## Coherence vs. Disunity: The Opening Section of Mozart's Fantasy, K. 475

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The C minor Fantasy for piano (K. 475), written in 1785, is the only completed work titled <u>Fantasy</u> by Mozart himself. Critical discussion of the piece mirrors its singularity in his <u>oeuvre</u>: Felix Salzer, for example, calls it "one of the boldest musical comceptions in the entire literature." For Alfred Einstein, the Fantasy attests Mozart's "ability to indulge in the greatest possible freedom and boldness of imagination, the most extreme contrast of ideas, the most uninhibited variety of lyric and

¹There are two other works so titled, both fragments: K. 383C (Anh. 32) in F minor, for keyboard, and K. 616a (Anh. 92) in C major, for glass harmonica, flute, oboe, viola and cello. The title of the popular D minor Fantasy for piano, K. 385g (397), may not be Mozart's at all; and the so-called fantasy which introduces the C major fugue for piano, K. 383a (394), was called Prelude by Mozart. For further information, the reader is directed to the entries in Koechel's catalog, Chronologisch-thematisches Verzeichnes saemtlicher Tonwerke Wolfgang Amadé Mozarts (sixth edition, Wiesbaden: Breitkopf und Hartel, 1964).

<sup>&</sup>lt;sup>2</sup>Structural Hearing: Tonal Coherence in Music (New York: Boni, 1952), volume I, 251.

virtuoso elements, while yet preserving structural logic." Like Einstein, many writers marvel that the music, characterized by sharp contrasts, maintains a fundamental coherence at the same time. The critical consensus on the piece can be fairly represented by Hans Dennerlein's statement that "it fuses multiple impulses and formal elements into one large work nourished by the greatest depth of feeling." 4

The hyperbolic language in these remarks is typical of the literature on the Fantasy; it is especially notable in discussions of the opening section. Saint-Foix, for instance, speaks of "astonishing, prodigious modulations"; Abert responds to a "reverie of wonderful profundity, which glides off in chromatic passing motion with extraordinary boldness through the most distant keys, and which emphasizes the principal stations of the wandering by means of a wild sforzato." The entire section, according to Hans David, "displays an extraordinary irregularity of bass-line progression, but each deflection is so fully supported by corresponding changes in other elements that the result is an impression not of wilfulness but of mysterious profundity."

Extraordinary irregularity of the bass line, astonishing modulations through the most distant keys--these are hardly common characteristics of Mozart's harmonic practice. In fact, one generally associates this kind of activity not

<sup>3</sup> Mozart: His Character, His Work (translated by Arthur Mendel and Nathan Broder, London: Oxford University Press, 1945), 246-247.

<sup>4&</sup>lt;u>Der unbekannte Mozart: Die Welt seine Klavierwerke</u> (second edition, Leipzig: Breitkopf und Hartel, 1955), 209. "Es bedurfte eines Mozart, um die mannigfaltigen Anregungen und Formelemente zu einem aus groessten Gefuehlstiefen gespiesten Grosswerk zu verschmelzen." (My translation.)

<sup>5</sup>Georges de Saint-Foix, Wolfgang Amédée Mozart: Sa vie musicale et son oeuvre (Paris: Desclée, Brouwer et Cie., 1939), volume IV, 101. "Ce qui marque d'une façon indubitable qu'il s'agit bien ici de l'imprévu d'une libre fantaisie, ce sont les étonnantes, les prodigieuses modulations." Hermann Abert, W. A. Mozart (sixth edition, Leipzig: Bretikopf und Hartel, 1924), volume II, 160. "Und nun spinnt sich . . . eine Traeumerei von wunderbarem Tiefsinn an, die in chromatischer Durchgangsbewegung mit ausserordentlicher Kuehnheit durch die entlegensten Tonarten dahingleitet und die Hauptstationen der Wanderung durch ein wildes Sforzato Hervorhebt." (My translation.)

<sup>6&</sup>quot;Mozartean Modulations," <u>Musical</u> <u>Quarterly</u> XLII/2 (April 1956): 210.

with musical order and intelligibility, but rather with confusion and ambiguity. What is it, then, that preserves the musical sense from disintegration as the piece unfolds? How is it that the unusual musical discourse does not become nonsense, ultimately losing the listener?

These questions will serve as the point of departure for my study. I shall undertake to show how the section coheres as a univocal whole, to discern its own microscosmic "structural logic." This demonstration will serve in turn as a basis for exploring precisely how the music  $\underline{\text{resists}}$  such a univocal and integral conception.

The opening section of the Fantasy, measures 1-25, is reproduced in Example 1. My analysis of this music is guided by the fact that one kind of fantasy, the free fantasy, was understood in Mozart's time as the improvisatory elaboration of a bass line.  $^{7}$  While the opening section of K. 475 is measured, unlike a free fantasy, it is nonetheless improvisatory in character. Accordingly, I have represented the harmonic progression in measures 1-25 as a figured bass line in Example 2a. This line moves exclusively by half step, with no submetrical changes, until measure 18. Here it moves within the measure by perfect fourth, alternating between G and D. Because G occurs on a stronger part of the measure than D, this alternation constitutes a kind of auxiliary gesture extending G through measure 21. measures 22-25, F# is similarly extended: it alternates submetrically with B, and once with E#, always occuring on a stronger part of the measure. Example 2b, a metrical reduction of Example 2a, omits submetrical auxilliary gestures of this sort; the figures are realized as well, on a single staff for the sake of convenience. Example 2b shows that the metrical bass line proceeds exclusively by half step.

<sup>7</sup>c. P. E. Bach's discussion of the free fantasy in this regard is notable. The <u>Versuch ueber die wahre Art des Clavier zu spielen</u> (Leipzig: C. F. Kahnt, 1925; 120, §1), first published at Berlin in 1753, contains a chapter on the free fantasy, according to which such a piece consists of "various harmonic progressions which can be expressed in all manner of figuration and motives." To conclude the chapter, Bach shows how a free fantasy may be evolved from a bass. He provides both the bass and the entire fantasy, inviting the reader to compare the piece with the framework from which it took shape. (In William Mitchell's translation of Bach's work, <u>Essay on the True Art of Playing Keyboard Instruments</u> [New York: Norton, 1949], the relevant passage occurs on page 430, and the relevant musical figures are 479 and 480 on pages 442-445.)



Example 1, continued.



To understand this entire progression as a whole, now, it will be helpful to discern some kind of hierarchical structure, a structure controlled, so to speak, by certain salient harmonies in the progression. Three aspects of the music—the contour of the bass line, the duration of its members, and changes in texture—seem particularly important as determining the structural shape of the passage. Accordingly, other signs have been added to Example 2b to highlight these aspects of the music. The winged brackets indicate that a member of the bass line is sustained for more than one measure; the arrows signify changes of direction in the line. Dotted barlines indicate changes in texture.

It is readily apparent that all brackets are accompanied by arrows. That is, the bass line changes direction immediately after one of its members is extended. One observes also that each arrow always coincides with, or immediately follows, a dotted barline. That is, each change in direction is accompanied by a change in texture: the breaking of a pattern occurs either at encounter of these pivotal members of the bass line, or during their tenure.<sup>8</sup>

Example 2b shows, then, that five members of the bass line are brought into relief by the joint action of linear contour, extended duration, and changes in musical texture. Ab of measures 5-7 supports a Db triad, extended by a neighboring seventh chord in measure 6, B of measure 10 and F# of measures 16-17 both support B triads; G supports a G triad in measures 18-20, to which an augmented sixth is added in measure 21; and F# supports an F# triad in measures 22-25.9 The harmonic progression supported by these members of the bass line is spelled out on Example 2c.

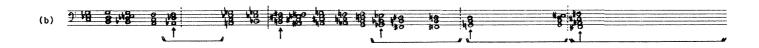
The annotations on Example 2c indicate a possible reading of this large-scale progression. The opening C minor harmony is the tonic. The six-four which follows is understood as a functional harmony, a secondary dominant pointing to the F# harmony at the end of the progression. This F# five-three harmony,  $V\#/\mbox{VII}$ , is itself delayed by a six-four on F# during measures 10-17. The G harmony of measures 18-21 is a neighbor which delays the progress of the six-four to the five-three. Note that the bass of the six-four materializes under that harmony only at measure 16, 6 measures after the other members of the harmony first sound.  $^{10}$ 

<sup>&</sup>lt;sup>8</sup>The reader will recall David's observation cited in the second paragraph that "each deflection [of the bass line]... is supported by corresponding changes in other elements."

<sup>9</sup> am treating the six-chord in measure 15 as a passing harmony, the reasons for which will soon become clear.

<sup>10</sup>The bass of the six-four in fact materializes in







Examples 2a-c: The harmonic progression of measures 1-25 as an elaboration of the progression shown on Example 2c.

Unconventional as the progression in Example 2c is (to say nothing of the way it is actually composed out!), it proceeds in a syntactic and continuous manner, as the annotations show, and it has an unambiguous harmonic profile. Furthermore, as the analytic method asserts, there is an essential connection between this reading and the progression actually heard. In other words, Example 2c shows how the opening section of the Fantasy makes unequivocal harmonic sense, conveying perhaps one aspect in microcosm of the "structural logic" Einstein appreciated.

Two qualifications, however, must be noted here. First, the interrelationships among the first four harmonies in Example 2c are not constellated until the F# harmony appears in measure 22. The role of the B five-three harmony as a foretoken, so to speak, of a six-four; the role of the G harmony as a neighbor chord, not the dominant of referential C minor--these are crystallized, as the progression unfolds in musical time, only at measures 22ff. by the F# harmony. According to this idea, the large-scale harmonic sense of the passage is obscure during measures 10-21. During these measures, one is left to one's own conjectures and one's faith that the large harmonic sense will ultimately become clear.

Second, the obscurity of the large harmonic sense in these measures is compounded by an enharmonic conflict, one which is actually reflected by the spelling of Example 2c itself. The second harmony in the example, as an applied dominant with a Db root, rightfully points to a harmony with a Gb root; but the reading -- which corresponds to Mozart's spelling--has F#. This kind of enharmonic inconsistency is also apparent in Example 2b, likewise faithful to Mozart's spelling. In this example, the same Db harmony is extended in measures 5-7 over Ab in the bass. In the following two measures, the bass ascends by half step, supporting passing harmonies to which Eb and Gb belong. Retained as chord tones in measure 10, they help identify that harmony as having a root. On the other hand, Mozart wrote it as the enharmonic equivalent with root Ba. In the referential key C minor, Ba is the leading tone, whereas Cb is foreign. Considered with reference to the "background" key C minor, then, irrespective of its immediate context, the harmonic root at measure 10 is more simply and easily interpreted as Bå than as Cb.

These conflicts come about from two different kinds of "hearing." According to the first kind, which I will call successive hearing, successive harmonies are diatonically related; the listener interprets harmonies in series,

measure 15, but there it supports a minor six-three chord.

relating them diatonically to the ones immediately preceding. Thus, successive hearing tells us that the harmony in measure 10 has root Cb. In contrast, according to the second kind of "hearing," which I will call background hearing, the listener relates a given harmony functionally to a referential key, independently of the progression which introduces that harmony. According to background hearing, the listener associates temporally distant harmonies, against the background of a referential key. Background hearing thus tells us that the harmony in measure 10 has root B. For the present, I shall be concerned with successive hearing; I shall return to consider background hearing later on. 11

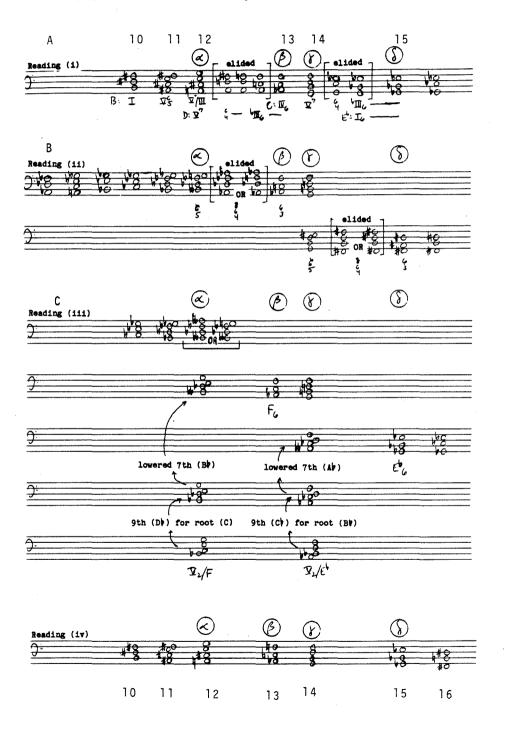
Let us now follow the music as it unfolds from measure 10. As Example 2b shows, the five-three harmony at that measure and the six-four of measures 16-17--both contributors to a single harmony in Example 2c--are linked by a chromatic descent in the bass. Example 3a gives a reading of measures 10-16, beginning with a B harmony, based on successive hearing. It is called Reading (i); harmonic function is designated below the staff. The harmony in measure 12, called alpha in the example, is a dominant seventh on A. 12 As such, it points to D-root chord, bIII/B, in measure 13. Here, however, follows a surprise: the F minor six-chord beta, which cannot be harmonically related to the preceeding A-root chord in a direct coherent way. The two harmonies, however, can be related indirectly: that is, measures 12-13 involve an elision, which produces the discontinuous effect of this harmonic succession. According to this reading, three harmonies are elided: D major, D minor, and F major.

The F minor six-chord proceeds to the G dominant seventh in measure 14, called gamma in the example. Together, these two harmonies suggest a C minor key sense, in which they are  ${\rm IV}^6$  and  ${\rm V}^7$ , respectively; they point to a C minor harmony in measure 15. With the substitution of the Eb minor six-chord delta for the appointed C chord at that measure, however, a descending sequence emerges: the progression gamma-delta of

<sup>11</sup>For a more thorough discussion of successive hearing and background hearing, see R. Atlas, "The Diachronic Recognition of Enharmonic Equivalence" (Ph.D. diss., Yale University, 1983), 55-65, 86-95.

<sup>12</sup>The use of a conventional letter name, such a A, traditionally imputes a particular degree function to a pitch. This imputation will often be undesirable in the following discourse. I have therefore named the harmonies in measures 12-15 after Greek letters, and use Roman letters when I wish to specify degree function.

Example 3. Four individual readings of measures 10-16.



measures 14-15 parallels alpha-beta of measures 12-13. Measures 14-15 thus also involve an elision; here a C minor and an Eb major harmony are omitted. This reading, which maintains successive hearing, arrives in measure 16 at a Cb six-four chord. The Siamese twin to this harmony in Example 2c, however, the pivotal harmony which begins the bass descent at measure 10, has root B! The progression in Reading (i) thus wraps enharmonically back on itself.

Reading (i), which shows how the progression unfolds in a syntactically sensible manner and accounts for its disjunct moments, is not the only possible interpretation of this passage. Reading (ii) in Example 3b interprets alpha and gamma as augmented six-five chords. As in Reading (i), the discontinuous effect of the parallel progressions in measures 12-13 and 14-15 is ascribed to elision. Here, however, the omitted harmonies are different. I have given the harmony in measure 10 a Cb root for the sake of notational expediency; the reason for doing so will become clear shortly.

To understand Reading (ii), let us recall from Example 2b the prominent role that the Db six-four harmony of measures 5-7 plays in the harmonic profile of the opening measures. Its tendency to proceed ultimately to an Ab harmony, intensified by the intervening Ab harmony in measure 6, is not fulfilled there. In the following measures, no strong tonal center is established because of the voice leading. Consequently, when the interval between the outer voices of alpha is approached by contrary semitone, it might reasonably be expected to proceed by contrary motion itself into a Db six-four chord, hearkening back to the one extended in measures 5-7. The six-four chord never materializes, but the F minor harmony in measure 13, its unexpectedness notwithstanding, may be understood as a transformed substitute for the six-four. In particular, as Example 3b shows, Db and Fb (or Fg) from the elided six-four are understood to proceed in measure 13 to C and Ft, respectively. Coming on the heels of the F minor six-chord, as observed above, gamma in measure 14 is encountered as a dominant seventh on G. When delta occurs in measure 15, however, the parallelism between measures 14-15 and measures 12-13 emerges. As a result gamma, analogous to alpha in the sequence, is itself reinterpreted as an augmented six-five chord on G, shown on the lower staff of Example 3b. The B minor (or major) six-four to which gamma applies is elided; the delta harmony in measure 15, a transformation of the elided B harmony, is a D# minor six-chord. Here, B and D# (or D#) from the "ghost" six-four are understood to proceed

in measure 15 to A# and D#, respectively.  $^{13}$ 

Following the D# minor six-chord delta on Reading (ii), the six-four in measure 16 is a B triad. But this harmony is enharmonically variant from the homonymous Cb chord in measure 10 of this reading! Furthermore, Reading (ii) and Reading (i) in Example 3a unfold in opposite tonal directions! Whereas the progression of Reading (i) moves in the flat direction, that is from Bb to Cb, the progression of Reading (ii) moves in the sharp direction, that is from Cb to Bb.

Readings (i) and (ii) are based on interpretations of alpha as an applied dominant seventh or an augmented six-five harmony, respectively, interpretations that are set up by the preceeding music. This is not the case with Reading (iii) in Example 3c, which is based on a series of descending sixths. This reading is unique in that all harmonies are consecutively related—there are no elisions. Here, alpha and gamma function as altered applied dominants to beta and delta, respectively. In the lower staves of the example, the alteration of the applied dominants is shown. Furthermore, in this reading, both these harmonies are reinterpreted over the course of musical time.

For the listener, Reading (iii) first comes into its own with the appearance of the F minor six-chord at measure 13. In order to integrate this jarring event into the musical

<sup>130</sup>n page 36l of their <u>Harmonielehre</u> (Stuttgart: C. Gruniger, 1924), Rudolf Louis and Ludwig Thuille give an interpretation of this passage which combines features of Readings (i) and (ii). They identify the progression alphabeta-gamma-delta as V/D-IV/C-V/C-IV/Bb minor, as in Reading (i). On the other hand, they point out that gamma behaves also like an augmented six-five, proceeding to III/B. In contrast to my reading in Example 2c, incidentally, Louis and Thuille imagine that measures 11-16 extend an F# harmony; in their terminology, an "imaginary pedal-point" F# is sustained in the bass through these measures.

Also interesting in this connection is the generalization, made by Eva and Paul Badura-Skoda, that "Mozart's harmonic boldness lies mostly in the surprising juxtaposition of chords which are only indirectly related." They point out in these measures that "Mozart uses a succession of ordinary dominant sevenths and minor [six-chords] over a chromatically descending bass, and achieves an absolutely breathtaking effect without making a single chromatic alteration"--that is, alteration of a dominant seventh or minor six-chord. See Interpreting Mozart on the Keyboard (translated by Leo Black, London: Barrie and Rockliff, 1962), 230.

flow, one reevaluates the initial assessment of the immediately preceding chord alpha as either a dominant seventh or augmented six-five, retroactively identifying alpha as altered  $V_2/F$  on the second staff of Example 3c. Likewise gamma, first encountered as a dominant seventh on G, is reinterpreted as altered  $V_2/Eb$  when the Eb minor six-chord appears at measure 15 and the parallelism between alpha-beta and gamma-delta emerges. Gamma is shown as altered  $V_2/Eb$  on the third staff of Example 3c. Unlike Readings (i) and (ii), Reading (iii) finds no enharmonic discrepancy between the triads in measures 10 and 16.

The three readings of measures 10-16 discussed so far are all based on successive hearing: harmonies in the progression are interpreted serially, related diatonically to the ones immediately preceding. The readings address the linear logic of the progression, independently of the referential key C minor. I have spelled the harmony in measure 10 as a B chord on Reading (i) and as a Cb chord on Readings (ii) and (iii), and I have identified the following harmonies accordingly, to show this logic in the simplest way. The point of my spelling here is not that a particular harmonic root should have a particular degree name in C minor in a given reading, but rather that this harmonic root, however it might be spelled, should relate to the other roots in a way characteristic of the reading. Readings (i), (ii) and (iii) deliberately ignore the activity of background hearing, the tendency to relate harmonies to the referential key C minor, in the simplest, most diatonic way. Given a choice between assigning a harmony a root which belongs to C minor, or its enharmonic equivalent foreign to the key, background hearing prefers the diatonic option.

A reading of the passage based on background hearing, Reading (iv), is shown in Example 3d. Here the harmonic roots are identified as diatonic; the linear connection between successive harmonies is virtually ignored. A B harmony in measure 10 proceeds to an F# six-five harmony, which is followed in turn by a dominant seventh on A. An F minor six-chord in measure 13 proceeds to a dominant seventh on G. The six-chord in measure 15 has an Eb root; the six-four in the following measure is a B triad. All harmonic roots, with the exception of the second, belong to either C minor or C major. The second harmonic root is foreign to the C minor/major system, however it might be interpreted. The listener is led to give it an F# root because the preceding harmony, to which it is the dominant, has root Ba, leading tone in C minor, Reading (iv) thoroughly corresponds to Mozart's spelling.

I have thus demonstrated four possible readings of measures 10-16. Each reading asserts something different about the harmonic progression in those measures. Readings

(i) and (ii), for example, which show elisions, assert that the progression is syntactically disjunct; according to Reading (iii), on the other hand, the progression is syntactically continuous. All three readings address the internal coherence of the passage, revealing a distinct syntactic logic in the progression; Reading (iv), on the other hand, corresponding completely to Mozart's spelling, is controlled by an external factor: it locates each harmony in the referential key of C minor. Readings (iii) and (iv) assert that the triads in measures 10 and 16 are identical. Readings (i) and (ii), on the other hand, maintain that these two triads are enharmonically variant; furthermore, Reading (i) unfolds in the flat direction, whereas Reading (ii) unfolds in the sharp direction.

Each of these four readings is accurate in that it understands the progression in a logical way, hearing the progression from a unique vantage point, so to speak. Yet taken individually, they are all deficient: no single reading addresses the listener's immensely rich and complex experience of this passage. Taken individually, they represent only single dimensions, as it were, of a multidimensional image. On the other hand, just as they are all valid, they are also mutually contradictory: based on a single harmonic progression, each reading is enharmonically distinct. Each one has its own peculiar logic, making its own kind of musical sense; yet as Example 3 shows, the logic of any one reading excludes the logic of the other three.

The entropic quality of the progression -- the fact that it unfolds in such a tonally ambiguous and unintelligible manner--can be ascribed to the coexistence of these several contradictory readings. We should further note contradictory interpretations of harmonies actually within Readings (ii) and (iii) themselves! In both readings, as earlier observed, gamma at measure 14 is encountered as a dominant seventh chord in root position, spelled G-B-D-F on the top staff of Example 3b and the second staff of Example 3c. In Reading (ii), when delta is encountered in the following measure, gamma is reinterpreted as an augmented six-five. That is, the seventh F of the dominant seventh harmony on the upper staff of Example 3b is reinterpreted after the fact as an augmented sixth E# on the lower staff. Similarly, in Reading (iii), gamma is reinterpreted at measure 15 as an altered V2. The chord tones encountered as G and B on the upper staff of Example 3c are reinterpreted on the lower staff as Abb and Cb, respectively. Each reading shows that gamma, heard first acoustically and then in the memory, comes to be spelled two ways. And of course, the two readings reinterpret gamma in distinct ways. In addition, Reading (iii) reinterprets alpha as well. Originally encountered as either a dominant seventh or an augmented six-five chord,

alpha comes to be reinterpreted as altered  $V_2/F$ . Ambiguity is thus found within Readings (ii) and (iii) themselves.

The univocality of Example 2c discussed above acts as a foil to the equivocality of Example 3.14 Whereas Example 2c becomes univocal in measures 22ff., however, the conflict between Readings (i), (ii), (iii) and (iv) is never resolved. There is nothing later in the piece which negates the logic of any one reading. Their collective validity in the memory remains unchallenged; equivocality prevails in Example 3, even when all is musically said and done.

In the light of this analysis, the oft-noted absence of a key signature at the beginning of the Fantasy can be read as a positive assertion about the music, assuming significance well beyond its function as a conventional sign. As Example 2c shows, the passage can be understood as the opening clause of an ultimately tonal utterance in the key of C minor. As we find in Example 3, however, this musical clause fashions from the parts of tonal speech a hypertonal discourse, as it were. Incompatible as these different readings are, they all coexist; in their own proper senses, they are all "true." The network of intractable contradictions contributes to the power of this music, itself the opening passage of a work in which, "despite the occasional moments of clarity illuminating the somber tableau," as Saint-Foix writes, "one can say that no true accord is ever reached: an irreconcilable enemy remains as if hidden, and the sky never achieves lasting serenity."15

<sup>14</sup>In its tension between univocality and equivocality, this music manifests the relation between the diatonic and chromatic systems described by William Mitchell in "The Study of Chromaticism" (Journal of Music Theory 6/1 [April 1962]: 9). Mitchell observes that "the diatonic scale, especially as represented by the major mode, stands as a strong ordering force, while . . . the chromatic scale stands as a marked diffusing force. Chromaticism, or the union of the two forces represents a constant play of the centripetal powers of diatonicism against the centrifugal character of the chromatic scale."

<sup>15</sup> Mozart, 101. "Malgré les éclaircies qui illuminent parfois le sombre tableau, on peut dire qu'aucune détente ne s'y produit: un ennemi irréconciliable y demeure comme caché, et jamais le ciel ne parvient à se rasséréner durablement." (My translation.)