

‘ES LEBE DIE ORDNUNG UND BETRIEBSAMKEIT!  
WAS HILFT DAS BESTE HERZ OHNE JENE!’:  
A NEW LOOK AT FANTASIA ELEMENTS  
IN THE KEYBOARD SONATAS OF  
C. P. E. BACH

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INTRODUCTION

How do we use the information contained in treatises written by composers and performers? I examine here the light that might be thrown on C. P. E. Bach’s keyboard sonatas by the material contained in his celebrated *Versuch über die wahre Art das Clavier zu spielen*.<sup>1</sup>

As Frederick Neumann long ago suggested, there is a general tendency to adopt from such treatises the points and examples that suit our purpose, without sufficiently considering their context.<sup>2</sup> In this more context-conscious age of scholarship, we can perhaps feel encouraged to move more freely around a work such as Bach’s *Versuch*, seeking to site its precepts in their social milieu as well as in a pedagogical tradition, and applying its principles and examples in musical contexts beyond those pertaining to the immediate frame of reference. In one sense the *Versuch* belongs in the sphere of encyclopaedic works intended to reach a universal audience. In a narrower sense its elevated content placed it beyond the range of the average amateur or beginner, for instance in its inclusion of instruction in playing from figured bass and improvising fantasias. A contemporary writer with more modest aims, Philipp Christoph Hartung, argued in his keyboard treatise of 1749 that figured bass was unsuitable for beginners, who had ‘enough trouble reading the notes that are in the score, without having to work out unseen ones from the bass’.<sup>3</sup>

All the more, one could argue, would the improvisation of a free fantasia be beyond the ordinary reader. Bach himself, writing in 1775, acknowledged such a problem:

People now ask me for six or seven more fantasias like the final piece in C minor from the *Probestücke*; I do not deny that I should very much like to write something of this kind, and perhaps I am not altogether unqualified to do so; besides I have a great many sketches . . . the only difficulty is that one wonders how many people there are who like such music, understand it, and can perform it properly.<sup>4</sup>

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This article is dedicated to Reinhard Strohm on the occasion of his sixty-fifth birthday. I am grateful to Laurence Dreyfus for reading a draft and making helpful suggestions.

- 1 Carl Philipp Emanuel Bach, *Versuch über die wahre Art das Clavier zu spielen*, 2 volumes (volume 1, Berlin, 1753; volume 2, Berlin, 1762); facsimile reprint with added matter from the 1787 and 1797 Leipzig editions of volume 1 and volume 2 respectively, ed. Wolfgang Horn (Kassel and Basel: Bärenreiter, 1994); English edition, trans. and ed. William J. Mitchell as *Essay on the True Art of Playing Keyboard Instruments* (New York: Norton, 1949; London: Eulenburg, 1974).
- 2 Frederick Neumann, ‘The Use of Baroque Treatises on Musical Performance’, *Music and Letters* 48/4 (1967), 315–324. Neumann was primarily concerned with performance practice; my own concern here is particularly with compositional practice.
- 3 See Susan Wollenberg, review of Hartung’s *Musicus Theoretico-Practicus*, facsimile edition, ed. Isolde Ahlgrimm and Bernhard Billeter (Leipzig: Peters, 1977), in *Music and Letters* 64/1–2 (1983), 73–76.
- 4 C. P. E. Bach, letter to J. N. Forkel (10 February 1775), quoted in Hans-Günter Ottenberg, *Carl Philipp Emanuel Bach*, trans. Philip J. Whitmore (Oxford: Oxford University Press, 1987), 166–167.



Here we find Bach implicitly aligning the fantasia genre with that category of connoisseurs explicitly catered for in his *Kenner und Liebhaber* collections, published some years later.

Although over the last few decades a plentiful literature has grown up around C. P. E. Bach's keyboard sonatas,<sup>5</sup> to my knowledge no previous published work has yet considered precisely the ground covered in my investigation here. The closest to it is Richard Kramer's stimulating article on Bach's processes of modulation, while the wider field of relevance to my enquiry is explored by two outstanding dissertations that both appeared in the same year, 1995, by Annette Richards (on the musical picturesque) and Matthew Head (on fantasy in Bach's instrumental style).<sup>6</sup>

Besides these important references, the core text for this essay must be Emanuel Bach's chapter on the free fantasia in his *Versuch*, a text which has become a *locus classicus* for discussion of its topic. Illustrated by extensive musical examples, it can be regarded as a self-contained entity within the context of the treatise, its purpose defined by that of the volume as a whole and shaped by the practical and social needs to which both chapter and treatise respond. Moving outwards from this context, the notion of fantasia can be linked to Bach's own notated compositions in that genre.<sup>7</sup> Beyond this sphere, the concept can be tracked further through Bach's keyboard sonatas, where fantasia seems often to operate under the guise of sonata. From here, links can be drawn back to the chapter in the *Versuch* where Bach sets out his idea of fantasia.<sup>8</sup> For the reader of the chapter, then, its exposition of the topic can illuminate much more than simply the immediate frame of reference, namely how to improvise a free fantasia. For the analyst, the strategies that transform the sonata in Bach's hands can be directly related to the instruction provided in the *Versuch*, through close readings of both the musical text of the sonatas and the theoretical text of the treatise.

### ‘ES LEBE DIE ORDNUNG UND BETRIEBSAMKEIT! WAS HILFT DAS BESTE HERZ OHNE JENE!’

‘Long live order and industry! What use is the best heart without those!’. These words of Emanuel Bach in a letter of 1772 to Breitkopf were originally provoked by the demands and frustrations of dealing with music

5 See, among others, Ottenberg, *Carl Philipp Emanuel Bach*; Darrell M. Berg, ‘The Keyboard Sonatas of C. P. E. Bach: An Expression of the Mannerist Principle’ (PhD dissertation, State University of New York at Buffalo, 1975); Wolfgang Horn, *Carl Philipp Emanuel Bach, Frühe Klaviersonaten: Eine Studie zur ‘Form’ der ersten Sätze nebst einer kritischen Untersuchung der Quellen* (Hamburg: Verlag der Musikalienhandlung Karl Dieter Wagner, 1988); Pamela Fox, ‘The Stylistic Anomalies of C. P. E. Bach’s Nonconstancy’, in Stephen Clark, ed., *C. P. E. Bach Studies* (Oxford: Clarendon, 1988), 105–131; see also Susan Wollenberg, ‘A New Look at C. P. E. Bach’s Musical Jokes’, in *C. P. E. Bach Studies*, 295–314, and ‘Beginnings and Endings: C. P. E. Bach’s Keyboard Sonatas Revisited’, in Hans-Günter Ottenberg, ed., *Carl Philipp Emanuel Bach: Musik für Europa. Bericht über das internationale Symposium vom 8. März bis 12. März 1994 in Frankfurt (Oder)*, Carl Philipp Emanuel Bach Konzepte, Sonderband 2 (Frankfurt (Oder): Konzerthalle ‘Carl Philipp Emanuel Bach’, 1998), 223–244. Also pertinent here is Richard Kramer’s recent study ‘Diderot’s *Paradoxe* and C. P. E. Bach’s *Empfindungen*’, in *C. P. E. Bach Studies*, ed. Annette Richards (Cambridge: Cambridge University Press, 2006), 6–24.

6 Richard Kramer, ‘The New Modulation of the 1770s: C. P. E. Bach in Theory, Criticism, and Practice’, *Journal of the American Musicological Society* 38/3 (1985), 551–592; Annette Richards, ‘Fantasy and Fantasia: A Theory of the Musical Picturesque’ (PhD dissertation, Stanford University, 1995); and Matthew Head, ‘Fantasy in the Instrumental Music of C. P. E. Bach’ (PhD dissertation, Yale University, 1995). See also Annette Richards, *The Free Fantasia and the Musical Picturesque* (Cambridge: Cambridge University Press, 2001). Tangentially related to my concerns here is Heinrich Poos, ‘Carl Philipp Emanuel Bachs Rondo a-Moll aus der *Zweiten Sammlung* [. . .] für *Kenner und Liebhaber*: Protokoll einer Annäherung’, in *Carl Philipp Emanuel Bach: Beiträge zu Leben und Werk*, ed. Heinrich Poos (Mainz: Schott, 1993), 119–170.

7 Among the core literature on fantasia see especially Peter Schleuning, *Die freie Fantasie: ein Beitrag zur Erforschung der klassischen Klaviermusik* (Göppingen: Kümmerle, 1973).

8 Bach, *Versuch*, part 2, chapter 41; trans. Mitchell, *Essay*, chapter 7.



publishers.<sup>9</sup> But the striking motto they form could also serve to express the duality inherent in the fantasia and its influence on Bach's own solo sonatas. ‘Das beste Herz’ might be equated with the imaginative qualities, the spontaneous outpourings, characteristic of the keyboard fantasia, while ‘Ordnung und Betriebsamkeit’ could represent those structures providing what Richards, following Forkel, calls ‘the guiding hand of art’.<sup>10</sup> As Forkel wrote: ‘Freylich ist es die Begeisterung nicht allein, die diese musikalische Ode, (Sonate) schaffen kann’ (Indeed, it is not inspiration alone that can produce this musical ode (sonata)). And as Richards comments, ‘The fantasia, according to Forkel’s analysis, is an irrational product of the uncontrolled inspiration, emotion allowed to run free. It is the antithesis of the sonata, where inspiration is guided and controlled, emotion expressed in logical sequence and prevented from digression.’<sup>11</sup> Taking an opposite view to Richards (and Forkel) here, I would suggest, rather, that certain definable elements of the fantasia lent a particular kind of ‘guiding hand’ to the otherwise apparently freely created aspects of Bach’s solo keyboard sonatas.

C. F. Flögel, discussing the poetic ode, referred to both ‘Ordnung’ (order) and its opposite extreme, ‘Unordnung’ (disorder), observing shrewdly that ‘the disorder in the ode is an . . . appearance of disorder. It is like . . . a chain, of which most of the links are invisible’.<sup>12</sup> Substituting ‘inaudible’ (*unhörbar*) for ‘invisible’ (*unsichtbar*), this dictum could equally well be applied to the fantasia. The quality of listening that is generated by performances on early touch-sensitive keyboard instruments, and in particular the clavichord, tends to promote acute awareness of every ‘link in the chain’, and indeed potentially also of the numerous ‘hidden links’.<sup>13</sup> With a view to developing these ideas, I will focus, in the ensuing discussion, on a selection of sonatas from the six *Kenner und Liebhaber* collections.<sup>14</sup>

## THE ‘KENNER UND LIEBHABER’ SONATAS: SOME PRELIMINARY CONSIDERATIONS

In the volumes of keyboard pieces ‘für Kenner und Liebhaber’ Bach distinguished clearly by title (and therefore, by implication, genre) among the three types: rondo, sonata and fantasia; and yet the distinction

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- 9 Hamburg, 2 December 1772: see Ernst Suchalla, ed., *Carl Philipp Emanuel Bach: Briefe und Dokumente*, 2 volumes (Göttingen: Vandenhoeck & Ruprecht, 1994), D 126, volume 1, 293; Stephen Clark, trans. and ed., *The Letters of C. P. E. Bach* (Oxford: Clarendon Press, 1997), 32, letter 37.
- 10 Richards, ‘Fantasy and Fantasia’, 105.
- 11 Richards, ‘Fantasy and Fantasia’, 105. Clearly Bach’s keyboard sonatas often belie this description of the genre. See Fox, ‘Stylistic Anomalies’, and Wollenberg, ‘Musical Jokes’, for explorations of Bach’s subversive tendencies. Darrell Berg sees in Bach a dichotomy of form and content, marked by ‘capricious details’ within ‘inflexible structural designs’: Berg, ‘The Keyboard Sonatas of C. P. E. Bach’, 122. Kramer has noted how ‘Empfindung’ is often ‘set in opposition to reasoned thought’ (Kramer, ‘Diderot’s *Paradoxe* and C. P. E. Bach’s *Empfindungen*’, 13).
- 12 ‘Die Unordnung in der Ode ist ein bloßer Schein der Unordnung. Sie ist . . . gleich einer Kette, deren meiste Glieder unsichtbar sind’; quoted in Richards, ‘Fantasy and Fantasia’, 107, from Flögel’s *Geschichte des menschlichen Verstandes* (Breslau, 1765), 44.
- 13 On ‘the musical habit of focused listening inspired by the clavichord’ see Mary Sue Morrow, ‘The Clavichord Resounds, or the Wider Influence of C. P. E. Bach’s *empfindsamer* Keyboard Style’, in *De clavicordio IV: Proceedings of the IV International Clavichord Symposium, Magnano, 8–11 September 1999* (The International Centre for Clavichord Studies), ed. Bernard Brauchli, Susan Brauchli and Alberto Galazzo (Magnano: Musica antica a Magnano, 2000), 87–94, especially 91–93. Morrow’s main preoccupation is with the rise of German as against Italian instrumental style.
- 14 For the ‘Kenner und Liebhaber’ volumes see *Carl Philipp Emanuel Bach: Die Sechs Sammlungen von Sonaten, freien Fantasien und Rondos für Kenner und Liebhaber*, ed. C. Krebs (Leipzig, 1895; revised edition, ed. Lothmar Hoffmann-Erbrecht, Leipzig: Breitkopf & Härtel, 1953); and for a facsimile edition of the first three volumes (from which selected sonatas are discussed here) see *Carl Philipp Emanuel Bach 1714–1788: The Collected Works for Solo Keyboard*, ed. Darrell M. Berg (New York and London: Garland, 1985), volume 2.



among these three also allows for multiple cross-influence of a rich kind.<sup>15</sup> The fact that (taking the six collections together) the sonatas and rondos appear alongside the fantasias brings out these influences all the more strongly. An earlier, and special, case is the famous C minor Fantasia published together with the *Versuch*.<sup>16</sup> Emanuel Bach was by nature an experimental composer, and his experiments included this remarkable fantasia, with its paradoxical status as the third and final movement of a notional three-movement sonata, and as a quasi three-movement sonata within itself. To a present-day observer encountering the sonatas of Bach in the context of late eighteenth-century keyboard sonata repertory generally, it becomes apparent that the fantasia concept may offer a way of understanding the peculiarities of his procedures. For even nowadays, his sonatas may be perceived as ‘eccentric’ creations.<sup>17</sup>

Clearly, in ‘Kenner und Liebhaber’ sonatas such as Sonata I of volume 3 (H247, composed in 1774) the hypothetical ‘discipline’ of the sonata is replaced by the freedom of the fantasia (see Example 1). Possibly it was this quality that led Philip Barford, in his book on the keyboard music, to write so dismissively of this piece.<sup>18</sup> Where sonatas seem to stray into ‘no man’s land’ (to extend the landscape imagery analysed by Richards), as with Sonata II of volume 2 (H269; composed in 1780) at the end of the first movement, conveying a sense that the music could go in any direction and as far as whim will take it, the breath of the fantasia is definitely felt (see Example 2). This is evident even if the surrounding territory possesses more ‘ordered’ qualities.

### C. P. E. BACH ON FANTASIA

It might be thought impossible to establish a prescription for the fantasia in any very definite terms, and yet the relevant chapter of the *Versuch* shows Bach prepared to offer some extremely precise instructions in pinning down this elusive improvisatory genre.<sup>19</sup> I will first summarize here some of the main points that emerge from his discussion; though these have attracted comment in the literature, they are open to further investigation. Some of the observations about harmony, in particular, invite this, since, as Head remarks, ‘modern writers have not considered harmonic syntax in the fantasia in any detail’.<sup>20</sup> (It might be claimed that the same is true of the sonatas themselves.)

The stress throughout Bach’s chapter on fantasia is on harmony and structure, promoting a sense of harmonic framework (notably in Figure 479, the figured-bass sketch for the written-out Fantasia in D major, Figure 480, which illustrates the chapter)<sup>21</sup> and evincing a strong concern for the harmonic thread: ‘Although no bar lines are employed, the ear demands a definite relationship in the succession and duration of the chords themselves’.<sup>22</sup>

Hans-Günter Ottenberg, putting together a picture of Bach’s improvisatory art, views the power of harmonic logic as a vital component of this type of music:

15 Rondos begin to appear from the second of the six volumes onwards, free fantasias from the fourth onwards.

16 As the last of the ‘18 Probestücke in sechs Sonaten’ (Berlin, 1753), H75, third movement. This piece has generated a remarkable amount of exegetical literature; among recent work is Tobias Plebuch, ‘Dark Fantasies and the Dawn of the Self: Gerstenberg’s Monologues for C. P. E. Bach’s C minor Fantasia’, in Richards, *C. P. E. Bach Studies*, 25–66.

17 This idea is examined in detail by Matthew Head, whose dissertation (‘Fantasy in the Instrumental Music of C. P. E. Bach’) pays due – or indeed overdue – consideration to the role of fantasia in sonatas and other works.

18 Philip Barford, *The Keyboard Music of C. P. E. Bach* (London: Barrie and Rockliff, 1965), 116: ‘a slight work, the first movement being basically a prelude flourish in A minor . . . A good deal of the writing is exceptionally thin’.

19 Bach, *Versuch*, part 2, chapter 41; trans. Mitchell, *Essay*, chapter 7.

20 Head, ‘Fantasy in the Instrumental Music of C. P. E. Bach’, 57–58.

21 The illustrative examples in the original text were unnumbered; the numbering of the figures used here derives from Mitchell’s translation (see note 1 above).

22 Bach, *Versuch*, chapter 41, §3, 326; trans. Mitchell, chapter 7, 430.



Allegro

Example 1 Sonata H247, first movement, bars 1–8 (*Clavier-Sonaten . . . für Kenner und Liebhaber*, volume 3 (Leipzig, 1781), Sonata I; facsimile edition, *The Collected Works for Solo Keyboard by Carl Philipp Emanuel Bach 1714–1788*, 6 volumes, ed. Darrell M. Berg (New York: Garland, 1985)).

In particular, Bach’s harmonic language, his bold combinations of chords, his chains of modulations and resolutions, seemed quite miraculous. Yet . . . his improvisations were never incoherent . . . a sense of general musical logic was retained. Bach declared more than once that for any form of improvisation, accurate knowledge both of harmonic functions and of various performance problems was essential.<sup>23</sup>

The very emphasis on harmonic and structural aspects in Bach’s account of the free fantasia gives extra impact to the effects obtainable by subverting these, as expressed by Bach in the often-quoted passage, ‘It is one of the beauties of improvisation to feign modulation to a new key through a formal cadence and then move off in another direction. This and other rational deceptions make a fantasia attractive; but they must not be excessively used . . .’<sup>24</sup>

23 Ottenberg, *Carl Philipp Emanuel Bach*, 170.

24 Bach, *Versuch*, chapter 41, §8, 330; trans. Mitchell, chapter 7, 434. On modulation (Bach’s term was ‘Ausweichung’) see further, for an evaluation of terminology, William J. Mitchell, ‘Modulation in C. P. E. Bach’s *Versuch*’, in H. C. Robbins Landon, ed., *Studies in Eighteenth-Century Music: A Tribute to Karl Geiringer on his Seventieth Birthday* (London: George Allen and Unwin, 1970), 333–342; and for an examination of the added material on modulation included in the



Example 2 Sonata H269, first movement, bars 37–47; second movement, bars 1–2 (*Clavier-Sonaten . . . für Kenner und Liebhaber*, volume 2 (Leipzig, 1780), Sonata II).

Other crucial passages in the chapter on fantasia include a passage on circuitous modulations; this category forms my main concern in what follows. The technical commentary gives prime position to the use of the diminished seventh as a pivot chord with possibilities of enharmonic transformation: ‘As a means of reaching the most distant keys more quickly and with agreeable suddenness no chord is more convenient and fruitful than the seventh chord with a diminished seventh and fifth . . .’<sup>25</sup> Further, and specific, harmonic points are contained in the prose commentary to the D major Fantasia, and in the copious musical examples of progressions. From these emerge ideas such as that of ellipsis (related to the deceptive modulations mentioned, and constituting ‘hidden links’ in the chain) and chromaticism, the latter topic being considered with particular care: ‘There are keyboardists who understand chromaticism . . . but few who know how to employ it agreeably’.<sup>26</sup>

revised edition of the *Versuch* (1797) see Kramer, ‘The New Modulation of the 1770s’.

<sup>25</sup> Bach, *Versuch*, chapter 41, §11, 335; trans. Mitchell, chapter 7, 438.

<sup>26</sup> Bach, *Versuch*, chapter 41, §10, 333; trans. Mitchell, chapter 7, 436.



Bach's discussion is illustrated by the examples in Figure 475 of William Mitchell's translation, some of which are extracted in Example 3.<sup>27</sup> Bach's examples in Figure 475 (which would not be out of place in explaining some of Franz Liszt's harmonic progressions) are designed to demonstrate systematically how to modulate from a major key to 'distant' keys, as opposed to the 'closely related' keys mentioned and illustrated in the immediately preceding paragraph.<sup>28</sup> It is intriguing to find these distant modulations described by Bach as 'slightly circuitous ways of modulating'.<sup>29</sup> In post-J. S. Bach's '48' fashion the examples take us systematically to all but the closely related keys: from C to C sharp major, then to C sharp minor, to D major, E flat major, E flat minor, E major, F minor, F sharp major, F sharp minor, G minor, A flat major, A flat minor, A major, B flat major, B flat minor, B major, and B minor, always setting off from C major in each case, thus constituting a veritable complete guide to modulation.<sup>30</sup> As Head observes, 'the fantasia explored the whole system of tonality that was opened up by new temperaments. Bach advocated equal temperament, which was ideal for the rapid modulations of improvised fantasias'.<sup>31</sup>

From Bach's discussion of modulation, together with the sketch of the D major Fantasia and commentary, and the seventeen illustrations of modulatory passages contained in Figure 475, certain technical procedures emerge as crucial. These include circuitousness, rendering a standard modulation more interesting; the deceptive and elliptical strategies already mentioned above, implying unheard resolutions and, in particular, exploiting unresolved sevenths; the 'enriching' effect of the diminished-seventh chord (refer to Example 3(j)); enharmonism (Example 3(a) and (b)); and underlying major-minor tensions running through a progression. The reductive gloss to Example 3(i): 2 compares the actual 'surprise' progression with the expected 'norm'. The partial reduction of Example 3(b): 2 shows how the diminished seventh deflects the expected progression. In all four cases in Example 3, the modulatory circuits are transformed by systematic procedure, and not simply set up as shock effects. The schematic representation given in Example 3(j): 2 demonstrates the strong logical outline enriched in Bach's progression. Example 3(b): 3 gives the crux, in the enharmonic reinterpretation of a 'cell'; Example 3(a): 2 indicates the essential chromatic transformation implied over the bass line, and Example 3(a): 3 again gives the crux of the progression in terms of enharmonic reinterpretation. These details are what make the progressions tick; they represent the mechanisms behind the apparently magical effects of modulation.

## THE 'KENNER UND LIEBHABER' SONATAS: SOME DETAILED INVESTIGATIONS

In turning now to the 'Kenner und Liebhaber' sonatas, and in particular to aspects of the modulatory profile they present, I will focus on the feature which I believe above all reflects the deep influence of fantasia on the

27 Bach's originals gave the figured bass only (with figures placed above). The harmonies have been realized here on stave 1 of each example to give a fuller representation of the hypothetical progressions; in addition, various reductive elements have been introduced (shown on stave 2, or staves 2 and 3, in each case, joined by the dotted lines). These are elucidated further in my discussion of the individual examples. The added lettering relates to their position in the original set (running from (a) to (q)).

28 Bach explains that the principles will be easily applied also to modulations from the minor key, although these are not shown. Mitchell's translation seems to misrepresent the relationship between Bach's paragraphs 9 and 10; for the opening sentence of §10, 'In folgenden Exempeln [Figure 475] wird die Art vorgebildet, aus einer harten Tonart durch wenige Umwege in die übrigen Tonarten, welche im vorigen Paragraph *noch nicht* [my italics] berührt worden sind, auszuweichen' it reads: 'The examples of Figure 475 illustrate slightly circuitous ways of modulating from a major key to the distant keys which were mentioned in the preceding paragraph'.

29 Bach, *Versuch*, chapter 41, §10, 333; trans. Mitchell, chapter 7, 436.

30 Bach omits here the 'close relations' D minor, E minor, F major, G major and A minor, which were exemplified in the progressions of Figure 474.

31 Head, 'Fantasy in the Instrumental Music of C. P. E. Bach', 54, with reference to the *Versuch*, part 1, Introduction, §14, trans. Mitchell, 37.





Example 3 After C. P. E. Bach, *Versuch über die wahre Art das Clavier zu spielen*, 2 volumes (volume 1, Berlin, 1753; volume 2, Berlin, 1762), volume 2, chapter 41, unnumbered example, 333–334 (trans. and ed. William J. Mitchell as *Essay on the True Art of Playing Keyboard Instruments* (New York: Norton, 1949; London: Eulenburg, 1974), part 2, chapter 7, figure 475, 436–437)

sonata – that is, the cultivation of inter-movement links. These were developed in the important set of sonatas ‘mit veränderten Reprisen’ of 1760, where the altered reprises (varied repeats) form only one element in a generally progressive and experimental structure; and further in the two sets (*Fortsetzung* and *Zweyte Fortsetzung*) published as sequels to these sonatas in 1761 and 1763 respectively. These works prepare for the ‘Kenner und Liebhaber’ collections in various respects, including the use of connective devices between movements. The ‘Kenner und Liebhaber’ sonatas are rich in such connections. They convey Bach’s concern for the sonata as an integrated whole, evoking what was later to appear as the Beethovenian concept of the ‘sonata quasi una fantasia’. Close examination of the two main types – on the one hand, the improvisatory coda added to a movement that also acts as a prelude and transition to the following movement, and on the other hand the distinct central slow movement of tonally open character serving to link the two outer movements on either side of it – reveals the deployment, at these junctures in the sonatas, of *Versuch*-style fantasia modulations and modulatory strategies.

As an illustration of the transition appended after the formal close of a movement and preparing for the movement that follows, Example 4a gives the relevant portion of Sonata III of volume 2 in A major (H270). An ‘Eingang’-style flourish over an implied tonic 6/3 chord (the first inversion serving to countermand the authority of the tonic, undermining the root-position tonic chord implied in the closing cadential flourish of the preceding bar from which it takes its cue, bars 32–33) launches a move to C major, effected by elliptical means. Example 4b shows the hypothetical model, with the missing step filled in, while Examples 4c and 4d demonstrate the more ‘normal’ progressions that might have been expected. This passage fulfils several of the conditions set up in the *Versuch*, as outlined above. Its repercussions extend into the finale, and not only in the opening bars. These bars continue to make the transition to the finale’s own tonic key of A major via its minor; the key progression A: C: a: A, with its evident minor-major and third-related elements, can be





i [Allegretto]

Example 4 Sonata H270, first movement, bars 33–35 (*Clavier-Sonaten . . . für Kenner und Liebhaber*, volume 2 (Leipzig, 1780), Sonata III).

seen as possessing proto-romantic qualities. Clearly one *raison d'être* of the transitional passage here is to enhance what would otherwise be the tonally uneventful process from an A major first movement to an A major second (and in this case final) movement. But also, well beyond its opening bars, the finale refers to the tonal events and figurative content of the transitional passage, for example in the stretch of C major tonality at bars 29–30 and in the embellishing of the pre-cadential f# in the bass at bar 50 by an A major scale flourish.

The 'tonally open' slow movement is exemplified by Sonata III of volume 1 in B minor (H245) (see Example 5). The juxtaposition, at the close of its first movement and beginning of its second, slow movement, of B minor and G minor contains a sense of the hidden logic behind the remote choice of key which Bach promoted in his concept of the fantasia (see Examples 5a and 5b). There is an implied process of transformation here, rather than an abrupt shift: the final B in the bass of bar 42 of the Allegretto, taken together with the opening (and similarly unharmonized) d<sup>3</sup> and g<sup>2</sup> of bar 1 of the Andante, form a G major 6/3, replacing the B minor triad and creating a major-minor effect in relation to the alternative 6/3 formed by the two opening notes together with the first bass note of the Andante (b<sup>1</sup>–d<sup>2</sup>–g<sup>2</sup>). The tonally open-ended nature of the slow movement is underpinned by a crucial enharmonic reinterpretation (see Example 5c), whereby the e in bar 16, heard as leading note of the F major point of arrival from which the transitional ending is launched, is converted, after an exquisitely prolonged modulatory passage, to E# in bar 24 as the leading note of the dominant of the finale's key, B minor.

## CONCLUDING REMARKS

While fantasia, as has generally been acknowledged, lends freedom to the unfolding of melodic and rhythmic figuration, as well as to the metrical structure of Bach's keyboard sonatas, it is my contention that it also lends order in terms of the tightly knit modulatory progressions underpinning the fantasy interludes in the sonatas. As Kramer remarks in introducing his topic of the 'new' modulation of the 1770s:

Modulation, whether expressed in the explosive confrontation between alien tonal fields or in the barely perceptible negotiation between compatible ones, is the abstraction from which the dramaturgy of the Classical style draws its sustenance and vigor. . . . By the 1780s the very meaning of a piece depended so heavily upon the nature of the connectedness and non-connectedness of its tonal foci, and . . . event and substance had now so much to do with these kinds of relationships



i [Allegretto]      ii Andante

a

b

c

ii (cont.) outline (end)

Example 5 Sonata H245, first movement, bar 42; second movement, bars 1–2 and bars 16–25 (sketch) (*Sechs Clavier-Sonaten für Kenner und Liebhaber*, volume 1 (Leipzig, 1779), Sonata III).

and their repercussions within the piece, that the old definitions of modulation were no longer adequate.<sup>32</sup>

In C. P. E. Bach's sonatas, fantasia may be identified as one of the defining elements not only, often, of the surface style, but also, very precisely, in the underlying tonal processes. In this it gives its own special meaning to Bach's sonata form. While the connection with the fantasia might be sensed from study of the sonatas alone, when Bach's writings on the subject of fantasia are brought into the discussion, the impression formed by the music can be supported and strengthened by the evidence of the composer's own words.

<sup>32</sup> Kramer, 'The New Modulation of the 1770s', 551.