Intégral 31 (2017)
pp. 31–49

Corelli's Tonal Models: The Trio Sonata Op. 3, No. 1*

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Abstract. British thought is typically pragmatic, so a British reception of the work of Heinrich Schenker will concern itself with concrete procedure at the expense of hypothetical abstraction. This is especially important when dealing with the work of Arcangelo Corelli, whose work, along with that of others in the Franco-Italian tradition, holds the key to common-practice tonality. The approach of the British author is thus to construct a set of concrete linear-harmonic models derived from the foreground and middleground techniques of Schenker and to demonstrate their handling throughout the four movements of a representative trio sonata (Op. 3, No. 1). In this essentially "bottom-up" project, detailed discussion of structure readily merges into that of style and genre, including dance and fugue. The text is supported by many examples and includes a reprint of the trio sonata itself.

Keywords and phrases: Arcangelo Corelli, Heinrich Schenker, trio sonata, tonal models, fugue.

Introduction

There appears to have been no doubt in the minds of many of those who have written about the Baroque era that the music of Arcangelo Corelli bore an extraordinary significance, and one that extended far beyond his having made a remarkable contribution to the repertoire of solo, chamber, and concerted violin music. But, curiously, there has been rather less agreement about what precisely that significance constituted. Manfred Bukofzer (1947, 219) saw the "definitive realization of tonality" arising "in Italy about 1680," and, though recognizing that this realization could not be attributed to "a single composer or a single school," nevertheless suggested that it was Corelli who "was the first to put the tonal formulas to systematic use." Christopher Hogwood (1979, 41), on the other hand, cites two eighteenth-century sources to suggest that Corelli's achievement was one more of manner than of matter: according to Charles Burney, he says, "Corelli was not the inventor of his own favorite style, though it was greatly polished and perfected by him"; whilst according to Dom Antonio Eximeno, this polish led to a perfection in four pre-eminent areas: "the variety of beautiful and well worked out [fugal] subjects, the exact observance of the laws of harmony, the firmness of the basses, [and] the fitness for exercising the hands of the performer." Something of this, too, is echoed in the standard introduction to Corelli by Marc Pincherle (1954), who also stresses the unusual social circumstances that could allow so extended and scrupulous a preparation for publication of just six opus numbers over a period of thirty years.

* This article originally appeared as Wintle (1982). Both the author and the *Intégral* staff extend sincerest thanks to the original publishers for their permission to reprint this article. Special thanks also go to Kieren MacMillan for wonderfully typesetting the musical examples in both this article and "Corelli's Rhythmic Models."

In this paper I shall be pursuing the theoretic and analytic questions rather than the historical and social ones. But to do so is not to imply that analysts have achieved any more focused an evaluation of Corelli than historians. On the contrary, the field of the middle-to-late Italian Baroque is one untouched by the contemporary analytic movement. And this is a pity.[1] For whilst few analysts would wish nowadays to leave unchallenged Bukofzer's claim that it is in the theory of Rameau that the codification of Corelli's tonal practices finds its *locus classicus* (Bukofzer, 1947, 219–221), many might feel more inclined to look for their lead in the writings of Heinrich Schenker. For although Schenker's theoretic sources drew from the strict counterpoint of Fux and the figured bass of C. P. E. Bach, these two fundamental kinds of preliminary discipline were also central to the training of seventeenth-century musicians, as so many of the theoretical writings of that century testify.[2] But a recent publication by Larry Laskowski (1978) shows that Schenker—virtually silent in any case on the subject of seventeenth-century music—offered no comments on Italian music between the time of Palestrina's *Missa Papae Marcelli* and the keyboard works of Domenico Scarlatti. And the most recent catalogue of Schenkerian writings by David Beach (1979) reveals that in the forty-five years since Schenker's death, none of his followers has done anything to remedy this state of affairs.

It would, of course, be beyond the scope of a single paper to offer a comprehensive analytic study of Corelli's music, attractive though such a study would be in offering a vantage point from which to assess not only Corelli, but also the practice of his precursors and successors. Indeed, until this kind of work is accomplished, no detailed history of the evolution of musical thought in this period can profitably be undertaken. What I propose to discuss here are the terms of reference in which analysis of this music might be couched. Rather than compile a catalog of Corelli's procedures and leave the reader to move from the general to the particular instances of his music, I have chosen to demonstrate my premises in relation to a single work—the trio sonata Op. 3, No. 1,[3] and to follow this with a brief indication of how the issues raised here relate to the *oeuvre* as a whole.

The essence of my approach is to suggest that Corelli's *oeuvre* is founded upon a fairly limited number of musical figures, or *models*, which are capable of sustaining a considerable variety of modes of presentation. These modes can be simply decorative, or alternatively they can have a deeper function of transforming or prolonging these models. This approach in fact draws heavily upon the concepts and terminology developed by Schenker in his final theoretic work, *Der freie Satz* ([1935] 1979), though my concentration upon the workbench methods of the composer rather than the hierarchical and synthetic activity of the listener has led me to present these concepts with a slightly different emphasis (especially with regard to the *middleground* techniques), as well as to avoid his method of graphic representation. Schenker's theory, as has already been observed, was rooted chiefly in eighteenth-century theory: that every one of his most important concepts can be rediscovered through the Italian instrumental music of the late seventeenth century, whose dissemination played so vital a part in establishing the *lingua franca* of the late Baroque, points to the fundamental historical importance of this music.

My method of presentation might also invite comparison with the attempt of some eighteenth-century theorists to formulate a musical rhetoric.[4] It differs, however, in two respects. First, it is not founded on parallels between speech and music. These are eventually inhibiting, for all that they have a real, if intermittent bearing on some of the music of the time. Secondly, its models recognize the multi-levelled, transformational nature of music to the extent that a model need not even be recognizable on the surface of the music for its presence to be accredited.

1. Theoretic Preliminaries

My discussion of Op. 3, No. 1 is in effect limited to harmonic and contrapuntal considerations.[5] But this is not to deny the importance of the more general analytic issues traditionally associated with Corelli's music, and by way of introducing the trio sonata I should like to consider five of these.

1.1 The *da chiesa* and *da camera* Genres

Although Corelli's works group themselves within two genres, the *da chiesa* (as for example with the Opp. 1 and 3 trio sonatas) and the *da camera* (the Opp. 2 and 4), much

[1] N.b.: By "contemporary" the author is, of course, referring to the early 1980s.

[2] This is the tradition of such theorists as Angelo Berardi (1635[?]–1700[?]), as well as of the two Bolognese musicians Adriano Banchieri (1568–1634) and Lorenzo Penna (1613–1693). A later treatise on counterpoint by Giuseppo Ottavio Pitoni (1657–1743) includes examples by Corelli, and is referenced in Silbiger (1980, 59n51).

[3] This was first published by Giacomo Komarek (Rome, 1689). The full dedication is reprinted in Marx (1980, 128–129).

It is worth noting that, however much the designation may have been understood, the term *da chiesa* is not in fact used in this title.

[4] An introductory bibliography is offered in Apel (1969, 313).

[5] A score for Op. 3, No. 1 is provided at the end of the article. Rhythmic considerations are dealt with in a supplementary article, "Corelli's Rhythmic Models" (this volume, pp. 51–61).

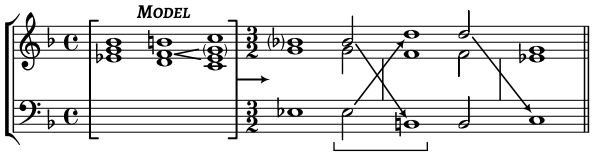
has been written to suggest that to a certain extent the distinctions had been eroded in Corelli's mind due to the mutual absorption by the genres of each other's characteristics. This is certainly the case here. The third movement of Op. 3, No. 1 (Vivace) is in effect a Corrente, and the fourth, fugal movement is like a Giga, at least in its triplets. But between the dance forms and the polyphonically derived ones there is an important distinction to be preserved. The dance forms impose proportions to which the models have to adapt—and in adapting have to develop special prolonging techniques—whereas in the older forms, the proportions derive more directly from the nature of the models themselves. I shall return to this point in due course, though for the time being a comparison between the first movement (Grave) and the third (Vivace) will show the very different kind of proportional arrangements involved:[6]

	Phrasing		Measures
Grave	$1\frac{1}{2} + 2\frac{1}{2}$		1–4
	4		5–8
	$4\frac{1}{2}$	($\frac{1}{2}$ bar overlap with previous unit)	8_3–12
	2	»	12_3–14_2
	$3\frac{1}{2}$	»	14–17_2
	3	»	17–19
Vivace (first part)	4 + 4		
	4 + 4		
	2 + 2 + 3 + 3		
	3 + 3		

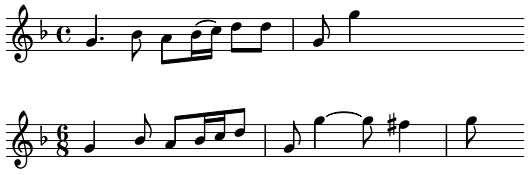
Whereas, furthermore, the tonal schemes of the polyphonically derived movements tend to the through-composed, the divisions of the dance movements can lead not only to mid-way closures on the dominant or relative major, but also (as here in the second, third, and fourth movements) to the more episodic kind of mid-way closure on the tonic.

1.2 The Textural Arrangements

Traditionally, Corelli's trio-sonata textures have been defined in terms of the polarization of two intertwining violins, moving predominantly in parallel thirds, which are set apart from their supporting bass line. The consequences of these features for tonal music are very great. The "intertwining" leads to the overlaying of inner voices upon upper ones (Schenker's *Übergreifen*), of which the characteristic "ascending suspension" (see the Grave mm. 8–10, and cf. Example 10*c*) is just one manifestation.



Example 1. Redistribution of a tonal model, creating "false relations."



Example 2. Arcangelo Corelli, Sonata da chiesa, Op. 1, No. 10 (1683): openings of movements 2 and 3.

The flexibility in Corelli's treatment of voicing depends upon timely octave transpositions, which can, in turn, on occasion lead to "affective" augmented and diminished intervals.[7] Example 1 shows that when a simple voice-leading model is registrally redistributed, with the voices crossing the parts, there arises both a diminished fourth in the bass and the false relations identified by Pincherle (1954, 62) between the Violin I's B♭ and the Violone's B♮. The parallel thirds, too, at the basis of so many Baroque and Classical "passages of thirds," play an important determining role in the models: when the models are varied, it is frequently the bass notes that are substituted, whilst the thirds are preserved.

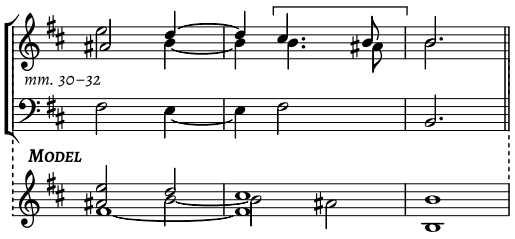
1.3 Transformation and Unity

Among many features whose ancestry stems back through the seventeenth century, and in some cases beyond, all writers have seized upon "thematic" transformations between the different movements of Corelli's sonatas. In this respect, the relationship between the second and third movements of Op. 1, No. 10 is sometimes cited (see Example 2). There is no doubt about some of these correspondences, although transformational procedures of this kind are used only occasionally. The quest, however, for these "thematic" correspondences reflects, to a certain extent, the obsessions of later eras, as does, in certain contexts, even the use of the term "theme." I shall show that comparisons based upon similarities of choice and deployment of the models can reveal much

[6] My notation here specifies beats as subscripts; thus m. 8_3 is the third beat of m. 8.

[7] See Saint-Lambert's observations on these intervals, quoted in Arnold (1965, 189).

more startling, and extensive, examples of recomposition in this music. Such is the case, for example, between the first and third movements of Op. 3, No. 1. Furthermore, the limited repertory of models cannot but ensure much more thorough-going unities of musical concern between the movements—unities that are not necessarily trivial because they are common to more than just one piece. From this point of view, the correspondence between, for example, the fugal theme of the fourth movement, and the bass line of the opening bar of the Grave is far from fortuitous or insignificant.



Example 3. Arcangelo Corelli, Sonata da camera a tre, Op. 2, No. 8 (1685), III.

1.4 Mode

Both within and between movements of his sonatas, Corelli exploits the relationships among relative keys. Less attention has been paid to the much less frequently used parallel-key relationships that color certain passages in a manner prophetic of important developments in the classical period. In the third movement of Op. 3, No. 1 (mm. 41–43), the modulation from D minor to F major is effected not through C major, but through C minor. The alteration of the E♮ to E♭ here (Schenker's *Mischung*) has already been adumbrated at m. 38 in the Phrygian close into D minor. The Phrygian close, of course, is in itself a kind of mixture of natural- and flat-second degrees.[8] (Cf. the Op. 4, No. 1 Allemanda, mm. 28–29 for another example of mixtures of thirds.)

1.5 The Traditions of Counterpoint

Corelli's use of chaconne and folia basses, fugal inversions, hemiola rhythms, and other devices has sometimes been cited as evidence of archaism in his music. Pincherle (1954, 61), quoting the note-against-note style of Op. 1, No. 10, third movement, also sees continued manifestations of the old-style polyphony (of the kind that formed the basis of Corelli's studies with Matteo Simonelli). Yet a full study of Corelli's music would have to examine much more thoroughly the relationship between the "strict" background of counterpoint, and its "free" application in the music. The basic issues here would have to include:

1. a survey of the expansion of permissible dissonance (in the use, for example, of diminished triads, and some $^{6}_{4}$s and diminished sevenths), both in the background models as well as in the surface elaboration of harmonies (as in Op. 3, No. 1, movement 2, m. 31, with the third-beat dissonance);
2. the adducing of further linear formulae in addition to those (passing note, neighbor note, suspension, and so forth) introduced in strict counterpoint: these would include pedal point (as in the last seven measures of the Vivace), *note échappée* (as in the Vivace, m. 22—the figure is consonantly supported in m. 23), anticipation (not a feature of this sonata, but see the close of the Vivace in Op. 3, No. 3), and appoggiatura (the graces to the Op. 5 violin sonatas offer a fruitful source for this formula);
3. the combination of linear formulae, which yield some of the most characteristic sounds in this music (just one example of this is the well-known cadential movement of parallel seconds where a delayed resolution in the lower voice occurs at the same moment as an anticipation in the upper one—see Example 3 from the Sarabanda of Op. 2, No. 8);
4. an assessment of parallel fifths and octaves, and their concealment in both the background models and their surface presentations (this touches, of course, upon the Colonna dispute).[9]

The deeply contrapuntal nature of the models, furthermore, presupposes a reconsideration of moment-to-moment harmony, where we shall see that some chords designated in the figured bass have much greater hierarchic status than others.

2. Analysis

In discussing the trio sonata, I shall examine first the Grave in some detail. Some of its procedures recur in the other movements, and, rather than repeat myself for the sake of completeness, I shall merely indicate the recurrences, and concentrate instead upon the new features. The movements are dealt with, not in the published order, but in order of complexity: Grave (I), Vivace (III), Allegro (IV), and Allegro (II).

[8] See Schenker ([1935] 1979, §102–105).

[9] Of many accounts of this, the one in Arnold (1965, 901–902) offers the most scholarly introduction.

2.1 Grave (I)

The formal arrangement here is defined exactly by the progression through its tonalities, as they are represented by the points of closure:

1. in F major (m. 4);
2. in C major (m. 8_3);
3. in D minor (m. 12_3);
4. in F major (m. 17).

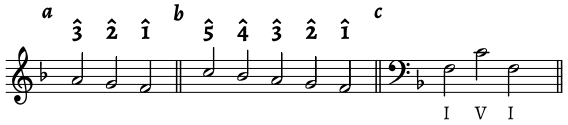
A coda in F major (mm. 17_3–19) closes the movement. These tonalities—the tonic, the dominant, and the relative minor—recur in each movement, and indeed (their selection being a commonplace in Corelli) they are the only ones to be used in the entire sonata, apart from the inflection already mentioned of C major by C minor in the Vivace.

For the sake of convenience, I shall look at the events within these sections under seven headings: Progressions, Connections, Modulatory Progressions, Neighbor-Note Prolongations, Synoptic Prolongations, The Ascents, and Registration. I shall refer in my discussion to Examples 4–10, which reproduce the essential content of the movement.

2.1.1 Progressions

Corelli's music is centrally, and directly, "about" cadential progressions, which Schenker ([1935] 1979, 9) described as "the primary means of coherence" in the structure of a tonal work. There are two counterpointing elements in a progression, the upper and lower voices. In Corelli's music, where there are two fundamental kinds of progressions, the top part may descend from either $\hat{3}$ or $\hat{5}$ down by step to $\hat{1}$ (see Example 4*a* and *b*). Set against either progression is essentially the same bass part, presented at this stage with a fixed contour: the tonic *ascending* to the dominant, which then *falls* back again to the tonic. (See Example 4*c*; all this, of course, reproduces the substance of Schenker's *Ursatz*.)[10] To effect a full cadence, or closure, $\hat{2}$ is always supported by the dominant before both voices proceed to the tonic. But there is a variety of ways in which the bass may fill out its initial ascent from its $\hat{1}$ to its $\hat{5}$: entirely by step, by two leaps ($\hat{1}$–$\hat{3}$–$\hat{5}$), or by a mixture of leap and step(s) (e.g., $\hat{1}$–$\hat{4}$–$\hat{5}$). The consequent potential disparity that arises between the number of essential pitches in the upper voice (whether three or five) and those in the bass (up to six) demands careful rhythmic treatment on the surface of the music if the rate at which the line unfolds is to be controlled.

These points are demonstrated in Example 5, where the line descends from $\hat{3}$ to $\hat{1}$. Stage *a* shows the model in its simplest form (models are presented in three or four parts as contexts demand); stage *b* shows the bass moving to $\hat{4}$ before proceeding to $\hat{5}$, a familiar move in Corelli as in so many other composers. The $\hat{4}$ necessarily supports $\hat{2}$ in the line, and gives rise to an ambiguity represented by the $\frac{6}{5}$ figuring. On one hand, the contrapuntal origins of the bass B♭ set against the linear G suggest harmonically a first inversion of II. This is reinforced by those contexts (cf. movement four, m. 27) where the B♭ is chromatically raised to B♮ to add local stress to C, and in the process invoke the II–V–I progression. On the other hand, the presence within the $\frac{6}{5}$ of all the pitches of the IV triad, and the continuation of the IV to V and I yielding all the pitches of the diatonic collection within the three harmonies, reinforces the sense of a special significance for the IV step that is lost if the IV is substituted by root-position II in the same context. Stage *c* shows a fully composed version of the model (cf. m. 4), with decorations derived according to the expanded rules of strict counterpoint.



Example 4. Elements of the tonal models in the upper and lower voices.

Examples 6–10 show how much of the variety of the movement arises from the different ways in which the progressions, descending from $\hat{5}$ to $\hat{1}$, are counterpointed in the bass voice. Of the three descents to the closure in F, Example 8*a* (to leap ahead) shows the shared underlying strategy most clearly: the $\hat{1}$–$\hat{4}$ move in the bass is taken immediately to create a 9–8 suspension with $\hat{5}$; the dominant is set against the suspended $\hat{4}$; and the resolution of $\hat{4}$ to $\hat{3}$ is supported in the inner part by the kind of weak-beat $\frac{6}{4}$ familiar from cadential formulae in Renaissance polyphony:[11]

$\hat{5}$	$\hat{6}$	$\hat{5}$	–
$\hat{3}$	$\hat{4}$	$\hat{4}$	$\hat{3}$
($\hat{1}$	–	–	–)

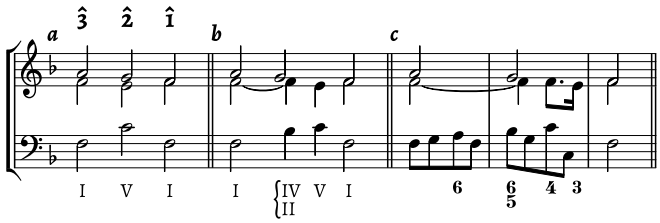
In Examples 6*a* and 7*a* the bracketed pitches, which form a double-neighbor-note pattern around the dominant C, show this $\frac{6}{4}$ consonantly supported by the D. This D necessarily moves to the B♭ to avoid the parallel fifths which would arise if it moved straight back to C.

Examples 6*a* and 7*a* show *divided forms* of the progression,[12] where after V has been reached, the progression is reiterated to culminate in a full closure. These relate to

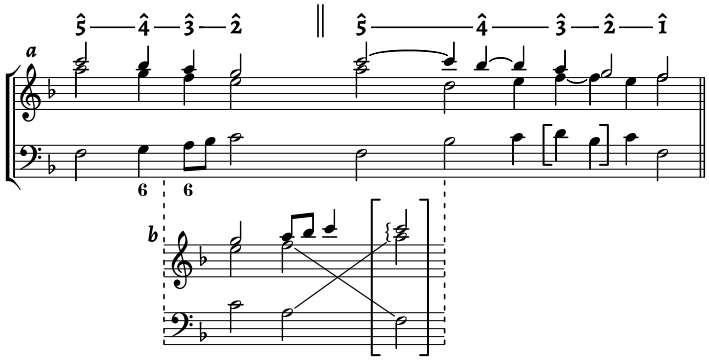
[10] Schenker ([1935] 1979, Chapters 2 and 3).

[11] Schenker ([1935] 1979, Example 78).

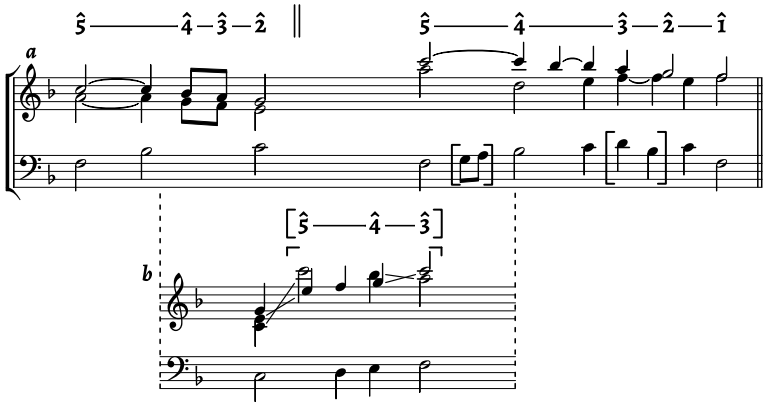
[12] Ibid., §87–99.



Example 5. Elaboration of the 3̂-to-1̂ tonal model.



Example 6. Expansion of the 5̂-to-1̂ tonal model into a divided form; cf. Arcangelo Corelli, Sonata [da chiesa] a tre, Op. 3, No. 1 (1689), I, mm. 1–4.



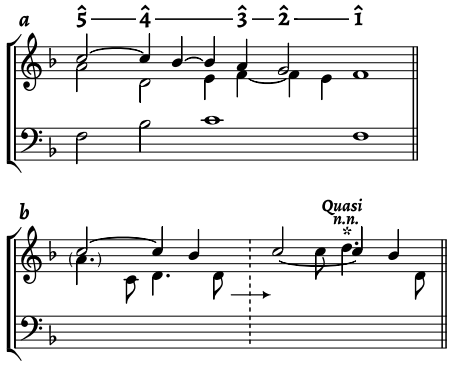
Example 7. Alternative expansion of the 5̂-to-1̂ tonal model into a divided form; cf. Corelli, Op. 3, No. 1, I, mm. 13–17.

mm. 1–4 and 13–17 respectively. This is just one case where the parallelism between the two passages is more evident at the level of the model than on the surface of the music. Whereas in Example 6*a*, the bass B♭ is treated as a passing note, in Example 7*a*, the leap to B♭ counterpoints a double suspension in the two upper voices (in the music, the suspended C is consonantly decorated by a D♮—a point that will be discussed later).

(On the other hand, Examples 9*a* and 10*b* will show that the 4̂ in the bass is taken only to support 2̂, as in Example 5 discussed earlier. This means that in the background 4̂ acts as a passing note between the consonantly supported 5̂ and 3̂. Example 9*b* shows this 4̂ consonantly supported in a very familiar Corellian manner: the initial II support converts into V^7. Example 10*c* will be discussed later.)

2.1.2 Connections

In the divided forms of Examples 6*a* and 7*a*, a caesura is indicated between V and the resumption of the line with I. Examples 6*b* and 7*b* show how Corelli composes over these caesuras to effect *connections*. In Example 6*b*, the filling-out from the G to the C is shown to be in effect a



Example 8. (a) Renaissance origin of the handling of the 5̂-to-Î descent; (b) Synthetic neighbor note achieved by the overlaying of an inner voice; cf. Corelli, Op. 3, No. 1, I, m. 17.

movement from the inner-voice A to the upper-voice C, with the F and A of the I triad voice exchanged in the lower two parts.[13]

Example 7*b* is characteristically resourceful. Here, the connection is essentially harmonic, as the V chord becomes the V^7 to the resumed I. What is in fact an inner-voice C is placed at the top of the texture, and its fall through the seventh B♭ to the A of the I triad motivically foreshadows the first part (5̂–4̂–3̂) of the ensuing progression. This foreshadowing is underlined by the shared syncopated articulation of both descents in the score.

2.1.3 Modulatory Progressions

There are two kinds of progressions: those described in Examples 6–8 which open and close in the same tonality, and those described in Examples 9 and 10 which modulate.

Viewed with historical hindsight, there is nothing unusual in Corelli's approach to modulation. In his music there occur: full modulations reinforced eventually by closure of the line; passing modulations which move on to other tonalities before closure is reached; and very local modulations, often comprising no more than an applied dominant to a particular triad, which operate within the framework of another overriding tonality. Since all modulations must be perceived within the context of one predominant tonality, these different kinds of modulations differ only in degree of emphasis. As also with other composers, Corelli effects the larger modulations through one or more pivotal harmonies. These harmonies are common both to the tonality being quitted, as well as to the one that is being approached. For this reason, modulation can sometimes most helpfully be represented as the coalescing of two models, the first of which is necessarily incomplete.

In Example 9*b*, the first two (or three) harmonies belong to the previous tonality of F major. This merges into the progression of Example 9*a* principally through the shared C-major triad, though in retrospect we shall see, in discussing the *synoptic prolongations*, that it is important also to interpret the initial A of Example 9*b* as a neighbor note to 5̂ within the local tonic of C major.

A similar situation arises in Example 10, where the model (Example 10*a*) opens in F major, but where 3̂ becomes the fifth of a progression in D minor. The elaborated model of Example 10*c* shows how the $\frac{6}{5}$s in Example 10*b* can offset the effect of the diminished triads that form the essential harmony beneath the upper-voice B♭, and the second of the upper-voice Gs.

2.1.4 Neighbor-Note Prolongations

The incorporation within the models of a neighbor note to the first note of a falling progression within the upper voice is one of Corelli's most important ways of prolonging the models.[14] The neighbor note is accorded the same durational status in the rate at which the line unfolds as the notes of the progressions themselves. This may be seen in Example 10*a*, where 3̂ is prolonged by B♭. As we have already seen in the previous section, this B♭ is essentially supported by a diminished triad, a familiar support for this neighbor note in Corelli's music.

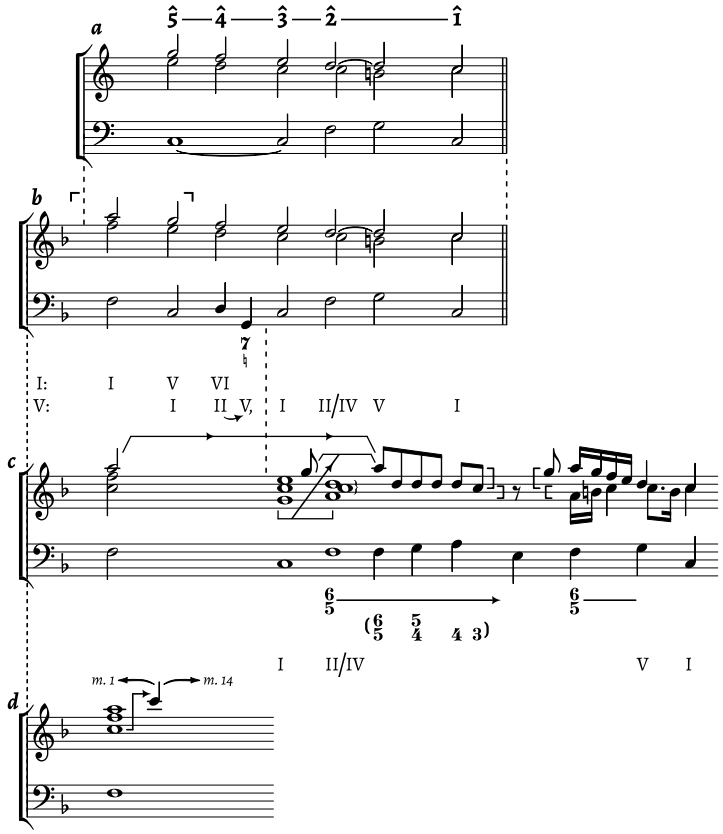
There are also in this movement two examples of "synthetic" neighbor-note prolongations, where the bass support shows that, although the effect of a neighbor note to 5̂ is achieved, the neighbor note is not absorbed into the progression. In m. 17 (Example 8*b*), the inner-voice succession C–D is transposed up the octave to overlay the C of the progression. However, it does not return to C to continue with the descending progression, but is restored to the lower register, as the initial C in the second violin moves on to B♭. (The second-violin D of m. 13, although embellishing the suspended C, also suggests the neighbor-note relationship.)

2.1.5 Synoptic Prolongations

Examples 9*c* and 10*d* show one of Corelli's most characteristic—and influential—procedures, the cadential decoration that has a retrospective function. This can be seen most clearly in Example 10*d*. As 3̂ moves to 2̂, the supporting inner-voice movement A to B♭ is transposed up an octave, overlaying the upper voice. The B♭ then falls back to 2̂ (E; note the resulting tritone). The function of this overlaying is invariably to recall an earlier point in the

[13] Schenker ([1935] 1979, §236–237).

[14] Schenker ([1935] 1979, §106–110).



Example 9. Modulatory progression from I to V; cf. Corelli, Op. 3, No. 1, I, mm. 5–8.

progression—usually the starting point—and thus forms a *synopsis* of its course. In Example 10*d*, the line began in F major, with $\hat{3}$ prolonged by the neighbor-note B♭, the highest point in the line. The synopsis reinterprets these two pitches in D minor.

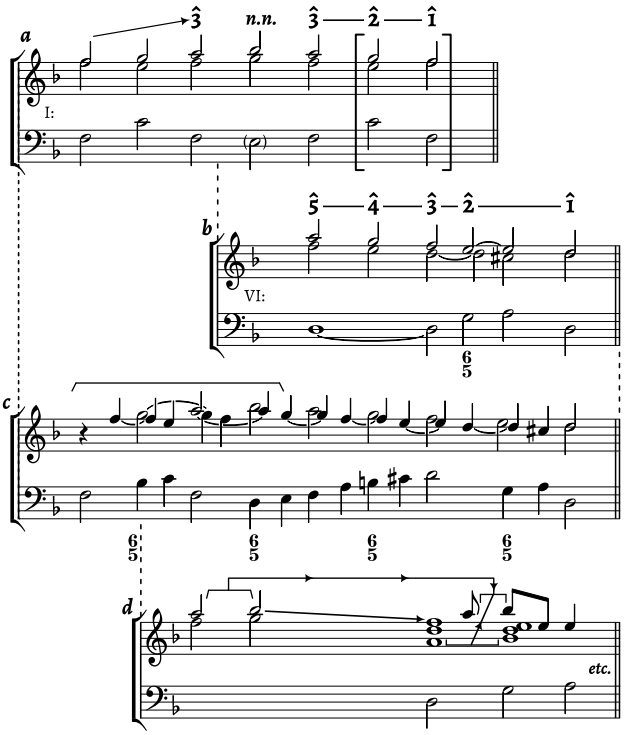
In this case, the synopsis does not affect the rate at which the coalesced models of Example 10*a* and *b* unfold (a half note for each entity). This is not the case, however, in Example 9*c*, where the synopsis is prolonged, thus causing a disruption in the rate of unfolding of the models (also a half-note rate). The example shows that the synopsis is stated twice, with the falling fifth A to D composed out by step on the second occasion (suggesting perhaps a derivation from the *passaggi* with which Renaissance singers decorated their polyphonic lines). Indeed, the composing-out of the intervals of the $\frac{6}{5}$ chord is the principal means of creating the prolongation. In the bass, the interval F to A is filled out (with the figures $\frac{5}{4}$ and $\frac{4}{3}$ denoting chords of a hierarchically lesser significance than the initial $\frac{6}{5}$ which is under prolongation); the upper part connects the two upper voices with its fall from D to C (m. 7); and in the second statement of the synopsis the inner part fills out the pitches A to C (m. 8).

2.1.6 The Ascent

Corelli does not always adopt the first tone of a progression at once, but can lead up to it in one of two ways: either by step or by arpeggic movement. The stepwise approach (Schenker's *Anstieg*)[15] is used more often, though examples of the arpeggic movement may be seen in the second movement, mm. 29–30, where the pitches F–A–C are articulated as high points in the uppermost register.

Example 10*a* offers the only instance of the ascent in the Grave, with the arrow indicating a climb from $\hat{1}$ to $\hat{3}$, with a simple I–V–I support. Example 10*c* shows the elaboration of this, already cited as an example of Schenker's *Übergreifen*. The intertwining violins create the illusion of an ascending chain of suspensions that matches the ensuing descending one. The $\frac{6}{5}$s that, in supporting these suspensions, elaborate the I–V–I progression, also look forward to the later $\frac{6}{5}$s in the passage, and above all, to the cadential $\frac{6}{5}$s contained in the model of Example 10*b*.

[15] Schenker ([1935] 1979, §120–124).



Example 10. Modulatory progression from I to vi; cf. Corelli, Op. 3, No. 1, I, mm. 8–12.

2.1.7 Registration

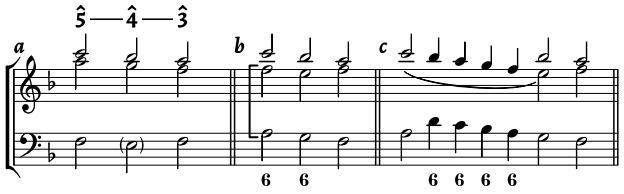
A feature of many Corelli sonatas—and one pursued to a greater extent and with greater rigor by later Baroque composers—lies in the unfolding of musical materials at two octave levels, of which one is primary and the other secondary (cf. Schenker's *obligate Lage*).[16] Here the primary register is the upper one used at the outset, mm. 1–4. (So modest were the registral confines within which Corelli worked that the Grave is only one note—the uppermost D—short of using his complete string compass.) This is also the level at which the main closure of the line occurs towards the end of the piece (m. 17). In mm. 5–8, the lower register is opened up. A continuity with the previous section, which arises from the overlap of the first three notes of mm. 5–6 (A–G–F) with the last three of mm. 3–4, is reinforced in the second violin (m. 5, and see Example 9*d*), where the inner-voice C overlays the A of the upper voice. This has two functions: to recall the highpoint of mm. 1–2; and to prepare for the retrieval of the C at m. 14.

There is a further elegance in the retrieval of the C at m. 14. The return to F major, and the opening model at m. 13, does not at once invoke transposition back to the upper register. Rather, it forms the half close at the lower register (m. 14) first—indeed, the D of the second violin at m. 13 may, in addition to its other functions, be heard to refer back to the D of the closure in m. 12. But this lower register also achieves its own, subsidiary closure at mm. 17–19, demonstrating the kind of function that coda sections were to have increasingly during the eighteenth century.

2.2 Vivace (III)

Since the essential concerns and continuity of Corelli's music lie with the models, it is not hard to demonstrate just how many of the procedures of the first movement are being re-examined here. The first eight measures, by comparison with the first five of the Grave, show essentially the same progression, with essentially the same bass supports, comparably divided. The continuation in m. 9, with the structural A in the first violin, is comparably overlaid by the C in the second violin; and although the modulatory progression to C major employs a divided form (with the caesura at m. 12), the first violin thereafter also effects a synoptic ascent, this time to a high C (see the G–A–B–C at mm. 12–14). This synopsis overlays the pitches of the upper voice of the progression (G–A–G in the second violin), although it is the first violin, having taken over the progression with the F, that leads it to its closure on C (mm. 15–16). Similarly, in the second half, the return from C major to F major is also achieved with an "ascending chain of sus-

[16] Schenker ([1935] 1979, §268–270).



Example 11. Descent with unfolding into the inner voice; cf. Corelli, Op. 3, No. 1, III, mm. 21–26.

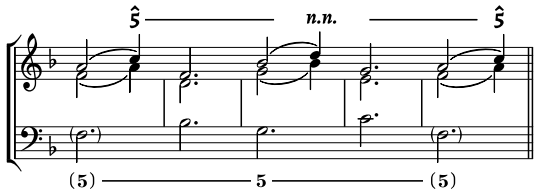
pensions" (cf. m. 43ff., with the Grave, m. 8ff.); the progression descending from the resumed high C is also divided (mm. 47–49); as in m. 5, after the division, connections ascend from the inner to the upper voice to take a fresh highpoint (in this case using a 5–6 harmonic succession between mm. 49–53); and there is a consciousness of the large-scale linking function of the high-point C. From m. 47 it leads down to the fourth degree (B♭) at m. 53 (where it is at once recalled by an embellishing note) and then onto the closure at m. 55. In the coda it is restored at mm. 55 and 57 to be closed once again in mm. 59–61 (the C in mm. 55 and 57 is transposed up the octave from an inner voice [C–D–E–F, moving in thirds with the bass]; the figuring of the bass suggests an implied upper voice here moving through a third from the C to B♭ and to A—an implication revealed only in the last two measures). Furthermore, although in the measures after m. 32 the modulation to D minor is achieved through two incomplete progressions ending on the half close (V), a large-scale continuity is still perceived between the C of m. 32 and the B♭ of m. 36.

But there are new features here too: the layout of the tonal scheme

Part 1:	F major—C major—F major
Part 2:	F major—(via C major)—D minor— (via C minor)—C major—F major;

the arpeggically intertwining violin figuration; the broken textures (m. 16ff.); the restriction of the progressions to the upper register, leading to codas that are more simply reiterative (with the Corellian "echo" at m. 27); and the hemiola patterns. But the most important feature is the technique developed to accommodate the demands of the dance-derived patterns to the models: prolongation through the *unfolding* of triads.

Schenker describes unfolding (*Ausfaltung*) as the process of moving from an upper voice into an inner voice and back again.[17] The principle can be seen most clearly in mm. 1–2, where it essentially prolongs a single tonic chord. The C and A in the violins move into the inner-voice A and F, as the cello moves from F up to A. All three parts then move back to their original positions at the end of m. 2. Example 11 shows a more extended use of unfolding. The basic model (*a*) shows the first part of the progression (cf. mm. 21–24) leading from 5̂ to 3̂, with 4̂ supported by a diminished triad (which it is the function of the surface of the music to obscure). In Example 11*b*, the F and the A of the first chord are exchanged. In (*c*), the interval of a fifth between the two upper voices is filled out, supported by a succession of $^{6}_{3}$s in the two lower voices. The first part of this progression is shown in Example 12. Before descending, 5̂ is prolonged by a neighbor note. But each of the three upper-voice notes is approached from one inner voice (A to C in the first case) and in turn leaps to another (in the same case F). The inner voice is then independently supported by a change of harmony (for example, by IV underneath the F).



Example 12. Enrichment of the upper voice with unfolding from the inner voice; cf. Corelli, Op. 3, No. 1, III, mm. 17–21.

2.3 Allegro (IV)

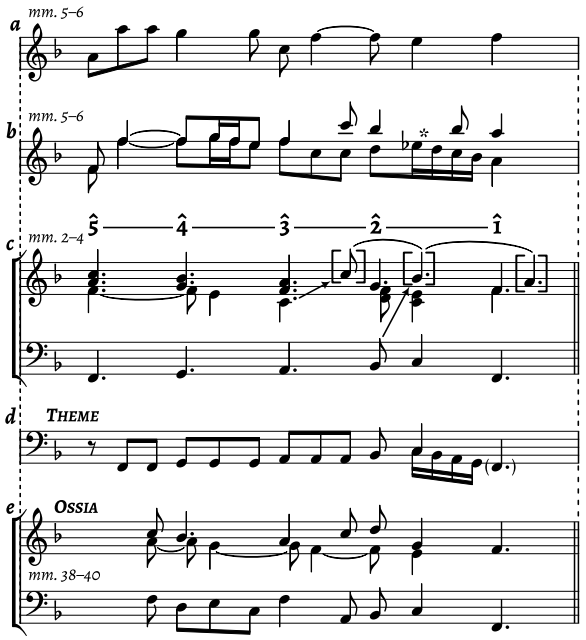
Seen from a thematic perspective, the fugal movements of Italian Baroque music are often considered to be less to the point, less consistently sustained, than their counterparts in German Baroque music. Although there is truth in the observation, censure of the Italian works rests on the assumption that these movements are primarily "about" themes and their motives. This, however, is not an assumption that may necessarily be upheld in the face of Corelli's music. On the contrary, the thematicism here is essentially decorative. The fugal themes are designed to examine selected aspects of the fundamental models that make up his musical rhetoric. To describe the themes is necessarily to invoke the models, and, indeed,

[17] Schenker ([1935] 1979, §140–144).

a fugal theme may be related to (or "discovered in") more than one of these.

All this may be seen clearly in this Allegro. The fugal theme derives from a *progression*, and is re-examined in the contexts of *synoptic prolongation*, *connection*, and *ascent*. The various re-examinations of the theme are made possible by the traditional "modal" adjustments to it, whereby the opening span of a fifth (F up to C) is complemented by a span of a fourth (C up to F; cf. mm. 11–12). Importantly for the discussion of the models, this "answering" form does not emerge at the outset of the movement, where all three entries begin with the same degree, nor does its shorter span involve any special thematic manipulation: its length is not preserved, but is simply reduced by three eighth notes.

In analyzing this movement, I shall discuss the fugal theme under four headings, reflecting the four contexts, previously mentioned, in which it is examined, and conclude with a consideration of some new registral features to which its treatment gives rise.



Example 13. Derivation of the fugal theme; cf. Corelli, Op. 3, No. 1, IV, mm. 2–4, 5–6, and 38–40.

2.3.1 Progressions

Example 13 shows the derivation of the fugal theme (*d*) from a progression that descends from 5̂ to 1̂. This derivation is shown by Corelli himself at the main closure of the final section of the movement, decorated in the first violin by a synopsis (mm. 36–38): it is not revealed earlier. It is essentially the same progression used in mm. 1–2 of the Grave, although the bass B♭ is no longer a passing note, but rather supports the upper-voice G with a $\frac{6}{5}$. That the bass line—and hence, in this case, the fugal theme—is, in its design, subordinate to the fundamentally determining descent of the upper voice is shown in the coda (mm. 38–40; see Example 13*e*), which echoes only the upper two voices of the progression, substituting an alternative bass (cf. the model in Example 9*a*) for the fugal theme.

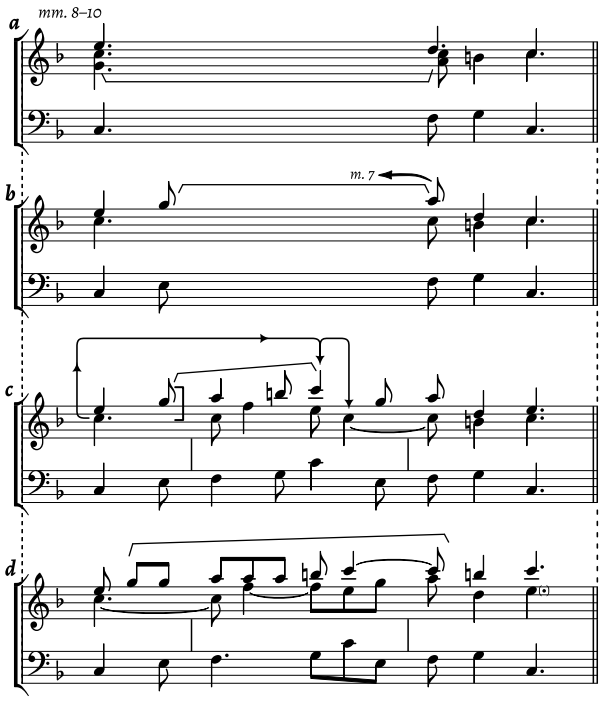
Example 13*c* introduces a technique central to the fugal movements. Whereas, in "non-thematic" movements, closure of the line is represented by the convergence of the two upper voices upon the tonic, the desire in "thematic" ones for a relatively seamless flow leads to the overlaying of the final tonic by an inner-voice third (a feature also of many of Corelli's final chords). In this case, the final third is approached by an overlaid descent (C–B♭–A, bracketed in the example). This overlaid third, moreover, obviates here the need for a connection to a subsequent progression, and allows for the overlapping of models (m. 7 here conflates mm. 4_3–5 of the Grave).

Three "countersubjects" to the fugal theme are shown in Example 13*a* and 13*b*, each deriving from the inner or overlaid voices of the model (the notes of the upper voice, C–B♭–A–G–F are conspicuous by their absence). The E♭ of m. 4 would seem not to indicate any harmonic emphasis towards the subdominant, but is rather introduced to ease the exposed tritone in the succession of thirds, D–B♭ and C–E, where the E that conflicts with the B♭ does not ascend to the F.

2.3.2 Synoptic Prolongations

The closure in C at m. 10 not only includes the third in the harmony, but sees the inner-voice movement (B–C) placed in the upper register. It has arrived there by an intricate exploration of the idea of synoptic prolongation, in the course of which one of the versions of the fugal theme is arrived at (see mm. 8–9, first violin).

Example 14 shows how this works: level *a* is the final part of a progression leading to C major, presented as a four-part model, with G–A in an inner voice. In *b*, the G and A overlay the upper voice to create a synopsis in the normal way. In *c*, the inner-voice C is also overlaid, and the interval between the two overlaid pitches (G and C) is filled out. A bass part is generated to support this filling out. At this level, the upper-most C drops back into the lower register, leaving the upper part with the synopsis G–A falling to 2̂ (D). In Example 14*d*, the inner-voice C is simply retained in the upper register, and the rhythmic arrangement is altered so that the ascent G–C may be articulated in the same way as the fugal theme. (In m. 11 the C is still retained as an overlaid inner voice, concealing the ascent with *Übergreifen*.)



Example 14. Derivation of the fugal theme from synoptic prolongation; cf. Corelli, Op. 3, No. 1, IV, mm. 8–10.

2.3.3 Connections

There are two occasions in the movement when the connection introduces a statement of the fugal theme: at mm. 10–11, and at mm. 30–31. The means of achieving this are shown in Example 15. The model is shown at *a*, as presented in the first movement; at *b*, the upper and lower parts are exchanged; and at *c* the rhythm is reorganized to accommodate the fugal theme.

2.3.4 The Ascent

The fugal theme is stated twice during the course of ascents. In Example 16 (cf. mm. 31–32), the addition of a 5–6 move over the bass $\hat{4}$ to the model described in Example 10*a* allows the filling-out of an inner voice from C to F, which can then be articulated in the manner of the fugal theme.

The case described in Example 17 (cf. mm. 17–22) is one of the most intricate manipulations of a model in the entire sonata. Corelli is seeking to draw a parallel between the first three notes of an ascent (F–G–A), and the first three notes of the fugal theme: this is denoted at *a* by brackets (note that, in the bass, the G and A at this stage are passing notes). At *b* is shown that there are essentially three statements of the ascent here. In the third, each of the first three bass notes is accorded a full dotted quarter in order to articulate the fugal theme. This delays the beginning of the ascent in the upper register, the first note (F) of which is now supported by the bass A. This F, therefore, is prefaced by an ascent through the octave, beginning with the lower F, moving by step to the C and then leaping to the upper F. The ascent, of course, from the F to the C not only reproduces F–G–A at the lower level, but anticipates, and overlaps, the fugal theme in the bass, and is articulated comparably. At *c*, the three ascents are shown to overlap, and a single bass line replaces (but largely derives from) the two separate cadential motions supporting the first two ascents in the previous level. The abrupt registral shift between the second and third statements, furthermore, is avoided by transposing the opening three pitches (F–E–F) of the inner voice of the third statement into the higher register.

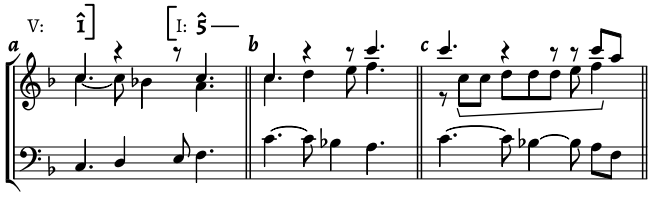
2.3.5 Registration

We have seen that the fugal theme derives from the bass of a model, and yet its statements—as at the opening—are by no means confined to that register. Clearly, when it is presented in, for example, the upper register, it has to match, and integrate with, the progressions and their prolongations, whose registration is relatively conventional. This means that in all fugal movements there must be compromises of one kind or another, whenever the fugal theme is not exactly stated in its "source" register. This is a very large issue, and one at the heart of the difficulty that Schenkerian analysts have had in treating fugal movements, though not one that can be elaborated here.

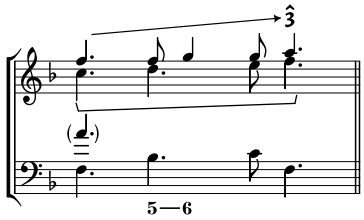
In this instance, it is worth making four observations:

1. the ascent in the fugal theme from a bass I to a bass V may, reinterpreted as an upper-voice move, be seen as an ascent to $\hat{5}$;
2. it is this $\hat{5}$ that is taken in the last main progression of the piece to a full closure in F major, at this registral level;
3. $\hat{5}$ nevertheless forms part of a larger arpeggiation spanning the first five measures of the piece: F (m. 1)—C (m. 2)—A (m. 5)—the kind of arpeggiation familiar from later Baroque music;
4. through this arpeggiation, the principal lower register is coupled to the subsidiary higher one, and play between these registers becomes a feature of the movement. The pitches, for example, of the opening arpeggiation are retraced from mm. 33–38, accounting for the way the final fifth progression from C to F (mm. 36–38) is prefaced by a preliminary descent from A to C (this technique was described by Schenker as the *coupling* of registers).[18]

[18] Schenker ([1935] 1979, §152–154).



Example 15. Derivation of the fugal theme from connection; cf. Corelli, Op. 3, No. 1, IV, mm. 10–11.



Example 16. Preliminary to derivation of the fugal theme from inner-voice ascent; cf. Corelli, Op. 3, No. 1, IV, mm. 31–32.

2.4 Allegro (II)

The hierarchic distinctions drawn by the two levels of closure also play a determining role in the form of this second movement. For whereas the tonal scheme of the fourth movement followed essentially that of the third, there is a new plan here:

Part 1: F major—C major—D minor—F major
Part 2: F major— —D minor—F major.

This means, in effect, that the second part makes no further contribution to the tonal argument, but rather represents a compressed variation (albeit one whose more elaborate figuration demands—unusually—four real parts at mm. 30–31) of the first part. However, at m. 20, the full closure into F major takes place in the upper, subsidiary register, with only a coda in the lower register; at mm. 36–37, the full closure in the lower, principal register is prefaced by a progression from the high A at m. 32, in exactly the way that occurs in the fourth movement (m. 33ff.).

So familiar are so many of the procedures of this movement, that it is perhaps necessary to indicate only two features of special interest: the derivation of the fugal theme, and the progressions.

2.4.1 The Fugal Theme

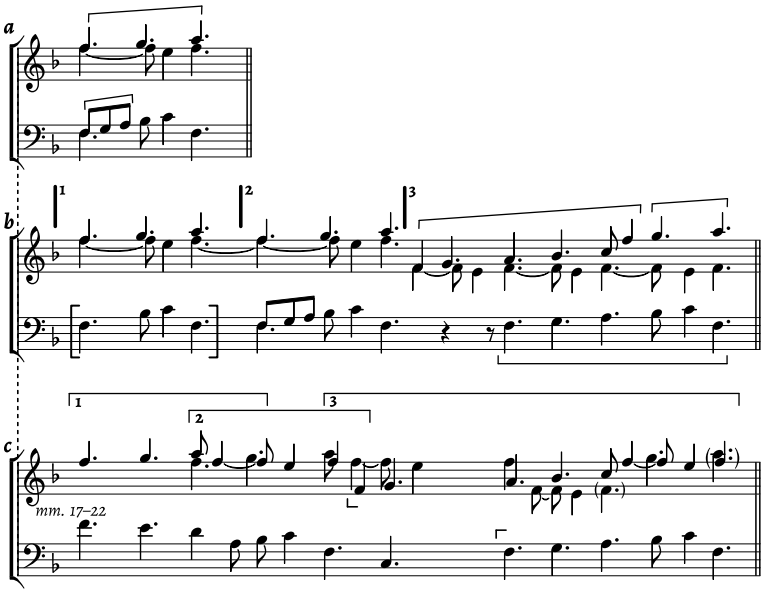
The derivation of the fugal theme from its model shown in Example 18 is more complex than in the fourth movement (cf. Examples 6 and 7, drawn from the Grave). The fundamental model shown at *a* is the divided progression. This is contracted at *b* (see bracket) to avoid a return to the tonic in the bass (this is substituted by a 5–6 move over V in the bass). The fugal theme, shown at *c*, follows the bass of the model except in its last four notes, which it derives from the inner voice, although the ossia at *d* remains with the bass throughout. Following earlier discussions, there is no problem in deriving the "countersubjects" from the contracted model at *b*, with overlaid inner voices. The introduction, at "x" in *b*, of the anticipatory A and F make possible the leap form C to F in the fugal theme, which in turn makes possible the stretto entries of mm. 1–4.

2.4.2 Progressions

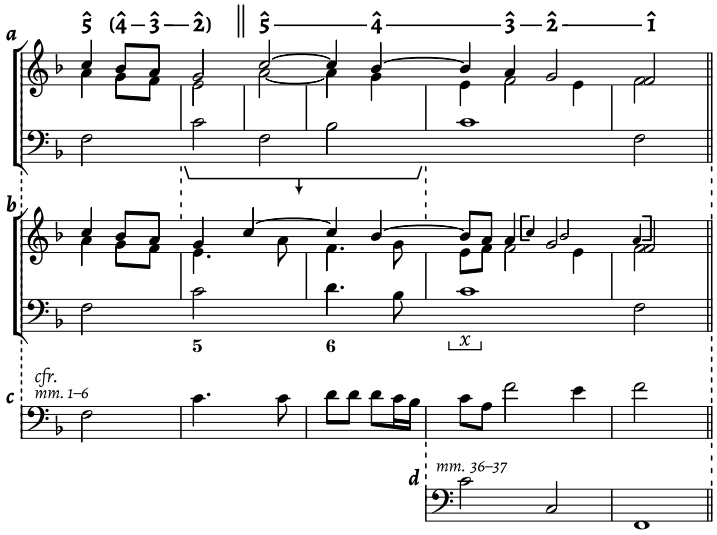
In view of everything that has been said hitherto, there should be no surprise at the fairly radical alteration and limitation upon extent undergone by the modally adjusted form of the fugal theme at mm. 10–12: for the theme is used to articulate the beginning of a progression, in which the initial A and F are prolonged by the neighbor-notes B♭ and G. The descent itself, however, does represent a new case.

Example 19*a* shows the following passage of thirds in the upper two voices, as part of a modulatory progression leading from I to VI (mm. 10–15). In *b*, the upper voice from the B♭ onwards is taken into the bass part, and articulated so as to create a chain of 7–6 suspensions. The inner part is added in *c*. Here, the bass is elaborated in such a way as to support the notes of resolution in the upper voice consonantly, as tenths, creating at the same time weak-beat sevenths with the inner part. Apart from creating sevenths on every beat, the effect of this is often described as the "circle of fifths." Such a description, however, should never overlook the derivation of this "circle" from the stepwise movement of a progression.

Descending stepwise movement is again a feature of the bass part in mm. 26–27 (and, in fact, beyond). Example 20 shows how, in this progression that modulates from I to VI, parallel fifths are avoided in two ways: by creating a $\frac{4}{2}$, the bass suspension deflects attention from the parallelism; and by adding a 5–6 movement in the upper voice, an intervening consonance is added. Since this is essentially the identical progression as that used in the passage from the trio sonata Op. 2, No. 3, second movement that formed the center of the Colonna dispute, it is hard to un-



Example 17. Generation of the fugal theme from two ascents; cf. Corelli, Op. 3, No. 1, IV, mm. 17–22.



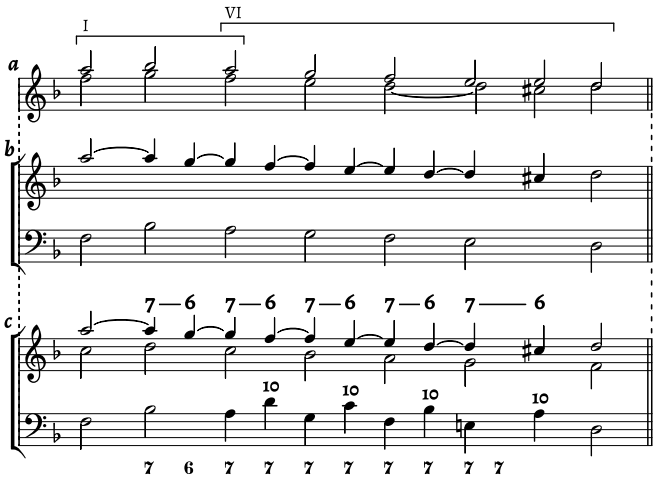
Example 18. Derivation of the fugal theme; cf. Corelli, Op. 3, No. 1, II, mm. 1–6 and 36–37.

derstand why Corelli did not invoke a comparable figuring in his own defense.

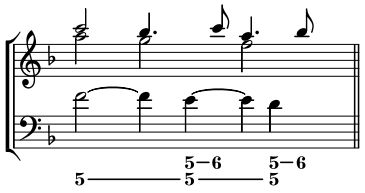
Conclusion

This paper has presented the simplest elements of Corelli's musical language in the form of a number of concrete *models*, all of which relate back to the cadential progression. It has also demonstrated that it is the elaboration of these models that provides the stuff of Corelli's music. Form has been considered not merely as the outward shape that answers to the demands of these models, but also, in the dance movements particularly, as a compromise between these demands and those *a priori* characteristics that determine genre. These characteristics related especially to the surface configurations of rhythm. To suggest this compromise, it should be added, is to depart significantly from the precedent of Heinrich Schenker.

In a later paper I hope to include a number of advanced models not described here; to discuss particularly Corelli's use of the minor mode; to consider the solo lines in the Op. 5 violin sonatas; and to engage in a number of



Example 19. Origin of the "circle of fifths" in bass progression; cf. Corelli, Op. 3, No. 1, II, mm. 10–15.



Example 20. Avoidance of parallel fifths; cf. Corelli, Op. 3, No. 1, II, mm. 26–27.

further issues concerning form. In this way a first base for the analysis of Corelli's music will have been established—a base that might well prove suggestive for the analysis of the music of so many of the later Baroque composers. It may also contribute to any future aesthetic discussions as to what it is that makes this body of string music so strikingly elegant, so apparently effortless, and—above all—so extraordinarily enduring.

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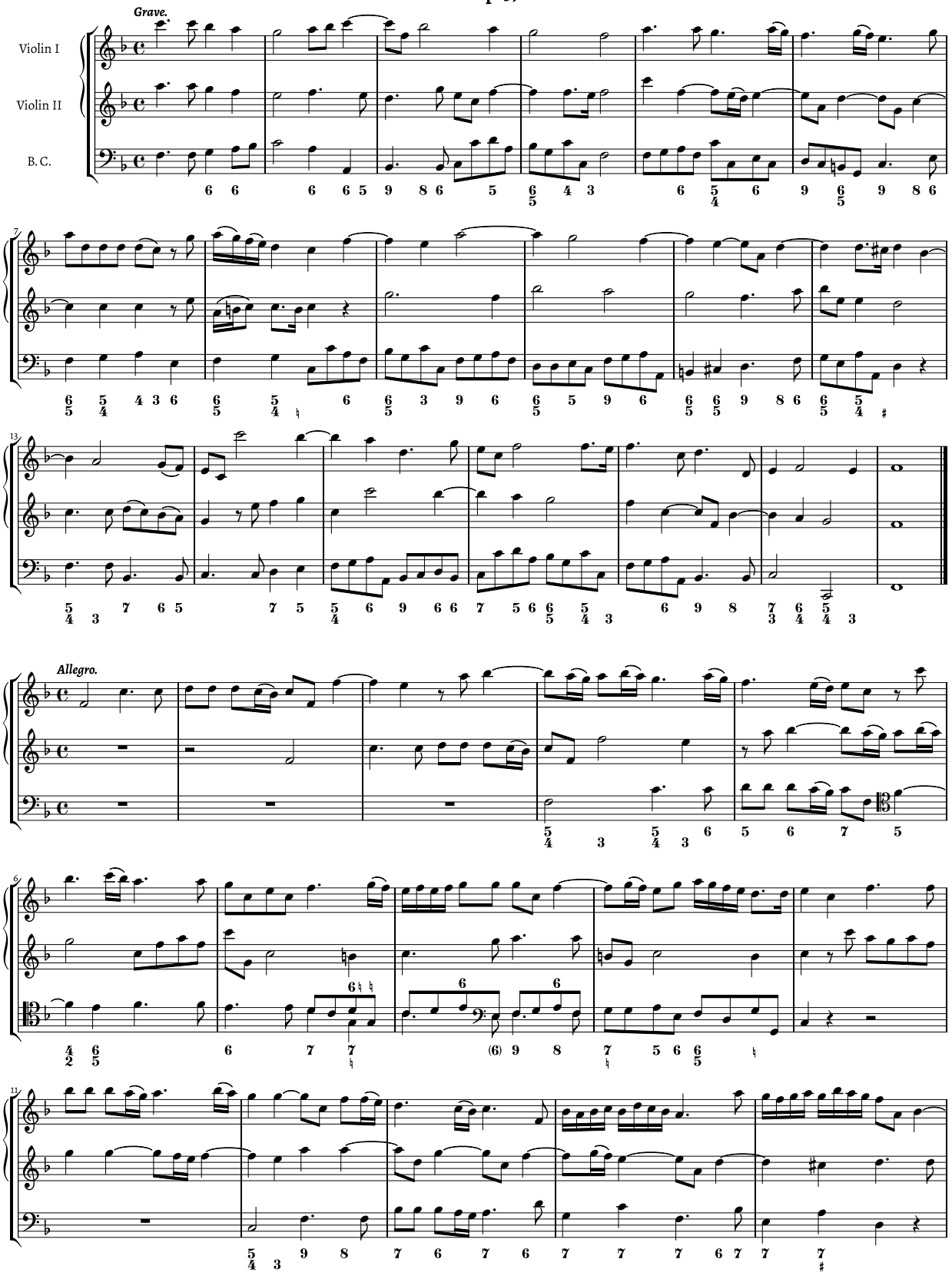
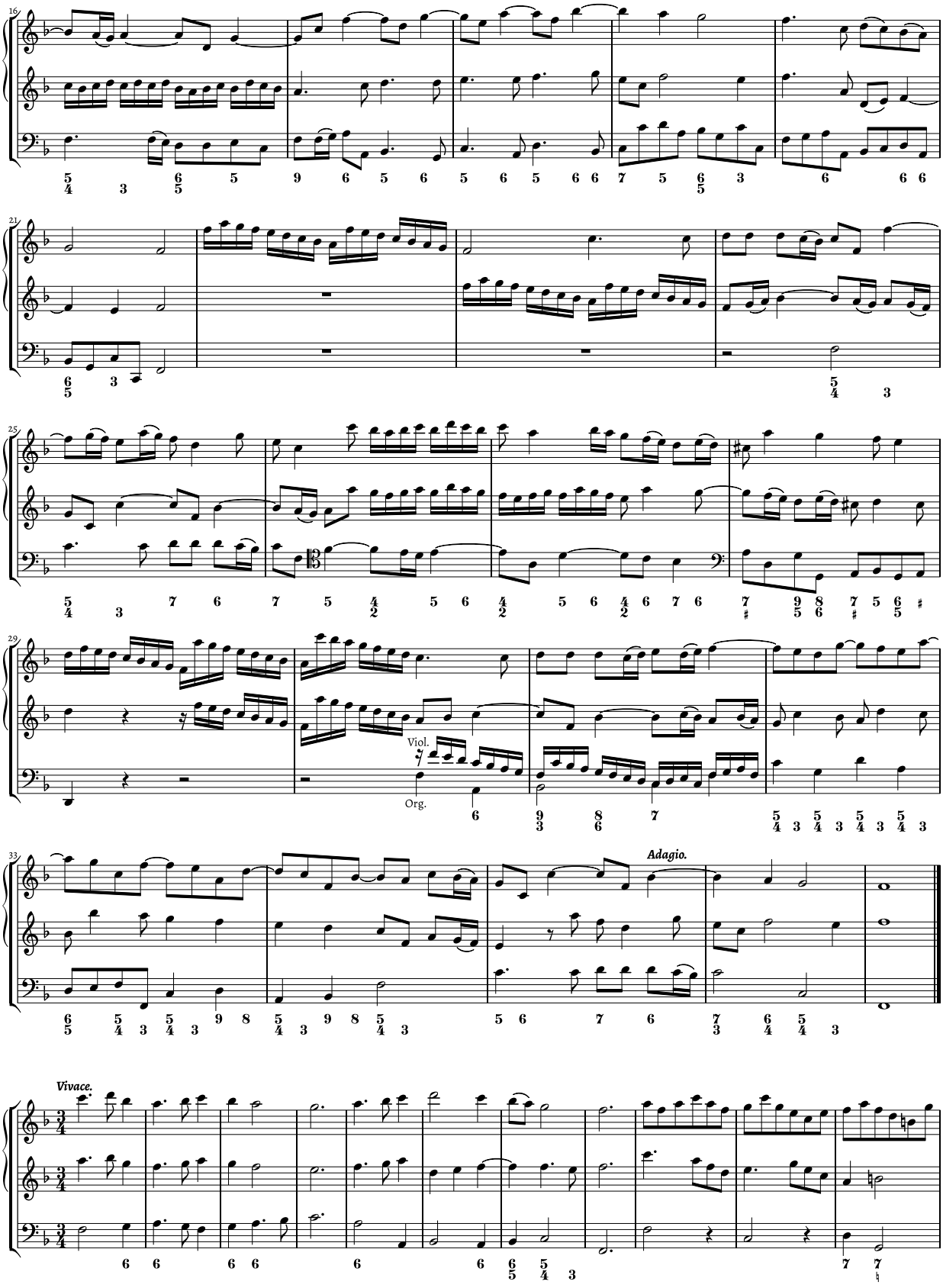
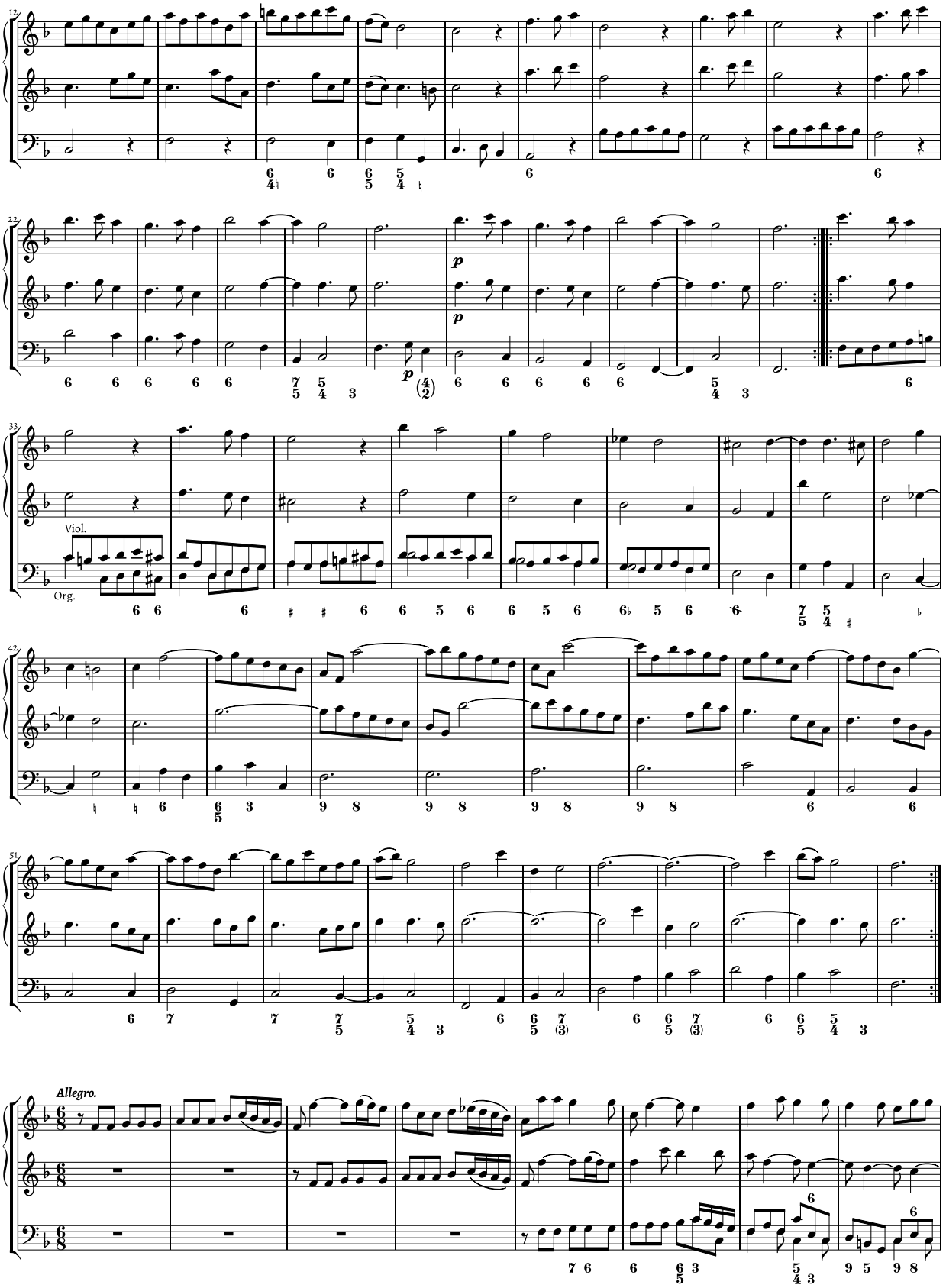
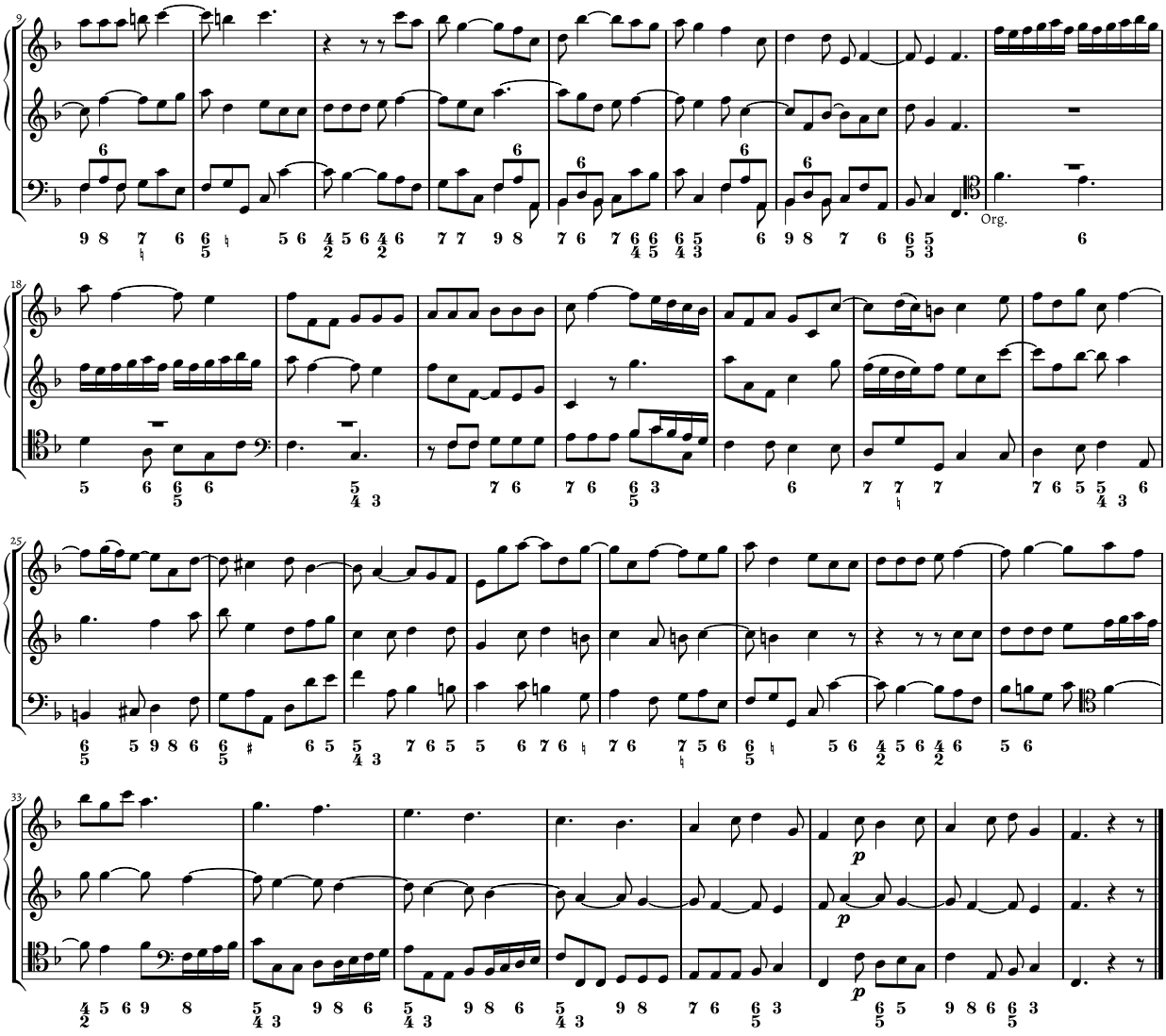
Sonata Op. 3, No. 1




16
21
25
29
Viol.
Org.
33
Adagio.
Vivace.


12
22
p
p
33
Viol.
Org.
42
51
Allegro.


9
Org.
18
25
33
p
p
p