

ONLINE CHAPTER 2

CHROMATIC CHORDS FUNCTIONING AS THE PREDOMINANT

Artist in Residence: Jacqueline du Pré



Chapter Objectives

- Demonstrate how the Neapolitan and augmented sixth chords function as predominant
- Notate Neapolitan and augmented sixth chords in various keys
- Recognize Neapolitan and augmented sixth chords in musical context
- Resolve Neapolitan and augmented sixth chords using proper voice-leading

NEAPOLITAN CHORDS

In Chapter 8, we identified the importance of the relationship between tonic, subdominant, and dominant. Many of the progressions we have studied follow this movement throughout the entire composition. Study the progression below and play it several times on your guitar or keyboard.

g: i VI iv V i
G- E \flat C- D G-

Both the tonic and submediant chords function as tonic, followed by the subdominant and the dominant chord leading to the cadence.

As we have seen in previous chapters, the use of chromaticism adds color, tension, and dissonance to a tonal composition. Using the same progression, let's add a few altered pitches to the subdominant chord. Instead of fa-le-do ($\hat{4}$ - $\flat\hat{6}$ -1), how would the sound change if the do was raised and spelled enharmonically as a ra? What quality of chord would be created? Using the same progression above, realize both line 1 and line 2 on your guitar or keyboard.

g: i VI N⁶ V i
G- E \flat A \flat /C D G-

Notice how the A \flat major chord is functioning as a predominant chord, leading to the D. The same principle works in major keys. Play the following progressions, substituting the chord shown for the subdominant harmony.

G: I IV ii V I
G C A- D G

G: I IV N⁶ V I
G C A \flat /C D G

The **Neapolitan Chord** (N or N⁶) is a major chord built on the lowered second scale degree. Functioning as a predominant, the Neapolitan is usually found in first inversion and resolves to the V or a cadential six four pattern. The N is typically used more often within a minor key and is often preceded by a I, IV, or vi chord (i, iv, VI in minor). In writing for four voices, $\hat{4}$ is typically doubled and the $\flat\hat{2}$ moves to the $\hat{7}$ in order to avoid a melodic augmented second. Play through the following progressions on a piano, paying careful attention to the resolution of each N⁶.

F: I IV I IV N⁶ V I

B min: i vii^{°6} i VI N^{°6} Cad₄^{°6} V i

ARTIST IN RESIDENCE

Driven with Intensity: Jacqueline du Pré



Ask any cellist to name the great performers of cello literature and the name Jacqueline du Pré will certainly be at the top of many lists. In a recent review of a du Pré recording, the reviewer states, “No one before or since has played the cello quite like Jacqueline du Pré. The cello sang with a warmth and expressiveness usually achieved only by great vocalists. Not only that: her profound understanding of vast portions of the cello repertory demonstrated a maturity well beyond her tender years.”

Born in 1945 in Oxford, England, Jacqueline began studying cello with her mother at the age of five. Immediately, she was recognized for her raw talent and emotion in her playing. After studying with teachers such as William Pleeth, Paul Toretlier, and Mstislav Rostropovich, du Pré became one of the most sought after classical musicians during the 1960's. Rostropovich went as far as to say that du Pré was the only cellist of the younger generation that could equal and overtake his own achievement. Although she made her formal debut in London at the age of sixteen, it was her performance of the Elgar Cello Concerto in 1962 with the BBC Symphony Orchestra that gained du Pré international recognition.

Study the excerpt taken from Beethoven's Sonata for Piano and Cello No. 3 in A, Mvt. I. In this particular excerpt, the tonal center is C# minor, having modulated from A major. The first few chords are diatonic. At measure 133, there is the sudden use of the D^b. Listen to du Pré's performance several times. Your ears should notice that something is different at this point; however, the transition to the cadential six-four chord brings us back into the tonal center of C# minor. The chord in question is the Neapolitan sixth, a harmony built on the lowered second scale degree, in this case the D major chord.



Beethoven, Sonata for Piano and Cello, No. 3 in A, Mvt. I

The musical score is divided into three systems. The first system (measures 130-132) features the Cello and Piano. The Cello part has a melodic line with slurs over measures 131 and 132. The Piano part has a rhythmic accompaniment. Chords are labeled as C#min: V7 and i. The second system (measures 133-135) includes the Cello and Piano. The Cello part has a melodic line with slurs. The Piano part has a rhythmic accompaniment. Chords are labeled as N6, Cad₄, V7, and i⁶. Dynamics include *cresc.*. The third system (measures 136-139) includes the Cello and Piano. The Cello part has a melodic line with slurs. The Piano part has a rhythmic accompaniment. Chords are labeled as iv. Dynamics include *f*.

In the majority of classical music, the Neapolitan chord tends to resolve to the dominant; however, the movement from the N^6 to the V can be delayed through the introduction of another chromatic chord. Study the excerpt taken from Schumann's Cello Concerto in A minor, Op. 129.

Instead of resolving the N^6 to the V like you would expect, Schumann chooses to introduce a secondary leading tone chord! Talk about an amazing point of dissonance and resolution. The listener may be unsure as to the tonal center until the resolution with the prolonged dominant pedal point.



Video
Track 14:
Schumann,
Cello Concerto
in A Minor

Robert Schumann, Cello Concerto in A minor, Op. 129, Mvt. I

Cello

Piano

Vc.

Pno.

C:

N^6

vii^{o7}/V

Fl.

Ob.

Hör.

Cad_4^6

SONG SPOTLIGHT

The Elgar Cello Concerto

Most performers have their signature piece. For Idina Menzel it is “Defying Gravity” and “Let it Go,” Jimmy Buffet “Margaritaville,” and Etta James “At Last.” For Jacqueline du Pré, her signature performance was that of the Elgar Cello Concerto. Why is that? What is so special about the way that du Pré tackled this complex and difficult composition? For one, du Pré highlights the composer’s use of chromaticism in her own playing, bringing out points of dissonance and relaxing on resolutions. Raymond Ericson, reviewing a 1965 performance of the Elgar for *The Times*, observed that “Miss du Pré and the concerto seemed made for each other, because her playing was so completely imbued with the romantic spirit. Her tone was sizable and beautifully burnished. Her technique was virtually flawless, whether she was playing the sweeping chords that open the concerto, sustaining a ravishing pianissimo tone, or keeping the fast repeated note figures in the scherzo going at an even pace.”



Video
Track 15:
Elgar, Cello
Concerto in
E Minor

After watching du Pré's performance on the YouTube channel, study the score from the fourth movement of the Elgar Cello Concerto. In this particular example, the Neapolitan chord is found in root position. Although rare, the function is exactly the same. What effect does this sudden use of chromaticism have on the overall progression?

Edward Elgar, Cello Concerto in E minor, Op. 85, Mvt. IV

24 *colla parte* *a tempo*

Flauto 1 *ff*

Flauto 2 *ff*

Oboe 1, 2 *f*

Clarinetto (A) *f*

Fagotto 1, 2 *mf* *f* *ff*

Corno (F) 1 *f* *ff*

Corno (F) 2 *f* *ff*

Tromba (C) 1, 2 *ff*

Trombone *ff*

Tuba (ad lib.) *ff*

Timpani (3) *ff*

Violoncello Solo I *cresc.* *ad lib.*

Violino I *ff*

Violino II *p* *cresc.* *ff*

Viola *p* *cresc.* *ff*

Violoncello II *p* *cresc.* *ff*

Contrabbasso *p* *ff*

e min: *p* IV N V I *ff*

BACKSTAGE PASS

A Love Story: Daniel Barenboim and Jackie

Daniel was an up-and-coming conductor and Jackie was one of the premiere string performers of her time. It only seems natural that the two would meet each other at a party in 1966. After a brief and romantic courtship, Jackie flew with Daniel to Jerusalem, converted to Judaism, and the two were married at the Western Wall on June 15, 1967. On the stage, they were considered to be a classical music power couple. *TIME* magazine wrote, “Thus began one of the most remarkable relationships, personal as well as professional, that music has known since the days of Clara and Robert Schumann.” They performed chamber works and concertos together and du Pré frequently performed in the orchestras where Barenboim was the conductor. But behind closed doors and in the wings of the stage, things were far from perfect. Both had alleged affairs, including Barenboim’s well-publicized affair with Russian pianist Elena Bashkirova.

AUGMENTED SIXTH CHORDS

Let’s begin our discussion of augmented sixth chords by playing the same progression introduced at the beginning of this chapter, this time in the key of F.

F: I vi IV V I

Italian Augmented Sixth (It⁺⁶)

By altering the pitches of the IV chord (fa-la-do) to include a $\sharp\hat{4}$ and a $\flat\hat{6}$ (fi and le), we now hear the first of the augmented sixth chords, the Italian augmented sixth. Play the progression again, substituting the $\sharp\hat{4}$ and the $\flat\hat{6}$ on the subdominant chord. It is interesting to notice that the lead sheet symbol for the It⁺⁶ is a dominant seventh chord with the omitted 5th. While the It⁺⁶ does in fact sound like a dominant chord, it does not function that way. The $\flat\hat{6}$ is typically the lowest sounding pitch.

F D- D \flat 7(no5th) C F

I vi It⁺⁶ V I

Similar to the N⁶ chord, the It⁺⁶ functions as a predominant chord and also resolves to a dominant chord (or the cadential six-four). The chromatic pitches of $\sharp\hat{4}$ and $\flat\hat{6}$ naturally want to resolve up (or down) to the dominant.

So why is it called an augmented sixth chord? It all has to do with the intervals created by the particular pitches. The lowered $\hat{6}$, or le, creates a great sense of dissonance with the $\sharp\hat{4}$, or fi. The resulting interval between these two pitches is an augmented sixth.

Study the two examples below in order to better understand how the It⁺⁶ works in context of harmonic movement. Notice that in the minor key, an accidental is only needed to create the $\sharp\hat{4}$, as the $\flat\hat{6}$ is diatonic in a minor key and is thus taken care of by the key signature.

D: I I⁶ IV It⁺⁶ V I

G min: i ii⁶ vii⁶ i It⁺⁶ Cad₄⁶ V i



Video
Track 16:
Mendelssohn,
Cello Sonata
No. 2

Listen to the excerpt taken from the first movement of the Cello Sonata No. 2, Op. 58, by Felix Mendelssohn. Found toward the end of the movement, the use of chromatic pitches creates tension, resolving to the dominant seventh chord. Notice how the \flat_6 (the B \flat) resolves down to the A while the \sharp_4 (the G \sharp) resolves up to the A.

Felix Mendelssohn, Cello Sonata No. 2, Op. 58, Mvt. I

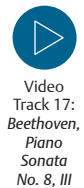
French Augmented Sixth (Fr⁺⁶)

The French augmented sixth is made up of the same pitches as the It⁺⁶, but with the addition of $\hat{2}$, or re. Play through the same progression as before. Compare the effect of the Fr⁺⁶ with the It⁺⁶. How does the addition of the $\hat{2}$ (re) completely change the overall sound in terms of dissonance? As if a $\flat\hat{6}$ and $\sharp\hat{4}$ weren't enough! The resolution of the augmented sixth chord is exactly the same; the $\flat\hat{6}$ (le) resolves down to sol and the $\sharp\hat{4}$ resolves up to sol.

F min Db G7(\flat 5)/Db C F min

i VI Fr+6 V i

Listen to Barenboim's performance of Beethoven's Piano Sonata No. 8 in C Minor, Op. 13, Mvt. III. Where is the French augmented sixth chord? Look for a lowered sixth scale degree. How is the chord resolved? There are other chromatic chords included in this excerpt as well. How are they functioning?



Beethoven, Piano Sonata No. 8 in C Minor, Op. 13, Mvt. III

41 Pno. Eb: IV Cad₄⁶ V⁷ I V₂⁴ I⁶ IV⁶ Fr⁺⁶

47 Pno. V V₂⁴ I⁶ V⁷/IV IV V I

German Augmented Sixth (Ger⁺⁶)

Used extensively in classical music, the German augmented sixth is made up of the same pitches as the It⁺⁶, but with the addition of the $\flat\hat{3}$ (me). In a minor key, the $\flat\hat{3}$ is diatonic, so no additional accidentals are necessary. Play through the same progression as before, only this time, realize the chords in F minor. The lead sheet says D \flat ⁷, but it certainly isn't functioning that way!

F min D \flat D \flat 7 C F min

F min: i VI Gr+6 V i



Video
Track 18:
Schumann,
Cello
Concerto

The next excerpt is from Schumann's Cello Concerto, Op. 129. In the excerpt, the inclusion of the E \flat and the C \sharp suggest the augmented sixth chord. The pitches found in the chromatic chord in measure 78 are in fact the $\flat\hat{6}$, 1, $\sharp 4$, and $\flat\hat{3}$ in the key of G major. Try to complete a harmonic analysis for the chords leading up to the Ger $^{+6}$. Are the pitches all diatonic in the key of G?

Robert Schumann, Cello Concerto, Op. 129, Mvt. I

G:

IV 6 Gr $^{+6}$ Cad $_4^6$ V 6

The next two examples are taken from Beethoven's Cello Sonata in A major and both indicate clear examples of the German augmented sixth chord. Be sure to notice that the lowest sounding pitch is in the cello voice, not the piano voice. The $\flat\hat{6}$ in the cello, or F \sharp , is the le, resolving to the sol. How are these two excerpts similar in how the Ger $^{+6}$ chord is approached and resolved?

Beethoven, Sonata for Piano and Cello No. 3 in A, Mvt. I



Video
Track 19:
Beethoven,
Sonata for
Piano and
Cello

248

Cello

Piano

A: $V_{\frac{4}{3}}/IV$ IV^6 Gr^{+6}

251

Vc.

Pno.

Cad_4^6 V^7 I

Beethoven, Sonata for Piano and Cello No. 3 in A, Mvt. III

177

Cello

Piano

A: I IV Gr^{+6}

180

Vc.

Pno.

Cad_4^6 V^7



Video
Track 20:
Brahms,
Sonata for
Cello and
Piano

Although not typical, the German augmented sixth chord can resolve to other chords besides those with dominant function. There are also examples in which the \flat_6 , le, is not found as the lowest pitch. Study the excerpt below taken from Cello Sonata No. 2, Op. 99, by Johannes Brahms. How does the sound of resolution differ from the conventional resolution of the augmented sixth chord?

Johannes Brahms, Sonata for Cello and Piano No. 2, Op. 99

1 **Allegro passionato**

Cello

Piano

p mezza voce

F min:

4

Vc.

Pno.

p

vi^6 Gr^{+6} V^6 V I

ARTIST IN RESIDENCE

An Artist's Early Demise

In October of 1973, Jackie was diagnosed with multiple sclerosis after two years of trying to perform, even as she began to lose sensitivity in her extremities. She received some negative reviews of her playing during this time. Her final public concerts included four performances of the Brahms Double Concerto with Pinchas Zukerman and Leonard Bernstein conducting the New York Philharmonic. She played three concerts but had to cancel the last due to numbness in her fingers. Bernstein actually took her to a doctor, but it took two years for a correct diagnosis. "My hands no longer worked," she recalled in 1978. "I simply couldn't feel the strings." Jackie passed away in 1987 after a long battle with the illness. In her obituary, she is remembered for her playing, "characterized by an unusual mixture of elegance and ferocity. . . . (She) clearly was born to play the cello."

SUMMARY OF AUGMENTED SIXTH CHORDS

Italian augmented sixth chord le-do-fi $\flat\hat{6}-\hat{1}-\sharp\hat{4}$ $\flat\hat{6}$ in the bass

C: It+6 V

German augmented sixth chord le-do-fi-me $\flat\hat{6}-\hat{1}-\sharp\hat{4}-\flat\hat{3}$ $\flat\hat{6}$ in the bass

C: Gr+6 Cad₄⁶

French augmented sixth chord le-do-fi-re $\flat\hat{6}-\hat{1}-\sharp\hat{4}-\hat{2}$ $\flat\hat{6}$ in the bass

C: Fr+6 V

Review of Chapter Objectives

- Demonstrate how the Neapolitan and augmented sixth chords function as pre-dominants (pages OL2-2, OL2-7, OL2-8)
- Notate Neapolitan and augmented sixth chords in various keys (pages OL2-14)
- Recognize Neapolitan and augmented sixth chords in musical context (pages OL2-4, OL2-6, OL2-8, OL2-12)
- Resolve Neapolitan and augmented sixth chords using proper voice-leading (pages OL2-2, OL2-7, OL2-8)

EXERCISES

I. When given the key, correctly identify the chromatic chord.

F: G: C: Eb: A:

D: G min: Eb: E min: C:

D min: D: A: G min: Ab:

II. Correctly notate the following chords on the staff.

G: N⁶ D: Gr⁺⁶ C: It⁺⁶ Bb: Fr⁺⁶ Eb: It⁺⁶

B: Fr⁺⁶ D min: Gr⁺⁶ G min: N⁶ C: Gr⁺⁶ E min: Fr⁺⁶

Ab: N⁶ Db: Fr⁺⁶ F# min: It⁺⁶ F: N⁶ E min: Gr⁺⁶

III. Give the correct Roman numeral or identifier (Gr⁺⁶, It⁺⁶, Fr⁺⁶, N⁶) for the following chords and resolve each voice into the next chord. Use SATB or keyboard style voicing and follow all part-writing guidelines.

The first exercise shows a sequence of five chords in a grand staff. The chords are: C major, F major, G minor, D major, and G major. The notation includes treble and bass clefs, a key signature of one sharp (F#), and a common time signature. The chords are connected by vertical bar lines.

C: F: G min: D: G:

The second exercise shows a sequence of five chords in a grand staff. The chords are: C# minor, Eb major, A minor, A major, and Bb major. The notation includes treble and bass clefs, a key signature of three sharps (F#, C#, G#), and a common time signature. The chords are connected by vertical bar lines.

C# min: Eb: A min: A: Bb:

ANALYSIS

Dedicated to his older sister, this nocturne was not published until twenty-six years after Chopin's death. This piece is featured in several films such as *The Pianist* and *The Karate Kid*. Give a Roman numeral analysis of the entire excerpt. Be sure to circle and identify non-chord tones.



Video
Track 21:
Chopin,
Nocturne
No. 20

Chopin, Nocturne No. 20 in C# minor

Piano score for Chopin's Nocturne No. 20 in C# minor, measures 10-19. The score is in C# minor, 3/4 time, and features a piano accompaniment with a melodic line in the right hand. Measures 10-12 show a melodic line with a trill (tr) and a piano (p) dynamic. Measures 13-16 feature a 'gva' (ritardando) marking, a trill, and a 'cresc. con forza' (crescendo with force) section with triplets. Measures 17-19 continue the melodic line with a trill and a 'cresc.' marking.



Video
Track 22:
Haydn, String
Quartet No. 5

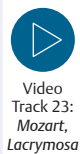
One of Haydn's six Opus 20 quartets, No. 5 is considered to be exceptionally haunting and emotional. The emotions portrayed in the Opus 20 quartets are considered to be indicative of the tensions in Haydn's life during the time of composition. Give a Roman numeral analysis of the entire excerpt. Be sure to circle and identify non-chord tones.

Haydn, String Quartet No. 5 in F minor, Op. 20, Mvt. I

Allegro moderato

The image displays a musical score for Haydn's String Quartet No. 5 in F minor, Op. 20, Mvt. I, marked "Allegro moderato". The score is presented in two systems, each with four staves representing the instruments: Violin I, Violin II, Viola, and Cello. The first system (measures 1-3) features a melody in Violin I starting with a piano (*p*) dynamic, while the other instruments provide harmonic support. The second system (measures 4-6) shows a more active Violin I part with a *poco. p* dynamic, and the other instruments continue their accompaniment. The key signature is F minor (three flats) and the time signature is common time (C).

Haydn, String Quartet No. 5 in F minor, Op. 20, Mvt. I (continued)



“Lacrymosa” is a section in the *Dies irae* sequence in Mozart’s *Requiem Mass*. The mass was not completed by the time of Mozart’s death, and perhaps was completed by Franz Xaver Sussmayr (although it is speculated that other composers assisted Sussmayr). Only the first eight bars of “Lacrymosa” were completed by Mozart. Give a Roman numeral analysis of the entire excerpt. Be sure to circle and identify non-chord tones.

Mozart, "Lacrymosa" from *Requiem*

The musical score is arranged in a standard orchestral format. The instruments and vocal parts are listed on the left side of the page. The score is written in 12/8 time and the key signature has two flats (B-flat and E-flat). The dynamics are marked *p* (piano) throughout. The vocal parts (Soprano, Alto, Tenor, Bass) have lyrics in Italian: "La - crimo - sa di - es il - la,". The instrumental parts include Basset Horn in F, Bassoon, Trumpet in D, Timpani D-A, Alto Trombone, Tenor Trombone, Bass Trombone, Violin I, Violin II, Viola, and Cello and Bass. The score shows the first four measures of the piece, with the vocal parts entering in the third measure.

Lacrymosa

5

B. Hn. *cresc.* *f*

Bsn. *cresc.* *f*

D Tpt. *f*

Timp. *f*

A. Tbn. *cresc.* *f*

T. Tbn. *cresc.* *f*

B. Tbn. *cresc.* *f*

Vln. I *cresc.* *f*

Vln. II *cresc.* *f*

Vla. *cresc.* *f*

S. *cresc.* *f*
 qua re - sur - get ex fa - vil - la ju - di - can - dus ho - mo re - us,

A. *cresc.* *f*
 qua re - sur - get ex fa - vil - la ju - di - can - dus no - mo re - us,

T. *cresc.* *f*
 qua re - sur - get ex fa - vil - la ju - di - can - dus no - mo re - us,

B. *cresc.* *f*
 qua re - sur - get ex fa - vil - la ju - di - can - dus no - mo - re - us,

Vc. *cresc.* *f*

6 #6 6 5
 4 4 4 4



Video
Track 24:
*Quella
fiamma*

A standard in *24 Italian Arts Songs and Arias*, this particular song has been attributed to several composers; however, no agreement has been made among scholars. This short excerpt includes one significant chromatic chord. Give a Roman numeral analysis for the entire excerpt. Be sure to circle and identify non-chord tones.

Anonymous, "Quella fiamma che m'accende"

f rit. *a tempo* *p dolce*

s'e - stin - gue - rà, s'e - stin - gue - rà, quel - la fiam - ma
 shall cease to glow, shall cease to glow, that they ne'er shall

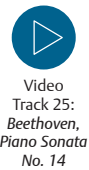
col canto *f* *a tempo*

90 *f* *a tempo* 92 93

— giam - mai, giam - mai s'e - stin - gue - rà.
 — cease, that they ne'er shall cease to glow.

rinforz. e rit. *mf a tempo*

The Moonlight Sonata is one of Beethoven's most famous works. The melody should be very familiar to you. Provide a Roman numeral analysis of the following excerpt, paying careful attention to accidentals in terms of harmonic function.



Beethoven, Piano Sonata No. 14 in C# Minor, "Moonlight"

48 *p*

(*ten.*)