

INQUIRY INTO J.S. BACH'S METHOD OF REWORKING IN HIS COMPOSITION OF
THE CONCERTO FOR KEYBOARD, FLUTE AND VIOLIN, BWV 1044, AND ITS
CHRONOLOGY

by

DAVID JAMES DOUGLAS

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Department of MUSIC

The University of British Columbia
Vancouver, Canada

Date Oct. 15/97

Abstract

Bach's Concerto for Keyboard, Flute, and Violin with Orchestra in A minor, BWV 1044, is a very interesting and unprecedented case of Bach reworking pre-existing keyboard works into three concerto movements. There are several examples of Bach carrying out the reverse process with his keyboard arrangements of Vivaldi, and other composers' concertos, but the reworking of the Prelude and Fugue in A minor, BWV 894, into the outer movements of BWV 1044, and the second movement of the Organ Sonata in F major, BWV 527, into the middle movement, appears to be unique among Bach's compositional activity. This study will explore in some detail how Bach transforms these solo keyboard pieces into a three movement concerto for three concertino instruments and ripieno.

As is the case with most of Bach's instrumental works, the question of where BWV 1044 fits within the chronology of Bach's works is unclear. This paper will attempt a reliable date of composition for this concerto by combining a variety of methods including source study and comparative formal analysis.

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Chapter One: The Process of Reworking BWV 894 and BWV 527/2 into the Three Movements of BWV 1044

Bach's recasting of the Prelude and Fugue in A minor, BWV 894, and the slow movement of the Organ Sonata in D minor, BWV 527/2 into the three concerto movements of BWV 1044 involved a considerable amount of reworking and the addition of newly composed material. In fact, this type of reworking of solo keyboard works into concerto movements is unprecedented among Bach's other recastings of orchestral and vocal works. The reworking of the Prelude and Fugue in A minor into the two outer movements involves the addition of a considerable amount of newly composed material as Bach creates and inserts new orchestral ritornellos. There are also instances of expansion outside of these newly composed ritornellos, with the repetition of short phrases and the addition of a newly composed cadenza in the last movement. In general, the material of the Prelude and Fugue is kept more or less intact in the solo keyboard part, and in fact, it is this material which makes up the bulk of the solo sections. To the Cembalo part a fair amount of orchestral accompaniment is added, along with contributions from the other two concertino instruments of Flauto traverso and Violino concertato. While a significant amount of new material is added to the two outer movements, the middle movement of BWV 1044 with the exception of a few measures, follows BWV 527/2 closely. The Cembalo concertato part in this movement retains the bass voice in the left hand throughout while the right hand performs either one or the other of the two melodic lines. The constant factor in the reworking of all three movements is that the keyboard part is the predominant solo part. We will now look at the reworkings of each of the movements in more detail progressing in complexity from the relatively simple reworking of the middle movement to the more involved reworkings of the last and opening movements.

The Reworking of BWV 527/2 into BWV 1044/2

Bach, for the second movement of BWV 1044, chose to rework the slow movement from the Organ Sonata in D minor, BWV 527/2. In this movement, the ripieno instruments drop out while the three concertino instruments perform what is essentially a trio sonata. One of the most interesting aspects of Bach's reworking of this slow movement is the addition of a newly composed voice transforming the trio into a quartet. This added voice, which is alternately exchanged between the Flauto traverso and Violino concertato, merely outlines the underlying harmony in sixteenth note arpeggio figuration, and is thus, accompanimental in nature and does not really comprise a new melodic line as such, but rather a realization of the figured bass. The Cembalo concertato performs the bass line of the sonata movement in the left hand and one of the two melodic parts of the organ sonata with the right hand. It seems that the right hand of the Cembalo part is delegated the role of lead voice as it is almost exclusively the highest voice throughout the entire movement. This is a bit unusual as the keyboard is usually given the role of accompaniment in such movements, but in this case it seems the role of accompaniment is given alternately to the violin and flute with the arpeggio figuration. The following figure demonstrates how the various voice parts of the organ sonata are distributed among the concertino instruments in the concerto.

Figure 1: Distribution of melodic lines from BWV 527/2 in BWV 1044/2

	mm. 1 - 8, 9 - 16, 17 - 40, 41 - 64			
Flute	B	—	D	—
Violin	—	A	—	C
Keyboard	A	B	C	D

A = melodic phrase corresponding to the top line of BWV 527/2 from mm. 1-8

B = the same except corresponding to the second line

C = top line from mm. 9-32 of BWV 527/2

D = second line from mm. 9-32 of BWV 527/2

— = newly composed accompanimental part

The figure shows how the keyboard is given each of the melodic phrases, while the Violino concertato and Flauto traverso alternate in stating a melodic phrase. Except for the transposition up a fifth, the melodic lines for the most part are unaltered in the concerto reworking. The bass line in the left hand of the keyboard part, however, is altered significantly. The differences between the bass lines at mm. 2 to 3, and m. 8 in both BWV 1044/2 and BWV 527/2 (Example1) involve a more ornate and active bass line in the concerto version.

Example 1: Comparison of Basslines of BWV 527/2 and BWV 1044/2

BWV 527/2



BWV 1044/2



Bach may have wanted to make the bass line more interesting, and more suited to the idiom of a left hand harpsichord part, as opposed to a more straight forward part for pedal. The only other main alteration in the reworking is the addition of a stereotypical phrygian cadence (mm. 65 - 66) at the end the movement. These two measures serve to bring the middle movement to a close in the dominant of A minor, thus providing for a smooth transition into the next movement.

The Reworking of BWV 894/2 into BWV 1044/3

The Ritornellos

The transformation of the Fugue BWV 894/2 to the final movement of BWV 1044 is considerably less complicated than the corresponding reworking of the Prelude. The Fugue is less concerto-like than the Prelude and is relatively free in form, and consequently, BWV 1044/3 is also relatively free in form in contrast to the opening movement. The reworking of the Fugue involves the addition of tutti statements of the ritornello at the open and close of the movement, as well as at significant harmonic articulations. The opening and closing ritornellos are in fact, self contained fugues which are clearly derived from the fugue subject of BWV 894/2. The harmonic reduction of the fugue subject of BWV 894/2 when compared with the fugue subject of the opening ritornello of BWV 1044/3 (Examples 2a - 2b),

demonstrates that the fugue subject of the ritornello is based on chord tones of the underlying harmony, rather than on the melodic line of the fugue subject itself.

Example 2a: Fugue subject of BWV 894/2

Example 2b: Fugue Subject of BWV 1044/3 with Harmonic Reduction of Example 2a

What is interesting is the solo role the Cembalo plays in the opening ritornello introducing the fugue subject. This soloistic role is set in relief when the keyboard assumes the role of continuo after the first statement of the fugue subject is complete. The material in the right hand of the keyboard in the m. 2 is significant because this reappears again at m. 26 where the keyboard comes in alone with the fugue subject of BWV 894/2. This harmonic filling out

of the right hand part is newly added material for the Cembalo which does not appear in BWV 894/2. It seems that Bach, by adding this material for the right hand in the concerto reworking, is drawing attention to the harmonic relationship between the ritornello fugue subject, and the solo fugue subject. In so doing, he seems to achieve a unity in this movement between the ritornellos and solo sections by illuminating the harmonic relationship between the ritornello subject and solo fugue subject.

The opening ritornello, as previously mentioned, is a self-contained fugue, and as a fugue it is relatively straight forward. There are four entries of the fugue subject for Cembalo and Viola at mm. 1 - 6, Violino concertato and Flauto traverso at mm. 5 - 10, Violino I at mm. 10 - 15, and finally for the Basso continuo at mm. 19 - 22. As far as overall texture is concerned the ritornello begins with four independent melodic lines and expands to five by m. 6 which are maintained until the end of the ritornello. Therefore, the ritornello is for five voices, yet is only a four-voiced fugue because one voice (Violino II) is not given the fugue subject. This ritornello is also tonally closed with a cadence in the tonic at m. 25.

There are two statements of ritornello between the opening and closing ritornellos. The first occurs at m. 37 where there is a cadence in the dominant minor. The ripieno enters with an abbreviated version of the ritornello fugue subject (mm. 37 - 39) at which point the Cembalo enters with a cadence in the subdominant, (mm. 40 - 41) which is followed by a second abbreviated statement of the ritornello fugue subject (mm. 42 - 45). These ripieno interjections are clearly references to the opening ritornello, yet they are incomplete and considerably shorter in length (6 measures in total) than the three other ritornellos in this movement. In this case it seems that Bach inserts these references to the opening ritornello in order to reinforce the important cadential articulations in the solo keyboard. The third ritornello (mm. 121 - 145) follows the cadence of the Cembalo in the relative major. This section is the same length of the opening ritornello and therefore, comprises a genuine ritornello statement. Although there are only two complete statements of the fugue subject instead of four, this ritornello, like the opening and closing ritornellos, is tonally closed. The

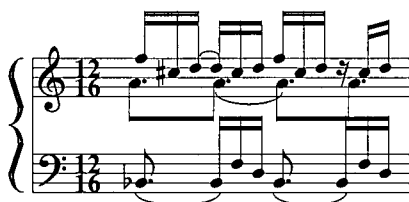
final ritornello (mm. 221 - 246), with the exception of the one measure extension, is identical to the opening ritornello.

Phrase Expansion

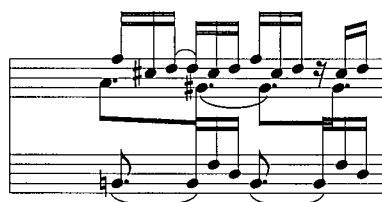
Bach has added solo material in the reworking of BWV 894/2 as well. This includes one instance of phrase expansion, and the addition of a cadenza before the final ritornello. In the phrase expansion (mm. 189 - 192) a two measure phrase (BWV 894/2, mm. 134 - 135) is expanded to four measures simply by the immediate repetition of each measure. Example 3.

Example 3: Expansion of Phrases from BWV 894/2 in BWV 1044/3

BWV 894/2 m. 134

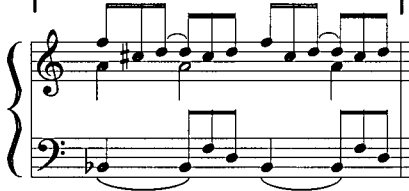


m. 135



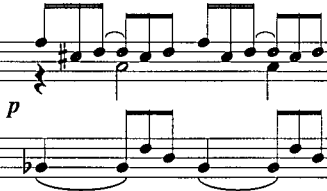
BWV 1044/3

189



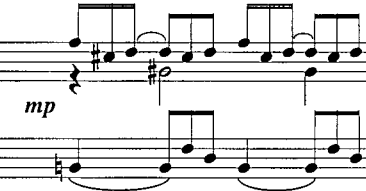
190

p



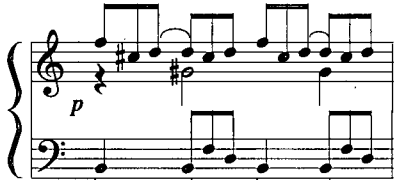
191

mp



192

p



The cadenza (mm. 210 - 221) is comprised almost entirely of newly composed material consisting of a sequence of descending diminished chords in triplet figuration over a

dominant pedal. The last two measures of the cadenza (mm. 220 - 221) are derived from mm. 153 - 154 of BWV 894/2.

Alteration of the Cembalo Part

It is worth noting that, with the exception of the ritornello entries, the keyboard part states the substance of BWV 894/2 without interruption. As mentioned previously, there is the alteration by the harmonic filling out of the right hand at the beginning of the keyboard solo (mm. 26 - 28) which recurs again later (mm. 126 - 128). The other alterations to the keyboard part involve changes in figuration such as that from triplet to sixteenth note figuration in m. 177 and again in mm. 260 - 267. Example 4.

Example 4: Figuration in Keyboard Part of BWV 1044/3

BWV 894/2

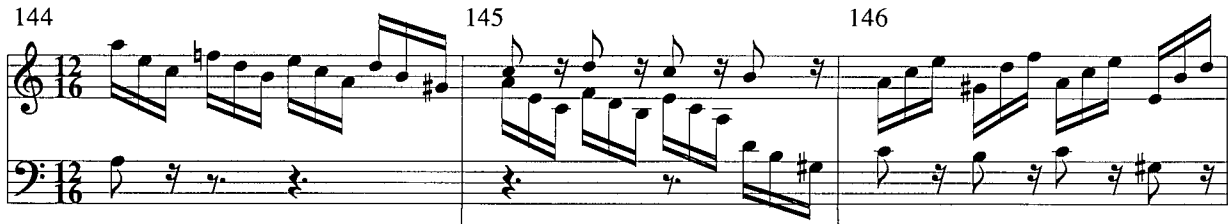


BWV 1044/3



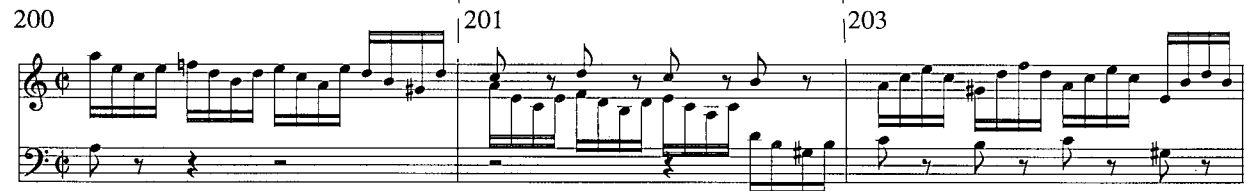
BWV 894/2

144



BWV 1044/3

200



These alterations serve to add some variety to the triplet figuration which permeates the Fugue, and to make the keyboard part sound more virtuosic.

Orchestral Texture and Roles of the Concertino

Bach uses a variety of orchestral textures to accompany the continuous flow of the solo keyboard part. These textures include the chordal (mm. 92 to 100) where the all the strings except for the concertino violin and cello play double stopped chords (something which is unusual in Bach's concertos). More often, however, all members of the ripieno including the Flauto traverso and Violino concertato are involved in a polyphonic texture (e.g. mm. 60 - 71). In this section the various instruments makes staggered, quasi fugal entries until the texture has expanded to six parts by m. 67. In a few instances (mm. 74 - 84 and mm. 160 - 166) only the three concertino instruments are playing resulting in a four-voice texture. Often when the orchestra enters Bach gradually expands the texture (mm. 47 - 55). A similar kind of building up of texture occurs at mm. 60 to 71, mm. 107-115, and mm. 147-157. Bach varies the texture of the accompanying orchestra in this way in order to add some variety to the relentless flow and triplet figuration of the keyboard part, and also perhaps to compensate for the relatively few entries of the ritornello.

While there is clearly a concertino group, the Cembalo, Flauto traverso and Violino concertato, do not share equal roles as soloists. In the third movement in particular, it seems that the role of the Flauto traverso and Violino concertato are more accompanimental than soloistic. Even in the sections where the concertino plays alone, it seems that the Flauto traverso and Violino concertato are subsidiary to the keyboard. For example, at mm. 74 - 80 the Flauto traverso and Violino concertato are playing sustained notes, while the Cembalo performs a sequence in relentless triplet figuration. Not only is the Cembalo the most busy of the three, but the Flauto traverso and Violino concertato parts are not that much different from the ripieno material. In other words, there is nothing really to distinguish the Flauto traverso and Violino concertato except for the fact that they are still performing with the keyboard while the rest of the orchestra is silent. Nowhere in the entire concerto do the other two instruments of the concertino perform anything resembling what the Cembalo is playing. In this movement it seems that the Flauto traverso and Violino concertato alternate as accompanimental collaborators in the concertino and as additional ripienists in the ripieno.

The Reworking of BWV 894/1 into BWV 1044/1 (The First Half)

The Ritornellos

One of the most interesting features of Bach's transformation of the Prelude in A minor BWV 894 into a concerto movement is the creation of a new ritornello. Although it is not entirely clear, it does appear that the Prelude of BWV 894 is cast in concerto form, and has its own ritornello structure. At first appearance, however, it seems that Bach chose to ignore this structure and create a new one for the first movement of the Triple Concerto. In order to explore this change, the first task at hand is to look at the ritornello of the Prelude in some detail. One way to analyze ritornellos is to label the modules with letters in alphabetic sequence, and while this can be useful it fails to indicate the functions of the different units of the ritornello. Bach's use of ritornello and various ritornello fragments in his concertos can often be quite complicated and unfortunately simple modular analysis fails to account for

differences in texture and function. For the present analysis the terms first coined by Wilhelm Fischer to describe the three different sections found in Bach's Vivaldian-type of ritornellos will be used. These sections, called the *Vordersatz*, *Fortspinnung*, and *Epilog* describe the function of the different ritornello sections, and thus, are more flexible when used to describe what is going on in Bach's ritornello constructions. Laurence Dreyfus defines these three terms thus:

The *Vordersatz* ([V]) defines the tonic chord by reference to its dominant. *How* it accomplishes this - broken arpeggios, scale figures, a succession of short motives - is therefore subordinate to *whether* it does so by clearly evident triads in root position moving from the tonic to the dominant. The *Fortspinnung* ([F]), on the other hand, is premised on the absence of either a defined tonic (or, for that matter, any other chord) or an authentic cadence resolving the tonic. It therefore displays either conventional voice leading sequences (such as 10-7-10-7, 5-6-5-6, or 10-10-10) or more random contrapuntal motion but delays, through linear means, any strong articulation. The sign of the *Epilog* ([E]), on the other hand, is the "clausula" itself, the formal cadence in the tonic closing on the first scale step in the upper voice. While the end of the *Epilog* is therefore clearly indicated, its beginning point depends on the end of the *Fortspinnung*. In other words, the *Epilog* takes over as soon as the *Fortspinnung* transgresses, as it were, on foreign territory. This occurs, for example, when the *Fortspinnung* arrives on the dominant, setting up the resolution in the tonic.¹

By virtue of describing harmonic function as opposed to purely melodic and motivic events, this terminology is especially useful in comparing the similarities between the Prelude and ritornellos of the opening movement of BWV 1044.

There seems to be two distinct possibilities for determining what exactly comprises the opening ritornello of BWV 894 and both of these solutions exhibit certain problems. The

¹ Laurence Dreyfus, "J.S. Bach's Concerto Ritornellos and the Question of Invention", in *Musical Quarterly*, Vol. 71/3 (1985), 331.

first possibility is to regard the first nine measures as comprising the opening ritornello.

Example 5.

Example 5: One possible Layout of the *Vordersatz*, *Fortspinnung*,
and *Epilog* of the Opening 'Ritornello' of BWV 894/1



The first measure up to the downbeat of m. 2 is the *Vordersatz* which is followed by two measures (mm. 2 - 3) of sequences making up the *Fortspinnung* and an *Epilog* ending at m. 5 with a half close in the dominant. Essentially the same musical material is repeated transposed to the dominant (mm. 5 - 9) and cadences with a half close in the dominant at m. 9. This ritornello would simply follow an A A' form with the A' functioning very much like a fugal answer, and while it has a clear Vivaldian structure (i.e. it does have a clear sequence of *Vordersatz*, *Fortspinnung*, and *Epilog*), it is unlike a standard ritornello because it cadences in the dominant and, therefore, is not tonally closed.²

The other possibility is to include everything in the first period up to m. 18, which is tonally closed. The overall form of this section can be laid out as a binary form. The A section, comprising the first nine measures, can be divided into two repeated phrases of a (mm. 1 - 5) and a' (mm. 5 - 9). The B section (mm. 9 - 18) is more continuous and thus,

² This happens in only one other case in a concerto by Bach, in the ritornello to the opening movement of BWV 1055..

does not subdivide, but is made up of the same number of measures as the A section. It is however, much more difficult to impose on this entire period a clear V-F-E pattern. At m. 11, for instance, there is a pedal point in the relative major (uncommon for concerto ritornellos) and what are we to make of the two cadences occurring at mm. 5 and 9, when the only clear cadence should occur at the end of the ritornello? Also, the proportion of the ritornello to the length of the whole Prelude is around 1:5 or 20%, which is uncharacteristically long for Bach's concerto ritornellos, and is certainly much longer than that of BWV 1044.

The opening ritornello (Example 6) of BWV 1044/1 is much more straight forward and structurally clear than that of BWV 894. The first four measures clearly comprise the *Vordersatz*, which in turn can be subdivided into two distinct modules, V1 (mm. 1 - 2) and V2 (mm. 2 - 4). The *Fortspinnung* (mm. 5 - 6) consists of two distinct modules (F1 and F2) of descending sequences of seventh chords which lead into the *Epilog* (mm. 7 - 9).

Example 6: Layout of the *Vordersatz*, *Fortspinnung*, and *Epilog* Modules in the Opening Ritornello in BWV 1044/1

The musical score for the opening ritornello of BWV 1044/1 is presented across four staves. The first staff, labeled 'V1', contains measures 1 and 2. The second staff, labeled 'V2', contains measures 3 and 4, with a 'p' (piano) dynamic marking at the end. The third staff, labeled 'F1' and 'F2', contains measures 5 and 6, with a 'f' (forte) dynamic marking at the beginning of measure 5. The fourth staff, labeled 'E', contains measures 7 and 8. The score is written in treble clef with a key signature of one sharp (F#) and a common time signature (C). The music features a variety of rhythmic patterns, including eighth and sixteenth notes, and rests.

Figures 2a - 2d: Layout of the first four ritornello statements in BWV 1044/1

Figure 2a: Opening Ritornello (mm. 1 - 8)

1 - 2, 3 - 4; -5, -6, 7-8				
V1	V2	F1	F2	E
i,	V/i; -i		,	-i

Figure 2b: Second Ritornello (mm. 14 - 20)

14 - 15, 16 - 17, 18, -20			
V2	F1	F2	E
V/i		, i	→v

Figure 2c: Third Ritornello (mm. 35 - 41)

35 - 36, 37 - 38, -39, -41			
V2	F1	F2	E
V/iv		→iv, →i	

Figure 2d: Fourth Ritornello (mm. 51 - 73)

T	S	T	S	T
51 - 52, 53 - 56, 57 - 58, 59 - 60, 61 - 68; 68 - 69, 70 - 73				
V1		F1'	, F2'	, F2 E
		→v	v	→vi/V; →v
		↑		
		Solo insertion		
		T=tutti S=solo		

Although the opening ritornello of BWV 1044/1 is more orthodox than that of the Prelude, there are parallels to the model which demonstrates that Bach has drawn some structural and melodic elements from the "ritornello" of BWV 894/1. The most obvious similarity of course, is the similar head motive that Bach uses for both ritornellos. The first *Vordersatz* module, V1, (Example 7) of BWV 1044 is an expanded version of the opening measure of the Prelude.

Example 7: The *Vordersatz* of BWV 894/1 and BWV 1044/1

BWV 894/1



BWV 1044/1

Violino concertato.

Violoncello e Violine.



The treble statement by the Violino concertato and Violino I of this motive in the concerto occurs an octave lower than the opening statement of the prelude. The motive is expanded in the concerto by simply restating the same motive again an octave higher in the second measure. The motive is also altered in the fourth beat of mm. 1 and 2 by the triplet figuration. The second *Vordersatz* module, V2, is made up of entirely newly composed material, but the triplet figuration is rhythmically characteristic of the type of figuration found throughout the Prelude. On first appearances the melodic material of the *Fortspinnung* section at mm. 5 - 6 may appear to be newly composed, but is in fact related to the *Fortspinnung* type of material found in the Prelude (Example 8). The Violino I and Violino concertato parts at m. 6 are quite similar, although not identical to, the treble line at m. 3 of

the Prelude and the bass line at m. 6 of the concerto is similar to treble line of m. 42 in the Prelude (Example 9). The similarities between the *Fortspinnung* in both ritornellos are that they involve closely related sequential progressions.

Example 8: Similar *Fortspinnungs* of BWV 894/1 and BWV 1044/1

BWV 894/1



BWV 1044/1



Example 9: Similar Treble Line of BWV 894/1 found in the Bass Part of BWV 1044/1

BWV 894/1



BWV 1044/1 (bass part)



The subsequent restatements of the ritornello in BWV 1044/1 are easy to isolate as the material of the opening ritornello is rather distinct from the solo keyboard part (i.e. the Prelude which becomes the solo keyboard part incorporated in the concerto) so that definite ritornello sections can be discerned. Disregarding the several tutti interjections which do not really constitute ritornellos, there are five ritornellos altogether in this concerto. What is interesting to note is that four of these ritornellos all occur within the first half (up to m. 74) of the concerto, and possible reasons for this will be explored later.

The second ritornello (Figure 2b) comes in after the first solo section reaches the dominant through a Phrygian cadence, at which point one would expect material from the opening ritornello to enter transposed into the dominant. This is not the case because the V2 entry at m. 14 is stated much as it was in the opening ritornello. The F1 which follows begins on the same harmony as it did in the opening ritornello but is altered and is expanded by an extra measure. This leads back to the tonic (i^6) at m. 18 where the F2 material appears almost precisely as in the opening ritornello. The E at mm. 19 - 20 is also very similar, but differs from the opening ritornello in that it begins in the tonic and cadences in the dominant. If these modules were simply transposed to the dominant the V2 and part of F1 would conclude in the dominant of the dominant. Bach seems to have wanted this ritornello to remain in the tonic, rather than having a strong shift to the dominant, and in order to do this he avoids any strong modulation and simply cadences on the dominant in the Epilog. This gives the sense that the harmony has not really moved to the dominant but is rather still in V/i.

The keyboard part, in the solo section following the second ritornello covers mm. 5 - 17 of the Prelude and is again expanded by an added measure of the head motive to match the V1 module of the opening ritornello. This solo section ends with a cadence in A minor and is followed by the next ritornello (Figure 2c) at m. 35 with the V2 material again, but by the down beat of m. 36 the C natural is raised to C sharp which marks a significant shift in the harmony. Instead of being a simple case of modal mixture, the A minor harmony at m. 34

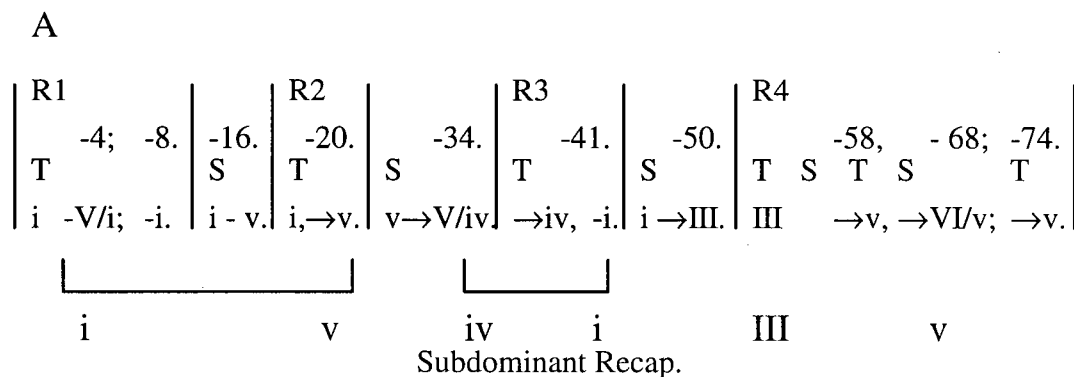
should be reinterpreted as a dominant of the subdominant. The Fortspinnung material lead to the subdominant, which is reached at the beginning of the Epilog at m. 40 and the Epilog in turn, cadences back in the tonic at m. 42.

This section is tonally closed and seems to follow a subdominant recapitulation type of harmonic scheme as indicated in Figure 3. One reason for this configuration is that Bach perhaps did not want to have any clear modulation to the dominant until the establishment of that key at m. 73 (marking the end of the A section in the AB binary form of the whole movement), and thus, wanted the first 41 measures to remain in the tonic. Given this harmonic scheme, it even seems possible to view this section as comprising one large ritornello. This corresponds well with the material from the Prelude covered by the keyboard part in this section of music (mm. 1-18 of BWV 894/1), because it too, as discussed earlier, can be viewed as comprising a large ritornello section, and is also tonally closed. Another feature of the section up to m. 41 is that each of the Solo/Ritornello sections contain all of the V's, F's, and E's of the opening ritornello, which do not appear altogether again until the final ritornello. What is interesting is how Bach maintains harmonic interest in what is otherwise a fairly extensive harmonically static section, with the newly composed ritornello sections. The introduction of the subdominant harmony at the beginning of the third ritornello adds a new harmonic dimension of subdominant recapitulation which was not present in the Prelude. Also, it is quite clear that Bach maintains this interest primarily through the transposition of certain ritornello modules. This can be seen most clearly by comparing the second and third ritornellos (Figures 2b and 2c). Here, the V2, F1 and F2 modules of the second ritornello are transposed up a fourth in the third ritornello so that the harmonic movement of V/i to i in the second ritornello becomes V/iv to iv in the third. Thus, through the transposition of ritornello modules (which are newly composed in the reworking), the subdominant recapitulation is achieved.

After the solo keyboard makes a strong cadence in the relative major at m. 51 the ripieno makes a forte statement of the head motive, with the Cembalo briefly taking the role

of continuo accompaniment. This interjection seems to accentuate the importance of the cadence in the relative major, but does not actually comprise a full ritornello. The solo keyboard takes over again at m. 52 and the next ritornello fragment occurs at m. 57 with the Violino concertato and Flauto traverso playing the F1 material. From measure 59 to 60 the keyboard introduces a few measures of newly composed music which constitutes a variation of the F2 module (labeled F2' in fig. 2d). At the second half of m. 61, there is another very brief forte statement of the F2 material in the ripieno. The solo keyboard takes over again here and finally at mm. 68-74 an extended F2 and E, brings the first half of the concerto to a close in the dominant. The most interesting aspect of this ritornello is the solo interjections, and the fact that the newly composed music for the solo keyboard part is derived from one of the ritornello modules. One reason for the solo interjections in this ritornello may be that Bach was perhaps presaging what occurs in the second half of the movement which is more soloistic in character than the first half.

Figure 3: Gross Structure of BWV 1044/1 (mm. 1 - 74)



Up to this point in the movement the solo keyboard has covered 40 mm. of the Prelude, a little less than half of the entire Prelude and Bach, through the insertion of the first four ritornellos, has extended the material of the prelude by some 34 measures. The 74 measures of the A section makes up nearly half of the entire movement. The significance of

this will become clear when the underlying form of the movement is examined. It seems that by expanding this section of the prelude, Bach is attempting to clarify the overall form, which is somewhat clouded in the Prelude, in the concerto reworking.

The Reworking in the Second Half of BWV 1044/1

The character and form of the second half of this movement is considerably different than the first. First of all, there are no genuine ritornello statements except the final one. Secondly, the soloistic character of the keyboard part becomes more prominent when it reaches the virtuosic passage work of the Prelude original. Thirdly, there are nearly no clear articulations like those found in the first half to delineate a clear periodic structure. At a deeper level it appears that Bach's main preoccupation of reworking the first half involved formal considerations, while in the second half the main concern seems to be with concertizing the solo keyboard part. Although there are no ritornello statements, interjections by the ripieno maintain a concerto aspect by affording some contrast to the more or less continuous flow of the keyboard part. There are three main techniques involved in achieving this effect. These include the addition and interjection of the tutti and non tutti statements of the head motive; the transferring of melodic material appearing originally in the keyboard part to the orchestra and/or the concertino instruments; and with metrical displacement, a process which will be explained in more detail below.

Addition and Interjections of the Head Motive

There are four instances of interjections of the head motive in the second half of the concerto (mm. 74 - 75, 82 - 83, 84 - 85, and mm. 128 - 129). One of the characteristics of the Prelude which make it somewhat concerto-like are the frequent statements of the very same head motive, and indeed, some of the above interjections correspond to these statements as they appear in the Prelude. For example, mm. 73 - 75 of BWV 1044 is an expanded version of mm. 40-41 of the Prelude (Example 10a) and mm. 128 - 129 also represent a similar

expansion of m. 86 of the Prelude (Example 10b). Other insertions of the head motive (mm. 82 - 83, and 85 - 86) are more interesting because they do not correspond to any head motive statements occurring in BWV 894/1 (Example 11). These two interjections begin at the third beat of m 82 and 85 and both go to the second beat of the next measure. As well as adding some dramatic contrast between the ripieno and Cembalo concertato of this section, these interjections also introduce conjunct motion in the bass. In comparing the Cembalo part in this section of the Concerto, and the corresponding measures of the Prelude, it is interesting to note how the bass line is inverted twice instead of merely repeating itself. This allows for more contrast in the melodic direction of the bass part.

Example 10a: Phrase Expansion by the Interjection of the Head Motive in BWV 1044/1

73

Orchestral Reduction

Cembalo.

40

41'

3

BWV 894

75

41"

BWV 894

etc.

3

The image displays a musical score for Example 10a, titled "Phrase Expansion by the Interjection of the Head Motive in BWV 1044/1". The score is written for an "Orchestral Reduction" and a "Cembalo." (Cembalo). The main score begins at measure 73. A dashed line indicates a connection to a smaller, detailed view of measures 40 and 41' from BWV 894. This view shows a treble and bass staff with a triplet of eighth notes in the treble staff at measure 41'. Below this, another section of the score starts at measure 75, showing a treble and bass staff. A dashed line connects measure 41" of BWV 894 to this section. The score concludes with the text "etc." and a triplet of eighth notes in the bass staff.

Example 10b

BWV 1044/1

128

Orchestral
Reduction

Cembalo.

BWV 894/1

86

87

3

Example 11: Insertions of the Head Motive in BWV 1044/1

BWV 1044/1
81"

Head motive

BWV 894/1
47"

83

48"

The image displays a musical score for two pieces, BWV 1044/1 and BWV 894/1, illustrating the insertion of a 'Head motive'. The score is written for piano, with treble and bass staves. The 'Head motive' is defined as a specific melodic phrase in BWV 1044/1. This motive is then shown being inserted into BWV 894/1 at measures 47 and 48. Dashed lines connect the motive in BWV 1044/1 to its occurrences in BWV 894/1. The score includes measure numbers 81, 83, and 48, and time markers in seconds (81", 47", 48").

Transferring of Melodic Material from the Keyboard Part to Other Ripieno or Concertino Instruments

There are other instances of entries of the head motive, but these fall under the technique of transferring melodic material from the keyboard to the orchestral or concertino parts. For example, at mm. 79 - 81 which correspond to mm. 45 - 47 of the Prelude, the Cembalo adopts a continuo role with the same bass voice of the Prelude, while the first violin, and later the concertino instruments take over the melody which would be expected to appear in the right hand of the keyboard. There is also a similar case at mm. 95 - 96 (Prelude mm. 55 - 56) where the Violino 1 and Violino 2 and concertino instruments take over the melody. This particular instance is a bit different in that the whole is expanded by half a measure in order to have the following virtuosic passage of the keyboard begin on the downbeat at mm. 97, rather than on the third beat as it does in the corresponding passage in the Prelude. There are also other transfers of melodic material to the ripieno/concertino instruments that do not involve the head motive, but rather, material which is related to that found in the opening ritornello. The same melodic motive which is similar to the bass line of the F2 module is used in this way a couple of times at the third and fourth beats of m. 76, and again at the third and fourth beats of mm. 101 and 102. In the former case the motive is shared by the Violino1, Violino concertato and Flauto traverso, and of the latter two the melody is only given to the flute. Again, a contrast between the instrumental forces and solo keyboard is achieved by this means.

Metrical Displacement

The technique of metrical displacement in the reworking involves transferring material of the Prelude onto different beats of the measure in the reworking. For example, a small section of music found on the first and second beats of a measure in the original, may be placed on the third and fourth beats of a measure in the reworking, etc. An example of metrical displacement has already been seen above at mm. 95-97, and another occurs a beat

and a half before the cadence in the dominant at m. 74 which actually overlaps the beginning of the new section with the end of the ritornello (Example 10a). Measures 40 and 41 of the Prelude, are metrically displaced by a half measure in the Cembalo at this point. Only the first half of the measure (m. 41¹⁻² of the Prelude) is stated by the Cembalo (m. 74³⁻⁴) and the melody is taken over by the ripieno at m. 75, where a further two beats are added to bring the metrical displacement back on track at m. 76 (m. 42 of the Prelude). This metrical displacement seems to occur here in order to allow for the expansion of the entry of the head motive in the orchestral parts much like the head motive of the Prelude is expanded in the V1 module of BWV 1044/1. Another example involves a significant amount of newly composed material in the keyboard part. The Cembalo follows the corresponding measures of the Prelude until the second half of m. 87 where the keyboard performs new music until material from the Prelude returns at m. 91. What actually occurs here is that some three and a half measures of material is inserted between the first and second half of m. 51 of the Prelude giving rise to a metrical displacement. This displacement continues in the following measures until m. 94 (m. 54 of the Prelude) where the scale passage occurs on the same beats of the measure as it does in the corresponding measure of the Prelude. The metrical displacement here assumes that the beginning of the virtuosic scale passage occur on the first beat of the measure, rather than on the third beat of the measure as it does in the Prelude. A half measure of passage work is inserted at m. 93 in order for the meter to correspond to that found in m. 94 of the Prelude. It is more characteristic of concerto style for major solo sections such as this to occur on the first down beat of the measure rather than somewhere in the middle of a measure. In general, the meter is more straight forward in concerto works than one would expect to find in a preludial piece.

Orchestral Texture and the Roles of the Concertino Instruments

As in the third movement Bach uses a variety of orchestral textures to accompany the solo keyboard sections. These textures vary from straight chordal accompaniment in the

ripieno (mm. 120 - 127), to trio like textures (mm. 115 - 119) where only the three concertino instruments are performing. There are also instances like those found in the last movement where Bach builds the texture through staggered entries (mm. 74 - 75 and mm. 128 - 129). Here Bach piles up entries of the head motive to build to a full tutti texture. Later there is another instance of this procedure (mm. 89 - 90) where a variant of the F1 module is used in a similar way with staggered entries. The most common texture in the solo sections however, appears to be similar to the chordal texture witnessed in the ripieno, while the concertino perform more or less independent melodic lines (mm. 22 - 34, mm. 47- 49, mm. 57 - 58, mm. 61 - 64, mm. 82 - 87, and mm. 106 - 112). While the Flauto traverso and Violino concertato seem to play a more active and independent role as true concertino instruments in this movement, they are by no means equal partners with the Cembalo as soloist. Quite often their material is closely related to what of the keyboard (mm. 10 - 12). Alternatively, they often perform melodies which outline the harmonic progression of the Cembalo (mm. 24 - 25). There are also instances where they seem to be melodically independent of the keyboard (mm. 57 - 58), but it is interesting to note that this section is comprised of newly composed music where the keyboard part strays somewhat from the Prelude material. While the Violino concertato and Flauto traverso parts are more active and independent in the opening movement, the Cembalo is the predominant solo instrument. Even when the Violino concertato and Flauto traverso have more soloistic roles their material is based on that of the Cembalo part.

The fact that the Cembalo is the main soloist would suggest that BWV 1044 is not a true "Triple Concerto". If we maintain that BWV 1044 predates the Fifth Brandenburg (Bach's first concerto with obbligato keyboard), as Hans Eppstein suggests³, then this so-

³ Hans Eppstein, "Zur Vor- und Entstehungsgeschichte von J.S. Bachs Tripelkonzert A-Moll (BWV 1044)" in Jahrbuch des Staatlichen Institut für Musikforschung Preußischer Kulturbesitz 1970, (Berlin, 1971), 34.

called "Triple Concerto" must be seen as truly landmark composition in the history of the solo concerto. Before making such an assumption, however, the evidence for where BWV 1044 fits within the chronology of Bach's works should be weighed. First, we shall examine the source evidence and then we will subject the work to a detailed stylistic and formal analysis to see what these suggest regarding chronology.

Chapter Two: The Source Evidence for Chronology

There has been some speculation as to where the Triple Concerto fits within the chronology of Bach's works, and there are considerations beyond textual criticism, that have recently come to light which can contribute to establishing a chronology for Bach's instrumental music. These include aspects of notation such as what type of clefs Bach used for the upper staff in the keyboard music and what key signature he used (e.g. the use of dorian as opposed to modern key signature). There are also issues of stylistic analysis which take into consideration surface details of the music such as how Bach writes idiomatically for individual parts, as well as such deeper elements as formal patterns and overall harmonic construction. The chronology of Bach's music established by Phillip Spitta in his biography on Bach, combined textual information with stylistic considerations, but it has been established that Spitta's findings were often more subjective than systematic, and in several cases were simply erroneous. This is unfortunate because, as Stauffer puts it, the chronology of Bach's instrumental music has, "been solidly enshrouded in [Spitta's] nineteenth-century views."⁴ Thus, until fairly recently, with such studies as Stauffer's The Organ Preludes of Johann Sebastian Bach, the chronology of Bach's instrumental music has been a matter of pure speculation. It is only through the careful use of all biographical and textual information, and a systematic use of stylistic analysis, that any semblance of a reliable chronology can be put forth.

Returning to BWV 1044, it is clear from the source information given previously, that like the majority of Bach's instrumental music, there are no extant autograph sources to provide a concrete basis for establishing the date of its composition. The earliest surviving sources for this work, which are copies, date from sometime around the middle of the 18th

⁴ George Stauffer, The Free Organ Preludes of Johann Sebastian Bach, (Ann Arbor, Mich: UMI Research Press, c. 1980), 25. This influence can be seen in Schneider's *Bach-Werke-Verzeichnis* (1950) who adopted Spitta's chronology nearly verbatim (Schneider had no satisfactory alternative), and consequently this has been handed down practically as holy writ to the present generation.

century (ca. 1750), around the same time of Bach's death. Thus, the concerto must have been composed some time before the years attributed to the earliest surviving sources. Another feature of this work, which makes it an interesting subject for chronological study is the fact that it is derived from two different previously composed keyboard pieces, the Prelude and Fugue in A minor BWV 894 and the middle movement of the Organ Sonata in D minor, BWV 527/2. Assuming that the egg came after the chicken, (i.e. the concerto was composed after the keyboard works from which it was derived), the dates of composition for BWV 894 and 527 would establish the earliest possible date for the composition of BWV 1044. There are, unfortunately, similar problems with the dating of BWV 894 in that the earliest sources for this work are again manuscript copies. On the other hand, we are fortunate in that a Bach autograph for the organ sonatas has survived.

Sources for BWV 894

The earliest source for BWV 894 which has survived is a copy (BB (DS) Mus. ms. Bach P801) in the hand of Johann Tobias Krebs (1690 - 1762), who was one of Bach's students during the years ca. 1714 - 1717 and was also part of a scribal circle referred to as the Weimar circle, which was largely responsible for the three large miscellanies P 801, P802, and P803 containing several of Bach's instrumental works.⁵ Apparently the copying for these miscellanies was initiated by Johann Gottfried Walther (1684 - 1748) around 1710, at which time Bach held his post as organist in Weimar (1708 - 1717).⁶ From this, it can be assumed that Krebs' copy must originate sometime between 1710 and 1717. Since Krebs did not become a student of Bach until ca. 1714, it seems more likely that the copy dates to the period 1714 - 1717. There does not exist, however, any other evidence (e.g. watermark

⁵ Russel Stinson, The Bach Manuscripts of Johann Peter Kellner and His Circle: A Case Study in Reception History, (Durham and London: Duke University Press, 1989), 7.

⁶ Ibid, 25.

information) to support this dating, and therefore, the possibility still exists that this copy was made after 1717.

Another early copy in the hand of Johann Bernard Bach (1676-1749) may have been made sometime between 1715 and 1730, but there seems to be even less information about this particular source regarding its date (Schmieder does not include it among the sources for BWV 894 in his Thematisch-systematisches Verzeichnis der Werke Johann Sebastian Bachs).⁷ The copy (BB (SPK) Mus. ms. Bach P804) in the hand of Johann Peter Kellner (1705-1772), who was a friend rather than a student of Bach, can be securely dated to 1725. Russel Stinson, in his study of the copies made by Kellner's circle of scribes, proposes a chronology based on Kellner's handwriting, the watermarks in the paper, and the dates of the exemplars.⁸ Kellner's copy of BWV 894 contains a watermark consisting of an A with a circular decoration at the crest (no countermark), which indicates that the paper came from an Arnstadt papermill.⁹ Given Kellner's handwriting in other copies containing the same watermark, Stinson has established 1725 as the date for Kellner's copy.¹⁰ Since Kellner's copy is the most securely dateable of the early sources for BWV 894, it can be stated with certainty that the Prelude and Fugue, BWV 894 were composed before 1725, but, again, it seems likely, given the circumstances surrounding the provenance of Kellner's copy, that the piece was composed in Weimar sometime between 1714 - 1725, a period of some 11 years.

Sources for BWV 527

The middle movement of Bach's third Organ Sonata in D minor, BWV 527 survives in an autograph copy, but, as several commentators who have examined the manuscript have concluded, it appears that several of the movements of these sonatas (BWV 525-530) were

⁷ Stinson, 8.

⁸ Stinson, 24.

⁹ Ibid, 25.

¹⁰ Ibid, 26.

transcriptions, or reworkings of preexisting works.¹¹ Of course, this should be kept in mind when considering the dating of BWV 527. The dates given for the whole set of sonatas range from ca. 1727-1730?, which is based on the autographs (BBS, Mus. ms. P271) compiled by Bach himself.¹² This range of dates is established by the watermark 'MA' (middle form) found in the paper of P271, which, according to Dürr, was used by Bach during the years ca. 1727-1736, but this range can be narrowed to no later than 1733, because P272, which was almost exclusively based on P271, was completed by 1733.¹³ There are alternate versions of BWV 527 found in other sources, which may predate the P271 compilation. One of these, P 1089 (BB (SPK) Mus. ms. Bach), contains only the first movement, and is unusual in that it is laid out on only two staves (treble and bass) rather than the usual three.¹⁴ Emery suggests that this may have been a result of Bach making the original sketch of this movement on two staves, as the parts cross less frequently than is usual in the other sonatas.¹⁵ The other version, which is found in P 1096 (BB (SPK) Mus. ms. Bach), contains all movements of BWV 527 in organ score.¹⁶ This source, which is signed "Steffani", may have been made by Johann Heinrich of Frankfurt am Main (1703-1756), who, like several musicians at the time, signed their manuscripts with some version of "Stefani".¹⁷ Although he admits there is scant evidence, Emery concludes that P1089 and P1096 clearly come from a common ultimate source, and that there are no striking differences of any musical consequence, between these versions and that of P271.¹⁸ For the present, one may assume that P1089 and P1096 were derived from a lost autograph written before 1730, and this lost autograph was then likely the

¹¹ John Butt, "Bach's Organ Sonatas BWV 525-530: Compilation and Recomposition", in Organ Yearbook. Vol. 19 (1988), 80.

¹² Ibid.

¹³ Walter Emery, Notes on Bach's Organ Works: A Companion to the Revised Novello Edition, (London: Novello & Co. Ltd., 1957), 25.

¹⁴ Ibid, 27.

¹⁵ Ibid, 83.

¹⁶ Ibid.

¹⁷ Ibid, 28-29.

¹⁸ Ibid, 89.

same source from which P271 was compiled.¹⁹ Thus, while the commonly accepted dates for BWV 527 is ca.1727-1733, there is reason to believe that the actual date of composition for this sonata, which may have even existed previously as an instrumental trio, predates that of the compilation of P271.

Eppstein's Argument

Hans Eppstein, as discussed briefly earlier, argues that the Prelude and Fugue in A minor (BWV 894) may in fact be an extraction from a previously composed concerto and that the middle movement of the organ sonata (BWV 527/2) was also a revision, of a previously existing instrumental trio. According to Eppstein's conclusions, BWV 1044 would be precede in time both BWV 894 and BWV 527. Due to some similarities between BWV 1044 and the Fifth Brandenburg Concerto, BWV 1050, he believes that the triple concerto represents an earlier experiment, and thus, that BWV 1044 can be dated to some time shortly before the composition of the Fifth Brandenburg.

Eppstein's argument is based on his belief that BWV 894 is likely an extract or a reduction of an earlier concerto which does not work effectively as a solo keyboard piece. For example, he argues that the Prelude and Fugue share a certain rhythmic monotony representing an equality between the two movements which does not correspond to Bach's usual conception of prelude and fugue.²⁰ Eppstein also points that BWV 894 is not nearly as complicated as other works by Bach from the Weimar period, such as the Chromatic Fantasy and Fugue, and the Fugue in A Minor, BWV 944.²¹ Eppstein also suggests that the rhythmic monotony shared by the Prelude and Fugue calls for a middle movement (such as the one organ sonata movement inserted between the outer movements of BWV 1044), in the original

¹⁹ Ibid, 90.

²⁰ Eppstein, 34.

²¹ Ibid, 38.

version of the lost concerto (with orchestra).²² Because the Fugue is not as complicated contrapuntally as other keyboard fugues by Bach, Eppstein suggests that it may be more closely related to sort of Vivaldian type of "Tuttifugue" found in the final movements of several Bach concertos including the last movement of the Fourth and Fifth Brandenburg concertos.²³ The solo parts in these so-called "Tuttifugues" are very independent of the tutti sections, and thus, can stand on their own as solo pieces.²⁴ Eppstein claims that it is possible that the fugue of BWV 894 may in fact be a solo keyboard extraction from such a "Tuttifugue" which would explain how it can on its own as a solo work even though it is an extract from a concerto.²⁵ Eppstein also believes that the middle movement of BWV 527 must also stem from a previously composed instrumental trio which has been lost. He suggests that the bass line of the second movement of BWV 1044, which is more disjunct than the bass line of the organ sonata, indicates that this was more likely derived from a lost instrumental trio sonata rather than from the organ sonata.²⁶ Although this is not impossible, it may be that Bach simply altered the bass to better suit the idiom of the harpsichord, where the bass line would be performed by the left hand, as opposed to the idiom of the organ, where the bass would have been performed on the pedals. In summation, Eppstein not only feels that the Prelude and Fugue represent an extract from a lost concerto, but also that the slow movement of BWV 1044 is likewise, derived from a previously composed trio sonata which is also now lost, and not from the middle movement of the organ sonata BWV 527/2.²⁷ Both of these lost models date, according to Eppstein, to the Cöthen period, approximately sometime before the composition of the Fifth Brandenburg Concerto.²⁸ The

²² Ibid, 37.

²³ Ibid, 39.

²⁴ Ibid.

²⁵ Ibid.

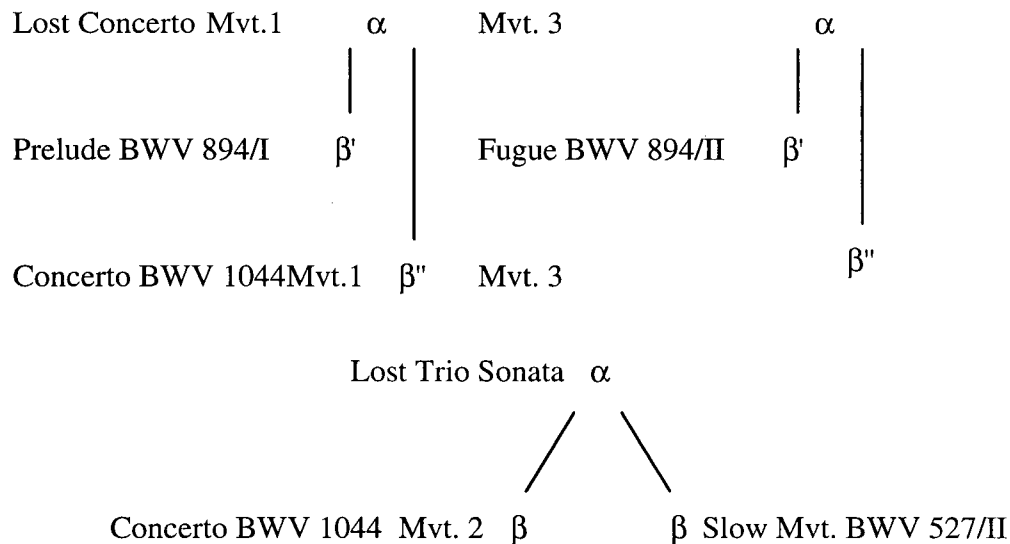
²⁶ Ibid, 43.

²⁷ Ibid.

²⁸ Ibid.

following figure shows roughly how BWV 1044 and its supposed models were transmitted from Eppstein's posited "lost concerto".

Figure 4: Possibilities of How the Various Models (known and posited) for BWV 1044 may have been Transmitted



Eppstein's conclusions, on the surface, seem suspect because he not only has to posit an earlier lost concerto, but also a lost instrumental trio. Given that we have earlier versions which have survived, why should we look to different models which we do not know even existed? David Schulenburg, in his book on Bach's keyboard music, comments on Eppstein's findings and points out that the sources do not support his hypothesis since there is nothing in the music that would indicate that BWV 894 was an extract/reduction.²⁹ Eppstein's ideas, nevertheless, are intriguing, and will be given some consideration in this study. A comparison with the Fifth Brandenburg needs to be explored in some detail, with attention given to surface details as well as underlying structures.

²⁹ David Schulenburg, The Keyboard Music of J.S. Bach. (New York : Schirmer Books International, c1992), 113.

Chronology Based on Notation

Clef Usage

There are other features in the music itself, including the manner of notation of clefs, key signature etc., and other strictly musical considerations such as form and harmonic designs, which can provide some clues for dating Bach's instrumental music. For the moment, we will concern ourselves with the issue of clef usage and what it can tell us regarding the dating of BWV 894, 527 and 1044. There were two possibilities for the arrangement of clefs for keyboard music during Bach's time which includes either soprano or treble clef for the upper staff with a bass clef for the lower staff.³⁰ Stauffer concludes that Bach used the soprano clef combination for his keyboard works until around 1723, and from the point on began to use the treble clef combination with increasing frequency.³¹ He goes on to point out that this system is somewhat unreliable as there are pieces dating after 1723 which were transmitted with soprano clef, and concludes that works with soprano clef most likely date before ca. 1723 while works consistently handed down in treble clef were probably written or revised after ca. 1723.³²

Russel Stinson, in his paper "Toward a Chronology of Bach's Instrumental Music: Observations on three Keyboard Works", reviews Stauffer's findings and help fine tune dating based on clef usage. He points out that Stauffer's are somewhat misleading since there are several exceptions to Stauffer's rule of thumb.³³ While Stauffer relies primarily on the works for organ for his findings, Stinson's conclusions are based on a more extensive survey of Bach's works for keyboard, including harpsichord compositions, chamber or orchestral works with obligato keyboard (harpsichord or organ), and vocal works with obligato

³⁰ Georg B. Stauffer, The Organ Preludes of Johann Sebastian Bach, (Ann Arbor, Mich. : UMI Research Press, 1980, 1978), 12.

³¹ Ibid, 14.

³² Ibid, 15.

³³ Russel Stinson, "Toward a Chronology of Bach's Instrumental Music: Observations on three Keyboard Works", in The Journal of Musicology, Vol. 7/4 (Fall 1989), 443.

keyboard. Stinson concludes that the inconsistencies in Bach's clef usage are substantial, but the patterns he has found can still be useful for dating when corroborated by other evidence.³⁴ He provides the following summary of the overall patterns in Bach's clef usage: "1) up to ca. 1720 Bach favoured the soprano clef to a great degree, although he used the treble clef in several works as well; 2) from 1720 through 1725 soprano clef notation was still the norm, but the treble clef was employed with greater frequency than before; 3) in 1726-ca. 1733 the treble clef was used almost without exception; 4) during the last fifteen or so years of his life Bach appears to have used the two clefs on a fairly equal basis."³⁵

This overall pattern, along with evidence gathered from the earliest surviving sources, and biographical information, allows us to narrow the range of dates for BWV 1044 and its early models (ignoring for the moment Eppstein's hypothesis).

The earliest surviving sources for BWV 1044 date to the period around Bach's death but the work was clearly composed sometime before. Spitta speculated that the concerto was written sometime around 1730 when Bach took over the leadership of the Collegium Musicum in Leipzig and would have needed such a concerto for that organization's concerts.³⁶ It is the treble clef combination which has been transmitted for the keyboard part in both Source A and B, which is not surprising given that by mid-century this type of notation was common practice. If we assume for the moment, however, that the treble clef was transmitted from the lost original autograph, then, according to Stinson's pattern, we can assume that the concerto was probably not written before 1720. But because Bach used the treble clef almost without exception between 1726 and 1733, it seems more likely that the concerto was written during this period, which would agree with Spitta's dating of ca. 1730. We saw from the earliest surviving copies that BWV 894 was likely composed in Weimar

³⁴ Ibid, 452.

³⁵ Ibid, 452-453.

³⁶ Philipp Spitta, *Johann Sebastian Bach: His Work and Influence on the Music of Germany, 1685-1750*, (New York: Dover Publications, Inc., 1951), III, 149.

sometime around ca. 1714 -1725. Again, the clef transmitted in these early copies is treble clef, which places BWV 894 in the period where the soprano clef was the norm. But Bach was beginning to use the treble clef with increasing frequency, and therefore, while the dating of Krieb's copy could range as early as ca. 1708 (the beginning of Bach's tenure at Weimar) we can possibly narrow the range of dates further to 1720-1725, because Bach rarely used the treble clef before 1720. Likewise, the clef transmitted in BWV 527/II is treble clef, and given that the compilation of P 271 dates sometime between ca.1727 to 1733, we can see that, like BWV 1044, it fits well into the time frame where Bach uses the treble clef almost without exception (1726-1733).

Range of the Keyboard Part

Another feature in the music, which may provide some clues for dating of these works, is the range of the keyboard part. The range of the keyboard part for the two outer movements of BWV 1044 lie within the normal range of CD...d³.³⁷ In the middle movement, however, the range extends up to e³ with one f³.³⁸ Alfred Dürr suggests that in the later years of Bach's life, he may have had at his disposal a F-oriented harpsichord whose range encompassed F¹ to f³ which could reach the e³ and f³ in the middle movement.³⁹ The same high notes appear in Bach's Art of Fugue which was written in the later years of his life, and gives some credence to Dürr's suggestion that Bach may have had the F-oriented harpsichord in mind when he wrote these works.⁴⁰ Michael Küßner points out that it is because of the transposition of the middle movement from its original key of F major in the Organ Sonata, to C major in the Triple Concerto that the keyboard reaches up to the e³ and f³ but adds that the revision must have been made at a later time when the keyboard's could

³⁷ Alfred Dürr, "Tastenumfang und Chronologie in Bachs Klavierwerken", in Festschrift Georg von Dadelson: Zum 60. Geburtstag, (Neuhausen-Stuttgart: Hänssler Verlag, 1978), 86.

³⁸ Ibid.

³⁹ Ibid.

⁴⁰ Ibid, 84.

encompass such a range.⁴¹ Peter Wollny gives a more specific time range by stating that it was around 1740 when the F-oriented keyboards had become available.⁴² Thus, the appearance of the high e and f in the middle movement of the Triple Concerto suggests that BWV 1044 was written sometime around, and possibly after 1740, which is some 10 years or more later than the commonly accepted date handed down by Spitta of ca. 1730.

Eppstein's suggestion that BWV 1044 predates the Fifth Brandenburg Concerto was brought up earlier in the context of the important development of the keyboard becoming a solo instrument in the concerto. It was suggested that if BWV 1044 does predate the Fifth Brandenburg Concerto, BWV 1050, then it must be seen as being a landmark composition not only in Bach's output, but in the history of the concerto in general. But we have concluded, based on the source material, that BWV 1044 was likely composed around or after ca. 1740. Does comparative formal analysis with other concerto movements supports this dating? Such a comparison with other concerto, or concerto-like movements will be attempted in the following chapter. Before going any further, the methodology of analysis as established by Gregory Butler, and how it can be used to help establish a reliable chronology of Bach's concertos, will be discussed briefly .

⁴¹ Michael Küßner, "Stammt das Sogennante Tripelkonzert BWV 1044 von J.S. Bach?", in Collegium Musicologicum Festschrift für Emil Platen, hrsg. von M. Gutierrez-Denhoff. (Bonn, 1985), 54.

⁴² Peter Wollny, "Überlegungen zum Tripelkonzert a-Moll (BWV 1044)", 11.

Chapter Three: Structural Analysis and Chronology

Chronology through Structural Analysis

In the field of Bach studies the hazards of establishing chronology on the basis of stylistic analysis are well known . This became all too evident when Dürr's and Dadelson's new chronology of Bach's vocal works overturned Spitta's old chronology which was largely based on stylistic analysis. The shortcomings of this approach can also be seen when highly contradictory findings arise between different scholars who are more or less using the same methodology in attempting to arrive at a valid chronology. Werner Breig illustrates the problem when he states, "how difficult it is to decide whether marked differences between isolated works stem from incontrovertible stylistic developments or merely from a chronology-neutral span of variation in Bach's conception of a work and formal means".⁴³ Undaunted by these problems, Gregory Butler uses a type of analysis that goes structurally deeper than those employed by Breig and others. He asserts that this kind of analysis is "an indispensable tool in arriving at a valid chronology for [Bach's] concertos in general."⁴⁴

Butler's Provisional Chronology

This study will also use this 'indispensable tool' to arrive at a reliable dating for BWV 1044. First, let us review Butler's findings for dating a number of Bach's concertos, including the Fifth Brandenburg Concerto, BWV 1050. In his formal analysis Butler has found three general trends which characterize three phases of development in Bach's formal casting of his concerto movements. These three phases include an earlier binary phase to 1718/1719, a transitional ternary phase (1718/19 - ca.1721) and a later Da Capo Phase (ca. 1721 - 1727).⁴⁵

⁴³ Cited in Gregory Butler, "Toward a More Precise Chronology for Bach's Concerto for Three Violins and Strings BWV 1064a: The Case for Formal Analysis" (in preparation), 1.

⁴⁴ Ibid, 2.

⁴⁵ Ibid, 11.

Butler cites such concertos as the first movements of the First, Second, and Fifth Brandenburg Concertos as examples of concerto movements set in binary form. These binary forms are relatively straight forward with an A section cadencing in a related key, and a B section moving back to the tonic. The forms in the transitional ternary phase, as exemplified by the third movement of the First Brandenburg Concerto BWV 1046/3, the Third Brandenburg Concerto BWV 1048/1, the Concerto for Three Harpsichords BWV 1064/1, and other concerto movements, contain a middle B section which is typically shorter than the A section and concentrate the mediant (minor) keys. This is often followed by a variant of the A section or an entirely new C section, in the tonic. The Da Capo forms, as found in BWV 1042 and BWV 1053a/1, are like those of the Da Capo aria in that the B section is followed by a repeat of the entire A section. As in the forms of the transitional ternary phase, the middle B section is considerably shorter than the A section and involves the mediant keys.

Two problems are encountered, however, when attempting to fit any of the movements of BWV 1044 into this provisional chronology. The outer movements of BWV 1044 are in minor tonalities while Butler's findings only apply to major-key concerto movements. Also, because the movements of BWV 1044 are reworkings of previously composed pieces, they largely retain the forms of the keyboard originals. And since these are keyboard forms, they cannot be used in comparative study of the gross structures of Bach's original concerto movements in ritornello form. The ritornellos of the outer movements of BWV 1044 are newly composed, however and thus, they can be compared with ritornellos of other minor-key Bach concerto movements. The fugal ritornello of BWV 1044/3 will be compared with those of other similar movements, and this will be followed by comparisons with the ritornellos of minor-key allegro movements.

Comparison of the Fugal Ritornello Form Movements

The third movement of BWV 1044/3 is constructed in such a way that the ritornellos themselves are self contained fugues. There are a few other examples among Bach's

ritornello form movements which involve self contained fugal ritornellos and these will be used for comparison here. Two of these movements, BWV 1043/1, and the middle fugal section in the Overture to the Second Orchestral Suite in B minor, BWV 1067, represent later works⁴⁶, while the third movement to the Fourth Brandenburg Concerto, BWV 1049, although a major-key movement, will represent an earlier movement. The opening ritornellos of all of these movements, including that of BWV 1044/3, share some common characteristics. These include relatively long opening ritornellos (BWV 1044/3 = 25 mm., BWV 1043/1 = 21 mm., BWV 1067/1 = 34 mm., and BWV 1049/3 = 41 mm.), and the opening ritornellos in each are self contained fugues. The texture of these ritornello fugues normally involve four independent voices (BWV 1043/3, BWV 1067/1 and BWV 1049/3) but BWV 1044/3 differs from the other examples in that its texture occasionally involves six independent voices. The basic structure of the fugues are quite similar as well. The average number of statements of the fugue subjects is five, with BWV 1049/3 having six, and BWV 1044/3 having only four statements.

The only real difference to be found in comparing these ritornellos involves the amount of ritornello brought back in subsequent ritornello statements. As shown in the foregoing analysis of BWV 1044/3, there is only one true ritornello statement beyond the opening and closing ritornellos. A brief look at the first two subsequent ritornello statements in BWV 1043/1 shows that a significantly smaller amount of ritornello material is brought back in its subsequent statements in comparison to the others. Figure 5.

⁴⁶ Cristoph Wolff, "Bach's Leipzig Chamber Music", in Early Music, Vol. 12, No. 2, (May 1985), 169, 170. The dating of BWV 1067 is based on original sources, which at least confirm early Leipzig performances, but neither suggest nor exclude Leipzig origin.

Figure 5: Lengths of Opening and the First Two Subsequent Ritornello Statements

	R1	R2	R3
BWV 1043/1	18	5	4
BWV 1067/1	23	15	18
BWV 1049/3	36	21	25
BWV 1044/3	25	25	26*

* the third ritornello in BWV 1044/3 is the closing ritornello

BWV 1067/1 is closer to BWV 1049/3 and BWV 1044/3 in this respect, but nevertheless, the dramatic difference between BWV 1044/3 and BWV 1043/1 perhaps argues for a trend of longer subsequent ritornello statements in earlier fugal ritornello movements.

Comparison of Ritornellos from Minor-Key Movements

The Later Ritornello Form Movements

There are two ritornello movements from the Concerto for Two Violins and Orchestra in D minor, BWV 1043/3⁴⁷ and the Sonata for Flute and Obbligato Harpsichord, BWV 1030/1⁴⁸ which will be used here to demonstrate some compositional traits that characterize Bach's ritornello construction during his Leipzig years. The forms of the opening ritornellos of both these pieces are quite different from that of BWV 1044/1 in that they do not fall clearly into a Vivaldian tripartite construction. Instead, these relatively long ritornellos (the opening ritornellos for both BWV 1043/3 and BWV 1030/1 are 20 mm. long) seem to comprise three main phrases. Figures 6a - 6b.

⁴⁷ Wolff, 169, 173. Wolff's dating of BWV 1043 is based on source study of the extant autograph performing parts and stylistic criteria.

⁴⁸ Wolff, 169, 170. The dating of the harpsichord-flue sonata is based on extant autograph score(s) which, being genuine working scores, show a considerable amount of compositional activity.

Figure 6a: Opening Ritornello of BWV 1043/3

A	B	C
1 - 4 , 5 - 8 ; 9 - 11 , 12 - 14 , 15 - 17 , 18 - 20 .		
a bb a' c d e		
i → V/i , iv → V/i ; V/i → i , V/i pedal i , → i .		

Figure 6b: Opening Ritornello of BWV 1030/1

A	B	C
1 - 2 , 3 - 4 , 5 - 6 , 7 - 8 , 9 - 10 ; 11 - 12 , 13 - 14 , 15 - 16 , 17 - 18 , 19 - 20 .		
a b a' c c d e e f g g h h i		
i → i , iv → V/i ; V/i → i , i → i .		

None of these phrases comprise a clear *Vordersatz*, *Fortspinnung*, or *Epilog*, but there are some small sections within the overall larger phrases that resemble *Fortspinnung* sections. There are two such phrases that seem to parallel one another within the structure of both ritornellos. In BWV 1043/4 this short *F* occurs at mm. 5 - 8, where the one measure long b is repeated in a rising sequence. The same sort of thing occurs in BWV 1030/1 at mm. 7 - 8, where module c is repeated in a descending sequence. What seems to be significant with these two miniature *Fortspinnungs* is that they both appear at similar junctures within the overall structure - i.e., they both occur before the half-closed cadence of the A section. The ritornello of BWV 1030/1 is somewhat different than BWV 1043/3 in that there are more of these small *F*'s occurring in each of the three sections (mm. 11 - 12, 15 - 16 and 17 - 18). Both ritornellos also share a similar harmonic dynamic. Both feature half-closed cadences in the dominant at the end of their respective A sections, and both of their C sections are entirely in the tonic. These extensive C sections in the tonic significantly deviate from Bach's practice in his Vivaldian ritornellos. In the Vivaldian types, the cadence back in the tonic is usually held off (through the *Fortspinnung* sections) until the final cadence of the *Epilog*.

The ritornellos of these relatively later minor-key pieces involve a more complex structure. The two examples analyzed above, can be characterized as involving an A section which concludes with a half-close in the dominant, followed by a middle B section which moves back to the tonic, and a closing C section which is entirely in the tonic.

The Earlier Ritornello Form Movements

In contrast to these late pieces the first and third movements of the Concerto for two Keyboards and Orchestra in C minor, BWV 1060 will be examined as representatives of an earlier pole in Bach's output.⁴⁹ The Prelude to the Third English Suite, although a keyboard piece, will be used as another representative of an early minor-key piece in ritornello form.⁵⁰ An analysis of the opening ritornellos of these works reveal that they can all be clearly divided into *Vordersatz*, *Fortspinnung*, and *Epilog* phrases, and furthermore, these phrases can be subdivided into modules made up of smaller motivic units. Figures 7a - 7c.

Figure 7a: Opening Ritornello of BWV 808/1

V	:	F1	F2	F3	E
1 - 8	:	9 - 14	, 15 - 22	, 23 - 29	, 30 - 33.
aaa	:	bbb	ccc	ddd	eef
i → V/i	:	→ V/i	, → V/i	, → V/i	, → i.

⁴⁹ Joshua Rifkin, "Verlorene Quellen, Verlorene Werke: Miszellen zu Bachs Instrumental Kompositionen" in Bachs Orchesterwerke: Bericht über das. Dortmunder Bach-Symposion im Januar 1996, edited by Martin Geck and Werner Breig, (Dortmund, 1997) in press. 2. Zur Urfassung und Rekonstruktion Des Doppelkonzert, BWV 1060.

⁵⁰ Gregory Butler, "Minor-key Ritornello Concerto Movements", (in preparation) 1 - 6. Butler, through comparative structural analysis with BWV 1050/1 and BWV 1050/2, makes an argument that BWV 808/1 can be securely dated to the late Weimar, or early Köthen period.

Figure 7b: Opening Ritornello of BWV 1060/1

<i>VI</i>	<i>V2</i>	<i>F</i>	<i>E</i>
1 - 2, ab	3 - 4, ab	5 - 6, cc	7 - 8. d
i → V/III, V/III → VI, VI → iv, iv → i.			

Figure 7c: Opening Ritornello of BWV 1060/3

<i>V</i>	<i>F1</i>	<i>F2</i>	<i>F3</i>	<i>E</i>
1 - 4 a a'	5 - 8 b b	9 - 12 c c	13 - 16 c' c'	17 - 20 d d'
21 - 23. a" e				
i → V/i ; i → iv, V/iv → iv, V/III → III, vii° → V/i, V/i → i.				

These examples share some common features in their harmonic structure, which contrast strongly with that of the later pieces. The *Vordersatz* sections, which are relatively short in comparison to the A sections of the later pieces, conclude with a half close in the tonic and are followed by a series of *Vordersatz* modules which tend to be fairly extensive. The *Vordersatz* sections remain in the dominant, and the move back to the tonic is delayed until the final cadence of the *Epilog*. Harmonically the opening ritornello of BWV 1060/1 is somewhat different than the others because it does not move to dominant in its *Vordersatz* modules. Nevertheless, the dynamic is similar in that the ritornello is made up of an extensive *Fortspinnung* comprised of sequential modules, and the move back to the tonic does not occur until the final cadence of the *Epilog*. Another common structural feature is a marked tendency to repeat modules.

A brief review the opening ritornello of BWV 1044/1 reveals that it shares the same harmonic, and structural features with the ritornello movements of the earlier pieces surveyed above. Figure 8.

Figure 8: Opening Ritornello of BWV 1044/1

<i>VI</i>	<i>V2</i>	<i>FI</i>	<i>F2</i>	<i>E</i>
1 - 2	, 3 - 4	; 5,	6,	7 - 8.
a a	b b	c c	d d	e
$i \rightarrow V/i, i \rightarrow V/i; V/i \rightarrow i, iv \rightarrow i.$				

The layout of BWV 1044/1 and BWV 1060/1 are strikingly similar. Both of their *V - F - E* phrases exhibit the same ratio in respect to the entire ritornello, which coincidentally, is 8 mm. long in both (i.e. $V = 1/2$, $F = 1/4$, and $E = 1/4$). Furthermore, BWV 1060/1 and BWV 1044/1 also share a similar structural device in their subsequent ritornello statements. This device involves the repetition of the smaller motivic units to expand certain modules. In BWV 1060/1 this occurs at mm. 24 - 26, where the second half of the *VI* module (b) is repeated three times in sequence. What is interesting about this device is that Bach transforms a piece of the *Vordersatz* material into a *Fortspinnung* type of section by repeating the small motivic unit in sequence. In BWV 1044/1 this device occurs in the second and third ritornello where the *FI* module is expanded by one measure and the c subunit is repeated twice. In both cases this device involves the repetition of subunits in order to create or expand a sequential, *Fortspinnung* type phrase.

There is another structural element involving the relative length of the solo sections which further links BWV 1044/1 to the earlier movements. In the later ritornello-form movements, the solo sections tend to be longer. For instance, the first solo section of BWV 1043/3 lasts for 16 measures before the brief tutti statement of the a module and the first 'solo section' of the BWV 1030/1 is 12 measures in length. This contrasts strongly with the first solo sections of BWV 1060/1 (4 measures) and BWV 1044/1 (5 measures). Figure 9 lays out the ratios of opening ritornellos to the first solo sections.

Figure 9: Ratios of Opening Ritornellos to First Solo Sections

later	[BWV 1060/1	20 : 16 \approx	4 : 3
		BWV 1030/1	20 : 12 =	5 : 3
earlier	[BWV 1043/3	8 : 4 =	2 : 1
		BWV 1044/1	8 : 5 \approx	2 : 1

As the figure demonstrates, the ratios of the opening ritornellos to solo sections is closer to 4 : 3 for the later works, and 2 : 1 for the earlier works. Bach seems to have written shorter solo sections in his earlier ritornello movements, and in this regard too, it appears that BWV 1044/1 has more in common structurally with the earlier works.

In Butler's analysis and chronological study of Bach's Concerto for Three Violins and Strings, BWV 1064a, he brings to light what he calls a 'process of insertion' in his comparison of this work with BWV 1050/1.⁵¹ This process involves the insertion of ritornello modules in-between 'various extended sequential structures' which, invariably, are solo sections.⁵² For example, the opening ritornello of the first movement of the Fifth Brandenburg Concerto, BWV 1050/1, consists of four modules laid out in the following sequence. Figure 10a.

Figure 10a: Opening Ritornello of BWV 1050/1

1 - 5;	:	- 9.
a	b :	b1 c
R	:	R
I	:	I

⁵¹ Butler, "Toward a More Precise Chronology for Bach's Concerto for Three Violins and Strings BWV 11064a", 8.

⁵² Ibid.

Figure 10b: Period 3, 4 of BWV 1050/1

21 - 31.	- 42.
a b2 b	f b1
R S R	
V -V V	- v vi
	53

Figure 10b shows that the b2 and f solo modules are inserted in-between the ritornello modules (which appear in bold in the figure), thus extending the third period by 8 measures, and the fourth by 6 measures. The fourth ritornello of BWV 1044/1, (please refer to Figure 2d), also features this insertion process. In this period ending at m. 73 there are two solo sections inserted. One of these is inserted in-between the V1 and F1' modules (mm. 53 - 56) and again in-between the F1' and F2 modules (mm. 59 - 68). This second solo insertion is interesting because it is newly composed material for the keyboard part, and is a variation of the F2 module (labeled F2' in the figure). This structural feature, along with the others examined above, seems to place BWV 1044/1 in compositional proximity with earlier works.

Conclusion

The results of this comparison contradicts the source evidence which dates the work to Bach's Leipzig period. The keyboard range of the middle movement makes a strong case for a late dating, but the fact still remains that we know very little about which keyboards were available to Bach during the different stages of his career. The possibility exists that Bach had access to a keyboard encompassing a range up to f³ earlier in his career (perhaps late Weimar to early Köthen) and reworked the keyboard pieces into the concerto specifically for this instrument, as he reworked the first movement of the Fifth Brandenburg Concerto for the Mietke harpsichord.⁵⁴ The later datings for BWV 1044 have been influenced by two

⁵³ Ibid.

⁵⁴ Cited in Butler, "Toward a More Precise ...", 4. Alfred Dürr suggests that the

factors. The fact that the earliest sources date to ca. 1750 have perhaps swayed scholars to believe it was a relatively late work, and Spitta's assumption that the concerto was written for the Collegium Musicum has also had its influence. It appears, however, that Eppstein was perhaps right in that BWV 1044 may have been composed earlier than was previously thought. His assumption of a 'missing concerto' remains suspect, but perhaps BWV 1044 can be seen as one of Bach's early attempts at incorporating the keyboard into a concerto work as a soloist. If this is the case, then Bach's Concerto for Keyboard, Flute, and Violin with Orchestra in A minor, BWV 1044, which receives relatively fewer performances, should be viewed as one of the landmark compositions in the history of the concerto.

composition of the later version of the Fifth Brandenburg Concerto was composed especially for the new Mietke harpsichord, which was delivered for the Cöthen court cappelle in late 1718 or early 1719.

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