The Musical Psyche: Interactions Between the Theories of Heinrich Schenker and Sigmund Freud

by

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Curriculum Vitae

Nathan Fleshner was born in Houston, Texas on October 16, 1977. He attended Baylor University, graduating with a Bachelor of Music Education degree (1999) and a Master of Music in Music Theory (2005). He earned a Master of Music in Cello Performance from the University of Houston (2001). He came to the Eastman School of Music at the University of Rochester in the fall of 2005 to begin working on a Ph.D. in music theory.
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Bill Marvin has been a tremendous example of what it is to be a scholar and teacher. If it is true that “he or she who knows the most music wins,” then he may in fact be in the lead. My conversations with Daniel Sabbeth have helped to clarify my views on Freud’s psychoanalytic theory as well as their relationship to Schenkerian theory. I am truly grateful for his careful reading of my dissertation. Robert Wason’s seminar on German and Austrian theory was the birthplace of this dissertation. His help with early versions of chapter 4 of this dissertation is greatly appreciated. I am also grateful to Jonathan Dunsby for introducing me to the writings of Adam Phillips and the New Penguin translation of Freud’s works. I must not forget my beagle, Luke. He sat on the porch for many hours, often when it was quite cold, and listened to my innermost thoughts. Most of the earliest ideas of this dissertation went through him. But most importantly, I would like to thank my wife, Sherri, for her many sacrifices and constant encouragement. She is my very best friend and the strongest person I know. This dissertation and degree are hers as much as they are mine.
Abstract

Heinrich Schenker and Sigmund Freud both formulated their theories within the intellectual climate of fin-de-siècle Vienna. Both theories involve searching for the unconscious background of the analytic object and restoring a synthesis in our understanding of the unconscious material and its manifestation at the conscious foreground. In particular, Schenker’s writings often invoke psychoanalytic metaphors, as in his references to procreative drives, phenomena hidden beneath the surface, and even the mysterious psychology of music. Close examination of these two theories shows that they utilize similar analytic constructs, how these constructs engage current problems in music theory, and demonstrates the potential of a Freudian perspective for Schenkerian analysis.

This dissertation builds upon general references made by many music theorists to connections between the works of Freud and Schenker. It addresses four particular similarities between the two theories: 1) the analytic process, 2) the drives that motivate unconscious processes, 3) the process of transformation from unconscious material to conscious manifestation, and 4) the ideological and political purposes to which they are part. Chapter 1 identifies certain analytical techniques that are common to psychoanalysis and music analysis and shows how music analysis can itself be therapeutic. Chapter 2 unravels the ways in which Freud and Schenker both use the word Trieb and the transformations of both psychical and musical drives moving toward their goal of satisfaction. Chapter 3 develops ideas found in the work of Daniel Sabbeth and Matthew Brown and explores the common transformations in Freud’s
theory of dream formation and Schenker’s generative ideas of musical structure.

Finally, Chapter 4 builds on the ideological work of scholars such as Nicholas Cook, Robert Snarrenberg, William Pastille, Leslie Blasius, and others, while exploring how a Freudian perspective can inform an interpretation of Schenker’s ideology.
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Heinrich Schenker wrote his monumental *Neue Musikalische Theorien und Phantasien* (1906-1935) in Vienna at a time when the city was saturated with the theories of Sigmund Freud. In the dream accounts told from the psychoanalytic couch and in the music analyses prepared from the piano bench, Freud and Schenker both observed in their respective disciplinary laboratories internal, organic sources of causation. Since Freud and Schenker conceived of their theories in the same Viennese context, it is not surprising that many Schenkerian theorists over the past century have made allusions to Freud’s conception of the psyche. Indeed, their writings share not only the same Viennese Zeitgeist, but also many philosophical and theoretical arguments. These parallelisms raise important questions for Schenkerian theory. To what extent was Schenker aware of Freud’s work? As Schenker’s writing often references procreative drives and other sexual metaphors, how do Schenker’s concepts such as *der Tonwille* relate both terminologically and conceptually to Freud’s ideas regarding sexual drives? Are there any connections between Freud’s description of dream transformations as they emerge from unconscious to conscious manifestation and Schenker’s description of musical transformations as a composition emerges from unconscious Ursatz to its manifestation at the musical surface? Are there any similarities between the actual processes of analysis involved in Freudian psychoanalysis and Schenkerian graphic analysis?

This dissertation tries to answer these questions by exploring specific Freudian concepts and comparing them to parallel Schenkerian concepts. Similarities between
Freud’s and Schenker’s theories are then demonstrated through a combined Freudian and Schenkerian analysis of specific pieces. A Freudian perspective can not only clarify the cultural context of Schenker’s writing, but also shed light on some of Schenker’s more mysterious and opaque metaphorical writing. Certain common threads can be found between the theories of Freud and Schenker: their resonances with the Viennese Zeitgeist, their parallel theoretical structures, and their complex reception and dissemination especially in English translation. These issues provide an additional impetus for the exploration of interactions between psychoanalysis and Schenkerian analysis.

Viennese Zeitgeist

The turn of the twentieth century was a time of extraordinary change in Viennese history. The rule of the Hapsburgs had been characterized by a vast, multinational empire of which Vienna was the center. However, this empire gradually disintegrated during the reign of Emperor Franz Joseph (1848-1916). Many historians have posited that this disintegration instigated an external uneasiness and a search for internal, self-sufficient strength in the Viennese.¹ This Zeitgeist resulted in a few common themes in the intellectual works of the time, all of which are cultivated in the works of Freud and Schenker. These themes included a move towards introspection, a renunciation of established societal structures, and a fascination with the fringes of society.

The weakening of the empire was perhaps the most significant influence on the Viennese Zeitgeist and caused many citizens to seek strength and stability within

themselves. The fascination with dreams in both the arts and sciences in this period reflected this introspection. During his medical studies, Freud became fascinated with psychical phenomena, though he rejected many of the then current methodologies for the treatment of neuroses. Instead, Freud thought that psychical illnesses could be cured by talking and listening to the patient. Beginning with experiments on his own mind before venturing out to others, he looked inward to the individual’s unconscious thoughts to find the source of a person’s outward behavior. This introspection in Freud’s psychoanalysis reflects a Viennese uncertainty in the empire’s ability to stabilize individual’s lives.

Similarly, as Schenker taught his students how to play particular pieces of piano music, he became fascinated with internal contrapuntal and harmonic structures lying beneath the musical surface. Like Freud, he tried to find a deeper analytical process for understanding the musical surface: this process would reveal the unconscious structural origins of the work. Indeed, in its manner of gleaning unconscious information through intimate introspection and observation, Schenker’s analytic process mirrored Freud’s talking and listening cure.

As reflected in this quest for internal stability, Freud and Schenker were both acutely aware of the erosion of contemporary Viennese society. Freud’s books *The Future of an Illusion*, *Civilization and Its Discontents*, and *Moses and Monotheism* are especially critical of the strictures imposed by Viennese society. For Freud, the primary source of tension for people was the conflict between their drive for independence and society desire to control them. Best summarized in the well-known story of Oedipus, Freud’s views on society were an expanded form of his views on the psychosexual development of the individual within the confines of the family. From a Freudian
perspective, the struggle of the individual against both the family and society are reflections of the struggles of the individual in fin-de-siècle Vienna.

Schenker saw a similar tension between the individual tone and the tonal system as a whole. In Harmonielehre, he discussed the individual tone’s quest for independent status as a Stufe. Much like Freud’s individuals, Schenker’s tones are constrained by the “social” laws of the diatonic system. Each diatonic tone is capable of reaching status as an independent Stufe, but it must always remain subservient within the governing hierarchical system of diatonic harmony. As a result, one might continue Schenker’s analogy to reflect only a partial sense of happiness in each tone due to this conflict.

Freud posits the same idea in Civilization and Its Discontents, finding that true happiness is unreachable. These ideas are direct reflections of the frustrations both theorists encountered as fin-de-siècle Viennese citizens.

That being said, Schenker and Freud were both concerned not with the common person, but with the fringes of society. Freud was fascinated by the neurotics of society, those who had some type of psychical disconnect that impeded their daily interactions both with others and within themselves. The psychoanalyst’s goal was to investigate the manifestations of an individual’s drives, thoughts, and dreams to discover an unconscious psychical structure. Through the discovery of unconscious origins and their transformational path to manifestation, the individual could then restore healthy interaction with others and within himself.

Schenker was likewise fascinated not with the common person, but with another fringe group: the geniuses of tonal music, whose compositions were so masterfully formed that many musicians could not properly grasp their innermost structure.
Schenker’s goal was to explore the musical surface to discover an internal musical structure and its transformations. This ultimately revealed unconscious contrapuntal structures deep beneath the musical surface. In their extraordinary behavior and often documented psychical difficulties, Schenker’s geniuses were quite like Freud’s neurotics. Both held something deep within their psyche unattainable and somewhat incomprehensible to the common man. For both Schenker and Freud, the analyst held the necessary authority to interpret these phenomena from the fringes of society.

Indeed, authority was of critical importance to both Schenker and Freud. Both their theories were somewhat controversial. Schenker’s music theories were in competition with those of his rival Hugo Riemann. Likewise, Freud competed with other psychoanalysts, who he came to view as a threat to his authoritative stance. Given this competitive atmosphere, many of Freud and Schenker’s disciples took a protective stance toward the dissemination and preservation of their theories. Indeed, alterations were made to later editions and translations of both sets of theoretical writings. These alterations included large-scale edits of controversial passages that the editors saw as potentially damaging to the reputation of their respective leaders.

As a result of such editorial protectionism, what currently passes as “Freudian” or “Schenkerian” theory often differs significantly from its original presentation. It is important therefore to be quite clear about exactly what stage of a theory’s dissemination we are discussing. This dissertation draws from the words of Freud and Schenker themselves. However, the theories of both have certainly changed over the course of time. That is the nature of a theory as it moves toward a status of wider acceptance. A theory is posited, it is tested through repeatable experimentation, and it then either stands
the test of time or is revised according to the new information. There certainly is a
difference between Schenker’s theory of musical structure and Schenkerian theory as it is
sometimes presented in the present day. Even now, there are different types and schools
of Schenkerian theory. Each theorist’s views and methodology in regard to this theory
are influenced by the person with whom they studied Schenker.

Freud’s theories of the psyche have likewise undergone considerable revision
since their first appearance in fin-de-siècle Vienna. Modern psychoanalysis maintains
much of Freud’s terminology, but many theories, developed between the late nineteenth
century and present day, have enveloped, intertwined with, and reformulated Freud’s
original theory of the neurosis. The remainder of this introduction discusses and critiques
the ways in which each theory has been disseminated, focusing particularly on the topic
of translation. It examines critiques of the English translations of Freud’s works and
applies these critiques to the translation of Schenker’s works by examining a particular
passage from Der freie Satz used throughout this dissertation.

translations of Freud

One of the largest problems with the dissemination of any theory is that of
rhetoric and delivery. The alteration of rhetoric and delivery is already an issue in the
revamping of a theory by various followers: in the case of Freud, Jung and Adler provide
clear instances; in the case of Schenker, Jonas, Salzer, and Oster. These alterations of
theory are exacerbated by the problems inherent in translation. One of the foremost
issues with rhetoric and delivery is that of knowing one’s audience. Issues of audience
are at the forefront of problems in the translations of the works of Freud and Schenker
alike, whose English translations were marketed toward American medical and American academic audiences respectively.

The complete works of Freud have appeared in two English-language editions as translated by A.A. Brill and James A. Strachey respectively. Brill, founder of the New York Psychoanalytic Society in 1911, has been described by Peter Gay as “Freud’s American apostle and translator.” “A. A. Brill, who in the heroic days had something of a monopoly on translating Freud into English, was casual and at times fearfully inaccurate; for one thing, he did not know, or care about, the difference between “jokes” and “wit.” Still, Brill gave the English-speaking world at least a glimpse, however uncertain, of Freud’s theories even before the [Second World] war.” Freud himself critiqued the errors of Brill’s translations. “In 1928, he hinted at them rather delicately in a letter to the aspiring Hungarian psychoanalyst Sándor Lorand: “Of my Interpretation of Dreams there is, as far as I know, only one English translation, that of Dr. Brill. It is, I suppose, best, if one wants to read the book at all, to read it in German.”

James Strachey was a student of Freud’s and a founding member of the London Psycho-Analytical Society. In collaboration with Anna Freud and with assistance from Alix Strachey and Alan Tyson, Strachey’s translation was published as The Standard Edition of the Complete Psychological Works of Sigmund Freud. Freud’s own personal blessing as well as the collaboration with Freud’s daughter Anna gives Strachey’s

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2 The New Penguin Freud, edited by Adam Phillips, is used throughout this dissertation. However, it is not currently a complete edition of Freud’s works.
4 Gay, Freud: A Life For Our Time, 465.
5 Gay, Freud: A Life For Our Time, 465.
translation a certain validity in its claim of “standard edition.” However, as we shall see, accuracy of rhetoric and delivery does not always lie with those closest to the author.

While the Standard Edition is presented as the translation personally approved by Freud, it should be noted that this is not as powerful an advertisement as one may think. In his critique of the English translations of Freud’s works, Bruno Bettelheim notes that Freud once replied to concerns over the mistranslation of his works with the comment, “I’d rather have a good friend than a good translator.” Bettelheim argues that the English translations are centered on an American preference toward scientific precision in the field of medicine. He notes that this often manufactured precision resulted in the frequent mistranslation, over-scientification, and complication of many German terms that have a more ambiguous and spiritual tone that appealed to a broader audience in fin-de-siècle Vienna. Peter Gay reinforces this idea of terminological ambiguity stating, “One obvious flaw in this translation was the substitution of esoteric neologisms for the plain German terms Freud preferred. A particularly egregious instance is “cathexis” [originally Besetzung], now wholly domiciled in English and American psychoanalytic terminology.” J. A. Underwood, one of Freud’s retranslators, notes that since James Strachey “was a practicing psychoanalyst, not a professional translator. He ‘put a lot in’, which to a translator is like breathing on a window (reducing its transparency).” Accusing Strachey of “inventing a translation,” Underwood posits that Strachey “did not simply translate Freud; he also, to some extent, traduced him.” In the New Penguin

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8 Bettelheim, Freud and Man’s Soul, 31-49.
9 Gay, Freud: A Life For Our Time, 465.
Freud, editor Adam Phillips sought to avoid the potential for undue addition altogether. “The avoidance of analysts, I hoped, might mean that the people involved would not be hung up on what is still called psychoanalytic politics, and would not be overly mindful of what people within the profession would think of as the issues, especially of terminology.”11 The result is quite different from Strachey’s translation and is the one used throughout this dissertation. It attempts to remove some of this etymological reconstruction and restore, as much as is linguistically reasonable, some of the character of Freud’s original German.

Within critiques of the translations of Freud’s works, the English terms most entrenched in Freudian lore are discussed most often. The terms “ego,” “Id,” and “Super-ego”, now ubiquitous in the English language, greatly reduce the deeply personal and spiritual nature original to Freud’s German terms, Das Ich, Das Es, and Das Über-Ich. While Freud’s original English translators are consistent throughout the Standard Edition, it is unfortunate that they chose these Latin terms rather than the more direct English correlates, “I” and “it.” “Where Freud selected a word that, used in daily parlance, makes us feel vibrantly alive, the translations present us with a term from a dead language that reeks of erudition precisely when it should emanate vitality.”12 The psychoanalytic search for an individual’s Ich is a deeply personal search for the essence of one’s individuality. It is truly the search for the “I” inside. Likewise, the term “Id” greatly lessens the ominous nature of Freud’s original German, Das Es. The “it,” as an opposite to the “I,” portrays a much more virulent and deeply personal opposition within the

12 Bettelheim, Freud and Man’s Soul, 55.
psyche than the unfortunate terms “ego” and “Id.” The tone throughout Freud’s writing is more spiritual and deeply personal than its presentation in the *Standard Edition*.

Bettelheim highlights this last point in a lengthy discussion of the German word, *Seele* (soul). According to him, translations strip this word of its metaphorical and metaphysical implications in an effort to appeal to English-speaking audiences. Thus, Bettelheim notes the omission of English terms with spiritual baggage and their replacement with more secular nomenclature.

It is true that in common American usage the word “soul” has been more or less restricted to the sphere of religion. This was not the case in Freud’s Vienna, and it is not the case in German-speaking countries today. In German the word *Seele* has retained its full meaning as man’s essence, as that which is most spiritual and worthy in man. *Seele* ought to have been translated in this sense….Freud uses *Seele* and *seelisch* rather than *geistig* because *geistig* refers mainly to the rational aspects of the mind, to that of which we are conscious….Nowhere in his writings does Freud give us a precise definition of the term “soul.” I suspect that he chose the term *because* of its inexactitude, its emotional resonance….When Freud speaks of the soul he is talking not about a religious phenomenon but about a psychological concept; it too is a metaphor….There is nothing supernatural about his idea of the soul, and it has nothing to do with immortality; if anything endures after us, it is other people’s memories of us—and what we create. By “soul” or “psyche” Freud means that which is most valuable in man while he is alive….For him, the soul is the seat both of the mind and of the passions, and we remain largely unconscious of the soul. In important respects, it is deeply hidden, hardly accessible even to careful investigation. It is intangible, but it nevertheless exercises a powerful influence on our lives. It is what makes us human; in fact, it is what is so essentially human about us that no other term could equally convey what Freud had in mind.\(^\text{13}\)

For the scientific community of the English-speaking world, Freud’s translators removed many references to the metaphysical uncertainties sometimes present in psychoanalysis.

As a practicing neuroscientist, Freud himself suffered from the same pressure. While his

writing can become metaphorical in nature and often deals with unseen phenomena that are difficult to test under the auspices of empirical science, Freud nonetheless saw himself as a scientist and insisted that science would someday catch up and begin to test the tenets of his theories. Early in his career, he even sketched an essay “Project for a Scientific Psychology” that was eventually published posthumously.\textsuperscript{14} Freud’s mature writings are laced with deeply spiritual (but non-religious) metaphors to the innermost nature of man. “The English translations cleave to an early stage of Freud’s thought, in which he inclined toward science and medicine, and disregarded the more mature Freud, whose orientation was humanistic, and who was concerned mostly with broadly conceived cultural and human problems and with matters of the soul. Freud himself stated that he considered the cultural and human significance of psychoanalysis more important than its medical significance.”\textsuperscript{15} Freud clearly sought to find the deepest seat of the spirit of man, and this is often hidden in the English translations of his works under a sea of redrawn clarity that was not necessarily present with Freud’s German. Under the editorship of Adam Phillips, the New Penguin Freud sets out to correct such distortions and present in English the essence of the original prose, the the extent to which this is possible.

\textbf{Translations of Schenker}

The translations of Schenker’s works encounter precisely the same problems of rhetoric and delivery in the English translations of Freud. The works of Schenker are

\textsuperscript{14} Sigmund Freud, “Project for a Scientific Psychology I,” \textit{Collected Works}, vol. 1 (London: The Hogarth press and the Institute of Psycho-analysis, 1966), 317. This essay is from very early in Freud’s career in a collection of “Pre-Psycho-Analytic Publications and Unpublished Drafts.” This essay was from 1895, but first published in 1950 in German.

\textsuperscript{15} Bettleheim, \textit{Freud and Man’s Soul}, 32.
laced with the same type of metaphysical, spiritual, and deeply personal rhetoric that is present in the original Freud. The English translations of Schenker’s works have involved the work of many authors who have often altered much of this rhetoric. Particularly notable are the translations of Schenker’s *Harmonielehre* and *Der freie Satz*. Indeed, significant alterations in the English translation of *Harmonielehre* have been well documented. Matthew Brown has noted that Jonas cut significant portions of the text of *Harmonielehre* as well as “some 75 of the original 379 examples, notably those dealing with intervals (Exs. 111-131), seventh chords (Exs. 190-213), tonicization (Tables XI-XVIII), and chromatic *Stufen* (p. 395) as well as several substantial musical quotations.”  

Likewise, Robert Wason has noted that the editor, Oswald Jonas, was mostly to blame for the excising of large portions of text from *Harmonielehre*. Jonas was bothered by Schenker’s frequent political tirades, not to mention some of his music-theoretical concepts. Jonas “worked to bring Schenker’s works back into publication ‘cleaned from those unhappy political and polemic excursions!’”  

Musical issues also factored into these decisions. Jonas disagreed with Schenker’s treatment of chords beyond the dominant 9th chord and consequently cut many sections on this topic. By excising large portions of text, Jonas both disguises and reframes Schenker’s true thoughts on multiple topics. The resulting product of Schenker’s *Harmony* as translated by Elisabeth Mann Borghese is somewhat removed from what Schenker himself actually wrote.

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Similar issues arise with Der freie Satz. With so many parallel concepts between Freud’s and Schenker’s theories, one wonders why some significant passages were relegated to a vestigial status in the appendix. Indeed, any direct connection between Freud and Schenker has gone unnoticed despite the fact that so many scholars have noticed possible conceptual connections between the theories of these two masters. Perhaps, the demotion of these passages to the appendix by Schenker’s editors has hidden this connection. In fact, the editing of Schenker’s works has been somewhat controversial. In the case of Der freie Satz, striking changes were made in each edition. Originally published in 1935, a complete draft of Der freie Satz was completed by Schenker prior to his death in the same year.\(^\text{19}\) A second edition, edited substantially by Oswald Jonas, was published in 1956.\(^\text{20}\) In 1979, an English edition of Der freie Satz appeared edited and translated by Ernst Oster.\(^\text{21}\) Each of these editorial stages resulted in alterations of Schenker’s original prose and, thus, has aided in the masking of direct connections to Freud. In the 1956 edition, Jonas removed passages from Schenker’s original which he deemed as having “no bearing on the musical content.”\(^\text{22}\) In addition, specific passages were excised and left untranslated in Oster’s English edition. After Oster’s untimely death prior to the completion of the English edition, John Rothgeb translated some, but not all, of these passages which were reinserted into the final


publication of *Free Composition*. However, they were removed from the context of the prose that originally surrounded them and are now found as Appendix 4 of *Free Composition*. These passages refer primarily to philosophical discussions of genius, sociology, and Schenker’s well-known German nationalism. Appendix 4G, a passage discussed further in Chapter 4, is present in both the 1935 and 1956 editions of *Der freie Satz*. However, it was removed, presumably by Oster, from the 1979 edition and translation, *Free Composition*. While it may have no immediately apparent “bearing on musical content,” its origins are critical for revealing influences on Schenker’s thought, an influence which certainly affects his interpretation of the musical surface. As discussed in Chapter 4, it is this passage in particular that provides the most direct connection between Schenker’s *Der freie Satz* and Freud’s *Das Unbehagen in der Kultur*. In fact, both the appended sections and the texts to which they were originally attached reveal strong similarities to Freud’s writing, especially when returned to Schenker’s original presentation.

In addition to these edited passages of prose, several figures that were removed in the editorial process also provide powerful links to Freudian thought. Figure 1 from the 1935 edition of *Der freie Satz* represents a caste system of musical talent divided into *Genie* (Genius) and *Durchschnitt* (Common Man).

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Figure 1. Schenker’s Diagram of the Genius and the Common Man

The excised Figure 1 represents Schenker’s elitist ideology and shows a separation between these two groups with the Durchschnitt separated from and unable to rise to the level of the Genie. For Schenker, the genius is a status unreachable by the common man. The removal of this figure from Schenker’s work certainly and perhaps necessarily softened Schenker’s often caustic politics and enabled a smoother transmission of his works to American circles of music theory both currently and even more so in the post-World War II era of the 1956 German edition. But it hides a kinship of elitism that is similar to Freud’s, such as in his position that only a few can achieve a heightened satisfaction of the drive through the process of sublimation discussed below.

Even more unfortunate for an understanding of Schenker’s relationship to Freud, the first figure in the 1935 edition of Der freie Satz was also removed from the 1956 and 1979 editions.

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24 Schenker, Der freie Satz (1935), Figure 13.
This figure shows Schenker’s three-tiered hierarchical structure of background, middleground and foreground. These correlate strongly with Freud’s three levels of the psyche: unconscious, preconscious, and conscious. Perhaps the most powerful Freudian connection in Schenker’s diagram is the word *Verwandlungsschichten* or transformational levels which are found in the middleground. As discussed in Chapter 3, it is this transitional level in which the latent psychical and musical materials are transformed from latent, unconscious prototypes into their conscious, foreground manifestations. Indeed, this edited figure provides a powerful link between Schenkerian and Freudian theory.

In Figure 2, the labels to the left of the trapezoidal figure are very significant from the perspective of Freud’s *Das Unbehagen in der Kultur*. Here, Schenker represents his three hierarchical levels showing the top-down developmental progression of a musical composition from background through the middleground to the foreground. This is obviously parallel to Freud’s three divisions of the psyche where latent material

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25 Schenker, *Der freie Satz* (1935), Figure 1.
progresses from its repressed state in the unconscious through its transformation in the preconscious, and its final manifestation in the conscious. Even more important are Schenker’s labels within each of the levels. The concepts of *Diatonie* and the *Ursatz* lie within Schenker’s *Hintergrund*. The concept of *Tonalität* lies within the *Vordergrund* while the *Verwandlungsschichten* lie in the transitional stage of the *Mittelgrund*. The transformation of the *Ursatz* through the middleground into its conscious manifestation at the foreground level is well known. But Schenker’s inclusion of the terms *Diatonie* and *Tonalität* are more curious and provide an important link to Freud’s view of the structure of society in *Das Unbehagen in der Kultur* as discussed further in Chapter 4. Freud describes the progression of an individual, driven by a drive for happiness, to the formation of a family that can function within society. This is much like Schenker’s descriptions of the development of music from *Diatonie* to *Tonalität*.

Oster’s and Jonas’s editorial decisions to remove many of the polemical portions from the English translation of *Der freie Satz* were both necessary and unfortunate. Many have argued that Schenker’s controversial views on German nationalism and the elitism of the genius, while interesting, are truly unimportant in a study of his music theories. They argue that these polemical views should not discount the significance of Schenker’s contributions to and influence over current trends in music theory. And from a purely theoretical point of view, they are certainly correct. Indeed, it can be argued that the American reception of Schenkerian theory in the post-WWII era was strongly dependent on these editorial decisions. Schenker’s theories of tonal music can

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certainly stand on their own absent of these often unfortunate polemical tones. However, many clues lie within these edited passages which reveal epistemological underpinnings to Schenker’s thought. Among these clues are the parallels with Freudian theory. These other underpinnings are certainly less bitter to the palate than Schenker’s often xenophobic elitism. Schenker’s writing, when marketed as such, should indeed contain all that he wrote and thus be presented for theorists and historians to make their own decisions concerning appropriateness and validity. This chapter shows that it is in many of these edited passages that Schenker’s theories most intimately interact with those of Freud. While they are often studied separately, both Schenker’s musical theories and his place within the history of ideas can be clarified through the exhuming of these buried passages.

While there are many passages that could be discussed, I have chosen one particular passage from Der freie Satz that has both been massively edited and has significant implications for connections between Freudian and Schenkenarian thought. First, the passage as found in Part I, Chapter 3 of Schenker’s original 1935 edition, followed by its translation in Free Composition:

[9] Im Abstand von der Urlinie zum Vordergrund, von der Diatonie zur Tonalität, drückt sich die Raumtiefe eines Musikwerkes aus, die ferne Herkunft vom Allereinfachsten, der Wandel im späteren Verlauf und der Reichtum im Vordergrund.

[10] In der Erhebung des Geistes zum Ursatz ist eine fast religiös zu nennende Erhebung zu Gott und den Genies als seinen Mittlern enthalten, eine Erhebung im wörtlichen Verstande zum Zusammenhang, der nur bei Gott und den Genies ist.

Das Ziel, der Weg ist das Erste, in zweiter Reihe erst kommt der Inhalt: ohne Ziel kein Inhalt.


*  

Schon daß die Urlinie einen Zug: einen Terz-, Quint- oder Oktavzug vorstellt ist von wesenhafter Bedeutung für die Form aller horizontalen Bewegung überhaupt. Ihr Mindestmaß ist ein Terzzug. Deshalb kommt z. B. ein im Vordergrund wirklich liegender oder durch Koppelung, höher- oder Tieferlegung nur als liegend zu denkender Ton weder für die Diminution noch für die sogenannte Melodie in Frage.

Der Mensch strecke die Hand aus, weise mit dem Finger eine Richtung, sofort versteht dies Zeichen auch ein anderer Mensch; die gleiche Bewegungssprache gilt von den Zügen in der Musik: Jeder Zug ist, sobald er einsetzt, mit einem Fingerzeig vergleichbar, Richtung und Ziel liegen klar vor Jedermanns Ohr!

In den Zügen lebt der Komponist sein eigenes Leben wie das der Züge, also ist umgekehrt ihr Leben das seine, wie sie den auch uns wieder Leben bedeuten sollen.


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Die Gesetze der Stimmführung, organisch verankert, bleiben in Hinter-, Mittel-, und Vordergrund immer die selben, auch wenn sie Verwandlungen erfahren. In ihnen drückt sich das simper idem sed non eodem modo aus, nichts Neues ist zu erwarten, eine Erkenntnis, die uns nicht mehr überraschen kann, wenn wir sehen, daß selbst auf dem Gebiete der Technik, die heute im Vordergrund alles Denkens und Schaffens steht, nichts wahrhaft Neues mehr erscheint, sondern nur Verwandlungen sich ausbreiten.


[9] Within the poles of fundamental line and foreground, of diatony and tonality, the spatial depth of a musical work is expressed—its distant origin in the simplest element, its transformation through subsequent stages, and, finally, the diversity of its foreground.

[10] and [11] are located in Appendix 4E Included in the elevation of the spirit to the fundamental structure is an uplifting, of an almost religious character, to God and to the geniuses through whom he works—an uplifting, in the literal sense, to the kind of coherence which is found only in God and the geniuses.

Between fundamental structure and foreground there is manifested a rapport much like that ever-present, interactional rapport which connects God to creation and creation to God. Fundamental structure and foreground represent, in terms of this rapport, the celestial and the terrestrial in music.

[12] The goal and the course to the goal are primary. Content comes afterward: without a goal there can be no content.

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27 Heinrich Schenker, Neue Musikalische Theorien und Phantasien. Dritter Band: Der freie Satz (Wien: Universal-Edition, 1935), 17-19. My numbering in this and the successive passages signifies the order of paragraphs based on the original 1935 edition. The opening of chapter 3 (paragraphs 1-8) has been omitted here for the sake of efficiency in discussion. Paragraphs 1-8 are found in Chapter 3, note 79 of this dissertation. The order of this omitted portion matches both the 1956 and 1979 editions and is, therefore, unnecessary for a discussion of editorial and translational alterations of the original text.
[13] In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds. Therein lies the source of all artistic delaying, from which the creative mind can derive content that is ever new. Thus we hear in the middleground and foreground an almost dramatic course of events.

[14] The fact that the fundamental line itself traverses a third, a fifth, or an octave in linear fashion is of great significance to horizontal motion in general. Since the smallest compass of the fundamental line is the third, neither a tone which is simply stationary in the foreground nor a tone which, by virtue of octave coupling or register transfer is understood to be stationary, is relevant to diminution or to the so-called melody.

[15] A person stretches forth his hand and indicates a direction with his finger. Immediately another person understands this sign. The same gesture-language exists in music: every linear progression is comparable to a pointing of the finger—its direction and goal are clearly indicated to the ear. [This last punctuation is an exclamation point in both the '35 and'56 editions.]

[16] In the linear progressions the composer lives his own life as well as that of the linear progressions. And, conversely, their life must be his, if they are to signify life to us.

[18] The principles of voice-leading, organically anchored, remain the same in background, middleground, and foreground, even when they undergo transformations. In them the motto of my work is embodied, semper idem sed non eodem modo (“always the same, but not in the same way”). Nothing new is to be expected, yet this need not surprise us when we see that even in technology, which today stands in the forefront of all thought and activity, nothing truly new appears: we witness only further transformations.

[19] [This paragraph appears as Appendix 4F.] Just as life is an uninterrupted process of energy transformation, so the voice-leading strata represent an energy transformation in the life which originates in the fundamental structure.

[20] The power of will and imagination which lives through the transformations of a masterwork reaches us in our spirit as a power of imagination—whether we have specific knowledge of the fundamental structure and the transformations or not. The life of the transformations conveys its own nature to us. We receive not only profound pleasure from a masterwork, but we also derive benefits in the form of a strengthening of our lives, an uplifting, and a vital exercise of the spirit—and thus achieve a heightening of our moral worth in general.

[21] As the image of our life-motion, music can approach a state of objectivity, never, of course, to the extent that it need abandon its own specific nature as an art. Thus, it may almost evoke pictures or seem to be
endowed with speech; it may pursue its course by means of associations, references, and connectives; it may use repetitions of the same tonal succession to express different meanings; it may simulate expectation, preparation, surprise, disappointment, patience, impatience, and humor. Because these comparisons are of a biological nature, and are generated organically, music is never comparable to mathematics or to architecture, but only to language, a kind of tonal language.²⁸

In this passage, Schenker describes a psychical, almost numinous, quality behind music, in terms that are reminiscent of the deeply personal spirituality in Freud’s texts. He reinforces his earlier statements in Harmonielehre that a musical composition should be viewed as living, breathing, organic entity independent of the composer. The passage also evokes strongly Freudian phraseology, by referring to a psychical “life-motion” [Lebensbewegung] present in each musical composition. Schenker also describes a transformational process present as a piece of music strives toward its goal, a process involving “obstacles, reverses, disappointments…, great distances, detours, expansions, interpolations, and in short, retardations of all kinds.”²⁹ His thinking even follows Freud in seeing the satisfaction of a need as the path to happiness. “The goal and the course to the goal are primary. Content comes afterward: without a goal there can no content….The power of will and imagination which lives through the transformations of a masterwork reaches us in our spirit as a power of imagination—whether we have specific knowledge of the fundamental structure and the transformations or not. The life of the transformations conveys its own nature to us. We receive not only profound pleasure from a masterwork, but we

²⁸ Schenker, Free Composition, 5-6 and Appendix 4E and F, 160. The omission of paragraph 17 and the reordering of this passage are discussed below.
²⁹ “...Hindernisse, Rückschläge, Enttäuschung, weite Wege, Umwege, Dehnungen, Einschaltungen, kurz Aufhaltungen aller Art.”
also derive benefits in the form of a strengthening of our lives, an uplifting and a vital exercise of the spirit—and thus achieve a heightening of our moral worth in general.”

The passage following this discussion of pleasure even bestows on music a certain ability to portray imagery and association much like the conscious psychological manifestations discussed by Freud.

Jonas’s 1956 edition follows this 1935 edition closely but there are a few notable changes. Less significant are the emphasis of “Inhalt” in paragraph 12 in addition to Schenker’s previous lone emphasis placed on “Ziel” and the removal of “usw” at the end of the list of “…Geduld, Ungeduld, Humor bieten” in paragraph 21. But the alterations in paragraph 20 are more substantial. There is an extra comma inserted between “gleichviel” and “ob”. The end of the paragraph is altered after “unseres Lebens, Erhebung, Übung im geistig-Lebendigen…” (1935) to read “Es ist somit nicht allein die Hingabe, der Genuß, den wir vom Meisterwerk abziehen, wir empfangen darüber hinaus Vorteile für die Kräftigung unseres Lebens, Erhebung, Übung im Geistig-Lebendigen und dadurch im Ganzen eine Steigerung unseres sittlichen Wertes.” (1956) The original phrase “wer will mag in der Sprache der Zeit von einem Geistes-Sport sprechen” is removed from the 1956 edition.

Nevertheless, the most significant alteration to this passage in the 1956 edition is the complete removal of paragraph 17. The reason for Jonas’s removal of this passage is

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clear and directly related to his fear of the reception of Schenker’s controversial “unhappy political and polemic excursions.”

[17] In the wide tension of linear progressions lies the work of German musical Geniuses. The power of tension and fulfillment may be considered a blood test for membership in the German race. In this sense for example, the question of where Beethoven belongs is irrefutably determined: He is not, as one would have it and still wants to have, “…only half a German.” No, he who creates such linear progressions must be a German, even if foreign blood flows in his veins! Therefore, this wide-spanning accomplishment is more evidence than that of all racial science. 32

Schenker’s overt German nationalism is well-documented and was certainly the main impetus behind excising this passage. Schenker’s editors were indeed right to be cautious in putting forth ideology that so strongly discriminates against other races. The modern reader is certainly sensitive to such language, but the reader in 1956, just 11 years after the end of the Second World War, would have been even more sensitive to such strong pro-Germanic, even racist language. The Jewish émigrés who transmitted Schenker’s works to America would certainly have been offended by this language. Unfortunately, xenophobic language of this sort is ubiquitous in Schenker’s writing. And yet Paragraph 17 is odd at best. Beethoven certainly was German, born in Bonn in 1770. 33 The origins of the accusations that Beethoven was only “half German” are unknown. It is significant that Schenker was not born in Germany although he adamantly identified with his adopted German countrymen. Schenker seems almost defensive in his tone. His perhaps deeply personal defense is that one can be German in spirit, despite a lack of pure

32 I am grateful to Stephanie Probst and Daphne Tan for help with this translation. Any errors of translation and grammar are mine alone. Any errors in politics however are Schenker’s.
bloodline. This allows for his inclusion of Chopin and Scarlatti in his well-known list of German Geniuses. Locally, paragraph 17 continues Schenker’s description given in paragraph 16 of how a composer’s innermost persona is transferred into their musical compositions. In the end, Schenker’s argument is indefensible, and the caustic nature of his German nationalism was worthy of removal, particularly to an American audience and a large Jewish émigré population. However, the removal of paragraph 17 from both *Der freie Satz* (1956) and *Free Composition* (1979) alters and hides the original tone behind Schenker’s passionate, albeit unfortunate, stance on the psychical persona of a musical composition. Much like the early English presentation of Freud’s works, the editing of this passage was certainly a protective move by some of Schenker’s closest followers.

Even more significant alterations were made to this passage by Oster in his translation of *Der freie Satz* (1979). Since it follows Jonas’s German edition, this translation also excises paragraph 17 and runs as follows:

[9] Within the poles of fundamental line and foreground, of diatony and tonality, the spatial depth of a musical work is expressed—its distant origin in the simplest element, its transformation through subsequent stages, and, finally, the diversity of its foreground.

[10] and [11] are Appendix 4E] Included in the elevation of the spirit to the fundamental structure is an uplifting, of an almost religious character, to God and to the geniuses through whom he works—an uplifting, in the literal sense, to the kind of coherence which is found only in God and the geniuses.

Between fundamental structure and foreground there is manifested a rapport much like that ever-present, interactional rapport which connects God to creation and creation to God. Fundamental structure and foreground represent, in terms of this rapport, the celestial and the terrestrial in music.

[12] The goal and the course to the goal are primary. Content comes afterward: without a goal there can be no content.
In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds. Therein lies the source of all artistic delaying, from which the creative mind can derive content that is ever new. Thus we hear in the middleground and foreground an almost dramatic course of events.

As the image of our life-motion, music can approach a state of objectivity, never, of course, to the extent that it need abandon its own specific nature as an art. Thus, it may almost evoke pictures or seem to be endowed with speech; it may pursue its course by means of associations, references, and connectives; it may use repetitions of the same tonal succession to express different meanings; it may simulate expectation, preparation, surprise, disappointment, patience, impatience, and humor. Because these comparisons are of a biological nature, and are generated organically, music is never comparable to mathematics or to architecture, but only to language, a kind of tonal language.

The fact that the fundamental line itself traverses a third, a fifth, or an octave in linear fashion is of great significance to horizontal motion in general. Since the smallest compass of the fundamental line is the third, neither a tone which is simply stationary in the foreground nor a tone which, by virtue of octave coupling or register transfer is understood to be stationary, is relevant to diminution or to the so-called melody.

A person stretches forth his hand and indicates a direction with his finger. Immediately another person understands this sign. The same gesture-language exists in music: every linear progression is comparable to a pointing of the finger—its direction and goal are clearly indicated to the ear. [This last punctuation is an exclamation point in both the '35 and '56 editions.]

In the linear progressions the composer lives his own life as well as that of the linear progressions. And, conversely, their life must be his, if they are to signify life to us.

The principles of voice-leading, organically anchored, remain the same in background, middleground, and foreground, even when they undergo transformations. In them the motto of my work is embodied, semper idem sed non eodem modo (“always the same, but not in the same way”). Nothing new is to be expected, yet this need not surprise us when we see that even in technology, which today stands in the forefront of all thought and activity, nothing truly new appears: we witness only further transformations.

[This paragraph appears as Appendix 4F.] Just as life is an uninterrupted process of energy transformation, so the voice-leading strata represent an energy transformation in the life which originates in the fundamental structure.
The power of will and imagination which lives through the transformations of a masterwork reaches us in our spirit as a power of imagination—whether we have specific knowledge of the fundamental structure and the transformations or not. The life of the transformations conveys its own nature to us. We receive not only profound pleasure from a masterwork, but we also derive benefits in the form of a strengthening of our lives, an uplifting, and a vital exercise of the spirit—and thus achieve a heightening of our moral worth in general.

In addition to cutting paragraph 17, there are two other significant alterations in this passage. The first is Oster’s removal of paragraphs 10 and 11. These were returned by John Rothgeb in the final published version of Free Composition. However, they were kept out of their original context and placed in Appendix 4 along with the passage discussed in Chapter 4 of this dissertation. The passage discussed in Chapter 4 of this dissertation, contributed at least partially to the influence of Freud’s Das Unbehagen in der Kultur, follows immediately after the passage discussed here. Likewise, paragraph 19 was appended and is restored here. It mirrors psychoanalytic thinking in its reference to energy transformations carried out across various strata. Schenker’s reference to the deepest origination of a composition’s energy appears analogous to Freud’s unconscious origin of all psychic energy. Paragraphs 10, 11, and 19 lie well within Jonas’s criteria of metaphysical “excursions” that do not directly affect Schenker’s theory. However, their omission detracts from the numinous and spiritual qualities prevalent throughout Schenker’s theoretical writings. In this way, the translation loses some of the character of Schenker’s original German writing in a manner quite similar to Bettelheim’s criticism of the translation of Freud’s Standard Edition.

The other significant alteration to this passage is Oster’s decision to remove paragraph 21 from the end of the passage and move it between paragraphs 13 and 14.

Schenker, Free Composition, 5-6 and Appendix 4E and F, 160.
The passage as a whole is strongly Freudian in its references to the various levels of the musical structure (much like Freud’s levels of the psyche), the transformations that music encounters during its quest toward a goal, and the “uplifting and…vital exercise of the spirit” that benefits us when we succumb to “the power of will and imagination which lives through the transformations of a masterwork.” This is the final paragraph as presented in Oster’s translation of *Free Composition*. However, Paragraph 21 is Schenker’s final paragraph. It extends Schenker’s Freudian perspective on the importance of the pleasure gleaned from a masterwork and explains exactly how that pleasure is attained. Schenker continues in psychoanalytic language, describing the “associations, references, and connectives” as well as “different meanings” attained through the repetition of musical material. In Schenker’s original presentation, the acknowledgement of this transformational network of musical phenomena is the key to pleasure and a “strengthening of our lives.” For Schenker, understanding these phenomena is a “vital exercise of the spirit.” This original meaning is weakened in Oster’s English redrafting and hides many connections to Freud beyond those already posited in the Schenkerian literature.

**Freudian References in Current Schenkerian Theory**

It should be clear from the preceding discussion that besides drawing on the same Viennese Zeitgeist, there are many thematic connections between the theories of Freud and those of Schenker. Such connections have already been noted by several music theorists. For example, in his seminal article, “Schenker’s Concept of Musical Structure,” Allen Forte notes, “Schenker’s achievement invites comparison with that of
Freud. Just as Freud opened the way for a deeper understanding of the human personality with his discovery that the diverse patterns of overt behavior are controlled by certain underlying factors, so Schenker opened the way for a deeper understanding of musical structure with his discovery that the manifold of surface events in a given composition is related in specific ways to a fundamental organization.\textsuperscript{35} In the same vein, Martin Eybl has pointed to the ubiquitous use of “the concept of deep structure” in the theories of Freud and Schenker; he has shown how such ideas also permeate the thinking of Schopenhauer and Schoenberg.\textsuperscript{36}

Whereas the observations of Forte and Eybl are extremely general, Daniel Sabbeth has found specific connections between Freud’s theory of jokes and specific Schenkerian concepts.\textsuperscript{37} His points are well taken and suggest that there might be much deeper parallels between the processes of analysis employed by Freud and Schenker. A Schenkerian analysis involves an attempt to find a single unconscious structural archetype, the \textit{Ursatz}, which manifests itself through transformations across a hierarchy of structural levels to become a conscious musical composition. For the Schenkerian, fundamental structures and their transformations occurring at an unconscious level beneath the musical surface are discovered through the observation and analysis of a musical surface. Together, Schenker saw these musical levels as demonstrating a generative process of synthesis that culminates in a well-formed composition. Likewise, a Freudian analysis of an individual’s psychical composition involves an attempt to find


the repressed latent content in a person’s unconscious that is causing a particular conscious manifestation. As in a Schenkerian analysis, the unconscious material can be shown to undergo various transformations before arriving at its conscious representation. In Freudian psychoanalysis, this latent content in the psyche’s unconscious is discovered through observation and analysis of an individual’s description of conscious experiences and perceptions. Like Schenker, Freud saw a cross-level synthesis of unconscious and conscious material as critical for a healthy, well-formed psyche. Thus, Freud and Schenker both analyzed observable conscious phenomena in order to reveal the unconscious sources and the transformational paths by which they are made conscious.

An important question, however, remains unanswered. To what extent was Schenker actually aware of specific writings by Freud? For all of their insights, the arguments presented by Forte, Eybl, and Sabbeth are circumstantial at best; they do not document any direct links between the writings of either author. The present dissertation fills this important gap; it shows how Schenker was well aware of Freud’s article “Die Wege zum Glück.” Freud’s essay, originally published on 1 January 1930, was reprinted later that year as the second chapter of his magnum opus, Das Unbehagen in der Kultur. The Oster Collection contains a version of Freud’s article that Schenker clipped from a Viennese newspaper. Schenker not only underlined certain key passages, but he subsequently paraphrased them in Part 1, Chapter 1, Section 4 of Der freie Satz (1935). This section appears in Appendix 4G in Oster’s English translation (1979).

The goal of this dissertation is to show that these brief references to Freud by Schenkerian theorists warrant further examination. Besides describing the impact of “Die Wege zum Glück” on Schenker’s thinking, this dissertation explains the connections
between Freud and Schenker in more detail. In particular, it focuses on four specific similarities between the two theories. Chapter 1 focuses on the actual processes of Freudian psychoanalysis and Schenkerian analysis. It elaborates on two particular concepts involved in Freudian psychoanalysis, free association and constructions, and describes how Schenkerian analysis involves processes quite similar to these. Drawing on the work of Freudian psychoanalysts and Schenkerian theorists alike, it concludes that the process of music analysis can be a therapeutic process quite like that of psychoanalysis. A “real time” analysis of Mozart’s A-major Theme, K. 331 shows how a therapeutic outcome can indeed be a product of a Schenkerian analysis. Chapter 2 focuses on origins and causation and the power of both sexual and musical drives. Both Freud and Schenker ascribe a procreative drive to the creation of psychical and musical manifestations. Chapter 2 explores the question of Schenker’s exact meaning when using such terminology as “fundamental drives” and “procreation.” A comparison with Freud’s often identical terminology such as Trieb will not only provide connections between Schenker and Freud’s ideas, but also shed light on the meaning of Schenker’s terminology within the context of fin-de-siècle Vienna. An exploration of the Minuet from Bach’s G Major Suite for Unaccompanied Cello demonstrates the alterations that a musical drive encounters as it progresses toward the satisfaction of its need for tonic. Chapter 3 focuses on the transformation of latent unconscious materials into their surface-level manifestations. Following an extensive review of Freud’s best-known work, Interpreting Dreams, it compares Freudian dream transformations to Schenkerian middleground transformations discussed in Der freie Satz. Chapter 3 develops Sabbeth’s observations about the connections between Freudian and Schenkerian transformations.
by asking how specific Schenkerian transformations function in a similar manner to
Freudian dream transformations. An examination of Schumann’s “Ich hab’ im Traum
geweinet” from Dichterliebe provides a case study for this endeavor. Finally, Chapter 4
discusses the ideology and politics of Freud and Schenker and the metatheoretical
expansions of their work. This last point involves a detailed discussion of Freud’s essay,
“Die Wege zum Glück,” and its reworking in Der freie Satz. Chapter 4 builds on the
ideological work of scholars such as Nicholas Cook, Robert Snarrenberg, William
Pastille, Leslie Blasius, and others, while exploring how a Freudian perspective can
inform an interpretation of Schenker within the history of ideas. Each chapter shows how
these two theories utilize similar analytical constructs, how these constructs engage
current problems in music theory, and demonstrates the potential of a Freudian
perspective for Schenkerian analysis.
Chapter 1
Analysis as Therapy:
What is Analysis, What Does it Entail, and What are its Results?

From a psychoanalytic perspective, the connection between analysis and therapy seems obvious. For the patient with a psychoanalyst, a session is intended to be therapeutic: one goes to an analyst precisely for this reason. A patient has noticed a problem or disconnect in their relationships with other people or between fantasy and reality within his own psyche. S/he seeks out the analyst in hopes of a therapeutic rectification of the problem. Today, we generally say that we have gone to our therapist for a psychotherapy session.

From a music analytic perspective, the idea of analysis as therapy seems less obvious. The therapeutic ability of the sound of music to soothe, calm, and balance both emotionally and psychically has been well-documented from the time of Aristotle to the present. The analysis of music may indeed be able to lead to discoveries that can be useful for therapy, such as discovering the ways in which specific musical structures are organized to affect us emotionally in a particular way. However, the act of music analysis itself is not generally thought of as designed for therapeutic purposes.

And yet, it is striking how similar the processes of analysis are to one another. But, terminologically speaking, this has not always been the case. To begin with, it is important to remember that in the days of Freud and Schenker, patients did not go to a therapist for psychotherapy: instead, they went to an analyst for psychoanalysis.¹ In *Freud and Man’s Soul*, Bruno Bettelheim discusses the meaning of Freud’s original...

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term, psychoanalyse. “By isolating and examining the neglected and hidden aspects of our souls, we can acquaint ourselves with those aspects and understand the roles they play in our lives.” Bettelheim discusses that the term “psyche” involved a more feeling-driven reference to the human soul than its more scientific modern meaning. At least on a terminological level, this seems to lie much closer to the task of analyzing a musical composition. Both music analysis and psychoanalysis share this goal in searching for “the neglected and hidden aspects of our [and music’s] souls.” Whether you are going to your “therapist” or your “analyst,” the psychological process itself is similar in the patient’s description of the current debacle causing distress and the analyst’s observation and reorganization of the described phenomena. The goal of psychoanalysis is to discover the unconscious root problem and to offer the proper course of treatment. While some theories concerning the psyche have changed to various degrees, the process of patient-driven description followed by the doctor’s reinterpretation has not changed radically from the time of lying on Freud’s couch.

Freud’s career began as a practicing physician, not as an analyst or theorist. Indeed, his psychoanalytic approach began as a series of observations made early in his medical practice. In his early collaborative work with Jean-Martin Charcot, Freud observed similar neurotic phenomena across a large selection of patients. He noticed similar sources of causation among these patients, mostly from the repression of sexual urges and encounters that he traced back to infancy, which resulted in similar psychical pathologies. Like Freud, Heinrich Schenker did not begin his career as an analyst or theorist. As a practicing musician, Schenker observed similar contrapuntal and structural phenomena that he found common to a large selection of musical
compositions. In the contrapuntal and harmonic structures that governed these compositions, Schenker found an internal source of causation, quite similar to the sexual urges observed by Freud. Just as had Freud, Schenker traced the conscious manifestation of these urges to unconscious remnants of deeper structural origins. Indeed, his frequent exploration of composers’ compositional sketches is somewhat parallel to Freud’s exploration of infantile stages. Through these observations, both theorists were able to identify an underlying, unconscious structure that governed the surface-level, conscious phenomena.

Within their respective disciplines, Freud and Schenker created their analytical constructs from virtually identical observational processes. These processes are the focus of this chapter. Both systems involve the identification of deeper unconscious prototypical material manifested on the surface in a somewhat modified form. Unconscious drives propel the conscious manifestations of this unconscious material: for Freud, this drive is called the libido; for Schenker, it is “the Will of the Tone” or der Tonwille. These unconscious prototypes undergo a series of transformations as they move toward more superficial layers of structure. While the unconscious material certainly governs the transformed manifestations at the conscious level, their presence is often undetectable without the analytical process. Using two Freudian processes, free association and constructions, this chapter demonstrates how Freud’s process of psychoanalysis is much like Schenker’s process of music analysis.
Freud’s Psychoanalytic Process

Like any new theory, psychoanalysis evolved over a long period of time. Throughout his career, Freud’s process of psychoanalytic exploration involved a personal quest to discover the contents of the innermost core of an individual’s psyche. “Psychoanalysis is concerned with the discovery of events in the past life of the individual and with their consequences for him, and neither the events nor the consequences can ever be exactly the same for the same two persons. Freud frequently compared psychoanalysis with archeology: the work of psychoanalysis consists in unearthing the deeply buried remnants of the past and combining them with other fragments that are more accessible; once all the pieces have been put together, it becomes possible to speculate about the origin and the nature of the individual psyche.”

In his unfinished An Outline of Psychoanalysis (1940), Freud offered a beautiful snapshot of the ways in which analyst’s use the psychoanalytic process used to treat a neurosis. In Freud’s description of the psychoanalytic process, there is a loss of synthesis and balance in a neurotic psyche. This lack of synthesis occurs between three parts of the psyche: the Ich, the Es, and the Über-Ich. To understand this loss of synthesis with respect to the Ich, it is important to remember that Ich was translated as “Ego” by both A. A. Brill, Freud’s first English translator, and James Strachey, translator of the Standard Edition. Bruno Bettelheim notes however that Freud’s

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2 Bruno Bettelheim, *Freud and Man’s Soul*, 42.
original German *Ich* is much more personal than is represented by the English word “Ego.” “*Ich*” is better translated as “I,” the most personal of English pronouns. Freud’s “*Ich*” aptly represents itself as the essence of who we are as individuals.

Likewise, the *Es* was translated by Brill and Strachey as the well-known “Id” rather than its more appropriate English equivalent of “it.” Bettelheim expounds on the results of these unfortunate translations. “The translation of these personal pronouns into their Latin equivalents—the “ego” and the “id”—rather than their English ones turned them into cold technical terms, which arouse no personal associations. In German, of course, the pronouns are invested with deep emotional significance, for the readers have used them all their lives; Freud’s careful and original choice of words facilitated an intuitive understanding of his meaning….

In creating the concept of the *Ich*, he tied it to reality by using a term that made it practically impossible to leave reality behind. Reading or speaking about the “I” forces one to look at oneself introspectively. By contrast, an “ego”…is something that can be studied from the outside, by observing others. With this inappropriate and—as far as our emotional response to it is concerned—misleading translation, an introspective psychology is made into a behavioral one, which observes from the outside. This, of course, is exactly how most Americans view and use psychoanalysis.”

The more personal *Ich* as Freud originally intended becomes the “I”, the essence of who a person truly is.

In a person’s psychical development, the *Es* is the original, most primal unconscious formation. The *Ich* develops as a person gathers experience from the world, but still requires external sources of protection, such as parents, from the primal

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4 Bruno Bettelheim, *Freud and Man’s Soul*, 53-54.
instinctual urges of the Es. Later, a psyche develops an internal protective entity, called the Über-Ich. Usually translated as the “Superego”, Über-Ich is the much more personal “above” or “over” I which “denotes an integral part of the person—a controlling and often overcontrolling institution of the mind which is created by the person himself out of inner needs and external pressures that have been internalized.” By replacing the authority of the parents and society, the Über-Ich renders the psyche somewhat self-regulating.

When a psyche loses its synthesis, Freud believed that the Ich was unable to properly deal with its own functions as well as its interactions with the world around it. This loss stems from a conflict between the instinctual urges which originate with the Es and the restrictions placed on it by the Über-Ich. In a state of proper synthesis, the Ich is able to balance these two opposing forces of instinct and restriction. But when a neurosis occurs, the Ich “is torn apart by mutually opposing urges, unresolved conflicts, and unrelieved doubts.” The task of the psychoanalyst is to reestablish the necessary synthesis in the patient’s psyche “by tracking down the material and urges that have penetrated it from the unconscious and by exposing them to criticism by tracing them back to their origins.” As Freud states, psychoanalysts have “served him [the patient] best if we manage in our capacity as analysts to raise the psychical process in his Ich

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5 Bettleheim, *Freud and Man’s Soul*, 58.
onto a normal level, transform material that has become unconscious, repressed, into *preconscious* material and thus give it back to the *Ich.*"⁸ If successful, the psyche’s lack of synthesis is brought to a conscious, surface level. The patient’s awareness of the unconscious origins of his neurosis returns control over the instincts from the *Es* and the restrictions from the *Über-Ich* to the *Ich*, the essence of who s/he is as an individual, and restores the synthesis, balance, and cohesion in the individual’s psyche.

**Freud’s Functions of the Analyst**

In his description of the psychoanalytic process from *An Outline of Psychoanalysis*, Freud lists the analyst’s three functions in treating a patient: 1) “as authority and parent substitute,” 2) “as teacher and educator,” and 3) at the very best, as an aid to transforming “material that has become unconscious, repressed, into *preconscious* material and thus giv[ing] it back to the *Ich.*”⁹

Freud’s first function of the analyst is that of an “authority or parent substitute.” The psychoanalytic patient often has difficulty overcoming the censorship that is carried on within their own psyche and therefore cannot fully explicate an unthwarted path to his/her innermost thoughts and problems. To reveal these latent unconscious thoughts in their true form, the power of authority and therefore censorship has to be transferred to the analyst to allow the free flow of unconscious material and thus the

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achievement of a productive psychoanalytic experience. This transference of authority releases the internal act of censorship and allows the free association process of gathering unconscious data to begin.

Having garnered this status of authority, the analyst “as teacher and educator” serves to guide the analysand through the process of reconstructing his/her freely associated unconscious materials into a newly synthesized narrative that demonstrates the unconscious locus of origin of his/her neurosis. The culmination of these narrative constructions that synthesize the freely associated unconscious material allows the third function of the psychoanalyst to be achieved.

The final function of the analyst is “to raise the psychical processes in his [the patient’s] Ich onto a normal level, transform material that has become unconscious, repressed, into preconscious material and thus give it back to the Ich.” The psychoanalyst reconstructs a path from manifest conscious descriptions to their unconscious origins and consequently demonstrates for the analysand how these latent unconscious materials have been manipulated in his/her psyche and transformed into conscious manifestations that often disrupt the balance of the psyche. As a result of a successful psychoanalysis, balance is restored to the analysand’s psyche, his/her psychical processes are normalized, and his/her Ich, the essence of who s/he truly is as an individual, regains psychical control. The two Freudian concepts of free association and constructions are integral to all three of these functions of the psychoanalyst. To understand the true essence of psychoanalysis and how these three roles of the psychoanalyst are to be achieved, let us explore these two concepts in more detail.
Free Association

Freud was drawn to the technique of free association because it lacked much of the suggestive element of previous methods of psychotherapy such as hypnosis. As a means to get the patient to reveal his/her own inner thoughts, the concept of free association is of critical importance in psychoanalysis. Without it, the goal of locating the unconscious origin of conscious manifestations is unreachable. Without free association, the only materials that will rise to the conscious level are censored psychical distortions that hide the true unconscious source material. In the free association portion of a psychoanalytic session, the analysand is encouraged to discuss any topic openly using words and narrative structures that may or may not be coherent. But while the patient’s words do not have to make sense; they do need to express the truth, or as close to that truth as possible. The purpose of this practice of free association is to circumvent the censorship function of the Über-Ich that inhibits the unconscious latent content from revealing itself. For the psychoanalytic patient, the goal of free association is to reveal the latent content in his/her unconscious, the true cause of the neurosis, uninhibited by preconceived parameters.

Psychoanalysts use free association to gather information. If the patient spends too much time thinking about his/her thoughts and the answers to certain questions posited by the analyst, the Über-Ich is given time to censor, and therefore misrepresent, the true unconscious origins of his/her neurosis. The psyche of the analysand edits

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10 Sigmund Freud, “‘Psychoanalysis’ and ‘Libido Theory’ (Second Introductory Lecture),” Shaun Whiteside, trans. The Penguin Freud Reader. Adam Phillips, editor. (London: Penguin Books, 2006), 108-109. Here, Freud discusses that the fundamental problem with the use of hypnosis was its over-reliance “on the doctor-patient relationship, and thus behaved as though it were the consequence of ‘suggestion’, and if that particular relationship was destroyed all the symptoms reappeared as though they had never found a solution.”
certain materials that it deems unimportant or perhaps too revealing and taboo for the individual’s conscious perception. Thus, critical information is withheld from both the analysand’s conscious and the analyst for the proper evaluation of the origins of the analysand’s neurosis. The process of free association attempts to prevent any censorship by having the analysand recount all information freely, regardless of its seeming lack of importance or relevance to the given topic of conversation. Thus, all psychic material, both relevant and irrelevant to the analysis, is allowed to flow freely in the psychoanalytic session, and in the end, is often shown to have profound relevance previously unknown to the analysand’s conscious perception.

In his “Two Encyclopaedia Articles” (1923), Freud describes the process of free association as follows.

The procedure of ‘free association’ has been retained in psychoanalytic work. Introduction to the treatment involves persuading the patient to put himself in the position of an attentive and passionate observer of himself, only ever reading the surface of his consciousness and on the one hand imposing upon himself the duty of the most complete honesty, on the other to keep silent no idea that occurs to him, even if 1) he found it too unpleasant, or 2) if he were forced to judge it nonsensical, 3) too unimportant, or 4) it was not what he was looking for. It regularly becomes apparent that the ideas which provoke these latter observations are precisely those which are of special value for the revelation of forgotten material.  

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The patient must not artificially construct a cohesive narrative. Just as in the act of writing a book or a story, the act of creating a cohesive narrative of one’s thoughts involves the editing and sorting of all psychical material to make it rational, at least to the author. The danger in this editorial process is the potential omission of certain unconscious materials, materials that may be key to the understanding of the content and source of causation behind a person’s behavior and neurosis. Adam Phillips has described the absence of editing in free association in terms of a creative process:

The psychoanalytic patient as autobiographer is an unusual kind of artist; he is, as he free associates, an artist without standards. The artfulness of the writer is her selection of words; consciously or unconsciously some words are considered to be better than others. Knowingly or not, the creative experience of writing is a series of decisions. Freud defines his patient by requiring something specific of him; that he will become, as it were, the anti-artist of his own life; he will abrogate, in so far as he is able, the choice of words. He must speak as though none of his words are any better than any others; none are more accurate, or more truthful, or more melodious. He must speak as though he is someone who doesn’t yet know which of his words are valuable, and in which ways they are valuable. He must become like a medium for the language inside his body. He is not being encouraged to speak as though he didn’t know how to speak, but as though he didn’t know how to mean what he said, or when he said what he meant.¹²

Construction

As the patient freely associates thoughts that come to mind, cohesive and logical or not, it is the analyst’s job during the psychoanalytic session to interpret and to weave these free associations into a logical narrative that will help the patient deal with his/her censored repressed unconscious materials. This is the process of construction. The ultimate goal is not a story crafted to be acceptable to both the patient and the analyst;

the goal is to recraft the truth, the story of the innermost and truest unconscious desires and thoughts of each patient. To quote Phillips:

The patient may not be able to make sense of what he is saying but it is hoped that the analyst can. The patient free associates not exactly to or at a listener but in the presence of one. There is, that is to say, a modeler somewhere in the room; someone who can make some sense of the verbal proceedings. And yet it might be equally plausible to say that the analyst is a carver and that the patient is the modeler. The patient keeps imposing himself on his own words (keeps performing his egotistical sublime); and the analyst, through analysis, tries to get his own censorious ego/super-ego out of the way so he can speak without impediment; realize the words banked up, waiting inside him. But it’s clearly more complicated than this; especially if what is there deemed to be seeking some kind of release is unconscious memory and desire. After all, what would it be for all this pastness (in whatever form), all this forbidden desire, to come through? It is, of course, at moments like this that people start using words like ‘floodgates’ and ‘barbarism’; and, indeed, ‘family values’. So perhaps it would be better to say that the analyst is helping the patient to be a better modeler, more satisfyingly selective. The patient might become a less restrictive guardian of his vocabulary; he may, at least to some extent, be able to tell people what he seemed to want from them, and be prepared to take the consequences of such desire as he has. But if the analyst helps him with his modeling; frees him, not necessarily to be less censorious, but to be more able to evaluate for himself his own censoriousness, and to see what it is worth to him; then the question arises – when it comes to talking or writing, when it comes to words, when it comes to autobiography – what would it be to be a carver? Is there a life story waiting to be told, awaiting the conditions for disclosure? Can we assume Denis Donoghue’s words, ‘that the person contains within herself a life story invented for her by nature; so the artist’s (the analyst’s) desire is merely to liberate that story, to disclose its hidden face? If one’s life story, or the life stories that constitute one’s life story, are like this – if the analogy with sculpture holds – then, if the carver had done her work, nothing will have been made up. For the carver there is a true story to be told; the creative experience is this struggle for accuracy, for sentences that correspond to what happened. If the autobiographer told us at the outset that she was aiming not to tell the truth we would wonder what she was up to; we would wonder what to call what she was doing.13

According to Freud, every unconscious latent element in a person’s psyche represents wishes or desires. Thus, these unconscious latent materials have a kinetic psychical energy that propels them to the conscious in order to fulfill a particular wish. The path to the truth lies in allowing these unconscious wishes to manifest in the conscious with minimal alteration by the Über-Ich. By circumnavigating the censor, free association enables this truth-seeking process. In the words of Phillips, it “liberates that story,” the true story with nothing made up by the censor and thus hiding the unconscious truth. And it is the psychoanalyst that serves as the “carver,” as Phillips puts it, for the freely associated material that the analysand provides. Free association is the analytical task of the analysand who provides a multitude of seemingly unconnected material, all originating from a common unconscious source. The analyst’s task then is to demonstrate a path to the unconscious origin, “to find their way through such material to that which had been forgotten or warded off.”14 The analytic task of construction involves the retracing of the psychical path.

In describing the task of the analyst, Freud distinguished between two types of analytic processes: interpretation and construction. “Interpretation relates to some element of the material, an idea, a mistake, etc., that you are working on. But construction means that you present the analysand with a part of his forgotten early life-story….“15 Psychoanalysis does not just involve the act of deciphering various

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observed free associations as individual entities. The analyst’s task, going beyond mere interpretation, is to recreate a narrative that integrates these phenomena within a larger context, to connect them to unconscious origins stemming from past experiences.

In doing so, the analyst reconstructs the past based on the freely associated material provided by the analysand. “The analyst has not experienced and not suppressed the things in question; it cannot be his job to remember anything. So what is his job? On the basis of the signs it has left behind, he has to guess what has been forgotten; or rather, more accurately, to construct it.”¹⁶ The construction of the narrative gives the analysand a context in which they can understand the problem and its origin. Only through this process of reconstruction can the healing process be initiated and the analysand can understand how and why s/he reacts to certain external circumstances and internal thoughts.

The process of construction constantly changes during the analytic process with different stages being built simultaneously: “The analyst completes a piece of reconstruction, communicates it to the analysand so that it can have its effect upon him; then he constructs a further piece from the new material that begins to pour out, proceeds with it as before, and continues alternating in this way to the end.”¹⁷


As mentioned earlier, Freud liked to compare the task of the psychoanalyst to that of the archaeologist who examines remains of past civilizations and must construct the missing surroundings that give these remains a context in which to be understood. “Both [the psychoanalyst and the archaeologist] are granted the right to reconstruct by piecing together and completing the existing remains.”\(^{18}\) He adds, “…the analyst works under more favourable conditions than the archaeologist because he has material available for which there is no equivalent in an excavation; for example, the repetition of reactions dating from the early stage, and everything brought to light about these repetitions by the transference relationship. Moreover, we must consider that an excavation involves objects that have been destroyed, and that large and important fragments of these objects have quite certainly been lost, through mechanical force, fire and looting.”\(^{19}\) In psychoanalysis as opposed to archaeology, “everything essential is preserved; even things that seem to have been totally forgotten are present somehow and somewhere, though buried and not accessible at the individual’s will.”\(^{20}\)

As Freud mentions, constructions are made gradually and change constantly. The analyst gathers unconscious data from the process of free association and constructs a narrative in which this psychical data may temporarily dwell. In


describing each construction to the analysand, new unconscious data may be triggered and made conscious in a psychoanalytic session. Once this new data is revealed, the analyst revisits his construction and reshapes it into a new construction incorporating the new psychical revelations that have been made conscious by the analysand. This new construction is then narrated to the analysand and the process continues until a synthesis is achieved and the analysand is able to live peaceably with the manifest material.  

As the process of construction and reconstruction continues, some of the analyst’s constructions will inevitably be incomplete if not altogether wrong. Freud notes that this is both unavoidable and harmless as long as it does not happen regularly. “…It does no harm if we sometimes go wrong and present the patient with an incorrect construction as the probable historical truth….The appropriate moment arises when new material comes to light, which permits a better construction and thus the correction of the mistake.”

The trick for the analyst is to discern the reactions of the analysand toward these constructions. The analysand may either respond favorably or adversely to the presented construction. The analyst then uses this reaction to gauge the accuracy of his/her construction. But the reading of reactions is more complex than a simple yes or no. A simple ‘yes,’ for example, can actually be a quick response to get the analyst to proceed beyond an uncomfortable topic. Likewise, a simple ‘no’ can often be a sign

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21 Freud, “Constructions in Analysis,” 214.
of “a resistance that may be provoked by the content of the construction put forward.”

“Since every construction is incomplete and contains only a small part of the forgotten events,” the simple ‘no’ might “not actually deny what [the analysand] has been told,” but stem from resistance about the “part of the material that has not yet been revealed.” Indeed, “the only safe way to interpret his ‘no’ is an indication of incompleteness; the construction has certainly not told him everything.” The truest way for an analyst to confirm the accuracy of a construction is for the analysand then to follow the construction with further confirmative memories that relate to the construction and enhance its context. “The ‘yes’ is only valuable if it is followed by indirect confirmations; if he produces new memories directly linked to his ‘yes’, which supplement and extend the construction. Only in that case do we recognize this ‘yes’ as fully settling the point in question.” These confirming memories are then incorporated by the analyst into the construction and a new, even stronger construction is created.

Recently, Phillips has discussed the creative process in the constructions portion of the psychoanalysis. First, there is a creative process in the free associations made by the analysand. Here, the analysand tells a story to the analyst that has likely been

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censored to make it presentable to the strictures of the conscious. This pre-construction of sorts made by the analysand rather than the analyst is to be avoided as much as possible. This first act of construction made by the analysand must be deciphered by the analyst. The task of the free association process is to restrict as much as possible “the creative experience of keeping oneself safe.” According to Philips, the analyst needs “to speak as though their language has no meaning.” The goal of the analyst’s act of construction is to provide this meaning. If the analysand is successful in freely associating his/her thoughts without any conscious ascription of meaning, then the analyst is able to see through the censor and create a construction that points to the unconscious origins of these revelations from the analysand.

The patient speaks: the analyst helps him recognize and understand his resistances to speaking; and, ideally, the patient can speak a little more freely. This is Freud’s more or less traditional account of creative experience, redescribed and adapted for a therapeutic setting. The post-romantic image of the struggling artist – emotionally tormented and economically deprived – becomes the neurotic patient struck dumb, or struck banal, by his forbidden (incestuous) desires. In this version creative experience is a creative overcoming.

The patient may not be able to make sense of what he is saying but it is hoped that the analyst can. The patient free associates not exactly to or at a listener but in the presence of one. There is, that is to say, a modeler somewhere in the room; someone who can make some sense of the verbal proceedings. And yet it might be equally plausible to say that the analyst is a carver and that the patient is the modeler. The patient keeps imposing himself on his own words (keeps performing his egotistical sublime); and the analyst, through analysis, tries to get his own censorious ego/super-ego out of the way so he can speak without impediment; release the words banked up, waiting inside him…[P]erhaps it would be better to say that the analyst is helping the patient to be a better modeler, more satisfyingly selective. The patient might become a less restrictive guardian of his vocabulary; he may, at

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28 Ibid.
least to some extent, be able to tell people what he seemed to want from them, and be prepared to take the consequences of such desire as he has. 29

Seen in this light, free association and construction can better heal the patient. The analysand comes to the analyst in a state of confusion unable to decipher his/her thoughts and actions. In Phillips’s words, s/he seeks “a creative overcoming.” The analysand wants to be able to create a logical narrative that traces the origins of the neurosis and thus relates these origins to his/her consciously experienced daily life. In order to achieve this act of therapeutic healing, s/he must overcome his/her own censored act of construction moving toward the unrestricted, uncensored outpouring of freely associated thoughts. The analyst then reconstructs the origins of these freely associated thoughts, demonstrating a narrative closer to the true origins in past experiences deep within the unconscious. As the analysand is able to “become a less restrictive guardian” and “a better modeler” of his/her conscious and unconscious thoughts, a therapeutic outcome be achieved.

Freud also addressed the termination of the analytic process, when we can deem an analytic treatment as having reached an acceptably therapeutic outcome. As he put it:

ending an analysis is in my view a practical matter. Every experienced analyst will remember a series of cases in which, rebus bene gestis [matters have been satisfactorily concluded], he and the patient were finally parted for good…Nobody is going to set themselves the aim of ironing out all human idiosyncrasies in favour of a schematic normality, much less demand that someone who has been ‘thoroughly analysed’

should feel no passions and be subject to no inner conflicts. The analysis should create the optimum psychological conditions for the functioning of the I; its task will then be completed.³⁰

In other words, a successful analysis does not provide a perfect resolution of every single conflict. Rather, it creates “the optimum psychological conditions for the functioning of the I.” Thus, the analyst sets out to release the patient back into the world, not necessarily with a complete lack of inner conflict, but rather with the ability to address and maintain these inner conflicts in his/her daily life. Indeed, Freud admits that in some sense an analysis is never truly complete. “…We count on the stimulation received in analysis continuing after the end of his sessions, the process working upon his I being carried forward spontaneously when he himself undertakes analysis, and the process making use, in this new sense, of all his subsequent experiences.”³¹ The therapeutic outcome of the psychoanalytic process then is that the patient is able to continue his/her own analysis in life, incorporating new experiences into recovered memories of past experiences. This restoration of an understanding across multiple psychical levels reveals analysis to indeed be therapeutic.

Schenkerian Music Analysis

In many ways a Schenkerian analysis of a musical composition is like a psychoanalysis of an individual psyche. Not that a given musical composition has developed a neurosis that should be analyzed by the musical analyst. Schenkerian analysts seek not a cure for a composition, but rather assistance in understanding the structural underpinnings that lie beneath the surface. They try to reveal the contrapuntal sources of causation for observable musical phenomena on the musical surface. Consider, for a moment, the following statement from *Free Composition*:

Cohesiveness takes pride of place in music, as in other things. The supreme secret of all cohesiveness, however, is: *Content, such as is arrayed before us continuously in the foreground, acquires the status of true cohesiveness only if it emanates from a cohesiveness that has already been detected with clear vision in the depths of a background.* But the axial cohesion that extends from background to foreground is at the same time the lateral cohesion that functions horizontally at foreground level. Only this type of cohesions, to put it biologically, attains the genuinely organic, the synthesis of a piece of music, the living breath. On life’s journey from conception in the womb and first cry at the moment of birth, through the long years of childhood and maturity and on into old age, man undergoes a development of body and spirit not unlike a traversal from background to foreground. Analogous to this is the way in which a living artwork develops in the imagination of the genius as he gazes out with clear vision into the depths and far distance, emerging from background to foreground. Whereas in the former case, creation by Nature is forever a closed book to us, by contrast in the latter the product of genius is only the handiwork of man, its secrets can and should nevertheless be subject to our investigation, for they are the secrets of a living entity that, while artifact, is just as plastic and no less organic. The clear-sighted and creative detection of

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cohesive forces is, however, in art as in all other areas of human thought and activity, the exclusive work of the genius. It follows from this that geniuses must always first be consulted through their works whenever it is necessary to advance the laws of cohesiveness that they observe. After all, who, when fortunate enough to have a place in the sun, would ever want to avail himself of anything else?

In music, the laws of cohesiveness cast light upon the generation and propagation of content, on the genesis of diminution as a process, and the links that it establishes between the smallest elements and formal units, and so on to form as a whole. It was I who recounted these, translating into words the workings of genius, and in this sense was the first to reveal them. In so doing, I have not only restored to the horizontal its ancestral prerogative (see above), but also unveiled its essence for the first time in all its profundity.

With all of this, the cohesiveness of the total content of a piece is provided and established as a unity between the depths of the background and the breadth of the foreground. Closely associated with the secret of such a cohesiveness is music’s total independence from the world around it, the being-based-within-itself that distinguishes music from all other art forms.  

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In der Musik geben die Gesetze des Zusammenhanges Aufklärung über die Inhaltsverzierung und mehrung, über die Entstehung der Diminution überhaupt und ihre Bindungen von den kleinsten Einheiten bis zu Formteilen und der Form in Ganzen. Ich habe ihn den Genies in Worten nacherzählt und in diesem Sinne als Erster aufgedeckt. Damit habe ich der Horizontale nicht nur ihr angestammtes Vorrecht (siehe oben) zurückgegeben, sondern ihr Wesen der vollen Tiefe nach erst enthüllt....

Mit all dem ist der Zusammenhang des ganzen Inhaltes eines Tonstückes als eine Einheit der Hintergrund-Tiefe und Vordergrund-Breite gegeben und begründet. Im Geheimnis eines solchen Zusammenhanges liegt mit auch die völlige Unabhängigkeit der Musik von der Umwelt beschlossen, das In-Sich-Selbst-Ruhren, das die Musik vor allen andern Künsten auszeichnet.” “Rameau oder Beethoven”
In this passage, Schenker makes the connection between the levels of musical development from background to foreground and human developmental stages from infancy to old age. Schenker even notes that this is not just a bodily development but a spiritual or psychical development as well. Schenker notes secret insights, hidden beneath the surface of a musical composition, that reveal the unconscious “imagination” of the genius composer. In its quest to find these secret insights, Schenkerian analysis is quite like psychoanalysis. Schenker’s reference to the genius composer is also an important connection to Freud. Freud’s Es is the instinctual source of all drives, both psychical and physical. Rather than any conscious willing on the part of the individual, it is the latent wishes originating in the unconscious Es that propel psychical material to manifest themselves in the conscious. Likewise, for Schenker, the instinctual forces of the genius’s imagination reveal processes of “generation and propagation of content” that manifest themselves at the musical surface.

The genius is merely a medium through whom the instinctual powers of counterpoint and harmony are consciously manifest as a musical composition. As the source of “generation and propagation of content”, Schenker’s Ursatz is much like Freud’s Es. Both the Ursatz and Es lie at an unconscious level, being the source of causation that the analytical processes of psychoanalysis and music analysis seek to uncover. For both Freud and Schenker, the conscious manifestations are not a product of either the individual’s conscious control in the psychoanalytic process or the composer’s conscious control in the compositional process. Rather, the source of

causation lies in unconscious processes over which neither the analysand’s psyche or
genius composer have control. Both musical and psychical manifestations are derived
from internal unconscious sources of causation, namely the *Es* and the *Ursatz*.

As is the case in the psyche, the surface of a musical composition often
disguises the true nature and relationships between its phenomena. As Schenker states,
these are the “secrets [that] can and should nevertheless be subject to our
investigation.” These musical transformations of the *Ursatz* disguise the original
unconscious relationships much like the act of censorship performed in the psyche by
the *Über-Ich*. As will become clear in Chapter 3, examples of such musical
transformations include chromatic alterations, contrapuntal expansions, and transfers of
register among many others. These surface level phenomena must be studied to reveal
the alterations made to them both by instinctual urges from the unconscious (Freud’s
*Es*) and restrictions placed on them from the diatonic system at a conscious
compositional level (Freud’s *Ich*). Rather than yielding a synthesis within a
composition that serves to treat the neurotic conflicts in that composition (as in a
Freudian scenario), a Schenkerian analysis of a musical composition yields a revelation
to the analyst of the synthesis already present within the various hierarchical levels that
make up that composition. The result of a Schenkerian analysis is thus a recovery of
the understanding of the transformational path from unconscious *Ursatz* to conscious
musical surface.

Freud’s summary of the psychoanalytic process from *An Outline of
Psychoanalysis* also helps to illuminate the process of Schenkerian analysis. A music
analyst reaches a point of musical neurosis so to speak in which the synthesis of the
surface-level structures in a particular piece and the musical meaning of their interactions become unclear. The problem here lies not necessarily in the musical composition itself, but rather in the analyst’s interaction with the music. The music composition can be said to reach a certain “nuisance value” for the analyst. Phillips has described this nuisance value in psychoanalysis. “For there to be change…, something has had to begin to feel like a nuisance.”\(^{34}\) For the psychoanalytic patient to seek treatment, he/she must first arrive at a point of nuisance in which the conflict within him/her is unbearable. Likewise, for the Schenkerian, the disintegration of our level of understanding of a musical composition must reach a high enough nuisance value for us to seek an analysis to restore our understanding of the synthesis at the musical surface.

Discussed earlier in this chapter, Freud’s description of the analytic process in An Outline of Psychoanalysis is particularly applicable to music analysis. Using Freud’s own words, the surface of a piece of music may appear to lack “any kind of orderly synthesis.” Likewise, it may appear to be “torn apart by mutually opposing urges, unresolved conflicts, and unrelieved doubts.” While the patient’s ego here is not weakened as in psychoanalysis, the analyst’s perception of the patient or musical composition is weakened. As Schenkerian analysts, we take up a “purely intellectual work of interpretation, which strives provisionally to fill the gaps” in our understanding of the musical surface. We endeavor to “incite it to take up the cudgels over every single demand made by the Es [or Ursatz] and to conquer the resistances that arise in

the process.” These musical resistances are encountered as the intricate surface-level harmony and counterpoint of a given composition and serve to inhibit our understanding of the true unconscious underpinnings of the musical structure. The Es in Freud’s theory is the primal instinctual source that drives us forward in our biological and psychical development. As the primordial contrapuntal structure that serves as the origin of each individual piece, Schenker’s Ursatz is much like Freud’s Es. But the transformations and diminutions made as a piece is made conscious serve as a defense against our perception of this primal structure. Just as does Freud’s psychoanalyst, the music analyst restores “order in the ego [music] by detecting the material and urges which have forged their way in from the unconscious, and expose them to criticism by tracing them back to their origin.” In other words, the Schenkerian analyst restores order in the understanding of a piece of music by exposing the unconscious structures in the background and deep middleground which have been transformed and disguised at the conscious musical surface.

As mentioned above, Freud lists three functions of the psychoanalyst in his/her treatment of a patient: 1) “as authority and parent substitute,” 2) “as teacher and
educator,” and 3) at the very best, an analyst serves “to raise the psychical processes in
his [the patient’s] Ich onto a normal level, transform material that has become
unconscious, repressed, into preconscious material and thus give it back to the Ich.”
While there is certainly no substitute, nor will there ever be a substitute, for a Bach,
Haydn, Mozart, or Beethoven, there is an aspect of music analysis in which we attempt
to discern the deepest structural underpinnings of a given composition; and in this
sense, we put on goggles of authority in an attempt to understand the original thinking
of the composer. This is not to commit the intentional fallacy and claim in any fashion
to know Bach’s, Haydn’s, Mozart’s, or Beethoven’s true intentions in composing a
given piece. And, unfortunately, Schenker himself is guilty of this with claims such as
“Beethoven’s Third Symphony: its true content described for the first time.” Both
Schenker and Freud were guilty of making such lofty claims to authoritarian
exclusivity. But in both psychoanalysis and music analysis, there is a point where the
analyst assumes the authoritarian position over the piece with decisions such as “I hear
it this way” or “Based on these observations, it seems most likely that this passage
functions in this way.” While coming short of the intentional fallacy and claiming to
know “this is what Beethoven meant here,” the music analyst must certainly maintain a
temporary authoritarian role over the musical composition similar to the role of the
psychoanalyst over the patient described by Freud.

Freud’s second function of a psychoanalyst is as a teacher and educator. This is
a role familiar to all music theorists. Whether in front of a classroom of undergraduates
or a conference room of our colleagues, we are always in some capacity serving as
educators in communicating our knowledge of a particular piece. After analyzing a
given musical composition, our task becomes the educational communication of the structure, synthesis, and our interpretation of the meaning of both the conscious and unconscious musical structures. But even within the intimate analytical situation between musician and musical composition, we still maintain our roles as educators. The role however is reversed from that of psychoanalysis. The psychoanalyst’s role is to educate the patient directly to a path of psychical synthesis. As music analysts, we are not educating the musical composition. It is almost as though the role is reversed and the musical “patient” is educating the analyst. Psychoanalyst Jeffrey Kottler has discussed just such a reversal of roles in the therapeutic process. The traditional viewpoint held by most therapists and Freud himself has involved a protective barrier placed against the inevitable transference of some of the analysand’s ill and often malevolent feelings that are refocused onto the therapist themselves. Controversially, Kottler acknowledges that there are risks for the analysts themselves involved in the therapeutic process.

Throughout the process of therapy, the relationship is our main instrument of cure. Although we try to insulate ourselves, and we are successful in doing so most of the time, leaks inevitably occur. As our warmth, caring, and power radiate toward the client, facilitating the kind of trust that will lead to more open exploration and constructive risk taking, so, too, do we experience intimacy, discomfort, and countertransference reactions that permanently alter our perceptions and internal structure. The more clients talk about subjects that touch on our own unresolved issues, the more insecure and incompetent we feel about ourselves.

To take on a client, any client, is to make a tremendous commitment to that person, which in some cases could last weeks, months, or even years. For better or worse, no matter how the client behaves, we feel an obligation to be available, understanding, and compassionate....
What do we do with the stories we hear? How do we hold them? How do we live with them? The answer, in part, is with difficulty.  

Kottler believes so strongly in the inevitability of change occurring in the psychoanalyst as well as the patient during the analytic process that he has published a separate set of stories by 22 analysts. In each of these stories, the analysts, including Kottler, describe how their lives in some capacity have been altered by encounters with patients. In each case, the analyst served as teacher and educator of the patient, but in some capacity, the role has also been reversed. The analysand has inadvertently served in some capacity as teacher and educator for the analyst, and the change that has occurred has not resulted in the expected result of being “inadvertently changed for the worse.” Rather, the change in the analyst has been positive, one might even say therapeutic for the analyst. This reversal of roles will prove to be key in comparison to Schenkerian analysis below.

Freud’s third function of the psychoanalyst has perhaps the most in common with the process of Schenkerian analysis. “We will have served him best if we manage in our capacity as analysts to raise the psychical processes in his Ich onto a normal level, transform material that has become unconscious, repressed, into preconscious material and thus give it back to the Ich.” The goal of psychoanalysis is not to purge the “forbidden” latent material that is being censored from our conscious perception. Rather, it is to bring the latent material to consciousness and to make the individual

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aware of this censored unconscious material to synthesize it as a part of his/her daily life. If one is unaware of the internal conflict, no progress toward reconciliation can be made. The idea is that if one is aware of the internal conflict, one can learn to cope with it as a part of this process of synthesis between unconscious and conscious materials.

The unconscious latent material involved in both the psyche and a musical composition are quite similar. From a Schenkerian perspective, the Ursatz and deep middleground structure of a particularly complex piece of music is often somewhat disguised at the conscious musical surface. Like the psychoanalyst, it is our task as Schenkerians “to raise the [contrapuntal] processes in [the Ursatz] onto a normal level, transform [deep middleground] material that has become unconscious, repressed, into preconscious [middleground and foreground] material and thus” achieve a cross-level synthesis of contrapuntal and harmonic processes or, as Freud says, “give it back to the Ich.”

Freud’s Ich is partially located outside the unconscious structural level of the psyche and is thus able to be used in conscious-level functions. Likewise for the Schenkerian, a conscious awareness of the latent content of a piece, and its synthesis with our conscious view of that piece, is the goal of musical analysis. For Schenker, it is only when a synthesis of understanding has been achieved across all structural levels that meaning of a musical composition can be properly understood. In achieving this restoration of synthesis, the Schenkerian uses the psychoanalytic processes of free association and construction discussed above. By gathering freely associated data from the musical surface and reconstructing the path of development from the unconscious
Ursatz to the conscious musical surface, the Schenkerian analyst achieves a restoration of the synthesis of the musical psyche.

Schenkerian Free Association

In a psychoanalytic session, the analysand is encouraged to openly discuss any topic with any words whether coherent or not, in other words to freely associate any and all unedited material. The initial insights of a music analysis are gathered in a similar manner. In order to prevent any ill-formed analyses created by an emphasis on preconceived biases rather than on the data available in the music, the analyst simply sits and listens openly to a piece of music, gathering information as freely as possible. The purpose of the psychoanalytic practice of free association is to circumvent the censorship function of the Über-Ich that inhibits the unconscious latent content from revealing itself. Likewise, the purpose of this initial exercise in a Schenkerian analysis is to allow the discovery of the undergirding background and middleground materials that serve as the structure behind the manifestation of the musical surface.

As in psychoanalysis, this initial process of free association is critical in Schenkerian analysis for finding the deepest sources behind a composition. Both Schenker and Freud refer to this as maintaining “honesty” and finding the “truth.” Most of the musical information that comprises an individual composition at the level of foreground, middleground, and background can be gleaned from the given composition being analyzed. This is not to say that a musical composition exists as an island completely cut off from the entire corpus of music composed by that composer or the corpus of music that is in a style or genre similar to the given composition or the
corpus of music as a collective whole. Comparison of a given composition with other similar works is certainly well within the scope of and vital to both Schenker’s and Freud’s systems of analysis. Without global comparisons, generalizations and laws concerning the behavior of music or the psyche cannot be formulated. However, as analysts we must be careful to listen to the communicated features coming directly from the analysand currently under scrutiny. It is only in a composition’s uniqueness that the analyst can glean the necessary information to properly evaluate what particular musical or psychical path is manifest in front of them. As with Freud’s observations of the human psyche gleaned throughout his medical practice, we know from an endless number of musical observations how functionally tonal pieces usually do and do not behave according to the expected principles of harmony and counterpoint. We, as analysts, certainly begin an analysis of a composition with these parameters in mind. However, the actual information that we will be processing can only originate in the given musical analysand.

When examining a musical surface, the Schenkerian analyst must be careful not to ignore certain seemingly insignificant details or likewise to over emphasize certain phenomena simply because they are salient in some manner on the musical surface. As with the psyche, the musical surface often disguises the true structural underpinnings lying beneath the surface. In order to circumvent this deception, the Schenkerian analyst must be careful to allow all surface-level phenomena to be spoken for prior to making an analytical decision. This is the listening portion of the analytic process.

As discussed before, the human patient joins the analyst in observing all thoughts regardless of their seeming relevance. The psychoanalyst encourages the
patient to loosen the bounds of censorship regardless of the level of pleasantness or coherence present in the content of their thoughts. Likewise, the Schenkerian analyst listens to all elements of a piece of music regardless of whether the observations made are, in Freud’s words, “unpleasant,” “nonsensical,” “unimportant,” or “what he was looking for.” As in the psychoanalytic patient’s free association, the Schenkerian analyst’s initial observations do not have to make sense or follow any narrative logic at this point. If too many restrictions are placed on the observations of the musical surface a priori, the Schenkerian analyst may overlook something critical to his/her understanding of the piece that s/he would have otherwise discounted as insignificant. The purpose of Freud’s practice of free association is to circumvent the censorship function of the Über-Ich that inhibits the unconscious latent content from revealing itself. In Schenkerian theory, the processes of transformation and prolongation in the middleground disguise the unconscious origins of a piece in the Ursatz. The Ursatz is still certainly present at the foreground, but clues to its location are often hidden behind the seemingly obvious portions of the conscious musical surface. In order to discern and bypass this musical censorship of sorts, the Schenkerian analyst must practice a similar form of free association accounting for all surface-level data before reconstructing the hierarchy of pitches from unconscious Ursatz to its foreground manifestation. This is not to say that there is a lack of hierarchy in regard to pitches at the surface. But the hierarchy must be revealed as a product of the background structure rather than the hierarchy as it is presented at the musical surface.

This is precisely how Schenker formulated his theory of musical structure. As a piano teacher and editor, he looked at countless pieces of music through a process of
free association. He played, edited, and taught each piece until he knew all of the freely associated surface phenomena intimately. This is the portion of music analysis prior to actual interpretation or reconstruction of musical structure. Similar to the thinking of Freud and Phillips, Schenker often references the genius composer as a medium for the expression of music. From a Freudian perspective, the music analyst has a similar task in gathering the true essence behind a musical composition. With only slight alteration to Phillips’s description of free association, it becomes quite applicable as a first step for the Schenkerian analyst. “He must [listen] as though none of his [notes] are any better than any others; none are more accurate, or more truthful, or more melodious. He must [listen] as though he is someone who doesn’t yet know which of [the notes] are valuable, and in which ways they are valuable. He must become like a medium for the language inside [the musical composition].”^40

Schenkerian Construction

In psychoanalysis, the forming of a construction represents a synthesis into a unified narrative whole of the data gathered through free association with newly gathered data that has undergone progressively more and more manifestations during the psychoanalytic process. Schenkerian analysis involves a similar process of constructing a narrative both in prose and graph forms that synthesizes freely associated surface phenomena with deeper unconscious structures that lie beneath the musical surface. In comparing Freud’s constructions to the construction of a Schenkerian analysis, it is interesting to note that Schenker preferred the term “synthesis” to

“analysis.” In its formation in the United States, Schenkerian theory is most often presented as Schenkerian analysis, as a process of dissection and reduction in an effort to discover the Ursatz guiding the musical surface. This has often led to accusations of circular reasoning as Schenkerians are said to be searching the musical surface for something that they, according to their accusers, know is already there. But Schenkerian theory, at least as Schenker himself presents his theory, is a process of synthesis, a generative compositional process moving from the unconscious Ursatz toward the conscious musical surface. In examining a musical composition, the Schenkerian seeks to find a cross-level synthesis of transformational processes that link the surface manifestations of the foreground to their unconscious structural Stufe in the background. It is in this formation as a process of synthesis that Schenkerian music theory most aligns with psychoanalytic theory. For in the transformational processes of the psyche, it is also the task of the psychoanalyst to find a synthesis between latent, unconscious material and its conscious manifestation in dreams and fantasies.

Although both disciplines certainly involve an analytic component, the true goal for both psychoanalysis and Schenkerian analysis is to reconstruct a generative path from unconscious to conscious and thus demonstrate a synthesis of materials across these levels. Adele Katz, one of the first English-language writers on Schenkerian theory, discusses this important difference between analysis and synthesis.

Through the study of hundreds of compositions dating from the Middle Ages to the present day, Schenker has arrived at certain conclusions which differentiate between the raw materials of music and music as an art. His conclusions are based not on what has been written about this or that composer, nor on the various explanations that have been given by
conventional theorists, but solely on what consciously or unconsciously the composers themselves have revealed in their own writings. It is at this point that Schenker and the earlier theorists part company in their approach to the study of any work of music. This difference can be largely explained by the definition of the two words, Synthesis and Analysis.

**Analysis** is the dissection of a work into its various parts.

**Synthesis** is the re-assembling of a work whose various parts grow out of one principle.

In applying the former method, the theorist is concerned with examining each chord as a specific harmony; with differentiating between the parts of a musical form by indicating the various themes and labeling them; with classifying a composition as belonging to an early or later style of the composer; and finally with pigeon-holing the work into the particular period (classical, romantic, post-romantic, impressionistic, etc.) to which the theorist thinks it rightfully belongs.

Such an outward approach, which deals solely with the more obvious aspects of a work, has little to do with the actual music. Music as it evolves out of a single idea, as it concerns itself with the fundamental plan of the composer, its inner structure—these things have never been discussed before because the conventional system of analysis has been based on the theoreticians’ principles rather than on the actual music of the composers themselves. Out of so-called theoretical analysis, there has grown up a system of certain hide-bound rules and regulations which has had two deplorable results. One is the misunderstanding which obscures much of the music of the masters; the other, the recognition of certain man-made conventions and traditions, from which the composers of the present day are seeking to free themselves by ignoring the very laws of nature to which the art of the older masters conforms.

**Synthesis**, on the other hand, is concerned primarily with the inner life of the composition as a whole, the life that finds expression in every phase of the composition as it unfolds. Synthesis searches beyond the outward appearance, which changes from one period to another, for a principle of Coherence, and discovers it in certain basic laws of musical sound which the genius of every age has used as raw material. That is, the conventional theorists taught that the styles of music differed in various periods and that the principles which underlie the art of Bach and Chopin are as far removed from each other as the sociological forces that dominated life in their two epochs. Schenker, however, proves that the fundamental principles [tonality, harmony, and counterpoint] which govern the music of all great composers are the same.\(^{41}\)

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Katz’s description of Schenkerian synthesis could easily be taken as a description of Freud’s theories on constructions in analysis and on the psychical processes as a whole. Like Schenker, Freud saw the importance of an “inner life” present at an unconscious level that expresses itself by unfolding or transforming into a conscious manifestation. The “outward appearance” as seen in a dream, fantasy, or simple freely-associated recollection changes from its original unconscious form. Like Katz’s Schenkerian, the psychoanalyst “searches beyond the outward appearance…for a principle of Coherence, and discovers it in certain basic laws…which [have been]…used as raw material.” For the psychoanalyst, this principle of Coherence is found across the various stages of a person’s psycho-sexual development and the raw material that drives this developmental process is the libido, not unlike Schenker’s der Tonwille. Connections between these two drives will be discussed further in Chapter 2.

Katz defines synthesis as “the re-assembling of a work whose various parts grow out of one principle.” For her as for Schenker, it is the inner life of music and the search for the coherence that holds that inner life together that is important in the process of Schenkerian music synthesis. In the process of “re-assembling” a work, Schenkerian synthesis is much like a Freudian construction. The processes of psychoanalysis and Schenkerian analysis involve an analytic process in the service of a greater task of reassembling a synthesis across multiple levels of consciousness and unconsciousness. William Pastille has discussed this bidirectionality in Schenker’s theory. Pastille describes the organicist concepts of growth and unity which represent different directions characterized by centrifugal and centripetal forces. “Growth may be characterized as the centrifugal force in the organic realm; it drives the organism to
expand outward, away from its metaphysical center. Unity, on the other hand, pulls the organism in toward its metaphysical center. By contrast with growth, its polar opposite, unity may be called the centripetal force of the organic world.”

In Schenkerian theory, the unconscious seed of each tonal music composition is the *Ursatz*. The *Ursatz* unifies the entire musical composition as an unconscious summary of the surface level phenomena. As Pastille notes, it “pulls the [musical] organism in toward its metaphysical center.” The *Ursatz* has a dual function. While it serves to unify a musical composition, it simultaneously is the source of the growth of the same composition. Its contrapuntal structure, pulling away from tonic and then back toward it, “drives the organism to expand outward, away from its metaphysical center.” From this perspective, a Schenkerian graph can be seen as progressing in two directions. From a bottom-up perspective, the graph represents a reduction of a musical composition from its conscious-level musical surface to its unconscious background as an *Ursatz*. This bottom-up perspective is what is meant from the term “analysis.”

When presenting a Schenkerian analysis, the theorist examines the musical surface looking for clues that reveal the structural pillars that undergird the surface. Through a series of gradual transformations in the middleground, they reduce this musical surface down to the *Ursatz* that provides the unconscious origins of the piece. This is not necessarily how Schenker viewed his own graphic analyses with his preference for “synthesis” over “analysis.” From this top-down perspective, a Schenkerian graph represents a generative model of a musical composition from its

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unconscious origins in the *Ursatz* of the background through a series of transformations in the middleground to its conscious manifestation in the foreground. This generative direction, from top-down, is what is really active in a Schenkerian analysis. Rather than what seems to be a reductive *analysis*, a Schenkerian graph, at least within Schenker’s original theoretical formulations, represents a retelling of the story of how a musical composition was generated. It shows a process of *synthesis* from the *Ursatz* as a prototypical structure in the unconscious to its final conscious manifestation as a musical composition. And it is in this process of synthesis, as a reconstruction of the generation from a musical piece’s unconscious origins in the *Ursatz*, that aligns well with Freud’s thoughts on constructions in the psychoanalytic process.

Noted Schenkerian Carl Schachter has also discussed this common misconception of Schenkerian analysis as a reductive analytical process rather than Schenker’s true intention of a generative process of synthesis. In doing so, he also highlights similarities between Schenkerian syntheses and Freudian constructions. Schachter calls into question “the widespread belief (even among many Schenkerians) that Schenker’s approach is based on reduction.” He notes that the often-employed approach of “progressive reduction” across various stages from foreground to background is inadequate because many structural elements assumed to be in the background structure are missing from the musical surface. Therefore, a purely reductive analysis is rendered ineffective. “…the road to the background through reduction becomes blocked.” Instead, “…what the analyst must do is to arrive at the

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intuition of some higher level – middleground or background – and to test that intuition against the totality of impressions made by the piece. Each higher level – from piece to foreground to the various layers of middleground and to background – represents a horizon that clarifies and gives meaning to the level beneath it; but not every element of the higher level need be literally present in the lower one.”

Like Schenker’s graphs, Schachter’s analyses involve constructions that are offered regarding observations made from the musical surface. Following Schenker, Schachter posits that there is a dramatic effect created by the “projection of structure” from the unconscious background into the conscious foreground. He describes the projection (through the somewhat Freudian manner of omission) of $3^\flat$ in the final movement of Beethoven’s Moonlight sonata. “The $3^\flat$, in particular, with its delayed first appearance, its suppression in the recapitulation, and its reappearance at the catastrophe, almost takes on the role of a character in a story or play. Here, if ever, Schenker’s phrase “das Drama des Ursatzes” is justified.”

By thinking of the Ursatz in dramatic terms, Schachter calls to mind the types of narrative created in a Freudian construction. As in psychoanalysis, Schachter, the analyst, makes observations from the free associations offered by the musical composition, the analysand. He collects this conscious data and weaves a narrative or a Schenkerian construction. The construction is then offered with reference back to the musical surface. Schachter notes that “the hearing of structure cannot be confined to the mental representation of “what is there” in the music, but also must encompass the

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46 Schachter, “Structure as foreground: “Drama des Ursatzes”,” 299. Schenker’s note concerning “das Drama des Ursatzes” is found in Der freie Satz (1935), §315, 210; Free Composition, §315,137.
active searching out of what is implied by what is there.” The act of creating a Schenkerian construction of the undergirding musical structure involves this process precisely. Like the psychoanalyst, the Schenkerian analyst offers various constructions narrating and providing cohesion to their ideas regarding what that background structure might be. In exploring Brahms’ song, “An eine Äolsharfe,” Schachter posits two possible constructions. Like the psychoanalyst, he then offers them back to the analysand to receive either confirmation or dismissal. One of the two constructions receives a positive affirmation from the musical surface, gathering further corroborating evidence now made conscious through the stimulation of the musical construction. In psychoanalytic understanding, an offered construction is rendered a positive affirmation when “it is followed by indirect confirmations, if the analysand produces new memories directly linked to his/her ‘yes’, which supplement and extend the construction. Only in that case do we recognize this ‘yes’ as fully settling the point in question.” For Schachter and indeed for Schenker, these “new memories…which supplement and extend the construction” are parallelisms across the musical surface as well as at the deeper levels of middleground and background. As he notes, the construction that stimulates more musical “memories” from the surface may not necessarily be the construction that the analyst first deemed most logical. Schachter emphasizes the need for additional material from the musical surface to provide affirmation of the accuracy of a construction. “[The corroborating evidence] means

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that our first, initially less plausible, interpretation gives the primary sense of the passage.” As in Freud’s description of psychoanalysis, the Schenkerian analytic session continues through the process of observation, construction, analysand response, and reconstruction until a resulting construction is made that is deemed satisfactory to both the analyst and analysand. As in a psychoanalytic session, this process may continue ad infinitum as new data is received. This is the endless joy of analyzing music.

Case Study: Mozart, Sonata in A Major, K. 331, I, Theme

Figure 1.1. Mozart, Sonata in A Major, K. 331, I, Theme

To illustrate the connections between Freud and Schenker’s analytic philosophies, let us now turn our attention to a specific “patient” well-known within music analytic circles, the theme from Mozart’s Sonata in A Major, K. 331, I (Figure 50 Schachter, “Structure as foreground: “Drama des Ursatzes”,” 308.)
1.1) In exploring Mozart’s theme, I will look at three different, well-known analytic constructions: those by Heinrich Schenker, Allen Forte and Stephen Gilbert, and Fred Lerdahl and Ray Jackendoff. As in a psychoanalytic session, the different perspectives provided by these music-analytic constructions reveal important surface-level puzzles that disguise the unconscious structure behind the generation of Mozart’s theme. As a result of their varying perspectives, each analytic construction explored here draws from a different set of criteria in reducing the musical surface. Following Freud’s models of free association and analytic construction, each analysis of Mozart’s theme is tested with reference back to Mozart’s musical surface to determine the strength of the construction. In the process, a number of analytical difficulties arise at the musical surface: choosing the strong-beat $^3$ or the higher-sounding $^5$ as Kopfton, deciding the exact location of the Urlinie descent, the origins of the F# in the bass in m. 3, and parallel voice-leading. As should be the case in a masterwork, these difficulties intertwine at each step of the analysis, pushing and pulling at the analyst’s interpretive choices. Each analytical construction provides answers to some of these problems, while at the same time posing new questions to answer. This exploration of analytic decisions reveals that Freud’s perspective on the interminability of the analytic process is equally applicable to music analysis. Thus, the goal is not necessarily a cure, but rather an increased understanding of one’s innermost core, enabling interactions across levels of one’s own psyche as well as the outside world. Likewise, the goal of the music-analytic process is a fluid, continuing conversation about a great work of art through an increased understanding of its inner workings, rather than a definitive and final analytic statement.
We will begin by looking at the analytic construction presented by Lerdahl and Jackendoff in their seminal book, *A Generative Theory of Tonal Music*. Although their work is heavily based on the linguistic theories of Noam Chomsky and on music cognition,\(^{51}\) Lerdahl and Jackendoff make it clear that it also engages Schenkerian theory in several important respects. They note that “Schenker can be construed (especially in *Der freie Satz*) as having developed a proto-generative theory of tonal music—that is, as having postulated a limited set of principles capable of recursively generating a potentially infinite set of tonal pieces.”\(^{52}\) They also note that “his orientation was not psychological (as that of generative linguistics is), but artistic; the chief purpose of his theory was to illuminate structure in musical masterpieces. Though our proposed theory also aspires to such illumination, its focus is on musical cognition. Despite these differences, we are profoundly indebted to Schenker’s work—as, indeed, anybody in the field must be.”\(^{53}\) While Lerdahl and Jackendoff attempt to explain differences between their theory and Schenker’s, they follow Schenker in drawing upon observations made at the musical surface to provide a multi-level analysis that is easily comparable to more traditional Schenkerian readings.

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\(^{52}\) Lerdahl and Jackendoff, 337-338, n. 1.

\(^{53}\) Lerdahl and Jackendoff, 338, n. 1. This dissertation largely disputes Lerdahl and Jackendoff’s dismissal of the psychological orientation of Schenker’s theory. Lerdahl and Jackendoff’s perspective on music cognition is that of the ordinary listener. Contrary to Lerdahl and Jackendoff’s claim, Schenker does engage music cognition. However, his perspective is that of the expert listener.
Analytic Problems

The puzzles on Mozart’s musical surface—choosing the strong-beat \( \hat{3} \) or the higher-sounding \( \hat{5} \) as Kopfton, the F# in the bass in m. 3, and parallel voice-leading—create an interweaving network of complications, each affecting decisions made in regard to the others. I will begin with the question of the primacy of \( \hat{3} \), C#, or \( \hat{5} \), E, as Kopfton, interacting with the other problems along the way. Both C#, occurring on the downbeat, and E, the highest sounding pitch of the opening, seem plausible for the beginning of the Urlinie’s descent. The downbeats of mm. 1-3 trace a descending line, C#-B-A, with a return to the outer voice C# in m. 4. The C# then descends to B, \( \hat{2} \), at the half cadence in m. 4. Thus in Lerdahl and Jackendoff’s presentation, C# seems like a strong candidate for Kopfton (Figure 1.2).

Figure 1.2. Lerdahl and Jackendoff, Analysis of Mozart’s K. 331, mm. 1-4

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\[54\] Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, Figure 5.14, 122.
The strength of this analysis is their use of perceptual clues from the musical surface that rely heavily on the C#’s occurrence on a strong beat. They note the prolongation of  \( \hat{3} \) until m. 4 where “the first real structural movement takes place, in three ways at once: contrapuntally, by the first independent motion of the outer voices (which until then are in parallel tenths); harmonically, through the cadential preparation (the ii6 chord) to the cadential V; and melodically, by the underlying motion from the third to the second scale degree.”

Lerdahl and Jackendoff’s analysis relies primarily on metric structure and phenomena occurring on strong beats in mm. 1-4. Their final result is a tier-based, reductive analysis that loosely resembles a Schenkerian multi-leveled analysis (Figure 1.3).

Lerdahl and Jackendoff’s analysis contains two structures: a progressive series of reductive levels and a tree-like diagram that represents the hierarchical network of the given musical phenomena. In this analysis, the tree-like structure above level e represents the opening A major triad as the governing structure (shown in level a and the longest line to the left in the tree diagram) with the V chord in m. 4 attached as a secondary harmony to the opening chord (level b). The next level down in the hierarchy (level c) demonstrates the motion downward, C#-B-A, on the downbeats of mm. 1-3. The remaining harmonies, with the exception of the ii6 chord in m. 4, are represented at level d of Lerdahl and Jackendoff’s analysis. The prolongation of  \( \hat{3} \) over I in mm. 1-4 is present in level d of this graph, but is notably absent from subsequent levels up the hierarchical ladder (levels c, b, and a). The omission of the weak-beat arpeggations at level c certainly seems plausible in mm. 1-2. However, the primary

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Lerdahl and Jackendoff, 121.
harmony in m. 3, as given by Lerdahl and Jackendoff, is the F#7 rather than the A major triad featured on the downbeat of m. 4. While aurally salient due to its metric placement, the F#7 seems less effective in the context of the phrase’s harmonic progression. Indeed, within the context of the phrase, one wonders if it is an independent harmony at all or, perhaps, just a contrapuntal motion continuing the linear progression in tenths. As the E in the tenor voice of Mozart’s musical surface (Figure 1.1) is clearly a pedal tone, it does not behave as a chordal seventh normally would. It is left unresolved and, at the musical surface, appears to completely dissipate. In addition, due to the restriction at level c of one harmony per measure, the I chord is omitted in favor of the V that closes the half cadence in m. 4. Both of these decisions seem to reduce the importance of the prolongation of 3 over I shown in Figure 1.2.

Still, from the perceptual basis on which Lerdahl and Jackendoff’s analysis is based, the chords on the downbeats of mm. 1-3 (level c) are certainly salient on the surface of the music. This reading of Mozart’s Theme creates a strong case for 3 as Kopfton.

While these downbeat chords are aurally salient (Figure 1.1), there are problems with this reading of a descent from 3. The E in the upper voice of m. 4 is notably absent from level e of this analysis. This E is dissonant above the D in the bass and the B below it. As a dissonance, it resolves down to D as it should, but it seems to be unprepared. Indeed, there is a noticeable descent at the musical surface of m. 4 from 5, E, to 2, B. As an alternative reading, Lerdahl and Jackendoff offer an analysis with 5 as Kopfton (Figure 1.4).
Figure 1.3. Lerdahl and Jackendoff’s Reduction of Mozart, K. 331, mm. 1-4\textsuperscript{56}

\textsuperscript{56} Lerdahl and Jackendoff, Figure 9.11, 227.
Figure 1.4. Lerdahl and Jackendoff’s 5-line Readings of Mozart, K. 331, mm. 1-4\textsuperscript{57}

\textsuperscript{57} Lerdahl and Jackendoff, Figures 10.21 and 10.22, 276-277.
Although the surface-level E in m. 4 is still absent from this analysis, Figure 1.4a shows the prolongation of the E in m. 1 until the descent to D, \(^\hat{4}\), in m. 4. By preparing the dissonant E before its restatement in m. 4, this new analytical construction of Mozart’s theme better accounts for the voice-leading. In addition, it returns the A major triad on the downbeat of m. 4 to a position of primacy in the tree diagram of Figure 1.4b. This can be seen in the upper-voice branch connected to the highest filled-node and the lower-voice branch connected to the unfilled-node. The branch shows the F\(^\#\)\(^7\) harmony returned to a hierarchical position secondary to the prolongation of \(^\hat{3}\) over I across mm. 1-4. While this analytical construction seems to correct the problems in Figure 1.3, Lerdahl and Jackendoff highlight the rhythmic discrepancy between the readings of the upper and lower voices in Figure 1.4b. This metric discrepancy is shown by the open note heads in m. 1: A in the bass and E in the soprano. The two tree diagrams of Figure 1.4b show a contradictory reading of the hierarchical status of the upper and lower voices within the metric placement of mm. 1-2. While this reading of \(^\hat{5}\) as Kopfton solves the dissonance problem in m. 4, it reveals other analytical problems as well.

The main reason for presenting this alternative reading from \(^\hat{5}\) is that it allows Lerdahl and Jackendoff to address Schenker’s own analyses of this same passage (Figure 1.5). Indeed, Schenker’s graph of mm. 1-4 shares similarities and differences with Lerdahl and Jackendoff’s 5-line construction. With the exception of a few minor differences in slurring, Schenker’s level b is virtually identical with Lerdahl and Jackendoff’s construction above. At level b, Schenker’s graph shares Lerdahl and Jackendoff’s metric displacement in m. 1 of the structural A in the bass and the E in the soprano. However, at level a, Schenker
chooses the C# from the weak beat of m. 1 as the primary pitch in the bass. Indeed, for both mm. 1 and 2, he chooses the pitches on the weak beat as the primary bass tones, following the parallel tenth progression in the outer voices to m. 3.

Figure 1.5. Schenker’s Three-Level Graph of Mozart K.331, mm. 1-4

There are strengths and weakness to this interpretation. Schenker’s descent from a Kopfton, along with his choice of C# in the bass, eliminates the metric displacement in Lerdahl and Jackendoff’s analysis. It also retains the prolongation of

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tonic harmony throughout the first three measures. However in m. 1, it introduces the $\frac{5}{4}$ over $I^6$, a reading not as harmonically strong as the root position $I$ of Lerdahl and Jackendoff’s construction. Furthermore, it completely ignores the prominent $F#^7$ harmony on the downbeat of m. 3, noted for its metric salience in Lerdahl and Jackendoff’s analysis.

In an effort to understand Schenker’s interpretation of these opening measures, we can look to other analyses presented in Der freie Satz (Figure 1.6).

Figure 1.6. Schenker’s Division of the Opening Fourth-Progression into Two Third-Progressions.  

Figure 1.7. Schenker’s Interpretation of the Fourth-Progression of K. 331, mm. 1-4

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59 Schenker, Der freie Satz, Figure 141.
60 Heinrich Schenker, Der freie Satz, Figure 132.6.
Like the analyses by Lerdahl and Jackendoff, Figure 1.6 explores the metric structure of the opening measures of Mozart’s Theme. Specifically, Schenker focuses on the metric organization of the upper-voice and its relation to the descending fourth E to B that occurs across the passage as a whole. (Figure 1.7) While Schenker shares Lerdahl and Jackendoff’s focus on metric placement, his focus is on voice leading and not on cognitive criteria such as strong-beat placement. Schenker describes his purpose with this figure (Figure 1.6) in language quite fitting for a psychoanalytic discussion. “This figure illustrates the origin, development, and meaning of a rhythmic motion.”

According to Schenker, the metric problem occurs because the fourth span, E-B, is subdivided into two third progressions: E-C# and D-B. Schenker discusses the problem found between the expansion of the descending line by broken thirds as in mm. 1-2 and the need to accomplish such an expansion within four measures. If the two third-progressions of Figure 1.6a were expanded in this same manner, six such figures spanning six measures would be required. Figure 1.6b, c, and d explore possible solutions to this problem. In this manner, Figure 1.6 represents a virtual notepad of Schenker’s analytical constructions as he formulates an interpretation of Mozart’s Theme.

According to Schenker, the solution given in Figure 1.6b represents Mozart’s musical surface by showing $\hat{3}$ as the primary tone. In addition, the unfolding of B and D after the C# in mm. 2-3 is dissonant with the actual melodic formation in m. 3 of Mozart’s Theme. For Figure 1.6b, Schenker has posited an analytic construction,

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presented it to the analysand (Mozart’s Theme), received a negative reaction from the musical surface, and returns to the Mozart for further analysis. Schenker’s construction in Figure 1.6c represents the entire third-progression from E to C# as elaborated by broken thirds, much as they are at the musical surface. While Figure 1.6c is a closer match to the actual musical surface, Schenker notes the harshness of the abrupt change in the rhythm between the two third-progressions. He cites contrapuntal tradition in keeping rhythmic patterns more consistent. Thus, he again returns to Mozart for further analysis. The analytical construction in Figure 1.6d is the closest match to the musical surface. Schenker adds that the 6/8 time signature aides in solving the problems in the analytical constructions in Figure 1.6b and c. In Figure 1.6d, the arpeggiation of all three members of initial third-progression solves the problem of emphasizing C# as Kopfton, and the consistency of the rhythm in 6/8 solves the problem of abrupt change found in Figure 1.6c. Finally, the transition is made smoother from the broken thirds of mm. 1-3 to the descending stepwise motion in the second third-progression. An extra passing tone, B, is inserted between the final broken third, A-C#, in m. 3. This mirrors the passing motion of the C# between D and B in m. 4.62 Thus, Schenker posits Figure 1.6d as a successful construction, having received the necessary affirmative response from Mozart’s musical surface.

Two additional constructions from Schenker’s works provide further insight into this opening passage (Figure 1.8).

62 Ibid.
In this analytical construction, Schenker joins the previous constructions of the descending fourth-progression (Figure 1.7) and the division of that fourth-progression into two third-progressions (Figures 1.5 and 1.6). The dotted slur that connects the E in m. 1 to the E in m. 5 is another significant addition to this graph. The accompanying text to this figure discusses the division of the initial fourth-progression into two third-progressions without an interruption in the strict sense. Rather, Schenker cites the two third-progressions as contrapuntal parallelisms. While mm. 1-8 contain an interrupted Urlinie descent at a local level, the E in m. 1 is shown to be active across the first five measures. Mm. 5-8 are similar to mm. 1-4, except for the expansion of the final third-progression to include I. In this construction, Schenker omits the slur underneath the final fifth-progression from E to A in mm. 5-8. While he also omits the traditional scale-degree labels over this descending progression, it is clear that he is thinking of the E as extending across mm. 1-5 and the final fifth-progression from E to A in mm. 5-8 as the primary descending line for this section.

The goal of the psychoanalytic process is a synthesis of conscious and unconscious mechanisms, ultimately resulting in better daily communications within

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63 Schenker, Der freie Satz, Figure 87.5.
64 Heinrich Schenker, Der freie Satz, 125. Free Composition, 76.
the psyche as well as with other people. Likewise, the goal of Schenker’s analytic process is a synthesis across different structural levels, ultimately resulting in a better understanding between analyst and musical surface as well as better communication of the composition from performer to listener. To this end, Schenker discusses his analysis of the opening measures of Mozart’s Theme in light of its performance implication. He critiques the slurring of the Mozart in “modern editions (shown as b),” citing differences between “the composer’s autograph, or first edition (shown as a).”\textsuperscript{65} (Figure 1.9) Schenker posits, “If the performer has only these modern editions to look at, is it possible for him to obtain even the slightest idea of Mozart’s vitality and variety and learn to employ the means for expressing such variety in performance….”\textsuperscript{66} While that is the extent of Schenker’s specificity, the meaning of his comments are clear in light of the previous analytic constructions of mm. 1-4 of Mozart’s Theme. The minimal slurring in m. 1 of Figure 1.9a shows the C# and E in m. 1 and B and D in m. 2 represent these pitches as members of different voices. The broader slurs in Figure 1.9b disguise this important separation. The final slur in Figure 1.9b was likely seen as particularly egregious to Schenker. Together, all of Schenker’s interpretations show the primary descent of the fourth-progression as occurring in m. 4. The final slur in Figure 1.9b groups the preceding B and C# with the final descent from E to B. This contradicts Schenker’s treatment of the C# as a member of the first third-progression from E to C#. The disagreement between the slurring in Figure 1.5 and Figure 1.9b is

\textsuperscript{65} Heinrich Schenker, \textit{Der Tonwille}, 33. On what “modern edition” in particular he is critiquing and which of “composer’s autograph or first edition” example \textit{a} is, Schenker is curiously silent. He does quote a critique of Riemann by Brahms in this same passage, but the examples are not clear as to the authorship of their slurs.

\textsuperscript{66} Ibid.
particularly clear. Schenker’s concern for his musical analysand goes beyond the music analytic session. Like the psychoanalyst’s concern for the daily life of his/her patients, Schenker’s concern includes the composition’s daily interaction with the listener as a member of the corpus of performed literature. In this way, Schenker’s analysis aligns with that of Lerdahl and Jackendoff. While their point of departures are somewhat different, their goals of music as a synthesized communication between composer and listener remains the same.

Figure 1.9. Schenker’s Comparison of Slurring in K. 331, mm. 1-4.67

As we compare these different analytic constructions, we can look to the end of the theme to gain insight into the questions that have arisen from the opening passage such as the choice of Kopfton, metric placement, and voice leading. Indeed, a

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67 Schenker, Der Tonwille 6, 33.
contrapuntal pattern similar to the E-D-C#-B motion in m. 4 is found in the cadential motion in m. 18 (Figure 1.10).

Figure 1.10. Schenker’s Replacement of D with F# to Maintain Parallel Tenths in K. 331, mm. 17-18

This sketch comes in a passage discussing the replacement of clearly-directed contrapuntal motion to create more desirable intervals in the outer voices. In this figure, Schenker shows two different interpretations of mm. 17-18. The second half of the figure shows the underlying contrapuntal motion of m. 17. As in Schenker’s and Lerdahl and Jackendoff’s analyses of the opening measures, the first three pitches in m. 17 move in parallel tenths followed by an octave before the cadence. The octave is marked in the figure by a star. This D in the upper voice is important to the counterpoint of the passage as it prepares the C# on the downbeat of m. 18. Drawn from the surface of Mozart’s Theme, the first half of the figure shows the outer voices moving in parallel tenths in m. 17. Marked by a star in the first half of Figure 1.10, the octave is replaced at the musical surface by the stronger parallel tenth motion at the close of m. 17. This small diagram reveals Schenker’s analytical process for these

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69 Schenker, “Max Reger’s Variations and Fugue on a Theme by Bach,” 108.
closing measures. As Schenker made the analytical construction shown in Figure 1.10, he reinterpreted the tenths revealed on Mozart’s musical surface as the octave Ds found at a deeper, unconscious level of the contrapuntal structure.

A later figure from *Der freie Satz* examines this same passage (Figure 1.11). Schenker’s figure shows a more detailed musical surface from the first half of Figure 1.10, with the addition of some inner voices and a Roman numeral analysis.

**Figure 1.11. Schenker’s Analysis of the Musical Surface of K. 331, mm. 17-18.**

![Image of Schenker's analysis](image_url)

The text accompanying this figure discusses harmonic considerations in the interpretation of linear progressions. In the upper voice, Schenker notes the necessity of an octave D at the end of m. 17 in order to regain the C# that returns in m. 18. He notes that outer-voice motion in parallel tenths does not contradict the harmonic change to IV in m. 17; therefore, the contrapuntal motion is allowed to continue uninterrupted. In this passage, he refers to *Der freie Satz*, Figure 72, 3 for the structural octave implied beneath the surface (Figure 1.12).

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Schenker’s *Der freie Satz*, Figure 95, b, 4.
Figure 1.12 shows Schenker’s deep middleground, analytic construction regarding the final phrase of Mozart’s Theme. Schenker’s interpretation of the opening division of the fourth-progression into two third progressions remains intact in this graph of the final phrase. The descending third-progression, E-C#, is found in mm. 13-15. The descending third-progression from D-B is found beneath the musical surface in mm. 15-16 (shown in Schenker’s figure by the slur following the stemmed D in m. 15). Schenker’s graph of the Theme’s last phrase places his previous two interpretations of mm. 17-18 (Figures 1.10 and 1.11) within a larger context. The larger context in Figure 1.12 shows the fifth-progression of the *Urlinie*. Schenker’s choice of $\hat{5}$ and $\hat{4}$ of the *Urlinie* match his analytical decisions in the previous figures. Rather than choosing the D in the first third-progression of m. 13, he marks the D that initiates the second third-progression in m. 14. The half cadence in m. 4 is absent from this closing phrase.

Thus, the *Urlinie* descends to $\hat{3}$ in m. 16, delaying the descent to $\hat{2}$ to the final bars. As shown in Schenker’s analyses of mm. 17-18, the closing bars differ slightly from their parallels in mm. 7-8. The B in m. 16 rises to C# rather than falling to A. Schenker

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*Schenker, Der freie Satz*, Figure 72, 3.
clearly marks the C# as the important tone in Figure 1.10. While the musical surface rises to F# and eventually to A, this A returns to its place as an inner voice on the downbeat of m. 18. Schenker’s various figures consistently show a D in the upper voice on the last beat of m. 17 that has been replaced at the musical surface by the linear progressions in parallel tenths.

Schenker’s account of the contrapuntal motion in the final measures of Mozart’s theme has important implications for the opening passage (Figure 1.13). Indeed, although it is merely implied on Mozart’s musical surface, Schenker’s construction of the C# as occurring on the downbeat of m. 18 is critical to an interpretation of the parallel contrapuntal motion in m. 4.

Figure 1.13. Comparison of contrapuntal motion in mm. 3-4 and 17-18

This figure shows the similar contrapuntal motions in mm. 3-4 and 17-18, marked by brackets above the score. The dissonant C# over V^7 in m. 18 is parallel to the dissonant E over V^7 in m. 4. The C# is prepared by an implied C# on the downbeat of m. 18 that is still active from its occurrence on the downbeat of m. 17. Likewise, the E is prepared by an implied E on the downbeat of m. 4 that is still active from its occurrence in m. 1 of the opening phrase. This construction reinforces the readings of E, as Kopfton.
Before addressing the Theme as a whole, I will compare Schenker’s analysis to Lerdahl and Jackendoff’s analysis of the closing phrase (Figures 1.14 and 1.15). This comparison reveals important differences between the two analyses and uncovers further analytic puzzles at the musical surface. In this regard, both analyses have strengths and weaknesses. Schenker’s analysis of mm. 13-18 primarily concerns the final descent from $\hat{5}$ to $\hat{1}$ over I. In doing so, it explains the powerful contrapuntal figure in m. 18. With the exception of Figure 1.11, his analyses omit inner voices. Figure 1.14 follows this analytical decision, and in doing so, hides some problematic voice leading at the surface of the initial third progression from E-C# in the Mozart (Figure 1.15).

Figure 1.14. Schenker’s Outer-Voice Sketch of Mozart’s K. 331, mm. 13-18

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Schenker, Free Composition, Figure 157 (Excerpt).
As the contrapuntal figure is the same in mm. 1-4, 5-7, and 13-15, the problem is replicated throughout the work. There is a strong parallel linear progression in tenths between the A and C# in mm. 1, 5, and 13, the G# and B in mm. 2, 6, and 14, and the F# and A in mm. 3, 7, and 15. The parallel motion in unequal fifths between the outer voices is contrapuntally less ideal. In particular, the diminished fifth between G# and D should resolve inward to A and C# respectively. However, this is not the resolution provided in Mozart’s musical surface. Rather, the C# required for the resolution of the D in m. 2 is omitted on the downbeat of m. 3 and is displaced until the downbeat of m. 4. In this way, Mozart’s musical surface presents a contrapuntal puzzle for the analyst. While Schenker’s analysis clearly shows the E-D-C# descent in the upper voice, it bypasses this contrapuntal problem simply by omitting the parallel descent in the bass, A-G#-F#.
Figure 1.16. Lerdahl and Jackendoff’s Analysis of mm. 13-18

Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, Figure 7.25, 172.
Lerdahl and Jackendoff’s analysis also bypasses this problem (Figures 1.3 and 1.16). As discussed above, their analysis favors strong-beat metric phenomena and a descent from the C#, 3, as Kopfton. Their primary argument is the metric displacement of Schenker’s bass (A and G#) on the strong beats with the upper voice on weak beats (E and D). They present an alternative construction (Figure 1.4) that follows Schenker’s reading, but their diagram also ignores the problematic resolution of G#-D to F#-C# by following Mozart’s musical surface exactly. This avoids the C# in mm. 3, 7, and 15 altogether, but it does not actually provide an answer to the contrapuntal puzzle. In fact, in their reductions (Figures 1.3 and 1.16), the C# is completely missing above the F# on the downbeats of each measure. Just as their rule system prevents them from realigning pitches at the musical surface to allow the 5-line reading, it prevents them from realigning the C# on the downbeat of m. 4 and the F# on the downbeat of m. 3 (Figure 1.1).

Another important analytical construction has been provided by Allen Forte and Stephen Gilbert (Figure 1.17).

Figure 1.17. Forte and Gilbert’s Graph of Mozart’s Theme, K. 331

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Forte and Gilbert’s construction (Figure 1.17) provides a synthesis of Schenker’s (Figure 1.18) and Lerdahl and Jackendoff’s constructions, but it also contains important differences. Like Schenker’s graphs, Forte and Gilbert show a descent from a Kopfton, E. The pitches chosen for the fourth-progression in mm. 1-4 and the fifth-progression in mm. 5-8 differ from Schenker’s. Schenker’s fourth progression acknowledges the retention of the E in m. 4 and completes its descent in m. 4. Forte and Gilbert show the descent earlier, choosing \( \hat{5} \) as the E in m. 1, \( \hat{4} \) as the D in m. 2, \( \hat{3} \) as the initial C# in m. 4, and \( \hat{2} \) as the final B in m. 4. They rectify Lerdahl and Jackendoff’s observation concerning the metric displacement of the outer voices by using vertical lines to connect them in Figure 1.17. They also bypass the contrapuntal problem of parallel unequal fifths in the outer voices by adhering to Mozart’s musical surface and omitting some of the voices in m. 3 as do Lerdahl and Jackendoff.

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Schenker, *Der freie Satz*, Figure 157.
Analytic Solutions

In all three of these analytical constructions, the contrapuntal problem of parallel unequal fifths remains. The secret to unraveling this problem may lie in the implied upper-voice E in m. 4 and the implied upper-voice C# in m. 18 discussed above. Both of these measures reveal the retention of tones previously sounding. At the musical surface, they appear in these measures as dissonances that are prepared by implied tones on the downbeats of the measure and then resolve down properly to D (m. 4) and B (m. 18). The possibility of applied tones beneath the musical surface is significant in mm. 3, 7, and 15 (Figure 1.19).

Figure 1.19. A Solution to the Contrapuntal Problem: Implied tones in mm. 3 and 7

In m. 2 of Mozart’s musical surface, the upper voice D is the chordal seventh of the V6/5 harmony. As a dissonance, it must resolve down to the C#. However, at the musical surface, this resolution is delayed to the downbeat of m. 4. Four voices are active in m. 2. However, only three voices appear to be active in m. 3. From the
discussion above, we know of the retention of E across mm. 1-4 until its descent in m. 4. This E is active in the tenor voice of Mozart’s musical surface and is represented in the upper voice of Figure 1.19. A solution to the parallel unequal fifths lies in the possibility of the retention of the D first sounding in m. 2 across m. 3, shown in parentheses in Figure 1.19. As a result, Mozart does not actually violate the contrapuntal rules as implied and avoided conspicuously in the three published analytic constructions above. With the inclusion of an implied D in m. 3 that helps delay the resolution to C# to m. 4 as present at Mozart’s musical surface, the smoother voice-leading progression above helps solve this contrapuntal puzzle (Figure 1.19).

Figure 1.20. A Solution to the Contrapuntal Problem: The F#’s Transformational Path

There is another solution to the contrapuntal problem presented here (Figure 1.20). Implicit in both Schenker’s and Forte and Gilbert’s constructions, the C# may
not be aligned with the F#. Instead, the F# is added at a different transformational level. This is masked by their presentation of Mozart’s theme in a single transformational level. The addition of a middleground representation of mm. 1-4 shows that, at a deeper middleground level, this opening progression is I-V6/5-I (Figure 1.20a). The transformation that adds the F#-G#-A motion in the bass occurs at a foreground level and is merely a contrapuntal elaboration at the musical surface (Figure 1.20b). As a result, the F# and C# are never aligned contrapuntally and the unequal fifths never actually occur.

As in Freud’s concept of the interminability of analysis, music analysts constantly make new analytic constructions from free associations gleaned from the musical surface. The new constructions concerning the counterpoint in the opening measures of Mozart’s Theme add to the analytic process initiated by other analysts. This understanding of the synthesis of unconscious background phenomena with conscious foreground phenomena is the goal of both the psychoanalytic and music analytic processes. The result is a fluid, continuing conversation about a great work of art (or psyche, in the case of psychoanalysis) through an increased understanding of its inner workings, rather than a definitive and final analytic statement.

**Analysis and Therapy**

Having examined the processes of free association and construction in Schenkerian analysis and psychoanalysis, I return to the idea of analysis as a form of therapy. For it is in these particular processes that a potentially therapeutic act can take place. The *Oxford English Dictionary* defines “therapy” as “the medical treatment of
disease; curative medical treatment.”76 This definition creates a problem for defining music analysis as a therapeutic act. For a therapeutic treatment or cure to take place, there must first be a disease or a problem. In the case of psychoanalysis, it is somewhat straightforward that there is a problem within the patient who is being examined and analyzed. In the case of music analysis however, this seems less clear. A musical composition can hardly be seen as sick; although, Schenker, at times, did view the music of certain composers outside his circle of geniuses as being equivalent to sick. However, this is not the reason for which we generally choose to analyze a piece of music. Rather, it is the pieces that we see as masterpieces, as works of genius, that are the prized specimens for analysis. For a therapeutic outcome, it is hardly the piece of music that is in need of therapy. Instead, as shown in the Mozart analyses above, the motivation for analyzing a musical composition often originates in an admiration of a particular work and a desire to understand its inner structure more deeply. At the initial, most superficial level of understanding a musical work, there are surface-level phenomena that may highlight themselves as peculiar or, as Freud might say, uncanny in regard to other surrounding phenomena. Such phenomena may include non-harmonic tones or a registral shift or perhaps a chord progression that is strikingly salient. As music analysts, we search for the reason that such a phenomenon seems so uncanny, why it is marked for saliency on the musical surface, and what is the source of causation for this phenomenon within the context of the rest of the composition. On this level, there is a psychical disconnect between the musical composition and the understanding of the analyst.

It is this process of interaction between analyst and analysand where the closest connection between the processes in these two analytical disciplines lies. In psychoanalysis, the analyst seeks to guide the analysand through the conscious-level manifest content of his/her dreams, fantasies, and freely-associated immediate thoughts. The analyst interprets this material according to the natural patterns and laws gleaned from observations made of countless other similar prototypical cases across the human species. As shown by Freud’s thoughts on the interminability of the analytic process, the result is not necessarily a cure of a particular problem, but rather an understanding achieved between the manifest, conscious content of the psyche and the latent content that serves as an unconscious source of causation deep within the analysand’s psyche. This understanding of causation occurs not only within the mind of the analysand, but also the analyst, whose understanding of the connection between surface and deeper-level material is critical for the guidance of the patient toward the ability to deal with his/her present problem. As discussed previously by psychoanalyst Jeffrey Kottler, the reversal of roles in the analysis of music where the musical composition, or analysand, has an effect on the analyst is an important connection between psychoanalytic and Schenkerian thought. In both disciplines, the analytic process can and has been shown to result in a therapeutic process for the analyst as well as the analysand.

In music analysis, the analyst seeks to work through the conscious-level phenomena described by the musical surface. The Schenkerian music analyst interprets this material according to the natural patterns and laws gleaned from observations made across the corpus of tonal musical compositions. As in psychoanalysis, the result of music analysis is not a cure of the particular surface phenomena under investigation,
but rather an understanding, a synthesis achieved by the analyst between the conscious-level musical surface and the unconscious deep-level background structure that serves as the source of causation for each particular surface-level phenomena under investigation. It is here that music analysis has a therapeutic value, a cure of a “disease” (to use the wording from the *OED*) or a problem, for the analyst. The problem could be an incomplete understanding of the musical surface or perhaps an improper or altogether lack of understanding as to why a particular uncanny surface-level phenomenon strikes us as just that, uncanny. Schenkerian analysis certainly can serve a therapeutic function toward curing these levels of understanding between music analyst and musical composition. In fact, it is this achievement of an understanding of the connections between the conscious foreground material and the unconscious background material that drove Schenker toward his goal of synthesis rather than analysis. This achievement of synthesis, of a “re-assembling of a work whose various parts grow out of one principle” as Katz describes, is the goal of both Schenkerian musical analysis and psychoanalysis. A Schenkerian analysis retraces the path that a composition takes as it is composed-out from its original, unconscious *Ursatz* form to its conscious manifestation as an idiosyncratic composition. Schenkerian synthesis is achieved at the successful completion of a retracing of this path from unconscious prototype to conscious manifestation. Likewise, psychoanalysis retraces the path that a dream, for example, takes as it is formed from its original, unconscious latent form as a wish to its conscious manifestation in an individual’s dreams. In his writings, Freud does not explicitly emphasize the term “synthesis” as does Schenker. However, it is likely that he would agree that, upon the successful retracing of the path from latent to
manifest content, a synthesis is achieved that reconciles the surface manifestation to its unconscious source of causation and, thus, creates for both analyst and analysand a therapeutic level of understanding.

William Pastille has observed just such an interaction between the process of music analysis and the transformation that happens within the music analyst. His description is strikingly similar to psychoanalytic thinking.

Schenkerian analysis promotes self-discovery. This is true, I think, about the study of music in general. Few of us can remember what it is like not to be able to recognize and identify musical phenomena. But for most people, the experience of music is entirely nebulous; music surrounds and penetrates them like an insubstantial and indistinct cloud. As soon as our students begin to study ear-training, however, they start to develop powers that were previously latent in them, powers that will remain latent for most other people. We may take these powers for granted because we regard them as rudimentary prerequisites for studying music in earnest, but these early steps represent a true personal achievement in the lives of our students. Through them our students not only discover things they did not know about music; they also discover things they did not know about themselves, abilities they did not know they possessed. If the student is paying attention here, he should begin to get the sense that he is something of an enigma to himself.

But Schenkerian analysis goes much further, of course, than foreground ear-training. By opening the door to the middleground and background, it reveals to the student a whole new inner world—a world in which foreground affects are given nuance or entirely modified by the affects of deeper structures. By learning to feel along with the tonal motions flowing beneath the musical surface, the student expands the range of her inner experience. And soon another latent ability becomes manifest: the ability to hear through the surface, and to recognize the complex textures created by multiple affects occurring simultaneously on different levels. Who would have imagined that such powers lay hidden in the soul of someone who once could not distinguish a single element of the musical surface?

Here again, the student becomes a wonder to himself. And there is probably no higher service we can do for our students than to make them aware of this. Nothing motivates sustained and active participation in life like the realization that every form of discipline, every mastery of
skills, every new understanding is at the same time an act of self-discovery in which more of the soul’s hidden capacities emerge into the light of awareness.\textsuperscript{77}

Pastille’s remarks resonate strongly from a psychoanalytic perspective. In Pastille’s assessment of the therapeutic value of music analysis, the discovery of two types of latent content emerges. The first involves latent musical abilities within the music analyst. Through the process of analysis, this self-discovery of unconscious musical abilities and instinctual knowledge can be a highly gratifying, therapeutic experience. During a Schenkerian analysis, it is as though analysts often end up analyzing themselves as well as the musical composition. The second type of latent content in Pastille’s assessment is that within the musical composition itself. “By opening the door to the middleground and background, it reveals to the student a whole new inner world—a world in which foreground affects are given nuance or entirely modified by the affects of deeper structures.” It is this type of discovery and the synthesis of these structures that has been highlighted in this chapter. However, both types are necessary for a true Schenkerian synthesis, for Schenkerian analysis to be truly therapeutic.

The discovery of both unexpected, unconscious substructures within both the music being analyzed and within the analysts themselves results in the potential for a therapeutic outcome in Schenkerian analysis. Schenker himself acknowledged this potential for music analysis. “For man, renewal takes place within the core of his being. This is why renewal for him entails a deepening of

the self rather than the passing adoption of ephemeral novelty.” 

Schenker’s synthesis of musical processes across multiple levels within a musical composition as well as the larger synthesis between a musical composition and the analyst’s own understanding of that composition as well as his/her introspective self-understanding results in a therapeutic restoration of balance in music and analyst alike. In this way, the process of Schenkerian analysis is much like the process of psychoanalysis. For both disciplines, analysis is indeed an act of therapy.

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Chapter 2

Drives and their Fates: Libido, *der Tonwille*, and the Need for Satisfaction

It is well-known that there are internal drives that propel our daily human actions. In fin-de-siècle Vienna, the idea that biological drives determine our human development was becoming (if it was not already) common place. The work of Charles Darwin had established that there was a sexual basis for the propagation of all species. Darwin recognized that there are natural variations among the individual members of any population of organisms. These variations are selected for continuation through two processes: natural and sexual. In the process of natural selection, different character traits are passed on by means of “the survival of the fittest.” Although many of these differences will not affect the survival of the individual, some differences will improve the individual’s chances of survival. Such beneficial traits are then naturally selected and genetically passed on to future generations by surviving members possessing those traits. Thus, natural selection involves selection by forces beyond the species level, such as environment and competing species. In the process of sexual selection, Darwin recognized that certain traits are viewed by other members of the species as more desirable than others. These include bright colors, strength, size, and musical talent. Members of a species possessing these more desirable traits are selected for breeding by other members of the species and those desirable traits are thus passed on to future generations. Upheld by often uncontrollable, innate sexual drives, the primary function of a species is that of the sexual propagation of the species. Sexual selection involves selection within a given species by other members of that species.
Fueled by Darwin’s ideas about natural and sexual selection, theorists in many other disciplines saw a procreative foundation within their theoretical constructs. In the fields of medicine and psychoanalysis, a then new branch of psychology, Sigmund Freud proposed a sexual origin for the developmental processes and inner workings of the human psyche.¹ Freud’s theory of human psychological development was centered on what he called the Oedipus complex. Based on his interpretation of Sophocles’s play _Oedipus Rex_. Freud assumed that a person’s sexual drive is present in various forms from the time of birth. This sexual drive creates a conflict between son and father, daughter and mother. Freud observed that children compete with parents of the same sex for the affections of the opposite-sex parent; such competition results in a desire, typically unconscious, to triumph over the parent with whom the child is in conflict. Freud theorized that the well-balanced adult psyche overcomes this sexually-charged psychical conflict. But he also believed that many people achieve an imperfect resolution of this conflict deep within their unconscious. This resulted in various hysterias and psychological difficulties. In his early work, Freud traced all psychological disturbances back to the sexually-based conflicts between child and parent. For him, a sexual drive was the biological foundation of all psychological processes, both conscious and unconscious.

Heinrich Schenker also believed that music was driven by sexually charged, biological processes. In his _Harmonielehre_, Schenker derived the major triad from the first five partials of the overtone series. Since he believed that major triads are

¹ This chapter focuses on Freud’s theory of the sexual drives. Later, in _Beyond the Pleasure Principle_, he added the death or aggressive drive (Todestrieb) as a drive opposite to the libido within the psyche. Of course, other drives closer to the conscious, such as hunger, are also present.
“natural” phenomena, he assumed that the major diatonic system is superior to the minor diatonic system and to the church modes. Schenker used sexual images to explain the progressive tendencies of tones and the tendency for motives to propagate themselves through repetition. Although Schenker insisted that music is an artistic and not a scientific pursuit, he nonetheless treated tonal music as a natural kind. This placed him well within the scientific Zeitgeist of fin-de-siècle Europe.

This chapter compares the biological drives that propel the theories of Freud and Schenker. Both theorists saw drives as central to the forward progress of the individual within their respective disciplines. For Schenker, this individual was the musical composition itself. A comparison of Freud’s and Schenker’s concepts of drives reveals that not only are there terminological similarities in their common use of Trieb but also the conceptual identities of this term as used in both theories reveals deeper similarities than mere terminology.

**Instinkt vs. Trieb**

Before addressing the concept of drives, it is important to examine Freud’s original German terminology, especially the terms Instinkt and Trieb. In fact, Freud used both terms throughout his works, but his primary essay on this topic is Trieb und Triebschicksale. For the most part, he reserved Instinkt to refer to the behavior of animals and Trieb to refer to the psychical activity of human beings. While they have certain similarities, the differences between these two terms are significant. While there is a German term Instinkt, James Stratchey, editor and primary translator of the

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Standard Edition of Freud’s works, renders the title of Freud’s essay, *Trieb und Triebchicksale*, as *Instincts and Their Vicissitudes.* Strachey’s reasoning behind this decision is “that ‘drive’…is not an English word.” This is a difficult argument to defend in a translation that includes such terms as ‘cathexis’, ‘parapraxis’, and ‘Id’. Strachey argues that “it is not the business of a translator to attempt to classify and distinguish between Freud’s different uses of the word….The only rational thing to do in such a case seems to me to be to choose an obviously vague and indeterminate word and stick to it.” Unfortunately for Strachey, the defense of his word choice stops here.

Bruno Bettelheim attacks Strachey’s translations of both *Trieb* and *Schicksale*. Bettelheim notes that “‘Fate’ [Schicksal] is a word that we readily apply to ourselves and to other human beings when we speak of what happens to us during a lifetime. Freud used this word to bring what he was talking about closer to us and the way we experience life.” Graham Frankland notes that “The *Standard Edition* rendering, ‘instinctual vicissitudes’, blithely disregards the fact that the word Schicksal is laced with connotations for Freud, a writer whose classical erudition – evident in his fascination with Oedipus, Narcissus, Eros, Thanatos, and so on – contributed so substantially towards making psychoanalysis something far richer and stranger than any quasi-Newtonian ‘mechanics’ of mental processes. Freud himself frequently writes about the literary concept of ‘fate’ in classical tragedy and about the Greek Fates.

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3 An extended critique of Strachey’s *Standard Edition* of Freud’s complete works is found in the introduction of this dissertation.
5 Ibid., xxv-xxvi.
6 Bettelheim, *Freud and Man’s Soul*, 105.
themselves in his analyses of dreams and myths. Strachey’s ‘vicissitude’ is such a
gratuitous distortion that one cannot help suspecting it belongs to a more general
attempt to remove the trace of some of the more humanistic sources of Freudian theory,
the better to assert its putative scientific status.”7 Frankland follows Bettelheim in
translating Trieb und Triebgeschicksale as Drives and Their Fates. Indeed, in keeping
with Bettelheim’s critique, the focus of Freud’s essay is truly that which happens to a
drive as it seeks satisfaction.

While the rendering of original meaning in a new language is always
challenging, the choice of English terms for Trieb is quite important, and the rendering
of both Instinkt and Trieb as “instinct” is problematic. The primary difference between
instinct and drive is the alterability of each force. Instincts cannot be manipulated;
whereas drives can.8 Bettelheim writes, “In this paper, Freud set down his belief that
impulses or drives can be changed in various ways…. ‘Instincts’ is the wrong word for
what Freud had in mind precisely because instincts are inborn, unconscious, and
basically unalterable.”9 Freud’s primary purpose in this essay is to discuss not only the
definition and unconscious origin of the drives, but also their ultimate destinations,
ideally as satisfied conscious manifestations. While their unconscious origins are
concise and their paths to satisfaction direct, the practical application of a drive to its
object of satisfaction is much more complex and its path to satisfaction less direct. This
involves frequent obstacles, alterations, and redirections in order to reach its goal of

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7 Graham Frankland, “Translator’s Preface,” The Unconscious, edited by Adam Phillips,
8 Bettelheim, Freud and Man’s Soul, 106-107.
9 Bettelheim, Freud and Man’s Soul, 105-106.
satisfaction in the conscious. These alterations of the path to satisfaction are the mutations to which Freud’s choice of Trieb alludes.

As Freud uses them, the terms Instinkt and Trieb describe different processes. The psychical processes of the human psyche are propelled by drives whose path toward satisfaction is ultimately alterable and whose content is thus capable of mutation. The behavioral processes of animals are propelled by immutable instincts whose path, for Freud, is constant. In his critique of Strachey’s translation, Bettelheim notes that the use of “instinct” for Trieb is a direct product of the influence of behaviorism in American psychological circles and an attempt to make Freud’s writing more palatable for American scientific audiences. The focus of this chapter is on Freud’s original meaning behind drives, Trieb, and the mutations that they incur on their quest for satisfaction. This is not to say that drives do not possess immutable qualities. As discussed below, drives certainly maintain immutable qualities of internal causation, constancy, and the need for satisfaction. However, the manner in which each drive pursues and obtains satisfaction is certainly variable, and this variety of manifestation is at the heart of Freud’s meaning behind the term Trieb.

**Drive Characteristics**

In *Tribe und Triebschicksale*, Freud defines a drive as “a stimulus to the psyche.”[^10] A drive gives motion to both the psyche and the body. For Freud, the libido, the psychical drive that propels behavior, is first and foremost sexual in nature.

Even in the case of a seemingly nonsexual outward behavior occurring in daily human interaction or an unconscious behavior within the psyche revealed during an analysis, the source of causation for this behavior can often be traced back to sexual drives originating deep within an individual’s unconscious. While Freud acknowledges other possible psychical stimuli such as those emanating from external sources, he defines a drive as exclusively internal in origin and thus as a more specific type of stimulus. He lists three characteristics of a drive:

1) “…a drive stimulus emanates not from the outside world, but from inside the organism itself.”
2) “The effect of a drive…[is] a constant force.”
3) “…the drive stimulus [can be defined as] a ‘need’; what removes this need is ‘satisfaction’.”

While people can certainly be stimulated and affected by external stimuli such as their interactions with others, the psychical drives that propel us forward in all our lives originate from deep within our unconscious. Freud’s idea of internal causation is heavily reliant on the organicist paradigms ubiquitous in fin-de-siècle Vienna, but its roots ultimately go back to Plato’s concept of the Ideas as outlined in The Republic. Given the unconscious origin of the drives, the drive’s need for satisfaction tends to usurp the conscious will of the individual. While an individual can become aware of such drives on a conscious level, the internal origins of an individual’s drives are ultimately beyond the control of a person’s conscious manipulation.

Freud’s second characteristic of a drive is the constancy of its force. Drives seem to follow Newton’s first law of motion: they tend to stay in motion unless impeded in some manner by an outside force. Any attempt to redirect the course of a drive or to stop its progress altogether normatively results in a psychological crisis of some manner that disrupts the healthy flow of material between unconscious, preconscious, and conscious levels. In the preconscious, the censor acts as a mediator, altering and inhibiting the progress of drives that it deems perilous to the well being of the conscious. However if a drive is altered or redirected toward a new object, it does not cease to exist, but rather remains in motion toward its new goal. Likewise, if a drive’s progress toward its goal is completely impeded, it does not cease to exist, but rather returns to the unconscious where it can find an alternative, often more disguised route toward its object of satisfaction in the conscious. Ultimately, all drives must be satisfied.

Freud’s final characteristic of a drive is that it must find an end in the satisfaction of its original need. In its most primal form, a drive is immediately satisfied by an uninhibited, direct path to its object. Freud suggests that this primal immediate satisfaction maintains a level of balance and synthesis within the psyche. It is interesting to note that, according to Freud, some redirection in the satisfaction of our most primal drives can ultimately lead to a “finer and higher” level of satisfaction,

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One particularly convincing discussion of the immediate satisfaction of drives and the social ramifications of their inhibition can be found in Civilization and Its Discontents. Freud notes that the “unrestricted satisfaction of all our needs presents itself as the most enticing way to conduct one’s life, but it means putting enjoyment before caution, and that soon brings its own punishment” from society. (15) “Uneingeschränkte Befriedigung aller Bedürfnisse drängt sich als die verlockendeste Art der Lebensführung vor, aber das heißt de Genuß vor die Vorsicht setzen und straft sich nach kurzem Betrieb.” Das Unbehagen in der Kultur, 435. An in depth discussion of this conflict between the individual and society is found in Chapter 4 of this dissertation.
but this satisfaction is lesser in value than the direct satisfaction of a need in its most primal, sexual form.13

Parts of a Freudian Drive

Along with the three general characteristics of a drive outlined in *Triebe und Triebschicksale*, Freud defines four specific parts to a drive that further clarify his meaning behind the ubiquitous terms, libido and *Trieb*. The four parts of a drive are pressure, aim, object, and source. The pressure of a drive refers to “its motor element, the amount of force or the degree of workload it represents.”14 It is connected with a drive’s general characteristic of constancy. Describing it as a “general characteristic,”15 pressure is the part of a drive least discussed by Freud, but perhaps the greatest variable in terms of the fates or alterations of a drive discussed below.

The second characteristic of a drive is its aim. According to Freud, “the aim of a drive is always satisfaction, which can be achieved only by removing the state of stimulation at the source of the drive.”16 Although he aim of a drive is the purpose for which a drive originates, Freud introduced the term “aim-inhibited drives” to describe “processes [which] are allowed to advance some way towards drive satisfaction but are

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then inhibited or diverted.\textsuperscript{17} An apparently platonic friendship is an example of an aim-inhibited relationship. Freud notes, however, that at least on some level, “we can assume that these processes, too, involve partial satisfaction” of a drive’s need.\textsuperscript{18} In Freud’s conception of the psyche, all drives, psychical and physical alike, are sexual in nature resulting in his sexually-charged term libido for all drives. In its most primal form, the psyche desires a direct route from the beginning of a drive deep within an individual’s unconscious to its conscious satisfaction in a sexual act. According to Freud, the satisfaction of drives is the purpose to life and the path to the achievement of happiness.

We will therefore turn now to the more modest question of what human beings themselves reveal, through their behavior, about the aim and purpose of their lives, what they demand of life and wish to achieve in it. The answer can scarcely be in doubt: they strive for happiness, they want to become happy and remain so. This striving has two goals, one negative and one positive: on the one hand it aims at an absence of pain and unpleasureable experiences, on the other at strong feelings of pleasure. ‘Happiness’, in the strict sense of the word, relates only to the latter. In conformity with this dichotomy in its aims, human activity develops in two directions, according to whether it seeks to realize – mainly or even exclusively – the one or the other of these aims.

As we see, it is simply the programme of the pleasure principle that determines the purpose of life. This principle governs the functioning of our mental apparatus from the start; there can be no doubt about its efficacy, and yet its programme is at odds with the whole world – with the macrocosm as much as with the microcosm. It is quite incapable of being realized; all the institutions of the universe are opposed to it; one is inclined to say that the intention that man should be ‘happy’ has no part in the plan of ‘creation’. \textit{What we call happiness, in the strictest sense of the word, arises from the fairly sudden satisfaction}

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\textsuperscript{\S}17 Freud, \textit{Drives and Their Fates}, 17. \textit{‘die Erfahrung gestattet uns auch, von ‘zielgehemmten’ Trieben zu sprechen bei Vorgängen, die ein Stück weit in der Richtung der Triebbefriedigung zugelassen warden, dann aber eine Hemmung oder Ablenkung erfahren.’ \textit{Triebe und Triebschicksale}, 215.}

\textsuperscript{\S}18 Freud, \textit{Drives and Their Fates}, 17. \textit{‘Es ist anzunehmen, daß auch mit solchen Vorgängen eine partielle Befriedigung verbunden ist.’ \textit{Triebe und Triebschicksale}, 215.}
\end{flushright}
of pent-up needs. By its very nature it can be no more than an episodic phenomenon. Any prolongation of a situation desired by the pleasure principle produces only a feeling of lukewarm comfort; we are so constituted that we can gain intense pleasure only from the contrast, and only very little from the condition itself. Hence, our prospects of happiness are already restricted by our constitution.[19][All emphases are mine.]

Although our happiness is contingent on satisfying our innermost needs, the direct satisfaction of a drive is not always possible. Despite its enticing appearance, the immediate satisfaction of a need may actually be counterproductive in our quest for happiness. “Unrestricted satisfaction of all our needs presents itself as the most enticing way to conduct one’s life, but it means putting enjoyment before caution, and that soon brings its own punishment.”[20] The primary hindrance of the immediate and direct satisfaction of a drive is the external world. “Success is never certain; it depends on the coincidences of many factors, and perhaps on none more than the capacity of our

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19 Freud, Civilization and Its Discontents, 14-15. “Wir wenden uns darum der anspruchslosen Frage zu, was die Menschen selbst durch ihr Verhalten als Zweck und Absicht ihres Lebens erkennen lassen, was sie vom Leben fordern, in ihm erreichen wollen. Die Antwort darauf ist kaum zu verfehlen; sie streben nach dem Glück, sie wollen glücklich werden und so bleiben. Dies Streben hat zwei Seiten, ein positives und ein negatives Ziel, es will einerseits die Abwesenheit von Schmerz und Unlust, anderseits das Erleben starker Lustgefühle. Im engeren Wortsinne wird „Glück“ nur auf das letztere bezogen. Entsprechend dieser Zweiseitigkeit der Ziele entfaltet sich die Tätigkeit der Menschen nach zwei Richtungen, je nachdem sie das eine oder das andere dieser Ziele – vorwiegend oder selbst ausschließlich – zu verwirklichen sucht.


psychical constitution to adapt its functioning to the environment and to exploit the latter for the attainment of pleasure.”

The satisfaction of a drive’s need is bound by another part of the drive. “The object of a drive is that upon which or through which the drive is to achieve its aim. It is the most variable aspect of a drive, not originally connected with it, but merely appropriated by it on grounds of its suitability to provide satisfaction.” The object of a drive is the thing or person through which it achieves the satisfaction of its need. It may be external, such as another person, or internal, such as an individual’s own body. It is also possible for one object to sate the needs of multiple drives. Freud notes that the more intense a drive’s fixation on its object, the less likely it is to stray from its course. In other words, the degree of pressure exerted by the drive directly affects its focus on its object.

According to Freud, the final part of a drive is its source. He defines a source as follows: “that physical process, in an organ or part of the body, whose stimulus is represented in the psyche by the drive.” The source of a drive is its location of origin. For Freud, the origins of all drives is physical and, more specifically, sexual in nature.

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23 Freud, Drives and Their Fates, 17.

but “in psychic life [a drive] manifests itself only through its aims.”  

He acknowledges that the source of all drives is internal in origin, but that knowing the specific origin of a drive’s source “is not strictly necessary for the purposes of psychological investigation. Sometimes we can confidently deduce the source of a drive from its aims.”  

This deduction of the source of a drive from its aim and object is precisely the goal of Freudian psychoanalysis. During a series of reconstructions made during a psychoanalytic session, the internal cause of an externally-exhibited drive is traced back to its internal source deep within a person’s unconscious.

The Fates of the Drives

While the complete satisfaction of a drive may be ideal in theory, this is often thwarted in practice. As a result, the fate of a drive is changed, disguising or even significantly altering the drive’s nature itself. Freud lists four possible fates or alterations [Triebschicksale] to a drive’s quest for satisfaction: reversal of a drive’s content into the opposite, turning back on the self, repression, and sublimation.  

The reversal of a drive into its opposite and the turning of a drive back on the self are two different facets of similar processes in Freud’s theory. In discussing these fates of drives, Freud solicits pairs of opposites such as sadism—masochism, voyeurism—exhibitionism, and love—hate. The reversal into the opposite involves the alteration of the aim of a drive. The object through which the drive’s aim is satisfied

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25 Freud, Drives and Their Fates, 18. “...wird er uns im Seelenleben doch nicht anders als durch seine Ziele bekannt.” Triebe und Triebschicksale, 216.
27 Freud, Drives and Their Fates, 20.
may remain unchanged. The aim of a drive contains two perspectives: the active aim and the passive aim. The active aims of the drives of sadism—masochism and voyeurism—exhibitionism are to hurt and to look at respectively while the passive aims are to be hurt and to be looked at. While the opposing members of each pair are similar, the alteration of the aims of the drives from active to passive alters their nature significantly. Another example of the reversal into its opposite is the pair of opposites of love and hate. Just as with the other pairs, the object is not necessarily altered in the love/hate relationship but the aim of the drive is quite different.

With the exception of love and hate, Freud uses the same set of opposing pairs to demonstrate the alteration of a drive’s fate by turning back on the self. While the reversal of a drive into its opposite involves the alteration of the aim of a drive, the turning back of a drive on the self is characterized by the alteration of the object of the drive. Freud notes that “masochism is really a form of sadism turned against the subject’s own body, [and] that exhibitionism includes looking at one’s own body.” In both cases, the object of the drive is altered. Rather than seeking satisfaction via another person, the drive turns the path of satisfaction toward its own person. The object of the drive becomes the same as its source of origin. In his theoretical discussion of *Drives and Their Fates*, Freud differentiates the reversal of a drive into its opposite and the turning of a drive back on the self as separate. However, in practice, they are intertwined aspects of similar processes; both are necessary to accomplish the complete transformation from sadism into masochism or voyeurism into exhibitionism.

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Repression is so significant within Freud’s theory that it warranted its own essay by the same title written in the same year as *Drives and Their Fates*. The ultimate aim of a drive is satisfaction which is almost always pleasurable. Nevertheless, Freud also believed that “we…need to assume the existence of special circumstances, some process or other that transforms the pleasure of satisfaction into unpleasure.”¹⁻²⁹ In such cases, “the motive of avoiding unpleasure overrides the pleasure of satisfaction.”³⁰ Repression’s “essence consists simply in the act of turning – and keeping – something away from the conscious.”³¹ Freud describes two stages of repression: primal repression and actual repression. In the *primal* repression of a drive, “the psychic (ideational) representative of the drive [is] denied access to the conscious.”³² Here, “the particular drive representative continues to exist unchanged and the drive remains attached to it.”³³ The result is a fixation on that representative; the object is withheld from the conscious and retained within the unconscious where it “develops more rampantly and exuberantly.”³⁴

The *actual* repression of a drive “affects psychic derivatives of the repressed representative, or trains of thought that, though originating elsewhere, have become

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associated with it.” In the stage of actual repression, other material is affected by the presence of the energetically-charged repressed material. The other material takes on some of the repressed drive’s energy and makes secondary efforts to reach a conscious level. Because of their deceptive nature, these new forms of expression of the repressed drive “appear alien to [the patient, and] frighten him by making the drive seem so extraordinary and dangerous in its intensity.”

The cumulative result of repression is “the drive’s uninhibited development in fantasy and the build-up caused by the lack of satisfaction.” While present in the unconscious, the drive gathers energy creating an increased level of pressure within the unconscious. “We may imagine the repressed exerting continuous pressure in the direction of the conscious, and this must be held in equilibrium by an unrelenting counterpressure. Maintaining a repression, then, requires a constant expenditure of energy, whereas lifting it represents, in economic terms, a saving.” The longer a drive is repressed in the unconscious, the greater the stress on the higher levels of preconscious and conscious and the greater the potential for psychic unbalance and illness. During the psychoanalytic process, the repression of a drive and its often immense pressure on the psyche is removed by finding “derivatives of the repressed

36 Freud, Repression, 38. “...wenn sie dem Neurotiker übersetzt und vorgehalten werden, ihm nicht nur fremd erscheinen müssen, sondern ihn auch durch die Vorspiegelung einer außerordentlichen und gefährlichen Triebstärke schrecken.” Die Verdrängung, 251.
that are sufficiently remote or distorted to get past the censorship of the conscious.”  

At this point, the repressed material is gradually made conscious and can be dealt with in a healthy manner, ideally finding a point of satisfaction and relinquishing the drive’s now negative psychic energy.

The final fate of a drive is sublimation, which involves the redirection of the sexual satisfaction of a drive to a different type of goal. Although Freud did not discuss sublimation in *Drives and Their Fates*, he applied it to artistic and intellectual activities in *Civilization and Its Discontents*. In sublimation, “we achieve most if we can sufficiently heighten the pleasure derived from mental and intellectual work….This kind of satisfaction – the artist’s joy in creating, in fashioning forth the products of his imagination, or the scientist’s in solving problems and discovering truths – has a special quality…. [These satisfactions] seem to us ‘finer and higher’, but their intensity is restrained when compared with that which results from the satiating of crude, primary drives: they do not convulse our physical constitution.”  

While he highlights such artistic and intellectual sublimations as “finer and higher,” Freud warns that this “satisfaction is derived from illusions” and that “the mild narcosis that art induces in us can free us only temporarily from the hardships of life; it is not strong enough to make

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us forget real misery.” The satisfaction derived from the artistic fulfillment of a drive is not the original goal of a psychical drive.

**Drives vs. Instincts: A Schenkerian Perspective**

Schenker’s concept of drives involves two different propellant mechanisms: the musical instinct of the artist and the drives of the tones themselves. This corresponds closely with Freud’s differentiation between the universal instincts of animals that propel their behavior and the individual drives of human beings that propel psychical processes. For Schenker, there is an important difference between the universal source of causation external to the musical composition—the composer’s musical instinct derived from his musical training—and the individual source of causation within the music itself—the music’s own drive created from the interaction of tones in counterpoint and harmony that is independent of the composer’s influence. Schenker describes this difference between the artistic instinct of the composer and the independent drives of the tones.

Vanity and the desire to be entertained drive him to art, but he stubbornly insists that such an impulse be viewed as “artistic instinct” and held in high esteem. A serious organic relation to art remains foreign to him forever; but he arrogantly demands that his relation to art be recognized as the only correct one. He simply proclaims that art exists “for” him—for whom else? And why?—; that exactly his instincts, because they are still uncorrupted, would be the best guides for art; and that his perception, because it is unbiased, would lead to the most correct judgement. In short, he acts as master of the situation.

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generously promotes Bach, Mozart, and Beethoven, and proudly manufactures “festivals,” “jubilees,” and the like. It is no use to explain to him that art exists not for him but for its own sake, like everything in the world: sun and earth, animals and flowers; that Bach, when writing the *Well-Tempered Clavier*, certainly was concerned only with the nature of the motives and gave no thought to the dilettante; that compositions (which seemingly belong to a transcendental world) often have a far longer life than human generations, and that, therefore, they have to be understood almost as animate creatures, just as human beings themselves. Today’s dilettante does not grasp any of this.42

This passage displays the two different types of musical instincts. The opening of the passage describes the instinct of the artist which Schenker notes must be organic in nature to be a true “artistic instinct.”43 He views this as a false or artificial instinct, a creation by the artist for the artist’s own seemingly narcissistic enjoyment. He differentiates this false instinct from “the artistic instincts of the masters, who along have true artistic instincts in the first place.”44 For Schenker, the main problem with the instinct of the dilettante is that it lacks both the training and knowledge of the other

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43 Schenker’s term here is *Trieb* so the translators have potentially made the same mistake as that of Freud’s translators. However, the contextual meaning of the term here is most like the idea of *Instinkt* as described by Freud. Later in the passage, he indeed shifts to the German term *Instinkt* in describing the motivations of the composer as separated from the drives innate to the music itself.

type of instinct, the instinct innate to the tones themselves. This seems to correspond to
Freud’s use of the behaviorally-driven instinct [Instinkt] to describe the behavior of
animals.

The other drive, which Schenker referred to as Der Tonwille, views music as an
organic autonomous being with metaphorically human qualities. This more intimate
drive, which is innate to music itself and independent of the composer’s influence, is
somewhat more like Freud’s use of Trieb. Like Freud, Schenker differentiated between
Instinkt and Trieb. He specifically used Instinkt to designate what he viewed as the
false instinct of the human musician and Trieb to describe the drives of the musical
tones themselves, independent of the influence of the human composer. Freud
described the relationship of the individual to the internal psychical drives that
controlled him in a way quite useful for Schenkerian thought. “The relationship of the
Ich to the Es could be compared with that of a rider to his horse. The horse provides
the locomotive energy, and the rider’s privilege is to determine the destination, to guide
the movement of the powerful animal. But between the Ich and Es the situation is all
too frequently far from ideal: the rider has no choice but to guide the horse in
whichever direction it wants to go.” Translated into Schenkerian terms, the rider is
the composer who has a superficial control over the horse, the drive’s innate to the
tones themselves. Schenker’s genius composer is the rider who allows the drive of the

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horse to flow freely as it wishes to proceed, thus achieving the ultimate happiness of the satisfaction of a need.

The Characteristics of Schenkerian Drives

Schenker’s concept of *der Tonwille* also exhibits similar characteristics to Freud’s drives, namely internal causation, constancy, and the need for satisfaction. Initially, in an essay entitled “Der Geist der musikalischen Technik,” Schenker expressed opposition to the idea that music could be viewed as an organic entity defined primarily as having an independent and internal source of causation for its creation. In this essay, he cited the will of the composer as the origin of all musical composition. As his career progressed however, Schenker’s views changed as he invoked Schopenhauer’s concept of the genius. This concept of the genius is ubiquitous in Schenker’s mature works. Much like Freud’s equestrian rider, Schenker’s genius served as a vessel through which *der Tonwille*, by means of the laws of tonal voice leading, served as a drive through which a musical composition developed. According to this later view, Schenker treated musical compositions as organic entities independent in their development from the composer’s will. In his *Harmonielehre*, he described the source of all musical development as repetition akin to the sexual drives of an individual.

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47 Schenker, *Harmony*, 4-7.
The strongest of these drives within the diatonic system is toward tonic. However, Schenker viewed each diatonic tone as an individual being within a larger community of tones. As an individual being, each tone has its own independent drive to achieve the superior status of tonic. A tone that temporarily achieves tonic status within a piece is called a *Stufe*. *Stufen* provide the undergirding contrapuntal structure in the deep middleground and are part of the large-scale contrapuntal drive toward $\hat{1}$ supported by I. Like the constancy found in Freud’s drives, *der Tonwille* maintains a similar constancy in its drive toward $\hat{1}$ supported by I. While additional *Stufen* may appear to thwart, displace, or redirect this drive on the conscious, foreground level, a composition’s ultimate drive toward $\hat{1}$ supported by I is constant at the deeper unconscious levels of background and middleground. Schenker’s *Ursätze*, the fundamental structures of all tonal compositions, forms the basis of his view of monotonality, which he believed to govern all tonal music. Under the auspices of monotonality, each tonal composition can only be viewed as being in one governing key from beginning to end. Although other key areas are visited in the course of a composition, Schenker’s view is that of a single governing key whose root tone serves as the sole object of the global musical drive of a composition. When a composition appears to modulate to a key area other than its primary key, this is viewed simply as a tonicization of a different *Stufe* and is subsumed within the larger drive toward tonic. At a deep middleground level, this tonicization of a *Stufe* is simply a brief distraction, redirection, or displacement of the drive toward tonic which is temporarily taken up
under the auspices of a drive toward \( \hat{1} \) supported by I in the local key area formed by a Stufe within the global governing key.

Freud’s final characteristic of drives is the need for satisfaction and tension reduction, which, in its most primal form, involves the completion of a sexual act. Likewise, der Tonwille desires a completion of its drive toward \( \hat{1} \) supported by I, the arrival on which satisfies the need of the drive. In the tonal society of the diatonic system, tonic has the strongest pull of all tones. For Schenker, all well-formed tonal compositions achieve the satisfaction of their needs by achieving the completion of their journey toward \( \hat{1} \) supported by I.

The Parts of Schenkerian Drives

In addition to these general characteristics, Schenker’s musical drive, der Tonwille, can be divided into four parts—pressure, aim, object, and source—in a similar manner to Freud’s libido. Freud describes pressure as a drive’s “motor element, the amount of force or the degree of workload it represents.”

Aside from the constancy of its motor-like motion toward tonic, the contrapuntal drives that propel music forward also vary by their degree of intensity. The “closer” a harmonic formation is to its tonic, the greater the pressure its drive has to complete its motion toward tonic. For example, if a musical phrase includes a dominant 7\(^{\text{th}}\) chord, the listener expects a following tonic at a greater intensity than one does after a supertonic triad. Much like the pressure encountered in a sexual drive, the contrapuntal pressure

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\(^{48}\) Freud, *Drives and Their Fates*, 17.
of the musical drive to complete its course is greater the closer it gets to achieving closure on the tonic.

The second part of a drive listed by Freud is its aim which is always the process by which a drives satisfies its need. This is precisely the aim of Schenker’s *der Tonwille*. During the course of a contrapuntal structure, various degrees of dissonance present themselves which propel a line forward toward the satisfaction of its need for tonic. In *Kontrapunkt*, Schenker describes the development of musical aims and the resultant increase in the pressure of an instinct.

> All musical technique is derived from two basic ingredients: voice leading and the progression of scale degrees. Of the two, *voice leading* is the earlier and more original element.

The first instincts for voice leading may have originated during the earliest epoch of monophony: in the succession of pitches of a horizontal line, avenues had to be taken that led to the fifth and third.

When composers later ventured into setting several voices against each other simultaneously, instincts increased with goals. Indeed, the era of vocal polyphony brought forth technical accomplishments and, subsequently, theoretical insights that remained valuable and fundamental for voice leading for all eternity.\(^{49}\)

A musical drive in its most primal form resolves directly to tonic uninhibited by the involvement of other tones. For Freud, the aim of a drive is the purpose for which a drive originates, the process by which a drives satisfies its need. A direct path to

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Das ältere und ursprünglichere Element von beiden ist die Stimmführung.

*Die ersten Instinkte zur Stimmführung mögen sich noch in der ältesten Epoche der Monodie geregelt haben: im Nacheinander der horizontal Linie mußten wege gebahnt werden, die zur Quint und Terz hinführten.*

Als man späterhin gleichzeitig und gegeneinander gar mehrere Stimmen zu setzen unternahm, wuchsen mit dem Ziel auch die Instinkte. *In der Tat hatte die Epoche der vokalen Mehrstimmigkeit technische Errungenschaften und in deren Gefolge theoretische Erkenntnisse gezeitigt, deren Wert für die Stimmführung in alle Ewigkeit grundlegend bleibt.*” Schenker, *Kontrapunkt I*, xxiii.
satisfaction is the truest and most primal aim of a drive. This direct path of musical satisfaction is best demonstrated in the Ursatz which lies in the unconscious background of a composition as its most primal form (Figure 2.1).

Figure 2.1. 3-line Ursatz, Free Composition, Figure 1.50

In this primal form, the contrapuntal progression moves directly from tonic to dominant through which it is propelled forward to its immediate satisfaction in the tonic, and thus the completion of the aim of the drive. Like the Freudian libido, the aim of a musical drive can also be inhibited, diverted, or even partially achieved. Schenker, himself, discusses this exact diversion of the drive toward its goal. “The goal and the course of the goal are primary. Content comes afterward: without a goal there can be no content. In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds. Therein lies the source of all artistic delaying, from

50 Free Composition, Figure 1. This figure captures Schenker’s idea of the Ursatz. However, it is not Schenker’s figure. It was added by Oswald Jonas to the 1956 edition of Der freie Satz.
which the creative mind can derive content that is ever new. Thus we hear in the middleground and foreground an almost dramatic course of events.”

As a musical piece begins at the unconscious level of the Ursatz, a drive is able to proceed directly to its aim of satisfaction. However, as more tones, both diatonic and chromatic, are added in the middleground and foreground layers, this direct path to satisfaction is thwarted through the addition of other Stufen and contrapuntal structures that divert, delay, lessen, or in some cases completely inhibit the satisfaction of the drive toward tonic. Delayed satisfaction is shown in Schenker’s deep middleground paradigms from Figures 15, 16, and 18 of Der freie Satz, which represent expansions of the Ursatz through the addition of prolongations of tonic, bass arpeggiation of a third, and predominant harmonies. A diverted path to the satisfaction of a drive’s aim is shown in Schenker’s Figures 21, 22, 24, 26, and 27 of Der freie Satz, which represent interrupted Urlinie descents. A partial achievement of satisfaction is seen in compositions that seemingly end prematurely, at least in the foreground, without a final I \( I \) supported by I. A completely inhibited path to the satisfaction of a drive is seen in pieces that are seemingly incomplete or whose primary key is ambiguous. Examples of this are found in a few analyses in Schenker’s Nachlass as well as Figures 152, 6 (J.S. Bach’s C minor Prelude, BWV 999) and 152, 7 (Chopin’s Mazurka, op. 30, no. 2). The drive in Chopin’s Mazurka is altered so significantly that Schenker labels it with questions as to its primary key area.

Freud’s third part of a drive is its object. For Freud, the object of a drive is the person through which the sexual drive satisfies its need. As discussed above, the object

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51 Schenker, Free Composition, 5.
of a Schenkerian drive is $\hat{1}$ supported by I, for only through tonic can a contrapuntal drive be satisfied. The achievement of tonic, thus satisfying what Schenker describes as the procreative drive of the tones,\(^{52}\) is much like the release and satisfaction of Freud’s libidinous drive. Freud describes the sating of multiple drives of different origins by a single object. Similarly, a single tonic chord can sate different drives toward tonic occurring at multiple contrapuntal levels. An example of this can be found in Schenker’s interrupted *Urlinie* descents from his deep middleground examples.\(^{53}\) Here, the final I chord is the single object for the satisfaction of both the initial drive toward $\hat{1}$ supported by I that was diverted at the interruption of the *Urlinie* as well as the restart of the *Urlinie* that commences a new and more successful sating of the drive toward $\hat{1}$ (Figure 2.2).

Figure 2.2. The Interrupted *Ursatz*. *Free Composition*, Figure 21.

Freud’s final part of a drive is its source or “that physical process, in an organ or part of the body, whose stimulus is represented in the psyche by the drive.”\(^{54}\) Freud sees the source of all drives as originating internally deep within a person’s

\(^{52}\) Schenker, *Harmony*, 4-7.


\(^{54}\) Freud, *Drives and Their Fates*, 17.
unconscious, and, regardless of their external appearance as a conscious manifestation, all drives are initially sexual in nature. Schenker shares both the emphasis on internal origins as well as the sexuality of all musical drives.

The Urlinie bears in itself the seeds of all the forces that shape tonal life. With the cooperation of the harmonic degrees, the Urlinie indicates the path to all elaboration and so also the composition of the outer voices, in whose intervals the marriage of strict and free composition is so wonderfully and mysteriously consummated. It is the Urlinie that also gives life to the motive and to melody; only one who has grasped the essence of the Urlinie will find the way to the derivative nature of melody and comprehend that, owing to its origin in the Urlinie, melody is more than what it is usually taken to be.

Even the Urlinie obeys the law of procreation, which is the law of repetition; and because it has such a fundamental drive [Urtrieb], the Urlinie joins an ever growing, ever increasing Nature as a living piece of that Nature. While motives and melodies bustle about before our ears in repetitions that are easily perceptible, the Urlinie begets repetitions of a concealed, most sublime sort in its primal womb [Ur-Schoß]. Those who speak of repetitions in music and laugh at their procreative drive clearly betray that they hear only the repetitions in the foreground but have perceived nothing at all of the most tremendous background repetitions in Urlinien.

Schenker, “The Urlinie: A Preliminary Remark,” Der Tonwille 1, 21. At this stage in the development of his theory, Schenker referred to the Urlinie as the unconscious structure upon which a composition is based. The Urlinie became the Ursatz into which he incorporated the arpeggiation of the bass line [Bassbrechung]. While the terminology is slightly different, one can interchange “Ursatz” for “Urlinie” here with no change in the theoretical or philosophical meaning. “Die Urlinie birgt in sich die Keime aller das Tonleben gestaltenden Kräfte: Sie ist es due unter Mitwirkung der Stufen aller Auskomponierung, also auch dem Außenstimmsatz die Bahnen weist, in dessen Intervallen eben die Einsverdung vom strengen und friein Satze sich so wunderfam geheim vollzieht. Sie ist es acuh, die deom Motiv, der Melodie das Leben schenkt; nur mer das Wesen der Urlinie ersaßt hat, findet den Zugang zum Tochterwesen der Melodie und begreist, daß sie vermöge dieser Herkunst mehr ist als das, wofür sie allgemein genommen wird.

With words such as “consummated [vollziehen],” “procreative [Zeugungs-],” and “womb [Schoß],” this passage reveals Schenker’s bias for sexual metaphor in discussing how musical compositions develop. Significantly, he refers to the “fundamental drive [Urtrieb]” possessed by all tones within the Urlinie. As with Freud’s psychical drives, Schenker sees this musical drive as procreative in its innermost essence. Freud posits the source of all drives as a “physical process”, the potential for a sexual act, which is then represented within the psyche. Schenker shares this view of the source of musical drives. He describes a physical process represented in the Ursatz – “the composition of the outer voices, in whose intervals the marriage of strict and free composition is so wonderfully and mysteriously consummated.”

In his Harmonielehre, Schenker takes this analogy to another level as the sexual drives of contrapuntally intertwining tones elevate musical compositions to the status of independent living creatures.

“Only repetition can demarcate a series of tones and its purpose. Repetition thus is the basis of music as an art. It creates musical form, just as the association of ideas from a pattern in nature creates the other forms of art.

Man repeats himself in man; tree in tree. In other words, any creature repeats itself in its own kind, and only in its own kind; and by this repetition the concept “man” or the concept “tree” is formed. Thus a series of tones becomes an individual in the world of music only by repeating itself in its own kind; and, as in nature in general, so music manifests a procreative urge, which initiates this process of repetition.

We should get accustomed to seeing tones as creatures. We should learn to assume in them biological urges56 as they characterize living beings. We are faced, then, with the following equation:

56 Jonas adds the following footnote here: “The “biological urges” of tones express themselves in a kind of “egotism,” as further explained in the chapter on “tonicalization” (§136), and in the impulse to procreate overtones. The principle of repetition, on the other hand, is of a purely psychological nature. It is inherent in the artist, not in the tones as such. It should be mentioned, furthermore, that rhythm plays a particular role in effecting repetition. Schenker here merely hints at its importance. Rhythm, however, is
In Nature: procreative urge → repetition → individual kind;
In music, analogously: procreative urge → repetition → individual motif.”

While the translator’s English phrase “procreative urge” already alludes to Freud, Schenker’s original German *Fortpflanzungstrieb* provides even closer connections by invoking the same concept of *Trieb*. A better translation would have been “procreative drive.” For Schenker, the compositional repetition of musical tones is directly analogous to the reproduction of species in nature. He clearly follows Freud’s psychical model implying a sexual nature in all musical compositions.

one of the main elements through which and in which the urge to repetition can express itself, from the humblest beginnings of music (already familiar to primitive peoples) to its supreme maturation and transformation as art (Free Composition, §285 ff).”

*Schenker, Harmony, 5-7.* “...eigentlich also ist es die Wiederholung, welche der ursprünglichen Reihe denselben Dienst leistet, wie die erwähnten Ideenassoziationen der Natur den Schöpfungen der anderen Künste.

Wie sich der Mensche im Menschen, der Baum im Baume, kurz jede Kreatur in ihresgleichen – und nur in ihresgleichen – wiederholt, wodurch erst der Begriff des Menschen, des Baumes u. s. w. sich bildet, so wird die musikalische Reihe, erst wenn si sich in der Reihe wiederholt, zu einem Individuum in der Tonwelt. Und wie in aller Natur, so offenbart sich auch in der Musik der Trieb der Fortpflanzung, durch welchen eben jene Wiederholung in Szene gesetzt wird.

Man gewöhne sich endlich, den Tönen wie Kreaturen ins Auge zu sehen; man gewöhne sich, in ihnen biologische Triebe anzunehmen, wie sie den Lebewesen innewohnen. Haben wir doch schon hier vor an seine Gleichung:

*In der Natur: Fortpflanzungstrieb – Wiederholung – individuelle Art;
in der Tonwelt ganz so: Fortpflanzungstrieb – Wiederholung – individuelles Motiv.” Schenker, Harmonielehre, 5-6.*
Case Study: The Menuet from Bach’s G Major Suite for Solo Cello

Figure 2.3. Bach, Cello Suite in G Major, BWV 1007, *Menuet I*

Unconscious Background

The first of Bach’s two menuets from the G major cello suite serves as a case study to demonstrate the progression of a drive beginning at its initiation in the unconscious\(^\text{58}\) (Figure 2.3). It shows both the progression of a Schenkerian drive toward tonic, as well as a Freudian perspective on a drive’s primal urge toward the satisfaction of its need and the fates that it suffers as it is affected and altered along its quest for satisfaction. The primary drive involved in Bach’s Menuet can be parsed into four parts following Freud’s division of the drive: pressure, aim, object, and source. As

is true in Freud’s and Schenker’s theories alike, the aim of the drive is the satisfaction of the drive’s need. The object of the contrapuntal and harmonic drive in Bach’s Menuet is a root position, G major triad, with the *Urlinie* closing solidly on *^1*. The ultimate source of the drive is the G major triad which Schenker derived from the overtone series built on G. In keeping with both psychoanalytic and Schenkerian theory, the drive has an unconscious, internal source of causation. At the background level of this construction, equivalent to Freud’s unconscious, the drive begins on *^3* harmonized by a tonic triad. (Figure 2.4) Its ultimate motion is toward *^1*, and it seeks this goal in the unconscious, descending directly toward *^1*. This is the drive at its most primal form, the *Ursatz*, with a direct line to the satisfaction of its need, uninhibited by any alterations or diversions. Like Freud’s primal satisfaction of a drive’s need, the *Ursatz* demonstrates the complete satisfaction of a drive’s need for tonic. At this deepest unconscious level of representation, the pressure of the drive is very low. It easily accomplishes its goal and has limited opportunity to grow in pressure. This is not necessarily true of the drive at its conscious manifestation. As we will see, the addition of various fates at the middleground and foreground levels causes the drive to increase in pressure.
Figure 2.4. Schenkerian Graph of Bach’s Cello Suite in G Major, BWV 1007, Menuet 1.
Preconscious Middleground

The drive’s essence at the unconscious *Ursatz* level is quite different from its conscious manifestation as a completed musical composition. As discussed in Chapter 1, the unconscious is only observable through the conscious surface-level manifestations, the deciphering of which reveals the unconscious source of the drives. While the *Ursatz* represents the drive in its most primal, directly satisfied state, its source of origin is less clear at the unconscious background and preconscious middleground levels. At the observable surface level, the drive toward $\hat{1}$ suffers a multiplicity of fates that increase its pressure. A middleground construction of the Menuet provides a general view of the fates its contrapuntal drive encounters that serve to alter and delay the turn toward its object, thus producing a fully developed conscious musical manifestation (Figure 2.4).

In looking at the musical surface, we can immediately observe that the drive will indeed reach its goal of satisfaction on $\hat{1}$ over I in m. 24. But, two noticeable deterrents to its satisfaction are immediately clear: a sizeable cadence on V in m. 8 and a noteworthy tonicization of vi, culminating in a brief cessation of rhythmic, contrapuntal, and harmonic motion in m. 16 (Figure 2.3). Both phenomena are present at the middleground stage which is equivalent to Freud’s preconscious, due to its accessibility and closer similarity to the conscious manifestation at the musical surface. It is as though the drive toward G has been inhibited in its attempt to reach its conscious manifestation, and a direct resolution to G present in the *Ursatz* has been thwarted. As a result, the drive that originated in the unconscious *Ursatz* formation has been
elaborated by unconscious processes beneath the surface of the musical composition. The middleground manifestations of the vi chord in m.16 and the V in mm. 8-9 are not originally present in the Ursatz, but some of the energy of the original drive toward G is attached to it during its repression in the unconscious, allowing and propelling it toward a conscious manifestation.

Portions of the energy from the original drive toward \( \hat{1} \) over I are attached to V and vi in different ways. Shown by the large slur from the B in m. 1 to the D in the upper voice of m. 9 (Figure 2.4), the drive toward \( \hat{1} \) over I is initially deterred on its quest by a motion toward V. The D in m. 9 is reached by means of a rising third-progression from the Kopfton, B, in m. 1 and the upper voice C in m. 6 (Figures 2.3 and 2.4). This contrapuntal drive toward D over V in m. 9 is thwarted twice along the way as can be seen in this middleground construction (Figure 2.4). At the musical surface, there is a fairly demonstrative half cadence in m. 4. Here, a tonic chord, marked with a trill, moves down to \( \hat{2} \) over V (Figure 2.3). While this appears to divide the opening phrase into two parts, the dominant harmony continues in mm. 5-8, moving forward toward the second diversion from its goal of D. A pronounced cadence on \( \hat{2} \) over V in m. 8 again redirects the contrapuntal motion upward toward D. As shown in the middleground construction of Figure 2.4, the melodic line again appears to descend to \( \hat{2} \) in m. 8.

At the middleground level, an arpeggiation up to the D in m. 9 at the beginning of the b section finally achieves this contrapuntal drive toward D. It may seem odd for this V to continue over the repeat sign at the surface and even more so across the end of
the a section in m. 8 into the b section in m. 9; however, this is extremely common.

Larry Laskowski discusses this transformation in binary form in Bach’s Menuet from the E Major French Suite (Figure 2.5).

Figure 2.5. Laskowski’s Middleground Construction of Bach’s E Major French Suite, Menuet

In Laskowski’s middleground construction, the V chord in m. 8 closes the a section of the Menuet. Laskowski marks the achievement of 2 in m. 7 and its root position harmonization by V in m. 8 as the structural V of this 3-line descent to 1 over I. In Laskowski’s construction, this same V continues across the bar line in m. 9 at the commencement of the b section. He notes that the “superficial division into two parts is a natural selection of the tendency of 2 over V to divide a continuous fundamental

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structure from \( \hat{3} \) into two halves.\(^{60}\) The V in mm. 8-9 of Bach’s G major Menuet is not the structural V of the fundamental structure. However, it bears the same ability to divide across the “superficial divisions” that form the a and b sections in the foreground.

In the middleground construction of Bach’s G Major Menuet (Figure 2.4), the global drive toward \( \hat{1} \) over I has been inhibited, much like the thwarting of drives discussed by Freud. The Kopfton, \( \hat{3} \), must be regained to refocus the drive toward its object. In the middleground, the D begins its final descent in m. 12, and we can retrace the drive of the Menuet’s path from its original start on \( \hat{3} \), regained in mm. 14-16, to its original object, \( \hat{1} \). At the musical surface, the D is prepared by its occurrence in m. 12, suspended over an a minor triad, and resolved down to C. The upper-voice C then becomes the chordal seventh of the D\(^{7}\) chord in m. 13 that resolves, as it should, down to B in m. 14. This B is then retained through the tonicization of vi in mm. 15-16.

The vi chord in m. 16 is significant, for it takes on some of the focus of the original drive toward \( \hat{1} \) over I. It is not present in the unconscious background construction of Bach’s Menuet. (The unconscious Ursatz level is not shown in my graph.) Rather, its manifestation first appears as a Stufe in the middleground, much like Freud’s preconscious. Here, the vi chord has had some of the initial drive’s energy transferred upon it. The vi in m. 16 marks a significant temporal stop in the harmonic motion toward \( \hat{1} \) over I. Schenker notes that “the listener must not be deterred,

\(^{60}\) Laskowski, 91.
accordingly, either by excessive length or by overmodest brevity, from assuming a scale-step \([Stufe]\) if there are other indications in the composition which plead for such an assumption.”\(^61\) The vi chord contains just such indications. Each tone of the diatonic system strives to be independent of the overarching tonic harmony.\(^62\) In doing so, \(Stufen\) take on some of the initial unconscious drive of the piece, acting as local tonics. The introduction of D# in m. 13 and the strong tonicization of vi in mm. 15-16 represent some of the transference of the initial unconscious drive’s energy and enable the vi to reach consciousness as a \(Stufe\).

Indeed, just as in psychoanalytic theory, the repression of a drive involves the returning of the drive to the unconscious where it gains new energy, attaches to other psychical phenomena, and then reattempts to bypass the censor to reach conscious manifestation. Schenker viewed \(Stufen\) in a similar manner. Each \(Stufe\) has an internal drive toward consciousness that aides the composer and listener alike in discovering its unconscious origin. Its expanded manifestation in the conscious often demonstrates this increased psychical energy by means of the tones attached to it.

The scale-steps \([Stufen]\), to use a metaphor, have intercourse only among themselves, and such intercourse must be kept free from interference by those triads which do not constitute scale-steps, i.e., fifths of a superior order.

Granted that the triad must be considered as one particular aspect of the scale-step, in so far as its real root tone coincides with the scale-step as we conceive it; yet a triad of this kind, if it appears \textit{as such}, is subject to the whim of fancy, whereas that other kind of triad, which has

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\(^61\) Schenker, \textit{Harmony}, 151-152. “\textit{Man darf sich also gegebenenfalls weder durch eine übermäßige Länge, noch durch eine sehr bescheidene Kürze davon abhalten lassen, eine Stufe anzunehmen, wenn eben sonst welche kompositionelle Indizien für eine solche plädieren}.” \textit{Harmonielehre}, 196-197.

been lifted to the rank of a scale-step, guides the artist with the force and compulsion of Nature so that he has no choice but to rise and descend on the scale of fifths as may be required by the natural course of development and inversion. …

Owing to its superior, more abstract, character, the scale-step is the hallmark of harmony. For it is the task of harmony to instruct the disciple of art about those abstract forces which partly correspond to Nature, partly surge from our need for mental associations, in accordance with the purpose of art. Thus the theory of harmony is an abstraction, enclosed in the most secret psychology of music.63

Here, each Stufe within a given composition takes on a numinous, psychical quality, acting as a psychically controlling and revelatory agent of the unconscious origins of the true source of the Menuet’s drive. As noted earlier, Schenker even reveals a sexual origin to the drives of the Stufen that increase his agreement with Freud’s Triebe.

Further connections between Freud’s drives and Schenker’s drives can be made from these observations in the middleground. From the start of Bach’s Menuet, we can observe alterations of the drive toward tonic somewhat akin to Freud’s fates of the reversal of a drive into its opposite (affecting the aim of the drive) and the turning back of a drive onto itself (affecting the object of the drive). In Schenkerian terms, the first eight measures of the Menuet involve the prolongation of I (mm. 1-4) with a motion

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Wenn auch der Dreiklang sicher als eine Erscheinungsform der Stufe bezeichnet warden muß, wo dann eben der reale Grundton mit dem Begriff der Stufe zusammenfällt, so unterliegt dennoch der Dreiklang, wenn er bloß als solcher auftritt, wohl der Willkür der Phantasie, nicht so aber jener Dreiklang, dem der Rang einer Stufe zukommt, welche mit Naturgewalt und Naturzwang den Künstler leitet, so daß ihm nichts übrig bleibt, als auf der Quintenleiter auf- und niederzusteigen, wie es der natürliche Sinn der Entwicklung und der Inversion erfordert.…

toward V (m. 4) followed by the prolongation of the dominant chord (mm. 4-8). Although this opening section moves toward dominant just as does the Ursatz from which the drive originates, the motion of the dominant harmony in mm. 4-8 is not the same as the motion of the structural dominant of the Ursatz. The structural function of the dominant in mm. 4-8 and extending into m. 9 serves to move the drive’s aim away from tonic rather than back toward its object, tonic, at the close of the movement. The first eight measures are diatonically faithful to the key of G and therefore remain, at least to some extent, related to the drive’s initial goal of returning harmonically to tonic and melodically to $\hat{1}$. However, their primary drive is to turn away from tonic, temporarily altering the aim of the drive in this opening passage.

Freud’s fate of a drive that turns the drive back onto itself is also present in this opening phrase. The first four measures are somewhat static in harmonic motion as they progress from the arpeggiated tonic triad of the first two beats of m. 1 to the sustained tonic chord of the first two beats of m. 4 before moving to the dominant harmony that comprises the remainder of mm. 4–8. The prolongation of tonic in mm. 1-4 replaces the object of the drive from I with $\hat{1}$ in the melody to I with $\hat{3}$ in the melody, turning the object of the drive back onto itself as found in m. 1. Thus, the opening drive of the movement at the foreground does not proceed by stepwise descent through $\hat{2}$ to its object of $\hat{1}$ as expected in the Ursatz formation of the drive’s most primal motion. Rather, it prolongs exactly the same formation of tonic in root position with $\hat{3}$ in the melody. The object of the drive in this opening passage has been altered
as well as the aim discussed above. The object of the drive has turned back onto itself, satisfying its need internally rather than externally by descending toward $\hat{I}$.

The second half of Bach’s G major Menuet provides an excellent example of the alteration of the musical drive somewhat akin to Freud’s concept of repression. In repression, a drive is blocked from conscious manifestation by the censor, returns to the unconscious where it gathers energy, and latches onto other psychic material in the unconscious through which it disguises itself before making additional efforts to reach a conscious level of manifestation. The first eight measures of the Menuet have served as a type of censor, repressing the direct gratification present in the unconscious presentation of the Ursatz. The underlying drive toward $\hat{I}$ over I still remains, but it is derailed somewhat from its original and more direct course seen in the Ursatz. While the initial motion from I to V discussed above lasts for the duration of 8 measures, the second half of the piece doubles in length. In Freud’s concept of repression, an increase in the quantity of psychic material is common when some of the initial drive’s pressure is repressed and redistributed to the unconscious. The drive then returns to its initial push toward conscious manifestation with additional forces that disguise its original intent making it more likely to bypass the censorship it encountered on its initial attempt. Some of the reason for the additional length in the Menuet involves just such a process of repression. This results in a new invigorated progression toward conscious manifestation as its initial energy is attached to new material in its quest for satisfaction on the final tonic in m. 24. As discussed above, the second half of the Menuet includes the introduction of a new Stufe, vi, to the drive’s attack toward
conscious manifestation along with sequences and other material. It is as though the drive toward G has been thwarted by a musical censor of sorts and, during its return to the unconscious level, has transferred some of its energy onto other unconscious material, namely the *Stufe* of vi. The attachment of some drive energy to vi is seen in the middleground graph above (Figure 2.4).

At the middleground level, the drive toward \( \hat{1} \) over I begins its final press toward satisfaction in m. 16. The *Kopfton*, \( \hat{3} \), has descending to G over vi in m. 16 and moves up to \( \hat{2} \), A, in m. 19. The G is reharmonized by IV in m. 18, and moves upward through 5-6 motion to gain the A in m. 19. Returning its focus to its original object, \( \hat{1} \) over I in m. 24, the arrival of \( \hat{2} \) over V in m. 19 serves as the final propellant for the satisfaction of the drive. While these Schenkerian middleground or Freudian preconscious phenomena are a significant step in deciphering the unconscious origin of the Menuet’s drive toward \( \hat{1} \) over I, they still do not fully reveal the surface-level fates suffered by the drive in its quest for satisfaction. A closer look at the musical surface is still necessary.

**Conscious Foreground**

In the psychoanalytic session, the patient’s distractions from the aim of their unconscious drives often run rampant in their discussions of their conscious daily lives. Likewise in the foreground construction of Bach’s Menuet (Figure 2.4), the drive’s diversions from its aim of satisfaction become even more apparent. The large scale motion from the *Kopfton*, B, up to the D in m. 9 is replicated several times at the
musical surface. In mm. 1-3, an initial ascent, B-C-D occurs in the upper voice, which is shown as reaching over in Figure 2.4. This can be seen most clearly in the middleground graph, but is apparent at the foreground as well. A similar statement of the B-C-D motive is also found in m. 5 where it serves as a double-neighbor elaboration of the C of the large scale ascent to D in m. 9. These motivic parallisms at the conscious foreground strengthen the construction of the drive’s divergence toward D in m. 9 and away from its object, the final $^\hat{1}$ in m. 24.

Another motivic parallelism serves to frame the Menuet. A similar double-neighbor figure, A-B-C, to the Kopfton, B, is found in m. 1. This third-progression is found again at the close of the Menuet, beginning on the structural $^\hat{2}$ of the Urlinie in m. 19 (Figure 2.4). In the sequence (mm. 21-22) that prolongs the final V, the upper voice rises above the Urlinie in both the foreground construction and the musical surface. The upper voice rises in the same third-progression from m. 1 (A-B-C), reaching the B in m. 21 and the C in m. 22, before finally descending back to its final goal of $^\hat{1}$ over I in m. 24.

David Beach has shown similar motivic parallisms throughout Bach’s G Major Cello Suite (Figure 2.6). Beach’s analysis of the opening measures of the Menuet show the initial rising motion from the Kopfton, B, to D in m. 3. While he does not mark it as such, the middleground and foreground constructions above (Figure 2.4) represent the C in m. 2 as an upper neighbor in m. 2. The D then rises above the C before descending back to the B in m. 4. Beach’s Figure (Figure 2.6) strengthens this construction of the initial digression from the drive’s quest for satisfaction on $^\hat{1}$ over I.
Figure 2.6. Beach’s Motivic Parallelisms in Bach’s G Major Cello Suite

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David Beach, *Aspects of Unity in J.S. Bach’s Partitas and Suites: An Analytical Study* (Rochester: University of Rochester Press, 2005), Figure 3.10, 33.
It shows similar opening voice-leading of each movement of the suite, demonstrating a unity not just in the Menuet, but across the entire G Major Cello Suite.

While the D in m. 3 is clear at the musical surface, it is significant to note that the D in m. 9, present in both the middleground and foreground constructions (Figure 2.4), is not present at the musical surface (Figure 2.3). This follows the psychoanalytic idea that not all unconscious material is completely manifest at the conscious level. Some remains hidden, repressed deep within the psyche. While the D is absent from the musical surface, it is implied by other surface level phenomena. As discussed above, the D is manifest in m. 12, where it serves as a suspension. As it should, it resolves down to C, harmonized by an a minor triad. As a suspension, it requires preparation. The D is prepared in m. 11 by the top voice of a vii\(^6\) chord that tonicizes the a minor triad in m. 12. While the suspension is prepared, it falls under the weak support of a tritone (G#-D) in m. 11. Instead, the D is actually prepared earlier by an implied D beginning in m. 9. In support of this construction, similar voice leading is found in mm. 12-14, where the D continues its descent to B as discussed above. In m. 13, the C is the chordal seventh of a vii\(^7\) chord which resolves down to B in m. 14. This dissonant C in m. 13 is prepared in m. 12 by the much more stable C of the a minor triad. Much like the use of surface-level clues to interpret unconscious drives in the psychoanalytic process, surface-level clues aid the music analyst in unraveling hidden, unconscious contrapuntal material, often merely implied at the conscious

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musical surface. In the case of Bach’s Menuet, these clues uncover the implied D from m. 9, that thwarts the drive of the *Urlinie* toward $\hat{1}$ over I.

There is another diversion of the drive’s quest for satisfaction within Bach’s Menuet. The remainder of the Menuet’s second half incorporates several sequences which also have some of the drive’s initial energy transferred to them. Sequences serve two potential purposes: they can be prolongational or transitional. Both can be viewed through the psychoanalytic lens of the energy transfer from the initial primal drive. In the case of prolongation, the drive turns away from its object and back onto itself much like the prolongation of tonic discussed above. When a sequence prolongs the same harmony on which it commences, a certain stasis of energy has been accomplished much like the turning of the drive back onto itself thus giving the drive a partial or delayed sense of satisfaction, but one that is far removed from the primal satisfaction achieved by reaching its initial object. Thus, the turning of the drive back onto itself accomplishes very little in regard to drive satisfaction and leaves the drive with a displaced and ongoing longing for its initial object. A sequence that transitions to a new harmony bypasses this partial satisfaction. Rather than achieving satisfaction in itself, the drive proceeds to a new harmonic object. Like the prolongational sequence, the transitional sequence replaces the initial object of the primal drive with a harmony other than that on which the sequence commences. While this new musical entity has a drive of its own derived from the primal drive that has been repressed, its goal is not the original object of the primal drive. Thus, the satisfaction that it achieves momentarily at the completion of the transitional sequence is only a partial level satisfaction, displaced from the original goal of the drive.
Two sequences are present in the second half of Bach’s G major Menuet. Both are transitional in nature. The first is found in mm. 17-20 and progresses from IV to V, tonicizing both harmonies along the way. Just as with the Stufen discussed above, the tonicizations of IV and V in the first sequence serve to increase the energy of the drive within the sequence toward its respective members. Not only are the leading tones of these two harmonies present (B in m. 17 and C# in m. 19), but the chordal sevenths of their applied dominants are also present. In both cases, these extra tones increase the contrapuntal drive of the sequence, propelling it forward toward its object of partial satisfaction. The sequence does reach a goal, but the listener and musical composition alike are left with an incomplete level of drive satisfaction as the primal goal of tonic has yet to be reached. Another sequence is present in mm. 21-22, occurring after the achievement of the Ursatz’s structural 2 over V. Here, the harmonic rhythm of the sequence is compressed into two harmonies per measure, doubling the speed of the previous sequence. At this point, the original goal of tonic is near its point of satisfaction. The drive of the sequence in mm. 21-22 is subsumed within the larger goal of reaching tonic. While the initial chords in mm. 21 and 22 contain chordal sevenths that pull strongly toward the primary chords build on G and A respectively as did their counterparts in mm. 17-20, the chords lie fully within the diatonic spectrum of G major and thus lack any status as applied dominants. The first inversion and lack of root tones, which are absent but decidedly implied, of the G major triad in m. 21 and the a minor triad in m. 22 serve to further weaken the drive of this sequence. The drive of this sequence to its conscious manifestation at the musical surface is indeed weak as integral parts of its harmonies are missing from their conscious manifestations. This
closely follows the psychoanalytic perspective of complete unconscious materials lying effectively dormant within the psyche, while their conscious manifestations frequently leave incomplete remnants at the realized surface to be deciphered within the psychoanalytic, or in this case, music-analytic session. Occurring within the confines of the structural V, it is as though the drive of this sequence lays subservient to the original drive toward G from which it drew its own impetus for conscious manifestation. Indeed, the final satisfaction of the primal drive of the Ursatz toward its object of G is duly satisfied in the cadence that follows this final sequence of the Menuet. A full level of satisfaction of the drive is finally realized at the musical conscious level of the foreground. While we may not be able to make exact correlations between Freudian fate and Schenkerian contrapuntal process, it is clear from the above discussion that musical drives suffer fates of alteration, misdirection, and reconfigured or even incomplete levels of satisfaction much as the sexual drives discussed by Freud.
Chapter 3

Interpreting Music: Parallels Between the Transformational Processes in Dreams and Music

At least since Classical Antiquity, people have been interested in analyzing music and dreams. Indeed, Aristotle wrote about both topics and tales built upon the interpretation of a dream are found in the Old and New Testaments of the Bible as well as the Egyptian Book of the Dead. In addition to their alleged somewhat metaphysical transformational power, both dreams and music involve a transformational creative process drawing inspirational power from unconscious processes. This chapter explores these transformational processes as described by Freud and Schenker and finds some similarities in the ways that these transformations serve to create conscious manifestations in their respective disciplines. It culminates in an analysis of one particular dream. Schumann’s “Ich hab’ im Traum geweinet” serves as a singular case study upon which to demonstrate a synthesis of both Freudian and Schenkerian analyses.

Die Traumdeutung

Freud viewed his Die Traumdeutung as the flagship publication of his new theory of psychoanalysis. Published in 1899, its front pages present the date of publication as 1900, proclaiming what Freud saw as the future path of psychological practice for the twentieth century. It continued his work using hypnosis on neurotic patients conducted with Josef Breuer published in 1895 as Studies in Hysteria. According to John Forrester, two significant moments in Freud’s life served as catalysts
for *Die Traumdeutung*: Freud’s use of free association and his psychoanalysis of himself. “It was as part of the flood of material produced by free association that he increasingly came upon dreams, fantasies and other detritus of everyday mental life. How traumatic experiences – in particular sexual ones – became elaborated through the ‘mechanisms of defence’ to produce symptoms became the focus of his work in the mid-1890s; the same processes were at work, he thought, in dreams.”¹ Along with the use of free association in his practice, Freud’s own psychoanalysis of himself as a result of his father’s death in October of 1896 contributed heavily to the development of *Die Traumdeutung*. As a result of his father’s death, “Freud found himself beset with strange states of mind, enormous unaccountable shifts of mood, neurotic symptoms. Over the next months, extending throughout the time of writing the book, he plunged into analysis of his own dreams as a reaction to that bereavement.”² Many of these self-analyses find their way into *Die Traumdeutung*.

Figure 3.1. *Die Traumdeutung* Table of Contents

1) The Scientific Literature on Dream-Problems  
2) Method of Dream-Interpretation: Analysis of a Specimen Dream  
3) Dream is Wish-Fulfilment  
4) Dream-Distortion  
5) Dream-Material and Sources of Dream  
6) Dream-Work  
7) On the Psychology of Dream-Processes

As shown in Figure 3.1, *Die Traumdeutung* has seven chapters. (Figure 3.1)

Chapter 1, “The Scientific Literature on Dream-Problems,” discusses the state of


Freud’s primary critique of past methodology centered on its over-reliance on symbolism in dreams. Instead, he maintained that, along with symbolism (upon which he also heavily relied), one must also rely on the material outside of the dream-proper provided by the dreamer during the psychoanalytic session.

In Chapter 2, Freud presents his own methodology for dream interpretation. He recognizes two then-current methods for interpreting dreams: the symbolic method and the decoding method. The symbolic method “looks at the content of a particular dream as a whole and tries to substitute for it a different, comprehensible, and in certain respects similar content.”

Freud criticizes this method, stating that “it fails from the outset with those dreams that appear not only incomprehensible but also confused….The symbolic method is limited in its application and not susceptible of general exposition.” The decoding method “treats dream as a kind of secret writing in

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3 Freud, Interpreting Dreams, v.
5 Freud, Interpreting Dreams, 111-112. “…sie scheitert natürlich von vornherein an jenen Träumen, welche nicht bloß unverständlich, sondern auch verworren erscheinen….Die symbolische Methode ist in ihrer Anwendung beschränkt und keiner allgemeinen Darlegung fähig.” Die Traumdeutung, 103-104.
which, following a fixed key, each character is translated into a different character whose meaning is known.\textsuperscript{6} The decoding method relies on reference to a “dream book”; Freud’s detailing critique claims “everything would depend on the ‘key’ (the codebook) being reliable, and of that there is no guarantee.”\textsuperscript{7}

Instead, Freud’s method of dream interpretation involves tracing portions of a dream through a “psychical chain of events that, starting from a pathological idea, can be traced back in memory.”\textsuperscript{8} This process requires two things of the patient: “a heightening of the patient’s attention so far as his psychical perceptions are concerned and [as with free association] a switching-off of the critical faculty with which he is otherwise in the habit of inspecting the thoughts that occur to him….The success of psychoanalysis depends upon his [the patient’s] observing and communicating whatever occurs to him and not allowing himself to be tempted into suppressing, say, this idea because it seems to him unimportant or of no relevance to the subject or the other because it strikes him as making no sense.”\textsuperscript{9} As discussed in Chapter 1, the patient recounts each dream element via free association while the psychoanalyst traces the transformation process that these conscious manifestations undergo from their origin as unconscious, latent material. Freud’s approach differs from the symbolic


\textsuperscript{8} Freud, \textit{Interpreting Dreams}, 113. “…die psychische Verkettung..., die von einer pathologischen Idee her nach rückwärts in der Erinnerung zu verfolgen ist.” \textit{Die Traumdeutung}, 105.

\textsuperscript{9} Freud, \textit{Interpreting Dreams}, 113. “…eine Steigerung seiner Aufmerksamkeit für seine psychischen Wahrnehmungen und eine Ausschaltung der Kritik, mit der er die ihm auftauchenden Gedanken sonst zu sichten pflegt....der Erfolg der Psychoanalyse hänge davon ab, daß er alles beachtet und mitteilt, was ihm durch den Sinn geht, und nicht etwa sich verleiten läßt, den einen Einfall zu unterdrücken, weil er ihm unwichtig oder nicht zum Thema gehörig, den anderen, weil er ihm unsinnig erscheint.” \textit{Die Traumdeutung}, 105.
method in that “it proceeds en detail rather than en masse; it treats the dream as something put together, a conglomerate of psychical formations.” Freud’s method differs from the decoding method “which translates a given dream-content in accordance with a fixed key.” Rather, Freud connects each individual’s dream-content with his/her own idiosyncratic life experiences and psychical content. He goes so far as to state that he is “quite prepared to find that the same dream-content may, with different persons and in another context, conceal different meanings.”

In Chapter 3 of *Die Traumdeutung*, Freud posits that dreams represent the fulfillment of an individual’s unconscious wish. Although the manifestation of a dream may seem odd and incomprehensible to the dreamer, Freud states that a dream “is not meaningless, it is not absurd, it does not presuppose that part of our treasury of ideas is asleep while another part is beginning to stir. It is an entirely valid psychical phenomenon, namely an act of wish-fulfilment; it has its place among what we find to be the wholly comprehensible mental operations of the waking state; a highly complicated piece of intellectual activity put it together.” Freud describes “comfort dreams” as one way that dreams act as the fulfillment of a wish. A comfort dream involves a wish in the form of a real, conscious need, such as actually being thirsty, and the incorporation of the fulfillment of that wish during the dream, such as dreaming that

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one is drinking. The wish can also be psychological rather than physical. “A young woman who had been cut off from society for weeks, nursing her infectiously ill child, dreams after the illness is fortunately past of a party attended by A. Daudet, Bourget and M. Prévost, among others, who are all extremely charming to her and provide excellent entertainment….The dream would seem to be perfectly translatable: ‘High time [the young woman thought] I had more fun than doing this everlasting sick-nursing.’”

Freud confronts potential objections to his “claim that wish-fulfilment is the meaning of every dream [Freud’s emphasis] – in other words, that there can be no other dreams but wish-dreams….After all, plenty of dreams occur that clearly have the most painful content but in which there is no trace of wish-fulfilment.” Chapter 4 of Die Traumdeutung discusses the distortion or transformation of a dream from its unconscious origin as latent dream-content to its conscious form as manifest dream-content. To explain the distortion of the dream content from its latent to manifest forms, Freud presents “two psychical forces (tendencies, systems) in the individual, one of which shapes the wish expressed in dream while the other exercises censorship over that dream-wish, thereby imposing distortion on the way in which it is expressed….No part of the first system is able to attain consciousness that has not previously passed the

14 Freud, Interpreting Dreams, 137.
16 Freud, Interpreting Dreams, 148. “Wenn ich nun die Behauptung aufstelle, daß Wunschbefüllung der Sinn eines jeden Traumes sei, also daß es keine anderen als Wunschträume geben kann....Es kommen doch reichlich genug Träume vor, welche den peinlichsten Inhalt erkennen lassen, aber keine Spur irgendeiner Wunschbefüllung.” Die Traumdeutung, 139.
second agency, and the second agency lets nothing past without exercising its rights and imposing on the candidate for consciousness whatever changes it cares to impose….Dream-distortion has taken place and the painful content serves simply to disguise something wished for. In the light of our assumptions regarding the two psychical agencies, we can now say that painful dreams do indeed contain something that, while painful for the second agency, at the same time fulfil a wish so far as the first agency is concerned. They are wish-dreams in so far as all dreams proceed from the first agency with the second agency playing only a defensive, non-creative role.”

Freud addresses the unconscious dream material and the source of dream content in Chapter 5. Freud lists three sources for dream material: material from the previous day, material from infancy, and material from somatic sources. Freud gives priority in forming the primary structure of a dream to the events of the previous day. “The experiences of the immediate past (with the exception of the day preceding the dream-night) stand in no different a relationship to dream-content than other impressions from never mind how long ago. A dream can choose its material from any time of life, provided only that there is a mental thread connecting the experiences of

17 Freud, *Interpreting Dreams*, 156-157. “...zwei psychische Mächte (Strömungen, Systeme) im Einzelmenschen annehmen, von denen die eine den durch den Traum zum Ausdruck gebrachten Wunsch bildet, während die andere eine Zensur an diesem Traumwunsch übt und durch diese Zensur eine Entstellung seiner Äuβerung erzwingt....Aus dem ersten System könne nichts zum Bewuβtsein gelangen, was nicht vorher die zweite Instanz passiert habe, und die zweite Instanz lasse nichts passieren, ohne ihre Rechte auszuüben und die ihr genehmen Abänderungen am Bewuβtseinswerber durchzusetzen.....wenn der peinliche Inhalt nur zur Verkleidung eines erwünschten dient. Mit Rücksicht auf unsere Annahmen über die zwei psychischen Instanzen können wir jetzt auch sagen; die peinlichen Träume enthalten tatsächlich etwas, was der zweiten Instanz peinlich ist, was aber gleichzeitig einen Wunsch der ersten Instanz erfüllt. Sie sind insofern Wunschträume, als ja jeder Traum von der ersten Instanz ausgeht, die zweite sich nur abwehrend, nicht schöpferisch gegen den Traum verhält.” *Die Traumdeutung*, 149-151.
the dream-day (‘still-vivid’ impressions) with those earlier experiences.”  

18 These “still-vivid” memories of the previous day often serve to trigger the transformation and surfacing of unconscious latent material disguised within a dream.  

19 Freud also posits “that dreams may reproduce impressions from the earliest years of life to which in the waking state memory apparently has no access.”  

20 Here, Freud makes clear his well-known position on childhood and wish-fulfillment. “Analysis teaches us that the very wish that aroused a particular dream, fulfillment of which that dream seeks to represent, itself stems from childhood, with the result that, much to our surprise, we find in dream the child and its impulses living on. [Freud’s emphasis]”  

21 Like the “still-vivid” memories, memories from childhood are rarely “unabridged and unamended…[and] form the only manifest dream-content.”  

22 They are disguised as well. The final source of dream material listed by Freud comes from somatic sources. Freud notes that while somatic stimuli from external objects as well as internal arousals from our own bodies certainly find their way into our dreams, the actual stimulus for most dreams is found “outside somatic stimulus sources.”  

23 Freud criticizes previous theories of dream

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21 Freud, Interpreting Dreams, 207. “…man durch die Analyse belehrt, daß der Wunsch selbst, der den Traum erregt hat, als dessen Erfüllung der Traum sich darstellt, aus dem Kinderleben stammt, so daß man zu seiner Überraschung im Traum das Kind mit seinen Impulsen weiterlebt findet.” Die Traumdeutung, 197.  

22 Freud, Interpreting Dreams, 213. “…daß sie unverkürzt und unverändert den alleinigen manifesten Trauminhalt bilden.” Die Traumdeutung, 204.  

interpretation (primarily from the symbolic method) that rely too heavily or even exclusively on somatic sources for the primary components of dream material. Rather as with dream material from infancy and from the previous day, Freud notes that dream components from somatic sources are often disguised in combination with psychical source materials. “It is not particularly hard for us to predict what will happen when new material, in terms of sensations felt during sleep, is added to these memories of current relevance. Such stimuli in turn acquire importance for dreams in that they too are of current relevance; they become combined with the other matters of psychical relevance to provide the material for dream-formation. Stimuli experienced during sleep are (to put it another way) processed into a wish-fulfilment, the other components of which are the day’s psychical residues, as we have seen.”24 Freud closes this chapter with a discussion of three of the most typical types of dreams: “the embarrassment dream of being naked,” “dreams of the deaths of loved ones,” and “the examination dream.”25

Chapter 6 addresses the actual dream-work process, the process by which the latent dream-content is transformed into its dream manifestation. This particular chapter on the transformation process is by far the largest chapter in Die Traumdeutung, consuming 233 out of a total 637 pages. This transformational process

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24 Freud, Interpreting Dreams, 245. “Es schafft uns nun nicht viel Verlegenheit vorherzusagen, was geschehen wird, wenn zu diesen Erinnerungsaktualitäten neues Material an Sensationen während des Schlafzustandes hinzutritt. Diese Erregungen erlangen wiederum eine Wichtigkeit für den Traum dadurch, daß sie aktuell sind; sie werden mit den anderen psychischen Aktualitäten vereinigt, um das Material für die Traumbildung abzugeben. Die Reize während des Schlafes werden, um es anders zu sagen, in eine Wunschbefriedigung verarbeitet, deren andere Bestandteile die uns bekannten psychischen Tagesreste sind.” Die Traumdeutung, 214.
which Freud calls the “dream-work” is the focus of my chapter and will be elaborated below.

A new body of psychical material forces its way between a specific dream-content and the outcome of our examination, namely what our methods have brought to light as the latent dream-content or dream-thoughts. It is from these rather than from the manifest dream-content that we derive the solution of the phenomenon of dream. We therefore also face a fresh task – one that did not exist before. This is the task of studying the links between manifest dream-content and latent dream-thoughts and tracing the processes by which the latter have become the former.\(^\text{26}\)

There are four categories of transformations mentioned by Freud in the dream-work process through which a dream is created and brought to a conscious level:

Compression, Displacement, Visual Representation (or Symbolization), and Secondary Processing. The first three transformations occur outside a sense of time. They are not necessarily logical and serve to disguise the latent content in order to bypass the censor. Compression is the first transformation. Here, the unconscious latent dream material is compressed into a smaller summary in its conscious dream manifestation. Displacement is the second transformation process that a dream may undergo. In displacement, “those elements that in dream-content stand out as essential components do not play at all the same role in the relevant dream-thoughts.”\(^\text{27}\)

\(^{26}\) Freud, Interpreting Dreams, 293. “...für uns schiebt sich zwischen den Trauminhalt und die Resultate unserer Betrachtung ein neues psychisches Material ein: der durch unser Verfahren gewonnene latenten Trauminhalt oder die Traumgedanken. Aus diesem letzteren, nicht aus dem manifesten Trauminhalt entwickelten wir die Lösung des Traumes. An uns tritt darum auch als neu eine Aufgabe heran, die es vordem nicht gegeben hat, die Aufgabe, die Beziehungen des manifesten Trauminhalts zu den latenten Traumgedanken zu untersuchen und nachzuspüren, durch welche Vorgänge aus dem letzteren der erstere geworden ist.” Die Traumdeutung, 283.

\(^{27}\) Freud, Interpreting Dreams, 321. “...die Elemente, welche im Trauminhalt sich als die wesentlichen Bestandteile hervordrängen, in den Traumgedanken keineswegs die gleiche Rolle spielen.” Die Traumdeutung, 310.
latent dream material is displaced by a substitutive item in its conscious manifestation as a dream. The substitutive item can be anything from an object to more abstract psychic material such as a feeling. This displacement process often results in something that is really important in the origin of the dream manifesting itself as a trivial aspect of the conscious version of the dream. Visual representation is the third type of transformation listed by Freud, but it is really a more specific subset of the larger transformation of displacement. In this transformation, a specific dream-thought is replaced by an image. Freud’s transformation by visual representation is most like the symbolist’s identification of latent dream material through the translation of a substitutive visual representation for that latent material. Freud acknowledges that “only in respect of a few materials has a universally valid dream-symbolism emerged on the basis of allusions and word-substitutions with which everyone is familiar.”

Secondary processing is the fourth and final transformation involved in the dream-work process. It differs from the first three transformations as it attempts to provide a logical organization and sense of time to the often vague material resulting from compression, displacement, and visual representation. “…Not everything dream contains comes from the relevant dream-thoughts but a psychical function indistinguishable from our thinking when awake may contribute towards dream-content.” In the transformations of secondary processing, the censor does more than just alter latent dream material. Instead, it draws other material from the latent dream thoughts and inserts them into the


29 Freud, Interpreting Dreams, 506. “…nicht alles, was der Traum enthält, aus den Traumgedanken stammt, sondern daß eine psychische Funktion, die von unserem wachen Denken nicht zu unterscheiden ist, Beiträge zum Trauminhalt liefern kann.” Die Traumdeutung, 493.
dream to serve as linking material between structural dream components. Essentially, the transformation of secondary processing creates the storyboard of a dream. “There is no doubt that the censoring agency whose influence we have hitherto acknowledged only in restrictions and omissions in dream-content is also responsible for insertions into and increases in the same.”

The final chapter of *Die Traumdeutung*, “On the Psychology of Dream-Processes,” addresses the conscious perception of our dreams, in other words, the way that we recount our dreams. Its topics deal with the relationship between unconscious dream formation and conscious perception including the manner in which we forget dreams and the function of dreams in anxiety production and release. This is the most abstract portion of Freud’s work with dreams and is beyond the focus of this chapter on the actual transformation process of dream creation which Freud referred to as the “Dreamwork” [*Die Traumarbeit*].

**The Dreamwork Process**

Having reviewed the contents of *Die Traumdeutung*, we now turn our attention to the specific transformations involved in the dream-work process. In order to explain what these transformations are and how they operate within the process of dream formation, we must first understand Freud’s conception of the structure of the psyche. For Freud, there are three levels within the psyche, each of which demonstrates a different stage of representation and transformation within the process of dream

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formation: the unconscious, preconscious, and conscious. Due to the transformation of dream material, the perceived form of a dream’s contents in its conscious manifestation is not necessarily clearly connected to its original form within the unconscious. The actual process of transformation occurs beneath the conscious level.

Each of these psychical levels is enveloped by a psychical entity the totality of which constitutes an individual’s collective psyche. Freud’s Es is the unconscious entity.\(^{31}\) The Es is “the oldest of these psychical provinces or forces…. It contains everything that is inherited, everything present at birth, everything constitutionally determined – above all, then, the drives originating from the bodily organization, which here [that is, in the Es] find a first psychical expression in forms unknown to us.”\(^{32}\)

The Ich contains the conscious portion of the psyche, but it also interacts with the other layers of the psyche. As the outermost layer of the psyche, the Ich interacts with both the external world and a person’s unconscious. The Ich “has the task of self-assertion, and fulfils it with respect to the outside world by getting to know the stimuli there, by storing information about them (in the memory), by avoiding excessively strong stimuli (through flight), by dealing with moderate stimuli (through adaptation), and finally by

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\(^{31}\) Following Bruno Bettelheim’s discussion in *Freud and Man’s Soul*, I have chosen to use Freud’s original German terms, Es, Ich, and Über-Ich instead of the traditional terms “Id,” “Ego,” and “Super-Ego” as translated in the Standard Edition of Freud’s works and consequently now used ubiquitously in modern culture both inside and outside of Freudian circles. The obvious English translations of Es, Ich, and Über-Ich are “it”, “I”, and “Over I” respectively. “It” is somewhat more powerful than the Latinate “Id.” Likewise, “I” and “Over I” are much more personal than “Ego” and “Super-Ego.” My use of the original German terms avoids confusion with the traditional English translation in Freud’s *Standard Edition* while preserving the power of meaning behind these terms in Freud’s original German terms. A more extensive discussion of issues with the translation of both Freud’s and Schenker’s works is found in the introduction of this dissertation.

learning to change the external world in an expedient way to its own advantage
(through activity). It also fulfils its task with respect to the *inner* world, that is, with
respect to the *Es*, by gaining mastery over the demands of the drives, by deciding
whether they should be allowed gratification, by postponing this gratification until the
time and circumstances are favourable in the external world, or by suppressing their
excitations altogether.\(^{33}\) As the “I”, the *Ich* contains the true essence of a person as a
conscious being. As a person matures, the *Über-Ich* develops out of the *Ich* in the
unconscious during childhood. The *Über-Ich* serves the function of a conscience in the
psyche and watches out for the *Ich*’s best interest as a replacement in adulthood for the
parental function present in an individual’s childhood.\(^ {34}\) It is the source of a person’s
internal sense of guilt and participates in the defense mechanisms that serve a protective
function within the psyche. All dream material must pass by the defense mechanisms
in the unconscious before it can be manifest consciously as a dream. In order to create
a dream, the defense mechanisms transform the unconscious material to make it more
palatable or less disturbing to the conscious *Ich*. It protects the *Ich* from the
unconscious drives of the *Es* and from materials which have been repressed into the
unconscious. These materials are altered and brought in a transformed state to the
conscious surface in the form of a dream.\(^ {35}\)

sie, indem es nach aussen die Reize kennen lernt, Erfahrungen über sie aufspeichert (im Gedächtnis),
überstarke Reize vermeidet (durch Flucht), mässigen Reizen begegnet (durch Anpassung) und endlich
lernt, die Aussenwelt in zweckmässiger Weise zu seinem Vorteil zu verändern (Aktivität); nach innen
gegen das Es, indem es die Herrschaft über die Triebansprüche gewinnt, entscheidet, ob sie zur
Befriedigung zugelassen werden sollen, diese Befriedigung auf die in der Aussenwelt günstigen Zeiten
und Umstände verschiebt oder ihre Erregungen überhaupt unterdrückt.” *Abriss der Psychoanalyse*, 68.

\(^{34}\) Sigmund Freud, *An Outline of Psychoanalysis*, 177.

between the *Es*, *Ich*, and *Über-Ich* is discussed most extensively in Freud’s essay, *The Ego and the Id.*
During the course of transformation, two types of psychic material are found within a dream: the latent dream thoughts and the manifest dream content. Latent dream materials are located in the unconscious. Freud calls these materials the “dream thoughts.” The manifest dream material is located in the conscious. Freud calls this material the “dream content.” The “dream work” is the process by which latent unconscious dream thoughts are manifest as conscious dream content. Latent dream thoughts are incapable of passing directly into a conscious manifestation in a dream. Because the dream thoughts are often dark and bothersome to an individual, they must go through a transformation process in order to take on a conscious dream manifestation that an individual will find less disturbing. The task at hand for the psychoanalyst is “the task of studying the links between manifest dream-content and latent dream-thoughts and tracing the processes by which the latter have become the former.”

When discussing dreams, it is important to note that they are necessarily ambiguous: “Dreams never say whether the elements they convey are to be interpreted literally or metaphorically or whether they should be related directly to the dream-material or through the medium of interpolated idioms….The representation of dream-work, which does not of course set out to be understood, confronts the translator with no greater problems than, say, those that ancient hieroglyph writers pose for their

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readers.”

This ambiguity is caused by the dream-work process. It is the task of the dream analyst as a type of detective to interpret the conscious representations of a dream and to reassemble the transformational path of the dream work process. In order to unravel and reconstruct the transformational path of a dream, we must first understand each of Freud’s four types of transformations: compression, displacement and representation by symbols, and secondary processing.

**Compression**

Compression is the first dream transformation presented by Freud. According to him, it involves three primary actions: “selection of elements occurring in the dream-thoughts on multiple occasions, formation of new entities (collective persons, composite structures) and production of median shared elements.”

Freud discusses the process of compression and the way in which things are not as they appear in a manifest dream, the dream as consciously perceived.

A dream, written down, fills half a page; analysis of it, which includes the dream-thoughts, requires six, eight, twelve times as much space. The ratio is different for different dreams; it never, so far as I have been able to ascertain, comes out the other way around. As a rule one underestimates the amount of compression going on in that one takes the dream-thoughts brought to light to constitute the sum total of the material, whereas further interpretation may expose fresh thoughts...

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concealed behind the dream. We have already had occasion to point out that one can never in fact be sure of having interpreted a dream completely; even when the solution appears satisfying and entire, there always remains the possibility that yet another meaning will announce itself through the same dream.\textsuperscript{39}

Freud emphasizes that the compression of latent dream thoughts does not require the omission of some of those same thoughts.\textsuperscript{40} Rather, they are “multiply determined.” This represents the compression of many latent dream thoughts into a single manifestation of conscious dream content. “[Conscious dream contents] represent nodal points at which a very large number of dream-thoughts meet; it is because as regards dream-interpretation they are open to many interpretations. The circumstance behind this explanation can also be expressed differently. One would then say: Each element of the dream-content turns out to be multiply determined – represented in the dream-thoughts several times.”\textsuperscript{41}


\textsuperscript{40} Freud, \textit{Interpreting Dreams}, 297.

\textsuperscript{41} Freud, \textit{Interpreting Dreams}, 299-300. “Aus dieser ersten Untersuchung holt man sich den Eindruck, daß die Elemente „botanische“ und „Mongraphie“ darum in den Trauminhalt aufnahme gefunden haben, weil sie mit den meisten Traumgedanken die ausgiebigsten Berührungen aufweisen können, also \textit{K n t e n p u n k t e} darstellen, in denen sehr viele der Traumgedanken zusammentreffen, weil sie mit Bezug auf die Traumdeutung \textit{v i e l d e u t i g} sind. Mann kann die dieser Erklärung zugrunde liegende Tatsache auch anders aussprechen und dann sagen: Jedes der Elemente des Trauminhalts erweist sich als \textit{ü b e r d t e r m i n i e r t}, als mehrfach in den Traumgedanken vertreten.” \textit{Die Traumdeutung}, 289.
Freud wrote, “…not only are the elements of the dream determined several times by dream-thoughts; individual dream-thoughts are also represented in the dream by several elements. From one element of the dream, the avenue of association leads to several dream-thoughts, from one dream-thought to several dream-elements. In other words, dream-formation does not proceed in such a way that an individual dream-thought or a group of dream-thoughts furnishes an abbreviation for the dream-content, then the next dream-thought furnishes another abbreviation to represent it, rather as [political] representatives are elected from among a people; rather, the whole body of dream thoughts undergoes a certain process whereby the most supported and best supported elements stand out prominently for inclusion in the dream-content, with the analogy here being voting for a party list rather than an individual. No matter what dream I subject to this kind of dissection, I always find the same principles corroborated, namely that the dream-elements are formed from the entire body of dream-thoughts and that each of them appears to be determined a number of times in relation to the dream-thoughts.”

To clarify his meaning, Freud offers examples in which dreams compress persons and words. A person can be compressed in two ways. The first involves the alteration of the personality, character, or surroundings of a given central character in a dream. In this way, the personality, character, or surroundings of another person are hidden in the conscious manifestation of the dream by being compressed into the person of the main dream character. The image and characteristics of two different people are compressed into one person in the dream representation. The second means of compression of a person involves compression of the “actual features of two or more persons into a [single] dream image.” Freud gives the example from his own famous dream of Irma’s injection. Two characteristics, a “pale appearance” and a “fair-coloured beard,” are displayed in a single dream character, Dr. M, who possesses neither physical characteristic in real life. Rather, the physical characteristics are drawn from Freud’s older brother. Words are compressed in a similar manner in dreams. In dreams, neologisms are created that represent the compression of multiple words into a single, new word. In these cases, the new word is multiply determined in the same manner as the dream images above.

43 Freud, Interpreting Dreams, 308.
45 Freud, Interpreting Dreams, 308-309.
Displacement

Along with the compression of multiple unconscious dream thoughts into a single conscious dream manifestation, certain dream thoughts found to be particularly reprehensible by the censor can be completely removed from the dream. In pointing out the transformational process of displacement in dream formation, Freud notes that the importance of a dream is different in its appearance in the manifest dream than as a latent dream thought:

…those elements that in dream-content stand out as essential components do not play at all the same role in the relevant dream-thoughts….What is clearly the essential substance of those dream-thoughts need not be represented in dream at all. A dream, one might say, is centered differently; its content is arranged around and revolves around other elements than the dream-thoughts.46

In the process of displacement, dream material that has a “certain degree of interest” in the unconscious is replaced by dream material that has a lesser degree of interest.47 These dream materials of lesser interest are often prevalent at the conscious level. Their frequency of occurrence points toward a displacement with an unconscious psychic element of a high degree of interest in the unconscious.48 In Freud’s words, “a dream…is centered-differently” in its conscious manifestation than it is in the unconscious prior to the transformation of displacement in the preconscious. Through displacement, the censor transforms unconscious dream thoughts that have been

46 Freud, Interpreting Dreams, 321. “...die Elemente, welche im Trauminhalt sich als die wesentlichen Bestandteile hervordrängen, in den Traumgedanken keineswegs die gleiche Rolle spielen....Was in den Traumgedanken offenbar der wesentliche Inhalt ist, braucht in Traum gar nicht vertreten zu sein. Der Traum ist gleichsam anders zentriert, sein Inhalt um andere Elemente als Mittelpunkt geordnet als die Traumgedanken.” Die Traumdeutung, 310.
48 Freud, Interpreting Dreams, 323.
repressed from consciousness much the same as with compression. The conscious is
then able to receive them in their new form displaced by unconscious material less
obtrusive to the psyche. The transformation of displacement works with the process of
compression in the dream-work process in order to overcome “the censorship of
resistance.”

Significantly, displacement involves not just the displacement of an object such
as an unconscious element with a more palatable conscious image, but also the
displacement of intensity. “The intensity of the elements in the one [level of the
psyche] has nothing to do with the intensity of the elements in the other; the fact is,
between dream-material and dream a complete ‘revaluation of all psychical values’
takes place. It is often precisely in a fleeting element of a dream, one hidden behind
more powerful images, that one finds the one and only direct descendant of what in the
dream-thoughts was overwhelmingly dominant.”

The displacement of intensity has a
direct relationship to the ability of the *Ich* to deal with the latent dream material. If the
censor deems the original latent material as dangerous to the balance of the psyche, it
removes some of its intensity or disguises it behind other more intense items that are
less harmful. This may even result in the original material manifesting itself in such a
way that is barely even noticeable within the dream.

Elemente dort nichts zu schaffen; es findet zwischen Traummaterial und Traum tatsächlich eine völlige
*Um w e r t u n g a l l e r p s y c h i s c h e n W e r t e* statt. Gerade in einem flüchtig hingehauchten,
durch kräftigere Bilder verdeckten Element des Traums kann man oft einzig und allein einen direkten
Abkömmling dessen entdecken, was in den Traumgedanken übermäßig dominierte.” *Die Traumdeutung*,
335.
Representation by Symbols

Freud’s discussion of the symbolic representation of latent dream material in its conscious manifestation shows itself to be a specific subcategory of displacement. Discovery of the representation of unconscious dream material by means of symbolism is not original in Freud’s work; on the contrary, he builds upon a long tradition of the interpretation of symbols in dreams. In addition to a lengthy critique in the opening literature review of *Die Traumdeutung*, he devotes almost half of his chapter on the dream-work process to the interpretation of symbols (115 out of 232 pages). Freud’s strongest critique of previous methods of dream interpretation includes the exclusive use of symbols and the then necessary use of a book of dream symbols as a key to this interpretation. In this method, a recurring symbol is identified within a dream and referenced in a dream symbol book. Without any necessary reference to its context within the dream, the meaning of the symbol is immediately known. Freud clearly does not completely discount this use. His ingenuity lies instead in the interpretation of dream symbols within a larger context of the dream in reference to the transformational process involved in dream construction. Instead of interpreting a dream through the use of a particular key which may or may not be accurate, he posits that all manifest dream content must be interpreted in connection with the original latent dream thoughts.

In discussing the modes of dream representation, Freud notes that “the logical relationships among dream-thoughts find no special representation in dream.”

Dreams manifest transformations of latent material, but do not necessarily retain the original relationships between the unconscious elements. “…So far as these logical relationships among dream-thoughts find no special representation in dream.”

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relationships among dream-thoughts are concerned, dream has no means of representation at its disposal. It usually leaves such connecting words out of account, taking over only the objective substance of the dream-thoughts for processing. It is up to dream-interpretation to restore the context that dream-work has destroyed.”

In fact, Freud points toward art as an example in which surface-level relationships can be clarified through interpretation: “However, just as painting did eventually manage to convey the outward intentions of the persons portrayed (affection, threat, admonition, and so on) otherwise than through the banner streaming in the wind, so too did dream find a way of taking some of the logical relationships among dream-thoughts into account by appropriately modifying the particular dream-representation involved.”

Indeed, this need for the analysis, interpretation, and reestablishment of initially vague relationships found at the surface of a work of art is often found not only in paintings, but also in other artistic mediums such as music.

Freud also addresses the difficulty in interpreting dream symbols. He observes that “dreams never say whether the elements they convey are to be interpreted literally or metaphorically or whether they should be related directly to the dream-material or

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through the medium of interpolated idioms.”54 He lists four possible modes of interpreting dream symbols, stating that they 1) “should be taken in the positive or the negative sense (opposite relationship);” 2) “should be interpreted historically (as reminiscence);” 3) “symbolically;” or 4) “evaluation of [these symbols] should proceed from the wording.”55 In reference to the dream-work process which turns the latent dream thoughts into conscious manifest content, Freud proceeds to remind us that “the representation of dream-work, which *does not of course set out to be understood*, confronts the translator with no greater problems than, say, those that ancient hieroglyph writers pose for their readers.”56

Freud notes that symbolism in dreams takes on both visual and textual forms, but gives preferential treatment to the form of visual representation.57 As mentioned above, these visual representations are to be interpreted within the context of their unconscious origins as revealed during the analytic process of free association.58 Indeed, it seems that the choice of symbolic representation that is selected in the preconscious for manifestation in a dream is affected both by their “objective links to…other thought materials” as well as their association with a latent wish in the unconscious. “Hence, the elements present in a particular dream-content that need to be understood symbolically force us to adopt a combined technique that is on the one hand based on the dreamer’s associations and on the other hand supplies what is


missing in the interpreter’s understanding of symbols.”⁵⁹ By combining both conventional symbolic associations with free associations, Freud demonstrates an ambiguity in dream symbols that alters the more concrete practice of objective symbolic interpretation based on a key.⁶⁰ The unsorting and restructuring of the condensed, displaced, and rerepresented material is the task of secondary processing.

**Secondary Processing**

The final process of transformation involved in dream creation is secondary processing. Secondary Processing involves the act of taking dream material from the unconscious that is often incoherent and illogical and attaching to it some type of comprehensible narrative that our conscious can process. Freud notes that this is a preconscious process that is often indistinguishable from our conscious thought processes. “What marks out and reveals this part of dream-work is its bias, its slant. This function is not dissimilar to the one the poet [Heine] mischievously attributes to the philosopher: with its shreds and patches it stops up the holes in the structure of a particular dream. Thanks to its efforts, that dream loses the appearance of absurdity and incoherence and comes close to the model of a comprehensible experience.”⁶¹

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In order to create a more “comprehensible experience,” the censor may also fill in gaps between the latent dream thoughts by adding extra material. “There is no doubt that the censoring agency whose influence we have hitherto acknowledged only in restrictions and omissions in dream-content is also responsible for insertions into and increases in the same. Such insertions are often easily spotted; they are recounted timidly, prefaced by an ‘as if’, they do not really possess any great degree of animation, and they are always made at points where they can serve to link two pieces of a particular dream-content together, paving the way for some connection between two portions of the dream concerned.” But this added dream material is not completely foreign to the dream thoughts that form the structural pillars of the dream’s construction. “…As a rule, link ideas can in fact be traced back to material in the dream-thoughts, though neither on the basis of its own valency nor as a result of multiple determination could such material lay claim to inclusion in the actual dream. Only exceptionally does the psychical function involved in dream-formation that we are now considering seem to rise to fresh creation; wherever possible, it uses things it can pick out of the dream-material to suit its purpose.”

Freud insists, however, that the primary material of the dream-thoughts is represented in the transformations of

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63 Freud, *Interpreting Dreams*, 506-507. “…zumeist lassen sich die Schaltgedanken immerhin auf Material in den Traumgedanken zurückführen, welches aber weder durch seine eigene Wertigkeit noch durch Überdeterminierung Anspruch auf Aufnahme in den Traum erheben könnte. Die psychische Funktion bei der Traumbildung, die wir jetzt betrachten, erhebt sich, wie es scheint, nur im äußersten Falle zu Neuschöpfungen; solange es noch möglich ist, verwertet sie, was sie Taugliches im Traummaterial auswählen kann.” *Die Traumdeutung*, 494.
compression, displacement, and visual representation: these remain primary within the dream structure. “…It is not my wish, I say, peremptorily to deny that this fourth factor [insertion] has any ability to act creatively, making fresh contributions to dream. But there is no doubt that its influence, like that of the other factors, finds expression primarily in promoting and selecting preformed psychical material in dream-thoughts.”

Within the hierarchy of dream material, the material added by the process of secondary processing is just that, it is secondary to the primary dream elements that evoke the latent dream thoughts of the wish seeking fulfillment. “…The requirements of that agency [secondary processing] constitute one of the conditions that dream must meet and that the condition (simultaneously with those of compression, resistance censorship and representability) exerts an inductive, selective effect on the total dream-thought material.”

All four of the transformations that are involved in the creation of a dream work together to create a complete dream that can bypass the censor into the conscious in order to satiate the wish from which it is derived.

Sabbeth’s Salzerian Transformations

Freud’s description of the transformational process involved in the dream work that creates the manifest content of dreams is strikingly like the transformations encountered in Schenker’s conception of the generative process of music composition

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from unconscious *Ursatz* to its conscious manifestation as a musical composition.

Musicologist and psychiatrist Daniel Sabbeth has already found connections between these Freudian transformations and Schenker’s transformations in music.66 Sabbeth uses the similar transformations that Freud described in the creation of jokes rather than those involved in the creation of dreams above.

According to Sabbeth, Freud claims that jokes can be transformed in three ways: condensation, displacement, and substitute formation. To demonstrate these transformations, Sabbeth uses a joke from Heine’s *Reisebilder* cited in Freud’s *Jokes and their Relation to the Unconscious* (1905). It runs as follows: “Here, a poor lottery agent boasts to the poet of his relations with the powerful Baron Rothschild; he proclaims: And, as true as God shall grant me all good things, Doctor, I sat beside Salomon Rothschild and he treated me quite as his equal—quite famillionairely.”67 Freud separates the joke into two parts rephrasing it as “Rothschild treated me quite as his equal, quite familiarly—that is, so far as a millionaire can.”68 The joke lies in the transformation and combination of the separate words “familiar” and “millionaire”. As Sabbeth explains: “Comparing Heine’s joke with Freud’s restatement of its content, we

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66 It should be noted that Sabbeth’s description and examples of Schenkerian analysis are all from Felix Salzer’s *Structural Hearing*. Thus, the transformations and other ideas shown in the “Schenkerian” graph demonstrate some Salzerian concepts that Schenker did not necessarily espouse, such as Salzer’s “contrapuntal structure.” An example of this contrapuntal structure is the d minor “ii” harmonizing the of measure 3 in Salzer’s graph of “The Primrose” shown below. Salzer’s analysis of this passing *Stufe* is difficult to explain. Utilizing the B that occurs in the left-hand ascending scale, the addition of a vii65 harmony after the ii is more theoretically plausible. A thorough exploration of Salzer’s transformation of Schenker’s theory can be found in John Koslovsky, “From Sinn und Wesen to Structural Hearing: The Development of Felix Salzer’s Ideas in Interwar Vienna and Their Transmission in Postwar United States,” PhD Dissertation, Eastman School of Music, University of Rochester, 2009.


see that the joke format is considerably condensed. The postscript, “so far as a millionaire can,” is unnecessary because its thought-content is displaced forward, to the location of the word familiarly. The transformation of the word familiarly into the substitute formation famillionairely makes the condensation feasible….Then, a compressing force takes advantage of the aural similarity between the two phrases and eliminates the latter grouping; only its most important constituent, the word, Millionär, remains. Further, by the process of substitute formation, this force displaces Millionär forward to the opening phrase.”

Although Sabbeth lists substitute formation as a transformational process, it seems rather that it is simply the outcome of the processes of condensation and displacement and not a transformational process in and of itself. Indeed in the work mentioned by Sabbeth, Freud himself notes this distinction as well. “The processes of transformation as a whole I call the dream-work, and as part of this dream-work I describe a process of condensation which shows the greatest similarity to the technique of jokes in the way the latter leads to greater brevity and creates substitute-formations of the same nature.” In describing the process of condensation, Freud refers on several occasions to “the process of condensation with substitute formation” rather than “the processes of condensation and substitute formation” (my emphases). Freud also

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notes that it is possible to have the process of condensation without a resultant substitute formation. A lack of substitute formation results in the omission resulting in some type of gap in the original latent structure of the joke.\textsuperscript{72} The implication is clear from these passages that substitute formations are a result and not an actual process.

Turning to music, Sabbeth equates these Freudian transformations with certain Schenkerian transformations, using a sketch of Martin Peerson’s “The Primrose”, published by Felix Salzer in *Structural Hearing* (See Figure 3.2).

Figure 3.2. Martin Peerson (1572-1650), “The Primrose” from Felix Salzer’s *Structural Hearing*\textsuperscript{73}

In particular, Sabbeth finds instances of Freud’s transformations of condensation, displacement, and substitute formation in “The Primrose.” He notes that displacement is found in the descending fifth motive of the first two measures. The initial descending fifth, G to C, from m. 1 is displaced to m. 2 by means of transposition. In

\textsuperscript{72} Freud, *The Joke and Its Relation to the Unconscious*, 65.
\textsuperscript{73} Felix Salzer, *Structural Hearing* (New York: Charles Boni, 1952 and Dover, 1962, 1982). Figure 320, pp. 114-115. Used in Daniel Sabbeth, “Freud’s Theory of Jokes,” 51 (Ex. 4.1) and 54 (Ex. 4.4).
m. 2, the descending fifth is found from D to G.\textsuperscript{74} Both motives are highlighted in Salzer’s graph through stems marking the opening and closing pitches of each fifth and slurs connecting them. In highlighting the transformation of condensation, Sabbeth notes what he calls “a transformation of the initial motif” in mm. 3-4 which are “a rhythmic augmentation and a melodic elaboration of the original G-C descent.”\textsuperscript{75} This elaborated descent is highlighted in Salzer’s graph through stems on the half notes of the melodic line. Sabbeth posits that the opening descending fifth is seen in retrospect as a Freudian condensation of this large scale structure. He then sees the elaboration in mm. 3-4 as a substitute formation of the initial descending fifth motive from the first measure.

Sabbeth relies on the apparent single structural level of Salzer’s graph of “The Primrose.” There is certainly a local-level descent from G to C in mm. 3-4, and this descent both lies at a deeper structural level and is also elaborated at the musical surface. However, the G on the second beat of m. 3 is not a new statement of this G. Salzer’s graph provides a broken slur connecting the G in m. 1 to this G in m. 3. Thus, the G and the tonic harmony that supports it are shown to be active across the first two measures. Salzer’s graph represents the Urlinie descending from the Kopfton of G. The reiteration of G in m. 3 retains the initial G rather than creating a new and separate statement of the G. An additional background or deep middleground graph clarifies the structure in Salzer’s graph. (See Figure 3.3) As a result of this further analysis, the initial descending fifth motive in m. 1 and its transposition in m. 2 are shown to be generated from a deeper, unconscious

\textsuperscript{74} Sabbeth, “Freud’s Theory of Jokes,” 52-54.
\textsuperscript{75} Sabbeth, “Freud’s Theory of Jokes,” 55.
structure encompassing the entire passage rather than just measures 3-4. Noting the connection to the background and deep middleground that Salzer’s single-level analysis lacks, this analysis confirms the interpretation of the surface-level G-C fifth in

Figure 3.3. Schenkerian Graph of “The Primrose”

measure 1 as a substitute formation resulting from the condensation of a deeper-level motive. Not only is this interpretation made stronger through a multi-leveled graph, it also gets to Freud’s primary motive in dream and joke construction as well, namely the unconscious.
Sabbeth adds that “a trained musician can explain obvious relationships between motifs (such as that between bars 1 and 2) and other surface-level events without recourse to Schenker. However, as variation procedures become more elaborate and attendant interrelationships appear more remote, the graphic techniques of linear analysis help bring the most deeply disguised aural similarities into focal awareness: Schenkerian study provides an organic view of musical conception.” For Freud and Schenker alike, it is the deep-level unconscious elements that govern the formation of surface-level manifestations in dreams, jokes, and music.

Schenkerian Transformations

Throughout Die Traumdeutung, Freud differentiated between two types of dream material: the latent unconscious dream thoughts and the manifest conscious dream content. He described the creation of a dream across three structural levels by means of a process of transformation from the unconscious, background dream thought progressing toward a conscious, foreground manifest dream. Indeed, Freud’s levels of unconscious, preconscious, and conscious align well with Schenker’s hierarchical levels of background, middleground, and foreground. Freud even divided the dream content within each of his transformational levels much like Schenker’s hierarchy. As discussed above, the dream-work process is the transformational process that occurs in converting latent dream thoughts into manifest dream content. Like Schenker’s background and middleground, Freud saw the unconscious as the location of the transformation between latent dream thoughts and manifest dream material. In

discussing this transformational process, he noted that “we are interested solely in the
essential dream thoughts.”

He continued:

I know from my attempts to produce dreams synthetically from dream-
thoughts that the material that emerges during interpretation varies in
value. One part consists of the essential dream-thoughts, which in other
words entirely replace the particular dream and would suffice in
themselves as a substitute for it if dream were not subject to censorship.
The other part is usually deemed unimportant. Nor does any value
attach to the claim that all these thoughts played a part in dream-
formation; the fact is, they may include ideas that link up with
experiences subsequent to the dream, in the period between the dream
and its interpretation. This part embraces all the connecting avenues that
led from the manifest dream-content to the latent dream-thoughts but
also the meditating and approximative associations through which,
during the work of interpretation, one had reached a knowledge of those
connecting avenues.

Just as Freud drew attention to the role played by the unconscious dream thoughts, so
Schenker saw the Ursatz, an unconscious background phenomenon, as forming the
fundamental contrapuntal structure from which the manifestations of each piece
originate. Freud states that “the essential dream-thoughts…would suffice in themselves
as a substitute for [the particular dream].” Schenker shared this view, holding the

77 Freud, Interpreting Dreams, 327. “Uns interessieren an dieser Stelle ausschließlich die
wesentlichen Traumgedanken.” Die Traumdeutung, 316.
78 Freud, Interpreting Dreams, 327. “Aus meinen Versuchen, Träume aus den Traumgedanken
synthetisch herzustellen, weiß ich, daß das bei der Deutung sich ergebende Material von
verschiedenartigem Wert ist. Den einen Teil desselben bilden die wesentlichen Träumgedanken, die also
den Traum voll ersetzen und allein zu dessen Ersatz hinreichen würden, wenn es für den Traum keine
Zensur gäbe. Dem anderen Teil ist man gewohnt, geringe Bedeutung zuzuschreiben. Man leitet auch
keinen Wert auf die Behauptung, daß alle diese Gedanken an der Traumbildung beteiligt gewesen seien,
vielmehr können sich Einfälle den Zeitpunkten des Träumens und des Duetens, anknüpfen. Dieser Anteil
unfälscht alle die Verbindungsweg, die vom manifesten Trauminhalt bis zu den latenten Träumgedanken
geführt haben, aber ebenso die vermittelnden und annährenden Assoziationen, durch welche man
während der Deutungsarbeit zur Kenntnis dieser Verbindungsweg gekommen ist.” Die Traumdeutung,
316.
Ursatz as essentially a summary of the musical composition at its unconscious state of origin.

Schenker viewed the middleground transformations that traversed from Ursatz to the musical surface much like Freud’s dream transformations. In *Free Composition*, he describes these transformations in language quite similar to that of Freud. In this passage, Schenker summons Freud’s ideas of dream transformation: the goal as a satisfaction of an unconscious wish. There are energy-laden materials that propel that wish toward consciousness.

Within the poles of fundamental line [Urlinie] and foreground, of diatony and tonality, the spatial depth of a musical work is expressed—its distant origin in the simplest element, its transformation through subsequent stages, and, finally, the diversity of its foreground.

The goal and the course to the goal are primary. Content comes afterward: without a goal there can be no content.

In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds. Therein lies the source of all artistic delaying, from which the creative mind can derive content that is ever new. Thus we hear in the middleground and foreground an almost dramatic course of events.

As the image of our life-motion, music can approach a state of objectivity, never, of course, to the extent that it need abandon its own specific nature as an art. Thus, it may almost evoke pictures or seem to be endowed with speech; it may pursue its course by means of associations, references, and connectives; it may use repetitions of the same tonal succession to express different meanings; it may simulate expectation, preparation, surprise, disappointment, patience, impatience, and humor. Because these comparisons are of a biological nature, and are generated organically, music is never comparable to mathematics or to architecture, but only to language, a kind of tonal language….

The principles of voice-leading, organically anchored, remain the same in the background, middleground, and foreground, even when they undergo transformations. In them the motto of my work is embodied, *semp er idem sed non eodem modo* (“always the same, but not in the same way”). Nothing new is to be expected, yet this need not surprise us when we see that even in technology, which stands in the forefront of
all thought and activity, nothing truly new appears: we witness only further transformations.

Just as life is an uninterrupted process of energy transformation, so the voice-leading strata represent an energy transformation in the life which originates in the fundamental structure.

The power of will and imagination which lives through the transformations of a masterwork reaches us in our spirit as a power of imagination—whether we have specific knowledge of the fundamental structure and the transformations or not. The life of the transformations conveys its own nature to us. We receive not only profound pleasure from a masterwork, but we also derive benefits in the form of a strengthening of our lives, an uplifting, and a vital exercise of the spirit—and thus achieve a heightening of our moral worth in general.

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79 This paragraph was removed from its original context in Free Composition and is found in Appendix 4F, 160.

80 Schenker, Free Composition, 5-6. The order of paragraphs in Oster’s English translation is not consistent with either Schenker’s original or with Jonas’s 1956 edition of Der freie Satz. The German below is taken from Schenker’s original 1935 edition and is reordered to match the order of the quote above from Oster’s translation. The numbers at the beginning of each paragraph indicate the order of paragraphs found in Schenker’s original. An extended discussion in the introduction of this dissertation reveals problems in the translation of this passage that warrant such a numbering system.

[1]“Im Abstand von der Urlinie zum Vordergrund, von der Diatonie zur Tonalität, drückt sich die Raumtiefe eines Musikwerkes aus, die ferne Herkunft vom Allereinfachsten, der Wandel im späteren Verlauf und der Reichtum im Vordergrund....


Schenker’s concept of voice-leading transformations reveals explicit parallels with Freud’s thoughts on dream formation. For Schenker, the fundamental line, the Urlinie, is the source of origin for all tonal music creation. It is characterized by a “spatial depth” much like the psychical depths of the unconscious. As in psychoanalytic dream interpretation, the “goal and the course to the goal are primary.” For both Freud and Schenker, one cannot analyze content without recourse to the transformational process. Schenker describes transformational processes as music moves toward its goal much like Freud’s description of dream formation. Schenker even describes a process of energy transformation much like the transfer of intensity involved in Freud’s concept of displacement. “Just as life is an uninterrupted process of energy transformation, so the voice-leading strata represent an energy transformation in the life which originates in the fundamental structure.” Much like Freud, Schenker sees musical transformations as “a vital exercise of the spirit [Geistes-Sport]” that “reaches us in our spirit as a power of imagination.” Elsewhere in Free Composition, Schenker even posits that these musical transformations are fulfillments of musical “wishes” much like Freud’s view of wish-fulfillment as the source of all dream formations. “The fundamental structure shows us how the chord of nature comes to life through a vital natural power. But the primal power of this established motion must grow and live its own full life: that which is born to life strives to fulfill itself with the power of nature. For this reason, it is not artistically accurate to consider the voice-leading transformations merely superficial

Rather, Schenker views voice-leading transformations as manifestations of a primal need deep within each musical composition. As the fulfillment of a musical drive and displacement of a natural, instinctual power, Schenker’s view of transformations correlates quite closely with Freud’s transformations of dreams.

Schenker’s transformations are described more specifically in Der freie Satz as voice-leading transformations (Stimmführungsschichten). In Explaining Tonality: Schenkerian Theory and Beyond, Matthew Brown has categorized these transformations into four categories: horizontalizing, filling in, harmonizing, and reordering.¹⁸²

¹⁸¹ Schenker, Free Composition, 25.
¹⁸² Matthew Brown, Explaining Tonality: Schenkerian Theory and Beyond (Rochester: University of Rochester Press, 2005), 76-83.
Figure 3.4. Brown’s Horizontalizing Transformations. Figure key: Repetition, b. Register transfer, c. Arpeggiation, d. Unfolding, e. Voice exchange, f. Reaching over, g.  

Figure 3.5. Brown’s Filling in transformations. Figure key: Neighbor motion, b. Linear progression, c. Motion from inner voice, d. Motion to an inner voice, e.  

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Figure 3.6. Brown’s Harmonizing transformations. Figure key: Harmonize, Figs. b and c. Mixture, d, e, and f. Tonicization, g.  

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85 Brown, Explaining Tonality, 81.
A problem in comparing Freudian transformations to Schenkerian transformations lies in the difference between compression and expansion. For Freud, compression is one of the primary transformational processes. Here, a large quantity of unconscious psychical material is compressed into a much smaller size. Multiple unconscious dream thoughts are compressed into its manifestation as a single conscious dream element. In Schenkerian transformations, the direction of compression is reversed as a single unconscious background element, a *Stufe*, is expanded through various transformations to its manifestation at the musical surface as multiple musical phenomena and thus as a larger, elaboration of that single structure. For Schenker, the act of music composition is through the transformation of expansion, or prolongation, rather than compression.

While Freud’s idea of compression is essentially reductive and Schenker’s idea of prolongation is essentially expansive, we can still find some common ground here. 

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86 Brown, *Explaining Tonality*, 82.
Both transformational processes involve the generative alteration of an initial unconscious musical or psychical structure by means of additional material added to or the alteration of that original structure in some manner. Sometimes the initial structure is retained in an altered form either with or without the superimposition of additional material. This transformation is Freud’s transformation of compression either with or without a substitute formation. The original unconscious latent dream thought is retained in the conscious dream manifestation, but in an altered form.

Freud’s transformation of displacement can be summarized in a similar manner. Here, the censor completely replaces the original latent dream thought with a completely different substitute element. The specific latent dream thought being represented is removed from the dream. Both its representation and its energy are replaced by an unconscious element of lesser importance and lesser psychical energy. Freud’s final transformation of secondary process involves the retention of the primary latent psychic element being represented through either compression or displacement and the addition of other psychic material to fill in the gap between these primary latent elements. As a result of this “filling in,” the manifest content is more logical in its conscious dream form and more able to be recalled in an awake state. While initially the dream can be recounted, the meaning has been altered somewhat by the three processes of compression, displacement, and secondary process. These transformations must be unraveled by the psychoanalytic process of free association in order to reveal the true unconscious source of the dream.

If we generalize Freud’s category of compression to mean some type of alteration of the initial material while retaining at least some of the qualities of the
initial element, then Brown’s category of horizontalizing transformations correlates quite nicely with Freud’s transformation through compression. Each of these Schenkerian transformations—Repetition, Register transfer, Arpeggiation, Unfolding, Voice exchange, and Reaching over—involves the transformation of initial material with a resulting musical formation that retains at least some form of the initial material. Repetition really is not a transformation of material in the Freudian sense. However, it is a transformation from one level to another. At the unconscious background level, there is just one instantiation of a pitch and its supportive harmonic material. At the next level, this background material is retained with the addition of another statement of that pitch, either with or without its supporting harmonic material. Register transfer is similar. But, an actual Freudian transformation occurs with the transfer of register in that the repeated pitch is placed at a register different from its initial occurrence in the background. Arpeggiation, unfolding, voice exchange, and reaching over are variations of the same transformation. In each of these transformations, a member of the initial supporting harmony is transferred to another location in the counterpoint either through a transfer of register (arpeggiation and voice exchange) or through a new temporal location within the contrapuntal texture (unfolding and reaching over).

Each transformation in Brown’s category of harmonizing transformations—harmonize (Figs. 3.6b and c), mixture (Figs. 3.6d, e, and f) and tonicization (Fig. 3.6g) involves replacing the initial background material. Among these transformations, mixture is the most closely aligned with Freud’s transformation of displacement. Here, either the harmony involved under the repeated pitch is completely replaced or the actual pitch itself is altered. There are essentially three types of mixture: simple,
secondary, and double. Simple mixture involves the borrowing of the correlating harmony from the parallel major or minor key. Simple mixture is shown in Figure 3.6d where the bIII chord is borrowed from c minor, the parallel minor of C major. Double mixture involves an additional transformation of the borrowed chord. In Figure 3.6e, the third of the bIII chord is altered transforming it into a minor sonority or biii. Rather than truly borrowing a chord from a parallel key, double mixture involves the alteration of the quality of the diatonic chord being displaced. In Figure 3.6f, the third and thus the quality of the original iii chord of C major is displaced to form a III# chord, resulting in secondary mixture. Freud’s transformation of displacement does not mean that any material in the unconscious can be used as a potential replacement for the representation of the censored psychical element. Rather, both the represented and replacement elements must have something in common. For example in the case of persons displaced for dream representation, they may both have an element of hostility toward the dreamer. This common aspect allows the image of a different person with a slightly decreased level of perceived hostility to function as a displaced representative of the unconscious person’s image with whom the wish originated. Schenker’s conception of mixture is quite similar. The chord choices for mixture are finite. They must be drawn from chords that are the same harmonic function in the key from which they are borrowed and they often have some common elements with the chord being represented. The only exception to this second characteristic is the transformation through secondary mixture.

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The other harmonizing transformations are also much like Freud’s transformation of displacement. In the seemingly obvious transformation of harmonization, a tone that is horizontalized “can be supported harmonically by a root or first inversion triad, typically (b)III, IV, V, and (b)VI. In such cases, Schenker insisted that the generating *Stufe* is always conceptually present; he referred to this idea by the concept of a mentally retained primary tone (*der festgehaltene Kopfton*).” Just as in Freud’s transformation of displacement, the initial unconscious element from which the displacement originates is retained in its newly representative form. The transformation of addition is similar to harmonization. However in the transformation of addition, a full harmony is not required to support the horizontalized tone(s). In addition, a linear progression is added in parallel thirds or sixths to achieve the transformation of the representative material. The final harmonizing transformation remaining is tonicization. Like mixture, a harmony is borrowed from a related key that must, in this case, function as a dominant of the chord to which it is attached. One could see this as a way of displacing a predominant chord. Like Freud’s requirement for the two psychical elements to have at least one common trait, both the predominant chord, ii, and its displacement, V7/V, function to prepare the dominant chord on a global level. At a more local level, the tonicizing chord temporarily displaces the global tonic, transferring the energy to the chord it is tonicizing and making it function temporarily as a local tonic.

Brown’s category of reordering transformations also fits well within Freud’s category of transformation by displacement. Of all Schenkerian transformations, the

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89 Brown, *Explaining Tonality*, 81.
transformation of displacement, as one might guess, is most like Freud’s displacement.\textsuperscript{90} In Freud’s transformation, displacement involves the transfer of energy and representation to a different psychical phenomenon in the unconscious for representation in the conscious manifestation of a dream. For Schenker, expanding a composition’s background and deep middleground often displaces melodic and bass tones at the musical surface. Much like Freud, Schenker even refers to the importance of reference to deeper levels to discern the meaning of pitches in the foreground that have been transformed by the process of displacement. “Diminution often produces deceptive intervals in the foreground instead of authentic ones, which are ascertainable only by reference to a previous level. Such an occurrence may create a considerable hindrance to the recognition of the meaning of the diminution.”\textsuperscript{91} Specifically, the structural $\hat{2}$ in Figure 3.7c is displaced from the G of the V that supports it. This transformation of displacement blurs the surface-level association of $\hat{2}$ with V that is much clearer at the background level. Schenker’s transformation of deletion is also common in Freud’s dream transformations. The unconscious dream thought being represented in the dream is often completely absent in its conscious manifestation. Rather, its psychic energy is transferred onto another unconscious element that then consciously manifests itself. Like this transformation of omission in a dream, a structural member of a \textit{Stufe} may be completely absent in its foreground manifestation.

\textsuperscript{90} Schenker’s actually term is “\textit{Der uneigentliche Intervalle}.” R. B. Farrell expresses “\textit{eigentliche}” as “in reality, at bottom, though this may not be apparent because of external or superficial departures from the fundamental reality. The departure is often expressed in a following \textit{aber} clause.” (Farrell, \textit{Dictionary of German Synonyms}, 271) This departure from reality is at the heart of Freud’s concept of displacement.

\textsuperscript{91} Schenker, \textit{Free Composition}, 105.
The structural \( \hat{2} \) in Brown’s Figure 3.7b is completely absent in the foreground. Instead, the \( \hat{7} \) serves as the representative for the deleted structural \( \hat{2} \) in the conscious foreground manifestation of the piece. Like Freud’s transference of psychic energy that propels the displaced representative element to the conscious, the \( \hat{7} \) propels the *Urlinie* forward to \( \hat{1} \) just as the descent from the structural \( \hat{2} \) would have. As with Freud’s requirement that displaced elements maintain similar functions within the psyche, the musical displacement is enabled by the fact that \( \hat{2} \) and \( \hat{7} \) function the same way.

Freud’s final category of transformation, the so-called secondary process, is reflected by Brown’s category of filling in transformations. Each of these filling in transformations serves not to add a new *Stufe* to the composition or to create a compressed or displaced representation of a previous *Stufe*. Rather they serve to prolong or fill in between a previous transformation such as arpeggiation or repetition. This is precisely the purpose of Freud’s transformation of secondary process. In the dream work process, the transformation of secondary process involves the censor’s creation of transitional material between the primary dream thoughts that are represented through the transformations of compression and displacement. Through the act of secondary process, the censor fills in the narrative of the dream lending a smooth and parsimonious motion between the manifest psychic phenomena. Schenker’s transformation of “neighbor motion” fits easily within Freud’s transformation of secondary process. Here, a simple neighbor tone is added between two iterations of a *Stufe* as a linking device much as Freud’s secondary process links two primary dream thoughts. Similarly, Schenker’s transformation of linear progressions links an
arpeggiation or change of register by means of the addition of passing tones.

Schenker’s transformations of motion from and motion to an inner voice create linking passing motion in a similar manner. In each of these transformations, linking material is added between members of the same chord. By way of this passing motion, one voice moves from its initial position over the bass to another voice. In all four instances of Brown’s category of filling in progressions, a Freudian transformation of secondary process takes place through the addition of extra material to link Stufe that form the primary structural material of the composition at the unconscious background level.
Figure 3.8. Schumann’s “Ich hab’ im Traum geweinet” from Dichterliebe, op. 48.
Case Study: Schumann’s “Ich hab’ im Traum geweinet“ from Dichterliebe, op. 48

Having established some basic similarities between Freudian and Schenkerian transformations, I turn to a case study to demonstrate the potential for such an interdisciplinary analysis. Schumann composed Dichterliebe in 1840 in the months immediately preceding a legal process that allowed him to marry his beloved Clara later that year. These events and the satisfaction of perhaps his greatest wish certainly weighed heavily on his mind at this time. This historical background is important as it provides a glimpse into the external influences on Schumann’s psyche. “Ich hab’ im Traum geweinet” (Figure 3.8) provides both the description of a dream and a musical setting of that dream, making it a perfect case study for the use of both Schenkerian and psychoanalytic interpretations. While the poem is not of Schumann’s authorship, his choice of text certainly exudes some of the innermost desires of his psyche at the time.

The Dream

The fulfillment of a wish is central to Freud’s conception of dream production. In a dream, an unfulfilled unconscious wish propels itself past the censor and toward satisfaction at a conscious level. Heine’s dream (Figure 3.9) exists in three stanzas, each reflecting the wish to be with an unrequited love. Each stanza builds in hope, seemingly drawing closer to the acquisition of that love, as she becomes increasingly alive. However as the dream progresses through alterations of perspective, doubt is cast on the dreamer’s grasp of both the perception and reality of his love relationship. The emotional response of each stanza changes according to this wish for love, oddly
increasing in despair the closer the love seems to draw to fruition. Each stanza exists on two psychical levels: the unconscious dream state and a conscious awake state. The emotional status of the dreamer in each stanza is consistent on both the conscious and unconscious levels. The dreamer weeps in each formulation of the dream as well as when awoken. The sense of melancholy appears to increase as the dream progresses. On another level, the content of the dream seems to become progressively more positive: “I dreamed that you lay in your grave,” “I dreamed that you had forsaken me,” and “I dreamed that you still loved me.” However, this seeming positivity is short lived. Within the dream state of the third stanza, the dreamer sees the lover in a past state of fulfilled love. Upon waking, that dream picture is shattered and revealed to be a fleeting memory.

Figure 3.9. Heine’s *Ich hab’ im Traum geweinet*93


Ich hab’ im Traum geweinet.  
Mir träumte, du lägest im Grab.  
Ich wachte auf, und die Thräne  
Floss noch von der Wange herab. I cried in my dream:  
I dreamed that you lay in your grave.  
I woke up, and the tears were still streaming down my cheeks.

Ich hab’ im Traum geweinet.  
Mir träumt’, du verließest mich.  
Ich wachte auf, und ich weinte  
Noch lange bitterlich. I cried in my dream:  
I dreamed that you had forsaken me.  
I woke up, and I cried still long and bitterly.

 Ich hab’ im Traum geweinet.  
Mir träumte, du würst mir noch gut.  
Ich wachte auf und noch immer  
Strömt meine Thränenfluth. I cried in my dream:  
I dreamed that you still loved me.  
I woke up, and still the flood of my tears is streaming.

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In Heine’s poem, one can trace what may be seen as the therapeutic path of a
dream. In the opposite progressions of the conscious and unconscious states, there is an
increasing awareness of the dreamer’s unconscious wishes. As the unconscious
dreamer’s recollection grows more positive, his sadness increases. As Freud posits,
wish-fulfillment is at the core of every dream. Heine’s dream is no exception. There is
clearly an undergirding wish for love in the dreamer’s psyche. However, this wish for
love appears to be repressed by the censor. In the first stanza, the dreamer is so heavily
in denial that he cannot even acknowledge that his lover is alive. As the wish makes
successive attempts to bypass the censor and reveal its true content, the censor’s
resistance to the presence of the lover decreases. In the second stanza, the dream image
of the lover is living but not physically present with the dreamer. This living existence
inspires the hope of the dreamer for love. The intensity of the wish increases, and the
reality that the wish is not able to be fully satisfied causes an increase in the intensity of
the wakened dreamer’s emotion. The dream state of the third stanza allows the wish
for love to reach the greatest level of fruition. The censor has finally been denied.
However, the realization that the deepest unconscious state of the wish is for love
results in a “Tränenflut.” It seems that the wish for love is not able to be satisfied in
reality, but has reached a partial level of conscious awareness by means of the dream.
Repressed material in the unconscious causes a great deal of unbalance in the conscious
that, at its most extreme level, can lead to psychological despair. The wish that is
striving for fulfillment must be allowed to achieve some level of conscious awareness
in order to restore balance to the psyche and begin the healing process. This
psychological pressure must be released. In the final stanza of “Ich hab’ im Traum
geweinet,“ the wish of the dream has finally reached a level of conscious awareness although its satisfaction is indeed incomplete.

Schumann’s Mental Status

In order to understand Schumann’s musical setting of Heine’s dream, I will first explore his mental status throughout his life, but specifically at the time of the writing of *Dichterliebe* in 1840. While we cannot ask Schumann specific questions about his life, his prolific diary entries give us some understanding of his inner life. It is well-known that Schumann spent the last few years of his life in a mental hospital after attempting suicide. Additionally, mental illness ran in his family: by Schumann’s sixteenth birthday, his sister committed suicide and his father died of a “nervous condition.” Schumann’s emotional instability was heightened by an extended period of separation from his mother when he was very young, a career-altering hand injury, and a particularly contentious relationship with his father-in-law. As a result of many of these unfortunate circumstances, it has been noted that Schumann often attempted an escape from himself via the lives and work of those around him. For example, he often sought an escape from himself through the use of quotation in his compositions of both other composers and his own earlier compositions. Beate Perry notes, “In the case of musical self-quotation, the co-author is obviously still Schumann himself, even though it is a different Schumann, reappearing from earlier times, and in this sense, then, a

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stranger after all. In the case of quoting from others, a truly distinct voice enters the
compositional scene, unannounced and unacknowledged. What is clear in either case,
though, is that Schumann, once in a while, enjoys taking a break from himself, and that
he is seeing to it that he is properly replaced in the meantime.”^96 Schumann’s psychical
status was constantly in flux between boughs of extreme emotion and depression. In
1854, he attempted suicide, was rescued, and committed to a mental institution by his
own request. Upon his death in 1856, Clara declared “my thoughts went up to God
with thanks that he was finally free.”^97

_Dichterliebe_ represents just such an attempted escape, fortunately less drastic
than his attempted suicide. In 1839, the year before its composition, Schumann was
involved in a contemptuous court case against Friedrich Wieck, Clara’s father, in an
attempt to gain permission to marry his then underaged fiancée. Adding to Schumann’s
already unstable psychical state, Wieck “introduced evidence of Schmann’s alcoholism,
womanizing, shifting career goals, and psychiatric problems, including his hand
disability” during the course of the court hearing.^98 Schumann was devastated. As he
had encountered with his mother, he again faced the possibility of abandonment from
those in whom he sought intimate relationships. Schumann channeled his despair and
extreme stress into a series of song cycles including _Dichterliebe_. While Schumann
borrowed the texts from Heine, his decisions to omit and reorder many poems
constitute a radical reorienting of the original. _Dichterliebe_ can be seen as a vehicle for
venting his frustrations through which the ubiquitously open Schumann poured out his

^96 Perry, “Schumann’s lives, and afterlives,” 8.
^97 Perry, “Schumann’s lives, and afterlives,” 33.
^98 Ostwald, “Communication of Affect and Idea Through Song,” 188.
innermost thoughts on the situation with Clara and her father. The cycle consists of sixteen songs, two of which describe dreams. The second of the two, *Allnächtlich im Traume seh’ ich dich*, immediately follows *Ich hab’ im Traume geweinet* and reiterates the dreamer’s cries due to the unattainability of his beloved. Peter Ostwald notes that we are unsure whether Schumann’s beloved is Clara or his mother, and as Freud notes, in a dream state, a condensation of the two into one entity is certainly a plausible interpretation. Drawing from his experiences of his parent’s and sister’s deaths, Schumann likely saw death as the only pathway to seeing them again as well as the only pathway to overcoming Clara’s father’s seemingly insurmountable opposition to a life of psychical stability and familial ties. Schumann’s attempted suicide fourteen years later seems virtually foretold in the despair captured within some of the songs of this time.

Schumann’s relationship with Friedrich Wieck also influenced his psyche during the composition of *Dichterliebe*. The relationship between Clara, Robert, and Friedrich has been addressed in both psychoanalytic and musicological circles. Anna Burton has discussed how Friedrich maintained a tight grip on both Robert and Clara. After divorcing Clara’s mother when Clara was only 5, Friedrich developed a possessive control over his daughter Clara, both personally and professionally, as she was then the only woman in the house. Likewise, Friedrich maintained a controlling relationship as a father-figure to Robert. The period of time surrounding the writing of *Dichterliebe* was quite an “Oedipal victory” for both Clara and Robert, empowering

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Robert in his creative endeavors. The tension inherent in this time is implicit in Schumann’s “Ich hab’ im Traum geweinet.” Indeed, there is an uncertainty in the voice of the dreamer regarding the outcome of the deepest wish for love. As the poem progresses, the satisfaction of the wish seems to grow in probability at the unconscious state, but upon waking, is returned to a state of sad despair. Burton notes that “Schumann’s dilemma, during all the courtship years, was that Clara was sometimes far away and sometimes accessible, sometimes incommunicado and sometimes a warm correspondent. He held the claim to her, but could never be sure of the possession.”

In the time surrounding the writing of Dichterliebe, Schumann’s personal life maintained a constant uncertainty regarding the presence of both Clara, his lover and muse, and Friedrich, his father-figure and professional advocate. The dream represents this ebb and flow of uncertainty as it flows across conscious and unconscious psychical levels. Schumann’s fears of abandonment especially from Clara but also from Friedrich are quite present in the dream’s text of fleeting love, and Robert’s oft-noted bouts of depression from this time may be represented in the extreme despair that the dreamer encounters upon each waking. As Freud made clear in Die Traumdeutung, it is entirely plausible that these “still vivid” memories from Schumann’s daily life triggered wishes deep within his unconscious, possibly even left over from his childhood, to manifest themselves in “Ich hab’ im Traum geweinet” in particular and in Dichterliebe as a whole.

Music Analysis

Schenker did not graph Schumann’s “Ich hab’ im Traum geweinet” from *Dichterliebe*. He did, however, graph three other songs from *Dichterliebe*: “Im wunderschönen Monat Mai,” “Aus meinen Thränen spriessen,” and “Wenn ich in deine Angen seh.” Schenker’s graph of “Aus meinen Thränen spriessen” has been discussed by David Neumeyer, Allen Forte, and Arthur Komar (See Figure 3.10). In addition, Joseph Kerman criticizes the analyses of “Aus meinen Thränen spriessen” by Forte and Komar generally, and Schenker’s graph in particular. While a thorough discussion of these analyses is beyond the scope of this dissertation, Kerman’s remarks are particularly relevant to “Ich hab’ im Traum geweinet.” They focus on the absence of surface-level intricacies from Schenkerian foreground graphs. As Kerman puts it: “Ambiguities such as those set up by Schumann’s cadences are likely to strike a critic as a good place to focus his investigation, to begin seeking what is special and fine about the song. The analyst’s instinct is to reduce these ambiguities out of existence…. [In addition,] Schenker’s foreground sketch, so far from “explaining” the chromaticism here, barely acknowledges its existence. Once again his very first reduction employs too coarse a sieve to catch something of prime importance. Schenker seems often to have derived a sort of grim pleasure from pretending not even to notice certain blatant foreground details in the music he was analyzing” (Figure

Ironically, Schenker’s graph actually includes all the surface-level chromaticism in Schumann’s song, with the exception of the one measure that Kerman chooses to critique.

Figure 3.10. Schenker’s construction of “Aus meinen Thränen spriessen”\(^{104}\)

Kerman’s criticism of Schenker’s reading seems to miss the precise strength of Schenkerian analysis and psychoanalysis alike. The goal is not to discount the importance of surface-level phenomena, but rather to show them as conscious manifestations of unconscious origin and to show how these conscious manifestations have been transformed at various levels. As a result, Schenkerian analysis and psychoanalysis both demonstrate the meaning of these surface-level phenomena. In both theories, the true meaning of these structures lies in their unconscious origins rather than their surface-level appearance. In this light, Kerman’s critique of


Schenkerian analyses of “Aus meinen Thränen spriessen” applies directly to the present analysis of “Ich hab’ im Traum geweinet”. Rather than bypassing the importance of surface-level phenomena as is Kerman’s criticism, this analysis demonstrates that a Schenkerian analysis can enlighten such phenomena by showing their unconscious origins.

In Schumann’s setting of “Ich hab’ im Traum geweinet,” the analyst encounters uncertainty about the unconscious origins of the song’s Urlinie: is the Kopfton 5 or 3? At the musical surface, the first musical phenomenon encountered is the neighboring motion, Bb-Cb-Bb, in the vocal part. Arthur Komar suggests that this motive, a half-step emphasized throughout Dichterliebe, is important as it foreshadows the move toward B (Cb) major in the next song, “Allnächtlich im Traume seh’ ich dich.” At the conscious surface level, this opening emphasis on Bb seems to point strongly toward 5 as Kopfton. While Komar does not provide a multi-level graph of “Ich hab’ im Traum geweinet,” his examples do indeed point toward 5 as the Kopfton (See Figure 3.11). Figure 3.11a shows Komar’s deep middleground construction of the first two stanzas of “Ich hab’ im Traum geweinet”: it demonstrates the progression of the bass from the opening i to the half cadences in mm. 11 and 22 through the 5-6 motion that transforms VI (mm. 5-6 and 17-18) into iv6 (mm. 9 and 20). Next, Figure 3.11b shows Komar’s deep middleground construction of the Schumann’s setting of the final stanza (mm. 22-38).

Komar’s construction of the final stanza demonstrates two motivic parallelisms between the first two stanzas and the third stanza.\textsuperscript{107} One is the opening motive, Bb-Cb-Bb, discussed above. Komar’s deep middleground constructions mark this parallelism as important to both the musical surface and its unconscious origins beneath the surface. The neighboring motive is clear in Figure 3.11a although hidden beneath the musical surface (as shown by the parentheses around the Cb and Bb in the upper voice). Unfortunately, parallel perfect octaves are present in Figure 3.11a between the

\begin{figure}
\centering
\includegraphics[width=0.8\textwidth]{figure311.png}
\caption{Komar’s Reading of $\widehat{\Delta}$ as Kopfion\textsuperscript{106}}
\end{figure}

\textsuperscript{106} Komar, 88.
\textsuperscript{107} For more on the importance of motivic parallelisms in Schenkerian theory see Charles Burkhart, “Schenker’s ‘Motivic Parallelisms,’” \textit{Journal of Music Theory} 22, no. 2 (1978), 145-175.
outer voices if the Cb is interpreted as still active over the Ab. Although the Bb-Cb-Bb motive is present at the musical surface in the third stanza, its representation is murkier in Figure 3.11b. In Figure 3.11b, the initial Bb is expanded up to Db. The upper neighbor, Cb, is then prepared in the outer voices by a vii\(^{07}\) of iv. The Fb, found in the upper voice of m. 31, descends to Cb in Komar’s construction as it does at the musical surface. The slur in the lower voice of Figure 3.11b shows a linear progression, Gb-G-Ab, that forms another motivic parallelism with Figure 3.11a, where the same motive is found in the inner voice. In Figure 3.11b, the neighboring motion in the upper voice, Bb-Cb-Bb, is completed with the final Bb, harmonized by the final V and i.

Komar’s construction is strong in its presentation of motivic parallelisms across the first two stanzas, including correlations found in the modified structure of stanza three. But, it lacks inner voices which could clarify the voice leading and perhaps reveal further motivic parallelisms. Moreover, Komar’s construction lacks a descending Urline that closes properly with ^\(\frac{1}{5}\) over i. Instead, the upper voice simply shows the prolongation of Bb, ^\(\frac{1}{5}\), across the entire song. At the musical surface, the preservation of Bb in the upper voice from m. 1 to m. 38 is precisely as it occurs in the conscious manifestation of Schumann’s dream (Figure 3.8). This seeming lack of over-arching melodic motion causes one to ponder the existence of another, generative contrapuntal structure beneath the conscious manifestation at the musical surface. Indeed, important questions arise from an examination of Komar’s analytic construction. Where is the actual descent of the Urline? What is the origin of the Fb that appears in m. 31 (shown in the upper voice of Figure 3.11b)?
The fact that Komar does not include a structural descent in the *Urlinie* points toward the Bb as a conscious-level manifestation that hides the true unconscious structure. Indeed, just such a possibility is present in Komar’s deep middleground construction. This is not to diminish the importance of the Bb as Kerman suggests, but rather to delineate it to its proper status as a surface-level phenomena. In Figure 3.11a, the inner voice shows the Gb-G-Ab motive discussed above, progressing down to the F, from the half cadences in mm. 11 and 22. This linear motion can be reinterpreted as a large-scale descent from Gb, to F, with the Ab serving as an upper neighbor to the Gb and the G as a chromatic passing tone between the Gb and Ab. These inner voices are displaced to the bass in Komar’s construction of the third stanza (Figure 3.11b). This linear motion in the first two stanzas points toward an *Urlinie* from . However, further examination of the third stanza (mm. 22-38) is required to determine if there is a parallel inner voice with an *Urlinie* descent from . Figure 3.12 represents another construction of Schumann’s “Ich hab’ im Traum geweinet,” reinterpreting this inner voice from Komar’s construction as the *Urlinie*. 
Figure 3.12. 3-line Construction of Schumann’s “Ich hab’ im Traum geweinet”
This new construction of Schumann’s “Ich hab’ im Traum geweinet” (Figure 3.12) represents the descent from 3 to 2 from the inner voice of Komar’s construction as the Urlinie, unconsciously guiding the contrapuntal motion of Schumann’s song. Much as might happen in a psychoanalytic session involving the analysis of a dream, this construction acknowledges the opening surface-level motive Bb-Cb-Bb (labeled as motive A) and another motive, Gb-G-Ab-Bb (labeled as motive B), near the Phrygian half cadences as Kerman’s critique would require. But, it also looks past the musical surface for the unconscious origins of Schumann’s musical dream. This construction reveals a contrapuntal structure that more closely resembles the structure of Heine’s text, thus reflecting Schumann’s musical ownership of the text as his own.

This 3-line construction mimics the text’s description of three attempts at the dream wish’s achievement of love. In a parallel manner, the Urlinie makes three attempts to achieve its wish for satisfaction on 1 over i (Figure 3.12). Textually, satisfaction of the wish for love is avoided by means of death in the first stanza and by means of separation in the second stanza. Likewise, the music that accompanies these stanzas is unable to reach a level of satisfaction in the tonic. The first two stanzas each end with Phrygian half cadences on 2 over V (mm. 11 and 22) before a reprise of the opening Bb. As discussed above, the third stanza seems to bring some satisfaction to Schumann’s quest for love, but this is revealed in awaking to an incomplete fulfillment of that satisfaction. The music that accompanies the third stanza achieves a similarly partial level of satisfaction. The melody finally closes on 1 in m. 32 as would be expected. However the harmony here is hardly final. The 1 in the voice (m. 32) is
harmonized with a somewhat unstable $V^{6/5}$ of iv (Figure 3.8). Instead, the harmonic completion of the song is displaced to the final four bars of the piano. The final cadence of the piece maintains the voicing of the opening with $\hat{5}$ as the soprano at the musical surface denying the satisfaction of a strong close on $\hat{1}$ over i.

In the preceding discussion of Komar’s construction, the closing and opening voicing of the piano’s I-$V^7$-I with $\hat{5}$ in the soprano at the surface conceals an unconscious origin beneath the surface. Since the text reflects two different levels—conscious and unconscious, the music portrays a similar structure. A dream’s locus of origin lies deep within a person’s unconscious. Similarly, the Ursatz, the musical locus of origin of Schumann’s “Ich hab’ im Traum geweinet,” lies hidden deep below the musical surface. In the first line of the poem, the dreamer begins to describe the dream and associate with it as might happen in a psychoanalytic session. At this stage, the primary pitch is Bb, $\hat{5}$, which becomes the top pitch of the piano’s chords in mm. 3-4. As the dreamer’s description descends into the dream proper on the pick-up to m. 5, the vocal melody descends to Gb, $\hat{3}$. A closer examination of the piano chords in mm. 3-4 reveals that the moving notes, the primary pitches of interest in this progression, are relegated to an inner voice. As is more than common in both Freud’s concept of the transformation of dreams and Schenker’s concept of musical structure, these clues reveal that the primary pitches involved in the Ursatz, the unconscious origin of the musical dream, are concealed beneath the surface of the music (Figure 3.12). The importance of Gb is confirmed in mm. 6-7 where it becomes the top voice of the piano’s chords. The chords in mm. 6-7 occur in a 4-voiced texture, the top voice from
mm. 3-4 being removed. Here, the text has descended into the unconscious recollection of the dream and the initial Bb is removed, much as the veil of the censor is lifted to reveal the unconscious origins of the dream. After a brief descent to $\mathbb{1}$ on the downbeat of m. 6, the melody regains the Kopfton, Gb, in m. 7. It is as though the dreamer’s description in the vocal line reflects a conscious manifestation of the unconscious need striving for satisfaction, but not a manifestation necessarily steeped in reality. However in its forthright simplicity, the piano represents the original need of the dreamer at the unconscious level.

The Ursatz for Schumann’s dream is truly hidden. As the dream progresses, the descent of the Urline is concealed to a greater degree. In the third stanza (mm. 23-38), the unconscious dream material in the piano reveals itself simultaneously with the dreamer’s conscious description for the first time. The opening line Bb-Cb-Bb neighbor motion of the voice (motive A in mm. 1-2) becomes the upper line of the piano chords in mm. 23-24 and again in mm. 25-27. The dreamer seems to have a difficult time in musically describing his true feelings that lie beneath the surface. Indeed, the mourning process seems to be restricted. After restating the opening Bb-Cb-Bb neighbor motion itself in mm. 25-27, it remains unable to descend to $\mathbb{1}$. Instead, a C-natural in m. 27 redirects the vocal line upward toward Db. The Db becomes much like an obsession in the vocal line, appearing also in the piano as a drone before its final release down to Cb in m. 33 of the piano. Schumann’s musical painting depicts the dreamer stunned at his conscious-level reaction of tears at the memory of an accomplished love while chromatic emotions in the piano appear to bubble forth from
deep within his unconscious. This quasi-therapeutic eruption of emotion climaxes with the highest sounding pitches of the song in both the vocal and piano parts in mm. 31-32. The Cb in m. 33 serves as a global occurrence of the opening Bb-Cb-Bb neighbor motion framed by the Bb in m. 1 and the closing Bb of mm. 35-38. In the vocal line, the Db proceeds to an upper neighbor, Fb, (m. 31) before finally achieving its satisfaction in 1 in m. 32. However, as depicted by both the music and the text, this satisfaction is only partially achieved. Satisfaction on 1 over i is delayed until the final chords of the piano in mm. 35-38.

As the highest sounding pitch of the song, the Fb in m. 31 is significant at the musical surface. Both psychoanalysts and Schenkerian analysts look for clues at the conscious surface manifestation that may reveal the unconscious origins beneath the surface. This Fb is striking as just such a clue. Although the Fb serves as an appoggiatura in the vocal line, its harmonization by a 6/4 sonority reveals its passing function. This can be seen clearly in mm. 31-32 of the piano as well as in the construction in Figure 3.12. Indeed, the third-progression in the piano, Gb-Fb-Eb, serves as a motivic parallelism to the Urlinie descent from 3, Gb-F-Eb. However, the Fb, b2, seems odd within this linear progression. The analyst is left with the task of uncovering the origins of this surface-level chromatic alteration.

The origins of the Fb are revealed in m. 5 of the vocal line where this same third-progression, Gb-Fb-Eb, is found. The repetition of the vocal line in the piano (mm. 6-7) shows the borrowing of Fb from the key of Cb as shown in the brief tonicization of VI. A repetition of this same figure can also be found in the second
stanza (mm. 16-18). In the first two stanzas of “Ich hab’ im Traum geweinet,” Schumann uses VI to harmonize both the descriptions of his beloved lying in her grave (stanza one) and having forsaken him (stanza two). However unrealized it may have been in Schumann’s psyche, the third stanza proclaims, “I dreamed that you still loved me.” As a result of this realization, the harmony of VI is absent from this final stanza. In Schumann’s recasting of Heine’s dream, it is as though the musical dream itself has overcome a certain boundary toward wish-fulfillment through the abolishment of VI. However, remnants of the despair and abandonment remain in stanza 3, both textually and musically through the retention of Fb. Indeed, the picture of reality versus fantasy apparent in Heine’s poem is present in Schumann’s musical setting as well. The $F_2$, present in the opening piano progression (m. 3-4) and the final descent of the *Urlinie* (mm. 35-38) can be seen as a picture of the diatonic reality surrounding Schumann’s dream. Likewise, in both its harmonization by VI in stanzas one and two (mm. 5-6 and 16-17) and its passing appearance in stanza 3 (m. 31), the Fb can be seen as a distortion of conscious reality within Schumann’s dream.

The repression of VI in the third stanza forces the analyst to look for other motivic parallelisms that serve to link the three stanzas musically. The linear motion toward the Phrygian half cadences at the end of the first two stanzas provides just such a parallelism. As these cadences are prepared, we must parse out the identities of the different contrapuntal voices and where they are moving. It is interesting to note that the iv6 harmony immediately preceding both cadences is strikingly missing its root tone, the Ab. The Ab is present previously in both the piano and voice in mm. 9 and 20, but it disappears as it approaches the cadences. Here, the disjointed occurrences of
the vocal and piano parts are revealing, and we must connect these disparate portions of
the musical dream to reveal their path. The vocal line in m. 10 moves down from the
Ab to a different voice on the Eb. The Eb appears to be doubled, splitting in two
different directions to the D-natural and F in the vocal line. The piano mimics this
motion exactly in m. 11. If the Ab is a different voice, where does it move? The
smoothest contrapuntal motion for the Ab is to rise to Bb. The Bb is present in the final
V chord of the piano, but an Ab at this lower register is absent in order to avoid parallel
fifths. The Ab’s presence in m. 9 implies that it is still present above the piano’s chords
and then moves up to another implied tone, Bb. While this upper Bb is absent from the
immediate musical surface, it is indeed regained at the reprise of the opening melody in
mm. 12 and 23 respectively. Bb’s presence one bar later further hints at its unconscious
presence in mm. 11 and 22.

But one must ask, why is the Ab absent in mm. 11 and 22 of the piano? One
possible answer lies in the repression of the Urlinie deep within the musical structure.
Both the voice in m. 10 and the piano in m. 11 end with an F in the upper voice. The
descent of the Urlinie from $\hat{3}$ to $\hat{2}$ in the first two stanzas is somewhat disguised at the
musical surface. At the cadences in mm. 11 and 22, it is revealed as the true upper
voice.

Labeled with a letter B, the linear progression Gb-G-Ab-Bb, that appears in the
vocal line of stanzas 1 and 2, is the apparent upper voice at the musical surface. This
progression is notably absent in the upper voice of the third stanza beginning in m. 23
as are the Phrygian half cadences so prominent in the first two stanzas. The linear
progression Gb-G-Ab-Bb is present, however, in the third stanza. It is relegated to the
bass beginning in m. 29. Here, two instantiations are found of this motive: 1) a local ascent from Gb to Bb in mm. 29-31 with the addition of an A natural before the Bb and 2) a large-scale ascent beginning on the Gb in m. 29 and continuing with G-Ab and Bb in mm. 32-35. This motivic parallelism is seen clearly in the foreground of my Schenkerian construction. As a result, the appearances of the motive in stanzas 1 and 2 are revealed as occurring over the descent of the unconscious *Urlinie*, disguising it, or one might even say repressing it, beneath the musical surface. This motivic parallelism creates a link between the stanzas that shows a common origin in the unconscious organization of Schumann’s musical setting of the dream. Although Schumann’s chromatic additions to the third stanza reveal a heightened emotion at the thought of regaining his love, the motivic parallelism beneath the surface of all three stanzas reflects a consistent unconscious origin of doubt behind all three visions of Schumann’s musical dream. This reading strengthens the construction of Schumann’s dream as a 3-line *Ursatz* in the background.

Schumann’s wish for love is truly revealed on both a textual and musical level. His musical setting creates a unique reinterpretation of Heine’s original dream. A psychoanalytic perspective of the manifestation of Schumann’s deepest wish for love and acceptance from his mother, Clara, and Friedrich Wieck are all captured within this single dream. A Schenkerian analysis of the musical structure of “Ich hab’ im Traum geweinet” shows a musical traversal of a similar wish buried deep beneath the musical surface. In both cases, Schumann’s wish was only partially achieved. He lost relationships with both his mother and Clara’s father. Likewise, while he gained
Clara’s love, the satisfaction of his need for acceptance, at least within his own mind, was only partially achieved.
Suggestive though they may be, the connections between the theories of Schenker and Freud made so far are circumstantial at best. No direct connection has yet been made between Freud and Schenker. This chapter establishes such a connection through an exploration of specific ideological and political views that Freud eventually expanded in his seminal book, *Das Unbehagen in der Kultur* (1930). Using many aspects of the structure of the psyche mentioned in Chapters 1-3, *Kultur* described the conflict between the drives and the ego’s censorship of latent unconscious materials. Freud expanded his theory to address the conflict between the growth and development of an individual ego and the censorship performed on that ego by society itself. Freud saw this censorship as the greatest hindrance to the achievement of unrestricted satisfactions of instincts and the pressures they provide in life.

Like Freud, Schenker recognized a conflict between the instinctual development of an individual tone and the organized “society” of the tonal harmonic system. Schenker used strikingly Freudian language to describe this in *Harmonielehre*: “On the one hand, he [the artist] was faced with the egotism of the tones, each of which, as a root tone, insisted on its right to its own perfect fifth and major third; in other words, its right to procreate its own descendant generations. On the other hand, the common interest of the community that was to arise from the mutual relations of these tones
demanded sacrifices, especially with regard to the descendant generations.”¹ Schenker continued the analogy in Kontrapunkt I. “Tones mean nothing but themselves; they are as living beings with their own social laws.”² In Schenker’s theory, the diatonic society was established through the institution of a contrapuntal rule system.

Published in 1935, just five years after Freud’s Kultur (1930), Schenker’s Der freie Satz shows many parallel thoughts on society at large. In fact, Schenker was not just aware of Freud’s theories as a citizen of fin-de-siècle Vienna, he also read Freud’s writings in the form of a newspaper article entitled “Die Wege zum Glück” printed in two parts in Neue Freie Presse on January 1 and 5, 1930.³ Freud’s essay was reprinted later that year as the second chapter of Das Unbehagen in der Kultur. The Oster Collection contains a clipping of Freud’s article from the Viennese newspaper. Schenker not only underlined certain key passages, but he subsequently reworked them in Der freie Satz.⁴ A comparative analysis of these parallel passages and others throughout both men’s works confirms distinct similarities in Freud and Schenker’s thinking. These similarities include their common attitudes about the nature of society and culture, the instinctual drives (both musical and psychical) that generate conscious manifestations of unconscious substructures, and the source of beauty. A comparison

³ Sigmund Freud, “Die Wege zum Glück,” Neue Freie Presse, (Wien: Mittwoch, 1 Januar 1930). Oster Collection File C, 481, 482, Reel 33. A copy of the article can be found at the end of this chapter.
⁴ The most significant passage parallel to Freud’s “Die Wege zum Glück” is found in Part I, Chapter I, Section 4 with an edited portion found in Appendix G of Free Composition.
of “Die Wege zum Glück” with Schenker’s writings reveals that Schenker, like Freud, saw “the love that procreates”\(^5\) as the highest of instinctual processes.

*Das Unbehagen in der Kultur*

Before examining specific connections between Freud’s “Die Wege zum Glück” and Schenker’s work, we must explore the broader context for Freud’s essay—namely, as the second chapter of *Das Unbehagen in der Kultur* (hereafter *Kultur*), published in 1929 in Vienna by Internationaler Psychoanalytischer Verlag. Like “Die Wege zum Glück”, chapters one and five of *Kultur* were also published separately in *Psychoanal. Bewegung* in November-December, 1929 and January-February, 1930 respectively. Freud desired for the work to be called *Das Unglück in der Kultur* which is more closely tied to “Die Wege zum Glück” than the current title. Likewise, he desired the title of the English translation to be “Man’s Discomfort in Civilization”.\(^6\) The replacement of “Unglück” with “Unbehagen” and “discomfort” with “discontents” were the decisions of the original editor and translator respectively. Freud’s original title, implying a conflict between mankind and civilization, serves as an excellent concise summary of the book’s primary topic.

*Kultur* presents many of Freud’s concepts regarding the psyche as it develops, interacts and comes into conflict with civilization, and either succeeds or fails to find a balance between its individual needs and the restrictions of civilization. The book

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builds upon material from *Die Zukunft einer Illusion* (1927) and begins with a discussion of religion and the intense “oceanic” feelings that its practice can produce. For Freud, these feelings reflect an internal need that originates in our *Ich*. In the first chapter, Freud discusses “how to distinguish between the internal, which belongs to the ego [*Ich*], and the external, which comes from the world outside.” These two, clearly discernable levels of influence on the construction of the human psyche are directly parallel to Schenker’s concept of the internal instinctual drive of the tones—*der Tonwille*—and the external influence of the composer.

As shown in *Der freie Satz* (1935), Schenker heavily favors the works of the genius composer who merely serves as a vessel for the satisfaction of *der Tonwille* and thus, the achievement of a musical happiness parallel to Freud’s psychical happiness. Freud’s instinctual, internally-caused needs allow for the growth of the individual psyche to be seen as an organic process, resulting in an internally-driven quest for happiness. Both the societal and psychical inhibitions to that quest are discussed in chapter two, “Die Wege zum Glück”. For Freud, if there is a purpose to human life, this quest for happiness through the fulfillment of the libido is that purpose. Likewise, if the satisfaction of *der Tonwille* is the achievement of happiness then for Schenker the

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9 Ibid., 12-22.
purpose of musical life is this quest for happiness as well. But for both Schenker and Freud, this happiness is attainable only by an elite few.

In addition to ourselves and the natural world, civilization is Freud’s primary hindrance in a psyche’s quest for happiness. In chapter three of Kultur, Freud defines civilization [Kultur] as “the sum total of those achievements and institutions that distinguish our life from that of our animal ancestors and serve the dual purpose of protecting human beings against nature and regulating their mutual relations.”¹⁰ The characteristics of a civilization include: 1) “making the earth serviceable” through “the use of tools, the taming of fire, and the building of dwellings”, all of which serve to “protect him against the forces of nature”; 2) “beauty, cleanliness and order,” both that which is seen already in nature and that which is created by man; 3) “intellectual, scientific, and artistic achievements”; and 4) the regulation of relationships through a system of justice.¹¹ These constructs of civilization thwart the quest for happiness as they give primacy to the community over the individual. Thus, there is a constant struggle between the individual desiring to have the liberty and freedom of instinctual fulfillment and the demands of civilization restricting that urge for freedom.¹² This conflict is similar to the one which Schenker saw between the external, mechanical influence of the composer, particularly the non-genius composer, and the musical

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¹¹ Ibid., 28-32
¹² Ibid., 32-33.
composition as an organic entity.\textsuperscript{13} For both Freud and Schenker, external influences can serve to hinder organic, instinctually-driven development. Indeed, organicist themes are common in both Freud’s and Schenker’s writings.\textsuperscript{14}

The primary tenets of organicism, a somewhat ubiquitous concept in fin-de-siècle Vienna, are the concepts of growth and unity.\textsuperscript{15} These tenets manifest themselves in two types of motion: centrifugal motion and centripetal motion. In an organic entity, growth or centrifugal motion is characterized as its need to “expand outward, away from its metaphysical center.”\textsuperscript{16} Freud’s libido, directed toward objects, is an example of centrifugal motion. For Schenker, der Tonwille is the parallel instinctual, procreative drive. In an organic entity, unity or centripetal motion is characterized as that which “pulls the organism in toward its metaphysical center.”\textsuperscript{17} Centripetal motion toward a center, toward the source of causation, provides balance in an organic system. Schenker’s Ursätze serve as these sources of causation in a composition. They provide an unconscious, summative picture that, when linked to the surface of a piece through a series of contrapuntal transformations, unifies the complete conscious whole. For Freud, the latent content in the unconscious serve as a similar

\textsuperscript{13} Early in his career, in an essay entitled “Der Geist in der musikalischen Technik”, Schenker saw this conflict between internal causation and external influence as irreconcilable. In his later works, Schenker’s view changed as Schopenhauer’s concept of the genius allowed Schenker to view music, like the psyche, as an organic entity.


\textsuperscript{15} Solie, “The Living Work” and Pastille, “Heinrich Schenker: Anti-Organicist.”

\textsuperscript{16} Pastille, 32.

\textsuperscript{17} Pastille, 32.
source of causation. As shown in my chapter on the dreamwork process, this unconscious latent material serves as the unifying key to unlocking the meaning of its conscious manifestation.

For a musical or psychical entity to achieve balance, both growth and unity must be shown. A successful Freudian analysis results in demonstrating the process of transformational growth from latent unconscious material to its conscious manifestation. It also shows a cross-level assimilation of these materials into a complete, unified psychical whole. Likewise, a successful Schenkerian analysis results in a demonstration of the process of transformational growth from the Ursatz in the background to its manifestation as a surface-level musical composition as well as a cross-level assimilation of these musical structures into a complete, unified musical whole. Thus, both a Schenkerian and a Freudian analysis demonstrate both organic unity and growth. But both theorists warn of external inhibitions to these organic processes, and it is here that we find an important common bond that is likely one of the things that drew Schenker toward Freud’s essay. As Freud saw civilization’s laws as a potential hurdle to individual liberty and instinctual satisfaction, so Schenker saw the non-genius composer as inhibiting the instinctual satisfaction of der Tonwille.

Freud explains the development of civilization in chapter 4 in a manner in keeping with this concept of organic growth. As is well-known, sexual energy—libido—is Freud’s source of causation driving individual development, and the development of civilization does not escape a similar internal source of causation. The initial compromise of the individual’s personal needs involves the formation of a family, the smallest microcosm of a civilization. The need for a sexual partner is the
source of the need to build a family. For Freud, sex is the greatest form of happiness, but it is also highly restricted by civilization which seeks to meet the global needs of the community rather than the local needs of the individual.18 “On the one hand love comes into conflict with the interests of civilization; on the other, civilization threatens love with substantial restrictions.”19 The organicist principle of internal causation provided by the libido for Freud and *der Tonwille* for Schenker is a key link between the two systems. And both theorists describe the danger in external influences on the fulfillment of these desires toward organic growth.

In chapters 5 and 6 of *Kultur*, Freud identifies a complimentary power to the libido’s organic growth, the destructive drive [*Todestrieb*],20 which is an outgrowth of the libido and manifests itself as aggression toward civilization.21 According to Freud, the destructive or aggressive drive is the part of the libido that inhibits our ability to connect with a social community.22 Likewise, “civilization has to make every effort to limit man’s aggressive drives and hold down their manifestations through the formation of psychical reactions. This leads to the use of methods that are meant to encourage people to identify themselves with others and enter into aim-inhibited erotic relationships [i.e., communal, nonsexual friendships], to the restriction of sexual life….23 These restrictions serve to inhibit the quest for happiness. For an individual

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18 Freud, 34-41.
19 Ibid., 39. “Einerseits widersetzt sich die Liebe den Interessen der Kultur, anderseits bedroht die Kultur die Liebe mit empfindlichen Einschränkungen.” (68)
20 German edition, 82.
21 Freud first presented his concept of the “death drive” in *Beyond the Pleasure Principle*.
22 Ibid., 45-52.
23 Ibid., 49. “Die Kultur muß alles aufheben, um den Aggressionstrieben der Menschen Schranken zu setzen, ihre Äußerungen durch psychische Reaktionsbildungen niederzuhalten. Daher also das Aufgebot von Methoden, die die Menschen zu Identifizierungen und zielgehemmten
to be happy within a civilization, they must have adequate avenues of satisfaction for both their sexual and aggressive drives.\textsuperscript{24}

The aggressive drive is more difficult to discern from its parent drive of libido. This destructive drive is manifest in “man’s inborn tendency to ‘wickedness’, to aggression and destruction”\textsuperscript{25} in a general manner and in sadism and masochism in a sexual manner.\textsuperscript{26} Again, both Schenker and Freud describe an internal, instinctual source of causation that moves its object forward only to be potentially impeded by an external source. For Freud, civilization is this potential external impediment; for Schenker, it is the composer. A composition by a genius composer has found an unimpeded way to satisfy its instinctual needs within the confines and restrictions of the harmonic society of tones. Indeed, he describes this interaction in this language exactly in \textit{Harmonielehre} as discussed below.

The final two chapters of \textit{Kultur} outline exactly how civilization opposes the individual’s libido and the manner in which they are internally repressed. Both of these processes, the opposition and repression of drives, involve the formation of a sense of guilt or the conscience, what Freud called the super-ego. Civilization serves as an external source of guilt that is triggered by actions. The super-ego is a guiding construct that is formed by the psyche as it matures and thus is an internal source of guilt that is more powerful than society. It is not limited simply to guilt created through completed actions, but also a sense of guilt formed at the level of intention, even if the

\textsuperscript{24}Ibid., 51.
\textsuperscript{25}Ibid., 57. \textit{“wenn die angeborene Neigung des Menschen zum “Bösen,” zur Aggression, Destruktion...” Das Unbehagen in der Kultur, 83.}
\textsuperscript{26}Ibid., 56.
actual forbidden action has not taken place. Schenker’s theory also incorporates law-driven guides to the fulfillment of a tone’s instinctual desires. For Schenker, the laws of counterpoint serve as a guide for the will of the tone. The laws of counterpoint restrict the tone from moving outside of a natural course of action. It is as though a tone develops a similar sense of guilt if it strays too far from the contrapuntal system’s laws. Yet, the laws of counterpoint, like the super-ego, do not restrict organic growth as they exist within nature and do not originate from an external source of causation. The tone retains its internal desire for tonic; it just must fulfill this desire in a law-abiding manner.

Freud closes *Kultur* by stating the purpose of his essay: “to present the sense of guilt as the most important problem in the development of civilization and to show how the price we pay for cultural progress is a loss of happiness, arising from a heightened sense of guilt.” He invokes organic metaphors, much as Schenker does, by noticing similarities between the developmental processes in both human civilization and the individual. Freud’s discussion of the relationship between growth of the individual and the unity found in civilization rings particularly true to the organicist properties of internally-caused growth striving toward and maintaining unity. Here, he describes the centrifugal and centripetal forces of growth and unity discussed above. “…the individual partakes in the development of humanity while making his own way through life….the two strivings—for individual happiness and for human fellowship—have to

27 Ibid., 60-69.
28 Ibid., 71. “…das Schuldgefühl als das wichtigste Problem der Kulturentwicklung hinzustellen und darzustellen, daß der Preis für den Kulturfortschritt in der Glücksseinbuße durch die Erhöhung des Schuldgefühls bezahlt wird.” Das Unbehagen in der Kultur, 97.
29 Ibid., 76.
contend with each other in every individual; so too the processes of individual and cultural development are bound to come into conflict and dispute each other’s territory.”

There are interesting parallels here to the primacy of the tonic triad in Schenker’s background level and the transformational development of that triad through the course of a full composition at the foreground level where it must act as a member within the harmonic society. Like Freud’s simultaneous development of the individual and society, Schenker’s background and foreground levels progress in a parallel continuum of centripetal and centrifugal forces.

Die Wege zum Glück

Having framed “Die Wege zum Glück” within the wider context of Das Unbehagen in der Kultur, let us look more closely at the actual essay in Schenker’s Nachlass. Why may Schenker have underlined and clipped this article from Neue Freie Presse? In “Die Wege zum Glück,” Freud describes the quest for happiness as that which “human beings themselves reveal, through their behaviour [to be] the aim and purpose of their lives.”

Like many of his Viennese contemporaries, Freud shares the Darwinian perspective on this primary purpose being the fulfillment of sexual urges. For Freud, happiness is composed of both positive and negative paradigms. The positive side of happiness is defined as experiencing “strong feelings of pleasure,” and

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30 Ibid., 77. “...so nimmt auch der einzelne Mensch am Entwicklungs- gang der Menschheit teil, während er seinen eigenen Lebensweg geht....die beiden Strebungen, die nach individuellem Glück und die nach menschlichem Anschluß, bei jedem Individuum miteinander zu kämpfen, so müssen die beiden Prozesse der individuellen und der Kulturentwicklung einander feindlich begegnen und sich gegenseitig den Boden bestreiten.” Das Unbehagen in der Kultur, 103.

31 Ibid., 14. “...was die Menschen selbst durch ihr Verhalten als Zweck und Absicht ihres Lebens erkennen lassen, was sie vom Leben fordern, in ihm erreichen wollen.” Das Unbehagen in der Kultur, 42.
the negative side involves the “absence of pain and unpleasurable experiences.”

Regarding the negative side of happiness, Freud lists three sources of unhappiness: 1) “from our own body, which being doomed to decay and dissolution cannot dispense with pain and anxiety as warning signals”; 2) “from the external world, which can unleash overwhelming, implacable, destructive forces against us”; and 3) “from our relations with others.” Freud’s Spenglerian tone on the decline of happiness in civilization was also likely one of the factors that attracted Schenker to the essay.

Conceding the achievement of true happiness as ultimately unattainable, Freud cites the avoidance of pain, the negative aspect of happiness, as a more realistic goal than the gaining of pleasure. He lists three methods for avoiding suffering: 1) “deliberate isolation…the happiness that comes from peace and quiet”; 2) “as a member of the human community…”; and 3) “seek[ing] to influence one’s own constitution [with intoxication, for example]…all suffering is merely feeling; it exists only in so far as we feel it, and we feel it only because our constitution is regulated in certain ways.”

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32 Ibid., 14.
33 Ibid., 15. “Von drei Seiten droht das Leiden, vom eigenen Körper her, der, zu Verfall und Auflösung bestimmt, sogar Schmerz und Angst als Wernungssignale nicht entbehren kann, von der Außenerwelt, die mit übermächtigen, unerbittlichen, zerstörenden Kräften gegen uns wütet kann, und endlich aus den Beziehungen zu anderen Menschen.” Das Unbehagen in der Kultur, 43.
In the relationships between tones, Schenker shares ideas similar to Freud’s on happiness. Freud’s positive framing of happiness is the experience of “strong feelings of pleasure” through the fulfillment of natural tendencies. Tones share this human need for fulfillment of their natural tendencies. For performer, composer, listener and analyst alike, the thwarting of this fulfillment can lead to unhappiness. According to Schenker, each tone in the diatonic system has its own desire to fulfill its musical drives.\footnote{Schenker, Harmony, 84–85.} These musical needs can be thwarted in a manner similar to Freud’s description above. Freud’s first cause of unhappiness from unsatisfied fulfillment is the natural decay and dissolution from our own bodies. As in the human body and psyche, Schenker observes a similar natural decay and dissolution in the overtone series from which he derives the major triad. He cites the imperceptibility of the upperpartials of the overtone series. The first five partials are as far as “the human ear can follow.”\footnote{Schenker, Harmony, 25.} “Das menschliche Ohr folgt der Natur, wie sie sich in der Obertonereihe offenbart, nur bis zur großen Terz als der letzten Grenze, also bis zu jenem Oberton, dessen Teilungsprinzip fünf ist.” Harmonielehre, 37.\footnote{Schenker, Harmony, 26.} “…es ist zwar wunderbar, seltsam und unerklärlich geheimnisvoll, aber dennoch so, daß das Ohr bloß bis zum Teilungsprinzip 5 vordringt.” Harmonielehre, 39.\footnote{Schenker, Harmony, 21–29.}

Unfortunately, Schenker’s postulate here is grounded in “a wonderful, strange, and inexplicably mysterious fact, but a fact, nevertheless, that the ear can penetrate only up to the fifth division”\footnote{Schenker, Harmony, 26.} rather than any real mathematical or scientific proof.\footnote{Schenker, Harmony, 26.} Much like Freud’s unhappiness caused by the influence of the “external world,” an individual tone’s satisfaction was seen by Schenker as thwarted by the external influence of the non-genius composer who impedes the organic flow of der Tonwille. In Schenker’s early writings such as “Der Geist der musikalischen Technik,” the
composer’s influence inhibited him from viewing a musical composition as a purely organic entity.\textsuperscript{40} His later inclusion of the concept of the genius composer allowed him, at least in his mind, to overcome this dissonance in his theory. For Schenker, the genius composer serves as a vessel for the natural fulfillment of der Tonwille rather than as an impediment. Apart from the relationships among the tones themselves, Schenker’s non-genius composer is capable of thwarting the satisfaction of tonal fulfillment much like Freud’s “external world.”

Freud also lists “our relations with others” as a cause of unhappiness, and these interpersonal relationships are the primary source of unhappiness dealt with in \textit{Kultur}. The same can be said of Schenker. It is in an individual’s integration into civilization and his/her relations with others that Freud sees as an individual’s greatest hurdle on the path toward happiness. A tone’s lack of integration in the harmonic system is very similar to this. Within Schenker’s description of the harmonic society, it is the other tones that both form the system in which a tone must conform and cause each individual tone to alter its path to the immediate fulfillment of its needs. Schenker describes this conflict explicitly in language quite parallel to Freud’s.

On the one hand, he [the artist] was faced with the egotism of the tones, each of which, as a root tone, insisted on its right to procreate its own descendant generations. On the other hand, the common interest of the community that was to arise from the mutual relations of these tones demanded sacrifices, especially with regard to the descendant generations. Thus the basic $C$ could not possibly coexist in the same system with the major third $C$-sharp, which was postulated by $A$ in its

quality as a root tone. The major third of E, G-sharp, came into conflict with the second root tone, G, etc.41

As in Freud’s *Kultur*, there is a conflict in Schenker’s harmonic system between each tone in the diatonic system and the tones of the major triad formed over each individual diatonic tone. It is as though each of Schenker’s diatonic tones wants to procreate and produce its own family of tones based on its individual overtone series. Just as with the tonic triad, this family of tones would be drawn from the first five partials of the overtone series originating from each diatonic tone, becoming the root, third, and fifth of a major triad. But these familial ties created within each major triad would then come into conflict with the community of the broader diatonic system. In Schenker’s example of the conflict in the key of C major, the individual tone of A is portrayed as having a type of internal, psychical conflict between its responsibilities as 6 within the diatonic key of C major and its responsibilities as the root of an A major triad. The C# is generated by A’s individual overtone series in an attempt by the A to be independent and form its own family of tones. However, this C# is at conflict with the C-natural of the C major diatonic system. Thus, the quality of the triad built on A must be tempered in order to fit within the laws of diatonic tonal society. In *Harmonielehre*, Schenker describes “quite precisely the sacrifices which each individual tone had to make if a

community of tones was to be established usefully and continued stably.”

Specifically, tones, such as the C#, which form the thirds of triads must “tempered and adjusted to the content of the tonic and its dominant and subdominant fifths.” Thus, the conflicting C# is sacrificed for the good of the diatonic community and becomes a C-natural resulting in a diatonic A minor triad. With strikingly Freudian terminology, Schenker concludes his explanation of the formation of the diatonic system. “All that remains to be done is to project the resulting system into the space of an octave, following the order of successive pitches. This projection, however, does not reveal optically the principle of fifth-relationships.”

Two hierarchical groups are formed in Schenker’s conception of the formation of the diatonic system: 1) the family of tones that consists of the major triad formed over each member of the diatonic scale and 2) the larger community of diatonic tones that ultimately prevails over the more chromatic tones within each triadic family. The inclusion of both groups results in the full gamut of chromaticism used in functional harmony. In *Kultur*, Freud describes the formation of the larger civilized community from its birth in an individual through the formation of a family unit and the sacrifices for the good of civilization that must be made both by the individual and his/her immediate family. According to Freud, the initial family formation arose from the fulfillment of two needs: “the compulsion to work, which was created by external

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43 Ibid. “...temperiert und abgestimmt auf den Inhalt des Grundtones, seiner ersten Oberquint und Unterquint.” *Harmonielehre*, 55.
hardship, the other was the power of love, which made the man loath to dispense with his sexual object, the woman, and the woman loath to surrender her child, which had once been part of her. Eros and Ananke (Love and Necessity) thus become the progenitors of human civilization too."45 On this level, Freud’s description of family formation is akin to Schenker’s description of the formation of a triad on a given member of the diatonic scale. One might suggest that a Freudian hierarchy exists within the triad as well with the root and fifth forming a certain parental role: the root being the individual, the fifth being its partner, and the third of the triad being the child. Freud continues describing a larger conflict much like Schenker’s conflict between the third (C# in the example above) and its conflicting roles as a member of the family (the A major triad) and as a member of the larger community at the level of civilization (the C major diatonic scale). For Freud as we will find with Schenker below, love, specifically sexual love, is the thread that holds the unit together. But, “civilization threatens love with substantial restrictions.”46 Much as the C# becomes detached from its triadic family and is reintegrated into the C-major community as a C-natural, the individual child becomes detached from his/her family to be reintegrated within the larger civilization. This is somewhat parallel to the familial conflicts in the story of Oedipus Rex from which Freud derived much inspiration. Freud describes how in “overpowering their father, the sons found that the group could be stronger than the

46 Ibid., 39. “...anderseits bedroht die Kultur die Liebe mit empfindlichen Einschränkungen.” Das Unbehagen in der Kultur, 68.
In both Schenker’s and Freud’s systems, the instinctual urge to procreate drives the tone and individual alike to leave their respective families. However, the laws of the larger civilizations of both man and diatonic harmony place limitations on the free outpouring of these instinctual drives that restrict their respective individual members to a place within the hierarchy more beneficial to the collective whole.

As a limitation preemptive to that of civilization’s laws, Freud finds that we sometimes suppress our instincts as an ego’s defense mechanism against suffering. It seems that this suppression of instinct disrupts the natural organic growth of our impulses. For Freud, this is equated with a less satisfactory experience of happiness. “...The satisfaction of the drives spells happiness, so it is a cause of great suffering if the external world forces us to go without and refuses to satisfy our needs. One may therefore hope to be freed from a part of one’s suffering by influencing the instinctual impulses. This type of defense against suffering is no longer brought to bear on the sensory apparatus; it seeks to master the internal sources of our needs.”

This mastery of impulses causes a reduction in the amount of pleasure. “The feeling of happiness resulting from the satisfaction of a wild instinctual impulse that has not been tamed by the ego is incomparably more intense than that occasioned by the sating of one that has been tamed.”

Much like Schenker’s genius who allows music to grow uninhibited in

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its organic development and merely serves as a vessel for *der Tonwille*, Freud’s concept of the uninhibited “wild instinctual impulse” achieves a similar, more intense level of satisfaction.

A similar connection can be found between Schenker’s genius and Freud’s discussion of “the displacements of the libido” as a means of attaining happiness.\(^{50}\) Along with the implication of a “genius” level of satisfaction, Freud refers to art as a more refined means of satisfying our inner impulses. He refers to this process as the sublimation of the drives. This connection seems even more significant when one considers the emphasis Schenker gives to music as a purely artistic construct. For Freud, “the displacements of the libido…[serve to] displace the aims of the drives in such a way that they cannot be frustrated by the external world. [Instead of seeking physical pleasure, one seeks to]…heighten the pleasure derived from mental and intellectual work.”\(^{51}\) This type of pleasure includes “the artist’s joy in creating, in fashioning forth the products of his imagination, or the scientist’s in solving problems and discovering truths…[Such satisfactions] seem to us ‘finer and higher,’ but their intensity is restrained when compared with that which results from the satiating of crude, primary drives: they do not convulse our physical constitution. The weakness of this method, however, lies in the fact that it cannot be employed universally, as it is accessible only to the few. It presupposes special aptitudes and gifts that are not

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\(^{50}\) Ibid., 17-18.  
\(^{51}\) Ibid., 17.  "Eine andere Technik der Leidabwehr bedient sich der Libidoverschiebungen, welche unser seelischer Apparat gestattet, durch die seine Funktion so viel an Geschmeidigkeit gewinnt. Die zu lösende Aufgabe ist, die Triebziele solcherart zu verlegen, daß sie von der Versagung der Außenwelt nicht getroffen werden können…..Am moisten erreicht man, wenn man den Lustgewinn aus den Quellen psychischer und intellektueller Arbeit genügend zu erhöhen versteht.” Das Unbehagen in der Kultur, 45-46.
exactly common, not common enough to be effective.” Strikingly similar to Schenker’s ideas, Freud’s references to a “genius” level of individual capable of reaching a “finer and higher” level of satisfaction are very clear in this displacement of the libido. He even conjures Schenker’s elitist ideology by maintaining that it is accessible only to a few people.

While the above general connections make Schenker’s interest in Freud’s article quite clear, more specific connections can be found. Namely, there are a few sections of “Die Wege zum Glück” that have been marked by Schenker. Schenker highlights the two separate parts of Freud’s article with the ubiquitous curlicue found throughout his Nachlass, and he highlights specific portions through the use of lines in the marginalia (Figures 4.2 and 4.3 at the end of this chapter). The first section describes the seeking of happiness through love. In this instance, the individual does not try to protect him/herself from the external world in an effort to avoid suffering. Rather, the individual “clings to the things of this [external] world and obtains happiness through an emotional attachment to them.” The next few sentences, which discuss the source of love, are underlined by Schenker.

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52 Ibid., 17-18. “Die Befriedigung solcher Art, wie die Freude des Künstlers am Schaffen, an der Verkörperung seiner Phantasiegebilde, die des Forschers an der Lösung von Problemen und am Erkennen der Wahrheit, haben eine besondere Qualität, die wir gewiß eines Tages warden metapsychologisch charakterisieren können. Derzeit können wir nur bildweise sagen, sie erscheinen uns "feiner und höher", aber ihre Intensität ist im Vergleich mit der aus der Sättigung grober, primärer Triebsregungen gedämpft; sie erschüttern nicht unsere Leiblichkeit. Die Schwäche dieser Methode liegt aber darin, daß sie nicht allgemein verwendbar, nur wenigen Menschen zugänglich ist. Sie setzt besondere, im wirksamen Ausmaß nicht gerade häufige Anlagen und Begabungen voraus.” Das Unbehagen in der Kultur, 46.

This kind of mental attitude comes naturally enough to us all; one manifestation of love, sexual love, has afforded us the most potent experience of overwhelming pleasure and thereby set a pattern for our quest for happiness. What is more natural than that we should go on seeking happiness on the path where we first encountered it? 

This section identifies the causality of love, specifically sexual love, as originating from a natural, instinctual source. This is completely in keeping with the organicist perspective manifest in Schenker’s mature works. It is significant that this natural source, which is allowed to manifest itself, provides us with “the most potent experience of overwhelming pleasure and thereby set[s] a pattern for our quest for happiness.” Like Freud, Schenker sees a metaphorically-sexual intertwining of tones in their contrapuntal relationships. As discussed in my chapter on instincts, Schenker alludes to “procreative urges” and the biological needs for repetition throughout his writings. This championing of a biologically-oriented, organicist paradigm is likely one that Schenker found attractive in “Die Wege zum Glück.”

As the essay continues, Freud connects the sexual impulse involved in the origin of love with an aesthetic sense of beauty. While he does not refer directly to art or music here, this aesthetic discussion is certainly applicable to Schenker’s thoughts on music. Unlike many of the other sources of happiness, beauty, like love, permits suffering caused by the external world. It is also the result of a natural, instinctually-

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55 Ibid., 20.
driven source of causation. Schenker underlines the following quote twice, marking it as perhaps the most significant quote for him in the essay.

The enjoyment of beauty has a special quality of feeling that is mildly intoxicating. Beauty has no obvious use, nor is it easy to see why it is necessary to civilization; yet civilization would be unthinkable without it. The science of aesthetics investigates the conditions under which the beautiful is apprehended; it has not been able to clarify the nature and origin of beauty; as commonly happens, the absence of results is shrouded in a wealth of high-sounding, empty verbiage. Unfortunately psychoanalysis too has scarcely anything to say about beauty. All that seems certain is its origin in the sphere of sexual feeling; it would be an ideal example of an aim-inhibited impulse. ‘Beauty’ and ‘attractiveness’ are originally properties of the sexual object. It is notable that the genitals themselves, the sight of which is always exciting, are hardly ever judged beautiful; on the other hand, the quality of beauty seems to attach to certain secondary sexual characteristics.\(^56\)

Again, the key is this internal, natural source of causation. Here, as with Freud’s concept of love and Schenker’s concept of the organic in music, beauty is the result of a natural impulse. Freud’s source of beauty is not found in cultural necessity, but rather in “the sphere of sexual feeling.” As seen below, Schenker posits in Der freie Satz that the origin of music—especially music built upon “linear progressions and coherence”—is tied to sexual feeling as well.

Freud’s reference to the “beauty and attractiveness…of the sexual object” is significant. The origin and practicality of beauty in sex is often discussed in the field of evolutionary biology, the origins of which lie in close proximity to the work of Freud and Schenker. When we speak of the concept of evolution, it is important to remember that Darwin discusses two different evolutionary processes: natural selection and sexual selection. Better known as “survival of the fittest,” natural selection is the process by which a trait is passed on to descendant generations because it gave them a survival-based advantage over other traits. Lacking the advantageous trait, these other species do not survive and therefore, their particular traits are not continued. The often referenced example of natural selection is the trait of the giraffe’s long neck. From a Darwinian perspective, the trait of a long neck was perpetuated within the giraffe species because those with had long necks could reach the height of the leaves of the trees that were their primary source of food. Unable to obtain an adequate amount of food, giraffes with shorter necks did not survive, and thus the trait of a shorter neck was not continued.

Sexual selection is the process by which traits are passed on to descendant generations based on their attractiveness to a potential sexual partner. In sexual selection, a trait such as a bright color or a more muscular physique is passed on to descendant generations because potential sexual partners consider that trait more attractive and therefore tend to breed more often with those partners who possess the attractive characteristic. The often referenced example of sexual selection is the dramatic feather display of the male peacock. Darwin himself defined sexual selection as “the advantage which certain individuals have over others of the same sex and
species solely in respect of reproduction.”\textsuperscript{57} Discussions on the evolutionary origins of music tend to see music as a product of sexual selection.\textsuperscript{58}

In the early stages of evolutionary biology, Darwin himself described in \textit{The Descent of Man} the origins of music as a product of sexual selection. “There are many other structures and instincts which must have developed through sexual selection—such as the weapons of offense and the means of defence of the males for fighting with and driving away their rivals—their courage and pugnacity—their various ornaments—their contrivances for producing vocal or instrumental music—and their glands for emitting odors, most of these latter structures serving only to allure or excite the female. It is clear that these characters are the result of sexual selection and not ordinary selection, since unarmed, unornamented, or unattractive males would succeed equally well in the battle for life and in leaving a numerous progeny but for the presence of better-endowed males.”\textsuperscript{59} Modern evolutionary biology has not strayed far from Darwin’s original conception of music as a product of sexual selection.\textsuperscript{60}

Following Darwin and Freud, Schenker addresses the origins of music as well. A passage with notable similarities to Freud and Darwin’s thoughts on the origins of music and art finds its way into Schenker’s \textit{Der freie Satz}:

\textsuperscript{59} Darwin, \textit{The Descent of Man}, 182.
\textsuperscript{60} Some current evolutionary studies also list ritual and social activities as influencing the origins of music. An excellent discussion can be found in Ellen Dissanayake, \textit{Homo Aestheticus: Where Art Comes From and Why} (New York: The Free Press, 1992), in particular Chapter 5, “The Arts as Means of Enhancement.” While differing from Darwin’s postulate on music’s origins in sexual selection, theories based on ritual and social activities are not dissonant with Freud and Schenker’s positions here.
With limited spiritual vision, composition is no more possible than speech. Certainly both can be undertaken with just such a handicap, but the results will show it.

The most basic necessities of life by themselves foster a certain expansion of the power of thinking. Men must learn how to communicate with each other so that with a joint effort they can wrest from nature, society, and state such benefits as are necessary to survival. This common effort necessarily must be infused with coherence (Zussammenhang), even with love; and as a result, a modicum of coherence and a certain degree of love enter into men’s spirit and their language.

By contrast, music, as art, has no practical benefit to offer. Thus there is no external stimulus for expansion of the powers of musical creativity and music’s artistic means. The expansion of creative vision, then, must spring from within itself, only from the special form of coherence that is proper to it, and the special love intrinsic to it.

Therefore, the person whose tonal sense is not sufficiently mature to bind tones together into linear progressions and to derive from them further linear progressions, clearly lacks musical vision and the love that procreates. Only living love composes, makes possible linear progressions and coherence—not metaphysics, so often invoked in the present time, or the much touted “objectivity”; these, in particular, have neither creativity nor breeding warmth.  

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“Bei begreter geistiger Sicht läßt sich nicht komponieren, so wenig wie sprechen; freilich geht Beides auch justamentmäßig, aber dann ist es auch darnach.

Schon allein die Notdurft des Lebens bringt naturgemäß eine gewisse Erweiterung der Denkraft mit sich: die Menschen müssen sich untereinander verständigen lernen, um mut vereinten Kräften Nutzen aus Natur, Gesellschaft und Staat heraushuschlagen, wie er zur Fristung des Lebens unumgänglich ist; sie sind genötigt, in das Streben nach solchem Nutzen Zusammenhang, ja sogar Liebe hineinzutragen, was dann einen leidlichen Zusammenhang, eine gewisse Liebe auch ihrem Geist, ihrer Sprache einträgt.

Dagegen ist die Musik als Kunst jeglichem Nutzen entrückt, es fehlt ihr so an einem von außenher stöfenden Zwang, die musikschöpferische Kraft und die Kunstmittel zu erweitern. Deshalb muß sie die Erweiterung der schöpferischen Sicht aus sich selbst gewinnen, nur aus dem ihr möglichen besonderen Zusammenhang, aus der in ihr geborgenen besonderen Liebe.

Also: Wessen Tonsinn nicht genügend reif ist, um Töne zu Zügen binden zu können und Züge aus Zügen abzuleiten, dem fehlt es offenbar an musikalischer Weitsicht und an zeugender Liebe: nur lebendige Liebe komponiert, führt zu Zügen und Zusammenhang, nicht die heute viel angerufene Metaphysik oder die vielgepriesene sogenannte Sachlichkeit, gerade sie hat weder Schöpfer- noch Brutwärme.” Der freie Satz (1935), 20.
Why would Schenker include such potentially odd phraseology such as “the love that procreates” and “only living love composes?” One possibility certainly includes his reading of Freud’s “Die Wege zum Glück” which contains striking parallels with this edited portion from Der freie Satz. Both of the quoted passages focus on an internal, natural source of causation. For Schenker, “music, as art, has no practical benefit to offer;” as for Freud, “beauty has no obvious use; nor is it easy to see why it is necessary to civilization.” Schenker looks for the origin of music beyond “external stimulus” or perhaps “cultural necessity”. Following Freud and Darwin alike, Schenker finds music’s source of causation in “the love that procreates.” Both essays hold negative views of current, methodologies. For Freud, “the science of aesthetics…has not been able to clarify the nature and origin of beauty” which he admits is also true of his own field, psychoanalysis. More explicitly stated elsewhere, Schenker’s emphasis on music as an art and his negativity toward many of his contemporaries’ scientific approaches to music analysis is well known. It is more implicit here, but still present nonetheless. “Only living love composes, makes possible linear progressions and coherence—not metaphysics, so often invoked in the present time, or the much touted “objectivity”; these, in particular, have neither creativity nor breeding warmth.”

Schenker even maintains Freud’s analogy to sexual beauty through the use of words, as translated here, such as “the love that procreates” [zeugender Liebe] and “breeding warmth” [Brutwärme].

The first, singly-underlined quote in “Die Wege zum Glück” is also revealed in Schenker’s quotation above through its emphasis on love, man’s need to blend with a society, and internal sources of causation. Freud stated in “Die Wege zum Glück,”
“Sexual love has afforded us the most potent experience of overwhelming pleasure and thereby set a pattern for our quest for happiness.” This is strikingly similar to Schenker’s sentence “Only living love [Freud’s “sexual love”] composes, makes possible linear progressions and coherence [Freud’s “pattern”]…these [Schenker’s “metaphysics” and “objectivity”], in particular, have neither creativity nor breeding warmth [Freud’s “most intense experience of an overwhelming sensation of pleasure”]. Both Freud and Schenker search beyond superficial objectivity for the pleasure and happiness found in music and sex. To this end, Freud notes that genitalia are not objectively beautiful, but still produce great excitement as a result of sexual impulse. Likewise, Schenker notes that it is not objectivity which benefits music with the much desired beauty of coherence, but rather an underlying impulse of creativity and breeding warmth provided by the love that procreates (Figure 4.1).

Figure 4.1. Comparison of Freudian and Schenkerian Terminology.

<table>
<thead>
<tr>
<th>Freud</th>
<th>Schenker</th>
</tr>
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<tbody>
<tr>
<td>“sexual love” (geschlechtliche Liebe)</td>
<td>“living love” (lebendige Liebe)</td>
</tr>
<tr>
<td>“pattern for our quest for happiness”</td>
<td>“linear progressions and coherence” (Züge und Zusammenhang)</td>
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<tr>
<td>(das Vorbild für unser Glücksstreben)</td>
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</tr>
<tr>
<td>“most potent experience of overwhelming pleasure”</td>
<td>“creativity and breeding warmth” (Schöpfer – nach Brutwärme)</td>
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<tr>
<td>(die stärkste Erfahrung einer überwältigenden Lustempfindung)</td>
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Oster’s edits of the passage above disguises an important connection with Freud. The passage from Appendix G immediately precedes the following section in Schenker’s original text. This passage, which begins the section of text which Oster included, connects the thinking of Freud and Schenker even more closely.
Musical coherence can be achieved only through the fundamental structure in the background and its transformations in the middleground and foreground.

It should have been evident long ago that the same principle applies both to a musical organism and to the human body: it grows outward from within. Therefore it would be fruitless as well as incorrect to attempt to draw conclusions about the organism from its epidermis.

The hands, legs, and ears of the human body do not begin to grow after birth; they are present at the time of birth. Similarly, in a composition, a limb which was not somehow born with the middle and background cannot grow to be a diminution. Hugo von Hofmannsthal has found ingenious words for this: “One must conceal the depths. Where? On the surface.” And: “No part of the surface of a figure can be formed except from the innermost core outward.”

Thus, in the foreground, coherence lies behind the tones, as, in speech, the coherence of thought lies behind the words. Consequently, one can understand that the layman is unable to hear such coherence in music; but this unfortunate situation obtains also at higher levels, among musicians of talent. Even they have not yet learned to hear true coherent relationships. Since most people today lack coherence themselves, they are quite unable to bear the tension of musical coherence.62

In this continuation of the quote from Appendix G, Schenker himself highlights several congruencies between his theory and Freud’s. Here, Schenker defines coherence as

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“Der musikalische Zusammenhang ist aber nur zu erreichen durch einen Ursatz im Hintergrund und dessen Verwandlungen im Mittelgrund und Vordergrund.

Schon längst hätte die einfaschste Erwägung zur Erkenntnis führen müssen, daß auch bei einem musikalischen Organismus zutrifft, was vom menschlichen Körper gilt: sein Aufbau geht von innen nach außen. Nicht nur verkehrt sondern vergeblich wäre deshalb, wenn z.B. schon aus der Epidermis auf das Organische geschlossen würde; mit dem Kleinsten im Außen darf die Betrachtung von Organismen nicht begonnen werden.


Also steckt jeglicher Zusammenhang im Vordergrund gleichsam hinter den Tönen wie in der Sprache hinter den Worten. Daß Laien aus ebendiesem Gründe solche Zusammenhänge in der Musik nicht hören können, ist begreiflich, aber auch unter Musikern mit Talent wiederholt sich auf höherer Ebene die selbe trübe Erscheinung: auch sie haben die wahren Zusammenhänge zu hören noch nicht gelernt.” Der freie Satz (1935), 20-21.
occurring across multiple structural levels and not just at the surface. Using biological references also common in Freud’s writing, he ties a true understanding of musical coherence to an understanding of the origins of musical coherence at deeper levels. In order to understand the true meaning of a musical composition, one must understand the deep unconscious origins beneath the musical surface. This is precisely Freud’s objective in describing the true meaning of dreams, for example, the origin of which lies deep within a person’s unconscious. In this passage, Schenker even connects an understanding of musical coherence to a person’s own individual coherent psychic construction. “Since most people today lack coherence themselves, they are quite unable to bear the tension of musical coherence.” When referencing an individual’s own coherence, Schenker obviously means his/her psychical coherence. If a person is not psychically balanced, their ability to perceive such a balance in a musical composition is severely compromised, just as for Freud, their ability to interact with civilized society would likewise be severely compromised.

In the last section of “Die Wege zum Glück,” Freud summarizes his thoughts on the path to happiness. Freud settles on the pessimistic conclusion that ultimately “the programme for attaining happiness…cannot be fully realized;” but he does not completely give up hope stating that “we must not…abandon our efforts to bring its realization somehow closer.” He adds that his methods allow for an attainable, “reduced sense” of happiness. The final portion of “Die Wege zum Glück” that Schenker highlights in his clipping from Neue Freie Presse contains a critique of some
of the paths to happiness, in particular religion which Freud sees as a delusion created by the psyche to escape suffering imposed by the external world.

Freud describes the danger found when any individual utilizes, as an exclusive agent, a single way to happiness. “Just as the prudent merchant avoids tying up all his capital in one place, so worldly wisdom will perhaps advise us not to expect all our satisfaction to come from one endeavour.” According to Freud, the trouble with religion as a way to happiness is that it excludes other methods and attempts to force individuals into a single way of thinking that may or may not fit with their genetic predisposition toward happiness. “Religion interferes with this play of selection and adaptation by forcing on everyone indiscriminately its own path to the attainment of happiness and protection from suffering.” The passage from “Die Wege zum Glück” continues with Schenker’s underline:

Its [religion’s] technique consists in reducing the value of life and distorting the picture of the real world by means of delusion, and this presupposes the intimidation of the intelligence. At this price, by forcibly fixing human beings in a state of psychical infantilism and drawing them into a mass delusion, religion succeeds in saving many of them from individual neurosis. But it hardly does any more.

65 Ibid., 21. “Wie der vorsichtige Kaufmann es vermeidet, sein ganzes Kapital an einer Stelle festzulegen, so wird vielleicht auch die Lebensweisheit raten, nicht all Befriedigung von einer einzigen Strebung zu erwarten.” Das Unbehagen in der Kultur, 50
It is curious that Schenker chose this final passage to mark in “Die Wege zum Glück.” At first glance, Freud’s critique of religion seems antagonistic toward Schenker’s own views of religion, namely his Jewish heritage highlighted by quotes of scripture throughout Schenker’s writing. However, Freud’s critique of religion is quite parallel to Schenker’s views on current music theory practices. “Only living love composes, makes possible linear progressions and coherence—not metaphysics, so often invoked in the present time, or the much touted “objectivity”; these, in particular, have neither creativity nor breeding warmth.” Schenker appealed to look beneath the surface of a musical composition to find its true source of coherence. He followed Freud in seeing some of their contemporary diagnostic apparatuses as “forcibly fixing them in a state of psychical infantilism and…drawing them into a mass-delusion.” For Schenker and Freud, there was a need to find in their respective analytical objects a source of causation within the individual psyche and music composition itself.

It is obvious from the above discussion that Schenker was aware of Freud’s work, and that he read at least one of his papers. It seems that not only are there ideological similarities, namely many of the constructs of organicism, between the theories of these two intellectuals which are highlighted by Schenker’s underlining, but a close examination of “Die Wege zum Glück” in comparison to Schenker’s writings reveals that it is possible Schenker had portions of Freud’s work in mind when he wrote his seminal work, Der freie Satz. “Die Wege zum Glück” strengthens the connections

68 For more on Schenker’s Jewish heritage see Nicholas Cook, The Schenker Project (Oxford: Oxford University Press, 2007).
made in this dissertation between Freud and Schenker, but it also establishes a potential direct path of influence from Freud to Schenker.
Figure 4.2. Freud’s “*Die Wege zum Glück*” from *Neue Freue Presse*, January 1, 1930
Lincoln's letzte Tage

9. Januar 1865

(Seite 134 der "Novo Prata Prosa"


Die Mörder der Freiheit, an denen sich die Leute erinnern, sind noch immer nicht gefunden worden. Die Wahrheit über den Mord an Lincoln ist noch immer unklar.

Phasenveränderung

Wenn die Leute denken, dass die Politik verlässt und der Krieg der Union ist, dann ist es wichtig, dass die Leute die Wahrheit über den Mord an Lincoln erinnern, das die Union unter Sprache bringt.

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Figure 4.3. Freud’s “Die Wege zum Glück” from Neue Freie Presse, January 5, 1930
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