Fantasy, I suppose, as Croce said of art, is what everyone knows it to be.¹ And, as every musician knows, as a designation for a musical composition, the word fantasy suggests improvisation. It cannot indicate a specific formal design, because the word (which almost by definition resists being defined) has been used in so many senses, for so many different compositions, by different composers of different periods—and no single definition can be sought.

But, in general, the idea would be that improvisation would take precedence over any particular formal pattern. The compositional purpose might be to contrast the free with the strict style—even within the same composition, such as a fantasy and fugue, or indeed, development and exposition sections of certain sonata movements. The free style would suggest a kind of continuous transformation or development, as if improvising.

Indeed, for the classical composers, the term fantasy often denotes a work of improvisatory character, as if without clear direction, in which the composer seemingly loses his way, goes astray, and returns to the crossroads, so to speak, to try again. This procedure may be expressed through a kind of motto, or middleground motive, which, restated and transformed, is the carrier of the musical dénouement. In this type of fantasy, then, it is that

¹The present article is a revised version of a paper read at the Canadian Music Theory Conference, University of Alberta, Edmonton, Canada, March 19, 1988.
simple, poetic or programmatic idea which underlies the musical continuity, not a specific formal design.

A source for consideration of the fantasy may be Schenker's *Meisterwerk* Vol. I study of a D-major Fantasy by C. P. E. Bach. But Schenker's edition of J. S. Bach's *Chromatic Fantasy and Fugue* (1909) did not yet present the analytical approach he was to achieve only later; and *Der freie Satz*, in the section on form, does not deal with the fantasy at all. The following remarks are offered, therefore, as a contribution to a perhaps less studied aspect of Schenker's approach: I shall take up four well-known classical works to consider the type of fantasy mentioned, in which the composer pretends to lose his way, goes back, and finally finds it.²

**Mozart, Fantasy in d minor, K. 397 (1782)**

A specific starting point might be the brief commentary by Oswald Jonas in his *Introduction to the Theory of Heinrich Schenker*. Example 1³ shows the motto, or middleground motive, which, as Jonas mentions, runs through the work.

The character of the opening Andante, Ex. 2, with the foreground changes of direction and the unemphasized, tentative presentation of the top-line notes, suggests preludizing, improvising,

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²Certain of my sketches to this work (in particular Exx. 8 and 9) derive—although at this distance in time it is difficult to say just to what extent—from readings of my teacher, the late Ernst Oster, whose insights and inspiration I most gratefully acknowledge.

³Examples are labeled throughout by circled numbers. The first page of sketches, then, contains Examples 1 through 7. [Ed.]
looking for something. The e\(^{b1}\) (m. 8) appears as a "wrong" note, "corrected" to e-natural at the arrival of V (m. 9), the "correction" expressed in the arpeggio figure (Ex. 3) which, by returning to the initial improvisatory figure and reaching up to a new register, hints at a desire for a fresh start.

Mozart might have proceeded somehow as in Ex. 4 (the 3rd f\(^1\) - d\(^1\) in m. 1 giving rise to the 3rds marked in Ex. 4), and a complete, mechanical restatement of the middleground motive could have ensued. (Ex. 5 clarifies the underlying reaching-over.) But, as in Ex. 6, he instead adds the neighbor-note figure to the 3rds, so that now the bracketed figure is itself a free diminution of the middleground motive. This added neighbor note (with its restatement in m. 17) brings about the enlargement (mm. 16-19), and as a result there is no time, within the rhythmic framework, to complete the middleground motive, as shown in Ex. 6. And now, as if looking for the missing notes, the music seems to wander off, to go astray, what with seemingly new foreground motives, pauses, figures which emerge only to break off, a "false" reference in m. 31 to m. 12, the break in m. 34 . . . But in reality, underlying this improvising is the arpeggio figure of Exx. 3 and 7. That this figure itself goes "wrong" on the high e\(^{b3}\) (m. 34; see Ex. 8), again composes the programmatic intent.

Example 9 shows how the missing notes d\(^2\) - c\(^{#2}\) have been composed after all--in an astonishing manner, the more beautiful for being concealed--for these due notes constitute the upper voice of this seemingly wandering section; and m. 44 implies a quick summing-up of this top line.
After this improvisatory section—fantasy-like, in terms of our specific interpretation of that word—Mozart returns to the Adagio of before (Ex. 10), going back to an earlier point in order to search anew for the right path. Programmatically, the $e_{natur}^3 - g^2$ of m. 51 is "wrong," for it is the $e^b_2$ (m. 52: sudden forte) which re-finds the opening way. But this is still not the "right" continuation: the dynamic and foreground changes (mm. 52 ff.) indeed suggest changes of mind.

Then, suddenly, dramatically, the way is found (Ex. 12). The transformed motto appears as the top voice (Ex. 11), and one could say that Mozart celebrates finding the "correct" realization from all sides: the quicker pace, the major mode, the treble register, the dolce, the transformation of the initial arpeggio figuration (Ex. 13), its continuation in parallelisms (bracketed in Ex. 12), the transformation of the 3rds (as at mm. 45, 47, 49-55, 56, 57). All of these aspects are emblematic of a rejoicing in now having achieved the right continuation after the seemingly wayward searching earlier; m. 65 celebrates the "corrected" version of m. 53, m. 68 that of m. 51, and the "false" $e^b_2$ is firmly set right. From this point, the searching is over, and after a short coda so is the piece.

Bach, Fantasy in g minor (organ), BWV 542 (1717-23)

The two most obvious difficulties in reading the voice-leading of this Fantasy (probably historically not paired with the Fugue) have to do with the registral shifts, as in the toccata-like opening, and the deliberate, seemingly bizarre chromaticism, as in
mm. 21 ff.--the former also entailing elisions whereby due notes must be understood in different registers. Indeed, these very difficulties are salient features of the piece altogether: the opening registral changes bring about the improvisatory character right from the start.

Example 14 (condensed in Ex. 15) shows the rising 3rd $g^2-a^2$ drawn out through the opening improvising bars, possibly hinted at in a "tenor" voice (mm. 4-6), and replying to its inversion, $g^2-b^1$ (mm. 1-6). This rising 3rd is answered quickly in mm. 8-9: $a^2-g^2-f#^2$ (marked NB). Conceivably, after this descending 3rd Bach could simply have closed on a I, and the piece (perhaps a prelude) would have been over: except that in this case the 3rd $a^2-f#^2$ might have been too hasty, and to satisfy rhythmic balance would have required some kind of extension. Even to continue, one could suppose that some rhythmic compensation for the curtailment of this 3rd would be necessary: which is why Bach first does try extending it to become a 5th, $a^2-d^2$, as if to complete the line and close on the V at m. 15 (see Exx. 16-17). (In Ex. 16 a concealed inner voice $a^1-f^#^1$ would support this.) But an expected V is not reached: rather, it is evaded at m. 15 (Ex. 18), the bass $B$-natural (really an inner voice) becoming the 6 of a 5-6 succession over the real bass D. From a poetic viewpoint, mm. 9-15 (which had arisen out of a need for rhythmic extension) have now become an improvisation, in the sense that the 3rd has gone too far, and in place of the due V at m. 15 there was a "false" step, a composed change of mind, beautifully underlined by the bass’s $B^b$ (m. 14) changing itself to $A^#$. 
In mm. 15-20 Bach once again improvises on the 3rd $a^2$-$f^\#2$: he goes back to the $a^2$ in m. 8 (Ex. 18) and tries to compose it again. The bass $A^\#$ just mentioned leads to the B-natural to support a top voice chromatic passing tone, $a^{b2}$, which passes over the $g^2$, mm. 16-17 (continuing the 5th $a^2$-$d^2$ as $g^2$-$c^2$), to $f^\#2$. He has recomposed the 3rd $a^2$-$f^\#2$, but in a much more hidden and complex manner. The inner-voice 3rd $a^1$-$f^\#1$ (mm. 18-20) sums up the motion. Exx. 19-20 illustrate the basic progression.

As mentioned, mm. 21 ff. are problematic, for one might indeed ask how the foreground's seemingly bizarre welter of sonorities can be reconciled within the piece: that is, beyond the voice-leading technicalities, what was the compositional intent? If one did not trust the composer, one might wonder if he had not lost control and were drifting about aimlessly. Exx. 21-22 show the $a^{b2}$ (m. 22) technically as a chromatic passing tone (supported by a bass $A^b$, the 8-7-8 eliminating parallel octaves). But it was this very $a^{b2}$ which just before, in m. 15, had elaborated and enriched the 3rd $a^2$-$f^\#2$ of mm. 8-20. Now, in mm. 22-31, Bach improvises further on that $a^{b2}$: it is given greater independence and emphasis, and two foreground 3rds, $a^{b2}$-$g^{b2}$-$f^2$ (mm. 22-23) and $a^{b2}$-$g^2$-$f^\#2$ (mm. 22-24), melodic diminutions of the motivic $a^2$-$f^\#2$, extend this $a^{b2}$ as if trying for the real motivic 3rd. The $g^2$ following (m. 25) is also drawn out in a complex manner, hinting at but going beyond the 3rds and the 5th $g^2$-$c^2$ of mm. 16-17, before proceeding to $f^\#1$ (m. 31).

A wonderful idea behind this Fantasy, then, has to do with recomposing the 3rd $a^2$-$f^\#2$ throughout: this 3rd, which at first had been merely an unassuming answer to the initial ascent, has become the guiding middleground motive. The simplicity of the underlying
compositional plan—the fantasy-idea of going astray in ever
widening, more complicated expressions of this motive—vis-à-vis the
actual complexity of its execution, is surely remarkable.

The next and last attempt is sketched in Exx. 23-24. Starting
yet again from the a\(^2\) of m. 8, Bach once more sets about to
compose the same 3rd. In the programmatic sense of the fantasy,
bars 31-39 represent the farthest point off the track, and therefore
the music starts to find its way back, as with the linear references to
mm. 21 ff., and the enharmonic revaluings of e\(^\#\) = f-natural (m. 38,
the remote sharps being converted to the home flats), and g\(^\#2\) =
a\(^b2\) (the characteristic chromatic passing tone as before). Clarifying
the programmatic aspect, the figuration of mm. 41-43 is like that of
the opening; and there is even a reminder of the initial b\(^b2\) primary
tone (m. 42, but in the guise of a neighbor note), and then the long-
delayed tonic finally has been attained. The toccata-like flourishes
(mm. 14, 20, 24) had each time signalled a new attempt or start of
the a\(^2\)-g\(^2\)-f\(^\#2\) motive. Ex. 25 presents this final statement in a
middleground sketch.

The coda (Exx. 26-27) presents the 3rd c\(^2\)-b\(^b1\)-a\(^1\) to round
off and conclude the motivic a\(^2\)-g\(^2\)-f\(^\#2\). To assert the cadence by
repetition, the bass freely restates what had just been done in mm.
39-43. There is another beautiful reminder: the a\(^b1\) reappears,
giving rise to the 6/4-chord in m. 45, a last reminiscence of its
former role as passing tone within the motivic 3rd, now hidden and
disappearing within an inner voice.
Mozart, Fantasy in C, K. 394 (1782)

The first eight bars (Ex. 28) comprise an entity which in itself might constitute an introduction to a movement. As a compositional idea would have it, however, the opening section becomes a model which the rest of the piece strives to emulate. In a broad sense, this opening Adagio having expressed a I - V motion, the Fantasy as a whole not only tries to restate the same progression, but (as in the works mentioned so far) gives the illusion of going astray many times before finally attaining this goal. Also, in a more particular sense, while pursuing the harmonic aim, subsequent sections hark back to motivic features of the Adagio, enlarging and improvising upon seemingly unassuming details--buds of a later efflorescence.

Two of these small motivic features may be noted right away. One is the $a^2g^2$ neighbor-note figure; this is marked not only by the dynamics, but by both notes being introduced chromatically: the $a^2$ by $b^b$, and the $g^2$ by the diminished-7th sonority (which is subtly revalued in m. 6: see asterisks in Ex. 28). Thereafter the two-note figure is restated parenthetically in m. 5 (parenthetically, as the top line voice-leading could technically have ignored this insertion), thereby not only joining the two four-bar phrases (see the voice-exchange), providing a rhythmically necessary measure to form another four-bar group, but especially giving the $a^2g^2$ figure new meaning by continuing it as the line shown in Ex. 29. Thus the neighbor-note figure $a^2g^2$ itself has given rise to the 7-6 suspensions in m. 5, and to the motivic feature $a^2c^2$ (Ex. 29). (The last few notes of Ex. 29 are then summed up at the end of m. 6.)
Another motivic component is the opening arpeggio figure, Ex. 30 (which of course reappears in mm. 5-6, and the right hand of m. 7). The interpolated bar 5, it may be noted, also sets the stage for the fantasy-like interpolations to come.

Ex. 31: Bar 9 must be read as picking up from the opening I; Mozart is reaching for the V, but in a different manner from Ex. 28. Perhaps referring to the a\textsuperscript{2} neighbor note of m. 2, the A bass (m. 15) gives rise to an attempted I-VI-\#IV\textsubscript{b7}-V progression (Ex. 31). But a close on V is evaded.

Supporting reading m. 9 as a continuation of m. 1 (Ex. 31) is the returning arpeggio figure at m. 9; the bracketed descending lines at m. 15 (Ex. 31) also indicate how the Andante section picks up the a\textsuperscript{2}-g\textsuperscript{2} figure from before (Ex. 29), and even how the foreground in m. 10, left hand, is a version of this. Supporting reading the opening I going on to VI (m. 15), as in Ex. 31, is the modified reappearance of the arpeggio figure at m. 15 as well. (Ex. 32 suggests an inner voice, mm. 15-20, a\textsuperscript{1}-g\textsuperscript{1}-(f\textsuperscript{#1}) trying to recompose what the top voice had done in mm. 5-7.

But instead of a due V in m. 21, Mozart goes off course, to a B\textsuperscript{b}-chord (Exx. 33-34), and the pretence is the fantasy element. The foreground change of direction at m. 21 (the now rising line, itself a transformation of the arpeggio figure which also makes the octaves in m. 23 organic) marks this point where the "wrong" road is taken.

At m. 34, Mozart has come full circle back to the beginning of the passage which went wrong (see NB, mm. 9 and 34), as if ready to pick up from the crossroads and try again. Even the arpeggio figure returns, linking mm. 9 and 34.
At m. 28 (Exx. 33-34), he might perhaps have reached the V, but again evades this goal. (A neighbor-note figure, d^3-e_b^3-d^3, in m. 28 harks back to the d^1-e_b^1-d^1 of m. 21, Ex. 33, clarifying that m. 28 is not an independent point of arrival, but rather connected to m. 21, the 6 of a 5-6 succession over B^b; the e_b^1-d^1 in mm. 33-34 again supports reading an extended B^b bass.)

Ex. 35 shows how Mozart might have achieved the V in m. 34: the circled notes indicate the diatonic forms of the chromatic version of Ex. 34. This wilful chromaticism palpably depicts the sense of going further and further astray: for example, the d^b in m. 31--a false step, overstepping the mark.

The course of the Fantasy up to m. 34 is summarized in Exx. 36-38. As m. 34 returns to m. 9 (see NB, Ex. 36) and m. 9 picks up from m. 1, we must read m. 34 (g^2/A) as if coming from and connected to the initial g^2/C. If at mm. 34-35 Mozart were reaching back to make a fresh attempt from the earlier point, now (mm. 35-40), programmatically, he is actually the farthest off the track, what with the meter change at m. 35, chromatic alterations, the parallel diminished-7th chords and attendant elisions. A "V" hinted at in m. 38, in a rhythmically indecisive manner, is merely a false arrival, for the emphasis is on the III# which follows. (Throughout this, we note--above Ex. 36--the transformed descending figure from the opening a^2 neighbor note, Ex. 29; a concealed guiding line.)

But why the emphasis, and cadenza, on III#? Surely the latter "means" that the improvisations have gone on long enough, that after the complexities of mm. 35-40, the real direction must now be presented without further ado. (Mozart perhaps implies as much by writing primo tempo at m. 47.)
As for the III#, one might suppose that because of the foreground motivic association of m. 47 with m. 28, Mozart were continuing at m. 47 from where he had left off to change direction earlier at m. 28. Clearly, as V of the a-minor chord of m. 48, m. 47 and with it all the previous III# (mm. 40-46) must be revalued to mean an extended V/VI. However, m. 47 really refers to the point as far back as m. 14, of which it is a transformation. And in a poetical if not a voice-leading sense, Mozart returns to where he had been in mm. 13-15 (Exx. 31 and 33), with m. 48 now associating with m. 15. Indeed, it is just the emphasis on III# (=V/VI) which decisively marks m. 48 (VI) as a point of arrival on the largest scale, after all the fantasy-like peregrinations, as if these were poetical interpolations, as if the music might somehow have skipped from m. 15 to m. 48.

Now, finally, the real descent of the top line occurs, as an (understood) i2 in m. 52 technically can be read as picking up the initial g2. The i2 is not strongly marked, as if even now, after the fantasy diversions, a strict way of closing the line would have been out of character. The arpeggio figure of m. 1 supports associating these points.

The suspensions of mm. 52 ff. hint at those of m. 5; the chromatic alterations here are a coda-like reminder of what had been done earlier (mm. 28 ff.), except that now mm. 52-56 express the "correct" sonorities as opposed to the "wrong" ones (cf. Exx. 34-35) of mm. 28-33. The descending figure (cf. Ex. 29) is variously worked in and finally "completed," as shown (Ex. 39). Even the diminished-7th chord of the opening reappears (m. 56, but with the dissonant e♭2 prepared as a consonance in m. 54), clinching the
long-awaited V by tying it in with the same procedure as in the opening section. (The asterisk at m. 46, Ex. 40, refers to the same diminished-7th sound applied to the III#, heightening its new purpose in m. 56.)

Ex. 41-42 briefly sum up the whole Fantasy. The numbers 1-5 below Ex. 41 refer to the points of association--one might say points of digression--where the remarkable fantasy-like poetic references so to speak disappeared and reappeared.

**Beethoven, Fantasy, Op. 77 (1809)**

Ex. 43 provides an overall view of this work, and indicates certain presentations of the three main motivic components: the opening scale-figure, the rising 3rd, and (Ex. 44) the g-f(♯) figure. The brusque, whimsical character of the scale-figure, partly because its harmonic basis is to be inferred, expresses looking for something, feeling its way; so too, the g-f figure, of indefinite character for being concealed (Ex. 44), only gradually emerges as having motivic significance, thus programmatically also suggesting looking for its way.

Another aspect having to do with the same compositional idea of searching, concerns the e♭(2) (asterisk in Ex. 43). In the first part of the piece, which, in a poetic sense, is like a long upbeat reaching for the B-major arrival (the real key of the piece), the e♭(2) at the opening and cadential junctures marked, is always a characteristic dissonance, and as such, looks for its resolution. But each time, the resolution (see the asterisked spots in Ex. 43: mm. 1-
2, 14-15, 37-39, 78-79) in a programmatic sense, is rejected, and the search continues. After a further delay (mm. 79-156: compare to the cadenza on III# in the Mozart), the e\textsubscript{b2} is suddenly revalued to become d\textsuperscript{#}, no longer a dissonance but the characteristic note of the major triad, and therefore its only possibly consonant realization: the actual primary tone 3 of the piece—and the true color and meaning of the e\textsubscript{b2} has been found!

There can be space, however, for only a few comments on this work, so rich in detail.

Ex. 45: Beethoven might have proceeded as shown. That is, he starts as if intending to go from I to V in g minor (via a passing VII and VI)—but that is not the right goal, as we know already. (In Ex. 45, getting to V would have been a matter of somehow continuing the initial pattern.)

So, as in Ex. 46, he tries a new way of continuing, still aiming for V. The f-minor chord at m. 4 is revalued and altered to become V/III, in order to get to V by a different route, I-III-V. (Each degree is introduced by the e\textsubscript{b2}, mentioned above. The scale flourishes are like pauses to think, along the way.) The bass leads the progression: the upper voice follows along in the parallel 10ths of the opening g-minor sonority. But V-natural (i.e., not V\textsuperscript{#}) is still the wrong goal.

Then (Ex. 47), Beethoven hits upon a new solution: he takes the idea of the 5-6 succession from mm. 4-6 (Ex. 46), and, picking up the opening g minor again at m. 78, continues the 5-6 successions to the V/B, as shown. The scale-figures in mm. 9 and 78 associate these points. (That B major must be the goal was explained earlier, in connection with the e\textsubscript{b2}/d\textsuperscript{#2} realization.) The
top 5th $b^{b1} - f^2$ (Ex. 47) thereby becomes the diminished 5th $b^{b1}(a^{#1}) - e^2$; and the $b^{b1}$ which had seemed like an initial primary tone is shown to be really an inner voice. This change in reading lends a particularly vivid color to the real top voice $d#2$ (m. 159), as if like a brightening shaft of light, the concealed were revealed. (The inner voice $b^{b1}/a^{#1}$ of course goes to $b$-natural in m. 157.) Similarly, the initial $G$ changes perspective, for if it had seemed to be a I, it must now indeed be read as a broadly composed neighbor note to the $F#$, m. 88, of the real tonic, $B$.

Other features as well illuminate the arrival of the "found" $B$ major. Returning again to the main motivic components in their process of becoming, Ex. 48b suggests how the scale-figure (Ex. 48a) has been transformed and realized at this point. The descending g-f figure, originally the insignificant tail-end of the opening scale-figure, besides the transformations and manifold applications noted in Ex. 44, now suddenly changes direction, becoming the rising inner voice (Ex. 48c). The 3rds, which on a middleground level had come about as a result of following the bass in 10ths (Ex. 48d), had become motivic on the foreground level as well (Exx. 46-47). As if improvising, Beethoven had tried them out in mm. 15 ff., again in mm. 39 ff., then in (middleground) enlargement in the bass (mm. 1-84; Ex. 47), the "wrong" register, before finally letting the 3rd blossom forth in its true expression (Ex. 48c, top and inner voices).

Exx. 49-50 illustrate some of these points in overview. The joy of finally achieving the goal and realizing the "correct" form of these motives, including the already mentioned $e^{b2}$ transformed into $d#2$, is celebrated by the variations; for it is just the variation form which allows of so many restatements, as if again and again to
reiterate and rejoice in the right goal having been attained. The rhythmic acceleration, through faster note values, suggests a more and more joyous expression; and the rhythmic groups, too, are regularized and balanced, and the discontinuities cease.

At m. 219, the natural-II sonority can be explained as in Ex. 49: yet another 5-6 succession, as if taking the previous 5-6's one step further, to assert the final cadence, and to recall once more, coda-like, the route which had been taken. The e3\textsuperscript{3}-d\#3 (mm. 227-28), restating mm. 156-59, is another reminder and summing-up.

To Exx. 51-52, which provide certain further voice-leading details, only a few comments are offered. At m. 6 (Ex. 51) the 3rd (d\textsuperscript{b2}-f\textsuperscript{2}) starts to emerge, as if trying for mm. 12-14. Perhaps the descending inner voice (bracketed) also has to do with the scale-figure. This figure is hinted at in the two-note successions of Ex. 52 (d\textsuperscript{b1}-c\textsuperscript{1}, mm. 78-79; e\textsuperscript{b1}-d\textsuperscript{b1}, mm. 83-84) which then possibly give rise to the complete figure at mm. 94 ff. The "found" motivic 3rd, b\textsuperscript{1}-d\#2 (mm. 157-59), is further heightened and thrown into relief by the 3rd b\textsuperscript{1}-d\textsuperscript{natural2} (mm. 127-39). How marvellously all these details correspond with the overall programmatic idea!

The foregoing numerous examples will have illustrated the simple point which on that account need not be overlooked: the necessity of going beyond voice-leading technicalities to take into account the underlying compositional ideas. If I have considered one type of fantasy, as a specific musical form, it was not to consider the form as composite or pattern of sectionalized expository and contrasting musical discourse. Instead, it is a form of developing restatements, growing out of a simple programmatic, poetic
conception. It is that poetic image which gives rise to the musical shape: the poetic image is an organic part of the composition, and we must give that poetry its due as well.⁴

⁴A concluding portion will consider, in a somewhat similar vein, a twentieth-century Fantasy, and certain other applications of this simple programmatic notion.