THE UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

THE DEVELOPMENT OF A MUSICALLY LOGICAL PROCEDURE

FOR SOLVING THE PROBLEMS OF TRANSCRIPTION FOR GUITAR

PERFORMANCE OF J.S. BACH'S SUITE IN E MINOR (BWV 996)

A DISSERTATION

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment

of the requirements for the degree of
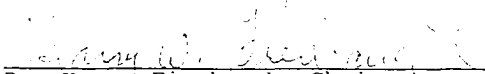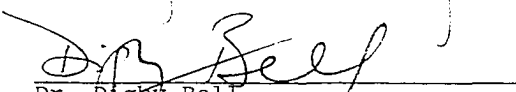
DOCTOR OF PHILOSOPHY

by

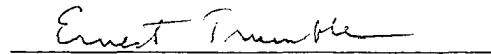JAMES G. BOGLE

Norman, Oklahoma

May 1, 1982

Approved

_____
Dr. Harry Fierbaugh, Chairman

_____
Dr. Digby Bell

_____
Professor Michael Hennagin

_____
Dr. Melvin Platt

_____
Dr. Ernest Trumble

ACKNOWLEDGEMENTS

It has given me a great pleasure to have taught Jim Bogle for the last eight years and to see the fruit of this collaboration in the marvelous job he has done transcribing the E minor Suite of J. S. Bach and the extended dissertation on the same which can be very useful to the guitarist wishing to play this suite or transcribe other works by Bach.

Signed,

Pepe Romero

Pepe Romero

May 6, 1982

TABLE OF CONTENTS

Chapter I

INTRODUCTION

Purpose of the Study

The purpose of the study was comprised of two
closely related objectives. These two objectives are
termed the "primary" and "secondary" purposes.

The primary purpose of the study was to develop
a musically logical procedure for solving the problems of
transcription for guitar performance of J.S. Bach's Suite
in E minor (BWV 996).

The secondary purpose of the study was to transcribe
an edition of the Suite in E minor that would be adequate
for use in the education of the college level guitar per-
formance major. The three main criteria for such adequacy
are the following: (1) a clear and accurate representation
of Bach's compositional content; (2) substantial authenti-
city with regard to Baroque performance practice; and
(3) where alterations of the original are necessary, either
inclusion of a discussion of the rationale for the altera-
tions or, at the very least, inclusion of the original
versions of that which is altered.

The relationship between the primary and secondary
purposes was essentially that of process and product, respec-
tively, but the two purposes were also mutually dependent.
To produce an adequate transcription of the Suite in E

minor, it was necessary to develop a musically logical pro-
cedure for sol~ing the problems of transcription for guitar
performance: to develop a musically logical procedure, it
was necessary to transcribe the Suite in E minor. Relative
to both purposes, the following sub-problems were investi-
gated:

(1) Ornamentation in the instrumental (principally
keyboard) music of J.S. Bach

(2) Harmonic, melodic, and/or durational alterations
of the original based on the musical/technical potential
of the guitar

(3) Guitar performance alternatives in relation to
Baroque performance practice and the structure and style of
the Suite in E minor.

The use of the terms "primary" and "secondary" as
categorical nomenclature for the purposes of the study
reflects the relative educational significance of the two
categories. The product of the primary purpose--the proce-
dure--is generalizable to other compositions that one may
wish to transcribe for guitar performance. The product of
the secondary purpose--the transcription of the Suite in
E minor--is a specific application of the primary purpose
(the procedure). Although the content of the transcription
itself exemplifies the application of the rationale for
solutions to the problems of transcription for guitar per-
formance (the procedure), it is unlikely that the rationale
for the procedure could be derived from only the content of

the transcription. Perhaps the most important aspect of
the relationship between the two categories is, in short,
the transcription as proof that the procedure works.

Need for the Study

The guitar today holds a unique position in higher
education. During the past four years the number of colleges
and universities offering guitar study has increased by
sixty percent. Callahan is of the opinion that

> classical guitar study at the college level
> is on the rise. There is no sign of diminishing
> activity. On the contrary, despite very real
> economic strictures on university pocketbooks,
> guitar offerings continue to multiply.[1]

There is still room for considerable growth. Of the 1373
institutions inventoried in the 1979 edition of the College
Music Society Directory, only forty percent offer guitar
study. It is possible for the present growth rate to con-
tinue unabated during the next ten years.

Successful applicants for the college level teaching
positions in guitar must possess a broad spectrum of com-
petencies. As recommended by the M.E.N.C. Commission on
Teacher Education,

> instruction in guitar should be a significant
> curricular offering in any music teacher prepara-
> tion program. Such instruction should include both

---

[1]Clare Callahan, A Survey of Guitar Curricula in
the U.S. and Canada (Cincinnati: ASTA Guitar Division,
1979), p. 7.

elementary classes and a performance major.[1]
Learning to teach the performance major requires, in addi-
tion to an extensive specialized music education, consider-
able refinement of the skills and concepts requisite for
performing with authenticity the music of numerous styles
and historical periods. Regarding the education of the
performance major, Leonhard and House assert that the
student

> should be given the full preprofessional treatment.
> These are new programs for the student in which he
> begins on a new plane and works toward new objec-
> tives. This student must be given a thorough
> background in his field, and he must eventually
> acquire the technical sureness and polish which will
> be necessary in meeting the requirements of his
> profession. Inefficient prerequisites are no help
> in this regard. . . he must commence quickly to
> master the advanced literature. In effect, he has
> elected conservatory training.[2]

In all performance specializations, an integral part of the
professional training is the study and performance of the
music of J.S. Bach. For the guitarist, this presents a
number of problems. Because Bach did not compose for
guitar, the guitarist is compelled to perform transcribed
music. The student must either rely on an all-too-frequently
inferior transcription, make his own transcription, or
spend time during his lesson while his teacher revises an

---

[1]Music Educators National Conference Commission on
Teacher Education, "Teacher Education In Music: An Interim
Report," Music Educators Journal, LVII (October 1970), p. 43.

[2]Charles Leonhard and Robert W. House, Foundations
and Principles of Music Education (2d ed.; New York:
McGraw-Hill, 1972), p. 268.

inadequate transcription.

In a review of Bach's "Sonata No. 2" transcribed for
guitar, Grimes points out two pitch-errors and writes the
following:

> Less acceptable, however, are the added harmonies.
> Instead of enhancing the original, many of the
> added notes tend to thicken the texture and muddy
> the sound as well as obscuring the voice leading,
> especially in the fugue.
> This is useful for comparison, but the serious
> student would do better to work from an Urtext
> edition.[1]

Lorimer's transcriptions of the suites for unaccom-
panied violoncello receive considerable praise from Warren,
the reviewer, who is particularly impressed with the sugges-
tions pertaining to performance practice:

> Lorimer's advice to the player on Baroque niceties
> of performance is succinct and perfectly to the
> point: players with a modicum of musicological
> background will appreciate the novelty of this in a
> guitar edition of any kind at all.[2]

The growing number of guitar programs at the college
level has been accompanied by an increased concern among
guitarists regarding the accuracy of the transcriptions and
the stylistic authenticity of the performances of Bach's
music. Those who have compared their transcriptions with
either the Bach Gesellschaft edition or the Neue Bach Ausgabe

---

[1]David Grimes, rev. of Carlos Barbosa-Lima, trans.,
"Sonata No. 2" by J.S. Bach (Columbia), The Soundboard, III,
No. 1 (1976), p. 14.

[2]George Warren, rev. of Michael Lorimer, trans.,
"Cello Suites I, II, IV, and VI" (separate numbers) by J.S.
Bach (Shattinger), The Soundboard, III, No. 4 (1976), p. 74.

have discovered abundant discrepancies. Those who have listened to musicologically-influenced performances of substantial stylistic authenticity by other instrumentalists have begun to question the prevailing notions regarding guitar performance of the music of Bach.

Among the works of Bach most frequently transcribed and performed by guitarists is the Suite in E minor. Several years ago a popular rock-group, Jethro Tull, had a hit-recording of the Bourrée from this suite. Various movements often constitute a portion of the repertoire for guitar performance competitions. The 1978 Carmel Guitar Festival, then the most prestigious guitar competition in this country, required the Gigue as one of the competition selections. The 1980 Society of American Musicians competition repertoire included both the Prelude and the Bourrée. During a recent international festival in Toronto, "Guitar 78," two of the major artists, Carlos Bonell and Turibio Santos, included the entire suite on their concert programs.

The musical quality of the Suite in E minor is the primary reason for its popularity. Musicians other than guitarists and lutenists have been attracted by its musical quality. The Suite in E minor is the only one of Bach's works for lute to have been recorded by Gustav Leonhardt,[1]

---

[1]Gustav Leonhardt, recording, Chromatische Fantasie, Lautenwerksuite, Capriccio uber die Abreise (Telefunken SAWT 9571-B).

and is one of two included by Hans Bischoff[1] in a collection
of pieces for keyboard (the other is the Prelude, Fugue and
Allegro in E-flat major). The complexity of several of the
movements causes Alvaro Company to doubt that the suite was
conceived for lute. His respect for the piece is evident
in the following statement:

> Thus certain of Bach's lute works such as the "Suite
> in E minor" (BWV 996) with the intricate contrapuntal
> texture of the Prelude, Courant [sic], and Gigue,
> could have been conceived for the lute-harpsichord,
> leaving to lutenists themselves the task of adapting
> such complex contrapuntal structures to the baroque
> lute.[2]

Many teachers of guitar feel that existing editions
of the Suite in E minor are inadequate for use in the
education of the guitar performance major. Even though
knowledgeable guitarists have for some time been dissatis-
fied with them, these editions have been and are now being
used largely on the basis of their availability. Provost
regards existing editions as "not only useless to the
serious guitarist, but also quite misleading."[3] Lorimer
requests that students not employ any of the existing

---

[1]Hans Bischoff, ed. Johann Sebastian Bach Various
Works, Vol. I (New York: Edwin F. Kalmus, n.d.), p. 21.

[2]Alvaro Company, critical edition of J.S. Bach,
Suite BWV 998 (Milan: Edizioni Suvini Zerboni, 1977), p. 12.
The "BWV" number of this suite is actually "997," possibly
the printer was in error.

[3]Letter from Richard Provost, Chairman of the Ameri-
can String Teachers Association Guitar Division, December 19,
1979.

editions as performance material in his masterclasses.[1]

The Suite in E minor was selected for inclusion in this study primarily on the basis of its musical quality. The pedagogical value of the piece was also an important consideration, since none of the existing editions include explanations of the rationale for dealing with problems of transcription and performance.

Professional realities incumbent upon guitar performance faculty necessitate competency in teaching and performing the music of J.S. Bach. Because of that fact, the guitarist who aspires to a career in college teaching must receive instruction in the study, performance, and transcription of the music of Bach.

Because of the pedagogical inadequacy of existing published editions of guitar transcriptions of much of Bach's music, it is apparent that within the guitar constituency there exists a need for (1) a study dealing with aspects pertinent to the transcription and performance of the music of J.S. Bach, and (2) a more accurate guitar transcription of J.S. Bach's Suite in E minor. The popularity and the musical/pedagogical value of this suite warrant its inclusion in the education of the guitar performance major. Problems of transcription and performance of this suite

---

[1]Instructions for performers in Michael Lorimer Masterclasses, ASTA National Guitar Symposium, October 25-28, 1979.

may be viewed as representative of those encountered in Bach's works that are suitable for guitar performance. A study which includes both comprehensive discussions of the factors affecting transcription for guitar performance and an edition of the Suite in E minor which is based on the procedures that are contained in the discussions will be welcomed by individuals who are responsible for the educa-tion of the guitar performance major.[1]

Delimitations of the Study

This study does not include a comprehensive survey of guitar techniques. Only those techniques which are necessary and/or applicable to the performance of the music of Bach are included.

This study does not include a comprehensive investi-gation of the music of Bach. Selected compositions which could assist in discovering solutions to the problems of guitar transcription and performance were investigated.

By limiting the quantity of music to be transcribed to Bach's Suite in E minor, greater depth of analysis and detail of discussion was facilitated.

The Neue Bach Ausgabe[2] edition of the Suite in E minor serves as the authoritative source for this study.

---

[1]Appendix V contains copies of substantiating letters from Pepe Romero and Richard Provost.

[2]Johann Sebastian Bach Neue Ausgabe Samtlicher Werke, ed. Thomas Kohlhase, Klavier-und Lautenwerke, Serie V/Band 10 (Kassel: Barenreiter, 1976).

This study does not include a comprehensive discus-
sion of performance-related aspects (e.g., right-hand
fingering, potential individual problems, precise instruc-
tions as to how a phrase "should" be performed, etc.). The
study is concerned principally with the aspects of perfor-
mance that have direct bearing on (1) the process of
transcription, (2) a clear, faithful representation of
Bach's compositional content, and (3) substantial authenti-
city with regard to Baroque performance practice.

Procedures

The procedures that were employed in this study
consisted principally of the interaction of two areas:
(1) investigation of literature pertaining to Baroque
performance practice and to the music of Bach, and (2) ex-
perimentation with the guitar to determine the feasibility
of alternative solutions to the problems of transcription
and performance encountered during the process of trans-
cribing Bach's Suite in E-minor.

Other areas of related literature were investigated
for the purpose of developing foundational concepts in the
rationale for solutions to the problems of transcription
for guitar performance of the Suite in E minor. The section
of Chapter II that is entitled "Existing Editions" includes
discussions of aspects that contribute to the inadequacy of
published editions of this suite for use by the academic
guitarist. The avoidance of similar aspects was an impor-
tant foundational concept. Each of the other sections of

Chapter II, "Bach's Keyboard Orientation," "Articulation,"
and "Context and Authenticity of the Suite in E minor,"
presents the results of the investigation of the related
literature.that was useful in the development of founda-
tional concepts.

Because of the importance of ornamentation to both
a stylistically authentic transcription and performance of
the Suite in E minor, it was necessary to thoroughly inves-
tigate Bach's use of ornaments before beginning the
transcription. Because of the differing views held by
recognized authorities, and because of the adjunctive in-
formation pertaining to performance practice, the subject
of ornamentation is not included in the "Related Literature"
section; instead, it was decided that an entire chapter
should be devoted to a comprehensive investigation of orna-
mentation in the music of J.S. Bach. Chapter III of the
study provides a thorough basic introduction to Bach's use
of specific ornaments.

It is common knowledge among music educators that
the most effective procedure for learning performance skills
is the "musical intention, the musical conception to be
realized."[1] Leonhard and House write the following:

> The essential point is that learning performance
> skills proceeds best when approached as conscious
> exploration of an intelligible problem of musical

---

[1]James L. Mursell, Education for Musical Growth
(Boston: Ginn and Company, 1948), p. 221.

expression rather than as routine repetition of
movement patterns isolated from musical expression
and devoid of musical meaning.[1]

Based to a certain extent on the fact that perfor-
mance skills are best developed through the utilization of
musical concepts, it seemed reasonable to surmise that the
most effective approach to transcription for guitar perfor-
mance would be to develop an idealized concept of the music
through analysis of the structure at the various hierarch-
ical levels, and through experimentation to determine the
manner in which to realize, or to most closely approximate,
that conception on the instrument. This approach proved to
be effective, and was the basis of the procedure that was
used in solving the problems of transcription and perfor-
mance. It was found that experimentation with the instru-
ment both facilitated and enhanced the development of the
musical concepts.

During the process of transcribing the Suite in E
minor, books and articles dealing with structure, style,
analysis, the music of Bach, Baroque performance, aesthetics,
emotion and meaning in music, and guitar technique were
frequently consulted for terminology, guidance, insight,
and inspiration in solving the problems of transcription
and performance. The books and articles that were used are

---

[1]Charles Leonhard and Robert W. House, *Foundations
and Principles of Music Education* (2d ed.; New York:
McGraw-Hill, 1972), p. 137.

listed in the Bibliography.

The analytical discussions that are contained in Chapter IV of the study include both the product and the process of experimentation with the guitar in relation to the conceptual data that was derived from the investigation of literature, a priori and a posteriori reasoning, and information that was obtained from a number of internationally renowned concert guitarists.

The performance-oriented portions of the analytical discussions were both inspired by and based upon the kinds of explanatory discussions that are encountered in guitar master classes conducted by such artist-teachers as Pepe Romero, Oscar Ghiglia, Manuel Barrueco, Michael Lorimer, and Abel Carlevaro.

The procedures that were employed in writing Chapter V, "Summary, Conclusions, and Recommendations," consisted essentially of reflective thinking, and were based on the format that is suggested by Phelps.[1]

The notation and lettering of the transcription by the writer was fashioned with pressure-sensitive transfer-symbols. The brand-names of the symbols that were used are "Chartpak," "Letraset," and "Zipatone."

The various versions of the Suite in E minor that are included in the Appendices are photocopy reproductions.

[1]Roger P. Phelps, A Guide to Research in Music Education (Dubuque, Iowa: Wm. C. Brown, 1973) pp. 189-90.

Chapter II

RELATED LITERATURE

This chapter presents the results of the investiga-
tion of literature that was useful in the development of
foundational concepts in the rationale for solutions to the
problems of transcription and performance of the Suite in
E minor. The chapter is comprised of four sections:
"Existing Editions," "Bach's Keyboard Orientation," "Arti-
culation," and "Context and Authenticity of the Suite in
E minor." Relevant information other than that which was
useful in the development of foundational concepts is also
included in each of the sections.

Existing Editions

Points of concern to the guitar-educator in existing
editions of guitar transcriptions of Bach's Suite in E
minor are discussed in this section of the study. With the
exception of a transcription of the Praeludio by Sainz de
la Maza,[1] which is widely used, only editions of the com-
plete Suite in E minor are reviewed. The transcription by
Sainz de la Maza is included because it was recently on
the required repertoire list of the Society of American

_____

[1]J.S. Bach, Preludio, trans. Regino Sainz de la
Maza (Madrid: Union Musical Española, 1933).

Musicians national guitar performance competition. Many
simplified transcriptions of various movements from this
suite are found in numerous methods and anthologies designed
for the beginning or intermediate guitarist and are rarely
used by the guitar performance major. The simplified
transcriptions of various movements are not included.

The review of the existing editions does not include
discussions of all of the movements of the Suite in E
minor. Only the first movement is discussed. The reason
for limiting the review to the first movement is that the
remaining movements in each of the editions of the entire
suite contain points of concern that are similar to those
of the first movement. These points of concern reside
principally in three categories: ornamentation, articula-
tion, and pitch alteration.

The Moser[1] catalogue, which is generally acknowledged
to be the most comprehensive index of published guitar
music, lists nine editions of the Suite in E minor. Edi-
tions by Azpiazu,[2] Bream,[3] Scheit,[4] Teuchert,[5]

---

[1]Wolf Moser, _Gitarre-Musik_ (Hamburg: Der Volks-
musikverlag, Vol. 1, 1974; Vol. 2, 1977).

[2]J.S. Bach, _I. Suite_, trans. Jose de Azpiazu (München:
G. Ricordi & Co., 1969).

[3]J.S. Bach, _Suite in E minor_, trans. Julian Bream
(London: Faber Music Ltd., 1970).

[4]J.S. Bach, _Suite E-Moll_, trans. Karl Scheit (Vienna:
Universal Edition, 1975).

[5]J.S. Bach, _Suite No. 1 for lute in E minor_, trans.
Heinz Teuchert (München: G. Ricordi & Co., 1973).

Stingl,[1] Tomas,[2] and Wensiecki[3] are reviewed in this

section. The editions by Behrend, Santos, and Sierra were

not available for review. The transcription by Bischoff,

which is mentioned by Schmieder,[4] does not include the

complete suite. The Courante, Sarabande, and Gigue were

omitted.

The first movement of the suite is a Praeludio in

two sections: Passaggio and Presto. The transcription by

Sainz de la Maza[5] omits the titles of the sections and

omits thirteen of the fourteen ornament-symbols in the

Passaggio section. The kind of slurs that are character-

istic of Spanish romanticism have been substituted for

those written by Bach, and slurs have been added where

Bach wrote none. There are no comments by the transcriber

regarding the above-mentioned peculiarities, nor are there

any comments pertaining to the fact that twenty of the

seventy-four measures contain pitch alterations (measures 9,

---

[1]J.S. Bach, _Lautenmusik_, trans. Anton Stingl
(Leipzig: Friedrich Hofmeister, 1957). Stingl's transcrip-
tion was, for reasons unknown, omitted by Moser.

[2]J.S. Bach, _Suite Para Laud No. 1_ (BWV 996), trans.
José Tomás (Tokyo: Casa de la Guitarra, 1968).

[3]J.S. Bach, _Lautenmusik_, trans. Edmund Wensiecki
(Hofheim am Taunus: Musikverlag Friedrich Hofmeister, 1965).

[4]Wolfgang Schmieder, _Thematisch-systematisches Ver-_
zeichnis der musikalische Werke von Johann Sebastian Bach,
Bach-Werke-Verzeichnis (Leipzig: Breitkopf & Härtel, 1950),
p. 556.

[5]J.S. Bach, _Preludio_, trans. Regino Sainz de la Maza
(Madrid: Union Musical Española, 1933).

12, 14, 15, 20, 23, 24, 26, 28, 36, 40, 47, 53, 54, 55, 57, 64, 67, 70, and 73).

The transcription by Stingl[1] may have been the earliest publication of a guitar transcription of the entire suite (unless it is pre-dated by the unavailable Sierra edition). The title of the Passaggio section of the Praeludio has been omitted. Stingl has substituted his own version of slurring for that by Bach. Nine of the original ornaments have been omitted. Twenty-one measures have been altered. The original versions of three of the altered measures are included as footnotes. The other eighteen altered measures receive no mention (measures 3, 5, 8, 9, 13, 14, 15, 23, 24, 31, 34, 39, 40, 41, 46, 47, 53, 54, 66, 68, and 73 contain alterations).

In the Passaggio section of Bream's[2] transcription, the title and nine of Bach's ornaments have been omitted. Left-hand legato, which frequently effects a diminuendo from the first pitch to the second, is employed in a syncopated pattern that is contrary to Bach's apparent motivic configuration (Ex. 1a, 1b). Pitch-alterations have been made in thirteen measures (measures 5, 6, 8, 9,

---

[1] J.S. Bach, _Lautenmusik_, trans. Anton Stingl (Leipzig: Friedrich Hofmeister, 1957).

[2] J.S. Bach, _Suite in E minor_, trans. Julian Bream (London: Faber Music Ltd., 1970). Although it does not decrease the pedagogical inadequacy, one point in defense of Bream's edition is that he refers to his version as an arrangement. So doing lets the reader know that the edition is not intended to be as faithful to the original as is implied by the word "transcription."

11, 14, 15, 23, 47, 52, 53, 54, and 73). The edition does
not contain any explanatory remarks regarding the altera-
tions.

Ex. 1a. Bach: Passaggio - <u>Neue Bach Ausgabe</u>

Ex. 1b. Bach: Passaggio - Bream transcription

The title of the Passaggio section has been omitted
by Tomás.[1] The addition of slurs is very similar to the
Bream version. In the Praeludio of the Tomás transcrip-
tion, six ornament-symbols have been omitted and twenty-
four measures contain alterations (measures 5, 6, 8, 9, 12,
14, 15, 24, 40, 46, 47, 49, 50, 51, 53, 54, 61, 62, 63, 64,
66, 68, 70, and 73). There are no explanatory remarks
regarding the alterations.

In the transcription by Azpiazu,[2] thirty-nine measures
of the Praeludio have been altered; there are no comments
by the transcriber regarding the alterations (measures 5,

---

[1]J.S. Bach, <u>Suite Para Laud No. 1</u> (BWV 996), trans.
José Tomás (Tokyo: Casa de la Guitarra, 1968).

[2]J.S. Bach, <u>I. Suite</u>, trans. José de Azpiazu (München:
G. Ricordi & Co., 1969).

6, 8, 11, 12, 13, 14, 15, 16, 24, 31, 39, 40, 41, 42, 43,
44, 46, 47, 48, 49, 50, 51, 52, 53, 54, 58, 60, 62, 63, 64,
65, 66, 67, 68, 69, 70, 71, and 73).

The Wensiecki[1] transcription includes a <u>revisions-
bericht</u> in which the original versions of some of the
instances of pitch-alteration are illustrated. The eight
ornaments that have been omitted from the Passaggio section
are not mentioned in the <u>revisionsbericht</u>. The addition of
slurs is minimal (Ex. 2). The fingerings contribute to

Ex. 2. Bach: Passaggio - Wensiecki transcription

dissimilar articulations of similar figures. Wensiecki states
that he is "aware of the fact that this edition is not the
final solution, but only an attempt to make Bach's lute
music available to guitarists."[2] Including the measures
in which ornaments have been omitted, twenty-nine measures
have been altered (measures 3, 5, 7, 8, 9, 10, 11, 12, 13,
14, 15, 24, 30, 34, 40, 41, 42, 46, 47, 48, 49, 52, 53,
54, 59, 66, 68, 71, 73). Seven of the measures are men-
tioned in the <u>revisionsbericht</u>.

---

[1]J.S. Bach, <u>Lautenmusik</u>, trans. Edmund Wensiecki
(Hofheim am Taunus: Musikverlag Friedrich Hofmeister, 1965).

[2]Ibid, p. 4.

The revisionsbericht in the edition by Teuchert[1]
does not include all of the original versions of the
measures that have been altered. Six ornaments have been
omitted from the Passaggio; one is illustrated in the
revisionsbericht. The editor has not added any slurs. The
The majority of the slurs that are included in the Neue
Bach Ausgabe have been omitted. The title of the Passaggio
has been omitted. Nineteen measures of the Praeludio con-
tain pitch alterations (measures 3, 5, 6, 7, 8, 9, 11, 13,
14, 15, 24, 34, 47, 53, 54, 66, 68, 71, 73). The original
versions of thirteen of the measures that have been altered
are mentioned in the revisionsbericht.

Scheit's[2] edition contains fourteen ornaments at
locations corresponding to the fourteen ornaments that are
shown in the Neue Bach Ausgabe version of the Passaggio,
but the ornaments differ. There are two instances each
where trill-signs have been substituted for mordent-signs
(m. 4, m. 15), and mordent-signs have been substituted for
trill-signs (m. 4, m. 5). It is possible that the two
instances of trill-signs having been substituted for
mordent-signs are errors in printing, because the inter-
pretations shown by Scheit's fingerings are mordents, but
in the two instances of mordent-signs having been substituted

[1]J.S. Bach, Suite No. 1 for lute in E minor, trans.
Heinz Teuchert (München: G. Ricordi & Co., 1973).

[2]J.S. Bach, Suite E-Moll, trans. Karl Scheit (Vienna:
Universal Edition, 1975).

for trill-signs, the interpretations are consistent with
the erroneous signs. Scheit's interpretation of the orna-
ments is not consistent with baroque performance practice.
Each use of the Schneller (short trill consisting of main-
note, upper-neighbor, main-note) in measures 10-12 is in an
improper context. Example 3 shows three acceptable uses of

Ex. 3. Bach: Passaggio - Scheit transcription

upper-note trills and one improper Schneller. Scheit's
revisionsbericht presents examples of the original versions
of nine of the thirteen measures containing pitch-altera-
tions (measures 3, 5, 6, 7, 8, 9, 13, 14, 15, 34, 47, 53,
and 54).

Because the original versions of many of the mea-
sures are not playable on the six-string guitar, the number
of altered measures is not in itself an indictment of a
transcription. The number of altered measures for which
the original versions are not shown is one of the indica-
tors of the degree of inadequacy of a transcription for
use by the college level guitarist. In scholarly publica-
tions, the editor is expected to include the original
version of that which has been altered.

In each of the editions that are reviewed above,
the remaining movements of the suite contain similar points

of concern to the guitar-educator. There are other consi-
derations which could have added to the musical and
pedagogical value of the editions. The considerations are
as follows: (1) a discussion of ornamentation in the music
of J.S. Bach, (2) a discussion of the rationale for neces-
sary pitch-alterations and a consideration of alternatives,
(3) a discussion of the musical/technical logic determinant
in working out the fingerings, and (4) a discussion of per-
formance alternatives in relation to structure and style.

In each of the existing editions, the transcriber
appears to have been more concerned with technical expedi-
ency than with the musical idea in working out fingerings.
In many instances the fingerings serve to obscure, distort,
or destroy the musical idea written by Bach. Character-
istically, Bach's motivic figures begin after the beat and
end on the beat. The left-hand legato that is recommended
by the transcribers in slurring an onbeat note to the next
(afterbeat) note treats the end of a figure as if it were
the beginning of a figure. This type of articulation is
characteristically both Spanish romantic and guitaristic,
but in many contexts it is not appropriate in the music of
Bach. Such articulation obscures the musical meaning of
Bach's motivic construction (see examples 1a, 1b). (The
role and importance of fingering in relation to inter-
pretation is discussed in detail in Chapter IV of this
study.)

Bach's Keyboard Orientation

One of the foundational concepts of this study is
the predominance of Bach's keyboard orientation over the
idiomatic aspect of the other instruments for which he
wrote--particularly the lute. Bach's keyboard orientation
is viewed as fundamental to his style and to the means
whereby a more satisfactory guitar adaptation of his music
may be derived. Bach was criticized by Scheibe, a contem-
porary, regarding the keyboard dominance of his musical
style:

> since he judges according to his own fingers, his
> pieces are extremely difficult to play; for he
> demands that singers and instrumentalists should
> be able to do with their throats and instruments
> whatever he can play on the clavier. But this is
> impossible. Every ornament, every little grace,
> and everything that one thinks of as belonging to
> the method of playing, he expresses completely in
> notes.[1]

Spitta also notes the keyboard influence upon Bach's works

for other media:

> It is easy to see, from the individuality of
> Bach's violin compositions, from the number of parts
> employed, from certain types of figures, and from
> the interweaving of one or even two more instruments
> obbligato, that their peculiar style did not, at all
> events, take its rise solely in the nature of the
> instrument. The overpowering influence of the organ
> style, which relentlessly overmastered all that came
> within its reach, is even here too evident to be
> overlooked.[2]

---

[1]Johann Adolph Scheibe, "Letter from An Able
Musikant Abroad," May 14, 1737, quoted in Hans T. David
and Arthur Mendel, The Bach Reader (New York: W. W.
Norton & Company, 1945, rev. ed. 1966), p. 238.

[2]Philipp Spitta, Johann Sebastian Bach, trans. Clara
Bell and J.A. Fuller-Maitland (New York: Dover Publications,
Inc., 1952), p. 70.

Bach's keyboard orientation is an acknowledged aspect
of his style. Because of this fact, a logical inference
is that the solution to problems of transcription for gui-
tar performance may best be approached through investigation
of Bach's keyboard works. This conjecture is supported by
Emery, who writes the following regarding ornamentation:

> Thus problems that arise in the vocal and instru-
> mental parts can usually be solved, if they are
> soluble at all, by comparison with the keyboard
> works; but the converse is not true.[1]

The significance of Bach's keyboard orientation as
a foundational concept in this study involves the following
considerations: (1) the Baroque keyboard instrument to
which the sound of the guitar bears the greatest similar-
ity is the harpsichord, (2) in performing Bach's music,
the guitarist should employ techniques that emulate the
sound of the harpsichord, (3) guitaristic techniques that
do not emulate the sound of the harpsichord should generally
be avoided. The two categories in which keyboard-oriented
techniques are of greatest importance in solving the pro-
blems of transcription for guitar performance are ornamen-
tation and articulation. Timbral and dynamic considerations
are also important, for these aspects have some bearing on
the process of transcription, but they are more in the
province of performance options than that of transcription
problems.

---

[1] Walter Emery, Bach's Ornaments (London: Novello,
1975, reprint of 1953 ed.), p. 7.

Guitarists have recently begun to employ techniques of ornamentation that are intended to accomplish the musical effect of the harpsichord. Artzt[1] claims the distinction of having been the first to record right-hand-plucked ornaments. The writer developed a number of ornamentation techniques and thought the techniques were original discoveries, but subsequently found other guitarists to be using similar techniques and believing those techniques to have been their own discoveries. The new guitar techniques are discussed in the section of Chapter IV of this study that is entitled "Guitar Ornamentation Techniques."

The relationship of keyboard-oriented techniques to articulation is discussed in the subsequent section of this chapter.

This section of Chapter II has substantiated the foundational concept of Bach's keyboard orientation. Keyboard-oriented techniques have been identified as being important in the solution to problems of transcription for guitar performance in the categories of ornamentation and articulation.

Articulation

This section of the study contains information from diverse areas that is related to articulation. Common

---

[1]Telephone conversation with Alice Artzt, November 23, 1979, during which Ms. Artzt stated that her recording of Scarlatti's Sonata in A Major, L483 on the "Clavier" label is the first using right-hand-plucked ornaments.

misconceptions regarding the meaning of the term are dis-
cussed. The proper denotation of the term is clarified,
and the role of articulation in the performance of Bach's
music is intimated. Guitaristic techniques of articulation
are examined. The relationship of traditional guitar tech-
niques and keyboard-oriented techniques to articulation is
discussed. The relationship between fingering, articula-
tion, and the construction of groups through articulation is
established as a foundational concept in the rationale for
solutions to the problems of transcription for guitar per-
formance.

The term "articulation" is often encountered in
contexts in which the musical meaning is imprecise. Some of
the ambiguity of the term is derived from its linguistic
progenitor. In the physical sciences, the term refers to a
joint or joints. In the linguistic sense, the Latin word
articulatus means "to utter distinctly." This meaning
evolved from the original meaning which was "to be distinc-
tly jointed." The term has come to include not only the
act of speaking but also the content of both spoken and
written language. Lucid and logical linguistic structure
is commonly referred to as "articulate." In music, the
meaning of the term "articulation" is often unclear because
writers add various meaning to the precise denotation of
the term.

The Harvard Dictionary of Music defines "articulation"
as follows:

> A term used to denote (or demand) clarity and
> distinct rendition in musical performance, whether
> vocal or instrumental. Correct breathing, phrasing,
> attack, legato, and staccato are some of the aspects
> involved. See Phrasing and articulation.[1]

Under "Phrasing and articulation," the following information

is presented:

> Terms used to describe clear and meaningful
> rendition of music (chiefly of melodies), comparable
> to an intelligent reading of poetry. The main
> (though not the only) means of achieving this goal
> is the separation of the continuous melodic line into
> smaller units varying in length from a group of mea-
> sures to single notes. Properly speaking, phrasing
> refers to the separation of a melody into its consti-
> tuent phrases, whereas articulation refers to the
> subdivision of a phrase into smaller units. Often,
> however, it is difficult to distinguish between the
> two, partly owing to the vagueness of the term
> "phrase." Moreover, in practice the term "phrasing"
> is often applied to what is properly termed "articu-
> lation."[2]

Apel's definitions present an accurate description of the

imprecise manner in which the term "articulation" is com-

monly used. His statement, "Properly speaking, . . .

articulation refers to the subdivision of a phrase into

smaller units," implicitly prescribes a less imprecise

meaning for the term.

Boyden's use of the term incorporates meanings that

are not included in Apel's prescriptive denotation.

> With the old bow, one does not try to achieve an
> immediate pressure on the string as with the modern
> bow, but rather to take up first the slight slack,

---

[1] Willi Apel, Harvard Dictionary of Music (Cambridge:
Harvard University Press, rev. ed., 1975), p. 60.

[2] Ibid, p. 668.

> . . . then press quickly into the depth of the
> string, and relax again. The bow stroke is basically
> a short one, and the resulting sound is a naturally
> articulated tone. In rapid figurations a series of
> these articulated tones resembles a string of pearls
> since the sound is nuanced, giving the effect of a
> clear separation of individual tones without the
> sound of any ceasing completely.[1]

The meaning of the term in Boyden's use, "naturally articu-

lated tone," is not clear.

Duncan states that "in the main sense. articulation

has to do with a player's control of note length"[2] (which

is true in a limited sense, but includes neither the com-

poser's nor the listener's frame of reference), and follows

the statement with a discussion of the accretive meanings

of the term.

> The term can also refer, in the technique of
> winds and strings particularly, to the degree of
> percussiveness of the attack. Attack quality should
> not be confused with dynamic intensity; highly
> articulated notes may be played either loud or soft.
> Rather, it is more akin to the effect that different
> consonants have upon the same vowel sound in speech.
> In this sense, the difference between legato and
> staccato is roughly the difference between the word
> "oar" and the word "toe" if either is repeated in
> sequence.[3]

---

[1]David Boyden, The History of Violin Playing from Its
Origins to 1761 (London: Oxford University Press, 1965),
p. 498f.

[2]Charles Duncan, The Art of Classical Guitar Playing
(Princeton, New Jersey: Summy-Birchard Music, 1980), p. 60.

[3]Hermann Keller, Phrasing and Articulation, trans.
Leigh Gerdine (New York: W.W. Norton and Company, Inc.,
1965, paperback ed., 1973). This book has inspired a number
of cogent articles on articulation, two of which are the
following: Danny J. Uhl, "A Rationale for Determining Arti-
culation," Diapason 7 (April 1980): 8-12. Edmond Shay,
"Bach's Instrumental and Vocal Styles--How They Affect
Articulation," American Organist 3 (November 1969): 33-37.

The use of the term to refer to so many different musical

phenomena dilutes the fundamental meaning of "articulation"

and renders the term vague and lacking in specificity.

Keller's distinction between the terms "phrasing"

and "articulation" is admirably precise.

> It is the rare musician . . . to whom the difference
> between phrasing and articulation has become entirely
> clear. In particular, violinists are almost invari-
> ably accustomed to speaking of this or that "phrasing"
> of a passage, identifying bowings with articulation.
> But the words "phrasing" and "articulation" have
> basically different meanings: phrasing is much like
> the subdivision of thought; its function is to link
> together subdivisions of musical thought (phrases)
> and to set them off from one another; it has thus the
> same function as punctuation marks in language. "He
> who phrases incorrectly is like a man who does not
> understand the language he speaks," said Chopin to
> his student Mikuli, Hans von Bulow expressed it
> similarly: "In music, we must punctuate, phrase,
> separate: we must play the piano, not babble." The
> function of musical articulation, on the other hand,
> is the binding together or the separation of the
> individual notes; it leaves the intellectual content
> of a melody line inviolable, but it determines its
> expression. There is, therefore, as a rule only one
> possible, thoughtful phrasing, but there are several
> possibilities of articulation.[1]

In this study, Keller's definition of "articulation"

is used. The term refers only to the kinds of connections

that exist between successive tones: legato, varying

degrees of non-legato and staccato, and varying degrees of

overlapping.

Donington, who uses the term primarily in the connec-

tive meaning, offers the following recommendations regarding

articulation in Baroque music:

---

[1]Keller, op. cit., p. 4.

> Within a phrase, all degrees of separation can occur, from none (legato) to very much (staccato).
>
> Articulation, like phrasing, is of the highest importance in baroque music, and [is] capable of the highest subtlety. Even within one passage, although the separation may be basically of one kind, the refinements can be varied from note to note: and no two notes running should necessarily be given quite the same degree or manner of separation.
>
> As usual, the sense of line comes first; and good articulation, like good phrasing, is an element of good line.
>
> Notated slurs sometimes occur, but as hints rather than as instructions; and as a rule very incompletely and inconsistently. It is for the performer to work out good and consistent bowings, breathings, articulation syllables, fingerings etc. . .
>
> Normally, no indication for the articulation will be found in baroque music; but (then and earlier) it was expected from the performer in adequate variety.[1]

Many of C.P.E. Bach's suggestions pertaining to performance practice are not applicable to the earlier style of his father's music, but the following quotation regarding articulation transcends the stylistic boundary.

> In general the briskness of allegros is expressed by detached notes and the tenderness of adagios by broad, slurred notes. The performer must keep in mind that these characteristic features of allegros and adagios are to be given consideration even when a composition is not so marked, as well as when the performer has not yet gained an adequate understanding of the affect of a work. I use the expression, "in general," advisedly, for I am well aware that all kinds of execution may appear in any tempo.
>
> There are many who play stickily, as if they had glue between their fingers. Their touch is lethargic; they hold notes too long. Others, in an attempt to correct this, leave the keys too soon, as if they are burned. Both are wrong. Midway between

---

[1]Robert Donington, A Performer's Guide to Baroque Music (New York: Charles Scribner's Sons, 1973), p. 284f.

these extremes is best. Here again I speak in general, for every kind of touch has its use.[1]

In his discussion of articulation in Baroque music, Donington includes an excerpt from the above quotation along with a quotation from Marpurg's Anleitung zum Clavierspielen (1755). In the quotation below, Marpurg's statement is enclosed in quotation marks, and it is followed by Donington's commentary.

> "Opposed to legato as well as to staccato is the ordinary movement which consists of lifting the finger from the last key shortly before touching the next note."
> Our modern "ordinary movement" is much nearer to legato; and it is worth remembering this baroque concept (for which there is further evidence) of an intermediate degree of articulation as the average condition: the starting-point, of course, for any amount of varied finesse between one note and another.[2]

The "intermediate degree of articulation" that is recommended by Donington as the normative articulation in Baroque music is readily obtainable on the guitar, though the technical processes are more varied than those that are required to obtain this kind of articulation on keyboard instruments. When successive plucked notes are taken on the same string, non-legato articulation is almost unavoidable. This is because the finger that is about to pluck the string

---

[1]Carl Philipp Emanuel Bach, Essay on the True Art of Playing Keyboard Instruments (1753), trans., William J. Mitchell (New York: W.W. Norton and Company, Inc., 1949), p. 149.

[2]Donington, op. cit., p. 285.

momentarily damps the vibration at the instant it contacts
the string. When successive plucked notes are on different
strings, the technical processes that are required for
obtaining non-legato articulation involve a variety of
damping techniques. There are two basic types of left-hand
damping, (1) free-finger damping and (2) stopping-finger
damping; and three basic types of right-hand damping,
(1) free-finger damping, (2) same-finger damping, and
(3) rest-stroke advance damping. Each of the types includes
a number of alternative sub-types that are related to the
particular notes and fingers being used. These techniques
are also employed to obtain staccato articulation.

In Baroque music, as in music of more recent eras,
notated slurs denote legato articulation, but in most pub-
lications for guitar performance, notated slurs denote
ligado technique. Because of this discrepancy, and because
of related misconceptions, clarification of the techniques
of legato articulation is necessary.

Ligado technique is the traditional manner of exe-
cuting notated slurs in guitar performance. Pujol explains
that, in guitarist's terms, the word "ligado" almost always
refers to the connection of successive notes by the action
of the left-hand fingers alone.[1] In virtually all of the
instructional literature, guitarists either state or imply

---

[1]Emilio Pujol, Escuela Razonada de la Guitarra,
Libro II (Buenos Aires: Ricordi Americana, 1952), p. 98.

that the notated slur means ligado technique.

The two basic forms of ligado technique are ascending ligado and descending ligado. In ascending ligado, the slurred note is made to sound by stopping the string with a movement of a left-hand finger that is comparable to hitting a nail with a hammer. In descending ligado, the slurred note is made to sound by plucking the string with the left-hand finger that was stopping the preceding note. Both forms of ligado technique most often involve notes that are taken on the same string, but uncommon variant types in which the notes are taken on different strings are encountered, though in such instances the direction of the slur is usually reversed: the hammered note is a descending slur; the left-hand-plucked note is an ascending slur.

In most instances, ligado technique will produce a timbral and dynamic difference between a right-hand-plucked note and a slurred note. Because such timbral and dynamic differentiation is not a characteristic of Baroque keyboard instruments, ligado technique in the music of J.S. Bach is appropriate only in limited contexts. Such contexts are discussed in Chapter IV of the study.

Legato articulation of the same kind that is produced on a keyboard instrument may be obtained on the guitar through taking right-hand-plucked notes on different strings. Right-hand-plucked notes that are taken on the same string can accomplish the effect of legato articulation when played as legato as possible by a skillful performer.

Many of the musical publications edited by Julian
Bream use a curved dotted line to signify ligado technique.
So doing is an ingenious and clear procedure for distin-
guishing between ligado technique and legato articulation.
This manner of signification is employed in the present
study.

An important aspect of articulation in guitar perfor-
mance is fingering. For the guitarist, the term "fingering"
implies more than it does for most instrumentalists. Through
fingering, the guitarist must accomplish much of the expres-
sive/interpretive effect that is accomplished by the
violinist through bowing, the pianist through pedal technique,
and the organist through registration. Greene stresses the
importance of fingering as an aspect of interpretation:

> The way a passage of music is fingered and
> positioned can greatly change the way it is perceived
> by the listener. There is a difference in sound
> between a note played on an open string and the same
> note played on a fret. There is also a difference
> between a note played on a high fret and that same
> note played on a low fret . . . . Finding good
> fingerings is as important as finding the right
> notes.[1]

In its broadest sense, fingering involves all the aspects
of expressive/interpretive performance that are controlled
by the fingers of both the right and left hands. In its
narrowest sense, fingering involves decisions regarding which
fingers will play which pitches on which strings. Even in

---

[1]Richard Greene, "Some Thoughts on Fingering,"
American String Teacher, XXIX (Spring 1979), p. 40.

its narrowest sense, fingering is quite complex; for example,
in the customary manner of stopping the strings with only
the four fingers of the left hand and plucking with only
four fingers (one is the thumb) of the right hand, the
first two pitches of a "C" scale may be fingered 1152 dif-
ferent ways, whereas adding a third pitch increases the
number to 55,296. Obviously, for a desired musical applica-
tion, the majority of the possible fingerings would be
equally absurd. A few would be equally effective. The
performer must necessarily decide upon only one. For the
guitarist, fingering is an essential aspect of interpreta-
tion. While all factors of expressive performance are
affected by the choice of fingerings, one of the more pre-
dominant functions is to facilitate the construction of
rhythmic groupings through articulation.

The terminology for rhythmic groupings varies among
writers. Berry defines "grouping" as "associations perceived
within and among punctuated or articulated unit-orderings
of events,"[1] and employs the term "motivic" to refer to a
recurrent grouping of the type for which the term "motif" is
employed by Keller,[2] "rhythmic figure" by Sachs,[3] and

---

[1] Wallace Berry, Structural Functions in Music (Engle-
wood Cliffs, New Jersey: Prentice-Hall, Inc., 1976), p. 306.

[2] Keller, Phrasing and Articulation.

[3] Curt Sachs, Rhythm and Tempo – A Study in Music
History (New York: W.W. Norton and Company, Inc., 1953).

"figure" by Stein.[1] The terms that are employed in subsequent discussions have been drawn from Stein, who provides the following definitions for and distinction between the terms "figure" and "motive:"

> The figure is the smallest unit of construction in music. Consisting of at least one characteristic rhythm and one characteristic interval, it may include as few as two tones or as many as twelve. . .
> The term motive is occasionally used as synonymous with figure; on the other hand, a distinction is sometimes made between the figure as an accompaniment or pattern unit (as in etudes or Baroque keyboard works) and the motive as a thematic particle. The objections to using motive instead of, or as synonymous with, figure are: (a) the motive as a thematic portion may consist of two or three figures, and (b) the term "motive" is widely used to identify the brief subject of an invention. It will prove less confusing to use unequivocally the term "figure" for the smallest single unit.[2]

The writer believes that either of the criterial attributes of the term "figure" could suffice to define it: i.e., that the smallest unit of construction may consist of either one characteristic rhythm or one characteristic interval.

The determination of rhythmic groupings is often a subjective phenomenon. Although it may be perplexing, the ambiguity of groupings provides the performer an opportunity to imbue the music with his own individuality in interpretation. Keller suggests that

> the strongest element in the merging of tones into

---

[1] Leon Stein, Structure and Style (Evanston, Illinois: Summy-Birchard Company, 1962).

[2] Ibid, p. 3.

> a motif is rhythm; there are, however, especially
> in older music, and particularly in J.S. Bach,
> instances in which the regularly moving rhythm
> presents no stopping place, and the course of the
> melodic line permits several meanings. In such a
> case a composer--or if he has not done it, the
> interpreter--can create groups of notes with the
> significance of motifs through articulation.[1]

A view similar to that of Keller is expressed by Cooper

and Meyer:

> Rhythmic grouping is a mental fact, not a physical
> one. There are no hard and fast rules for calcu-
> lating what in any particular instance the grouping
> is. Sensitive, well-trained musicians may differ.
> Indeed, it is this that makes performance an art--
> that makes different phrasings and different
> interpretations of a piece of music possible.[2]

The fact that there is considerable latitude in the inter-

pretation of rhythmic groupings does not abrogate the

performer's responsibility to precisely determine his own

conception of groupings and to clearly express that con-

ception in performance. If there are a number of possible

interpretations, the performer's conception of rhythmic

groupings may change from time to time.

Ideally, the guitarist should base fingerings on

musical considerations. Pragmatically, the optimum fin-

gering is almost always a compromise among three principal

factors: (1) the desired musical rendering of the notes,

(2) the capabilities and limitations of the instrument,

---

[1]Keller, op. cit., p. 55.

[2]Grosvenor W. Cooper and Leonard B. Meyer, The
Rhythmic Structure of Music (Chicago: The University of
Chicago Press, 1960), p. 9.

and (3) physiological limitations. The guitarist should
develop an idealized conception of the music and determine
the manner in which to realize, or to most closely approx-
imate, that conception on the instrument. This approach
involves extensive experimentation. Chapter IV of the
study presents detailed discussions of both the process
and results of such experimentation.

Context and Authenticity of the Suite in E minor

Most of Bach's music is not satisfactorily adaptable
for solo guitar performance. Among the best suited for solo
guitar performance are his (so-called) works for solo lute.
This group consists of four suites (G-minor, BWV 995, referred
to by guitarists as the "Second Lute Suite;" E-minor, BWV 996,
referred to by guitarists as the "First Lute Suite;" C-minor,
BWV 997, similarly called the "Third Lute Suite;" and E-major,
BWV 1006a, widely known by guiarists as the "Fourth Lute
Suite"); the Prelude in C-minor, BWV 999; the Fugue in G-
minor, BWV 1000; and the Prelude, Fugue and Allegro in E-flat
major, BWV 998, the manuscript of which includes the indica-
tion "pour la Luth ò Cémbal" in Bach's handwriting. In
addition to the autograph manuscript (Bach's handwritten nota-
tion) of the Prelude, Fugue and Allegro, there are only two
other extant autograph manuscripts of the compositions for
solo lute: the Suite in G-minor, and the Suite in E-major.

The two suites for which there are extant autograph
manuscripts are transcriptions by Bach of his Fifth Suite

in C minor, BWV 1011, for solo violoncello (the Suite in

G minor for lute), and his Third Partita in E major,

BWV 1006, for solo violin (the Suite in E major for lute).

The manuscript of the Suite in G minor contains two titles:

on a title page is written "Pièces pour la Lute à Monsieur

Schouster par J.S. Bach," and on the second page above the

beginning of the Prelude is written "Suite pour la Luth

par J.S. Bach." Two unanswered questions are raised by

the words on the title page: who was Monsieur Schouster,

and what other lute pieces were originally contained in

the collection? Bruger speculates that Monsieur Schouster

was probably a musician from Dresden who was acquainted

with C.P.E. Bach.[1] Regarding the original contents of the

collection, several possibilities may be deduced as logi-

cal assumptions: that some of the extant lute works and/or

some now-lost lute works comprised the remainder of the

"Pièces pour la Luth," or that Bach intended to, but did

not, add other pieces to comprise a collection. It is

unlikely that the Suite in E major was once part of this

collection: the manuscript is untitled, the number of

staves per page differs from that of the G-minor suite,

and the date of the transcription is believed to have been

---

[1]Hans Dagobert Bruger, J.S. Bach - Kompositionen
für die Laute (Wolfenbüttel und Zürich: Moseler Verlag,
1925), p. 51. Cited by Paolo Cherici, J.S. Bach - Opere
Complete per Liuto (Milan: Edizioni Suvini Zerboni,
1980), p. xix.

five years earlier than that of the G-minor suite. There

is no specification that the work was written for the lute.

Cherici bases his belief that the suite was intended for

the lute on the registral relationships which present

> the distinctive trait characterising [sic] works
> composed for the Baroque lute: the predominance
> of middle-high over the low register, with the
> latter functioning only as harmonic support.[1]

Cherici speculated that the reason for the disadvantageous

key (the D-minor tuning of the Baroque lute makes perfor-

mance in the key of E-major quite unwieldy) is probably

the following:

> Bach, perhaps short on time, may have transposed
> our Suite literally from the violin version, adding
> a few bass notes and harmonic "fillers," and leaving
> the lutenist . . . with the task of adapting it at
> his own discretion, either by changing the key or
> tuning his instrument differently.[2]

Various speculations regarding for which instrument the

violin original was transcribed are encountered among

discussions of Bach's lute works, but such speculations

are not based on solid evidence and will not be repeated

here. In addition to Cherici's evidential (registral

relationships) and speculative (reason for the disadvanta-

geous key) statements, the fact of an autograph manuscript

in which the lute is specified for performance of the

transcribed Fifth Suite for Violoncello can be cited as

---

[1] Paolo Cherici, J.S. Bach - Opere Complete per Liuto
(Milan: Edizioni Suvini Zerboni, 1980), p. xxi.

[2] Ibid, p. xxii.

further evidence in support of the probability that the
Suite in E-major was transcribed for the lute. This
association of the two transcriptions is a rather tenuous
evidential relationship, but is less speculative than the
discussions that propose some other intended instrument.

The aspects of both key and registral relationships
that are mentioned above can be cited as evidence in
support of the view that the Suite in E minor was probably
not composed for the lute. Further discussion of this view
will be presented in subsequent paragraphs.

Schmieder[1] gives the dates of Bach's compositions
for solo lute as encompassing roughly 1720-1730 (with the
exception of BWV 998, for which no speculative date is
given). The Suite in G-minor is believed to have been
transcribed between 1725 and 1730. Schmieder's date for
the transcription of the Suite in E major is circa 1720.
For the Suite in E minor, an approximate date of 1722 is
given.

At the time of composing the Suite in E minor, Bach
was employed by Prince Leopold of Anhalt-Cöthen as capell-
meister of the Prince's court at Cöthen. Bukofzer writes
the following narrative of Bach's position and musical
involvement at the court of Prince Leopold.

> This position was remarkable in several respects.
> Socially, it meant for Bach the highest social

---

[1]Schmieder, op. cit., pp. 555-58.

> prestige he ever attained, a fact he could not
> forget in the subsequent years in Leipzig. Artis-
> tically, it created a unique situation for him.
> The court belonged to the Reformed Church so that
> his official duties involved neither church music
> nor even the organ. Far removed from his "final
> goal," a regulated church music, Bach became now a
> composer of secular chamber and house music. It
> was in Cöthen that he wrote the bulk of his music
> for clavier (clavichord and harpsichord), and chamber
> ensembles. . . Bach appears in the Cöthen period as
> the great mentor who by personal example dictates
> objective standards of technical craftsmanship.[1]

Bach's monumental compositional output during the Cöthen

period includes the first part of the "Well-Tempered

Clavier," the "Inventions," the "Orgelbüchlein," the

"Clavierbüchlein" (that for Wilhelm Friedemann in 1720,

and for Anna Magdalena in 1722), the "Six Suites for Solo

Violoncello," the "Three Sonatas and Three Partitas for

solo violin," the six "Brandenburg Concertos," the six

"English Suites," the six "French Suites," the "Great G

minor Fugue" for organ, and probably all of the works for

solo lute except the Suite in G-minor.

Varying degrees of both doubt and confidence that

the Suite in E minor was composed for lute are expressed

by modern writers. Some of the lute devotees present

rather far-fetched arguments in defense of their claim

---

[1]Manfred Bukofzer, Music in the Baroque Era (New York: W.W. Norton and Company, Inc., 1947), p. 282.

upon this composition. Burguéte[1] acknowledges that the unplayability of work in the key of E-minor on the Baroque lute could be due to one of two possibilities: (1) that the work may not have been composed for the lute, or (2) that Bach did not have an adequate understanding of the instrument. Burguéte does not discuss the possibility that the work may not have been composed for the lute, but instead intimates that there could be a "missing Bach tablature"[2] version of the suite in the key of D-minor, and, after having presented his own tablature version in the key of D-minor with an accompanying rationale, states that "it remains yet to discover why the suite was transposed to e-- if we assume a lost d-minor autograph."[3] To speculate upon the possibility of a lost version in D-minor is one thing, but to assume the existence of such a version is indicative of a biased approach.

The title page of the Krebs manuscript of the Suite in E minor includes the words "aufs Lauten Werck." The scribe of these words is clearly not Krebs. Schmieder[4] suggests that the words were added circa 1800. Regardless

---

[1] André Burguéte, "Die Lautenkompositionen Johann Sebastian Bachs. Ein Beitrag zur kritischen Wertung aus spielpraktischer Sicht," Bach-Jahrbuch (Berlin: Evangelische Verlaganstalt, 1977), p. 29.

[2] Ibid.

[3] Ibid., p. 41.

[4] Schmieder, op. cit., p. 556.

of the accuracy of Schmieder's date, such added words
should have no musicological bearing on the question of the
instrumental idiom, but many writers make speculations
regarding the significance of the words. Neeman states
that "because of the strange title, some people believe
that Bach may have composed it not for the lute but for the
Lautenklavier"[1] (the name of the instrument is not tran-
slated due to the uncertainty of the present writer whether
Neeman distinguishes between a "keyboard-lute" and a "lute-
harpsichord," and, if he does, to which instrument he
refers).

Neeman believes the work was composed for the lute.
His arguments are not convincing. They contain no mention
of the most relevant aspects: namely, the fact that the
work is not playable on the standardly tuned Baroque lute,
and, more importantly, the fact that the registral rela-
tionships, harmonic textures, and contrapuntal complexities
are neither idiomatically characteristic of music for the
Baroque lute, nor sufficiently similar to Bach's lute com-
positions for which there are autograph manuscripts to
warrant the assertion that the Suite in E minor was intended
by Bach for performance on the lute.

In an otherwise admirably thorough article in which
the history and construction of various lute-like keyboard

---

[1]Hans Neeman, "J.S. Bachs Lautenkompositionen,"
Bach-Jahrbuch (Wiesbaden: Breitkopf & Härtel, 1931), p. 84.

instruments is discussed, Ferguson includes speculative
statements regarding the Suite in E minor.

> Did Bach write any music specially for this
> instrument of his own designing? The only work
> about which we can be reasonably certain is the
> beautiful but little-known suite in E minor, BWV 996.
> No autograph exists; but the contemporary manuscript
> copy that belonged to Bach's pupil Ludwig Krebs has
> a title-page which reads: 'Preludio [sic] con la
> Svite [sic]/ da / Gio: Bast. Bach. / aufs Lauten
> Werck' . . . The lowest note used is C below the
> bass stave, and the highest c" on the third space of
> the treble stave; and this, as we have seen, is
> precisely the compass of the Lautenwerk as given by
> Adlung. Furthermore, the technical difficulty of
> the Gigue strongly suggests the use of a keyboard
> instrument rather than a normal lute.[1]

Ferguson's assertion that the Suite in E minor was composed
for the lute-harpsichord is based on two evidential items,
one of which is inadmissible, the other of which is incon-
clusive: (1) the words "aufs Lauten Werck," which are not
in Krebs' handwriting, and (2) the fact that the range of
the suite is the same as the compass of a Lautenwerk (not
owned by Bach) as described by Adlung. The instrument of
this kind that was owned by Bach is referred to as a
Lautenclavicymbel[2] by Agricola, who was one of Bach's
pupils. Ferguson acknowledges that there "is no documen-
tary proof that Johann Sebastian Bach was familiar with"[3]
the instrument described by Adlung.

---

[1] Howard Ferguson, "Bach's 'Lauten Werck'," Music and
Letters, vol. 48 (1967), p. 263.

[2] Ibid.

[3] Ibid.

According to Schmieder,[1] the now-lost manuscript copy
of this suite by Gerber was in the key of E-flat minor. The
fact that one of three versions[2] of this suite corresponds
in range to the compass of an instrument that was not owned
by Bach lends little support to the claim that the Suite in
E minor was written for the lute-harsichord.

Cherici firmly states "This Suite was not actually
written for the lute,"[3] but yields to the allure of sug-
gesting that the work was written for the "Lautenklavizimbal,
or lute-harpsichord."[4] Cherici writes the following:

> In re-proposing this composition today, we feel that
> its most appropriate destination, lacking the
> lautenwerk, is the lute, as this is undoubtedly

---

[1]Schmieder, op. cit., p. 556.

[2]In addition to the Gerber and Krebs manuscripts,
there is an A-minor version of this Suite. According to
Cherici (op. cit., p. xxii) this version is "in a collection
of pieces for harpsichord and organ by Bach, in the Biblio-
theque Royale at Brussels (Ms. No. 2960)." The copyist of
this version is not known, and for that reason Cherici (Ibid.)
feels that the Krebs manuscript "gives a better guarantee
of reliability."

[3]Cherici, op. cit., p. xix.

[4]Ibid. Cherici includes a description by J.C.
Fleischer of such an instrument. The description is taken
from work published in 1718, Gli Strumenti Musicali, and
written by Giampiero Tintori. He then, by implication,
equates the instrument described by Fleischer to an instru-
ment that was built for Bach by Zacharias Hildebrand in 1740.
The fact that two similarly named instruments were included
in the inventory after Bach's death is included (also by
implication) as evidence in support of the contention that
the Suite in E minor was composed for some sort of lute-
like keyboard instrument. The assumption, based simply on
the name of the instrument, that the instruments in Bach's
possession at the time of his death were the same kind of
instrument as that which was described in 1718 by Fleischer
is indicative of a lack of scholarly skepticism.

the instrument which most closely interprets the
composer's original idea. Such a transcription,
however, would entail certain changes, albeit not
very substantial ones, since the Suite, though less
complex than most of Bach's harpsichord works, has
all the characteristics of a piece conceived for
the keyboard, especially in the Prelude and Gigue.
We have therefore chosen to simply present the piece
in its original form, letting any instrumentalist
who intends to play it take upon himself the respon-
sibility of making these changes which he feels
necessary.[1]

Although understandable, it is not altogether believ-

able that so many writers (even Kohlhase in his preface to

the Neue Bach Ausgabe version of the Suite in E minor)

should persist in creating the impression through assertion,

suggestion, or implication that the Suite in E minor was

written for the "lute-harpsichord" without any of them

(except the lute-composition advocates) casting any doubt

that such was the case. All such discussions of which the

present writer is cognizant are, in fact, based on the

possibility that this Suite was written for that instrument.

In the minds of these writers, it is apparently a short

leap from possibility to probability. It seems much more

logical to surmise that because neither the Krebs manu-

script nor the Gerber manuscript includes in the handwriting

of the copyist any mention of the instrument for which the

suite was composed; because Bach did not have a lute-

harpsichord built by Hildebrand until at least fifteen

---

[1]Ibid, p. xx.

years after the Suite was composed (Schmieder[1] gives a probable date of 1725 for the Gerber manuscript); because Bach usually specified the instrument (especially if it was an unusual instrument) for which a piece was intended; because both Krebs and Gerber were Bach's students in Leipzig and would have made their copies (most likely) directly from Bach's manuscript and, if the intended instrument had been an unusual one, would have included their teacher's instrument-specification; and, finally because the initial progenitor of the "lute-harpsichord theory" was most likely Spitta[2] (with a similar degree of speculative license, the present writer could suggest that it is possible that Spitta added the words "aufs Lauten Werck" to the title page of the Krebs manuscript)--there is no real evidence to support the speculative contention. It is highly probable that the Suite in E minor was conceived neither for the lute nor specifically the lute-harpsichord. The Suite in E minor is sufficiently similar, with regard to the movements, structure, and style, to the "English Suites" to warrant viewing it as being of the same period, genre, and instrument as the "English Suites." The term "clavier" denoted, in Bach's time, "keyboard instruments

---

[1]Schmieder, op. cit., p. 556.

[2]Philipp Spitta, Johann Sebastian Bach, trans. Clara Bell and J.A. Fuller-Maitland (London: Novello & Company, Ltd., 1951), Vol. III, p. 167. This work was originally published in Leipzig, 1873-80.

such as the harpsichord, clavichord, and organ"[1] (or even

the lute-harpsichord). It was for this instrument-category

that the Suite in E minor was most likely composed.

Based on both the compositional content of the

Suite in E minor, and the fact that all three sources

specify J.S. Bach as the composer, there can be no reason-

able doubt that this Suite is an authentic Bach composition.

---

[1]Apel, <u>Harvard Dictionary</u>, p. 179.

Chapter III

ORNAMENTATION IN THE MUSIC OF J.S. BACH

This chapter presents a review of selected litera-
ture pertaining to ornamentation in the music of J.S. Bach.
The chapter is primarily a review and critique of the
writings of recognized authorities. Because there is
considerable disagreement among recognized authorities,
numerous quotations are included to provide the reader with
examples of the reasoning processes employed by the author-
ities in interpreting their data and/or in promoting their
viewpoints.

The discussions of various categories of ornaments
are contained in six major sections: One-Note Ornaments,
The Slide, The Trill, The Mordent, The Turn, and The
Arpeggio.

The discussions that are presented in the categor-
ical sections are not specifically referenced to the Suite
in E minor. The reasons for this are the following: (1) the
design of the study--for use in the education of the college
level guitar performance major--required a broader and more
detailed presentation of the investigation of ornamentation
than that which would have been the necessary minimum for
understanding the transcription of the Suite in E minor;
(2) the investigation of ornamentation was completed before
beginning the transcription of the suite and was structured

to provide both the writer and the prospective reader with
a thorough basic introduction to ornamentation in Bach's
music; (3) the discussions that are contained in Chapter IV,
Rationale for Fingering, reference the rationales for vari-
ous interpretations of ornaments in the transcription to
the investigation that is presented in Chapter III.

The subject of ornamentation in the music of J.S.
Bach is sometimes assumed to involve only the interpreta-
tion of signified ornaments, but the perspective of such an
assumption is erroneously limited. Donington[1] identifies
two categories of ornamentation--free ornamentation and
specific ornaments--whose domains are not mutually exclu-
sive. Free ornamentation involves improvisatory figurations,
some of which may be specific ornaments. The topic of this
chapter is the use of specific ornaments, which may occur
in three types of situations: (1) ornaments indicated by
a sign; (2) ornaments not indicated by a sign, but implied
by the context; and (3) ornaments that may be optionally
added at the discretion of the performer.

The following outline presents an overview of the
occurrence of signified ornaments in the Suite in E minor:

       Praeludio: trill; one each in mm. 4, 5, 6, 10, 14;
                     two each in mm. 12, 13;

           mordent; one each in mm. 5, 10, 14, 15;

---

[1]Robert Donington, A Performer's Guide to Baroque
Music (New York: Charles Scribner's Sons, 1973), p. 177.

Allemande: trill; one each in mm. 13, 14, 15;

            mordent; m. 1;

Courante: trill; one each in mm. 1, 3, 6, 7, 9, 11,
                13, 17, 21;
          two each in mm. 12, 15;

            mordent; one each in mm. 1, 5, 7, 11;

Sarabande: trill; one each in mm. 1, 4, 5, 6, 7, 9,
          11, 13, 17, 18, 19, 20, 21, 22;
          two each in mm. 14, 23;

            mordent; one each in mm. 5, 6, 7, 8, 18,
            20, 21, 22, 24;

            one-note ornament (_Vorschlag_); m. 14;

            slide; m. 17;

            arpeggio; m. 11;

Bourrée: trill; m. 15

Gigue: none.

A logical point at which to begin the investigation
of ornamentation in the music of J.S. Bach is with the table
of ornaments that is included at the beginning of the
Clavierbüchlein which Bach began writing for his eldest son,
Wilhelm Friedemann, in January of 1720. This table of orna-
ments is commonly known as the "Explication" and is the only
known ornament table left by Bach (Ex. 1).[1]

Ex. 1: _Explication_ unterschiedlicher Zeichen, so gewisse
       manieren artig zu spielen, andeuten.
       Explanation of various signs, showing how to play
       certain ornaments neatly.

---

[1]Walter Emery, _Bach's Ornaments_ (London: Novello,
1975, reprint of 1953 ed.), p. 13.

Although authoritative as far as it goes, the
"Explication" is of limited value both in solving the pro-
blems and in illustrating the principles of ornamentation
in the music of Bach. Emery gives the following reasons
for the limited usefulness of the "Explication:"

> It is nothing more than a rough guide, made for a
> boy of ten who did not need anything better because
> he was being taught by his father, and largely on
> his father's music. Like so many other eighteenth-
> century ornament tables, it treats ornaments without
> regard to their context; and there are two other
> things to be borne in mind. Firstly, very few com-
> posers can be trusted to produce, without critical
> assistance, a clear comprehensive exposition of their
> own practice. Secondly, Bach may have changed his
> mind, as Gottlieb Muffat did.[1]

---

[1]Emery, op. cit., p. 14.

Emery[1] and Aldrich[2] employ identical terms in their trans-
lations of the complete title of the "Explication" (see

Ex. 1). Dolmetsch translates the title to read, "Explica-
tion showing the Signs, and how the various Manieren can be

nicely played"[3] and explains that in German the general

term for ornaments is Manieren. The translation by

Dannreuther read as follows: "Explication of various signs,

showing how certain manieren may be played neatly."[4]

Neumann's translation of the title and explanation of its

meaning give a significant insight into his perception of

the subtlety of terminology:

> Bach's descriptive title reads: "Explication
> unterschiedlicher Zeichen, so gewisse manieren
> artig zu spielen, andeuten" (Explanation of various
> signs, intimating the way of gracefully rendering
> certain ornaments). The word andeuten, meaning to
> intimate, to hint, emphasizes the approximate nature
> of the models.[5]

Neumann notes that the "casualness of this table is further

---

[1]Emery, op. cit., p. 13.

[2]Putnam Aldrich, Ornamentation in J.S. Bach's Organ
Works (New York: Da Capo Press, 1978, reprint of 1950 ed.),
p. 10.

[3]Arnold Dolmetsch, The Interpretation of the Music
of the Seventeenth and Eighteenth Centuries (Seattle:
University of Washington Press, 1969), p. 103.

[4]Edward Dannreuther, Musical Ornamentation (London:
Novello, 1893), Vol. I, p. 162.

[5]Frederick Neumann, Ornamentation in Baroque and
Post-Baroque Music (Princeton, New Jersey: Princeton Univer-
sity Press, 1978), p. 127.

disclosed by its incompleteness,"[1] since Bach omitted two important symbols: the little note, and the symbol for the slide.

All of the ornaments in the "Explication" are based on French models. Neumann[2] and Dolmetsch[3] suspect that Bach copied his examples from a larger table published by Jean Henri D'Anglebert in his Pieces de Clavecin (1689). The terms employed by Bach in naming the ornaments are, as pointed out by Dannreuther, "a queer conglomeration of Italian and French names, qualified by German adjectives."[4]

To develop a satisfactory understanding of the principles of ornamentation in Bach's idiom, it is necessary to investigate the music in which ornaments are (1) indicated by the conventional symbols, (2) written out in full by Bach, and (3) designated by a combination of signified and written-out notation. Through this approach, examination of the contextual nature of the ornament and its environment may assist in the development of a comprehensive perspective of ornamentation in the music of J.S. Bach.

---

[1] Neumann, op. cit., p. 127.

[2] Ibid.

[3] Dannreuther, op. cit., p. xi.

[4] Arnold Dolmetsch, The Interpretation of the Music of the XVIIth and XVIIIth Centuries (London: Novello, 1915. New ed. Seattle and London: University of Washington Press, 1969), p. 93.

Additional information and insights may be gleaned from
the writings of Bach's contemporaries.

Additional and alternative terms are needed to dis-
cuss Bach's ornaments. Additional terms are needed because
of the limited number of ornaments shown in the "Explica-
tion;" alternative terms are needed because of the peculiar
terms employed by Bach in naming them. Dannreuther suggests
that the terms used in C.P.E. Bach's Versuch über die wahre
Art das Clavier zu spielen (1753) "have the merit of being
simple and definite, and for that reason deserve to be
adopted;"[1] however, Dannreuther does not completely follow
his own suggestion--nor have subsequent writers. Neumann
employs many of the terms used by C.P.E. Bach. The terms
employed in this study are principally those used by
Neumann.[2]

One-Note Ornaments

The one-note ornaments used by J.S. Bach are of three
principal types: Nachschlag, Vorschlag, and Zwischenschlag,
the literal translations of which are after-beat, fore-beat,
and between-beat, respectively. The name for each type is

---

[1] Ibid.

[2] In spite of (and perhaps because of) criticism of
his work by well-respected musicologists, Neumann's Ornamen-
tation in Baroque and Post-Baroque Music represents the most
comprehensive investigation of ornamentation in the music
of J.S. Bach to date. The above parenthetical statement
refers to Donington's criticism printed in Early Music, V
(1977) pp. 543-44; "I have always thought that the musical
results of Neumann's investigations are oddly nondescript."
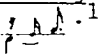
derived primarily from the manner in which the ornament is
notated. Bach uses the little-note, as did the French, to
indicate one-note ornaments for all media. The hook ⸺ is
used to indicate one-note ornaments for keyboard only. A
little-note slurred to the note preceding it ♩♩ indicates
a Nachschlag (infrequently used by Bach). A little-note
slurred to the note following it ♩♩ indicates a Vorschlag
(often used). A little-note between two notes joined by a
slur ♩♩ indicates a Zwischenschlag (used less often than
Vorschläge, more often than Nachschläge). In many instances
the little-note is not slurred. In such cases, the ornament
is most probably a Vorschlag, but may be either a Zwischen-
schlag or a Nachschlag, depending on the context. Regarding
such cases, Neumann derides the editorial policy of the
Neue Bach Ausgabe:

> Unfortunately, the NBA has made it a principle
> of editorial policy--as the BG had mostly done
> before--to slur every little note to the note that
> follows it without identifying the editorial addition
> as such by different print or parentheses. This is
> being done on the mistaken premise that every single
> little note is a Vorschlag and that Bach's omission
> of the slur was simply due to an oversight which
> ought to be remedied. This editorial policy disre-
> gards the fact that not infrequently the little note
> stands for a Zwischenschlag or even a Nachschlag, in
> which cases the editorial addition misrepresents
> Bach's intentions.[1]

A fourth type of one-note ornament is termed a
Zusammenschlag by Neumann. The most typical form of the

---

[1]Neumann, op. cit., p. 125.

<u>Zusammenschlag</u> is the simultaneous striking and immediate
release of the lower neighbor of the principal note ♩♪ .
In this form the ornament is most often termed an <u>acciac-</u>
<u>catura</u>. Neumann feels that use of the term "acciaccatura"
is

> confusing because it stood for two different designs.
> One is the just described <u>Zusammenschlag</u>, the other
> is a <u>Zwischenschlag</u> linking two notes of an arpeg-
> giated chord ♪♪♪ .[1]

The German word "Vorschlag" has a broader range of
meaning than the term "appoggiatura" (from the Italian
<u>appoggiare</u>, to lean). It was used by eighteenth century
German writers to denote a class of ornaments having a
little-note (or a hook) prefixed to a principal note
(parent-note). The appoggiatura is an onbeat rendition
which is included in the <u>Vorschlag</u> class of ornaments.
Donington writes the following:

> When dissonant, an appoggiatura is an element
> (both of melody and of harmony) structurally identi-
> cal with a suspension except in not requiring to be
> (although it may be) prepared. When consonant, an
> appoggiatura is an element of melody, and perhaps
> of rhythm, but not particularly of harmony. . .
> Appoggiaturas take the beat. Any ornament
> which is called an appoggiatura, but which does not
> take the beat, is miscalled; for all true appoggia-
> turas are what their name calls them, i.e. leaning
> notes.[2]

C.P.E. Bach's description of the function of <u>Vorschläge</u>
merits inclusion.

---

[1]Neumann, op. cit., p. 48.

[2]Donington, op. cit., p. 181.

> Vorschläge count among the most important and
> indispensable Manieren. They improve the melody as
> well as the harmony. They render the melody agree-
> able, for they form a smooth connection between one
> note and another; they serve to shorten notes which
> might otherwise seem too long; at times they assist
> in satisfying the ear by the repetition of a preced-
> ing note--and it is a matter of common experience in
> music that judicious repetition is a source of
> pleasure. They give variety to the harmony, which
> without Vorschläge might seem too plain. All suspen-
> sions can be traced back to Vorschläge--and what
> would harmony be without dissonances and suspen-
> sions?[1]

Many modern writers (Dannreuther, Dolmetsch, and Donington, to

name three) do not distinguish between the terms "Vorschlag"

and "appoggiatura." Dolmetsch presents as equivalents to the

term "appoggiatura" the following list of terms from various

languages:

Old English:	Forefall, Backfall, Beat, Half-Fall
French:	Appoggiature, Port-de-voix
Old French:	Cheute, Chute, Coulé, Accent.
Italian:	Appoggiatura, Portamento.
German:	Vorschlag, Accent steigend, Accent fallend.[2]

Neumann employs the term "Vorschlag" to denote the whole class

of prefixed one-note ornaments and reserves the term "appog-

giatura" for the onbeat form. His explanation follows:

> There are specific problems of execution for

---

[1]C.P.E. Bach, _Versuch_, translation included in
Edward Dannreuther, _Musical Ornamentation_ (London: Novello,
1895) vol. II, p. 8. The translation by Mitchell substitutes
"appoggiaturas" for "Vorschläge:" C.P.E. Bach, _Essay on the
True Art of Playing Keyboard Instruments_, trans. W.J. Mitchell
(W.W. Norton and Company, Inc., 1949), p. 87.

[2]Arnold Dolmetsch, _The Interpretation of the Music
of the XVIIth and XVIIIth Centuries_ (London: Novello, 1915.
New ed. Seattle and London: University of Washington Press,
1969), p. 93.

Vorschläge which can run the whole gamut of rhythmic-
dynamic designs. The Vorschlag can be short, long,
soft, swelled, stressed; it can be placed before
the metrical pulse, it can be placed most promi-
nently on the beat, or straddle it in a variety of
syncopated designs. Immensely variable, it can have
the most diversified impact on melody, on harmony,
and on counterpoint. As regards terminology, a
brief and soft prebeat Vorschlag will be designated
with the modern term of "grace note," while the term
"appoggiatura" will be reserved for the accented or
swelled onbeat Vorschlag regardless of its length.[1]

Bach terms the Vorschläge included in his "Explica-

tion" "Accent steigend" and "Accent fallend" (Ex. 2). These

examples are appoggiatura types and have prompted many writers

Ex. 2: Vorschläge

to formulate erroneous rules for the interpretation of

Vorschläge in Bach's music. Dolmetsch states that the evi-

dence from the "Explication"

demonstrates that Bach's appoggiature are to be
played on the beat, and that they take half the value
of the note to which they belong. The rule is clear,
and we possess no other instruction from Bach on the
point. Moreover, it agrees with the practice of his
contemporaries. These being the only examples he
chose to write for the instruction of his son, it
follows that they are representative of the majority
of cases to be found in his music; and so it proves...
Additional knowledge is, however, needed to meet the
cases in which this rule cannot apply.[2]

---

[1]Neumann, op. cit., p. 48.

[2]Dolmetsch, op. cit., p. 103.

Neumann disagrees with the formulation of a rule based
on an example and states that

> the table tells us that the graces in question <u>may</u>
> have the shapes indicated, but not that they <u>must</u>
> have these shapes which, as will be shown, are
> often disqualified by musical evidence.[1]

Emery also finds fault with Dolmetsch's presentation and writes
the following:

> For instance, during his discussions of Bach's
> appoggiaturas Dolmetsch says, "The rule is clear."
> Anyone who reads the next few pages--which give other
> rules, not to mention exceptions--is likely to con-
> clude that the rule is very far from clear to him;
> and with that he will be tempted to throw up the
> sponge and begin to omit appoggiaturas wholesale,
> feeling that it is better to omit them than to inter-
> pret them wrongly.[2]

Appoggiaturas, as pointed out by Donington, are by definition

onbeat ornaments, but not all <u>Vorschläge</u> are appoggiaturas, and

not all appoggiaturas take half the value of the note to which

they belong. The example in the "Explication" simply shows

one of many ways in which Bach's <u>Vorschläge</u> may be interpreted.

Neumann's extensive investigation of <u>Vorschläge</u> in the

music of J.S. Bach has enabled him to construct the following

table (Ex. 3). According to Neumann, many modern researchers

mistakenly apply the "overlong" renditions to Bach's appog-

giaturas. He convincingly demonstrates the inappropriateness

of the overlong renditions in the music of J.S. Bach. Such

renditions are largely based on mid-century treatises which

---

[1]Neumann, op. cit., p. 127.

[2]Emery, op. cit., p. 9.

discuss the <u>galant</u> style, two of which (by C.P.E. Bach, and

Quantz) mention the newness of the rendition.

Ex. 3:   Approximate Range of Meanings for Bach's Most
         Important Vorschlag Symbols[1]

The criteria upon which to base the selection of a

particular rendition may be discovered through the investiga-

tion of musical evidence and the application of musical

logic, various forms of which are termed by Neumann "contra-

puntal logic," "melodic logic," "harmonic logic," "rhythmic

logic," "ornamental logic," and "logic of articulation."

Contrapuntal logic involves two main principles:

the need to avoid offensive parallels, and the need not to

impinge upon polyphonic relationships. According to Neumann,

"The avoidance of parallels will almost always require short-

ness and often anticipation."[2] In his "Appoggiatura Table,"

---

[1]Neumann, op. cit., p. 124.

[2]Ibid, p. 135.

Bodky[1] presents seventeen examples of exceptions to the "onbeat, half-value" rule, two of which are shown in the following example.

Ex. 4:   Appoggiaturas Requiring Short Rendition

    1.   Partita V, Passepied, bar 2

    2.   Partita V, Allemande, bar 2
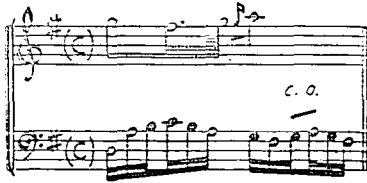
An example from the Art of the Fugue requiring prebeat rendition of Vorschläge is given by Neumann. The example and Neumann's discussion are presented below.

Ex. 5:   Vorschläge Requiring Prebeat Rendition

    BWV 1080, 14, Canon per Augmentationem

---
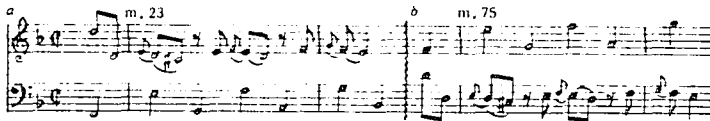
[1]Erwin Bodky, The Interpretation of Bach's Keyboard Works (Cambridge, Mass.: Harvard University Press, 1960), p. 378.

> When Quantz formulated the rule that a _Vorschlag_
> before a written-out appoggiatura must be antici-
> pated, he expressed a principle of musical common
> sense that transcends a single age and style. Here,
> moreover, the appoggiatura is prepared, and onbeat
> rendition of the _Vorschlag_ would obliterate the
> dissonant suspension by sounding the empty octave.
> This by itself is sufficient to require the prebeat
> execution. Besides, the onbeat style would produce
> hidden octaves which are particularly disturbing
> when the same passage appears in inversion (Ex. b).[1]

The thirteenth of the _Goldberg Variations_ provides an example

cited by three writers, Bodky (p. 179), Emery (p. 77), and

Neumann (p. 137), who suggest the prebeat rendition to avoid

parallel octaves and parallel fifths (Ex. 6).

Ex. 6:   _Goldberg Variations_

The second of Neumann's two principles of contrapuntal logic,

the need not to impinge upon polyphonic relationships, is

related to the complexity of the texture and the rate of

speed of the successive notes. The execution of an ornament

should not detrimentally interfere with polyphonic relation-

ships. This aspect of contrapuntal logic is clarified by

the following discussion and example.

---

[1]Neumann, op. cit., p. 135.

Because a Vorschlag or any other inserted grace
could strongly affect the linear relationships if
it were to outlast two or more linear impulses in
another voice, only a short grace can prevent such
interference.

While Bach was occasionally casual about some
aspects of notation that did not greatly matter, he
was on the whole very particular about the con-
cordance of polyphonic lines and consequently
wrote out most Vorschläge or other ornaments that were
contrapuntally sensitive and whose length therefore
had to be properly apportioned.

From such considerations we can gain this
general directive: the thinner the polyphonic
texture and the slower the harmonic or the poly-
phonic rhythm, the greater the latitude in the
treatment of the Vorschläge (or other small graces);
the more complex the texture and the faster the
polyphonic rhythm, the more the treatment is res-
tricted to great brevity or anticipation. For this
reason, in the 1st English Suite great shortness
for the double Vorschlag (less than a 16th if taken
on the beat) is advisable to avoid interference
with the bass line.[1]

Ex. 7: English Suite, BWV 806, Sarabande

Melodic logic involves the consideration of whether

the function of an ornament is principally connective in that

it serves to link the "elements of a melody by rounding its

corners or by filling spaces between intervals."[2] An example

of this type of ornament is the tierce coulée (from the French

---

[1] Neumann, op. cit., p. 137f.

[2] Ibid, p. 139.

couler, to slur). The <u>Vorschlag</u> symbol (either little-note

or hook) is used to indicate the <u>tierce coulée</u>. Aldrich

presents the following discussion and example.

> In performing a succession of descending thirds, the
> French executant, whether singer or instrumentalist,
> was accustomed to filling in the intermediate
> intervals. . . When this form of ornamentation
> (generally referred to as <u>couler les tierces</u>) was
> indicated in the score, the sign of the appoggiatura
> was used. More often there was no written indication;
> the introduction of the ornament was left to the
> discretion of the performer. The appoggiaturas in
> Bach's <u>Allein Gott in der Hoh' sei Ehr</u> are evidently
> derived from this French tradition.[1]

Ex. 8: Allein Gott in der Hoh' sei Ehr

The above discussion and example further verify the desira-

bility of distinguishing between the terms "Vorschlag" and

"appoggiatura." In the example, there are four indicated

Vorschläge, three of which are <u>tierces coulées</u>, and one of

which is a true appoggiatura.

Another form of the <u>tierce coulée</u> is frequently

encountered in Bach's transcriptions of his own works. An

evenly spaced interbeat form is written out in the following

example from a clavier concerto transcribed by Bach from the

---

[1]Aldrich, op. cit., p. 49.

4th Brandenburg Concerto. Such treatment lends support to
the optional employment of <u>tierces</u> <u>coulées</u> in similar con-
texts.

Ex. 9: Tierces <u>Coulées</u>

BWV 1049,1
m. 14

BWV 1057,1

Bach also uses the little-note to signify <u>tierces</u>
<u>coulées</u>. Neumann's discussion and example are presented
below.

> An interesting indication for the interbeat
> meaning of the little notes in such connective
> situations can be found in the Clavier Concerto in
> F minor. In the autograph, Bach wrote this movement
> first in a simple pattern of 16th notes, undoubtedly
> copying it from a lost violin concerto which must
> have served as model also for the Sinfonia of
> Cantata 156. As in other analogous instances of
> violin-clavier transcriptions, Bach had some second
> thoughts about the violin's sustaining power and
> expressive nuance. Thus he inserted throughout the
> movement additional notes, resolving in diminution
> fashion many 16th notes into running 32nds (bottom
> line). In m.7 (Ex. b) he obviously intended to
> follow the pattern set in the fourth beat of m.4
> (given in Ex. a), but these notes happened to be
> written so closely together that they permitted no
> insertion of regular notes; consequently he wrote
> little notes instead, which could just barely be
> squeezed in and achieved the identical effect with
> Zwischenschläge.[1]

---

[1]Neumann, op. cit., p. 139.

Ex. 10: Clavier Concerto in F minor, BWV 1056

Harmonic logic involves the need to avoid weakening

a dissonance. According to Neumann, the primary reason for

the appoggiatura rendition of a Vorschlag is the enrichment

of harmony. If onbeat placement turns a dissonance into a

consonance or "enfeebles the harmonic impact of a written-out

dissonance by preventing it from sounding on the beat,"[1] such

onbeat placement is illogical. Neumann presents the following

discussion and examples.

> In Ex. a from the Organ Prelude in B minor, a
> written-out, long suspension-appoggiatura first
> creates then resolves a dissonance on the heavy
> beat of midmeasure against the c sharp of the upper
> voice. If the Vorschlag before this upper voice is
> taken on the beat as an 8th-note (Ex. b), the
> dissonance is obliterated; if the Vorschlag is taken
> on the beat as a 16th-note (Ex. c), the solution is
> slightly better, but the dissonance would still be
> emasculated--the c sharp would be perceived not
> vertically as a dissonance produced by the written
> suspension-appoggiatura but horizontally as if it
> were passing between two consonances. Moreover,
> such rendition would weaken the characteristic
> rhythm combination of the two voices. Only extreme
> shortness that in absence of a distinct beat in
> another voice makes on- or prebeat placement indis-
> tinguisable on the organ can guarantee this passage
> its full harmonic-rhythmic meaning. In the second
> measure the situation is repeated with the roles of
> the voices reversed; consequently the same consider-
> ations apply.

---

[1]Neumann, op. cit., p. 145.

. . . It is hardly a coincidence that the little notes are used all four times the siciliano rhythm occurs in this piece. In all these cases they are consonant with the simultaneously written-out suspension-appoggiatura, whereas in the many cases of a Vorschlag that is either outright dissonant (as in mm. 3, 9, 11, 29, 42, 53, 85, etc.) or functionally so (as for instance the fourth-third progression of m. 2 or the $\begin{smallmatrix} 6 & 5 \\ 4 & 3 \end{smallmatrix}$ of m. 7, or analogous progressions in mm. 33 and 65), the 8th-note Vorschlag is written out in regular notes. The juxtaposition of the two styles of notation is particularly striking in the first three measures (Ex. a). Also it is probably no coincidence that in the two closely related two-measure phrases of Ex. d the little Vorschlag note e' in m. 9 is consonant with the suspension on c sharp (which has to be read as shown in Ex. e), whereas at the start of m. 11 the appoggiatura on a', which is dissonant with the suspension on d" sharp, is written out as an 8th-note. True, the first Vorschlag (of m. 9), though consonant with the suspension, is dissonant with the bass, but the dissonance is much milder than the one generated by the principal note on the beat; hence 8th-note rendition would impoverish the harmony, and 16th-note meaning is excluded by parallel octaves with the upper voice.[1]

Ex. 11:   Organ Prelude in B minor, BWV 544

[1]Neumann, op. cit., pp. 145-46.

Rhythmic logic involves two principles: (1) the need not to distort a rhythmic motive or a characteristic rhythm, and (2) the impracticality of onbeat placement when a Vorschlag is placed before notes of extreme shortness. Following are several examples given by Neumann, each of which is preceded by his discussion of it.

> In the Loure from the G major French Suite [Ex. 12], extreme shortness and preferably anticipation of the Vorschläge are suggested by the facts that a Loure always opens with the rhythm: ♪♩|♩.♪♩ (here divided between the two hands) and that, being a slow French Gigue, it is characterized by the prevalence of dotted patterns ♩. ♪♩ . The frequently heard "overlong" rendition of the Vorschläge in the first measure ♩♩ ♩ obliterates at the very start the rhythm which is the essence of the Loure.[1]

Ex. 12: French Suite in G major, Loure

_____

[1]Neumann, op. cit., p. 147.

Pervasive rhythmic regularity is, of course, extremely frequent in the music of the baroque and is in fact one of its stylistic hallmarks. To take a random example, the 17th of the Goldberg Variations is almost throughout written in running 16th-notes. For this reason alone, the two lone graces in m. 14 (Ex. a) will best be anticipated. In addition, these graces are written as 16th notes and represent Vorschläge before written-out appoggiaturas (the nature of the latter clarified by slurs that are very rare in Bach's clavier works). The regularity of running triplets, exemplified in a passage from the E major Flute Sonata (Ex. b) will for the same reasons tend to relegate the Vorschläge into prebeat space. When in such contexts the Vorschläge are placed on the beat, they disturb the unity of rhythm. Contrarily, prebeat rendition adds brilliance without impinging on this unity.[1]

Ex. 13

a. BWV 988, Variation 17   b. BWV 1035, 1

An attempt to squeeze the Vorschlag into such crowded quarters will usually make for rhythmic-melodic awkwardness if not outright unintelligibility. The obvious solution is anticipation. Thus, in the passage from the E major Clavier Concerto (Ex. a), an onbeat Vorschlag would be senseless harmonically, melodically, rhythmically, and even technically. Anticipation is also indicated in Ex. b from the Flute-Harpsichord Sonata in B minor for both graces and for the first Vorschlag in Ex. c from the 25th Goldberg Variation.[2]

---

[1]Neumann, op. cit., p. 147.

[2]Ibid, p. 148.

Ex. 14

a. BWV 1053, 2 (aut. P 234)   b. BWV 1030, 2 (aut. P 975)   c. BWV 988, Variation 25

Ornamental logic is guided by two principles: one
is that a high density of ornaments may require varied rendi-
tions; the other is the desirability that ornaments be clearly
heard. Neumann's discussions and examples are presented below.

> Ornaments that congregate in great density will often
> profit from being lightened. The way to do so is,
> singly or in combination, to shorten them, to render
> them softly, or to place them between the beats. For
> instance, in the violin passage from the E major
> Clavier Concerto, unaccented brevity will prevent
> heavy-handedness. (In an ever-recurring simile, old
> theorists compare ornaments to spices which improve
> a dish by moderate use and spoil it by an overdose).[1]

Ex. 15: Clavier Concerto in E major, BWV 1053

> Where ornaments are bunched in clusters, they should
> not get in each other's way; in such cases it will
> often be advisable to separate them sufficiently to
> permit each to be heard. In the Organ Fantasy in
> C minor, the cluster at the start of m. 2 finds its
> simplest solution by anticipation of the Vorschlag.[2]

---

[1] Neumann, op. cit., p. 148.

[2] Ibid, p. 149.

Ex. 16:   Organ Fantasy in C minor, BWV 562

       Even in cases where the cluster consists of
two or more Vorschläge, the effect of these graces
will often be enhanced by differentiated treatment.
In the passage from the Aria of the Goldberg
Variations (Ex. a), both synchronized anticipation
and synchronized onbeat execution are unsatisfactory.
A good solution may be to treat the middle voice as
anticipated tierce coulée, the upper voice as
appoggiatura (Ex. b).[1]

Ex. 17:   Goldberg Variations, Aria

a. BWV 988, Aria   b. Suggested approximate execution

Neumann's logic of articulation involves the need not

to disturb a patter of staccato articulation. If an onbeat

rendition were given to a Vorschlag placed before a staccato

note, such rendition "would detract from, if not obliterate,

its staccato character."[2] Neumann gives the following example

from the Organ Chorale Vater unser and states that "the even-

ness of the triplet pattern dovetailed between the two upper

voices reinforces the case for anticipation."[3]

---

[1]Ibid.

[2]Neumann, op. cit., p. 149.

[3]Ibid.

Ex. 18: Organ Chorale, Vater unser, BWV 682
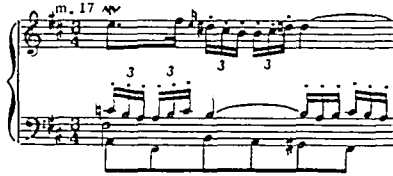
Neumann's _Vorschlag_ table (Ex. 3) shows four types
of renditions of _Vorschlag_ symbols, one of which is the grace-
note and three of which are appoggiaturas of varying durations.
For the purpose of discussion, the types will be enumerated
in the following manner: type 1, prebeat grace-note; type 2,
short appoggiatura; type 3, long appoggiatura; type 4, overlong
appoggiatura. Application of the various forms of Neuman's
musical logic pertains, for the most part, to discovering
the instances in which types 1 and 2 are to be employed. The
length of the preceding discussions involving the various
forms of musical logic was predicated on the exceptional
nature of the renditions (types 1 and 2), exceptional not in
the music of Bach, but with regard to the prevailing notions
of performance practice in the music of Bach. Instances
requiring renditions of types 1 or 2 represent not exceptions
to a rule mandated by Bach's "Explication," but rather illus-
trations of a richly varied pallette of ornaments. Type 3, the
duration of which is up to one-half of a binary or one-third of
a ternary note, is often encountered in the music of Bach.
According to Neumann, type 3 "is very frequently written out,
but it _can_ be indicated by a symbol before relatively short

notes."[1] The "Toccata" from "Partita VI" abounds with written-
out examples of type 3 (Ex. 19).

Ex. 19: Partita VI, Toccata

Type 4, Neumann asserts, "always had to be written out in reg-
ular notes."[2] Types 2 and 3, as a result, emerge as the most
likely renditions of onbeat Vorschläge (appoggiaturas). It
should be pointed out that each of the types (2 and 3) may
have a variety of durations, but the duration of each type is
equal to or less than that shown in the table (Ex. 3).

The function of the appoggiatura is an important
consideration in determining whether type 2 or type 3 is to be
employed. An appoggiatura whose function is primarily har-
monic, similar to a suspension, and whose aesthetic effect is
heightened expression, will require a rendition of type 3. An
appoggiatura whose function is primarily rhythmic or melodic
will require a rendition of type 2. Neumann presents the
following discussions and examples.

> In instrumental music, the first (harmonic) type
> will generally find the following circumstances
> particularly congenial (without being limited to

---

[1]Neumann, op. cit., p. 150.

[2]Ibid.

them by any means): a move from a shorter preceding
note on a neighboring pitch to a longer principal
note on a strong beat where the Vorschlag strengthens
the harmony. . . An illustration is given. . . where
the hooks stand for suspension-appoggiaturas and
should have the approximate length of 8th-notes in
accord with the model of the Explication (the same
design recurs in mm. 4, 17, 31, and 42). Interesting-
ly, in mm. 44 and 45, where the appoggiaturas do not
repeat the preceding notes, they are written out in
regular notation.[1]

Ex. 20:   Prelude 18, BWV 887

        In Ex. a from the Aria of the Goldberg Variations
there are two ports de voix in one measure on the
same pitch. The first of these graces (written as a
16th), before a note barely longer than its prepar-
ation, will best be very short, perhaps anticipated;
the second one, before the half-note, should be long,
but slightly shorter than an 8th-note in order not
to collide with the tenor part. If both graces were
to be played in the same manner, their effect would
be marred by repetitiousness. A few measures later
(Ex. b) the coulé (again written as a 16th-note) will
best be very short or anticipated, the port de voix
again rather long, slightly shorter than an 8th-note.
The same applies to a similar place in m. 24.[2]

Ex. 21:   Goldberg Variations, Aria, BWV 988

---

[1]Neumann, op. cit., p. 150.

[2]Ibid, p. 151.

Regarding the circumstances which require or suggest the employ-

ment of the type 2 rendition, Neumann writes the following.

> In its accented form--or on the baroque keyboard,
> in its _decisive_ onbeat form--this grace usually has
> the strongest impact on rhythm. In this form it can
> be expected to find a sympathetic context in energetic,
> brilliant, and lively pieces that have a pronounced
> metrical beat.[1]

Neumann states that the most important finding as a

result of his research is the "impossibility of giving positive

rules."[2] The following guidelines are presented in summary of

Bach's one-note ornaments.

> Anticipation is favored when the _Vorschlag_ symbol
> is placed _before_: (1) short notes such as 16ths or
> smaller; (2) a written-out appoggiatura; (3) triplets;
> (4) a dissonant note on a strong beat; (5) a rhythm
> pattern of structural importance whose integrity
> ought to be preserved; (6) an unaccented syllable on
> a weak beat or between beats; (7) a bass note that
> carries a structural progression; (8) a short note
> with a staccato dot or dash.
> Moreover, a _Vorschlag_ will tend to anticipation
> whenever: (1) its onbeat placement would produce
> obtrusive parallels or other unpleasant voice-leading;
> (2) it links thirds in a clearly connective function;
> (3) at least one other voice moves in fast polyphonic
> rhythm; (4) it is encompassed within a slur (or tie)
> linking both neighbor notes, or in analogous
> _Zwischenschlag_ functions; (5) it is set against a
> stronger, unadorned unison part; (6) it occurs within
> a cluster of ornaments, and must be made audible.
> In a few of the just listed contexts, anticipa-
> tion alone will be satisfactory; in others, a short,
> unaccented onbeat execution will be an equivalent
> alternative (especially in concerted music).
> The very short and accented, rhythm-reinforcing
> onbeat type will on the whole be best fitted for
> lively, energetic, or festive pieces before note
> values of an 8th or longer that are placed on a beat.
> The harmony-enhancing appoggiatura. . . will often

---

[1]Ibid, p. 155.

[2]Ibid, p. 161.

be favored. . . on principal beats where it strengthens
the harmony for note values of an 8th or longer; the
tendency is reinforced where the principal note is
preceded by a shorter one, especially if the latter is
on the pitch of the Vorschlag. The length of the
harmonic appoggiatura will vary with the context. It
will tend to be long on final notes, before holds, in
recitatives, and can often be long in homophonic and
quasi-homophonic settings. The denser the texture,
the faster either the harmonic or polyphonic rhythm,
the better it will be to limit the length in order
not to disturb other clearly indicated musical in-
tents.[1]

The Slide

Bach uses for all media two forms of signification

for the slide (not included in the "Explication"): the custos

symbol (⌒), and the little notes (♫). In addition, Bach

writes out slides in regular notation in a variety of rhythmic

designs. Neumann divides the designs into three categories

and terms them anapestic, Lombard, and dactylic (Ex. 22).[2]

Ex. 22

Anapestic   Lombard   Dactylic
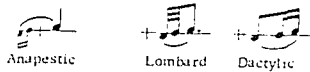
The Lombard and dactylic types are onbeat renditions. The

anapestic type is a prebeat rendition. With regard to the

dynamics of each type, Neumann gives the following explanation.

The usual dynamic treatment for the anapestic
pattern will be softness of the grace and accentua-
tion of the principal note; for the Lombard type, a
distinct accent on the first ornamental note, sharper

_____

[1]Neumann, op. cit., p. 162f.

[2]Ibid, p. 204.

in faster, milder in slower tempi; for the dactyl, a
gentle emphasis on the first note.[1]

Many modern writers acknowledge only the onbeat types.
Bodky writes the following:

> In regard to the slide, which is also written
> out in full, nothing more has to be said than that
> it should always be played on, and never before, the
> beat.[2]

Aldrich terms the slide a "double appoggiatura"[3] and
recognizes only the onbeat rendition.

> The first two notes (i.e., the two appoggiaturas) are
> of equal length; together, they normally occupy the
> first half of the main note's written time-value.[4]

Aldrich presents the following example to exemplify
the appoggiatura from above. The example also illustrates
his preference for the Lombard rendition of the slide.[5]

Ex. 23

---

[1]Ibid.

[2]Bodky, op. cit., p. 170.

[3]Aldrich, op. cit., p. 50.

[4]Ibid.

[5]Aldrich, op. cit., p. 47.

Donington states that Bach "intends the slide to come in its correct position, i.e., on the beat, as other examples which he has written out in full make clear."[1] Dolmetsch, also, demands onbeat placement of Bach's slides: "his slides must be played out of the time of the note which follows them."[2]

Several of the above-quoted writers include in their discussions of the slide the interpretation given by J.G. Walther in his Praecepta der musicalischen Composition (1708), but deny the applicability of Walther's interpretation to the music of Bach. Walther's model is shown in the following example as presented by Neumann.[3]

Ex. 24: Walther (1708)

Emery believes that Walther's rendition may also apply to Bach's music. He writes the following:

> From the above discussion it seems to follow that
> two interpretations of the Slide were current in
> Bach's day. Walther, and possibly Kuhnau, played it
> before the beat; all the other authorities, on the
> beat. Even if there were any reason to suppose that
> Walther stood alone, it would be unsafe to disregard
> his interpretation; for he was intimate with Bach for

---

[1]Robert Donington, The Interpretation of Early Music (London: Faber and Faber, 1963), p. 155.

[2]Dolmetsch, op. cit., p. 247.

[3]Neumann, op. cit., p. 215.

nine years.[1]

The writers who reject the anapestic slide for Bach's music seem to have overlooked many instances in which this type is written out by Bach. Neumann gives the following examples (Ex. 25) and lists an equal number of additional sources.[2]

Ex. 25

If one uses the same reasoning as that employed by writers who favor the Lombard rendition (that an ornament written out by Bach must also be a permissible rendition of a symbol which signifies that ornament) the anapestic type becomes an acceptable rendition of either of the symbols ($\sim$ or $\overset{\frown}{\div}$) for the slide. Neumann presents the following discussions and examples in support of the anapestic rendition.

> Inasmuch as keyboard parallels are always more conspicuous than those between various media, the

---

[1] Emery, op. cit., p. 27.

[2] Neumann, op. cit., p. 217

following examples give even stronger suggestions of
anticipation. In Ex. a from the 5th Partita, onbeat
execution would produce open fifths in the outer
voices. Particularly striking is Ex. b from the early
Capriccio of 1704, where the slow tempo intensifies
the need for the anapest to avoid fifths unmitigated
by any audible middle voice. In Ex. c from the 6th
Organ Sonata and Ex. d from the French Overture, the
octaves, though hidden, would be very disturbing in
the transparency of two-part writing.[1]

Ex. 26

a. BWV 830, 5, Sarabande   b. BWV 992 Adagio
c. BWV 530, 2 Lento   d. BWV 831, Gavotte II

The onbeat solution is often eliminated by the
demand of "polyphonic logic." A case in point is
the excerpt from the 6th Organ Sonata shown in Ex. a
where the onbeat descending slide is written out in
the upper voice against a custos symbol in the middle
part, as well as in m. 28 (Ex. b) where the pattern
is reversed between the two upper voices. Not only
would there be a triple unison on the empty B, but
it is unlikely that Bach would have left the syn-
chronization of two simultaneous slides to chance.
The only solution that would not interfere with the
combination of voices seems to be anticipation.[2]

_____

[1]Neumann, op. cit., p. 221.

[2]Ibid, p. 222.

Ex. 27

It is likely that the Lombard form was written out by
Bach more often than either the anapestic or dactylic. It is
also likely that the frequency of the written-out Lombard
prompted those writers who give it preference to reason that
the slide symbols are intended by Bach to signify the Lombard
rendition. Neumann cites instances from the St. John Passion,
Cantata 179, and the G major Mass wherein the Lombard slide is
written out a total of more than a hundred times and is not
once indicated by a symbol. His reasoning, presented below, is
more convincing than that of the writers with whom he disagrees.

> If, as it is usually assumed, both slide symbols
> stand for this very Lombard-style design, it is
> difficult to understand why in these and numerous
> similar cases Bach did not once avail himself of
> the symbol's shorthand convenience. . . his consis-
> tency in avoiding the symbol in such situations can
> hardly be explained as being entirely accidental.
> Would it not be more plausible to assume that Bach
> never used the symbol as a notational aid in such
> circumstances because it did not have to mean a
> Lombard slide?[1]

Neumann does not oppose the use of the Lombard rendition of
the slide symbol, only the dogmatic claim to its exclusive
acceptability. The Lombard rendition should be employed, as

---

[1]Neumann, op. cit., p. 219.

stated by Neumann, "whenever the context favors its specific qualities."[1]

Both Donington and Neumann employ the following example (Ex. 28) from Bach's Trauerode to demonstrate the appropriateness of the dactylic rendition of the custos symbol. Donington, however, does not distinguish between the Lombard and dactylic renditions. He merely states that because of the parallel melodic lines of the oboe d'amore and the soprano voice, the symbolized slide should be "taken in the regular manner on the beat."[2] Neumann, whose analysis is more detailed, states: "We may therefore assume that here the dactyl was intended."[3]

Ex. 28: Trauerode, BWV 198, 1

The dactylic rendition encompasses a wider variety of rhythmic designs than the other two. The primary distinguishing factor between the dactylic and Lombard renditions (both are onbeat) is the lengthened first note of the dactylic. The duration of the first pitch is variable, as are the durations

---

[1] Neumann, op. cit., p. 224.

[2] Robert Donington, A Performer's Guide to Baroque Music (New York: Charles Scribner's Sons, 1973), p. 194.

[3] Neumann, op. cit., p. 224.

of the second and third pitches. One of the dactylic forms
more closely resembles the so-called inverted mordent than a
slide, but this form is undeniably included in the range of
meanings intended by Bach for the custos symbol, as the follow-
ing discussion and examples given by Neumann verify.

> Conclusive evidence about the occasional dactylic
> meaning of Bach's custos symbol can be found in the
> alto aria "Saget mir geschwinde" from the Easter
> Oratorio. In the autograph score the alto part has in
> m. 15 the written-out dactyl of Ex. a. Shortly there-
> after, in m. 21, we find the somewhat bewildering
> combination of Ex. b: for the identical melody
> (except for its being shifted by two beats) in the
> alto part, the previous dactyl is now indicated by
> the custos symbol, the otherwise unison oboe sounds
> only the main note, and the 1st violins have, for the
> fourth quarter, the written-out dactyl a third below
> the voice. The dactylic meaning of the custos in
> the alto part of the score is definitely confirmed
> in the autograph alto solo part, where m. 21 reads
> as shown in Ex. c. In the oboe part, written by one
> of Bach's copyists but revised by Bach himself, Bach
> added the custos to the originally unornamented note
> to make the part conform with the alto and the
> violins.[1]

Ex. 29: Easter Oratorio, BWV 249, 9

---

[1]Neumann, op. cit., p. 225.

c. Aut. St 355   d. St 355, rev. J.S. Bach

Alto   wo ich je - sum   Ob.

e. Aut. P 34   f. St 355, rev. J.S. Bach   g. Suggested execution and adjustment of Vns. II

Ob.

Vns. I

Vns. II

There is no clear and simple solution to the inter-
pretation of Bach's symbols. The principles of musical

logic which were discussed in conjunction with one-note

ornaments may also be helpful in deciding which of the slide

renditions to employ. Neumann writes the following:

> In all media, the anapest, due to its neutral nature,
> can fit any place in the measure, whereas the dactyl
> is more congenial to weak beats, the Lombard to strong
> ones. Often the most important element will be the
> "affect" of a given passage, as well as the relation-
> ship to other voices. Whenever these and other
> considerations of musical logic do not point out a
> clear preference, it will probably not greatly
> matter which design is chosen. Aware of the alter-
> natives, the performer must make the choice.[1]

Neumann's statement, "often the most important element will be

the affect of a given passage," is particularly true for in-

stances in which the principles of musical logic are not

applicable. In such instances, appropriateness of a particular

slide rendition to the expressive context of the passage in

which it occurs can best be determined through a subjective

investigation of the relationship of the expressive effect of

---

[1]Neumann, op. cit., p. 228.

the slide rendition (how it "feels" to have either the Lombard,
dactyl, or anapest) to the musical/expressive context. This
can only be accomplished through experimentation with each type.

The Trill

A trill may be described as the rapid successive
sounding of adjacent pitches, the intervallic relationship of
which may be either a half-step or a whole-step. The many
types of trills derive their differentiation from the follow-
ing variables: (1) the pitch on which the trill begins,
(2) the number of alternations, (3) the rate of speed of the
alternations, (4) the relative durations of the pitches (ex-
cluding the element of dynamics), and (5) a third pitch may be
incorporated with the trill in the form of a prefix and/or a
suffix.

The types of trills with which Bach was undoubtedly
familiar are far more diverse than those which he included in
the "Explication." Aldrich believes that Bach's trills were
the product of his thorough familiarity with the agréments
(ornaments) commonly encountered in French music of the latter
part of the 17th and early part of the 18th centuries.

> Evidence to support this assumption may be summarized
> as follows: From the time of his visits to the
> French court at Celle (1700-1702) Bach showed a keen
> interest in French music and French instrumental
> techniques. He was acquainted with the works of
> Raison, de Grigny, Marchand, and Nivers. He copied
> out by hand keyboard pieces of Francois Couperin and
> Dieupart, as well as d'Anglebert's Marques des
> agréments et leur signification. He admired and
> emulated the works of the German partisans of the
> French style, Georg Muffat, J.K.F. Fischer, and
> Georg Böhm, whose compositions were considered more

French than German. More decisive than this external
evidence is the fact that Bach made abundant use of
dance rhythms characteristic of the French style of
composition and of melodic patterns conducive to the
French style of performance.[1]

For the trill, the French used the terms <u>cadence</u> and
<u>tremblement</u> in a synonymous sense. The <u>tremblement</u> was viewed
by French theorists as having three components: (1) the <u>appuy</u>,
a lengthened duration of the first pitch of the trill, typi-
cally the upper-neighbor, modern writers use the terms
"preparation" and "support" for the <u>appuy</u>, (2) the <u>battements</u>,
the alternations of the pitches, and (3) either the <u>point</u>
d'arrêt or the <u>liaison</u>, the stopping point on the last pitch
of the trill or the connection with the pitch following the
trill, respectively. The <u>liaison</u> occurs in two forms: antici-
pation of the pitch that follows the trill (Ex. 30 b), or the
lower-neighbor of the main-note may be employed instead of
the last repercussion of the upper-neighbor (Ex. 30 c). The
example below is taken from Aldrich.[2]

Ex. 30: Components of the trill
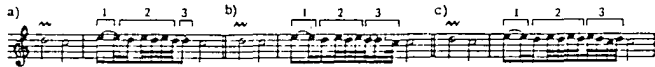
A variety of types of trills are described by French
writers. The above-mentioned variables and components

---

[1]Putnam Aldrich, "On the Interpretation of Bach's
Trills," <u>The Musical Quarterly</u>, vol. 49 (1963), p. 290

[2]Ibid, p. 292.

constitute the basis for the differing trills. Aldrich pre-

sents the following descriptions of French trill-types:

> Tremblement appuyé, or prepared trill: the initial
> appoggiatura is sustained an appreciable amount
> of time before the repercussions begin.
>
> Tremblement feint: the preparation is held almost
> the entire value of the written note, the reper-
> cussions being reduced to a single alternation
> of the two notes.
>
> Tremblement subit: the repercussions begin straight-
> way, with no dwelling on the preparation.
>
> Tremblement détaché: the preceding note is cut short
> in order to accentuate the initial appoggiatura
> of the trill.
>
> Tremblement lié: the first note of the trill is not
> articulated, being tied to the preceding note,
> which is a major or minor second above the note
> bearing the sign. The preceding note, in this
> case, serves as preparation for the trill.
>
> Tremblement à progression: the repercussions of the
> two notes gradually accelerate.
>
> Tremblement continu: the repercussions continue at
> the same speed throughout the duration of the
> written note.
>
> Tremblement simple, or short trill: telescoped to
> its briefest possible extent, which is four
> notes--two alternations of the upper accessory
> and main note.
>
> Tremblement à liaison: trill followed by anticipa-
> tion of the next note.
>
> Tremblement coulé: trill ending with a turn leading
> to the next note.
>
> Tremblement roulant: a tremblement coulé in which
> the turn proceeds directly to the next note at
> the same speed as the repercussions.
>
> Tremblement réfléchissant: a tremblement coulé in
> which there is a stop (point d'arrêt) on the
> last note of the turn.
>
> Tremblement aspiré: trill that is cut short by a

sudden rest; the interruption may occur at the
very end or, in the case of the tremblement coulé,
it may take place just before the closing notes
that lead to the following note.

The double cadence, or tremblement double, does
not necessarily consist of two trills, as its name
would seem to imply, nor does it always occur at a
cadence. The name refers to any further elaboration
beyond the two notes that constitute the body of the
trill. The extra ornament may be inserted at the end,
as in the turn of the tremblement coulé, but more
frequently it is used to introduce the trill, thus
extending the ornament backwards and sometimes en-
croaching upon the time of the preceding note.[1]

Bach, unlike the French, often wrote out part or all

of the trill in regular notes. In his use of signs to indi-

cate trills, "Bach made no distinction whatever between *l*, *lr*,

lr⋏⋏ , *⋏⋏* , and *⋏⋏⋏* ."[2] Emery claims that in some instances

Bach's signs for the more complex trills may have actually

been accidental flourishes rather than intentional markings.[3]

In many cases, especially at cadences, where the context itself

is sufficient indication for the inclusion of a trill, Bach

did not write a sign.

Bach's use of the French trill-types is substantial.

The following examples are taken from Aldrich, whose discus-

sion of the various types found in Bach's music is prefaced

by an explanation of the system of presentations.

In each of the following examples a) shows the
trill in its context as Bach wrote it; b) shows the
basic progression of "main notes" with a simple
sign (*⋏⋏*) designating the note to be trilled; c) a

---

[1]Aldrich, op. cit., p. 292f.

[2]Ibid, p. 294.

[3]Emery, op. cit., p. 35.

suggested realization for that particular case. The realizations at c) are not intended as prescriptions for literal performance. They only attempt to show the approximate relative proportions of the three components of the trill--i.e., the preparation, the repercussions, and the point d'arrêt or liaison with the next note.[1]

The following example from the Chorale Prelude Nun komm' der Heiden Heiland illustrates Bach's use of the tremblement lié. Aldrich states that Bach's purpose for the slur is to "suggest a longer than usual duration of the preparation," here written as a regular-note, and also to "shorten the extent of the repercussions."[2]

Ex. 31
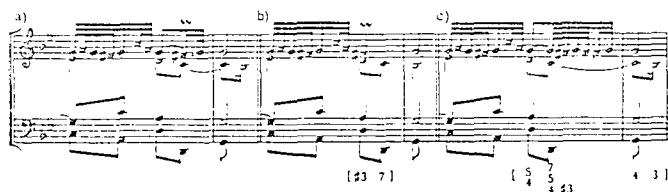
The Chorale Prelude O Mensch, bewein' dein' Sunde provides another example of the tremblement lié. In this instance

the trill and the anticipation are both reduced to sixteenth notes. Here the $\frac{6}{4}$ chord has been prepared harmonically, so that the d" in the soprano is a chord tone as well as the preparation of the tremblement lié on c".[3]

---

[1]Aldrich, op. cit., p. 295.

[2]Ibid, p. 297.

[3]Ibid, p. 297f.

Ex. 32: Orgelbüchlein: O mensch, bewein' dein' Sunde, m. 16

In the Chorale Prelude <u>Das alte Jahr vergangen</u>, Bach uses the slur of the <u>tremblement lié</u> to connect successive trills. Aldrich writes the following:

> The sixth above the bass again performs double duty; as a chord tone it is introduced with a trill (serving as an appoggiatura), then it acts as preparation of the tied trill on the fifth of the chord.[1]

Ex. 33: Orgelbüchlein: Das alte Jahr vergangen

The preceding two examples show cadences in which the melodic line proceeds from the 6th to the 5th of a dominant chord to the root of a cadence chord. In such cases, Bach may place a trill-sign over the 6th, the 5th, both, or neither. In cases where the sign is omitted (Invention No. 4, final cadence; Bourrée, BWV 996, final cadence), Aldrich states that "the performer must decide for himself"[2] whether to trill the 6th, the

---

[1] Aldrich, op. cit., p. 298.

[2] Ibid, p. 299.

5th, or both. When Bach places the sign over the 6th, the performer must decide whether to interpret the trill as indicated, or to interpret the trill as a _tremblement appuyé_ with the 6th being held rather than trilled, and the 5th receiving the actual trill. Aldrich presents a convincing discussion in favor of the latter interpretation even though it "amounts to accusing Bach of placing the sign over the wrong note."[1] Aldrich's discussion and example are given below.

> Now, while it is true that the sign for the trill is customarily placed over the main note, there was no rule that this must invariably be done. On the other hand it is certain, not because of any rule, but by definition, that the trill always begins with the note above the main note. In the present case the main note in the flute part is indubitably a', as shown in the harmony of Ex. b, not b-flat'. Therefore the trill belongs on a' and Bach has written the preparation, b-flat', as an eighth note to insure [sic] its being held long enough. The interpretation at Ex. c construes the ornament as a _tremblement lié_ on a', which eliminates the stopping-point on the main note. It seems likely, however, that Bach omitted the slur precisely because he envisaged a stopping-point on a', in which case an interpretation such as Ex. d, which is not exactly a _tremblement lié_, would be closer to his intention.[2]

Ex. 34: Musical Offering: Trio, Allegro, m. 44

---

[1]Aldrich, op. cit., p. 298

[2]Ibid, p. 298f.

The "Trillo und Mordant" of Bach's explication is the
same type of trill as the tremblement coulé: a trill ending
with a turn leading to the next note. Bach's terminology is
apparently based on his considering the last three notes to be
a mordent rather than considering the last four to be a turn.
The sign for the "Trillo und Mordant" appears very infrequently
in Bach's works. Instead of this sign, a trill sign appears
over a dotted-note followed by two closing-notes. The
tremblement roulant mentioned in the following discussion and
example taken from Aldrich is a special form of the tremblement
coulé.

> It may be assumed that the written value of these
> closing notes does not necessarily determine their
> speed. Bach uses this particular notation to
> designate the tremblement roulant, in which the turn
> at the end is performed in the same rhythm as the
> preceding repercussions.[1]

Ex. 35: Orgelbüchlein: Wenn wir in höchsten Noten sein, m. 7

To indicate the tremblement à progression (accelera-
tion of the repercussions), Bach employs regular notes in
conjunction with the trill sign. In the final cadence of the
above-mentioned work, Bach writes the first two notes of the
trill in the soprano as 16th-notes and places the trill-sign
over the third note (Ex. 36). Aldrich suggests that

---

[1]Aldrich, op. cit., p. 300.

A literal interpretation would be that of Ex. c, but a freer rendering that still preserves the accelerando of the soprano and the ritardando of the tenor would probably be more appropriate (Ex. d).[1]

Ex. 36: Orgelbüchlein: Wenn wir in hochsten Noten sein, final cadence
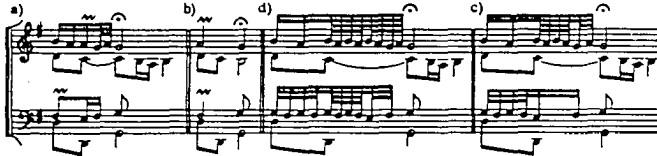
Another special form of the tremblement coulé is the tremblement réfléchissant in which there is a point d'arrêt on the last note of the turn. Aldrich gives the following explanation and example.

> Bach's method of notating this is to write the main note twice, with the lower auxiliary of the turn in between. The figure looks like a written-out mordent with a trill on the first note.[2]

Ex. 37: French Suite V, Sarabande, m. 28
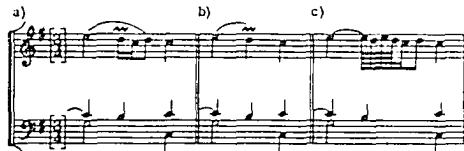
Bach includes in his "Explication" four examples of compound trills which are various forms of the type known as the double cadence (doppelt-cadence). For some French writers, a four-note turn around the main note was sufficient basis to term the ornament a double cadence. Bach's examples

---

[1] Ibid.

[2] Aldrich, op. cit., p. 298.

begin with prefixes from below (Ex. 38, a, c) and above (Ex. 38, b, d). The term "double," according to Aldrich, "presumably refers to the use of both lower and upper accessory tones."[1]

Ex. 38

In each of Bach's examples, the prefix and the trill occur in the time given to the main-note (in Ex. 38, d, the main-note is dotted). Other rhythmic forms are possible. Aldrich writes the following:

> More often, however, the double cadence encroaches upon the time of the preceding note, and the farther back it extends the more complex the ornament becomes. Sometimes only a single extra note is needed. Georg Muffat explains that 'It is harsh [rude] to place a tremblement on a long or accented note that is approached by a step from below; if one is obliged to do this it must be softened by a préoccupation' (Florilegium Secundum, Preface, V, III). Muffat had a special sign for the préoccupation, the purpose of which was obviously to avoid the interruption in the flow of the melody that would result from the skip of a third to the first note of the trill.[2]

In the following example (Ex. 39) showing Muffat's sign and realization of the ornament, an asterisk marks the préoccupation. The pitch-contour of Muffat's realization is similar to that of Bach's doppelt-cadence and mordant, but Muffat's

---

[1]Ibid, p. 302.

[2]Aldrich, op. cit., p. 298.

example begins earlier in the rhythm. Aldrich writes the
following:

> This is the simplest form of the double cadence. . .
> When Bach desires Muffat's version he reduces the
> previous note to a dotted note and writes out the
> préoccupation as Muffat does in his realization.

Ex. 39: Muffat's préoccupation

The following example (Ex. 40a) shows the form that
results when a mordent is placed over the préoccupation. In
a case of this kind "Bach writes out the introductory notes"[2]
(Ex. 40b).

Ex. 40

A turn may be placed before the trill of the double
cadence (Ex. 41a). When this occurs, the préoccupation "is
still necessary, but the turn on the end of the trill is not."[3]
Bach's notation is shown in Ex. 41b.

---

[1]Ibid.

[2]Aldrich, op. cit., p. 302.

[3]Ibid, p. 303.

Ex. 41

The double cadence often occurs in a form in which
the trilled note is approached from above (Ex. 42a). Bach's
notation of this form, which is often used at final cadences
and may or may not include the signs, is shown in Ex. 42b.
Aldrich writes the following:

> An extra note, corresponding to the préoccupation,
> is again needed to avoid the repetition of the first
> note of the trill. As in the case of the préoccupa-
> tion Bach writes it as a short note following a dot.[1]

Ex. 42

Bach frequently writes out introductory notes for the
double cadence. When he does not, and whether or not the signs
are included, the notational forms shown in Exx. 41b and 42b
are, according to Aldrich, "sufficient indication of the neces-
sity for the ornament."[2]

The form of the double cadence in which there are
three notes ascending stepwise with a trill on the second
note (Exx. 39, 40) is frequently encountered in the music of

---

[1]Ibid.

[2]Aldrich, op. cit., p. 303.

Bach.   Aldrich states that this form is

> associated not with perfect cadences but with lesser
> articulations of the phrase in which the cadence
> tone does not mark a complete break in the movement.
> It is therefore more suitable for beginnings of
> phrases than for endings.   In this context it occurs
> with extraordinary frequency throughout Bach's works,
> and is often used thematically.[1]

Aldrich lists several compositions by Bach in which the double

cadence "forms at least a part of the principal themes."[2]

Among those included in his list are the following composi-

tions: Bourrée I of the English Suite II; the Menuet of the

English Suite IV; the Allemande and the Bourrée of the French

Suite V; and the Burlesca of the Third Partita.   Also quali-

fied for, but not present in, Aldrich's list is the Courante

of the Suite in E minor (BWV 996).

The differing usage of non-cadential trills between

Bach and his French contemporaries is primarily due to harmonic

reasons.   According to Aldrich, the French "used very simple

basic harmony and counted on trills to bring in dissonance

and add spice to the music."[3]   In the music of Bach, fewer

trill signs are found and there is less need for trills because

Bach "uses complex harmony and writes out in exact notes many

non-harmonic tones"[4] that were considered by the French to be

part of the method of performance.   When non-cadential trills

---

[1]Ibid.

[2]Ibid.

[3]Aldrich, op. cit., p. 304.

[4]Ibid.

occur in Bach's music,

> the principle is the same as in French music, and
> always connected in some way with the manipulation
> of dissonance. Non-cadential trills in Bach's music
> are intended to perform the following functions:
> 1) to enliven pedal points; 2) to ornament resolutions
> of suspensions and appoggiaturas; 3) to emphasize
> individual notes of the melody. [1]

It seems reasonable to surmise that compositions in which Bach

used "very simple basic harmony" (such as the Bourrée of BWV 996)

permit more added ornaments than compositions in which the

harmony is more complex.

Regarding Bach's use of the tremblement continu,

Aldrich writes the following:

> In Bach's music the sign for the long trill (which
> is in no way physically different from the sign for
> the shorter trills) is usually placed upon a note
> that is common to a series of changing harmonies.
> That is Couperin's tremblement continu, in which the
> repercussions continue at the same rate of speed
> throughout. Besides avoiding the boredom of the
> long sustained tone the long trill contributes
> harmonic interest; since its upper auxiliary is
> dissonant to the first harmony it is dissonant to
> them all, and the performer can take advantage of
> this fact by timing the repercussions so that a
> slightly emphasized upper auxiliary coincides with
> each successive change of harmony. [2]
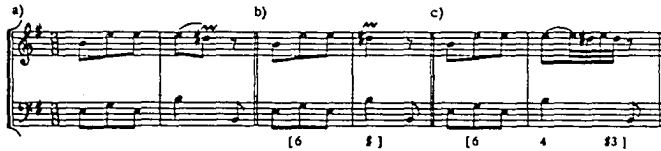
The function of the tremblement feint is to heighten

the expressive effect through elongating the dissonant note.

The appuyé (first note) is most often either a suspension

or an appoggiatura which, in ordinary trills, is gradually

resolved through alternations with the main-note. In the

---

[1] Ibid.

[2] Aldrich, op. cit., p. 304f.

tremblement __feint__ the __appuyé__ is lengthened and the alterna-
tions are shortened. Bach indicates the __tremblement feint__ "by
writing the appoggiatura as a real note and slurring it to the
trill on the resolution"[1] (Ex. 43).
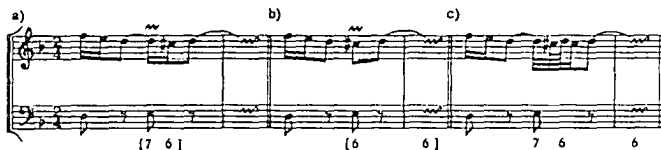
Ex. 43: Organ Sonata IV, mm. 1, 2

Another form of the __tremblement feint__ is character-
ized in the following discussion and example taken from Aldrich.

> Bach again writes the preparation of the trill as
> an eighth. note [sic], but this time it is a suspension
> of the preceding harmony note and is tied to it. The
> main note, here, is evidently the c-sharp', as shown
> by the harmony [Ex. 44b], but a __tremblement feint__ on
> it would delay the repercussions too long, since Bach
> presumably wants a stopping-point, however short,
> on the main note. Hence the trill is placed over the
> preparation; there is no other place to put it. An
> execution such as that of [Ex. 44c] will emphasize
> the dissonance and still arrive at the resolution in
> time for the main note to be given its due value.[2]

Ex. 44: Organ Sonata III, m. 1

The two forms of the __tremblement feint__ (discussed
above) emphasize the non-harmonic tone and de-emphasize its

---

[1] Ibid, p. 305.

[2] Aldrich, op. cit., p. 305f.

resolution for the purpose of a particular expressive effect.
A lighter, livelier expressive effect is obtained with the
tremblement réfléchissant, often used in the non-cadential
function of adding spice to a melody note. Bach's manner of
notating the tremblement réfléchissant is the subject of the
following discussion and example taken from Aldrich (Ex. 45):

> [Bach's notation] ensures an execution in which the
> trill will be performed rapidly, with no dwelling
> upon the first note. The sign for the trill is
> placed on a very short note, while the lower auxiliary
> of the turn and the stopping-point of the main note
> are written in ordinary notation. . . The figure
> does not look like a trill with a turn, but rather
> like a mordent with a trill on its first note. As a
> matter of fact this ornament is closely related in
> function to the mordent. The mordent already
> emphasized the main note; the trill adds the condiment
> of a brief dissonance. . . accentuated by performing
> it as a tremblement détaché--that is, with a slight
> rest before its first note, as suggested in the
> realization in [Ex. 45c].[1]

Ex. 45:   Italian Concerto, mm. 45-46

Another of Bach's notational forms is presented by
Aldrich in the following discussion and example (Ex. 46):

Upon close examination, however, this passage turns

---

[1]Ibid, p. 308.

out to be a <u>tremblement réfléchissant</u> on e'', which
might have been notated by a French composer as in
[Ex. 46b]. An execution like that of [Ex. 46c] with
no stop on e'' until the penultimate sixteenth note
[sic] (which represents the <u>point d'arrêt</u>), is cer-
tainly negotiable by a competent performer and
produces the proper effect, whereas an inverted
mordent here would eliminate the short, but sharp,
dissonance of the initial f''.[1]

Ex. 46: Organ Sonata V, m. 4

The so-called inverted mordent (mentioned above), is

a member of the family of trill-types which Aldrich opposes

as renditions in Bach's music. This family includes all

trills that begin on the main note. Regarding the interpre-

tation of Bach's organ trills, Aldrich writes the following:

The truth is simpler than fiction; there are <u>no</u>
exceptions, in Bach's music, to the rule that the
trill begins with the note above the written note.[2]

Aldrich later writes:

it is certain, not because of any rule, but by
definition, that the trill always begins with the
note above the main note.[3]

In the opinion of Bodky, Emery, and Neumann, Aldrich's denial

of the permissibility of trills that begin with the main-note

---

[1]Aldrich, op. cit., p. 309.

[2]Aldrich, <u>Ornamentation in J.S. Bach's Organ Works</u>,
p. 32.

[3]Aldrich, "On the Interpretation of Bach's Trills,"
p. 298.

in Bach's music is unsupportable. Neumann writes the

following:

> It is a misbelief that all of Bach's trills have to
> start with the upper note. That Bach's trills
> frequently started on the main note is made prob-
> able through a powerful and longstanding Italo-
> German tradition (still fully operative in Buxtehude)
> and upheld by much musical evidence.
> It is possible, though absolutely unprovable,
> that the greater part of Bach's trills, especially
> on the keyboard, started with the upper note; but
> it is likely that a large percentage of these trills
> was not of the appoggiatura but of the grace-note
> type. [1]

Neumann's discussions and examples convincingly demonstrate

that his is the more correct of the two opposing viewpoints.

This consideration does not diminish the validity of the ren-

ditions of trills presented by Aldrich. Aldrich's error is

in his insistence on the exclusivity of the upper-note start,

not in his presentation of the interpretations.

The terminology employed by Neumann differs from that

employed by Aldrich. For the three components of the trill

Neumann uses the following terms: (1) support (appuy),

(2) alternations (battements), (3) rest point (point d'arrêt).

Regarding types of trills, Neumann writes the following:

> There are three main types of trills: 1) the
> simple trill, consisting of only two pitches--the
> principal note alternating with its upper auxiliary;
> 2) the simple trill followed by a suffix of one or
> two notes, involving a third pitch--the lower
> neighbor of the principal note; 3) the compound trill
> that is preceded by a turn, a slide, or a mordent,
> each of which adds the same third pitch. [2]

---

[1] Neumann, op. cit., p. 342.

[2] Ibid, p. 241.

For trills that begin with the principal note, Neumann uses the term "main-note trills." Trills that begin with the upper auxiliary are termed "appoggiatura trills." Trills which have a lengthened first note are termed "supported." Neumann uses the term "anchor" to indicate which of the two notes is emphasized (with regard to rhythmic placement). Neumann's discussions and examples of a variety of simple trills are presented below.

> The supported main-note trill may have main-note anchor [Ex. 47a], or upper-note anchor (Ex. b), or may be neutral (Ex. c). Observe that an upper-note anchor following a main-note support does not produce an appoggiatura effect, because the latter depends on onbeat entrance of the auxiliary.[1]

Ex. 47: Supported main-note trill

> The supported appoggiatura trill is in fact a long appoggiatura whose resolution is ornamented by the trill proper. The alternations may be anchored on the upper note [Ex. 48a], on the main note (Ex. b), or be neutral (Ex. c).[2]

Ex. 48: Supported appoggiatura trill

---

[1]Neumann, op. cit., p. 242.

[2]Ibid.

A trill with the auxiliary before the beat and the main note on it will be called grace-note trill, because the anticipated upper note will have the function of a grace note. The alternations will usually be main-note anchored [Ex. 49a] or be neutral (Ex. b). An upper-note anchor is hardly possible. A variant of this type dwells, after the prebeat auxiliary, on the main note before starting the alternations (Ex. c).[1]

Ex. 49: Grace-note trill

If the alternations are taking place in the time of the preceding note, we shall speak of an anticipated trill [Ex. 50 a-c]. We shall call the trill straddling when the alternations are divided between the preceding and the principal note (Exx. d and e).[2]

Ex. 50: Anticipated and straddling trills
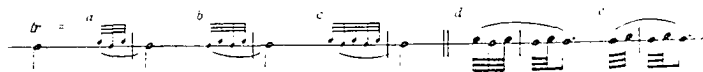
Trills often stop their alternations before the end of the trilled note. Such stopping will be referred to as the rest point (Couperin's point d'arrêt) (Exx. 51 a-b).[3]

Ex. 51: Trills with rest point

---

[1] Neumann, op. cit., p. 242.

[2] Ibid.

[3] Ibid.

For the trills of types 1 and 2 (Neumann's types)
included in Bach's "Explication," Neumann's descriptive
terminology and examples are presented below (Ex. 52).

> Ex. a, the two-waggle chevron for the plain trill
> (trillo); Ex. b, the combination of chevron and
> and mordent for the trill with suffix (trillo und
> mordant); Ex. c, the combination of hook and chevron
> for the supported appoggiatura trill (accent und
> trillo); and a synonymous symbol (Ex. d), in which
> the chevron is started by a longer vertical stroke.[1]

Ex. 52: Explication

Renditions of some of Bach's trills according to the
rule (onbeat, upper-auxiliary) would produce objectionable
parallels. One such type is the sigh motive (a written-out
appoggiatura). Regarding the excerpts from the "Two Part
Inventions" shown in Ex. 53, Neumann writes the following:

> By applying the rule for trills, we would produce
> octaves in Ex. a, unison in Ex. b, and fifths in
> Ex. c, a situation aggravated by the openness of
> two-part writing.[2]

Ex. 53

---

[1]Neumann, op. cit., p. 314.

[2]Ibid, p. 315.

Dannreuther (p. 169), Emery (p. 148), and Bodky (p. 166) recommend the use of the <u>Schneller</u> (inverted mordent) to avoid objectionable parallels in the sigh-motive trill. Aldrich rejects the <u>Schneller</u> as a possible rendition and presents the following discussion and example (Ex. 54).

> Let us examine some typical examples of the "sigh motif" as it appears in the Second Two-part Invention, mm. 3 and 13. It is obvious that to begin the trill in m. 3 on a-flat" and the trill in m. 13 on e-flat' would bring in consecutive octaves and consecutive unisons, respectively. What is worse is the fact that the dissonance that should be associated with the trill and is already present in the written notes would be obliterated. The substitution of an inverted mordent would avoid the consecutives. It would not, however, ornament the resolution of the dissonance, but would merely introduce an extraneous note (a-flat") that has no relation either to the dissonance or to its resolution. Moreover, in m. 13 it is completely unplayable. No one (including, until recently, the present writer) seems to have perceived that the "sigh motif" is merely another instance in which Bach writes the preparation of the trill as an ordinary note, and that an interpretation such as that suggested in [Ex. 54c] yields a prepared trill beginning on the note above the main note, resolves the dissonance correctly, avoids consecutives, and is playable in m. 13. At this point the accusation that Bach has placed the sign over the wrong note will probably come up again. But has he really done so? The first note of the descending second is the upper auxiliary of the trill, the second represents the <u>point d'arrêt</u> on the main note; the trill itself takes <u>place</u> between them.[1]

---

[1] Aldrich, "On the Interpretation of Bach's Trills," p. 306f.

Ex. 54:   Two-Part Invention II, mm. 3, 13

Neumann does not mention Aldrich's interpretation, but presents

the following quite different solution to the problem (Ex. 55):

> A trill on the appoggiatura, performed according to
> the rule, would place a second appoggiatura on top
> of the first. The musical illogic of such procedure
> was discussed above for a situation where a
> Vorschlag symbol preceded the appoggiatura, and the
> argument need not be repeated here. Quantz, as will
> be remembered, spelled out the musically logical
> need for grace-note anticipation in such a context.
> The same reasoning applies to a trill that is to
> add brilliance to the appoggiatura, not emasculate
> it. Consequently, the main note of the trill which
> is the appoggiatura must sound on the beat. This
> requirement leaves three possible solutions for the
> trill: 1) a main-note trill with or without support;
> 2) a grace-note trill; 3) a fully anticipated trill.[1]

Ex. 55:   Possible solutions for Two-Part Invention II, m. 3

[1] Neumann, op. cit., p. 316.

Of the above renditions, Neumann recommends solution 2 for m. 3
of Two-Part Invention II; solution 3 for m. 13. For all occur-
rences of the sigh motive, Neumann suggests one of the three
above solutions. For instances in which the appoggiatura is
preceded by the same pitch, Neumann states that the "grace-
note trill will often be preferable."[1]

Bodky provides a "Trill Table"[2] in which examples
are given of twenty-nine occurrences of objectionable parallels
that would be produced by onbeat upper-auxiliary rendition of
the trills. The examples are cited as evidence of the need for
main-note starts in similar circumstances. Neumann's two addi-
tional solutions (grace-note trill, fully anticipated trill)
are also valid alternatives. Aldrich's solution must be con-
sidered equally valid, since there is no way of knowing what
was intended by Bach. Excerpts from Bodky's "Trill Table"
are shown in Ex. 56.

Ex. 56: Excerpts from Bodky's "Trill Table"

1. Invention 2, bar 3   2. Invention 2, bar 13   3. Invention 7, bars 20–21

---

[1] Neumann, op. cit., p. 317.

[2] Bodky, op. cit., pp. 375-377.

4. Invention 15, bars 14–15

5. Concerto for 2 Hps. in C major, last mvt., bars 42–43

The following discussion and example taken from
Neumann illustrate an interesting trill interpretation written
by Gerber.

> Significant confirmation for the main-note anchor
> of Bach's long-held trills is contained in a copy of
> the Two-Part Inventions made in 1725 by Heinrich
> Nicolaus Gerber, Bach's devoted student. At the end
> of the E minor Invention, Gerber wrote out the
> ornamentation for m. 9. [Ex. 57] shows on the top
> line the context of the measure according to the
> autograph (P 610) and Gerber's version on the line
> below. The latter version reveals the main-note
> anchor of the continuous trill and shows, surprising-
> ly, main-note anchor even for the cadential trill on
> c-sharp.[1]

Ex. 57: E minor Invention, Gerber's ornamentation

Gerber's
appended version

When a trill sign appears over a note that is tied
to its preceding upper-neighbor, either a _tremblement_ _lié_
rendition or a main-note start will be required. If the upper
neighbor preceding the trilled note is a written-out appog-
giatura, the _tremblement_ _lié_ is obligatory; if not, a main-note
trill is in order. The latter context is illustrated in Ex. 58,

---

[1]Neumann, op. cit., p. 322.

taken from Neumann.

>   In these cases and in countless others of a
> similar nature, a repetition of the preceding note
> for the rule's sake would be patently redundant--
> and often technically impracticable--besides
> breaking the slur intended by the composer. Main-
> note start is the obvious solution.
>   In the Chorale Prelude Das alte Jahr, there is
> a succession of two trills clearly marked in the
> autograph, as given in Ex. c. However the first of
> these trills is rendered, the second one has to be
> a main-note trill.[1]

Ex. 58

a. BWV 1001, 1
Adagio
m. 5

b. BWV 63, 3
m. 6
Ob.I

c. BWV 614 (aut. P 283)
m. 6

The case is not so clearly defined when there is no

slur. In many instances an upper-note start is required,

but in some cases the main-note start may be desired. Neumann

explains:

>   Bach's original keyboard music (excepting trans-
> criptions from other media) is almost entirely
> devoid of articulation marks. Even in the other media,
> which generally have more articulation markings, not
> all intended slurs are written; hence their absence
> per se is no proof of detached articulation. There-
> fore, whenever a trill follows its upper neighbor and
> a slur seems obviously intended, then main-note
> start is clearly desirable. Example [59a] from the
> 3rd Partita and Ex. b from the D minor Organ Toccata
> provide good illustrations for such missing but
> intended slurs. (The first of these examples was
> one of Dannreuther's illustrations for main-note
> start.)
>   Interesting also is the case of Ex. c from the
> Chorale Prelude O Mensch. In the upper voice with

---

[1]Neumann, op. cit., p. 324.

its two trills a slur is implied at least for the
syncopated figure of the trill and its two neighbor
notes. The note preceding the first trill, which
spells out a quasi-appoggiatura, implies that the
symbol itself stands for a main-note trill. The
second trill is certainly not a replica of the first
one with its written-out onbeat auxiliary. For the
second trill there is again hardly a satisfactory
alternative to main-note start.[1]

Ex. 59

a. BWV 827, Allemande
m. 7

b. BWV 565
m. 11

c. BWV 622
Adagio assai
m. 7

Neumann's statement "whenever a trill follows its

upper neighbor and a slur seems obviously intended, then main-

note start is clearly desirable," does not distinguish between

potential contexts. As a result, he fails to mention at

least one context in which an upper-note start (appoggiatura

trill) is preferable. Whenever a trill sign appears over a

note that is the momentary termination of a descending line

and is a predictable destination-note of the descending

figure, the expressive effect of an upper-note trill will be

superior to that of a main-note trill because the appoggiatura

serves to delay the arrival of the expected note.

The Schneller is a permissible rendition of a

trill for contexts in which the following two criteria are

met: (1) a main-note trill would be appropriate, (2) there

---

[1]Neumann, op. cit., p. 324f.

is either not enough time or no need for more than one alter-
nation. Neumann's discussion and examples of such contexts
are presented below.

> A good illustration is the passage from the Organ
> Chorale Christ lag shown in [Ex. 60a]. At the start
> of this same chorale (Ex. b), the need for a <u>Schneller</u>
> is more evident. Here the mordent and the trill are
> clearly used in their traditional counterparts as each
> other's inversion: the mordent when approached from
> below, the trill when reached on the same pitch or
> when approached from above. Inasmuch as there is
> hardly time for multiple alternations of either grace,
> the trill has to be a <u>Schneller</u>. Since both trill and
> mordent can on occasion be anticipated, this happens
> to be an auspicious occasion for such a design, since
> onbeat execution would obscure both rhythm and meter.
> Because the organ cannot counteract the weight of the
> graces on the offbeat by accents on the main beats,
> the meter cannot be understood and the ear perceives:
> ░░░ By contrast, the rendition suggested in
> Ex. c will not only easily absorb the multitude of
> graces but clarify the basic rhythmic design.[1]

Ex. 60

Neumann's recommended renditions of main-note starts
may initially seem erroneous to performers who have been
schooled in the "onbeat-upper-auxiliary" tradition. Consider-
ation of the extent of Neumann's research, along with the
weight of his evidence, and experimentation with his rendi-
tions should convince such performers that many of Neumann's

---

[1]Neumann, op. cit., p. 327.

suggestions are sensible.

According to Neumann, only himself and Dannreuther (among modern researchers), acknowledge the grace-note trill in the music of Bach. No theoretical discussion of contexts requiring or permitting the use of the grace-note trill is presented by Dannreuther. His acknowledgment of such trills is solely in the form of musical examples. Some of Dannreuther's examples are shown in Ex. 61. Neumann's comments concerning Dannreuther's examples precede Ex. 61.

> All these illustrations by Dannreuther can be unconditionally endorsed. In Ex. a from the 1st Partita, appoggiaturas on 32nd-notes in the weak part of the measure would make little sense. Beyschlag proposed here _Schneller_, which fit very well, though Dannreuther's solution is just as good. Example b from the E flat Flute Sonata and Ex. c from the 3rd Partita shows [sic] similar cases where the trill occurs on a tone repetition. As always, each case has to be judged individually, but generally, tone repetition will favor grace-note use.[1]

Ex. 61

a. BWV 825, Prelude

b. BWV 1031, 1

c. BWV 827, Burlesca

---
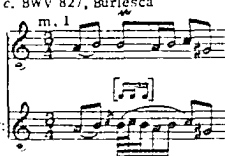
[1]Neumann, op. cit., p. 327.

Both Neumann and Dannreuther cite the following
example (Ex. 62) from the Organ Chorale Nun komm, der Heiden
Heiland as evidence that a Vorschlag may be an alternative to
a trill. Bach notated m. 5 as shown in Ex. 62a and notated
m. 29 as shown in Ex. b. Neumann writes the following:

> Dannreuther offers interesting evidence for the
> grace-note trill in Bach. . . The grace note in m. 5
> gives a clue to the rhythmic design of the trill
> pattern in m. 29. As Dannreuther points out, the
> version of Ex. a is a trill substitute when time is
> too short to accommodate alternations.[1]

Ex. 62: BWV 659
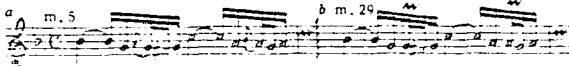
Neumann has apparently misinterpreted Dannreuther. Neumann
implies that Dannreuther views the Vorschläge in m. 5 as
grace-note symbols, but such is not the case. After quoting
C.P.E. Bach's statement that a Vorschlag may be occasionally
substituted for a Schneller or a Pralltriller, Dannreuther
states that m. 5 and m. 29 are instances "where Bach himself
has supplied the equivalents."[2] In Dannreuther's usage,
"Vorschlag" means "appoggiatura" i.e., on the beat, not
prebeat, rendition. Dannreuther's meaning is that, based on
C.P.E. Bach's suggestion, Vorschläge may be substituted for
the trills of m. 29 because Bach used Vorschläge in m. 5.

---

[1]Neumann, op. cit., p. 328.

[2]Dannreuther, op. cit., p. 171.

Dannreuther is not offering "interesting evidence for the grace-note trill in Bach," but is pointing out that "the version of Ex. a is a trill substitute."

Aldrich mentions similar circumstances which, in his opinion confirm the "expressive equivalence"[1] of the appoggiatura and the trill.

> This shows either: (1) that Bach didn't care which ornaments were played, or (2) that he wished the second occurrence of the theme to appear in a more highly ornamented guise. In either case, this passage and others like it establish the expressive equivalence of the two ornaments.[2]

If the second of the above conditions were true, a "more highly ornamented guise" could not be the equivalent, expressive or otherwise, of a lesser ornamented guise. The substitution of a Vorschlag for a trill may be acceptable, but the two are not equivalent. A more accurate terminology would be "equally acceptable."

Emery also cites the two measures from the (above discussed) Organ Chorale (BWV 659); he does not mention the substitution of a Vorschlag for a trill. The term "Trillo" in the following quotation means (Emery's usage) a four-note trill beginning with the upper auxiliary on the beat; however, the "Ex. 49" that is mentioned in the quotation shows a turn figure of the type which would be the result of playing the Vorschlag of m. 5 as a very short onbeat rendition.

---

[1] Aldrich, Ornamentation in J.S. Bach's Organ Works, p. 48.

[2] Ibid.

> The appoggiatura in bar 5 strongly suggests that the
> ornament in bar 29 should be a Trillo, beginning on
> a'; cf. Ex. 49. Nevertheless, this suggestive
> parallelism does not amount to proof.[1]

Emery's exact meaning is not altogether clear because of the

turn figure of his Ex. 49. The above quotation is found in a

section that begins with the statement "In vigorous movements

the ornament will be either a Trillo or a Schneller."[2] Based

on this statement, he is apparently saying that the ornaments

in bar 29 should be Trillos, but may be Schnellers despite

the "suggestive parallelism." Emery's interpretation of

the evidence is less presumptuous and more direct than that of

other writers, but is not necessarily more correct. Because

there is no way of knowing exactly what was intended by Bach,

the performer must decide which interpretation he will use.

The 3rd Organ Sonata provides another example of

varying interpretations (by recognized authorities). The

rendition suggested by Aldrich is presented above as a form

of the tremblement feint (Ex. 44). Neumann's discussion and

examples are presented below.

> Another context favoring the grace-note design
> are trills preceded on the upbeat by their tied
> main note. Since a genuine appoggiatura cannot be
> inserted within a tie, an appoggiatura trill would
> be equally out of place. Therefore, the choice is
> usually between a grace-note trill and an antici-
> pated trill, though a delayed start of the alterna-
> tions may on occasion be preferable. In [Ex. 63a]
> from the 3rd Organ Sonata, the first two alternatives

---

[1]Emery, op. cit., p. 72.

[2]Ibid, p. 70.

are demonstrated in Ex. b and Ex. c. A delayed start
is also possible. Incidentally, an onbeat auxiliary
is here excluded by the octaves it would produce
with the bass. In Ex. d from the second movement of
the same work, a pattern many times repeated can
accommodate the grace-note trill (Ex. e) or delayed
start (Ex. f).[1]

Ex. 63:   Organ Sonata III

a. BWV 527, 1   b   c

d. BWV 527, 2   e   f

Regarding the interpretation of the trill in m. 1, Emery

states "Only one interpretation seems possible"[2] and gives

the following rendition (Ex. 64).

Ex. 64

Organ Sonata III. i. 1. Autograph
Andante   Andante   W.E.
played

Neumann's anticipated-trill rendition (Ex. 63c) is

the most satisfactory to the writer. The anticipated trill

has the brilliance of multiple repercussions coupled with

---

[1]Neumann, op. cit., p. 329.

[2]Emery, op. cit., p. 72.

the expressiveness of greater duration on the dissonance.

There are no solutions that are indisputably correct
for many of the trill-signs in Bach's music. Regarding the
musical logic of contexts that favor the anticipated trill,
Neumann writes the following:

> The best that can be said is probably this: whenever
> the start of the alternations on the beat sounds
> awkward or stiff, either anticipation or delay should
> be considered; but where delay would weaken a
> desirable rhythmic definition, anticipation alone
> will be the logical solution.[1]

It may be added that for contexts in which there is no
beat-clarifying note present in another voice accompanying
the trilled note, the delayed start should be ruled out. In
such contexts, the logical solution will be either the onbeat
or the anticipated design.

Neumann and Aldrich present different interpretations
of the tremblement lié in Bach's music, but they include sim-
ilar statements regarding the fact that notation is inadequate
to precisely represent the execution of the trill. Neumann
states that the "metrical notation is only approximate"[2] and
that the trill should "grow organically out of its appoggia-
tura preparation."[3]

> In [Ex. 65a], metrically precise rendition would
> seem rather unsatisfactory. Though such a solution,
> as indicated in Ex. b, may well be fitting on other

---

[1]Neumann, op. cit., p. 330.

[2]Ibid, p. 332.

[3]Ibid.

occasions (such as faster, more rhythmic passages),
there are three other alternatives which are prefer-
able because they will do better justice to the
ornamental oneness of this appoggiatura pattern. They
are, with regard to the alternations, complete anti-
cipation (Ex. c); a slight anticipation (Ex. d); a
slight delay (Exx. e or f). In this particular $^6_5$ $^4_3$
context, the solution of Ex. e might have a slight
edge for its harmony-enriching brief suspension
effect, without sacrificing the trill's main-note
anchor. (The shortening of the last 8th-note is
justified by its purely ornamental character as
Nachschlag, and advisable for its preservation of the
dotted rhythm. The same applies to countless analogous
spots of a dotted trill plus one-note Nachschlag,
where the alternations stop on the dot.)[1]

Ex. 65:   BWV 891, 2

The tremblement lié (discussed above) is a supported
appoggiatura trill with a written-out appoggiatura. Three
symbols are also used by Bach to indicate supported appoggia-
tura trills: two of these are the strictly keyboard symbols
included in the "Explication" ( ), the third is the
little-note (Vorschlag). These three forms of signification

---

[1]Neumann, op. cit., p. 332f.

constitute a group which may be termed "trill-with-Vorschlag."
In either of the three forms of signification of the trill-
with-Vorschlag group, the Vorschlag rendition can "range from
anticipation to a supported appoggiatura."[1] The criteria
upon which to determine a particular rendition may be found
in the various forms of musical logic previously discussed in
conjunction with the Vorschlag. The kind of trill to follow
the Vorschlag will be determined largely by the rendition of
the Vorschlag.

The following discussion and examples by Neumann
warrant closer scrutiny. An unusual misrepresentation is
contained therein.

> In [Ex. 66a] from the Organ Chorale An Wasser-
> flussen Babylon, the syncopated entry of the second
> voice excludes a sustained appoggiatura interpreta-
> tion of the vertical dash. In the aria of the
> Goldberg Variations (Ex. b), Walter Emery also acknow-
> ledges the possibility of anticipation as an
> alternative to appoggiatura lengthening for the trill
> (Ex. c). Anticipation is a very likely solution for
> this particular piece in which several Zwischenschläge
> of the tierces coulées type are contrasted with a num-
> ber of written-out Lombard type appoggiaturas.[2]

Ex. 66

a. BWV 653   b. BWV 988, Aria

c. Emery's suggested version

---

[1]Neumann, op. cit., p. 334f.

[2]Ibid, p. 335f.

In the above quotation, Neumann states that Emery "also acknowledges the possibility of anticipation," but in identifying Ex. 66c, Neumann states that it is "Emery's suggested version." The "possibility" _is_ acknowledged but is not suggested by Emery. Neumann's representation of Ex. 66c as "Emery's suggested version" is misleading. Emery's actual presentation is shown in Ex. 67, two intervening paragraphs, and Ex. 68. The "suggested version" is one or the other of the renditions of Ex. 67.

Ex. 67

Goldberg Variations, Aria, bar 12   OE

might be played   W.E.

or

> Interpretations of the second type (with a tie) are not shown in the Explication; but this does not prove that Bach did not use them. They are never necessary; but often permissible when, as in this case, there is movement in another part.
> It is not impossible that the small note in [Ex. 67] is a Nachschlag, and that the appoggiatura opening called for by the sign ꞁ⁓ should be played as another Nachschlag--before the beat [Ex. 68].[1]

Ex. 68

W.E.

If Neumann had entitled the rendition of Ex. 66c "Emery's

alternative version," there would have been no misrepresenta-
tion. Since he did not, yet another misrepresentation exists
--in addition to the previously noted instance regarding
Dannreuther's presentation of the Vorschlag/trill question
(Ex. 63). Neumann's eagerness to promote his own viewpoint
regarding prebeat renditions may have clouded his perception
of that which the misrepresented writers were saying. What-
ever the case, Neumann's credibility suffers as a result.
Despite the misrepresentations, the evidence supports the
permissibility of the anticipated design in some contexts.

There are contexts in which a trill is intended
even though no sign is present. A frequently encountered
context of this type is the simple cadence trill: a dotted
quarter-note followed by an eighth-note, or a dotted
eighth-note followed by a sixteenth-note, where the dotted-
note is either the third or the fifth of the dominant chord,
and the shorter note is often the anticipation of the root
of the ensuing tonic. Regarding the simple cadence trill
formula, Aldrich writes the following:

> A sign for the trill. . . should be written over the
> dotted note. But, even if the sign is not there, a
> trill should be played every time this formula
> appears. The formula must, of course, occur at a
> cadence, which need not, however, be a perfect
> cadence, and the formula may occur several times in
> close successions.[1]

In agreement with Aldrich, Donington views cadential trills

---

[1]Aldrich, Ornamentation in J.S. Bach's Organ Works,
p. 19.

as "obligatory. . . wherever they are strongly implied by
the musical context."[1] Emery offers the following advice
and examples.

> Figuration of the types shown in [Ex. 69], most
> of which can be called cadential, always requires a
> shake of some kind at the point marked with a star;
> and it is important that the shake should be supplied.
> These examples are types, not quotations.[2]

Ex. 69

Whether the added shake should be long or short,
and with or without closing-notes, depends on the
tempo and the context; but it will always begin on
the auxiliary. In such cases the auxiliary has a
double function, melodic and harmonic; but whereas in
[Exx. a-g] it is primarily a harmonic decoration--
improving on the bald $\frac{5}{3}$ chord by suggesting a $\frac{5}{4}\ \overline{3}$ or
$\frac{6}{4}\ \frac{5}{3}$--in [Exx. h-j] it is primarily melodic.[3]

---

[1]Donington, _A Performer's Guide to Baroque Music_,
p. 178.

[2]Emery, op. cit., p. 112.

[3]Emery, op. cit., p. 113.

Neumann believes that both trill forms (main-note and upper-note) are appropriate for cadential trills, and that Bach, in performing his own works, "probably varied their use in a given spot."[1] The prevalence of the French style of ornamentation in Bach's music is not confirmation of its exclusivity. Neumann writes the following:

> There is no genuine evidence for the modern idea that appoggiatura trills, plain or supported, are indispensable for Bach's cadences (any more than they were for Buxtehude's).[2]

The evidence supports Neumann's view. Terms such as "always," "every time," and "never," which are used by the advocates of upper-note trills, are difficult to substantiate.

Neumann's attempts to apply the newly-acquired freedom of main-note trills to musical situations are sometimes not as convincing as his logic is for their permissibility. The following discussion is such a case.

> In [Ex. 70] from the Ciaccona for Unaccompanied Violin, the cadential trill on e' is not marked but understood. With the f' forming an appoggiatura with a sharp suspension dissonance at the start of the measure, the immediate repeat of the same appoggiatura would be redundant. A grace-note or main-note trill would seem to provide here a better solution, the more so since the suspension on f' functions as appoggiatura preparation for the cadential trill.[3]

---

[1] Neumann, op. cit., p. 338.

[2] Ibid.

[3] Ibid.

Ex. 70: BWV 1004, Ciaccona

One might argue that to begin the trill with the f' does not

constitute a "repeat of the same appoggiatura," because the

accompanying pitch changes (g to a). Even if one considers

the case to be a repetition of the appoggiatura, it is no

more redundant than Bach's continuing a trill over changing

harmonies. An additional consideration is that the suspen-

sion (appoggiatura) and resolution during the first beat of

the measure may be viewed as the first pair of alternations

of a _tremblement à progression_. Either of Neumann's suggested

renditions (grace-note or main-note trill) are acceptable,

though not necessarily better. The decision rests with the

performer.

Additional instances of contexts in which the intended

trill is understood (but not signified) are shown in Ex. 71.

The examples are taken from Neumann, who is less insistent

than other writers regarding both the necessity of the trill

and the type of trill which is appropriate in such contexts.

Neumann writes that the examples show a

> sampling of different formulas which either demand or
> permit the addition of a trill. (The missing trill
> symbol is added in parentheses.)[1]

---

[1]Neumann, op. cit., p. 339.

Ex. 71

a. BWV 528, 1 Vivace

b. BWV 829, Sarabande m. 15

c. BWV 1016, 4 Allegro

d. BWV 812, Gigue m. 11

As stated at the beginning of this section, the diversity of simple trills stems primarily from four variables: (1) the pitch on which the trill begins, (2) the number of alternations, (3) the rate of speed of the alternations, and (4) the relative durations of the pitches. Although a number of designs have been discussed thus far, inclusion of additional considerations is warranted. Neumann suggests that the speed of the alternations should be determined chiefly by the affect of the piece, i.e., in Neumann's words:

> In a slow tempo the speed of shaking should be not overly dashing. In a lively piece where the trills are meant to add brilliance, a faster shaking is appropriate. . . For longer trills, a slightly slower start and gradual acceleration, as recommended by Couperin, will often be pleasing; but this must not be done according to a mechanical formula.[1]

Regarding the number (or length) of alternations, Neumann writes the following:

> Except in cases where continuing alternations are called for by obvious musical intent, they will often stop before the end of the note's value to form

---

[1]Ibid.

a "rest point." Its insertion and its length are
matters of individual judgment. The rest point may
last from an imperceptible hesitation to--in the case
of an anticipated trill--the whole length of the
written note.[1]

Neumann does not include musical examples to illustrate

specific instances of the above recommendations. His prior

examples of various types and rhythmic designs of trills are

sufficient to serve as basic models for additional variants.

Aldrich states that the "rhythmic composition of the

ornament was left to the taste of the performer,"[2] and includes

six examples of possible renditions of a simple cadence trill

along with recommendations pertaining to the contextual fac-

tors relevant to each. Aldrich's recommendations and examples

are presented below (Ex. 72).

(a) is recommended for final cadences and pieces in a
slow tempo, where there is plenty of time to dwell
upon the dissonance and still articulate the reper-
cussions of the trill with precision and clarity;
(b) is good for particularly expressive passages in
a moderate tempo; (c) is especially useful when
another voice is moving in rapid notes, for these can
be co-ordinated with the repetitions of the dissonance;
(d) is effective in quick tempi, provided that a
note in another voice is played at the moment of the
tie; (f) combines gracefully with triplet rhythms,
but both (e) and (f) should be avoided except where
Bach himself uses uneven time-values. The advantage
of using an even number of notes in the trill itself
(as in c and d) is that the dissonant note with which
it begins will then recur upon each subdivision of
the beat, thereby securing greater emphasis. This
principle should only be abandoned when it is possible

_____

[1]Neumann, op. cit., p. 340.

[2]Aldrich, Ornamentation in J.S. Bach's Organ Works,
p. 21.

to obtain a still greater emphasis by dwelling on
the initial note, as in (a) and (b).[1]

Ex. 72

Aldrich's examples are valuable models for contexts in which
upper-note trills are appropriate.

Emery identifies four kinds of short trills, which
he terms "Trillo," "Pralltriller," "Schneller," and "Imperfect
Shake." Writers have never been in complete agreement (both
during and since the 18th century) in their usage of terms.
Emery's usage is based on his investigation of writings of
18th century authors, and is as historically accurate as that
of any other modern writer. Emery's terminology is neither
as comprehensive nor as convenient as the terminology employed
by either Neumann or Aldrich. Emery's discussion and examples
are presented below.

---

[1]Aldrich, op. cit., p. 22.

No. 1 of the Explication is a Trillo, and no. 12 shows a slightly prolonged Imperfect Shake combined with an appoggiatura; thus, these two forms of short shake are authenticated. Bach undoubtedly used the Schneller also, and most probably the Pralltriller; but players should be a little cautious with these two forms: with the latter because there is no absolute proof that Bach used it, and with the former because there is a tendency to use it too often, at the expense of the Trillo.[1]

Ex. 73: Four Kinds of Short Trills

a. Trillo

b. Pralltriller
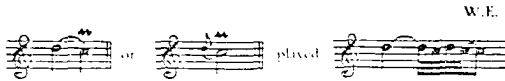
c. Schneller (on strong accents, often staccato)
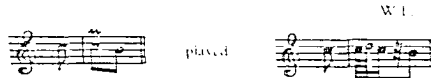
d. Imperfect Shake (legato)

Additional rhythmic designs are present in Emery's suggested renditions of trills. Selected examples of Emery's renditions are given below.

---

[1] Emery, op. cit., p. 70.

[2] Emery, op. cit., examples taken from pp. 71-75.

Ex. 74:   Emery's Renditions

Partita III, Burlesca. OE

Organ Sonata III. ii. 8. Autograph

Orgelbüchlein, *Das alte Jahr*, bar 6. Autograph

Partita IV, Sarabande, bar 1. OE

Ex. 150   French Overture, Gigue, bars 3-4. OE

Organ Sonata V. iii. 4. Autograph

French Overture, Gigue, bars 11-12. OE

Emery's rationale for using a Schneller in m. 4 of the
Gigue from the French Overture is particularly interesting.
Emery's discussion and a longer excerpt from the Gigue are
presented below.

> [In Ex. 75] the signs ∼ and ∼ are directly opposed:
> the former in descending, the latter in ascending

contexts. No-one seems to doubt that mordents ought
to be played, as it were, c̲ b̲ c̲. Is it reasonable
that they should be answered by inexact inversions
reading d̲ c̲ d̲ c̲?[1]

Ex. 75: French Overture, Gigue

Emery's triplet rhythm for the first three notes of the

appogiatura trill (Trillo) is a very useful design, because

(according to Neumann[2]) the appoggiatura trill is for the

length of the alternations an appoggiatura substitute and

should not be longer than an appoggiatura would be in the

same context.

The ending of the trill has been briefly discussed

above in conjunction with the components of the trill (Ex. 30).

The liaison occurs in two forms: (1) anticipation of the

pitch that follows the trill, and (2) the lower-neighbor is

substituted for the last repercussion of the upper-neighbor.

Regarding the ending of the trill, Donington writes the fol-

lowing:

> There were two standard endings, one of which is
> to be supplied on all regular baroque trills, whether
> or not any indication, misleading or otherwise,
> appears in the notation: (i) a little note of anti-
> cipation; (ii) a turned ending (by lower auxiliary,

---

[1] Emery, op. cit., p. 140f.

[2] Neumann, op. cit., p. 339.

a tone or semitone below the main note).[1]
The "little note" mentioned by Donington refers to the duration
rather than the size of the note of anticipation. The term
"misleading" refers to notes written with a longer duration
than they are intended to sound. Donington adds that on half-
trills (e.g., Emery's four-note Trillo), "no ending is required
or possible."[2] Neumann is less adamant than other writers
regarding the necessity of the trill ending (suffix) for all
trills: "Very often it is notated, but often it should, or
at least may be, added without specific indication."[3]
Regarding durational aspects of written-out trill endings,
Emery writes the following:

> When the dotted note is followed by a single note,
> the latter being an unaccented anticipation. . . the
> shake may stop at the dot if the tempo is at all
> fast; but in slower tempi it is often effective to
> shorten the anticipation.[4]
>   Written-out closing-notes can sometimes be
> played exactly as they are written; but the nota-
> tion is not meant to be taken literally. . . [Some
> closing-notes] must certainly be played faster than
> Bach wrote them.[5]

Two summarizing statements can be derived: (1) the addition
of a suffix is optional for either the signified or optional

---

[1]Donington, _A Performer's Guide to Baroque Music_,
p. 200f.

[2]Ibid, p. 202.

[3]Neumann, op. cit., p. 340.

[4]Emery, op. cit., p. 67.

[5]Ibid, p. 63.

trill, and (2) the durational values of a written-out suffix may be altered in performance. Contextual considerations regarding both the optional suffix and the durational alteration of the written-out suffix are discussed below.

The trill-with-suffix (optional or written-out) is encountered in a variety of contexts in the music of Bach. Most often the suffix is written out and the trill is signified, but frequently the trill-sign is omitted. Many signified trills are not followed by a written-out suffix, and occasionally neither trill-sign nor suffix is written. Bach infrequently uses the sign (⤳) for the <u>trillo</u> <u>und</u> <u>mordant</u> of the Explication. The following examples, taken from Aldrich,[1] show context-types in which the suffix is written-out and the trill sign is omitted (Ex. 76), and in which the suffix is optional (Exx. 77,78). Aldrich states that the rendition shown in Ex. 77b "is preferable for progressions where the note following the trill is identical with the upper auxiliary,"[2] and that the rendition shown in Ex. 78d "is best where the melody descends one degree."[3]

Ex. 76: Written-out Suffix, Trill-sign Omitted

(a)   (b)

---

[1]Aldrich, <u>Ornamentation in J.S. Bach's Organ Works</u>, pp. 25-27.

[2]Ibid, p. 25.

[3]Ibid.

Ex. 77: Optional Suffix

Ex. 78: Optional Suffix

Neumann presents an enlightening discussion and example of a
context in which a shorter-than-written rendition of the
suffix is suggested.

> Two of the [first] four trills, the second and the
> fourth, have the regular suffix, the first and third
> a different type. Yet all seem to be Nachschläge and
> therefore may to good advantage be taken a little
> later than written.
> Moreover, many written-out one-note Nachschläge
> that serve to smooth the transition to the following
> note will in view of their nature as ornaments often
> call for a lighter touch and a faster than literal
> rendition.[1]

Ex. 79: BWV 811, Courante

Neumann lists and exemplifies five contexts in which a suffix
is usually not added to the trill:

> 1) when the trill is tied to another beat (Ex. a);
> 2) when the trill is slurred to its lower neighbor
>   within the same beat (Ex. b);
> 3) when the trill is followed by a suffix of one or
>   more notes that have or may have Nachschlag
>   function (Exx. c, d);
> 4) when the trilled note is too short to admit a
>   suffix without crowding (Ex. e);
> 5) a suffix would not be needed between a dotted
>   note and its companion note or notes that complete
>   the beat (Ex. f).
> These five points, to which others can be unquestion-
> ably added, are meant to be only tendencies with many

---

[1]Neumann, op. cit., p. 341.

exceptions.[1]

Ex. 80

a. BWV 1041, 1

b. BWV 1041, 3
Allegro assai

c. BWV 885
Largo

d. BWV 811, Allemande

e. BWV 811, Allemande

f. BWV 807, Courante

The trill-with-prefix has been briefly discussed above in conjunction with the French double cadence. The keyboard symbols used by Bach to indicate these ornaments are shown in Ex. 38. Further discussion of Bach's trill-with-prefix is presented below.

The examples of the Doppelt-cadence in Bach's "Explication" show compound trills with ascending and descending prefixes. Neumann terms the former a "slide-trill," and the latter a "turn-trill." The signs for the compound trills are exclusively keyboard symbols. Neumann writes the following:

> For other instruments, Bach writes the turn-trill most often in regular notes [Ex. 81a]. The slide-trill occasionally is written similarly (Exx. b and c), but more frequently he notates it in any of the ways given in Exx. d, e, and f.[2]

---

[1] Neumann, op. cit., p. 341f.

[2] Ibid, p. 399.

Ex. 81
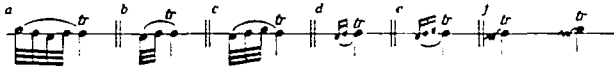
The principal difficulty of the trill-with-prefix is to determine at which point in the rhythm to begin the prefix (the pitch-contour presents no special problems). Emery is reluctant to offer specific recommendations regarding rhythmic placement of the prefix.

> Should one take the notation literally, as at
> [Ex. 82a]: or as a hasty and inaccurate way of
> suggesting that the shake should begin on the main
> note (b): or as a Lombardic prefix, somewhat as in
> c? These are questions that each player must answer
> for himself.[1]

Ex. 82

WK II. Prelude in E minor, bars 28-9 Autograph

In his book, <u>Ornamentation in J.S. Bach's Organ Works</u> (1950), Aldrich acknowledges only the onbeat (Explication) rendition of the prefix. Thirteen years later, Aldrich writes: "More often, however, the <u>double cadence</u> encroaches upon the time of the preceding note."[2] An illogical contrast to

---

[1] Emery, op. cit., p. 59.

[2] Aldrich, "On the Interpretation of Bach's Trills," p. 302.

Aldrich's verbal concession is the fact that his musical examples "take place in the time of the main note."[1]

Neumann identifies four rhythmic types of renditions for both the turn-trill and the slide-trill. Neumann's discussions and examples are included below.

> The turn-trill can be rendered on the beat or else three, four, or five notes can be placed before the beat. The respective designs, shown in [Ex. 83], will be referred to as rhythmic types (=RT) 1 through 4. (The vertical dash indicates the beat.)[2]

Ex. 83: Turn-trill, Rhythmic Types

RT 1.   2.   3.   4.
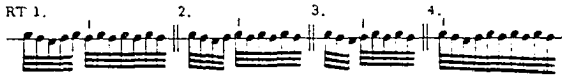
> The slide-trill is not a simple inversion of the turn-trill. Only its first note is foreign to a main-note trill, and only the first two notes are foreign to an upper-note trill. The four favored rhythmic designs range from a three-note prebeat to straight onbeat, as shown in [Ex. 84].[3]

Ex. 84: Slide-trill, Rhythmic Types

RT 1.   2.   3.   4.
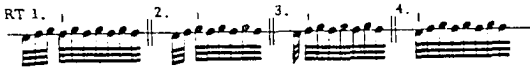
Donington includes only the examples from Bach's "Explication" as possible renditions of signified compound trills, and gives an interesting rendition (Ex. 85) of a "(a) Cadential formula commonly inviting (b) turn and trill,

---

[1]Aldrich, "On the Interpretation of Bach's Trills," p. 302.

[2]Neumann, op. cit., p. 389.

[3]Ibid, p. 390.

sometimes described as double cadence:"[1]

Ex. 85
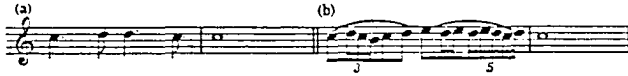
The reasoning process that seems to have been employed by Donington in considering the rhythmic disposition of Bach's prefixes is that Bach used the signs of the "Explication" whenever he wished the prefix to be rendered in the "usual" (onbeat) manner, and that whenever a prebeat rendition was desired, the prefix was written out. Regarding this line of reasoning, Emery writes that "it does not take much experience of composers and their ways to make one realize that arguments of this kind are worthless."[2] Conversely, Neumann reasons that Bach's examples of written-out prebeat renditions of prefixes are evidence for the permissibility, perhaps advisability, of prebeat renditions of the symbols because the symbols are strictly keyboard designations; for other media, Bach used explicit notation. Neumann writes the following.

> It so happens that all the turns of the turn-trills and many of the slides of slide-trills that could be located were anticipated. Specimens of such turn-trills are given in [Ex. 86]. In Ex. e, a keyboard work, the spelling-out of the turn-trill can be easily explained by its transcription from a lost violin original.[3]

---

[1]Donington, A Performer's Guide to Baroque Music, p. 206.

[2]Emery, op. cit., p. 59.

[3]Neumann, op. cit., p. 400f.

Ex. 86

a. BWV 1027, 3
Andante
m. 17

b. BWV 1028, 1
Adagio
m. 22
Clav.
Gamba

c. BWV 1001, 1
m. 3

d. BWV 1079
m. 5

e. BWV 1052, 2
m. 21
(see also m. 37)

The following discussions and examples, taken from Neumann, have been included to illustrate the rhythmic diversity of the prefixes of Bach's compound trills.

> Perhaps the most revealing cases of three-note anticipation occur in the Trio Sonata from the Musical Offering. In three out of four slide-trills, written with little notes, onbeat execution would produce the offensive parallel fifths of [Ex. 87] a and b (see also m. 26). Hence we can be reasonably sure that their anticipation was intended.[1]

Ex. 87: BWV 1079, 8

a.   Largo
m. 17 Fl.
b. m. 19
Vn.

6b   5b   6

---

[1]Neumann, op. cit., p. 403.

In the Organ Chorale of [Ex. 88a], onbeat rendition
is indicated. The turn-trill is preceded by a plain
trill with, at its end, a connective turn that is
meant to lead into the downbeat. Onbeat rendition
will also probably fit best in Ex. b from the 16th
Goldberg Variation, where the rhythmic-harmonic
emphasis on the auxiliary is favored by the cadential
setting.[1]

Ex. 88

a. BWV 654   *b.* BWV 988, Variation 16

In [Ex. 89a] from the theme of the Goldberg Varia-
tion, the usual rendition of the turn-trill in m. 3,
as indicated in Ex. b, has the disadvantage of
obscuring the thematically essential tone repetition,
and of investing the second tone with an appoggiatura
quality where an appoggiatura is out of place. Three-
note anticipation, as suggested in Ex. c, will offer
a solution that graces the melody without impinging
on its essence.[2]

Ex. 89:   BWV 988, Aria

Neumann closes his chapter on Bach's compound trills

with the following statement.

> As to Bach's own compound trills, it should
> have become clear again that no rules can be given
> and that the performer has to exercise his judgment
> in choosing fitting solutions.[3]

---

[1]Neumann, op. cit., p. 403f.

[2]Ibid, p. 404.

[3]Ibid, p. 405.

There are no indisputably superior and correct rendi-
tions of Bach's trills. In many contexts, there are a number
of equally acceptable renditions which may achieve equally
acceptable expressive effects that differ from each other.
There are certain renditions which--based on Neumann's cate-
gories of musical logic--are improbable solutions. This
leaves a lesser number of probable alternatives, the selection
of one of which is the responsibility of each individual per-
former.

The information that is contained in this section
should enable the performer--through experimentation with the
musical examples and analysis of the discussions--to approach
the performance of Bach's trills with some degree of both
confidence and authenticity.

The Mordent

A mordent may be described as an ornament which con-
sists of the alternation of a main note with its lower
neighbor. Bach's example from the "Explication" is shown in
Ex. 90.

Ex. 90: Explication

In view of the diferentiation between Bach's usage
of other ornaments and his renditions of them included in

the Explication, one may be prompted to seek answers to the
following list of questions.

     (1) How variable is the pitch-content of the mordent?

     (2) How variable is the rhythmic structure of the
         mordent?

     (3) How variable is the rhythmic placement of the
         mordent?

     (4) What are the contextual criteria that may deter-
         mine the kind and/or degree of variability?

     (5) In what contexts are mordents likely to be found?

The investigation of Bach's usage of the mordent is not
structured on the basis of providing answers to the above
questions consecutively, but all are covered in the course of
the inquiry.

     Some writers believe the mordent to be invariable
with regard to rhythmic placement, and of limited variability
with regard to both pitch-content and rhythmic structure.
Donington's discussion of the mordent includes the following
statements, the last of which is a quotation from C.P.E. Bach
in which the brackets are Donington's.

> The standard mordent (Ital. mordente, biting)
> has primarily a rhythmic function and is for this
> reason an on-the-beat ornament, starting, more or
> less accented, on the main note.
>   The standard mordent consists of one repercus-
> sion: i.e. three notes.
>   More repercussions can occur if time allows;
> but the longer a mordent, the less it keeps its
> rhythmic function, and the more its function becomes
> merely that of colouring or sustaining the tone. . .
>   The mordent may be taken either diatonically or
> chromatically. . .

'With regard to accidentals [the mordent] adapts itself to its [tonal] context in the same way as the trill. [Nevertheless,] its brilliance is frequently enhanced by [chromatically] raising its lower [auxiliary] note.'[1]

Bodky states that Bach's mordent "offers almost no problems," that the lower auxiliary is "always its diatonic neighbor," and that "in a few cases it is hard to know whether to play more than one oscillation."[2] Bodky does not offer a solution to the problem of the number of oscillations. Aldrich also believes the mordent to be an on-the-beat ornament, but, in opposition to Donington's view, states that "the mordent, in Bach's music, has a melodic function more often than a rhythmic one."[3] Emery writes that "the interpretation is usually as given in the Explication,"[4] but feels that mordent signs placed over longer note-values may benefit from "an increase in the number of repercussions."[5] Neumann states that the mordent, "especially the single-stroke type, could be anticipated"[6] in certain contexts.

Conflicting reports are given by Aldrich and Neumann

---

[1]Donington, A Performer's Guide to Baroque Music, p. 203.

[2]Bodky, The Interpretation of Bach's Keyboard Works, p. 170f.

[3]Aldrich, Ornamentation in J.S. Bach's Organ Works, p. 40.

[4]Emery, Bach's Ornaments, p. 19.

[5]Neumann, Ornamentation in Baroque and Post-Baroque Music, p. 442.

regarding Bach's indicating or not indicating chromatic alter-
ations of the lower auxiliary. Aldrich writes the following.

> Wherever Bach wishes a chromatic accessory, he
> follows the example of his French predecessors by
> inserting an accidental just below the sign (✦ ✦).[1]

Aldrich must be referring here to the editorial practice
of modern editions (or original editions) rather than Bach's
own manuscript procedure, otherwise Neumann would not have
written: "As with his trill, [Bach] does not qualify the
symbol with accidentals to indicate a required alternation of
the auxiliary."[2] Emery does not mention chromatic alteration
of the lower auxiliary, but does state that the original
editions (published) of Bach's works are "not altogether
reliable."[3]

As with many other symbols included in the "Explica-
tion," Bach uses the sign for the mordent only in keyboard
music. For other media, and frequently for keyboard, Bach
writes out mordents with a noteworthy degree of variability.
Aldrich writes that Bach seems to consider the mordent "as an
element of composition which is capable of taking on different
aspects according to its context."[4] The following discussions
and examples taken from Aldrich illustrate both performance
renditions and functions of mordents in a number of varying

---

[1]Aldrich, op. cit., p. 37.

[2]Neumann, op. cit., p. 441.

[3]Emery, op. cit., p. 23.

[4]Aldrich, op. cit., p. 35.

contexts.

> The Adagio of the C major Toccata contains
> admirable illustrations of the expressive use of the
> mordent [Ex. 91]. Bach obviously wrote out the
> mordents on G sharp and A in the third measure in
> order to forestall any tendency on the part of the
> performer to hurry--an eventuality which would be
> disastrous to the expressive resolution of the
> Neapolitan sixth.[1]

Ex. 91

> The mordent which appears in the Allegro of
> the C minor Trio Sonata (measures 69-70, etc.)
> may undoubtedly be regarded as thematic, occurring,
> as it does, several times in sequential passages
> [Ex. 92].[2]

Ex. 92

> Bach found the mordent figure invaluable as raw
> material for composition, and frequently based entire
> movements on it. . . The D minor Organ Prelude is
> built upon a figure [Ex. 93a] which, had it been
> written by a Frenchman, would have been expressed
> as shown in Example [93b]. The practice of incorpor-
> ating mordents in his themes is by no means
> exceptional in Bach's works.[3]

---

[1] Aldrich, op. cit., p. 35.

[2] Ibid, p. 36.

[3] Ibid.

Ex. 93

(a)

(b)

> Bach's use of the mordent to animate long, held
> notes [is] illustrated several times in the <u>Andante</u>
> of the D minor Trio Sonata. The reader will note
> that, by **restricting the motion to an easy flow of**
> sixteenth-notes, Bach avoids any <u>excessive</u> animation
> which might destroy the tranquil mood of the piece.
> For the sake of variety, the mordent is twice inter-
> rupted by a tie [Ex. 94].[1]

Ex. 94

The above discussions and examples illustrate

Aldrich's belief that virtually every appearance of a mordent-

like figure is indeed a mordent. In contrast to this view,

Neumann seeks to differentiate between mordent-like figures

and actual mordents and to distinguish structural figures from

ornamental figures for the purpose of determining a more

authentic rendition of symbolized mordents. Neumann writes

the following:

> In making this distinction we must decide whether
> the notated rhythm of the mordent pattern must be
> adhered to strictly or whether it can be modified
> and also, whether the needed slur is either marked
> or understood. The tempo will be another factor
> since, generally, a mordent has to be executed
> swiftly.[2]

---

[1]Aldrich, op. cit., p. 36f.

[2]Neumann, op. cit., p. 449.

Neumann may be guilty of faulty logic by including as a
determining criterion the statement that "a mordent has to be
executed swiftly" as a prejudicial condition. If Neumann is
correct, Aldrich is incorrect. Aldrich does not believe that
a mordent has to be executed swiftly.

Neumann presents the following discussions and exam-
ples to support and clarify his view of the distinction
between structural and ornamental figures.

> In [Ex. 95a] from the 3rd Gamba Sonata, the struc-
> tural character of the pattern is documented by its
> necessary rhythmic strictness in its many contra-
> puntal combinations with other 16th-notes. The
> innumerable cases in which a fairly slow mordent-like
> pattern occurs in the bass line, such as the one
> shown in Ex. b, will most often belong to the
> structural category.
> By contrast, Ex. c from Cantata 6 will strike
> the listener simply as an ornamental intensification
> for the repeat of the imploration bleibe. Also,
> mordent character may be seen in the continuo
> figure of Ex. d from the Magnificat, with its faster
> speed and implied legato articulation.[1]

Ex. 95

a. BWV 1029,1   b. BWV 232,12

c. BWV 6,2   d. BWV 243,2

Other specimens that lean strongly toward mordent
characteristics are shown in [Ex. 96] from Cantatas
185 and 146.[2]

---

[1] Neumann, op. cit., p. 450.

[2] Ibid.

Ex. 96

Further cases are represented by [Ex. 97a] from
the Sonata in C major for Unaccompanied Violin
(marked by an asterisk) and perhaps most tellingly
by Ex. b from Cantata 187.[1]

Ex. 98

The above examples also show that Bach did employ

mordents in an other than on-the-beat rhythmic placement, the

fact of which leads Neumann to conclude that prebeat rendition

in certain contexts is permissible, even advisable, for signi-

fied mordents as well. An example of such a context has been

previously shown in Ex. 60. Additional characteristics of

contexts which favor prebeat rendition of the mordent are

given in the following quotation from Neumann.

> There are many passages. . . where an onbeat rendition
> produces an effect of stiffness if not outright
> clumsiness, anticipation transforms this awkward
> effect into one of grace and elegance. Such will
> usually be the case where the mordent is placed on a
> note that is to be graced but not weighted, where the
> mordent consequently serves as a connective, not an
> accentual or intensifying ornament. Another such
> example is shown in the illustration of [Ex. 98a]

---

[1]Ibid.

. . . both mordents, even the second one which falls
on the heaviest beat, might best be anticipated, and
the same treatment could be accorded the <u>Vorschläge</u>,
so that the passage would be rendered approximately
as shown in Ex. b (with all little notes understood
to be in anticipation.)[1]

Ex. 98

Bach also writes out, in part, the <u>Accent</u> <u>und</u> <u>Mordant</u>

of the "Explication." It will be noticed that the version of

this ornament shown in the "Explication" contains a mordent

that is not on-the-beat (Ex. 99). Bach's notational design of

Ex. 99

the partially written-out <u>Accent</u> <u>und</u> <u>Mordant</u> is presented in

the discussion and example below, taken from Neumann.

> To the unwary, the mordent in such a notation looks
> like an independent ornament, when in fact it is
> only the very junior partner in a combination grace.
> Thus, when Bach writes in the D major Invention the
> pattern shown in [Ex. 100a], some Frenchmen and some
> later Germans might have written it as shown in
> Ex. b; this would have clarified the compound nature
> of the grace but left its rendition open to a wide

---

[1]Neumann, op. cit., p. 445.

range of rhythmic interpretations. Here, as in
other similar places, Bach's notation disguises but
does not change the nature of the mordent as a
simple suffix that finds its place more properly
off the beat. In other words, it will best be
played as suggested in Ex. c rather than in Ex. d.[1]

Ex. 100: BWV 774

The same analysis applies to the theme of the
Goldberg Variations [Ex. 101a]. The tie clarifies
the port de voix et pincé character; hence, here
too an offbeat rendition of the pincé suffix, as
indicated in Ex. b, would seem to be the logical
solution.[2]

Ex. 101: BWV 988, Aria

In the discussion above, the name "port de voix et
pincé" is the French equivalent of Bach's "Accent und Mordant,"
both of which may be translated as "appoggiatura and mordent."

The more often encountered onbeat renditions of
mordent symbols require a consideration of three factors; the
number of alternations, the speed of the alternations, and
whether the lower auxiliary is to be diatonic or chromatic.
With regard to the lower auxiliary, the general consensus
suggests that it should be the lower diatonic neighbor within

---

[1]Neumann, op. cit., p. 446.

[2]Ibid.

the prevailing harmony at the time, with the term "diatonic"
being construed "as referring to the melodic rather than
the harmonic minor scale."[1]

The following examples from Aldrich illustrate his
belief that the rhythmic structure of the mordent should be
adjusted to the rhythmic environment.

> Where the mordent is used thematically. . . we shall
> be following Bach's own teachings if we adjust the
> ornament to the rhythmic pattern of the other voices,
> whenever we can do so without making the final note
> too short.[2]

Ex. 102

---
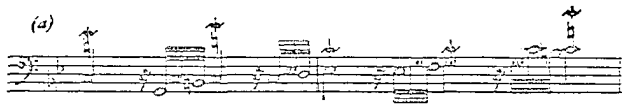
[1]Aldrich, op. cit., p. 39.

[2]Ibid.

(c)

Played

(d)

Played

Aldrich recommends multiple alternations in some cases. In the quotation below, it is unclear whether "in the same way" means single or multiple alternations--or either.

> When two mordents occur in close succession, variety may be sought by 'doubling' the second one, as in [Ex. 103]. . . No one could accuse a performer of being 'wrong' if he were to play these two mordents in the same way.[1]

Ex. 103

Played

Emery and Neumann suggest that multiple alternations may be appropriate whenever the duration of the ornamented note permits, especially at the beginning of a

---

[1]Aldrich, op. cit., p. 39.

piece. Emery[1] gives the following example (endorsed and included by Neumann, p. 444).

Ex. 104

Italian Concerto. ii. 4.   OE

might be played   W.E.

Bach's most frequent use of the mordent occurs in ascending passages. Bach uses the mordent "fairly often on repeated notes, but exceedingly rarely on descent."[2] Emery states that "a mordent is always wrong"[3] in cadential contexts where a cadential trill would be appropriate. He explains that mordents are occasionally found in such contexts, but are the result of mistakes by early copyists or printers. Neumann gives the following explanation regarding the infrequently encountered "long mordent" symbol.

> Once in a while [Bach] extends the wavy line to
> three or even more waggles, which signifies multiple
> alternations (without limiting the two-waggle sign
> to a single-stroke mordent).[4]

Neumann also suggests that "mordents on final notes will often gain by multiple alternations."[5]

Bach's mordent has been shown to have a considerably

---

[1] Emery, op. cit., p. 39.

[2] Neumann, op. cit., p. 441

[3] Emery, op. cit., p. 21.

[4] Neumann, op. cit., p. 441

[5] Ibid, p. 445.

greater degree of variability than is generally assumed. The design given in the "Explication" is but one of many possible renditions--though it may be the design that is used most frequently. The performer must decide whether the context suggests the "accentuating and intensifying effect"[1] of the onbeat rendition, or the "connective qualities"[2] of the pre-beat rendition, and whether single or multiple alternations will be employed.

The Turn

Two fundamental types of turns are widely recognized. The distinctions between the two types differ slightly from writer to writer. Most writers view the turn as an ornamental figure consisting of four notes in the following sequence: upper neighbor, principal note, lower neighbor, principal note. Neumann, unlike most other writers, views the turn as consisting of three ornamental notes that "start on the upper neighbor of the parent note and move scalewise to the lower one."[3] (It is necessary to understand Neumann's viewpoint when deciphering his verbal distinction between the two types.) Donington distinguishes between the two types of turns in the following manner.

The turn may be (i) accented, as an on-the-beat

---

[1] Neumann, op. cit., p. 451.

[2] Ibid.

[3] Neumann, op. cit., p. 465.

ornament, with a function equally melodic and harmonic; or (ii) unaccented, as a between-beat ornament, with a melodic function.[1]

Aldrich feels that the onbeat type "may be construed as an appoggiatura from above, followed by a mordent,"[2] which results in a combination of "the expressive, dissonant element of the former with the melodic function of the latter."[3] Regarding the inter-beat type, Aldrich states that "the function of the turn, in such cases, is in part, a transitional one."[4] Neumann views the function of each type similarly, though his phraseology is more abstruse.

> The standard turn either 1) precedes its principal note, in which case it is "intensifying," or 2) is embedded in the middle of the principal note, in which case it is usually "connective." The two species will be referred to as Types 1 and 2.[5]

The following discussions and examples, taken from Neumann, serve both to illustrate the diversity of rhythmic designs of the two types of turns and to clarify Neumann's descriptive terminology (quoted above) regarding Types 1 and 2.

> The rhythmic dispositions for Type 1 (for an assumed quarter-note parent) are sketched in [Ex. 105]. The patterns of a-c show the very common onbeat start with the design adapted to tempi varying from slow to fast. Example d shows the fairly

---

[1]Donington, op. cit., p. 204.

[2]Aldrich, op. cit., p. 51.

[3]Ibid.

[4]Aldrich, op. cit., p. 53.

[5]Neumann, op. cit., p. 465.

frequent anticipated entrance, with the dash indicating the location of the beat; Ex. e gives the fairly rare delayed entrance, and Ex. f the occasional start with the principal note.[1]

Ex. 105
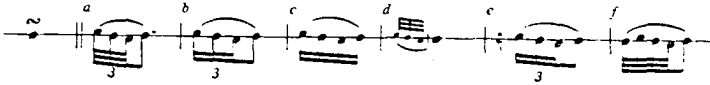
The rhythmic disposition for the "embedded" Type 2 can vary extensively depending on tempo, length of principal note, affect, and melodic and rhythmic context. The few models of [Ex. 106] try to intimate the many possibilities for either a binary note (Exx. a-f) or a dotted one (Ex. g-l). Because the grace is of the connective kind, a succeeding neighbor, arbitrarily chosen, was added for greater clarity.[2]

Ex. 106
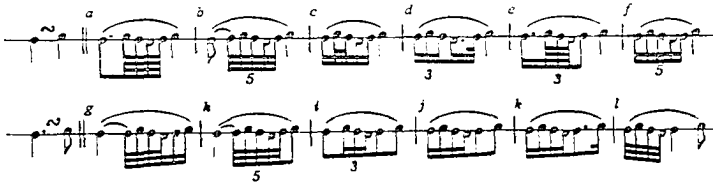
The first four pitches of Exx. 105f and 106l have the same rhythmic design. Neumann does not explain his reason for including the same design in both categories.

Aldrich gives only three example renditions of symbol-indicated turns because he believes that Bach "writes out the turn"[3] in regular notation when (1) "an unconventional

---

[1] Ibid.

[2] Neumann, op. cit., p. 465.

[3] Aldrich, op. cit., p. 51.

rhythmic interpretation"[1] is required, and (2) "when he wishes the first note to be tied to the preceding note."[2] Aldrich's example renditions are included below (Ex. 107).

Ex. 107
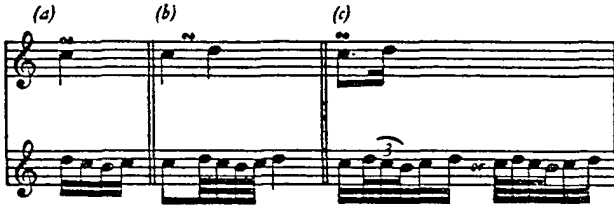
Neumann believes that because "Bach wrote out in regular notes turns in all rhythmic designs,"[3] a greater latitude of interpretation of symbolized turns is in order. Neumann says:

> For instance, in the Organ Chorale Komm, heiliger Geist, the connective turn following the mordent in [Ex. 108] cannot be rendered as given in Ex. b because it would create fifths with the alto; Exx. c, d, and e show three possibilities among others.[4]

Ex. 108: BWV 652

Emery's example renditions of onbeat turns are similar to the designs given by Neumann in Ex. 105 a-c. Emery

---

[1]Ibid.

[2]Ibid.

[3]Neumann, op. cit., p. 472.

[4]Ibid.

states that "when placed over or under a note, a turn is played as in [Ex. 109], varying according to tempo."[1]

Ex. 109

WK II, Prelude in E minor, bars 47-8. Autograph

played

W.E.

The same, bar 59. Autograph

played

W.E.

Basing his view on a rendition that is included in D'Anglebert's _Pieces de Clavecin_ (1698) (known to Bach), Emery suggests that in a similar context Bach's turn may have a delayed start. Emery's example is given below (Ex. 110).[2]

---

[1]Emery, op. cit., p. 31.

[2]Ibid, p. 32.

Ex. 110

Three-part Invention in E flat, bar 6.   Autograph of 1723

might be played   W.E.

In some compositions, Bach wrote out the turn in
one place and later in a similar context used the symbol.
Emery's discussion and examples pertaining to such a case
are presented below.

> [Ex. 111] gives the cadential bars of the two
> Grave sections of the movement. As their functions
> are similar, it is natural to suppose that Bach
> meant their figuration to be similar, and therefore
> that bar 162 should be played as [shown below]. [1]

Ex. 111

French Overture. Ouverture. OE   Ex. 44   The same, bar 162

bar 19   bar 162

Regarding the rendition of a Type 2 turn (sign
placed between two notes), Emery states that "the rhythmical
details of the interpretation must be settled by the player."[2]

---

[1]Emery, op. cit., p. 33.

[2]Ibid.

Neumann shares this attitude and adds the following qualifi-

cations:

> Tempo, "affect," length of the principal note, what
> precedes, what follows, and above all what is
> happening at the same time in other voices, will
> influence the choice of the rhythmic design, and
> there will be a wide latitude of legitimate possi-
> bilities.[1]

Turns may be both added as optional ornaments and

substituted for trills in a variety of contexts. The inter-

beat turn, whose function is melodic embellishment, may be

added as an optional ornament where the melody ascends by

step and may have any of the rhythmic designs shown in

examples 106 and 107 (excessive use of the optional turn is

to be avoided). Aldrich states that the interbeat turn

> is always appropriate when a trill on a quarter-note
> is preceded by a dotted eighth and sixteenth; it may
> be introduced by the player in such places, even
> where it is not indicated in the score.[2]

The onbeat turn, whose harmonic/melodic function is similar

to that of the appoggiatura and the upper-note trill, may

be substituted for a signified trill (or an optional trill)

in some contexts. Aldrich's discussion of such contexts

is presented below:

> A comparison of various manuscript sources of
> Bach's organ works reveals the fact that the
> copyists often vacillated between the sign for the
> turn and the sign for the trill in corresponding
> phrases of the same piece, and that what is

---

[1]Neumann, op. cit., p. 472.

[2]Aldrich, Ornamentation in J.S. Bach's Organ Works,
p. 53.

indicated as a turn in one copy frequently appears
as a trill in another. These considerations,
together with Bach's own carelessness with regard
to the signs of the agréments, suffice to justify
the performer's substitution of a turn for a trill
wherever the former seems more suitable to the
tempo. The player need only remember that such sub-
stitutions should not change the time-value of the
written termination. In other words, the substitu-
tion may be made when the notes forming the termina-
tion have half the value of the main note, but not
when they are given only one fourth its value.[1]

The addition of an onbeat turn appears to be a logical option

for contexts in which the turn can be played between two

melody-notes a step apart where an appoggiatura on the first

of the two notes would be appropriate.

The turn has been shown to be of two principal types

which have a wide variety of rhythmic designs. The func-

tional nature of each type is an important consideration in

deciding which of the types to employ. When the context

requires or permits harmonic intensification, the onbeat

turn which functions like an appoggiatura will be appro-

priate. In other contexts, the connective function of the

interbeat turn will be appropriate. The choice of a rhyth-

mic design will depend on musical variables such as tempo,

melodic and rhythmic context, length of the principal note,

and polyphonic texture. In cases where the principles of

musical logic do not provide a clear preference, experimen-

tation with the expressive effects of various designs will

assist the performer in deciding which design to employ.

---

[1]Aldrich, Ornamentation in J.S. Bach's Organ Works,
p. 53.

The Arpeggio

        Bach's use of the arpeggio encompasses both ornamental

and structural functions, and in many instances may be

viewed as a combination of the two. An example of the arpeg-

gio is not included in the "Explication." Neumann identifies

chordal and linear arpeggios, and characterizes the two as

follows:

        In the chordal arpeggio the pitches are announced
        in very close succession, without any specified
        rhythm, and are sustained to form the sound of the
        full chord. In the linear arpeggio the pitches
        are strung up melodically in a definite rhythm,
        without being sustained (though not excluding
        occasional pedal effects).[1]

Neumann's categories are approximately equivalent to the

"ornamental and structural" (respectively) distinctions.

His definition of the categories does not include combina-

tional instances (such as the Allemande of BWV 996) in

which Bach writes out the notes "in a definite rhythm" and

sustains them to "form the sound of a full chord." The com-

binational elements are present in Neumann's discussion, but

he gives the impression that the categories are mutually

exclusive. Neumann's discussion of the arpeggio is the most

logical, in-depth presentation of any modern writer.

        The chordal arpeggio category includes three types:

intervallic arpeggio, plain arpeggio, and figurate arpeggio,

each of which will be discussed below. The linear arpeggio

category will be excluded because Bach's use of this type of

_____

        [1]Neumann, op. cit., p. 492.

arpeggio (found in compositions such as the "Ciaccona" for unaccompanied violin, and the "Chromatic Fantasy") consists of a model arpeggiated figure that is followed by a series of chords which the performer is expected to arpeggiate based approximately on the given model. The linear arpeggio is not, strictly speaking, ornamentation.

As noted by Neumann, modern scholars frequently state or imply that the onbeat doctrine applies also to the arpeggio. All of Dannreuther's examples (pp. 187-189) show onbeat renditions. Bodky writes that the arpeggio "like all other embellishments, must be played on and not before the beat."[1] The majority of the examples given by both Dolmetsch and Donington show onbeat renditions. In one of Dolmetsch's examples (included and endorsed by both Donington and Emery), the reader is uncertain whether onbeat, prebeat, or both (at different points) is intended by Dolmetsch. The example and Dolmetsch's discussion are presented below (Ex. 112).

> The first chord obviously requires breaking, though not so marked. The ear could not understand from which part the melody continues, unless the A is played last, and held. In bar 17, third and fourth beats, the expressive inner part C, D, E-flat, (right hand), is answered in imitation by the F, G, A-flat, of the left hand. To render this effect, some such arrangement as given below must be resorted to. It implies freedom of rhythm. The little notes follow one another very quickly, but still there must be time to play them:[2]

---

[1]Bodky, The Interpretation of Bach's Keyboard Works, p. 182.

[2]Dolmetsch, The Interpretation of the Music of the Seventeenth and Eighteenth Centuries, p. 273f.

Ex. 112

&c.

Execution.

&c.

Emery feels that Dolmetsch intended the arpeggio renditions
to begin on the beat: such is indicated by the alternative
renditions for measures 17 and 18 given in the following

discussion and example (Ex. 113).

> As Dolmetsch remarks, Bach almost certainly
> meant the chords in [Ex. 112] to be spread; and here
> it is most decidedly advantageous to adopt abnormal
> forms of arpeggiation, to bring out the part-writing.
> The first interpretation in [Ex. 113] is borrowed
> from Dolmetsch, and can hardly be improved on. The
> rest may be thought illegitimate; but they are put
> forward only as suggestions. Nothing more is
> claimed for them than that they have been tried on
> a clavichord. The notation is approximate, the
> position of the beats being shown by the accents.[1]

Ex. 113

In Examples 112 and 113, the notation of the arpeggia-

tion of the chord in m. 16 seems to indicate prebeat rendition,

but more so in Emery's example (Ex. 113) because no accent

marks the beat. The same "grace-note" type of notation is

used for the arpeggiated chord of m. 17 where prebeat rendi-

tion is not possible because of the thirty-second notes

before the chord. In Emery's example, prebeat rendition

clearly is not intended (the accent shows the location of

the beat). It is clear that both Dolmetsch and Emery suggest

onbeat rendition for the arpeggios of m. 17, but it is

unclear what is suggested by either writer for m. 16. If

---

[1]Emery, op. cit., p. 102.

the arpeggiation in m. 16 is played--as Dolmetsch recommends
--with "freedom of rhythm" and with the last note receiving
the duration of a quarter-note, the effect will be that of
prebeat rendition of the arpeggio.

Neumann demonstrates that it is musically illogical
to insist that all arpeggio renditions begin on the beat.

> Here, the arpeggio for the three-note chord of
> the right hand is clearly of very minor importance.
> By its omission we would lose no more than a shade
> of plasticity. What is of the essence in this passage
> is the melody with its characteristic Allemande
> rhythm at the start. Does it not stand to reason
> that we should not sacrifice the essential to the
> unimportant? The start of the arpeggio on the beat
> would produce two incongruous results. The Allemande
> pattern of the short upbeat on the pitch of the long
> downbeat tone: ♪♪♪ would be distorted to approxi-
> mately: ♪♪♪ and the b', which is only a harmonic fill
> note, would be pushed into the spotlight of the
> downbeat as if it were of the melodic essence. Hence
> we can assume that the indicated execution is the one
> shown in [Ex. 114] with the arpeggio in anticipation.
> This solution has the obvious musical merit of
> gracing the melody without making it pay an undue
> price.[1]

Ex. 114: BWV 829, Allemande

Bach uses two symbols--the wavy vertical line shown

[1]Neumann, op. cit., p. 493.

in Ex. 114, and the oblique dash shown in Ex. 115--to indicate

three different types of arpeggiated (or successive sounding)

figurations: plain arpeggio, figurate arpeggio (harpégé

figuré), and intervallic arpeggio. Neumann's discussion and

examples of Bach's use of the intervallic arpeggio are

presented below.

> Bach used the slanted stroke symbol once in a
> while, and seemingly only in early works, for the
> intervallic type. We find in the primary source of
> the Capriccio sopra la lontananza the passage of
> [Ex. 115a]. The intended rhythm is impossible to
> determine and probably mattered little. We find the
> same symbol in the Aria variata of 1709 (Ex. b).
> Here the melody is distinctly in the soprano and this
> would favor anticipation of the lower notes. In
> later works this symbol will usually stand for the
> figurate type.[1]

Ex. 115

a. BWV 992,2   b. BWV 989, Aria

Ornament tables by Perrine, Le Roux, and Dieupart

(French baroque era) give renditions of the intervallic

arpeggio (signified by an oblique dash) as shown in Ex. 116.

According to Neumann, the dash placed between note heads

> confused matters, because most other Frenchmen as
> well as many Germans understood this symbol (espe-
> cially between thirds) to mean an inserted middle
> note. Dieupart places the stroke externally
> (Ex. c).[2]

---

[1]Neumann, op. cit., p. 499.

[2]Ibid, p. 498.

Ex. 116

a. Perrine (1680)   *b.* Le Roux (1705)   *c.* Dieupart (c. 1702)

Many modern writers use the term "acciaccatura" to refer to the figurate arpeggio. Such usage is based mainly on the terminology of C.P.E. Bach, and is not altogether logical in relation to the previously mentioned double meaning of the term. The inserted middle note of the figurate arpeggio may be viewed as a <u>Zwischenschlag</u>, allowing the reservation of "the term <u>acciaccatura</u> for its authentic Italian significance."[1]

The French used the term "coulé" in reference to the figurate arpeggio. The following discussions and examples, taken from Neumann, illustrate the symbols and renditions which were employed by the French.

> Chambonnieres formulates in 1670 the ascending type as a standard ornament, calls it <u>coulé</u>, and marks it with an oblique dash between the two note heads, and so does Le Begue in 1677 [Ex. 117a]. In 1687, Raison adopts the same symbol, term, and model for the organ (Ex. b); Jullien's model of 1690 (Ex. c) is rhythmically ambiguous.[2]

---

[1] Neumann, op. cit., p. 503.

[2] Ibid, p. 503f.

Ex. 117

a. Chambonnières (1670) and Le Bègue (1677) b. Raison (1687) c. Jullien (1690)

Coulé   Coulé   Coulé

       D'Anglebert (1689) speaks of a coulé sur une
tierce, introduces a clamp-like symbol, and shows
both upward and downward designs [Ex. 118a]. Le Roux
(1705) copied both models exactly. Dieupart (c. 1702)
also follows D'Anglebert and uses his hook symbol as
well as the term coulé, for which he gives the English
equivalent of "slur" (Ex. b).[1]

Ex. 118

a. D'Anglebert (1689) and Le Roux (1705) b. Dieupart (c.1702)

Coulé sur une tierce   Coulé slur

       Couperin's model for what he calls tierce coulée
is rhythmically ambiguous, possibly leaning toward
anticipation [Ex. 119].[2]

Ex. 119

Tierce coulée en montant   Tierce coulée en descendant

---

[1]Neumann, op. cit., p. 504.

[2]Ibid.

Bach occasionally wrote a wavy line before a chord of
only two notes a third apart. Emery states that successive
sounding of the two pitches would sound "feeble,"[1] and sug-
gests the likelihood that "Bach was harking back to the Coulé
sur une tierce of D'Anglebert or Dieupart"[2] (Ex. 120).

Ex. 120

Bach uses the oblique dash more often than he uses
the wavy line to indicate the figurate arpeggio, but neither
is frequently encountered. Neumann states that the ornament
may "have been more frequently improvised."[1] The oblique
dash signifying the figurate arpeggio also appears in conjunc-
tion with the wavy line signifying the plain arpeggio. The
filled-in thirds of Ex. 121a

> should start on the beat to underscore the bass
> melody (Ex. b). A fuller chord from the Sarabande
> is shown in Ex. c and its suggested execution in
> Ex. d; here anticipation seems advisable to safe-
> guard the rhythm of the melody. In Ex. e from the
> ornamented version of the Sarabande in G minor, the
> same considerations apply. . . Example f shows two
> passages from the Sarabande of the E minor Partita.

---

[1]Emery, op. cit., p. 104.

[2]Ibid.

[3]Neumann, op. cit., p. 505.

Here too it is difficult to find in the usually
proposed onbeat start an advantage that would compen-
sate for the loss of the melody's original rhythm.

Ex. 121

a. BWV 806 (P 1072), Courante 1
b. Suggested execution
c. Sarabande
d. Suggested execution
e. BWV 808, Sarabande (Les agréments)
f. BWV 830, Sarabande (early version)

In conclusion it may be said that the musical context
should determine the appropriate arpeggio rendition. If one
accepts Dolmetsch's rendition of a non-signified arpeggio
as justified because it is based on a musical exigency, then
logically parallel are musical situations which, for the
sake of clarity, may require renditions other than the common-
ly assumed onbeat variety.

Chapter IV

RATIONALE FOR FINGERING

-

Chapter IV contains, in addition to the detailed
discussions pertaining to the rationale for solutions to
the problems of transcription and performance of the
Suite in E minor, two sections that are related to the
detailed discussions to such an extent that it was believed
better to include them in this chapter than in the chapter
that is entitled "Related Literature." The titles of the
two sections are "Guitar Ornamentation Techniques," and
"Information Related to the Transcription."

In the section entitled "Guitar Ornamentation
Techniques," an analytical discussion of the foundational
techniques of guitar performance of ornaments is presented.

The section entitled "Information Related to the
Transcription" contains both explanations and recommenda-
tions pertaining to Baroque performance practice and
aspects regarding the transcription that did not seem to
fit as well in any other place.

The detailed discussions are presented movement-by-
movement in the order of occurrence: Praeludio, Allemande,
Courante, Sarabande, Bourrée, Gigue.

Guitar Ornamentation Techniques

Two basic categories of ornamentation techniques are

employed by guitarists in the performance of Baroque music:
left-hand techniques, and right-hand techniques. The names
of the categories are based on the manner of attacking the
pitches. Left-hand attack is generally referred to as
"ligado technique." Right-hand attack is commonly known as
"plucked technique."

Ligado technique is the traditional manner of exe-
cuting ornaments on the guitar. There are two forms of
ligado technique: ascending, and descending.[1] Two-note
figures, such as appoggiaturas, may be executed with the
appropriate form of ligado technique: ascending ligado for
the appoggiatura from below; descending ligado for the appog-
giatura from above. The two forms of ligado technique may be
joined together to execute various kinds of ornaments having
more than two notes.

Many artist-teachers recommend the alternation of two
fingers in the execution of rapid trills. Because the con-
tracting movement of the pull-off carries the finger away
from the string, a different finger can hammer the string
sooner and from a greater distance than the pulling-finger.

Pitches that are attacked with ligado technique
usually differ in timbre and loudness from pitches that are
attacked with plucked technique. Ornaments that are executed

---

[1]Two types of each form of ligado technique are
discussed in the section of this study that is entitled
"Articulation." The type that is employed in ornamentation is
the type wherein the component pitches are taken on the same
string.

with ligado technique almost always differ in timbre and
loudness from the notes that precede and follow them. Because
this difference is one of the characteristics of guitar per-
formance, and because ligado technique is the traditional
manner of executing ornaments on the guitar, ligado technique
is both acceptable and necessary in the execution of orna-
ments in the music of Bach.

The non-traditional manner of executing ornaments
employs right-hand plucked techniques. Plucked techniques
can provide greater timbral and dynamic consistency than
that which is obtainable with ligado technique. Guitarists
who employ plucked techniques in the performance of Baroque
keyboard music do so because the sound of the ornaments that
are executed with plucked techniques more closely resembles
the sound of ornaments performed on a keyboard instrument
than does the sound of ornaments that are executed with
ligado technique.

Until recently, right-hand plucked ornaments were
used only in limited contexts. Pujol writes the following:

> One may also employ, in certain cases, the
> plucked trill on two different strings.
> The resulting sound is harsh. It is only
> allowable, and is even advisable, in ensemble per-
> formances for the purpose of obtaining equivalent
> sonority with the other instruments.[1]

Pujol's objection to the use of the plucked trill on two
different strings is probably due to the fact that guitarists

---

[1]Emilio Pujol, Escuela Razonada de la Guitarra, Libro
IV (Buenos Aires: Ricordi Americana, 1971), p. 127.

at that time were not employing damping techniques in con-
junction with such trills, and as a result the involved major
or minor second intervals would sound simultaneously because
of the overlapping durations of the component notes of the
trill.

There are two basic types of execution of right-hand
plucked ornaments in which the notes are on two different
strings: (1) use of the same finger for two attacks on
adjacent strings, and (2) use of a different finger for each
of the successive attacks on strings which may be, but are
not necessarily, adjacent.

The first type will be referred to as "rastreando"
(from the Spanish rastrear, to drag) because the plucking
finger is "dragged" across two strings.   This technique was
developed by the writer, and is based on a technique used
by Pepe Romero.[1]   In rapid descending passages, Romero uses
the same finger on successive notes that occur on adjacent
strings: for example, a first-string-a followed by a
second-string-g may be played in very rapid succession (a-g)
by having the same finger of the right hand pluck both notes
by virtue of a dragging motion of the finger across both
strings, but not so quick a stroke as to cause the notes to
appear to sound simultaneously.

---

[1]This technique was developed during the Pepe Romero
Masterclass; Houston, Texas; summer 1978.   The writer does
not claim to be the first to have used this technique.   Many
guitarists have developed similar techniques, and have con-
sidered them to be original discoveries.

With the use of two different fingers of the right hand, a very rapid continuous trill may be obtained by having each finger pluck both strings in rapid, coordinated alternation: for example, using the above mentioned notes, the index-finger plucks the first-string-a and very rapidly follows by plucking the second-string-g; at a similar interval of time to the time-interval between the a- and g-notes, the middle-finger similarly plucks the two strings in succession. Through continued alternation of the two plucking fingers, the performer may produce a rapid and rhythmically even attack-sequence of the two notes "a-g-a-g-a-g-a-g-a-g-a-g" such as may be encountered in an extended trill.

Some performers who employ rastreando technique in the performance of cross-string plucked ornaments use apoyando attack on both strings and with both fingers. The advantage of so doing is that the apoyando attack facilitates dynamic balance between the notes.

There are two disadvantages in using apoyando attack on both strings: (1) the distance of tip-travel is greater than that which is involved when the second of the two strings is plucked with tirando attack, e.g., using the same a- and g-notes of the previous discussion, the tip of the plucking-finger will contact the third-string after having plucked the second-string-g with apoyando attack, and will therefore have the distance from the third-string to the first-string to travel before it can again attack the first-string-a, but if tirando attack is used on the second-string-g, it is

possible for the plucking finger to begin the return to the
first-string at or slightly after the instant that it plucks
the second-string-g, and, because the finger does not travel
on to contact the third-string (as a result of the follow-
through) the distance it must travel is only a little more
than half of the distance it must travel when apoyando attack
is used; and (2) although it is not impossible to prevent
the overlapping of the durations of the two notes on adjacent
strings when using apoyando attack on both strings, it is
more difficult to damp the higher of the two pitches than
when tirando attack is used on the lower of the two pitches--
the lower of the two pitches is damped by the follow-through
of the apoyando attack of the higher. The use of apoyando
attack on both strings is found to be generally less condu-
cive to precise technical control of the involved notes than
the alternation of apoyando and tirando attacks on the strings
and by each finger, but in certain contexts may be effective-
ly employed.

An early 17th century example of rastreando technique
is given by Neumann[1] in an example taken from a Gygue by the
lutenist Dufaut. Neumann's purpose in including the example
is to substantiate the existence of the prebeat mordent, but
the indicated fingering also shows that Dufaut plucked the

---

[1]Frederick Neumann, Ornamentation in Baroque and
Post-Baroque Music (Princeton, New Jersey: Princeton
University Press, 1978), p. 419.

first two notes of the mordent on adjacent strings with the index-finger--the third note of the mordent is plucked with the middle-finger.

The second type of execution of right-hand plucked ornaments in which the notes are on two different strings will be referred to as "pareando" (from the Spanish parear, to pair) because of the pair of strings involved, and because of the customary pairing of the plucking-fingers relative to the strings involved in the layout of the notes of the orna-ment.

Based both on conversations with concert artists and on personal observation and experimentation, the right-hand formula for pareando technique in the execution of short trills that seems to be the most used, the most effective, and the most easily learned involves the following sequence for a four-note trill: (1) the upper note is plucked with tirando attack by the annular-finger as the index-finger prepares on the other string in readiness for plucking the lower-note, (2) as the index-finger plucks the lower note, the middle finger prepares on the upper note; the preparation of the middle-finger serves also to damp the upper note and prevent its duration from overlapping the sound of the lower note, or, stated another way, to prevent the upper and lower notes from sounding simultaneously, (3) as the middle-finger plucks the upper note, the thumb prepares on (and damps) the lower note, and (4) as the thumb plucks the lower note, the upper note is damped by one of the fingers, usually the

annular-finger.

In the following chart showing four alternative right-hand plucking sequences for selected ornaments, the customary alphabetical signification of the right-hand fingers is used (p = thumb; i = index-finger; m = middle-finger; a = annular-finger).

Chart 1:   Plucking Sequences for Ornaments on Adjacent Strings (with the upper note on the higher pitched string)

1:1   Three-note Ornaments

    (A) Schneller   (B) Mordent

      1. i-m-p   1. a-i-m

      2. p-m-i   2. m-i-a

      3. i-a-m   3. i-p-m

      4. m-a-i   4. m-p-i

1:2   Four-note Ornaments

    (A) Upper note trill   (B) Appoggiatura from below and mordent

      1. a-i-m-p   1. p-a-i-m

      2. m-p-a-i   2. i-m-p-a

      3. a-i-m-i   3. i-m-i-a

      4. m-i-a-i   4. i-a-i-m

1:3   Five-note Ornaments

    (A) Main note trill   (B) Long mordent

      1. p-a-i-m-p   1. a-i-m-p-a

      2. i-m-p-a-i   2. m-p-a-i-m

      3. i-m-i-a-i   3. a-p-m-i-a

      4. i-a-i-m-i   4. m-i-a-p-m

1:4 Six-note Ornaments

(A) Upper note trill

1. a-i-m-p-a-i
2. m-p-a-i-m-p
3. a-i-m-i-a-p
4. m-p-a-i-m-i

(B) Appoggiatura and long mordent

1. p-a-i-m-p-a
2. i-m-p-a-i-m
3. i-a-p-m-i-a
4. p-m-i-a-p-m

The fingerings shown in the above chart represent only a few of the possible sequences and related ornaments, but with these as foundational sequences, the guitarist will be able to select, combine, and invent such sequences as are required in various performance contexts.

In addition to the two special types of plucked execution of ornaments, the ordinary manner of plucking notes may be employed in the execution of ornaments. This manner is, for most applications, not as satisfactory as one of the other three (ligado, rastreando, and pareando) modes of execution due to the extreme difficulty of creating the impression of legato connection of the component notes. When successive notes on the same string are plucked by the fingers of the right hand, there is usually a small amount of silence between the notes as the plucking finger momentarily damps the string while in the process of plucking it. Extremely skillful performers are able to give the impression of legato connections between successive plucked notes on the same string. It is possible that the vibration of the guitar covers the non-vibration of the string during the brief moment of finger-contact with the string.

In summary, there are two basic kinds of attack:

right hand and left hand. Left-hand attack is termed "ligado technique." Right-hand attack involves two special types of attack in addition to the ordinary manner of using either apoyando (rest-stroke) attack or tirando (free-stroke) attack. The two special types of right-hand attacks are termed "rastreando" (dragging) and "pareando" (paired or pairing). A very large number of different musical results is obtainable through variation of the attack-components of the basic techniques.

Information Related to the Transcription

The student of the guitar who has a good basic understanding of Bach's use of ornaments and who has developed some degree of facility in guitar ornamentation techniques should experiment with various kinds of optional ornamentation. Due in part to the greater technical difficulty than that which confronts keyboard players in the execution of ornaments, the guitarist will find it necessary to work out in advance virtually all of the ornamentation that he wishes to perform. Regarding whether the ornamentation is worked out in advance or improvised, Donington writes the following.

> It really does not matter how much or little, if at all, the performer is making up the ornamental figuration as he goes along. It only matters that he shall sound as though he is.[1]

There are two basic categories of ornamentation in Baroque

---

[1] Robert Donington, A Performer's Guide to Baroque Music (New York: Charles Scribner's Sons, 1973), p. 177.

music. Donington distinguishes between the two types as

> free ornamentation, left to the performer to ela-
> borate over musical structures which may be no more
> than outlines; and specific ornaments, some of which
> may, or must, be added, signs or no signs, where the
> context requires.[1]

Chapter III of the study contains the findings of an exten-

sive investigation of the specific ornaments used by Bach.

Various forms of these ornaments may, at the performer's

discretion, be added as melodic embellishments in a manner

similar to that which Donington terms "free ornamentation."

A thorough understanding of the information that is presented

in Chapter III will enable the guitarist to employ the speci-

fic ornaments in both types of ornamental contexts (free

ornamentation and specific ornamental contexts) with some

degree of confidence and authenticity.

The question of how much free ornamentation should be

added to the repeats of the sections of the binary movements

is not answerable in so many words. In the following quota-

tion, Tureck warns against excessive embellishment.

> At present, in the latter part of our century, the
> informed performer (still too rare) is frequently
> seduced with the luxury of embellished additions.
> The result is again unbalanced. Roulades of divi-
> sions are added, in repeats of variations, to a
> first playing which is often left bare. Thus we
> have an empty and sterile skeletal performance
> followed by the opposite extreme in the repeated
> section, where the music is choked with a honey-
> suckle growth of divisions. This lack of balance
> demonstrates the lamentable fact that historically

---

[1]Ibid., p. 29.

correct devices are often applied unstylistically.[1]
From the above quotation, one may deduce that the first per-

formance of a section should contain some ornamentation, and

that the repetition of the section should contain more--but

not too much more. This is a good general rule to follow and

is in keeping with the modern view of Baroque performance

practice. Although both the performance practice of the

period and the structure and style of the type of composition

being discussed differ from the performance practice and

binary mov⋯   time, the following admoni-

tions⋯   ⋯ring--his era is much

cl⋯

⋯able, being

⋯nd of mine takes

⋯itten, purely

⋯performance.

? Another,

⋯ under bold

⋯he notes as

⋯ds him above

⋯very detail

⋯ariation is

⋯struction of

⋯ . . . that

audience. And

⋯s arise! No longer

⋯ie first part of

by the present

⋯rávos would be

⋯ely variations are

the affect, and the

⋯ideas--an unpleasant matter

fo⋯   Is not the most important

---

[1]Rosalyn Tureck, in "Foreword" to Putnam Aldrich,
Ornamentation in J.S. Bach's Organ Works (New York: Da Capo
Press, 1978, reprint of 1950 ed.), n.p.

correct devices are often applied unstylistically.[1]
From the above quotation, one may deduce that the first per-
formance of a section should contain some ornamentation, and
that the repetition of the section should contain more--but
not too much more. This is a good general rule to follow and
is in keeping with the modern view of Baroque performance
practice. Although both the performance practice of the
period and the structure and style of the type of composition
being discussed differ from the performance practice and
binary movements of his father's time, the following admoni-
tions by C.P.E. Bach are worth considering--his era is much
closer to the Baroque than is our own.

> Today varied reprises are indispensable, being
> expected of every performer. A friend of mine takes
> every last pain to play pieces as written, purely
> and in accord with the rules of good performance.
> Can applause be rightfully denied him? Another,
> often driven by necessity, often hides under bold
> variations, his inability to express the notes as
> written. Nevertheless, the public holds him above
> the former. Performers want to vary every detail
> without stopping to ask whether such variation is
> permitted by their ability and the construction of
> the piece.
>   Often it is simply the varying . . . that
> elicits the loudest acclaim from the audience. And
> what abuses of these two refinements arise! No longer
> is there patience enough to play the first part of
> the piece as written [underlining by the present
> writer]; the long delay of the Bravos would be
> unendurable. Often these untimely variations are
> contrary to the construction, the affect, and the
> inner relationship of the ideas--an unpleasant matter
> for many composers. . . Is not the most important

---

[1]Rosalyn Tureck, in "Foreword" to Putnam Aldrich,
Ornamentation in J.S. Bach's Organ Works (New York: Da Capo
Press, 1978, reprint of 1950 ed.), n.p.

consideration in varying, that the performer do honor
to the piece? Must not the ideas that he introduces
into the repetition be as good as the original ones?
Yet, regardless of these difficulties and abuses,
good variation retains its value.[1]

Is it possible that the underlined portion of the above

quotation means that in former times, perhaps the generation

of J.S. Bach, there was "patience enough to play the first

part of the piece as written?"

The amount of ornamentation in both the first playing

and the repeated section is a matter that each performer must

decide for himself. Modern writers advise the performer to

avoid excessive ornamental elaboration and to study exemplary

compositions. Emery writes the following:

the addition of ornaments, in the full meaning of the
words, is a matter that must be gone about even more
cautiously than substitution, and only by experienced
players who are thoroughly well acquainted with Bach's
habits.[2]

Donington's advice is less restrictive:

performers can use their own judgment as to the
amount and character of their ornamental figuration,
so long as (i) they do enough to serve its necessary
function; (ii) they keep within the bounds of discre-
tion and the boundaries of style.
     It is far better to be on the short side than
on the long side.[3]

---

[1]C.P.E. Bach, "Foreword" to Sonatas with Varied
Reprises (1760), quoted in C.P.E. Bach, Essay on the True
Art of Playing Keyboard Instruments, trans. W.J. Mitchell
(W.W. Norton and Company, Inc., 1949), p. 166.

[2]Walter Emery, Bach's Ornaments (London: Novello,
1975, reprint of 1953 ed.), p. 112.

[3]Donington, op. cit., p. 170.

To develop a substantially authentic approach to ornamental

elaboration, Donington suggests that performers should study

"surviving specimens on which to model our attempts."[1]

The guitarist can learn much about the stylistic

probabilities of ornamental elaboration in the music of J.S.

Bach through study of such works as the English Suites, the

French Suites, and the keyboard Partitas. The Sarabandes of

both the second and third English Suites include written-out

ornamental elaborations that are termed by Bach "Les agréments

de la même Sarabande." Donington states that Bach's reason

for including the written-out ornamental elaborations is "to

help us ornament the repeats."[2] Bodky writes the following.

> The "agréments de la même Sarabande" should
> be played substituting for the repeat of the
> Sarabande and not as a "second Sarabande" after the
> first. That this was the historical method is
> proved by Chambonnieres' Sarabande "O beau jardin"
> . . . where the last measure of each part of the
> Sarabande is printed at the beginning of the Double.
> That "harmony-filling" notes have to be added to
> the upper part of the agréments goes without saying.[3]

The second Courante of "English Suite I" is followed by

Double I and Double II, both of which may be instructive in

the study of Bach's ornamental elaboration. The guitarist who

familiarizes himself with the characteristic melodic configur-

ations that are encountered in Bach's keyboard works should

---

[1]Ibid.

[2]Donington, op. cit., p. 247.

[3]Erwin Bodky, The Interpretation of Bach's Keyboard
Works (Cambridge: Harvard University Press, 1960), p. 303.

be able to create "variations" that are stylistically appro-

priate.

Many varying viewpoints concerning the correct tempo

for performance of Bach's music are encountered. Some writers

believe that there is no such thing as a correct tempo. Emery

writes the following.

> There is no absolutely right tempo for any
> piece; there are many right tempi, each valid for a
> certain performer, on a certain day, in a certain
> building. Similarly, there are no absolutely right
> schemes of ornamentation; but many schemes, each
> valid in certain circumstances. The player should
> put aside all ideas of absolute rightness, and aim
> instead at an attainable goal--a consistent personal
> style of ornamentation that will serve, like his
> phrasing and tempi, to distinguish his Bach-playing
> from other people's.[1]

Bodky[2] includes a Tempo Table wherein the suggested tempos

given by Lanshoff, Czerny, Keller, Bischoff, Kirkpatrick, and

Bodky reveal a great divergence of opinion: for the Allemande

of "French Suite I," the suggested tempos range from sixty to

eighty beats per minute for a quarter-note pulse; for the

Courante (in 3/2 time) of the same Suite, the suggested

tempos range from 152 to 168 for the quarter-note subdivision

of the pulse; for the Sarabande (in 3/2 time) of "English

Suite VI," the suggested tempos range from fifty-four to

sixty-three for the half-note pulse. Such diversity of

opinion reinforces the validity of Emery's statement: "there

is no absolutely right tempo for any piece."

---

[1] Emery, op. cit., p. 10.

[2] Bodky, op. cit., pp. 345-73.

Despite the non-existence of a correct tempo, sug-
gested ranges for the tempo of each movement are included in
the present transcription. If, for example, a tempo range
of 72-84 is given for the quarter-note pulse, the meaning is
that any of several tempos ranging from a metronomic rate of
seventy-two beats per minute to eighty-four beats per minute
are acceptable basic pulse rates for the tempo of the movement.
The tempo that is selected, however, is meant to remain rela-
tively stable in performance. Only subtle variation in, or
deviation from, the basic temporal regularity is believed by
the writer to be stylistically appropriate.

Such topics as "overdotting," "notes inegales," and
the "French style" are not included in the detailed discus-
sions of the rationale for solutions to the problems of
transcription and performance. The controversy among noted
authorities regarding these topics has remained unresolved
for a number of years. Both sides lack convincing evidence
to support their biases.[1] The performer must decide for
himself whether or not these specific aspects of French per-
formance practice are applicable to the music of Bach. If
the performer wishes to employ "notes inegales" in the
Courante and "overdotting" in the Passaggio, the Courante, and
the Sarabande, he should do so: the controversy regarding

---

[1]Articles pertaining to these topics by Collins,
Donington, Neumann, and O'Donnell are listed in the Biblio-
graphy of this study.

these aspects of performance practice does not prohibit using them.

Right-hand fingerings, for the most part, are not included in the transcription for the following reasons: (1) right-hand fingerings are largely a matter of personal preference, and, because of this fact, many of the fingering combinations that are preferred by one performer will be less facile than other fingerings for another performer, especially combinations that involve the annular-finger; (2) for most passages there are quite a few good right-hand fingerings; and (3) to allow the performer to formulate logical right-hand fingerings for himself.

The beautiful tone that is appropriate for the music of more recent periods is less similar to the sound of a harpsichord than to the sound of a piano. Although perfor-mance of Bach's music is acceptable, satisfactory, and may be quite admirable on the modern piano (depending more upon the performer than the instrument), the Baroque "sound-concept" is much more faithfully rendered on the harpsichord.[1] The performer should bear this in mind and seek to produce a timbre whose clarity and brightness approximates that of the harpsichord. This does not mean that dynamic nuance should be be avoided. One may be confident that sensitive performers in all eras, the instrument permitting, have employed dynamic shading in performance whether or not it was notated.

------

[1]Donington, op. cit., pp. 37-39.

The inclusion of more notes of the original than are found in other transcriptions of the Suite in E minor, along with the fact that the layouts employed in the present transcription are most often based on a desired musical result rather than technical ease, makes this transcription extremely difficult to perform: more difficult than the published transcriptions. Because of the degree of difficulty, many guitarists may not be able to achieve the necessary technical precision that is required for a satisfactory performance. If such is the case, it may be necessary to either simplify some of the fingerings, delete some of the notes, or both. Although minimal alterations of the original distort Bach's compositional content and mar the beauty of the Suite in E minor, such alterations do not render the work unworthy of performance.

Praeludio

There are many possible interpretations of the figural structure of the introductory measures of the Passaggio. There are a number of "characteristic intervals" which, by virtue of statistical tabulation, could be cited as the "most important" of the figural components. It is not, however, the figural components that are the essence of this section of the Passaggio, but rather, it is the expressive effect of the repetitive concatenation of the figural components into a meandering, but not aimless melodic unity that is the quintessential aspect with which both the transcriber and the performer must be concerned.

Ex. 1.1: Passaggio, mm. 1-5

The overall melodic contour of the introductory measures of the Passaggio is a gradual descent from the dominant-note-b (of the key of E-minor) to the tonic-note-e in m. 5. This melodic structure may be viewed as being comprised of statements having varying lengths (shown by brackets in Ex. 1.1). In each of the first four statements, the

descending motion is checked or balanced to an extent by a
stepwise ascending three-note figure. The release of energy
that is effected by the falling line is intensified through
restraint as the rising line stores up energy preparatory to
the subsequent descent (as an analogous visual image, one may
picture the gentle descent curves of a paper airplane), or,
to put it another way, the buildup of directional energy
created by the descending motion is partially absorbed by
the ascending figures wherein greater energy is required to
overcome the downward motion.

The initial six-note statement is balanced and may
seem to hang momentarily suspended before the subsequent
melodic activity carries on in its descent curves. Only in
the initial statement and its octave-transposed repetition
in m. 4 does the ascending figure climb to the level from
which the statement began.

The second statement is an eight-note entity (f♯-g-
d♯-e-b-c-d-e). The greater interval of descent of the melodic
contour is somewhat counterbalanced by creating a longer
ascending line (b-c-d-e) through the approach from below to
the ascending three-note figure.

The third statement is an imitation of the second
statement at the interval of a fifth. Melodic contrast is
achieved through the minor-mode of the ascending figure
"f♯-g-a," as compared to the major-mode of the ascending
figure "c-d-e" of the second statement.

The fourth statement differs considerably from the
preceding statements in that it contains successive ascending

intervals both near the beginning of the statement, and with a different relationship to the beat, as part of a four-note figure (c#-d#-e-d#). The destination-note-d-sharp of the four-note figure has a strong tendency to divide the twelve-note statement into two six-note halves. The interpretation of the subdivision of the twelve-note statement may be supported by the following two considerations: (1) implied polyphony, i.e., that the first six notes are in one voice and the second six notes are in another voice, and (2) the six-note structure (e-f#-c#-d#-e-d#) is comprised of a two-note figure and a four-note figure, and is of the same rhythmic/melodic configuration as that of a similar six-note structure (d-e-f#-b-c-d-c) appearing in the fourth measure of the Allemande. Either interpretation is satisfactory (as a twelve-note statement or as two six-note statements) provided the d-sharp does not receive durational emphasis and disrupt the forward motion of the melody.

The fifth statement provides yet greater melodic contrast through both the ascending motion at the beginning of the statement, and the subsequent descending four-note figure (g-f#-e-d#), neither of which have appeared previously. Although the first six notes of the statement should be performed as if they are driving toward the destination-note-e on the third beat of the measure, the figural construction of the fourteen-note statement may be viewed as consisting of a two-note figure followed by three four-note figures.

The sixth statement functions rather like a codetta to the preceding melodic activity, and leads to the

point of repose on the tonic-note-e.

The rising inflection of the ascending figure at the end of each of the first four statements may be felt to convey a questioning quality, as if the beginning of the suite were comprised of four important questions. Whether or not such was Bach's intent, depicting the first four statements as questions is a useful analogy and may assist in a more effective performance of the expressive content.

The avoidance of articulatory combinations that conflict with the rhythmic structure of the music is especially important at the beginning of the Passaggio (and similar prebeat openings), but is still important after the rhythmic structure has been initially expressed. The expressive effect of the music is both bound up with, and largely dependent upon, the rhythmic structure. Anything that conflicts with a clear rendition of the rhythmic structure damages the musical expression and should be avoided. Legato connection of a note on a weaker portion of the beat to a note on a stronger portion of the beat is to be avoided unless such legato connection is both preceded and followed by legato connections (with equivalent dynamic levels understood). If, for example, the first two notes "b-f♯" were played with legato connection, the next pair "f♯-a" were played with non-legato connection, and so on, as indicated by the slurs in Ex. 1:2a, the tendency of the durational differentiation would be to create an erroneous impression of the rhythmic structure (shown in Ex. 1:2b) because of the greater temporal emphases of the longer durations in relation to the lesser temporal emphases

of the shorter durations.

Ex. 1.2: Passaggio, m. 1

       a. Improper articulation   b. Erroneous impression

Two vastly different layouts of the notes of the
introductory measures of the Passaggio are included. Each
layout provides a different solution to the problems of arti-
culation encountered both in the music itself and in the
transcription of the music for the guitar. The principal
difference between the two versions is that version-1 is
structured in accordance with the view that the standard arti-
culation of unmarked (no slurs, staccato dots, etc.) passages
in Bach's music is intended to be non-legato, whereas the
layout of version-2 is structured to provide legato connec-
tions between certain notes in similar melodic settings in
accordance with the somewhat contrasting view that the per-
former of the early eighteenth century was expected to
articulate the music as he saw fit, and that occasional
legato articulation in such passages is not only permissible,
it is desirable.

Version-1 provides a same-string layout (which pro-
duces non-legato articulation) of all scalar figures except
the one at the beginning of the third measure. A same-string
layout of the notes "f#-g-a-b-f#" on the sixth-string is
not used because of the likelihood of string-noise that

198

would be produced in the execution of the layout. Many of
the descending leaps are also taken in a same-string layout.
With the exception of the previously mentioned location in
m. 3, all string-changes occur on motion by leap rather
than on motion by step.

Ex. 1.3: Passaggio, Version-1, mm. 1-5

Because of both the added gracefulness of the occa-
sional legato articulations, and the more convenient technical
processes (less difficult and better feeling), version-2 is
the preferred layout of the introductory measures of the
Passaggio. Only version-2 is included in the following
beat-by-beat discussion because it is the preferred version,
and because the rationale for the layout of version-1 has
been discussed above.

Reference numbers are employed in the following dis-
cussion of the rationale for solutions to the problems of
transcription and performance of the Passaggio to indicate

the measure and beat of the musical material to be discussed,
e.g., the number "1:1" at the left margin means "measure-1,
beat-1." The musical examples (the transcription and the NBA
version) are placed before the beat-by-beat discussions and
are numbered and identified.

Ex. 1.4: Passaggio, m. 1

1:1   The indicated adjacent-string layout allows perfor-
mance of the desired legato articulations. Legato articula-
tion is appropriate because its flowing, reflective quality
better suits the character of the melody than the lighter and
less pensive quality of non-legato articulation.

1:2   The layout of the ascending figure "g-a-b" establishes
the pattern for articulation of subsequent ascending figures:
the first two notes are taken on adjacent strings and the
connection between second and third notes is played as legato
as possible on the same string.

        The first note (f♯) of the second statement is taken
on the second-string for the following two reasons: (1) the
distance of the descending leap on the same string is less
technically facile, and (2) the non-legato connection between

the end of statement-1 and the beginning of statement-2
that would be caused by taking the two notes "b-f♯" on the
same string is musically undesirable.

1:3   The two two-note figures "f♯-g" and "d♯-e" are taken
on the second-string primarily for the purpose of arriving
at a position on the fingerboard that allows the desired
articulation of the ascending figure on beat-4 while main-
taining a higher degree of timbral consistency through
avoiding the use of the wound strings. With a different
layout of the notes of beat-3, the beat-4 c-note and the
b-note that precedes it could both be taken on the fourth-
string; but they are not, because the different timbre of the
wound fourth-string would cause a lesser degree of timbral
consistency between the first two notes (c-d) of the ascend-
ing figure than that which is obtained with the indicated
layout.

1:4   The indicated layout accomplishes the desired arti-
culation of the ascending figure "c-d-e": the first two
notes are taken on adjacent strings, the second and third
notes are played as legato as possible on the same string.

        The third-string-b is used for the first note of the
third statement to avoid three undesirable consequences of
taking the b-note on the second-string: (1) the different
timbre of the open-string-b, (2) the articulatory separation
of the second and third statements, and (3) the shortening
of the peak-note-e of the ascending figure.

Ex. 1.5: Passaggio, m. 2
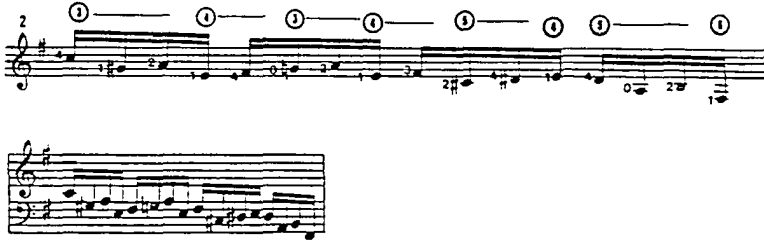
2:1   Another reason that the b-note (in m. 1) is taken on
the third-string is to provide the same notes-per-string lay-
out for the two two-note figures "b-c" and "g#-a" as was
employed for the similar beginning of the second statement.

        Although it is a technical necessity in this case,
the adjacent-string layout of the descending-fourth interval
"a-e" provides articulatory consistency with previous layouts.

2:2   The indicated layout accomplishes the desired arti-
culation of the ascending figure "f#-g-a":   the first two
notes are taken on adjacent strings, the second and third
notes are played as legato as possible on the same string.

2:3   Taking the first two notes (e-f#) of the fourth state-
ment on the fourth-string is a technical necessity. The use of
finger-3 on the f-sharp facilitates taking both the subse-
quent c-sharp and d-sharp on the fifth-string. In many pub-
lished transcriptions the f-sharp is taken by finger-4, the
c-sharp is taken by finger-3, and the d-sharp is taken on
the fourth-string by finger-1. Taking the c-sharp and the
d-sharp on adjacent strings is not desirable because the
resulting articulation is a legato connection of a note on a

weaker portion of the beat to a note on a stronger portion of
the beat and is followed by a non-legato connection of a note
on a stronger portion of the beat to a note on a weaker por-
tion of the beat (d#-e on string-4).

The indicated layout facilitates the desired articu-
lation: non-legato connection of weaker to stronger (c#-d#),
legato connection of stronger to weaker (d#-e).

Although the different timbre of the fourth-string-e
is noticeable, the layout is musically advantageous because
in this case articulation is a higher priority than timbre.

2:4   The d-sharp is taken on the fifth-string so that it
will have the same timbre as the d-sharp of beat-3. Also,
if the d-sharp were taken on the fourth-string there would be
a strong likelihood that string-noise would be produced by
the successive use of finger-1.

The layout of the remainder of the notes of beat-4
is technically convenient.

Ex. 1.6: Passaggio, m. 3

3:1   The indicated layout accomplishes the desired articu-
lation of the ascending figure "g-a-b": the first two notes

are taken on adjacent strings, the second and third notes are played as legato as possible on the same string.

The sixth-string-g is taken with finger-3 rather than finger-2 so that the hand may remain in the contracted transversal position necessary for taking the fifth-string-b with finger-2 and the sixth-string-f-sharp with finger-1.

3:2   The use of finger-3 on the sixth-string-g avoids having to remove finger-2 from the sixth-string-g to take the fourth-string-e.

The layout of the remainder of the notes of beat-2 is technically convenient.

3:3   The fourth-string-e could be taken with finger-1 (as it is in some published transcriptions) if one wished to take the subsequent g-note on the fourth-string. While there is only one reason--timbral consistency--for taking the g-note on the fourth-string, there are several reasons for not doing so. The reasons for not taking the g-note on the fourth-string will be discussed following the explanation of the necessity of transposing the notes of the original.

Because the low d-sharp of beat-4 in the original is beyond the range of the guitar, the transcriber is faced with the necessity of either transposing the d-sharp up an octave, substituting another note for it, transposing the four-note figure "g-f#-e-d#" up an octave, or transposing all of the notes from the g-note of 3:3 to the g-note of 4:1 up an octave. There are two reasons for selecting the octave transposition of the four-note figure: (1) the figural integrity of the original is preserved (better than by either transposing

only the d-sharp or substituting another note for it), and

(2) the registral (f-sharp of 3:4 to g of 4:1) and intervallic

(between g and b of 4:1) aspects of the original are more

literally rendered than by also transposing the notes follow-

ing the four-note figure up an octave.

The first note of the four-note figure is not taken

on the fourth-string for the following reasons: (1) both

the expressive effect of the downward leap of a major-sixth

and the implication of a different voice part--implied by

the intervallic distance between the figures--are lost

because of octave transposition, but the different timbre of

the third-string-g compensates to a certain extent for the

losses caused by the octave transposition, (2) the connection

between the e-note and the g-note would be non-legato if the

g-note were taken on the fourth-string, and (3) taking the

g-note on the fourth-string would require successive use of

the same finger on a wound-string (probable string-noise).

3:4   It is interesting that the four-note figure "f#-b-a-g"

at the end of the fifth statement is the retrograde of the

notes of 1:2 (and 4:2).

The rationale for the register of the notes is dis-

cussed above, and, based on that rationale, the layout of

the notes is technically convenient.

Ex. 1.7: Passaggio, m. 4

The first signified ornament appears in m. 4. In the
transcription, the symbol for the ornament is replaced by an
abbreviation because the ornament is written out. This pro-
cedure is used throughout the Passaggio. Some of the
ornaments are optional, and some are signified. The abbre-
viations that are used indicate, in addition to whether the
ornament is optional or signified, the kind of ornament that
is written out, e.g., "o.t." means "optional trill," "s.t."
means "signified trill," "o.p." means "optional préoccupa-
tion," "o.a." means "optional appoggiatura," and "s.m."
means "signified mordent."

4:1-2 It would be satisfactory to have the octave-transposed
repetition of the first statement employ the same notes-per-
string layout as the first statement, but the indicated
layout is better as is explained in the following discussion.

The signified trill at 4:4 is approached by step from
below. As mentioned in Chapter III of the study in conjunction
with the trill, such a context is described by Muffat as
"harsh" unless a préoccupation is added to "soften" the
undesirable leap of a third from the note preceding the

trilled note to the upper neighbor on which the trill begins.
Adding the preoccupation (the thirty-second-note-b of 4:3)
produces a melodic configuration that is rhythmically identi-
cal with the imitation-with-variation that is found in m. 8.
Based on the similarity of the melodies of m. 4 and m. 8, the
slurring of the original in m. 8 is added to the transcrip-
tion in m. 4. The added slurs in m. 4 produce an articulatory
variant of the first statement. The melody of m. 9 then
becomes a variant of the melody of m. 4 based on pitch-content.
The aesthetic effect of such interpretive subtlety is indes-
cribable, but significant when at m. 10 the relationship of
m. 1, m. 4, and m. 9 have been expressed, felt, and understood.
The Janus-like role of the melody in m. 4 is enhanced by the
addition of the slurs and the preoccupation.

Both the expressive effect of the variation of articu-
lation and the degree of contrast between the non-slurred and
slurred figures will benefit from non-legato articulation of
the three-note figure "b-f#-a."

Adjacent-string layout of the four-note figure
"g-a-b-f#" makes possible the desired legato articulation.
4:3   Taking the first note of this figure on the same
string as the last note of the preceding figure facilitates
the desired non-legato connection of the two figures.

Adjacent-string layout makes possible the desired
legato articulation.

The rationale for the added-note-b (the preoccupation)
has been discussed above at 4:1-2.

4:4   The signified trill is realized with a cross-string
rendition of a <u>Pralltriller</u> in thirty-second-note rhythm in
accordance with Quantz' recommendation that the repercussions
of trills in a lower register should be slower than the reper-
cussions of trills in a higher register; however, a trill
in thirty-second-note-triplet rhythm would sound equally
appropriate (as a <u>double</u> <u>cadence</u> <u>à</u> <u>progression</u>).

The <u>Pralltriller</u> is used both because of its appoggia-
tura function and because it provides the trill with a <u>point</u>
<u>d'arrêt</u> that allows the b-note to be reiterated (more reper-
cussions would encompass the written sixteenth-note-b). An
equally satisfactory rendition would be to transform the
trill into a <u>tremblement</u> <u>aspiré</u> by substituting a sixteenth-
rest for the tied sixteenth-note-b.

The addition of the <u>préoccupation</u> to the figure that
precedes the trill creates in conjunction with the trill a
composite ornament that Aldrich would term a <u>double</u> <u>cadence</u>,
and Neumann would term an anticipated slide-trill.

Ex. 1.8: Passaggio, m. 5

5:1   Many performers give considerably greater time to
both the duration of the eighth-note and the rests that inter-
vene between the e-note and subsequent notes, but to do so
alters the temporal structure and its expressive effect. Only
a very slight stretching of the underlying pulse is appro-
priate.

5:2   The indicated layout of the descending tirata has no
successive notes on the same string, the purpose of which is
to allow a slight overlap of successive tones for a more-than-
legato articulation to contrast with the previous legato and
non-legato articulations of notes over which no slur is
written in the original.

5:3   It is not possible to play all four notes of the
E-minor chord of the original on the guitar. It is possible
to play the root, fifth, and octave-root with a different
layout of the descending tirata, but the inclusion of the
fifth between the octave-e-notes is less expressively impor-
tant than the articulation of the descending tirata, and,
because of this, the fifth is omitted in favor of the indi-
cated layout of the descending tirata.

        An optional appoggiatura from below is added both
because of its ornamental appropriateness as an expressive
device and because the added "spice" of the dissonance com-
pensates somewhat for the loss of harmonic fullness.

        The second e-note of the realization of the signi-
fied mordent is plucked rather than being sounded with ligado
technique because of the desired rapidity and brilliance of
the ornament, e.g., if the second e-note were sounded with

ligado technique, finger-4 would produce a sound neither as
bright nor as loud as a plucked attack; to obtain a satisfac-
tory degree of loudness from the impact of the hammering-on
motion (of finger-4) would require a distance of finger-travel
that would not be conducive to the execution of the ornament
with the desired rapidity of repercussion.

5:4   The context of the signified trill is an example of
Bach's manner of notating the _tremblement lié_ variant in which
the upper-note _appuy_ of the trill is written in regular nota-
tion and the alternation takes place between the notated
appuy and the notated _point d'arrêt_.

Ex. 1.9: Passaggio, m. 6

6:1   The signified trill is realized with a slightly-
supported-appoggiatura-trill in a form similar to that of the
preceding trill, but having onbeat rather than interbeat
placement of the _appuy_, thereby obtaining ornamental consis-
tency through the similarity of configuration of the two
trills, and ornamental variety through the differing rhythmic
placement of the two trills.

6:2   A standard fingering is used.

6:3   A standard fingering is used.

6:4   Adjacent string layout makes possible the desired

legato articulation suggested by the slur in the original.

Ex. 1.10:   Passaggio, m. 7

7:1   Taking the c-sharp on the same string as the preceding

third-string-d facilitates the desired (notated by separated

slurs) break (non-legato articulation) between the two figures.

Adjacent-string layout provides for the desired legato arti-

culation.   The second-string-d is used for both d-notes of

the figure--even though the non-legato connection of this

figure with the subsequent figure is not facilitated--in

order to have timbral consistency on two notes of the same

pitch (d-notes) in close temporal proximity.   The notated

separation of the d-note from the subsequent c-sharp (of the

next figure) must be accomplished by either right-hand or

left-hand damping.

7:2   Again, adjacent-string layout of the notes makes

possible the desired legato articulation.

7:3   An optional trill is added because of the similarity

of this context with that of the signified trill of m. 6.

A trill of the same type and rhythm as the trill of m. 6 is used because of the similarity of context and the desire to establish an expectancy that the subsequent trill in m. 9 will be of the same type. The expressive effect of variation of the expected phenomena--the trill--will be accomplished when the optional trill of m. 9 is of a different type and rhythm.

7:4   Because the lower-voice-d of the B-minor chord on the first beat of the next measure is not available on the guitar, the transcriber is faced with the choice between two options: (1) have the lower-voice-e of the F-sharp dominant-seventh chord resolve by an upward leap of the interval of a seventh, or (2) omit the chordal-fifth and transpose the bass-line up an octave to have the bass-line resolve by a downward step as in the original. Because of the importance of proper voice leading, the latter solution is selected even though there is a drastic loss of textural fullness; also, the re-voicing of the chords in this measure matches the unavoidable re-voicing of the similar chords of m. 9.

Ex. 1.11: Passaggio, m. 8

8:1   The rationale for alteration of the B-minor chord is
discussed above.

The indicated layout of the B-minor triad (rather than
taking the upper-voice-b on the open second-string and taking
the lower-voice-d with finger-3) is used for the following
reasons: (1) to provide timbral consistency between the
third-string-a-sharp and the third-string-b, (2) to permit
the same fingers of the right hand to attack the notes on
the same strings as the notes of the previous F-sharp-
dominant-seventh chord after having damped those strings for
the purpose of staccato articulation of the sixteenth-note
chord, and (3) to provide a setting of technical processes
similar to that employed in the subsequent (m. 9) resolution
of the E-dominant-seventh chord to the A-minor triad. The
technical processes involve lifting the left-hand fingers
from the strings perpendicularly to avoid string-noise while
the right-hand fingers simultaneously damp the strings to
prevent audible vibrations of the open strings that would be
caused by the rapid removal of the left-hand fingers from the
strings, followed by finger-2 moving to a location one fret
higher on the adjacent string to take the chordal-third of the
minor triad as finger-1 takes both the chordal-fifth and root
with a partial-bar.

8:2   The notes of the imitation of the opening figure are
taken on adjacent strings for ease of fingering, but should
be played with non-legato (or half-length staccato) articu-
lation to contrast the legato articulation (notated by slurs)
of the subsequent figures.

8:3   Adjacent-string layout provides for the desired legato
articulation suggested by the slur in the original.

8:4   Taking the first note of this figure on the same string
as the last note of the preceding figure provides the desired
separation of the two figures. Adjacent-string layout of the
figure provides for the desired legato articulation.

Ex. 1.12: Passaggio, m. 9

9:1   An optional trill in the form of a supported main-
note trill is used for the following reasons: (1) the
melodic/harmonic context is similar to that found in both
m. 6 in which a trill is signified and m. 7 in which an op-
tional trill is added; (2) to provide both ornamental and
melodic variety, (all of the preceding trills are
supported-appoggiatura trills, and the use of a supported-
appoggiatura trill in m. 6 changes the notated downward leap
of a diminished-fifth to a perfect-fourth, but in m. 9 the
use of a main-note trill does not change the downward leap of
a diminished-fifth); and (3) it is technically less difficult
to arrive at the main-note than to arrive at the upper-note
following the execution of the adjacent-string layout of the

preceding slide-figure.

The necessity of quickly releasing the _point_ _d'arrêt_ of the trill to be able to take the notes of the subsequent E-dominant-seventh chord will cause the trill to have the sound of a _tremblement_ _aspiré_.

The indicated layout of the E-dominant-seventh chord is one of two feasible layouts--the other would have a fifth-string-d, a fourth-string-e, and a third-string-g-sharp. The indicated layout involves a less difficult finger-stretch than the alternative layout because of the difference in distance between the frets in lower (frets farther apart) and higher (frets closer together) positions, but the indicated layout involves a more difficult position-change (from the trill to the chord) than the alternative layout (indicated layout, position III to position VI; alternative layout, position III to position I). The indicated layout locates the subsequent A-minor triad in a position that is more convenient (closer) to the position of the layout of the beat-4 descending _tirata_ than the location of the A-minor triad that would follow the alternative layout.

9:2-3   The above discussion covers the rationale for beats 2 and 3.

9:4   As in 5:2, the indicated layout of the descending _tirata_ has no successive notes on the same string (for the same reason).

Ex. 1.13: Passaggio, m. 10

10:1   The realization of the signified mordent uses the lower-neighbor-c rather than the lower-neighbor-c-sharp for the following three reasons: (1) the scalar figure that precedes it is an A-minor scale, (2) use of the c-natural saves the c-sharp for the subsequent A-major chord, and (3) use of the c-sharp would be technically more difficult.

The indicated fingering of the E-dominant-seventh-chord is the only sensible choice.

10:2   Same as the above.

10:3   The signified trill is realized with a ligado rendition of a supported-appoggiatura trill because a cross-string rendition is not technically feasible. More repercussions may be added to the trill if desired, but it may be more effective (than additional repercussions) to slightly delay the arrival of the appoggiatura-d through arpeggiation of the A-major chord (onbeat attack of the bass-note-a).

10:4   Because adjacent-string layout of the first three notes of the ascending tirata is not technically feasible, ligado execution on the fourth-string is employed to provide the desired legato articulation. Adjacent-string layout of

subsequent notes of the _tirata_ provides for the desired
legato articulation.

Ex. 1.14: Passaggio, m. 11

11:1   The indicated layout of the A-minor chord is stan-
dard and warrants no justification; however, it is both
musically and technically advantageous to arpeggiate the
notes of the chord. The musical advantage resides both in
the stylistic appropriateness of arpeggiated chords and in
the expressive effect of a slightly delayed upper-voice-c.
The technical advantage resides in the fact that arpeggiation
of the chord allows additional time for the fingers of both
hands to locate the notes that must be stopped and plucked.
11:2   The indicated layout provides a technically facile
execution of the chords.
11:3   The signified trill is realized as a supported-
appoggiatura trill for the expressive effect of a lengthened
appuy and for the additional time that is allowed by the
lengthened _appuy_ for the right-hand fingers to move from the
strings upon which the chord-tones are plucked to the strings
upon which the trill-tones are plucked. The greater

number of repercussions in this trill than in previous trills
is because of the following considerations: (1) the avail-
ability of cross-string rendition, (2) the quarter-note
duration of the note over which the trill-sign appears,
(3) the added brilliance, and (4) for ornamental variety.
The trill-sign at 10:3 also appears over a quarter-note dura-
tion, but there a cross-string rendition of the trill is not
feasible.

11:4   The indicated layout of the E-minor chord uses the
open-string-e (rather than the second-string-e) to obtain
timbral consistency between the upper-voice-e of the chord
and the preceding open-string-e of the trill.

Taking the inner-voice-b with finger-3 (rather than
using the open-string-b) facilitates damping the b-note along
with the other notes of the chord.

Taking the notes of the descending figure "d-c-b" on
the second-string facilitates non-legato articulation and
provides the technical advantage of having the move to the
subsequent A-dominant-seventh chord occur during the time of
the open-string-b.

Ex. 1.15: Passaggio, m. 12

12:1   Onbeat arpeggiation of the A-dominant-seventh chord
will provide extra time for finger-1 to securely accomplish
the partial-bar on the upper three notes of the chord (finger-1
must travel to the partial-bar after releasing the preceding
second-string-c). No other layout is feasible.

The layout of the thirty-second-notes is a technical
necessity and accomplishes the desired legato articulation.

12:2   The signified trill is realized as a main-note trill
for the following reasons: (1) if an upper-note trill were
used, the downward leap (a-c#) would be followed by an upward
skip (c#-e); every prebeat downward leap in the Passaggio
moves to the subsequent onbeat note by upward step (in m. 13,
each of the downward leaps is followed by a written repeated
b-note that is transformed into an upward step to a c-note
by using an upper-note trill rendition on each of the signi-
fied trills), (2) because of the absence of accompanying
harmony, the onbeat-e would create less harmonic/melodic
tension than the onbeat-d-sharp, (3) the harmonic/melodic
effect of the leading-tone is enhanced by a main-note trill,
but would be weakened by an upper-note trill, and (4) as
discussed above at 4:1-2, a leap of a third is an undesirable
manner in which to approach a trill, but to alter the thirty-
second-note figure of 12:1 by adding a preoccupation is also
undesirable. The main-note trill seems to be the logical
and musically effective solution.

Because the similarly voiced B-dominant-seventh chord
at 11:3 resolves to an E-minor chord at 11:4, the expectation

is created that the A-dominant-seventh chord at 12:1 will resolve to a D-minor chord at 12:2. Instead, a D-sharp-diminished chord is used-- not to modulate from, but to remain in the key of E-minor (chord progression IV7 - vii - i). Onbeat attack of the upper-voice d-sharp (a main-note trill) clarifies the harmonic progression.

The layout of the lower three voices of the D-sharp-diminished chord is a technical necessity.

12:3   In this E-minor chord, the upper-voice-e is taken on the second-string to provide timbral consistency with the reiterated second-string-d-sharp. The temporal proximity of the open-string-e is not as relatively recent to this E-minor chord as that (the temporal proximity) of the open-string-e of the trill at 11:3 is to the E-minor chord at 11:4.

The two inner-voice notes (e and b) are written in the transcription with the durational value of a dotted-eighth-note. The shortened duration is technically necessary because finger-1 must release the inner-voice-e to take the subsequent upper-voice-d. The inner-voice-b could be sustained beyond the duration of a dotted eighth-note, but only for the additional duration of a thirty-second-note because the upper-voice-c is taken on the same string (third-string). Sustaining the lower-voice-g for its full quarter-note duration will approximate the effect of sustaining all three voices.

The indicated layout of the descending melodic line (e-d-c) facilitates sustaining the lower-voice-g and provides convenient technical access to the subsequent trill.

12:4   A supported-appoggiatura trill is used as the reali-
zation of the signified trill for two reasons: (1) the
descending melodic line creates the expectation that the on-
beat note will be a b-note; the appoggiatura delays the
arrival of the expected b-note, (2) the dissonant function
of the appoggiatura is present even though there are no
accompanying chord-tones; this is caused by the remembered
E-minor harmony and by the expectation of a b-note (or a
B-major or B-minor chord) created by the descending melodic
line.   The decision regarding the number of repercussions is
based in part on the duration of the written-note (of the
original) and in part on the desire for ornamental variety--
the next two supported appoggiatura trills on b-notes will
have fewer repercussions.

Ex. 1.16:   Passaggio, m. 13

13:1   The voicing of the B-dominant-seventh chord is
altered in the transcription because the lower-voice-d-sharp
of the original is beyond the range of the guitar.   The inner-
voice-b is omitted, and the lower-voice-d-sharp is transposed
up an octave.

In this case, the durational values of the notes of the original are not altered in the transcription despite the fact that finger-1 must release the inner-voice-a to take the upper-voice-f-sharp. The technical necessity is apparent, and the alteration of the notation would not increase the communicative clarity (In some contexts, Bach does not notate precise durations; e.g., m. 58 of this movement, and m. 9 of the Gigue.).

The layout of the thirty-second-note figure (f#-b) is a matter of technical expediency.

13:2   The signified trill is realized with a supported-appoggiatura trill for its expressive effect. The number of repercussions is determined primarily by the technical need to arrive at the point d'arrêt before the B-major harmony of the lower voices is attacked (only the third and the fifth of the chord, aside from the upper-voice-b, are present in the transcription, as explained at 13:1).

It is likely that Bach's reason for omitting the seventh of the chord was to avoid disguising the melodic line, e.g., if the seventh had been included in the chord, the melody would have seemed to be "b-a-b" rather than "b-b."

13:3   The E-minor chord of the original is altered in the transcription for the following reasons: (1) to preserve the voice-leading of the original, (2) the use of the available low-e and the fuller texture in this and subsequent chords would cause the alteration of the B-minor chord at 14:2 to sound meager by comparison.

The layout of the figure "g-b" is convenient.

13:4   The signified trill is realized with the same kind of
trill as was used at 13:2, and for the same reasons.

The rationale for altering the E-minor chord is the
same as was given at 13:3.

Ex. 1.17: Passaggio, m. 14

14:1   A supported-appoggiatura trill is used for the reali-
zation of the signified trill for reasons similar to those
discussed above regarding previous supported-appoggiatura
trills. The absence of a chord on the anacrusis of the beat
provides opportunity for more repercussions than in the
preceding two trills. Also, the desire for ornamental variety
prevents the use of the same trill structure three times in
succession.

The alteration of the F-sharp-dominant-seventh chord
is necessary to preserve the voice-leading of the original
(as stated in the discussion of 7:4).

14:2   The rationale for the alteration of the voicing of
the B-minor chord is given at 7:4. The quarter-note duration
of the lower voices in the original is written as an eighth-

note duration in the transcription because it is necessary
to release the chord tones to take the notes of the subsequent
passage.

The descending sixty-fourth-note passage employs a
mixture of ligado technique and adjacent-string layout because
of the velocity of the passage and the notated legato
articulation. Ligado technique on the first three notes is
necessary because adjacent-string layout of the notes is not
technically feasible. The indicated layout is conducive to
both rapid execution and legato articulation of the notes of
the passage.

14:3   Taking the first note of the signified mordent on
the second-string (rather than the first-string) provides
the desired non-legato connection between it and the last note
of the preceding sixty-fourth-note passage. The whole-step
lower-neighbor is used in the mordent because of the d-natural
in the subsequent chord.

The ascending melodic figure "g-a-b" is taken on the
third-string to obtain timbral consistency. Use of the open
third-string on the first note facilitates execution of the
three-note chord.

14:4   The A-minor triad is ornamented with an optional
trill. In addition to its ornamental appropriateness in this
context, the trill serves to establish a recurrence-phenomena
relationship with m. 7 of the Sarabande, wherein a similarly-
voiced A-minor triad is ornamented with a written-out turn.
Although the ornaments differ, the expressive similarity,
which is created by the slow tempo, the ornamentation, and

the onbeat sounding of the interval of a major-seventh above
the chordal-third of the A-minor triad, contributes to
reinforce Bach's use of similar musical material throughout
the suite.

The quarter-note duration of the inner-voice-e is
not altered in the transcription even though the duration of
the sound is shortened by taking the subsequent f-sharp on
the same string. The technical necessity is apparent, and
the communicative clarity would not be increased by altera-
tion on the notation.

The layout of the simultaneously sounded f-sharp and
a-notes is a matter of technical expediency.

Ex. 1.18: Passaggio, m. 15

15:1   The lower-voice whole-note-b of the original is altered
in the transcription to successive b-notes attacked on each
quarter-note beat of the measure. Regardless of whether Bach
was thinking in terms of the organ or the harpsichord, the
presence of the lower-voice-b with the changing harmony above
is essential. To avoid distorting both the voice-leading and
the harmonic structure of the original, the guitarist must

re-attack the lower-voice-b as indicated in the transcription.

The tied inner-voice-e of the original is not tied
in the transcription because of the need to re-attack the
e-note after its having been silenced by the prebeat f-sharp
on the fourth-string (just before 15:1).

The indicated layout of the tonic six-four chord is
the only layout that will allow the subsequent simultaneously
sounded d-sharp and f-sharp notes to be attacked during
the sounding-time of the lower-voice-b (most published trans-
criptions omit the f-sharp, but some omit the d-sharp).

15:2   The altered lower-voice-b is written as a dotted
eighth-note because it must be released to take the subse-
quent a-sharp diminished triad. If this lower-voice-b
were written as a quarter-note, there would be an implication
that similarly shortened durations of the other lower-voice-
b-notes were acceptable. An argument could be made in favor
of attacking the lower-voice-b along with the a-sharp dimin-
ished triad rather than allowing the lower-voice-b to be
absent, but the voice-leading of the upper three notes will
be apparent whether or not the lower-voice-b is included with
the a-sharp diminished triad, and the harmonic function of
the b-note will not be significantly altered by either its
inclusion (as a sixteenth-note) or its omission. If the
performer feels that inclusion of the lower-voice-b is better
than leaving it out, he should include it.

15:3   The signified mordent is realized with a rendition
which combines ligado technique and plucking. The third note
of the mordent is plucked--this technique prevents the need

to lift finger-4 to the distance from the string that would
be required to obtain the desired loudness with ligado tech-
nique. The reduction in travel distance facilitates rapid
execution of the mordent.

No other layout of the B-major chord-with-mordent is
as facile as the indicated layout.

15:4   Technical ease is obtained by using the three open-
strings in the layout of the E-minor chord.

The indicated layout of the sixteenth-note E-minor
harmony and upper-voice melody provides convenient access to
the subsequent B-major chord in m. 16.

Presto

The figural structure of the Presto is, or may be
viewed as being, based on the figures of the opening of the
Passaggio. The first four pitches (f♯-b-a-g; the b-note
is repeated) of the Presto are the retrograde of the
pitches found on the second quarter-note beat of the
Passaggio (g-a-b-f♯). The stepwise descent of the eighth-
note figure that occurs on beats 2-3-1 in the Presto mir-
rors (in retrograde) the stepwise ascending three-note
figure that is prominent in the first three measures of the
Passaggio. The figural components of the theme of the
Presto are indicated by brackets in the example below.

Ex. 1.19: Figural Components of the Theme of the Presto

The Presto is constructed almost entirely of the
figural components of the theme. The transcription of the
Presto is based on the desire to preserve the figural
integrity of the components. The guiding principles may be
enumerated as follows: (1) Because of the character of the
piece (vigorous, light, and crisp), legato articulation is
nowhere required. Varying degrees of non-legato articula-
tion, however, will enhance the clarity of both the melodic
and rhythmic structure: the amount of separation between
beat-3 and beat-1 eighth-notes should be greater than the
separation between beat-1 and beat-2 eighth-notes, but the
sounding duration of beat-3 eighth-notes should be either
half-length staccato or slightly longer, up to three-
quarter-length staccato (the performer should experiment
with various degrees of separation between consecutive
notes and discover the articulatory combinations that best
express his conception of the music). (2) The use of the
same string for successive notes of a figure produces less
timbral difference between the notes than is produced by
having successive notes on different strings. The timbral
similarity (or timbral consistency) obtained with a same-
string layout aids in establishing the figural identity.
(3) The use of the same string for successive notes, whether

within or between figures, facilitates the execution of varying degrees of non-legato articulation. In cases where legato articulation is of greater musical importance than timbral consistency, such as the slurred figures of the Passaggio, a same-string layout should be avoided if technical feasibility permits. Conversely, in cases where legato articulation is not necessary and where timbral consistency clarifies the figural structure, same-string layouts should be employed if technical feasibility permits.

Many of the measures of the Presto have the same layouts as those that are found in existing transcriptions. Some of the layouts that differ from the layouts found in published transcriptions are technically more difficult because of one or more of the following reasons: (1) they include all of the notes of the original (in a particular measure), (2) they provide greater timbral consistency on the figural components, (3) they include ornamentation of the cadences in a stylistically authentic rendition, and (4) they reduce the potential for string-noise. The other layouts that differ from those of the published transcriptions are technically less difficult.

In the following discussion of the rationale for solutions to the problems of transcription and performance of the Presto, the format of the presentation differs from both the preceding discussions and the following movements of the Suite in E-minor. The discussions are not structured on a measure-by-measure basis: this is due in part to the detailed discussions of the other portions,

due in part to the previous presentation of the guiding

principles regarding the rationale for the layouts, and due

in part to the desire to provide the student with an oppor-

tunity to investigate and either substantiate or refute

the claims regarding the present transcription in a somewhat

"discovery oriented" setting (by not providing all the

"answers"). Instead, the discussions of particular measures

are limited to measures in which differences from the NBA

version are encountered. Reference numbers are not used

because the musical examples are identified and are placed

before the discussions of their contents.

Ex. 1.20: Presto, mm. 16-29

In the first fourteen measures of the Presto
(mm. 16-29), no alterations of the original are necessary
in the transcription. The indicated layouts evince the
application of the previously-stated principles.

Ex. 1.21: Presto, m 30

In m. 30, the combined limitations of the instrument
and the hand make impossible the execution of the notes of
the original. Either the upper-voice-c-sharp or the f-sharp
on beat-2 must be shortened. Most published transcriptions
take the inner-voice-g-sharp on the fourth-string while
sustaining the upper-voice-c-sharp under a full-bar. Doing
so causes the f-sharp on beat-2, which is taken on the
fourth-string, to be shortened, and, to some degree, detracts
from the figural identity of the mordent-figure due to the
different timbre inserted in the middle of the figure;
additionally, taking the g-sharp on the fourth-string has
a strong tendency to distort the perception of the thematic
material by causing the g-sharp to seem to be an echappée
(escape note) between the f-sharp and the e-note due to the
timbral similarity of the three notes. It is better to take
the mordent-figure on the third-string and the notes of the
theme on the fourth-string. Taking the mordent-figure on
the third-string requires that finger-1 be removed from the
second-string-c-sharp to take the third-string-g-sharp. The
shortened duration of the c-sharp is less detrimental to the

musical effect than would be the results of taking the g-
sharp on the fourth-string because the duration of the
c-sharp is not an essential unit of the figural construction,
and because the harmonic/melodic function of the c-sharp is
fulfilled even with its shortened duration.   An additional
consideration which merits mention is that the listener's
attention is directed toward, or attracted by, the voices
in which the movement occurs; to decrease the clarity of
the moving voices in favor of sustaining the static c-sharp
upon which the attention is not focused is not an expres-
sively effective compromise.

In the indicated layout, the optional trill serves to
ornament the cadence and, through the use of a _tremblement_
aspiré as the trill rendition, to provide a musical basis
for the momentary absence of the upper voice.   The _liaison_
of the trill uses the sixteenth-note-b as an anticipation.

The use of finger-2 as a partial-bar to take both
the fourth-string-e and the sixth-string-f-sharp allows
finger-4 to sustain the fourth-string-f-sharp on beat-2 for
the desired duration.

Ex. 1.22:   Presto, mm. 31-33

In measures 31-33, no alteration of the original is necessary.

Ex. 1.23:   Presto, m. 34

In m. 34, the last note of the measure in the original is beyond the range of the guitar. For the problem of the necessary alteration, two solutions of approximately equivalent acceptability exist.

The solution used in the present transcription transposes the five-note figure "f♯-e-f♯-d-g" up an octave to avoid altering the melodic configuration. Doing so sacrifices both the registral relationships of the original and the clear perception of the upward leap "b-e" at the beginning of m. 35 in favor of preserving the melodic configuration of the thematic material (the upward leap from b to e at the beginning of m. 54 is clear only in the notation).

The other solution (used by Bream and Teuchert) substitutes an a-note for the out-of-range d-note. This solution preserves more of the registral relationships of the original, but alters the melodic configuration of the

234

thematic material (f#-e-f#-d-g becomes f#-e-f#-a-g).

Because each solution alters the original and because neither is clearly better than the other, the performer should decide for himself which he will use.

Ex. 1.24: Presto, mm. 35-46
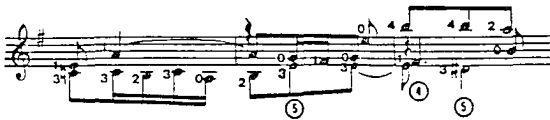
In measures 35-46 there is no alteration of the
original except the above-mentioned g-note of m. 35.

Ex. 1.25: Presto, m. 47

Alteration of the original may for some performers
be necessary in m. 47. If the indicated layout is not tech-
nically feasible (precise execution of the chords on beats 2

and 3 is quite difficult), the inner-voice a-notes should
be omitted.

Ex. 1.26: Presto, mm. 48-52

In measures 48-52 no alteration of the original is
necessary, but the stems and beams are simplified.

Ex. 1.27: Presto, m. 53

Several alterations of the original occur in m. 53.
The low d-note on beat-3 of the original is beyond the range
of the guitar. Octave transposition of the low d-note

brings it to the pitch-level of the inner-voice-d of the
original. The notation of the original is altered in the
transcription (downward stems for inner-voice notes) to
provide space for notation of the upper voice. The cadence
is ornamented with an optional trill in the form of a
Pralltriller with a ligado rendition. Because it is not
technically feasible to sustain the inner-voice-d of the
G-major chord on beat-1 for the duration written in the
original, the inner-voice-d must be re-attacked with the
trill on beat-2. It is not desirable to re-attack the
inner-voice-d on beat-3.

Ex. 1.28: Presto, mm. 54-65
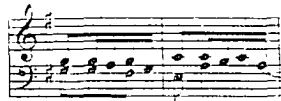
In measures 54-65 no alteration of the original is necessary.

Ex. 1.29: Presto, mm. 66-68

In m. 66 of the original, the inner-voice-b is
written as a quarter-note. In the transcription, the inner-
voice-b is written as an eighth-note and is followed by an
eighth-rest because the upper-voice-d must be taken on the
second-string. The absence of the inner-voice-b on beat-3
produces a distortion of the harmonic content (beat-3
harmony is not perceived as B-minor), but other possible
layouts which would permit the inclusion of the inner-voice-b
would result in greater damage to the musical fabric than
that which results from the absence of the inner-voice-b.

In m. 67 no alteration of the original is necessary.

In m. 68 a situation similar to that of m. 66 occurs.
In this case, finger-1 must release the inner-voice-a to
take the upper-voice-c. The notation reflects the technical
necessity.

Ex. 1.30: Presto, mm. 69-72

In measures 69-72 no alteration of the original is
necessary, but the stemming is simplified for notational

convenience.

Ex. 1.31: Presto, mm. 73-74

The inner-voice-e in m. 73 of the original is written
as a quarter-note. It would be possible to sustain the
inner-voice-e for the duration of a quarter-note by having
finger-1 remain on the fourth-string while finger-2 takes
the lower-voice-b beside it on the fifth-string, but the
subsequent move to the d-sharp would either produce an
offensive squeak or would require shortening the duration
of the inner-voice-e by lifting finger-1 to avoid the squeak.
The indicated layout has finger-2 take both the inner-voice-e
and the lower-voice-b under a partial-bar. Re-attacking
the inner-voice-e on beat-2 transforms the suspension into
an appoggiatura, and produces a better musical result than
would the sustained but shortened inner-voice-e.

A turn is used to ornament the final cadence because
the technical processes involved in the execution of a turn
in this technical context are less complex than those
involved in the execution of a trill. As discussed previous-
ly, the turn and the trill have musical effects which are

equally acceptable.

No alteration of the original is necessary on the final E-major chord in m. 74.

Allemande

      The rhythmic groupings of the Allemande may be
viewed as consisting, for the most part, of two- and four-
note figures. For the purpose of discussion, it will be
helpful to consider each quarter-note-beat in terms of its
sixteenth-note-subdivision (1-2-3-4). In the following numer-
ical representation of the rhythmic groupings of the opening
of the piece through the first note of the second measure,
successive groupings are separated by a semicolon, and
quarter-note beats are indicated by the numeral placed
beneath a numeral of the sixteenth-note-subdivision:
4-1;2-3-4-1;2-3-4-1;2-3-4-1;2-3-4-1. An aesthetic effect of
 1   2   3   4   1
the four-note figure beginning on the second sixteenth-note
is a forward momentum which gravitates toward the next metric
beat, and propels both the music and the listener onward.
The onbeat note is the destination-note of the rhythmic
resolution of this kind of four-note figure. After the
opening two-note figure, the sixteenth-note motion is entirely
in four-note figures until the fourth beat of the second
measure. Beginning at this point, four two-note figures
occur in succession: 1;2-3;4-1;2-3;4-1. It will be noticed
                          4   1   2
that both two- and four-note figures begin on a weaker por-
tion of the beat, and arrive at their destinations on a
stronger portion of the beat. Example 2.1 shows the rhythmic
groupings (bracketed) of mm. 1-5.

Ex. 2.1

In the following discussion pertaining to the ration-
ale for the solution of problems of transcription and
performance of the Allemande, the numerals at the left
margin refer to the measure and beat of the musical material
to be discussed, e.g., the reference number "1:1" means
"measure-1, beat-1." Because the figural components most
often begin after the beat and end on the subsequent beat,
the related discussions encompass corresponding amounts of
musical material, e.g., from the second sixteenth-note of one
beat to the first sixteenth-note of the next. Occasionally
a discussion includes material that precedes and/or includes
the beat-note of its reference number, e.g., the discussion
of 1:1 includes the b-note pick-up and the onbeat b-note.
The musical examples are placed before the beat-by-beat
discussions and are numbered and identified.

Ex. 2.2: Allemande, m. 1

1:1   Because of technical ease, the third string may seem
to be the logical choice for both the b-note pick-up and the
mordent on the first beat of m. 1. Such execution is ade-
quate, but the brilliance of the open b-string, its greater
sustaining capacity, and the added vibrational energy of the
cross-string plucked mordent musically outweigh the reason
for execution on the third string.

Because it is not possible to sustain the lower e-note
of the E-minor arpeggio (the g-note must be played on the
same string), many transcribers eliminate any sustaining of
the chord-tones. A better solution is to sustain as many of
the chord-tones as possible so that the distinction between
chordal arpeggios and linear arpeggios may be clearly defined.

1:2   Taking the first four notes of the descending melodic
line on the second and third strings, two notes per string,
would erroneously establish a two-note (weak-strong; weak-
strong; etc.) figural unit. Two undesirable effects of such
grouping are: (1) the forward momentum is diminished through
a succession of points of rhythmic quasi-repose, and, (2) if
continued, the harmonic result of the rhythmic emphasis is a
G-major triad (e-d-c-b-a-g-). Such may have been Bach's
intention, but it seems more likely that the b-note on the
third beat is intended to imply a passing through the dominant
harmony between the two tonic triads. Thus, the first four
notes should be taken on the second string, with the b-note
serving both as the destination-note of the four-note figure
and as the root of the implied dominant harmony.

1:3   Taking the second four-note figure of the descending
line on the fourth-string would preserve the figural inte-
grity of the grouping, but the drastic timbral contrast
between the second-string and fourth-string would produce too
great a differentiation between the first four-note figure and
the second.   The continuity of the entire descending line
requires an unobtrusive linkage of the two component figures.
The indicated fingering accomplishes this objective with a
gradual rather than sudden change of timbre.   The last note
of the descending line is taken on the fifth-string for three
reasons: (1) to avoid a two-notes-per-string layout, (2) to
facilitate the shift to position IV, and (3) the quarter-note
would have to be released slightly before its full duration
if it were taken on the fourth-string, due to the necessary
change of position.

1:4   The indicated open strings ideally render the sus-
tained chordal arpeggio. The timbre of the open strings aids
in distinguishing the identity of the figure from the onbeat
e-note which precedes it. The fourth note of the figure
(d-sharp) is taken on the second-string in position IV under
a full-bar in preparation for the subsequent B-major chordal
arpeggio. The full-bar rather than a partial-bar is used
here to achieve the silence meant to accompany the d-sharp.

Ex. 2.3: Allemande, m. 2

2:1   Whether or not the 3rd and 5th of the B-major arpeggio
are intended to cease at the second beat of the measure is
uncertain.   The absence of tied notes suggests that such is
the case, but it is possible that the notational form of the
E-minor arpeggio in m. 1 is intended to serve as a model for
the B-major arpeggio in m. 2.   Other evidential items such as
the tied arpeggios in mm. 9 and 10 offer no real clues.   It
is probably better to play the durations as written.

2:2   All of the notes through the first sixteenth of the
third beat of the measure are readily playable and musically
effective in position IV with the use of the full-bar.   The
melodic figure "e-d#-e-f#" will have a slightly non-legato
articulation due to its layout on the second string, but the
linkage of d#-e should not be less legato than the linkage
of e-d#.

2:3   The notes "b-e-g" are taken in the "third-second-first"
(strings) layout to facilitate a legato (but not overlapping)
articulation on the first three notes of this figure in con-
trast to the non-legato articulation of the preceding figure,

and also to avoid two-note groupings, i.e., to preserve the
figural identity of each four-note figure. If the fourth-beat
f-sharp were taken on the second string, its duration would
be shortened because of the c-sharp following it on the same
string--due to the distance of the reach and/or the improb-
ability of a true legato between two plucked notes on the
same string. Because the f-sharp is a destination-note, it
must receive a full sixteenth-note duration. The indicated
fingering provides for the desired musical effect.

Ex. 2.4: Allemande, linkage of mm. 2-3

2:4 & 3:1   The two-note figures "c#-d#" and "a-g" are taken
on the second and third strings, respectively, to facilitate
staccato articulation. Adjacent-string layouts of the two
figures is undesirable because the legato articulation
facilitated by such layouts is less vigorous (or more placid)
and in this case would contribute to the impression that the
g-b-e of m. 3 is merely one more E-minor arpeggio. The com-
ponent pitches of the E-minor arpeggio are obviously present,
but the melodic/textural function of the pitches is intended

to convey more musical meaning than simply outlining the
E-minor triad. Even the notation, which most often clearly
identifies the various voices, is somewhat misleading--
indicating, as it does, that the top-voice-melody resolves
from d-sharp down to g. Such resolution of a leading-tone
is unlikely in the music of Bach. The musical effect (if not
actual, desired) of the structure from m. 2, beat-4 through
m. 3, beat-2 is an implied four-voice texture involving a
kind of hocket. Each of the upper three voices states a
two-note figure in the following order: voice 1, c#-d#;
voice 2, a-g; voice 1, b-e; voice 3, b-e. At one point (m. 3,
4th sixteenth) the four voice texture is actual (rather than
implied), because of the quarter-note g. As has been shown,
the d-sharp of voice 1 resolves not to the g, but to the e
through a kind of "bouncing" up from the b after the momentary
absence (in effect) of this voice from the texture. The
double-stemming of both the d-sharp and the g indicates that
the notes are serving "double-duty" and functioning in two
roles simultaneously--as voice 1 and voice 2. Even if the
manuscript were in Bach's own handwriting, it would not be
certain that the d-sharp was intended to resolve to the g,
because of the possibility that the double-stemming was
merely a notational convenience.

Ex. 2.5: Allemande, m. 3

3:2   The second string is the logical choice for the four-
note figure (b-c-d-c). The d is stopped with finger-4 rather
than finger-3 as a technical convenience because finger-2 is
sustaining the 4th-string-e.

3:3   Here, again, adjacent string layout is employed for
legato connection of the linkage of successive four-note
figures. The notes "b-a-g" are taken on the third string to
avoid a two-note grouping of the four-note figure (b-a-g-f#).
Such grouping would be intimated by taking notes 3 and 4
(g-f#) on the fourth string. The fingering $\frac{1/a}{2/c}$ is used to
provide a contraction-shift to position II--necessary for the
subsequent D-major chord (arpeggiated).

3:4   The fingering of the D-major chord is standard and
needs no comment. Three alternative solutions to the problem
of the out-of-range bass-note-d are considered: (1) omit
the note entirely and give the 4th-beat-d a quarter-note
duration, (2) transpose the note up an octave, but take it
on the fourth-string rather than the fifth-string to achieve

timbral differentiation between the two bass-notes of the same

pitch (a solution selected by several transcribers), or

(3) transpose the note up an octave by simply repeating the

5th-string-d. Solution 1 is rejected both because of the

desire to preserve the rhythm of the original, and because

the eighth-note motion in the bass functions to maintain (to

a greater extent than a quarter-note) the forward momentum--

Bach uses a quarter-note bass at the cadence of m. 17-18 to

announce the end of the piece. Solution 2 is rejected

because taking the d on the fourth string would cause the

quarter-note-f-sharp (which must be sustained on the fourth

string) to be shortened. Solution 3 both allows the f-sharp

to be sustained (producing the indicated three-voice texture)

and achieves the desired eighth-note bass rhythm.

Ex. 2.6: Allemande, m. 4

4:1   Taking the bass-g with finger-2 is necessitated by

its being the only free finger. The second-string-b is the

only location of this note that will allow the ensuing four-

voice texture to be realized. The two-note figure (f#-g)

must be placed on adjacent strings (fourth-third) rather than

the timbrally better placement on the same string (the
fourth) because the eighth-note duration of the g must overlap
the sixteenth-note-d of the next two-note figure (d-e) in
another voice, at which point the intended four-voice texture
is realized.

4:2   Here, again, the notation of the original is mislead-
ing or, at best, ambiguous. A sixteenth-rest indicates that
an upper voice (presumably voice 1) is momentarily absent,
but no simultaneous rest notates the absence of any lower
voice. Because the sixteenth-note-d of beat-1 is overlapped
by the bass (quarter-note-g of beat-1), the notation indicates
that the d and the following five notes with downward stems
are all stated by voice-3. Such is not the case. Only the
e is viewed as following the d in a statement by voice-3.
The four-note figure b-c-d-c is stated by the bass (voice-4)
after its having been absent for the duration of the
missing sixteenth-rest. To aid in preserving the identity
of this figure, all four notes are taken on the fifth-string.
Correspondingly, the notes of the upper-voice figure in
contrary motion are taken on the second string. Ideally,
the e on beat-3 would also be taken on the second string,
but such is not technically feasible.

4:3   The downward stems of the notes within the span of
beat-3 may seem to offer support of the preceding interpre-
tation: if the notes "b-c-d" are here voice-3, then the
preceding four-note figure must be voice-4 and also a contin-
uation of the bass. However, the E-minor chord in m. 1

has downward stems on three notes, and (within the span of
an eighth-note) upward stems on two notes--the momentary
presence of five voices (four of them are static). Bach may
have considered that either of the three lower voices could
periodically function as the bass. This possibility does not
alter the musical effectiveness of the above interpretation,
but does merit mention.

The four-note figure "b-c-d-c" answers the beat-3
figure of the bass . Second-string layout of the figure is
musically and technically logical.

4:4   The notes "b-a-g" are taken on the third string to
construct by means of timbral similarity the forward-driving
four-note rhythmic figure (2-3-4-1). The f-sharp is taken
with finger-4 to remain in position I throughout the four-note
figure. In many instances a change of position during the
time of an open-string note is advisable, but in this case
it is not. A contraction-shift during the time of the f-sharp
is better, because the increased psychological tension
(anxiety?) which may be caused by the change of position
during the time of the open-string-g does not coincide with
the musical tension-flux of the rhythmic figure. The con-
traction-shift-connection of this four-note figure in position
I to the subsequent four-note figure in position II provides
a technical/psychological tension-flux that is "in-phase"
with the tension-flux of the music. The descending one-
octave melodic line comprised of the two four-note figures
may be viewed as an imitation of the E-minor scale of m. 1.

Taking the fourth note of this kind of four-note
figure on a different string is, in this and many other
cases, a matter of instrumental necessity--the fourth note
is below the range of the string on which the first three
notes are taken. There are also instances in which adjacent-
string (or other-string) placement of the fourth note is a
matter of technical necessity--the note is available on the
same string, but would require a change to a technically less
advantageous position. In either case, the loss of figural
identity due to the different-string placement of the fourth
note is less than that which would be suffered with any
other layout. Even so, there are occasions in which both of
the musically superior layouts (either all four notes or the
first three notes on the same string) are abandoned in favor
of technical expediency, as in the following discussion of
beat-1 of m. 5.

Ex. 2.7: Allemande, m. 5

5:1   Taking all four notes of the four-note figure "e-d-c-b"
on the fifth-string would, on the basis of timbral consis-
tency, be the musically superior layout of the figure, but,
in this instance, the technical disadvantages of so doing

appear to warrant abandoning the musically superior layout.

Three technically disadvantageous processes would be caused

by fifth-string placement of the four-note figure: (1) a

shift from position I to position IV, (2) a hand-position

extension (finger-2 on d, finger-1 on c), and/or (3) a

same-finger shift--either finger-4 on e-d, finger-2 on d-c,

or finger-1 on c-b (the same-finger shift would be finger-1

on c-b if the extension "finger-2 on d, finger-1 on c" were

used). The communicative clarity of the four-note figure is

only slightly diminished with an adjacent-string layout, and,

for that reason in conjunction with the technical processes

involved, the indicated layout is based on technical ease and

security rather than figural identity.

The second note (d) of the figure is taken on the

fourth-string rather than the fifth-string. The rationale

for doing so is based more on concern with articulation than

with timbre. Use of the fourth-string-d presents the possi-

bility of an undesirable strikingly different timbre on the

d-note, but careful attack of the d can prevent the unwanted

timbral difference. If the d were taken on the fifth-string,

the adjacent-string layout of the e-d would produce a legato

connection which would be followed by a non-legato connection

of the d-c produced by the same-string layout. In this kind

of four-note figure, the connection between the second and

third notes (in this case, d-c) should not be less legato

than the connection of the first and second notes (in this

case, e-d). To obtain a more legato connection on the d-c

than on the e-d, the d is taken on the fourth-string.

5:2   The indicated open strings are ideally suited for executing the sustained chordal arpeggio. The melodic function of the chordal arpeggio is an aspect of both harmonic and rhythmic considerations: the G-major harmony is outlined in a forward-thrusting melodic/rhythmic figure (d-g-b-a) toward its momentary destination of A-minor.

5:3   For ease of execution, the use of open strings for the b- and g-notes may seem warranted. Taking the b on the open second-string can be musically effective if the control of timbre, loudness, and duration is a precisely performed realization of an intelligent concept. The musical advantage of taking the b on the second-string is that it allows the preceding destination-note-a, on the third-string, to receive its full duration. The musical disadvantage is that the timbre of the open b-string differs from the timbre of the fourth-string-e to such an extent that the two notes are not aurally well-connected in the desired four-note figure (b-e-g-f♯). The indicated fingering places the b on the third-string--a solution which, though not ideal, produces less timbral difference (between the b and e) than would be produced by the use of the second-string-b. Taking the g on the fourth string would cause a slight shortening of the e before it, and would tend to establish a two-note grouping (a-b;e-g) on the basis of string-timbre. The indicated fingering places the g on the third string for two reasons: (1) to avoid shortening the e, and (2) to restate the string-

timbre of the b in an effort to avoid the erroneous two-note
grouping (a-b;e-g), and to clearly communicate the four-note
grouping (b-e-g-f#).

The indicated fingering of the accompanying bass-notes
avoids shortening the beat-notes. Due to the necessary
lifting of the finger to avoid the squeak caused by sliding
the finger on the winding, moving the same finger from one
fret to the next on the wound strings produces a slightly
greater shortening of the duration of the first note of a
pair than that caused by using a different finger.

5:4   This four-note figure (b-f#-a-g) is a quotation of
the first four notes of the Praeludio, and should be con-
veyed as such. The reasons for taking the first and third
notes (b and a) of this figure on the third-string are the
same as those stated above for the preceding figure.

The indicated layout wherein finger-1 takes the
upper-voice-a and the subsequent lower-voice-e by means of a
pivot-bar is based primarily on technical expediency relative
to the layout of the preceding notes.

Ex. 2.8:   Allemande, m. 6, alternative layouts

6a

6b

6c

6:1 (a,b,c) For the four-note figure "a-g-f#-e," neither of
the two musically superior layouts is available. As a
result, the performer is faced with the task of attempting to
communicate a four-note grouping with the disadvantageous,
but necessary, two-notes-per-string layout. Taking the g on
the fourth-string would be both technically more difficult
and musically less effective because the connection between
the g and the f-sharp would be less legato (with equivalent
technical processes) than the amount produced by adjacent-
string-layout of the two notes.

It probably matters little whether finger-3 or finger-
4 is used on the f-sharp, although there is a technical
difference: re-expansion of the hand-configuration following
the contraction necessitated by taking the a-note with finger-2
is accomplished in one motion if the f-sharp is taken with
finger-3; taking the f-sharp with finger-4 divides the motion
of re-expansion into two smaller movements, which, in this
instance, may or may not be a technical advantage.

6:2 (a,b) The musically superior layout for the four-note
figure "d-c#-b-a#" is available and is used in spite of both
the necessary shortening of the b-note and the added technical
process of a same-finger-shift (the shift shortens the b).
An easier fingering would avoid the shift by taking the d on
the open fourth-string, but the musical effect of timbral
consistency is a higher priority (here) than ease of execution
--thus, the indicated fingering is better. The shortened
b-note may add to, rather than detract from, the desired
musical effect if the b is not shortened too much. A slightly
shortened penultimate (next-to-the-last) note serves to
heighten the "arrival" effect of the destination-note.

6:3a   With finger-1 holding the a-sharp on the fifth-string,
there exists no sensible alternative to the indicated fin-
gering for the c-sharp, f-sharp, and c-sharp. The two
c-sharps constitute a rhythmic intensification of the first
note of the four-pitch figure whose destination-note is
f-sharp (c#-d-e-f#).

6:4a   This fingering is used in most transcriptions, perhaps
due to its ease of execution--an important technical advan-
tage. The principal musical advantage of this layout is that
it allows some of the onbeat notes (beat-4, d and b; beat-1,
d only) to be sustained for a slightly longer duration than
that obtainable with other layouts. The musical disadvantages
of this layout include both timbral and durational considera-
tions: the different timbre of the open e-string in the
middle of the figure, the different timbre of the open

b-string in the inner voice, the different timbre of the open
d-string on the destination-note (a less undesirable location
for a change of timbre than in the middle of a figure), and
the necessary shortening of the upper-voice destination-note
f-sharp due to the position-change that follows it. This
layout, due to ease of execution, is a likely choice for the
majority of college-level performers.

6:4b   With this layout, timbral consistency is obtainable
at the expense of both technical ease and durational potential.
The fingering is decidedly more difficult due both to the
absence of open strings and to the complexity of the technical
processes involved. The durations of two important onbeat
notes (beat-4, second-string-d; and beat-1, fifth-string-d)
will be slightly shorter with this layout than with the
layout of 6:4a: during beat-4, finger-2 must quit the
second-string-d to take the fifth-string-c#; and during
beat-1, finger-2 must quit the fifth-string-d in advance of
the full-bar at position VII. Other durations which must be
slightly shortened (in comparison to the layout of 6:4a) do
not detract from the desired musical expression, provided
such shortening is not excessive. If well executed, the lay-
out of 6:4b can be musically superior to that of 6:4a.

6:4c   The technical advantage of this layout is that the
move to position VII requires only an index-finger extension
rather than an upward leap. The musical advantage (over that
of 6:4b) is relative to the technical advantage: due to the
proximity of the hand to position VII, both the upper-voice-

f-sharp and the lower-voice-d on beat-1 can have slightly
longer durations than those obtainable with the layout of
6:4b. The layouts of 6:4b and 6:4c offer the advantage of
timbral consistency with a roughly equivalent degree of
added technical difficulty in comparison with the layout of
6:4a, but the consistent timbres obtained differ greatly
from each other. Due both to the shorter length and larger
diameter of the strings used in the layout of 6:4c, the timbre
will be darker than (and on some instruments less pleasant
than) that of the strings used in the layout of 6:4b.

A musical disadvantage of the layout of 6:4c is the
necessary fingering of the beat-2 four-note figure (d-c#-b-a#).
The indicated fingering of 6:2c must be used to arrive at the
destination-note sixth-string-a-sharp, but is less conducive
to the communication of figural identity than the fingering
of 6:2a.

It is possible that the expressive effect of the
harmonic/melodic intensification due to the a-sharp may be
further enhanced by the intensification of timbre derived
from the use of the sixth-string for this note--a musical
advantage. An added musical advantage of 6:4c is the clearer
timbral distinction between upper-voice melody and inner-voice
b-notes.

Ex. 2.9: Allemande, m. 7, alternative layouts

7:1a

7:1   If the layout of 6:4c is used, the indicated full-bar
at position VII is the only sensible choice. If the layout
of either 6:4a or 6:4b is used, the alternative fingering of
7:1a should be considered, because of the following two
technical advantages: (1) the distance of the position-change
is reduced, and (2) the frequency of position-change is
reduced, i.e., the hand remains at (approximately) position V
for the time-span of a quarter-note rather than having to
change position after the eighth-note duration of position VII.

        The use of the full-bar on position VII facilitates
the desired articulation (legato connection of b-a, non-legato
connection of a-g), but either fingering can be musically
effective.

7:2   The musical objective is to avoid distorting the
four-note figure "f#-e-d-c#." Use of the open-string-e
would contribute to such distortion. For timbral consistency,
the four-note figure is taken on the second-string.

The destination-note-g (on beat-3) of the four-note
figure in the lower voice (b-e-f#-g) is taken on the fourth-
string rather than the third-string for two reasons: (1) to
obtain timbral consistency, and (2) because the first note of
the next figure will be taken on the third-string.

7:3, 7:4 The four-note figure "b-a#-b-b" is taken on the
third-string to obtain timbral consistency.

The optional (or obligatory) ornamentation of the
destination-note-b with a cadential trill uses a main-note
trill. The rationale for the use of the main-note trill is
based on two of Neumann's forms of musical logic--contrapuntal
logic and harmonic logic. The primary tenet of contrapuntal
logic is the need to avoid offensive parallels. Such parallels
would result from the use of an upper-note trill $(\begin{smallmatrix}b-c\# \\ e-f\#\end{smallmatrix})$.
Although additional justification for the avoidance of an
upper-note trill is somewhat superfluous, it may be pointed
out that the use of an onbeat c-sharp, contrary to the tenet
of harmonic logic, would weaken the dissonance by transforming
the interval of a fourth (b/f#) to the interval of a fifth
(c#/f#). Thus, either a grace-note trill (with a prebeat c#)
or a main-note will be the logical choice for ornamentation
of the cadence. A main-note trill is chosen because it pro-
vides opportunity for a slight _appuy_ which enhances the effect

of the dissonance.

The resolution-note-b (of the cadence) is taken on
the third-string to provide timbral consistency between it
and the preceding a-sharp. Taking the b-note on the open
second-string would allow the use of a less difficult finger-
ing of the B-major scale, and, although slightly less
satisfactory, is acceptable.

Ex. 2.10: Allemande, m. 8

8:1   The indicated fingering is necessitated by the use of
the third-string for the quarter-note-b and has the musical
advantage of timbral consistency on the first three notes of
the lower-voice four-note figure "b-c#-d#-e."

8:2   The layout of the four-note figure "f#-g#-a#-b" is
largely determined by that which has preceded it. The g-sharp
could be taken on the third-string by contracting the hand-
position during the sixteenth-note-e and taking the f-sharp
with finger-4, but the indicated layout has the musical
advantage of having the first two notes rather than the
middle two notes on the same string. The layout provides an
advantage with regard to both timbre and articulation--this is

because the connection between g-sharp and a-sharp should not

be less legato than the connection between f-sharp and g-sharp.

The b-note must be taken on the open second-string to

provide freedom for the fingers to execute the subsequent

thirds.

8:3   The indicated layout avoids the noise and/or staccato

articulation that would be produced by taking the thirds on

the fifth- and fourth-strings. It also avoids the incorrect

aural impression (due to timbre) that the c-sharp resolves

to b. The upper-voice-e resolves to both d-sharp and f-sharp.

Ex. 2.11: Allemande, m. 9

9:1   The optional mordent is taken under a full-bar on

position IV with a cross-string layout similar to that of the

signified mordent at the beginning of the piece. Because the

d-sharp must be sustained over the B-major arpeggio, the full-

bar is necessary.

As with the E-minor arpeggio of m. 1 (but for a

different reason), the notated durations of the original can-

not be performed on the B-major arpeggio. Here again it is

better to sustain the notes as long as possible. The untied
dotted eighth-note duration is written for the lower-voice
to indicate that finger-4 must be removed from the sixth-
string-b exactly on beat-2 (finger-4 must next take the
first-string-b).

9:2   The chord-tones d-sharp, f-sharp, and b are silenced
after the duration of an eighth-note rather than the quarter-
note duration of the original because of the layout of the
subsequent four-note figure "b-a-g-f#" on the first-string
(the full-bar on position IV must be removed). The chord-tones
could be sustained longer if both the g and the f-sharp were
taken on the second-string with finger-4, but there would be
little or no musical advantage due to the less desirable
two-notes-per-string layout of the four-note figure.

Finger-1 is used on the g-note to avoid a less legato
connection between a and g than between g and f-sharp.

9:3   The four-note figure "e-d#-c#-b" is taken on the
second-string for reasons of timbral consistency, technical
ease, and effective linkage to the preceding four-note figure.

9:4   Here a clear timbral distinction between upper and
lower voices is desirable. For this reason, in addition to
that of timbral consistency, the first three notes of the
four-note figure "a-g-f#-g" are taken on the fourth-string.
The partial-bar, taking both the d-sharp and the f-sharp
with finger-1, is used for technical ease.

Ex. 2.12: Allemande, m. 10, alternative layouts

10a

10:1b, 2b
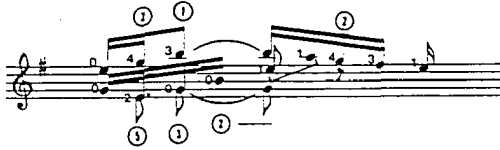
10:1c, 2c

10:1a   Of the three considered solutions to the problem of
instrumental limitation (the impossibility of playing as-
written the notes of the original), the layout of 10:1a may
(depending upon the performer) be the most satisfactory for
the following reasons: (1) it allows some of the tones of
the arpeggio to be sustained (more closely resembling the
original than the layout of 10:1c), (2) it provides timbral
consistency for the destination-notes of the preceding
figures, and (3) it provides timbral distinction between
the destination-note-g and the arpeggio-note-g. The arpeggio-
note-g could be sustained beyond the second half of beat-2 in

both layouts 10:1a and 10:1b, but there is little reason to
do so since the second-string-e is silenced at that point
by taking the upper-voice-g on the second-string.

10:1b   This layout is technically less difficult, but has
the musical disadvantage of the tendency of the lower-voice-
notes to form two two-note groups (g-e;g-b). If the layout of
10:1a is not technically feasible, the layout of 10:1b should
be used.

10:1c   This layout is slightly more difficult than the
layout of 10:1a, and sacrifices the sustained tones in favor
of the clearer identification of the E-minor arpeggio group-
ing (here linear rather than chordal). This layout allows
the destination-note-e of the E-minor arpeggio to be sustained
for a longer duration under the descending four-note figure.
The identity of the four-note figure "a-g-f#-e" may be
better communicated (due to its being taken entirely on the
second-string) with the layout of 10:1c than with either of
the other two layouts.

10:2   If either layout 10:1a or 10:1b is used, the four-note
figure "a-g-f#-e" must be fingered as indicated (a on string-1,
g-f#-e on string-2), a less than ideal, but necessary, finger-
ing. The layout of 10:2c, as stated above, is better.

10:3   A contraction-shift provides the technical linkage
of the two four-note figures, the second of which (d-c#-b-a)
is taken entirely (and ideally) on the third-string. The
same-finger shift (on b-a) requires a slight shortening of

the penultimate note.

10:4   There exists no sensible alternative to the indicated
layout. The fourth-string serves well to communicate the
four-note figure "g-f♯-e-f♯," and is, moreover, a technically
necessary location.

Ex. 2.13:   Allemande, m. 11

11:1   Many transcribers use the fifth-string for the lower-
voice-d, but the open fourth-string-d is better because this
location facilitates the desired short-long articulation of
the two-note figure "d-f♯." The layout of the upper-voice
two-note figure (a on string-3, d on string-2) is a matter of
technical convenience. Taking both notes on the third-string
would facilitate the desired articulation of the two-note
figure, but would necessitate a less desirable fingering of
the subsequent four-note figure, and would add considerably
to the technical complexity.

11:2   For timbral consistency, the four-note figure "e-d-c-b"
is taken on the second-string.

11:3   The two-notes-per-string layout of the four-note
figure "a-g-f♯-e" tends to form two two-note groups due to
the timbral similarity of notes on the same string in relation
to the timbral dissimilarity of notes on different strings.
Here the objective is not to avoid the strikingly different
timbre of an open string, but rather is to avoid the obtrusive
effect of one note having a strikingly different timbre from
that of the subsequent three notes of the same four-note
figure, as could be the case if the g were taken on the
fourth-string. Additionally, the indicated layout facilitates
the desired articulation.

11:4   The eighth-note duration of the destination-note-e
necessitates taking the subsequent lower-voice four-note
figure "d-c♯-b-a♯" on the fifth-string, although the fifth-
string would have been used anyway for the reason of timbral
consistency.

        Taking the two-note figure "e-f♯" on the first-string
is a technical necessity. The use of finger-3 on the f-sharp
frees finger-2 for use on the lower-voice f-sharp.

Ex. 2.14: Allemande, m. 12, alternative layouts

    12

12a

12:1   Both the layout and fingering of the whole measure
are largely dictated by instrumental/technical necessity.
The choices leave much to be desired, but constitute a
necessary compromise of the musical fabric to the capabil-
ities of the instrument.

The f-sharp of the lower-voice is taken with finger-2
to allow the preceding a-sharp to receive its full duration.

The choice of fingering for the first three notes of
the upper-voice four-note figure "g-f♯-e-d" is determined by
the preceding fingering. The use of the full-bar on position
II facilitates the fingering to follow.

12:2, 12:3, 12:4   A possible interpretation at this point is
to abandon the grouping of four-note figures in the upper
voice in favor of the less forward-driving two-note figures,
$\frac{1;2;3-4;1-2;3-4}{2\qquad 3}$. In the preceding numerical representation,
the use of both the semicolon and the dash between the 2nd
and 3rd sixteenth-note-subdivisions of beat 2 is intended to
represent the function of the c-sharp, in that it is neither
the second note of a two-note figure "d-c♯," nor is it the
first note of a three-note figure "c♯-b-a♯," but is rather a

connecting-note between the destination-note-d of the pre-
ceding four-note figure with the function of introducing,
but not being altogether joined with, the following two-note
figure "b-a♯."

An alternative (and equally valid) interpretation is
to consider the b-note on beat-3 as the destination-note of
the four-note figure "c♯-b-a♯-b," and to view the notes of
beat-3 as embellishment (a written-out mordent followed by
a preoccupation) in advance of the optional ornamentation of
the V-chord of the V-i cadence in B-minor.

The destination-note-d of the lower-voice four-note
figure "f♯-b-c♯-d" is taken on the fifth-string for the reason
of timbral consistency.

The indicated open-string location of the b-note (of
beat-2) is somewhat less satisfactory with regard to timbre
than taking the b on the third-string, but is technically less
difficult, and allows a more legato connection of the b and
its lower neighbor.

The indicated layout of the F-sharp-major chord does
not employ the optional ornamentation. If the performer uses
the layout of 12:3 and wishes to add an upper-note trill on
beat-4, it will be necessary to take both the C-sharp and
d-notes with finger-3.

12:2a, 12:3a   Regardless of the interpretation of the figural
structure of beats 2 and 3, use of the third-string for the
b-notes will provide a timbrally superior musical result at
the expense of technical facility.

12:4a   Ornamentation of the cadence is recommended. The
indicated layout uses a _Pralltriller_ in thirty-second notes.
A greater number of repercussions is not necessary, and is
probably not technically feasible. The onbeat d-note provides
the spice of dissonance and may be slightly lengthened, if
desired, to transform the trill into a supported-appoggiatura
trill. The notes of the trill may be plucked or may be
executed with ligado technique--at the performer's discretion.

Ex. 2.15: Allemande, m. 13

13:1   The indicated layout takes the d-sharp on string-4
rather than string-5 to achieve timbral distinction between
this four-note figure (g-f♯-e-d) and the next.

13:2   For the realization of the signified trill on the
second note of the four-note figure "c-b-a-g♯," there are
three renditions of roughly equivalent acceptability: (1) a
short appoggiatura, (2) a _Schneller_, or (3) a _Pralltriller_.
The least difficult of the three will be the short appoggia-
tura performed with ligado technique. The indicated layout
uses the _Schneller_ (1-2-1 on b-c-b). The performer must be

careful not to perform the three notes of the Schneller in a
triplet rhythm, but rather in a more vigorous alternation of
the two pitches: the b-c-b should be no slower than the
rhythm of two sixty-fourth-notes followed by a thirty-second-
note. The most brilliant--and most difficult--rendition for
the signified trill will be the Pralltriller with cross-string
plucked execution, but very few performers will be able to
execute this rendition with the requisite precision. The
Pralltriller with ligado technique is less difficult than
(and not as brilliant as) the cross-string plucked type, and
is more difficult than the Schneller, but is not necessarily
any better than the Schneller.

The destination-note-g-sharp is taken with finger-4
rather than finger-3 to facilitate execution of the subse-
quent inner-voice figure "b-e."

13:3, 13:4   The layout of the two two-note figures (b-e) is
a matter of technical expediency.

Both the g-sharp and the b are taken on string-3 to
avoid overlapping of the b by the g-sharp, and to avoid
having to damp an open-string-b on the 4th-sixteenth-note of
the beat. The destination-note-c must be perceived as fol-
lowing the fourth-string-e, not an eighth-note-b.

Ex. 2.16: Allemande, m. 14

14:1   The indicated fingering is not easy, but is musically
effective in allowing the sustained chordal arpeggio to be
rendered as such; however, if the indicated layout cannot
be cleanly executed, open fifth-string placement of the a-note
is both permissible and advisable.

Some transcribers place a tie between the two e-notes
of the arpeggio figure, thereby altering both the harmonic
and melodic effect of the figure. To change the figure
from a-c-e-e to a-c-e-a is a melodic mistake because so doing
presents three similar arpeggiated figures (if a similarly
placed tie is inserted in m. 15) in mm. 14, 15, and 16.
Aside from the fact that no tie is in the original, reitera-
tion of the chordal-fifth is musically better because of the
musical meaning inherent in the variation effect: a percep-
tual expectancy (to hear the same thing a third time) is
"set-up" with the statement of two similar figures; to then
hear that which is expected is less musically meaningful, and
less interesting, than to hear a variation of the expected
figure. The use of the tie is a harmonic mistake because the
instability of the six-four chord is effectively abolished:
not plucking the e causes the a to be louder, creating the

effect of a root-position chord even though the chordal-
fifth is present underneath. There is hardly a doubt that
the instability of the six-four chord in this modulatory
sequence is precisely what Bach wanted.

14:2   Taking the fifth-string-b with finger-4 is awkward
but necessary if all of the tones of the preceding chord are
to be sustained beyond its (the fifth-string-b) point of
attack.

Here, as at 13:2, the Schneller is recommended for
the signified trill.

14:3   Taking the upper-voice-d with finger-3 rather than
the more comfortable finger-4 allows the d to sustain slightly
longer while finger-4 moves toward the fifth-string-d. The
third-string-a should be released before the second-string-d
is attacked.

14:4   The bass-note-d of the original is beyond the range
of the guitar. Two somewhat logical solutions to the problem
exist: (1) omit the bass-note entirely, letting the onbeat
middle-voice-d (and the 4th-sixteenth-d) fulfill the fifth-to-
root harmonic/melodic function of the omitted note, or
(2) transpose the out-of-range note up an octave, thereby
producing three occurrences of the same pitch within the span
of beat-4, with each pitch attempting to represent a differ-
ent voice.

Despite the potential for monotony, the second of the
above solutions is selected. It is believed best to include
the transposed bass-note, and to utilize the potential of

the guitar for timbral variety to distinguish (to the extent that it can) between the voices.

The destination-note-b is taken on the third-string to facilitate damping the preceding open-string-d.

Ex. 2.17: Allemande, m. 15

15:1   The sustained G-major arpeggio presents no problem, but the reiterated d must be taken on the fifth-string (see 15:2).

15:2   The four-note figure "g-f#-e-d#" must be transposed up an octave. To have all three tones of the G-major six-four chord sustain beyond the attack-point of the first note of the four-note figure requires that the d (of the chord) be taken on the fifth-string, and that both the g- and b-notes be taken on open strings, as indicated.

Taking the g of the four-note figure on the fourth-string provides sufficient timbral distinction between it and the g of the preceding chord.

The context of the signified trill differs slightly from that of mm. 13 and 14. In both mm. 13 and 14, the trill

occurs on the root of the preceding chord. In m. 15, the
trill appears (at first thought) to occur on the seventh of
the preceding chord. Closer investigation reveals that the
melodic line in both mm. 13 and 14 proceeds from the root
(with a trill) through the seventh to the third of the next
harmony. A similar relationship exists in m. 15, but the
difference is that a secondary dominant is implied between
the G-major and B-major harmonies, producing a trill not on
the seventh of the G-harmony, but on the root of an F-sharp
harmony.

A *Pralltriller* with ligado technique is the recom-
mended realization of the signified trill for two reasons:
(1) for ornamental variety, and (2) to complement the harmonic/
melodic variant. If the *Pralltriller* is too difficult, a
Schneller may be used instead.

The indicated consecutive use of finger-4 (e-d♯) is
necessary to allow the d-sharp to sustain beyond the attack
point of the sixth-string-f-sharp.

15:3   The necessary octave-transposition of the four-note
figure may seem to suggest that the two two-note figures
which follow the four-note figure should also be transposed
up an octave so that the intervallic distance between voices
in the transcription will conform to that of the original,
but such is not the case. Octave-transposition of the first
two-note figure (f♯-b) would place the b-note at the level of
the highest pitch of the piece. To sound the high-b again at
this point would severely damage the musical effect of Bach's

use of register.

From m. 13 to m. 16, the register of the modulatory
sequence becomes successively lower until the tonic harmony
is once again reached in m. 16, at which point the ascending
arpeggios climb beyond the registral level of the falling
sequence. Much extra-musical speculation regarding the
spiritual significance of Bach's use of such devices has been
written (a great deal of which is undoubtedly true), but
aside from the possible or probable extra-musical meaning is
the fact of musical meaning.

The musical meaning is adversely affected by the
necessary octave-transposition of the four-note figure, but
less so than with any other available solution. To avoid
greater damage to the musical meaning, the two-note figures
are not transposed.

The fingering of the two-note figures is a matter of
technical necessity.

15:4   The lower d-sharp of the original is beyond the range
of the guitar. Three alternative solutions to the problem
are considered: (1) omit the bass-note-d-sharp, (2) trans-
pose only the bass-note-d-sharp up an octave, and leave the
upper-voice four-note figure at the register of the original,
or (3) transpose both the bass-note-d-sharp and the upper-
voice four-note figure up an octave.

Each of the beat-4 figures of mm. 13-15 functions as
the dominant harmony of a subsequent tonic harmony. In all
three instances the upper-voice four-note figures have

identical functional relationships, and the lower-voice
tonic has a delayed entry (on the second sixteenth-note of
beat-1 of the next measure). In the first two instances the
bass-note is the root of the dominant harmony, but in the
B-major harmony of m. 15 the bass-note-d-sharp is the third
of the dominant harmony. Regardless of whether Bach's reason
for varying the bass-note in the third statement was based
on instrumental limitation (the root b may have been beyond
the range of the instrument Bach had in mind) or musical
effect, the use of the d-sharp rather than the b as a bass-
note is musically better. In addition to the musical effect
of variation, the d-sharp has a stronger tonal gravitation
toward the e.

Both solution 1 and solution 2 are rejected due to the
musical need to have the d-sharp in the role of a bass-note.
With solution 2 the d-sharp would not be perceived as the
bass-note due to the lower pitch of the upper-voice-b-note.

With solution 3 there is some loss of musical meaning
relative to the registral aesthetic, but the highest pitch of
the octave-transposition is at least not as high as that of
the climbing arpeggio figures of m. 16, thereby retaining
some of the registral effect of the original. This solution
necessarily sacrifices one aspect (registral aesthetic) of
musical effect in favor of other aspects (harmonic/melodic
variation, tonal gravitation).

Ex. 2.18: Allemande, m. 16

16:1   The sixth-string-e cannot be sustained as notated in
the original. Here again it is better to sustain as many of
the notes as possible. In this case, both the g and the b
may be sustained slightly beyond the attack-point of the
quarter-note-e to enhance the sustained effect of the reduced
number of sustained tones. Taking the sixth-string-g with
finger-2 would be technically less difficult, but would not
allow the desired sustaining. The indicated fingering allows
the desired musical effect to be rendered.

16:2   The indicated open strings are the ideal layout for
the arpeggio figure. The destination-note-c will be taken on
either the second-string or the third-string to facilitate
execution of subsequent figures.

Ex. 2.19: Allemande, linkage of mm. 16-17
              alternative layouts

16:3, 4   17:1

16:3a, 4a

CV

16:3b, 4b

½CII

16:3c, 4c

½CII

17:1a

½CIV
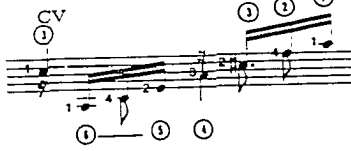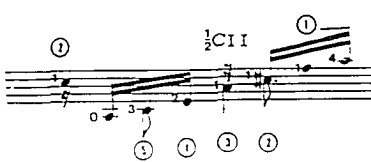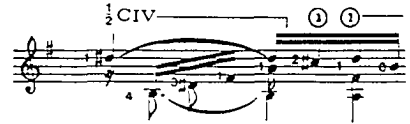
16:3   There are several acceptable layouts for the notes of beat-3 and beat-4. The layouts of both 16:3 and 16:3a connect with the layout of 17:1. The layouts of both 16:3b and 16:3c connect with the layout of 17:1a. If the performer cannot precisely execute the layout of 17:1, the less difficult but also less musically satisfactory layout of 17:1a should be used.

There are two reasons for the preference of the layout of 17:1 over the layout of 17:1a: (1) in the layout of 17:1, the destination-note-b of the arpeggio figure can be sustained beyond the point of attack of the upper-voice-c-sharp due to open-string placement of the b-note, and (2) there is timbral

distinction between the voices in the layout of 17:1 due to the use of different strings for the inner-voice-b and the upper-voice-c-sharp.

The layout of 16:3 allows the duration of the fifth-string-a to sustain beyond the attack-point of the sixth-string-c, whereas the layout of 16:3a does not allow the a-note to overlap the subsequent c-note. The layout of 16:3 is preferred, but the layout of 16:3a is only slightly less musically satisfactory and is somewhat more secure due to the stabilizing aspect of the full-bar on position V.

It is possible to achieve the notated durations of the original on the A-minor chordal arpeggio with the following layout (as in 16:3b): sixth-string-a with finger-4, fifth-string-c with finger-3, fourth-string-e with finger-2. Connecting this layout with the preferred layout of 17:1 would involve a leap from the finger-2-fourth-string-e to the finger-3-fourth-string-a on beat-4, with the probable undesirable consequence of an excessively shortened e-note and/or squeaks (string-noise). Because of the potential for undesirable results, the above-discussed alternative layout is not viewed as feasible.

Of the two layouts that connect with the layout of 17:1a, the layout of 16:3b is preferred because it allows the a-note to be sustained. If the indicated reach is too great for the performer, it will be necessary to use the layout of 16:3c.

16:4   For the arpeggio figure of beat-4 (c#-f#-a-d#), the
layouts of both 16:4 and 16:4a allow the durations to be
sustained as notated in the original, while the layouts of
both 16:4b and 16:4c permit only a sixteenth-note duration
for the f-sharp.

Ex. 2.20: Allemande, m. 17

17:1, 17:2   The reasons for the preference of the layout of
17:1 over that of 17:1a were pointed out above in the discus-
sion of the alternatives to 16:3.

        At 17:2, the first three notes of the four-note figure
(c#-d#-b-e) may be taken on the third-string for the reason
of timbral consistency. Taking the b-note on the open
second-string tends to divide the four-note figure into two
two-note figures, but the technical advantage of having an
open-string-b to facilitate the move to the subsequent
E-minor chord, along with the musical advantage of having a
slightly longer duration for the b-note, makes the use of the
second-string-b the better choice. The destination-note-e
is taken on the second-string rather than the open first-

string to avoid having to damp the open-string-e at the
attack-point of the subsequent g-note.

17:3   Taking the upper-voice-g on the open third-string is
necessary because of the eighth-note duration of the
inner-voice-e.

To omit the inner-voice-c (as many transcribers have
done) is a serious harmonic misrepresentation, because with-
out the c-natural the harmony that is implied is f-sharp
minor. It is necessary to have all three tones of the
f-sharp diminished triad present.

17:4   In the context of a final cadence, the cadential trill
is viewed as obligatory rather than optional. The notation
of the durational values of the notes of the trill is
intended as an approximate representation of a tremblement à
progression (gradual acceleration of the repercussions).
Ligado technique is the suggested mode of execution for the
repercussions, but the notes may be plucked if the performer
possesses sufficient technical velocity and precision.

Finger-3 is used on the prebeat (liaison) e-note to
avoid removing finger-2 from the fifth-string-b. Finger-1
is used on the onbeat e-note to obtain a more legato connec-
tion between it and the subsequent e-note than between it
and the prebeat e-note, and to place the hand in a convenient
position for taking the first three notes of the subsequent
four-note figure "e-f#-g-a" on the fourth-string.

Ex. 2.21: Allemande, m. 18

18:1   Only the first three notes of the four-note figure
are taken on the fourth-string, because taking all four
notes on the fourth-string would cause too great a timbral
differentiation between the two four-note figures. The
four notes are not taken in position I, because to do so
would timbrally divide the four-note figure into two two-
note figures.

18:2   The first three notes of the four-note figure (b-c-d-e)
are taken on the third-string for three reasons: (1) for
timbral consistency of the first three notes, (2) to provide
a timbral structuring similar to that of the preceding
figure (3 plus 1), and (3) for technical convenience in
moving toward the desired location of the destination-note-e
(with finger-2 on the second-string).

        The destination-note-e is taken on the second-string

both to avoid the timbre of the open first-string and to
avoid the non-legato connection of the e and the a that would
result if both were taken on the first-string. Finger-2
is used on the e to facilitate the desired fingering of
subsequent notes.

18:3   If the parallel-sixths were not transposed up an
octave, one or the other of three undesirable results would
be necessary due to the limitation of the instrument:
(1) the bass-note-e would have to be omitted from the final
chord (ending the piece on a first-inversion triad), or
(2) the inner-voice-g-sharp would have to be omitted from
the final chord (incomplete chord, root-fifth-root), or
(3) the melodic line of both voices would have to be altered
(a-g#-f#-g# instead of a-g#-f#-e, and c-b-a-b instead of
c-b-a-g#). Not one of the above results is acceptable, thus
the parallel-sixths are transposed up an octave.

        The indicated layout is used because it facilitates
a (comparatively) more-legato connection of the second and
third notes of the figure while providing a more consistent
timbre than any other layout would allow.

        The closing E-major chord may be played in the
recommended four-voice structure on its first occurrence,
or the sixth-string-e may be added for a broader registral
texture--at the performer's discretion--but the broader
registral texture will be more effective if saved for the
final occurrence of the closing E-major chord. On its final

occurrence, the E-major chord may be played with or without
arpeggiation. Because such arpeggiation is a characteristic
ornamental device of Baroque performance practice, arpeggia-
tion of the final chord is recommended. An example rendition
in approximate durational values is included below the final
chord for the performer's convenience.

Courante

The contrast between the Allemande and the Courante is of such extent that the two movements may, at first thought, seem to be related only by the fact that both are in the key of E-minor. The figural construction of the Allemande, in which the appearance of the figural components in the various voices produces a relative equality of voices, is contrasted in the Courante by an essentially treble-dominated melody-with-accompaniment, only occasional (relative to the Allemande) shifts of melodic interest to one of the lower voices, and a melodic structure that is more "spun-out," or flowing, than based on short figural components. The succession of harmonies in the Allemande is rather slow and straightforward, whereas in the Courante the rapidly changing harmonies and subtle dissonances create a kaleido-scopic harmonic palette. In addition to the inherent contrast of the characteristic metric structure of each, the rhythmic regularity of the incessant sixteenth-note motion of the Allemande is contrasted by the rhythmic diversity of the durational values found in the Courante.

There is an abundance of interrelational aspects which function as unifying phenomena on several levels of musical structure. Some of these aspects are discussed in the following paragraphs.

The upper voice of the Courante ascends from the opening e-note to the e-note an octave above in an essentially stepwise manner within the first two measures of the piece.

This ascending E-minor scale (even though the d-note is
absent) may be viewed as a harmonized inversion of, and rhy-
thmic augmentation of, the descending E-minor scale of m. 1
of the Allemande. The absent d-note may, at the performer's
option, be inserted in the form of a thirty-second-note
slide (c-d) between the upper-voice b- and e-notes of m. 2.

At the beginning of m. 2 in the Allemande, the
B-major harmony arrives with the melodic appearance of the
upper-voice-d-sharp. A similar occurrence takes place in
m. 3 of the Courante.

Example 3.1 presents excerpts from the Allemande
and Courante wherein the above-discussed relationships may be
examined.

Ex. 3.1: Allemande, mm. 1-2; Courante, mm. 1-3
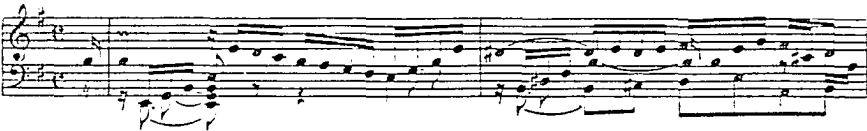
Following an upper-voice ascent to a g-note and a
subsequent descent from the g-note in both the Allemande
and Courante, there also appears in both movements the
following figure: an inner-voice-g followed by an upper-
voice ascending leap "b-e" (Ex. 3.2).

Ex. 3.2: Allemande and Courante, "g;b-e" figure

The last measure of the first section of both move-
ments is a codetta-like extension of the musical activity
following a V-I cadence in the key of B-major. For the
ascending scalar passage "b-c#-d#-e" of the Allemande, a
b-note is used instead in the Courante. The approach to
the tonic (for the moment) b-note in each uses the four-note
figure "f#-g#-a#-b" (Ex. 3.3).

Ex. 3.3: Allemande and Courante, similar sectional ending

The overall length of the two movements with regard
to both measures and measure-beats is quite similar, as is
the relationship of the relative lengths of the sections of
each: the Allemande has sections of eight and ten measures

length with four beats-per-measure for a total of thirty-two
and forty beats-per-section, respectively; whereas the
Courante has sections of ten and twelve measures length
with (for the purpose of tabulation) three beats-per-measure
for a total of thirty and thirty-six beats-per-section,
respectively.

The above-discussed interrelational aspects (and many
similar aspects not discussed) create a unifying effect which,
even with the contrasting features, give the Allemande
and Courante a remarkable feeling of belonging together.
The aesthetic effect and its relationship to the compositional
content are the primary features in Bach's music that are
largely responsible for the position of high esteem in which
he is held.

In the following presentation of the rationale for
solutions to the problems of transcription and performance
of the Courante, reference numbers at the left margin are
employed, as in the discussion of the Allemande, to indi-
cate the measure and beat of the musical material to be
discussed. In some measures, the metric structure of the
music consists of three beats-per-measure with two quarter-
notes to the beat, while in other measures, the metric
structure of the music consists of two main beats-per-measure
with three quarter-notes to the beat. In both cases, the
reference numbers that are used reflect the metric structure
of the music. The changes from one metric structure to
the other are mentioned as they are encountered. As in the
discussion of the Allemande, the musical examples are placed

before the beat-by-beat discussion of each measure and are
numbered and identified.

In the transcription, the ornaments that are indi-
cated by a symbol in the original are written out, and are
indicated by an abbreviation--rather than an ornament-symbol--
that is placed above the staff at the location of the
ornament: "s.t." means "signified trill," and "s.m." means
"signified mordent." Optional ornaments are similarly indi-
cated above the staff: "o.t." means optional trill, "o.m."
means "optional mordent," and "o.s." means "optional slide."
Some of the indicated optional ornaments are written out, and
some are not. Those which are written out are intended to be
performed in both the first playing and the repeat; those
which are not written out are intended to be performed in
the repeat section; however, all of the signified and optional
ornaments may be performed in the first playing--having add-
itional optional ornaments in the repeat. In either case
(written out or not), inclusion of the optional ornamentation
should be at the performer's discretion.

The problems of transcription and performance of the
Courante are quite different from those encountered in the
Allemande. The transcriber seldom has either the need or
opportunity to discover the layouts that enhance the clarity
of the figural components. The textural density and complex-
ity, along with the stylistic necessity of ornamental
elaboration, provide the transcriber with few opportunities
in which to be concerned with such niceties as timbral con-
sistency. The primary problem most of the time is concerned

with merely being able to include the notes of the original.
In all of the published transcriptions, many (if not most) of
the harmonic subtleties are absent. In the present transcrip-
tion, it is believed better to include all of the harmonic
relationships of the original that are remotely possible (and
perhaps expand the limits of "possibility") because such
relationships constitute one of the most important charac-
teristics of this Courante (another of the most important
characteristics is believed to be ornamentation).

Ex. 3.4: Courante, m. 1

1:1   The fourth-string rather than the fifth-string is
used for the opening notes of the melody for two reasons:
(1) to aid in the timbral distinction between the upper voice
and the lower voice (the lower-voice-e is taken on the fifth-
string), and (2) the cross-string rendition of the signified
mordent takes the lower-neighbor-d-sharp on the fifth string.
        Finger-2 is used on the f-sharp to allow the melody-
note to sustain slightly beyond the sounding duration of the
simultaneously plucked bass-note. If the reach between
finger-2 and finger-4 is too great, finger-1 may be used on

the f-sharp, but to do so adds to the technical process the
necessary substitution of finger-2 for finger-1 during the
sounding-time of the onbeat-g, and can cause a loss of some of
the flavor of the dissonance (f#/e) if finger-1 is removed
too soon.

1:2   The f-sharp has a dual function: as a companion-note
to the note of resolution of the prebeat dissonance (f#/e-
f#/d#), and as the note of resolution of the appoggiatura-g
(which is the onbeat note of the signified trill). Because
of the importance of a clear perception of the f-sharp, and
because of the limitations of the guitar (and most guitarists),
the tremblement roulant (repercussions and closing-notes at
the same speed) is not the trill-realization employed. The
tremblement roulant could work well on the piano, harpsichord,
or organ due both to the timbral similarity of adjacent
pitches and to greater technical ease (than on guitar) of
trill execution. On the guitar, timbral similarity could be
obtained with a ligado fingering of the trill on the fourth-
string, but to do so would necessitate taking the upper-voice-e
closing-note on the same string as the preceding lower-voice-d-
sharp, one probable result of which would be an erroneous
perception of the closing-note-e as an anticipated bass-note-e.
The technical difficulty of executing eight thirty-second-
notes at the tempo of the Courante effectively prohibits the
interpretation of the trill as a tremblement roulant.

The indicated layout of the interpretation of the
trill as a tremblement feint followed by a slide allows the
f-sharp to be perceived in its dual role, and also allows

the lower-voice-d-sharp to be sustained underneath the ornaments.

In the transcription, the use of the double-stem on the upper-voice-g (stemming it with the quarter-note-e) indicates the inner-voice function of the note in addition to its being the upper-voice melody. The inner-voice function is necessarily interrupted by the upper-voice sixteenth-note-a, and must be re-attacked on the subsequent beat. Re-attacking the inner-voice-g transforms the suspension of the original

1:3   The indicated layout of these chords is the necessary and logical result of that which precedes each.

dissonance of the original (in all published transcriptions with which the writer is familiar, the dissonant g-note is omitted).

1:3   The indicated layout of the onbeat chord is the necessary result of that which has preceded it.

The sixteenth-note-g could be taken on the fourth-string, but to do so would prevent the quarter-note-f-sharp from sounding simultaneously with it. The indicated execution of the slide (g-a) is with ligado technique, but both notes may be plucked--at the performer's discretion. If the slide is performed as two thirty-second-notes (as in overdotting), ligado technique is almost mandatory.

Ex. 3.5:   Courante, m. 2

2:1   If the onbeat middle-voice-g were taken on the fourth-
string, the dissonance between it and the subsequent lower-
voice-f-sharp would be omitted (both would be taken on the
fourth-string). The indicated layout allows the brief dis-
sonance to be performed.

2:2   The indicated fingering allows a technically smoother
connection of the chords than would any other possible
fingering. The optional slide (c-d) would be taken on the
second-string in either sixteenth-note or thirty-second-note
rhythm.

2:3   As a matter of technical convenience, open-string
layout of the middle and upper voices is used. For the same
reason, the lower-voice-c is taken on the fifth-string with
finger-2.

     A pivot-bar is used on the inner-voice-a and the
upper-voice-f-sharp to allow freedom for the other fingers
to take subsequent notes.

     The notes are taken in the indicated position to
facilitate execution of the optional (and desirable) trill
on beat-1 of the next measure. Either a _Pralltriller_ or a

slightly supported appoggiatura trill in a cross-string
rendition is recommended for the optional trill.

Ex. 3.6: Courante, m. 3

3:1   The two notes (d#/b) are taken with finger-3 and
finger-2 rather than finger-4 and finger-3 to facilitate
execution of the signified trill on the next beat. Finger-3
moves less freely in conjunction with an anchored finger-4
than does finger-2 in conjunction with an anchored finger-3.

3:2   A Pralltriller is used for the realization of the
signified trill. The triplet rhythm allows the main-note to
fall directly on the second half of the quarter-note, pro-
viding the performer with a clearly defined temporal unit for
the rest-point (point d'arrêt). If execution of the Prall-
triller is not technically feasible, a Schneller may be
substituted.

        The double-stemmed e-note of the original is replaced
in the transcription by separate note-heads. Plucking both
e-notes allows the middle-voice-e to sustain while the upper-
voice moves to f-sharp, and provides between the upper and
inner voices a timbral distinction that would not be obtain-
able if only one of the e-notes were plucked.

3:3   The indicated layout allows the resolution-note (d♯)
of the suspension to be sustained beyond the attack-point of
the upper-voice-e. The use of a partial-bar on the f-sharp of
the slide facilitates the technical processes both of getting
to the subsequent E-minor chord and of executing the optional
mordent.

Ex. 3.7: Courante, m. 4

4:1   The layout of the onbeat chord is the logical means
through which to obtain the desired musical result.

        The partial-bar is retained to take the upper-voice-f-
sharp as a matter of technical convenience.
4:2   The lower-voice-g is taken on the fourth-string rather
than the third-string both to facilitate the technical pro-
cesses and to aid in obtaining the desired articulation of
the lower-voice melody (a more legato connection of g-a than
that of f♯-g and than that of a-b).

        The use of finger-4 and finger-3 on the simultaneously
sounded b- and d-notes allows the subsequent f-sharp-diminished
triad to be taken without an additional position-change.
4:3   The fingering of the diminished triad is a technical

necessity.

The lower-voice-g is taken on the third-string rather than the fourth-string to allow a more legato connection between it and the preceding chord tones. The harmonic intensification of the diminished triad is more musically effective when the notes are sustained for their full duration. The fourth-string-g would have a better "bass-like" timbre, but its use would cause the duration of the preceding tones to be slightly shortened.

Ex. 3.8: Courante, m. 5

5:1   The indicated ligado rendition of the signified mordent is in this context both technically more secure and musically more effective than the cross-string rendition, though the musical superiority of the ligado rendition in this context is probably due to the extreme difficulty (or near impossibility) of obtaining the desired musical effect with the cross-string rendition.

Plucking the third note of the mordent figure allows a more rapid execution because finger-4 does not have to travel the greater distance required to hammer-on the e-note.

The second lower-voice-c is transposed up an octave.

Taking the upper-voice-d with finger-4 facilitates the change to position I.

5:2   The lower-voice-e is written as a half-note even though finger-2 can hold it for only slightly less than the duration of a dotted-quarter. With this particular pitch, sympathetic vibration of the sixth-string can give the impression that the note is being held even after finger-2 has left it.

It is necessary to use finger-1 on the upper-voice-d to avoid the excessive shortening of this note that would result from the use of either finger-3 or finger-4. The use of finger-2 would require a change of hand-configuration in addition to the use of less facile fingers (finger-3 and finger-4) on the subsequent B-minor triad. The use of finger-1 requires a sudden rather than gradual shift (of position), but has the technical advantages of both maintaining the same hand-configuration and the use of a more facile finger-combination (finger-2 and finger-3) on the B-minor triad.

5:3   If the upper-voice-b were taken on the third-string instead of the indicated open second-string, the technical processes would be much more complex, and the musical advantage would be none.

The use of finger-2 on the upper-voice-a and finger-1 on the middle-voice-e provides a more facile finger-sequence with fewer changes of hand-configuration on the series of thirds than would other possible fingerings.

Ex. 3.9: Courante, m. 6

6:1   The indicated layout is the necessary (and logical)
result of that which has preceded it.

6:2   The indicated fingering of the onbeat B-minor triad
is the only practical layout.

The successive use of finger-1 on the upper-voice-a
and the lower-voice-e works well due to the closeness of the
notes (same fret, adjacent strings), but requires precise
coordination to avoid shortening the a-note too much.
Finger-2 is not used on the e-note because a more awkward
change of both position and hand-configuration would be in-
volved. A pivot-bar is not used for the following reasons:
(1) the tip of the finger on the note is firmer than the
underside of the finger, (2) with the slightest miscoor-
dination the open-string-g will rattle against the just-
lifted underside of the finger, and (3) a greater change of
hand-configuration is involved.

If the sixteenth-note-b were taken on the open
second-string instead of the indicated third-string location,
execution of the two sixteenth-notes (a-b) would be easier,
but two undesirable results would occur: (1) the timbre of

the b-note would not be as similar to the timbre of either
the preceding or the following note and (2) the open-string-b
would have to be damped at the beginning of the subsequent
trill; damping would increase the technical complexity.

6:3   The written-out realization of the signified trill
is a supported-appoggiatura trill with main-note anchor.
This particular realization was chosen for two reasons:
(1) the supported-appoggiatura open-string-g of a sixteenth-
note duration allows finger-3 adequate time to find its place
on the fourth-string-f-sharp, and (2) the rhythmic disposi-
tion of the trill around sixteenth-note subdivisions will
enable the student to develop both a precisely regulated
rendition of the trill and the technical facility required
for such rendition.

Ex. 3.10: Courante, m. 7

7:1   Cross-string rendition of the signified mordent is
employed to match the pitch-timbre of the preceding trill.

        Because the hand is at position II, the upper-voice-
f-sharp is taken with finger-3 and the lower-voice-g is taken
with finger-2. The change to position I (to take the

lower-voice-f-sharp with finger-2) causes the lower-voice-g
to be shortened, but the slight shortening is not a musical
detriment.

7:2   The change to position I with finger-2 on the sixth-
string is a less complex motion than moving finger-2 from
the upper-voice-a to the lower-voice-f-sharp (if the preceding
lower-voice-g had been taken with finger-3).

Taking the upper-voice-g with finger-1 requires a
rather fast shift, but is musically necessary to avoid exces-
sive shortening of the g, and is technically necessary to
facilitate the finger-extension required for the subsequent
trill.

7:3   The realization of the signified trill as a Prall-
triller in triplet rhythm accomplishes the desired musical
effect and allows ample time for finger-1 to leave the upper-
voice-d and find the middle-voice-f-sharp. Some performers
will be able to add one more repercussion to the trill,
giving a more brilliant effect to the ornament, but the
written rendition is quite sufficient if the added repercus-
sion is not technically feasible.

The different timbres of the two sixteenth-notes (d-e)
is undesirable, but is unavoidable due to the subsequent
chord in another position. The hand must be moved during the
sounding time of the open-string-e.

Ex. 3.11: Courante, m. 8

½CII————

8:1   The indicated layout is a technical/musical necessity.
The upper-voice-b could be taken on the third-string, but the
duration of the b-note would be shortened due to the move to
the subsequent chord.

8:2   The use of open-strings in the indicated layout of
the second first-inversion triad facilitates both longer dura-
tion of the preceding triad and the position-change to take
the subsequent notes (e/c♯).

8:3   The double note-heads of the original are not used in
the transcription because of the decision, based on technical
expediency, to omit the subsequent middle-voice-d (the onbeat
middle-voice-e is not notated). It may be possible for some
performers (whose hands are very large) to include the middle-
voice-d, but for most performers the indicated layout will
produce a better musical result than a technically insecure
attempt to include the middle-voice-d.

305

Ex. 3.12: Courante, m. 9

9:1   Taking the middle-voice-c-sharp with finger-3 facili-
tates maintaining the partial-bar at position II.

9:2   Technical necessity determines the layout of the notes
of beat-2.

9:3   The supported appoggiatura trill with main-note anchor
is used here for the same reason as before (at 6:3).

Ex. 3.13: Courante, m. 10

10:1   (The reference numbering is here altered to correspond
to the accentual grouping of rhythm written by Bach; i.e.,
10:1 encompasses quarter-notes 1-2-3, and 10:2 encompasses
quarter-notes 4-5-6.)

        The notation of the original must be altered due to

the instrumental/technical impossibility of sustaining the durations of the original. The upper-voice-f-sharp must be taken on the same string as the middle-voice-d-sharp, thereby shortening the duration of the latter. The half-note-b of the lower-voice is shortened to a quarter-note because of the subsequent c-sharp on the same string.

The indicated layout of the C-sharp-minor triad is necessitated by the layouts which have preceded it.

10:2 The written-out optional mordent is included in the transcription because it is more strongly recommended than the optional ornaments that are not written out. The f-sharp chordal-fifth of the original B-major chord is necessarily omitted, but the stylistic appropriateness of the mordent, along with the desire to avoid the technically awkward leap to position IV, more than compensates for the loss of the chordal-fifth.

The eighth-rest is not in the original, but is in-cluded in the transcription both to complete the rhythmic notation and to indicate the silence separating the cadence-chord from subsequent musical activity.

The second section in the binary forms of Bach's suites seems to be characteristically more developmental than the first section, and the Courante is no exception. In the first section of the Courante, the signified ornaments occur only on the main measure-beats in a three-beat metric structure (1-2-3-4-5-6). In the second section, all but one (the trill on the lower-voice-a in m. 12) of the ornaments of

mm. 11-14 (the trill in m. 14 is not signified, but is added
in the transcription) occur on the main measure-beats in a
two-beat metric structure ($\underline{1}$-2-3-$\underline{4}$-5-6). The metric regular-
ity of the first section is not present in the second section.
Changes from one metric structure to the other occur, and
there is a clearly intentional ambiguity of metric structure
in some parts of the second section. The notes of quarter-
note beats 1-2-3 of m. 3 are contained in the notes of
quarter-note-beats 4-5-6 of m. 12, the result of which is a
degree of metric-structure ambiguity which is due both to the
remembered metric structure of m. 3 and to the inclusion of
the stress-producing trill on the lower-voice-a on the sixth
quarter-note of m. 12. Another instance of metric-structure
ambiguity occurs in m. 15: the ambiguity is due to the place-
ment of both the signified trill and the characteristic
rhythmic/melodic figure (dotted quarter-note followed by an
eighth-note) on the second quarter-note of the measure.
Other developmental aspects are mentioned in the following
discussions.

Ex. 3.14: Courante, m. 11

11:1   If the G-major chord is taken in any location other
than position VII, the signified mordent cannot be executed,
but taking the G-major chord in position VII causes the g-note
an octave below the root of the chord to be unplayable unless
the duration of the chord is shortened to less than an
eighth-note. It was decided that both inclusion of the mor-
dent and sustaining the chord have more musical importance
than sounding the bass-note-g at the register of the original.

The open-string-g fulfills the rhythmic-punctuation
function of the low-g of the original, but cannot sound for
the duration of the original (and does not need to), and,
therefore, is written as an eighth-note.

The partial-bar at position VII should be taken in
such a way that the middle-joint of finger-1 stops the first-
string-b. So doing allows the subsequent open-string-g to be
cleared by finger-1 while the first-string-b is being sus-
tained: finger-1 is straightened at the middle-joint to
release the third-string.

A quarter-rest is added in the transcription to indi-
cate the absence of the two inner voices on the second
quarter-note of the measure.

The second-string-g and the simultaneous fourth-
string-b are taken by fingers 1 and 2, respectively, to avoid
the successive use of finger-3 on the fourth-string-b- and c-
notes. The successive use of finger-1 (fourth-string-a,
second-string-g) causes the fourth-string-a to be shortened,
but allows finger-2 to provide a slightly longer duration on
the fourth-string-b than would have been obtainable if the

fourth-string-b had been taken by finger-3, and eliminates
the probability of string-noise that could be caused by taking
both the fourth-string-b- and c-notes with finger-3. The
indicated fingering facilitates an articulation that enhances
rather than distorts the musical meaning of the simultaneous
four-note figures ($\begin{smallmatrix} a-g-a-f\# \\ a-b-c-d \end{smallmatrix}$): the connection of the second
and third pairs of notes is more legato than the other
connections.

11:2   The indicated ligado rendition of a _Pralltriller_ for
the signified trill allows the half-note-d to sustain through-
out the subsequent quarter-note-c. The use of a cross-string
rendition of the trill would eliminate the dissonance between
the third-string-d and the subsequent fourth-string-c.

The G-major triad will necessarily be somewhat
shortened by the subsequent move to position V, but such
shortening is not a detriment to the desired musical effect;
in fact, the accentual rhythmic structure is enhanced by a
slight shortening of the sounding duration of the prebeat
g-major triad.

Ex. 3.15:   Courante, m. 12

12:1   Taking the onbeat notes "e/c" under a partial-bar at position V allows the half-note-c to sustain throughout the subsequent quarter-note-b. If the open-string-e had been used, the open-string-b could also have been used, but the layout of subsequent notes would have required an awkward position-change and would have placed the subsequent trill (and the remainder of the measure) in a less desirable setting with regard to timbre.

12:2   The cross-string trill rendition is usually more satisfactory with regard to the timbral similarity of the notes when neither note is on an open string. Such is the case with the indicated layout. The triplet rhythm of the Pralltriller is musically satisfactory, but another repercussion may be added if more brilliance is desired.

The indicated layout provides greater timbral similarity between the octave b-notes than would be obtained by taking the first b-note on the fifth-string and the second b-note on the third-string (or the second-string). Also, the timbral quality of the fourth-string is more suitable for a lower-voice role than that of the unwound strings.

The signified trill of the lower voice is realized with a Schneller for the technical reason of ease of execution and for the musical reason of ornamental variety. The a-note is taken with finger-2 to avoid the successive use of finger-1 (finger-1 takes the subsequent g-sharp).

Ex. 3.16: Courante, m. 13

13:1   The degree of timbral similarity (or lack of it)

between the preceding d-sharp and the upper-voice-e leaves

much to be desired, but is the necessary result of decisions

regarding the layout of previous material and is, as a

result, a more acceptable solution to the problems of trans-

cription than alternative layouts of the previous material.

The timbral dissimilarity of the upper-voice notes is com-

pensated by the superiority of the fourth-string-g-sharp

(over the third-string) in the role of the lower voice.

The developmental aspect of Bach's treatment of

musical material is the basis for the decision to include the

optional mordent on the upper-voice-e. The imitation of

mm. 11-12 by mm. 13-14 is not exact, but is sufficiently

similar to identify the imitation as such, and because of

this, the signified mordent of m. 11 is imitated by the

optional mordent of m. 13. The optional mordent is not

written out in the transcription because of the opinion that

the performer should decide whether or not to include it.

The writer feels that the optional mordent should be included

only on the repeat of the section (to obtain ornamental

variety).

The middle-voice-b cannot be sustained for the half-note duration of the original due to the necessity of taking the upper-voice-d on the same string. A dotted quarter-note duration for the middle-voice-b is written in the transcription, and is followed by an added eighth-rest to indicate the momentary absence of the middle voice.

The lower-voice-e is taken with finger-2 to facilitate subsequent fingerings: finger-4 on d, and finger-1 on c.

The lower-voice-a is taken with finger-3 to allow the preceding lower-voice-e to be damped by finger-2.

13:2 The ligado rendition of the signified trill is in this context the only choice. The Pralltriller with a triplet rhythm is musically effective. An added repercussion, for many performers, would not be technically secure.

The use of finger-3 on the middle-voice-a allows finger-2 to damp the preceding lower-voice-e.

Ex. 3.17: Courante, m. 14

14:1 Taking the third-string-a with finger-1 permits a slightly longer duration of the a-note than that which would

be obtainable with finger-2. The sounding duration of the
preceding A-minor chord is somewhat shortened by the succes-
sive use of the same fingers, but, as mentioned previously,
the shortened duration of a prebeat quarter-note enhances
the natural accentuation of the rhythmic structure.

14:2   Several published transcriptions place both the
middle-voice-e and the subsequent lower-voice-d on the fourth-
string, but doing so omits the dissonance notated in the
original. The indicated layout allows the duration of the
fourth-string-e to sustain throughout the sounding duration
of the fifth-string-d.

        The use of a partial-bar on the upper two notes of
the A-minor triad is prevented by the necessity of playing
the open fourth-string on the subsequent beat.

Ex. 3.18:   Courante, m. 15

15:1   No other layout of the middle-voice-d and the lower-
voice-b is technically feasible.

        The signified trill following an upward leap is
unusual in Bach's usage. Perhaps because of the exceptional
nature of the context of the trill, transcribers generally

either omit the ornamentation altogether or substitute a
mordent for the trill. It seems better, because of the in-
tended unusual rhythmic grouping (discussed previously,
before 11:1), to accept the correspondingly unusual trill at
face value and to realize the signification with an unu-
sually expressive trill. The written-out _tremblement_ _feint_
in a triplet rhythm accomplishes the desired effect.

Because it is necessary to omit the tenor-voice-c
from the chord on the second quarter-note of the measure,
the quarter-rest at the beginning of the measure (in the
original) is also omitted.

The voice-part that is omitted in the second chord
of the measure may either be resumed in the third chord with
the indicated partial-bar taking both the fourth-string-e
and the fifth-string-b, or if the use of the partial-bar on
these two notes presents a problem, the fifth-string-b may
be omitted.

15:2   The half-note-a of the original is written as a
quarter-note-a in the transcription because the a-note needs
to be re-attacked at the beginning of the trill. The musical
effect of the dissonance of the trill depends upon the pre-
sence of the a-note, and if the a-note is not re-attacked,
its decreased audibility (due both to its decay and to the
stronger projection of the tones on other strings) will
render it non-functional.

An upper-note trill in this context is not believed
to be appropriate. Such a rendition would produce a simple
second-inversion A-minor triad with the trill having the

effect of a long mordent. While it is true that the upper
tones of a second inversion chord were viewed as appoggiaturas
in the early 18th century, the added dissonance of a main-
note trill along with the appoggiatura a-note provides a
vastly superior musical effect to that of the upper-note
trill. Also, the dissonance of adjacent tones is one of the
principal harmonic characteristics of this particular
Courante. The rhythm of the trill may be varied if desired,
but the notated rhythm is quite satisfactory.

The notation of the original indicates that the g-
sharp resolution of the appoggiatura a-note is to overlap the
anticipation a-note (the last eighth-note of the measure)
creating again the dissonance of adjacency. For this to be
possible, the g-sharp must be taken on the fourth-string and
the a-note must be taken on the third-string. The indicated
layout accomplishes the desired musical effect.

Ex. 3.19: Courante, m. 16

16:1   (In mm. 16 and 17 the rhythmic structure is ternary;
for that reason three reference numbers will be used in the
discussion of each measure.)

No other layout is feasible. The upper-voice-a could be taken with finger-2, and the subsequent middle-voice-e with finger-1, but due to subsequent technical necessities there would be no technical advantage in doing so.

16:2   This context is similar to that of 14:2. Here, the indicated fingering allows the half-note-a to be sustained throughout the sounding duration of the fourth-string-g.

16:3   The inner-voice-a of the original is omitted in the transcription. The choices consist of either omitting the a-note or shortening the duration of the upper-voice-d. The chord could be played in a higher position (as in many of the published transcriptions) with the following layout: second-string-b, third-string-d, fourth-string-a, and fifth-string-f-sharp. The c-sharp of the subsequent chord would be taken on the third-string, resulting in both a distorted melodic line and the omission of the dissonance of adjacency between the upper-voice-d and the subsequent inner-voice-c-sharp. Omitting the a-note allows the upper-voice-d to be sustained for the duration of the original, and accomplishes most of the intended musical effect (the dissonance of adjacency produced by the inner-voice-a is lost).

Ex. 3.20: Courante, m. 17

In m. 17, the durational values of two notes are
altered. Both the harmonic and melodic (voice-leading)
functions of the notes require re-attack for audible presence
of the tones. In the following identification of the altered
notes, the word "beat" refers to the quarter-note beat:
(1) beat-1, dotted half-note-d written as half-note, re-
attacked on beat-3 as quarter-note, and (2) beat-3, dotted
half-note-g, written as half-note, re-attacked on beat-5
as quarter-note.

17:1   The fingering of the D-major chord is based on the
need to keep finger-2 on the first-string to facilitate the
unusual fingering of the subsequent G-major chord.

17:2   Bream's fingering of the G-major chord is used. The
unusual use of finger-2 on the first-string-g and finger-3
on the second-string-d allows the upper-voice-g to sustain
beyond the attack point of the inner-voice-e on the second-
string. The use of finger-4 (more usual, and more comfortable)
on the first-string-g would cause the upper-voice-g to be
shortened to slightly less than a quarter-note duration due
to the necessity of releasing the upper-voice-g for the posi-
tion-change required to take the inner-voice-e with finger-3,
the musical result of which would be melodic confusion (the
inner-voice-e would appear to be an upper-voice note). If
the unusual fingering of the G-major chord is not technically
secure, one must endure the momentary melodic confusion of an
alternative fingering. The re-entry of the upper voice (with
the eighth-note-a) during the sounding-time of the inner-
voice-e aids in the clarification of the relationship of the

two voices.

17:3   In the original, the slur over the trilled note sug-
gests that the rendition of the signified trill should be a
tremblement roulant, but this rendition is not technically
feasible. The signified trill is written in the transcription
as a Pralltriller with a sixteenth-note rhythm. The compara-
tively slow trill is better (if executed well) than no trill,
and is technically necessary due to the difficulty of the
subsequent D-major chord. The three lower voices of the D-
major chord require a separate finger for each voice, leaving
only finger-4 for the upper-voice-a; hence the necessity of
taking the last two notes of the trill with successive use of
finger-4. Because of the successive use of finger-4, the
slower trill is necessary.

    If execution of the trill is not technically secure,
the trill should be omitted, and the dotted quarter-note-a
should be taken with finger-4.

    The use of finger-3 on the last note of the measure
causes the preceding lower-voice-d to be shortened, but
facilitates execution of the subsequent G-major chord.

Ex. 3.21: Courante, m. 18

18:1   (In mm. 18 and 19 the rhythmic structure is binary.
Two reference numbers will be used in the discussion of each
measure.)

The dotted half-note duration of the upper-voice-b in
the original is written in the transcription as a quarter-
note due to the following factors: (1) if finger-4 sustains
the b-note for longer than the duration of a quarter-note,
finger-3 would be forced to take the lower-voice-a, (2) if
finger-3 takes the lower-voice-a, finger-1 must be removed
from the second-string-d, (3) because the upper-voice-b
merely sustains, is the destination-note of the preceding
figure, and does not connect important musical material, the
alteration of its duration to a quarter-note does not
greatly damage the musical fabric, (4) because the inner-
voice-d does connect important musical material, sustaining
it is of more musical importance than sustaining the upper-
voice-b, and (5) because of the relative importance of the
upper-voice-b and the inner-voice-d, and because of the
added technical facility, finger-4 is used on the lower-voice-a.

The fingering of subsequent notes is both technically
expedient and musically satisfactory.

The indicated rendition of the thirty-second-note
slide uses ligado technique. If the slide cannot be executed
precisely (with the e-note clearly audible) using ligado
technique, the open-string-e should be used instead.

18:2   The half-note-f-sharp is shown in the NBA with an
editorial tie (not present in the manuscript, but probably
intended) connecting it with a quarter-note-f-sharp. The

quarter-note-f-sharp of the original is replaced by a
quarter-rest in the transcription for the following reasons:
(1) neither the harmonic nor the melodic function of the f-
sharp warrants either re-attacking the note or sustaining
it, and (2) if the presence of the f-sharp beyond the dura-
tion of a half-note is non-essential, the second-string can be
better used for the inner-voice-b that completes the quarter-
note rhythm of the measure, and sustains underneath the
re-entry of the upper-voice-b.

Ex. 3.22: Courante, m. 19

19:1   The aspects of greatest musical importance here are
the rhythmic vitality of the upper-voice slide-figures and
the descending bass-line (rhythmic structure and directional
melodic function). The harmonic content is simple and
straightforward. To sacrifice the durational values of the
lower voice in favor of harmonic content (being able to con-
veniently attack all three voices, but, as a result, not
being able to sustain the lower voice) is a musical mistake,
e.g., placing the upper-voice slide figure on the first-string
so that the inner-voice-b can be taken on the open

second-string causes the conveniently located fourth-string-e
to be silenced after only an eighth-note duration due to the
position-change necessitated by using finger-4 on both the
upper-voice-a and the upper-voice-b. The above-described
layout appears in many published transcriptions, but is not
a good solution to the problem of the difficulty encountered
in attempting to perform the notes of the original. A better
solution is to omit the three inner-voice notes (b,b, and e),
and to select a layout that allows the more important outer
voices to be clearly executed.

A still better solution is the indicated layout,
providing, of course, it can be satisfactorily executed. All
of the notes of the original are included. The lower-voice-e
can be sustained for almost its entire written duration. The
subsequent lower-voice-d cannot be sustained for more than
half its written duration, but in this rhythmic figure, half
of its written duration is sufficient sounding time. The
subsequent lower-voice-c needs to sound for slightly longer
than half of its written duration. A silence of approxi-
mately a sixteenth-rest duration before the B-major chord
aids in establishing the binary structure of the measure. It
is possible with the indicated layout to accomplish the
desired musical effect, but the fingering is quite difficult.
Because of the difficulty of precise execution, many perfor-
mers may find it necessary to select an alternative layout
that omits the three inner-voice notes.
19:2   In this portion of the measure there is no need to
consider omitting the inner-voice notes. The indicated layout

allows the desired articulation of the outer voices, and no
great technical difficulty is caused by inclusion of the
inner voices. Second-string layout of all three notes of the
upper-voice slide-figure (d#-e-f#) is not used because so
doing would require a position-change that would result in
shortening the lower-voice-b to the duration of an eighth-
note.

The open-string-e is not used in the ascending slide-
figure for the reason of technical facility, i.e., having the
first-string-f-sharp prepared in advance by the partial-bar
is more secure than having it follow the open-string-e with
a pivot of finger-1.

The open-string-e is not used in the descending slide-
figure for the reason of timbral similarity, i.e., so that
the pitch-timbre of the descending slide-figure will match
that of the ascending slide-figure.

Taking the lower-voice-g with finger-2 is technically
more facile than with finger-3. The upper-voice-g must be
attacked while the lower-voice-g sustains. The reach from
the sixth-string to the first-string is less difficult with
finger-2 and finger-3 than with finger-3 and finger-4 due to
the difference in length, strength, and independence between
the two finger-pairs.

Ex. 3.23: Courante, m. 20

20:1   (The rhythmic structure of mm. 20 and 21 is ternary.

Three reference numbers will be used in the discussion of

each measure.)

     Taking the middle-voice-g on the fourth-string clar-

ifies both the three-voice texture and the voice-leading of

the inner-voice line (the latter by virtue of timbral simi-

larity). The indicated layout is technically more difficult

than taking the middle-voice-g on the open third-string, but

the finger-extension is no more difficult than the one at the

first of the next measure.

20:2   The middle-voice-b is taken with finger-4 for two

reasons: (1) to avoid shortening the duration of the pre-

ceding f-sharp that could be caused by removing finger-3

from the f-sharp to take the middle-voice-b, and (2) to allow

a legato connection between the ensuing dissonant-b and its

resolution-a.

20:3   The tie of the original is omitted in the transcription

so that the dissonant-b (by being re-attacked) on the third of

the ternary rhythmic emphases may be more dynamically involved

in the harmonic process (than if tied).

The tie connecting the two a-notes across the bar-line
is omitted in the transcription to clarify both texture and
voice-leading (see 21:1).

Ex. 3.24: Courante, m. 21

21:1   If the middle-voice-a were not re-attacked, three
undesirable results would occur: (1) the presence of the
inner voice would not be audibly certain due to the greater
loudness of the other two voices, (2) the fullness of sound
would be reduced, and (3) the inner-voice-f-sharp would seem
to have been approached from the preceding lower-voice-d.

Taking both the inner-voice-a and the upper-voice-
f-sharp with the partial-bar is a technical necessity.

The finger-extension required to take the two lower-
voices (f#/d#) is uncomfortable but unavoidable. Finger-2 is
used because of its length and strength, but taking the
middle-voice-f-sharp with finger-3 instead of finger-2 may
be less difficult for some performers.

21:2   The dotted half-note duration of the inner-voice-e
in the original is written as a dotted eighth-note duration
in the transcription for the following reasons: (1) it is

important that the descending tirata (a-g-f#-e) is performed

at least as rapidly as the notation indicates, that the

articulation of each note is consistent with the others

(ligado throughout), and that the destination-note is not

shortened (part of the function of the tirata is to highlight

the destination-note); (2) holding the middle-voice-e for longer

than the duration of a dotted eighth-note would necessitate

taking the upper-voice-e (the destination-note) on the

second-string, or, to state it another way, if the destination-

note-e is to be taken on the first-string via ligado articu-

lation by finger-1, finger-1 must be removed from the

fourth-string-e; and (3) the melodic/harmonic function of

the middle-voice-e is not essential to the musical meaning

during the sounding-time of the lower-voice-a, by the end of

which time the plucked fourth-string-e would have been little

or no louder than its sympathetic vibration on the sixth-

string had it been held by finger-1, and would require

re-attacking to properly fulfill its function as a dissonance

over the lower-voice-b.

21:3   The middle-voice-e is re-attacked for the reason

stated above, and is taken under a pivot-bar by finger-2 to

allow a noiseless legato connection (as legato as is possible

between two plucked notes on the same string) to its

resolution-note-d-sharp.

For the signified trill, a Pralltriller with triplet

rhythm is used. More repercussions may be performed if

desired, but must not interfere with the legato connection of

the inner-voice notes.

Ex. 3.25: Courante, m. 22

22:1   (The rhythmic structure of the final measure is
binary. Two reference numbers will be used.)

       Taking the middle-voice-e with finger-1 causes the
preceding middle-voice-d-sharp to be slightly shortened (to
avoid string-noise), but allows finger-1 to take the subse-
quent upper-voice-f-sharp with a pivot-bar while sustaining
the middle-voice-e.

       Plucking each note of the slide figure is more vigo-
rous, but execution may be facilitated by the use of ligado
attack on the second and third notes.

       The optional trill is included primarily because it
allows a more comfortable fingering of the lower-voice
notes. If the trill were not played, finger-2, finger-1,
and finger-3 would have to simultaneously locate the chord-
tones (f♯,a,d♯) of the diminished triad. Inclusion of the
trill allows the more comfortable indicated fingering and
allows finger-4 additional time to locate its note (d♯).

The realization of the optional trill as a <u>tremble-</u>
<u>ment</u> <u>feint</u> is musically effective in that it ornaments the
diminished triad while sufficiently emphasizing the leading-
tone (d♯).

22:2   The layout of the E-major chord is the only sensible
choice.

The tie connecting the two lower-voice e-notes in
the original is included in the transcription. There is no
musical need to re-attack the six-string-e along with the
final chord.

An eighth-rest is not added to complete the measure
(as it was in the first section) because of the fermatas at
the double-bar. Because the rhythmic intent is apparent,
the rest is not needed, and because the chord should be
sustained beyond its notated value at the end of the piece,
the rest is not added.

Sarabande

The Sarabande, like the Courante, consists primarily
of a treble-dominated texture in which the upper-voice
melody is accompanied by the changing harmonies of the lower
voices, but the Sarabande has even fewer shifts of melodic
interest to one of the lower voices than are found in the
Courante. Rhythmic activity in the lower voices is quite
sparse; however, its infrequent occurrences produce a kind of
contrapuntal dissonance that is similar to the kind that is
found in the Courante.

Ex. 4.1: Sarabande, mm. 1-7

The melodic configurations of the Sarabande are
clearly derived from those of the preceding movements: the
four-note figure "c-b-a-g" in m. 1 is the same kind of
structure as the four-note figure of the Allemande, both
ascending and descending stepwise three-note figures appear
abundantly in all of the movements, the six-note descending
melodic line of m. 1 is significantly similar to the des-
cending tirata in m. 5 of the Passaggio, etc. A thorough

investigation of the interrelationships of the figural com-
ponents and their combinational structures should be made by
the performer to aid in the development of a precise musical
concept.

In the following presentation of the rationale for
solutions to the problems of transcription and performance
of the Sarabande, reference numbers at the left margin are
employed to indicate the measure and beat of the musical
material to be discussed. The musical examples are placed
before the beat-by-beat discussions.

Both signified and optional ornaments are written out
in the transcription and are indicated by abbreviations
placed above the staff. As stated before, inclusion of the
optional ornaments is intended to be at the performer's
discretion.

Ex. 4.2: Sarabande, m. 1

1:1   Other layouts of the E-minor chord are possible, but
are neither musically nor technically advantageous. One
such layout (used by Tomas) places the melody-note-b on the

the fourth-string and follows it with the remainder of the
notes of the first measure on the fourth-string. Taking
the opening melody on the fourth-string provides a warm,
rich timbre. The technical disadvantage of so doing is
mainly the probability of squeaks, but the resultant shifts
also add to the inconvenience. The seeming musical advan-
tage of having a consistently rich timbre on the opening
melody is actually a disadvantage because subsequent melody-
notes cannot be taken on the fourth-string, and, as a
result, the tonal beauty of the melody decreases after the
initial statement. It is better not to have the richness of
timbre at all than to have the timbral aspect of the melody
go from "more interesting" to "less interesting" within the
first two measures.

The dotted whole-note duration of the inner-voice-e
in the original is written in the transcription as a whole-
note to indicate the technical necessity (or advisability)
of removing finger-2 from the fourth-string-e at precisely
the third beat of the measure.

The duration of the whole-note-g is altered in the
transcription because the sounding-duration is an eighth-
note shorter than the written duration of the original due
to the subsequent third-string-a. The notation (half-note
tied to dotted quarter-note) is used to indicate that the
g-note should sustain as long as possible beneath the
melody-notes. The indicated sustaining g-note also suggests
to the performer that free-stroke rather than rest-stroke
plucking is to be employed on the melody-notes. In addition

to silencing the third-string-g, the use of rest-stroke
plucking would produce a warmer timbre in the first measure
than is obtainable in the second measure where free-stroke
plucking is mandatory.

The indicated layout accomplishes the following
musical objectives: (1) an undesirable timbre-succession
(going from more interesting to less interesting) is avoided,
(2) a precedent for dissimilar timbre between successive
pitches is established, and (3) the functional importance of
the notes of the original is carried over to the transcrip-
tion (e.g., the duration of the inner-voice-e beyond a
whole-note is non-essential).

1:2   The rationale for the layout is discussed above.

1:3   The preceding descending melodic line in conjunction
with the E-minor harmony creates the expectancy that a g-note
will occur on beat-3. Delaying the expected arrival of the
g-note adds to the musical interest. Because of the delayed
g-note, the supported appoggiatura trill is a better rendition
than a main-note trill. The appuy of the written-out trill
is relatively short and may be lengthened if desired, but
the rhythm as written is quite satisfactory.

Ex. 4.2: Sarabande, m. 1 (repeated)

Ex. 4.3: Sarabande, m. 2

2:1   The lower-voice-e is written as a half-note in the
transcription because the subsequent middle-voice-f-sharp
must be taken on the same string.

2:2   Because the dissonance of adjacency (lower-voice-e)
is absent in the transcription and because of the duration
of the upper-voice-a, an added trill is appropriate.

2:3   The point d'arrêt of the trill allows time for the
extension necessary to reach the lower-voice-e with finger-4.
It may be necessary for some performers to release the
middle-voice-f-sharp because of the distance of the reach
to the lower-voice-e.

Ex. 4.4: Sarabande, m. 3

3:1   The middle-voice-f-sharp in the transcription is not
tied to the previous f-sharp because it needs to be re-
attacked for its presence to be audible.

3:2   The timbral inconsistency (open-string-b) is necessary
because of the technical aspect of sustaining the lower
voices.

3:3   Same as above

Ex. 4.5:   Sarabande, m. 4

4:1   The duration of the inner-voice-e is written as a
dotted half-note because the subsequent upper-voice-f-sharp
must be taken on the same string.

      The upper-note trill is used here for the same
reason as at 1:3. Because the duration of the principal
note is longer, more repercussions are used. The ligado
rendition of the trill provides a smoother rendition than
plucking each note and is a technical necessity.

4:2   The layout is determined by that which has preceded
it.

4:3   Not all of the notes of the E-minor chord in the

original can be played on the guitar. The choice is whether
to omit the inner-voice-g or the lower-voice-e. The harmony
is obviously E-minor, and the bass line needs to arrive at
the tonic, hence the inner-voice-g is omitted.

The use of the partial-bar (on b and e) facilitates
preparation of the subsequent E-minor chord.

Ex. 4.6: Sarabande, m. 5

5:1   The lower three voices of the E-minor chord are
written with a quarter-note duration for the following
reasons: (1) execution of the subsequent sixteenth-note
passage is facilitated by having all of the fingers free
(not holding any chord tones), and (2) the voice-leading of
the lower two voices will be perceived anyway, partly due
to sympathetic vibrations sustaining the tones and partly
due to the aural/psychological connection of remembered
tones to their logical subsequent tones.

Plucking the third note of the mordent adds both
loudness and vigor to the ornament.

Plucking each note of the descending sixteenth-note

passage sacrifices legato in favor of intensity. If one
prefers legato, the passage should be executed with ligado
technique.

5:2   The indicated fingering of the two lower voices
(finger-4 on f#, finger-2 on a) is used for the following
reasons: (1) the fingers are free sooner in the descending
passage and can be on the way to their targets upon release
of the passage-notes, and (2) use of finger-1 on the subse-
quent c-note is facilitated.

The indicated rendition of the signified trill is
chosen for both its brilliance and its expressive effect.

5:3   Rationale covered above

Ex. 4.7: Sarabande, m. 6

6:1   The number of repercussions in the indicated rendi-
tion of the signified trill is due in part to the entry of
the subsequent lower-voice-g, and due in part to the desire
for ornamental variety.

6:2   Use of the open-string-b is necessary to allow time
for the position-change that is necessary to take the

subsequent chord.

6:3   The indicated layout is the only one that permits cross-string rendition of the signified mordent.

Ex. 4.8:   Sarabande, m. 7

7:1   The indicated layout of the two lower voices is selected for the following reasons: (1) proximity--it is in the same area of the fingerboard as both the preceding and subsequent-chords, (2) timbre--the fourth-string-g provides a better (more similar) timbral connection with the fifth-string-f-sharp than the third-string-g, and (3) technique--the use of the open-string-g would be less difficult at the attack-point, but would require damping at the time the second pair of notes (f#/d) is attacked.

The upper-voice notes are taken on open strings to facilitate the concurrent technical processes.

7:2   The indicated layout is the only one that permits cross-string rendition of the signified mordent.

The whole-note-c on the sixth-string can be sustained throughout the remainder of the measure.

7:3   The indicated layout is determined by that which

precedes it.

In addition to its appropriateness as a rendition of

the signified trill, the cross-string _Pralltriller_ in trip-

let rhythm facilitates execution of both the signified

trill and subsequent notes while allowing the outer voices

to sustain, e.g., more repercussions would increase the

difficulty of execution of both the trill and the turn

figure; ligado rendition would require the removal of a

finger (or fingers) from a sustaining note.

The legato articulation on the turn figure specified

in the original is possible in the transcription by the use

of a different string for each note.

Ex. 4.9: Sarabande, m. 8

8:1   The indicated layout is determined by that which

precedes it, and is the only one that permits convenient

access to the notes of the original for the entire measure.

More than one repercussion in the realization of the

signified mordent is not used because of the difference in

timbre between the involved pitches (second-string-b and fourth-string-a).

8:2   The indicated fingering is a technical necessity.

8:3   The use of the open-string-b (rather than the third-string-b under a partial-bar) allows the tip of finger-1 to take the fourth-string-f-sharp, and provides a more secure execution of the chord with a less noisy approach (release of prior notes).

Ex. 4.10: Sarabande, m. 9

9:1,2 Because the durational values of the original are not all performable on the guitar, the transcriber is faced with the following alternatives: (1) to be able to sustain the upper-voice-f-sharp for its tied duration both the inner-voice-b on beat-1 and the inner-voice-f-sharp on beat-2 must be omitted, or (2) to be able to sound the voices of the chords as written in the original, the upper-voice-f-sharp must be released on beat-2.

The second of the above alternatives is chosen for the following reasons: (1) the melodic connection will be

perceived even though the upper-voice is momentarily absent,
and (2) omission of the chord-tones would produce a voicing-
succession that is not characteristic of this piece, i.e.,
no similar voicing appears in the Sarabande.

The absent upper-voice-f-sharp is enclosed in paren-
theses.

The inner-voice-c-sharp is written as a quarter-note
because finger-2 must leave it to take the subsequent upper-
voice-f-sharp.

9:3   The signified trill is realized as a supported appog-
giatura trill for the same reason as at 1:3, and, addition-
ally, to match the trill rendition of 1:3.

The upper-voice-c-sharp is taken by finger-1 under a
pivot-bar as a technical convenience.

The open-string-b (rather than the third-string-b) is
used to facilitate the move to the subsequent chord.

Ex. 4.11: Sarabande, m. 10

10:1   The indicated layout allows exact transcription of
the notes of the original.

10:2   The durational value of the three lower voices of
the C-major chord is shortened to a dotted half-note because
of the necessity to release the chord for the position-change
that is required to take the notes of the subsequent ascend-
ing sixteenth-note figure.

10:3   Adjacent-string layout of the first three notes of
the ascending figure allows legato connection of the tones.
The use of finger-4 on the last note of the figure allows
freedom for the other fingers to move toward the subsequent
arpeggiated chord.

Ex. 4.12:   Sarabande, m. 11

11:1   The signified arpeggio is written as an onbeat rendi-
tion for the following reasons: (1) prebeat rendition of
the arpeggio resulting in onbeat placement of the upper-
voice-c is not technically feasible due to the time required
to remove the fingers from the first-string and locate the
notes of the chord, (2) prebeat rendition would require the
lower-voice-a to be sounded with or before the upper-voice-b
of the preceding figure, neither of which is musically

desirable, and (3) delaying the arrival of the expected
destination-note-c heightens the expressive effect while
onbeat placement of the lower-voice-a clarifies the rhythm.

It is not possible to sound all of the notes of the
original chord. Omitting the upper inner-voice-a is better
than omitting the lower inner-voice-a because of both voice-
leading and the technical requirements of the subsequent
G-major chord.

11:2   Realization of the signified trill as a __Pralltriller__
with ligado rendition in triplet rhythm is musically satis-
factory and is chosen for the following musical/technical
reason: the necessary subsequent position-change causes
the upper-voice-b to be absent for the approximate duration
of a quarter-rest; because of this absence, the appoggiatura
trill needs to resolve to the main-note-b fairly soon so
that the termination of the main-note-b will not seem too
abrupt.

The upper inner-voice-g is written as a half-note
because it too is silenced by the necessary position-change.

11:3   The two lower voices (e/c) are taken on the fourth-
string and fifth-string to provide convenient access to all
four notes of the subsequent D-major (with appoggiatura-g)
chord.

Ex. 4.13:   Sarabande, m. 12

12:1   The omission of the tie changes the inner-voice-g
from a suspension to an appoggiatura.   Re-attacking the
inner-voice-g is necessary for its harmonic/melodic function
to be audible.

The inner-voice-d is written as a half-note because
finger-1 must be removed from it to take the fourth-string-f-
sharp resolution of the appoggiatura-g.   If the inner-voice-d
were sustained by finger-1 through using finger-3 on the
lower-voice-d and finger-2 on the fourth-string-f-sharp, only
a performer with an exceptionally large hand could sustain
the lower voices while reaching the first-string-b with
finger-4.

12:2   Covered above

12:3   Taking the upper-voice-a with finger-3 provides a
smoother connection with the upper-voice-b than is obtain-
able with the use of finger-4.

Ex. 4.14: Sarabande, m. 13

13:1   The signified trill is realized with a plucked
same-string rendition of an appoggiatura-trill in sixteenth-
notes so that the written-out slide figure (g#-a#) of the
original can be incorporated into the trill as a suffix.
Shortening the durational values of the notes of the trill-
with-suffix is not technically feasible.

The half-note duration of the chord in the original
is written as a quarter-note duration in the transcription
because execution of both the trill-suffix and the subsequent
chord is facilitated by release of the chord-tones at the
time of the quarter-rest. The voice-leading between the
two chords will be perceived on the basis of remembered
tones.

The use of finger-4 on the suffix-note-a-sharp allows
finger-3 to move beside it in preparation for taking the
upper two notes of the subsequent chord.

13:2   No other layout is feasible.

13:3   The descending _tirata_ is necessarily executed with

ligado technique (performers who can successfully pluck
notes of such rapidity are, if they exist at all, extremely
rare). Taking the e-note on the second-string provides an
eighth-note subdivision of the beat on which to place the
attack of the note. Taking the b-note with finger-4 on
the third-string allows finger-1 to be moving toward its
subsequent note rather than away from it (as would be the
case if the b-note were plucked by finger-1 with ligado
technique on the second-string).

Ex. 4.15: Sarabande, m. 14

14:1   The interpretation of the signified Vorschlag (little
note) is based on the following considerations: (1) it is
possible that the symbol in the original is intended simply
to show that the inner-voice-b is an appoggiatura, in which
case delayed entry of any of the voices is neither called
for nor prohibited, (2) the symbol may be viewed as having
a double meaning (as a leaping Vorschlag to the upper-
voice-e, and as a tied concurrent note with the appoggiatura
-b) neither of which can suggest anticipation of the

Vorschlag due to the fact that the preceding tirata allows
no time for anticipation, and (3) onbeat attack of the
b-note (and accompanying lower voices) with delayed entry of
the upper-voice-e is both musically effective and histori-
cally logical as an interpretation of the symbol of the
original.

Taking the inner-voice-b on the second-string allows
it to be plucked by a finger other than the one that
plucked the preceding third-string-b.

The duration of the chord is written as a dotted
half-note because of the necessity to release the chord-
tones to be able to execute the subsequent rapid notes.
14:2   The interpretation of the signified trill as an
appoggiatura is based on the following reasons: (1) the
range of possible interpretations of Bach's trill-signs
includes the appoggiatura, (2) Bach's written-out ornamen-
tation of the sarabandes of English Suites II and III (Les
agréments de la même Sarabande) shows numerous similar
appoggiaturas, (3) the indicated interpretation places the
more dissonant (than e) f-sharp on the beat, and (4) the
appoggiatura rendition is technically less demanding than
either a Schneller (which is less musically satisfactory)
or a Pralltriller (which is probably impossible). A turn
in thirty-second notes (e-f#-e-d#) on the second-string
would be musically effective; as would an anticipated
Schneller: the e- and f-sharp-notes of the Schneller would
occur between the written f-sharp and the e-note over which
the trill-sign appears.

The last two notes of the figure (f♯-g) are both
taken with finger-2 (half-step arrastre) to allow both
finger-1 and finger-3 to be moving toward their targets
(e/c♯).

14:3   The signified trill is realized with a supported-
appoggiatura trill. A quarter-note point d'arrêt is used to
allow time for the leading-tone function of the a-sharp to
achieve the desired expressive effect through its tonal
gravitation toward the ensuing b-note. For this reason and
two others a suffix is not used on the trill: (1) for
technical facility, and (2) to avoid imitating the trill-
with-suffix of m. 13.

The two lower voices are re-attacked both to affirm
the harmonic setting of the trill and to clarify the voice-
leading into the subsequent B-minor triad.

Ex. 4.16: Sarabande, m. 15

15:1   The indicated layout is a matter of technical
expediency.

15:2   The cadential setting requires a trill. The choice

of the upper-note trill instead of a main-note trill is
based on the decision that here the melodic ascension to
the onbeat d-note in a tonic six-four chord yields a more
musically satisfactory effect than the onbeat dissonance of
adjacency (c#/b) obtained with the main-note trill. The
dissonance of adjacency is present at each sounding of the
main-note-c-sharp and is expressively effective at the
point d'arrêt of the trill.

15:3   The indicated layout is determined by that which has
preceded it.

Ex. 4.17: Sarabande, m. 16

16:1-3 The open-string-b is used both because of its sus-
taining capacity and because its use frees the fingers to
take other notes.

        The altered durational value of the upper-voice-b
and the omitted rests are based on the view that, for the
guitar, the distinction between voices on the same note
(the first and last notes of the measure) is non-essential.
The notation of five voices in the original is probably due

to the fact that a five-voice chord begins the next measure, but may be due to the composer's intention that the first note of the measure should be sustained throughout the measure while the last note of the measure is sounded some-where else--another manual in the case of the harpsichord, organ, or lute-harpsichord; another string in the case of the lute.

In the transcription the timbral subtlety of taking the first note on the open second-string and the last note on the fourth-fret of the third-string is sacrificed in favor of a fingering that facilitates preparation for the subsequent chord with the signified slide. Use of the open second-string for the last note allows the fingers to move toward (or to) the notes of the subsequent chord while the b-note sustains. Taking the lower-voice-b with finger-3 rather than finger-4 avoids having to change fingers on the lower-voice-b in preparation for the subsequent chord.

Ex. 4.18: Sarabande, m. 17

17:1   The indicated layout includes all of the chord-tones

of the original, and provides a relatively facile fingering
for the signified slide, but necessitates re-attacking the
lower-voice-b on the next beat. If the chord were taken at
a lower position on the fingerboard (fifth-string-b rather
than sixth-string-b), either the inner-voice-d or the
inner-voice-f-sharp would have to be omitted. If the
inner-voice-d were omitted, the lower-voice-b would have
to be re-attacked on the next beat, the voice-leading would
be undesirably altered, and there would be a loss of har-
monic fullness. If the inner-voice-f-sharp were omitted,
the lower-voice-b could be sustained (as in the original),
the voice-leading would not be as adversely affected, but
there would be a loss of harmonic fullness. The layout in
which the inner-voice-d is omitted provides more facile
fingering for execution of the slide, but the musical
effectiveness of the slide does not appreciably differ
from that of either of the other two layouts. Because
re-attacking the lower-voice-b is less undesirable than omit-
ting a chord-tone, the order of preference of the layouts
is the following: (1) sounding all of the chord-tones (the
indicated layout), (2) omitting the inner-voice-f-sharp,
and (3) omitting the inner-voice-d.

Due to the technical difficulty of smoothly executing
the position-change from the chord of the first-choice lay-
out to the second chord of the measure, it may be advisable
for many performers to use the second-choice layout (in which
case, a more comfortable fingering of the B-major arpeggio

of m. 16 may be used).

17:2-3 Although it is possible to perform the ornamented
diminished triad with finger-3 remaining on the sixth-string-b
(finger-1 on fifth-string-d, finger-4 on fourth-string-a, and
finger-2 on fourth-string-g-sharp), the considerably greater
technical difficulty of satisfactorily executing both the
ornamented diminished triad and the subsequent ornamented
A-minor triad favors use of the indicated layout rather than
the alternative layout.

The signified trill is realized as a tremblement à
progression beginning in eighth-note rhythm for reasons of
both expressive effect and ornamental variety. The expres-
sive effect of the slow beginning is a more serenely bitter-
sweet melancholy than is felt with faster repercussions.
The acceleration of the repercussions enlivens the prolonga-
tion of the appoggiatura-function of the a-note. Lengthening
the point d'arrêt and shortening the liaison gives greater
forward momentum to the liaison which, in this case is an
anticipation of the subsequent optional Vorschlag.

The indicated articulation is to pluck each note with
the greatest possible legato connection between the notes,
but ligado technique may be used if desired.

Ex. 4.19: Sarabande, m. 18

18:1   The signified mordent is displaced by an optional
Vorschlag in the form of an appoggiatura from below.   The
appoggiatura-g-sharp heightens the expressive effect through
delaying the arrival of the expected-note-a for the duration
of an eighth-note (approximately).   The a-note is then orna-
mented with a rendition of the signified mordent.

        The durational value of the two lower voices is
altered in the transcription because of the necessity to
release the tones to free the fingers to take the subsequent
upper-voice figure.

18:2   Legato articulation is facilitated through the use of
ligado technique and different-string layout on the notes of
the descending upper-voice figure.

18:3   The lower-voice-c must be re-attacked to clarify
the harmonic content.

        A supported-appoggiatura trill is used for the rendi-
tion of the signified trill both because of its musical
appropriateness and because of the technical advantage it
offers in allowing finger-3 additional time to locate the

d-sharp.

Ex. 4.20: Sarabande, m. 19

19:1   The lower-voice-c is not re-attacked for the purpose
of allowing some degree of harmonic ambiguity. If the lower-
voice-c were re-attacked, the strongly clarified C-major
harmony would (1) appear to follow a C-diminished chord, and
(2) appear to precede an F-sharp-major triad, neither of
which is a desirable aural interpretation. Not re-attacking
the lower-voice-c allows the tones g and e to be perceived
as E-minor harmony with the less prominent lower-voice-c
appearing to be a suspension carried over from the preceding
diminished-seventh chord. The E-minor harmony may thus be
perceived as the sub-dominant of B-minor when it is followed
by the F-sharp-major triad functioning as the dominant of
B-minor.

19:2   The harmonic intensification of a second-inversion
dominant triad is paralleled by the rhythmic intensification
of a longer and more vigorous rendition of a _tremblement à
progression_ as a realization of the signified trill.

19:3   The "braking" or "holding back" rhythmic effect of
the quarter-note-a-sharp creates more rhythmic intensity in
this case than would altering the duration of the a-sharp to
the more forward-driving eighth-note.

Ex. 4.21: Sarabande, m. 20

20:1   An optional Vorschlag is not used for the following
reasons: (1) to provide ornamental variety, i.e., not to
have the same ornamental figure appear in both m. 18 and
m. 20, (2) the appoggiatura from below (as in m. 18) pro-
duces a less energetic ornamentation of the cadence-chord
and is comparable to a feminine cadence (ending on a weak
beat), whereas the onbeat mordent is comparable to a mas-
culine cadence (ending on a strong beat), and (3) because
of both the vigorous trill of 19:2 and the simple direct
rhythm of 19:3, a more masculine ornamentation of the B-
minor triad is desirable.

        The durational values of the two lower voices is
altered in the transcription because of the necessity to
release the tones to free the fingers to take the subsequent

upper-voice figure.

20:2   The notes of the descending figure are taken on the
first-string to aid in getting to the technically advanta-
geous position for the subsequent chord. Plucking each note
decreases the degree of legato articulation, but increases
both the loudness and the degree of consistency (timbral
and dynamic) from one note to the next, and is also the
suggested manner of execution for both the subsequent trill
and mordent.

20:3   Although an upper-note trill would be equally appro-
priate, the signified trill is realized with a main-note
trill with a suffix (the ornament could also be viewed as
a melodic embellishment followed by a turn) for the follow-
ing reasons: (1) by this time in the piece, delay of the
arrival of the expected-note has become the norm, and as a
result is expected; therefore, it is musically effective to
allow the expected-note-f-sharp to arrive without delay,
which, due to the treatment of prior expected-notes, is less
predictable than delaying the arrival of the f-sharp,
(2) the gradual acceleration of the ornamental rhythm over-
laps and smoothly connects the dominant-to-tonic cadence,
and (3) there is a slight technical advantage in taking the
main-note-f-sharp with finger-2 rather than the upper-
auxiliary-g with finger-4 on the beat.

      An alternative (and equally valid) interpretation of
mm. 17-21 may be employed and is based on the following con-
siderations. The musical material of mm. 19-20 is
essentially an imitation of that of mm. 17-18, and, because

of this, imitations of the renditions of the ornaments may be employed. If this alternative interpretation is employed, the following changes in the transcription should be made: (1) the rendition of the signified trill in m. 17 should begin the repercussions sooner, i.e., the appoggiatura-a-note should be shorter than an eighth-note; (2) the quarter-note duration of the g-sharp in m. 17 of the original should be retained in the transcription; (3) the optional Vorschlag in m. 18 should be omitted, and the rendition of the signi-fied mordent should be the same type that is used in m. 20; (4) the rendition of the signified trill in m. 19 should be an imitation of the rendition (whatever rhythmic design is used) of the rendition of the signified trill in m. 17; (5) the rendition of the signified trill in m. 20 should be an imitation of the rendition of the signified trill in m. 18--a trill-with-suffix cannot be used in m. 18 because of the augmented second (c-d♯) that would be involved. An optional Vorschlag (on f-sharp as an appoggiatura from below) could be added at the beginning of m. 21 to provide ornamental variety, but it is probably better to ornament the E-minor triad with only the signified mordent because sufficient variety to deviate from the sequential imitation has been provided by Bach, i.e., mm. 21-22 are less similar to mm. 19-20 than mm. 19-20 are to mm. 17-18.

Ex. 4.22: Sarabande, m. 21

21:1   The signified mordent is (as suggested above)
realized as an extension of the cadential ornamentation.

Finger-4 and finger-2 are used on the notes of the
mordent because of the greater degree of independence than
that between finger-4 and finger-3.

21:2   Again, alteration of the durational value of the
notation of the original is necessary, but here the open-
string-g can sustain, and the duration of the fourth-string-e
(which must be released) is aided by sympathetic vibration
of the sixth-string.

The notes of the upper-voice figure are taken on the
first-string with plucking technique for the musical
reason of consistency of timbre, dynamics, and articulation.
The technical advantage of the first-string layout is that
the necessary finger-extension facilitates the leap to the
subsequent chord-tones.

21:3   The cross-string rendition of the supported-appoggia-
tura trill is used as a realization of the signified trill
both because of its ornamental appropriateness and because

it allows finger-4 additional time to locate its note.

Ex. 4.23: Sarabande, m. 22

22:1   The lower-voice-g is taken on the fourth-string for
the following three reasons: (1) the timbral suitability
of the fourth-string-g for a lower-voice-role, (2) timbral
consistency between it and the preceding fourth-string-f-
sharp, and (3) so doing allows the inner-voice-b to sustain
while the lower-neighbor-d-sharp of the mordent is taken on
the third-string.

        The sixteenth-note rhythm (rather than triplets, as
in other mordents) of the realization of the signified mor-
dent is employed to provide ornamental variety, to provide
a more deliberate rendition, and to allow finger-4 addi-
tional time to find its note.

22:2   The bracket indicates that finger-1 stops the inner-
voice-e on the fourth-string and extends over the fifth-
string (upon which finger-2 takes the lower-voice-c) in a
partial-bar with the tip-joint collapsed so that the
remainder of the finger does not touch the sustaining

open-string-b.

22:3   The preceding partial-bar now functions as a pivot-
bar as the remainder of finger-1 takes both the third-string-a
and the first-string-f-sharp.

The signified trill is realized with a ligado rendi-
tion of a **Pralltriller** because of the quarter-note duration
of the principal note, because of the smoothness of execu-
tion of ligado technique on rapid trills, and because a
Schneller in this context is less musically satisfactory.

Ex. 4.24:   Sarabande, m. 23

23:1   The inner-voice-a is not tied to the preceding a-note
because it needs to be re-attacked for its presence to be
audible.

The lower-voice-b is written as a quarter-note
because it must be re-attacked along with the subsequent
E-minor chord to prevent the bass-line from giving an aural
impression of fifth-to-root motion (producing a perfect
authentic cadence that would be followed by a tonic six-four
chord--an intolerable harmonic distortion).

Taking the inner-voice-a and the lower-voice-b under a partial-bar by finger-1 with a collapsed tip-joint allows the open-string-e to be employed in the trill, and, through the use of the open-string-e, allows additional time for finger-4 to find its note.

The cross-string rendition of a _Pralltriller_ is used for the realization of the signified trill because of both the technical advantage and the ornamental effectiveness of the rendition.

The layout of the E-minor chord and the subsequent upper- and middle-voice notes is a technical necessity.
23:2   Re-attacking the two lower-voice notes is necessary for two reasons: (1) to avoid having greater harmonic full-ness on the preceding weaker portion of the beat, and (2) to allow finger-2 to take both notes with a partial-bar. The purpose of the partial-bar is to allow a smooth, noiseless connection of the inner-voice-e with the subsequent inner-voice-d-sharp while sustaining the lower-voice-b.

A supported appoggiatura trill is used for the real-ization of the signified trill and may be executed with either ligado or plucking technique.   Convenient execution of the subsequent inner-voice notes is made possible by the substitution of finger-4 for finger-3 during the sustaining time of the point d'arrêt of the trill. Successive use of finger-4 on the last two notes of the trill would be less technically secure.
23:3   The lower-voice-b is not re-attacked because it can

be satisfactorily sustained from the previous attack, and
because the voice leading of the inner voices can be better
perceived with a less prominent lower-voice-b.

Ex. 4.25:   Sarabande, m. 24

24:1   The inner-voice-a is re-attacked so that its
appoggiatura-function may be more clearly perceived.

A partial-bar is not used on the inner-voice notes
because a partial-bar with finger-1 would cause the omission
of the inner-voice-e from the final harmony, and because a
partial-bar with finger-2 would be more difficult for most
performers than the indicated fingering.

The signified mordent is realized with a cross-string
rendition in triplet rhythm (rather than ligado rendition
and/or slower rhythm) because of the desire to have brilliance
and vigor in the final ornamental statement.

24:2,3 The layout of the remainder of the notes of the
measure is determined by that which has preceded it.

Bourrée

The Bourrée is a non-imitative two-voice contra-
puntal composition in which the upper and lower voices have
relatively equal melodic importance. For the most part, the
figural components of the voices differ. There are two
instances in which the voices have simultaneous three-note
figures in "mirror images:" at the beginning of the piece,
and at the juncture of m. 4 to m. 5 (although the lower
voice in the latter case is not exclusively a three-note
figure), as may be noticed in the following example.

Ex. 5.1: Bourrée, mm. 1-6

The upper voice is constructed principally of three-
note figures which begin on the anacrusis and thrust forward
to the ictus in the two-beat metric structure.

The basic figural units of the lower voice may be
viewed as being similarly constructed with regard to the
"anacrusis-ictus" temporal relationship, but such an inter-
pretation--if it were the only view--could tend to produce an
undesirable result in performance: a succession of two-note
figures (the quarter-notes) with a consistent "weak-strong"
rhythmic accentuation would be very dull. A larger

perspective of the combinational constructs must supercede
the view of the figural components. A rendition of the lower
voice as a striding quarter-note bass melody will require an
inconsistent articulation of the two-note figural components
in order to avoid the undesirable result discussed above.

Occasional figures of more than three notes in length
provide relief from the repetitiousness of the many three-
note figures and the underlying quarter-notes. These
figures appear to be four-note figures (see m. 4, Ex. 5.1)
of the same kind as the four-note-forward-driving figures
of the Allemande, but they are not. They may be viewed
as four-note figures (for the purpose of discussion) which
are inseparably joined to the figures that precede them.
Of the five occurrences of four-note figures, only the one
in m. 4 is in the upper voice. The half-note-b in m. 20
(see Ex. 5.2) could be considered the fourth note of a
four-note figure, but it functions more in a harmonic/
rhythmic role than as a melodic variant.

Ex. 5.2: Bourrée, m. 20

There are only two instances of two-note figures in
the upper voice. In each instance, the two-note figure
consists of an eighth-note anticipation of the root-note
and the root-note in a cadential setting (at the juncture

of m. 7 to m. 8, and of m. 15 to m. 16). Example 5.3 shows

the two instances of two-note figures.

Ex. 5.3: Bourrée, two-note figures

The stepwise three-note figures of the Bourree may

be viewed as transformations of the three-note figures of

the Praeludio: ascending in the Passaggio; descending in

the Presto (the figures of the Presto, as mentioned

previously, may be considered as either retrograde or

inverted transformations of the ascending three-note figures

of the Passaggio). The rhythmic placement of the figures

of the Bourrée bears more similarity to the rhythmic

placement of the figures of the Presto than to the rhy-

thmic placement of the figures of the Passaggio: in both

the Bourrée and the Presto, the last note of the three-note

figure falls on the beat, whereas in the Passaggio the

first note of the three-note figure falls on the beat.

A keen awareness of the figural components is both

helpful and necessary in seeking solutions to the problems

of transcription and performance of the Bourrée, but in

this piece, as in others, attention to the figural components

in performance must not be at the expense of attention to

the phrases. Due to the large number of similar rhythmic

units, thoughtful attention to the phrases is perhaps more

important in the Bourrée than in any of the other movements
of the Suite in E-minor (it is, of course, quite important
in all the movements).

In the following discussions pertaining to the
rationale for the solutions to the problems of transcription
and performance of the Bourrée, reference numbers at the
left margin are not used. Each discussion is preceded by a
musical example that contains the measures with which the
discussion is concerned.

Many ornaments are written out in the transcription.
Only in m. 15 is there a signified trill. The ornaments
(optional and signified) are indicated by abbreviations
placed above the staff.

Ex. 5.4: Bourrée, mm. 1-3

In the rationale for fingering of the Bourrée,
the specifics of articulation frequently take precedence
over concern for timbral consistency. The layouts that are
employed for the notes of the first three measures are based
on the desire to obtain similar articulation of each

three-note figure. It is not musically necessary to have a
true legato connection between the first and second notes
of each figure, but it is musically necessary to avoid
having a more legato connection of the second and third
notes than the connection of the first and second notes. To
have either non-legato or staccato articulation between notes
1 and 2 would be disruptive to the clear expression of the
rhythmic structure (sing: dot-dah-daaah), whereas having
either non-legato or staccato articulation between notes 2
and 3 enhances the clarity of the rhythmic structure (sing:
dah-dot-daaah). To facilitate the desired articulation,
notes 1 and 2 are taken on adjacent strings, and notes 2 and
3 are taken on the same string, with the exception of the
downward leap of a fifth (f#-b) at the juncture of m. 1 to
m. 2. The notes of the lower voice are taken with the most
facile finger available, i.e., the upper voice receives
"first choice" in fingering due to the desired articulation
of its figures, and the lower voice is played with the
remaining fingers.

Ex. 5.5: Bourrée, m. 4

At the beginning of m. 4, the three-note figure
"g-a-b" (the g- and a-notes are in m. 3) is joined with the
descending four-note figure "a-g-f#-e." The third-string-b
rather than the second-string-b is used for the last note of
the three-note figure for three reasons: (1) to provide
timbral consistency between the three-note figure and the
four-note figure, (2) to prevent the liklihood of having the
sounding duration of the second-string-b overlap the attack
of the subsequent a-note, and (3) to facilitate technical
control of timbre, dynamics, and articulation.

The cadence (which terminates the first phrase) on
the second beat of m. 4 is both presaged and brought into a
sort of rhythmic "bas-relief" by the use of the four eighth-
notes "b-a-g-f#" in the upper voice. Two seemingly contra-
dictory functions are accomplished by the eighth-notes:
driving forward and holding back. The eighth-notes give
greater stress to the second quarter-note (the anacrusis)
of beat-1 of m. 4 than that which has been present in any
preceding measure. Because of this stress-produced emphasis
in the two-beat metric structure, the rhythmic destination
of the underlying pulse is clarified as being the second
beat of m. 4 (to verify this, clap and count the main
measure-beats of the first three measures, but in the fourth
measure clap and count the first three quarter-notes:
1---2---1---2---1---2---1-&-2). The only expectation that
is produced by the regular rhythmic/melodic emphases
(principally by the forward-driving three-note figures) on
the main measure-beats of mm. 1-3 is that the same kind of

phenomena will continue, but both the rhythmic emphasis on
the second quarter-note and the melodic configuration of
the eighth-notes at the beginning of m. 4 predict that the
second beat will be the destination-point of both the rhyth-
mic and melodic activity. The "driving forward" effect is
produced by the prediction of the destination-point and the
resultant awareness of that toward which the musical motion
is moving. The "holding back" effect is produced by the same
phenomena, but is more the product of the interruption of
the expected continuance of the main-beat emphasis than of
the awareness of the future destination-point.

The eighth-notes in the lower voice serve both to
elide the cadence and to join the end of the first phrase
to the beginning of the second phrase (which is a modified
repetition of the first phrase).

For the repetition of the opening three-note figure
at the end of m. 4, it is more facile to use the first-
string-e than to use the second-string-e as at the beginning
of the piece, but care should be taken not to shorten the
sounding duration of the e-note. The same fundamental
pattern of articulation should be used on the three-note
figures. The use of the open-string-e also adds timbral
variety to the restatement of the figure.

Ex. 5.6: Bourrée, mm. 5-8
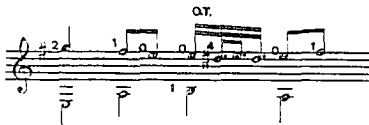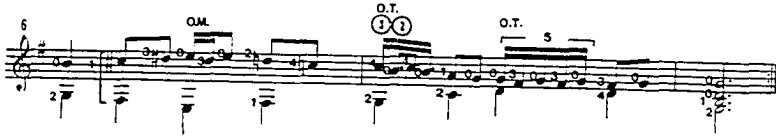
In measures 5, 6, and 7, open strings are used, both
as a technical convenience and to provide timbral variety
on the repetition of the phrase. Optional ornaments are
added (m. 5, Pralltriller; m. 6, mordent; m. 7, Pralltriller
and cadential trill) both to avoid simply repeating the
melody and to provide the characteristic ornamental "spice."
If the quintuplet cadential trill should prove too difficult
to be reliable, a Pralltriller may be used instead.

The lower-voice-d on the fourth beat of m. 7 in the
original is beyond the range of the guitar. In the trans-
cription, the lower-voice-d is transposed up an octave.

Ex. 5.7: Bourrée, mm. 9-11
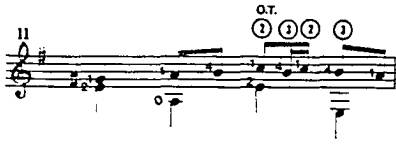
The first four upper-voice notes of m. 9 (d-a-c-b)
and m. 10 (e-b-d-c) bear a striking resemblance to the first
four notes of the Passaggio (b-f#-a-g). The four pitches
of m. 9 constitute a transposition of the thematic kernel
(from the Passaggio) to the relative major key: in m. 10,
the transposition is to the subdominant. Such thematic
transformation abounds in the music of Bach. In this case,
as in the first section of the Bourrée, the pitch contour
is similar but here both the internal durational relation-
ships and the rhythmic placement of the figure are altered.

The desired articulation of the figures of the second
section is the same as that of the first section (dah-dot-
daaah), but similar layouts to facilitate the desired
articulation are not frequently available. The indicated
layout of the three-note figure at the beginning of m. 9
uses the third-string-b rather than the second-string-b
both to provide timbral consistency on the first two notes

of the figure and to avoid the possibility of the b-note
overlapping the subsequent g-note. Such overlapping would
cause the upper-voice melody to appear to be b-d with an
inner-voice-g sounding between the two notes. The timbral
similarity of the two notes (b and d if taken on the second-
string) would also contribute to the misapprehension of the
upper-voice melody. To achieve the desired articulation,
the open-string-g must be damped before the second-string-d
is attacked.

The out-of-range lower-voice-d is transposed up an
octave.

The rationale for taking the notes of the three-note
figure "a-c-b" on the third-string involves both musical
and technical reasons: (1) the lower-voice-d may be damped
by playing either the c-note or the b-note with a rest-
stroke, preventing the lower-voice-d from overlapping the
subsequent lower-voice-g; (2) to obtain timbral consistency;
and (3) the use of finger-2 on the lower-voice-g frees
finger-3 for use on the subsequent upper-voice-g (if the
upper-voice-c were taken on the second-string, finger-2
would take the preceding third-string-a, and finger-3 would
take the sixth-string-g).

In measures 10 and 11, the layouts of the three-note
figures do not employ the design which facilitates the
desired articulation. It is still possible to obtain the
desired articulation without using the layout which facili-
tates such articulation. The reasons for not using the
articulation-facilitating layouts involve either or both of

the following considerations: (1) the articulation-
facilitating design would be less technically facile or
would prevent convenient access to subsequent desired and/or
necessary layouts, and (2) the articulation-facilitating
design would produce a degree of timbral inconsistency which
would be less conducive to the desired musical expression
than that obtained with the non-articulation-facilitating
design.

A tremblement feint is the selected rendition for the
optional cadential trill in m. 11 before the end of the
third phrase in m. 12. The c-note of the original is the
appuy, the b-note of the original is the point d'arrêt, the
single alternation takes place between the two, and the
a-note of the original is the anticipation of the subsequent
cadence-chord-a-note.

Ex. 5.8: Bourrée, m. 12

The somewhat unusual fingering used in m. 12 provides
convenient access to subsequent layouts, and facilitates the
desired articulation of lower-voice notes.

The low-d in the original is transposed up an octave in the transcription.

Ex. 5.9: Bourrée, mm. 13-15

In the fourth phrase, Bach's characteristic second-section developmental technique is apparent. A degree of intentional metric ambiguity (as in the Courante) is created by altering the rhythmic placement of previously stated figures: the contents of beat-2 of m. 9 appear on beat-1 of m. 13, and beat-1 of m. 10 becomes beat-2 of m. 13. The material of m. 13 is stated in sequence in m. 14 (m. 14 is a whole-step transposition of m. 13).

In measures 13, 14, and 15, optional mordents and

Schnellers are employed to ornament the sequential material. As pointed out in the chapter dealing with ornamentation, the Schneller is also called an "inverted mordent" and may be used to complement the mordent in passages of this kind (wherein the two are used in paired statements as each other's inversion: approach from below, mordent: approach from a step above, Schneller).

For the cadential trill (optional) in m. 15, a Pralltriller is used.

Ex. 5.10: Bourrée, mm. 16-17

In m. 16, the first four notes of the lower voice are taken on the sixth-string for two reasons: (1) to avoid a shift on the fifth-string and (2) because of the need to take the fifth-string-d-sharp with finger-1 (so finger-2 will be free to take the subsequent sixth-string-b). The function of the lower-voice melody is to smoothly connect the end of the fourth phrase to the beginning of the fifth phrase.

In the first half of m. 17, the available open-strings

(first-string-e, fourth-string-d) are not used because of
the desire for timbral consistency. On the fourth quarter-
note, the available open-strings are used (first-string-e,
fifth-string-a) to facilitate the technical processes
involved in the subsequent cross-string slide (optional
ornament). Finger-1 takes the first-string-g with the
basal segment and prepares the partial-bar at position III.

Ex. 5.11: Bourrée, mm. 18-19

Several interesting sequential relationships occur
in mm. 17-20: (1) m. 18 is a sequence of m. 17, (2) the
lower-voice lines of both m. 18 and m. 19 are sequences of
the lower-voice line of m. 17, and (3) the interval of a
major-tenth occurs on the first beat of each of the four
measures.

If the performer wishes to clearly state the similarly-
voiced harmonies (m. 17, E-major; m. 18, D-major; m. 19,
C-major; m. 20, B-major), ornamental embellishment should
not be added to the notes of the original. It seems more
fitting, however, to judiciously ornament the sequential

material.

The added slide in m. 18 ornaments the upper-voice
melody without obscuring the clear perception of the fact
that m. 18 is a sequence of m. 17.

A turn rather than a trill is used in m. 19 to avoid
prolonging the f-natural whose appoggiatura function would
detract from the subsequent movement toward the key of
E-minor if struck a second time as part of a trill. The
turn provides more focus on the e-note than would a Prall-
triller in sixteenth-notes; a faster trill with a point
d'arrêt on the e-note would be a good alternative, but at
the tempo of the Bourrée would be exceedingly difficult
to execute precisely.

The harmonic/melodic setting of the cadence-group
that ends the fifth phrase does not invite the addition of
a cadential trill. Neither the upper voice nor the lower
voice of the F-sharp-minor harmony on beat-2 of m. 19
permits the inclusion of an authentic sounding trill.

Ex. 5.12: Bourrée, m. 20

No ornamentation of the d-sharp in m. 20 is added
because the B-major harmony is the cadence-chord, not the
penultimate harmony upon which the cadential trill custo-
marily occurs. One could, however, justify adding a trill
on the d-sharp on the grounds that an unusual cadence-
group permits an unusual trill. Bach occasionally violates
the rules that are derived from his normative compositional
processes. In addition, the lower voice differs from the
preceding measures (in which a phrase-ending occurs) in a
way that a delayed phrase ending on the half-note-b could
be convincingly preceded by a trill on the d-sharp.

Ex. 5.13: Bourrée, mm. 21-22

The musical objective in measures 21 and 22 is to
clearly state the three-note figures of both the upper and
lower voices. Performance of the brief dialogue should
convey the equality of the two voices and must distinguish
between upper- and lower-voice figural identity. To avoid
confusion of the voices, the fingerings that are used must
allow the lower-voice-quarter-notes to sustain beyond the

attack-point of the second eighth-note in the upper voice
where the upper voice has two eighth-notes against a
quarter-note in the lower voice, e.g., if, in m. 21, the
lower-voice-f-sharp received only half of its written dur-
ation, the upper-voice-a could be perceived as a lower-
voice-note. Similar circumstances include the lower-voice-e
in m. 21 and the lower-voice-d-sharp in m. 22. The indi-
cated fingerings for mm. 21-22 provide for the desired
articulation. In performing these two measures, great care
should be taken to avoid sustaining any note beyond its
written duration. Shortening the quarter-notes to approxi-
mately three-fourths their written duration will produce a
somewhat lighter and more vigorous effect. Performing the
interbeat eighth-notes with half-length staccato articulation
will assist in clarifying the identity of the figural units.

Measures 21 and 22 provide yet another example of
Bach's remarkable technique of thematic transformation. One
of the figural components of the Passaggio, a descending
leap of the interval of a fourth followed by an ascending
step, that has been used frequently in the Bourrée gives
the impression of being present in three guises: (1) in the
upper voice, (2) between the upper and lower voices with an
expanded leap, and (3) in the lower voice with the first
note transposed down an octave so that instead of a descend-
ing leap there is an ascending leap. The three-note figures
occur in overlapping statements, thus producing an inter-
woven musical fabric.

Ex. 5.14:   Bourrée, mm. 23-24

In m. 23, the upper-voice-g is viewed as a written-
out appoggiatura which may be incorporated into a cadential
trill.   The trill used on the first time through the section
is a _tremblement feint_; on the repeat, a longer trill is
suggested for both greater ornamental elaboration and for
more finality in ending the movement.

A mordent is added on the final statement of the
closing-chord (octave e-notes) as an ornamental ending.

Gigue

The fundamental units of construction of the Gigue
may be viewed as consisting of two-, three-, and four-note
figures, each of which begins either after the beat or on a
weaker beat and drives toward a stronger beat (Ex. 6.1).
Important motives and figures are formed by combinations of

Ex. 6.1: Gigue, mm. 1-2
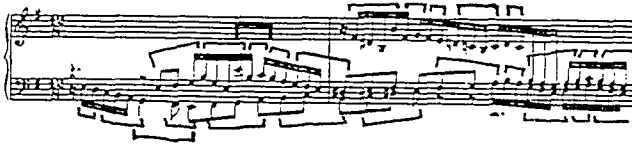
the fundamental units of construction (or alternative views
thereof), and are discussed below.

In the first section of the Gigue two motives
supply the greater part of the musical material. The two
motives will be referred to as the "scalar-motive" and the
"arpeggio-motive." Each consists of six notes, and each
begins after the beat and ends on the beat.

The opening descending scale is a scalar-motive.
The scalar-motive is comprised of two figures: a two-note
figure and a four-note figure as is shown by Bach's subdiv-
ision of the scalar-motive in the following example.

Ex. 6.2: Gigue, m. 12
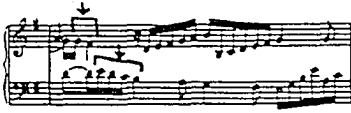
The arpeggio-motive in m. 1 outlines the tones of the
E-minor harmony. It begins on the fifth of the tonic and
ends on the third of the subdominant (b-g-e-e-b-c). The
last three notes of the arpeggio-motive form the same kind of
figure as that which appears so prominently in the second
section of the Bourrée, and which is first encountered in
m. 1 of the Passaggio: a descending leap of a fourth
followed by an ascending stepwise (either half-step or whole-
step) note. This figure will be termed the "leap-step
figure" and is indicated by a bracket in Ex. 6.3.

The figural components of the arpeggio-motive are

Ex. 6.3: Gigue, m. 1

not as clearly defined as those of the scalar-motive, nor
are the seemingly contradictory views of its figural compo-
nents (as in Exx. 6.1 and 6.3) at odds with one another.
Because of Bach's usage of the leap-step figure in previous

movements, this figure is both perceptually and composi-
tionally of sufficient musical significance to be considered
an undeniable figural component of the arpeggio-motive. The
fact (or view) that the leap-step figure begins with the
fourth note of the four-note figure that precedes it does not
alter the validity of the view of the four-note figure as
such. The leap-step figure is viewed as a combinational
figure of a higher order of musical significance than the
two figures from whose notes it is formed.

The other important figure that is found in the first
measure of the Gigue will be termed the "quarter-eighth
figure." The quarter-eighth figure is so named because its
principal components are a quarter-note followed by an
eighth-note. The quarter-eighth figure extends from one beat
to the next, and is easily recognizable in its various forms
(descending in m. 1, repeated-note in m. 3, ascending major-
third in m. 5, etc.) throughout the movement. The quarter-
eighth figure, like the leap-step figure, is viewed as a
combinational figure on a different level (though not a
higher level) of musical structure from the two figures
whose notes comprise it. The quarter-eighth figure of m. 1
is shown by a bracket in Ex. 6.4.

Ex. 6.4: Gigue, m. 1

A primary objective in fingering is to avoid dis-
guising or distorting the important motives and figures and
their subsequent imitations and transformations. With the
scalar-motive, this would ideally be accomplished by employing
a consistent (or similar) notes-per-string layout of the
component figures (Ex. 6.5).

Ex. 6.5: If the opening motive were

(a) ④   ⑤   ⑥

    e – d – c – b – a – g
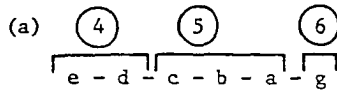
subsequent imitations would be

(b) ③   ④   ⑤

    b – a – g – f$^{\#}$ – e – d$^{\#}$

(c) ②   ③

    f$^{\#}$ – e – d – c – b – c

(d) ②   ③

    d – c – b – a – g – a
    b – a – g – f$^{\#}$ – e – f$^{\#}$

    ③   ④
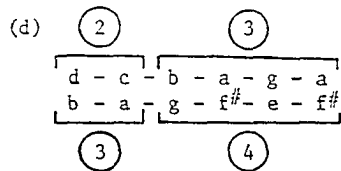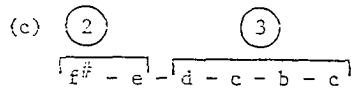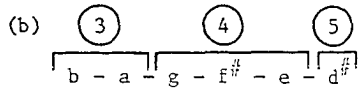
While the layouts of examples 6.5a-c are all possible, they
are not necessarily the layouts "most likely to succeed."
Wherever possible, the layout of the scalar-motive takes the
two-note figure on one string and either the entire four-note
figure or its first three notes on a different string to
obtain timbral consistency relative to the figural components.
A two-notes-per-string layout is avoided because such a lay-
out would tend to create an undesirable grouping structure of
three two-note groups in a weak-strong rhythmic structure.

The four-note figural component of the scalar-motive is the
same kind of forward-thrusting rhythmic figure as that of
the Allemande, and the layout of the four-note figure with
either the first three notes or all four notes on the same
string, but on a different string from that of its preceding
two-note figure, aids in conveying this aspect of its rhy-
thmic structure. To avoid creating the impression that the
subsequent imitations of the opening motive begin on the
beat, the after-beat note on which the motive actually begins
is, wherever feasible, taken on a differen⌐ string from the
onbeat note.

   To clearly state the leap-step figure (or to avoid
disguising it) the performer must be careful not to allow
the first note to overlap the second. If the first note were
to overlap the second note, the second and third notes would
be perceived as a two note figure, and the unifying effect
created by Bach's extensive use of the leap-step figure would
be lost. A slightly shortened sounding duration of the
second note, as in the Bourrée, will be effective in
enhancing the clarity of the leap-step figure.

   In the following presentation of the rationale for
solutions to the problems of transcription and performance
of the Gigue, each of the measure-by-measure discussions
is preceded by the musical examples (both the NBA version
and the transcription) with which the discussion is concerned.
In some instances, such as those in which the musical material
being discussed extends from the latter part of one measure
through the first part of the next measure, or those in which

the discussion is of considerable length, additional musical
examples are included for the convenience of the reader.

Ex. 6.6: Gigue, m. 1

The scalar-motive is taken in position II to facili-
tate taking the three-note figure "e-f#-g" of the middle
voice on the fourth-string. If the third note of the three-
note figure were taken on the third-string, the timbral
similarity of the g-note and the subsequent b-note in conjunc-
tion with the timbral dissimilarity of the second and third
notes of the three-note figure would tend to cause the g-note
to seem to be the first note of the arpeggio-motive. Taking
the first b-note of the arpeggio-motive on the third-string
provides a degree of timbral distinction which aids in esta-
blishing the beginning of the motive.

The identity of the arpeggio-motive would be better
clarified with the use of the open third-string-g rather than
with the same fourth-string-g which precedes the beginning
of the motive, but use of the open third-string-g would
require finger-2 to take the fourth-string-e, and would re-
quire the open third-string-g to be damped at the attack-point

of the fourth-string-e. Such technical processes would not

permit the use of finger-4 on the e-note of the leap-step

figure, but would necessitate taking the e-note on the open

first-string, thereby adding to the technical difficulty of

clearly stating the leap-step figure--the open first-string

would have to be damped at the attack-point of the second-

string-b. Additionally, the strikingly different timbre of

the open first-string would detract from the clarity of the

leap-step figure by focusing too much attention on the

e-note and not enough on the subsequent b- and c-notes.

Taking all three notes of the leap-step figure on the second-

string is the best means of clearly conveying the identity of

the figure.

The indicated layout of the notes of the arpeggio-

motive that precede the leap-step figure is determined by

the desired layout of the leap-step figure.

Ex. 6.7: Gigue, linkage of mm. 1-2

The first note of the scalar-motive "b-a-g-f♯-e-d♯"

is taken on the third-string to obtain timbral differentiation

between it and the last note of the preceding leap-step

figure. The desired layout of the component figures of the scalar-motive is available and is used even though the layout involves slightly more difficult technical processes: (1) the open-string-g is not used, but would have been more technically facile than taking the fourth-string-g with finger-4; (2) if the open-string-g had been used, the three remaining notes "f#-e-d#" could have been taken with fingers 4, 2, and 1, and the potentially noisy same-finger shift on the e-to-d-sharp would have been eliminated. The indicated layout is technically more difficult, but is musically superior.

The notes of the lower voice are fingered relative to their coincidence with notes of the middle voice as a matter of technical expediency.

Ex. 6.8: Gigue, m. 2

Taking the lower-voice-b with finger-3 allows finger-2 to function as a position-pivot while stopping the upper-voice-f-sharp. If the upper-voice-f-sharp were taken with finger-3, the f-sharp would be excessively shortened because of the necessity to remove finger-3 in time to get to the subsequent lower-voice-c-sharp. The position-pivot on finger-2

provides a relatively smooth linkage of the technical pro-
cesses.

Taking the first two notes (b-e) of the leap-step
figure under a partial-bar with finger-4 allows both of the
accompanying notes of the original (f#/d#) to be included in
the transcription (the f# is omitted in most transcriptions).

It is not technically feasible to take the first note
of the scalar-motive on a different string from the last
note of the leap-step figure. Taking the last note of the
leap-step figure on the second-string provides the avenue of
approach to the desired location of the destination-notes
(a/c) of the upper and middle voices. The location of the
upper-voice-e on the third-string and the middle-voice a on
the fourth-string produces timbral differentiation between
the onbeat notes and the first notes of the subsequent scalar-
motive in thirds--the layout of the first notes of the
scalar-motive in thirds has the upper-voice-d on the second-
string and the middle-voice-b on the third-string. An addi-
tional reason for the desirability of the indicated layout is
that all three of the middle-voice notes "f#-g-a" are taken
on the fourth-string--doing so provides timbral consistency
on the notes of the three-note figure.

An alternative, and considerably less difficult, lay-
out would be to take the upper-voice-g (the last note of the
leap-step figure) on the first-string, and the lower-voice-e
on the fourth-string. Such a layout would allow the use of
the open strings on the e-, b-, and g-notes, but would place
the destination-notes of the upper and middle voices on the

same strings as the first notes of the scalar-motive in
thirds. If it is not possible for the performer to precisely
execute the indicated layout, the alternative layout is
recommended.

Ex. 6.9: Gigue, m. 3

The indicated layout of the destination-notes (upper-
voice-f♯ on fourth-string with finger-1, middle-voice-d♯ on
fifth-string with finger-2) of the passage in thirds is neces-
sary to allow the middle-voice-d-sharp to sustain beyond the
attack-point of the lower-voice-c. Common solutions to the
difficulty of the passage involve either the omission of the
d-sharp or taking the lower-voice-c on the same string as the
middle-voice-d-sharp. Neither of the solutions is desirable
because of the misrepresentation of Bach's musical content.
In the indicated layout, the duration of the middle-voice-d-
sharp is necessarily a sixteenth-note shorter than written
because of taking the lower-voice-a on the fifth-string, but
the inclusion of all three voices is accomplished.

In this measure, special attention to the leap-step
figures in the lower voice is required to prevent their being
overshadowed by the intensifying chromaticism in the upper

voice.

Open strings are used for the onbeat notes which
precede the upper-voice scalar-motive. Doing so provides a
degree of added technical facility, but, more importantly,
produces the desired timbral differentiation between the
first note of the scalar-motive (taken on the third-string)
and the preceding onbeat note.

The desired layout of the component figures of the
scalar-motive is available at the expense of technical
facility, and, because of its musical superiority, is used.
The open-string-g is used for the destination-note of this
scalar-motive to provide timbral differentiation between it
and the subsequent scalar-motive.

Ex. 6.10:   Gigue, m. 4

In the fourth measure, the scalar-motive is stated
successively by each voice in alternation rather like a
dialogue, and is accompanied each time by the stepwise ascend-
ing figure (two 8ths and one 16th). The desired layout for
timbral differentiation between the onbeat note and the first
note of the scalar-motive is not feasible for every statement

of the scalar-motive, but the desired layout of the component

figures of the scalar-motive is available--again at the

expense of technical facility--and is used.

Ex. 6.11: Gigue, m. 5

In what seems to be an answer to the four statements

of the scalar-motive in m. 4, the arpeggio-motive is simi-

larly stated four times in m. 5.

Use of the fourth-string-g rather than the third-

string-g at the beginning of m. 5 aids in the distinction of

one voice from the other: the timbres of the notes of the

arpeggio-motive are substantially different from the timbres

of the notes of the accompanying voice, and the fourth-string-

g may be sustained beyond the attack-point of the third-

string-g of the arpeggio-motive.

In each of the lower-voice statements of the arpeggio-

motive in m. 5, the lowest pitch of the motive is beyond the

range of the guitar. Several solutions to the problem exist,

but the decision regarding which of the solutions to choose is

not an easy one. The alternative solutions that are consi-

dered are presented in the numbered paragraphs below.

(1)   The most obvious solution is to simply transpose the lower-voice notes up an octave (Bream's solution). This solution has the musical advantage of preserving the pitch-contour of the original, both with regard to the notes of the arpeggio-motives and to the linkage (by means of the quarter-eighth figure) of the two motives. There are several disadvantages which result from this solution: (a) the first note of the leap-step figure at the end of each lower-voice arpeggio-motive is preceded by the same pitch before the beginning of the motive, (b) the intervallic spacing between the voices is reduced, (c) the three-voice texture is, in effect, reduced to a two-voice texture, (d) the registral "bass-voice" quality of the lower voice is lost, and (e) the lower-voice-a in m. 6 seems to enter from out of nowhere when the voicing of the original is resumed.

Ex. 6.12: Gigue, m. 5, transcription by Bream

(2)   The solution employed by Tomas transposes the middle-voice-b- and c-notes which precede the first lower-voice arpeggio-motive down an octave, transposes the arpeggio-motive up an octave, takes the lower-voice-c-sharp and d-notes at the pitch of the original, omits the middle-voice-d, transposes the second arpeggio-motive up an octave, and resumes the voicing of the original (with the above-mentioned

a-note) in m. 6. This solution has the musical advantage of
preserving the pitch-contour of each of the lower-voice
arpeggio-motives. The linkage of the two motives is altered,
but the alteration involves a cleverly constructed variation
of the notes of the original in an imitation of the alteration
of the first two middle-voice notes of the measure: the
ascending thirds (g-b and a-c#) are changed to descending
sixths. This solution eliminates the disadvantage of item
(a) of the above discussion, and decreases the detrimental
aspects of items (b) and (d), but is equivalently disadvan-
tageous with regard to item (e), and is even more disadvan-
tageous with regard to item (c).

Ex. 6.13: Gigue, m. 5, transcription by Tomas
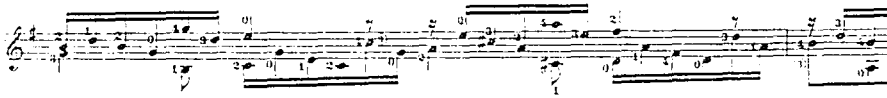
(3) The solution employed in the present transcrip-
tion transposes only the first three notes of each lower-voice
arpeggio-motive up an octave. The principal disadvantage of
this solution is the resulting distortion of the arpeggio-
motives: repeated notes rather than octave leaps. The
distortion of the arpeggio-motives is a major disadvantage,
but the advantages of this solution seem to warrant such
distortion: (a) the identity of the leap-step figure is
clearly conveyed at the original pitch, and is not preceded
by the same notes, (b) more of the original intervallic

spacing between the voices is retained, (c) the three-voice texture is preserved, (d) the registral "bass-voice" quality is retained, and (e) the lower-voice-a in m. 6 logically follows the last note of the second arpeggio-motive.

Ex. 6.14: Gigue, m. 5, transcription by Bogle

Ex. 6.15: Gigue, m. 6

For the b- and g-notes of the upper-voice arpeggio motive in m. 6, open strings are not used. No musical advantage would result from the use of the open strings, but such use would require the added technical process of damping. The last note of the arpeggio-motive is taken on the open first-string both for the technical facility of doing so and for the musical advantages of timbre and articulation mentioned previously.

        The desired layout of the scalar-motive is used for

the first scalar-motive in m. 6, but is not available for
the other two occurrences. The somewhat awkward fingering of
the motives is necessary if the accompanying thirds of the
original are to be included in the transcription (one or
more of the middle-voice notes is omitted in most transcrip-
tions). Use of the fifth-string-a for the penultimate note
of the first lower-voice scalar-motive may cause the upper-
voice-a to be shortened due to the removal of finger-1 from
the fifth-string, but it is possible to slide the partial-bar
to release the fifth-string without releasing the third-string-
a. In addition to technical convenience, use of the fifth-
string-a rather than the sixth-string-a decreases the tendency
to distort the perception of the groupings of the component
figures of the scalar-motive: use of the sixth-string-a could
tend to construct three groups of two-note figures in a
weak-strong rhythmic structure.

The second lower-voice scalar-motive in m. 6 is trans-
posed up an octave because the last two pitches of the
original are beyond the range of the guitar. The middle-
voice-g which precedes the first note of the scalar-motive is
written in the transcription, as it is in the original, with
the duration of an eighth-note even though the duration
in performance will be reduced to that of a sixteenth-note
because of the necessity of taking the subsequent a-note on
the same string. The durational values of the original are
used to clarify the voice-leading and as a notational con-
venience (some versions write the lower-voice-g as an eighth-
note, the middle-voice-g as a sixteenth-note and connect the

middle-voice-g with the subsequent lower-voice-a by the
sixteenth-note beam). The fingering of the scalar-motive
and the accompanying thirds is difficult, but is unavoidable
unless one or more notes of the middle voice are omitted.

Ex. 6.16: Gigue, m. 7

Because of the problem of range, the lower-voice
notes in the first half of m. 7 are transposed up an octave.

The figural content of the upper voice at the begin-
ning of m. 7 may be viewed as a combination of a portion of
the arpeggio-motive and the four-note figure of the scalar-
motive, or may be viewed as the combination of a much used
figure, the ascending leap of a fourth, and the four-note
figure of the scalar-motive. The desired layout of the four-
note figure is not technically feasible, but the desired
articulation may be accomplished with special care to avoid
the construction of undesirable groupings: the figural units
should not be perceived as "c-b; a-g; f#-g; etc.," nor should
they be perceived as "b-a; g-f#," but should be perceived as
"g-c; b-a-g-f#" in the two-plus-four grouping of greater
forward momentum. The desired "dot-dah" execution of the

ascending leap g-c is fortuitously almost unavoidable due to the position-change involved in the leap from the finger-1-g to the finger-4-c, but care must be taken to avoid shortening the sounding duration of the c-note, and to avoid excessive dynamic emphasis of it.

The desired layout of the scalar-motive "g-f♯-e-d-c-b" is used in spite of the added technical difficulty of so doing. The destination-notes of both the upper-voice scalar-motive and the lower-voice figure are taken on open strings both as a technical convenience and to provide timbral consistency between the destination-notes and the subsequent sounding of the same notes (b/g).

The lower-voice arpeggio-motives are taken at the register of the original, with the exception of the out-of-range d-note which is transposed up an octave. Use of the fifth- and sixth-strings for the latter part of the first arpeggio-motive provides convenient access to the sixth-string-c, the use of which permits the inclusion of both of the accompanying notes "a/g" of the original (the g-note is usually omitted, but some transcriptions take the g-note on the fourth-string as a sixteenth-note and follow it with the e-note on the same string--the result of which is an erroneous perception of the figural structure).

The last lower-voice arpeggio-motive of m. 7 is actually a variation of the arpeggio-motive. The octave-leap normally encountered in the motive is replaced by a leap of the interval of a fourth to provide the root of the V chord in the ii-V-I chord progression in the key of G-major. As

mentioned previously, the d-note is repeated because of the necessary octave-transposition of the low-d of the original.

Ex. 6.17: Gigue, m. 8

The desired layout for each of the scalar-motives of m. 8 is available, but the desired placement of the last note of a preceding motive on a different string from the first note of a subsequent motive is not technically feasible in two instances: at the beginnings of the second and fourth scalar-motives. The fingering of the third scalar-motive and the accompanying thirds is quite difficult, but it is the only fingering discovered which permits inclusion of the notes of the original (the middle-voice-f-sharp is customarily omitted, but some transcriptions also omit the middle-voice-e). The open-string-g is used for the last middle-voice eighth-note of the measure as a technical convenience. A loss of timbral consistency results from using the third-string-g rather than the fourth-string-g, but the added technical facility compensates for the loss--especially after the difficulty of performance of the third scalar-motive and its accompanying thirds.

Ex. 6.18: Gigue, m. 9

The layout of the first arpeggio-motive and the
accompanying middle-voice notes of m. 9 is based on technical
expediency relative to the preceding layout. Other finger-
ings are possible, but offer neither technical nor musical
advantages.

Finger-2 is used on the upper b-note of the lower-
voice arpeggio-motive, and finger-3 is used on the accom-
panying upper-voice d-sharp to provide convenient access to
the upper-voice-e and the lower-voice-g which follow.

Use of the partial-bar at position IV is difficult
but necessary if the durational values of the original are to
be performed (most transcriptions take the e/b/g-notes on
open strings and write the durations of the middle-voice-
b-notes as sixteenth-notes). Open strings are used for the
third occurrence of the e/b/g-notes to provide convenient
technical access to the upper-voice-f-sharp and the lower-
voice-f-sharp, and to permit the eighth-note duration of the
middle-voice-b.

A cadential trill on the c-sharp is optional. A
Pralltriller is advisable even though it transforms the

F-sharp-with-suspension into a tonic-six-four chord. The
context is not suitable for a Schneller, and the additional
repercussions required for a main-note cadential trill are
not technically feasible. The use of a hinge-bar with
finger-2 stopping the first-string-g while preparing the
second-string-d (the first note of the trill) may, for some
performers, facilitate a smooth connection of the two notes,
but whether or not the hinge-bar is used, care should be
taken not to excessively shorten the duration of the first-
string-g. If the optional trill is performed, the performer
may wish to re-attack the inner-voice-b to reinforce its
presence. If the optional trill is not performed, the inner-
voice-b should not be re-attacked. Re-attacking the inner-
voice-b transforms it from a suspension to an appoggiatura:
without the trill, the suspension will be heard and is
preferable; with the trill, the repercussions may tend to
overshadow the suspension, depending upon the instrument and
the performer, and, if such is the case, re-attacking the
inner-voice-b is advisable.

Ex. 6.19: Gigue, m. 10

In m. 10, which is rather like a codetta (or like the
brief coda at the end of the movement) following the V-I
cadence in the key of the dominant (B-major), a variant of
the arpeggio-motive occurs on the B-major triad and is fol-
lowed by another variant which uses, essentially, the notes of
an E-minor triad (the e and a-sharp of the second arpeggio-
motive variant may be construed as implying a VII chord).
Each of the variants contains the leap-step figure at the end
of the motive, but the interval of the leap in the second
leap-step-figure is expanded to a diminished fifth. The
indicated layouts are based partly on the desire to avoid
disguising the leap-step figures and partly on the desire to
avoid either overlapping notes or cumbersome right-hand
damping. The leap-step figure at the end of the first
arpeggio-motive variant is more clearly conveyed with the use
of the fourth-string-g than with the use of the third-string-g.
To conveniently arrive at the fourth-string-g with finger-4,
it is necessary to take the third lower-voice-b with finger-1
rather than finger-2, and to take the middle-voice-f-sharp
with finger-3 rather than finger-4. The durations of the
notes of the second arpeggio-motive variant are more easily
controlled by using stopped strings than by using open strings.
Use of the open strings would be easier in the attacking of
the notes, but would require cumbersome right-hand damping to
avoid allowing the notes to overlap.

The quarter-note duration of the middle-voice-b in
the original is written in the transcription even though the
sounding duration is only that of a dotted-eighth-note due to

the subsequent d-sharp on the same string.

The layout of the scalar-motive variant (in sixths) which concludes the first section is a matter of instrumental/ technical necessity. Some performers may wish to take the closing B-major chord in position IV. The only disadvantage of doing so is the potential for noise due to moving the partial bar from position II to position IV. If the performer is able to avoid the string-noise of the shift, either location of the B-major chord is satisfactory.

In the second section of the Gigue, the development of the musical material of the first section consists largely of, but is not limited to, inversion of the principal motives (of the first section) in sequential statements. The quarter-eighth figure is used abundantly in many guises, but most notably in sequences of the descending stepwise pattern that occurs in m. 1. The use of the quarter-eighth figure in a descending sequence functions as a unifying device on two levels: (1) as a developmental aspect of the musical material of the Gigue, the figure may be viewed as both a sequential usage of the quarter-eighth figure of the first measure and as a rhythmic variant (through augmentation) of the opening scalar-motive (or its figural components); (2) the relationship of the quarter-eighth figure of the Gigue to the figural component of the Presto may seem somewhat tenuous, but is of sufficient similarity, with regard to both structure and perception (compare $\frac{g \quad\quad f\#e}{1-2-3-1}$ and $\frac{g \; g \; f\#e}{1-2-3-1}$), to justify considering the relationship to possess the property referred to as a "unifying effect."

Ex. 6.20: Gigue, m. 11

The inverted scalar-motive occurs four times in m. 11.
Only for the first occurrence is the desired layout feasible.
In spite of the potential for unwanted string-noise, finger-4
is used for the last two notes of the motive on the fourth-
string. In this instance, keeping the last note of the figure
on the same string as the penultimate note provides timbral
consistency with the prior note, facilitates control of dyna-
mics (similar string-response), and is conducive to production
of the desired articulation (ranging from non-legato to half-
length-staccato). Because of the necessary approximately
half-length-staccato connections between both the third and
fourth notes and the fifth and sixth notes of the subsequent
motive, the performer is advised to perform all articulations
of the notes of the first two motives with a sufficient
degree of non-legato connection to avoid having the necessary
detached connections stand out as oddities.

The open-string-a is not used for the fourth note of
the second statement of the inverted scalar-motive because
there would be neither musical nor technical advantage gained
by doing so. If the open-string-a were used, there would be

less consistency of timbre, greater difference of articula-
tion, and no substantially less difficult technical processes
--the shifts would still be necessary, but finger-2 would not
have to stop the sixth-string-a.

In the second half of the measure, the primary concern
is simply to be able to include the notes of the original.
The full-bar on position VII takes the inner-voice-e and the
upper-voice-f-sharp, then becomes a pivot-bar to allow the
use of the open-string-d concurrent with the sixth-string-b.
Most transcriptions omit the inner-voice-a (below the destin-
ation-note-c of the third statement), thereby losing both the
dissonance of adjacency (upper-voice-b, inner-voice-a) and
the musical effect/logic of the quarter-eighth figure (if
there is no a-note, from whence comes the inner-voice-g ?).
The last note of the measure (lower-voice-c) may be taken
either on the fourth-string with finger-4 or on the third-
string with finger-1. In the indicated layouts the successive
use of finger-4 (on b and c) is difficult and is likely to
produce string-noise, but such use allows the upper-voice-b
to receive its written duration. Taking the c-note on the
third-string with finger-1 would be less difficult, but would
cause the duration of the upper-voice-b to be shortened
because finger-1 would have to release the upper-voice-b
to take the lower-voice-c.

Ex. 6.21: Gigue, m. 12

In the indicated layout at the beginning of m. 12,
taking the upper-voice-a with finger-1 on the first-string
and the lower-voice-d with finger-2 on the third-string is
necessary to allow the inner-voice-suspension-g to be sus-
tained. Finger-3 must take both the g-note and the subsequent
f-sharp because fingers 1 and 2 are occupied with sustaining
the upper-voice-a and the lower-voice-d. The subsequent
lower-voice-e must be taken on the third-string with finger-4
because of the sustaining upper and middle voices. Here,
Bach has divided the six-note scalar-motive into its component
two-note and four-note figures in the middle and lower voices,
respectively. Additionally, the two-note figure "g-f#" func-
tions as the reiteration of the penultimate note and delayed
destination-note of the quarter-eighth-figure at the last of
m. 11. Third-string layout of the four-note figure "e-d-c-b"
is ideal with regard to timbre and articulation. The use of
finger-3 for the destination-note-b places the hand in posi-
tion for the subsequent inverted scalar-motive.

The layout of the first of the upper-voice inverted
scalar-motives places the two-note figure "d-e" on the

second-string and the four-note figure "f#-g-a-b" on the
first-string to obtain the desired timbral and articulatory
relationships. The layout of the second of the motives is
determined partially by instrumental/technical necessity and
partially by the need to arrive at the desired location for
the subsequent inverted arpeggio-motive. Careful articula-
tion of the notes of the component figures (c-d more legato
than d-e) can prevent the three-notes-per-string layout from
distorting the perception of the figural structure.

The fourth-string rather than the third-string is used
for the g-note of the inverted arpeggio-motive for two rea-
sons: (1) a similar notes-per-string layout is necessary on
the subsequent inverted arpeggio-motive, and (2) greater
timbral consistency is obtained by not using the open-string-g.

Ex. 6.22: Gigue, mm. 12-13

Each of the inverted arpeggio-motives of mm. 12 and 13
includes two harmonies whereas the regular arpeggio-motives
contain only one harmony. Beginning with the inverted
arpeggio-motive of m. 12 and continuing through m. 13, the
basic harmonies (excluding sevenths) contained in the inverted

arpeggio-motives are as follows (small letters represent
minor; capitals, major): e-a; D-G; C-f#; B-E; A-D.

The harmonic content of the inverted arpeggio-motives
is clarified by the concurrent upper-voice notes. The upper
voice is comprised of successive quarter-eighth figures in a
gradually descending line from g down to b--encompassing an
intervallic span similar to that of the descending scalar-
motive.

The voice-leading in the inverted arpeggio-motives
bears some similarity to that which occurs in mm. 21 and 22
of the Bourrée: the changes of harmony that occur on a
strong beat are approached by a downward leap of a seventh
rather than an upward step of a second.

Ex. 6.23: Gigue, m. 13

Many possible layouts exist for the inverted arpeggio-
motives of mm. 12 and 13. Bream's transcription begins m. 13
in position VII with finger-4 taking the d-note on the sixth-
string, and moves downward through positions V, IV, and II.
Although Bream's layout provides excellent timbral consis-
tency from motive-to-motive, the timbre obtained is not

necessarily desirable (due to the diameter/length ratio of
the strings, it is a bit heavy, thick, dark, and dull)
and each motive is preceded by a change of position. Bream's
layout is manageable, but cumbersome.

The indicated layout avoids the higher positions for
the purpose of obtaining a lighter timbre (related to the
diameter/length ratio), and for the purpose of avoiding
changes of position that involve a partial-bar. The indicated
layout provides a smoother connection, both musically and
technically, than other possible layouts. If, in the third
motive-statement of m. 13, the performer is unable to use
the indicated partial-bar with finger-3, the b-note may be
taken instead on the open second-string (but so doing shortens
the duration of the preceding upper-voice-d-sharp). The
a-note of the fourth motive-statement is taken by finger-3
to free finger-1 for taking the subsequent upper-voice-c. If
both the e-note and the a-note were taken under a partial-bar
with finger-1, the upper-voice-c would be taken by finger-4
on the third-string, and the lower-voice-f-sharp would be
taken by finger-3. With this layout, there would be some
loss of timbral consistency on the quarter-eighth figure, and
the subsequent lower-voice-g would have to be taken by finger-
2, the technical result of which would be a necessary
position-change during the subsequent inverted scalar-motive
in m. 14. The indicated layout is better because it permits
the lower-voice-g to be taken with finger-3, and, as a result,
provides positional stability for the first part of m. 14.

Ex. 6.24: Gigue, m. 14

The layout of the inverted scalar-motive four-note figure in tenths ($\frac{b-c-d-e}{g-a-b-c}$) is a matter of instrumental/ technical necessity, and is used in virtually all transcriptions. In the layout of the subsequent inverted scalar-motive in tenths, some transcriptions take the upper-voice-g with finger-4 and the subsequent upper-voice-a with finger-2. The indicated layout takes the upper-voice-g with finger-2 and the a-note with finger-4 because so doing provides a more legato connection of the fourth and fifth notes ($\frac{g-a}{e-f\#}$) than that of the third and fourth notes. The layout that is used in other transcriptions reverses the desired articulatory relationships.

On the thirds that follow the tenths, finger-2 rather than finger-3 takes the lower-voice-f-sharp (as notated, the inner-voice-f♯) to reduce the distance of the sudden change of position. Finger-2 and finger-3 are used on the third and fourth pairs of notes to free finger-1 for taking the lower-voice-g on the sixth-string.

In the cadential inverted arpeggio-motive, the c- and d-notes of the original are below the range of the guitar.

In the transcription, only the two out-of-range notes are
transposed up an octave. If the entire lower-voice motive
were transposed up an octave, the octave-a-notes of the ori-
ginal would become a unison, two of the lower-voice notes
would be higher than the upper-voice notes, and the voice
leading of the original would be altered even more than the
degree of alteration that is the result of transposing only
the two out-of-range notes up an octave.

The inner-voice quarter-note-g is taken on the
fourth-string because the subsequent upper-voice-a will be
taken on the third-string. The third-string-a must be
overlapped by the fourth-string inner-voice-g to obtain the
intended dissonance of adjacency.

The performer may wish to include an optional caden-
tial trill on the upper-voice-a. If so, the recommended
trill is a Pralltriller in a cross-string plucked rendition.

Ex. 6.25: Gigue, m. 15

The inverted arpeggio-motives of m. 15 differ in
structure from those of m. 13. Changes of harmony occur

between, but not within, the motives. There are several

interesting relationships between the two sequences. (1) Each

encompasses five time-units ("time-units" is a more appro-

priate term for the temporal units of six sixteenth-notes

joined by a beam than is the term "beats"): the arpeggio-

sequence of m. 13 begins on the fourth time-unit of m. 12;

the arpeggio-sequence of m. 15 carries on through the first

time-unit of m. 16. (2) In the arpeggio-sequence of m. 13,

the arpeggiation is in the lower voice while the upper voice

is comprised of repeated-note quarter-eighth figures; in the

arpeggio-sequence of m. 15, the arpeggiation alternates

between voices (three upper-voice statements, two lower-voice

statements) with a different design in each voice, and each of

the upper-voice statements contains the descending quarter-

eighth figure in diminution (on sub-units 4--6-1) while the

repeated-note quarter-eighth figure either is or appears to

be present in the lower voice. (3) Each is a modulatory

sequence: the arpeggio-sequence of m. 13 moves from E-minor

to G-major; the arpeggio-sequence of m. 15 moves from G-major

to E-minor. (4) The destination-notes "g/e" in m. 16 are the

notes with which the earlier sequence begins in m. 12.

Both the upper-voice and lower-voice inverted arpeggio-

motives contain implied polyphony. Bach's subtle combinational

means of incorporating figural components into the arpeggio-

motives is an ingenious manner of thematic transformation. As

mentioned above, the upper-voice motives contain the des-

cending quarter-eighth figure in diminution (the G-major

motive contains the first two notes of the figure "g--f♯-e;"

the A-major, "a--g-f#;" and the B-major, "b--a-g"). The
root-notes of each motive occur at the time intervals of the
quarter-eighth figure and may be perceived as such (repeated-
note quarter-eighth figures). Support for the view of
two-voice structure being contained in the upper-voice notes
resides in the fact that an inner-voice-c (quarter-note)
appears at the beginning of the C-major motive: The inner-
voice-c is apparently the consequent-note of the upper-voice-g
closest to it--the upper-voice-g is apparently intended to
function as an implied inner-voice note. Each of the lower-
voice motives contains, in addition to the implied quarter-
eighth figure on the root-notes, a rhythmic variant of the
leap-step figure (the C-major motive contains the figure
"c--g-a," the D-major motive contains "d--a-b"). The per-
former may wish to clarify the subtleties of figural content
by dynamic emphasis upon and/or durational extension of
significant notes.

Ex. 6.26: Gigue, m. 15

The last note of the G-major motive appears in the
NBA edition as an f-natural. In the manuscript (and in the

BG edition), there is no natural-sign. Baroque performance practice allows some latitude in the treatment of accidentals, and because of this, either f-sharp or f-natural is acceptable. The rationale for using f-sharp rather than f-natural is based on the following considerations. (1) Previous occurrences of the descending quarter-eighth figure do not contain an f-natural; thus, the diminution of the quarter-eighth figure will be more readily perceived as such by using the f-sharp rather than the f-natural. (2) The use of f-sharp "feels" better: following the important dominant-to-tonic cadence in the key of G-major, modulation to the key of C-major through the use of the f-natural seems to be too soon a departure from G-major; use of the f-sharp allows the key-feeling of G-major to remain throughout the C-major motive: The subsequent modulation to D-major feels better, and is more logical, as a modulation to the dominant of G-major than as a modulation to the major-supertonic of C-major. (3) The editors of the NBA apparently felt that the modulatory sequence should contain three dominant-seventh harmonies in a sequence of V^7-I progressions of similar (or identical) relationships in the keys of C-major, D-major, and E-minor, but such absence of variation generally occurs in more closely stated sequential imitations (such as the first three inverted arpeggio-motives of mm. 12-13, and the sequential imitations of m. 16), whereas the more extended sequential imitations generally employ some element of variation (such as that found in mm. 13-15 of the Allemande). (4) The

manuscript does not contain the f-natural.

The rationale for the layouts of the inverted arpeggio-motives of mm. 15-16 is based on a combination of the above-discussed considerations and instrumental/technical necessity. It may be pointed out that wherever possible the notes-per-string aspect of the layouts remains consistent from one sequential statement to the next. Exceptions to the notes-per-string consistency are for the reason of technical facility and are as follows: (1) the open-string-d is used in the D-major motive to facilitate the shift to the position that is necessary for the B-major motive, and (2) the open-string-b and the second-string-a are used in the B-major motive to provide the desired approach to the subsequent notes.

Ex. 6.27: Gigue, m. 16

The inverted arpeggio-motive sequence of m. 16 contains a number of features which exemplify Bach's extraordinary inventiveness and craftsmanship in the use of musical

material. The features are discussed in the following
paragraphs.

Within each six-note time-unit of the lower voice,
there are three levels of implied-polyphony: level 1 is
comprised of the first and fifth notes of each time-unit and
may be viewed as a succession of descending quarter-eighth
figure variants: level 2 is comprised of the second and third
notes of each time-unit and may be viewed as a two-note figure
of the kind that is found in abundance in the Allemande
(ascending leap of a fourth with weaker-to-stronger rhythmic
placement); level 3 is comprised of the fourth and sixth
notes of each time-unit and may be viewed as an imitation in
diminution of the notes of level 1.

There are several interesting relationships between
the sequence of m. 16 and the sequence of mm. 12-13 (See
Ex. 6.28). The melodic descent of the lowest notes of each
is identical with regard to pitch, but the time-span of the
sequence of mm. 12-13 is compressed into three time-units in
the sequence of m. 16. The upper- and lower-voice notes that
occur at the beginnings of the second, fourth, and sixth
time-units in the sequence of mm. 12-13 are found in the
sequence of m. 16 as the middle- and lower-voice notes
(accidentals notwithstanding) on the third ternary-sub-
divisions of the successive time-units. The melodic descent
of the upper-voice notes of the sequence of mm. 12-13
and the middle-voice notes of the sequence of m. 16 is
similar: beginning after the onbeat-notes (which, in each
case, are destination-notes of preceding figures), the descent

Ex. 6.28: Gigue, Comparison of Sequences

of the upper-voice notes of mm. 12-13 encompasses g-down-to-b,
and the descent of the middle-voice notes of m. 16 encompasses
f#-down-to-a (at the beginning of m. 17). Each of the
sequences contains changes of harmony both within and between
the time-units, but the changes of harmony seem to be more
frequent in the sequence of m. 16: for example, following
the B-major (dominant seventh) harmony the sequence of m. 16
seems to begin with E-minor harmony, but the harmony either
changes to or is clarified as C-major harmony at the appear-
ance of the c-note in the second ternary-subdivision of the
time-unit; similar harmonic ambiguities occur in the subse-.
quent sequential imitations.

The notes of the upper voice descend in parallel
sixths with the fourth and sixth notes (level 3 implied
polyphony) of the lower voice, and appear to have been
inspired by the fourth and sixth notes of the preceding
upper-voice (which has now become the middle voice) motives.
The upper-voice notes (c-b;a-g;f-e-d#) and the concurrent
parallel sixths (e-d;c-b;a-g-f#) do not reach their resolu-
tion-notes until the beginning of m. 17. The descending

scalewise pattern formed by each bears a noteworthy similar-
ity to the descending scalewise patterns found in m. 1.

The rationale for the layouts of the sequential
statements of m. 16 is based largely on the desire to bring
out the important quarter-eighth figures of the inner-voice.
The outer-voice relationships can be sufficiently conveyed
with several possible layouts.

Ex. 6.29: Gigue, m. 16

The indicated layout places the notes of the middle-
voice quarter-eighth figures on the second-string for three
reasons: (1) to be able to perform the written durations of
the notes, (2) to facilitate dynamic emphasis of the notes,
and (3) to obtain timbral consistency.

The layout of the parallel sixths places the notes of
the upper voice on the first-string, and places the notes of
the lower voice on the third-string. The sounding durations
of the parallel sixths will be shortened in some instances
by necessary changes of position. The performer is advised
to shorten the durations of the other parallel sixths (in
the instances not already shortened by a position-change) so

that the sounding durations will be consistent.

The layout of the remainder of the notes is based on
either technical expediency or instrumental/technical neces-
sity. Open strings are used wherever possible to facilitate
the technical processes.

Ex. 6.30: Gigue, m. 17

In m. 17, a variant of the arpeggio-motive of m. 1
appears. Successive statements of the arpeggio-motive-
variant are linked by the leap-step figure. After the third
statement, the upper-voice arpeggio-motive-variant is altered
and no longer contains the leap-step figure. The three
lower-voice arpeggio-motive-variants (of mm. 17-18) contain
an expanded leap-step figure: the interval of a fourth is
expanded to an octave.

Ex. 6.31: Gigue, connection of mm. 17-18

For the musical material of the arpeggio-motive-
variant sequence of mm. 17-18, the rationale for the layouts
is based primarily on the desire to simply be able to include
the notes of the original. Performance of the notes of the
original is extremely difficult (in most transcriptions, the
notes of the middle and lower voices are subject to extensive
omission), but is possible, although, in some instances, the
performer will likely find it necessary to tolerate durational
deviations from the values of the notation. One such instance
is the beginning of m. 17: the quarter-note duration of the
middle- and lower-voice notes cannot receive its full value
in performance due to the necessity of removing both finger-1
to take the upper-voice-a and finger-4 to take the upper-voice-
f-sharp (both should be removed at the same time).

Ex. 6.32: Gigue, connection of mm. 18-19

The inverted scalar-motive recurs in m. 18. Four

statements of inverted scalar-motives in an imitative sequence occur in mm. 18-19, and are accompanied by a sequence of descending quarter-eighth figures encompassing an octave.

The indicated layout of the first inverted scalar-motive of m. 18 employs the same notes-per-string layout as the opening inverted scalar-motive of this section (in m. 11). The layout is not as technically secure as the layout that is found in most transcriptions (onbeat b- and d-notes under a full-bar at position V, followed by a sixth-string-b with finger-4), but is musically superior in that it provides the desired articulatory and timbral relationships (as in m. 11, two-note figure on fifth-string, four-note figure on fourth-string). The use of finger-3 on the fourth-string-g is necessary to provide free fingers for subsequent notes.

The rationale for the indicated layout of the second inverted scalar-motive of m. 18 is based on the following considerations: (1) the use of the third-string for the two-note figure "b-c" and the second-string for the four-note figure "d-e-f#-g" divides the six-note motive into its component figures, provides the desired timbral consistency within each figure (and sufficient timbral consistency between the figures), and facilitates control of articulation, dynamics, and timbre; (2) the layout avoids such distortion of the figural identities as would tend to be produced by taking b-c-d on the second-string and e-f#-g on the first string.

The indicated layout of the first inverted scalar-motive of m. 19 is less than ideal, but is the necessary

consequence of the preceding layout. The use of the fourth-
string-a for the second note of the two-note figure "g-a"
produces considerable timbral inconsistency both within the
two-note figure and between it and the four-note figure
"b-c-d-e." The sacrifice of timbral consistency on the first
part of the six-note motive of m. 19 in favor of obtaining
timbral consistency on the preceding four-note figure of
m. 18 is based on the view that the four-note figure inherent-
ly has more musical content/value than the two-note figure
due both to its greater number of notes and to its forward-
driving rhythmic structure, and must, therefore, take prece-
dence in the decision-making process.

    The four-note figure "b-c-d-e" is taken on the second-
string for the same reasons that are discussed above, and to
avoid having to damp the open-string-e.

    The indicated layout of the second inverted scalar
motive of m. 19 takes the two-note figure "e-f#" on the
fourth-string, and takes the four-note figure "g-a-b-c" on
the third-string for reasons similar to those discussed
above. The timbral relationship between the two-note figure
and the four-note figure leaves something to be desired, but
the musical result obtained thereby is better than that
which would result from using the fourth-string-g rather than
the open-string-g (the three-notes-per-string layout would
tend to distort the figural identities).

Ex. 6.33: Gigue, m. 19

At the beginning of the third time-unit of m. 19, a
rather unusual hand-position is required to take the third-
string-c with finger-3 and the sixth-string-a with finger-4.
The use of the unusual hand-position is for the following
combination of reasons: (1) the lower-voice-a is taken on
the sixth-string because it must be sustained beyond the
attack-point of the subsequent inner-voice-c (most transcrip-
tions take both the lower-voice-a and the inner-voice-c on the
fifth-string, and, as a result, distort the bass-line of the
original), (2) finger-3 rather than finger-4 is used on the
upper-voice-c to facilitate taking the subsequent upper-voice-
c with finger-3, (3) because finger-1 must take both the
upper-voice-d and the inner-voice-c under a full-bar, either
finger-2 or finger-4 must take the sixth-string-a, (4) the
use of finger-4 on the sixth-string-a will, for most per-
formers, provide greater technical security because the
required hand-position is contracted rather than expanded,
and because the rotation of the forearm that is necessary to
achieve the necessary hand-position places the fingers
(finger-1 and finger-4) in a more direct line of opposition

with the thumb, the primary benefit of which is that finger-1
is able to exert greater force on both the fifth- and third-
strings due to the added use of the stronger forearm muscles.
If the performer can execute the notes that are taken by
finger-1 with precision and clarity while taking the sixth-
string-a with finger-2, the sixth-string-a should be taken
by finger-2 because so doing frees finger-4 to take the
subsequent inner-voice-e without having to move from the
sixth-string-a to the fifth-string-e.

The use of open strings (second-string-b, third-
string-g) in the descending scalar passage of m. 19 produces
a distressing degree of timbral inconsistency, but is neces-
sary (or technically expedient) if the notes of the original
are to be performed (most transcriptions omit the inner-
voice-e that is above the lower-voice-b). The use of each of
the open strings allows the needed time for the fingers to
move from one three-voice chord to the next. The three-note
chord "a/e/a" is taken at position V to facilitate (through
positional proximity) the approach to the subsequent three-
note chord "f#/e/b."

Ex. 6.34: Gigue, m. 20

The last measure of the Gigue is a brief coda. The
statements of arpeggio-motive variants over a pedal point
lower-voice-e are followed by a scalar-motive variant in
sixths. The regular leap-step figure is present in the first
arpeggio-motive variant, and a leap-step figure with an
expanded leap (diminished fifth instead of perfect fourth) is
present in the second arpeggio-motive variant.

Because it is not possible to play on the guitar some
of the registral voicings of the original (the g♯/e of the
first arpeggio-motive variant and the final E-major chord),
the arpeggio-motive variants (except for the first note of
the measure), the scalar-motive variant in sixths, and the
final chord are transposed up an octave.

The rationale for the layout of the last measure is
based on the following considerations: (1) the necessary
positional location of the three-note chords that precede
the V-I cadence leading into m. 20 necessitates taking the
upper-voice-e on the fifth-string (finger-4 is indicated, but
either finger-4 or finger-3 may be used), (2) stopped-notes
rather than open strings are used for the upper-voice notes
to obtain timbral similarity, and to avoid having to damp the
open strings to obtain durational similarity, (3) the layout
of the parallel sixths is based on the desire to avoid taking
all of the inner-voice notes on the fourth-string (as is done
in most transcriptions) due to the likelihood of unwanted
string-noise, (4) the desired layout of the parallel sixths
necessitates taking the preceding destination-note-e (of the
second arpeggio-motive variant) on the second-string, (5) the

destination-note-e is taken by finger-4 to allow the written
duration of the e-note to be performed, and to provide free
fingers for taking the notes of the subsequent parallel
sixths.

The recommended performance of the E-major chord is
to save the ornamentation (arpeggiation and mordent) and
broader registral texture (added sixth-string-e) for the final
statement. The notes "d#/f#" of the parallel sixths should
appear to resolve outward to the root notes on both occur-
rences of the E-major chord.

Chapter V

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

The primary impetus for the study was the scarcity

of published transcriptions for guitar of the music of

J.S. Bach that were adequate for use in the education of

the college level guitar performance major. Having spent

countless hours over a period of more than five years

making alterations (re-fingering, adding notes of the

original that were deleted in a transcription, and deleting

notes that were not in the original) in published trans-

criptions, the writer eventually began to realize that such

transcriptions were inadequate for use by the academic

guitarist. The categories of the principal areas of inade-

quacy are the following: (1) fingering, which involves

consideration of the dependence of musical factors such as

timbre, dynamics, articulation, harmonic and melodic

content, and expressive effect upon the layouts that are

employed in taking the notes on particular strings, and

upon the technical processes that are necessary for the

execution of the layouts; (2) ornamentation, which is an

indispensable aspect of Baroque performance practice; and

(3) alteration of the original, which is often necessary,

but not as often as is encountered in published transcrip-

tions, and which frequently involves the omission of

notes and ornaments of the original, often involves the
addition of notes, and almost as often involves both
omissions and additions. The addition and/or omission of
notes is not in itself a condemnation of a transcription,
but the absence of any explanation regarding such altera-
tion is an indicator of the degree of inadequacy of a
transcription for use in the education of the college level
guitar performance major.

In Chapter I, the twofold purpose of the study is
clarified as (1) the development of a musically logical
procedure for solving the problems of transcription for
guitar performance of J.S. Bach's Suite in E minor (BWV 996),
and (2) the transcription of an edition of the Suite in
E minor that is adequate for use in the education of the
college level guitar performance major.

In the section of apter I that is entitled "Need
for the Study," the guitarist's professional opportunities
for a career in college teaching are briefly discussed and
are correlated with the fact that professional competency
in dealing with the music of J.S. Bach is required for the
successful pursuit of such a career. The problem which
the study seeks to solve is identified as the pedagogical
inadequacy of existing transcriptions of much of Bach's
music--specifically the Suite in E minor. The need which
the study intends to fill is identified as pedagogical
material that is adequate for college level guitar per-
formance instruction: namely, an edition of the Suite in

E minor which is oriented toward substantial authenticity
and which includes a comprehensive discussion of the fac-
tors affecting transcription and performance of this suite.

The procedures that were employed in the study are
discussed in the section of Chapter I that is entitled
"Procedures." The principal procedures involved the
interaction of two areas: (1) investigation of literature
pertaining to Baroque performance practice and to the music
of Bach, and (2) experimentation with the guitar to deter-
mine the feasibility of various solutions to the problems
of transcribing the Suite in E minor.

The section of Chapter II that is entitled "Existing
Editions" includes discussions of both various kinds, and
specific instances, of aspects that contribute to the
inadequacy of existing published transcriptions of the
Suite in E minor for use by the academic guitarist.

In the section entitled "Articulation," the proper
denotation of the term is clarified, and the role of arti-
culation in the performance of Bach's music is intimated.
The relationship between fingering, articulation, and the
construction of groups through articulation is established
as a foundational concept in the rationale for the solu-
tion to the problems of transcription and performance of
the Suite in E minor.

A brief overview of the works that are commonly
known as the "lute compositions" of Bach is presented in
the section of Chapter II that is entitled "Context and

Authenticity of the Suite in E minor." The speculative

nature of the writings of various authors is shown to be

incapable of proving that this suite was written either for

the lute or specifically for the lute-harpsichord.

The extensive investigation of Bach's use of orna-

ments that is presented in Chapter III was believed to be

necessary for two main reasons: (1) because of the impor-

tance of ornamentation to both a stylistically authentic

transcription and performance of the Suite in E minor, and

(2) because of the need to establish the credibility of the

writer in this important area.

The discussions of the various categories of ornaments

is presented in six major sections: One-Note Ornaments, The

Slide, The Trill, The Mordent, The Turn, and The Arpeggio.

In the first section, the appogiatura is shown to be but

one of the possible interpretations of the Vorschlag symbol

and is shown to have a variety of contextual durational

values in the music of Bach. Various forms of musical logic

which may assist in solving problems of ornamentation are

defined and applied to musical situations. In each of the

sections of Chapter III, ornament categories and specific

ornaments are discussed in detail. Conflicting viewpoints

among recognized authorities are presented, analyzed, and

evaluated.

Chapter IV is for the guitar performance major the

most important part of the study. Each of the movements of

the Suite in E minor (Praeludio, Allemande, Courante,

Sarabande, Bourrée, and Gigue) constitutes a major section
in which the movement is analytically discussed from a per-
formance viewpoint. The discussions concern a variety of
factors that are related to the rationale for solutions to
problems of transcription and performance, and may serve as
a guide to the guitarist in the development of his abilities
in both the analysis and perception of musical specifics in
a broad spectrum of potential professional applications.

Preceding the detailed discussions of the movements
of the suite are two sections that deal with performance
options, alternatives, and recommendations. The sections
are entitled "Guitar Ornamentation Techniques," and "Infor-
mation Related to the Transcription."

The appendices include four versions of the Suite in
E minor: (1) the transcription by the writer, (2) a copy
of the Neue Bach Ausgabe version, (3) a copy of the literal
"trans-notational" version of the Krebs manuscript by Paolo
Cherici in which the original notation on two staves (key-
board notation) is presented on a single staff (guitar or
lute notation), and (4) a copy of the A-minor version of
the Brussels manuscript which was largely used in the Bach
Gesellschaft version, and which is notated by Cherici.

Conclusions

It is the conclusion of the writer that the product
of the study accomplished the stated purpose. The super-
iority of the study to the existing published transcriptions

for use in the education of the college level guitar perfor-
mance major is largely due to two facts: (1) the existing
published transcriptions were not specifically designed for
such use, and (2) the economic realities incumbent upon the
publication of a transcription are prohibitive of the
potential for profit by a publishing house in the production
and marketing of a lengthy publication such as the study.

An edition which would be the best of all possible
interpretations of the Suite in E minor was not an objec-
tive of the study, and such is not the product. An edition
which would be better than existing editions for use in the
education of the college level guitar performance major was
a major objective of the study, and such is the product.
The objective was not simply to produce a transcription, but
rather to establish foundational procedures for use by
guitarists in dealing with the music of Bach. The most
important foundational procedure involves the understanding
of the musical content and structure through analysis of
the musical material. This kind of analysis includes, but
goes beyond, an understanding of the vertical sonorities
(harmonic analysis, progressions) but does not necessarily
involve a graphic representation (charts, diagrams) of the
harmonic aspects (if a student demonstrates a lack of under-
standing of the harmonic aspects, however, such graphic
representations are advisable). With an awareness of the
necessity for understanding in detail the musical con-
tent, the aesthetic implications of the expressive effect,

and the inevitable relationship between the two relative to
the precision of execution in a performance situation, the
student will have taken an important step toward the deve-
lopment of his abilities to the level of the professional
artist/teacher.

Recommendations

To suggest that further research of a similar nature
is in order as a result of the findings of the study seems
somewhat inapplicable due to the unusual nature of the
study, but the implications for further research to be
generated from the study are numerous. Before discussing
the potentially positive applications of the study toward
further research, a potentially negative aspect warrants
mention.

There is an inherent danger in the promulgation of
similar studies. If the guitar constituency were to
accept and acknowledge this and similar subsequent studies
as ideal examples of the best interpretations of the
represented compositions, the creative freedom of indivi-
dual interpretation would be severely curtailed. Analogous
circumstances have existed and continue to exist with
regard to recorded performances by the more prominent con-
cert artists. The aspirations of many guitarists go no
further than the desire to simply be able to imitate such
performances. The development of both technical skills
and perceptual precision to the degree necessary to imitate

the recorded interpretations is a valid endeavor, but the
abandonment of personal initiative in the educative
decision-making process of musical involvement is a serious
inhibitor of artistic growth. The processes of performance
instruction include, but are not limited to, development of
the capacity to imitate exemplary interpretations. The
goal toward which teachers should aspire, in both their own
development and that of their students, is not the building
up of a repertoire of selected compositions whose interpre-
tations are fixed with regard to all details of performance,
but is rather a point or plateau in the spectrum of deve-
lopmental/musical growth at which the interrelational complex
of percepts, concepts, and skills has achieved the degree
of sophistication necessary to function at the professional
level of the artist/teacher. Among the more important
criterial attributes by which the professional artist/teacher
may be identified should be a continually growing knowledge
of musical style and structure, a sensitivity to the aesthe-
tics of music from the orientation of both producer and
consumer, a research orientation that is sufficient to
provide access to needed information (such as books, scores,
and recordings), a professionally competent performance
capacity, and, where interpretation is concerned, an acutely
critical sense of the appropriate that allows, appreciates,
and encourages individuality of expression within the con-
fines of stylistic authenticity.

The education of the guitar performance major would

be benefitted by having similar studies that deal with various styles, periods, and performance perspectives available as resource materials. There are many different approaches that could be utilized in further research of a similar nature. A detailed investigation of one of the major works of the repertoire (concerti, sonatas, suites) could be undertaken as a study by a doctoral student in guitar performance as either a similar study with regard to the product of the study being essentially the output of one individual who utilizes the writings of recognized authorities, or as a somewhat different approach wherein the selected composition would be studied with several prominent concert artists; the fingerings, the rationale for finger-ings, and the suggestions and perceptions regarding both analysis and interpretation obtained from each of the artists would be reported, analyzed, and evaluated by the researcher.

Various kinds of experimental studies could be con-ducted to investigate some of the claims made by the study. Answers could be sought to the following questions:

(1) Is the timbral aspect of guitar performance a critical factor in (a) the perception of figural components, (b) the expressive effect of the music; and are the timbral aspects perceived differently by guitarists and non-guitarists?

(2) Does the rationale for the solutions to the problems of transcription and performance contained in the

study produce better results with students who are

(a) guided through the study by their regular instructors,
or (b) required to utilize the study in a self-instructional
mode?

(3) At what level of educational experience should
the performance major be expected to be able to make
similar analyses, evaluations, and decisions regarding a
rationale for fingering?

(4) With specific application to guitarists, what is
the relationship between perception, conception, and execu-
tion with regard to such details of musical performance as
timbre, articulation, and dynamics?

The divergence of opinion (and the resultant instruc-
tions to the performer) among recognized authorities in
practically all areas of Baroque performance practice--
particularly in the music of Bach with regard to such
specifics as notes inegales, overdotting, ornaments, free
ornamentation, tempo, rhythm and rhythmic deviations (acce-
lerando and ritardando), dynamics, articulation, and upon
what instrument the music should be performed--leads one
to conclude that much additional research is needed in this
area of musicological endeavor. Many of the questions may
remain forever unanswered, and many of the disputes may
remain unresolved, due to the lack of clear incontrovertible
data, but it appears likely that further research could
accomplish much in distinguishing that which is reasonably
certain from that which is either patently false, possible

with varying degrees of probability, or in the domain of individual interpretation.

The most important recommendation is that studio teachers in guitar performance familarize their students with either the study itself or at least with the informational aspects of the concepts, percepts, analyses, and rationales involved in the decision-making process of preparing a musical performance. The writer has found, during the period of research, that the precision of perception of both cognitive aspects pertaining to performance and conceptual aspects involving musical mental-aural imagery of his students (and himself as well) has benefitted and progressively improved through utilization of the kinds of musical discussions that are contained in the study.

Similar research should engage every guitarist who intends to pursue a career in music. Not only through transcribing music, but also through investigating the variety of expressive phenomena that may be achieved through re-fingering compositions that were written for the guitar, the guitarist may develop skills, insights, and sensitivity to the subtleties of performance through personal discovery that can be learned in no other way. Although the study provides much valuable information and will serve as a useful guide to similar research, accepting the solutions of others to the problems of transcription and performance is no substitute for the kind of musical growth that is the result of solving the problems for oneself.

BIBLIOGRAPHY

BIBLIOGRAPHY

WORKS CITED

Books

Aldrich, Putnam. Ornamentation of J.S. Bach's Organ Works.
    New York: DaCapo Press, 1978.

Apel, Willi. Harvard Dictionary of Music. Cambridge:
    Harvard University Press, rev. ed., 1975.

Bach, Carl Philipp Emanuel. Essay on the True Art of
    Playing Keyboard Instruments (1753). Translated by
    William J. Mitchell. New York: W.W. Norton and
    Company, Inc., 1949.

Berry, Wallace. Structural Functions in Music. Englewood
    Cliffs, New Jersey: Prentice-Hall, Inc., 1976.

Bodky, Erwin. The Interpretation of Bach's Keyboard Works.
    Cambridge, Mass.: Harvard University Press, 1960.

Boyden, David. The History of Violin Playing from Its
    Origin to 1761. London: Oxford University Press,
    1965.

Bukofzer, Manfred. Music in the Baroque Era. New York:
    W. W. Norton and Company, Inc., 1947.

Callahan, Clare. A Survey of Guitar Curricula in the U.S.
    and Canada. Cincinnati: ASTA Guitar Division, 1979.

Cooper, Grosvenor W. and Meyer, Leonard B. The Rhythmic
    Structure of Music. Chicago: The University of
    Chicago Press, 1960.

Dannreuther, Edward. Musical Ornamentation. 2 vols.
    London: Novello, 1893-1895.

David, Hans T. and Mendel, Arthur. The Bach Reader. New
    York: W.W. Norton and Company, 1945, rev. ed.,
    1966.

Dolmetsch, Arnold. The Interpretation of the Music of the
    XVIIth and XVIIIth Centuries Revealed by Contemporary
    Evidence. London: Novello, 1915.

Donington, Robert. The Interpretation of Early Music. New
    York: St. Martin's Press, 1974.

_____. A Performer's Guide to Baroque Music. New York:
    Charles Scribner's Sons, 1973.

Duncan, Charles. The Art of Classical Guitar Playing.
    Princeton, New Jersey: Summy-Birchard Music, 1980.

Emery, Walter. Bach's Ornaments. London: Novello and
    Company, Ltd., 1953.

Keller, Hermann. Phrasing and Articulation. Translated by
    Leigh Gerdine. New York: W.W. Norton and Company,
    Inc., 1973.

Leonhard, Charles and House, Robert W. Foundations and
    Principles of Music Education, 2d ed. New York:
    McGraw-Hill, 1972.

Moser, Wolf. Gitarre-Musik. Hamburg: Der Volksmusikverlag,
    Vol. 1, 1974; Vol. 2, 1977.

Neumann, Frederick. Ornamentation in Baroque and Post-
    Baroque Music. Princeton, New Jersey: Princeton
    University Press, 1978.

Noad, Frederick M. Solo Guitar Playing, Book One. 2d ed.
    New York: Schirmer Books, 1976.

Pujol, Emilio. Escuela Razonada de la Guitarra, Libro II.
    Buenos Aires: Ricordi Americana, 1952.

_____. Escuela Razonada de la Guitarra, Libro IV. Buenos
    Aires: Ricordi Americana, 1971.

Sachs, Curt. Rhythm and Tempo - A Study in Music History.
    New York: W.W. Norton and Company, Inc., 1953.

Schmieder, Wolfgang. Thematisch-systematisches Verzeichnis
    der musikalische Werke von Johann Sebastian Bach,
    Bach-Werke-Verzeichnis. Leipzig: Breitkopf and
    Hartel, 1950.

Sor, Fernando. Method for the Spanish Guitar. Translated
    by A. Merrick. New York: DaCapo Press, 1971,
    reprint of edition of circa 1830.

Spitta, Philipp. Johann Sebastian Bach. Translated by
    Clara Bell and J.A. Fuller-Maitland. New York:
    Dover Publications, Inc., 1952.

Stein, Leon. Structure and Style. Evanston, Illinois:
    Summy-Birchard Company, 1962.

Periodicals

Aldrich, Putnam. "On the Interpretation of Bach's Trills,"
     Musical Quarterly, vol. 49 (1963): 289-310.

Burguéte, André. "Die Lautenkompositionen Johann Sebastian
     Bachs. Ein Beitrag zur Kritischen Wertung aus
     spielpraktischer Sicht," Bach-Jahrbuch (1977): 26-54.

Ferguson, Howard. "Bach's 'Lauten Werck'," Music and
     Letters, vol. 48 (1967): 259-64.

Greene, Richard. "Some Thoughts on Fingering." American
     String Teacher, XXIX (Spring 1979).

Grimes, David. Review of Carlos Barbosa-Lima. Transcrip-
     tion of "Sonata No. 2" by J.S. Bach (Columbia)
     The Soundboard, III, No. 1 (1976).

Music Educators National Conference Commission on Teacher
     Education, "Teacher Education In Music: An Interim
     Report," Music Educators Journal, LVII (October
     1970).

Neeman, Hans. "J.S. Bachs Lautenkompositionen." Bach
     Jahrbuch. Wiesbaden: Breitkopf & Härtel, 1931.

Shay, Edmond. "Bach's Instrumental and Vocal Styles--How
     They Affect Articulation." American Organist 3
     (November 1979): 33-37.

Uhl, Danny J. "A Rationale for Determining Articulation,"
     Diapason 7 (April 1980): 8-12.

Scores

Bach, J.S. I. Suite. Transcribed by José de Azpiazu.
     München: G. Ricordi and Company, 1969.

_____. Suite in E minor. Transcribed by Julian Bream.
     London: Faber Music Ltd., 1970.

_____. Preludio. Transcribed by Regino Sainz de la
     Maza. Madrid: Union Musical Española, 1933.

_____. Lautenmusik. Transcribed by Anton Stingl.
     Leipzig: Friedrich Hofmeister, 1957.

_____. Suite No. 1 for Lute in E minor. Transcribed by
     Heinz Teuchert. München: G. Ricordi and Company,
     1973.

_____. Suite Para Laud No. 1 (BWV 996). Transcribed by
     José Tomás. Tokyo: Casa de la Guitarra, 1968.

_____. Lautenmusik. Transcribed by Edmund Wensiecki.
     Hofheim am Taunus: Musikverlag Friedrich Hofmeister,
     1965.

Bischoff, Hans, ed., Johann Sebastian Bach Various Works,
     Vol. I. New York: Edwin F. Kalmus, n.d.

Cherici, Paolo. J.S. Bach - Opere Complete per Liuto.
     Milan: Edizioni Suvini Zerboni, 1980.

Company, Alvaro. Critical Edition of J.S. Bach, Suite
     BWV 998. Milan: Edizioni Suvini Zerboni, 1977.

Kohlhase, Thomas, ed. Klavier- und Lautenwerke. Serie V/
     Band 10; Johann Sebastian Bach Neue Ausgabe Samt-
     licher Werke. Kassel: Barenreiter, 1976.

Unpublished Materials

Artzt, Alice. Telephone conversation, November 23, 1979
     during which Ms. Artzt stated that her recording of
     Scarlatti's "Sonata in A Major, L483" on the
     "Clavier" label is the first using right-hand plucked
     ornaments.

Lorimer, Michael. American String Teachers Association
     National Guitar Symposium, Instructions to performers,
     October 25-28, 1979, Lubbock, Texas.

Provost, Richard. Letter stating inadequacy of published
     transcriptions of the Suite in E minor for academic
     use.

Recordings

Leonhardt, Gustav. Recording, Chromatische Fantasie,
     Lautenwerksuite, Capriccio uber die Abreise (Tele-
     funken SAWT 9571-B).

WORKS CONSULTED

Books

Aguado, Dionisio. Metodo Completo de Guitarra. Nueva
     Edicion. Buenos Aires: Ricordi Americana, reprint.

_____. _Nuevo Metodo para Guitarra_. Madrid: 1843 edition.

Artzt, Alice. _The Art of Practising_. London: Musical New Services Ltd., 1978.

Beardsley, Monroe C. _Aesthetics_. New York: Harcourt, Brace and World, Inc., 1958.

Bobri, Vladimir. _The Segovia Technique_. New York: Collier Books, 1977.

Boyd, Malcolm. _Bach's Instrumental Counterpoint_. London: Barrie and Rockliff, 1967.

Carlevaro, Abel. _Serie Didactica Para Guitarra_. Cuaderno No. 2. Buenos Aires: Barry Editorial, 1967.

Chiapusso, Jan. _Bach's World_. Bloomington and London: Indiana University Press, 1968.

Colwell, Richard. _The Evaluation of Music Teaching and Learning_. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1970.

Cooke, Deryck. _The Language of Music_. London: Oxford University Press, 1959.

Couperin, Francois. _L'art de toucher le Clavecin_. Wiesbaden: Breitkopf and Hartel, 1933.

Dart, Thurston. _The Interpretation of Music_. New York: Harper & Row, 1963.

Dorian, Frederick. _The History of Music in Performance_. W.W. Norton and Company, Inc., 1966; reprint of 1942 ed.

Duarte, John W. _The Bases of Classic Guitar Technique_. Borough Green: Novello, 1975.

Efrati, Richard R. _Treatise on the Execution and Interpretation of the Sonatas and Partitas for Solo Violin and the Suites for Solo Cello by Johann Sebastian Bach_. Switzerland: Atlantis, 1979.

Geiringer, Karl. _Johann Sebastian Bach: The Culmination of an Era_. New York: Oxford University Press, 1966.

Lang, Paul Henry. _Music in Western Civilization_. New York: W.W. Norton and Company, Inc., 1941.

Macpherson, Stewart. _Studies in Phrasing and Form_. London: Joseph Williams, Ltd., 1932.

Marshall, Robert Lewis. The Compositional Process of J.S.
        Bach. 2 vols. Cambridge: Princeton University
        Press, 1972.

Meyer, Leonard B. Music - The Arts and Ideas. Chicago:
        The University of Chicago Press, 1967.

Newman, William S. The Pianist's Problems, A Modern Approach
        to Efficient Practice and Musicianly Performance.
        3d. ed. New York: Harper and Row, 1974.

Palisca, Claude V. Baroque Music. Englewood Cliffs, New
        Jersey: Prentice-Hall, Inc., 1968.

Parkening, Christopher. The Christopher Parkening Guitar
        Method, vol 1. Madrid: Antigua Casa Sherry-Brener,
        Ltd., 1972.

Pujol, Emilio. Escuela Razonada de la Guitarra, Libro
      _ Tercero. Ricordi Americana, 1954.

_____. Escuela Razonada de la Guitarra, Libro Primero.
        Buenos Aires: Ricordi Americana, 1956.

Quantz, Johann Joachim. On Playing the Flute. Translated
        by Edward R. Reilly. New York: The Free Press, 1966.

Reilly, Edward R. Quantz and His Versuch. New York:
        Galaxy Music Corporation, 1971.

Reti, Rudolph. The Thematic Process in Music. New York:
        The Macmillan Company, 1951.

Rothschild, Fritz. A Handbook to the Performance of the
        48 Preludes and Fugues of J.S. Bach According to
        the Rules of the Old Tradition. London: Adam and
        Charles Black, 1955.

_____. The Lost Tradition in Music Rhythm and Tempo in
        J.S. Bach's Time. New York: Oxford University
        Press, 1953.

_____. Stress and Movement in the Works of J.S. Bach.
        London: Adam and Charles Black, 1966.

Schwadron, Abraham A. Aesthetics: Dimensions for Music
        Education. Washington, D.C.: Music Educators
        National Conference, 1967.

Schweitzer, Albert. J.S. Bach, vol. II. English trans-
        lation by Ernest Newman. London: Breitkopf and
        Hartel, 1911.

Shearer, Aaron. *Slur, Ornament and Reach Development
Exercises*. New York: Franco Colombo, Inc., 1964.

Szigeti, Joseph. *Szigeti on the Violin*. New York:
Frederick A. Praeger, 1970.

Terry, Charles Sanford. *The Music of Bach*. London:
Oxford University Press, 1933.

Dissertations

Heck, Thomas F. "The Birth of the Classic Guitar and Its
Cultivation in Vienna, Reflected in the Career and
Compositions of Mauro Giuliana (d. 1829)." Ph.D.
dissertation, Yale University, 1970.

Hudson, Richard A. "The Development of Italian Keyboard
Variations on the *Passacaglio* and *Ciaccona* from
Guitar Music in the 17th Century." Ph.D. disser-
tation, University of California, 1967.

Petschauer, Roy. "The Development and Testing of a Guitar
Method to Enable Educators to Play and Teach Guitar
in the Schools." Ed.D. dissertation, University of
Oregon, 1972.

Sasser, William G. "The Guitar Works of Fernando Sor."
Ed.D. dissertation, The University of North Carolina,
1960.

Periodicals

Berry, Wallace. "J.S. Bach's Fugue in D-sharp Minor (WTC I
No. 8): A Naive Approach to Linear Analysis,"
In Theory Only 2:4-7, January, 1977.

Collins, Michael. "A Reconsideration of French Over-
Dotting." *Music and Letters* (January 1969): 111-23.

Curti, Martha. "J.S. Bach's Chaconne in D minor: A Study
in Coherence and Contrast." *Music Review*, Vol. 38
(1977): 249-65.

Donington, Robert. "A Problem of Inequality," *Musical
Quarterly* vol. 53 (1967): 503-17.

Dumm, Robert. "Playing Bach on the Modern Piano," *Clavier*
(January, 1978): 33-38.

Emery, Walter. "Is Your Bach Playing Authentic?-I,"
Musical Times (May 1971): 483-88.

Jenne, Natalie. "On the Performance of Keyboard Allemandes,"
    Bach Volume X, Number 2 (April 1979): 13-26.

Kirkpatrick, Ralph. "C.P.E. Bach's Versuch reconsidered,"
    Early Music, vol. 4, no. 4 (October 1976): 384-92.

_____. "On re-reading Couperin's l'Art de Toucher le
    Clavecin," Early Music (January 1976): 3-11.

Kujala, Walfrid. "Embellishment, Italian Style, Ornament-
    ing the Largo Movement of Vivaldi's C Major Piccolo
    Concerto," The Instrumentalist (December 1976):
    60-62.

Neumann, Frederick. "External Evidence and Uneven Notes,"
    Musical Quarterly, vol. 52 (1966): 71-85.

_____. "The Dotted Note and the So-called French Style,"
    Translated by R. Harris and E. Shay, Early Music
    (July 1977): 310-24.

_____. "Facts and Fiction about Overdotting," Musical
    Quarterly, Vol. 63 (1977): 155-85.

_____. "The French Inegales, Quantz, and Bach," Journal
    of the American Musicological Society, vol. XVIII,
    no. 3 (Fall 1965): 313-58.

_____. "Once More: The French Overture Style," Early
    Music (January 1979): 39-45.

_____. Neumann, Frederick. "The Use of Baroque Treatises
    on Musical Performance," Music and Letters (October
    1967): 315-24.

O'Donnell, John. "The French Style and the Overtures of
    Bach," Part One, Early Music (April 1979): 190-96.

_____. "The Use of Baroque Treatises on Musical Per-
    formance," Music and Letters (October 1967): 315-24.

O'Donnell, John. "The French Style and the Overtures of
    Bach," Part One, Early Music (April 1979): 190-96.

_____. "The French Style and the Overtures of Bach," Part
    Two, Early Music (July 1979): 336-45.

Scores

Bach, J.S. Keyboard Music. New York: Dover Publications,
    Inc., 1970.

Bach, Johann Sebastian. Six English Suites and Overture
        in French Style. New York: Edwin F. Kalmus, n.d.

Couperin, Francois. Pieces de Clavecin, Premier Livre.
        Paris: Heugel and Cie, n.d.

_____. Pieces de Clavecin, Second Livre. Paris: Heugel
        and Cie, n.d.

_____. Pieces De Clavecin, Quatrieme Livre. Paris:
        Heugel and Cie, n.d.

Kirkpatrick, Ralph, ed. Johann Sebastian Bach - The "Gold-
        berg" Variations. New York: G. Schirmer, Inc., 1938.

Unpublished Materials

Greene, Richard. "The Complete Guitarist." Unpublished
        guitar method, Loyola University, New Orleans, no
        date.

APPENDIX

SUITE IN E MINOR

Transcribed for Guitar by

James Bogle

JOHANN SEBASTIAN BACH
(1685-1750)

Praeludio

Allemande

(2nd time)
only
arpeggiate if desired
as shown below

p i m a

Courante

Sarabande

Bourrée

final cadence

Gigue

Suite e-Moll
BWV 996

1. Praeludio
Passaggio

2. Allemande

3. Courante

4. Sarabande

5. Bourrée

6. Gigue

Suite in mi minore
BWV 996

(PRÆLUDIO)

Pasſaggio

480

ALLEMANDE

COURANTE

SARABANDE

BOURRÉE

GIGA

Suite in la minore
per clavicembalo
BWV 996

PASSAGGIO

ALLEMANDA

COURANTE

SARABANDE

BOURRÉ

GIGUE

UNIVERSITY OF HARTFORD

Hartt College of Music

December 19, 1979

Doctoral Committee
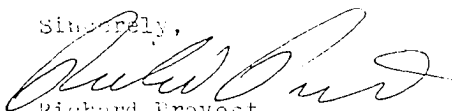University of Oklahoma
School of Music

Dear Members:

I would like to strongly endorse the proposed doctoral
dissertation of James Boyle, dealing with a transcription
of J.S. Bach's Lute Suite in A minor (BWV 996).

The past decade has seen a tremendous growth in the popularity
and academic acceptance of the classic guitar. We are now
at a point where the level of technical competence and
musicianship of guitarists is approaching, or equal to, that
of performers of the more traditional instruments such as
piano and violin. We, however, still suffer greatly from a
lack of pedagogical material, both on the theoretical side
and, more importantly, in the area of critical performing
editions.

There are several editions in print of BWV 996. The best-known
edition is by Julian Bream and is published in England by Faber.
This edition, along with the others presently available, has
been done in a nineteenth-century tradition, and for the most
part ignores the ornaments and style of the original while
indiscriminately altering the texture. As this suite is
written in a "French Style," such editions are not only useless
to the serious guitarist, but also quite misleading.

The proposed dissertation of Mr. Boyle would be a giant step
forward pedagogically toward making available scholarly
editions to the guitar community.

Sincerely,

Richard Provost
Chairman, Guitar Dept.

January 10, 1980

To Whom It May Concern:

Regarding the proposed dissertation by James Bogle dealing with the transcription and performance of Bach's "Suite in E minor"

Jim has explained to me what he wants to do with the research, transcription, and performance of this suite. He has demonstrated some of the new techniques he has developed based on some of my approaches to technique.
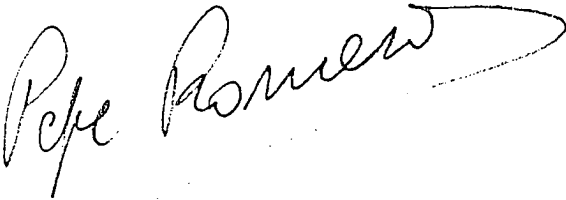
This is the first time that I have seen this kind of work in which the full potential of the modern day technique of the guitar together with a thorough study of this suite will bring the music of Bach into a new dimension. This is something that very much needs to be done. It can be very useful to the teacher -- I certainly will use it as a model for approaching other Bach works in my teaching at the university. As a performer I definitely will use it also.

I think that Bach has been very thoughtlessly performed by guitarists. The transcriptions have not used a clear line of thought in the way the voices are orchestrated, nor in the way the fingerings have been done. A beautiful, clear way of overcoming the problems of fingering execution, voicing, and ornamentation is something that can serve as a guide to guitarists and is very important.

I enthusiastically support James Bogle's proposed study. I have invited him to come to the University of Southern California to conduct a class on the performance of Bach's music when his study is completed.

Sincerely,

Pepe Romero