Schenkerian sketches section by section; Laufer puts more weight on a long prolongation of the subdominant while Suurpää tends to focus on the way how the I–V progression of the beginning of the piece is unfolded and enlarged in the entire work. Shorter but also insightful is the discussion in Samson (1992b).

Ballades make some reference to the conventions of nineteenth-century sonata form” (1994, 2). Samson interprets this Ballade as one that incorporates the “directional quality of a sonata” with the “static repetition structure of a variation set” (1992b, 63). Figure 2.24 shows the large-scale tonal and formal organization of the work, using terms drawn from sonata form.

Measure	1-7	7-71	72-80	80-99	99-128	129-134	134-168	169-210	211-239
Key	C	f		Bb	Ab	A	f	Db	f
Thematic Material	Introduction	1st theme	Transition	2nd theme		Introduction	1st theme	2nd theme	
Formal Division	Exposition				Development?	Recapitulation?			Coda

Figure 2.24. *Tonal and Formal Structure of the Ballade, Op. 52*

As shown in the figure, the piece begins with a short introduction from m. 1 to m. 7, an introduction that is repeated later in the piece. The exposition consists of two themes; the first theme in F minor and the second theme in Bb major. The first-theme area is relatively long since the variation form is integrated with the sonata principle in the Ballade; the music from m. 23 to m. 36 and from m. 58 to m. 71 is basically repetition of the music of the first theme with variation. The other variations of the first theme occur in the recapitulation section from m. 135 to m. 151 and from 152 to m. 168.¹⁴

¹⁴ Rothstein (1994) points out, “Variations form the backbone of the structure, but it is sonata form, as a series of conventionalized ‘plot’ incidents, that lends the Ballade its particular narrative quality” (26). He considers variation as a primary principle for the form of the piece and sees the other parts (those not based on the main theme, as inserted episodes between the variations. Therefore, according to Rothstein, the second variation is from m. 58 to m. 151 which covers the second-theme zone, developing episode, and recapitulation of the main theme. Suurpää (2000) also points out “rotations” as one of the crucial formal principles in the Ballade. Thus, instead of a theme and variations, Suurpää explains the Ballade as a construction of four rotations. As for the term “rotation,” Hepokoski & Darcy (2006) speak first of it in their book *Elements of Sonata Theory*. See Hepokoski & Darcy 2006, 16–18; 611–14 for a detailed discussion of the term.

As suggested by the fact that Chopin titles this work *Ballade*, however, the piece has several special features that analysts cannot explain in a completely satisfactory way using the sonata principle alone. Above all, the *Ballade* does not have a development section in the traditional sense, so I will adopt Laufer's use of the term "developing episode" (2009, 158). Samson also notices the absence of a conventional development section, and states that "it is easier to understand the section as an extended bridge between the exposition and reprise, affording necessary contrast but not demanding resolution or synthesis" (1992b, 65).

Let us consider in detail how the developing episode is organized. After the lyrical theme in B \flat major makes a cadence at m. 99, the developing episode starts. It consists of several parts: the modulatory sequential motions to G minor and then to A minor (mm. 100–107), another sequence to F minor (mm. 108–11), the figurative passages moving toward A \flat major (mm. 112–20), the modification of the first theme in A \flat major (mm. 121–28), and the return of the introduction in A major (mm. 129–34). The first three transitional parts until m. 121 are comprised mostly of passage work using sequential motions and continuous modulations. As shown in Figure 2.25, after the bass reaches A at m. 107, the new sequence leads the bass to descend again, this time to F. This F-minor harmony functions as a pivot chord between B \flat major and A \flat major. Afterwards, the A \flat -major key is fully established since the V of A \flat major, prolonged from m. 113 to m. 120, moves A \flat as tonic.

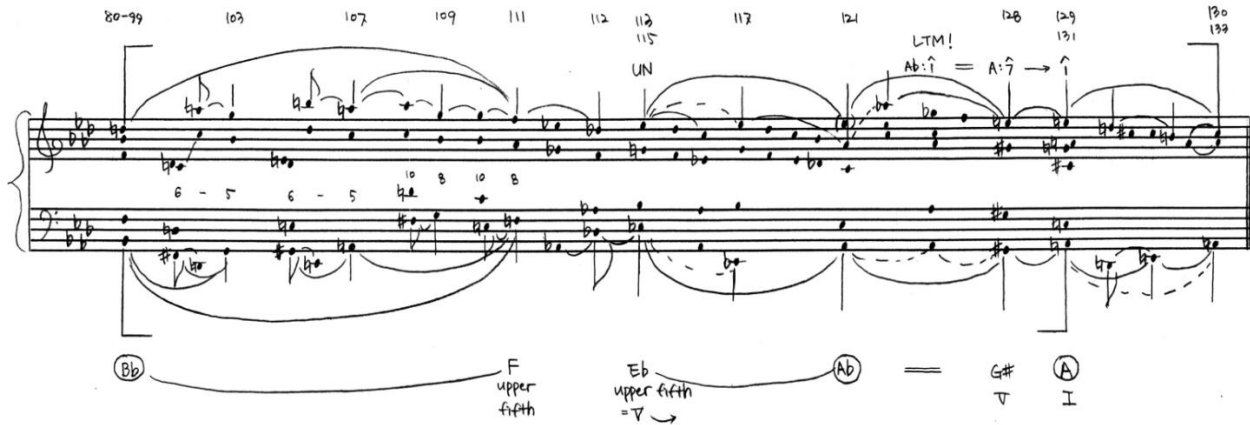


Figure 2.25. Voice-leading graph of the Ballade, Op. 52, developing episode

The third part in $A\flat$ major from m. 121 is a contrapuntal rearrangement of the thematic materials; Chopin distributes elements of the first theme into several voices. The A-major passage, including a cadenza, follows from m. 129. Of particular relevance to our discussion of leading-tone modulation, I draw attention to the very point of modulation to A major. In the middle of the $A\flat$ major section, the music moves to an E-major chord, which functions as the dominant of A major (m. 128). Here, as marked in the figure, the tonic $A\flat$ changes to $G\sharp$, a leading tone of A major, and this leading-tone modulation finally leads the music to the key area of A major. On a large scale, the top voice goes from D (in the $B\flat$ -major theme) to $C\sharp$ (in the A-major reprise), via upper neighbors $E\flat$ and $E\sharp$, as the tonal progression of the overall section is from $B\flat$ major to A major, via $A\flat$ major.¹⁵ The tonal organization of the section is skillfully planned over a long span, and the leading-tone modulation here fits perfectly into the last stage of the developing episode

¹⁵ In a broader scope, the top voice proceeds from the primary tone C to the $C\sharp$, and this $C\sharp$ enharmonically changes to $D\flat$ in the following section. A similar procedure of reharmonizing a C- $D\flat$ motion, according to the tonal change from F minor to A major, is found in the Mazurka Op. 68, No. 4. Although we often encounter A major within F-major works, such as in Mozart's K. 332 and K. 280, Beethoven's Op. 24, Op. 54, Op. 10, No. 2, Op. 101, and the Seventh Symphony, it is very unusual for A major to play such an important role in an F-minor work, and it shows Chopin's more adventurous use of third relations.

after the successive modulations. In designing the passage this way, Chopin creates a powerful emotional effect, as the moment of leading-tone modulation sounds surprising but also somehow inevitable.

This natural and familiar sonority of a leading-tone modulation has also been prepared earlier in the Ballade. It seems that Chopin anticipates this unusual progression in a hidden way in that the notes in the top voice, $A\flat$ - $G\flat$ - $E\sharp$ in mm. 125–28, have been played previously. For instance, when thinking back to the key areas of mm. 38–46 (Example 2.14a), we recognize that Chopin foreshadows the $G\flat$ major and $F\flat$ major (the enharmonic equivalent of E major) between the presentations of the first theme. Here the $F\flat$ major creates a distinctive kind of sonority, one at which the E-major harmony at m. 128 later hints, as it is in the same register, in the same downbeat position of the measure, and shows repeated notes in octaves in the right-hand part. Also before the leading-tone modulation in mm. 125–28, the $G\flat$ - $F\flat$ motion is prevalent in the $A\flat$ -major passage; these motions appears in every measure from m. 121 to m. 124 as if in preparation for the dramatic change to come (Example 2.14b).¹⁶

¹⁶ Even though the prominence of $G\flat$ throughout the piece has been noticed, the focus usually lies on its role in emphasizing the note F as an upper neighbor and leading to the subdominant (such as in Samson 1992, 64–65; Suurpää 2000, 469–70; and Laufer 2009, 162). However, I pay more attention to the $F\flat$, in relation to its change to $E\sharp$ in the developing episode. We could also compare this $G\flat$ - $F\flat$ motion to a direct $G\flat$ -F motion which Chopin uses later in the reprise. For instance, the $G\flat$ -F motion is much emphasized in the $D\flat$ -major section from m. 169, and it eventually leads to the $E\sharp$ at m. 202, which now functions as a chord member of the dominant in F minor; that is, Chopin harmonizes $A\flat$ - $G\flat$ -(F)- $F\flat$ = $E\sharp$ in the context of $A\flat$ major and A major for the developing episode and in the context of $D\flat$ major and F minor for the reprise.

Example 2.14a. Chopin, *Ballade in F Minor*, Op. 52: $G\flat$ - $F\flat$ in mm. 38–46

Example 2.14b. Chopin, *Ballade in F Minor*, Op. 52: $G\flat$ - $F\flat$ motions in mm. 121–24

Example 2.14c. Chopin, *Ballade in F Minor*, Op. 52: (Ab)-Gb-E \flat in mm. 125–28

The moment of leading-tone modulation itself is striking because it coincides with the return of the introduction. Here Chopin does not lead the music to the C-major harmony again, that begins the piece, but rather moves by a semitone distance. That is, this is the moment where this Ballade is divided into two parts, but it is disguised by being located in the middle of the modulatory process. The following statement by Samson aptly describes this moment:

The journey from this point to the reprise is one of the most magical passages in Chopin. The main strands of Theme I are here isolated and presented in contrapuntal combination, as Ex. 22 [bars 121–3] indicates. Moreover one of these strands is gradually and beautifully transformed into the unobtrusive return of the introduction in the remote foreground region of A major, a transition made possible by the shared repeated notes of the introduction and Theme I. This is the mid-point of the structure. (Samson 1992, 66)

As Samson points out, the manner in which the A-major passage is treated is of special interest in that, after the Ab-major passage, Chopin thwarts the expectation for the structural dominant of

the home key even though he has reached a dividing point of the formal design.¹⁷ Rather Chopin firmly establishes A-major tonality and prolongs it to reach a cadenza. The thematic material of the passage is the same as that of the introduction, and it is a kind of a “*false* reprise at mm. 129ff., introducing the onset of the return as mm. 1–7 had introduced the first subject in the exposition,” described by Laufer (2009, 166). Ingenious indeed it would be for Chopin to employ leading-tone modulation as a method for satisfying both the dramatic organization of tonality and the continuous flow of the music.

Chopin’s choice of A major for this reprise suggests that he plans the tonal organization of the piece as a continuous unity, not having an interruption at V before the recapitulation.¹⁸ Chopin could certainly have led the music to V of F minor, just as the original introduction does, to return to the home key; in fact, this is the standard manner for a piece in sonata form. Here, however, as the music proceeds to A major, it does not have clear boundaries between the

¹⁷ This feature can be described using the idea of promissory note by Edward T. Cone (1982). The idea of the promissory note is something that has an expected harmonic duty or responsibility but is resolved later in a more discursive way after a certain type of interruption. For instance, Cone mentions Beethoven’s Piano Sonata Op. 10, No. 2 as an example of promissory note since, after emphasizing V/iii, the music moves to the dominant key, and later on the development section starts in III. In the same way, Burstein (1997) uses Cone’s idea of the promissory note in a reading of Schubert’s String Quartet in G major, D. 887 where V6/5 of V does not directly go to V but takes another direction to V.

Many scholars have addressed this aspect as a prominent feature of the Fourth Ballade. The graphs by Laufer and Suurpää, which I will introduce in what follows, show the appearance of the dominant far later in the work; Samson discusses the location of the structural dominant at the last moment of the piece (1985, 192); and David Witten (1997) also takes note of the delayed occurrence of the dominant and emphasizes the use of bVI to reach to the dominant as one of Chopin’s favored techniques. Witten’s discussion, in particular, is noteworthy in that Chopin’s frequent use of $b\hat{6}$, along with $\#4$, $b\hat{2}$, and $\hat{7}$ —what Witten calls “Chopin’s wedge technique” (182)—is closely related to the half-step motions on the surface and in the large structure of the piece, in terms of the topic of this dissertation. He says that “the ubiquitous $\hat{6}-\hat{5}$ serves as a unifying force—it is a motivic metaphor for the larger tonal structure of each work” (120).

¹⁸ In the same vein, Laufer says that “there is no closing theme demarcating an expositional close, and no interruption—both ‘omissions’ giving a sense of the music’s going on directly, without marking any formal articulation” (2009, 172).

development and the recapitulation. This may be the reason why scholars have different interpretations of the Ballade's form. For instance, Morgan (2008) interprets the piece as being in a binary structure, and more interestingly he considers the A-major section as being included in the first half: "Although the introductory seven measures are absent from this binary graph, they do recur within it, growing out of the development's climax (mm. 125–34) and resolving it to A major, the first half's unexpected tonal goal" (200). Still, Morgan also leaves room for the other possibility that "the introduction is heard as beginning both halves" (200).

This unexpected A-major introduction promotes the return of the first theme implying a very brief D minor at m. 135 but moving swiftly from there to the home key. In other words, Chopin incorporates the "false reprise" from m. 129 with non-tonic return of the first theme from m. 135. It results in a very different appearance of the first theme at the beginning of the recapitulation as Chopin cleverly uses not only the unexpected key area but also a different treatment in texture (Example 2.15).¹⁹

¹⁹ As Rosen (1995) says, a composer's endeavor to maintain the interest when the same music is repeated captures well a feature of this reprise. He claims that, while the eighteenth-century composers try to elaborate a reprise by adding ornamentation in order to be more expressive, "after 1820, ornamentation was a weak solution for a composer with any ambition for creating a dynamic form, and sonata recapitulation was unwieldy to a generation that preferred to withhold the sense of resolution until the final bars" (457). Rosen continues examining Chopin's treatment of the return and discusses several tactics by Chopin, such as arranging to have more various harmonies, bring a section back with different dynamics, omitting the first part of the return, or reworking the texture. See Rosen 1995, 457–66 for more details.

The image shows two staves of musical notation. The top staff, labeled 134, contains a complex melodic line with many accidentals and a large slur. The bottom staff, labeled 135, shows a more rhythmic accompaniment. The key signature is three flats (B-flat, E-flat, A-flat). The time signature is 3/4. The piece is in F minor.

Example 2.15. Chopin, *Ballade in F Minor, Op. 52: Return of the first theme (from m. 135)*

Regarding Chopin’s choice of $A\flat$ major and A major in the developing episode, David Witten relates these keys to the submediant keys in the reprise; just as D minor at m. 135 is a resolution of the A major, “the $D\flat$ tonality [from m. 169],” he states, “though unexpected, is the deferred resolution of the ambiguous $A\flat^7$ - $D\flat$ dancelike theme of measures 112–20” (1997, 166). Thus, Witten argues that Chopin uses $A\flat$ major and A major, with the tonic F minor in the middle, for each pair of $D\flat$ major and D minor, which functions to gain energy and time to delay the dominant C: “Chopin has, for the fourth and final time, prepared the structural dominant of a Ballade with $\flat VI$. In this case, $D\flat$ ($\flat VI$) was itself prepared by its own dominant ($A\flat$) in the developmental section (mm. 112–21). The enormous energy necessary to overcome the inertia of IV generates considerable excitement and passion, and Chopin’s arrival at $\flat VI$, and ultimately V and I, produces one of his most beautiful and gratifying compositions” (179). In addition, Witten also recognizes a subtle relation between A major and $D\flat$ major, by saying the $C\sharp$, the third of the A major triad, gives a seed for the later enharmonic change to $D\flat$ (167).

Samson also points out the relationships between sections to explain the tonal construction of the Ballade, but in a different way. As seen in Figure 2.26, Samson reads the overall bass progression as F-B \flat -F-D \flat -C-F, and he notices similar intervallic patterns, comprising a descending half-step and a fifth progression (marked by circles in Figure 2.26). In this reading, the A-major and D-minor sections are closely related to preceding B \flat -major section, since they participate in a repeated intervallic pattern that is the same as those in the first and last sections. As the upper voice of the figure suggests, however, Samson's reading agrees with Witten's argument that the sustained A \flat is connected to the D \flat in the reprise.

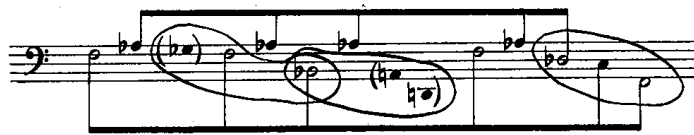


Figure 2.26. Overall progression of the Ballade, Op. 52 (Samson 1985, 191, Ex. 56)

A more specific and convincing interpretation for the tonal construction of the developing episode is found in Laufer's discussion. As we have seen so far, this section first centers on the key of A \flat major. The A \flat major, as the relative major a common choice for the second theme, is prepared and not fully explored in the exposition as if it is saved for the middle section, especially for the highlighting moment with the leading-tone modulation. In addition, it is brilliant that, within a larger-scale structure, leading modulation is designed as a part of a symmetrical progression. Laufer's middleground graph (Figure 2.27) shows that the A-A \flat -A motion in the developing episode (A at m. 107, A \flat at m. 121, and A again at m. 129) belongs to the prolongation of the subdominant B \flat in a large-scale design. His graph suggests that he interprets the entire developing episode as a neighboring motion to B \flat ($\hat{4}$), connecting m. 66 and

m. 145. In his reading, $\hat{4}$ is much emphasized due to long prolongation from the second theme in the exposition to the arrival at the V at m.195, since Laufer sees even the return of the second theme in $D\flat$ major as a the third of the IV. He states that “the force of the IV is such as to extend, in the background, throughout the developing episode and the return and through the second subject again, thus from the second subject, m. 66, all the way to the final V at m. 195” (166). Thus, Laufer’s interpretation builds on emphasis on the subdominant throughout the Ballade,²⁰ and leading-tone modulation at the crucial formal junction is designed as a part of the symmetrical progression with a larger-scale prolongation of the subdominant.

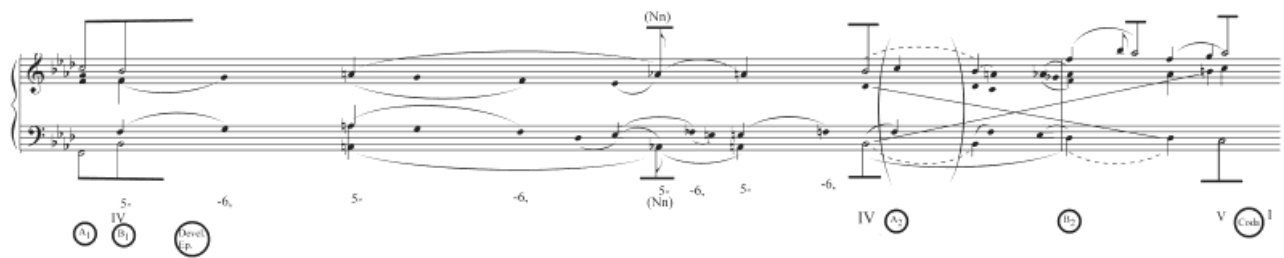


Figure 2.27. *Middleground graph of the Ballade, Op. 52 (Laufer 2009, 167, Example 7.7c)*

Suurpää’s (2000) article also illuminates the emphasis and expansion of the IV in the Ballade. He deals mostly with a “strangely unfulfilled quality” of the Ballade, which emerges from the relationships between the emphasized IV and undermined V and finally resolves in the “massive culmination near the end” (465). Suurpää states that “[s]ince the structurally primary element (V) is highly fleeting on the surface, whereas the subordinate preceding IV is increasingly emphasized, the music creates an impression of not being able to reach the goal of

²⁰ Rothstein also states that just as the first theme from m. 7 settles in $B\flat$ minor, “it is the subdominant, then, that Chopin expands in ever more fantastic ways throughout the Ballade” (1994, 26). He attributes this idea to Ernst Oster, and he suggests that Carl Schachter might also agree with this view. See Rothstein 1994, footnote 32.

the I–V bass motion in a satisfactory manner before the fourth rotation” (479). His graph (Figure 2.28) shows a reading quite different from Laufer’s, particularly the greatly extended initial ascent to the primary tone $A\flat$ ($\hat{3}$), since Suurpää argues that it is not until m. 195 that the music has reached the primary tone when the music finally reaches the $V_{6/4}$ chord of F minor. In spite of the difference in reading an overall structure, Suurpää’s graph clearly shows that he also reads the function of the $A\flat$ -major section in the developing episode as a neighbor between $B\flat$ s (see mm. 66–145 in the figure).

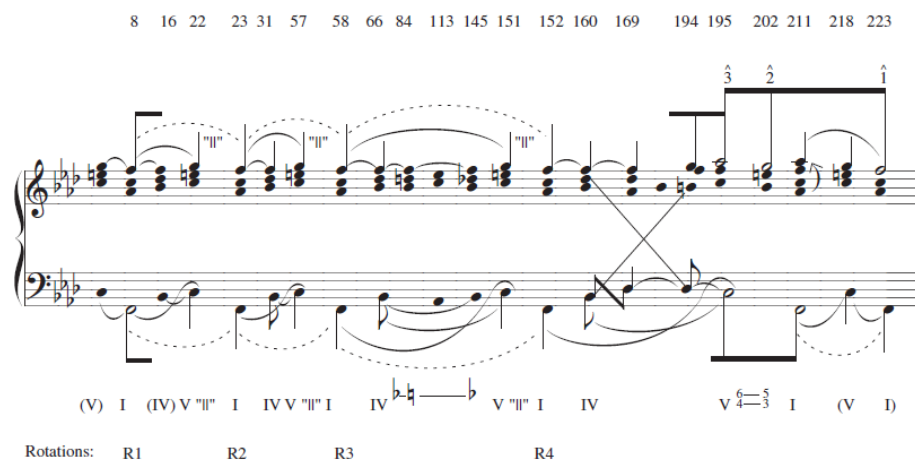


Figure 2.28. *Overview of the Ballade, Op. 52 (Suurpää 2000, 478, Example 19)*

Moreover, Laufer and Suurpää share the view that the emphasized IV has been prepared from the opening section. Figure 2.29 illustrates harmonic structure of the first theme, and I think their arguments are convincing in that the theme indeed foretells what follows in the piece by marking the main key areas in a condensed form. As Laufer has pointed out, the IV is “already established” in the first theme (2009, 162), as $B\flat$ minor is firmly presented and prolonged from m. 16. Furthermore, $A\flat$ major is also indicated as an important harmonic event as early as at m. 12.



Figure 2.29. *Voice-leading sketch of the Ballade, Op. 52, mm. 8–22*

There is one final aspect I would like to address from Suurpää’s discussion of the F-Minor Ballade, as it relates to the manner in which Chopin employs the leading-tone modulation. Suurpää suggests reading the passage from the $A\flat$ -major chord of m. 113 to the $B\flat$ -minor chord of m. 145 as successive 5–6 motions (473–74), as shown in Figure 2.30. And the passage from m. 135 to the return of the IV at m. 145 is also treated as “contrapuntal events within a prolonged A-major chord” (473).²¹ In section 2.1, we have already seen that leading-tone modulation highlights 5-6-5 motions. By expanding this 5-6-5 linear intervallic pattern, the two sections are connected seamlessly. In other words, in this reading, the leading-tone modulation is a part of contrapuntal structure which not only makes it possible to avoid parallel motions between semitonal related keys $A\flat$ major – A major – $B\flat$ minor but also links the developing episode to the reprise in a novel way. This feature again calls to mind Rosen’s remark that I quoted earlier in this section. We could even say that Chopin blends what Rosen describes separately, “blurring

²¹ According to this reasoning, the return of the first theme m. 135 does not receive special importance in Suurpää’s reading. He describes that “[i]n m. 135 the recapitulation would seem to begin in the local key of D minor, but this key turns out to be an apparent key only since it has no tonic. So the thematic beginning of the recapitulation is not underlined by a stable harmonic situation, which creates an impression that the formal boundary between the development and the recapitulation occurs within a larger structural arch” (2000, 472). And in the endnote, Suurpää points out that this view is different from those of Witten and Samson. See the endnote 16 (482) for more details.

frontiers between different sections” *through* “polyphonic continuity” in this piece. As we have seen, leading-tone modulation plays a critical role in this process.

Figure 2.30. *Contrapuntal motions in the developing episode (Suurpää 2000, 473, Example 15)*

So far, I have discussed two mazurkas and the Fourth Ballade to examine how an abrupt semitonal modulation affects an individual formal construction. In particular, I have tried to show that employing a leading-tone modulation at a crucial juncture effects an obscuring of the formal divisions. In the cases above, leading-tone modulation is treated not only as a special moment, but also as a part of large-scale progression in order to prolong the structurally important harmonies, to prompt a more expressive return of the theme, to enhance a continuous unfolding of the music, or to distinguish a formal return from a tonal return.

The formal and expressive techniques bound up with leading-tone modulation discussed in this chapter allow for a new appreciation of Chopin’s innovations in composition. In Chapter 3, I will turn to Chopin’s treatment of other types of scale-degree transformations which also contribute to the formation of his style.