

## 4 Two early Schoenberg songs: monotonicity, multitonicity, and *schwebende Tonalität*

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Arnold Schoenberg is so closely associated with the development of atonality and the twelve-tone system that his earlier tonal music, which is sizeable (Schoenberg was in his mid-thirties when he broke with tonality), tends to be considered primarily in relation to his later work. Even Schoenberg himself leaned toward this interpretation in his writings; and recent theoretical and analytical work has also seen the early work primarily in evolutionary terms, especially in relation to traditional tonality. This has produced valuable insights, but it has also downplayed the degree to which much of Schoenberg's tonal music maintains common-practice conventions.

The idea that Schoenberg's more advanced tonal compositions fundamentally undermine these conventions fits neatly with recent efforts to expand the general concept of tonality to include more varied and ambiguous types. But it has also fostered the development of analytical concepts that, however useful in themselves, do not necessarily apply to all chromatic music of the pre-atonal period. In this chapter I argue that one such concept, multitonicity, leads to incorrect and exaggerated readings of some of Schoenberg's most original tonal compositions.

### I

One of the leading figures in recent endeavors to enlarge the concept of tonality has been Robert Bailey, who in a number of articles has advanced the idea that late chromatic tonal works are no longer necessarily monotonic: rather than adhering to a single tonic, they are multitonic, having what he calls a "tonic complex" in which two or more keys compete for priority. Bailey's influence has been widespread and serves as the primary reference point for the most comprehensive publication to date delineating a theory of extended chromatic tonality.<sup>1</sup>

Bailey's work is linked to a long theoretical tradition concerned with expanding tonality beyond its traditional confines. In the first years of the nineteenth century, Georg Vogler introduced the idea of harmonic *Mehrdeutigkeit*, arguing that chords may have multiple meanings implying more than one key; and shortly thereafter Gottfried Weber extended

[53]

the idea into non-harmonic areas. Subsequently F. J. Fétis divided tonality into four historical “orders,” the last, the *ordre omnitonique*, representing tonality’s “final stage” and encompassing all possible chords including those based upon enharmonic equivalence. By the middle of the nineteenth century Karl Friedrich Weitzmann, the author of monographs on the augmented triad and diminished seventh chord, penned a rejoinder to his critics entitled *Neue Harmonielehre im Streit mit der alten* (A New Theory of Harmony in Conflict with the Old), in which he not only referred to both “harmonische Mehrdeutigkeit” and “Ungewissheit über die Tonart” (tonal uncertainty), but maintained that in principle any chord could be followed by any other. By the turn of the twentieth century, efforts to explain broadening tonal practices in late nineteenth-century music had produced both relatively conservative responses – Karl Mayrberger’s explanation of Wagnerian harmony from a diatonic, scale-derived basis – and progressive ones, such as Georg Cappelen’s chord-derived conception of a single key embracing all twelve chromatic notes.<sup>2</sup>

By far the most influential earlier theorist for recent ideas about expanded tonality, however, especially the double-tonic idea, was Arnold Schoenberg. It is thus instructive to examine the Austrian composer’s theoretical writings in light of the views of such recent tonal revisionists as Bailey and his follower Christopher Lewis, whose work raises the question of the appropriateness of bringing the double-tonic idea indiscriminately to bear on late tonal music. In particular, Lewis has applied it to two of Schoenberg’s own early tonal songs, “Traumleben” and “Lockung” (Op. 6, Nos. 1 and 7), works that are extremely chromatic and, standing on the edges of tonality, are not only interesting in their own right but useful tests for evaluating the dual-tonic idea.

It is clear that in his *Harmonielehre*, Schoenberg offered the basis for a more nuanced approach to expanded tonality. His well-known concept of *schwebende Tonalität*, or “fluctuating tonality,” which he first presented there, offers many suggestive hints, even if failing to provide a succinct definition of the phenomenon.<sup>3</sup> Schoenberg, in fact, states that *schwebende Tonalität* does not lend itself to easy generalization or being “readily illustrated in short phrases.” He nevertheless identifies several instances in Beethoven, Schumann, Mahler, Wagner, Bruckner, and Wolf, though only two are actually discussed, and these only briefly: the first movement of Beethoven’s String Quartet in E minor, Op. 59, No. 2, which “begins in a sort of C major which, however, keeps reaching over toward E minor”; and Wagner’s *Tristan* Prelude, whose tonic is “scarcely sounded in the whole piece,” “always expressed in circuitous ways,” and “constantly avoided by means of deceptive cadences.”

There is one work, however, that receives a somewhat more detailed discussion, Schoenberg’s own “Lockung” (1905). It expresses “an E flat

major tonality without once in the course of the piece giving an E flat major triad in such a way that one could regard it as a pure tonic.” Indeed, “the one time [the tonic] does appear, it has a tendency, at least, toward the subdominant.” Though that is basically all that Schoenberg offers, he does add that if one studies this song, along with his orchestral song “Voll jener Süsse,” Op. 8, No. 5 (which “wavers principally between D flat and B major”), “one will know what I mean [by *schwebende Tonalität*].” He also provides the following more general description:

If the key is to fluctuate, it will have to be established somewhere. But not too firmly; it should be loose enough to yield. Therefore it is advantageous to select two keys that have some chords in common, for example the Neapolitan sixth or the augmented six-five chord. C major and D<sup>b</sup> major or A minor and B<sup>b</sup> major are pairs of keys so related. If we add the relative minor keys, by fluctuating between C minor and A minor, D<sup>b</sup> major and B<sup>b</sup> minor, then new relations appear: A minor and D<sup>b</sup> major, C major and B<sup>b</sup> minor; the dominant of B<sup>b</sup> minor is the augmented six-five chord of A minor, etc. It is evident that vagrant chords will play a leading role here: diminished and augmented seventh chords, Neapolitan sixth, augmented triad.<sup>4</sup>

Though Schoenberg acknowledges that *schwebende Tonalität* is too elusive to pin down precisely, his remarks do indicate that it depends upon one of two possible conditions: either the tonic is implied without being explicitly stated, or the harmonic motion is “suspended” uncertainly between two keys sharing common chords.

Schoenberg returned to *schwebende Tonalität* some forty years later in the chapter on “Extended Tonality” in his *Structural Functions of Harmony*, where once again he takes “Lockung” as his prime example. This time he provides a Roman numeral analysis of mm. 1–23 and mm. 42–5, and gives four brief examples illustrating how dominant ninth chords in the song are transformed through elaboration and substitution.<sup>5</sup> His complete example is reprinted as Example 4.1. Noting that the tonic E flat is consistently in competition with the submediant C, Schoenberg observes:

Perhaps the most interesting feature of this song, as mentioned in my *Harmonielehre*, is that the tonic, E<sup>b</sup>, does not appear throughout the whole piece; I call this “schwebende Tonalität” (suspended tonality). Many parts of the song must be analyzed in the submediant. The contrasting modulatory section, mm. 32–41, uses for a retransition [i.e. modulation back], the segment mm. 5–10 in mm. 42–7. This is analyzed in e) in the submediant and subtonic. It begins (in m. 42) and ends (45–6) at the same chords as mm. 5 and 8–9 respectively. The fine point is that this similarity is produced in spite of the transposition of the melody a half-step higher (mm. 42–4). Accordingly all degrees are one step higher.<sup>6</sup>

**Example 4.1** Schoenberg's analytical example for "Lockung," Op. 6, No. 7. Schoenberg, *Structural Functions of Harmony*, ed. L. Stein (New York: W. W. Norton, 1969), 112–13

122.

1 2 3 4 5

6 7 8 9 10 11 a) 12

13 b) 14 15 16 17 18

19 + free auxiliary 20 c) 21 22 d) 23 24–41 etc.

42 43 44 e) 45 46 etc.

(T) (See 122e for analysis)

## Example 4.1 (cont.)

## Analysis of ms. 42–45

Schoenberg's Roman numeral analysis may seem to suggest that two keys – C minor and E flat major – are simultaneously expressed in “Lockung”, and that the tonal motion might ultimately tip in either direction; but it seems clear that he did not have anything in mind resembling a “dual-tonic complex.” Neither *Harmonielehre* nor *Structural Functions* ever refers to “equal” tonics: E flat alone is the principal center.

It is not surprising, however, that Schoenberg's theoretical ideas were adapted by subsequent analysts and applied to a variety of late tonal works, including his own. His conception of a more flexible, contextually defined, and directionally ambivalent tonality offered a useful new way of thinking about chromatic compositions of the late nineteenth and early twentieth centuries. Difficulties result, however, when his generalized comments are hardened into a rigid theoretical principle – namely the dual-tonic complex. Of course tonic pairings do sometimes occur, producing pieces that retain tonal ambiguity until the end, when one key is chosen as final tonic; but such cases are, in my view, rare, at least in shorter pieces.<sup>7</sup>

The analytical problem is illustrated by “Lockung” itself. Example 4.2 provides a monotonal analysis constructed along Schenkerian lines (though only in general conception and notation, not in many basic assumptions). The song's AABA form, along with significant subdivisions, is indicated above the analysis, and measures are given below, with those beginning formal units circled. For purposes of clarity, enharmonic spellings are used at certain points in the graph and registers are occasionally simplified. The analysis indicates that the overall tonal motion is controlled primarily by a prolongation of B flat as dominant of E flat. True, this B flat is significantly

## Example 4.2 Analytical Graph of Schoenberg: "Lockung," Op. 6, No. 7

mm. ① 2 3 4 ⑤ 6 7 ⑥ 9 10 11 14 ⑬ 17 18 19 ⑳ 21 22 23 ㉔ 31

**A<sup>1</sup>** a<sup>1</sup> **A<sup>2</sup>** a<sup>2</sup> b<sup>2</sup> a<sup>2</sup>

**C:** V<sup>7</sup> ——— iv<sup>3</sup> ——— V<sup>7</sup> ——— vi<sup>7</sup> ——— V<sup>7</sup>  
**E<sup>b</sup>:** ——— ii<sup>3</sup> ——— V<sup>7</sup> ——— iv<sup>3</sup> ——— V<sup>7</sup>

31 ㉔ 33 34 35 36 37 38 39 40 ㉔ 43 44 ㉔ 46 47 ㉔ 50 52 53 54 57 58 59 60-65

**B** **A<sup>3</sup>** a<sup>3</sup> a<sup>3</sup> a<sup>3</sup> a<sup>3</sup>

**B:** I ——— V ——— VI ——— I  
**E<sup>b</sup>:** (V<sup>7</sup>) ——— VI ——— IV ——— V<sup>7</sup> ——— I

elaborated by secondary dominant prolongations, of C minor in the first two A sections and of B natural (= C flat) major in the B section. But since all three A sections are directed toward V of E flat, with the last resolving to the tonic, the song as a whole asserts only one key: all significant linear and harmonic motions ultimately unfold a single tonality. Moreover, E flat is the *only* possible key, a point supported by the close correlation between this key and the song's formal layout.

## II

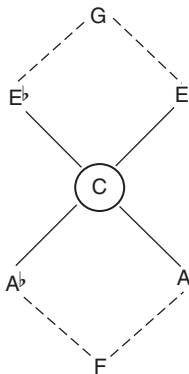
Though I will return to "Lockung" later, I now want to turn to two articles that have played seminal roles in developing the dual-tonic idea. The first is Bailey's own groundbreaking essay on *Tristan*, in which he first formulated at

some length his new “principle of later nineteenth-century chromatic tonality.”<sup>8</sup> Bailey cites several compositional developments that influenced its emergence: free modal mixture, structural chromatic voice-leading, chord substitution in semitone-related progressions, cadential progressions other than V–I (especially iv–I), and directional symmetry in standard two-chord progressions (IV–I becoming “equivalent” to I–V, for example).

Though Bailey’s new tonal principle does not completely do away with traditional tonal functions, it fundamentally transforms their meaning by locating them within a system of third relationships. As the following passage explains, the traditional tonic–dominant axis gives way:

to a new system with polarities based on the interval of a third. For any given tonic, there are four possible thirds – the minor and major third above, and the minor and major thirds below. Extension beyond these particular thirds in either direction can be accomplished in two different ways. The first possibility is to progress on to V (in the upward direction) or to IV (in the lower direction):

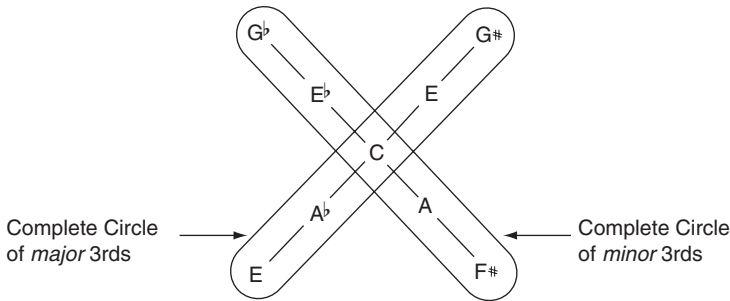
Example 4.3



In this case, the tonality based on V frequently *functions* not as the dominant but rather as the III of III. Similarly, the tonality based on IV often *functions* not as the subdominant but rather as the VI of VI.

The alternative is to work only an axis of thirds of the same quality (major or minor), perhaps even to the point of making a complete circle of major or minor thirds:<sup>9</sup>

## Example 4.4



Though Bailey says nothing about the limitations of his new tonal system, it obviously applies only to certain works of the chromatic tonal repertory; it does not represent a “common practice” in any sense comparable to functional tonality. Nevertheless, one can understand why its emphasis on third motion encouraged a more emphatic formulation of the multiple tonic idea: unlike fifth motion, motion by thirds is traditionally understood as directionally neutral, with neither of its two components necessarily being functionally prior. But this still leaves open the basic question: has fifth centrality, as Bailey maintains, really been usurped in most chromatic music?

An answer obviously depends on how particular pieces are organized. And since Bailey chooses as his main example Wagner’s *Tristan und Isolde*, in particular the Prelude and Transfiguration, and refers to it as “the first work to present these new relationships systematically,” it provides a useful starting point. Although, significantly, Bailey does not himself ascribe a double-tonic function to the Prelude, considering it to be basically in A, he does say that “the entire first act” of the opera has an “A/C complex . . . as the controlling tonic” and that the Prelude “establish[es] the close duality between A and C.” Indeed, the Prelude’s first two phrases, directed toward the dominants of those keys, already adumbrate this duality and its ending “prepares the eventual shift of emphasis to C” for the opening of Act I.

Though this in itself seems unproblematic, Lewis, in an article following up on his former teacher, extends the tonic-complex idea to encompass the *Tristan* Prelude itself: “We understand [the Prelude’s] essential tonal issue [to be] the pairing of the tonics A and C,” a “background progression . . . reflected in the musical texture from the opening measures.” Further, “an analysis that reduces one of the implied tonics to the role of a decorative element will misrepresent the background duality.”<sup>10</sup>

Although I do not want to dwell on *Tristan* here, a word about the Prelude’s tonal organization may be useful. First, the functions of the two keys A and C are hierarchically distinct from one another. In addition, the conflict between them participates in a more richly detailed tonal structure than a dual-tonic conception can accommodate. In the Prelude’s very first



section (mm. 1–17), A is already clearly prior. The two sequential opening phrases mentioned by both Bailey and Lewis, though directed toward V of A and C, are followed by a third, directed toward V of E; and this goal is prolonged three times as long as the previous two. Its V, moreover, “resolves” back to V7 of A, which then moves to F major (VI) at the Prelude’s first major tonal arrival, a deceptive cadence articulating its first tonal-melodic segment as a comprehensive unit in A. A’s centrality becomes even more evident when the dominant E returns to initiate the long climactic section (mm. 63–73), where it appears at its beginning (mm. 63–70) and again at its end (m. 73), delineating another extended V prolongation. Other contrasting keys are also significant. E major appears off and on throughout, and in many respects is as important as C; and D minor and E flat minor are also prominent. To reduce the “essential tonal issue” to a single pair of tonics, then, is to rob the music of its tonal richness, for which all keys – A, C, E, D, and E flat – are critical. Nevertheless, only one is primary. Until the final modulation, for example, the supposed paired C major appears exclusively “in transition,” associated solely with internal segments located within larger formal units centered on other pitches.<sup>11</sup>

### III

Lewis’s over-reliance on the double-tonic complex becomes even more evident when his article addresses its main concern: the tonal music of Schoenberg. “Lockung,” which not surprisingly once again provides a central example, is now said to be “structured around a primary complex of E<sup>b</sup> and C, with an extended diversion to B (C<sup>b</sup>).” Although there is no question of the importance of these keys (or of B’s relative subordination to the other two), C and E flat cannot be taken as equally primary. Lewis seems to be misled by a false assumption: that “post-Wagnerian” tonal music “differs from . . . earlier [tonal music] not only in its effects and vocabulary, but in the very essence of its conception.” Thus, “in this music apparent surface details become so important in foreshadowing and creating certain aspects of the tonal relationships . . . that they become, in effect, another dimension of the background itself.”<sup>12</sup> Melodic embellishment, in other words, is considered equally important to its harmonic support – even though traditionally such embellishment has always been taken as surface manipulation of a more fundamental harmonic base. If this claim were true, then chromatic and diatonic tonality would indeed be fundamentally different; but virtually all triadically based tonal music, including “Lockung” (as the graph reveals), preserves unmistakable hierarchical distinctions between harmony and voice leading.

Lewis makes a number of convincing and useful observations about the non-harmonic, or “motivic,” aspects of “Lockung,” which, considered purely from that perspective, point to the significance of the song’s two other keys. But here these are combined with harmonies that define a pervasive E flat tonic. Lewis even acknowledges that the melodic passages he has in mind “serve simply to decorate the dominant of E flat,” but then incorrectly infers that, since a second key is motivically suggested, both keys are actually present simultaneously, one melodic and one harmonic, and are thus equal in importance. The mere melodic reference to a foreign key, even when carried out as consistently as here, does not make that key essential – a point supported by the presence of numerous comparable simultaneous references in common-practice music.

Thus even though Schoenberg is correct in saying that “Lockung” has two areas – E flat and C – that compete with one another, this does not mean that these keys perform analogous functions. Returning to Example 4.2, the analysis shows that the E flat-defining harmonic goals coincide with the endings of the three A sections; and the contrasting B major segment closes with a deceptive cadence to vi of B, which is then reinterpreted enharmonically as IV of E flat when A returns. The C minor prolongations that begin the first two A sections are undeniably important (they even support the structural top voice *g*’); but they are ultimately incorporated into motion directed toward V of E flat, and are thus separate from the song’s most significant formal goals.<sup>13</sup>

This does not mean that there are no conflicts and ambiguities in “Lockung”. It is significant that all the A phrases begin away from the tonic, so that they must all work their way toward it, producing a more continuous formal-tonal type (increasingly common in nineteenth-century music).<sup>14</sup> This feature causes Schoenberg (as noted) to view mm. 42–7 as a retransition despite the return of opening melodic material, some of it at pitch. It also explains why “pivot” chords, all but one redirecting motion toward E flat, play such a prominent role (see the boxed chords below the analysis).<sup>15</sup>

The relatively unstable harmonic-linear structure (see Footnote 13) joins the skittish quality of the vocal and piano writing to reflect the sardonically playful cat-and-mouse imagery of Kurt Aram’s text. The top voice especially contributes: until its final note (m. 60f), the structural *g*’ is associated solely with C minor’s dominant (mm. 4–6, 19, 51–3) rather than with E flat; and even when finally joined with E flat harmony at the end (mm. 60–65), it sounds only while the accompaniment continues to prolong the dominant, its tonic support withheld until the voice has dropped out. Since the only previous E flat triad (mm. 50–51) is joined with D flat (as Schoenberg notes), stable support is denied until the final measure; and there it is only

implied. This helps account for the song's text-related instability, its evocation of motion despite the static top voice.

The first two A sections of "Lockung" do exemplify one meaning of *schwebende Tonalität*: after being "suspended" between two keys, tonality is clarified as the music achieves its formal goals. All but one belong to this type (the exception being the finale of Schumann's Piano Quintet) and are thus ultimately monotonal. Of course all the pieces mentioned by Schoenberg have well-established secondary key areas, played off against the tonic (for example, the extensive C major passages within the E minor of Beethoven's Op. 59, No. 2/i). But so do all classical sonata forms. The main difference would seem to be that in *schwebende Tonalität* the most important keys, in addition to being third or second (rather than fifth) related, are played off against one another *within*, rather than between, formal units.

#### IV

Lewis's analysis of a second Schoenberg song, "Traumleben," published in the same collection as "Lockung" but composed two years earlier (1903), provides a different but equally instructive example. Here, however, monotonicity is even more pronounced: despite extensive chromaticism, the song hardly strays from E major. Yet Lewis again finds a "background and foreground exploitation of a double-tonic complex," in this case E and F.<sup>16</sup> He is right to recognize the significance of F, which influences many details and strongly colors the whole. But it hardly competes for primacy as a key. Thus when the vocal line arpeggiates an (enharmonically spelled) F major triad in m. 2, it is harmonized within an unambiguous E context; and even when this figure returns in the reprise, harmonized in F major (m. 22f), that key appears only fleetingly.

The larger tonal orientation is again clarified if one considers the overall form: ABA' plus Postlude. Example 4.5, another quasi-Schenkerian two-level monotonal graph (in which the two Postlude levels are placed side by side to save space), indicates that each A section has two phrases, designated a and b; and that the B section opens with a varied repetition of b, so that it appears to be a variant of A, but whose end is then tonally deflected and followed by a new extension c. The overall tonal structure closely conforms. All four A units cadence on E: mm. 4, 9, 25, and 31; and though phrase b in the B section is redirected to a C dominant seventh (m. 14), its extension c – and thus close – returns to yet another E chord, this time with lowered seventh (m. 19).

Though Lewis states that the function of the voice's enharmonically spelled F major triad in m. 2 "is clearly to announce the other member of

Example 4.5 Analytical Graph of Schoenberg: "Traumleben," Op. 6, No. 1

The analytical graph above the score identifies the following pitch classes and measures:

- A<sup>1</sup>**: a<sup>1</sup> (measures 1-3), b<sup>1</sup> (measures 4-7), c<sup>1</sup> (measures 8-14)
- B**: b<sup>2</sup> (measures 15-19)
- A<sup>2</sup>**: a<sup>2</sup> (measures 20-24), b<sup>3</sup> (measures 25-31)

Harmonic structure below the staves:

- Measures 1-3: E : V — I
- Measures 4-7: I
- Measures 8-14: I
- Measures 15-19: V — (I)
- Measures 20-24: I
- Measures 25-31: I

Postlude (measures 31-35): I

the complex,” F is undeniably subordinate. The m. 2 line, for example, is subsumed within a tonic-oriented progression, V4/2–I6–aug.6th–V/V–V7–I (mm. 1–4), within which it helps to form the aug.6th–V/V portion (consistent with its spelling). Moreover, there is no hint of F as a key during the entire first section. Following this E progression in phrase a, the first b unit also asserts E: vii6/5–I in mm. 6–7, followed by a plagal continuation with mixture, IVb7–I, in mm. 8–9. Consistent with traditional models, the B section is less stable. Though its first phrase begins like its predecessor, repeating the vii6/5–I in mm. 11–12, it then moves (more tentatively) toward Cb7, suggesting a shift toward F (as Lewis feels). But that possibility is undermined when the chord first alternates ambiguously with an A dominant seventh (resembling the IV chord of m. 8), and then becomes an augmented sixth leading to V of E (m. 18), which continues sequentially to IV before closing on E (as V7 of IV) in m. 19.

This entire B section is unusual by any standard, not least because it begins and ends with an E chord. It brings us, moreover, over halfway through the song without a tonicization of F, despite the pitch’s melodic prominence. (F provides, for example, the highest note of a recurring piano figure heard in mm. 4 and 9 (later in mm. 25 and 31), each time calling forth an E–F bass response.) This emphasis no doubt suggested Schoenberg’s reharmonization of the first phrase in F major at mm. 21–3. But as noted, this new orientation is fleeting, and it is ambiguous: the F chord is in 6/4 position and approached circuitously following the arrival on E7 in m. 19. The ambiguity of both this E and F allows the return to E major in mm. 24–5 (by way of another C7) to sound like a convincing resolution instead of a mere redundancy. Unlike the previous E and F chords, the E chord at m. 25 is essentially a pure triad in root position; and its cadence recalls features of cadential progressions from the first A section (compare mm. 24–5 with mm. 3–4 and 8–9).

F returns again at the song’s climax (m. 29), again briefly tonicized, but only as a momentary Neapolitan that cadences safely back on E two measures later. Indeed, the E orientation is especially strong from m. 25 on: I (m. 25)–VII6/5 (m. 27)–I (m. 28)–IV (m. 29)–I (m. 31). F is again prominent in the Postlude, but only melodically, elaborating the tonic E in mm. 32 and 34. With so much E emphasis, even the C6 chord in m. 34, preceding the final elaborating F chord, sounds less like a tonicizing dominant than a tonic substitute.<sup>17</sup>

Despite its prominent coloring of the tonic, then, F behaves according to common-practice norms. What is most striking, in fact, is the extraordinary emphasis on the tonic in “Traumleben.” All six cadences, closing each of the four A subphrases, the B section, and the Postlude, end on E chords. Indeed, it is difficult to think of a comparably chromatic tonal composition with so much tonic saturation.

Schoenberg's surprising decision to return to E with a lowered seventh at m. 19, at the end of the middle section, is, I believe, part of his plan for reinterpreting the opening voice phrase in F major at m. 22. The cadence on E7 brings the following F tonality (mm. 21–3) into immediate association with the tonic pitch; and though the E in m. 19 is not a tonic, it creates a strong bond with the E cadence at the next arrival, m. 25, even anticipating its plagal character.

But why does Schoenberg emphasize the tonic in such a persistent manner? One answer may be that it offers a way to compensate, through concrete tonic emphasis, for the almost complete absence of functional V–I cadential progressions (there are none after m. 4, though internal ones appear in mm. 7, 12, and 28). Even at this stage Schoenberg is inclined to substitute contextual associations for conventional ones, above all at cadential points.

Yet despite their apparent overabundance, the tonic cadences in “Traumleben” never sound formulaic. Of the six main cadences on E, only the first has a traditional dominant-tonic progression; the others are all plagal, using a form of IV–I (mm. 8–9 and 18–19), bVI–I (mm. 24–25 and 30–31), or bII–I (mm. 34–5). In addition, the cadences are linked by motivic correspondences: all but those at mm. 19 and 31 have syncopated rhythms in the penultimate measure; and all conclude on the downbeat with unaltered root-position tonic chords with third or fifth in the top voice, avoiding the tonic as a linear goal.<sup>18</sup> The four with G sharp in the soprano share additional features: this note is approached by an at least partly chromatic rising line in the piano (at times doubled by voice) and, except for the cadence at m. 4, the final G sharp is preceded by F double sharp (spelled G natural), duplicating a chromatic relation first heard in the tenor voice of the piano in m. 3. This produces a contextually established, key-defining “norm” that, far more than a competing key, accounts for the special character of the tonality of “Traumleben.”<sup>19</sup>

## V

Toward the end of Lewis's article, he quotes Schoenberg's *Harmonielehre* at length to support the double-tonic idea.<sup>20</sup> All but two of his quotes are taken from the section considered at the beginning of this chapter, where we have seen that Schoenberg does not claim that “Lockung” – much less “Traumleben” – has two equal tonics. The final two are taken from an earlier chapter, on modulation, and give the last two of four modulatory “functions” listed by Schoenberg.<sup>21</sup> The first (Schoenberg's third) deals with “suspended tonality”: “From the outset the tonic does not appear

unequivocally,” which allows “the victory to go to one of the rivals.” Even if this suggests the possibility of two equal tonics, whether that actually occurs will depend upon where, and how consistently, the goal tonic appears. And the E flat goal in “Lockung” is evident early on (by the end of the first A section) and its primacy remains unchallenged, while the tonic of “Traumleben” is never in question from the beginning. The final quote states: “The harmony is nowhere disposed to allow a tonic to assert its authority. Structures are created whose laws do not seem to issue from a central source (*Zentrum*); at least this central source is not a *single* fundamental tone.” This is admittedly suggestive, seeming to support the double tonic idea; but it seems to apply more to atonal music (also discussed in *Harmonielehre*) than tonal music. In that light, Schoenberg’s four modulatory maxims are, significantly, not offered to explain particular examples (there are none) but to make a more abstract point about grades of modulatory practice, no doubt with the intention of supporting his own recent turn toward atonality.

Finally, regarding the analytical graphs of “Lockung” and “Traumleben,” whereas in the former middleground prolongations of C minor (through its dominant) are evident, the latter reveals no significant F prolongations at all. Does this mean that the prevalent F-natural features of “Traumleben” must simply be ignored? Obviously not. But graphs such as these, focused on larger tonal organization, are ill-suited to reveal features that, whatever their prominence otherwise, are largely played out on the music’s surface. The importance of F natural as an associational feature has little impact on the larger syntax; and it is thus better left to other kinds of graphs or to verbal analysis. This limitation is unavoidable, since no analysis can be fully comprehensive. And what is finally most distinctive tonally about “Traumleben” is how weakly F (or any other subordinate key) is articulated as an independent area. Paradoxically, the song is “progressive” – a favored Schoenbergian word – precisely because, as if in denial of its chromaticism, it clings so desperately to its tonal moorings.