
THE ART OF IMPROVISATION

DIE KUNST DER IMPROVISATION {11–40}

TRANSLATED BY

RICHARD KRAMER

Our generation has squandered the art of diminution, the composing-out of sonorities [*Klängen*], and, like the fox in the fable, declares sour those grapes which it cannot reach. No longer able to understand the art of diminution bequeathed to us in the teaching of the masters, and the example they set, it turns ear and mind away from a fundamental law with which it can no longer cope, either creatively or in imitation.

This generation has not the slightest inkling that all its despair and impotency, the tormented quest for that which is ever different – different from the art of the master, different even from nature itself – originates simply in the incapacity for the artistic linearization of tonal concepts that are given in nature. It anaesthetizes its incapacity with the gesture of novelty, under the proud and highly suggestive title ‘progress’. That became the customary dodge of every reaction from the darkness below, and it remains so today. The stabs in the back which genius must suffer perpetrated at first by a few individuals from below, then multiplied by the masses – simulate a proud revolution, certain of victory. But the perpetrators overlook that genius, unlike emperor or prince, cannot be deposed by the caprice of the masses, that in the eternally aristocratic realm of genius the methods of political revolution are without value. Its revolutions here must remain mere fictions, the imaginary movements of non-professionals, arranged and incited by journalists and book-writers from outside, entirely without effect and outside the true history of the intellect. Finally even this self-induced deafening must fail, for it never transforms incapacity into ability: *Naturam non expellas furca* .¹

And thus it comes about today that from every corner where novelty and progress are ‘manufactured’, veritable intellectual outbacks, shrieks of a passionate promise for the future resound: this generation would like at the least to stimulate the next towards some decisive artistic novelty, but it feels itself

incapable of accomplishing even this deed. If, however, the promise of a deed counts for very little in the political world – revolutions promise much and hold to nothing – how much less do such promises mean in the realm of art!

Thus our generation dwells not even in its own present. It no longer demands of itself the strength to pay its debts to the great masters – and thus the strength to receive the past in itself, which is the presupposition for all virtuous life in the present. Nothing really remains for it but to depend solicitously on the future of the next generation – {12} why ever should it presume to anticipate the work of that generation? – and, in so doing, does battle against an apparition of stagnation. It does not suspect that it itself is the apparition, and that all the effort that it expends to produce something new and to oppose stagnation is not nearly sufficient to rise even a step above the masses.

As the past so often teaches, the few individual representatives of the immutable authority from above remain, and all the more proudly, after the continually repeated reactions of those from below. An authority from above can never be produced from below. As little as the living are able to comprehend death, so little can the spiritually dead comprehend the spiritual life of a genius. And yet this remains to be demonstrated.

*

Music is the living motion of tones in the space given in Nature : the composing-out (the rendering in melodic line, the linearization) of the Nature-given sonority (see *Harmonielehre* , p.281/p.211 ; ‘Freier Satz’; ‘Elucidations’).² The law of all life, the motion which, as procreation, issues forth beyond the boundaries of individual being, penetrates into man in this sonority which Nature has preordained in his hearing. Everything in music is born of this motion, of this procreative force. Yet all procreation is bestowed through the spontaneous grace of life-bestowing Nature. Those whom Nature has sent into the world unfit for procreation: what will they accomplish against her? What does this most wretched of generations, with all its insolence born in delusion and its dogmatically demanding temperament, want in its current alignment against Nature when she has, so to speak, denied it its spiritual loins?

Consequently, it is entirely remote from my thought to oblige the caprice of man when I speak here of the art of improvisation according to the testimony in C.P.E. Bach’s theoretical and practical works, and from the examples by Handel (examples which can, of course, be multiplied endlessly). I want only to offer a modest contribution to the art of diminution, which is the principal agent in the

free fantasy, and at the very least to alert the ear to the inner laws of diminution in order to protect it from the stagnation induced in precisely those who speak out most loudly against it.

I

Diminution in its entirety surely does not allow of a single theory, for the subject matter is too vast: no theorist could furnish a method in {13} diminution technique for all genres of composition. Accordingly, even C.P.E. Bach is satisfied with a minimum, with the art of diminution in the free fantasy, as presented in his *Versuch über die wahre Art, das Clavier zu spielen*, II, 41.³ It was the opportunity provided by just this topic that prompted the great master of tone and word to speak out, and he is very clearly conscious of this, as follows from the first two paragraphs of the chapter.⁴ They read:

[§1] A fantasy is called free when it contains no regular distribution of bars, and modulates to more keys than is usual in other kinds of pieces which are either composed or improvised in a regular metre.

[§2] For these latter pieces, a knowledge of the entire range of composition is required: for the former, merely a basic understanding of harmony and some rules governing its disposition are adequate. Both types demand natural ability, the fantasy in particular. It is possible that one who has studied composition with success, and has demonstrated his skill with the pen, will nevertheless improvise poorly. On the other hand, I believe that one can always predict with certainty good progress in composition for one who has a gift for improvisation, provided that he does not begin his studies *too late*, and that he writes *profusely*.

Still, I recommend that one read again what Bach says on the elaboration of fermatas (*Versuch*, 1, 2, §9) as well as on the elaboration of cadenzas (1, 3, §30).⁵ Although diminution at a fermata or in a cadenza plays a different role than it does in the free fantasy, these explanations are nevertheless of great value for a general theory of diminution.

*

§§3, 6 and 8–11 are concerned with tonal areas in the free fantasy. §3 even advances the notion of a principal key for the fantasy:

A free fantasy consists of varied harmonic passages which can be executed in all kinds of figures and divisions [*Zergliederungen*]. In doing so, one must establish a key with which to begin and end. Although no metre is established in such fantasies, the ear nevertheless demands a certain proportion in the alternation and duration of the harmonies among themselves, as we shall hear further on, and {14} the eye a relation in the note values, so that one's ideas can be written down ...

Bach grasps the necessity of the tonic more pointedly in §6:

When one does not have much time to display one's craft in extemporizing, then one must not venture too far into other keys, for one will have to break off very soon. And yet the principal key must not be abandoned too soon at the outset, nor recaptured too late at the end. At the beginning, the principal key must prevail for a long while, so that one is certain to hear what will follow from it. And one must dwell in it again for a long while before the close, so that the listener will be prepared for the end and the principal key will impress itself in the memory.

Thus Bach insists on a principal key to be used in equal proportion in longer and shorter fantasies alike. And if, like Bach, one takes the scale degrees of the tonic for 'keys' (see below), then one might already extract from §6 a theory of tonality.

§8 is concerned with the interpolation of auxiliary chords that simulate a key. One notes in particular the expressive turn of phrase: 'not truly formal cadences' [*nicht eben förmliche Schlußcadenzen*]. The paragraph reads:

In fantasies where there is ample time to be heard, one may modulate more extensively to other keys, where truly formal cadences are not always required; they occur at the end, and at most once in the middle. It is sufficient for the leading note [*semitonium modi*] of the key to which one is modulating to be present in the bass or in some other voice. This note [*Intervall*] is the key to all genuine modulations and the distinguishing feature of them. When it lies in the bass, the seventh-, the sixth- or the 5 chord results (a). But it may also be found in dispositions which arise from the inversion of those chords (b). It is one of the beauties of improvisation that, in the midst of a fantasy, one can feign modulation to another key by a formal cadence and then take a different turn. This and other judicious deceptions make a fantasy attractive. But they must not be used to excess, thereby obscuring what is natural.

The image shows two staves of musical notation in bass clef. The first staff contains four measures, each with a label above it: 'a.', 'a.', 'b.', and 'b.'. The notes and fingerings are as follows:

- Measure 1: Bass clef, notes G2 (finger 6), F#2 (finger 7), E2 (finger 5).
- Measure 2: Bass clef, notes G2 (finger 6), F#2 (finger 6), E2 (finger 5b).
- Measure 3: Bass clef, notes G2 (finger #), F#2 (finger 7).
- Measure 4: Bass clef, notes G2 (finger 6), F#2 (finger 4), E2 (finger 3).

 The second staff contains four measures with labels 'b.', 'b.', 'b.', and '7' above them:

- Measure 1: Bass clef, notes G2 (finger 3), F#2 (finger 4), E2 (finger 6).
- Measure 2: Bass clef, notes G2 (finger 5), F#2 (finger 6).
- Measure 3: Bass clef, notes G2 (finger 6), F#2 (finger 6).
- Measure 4: Bass clef, notes G2 (finger 2), F#2 (finger #), E2 (finger 7).

I repeat: when Bach speaks even in such instances of ‘other keys’, one must not be deceived by his language. The ground-plan of a fantasy adduced by him in § 15 indicates clearly that by ‘keys’ [*Tonarten*] he describes a composing-out of scale degrees; in any case the term is not defined with systematic precision. That is confirmed in the {15} following paragraph, where Bach speaks of ‘most closely related’ and ‘somewhat more remote’ keys, which however are designated in the course of the discussion by ‘fifth’, ‘sixth’ and so forth. §9 reads:

In a free fantasy one can modulate from the tonic to the most closely related keys, to those somewhat more remote, and indeed to all other keys as well. As little as one ought to undertake strange or frequent modulations to a wide range of keys in strictly measured pieces, a fantasy that adheres to the most closely related keys sounds naïve. As is well known, the closest modulations in the major keys are to the fifth degree with the major third and the sixth degree with the minor third. From minor keys, one moves first of all to the third degree with the major triad and to the fifth degree with the minor triad. When one wishes to modulate to more distant keys, in the major keys this will be to the second and third degrees with the minor triad and to the fourth degree with the major triad. From minor keys, one modulates to the fourth degree with the minor third and to the sixth and seventh degrees with the major third. All the other keys are remote, and can be used with equal effect in a free fantasy, even though they stand at varying distances from the tonic ...

§10 is devoted to chromaticism:

... When one wishes to modulate more firmly to the *more distant* keys, and not merely to touch upon them superficially, it is not sufficient simply to reach for the *semitonium modi*

in the belief that one has now arrived where one has wanted to go, and that one may move on at once to other keys. Rather, one must gradually prepare the ear for the new key by means of a few other interpolated harmonic progressions, so that it is not disagreeably surprised. There are keyboard players who understand chromaticism and can justify its use, but only very few who know how to execute chromaticism agreeably, relieved of its crudeness. We note generally, and in particular in the examples given below, that in those exercises in which one begins to stray rather far from the established key, one must dwell rather longer [in the harmonic transition] than in the others ...

Bach demands a more precise justification even in the deployment of chromaticism: not even in the free fantasy will he tolerate the self-deception ‘that one has now arrived where one has wanted to go’ simply by having seized upon the *semitonium modi*.⁶

{16} In §11 the chord of the diminished seventh is now contemplated:

To arrive at the most distant keys in a yet more concise and nevertheless agreeably surprising manner, no chord is as convenient and fruitful as the seventh-chord with the diminished seventh and diminished fifth, for by inversion and by enharmonic changes a great number of harmonic transformations can be undertaken ...

*

Finally we come to §§13–15 [§§12–14 in the first edition],⁷ the most important in the chapter, in which diminution will be treated in its essence. §13 [§12] reads:

The beauty of variety is also felt in the fantasy, in which all kinds of figures and all manner of good execution must appear. Nothing but runs, nothing but sustained or broken full chords, tires the ear. The passions will be neither excited nor soothed, whereas it is precisely to these ends that a fantasy ought to be put to best advantage ...

The expression ‘all kinds of figures’ here signifies more than it appears to say. Bach expresses it in the demand for an alternation of figures in general, which I designate ‘change of diminution’. (See ‘Freier Satz’ and below, p.? [sic].)⁸ A change of diminution of this kind renders important service even in the free fantasy: by antithesis it divides and unifies at one and the same time, and thus serves the unity of the whole as well (see *Tonwille* 2, pp.17 and 36).

What C.P.E. Bach understands by ‘all manner of good execution’ is to be gathered from the *Versuch*, 1, 3, §3:

The elements of performance are loudness and softness of the notes, their touch and velocity [*Schnellen*]; the execution of legato, staccato, vibrato and arpeggiation;

sustaining, dragging and pressing ahead. Anyone who uses these things not at all, or at the wrong time, is a bad performer.

One must not seek in Bach's word 'passions' [*Leidenschaften*] what certain aestheticians of the doctrine of affections bring to it. One need only recall part 1, 3, §13 to understand that he means by it simply the consequences of a change of diminution: pure musical effects which have nothing in common with the amateurishly misunderstood and so grossly exaggerated ideas of the aestheticians. For Bach, even the individual motives of diminution are really distinct affects, distinct passions, so greatly does he feel their unifying and characteristic properties, and at the same time their contrast to one another. Similarly we read in §29 of the same chapter {17} the sentence: 'Nevertheless one notes that dissonances are generally played louder, consonances softer, for the former emphatically elevate the passions and the latter soothe them.' For Bach, a dissonance even in passing signifies a 'passion' – and from this it follows that in §13 of the chapter on the free fantasy Bach will have wanted to say nothing more than that the creator of a fantasy must have taken pains to alternate motives, in order to produce tension and to transmit it to the listener. Nothing more. And yet how much that signifies may be gauged by the desolate times in which we live, in which even this minimum has become unattainable.

§13 continues:

... When using broken chords one must move neither too hurriedly nor too unevenly (a) from one harmony to the next. Only in chromatic progressions can occasional exceptions to this rule be made to good effect...



(Compare this to the turn of phrase in §3: 'a certain proportion in the alternation and duration of the harmonies among themselves'.) And further:

One must not arpeggiate the harmony continuously in a uniform colour. In addition, one may at times move with both hands from a low register to a higher one; this can also be done entirely with the left hand, the right hand remaining in its [natural] register. This manner of performance is suited to the harpsichord, for it produces an agreeable alternation of a synthetic *forte* and *piano*. Anyone who possesses the skill does well if he avoids the continuous use of the natural harmonies exclusively, and instead deceives the ear now and then; but if his powers are limited in this respect, a varied and competent

performance incorporating all kinds of figures must make agreeable those harmonies which, when played evenly, would sound plain. Most dissonances can be doubled in the left hand. The ear tolerates the octaves that arise when the harmony is thus reinforced. Doubling the fifth, on the contrary, is to be avoided. The fourth, when in company with the fifth and ninth, and the ninth in any case should not be doubled.

To these last sentences it may only be noted that, although Bach does not object to the reinforcing with octaves in the left hand even in dissonances, he always places fifths under the law of obligatory voice-leading.⁹ That suspensions of the fourth and ninth may not be doubled follows for Bach from the very nature of the suspension.

{18} §14 [§13] speaks about how diminution, more narrowly defined, may be executed:¹⁰

All chords can be arpeggiated in a variety of ways, and expressed in fast and slow figures. Arpeggiations of a chord in which its principal intervals as well as those formed by certain neighbour notes are repeated (a) are especially pleasing for they produce greater variety than a simple arpeggio in which the voices are struck one by one as they lie under the hands.



The simple little words 'are repeated' express a significant event. Bach's example a) is to be grasped when one takes as an aid the following illustration, which underlines that diminution:



Fig. 1

In Fig. 1a the chords in the left and right hand still leave a gap opened. In Fig. 1b this gap is filled out by the interpolation of a chord in the right hand; at the first and second harmonies these chords comprise an octave, at the third

harmony an augmented sixth. This disparity is explained in the contrary motion between $b^2 - a^2 - g^\#^2$ in the inner voice and the $g^\# - a - b^b$ in the bass (See Fig. 1a). In Bach's example, as in Fig. 1c , a descending arpeggiation embellished with acciaccature negotiates between interpolation and principal chord in each instance. The 'repetition' of which Bach speaks refers to the interpolated chords. What art even in this modest application of diminution! Bach perceives an essential distinction between such alterations in the arpeggiations and the simple breaking of chords in an arpeggio (see above).

(§14:) ... In all arpeggiated triads and in passages that can be reduced to a triad one can, for the sake of elegance, approach each interval from the major or minor second below, {19} without permitting these notes to continue sounding. This one calls *arpeggiating with acciaccature* ...



Acciaccature were already apparent in Bach's example a), and they require no further explanation in examples b) and c). But one should take note of the hidden rhythm which, by the interpolation of neighbour notes, now and then insinuates itself in the diminution. Example b) actually sounds thus:

Great charm often resides in a concealed rhythm of this kind, and under certain circumstances it even assumes significance for the voice-leading.



Fig. 2

(§14:) ... In runs the empty intervals of the chord are filled out: with this filling-out one can move up and down in one or in several octaves in proper proportion. When repetitions occur in such runs, as in d),



and, at the same time, foreign intervals are interpolated, as in e),



pleasing variations arise. Runs in which many progressions of semitones appear require a moderate tempo ...

The run shown in example d) is based upon an arpeggiation in several strats (1-b 7-5-3):

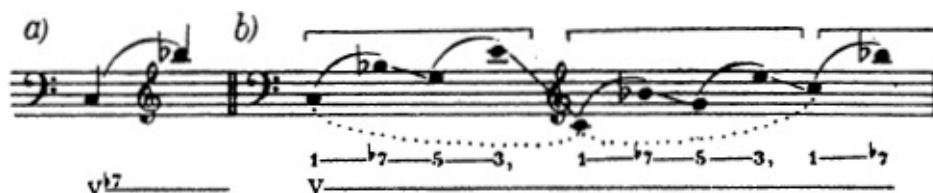


Fig. 3

By ‘repetitions’ is to be understood not only the repetition of the arpeggiation beginning with c^1 (see the brackets in Bach’s example d) and in Fig. 3), but also the imitation within each arpeggiation of one span, a seventh-progression, by another, a sixth-progression (see the slurs). The interval of a third between the individual progressions is filled in with a passing note. Apart from the emphasis on c , c^1 and c^2 as well as on g and g^1 , which occurs automatically, no further rhythmic articulation enters into consideration here.

{20} The figure at Bach’s example e) can be derived from the motive of the fifth, $E^b - A$, which is then repeated:

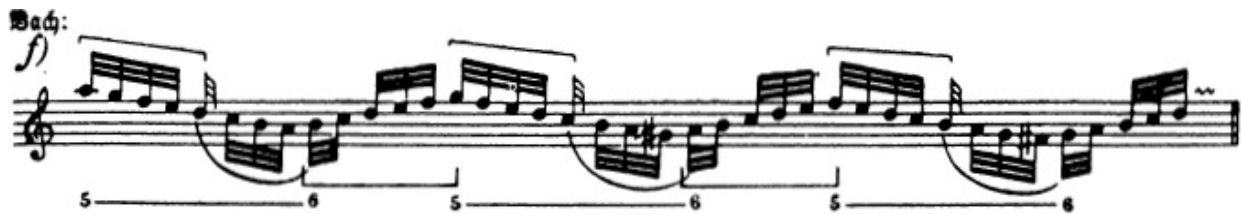


Fig. 4

Accordingly, at the first display of the motive in Bach’s diminution the two notes e^b^3 and a^2 rise up from $f\#^2$, which acts like a bass (see Figs. 4b and 4c), while at the repetition ($e^b - a^1$) the diminished fifth is simply filled in with passing notes. Note, however, that in the first passage (to the e^b^3) $g\#^2$ is intentionally omitted, for it is surely meant in the first instance to express the

prototype of the diminished seventh-chord; $g\#^2$ appears only in the second passage ($f\#^2 - a^2$).

(§14:) ... In the course of passage work, all kinds of grouping may now and then be alternated, as in example f) ...



By 'grouping' [*Aufgabe*] Bach means a specific motion in figured bass, in this instance the succession 5–6 5–6, as in Fig. 5a :

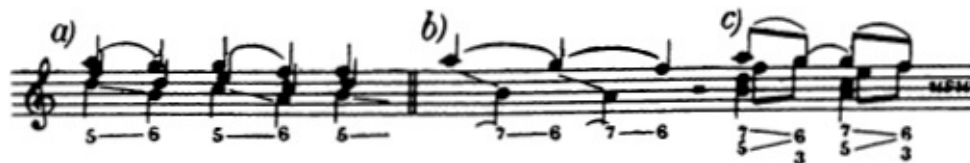


Fig. 5

The extensions of the descending scales beneath d^2 , c^2 and b^2 (as roots of the fifths) – see Bach's example – are not directed at the production of harmonic intervals to the fifths in question. Rather, Bach simply fills in with passing notes the gaps of a third opened up between the bass notes of the particular sonorities; but he does this in such a way that the passing notes c^2 , b^1 and a^1 are developed in special third-progressions, $c^2 - a$, $b^1 - g\#^1$, $a^1 - \#^1$. The lowest tones – a^1 , $g\#^1$ and $f\#^1$ – act as neighbour notes. When they are omitted, one obtains rather the effect of 7–6 7–6; see Figs. 5b and 5c .

(§14:) ... The triad with its inversions can be expressed by one and the same kind of run, and the same is true of the seventh-chord and its inversions. In groupings which contain an augmented second, {21} a progression including that interval is *at times* avoided, as in example g); but in certain figurations it is acceptable, as in h) ...



Bach's word and illustration attest to an exceptionally fine hearing of a

parallelism. At g) the arpeggiation $b\flat^1 - c\sharp^2$ is avoided only because the augmented second does not express the motive of a third ($e^2 - g^2$, $c\sharp^2 - c^2$ and $g^1 - b\flat^1$), and thus cannot reply in parallel. ¹¹ But if, on the other hand, the diminished seventh is broken into three-voiced chords as in h), then, in spite of the augmented second, it is possible to preserve the parallelism in the last two inversions of the fourth.

(§14:) ... Certain imitations, both in direct and in contrary motion, can be brought into play in various voices to excellent effect, as in example i) ...



Example i) is concerned with the following:



Fig. 6

The execution displays a fine parallelism in the imitation of the [ascending] seventh-progression $c^1 - b\sharp^1$ by the descending seventh-progression $d^3 - e^2$.

*

What energy of musical thought and power of invention are manifest in the following paragraph, which presents the ground-plan and the realization of the free fantasy! ¹² §15 [§14] reads:

So that my reader will acquire a clear and useful concept of the organization of a free fantasy in related examples of all kinds, I refer him to the lesson [*Probestück*] cited in the preceding paragraph, and to the Allegro to be found on the attached copper plate engraving. ¹³ Both pieces are free fantasies; the former is interspersed with much chromaticism, {22} while the latter consists *for the most part* of quite natural and usual progressions. The skeleton of the latter, given below, is represented in [the notation of] a figured bass. Note values are expressed as accurately as possible. In the realization, each arpeggiated chord is to be performed twice. When the second arpeggiation is to be taken in a different register in either the right or the left hand, this is indicated. The intervals in the slow, full chords, all of which are arpeggiated, are of a single duration, even though white and black notes had to be set above one another for the sake of clarity, because of

limited space. At (1) we observe the sustaining of the harmony in the principal key at the beginning and the end. At (2) a modulation advances to the fifth degree, where one remains for a good while, until the harmony moves to E minor at (x). The three notes at (3), bound together by a slur underneath them, anticipate the following reiteration of the second-chord, which is regained by an inversion of the harmony. The anticipatory motion at (3) is realized in slow figures, in which the bass has been intentionally omitted. The transition from the seventh-chord on b to the adjacent second-chord on b \flat reveals an ellipsis for, strictly speaking, the $\frac{6}{4}$ chord on b or a triad on c ought to have preceded the second-chord. At (4) the harmony appears to move towards D minor. But with the omission of the minor triad on d at (5), the augmented fourth in the second-chord on c is seized instead, as if one wished to modulate to G major. Nevertheless, G minor harmony is taken (6), initiating the return to the tonic, for the most part through dissonant chords. The fantasy closes with an organ point.

Here is the ground-plan [see also Plate i]: ¹⁴

The plan exemplifies a certainty of goal which is given only to genius. Fully conscious of the paths taken, the creative force is mysteriously bound up above all with the Urlinie! Still, so much remains unaddressed in Bach's explanatory language: it is not that the musical facts of the case are falsely represented, {23} but that his language was as yet inadequate to supply the right words to explain the deeper relationships. In order to illuminate and substantiate Bach's plan through the Urlinie and the transformations that spring from it, I submit the following illustration (Fig. 7) – less to rectify Bach's explanation by my own than to clarify what remains still hidden behind his language:

According to Fig. 7a, the bass is comprehended in the fourth-progression D–A, which poses the danger of consecutive fifths (see *Meisterwerk* 1, p.149/p.82, Fig. 2). For that reason the first fifth in the succession

a-g
D-C

is led to the sixth, and following this, to avoid the consecutive fifths

f—e
B \flat -A,

a passing seventh is interpolated at $\hat{3}$.

The figure displays three musical examples (a, b, c) in D major, illustrating voice leading and harmonic progressions.
 Part (a) shows a bass clef staff with a 'Quartzug' (quart progression) from I to IV³ to IV⁷ to V.
 Part (b) shows a bass clef staff with a '(Terzzug) (Oberquintteiler)' (terc progression / upper quint divider) from I to IV⁵ to IV⁶ to V, with a first-inversion IV chord.
 Part (c) shows a grand staff with a treble clef staff and a bass clef staff. The treble staff has a 'spring' marking and a 'Dg.' marking. The bass staff has a 'spring' marking and a 'Dg.' marking. The score includes figured bass notation and harmonic analysis symbols like I, IV³, IV⁷, and V (I N IV V).

Fig. 7

Fig. 7b shows the unfolding of the third a-g-f \sharp in the treble, in the service of $\hat{5}$, coupled with a motion through the dominant divider [Oberquintteiler] in the bass. At the end of both motions, the seventh $\sharp 7$ accrues to the tonic, whose effect is to tonicize the subdominant area (*Harmonielehre*, p.337/p.256). In its further course as well, the Urlinie articulates itself in third-progressions, as if

conceived in imitation of the first such progression: the $\hat{4}-\hat{2}$ stakes claim to the subdominant area, while the third-progression

$$\begin{array}{c} \hat{2} \text{-----} \\ (\hat{8}-\hat{7}) \end{array}$$

arises from the dominant harmony, where indeed the motion in the bass simulates a cadence.

{24} Further diminution in the voice-leading is captured in Fig. 7c . At (1) – for the sake of comparison, I have retained Bach’s numbering (1) to (6) in the sketch – we see what is comprehended in the ‘sustaining of the harmony in the principal key at the beginning and the end’: the bass moves to the fifth above as a divider, through which the circle of harmonic degrees [*Stufenkreis*] I–IV–V–I is intimated. Against appearances, one must speak here of an ascending fifth-progression, as shown in Fig. 8a :



Fig. 8

but the lower F# (shown in Fig. 8b) is expressly sought out in order to obtain a 3 harmony above the B, instead of the dissonant chord above the passing E. Yet I repeat what I stated above: considering that the results are the same, the difference in the manner of observation is of little importance, which is why it is basically one and the same whether Bach calls this voice-leading a ‘sustaining of the harmony’ or whether I, weighing the voice-leading more precisely in concept and word, speak here of a division of the tonic harmony D at the A a fifth above, and also of a fifth-progression in the bass to the dominant divider.

If, according to Fig. 7b , the harmony must proceed directly from the tonic to the dominant divider, the inclusion of the harmony on E, in the sense of $\text{II}^{\#3} - \text{V}$, suggests itself in the prolongation [Fig. 7c]. But a succession of consecutive fifths threatens at the step motion between the triads on D and E (as is seen in Fig. 9a); a 5–6 exchange, with the root omitted, must therefore help (see Fig. 9b).



Fig. 9

For Bach, the chromatic g^\sharp no longer belongs to the ‘principal key’. Indeed, it signifies for him a modulation (see §8 in the chapter on free fantasy, quoted above): a ‘modulation to the fifth degree’, he calls it [in §15]. Accordingly, he places the number (2) precisely above the sixth-chord that generates the chromaticism.

Fig. 7c further represents the dispersal of the third-progression $\{25\} a^2 - g - f^\sharp$ in the treble and the corresponding diminution in the bass. The range of the diminution, which continues as far as (4), aims at establishing the seventh in the dominant chord on A (see Fig. 7b). The bass rises to the minor third of the triad on A, the g^2 in the treble occurring precisely above the C; it then falls back to the root A, and at that moment the $V^\sharp 7$ is grown to full maturity.

A step-by-step explanation will bring to light all the mystery of this profound and difficult voice-leading. The B between A and C in the bass ought not to be understood simply as a passing note, but rather as the bearer of a harmony in its own right, which does not alter its primary passing nature. Nothing would have been more obvious than to form a seventh-chord ($B_{\sharp 3}^7$), yet the threat of consecutive fifths demanded that the same means be taken as earlier at the progression from D to E (see Fig. 9). Precisely this chromatic d(t, which is new in relation to the key of the dominant, will give Bach cause to inscribe it with an (X); see above. The path from $B_{\sharp 3}^7$ leads more easily to C (quasi V–VI in E minor) than to the C^\sharp a whole tone removed. But C^\sharp would presuppose the chromatic motion $B - B^\sharp - C^\sharp$ and would moreover force a $g^\sharp 2$ in the treble instead of the g^2 which is the goal. Bach clothes this concern in the simple words ‘the harmony moves to E minor’. One sees how Bach’s word strikes in the direction of profundity without actually describing it in final detail.

But now to the most miraculous event in the fantasy. According to Fig. 7c, the root C was established at the peak, as it were, of the diminution of the dominant, from which point the descent to the root A had to ensue, following the

law of the progression $\underline{\text{VII}-\text{V}^{\#3}}-\text{I}^{\flat3}$ in the minor mode, in this instance in D minor:

$$\begin{array}{ccccccc} \text{C} & - & \text{B}\flat & - & \text{A} & - & \text{D} \\ \text{VII}^{\flat7} & - & (\text{passing note}) & - & \text{V}^{\#} & - & \text{I}^{\flat3} \end{array}$$

(compare with Fig. 19 below and the discussion following it). Thus the composing-out of the harmony on C assumes the form of a third-progression ($g^2 - f^2 - e^2$) in the treble and a fourth-progression (C-B \flat -A-G) in the bass. Only at this confirmation of the C \flat^7 harmony does its inversion as a second-chord follow, whereupon the root of the dominant finally returns. And it must not be overlooked that the seventh, g^2 , undergoes an expressive reinforcement by the third-progression $g^2 - e^2$. But in the realization, it is precisely this C which falls away, so that the B turns back directly to B \flat . Bach was clearly aware of this ellipsis, as follows from §15. (Indeed, if a $\frac{6}{4}$ chord on B were supposed in place of the ellipsis, it would yield only a neighbour harmony [*Nebennoten-Harmonie*], while the triad on C, as I propose in Fig. 7c, alludes to the two third-progressions in the bass.)

{26} For the composing-out of the C major harmony in the form of a second-chord occasioned by the ellipsis, Bach finds the poetic words ‘anticipate the following reiteration of the second-chord’ (see the dotted slur from B \flat to B \flat in Fig. 7c). More emphasis is in fact placed on the second of these second-chords on B \flat , as the semitone immediately before the root of the dominant on A, than on the first. Thus I can only repeat here what I have already said more than once: the master’s ear creates out of the innermost depth, while his word, though it points in the right direction, lags perceptibly behind without actually losing in beauty as testimony in a significant essay.

At (4) Bach is aware that the species of diminution in the bass (B \flat -A) finally induces the expectation of D minor (‘the harmony appears to move towards D minor’). In this respect, too, my interpretation agrees with Bach’s, for I derive the third-progression C-B \flat -A in the bass from the minor (see above). It doesn’t matter whether the tonic actually stays in the minor or moves to the major. If, in our example, the tonic triad of the principal key appears to be D major, this only confirms a modal mixture [*Mischung*] with the composing-out in minor that precedes it (see *Harmonielehre*, p.106/p.84).

But the root of the tonic is elided – see the (5) in Fig. 7c; the second-chord

takes its place. The seizing of the minor third in the subdominant – see Bach’s (6) – is the result of this modal mixture (Bach: ‘... as if one wished to modulate to G major. Nevertheless G minor harmony is taken ...’).

Now to Bach’s realization of the plan [see also Plate 2]: ¹⁵

The image displays two systems of musical notation for a piano piece, likely by J.S. Bach. The first system is marked 'Allegro' and features a treble clef with a key signature of one sharp (F#). The right hand plays a complex, rapid passage with many sixteenth notes, while the left hand provides a steady accompaniment. A circled section in the right hand is labeled '(1)'. The second system continues the piece, with the right hand playing a similar rapid passage. A circled section in the right hand is labeled '(2)'. The left hand has dynamic markings 'p' (piano) and 'f' (forte). The word '[sic]' is written in the left hand of the second system. The word 'arpeggio' is written above the right hand of the first system. The notation includes various musical symbols such as beams, slurs, and articulation marks.

{27} As follows from Fig. 7c , it was the master's intention to establish a^2 for the first time as \hat{s} above the dominant divider (V), i.e. by reaching over [Übergreifend zu bringen]. Accordingly, in the treble in the realization, d^2 holds a position of priority; but Bach holds back even this d^2 for a while, as shown in the following sketch:

Fig. 10

The illustration shows the outline of an arpeggiation in which d^2 is not articulated until the very end. In this sense, Bach's auspicious term 'Einleitung' can also be taken to characterize this introductory passage. Smaller arpeggiations – see Fig. 10b – are built into the larger one (Fig. 10a), so that the task falls to the passage-work in the realization, which veils the arpeggiation as far as a^1 , to unite these with successive linear progressions of a sixth, a fifth and an octave ($d^3 - f\#^2$, $a^2 - d^2$, $\{28\} f\#^2 - f\#^1$); see the brackets in Fig. 10b. The beauty of the realization thus lies in capturing, so to speak, a smaller motive of arpeggiation within the larger arpeggiation and in concealing this relationship with passage-work which, in decisively realizing a goal, nevertheless pretends to wander aimlessly. Bach insists upon a most precise ordering of events even in the diminution of a free fantasy, and only for the sake of 'fantasy' hides it behind the appearance of disorder: in this is constituted the inimitable quality of his art.

A few more details are worth noting. In the passage-work the afterbeat of a trill is attached to $f\#^2$; a figure which expresses something like a doubling of such an afterbeat is attached to d^2 , whereas $f\#^1$ receives only the simple afterbeat. From here on, the arpeggiation is twice embellished with acciaccature and continues unembellished in the end. One notes the rhythmic permutation of $e^1 - f\#^1 - a^1$ at the transition from the passage-work into the arpeggiation: it is enlivened by rhythmic contrast.

In the realization the descending sixth-progression in the treble, $d^2 - f\#^1$ proceeds in contrary motion to the rising progression in the bass. And here is the [first] arpeggio to which Bach's words refer: 'In the realization, each arpeggiated chord is to be performed twice. When the second arpeggiation is to be taken in a different register in either the right or the left hand, this is indicated.' A change of register such as this is annotated with *piano* in the left hand.

Allegro.

(1) 6 4 7 2 6 (2)

(x) (3) (4) (5)

(6) (1)

Plate 1 C.P.E. Bach, *Versuch* , 11, 341

Allegro

The image displays a handwritten musical score for piano and violin. The score is organized into five systems, each consisting of a piano staff (bottom) and a violin staff (top). The tempo is marked as *Allegro* at the beginning. The piano part includes various textures, including arpeggiated chords, triplets, and dynamic markings such as *p*, *f*, *arp*, and *arp: p*. The violin part features melodic lines with slurs, accents, and dynamic markings like *f* and *p*. The notation is dense and characteristic of a working draft or a composer's sketch.

The treble seizes d^2 again only at the passing ctj in the bass (*forte* here because of the chromaticism!), and with this the first register is now regained (see the dotted slur from d^2 to d^2). A glance back over the progress of the treble and the bass shows the fine octave couplings $d^3 - d^2$ and $d - D$. The bass returns from D to d by an octave leap and compels the treble to leap upwards from $f\#^1$ to d^2 , back to its original register as well. One comes to prize the great value of registral shifts!

The d^2 becomes a seventh above the root $E\#^3$; it is then suspended as a fourth above the root A (see Bach's plan). Attention is drawn first of all to the acciaccatura $c\#^1 - d^1$ in the first broken octave; in what follows, passage-work indeed replaces simple arpeggiation, and yet even in the passage-work that acciaccatura asserts itself motivically (see the $c\#^3 - d^3$ and $c\#^2 - d^2$). Who would imagine motivic integrity of this sort in the diminution of a free fantasy!

Still more sublime is the beauty of a hidden progression in the voice-leading reproduced in the following sketch:



Fig. 11

{29} An exchange of voices is intended here, leading the seventh, d^2 , to $c\#^1$ instead of to $c\#^2$, while $g\#^1$ in the middle voice is made a note of the treble and is led to a^1 . (In the last analysis, the voice-exchange implies that reaching-over by which the $\hat{5}$, a^1 (later a^2), is achieved for the first time in the treble; see above.) In the realization, as in Fig. 11a, the motion from d^2 to b^1 is by leap, but from there in a third-progression, $b^1 - a^1 - g\#^1$. Now one is able to understand the repetitions in the passage-work, $d^3 - b^2$ and $d^2 - b^1$ (see the shorter slurs): these are precisely the first note of the arpeggiation that is shown in Fig. 11a. Since the arpeggiation can escape the ear so easily at the entrance of the $E\#_3^7$ chord, it became necessary to keep the memory of it alive during the following extended

run. But in the harmony on A, the $g\#^1$ before the a^1 , as well as the $g\#^2$ before the a^2 , functions not as an acciaccatura, as it might appear, but as an upward resolution $\frown 7-8$ as illustrated in Fig. 11. Even the diminution of the suspension $\frown 4-3$ is motivically prepared (see the brackets [in Bach's realization]).

The following illustration will serve the understanding of the passage at (3) in both the plan and its realization: ¹⁶



Fig. 12

The seventh of the harmony on B becomes a sixth in the following harmony on C, which is to be understood as a delaying of the fifth, g (see Bach's *Generalbaßlehre* [i.e. part 11 of the *Versuch*], chapter 1, §64). In the realization, Bach sets the unfolding of the progression $6-5-b 4-3$ an octave lower than is shown in Fig. 7c; he does this in order to hold in reserve the crucial effect of the second, g^2 (above the second $B\flat$ in the bass; see the plan). Moreover, he omits altogether the bass progression $B\flat - A - G$ given in the plan, similarly so that {30} the good effect of the second $B\flat$ (with the second-chord) will not be anticipated. In this way the plan announces a voice progression at (3) to which the composer indeed refers in the execution of the fantasy, but which he does not allow fully to materialize! When his words are recalled – ‘... the anticipatory motion at (3) is realized in slow figures, in which the bass has been intentionally omitted ...’ one must pay due homage to the master for this artistic deed, in which the conscious and the instinctive are so intimately mixed. Artifices of such daring belong as well even to the diminution in a free fantasy! How can one imitate them, how can one achieve them?

The smaller slurs at (3) in the realization show the inverted genesis of the sonority $c^2 - a^1 - f^1$ (see the passing $\frac{6}{4}$ chord in Fig. 12); the brackets expound a motivic parallelism!

At (5) in the realization, where $f\#^2$ concludes the third-progression and g^2

ought to follow (see Figs. 7b and 7c), a detour is taken, as the following illustration shows:



Fig. 13

At (6) in the realization, the detour provides the occasion for a ‘slow figure’ that descends from d^3 to g^2 . Now the ascending arpeggiation $b^b - g^2$ is interpolated, whereupon follows a more precipitous run, in continuation of the earlier slow figure, which attends as well without interruption to the connection with the next harmony, $G \#^{\flat 7}$ – and thus there is no leap in the bass from B^b to $G \#$!

From $G \#$ on, the bass produces several octave couplings which are not provided for in the plan.

The realization of the tonic at the close consists in arpeggiations. The gap between the chords of the left and right hands is left deliberately open, destined expressly to be filled by the progression $d^1 - c^1 - b - (g)$ in the inner voice.

Thus the realization of C.P.E. Bach’s free fantasy blossoms from first note to last from the most rigorous artifice of voice-leading, from the most ingenious diminutions which, striking and beautiful in themselves, fulfil all the relationships of harmony and voice, and make them pure.

II

{31} An example by Handel now follows: the Praeludium from the first of his *Leçons* .¹⁷ To clarify my explanation, the symbols of the Foreground Graph have been entered as well into the original (which of course contains no such symbols):

5

(Quartzug) (Quartzug) (1. Quartmotiv)

Arpeggio

(Lauf—

(Quartzug)

10

— Brechung—

— Lauf)

15

(Lauf—

Brechung—

D₆

{32} In this fantasy as well, the certainty of the way – of the course of the *Urlinie* – is striking above all. Surely, Handel the master could easily have improvised it when, spreading his wings, suspended in the element of tone, he felt restraint and freedom, present and future unified!

The voice-leading prolongations of the *Urlinie* are given in Fig. 14 .

{33} Fig. 14a shows the pure diatonic conduct of the *Ursatz* with a fifth-progression in the bass (I-V), but together with it the dissonant idling [*Leerlauf*] at C and E \flat in the bass and at e \flat ² in the treble. The first prolongation of the voice-leading (Fig. 14b) shows a wide-ranging composing-out of the f² , the $\hat{5}$, by means of a neighbour-note formation to which the bass lends support (see the large brackets). The interpolation of the chromatic tones B \natural and C \sharp serves to eliminate consecutive fifths at C and D. Accordingly, a fifth occurs at the arrival

of D in the bass; and so a^1 must advance to $b\flat^1$ in order to achieve the $\hat{4}$ chord on the tonic, which is provided for in the Ursatz (see Fig. 14a).

The diminution at Fig. 14c reaches out still further. First of all, there is the interpolation of the dominant divider on f; it yields a^1 in the inner voice, through which the unbroken motion $b\flat^1 - a^1 - a\flat^1 - g^1$ is realized (compare this to Fig. 14). With the help of the secondary dominant on G, the chromatic progression $e\flat^2 - e\flat^2$ is avoided (*cf. Tonwille* 5, p.3). Following this, the neighbour-note motion $3-4-4-3$ (D-E \flat -E \flat -D in the bass) confirms the $\hat{6}$ chord on the tonic; for the extension of the earlier motion from B \flat to D necessitates an emphatic paraphrase of the goal that is now finally achieved. But f^2 , the $\hat{5}$, remains steadfast; the Urlinie advances only after the neighbour-note motion is completed. A fourth-progression f-b \flat in the bass (but extracted from the inner voice) seizes the notes of the Urlinie in passing harmonies. The $\hat{2}$ is unfolded in the third-progression

$$\begin{array}{c} \hat{2} \text{---} \\ (\hat{8}-\hat{7}) \end{array}$$

Another neighbour-note motion above the dominant is coupled to the succession 7-6-5.

Figure 14 consists of three systems of musical notation. System a) shows a treble clef with a dotted line and labels '(Diss.)' and '(Quintzug)'. System b) shows a treble clef with a dotted line and label '(Quintzug)'. System c) shows a grand staff with labels '(Teller)', '(Teller)', and '(Quartzug)'. Roman numerals and fingerings are indicated below the staves.

Fig. 14

Now to the Foreground Graph. The voice-leading induces further developments in the diminution. The unfolding to the first dominant divider has the following antecedents in the voice-leading:

Figure 15 consists of three systems of musical notation. System a) is labeled 'T. 1-6'. System b) is labeled '(Quartzug)'. System c) is labeled '(Quartzug)'. Roman numerals and fingerings are indicated below the staves.

Fig. 15

{34} But in the realization (see the piece itself), f^1 is initially posted instead of f^2 as the point of departure, necessitating – in order to fulfil the primary condition of Fig. 15 – two fourth-progressions in the treble ($f^1 - bb^1$ and $bb^1 - eb^2$) and the interpolation of a chromatic note in the fourth-progression in the bass.

The following illustration may serve in particular to explain the second-chord in bar 4:

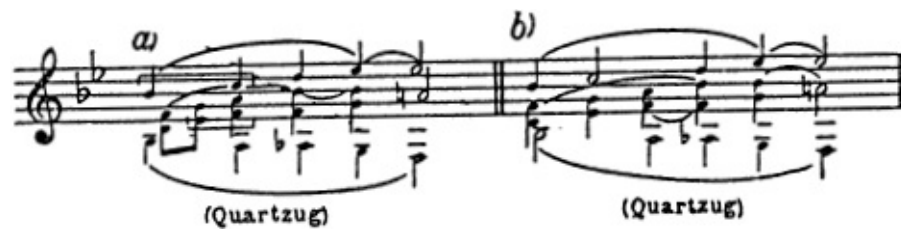


Fig. 16

It is to be inferred from [Fig. 16a](#) that the fourth-progression in the inner voice, $f^1 - b^1$, threatens consecutive fifths [indicated by brackets], which it was possible to elude only in the manner shown in [Fig. 16b](#).

From the divider f in bar 6 the way leads to the next harmony, B^{b7} (bar 12), but not altogether directly, for the master interpolates a diminution (bars 8–11) comprising the mixture of running passage, arpeggiation, running passage (see the Foreground Graph). This diminution links up two objectives: (1) the taking, finally, of the f^2 in the treble, which had been neglected up to this point, and (2) the making of a true connection from the f^2 to the B in the bass by means of a running passage instead of a leap of an augmented fourth or diminished fifth. With this diminution Handel portentously underscores the significance of the connection of the chords B^{b7} and C^5 as the first chordal pair in the neighbour-note formulation (see the first set of brackets); to all appearances merely an idle insertion, it serves the synthesis especially well by both retrieving f^2 and at the same time announcing what is to follow. An ingenious progression! What rare and fine detail, moreover, in having the first run begin with c^2 (the semiquaver rest in the original stands for c^2), by which a fourth-motive, $c^2 - f^2$, is created (see [Fig. 17](#))! For the rest, it goes without saying that the arpeggiation gains in abundance of sonority from the coupling of three octaves.

A second interpolation – run, arpeggiation, run – follows in bars 14–22, swinging as far as the pair of chords in the neighbour-note construction (see the second set of brackets): thus it is at once the fulfilment of a parallelism and the means by which to point with emphasis towards events to come. The realization of this diminution oversteps the situation sketched in [Fig. 14c](#) by the insertion of a secondary dominant:

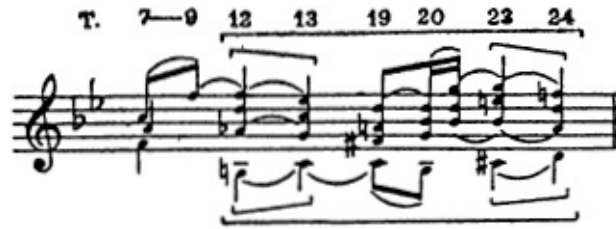


Fig. 17

Allegro

(Quartzug) (Quartzug) (Quartzug)

(Lauf-Brechung) Lauf

(Lauf-Brechung) Lauf (Lauf-Brechung—Lauf—)

(Teiler der Durchgangsharmonie)

(Dg) (Dg) (Dg) (Dg) (Dg) (Dg) (Dg)

(Dg) (Dg) (Dg) (Dg) (Dg) (Dg) (Dg)

Foreground Graph

{35} It is this D major chord, the dominant of G, which again gives occasion for a fourth-motive, $d^2 - g^2$, as a reply to the fourth-motive $c^2 - f^2$ expressed by the first interpolation. Who might presume to compose such things today, or

even wish to imitate them! In the midst of the diminution Handel prepares the g^2 in bar 23 with the g^2 in bar 18; and how attentively he articulates the first run in its descent from g^2 (see the realization) – as if to conceal the series of chords C- $A^{\flat 5}$ - $D^{\sharp 3}$ (somewhat in the sense of IV-II-V in G minor).

The transfer from D^5 to D^6 in bars 24–7 (see [Figs. 14b](#) and [14c](#)) is elucidated in greater detail by the following:



Fig. 18

A fifth-progression in the treble and a fourth-progression in the inner voice work in contrary motion here, but because the bass moves temporarily into the inner voice during the fourth-progression, this leads to independent chords. Now it remains only for the treble to continue the descending path, previously established, above the neighbour-note motion that follows. But it is precisely this that contributes advantageously to the synthesis: f^2 , having governed all the earlier diminution, is avoided in the treble during the neighbour-note motion in bars 27–29, i.e. it is held in reserve (cf. [Fig. 14c](#)). To be sure, it will become necessary to return to f^2 at the end of the entire motion (see the dotted slurs in [Fig. 18](#)). Note also the octave couplings in the bass, in the form of direct leaps or longer progressions (see the piece itself).

Towards the conclusion, the dominant is veiled in the first instance (see the Foreground Graph), on account of the exchange of voices shown in [Fig. 14c](#): 7–6 in the original inner voice is taken up in the bass (giving the illusion of $\frac{4-6}{2-3}$), but then delivers up a 5 in an inner voice so that the root of the dominant may itself be struck in the penultimate bar.

*

Here is another example from Handel, the first movement from his Keyboard

Suite No.3 in D minor: 18 {36}

Presto

D moll: i- (Quintaug)

6

8 9

10

-IV-

7 =
4 vit

6 =

7 =

15

19 *Adagio* *tr*

20

V=3 IV V=6

IV V=3

{37} This fantasy, too, proceeds along an altogether determined course prescribed by the Urlinie: ¹⁹

(Nbn.)

a)

D moll: I — IV⁹⁻⁸ — V — I — (S) — IV — V=3 — I

b)

Quintzug

D moll: I — IV — V=3 — I — (S) — IV — V

6 7 11 12 13 14 15 16 17 18 20

6 6 5 4 3 2 1

7 — 6 — 5
5 — 4 — 3
4 — 3 — 2

(S) — IV — V

Fig. 19

The Urlinie $\hat{5}-\hat{1}$ admits the $\hat{6}$ as neighbour note (see Fig. 19a).

The diminution at Fig. 19b first of all induces a falling third-progression ($a^2 - f^2$ in bars 1–6) and then, in an ascending third-progression ($g^2 - b^2$ in bars 7–11), turns itself towards $\hat{6}$, whereupon the third third-progression finally sets the Urlinie in descending motion. One might infer from the voice-leading in Fig. 19b that the $\hat{4}$ in the second third-progression is perhaps intended, as shown here:



Fig. 20

{38} In itself that might also be possible, but in this piece a motivic relationship obtains between the course of the Urlinie and the lowest order of diminution (see the brackets in the Foreground Graph, bars 2–7), on account of which the course of the Urlinie must be accepted only as it is shown in Fig. 19a .

The succession $\flat VII-V \sharp^3$ in bars 12–15 (see Fig. 19b) is a composing-out of the V in minor (see ‘Freier Satz’), and one much used by the masters: the bass first seizes the minor third of the dominant (taken in the purely diatonic sense; see *Harmonielehre*, p. 59/pp.45–6) – in this case, C as the minor third of the triad on A (see Bach’s Fantasy, Fig. 7c at (3), and Fig. 12) – and then, with an effect all the more powerful, allows the major third of the dominant, the leading note, to follow. A composing-out such as this brings about the suspension 9–8 (see Fig. 19a), which is more properly and productively interpreted as the seventh above a bass on VII (see Fig. 19b).

The Foreground Graph shows the posting of $\hat{5}$ in bars 1–2 above a [tonic] chord which is not further elaborated. The first descending third-progression in bars 2–4 (see Fig. 19b) contains the neighbour note $b\flat^2$ as a supplement, and even in this version the motive (see above) is of consequence for the Urlinie; that is to say, for the sake of the neighbour note that is already to be found in the first third-progression, the Urlinie also turns towards the neighbour note $\hat{6}$ instead of moving directly from $\hat{5}$ to $\hat{4}$. In what follows we see the third-motive descend

into the lower register, augmented and rhythmically displaced, before the bass finally takes possession of it across bars 6|7 – an altogether bold passage of imitation which one expects least of all in a free fantasy!

The Foreground Graph indicates how the acciaccature participate in the runs and arpeggiations in bars 1–6. But it is only in the realization that all the variety of the acciaccature is displayed. In bar 2, d^2 is sought out by means of an arpeggiation, and not, as in bar 1, by means of a running passage. In the arpeggiation at the second crotchet of bar 2, the last interval is transposed ($e^2 - c\#^2$ instead of $c\#^2 - e^2$), by which the form of the third crotchet is both prepared and better established.

The image displays a musical score for a piece marked "Presto" in D minor. It consists of three systems of piano and bass staves. The first system shows the initial six bars. The second system includes a "D moll: 1-" marking and a circled "5" above the first measure. The third system features a circled "10" above the first measure and a circled "20" above the second measure. The score is heavily annotated with dashed lines, arrows, and brackets, indicating specific musical relationships and techniques. Below the piano and bass staves is a "Foreground Graph" which uses Roman numerals (I, IV, V, VII) and other symbols to represent harmonic and structural elements. The graph shows a sequence of chords and intervals, with some notes marked with superscripts (e.g., e^2 , $c\#^2$) and other symbols like "Q", "P", and "S".

Foreground Graph

In the first crotchet of bar 3, the neighbour note $b\flat^2$ is expressed in a falling third-progression, which had necessarily to be inserted at a weak semiquaver; conversely, in the second crotchet of bar 3, e^2 is composed out by a rising third-progression: relationship and contrast in the two progressions {39} demand to be understood as artistic intention. In the third crotchet of the same bar, the lower third pushes finally to the a^2 , and (the acciaccature aside) a two-voice texture is established (see the Foreground Graph).

On account of the augmentation, Handel is led to apply significant alterations in the motivic imitation in bar 4: thus the shaping of the $b\flat^1$ in the second crotchet and the a^1 in the third and fourth crotchets deviates from that [of $b\flat^2$ and a^2] in the first and second crotchets of bar 3.

The manner of arpeggiation in bars 7ff has otherwise nothing in common with ordinary arpeggios. The first harmony on $B\flat$ is broken in ascending and descending arpeggiations the first time, but only in an ascending arpeggiation the second time. But at the very next harmony, $F\sharp^{6-5}$, the order is reversed: now the descending arpeggiation precedes the ascending, which only becomes possible because the left hand meanwhile plays the bass note in isolation. Subsequent arpeggiations proceed in this way. A descending and ascending arpeggiation which reaches a peak at c^3 posits D as root. In bar 10 it is as though the a^2-c^3 in the last crotchet condenses the sum total of both earlier arpeggiations in bars 8–10 into a single motive! Again in bars 11 and 12 the arpeggiations above G and C each take the form of an arpeggiation that both descends and ascends.

At the fourth crotchet of bar 13, the arpeggiation is transformed into a run of demisemiquavers which stands for a descending arpeggiation, on account of which an ascending arpeggiation follows at the third and fourth crotchets of bar 14. A demisemiquaver figure, embellishing the seventh, g^2 , in the last quaver of bar 15, leads over to a demisemiquaver figure in the first crotchet of bar 16. Similarly, the triplet at the end of bar 16 prepares for the triplets in bar 17. In this bar, the descending third first produces $e\flat^1$ instead of $e\flat^2$, which appears only in the last semiquaver of the bar at the end of the ascending arpeggiation. From the behaviour of these arpeggiations, one infers that their supple bonding (in the treble and bass) was of special concern to Handel.

Finally, our attention is directed to the partnership of the [keyboard player's] hands, for Handel subjects this to certain laws as well. The limits of the notes to be taken by the right and left hand are in accord with the consequences of the voice-leading; they testify as well to the artistic provision for a comfortable

manner of playing that advances far beyond the rigid constraint to make both hands equally strong partners. Thus, for example, in the descending arpeggiation in bar 7 the left hand intervenes only at the d [i.e. the last note in the bar] and not at the earlier d¹ [the thirteenth semiquaver]. In bar 8, the left hand takes over the descending arpeggiation at c¹, but leads the ascending arpeggiation in the next bar to c². (This is repeated in bar 10.) In bar 13 the ascending arpeggiation is guided even more artfully: observe {40} how the right hand pursues the course from f¹ to f², as though the left hand had not interceded at all. In the penultimate bar the descending run has nearly the character of a recitative, a suggestive retarding and transition to the adagio at the close.

*

The musician may now well ask whether, beyond the summit of such art, beyond such imagination in harmonic movement and voice-leading, progress to something still ‘better’ is even conceivable. Only the presence of mind with which our geniuses mastered the tonal material in such a way made it possible for them to produce far-reaching syntheses. Their works are in no way pieced together but rather, in the manner of the free fantasy, sketched out spontaneously and brought up from a concealed *Urgrund*.

How much newer than all the latest novelties of today would a creative musical personality be if he were able to bring to pass a realization of the fundamental chord, and all the individual sonorities that are drawn from it, with the strength of a Handel, a C.P.E. Bach, or another of the great masters! Nothing in the art and life of the future genius will likely call to mind our present time. This genius will be similar, rather, to the great masters of the past – would to God only that he might soon be summoned again to the German people! – but surely as different from them as they all differ from one another.

¹ [Horace, *Epistles* 1, no. 10, line 24: *Naturam expelles furca, tamen usque recurret* (you may expel Nature with a pitchfork, but she always returns).]

² [Here, where Schenker is at pains to depict the phenomenon of music as a metaphor for creation itself, it seems wise to convey the sense of *Klang* as some primordial sonority, preliminary to the notion of ‘chord’, which allows of no such ambiguity in English, even though the term is often used by Schenker in this specific sense. The lapidary opening sentence of the ‘Elucidations’ – ‘The musical sonority as it exists in Nature is a triad’ [*Der Klang in der Natur ist ein Dreiklang*] - encourages this elemental distinction.]

³ In ‘Freier Satz’ I undertake to treat diminution systematically. [The topic is addressed

in *Der freie Satz*, §§242–83.]

- ⁴ [Schenker seems to have worked not from the original edition of part 11 of Bach's *Versuch* (1762), but from the authorized revision, published posthumously by Schwickert of Leipzig in 1797 (see also note 7). In rendering Bach's text into English, I have consulted Mitchell's translation (pp. 430–45) – where 11, 41 is renumbered as chapter seven – but have for the most part translated afresh.]
- ⁵ [The term *Cadenz* had a latitude of meaning in the eighteenth century. In this instance, Bach surely means to specify not 'cadence' in its conventional sense, but those elaborated indices of structural significance that would, in slightly later parlance, be classified under the term 'cadenza'. On this distinction, see Mitchell's valuable comment (p. 164, note 35).]
- ⁶ Perceived from the thoroughly false basic ideas expressed in Reger's *Beiträge zur Modulationslehre* – compare §§7–11 in Bach's chapter on the free fantasy, and *Harmonielehre*, p.445/p.336 – what a discrepancy in the treatment of chromatic modulation, even on this single point! [For more on Schenker's attitude to Reger's modulation tutor, see *Meisterwerk* 11, pp.190–1.]
- ⁷ [In the original edition of part 11 of the *Versuch*, 'in welchem die Lehre von dem Accompaniment und der freyen Fantasie abgehandelt wird' (1762), the final chapter comprises fourteen paragraphs (denoted by the symbol §). In the revised edition (1797) a new '§12' is inserted and the final three paragraphs are renumbered 13–15. Schenker clearly had before him a text with fifteen paragraphs. Omitting the new '§12' in characteristic silence, he must have sensed in it an intrusion in the argument of the original text of the chapter.

This very paragraph is the subject of inquiry in Richard Kramer, 'The New Modulation of the 1770s: C.P.E. Bach in Theory, Criticism, and Practice', *Journal of the American Musicological Society* 38 (1985), pp.551–92.

For the present translation, we retain Schenker's paragraph numbering but indicate the original numbering (also used in Mitchell's translation) in square brackets at the start of each of Bach's paragraphs.]
- ⁸ [Schenker seems to have meant to refer the reader to p.69 in *Meisterwerk* 1 (p.36 of the present translation), where a paragraph on the term *Motivwechsel* concludes with a reference back to p. 16. The mark of interrogation is surely an editorial oversight.]
- ⁹ [Bach, cautioning against doubling the fifth degree, seems to have in mind a doubling of the flattened fifth and the parallelism of octaves that would necessarily follow from such a doubling. Schenker, on the other hand, seems to read Bach to refer explicitly to a proscription against consecutive fifths.]
- ¹⁰ In all Bach's examples, the additional phrasing marks, dotted slurs, brackets, scale-degree indications and other symbols are my own.
- ¹¹ See J.S. Bach, *Chromatic Fantasy*, bars 21–2 and 31; *Well-tempered Clavier*, 1, Prelude in E \flat minor, bar 18, a passage discussed in *Tonwille* 1, pp.40[–1].

- ¹² In the reprint by [Walter] Niemann (Leipzig: C.F. Kahnt, [1906; repr. 1917, 1920, 1925]), the realization for which the reader of §15 [§14] is most eager is not to be found in its proper place.
- ¹³ [The *Probestück* to which Bach refers is the Fantasy in C minor, the so-called ‘Hamlet’ Fantasy, published as the final piece (literally, the third movement of the sixth sonata) in the collection issued with part 1 of the *Versuch* as *Exempel nebst 18 Probestücken in 6 Sonaten zu C.P.E. Bachs Versuch ... auf XXVI Kupfer-Tafeln* (Berlin, 1753). For the extensive literature on the piece, see E. Eugene Helm, *Thematic Catalogue of the Works of Carl Philipp Emanuel Bach* (New Haven and London: Yale University Press, 1989), item 75.]
- ¹⁴ [The two representations of the work – what Schenker refers to as *Plan* and *Ausführung* – are shown in Plates 1 and 2, respectively, taken from the original edition of part 11 of the *Versuch*. Here one might wish to savour Bach’s term *Gerippe* (‘skeleton’), which has none of the causal implications of Schenker’s *Plan* and even encourages the two ‘views’ of the work as simultaneous and inseparable. It is clear why Schenker will have wanted to privilege the *Gerippe* above the *Ausführung* in a hierarchical sense, but it is unclear why he should have wanted to suggest that the former was actually conceived before the latter.]
- ¹⁵ [As will be clear from a comparison of Schenker’s rendering of the *Ausführung* with Bach’s copper plate engraving, the bracketed figures with which Bach cues his explanation to the Fantasy were set in the *Gerippe* but emphatically not in the *Ausführung*. Mitchell, in his English edition of the *Versuch*, takes the same licence, and exacerbates the matter by misplacing Bach’s final figure (1) in the *Gerippe* (and necessarily in the *Ausführung*), missing all the subtlety in Bach’s suggestion that the ‘harmony in the principal key’ is heard to reestablish itself towards the end.]
- ¹⁶ [Schenker’s Fig. 12 addresses what is conceptually the most profound discrepancy between *Gerippe* and *Ausführung*; Bach himself addresses the moment in three illuminating sentences. The ‘ellipsis’ in the *Gerippe* at figure (3) provokes in the realization a passage that tests the theoretical limitations at this point of greatest tonal remove. In Schenker’s representation of the *Ausführung*, the passage is clotted with brackets and slurs, dotted and solid. The decision to place Bach’s figure (3) beneath the first c^2 in the unfolding from the dominant seventh on B, by no means self-evident from a superpositioning of the *Gerippe* on the *Ausführung*, is explained in Fig. 12, where a harmony is extrapolated that at once negotiates the ellipsis and sets the slurred bass notes in an inner voice, pointing up the deeper sense in which Bach means that these notes ‘anticipate the following reiteration of the second-chord’ (*erklären die Einleitung in die darauffolgende Wiederholung des Secundenaccordes*).]
- ¹⁷ In presenting the two examples by Handel, I follow the collected edition [= *Georg Friedrich Handel’s Werke: Ausgabe der Deutschen Händelgesellschaft*, ed. Friedrich Chrysander, 11: *Pièces pour le Clavecin par George Frederic Handel* (Leipzig,

[1859)], but with the reservation that it, among all collected editions, is surely the one most in need of revision. All additional markings – slurs, brackets, scale-degree indications and the like – are by the author of this Yearbook.

[The first piece is the opening movement from the Suite in Bk major, item 434 in Berendt Baselt's *Thematisch-systematisches Verzeichnis: Instrumentalmusik; Pasticci und Fragmente*, Händel-Handbuch, m (Kassel, 1986). Where did Schenker find the designation 'Leçons'? Not in Chrysander's edition (*Werke*, 11, p.63), nor in the first authentic edition, published by John Walsh (London, 1733). The collection is titled 'A Second Set of Lessons ...' in Samuel Arnold's edition of c.1793.]

¹⁸ [Baselt, *Thematisch-systematisches Verzeichnis*, item 428; *Werke*, ed. Chrysander, 11, p. 12. In Schenker's notation of the piece, it may not be self-evident that the crotchet D in the bass in bar 9, shown in brackets, is an actual note in the score, whereas the brackets around the minim g^2 in the treble in bar 14 mean to suggest the contrary: a note which the Urlinie wills into existence, an obligatory resolution of the $\frac{6}{4}$ chord in bar 13 that nevertheless remains powerfully understood, even though unstated in Handel's text.]

¹⁹ [For a slightly different graphing of this piece, see *Der freie Satz*, Fig. 64/1, shown in illustration of §181 ('the composing-out of suspensions'). What is troubling in the present reading is the silent mutation – between Fig. 19b and Fig. 19a – of the Neapolitan sixth $E\flat$ in bar 17 into a true second degree, $E\sharp$. In Fig. 64/1, bars 17–20 are omitted in the 'middleground' graphing, so that no such discrepancy is evident in the more abstract graphing that lies adjacent to it.]