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A STUDY OF HARMONY AND FORM IN

J. S. BACH'S SONATA IN G MINOR FOR SOLO VIOLIN BWV 1001

A Thesis Project

Submitted

in Partial Fulfillment

of the Requirements for the Designation

University Honors

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University of Northern Iowa

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This Study by: Rebecca Leigh Homard

Entitled: A Study of Harmony and Form in J. S. Bach's Sonata in G Minor for Solo Violin BWV

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has been approved as meeting the thesis project requirement for the Designation University • Honors.

12.12.6B Date

Frederick Halgedahl, Honors Thesis Advisor, School of Music

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Jessica Moon, Director, University Honors Program

INTRODUCTION

My thesis project combines a traditional research subject with a creative element. My desired project was to create a study accompaniment for the Sonata in G minor by J. S. Bach (see Appendix 1), with the written research portion providing the justification for the creation of that accompaniment. I chose this project for several reasons. J. S. Bach is a favorite composer of mine, and I love playing his works on both the violin and the viola. Partially because of my love for his music, I feel like I am on my way to having a fairly firm understanding of his ideas and to portraving them well (although it could be argued that having that understanding leads me to love the music). However, many violinists-including myself before I had studied more of his works and came to have a deeper understanding of them-have expressed the view that Bach's works are difficult to understand and to perform. Some of the difficulties people have articulated include the use of patterns, the use of a modern versus Baroque bow, complex double stops, memorization, communicating the harmony and melody, and playing unaccompanied. The last two issues were part of the fuel for my idea: to help a violinist discover the harmonic basis that underlies the unaccompanied line.

To complete this project, I found a number of resources containing information that supported my idea. This involved perusing books relating to music in general, music performance, music theory and structure, J. S. Bach, his unaccompanied works (especially his violin sonatas and partitas), counterpoint, and Baroque music. The books referenced in my thesis contained the most relevant information, though other sources also provided interesting ideas to consider during my research. From these books, I primarily took information supporting the importance of harmony in musical performance. I also consulted a number of books for the

creation of my accompaniment. Some of these overlapped with those which contained supporting information. Additionally, I found two helpful sources of the sonatas: one that included Bach's autograph manuscript and one that was an accompaniment to the sonata written by Schumann over a century after the composition of the sonata itself. These books and scores aided in my analysis of the piece prior to creating the accompaniment.

UNDERSTANDING AND PORTRAYING HARMONY

Understanding the harmonic movement and form of a piece of music is an important component of being able to play it musically. This understanding can come through an analysis of the form and chordal structure of a piece; however, it can also occur aurally. This need for an aural understanding of a piece, an idea that will be supported later, along with the complexity of the harmonic structures in J. S. Bach's works justify my creation of a study accompaniment for his Sonata in G minor for Solo Violin, BWV 1001. This single-line accompaniment outlines chordal root motion. It defines the harmonic basis for the musical line, allowing the person studying it to more clearly hear the underlying harmony. Through an aural recognition of harmonic movement, the person can come to perceive the phrase structure and more clearly convey it in his or her playing. Because the violinist playing the sonata is the only one in control of the music, the responsibility for creating a musical statement lies entirely with that one person. Therefore, it becomes extremely important that the musical phrase that results from the harmonic movement is thoroughly understood in order for it to be convincingly conveyed.

Dorian discusses how music is viewed today, with a primary emphasis on the performer (interpreter) rather than on the composer (creator). From this stems the problem of subjective, instead of objective, interpretation. Music, unlike most other arts, speaks to the audience through the means of a mediator who acts as an interpreter. The challenge for the interpreter comes from how much of the information presented on the page is comprehended by this person and how much is known about performance practices at the time of the composition. As long as the interpreter assumes the attitude that complete loyalty should be given to what the composer has written, the main focus is on interpretation of the music as it was conceived without deviations being taken to fulfill the performer's personal objectives. Because the harmony, while slightly hidden and embedded in the music, is written on the page, the interpreter should take everything that can be found from that into consideration for the performance.¹

J. S. Bach, unlike earlier polyphonic Baroque composers, created counterpoint from a tonal harmonic basis, rather than simply from the simultaneous sounding of horizontal lines.² This tonal basis allows for more unified compositions that contain a single harmonic foundation and larger phrase areas within that foundation. However, this can be problematic for the violin, which is fundamentally a single-voiced melodic instrument. Because harmonic direction helps lead phrasing, having a poor understanding of the harmonic basis that Bach uses would leave a violinist little on which to found phrasing decisions. Unfortunately, a slight change in phrasing could lead to a misunderstanding and subsequent misinterpretation of a section of a piece.

D. C. Türk relates the change that can occur in musical phrasing to sentence phrasing through his example of punctuation placement in two sentences that are otherwise alike in their structure. The sentences he provides, "He lost his life not, only his property" and "He lost his

¹ Frederick Dorian, <u>The History of Music in Performance: The Art of Musical Interpretation from the Renaissance to</u> <u>Our Day</u>, (New York: W. W. Norton & Company, Inc., 1942), p. 23.

² Jaap Schröder, <u>Bach's Solo Violin Works: A Performer's Guide</u>, (New Haven and London: Yale University Press, 2007), p. 37.

life, not only his property," convey entirely different meanings to the reader.¹ Since musical phrasing of a group of notes can be analogous to the function and placement of punctuation in a group of words, Türk's example provides a humorous—though perhaps extreme—example of the effect of phrase interpretation.

To relate the above example to phrasing in music, placing the comma just one word sooner would be like ending a phrase on the V^7 chord instead of the ensuing I chord. To a listener's ears, the V^7 chord communicates tension, a sense of unrest, and the desire to continue with the music. The I chord that usually follows the V^7 provides release from the tension and lends a sense of finality to the phrase—hence a IV-V cadence (half cadence) creating a less settled feeling than a V-I cadence (authentic cadence). For the violinist learning the piece, hearing that tension and tendency to want to continue in the root of the V^7 chord would help him or her feel the phrase continuing until the I chord, thus creating a full phrase as intended.

Siegmeister provides further support for the idea that harmonic motion can be difficult to understand and can require outside help to assist this understanding. He states that "Harmonic motion lends to music a special momentum—subtler and more difficult to identify than those of rhythm and melody because it is hidden, so to speak, beneath the surface of music. This momentum is sensed even by the untrained listener who is unaware of its cause."² If someone who is untrained in music can sense this harmonic momentum and the drive that it provides, then someone who is studying music will surely be able to sense it, probably with a deeper level of awareness. However, because this motion is less apparent—especially in an unaccompanied work—special means may need to be employed in order to gain an adequate sense of it. The

¹ Dorian, <u>Music in Performance</u>, p. 159.

² Elie Siegmeister, <u>Harmony and Melody</u>, <u>Volume 1: The Diatonic Style</u>, (Belmont, CA: Wadsworth Publishing Company, Inc., 1965), p. 10.

results of such careful preparation will likely improve performances, enriching not only the performer's appreciation of the work but that of the audience as well.

Siegmeister's above description of harmonic motion in music relates to Lester's explanation of harmony. Lester states that complementary melody and harmony shape the musical gestures depending on the purpose of the structure.¹ He later addresses the role of the performer in creating these musical gestures. Beyond merely playing the melody, the performer is responsible for understanding the relationship between the numerous pieces of information presented on the page. This understanding can be conscious or unconscious, but it must be present in order to correctly shape the musical gestures. He continues explaining his point by maintaining that the drive of harmony can require a certain phrase shape based on the order and "feel" of the chords.² In the application of a study accompaniment, both a conscious and an unconscious understanding of harmonic movement can be improved by learning the piece through the additional help of a harmonic outline. Hearing an external portrayal of the harmony can help the violinist comprehend the "feel" of the chords, thus ensuring that a certain phrase shape be present.

A number of other sources give support to the need for an understanding of harmonic motion. One is in the essay "Analysis and (or?) performance" by Rink, which addresses the relationship between intuitive and theoretical analyses on the part of a performer. His opening paragraph includes the statement, "Even the simplest passage—a scale or perfect cadence, for instance—will be shaped according the performer's understanding of how it fits into a given piece and the expressive prerogatives that he or she brings to bear upon it." These choices of expression may be intuitive, but the violinist must still consider the piece as a whole and how it

¹ Joel Lester, <u>Harmony in Tonal Music, Volume I: Diatonic Practices</u>, (New York: Oxford, 1999), p. 37. ² <u>Ibid.</u>, p. 187.

functions as a single unit. Rink uses the term "informed intuition" to describe how a performer may use his or her knowledge of a piece to influence intuitive decisions. The steps he suggests to achieve this knowledge are: understanding the piece's formal divisions and basic tonal plan; creating a graph of the piece's tempos and dynamics; analyzing the melodic shape; creating a rhythmic reduction; and renotating the music to reflect the discoveries that result from these steps.¹

The first step—understanding formal divisions and the basic tonal plan—is the goal of utilizing an aid like the study accompaniment. The harmonic outline in the accompaniment provides the tonal plan and helps the performer to organize the divisions of the piece. Rink later states that the performer may not need to complete a formal analysis and can instead focus on feeling the influences of the harmonic forces on a musical production.² This further supports the use of the study accompaniment in that the performer can use it to help him or her feel the harmonic forces instead of analyzing each chord him- or herself.

Another example is provided by Toch in his book on harmony, melody, counterpoint, and form. In it, he presents a number of interesting ideas about the four subjects and how they are interrelated. He observes that many of Bach's works depend on the progression of the harmony.³ Therefore, it is absolutely necessary that harmonic progression be a present and influential force. If a performer does not understand this progression, a large part of the piece may not be exposed during its performance.

¹ John Rink, <u>Musical Performance: A Guide to Understanding</u>, (New York: Cambridge University Press, 2002), p. 35.

² <u>Ibid.</u>, p. 45.

³ Ernst Toch, <u>The Shaping Forces in Music: An Inquiry into Harmony, Melody, Counterpoint, Form</u>, (New York: Criterion Music Corp., 1948), p. 25.

The piano accompaniment to all six of Bach's unaccompanied violin works written by Robert Schumann relates more directly to my study accompaniment.¹ This work is mentioned by Lester throughout his book on the solo works. He does this as part of his historical consideration of the works and looks at how this Romantic-era accompaniment compares to the way in which modern Baroque historians interpret them. Lester writes that Schumann's accompaniment was created partially in joyful response to an accompaniment to the Chaconne from the D minor Partita, BWV 1004 written by another 19th century composer, Felix Mendelssohn.²

He notes that Schumann made a "glowing review" of the performance (by Mendelssohn himself and the violinist Ferdinand David) of Mendelssohn's accompaniment to the Chaconne. Allegedly, David did not feel comfortable enough to perform the work by himself, despite his virtuosity. Schumann subsequently published accompaniments to all six of the unaccompanied violin works in 1853. There were a number of other accompaniments produced from that time until the early twentieth century.³ In fact, until the violinist Joseph Joachim set a standard by always performing the works unaccompanied, the works were often performed with accompaniment.⁴

It is interesting to note that a virtuoso violinist did not feel he was ready to perform one of the unaccompanied movements until he had the opportunity to perform it with a piano accompaniment. My study accompaniment will give violinists the opportunity to learn the work with the security of a harmonic accompaniment. However, the accompaniment will by no means take the responsibility of creating a musical phrase away from the performer and will, in fact,

¹ Robert Schumann, *Klavierbegleitung zu den Sonaten für Violine solo*, (Frankfurt, London and New York: C. F. Peters, n.d.).

² Joel Lester, <u>Bach's Works for Solo Violin: Style, Structure, Performance</u>, (New York: Oxford, 1999), p. 6.

³ <u>Ibid.</u>, p. 23.

⁴ <u>Ibid.</u>, p. 24.

encourage it. Once this is achieved, the performer can move away from using the accompaniment to playing the piece solo as was intended, while still maintaining the understanding of the work as a larger harmonic unit.

All of these sources provide credibility to the idea that understanding and convincingly portraying harmonic motion is important to the performance of a piece. This creates the responsibility for the performer to correctly interpret what the composer has written in the music so that the composer's intentions are appropriately conveyed. While this understanding can be difficult to achieve in unaccompanied works due to the embedded nature of harmonic motion, it is still attainable through a thorough study of the piece and can be aided through outside assistance.

ANALYSIS

The major source for my writing of the study accompaniment was, naturally, the score to the Sonata in G minor itself. The score used is an edition published by International Music Company, includes a facsimile copy of Bach's autograph manuscript in addition to a printed score, and is edited by Ivan Galamian.¹ Galamian's introductory note indicates that he has maintained the work exactly as notated in the manuscript, adding only fingerings and occasionally changes in bowings but leaving dynamics, notes, and embellishments as they are shown in Bach's own handwriting. This means that this edition has not been changed to reflect things such as disputed notes. Furthermore, the Bach manuscript is also included, which provides the most direct reference of what was actually written.

¹ Johann Sebastian Bach, Six Sonatas and Partitas for Violin Solo, BWV 1001-1006, ed. by Ivan Galamian, (New York: International Music Company, 1971).

Despite Galamian's introductory note claiming strict adherence to the autograph manuscript, I noticed some discrepancies in pitches between the manuscript and the printed score. This indicates that he did not always exactly match the manuscript. Most of these differences are reflective of variations in performance practice. One example is whether an accidental applies to all instances of that pitch in a measure regardless of the octave or only to the pitches in that exact octave, such as the E flats in m. 2 of the Fugue. However, some of the changes to pitches reflect the correction of what many believe to be accidents on the part of Bach, such as m. 19 of the Adagio. In this instance, Galamian and others assume that the F sharp directly preceding the first beat of m. 19 carries through to the unaltered F on beat one.

Regardless of the occasional lack of consistency by Galamian, this source proved useful during my analysis because it contained the manuscript facsimiles for reference and the clean copy edited by Galamian for ease of analysis. With additional support and ideas from other sources, this edition of the piece became the foundation for my analysis. This allowed me to decide how I wanted to approach the disputed content through outside study of other references and my own discoveries.

Two books written specifically about the unaccompanied sonatas and partitas by Bach aided the analysis of the sonata and the writing of its accompaniment. The one by Schröder starts with a historical consideration of the pieces, looking at them in the context in which they were written. He then proceeds to give an individual analysis of each of the unaccompanied works. This analysis includes various points such as performance considerations, tempos, harmony, and melodic lines, among others.¹ The other book by Lester also begins by placing the works in their historical context. He then looks specifically at each movement of the G minor

¹ Schröder, <u>Bach's Solo Violin Works</u>.

sonata and how its movements relate to the corresponding movements in the other sonatas and partitas and to other similar works of Bach.¹

Schröder's insight to the pieces that starts his book has been particularly useful and enlightening because of his research into and consideration of the pieces in terms of their contemporary context. Contextual research provides useful insights for the modern performer and analyzer of historical works. One thing he highlights is how Bach maintained the tradition of using "Dorian notation" in the key signature. In the first sonata, this means that even though the key is obviously G minor (which contains both B flat and E flat) Bach only writes the first flat in the key signature, leaving all E flats to be written as accidentals.² This leads to some disputed pitches when a line appears to require an accidental E flat that is not notated. This becomes especially problematic when making comparisons between his autograph manuscript and his personal arrangements of the work for organ and lute. One example is in mm. 83-84 of the Fugue, in which the top line contains G-F#-F-Eb-E. The second E occurs after the barline, thus cancelling the flat written on the first E. Schröder suggests that the flat was misplaced and should occur on the second E. If this was the case and the E flat and the E were in opposite places, the line would be descending chromatically. A further problem arises when looking at the organ and lute arrangements, because the former contains a descending chromatic line as Schröder suggests it should be and the latter is notated the same as the original manuscript.³

Schröder's specific writings about each movement of this sonata influenced parts of my own analysis of the piece. One thing he does involves addressing the outlining harmonic motion that is present in each of the four movements. His description of the key modulations facilitated my analysis by allowing me to focus on key areas and the chords that would be present in each

 ¹ Lester, <u>Bach's Works for Solo Violin</u>.
² Schröder, <u>Bach's Solo Violin Works</u>, p. 54.

³ Ibid., p. 63-64.

of those. Lester also writes specifically about each movement of the sonata in his book on the solo violin works. He provides similar information to what Schröder offers, but often one author gives information that supplements and augments what the other has given on a particular aspect of the piece.

Schröder describes the written-out da capo form-A-B-A-of the Adagio and how the key relations cooperate within each section. He discusses how the entirety of the first movement acts like a large embellishment around the foundational harmony. He describes the tonality of the piece as starting in G minor in the first A section, which modulates to D minor by the end of that section. The middle B section wanders through several keys, moving from D minor to C minor and nearing E flat major.¹ Lester suggests that Bach does actually modulate to E flat major at that point where Schröder maintains that Bach merely approached the key. In either case, there was enough emphasis on E flat major at this point for it to be mentioned by both authors and to guide my analysis. Beyond key areas, Lester also mentions some of the cadences present in the Adagio, which helped with chord identification. Finally, Lester indicates that the last section is almost an exact recapitulation of the first, moving from C minor to G minor instead of G minor to D minor due to the necessity of returning to the initial tonic key of G minor. This indicated that there would likely be some repetition in the use of harmonies between the sections, which was important to highlight in my accompaniment. An additional useful portion of Lester's analysis of the Adagio included a form outline of the piece, indicating exactly where he believes the modulations between keys take place.²

For the Fugue, Schröder outlines the general harmonic framework and demonstrates how this movement relates to the others in the sonata. He describes the tonal areas of this movement

¹ <u>Ibid.</u>, p.

² Lester, Bach's Works for Solo Violin, pp. 33-40.

as starting in G minor and arriving at D minor by m. 24, moving to C minor at m. 55, modulating to B flat major in m. 64, and returning to the initial G minor for the end of the movement. He remarks on the fact that this tonal outline is similar to the one found in the Presto, although the keys are in a slightly different order.¹ In addition to mentioning the tonal areas in the Fugue, Lester provides exact measures where the modulation occurs, which provides more specific guiding information. He comments that the section following each cadence differs in some manner—texture, figuration, contrapuntal devices, register.² This means that it is especially important for the performer to hear and make a complete phrase by the end of the harmonic section. To aid this, I made sure that these harmonic phrases were clearly portrayed in the accompaniment's bass motion.

Schröder addresses less of the key structure in the Siciliana but does mention an overall outline of the harmony beginning in B flat major, moving to G minor, and returning to B flat major to close.³ Lester elaborates more on the form and key structure of the Siciliana. He specifies that there are three distinct sections plus a cadential reiteration acting as a coda. The first section goes until m. 4 and remains the entire time in the tonic key. The second section is mm. 4-9. It moves quickly to the relative minor despite starting the same as the first section. The final section progresses almost immediately back to B flat major but avoids any definitive tonic triads until the very end of the section. The coda ends the movement by partially restating the opening measure—much like the beginning of the second section—before ultimately ending the movement. Lester additionally comments that, while a normal key for modulation in a major key movement would be the dominant—F major in this case—Bach refrained from this since that key has not been present in any of the other movements and instead used the relative minor,

¹ Schröder, Bach's Solo Violin Works, p. 62.

² Lester, Bach's Works for Solo Violin, p. 58.

³ Schröder, Bach's Solo Violin Works, p. 71.

which is the tonic key of the entire sonata and beginning and ending key of the other three movements.¹ Therefore, this is an important modulation for the performer to understand and highlight.

For the final Presto movement, Schröder talks specifically about each of the halves. The first, like the Adagio and the Fugue, starts in G minor, moves through B flat major, and comes to D minor by its end. The second half then progresses to C minor before returning to G minor for the end of the whole sonata. As mentioned, the keys that are used here are exactly the same as in the Fugue but with a different order in the keys between the starting and ending G minor. Additionally, the keys of C and D minor are also used in the introductory Adagio.² Lester expounds on a number of issues regarding the Presto movement. He, too, indicates the keys and also provides some elaboration on their relation to the movement's binary form. He also considers the movement's parallelism between the halves and the differences that they contain in terms of how the harmony is affected.³

One final item of interest is the piano accompaniment written by Schumann.⁴ As the information provided by Lester and Schröder was helpful during the analysis for guidance of keys and notes, so was Schumann's accompaniment. In places where his accompaniment was more chordal than duplicative of the violin part, this was a useful harmonic guide. However, this provides only one interpretation of the harmony. Problems arise when, according to Lester, Schumann gives the accompaniment a more Romantic than a Baroque interpretation. Lester gives many examples of this in his book on Bach's solo works. One is at the end of the Presto, mm. 128-133, where Bach writes an ascending bass line. At this point in the music, Schumann

¹ Lester, <u>Bach's Works for Solo Violin</u>, pp. 97-98. ² Schröder, <u>Bach's Solo Violin Works</u>, p. 74.

³ Lester, Bach's Works for Solo Violin, pp. 124-135.

⁴ Schumann, Klavierbegleitung.

writes an octave tonic pedal in the left hand while notating the chords in the right. Lester believes that this tonic pedal distorts the relentless bass line Bach wrote.¹

ACCOMPANIMENT

The study accompaniment resulting from this research (see Appendix 1) consists of an outline of the harmonic motion that is present in Bach's Sonata in G minor for Solo Violin, BWV 1001. There are two lines of the accompaniment: one in treble clef and one in bass clef. The reason for this is so that the accompaniment could be used in two different manners. The likely use of this accompaniment—and the one I first considered in this project—would be for use during a lesson with the instructor playing the accompanying part on the violin. However, since harmonic motion tends to be a bass-line function, the part in bass clef could be played on the cello if the opportunity exists. Due to the intended use, the parts were created with regard to their respective instruments' ranges. The written portion offers a number of sources that provide support for the idea that understanding harmonic movement aids a performer in creating an accurate phrase representation. It also discusses some of the process that went into the creation of my accompaniment, from research about the sonata to ways of approaching the harmonic analysis.

This accompaniment is important because of its ability to aid in the successful performance of a piece through helping the violinist understand the harmonic motion more thoroughly. It adds to the current repertoire available for aiding the performance of the unaccompanied Bach works, which are largely books about the pieces in their historical context and performance considerations for them. It also differs from the accompaniments that were

¹ Lester, <u>Bach's Works for Solo Violin</u>, pp. 134-135.

written in the nineteenth century in that this is meant for the study and learning of the piece, not for performance. Therefore, the nature of the accompaniment part differs slightly due to its purpose of outlining harmonic movement instead of supplementing the violin in performance.

CONCLUSION

This experience has proved extremely valuable to me. To start, I had to find outside support that my idea could be useful due to the complexity of hearing and portraying the harmony. It was fascinating to find a number of sources with reference to the subject. Then I had to analyze everything happening harmonically in the sonata. This is something I had never done for an entire work. Both of these processes gave me a new perspective on my project through the completion of the accompaniment. Furthermore, though not the focus of this project, I discovered many interesting characteristics of the sonata that I had not noticed beforehand. Therefore, through the completion of this project, I found myself understanding the sonata more thoroughly than I had in the past. While harmonic movement is not the only factor that affects phrasing, it undoubtedly should be a significant influence on the performance of any work.

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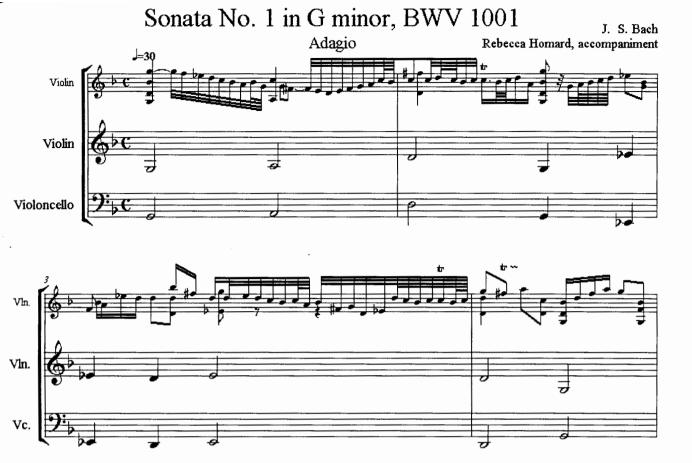
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APPENDIX 1

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Vln.



