Schenker’s Elucidations on Unfolding Compound Voices
from *Der Tonwille* 6 (1923) to *Der freie Satz* (1935)

By: Rodney Garrison, PhD
(SUNY Fredonia)
In example A.7 (b), Cadwallader and Gagné acknowledge and clearly label a four-pitch symbol as “unfolding.” This unidentified musical graph is from p. 394 of *Analysis of Tonal Music: A Schenkerian Approach*, 3rd ed., New York: Oxford University Press, 2011.

![Unfolding symbol](image)

The two-pitch unfolding/*Ausfaltung* symbol:
The five German word groups representing all “unfolding,” as well as their first publication:

1) **Entfaltung/entfalten** (first appeared in *Harmonielehre* (1906))
2) **Aufrollung/Aufrollen/aufrollen** (first appeared in *Erläuterungsausgabe*, Opus 110 (1914))
3) **Auswick(e)lung/auswickeln** (first appeared in *Erläuterungsausgabe*, Opus 110 (1914))
4) **Abrollung/Abrollen/abrollen** (first appeared in *Erläuterungsausgabe*, Opus 111 (1915))
5) **Ausfaltung/ausfalten** (first appeared in *Der Tonwille* 8/9 (1924))

The five graphic strategies representing two-pitch unfoldings, their stages, and first publication:

Stage 1) **Slur** *(Der Tonwille* 8/9 (1924)) {the word “Ausfaltung” is introduced}
Stage 2) **Dotted slur** *(Der Tonwille* 10 (1924))
Stage 3) **Vertical bracket** *(Das Meisterwerk in der Musik* 2 (1926))
Stage 4) **Beam** *(only two Ausfaltungen in Das Meisterwerk in der Musik* 3 (1930))

*Ausfaltung/saw-tooth* *(Das Meisterwerk in der Musik* 3 (1930))

The two-pitch unfolding/*Ausfaltung* symbol:
Relevant information from “The Renaissance of an Old Notation: Schenker’s Ausfaltung Symbol” (2014)

Over 90% of Ausfaltungen represent the prolongation of one harmony.

Motions Represented by Two-Pitch Ausfaltung Symbols:

<table>
<thead>
<tr>
<th>Represented Motion</th>
<th>Consonant Skip/Leap</th>
<th>Stepwise &amp; -1 Step</th>
<th>Arpeggiation</th>
<th>Simultaneity (MW3)</th>
<th>2 Harmonies (5UT/DfS)</th>
<th>Zug</th>
</tr>
</thead>
<tbody>
<tr>
<td>Counts</td>
<td>222/436</td>
<td>101/436</td>
<td>70/436</td>
<td>7/436</td>
<td>30/436</td>
<td>6/436</td>
</tr>
<tr>
<td>Percentages</td>
<td>50.9%</td>
<td>23.2%</td>
<td>16%</td>
<td>1.6%</td>
<td>6.9%</td>
<td>1.4%</td>
</tr>
</tbody>
</table>

*Totals without the 26 debatable Ausfaltung Symbols:

| *Counts            | 216/410             | 100/410            | 66/410       | 7/410             | 19/410                | 2/410|
| *Percentages       | 52.7%               | 24.4%              | 16.1%        | 1.7%              | 4.6%                  | 0.5%|

MW3- Das Meisterwerk in der Music 3 (1930)
5UT- Fünf Urlinie-Tafeln (1933)
DfS- Der Freie Satz (1935)

The two-pitch unfolding/Ausfaltung symbol:
Stage 1: From Der Tonwille 6 (1923) until Das Meisterwerk in der Musik 1 (1925), a combination of solid and dotted slurs are used to graph four-pitch unfoldings representing compound voices:

Fig. 7 and Schenker quote on p. 13 of “Beethoven’s Fifth Symphony (Conclusion)” in Der Tonwille 6
~ William Drabkin translates “Aufrollen” as “unfurling.”

“The continuation of the theme beyond the motive of a fifth is the result of a very common unfurling of the two semitone steps in the diatonic scale, which appear initially in succession, in bars 141-42 and 143-44” (of the third movement):

Beethoven’s Fifth Symphony, 3rd mvmt., edited by Max Unger ca. 1935:
**Stage 2:** In *Das Meisterwerk in der Musik* 1 (1925) and 2 (1926), dotted slurs remain, while horizontal brackets either replace solid slurs, or, as in this example, they are seen together:

Figure 16 c) and d) on p. 91 and Schenker quote on p. 92 of “Mozart’s Symphony in G Minor, K. 550” in *The Masterwork in Music* 2. Fig. 16 c) and d) represent the opening measures of the fourth movement.

~ William Drabkin translates “Ausfaltung” as “unfolding.”

“In Fig. 16d one can see the diminution governed by the reaching-over progressions: two notes in the upper row are followed by two in the lower. This is shown by the [pattern of] square brackets Figs. 16c-d. (Regarding this type of unfolding, see ‘Elucidations’, Fig. 8, and numerous illustrations in the works discussed in *Tonwille* and volumes I-II of this yearbook.) In the Mozart symphony under discussion, this unfolding is the key to the entire sonata movement; it alone bears the development.”

**Fig. 16 c) and d):**

Mozart, K. 550, 4th mvmt., Breitkopf and Härtel, 1880. Strings, mm. 1-8:
Stage 3: In *Das Meisterwerk in der Musik 3* (1930), *Fünf Urlinie-Tafeln* (1933), and *Der freie Satz* (1935), dotted slurs are replaced with lines, and horizontal brackets are replaced with beams:

Foreground Graph on p. 91 and Schenker quote on p. 35 of “Beethoven’s Third Symphony: Its True Content Described for the First Time” in *The Masterwork in Music 3* represent mm. 9-16 of the second movement.

~ Derrick Puffett and Alfred Clayton translate “Auszaltung” as “unfolding.”

“Bars 9-16… The bass unfolding eliminates the consecutive fifths C5 – B♭5.”

Forefront Graph (Key signature of three flats):

Beethoven’s Third Symphony, 2nd mvmt., edited by Max Unger ca. 1935
Cello & Bass, mm. 9-18:
# Motions Represented by Dotted Slur & Line/Slur in Four-Pitch Ausfaltung Symbols:

<table>
<thead>
<tr>
<th>Represented Motion</th>
<th>Consonant Skip/Leap</th>
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<th>Arpeggiation</th>
<th>Motion Not Known</th>
<th>Zug</th>
</tr>
</thead>
<tbody>
<tr>
<td>Counts</td>
<td>52/114</td>
<td>32/114</td>
<td>9/114</td>
<td>15/114</td>
<td>6/114</td>
</tr>
<tr>
<td>Percentages</td>
<td>45.6%</td>
<td>28.1%</td>
<td>7.9%</td>
<td>13.1%</td>
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*Totals without the 15 “Motion Not Known” harmonies:

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# Motions Represented by Two-Pitch Ausfaltung Symbols:

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*MW3*- *Das Meisterwerk in der Music 3* (1930)
*5UT*- *Fünf Urlinie-Tafeln* (1933)
*DfS*- *Der Freie Satz* (1935)
“Other types of unfolding include conversion of a chromatic step into a diatonic progression \([\text{diatonischen Gang}]\) (Fig. 8a), or transformation of a vertical situation into a horizontal one (Fig. 8b)”:\(^1\)

\(^1\)In one of his personal copies of *Tonwille* 10 (OC Books and Pamphlets No. 16, Schenker penciled a further illustration of how \(b^1\) to \(c^1\) may be unfolded, namely, as the succession \(b^1-f^1\) plus \(e^1-c^2\).

~ Unfolding as “Ausfaltung,” each time, translated by Ernst Oster:

“§ 140. The nature of the unfolding/ An unfolding occurs in the following situations: Fig. 43

2. when in a succession of several chords a similar connection from the upper to the inner voice takes place (b to f).”
Fig. 44: Slide 200 of “Reel 7: File 20: Draft Materials for Der freie Satz” from the Oster Collection is an earlier version of what becomes Der freie Satz Fig. 43 b) and c)

Fig. 43 b) and c) from Der freie Satz
§ 234. Examples
Examples of unfoldings at the later levels, with references to the schematically presented forms in Fig. 43, are given in Fig. 103.
Ex. 1: Compare Fig. 43, b1 and also Fig. 76, 2.
Foreground Graph on p. 91 and Schenker quote on p. 34 of “Beethoven’s Third Symphony: Its True Content Described for the First Time” in *The Masterwork in Music* 3. The Foreground graph represents mm. 1-8 of the second movement.

~ Derrick Puffett and Alfred Clayton translate “Ausfaltung” as “unfolding.”

“Let us consider the Foreground Graph for the second movement.

**Bars 1-8** The third progression c1-♭e1 in bars 1-7 is supported by an unfolding in the bass. This unfolding also encompasses the neighbor note to the tonic: C-B-C.”

Beethoven’s Third Symphony, 2nd mvmt, edited by Max Unger, ca. 1935. Strings solo, mm. 1-8: