The Technique of Coleman Hawkins: Rhythm, Harmony, Melody, Development

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Dominus Illuminatio Mea

This thesis is dedicated to my teachers
Branford Marsalis and Barry Harris

In memoriam
Phil Schaap (1951 – 2021)
Michel Huguet (1968 – 2020)

TABLE OF CONTENTS

Abstract ……...v

Acknowledgments ……vii

List of Musical Examples and Tables…….....…ix

List of Recordings Selected for Analysis……....……...……..xii

Prefatory Section ……..xiv

Terminology xiv

Notation of Variations on the Song's Melody xv

Designation of Musical Passages xv

Scale Degrees, Chord Tones, Intervals, Subdivisions, Beats xvi

Functions xvii

Chord Labeling xvii

References to examples, tables, chapters and sections xviii

References to quoted books, articles, recordings, and videos xviii

Chapter 1: Introduction, Documents, Methodology……1

§1.1 Introduction 1

§1.2 State of Research 19

§1.3 Sources 23

§1.4 Transcriptions 26

§1.5 Theoretical Framework 28

§1.6 Hawkins's Method 30

§1.7 Other Documents Attributed to Hawkins 36

§1.8 Choice of Recordings 38

Chapter 2: Process and Product……40

§2.1 Process or Product? 42

§2.2 Motivic Analysis 46

§2.3 Merging Process and Product 50

§2.4 Formulaic Analysis 52

§2.5 Schenkerian Analysis 55

§2.6 Set Theory 58

§2.7 Linguistic Analysis 59

§2.8 Interplay 60

§2.9 Which Kinds of Interaction? 63

§2.10 Best Before End… 69

§2.11 Conclusion: Which Method? 71

Chapter 3: Rhythm……75

§3.1 Thinking in Six 77

§3.2 Sextuplets 80

§3.3 Sixteenths 95

§3.4 Thirty-seconds, Quintuplets, Septuplets 99

§3.5 Conclusion 106

Chapter 4: Harmony……108

§4.1 VL Movement One 113

§4.2 VL Movement Two 117

§4.3 VL Movement Three 119

§4.4 VL Movement Four 123

§4.5 VL Movement Five 129

§4.6 VL Movement Six 133

§4.7 VL Combination 138

§4.8 A Simpler Scheme? 149

§4.9 Conclusion 152

Chapter 5: Melody……...155

§5.1 Parallels with Baroque Music 158

§5.2 Paraphrase and Theme Variation in Hawkins 161

§5.3 Cantus Firmus 163

§5.4 Notation of Variations 165

§5.5 Theme Variation in 'Don't Blame Me' 166

§5.6 Theme Variation in 'I Can't Get Started' 183

§5.7 Paraphrase and Theme Variation in 'Just One More Chance' 191

§5.8 Conclusion 195

Chapter 6: Development……..199

§6.1 'I Can't Get Started' (1952 Studio) 203

§6.2 'My Ideal' 205

§6.3 'Stardust' 207

§6.4 'If I Had You' 209

§6.5 'Soul Blues' 215

§6.6 'You Were Meant for Me' 221

§6.7 'Never in a Million Years' 224

§6.8 'There Is No Greater Love' 229

§6.9 Conclusion 235

Chapter 7: 'You Go to My Head'……237

§7.1 Paraphrase and Theme Variation (1A1 and 1A2) 240

§7.2 Theme Variation & Phrase Development (1B) 243

§7.3 Song Structure and Phrase Pairs (1B) 247

§7.4 Two Additional Phrase Pairs (1A1, 1B and 1C) 250

§7.5 Phrase Development (1C) 255

§7.6 Voice Leading (1C) 260

§7.7 Thinking in Six 265

§7.8 Conclusion 269

Conclusion……...270

Summary of Findings 270

Further Research 274

Implications for Scholarship 277

Epilogue……...……283

Appendix……..288

I Practical Applications 288

Rhythm 290

Harmony 291

Melody 291

Development 292

Other Techniques 293

II Diminished 7th Chord 295

III Phonemic and Phonetic 299

IV Complete Transcriptions

'Don't Blame Me' 301

'Just One More Chance' 304

'I Can't Get Started' 306

'You Go to My Head' 308

V *Melody Maker* Articles by Hawkins 310

Bibliography……313

ABSTRACT

Sonny Rollins estimates that even in the 21st century, the music of Coleman Hawkins 'is in everybody that's playing saxophone'. The instrumental technique Hawkins developed for the tenor saxophone has been adopted, in some way or the other, by most jazz saxophonists. But Hawkins was also a master of the theoretical principles governing tonal music and of their application within the confines of improvised swinging music. This second aspect of his technique is the subject of this thesis, which deals principally with four parameters: rhythm, harmony, melody, and development.

Chapter 1 presents Hawkins's ties with Western classical music, his improvisational method, and his role as an influential model for an approach to jazz improvisation focusing on swing and tonality. At the heart of any attempt to say something of a technical nature about improvised music lies the question of the rapport between the act of improvisation, by definition cast in the moment, and the music resulting from it, which since the end of the 19th century can be recorded and fixed. These two phenomena have been conceptualised using the terms 'process' and 'product', and in Chapter 2 I discuss the scholarship dedicated to them.

The core of the thesis is devoted to in-depth analyses of the techniques observable in selected recordings by Coleman Hawkins. Although these techniques act simultaneously in the creation of Hawkins's improvisations, it is useful to approach them in turn. Chapters 3 to 5 each focus on Hawkins's treatment of one of the fundamental parameters of tonal music, drawing from three performances: 'Just One More Chance', 'Don't Blame Me', and 'I Can't Get Started'. For each of these parameters one main technique is treated. Chapter 3 considers the rich variety of rhythmic figures available to Hawkins, and proposes that his preference for compound metre subdivision is the hermeneutic key to understanding his rhythmic approach. Special attention is given to his usage of sextuplets, and to the superimposed 6/4 metre that they sometimes project. Chapter 4 is devoted to harmony, exploring how Hawkins managed the voice-leading potentials contained in a song. It emphasises the care given to horizontal movements of a

contrapuntal nature, challenging the oft-repeated notion that Hawkins is a chord-oriented improviser principally invested in a vertical conception of harmony. Chapter 5 examines the frequent application of theme and variation procedures resulting in a tight connection between Hawkins's improvisations and the original melody of the song. Examining the same three ballads from rhythmic, harmonic, and melodic perspectives reveals that, in a number of passages, Hawkins actively works on two or three of these parameters at once.

In Chapter 6, I explore how Hawkins develops chosen materials over a few consecutive phrases, in examples drawn from several performances not used in the previous chapters. Development is also considered throughout chapters 3 to 7 in another form: Hawkins, in many of his solos, revisits what he has played eight, twelve or sixteen bars before (depending on the form) in the same section of a song, thus working out variations that operate cyclically, rather than in close succession like those surveyed in Chapter 5. Chapter 7 brings together all the techniques observed in chapters 3 to 6 by examining how Hawkins uses them in a single performance of 'You Go to My Head'.

In Appendix I, I propose some ways to practise these techniques in order to incorporate them into one's own playing.

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LIST OF MUSICAL EXAMPLES AND TABLES

Chapter 3

EXAMPLE 3.1: 'Just One More Chance' 1A1/1-7 [00:08]…… 81
EXAMPLE 3.2: 'Just One More Chance' from pick-up into 2B [03:48] to 2A3/3 ……82
EXAMPLE 3.3: Last phrase of Earl Hines's solo on 'Just One More Chance', starting at 2A2/7-8 [03:41], transposed in the tenor saxophone key of G, followed by Hawkins's pick-up into 2B…….85
EXAMPLE 3.4: Sextuplets in 'I Can't Get Started' 1A2/1-3 [05:05]…….86
EXAMPLE 3.5: Sextuplets in 'I Can't Get Started' 1B/1-8 [05:39]……...86
EXAMPLE 3.6: Sextuplet groupings in 'Just One More Chance' and 'I Can't Get Started'……..87
EXAMPLE 3.7: 'I Can't Get Started' 1B/5/4 (figure 3 in example 3.6) rewritten in eighth notes……....89
EXAMPLE 3.8: 6/8 African rhythmic figure, rewritten in 4/4 and in 6/4, with metric modulation……..90
EXAMPLE 3.9: 'Prélude' of Bach's *Cello Suite V* (bars 92-101)……...…93
EXAMPLE 3.10: 'Prélude' of Bach's *Cello Suite V* (bars 92-93), rewritten in 4/4 and in 6/4……...93
EXAMPLE 3.11: 'Just One More Chance' 2B/7 and 2B/8 [04:10], written in 4/4 and in 6/4……94
EXAMPLE 3.12: 'Don't Blame Me' 2A1 [03:14]……...96
EXAMPLE 3.13: 'Don't Blame Me' 2A3 [04:25]……...98
EXAMPLE 3.14: Thirty-seconds in 'Just One More Chance' 2A3/2-7 [04:19]……..99
EXAMPLE 3.15: Quintuplet and septuplet in 'Just One More Chance' 1A3 [01:38]……...……100
EXAMPLE 3.16: Symmetrical sextuplet figure in 'Just One More Chance' 1A3/4/1, 1A3/4/4, and 1A3/6/1……100
EXAMPLE 3.17: Quasi-quintuplets in 'Just One More Chance' 2A3/7 [04:33]……..101
EXAMPLE 3.18: Septuplets in 'I Can't Get Started' 1A3/6 [06:34]……....102
EXAMPLE 3.19: String of quintuplets in 'I Can't Get Started' 1A2/5-6 [05:24]……102
EXAMPLE 3.20: 'I Can't Get Started' 1B/5 [05:55]……....104
EXAMPLE 3.21: Buck Clayton's quintuplets on 'I Can't Get Started' [04:23]……...105

Chapter 4

TABLE 4.1: List of voice-leading movements and their main features……111
EXAMPLE 4.1: 'Don't Blame Me' 2A2/6-7 [03:53]……113
EXAMPLE 4.2: 'I Can't Get Started' 1A1/2-3 [04:38]……114
EXAMPLE 4.3: 'I Can't Get Started' 1A2/2-3 [05:11]……114
EXAMPLE 4.4: 'Don't Blame Me' 2A3/1-5 [04:25]……116
EXAMPLE 4.5: 'I Can't Get Started' 1A1/7-8 [04:58]……118
EXAMPLE 4.6: 'I Can't Get Started' 1B/7-8 [06:05]……...118

EXAMPLE 4.7: ‘Just One More Chance’ 2A3/3-5 [04:24]……...119
EXAMPLE 4.8: ‘I Can’t Get Started’ 1B/3-6 [05:48]……...121
EXAMPLE 4.9: Four bars of chromatic descent in ‘I Can’t Get Started’ 1B/5-8 [05:56]……123
EXAMPLE 4.10: I^6 – Rootless $V^{7\flat9}/ii$ – Rootless V/$\hat{2}$ in G……124
EXAMPLE 4.11: ‘Just One More Chance’ A/2: sheet music piano part (reduced)……..125
EXAMPLE 4.12: ‘Just One More Chance’ 1A3/1-3 [01:32]……126
EXAMPLE 4.13: ‘Just One More Chance’ 2A3/2-3 [04:19]……126
EXAMPLE 4.14: I^6 – I^{o7} – IV^6 in G……...128
EXAMPLE 4.15: Passing $\flat iii_{min}^7$ chords in ‘Don’t Blame Me’……129
EXAMPLE 4.16: Melodic parallel fifths in ‘Don’t Blame Me’……132
EXAMPLE 4.17: Melodic parallel sixths (and dissonant suspensions) in ‘Don’t Blame Me’……132
EXAMPLE 4.18: Diatonic descent in ‘I Can’t Get Started’ 1A1 [04:42]……133
EXAMPLE 4.19: Diatonic descent in ‘I Can’t Get Started’ 1A2 [05:15]……136
EXAMPLE 4.20: Diatonic descent in ‘I Can’t Get Started’ 1A3/3-8 [06:23]……...137
EXAMPLE 4.21: VL Combination in ‘Don’t Blame Me’ 1A2/1-5 [00:26]……..142
EXAMPLE 4.22: Suspensions in ‘Don’t Blame Me’ 1A2/1-5 [00:26]……144
EXAMPLE 4.23: VL Combination in ‘Don’t Blame Me’ 2A1/1-5 [03:14]……..145
EXAMPLE 4.24: VL Combination in ‘Don’t Blame Me’ 2A1/1-6 [03:14], reduction……147
EXAMPLE 4.25: Structural implications of the lower voice of VL Combination in ‘Don’t Blame Me’ 2A1/1-8 [03:14]……148
EXAMPLE 4.26: Series of second-inversion minor triads in ‘Don’t Blame Me’ 1A2/1-5 [00:26]……..150
EXAMPLE 4.27: Root-position and inverted triads in ‘Don’t Blame Me’ 2A1/1-8 [03:14]……151

Chapter 5

TABLE 5.1: Indicating what example contains what part of which song……166
EXAMPLE 5.1: Theme Variation in ‘Don’t Blame Me’ 1A1/1-8 [00:05]……167
EXAMPLE 5.2: Theme Variation in ‘Don’t Blame Me’ 1A2/1-8 [00:26]……170
EXAMPLE 5.3: Theme Variation in ‘Don’t Blame Me’ 1B [00:47]……172
EXAMPLE 5.4: Theme Variation in ‘Don’t Blame Me’ 1A3/1-8 [01:09]……174
EXAMPLE 5.5: Diatonic descent in ‘Don’t Blame Me’ 1A3/1-5 [01:09]……....176
EXAMPLE 5.6: Theme Variation in ‘Don’t Blame Me’, out chorus [03:14]……...179
EXAMPLE 5.7: Diatonic ascent in ‘Don’t Blame Me’ 2A1/5-7 [03:28]……..180
EXAMPLE 5.8: Theme Variation in ‘I Can’t Get Started’ [04:32]……...184
EXAMPLE 5.9: Paraphrase and Theme Variation in ‘Just One More Chance’ [00:08]……...193

Chapter 6

TABLE 6.1: Thematic Improvisation and Phrase Development……..…..200
EXAMPLE 6.1: Phrase Development in 'I Can't Get Started' (1952 studio recording) 1A1/6-8 [00:21]…204
EXAMPLE 6.2: Phrase Development in 'My Ideal' 2A1/1-3 [02:01]……..205
EXAMPLE 6.3: Phrase Development in 'Stardust' 2C/1-6 [02:06]……..207
EXAMPLE 6.4: Phrase Development in 'If I Had You' 1B/7 to 1A3/5 [01:28]……...…210
EXAMPLE 6.5: Phrase Development in 'Soul Blues' 5/1-5 [07:43]……215
EXAMPLE 6.6: Phrase Development in 'Soul Blues' 7/1-11 [09:06]……...…218
EXAMPLE 6.7: Phrase Development in 'You Were Meant for Me' 1A1/1-5 [01:23]…….221
EXAMPLE 6.8: (A) I^6 – I^{o7} – ii_{min}^7 and (B) I^6 – Rootless $V^{\flat 9}/V$ – ii_{min}^7 in D……223
EXAMPLE 6.9: Theme Variation and Phrase Development in 'Never in a Million Years' 1B/1-8 [01:57]……..225
EXAMPLE 6.10: Phrase Development in 'There Is No Greater Love' 3B/5-6 and 3A3/1-8 [03:24]…..…..230
EXAMPLE 6.11: Phrase Development in 'There Is No Greater Love' 2A2/1-8 [02:12]……..234

Chapter 7

EXAMPLE 7.1: Melody exposition in 'You Go to My Head' 1A1 and 1A2 [00:25]……...241
EXAMPLE 7.2: Phrase Development in 'You Go to My Head' from 1A2/6 to1A3/3 [01:10]……244
EXAMPLE 7.3: First Pair on IV (1B/1 [01:20]) and III (1B/7 [01:42]) in 'You Go to My Head'……...248
EXAMPLE 7.4: Second Pair on III (1B/5-7 [01:34]) and ♭III (1A3/2-3 [01:49]) in 'You Go to My Head'…….249
EXAMPLE 7.5: Phrase pair on two turnarounds in 'You Go to My Head' 1A1/8 [00:49] and 1B/8 [01:45]……...253
EXAMPLE 7.6: Phrase pairs in 'You Go to My Head' 1B/1-3 [01:22] and 1C/5-7 [02:34]……253
EXAMPLE 7.7: Phrase Development in 'You Go to My Head' from 1A3/6 to 1C/5 [02:07]……..255
EXAMPLE 7.8: Voice leading in 'You Go to My Head' 1A3/6-8 and 1C/1-7 [02:07]……261
EXAMPLE 7.9: 'You Go to My Head' 1B/3-7 [01:29], written in 4/4 and in 6/4..……..266
EXAMPLE 7.10: 'You Go to My Head' 1C/3-7 [02:25], written in 4/4 and in 6/4..……268

Appendix II

EXAMPLE APP.1: Diminished 7^{th} in 'You Go to My Head' 1B/1-3 [01:22]……...294
EXAMPLE APP.2: Augmented triad leads to IV, Diminished triad leads to V…….296

Appendix III

EXAMPLE APP.3: Phonemic and phonetic notations of 'You Go to My Head' 1B/5-6 [01:34]……..298

LIST OF RECORDINGS SELECTED FOR ANALYSIS

Chapters 3 to 5

'Just One More Chance'. Arthur Johnston and Sam Coslow (1931). Keynote HLK 19, recorded 22 February 1944. Coleman Hawkins (ts), Joe Thomas (tp), Trummy Young (tb), Earl Hines (p), Teddy Walters (g), Billy Taylor (b), Cozy Cole (d).

'I Can't Get Started'. Vernon Duke and Ira Gershwin (1936). Verve 815 149 1, recorded 27 May 1946. Coleman Hawkins (ts), Lester Young (ts), Buck Clayton (tp), Kenny Kersey (p), Al McKibbon (b), J.C. Heard (d).

'Don't Blame Me'. Jimmy McHugh and Dorothy Fields (1932). Keynote HL34 (second take), recorded 29 May 1944. Coleman Hawkins (ts), Teddy Wilson (p), John Kirby (b), Sidney Catlett (d).

Chapter 6

'I Can't Get Started'. Vernon Duke and Ira Gershwin (1936). Decca 28368, recorded 30 July 1952. Coleman Hawkins (ts), Georges Barnes (g), remainder of personnel unknown.

'My Ideal'. Richard A. Whiting, Newell Chase, and Leo Robin (1930). Commodore 45-7540, recorded 4 December 1943. Coleman Hawkins (ts), Art Tatum (p), Al Casey (g), Oscar Pettiford (b), Sidney Catlett (d).

'Stardust'. Hoagy Carmichael and Mitchell Parish (1927/1929). Decca AM-401-2, recorded 18 August 1937. Coleman Hawkins (ts), Freddy Johnson (p).

'If I Had You'. Jimmy Campbell, Reg Connelly, and Ted Shapiro (1928). On the 1986 Japanese CD reissue (Verve POCJ-9215) of the LP album *Hawkins! Alive! At the Village Gate* (Verve V6-8509, recorded 13 and 15 August 1962). Coleman Hawkins (ts), Tommy Flanagan (p), Major Holley (b), Eddie Locke (d).

‘Soul Blues’. Coleman Hawkins. On the LP album *Soul* (Prestige P-7149, recorded 7 November 1958). Coleman Hawkins (ts), Ray Bryant (p), Kenny Burrell (g), Wendell Marshall (b), Osie Johnson (d).

‘You Were Meant for Me’. Nacio Herb Brown and Arthur Freed (1929). Victor D7VB2650, recorded 10 December 1947. Coleman Hawkins (ts), Leslie Scott (vcl), Hank Jones (p), Chuck Wayne (g), Jack Lesberg (b), Max Roach (d), unknown strings.

‘Never in a Million Years’. Mack Gordon and Harry Revel (1937). D7VB2649, recorded 10 December 1947. Coleman Hawkins (ts), Leslie Scott (vcl), Hank Jones (p), Chuck Wayne (g), Jack Lesberg (b), Max Roach (d), unknown strings.

‘There Is No Greater Love’. Isham Jones and Marty Symes (1936). On the LP album *Night Hawk* (Swingville SVLP 2016, recorded 30 December 1960). Coleman Hawkins (ts), Eddie ‘Lockjaw’ Davis (ts), Tommy Flanagan (d), Ron Carter (b), Gus Johnson (d).

Chapter 7

‘You Go to My Head’. J. Fred Coots and Haven Gillespie (1938). Sonora SR1859, recorded December 1946. Coleman Hawkins (ts), Hank Jones (p), Milt Jackson (vb), Curley Russell (b), Max Roach (d).

PREFATORY SECTION

Terminology

American rhythmic terminology has been preferred because it is the one used by most jazz musicians, the music itself being of American origin, and because most scholarship on jazz uses it, rather than its British equivalent. I use the word 'jazz' in the sense that it tended to have during the period under scrutiny (1940s-1950s): American music that swings, is improvised, is tonal, is characterised by vocal inflections and by blues feeling, and whose most influential practitioners are overwhelmingly African American.[1] Today this definition applies to the terms 'mainstream' or 'straight ahead' jazz. Thus 'jazz', here, refers to 'mainstream jazz'; and as indicated in §1.1, this term stylistically brings together swing and bebop performance practices. I have used the term 'B section' to designate the B part in an AABA or ABAC song form. In an AABA song form I have sometimes used the term 'bridge' for the same purpose. Throughout the thesis I refer to 'notes' or 'tones' rather than 'pitches'.

By 'phrase' I mean a complete musical phrase from start to finish: it starts and ends in silence (though at times that silence can be very short). By 'phrase segment' I mean either a component of a full phrase, or a phrase surrounded by silences, but too short to be considered as a complete phrase (as in example 6.5). In Chapter 6, which is devoted specifically to this topic, when a group of correlated phrase segments is discussed from a developmental perspective, I designate the first one as 'Cell 1'. Its subsequent transformations are numbered in the order of apparition: 'Cell 2', 'Cell 3', etc. Depending on the nature of the music under scrutiny, Cell 1 is also designated as 'Main Motive', in order to underline that all subsequent cells are derived from the initial one. When two distinct strings of cells stem from Cell 1 (as in example 6.9), one string is designated with arab numbers (Cell 2, 3, 4, etc.), and the other string with capital letters (Cell A, B, C, etc.). In some instances, instead of using 'cell' or 'motive', I have labeled a phrase

[1] See Porter 2002, xxi and 287-334 for a detailed criticism of such a definition of the word 'jazz'. Monson (1996, 101-102) advances the argument that despite the (perceived) issues associated with the word, it can still serve as a convenient designation for a certain type of music.

segment according to its position within a broader phrase, or its developmental characteristics (for example 'Phrase End' and 'Riff Phrase' in example 6.10).

When discussing a specific technique rather than its result, I have capitalised it for clarity: Theme Variation is the act by which Hawkins varies a song's melody; Phrase Development is the act by which he develops an initial motive in successive phrase segments. I assume that the reader of this thesis is familiar with jazz conventions regarding forms, styles, the phrasing of eighth notes, etc.

Notation of Variations on the Song's Melody

The correlation between Hawkins's phrases and the melody of the song on which he improvises is the subject of Chapter 5. The conventions I have used to indicate these relationships are explained in §5.4, and apply as well to chapters 6 and 7.

Designation of Musical Passages

The designation of a particular passage to be discussed is made in one of two ways.
1. By its timing on the recording (provided in the musical examples within brackets: [01:36] for one minute and thirty-six seconds). This timing might vary slightly depending on the transfer the reader is listening to.
2. If the improvisation is on a 32-bar AABA form, by reference to the place of the passage in the form according to the following template: Chorus Section/Bar.[2] In the case of A sections a number indicates which of the three sections it is. Thus 1A2/5 means the fifth bar of the second A section of the first chorus (if there is only one chorus it is still indicated in this manner). When reference is made to an exact beat within the bar the template expands to: Chorus Section/Bar/Beat. For example 2B/3/1-2 means beats 1 and 2 of the third bar of the B section of the second chorus; 1A3/5/4 means the fourth beat of the fifth bar of the third A section of the first chorus. In the case of a 32-bar ABAC form the same rules apply, but here A2 is not the second section as in an AABA form, but the third, and B and C do not need a section number since there is only one of each per chorus, as for B in an AABA form. If an AABA song is discussed in general, with no necessity of pointing specifically to one of its three A sections, I write only A followed

[2] This is similar to the procedure adopted by Henry Martin (1996) and several other scholars.

by the relevant bar and beat: A/1/4 means the fourth beat of the first bar of each A section of a song. In the case of a solo on the blues no mention of section is made, since there is only one per chorus, so that it is enough to indicate 1/3 for the third bar of the first chorus, or 2/6/3 to point to the third beat of the sixth bar of the second chorus.

At times I need to designate several locations in the same example. I do this by listing two or more numbers after the last slash (/). Thus 1A2/1 and 7 points to the first and seventh bars of the second A section of the first chorus. B/4/1, 2, and 4 points to the first, second, and fourth beats of the fourth bar of the B section.

The numbering of choruses when there is more than one counts the number of choruses taken by Hawkins himself, not those taken by the rest of the band. Thus if he takes one chorus but as the third soloist, its first A section is still labeled 1A1 even though this chorus might be the fourth on the recording. If he takes the first chorus, then is followed by a piano chorus, and takes another one after that, the first A section of the latter is labeled 2A1 (not 3A1).

Scale Degrees, Chord Tones, Intervals, Subdivisions, Beats

- Scale degrees within a tonality are indicated with a ^ over Arabic numbers: $\hat{1}$, $\hat{2}$, $\hat{3}$, $\hat{5}$, etc. Occasionally, they are fully spelled out: for example, the third or seventh of B♭ major. See also paragraph under table 4.1 for precisions regarding the use of scale degrees when applied to chromatic notes caused by secondary dominants or diminished chords, which depending on one's views can be considered as local modulations or not.
- The terms: Root, 3rd, 7th, etc. (in Arabic numbers), indicate notes within a chord, as opposed to how they relate to the tonality. Hence a G, if discussed as part of an A^7 chord, is designated as its 7th, while in the key of D minor of which that A^7 is the dominant, the G is scale degree $\hat{4}$. Note: 'Root' designates the root of a chord, and can be any scale degree within a tonality depending on the chord. It must not be confused with 'tonic' which is always scale degree $\hat{1}$, regardless of the chord it appears in.
- The terms second, fifth, sixth, etc., fully spelled out, indicate intervals between two notes (melodically): A to C is a minor third, G♯ to E♯ a major sixth.

- Rhythmic subdivisions are fully spelled out, and the word 'note' is generally omitted beyond the eighth note: thus, half note, quarter note, eighth note; triplets, sixteenths, sextuplets, thirty-seconds.
- Bars are referred to both in letters (second bar, third bar) and in Arabic numbers (bar 2, bar 3).
- Beats within a bar are referred to both in letters (first beat, fourth beat) and in Arabic numbers (beat 1, beat 4).

When quoting I have tried to respect the terminology of the source, rather than replacing it with my own.

Functions

Functions are either fully spelled out (supertonic or subdominant, dominant, tonic); or referred to in roman numerals: ii – V – I, or II – V – I if the supertonic is a major triad or a dominant 7th chord.[3] For other functions expressed in roman numerals, minor chords are in lower-case and major ones in upper-case: ii, iv, vi, ii, IV, I. Sometimes a function in roman numerals is followed by a chord type: ♭VI$_{maj}^{7}$, I$_{maj}^{7}$.

I use '/' as meaning 'of' and apply it both to functions and to scale degrees: V/ii means the dominant of ii, and $\hat{5}$/ii means the fifth scale degree in the key of ii (relative to the main key of I: in B major the key of ii is C♯ minor and $\hat{5}$/ii is the note G♯).

Chord Labeling

Chords are labeled as follows:

A♭ = A♭ major triad

A♭$_{min}$ = A♭ minor triad

A♭^{o} = A♭ diminished triad

A♭$^{+}$ = A♭ augmented triad

[3] Strictly speaking a dominant should always be labeled V, but even such a precise teacher as Nadia Boulanger accepted to label the supertonic as II^{7} when it appears as a dominant 7th chord (but not other secondary dominants, which had to be labeled V/x). When looking at the harmonic progressions typical of Broadway songs it is sometimes useful to extend this license further and to designate any secondary dominants with the appropriate roman numeral according to the general tonality: VI^{7} for D^{7} in F major, rather than V/ii. As with the co-existence, contrapuntally, of scale degrees and chord tones, it is perhaps best, functionally, to train one's mind to consider both things at once.

A♭^{7} = A♭ dominant 7th

A♭min^{7} = A♭ minor 7th

A♭maj^{7} = A♭ major 7th

A♭^{ø7} = A♭ half-diminished 7th

A♭^{o7} = A♭ diminished 7th

Dominant 7th can be variously extended or altered, especially as regards their 5th and their 9th: A♭$^{7♭5}$, A♭$^{7+5}$, A♭$^{7/9}$, A♭$^{7/b9}$.

When I need to indicate an inversion, instead of using the classical numbering system, I simply write the chord followed by the scale degree that is found in the bass, for example iimin^{7}/î means a ii minor 7th chord in third inversion (in the key of D♭: E♭min^{7} with D♭ in the bass); V^{7}/2̂ means a dominant 7th in second inversion (in the key of G: D^{7} with A in the bass); I/3̂ means a tonic triad in first inversion (in the key of F: F with A in the bass). It would perhaps have been clearer to use classical music figuration to indicate inversions, since that is what it has been developed for, but it creates some confusion with the usual labeling in jazz, especially when the number 6 is used (indicating an added 6th in jazz, and a first inversion in classical); moreover not everyone is familiar with the labeling, for example, of inversions of dominant 9th chords without their root. Indicating the bass note by its scale degree is also often useful in terms of voice-leading activities.

References to examples, tables, chapters and sections

Examples are numbered as X.Y, where X is the chapter they belong to and Y the example number. The first example in a given chapter starts with X.1. Example 5.6 means the sixth example in Chapter 5.The same system applies for tables where relevant.

Chapter X designates a whole chapter, and §X.Y designates a section within a chapter.

References to quoted books, articles, recordings, and videos

Books and academic articles are referred to either in the text or in footnotes, by author name, year, and page number, with full information listed in the Bibliography.

Recordings, newspaper or magazine articles, personal communications, and online articles or videos are referenced in full in the footnotes.

CHAPTER 1: INTRODUCTION, DOCUMENTS, METHODOLOGY

> He's so great that I wouldn't worry about people not playing him, because his style permeates everything that's played today, really. But you have to be a musician to understand what he's doing. And that his music is… people playing today, they're still playing Coleman Hawkins! People are playing like Lester Young, but they're still playing Coleman Hawkins. Because Coleman Hawkins is ever present. He's the guy. Nobody is playing exactly like Lester Young today. Nobody is playing exactly like Charlie Parker today. The only guy is John Coltrane, they're playing like John Coltrane more. But in that kind of playing, Coleman Hawkins is there. In John Coltrane's playing… in anybody that's playing today… Coleman Hawkins, his music is there. But they don't know it, they don't know it… they don't know it. But that's OK, eventually people will find out more about him. In truth, Coleman Hawkins, his music, is in everybody that's playing saxophone.[1]

§1.1 Introduction: Why it Matters to Study Coleman Hawkins's Music

During his visit to the USA (1892-95), Antonin Dvořák urged American composers to recognise the value of the music of their land: 'These beautiful and varied themes are the product of the soil. They are the folk songs of America, and your composers must turn to them. In the Negro melodies of America I discover all that is needed for a great and noble school of music'.[2] As is well-known, Dvořák applied his own advice in his *New World Symphony* and in his *American String Quartet*, adapting Negro Spirituals and Native American music.[3] The tenor saxophonist Coleman Hawkins might be seen as a

[1] Rollins 2018. In February 2018, I wrote to Sonny Rollins's publicist Terri Hinte, and asked if Rollins would be willing to answer a few questions on Coleman Hawkins. She kindly organised what was supposed to be a twenty-minute phone call, but turned out to last more than an hour, on 7 March 2018. Then, on 6 July 2019, Rollins made himself available again for another hour of phone interview. I am very grateful to him for giving so generously of his time.
[2] Leonard 1962, 24.
[3] Other European composers to have done so are Frederick Delius (*Appalachia: Variations on an Old Slave Song, Koanga, Florida*) and Ferrucio Busoni (*Gesang vom Reigen der Geister*, *Indianische Fantasie*).

kind of reverse phenomenon: an African American playing jazz but looking to Western classical music for inspiration. Another parallel between the two men and their personal impact on a foreign culture is Hawkins's stay in Europe (1934-39), which is as culturally significant as Dvořák's presence in America and which had similar long-lasting effects.

The African-American experience is central to Hawkins's art. Conversely, the techniques that Hawkins developed have become central to African-American music.[4] He was instrumental in successive developments of jazz: as a teenager in the early 1920s, he played with blues and vaudeville singer Mamie Smith; later in the decade and in the 1930s his collaboration with Fletcher Henderson helped to foster the role of the soloist in a big band formation, and to establish the tenor saxophone as the main solo instrument;[5] after his return from Europe in 1939 he played a crucial role in the development of bebop;[6] and in the 1950s he became one of the leading figures of what has been called the 'mainstream' style which is still widely in use today. Yet, throughout his life he demonstrated a keen interest in European classical music procedures and in its products. His move to Europe, sometimes construed as a reaction to racism in his home country,[7] might also be understood as a desire to live in the cradle of the musical culture he admired. In 1967 he told interviewer Max Jones: 'I've always had it in mind to spend half my time at home and half in Europe, and I'd like to do it. I played all over the continent before the war. I could do it again, starting out with Amsterdam'.[8]

As Scott DeVeaux notes, '[Hawkins] was sensible enough not to be seduced […] into superficial borrowings from European music'.[9] The influence of classical music on Hawkins was more profound, his relationship with it more creative, than mere copying. It

[4] The influence exerted by Hawkins extends far beyond tenor saxophonists, as noted by Scott DeVeaux (1997, 35): 'Hawkins's place as one of the founders of jazz is secure'; by Burnett James (1984, 9): 'Coleman Hawkins did not of course invent the saxophone in jazz. [But] he and his work became classics of jazz, his influence stronger and more widespread than any but Louis Armstrong's'; or by Kenny Berger (in Kirchner 2000, 190): '[Coleman Hawkins] was the prototype for the idea of the jazz musician as a serious, creative artist'.

[5] 'Thanks to Hawkins, the tenor rivaled and ultimately usurped the trumpet as jazz's most iconographic instrument' (Giddins and DeVeaux 2009, 244).

[6] This topic is treated with impressive depth in DeVeaux 1997.

[7] See for example Walter E. Schaap's article 'Jazzmen Abroad' in *Jazz Information* (24 November 1939, 2), mostly devoted to Coleman Hawkins: 'In Paris, Brussels, Amsterdam, or in any backwater town, [the colored man] can go where he chooses and with whom he chooses. This opportunity to escape the discrimination which still prevails even in the Northern U.S., is the magnet which attracts countless intelligent Negroes to Europe'.

[8] Jones 1988, 56.

[9] DeVeaux 1997, 89.

involved studying, transferring and adapting various aspects of classical technique in an improvised jazz context. Hawkins was classically trained on the piano and on the cello,[10] he read music fluently from an early age,[11] and listened avidly to classical music all his life both at home and in the concert hall.[12] In the first of three educational articles he wrote for *Melody Maker* in 1934, Hawkins described his involvement with European classical music methods:

> Anyway, if you guys think that I learned to play through reading a couple of articles like these in a newspaper, you do me a compliment. No, I was taught. I started at the age of six – that's twenty-three years ago, if you're interested – and I learned the piano and the cello. When I say I learned, I mean – I *learned*, good and hard. No faking, no busking. Scales, exercises, study, theory, harmony in the thorough but dull old-fashioned way. When I took up the tenor, I knew music. I was nine then […].[13]

[10] Feather 1957, 167; Chilton 1990, 4; Shapiro and Hentoff 1955, 207. Hawkins mentioned his training on these two instruments as early as 1934: 'Ma used to whip me! I didn't care especially for that sort of attention, so I had to get on with it. Piano first, then I wrestled with a 'cello. But I couldn't sit down if I got tanned too hard, and at seven years old you can't get much out of a 'cello standing up!' (Bettie Edwards, 'Colossus of Reeds', *Melody Maker*, 7 July 1934, 9).The journalist says of Hawkins that he is 'the best, or worse, leg-puller' and that 'it is difficult to imagine anything more unlikely than the great Hawkins having to be whipped into playing'.

[11] See Chilton 1990, 4, 6, 43, 50 and DeVeaux 1997, 66.

[12] James 1984, 11.

[13] 'No. 1 of a Series by COLEMAN HAWKINS', *Melody Maker,* 14 April 1934, 11 (see Appendix V). See also §1.3 and §1.6. Hawkins repeated similar information to Leonard Feather (1957, 172) two decades later. Tommy Flanagan commented on Hawkins's proficiency in a radio interview with Loren Schoenberg on 14 January 1990: 'Probably one of the finest musicians I've ever known, because he knew everything so well. The way he could transpose, look at a piece of sheet music and read any clef […] He could see anything on the page and say "well, I'll take this line… I'll take this". There was this piece from the *No Strings* album, and there was a long bass line broken up in tenths, and he said "I'll just play that line" […] "I'll take this line here, you play the melody". It was a big skip, but with that sound he could play the low note, and the tenth in the middle […]; the tonic, the seventh, and the tenth above. He impressed me a lot… his musicianship' (online: <https://www.youtube.com/watch?v=UWASNHG-hH8>, accessed 3 June 2021; quoted passage starts at [17:45]).

In the 1960s, pianist Roland Hanna, who replaced Tommy Flanagan in Hawkins's quartet, became a close friend and often visited him at his apartment.[14] During a conversation with John Chilton in April 1987, Hanna emphasised the importance that European classical music had for Hawkins. It is worth citing Hanna at length, since his recollections show the extent of Hawkins's involvement with that genre:

> We spent many hours at his apartment […] All we did was talk about music and play music on records […] Hawkins would pour the Cognac liberally, and then discussion would be under way. If there was a point of argument Hawk always said, 'Let's check this out', and he'd go over and look through *Grove's Dictionary of Music* to settle the point. He had a huge library of musical scores of Bach, Beethoven, Mozart, Mahler, Ravel, Debussy, Richard Strauss and so on. He had shelves of books on composers and their works; I was fascinated by the extent of his library. He loved Dinu Lipatti and the Robert Schumann Trios. He was always particularly interested in the cello and revered Pablo Casals. I had studied cello for many years and he was pleased to know that I had played for Casals in Puerto Rico in 1958. One evening when Major Holley was there I brought along a cello to his apartment and Coleman astonished us by playing it well, despite the fact that he hadn't played cello for many years. He'd listen enraptured to the Bach Cello Sonatas, but he was just as knowledgeable about Bartok; his tastes were wide. He was a peerless musician. He bought a Steinway Console grand piano for his apartment and he often sat at the keyboard and played things like Chopin waltzes, or his particular favorite Liebersfreund [sic] by Schumann.[15] I felt a great deal of sympathy with him because he too loved classical music.[16]

[14] Even at this late stage Hawkins practised classical music on the saxophone. John Chilton (1990, 371) reports that during the 1966 JATP tour, backstage, Hawkins played from memory classical violin duets with Dizzy Gillespie.

[15] A transcription error from Chilton perhaps? Did Hanna mean Fritz Kreisler's piece for violin and piano, 'Liebesfreud'? Maybe Hawkins used to play the transcription for piano solo by Rachmaninoff, published in 1923. Or is Hanna referring to Schumann's *Frauenliebe und –leben* Op. 42? The Kreisler piece is a good

From his own interviews and from reminiscences by others, it is clear that throughout his life Coleman Hawkins considered European classical music as an important reference and model and that he elected to integrate many of its principles into his playing.[17] The results can be observed in a wide range of musical factors: the eminent 'writeability' of almost everything Hawkins played,[18] which points to an active mind making compositional decisions at every turn and keeping muscle memory under firm control; the constant recourse to the endless possibilities of the tonal system, both harmonically and contrapuntally, manifested in the attentive care for voice leading and in the elegant resolutions of tonal tensions; the fondness for modulations and the proficiency in every key;[19] the rhapsodic lyricism, wide vibrato and daring portamento inspired by the Romantic performing tradition of the European 19th century and by opera singers;[20] the gusto for songs written for Broadway (often by European immigrants) and offering rich harmonies, modulations, and ornate melodies derived from Western classical music;[21] the dignified and restrained way in which Hawkins presented himself, more as a concert hall virtuoso than as an entertainer;[22] the similarities in sound, phrasing, and articulation with

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candidate as it may have reached Hawkins's ears in the recording by Marcel Mule with piano accompaniment, made in 1934 and released on Columbia DF-1704. The best bet though is probably Franz Liszt's 'Liebestraum No. 3'. Hawkins's drummer Eddie Locke recalled an evening when Hawkins came to his home for dinner: 'He was sitting there eating, and I had put on a record of *Encores*, short pieces by Rubinstein. It shook me up when I saw tears streaming out of his eyes. "Honey", he said to my wife, "don't pay me any mind, but that music is *so* pretty!"'. Liszt 'Liebestraum No. 3' opens that Artur Rubinstein album (RCA LM 1153, released in 1952).

[16] Chilton 1990, 355. Major Holley (in Balliett 1996, 120) and Dan Morgenstern (1973), have also reminisced about the listening parties dedicated to classical music at Hawkins's apartment, and Hi-fi specialist Charles Graham has reported on Hawkins's collection of classical LPs (see Chilton 1990, 354). See also Hawkins's comment in Jones (1988, 57): 'I don't listen to too much jazz. I'm a classics man, but then I started like that. That's where I got myself from, and I keep it up. You should see my record collection, it's terrific'. Tommy Flanagan told Loren Schoenberg: '[Hawkins's] selection of recordings was a little strange… they were all classical! He didn't have any jazz records, unless the record company would send him some things. But he had complete Wagnerian operas' (radio interview, see reference in footnote 13; quoted passage starts at [20:15]).

[17] After a radio broadcast in October 1935, Hawkins reportedly made the following comment: 'I had the grand compliment from a certain young lady that my creations over the radio sounded as classics' (quoted in Chilton 1990, 123, no reference). If this statement is accurate, it points to Hawkins's pride in the recognition that his work ranks with that of the great European composers.

[18] Especially from the late 1930s and onwards. Hawkins's earlier style, which was eminently rhapsodic and rhythmically more loose, presents instead a considerable challenge to the transcriber (many transcriptions of that period can be consulted in Henderson 1981). In §1.4 I discuss my approach to the transcriptions for this thesis.

[19] See Chilton 1990, 43, 103-104, 108, and DeVeaux 1997, 276.

[20] See DeVeaux 1997, 64.

[21] See Block 1993 for a discussion of the influence of European operatic concepts on Broadway musicals.

[22] See DeVeaux 1997, 76, 89-90, and Schoenberg 2012, 20.

Pablo Casals's cello (often Hawkins sounds like a bowed cello), for whom he professed great admiration.[23] It is significant that in deriving and adapting techniques from Western classical music, Hawkins brought to prominence the only melodic instrument used in early jazz whose potential had not been fully tapped by European composers: born in Europe and largely neglected there, the tenor saxophone was granted legitimacy by an African American. As saxophonist Johnny Griffin pointed out, Hawkins 'rescued the saxophone from the oblivion of the circus'.[24]

In a sense, too, the tonal system itself was 'rescued' by African Americans in the 20th century. The new rhythmic drive of jazz and the challenge of improvisation gave a fresh perspective on what many composers in Europe considered to be exhausted to the point of extinction. Swing and improvisation allowed jazz musicians to use tonality *au premier degré* – without irony or afterthoughts. Debussy famously wrote: '*Il fallait donc chercher après Wagner et non d'après Wagner*'.[25] With the music of Wagner and of his immediate heirs (Bruckner, Strauss, Mahler) tonality arguably reached its climactic point. In their wake, many European composers chose to abandon tonality as a central structural element of their work; the resulting compositions have often been construed as representing the last convulsions of European art-music. Unexpectedly, the antidote, the '*après* Wagner', came from America, and it came from black musicians. The 'disease'[26] was not harmonic after all (it was not *tonality* which was ailing), it was rhythmic, and it was processual. Because African-American jazz introduced a new rhythmic conception (swing), and because it relied mostly on improvisation, it could look at (naked) tonality without shame or self-consciousness.[27]

[23] See Chilton 1990, 261 and 332-333.
[24] In Taylor 1977, 71. LeRoi Jones (1963b, 41) similarly asserted that '[Hawkins] first made the sax a respectable instrument'.
[25] Debussy 1901-1906/1971, 63: 'The task was to search after (later than) Wagner and not after (according to) Wagner'. In *Nietzsche Contra Wagner,* Nietzsche discerns qualities in the music of Bizet which he thinks act as antidotes to the 'poison' distilled in Wagner's works. These qualities (rhythmic incisiveness, concision, contained feeling) could also serve as apt descriptions of African-American jazz.
[26] A central theme in Thomas Mann's *Doktor Faustus*, and other novels in which it is extended to other aspects of European culture at the turn of the 20th century.
[27] This is still true today – musicians who take tonality seriously, elect to function within its confines, and study it in depth tend to be jazz musicians; a classical composer declaring an intention to write completely tonal compositions would have a hard time being commissioned outside of the Hollywood industry.

The process of reinvigorating the tonal system by way of African-American rhythmic and improvisational procedures arguably culminated with Coleman Hawkins.[28] Indeed Hawkins has few peers in the control of tonality in a swinging, improvised context. For saxophonist Sonny Rollins, there lies Hawkins's relevance in the 21st century:

> The thing that people today might want to be able to get from Coleman Hawkins would be his musical style of playing the changes, because his harmonic sense was very advanced. Now you have to put that into a style of playing. As they say today they don't play like that, with so much of a vibrato and all of that, these things they change a little bit from time to time… but what Coleman Hawkins says that people can use today would be his harmonic sense. That has not aged at all! If you can play his harmonics then you'd still be a very successful musician today.[29]

Hawkins's main contenders on this front are pianists: Art Tatum, Teddy Wilson, Bud Powell, Hank Jones, Tommy Flanagan, Barry Harris. A few other saxophonists, influenced by Hawkins, came near – especially Don Byas and Lucky Thompson.[30] If anyone ever surpassed his mastery of tonality, this would be Charlie Parker.[31] For Henry Martin '[Parker's is] perhaps the most sophisticated improvisation in jazz history'.[32] For Wynton Marsalis,

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[28] Thus Coleman Hawkins can be presented as the 'rescuer' (to use Johnny Griffin's term) both of the saxophone and of the tonal system.
[29] Rollins 2018.
[30] Benny Golson, when asked 'Who represented the central figure in the old tradition that you were pursuing, even as Bird turned you around?', answered: 'Coleman Hawkins. Later, Don Byas. Don Byas won out for me. Those two. That was it, there was nothing else for me. I didn't see how they could take it any further. I didn't see how I could go past that […] "They can't go beyond this", I thought' (Merod 1995, 59). Another saxophonist who held that Byas topped Hawkins is Rashaan Roland Kirk: 'To me Don Byas had it all; I think he had it over them all, even Hawkins' (*Jazz Journal* January 1964, quoted in Chilton 1990, 323). Charlie Parker remarked about jam sessions at Monroe's in New York: 'Don Byas was there, playing everything there was to be played' (Feather 1949/1977, 15, quoted in DeVeaux 1997, 195).
[31] It is not without significance in this connection that Parker, like Hawkins, expressed a deep interest in classical music. See Martin 2018, §5.22-§5.25.
[32] Martin 1996, 4.

> [Parker] took Negroid improvisation to the highest level it has achieved. No one before or after played as well as he did. His conception was perfect, his execution was perfect, and he has deep soul and a wide emotional range […] Parker played melody, harmony and rhythm in a new way, and he never sacrificed swinging for what he achieved.[33]

A significant difference between Hawkins's and Parker's approaches to tonal improvisation is that, as scholarship has shown (see §2.4, §2.5, and §2.7), Parker relied heavily on formulas, whereas, as pointed out by Sonny Rollins, Hawkins did not:

> Coleman Hawkins was such a great musician, he always sounded different in a way of speaking, he always sounded different as he played at different times. He always just played the music, whatever it was, and he never played the same licks on it. If you can play Coleman Hawkins, then you have to really be good, because it was a style, it wasn't the licks.[34]

In spite of their evident spontaneity, Parker's phrases seem to have been worked on, refined, polished, to a degree rarely encountered in improvised music. What impresses first is the result of Parker's improvisatory skills, the perfection. By contrast, Hawkins's playing is almost like an invitation for the listener to participate in the very act of improvising, so much does it evidence the process taking place. At the risk of over-simplifying, we might say that Parker's art is of a 'lexical' nature (he is primarily invested in the production of beautiful phrases), while Hawkins's art is 'grammatical' (he is mainly concerned with the process of improvisation).[35] As approximate as it may be, perhaps it was to a distinction of this kind that Barry Harris pointed when he spoke to John Chilton in 1987:

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[33] Marsalis 1986/1990, 161. Quoted partially in Porter 2002, 309.
[34] Rollins 2018.
[35] To use two terms discussed in Chapter 2, we might say that Parker was more preoccupied with product, and Hawkins with process.

> I moved to New York in 1960 and later began working with Hawk regularly. I was then a sort of Bud Powell/Bird disciple, but this old man was my awakening. It's difficult to explain, but my attitude changed almost magically one night when Hawk was playing 'All the Things You Are'. What he did on that tune gave me a huge, instant insight into music as a whole. I'd idolized Parker, but in that moment Coleman sort of knocked Bird off the pedestal I'd always kept him on. Coleman didn't play chords, he played movements, and that concept has always stayed with me.[36]

Harris further elaborated on this experience when he was interviewed by Ted Panken, for a *Downbeat* article, in 2000:

> [Playing with Hawkins] sort of let me know that there's a lot more to be played than what we've heard. We can't think of anybody really as the end. We were the bebop boys. That was our music. But playing with Coleman Hawkins sort of showed one that there was a lot more to play than bebop, than what Bird and them played. So one had to work at trying to reach this other level.[37]

Coleman Hawkins provided advice on how to 'reach this other level' in a statement made to Leonard Feather in 1957:

> Improvising is playing with a lot of thought behind it; but none of the hard work that goes into thinking should show up in your playing. Too often improvising is really copying. To really improvise, a musician

[36] Chilton 1990, 363. I return to the end of this quote, which indeed has come to form the heart of Harris's pedagogy, in Chapter 4.
[37] Online: <https://tedpanken.wordpress.com/2011/12/15/for-barry-harris-82nd-birthday-a-downbeat-article-from-2000/>, accessed April 30, 2018.

> needs to know everything – not only his instrument, but harmony, composition, theory, the whole works.[38]

Here Hawkins affirms again his connection with classical music and its paradigms. He also indicates what, in his own assessment, distinguishes his playing from most other jazz musicians: the priority given to active thinking as he improvises, and which he is able to accommodate without any diminution of his 'physical' performing faculties (instrumental execution, intensity, drive, stamina, etc.). Improvising is first and foremost an act of the mind: Hawkins thinks, therefore he improvises.[39]

And indeed the power of his intellect has impressed many commentators. Regarding Hawkins's famous unaccompanied record, Michael Levin wrote: 'More than a mere tour de force, *Picasso* is a magnificent sample of the Hawkins mind and horn at work, the emotional horn and the controlled mind'.[40] For Hugues Panassié, 'it is impossible to hear a more intelligent phrasing than Hawkins's'.[41] Scott DeVeaux notes that 'the peculiar combination of personal traits and musical abilities that marked Hawkins' are 'steely ambition, a strong intellect, and virtuosity'.[42] One of the two most frequent nicknames (the other being 'Hawk') given to him was 'Bean'. Several explanations have been advanced concerning its signification. A rather matter-of-fact one simply states that he

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[38] Feather 1957, 171-172. Quoted in Chilton 1990, 278. See also §5.1. On 15 December 2014, saxophonist Bennie Maupin, who studied with Barry Harris in Detroit, posted a response under the article referenced in the previous footnote: '[…] Thank you Barry for pointing the way and helping me to realize at age 13, that without polishing my intellect, studying and practicing, there is no true development. You opened my heart and creative mind. Like a caring father, you saved my life'. The emphasis on 'polishing the intellect', transmitted to Maupin by Harris, might originate in Hawkins.

[39] Paul Berliner (1994, 255) writes: 'In the preschool classroom where [saxophonist] Harold Ousley is music director, a large tapestry looms with the message "I Feel Therefore I Am". The words might well be an anthem for emotional substance, another important component of the improviser's art'. As we shall see at the beginning of Chapter 3, Hawkins considered that 'feeling' is a defining feature of jazz. The *Time* magazine piece of 31 August 1962 quoted below ends with these words: 'The secret, [Hawkins] says, is to play the way you feel: "If I felt like climbing, I'd sound like I was climbing a mountain"'.

[40] *Down Beat,* 20 October 1950, 3. British saxophonist Benny Green also commented on the balance of emotion and mind in Hawkins's playing: 'His mind could conceive patterns of great ingenuity and beauty. For all the apparent hot-headedness of Hawkins in full cry over a faster tempo or his seeming blind fervor on a ballad, the Hawkins mind behind the Hawkins heart was always perfectly poised, weaving ingenious melodic patterns almost mathematical in their precision and in the inevitability of their resolutions' (quoted by Nat Hentoff in the liner notes of *The Genius of Coleman Hawkins*, Verve MG-V 8261, recorded 16 October 1957).

[41] '[…] *autrefois sa manière de phraser, d'un goût peu sûr, donnait à ses variations un tour plutôt vulgaire, tandis qu'à present il est impossible d'entendre un phrasé plus intelligent que le sien*' (Panassié 1934, 142).

[42] DeVeaux 1997, 39. These, according to DeVeaux, are also attributes of 'the bebop revolution'.

enjoyed an occasional dish of rice and beans.[43] A slightly more adequate one proposed that his head was shaped like a bean. Randy Hutton claims that addressing Hawkins as Bean came 'from early tag "B&O": the Best and Only'.[44] But the most plausible explanation is that fellow jazz musicians called Hawkins 'Bean' because he was considered the most intelligent player, and had so much knowledge stored in his head (metaphorically represented by a bean). As Kenny Washington succinctly and percussively puts it: 'Bean = Head = Brains = Genius!!!!'.[45]

Of course this does not mean that Parker or other outstanding improvisers did not think. But for Hawkins thinking, and thinking in the moment (as opposed to relying at least in part on the acquired results of 'practice-time thinking', or 'formulas' meant broadly), was the priority. It shows in his playing at every turn, and especially so on ballads. This aspect of Hawkins's craft is what makes it such a demanding approach for the student of jazz saxophone. When studying Parker one learns, from solo to solo, a very precise and very well crafted language:[46] there is a useful aspect to it, it can be applied in a general manner on any tonal song. By contrast, each of Hawkins's best improvisations seems to be a world in itself, almost entirely elaborated on the basis of the materials offered by the song that he is playing on.[47] One cannot imitate Hawkins as one imitates Parker, because one has to try and get to Hawkins's thinking, and that thinking is not geared towards the production of a 'perfect' and exemplary language like Parker's, which

[43] James 1984, 11.
[44] Hutton 1998, 134.
[45] Email to author, 22 February 2017. The 'Bean' nickname, however, might have an entirely different provenance, since Hawkins used it himself to sign some of his letters as far back as 1934. See Chilton 1990, 101. Chilton (322) also recounts that 'Hawk's ability to take catnaps on the bumpiest of journeys led Jo Jones to bestow on him the nickname "Snooze"'.
[46] In this connection, Parker told saxophonist Paul Desmond, in a 1954 radio interview: 'I mean ever since I've ever heard music I've thought it should be very clean, very precise – as clean as possible anyway – you know, and more or less to the people, you know, something they could understand, something that was beautiful, you know'.
[47] As Henry Martin demonstrated, Parker also drew much from a song's materials, which enabled him not to be predictable in his application of formulas. See §2.4 and §2.5. The care given by Hawkins to a song is expressed in advice he reportedly provided to singer Thelma Carpenter: 'Carp, if you're putting a song across, you've got to regard it as if you're making love. You greet the song, then you slowly get closer to it, caressing it, kissing it, and finally making love to it, and when you bring your performance to a climax you don't just end it there and then, you have to be just as tender as you were when you began, so that your audience feels the flow of your expression and they end up peaceful and satisfied' (quoted in Chilton 1990, 158).

can be learned and imitated, but towards the constant engagement with the materials of a song.[48] To sound like Hawkins one must learn to think like him.[49]

This distinction helps to explain why both Gunther Schuller and Sonny Rollins consider the influence exerted by Hawkins to be of a different kind than that exerted by other great jazz musicians. For Schuller, Hawkins did not generate mere imitators but independent and influential artists:

> It is difficult to think of anyone in jazz who has had a greater influence on his musical contemporaries than Coleman Hawkins. Armstrong and [Earl] Hines are arguable contenders, particularly the former, since he deeply influenced even Hawkins. But while Hines and Armstrong had countless disciples and neophytes, they did not procreate as many *major* figures as Hawkins. He founded a veritable dynasty of tenor saxophone players […] Hawkins's mesmerizing hold on all who followed – except for Lester Young – was overwhelming, permanent, and unquestioned.[50]

For Sonny Rollins, those who studied Hawkins's music in depth found the key to the development of their own personal voice:

> There was a lot of people tried to play like that, and he set a style that a lot of people… Ben Webster, although Ben Webster has his own style also, but I think he got a lot from Coleman Hawkins. And my favorite friend Don Byas got a lot from Coleman Hawkins as you know. [I suggest Lucky Thompson] Very much so, Lucky Thompson, exactly.

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[48] That the products of a formulaic approach are easier to imitate is underlined in critic Don Heckman's (1963, 21) assessment of Lester Young: 'Certain pet phrases are always under his fingers, and he is not loathe to use them, no matter how frequently he has used them before. The important thing is that, more than any other improviser since Louis Armstrong, Young plays licks that are genuinely original, making him one of the founders of the vast fund of material that is the common property of all jazz improvisers'.
[49] Benny Golson makes the connection between sounding like Hawkins and thinking like Hawkins: 'I thought, first of all, like Coleman Hawkins, 'cause I wanted to play like him. I loved that sound so much' (Merod 1995, 64).
[50] Schuller 1989, 426.

> And also for me Eddie Lockjaw Davis I think you could say played… even though they had their own styles, you know, being a musician you understand what I mean. They had their own styles, but *playing like Coleman Hawkins opened up their styles for them*.[51]

As defined by Charlie Parker, 'music is basically melody, harmony, and rhythm'.[52] What makes Hawkins's playing – and by extension his influence on other jazz musicians – different from that of other great saxophonists in the mainstream jazz tradition is *how* he deals with these fundamental parameters of tonal music.[53] Rather than coming to a song with ready phrases, he engages in a continuous consideration of the possibilities enclosed in the song itself, and works primarily from them.[54] The study of his improvisational technique, meant broadly to encompass how he deals with rhythm, harmony, and melody, and how he develops his chosen materials, indicates how to centre one's improvisations on one's own active thinking, rather than on prepared formulas.

According to saxophonist Mark Turner, another improviser who shared Hawkins's rare capacity to deal with the full spectrum of musical possibilities without the help of formulas was Warne Marsh. The imperatives outlined by Turner in his appreciation of Marsh's craft could apply equally well to Hawkins (except, of course, for the 'drama', which in its positive definition is an essential feature of Hawkins's music):[55]

> I was attracted to him because he [improvised] without a whole lot of drama. It's basically content […] Content meaning: melodies, the way

[51] Rollins 2018. My emphasis. Hugues Panassié (1934, 144) also considered Hawkins's influence to be of a special kind: 'Hawkins is almost as copied by other tenor saxophonists as Louis Armstrong is by trumpeters. As his style is difficult to imitate, few musicians have managed to assimilate it'. '*Hawkins est presque aussi copié par les autres saxophonistes ténors que Louis Armstrong par les trompettistes. Comme son style est difficile à imiter, peu de musiciens ont réussi à se l'assimiler*'.
[52] To Paul Desmond in the 1954 radio interview quoted earlier.
[53] *Pace* LeRoi Jones, who contended (1963a) that 'The blues and jazz aesthetic, to be fully understood, must be seen in as nearly its complete human context as possible. People made bebop. The question the critic must ask is: why?'.
[54] A review of Hawkins's 'Body and Soul' in *Jazz Information* (22 December 1939, 6) challenges the view of Hawkins as a non-formulaic improviser: 'On "Body and Soul" […] Hawkins plays almost entirely without inspiration; his variations are mechanically constructed, of clichés, and without much logic'.
[55] Turner seems to be using the expression 'without a whole lot of drama' to qualify Marsh's attitude as he improvises. But if we apply the notion of 'drama', instead, to the character of the music, we observe a profound difference between Hawkins and Marsh, although they share a non-formulaic approach: the music of the former is dramatic, and that of the latter is not.

> he plays the harmonies, the way he places the notes, how he plays with the rhythm section to create a sense that he's always on the edge […] That's the main thing, about how he processes information. He almost never repeats himself. If you transcribe him [solos] after solos you'll see. Everyone has something that they do, certain language that they have. And some musicians, you can find more repetition in their language – this is not a bad thing, I think that's a good thing – but with him, very, very little. So I was looking for that: how is he able to take language, have it still sound familiar, and not repeat himself, and still keep it interesting, rational, forward-moving.[56]

Although opinions on such matters are likely to differ, it is held by many performers that in the mid-1940s the 'classic standard' for jazz performance practice was established, in the sense of T.S. Eliot's definition in his essay 'What is a Classic', and that Hawkins is one of its most important representatives. As pointed out by Eliot:

> It is sufficient that this standard should have been established once and for all; the task does not have to be done again. But the maintenance of the standard is the price of our freedom, the defence of freedom against chaos.[57]

In jazz the 'classic standard' is commonly called 'mainstream'. It could be defined in these terms: a music founded on the blues,[58] propelled by an even and wide 4/4 beat that swings,[59] determined by tonality and by blues modality,[60] using swing and bebop

[56] Interviewed by David Schroeder, 18 April 2015. Online: <https://www.youtube.com/watch?v=6utuBXxlz5s>, accessed 23 November 2020; quoted passage starts at [17:32]). Turner pauses to clarify that a formulaic approach is not negative per se, a remark that must be kept in mind when discussing Charlie Parker as being formulaic.
[57] Eliot 1957, 70.
[58] For Mary Lou Williams, blues is the 'spiritual feeling' of jazz (quoted in O'Brien 2004).
[59] Hawkins occasionally played in other time signatures. On the Max Roach album *Freedom Now Suite – We Insist!* (Candid Stereo 9002, recorded August 31 and September 6, 1960), 'Driva Man' is a 6-bar blues in 5/4 (it can be counted as a 12-bar blues alternating bars in 3/4 and 2/4). On *Randy Weston Live at the Five Spot* (United Artists LP UAL 4066, recorded 26 October 1959), 'Beef Blues Stew' is a blues in 3/4 (on 'Lisa Lovely', which is also in 3/4, Hawkins plays but he does not solo).

idioms,[61] operating on a repertoire mostly composed of Broadway songs and originals based on their chord progressions or on the blues form, performed with acoustic instruments and in small band format, and in which solos are taken in turn (as opposed to New Orleans jazz which put the emphasis on collective improvisation).[62] Its practitioners tend to share Eliot's proposition that 'the task does not have to be done again': the perimeter defined by the 'classic standard' is wide enough to justify a lifetime of study and practice and performance; the very fact that the standard is strictly defined is what allows the human mind to operate freely on its grounds. A view of this kind was expressed, for example, by Barry Harris in 1984:

> I consider bebop like the beginning and the end of the music so far. So that all there is left really is to try to build on to it, because I don't think it's going any higher. Some people might think that music has advanced, but I know, in my heart, it hasn't advanced.[63]

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[60] The blues inflections that are used by jazz musicians can be construed as a modal technique acting upon tonality. See Michel Andrico's comments, quoted in Panassié 1942/1967, 44-45.

[61] The term 'mainstream' (see Kernfeld 1994, 743 and 598) was reportedly coined by critic and producer Stanley Dance to designate the music made in the 1950s and 1960s by musicians from the Swing Era. But 'mainstream' soon came to include bebop musicians, an adaptation that bothered Dance (see Tucker 2004, 153). From a technical standpoint, it makes sense to see swing and bebop as part of a larger set of performance practices centred on tonality and on swing. Bebop is often construed as a revolution, a break from earlier practices. The contrasting view that swing and bebop can be seen as a continuum is expressed in the two following assessments of Charlie Parker's position in the development of jazz: 'Parker […] is a musical conservative, a caretaker of the tonal tradition […]' (Martin 1996, 113); and '[Parker's] vocabulary is basically the same as that of his colleagues; it is essentially a modified common-practice harmony' (Owens 1974, 15). The 'continuum view' is enacted in the recordings of the Jazz at the Philharmonic concerts organised for decades by Norman Granz, which often assembled swing and bebop musicians. It might at first appear to be a producer's concept, but the recorded results amply prove that these musicians shared a common performance practice and could effortlessly produce superlative music together.

[62] To clarify, this is not an attempt to define 'jazz' in general, but a specific approach to jazz. Other approaches serve as the 'classic standard' depending on each musician's personal inclinations. The specificity of 'mainstream jazz' is that it proposes a holistic model of music-making which does not downplay any fundamental parameter (rhythm, harmony, melody, form, swing, blues, imitation of the human voice, etc.) and which allows for total freedom, while providing enough rules and boundaries to keep the exercise of that freedom stimulating and challenging.

[63] In a documentary titled *Passing It On* (David Chan and Kenneth Freundlich 1984). Online, <https://www.youtube.com/watch?v=BEgdp9bM9qU&feature=youtu.be>, accessed 11 November 2020. Quoted passage starts at [00:49]. Thomas Owens (1995, 3-4) underlines the enduring legacy of bebop without implying, as Harris does, that no consequential progress has been made since: 'The first-generation beboppers […] inspired many great bebop musicians worldwide, musicians young enough to be their children and grandchildren. Each generation of players has added to this musical vocabulary without altering its basic syntax. Bebop, in fact, is now the *lingua franca* of jazz, serving as the principal musical language of thousands of jazz musicians'.

Two other prominent pianists have manifested their trust in a jazz tradition rich enough for future musicians to 'build on to it'. In a drawing made in 1977 according to her instructions by David Stone Martin, Mary Lou Williams represented jazz history as a tree. Its roots are planted in the soil of Suffering, and its trunk grows from Spirituals into Ragtime into K.C. Swing and into Bop, which is the last style to be represented. This suggests that Williams saw jazz as a continuum from ragtime to bebop, similar to the 'common practice period' which extends from the Baroque to the Romantic eras in classical music. Like Harris, she seems to consider that bebop is the common standard shared since by jazz musicians (individually represented as leaves at the top of the tree). Indeed later developments such as 'Avant Guard' [sic] and 'Commercial Rock' are represented as dead branches, dried out because they are not reached by the 'Blues sap' that irrigates the rest of the tree.[64] It should be noted that this rather severe depiction did not stop Williams from using rock beats or 'free' improvisation in her music, for example in *Mary Lou's Mass*.[65]

The same general idea is defended by Bill Evans. Using like Williams the metaphor of a tree, he comments on how musicians from different generations and backgrounds can function together on *Ben Webster and Joe Zawinul: Soulmates*:[66]

> One might at first think that these musicians would face […] a problem – that in some cases the differences in their ages and the varying eras out of which they have grown would create a disparity in style or craft that might preclude effective, mutually stimulating performance. Actually, however, these experienced and dedicated musicians have drawn their craft alike from the same basic traditions. All of them can, and at some time probably have, performed happily and effectively

[64] See reproduction in the liner notes of *Mary Lou Williams Presents: Black Christ of the Andes* (Smithsonian Folkways Recordings SFW CD 40816, released 2004, recorded August 1962 – November 1963). The image of the tree conveys a 'linear' conception of history which has been criticised by scholars (see Lipsitz 2004). See Givan 2018 for a discussion of Williams's convictions, and of how they relate to generally opposing ones held by Cecil Taylor.

[65] Smithsonian Folkways Recordings SFW CD 40815, released 2005, recorded 1969-1972. Listen also to Coleman Hawkins's comments about rock beats in 'Some Thoughts on Rock and Roll', on *Coleman Hawkins: A Documentary: The Life And Times Of A Great Jazzman, Newly Recorded In His Own Words*, Riverside 'Jazz Archives' LP 117/118, issued 1956.

[66] Riverside RLP 476, recorded 20 September and 14 October 1963.

> with jazzmen of all eras. Stylistic differences are transcended by a common intuitive understanding of certain challenges of their craft that are accepted by all […] It is based on a view of the trunk of jazz tradition as something that stands apart from specific 'styles'. To me, the only satisfying craft is one that stays in healthy relationship to this trunk and seeks to understand itself so well that it can reflect (with the least possible distraction on the part of style) the expressive desires of the individual's talent.[67]

Harris, Williams, and Evans, in various ways all express the same conviction: that, for all its diversity, jazz thrives on a core set of performance practices that can serve to unite its practitioners, a ground inherited by all and on which musicians can meet in spite of their individual differences of approach; and that this shared model is 'mainstream' jazz. In his youth, Hawkins would perhaps have frowned at such a proposition, but the evidence suggests that he gradually came to endorse something of the sort. Until about the 1950s, he defended progressive artistic views,[68] epitomised in the concluding remarks of a blindfold test published in the November 1946 issue of *Metronome*:

> That's amazing to me, that so many people in music won't accept progress. It's the only field where advancement meets so much opposition. You take doctors – look what medicine and science have accomplished in the last twenty or thirty years. That's the way it should be in music – that's the way it *has* to be.[69]

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[67] Evans 1963. Earlier in this essay Evans is critical of free jazz: '"Free expression" as such exists most perfectly in infants, and their irresponsible and disorganized behavior can hardly be called art. […] I think no freedom is worthwhile that is not the result of responsible dedication. Furthermore, freedom of expression does not have to be sought. It is the natural outcome of disciplined work. I fear that those who seek it as a separate goal must end in a area of feelings so subjective as to be unfit for accomplished harmonious group performance and perhaps uninteresting to anyone but the individual performer himself'.
[68] This topic is treated in depth by Scott DeVeaux (1997, 35-71). I return to this discussion in the Epilogue.
[69] Panassié (1942, 29) proposes a contrasting perspective: 'Though it is legitimate to speak of perpetual progress in the sciences such as physics or chemistry, the same cannot be said of the arts. Here it is no longer a question of a purely intellectual knowledge – knowledge which may be verified by experiment. In music, as in painting and poetry, the creative gift is essentially incommunicable. When an artist of genius dies, his gifts die with him. Those who come after can admire his work and find inspiration in it, but if their

During the blindfold test, Hawkins expressed disdain for his own efforts in the 1920s ('I thought I was playing all right at the time, but it sounds awful to me now'), and for Dixieland musicians such as Muggsy Spanier ('I know why they play that way – because they can't play any better'). In later years, Hawkins remained unimpressed by 'traditionalists' playing in the style of the 1920s, but also became critical of the evolution of jazz, especially of the avant-garde.[70] Consequently, in interviews from the 1950s-1960s, he tended to defend more conservative artistic views. This trajectory shows a conception of the development of art similar to that of Eliot, Harris, Williams, and Evans. For Hawkins, jazz 'had' to evolve towards its full potential until the late 1940s, but some of the changes implemented afterwards were felt to diminish the art form. Accordingly, he affirmed the action of playing music over the abstract ideals of progressivism: 'I don't think about music as being new or modern. I just play'.[71] To a *Time* journalist, interviewing him in 1962, he said:

> Good playing, precise playing has no date. It goes on and on forever […] There has been no evolution in jazz; it's the same old stuff, interpreted and played differently. Laymen make a big deal about such-and-such a style, but it's all a matter of what a man is thinking.[72]

Fifty years after his death, Hawkins remains one of the most accomplished improvisers in the classic or 'mainstream' tradition. His ability to fully express rhythm, harmony, melody, and their fruitful interlocking, while swinging constantly and without the recourse to formulas, is still unsurpassed. He is as relevant today as ever, and he will be as long as musicians keep improvising in a tonal and swinging context. He personifies

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gift is not as great, they can never equal him. The notion that progress is inevitable in the domain of inspiration and artistic creation is not realistic'.

[70] See §1.5.

[71] Hentoff 2010, 26. In the 13 April 1961 issue of *Down Beat*, Hawkins commented: 'You know, the young ones get confused about me being able to play with them. What they don't know is that I got tired of this chord, this one and that one by the time I was thirteen. Hell, I was listening to Stravinsky when I was a kid. You've got it. It's not a question of being modern. It's just music […]' (quoted in Chilton 1990, 332-333).

[72] *Time* magazine, 31 August 1962. Partially quoted in Chilton 1990, 339. Might it be – in the light of Hawkins's insistence on the primacy of thought, discussed earlier – that 'it's all a matter of what a man is thinking' refers to the performing musician and not to the layman's opinions? In which case it would mean that thinking as they perform, rather than stylistic evolution, is what keeps musicians relevant, and their music timeless.

the 'challenges of [the] craft that are accepted by all' evoked by Evans; studying his music helps developing a 'craft […] that stays in healthy relationship to [the] trunk' of the jazz tradition. If we are tempted by the notion that jazz has somehow moved past Hawkins, we should question our own senses rather than his playing, as suggested by Martin Williams: 'Hawkins is a phoenix: he seems to be re-born periodically as a major jazzman – of course, it's quite possible that it is only our ears that are re-born'.[73] For a mainstream jazz tenor saxophonist in the 21st century, taking Hawkins as model is a sure way to learn both the classic standard he helped to establish and the freedom that goes with it, a freedom he exemplifies in his playing like few other improvisers. It is in this sense, perhaps, that we should understand Rollins's remark about Byas, Thompson, and Davis, that 'playing like Coleman Hawkins opened up their styles for them'.

§1.2 State of Research

No full-length technical investigation of Hawkins's music has been undertaken in the last thirty years. The situation described in 1991 by Mark Tucker has not changed: 'Hawkins's music deserves more detailed, incisive analysis, expanding on the work of DeVeaux in "Jazz in Transition" and Schuller in *The Swing Era*'.[74] Studies of this kind have been done on other important jazz musicians, such as Thomas Owens (1974) on Charlie Parker, Steve Larson (1987 and 2009) on Bill Evans, Milton Stewart (1973 and 1979) on Clifford Brown, Lewis Porter (1985) on Lester Young. Coleman Hawkins, in spite of his historical importance as the 'Father of Tenor Saxophone'[75] and as one of the masters of tonal jazz improvisation, has surprisingly not been studied much from a technical perspective.

Exceptions include Alan Henderson (1981), the only doctoral dissertation entirely devoted to Hawkins so far, discussing his music of the 1930s. Since my thesis mostly draws from recordings made in the 1940s, it complements Henderson's work, especially insofar as Hawkins's style evolved dramatically in the second half of the 1930s

[73] *Down Beat* review of *The High and Mighty Hawk* (Felsted SJA 2005, recorded 18-19 February 1958), quoted without date in Poll Winners Records 27235 CD re-issue. In *The Jazz Tradition* (1970/1993), Williams titled the chapter devoted to Hawkins: 'Some Comments on a Phoenix'.
[74] Tucker 1991, 324.
[75] Stewart 1972, 60 and 63.

(abandonment of *staccato* in favour of *legato* phrasing, stream-lining of rhythm allowing a clearer interlocking of melody and harmony, mellower and lusher sonority, etc.).[76] In spite of this evolution,[77] Henderson identifies several features of Hawkins's playing that I have also found to take place in the music I concentrate on. Gunther Schuller (1989) analyses Hawkins's successive styles in a chapter enriched with detailed transcriptions, with a focus on 'Body and Soul', Hawkins's most famous recording. This constitutes the first published scholarly study of Hawkins's music, its comparatively short length compensated for by its density. Of a similar 'short-but-intense' kind is Zsoldos's master's thesis (2000), which concentrates on some of the most important ballads recorded by Hawkins from 1939 to 1945: 'Body and Soul',[78] 'How Deep Is the Ocean', 'Stardust', 'Rainbow Mist', and 'April in Paris'. Zsoldos offers carefully elaborated transcriptions and meaningful insights into Hawkins's procedures. As attested in several references to his thesis, I have often reached similar conclusions by examining other Hawkins solos, which seems to confirm our common findings. Zsoldos's thesis, in spite of its concision, manages to get at the core of Hawkins's technique and presents it lucidly. A few other scholarly works, such as those by George Weremchuk (1998), Robert Gardiner (2008), and Roland Davis (2012),[79] incorporate some Hawkins solos, but mostly use them as points of comparison with solos by later saxophonists.

DeVeaux's influential book (1997) focuses on the years that led up to the classic bebop recordings of the mid-1940s. The main protagonists in his narrative are Charlie Parker and Dizzy Gillespie. Hawkins is discussed at length and presented as 'the prototypical progressive jazz musician' (39) and a crucial forebear who cleared the

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[76] Panassié (1934, 143-144) situates some of the shifts in Hawkins's playing earlier in the decade: '*Depuis 1932 on ne trouve plus chez Hawkins les phrases violentes, désespérées qui rendaient un son si tragique, mais des courbes d'un charme exquis, pleines de douceur mélancolique*'. Writing in 1934, Bettie Edwards foresaw that Hawkins would develop considerably in the subsequent years: 'Musically, Hawk is scarcely out of the embryo stage. Powerful as is his playing, it is still far from perfection, and the cascades and waterfalls he designs in music are only forerunners of the greater rivers of created sound which he is certain to mature […] The next five years will count more than the 30 that have passed, and for us remain the thrills that are to come' ('Colossus of Reeds', *Melody Maker*, 7 July 1934, 9).

[77] Which was lamented by some, see for example 'Where, Oh Where Has The Old Hawk Gone?' in *Down Beat,* May 1, 1944.

[78] The iconic 1939 recording of 'Body and Soul' has also been treated by Dennis Moorman (1984), by Gunther Schuller (1989), by Scott DeVeaux (1997), by George Weremchuk (1998), and by Robert Gardiner (2008). Transcriptions by Hoyt Jones appeared in several issues of *Down Beat* after the record was released (17 July, 15 September, 1st October 1940; see excerpts in Kernfeld 1994, 556-557).

[79] Davis looks at 'Rifftide', 'Stuffy', 'Chant of Groove', and 'I Can't Believe that You're in Love with Me'.

ground for the advent of bebop. Hawkins also serves as a case study to investigate issues of race, economics and society linked to the conditions of African-American musicians in the 1940s, and to discuss the notion of 'progress' and its consequences both on the activities of performers and on the scholarly reception of their work. The impact of Hawkins on bebop and vice versa is illustrated with numerous musical examples. The basis for the book was DeVeaux's doctoral dissertation (1985), which was centred on the role played by Coleman Hawkins and by trumpet player Howard McGhee in the transition from swing to bop; it contains an extensive appendix of transcriptions of Hawkins compositions and solos. Since DeVeaux is mostly interested in the preparation of bebop he has transcribed many medium and medium-up tempo numbers,[80] and comparatively few ballads ('It's The Talk of the Town', 'Stardust', 'Leave My Heart Alone'), none of which overlap with the ones I have chosen.

Coleman Hawkins's life has been the subject of a thoroughly researched biography by John Chilton (1990), which draws from most of the available sources (oral history, interviews, articles, books, letters) to provide a detailed and sensible portrait of the saxophonist. The exhaustive information collected by Chilton has been useful in establishing the context of the music that I present and analyse, and especially as a source of Hawkins quotations.[81] Chilton discusses the most significant recordings with a remarkable understanding of what makes each of them important or special. His aim is to direct his readers to these sides and tell them what to listen for, not to provide them with in-depth analyses. No contribution is made here towards an exploration of the technical aspects of Hawkins's playing. The breadth and scholarly precision of this biography renders earlier efforts by Albert McCarthy (1963) and Burnett James (1984) somewhat obsolete, in spite of their numerous enlightening remarks, although both remain valuable as succinct texts by which to attempt a first approach to Hawkins's music.

In addition to the writings mentioned above, Hawkins also appears in every jazz history textbook (which tend to centre on Hawkins's 1939 'Body and Soul' and on the

[80] 'Woody'n You', 'Disorder at the Border', 'Sportsman's Hop', 'Stumpy', 'On the Bean', 'Bean Stalking', 'Night Ramble', 'Ladies Lullaby', 'Rifftide', 'Hollywood Stampede', 'Bean Soup', 'Too Much of a Good Thing', 'Stuffy', etc. See DeVeaux 1985, 387 ff.

[81] Quotations were also drawn from the newspaper clippings located at the Institute of Jazz Studies at Rutgers University. David Dann, whom I thank heartily, sent many articles gleaned from his extensive collection of jazz periodicals, including those from *Jazz Information* used in this chapter.

rivalry with Lester Young), and is the subject of entries in encyclopedias in many languages. Articles about him abound in the specialised press (*Down Beat, Melody Maker, Esquire, Storyville, Jazz Record, Jazz Information*), with some published in important daily papers or periodicals (*The New York Times, The New Yorker*) and non-musical scholarly journals (Giddins 1998, Young 1981, Thompson 2004). He appears in poems (Harper 1977, Wormser 1985) and inspired a concertino for alto saxophone (see Camus 1983). Musicians who have known him or worked with him remember him fondly, and as a result he is featured in several collections of oral history (Shapiro and Hentoff 1955*,* Gitler 1985*,* Taylor 1977). Interviews with Hawkins are numerous and often informative (Jones 1988*,* Feather 1957*,* Hawkins 1956). Chapters devoted to him can be found in several seminal books on jazz (Williams 1970, Schuller 1989, Stewart 1972, Panassié 1946, Balliett 1962 and 1996).

Jean-François Villetard (1984/85) and Jan Evensmo (1975/2012) have written respectively a discography and a solography covering solely Hawkins recordings.[82] Evensmo writes abundant aesthetic evaluations which are useful to direct listeners to recordings they might not yet be familiar with. Illuminating historical and discographical commentaries have been provided by Dan Morgenstern (1987) for the *The Essential Keynote Collection 6: The Complete Coleman Hawkins* and by Loren Schoenberg (2012) for the Mosaic box set *Classic Coleman Hawkins Sessions 1922-1947*. An anthology published in France, titled *Coleman Hawkins: The Quintessence 1926-1944*, benefits from liner notes by novelist Alain Gerber (1995), whose skill at evocating colourful characters suits Hawkins particularly well. As a long time member of the Fletcher Henderson organization, Hawkins is also featured prominently in Walter Allen's exemplary bio-discography *Hendersonia.* Teddy Doering (2001) writes a comprehensive survey of Hawkins's recordings, with some biographical elements. It is lavishly illustrated and quite exhaustive, but somewhat marred by the fact that it routinely recycles texts from LP or CD liner notes, translated into German and not properly referenced.

[82] Another discography, which I have not managed to consult, is listed in Kernfeld 1994, 507: 'Delmarche, Y. and I. Fresart. 1983? *A Discography of Coleman Hawkins 1922-1969*. N. p., n. d.'

Finally, Hawkins has recently been the object of a doctoral thesis by saxophonist Mike Fletcher (2018). The main focus is on Fletcher's performance practice, as he uses material from Hawkins's solo recording 'Picasso' in his own improvisations on the alto saxophone within the scope of a composition that also explores Pablo Picasso's variations on Diego Velazquez's *Las Meninas*.[83]

§1.3 Sources

For the most part, I have drawn from what can be considered 'primary' sources, although each raise specific problems. Hawkins himself shed some light on his own instrumental and theoretical techniques in three articles published in the British magazine *Melody Maker* in 1934 (see §1.1 and §1.6). The question of the authenticity of these articles remains open, but they nonetheless contain precious and apparently accurate information, which suggests that they were either penned by Hawkins himself, as claimed, or that they were the result, written by an anonymous journalist, of interviews with Hawkins during which he explained aspects of his playing. I discuss the contents of the third article below as part of the theoretical background for this thesis.

In numerous interviews throughout his life Hawkins gave clues as to what he considered to be valuable jazz performance practice, and I have relied on these as indicators of what to look for in his improvisations. Eric Porter (2002, xx) argues that the words of African American musicians, when reported by white critics, might have been manipulated, resulting in 'collectively created' texts. In this view the Hawkins interviews I have relied upon cannot be considered 'primary' sources anymore. As a remedy for this problem, Porter suggests that one should 'look for consistency across a range of sources concerning that musician'. In the case of Hawkins, and especially when it comes to his relationship with Western classical music, this consistency is easily established, for he

[83] My current research project is a historical and technical discussion of the three unaccompanied sides recorded by Hawkins in the 1940s, including 'Picasso', and it will be interesting to compare my transcription to Fletcher's, and also to read in his thesis in which ways Hawkins's example can inspire a saxophonist in the 21st century.

refers to it in similar terms across the years and when speaking to various interviewers; furthermore it is confirmed by interviews with other musicians who knew him well.[84]

An extensive interview with Hawkins was recorded in 1956 and published as a double LP albums titled *Coleman Hawkins: A Documentary: The Life And Times Of A Great Jazzman, Newly Recorded In His Own Words*.[85] The tone and the opinions expressed by Hawkins generally corroborate the contents of the interviews published in written form.[86] In the section headed 'Some Thoughts on Today and Tomorrow', Hawkins is asked how he feels about using 'French horns, oboes, flutes and so on':

> Oh, I think that's marvelous… that's the ideal, that's the kind of band, yeah… good gracious […] About eleven brass, look down here you got two-three cellos over here, and here some great big-sized violins, what they call violas, and over here is your violins, and a couple of flute players over here, and woodwinds and all of them, I mean, that's… that's… that's *it*, you know.[87]

The main source for this thesis is a selection of recordings by Coleman Hawkins, most of them studio recordings. Saxophonist Bud Freeman said: 'His records are a pretty

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[84] If we have to be skeptical about the way white critics in the 1940s-1960s transmitted the words of African American jazz musicians in printed articles, then the same skepticism should be directed towards ethnomusicological studies which rely on fresh interviews of musicians. The deontology of the latter might be more strict, but in defense of the former, critics and producers were often friends with their interviewees, and they might have had a sincere desire to put across their words as straightforwardly as possible. For example, Dan Morgenstern told me that he often socialised with Coleman Hawkins at the Copper Rail (see footnote 86) or at his home (personal communication, New York, 11 January 2017).

[85] New York: Riverside 'Jazz Archives' LP 117/118.

[86] Hearing Hawkins speak confirms Dan Morgenstern's (1973) description: 'At the soulful establishment across the street [from the Metropole], the Copper Rail, the players and their friends congregated to eat and drink. Even when they were three-deep at the bar, you could hear Hawk's laughter, or his voice emphasizing a point, from anywhere in the house. Though he was not a large man, his voice had a presence remarkably similar to his saxophone sound'. Regarding the Metropole, where Hawkins regularly played in the late 1950s, see Chilton 1990, 284-285.

[87] Hawkins continues, showing that he is a realist at heart: 'Especially with this eleven brass [chuckles]. Eleven brass, the great big tuba player back there and all of that. That's the kind of band they have, but… what are you gonna do with it? [chuckles] Get together and *starve to death*, that's *all* you can do with it. Starve to death. Everybody's gonna starve. Can't make it'. In a blindfold test published in the November 1946 issue of *Metronome*, Hawkins does not show much enthusiasm for big band recordings by Boyd Raeburn or Bobby Sherwood, which are, in his own words, 'really on the classical side' and 'semi-classical'.

good example of Coleman's work, but I've heard him play even much more in person'.[88] If live recordings indeed convey an unmistakable atmosphere and sometimes a heightened intensity, the best studio recordings of the 1920s-1940s benefit formally from the concision imposed by the short duration of 78 rpm discs.[89] Experienced musicians like Hawkins can give their best in the studio as well as on the bandstand, and their studio recordings can be considered to be representative of their art.[90] Furthermore, jazz musicians in those years learned the music from studio recordings, unless they made their own airchecks from live broadcasts. In the late 1940s and in the 1950s, Sonny Rollins heard Hawkins perform regularly, but this was not enough:

> I heard Coleman Hawkins, I used to go to… Oh God, I can't remember… But I remember Coleman Hawkins was playing on 52nd Street. That was way back… I also was listening to everything that Coleman Hawkins put out, I got it. Any record that he had put out… I had it. If I could get it, you know, if I found out there was a Coleman Hawkins new record, I got it.[91]

Of the performances analysed in this thesis, only 'I Can't Get Started' and 'If I Had You' come from live recordings. In both cases I briefly discuss how this might have affected Hawkins's usage of the technique under scrutiny (see §5.6 and §6.4).

[88] *Down Beat*, 20 October 1950, 3. Berliner (1994, 105-106) discusses advantages and inconveniences of recordings for learning jazz, when compared with live situations: 'Despite the value of recordings as an important source of musical vocabulary – especially during major periods of innovation in jazz – they are not equivalent to live performances'.
[89] In this regard it is fascinating to compare the 1939 studio recording of 'Body and Soul' with a live performance recorded on 17 May 1940, which was recently discovered by saxophonist and scholar Loren Schoenberg and included in *The Savory Collection: Volume 01* (digital album issued in 2016 by the National Jazz Museum in Harlem).
[90] Henry Martin (1996, 143) remarks that live recordings tend to be more exciting, and adds: 'Yet it can be argued that the best jazz recording from the point of view of the long-lived structural qualities of the solos themselves takes place in the studio'.
[91] Rollins 2018.

§1.4 Transcriptions

The method I apply is standard in jazz scholarship, after the example of André Hodeir and Gunther Schuller: listen to the record under scrutiny, transcribe it as accurately as possible, analyse it, and bring the results together in the form of text and musical examples. In my case, my experience as a tenor saxophonist allows me to study Hawkins's solos directly on the instrument. Thus the music in this thesis has been approached in three ways. I repeatedly listened to the recorded solos; I learned them and played them on the saxophone; and only then did I write them down. Occasionally, I wrote them down first, then studied them on the saxophone. These three perspectives (ear, instrument, notation) combine to produce the examples and their analyses.[92]

I have not used any transcription software, and not slowed down any passage; when I have written the solo directly without playing it on the saxophone first, I have used a tuning fork for reference. This method may have resulted in some errors. But in doing so my aim is to notate what is hearable by a trained musician without external aids, because I believe that there is a connection between the capacity to hear what a performer has played and the extent to which that performer internally heard what she or he played.

Hawkins played most phrases, no matter how complex, in a remarkably well enunciated way: he meant every note he played. As proven by his innumerable recordings, almost none of which are marred by a mistake, an imprecision, or even a hesitation, the man firmly controlled all aspects of music making. Witness Whitney Balliett:

> [By the mid-thirties] his technique had become infallible. He never fluffed a note, his tone never shrank or overflowed – as did Chu Berry's, say – and he gave the impression that he had enough equipment to state in half a dozen different and finished ways what was in his head.[93]

[92] I have added to the audio files accompanying this thesis a recording in which I perform Hawkins's improvisation on 'How Deep Is the Ocean'.

[93] Balliett 1962, 39. Notice again the reverence for Hawkins's intellect, discussed in §1.1. A review of 'She's Funny That Way' and 'Meet Dr. Foo' which appeared in *Jazz Information* (14 November 1939, 4) shows that some critics considered that Hawkins's technique declined in the late 1930s: 'Those who maintain that Coleman Hawkins is now playing "greater tenor than ever" should be pleased with this […]

It seemed that Hawkins could execute exactly what he conceived in his mind in the same instant. In his playing, thinking and performance are inextricably related.[94]

Because of the clarity of Hawkins's intentions and of the precision in their execution, there is no real difficulty in transcribing his solos in terms of the notes that he plays. The difficulty lies rather in the rhythm, and for two reasons. First, at slow tempi he controls extremely complex rhythmic figures, as we shall see in Chapter 3. The transcriber must first understand what kinds of subdivisions and of rhythmic figures are being used, and then find a way to write them down in a legible way. When the transcriber's rhythmic faculties do not match Hawkins's, imagination must be used to compensate for this deficiency by trying out several possibilities until the one that seems most plausible is found. Second, his rhapsodic delivery of these rhythmic figures is such that one could hear the same phrase on either side of the beat, or, when he uses higher subdivision rates, on either side of the eighth note. A choice has to be made, and in some instances I have indicated in the text when a given passage could be heard otherwise (in Appendix III, I briefly discuss the difference between a phonemic and a phonetic transcription).

I have not used arrows to indicate delays or anticipations in phrasing, and very few dynamic, expressive or phrasing marks, because my main purpose is to discuss notes and rhythms and only occasionally how they are performed. Since almost every note receives from Hawkins some kind of spin, be it rhythmic or sonic or dynamic or expressive, the transcriptions would become over-charged with musical symbols. I have preferred to keep my transcriptions as simple and lucid as possible, with the idea that they are meant to be used in conjunction with the records. When these two 'texts' are used together, elements of phrasing, timing, and expressivity become more evident on the recording, by contrast with the written page's static nature.[95]

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disc […]. To our mind, it's hard to say which is the more disappointing: his sterile, meaningless improvisations on the slow tune, or his hopeless, heart-breaking attempt, in the Foo side, to play as powerfully and perfectly as he once did, which results in a strained and monstrous, squeaky sort of tone'.

[94] It is telling that when criticising Hawkins's playing of the late 1930s, Walter E. Schaap refers to Hawkins's mind, albeit in negative terms: 'His present habit of playing at random everything that comes into his head is directly attributable to the burden that fell on his shoulders as lone melody-man, with his Trio, for over a year'. ('Jazzmen Abroad', *Jazz Information*, 24 November 1939, 4).

[95] Regarding the complementarity of recording and transcription, pianist Bill Evans (1963) comments on what he considers a 'fortunate historical coincidence': '[…] the emergence and evolution of jazz has paralleled the invention and continued improvement of sound recording. It is not difficult to see that although musical notation is a device sufficient to preserve, record, and propagate music as traditionally

Examples are written in treble clef and in B♭, the key in which the tenor saxophone is pitched, in order to correspond to how Hawkins would have envisioned the music in his mind as he was improvising, a valuable feature since my aim is to examine his thinking. Another advantage is that a saxophonist reading these examples knows where each note lies on the instrument, and can relate to the physical aspects of the music under discussion. To obtain the actual sound of Hawkins's improvisations, in concert pitch, examples must be transposed a ninth down, and written in bass clef.

§1.5 Theoretical Framework

I have tried to approach Hawkins's music from what was, according to numerous interviews and testimonies, his own background: the theoretical apparatus of Western classical music. To be more precise, I use the theory that was taught at the Conservatoire de Paris at the turn of the 20th century, and which served as the basis for the teaching of Nadia Boulanger.[96] In this approach to tonality, chords are seen as the result of the convergence of individual voices, as opposed to more recent harmony textbooks which tend to present chords as discrete objects.[97] As a result it encourages musicians to think first in scale degrees, and only second in chord tones. These two modes of thinking are not exclusive. In the key of F, regardless of what the bass is doing, a B♭ in the melody is scale degree $\hat{4}$; if the underlying chord is C^7 then B♭ is also the 7th of that chord. This contrapuntal approach puts the stress on the melodic or horizontal aspects of music making. Although differences existed, for example between the French and the German schools, the kind of theory I will be using is nearer to what Hawkins would have been taught as a kid than the theory currently used in jazz schools.

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composed in Western culture, there could be no conceivable system of notation that would allow a true and faithful recreation of the music of interpretative performers'. Whitney Balliett (1962, 51) shared Evans's enthusiasm for sound recording: 'The best thing that ever happened to jazz – the most evanescent of arts – is the recording machine'.

[96] In New York City I studied privately with Kendall Briggs, who is a student of Mary Anthony Cox, who was a student of Boulanger.

[97] In a system used in the United Kingdom, chord inversions are designated with letters, thereby occulting what chord tone happens to be in the bass and the intervals it forms with other voices. Such an approach, although seemingly easier at first, tends to hide that a chord is the result of contrapuntal activity, and to conceptualise it as an independent object, regardless of where the voices that form it come from and where they go to.

When faced with what he saw as an unsatisfying instrumental standard in avant-garde saxophonists from the 1960s, Hawkins wondered whether he should start teaching:

> There's a lot of things I've still to do, and maybe I should teach. There's those newspaper cats up in Sweden who want to get me a school. But I don't know. Some kind of way I've got to start teaching, got to teach these boys how to play. Someone's got to do it, no question about that, and it shouldn't be too difficult […] These kids are playing nothing – nothing. Well, nothing that I've heard. So I feel it is something I ought to do eventually, to get around to teaching.[98]

Hawkins said these words to Max Jones in December 1967, but he never got around to teaching, for he died on May 19, 1969. Barry Harris was Hawkins's last pianist, and he dedicated his life to teaching. Although its main reference is the music of Charlie Parker, we can surmise that to some extent Hawkins's conceptions have been influential in the development of Harris's pedagogical approach. In this sense Harris's method can be seen as a kind of 'secondary source' providing useful tools with which to analyse the music of Coleman Hawkins.

I attended Harris's workshop in New York assiduously for about two years, and continued to follow it regularly as long as I lived there (2004-2014) and during my visits after I moved. His conceptions deeply influence my understanding of jazz performance practice and of theory. As a consequence the general theoretical outlook that governs this

[98] Jones 1988, 57. In the passage from his essay 'What is a Classic' quoted in §1.1, T.S. Eliot claims that 'the maintenance of the standard is the price of our freedom, the defence of freedom against chaos'. Hawkins's desire to teach can be understood in this connection, as an effort to maintain the tonal-swinging tradition in the face of the perceived 'chaos' that governs free jazz. In the same interview Hawkins says of the avant-garde saxophonists: 'I don't think they're ready yet. Not those I've heard. I mean, I don't hear anything in what they're playing, just noise and crap'. Hawkins's critical stance towards some of the practices associated with free jazz is also shown in an anecdote told by Eddie Locke: '[…] We were working at the Village Vanguard, and Coltrane and Pharoah Sanders were also there. Usually, Coleman would just sit through other people's sets, but this time he couldn't. It was really funny for him to make the effort to go up all those stairs to get outside. "I can't stand that any longer", he said. But he never closed his mind to anything, and that was the only time I remember something like that happening' (Dance 1974/1979, 159).

thesis owes a lot to Harris's teaching.[99] The similarities with Boulanger are striking: Harris, too, advances a primarily horizontal view of harmony centred on the movement from dominant to tonic, as opposed to 'chord-scale' theory, which tends to construe each chord as a separate entity.

§1.6 Hawkins's Method

As already mentioned, Hawkins, during his stay in England in the 1930s,[100] provided some insights into his approach to jazz improvisation, or 'hot playing', in three contributions to the periodical *Melody Maker*. The first two instalments mostly dealt with sound emission and instrumental technique, while the third one addressed the topics that form the core of this thesis. This appears to be the most detailed document available regarding Hawkins's approach to improvisation, and as such it provides important information towards the selection of the appropriate theoretical framework with which to analyse his music.

In answering the question 'What is hot playing, anyway?', Hawkins insists on the principle that mere copying does not lead to eminent artistry: one needs to ask and understand how improvised phrases are conceived, rather than to reproduce them mechanically. Such an understanding allows a musician to seek her or his own voice – not for nothing does the following excerpt bear a 'Be Original' header:

> But what hot playing does *not* mean is a capacity for listening to hot records and using somebody else's breaks. That's the trouble with a lot of fairly-advanced horn players. They are so eager to play hot that they spend hours listening to records, memorizing or writing down the bits that sound good, practicing them up, and using them in their solos. I suppose this helps their technique some, but it also stultifies their mental powers. Listen to as many good players as you can, by all

[99] Outlined by Berliner (1994, 165-167). Many videos made during Harris's classes are now easily accessible on YouTube, including some made by Frans Elsen during Harris's visits to Holland in the 1990s. Polish pianist Tomasz Białowolski has recently produced a series of educational videos in which he presents some of Harris's teachings in a remarkably clear way.
[100] See Chilton 1990, 92-109.

> means; copy their *method*, if you like, but don't copy what they play, because that will merely make you a mimic. The real hot players are guys who weave musical patterns in their own way, not in someone else's.[101]

'Method', the keyword in this passage, reappears as the title of the next section of Hawkins's article:

> Here let me say that I never write down my choruses. I make 'em up as I go along, and the ideas are suggested by the way the chords run, and by the tune. But it is a strange fact that my improvisations of any particular chorus seldom vary very much. That is to say, if I have to play a chorus once and then, long afterwards, I have to repeat it, I will play more or less the same thing that I did on the first occasion. I am not conscious of imitating myself, as it were, and the repetition is not so much memory as method.[102]

What comes across forcefully from both these quotations is that having 'method' allows Hawkins not to function automatically. Method is opposed both to mimicking someone else's phrases unthinkingly, and to reproducing one's own phrases because one has played them already in another context (what Hawkins calls 'memory').[103] Another point of interest is that Hawkins makes it clear that he does not prepare his choruses in advance, that he improvises constantly, and that his ideas are not spontaneously generated

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[101] 'HOT PLAYING – No. 3 of a Series by COLEMAN HAWKINS', *Melody Maker*, 28 April 1934, 5 (see Appendix V). Italics in the original. Hawkins's stress on originality resonates with Schuller's and Rollins's views that his influence on other saxophonists allowed them to be more themselves (see §1.1).

[102] *Ibid.* Italics in the original. In many recordings made at the time of this article, and of which there is an alternate take, Hawkins's two solos are indeed remarkably similar, without being duplicates. It appears that he applies an overall 'plan': the dynamic shape, the salient features, and the most arresting phrases of the solo being usually present in both takes. See for example the two versions of 'Jamaica Shout' (Parlophone 265144, recorded 29 September 1933), of 'Meditation' (Decca AM-178, recorded 6 August 1935), and of 'I Only Have Eyes For You' (Decca AM-150, recorded 4 February 1935).

[103] For Hawkins, perhaps, even the use by an improviser of materials played by other musicians at the time of soloing (or 'motivic interaction') could be viewed as a form of copying. A reluctance to interact in this fashion, resulting from Hawkins's praxis of starting from his own ideas, would put what Scott DeVeaux designates as the 'monologic' aspect of his playing into a more positive light. See §2.9.

but that they 'are suggested by the way the chords run, and by the tune'. This affirmation points to what is perhaps the fundamental aspect of his technique: Hawkins always starts from the song, and keeps a tight and almost constant connection with either its harmonic framework or with its melody.[104] Hawkins uses strong wording when he describes the fate of those who are content with being 'mimics': their 'mental powers' become 'stultified'. The insistence on the importance of the mind – of thinking as one improvises – and the notion that when an improviser stops thinking the danger is that she or he will start copying, are in line with what Hawkins told Leonard Feather two decades later, in the passage quoted in §1.1: 'improvising is playing with a lot of thought behind it'.

The question of knowing to what extent an improviser may or may not be conscious of what she or he is improvising is a notoriously vexed one.[105] We can take seriously Hawkins's statement that 'improvising is playing with a lot of thought behind it' without implying that he was necessarily aware of everything that was taking place in a given solo. This is precisely where scholarly work comes in. By stopping the flow of music and considering it on paper, we have the opportunity to look at details that may well have escaped the attention of their author.

André Hodeir wrote: 'Composers in the European tradition conceive of a phrase by itself and then make it fit the requirements of a given instrument. The jazz improviser creates only in terms of the instrument he plays'.[106] This statement – a 'gross simplification' according to its author – should not be taken too strictly: it does not imply that classical musicians do not know their instrument's possibilities, or that jazz improvisers do not think theoretically as well as idiomatically. As a broad categorization, however, Hodeir's point is interesting, insofar as it pertains to the distinction between the process of thinking an idea and the process of executing that idea. Although he 'virtually invented the jazz saxophone'[107] and established many of its sonic, technical, and expressive features, more than most other jazz improvisers Hawkins can be said to have put 'notes first', to start from an idea that is only subsequently channeled through the

[104] These two aspects are explored in detail in chapters 4 and 5. It should be noted that one of the techniques of improvisation often taught in performance programs, usually designated as 'playing out', runs exactly contrary to Hawkins's: its aim is to generate independent materials that the improviser can use in any situation and on any song, regardless of its melody and chord sequence.
[105] See §2.5.
[106] Hodeir 1956, 153. Also see Gushee 1981, 240.
[107] Schuller 1989, 426.

saxophone. At any rate this notion ties in neatly with Hawkins's own insistence that thinking is central to improvisation.

Let us look further into the third article contributed by Hawkins to *Melody Maker.* In the following passage, he comments on short transcriptions of his solos on 'Donegal Cradle Song' and on 'Firebird',[108] providing a telling illustration of how he conceptualised the act of improvising on a tonal chord progression:

> The actual chords on which I built are suggested by the bottom line. They are A min D min | A min E^7 | A min | D min E^7 | A min | a chromatic progression of inversions of D^7, G^7 and C^7 | D min E^7 | and A min. Study the make-up of these chords and notice my use of passing notes – the B in the first bar; the A in bar 2 (suggesting G sharp, and so making E^7) and so on. It is hopeless to try to build up entirely on the notes of a chord – you must employ some others, and it is these passing notes that make all the difference. […] Now we'll turn the record over and have a look at *Firebird*, which is a faster and more lively affair. The extract that I give from this […] shows passing notes carried to extremes. It comes right at the end of the chorus, and is unfinished in the eighth bar because the brass section finishes it off for me. […] What I do in this is to break up the chords with passing notes in arpeggio form, but, if you analyse this passage for yourself, you will see that I *suggest* chords rather than play them. The accompanying chords are one bar each of C maj, C min, C maj (2^{nd} inversion), E^7, A^7, D^7 and G maj.[109]

Two main points emerge from this. First, chord symbols are kept to an absolute minimum of complexity: most are major or minor triads, and 7^{th} are reserved for dominants;[110]

[108] Respectively Decca 13360 and 13361, recorded 19 May 1933.
[109] HOT PLAYING – No. 3 of a Series by COLEMAN HAWKINS', *Melody* Maker, 28 April 1934, 5 (see Appendix V). Italics in the original.
[110] Under the influence of 'chord-scale' theory, it has become the norm to saturate chord symbols with extensions and alterations. This was not common practice in the 1930s and 1940s. For example, the manuscript of Charlie Parker's blues composition 'Billie's Bounce' (reproduced in Martin 2018, ex. 4)

second, every note not belonging to these simple chords is referred to as a passing note, and they are considered to be the distinctive element in an improviser's phrases: 'It is hopeless to try to build up entirely on the notes of a chord – you must employ some others, and it is these passing notes that make all the difference'. This resonates strongly with classical music theory, in which most chords have three notes, the dominant has four (five if it is a dominant 9^{th}), and in which all other notes are non-chord tones (be they suspensions, anticipations, passing notes, escape tones, appoggiaturas, etc.). In addition, we observe that Hawkins mentions twice that chords are inverted, showing further his ties with classical music theory.

What we have, then, in every statement made by Hawkins in this article, is a clear distinction between a simple theoretical framework (triads, dominant 7^{th}, and passing tones) and as complex an actual application of it as one might wish for: 'The extract that I give from this […] shows passing notes carried to extremes'. The rich complexity that Hawkins is able to enact in his improvisations, based on that 'simple' conceptual framework, is on display throughout the numerous musical examples in this thesis. To try and understand them, we have to work our way backwards from the fully realised complexity of the final result to the set of fundamental, simple techniques which, combined, from what Hawkins called his 'method'.

In Chapter 4, dedicated to harmony, I examine techniques used by Hawkins that go far beyond the mere response to a given chord. But a word should be said here regarding the function of chord symbols at a more generic level. Chord symbols in the transcriptions are (usually) kept to their simplest form. Although when needed I have qualified more precisely the chord played by the pianist, in most transcriptions I have tried to understand and to indicate what the mutual agreement regarding the 'changes' might have been amongst the musicians on that performance. In this view the changes indicate where a song goes and how, rather than a detailed set of instructions to be followed exactly. In the passage of the *Melody Maker* article devoted to his solo on 'Donegal Cradle Song', Hawkins supports such a conception of chord changes:

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gives each F tonic chord simply as a triad. Other chords are either diminished triads, augmented triads, minor 6^{ths}, minor 7^{ths}, or dominants, without any extensions or alterations. Notice, in bar 5, that instead of writing the expected IV chord ($B\flat^{7}$), Parker asks for a I minor chord with an added sixth ($Fmin^{6}$).

> Ex. 2 shows you an extract from my subsequent treatment of the repeated accompaniment. It […] is rather modern in that it goes counter to the accompanying chords in places. But, all the time, I know that I have got to get ultimately to A min, and I go to it through E^7 in the second bar, with F sharp as a passing note.[111]

The language used by Hawkins is that of a voyage: 'I have got to get ultimately to A min, and I go to it through E^7'. The aim of the changes to a tune is to provide the improvisers with a general road map of how the song moves tonally and of its important target points. As long as everyone meets at the crucial junctions, each musician is free to navigate the path to these targets as she or he wishes, even if this results in dissonances:[112] 'my […] treatment of the […] accompaniment […] is rather modern in that it goes counter to the accompanying chords in places'.

According to this view, when considering a solo by an improviser on a melodic instrument, the analyst should bear in mind that at least two things are taking place with regards to chord changes: A) what a given chord is at a conceptual level and how the improviser manifests it in her or his playing; B) the improviser's reaction to how her or his accompanists express that 'conceptual chord'. We might say of A) that it is the 'inner ear' of the improviser, and of B) that it is her or his 'outer ear'.[113]

[111] 'HOT PLAYING – No. 3 of a Series by COLEMAN HAWKINS', *Melody Maker*, 28 April 1934, 5 (see Appendix V).
[112] We will see several instances of such 'clashes' in this thesis.
[113] See 'Implications for Scholarship' section in the Conclusion of this thesis.

§1.7 Other Documents Attributed to Hawkins

In addition to the *Melody Maker* article just surveyed, another possible source of first-hand comments by Hawkins on his technique is *The World's Greatest Saxophonist: Coleman Hawkins: "Warm-Up" Book for Tenor Saxophone*, published in the mid-1940s by The Peter Maurice Music Company.[114] In the foreword, M. H. Goldsen writes: 'This book contains some of the well known solos that he features and has an excellent analyzation [sic] of his style. Mr. Hawkins has also written some excellent hints for playing the instrument which every saxophonist will want to keep'. The copy I own, and another one I consulted at the Bodleian Library in Oxford, feature twelve pages of music but no written commentary. Both copies are probably incomplete, since they lack the piano part advertised on the front cover. At any rate I was unable to verify Goldsen's claim that this booklet contains advice provided by Hawkins himself.

In June 1943 Harms Inc., New York, published seven songs as separate sheet music leaflets with the common title *Coleman Hawkins Series of Saxophone Solos.* These consist of a two-page accompanying piano part, with the original melody in small notes over the upper staff, and an inserted single page featuring the tenor saxophone solo. The seven songs are 'When Day Is Done', 'I Cover The Waterfront', 'Body And Soul', 'Embraceable You', 'As Time Goes By', 'The Man I Love', and 'Night And Day'. Under the title of the song on the front page appears the mention 'Arranged by COLEMAN HAWKINS'. However, Lars Erik Helgert quotes a Leonard Bernstein interview in which the famous conductor claims to have been hired to do these 'arrangements': '[…] I did get a job [at the Music Publishers Holding Company], doing odd jobs around the house, making piano arrangements, four hand arrangements and eight hand arrangements of Raymond Scott tunes (a chore) and Coleman Hawkins improvisations on the tenor sax which nobody else could write down (by no means a chore). I listened to his records over

[114] London, England, year not specified, probably 1943. Published in the USA by Leeds Music Corp., New York, NY. Another booklet, *Coleman Hawkins Famous Tenor Saxophone Solos With Piano Accompaniment*, was published by Peter Maurice Music. It contains 'Lamentation', 'White Hat And Red Hair', 'What Is The Name?', 'Devotion', and is undated. It must have been published in the late 1930s, since 'Lamentation' and 'Devotion', two compositions by Hawkins, were recorded in duo with pianist Freddy Johnson on 26 May 1937.

and over again, groove by groove, and wrote down those fantastic improvised solos, and MPHC would publish them'.[115]

This claim is hard to verify since Bernstein is not listed as arranger. However, Helgert makes a convincing point in suggesting that Coleman Hawkins was far too busy in 1943 to accept such chores, and that, while they would have been an easy task for him technically, they were below his stature as one of the most successful musicians then active – he was most likely given credit as arranger for marketing reasons, Leonard Bernstein still being relatively unknown in 1943. Helgert also observes that the piano part is similar in texture to the arrangements of Raymond Scott tunes that Bernstein wrote at the time (for which he is given credit under his pseudonym Lenny Amber), and that Harms was a subsidiary of MPHC, which employed Bernstein.[116] Regardless of their veracity, Bernstein's comments show that he appreciated Coleman Hawkins's improvisations, and that he found these to be challenging to notate.

Another point of interest, and of speculation, is the sound sources for these transcriptions, and the way in which they were made. Helgert suggests that the Hawkins arrangements were made from published recordings, the piano part being a reduction of the rhythm section of a small band of five or six pieces.[117] However, according to Dan Morgenstern,[118] such transcriptions (others exist, by Teddy Wilson, Art Tatum, etc.) were not made from published recordings because the sheet music publishers did not want to pay copyright royalties to the recording companies. Instead, they made a fresh (and crude) recording of the artist playing the chosen song, then had someone transcribe it and write a piano accompaniment – the recording being subsequently discarded. A famous example of this procedure is *Louis Armstrong's 50 Hot Choruses For Cornet,* published by Melrose Brothers in Chicago in 1927, from solos and breaks that Armstrong recorded on cylinders that never resurfaced.[119] In the case of the *Coleman Hawkins Series of Saxophone Solos,* chances are that the method described by Morgenstern was adopted, rather than the one defended by Helgert, for the simple reason that only two out of the seven featured songs had been recorded commercially by Hawkins as of 7 June 1943:

[115] Helgert 2008, 86.
[116] Helgert 2008, 86-92.
[117] Helgert 2008, 91.
[118] Personal communication, New York, 11 January 2017.
[119] They were later re-recorded by Swedish trumpet player Bent Persson.

'Body and Soul' (Bluebird, 11 October 1939) and 'When Day Is Done' (Bluebird, 3 January 1940).[120] These two songs could be the only items to have been transcribed and arranged as suggested by Helgert (from the commercial recordings). At the time of writing I have not been able to find a copy of these two songs and have no idea what the music on them looks like. Most probably Hawkins recorded new versions for Harms in the same way he must have done for the five other songs, in order to spare Harms the expense engendered by the copyrights owned by Bluebird.[121]

§1.8 Choice of Recordings

Coleman Hawkins's techniques, which result from the primacy of thought in his approach to improvisation, are better observed at slow tempi: one needs time to think. Accordingly, most examples in this thesis are taken from ballads.[122] Another reason for choosing ballads is that as compositions they tend to be better crafted, to offer more substantial materials for a thinking musician to work from. Ballads occupy a privileged place for jazz musicians, and the ability to perform a theme well, rather than the ability to play fast or loud or high, is what separates the men from the boys.[123] Sonny Rollins's appreciation of Hawkins shows how important ballads are in addressing a jazz musician's skills:

[120] 'The Man I Love' exists in a version from 4 August 1940, but being a broadcast from the Savoy Ballroom in NYC, it is hardly a candidate for transcription and publication, especially since the aircheck must have surfaced much later. The famous studio recording of 'The Man I Love' for Signature dates from 23 December 1943 - more than six months after the Harms transcriptions were published.

[121] A review of these solos appeared in the *Music Educators Journal* in 1944: 'These improvisations, arranged by Coleman Hawkins, a well-known dance musician, are for the more advanced student of the tenor saxophone. The intricate rhythms are rather difficult, but interesting when correctly performed. The solos would make fine material for the student wishing to gain experience in the dance-orchestra field and to study and learn something of improvisation' (Palmer 1944).

[122] Thomas Owens (1974, vol. 1, 149) writes regarding Charlie Parker's recordings of 'Embraceable You': 'The slow tempo permits Parker longer than usual amounts of time to think of new phrases; consequently fewer applications of his stock motives occur' (quoted in Martin 1996, 143).

[123] This view is reflected in Dan Morgenstern's comment regarding a live performance by Hawkins of 'Time On My Hands': 'a beautiful Vincent Youmans ballad that shouldn't be done by anyone under 40' (Morgenstern 1993, 7). In the 18th century, a similar status was granted to slow pieces by Johann Joachim Quantz (1752/2001, 112): 'No beginner should be advised to meddle prematurely with *galant* pieces, or with the Adagio'.

> His ballad mastery was part of how he changed the conception of the 'hot' jazz player. He changed the minstrel image, if I may use a term that radical. He showed that a black jazz musician could depict all emotions with credibility, even a beautiful ballad that represented the peak of civilization.[124]

The bulk of this thesis (chapters 3, 4, 5, and 7) focuses on four improvisations by Hawkins on ballads ('Don't Blame Me', 'Just One More Chance', 'I Can't Get Started', and 'You Go to My Head'). These are considered in their entirety, and complete transcriptions are available in Appendix IV. Excerpts from several other improvisations provide the materials analysed in Chapter 6. Composer and lyricist, label, disc number, and recording date are reminded in a footnote when each recording is first discussed, while the section 'List of Recordings Selected for Analysis' (from page xii) gives full discographical information, including personnel.

[124] Rollins 1998.

CHAPTER 2: PROCESS AND PRODUCT

In interviews throughout his life Coleman Hawkins insisted on the influence of European classical music on his playing at both an instrumental and theoretical level. The connection between jazz and classical music has also been a central theme in jazz scholarship. This chapter provides a survey of the literature that has been shaped by, or that has criticised, the interrelatedness of the two traditions, in order to place this important aspect of Hawkins's music, and my own reliance on tools developed initially for classical music to analyse it, within the specific context of jazz scholarship.

As noted by LeRoi Jones (1963a), 'Most jazz critics have been white Americans, but most important jazz musicians have not been'.[1] Such a conflicting situation creates a tension throughout the literature between two fundamentally opposed positions. One considers that applying cultural notions and analytical tools inherited from European composed music to jazz is legitimate, and the other views this approach as paradoxical, given that jazz is primarily an African American discipline based on improvisation and, accordingly, seeks to develop an appropriate and specific discourse adapted to the idiosyncrasies of jazz.

[1] We should cite at least a few exceptions, although some of the following critics started writing after Jones's remark was made: Ralph Ellison, Eileen Southern, Albert Murray, A. B. Spellman, Stanley Crouch, Robert O'Meally, Ralph Wiley, Greg Tate, Angela Davis, Henry Louis Gates and Guthrie P. Ramsey, Jr. Stanley Dance (1974/1979, 9-10) comments in the introduction to his oral history book *The World of Swing*: 'Most of the musicians interviewed are black. This is not solely because of artistic significance, but because white jazz musicians were generally written about more extensively – even disproportionately – in the past. Of course, most writers about jazz have been white, like the author, and they have written mainly for a white public […] If the development of jazz criticism has been farcical at times, its bias can largely be explained by the fact that it has been a matter of whites *interpreting* jazz for whites, just as white musicians had done'.

In terms of analytical writings, the 'white scholar studying black music'[2] controversy has in great part been situated around the notions of 'product' and 'process'.[3] Analytical tools devised for classical music rely on the score. When studying an improvised jazz solo, the only 'written', stable source is the recording, the transcription of which is problematic: some solos are simply not transferable into music notation, and even in the case of solos that transfer well, the subtleties of phrasing and sound are all but lost.[4] In order to approach jazz with tools similar to those of Western classical music, analysts need a written trace upon which to base their observations. By insisting on the importance, or at least on the validity, in spite of its inherent problems, of the recording and its transcription as authoritative sources, jazz scholars are said to focus on the final 'product' generated by an improvisation. The advantages of this approach are manifold: it allows for an in-depth technical scrutiny of the material; it recognises the limitations of the act of writing about music and, as such, accepts the (temporary) reduction of the total experience of music to its written trace; and according to some it 'validates' jazz by elevating it to Western high-art standards.[5] The opposite approach consists in asserting the primacy of 'process'. Here the emphasis is placed on generative procedures: how improvisers create their material, what formulas they rely upon in what keys and at what tempi, what in their phrases is derived or dictated by their instrument, what strategies they implement in order to give a satisfying shape to their solos, how they interact with other musicians, etc. But the dividing line is not as clear as it may seem, for process leads

[2] See Ramsey 1999. Or, to define it more broadly, the act of studying African American music with Western European tools and concepts, regardless of who plays and who analyses.

[3] Early jazz writings sometimes treated the dialectic of product and process by opposing jazz and classical music, a simplification reprised in some recent scholarship. Hugues Panassié devotes a chapter of *The Real Jazz* to this theme ('Jazz and Classical Music – the Difference'). He notes (1942/1967, 30): 'What is too often forgotten is that a score is not music, but only a sheet of paper covered with signs which determine the musical pattern. Music is the *sound*'. He establishes the distinction between an individually created, score-based music and a collectively created, 'primitive' music, and discusses themes developed by later scholars (who usually omit to reference him if it is not to criticise his positions): spoken words and written words (34-35), music as motion and the importance of dance (41-43), improvisation as spontaneous composition (33-34), etc.

[4] This is true of classical music as well, in which the score is to the performance no more than what a map is to the landscape: with the difference that the map does not generate the landscape, whereas the score does generate the performance. Furthermore, when considering a jazz composition rather than a jazz solo, oftentimes a score is available, or at least can be recreated from authoritative recordings (see discussion in Martin 2018, §5.12-§5.16).

[5] The second and third of these features are considered problematic by scholars steeped in ethnomusicology who tend to consider them to be Eurocentric and patronising.

to product and product reflects process: to study the one is necessarily to study the other. An alternative distinction between kinds of analytical scholarship could be proposed: writings concerned primarily with musical content and often trying to understand technical processes by analysing their product, and writings giving priority to the social conditions in which music is made, with a tendency to emphasise process by extending it to non-musical phenomena, and to view product with some suspicion.[6]

§2.1 Process or Product?

An early appeal for the integration of process-oriented considerations can be found in Charles Keil's 'Motion and Feeling Through Music' (1966), based on Leonard Meyer's exploration of the ways we experience music in *Emotion and Meaning in Music* (1956). Keil critiques Meyer's notion of 'embodied meaning', which stipulated the primacy of syntax, when it is applied to *performances* of Western classical pieces or to other musical traditions (African and especially jazz). As a complement to that notion, he proposes the concept of 'engendered feeling', based on 'on-going musical progress'.[7] He defines a series of opposites to characterise 'embodied meaning' and 'engendered feeling': composed vs. improvised construction, mental vs. motor response, deferred vs. immediate gratification, and so on. Keil argues for the importance, when analysing performed music, of the musician's bodily gestures (choreography) and for the inclusion of 'the relationship between man and instrument' in the aesthetic of most non-Western music.[8] As a definition of 'process', Keil quotes pianist Bill Evans: '[the] conviction that direct deed is the most meaningful reflection […] has prompted the evolution of the

[6] George Lipsitz (2004, 22) observes: 'Christopher Small rightly urges us to learn from the great African traditions that inform jazz music, to "learn to love the creative act more than the created object", and to not let our respect for the relics of the past inhibit our capacity to create culture relevant to our own experiences'. In this romanticised vision, African traditions are not only acceptable, they are 'great', whereas a denigrating vocabulary is reserved for the traditions of the West, reduced to 'inhibiting relics' (on the same page Lipsitz bemoans 'the constant references to Bach' in Ken Burns's documentary *Jazz*). One wonders, rather, if the reliance on both process and product, on the 'creative act' *as well as* on the 'created object', may be what favoured the progressive attitude observable in every field of European culture, and desired so intensely by Lipsitz and Small.

[7] Keil 1966, 338.

[8] Why this does not also apply to Western music remains unclear: in the 19th and early 20th centuries, for example, in concert reviews, journalists routinely commented on the bodily gestures of virtuosos such as Paganini or Liszt, or of conductors such as Wagner or Mahler. These gestures were often the subject of caricatures.

extremely severe and unique disciplines of the jazz or improvising musician'.[9] Keil borrows from André Hodeir the term 'vital drive' to qualify the process of creating swing, described as an important concern of jazz musicians, and, to illustrate this concern, he discusses the quest of that vital drive according to the tendency of some drummers and bassists to play 'on top' or to 'lay back'. He examines how well they function together as pairs and how they relate to the soloist, who is usually the leader: Thelonious Monk, Miles Davis, John Coltrane. Keil calls for the development of a processual theory of music that would be valid for most non-Western-classical musics, since most are performance-based, dance-connected and partly improvised.

Leonard Meyer's theories, developed in *Explaining Music* (1973), served as the basis for Eugene Narmour's *Beyond Schenkerism: The Need for Alternatives in Music Analysis* (1977) and for the development of the 'implication-realization' theory laid out in later publications (1990 and 1992).[10] This theory was subsequently adopted by James Williams to investigate bebop compositions (1982 and 1988).[11]

The 'product and process' dichotomy is not entirely the same as that of recorded vs. live jazz. Scott DeVeaux mentions Evan Eisenberg's argument (1987) that 'phonography [is] a medium that […] is as distinct from live performance as film is from theater, requiring of its practitioners new techniques and new stances toward their material'.[12] On this ground it has been argued that jazz records are not representative of the 'real thing'. A distinction between different kinds of recordings should be made, for if it is true that the studio creates different conditions for music making than the bandstand, broadcast recordings have served as testimonies of live jazz concerts and jam-sessions from as far back as the 1930s.[13] Studies of both product and process are likely to rely on recordings

[9] 'Improvisation in Jazz', liner notes of *Miles Davis: Kind of Blue*, Columbia Records LP-1355. Quoted in Keil 1966, 340.
[10] Schellenberg 1997 calls for a simplified and more efficient version of this theory.
[11] This application does not fully convince James Robbins (1987, 69-70).
[12] DeVeaux 1997, 371. This is a debatable point. In a TV interview conducted by Michael Parkinson in 1974, Orson Welles said: '[James] Cagney in my view is maybe the greatest actor who ever appeared in front of the camera […] He broke every rule about movie acting […] The first thing that every stage actor says is "I learned to act for the camera because you have to do less" […] Cagney came on as though he were playing to an audience of forty five hundred people'.
[13] In his account of the legendary piano solo performed by Jess Stacy on 'Sing, Sing, Sing' during Benny Goodman's 1938 Carnegie Hall concert, Whitney Balliett reflects on the fleeting nature of improvisation: 'There was an instant of stunned silence before [drummer Gene] Krupa came thundering back, and those who realized that they had just heard something magnificent believed that what they had heard was already

as their main source. The recent 'Oxford Studies in Recorded Jazz' series (Waters 2011, Harker 2011, Tackley 2012, Solis 2014, etc.), for example, insists on the importance of recordings in its very name, but its scope encompasses both product (analyses of records) and process (investigations of music making, both technically and socially).

A convincing reason to choose 'product' over 'process', or the reverse, is hard to come by. Each approach provides precious insights into the 'infinite art of improvisation',[14] and both are necessary for the elaboration of a comprehensive discourse on jazz. More than thirty years ago Jean-Jacques Nattiez proposed a tripartite division encompassing roughly the same phenomena: 'poietic' (productive) 'esthesic' (receptive), and 'neutral' (the physical trace of the artwork).[15] Musicology concentrating on Western art music can rely on well-defined 'neutral' objects (the printed scores, the manuscript sketches, etc.), but in the case of improvised jazz the only physical trace we have is the recording. Not being a written source it automatically leans towards the 'esthesic' side, and heavily so: any transcription, no matter how accurate it is trying to be, is still not the actual object of study (the recorded solo) but a more-or-less subjective shadow of it. There is no strictly neutral position, then, in the study of improvised jazz solos.

In fact, as convenient as the 'product and process' dialectic may be in distinguishing broad avenues of scholarly investigation, many writers adopt both approaches depending on the object of their inquiries and the outcome they seek. Owens (1974) is concerned with process when discussing the occurrences of Charlie Parker's formulas in every key, and with product when establishing Schenkerian graphs of Parker's solos. Similarly, Hodeir elevates Ellington's 'Concerto for Cootie' (in spite of its relative brevity) to the status of a masterpiece worthy of Bach's 'Saint Mathew Passion' (product) on the one hand,[16] while, on the other hand, he specifies that 'composers in the European tradition conceive a phrase by itself and then make it fit the requirements of a given instrument – the jazz improviser creates only in terms of the instrument he plays'[17] (process). In the introduction to *The Birth of Bebop,* Scott DeVeaux argues that 'improvisation is process,

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in that Valhalla where all great unrecorded jazz solos go'. But the performance was recorded by entrepreneur Albert Marx and issued by Columbia years later, and Balliett adds: 'The records reveal that memory does not always exaggerate' (Balliett 1996, 166).

[14] See Berliner's (1994) eloquent subtitle.

[15] Nattiez 1990, 12-13.

[16] Hodeir 1956, 97.

[17] Hodeir 1956, 153. See my discussion of this quote in §1.6.

not product',[18] but this does not prevent him from continually relying on musical examples taken from recorded solos by Hawkins, Parker and others, to ground his arguments within the next four hundred pages.

Recent scholarship tends, like DeVeaux, to consider that jazz, because it is based on improvisation, is more process-based than Western classical music. This notion comes from a recurrent bias, according to which European classical music can be safely reduced to the score. However, if a classical score offers perhaps the clearest example of a 'fixed' product, that product lies at the exact intersection of *two* processes: the composer writing the score, and the performer(s) playing it. Furthermore, the process of composition itself is the result of the processes of playing, conducting and studying music, by which the composer gains the technical knowledge necessary to conceive the score.[19] Classical music is, like any other music, process at the moment it is played. The notion that a jazz musician is somehow more engaged than classical musicians in the process of making music is unrealistic, and serves little more than ideological purposes. Only the criteria vary: in jazz the notes may change, but all too often other parameters are given little attention and performed in a fixed and repetitive way (phrasings and dynamics, for instance, or the formal distribution of solos within a number),[20] while in Western classical music, if the notes remain the same from performance to performance, inflections, dynamics, phrasings, etc., are subject to a wide range of changes that are purely processual.

Frank Tirro's 'Constructive Elements in Jazz Improvisation' (1974) provides an example of a balanced attitude towards these two poles. Tirro argues that Keil's (1966)

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[18] DeVeaux 1997, 11.

[19] The score itself as product is not as immutable as regularly assumed by jazz scholars, as it quite often goes through a process of revision that generates considerable variants, attested by the successive versions of some Bruckner symphonies, or of Schumann's *Fourth.* At times this process is even shared amongst composers, as when Rimsky-Korsakov proposed a revision of Mussorgsky's *Boris Godunov*. Henry Martin (2018), on the basis of both manuscripts and recordings, examines how Charlie Parker adapted some of his compositions.

[20] Such criteria were arguably more varied in 1920s 'New Orleans' jazz than at any later point. As noted by Benjamin Givan (2016, §26), 'both analytically- and ethnographically-oriented scholars' 'are in accord with the longstanding textbook narrative of jazz history that depicts the music as evolving from vernacular and commercial origins into a structurally complex elite music whose first artistic pinnacle was bebop'. Since, in addition to the greater diversity of expressive devices used, song structures tended to be more complex in the 1920s, and since simultaneous melodic improvisations produced a polyphonic texture of a kind absent from most later jazz styles, scholars should reconsider narratives which present bebop, modal, or free jazz as 'progress'.

article discussed above confuses process and product by establishing a list of opposites such as 'composed' and 'improvised', 'repeated performance' and 'single performance', 'syntactic' and 'processual', 'coherence' and 'spontaneity',[21] the first member of each pair being applicable to Western written compositions and the second to improvised jazz. Instead, Tirro sees these pair members as complementary. In this view, jazz improvisation is defined as 'the simultaneous acts of composition and performance', and 'musical development and the expansion of motivic material in the extended improvisation of a great jazz performer is comparable to that found in notated compositions of Western music'.[22] He understands this process as taking place on three increasingly distant levels: motivic development from phrase to phrase, from chorus to chorus, and manipulations of 'musical ideas stemming from remote past events'.[23] Tirro experimented with giving an 'unfamiliar and difficult' piece to a jazz quintet. He recorded all rehearsals and two public performances. By comparing the different versions he concluded that 'the jazz improviser's final version, his latest revision, is the product of a reworking of formerly used syntactical elements and can, therefore, fairly be discussed, criticised, and evaluated as can traditional Western composition'.[24] Tirro's experiment tests the process of jazz improvising, but the conclusion he reaches recognises the jazz solo as product.

§2.2 Motivic Analysis

Some of Gunther Schuller's contributions rest on the same conviction: his famous article 'Sonny Rollins and the Challenge of Thematic Improvisation' (1958)[25] demonstrates the thorough application of motivic development (notoriously a Western classical music device) by Rollins on 'Blue 7'.[26] Like Hodeir before him,[27] Schuller distinguishes between 'paraphrase' and 'chorus' improvisation, the former consisting of a

[21] Tirro 1974, 296.
[22] Tirro 1974, 286.
[23] Tirro 1974, 286.
[24] Tirro 1974, 297. A similar claim is made by Larson 2009, 4-5, thereby justifying the application of Schenkerian analysis to jazz.
[25] Itself the topic of Givan 2014.
[26] On the album *Saxophone Colossus*, Prestige LP 7079, recorded 22 June 1956.
[27] Hodeir 1956, 144.

loose ornamentation of the melody and the latter of an expression of the chord structure unrelated to the melody. He argues that most jazz solos are either of the paraphrase or the chorus kind, and that, as a result, they 'have suffered from a general lack of over-all cohesiveness'.[28] He admits exceptions, such as Armstrong's 'Muggles' and 'Weather Bird' ('the cohesiveness of this performance is at a level we usually attribute to consciously premeditated composition'),[29] Hawkins's 'Body and Soul', or Parker's 'Ko-Ko'; but, in his view, the new technique of thematic development in jazz is elaborated on an unprecedented scale with Rollins. While the 'over-all cohesiveness' of solos is certainly a welcome addition to jazz in Schuller's view, he specifies that 'this is not to say that a thematically related improvisation is *necessarily* better than a free harmonically based one'. Even so, his general position (also expressed in Schuller 1968 and 1989) is considered problematic by ethnomusicologists. Ingrid Monson contends that 'the values [Schuller] cites – expressive fervor, artistic commitment, structural logic, virtuosity – are all criteria derived from ideas of German romanticism and modernism about absolute and autonomous music and the artist as genius'.[30] There is some irony at play here. In an article (1999) which opens with another mention of Schuller's views, Monson attempts to 'go beyond' the Hegelian-Marxist dialectic by establishing 'a framework in which various kinds of oppositions from binary (art/commerce, black/white, female/male) to ternary (race, class, gender as an interactive subset) and beyond can be conceived as operating within an ensemble of globalizing forces and at many levels of analysis' (47). But were Hegel and Marx not 19th-century German romantics?[31]

The preoccupation with Eurocentrism tends to obscure the discussion about the validity of the values ascribed by Monson to Schuller's assessment of Armstrong's artistry. To begin with, these values were influential in American society at the turn of the 20th century,[32] and it is not clear why jazz musicians like Louis Armstrong could not

[28] Schuller 1958, 240.
[29] Schuller 1968, 126.
[30] Monson 1996, 134.
[31] See Bowie 1990/2003, 346-68, Wessel 1979, and Löwy 1987. If Marx was at first close to the Romantics he later denounced their positions, including their insistence on the notion of 'genius' (see Calvez 1956, 10). In this sense Monson's suspicious stance towards this notion is in itself Marxist.
[32] See for example Sudhalter and Evans 1974, 18, writing about the cultural climate in the days of Bix Beiderbecke's father: 'America, as yet without recognizable indigenous cultural traditions, turned for inspiration to European artistic values, most notably those of German-dominated 19th century romanticism'.

have been inspired by them as incentives to strive for mastery. A letter addressed by Sonny Rollins to Coleman Hawkins on 13 October 1962 is telling in this regard. He writes: '[…] you have "lit the flame" of aspiration within so many of us and you have epitomized the superiority of "excellence of endeavor" and you stand today as a clear living picture and example for us to learn from'.[33] Furthermore, asserting the greatness of black musicians, even with presumed 'Eurocentric' criteria, was an act of intellectual independence and courage in the early days of jazz scholarship. As remarked by Scott DeVeaux about white jazz critics: 'To insist on the dignity and inherent worth of the black expressive arts was in itself a risky political act in the 1940s and 1950s'.[34] Instead of framing it as an abusive transferal of European values to African American music, Schuller's work can be seen as the adequate response to the question asked by Ralph Ellison at the beginning of his essay *The World and the Jug*: 'Why is it so often true that when critics confront the American as *Negro* they suddenly drop their advanced critical armament and revert with an air of confident superiority to quite primitive modes of analysis'?[35]

Values are not the only type of European factor whose impact on jazz has been put in question by scholars. Scott DeVeaux doubts that the technical prowess of classical music performers was influential on African American jazz musicians: '[In the 1940s] musicians played faster, extended the ranges of their instrument, had better control over intonation and timbre (which is not to say that they conformed to European standards, but that any deviations from those standards were *intentional*)'.[36] Testimonies, however, indicate that jazz musicians held the instrumental control exhibited by their classical colleagues in high esteem. Out of a number of such comments, the two following ones, made to Stanley Dance, concern Hawkins directly. The first is by saxophonist Paul Gonsalves: '[Coleman Hawkins] is a great stylist, of course, but he is also a very, very

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Follows a quote from Leonard 1962: 'These immigrants who shaped our concert life were largely the products of this Germanic music tradition'.

[33] Rollins (2018) told me that Hawkins never wrote him back. Letter reproduced on Doug Ramsey's website, online: <https://www.artsjournal.com/rifftides/2017/11/correspondence-sonny-rollins-to-coleman-hawkins.html>, accessed 11 December 2020).

[34] DeVeaux 1997, 20.

[35] Ellison 1972, 107, quoted in Gates 1988, 125. See Stover 2012, §8, regarding the risk, when opposing 'analytical readings', of 'equat[ing] an "African-American" epistemology with one that privileges anti-intellectualism'.

[36] DeVeaux 1997, 41.

good musician. He plays jazz and he also plays the instrument the way it should be played. I'm sure he could take a place among symphony musicians and command their respect'.[37] The second comment is by drummer Eddie Locke: 'Classical music was [Hawkins's] big love, and he would often talk to me about it. Now, you know, he would never take his horn out to practice, no matter how long he was off. One day, he was talking about Rubinstein. "If I could get you a gig to record with Rubinstein, just you and him…" I began. "Eddie, if you did that", he said, "I would practice"'.[38]

Lawrence Gushee (1964) sees thematic development as problematic when applied to jazz. Contrary to Monson, however, for him the issue lies not with the scholar (Schuller) but with the musician (Rollins). He describes Rollins's involvement in motivic improvisation as a sign of a paralysing confrontation with the tradition: 'it must be hard to play for a man like this', 'Sonny Rollins is suffering from the growing pains [of jazz]', 'Rollins leaves the impression that he is dissatisfied: with his horn, with the limitations of jazz tunes, with the playing of other musicians'.[39] To Schuller's trust in motivic development as having an important role to play in jazz, Gushee opposes the claim that 'preoccupation with form and formal procedure is no guarantee of coherence […]. Such a preoccupation often overshadows other drives, which perhaps go deeper or are perhaps opposed to it'.[40]

To sum up, insistence on the importance of motivic development allows the analyst to demonstrate the coherence of certain jazz solos (Tirro 1974, Schuller 1958 – a common trait with analysts relying on Schenkerian tools), but because the concept of coherence is understood by many as coming from Western art music, its application to jazz is considered problematic (Monson 1996). Finally, too much concern with motivic development in a jazz improviser might lead to an overly self-conscious way of expressing herself or himself (Gushee 1964).

[37] Dance 1974/1979, 141. Michael Levin (*Down Beat,* 20 October 1950, 2-3) writes: 'In [Hawkins] jazz has seen developed a musician of whom it can well be proud. Schooled, intelligent, flexible, fertile, Hawkins satisfies still at the age of 43 every demand that can be made of any musician, symphonic or jazz'.
[38] Dance 1974/1979, 159.
[39] Gushee 1964, 256.
[40] Gushee 1964, 257.

§2.3 Merging Process and Product

One of the earliest technical studies devoted to jazz analysis is André Hodeir's *Jazz: Its Evolution and Essence,* written in French in 1954 and published in English translation in 1956. Hodeir's analytical insight, as well as his capacity to treat both product and process, contribute to make it a central, although much criticised, piece of writing on jazz.[41] Like others before him, most notably Hugues Panassié (1934 and 1942), Hodeir insists that priority must be given to African American musicians: 'By now it has become evident that jazz is the Negro's art and that almost all the great jazz musicians are Negroes'.[42] The first half of the book provides a short historical narrative and discusses notions of classicism and universality as they apply to jazz, followed by penetrating stylistic analyses of recordings by Louis Armstrong, Dickie Wells, Charlie Parker and Miles Davis. It culminates with the aforementioned chapter devoted to Duke Ellington's 'Concerto for Cootie'. The second half of the book examines the conditions necessary to produce a satisfying jazz performance (specifics of melody, harmony, swing, rhythm, sound, as well as observations on the improviser's musical thought processes and on the phenomena of collective improvisation). Hodeir continues with a discussion of the essence[43] of jazz and concludes on this proposition: 'By our definition, jazz consists essentially of an *inseparable mixture of relaxation and tension* (that is, of swing and the hot manner of playing)'.[44] Hodeir's perspective is debatable, but he nevertheless provides

[41] Keil 1966, 341, admits that Hodeir 'offers a number of important insights into process' but is critical of 'his general failure [which] devolves from a misordering of the elements in swing'.

[42] Hodeir 1956, 7. In earlier days the situation was inverted: racist prejudices caused white musicians to get more coverage in specialised magazines like *Down Beat* and in the general press. See Leonard 1962 regarding the progressive acceptance of jazz within white American culture, Welburn 1983 for an account of jazz criticism in the USA up to 1940, and Gennari 1991 and 2010 for more recent treatments of the same issues.

[43] See Lee Brown (1991) for a discussion of Hodeir's essentialism and his 'almost perverse' exclusion of what most perceive as fundamental characteristics of jazz: improvisation and blues tonality.

[44] Hodeir 1956, 240. The idea is clarified at the beginning of Hodeir's discussion on 'The Problem of the Essence of Jazz': 'The analysis of a good work of jazz in the classical style reveals the coexistence of two characteristics that seem opposed to each other – an element of tension and an element of relaxation. This is not a case of the traditional alternation between tension and relaxation to be observed in classical European music, which results from the succession of dissonances and consonances, of periods of movement and of periods of repose. In jazz, the feeling of relaxation does not follow a feeling of tension but is present at the same moment' (Ibid., 195). In Lee Brown's view, however, Hodeir 'takes a wrong path' in assuming 'a disjunctive definition of jazz. Jazz is either swing *or* hot playing – or both. The obvious disadvantage is that we are left without any central conceptual connection between the two disjuncts' (Brown 1991, 122). Charles Keil (1966, 349) is critical of Hodeir's assertion that blacks are 'naturally endowed with "complete neuro-muscular relaxation" while white men invariably have to work very hard to attain it'.

an impressive early attempt at a serious consideration of the processes that generate jazz improvisation.

Like Schuller, Hodeir is criticised for forcing European values on African American jazz.[45] Krin Gabbard (1995, 23) critiques Lee Brown (1991) for not asking 'what cultural and ideological forces lay behind Hodeir's decision to write a definition of jazz in France in the 1950s'. But Hodeir's trailblazing efforts can be presented in a different light. When he wrote *Jazz: Its Evolution and Essence,*[46] Miles Davis's *Kind of Blue* was still five years ahead, and no American had yet written an in-depth technical analysis of jazz. Hodeir is European *and* classically trained:[47] for him jazz is thus doubly foreign. Yet he devoted a considerable amount of time to listening, thinking, analysing and writing about it. Instead of reducing Hodeir's contribution to the imposition of European values on African American music, we should welcome it as an act of intellectual curiosity and openness to different forms of music making.

Equally pioneering, albeit of a narrower focus, is Lawrence Gushee's influential talk on Lester Young given in 1977, which became a condensed article in 1981.[48] In what can be seen as the inverse of Tirro's experiments, Gushee starts from jazz as product by comparing four recorded versions of Lester Young's solo on 'Shoe Shine Boy', and moves into jazz as process as he investigates the performing habits in evidence. This article contains a useful categorization of available analytical tools ('motivic', 'schematic', 'semiotic' and 'formulaic'), and proceeds to demonstrate the importance of an integrated approach by drawing from all of them. Gushee insists on the impact of the instrument (as a rejoinder to Hodeir) and shows how some of Young's material is shaped by the mechanics and peculiarities of the tenor saxophone. He searches for formulas and their variations across the four takes, discussing processes of ensemble playing and the relation between soloist and rhythm section. Gushee concludes by proposing a tripartite rhetorical plan that, he claims, Lester Young frequently implements when given two choruses worth of improvising space. The article provides crucial remarks on methodology, especially regarding transcriptions, and highlights the need for jazz

[45] See, for example, Walser 1995, 171.
[46] Fortunately some scholars seem not to be aware of the book's original title in French, which would provide them with another angle of attack: *Hommes et Problèmes du Jazz.*
[47] He studied analysis with Olivier Messiaen at the Conservatoire de Paris.
[48] Reprinted in Porter 1991.

scholars to immerse themselves in the entire output of an artist before advancing stylistic judgments.

§2.4 Formulaic Analysis

Thomas Owens's dissertation on Charlie Parker (1974) exemplifies the analytical method categorised as 'formulaic' by Gushee, who describes it as concerned with the 'labeling of phrases according to the lexicon' and the 'appropriate choice of compatible formulae'.[49] For Owens, the 'key' to the 'process by which [Parker] put his improvisations together' 'lies in the construction and placement of his favorite melodic figures'.[50] On the basis of an impressive number of transcriptions, Owens lists about one hundred motives (or formulas) that he groups in each key according to the harmonic context (ii – V, V – I, V/vi) and to locations within given harmonic plans (blues, rhythm changes, songs). This classification underscores the formal and harmonic situations in which the formulas appear and thus expresses clearly the improvisational procedure at play (how Parker reacts to a given key and location in the form).

Owens concludes that Parker's use of motives differs from key to key ('his typical melodies for the blues in C major are not simply transpositions of his typical melodies for the blues in B-flat, but are distinctively different'), and according to the harmonic plan.[51] 'An awareness of these melodic ideas', he argues, 'allows the listener to follow the solo with great insight into the creative process taking place'.[52] But Owens's commanding study is not limited to a contextualised catalogue of Parker formulas: it is, along with Milton Stewart's dissertation on Clifford Brown (1973), one of the earliest attempts to apply Schenkerian analysis to jazz.

Some of Owens's conclusions stand in contrast with those of later scholars. Parker's music in particular, and bebop in general, are often construed as a dialogic style open to motivic interaction.[53] Based on his close technical scrutiny of Parker's improvisational processes, Owens argues instead that Parker's solos are 'generally uninfluenced' by 'the

[49] Gushee 1981 in Porter 1991, 237.
[50] Owens 1974, Vol. 1, 16.
[51] Owens 1974, Vol. 1, 269.
[52] Owens 1974, Vol. 1, 17.
[53] See DeVeaux 1997, 268, and Givan 2016, §26.

musicians with whom he played',[54] by 'the type of background support given by the diverse groups that accompanied him',[55] and by 'the melodic themes of the pieces played'[56] (except sometimes on ballads such as 'Embraceable You').[57] This indicates that Parker's solos are extremely consistent regardless of the situation. Henry Martin (see §2.5) disproves such statements by claiming, on the contrary, that 'Parker transcends the mechanical application of formulas; […] in many instances their effectiveness lies in unexpected motivic connection to the original thematic material'.[58]

A complement to Owen's work is the exploration of the tight connection that links Parker's phrases with the underlying harmony, provided by Lawrence Koch (1975). Koch is chiefly concerned with pitch-chord relationships. He looks at Parker's treatment of dominants, secondary dominants, $\flat VI^7$ and $\flat VII^7$ chords, frequent progressions (ii – V – I, I – I^7 – IV – iv, iii^7 – $\flat iii^7$), and chord substitutions. The stress on the melodic-harmonic connection provides a necessary contextualization of Parker's language that insists on its intellectual, or decisional properties, when an all-out formulaic approach risks implying that much of that language comes from muscle-memory.[59] Indeed, the formulaic approach tends to reduce jazz improvisation to the mechanical application of well-rehearsed clichés. Owens's insistence on Parker's structural use of scalar descents, Martin's demonstrations of links with thematic material, and Koch's harmonic perspective are all valid ways to balance out a reductive and mechanical use of formulaic analysis, emphasising the depth of Parker's artistry.

As noted by Henry Martin (2012),

[54] Owens 1974, Vol. 2, viii. Owens (1974, Vol. 2) provides several full-band transcriptions: 'Parker's Mood' (142-154), 'Ko-Ko' (207-231), 'Au Privave' (256-271), and 'Salt Peanuts' (279-306). His view of Parker as a self-standing performer, little engaged in motivic interaction, is not formed on a disregard for what the rhythm section plays.
[55] Owens 1974, Vol. 1, 269.
[56] Owens 1974, Vol. 1, 151.
[57] Owens states that 'Ballade', featuring Coleman Hawkins and Charlie Parker and recorded in 1950 for a Norman Granz film, uses the harmonic plan of Duke Ellington's 'I Got It Bad (And It Ain't Good)'. Instead, 'Ballade' is based on the chord progression of Harold Arlen's 'As Long As I Live' (I thank Scott Hamilton for this information; see also Koch 1999, 220).
[58] Martin 1996, 5.
[59] To dispel such ideas, Owens specifies that 'the master player will seldom, if ever, repeat a solo verbatim; instead he will continually find new ways to reshape, combine, and phrase his well-practiced ideas'. (1974, Vol. 1, 17)

> we often contrast improvising motivically with improvising formulaically. Motivic improvisation relates to the idea of compositional development in Western music, in which 'motives' […] undergo a process of transformation that provides an underlying organization to the music. […] Formulas [are] note patterns prepared in advance by the player for improvisational fluency.

But the distinction is at times difficult to establish clearly.[60] Improvisers will not play their formulas identically all the time, and will sometimes regard them as motives (their own motives, as opposed to thematic motives derived from the melody) to be varied. To solve this issue, Gushee (1981) organises Lester Young's phrases into 'superformulas', a kind of overarching category that groups variations of a similar core idea. Barry Kernfeld (1983) analyses a John Coltrane solo and similarly binds together thirty-six varied occurrences of an ascending scalar fragment into 'formulaic networks'.

Stefan Love (2012) deals with this search for a higher-level organising principle of formulas by applying the concept of 'schemata' (borrowed from Gjerdingen 2007) to Charlie Parker's solos on the blues. Love proposes to use this analytical tool in two different forms. On the one hand, 'melodic schemata' are a fusion of the two principal elements found in Thomas Owen's analyses of Parker material: melodic formulas and structural scalar descents.[61] On the other hand, 'phrasing schemata' delineate metrical strategies adopted by Parker when conceiving phrases on the blues. They illustrate various ways of dividing the twelve-bars structure of the blues into shorter periods. Love identifies five such general schemata in Parker's blues improvisations: 4/4/4, 8/4, 4/8, 6/6, and 'Through-Composed'. The concept of 'phrasing schemata' has far-reaching consequences on a processual level: it is important for an improviser to develop an ability to start and end phrases in various places of the form to avoid monotony and create rhythmic diversity.

[60] See the first part of Martin 2012 for a discussion of this issue.
[61] Melodic schemata are 'recurring stepwise paths, spanning around one to eight bars, which a melody seems to follow' (Love 2012).

§2.5 Schenkerian Analysis

A considerable body of literature that leans towards the 'product' side (although not exclusively so) adopts a Schenkerian approach (Stewart 1973, Owens 1974, Elliott 1987, Larson 1987 and 2009, Martin 1996, Givan 2010),[62] which may be perceived as the ultimate attempt to prove structural coherence and 'organicism' in recorded jazz solos. The approach is divided by quarrels revolving around the question of Schenkerian 'orthodoxy': 'there is a schism in current tonal jazz research dividing those who employ orthodox or modified Schenkerian theory, with the majority of scholars […] choosing the latter approach'.[63]

Steve Larson believes that strict Schenkerian tools can be applied to jazz,[64] and does so in detailed analyses of music by Thelonious Monk and Bill Evans. Henry Martin and Benjamin Givan advocate a flexible adaptation of Schenker's precepts to better encompass the particularities of jazz. Schenker's vision of a deep structure unfolding beyond the listener's level of perception[65] is questioned by some even when applied to Western classical music.[66] Not surprisingly, then, this view is also challenged when applied to *improvised* jazz solos occurring within cyclical short forms of twelve or thirty-two bars. As Dariusz Terefenko writes in his review of Larson 2009: 'There is an apparent trap in trying to apply a specific theoretical model – especially one that had been so carefully designed – to a musical repertory that falls outside of the explanatory scope of that model'.[67] Nevertheless, Terefenko acknowledges that Larson provides a convincing demonstration of that application.

Another issue is the length of the music under investigation. In mainstream jazz, solos rarely exceed two minutes in duration. The very term large-scale can appear somewhat

[62] As noted by Benjamin Givan (2011), Allen Forte gave the initial impulse to this approach in a lecture applying Schenkerian principles to jazz in 1958 (Forte 2011). For a commented bibliography of Schenkerian analysis applied to jazz, see Berry 2004, 301-307.
[63] McFarland 2012 (an answer to Martin 2011).
[64] See also Heyer 2012. McGowan 2008, on the contrary, argues that orthodox Schenkerian analysis should not be applied to jazz.
[65] 'But where are my favorite passages? Ah, there they are, in those tiny notes' Schönberg reportedly exclaimed when shown Schenker's graph of Beethoven's *Symphony No.3*. Told by Charles Rosen ('Art has its Reasons', *The New York Review of Books,* 16/11, 17 June 1971, 34), and disputed by Milton Babbit and Carl Schachter, this anecdote, true or not, reveals a widespread reaction to Schenker – if not Schönberg's, then certainly Rosen's.
[66] See 'Figments of the Organicist Imagination' in Dreyfus 1996, 169-188.
[67] Terefenko 2010.

incongruous when applied to such miniatures.[68] Furthermore, while it may be possible for solo piano performances to satisfy Schenkerian criteria of large-scale organization (as demonstrated in Larson 2009), most jazz performances come from bands in which the different participating musicians might pick different *Kopftöner*. 'Thus', notes Richard Hermann, 'an overarching Schenkerian tonal structure organising an entire performance is unlikely'.[69] Another difficulty for Schenkerians is the fact that the bass part is freely improvised in jazz, making it difficult to establish a clear *Bassbrechung* – a crucial element, along with the *Urlinie* stemming from the upper voice, to establish the *Ursatz*, the fundamental structure. Givan notes that

> perhaps tonal jazz's greatest point of tension with orthodox Schenkerian voice leading principles involves the role of bass lines. Whereas in Schenkerian theory bass lines are structurally crucial, the sounding bass voice in a typical jazz ensemble – ordinarily played by the double bass and as freely improvised as the other instrumental parts – depicts the a priori harmonies, one way or another, but does not affect them. (Accordingly, most Schenkerian studies of jazz have de-emphasized the bass's role, some ignoring it altogether).[70]

Steve Larson answers some of these critiques. Applying Schenkerian methods to jazz solos is justified, according to him, because there is no well-defined difference between composition and improvisation – as demonstrated by alternate takes in which jazz performers successively refine a solo.[71] Regarding the extent to which an improviser can *intentionally* build the complex structures revealed by Schenkerian analysis, Larson refers to Bill Evans's conscious concern about large-scale structures, even though it is the case of a musician heavily influenced by Western art music and trained in Schenkerian analysis at the New School for Social Research.

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[68] It could be argued, on the contrary, that within the comparatively shorter span of a jazz solo, large-scale preoccupations *could* be engaged with even by an improviser.
[69] Hermann 2004, 232.
[70] Givan 2010, 37 (also see 38).
[71] Larson 2009, 4-5.

In spite of these reservations, Schenkerian analysis yields informative results, especially with its focus on the large-scale structure of a solo, a concern that is remarkably similar to the ethnomusicological concept, in linguistic terms, of 'telling a story' or 'saying something'.[72] In this connection, the interest in the shaping of a solo through successive takes (several Charlie Parker examples are given in Martin 1996) is revealing and acts as a rejoinder to observations made by Tirro and Gushee. Without resorting to Schenker, Scott DeVeaux shows how Coleman Hawkins crafts a solo over four takes, and how a pre-conceived plan governs each take, placing a strategic climax in the bridge of the second chorus.[73]

An important piece of writing applying Schenkerian analysis to a single-line instrument is Henry Martin's *Charlie Parker and Thematic Improvisation* (1996). As mentioned in my discussion of Owens 1974, Martin's principal aim is to reconcile Parker's formula-based vocabulary with his use of thematic improvisation. He shows that by a tight, and, he claims, often unconscious relationship with the thematic material of the heads, Parker is able to infinitely vary his extensive repertoire of formulas so as to produce continuously fresh and satisfying solos supported by solid large-scale organization.[74] Martin explains the necessity for formulas in achieving fluid improvisations, and differentiates 'pathways', small generic cells that constitute bigger phrases but that he sees as formulaic, and 'licks' – longer, self-contained phrases used in a similar fashion at each occurrence.[75] Another element of interest is Martin's discussion on the consciousness or unconsciousness of improvisational gestures.[76] His Schenkerian graphs show the high level of organization in Parker's solos, but since these graphs are by nature abstract and far-reaching, he admits that what they show of Parker's procedures

[72] See Berliner 1994, 201; Monson 1996, 73; and Bauer 2014, 134.
[73] DeVeaux 1997, 326.
[74] 'Parker's melodic formulas are reworked from solo to solo with the head directly and indirectly motivating larger-scale concerns', 'Parker connects to the source material through middleground voice leading, and by abstracting, internalizing, then projecting essential, if sometimes less evident, qualities of the head'. (Martin 1996, 111 and 3).
[75] I would personally tend to see 'pathways' as constituent elements provided by tonality (scales, arpeggios) and their use not as formulaic but as 'grammatical'.
[76] In the introduction to his thesis Milton Stewart (1973, vi) addresses this question: 'The references to Clifford Brown's thinking throughout this work include subconscious responses to stimuli as well as conscious, rational thought processes. It is this author's belief that the organization of much of Brown's structural development during his choruses is the product of planning, either conscious or unconscious, and therefore represents thinking of one variety or another'.

must have been unconscious – especially in the case of formulas varied and adapted to serve as thematic improvisations.[77]

§2.6 Set Theory

According to most of its practitioners, Schenkerian analysis works best for tonal music, and it is therefore surprising that many of the jazz scholars using it focus on post-bebop styles,[78] in which tonality becomes ever more unstable.[79] A welcome addition to the music analyst's toolbox known as 'pitch-class set theory' provides a powerful conceptual framework to investigate non-tonal music, making it especially valuable to scholars concerned with post-bebop jazz (Pressing 1982 on contemporary jazz, Block 1990 on free jazz, Waters and Williams 2010 on post-1960 jazz harmony, Waters 2011 on the 'second' Miles Davis Quintet). Abrams 2015, however, uses set theory to investigate Thelonious Monk's 'Ruby, My Dear', which is eminently tonal. Because set theory construes the twelve chromatic notes as a perfect (and symmetrical) mathematical model,[80] it is ideally suited to function in a zero-gravity environment such as atonal music. For the same reason it is arguably less appropriate when applied to tonal music, whose fundamental laws proceed from the asymmetry of the major and minor scales and the need of the tritone $\hat{7} – \hat{4}$ included in V^7 to resolve to $\hat{1}$ and $\hat{3}$ respectively when reaching I.

[77] The author insists on that point: 'it seems reasonable to conclude that many if not most of the subtler relationships cited in the preceding analyses were unintentional' (Martin 1996, 119; see also 3-4).
[78] A situation decried by Benjamin Givan (2010, 25): 'Why have there been so few Schenkerian studies of swing improvisation?'.
[79] See Broze and Shanahan 2013. Stewart 1973 (on Clifford Brown) and Martin 1996 (on Charlie Parker) are notable exceptions.
[80] Pitch-classes, or notes, are numbered from 0 to 11: C is 0, D♭/C♯ 1, D 2, etc. Contrary to tonal practices, the spelling of a note is irrelevant (E♯, G𝄫 and F all are pitch-class 4). Notes can be visualised on a clock face, typically with C at noon, E♭/D♯ at 3 o'clock, F♯/G♭ at 6 o'clock, etc. It is telling that in this perfectly egalitarian system notes do not have distinctive names anymore (in French notes have actual names, and in German and English the letters are used as names), but have become interchangeable numbers.

§2.7 Linguistic Analysis

Scholars seeking to develop analytical methods for jazz independent from the techniques associated with Western classical music have sometimes borrowed from extra-musical fields such as linguistics, and in so doing they have tended to emphasise process over product. Alan Perlman and Daniel Greenblatt assert that 'playing an improvised solo is very much like speaking sentences'.[81] The melodic and harmonic parameters that support a jazz solo are akin to the syntactic and semantic structures of language, and likewise function on deep (chord changes), shallow (the different possibilities implied by the form) and surface levels (the actual solo). Some level of referential capability is observed in jazz performance, in the form of connections with historical context: meaning is derived from the knowledgeable listener's awareness of stylistic features and historical references in the soloists' playing. Gregory Smith (1983) uses techniques developed in Homeric studies to determine what elements of a Bill Evans solo qualify as formulas and how they are constructed and combined; and Albert Lord's (1960) observations on formulas in Yugoslavian epic poetry and their relevance for Homeric techniques is an often quoted model for analogies between jazz improvisation and language.[82]

Another model is Henry Louis Gates's 'Signifyin(g)', which designates an African-American way of speaking by which the repetition of a word or phrase, pronounced with a marked difference, carries strong intertextual connotations. When applied to literary criticism, Signifyin(g) encompasses 'the formal manner in which texts seem concerned to address their antecedents'.[83] John Murphy (1990) uses Gates's Signifyin(g) to illustrate the interactive dynamics at play within a jazz band.[84] He shows how Joe Henderson incorporates a three-note rhythm played by his drummer and develops it for a full chorus. Murphy proposes that the influence of previous artists, famously considered anxiogenic by Harold Bloom (1973), is instead frequently assumed by jazz musicians as a source of joy. For Murphy, when jazz musicians directly refers to their influences in their

[81] Perlman and Greenblatt 1981, 169.
[82] See Gushee 1981, 225; Martin 1996, 121; and Berliner 1994, 4.
[83] Gates 1988, 51, quoted in Monson 1996, 103. See also Tomlinson 2002.
[84] Gates himself indicates the pertinence of Murphy's approach: 'There are so many examples of signifying in jazz that one could write a formal history of its development on this basis alone' (1988, 63, quoted in Murphy 1990, 9). And indeed the term has since been used so frequently by jazz scholars that it brings to mind these 'licks' that everyone plays at jam sessions until they fall out of fashion.

improvisations, it creates a rich intertextuality of the Signifyin(g) kind, as when Joe Henderson quotes a motive from Charlie Parker's 'Buzzy' and develops it for an entire chorus. The audience's awareness both of the interplay between band members and of quotations from well-known recorded jazz solos is described as an inclusive experience: 'the process of playing jazz is a group activity, not a forum for soloistic display'.[85]

§2.8 Interplay

The linguistic approach heightens the awareness that a jazz performance is comparable to a conversation 'that players carry on among themselves in the language of jazz',[86] and it therefore calls for a deeper understanding of the role of the rhythm section, as well as of the interactions taking place within the band. Keil (1966) and Murphy (1990) already point to the importance of integrating the role of the rhythm section when discussing a specific jazz performance. Paul Berliner (1994) has tackled this issue with impressive depth, working mainly from two fronts: interviews of rhythm-section members and 'full score' transcriptions of four performances.[87] Roughly these two main sets of data correspond to process and product, and the manner in which Berliner is able to make them resonate with each other eloquently expresses their interdependence and inseparability. Berliner treats a wide range of questions raised by the act of playing jazz, from detailed technical and theoretical considerations to the broader sociological aspects pertaining to jazz performance.

Ingrid Monson (1996) also argues for a re-evaluation of the role of the rhythm section when discussing a jazz recording or performance: 'The view from the bottom of the band emphasizes the collective character of jazz improvisation as well as the heterogeneity of cultural experience. These conceptual issues deserve to be at the very center of thinking

[85] Philip Alperson (2014, 30) discusses the behavior of jazz musicians taking overlong solos at jam sessions: 'We see these situations as *both* musical and moral because they occur in the context of actions, decisions, and judgments where there is a collective understanding that there exists an overriding goal of the group: to keep the musical conversation going. To violate this precept is to act against the tacit norms of the practice'.
[86] Berliner 1994, 348.
[87] Berliner 1994, 348-386 and 678-757 respectively. Full score transcriptions of jazz performances have been made before: for example, four are proposed in Owens 1974, Vol. 2 (see footnote 54).

about jazz, not at the margins'.[88] Like Berliner, she offers transcriptions of the full band to highlight the circulation of information from one player to the other. This allows her to show, for example, how drummer Ralph Peterson interjects rhythmic figures that threaten to disrupt pianist Geri Allen's phrases, but which Allen manages to incorporate effortlessly in her solo;[89] or how bassist Richard Davis switches to a pedal point in reaction to Freddie Hubbard's repeated riffs and in order to open up space for the drummer to interact with Hubbard.[90] Monson also compares the interactions within the band to a conversation, even suggesting that it is an essential feature of jazz: 'Good jazz improvisation is sociable and interactive just like conversation; a good player communicates with the other players in the band. If this doesn't happen, it's not good jazz'.[91] She expands on Berliner by means of an investigation of the semantic phenomena at work: the musical language in which the conversation takes place functions like spoken language, including metaphors, tropes, irony, interjections, repetitions, and references. More specifically, jazz language functions like black-English, and instances of irony and modified repetitions are deeply linked with African-American Signifyin(g). Musical references create 'intermusicality' in the same way as literary references create 'intertextuality' in a written text. Monson applies an array of techniques developed by linguists to decode the process of playing improvised jazz together as a group. The pertinence of these analytical tools in this context is reinforced by observations on the way jazz musicians speak about music, based on data collected by Monson in interviews. She insists on the central importance of the African American experience when trying to understand jazz: 'the leadership in this musical tradition has always flowed most heavily from the African American side'.[92] Accordingly, if African Americans have been forced to learn the ways of the dominant white culture in order to survive (W.E.B. DuBois's 'double-consciousness'), white musicians need to learn the ways of black musicians if they want to play jazz.[93]

[88] Monson 1996, 72.
[89] Monson 1996, 78-79.
[90] Monson 1996, 34-36.
[91] Monson 1996, 84.
[92] Monson 1996, 75.
[93] Lewis Porter (1988) contrasts white and black points of view on jazz issues and considers that white jazz scholars must acquire a profound knowledge of African-American culture if they want to do justice to their subject: 'In order to counteract the racism that surrounds jazz, it is crucial to view things from the black

Berliner's and Monson's simile of 'jazz as conversation' had already been used in the early 1960s by Mary Lou Williams in a leaflet she gave out at her gigs to explain the process of jazz playing to the audience: 'The spiritual feeling, the deep conversation, and the mental telepathy going on between bass, drums, and a number of soloists, are the permanent characteristics of good jazz. The conversation can be of any type, exciting, soulful, or even humorous debating'.[94] Williams insists on the spiritual aspects of group interaction, which have by and large been excluded from the scholarship devoted to this topic.[95] In her conclusion Ingrid Monson seems to concede that the inability to consider spiritual matters is a shortcoming of scholarly writings. She evokes the 'futility of using language to describe the emotional and spiritual dimensions of musical experience'.[96] Other scholars question the existence of the spiritual aspects of the music-making process altogether, as when Tony Whyton quotes Randy Weston on his visit to Thelonious Monk. Weston describes how Monk would play piano for hours without saying anything, which puzzled him at first: 'Then I realized, because I've done a lot of reading of Sufism and mysticism – I realized, in ancient cultures a lot of the masters, they communicate without words, you see. And Monk, he was a master of that'. For Whyton, the fact that Weston's relationship with Monk was essentially spiritual in nature is problematic: Weston 'constructs a narrative that is outside the physical boundaries of his encounter', by which 'Monk has been transformed into an ancient mystic, communicating through musical gestures, not words'. The central significance of Weston's narrative, that some of the most profound teachings of a master cannot be transmitted by words, escapes Whyton, who postulates that Weston's retelling of his experience merely reinforces the undesirable 'myth-making process' which presents jazz musicians like Monk as 'geniuses'.[97]

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perspective as much as possible. This obviously will prove most difficult for those who have not had much social contact with blacks. […] One simply cannot understand many important historical and musical facts if one looks at them entirely from a non-black cultural viewpoint' (Porter 1988, 199-200).

[94] Quoted in O'Brien 2004.

[95] Paul Berliner (1994, 29-30) discusses the influence of Christian churches on African-American jazz musicians, and how it encourages a spiritual conception of music-making (see also 391-392).

[96] Monson 1996, 218. The last chapter of Monson 2007 discusses how George Russell's theoretical conceptions were informed by his spirituality, which was influenced by the writings of G. I. Gurdjieff.

[97] Whyton 2010, 116-117.

§2.9 Which Kinds of Interaction?

The study of group interaction pioneered by Berliner has become central in recent jazz scholarship, and has considerably broadened the understanding of jazz performance practices, as shown in Robert Hodson (2000 and 2007) or Garrett Michaelsen (2013). But it does not come without its problems and limitations, which have been discussed by Benjamin Givan (2016). The principal issue is that group analysis tends to be predicated upon an egalitarian outlook, which attributes more value to 'dialogic' modes of improvisation, continuously integrating materials coming from other musicians. Thus, it tends to focus on bebop and post-bebop styles, and to ignore earlier practices, considered to be 'monologic', a term applied specifically to Coleman Hawkins by Scott DeVeaux.[98] He quotes an article by Walter E. Schaap, who complains that while in Europe 'playing as the featured soloist with inferior orchestras accustomed [Hawkins] to consider himself as the star, not as a fully-integrated member of the band'.[99] DeVeaux critiques Schaap's 'moralistic tone of disapproval' which suggests that by 'positioning himself as a "star", Hawkins had transgressed some fundamental aesthetic boundary'. Yet by affirming that Hawkins is 'monologic', with a negative connotation compared to Parker, who is presented positively as being 'dialogic', DeVeaux seems to point to the same kind of musical attitude that disturbed Schaap.[100] Givan distinguishes three types of interaction: 'microinteraction' (minute adjustments in tempo and feel), 'macrointeraction' (adjustments in dynamics and in stylistic matters), and 'motivic interaction' (incorporation of materials played by others, either of a rhythmic, melodic, sonic, or harmonic nature).[101] Group analysis focuses on 'motivic interaction' and on types of jazz performance practice which rely heavily on it. As noted by Givan, in overemphasising the value of equality amongst members of a band and on its corollary, motivic

[98] DeVeaux 1997, 268. I remain unconvinced that bebop is more dialogic than swing (see §2.4). The language of the most prominent bebop artists is tonally and rhythmically very precise, and it is content-heavy, whereas jazz musicians privileging motivic interaction need a more open-ended, ambiguous kind of language, which perhaps explains why they tend to make abundant use of pentatonic material.
[99] DeVeaux 1997, 90. The quoted article is 'Jazzmen Abroad', in *Jazz Information*, 24 November 1939, 2 and 4.
[100] Tomlinson 2002 evidences throughout how, from an egalitarian-progressive perspective, 'dialogic' is positive and 'monologic' is negative – to the extent (80) that 'monologue can wear the mask of dialogue' in order to achieve its perverse ends.
[101] Givan 2016, §7, §10, and §11 respectively.

interaction, this view cuts itself off from other approaches to jazz performance which are more strictly hierarchised, such as music from the Swing Era.[102]

Even in mainstream jazz there can at times be a significant amount of motivic interaction, of the kind that becomes more frequent in the 1960s. But for the most part, the soloist has the responsibility to unfold a solo contributing substantial (i.e. self-standing) musical content, and members of the rhythm section have a duty to facilitate that task. As noted by Berliner[103] and Givan,[104] motivic interaction intervening too frequently in the discourse of the soloist is often considered to be out of style and disruptive in mainstream jazz, thus hindering the musical discourse. For William Bauer,[105] among others, being capable of 'telling a story' is an important skill for jazz musicians (see §2.5). A good story needs continuity: frequent interruptions, because they might affect its flow and direction, are frustrating for both the narrator and the listener. Therefore, approaches to jazz which are less prone to engage in continuous motivic interaction facilitate story telling.[106] Or, to pursue instead the simile that 'good jazz must be like a conversation', one can argue that the first thing to do, in a conversation which strives for substance, is to listen without interrupting a speaker who might need time to unfold an argument. In this sense, the relationship between the soloist and the rhythm section in a mainstream jazz context functions like a Native American gathering: the chief has a talking stick, which serves both as a sign of authority and to indicate who is doing the talking. He talks first, then the stick is passed around, and whoever holds the stick, talks, while the others listen without interrupting. So the soloists succeed each other in a jazz group, and often enough, every member of the rhythm section gets to solo, and when they do, the melodic soloists do not interrupt them.

Mainstream jazz units, rather than functioning unilaterally in a 'monologic' manner, achieve a fine balance of dialogue and monologue.[107] Some of the processes at play could

[102] Givan 2016, §27.
[103] Berliner 1994, 403-415.
[104] Givan 2016, §5-§6.
[105] Bauer 2014, 134.
[106] Vijay Iyer (2004, 395) adapts the notion of storytelling to the more fragmented nature of musical discourse in groups privileging motivic interaction: 'I propose that the story that an improvisor tells does not unfold merely in the overall form of a "coherent" solo […]. The story dwells not just in one solo at a time, but also in a single note, and equally in an entire lifetime of improvisations. In short, the story is revealed not as a simple linear narrative, but as a fractured, exploded one'.
[107] Givan (2016, §14) details how, instead of being two opposed modes of operation, monologue and

be construed as a 'dialogue of monologues'. For example the saxophonist may be engaged in what appears to be a 'monologue', as Hawkins tends to do, playing self-standing phrases with substantial content and leaving little space. Meanwhile the bassist does exactly the same thing, playing an almost uninterrupted melodic flow of harmonically significant quarter notes. Both musical threads, those of the saxophone and the bass, may appear to be stubbornly monologic because they do not 'leave space', but actually function in collaboration with each other, in mutual dialogic interplay. This is possible in music because rhythmic space is not the only parameter at play, although it is by far the easiest to perceive and to measure (hence its prevalence in academic enquiries into group interaction). Timbre, dynamics, phrasing and register are crucial in this regard: the saxophone and the bass can both play continuously, remain distinct, and be interconnected because their sonorities, ranges, dynamics, attacks, and phrasings are distinct.

The simultaneous action of these parameters allows mainstream jazz bands to be at the same time hierarchised, with the melodic soloist at the top, and to variously distribute authority, each musician adopting a position of 'momentary leadership' during his or her solo, as suggested by Bill Evans (1963) regarding the sidemen on *Ben Webster and Joe Zawinul: Soulmates*:[108]

> All are capable of contributing in creative sympathy to the whole as well as having the ability to serve as a lead voice. It seems to me admirable that jazz as an art and a discipline demands of its practitioners sufficient maturity to do both these things: to be a sensitive follower as well as an authoritative leader. This spontaneous interplay of four or five individual creative voices is unique in musical performance today. Unlike composed music, which is the reflection of one personality, jazz performance is a constant document of a social situation.

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dialogue often happen in conjunction: 'In any given collectively improvised performance, all three types of interaction – micro-, macro-, and motivic – may happen simultaneously. Although each can occur as a two-way dialogic process, they can all just as easily be monologic, with one player pursuing a given musical strategy and another responding, but without the first reciprocating'.

[108] Riverside RLP 476, recorded 20 September and 14 October 1963.

The view that 1940s swing is monologic and that bebop or post-bop styles are dialogic tends to imply that earlier jazz styles were less interactive. In 1940s small bands, which function as hierarchised units, the rhythm section provides supportive accompaniment to the soloist, who bears the responsibility of 'telling the story'. The forms of interaction that matter most in this context are those that facilitate the common goal of producing a cohesive band sound, of producing swing, and of helping the soloist: to use Givan's labels, 'microinteraction' and 'macrointeraction', rather than motivic interaction. Motivic interaction happens on the surface level; it is noticeable by musicians, by the audience, and measurable by scholars; but this does not mean that it has more 'interactive value' than deeper modes of interaction such as those needed to establish good swing and a cohesive band sound.

Robert Hodson uses an apt metaphor to describe group interaction:

> While it is often pragmatic to single out an individual solo line […], it is important at all times to remember that an improvised solo is but one thread in [the musical] fabric, and it is a thread supported by, responded to, and responsive of the parts being played by the other musicians in the group.[109]

This may be true when discussing the music of bands favouring motivic interaction happening on the surface, such as the Miles Davis Quintet of the 1960s,[110] but it does not apply so well to mainstream jazz. Hodson's metaphor, however, is pertinent also for mainstream jazz if pushed a bit further. The 'individual solo line' is indeed a thread in the fabric, but one of a particular kind: it is the golden thread which draws the main image

[109] Hodson 2000, 1.

[110] Even when listening to the music produced by such a highly interactive band, the human ear tends to be drawn towards the instrument carrying the melody, in this case (during their respective solos) Davis's trumpet or Wayne Shorter's saxophone. In units functioning in a more 'egalitarian' manner, in which instruments are not expected to endorse specific roles, the increased freedom of action enjoyed by each band member, if abused, can limit the freedom of another. The lack of clear boundaries facilitates the hijacking of musical space by one musician, with the (paradoxical) result that more 'open' bands, because no regulations contain the behavior of their more egocentric members, can end up functioning in a less communal manner than more hierarchised groups. Furthermore, as noted by Benjamin Givan (2021), in spite of the egalitarian values that they seem to convey, it is not infrequent for such units to be under the yoke of despotic leaders. This brings to mind Chigalov's theory for an equal society in Dostoevsky's *The Demons*: 'I start from total freedom and end with total despotism'.

represented, and for this reason it requires more attention. It is by this thread that the total image of the fabric, contributed to by everyone in the band, comes into existence and into focus. Single line analysis is not 'myopic', as proposed by Hodson (2000, v); rather, when applied pertinently, by focusing on a narrower aspect of the music, it brings to light its golden thread.

Contrary to such a proposition, however, John Brownell considers that the study of a single melodic instrument in the musical texture, and specifically of its motivic developments, amounts to a disavowal of the overall process taking place, guilty of an obsession for product, which in his eyes is nothing but a 'frozen record of a process'.[111] Responding to Brownell, Keith Waters writes:

> Some appeals to promote analysis of group interaction – and to demote analysis of individual solos – suggest that the former examines 'process' while the latter examines 'product'. But this dichotomy is overstated. It prohibits the view of individual jazz improvisation as processive, that jazz improvisers work out and develop improvisational ideas in real time, and that they may respond to their own ideas or motives stated during the flow of improvisation.[112]

As suggested by Waters, both group and single line analysis are concerned with process: we might say that group analysis attends to the 'outer ear' of musicians, or how they hear the music played by others in the band and react to it, while single-line analysis attends to their 'inner ear', or what they hear before playing it.[113]

Another issue is that some enquiries into group interaction seem to claim for jazz a kind of uniqueness, as if the fact that they can engage in motivic interaction made jazz musicians more devoted to the act of performance in the present moment than performers in other genres. A telling example is Monson's insistence on the 'multi-authorship' of a

[111] Brownell 1994, 15. Quoted in Stover 2012, §8, a review of Waters 2011 which provides well-argued criticism of group analysis and its tendency to be disdainful of other modes of enquiry.
[112] Waters 2011, 74. Some scholars, such as Henry Martin (1996, 3), have remained undisturbed by criticisms against single-line analysis: '[Parker's work] at its best [is] unsurpassed as self-contained improvisation'. Martin's work amply confirms Waters's claim that single-line analysis can reveal important improvisatory processes.
[113] See §1.6.

jazz performance, which throws a specific light on the issue of text (product) in jazz: 'At the moment of performance, jazz improvisation quite simply has nothing in common with a text (or its musical equivalent, the score) for it is music composed through face-to-face interaction'.[114] By exploring the multi-authorship of a jazz performance Monson makes an important contribution to scholarship, and one which prolongs the insight expressed by Bill Evans in the passage quoted above: 'Unlike composed music, which is the reflection of one personality, jazz performance is a constant document of a social situation'. But Monson's line of argument regarding 'text' depends on how one looks at tradition. Indeed, the oral tradition that is central to the existence and development of jazz can be seen as a kind of 'text', enacted and brought to life by the performers: even if they improvise in the moment, they do so according to a vast set of rules and customs governing vocabulary, repertoire, sound, expressivity, timing, and so forth. That this information is either written or not affects how it is transmitted much more than its actual content: words spoken are more eloquent than words written, but the words are the same. In this sense, process and product merge in the instant of performance, for without a careful integration of the products generated by the artistry of past masters (be it scores, recordings, live performances attended to, or advice given during a private lesson or during a rehearsal), there can be no satisfying process taking place at all.

Moreover, the dichotomy between the composed score and its performance, on which Monson's argument rests, is just as real in the process of playing Western classical music.[115] Recorded performances of a Beethoven symphony by Wilhelm Furtwängler and by Arturo Toscanini are as different from each other as are recorded performances of the same Jerome Kern song by two different jazz bands. And, needless to say, the importance and centrality of 'face-to-face interaction' is just about the same in any music performed by humans without the help of machines. It is only if one accepts that motivic interaction is somehow 'more interactive' than micro- and macrointeraction that one can construe

[114] Monson 1996, 80.

[115] Monson (2007, 295) seems to consider that because it is score-based, little thinking is needed for the performance of classical music: 'Although symmetry has long been of interest to Western classical composers as well, the use of symmetrical patterns by improvising musicians requires a level of practical conceptual mastery that is far beyond what is required of the classical performer'. It could be argued on the contrary that symmetry (often dependent on the use of scales such as the hexatonic or the octatonic) requires less thought on the part of the improviser, because it favours the production of patterns which are easier to memorise and manipulate than the asymmetrical materials typical of tonality.

jazz as being more interactive than score-based musics (or the 'second' Miles Davis Quintet as being more interactive than the 'first').

§2.10 Best Before End…

John Brownell, in the passage quoted above, views product as a 'frozen record of a process'. The idea that product is 'frozen' enables the conception of the canon as a monolithic object artificially constructed and maintained by the elite to preserve the aesthetic norms that condition art, and ultimately to impose the structures of power which perpetuate its dominion over other classes. Since it does not include works conceived according to different artistic approaches than the one it promulgates, when thought of in this way – as an immutable collection of 'frozen products' – the canon appears to be exclusive. Gary Tomlinson, among others, transfers to jazz this well-circulated notion: 'Jazz has been institutionalized, its works evaluated, and those judged to be the best enshrined in a glass case of cultural *admirabilia*. The jazz canon has been forged and maintained according to old strategies' based on 'Eurocentric, hierarchical notions, in which the limiting rules of aestheticism, transcendentalism, and formalism are readily apparent'. Tomlinson continues: 'It is a canon of the Same serving a history of the Same […] Like the canon of European music, the jazz canon is a strategy for exclusion, a closed and elite collection of "classic" works that together define what is and isn't jazz'.[116]

But an artistic canon can be seen from a different perspective: not as an arbitrary and oppressive assortment of products serving hegemonic purposes, but as the result of the selection by artists of the products which contain the best examples of the processes that generate the specific art form in which they wish to participate. In this view, the canon is not a museum full of untouchable 'admirabilia' 'enshrined in a glass case'; and it is not established by curators, nor by academics, nor by the ruling class. The canon results from a selection operated by artists upon the works they inherit from their predecessors. In these freely selected works, past practitioners have best expressed the principles that govern a given art form. Artists seeking to master their craft elect to study these works

[116] Tomlinson 2002, 87.

because they contain, in its clearest and richest form, the knowledge they need to integrate in order to engage in the process of making their own art. The canon, if seen as a facilitator of process and not as a collection of fixed products, is not a 'strategy for exclusion'; rather it is, in Camille Paglia's words, a 'beautifully cascading tradition of influences'.[117]

The canonical definition of the jazz canon has been written by Scott DeVeaux in a much-quoted article:[118]

> Historical narrative plays a crucial role in the formation of a canon, in the elevation of great musicians as objects of veneration, and in the development of a sense of tradition that casts a long shadow over the present. The goals of the neoclassicists will have been admirably fulfilled if and when busts of Armstrong and Parker stand alongside busts of Beethoven and Bach in practice rooms and music studios across America.[119]

So the music of some of the most adventurous musicians of the end of the 20th century (Wynton Marsalis and consorts) is dismissed with a sleight of hand. But musicians are not sculptors. They do not study busts, they study music. They do not think that Beethoven and Armstrong are great because there are (or will be) busts of them in classrooms but because, to their ears, the music Beethoven and Armstrong made is rich, beautiful and profound. To assert that 'the goal of neoclassicists' is to fill classrooms across the USA with busts of great jazz musicians equates to depriving artists who have the courage to face the tradition of any agency in the present, as if 'progressive' musicians were the only ones to be involved in the present moment when they perform,

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[117] Online: <https://www.youtube.com/watch?v=v-hIVnmUdXM>, accessed 25 February 2020; passage starts at [01:40]. See also Paglia 1991, a review which critiques scholars attacking the canon.

[118] It is ironic that the academic process itself obeys the same rules that some scholars so vehemently criticise in music or in other arts. Is Brownlee's article not itself a 'frozen product' of the academic writing process? And when Tomlinson quotes other writers, designating their positions as desirable or as unacceptable, is he not establishing a canon of 'good' academic writing, in which he hopes, no doubt, that his contributions will be included? A 'canon of the Same serving a history of the Same', and from which any dissenting views must be excised?

[119] DeVeaux 1991, 552.

and the only ones attuned to their era.[120] When the canon is seen as the live vehicle of past knowledge, the tradition that it helps to transmit is not a cold 'long shadow', but the warm and energising sunbeam that helps artists to grow and make their craft strong.

§2.11 Conclusion: Which Method?

A convincing merger of product and process cannot be achieved in scholarly writings, because they are themselves products, at least one step removed from the process they seek to analyse (music and music making). We have to turn our attention to performers to find product and process integrated and reconciled. This happens most fully when musicians 'recycle' products (records) in the process of music-making. It can take a rudimentary or passive form,[121] for example when a chunk of recorded music is sampled into another piece of music. It can take a complex and active form, as when a jazz musician learns a solo from a recording and works on it in various ways until, as Branford Marsalis once told me, 'it creeps out in your music when you least expect it'.[122] By learning a solo from a record, a saxophonist transforms again into process what started as process and became product.

The variety of analytical approaches developed within jazz scholarship over a few decades, either designed to highlight product, or process, or both, might seem disconcerting. Lawrence Gushee stated that 'there is no commonly accepted coherent method of jazz analysis'[123] – an observation relayed by Scott DeVeaux:

> With jazz, the challenge is even greater [than with Western classical music]. There is no widely accepted theoretical discourse to fall back upon, no scores to adduce as evidence in print, nor even substantive

[120] By now, musicians playing free jazz or fusion are also neoclassicists. Only they follow another classic standard, established in the 1960s or in the 1970s respectively, some ten or twenty years after the standard followed by straight-ahead musicians. In this regard it is wrong to define the avant-garde, as DeVeaux does (1991, 527), as a 'continuous revolution'.
[121] In the sense that the appropriation of the materials is made by a machine and not by the musician.
[122] Personal communication, New Rochelle, NY, February 2001.
[123] Gushee 1981, 228.

> agreement on the aesthetic and technical principles that distinguish jazz from the tradition of European 'classical' music.[124]

Both Gushee and DeVeaux, along with Gary Potter (1992) and many others, have argued for a varied and focused application of all available analytical tools according to their relevance to the object being discussed and to the point being made.

There has been a tendency in 'New Jazz Studies' scholars coming of age in the 1990s and steeped in sociology, to be dismissive of previous forms of enquiry which did not take social context into consideration. Purely technical studies are considered to be 'formalist' or 'internalist'.[125] The very notion that music can be pursued for its own sake – that music could be an 'autonomous' entity – is framed as being ideologically suspect.[126] The two scholars most frequently scapegoated for being formalists-internalists are André Hodeir and Gunther Schuller. Yet, such an analytical mindset reflects, on some level, that of the musicians whose music they investigate. Musicians need to be technically minded, for if they want to be proficient, their first priority is to think in musical terms, and not in ideological terms. Coleman Hawkins was one such:

> I know it's around me but I don't know anything about that stuff. I'm a musician, I play music. That's my job. There is a 'Back to Africa' movement now. People wearing robes, cutting their hair, playing African rhythms in their music and all that. I mind my own business. Some musicians say, 'I won't play white men's music'. Why, that's ridiculous. I play white men's music – they wrote some beautiful things. Playing African music in America is like Africans playing jazz. It just can't be done right.[127]

Hawkins is not the only prominent saxophonists to put music first. At the end of the phone interview with Sonny Rollins from which I have quoted in Chapter 1, I asked him

[124] DeVeaux 1997, 31.
[125] Walser 1995, 171; Tomlinson 2002, 89.
[126] The word 'autonomous', connoted negatively, appears on average every four pages in Whyton 2010.
[127] *Rhythm and Blues*, October 1963, quoted in Chilton 1990, 328. See also Feather 1957, 175.

advice on how to approach the present doctoral dissertation. He thought for a moment, then answered with another question: 'Are you able to *play* like Coleman Hawkins?'[128]

If we follow through the arguments advanced by sociologists against technically-minded scholars, jazz musicians taking a 'music for music's sake' stance should also be put in the dock under the charge of 'formalism', joining their analysts Hodeir and Schuller; a step that the Soviet Communist Party did not hesitate to take with its composers. The connection might seem exaggerated, but the trope reinforced by Tomlinson and Walser – that art cannot be pursued for its own inherent qualities[129] – has sinister resonances, as noted in 1944 by F.A. Hayek:

> It is entirely in keeping with the whole spirit of totalitarianism that it condemns any human activity done for its own sake and without ulterior purpose. Science for science's sake, art for art's sake, are equally abhorrent to Nazis, our socialist intellectuals, and the communists. *Every* activity must derive its justification from a conscious social purpose. There must be no spontaneous, unguided activity, because it might produce results which cannot be foreseen and for which the plan does not provide.[130]

Mark Tucker, Chris Stover, and Benjamin Givan,[131] among others, have warned against the tendency to judge other scholars on an ideological basis. They argue that considering music technically and on its own terms is a legitimate option, and that concepts and methods imported from other disciplines such as sociology should not be mandatory. LeRoi Jones was one of the first to call for a sociological study of jazz, arguing that what mattered most was to understand the attitude – specifically, the 'Negro attitude' – that motivated the music. Yet he conceded that 'strict musicological analysis of jazz, which has come into favor recently, is also as limited as a means of jazz criticism

[128] Rollins 2018.
[129] Tony Whyton (2010, 155), commenting on Randall Allsup and referring to Antonio Gramsci, writes that 'a ruling class uses education as a weapon to promote and perpetuate existing value systems and political hierarchies […] Educators promoting art of "inherent" greatness or beauty can be viewed as implicitly reinforcing the value systems of a particular social order'.
[130] Hayek 1944/1962, 120.
[131] Tucker 1989, end of article; Stover 2011, §1 and §8; Givan 2016, §28.

as a strict sociological approach'.[132] The view defended by Tucker, Stover, and Givan does not imply that it is not equally legitimate to look at music from a sociological perspective, or from both a technical and a sociological perspective. In order to maximise the breadth and pertinence of jazz scholarship, the three positions should be accepted as valid, and pursued with respect for other, complementary angles of enquiry.

[132] Jones 1963a.

CHAPTER 3: RHYTHM

'Rhythmically [Hawkins] is virtually unapproachable'.[1]

In this chapter, I examine how Coleman Hawkins deals with rhythm on three ballads: 'Just One More Chance',[2] 'I Can't Get Started',[3] and 'Don't Blame Me'.[4] These recordings also provide the materials for the two next chapters, devoted to harmony and melody. My purpose in focusing on these three performances across chapters is to investigate to what extent rhythmic, melodic, and/or harmonic techniques may act in combination. I start with rhythm because it inscribes melody and harmony in time, and can therefore be construed as the principal organiser of music.[5] For Coleman Hawkins, rhythm is what makes jazz a distinctive music genre: 'What is jazz? The rhythm – the feeling. It can be taught. Or at least its mechanical aspects can be'.[6] 'Feeling' designates *how* rhythms are played; by nature it must be experienced rather than analysed, and is best studied by listening and imitation. What can be done with a certain degree of efficiency in the context of a written thesis is to study rhythm, and, more specifically,

[1] Stan Britt, in the liner notes of the LP album *The Hawk Talks* (Affinity AFF 139), commenting on a live version of 'The Man I Love' recorded at the Pythian Temple in New York in 1955.
[2] Arthur Johnston and Sam Coslow (1931).
[3] Vernon Duke and Ira Gershwin (1936).
[4] Jimmy McHugh and Dorothy Fields (1932).
[5] Grosvenor Cooper and Leonard Meyer begin the Preface to their book on rhythm (1960, v) with this statement: 'Every musician, whether composer, performer, or theorist will agree that "In the beginning was rhythm"'.
[6] Shapiro and Hentoff 1955, 389. Hawkins has also emphasised improvisation as the defining element of jazz: 'I think it's fine for ensembles, but it's hard to appreciate a fellow having a solo all written out for him. When you stop and think about it, maybe in a hundred years jazz will be like that, like classical music. But if it turns out that way you'll have taken the basic effect of jazz away. Improvisation is the key. Jazz would lose all its originality without it. That's why jazz is a different kind of music from classical. But it's also true that if classical music were written like it used to be, a couple of centuries ago, there'd be a lot of improvising in it too' (*Down Beat*, 14 November 1956, quoted in Chilton 1990, 354).

which rhythms are used by a jazz musician – the 'mechanical' aspects that 'can be taught'. We can write down rhythmic figures, however imprecise this might be due to their complexity and delivery; we can examine them and discuss their various features. Once a reasonably accurate transcription has been established, the process can be reversed: reading the transcription while listening to the recording helps experiencing more vividly a jazz musician's rhythmic phrasing, her or his 'feeling'.

I examine Hawkins's rhythmic conceptions along three main factors. The first is the recourse to ternary subdivisions of the beat within the 4/4 metre, which at times are so pervasive as to suggest that they arise from a polyrhythmic pulse of a kind presented in §3.1. These ternary subdivisions are especially manifest in the multifarious sextuplet figures which Hawkins manipulates at slow tempi; I investigate these in §3.2. He sometimes preferred to rely almost exclusively on sixteenths even when improvising on ballads, and this approach, in contrast with improvisations in which he relies mostly on sextuplets, is investigated in §3.3. The second determining factor of Hawkins's rhythm is the diversity of his subdivisions. In addition to the expected eighth-notes, triplets, and to the sixteenths and sextuplets discussed in §3.2 and in §3.3, he regularly plays quintuplets, septuplets, and thirty-seconds; I consider these in turn in §3.4. The third factor is the ease with which Hawkins switches between the multiple kinds of subdivisions treated in §3.3-§3.4, often generating a polyrhythmic texture that seamlessly combines simple metre (eighth and sixteenth notes) and compound metre (triplets and sextuplets).[7] This third aspect of his rhythmic praxis is a salient feature of his overall technique; it is discussed throughout this chapter, and in several other examples in this thesis.

[7] See definition in Latham 2002, 1275: '"Simple" times have a binary subdivision of the unit (e.g. into two, four, eight, etc.) and "compound" times a ternary one (e.g. into three, six, nine, etc.)'.

§3.1 Thinking in Six

As noted in §1.5, Barry Harris was the last pianist to be a stable member of Coleman Hawkins's working quartet, from the beginning of 1965 through to the leader's demise on May 19th, 1969.[8] In his pedagogical work Harris treats extensively of rhythmic matters. One technique in particular, to which this section is devoted, provides a useful framework to the discussion of Hawkins's rhythm – and indeed, Harris may have learned its applications from playing with Hawkins. At New York University in November 2004, he commented on the playing of a group of students that had just performed for him:

> Don't forget about triplets. You've got to learn how to use sixteenth-note triplets, my man. […] Triplets rule the world. The world is based on triplets. You think of three: the Father, the Son, the Holy Ghost [audience laughs]. This ain't no bull now, you know… Three. Three is the End of the World.[9]

Beyond the humorous delivery, it is apparent that for Harris, acquiring a pervasive triplet feel is not just a musical or stylistic issue, it is a transcendental one: the triplet is at the core of all things, it is the agent which brings the rest of the music into ordered existence.[10] Playing triplets within the 4/4 metre is common practice for jazz musicians. If done extensively, it corresponds to playing in 12/8. At medium tempo, Harris asks his students to use eighth- and sixteenth-note triplets in the course of phrases mostly conceived in eighth notes, after the example of Charlie Parker. But at slow tempi, he pursues a more profound process than interspersing phrases with ternary subdivisions of

[8] See Chilton 1990, 361. Harris reminisces about Hawkins's last days in a short video interview. He points out that Hawkins used 'all the Detroit piano players: Hank Jones, Roland Hanna, Tommy Flanagan… and then me' (Online: <https://www.youtube.com/watch?v=d3S3XIaM9cs>, accessed 1st January 2021). Pianist Albert Dailey replaced Harris for a brief time (see Chilton 1990, 368). Dailey died at age 46 in 1984, not as well known as he deserves. One can form a good idea of his stature by listening to *Poetry*, a duo album with Stan Getz (Elektra/Musician CJ 188, recorded 12 January 1983).

[9] NYU, New York, 14 November 2004. Online: <https://www.youtube.com/watch?v=WaTL2PUs3F0>, accessed 5 December 2019; quoted passage starts from [12:37].

[10] It is telling that Harris reacts to the audience's laughs at the mention of 'the Father, the Son, the Holy Ghost' with the remark 'this ain't no bull': the symbolic link between number 3 and the Trinity is well established in music. Around 1220 at Notre Dame in Paris, organum composer Léonin superposed up to three additional voices to original Gregorian chant melodies. He used ternary rhythms to organise these voices, and called them 'perfect' in reference to the Trinity (see François-Sappey 2018, 11-29).

the beat: 'When you play a ballad and stuff, you think of six. Lots of cats imitate Bird [Charlie Parker]. You couldn't imitate Bird on a ballad. Because I think – I don't even know if Bird knew it – I think he dealt in six'.[11] The distinctive aspect of Harris's 'thinking in six', as opposed to playing in 12/8, is that it affects the pulse itself: the quarter-note beat of the 4/4 metre becomes ternary and accelerates slightly along a 3:2 ratio.

During a workshop which took place in Bologna in November 2018, Harris demonstrated how to acquire the capacity to 'think in six' by singing 'Embraceable You'[12] and counting from one to six over the four beats of empty bars:

> 'Embrace me, my sweet embraceable you'… That six… that six does it, there is your thing, right there… 'Embrace me, you irreplaceable you'… See? So you sing with that six, in the six. 'Just one look at you, my heart grows tipsy in me' – and I'm saying: one-two-three, four-five-six, one [Harris counts to six in the empty bar following 'tipsy in me']. 'You and you alone bring out the gypsy in me' […] So when you sing it, the six is what goes on. And I think the reason is: *three*.[13]

In the aforementioned New York University masterclass, Harris asked horn players to play the melodies of 'You Don't Know What Love Is'[14] and of 'What's New',[15] and filled in the bars without melody by singing typically instrumental phrases. At times, as in the 'Embraceable You' example from Bologna, he counted six beats over the four given by the rhythm section, and waved his hand back and forth, leisurely separating the bar in two halves of three:[16] the aim is for the soloist to function, broadly, in the sextuple metre that will shape her or his phrases, not to enter a strict ternary subdivision of the

[11] NYU, New York, 14 November 2004. See reference in footnote 9. From [13:56]. As discussed at the end of this chapter, Hawkins's improvisations on ballads seem to provide a better illustration of Harris's 'thinking in six' than those of Charlie Parker.
[12] George and Ira Gershwin (1928).
[13] Bologna, Italy, 2 November 2018. Online: <https://www.youtube.com/watch?v=3zt_yv-3qgA>, accessed 27 November 2019; quoted passage starts from [01:15].
[14] Gene de Paul and Don Raye (1941).
[15] Johnny Burke and Bob Haggart (1939).
[16] NYU, New York, 14 November 2004. See reference in footnote 9. From [15:10].

beat – and indeed several phrases sung by Harris in the empty bars are actually in sixteenths and so in simple (binary) metre: but the ternary pulse of the 'six' remains perceptible as being Harris's framework. In the phrases sung by Harris we *hear* the difference between a groove, in the sense of a precise rhythmic pattern,[17] and the act of grooving, in the sense of a capacity to perform music so that it grooves or swings, regardless of which rhythmic figures are used.[18]

Addressing more specifically those in charge of the melody, the horn players, Harris insisted on the transformation of their playing effected by the reliance on sextuple metre: 'What happens is that you start in on the six beat and on the three beat. Once you do this, once you start thinking the six you become another drummer. And so you aren't with the drummer, they are playing 4/4. You aren't with that 4/4, you're more with the six'.[19] Later on, Harris emphasised the primacy of rhythm over every other aspect of music: 'When you start soloing is […] when you should think of six. Don't think of four. Because then… first you become a drummer, you are a drummer before you are a horn player. Rhythm rules the world'.[20] The process called for by Harris starts with a rational gesture: mentally counting six beats over four, which results in quarter-note triplets (or hemiolas). But Harris's loose hand gestures and the fact that some of his phrases are in simple metre both suggest that 'thinking in six' is not necessarily meant to generate 'strict' ternary figures, which would still be 'with the drummer', but is instead a new pulse, of which the saxophonist is the 'drummer'. Although Harris speaks of 'thinking' in six, it is apparent that his aim is to foster in jazz musicians an ability to internalise the polyrhythmic 6/4 pulse, to get them to 'feel' it. The 'six' precedes their thinking, it shapes what they play, and it acts without needing translation into explicit rhythmic figures. This is why Harris says: 'So you sing *with* that six, *in* the six…'.[21] The

[17] See first definition given in Schmidt Câmara and Danielsen 2019, 272.
[18] See third definition given in Schmidt Câmara and Danielsen 2019, 275.
[19] NYU, New York, 14 November 2004. See reference in footnote 9. From [16:54].
[20] *Ibid.,* from [19:42]. Soprano saxophonist Steve Lacy wrote in a notebook some advice he received from Thelonious Monk, with whom he played at various times. At the top of one page, it reads: '1. Monk's Advice (1960). Just because you're not a drummer, doesn't mean that you don't have to keep time'. Reproduced on Brew Lite's website, online: <https://brewlitesjazztales.wordpress.com/2009/01/14/monks-advice-notes-by-steve-lacy/>, accessed 12 March 2019.
[21] Harris has several ways of making his students experience music physically, in order to unite mind and body. Perhaps the point to which he returns most frequently in this regard is that jazz musicians must tap their foot on beats 1 and 3 while playing. According to Harris, tapping one's foot on beats 2 and 4, as is

polyrhythmic pulse called for by Harris is part of the jazz 'feeling' evoked by Hawkins. This feeling impacts how rhythms are phrased, as well as what rhythmic figures are used. The figures relate to the 'mechanical aspects' of rhythm which 'can be taught' – and studied. 'Mechanical' rhythmic figures arising from the 'six feeling' are triplets and sextuplets. The latter, especially, are central to Hawkins's rhythmic language.

§3.2 Sextuplets

Coleman Hawkins was a notoriously 'busy' player who charged his improvisations with an abundance of melodic, rhythmic, harmonic, and sonic ideas.[22] On ballads, in order to accommodate such a wealth of musical content, he favoured a high denominator of rhythmic subdivision. A number of saxophonists, especially since the mid-1950s, tend to subdivide in simple metre, preferring binary figures such as sixteenths or thirty-seconds – thus implying a tempo twice as fast as the actual one, which is often followed by the rhythm section by playing in double-time. By contrast, Hawkins generally subdivided in compound metre, with a special predilection for the sixteenth-note sextuplet.

On Hawkins's recording of 'Just One More Chance',[23] the band provides a spacious, simple accompaniment to the tenor saxophone: Earl Hines's chords fall mostly on the first and third beat of each bar, with few right-hand fills; the repeated ascending chromatic line played as a background by Trummy Young and Joe Thomas is all in quarter notes; Cozy Cole's brushwork lightly accentuates beats 2 and 4; Teddy Walters's guitar chords strum along in regular quarter notes; and Billy Taylor plays his bass line in half notes. No one in the band plays much figures that subdivide the beat, and their

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commonly encouraged, is a mistake. Beats 2 and 4 are to be clapped with one's hands, or snapped with one's fingers, complementing the foot, which must tap on 1 and 3. As Harris puts it: 'One and three belong to Earth, two and four belong to Heaven'. Berliner (1994 151-152) relates that Tommy Ladnier, Doc Cheatham, and Jelly Roll Morton also advised jazz musicians to tap their foot while playing. Harris's students are also made to sing melodies and rhythms (see examples in Berliner 1994, 155).

[22] Don Heckman conveys this intricacy with an apt metaphor: 'Compared to [Lester] Young, Hawkins sounds almost baroque. His music is filled with ornamentations and decorations, all dedicated to the continuous expansion of a soaring imagination. Appoggiaturas, suspensions, and slurs shift and turn the planes of sound in the same way that arches, spires, and flying buttresses produce complicated patterns of light and shade in a Cologne cathedral' (*Down Beat*, March 1963, 20-22).

[23] Keynote HLK 19, recorded 22 February 1944.

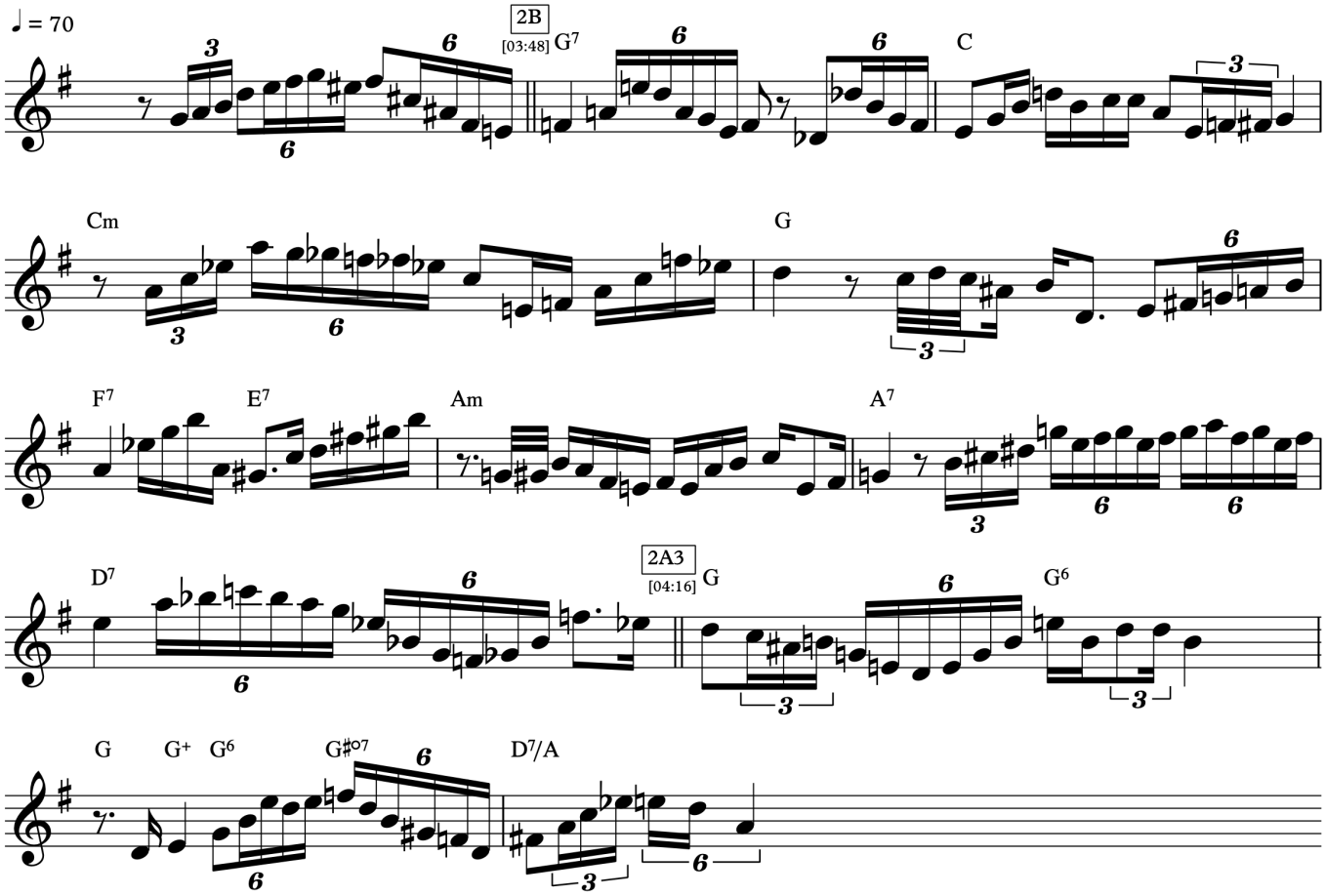
composite accompaniment is almost entirely made up of half notes and quarter notes. The opportunity to provide the inner subdivision for each beat is left to Coleman Hawkins, who proceeds to paraphrase the original melody, written in eighth notes, by turning it into triplets (example 3.1).[24]

EXAMPLE 3.1: 'Just One More Chance' 1A1/1-7 [00:08].

Starting from these eighth-note triplets, Hawkins gradually builds up his phrases into sixteenth notes (1A2), sextuplets (1B), and ends with a bouquet of subdivisions: sixteenths, a quintuplet, sextuplets, and a septuplet (1A3, see example 3.15).[25] When he comes back at the bridge after the piano solo (2B, see example 3.2), Barry Harris's 'thinking in six' predominates: Hawkins bases the majority of his phrase segments on the sextuplet subdivision well into 2A3;[26] in a characteristic balancing between simple and compound metre, he intersperses them with other phrase segments conceived in sixteenths.[27]

[24] Hawkins's theme variation technique is treated in Chapter 5.
[25] See complete transcription of Hawkins's solo on 'Just One More Chance' in Appendix IV.
[26] The 'eighth note followed by a sixteenth-note triplet' rhythm at 2A3/1/1 and 2A3/3/1 (example 3.2) is really a sextuplet with the three first notes tied into one. I chose this notation to recall to the reader and listener that the underlying time feel, as played by the rhythm section, remains 4/4 (as opposed for example to a 12/8 shuffle beat).
[27] Compare with examples 3.5, 6.2, and 6.4. Commenting on a recording of *Darktown Strutters' Ball*, Gunther Schuller (1989, 433) suggests that Hawkins's ability to switch from simple to compound metre comes from thinking *alla breve*: '[Hawkins's eighth notes] are not 4/4 eighth notes as in later Swing Era

EXAMPLE 3.2: ‘Just One More Chance’ from pick-up into 2B [03:48] to 2A3/3.



The pick-up to 2B improvised by Hawkins shows how a melodic instrument can impact the metre of a piece, or, to refer to Barry Harris’s words, how a saxophonist can ‘be a drummer’. Pianist Earl Hines’s eight-bar solo in 2A2, which precedes Hawkins’s reentry in 2B, is firmly established in simple metre: excepting a few fast runs, most phrases are in sixteenths. In 2A2/7 Hines plays his last right-hand phrase, still in sixteenth (example 3.3). As soon as Hines is finished (2A2/8), Hawkins irrupts with a pick-up to the bridge in sextuplets, instantly transforming the prevalent metre from simple to compound.

The phrase is exemplary of Hawkins’s ability to maintain a strict connection with the harmonic underpinnings of a song even in compound metre, arguably a more difficult

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jazz, but more like sixteenth notes in a slow quarter-note tempo […] This is what enables Hawkins to slide so easily into quarter-notes triplets in the thirteenth bar. In feeling they are just triplets in a “long” beat, rather than cross-accenting triplets across *two* beats – a crucial musical difference’.

pursuit than doing so in simple metre, especially when improvising. It helps, to be precise harmonically, when a chord sequence unfolds regularly, each chord lasting for two or four beats, as is the norm in duple or quadruple metre. This is also true, at the subdivision level, in simple metre. When the beat is subdivided in eighth-notes, in sixteenths, or in thirty-seconds, the harmonic route chosen by the improviser can be negotiated in regular groups of two, four, eight, or sixteen notes.[28] In triple metre, by contrast, the harmonic movement can be uneven, one chord lasting two beats and the next chord lasting one beat, or the reverse. When in compound metre, subdividing the beat in three, six, or nine, the same difficulty can arise, even if the metre of the bar remains duple or quadruple. Furthermore, the superimposed sextuple metre used by Barry Harris, and probably by Hawkins as well, because it combines duple and triple metre, offers a variety of chord distribution within the bar that is challenging to manage. Chords can be placed unevenly (two beats, one beat, two beats, one beat);[29] or they can be placed evenly either in triple metre (two beats, two beats, two beats) or in duple metre (three beats, three beats). This also applies at the subdivision level when using sextuplets.

If, because of their composite and at times uneven nature, sextuplets are harder to manipulate than sixteenths, they also open up new harmonic possibilities, as illustrated by the phrase played by Hawkins at the beginning of example 3.2. At this juncture, he navigates from I (G) in 2A2/8 to V^7/IV (G^7) in 2B. The changing note is the leading tone F♯ which becomes F as the song modulates to C major. F is the subdominant in the new key, a chord that sounds well over the dominant because it adds movement by 'suspending' its 4^{th}.[30] A useful notion should be introduced here: the designation of ii as the 'important minor' of V. Barry Harris, when teaching horn players, almost never talks of ii – V – I progressions. He is critical of 'chord-scale' theory, which tends to turn any

[28] Nonchord tones are also easier to manipulate in simple metre, because they are either accented or unaccented. For example, in tonal jazz, chromatic passing tones are frequent, and they are usually placed on an upbeat (unaccented) eighth note. In compound metre, nonchord tones in general, and chromatic passing tones in particular, are comparatively difficult to handle, since they could occur in three different places within the beat. The distinction between accented and unaccented tones, which plays an important role in clarifying the harmonic discourse, is blurred, especially in the middle of the beat (second of three notes).

[29] Irregular chord distribution can be applied in 4/4 as well, but is infrequent. See footnote 27 in Chapter 7 and the paragraph it is attached to.

[30] In classical music it is not technically a suspension, since the dominant's 4^{th} (C) is not present in the previous chord (G). In jazz theory, however, a suspension does not need to be prepared, and a G^7 chord featuring C instead of B is designated as a 'suspended chord' and labeled $Gsus^7$.

harmonic movement into ii – V – I, and which associates a mode to each chord.[31] Instead, Harris tells horn players to think of V and of its movement towards I. The horn player has to know the two chords associated to V (G^7 in this case): the chord built on the dominant's 5th, designated by Harris as the 'important minor' (D minor, i.e. ii in the tonality of C), and the chord built on the 7th of the dominant (F, i.e. IV in C). Both chords (ii and IV, the two main pre-dominants of I) can be used either as triads, or as 7th chords (D_{min}^7 and F_{maj}^7 respectively).[32]

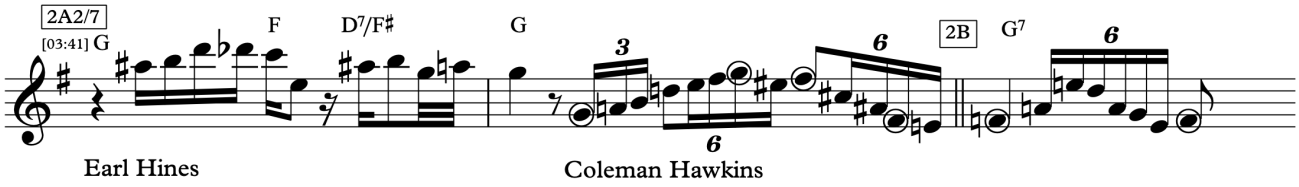
The phrase under discussion shows that when moving from G (I) to G^7 (V/IV), one path open to the improviser leads from a G to an F triad. Here, Hawkins leaps up to G in 2A2/8/3, surrounds the leading tone F♯ and comes down an F♯ triad in 2A2/8/4, then in 2B/1/1 surrounds F before leaping up a F_{maj}^7 chord. A testimony to Hawkins's precision: since the rhythm section plays G^7 in 2B/1 (as in the published sheet music of 'Just One More Chance'), Hawkins spells the F_{maj}^7 chord without its 5th, thus avoiding the C that would make the dominant a suspended chord and thus clash with the accompaniment. In this miniature, Hawkins has artfully thrown a passing F♯ triad[33] in between the G and the F triads, treating each in a different manner: the G triad is filled in with the collection of notes that results from playing a major scale and skipping $\hat{4}$;[34] the F♯ triad maintained as such (or, if one considers the low E that leads to F in the next bar as being part of the chord, turned into $F^{\sharp 7}$); the F triad, as we have seen, into a F_{maj}^7 chord without its 5th.

The result of these variegated treatments of the three chromatically descending triads is that Hawkins avoids playing the tonic of the target key C major (IV of G), which he only gets at on the second beat of 2B/2/2, when the song has resolved to C. Most remarkably perhaps, Hawkins seems to insist on the procedure he has decided to deploy

[31] See Baker 1969/1983, Mulholland and Hojnacki 2013, Terefenko 2014, and overview in Salley 2015.
[32] Two other chords belonging to V^7, according to Harris, are the diminished 7th built on the 3rd of the dominant, or leading tone of the tonality (B^{o7}), and the augmented chord (G^+). Regarding the 'important minor', compare with Leonard Feather's less practical conceptualization (Feather 1949/1977, 70, ex. 26).
[33] Since the movement is descending from a G to a F triad, a G♭ spelling might seem preferable for this passing triad, but since it is built on the leading tone F♯ and since the goal of the phrase is to embellish the change from F♯ ($\hat{7}$ in G) to F ($\hat{4}$ in C), it makes more sense to write F♯.
[34] This collection is well suited to major 7th chords. It forms the first phrase of Hawkins's composition 'Hanid' (*Coleman Hawkins and Confrères*, Verve MG-V8346, recorded 7 February 1958), based on the song 'Dinah' (Harry Akst, Sam Lewis, and Joe Young, 1925). The collection was often used by John Coltrane, for example on his composition 'Naima' (*Giant Steps,* Atlantic 1311, recorded May and December 1959).

by outlining clearly the roots of these three triads: each of them, G, F♯, and F, is played twice (see circled notes in example 3.3). This harmonic scheme is facilitated by the recourse to sextuplets, which can accommodate the complex contours of the phrase, while serving the parallel goal of shifting from the simple metre projected by Earl Hines to compound metre.[35]

EXAMPLE 3.3: Last phrase of Earl Hines's solo on 'Just One More Chance', starting at 2A2/7-8 [03:41], transposed in the tenor saxophone key of G, followed by Hawkins's pick-up into 2B.



'Just One More Chance' is performed at ♩≃ 70, a tempo which creates enough space in each quarter note to comfortably fit in a sextuplet. On a slower tempo, Hawkins is even more daring in his usage of the sextuplet subdivision, taking the time to trill some of the notes or to add grace notes between two sextuplet notes. A live version of 'I Can't Get Started',[36] recorded by Norman Granz during a Jazz at the Philharmonic concert in 1946, finds Hawkins in proverbial form.[37] It is a prime example of the endless flow of ideas that

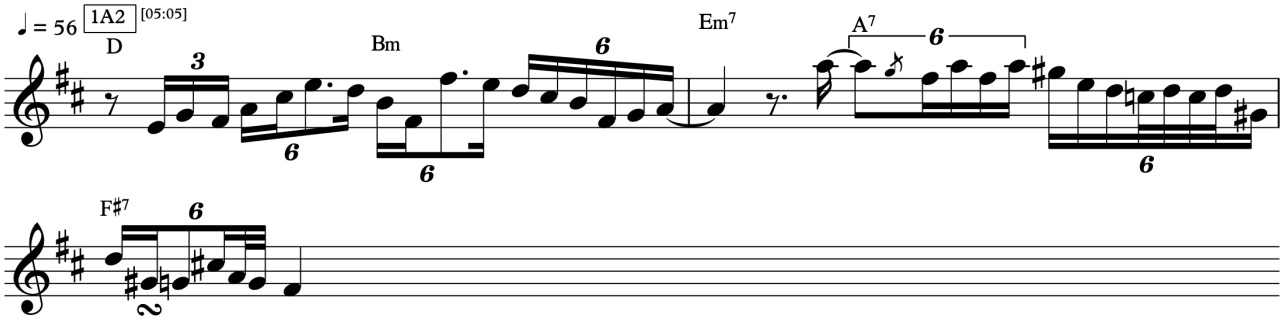
[35] Hawkins's improvisational mastery in this number was a source of inspiration for at least one up-and-coming musician: in 1947 Lucky Thompson recorded a virtuosic rendition of 'Just One More Chance', at the age of 23 (Victor 510, recorded in Los Angeles 22 April 1947). As 'Just One More Chance' is not a common song amongst jazz instrumentalists, it is probable that Thompson's interpretation was a direct answer to Hawkins's. Another probable homage came some fourteen years later when the song was recorded by Ike Quebec on his debut album for Blue Note, *Heavy Soul* (BST 84093, recorded 26 November 1961).

[36] Verve 815 149 1, recorded 27 May 1946.

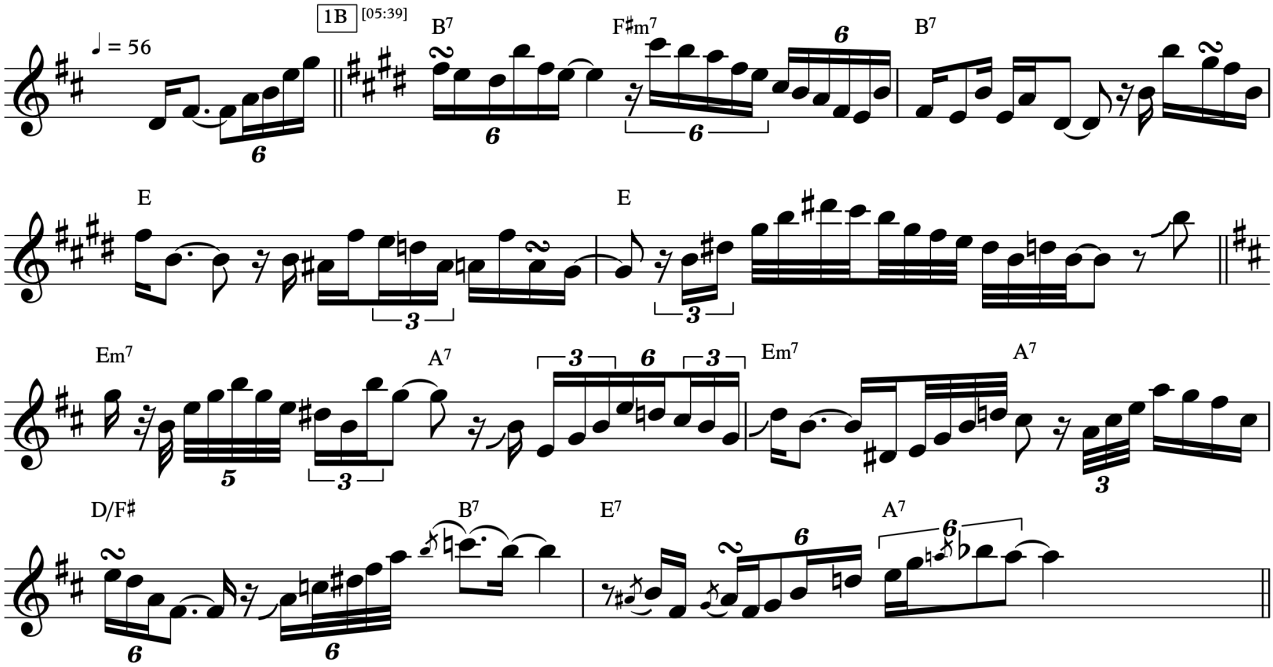
[37] Lester Young was also part of the band assembled by Norman Granz for the 1946 JATP tour during which this concert took place, and like Hawkins he is in great form on the several numbers that were recorded on May 27. It is a joy to hear the two men improvise on the same songs, albeit at a safe distance from each other, with someone else intervening in between their solos. Buck Clayton, the trumpet player on the tour, was star struck in their presence: 'These two giants of the tenor got along like they had been together for some time. They knew it was a continued cutting contest but neither one of them doubted his own ability. It was like a weigh-in for the two heavyweight champions of the world […] They both had something that every other tenor man would have given his life for – their own individual style. Sometimes I'd get so wrapped up in listening to these two that I'd be surprised to find that I had to follow either one of those cats' (Clayton 1986/1989, 130). Also see Chilton 1990, 239, regarding the 27 May 1946 concert. Young and Hawkins met for the first time in Kansas City in 1933, in the most famous showdown in jazz lore, the victory being variously attributed to Young or to Hawkins depending on the witness (see Stewart

can spring from his rhythmic imagination on a good night. Examples 3.4 and 3.5 illustrate the increased complexity with which Hawkins manipulates sextuplet subdivisions at a slower tempo, here ♩≃ 56. Example 3.5 also shows how Hawkins seamlessly shifts between simple and compound metre.[38]

EXAMPLE 3.4: Sextuplets in 'I Can't Get Started' 1A2/1-3 [05:05].



EXAMPLE 3.5: Sextuplets in 'I Can't Get Started' 1B/1-8 [05:39].

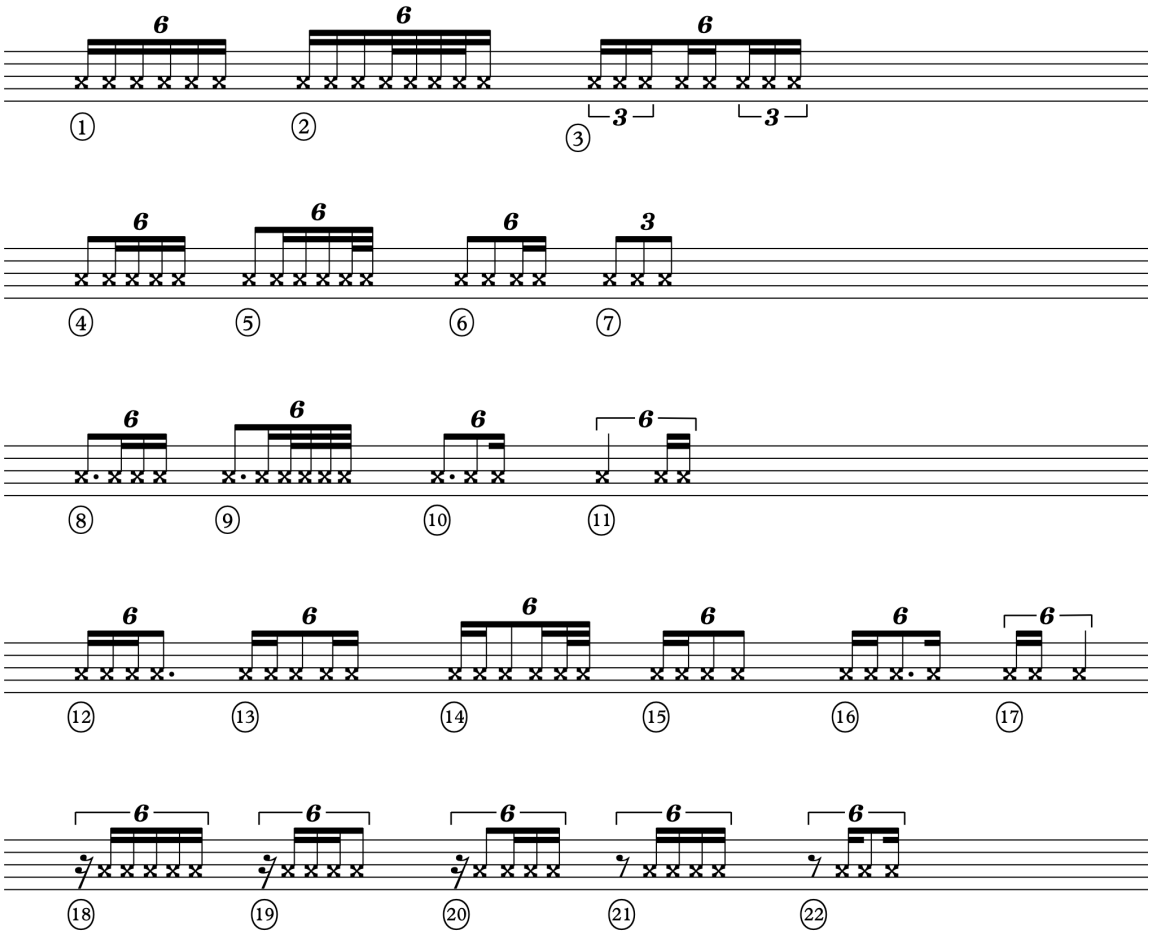


1972, 70, Driggs and Haddix 2005, 126-127, Chilton 1990, 91 and 268). Another meeting took place at the Apollo Theatre in New York City in 1940; according to Leonard Feather, Hawkins played so energetically that Young was reluctant to follow after him (see Chilton 1990, 172).

[38] See examples 3.2, 6.2, and 6.4.

While he uses sextuplets for their 'real' rhythmic impact on the metre in example 3.3, in this instance he seems to use them as a kind of finely ornate embroidery, the complexity of which aims at blurring the steady pulse articulated by the rhythm section, thus creating the rhapsodic effect Hawkins is known for. This effect could be defined as the usage of rhythm and phrasing for expressive and dramatic purposes, rather than for rhythmic ones. Whatever usage Hawkins makes of them, be it rhythmic or rhapsodic, the sheer diversity of groupings within the sextuplet subdivision is striking. Example 3.6 lists every form of sextuplet that can be found in the two solos examined so far.

EXAMPLE 3.6: Sextuplet groupings in 'Just One More Chance' and 'I Can't Get Started'.



The figures performed by Hawkins in the span of just two improvisations, if they do not quite exhaust the possible internal groupings of sextuplets, are manifold. Each figure seems to have been considered carefully in order to constitute a rhythmic lexicon, a mental repertoire ready to sustain Hawkins at the time of playing.[39] The variety of sextuplet figures shown in example 3.6 is enhanced by the way in which each is linked to its immediate vicinity: it might be tied to the last note of the previous beat, as in 'I Can't Get Started' 1A2/2/2-3 and 1A2/8/3-4 or in 'Just One More Chance' 1A1/5/3-4; to the first beat of the next bar, as in 'I Can't Get Started' 1A1/5/4, 1A2/1/4, 1B/5/2, 1B/8/3, and 1A3/2/3, or as in 'Just One More Chance' 1A1/7/1, 1B/3/4, 1A3/5/2, and several eighth-note triplets in 1A1 and 1A2; or, finally, it might even be tied both to the previous and to the next beat, as in 'Just One More Chance' 1B/4/1.[40] It might be preceded or followed by another type of sextuplet grouping, or by the same one, and it is often found in the midst of other kinds of subdivisions, eighths, sixteenths, or thirty-seconds, to which it can also be tied, or not. Such a free play of combinations, between so many distinct rhythmic figures, is arguably uncommon in an improviser playing a melodic instrument; it can be seen as a distinguishing feature of Hawkins's rhythmic conception. He seems to have devoted as much thought to the question of rhythm as a drummer would.

Figure 3 in example 3.6, taken from 'I Can't Get Started' 1B/5/4 (at [06:00]), might seem incongruous, but I propose it as an illustrative example of Hawkins's rhythmic invention. He subdivides the beat in three eighth notes. The middle one is itself subdivided in two, while the first and third notes are subdivided in three. Hawkins introduces triplets within a sextuplet, forming a rhythmic palindrome. This figure might look bizarre in sixteenths, and appear as an instance of 'meticulous excess'[41] from the part of the transcriber. Rewritten in eighth notes, however, it becomes apparent that it is not such an uncommon entity (example 3.7).

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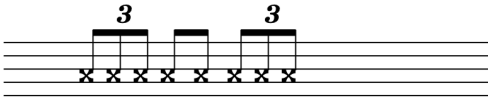
[39] Several saxophonists (Illinois Jacquet, Budd Johnson, Dexter Gordon, Paul Quinichette, Al Cohn, Zoot Sims, Stan Getz) have succeeded in closely imitating Lester Young's rhythm, especially in the early stages of their careers; none, in my reckoning, has ever been able to do so with Hawkins's rhythm – not even Don Byas or Lucky Thompson. The reason might be that Hawkins's rhythmic realizations, as his harmonic and melodic ones, are rooted in active thinking; consequently they are difficult to internalise by copying (see §1.1).

[40] See complete transcriptions in Appendix IV.

[41] Abbé Plomb to Durtal, characterising a temptation of medieval science, in J. K. Huysmans's *La Cathédrale* (Paris: Stock 1898, Paris: Folio Classique 6397, 2017, p. 164).

EXAMPLE 3.7: ‘I Can’t Get Started’ 1B/5/4 (figure 3 in example 3.6) rewritten in eighth notes.



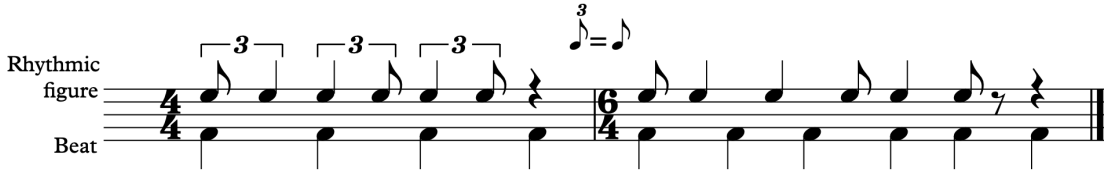
The variety of sextuplet figures listed in example 3.6, the flexibility with which Hawkins applies them, and the continually renewed melodic and harmonic invention they give rise to, suggest that what is at work is not a ‘rigid’ mathematical subdivision of the beat. Hawkins’s sextuplets, although they remain at all times ternary subdivisions in the main 4/4 metre, may result from a ternary pulse, a superimposed 6/4 metre of the kind preconised by Barry Harris. Eighth notes in this new 6/4 pulse are equivalent to triplets of the underlying 4/4, and sixteenths are equivalent to sextuplets. These two metres work together because they are both based on the merging of binary and ternary elements. In one case the metre is binary and the subdivision is ternary (triplets in 4/4, or compound quadruple metre); in the other case the metre is ternary and the subdivision is binary (eighth notes in 6/4, or simple sextuple metre). Thus, when Hawkins plays sextuplets over the band’s 4/4 beat, at times he might be thinking a superimposed 6/4 metre, and playing sixteenths within it.

The coexistence of six and four, or rather of three and two, is a defining feature of African music, which was transmitted to American jazz.[42] It is also found in other musical traditions, as noted by Rose Brandel: ‘The African hemiola-style is based in the play of two and three as found in the European hemiola, in the Ancient Greek hemiola, and in Middle Eastern and Indian rhythms’.[43] The top part in example 3.8 is a typical African rhythmic figure, which coexists in 6/8 and in 4/8 (or 2/4).[44] Here, it is rewritten

[42] Wynton Marsalis, in one of the lectures delivered at Harvard between 2011 and 2014 under the general title ‘Hidden in Plain View: Meanings in American Music’, demonstrated how 6/8 rhythms found in African music and in Irish gigs were the basis for the American shuffle beat. Online: <https://www.youtube.com/watch?v=RHGyvtQ8TA0>, accessed 4 January 2021.
[43] Brandel 1959, 106-107.
[44] The figure was used by Marsalis on a video posted on social media, to demonstrate how to move from 4/8 to 6/8 (or from 4/4 to 6/4). Although I recall the figure well, because I practised it afterwards, I could not find any trace of it on the internet at the time of this writing. The figure is similar to the one used by Marsalis’s drummer Ali Jackson in the Harvard lecture mentioned in footnote 42.

in 6/4 and 4/4 in order to fit the context of the present discussion: the first bar corresponds to the rhythm section's 4/4, the second bar to Barry Harris's superimposed 6/4.

EXAMPLE 3.8: 6/8 African rhythmic figure, rewritten in 4/4 and in 6/4, with metric modulation.



The bottom part of example 3.8 shows the beat in quarter notes. The two bars have the same duration, as indicated by the metric modulation from eighth-note triplet to eighth note. Consequently the speed of the top part, the rhythmic figure, is stable from one bar to the next. It is the lower part, the beat, which accelerates from four to six within the same duration, as in a hemiola, or, to be more precise, a 'sesquialtera'. Rose Brandel, describing 14th century European music, distinguishes the two terms:

> Note-coloration within an imperfect tempus (i.e., binary) gave rise to triplets ([…] two quarters became a [quarter-note] triplet) – this was sesquialtera; note-coloration within a perfect tempus (i.e., ternary) gave rise to regrouping rather than substitution ([…] two groups of three quarters became three groups of two quarters) – the true hemiola.[45]

According to this definition, Barry Harris's 'thinking in six', the superposition of 6/4 over 4/4, is a sesquialtera. It changes the rate of the pulse, which accelerates along a 3:2 ratio, as the quarter notes do under the African rhythmic figure shown in example 3.8. Once this new pulse is internally established by the improviser, once she or he 'thinks in six', playing sixteenths in it produces sextuplets in the 4/4 pulse.

What is true at the level of the beat is also true at the level of its subdivision. The rhythm in the top line of example 3.8 coexists in 4/4 and in 6/4. In the same manner, the

[45] Brandel 1959, 106.

sextuplet figures in example 3.6, each of which occupies one beat in the 4/4 metre played by the rhythm section on 'Just One More Chance' and on 'I Can't Get Started', can be made to subdivide that beat either in two or in three parts, or 'sub-beats'. This affects how certain notes fall with regard to the sub-beats, and consequently which notes are accented. Notes that are 'on the beat' (i.e. on a sub-beat) when the beat is divided in three can become upbeats (i.e. in between two sub-beats) when the beat is divided in two. For example, in figure 21,[46] if the beat is divided in three, the notes are grouped in two, and the first and third notes are accented, falling as they do on sub-beats 2 and 3.[47] If, in the same figure, the beat is divided in two, the notes are grouped in three, and the first note is now an 'upbeat', serving as a pick-up to the three next notes; only the second note is accented. Conversely, the obvious feature of figure 8 is that it divides the beat in two, and that the second note falls on the sub-beat and is accented. But the same figure could be used when the beat is divided in three, in which case the second note becomes an 'upbeat', and the third falls on the last sub-beat and is the accented one.

Another effect of a change in the subdivision rate is that notes that inhabit one sub-beat can become tied over two sub-beats. Figure 13 neatly divides the beat in three: the first, third, and fourth notes fall on a sub-beat. It can also be phrased as two groups of three, the third note being tied over sub-beat one and sub-beat two. Conversely, the most immediate reading of figure 12 is that it divides the beat in two, the first and fourth notes falling on sub-beats; nevertheless, the beat could just as well be divided in three: the first and third notes would fall on a sub-beat, and the fourth note would be tied over sub-beats 2 and 3.

Keeping in mind that any figure in example 3.6 can be performed – and heard – both as a ternary or a binary subdivision of the beat, we can observe that in many cases one of the two options seems more evident when the figure is read and considered from an abstract perspective. At first sight – and if performed without a deliberate intention to switch accents around – figures 8 to 10, 12, and 20 divide the beat into two groups of

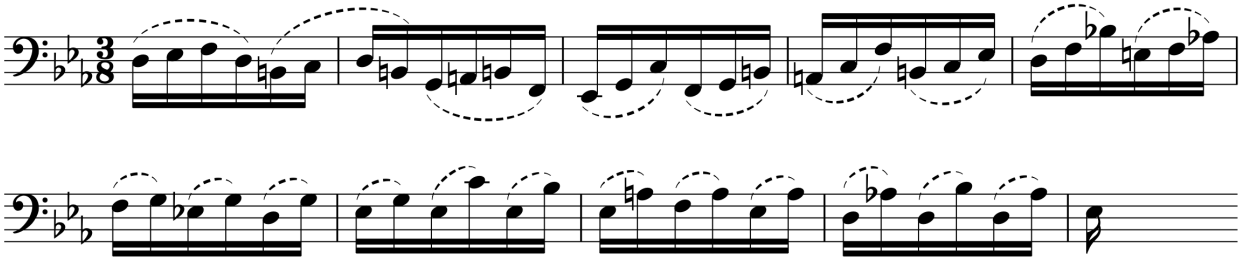
[46] Figure numbers in this and the next paragraphs refer to example 3.6.
[47] Figure 21 (and figure 4, which is the same one, starting with a note rather than with a rest) are frequently used by Hawkins (see first and second bars of example 6.4). The strongly emphasised grouping of four notes makes it especially plausible that these figures arise from a superimposed 6/4 metre, in which the four notes are four sixteenths or one beat.

three notes.[48] Similarly, figures 3 to 7, 11, 13 to 17, and 19 divide the beat into three groups of two notes. We can observe that a majority (twelve) of the sextuplet figures used by Hawkins on 'Just One More Chance' and on 'I Can't Get Started' divide the beat into three binary sub-beats. This seems to confirm that Hawkins did indeed 'think in six' at ballad tempo. As already mentioned, sextuplet notes in 4/4 are equivalent to sixteenths in the superimposed 6/4. If grouped in two, these sextuplet notes are accented as sixteenths would be in the superimposed 6/4 metre, and they are more likely to project a polyrhythmic pulse of six over four (or three over two).

Pianist Roland Hanna told John Chilton that '[Hawkins] was always particularly interested in the cello and revered Pablo Casals', and that 'he'd listen enraptured to the Bach Cello Sonatas'.[49] Listening to Bach and – presumably – practising his music on the saxophone, on the piano, and, in his youth, on the cello,[50] influenced Hawkins harmonically and melodically.[51] Chances are that it also influenced him rhythmically. In particular, Hawkins might have been attentive to the play between simple and compound metre that characterises several movements in the *Cello Suites*. A passage in the 'Prélude' of the *Cello Suite V in C minor* (bars 92-101) is particularly relevant for our present concern (example 3.9). The metre is 3/8, and Bach writes a continuous stream of sixteenths, resulting in what would be sextuplets if each 3/8 bar were a beat in 4/4. Bach, in close succession, internally groups these sextuplets in four (bars 92-93), in three (bars 94-96), and in two (bars 97-101). Each note is meaningful harmonically, and the polyrhythmic implications of the successive groups of four, three, and two notes are generated by the harmonic-melodic contour.

[48] Figure 10 is especially telling in this regard, as it corresponds to the drummer's ride cymbal pattern (in rhythmic reduction).
[49] Chilton 1990, 355 (see full quote in §1.1). Hanna is referring to the *Cello Suites*, first recorded by Casals in 1936-1939 for HMV.
[50] The cello's lowest note is C, the saxophone's is B♭, and both have a comfortable range of two octaves and a half. A saxophonist can therefore read the *Cello Suites* straight from the score (except for the *Suite VI* because of its added string). Hawkins had studied the piano and the cello in his youth. According to Hanna, in the 1960s he regularly played classical pieces on the piano, and could still play the cello, although he seldom did (see §1.1). Hawkins can be heard playing piano on 'Me and Some Drums' (*Shelly Manne: 2-3-4*, Impulse! A-20, recorded 5 and 8 February 1962).
[51] See chapters 4 and 5.

EXAMPLE 3.9: 'Prélude' of Bach's *Cello Suite V* (bars 92-101).



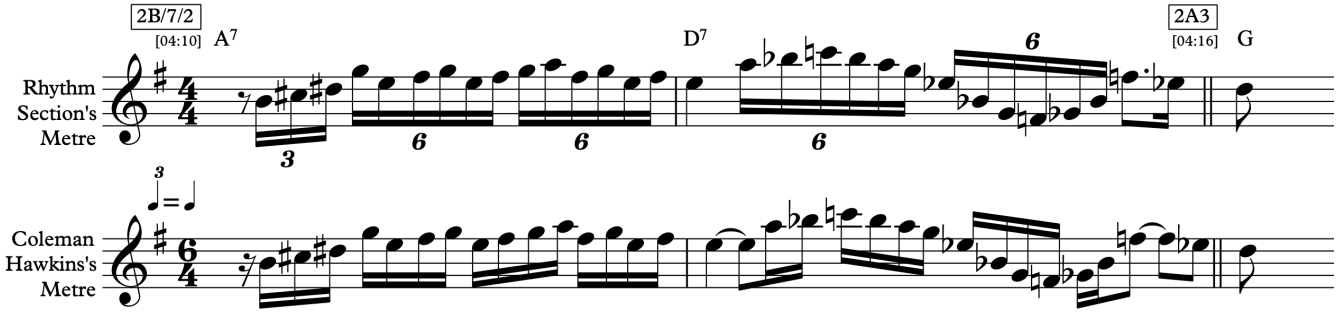
The rhythmic possibilities demonstrated here can be imported into 4/4 at slow tempo, by playing one sextuplet per beat. Bars 92 and 93 occupy two beats if rewritten in 4/4, and correspond to three beats of sixteenths in the superimposed 6/4 (example 3.10).

EXAMPLE 3.10: 'Prélude' of Bach's *Cello Suite V* (bars 92-93), rewritten in 4/4 and in 6/4.

In similar fashion, Hawkins sometimes groups notes internally in twos and fours when playing 'uninterrupted' sextuplets (figure 1 in example 3.6). It is in such instances that the claim that he might be 'thinking in six' – playing a string of sixteenths on a superimposed 6/4 metre – is perhaps strongest, since he seems to be following intently the polyrhythmic pulse with a continuous stream of notes, in double-time. In 'Just One More Chance' (see example 3.2), at 2B/7/3, the sextuplet is ambiguous and could be read either as two groups of three or three groups of two; the ambiguity is reinforced by the three-note pick-up leading into it. In the next beat, at 2B/7/4, the sextuplet is clearly grouped internally in twos, and so are the two sextuplets in the next bar at 2B/8/2-3. In example 3.11, these two bars are shown in the 'original' 4/4 (the metre played by the

rhythm section), and in Coleman Hawkins's superimposed 6/4. Like the two bars in example 3.8, the two lines have the same duration.[52]

EXAMPLE 3.11: 'Just One More Chance' 2B/7 and 2B/8 [04:10], written in 4/4 and in 6/4.



Even when it seems clear, on paper, that Hawkins is 'thinking in six' and grouping sextuplets in two or four, listening to the recording may raise doubts. This is because of the 'feeling' part of the equation proposed by Hawkins: 'What is jazz? The rhythm – the feeling'.[53] When Hawkins generates rhythm on the tenor saxophone, three main factors are at work: the rhythmic figures that he uses, how the harmonic-melodic contour groups the notes within that figure, and how he phrases it. The phrasing itself is the result of several factors. The strongest is tonguing; it acts in conjunction with dynamics, and with the percussive aspect of the fingers closing and opening the pads of the saxophone.[54] Furthermore, tonguing can be more or less forceful; it can be 'ta' or 'da' or 'la'; or it can be entirely absent, as is often the case when Hawkins plays uninterrupted sextuplets. All these factors combine to generate a richly polyrhythmic texture which cannot be conveniently reduced to being *either* ternary *or* binary: at most times it is both. The best guess is that Hawkins played simultaneously in the band's 4/4 *and* in a superimposed 6/4, shifting constantly from one to the other. Hawkins is both 'with the drummer', and his own drummer.

[52] Examples 7.9 and 7.10 show two passages of Hawkins's improvisation on 'You Go to My Head', written in 4/4 and in 6/4. The same process could be applied to the phrases played by Hawkins in the three first bars of example 6.4, on 'If I Had You'. In his solo on 'Mood Indigo' (*Duke Ellington Meets Coleman Hawkins*, Impulse! AS-26, recorded 18 August 1962), Hawkins applies the 'thinking in six' principle extensively, and many of his phrases could likewise be rewritten in 6/4.
[53] Shapiro and Hentoff 1955, 389. Quoted in the introduction to this chapter.
[54] During his workshops, Barry Harris often tells saxophonists that 'swing is in your fingers', meaning that rhythmic phrasing is a physical, percussive process even on a wind instrument.

At the end of §3.1 I argued that Barry Harris's 'thinking in six' is both a conscious device and something of a more diffuse and sensory nature that precedes or surrounds the improviser's thinking, and informs her or his choices. A close scrutiny of Coleman Hawkins's usage of sextuplets tends to confirm such a view. It is readily observable that he does indeed function both in a binary and in a ternary manner when dealing with sextuplets. Yet there is no firm dividing line between the two: when playing ballads, Hawkins is *in* both at all times. The next section examines a contrasting rhythmic strategy that Hawkins adopts when he wants to use a more straightforward kind of rhythmic language.

§3.3 Sixteenths

Coleman Hawkins did not always 'think in six' when playing a ballad. Often he chose to base the most part of his improvisation on sixteenths, especially at the comparatively faster tempo of a walking ballad.[55] A distinction should be made between rhythmic subdivision and phrasing. At medium tempo, jazz improvisers typically play on the ambiguity between simple and compound metre when phrasing eighth notes.[56] At a slower tempo, this also applies to sixteenths. Regardless of the tendency to phrase in compound metre, the actual subdivision chosen – how many notes in a beat regardless of how they are phrased – can still be simple (binary) or compound (ternary). In other words, when Hawkins favours sixteenths, he is affirming simple metre, even if he phrases some of these sixteenths in a ternary fashion.

One reason for predominantly playing sixteenths at walking ballad tempo is that sextuplets may be too fast to be used as the default subdivision. The resulting phrases would sound rushed. If Hawkins wanted to play in compound metre, however, he could still choose to emphasise eighth-notes triplets; it seems, then, that when playing mostly in sixteenths on walking ballads he was actively looking for the more straightforward kind of drive generated by simple metre. This kind of drive is well suited to the scope of the

[55] His solo on 'Body and Soul' is the classic example of a predominance of sixteenths notes in a moderately slow jazz solo. See Zsoldos 2000, 35-41.
[56] Depending on each musician, eighth notes can be phrased anywhere between 'straight' or 'even' eighth notes (binary) and triplets (of which the two first notes are tied).

walking ballad, which must remain lively while retaining the relaxed quality proper to slower ballads.

Hawkins's solo on 'Don't Blame Me',[57] performed at ♩≃ 90, well illustrates his 'simple metre manner' (see complete transcription in Appendix IV). The majority of phrase segments are performed in figures composed of sixteenths. Amongst these, he intersperses eighth-notes triplets in 1A1/1, 1A1/2, and 1A1/5 (example 5.1), in 1A2/1 and 1A2/7 (example 5.2), in 2A1/1 and 2A1/2 (examples 3.12 and 5.6). He also places sixteenths-note triplets in 1A2/8 (example 5.2), in 1B/2, 1B/ 5, and 1B/6 (example 5.3), in 2A1/8, in 2A2/5, 2A2/6 and 2A2/8 (example 5.6). These few ternary figures suffice to install a sense of polyrhythmic flexibility that keeps the predominant sixteenths from sounding repetitive.

The phrase segments that open the out chorus of 'Don't Blame Me' (at 2A1) provide an example of how Hawkins appeals to rhythm in order to vary a melodic or harmonic idea. Here, he applies the same treatment (an ascending arpeggio from the 3rd to the 9th followed by a chromatic passing tone descending to the root) to the tonic F chord, to an E♭ triad that he substitutes for the $A^{ø7}$ in 2A1/1/3-4, and to the D^7 chord in 2A1/2 (example 3.12).[58]

EXAMPLE 3.12: 'Don't Blame Me' 2A1 [03:14].

Although the out chorus, like the rest of Hawkins's intervention on 'Don't Blame Me', relies mostly on sixteenths, in these three consecutive phrase segments Hawkins intermixes eighth-notes triplets and sixteenths in order to displace accents in each arpeggio. The 9th (G) of the F chord is accented by falling on the first beat of the bar, while the root of the E♭ chord is accented on the fourth beat, and on the D^7 chord the 9th

[57] Keynote HL34 (second take), recorded 29 May 1944.
[58] See examples 4.23 to 4.25 for an analysis of the voice leading in these and the following bars.

(E) is accented again, as in the F chord, but this time on the second beat.[59] In doing so Hawkins brings contrast both into the rhythmic and into the melodic texture.[60]

By the time Hawkins comes back for the out chorus, after Teddy Wilson's piano solo, the tempo of 'Don't Blame Me' has dropped to ♩≃ 80, thus acquiring a heavier, 'meaner' quality.[61] In this new, slower tempo, sextuplets could be played with more ease, yet Hawkins keeps to the simple metre strategy that he has established for this solo. In the last eight bars of the recording (2A3), he seems to rely even more on the sort of downward-pushing weight brought to bear on each beat by the relentless string of sixteenths (example 3.13):[62] no eighth-note or sixteenths-note triplets are used, as in the last A section of the first chorus (1A3, see example 5.4 or complete transcription in Appendix IV). Note the daring melodic and rhythmic figuration of the three first phrase segments, which are all continuously ascending and which all conclude just before the end of the beat.[63] They could illustrate a rudimentary application of the Phrase Shape technique (see examples 6.3 and 6.4), in this case the 'drawing' by Hawkins of straight diagonally-ascending lines.

[59] An additional variation, that allows this richness of accentuations and of placement within the bar to take place, comes from the fact that Hawkins, omits the 7th in both the E♭ and the D7 chords. Another way of understanding this passage is to hear each chord as a triad, and its 9th as an appoggiatura (see example 4.27). In this view the variation is caused not by the omission of the 7th in the E♭ and D chords, but by its addition to the F chord.

[60] Hawkins had already worked on the same material in the same place (at [03:13]) of the first take of 'Don't Blame Me', but with less success. Hawkins frequently uses similar materials when he records several takes of a given number. See §1.6 (footnote 102) and §4.7.

[61] The tempo drops already at the start of this performance, from ♩≃ 105 in Teddy Wilson's introduction to ♩≃ 95 when the band comes in, and settles to ♩≃ 90 after a few bars. Such changes of tempo occur frequently even in the best rhythm sections. When they respond to a musical necessity they are a virtue, something a machine could not do. Two rather extreme examples are the slowing down of Lester Young's 'Body and Soul' (Philo Recordings P-1000, recorded 15 July 1942), and the speeding up of John Coltrane's 'Satellite' (on *Coltrane's Sound*, Atlantic SD 1419, recorded 24 October 1960). This kind of musically desirable tempo fluctuation should not to be confused with the unwelcome dragging or rushing that can happen with less experienced musicians, and which invariably hurts the sense of swing of a performance.

[62] See example 4.4 for a discussion of the voice leading in this passage.

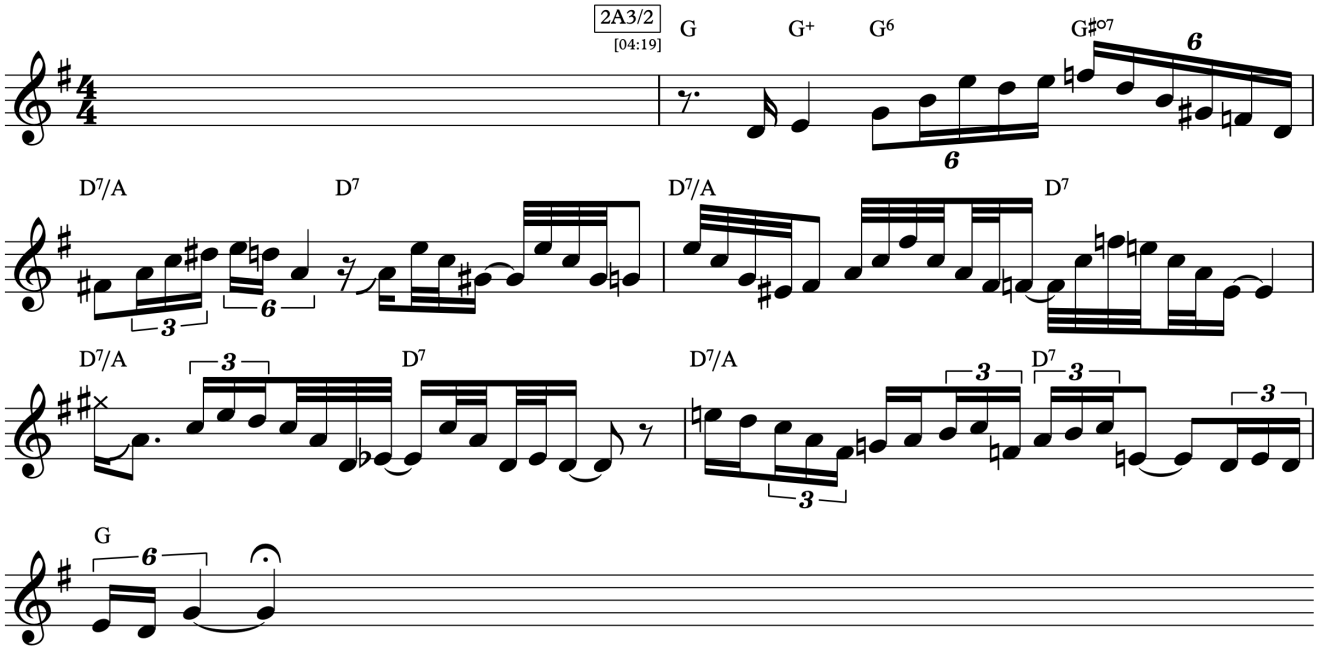
[63] Hawkins had tried this idea in the same place of the first take of 'Don't Blame Me' (at [04:20]), with less convincing results. See footnote 60.

EXAMPLE 3.13: ‘Don’t Blame Me’ 2A3 [04:25].

§3.4 Thirty-seconds, Quintuplets, Septuplets

When the tempo is slow enough, and fast figures in simple metre are needed, Hawkins sometimes plays thirty-seconds. On ‘I Can’t Get Started’, he places them sparingly, at 1B/4/2, 1B/4/3, 1B/6/2, and 1A2/6/4 (see examples 3.5 and 3.19). Likewise, in the first chorus of ‘Just One More Chance’, only few thirty-seconds occur, at 1B/7/3 and 1A3/2/4 (see example 5.9). In the last A section of the out chorus, however, as the performance draws to a close, Hawkins intensifies his improvisation by deploying thirty-seconds over several beats, at 2A3/3/3-4, 2A3/4/1-3, and 2A3/5/2-3 (example 3.14).

EXAMPLE 3.14: Thirty-seconds in ‘Just One More Chance’ 2A3/2-7 [04:19].

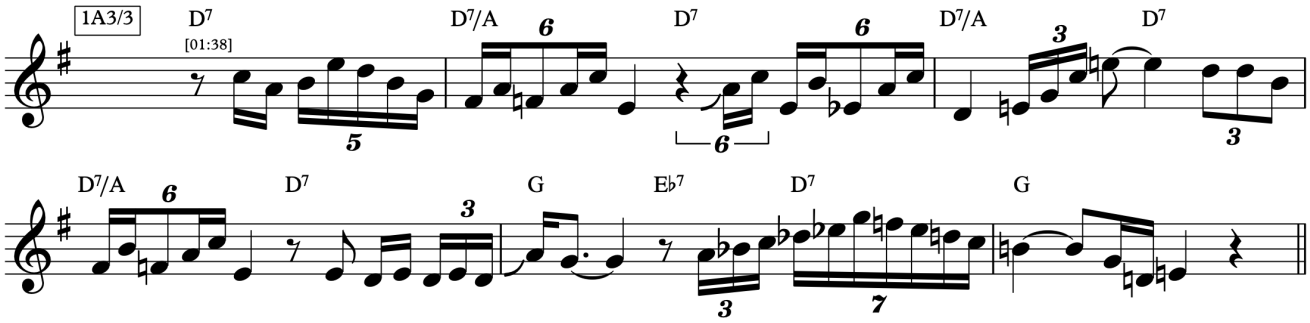


At 2A3/2/2, I have notated an E. This note is played ambiguously by Hawkins, and could just as well be heard as D♯, which would make sense since the harmony in that point is G^{+}. To my ears, Hawkins plays E, then bends it down to D♯ with his lips. But the effect is subtle and could simply be regarded as an application of vibrato.

To the numerous rhythmic figures in simple and in compound metre examined so far, Hawkins adds subdivisions which belong to neither kind of metre: quintuplets and septuplets. When they are isolated in a phrase composed of other subdivisions, they

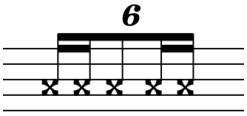
might be considered as lazy or rushed figures of a more conventional kind. The quintuplet at 1A3/3/4 in ‘Just One More Chance’ could be either a group of four sixteenths pressing towards the next beat, or, on the contrary, a sextuplet gently dragging the other way. Likewise, the septuplet in 1A3/7/4 could just as well be heard and notated as a rushing sextuplet, or as a sleepy string of eight thirty-seconds (example 3.15).

EXAMPLE 3.15: Quintuplet and septuplet in ‘Just One More Chance’ 1A3 [01:38].



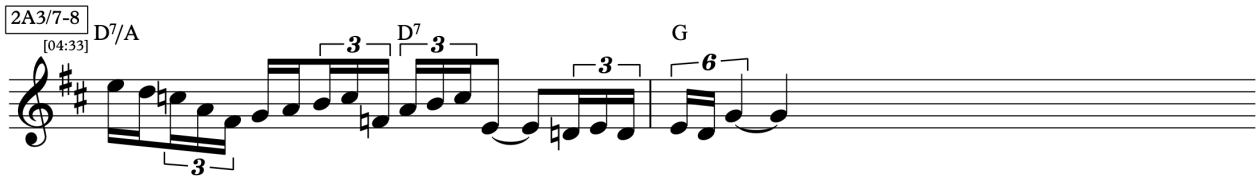
The quintuplet at 1A3/3/4 is directly followed by a sextuplet figure also composed of five notes (example 3.16, see also figure 13 in example 3.6). Hawkins uses it three times to create cohesion without further insisting on it, which might have been tedious. The figure’s symmetrical and palindromic division of the beat in ‘two – one – two’ is of the same family as the symmetrical ‘three – two – three’ found in ‘I Can’t Get Started’ (example 3.7, see also figure 3 in example 3.6). Hawkins places this figure in symmetrical positions in the bar, at 1A3/4/1 and 1A3/4/4, thereby doubling up on its palindromic nature.

EXAMPLE 3.16: Symmetrical sextuplet figure in ‘Just One More Chance’ 1A3/4/1, 1A3/4/4, and 1A3/6/1.



This figure allows Hawkins, as in the quintuplet that precedes it in 1A3/3/4, to insert five notes in a beat, while maintaining the compound-metre 'feel' that a quintuplet would blur. The distinction between the two figures is perhaps not as clear on the recording as the transcription suggests. They could be interchanged or homogenised, and their slight discrepancies put on account of how Hawkins phrases them. At the end of this solo (2A3/7/1-2) the figures of 'two sixteenths and a sixteenth triplet' are also quasi-quintuplets, and their notation depends on how one perceives Hawkins's time placement (example 3.17). The three sextuplets figures that follow bring back a distinct compound-metre feel and are undoubtedly of the sextuplet variety.

EXAMPLE 3.17: Quasi-quintuplets in 'Just One More Chance' 2A3/7 [04:33].



Similarly, in example 3.18, the septuplet in beat 3 of 1A3/6 is preceded in beat 1 by a figure containing seven notes, but played as a sixteenth-note triplet plus four thirty-seconds. The figure in beat 1 could be written as a septuplet, while beats 3 and 4 could be written as admixtures of a sixteenth-note triplet and four thirty-seconds. In example 3.19, by contrast, Hawkins performs four quintuplets in a row, which points to an unambiguous and deliberate recourse to this rhythmic figure. Independently of how one notates the phenomenon, it seems clear that in such passages Hawkins is consistently inserting five or seven notes per beat. Furthermore, every note of the odd subdivision, be it quintuplet or septuplet, is accounted for harmonically, either as a chord tone, an escape note, an appoggiatura, an anticipation, or a passing tone; and chord tones largely predominate.[64] As pointed out by John Chilton: 'One of [Hawkins's] greatest skills was his gift for increasing the rhythmic excitement in a solo without sacrificing one iota of his harmonic

[64] Chord tones include the 9th, such as B♭ at 1A2/6/3 (example 3.19). According to classical music theory, the 9th of a dominant is part of the chord, as 'natural dissonant harmony', not necessitating to be prepared, because the overtone series found in nature spells a dominant 7th with a 9th. See Dubois, no date, 70 and 88.

acumen'.[65] In these two passages, in addition to the rhythmic fireworks just described, Hawkins is also engaged in the melodic ornamentation of a continuous diatonic descent, as shown in §4.6 (examples 4.19 and 4.20).

EXAMPLE 3.18: Septuplets in 'I Can't Get Started' 1A3/6 [06:34].

EXAMPLE 3.19: String of quintuplets in 'I Can't Get Started' 1A2/5-6 [05:24].

These examples offer an opportunity to present a fundamental aspect of Hawkins's improvisational praxis. On A^7 (in both examples), Hawkins moves towards the tritone substitution at the end of beat 3, spelling an E♭ triad with a passing note between the root and the 3rd, and both times he anticipates the resolution to D in the next bar by two or three notes. These two phrases are variations of the same material, occurring at the same location in two different A sections. As we shall see in other passages,[66] this technique is one of the principal cohesive agents of Hawkins's solos.[67] It relies on the cyclical nature of ABAC or AABA Broadway songs, in which A sections recur respectively two or three times in each chorus, offering to the improviser as many possibilities of using the same materials, be they derived from the melody or from the chord sequence. The

[65] Chilton 1990, 201, about Hawkins's 1943 recording of 'The Man I Love'.
[66] See examples 4.2 and 4.3, 4.15, 4.18 to 4.20, 4.21 and 4.23, 7.3 and 7.4, and §7.4.
[67] Both Alan Henderson and Michael Zsoldos have insisted on the centrality of this technique in the Hawkins materials they have analysed (recordings from 1932-34 and 1939-1945 respectively). Their materials do not overlap with those presented in this thesis, which points to a remarkable consistency in Hawkins's application of this technique. Henderson considers that with it Hawkins attempts to create 'continuity', and Zsoldos that he is 'unifying his solos' (see Henderson 1981, 17-19, and Zsoldos 2000, 5).

predominance of A section materials is further amplified when the improviser takes a second chorus, as Hawkins frequently does on ballad recordings, resulting in four (ABAC) or six (AABA) A sections in the same solo. The continuous re-visitation in varied form of the same generic idea, A section after A section, transforms a process of accumulation (unconnected phrases on a cyclically-revolving form) into a process of development. According to producer Harry Lim, this feature distinguished Hawkins from other saxophonists:

> Hawk develops his choruses as a logical sequence of beautiful phrases. The second chorus follows the first one naturally. This then, friends, is the difference between Coleman Hawkins and an ordinary 'chorus blower' whose ninth chorus has absolutely no relation to the tenth.[68]

As this developmental technique is contingent on a song's cyclical form, I will hereafter refer to it as Cyclical Development.[69]

Some of the quintuplets or septuplets played by Hawkins might respond primarily to a harmonic rather than a rhythmic necessity. But he realises such a complete balance and integration of melody, rhythm and harmony, that it is difficult to distinguish which one, if any, comes first in his mind and fingers at any point. That said, at times rhythm clearly dominates Hawkins's musical thinking, as when he 'throws' a string of notes toward a predetermined goal, and instantly dresses each rhythmic element up with a convenient note in order to present an elegant phrase (see example 3.13 and my discussion of example 4.4). Elsewhere, a specific harmonic device dictates the rhythmic figure to be used. In 'I Can't Get Started' 1B/5/1 (example 3.20), the harmonic function is what brings the odd subdivision about, as Hawkins spells a triad and returns to its root within one half of a beat (or sub-beat), thus needing five notes and producing a thirty-second-note quintuplet. In beat 4 of the same bar, the surprising rhythmic figure mentioned in

[68] *Metronome*, May 1944 (quoted in Schoenberg 2012, 32). See Michael Levin quote at the beginning of Chapter 6.
[69] This notion corresponds more-or-less to what Alan Henderson (1981, 78-79) designates as 'sectional variation'.

example 3.7 seems to be giving the impulse to the phrase, and the choice of notes to adapt to it.

EXAMPLE 3.20: 'I Can't Get Started' 1B/5 [05:55].

The claim that jazz musicians of Hawkins's era possessed a decisive control of quintuplets might seem surprising, for odd subdivisions in the context of 'uncompromisingly' tonal music are arguably rare (one would be hard pressed to find a quintuplet in a Bach piece).[70] As I have argued regarding example 3.2, harmonic precision is more difficult to achieve in ternary than in binary subdivisions of the beat – a fortiori when the beat is subdivided in five or seven. In the 19th century, however, composers developed a taste for quintuplets and the possibilities they offer. Chopin's *Deux Nocturnes*[71] show the melodic and rhapsodic qualities of quintuplets.[72] And the basses and celli in the Overture to the First Act of Wagner's *Die Walküre* allow us to vividly experience the kind of rhythmic spin that a well-poised quintuplet can lend to a musical phrase. In his transcription of Louis Armstrong's recording of 'Star Dust',[73] Gunther Schuller notates several quintuplets and septuplets, accompanied by the following comments:

> Though these rhythms look complex in notation, they do not sound that way. They sound completely natural and right, inevitable rather than calculated. Western musical notation simply has no way of representing such free and spontaneous rhythms in an uncomplicated manner. But

[70] In later years, Lennie Tristano and John Coltrane extensively experimented with uneven subdivisions of the beat, as indicated by Paul Berliner (1994, 152).
[71] Op. 32 Nr. 1 (I) and Op. 32 Nr. 2 (II). Quintuplets also appear in another set bearing the same title: *Deux Nocturnes*, Op. 37 nr. 1 (I) and Op. 48 Nr. 2 (II).
[72] See Walker 2005, 199 on the expressive role of quintuplets in Chopin.
[73] OKeh 41530, recorded 4 November 1931.

> this very fact helps to point up graphically/visually how remarkably inventive Armstrong's rhythmic vocabulary really is. The quintuplets and septuplets of the musical examples merely *symbolize* the free unfettered way that Armstrong floats above and around the beat.[74]

It seems that Hawkins, however, consciously manipulates the quintuplet, especially for its melodic and harmonic attributes, as a way to insert five notes in a beat. He was not the only jazz musician of his time to integrate quintuplets in a seemingly deliberate way, as shown by Schuller's transcription and discussion of pianist Earl Hines's solo record 'Stowaway'.[75] Charlie Parker is another one, and Thomas Owens writes several quintuplets in his transcriptions of two takes of 'Parker's Mood'.[76] The end of trumpeter Buck Clayton's solo on 'I Can't Get Started', at [04:23], just before Hawkins's entrance, features a phrase conceived and neatly performed in quintuplets (example 3.21):

EXAMPLE 3.21: Buck Clayton's quintuplets on 'I Can't Get Started' [04:23].

It should be noted that quintuplets and septuplets are frequent in snare drum rudiments of the kind practised by jazz drummers.[77] When performed on the drums, quintuplets and septuplets, in addition to their rhythmic value, have a bodily function. They are the result of the alternation within one beat of both hands, when the drummer also wants to change which hands gives the first stroke of the next beat. Indeed, if one were to play sixteenths in single strokes (alternating hands at each stroke), the result would be that each successive beat would start with the same hand: **R** L R L / **R** L R L. Whereas quintuplets automatically arise when the drummer plays in single strokes, and

[74] Schuller 1989, 174.
[75] QRS R-7038, recorded December 1928. Schuller 1989, 272. Schuller indicates Hines's filiation, in this regard, with the music of Chopin.
[76] Savoy MG 12000 and 12009, recorded 18 September 1948. Owens 1974, vol. 2, 143 (take one) and 157 (take three).
[77] See for example Stone 1935/2009, 42-43.

also alternates which hand strikes the beat: **R** L R L R / **L** R L R L.[78] The same applies to septuplets: **R** L R L R L R / **L** R L R L R L R. These rudiments belong to jazz drumming language and are part of what saxophonists and trumpeters are used to hearing and interacting with. It is therefore natural that they end up appearing in their melodic phrases.

§3.5 Conclusion

Hawkins is conversant with every possible subdivision of the beat, from eighth-notes to thirty-seconds, and in each he maintains a precise connection with harmony. The three solos examined in this chapter show an increasing sophistication of the rhythmic figures articulated by Hawkins as the tempi get slower, from 'Don't Blame Me' (♩≃ 90; out chorus ♩≃ 80), to 'Just One More Chance' (♩≃ 70), to 'I Can't Get Started' (♩≃ 56). On the second and third of these recordings, hence when the tempo is below ♩≃ 80, Hawkins prefers compound metre, expressed primarily with a broad repertoire of sextuplet figures. He appeals both to their binary and ternary qualities, turning the 4/4 metre played by the rhythm section either into 12/8 or 6/4.

To be sure, Hawkins is not the only jazz saxophonist to draw from a vast array of rhythmic possibilities, but few share his ability to treat rhythm in a varied and complex manner without compromising harmony and melody. As discussed in §1.1, if Hawkins had an unquestioned match in this regard, it was Charlie Parker. This chapter began with Barry Harris's observation that Parker, when he played a ballad, was probably 'thinking in six'. The assumption, thus, is that Parker would share Hawkins's proclivity for compound metre when the tempo is below ♩≃ 80. Yet Parker's ballad improvisations seem to be based mostly on sixteenths and on thirty-seconds, as shown, for example, in Thomas Owens's transcriptions of 'Don't Blame' (♩≃ 65)[79] and of two takes of 'Embraceable You' (♩≃ 65 and ♩≃ 75).[80] In most phrases, if there is a sign of compound

[78] One way of alternating hands from beat to beat while playing sixteenths is to combine single and double strokes: **R** L R R / **L** R L L. This is known as a paradiddle.
[79] Dial 1021, recorded 4 November 1947. See Owens 1974, vol. 2, 403-404.
[80] Dial 1024, recorded 28 October 1947. See Owens 1974, vol. 2, 330-332. See also transcriptions in Martin 1996, 73-81, and Koch 1999, 340-341.

metre, it is that Parker inserts a single sixteenth-note triplet (or thirty-second-note triplet) in a phrase in sixteenths (or thirty-seconds), often to arpeggiate a chord.[81]

Although there might be other ballad recordings by Parker proving the contrary, the impression is that, when playing around ♩≃ 60, and when he wanted to explore the harmonic riches of a ballad and consequently needed many notes and a high ratio of subdivision, he preferred thirty-seconds to sextuplets. Parker matched Hawkins's integration of harmony and rhythm, but he remained in simple metre: in his phrases in thirty-seconds, notes connect with chords by groups of two and four. As we have seen in §3.1, Harris himself, when demonstrating how to 'think in six', sings several phrases in sixteenths rather than triplets or sextuplets. It is possible that what he wants his students to acquire is a manner of phrasing, a 'feeling', more than a way of producing specific rhythmic figures; and Parker's phrasing, even when playing sixteenths or thirty-seconds, is undoubtedly exemplary of such a polyrhythmic approach.[82] But the striking feature of Hawkins's improvisations at this tempo is that Harris's 'thinking in six' is manifest *even in the actual rhythmic figures*, which are predominantly sextuplets, as opposed to Parker's thirty-seconds. If these remarks are accurate – and to be confirmed they would require a careful examination of Parker's rhythm on ballads at ♩≃ 60 – they would suggest that Hawkins is perhaps unique in his ability to maintain a constant connection between rhythm and harmony, even when playing in compound metre.

[81] With exceptions such a 'Parker's Mood', performed at ♩≃ 95 (see footnote 76, and transcription in Owens 1974, vol. 2, 142-154), this is also what Parker tends to do at medium and up tempo. In most motives identified by Owens (1974, vol. 2, 1-10), when there is an eighth-note triplet, there is only one, usually preceded and followed by eighth notes (see motives 1C, 2B, 4C, 5C, 9, 24, 29B, 35, 40A, 48, 49, 53, 58, 63). We might say that these are 'passing' triplets. Motives 59 and 64, by contrast, concatenate several eighth-note triplets, but these motives are rare: Owens, in all the recordings he has surveyed, indicates only seven and four occurrences respectively.

[82] In many passages, Owens (1974, vol. 2) writes Parker's eighth-notes as triplets of which the second note is a rest.

CHAPTER 4: HARMONY

This chapter discusses selected harmonic aspects of the three Coleman Hawkins performances scrutinised from a rhythmic perspective in Chapter 3. I have focused on how Hawkins manages the voice-leading possibilities offered by each song. Hawkins is conventionally presented as a vertically-minded improviser mostly occupied with the spelling of chords.[1] Martin Williams associates this perceived harmonic verticality with rhythmic verticality: 'It is as if in making all the chords, Hawkins also became determined to make all the beats'.[2] He writes specifically about Hawkins's playing on medium and fast tempi, and in his view Hawkins's exhaustiveness caused his rhythm to be too regular. I hope to have demonstrated, in the previous chapter, that on ballads Hawkins's rhythm is instead varied and unpredictable. I now examine in detail Hawkins's care for voice leading to emphasise, in contradiction with some prevailing conceptions, the horizontal aspects of his harmonic praxis.

Voice-leading events are by definition of a contrapuntal nature, and it might seem contradictory to place them under a 'Harmony' header. Voice leading is preoccupied with the horizontal unraveling of music, as it spreads in time, rather than with the vertical results of the superposition of several polyphonic voices. In Western classical music, some pieces are so contrapuntal that their very form seems to emerge from the play of different voices, while other pieces are more homophonic, conceived as melody with a supporting harmonic accompaniment. In some compositions, both approaches are merged to the point that it becomes difficult to tell them apart with any clarity.

[1] Alain Gerber (2000, 127) expresses this view metaphorically: '[Hawkins] dives, he digs, he drills […] He sinks like an auger into the harmonic layers […] The haughty bird of prey becomes a frenetic mole'. '*Il plonge, il creuse, il fore* […] *Il s'enfonce telle une vrille dans les couches harmoniques* […] *Le rapace altier devient une taupe frénétique'*.

[2] Williams 1970/1993, 73. Quoted and discussed in DeVeaux 1997, 85.

In 'mainstream' jazz, the situation is different. An improvisation takes place on a piece with its own melody and chord sequence.[3] The chords themselves pre-exist as abstract entities, and are not formed by the contrapuntal activity of the musicians playing together. They are provided by the song, as a general road map to be followed by every band member, and the contrapuntal activity flows through them. Musicians may change the way in which chords are expressed, and might decide to alter them, but the overall tonal shape is still dictated by the song and by its melody. Thus, to take a contrapuntal approach to tonal improvisation means, above all, to attend to the horizontal movement of a voice through a given chord sequence. Few improvisers have been more invested in this approach than Coleman Hawkins, as he succinctly expressed when pianist Barry Harris asked him how he conceptualised chords:

> You know what he told me? He said, 'I don't play chords, I play movements'.[4]

While in his early days he relied extensively on virtuosic arpeggiations and arresting instrumental idiomatisms, which earned him the qualification of 'vertical' player, Hawkins's style significantly evolved in the 1930s, towards an increasing involvement with the horizontal aspects of harmony.[5] In the late 1930s and in the 1940s, he developed a capacity to deploy melodically the harmonic materials of a song, by conceiving phrases based on the notes that constitute the voice-leading thread running through its chord sequence. This meticulous care for voice leading is probably what Hawkins meant when he said 'I don't play chords, I play movements'.[6] In this chapter I present six kinds of

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[3] One of the main points of interest of Hawkins's unaccompanied sides, which I treat in my next research project, is that on two of them he *might* be improvising without such a pre-ordained form, or at least take such liberties with it as to make it unrecognizable. If this is so, it could be said that Hawkins is partly generating the harmonic sequence (and the form) himself, through his use of melody and counterpoint, which in these unique cases would come first. This is possible in a mainstream, tonal context only because of the absence of a rhythm section.

[4] Workshop given in Paris on 26 April 2018, attended by author. Harris also mentions Hawkins's reply in a 1987 conversation with John Chilton (1990, 363), and in an interview with Ted Panken for *Downbeat* in 2000, available in extended form on Panken's blog (Online: <https://tedpanken.wordpress.com/2011/12/15/for-barry-harris-82nd-birthday-a-downbeat-article-from-2000/>, accessed April 30, 2018). Both are quoted in §1.1.

[5] See Henderson 1981, 32-34.

[6] It relates to his lifelong engagement with Western classical music. See §1.1.

voice-leading movements (labeled VL Movement One to Six) contingent on the harmonic framework of 'Just One More Chance', 'Don't' Blame Me', and 'I Can't Get Started', and outlined by Hawkins in his improvisations. Although these six movements are extracted from only three songs, they can be found in countless other ones, and the principles they illustrate can be generalised. In some passages, Hawkins follows two voice-leading movements simultaneously. I call this technique VL Combination, and discuss it in the last section of this chapter, after VL Movements One to Six have been introduced.

In order to be clearly audible in the midst of complex phrases, a voice-leading movement ideally has three defining features: it should be chromatic,[7] it should be continuous (i.e. avoiding skipping notes), and it should not change direction, which is almost invariably downwards.[8] But, as we shall see, some instances of voice leading break one or the other aspects of this 'rule': VL Movement Four tends to ascend, VL Movement Six is diatonic, and Hawkins skips a note in example 4.4. Table 4.1 lists the six movements and their defining features, along with a typical example in terms of scale degrees and supporting harmony on which it is found, in order to facilitate further reference.

[7] This 'condition' might be a subjective matter, but personally I find that chromatic stepwise movements attract the ear more than diatonic ones.

[8] Other terms have been used in jazz scholarship to describe entities of this kind: for example Stefan Love writes of 'melodic schemata' which he defines as 'recurring stepwise paths, spanning around one to eight bars, which a melody seems to follow' (Love 2012).

TABLE 4.1: List of voice-leading movements and their main features.

Name	**Description**	**Scale degrees**	**Supporting harmonic functions**
VL Movement One	Alternation of 3^{rds} and 7^{ths} in string of dominants	$\hat{2} - \sharp\hat{1} - \hat{1} - \hat{7}$	$III^7 - VI^7 - II^7 - V^7$ ($V^7/vi - V^7/ii - V^7/V - V^7$)
VL Movement Two	♭5 of ii to root of V, or ♭9 to root of V	$\flat\hat{7} - \hat{6} - \flat\hat{6} - \hat{5}$	$iii^{ø7} - VI^7 - ii^{ø7} - V^7$
VL Movement Three	Root to maj 7^{th} to min 7^{th} of ii, to 3^{rd} of V	$\hat{2} - \sharp\hat{1} - \hat{1} - \hat{7}$	$ii - V^7$
VL Movement Four	Tonic to dominant in second inversion, by way of passing diminished 7^{th}	$\hat{1} - \sharp\hat{1} - \hat{2}$ ($\hat{1}/I - \hat{7}/ii - \hat{1}/ii$) $\hat{3} - \hat{3} - \hat{4}$ ($\hat{3}/I - \hat{2}/ii - \hat{3}/ii$) $\hat{5} - \hat{5} - \hat{4}$ ($\hat{5}/I - \hat{4}/ii - \hat{3}/ii$) $\hat{6} - \flat\hat{7} - \hat{7}$ ($\hat{6}/I - \flat\hat{6}/ii - \hat{7}/I$)	I^6 – Rootless $V^{\flat 9}/ii - V^7/\hat{2}$ ($I^6 - \sharp I^{ø7} - V^7/\hat{2}$)
VL Movement Five	$iiimin^7$ to $iimin^7$ by way of passing $\flat iiimin^7$	$\hat{3} - \flat\hat{3} - \hat{2}$ $\hat{5} - \flat\hat{5} - \hat{4}$ $\hat{7} - \flat\hat{7} - \hat{6}$ $\hat{2} - \flat\hat{2} - \hat{1}$	$iiimin^7 - \flat iiimin^7 - iimin^7$
VL Movement Six	Diatonic descent	Any string of consecutive diatonic degrees	Any, but often on ii – V – I
VL Combination	Combination of two VL Movements, usually One and Two		

A few comments regarding table 4.1 are in order. Scale degrees are indicative only, and meant to be read within the main tonality. This is not correct tonally in a strict sense: each new leading tone implies a new tonality, and scale degrees should change immediately when an alteration has been introduced, in order to reflect the new tonality.[9] Thus VL Movement One would be expressed, in terms of scale degrees, as $\hat{4}$/vi – $\hat{7}$/ii – $\hat{4}$/V – $\hat{7}$/I; VL Movement Two should really read ♭$\hat{6}$/ii – $\hat{5}$/ii – ♭$\hat{6}$ – $\hat{5}$.[10] But this would be unclear for our purpose, which is to designate voice-leading events taking place within the overall framework of one key, accepting passing 'tonicisations' by way of secondary dominants.[11] This is in line with the fact that Broadway songs are short forms always returning to the initial key, and that secondary dominants are an integral part of their sound. In such a context, it is often more convenient to think of certain harmonic movements within the main key, rather than to consider each dominant as indicative of a modulation – excepting sections of a song which actually modulate (for example, the bridge of 'I Can't Get Started' modulates to the supertonic, and harmonic events in that zone must be heard in that new key). In this table I use '/' as meaning 'of' (see 'Functions' on page xvii).

[9] Often a new ♯ means a new leading tone and should instantly become $\hat{7}$, while a new ♭ tends to indicate a modulation in the other direction in the circle of fifths and should become $\hat{4}$ (a new ♮ can act both ways). It seems that indicating scale degrees in such a way was the main tool used by Bach to analyse his own music, according to the P401 manuscript at the Berliner Staatsbibliothek (Online: <http://digital.staatsbibliothek-berlin.de/werkansicht/?PPN=PPN787025402&PHYSID=PHYS_0028>, accessed 3 January 2020). See transcription and explanation in Briggs 2012, 25-30.

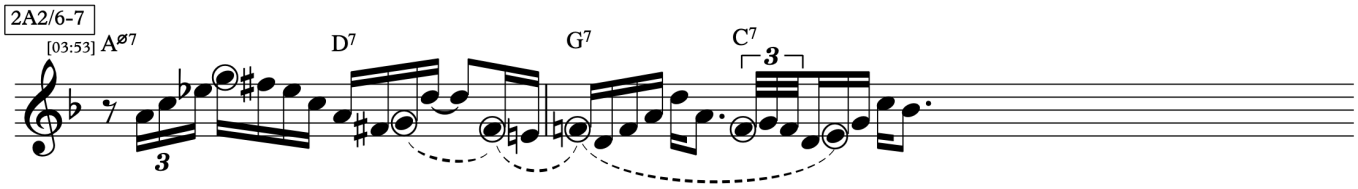
[10] In VL Movement Four, since the diminished 7th built on the leading tone has such an inescapable voice-leading power (it contains the three notes with 'mandatory' resolutions, to which I shall return), I have put in parentheses what the scale degrees would be if we consider that ♯$\hat{1}$ is a leading tone and that we are modulating to ii. The issue is further complicated in this progression, because the diminished 7th leads directly to V^7 in second inversion, so that ♭$\hat{6}$/ii, instead of resolving, as it should, down to $\hat{5}$/ii, goes instead up to the 3rd of V^7, which is the leading tone of I. I have therefore listed that move as ♭$\hat{6}$/ii – $\hat{7}$/I.

[11] As already pointed out in the Prefatory Section (footnote 3), Nadia Boulanger accepted to label V^7/V as II^7, although, in her view, a dominant should always be understood as V; but allowing for II^7 indicates that secondary dominants can be construed not as fleeting modulations but as colourations of the main key. They could be said to simultaneously inhabit the key they normally would lead to, and the main key of the sequence they find themselves in.

§4.1 VL Movement One

The first voice-leading movement I examine arises from the alternation of 7^{ths} and 3^{rds} in a succession of dominant chords[12] (or an alternation of minor 7th, with a natural or a flattened 5th, and of dominants), as in 'Don't Blame Me' 2A2/6-7 (example 4.1).[13] This movement can theoretically start on any scale degree, depending on how many secondary dominants are concatenated in a progression; but it is rarely found starting higher than $\hat{3}$ (with a supporting V^7/vii or ♯iv^{ø7}).[14] By necessity it must stop at $\hat{7}$, the leading tone.[15]

EXAMPLE 4.1: 'Don't Blame Me' 2A2/6-7 [03:53].



G (the 7th of A^{ø7}) is suspended an octave lower into D^7,[16] then moves to F♯ (3rd of D^7), to F (7th of G^7), and to E (3rd of C^7).[17] Hawkins's rhythmic ease allows him to hit these target notes in various points of the beat, avoiding a square enunciation of the chromatic line. Nonetheless, he clearly builds his entire phrase around these structural notes.

[12] The study of the alternation (or 'exchange') of roots and 3^{rds} is a fundamental element of counterpoint (see Briggs 2012, 148-155). In Broadway songs, it is frequent to find sequences of secondary dominants or of ii – Vs causing a chromatic succession of roots and 3^{rds}. But it also occurs diatonically, as in parts of 'Autumn Leaves', 'All the Things You Are' or 'Fly Me to the Moon'. The sheet music of Anthony Newley's and Leslie Bricusse's 'Who Can I Turn To?' uses diatonic successions of roots and 3^{rds} in the piano accompaniment, but in jazz versions these tend to be substituted with chromatic harmonies.

[13] What Michael Zsoldos (2000, 6-8) calls 'guide-tone lines', after Bill Dobbins. In p. 21-28, Zsoldos provides examples and analyses of this principle, taken from Hawkins's solos on 'Stardust', 'Body and Soul', 'How Deep Is the Ocean', and 'Rainbow Mist'.

[14] By virtue of the tritone present in each dominant chord, VL Movement One could also start from the 3rd of V^7/vii (♯$\hat{6}$), rather than from its 7th ($\hat{3}$).

[15] In this context, $\hat{7}$ is the 3rd of V and must resolve to $\hat{1}$. The chromatic descending movement can be prolonged beyond $\hat{7}$ by modulating to another key (for example a movement arriving at E, $\hat{7}$ in F, could then move to E♭, $\hat{4}$ in B♭, then to D, $\hat{7}$ in E♭, then resolve to the new key of E♭), or by adopting a different voice-leading movement (for example by inserting a chromatic passing chord, as discussed in §4.7).

[16] In 2A2/6/3 F♯ is the lower neighbour leading to G, not as yet the 3rd of D^7.

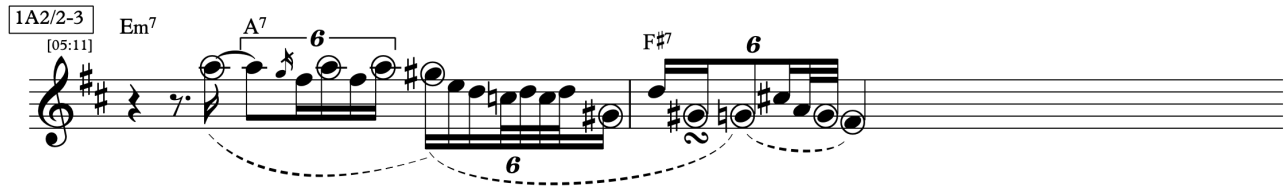
[17] In this and other examples, I have generally circled every note in a descent when they are repeated before moving to the next one, but slurred only one of them to the next note.

The same movement is found in 'I Can't Get Started' 1A1/2-3 (example 4.2), this time superimposed onto the song's harmony. As the band plays A^7 into $F^{\sharp 7}$, Hawkins starts from A^7, throws in its dominant E^7, comes back to A^7 and 'resolves' to $F^{\sharp 7}$, organising his phrase on the resulting chromatic descent A (root of A^7) – $G^{\sharp}$ (3^{rd} of E^7) – G (7^{th} of A^7) – $F^{\sharp}$ (root of $F^{\sharp 7}$). The concluding $F^{\sharp}$ is also the third of the tonality of the piece (D), and would constitute a strong resolution if the supporting harmony were I and not V/vi. Hawkins's superimposed scheme (V – V/V – V – I or V/vi) both ornaments the dominant of the tonality and, by resolving melodically to $\hat{3}$, emphasises the deceptive turn of the harmony in that point ($F^{\sharp 7}$ and not D). To see it the other way around, Hawkins's scheme and its resolution turn the root of a chord ($F^{\sharp}$ on $F^{\sharp 7}$) into a colourful note.

EXAMPLE 4.2: 'I Can't Get Started' 1A1/2-3 [04:38].

Applying Cyclical Development,[18] in 1A2/2-3 Hawkins comes back to the same idea, this time stretched over an octave, and elaborates the A – $G^{\sharp}$ – G – $F^{\sharp}$ line to the point that his phrase spills over the bar line and resolves on the second beat (example 4.3).

EXAMPLE 4.3: 'I Can't Get Started' 1A2/2-3 [05:11].



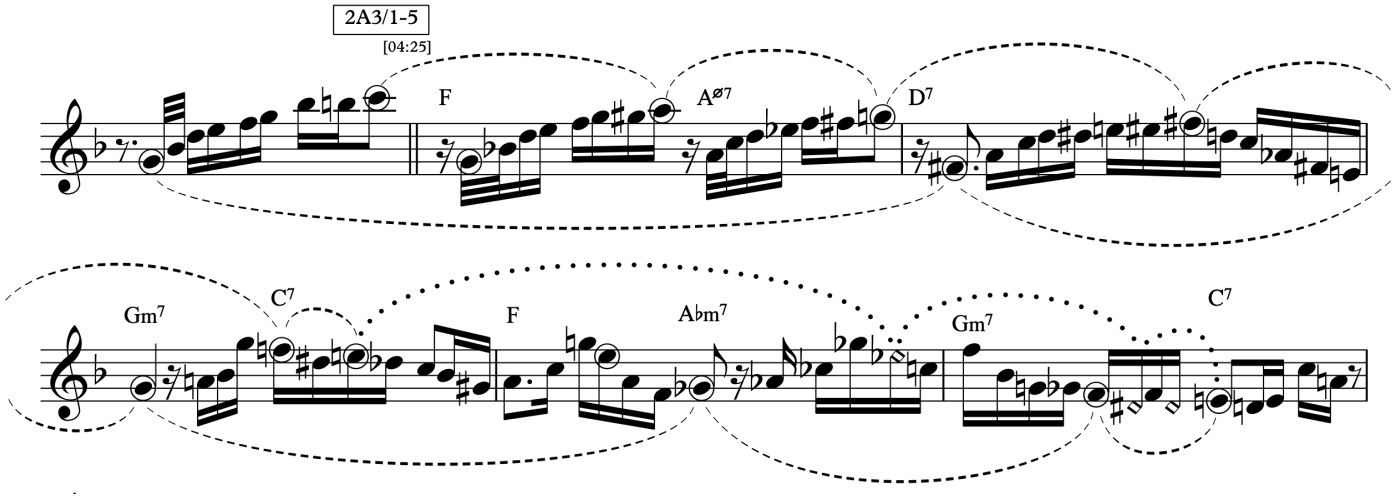
[18] See examples 3.18 and 3.19, 4.15, 4.18 to 4.20, 4.21 and 4.23, 7.3 and 7.4, and §7.4.

Voice-leading movements often appear within the melodic contours of a phrase, as a natural result of a song's chord progression, and thus they can easily be overlooked. At times, however, the structure offered by a chromatic descent seems to be singled out beforehand by Hawkins, who then thrusts his phrases daringly *towards* those notes, rather than passing through them. In 'Don't Blame Me' 2A3/1 and in the pick-up leading into it (example 4.4), Hawkins seems to start with such an approach, as the target notes delineating the descent (C – A – G) are placed at the top *and at the end* of the three first phrase segments. The fourth phrase segment, in 2A3/2, also carries the next note in the descent (F♯) at its top, but instead of stopping there like the three previous utterings, it continues downwards and resumes Hawkins's more usual way of touching upon structural notes in various places within the phrase.

Regarding example 3.20, I commented on the difficulty of establishing what comes first in Hawkins's mind – melody, rhythm, or harmony – in the elaboration of a particular passage. Example 4.4 further illustrates that ambiguity: it seems to reveal a rhythmic priority (the ascending, 'thrusting' phrases at the beginning, which constitute the striking elements to the first-time listener), but is also ordained to a harmonic and structural purpose (the outlining of the C – A – G – F♯ descent).[19]

[19] In Heinrich Schenker's view, tonality follows a structure of descending steps. Here the downwards pull is compensated by the ascending interjections that open the passage. In the first take of 'Don't Blame Me' (see Chapter 3, footnotes 60 and 63), Hawkins tried the same idea in the same place at 2A3 ([04:20]), but its realization is less assured and provokes a rare occurrence of rhythmic destabilization. When he comes back to this idea in the second take he is entirely at ease with it and it comes out perfectly. Successions of upward phrase segments are distinctive of Hawkins since his early days (see 'Queer Notions', Columbia W-265135-2, recorded 22 September 1933, from [02:12]). They play a crucial structural role in the last A of 'Body and Soul', from [02:36] – a moment expressively pantomimed by Hugues Panassié, who imitates a juggler throwing balls high in the air, in a documentary made by his son Louis (Online: <http://www.dailymotion.com/video/xikcem_la-revue-jazz-hot-2-hugues-panassie_music>, accessed 5 July 2018, starting at [06:40]).

EXAMPLE 4.4: 'Don't Blame Me' 2A3/1-5 [04:25].



We can observe two additional features in example 4.4. The first is that two contrapuntal movements (indicated by dashed slurs above and below the staff) are followed by Hawkins, resulting in two distinct 'voices', a technique I designate as VL Combination and present in §4.7. The second is that each of the two voices contradicts in its own way the general rule of a chromatic, continuous, descending line. The lower voice is chromatic all the way, but not descending all the way: G ↘ F♯ ↗ G ↘ G♭ ↘ F ↘ E. Even in this form, it spells a clearly audible motion that anchors both the upper voice and the intermingled flourish of notes. The upper voice itself does not change direction, but it starts by skipping B♭, although B♭ is heard an octave lower in 2A3/1/1, hence in its correct position between the C and A of the structural line. Then it proceeds diatonically from A to G, and finally chromatically downwards to E.[20] Both voices end their trajectory on the leading tone (the upper voice at 2A3/3/3, the lower voice at 2A3/5/3), the resolution of which is delayed for two bars by the presence in the song of a iii^{ø7} – VI^7 – II^7 – V^7 progression. The resolution occurs only on the first beat of the last bar of this performance of 'Don't Blame Me' (2A3/8/1), when the I chord resounds at last (see last three bars of example 3.13, or end of complete transcription in Appendix IV).

The inclusion of E♭ (2A3/4/4) in the voice leading of the upper voice outlined in example 4.4, is perhaps not entirely justified. But the movement initiated in the upper

[20] Or we might say that Hawkins applies VL Movement Six from C to G, skipping B♭, then switches to VL Movement One from G to E, then to VL Movement Five from E to D.

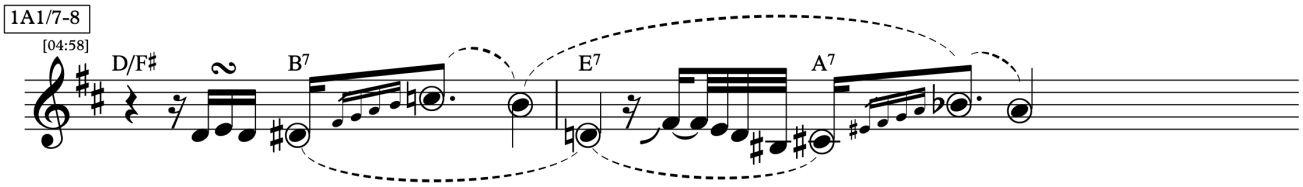
voice (C – A – G – F♯ – F – E) could be seen as continuing in the lower voice, as if it had emerged on the other side of a Möbius strip,[21] the lower voice now being up and the upper one down: from E to E♭, repeated down an octave as D♯, then back to E (represented in example 4.4 with diamond noteheads and dotted rather than dashed slurs). If one accepts this reading, the two voices still end their descents at the leading tone, this time both at 2A3/5/3, where they meet in unison. I do not suggest that this may have been Hawkins's declared intent: such events can take place unbeknownst to the performer.[22]

§4.2 VL Movement Two

A second type of opportunity seized by Hawkins to navigate a descending chromatic line is proposed by the iii – VI – ii – V progression found in several songs. Depending on how it is placed, the descent can arise from the ♭5th of iii moving to the root of VI, then to the ♭5th of ii and to the root of V, delineating ♭$\hat{7}$ – $\hat{6}$ – ♭$\hat{6}$ – $\hat{5}$ in a given tonality. It can start higher in the scale, for example in the case of a ♯iv – VII – iii – VI – ii – V progression, where it starts on the tonic: $\hat{1}$ – $\hat{7}$ – ♭$\hat{7}$ – $\hat{6}$ – ♭$\hat{6}$ – $\hat{5}$.[23] But whatever its starting point may be, this movement has to stop at $\hat{5}$.[24] In 'I Can't Get Started' 1A1/7-8, Hawkins places VL Movement Two on dominants, so that the descent consists of ♭9th to root of V/ii (or VI^7), followed by ♭9th to root of V/I: C – B – B♭ – A (example 4.5).

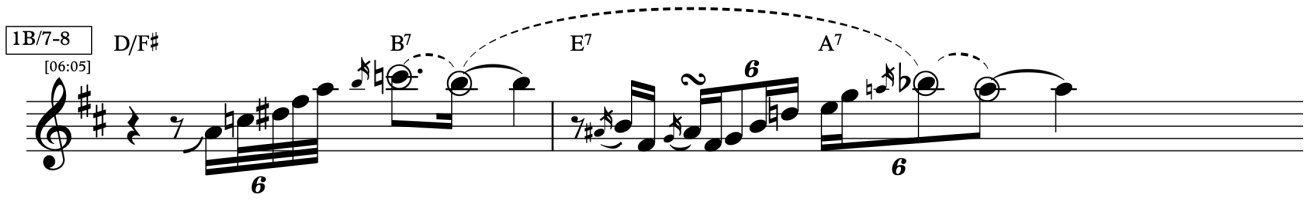
[21] The strip itself representing the unique saxophone voice, and each of the two sides of the strip representing a contrapuntal voice within that single saxophone voice.
[22] See Martin 1996, 36: 'Potential musical connections, even cogent ones, are numerous – theoretically even infinite – such plethora of musical relatedness cannot possibly be at the conscious grasp of any musician, however gifted'.
[23] For example, in Dizzy Gillespie's 'Woody'n You' (A/1-6), or, revolving twice faster and in the key of the subdominant, in Charlie Parker's 'Confirmation' (A/2-4).
[24] In this context, $\hat{5}$ is supported by V, which has to resolve to I, unless it modulates or leads to some deceptive resolution. Therefore, like VL Movement One, it can only be continued in the same key by switching to another type of voice-leading movement. See footnote 15.

EXAMPLE 4.5: 'I Can't Get Started' 1A1/7-8 [04:58].



We can observe here another occurrence of VL Combination (see example 4.4 and §4.7): while the upper voice draws a C – B – B♭ – A line by means of VL Movement Two, the lower part spells the chromatic descent D♯ – D – C♯ following VL Movement One. The two voices are related by an interval of a major sixth.[25] Hawkins takes up the same idea in 1B/7-8 (example 4.6).[26] He varies it by moving the phrase up an octave, by abandoning the 'lower voice', and by displacing the notes delineating the descent, which now fall on the fourth beat of 1B/7 and in the middle of the third beat of 1B/8, in contrast with the first iteration (1A1/7-8) in which they occurred at the same point of the respective bars (end of beat 3 and beat 4).[27]

EXAMPLE 4.6: 'I Can't Get Started' 1B/7-8 [06:05].



As discussed in §4.7, VL Movement Two can be placed in various ways on top of the iii – VI – ii – V progression that underlies it, allowing for great contrapuntal flexibility. If

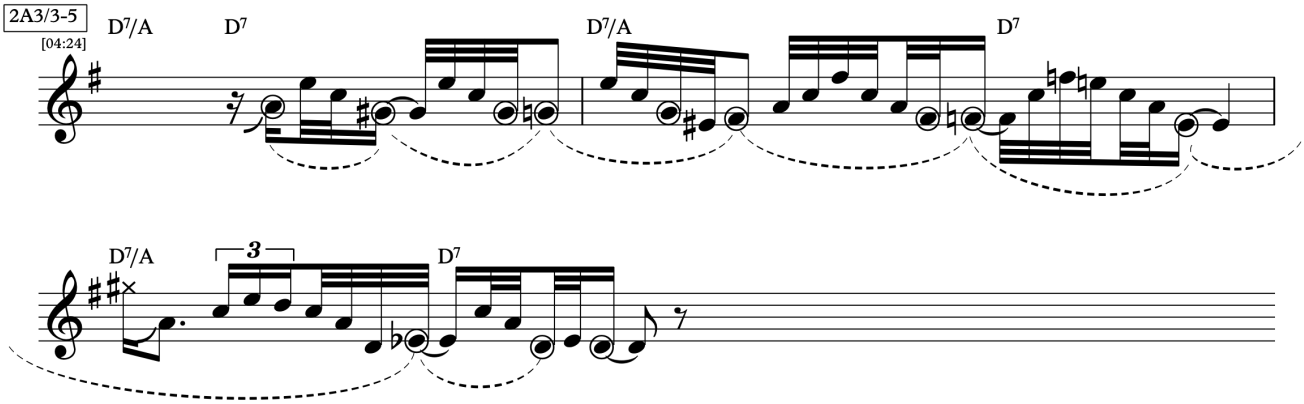
[25] Examples 4.21 and 4.23 also feature VL Movement One and Two, combined to form melodic sixths.
[26] When applying Cyclical Development, Hawkins usually comes back to an idea in the same point in a group of eight bars, i.e. in the same point in a similar section, be it A or B. Here he comes to it in a different section (bars 7-8 of B instead of A) because 'I Can't Get Started' features the same progression in those places.
[27] In 1B/8 Hawkins spells Emin7 (ii) in lieu of the E7 played by the band. Since the chord built on ii is part of V as its 'important minor' (see §3.2), this gesture allows Hawkins to better emphasise his pairing of the two dominants B7 and A7, when the interpolated dominant E7 would have blurred this relationship. See §7.3 and §7.4 for examples of 'phrase pairing'.

iii and ii are ^{ø7} chords, $\flat\hat{7}$ and $\flat\hat{6}$ can be placed as their respective $\flat5^{th}$. If iii and ii are $_{min}{}^{7}$ chords, the $\flat\hat{7} – \hat{6} – \flat\hat{6} – \hat{5}$ line typical of VL Movement Two is displaced ahead, $\hat{6}$ becoming the 5th of ii, $\flat\hat{6}$ the $\flat9^{th}$ of V, and $\hat{5}$ the 5th of I.[28]

§4.3 VL Movement Three

A third kind of chromatic voice-leading movement is brought about by a quality of the ii pre-dominant chord. As a minor chord, it has the ability to fill the gap between its root ($\hat{2}$) and its 6th ($\hat{7}$, leading tone of the tonality and 3rd of V) with its two 7th (major and minor).[29] A frequent gesture in tonal music, most jazz saxophonists possess a few 'licks' of the 'Tenor Madness' persuasion that rely on it.[30] This descent from the root of ii to the 3rd of V provides Hawkins with a particularly clear line to follow, a convenient backbone for florid and virtuosic gestures, as in 'Just One More Chance' 2A3/3-5 (example 4.7):

EXAMPLE 4.7: 'Just One More Chance' 2A3/3-5 [04:24].



As is usually done in such circumstances, Hawkins adorns the chromatic descent with the notes from the ii chord which are not affected by the movement (C and E, the 3rd and

[28] In this case VL Movement Two can also start earlier with $\hat{7}$ as the 5th of iii and $\flat\hat{7}$ as the $\flat9^{th}$ of VI.
[29] When occurring on a ii – V progression, the descending chromatic line from $\hat{2}$ to $\hat{7}$ is better understood as a succession of non-functional passing tones (melodic rather than harmonic). If we were to construe each note as the 3rd or 7th of a dominant, we would be reverting to VL Movement One. In such a view, if $A_{min}{}^{7}$ is the ii chord, A is its root, G♯ belongs to E^7 (V/ii), G to A^7 (V/V), F♯ to D^7 (V).
[30] The blues on which John Coltrane and Sonny Rollins take each other's measure, in the eponymous album *Tenor Madness* (Prestige LP-7047, recorded 24 May 1956).

5th of A minor).[31] In his hands, however, what can become a cliché remains unpredictable. Here VL Movement Three ends on F♯ in 2A3/4/1, where most improvisers would have switched to a different idea. Not so Hawkins, who extends the chromatic fall into 2A3/5 by filling the interval between $\hat{7}$ (F♯) and $\hat{5}$ (D), bringing to a climactic conclusion what he has been doing all along in this solo. Indeed, Hawkins has fixed his attention upon the following feature of the original melody of 'Just One More Chance': the $\hat{7} - \flat\hat{7} - \hat{6}$ cell (F♯ – F – E) contained in bars 3 and 5, to which he comes back throughout his improvisation, often extending it downwards with $\flat\hat{6}$ to reach $\hat{5}$.[32] His penultimate phrase (example 4.7), by combining this gesture with VL Movement Three (the chromatic descent from $\hat{2}$ to $\hat{7}$), travels the total chromatic span contained between $\hat{2}$ (A) and $\hat{5}$ (D).

VL Movement Three usually occurs as the root of ii ($\hat{2}$) going to the 3rd of V ($\hat{7}$). It can also be applied directly to the dominant, from its 5th ($\hat{2}$) to its 3rd. In 'I Can't Get Started' 1B/3 (example 4.8), Hawkins applies it to a I chord (E), which he temporarily treats as a dominant (see the D natural at 1B/3/3). In the next bar he asserts the tonic nature of this E harmony by emphasising the leading tone D♯, thereby turning E into $E_{maj}7$, heard already in the piano voicing on the downbeat of the bar. He ends his phrase with the return of D natural (which clashes with the piano's D♯) in a typical blues inflection that is also an anticipation of $E_{min}7$ in the next bar.

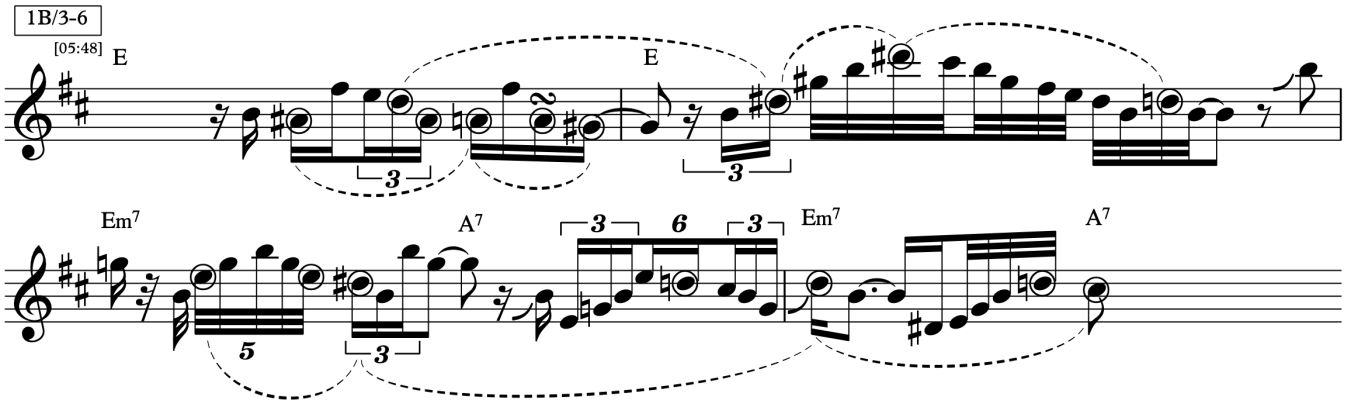
With this elegant gesture, Hawkins sets up an expectation to hear E, the momentary tonic in 1B/1-4. The listener, however, is frustrated: E appears only fleetingly as a passing thirty-second in 1B/4/2. Hawkins waits for the harmony to change from $E_{maj}7$ to $E_{min}7$, a change he underscores by placing G on the downbeat of 1B/5. Only at this point (1B/5/2) does he satisfy the listener's expectation by playing E. But the song is now moving back to D major, and E has lost its appeal as $\hat{1}$, and regained its humbler $\hat{2}$ status; the listener can no longer perceive it is a target. It is now a starting point, from which Hawkins, following VL Movement Three in its regular form (over a repeated ii – V

[31] When he reaches F♯ he switches to the root and 3rd of ii (A and C), enunciating an F♯ diminished triad, and omits to include the root of the chord he is on at that moment (D^7). Omitting chord tones is a technique often used by Hawkins. For example, in 'Don't Blame Me' at 2A3/3/2 he skips the 5th of $G_{min}7$, at 2A3/4/4 the 5th of $A\flat_{min}7$, and at 2A3/5/1 the 5th of $G_{min}7$ (all in example 4.4).

[32] See examples 5.9 and 3.1.

progression), launches a majestic descent towards C♯, the leading tone of the song's tonality.[33]

EXAMPLE 4.8: 'I Can't Get Started' 1B/3-6 [05:48].



Although they are not connected to each other directly, in example 4.8 voice-leading concerns rule 1B/3 (B – A♯ – A – G♯), 1B/4 (D♯ – D), and 1B/5-6 (E – D♯ – D – C♯). By adding the two next bars to these three instances (1B/7-8, example 4.6: C – B – B♭ – A), we obtain six consecutive bars of 'prioritised' voice-leading activity: although every other aspect of music making is present (sound, rhythm, melody, emotion) what primarily sustains these six bars is voice leading.

If we ignore the passage in the supertonic key of E major (1B/3-4) and focus our attention on the return to the song's tonality (D major) in 1B/5-8, we observe a well crafted example of voice leading, over four bars, which respects the three features that ideally define (in my view) such an event by being at once chromatic, descending, and continuous: E – D♯ – D – C♯ – C – B – B♭ – A (example 4.9). Furthermore, this descent delineates a tonally meaningful trajectory by joining the two fundamental 'positions' leading to the tonic: it travels from E, the supertonic, to A, the dominant.[34]

The change of octave in the voice-leading line between C♯ (1B/6/3) and C (1B/7/3) does not impact the chromatic descent: in tonal music a change of octave is not

[33] See example 3.20.
[34] The supporting chords are also II (E_{min}^7) and V (A^7), contrary to example 4.25 in which Hawkins sets up a similar II – V long-term melodic elaboration, but taking place on harmonies that contradict it ($iii^{ø7}$ and I).

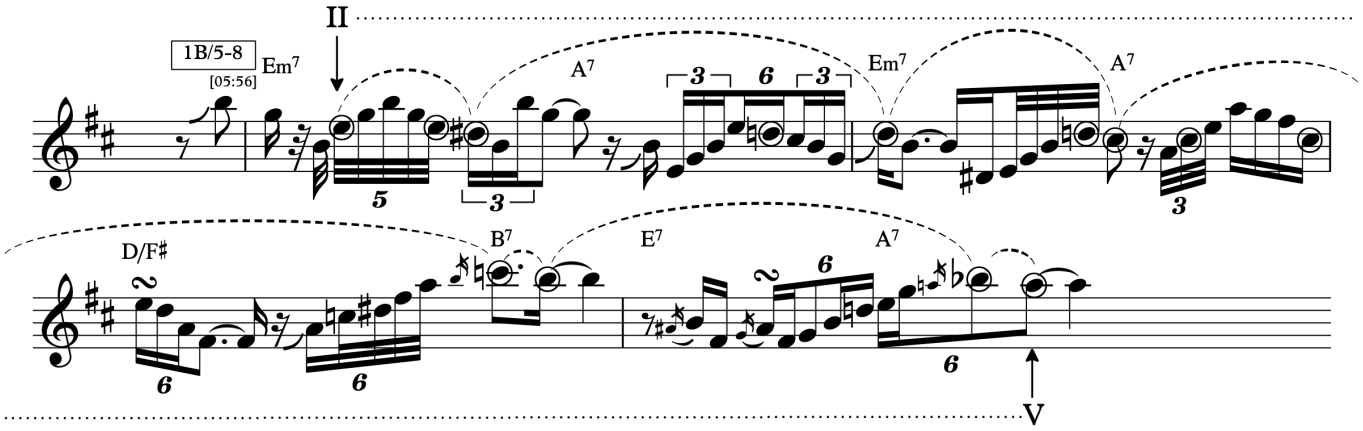
structurally significant. What matters, when listening contrapuntally, is the note rather than its register (hence Bach often breaks a scalar phrase by jumping up or down either a seventh or a ninth).[35] Similarly, the 'large-scale' descent in example 4.9 is not impaired by the momentary resolution of the leading tone C♯ in 1B/6/3 to the tonic D in first inversion in 1B/7/1 (with a graceful E appoggiatura).

As we have seen, in 1A1/7-8 Hawkins had already uttered the idea expressed in 1B/7-8, but in the lower octave (example 4.5). In bringing his phrases up an octave in 1B/7-8, his priorities were twofold: first, to achieve a lyrical climax, appropriately so since he finds himself in the zone immediately following the Golden Ratio;[36] second, to accommodate the increased range that he needed in order to efficiently vary 1A1/7-8. Indeed, at that first iteration he started (excluding approach-notes) from the 3rd of B^7 (D♯) and the 3rd of A^7 (C♯), which are already near the bottom of the horn (B♭), while in the second iteration he starts from the 7th of these chords (A and G respectively), which in the low octave would be out of range on the tenor saxophone. By moving everything up an octave, Hawkins solves this issue of register. Again, by moving the phrases up, Hawkins does not break his voice-leading thread: although they sound higher, these two phrases are still continuing the chromatic descent: structurally, they are lower than the phrases in 1B/5-6.

[35] For example in the *Violin Partita in D minor*, Allemande, bars 6-7; or in the *Cello Suite in C minor*, Allemande, bar 32.

[36] The second half of B in a 32-bar solo is generally an eventful point, if not necessary climactic in intensity. It follows the location of π (1.618, the Golden Ratio), roughly on the fourth beat of bar 19, the third bar of B (19.776 x 1.618 = 31.997). Often a song modulates at the beginning of B, and in the second half of B, at the Golden Ratio point, it travels back to its original key, as is the case in 'I Can't Get Started'.

EXAMPLE 4.9: Four bars of chromatic descent in 'I Can't Get Started' 1B/5-8 [05:56].



§4.4 VL Movement Four

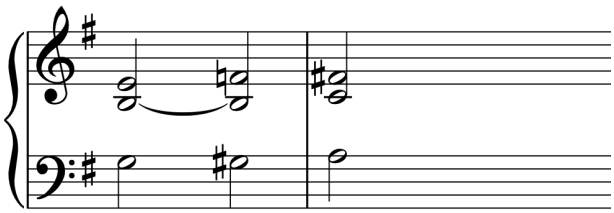
The presence in a song's harmonic progression of a passing diminished chord provides the opportunity to engage in voice-leading activity, albeit on a limited scale. The diminished chord usually links two chords which are a whole step apart and in root position (I and ii, ii and iii, IV and V, V and vi). Instead, in VL Movement Four the diminished chord links I in root position to V^7 in second inversion.[37] Although, in this context, the passing diminished chord results primarily from a contrapuntal motion, it is possible to consider it as bearing a harmonic function. According to the theory taught at the Conservatoire de Paris at the turn of the 20th century by composer Henri Dubois, the diminished chord can be heard as a dominant 7th without its root. In this view, the progression supporting VL Movement Four is I^6 – Rootless $V^{7\flat9}$/ii – $V^7/\hat{2}$.[38] It can be realised in three- and in four-part harmony. In both cases, $\hat{1}$ and $\hat{6}$ move chromatically to $\hat{2}$ and $\hat{7}$ respectively, forming parallel sixths. In four-part harmony the remainder of the voices progress as follows: $\hat{3}$ is repeated once, then moves to $\hat{4}$; and $\hat{5}$ is maintained

[37] Another exception, much more frequent than the one discussed here, occurs when the passing diminished chord links IV with I in second inversion, labeled in classical music as $V^{6/4}$ because, $\hat{5}$ being in the bass, the function is V. In this view the $V^{6/4}$ chord contains the two nonchord tones $\hat{1}$ and $\hat{3}$, which generally move down to chord tones $\hat{7}$ and $\hat{2}$ respectively, forming the V chord which then resolves to I.

[38] I^6 designates a tonic chord with an added 6th, not a tonic triad in first inversion. It could be regarded as vi in first inversion, but its function is I. 'Rootless V' means the diminished chord built on the leading tone, often notated as vii^o. Strictly speaking, vii is not a tonal function and should not appear outside of the analysis of sequences. See Dubois, no year, 81 and 88.

throughout. In three-part harmony, $\hat{5}$ is abandoned, to the effect that the third chord in the progression, the dominant V^7, also lacks its root. The resulting tonal functions are I^6 – Rootless $V^{7\flat9}$/ii – Rootless V. Both in three- and in four-part harmony, no voice moves in contrary motion: they either remain or move up. Example 4.10 shows VL Movement Four in three-part harmony:

EXAMPLE 4.10: I^6 – Rootless $V^{7\flat9}$/ii – Rootless V/$\hat{2}$ in G.



The contrapuntal motion that produces these chords trumps their harmonic implication: Rootless $V^{7\flat9}$/ii should resolve to ii (A minor), which would be the case if F moved in contrary motion down to E. Instead, F moves up to F♯ and forms a Rootless V^7 chord. A distinguishing aural feature is that the last chord being in second inversion,[39] $\hat{2}$ is in the bass, suggesting the pre-dominant function II, but the harmony is directly V. This progression is at the heart of Hawkins's short composition 'Night Hawk'.[40] It is only eight-bar long, with a simple melody played by Hawkins (and responded to by fellow tenor saxophonist Eddie 'Lockjaw' Davis), over the following chord sequence, which in bars 4-5 uses the progression showed in example 4.10:

|| Fmin Fmin$^{\flat6}$ | Fmin^6 | F^7 | F♯^{o7} | C^7/G | C^7 | F^6 F^7/A B♭ D♭^{7}/B | F/C C^7 ||

[39] Inversions of rootless chords are calculated as if the root were present. If the last chord were labeled vii^o, as would be more frequently done today, it would be in first inversion.
[40] On the LP album *Night Hawk* (Swingville SVLP 2016, recorded 30 December 1960). Another Hawkins composition, 'Bean Stalking' (Asch 791, recorded 11 January 1945) , uses a similar chord progression in major: G – G^+ – G^6 – G♯^{o7} – D^7/A; the first theme is the chromatic line D – D♯ – E – F – F♯. 'Bean Stalking' is based on the harmony of Jesse Stone's 'Idaho' (1942). The song's published sheet music (in the key of F) stays on F for three bars and a half, then moves to F♯^{o7} for two beats, then to Gmin, Gmin^7, C^7, and back to F; it does not feature the ascending chromatic line used by Hawkins.

Here the ascending chromatic movement of the 'soprano' starts earlier due to the play around the 5th and 6ths of the tonic minor chord: $\hat{5}$ – ♭$\hat{6}$ – $\hat{6}$ – ♭$\hat{7}$ – $\hat{7}$ (recalling Rachmaninov's *Piano Concerto No. 2 in C minor*, Op. 18).[41]

This contrapuntal motion is repeatedly heard in Hawkins's recording of 'Just One More Chance'. It is a constituent part of the song, a kind of countermelody, as indicated by its presence in the second bar of each A section in the published sheet music, of which example 4.11 offers a reduction.

EXAMPLE 4.11: 'Just One More Chance' A/2: sheet music piano part (reduced).

The D – D♯ – E – F – F♯ ascent is kept by pianist Earl Hines and by the backing horns, as shown in the ossia staff in example 3.1. They also use the end of the figure (E – F – F♯) in bars 4-5 of each A section to add movement 'within' the dominant harmony (D^7) which, in this song, lasts from bar 3 to bar 6, an unusually long time for a ballad.[42] Hawkins is little interested in the D♯ passing from D to E in A/2/2 and never plays it himself, probably because it has no functional value and would be redundant with the line of the backing horns.[43] But he does consider carefully the remainder of the contrapuntal movement, from A/2/3-4 into A/3/1, which prompts VL Movement Four. Examples 4.12 and 4.13 illustrate two of its applications, at 1A3/2-3 and again at 2A3/2-3.[44]

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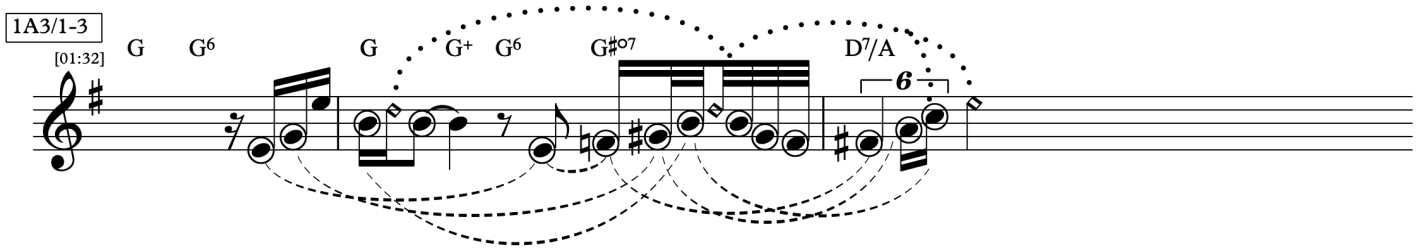
[41] The chord notated as $D♭^7/B$ is the harmonic result of the contrapuntal movement of the two voices in bars 7 and 8: the bass goes up A – B♭ – B – C while the soprano goes down E♭ – D – D♭ – C. On the third beat of the seventh bar B and D♭ meet, forming an augmented 6th chord (with the augmented 6th in the bass). This chord appears in the published sheet music of a few songs, for example in bar 29 of 'When Day Is Done'.

[42] The sheet music retains only the last two notes of the movement (F – F♯) in bars 4-5.

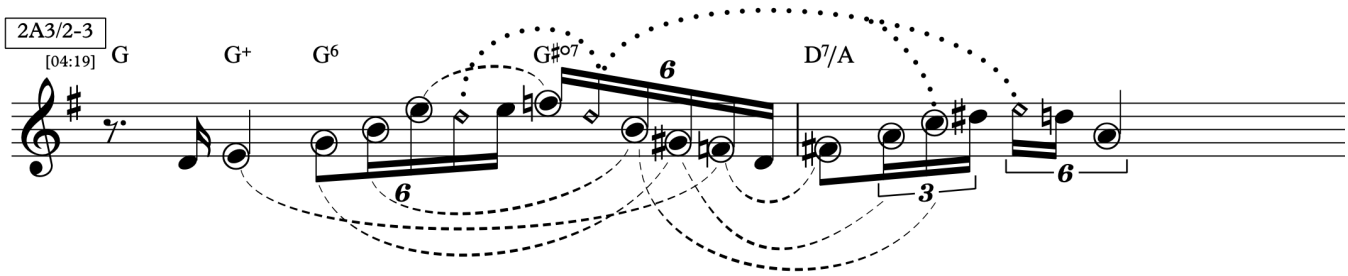
[43] Reminder: A/2/2 designates the second beat of the second bar in each three A sections of the song. See §1.10.

[44] At 1A2/2/3-4, Hawkins spells downwards the upper part of $G♯^{o7}$ (F – D – B), resolving to C, but then jumps straight into the melody (E – E – D), so that F and D do not resolve, and no voice-leading event takes place. Note that when Hawkins plays B, he is a half step away from the bottom of the tenor

EXAMPLE 4.12: ‘Just One More Chance’ 1A3/1-3 [01:32].



EXAMPLE 4.13: ‘Just One More Chance’ 2A3/2-3 [04:19].



In both examples, Hawkins places the diminished chord exactly on the fourth beat, where it occurs in the piano accompaniment and in the horn background (as well as in the published sheet music), which shows the extent of his precision in such matters. In A/2 of ‘Just One More Chance’, the significant harmonic changes occur in beat 3 and 4 and into the first beat of A/3: chords inhabit only one beat each, but Hawkins still manages to outline them impeccably.

Although the published sheet music is in three-part harmony (see example 4.11), Hawkins thinks in four-part harmony, therefore including $\hat{5}$ (D) which traverses the three chords. This D could be heard as resolving down to C,[45] or as rising to the E at which

saxophone, a difficult zone to navigate with such fluency as he manifests. See complete transcription in Appendix IV.

[45] The diminished 7th built on the leading tone of a tonality, or Rootless $V^{7\flat9}$ (see footnote 38), contains the three notes with ‘mandatory’ resolution: $\hat{7} – \hat{1}$, $\flat\hat{6} – \hat{5}$, $\hat{4} – \hat{3}$. Here D resolving to C is $\hat{4} – \hat{3}$ in A minor. A minor is skipped and $G\sharp^{o7}$ moves directly to D^7, but the function of $G\sharp^{o7}$ is still Rootless V/ii, or V of A minor in the song’s key of G.

Hawkins, because it is the song's melody note on that beat (A/3/2), aims his phrase.[46] Hawkins often seeks the 'signature' elements in a song, the most striking features that catch the ear and the memory of the listener, using these as structural markers to which he regularly returns, changing how he gets to them and how he expresses them. In 'Just One More Chance' Hawkins uses two such markers. First, the repeated $\hat{6}$ in A/3/1-2 and A/5/1-2, hence Hawkins's insistence on landing the two phrases of examples 4.12 and 4.13 on E (although in 4.13 he adds two notes, E is clearly the target of the phrase); and second, the $\hat{7} - \flat\hat{7} - \hat{6}$ cell in A/3/3-4 (into A/4/1) and A/5/3-4 (into A/6/1), which, as we have seen, he extends to reach down to $\hat{5}$ (see example 4.7).[47]

Contrary to certain expressions of VL Movement One, Two, and Three, VL Movement Four is admittedly of a very local kind. In a sense, the primacy of counterpoint is inverted: in the song it is the contrapuntal ascent from $\hat{1}$ to $\hat{7}$ that generates the passing diminished 7th chord (the chord is a result of the melodic movements of the voices in the piano part), while in Hawkins's solo it is the diminished 7th chord, heard and treated as such in arpeggiated form (i.e. treated harmonically and not contrapuntally) that automatically generates a small-scale 'triple' voice leading (F – F♯, G♯ – A, B – C).[48] Hawkins needs many notes to deploy the passing diminished chord in a single beat, and his recourse to thirty-seconds (1A3/2/4) and sextuplets (2A3/2/4) serves this harmonic purpose. Melodically, the implementation of the diminished chord tends to occupy large intervals: in 2A3/2/4 Hawkins spells $G\sharp^{o7}$ down a tenth from middle F to low D. But in spite of this abundance of notes spanning wide intervals, VL Movement Four remains an effect, a brief voice-leading flash; it has no deep structural potential as some of the other ones discussed in this chapter.

However evanescent they might be, the voice-leading movements generated by the passing diminished chord possess a distinguishing quality: the usual chromatic voice-leading movement is a descending one, as testified by most examples in this chapter, but in this case it can be ascending, for it is a mark of the passing diminished chord that it can

[46] D and E are indicated by diamond noteheads and linked by dotted slurs in both diagrams. The chord resulting from Hawkins's leap to E is a Rootless $V^{7\flat9}$. The understanding of the 7th chords built on the leading tone not as vii but as Rootless V applies to both kinds of 9th, minor and natural (i.e. the top note can be either $\flat\hat{6}$ or $\hat{6}$). See Dubois, no year, 81 and 88.
[47] See §5.7.
[48] Quadruple if one counts D – C (or the alternative D – E).

function in both directions. A related voice-leading movement, also capable to move in both directions, comes from another kind of passing diminished chord, linking I^6 and IV^6 (or ii $_{min}{}^7$) (example 4.14). This movement is commented in example 6.8 and discussed in more detail in Appendix II.

EXAMPLE 4.14: $I^6 – I^{o7} – IV^6$ in G.

§4.5 VL Movement Five

A fifth type of voice-leading movement, similar in its workings and in its small-scale local nature to VL Movement Four, arises from the insertion of a passing ♭iiimin^7 chord between iiimin^7 (or I in first inversion) and iimin^7. Hawkins uses it abundantly in 'Don't Blame Me' (example 4.15).[49]

EXAMPLE 4.15: Passing ♭iiimin^7 chords in 'Don't Blame Me'.

[49] Lawrence Koch (1999, 323) examines how Charlie Parker navigates iiimin^7 – ♭iiimin^7 – iimin^7.

In 1A2/4-5 Hawkins suspends the 3rds of each chord (C – C and C♭ – C♭) into the next chord, creating accented dissonances that are not present in the other variants of VL Movement Five in this solo (these suspensions are indicated with dotted slurs in example 4.17).[50] One exception could be 1A3/4-5, where Hawkins arpeggiates Amin7 starting on the second sixteenth of 1A3/4/2, with the effect that the chord's 7th (G) is played on the beat at 1A3/4/3 over A♭min7. This G could be considered as the major 7th of A♭min, but since the phrase is constructed around the chromatic voice-leading thread formed by the three successive minor 7th of iii, ♭iii, and ii (G – G♭ – F), G is better understood as an accented dissonance not belonging to A♭min7 (resulting from a 'suspension', not of the note G itself which is not played before, but of the whole chord Amin7 to which it belongs). Hawkins then inflects chromatically that G to become the 7th of A♭min7 (G♭), and instead of repeating the same pattern (ascending four-note arpeggio) to get to Gmin7 in 1A3/5, he uses only the 3rd, 5th, and 7th of A♭min7 in order to land the 7th of Gmin7 (F) on the downbeat and avoid another accented dissonance. As observed regarding example 5.4, G and F are notes belonging to the melody of 'Don't Blame Me' at this point, displaced ahead, and it may be that this variation of VL Movement Five comes as a result of Hawkins's decision to use these melody notes: since F normally occurs where A♭min7 is inserted, and since F is not part of A♭min7, Hawkins had to move each melody note forward in order to place F on Gmin7.

In 2A2/4/3-4, the arpeggiation of the passing A♭min7 is broadened to an eleventh (from the chord's 3rd, C♭, down to its 7th, G♭), when all other enunciations are contained within an octave (G♭ to G♭ at 2A3/4/3-4) or less (a fourth at 1A1/4/3-4). In half of the cases (1A1/4-5, 2A2/4-5, 2A3/4-5), Hawkins negotiates the iiimin7 – ♭iiimin7 – iimin7 progression in a (mostly) linear or horizontal fashion, while in the other half he takes a more vertical stance and emphasises inner intervals within each chords (fifths or sixths, see examples 4.16 and 4.17). With these remarks in mind, example 4.15 shows that Cyclical Development is at work:[51] Hawkins applies a single abstract idea, in this case

[50] At 1A2/4/1-2 over F, Hawkins plays an A minor triad in second inversion (E – A –C). One would expect him to do the same at 1A2/4/3-4 over A♭min7 (E♭ – A♭ – C♭), but instead of A♭ he plays G, delineating an augmented triad (E♭ – G – C♭) across the bar line and into 1A2/5/1. Often, Hawkins prefers not to play symmetrically, when doing so creates a more interesting melodic line.
[51] See examples 3.18 and 3.19, 4.2 and 4.3, 4.18 to 4.20, 4.21 and 4.23.

VL Movement Five, to the same point in each A section of the song's form, without ever playing it twice in the same manner.

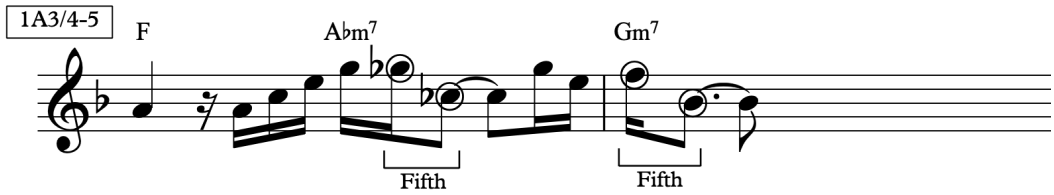
The ♭iiimin^7 passing chord used by Hawkins is not part of the harmony of 'Don't Blame Me' as it appears in the published sheet music. But, as we shall see in §4.7, Hawkins needs it in order to prolong the voice-leading schemes on which his solo is centred beyond their natural conclusion. As example 4.15 shows, Hawkins uses VL Movement Five in each A section of his two choruses. Pianist Teddy Wilson, by contrast, plays A♭min^7 at 1A1/4/3-4, not at 1A2/4/3-4, then again at 1A3/4/3-4. Wilson applies the same plan to the out chorus, inserting A♭min^7 at 2A1/4/3-4, not at 2A2/4/3-4, and again at 2A3/4/3-4. Although Hawkins plays the passing chord each time, Wilson chooses not to. This is part of the specific sound of tonal jazz, with occasional 'polytonal' moments resulting from each performer's independent routes towards a common target, as opposed to Western classical music in which polytonality is the conscious choice of a single composer.

Hawkins's and Wilson's use of the passing ♭iiimin^7 chord impacts the next chord as well (A/5/1-2). In the published sheet music the chord is ii^{ø7},[52] but the chromatic insertion of ♭iiimin^7 after iiimin^7 sounds better if it goes to iimin^7 rather than ii^{ø7}, thus maintaining an exact parallelism of movement, which is what Wilson tends to play. Treating ii as minor 7th also allows Hawkins in 2A1 and 2A2 to continue his chromatic voice-leading descent by playing the natural 5th of ii (D) and then move to the ♭9 of V (D♭) (see lower voice at the end of examples 4.23 and 4.24). Because it consists in three minor 7th chords in a row, VL Movement Five is in itself a parallel contrapuntal movement. Unlike VL Movement Four, which permits 'correct' voice leading due to the presence of the diminished 7th chord, VL Movement Five automatically causes two sets of parallel fifths to occur, since each minor 7th chord contains two fifths: one from root to 5th and another one from minor 3rd to minor 7th. Nevertheless this is a frequent movement in tonal jazz, and perhaps the presence of not one but of two fifths within each chord cancels out the unpleasant effect generally caused by a single one.[53] In 1A3/4-5, Hawkins exploits this feature of VL

[52] The recourse to the half-diminished 7th chord on ii as well as on iii (even though the song is in major) is one of the salient features of 'Don't Blame Me' in its sheet music version.
[53] Dominant 9th chords also sound well when played in succession and in parallel motion. Like minor 7th chords, they contain two fifths, one between the root and the 5th, one between the 5th and the 9th.

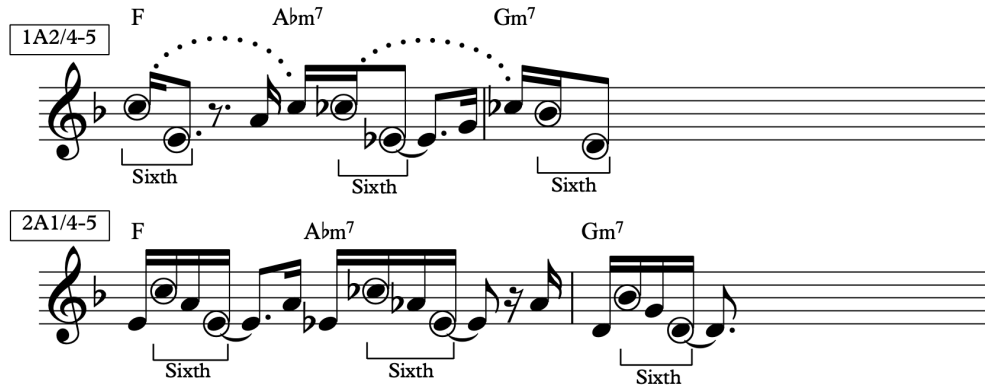
Movement Five by outlining the 7^{ths} and 3^{rds} of A♭min^{7} and of Gmin^{7} (respectively G♭ – C♭ and F – B♭), resulting in melodic parallel fifths (example 4.16).

EXAMPLE 4.16: Melodic parallel fifths in 'Don't Blame Me'.



In 1A2/4-5 and 2A1/4-5 (example 4.17) Hawkins treats VL Movement Five in a similar way as in example 4.16, by building his phrase segments around a comparatively wide interval within each chord. In these two instances, however, he chooses the best-sounding interval, contrapuntally, for such a parallel movement: the minor sixth formed by the 5^{ths} and 3^{rds} of each chord (C – E on Amin^{7}, C♭ – E♭ on A♭min^{7}, B♭ – D on Gmin^{7}).

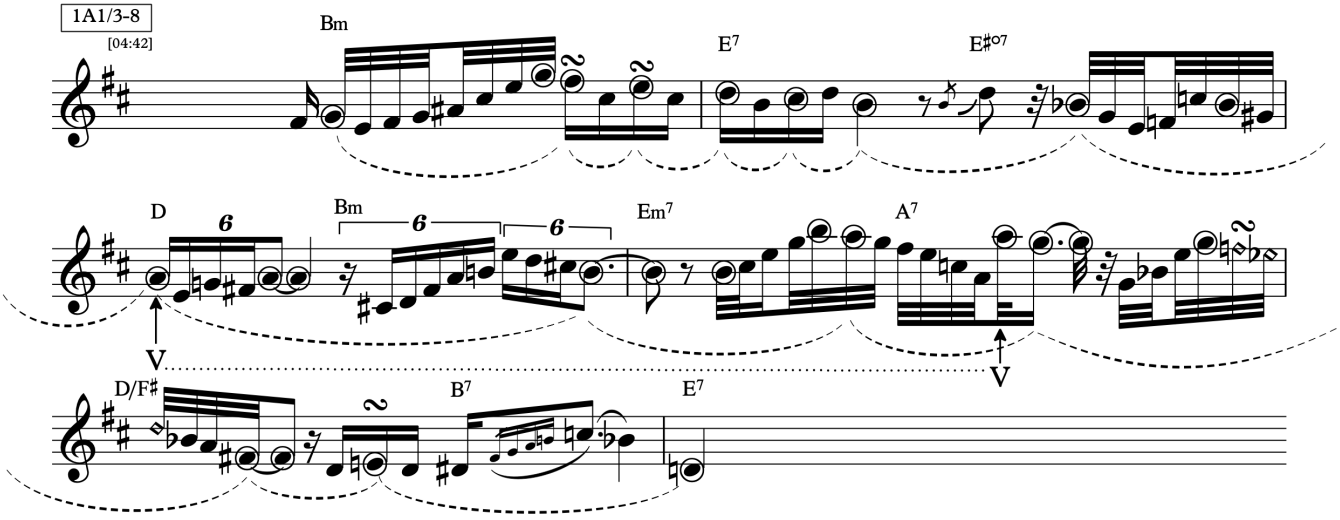
EXAMPLE 4.17: Melodic parallel sixths (and dissonant suspensions) in 'Don't Blame Me'.



§4.6 VL Movement Six

VL Movement Six is a continuous diatonic descent.[54] As such, it is an exception to the 'rule' proposed at the beginning of this chapter – that voice-leading events should be chromatic in order to be clearly audible. Like its chromatic counterpart, VL Movement One, it needs time to unfold and tends to cover several bars, thus acquiring a developmental quality. In each A section of 'I Can't Get Started', Hawkins perceptibly delineates a scale descending stepwise, from G to the tonic D one octave and a half below, over the span of five bars.[55] Since he deploys VL Movement Six thrice, examples 4.18 to 4.20 are also illustrative of Cyclical Development.[56]

EXAMPLE 4.18: Diatonic descent in 'I Can't Get Started' 1A1 [04:42].



Example 4.18 shows the continuous diatonic descent followed by Hawkins in the first A section of 'I Can't Get Started'. It is disturbed by three types of 'accidents':

A) Octave shifts, as in 1A1/3/3, 1A1/6/1-2, and 1A1/6/3 to 1A1/7/1. As already discussed about example 4.8, octave shifts do not affect a voice-leading descent from a

[54] Two examples of diatonic descent are given by Zsoldos (2000, 27, examples 33 and 34) regarding 1B/2-4 and 2B/2-4 of 'Body and Soul'. Thomas Owens (1974, Vol. 1, 271) claims that 'Parker was the first major figure in jazz to use disguised scalar descents as a basic organizing force in jazz improvisation'. He provides numerous graphs delineating various descents ($\hat{5} – \hat{4} – \hat{3} – \hat{2} – \hat{1}$, $\hat{5} – \hat{4} – \hat{4} – \hat{3}$, $\hat{3} – \hat{4} – \hat{4} – \hat{3}$) 'generally interrupted by chordal leaps and neighbour tones' and 'disguised by interval inversions and octave-filling motion' (Owens 1974, Vol. 1, ix).

[55] Example 5.5 provides an example of diatonic descent, and example 5.7 a rare example of diatonic ascent in 'Don't Blame Me'.

[56] See examples 3.18 and 3.19, 4.2 and 4.3, 4.15, 4.21 and 4.23, 7.3 and 7.4, and §7.4.

structural perspective. From a melodic perspective, however, they are efficient in reinvigorating a musical phrase.

B) The insertion of the B♭ chromatic passing note in 1A1/4/4. This ♭$\hat{6}$ inserted between $\hat{6}$ and $\hat{5}$ corresponds to Barry Harris's 'sixth/diminished' scale, or what established jazz pedagogy calls 'bebop scale', ignoring the harmonic implications of the ♭$\hat{6}$ as 7th of the diminished chord built on the leading tone. More importantly perhaps, the B♭ emphasised here by Hawkins, as in the same point in the two other A sections, comes from the melody of 'I Can't Get Started' (see example 5.8). It is not a consequence of an arbitrary harmonic substitution; rather, it is likely that Hawkins chooses to play E♭ instead of A^7 in order to better embroider the melody's B♭. Although that note is the 9th of A^7, by playing instead an E♭ triad (with an added passing F) Hawkins expands the melody's single chromatic note into a bigger entity. The sought-after effect is the same: the sudden insertion of a single chromatic note (in the melody) or of a group of chromatic notes (in Hawkins's solo). Alternatively, this B♭ can be considered not as chromatic to the major mode of the song's key, but rather as coming from the key's 'parallel minor' mode, to which it is diatonic. Note that Hawkins still uses the E♭ triad in the third A section, even though the song's melody is different in that point and does not feature the chromatic B♭ any more.[57]

C) The return up to B for about two beats in 1A1/5/4 to 1A1/6/1.[58] With this gesture, the diatonic descent is suspended from 1A1/5/1 to 1A1/6/3 by ornamenting $\hat{5}$ as $\hat{5}$ – $\hat{6}$ – $\hat{5}$. This prolongation of the melodic $\hat{5}$ intensifies its functional implication as V.[59]

The application of VL Movement Six in example 4.18 should logically conclude on the tonic D. But in 1A1/7/3-4 the underlying harmony is V/ii. Therefore, Hawkins switches to VL Movement One and continues chromatically (see lower voice of example 4.5), which enables him to finally land on D in 1A1/8/1. Another way of looking at the end of this descent would be to consider that it continues diatonically after A and G in

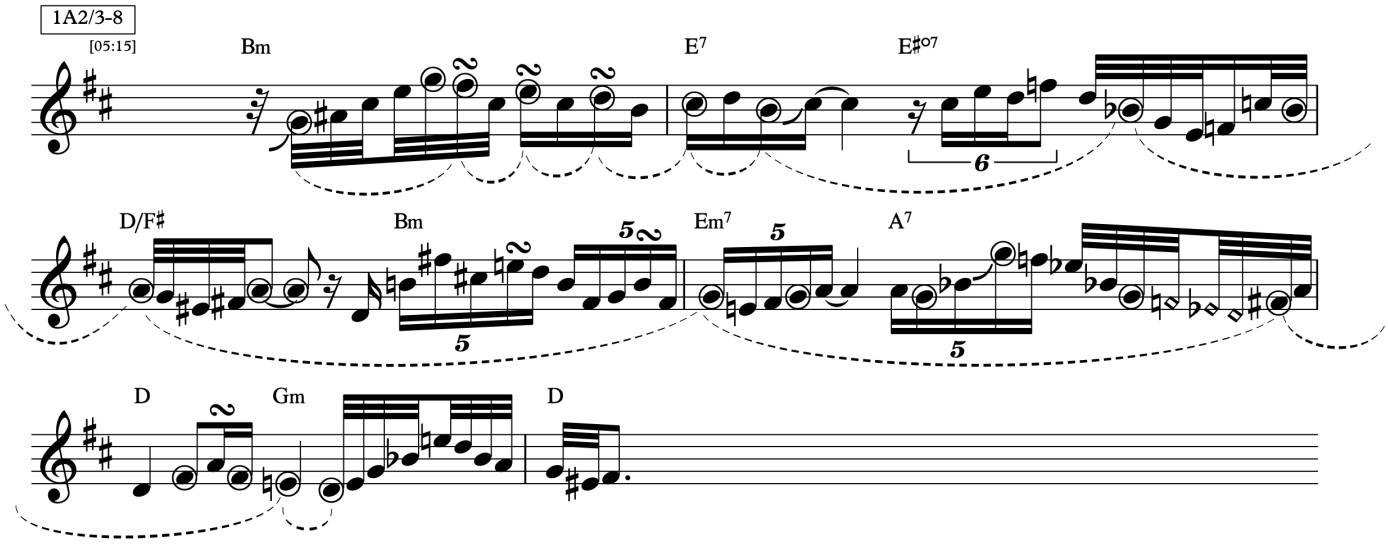
[57] See footnote 71 in §5.6 and the paragraph it is attached to.
[58] In examples 33, 35 and 36 provided by Zsoldos (2000, 26-28) to illustrate treatments of the same zone (B/2-4) of 'Body and Soul' (and of 'Rainbow Mist', which has the same chord progression), Hawkins also goes up and then down in his diatonic descent: B – C – B – A – G♯.
[59] See similar activities in example 4.25.

1A1/6/3-4, but in the Phrygian mode[60] (enabled by Hawkins's substitution of E♭ for the band's A^7), with F and E♭ (notated in diamond noteheads in example 4.18). In this view the descent does conclude on the tonic D in 1A1/7/1, although it is difficult to hear these notes as having any strong concluding character; I prefer to regard the 'Phrygian episode' as an ornamentation of the actual descent.

Hawkins follows the same trajectory in the same area of the next A section (1A2/3-7, example 4.19). This time around, the realization of VL Movement Six is less audible, but still clearly present as a guiding idea. Except for G – G at the beginning of the passage, Hawkins does not make octave leaps.[61] Again he inserts a passing chromatic B♭ (1A2/4/4) in the otherwise diatonic descent. After that, he does not elaborate A as he had done previously by going back up to B. Instead, he descends one step per bar: A in 1A2/5/1, G in 1A2/6/1 (or one could consider that A lasts until 1A2/6/3 and that G comes in then), and F♯ in 1A2/7/1 (anticipated by a sixteenth). Hawkins then seems to skip E and ends the descent on D at 1A2/7/1 (the melody's note in this point); but a bit later we do find an E, followed by a D, and it makes perhaps more sense to conclude VL Movement Six in that point – although the supporting harmony is the iv chord used by the rhythm section to embellish I.[62] The phrase itself, unable to rest on the iv chord, spills over the structural boundary posed when the diatonic descent reached the tonic, and resolves to the third F♯ in 1A2/8/1. Since Hawkins substitutes again E♭ for A^7 in 1A2/6/4, we have another 'Phrygian episode', the diatonic descent G – F – E♭ – D (indicated in diamond noteheads) embellishing the main descent.

[60] The Phrygian mode is not in this context meant as an application of chord-scale theory. I refer, rather, to what happens when a musician wants to make every note in the key 'minor', i.e. to lower it by a half-step, without touching $\hat{5}$ which would threaten the tonal equilibrium. The resulting mode is Phrygian.
[61] The second G – G octave leap at 1A2/6/3 serves to implement the 'Phrygian episode' rather than to interrupt the descent.
[62] Unless placing the targeted tonic *not* on I were a deliberate choice by Hawkins, to make the landing of the descent lighter and less obvious.

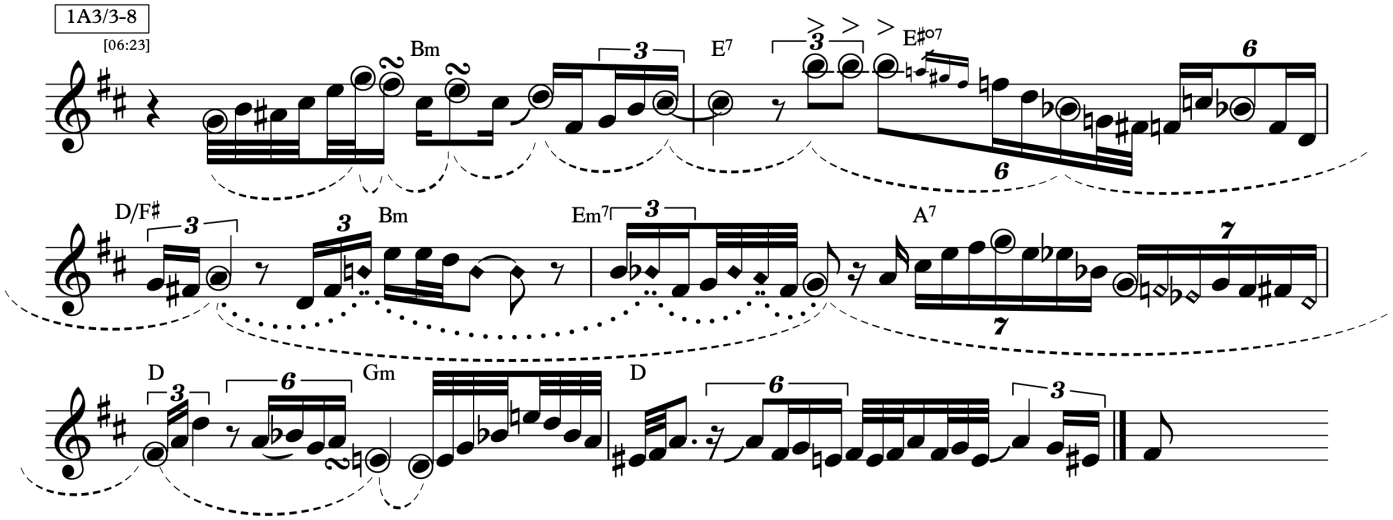
EXAMPLE 4.19: Diatonic descent in ‘I Can’t Get Started’ 1A2 [05:15].



True to his customary consistency in the application of ideas, Hawkins finds another manner of descending from G to D in the third A section of ‘I Can’t Get Started’ (example 4.20). In 1A3/4/2 he moves the diatonic descent up an octave by leaping from C♯ to B. In the preceding examples, when he operated such a register shift, he repeated the note an octave higher and *then* moved to the next note. Here, he moves directly from C♯ to B, displaced up an octave (thus, melodically, we hear a seventh). Other than this event, the application of VL Movement Six in 1A3 is similar to the one in 1A2. Again Hawkins inserts the passing B♭, and again he moves down one degree per bar, from A in 1A3/5/1 to G in 1A3/6/1 (delayed to the second beat), to F♯ in 1A3/7/1 (anticipated at the end of 1A3/6/4 then repeated on the downbeat of 1A3/7), to E in 1A3/7/3, and finally to D in 1A3/7/4. Again the tonic lands on the iv chord, and Hawkins continues his phrase, resolving it in 1A3/8/1, this time on the fifth of the key. In the last phrase of his solo, which follows immediately, he plays a fioritura around $\hat{3}$ and $\hat{5}$, avoiding to go back to D, which seems to confirm that in his mind the tonic had been ‘structurally reached’ at the end of the diatonic descent in 1A3/7/4, and that it would be redundant to return to it. The ‘Phrygian episode’ likewise finds a third guise in 1A3/6/4 (indicated by white diamond noteheads).

After the diatonic descent reaches A in 1A3/5/1, Hawkins inserts a short chromatic voice-leading episode in order to embellish that structurally meaningful note, the dominant. As seen in example 4.18, at 1A1/5-6 he had prolonged A by temporarily moving back up to B: as a result, the descent was suspended for a while, but it remained diatonic. This time, after moving up to B, he inserts a chromatic B♭ on his way back down to A (indicated in example 4.20 by black diamond noteheads linked with dotted slurs).

EXAMPLE 4.20: Diatonic descent in 'I Can't Get Started' 1A3/3-8 [06:23].



In these three applications of VL Movement Six, we should note that the first part of the descent occurs on harmonies that are rather distant from the tonic: V/vi, vi, V/V. Therefore, when the tonic is traversed a first time, it lands either on vi (in 1A2/3/4 and 1A3/3/4) or on V/ii (1A1/4/1), without sounding as a tonic at all, which contributes to mask the voice-leading activity. But the consistency observed in examples 4.18 to 4.20 makes it apparent that the same strategy (VL Movement Six) is operating in each A section of 'I Can't Get Started'.

Regarding the placement of VL Movement Six, we may add that it covers five bars, which is a significant portion of each A section. The song starts with a I – vi – ii – V turnaround in bars 1-2, a progression that strongly establishes the key but that does not create unexpected movement. On the downbeat of the third bar comes V/vi ($F\sharp^7$), and from there, the song works its way back to I in bar 7 (the I chord in bar 5 is in first

inversion and not conclusive, it functions like a iii). The F♯7 in bar 3 is, therefore, the point in which all the energy to be released in the song's chord sequence is gathered; and it is precisely at this point that Hawkins begins the diatonic descent. That he starts it each time by leaping up an octave from G to G is also telling in terms of accumulation of musical inertia. Then the descent follows the song's harmonic movement and naturally ends when the song reaches I.

Hawkins, although he bases his phrases (in the A section) on the diatonic descent just examined, is at the same time working from the melody, as discussed in §5.6. He does so more sparingly in this solo than in 'Just One More Chance' and in 'Don't Blame Me', and one reason may be that he is committed in priority to outlining VL Movement Six. The beginning of the descent (bars 3-4 of A) could be seen as deriving from the melody, which has the same notes (F♯ – E – D – C♯ – B), albeit in different order. The remainder of the melody does not seem to be connected to the descent, except at some junctures (such as F♯ in 1A1/7/1). Hawkins perceived a structural element contained in 'I Can't Get Started' but not developed by its composer Vernon Duke, and brought it to fruition, rather than basing his improvisation on the song's melody. Such instances of product enhanced by process are a typical feature of jazz music.

§4.7 VL Combination

In §4.1 to §4.5, we have examined six typical voice-leading movements on which Hawkins bases his phrases in 'Don't' Blame Me', 'Just One More Chance', and 'I Can't Get Started'. We can now turn our attention to a few passages where he combines two of these movements, producing a double voice-leading complex. For short, I designate this technique, illustrated en passant in examples 4.4 and 4.5, as VL Combination.[63] The combination happens at three levels: first, vertically, as two VL Movements are implemented simultaneously; second, horizontally, as each voice is liable to switch from one VL Movement to another; and third, because the new 'object' formed by the vertical combinations of two VL Movements can in turn switch to another such object.

[63] Zsoldos (2000, 27, examples 33 and 34) gives two clear examples of this technique, which he describes as 'two guide-tone lines that counterpoint each other', regarding 1B/2-4 and 2B/2-4 of 'Body and Soul'. In his examples both lines are diatonic.

It is remarkable that Hawkins manages to follow two voice-leading movements on a single-line instrument.[64] A distinction should be made between two kinds of 'divided-in-two single voices'. One is of an instrumental, or sonic nature: it divides the range of the instrument itself in two or more zones, clearly delimited, each one welcoming the activity of one of the two 'voices'. On the saxophone this approach is facilitated by the change of octave mechanism, or 'octave break', around middle C♯ – middle D, which naturally divides the register of the instrument in two.[65] John Coltrane experimented extensively with this, especially towards the end of his career, when he played short cells in the lower octave of the tenor saxophone and answered with other ones in the upper octave, alternating continually between the two sets and installing a perceptible dialogue within a single instrumental sound.[66] The clearly delimited register attributed to each 'voice' makes it possible for the listener to grasp the dual nature of the musical texture being produced by Coltrane, although he is performing alone on a single-line instrument.[67] Another kind of 'divided-in-two single voice' is of a contrapuntal nature: the sense of two distinctive melodic lines is achieved not by instrumental register (although naturally one voice will be lower than the other) but by two distinct voice-leading threads. It is a contrapuntal phenomenon rather than an idiomatic one based on register. This second kind is the one used by Hawkins, and before him by Bach in his *Cello Suites* and *Violin Partitas*.[68]

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[64] Henry Martin (1996, 4) notes that Charlie Parker 'typically projects three or four well-controlled voice-leading lines simultaneously' (see also 16-20).

[65] One of the technical challenges in mastering the saxophone is to navigate smoothly over the octave break without a perceptible change in sound quality.

[66] For example, in several passages of his album *First Meditations* (Impulse! As-9332, recorded 2 September 1965).

[67] Evan Parker is another saxophonist who has worked on this technique abundantly, supporting it with circular breathing, which allows him to create a hypnotic simultaneity of two or three clearly differentiated layers. In his case the alternation between voices can become so rapid and seamless as to produce the illusion that they overlap, as if several saxophones were performing together. Several recent Western classical music works propose polyphonic writing for unaccompanied woodwinds. Karlheinz Stockhausen's *In Freundschaft*, originally composed for solo clarinet, is constituted by 'three distinct registral layers' that generate a 'three-part voice structure'; the first of Giacinto Scelsi's *Tre Pezzi* 'contains two distinct voices' (liner notes for *Claude Delangle: The Solitary Saxophone*, BIS CD-640, recorded July 1993, p. 4).

[68] Among many possible examples, the second half of the Sarabande in the *Suite IV in E♭ major* is rich in polyphonic writing, offering a particularly clear bass line. Arguably, the cello, with its four strings, is in a better position than the saxophone to delineate two simultaneous voices.

VL Movement Four and Five, as we have seen, both generate multiple voices, but the polyphony results from the theoretical idea of inserting a passing three- or four-notes chord in between two other chords. What the improviser needs to control in priority is the theoretical idea (diminished 7^{th} or $\flat iii_{min}^{7}$), the application of which automatically creates a local complex of short voice-leading lines. By contrast, when he combines two voice-leading movements, Hawkins treats each independently: the contrapuntal intention comes first (admittedly this is an assumption, and Hawkins might have been thinking in a different manner presented in §4.8). As discussed at the beginning of this chapter, in mainstream jazz such an intention is contingent on a song's harmonic structure. VL Combination might require to adapt that chord progression to facilitate the deployment of two voice-leading threads at once. For such maneuvers, the improvised aspect of jazz is crucial: the performers are always free to change the materials they are working with. Jazz musicians often see possible harmonic routes that were not adopted by a song's composer, and sometimes their contribution becomes the reason for a song's enduring appeal. They can also apply such a strategy 'against' the chords being played by other musicians in the group, which might not be the ones needed to reach a certain result aimed at by the soloist.[69]

Hawkins's treatment of the A sections of 'Don't Blame Me' is a case in point. The application of VL Combination forming, thrice, the basis of Hawkins's improvisation in bars 1-5 of the A section (examples 4.4, 4.21 and 4.23) would have been impossible to apply, had he respected exactly either the chord changes in the published sheet music:[70]

|| F/A E♭/G | D/F♯ D^7 | $G^{ø7}$ C^7 | F^{add9} F^6 | $G^{ø7}$ C^7 |

or what the rhythm section plays, which is generally as follows:

|| F $A^{ø7}$ | D^7 | $Gmin^7$ C^7 | F | $Gmin^7$ C^7 |

[69] Examples 4.8 and 6.7, and some items in example 4.15, feature such clashes between Hawkins's and his accompanist's diverging harmonic routes. See also end of §7.3.
[70] Transposed to the key of F from the original C.

In order to implement VL Combination, Hawkins needed to slightly modify these progressions. He did so in three different ways: first, by re-introducing the descending first-inversion triads from the original published sheet music, not played by the band that accompanies him (bars 1-2); second, by turning the ii chords from $G^{ø7}$ to $Gmin^7$ (bars 3 and 5), as played by the band (perhaps upon Hawkins's request), in order to apply VL Movement Two; and third, in bar 4, by turning the F chord (I) into $Amin^7$ (iii) and by inserting a passing $A♭min^7$ (♭iii) before the next $Gmin^7$ (ii), in order to apply VL Movement Five:

|| F/A E♭/G | D/F♯ $D^{7♭9}$ | $Gmin^7$ $C^{7♭9}$ | $Amin^7$ $A♭min^7$ | $Gmin^7$ $C^{7♭9}$ |

As observed regarding example 4.15, Teddy Wilson does not always play the passing $A♭min^7$ necessary to Hawkins's project.[71] As is the case regarding the sheet music's several $G^{ø7}$ turned by his accompanists into $Gmin^7$ chords, it is probable that Hawkins agreed beforehand with Wilson that he would be using the passing $A♭min^7$. In bars 1-2, Hawkins's VL Combination would work also with what the band is playing (| F $A^{ø7}$ | D^7 |), but it is clear from looking at 2A1/1-2 (see example 4.23) that he is thinking three descending triads in first inversion, as found in the published sheet music.[72] Indeed, one wonders if he asked the rhythm section to play | F $A^{ø7}$ | D^7 | in order to reserve the A – G – F♯ descending line (the 3rds of each triad) for his own melodic use, avoiding it to be doubled in the bass, which would result in parallel octaves.[73] In light of these remarks, it appears that the materials played by the band fit Hawkins's intentions: where the band departs from what he plays (bars 1-2) it is in order to avoid the doubling of the saxophone's 'lower voice' by the bass, and elsewhere ($Gmin^7$ and passing $A♭min^7$) it matches the harmonic modifications that he needs for the implementation of VL Combination.

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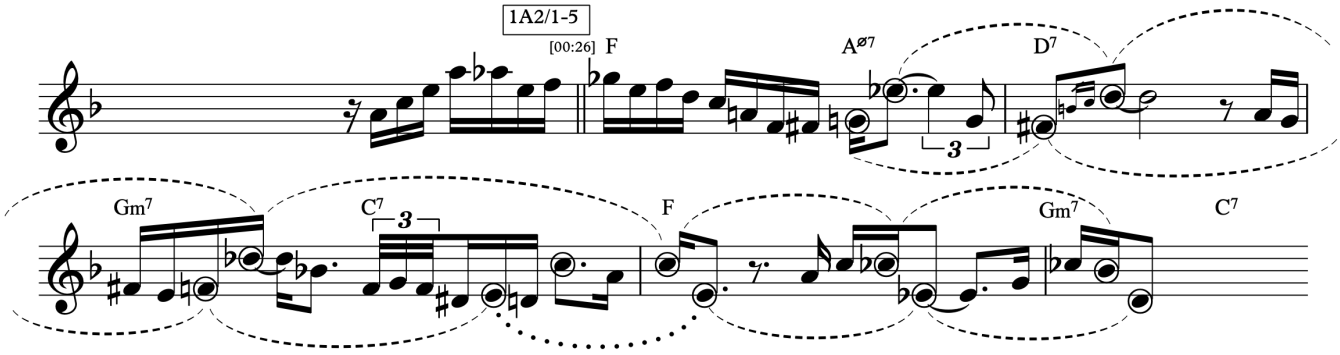
[71] The chord symbols in the complete transcription of 'Don't Blame Me' in Appendix IV indicate when $A♭min^7$ is played by Wilson.

[72] Hawkins's three phrase segments in 2A1/1-2 outline exactly the three first-inversion chords that he re-introduces from the published sheet music (see example 4.27). He elaborates the triads with a lower chromatic neighbour pick-up to their 3rd, a leap up to an accented 9th, followed by a passing chromatic note resolving to the root of each chord (the rhythmic aspects of this passage are commented under example 3.12).

[73] See my comments about 'How Deep Is the Ocean' at the end of §5.3.

By way of Cyclical Development,[74] Hawkins implements VL Combination in 1A2/1-5, 2A1/1-5, and 2A3/1-5, each time with a similar but varied plan. We can already observe, in the first instance at 1A2/1-5 (example 4.21), the general principles which Hawkins fully realises in his second chorus.[75]

EXAMPLE 4.21: VL Combination in 'Don't Blame Me' 1A2/1-5 [00:26].



In bars 1-3, Hawkins combines VL Movement One (alternation of 3rds and 7ths) in the lower voice with VL Movement Two (♭9 – root of VI^7 and ♭9 – root of V^7) in the upper voice. VL Movement One and Two are cogent choices to put VL Combination into action, because together they form melodic sixths, which sound well when moving in parallel motion. Viewed melodically or thematically, rather than from a voice-leading (contrapuntal) perspective, these melodic sixths could be considered one of two main motives of Hawkins's improvisation on 'Don't Blame Me', the other consisting on variations on the original melody (see §5.5). As we have seen in §4.1, VL Movement One ends its course at $\hat{7}$ (the leading tone), and VL Movement Two ends at $\hat{5}$. This stage is reached in both voices in bar 4, at which point Hawkins switches to VL Movement Five (insertion of the chromatic passing chord between iii and ii), in order to prolong his chromatic descents into Gmin^7 in bar 5, to $\hat{6}$ (D) in the lower voice and to $\hat{4}$ (B♭) in the upper one.

In this first 'attempt', Hawkins moves the D that resounds on D^7 (1A2/2/2-3) down to D♭ already on Gmin^7 in 1A2/3/1-2, and then shifts this D♭ down to C on C^7 in 1A2/3/3-4.

[74] See examples 3.18 and 3.19, 4.2 and 4.3, 4.15, 4.18 to 4.20, and 4.23, 7.3 and 7.4, and §7.4.
[75] The third application of VL Combination at 2A3/1-5 is treated in example 4.4.

The lower voice meanwhile follows in coordination: F♯ – F – E, keeping all intervals as minor sixths. Since Hawkins has reached the E – C sixth over C^7 already in 1A2/3/3-4, he repeats it over the F in 1A2/4/1 (this suspension is indicated in example 4.21 with a dotted slur below the staff, and again in example 4.22). Not that it sounds contrived or static, but as we shall see, Hawkins finds a more elegant answer to the harmonic puzzle posed by Jimmy McHugh's song when he returns for the out chorus at 2A2/1-5.

It should be reminded that we are analysing the second take of 'Don't Blame Me', out of two takes recorded by Hawkins and his men during the Keynote session of 29 May 1944. The first take, if listened unawares of the existence of the second one, can be considered a masterwork of its own, and indeed it was selected by Sonny Rollins for the compilation *The Ultimate Coleman Hawkins.*[76] Hawkins can be heard grappling with much of the same ideas, so that when he comes to the second take he has already worked on them in six A sections (three per chorus of the first take).[77] Thus, it could be said that Hawkins applies Cyclical Development in each A sections of 'Don't Blame Me' *and across takes*, and that these varied instances of VL Combination climax in the second take, at 2A1/1-8.

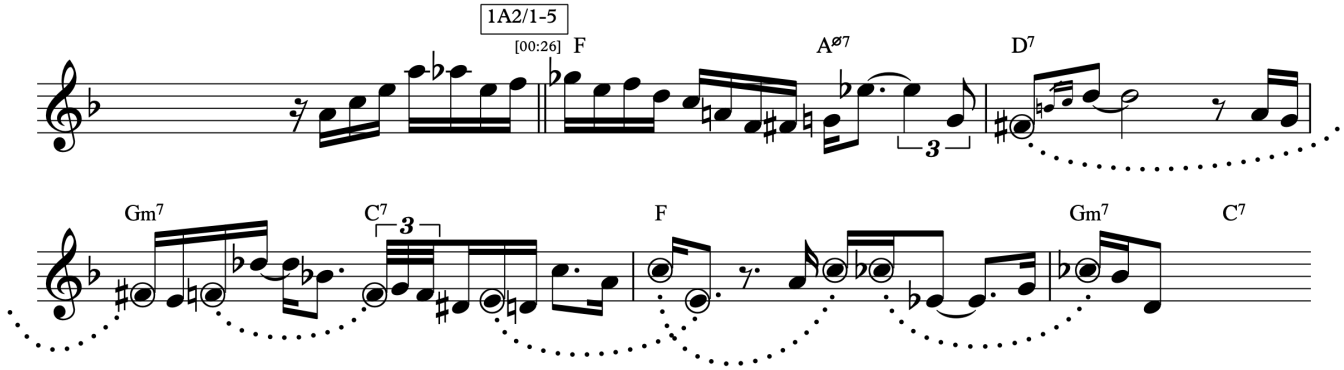
This passage, analysed in examples 4.23 to 4.25, begins with Hawkins's treatment of the first inversion triads found in the song's sheet music. In the first take, at the same juncture (2A1/1-3, [03:13]), Hawkins had already attempted to outline these three consecutive first-inversion triads, but with less success than in the second take: their rhythmic placement is less assured and, as a result, when Hawkins moves the phrase around rhythmically the third time (on D^7), the contrast is less efficient (see comment about example 3.12). Furthermore, he had not yet devised a way of integrating these inverted triads into the broader perspective of a coherent combination of voice-leading movements. In the last A of each take (2A3), Hawkins similarly starts with the same melodic and rhythmic idea (see examples 3.13 and 4.4). Once again, the first take (at [04:20]) is less precise: but these are complex musical ideas to be integrated in an improvisation, and it sometimes necessitates a few attempts before arriving at a satisfying

[76] Verve/PolyGram 314 557 538-2, released 1998. It is surprising, however, that Rollins would chose the first take over the second one. Perhaps that at the time of selecting he did not have access to the second take, or else he wanted the second take and a mix-up occurred when the CD was produced.
[77] See footnote 19 in this chapter and footnotes 60 and 63 in Chapter 3.

realization. Thus, as already suggested, Cyclical Development can take place not only within a single performance, but over several takes made during the same session.[78] In the case of 'Don't Blame Me', it is fascinating to see that Hawkins keeps certain ideas for the same point in the form, in both takes: the first inversion triads for the first A of the out chorus (2A1/1-3), the energising upward scalar segment ending near the end of the beat for the very last A (2A3/1-2). As Hawkins put it himself: 'memory and method'.[79]

Returning to our present concern. The first VL Combination, in the second take of 'Don't Blame Me' at 1A2/1-5, is characterised by the repeated use of accented dissonances, absent from the second one. Hawkins starts with the lower voice: at 1A2/3/1 ($Gmin^7$) he suspends F♯ from the previous bar to surround the consonant F natural that only comes in the second half of the beat. The F natural is in turn suspended into 1A2/3/3 (C^7) in order to surround the consonant E that, again, comes only in the second half of the beat; then, this E is suspended into 1A2/4/1 (F). Here, Hawkins switches the dissonances to the upper voice: C is suspended into the first sixteenth of 1A2/4/3; then it moves down to C♭, consonant with the chromatic passing $A♭min^7$; C♭ is in turn suspended into the first sixteenth of 1A2/5/1, before it moves down to B♭, consonant with $Gmin^7$ (example 4.22, suspensions indicated by dotted slurs; for voice leading look at example 4.21).

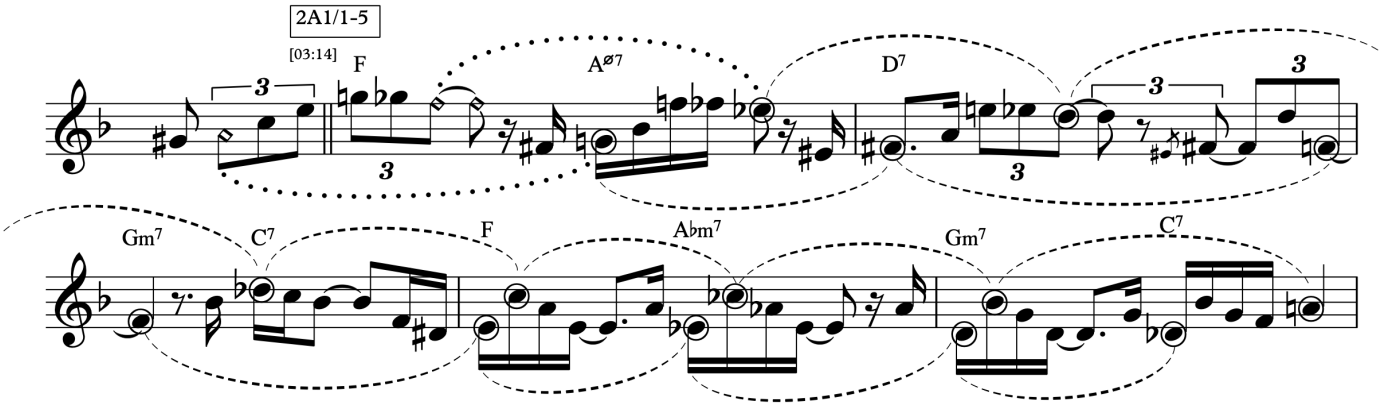
EXAMPLE 4.22: Suspensions in 'Don't Blame Me' 1A2/1-5 [00:26].



[78] Perhaps the most impressive example of this process comes from the four (!) takes of 'Father Co-Operates' (Keynote HLK 18, recorded 22 February 1944). See DeVeaux 1997, 326-327. See also discussion of Hawkins's 'method' in §1.6, especially footnote 102.
[79] See full quote in §1.6.

In the fully developed reiteration of VL Combination in the out chorus at 2A1/1-3, Hawkins pushes the double voicing leading thread further down by resolving $\hat{4}$ to $\hat{3}$ in the upper voice (2A1/5) and by continuing the descent of the lower voice, after $\hat{6}$ (D), already reached in 1A2/5, to $\flat\hat{6}$ (example 4.23).[80] It would be possible to start both voices with the first phrase segment: A in the lower voice (pick-up into 2A1) and F in the upper voice (2A1/1/1), both indicated with diamond noteheads and dotted slurs in example 4.23. But in doing so, both descents would begin with a diatonic step and continue chromatically afterwards. It seems more convincing to keep them consistently chromatic, and to consider that they begin with G and E♭ in 2A1/1/3 and 4. The initial A and F could then be regarded as an introductory gesture, not properly part of the two voice-leading descents, which does not prevent the phrase segment they belong to from being the main idea of the passage (the first inversion triads taken from the song's sheet music), thoroughly developed by Hawkins and generating what follows.

EXAMPLE 4.23: VL Combination in 'Don't Blame Me' 2A1/1-5 [03:14].



In 1A2/1-3, Hawkins kept his melodic sixth parallel and minor. A distinguishing aspect of his variation of VL Combination in 2A1/1-3 is that he uses the contrapuntal possibility of moving his two voices at different speeds, allowing for the alternation of major and minor sixths. This he can achieve because VL Movement Two enjoys a flexibility that allows it to be placed variously within the iii^{ø7} – VI^{7} – ii^{ø7} – V^{7}

[80] And eventually to $\hat{5}$, as we shall see in example 4.24.

progression upon which it is predicated. The generated line ♭$\hat{7}$ – $\hat{6}$ – ♭$\hat{6}$ – $\hat{5}$ can be supported directly by VI^7 (♭$\hat{7}$ – $\hat{6}$) and V^7 (♭$\hat{6}$ – $\hat{5}$) as in examples 4.5 and 4.6; or by $iii^{ø7}$ (♭$\hat{7}$), VI^7 ($\hat{6}$), $ii^{ø7}$ (♭$\hat{6}$), V^7 ($\hat{5}$) as in bars 1-2 of example 4.23, where ♭$\hat{7}$ (E♭) appears on $A^{ø7}$(iii) and $\hat{6}$ (D) on D^7 (VI^7). If, as is the case with the chords played by the band to accompany Hawkins in 'Don't Blame Me', the several $ii^{ø7}$ are turned into ii_{min}^7, the root of VI^7 ($\hat{6}$ or D) can remain and become the 5th of ii_{min}^7,[81] before moving down to become the ♭9th of V^7 (D♭ or ♭$\hat{6}$), then down again into the 5th of I (C or $\hat{5}$).[82] VL Movement One can be moved around as well, but with less flexibility: the 7th of ii ($\hat{1}$) can stay in place and become the suspended 4th of V, and move down to the leading tone ($\hat{7}$) only as the 7th of the I chord, as Hawkins does in 2A1/3-1 (example 4.23).

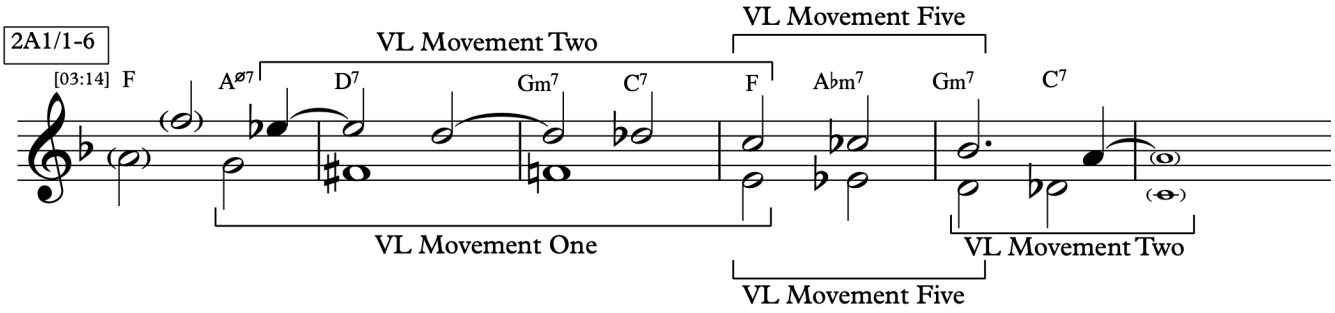
Applying these various possibilities to his two voices, in 2A1/1-5 Hawkins achieves a splendid variation of 1A2/1-5, so that a comparison of examples 4.21 and 4.23 serves to illustrate a particularly complex application of Cyclical Development. D♭, which in example 4.21 appeared already at 1A2/3/1-2, now comes only in the second half of 2A1/3, and resolves gracefully in the next bar to the tonic harmony, transformed into a vi chord (A_{min}^7) by the associated delay of the leading tone E, which should have appeared under C^7 in 2A1/3/3-4. From the vertical minor sixth E – C at 2A1/4, having reached the logical conclusion of both VL Movement One and Two, Hawkins switches to VL Movement Five (as he does in the same point in example 4.21), moving down both voices simultaneously, using the passing $A♭_{min}^7$, to G_{min}^7 in 2A1/5. At this point, the lower voice switches once again, this time to VL Movement Two, permitting the 5th of ii, D ($\hat{6}$), to move down to the ♭9 of V, D♭ (♭$\hat{6}$).[83] Meanwhile the logical momentum of the voice leading of the upper part now allows it to continue beyond $\hat{4}$ (B♭) to $\hat{3}$ (A), creating in conjunction with the lower voice the vertical minor sixth D♭ – A,[84] which rings on the supporting C^7 harmony, forming that distinctive sound in jazz: the dominant 7th with a ♭9th and a 13th.[85] The intelligence of the design sustaining this passage lends it a kind of

[81] It could even stay longer and become the 9th of V^7 before 'getting flattened'.
[82] Or move to $\hat{5}$ while still on V, as its root.
[83] As we shall discuss shortly, this movement later continues further down to C, still based on VL Movement Two.
[84] Spelled this way, this is technically an augmented fifth.
[85] Or as Jimmy Dorsey prefers to call it, 'Thirteenth Chord with Lowered Ninth'. See Dorsey 1940, 79. The distinctive sound of this chord is of a slightly polytonal nature. It comes from the formation, by the

teleological ineluctability that is alleviated by the graceful placement of its concluding note A on the fourth beat of 2A1/5.[86]

The combinations of VL Movement One, Two and Five, put into action by Hawkins in order to generate VL Combination and extend it over the stretch of five bars, are summed up visually in the following reduction, which also illustrates the minor and major sixths formed vertically in the process (example 4.24):

EXAMPLE 4.24: VL Combination in 'Don't Blame Me' 2A1/1-6 [03:14], reduction.



Perhaps the most remarkable feature of this passage, from a structural perspective, is the interval formed horizontally by the lower voice from start to finish: a descending fifth ($\hat{2}$-$\hat{5}$). The C necessary to complete this descending fifth in the lower voice is not played by Hawkins at 2A1/6, although he could easily have done so by continuing to apply VL Movement Two. The reason for this (as already observed under example 4.4) is that at 2A1/6 the song's harmony is not resolving to I, but instead goes to iii^{ø7} – VI^7, then to II^7 – V^7 in 2A1/7, and to I only in the eighth bar: the resolution of the C^7 chord in 2A1/5 is thus delayed by the song itself until 2A1/8.

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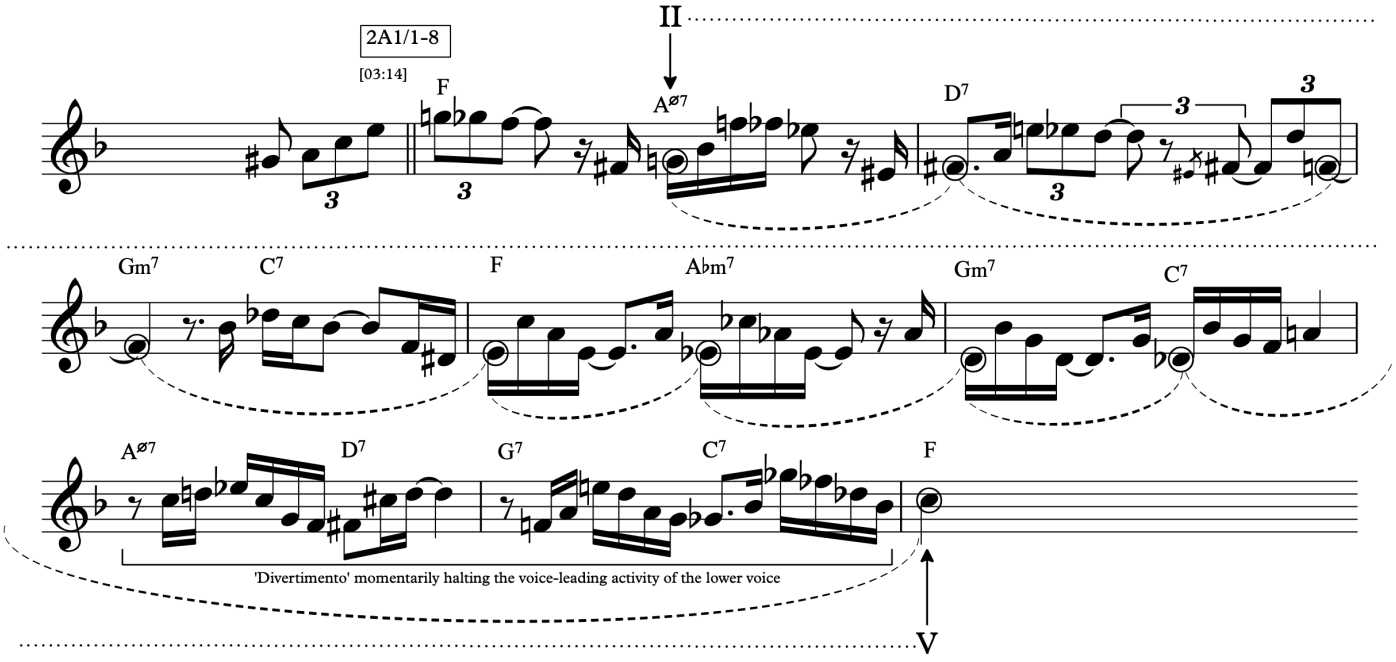
combination of the 3rd, the 6th, and the ♭9th, of a major triad a minor third down from the chord's root (in this case A), which is heard simultaneously with the major triad built on the chord's root (in this case C). Contrapuntally speaking this chord can arise from the $\hat{4}$ – $\hat{3}$ resolution, which usually takes place going from V to I, when it is placed instead going from ii to V, as is the case here.

[86] On a medium tempo it comes naturally to many jazz improvisers to end some phrases on the fourth beat, in synchronicity with the drummer's high-hat. But Hawkins frequently ends his phrases on the fourth beat (or just before or after it) even on ballads, as can be observed in the three recordings surveyed in Chapters 3 to 5. In 'Just One More Chance' Hawkins ends phrases on 4 in 2A3/1 and 2B/2, and just before or after 4 in 2A3/4 and 2B/5. In 'Don't Blame Me' he ends phrases on 4 in 1B/2 and 2A1/5, and just before or after 4 in 1A3/5, 2A1/6, 2A2/5, 2A2/7, pick-up to 2A3, 2A3/1, and 2A3/5. In 'I Can't Get Started' he ends phrases on 4 in 1A3/1, and just before 4 in 1B/7, 1B/8, and 1A3/5. See complete transcriptions in Appendix IV.

Making the most out of this situation, Hawkins improvises a short 'divertimento', a bridging passage that momentarily halts the voice-leading activity of the lower voice before resolving it,[87] in accordance with its preparation, to $\hat{5}$ in 2A1/8, hereby satisfying the strong expectation for V that Hawkins had installed in the listener's ear by the voice-leading events in 2A1/1-5 (example 4.25).[88] That this concluding $\hat{5}$ does not appear in the same register as the one in which the lower voice had been interrupted two bars earlier, but an octave higher (as the tenor saxophone's middle C), has no impact on its function in the contrapuntal activity: changes of octave, as discussed regarding example 4.8, are not structurally significant in tonal music.

EXAMPLE 4.25: Structural implications of the lower voice of VL Combination in 'Don't Blame Me' 2A1/1-8 [03:14].



As in 'I Can't Get Started' 1B/5-8 (example 4.9), the lower voice goes from the root of the supertonic to the root of the dominant, spelling out in outstretched melodic form II and V, the two fundamental positions that lead to I, and providing the passage with great

[87] The upper voice, as we have seen, has reached its resolution on $\hat{3}$ in 2A1/5. During the 'divertimento', the upper voice follows a diatonic ascent from C to G♭ which is derived from the melody (see example 5.7).
[88] See example 4.18 for a similar prolongation of one of the steps in a voice-leading descent.

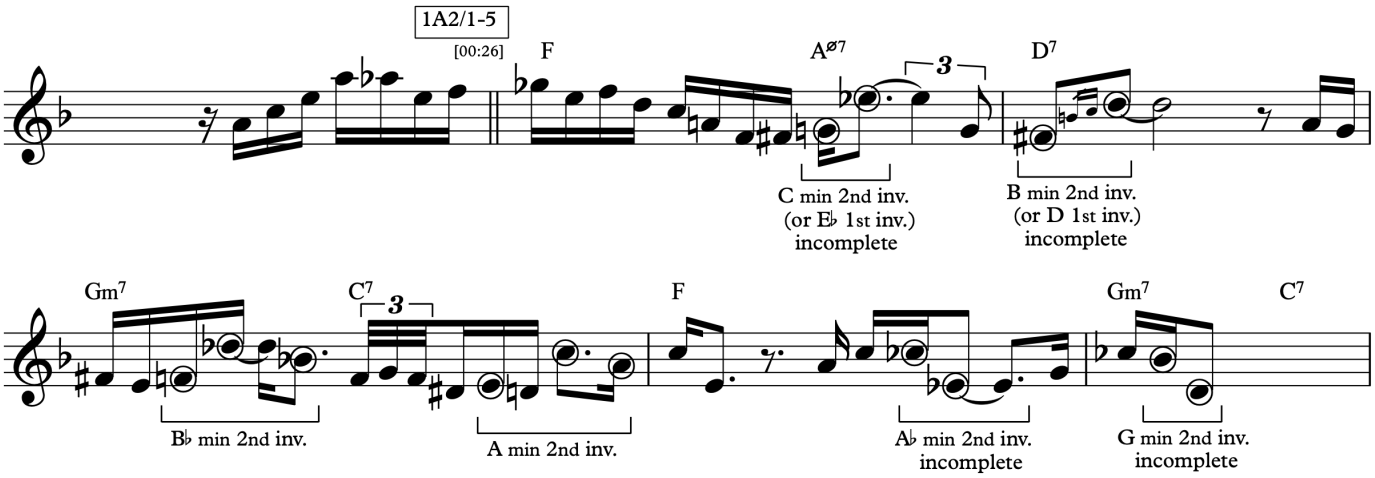
structural solidity and tonal momentum. In 'I Can't Get Started' the II – V trajectory outlined melodically by Hawkins's voice-leading corresponds exactly to the song's harmonic sequence (ii_{min}^{7} and V^{7}), whereas in 'Don't Blame Me' it stands in contrast to the song's harmonic sequence ($iii^{ø7}$ in 2A1/1 and I in 2A1/8).

§4.8 A Simpler Scheme?

Some of the principles surveyed in this chapter may seem unrealistic from the perspective of the performing musician, and, as I have noted, Hawkins was not necessarily aware of all the details contained in his improvisations. Did he actually think along the lines suggested by the analysis of his phrases, or was there perhaps a simpler idea or device at work, which only secondarily caused more complex events to take place?

'Don't Blame Me' 1A2/1-5 provides an opportunity to treat this question. As shown in example 4.21, Hawkins implements VL Combination, including VL Movement One, Two, and Five. Was he really thinking of these various voice-leading possibilities as he improvised? When looking at the music on paper, it may seem so. But, if I listen to the recording and play it back on the saxophone, these concerns seem remote. What strikes me, instead, as a more practical structural device for this passage, is that Hawkins's phrases follow a series of chromatically descending minor triads in second inversion, superimposed onto the chord sequence: C minor, B minor, B♭ minor, A minor, A♭ minor, and G minor (example 4.26).

EXAMPLE 4.26: Series of second-inversion minor triads in 'Don't Blame Me' 1A2/1-5 [00:26].



By conceiving phrases based on the ornamentation of this series of chromatically descending minor triads, Hawkins avoids the formation of parallel fifths, moves chromatically downwards, and generates a double voice-leading movement between the 5th and ♭3rd of each triad, a minor sixth apart. In other words, with this simple scheme, easy for an improviser to follow, Hawkins 'automatically' generates the combination of VL Movement One, Two, and Five described in §4.7.

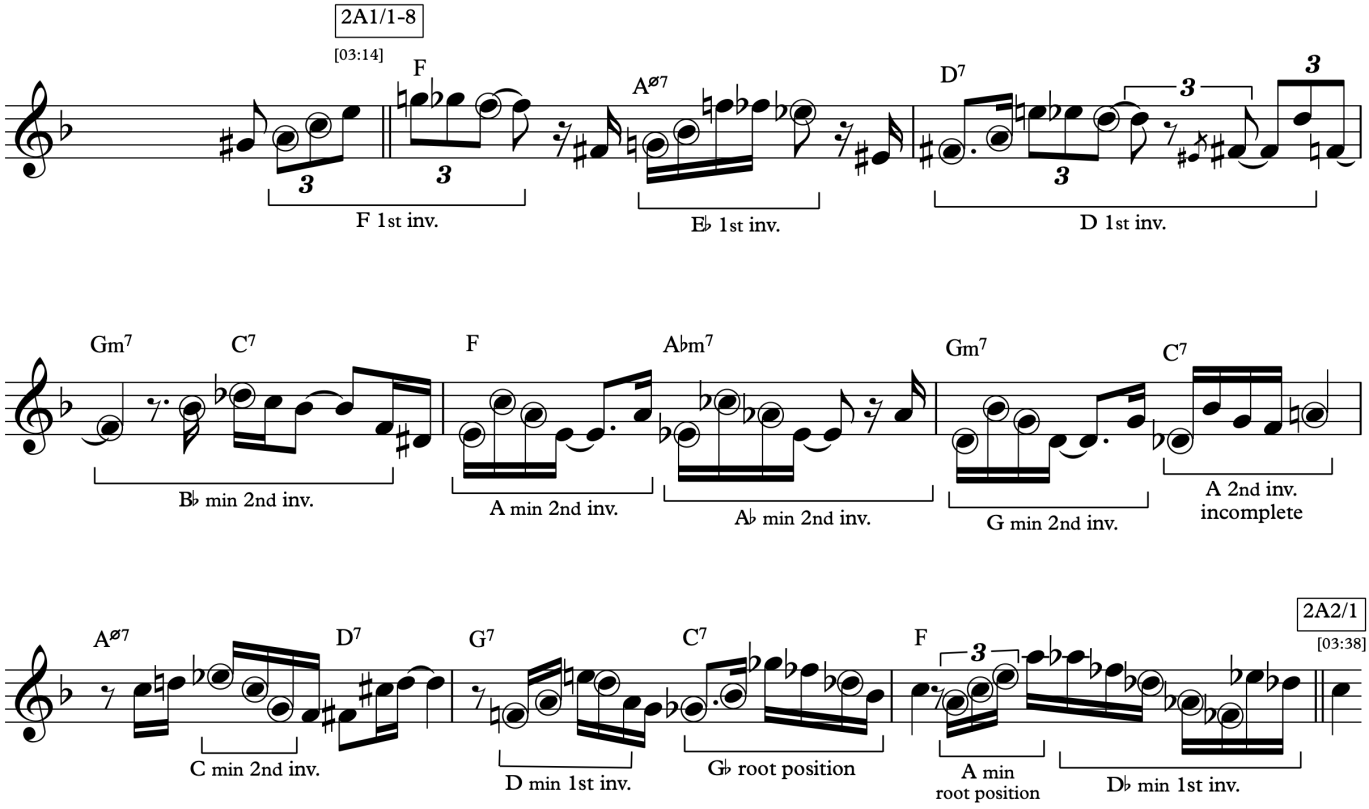
In Hawkins's varied treatment of the scheme, B♭ minor and A minor are complete triads, while C minor, B minor, A♭ minor and G minor are incomplete, lacking their root. Being incomplete, C minor and B minor can be seen as E♭ and D triads in first inversion, reinserted by Hawkins from the sheet music (see beginning of §4.7). At 1A2/4/1, Hawkins repeats the A minor triad he played in the previous two beats, now omitting the root. Up to this point, each minor triad, complete or not, started with an ascending minor sixth, from its 5th to its minor 3rd. Hawkins repeats the A minor triad in mirrored form, from its minor 3rd to its 5th, and applies the same template to the A♭ minor and G minor triads in 1A2/4-5.

It is likewise possible to discern a series of descending triads as the scheme governing Hawkins's phrases in 2A1/1-8 (example 4.27).[89] The three first ones are F, E♭, and D, in

[89] As discussed above regarding 1A2/1-5, when playing 2A1/1-5 on the saxophone it seems realistic to consider that this is the scheme applied consciously by Hawkins, and that the VL Combination analysed in examples 4.23 and 4.24 comes as a consequence.

first inversion and complete (again reinserted from the sheet music, and with an appoggiatura of the 9th).[90] The next triads in the series are the same as in 1A2/1-5 (example 4.26), also in second inversion, but each one is now complete: B♭ minor, A minor, A♭ minor, and G minor. In 1A2, Hawkins applies the scheme for five bars, but in 2A1 he extends it to cover eight bars, adding several triads (which are not anymore selected to delineate a descending motion): an incomplete A in first inversion,[91] C minor in second inversion, D minor in first inversion, G♭ in root position, A minor in root position, and finally D♭ minor in first inversion. This last triad stands out as the only one to be arpeggiated beyond the span of an octave. The A minor triad in 2A1/8, spelled without extraneous notes, echoes 1A1/8 and is used again in 2A2/4.

EXAMPLE 4.27: Root-position and inverted triads in 'Don't Blame Me' 2A1/1-8 [03:14].



[90] See footnote 72.
[91] See footnote 85.

Examples 4.23 and 4.24 show that 2A1/1-5 can be analysed as an application of VL Combination, outlining two superimposed descending voice-leading threads; example 4.25 shows that the lower voice, after having been halted for two bars which I have designated as 'divertimento', resolves to C in 2A1/8; and example 5.7 proposes that in that divertimento (2A1/5-7), while the lower voice is halted, the upper voice starts a new voice-leading thread, this time an ascending one, based on the melody. These voice-leading movements each occupy a portion of 2A1. By contrast, the application of root-position and inverted triads shown in example 4.27 encompasses the entire passage (2A1/1-8), including two triads in 2A1/8 which do not contribute to the voice-leading activity. This seems to confirm that the application of triads is indeed the organising principle willed by Hawkins, and that the various voice-leading phenomena just summarised are caused by it, rather than being a conscious aim in themselves.

§4.9 Conclusion

Many examples in this chapter reveal Hawkins's aptitude for large-scale musical management. To suggest that this aptitude exists and plays a role in jazz improvisation is considered problematic by some scholars, who view it as an imposition of Western values and principles.[92] It also raises the question, much debated amongst Schenkerian analysts, of the extent to which such large-scale phenomena can be conscious, or rather if they should be considered the result of the workings of the tonal system.[93] Ingrid Monson has suggested that musicians themselves tend not to consider large-scale events of a harmonic-contrapuntal nature as part of the process of jazz improvisation:

> Musicians' discussions of the higher levels of improvisational achievement frequently emphasize time and ensemble responsiveness as the relevant framework rather than, for example, large-scale tonal organization.[94]

[92] See §2.2.
[93] See §2.5.
[94] Monson 1996, 29, quoted in Michaelsen 2019.

Large-scale tonal organisation, unlike interplay, swing, or a good bass-drums hookup, needs musical examples to be discussed – it needs to move from an oral consideration of the process (such as the interviews of performers on which Monson's statement rests) to a 'text' established on the basis of the product of this process, for example a transcription of the recorded performance. It could be argued that the processes identified by Monson ('time and ensemble responsiveness'), which are perceptible when examined from a processual perspective (i.e. at the time of performance), automatically appear to be the 'relevant framework' to some musicians, while other forms of process, which need product and analysis to become perceptible, remain largely hidden at the moment of playing and therefore seem to be less 'relevant' to them. A point could also be made that in forms of jazz that favour surface interplay (as those practised by most interviewees in Monson 1996), the omnipresence of motivic interaction is bound to disrupt the continuity of the discourse of the melodic soloist, who will then be incapacitated in his or her attempt to establish a long-term tonal structure. But if the soloist in question is there not by chance (say in a jam session setting) but by choice (as a band member), she or he is likely to function anyway in an interactive manner that precludes large-scale tonal concerns in favour of immediate motivic concerns.

Conscious or unconscious, willed or accidental, relevant or irrelevant, many of the examples in this thesis show that large-scale tonal organisation is pervasive in Coleman Hawkins's improvisations. Ignoring these particularly fine features would considerably diminish our appreciation of his improvisational methods, for, as Chris Stover has argued: 'Ultimately, to fail to acknowledge the serious, thoughtful, developmental aspects of jazz improvisation is to fail entirely to understand how jazz musicians think'.[95]

Close scrutiny of Hawkins's music sheds light on another question about harmony debated in jazz scholarship. A frequent proposition regarding the formation of jazz is that its rhythm came from Africa and its harmony from Europe.[96] Gerhard Kubik posited instead that even its harmony is of African origin:

[95] Stover 2012.

[96] This view is held, for example, by Thomas Owens (1974, Vol. 1, 2): 'Jazz is largely a blend of musical elements of two traditions. Its metronomic sense and rhythmic precision, some of its rhythmic patterns, and its sense of spontaneity produced by improvisation come from Africa; its harmonic vocabulary, most of its melodic vocabulary, its instruments, and its form come from Europe. In addition, jazz contains some

> […] jazz harmony at its structural and aesthetic level is based predominantly on African matrices, although it must be added that individual jazz performers, ensembles, and composers vary in the degree to which their harmonic practices and understandings are more African- or more European-derived.[97]

If Kubik's proposition is correct, then Hawkins is undoubtedly one such 'individual jazz performer' who is 'more European-derived'. But is Hawkins only an 'individual jazz performer' or is he rather representative of a certain approach to jazz in general?[98] How one replies to this question, it seems to me, will affect one's acceptation or rejection of Kubik's proposition. For if Hawkins, who is so deeply rooted in European harmonic principles, is indeed representative of jazz, then the matrice of jazz harmony cannot be considered to be 'predominantly' African.[99]

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indigenous Afro-American techniques of tone production and pitch inflection'. See discussion of this 'fusion theory' in Brothers 1994. See also Gushee 1994.

[97] Kubik 2005, 168.

[98] See §1.1, footnote 3: Hawkins is widely considered to be one of the most influential jazz musicians on any instrument. As saxophonist Milt Yaner put it, 'Hawkins is up in the same class as Louis' (*Down Beat*, 20 October 1950).

[99] One way to solve this riddle is to de-emphasise the significance of both continents, as done by Wynton Marsalis (1986/1990, 161; quoted partially in Porter 2002, 309): '[Charlie Parker's] work was pure and totally informed by Negroid standards of expression. There is nothing European – or even African – in Charlie Parker's music in the sense that it can be reduced by comparison to an external source. I say that because the term Black American means a synthesis and a fresh expression of all elements anyway'. Similarly, Owens notes (1974, Vol. 1, 2-3): 'Differing radically in many respects from both African and European traditions, [jazz] is the most distinctively American contribution to the high-art musics of the world'.

CHAPTER 5: MELODY

> John Coltrane used to come and listen to [Hawkins] wherever he went, and one night Coltrane came in the Metropole with Eric Dolphy. Bean stopped to talk to Coltrane when he came off that long bandstand. They were talking about music when Eric interrupted him. 'I don't have to worry about *you*', Coleman said, 'because I can out-melody you!'. It was true, of course, because Bean was *the* Melody Man.[1]

At the beginning of Chapter 4, I briefly discussed one of the most enduring misconceptions about Coleman Hawkins: that he was a 'vertical' improviser. The assumption is that his approach to harmony was chordal rather than contrapuntal. But when asked by Barry Harris to describe his harmonic approach, he answered: 'I don't play chords, I play movements'.[2] This statement is confirmed by a careful investigation of his improvisations on ballads, which clearly prioritise voice-leading movements. The epithet 'vertical', taken broadly, also implies that Hawkins was more versed in harmonic than in melodic matters.[3] Again, his own words disprove such a view:

> If [young musicians] think they are doing something new they ought to do what I do every day. I spend at least two hours every day listening to Johann Sebastian Bach, and man, it's all there. If they want to learn *how to improvise around a theme*, which is the essence of jazz (adding blue notes), they should learn from the master. He never wastes a note,

[1] Eddie Locke to Stanley Dance (1974/1979, 157).
[2] See §1.1 and beginning of Chapter 4.
[3] See Collier 1978, 224, quoted in Henderson 1981, 36. This view is used by Whitney Balliett (1996, 114) to reinforce the dialectic opposing Hawkins and Lester Young: 'Hawkins was a vertical improviser, who ran the chord changes and kept the melody in the rearview mirror. Young was a horizontal improviser, who kept the melody beside him and cooled the chord changes'. See also Berendt 2009, 103 and Gerber 2000, 127 ff. Regarding the Hawkins-Young dialectic, see Heckman 1963, Jones 1963b, and Fodor 1991.

> and he knows where every note is going and when to bring it back. Some of these cats go way out and forget where they began or what they started to do. Bach will clear it up for them.[4]

In this chapter, I examine how Hawkins 'improvised around the theme' on 'Don't Blame Me', 'Just One More Chance', and 'I Can't Get Started'. This technique is commonly designated as 'theme and variations'. Hawkins's view that it is fundamental to jazz improvisation reaches back to the early days of New Orleans:

> When Bunk Johnson recreated [Buddy] Bolden's style, he probably did it in something of his own way rhythmically, but he showed Bolden taking a very logical and orderly approach to theme and variations. He gave an opening statement followed by a chorus with one or two basic variational ideas (say a pick-up note or an added doublet or triplet here and there), then another chorus which used and followed through on another idea for variation (say a rhythmic displacement or an added syncopation), then another using several triplets, then another with more pronounced heavy accents, etc.[5]

Henry Martin (1996, 34), drawing from André Hodeir (1956, 144) and Barry Kernfeld (1983, 12), lists four types of improvisation: 'paraphrase' (embellishment of the song's melody), 'chorus-phrase' (based on the song's chord sequence), 'motivic' (based on motives present in the song's melody), and 'formulaic' (based on the improviser's own materials). On the basis of his analyses of Charlie Parker solos, Martin (38) proposes that a formulaic approach can be motivic as well. It follows that it is more useful to think of only three types of improvisation: 'paraphrase' (as above), 'thematic' (relating more-or-less clearly to the melody), and 'harmonic' (unaffected by the song's melody). Hawkins's 'how to improvise around a theme', or 'theme and variations',

[4] *New York Daily News,* 25 March 1965 (quoted in Chilton 1990, 366). Italics are mine. Chilton comments: 'Again and again throughout the years, Hawk referred to Bach's greatness […] Hawkins was never a slavish copier of anyone's work, but it is fascinating to compare his method of thematic development and the form of Bach's writings for unaccompanied violin'.
[5] Williams 1967/1979, 14-15.

corresponds to Martin's 'thematic improvisation', but it can be construed broadly as encompassing 'paraphrase' as well.[6] Indeed, the distinction between paraphrase and thematic improvisation, both based on the song's melody, is one of intensity rather than type. Therefore, I prefer to think of 'paraphrase' and of 'theme and variations' as sub-categories of 'thematic improvisation'. I refer to these two techniques as Paraphrase and Theme Variation.[7]

As just remarked, Paraphrase is itself a form of variation on the theme, but one in which the stress is on the theme rather than on the variation. The aim of Paraphrase remains to project the melody in a perceptible manner. In Theme Variation, by contrast, the stress is on the variation. Theme Variation uses the melody as material to generate new phrases, whose connection with their source is difficult to identify by ear. Although there is no firm line dividing the two techniques, we might say that in Paraphrase, improvisation acts upon melody to vary it, whereas in Theme Variation, melody acts upon improvisation to guide it. In both techniques, improvisation is the variegating principle, while melody is the structuring principle.[8] Paraphrase consists in instrumental and expressive embellishments of the melody; most melody notes are present, and added notes are few. Theme Variation creates, on the basis of the song's melody, what can be regarded as new musical materials with rhythmic, melodic and harmonic features of their own; some melody notes might be omitted, and added notes tend to be more numerous than melody notes.

[6] Martin's understanding of 'thematic improvisation' is different from that of Gunther Schuller. See beginning of Chapter 6.

[7] In European classical music, 'theme and variations' does not only refer to a technique but also to a form, in which the theme is stated, and followed by a number of variations, each a miniature more-or-less distinct from the others. In Hawkins's music, often the 'theme' (the song's melody) is not stated, and the variations are not a set of separate sections each approaching the theme from a different angle; rather, it is a technique that Hawkins may use or not, at any point in his improvisation, on a theme that might or might not have been stated.

[8] In Nietzschean terms, improvisation could be construed as the fiery Dionysian element, needing the melody to exercise its ordering Apollonian forces in order for it not to sink into chaos.

§5.1 Parallels with Baroque Music

A distinction of this kind had already been established by flutist and composer Johann Joachim Quantz. In *Versuch einer Anweisung die Flötetraversiere zu Spielen*, printed in 1752,[9] he describes two manners of notating and performing a melody:[10]

> Pieces in the French style are for the most part *pièces caractérisées*, and are composed with appoggiaturas and shakes in such a fashion that almost nothing may be added to what the composer has already written. In music after the Italian style, however, much is left to the caprice, and to the ability, of the performer.[11]

Hawkins is most thoroughly involved in thematic variations when improvising on a ballad, at slow tempo. Similarly, according to Quantz, the distinction between the French and Italian manners is especially relevant when performing an Adagio:

> The Adagio may be viewed in two ways with respect to the manner in which it should be played and embellished; that is, it may be viewed in accordance with the French or Italian style. The first requires a clean and sustained execution of the air, and embellishment with the essential graces, such as appoggiaturas, whole and half-shakes, mordents, turns, *battemens*, *flattemens*, &c., but no extensive passage-work or significant addition of extempore embellishment […] In the second manner, that is, the Italian, extensive artificial graces that accord with the harmony are introduced in the Adagio in addition to the little French embellishments.[12]

[9] I have used the translation by Edward R. Reilly (Quantz 1752/2001). I indicate the chapter and paragraph for each quote, in case the reader prefers to refer to the original German edition, or to the first translation in French, also dating from 1752.
[10] My thanks to Laurence Dreyfus for this connection. Dreyfus (2007, 258-259) discusses how, in Quantz's treatise, musicians are seen as 'executants of music' rather than 'interpreters of texts'.
[11] Quantz 1752/2001, 113 (Chapter X, §13). The French and the Italian manners correspond, though not exactly, to *elaboratio* (ornamentation) and *inventio* (free variation). See Schuller 1958, 240.
[12] Quantz 1752/2001, 162 (Chapter XIV, §2).

In the French manner, the melody is adorned with 'essential graces' or 'small fixed graces', and usually these are directly incorporated by the composer: they are fixed rather than improvised. In the Italian manner, the melody is the basis for 'extensive artificial graces' or 'free variations', to be improvised extempore by the performer. Although it is stylistically different from 18th-century classical music, in tonal jazz the same basic variational principles apply: 'small fixed graces' in Paraphrase, 'free variations' in Theme Variation.[13] Another parallel is the difference in skill, knowledge, and training necessary to each technique:

> Although neither the science of thorough-bass nor an insight into composition is required for the performance of French pieces, they are, on the contrary, most necessary for Italian works, particularly for certain passages that are intentionally set very plainly and dryly to give the performer the freedom to vary them several times in accordance with his insight and pleasure, and by this means to constantly excite the listeners with new inventions.[14]

Quantz repeatedly insists on this point: inventing 'variations or extempore embellishments […] cannot be realized without an understanding of composition, or, at least, of thorough-bass'.[15] The same is true of jazz improvisation in a tonal context. When applying Paraphrase, an improviser follows the melody, embellishing it with small 'graces': it suffices to be conscious of the melody's tonality, and to rely on one's ear. To apply Theme Variation, however, harmonic knowledge is crucial, and active thinking must be put into operation in order to transform the melody in more depth. A statement by Hawkins, quoted in §1.1, acquires new weight in the present context:

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[13] These two terms are used by Edward R. Reilly (Quantz 1752/2001, 91, footnote 2) to summarise the attributes of each manner.
[14] Quantz 1752/2001, 113 (Chapter X, §13). What I designate as Cyclical Development in Hawkins's improvisations illustrates such 'constant new inventions'. See examples 3.17 and 3.18, 4.2 and 4.3, 4.15, 4.18 to 4.20, 4.21 and 4.23, 7.3 and 7.4, and §7.4.
[15] Quantz 1752/2001, 136 (Chapter XIII, §2). See also 139 (Chapter XIII, §9) and 163 (Chapter XIV, §3).

> Improvising is playing with a lot of thought behind it; but none of the hard work that goes into thinking should show up in your playing. Too often improvising is really copying. To really improvise, a musician needs to know everything – not only his instrument, but harmony, composition, theory, the whole works.[16]

It is telling that Michael Zsoldos, when challenging the notion of verticality in Hawkins, underlines precisely this aspect of his music:

> Many historians have called Hawkins a vertical, or harmonic player, perhaps because of the number of arpeggiations his solos contain. However, close examination of ballads recorded between 1939-1945 reveal that this is an oversimplification; Hawkins's solos are *so well organized that they almost sound composed*.[17]

Quantz provides numerous examples of variations on simple motives, organised by increasing complexity.[18] They illustrate that the principal parameter that makes variations possible is rhythm. Control of every level of subdivision and of the rhythmic figures therein is what permits to add notes around the initial motive, and to organise them in various ways. Some of Quantz's most involved examples are similar, rhythmically and melodically, to Hawkins's phrases, the notes of the initial motives appearing only once each in the midst of a flurry of fast notes.[19]

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[16] Feather 1957, 171-172; quoted in Chilton 1990, 278. In the liner note for a 1978 reissue of *Duke Ellington Meets Coleman Hawkins* (Impulse! AS-26, recorded 18 August 1962), Stanley Dance reminisced about the decision to record 'Solitude': 'Both protagonists wanted to do it and seemed reluctant for the session to end. Another wonderful Hawkins improvisation resulted. "He knows everything", Ellington observed as he listened to the playback'.

[17] Zsoldos 2000, 2. My emphasis.

[18] Quantz 1752/2001, 140 ff.

[19] Although some of his examples are complex, Quantz (1752/2001, 139; Chapter XIII, §9) warns against the tendency to submerge a melody with fast passagework: 'A long series of quick notes does not always suffice. They may, indeed, excite admiration, but they do not touch the heart as easily as the plain notes, and this, after all, is the true object of music, and the most difficult one […] My advice is not to give yourself over too much to variations, but rather to apply yourself to playing a plain air nobly, truly, and clearly'.

§5.2 Paraphrase and Theme Variation in Hawkins

Customarily the first chorus in a ballad is devoted to the exposition of the melody, the solo taking place in the second chorus.[20] In a jazz setting it is rare for the melody to be exposed anywhere near how it appears in the score. Yet it remains clearly identifiable: the technique at work is generally Paraphrase. The melody's rhythm might be adapted, the musician's phrasing might shorten, prolong or move notes around, vocal effects might be added, idiomatic instrumental effects might be used to lead into or leave certain notes, such as runs, trills, falls, rips, scoops, bends, smears, shakes, and the like.

An exposition based on Paraphrase is comparatively rare in the ballad recordings made by Hawkins in the late 1930s and in the 1940s. If it takes place, it is usually in the first A section, the second already veering towards Theme Variation, as in a 1946 recording of 'Cocktails for Two'.[21] At times, Paraphrase is applied extensively, as in Hank Jones's 'Angel Face', but this is a fresh, complex composition that Hawkins is probably sight-reading in the studio.[22] It is more frequent, in those years, for him to omit a clear statement of the melody and start his variations immediately. As a result, this chapter talks little about Paraphrase and much about Theme Variation.

One of the significant changes to affect Hawkins's style in the late 1950s and 1960s is an increasing reliance on Paraphrase when he exposes a song's melody. This change might have been prompted by the extended playing-time of LP albums, allowing to take more choruses on a ballad, and at a slower tempo, than was possible on 78rpm discs. Thus LPs provide Hawkins with sufficient space to expose the melody using Paraphrase, and to revisit it with Theme Variation in his solo. But this is not a firm rule. A 1935 recording of 'Stardust'[23] already followed such a plan. At its start, Hawkins exposes the melody for a whole chorus, using Paraphrase; but when he comes back after guitarist Django Reinhardt's solo, his improvisation is based on Theme Variation. A 1957 recording of

[20] This sensible procedure was already adopted in Europe in the 18th century. Quantz (1752/2001, 139; Chapter XIII, §9) advises: 'Variations must be undertaken only after the plain air has already been heard; otherwise the listener cannot know if variations are actually present'. It could be argued that since many songs in the Great American Songbook are familiar to the informed listener, a jazz performance can dispense with a melodic exposition and directly undertake variations.
[21] Arthur Johnston and Sam Coslow (1934). Sonora SR 1860-1, recorded December 1946.
[22] Victor D7VB2662-1, recorded 11 December 1947.
[23] Hoagy Carmichael and Mitchell Parish (1927/1929). HMV OLA-349-1, recorded 2 March 1935. In a later recording (Capitol 575, recorded 23 February 1945), the melody is exposed straightforwardly by trumpeter Howard McGhee in A1 and A2; when Hawkins enters at B he directly uses Theme Variation.

'Cocktails for Two',[24] made on LP, is less than three-minute long, and would have fitted on a 78rpm disc; yet Hawkins uses Paraphrase throughout, except on the second B section.[25]

Another factor affecting the change in Hawkins's style in the last decade is the broadening and deepening of his sound, which might be linked to a change of mouthpiece.[26] Reviewing a 1962 performance at the Ohio Valley Jazz Festival, a journalist wrote:

> In 'Think Deep', say, or 'When Day Is Done', [Hawkins's] style remains as virile as ever, but the tone becomes even warmer and more open-throated – mellow in a manner that Saxophone Inventor Adolphe Sax (1814-94) would never have believed.[27]

With such a sound, Hawkins could keep a melody close to how it had been written, and still make it his own. Johnny Green, who composed the song with which Hawkins is associated the most, 'Body and Soul', commented, after listening to *The Gilded Hawk*:[28] 'If the improviser can improve on what the composer wrote instead of destroying it, more power to his embouchure'.[29] *The Gilded Hawk* exemplifies Hawkins's Paraphrase manner at its most economical. He plays the melody to each song on the album almost

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[24] *Coleman Hawkins Encounters Ben Webster*, Verve MG V-6066, recorded 16 October 1957.
[25] The performance lasts one chorus and a half, following the norm in such cases: AABA–BA.
[26] Sonny Rollins regards this as an important event in Hawkins's development: '[Hawkins] didn't attempt any drastic change, except to change mouthpieces, which he did around the late Fifties. That was the major change in his playing, to my ear' (Rollins 1998). John Chilton considers that after he changed mouthpieces it took Hawkins a certain time to adapt, and that some of his recordings reflect this struggle: '[…] Hawk was still having technical problems connected with his change of mouthpiece. He often made minor adjustments during this period, producing an uneven quality in his tone' (Chilton 1990, 315). God give me an uneven tone like that!
[27] *Time* magazine, 31 August 1962.
[28] Capitol T 819, recorded 17 October 1956 and 7-8 February 1957.
[29] *Down Beat*, 17 October 1957, quoted in Chilton 1990, 288. Although 'improvise' and 'improve' have different etymologies and different meanings, it is telling that Green puts the two words side by side. In this connection, Quantz (1752/2001, 139; Chapter XIII, §9) wrote: 'A well-written melody, which is already sufficiently pleasing in itself, must never be varied, unless you believe it can be improved. If you wish to vary something, you must always do it in such fashion that the addition is still more agreeable in the singing phrases, and still more brilliant in the passage-work, than they stand as written. Not a little insight and experience are required for this. Without an understanding of composition, success is impossible'.

without adding notes to it,[30] only taking a few rhythmic liberties; but the authority of his sound is such that he seems to be creating the melody on the spot. The improvement referred to by Green, rather than being based (as one would expect) on clever embellishments of the melody, lies mostly in Hawkins's sound and phrasing.[31] This newfound melodic directness and simplicity, coupled with that most resonating of saxophone sounds, explains that for many listeners Hawkins remained the *primus inter pares* even into the 1960s. As Burnett James puts it: 'He dedicated his entire life to playing the tenor saxophone, and in the end he played it as well as it could be played'.[32]

§5.3 Cantus Firmus

As already mentioned, Hawkins's main melodic technique in the 1940s is Theme Variation rather than Paraphrase. In Paraphrase the melody is the object of slight variations, and remains recognisable, whereas in Theme Variation, it becomes an agent generating new phrases and guiding the improvisation.[33] In Theme Variation, although the melody remains at the centre of Hawkins's improvisational strategy, he does not play it *as a melody*; that is, his aim is not to put the melody across to the listener. Rather, Hawkins bases his improvisation on the melodic content provided by the song. This craft-centred approach is underlined by writer Alain Gerber:

> The melody? Hawkins is not easily seduced by it. If he desires it with his characteristically enormous appetite, it is to see what it has in its belly. He takes it apart like an old alarm clock.[34]

[30] Phil Schaap remarks that, in the 1950s, Louis Armstrong took such an approach even further, by *removing* notes from a song's melody, thereby revealing its most condensed substance (seminar attended by author, Jazz at Lincoln Center, NYC, Spring of 2013).
[31] For critic Scott Yanow, sound and phrasing alone are not sufficient to make a jazz performance valuable: 'Since Hawkins does little other than caress the melodies, nothing significant happens, making this one of the most dispensable Coleman Hawkins ever' (review of *The Gilded Hawk*, no date, online: <https://www.allmusic.com/album/mw0000769857?1596953802148>, accessed 9 August 2020).
[32] James 1984, 10.
[33] This distinction is similar to what Zsoldos calls 'melodic undergirding', as opposed to 'melodic embellishment' (Zsoldos 2000, 5).
[34] Gerber 2000, 127. '*La mélodie? Il reste peu sensible à ses appas. S'il la désire avec l'énorme appétit qui le caractérise, c'est pour voir ce qu'elle a dans le ventre. Il la démonte comme un vieux réveil*'.

It could be said that Hawkins uses the song's original melody as a kind of cantus firmus, to which he adds a second voice in counterpoint, his improvisation. But the cantus firmus remains unstated as such, or hidden within the improvised phrases, contrary to a cantus firmus in a Western classical work, which by definition is stated continuously and cannot be modified, as it has to remain audible at all times under the added contrapuntal activity. In other words, the song's melody is not played as melody but serves as a structural frame on which Hawkins builds his improvisation.

We could extend this notion further, and propose that the cantus firmus on which Hawkins bases his phrases is not always the song's melody. In a sense, the voice-leading threads examined in Chapter 4 could be seen as forming such a cantus firmus, implied in the piano accompaniment but not stated melodically. What comes closer to an actual cantus firmus, as intended in Western classical music, is the ascending chromatic line played by the backing horns on 'Just One More Chance', discussed in §4.4: in this case the cantus is played by other musicians and is therefore clearly audible. Another example of discernible cantus firmus, serving as the basis for Hawkins's phrases and played by a band member, can be found in 'How Deep Is the Ocean'.[35] In bars 1-4 of each A sections of the ABAC form (1A1/1-4, 1A2/1-4, 2A1/1-4, 2A2/1-4), the bass descends chromatically from G to E, and Hawkins's phrases target these same notes as their main structural markers. In bars 7-8 of each A section (1A1/7-8, 1A2/7-8, 2A1/7-8, 2A2/7-8), and into the first bar of each following B section, the bass descends chromatically from D to B♭, while the structural notes targeted by Hawkins descend from A to F, a fifth above the bass.[36] In these places, Hawkins clearly conceives each phrase in counterpoint to the chromatic bass line, which serves as a cantus firmus.

[35] Signature T-1905, recorded 8 December 1943.
[36] See transcription and analysis in Zsoldos 2000, 24-26. Zsoldos uses a continuous bar numbering: the passages discussed are in bars 1-9, 17-25, 33-41, and 49-57. He proposes that Hawkins establishes a call-and-response between one voice varying the melody and the other making a harmonic statement.

§5.4 Notation of Variations

In the following examples Hawkins's improvisation is superposed with the original melody of the song, which appears in the ossia staff.[37] In the improvised phrases, the notes that belong to the melody are circled (in the text these are called 'melody notes'). In the melody the notes that are *not* used by Hawkins in his improvisation are indicated by diamond noteheads.

When a note is repeated in the original melody, only the first one is considered. Hawkins changes the rhythm in most cases, and what matters for the structural use of the melody is the note.[38] Most of Hawkins's variations then occur by selection (which notes are used and which ones are not), by displacement (anticipations and delays), by the infusion of new rhythms into these notes, and by the addition of florid melodic figures around and in-between these notes. Delays are usually not indicated if they occur within the duration of a melody note. When they happen after that duration is over and above the next melody notes, the delay is indicated with an arrow (when a clarification is needed an arrow is used even when the delay takes place within the underlying melody note). The same remarks apply to anticipations, except that the arrows go from Hawkins's phrases to the melody. If, as just explained, repeated notes in the original melody are not taken into account, repeated notes in Hawkins's improvisation are, and each repetition he might do of a melody note is circled in the examples, in order to show how he 'rhythms' it.

Because it is active, more or less intensively, throughout each of the three recordings examined in this chapter, a line-by-line commentary seemed the best way to treat Hawkins's usage of Theme Variation. I start by taking the first chorus of 'Don't Blame Me' eight bars at a time (examples 5.1 to 5.4), then I look more broadly to the out chorus (example 5.6) and to Hawkins's entire improvisations on 'I Can't Get Started' (example 5.8) and on 'Just One More Chance' (example 5.9). As I go through each piece in a line-

[37] Such a comparative presentation is common in jazz scholarship. André Hodeir (1956, 145) already used it for a short excerpt of Hawkins's 'Body and Soul'. Milton Stewart superposes original melody and solo but without joining them by lines (1973, 186 ff.); Michael Zsoldos (2000) superposes melody and solo, and draws lines indicating which melody notes are used; Scott DeVeaux (1985, 381-2) does not superpose melody and solo, but attributes larger noteheads to the notes in the solo which belong to the melody.

[38] For this reason a cantus firmus is usually made of whole notes. On faster numbers the rhythmic specificities of a song can provide materials for variations just as much as its melody, but this is rare on ballads. For example, the only characteristic rhythms of 'Don't Blame Me' are the three repeated quarter-notes triplets in A3, 5, and 6. Hawkins does not use this element in his solo except perhaps at one point (1A2/6), discussed below.

by-line fashion, I also make references to other passages in the same piece or in the other two. In such cases, rather than indicating each time in which example these other passages can be found, I refer the reader to table 5.1:

TABLE 5.1: Indicating what example contains what part of which song.

Song	**Place in form**	**Example number**
'Don't Blame Me'	First A (1A1/…)	Example 5.1
	Second A (1A2/…)	Example 5.2
	B section (1B/…)	Example 5.3
	Third A (1A3/…)	Example 5.4
	Out chorus (Hawkins does not play on B) (2A1/…, 2A2/…, 2A3/…)	Example 5.6
'I Can't Get Started'	Entire chorus (1A1/…, 1A2/…, 1B/…, 1A3/…)	Example 5.8
'Just One More Chance'	First chorus (1A1/…, 1A2/…, 1B/…, 1A3/…) and second half of out chorus (2B/…, 2A3/…)	Example 5.9

§5.5 Theme Variation in 'Don't Blame Me'

As discussed in §1.6, an improviser functions internally and externally.[39] Chords and melody are present in her or his mind as concepts, and heard with her or his 'inner ear'; and they are present in the music played by other band members, and heard with her or his 'outer ear'. It is comparatively easy, for an improviser on a single-line instrument, to keep in mind the chords of a song while playing: being of a harmonic and conceptual nature, they do not clash with what she or he is playing, which is concrete and melodic.[40] But to keep a melody active in one's mind while improvising on a single-line instrument is difficult, because a song's composed melody and an improviser's phrases are of the same kind – both are made of notes forming melodies, and they tend to cancel each other

[39] See also 'Implications for Scholarship' in the Conclusion to this thesis.
[40] Another reason is that chords are stated by the pianist during a single-line instrument solo, whereas the song's melody is rarely used by accompanists (Thelonious Monk's comping on his own compositions being a notable exception).

out. In spite of this difficulty, improvisers wishing to master Theme Variation must develop the capacity to hear the melody internally at all times.

Certain songs are better vehicles for this exercise than others. One quality in a song that helps the improviser in applying Theme Variation is an abundance of whole notes and of half notes – as in a cantus firmus. This makes it easier to simultaneously hear the song's melody and one's improvised phrases, while leaving space within each melody note to add material before joining the next one. Another such feature is a measure of logic in the melody's construction, for example the repetition of some of the melody's material on another scale degree or in another key, which supports the performer's memory by reducing the amount of actual material to be dealt with. The presence of striking notes, usually chromatic notes that are not part of the key,[41] is also of help, for these will be more easily identified as melody notes both by the improviser and by the listener. 'Don't Blame Me' possesses all these characteristics, and is therefore an ideal vehicle for a theme-based improvisation.[42]

EXAMPLE 5.1: Theme Variation in 'Don't Blame Me' 1A1/1-8 [00:05].

[41] Most of the time such chromatic notes are borrowed from the parallel minor mode, for instance in the C section of Cole Porter's 'You Do Something to Me'.
[42] Henry Martin (1996, 32-33) describes eight types of 'Thematic Patterns' found in songs and providing appropriate materials for a thematic improvisation.

In the first A section of 'Don't Blame Me', almost every melody note appears in Hawkins's improvisation, although at no point does he explicitly state the melody as written. From this initial density, Hawkins progressively loosens the melody-to-solo relationship, to the point that the last A section of the out chorus (2A3) is left with only two bars based on the melody (see example 5.6).

At 1A1/4/4 Hawkins cannot use the melody's $\hat{1}$ (F) because he is using instead the passing $A\flat_{min}^{7}$ (a chord which does not contain F) that belongs to VL Movement Five (see §4.5).

In 1A1/5-6, Hawkins uses every melody note. The three B♭s in 1A1/5/1-2 are reduced to two in the improvisation, the second slightly delayed. A in 1A1/5/3 and G in 1A1/5/4 are each played once, as in the melody, but in diminution from quarter note to triplet eighth note; A is delayed into the next beat, while G appears in the correct beat. C in 1A1/6/1-2 is slightly anticipated, and in augmentation from a quarter-note triplet in the melody to a single half note in the improvisation. B♭ in 1A1/6/3 and A in 1A1/6/4 appear in the correct beat, in diminution from quarter note to sixteenths, and are repeated. In these two bars, as in many other passages, Hawkins moves melody notes around by combining several techniques (repetition, augmentation, diminution, anticipation, and delay). His approach to Theme Variation, although rigorous (each melody note in 1A1/5-6 is used and varied), is flexible insofar as melody notes are placed freely within the improvised phrase. In this Hawkins differs from Quantz, according to whom melody notes should appear in the same place in the melody and in the variations:

> In general you must always see to it in the variations that the principal notes, on which the variations are made, are not obscured. If variations are introduced on crotchets, usually the first note of the variation must be the same as the plain note; and you proceed in the same fashion with all the other values, whether they are greater or less than a crotchet. To be sure, another note may be chosen from the harmony of the bass, but the principal note must then be heard immediately after it.[43]

[43] Quantz 1752/2001, 138 (Chapter XIII, §7).

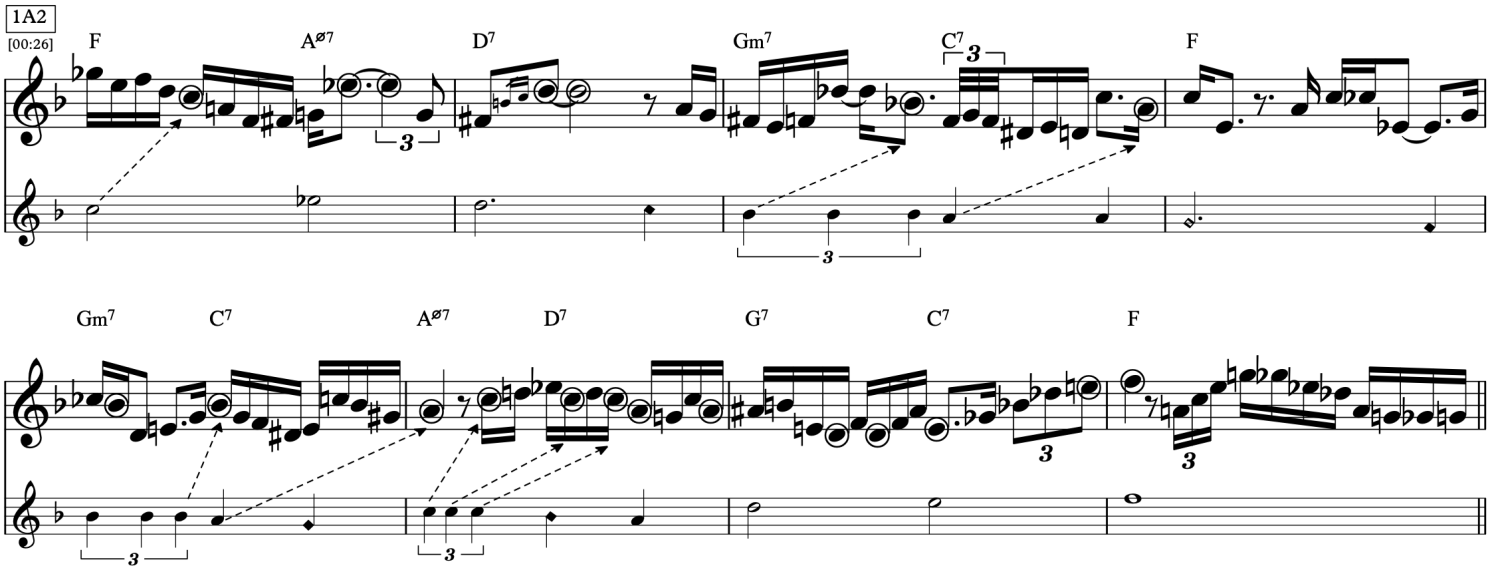
Often in a song, cadential points at the end of sections are less memorable melodically than the rest of the material.[44] Improvisers tend to forget the exact melody at those junctions because it is not characteristic enough, when they do not willingly disregard it as too poor a material to draw from. 'Don't Blame Me' is a case in point, with an expressive melody in bars 1-6 of each A section, followed by the rather bland half notes $\hat{6}$ – $\hat{7}$ in A1/7, resolving to $\hat{5}$ in A1/8, or the even blander $\hat{6}$ – $\hat{6}$ resolving to $\hat{1}$ in A2/7-8 and A3/7-8. Yet the notes at such cadential junctures, if they can be melodically unmemorable, still have value for the improviser in providing a strong 'resolutional pull'. This is of interest to Hawkins. Instead of enunciating the II^7 – V^7 – I harmony of the two last bars of each A section in a free manner, he choses to base that enunciation on the notes proposed by the melody.[45] In 1A1/7-8, 1A2/7-8, 1A3/7-8, 2A2/7, and 2A3/7 Hawkins uses the melody's $\hat{6}$ and $\hat{7}$ as the 'skeleton' for his arpeggiations; these Ds and Es are buried within sixteenths notes, but they are clearly delineated by being placed, usually, at the bottom and at the top of each phrase segment.[46] At 1A1/7, 2A2/7, and 2A3/7, the D minor triad Hawkins builds on $\hat{6}$[47] is extended for half a beat (F and D are not surrounding notes of E but rather still part of the D minor triad extended into the next chord, V^7).

It is not surprising to find $\hat{6}$ on II^7 and $\hat{7}$ on V^7, and counting these notes as melody notes may seem unconvincing. But Hawkins builds around these melody notes each time but once (2A1/7) in his two choruses. As already stated, in the sheet music A1/8 resolves to $\hat{5}$,[48] while A2/8 and A3/8 resolve to $\hat{1}$. Hawkins respects this detail throughout: he resolves to $\hat{5}$ in 1A1 and 2A1, and resolves all other A sections, as in the published sheet music, to the tonic. The exception is perhaps at 2A2/8 where he does resolve to $\hat{1}$, but

[44] A state of affairs that often infuriates composer Alec Wilder in his commentaries of Broadway songs (see Wilder 1972).
[45] In the original sheet music A2/7 and A3/7 both have $\hat{6}$ – $\hat{6}$ instead of $\hat{6}$ – $\hat{7}$. But Hawkins uses the melody of A1/7 ($\hat{6}$ – $\hat{7}$) also for A2/7 and A3/7; for this reason I have used $\hat{6}$ – $\hat{7}$ each time in the ossia staff of examples 5.1 to 5.6.
[46] At 1A2/7 D is the bottom of the phrase segment but not its top. At 2A2/7 D is at the bottom and at the top, but E is only at the bottom (the D below it being a prolongation).
[47] D minor is the 'important minor' of G^7 (see comment under example 3.2). G^7 is II^7 or V^7/V in F major. Outlining the important minor of II^7 by arpeggiating it as a triad is a gesture observable in many Hawkins solos.
[48] Forming an imperfect authentic cadence since the harmony is V – I but the melody note on I is not the tonic.

only in passing, within a phrase that leads to IV at the beginning of 2B, so that it is less emphasised than all other end-of-A-section resolutions.

EXAMPLE 5.2: Theme Variation in 'Don't Blame Me' 1A2/1-8 [00:26].



In 1A2/1/1 the first half of the beat is a delay of C^7 (or rather $G♭^7$) from the previous bar, which resolves to the tonic in the second half of the beat. The phrase then continues downwards and accentuates the melody note C on beat 2: even if this is just a sixteenth it is emphasised by the delayed resolution.

In 1A2/3 the melody notes B♭ and A appear in their correct place, but they are relegated to the end of each phrase segment. B♭ is perhaps more obviously a reference to the melody since it is held slightly longer than A, and A could be heard as a pick-up to 1A2/4/1. But both phrase segments bear similar designs (these are the second inversion triads shown in example 4.26): ascending minor sixth (F – D♭) followed by descending minor third (D♭ – B♭), ascending minor sixth (E – C) followed by descending minor third (C – A), albeit with more complex ornamentations in the second half of the bar (thirty-second-note triplet trill on F, and D as a kind of échappée or ghost note, between E and C). Again at 1A2/5[49] Hawkins displaces the melody notes B♭ and A ahead, A falling this time beyond the bar line, on the first beat of 1A2/6.

[49] But for one note, 'Don't Blame Me' has the same melody in bars 3 and 5 of its A sections.

In most of 1A1 Hawkins 'passed through' the relevant melody note at or near the beginning of each bar or half-bar, which suggests that he internally heard the melody note before improvising the associated phrase segment. In 1A2/6/2 he likewise launches his next segment from the melody note C. But at 1A2/3, the two phrase segments we have just discussed show that instead of starting a segment with the melody note, Hawkins is *aiming at it*, placing it at the end of the phrase segments. The segments are so well crafted, and as we have seen so similar to each other, yet varied in rhythm and ornamentation, that we can dismiss any thought of arbitrariness, in spite of the fact that it might seem far-fetched to claim that such postponed notes can be considered melody notes. But the claim is supported by the occurrence of both melody notes B♭ and A, as is the case also in bar 1A2/5. In the out chorus at 2A2/3 and 2A3/3 Hawkins also delays A, both times a bit further away, into the downbeat of the next bar; but the preceding B♭s from the melody are absent, and A is best understood not as a delay of the melody note but as a normal resolution of the phrase segment to the 3rd of F (I), properly placed on the downbeat.[50]

In footnote 38, I have written of Hawkins's choice not to use the quarter note triplets on repeated notes that form the bulk of the A sections of 'Don't Blame Me'. One explanation is that such a rhythm is too slow for Hawkins's natural pace at this tempo – certainly too slow to be used several times. But in 1A2/6 he seems to refer to the three repeated Cs, not as quarter note triplets as in the melody, but in their very repetitiveness, for the three of them are present in his elaboration (indicated by three arrows in the example). This seems to be the only instance in this recording in which Hawkins refers, albeit indirectly, to the characteristic 'Don't Blame Me' quarter-note triplet.

[50] We can surmise that this resolution entered Hawkins's ear first as displacement of the melody notes, then became an entity of its own, dispensing him to utter the preceding B♭s.

EXAMPLE 5.3: Theme Variation in 'Don't Blame Me' 1B [00:47].

Hawkins uses significantly fewer melody notes in the B section. This might be due to a phenomenon commonly reported by jazz improvisers: when an AABA song has not been played for a while, the first part they forget is usually the B section. In a similar way, if they have learned the verse that introduces a song, they might forget it while still remembering the rest. But it is not merely a matter of memory. A song is primarily defined by its 'core'. When the form is AABA, the A section is *usually* where the composer places her or his most distinctive melodic ideas (and the lyricist her or his most memorable lines).[51] It is natural therefore that the material stemming from the A sections be treated with more care, and the bridge somewhat more casually.

Hawkins still refers to the melody in the B section of 'Don't Blame Me', but he does so less often and less directly than in the A sections. At 1B/1 he ignores the C♯ appoggiatura, but still conceives his phrase with the melody note D at the top. The melody in 1B/2 is D♯ – E – D♯ – E in quarter notes. Hawkins ignores D♯ and E in the first half of the bar, but uses D♯ and E in the second half, E being placed by Hawkins as a quarter note on the fourth beat of the bar, exactly as in the melody.

In 1B/3 Hawkins ignores the melody notes G and F, but he respects the suspension of V implied by G ($\hat{4}$ in D minor, 7th of A^7). In the published sheet music, the harmony

[51] There are many exceptions to this, such as Alec Wilder's 'I'll Be Around' (1942).

(originally in the key of C, here transposed to F) does not suspend A^7 from B/2 into B/3 but instead resolves to D minor on the downbeat of B/3.[52] The dissonant G, not being prepared melodically in B/2, is an appoggiatura and not a suspension. But it can be elegantly harmonised by suspending A^7, as done by both Hawkins and pianist Teddy Wilson. Hawkins resolves his phrase at 1B/3/3, where the melody resolves down to F ($\hat{3}$ in D minor). Instead of the melody's $\hat{4} – \hat{3}$ Hawkins plays $\hat{6} – \flat\hat{6} – \hat{5}$, which would form consonant thirds with the melody. This passage shows Wilson's and Hawkins's dedication to the details of a song – a far remove from the 'fake book' treatment, by which only the chord progression of a song, expressed in chord symbols and ignoring suspensions, is taken into consideration.[53]

At 1B/4/3 the second F played by Hawkins in the bar is accented by being placed on the downbeat and held longer than other notes in the phrase; it is a target note referencing the melody note F.

In 1B/5 Hawkins seems to deliberately avoid the melody note G, until he finally emits it at 1B/5/3. What might dismiss this isolated G as a melody note is the absence of the following F.

At 1B/6/2 Hawkins plays the melody notes G – B – E in rhythmic diminution (from quarter-note triplet to sixteenth-note triplet), and in anticipation. This is the kind of detail that the ear struggles to grasp, because it goes by in a jiffy, and that a transcription helps to bring forth. Once we have noticed it by way of analysis, our ear cannot ignore it anymore. We can only be baffled at such an impulsive, forceful, and quick-witted seizing and reshaping of the song's material by Hawkins.

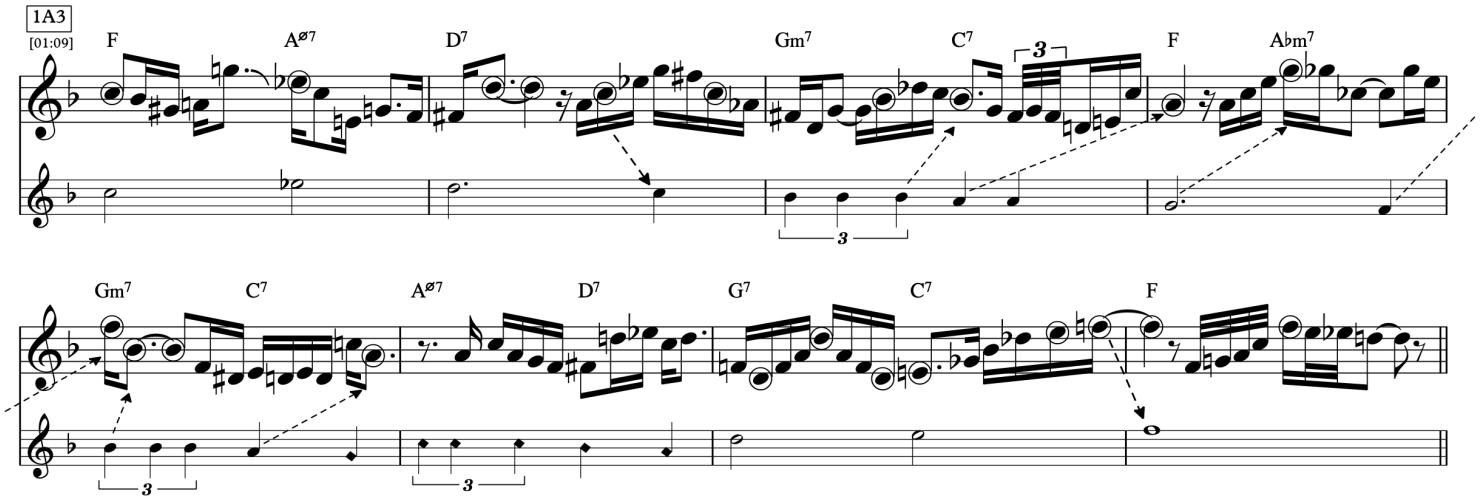
In 1B/7-8, Hawkins does not play the melody notes D – D♭ – C. The distinctive element in the melody of these two bars is the chromatic note D♭ ($\flat\hat{6}$) at 1B/7/3-4. As in 1B/3, with the suspension of A^7 called for by the melody note G, Hawkins uses not the

[52] Some songs do feature a harmonic suspension of V into I under a dissonant melody note. The bridge of 'Just One More Chance' uses $\hat{2} – \hat{1}$ suspensions in the melody, on the subdominant in B/2 and on the supertonic in B/6. These melodic dissonances are supported by suspensions of the V chords over the I in each key (C and A minor, if G is the main key). Such suspensions of V into I are rather rare in Broadway songs. A few other examples can be observed in the bridge of another Sam Coslow song, 'Cocktails for Two' – a favourite of Hawkins's who played it frequently –, of Vincent Youman's 'More Than You Know', or of Harold Arlen's 'As Long As I Live'.

[53] See Kernfeld 2006 and Stoll 2019. See related comment above example 5.9.

melody note itself but its harmonic implication, playing a $F^{ø7}$ arpeggio (or Rootless $D♭^{7/9}$).[54] Hawkins anticipates this gesture by using $D♭^7$ already at 1B/6/4.

EXAMPLE 5.4: Theme Variation in 'Don't Blame Me' 1A3/1-8 [01:09].



At 1A3/2/3-4 two Cs are sounded in sixteenths: they could refer to melody note C on beat 4 of A/2, but since they are part of an $A^{ø7}$ arpeggio moving to an $A♭^7$ arpeggio, their provenance might just as well be harmonic. The two arpeggios chosen by Hawkins refer to the harmonic implication of the melody note C, which resolves to B♭ in A/3, delineating $\hat{4} – \hat{3}$ in the key of ii, and calling for a V/ii harmony. D^7 is the chord found in the song's sheet music at A/2; Hawkins adds to it the supertonic of ii ($A^{ø7}$), and flattens the 5th and the 9th of D^7.[55] His arpeggiations seem to pivot around the melody note C, but since he ignored it twice already at this point (1A1/2 and 1A2/2), it seems logical to suppose that he did here as well. However, as shown in example 5.5, in 1A3 Hawkins's phrases are centred on a diatonic descent of which C is part, and which is based on the song's melody. Understood from this voice-leading perspective the two Cs at 1A3/2/3-4 must be counted as melody notes.

[54] Hawkins and his accompanists treat this passing D♭ as the root of their chord. Since they play a C^7 in bar 7, $D♭^7$ is a neighbouring harmony, which then returns to C7 (this gesture is known as a 'side-slip' in established jazz pedagogy). In the sheet music the melody notes are harmonised differently: | B♭/C G^{ø7} | C^7 ||. The melody note D♭, instead of being the root of $D♭^7$, is the ♭5th of $G^{ø7}$.

[55] In this context, $A♭^7$ can be seen as Rootless $D^{7♭5♭9}$ (see §4.4).

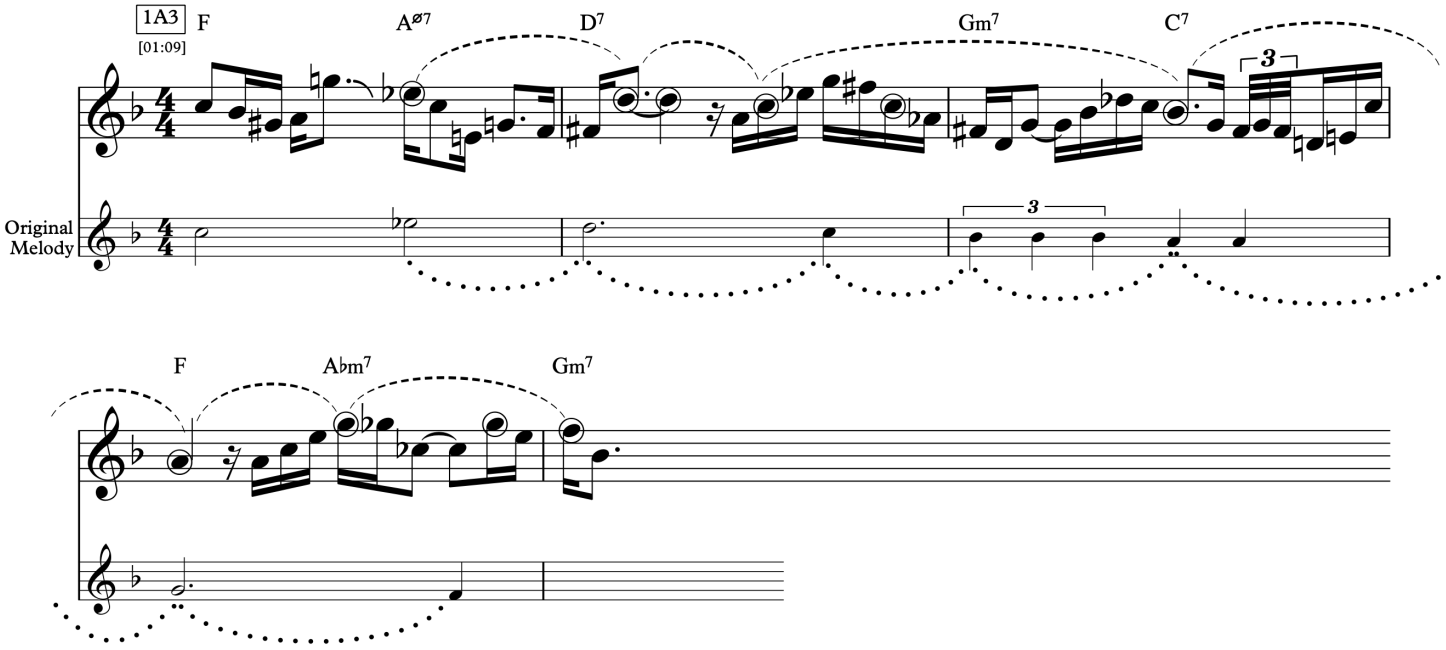
At 1A3/3 Hawkins significantly delays the melody, at times even into the next bar, as he almost did in 1A2/3 and as he actually did in 1A2/5. Commenting on those passages, and on 1B/2, I have proposed that Hawkins uses melody notes as targets: his phrase segments are conceived to lead into the melody notes, which are therefore placed at their end. In 1A3/3, the displacement is also caused by the suspension of V/ii (D^7) into ii (G_{min}^7). This is expressed by F♯ and D, in the first half of the beat at 1A3/3/1, resolving to G (root of the ii chord) only in the second half of the same beat. A similar phenomenon takes places at 1A2/3/1. This suspension, by bringing V/ii from the previous bar into 1A3/3, could be regarded as pushing in turn the melodic and harmonic content of that bar ahead towards and into 1A3/4. What seems to be taking place is a twofold pressure exercised in the same direction on the thematic material of those bars: one coming from aft and *pushing* it ahead (suspension of V/ii into ii), combined with one coming from fore and *pulling* it ahead (the melody notes as target notes at the end of the phrase segments).

The inertia of this forward-pushing movement seems to affect the organisation of the next two bars. If 1A3/3 contains indeed the melody notes B♭ and A, displaced in time, then G and F in 1A3/4, and B♭ and A in 1A3/5, could also be regarded as melody notes. Consolidating such a view is the observation that the displacement ratio, or 'target point', in 1A3/3 and in 1A3/4, is the same: each melody note (B♭, A, G, F) is moved ahead to the downbeat of the next bar or half bar, so that they each fall on beat 1 or 3 in correct sequence and without gaps.

Although the reference is, as I have tried to argue, to the melody, these four notes also form a $\hat{4} – \hat{3} – \hat{2} – \hat{1}$ diatonic voice-leading descent. This is obviously the structural aim of the melody composed by Jimmy McHugh, to which they all belong, but in the melody the descent is slightly hidden by the anticipated rhythmic placement of $\hat{1}$ on beat 4 of A/4. Hawkins, although he obfuscates the melody's descent by adding much flourish to it, 'corrects' it by placing each note of the descent 'squarely' on the downbeat, every two beats – where they would be placed in a cantus firmus. Looking back in the previous bars, we notice that the descent starts with E♭ at 1A3/1/3, continues with D at 1A3/2/1 and with the two above-mentioned Cs at 1A3/2/2-3, before joining B♭, A, G, and finally the tonic F, as just described. This delineates, both in the song's melody and in Hawkins's improvisation, a full diatonic descending scale (except for the initial

chromatically lowered 7th): ♭$\hat{7}$ – $\hat{6}$ – $\hat{5}$ – $\hat{4}$ – $\hat{3}$ – $\hat{2}$ – $\hat{1}$. Example 5.5 shows how Hawkins's descent displaces B♭, A, G, and F two beats later compared to the melody.[56]

EXAMPLE 5.5: Diatonic descent in 'Don't Blame Me' 1A3/1-5 [01:09].



Returning to example 5.4: in 1A3/4 the displacement of the melody notes G and F occurs not only in time but also 'in space', for both notes appear one octave higher than expected, while the next one, B♭, appears in the correct octave. Thus a two-note fragment of the melody is in mirrored form (melody: F then up to B♭, Hawkins: F then down to B♭).

Integrating the melody notes G and F at 1A3/4 forces Hawkins to re-organise VL Movement Five in a fresh variation, by placing the melody notes at the top of his partial arpeggiations of Amin7 and Gmin7, by way of A♭min7.[57]

At 1A3/6/2, C seems not to be a melody note, since the following melody notes do not appear. In this view, 1A3/6 would be the first entire bar with no clear reference to the melody in an A section (1B had three such bars). As we shall see, bars bearing no relation

[56] The change of octave between A and G in 1A3/4 does not affect the descent. See §4.6 for examples of diatonic descents in 'I Can't Get Started'.
[57] See comments under example 4.15.

with the melody are increasingly frequent in the out chorus, as Hawkins progressively distances his improvisation from the thematic material of 'Don't Blame Me'.

1A3/7 is similar to 1A1/7, only the D minor triad built on the melody note D is not suspended into C^7, which confirms that, in 1A1/7, F and D are suspensions rather than notes surrounding E.

The phrase segment F – G – A – C at 1A3/8/2 is the same one which opened Hawkins's improvisation (pick-up to 1A1/1/1), played in rhythmic diminution (thirty-seconds instead of sixteenths) and with a slight displacement. This is just a partial run through the tonic pentatonic scale. Is it a coincidence that Hawkins opens and closes his improvisation with the same material? Or could it be, in his own words, 'memory and method'?[58] For he also concludes the out chorus – and thus the entire performance – with the same choice of notes (thirty-second-note triplet in 2A3/8/1; see last bar of example 5.6).

As examples 5.1, 5.2 and 5.4 show, in the A sections Hawkins tends to ignore the same melody notes: C in A/2/4, F in A/4/4, and G in A/5/4. C is a passing note placed on the last beat of the bar; it is therefore natural that it should not attract Hawkins's attention as a structurally significant note. The case of F and G is different. A characteristic element of 'Don't Blame Me' is that the three phrases at A/3-4, A/5, and A/6 are descending scales with an accented passing tone placed in their middle (G at A/4/1, A at A/5/3, and B♭ at A/6/3). These dissonant passing tones are then resolved on the fourth beat of the corresponding bars (respectively F at A/4/4, G at A/5/4, and A at A/6/4). Hawkins seems to favour the accented passing tones over the consonant ones that end each phrase, which may explain why he tends to ignore F in A/4 and G in A/5. Furthermore, as we have seen, Hawkins's reliance on VL Movement Five in 1A1/4, 1A2/4, and 1A3/4 forbids him to use the melody note F, since it is not part of $A♭_{min}^7$, except in 1A3/4 in which F is pushed into 1A3/5 as 7^{th} of G_{min}^7.[59]

[58] See §1.6.
[59] See discussion under example 4.15.

Let us now turn to Hawkins's out chorus, which takes place after the piano solo and closes this recording of 'Don't Blame Me'.[60] Hawkins does not play on the B section, but he gives us three more A sections (example 5.6). He improvises more abundantly and with fewer references to the melody. With this observation in mind, we could roughly define the first chorus as an exposition of the theme, and the second one as a solo. But on the one hand, as we have seen, although Hawkins's phrases, throughout the first chorus, keep the melody as their governing principle, that melody is never stated straightforwardly even then – the technique is Theme Variation rather than Paraphrase (which would be the expected one for an exposition of the melody). The out chorus, on the other hand, is not disconnected from the melody, as is too often the case in a jazz solo. What we have is rather a constant grounding of Hawkins's phrases in the melody of the song, coupled with a progressive distancing from it as Hawkins needs more musical space to implement other factors.

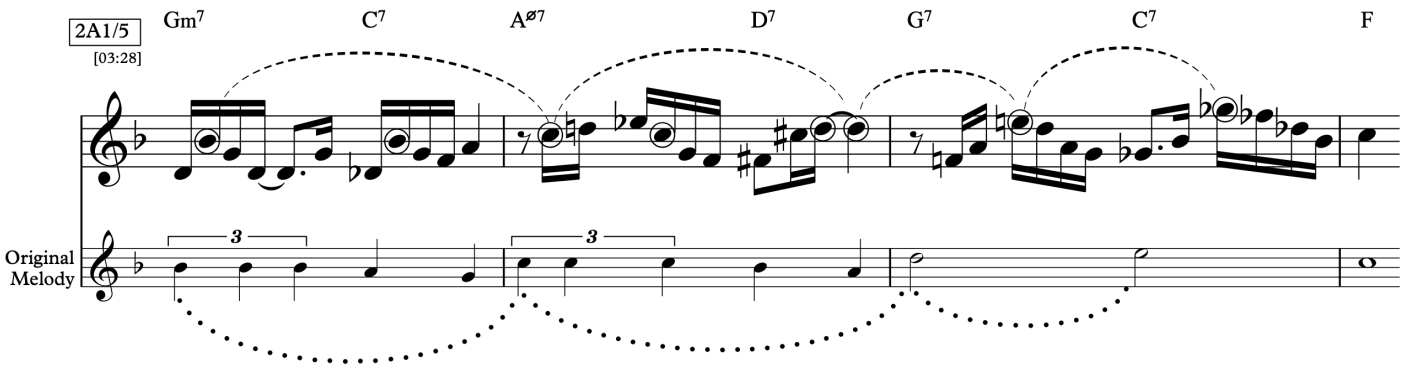
In 2A1, the VL Combination discussed in §4.7 becomes Hawkins's point of structural focus, in lieu of the original melody. But these two concerns are not mutually exclusive. As shown in example 5.5, the melody is itself a line that descends from $\flat\hat{7}$ in A/1 to $\hat{1}$ at the end of A/4. This descent is diatonic (except for the initial $\flat\hat{7}$), therefore Hawkins has to divert from the melody in order to establish a *continually* descending and *chromatic* voice-leading thread. At the beginning the two coincide: in 2A1/1/3-4 Hawkins keeps $\flat\hat{7}$, and in 2A1/2/1-2 he keeps $\hat{6}$. In 2A1/3 Hawkins can include the melody in the 'inside' of his phrase segments, but he has to delay the melody notes into the next bar; in 2A1/5 he delays them to the end of the same bar.

[60] The musicians modulate down a whole step to the key of D♭ for the piano solo, and then back up to E♭ for Hawkins's return.

EXAMPLE 5.6: Theme Variation in ‘Don’t Blame Me’, out chorus [03:14].

After having reached the end of its course at $\hat{1}$ in A/4/4, the melody moves back *up* in A/5 by repeating the $\hat{4} – \hat{4} – \hat{4} – \hat{3} – \hat{2}$ motif of A/3 (which lacked $\hat{2}$ because it pushed it as an accented passing tone into the next bar over the I harmony), then transposing it up a step (diatonically, within the key) to $\hat{5} – \hat{5} – \hat{5} – \hat{4} – \hat{3}$, then continuing the ascent with the 'bland' zone $\hat{6} – \hat{7} – \hat{5}$. Thus, ignoring the second half of the transposed motive, in A/5-7 the melody moves from B♭ to C to D to E, delineating a $\hat{4} – \hat{5} – \hat{6} – \hat{7}$ ascent. Hawkins's descending and chromatic voice-leading thread stopped at the end 2A1/5 (see example 4.23). At the beginning of the same bar, in a startling dovetailing gesture, he starts following the melody's diatonic ascent: the B♭s at 2A1/5/1 and 3, and the Cs at 2A1/6/1 and 2, are placed above their respective melody notes; D at 2A1/6/4 anticipates the melody note of the next beat at 2A1/7/1, and E at 2A1/7/2 anticipates the melody note of the next beat at 2A1/7/3. The anticipation of D and E frees 2A1/7/3-4 of the melody note E, allowing Hawkins to extend (amazingly) the diatonic ascent, which proceeds by whole tones, one more step to G♭, reaching out of the key of F major, and establishing what can be heard as a whole-tone scale ascent: B♭ – C – D – E – G♭ (example 5.7).

EXAMPLE 5.7: Diatonic ascent in 'Don't Blame Me' 2A1/5-7 [03:28].



Hawkins resolves this striking dissonance to the melody note C at 2A1/8/1 (as shown in example 4.25, this C can also be analysed as the resolution of the D♭ found at 2A1/5/3). Although in the melody it marks the beginning of the ascent, in Hawkins's improvisation it is difficult to hear B♭ in 2A1/5 as anything else than the penultimate note in the chromatic descent established in 2A1/1-5. So the ascent, in Hawkins's

improvisation if not in the melody, is perhaps better understood as starting with C in 2A1/6, which corresponds to the passage designated as 'divertimento' in example 4.25.

In 2A1/7, 2A2/7, and 2A3/7 we find again D minor, the 'important minor' of G^7 used by Hawkins in the same point in his first chorus, and based on the melody note D. In 2A1/7 and 2A3/7, the treatment of D minor is similar: an ascending triad with an E appoggiatura. In 2A1/7/2, this E can be considered a melody note because it is part of the diatonic ascent just discussed, itself derived from the melody. In 2A3/7, however, the melody note in Hawkins's phrase is rather the E appearing in beat 3 (as was the case in 1A1/7/3, 1A2/7/3, and 1A3/7/3), rather than the appoggiatura in beat 2.

In 2A2/1-2 Hawkins keeps the three first melody notes (C, E♭, D). Then he disregards the melody for four bars. He uses again the melody's $\hat{6} - \hat{7} - \hat{1}$ in 2A2/7-8 as a spring board for his phrase segments, as he did in 1A1/7, 1A2/7 and 1A3/7, and will do a last time in 2A3/7-8.

In 2A2/4 Hawkins resolves to A on the downbeat, as in 1A3/4: but there the preceding B♭ melody notes were present, and the delayed A appeared to be a melody note. In 2A2/3 the B♭s are not present, and A is either a reminiscence of the general phrase shape of 1A3/3-4, or simply a resolution to the 3rd of F.

In 2A3/1-2, after the piano solo, for the first time Hawkins ignores the characteristic $\flat\hat{7}$ and $\hat{6}$ of the melody, delineating instead the A – G – F♯ descent commented in example 4.4. The melody notes $\flat\hat{7}$ and $\hat{6}$ do appear, but as part of busy upward-moving scalar segments. In 2A3/3-4, B♭ and A are displaced, but not repeated, and better understood as non-melody notes.

In 2A3/4, G could be considered a melody note, but since the melody notes preceding it are not present, Hawkins probably selected it for harmonic reasons. G is the 7th of the iii_{min^7} chord he has substituted for I in order to implement VL Movement Five, and he also puts G♭, the 7th of $\flat iii_{min^7}$, at the top of the next segment, which seems to confirm this view.

Although I might have considered more notes as referencing the melody in 2A3, if my reading is correct it seems that, at this stage of his improvisation, Hawkins has almost entirely taken leave of the melody. He gives us six bars with no clear reference to it – the longest such stretch so far. Significantly, it takes place in the very last A section. If we

count the number of bars with no direct reference to the melody in each A section, we get the following results: 1A1: zero, 1A2: one, 1A3: one, 2A1: one, 2A2: four, 2A3: six.[61] One of the large-scale structural tools applied by Hawkins in this solo, then, is to start from a relatively close set of variations on the melody in the first chorus, with a maximum of one thematically unrelated bar per A section, to a marked increase in the abandonment of references to the melody in the out chorus: 2A1 has one bar unconnected to the melody (the same ratio as 1A2 and 1A3), 2A2 has four, and 2A3 culminates with six bars out of eight emancipated from the melody. The two remaining bars of this last A section, in which Hawkins bases again his phrases on the melody, are the two last ones. Hawkins, after having little by little departed from the melody, returns swiftly to it in the concluding cadential zone,[62] in order to bring his solo, and with it this impressive recording of 'Don't Blame Me', to a coherent closure.

In the last A section, as Hawkins reaches the outmost point of estrangement from the melody, pianist Teddy Wilson compensates by playing bits of the melody in his accompaniment. Is this a coincidence? Or has Wilson heard and understood the large-scale operation that Hawkins has been engaging with over two choruses, the step-by-step detachment from the melody? Perhaps Wilson waited until this plan reached its last stages, and chose that moment to complemented it with a passing but eloquent nod at the melody. If this be true, it would refute the notion that musicians do not take into account large-scale organisation as they play.[63]

[61] The only B section improvised on by Hawkins, 1B, had four bars with no reference to the melody, but as discussed regarding example 5.3, it might be due to other factors than a deliberate structural plan.
[62] See discussion of example 5.1.
[63] See §4.9.

§5.6 Theme Variation in 'I Can't Get Started'

As shown in examples that drew from it in chapters 3 and 4, 'I Can't Get Started' is a particularly complex improvisation even by Hawkins's standards. Even in such convoluted phrases, he still relies upon the melody a good deal, but the frequency of references to the melody is closer to the out chorus of 'Don't Blame Me' than to its first chorus. There are two reasons for this.

The first is that the melody in the A sections of 'I Can't Get Started' is mostly written in eighth notes, with considerably fewer long notes than in 'Don't Blame Me'. It is a more complex melody, leaving less space to add improvised notes within its own notes. Hawkins solves this problem by situating most of his phrases at the sixteenth-note level of subdivision, and in compound metre (sextuplets, see examples 3.4 to 3.6). This transforms the melody by augmentation, as if it had been written in quarter notes, and creates space within its notes to apply Theme Variation. Hawkins's solution puts him in a situation similar to Third Species Counterpoint: for each eighth note in the melody-cantus, he can play three notes when subdividing in sextuplets.[64]

The second reason for the comparatively restrained application of Theme Variation in this solo is that Hawkins, as shown in §4.6, implements a diatonic descent over one octave and a half, and over five bars of each A section. This descent does not coincide much with the melody, except in bars A/3-4 in which the same notes appear but not in the same order. Therefore, the two schemes are mutually exclusive, and Hawkins choses to privilege the song's voice-leading features over its melody notes.[65] This said, it is still worth considering a few salient aspects of 'I Can't Get Started' from a Theme Variation perspective. In example 5.8, the full chorus is proposed in order to illustrate the comments below, and to give a better idea of the contrast between zones derived from the melody and zones left unaffected by it.

[64] In Third Species Counterpoint, there would be four notes against one: quarter notes against whole notes.
[65] See last paragraph of §4.6.

EXAMPLE 5.8: Theme Variation in ‘I Can’t Get Started’ [04:32].

1B
[05:39]
B7
F♯m7
B7
E
E
Em7
A7
Em7
A7
D/F♯
B7
E7
A7
1A3
[06:13]
D
Bm
Em7
A7
F♯7
Bm
E7
E♯o7
D/F♯
Bm
Em7
A7
D
Gm
D

The three phrases that constitute the A sections of 'I Can't Get Started' each start with a pick-up of three eighth notes, outlining a 7th chord (I_{maj}^7 for pick-ups into A/1 and A/5, iii_{min}^7 for pick-up into A/3). The bridge is also introduced by a three-note pick-up, turned into quarter notes by augmentation, and delineating a I^6 chord. Hawkins draws from these pick-ups on several occasions, with arresting rhythmic inventiveness. He transforms them in three main ways: by diminution, turning the melody's eighth notes into sixteenths, quintuplets, or sextuplets; by displacement, moving some pick-ups into the next bar;[66] and by the addition of intermediary notes in between the melody notes. Sometimes he moves the beginning of the pick-up into the higher octave, and omits some of its notes.

- The pick-up into 1A1/1 is in diminution, with its first half in the higher octave; notes are then added to it, which causes a displacement of its second half.

- The pick-up into 1A2/1 is in diminution and displaced, the E appoggiatura before D being the only added note; since the initial D is missing and since E is present, the chord outlined (if E is not considered to be an appoggiatura to D) is a iii_{min}^7 and could be regarded as the 'wrong' pick-up, i.e. the one that should lead into A/3.

- The pick-up into 1A2/3 is in diminution, and fragmentary: its second half is not used; it is moved into the higher octave.

- The pick-up into 1B/1 is the closest to the melody's: it appears in diminution, but is not displaced and is in the correct octave; however the last note is missing.

- The pick-up into 1A3/5 is displaced, is in diminution, is fragmentary, and has notes added to it; yet it remains clearly audible as a reference to the melody.

Another Theme Variation procedure used by Hawkins is to insert intricate rhythms into the melody by repeating melody notes. This is indicated in example 5.8 with arrows pointing at each note and from each note (in earlier examples, for the most part, only displaced notes were so indicated). Each time (with one exception), two notes from the melody are chosen by Hawkins to be repeated. There is a pragmatic explanation for that: two notes are enough to establish a fragmentary evocation of the melody, there is no need

[66] By thus depriving them of their 'pick-up quality', and by installing them in the bulk of the musical discourse, Hawkins achieves a major shift in rhetorical terms. As a pick-up, a phrase segment leads into a note which it accentuates and renders more meaningful; displaced within the next bar it becomes thematically pregnant, itself the centre of attention. To move a pick-up well into the next bar is a daring rhythmic gesture that can be described as 'extreme delay of melodic material'.

for more. In a few instances the two repeated notes are selected from the middle part in a phrase of the melody, and preceded and/or followed in Hawkins's elaboration by other melody notes. Two notes picked for repetition is the right amount to avoid jeopardising the connection between the improvised phrase and the song's melody, which would run the risk of becoming overly stretched out and unrecognisable if more of its notes were to be repeated. For the same reason, in most cases Hawkins repeats each note only once.[67]

These repetitions function as 'multiplications by two' of some melody fragments. As mentioned above, the principal technique that permits these repetitions is rhythmic diminution. The diminution ratio applied by Hawkins in each case is indicated (approximately) in the following list, after the designation of the melody notes and their rate of repetition.

- In 1A1/2/1 the repeated melody note A is better heard as a single note with F♯ as a short embellishment, rather than a rhythmic repetition.

- At 1A2/2/3 the two melody notes F♯ and A are repeated; the diminution ratio is of eighth notes to sextuplets.

- At 1A2/3/4 and into 1A2/4/1, the two melody notes B and C♯ are repeated; the diminution ratio is of quarter notes to sixteenths.

- At 1A2/5/4 and into 1A2/6/1, the two melody notes F♯ and G are this time repeated twice (i.e. they are sounded three times), and followed by the (unrepeated) A that concludes the melody fragment; the diminution ratio is of quarter and eighth notes to quintuplets.

- In 1B/5 we have our exception: a single note is selected (naturally, since there is only one note in the melody in that point) and sounded seven times; the diminution ratio is of a whole note to sextuplets and to thirty-seconds.

- At 1A3/1/2-3 the two melody notes D and B are repeated, and they are placed within references to the previous and next notes of the melody (C♯ before, F♯ and A after) which are not repeated; the diminution ratio is of eighth notes to quintuplets.

[67] By which I mean that he sounds the note then repeats it once.

- At 1A3/3/1-2 the two melody notes E and F♯ are repeated in the upper octave,[68] and followed by the two melody notes D and B, not repeated; the diminution ratio is of quarter and eighth notes to sextuplets and to thirty-seconds.

- At 1A3/6/1 the two melody notes F♯ and G are repeated; the diminution ratio is of quarter and eighth notes to sextuplets and to thirty seconds.

For reasons already discussed regarding 'Don't Blame Me', Hawkins is less preoccupied with establishing thematic references in the B section. Yet, at this point, the melody of 'I Can't Get Started' suddenly becomes spacious, with no fewer than three whole notes. These are such a big target as to be almost inescapable, and in 1B/3/1 Hawkins resolves his phrase segment on the melody note B. Another whole note from the melody, B at 1B/5, becomes the centre of Hawkins's arpeggiations, appearing seven times in the bar, and defining the outer fringes of Hawkins's phrase segment in beats 1 and 2. As indicated above, Hawkins uses the pick-up into 1B/1, in rhythmic diminution. But this, along with the two Bs at 1B/3 and 1B/5, are Hawkins's only direct references to the melody in the B section of 'I Can't Get Started'. The rest of the time he is absorbed in the deployment of the voice-leading movements described in examples 4.6 and 4.9.

A3 is a tour-de-force of thematic variation, and the resolution of a musical conundrum. Hawkins manages to combine two apparently contradictory priorities: busy intensity with focused thematic variations. This is the last A of a solo chorus (as opposed to an expository chorus) calling for some kind of climactic intensity, which tends to disqualify references to the melody in favour of a freer approach more susceptible to accommodate virtuosic gestures. Hawkins fulfills this requirement with the vehement holler on three high Bs at 1A3/4/2-3. At the same time he manages to keep his phrases strictly grounded in the melody throughout this last A section, with most of the melody's notes being used.

As we have just seen, the bridge had but few references to the melody (two notes plus the pick-up into 1B/1). A1 had about three to four bars and A2 about four to five bars referencing the melody. But, in A3, every one of the eight bars contains phrase segments derived from the melody. Hawkins establishes a large-scale design functioning in the

[68] Almost as if Hawkins, having first played the melody notes E and F♯ in the lower octave, repeated them in their correct range an octave up in the second part of his phrase.

reverse manner than the one brought to fruition in 'Don't Blame Me': he goes from less melodic references to more as he progresses in the solo. This process culminates in the last A, with an almost miraculous balance between sheer live excitement and a stern application of Theme Variation.[69]

As discussed earlier, the melody of 'I Can't Get Started' is remarkable for its many pick-ups. In bar 5 of the last A, a last pick-up is added by composer Vernon Duke. It did not appear in bar 5 of A1 and A2. It outlines a $G_{maj}^{7\sharp5}$ chord:[70] this is a striking moment, for it introduces, albeit evanescently, D♯, the second chromatic note in the entire song, after B♭ in A1/6 and A2/6.[71] Strangely, this occasion of colouring a phrase is not seized by Hawkins. Perhaps the reason is that D♯, although a welcome and unexpected addition, is there to help bring the last A to a close. It is not part of the core material defining the song, and most likely to be used by Hawkins, even on an unconscious level – let us remember that he is performing live in a big hall and certainly not reading from a chart that might have brought back to his mind this peculiar element of the song.

The other chromatic note of 'I Can't Get Started', B♭ in 1A1/6 and 1A2/6, is used by Hawkins, although not in a melodic manner. Instead, Hawkins expands it into an E♭ chord, of which it is the 5th, and which he uses each time at that juncture in the A sections, as the tritone substitution of the band's A^7. The B♭ in 1A2/6 might also be interpreted as a reference to the melody since it is preceded by the melody note A.

The A sections of 'I Can't Get Started' are composed of three phrases. The first phrase goes from the pick-up of bar 1 to the middle of bar 2. The second phrase goes

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[69] 'I Can't Get Started' was recorded during a Jazz at the Philharmonic concert. See Chapter 3, footnote 37.

[70] This chord is found on the third of the minor melodic mode. In its contrapuntal form, it is not a chord but the result of a double suspension of $\hat{7}$ and $\hat{2}$ (3rd and 5th of the dominant) over a minor triad, usually in first inversion. The two dissonant notes resolve to $\hat{1}$ and $\hat{3}$, or both to $\hat{1}$. Haydn's *Sonata in D major* (Hob: XVI/37), second movement 'Largo e sostenuto', bar 13, features this 'chord' in D minor. Haydn resolves $\hat{7}$ and $\hat{2}$ to $\hat{1}$ and $\hat{3}$, doubling $\hat{3}$ (an example that the doubling of the 3rd in a first inversion chord can actually sound well if skillfully introduced). In Liszt's *Vallée d'Oberman*, at Più lento, bars 26-31 counting from the beginning, it appears twice, the first time in E♭ minor, and the second time in A minor, in what is without doubt one of the most beautiful sequences ever composed. Liszt resolves both $\hat{7}$ and $\hat{2}$ to $\hat{1}$. Barry Harris is fond of this passage and he uses it occasionally in his workshop. The double suspension of $\hat{7}$ and $\hat{2}$ is an application of what he defines as 'borrowing from the diminished'. In 'I Can't Get Started', this contrapuntal movement is deployed melodically (i.e. within one single voice) rather than harmonically, the G – B – D♯ – F♯ arpeggio resolving to G and E ($\hat{3}$ and $\hat{1}$ of the minor chord, here E minor, the supertonic in the key of D).

[71] The G♯s in B/2 are not chromatic: they are diatonic to the key of E to which the song modulates for four bars.

from the pick-up of bar 3 to the middle of bar 4, and is an exact diatonic transposition, a third up, from the first. The third phrase goes from the pick-up of bar 5 to bar 7, and is the same as the first one, with a short tail added in bar 6. Thus, since the second phrase is a transposition, and the third a repetition, the materials of the song are contained in its first phrase, which possesses determining structural weight. It is not surprising, then, that Hawkins focuses his attention on the first phrase of the melody, in each A section of his solo: all melody notes are used in 1A1/1-2, and nearly all melody notes in 1A2/1-2 and in 1A3/1-2. The presence of most of the song's materials in its first phrase may have prompted Hawkins to consider that, in terms of Theme Variation, it is satisfactory to address the melody exhaustively each time in bars 1 and 2, and to depart from it in the rest of the A sections. But this does not mean that he does not use melody notes elsewhere. As we have seen, he does so in a carefully graded way, more and more intensely as the solo advances. In general, however, in the remainder of the A sections he picks only a few melody notes per phrase. The last A is the most grounded in the melody. For the first time, Hawkins treats the second phrase of the melody with as much care as he has so far lavished on the first phrase; except for the pick-up, he omits only one melody note (A) in 1A3/3-4.[72]

[72] In 1A3/2, Hawkins's phrase ends on F♯, which is the melody note there. I have put an arrow to link these F♯s, although this is an ambiguous moment. The melody note F♯ is part of the pick-up to the next phrase of the melody, and it seems unlikely that the end of Hawkins's phrase would target the beginning of a pick-up. But it is possible that F♯ was in Hawkins's ear at that moment because of the melody, and that he was drawn to it as he finished his phrase.

§5.7 Paraphrase and Theme Variation in 'Just One More Chance'

In the first A section of 'Just One More Chance', as shown in example 3.1, Hawkins animates the melody with triplets and sextuplets. Because the main factor in operation is rhythm, most melody notes are kept, and few improvised notes are added, with the result that the melody is clearly perceptible: this is more Paraphrase than Theme Variation. As Hawkins's improvisation unfolds, the relationship between melody and improvised phrases is maintained tightly, but a seamless shift from Paraphrase towards Theme Variation takes place. Most melody notes are still used, but the melody becomes more difficult to hear.

Hawkins takes one full chorus, plus half a chorus at the end. On a total of forty-eight bars, only the following eight contain one or two melody notes that are not accounted for in his improvisation: 1A2/7, B♭; 1B/5, D and C; 1B/8, E and G; 1A3/6, F♯; 2B/3, D; 2B/5, D and C; 2B/6, B; 2A3/6, F♯. Only three bars are entirely disregarded: 1A1/8, 1B/3, 2B/8. Easily over 90% of the melody notes are used by Hawkins throughout. Even in the last A section of the recording, where the rhythmic texture is saturated with thirty-seconds (see example 3.14), a high ratio of melody notes are used in the improvisation.

The same techniques used in 'Don't Blame Me' and in 'I Can't Get Started' can be observed in 'Just One More Chance':

- Selection and repetition of notes occur in 1A1/6-7, 1A2/6, 1A3/1, 2B/7, 2A3/1, 2A3/5, and 2A3/6-7. Not surprisingly, the selected melody note in several of these repetitions is the melody's distinguishing $\hat{6}$.[73]

- Diminution, as expected, occurs in each place just listed containing repeated notes, because a note has to be made shorter in order to be reiterated within an equivalent time span. But virtually every melody note in 'Just One More Chance' appears in rhythmic diminution in the improvisation. Some instances of rhythmic diminution imply two consecutive notes, in which cases diminution is not merely a manner of adding rhythm within the melody by allowing for repetition, but the contraction of a melody segment, placed within the improvised phrase, as in 1A2/6-7, 1B/1, 1B/2, 1B/6, 1A3/3/4, 2B/1, 2B/2, 2B/6, and 2A3/3.

[73] See discussion under examples 4.12 and 4.13.

- Augmentation: it is exceptional for Hawkins to hold a melody note for longer than it is written in the chart, but he does so in 1A3/3/2 and in 1A3/5/3, both times with the melody's distinctive $\hat{6}$.

- Displacement by anticipation occurs in 1A1/6-7, 1B/1, 1B/2, 1B/7, and 2B/1.

- Displacement by delay occurs in 1A1/6-7, 1A2/5-6, 1B/1, 1B/2, 1B/6, 1A3/1-2, 1A3/3-4, 1A3/5-6, 2B/1, 2B/2, 2B/6, 2A3/3-4, and 2A3/5-6.

- Addition of notes linking one melody note to the next: in 1A1/2/1, D between B and B; in 1A1/3/4, 1A2/3/4, 1A2/6/1, 1A3/4/1 A between F♯ and F; in 1A3/6/1, B between F♯ and F; in 1A2/1/4, G and D; in 1A2/6/4, D; in 1B/2/4, B between D and C; in 1A3/1/4, G and E between A and B; in 1A3/2/1, D between B and B; in 1A3/4/1 and in 1A3/6/1, A and C between F and E; in 2B/2/2, B between D and C; in 2A3/1/3, D between B and B; in 2A3/4 many notes between F♯ and F and E, as shown in example 4.7.

I have described how Hawkins integrates details found in the published sheet music of 'Don't Blame Me' to his improvisation.[74] Another example of this process can be observed in 1B/5 of 'Just One More Chance'. Hawkins and pianist Earl Hines play F^7 into E^7, going to A minor in 1B/6. Instead of this, the sheet music has $G\sharp^{o7}$ followed by E^7, which is the same V harmony. Hawkins's and Hines's choice of playing ♭VI to V departs from the sheet music, and adds movement to the passage. But the two musicians integrate the song's melody into their harmonic modification. At 1B/5, the melody note over $G\sharp^{o7}$ and E^7 is B (in repeated eighth notes). This B is kept by Hines and Hawkins for their F^7 chord, making it $F^{7\sharp11}$ – a choice also motivated by the fact that F^7 is not V of B♭, but ♭VI of the key of A minor, which does not include B♭.

[74] See discussion under example 5.3.

EXAMPLE 5.9: Paraphrase and Theme Variation in ‘Just One More Chance’ [00:08].

D7/A
D7
D7/A
D7
D7/A
D7
G
Eb7
D7
G
(Piano solo 16 bars, Guitar solo 8 bars,
Piano solo 8 bars)
2B
[03:48]
G7
C
Cm
G
F7
E7
Am
A7
D7
2A3
[04:16]
G
G6
G
G+
G6
G#o7
D7/A
D7
D7/A
D7
D7/A
D7
D7/A
G

§5.8 Conclusion

In the 1940s, Coleman Hawkins's technique of predilection, from a melodic standpoint, is Theme Variation rather than Paraphrase. The melody of the song remains hidden to the ear, and analysis is needed to reveal its presence.[75] The harmonic elements of his phrases (arpeggios, chromaticisms, suspensions, appoggiaturas, etc.), by contrast, strike the listener with immediacy. For that reason, it seems more sensible to consider that Hawkins's main reference when improvising is the song's chord sequence. As discussed at the beginning of this chapter, many jazz critics have adopted this view, and Hawkins has predominantly been presented as a 'vertical' player. Such a reception of his style formed early, and it is possible that in the 1920s and 1930s it was in part accurate.[76] Hawkins himself seems to have admitted to it, according to pianist Stanley Black, who recalls discussing the issue with him during a recording session on 18 November 1934: 'I explained that I was always more interested in harmony than in melody and he laughed and said, "You and me both"'.[77] But in the 1940s, as I hope this chapter has demonstrated, Hawkins, when performing ballads, centres his improvisations on the melody. Furthermore, his harmonic approach, as discussed in Chapter 4, is organised around voice-leading movements. If anything, we have to conclude that Hawkins is a horizontal improviser.

But there is no need to limit his musicianship even to that qualification. In fact, just as he balances rhythm, harmony, and melody, he balances horizontality and verticality at all times. He does not choose between these paradigms. Instead, he constantly shifts which one receives more attention at a given moment. Close examination of the same three performances from the perspectives of rhythm (Chapter 3), harmony (Chapter 4), and melody (Chapter 5) confirms this view, by revealing that a passage improvised by

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[75] In the same way, we tend to dismiss the possibility of large-scale tonal organization because it is difficult to hear. See Conclusion of Chapter 4.

[76] Even in the first half of the 1930s, the harmonic element was only one amongst many others, as shown by Alan Henderson, who identifies several other techniques at work, such as motifs, target tones, phrase variation, and sectional variation (1981, 91-94). Henderson is critical of the view that Hawkins is essentially a harmonic player: 'Harmonic materials are undoubtedly of great interest to Hawkins and of great importance in his playing, but I cannot agree that he is simply expressing chords in his solos' (1981, 36).

[77] Quoted in Chilton 1990, 107. Regarding his solo on 'Body and Soul', Hawkins remarked to Thelonious Monk: 'Where is the melody? […] ain't no melody, ain't no real melody in the whole piece!!' (DeVeaux 1997, 100, quoted in Zsoldos 2000, 28).

Hawkins often draws from two or three techniques at once. For example, in 'Don't Blame Me' 2A1/1-5, a double voice-leading thread deployed over several bars is enlivened by the alternation of simple and compound metre, while being simultaneously connected to the song's melody (see examples 3.12, 4.23, and 5.6).

By contrast, a common trend in jazz writings is to sunder melody from harmony, and vertical from horizontal. Pianist Dick Katz wrote in a review of *The Art Tatum – Ben Webster Quartet*:[78]

> Tatum and Webster […] are masters at paraphrasing a melody, and both lean heavily on the 'variations on a theme' technique, rather than the 'running the changes' style (Coleman Hawkins, for example).[79]

The view that a thematic approach is not compatible with a chord-based one traces back to Hodeir, who advanced that a phrase in a jazz solo is either of the 'paraphrase' kind (ornamentation of the melody) or of the 'chorus' kind (based on the chord sequence).[80] It implies that the two approaches are mutually exclusive. Hodeir accepted that both could co-exist in succession, but apparently not that they could be acting in conjunction. In his view, Hawkins's solo on 'Body and Soul' starts as a melodic paraphrase, and as it develops into a more intense texture in the second chorus, the harmonic structure becomes its base.[81]

But melody and harmony can be construed as being interdependent in tonal music. We can recognise that melodies and chords are different entities, functioning according to their own rules, while affirming that they exist in conjunction. Construing tonal music as being purely polyphonic or purely homophonic unnecessarily limits our purview. A

[78] Verve MGV 8220, recorded 11 September 1956.
[79] Katz 1964, 66. Katz had performed with Hawkins on Benny Carter's album *Further Definitions* (Impulse A-12, recorded 1961). In an interview conducted by Marc Myers, he commented: 'That session was the high point of my career. There was a lot of great playing there as well as warm joking around and nice feelings' (undated interview, online: <https://www.jazzwax.com/2009/07/interview-dick-katz.html>, published 22 July 2009, accessed 7 April 2020).
[80] Hodeir 1956, 144. Gunther Schuller also uses these categories (1958, 240). See §2.1 to §2.3, and beginning of the present chapter.
[81] Hodeir (1956, 144, quoted in Tirro 1974, footnote 2) says that the second chorus features phrases 'in which the only thing the theme and the variations have in common is the harmonic foundation'. But Zsoldos (2000, 10-15) provides examples, taken in the second chorus, of phrases conceived around the melody of 'Body and Soul'.

song's melody may have been composed first and harmonised afterwards; it might have acquired a memorable turn when adapting to an underlying chord; a chord sequence might have pre-existed and inspired a melody. Rather than considering that an improviser is either 'horizontal' or 'vertical', it is more fruitful to observe which paradigm receives more stress – or is called for as a generative force – in a given passage. Such was Sidney Bechet's advice to his student Bob Wilber:

> You start out with an exposition of the melody in which you want to bring out the beauty of it. And then you start your variations, but at first they are closely related to the melody. Then, as you go on to another chorus, you get further away – you do something a little less based on the melody but more on the harmony.[82]

'A little less based on the melody but more on the harmony': not melody only, followed by harmony only. Improvised variations can originate both from the theme and from its harmonic underpinnings.[83] They can be close to the melody (Paraphrase) or distant (Theme Variation). This is also the case in Western classical music: 'some variations follow the original tune closely, others make the briefest reference to it, sometimes harmonically rather than thematically'.[84] Furthermore, in order to take place, variations need the combination of two or three parameters: rhythm acts on the melody by subdividing the beat into smaller sub-beats so that notes can be added, while harmony guides how the added notes are to be selected and distributed.

We have seen at the beginning of this chapter that Henry Martin, fusing together the 'formulaic' and 'motivic' types of improvisation, proposes three types in lieu of the four ones obtained by combining Hodeir (1956) and Kernfeld (1983): 'paraphrase', 'thematic', and 'harmonic'. As discussed in §1.1, Parker's language is formulaic, and Martin's reduction to three types of improvisation, by questioning the distinction between

[82] Williams 1967/1979, 154.
[83] Gunther Schuller (1958, 248) writes of Sonny Rollins's solo on 'Blue 7': 'This then is an example of a real variation technique. The improvisation is based not only on a harmonic sequence but on a melodic idea as well'. In a footnote, he lists Rollins's predecessors in this regard, but in his opinion Hawkins is not one of them.
[84] Kennedy, Kennedy, and Rutherford-Johnson, 2012, 'Variation' entry. In this sense, most examples in Chapter 4 can already be construed as variations on the theme.

'motivic' and 'formulaic', underlines the ways Parker's formulas connect with the melody. In the case of Hawkins, the abandonment of the 'formulaic' type as a category for analysis is all the more relevant, since formulas are nearly absent in his playing. Furthermore, as discussed in §2.9, Hawkins is little invested in motivic interaction.[85] Therefore, as a general rule, no pre-conceived materials of his own, and no materials played by other musicians in the band, stand between Hawkins and the song. He can dedicate his full attention to it, drawing extensively both from its chord sequence and from its melody. Rather than insisting on the distinction between 'paraphrase', 'thematic', and 'harmonic improvisation', it may be more helpful, at times, to consider *how* Hawkins treats the materials thus designated.

Two main modes are observable. The first operates in relation to the song, fetching materials in a given bar (melody, harmony, rhythm) and varying them in the same bar;[86] the second operates by developing these materials, or other materials generated by Hawkins himself, over the course of several bars, in successive and motivically connected phrase segments. As a consequence, when analysing Hawkins's music, we might further reduce Martin's three types of improvisation to two: Thematic Improvisation (based on a song's materials, be they rhythmic, melodic, or harmonic, and subdivided into Paraphrase when the melody remains recognisable, and Theme Variation when the melody is hidden);[87] and Phrase Development (phrase-by-phrase development of materials, be they melodic, harmonic, or rhythmic, extracted from the song or spontaneously generated). Thematic Improvisation, in this broad definition encompassing melodic and harmonic materials, has been observed in Chapter 4 and in the present one. The next chapter is devoted to the study of Phrase Development.

[85] See also 'Implications for Scholarship' section in the Conclusion to this thesis.
[86] With anticipations and delays, variations can start in the previous bar or spill into the next one, as indicated by the arrows in this chapter's examples.
[87] As mentioned in footnote 38, on a ballad the recourse to rhythmic elements of the song are bound to be rare, whereas on a medium and up tempo number, they tend to be used widely by improvisers.

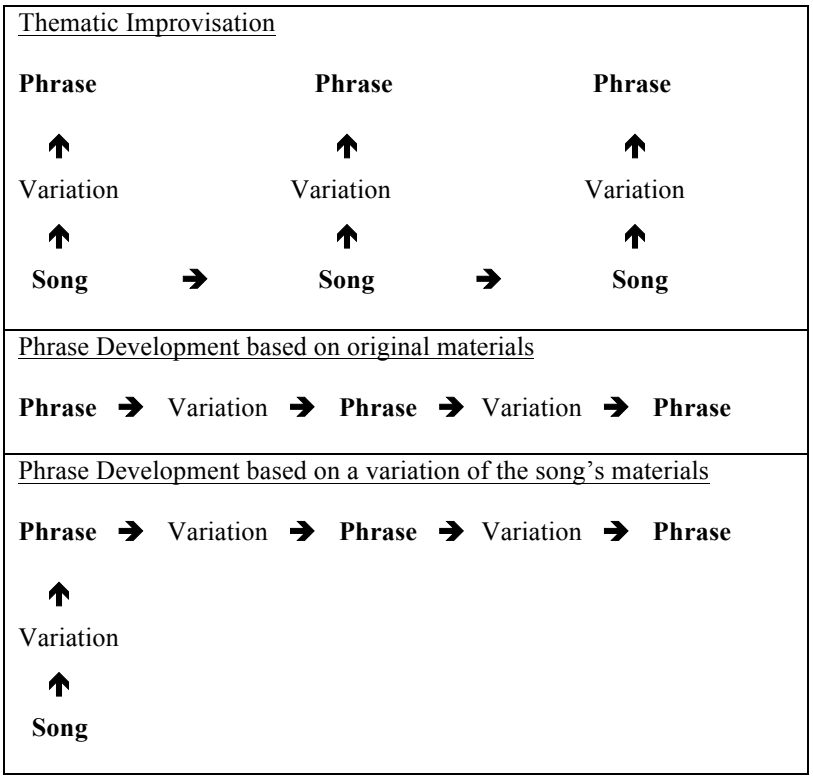
CHAPTER 6: DEVELOPMENT

> A great many musicians with good ideas jam them into the first part of their chorus, leave them as raw, inchoate, undeveloped ideas. Not the sophisticated master, Mr. Hawkins. Each of his ideas are stated, suitably considered, developed (if possible), and milked of every possible use. The result is that the good Hawkins solos are almost classical exercises in how to develop a jazz phrase into a whole chorus.[1]

Chapter 5 concluded with the suggestion that it is useful, when examining Coleman Hawkins's music, to distinguish between two main modes of operation: Thematic Improvisation and Phrase Development. Thematic Improvisation takes place when Hawkins uses materials found in the song at a given point and varies them. These materials can be melodic, harmonic, or rhythmic; they can be stated in a recognisable manner (Paraphrase), or serve as the base for more complex phrases (Theme Variation). Phrase Development occurs when Hawkins takes a phrase and develops it in the subsequent bars. That initial phrase may have been derived from the song, or may be original. The workings of these two techniques can be represented with arrows (table 6.1). In Thematic Improvisation, the generative movement goes from bottom to top, from the song to the improvised phrases. In Phrase Development, the movement goes from left to right, from phrase to phrase. When Phrase Development operates on a phrase which is itself a variation of the song, it begins as Thematic Variation, from bottom to top, and continues as Phrase Development, from left to right.

[1] Michael Levin, *Down Beat,* 20 October 1950, p. 2-3. Hawkins himself said that 'Some of these cats go way out and forget where they began or what they started to do. Bach will clear it up for them' (*New York Daily News,* 25 March 1965, quoted in Chilton 1990, 366; see beginning of Chapter 5). See also Harry Lim's quote under example 3.19.

TABLE 6.1: Thematic Improvisation and Phrase Development



Variation and development are distinct principles, but they often act together. Variations can occur for their own sake, without necessarily contributing to the development of a musical passage. Development, on the contrary, needs variation to gradually modify a motive and subject it to a process of growth. Arnold Schoenberg indicated the rapport of the two principles with the formula 'developing variation':

> Music of the homophonic-melodic style of composition, that is, music with a main theme, accompanied by and based on harmony, produces its material by, as I call it, *developing variation.* This means that variation of the features of a basic unit produces all the thematic formulations which provide for fluency, contrasts, variety, logic and unity on the one hand, and character, mood, expression, and every

> needed differentiation, on the other hand – thus elaborating the *idea* of the piece.[2]

Schoenberg's formula, although meant to describe a process found in written compositions, applies well to Hawkins's improvisational praxis, by clarifying that development proceeds from variation.[3]

Phrase Development consists in successive variations of the initial phrase. The developmental aspect comes from the unfolding in time, phrase after phrase, of successive and interlinked variations developing from one another (represented in table 6.1 by the movement from left to right). In Thematic Improvisation, be it Paraphrase or Theme Variation, be it based on melody or on harmony, there is, strictly speaking, no developmental effect. Variations are made on the song, in the same point as the materials serving as their basis; they arise from the song, bar after bar, without being developed from one another. The structuring element is the melody, which, being fixed like a cantus firmus, is not of a developmental nature.[4] In this sense, Thematic Improvisation forbids Phrase Development: since it continuously draws from the melody underneath, it occupies the musical space necessary to develop an initial phrase over several bars. But Thematic Improvisation and Phrase Development meet in what I have called Cyclical Development.[5] When Hawkins revisits thematic materials in the same points in each A section of an AABA form, and varies them each time, Theme Variation acquires a

[2] Schoenberg 1975, 397, quoted in Frisch 1984, 1-2. The essay from which this quote is extracted dates from 1950. Frisch (10) reproduces an example from Schoenberg's *Fundamentals of Music Composition*, in which the composer shows how to apply the principle of developing variation to a simple motive. Schoenberg uses rhythmic modification, addition of notes, reduction, omission of notes, rhythmic displacement, and change of metre. Compare with the examples of variations provided by Quantz (1752/2001, 140 ff).

[3] In §6.9, I briefly discuss other parameters (sound, dynamics, phrasing, etc.) used by Hawkins to develop an improvisation.

[4] As noted by Schoenberg (1975, 109, quoted in Frisch 1984, 2), in contrapuntal music 'the theme is practically unchangeable and all the necessary contrasts are produced by the addition of one or more voices'. As I have proposed in Chapter 4, when the prevalent technique is Theme Variation, the song's melody can be construed as an unstated cantus firmus, and Hawkins's improvisation as an added voice based on it.

[5] See examples 3.18 and 3.19, 4.2 and 4.3, 4.15, 4.18 to 4.20, 4.21 and 4.23, 7.3 and 7.4, and §7.4.

developmental agency, because variations are interconnected, and segue into each other, although at a distance of (generally) eight bars.[6]

Similar processes to the one I designate as Phrase Development have been described in various ways by jazz scholars. Gunther Schuller (1958) centres his analysis of Sonny Rollins's 'Blue 7' on the notion of 'thematic improvising', an approach to improvisation focused on the development of the motives provided by the theme.[7] Henry Martin (1996, 120) distinguishes between 'thematic reference' and 'thematic development': thematic references are (more-or-less modified) quotes from the melody; thematic development is similar to Phrase Development, when the initial phrase is derived from the song's melody. Another term, 'motivic development', comes closest to the process I examine in this chapter, when the motives that are subjected to development do not necessarily come from a song but can come instead from the improviser. I prefer the more generic term Phrase Development,[8] because although it often develops a motive, which can be provided by the song or by Hawkins himself, at times it is based on non-motivic or non-thematic materials, such as a melodic shape or a rhythmic figure. Therefore the broadest definition is of a phrase segment played by Hawkins, and which he subsequently develops over a few bars. In this chapter, when discussing specifically the developmental aspects of a phrase segment and of its subsequent variations, I designate each occurrence as 'cell'. These cells are numbered in order of appearance. The first phrase segment or Cell 1 is also designated as 'motive', because it provides the materials for the following cells (see 'Terminology' on pages xiv-xv).

Phrase Development can occur only as a result of a deliberate decision to reuse and develop a distinctive element of a phrase. This requires the renunciation of preconceived formulas, because their fixity precludes the principle of organic musical growth, as remarked by Henry Martin:

> Significant inclusion of large-scale formula, as frequently heard in [Charlie] Parker's solos, is generally incompatible with thematic

[6] A number of VL Movements examples in Chapter 4 cover several bars and could be considered to be developmental.
[7] Benjamin Givan (2014, 181) suggests that Rollins's 'Blue 7' does not come into existence as a written composition but rather as an ad lib headless blues, its initial motive improvised on the spot by Rollins.
[8] See also what Alan Henderson (1981, 179-180) calls 'phrase variation'.

> development […] and 'development' requires, conceptually, a conscious application of process.[9]

The clear intention governing Phrase Development makes it discernable by ear. Analysis shows how it operates, but is not needed to show that it is taking place. If, in chapters 3 to 5, I explored three performances in their entirety, in search of materials illustrating how Hawkins implements rhythmic, harmonic, and melodic techniques, in this chapter the procedure is inverted. I start from the technique under investigation, Phrase Development, and focus on a number of particularly significant examples collected, by ear, from various other performances. Because Hawkins often employs several techniques at once, I seize the opportunity to discuss how the techniques covered in chapters 3 to 5 are used in these excerpts (the notation used to indicate Theme Variation is explained in §5.4).

§6.1 'I Can't Get Started' (1952 Studio)

One of the simplest, and most common applications of Phrase Development results almost automatically from short harmonic sequences, such as iii – VI – ii – V, present in many Broadway songs, or added by jazz musicians, often at the end of the first A section, and called turnarounds. On a turnaround, the same melodic fragment can be applied twice, transposed to fit each part of the sequence, in this case once on iii – VI and once on ii – V. As examples 4.5 and 4.6 have shown, in the 1946 live performance of 'I Can't Get Started' Hawkins uses the turnaround to relate two phrase segments to each other, consolidating the coherence of his improvisation. Instead of applying a 'lick' mechanically, even in such places he improvises freely, and conceives his phrases along voice-leading or variational principles. He varies the second enunciation of the phrase, by adding or subtracting notes, or by displacing them slightly.

A studio version of 'I Can't Get Started', recorded some six years later,[10] provides an illustration of this kind of 'rudimentary' Phrase Development. It occurs, as could be

[9] Martin 1996, 120.
[10] Decca 28368, recorded 30 July 1952.

expected, in the same point in the form as example 4.5, the turnaround at the end of the first A section. In the 1946 version Hawkins's solo came after several choruses played by others, but in this recording, this is the first chorus. Hawkins is unusually close to an 'expository' chorus, with less complex and more explicit variations of the melody: he uses Paraphrase rather than Theme Variation. We are at present concerned with Phrase Development, but notice how in 1A1/7-8 of example 6.1 this technique is surrounded by clear references to the melody in 1A1/6 and 1A2/1.[11]

EXAMPLE 6.1: Phrase Development in 'I Can't Get Started' (1952 studio recording) 1A1/6-8 [00:21].

In 1A1/7 the melody is a F♯ whole note. Hawkins plays it as a half note, in order to clear enough room to insert an episode of his own on the turnaround. This episode is made of two phrase segments which show a simple but efficient application of Phrase Development. Hawkins plays an idea on B^7 (V/ii or VI), and then the same idea modified melodically (the fourth F♯ – B of the first motive is now the fifth E♭ – B♭) and rhythmically (the two phrase segments are identically placed, but the first one is phrased in a mixture of sixteenths and sextuplets, while the second one is entirely in sixteenths). The second phrase segment is adapted to fit the tritone substitution of V ($E♭^7$ instead of A^7).

The sense of purpose deriving from the developmental logic which unites these two phrase segments is emphasised by B and B♭, the two lower notes on the tenor saxophone.

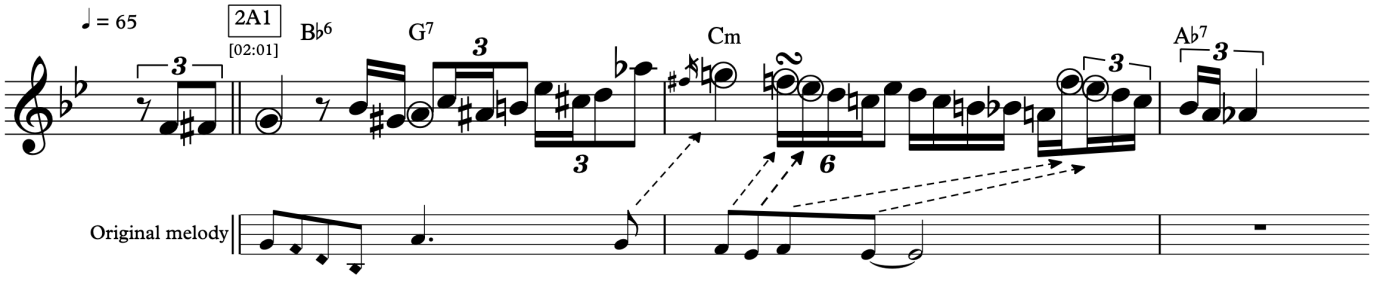
[11] Several examples in this chapter feature the same apparatus used in Chapter 5: ossia staff with the song's melody in regular noteheads when notes are used in Hawkins's phrases, and in diamond noteheads when they are not; circled notes in Hawkins's phrases showing which ones are derived from the melody; arrows linking one to the other when deemed necessary.

Usually these notes are used for effect rather than content;[12] it is rare to hear them in such a strictly conceived tonal phrase. We almost expect to hear a low A ($\hat{5}$ in D major) in a third repetition of the first motive, but that A is out of range,[13] and Hawkins reverts to a variation of the song's melody. Since his episode has filled 1A1/7-8, Hawkins has to push ahead the melody's pick-up into 1A2/2, in rhythmic diminution (sixteenths instead of eighth notes).[14]

§6.2 'My Ideal'

Let us now turn to a situation in which Phrase Development occurs for its own sake, not in response to a turnaround. Example 6.2 is taken from the second chorus improvised by Hawkins, when he returns after Art Tatum's piano solo, on his 1943 recording of 'My Ideal'.[15]

EXAMPLE 6.2: Phrase Development in 'My Ideal' 2A1/1-3 [02:01].



[12] For example in Jimmy Forrest's 'Night Train' (United 110, recorded 27 November 1951). Hawkins had used a similar effect in his solo on 'The Big Head' (Clef 8909, recorded 29 August 1949), playing low B♭s for an entire chorus.

[13] Low A can be sounded by sticking one's knee into the bell of the saxophone, but this is a perilous move to attempt in the studio; furthermore Hawkins was not of a high size and this gesture is facilitated by being tall, as demonstrated by Dexter Gordon, who was notoriously fond of it, and notoriously tall (one of his composition is titled 'Tall Dexter').

[14] See §7.4 for other instances of Phrase Development taking place on turnarounds.

[15] Richard A. Whiting, Newell Chase, and Leo Robin (1930). Commodore 45-7540, recorded 4 December 1943. A live version, also with Art Tatum, was recorded on 18 January 1944. 'My Ideal' is in the common ABAC form, but each section is four bars long instead of eight. Other songs with four-bar sections, but in AABA form, are 'Gee Baby, Ain't I Good to You' and 'Blue and Sentimental'. Also totaling sixteen bars is the AB form with eight-bar-long sections, as in 'Lovely to Look At'.

In the pick-up to 2A1/1, Hawkins approaches the melody note G with two lower neighbours. Then he surrounds a series of target notes (A, B, D, and G again an octave higher) with an upper diatonic neighbour and a lower chromatic neighbour.[16] At first hearing, this sounds as a pattern applied by Hawkins around the notes of the G triad (with A as a passing note). But these phrase segments move through three consecutive chords, and follow the melody notes G, A, and G, suggesting that they do not arise from a pre-conceived formula, which would have tended to follow each chord separately and to ignore melody notes. Hawkins plays this passage with rubato, and my notation is accordingly approximate. G in 2A1/2/1 should not be heard as a strong downbeat, nor as the target of the phrase played in 2A1/1 – if it were, it would be absurd to consider it as the melody note G at 2A1/1/4, since it is a passing note between A and F. Rather, the phrase improvised by Hawkins in 2A1/1 is extended by the rhapsodic delivery, and covers five beats. F in 2A1/2/2 is really the downbeat of the bar in Hawkins's improvisation, placed correctly as the melody note starting the bar in the song, and followed by the melody note E♭. Hawkins then interpolates a descending phrase, delaying the next melody notes F and E♭ to 2A1/2/4.

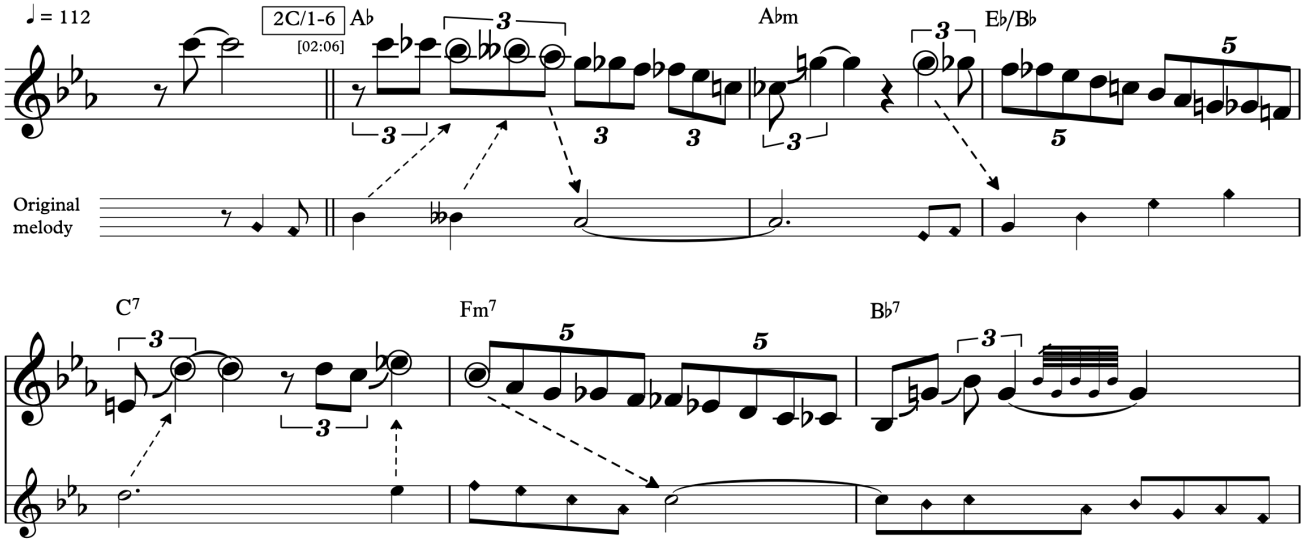
Example 6.2 illustrates two other common techniques used by Hawkins, discussed in Chapter 3. Art Tatum's solo, although it used an abundance of triplets, ends with a phrase in sixteenth notes, directing the performance towards simple metre. Hawkins immediately re-establishes compound metre by starting his intervention with a string of eighth-notes triplets (pick-up and first bar of example 6.2), creating the same contrast observed in example 3.3. The second bar of example 6.2 features the switching back and forth between compound and simple metre figures observable in many examples throughout Chapter 3:[17] sextuplet figures in 2A1/2/2 and 2A1/3/1, sixteenths in 2A1/2/3, and a mixture of sixteenths and of sextuplets in 2A1/2/4.

[16] A♭ at the end of beat 4 is diatonic to the key of C minor, where the phrase is heading to.
[17] Especially 3.2 and 3.5.

§6.3 ‘Stardust’

The end of Hawkins’s second chorus on his 1937 recording of ‘Stardust’,[18] in duo with pianist Freddy Johnson, provides an example of a broader application of Phrase Development, generating three phrases (2C/1-2, 2C/3-4, 2C/5-6 and their pick-ups) and covering six bars.[19]

EXAMPLE 6.3: Phrase Development in ‘Stardust’ 2C/1-6 [02:06].



Examples 6.1 and 6.2 illustrated an instance of Phrase Development based on the harmonic symmetry of turnarounds, and an instance of Phrase Development resulting from the addition of a lower and an upper neighbour to structurally important notes. Example 6.3 reveals a more abstract principle, in which the developmental idea is a phrase *shape*. This shape occupies two bars and can be represented visually like this:

In musical terms the shape is translated as a chromatic descent lasting about a bar (with some diatonic stretches as in 2C/3/2-3), reaching its bottom on the downbeat of the next

[18] Hoagy Carmichael and Mitchell Parish (1927/1929). Decca AM-401-2, recorded 18 August 1937.
[19] The form of ‘Stardust’ is ABAC.

bar (or near it, taking into consideration Hawkins's flexible rhythmic delivery), and followed by a large leap upwards (minor sixth in 2C/2/1, minor seventh on 2C/4/1, and major sixth in 2C/6/1).

The abstract shape dictates to each phrase a downwards falling momentum, and this developmental idea overrides standard metrical placement. Rhythm 'bends' to accommodate the shape, as Hawkins crams in whatever notes he needs to draw the shape into the two bars allotted to it. I have notated this effect as quintuplets, not meant as precise subdivisions of the beat, but representing that Hawkins is placing a certain number of notes in a certain amount of time.[20] Hawkins being Hawkins, even in such instances the delivery of his idea remains assured, with no sense of hesitation, respecting the exigencies of melody and harmony.

Such rhapsodising rhythmic effects were a constituent part of Hawkins's style in the 1930s,[21] and they might result from other priorities in other circumstances; but here it seems plain that Hawkins decided to draw a similar shape thrice on the musical canvas. The effect of the shape is emphasised by Hawkins's 'wa-wa' phrasing, especially in the first phrase. Each note is mouthed and throated individually, sounding like a bark or a laugh.[22]

An abstract shape is the generating factor of each phrase in this passage, and that shape is then applied three times in a row as a developmental procedure. References to the melody are unusually low for Hawkins, but this is his second full chorus, and he has referred explicitly to the melody several times earlier in this performance. He still mirrors the intention of the melody by echoing the pick-up to 2C/1, although on a different note, and uses the melody to roughly structure the starting points of each phrase. Most importantly Hawkins includes the melody's D natural over C^7 at 2C/4/1, which makes him jump up a seventh from E, in a gesture privileging the melody rather than respecting

[20] With regard to how I have written them in example 6.3, the first phrase is slightly delayed, the second and third slightly anticipated. It seems clear that, at a conceptual level (phonemic rather than phonetic, see examples 6.6 and Appendix III), Hawkins aimed at placing the wide upward leap on the downbeat of each bar.

[21] See Henderson 1981, 179-180.

[22] A distinctive way of phrasing typical of Hawkins, of which another example occurs in 1B/7 of 'Just One More Chance' (see example 5.9). Don Byas, perhaps after Hawkins's example, integrated 'wa-wa' phrasing into his playing. Listen, for example, to the pick-up to the first bar, and to the eleventh bar of his solo on 'Hurricane Blues' (Earl Bostic, Majestic 1055-B, recorded late 1945).

the Phrase Development template, which would dictate a jump of a sixth in that point, from E to C or D♭,[23] both of which would work perfectly with the C^7 harmony (respectively the root and the ♭9th of the chord).

The starting points of each phrase outline vi in first inversion (C minor), thus creating their own descending design C – G – E♭. They reproduce in big what each phrase did in small (excepting the upwards leap that concludes them), as in a fractal drawing.

§6.4 'If I Had You'

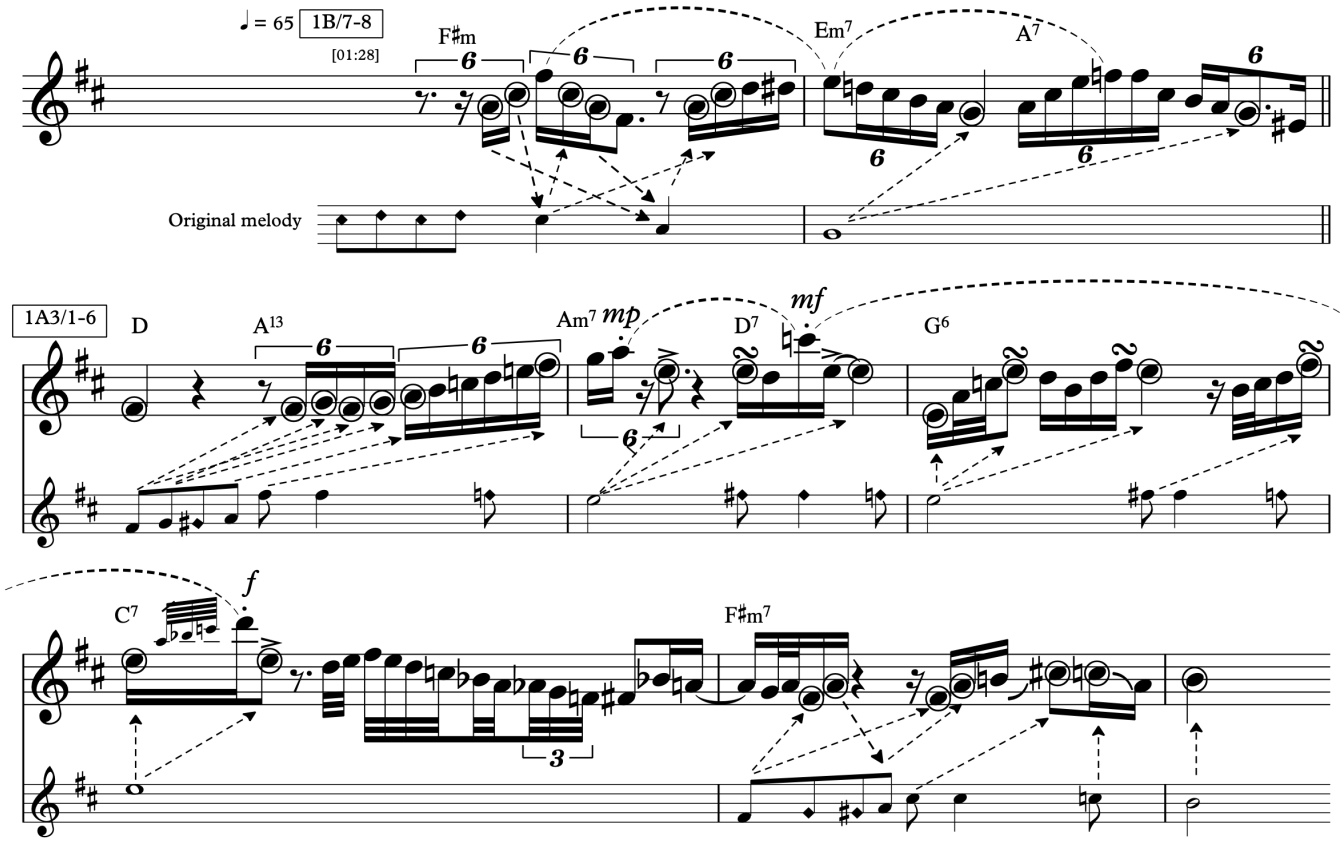
My next example of Phrase Development comes from the first chorus of a live recording of 'If I Had You'.[24] The melody in the A sections of this song is characterised by chromatic passing notes: ascending ♯$\hat{4}$ in A/1 and A/5, descending ♭$\hat{3}$ in A/1, A/2, and A/3, and descending ♭$\hat{7}$ in A/5 (see 'Original melody' stave in example 6.4). In 1A1, Hawkins uses Paraphrase, keeping close to the melody, and playing all its chromatic passing notes. In 1A2, he plays fewer direct statements of the melody, and only uses the characteristic chromatic passing note in two points: in 1A2/1, but going down (♭$\hat{5}$ instead of ♯$\hat{4}$, or A – A♭ – G – F♯ instead of the melody's F♯ – G – G♯ – A); and in 1A2/5, where he states the melody clearly, consequently including the chromatic descending ♭$\hat{7}$ (transcription not provided for 1A1 and 1A2).

1A3 still features a high ratio of melodically-related content, shown by the numerous circled notes in example 6.4. But Hawkins has given an explicit statement of the melody in the first A, based on Paraphrase, and at this point Theme Variation is firmly enacted, with numerous displaced and repeated notes, illustrated by arrows. Surprisingly, Hawkins does not use much of the song's distinguishing chromatic passing notes. One reason may be that Theme Variation is best applied to melody notes that are on the beat, which makes it easier to add notes in between. If the melody notes to be used are themselves passing notes, as are the chromatic notes in 'If I Had You', the possibilities for variation are reduced, because these chromatic melody notes are already some kind of additional

[23] E to D♭ is technically a diminished seventh, but it sounds like a major sixth.
[24] Jimmy Campbell, Reg Connelly, and Ted Shapiro (1928). From the 1986 Japanese CD reissue (Verve POCJ-9215) of the LP album *Hawkins! Alive! At the Village Gate* (Verve V6-8509, recorded 13 and 15 August 1962).

material. However, the melody of 'If I Had You' is also characterised by the three consecutive $\hat{2}$ in A/2, A/3, and A/4, and on these Hawkins insists steadfastly.

EXAMPLE 6.4: Phrase Development in 'If I Had You' 1B/7 to 1A3/5 [01:28].



The manner in which Hawkins gets to the melody note G in 1B/8/2 delineates a fragment (C♯ – B – A – G) of the whole-tone (or hexatonic) scale. In a major key, these four notes ($\hat{7}$ – $\hat{6}$ – $\hat{5}$ – $\hat{4}$) form the longest possible stretch not to include a half step, thus belonging also to the whole-tone scale. This string of four notes is used by Cole Porter in 'At Long Last Love', probably in order to install an ambiguity between the major mode of the song and the tonally indeterminate whole-tone scale. Hawkins reacts to the 'whole-tone sound' induced by his arrival at the melody note G by colouring the A^7 chord of the next beat with a natural F (the augmented 5th, more properly spelled E♯), and by descending a typical whole-tone arpeggio therefrom: F – C♯ – B – A – G – F (or E♯), spelling an $A^{7/9/+5}$ chord.

Hawkins returns to the whole-tone sound in 1A3/4/2-3, on C^7. In the melodic minor mode the whole-tone segment extends one note further than in major ($\hat{7} - \hat{6} - \hat{5} - \hat{4} - \flat\hat{3}$). C^7 is ♭VII in D major, the tonality of this recording of 'If I Had You'. When following IV (G), ♭VII is another way of playing iv, the 'important minor' of ♭VII and the shortest way to move back from IV to I. The melodic minor mode built on $\hat{4}$ contains the notes common to the iv minor tonality and to the I major tonality. At 1A3/4/2-3, Hawkins covers the entire stretch available to him and belonging both to the melodic minor and to the whole tone scale ($\hat{7} - \hat{6} - \hat{5} - \hat{4} - \flat\hat{3}$ in the key of iv or $\hat{3} - \hat{2} - \hat{1} - \flat\hat{7} - \flat\hat{6}$ in the key of I). Although they are a few bars apart, the phrases in 1B8 and 1A3/4 are linked with a harmonic form of Phrase Development: their common recourse to the whole-tone scale.

From a rhythmic perspective, we observe in example 6.4 a clean metre shift. Hawkins plays in compound metre, using only sextuplet figures, from 1B/7 to 1A3/2/2, at which point he switches to simple metre, playing mostly sixteenth figures, until the end of the example. In the compound-metre zone, most sextuplets are grouped in twos or fours (see figure 21 in example 3.6): Hawkins is 'thinking in six'. Although Hawkins subdivides in sextuplets, the projected metre is not 12/8 (compound), but a superimposed 6/4 (simple), on which he is playing sixteenths, as in example 3.11. The phrase at 1A3/1/3-4 is especially clear in this regard, and it does not occur just before the switch to simple metre by chance. By thinking in six, Hawkins exerts a binary rhythmic pressure upon the compound metre and the sextuplet subdivision, and this pressure is released into simple metre and sixteenths at 1A3/2/3.

We have seen so far instances in which Hawkins mixes the two metres in the same passage (examples 3.2, 3.5, and 6.2), instances in which he installed a kind of metre and remained in it (almost constant simple metre in examples 5.1 to 5.6), instances in which he changed with his first phrase the band's feel from simple to compound metre (examples 3.3 and 6.2). In example 6.4 we hear him dedicate a distinct zone to compound metre, and then a distinct zone to simple metre. This metre shift, in addition to creating contrast, produces a dramatic effect enhancing the main structural strategy at play in this passage: Phrase Development.

As in 'Stardust' (example 6.3), the developmental principle active in this excerpt of 'If I Had You' rests on the shape of each phrase segment. If, in 'Stardust', the prevalence

of the shape caused a slight relaxation of Hawkins's standards of precision, with several notes carrying little harmonic meaning in the midst of an abundance of chromaticisms, in 'If I Had You' each phrase segment, although subordinated to the same overarching developmental rule, connects with its supporting harmony. The application of Phrase Development by shape is also more diversified and more extended in this passage. We observe two shapes applied three times each. The shape of the first group of three (Phrase Shape One) is:

It determines the contours of the phrase segments played by Hawkins at the end of the bridge: 1B/7/2-3, 1B/7/4 to 1B/8/2, and 1B/8/3-4. The top notes of each phrase segment (F♯, E, and F, linked by dashed slurs in example 6.4) are not meaningful in voice-leading terms, unlike those examined in example 4.4.[25] They are better understood as the crests of three consecutive waves, delineating a line of their own which attracts the listener's attention, but which does not outline a long-range harmonic movement.

The same can be said of the three phrase segments in the second group, played by Hawkins in 1A3/1/3 to 1A3/2/1, 1A3/2/3-4, and 1A3/3/4 to 1A3/4/1. Taken together, they draw 'in big' a shape similar to Phrase Shape One, stretched over four bars (as in example 6.3; see end of §6.3). They build on the expectation set up at the end of 1B, that there will be a top note targeted in each phrase, but intensify it by altering the phrase shape to make it more dramatic (Phrase Shape Two):[26]

[25] See also same passage considered rhythmically in example 3.13; the three first phrase segments can be seen as applications of Phrase Development by shape.

[26] This is more or less the inverse shape of that observed in 'Stardust' (example 6.3). Again we have a wider interval as the most distinctive element of the shape. The presence of such a wide interval is almost mandatory in order to direct the listener's attention to the main idea being implemented, and make her or him 'hear the shape'. A wide interval in a string of small ones creates contrast, like a loud note amongst softer ones, or the entry of the brass after a passage devoted to the strings.

After the crest, now comes a sudden fall, in lieu of the gentle slope of Phrase Shape One. The top note of the successive crests is placed higher each time (A, C and D, again linked by dashed slurs in example 6.4), reaching into the instrument's left-hand palm keys, near the top of its range.[27] In 1A3/2/3-4, and 1A3/3/4 to 1A3/4/1, the top note is reached by a wide leap, and this leap increases slightly from one utterance to the other (respectively a minor sixth and minor seventh, counting from E). The dynamics also gain a notch on each of the top notes (marked *mp*, *mf* and *f*). A particular phrasing combination (• >) is applied to the two last notes of each phrase segment: the top note of the crest is played staccato (marked with a dot •), while the low and last note, each time the E ($\hat{2}$) that is the melody's main note at these junctures, is tongued forcefully (marked with an arrowhead >), as a consequence of the wide register leap.[28]

Yet another parameter modified by Hawkins to intensify the dramatic impact of the last application of Phrase Shape Two (at 1A3/3/4 to 1A3/4/1) is the shift in time feel already referred to. The three phrases molded in the Phrase Shape One cast took place in the compound metre zone. The first utterance of Phrase Shape Two (1A3/1/3 to 1A3/2/1) still takes place in compound metre, the second (1A3/2/3-4) is the point at which Hawkins switches to simple metre. Thus Hawkins sets up three expectations for the last utterance of Phrase Shape Two: a melodic expectation (it will reach higher in note), a dynamic expectation (it will be louder), and a rhythmic expectation (the phrase will confirm the simple metre introduced by the second utterance, with even more weight).

The idea of a phrase shape rules over the entire passage, allowing Hawkins to put in place a fulfilling climax on the high D at 1A3/4/1. This climax, as we have just seen, is prepared by the five preceding phrase segments, and is expressed by the attribution to the

[27] F, a minor third above. Beyond that the instrument requires 'false fingerings'. Although F♯ and G have a mechanism of their own, they are usually considered to be part of the instrument's altissimo register, because it is harder to emit them properly than high F. An example of a perfectly emitted high F♯, followed shortly after by a perfectly emitted high G, occurs in the last A of Hawkins's 1939 'Body and Soul', in this solo's climactic moment [02:34 to 02:39]. Hawkins also possessed impeccable control of the altissimo register beyond that high G. In his recording of 'Yesterdays' (Apollo R-1002, recorded 16 February 1944), he climbs up to a loud and lengthy F♯ [02:24], and then to G [02:28], and from G leaps up effortlessly to a round and sonorous high C [02:29], which he holds for a good three seconds. Several later saxophonists have successfully managed to play fast passages in the altissimo, something Hawkins never does; but only Hawkins has been able to emit altissimo notes with the same broadness and depth as if they came from the bottom of the instrument.

[28] On the saxophone, when jumping down a wide interval, especially in the upper part of the instrument, tonguing the lower notes helps to prevent its harmonic, a fifth higher, of coming out instead.

note D of the highest position range-wise, combined with the loudest dynamic. These parameters are integrated in the progression established from phrase to phrase, especially in the second group (the phrases built on Phrase Shape Two), and are consequently already present in their appropriate grading in the third and fifth phrases. In order to give to the D crowning this carefully elaborated passage an additional and unique feature that singles it out even more, Hawkins gets into it with a dramatic upward 'rip'.

In example 6.4 there is a palpable sense that something unpredictable is happening – the unmistakable feeling that makes jazz a distinctive musical genre, and which is accentuated in live performances such as this one. Hawkins discovers the potential of his developmental idea in the moment, almost as it unfolds; and we listeners ask ourselves, 'what is he going to do with it?'… To listen to Hawkins is to be subjected to the expectations he sets up, wonder what he will do with them, and rejoice at how he fulfills them.[29]

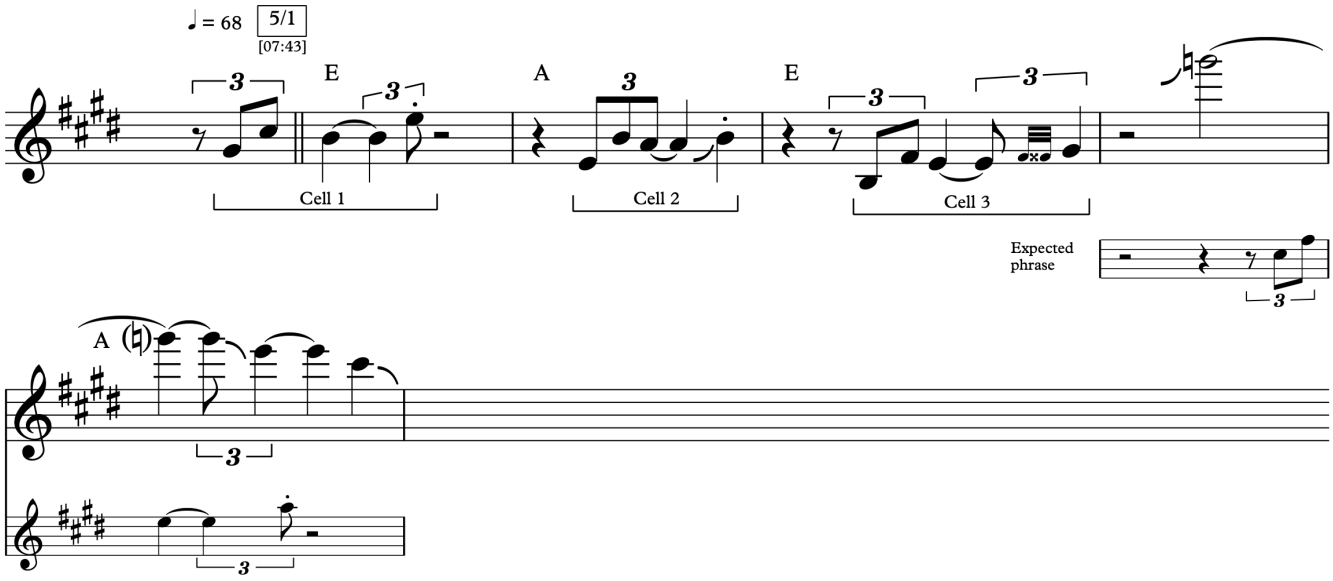
[29] This brings to mind a comment made by Spike Hughes (1959/1969, 381), about Arturo Toscanini's 1947 recording of Tchaïkovsky's *Sixth Symphony* (RCA-Victor LM 1036): 'It is a fascinatingly characteristic performance from the moment you start listening to the movement, and if instinct tells you what Toscanini is going to do, *you are still surprised when you hear it happen*' (my emphasis). Hughes is the British composer, arranger, and bassist who, during a visit to New York City in 1933, organised a few recording sessions for which he assembled a stellar ensemble of jazzmen, including Coleman Hawkins (see Chilton 1990, 79-84). These sessions are widely considered to rank amongst the best big band records of the era. When I asked about them, Sonny Rollins (2018) said: 'Oh boy, that's some great stuff. Oh yeah, that's some great records, wow'.

§6.5 'Soul Blues'[30]

In example 6.4, Phrase Development sets up, step by step, an expectation finally satisfied with the elating high D at 1A3/4/1. But the kind of teleological power inherent in Phrase Development can also be used to set up an expectation that will *not* be met, generating a sense of surprise that can lend great expressive import to a note or phrase.

'Soul Blues'[31] is performed as a slow 12/8 shuffle on the simplest blues chord sequence, in the infrequent key of D major (E major for the tenor saxophone). Hawkins takes two solos: four choruses out front (after the band's introductory chorus), and then three more choruses at the end of the number, after the guitar and piano solos. The three first phrase segments (or cells) of his second solo, at 5/1 [07:43], utilise the same rhythmic figure and the same melodic shape. The intervals are adapted to fit the harmony, and the second cell at 5/2 is displaced rhythmically, but all three of them are applications of the same motive (Cell 1, 2, and 3 in example 6.5).

EXAMPLE 6.5: Phrase Development in 'Soul Blues' 5/1-5 [07:43].



Since 'Soul Blues' is performed in a deliberately R&B fashion – for this chorus pianist Ray Bryant accompanies with bare major triads rather than dominant 7th chords –

[30] Reminder: passages in the blues form are designated as follows: Chorus/Bar/Beat.
[31] From the LP album *Soul* (Prestige P-7149, recorded 7 November 1958).

and since Cell 1, 2, and 3 stick to the chord structure so closely, the expectation is strong that Hawkins will repeat the same motive on the IV chord at 5/5, as would be standard procedure in a R&B setting (see ossia staff in example 6.5).[32] Instead, Hawkins emits an altissimo G in an arresting blues scream that alone should suffice to prove wrong the critics who consider him incapable of genuine blues feeling.[33]

This scream is surprising for three combined reasons. First, at 5/3, Cell 3 starts with B in the lowest part of the saxophone, and ends on G♯ in the lower octave. At 5/5 our ears consequently expect not only a repetition of the motive applied thrice by Hawkins in 5/1-3, but also that the repetition will take place in the same range. Instead, Hawkins jumps up two octaves from G♯ in the lower octave to high G at the top of the tenor saxophone's range (if one counts from the low B of Cell 3, Hawkins effectively leaps from the bottom of the horn to its top). Second, G is the minor 3rd of E and is not expected in this point, especially when played so peremptorily and without any preparation.[34] Third, as we have just seen, this high G comes in lieu of the expected transposition to the IV chord of the motive that generates the three cells in 5/1-3. It is because Phrase Development is so efficient in 5/1-3 that the frustration of its logical continuation produces such a dramatic effect.

The quintessential blues cry at 5/4-5 has struck vividly Whitney Balliett, who commented on the LP album *Soul* and on 'Soul Blues' which opens its A side:

> There are seven numbers, most of them blues. The longest is a very slow one, which is so blue – it is filled with tremolos, gospel rhythms, rock-and-roll, and screaming blue notes – that it becomes at once the epitome of all slow blues and a caricature of all slow blues. Hawkins

[32] Hawkins might be quoting from a blues composition he recorded about a year earlier, 'Blues for Yolande' (*Coleman Hawkins Encounters Ben Webster*, Verve MG V-6066, recorded 16 October 1957), which is also in the key of E major and also set in a 12/8 shuffle groove, although slightly faster (♩≃ 80). The motive heard in bars 1 to 4 of 'Blues for Yolande' is remarkably close to the one used by Hawkins in his improvisation on 'Soul Blues' at 5/1-3, and in the fifth bar of this composition that motive, as expected, is transposed to IV.

[33] See Williams 1970/1993, 72-73; and James 1984, 67.

[34] Hawkins starts it at 5/4/3 when the underlying harmony is still E major, whereas ♭$\hat{3}$ is often played on the blues in the fifth bar where it sounds as the minor 7th of IV. Of course, ♭$\hat{3}$ over a major chord is a typical blues inflection, and is often played also on I. Here the placement in the high range, and the fact that the note is preceded by a pause, render it entirely unexpected at first hearing.

> takes a short, plaintive solo near the opening and returns later for a chorus [SIC], in which, after some moody chanting, he emits a wail that sounds like an exhalation from Hell.[35]

Given that 'Soul Blues' owes much to gospel music, it seems more accurate to hear Hawkins's wail as a God-directed plea, an expression of distress worthy of Psalm 69:

> Save me, O God: for the waters are come in even unto my soul. I stick fast in the mire of the deep: and there is no sure standing.[36]

The intensity and surprising nature of this scream also comes from the fact that a two-octave jump is a technically daring gesture – the listener instinctively perceives that a great risk was taken by Hawkins at that moment. Hawkins returns to this haunting high G at 6/5-6 [08:40], but the note (difficult to emit on the tenor) does not come out immediately, provoking a break in the saxophone's sound that adds to the note's pathos.

In the last chorus at 7/1 [09:05] (example 6.6), Hawkins places another unprepared blues-inflected note over the E major chord, this time the $\flat 7^{th}$ (D), and not in the altissimo but in the middle range. Hawkins gets into this blue note with a portamento, or, in jazz terminology, a scoop,[37] and holds it for five beats with a crescendo, bending it down and up again before moving down chromatically to B. This extremely simple motive – a descending minor third – is the base of the Phrase Development acting in the last chorus of 'Soul Blues', producing six tightly interconnected melodic cells. The simplicity of the motive used, and the self-assured clarity with which it is applied, with much space in between cells,[38] lends to these closing statements a sense of repose.

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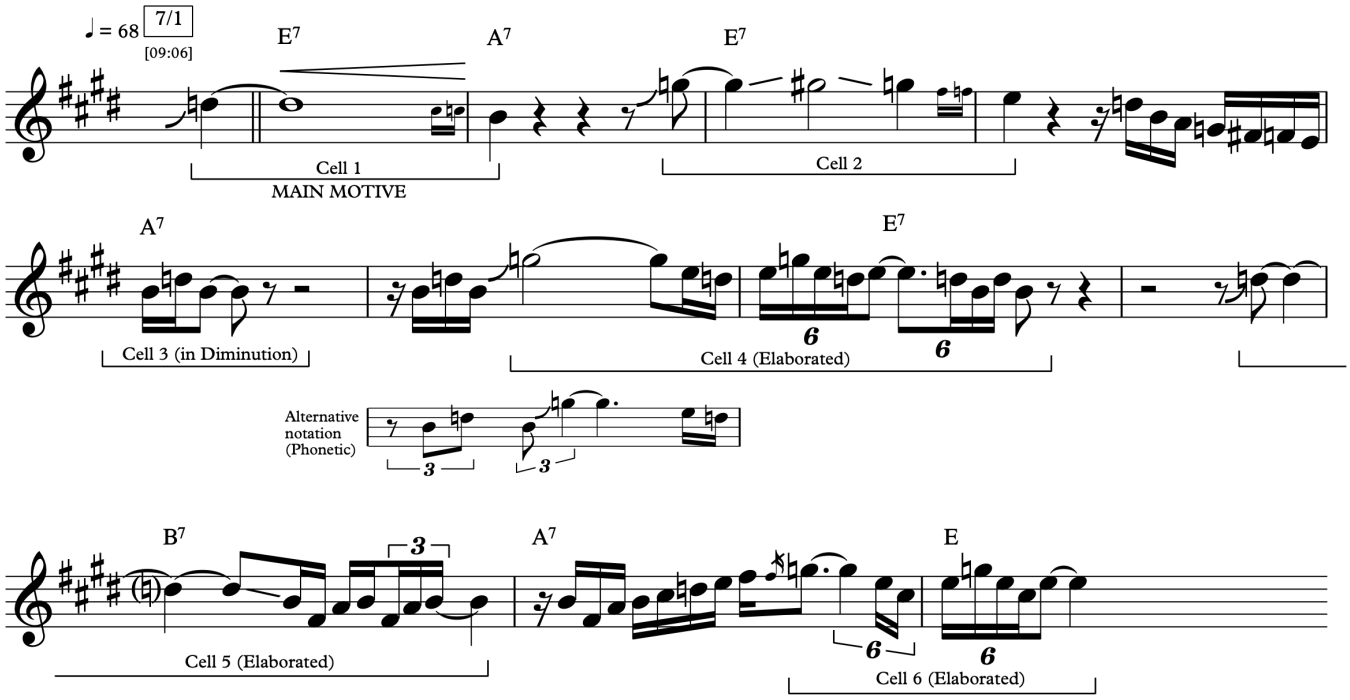
[35] (Balliett 1962, 42).
[36] *Douay-Rheims* translation, in which this is Psalm 68, following the *Vulgate* numbering.
[37] D can be played as a palm key even in the middle register, making for an easy mechanical portamento (as opposed to one effected with the lips).
[38] Such long pauses are another sign of Hawkins's evolution in the late 1950s: in his recordings from the 1930s and 1940s they are extremely rare. See Chapter 5, footnote 26.

EXAMPLE 6.6: Phrase Development in 'Soul Blues' 7/1-11 [09:06].



The top note of the motive that produces each cell in example 6.6 (the flattened blue note, either D in Cell 1, 3, and 5 or G in Cell 2, 4, and 6) is held significantly longer, especially in Cell 1, 2, and 4, and Hawkins takes full advantage of the ability of the tenor saxophone to imitate the human voice by getting into the note with a portamento. In Cell 2 (at 7/3) he plays around the blues ambiguity between $\hat{3}$ and $\flat\hat{3}$, going from G up to G♯ and down again to G in a seamless pyramidal portamento resulting from a mixture of fingers and lips techniques (the notation in example 6.6 only gives an indication of this unwritable effect). Similarly, in Cell 5 (at 7/9/2) he covers the distance of a minor third between D and B with a downwards portamento achieved with the lips. Cells 1 and 2 present the motive that informs Phrase Development in this chorus in fundamental form, while Cells 4, 5 and 6 elaborate it with little 'tails'.

Almost all these elaborations of the main two-note motive come from the G major pentatonic, which, when applied to the key of E, shifts it to the minor mode.[39] When a pentatonic is in action, it may seem that Phrase Development takes care of itself: the reduced amount of notes gives an impression of higher similarity and coherence from

[39] A G major pentatonic on E spells $\hat{1} - \flat\hat{3} - \hat{4} - \hat{5} - \flat\hat{7}$, and is not the same as the E minor pentatonic, which spells $\hat{1} - \hat{2} - \flat\hat{3} - \hat{5} - \hat{6}$. I use 'pentatonic' as a noun, to designate 'pentatonic scale'.

phrase to phrase. Even so, Hawkins, in this last chorus of 'Soul Blues', shows an efficient usage of the pentatonic sound and of its structural potential.

It is common to use just the one pentatonic throughout the blues form. But with characteristic care for detail, at 7/9, over B^7, Hawkins switches to the D major pentatonic. Only one note changes from the G major pentatonic (E – G – A – B – D) applied on the tonic E, and the D major pentatonic, its equivalent on the dominant B (E – F♯ – A – B – D): G becomes F♯. In Cell 5 Hawkins, using the D major pentatonic, produces a variation of the Main Motive, which in Cell 1, 2, 3 and 4 only used the G major pentatonic.

Cell 6 is varied in its tail by the only recourse in this chorus to the E minor pentatonic[40] (E – F♯ – G – B – C♯), which allows Hawkins to play a motivic minor third not heard before: E – C♯ (7/10/4 and 7/11/1). Since the Main Motive itself is just a descending third, the repeated Es and C♯s forming the tail of Cell 6 could be considered rhythmic diminutions of it. Thus the motive in rhythmic reduction provides the material to elaborate on itself. The same can be said of the Gs and Es at 7/7/1, and of the Ds and Bs at 7/7/2-3, which together form the longer tail of Cell 4. The Ds – and Bs at 7/5/1 (Cell 3) are clearly the Main Motive, in diminution. The Ds and Bs which follow at 7/6/1 could also be regarded as such, but since they constitute the pick-up to Cell 4, I have opted not to consider them as a separate utterance of the Main Motive.

Cell 1, 3, and 5 feature the Main Motive (D – B), while Cell 2, 4, and 6 feature the motive transposed to G – E. Hawkins places them in alternation, creating his own structure for this chorus (AB/AB/AB), which he superposes to the structure of the blues (AA/BA/CA)[41]. In particular, at 7/5, over A^7, one would have expected the motive to appear as G – E, the consonant 7^{th} and 5^{th} of the chord. Formal intentions matter more to Hawkins than the chord sequence.

In the midst of the pervasive triplets of the shuffle beat, the sixteenths at 7/4/3-4 and at 7/6/1-2 act in the same way as triplets and sextuplets do in simple metre: they work against the metre in polyrhythmic fashion. As discussed in Chapter 3, the boundary between simple and compound metre is not always clearly drawn, and 7/6 is an example of such an ambiguity. It seems that Hawkins's intention (the 'phonemic' view) is to play

[40] See footnote 39.
[41] Reduced to its bare essentials, the plan of the twelve-bars blues is: || I | I || IV | I || V | I ||.

a three-note pick-up in sixteenths and to land the target note G on the beat (main staff); but the result is closer to triplets, as notated in the ossia staff of example 6.6 (the 'phonetic' view), with G appearing as the second eighth note in the triplet.[42]

Hawkins's last chorus on 'Soul Blues' is remarkable for its musical simplicity and emotional straightforwardness. It is permeated by a sense of serenity and confidence that answers the pain expressed in the high G cries at 5/4-5 and 6/5-6. So the gratitude of Psalm 40 answers the desperate pleading of Psalm 69:

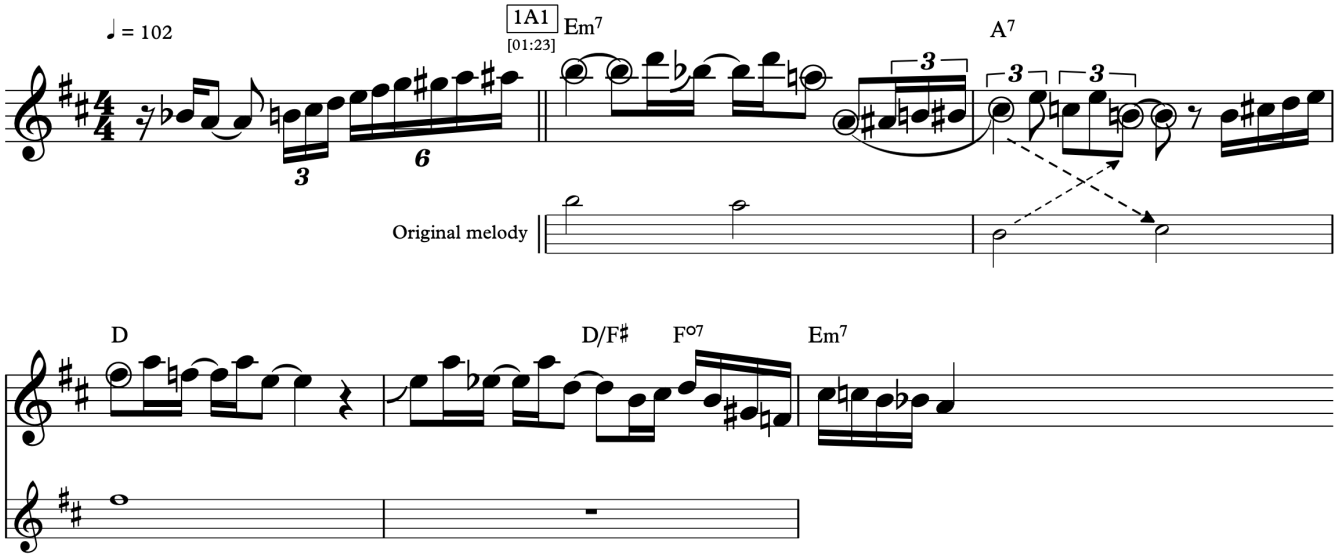
> And he heard my prayers, and brought me out of the pit of misery and the mire of dregs. And he set my feet upon a rock, and directed my steps. And he put a new canticle into my mouth, a song to our God.[43]

[42] See example 6.3 and footnote 20, and Appendix III.
[43] *Douay-Rheims* translation, in which this is Psalm 39, following the *Vulgate* numbering.

§6.6 ‘You Were Meant for Me’

The two performances treated in this and the next section, ‘You Were Meant for Me’[44] and ‘Never in a Million Years’[45], come from a 1947 recording session with singer Leslie Scott. Backing singers was not one of Hawkins’s main strengths, but here he accomplishes the task exemplarily, contributing eloquent introductions and unobtrusive ad-libs.[46] Discographer Jan Evensmo went as far as saying that, in this session, ‘Hawk [is] as inspired as Lester by Billie Holiday’.[47] As guest soloist, Hawkins is allotted less soloing time than is usual for him. He turns this imposed concision to his advantage by creating admirably concentrated solos.

EXAMPLE 6.7: Phrase Development in ‘You Were Meant for Me’ 1A1/1-5 [01:23].



[44] Nacio Herb Brown and Arthur Freed (1929). Victor D7VB2650, recorded 10 December 1947.
[45] Mack Gordon and Harry Revel (1937). D7VB2649, recorded 10 December 1947. In 1932, Gordon and Revel wrote ‘Underneath the Harlem Moon’. The Fletcher Henderson recording of this song, made on 9 December 1932 (Columbia 2732 - D), features a solo by Hawkins celebrated for its rhythmic content.
[46] See James 1984, 67. Hawkins accompanies singers in several recordings, none of which has received the kind of critical praise given to the collaboration of Lester Young with Billie Holiday. Hawkins’s recording career started in the 1920s as a sideman for Mamie Smith. In later recordings he can be heard alongside Mildred Bailey, Delores Martin, Thelma Carpenter, Ida Cox, Tina Louise, Joe Turner, Helen Humes, or Joe Williams.
[47] Evensmo 2012, 28. John Chilton (1990, 247) is also enthusiastic: ‘[Hawkins’s] commencing lines on “You Were Meant For Me” are truly magnificent and even on indifferent material like “Never in a Million Years” he sounds flawless’.

The original melody in the first bar of 'You Were Meant for Me' is simple: $\hat{6}$ and $\hat{5}$ in half notes. Hawkins starts his solo with a pick-up, running up an octave into the melody's $\hat{6}$, and, with a palindromic rhythmic figure, introduces two notes before reaching the next melody note $\hat{5}$: a leap to the tonic above[48] and the chromatic passing tone $\flat\hat{6}$, in a melodic design made famous by Ray Nance on his iconic 'Take the A Train' solo.[49] This motive ($\hat{6} - \hat{1} - \flat\hat{6} - \hat{5}$) is developed in the three next phrase segments. In the second bar, Hawkins transposes it diatonically, starting from $\hat{7}$ ($\hat{7} - \hat{2} - \flat\hat{7} - \hat{6}$). This is an exact transposition, respecting each interval, which Hawkins varies by changing the rhythm from sixteenths to triplets. Since the motive goes down and the melody in that bar goes up ($\hat{6} - \hat{7}$ in half notes), either Hawkins disregarded the melody and gave priority to Phrase Development, or he realised that he could start from the second note of the melody, apply his motive, and arrive at the first note of the melody. He plays again, as he did in the pick-up to the beginning of his solo, a short run up into the melody note $\hat{3}$ in the next bar, from which he applies the motive, transposed diatonically again ($\hat{3} - \hat{5} - \flat\hat{3} - \hat{2}$), and reverting to sixteenths. In 1A1/4, almost as an afterthought, he adds yet another transposition, starting from the note he has just reached ($\hat{2} - \hat{5} - \flat\hat{2} - \hat{1}$), and bringing these four phrase segments, combined with such ineluctable inner logic that they can be seen as forming one big phrase of four bars, to rest on the tonic at their conclusion (if one considers the following phrase segment at 1A1/4/3-4 into 1A1/5/2 as a different entity).

Four iterations of a motive in a row are usually considered one too many in tonal music. In his sequences, Bach tends to use a motive no more than three times before abandoning it or introducing some change. There are exceptions, such as the sequence in bars twenty-six to twenty-nine of the 'Prélude' to the *Cello Suite in D minor*, which, like Hawkins in example 6.7, enunciates its material four times. To pull this out, Hawkins is careful to apply some variations to the motive. He changes its placement within the bar (starting the first time on beat 2, and each of the following three times on beat 1); he

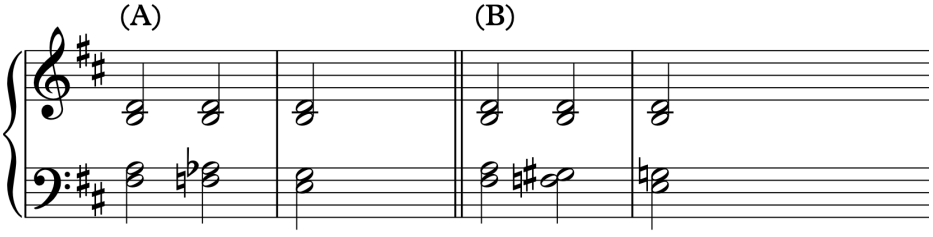
[48] This could be seen as a kind of irregular escape tone. An escape tone is a nonchord tone approached by step and left by a leap, whereas here D is a chord tone and is both approached and left by leap. The function of this D is to create one more 'space' between B and A, which chromatically only have one half step between them. A leap allows to add another note before playing that chromatic half step. Barry Harris teaches a similar technique: when a passing tone must be inserted between two diatonic notes that are a half step apart, the solution is to jump to another note, usually the one immediately above. For example between F and E in the key of C major, one can insert a G.

[49] RCA-Victor 27380, recorded 15 February 1941.

changes one note in the last repetition (A instead of G); and, as already stated, he changes its rhythm from sixteenths to triplets in bar two. The motive conceived by Hawkins out of the two first melody notes of the song can be transposed diatonically (within the same tonality) and exactly (without changing any of its intervals) in four places. The fact that Hawkins uses all four of them,[50] and in such a short timespan, manifests the breadth and thoroughness of his method.[51]

In beats three and four of bar four, the rhythm section plays a common progression going from I to ii: I/$\hat{3}$ – ♭iii^{o7} – iimin^{7}. In beat 4 Hawkins spells the ♭iii^{o7} chord descending from D, and on the first beat of the next bar, over Emin^{7}, he plays C♯ and proceeds down chromatically to A. The ♭iii^{o7} harmony inhabits two different worlds at once (example 6.8): it can either be seen contrapuntally (A) as the result of the chromatic motion of two voices from I^{6} to iimin^{7} (in which case one of the notes should be spelled A♭ as a passing tone between A and G), or it can be seen harmonically (B) as Rootless V$^{♭9}$/V, which in a deceptive movement leads into iimin^{7} instead of leading, as it should, to V^{7} (in which case one of its notes should be spelled G♯ as the leading tone of A).[52] The C♯ to A chromatic phrase segment placed by Hawkins on the first beat of Emin^{7} clearly implies A^{7} (from its 3rd to its root), showing that he meant the preceding ♭iii^{o7} arpeggio to act as V/V. This C♯ clashes with the band's D (7th of Emin^{7}), but the inertia of Hawkins's phrase overrides the conflict. Such dissonances, resulting from differing choices between musicians, are part of the sound of tonal jazz.[53]

EXAMPLE 6.8: (A) I^{6} – I^{o7} – iimin^{7} and (B) I^{6} – Rootless V$^{♭9}$/V – iimin^{7} in D.



[50] The last utterance, in bar four, could have been a perfect diatonic transposition as well if G had been used as the 'irregular escape tone'. But Hawkins prefers the more elegant $\hat{5}$ at its top, which respects the harmony at that moment (I), and ties this last phrase segment to the previous one, which also had $\hat{5}$ at its top.
[51] See §1.6.
[52] See §4.4 and Appendix II.
[53] Other clashes are discussed in example 4.8, and in §7.4.

§6.7 ‘Never in a Million Years’

The phrases featured in examples 6.1 to 6.7 showed that development and melody can be connected to various degrees:[54] not at all in ‘I Can’t Get Started’, only a little in ‘My Ideal’ and ‘Stardust’, significantly in ‘If I Had You’, and almost entirely in ‘You Were Meant for Me’. In ‘Never in a Million Years’ (example 6.9) the connection is near-complete, each phrase improvised by Hawkins resulting from both Theme Variation and Phrase Development.[55] The song is performed in E major (in the key of the tenor saxophone), and this sharp-rich tonality conjures with Scott’s mellifluous baritone to lend a special glow to Hawkins’s sound, softening somewhat his usual demeanor, relaxed to the point of seeming dreamy.

Almost every note of the melody is used, except in bars 1B/5-6.[56] Even there, the descending triad played by Hawkins seems to have been conceived to move in contrary motion to the melody. In 1B/1-2, the melody is an ascending scalar fragment going from $\hat{1}$ to $\hat{6}$. Hawkins derives from it a two-beat long Main Motive (Cell 1) with two functions:
A) Its melodic contour leads to the next scale degree, by way of an upper and a lower neighbour, allowing the broader phrase to adhere closely to the melody’s scalar ascent, step by step. From the next scale degree thus reached starts the next cell (Cell 2).
B) Its rhythm allows the Main Motive to be easily recognisable even when not espousing the melody, and propels the implementation of Phrase Development throughout 1B.
This motive is at the same time ideally suited for Theme Variation, being derived from the melody and permitting to ‘shadow’ it throughout, and for Phrase Development, by the rhythmic impetus it contains.

[54] Excluding ‘Soul Blues’ about which such considerations are meaningless since it has no theme.
[55] Hawkins improvises only at the bridge, yet he constantly adheres to the melody, which disproves my earlier claim (see example 5.3), that the bridge tends to be treated more loosely in terms of thematic references. But since this is a special recording session, with singer, string arrangements, and unusual repertoire, it is probable that Hawkins had a chart under his eyes and was not appealing to memory.

[56] I did not have access to the published sheet music for this song. The rhythm might be slightly different, but judging from recordings by Bing Crosby, Alicia Faye, and from Leslie Scott’s delivery on the present recording, the melody should not be far from what I have notated.

EXAMPLE 6.9: Theme Variation and Phrase Development in ‘Never in a Million Years’ 1B/1-8 [01:57].

Two Theme Variation techniques demonstrated in Chapter 5 are observable: repetition and displacement of melody notes. The melodic contour in the first half of the Main Motive (or Cell 1) is as follows: from its starting note (E), to the upper neighbour (F♯), to the lower neighbour (D♯), back to the starting note (E). In its second half, the Main Motive reaches the next scale degree (F♯), and continues up one more scale degree (G♯), before returning down to F♯ for the beginning of Cell 2. The turn-like melodic

figure engenders a lot of note repetition. As a result, almost every note in 1B/1 and 2 could have been circled and counted as a repeated melody note. Because it takes the Main Motive two beats to go up a step, while the melody goes up one step per beat, the cell naturally displaces melody notes ahead, in a manner similar to that examined in examples 5.2, 5.3 and 5.4; these displacements could all have been indicated with arrows, but, as with the circling of melody notes, I have selected only a few, and left the appreciation of these repetitions and of some of the displacements to the reader.

The preponderance of repetition as a means to adhere to the melody while deploying Phrase Development is signaled from the onset. Hawkins opens his solo with a deceptively simple, but remarkably efficient rhythmic gesture: he plays the melody note E nine times in a row. Since the melody is a diatonic ascending scale, and since Hawkins, as we have seen, adheres closely to it, the repeated tonic E serves as a kind of musical run up to the beginning of the actual phrase, storing, as it were, the energy necessary to ascend the degrees of the scale. The repetitions follow a rhythmic figure in sixteenths,[57] determinedly installing simple metre, to which Hawkins adheres throughout this short solo, with the exception of the pick-up to the second phrase in 1B/3/1 (sixteenths-note triplet).[58] Repeating the tonic nine times with the same figure might seem a pedestrian thing to do, and is certainly quite unusual for Hawkins. He makes it interesting in two ways. First, the figure itself, although it is repeated exactly, generates a 4:3 cross-rhythm (marked with four > occupying three beats). Second, this cross-rhythm sits across the bar line: it begins as a pick-up two beats before the bridge, and extends into its first beat (1B/1/1). The result is that Cell 1, the Main Motive that shapes the entire solo, starts only on beat 2.

In 1B/1-4, the strings play the descending chromatic line E – D♯ – D – C♯ – C – B, in contrary motion to the song's diatonically ascending melody. Since Hawkins's phrase segments stick closely to the melody, they also move in contrary motion to the strings. In 1B/5-6, the strings outline VL Movement Three in the key of the dominant (ii – V of V). As we have seen in §4.3, this is a movement Hawkins is particularly fond of, and we

[57] The abstract (or phonemic) rhythmic figure is clearly in sixteenths, but Hawkins, as he is prone to do, phrases it somewhere in between sixteenths and triplets. See Appendix III.
[58] By contrast, example 3.3, and to a lesser extent example 6.2, showed how Hawkins installed a *compound* metre feel at the very beginning of his solo, also in a single phrase segment.

would expect him to express it in some form in this location. Instead, Hawkins simply arpeggiates a C♯ minor triad (ii/V), almost as if *he* were the one accompanying the strings, and not the reverse. He ends this almost naïve phrase on a low C♯, almost at the bottom of the tenor saxophone's range, a note difficult to emit with such mellow tenderness. On the ii – V harmony in 1B/7-8 the strings do not reiterate VL Movement Three. The field is therefore open for Hawkins to propose his own application of VL Movement Three, centring especially on the $\hat{1}$ – $\hat{7}$ (E – D♯) connection,[59] and using every melody notes in rhythmic diminution. The melody itself spells a Rootless V^9 chord downwards (C♯ – A – F♯ – D♯), thus avoiding the intermediary zone between $\hat{2}$ and $\hat{7}$ characteristic of VL Movement Three. In 1B/8 Hawkins uses the melody's whole note D♯, playing it three times as the lower note of his phrase segments. He applies the technique of skipping one note in an arpeggio,[60] using the melody's Rootless V^9 from the end of the previous bar, but reinstalling the root (B) and skipping the 7th (A) instead.

The first phrase of this solo, from the pick-up to 1B/1 to 1B/2/4, is a close variation on the melody, made possible by the melodic features of the Main Motive appearing first as Cell 1. Let us now examine how Hawkins manipulates the rhythmic features of that motive in order to achieve a coherent development within the whole phrase, and in subsequent phrases. He uses the motive in two guises: in its exact initial rhythmic form (Cells 1 to 7 in example 6.9); and with a variation applied to the second half of the motive, which instead of being composed of one sixteenth and a dotted eighth note is now composed of four sixteenth notes (Cells A to C in example 6.9).

In the first phrase (1B/1-2) the motive is played thrice, each time starting from one step of the E major scale, following the melody's diatonic ascent: Cell 1 starts from E, Cell 2 starts from F♯, and Cell A starts from G♯. Because the melody moves up a step every beat, but the motive moves up a step every two beats, Hawkins needs more time to cover the $\hat{1}$ to $\hat{6}$ ascent of the melody. Luckily, the melody repeats $\hat{5}$ and $\hat{6}$ in 1B/2, giving some leg room to Hawkins, who, by modifying his motive, manages to successfully reach $\hat{6}$ (C♯), and to place it correctly on the fourth beat of the bar, as in the melody. In the

[59] The E♯ that starts the phrase in 1B/7/1 is better understood as a chromatic lower neighbour than as the major 7th of ii. VL Movement Three normally integrates the major 7th in a $\hat{2}$ – ♯$\hat{1}$ – $\hat{1}$ – $\hat{7}$ descending chromatic line; here Hawkins does not use it and follows a diatonic $\hat{2}$ – $\hat{1}$ – $\hat{7}$ (F♯ – E – D♯) line.
[60] See footnote 31 in Chapter 4.

melody, this C♯ is in the middle of a phrase that only resolves on G♯ in 1B/4, and for this reason it would normally appear to be an insignificant note. But Hawkins uses it as a surprising target for the end of his first phrase, completing both the goals of remaining true to the melody, and of creating rhythmic excitement with a phrase ending on four.[61]

The transposition, repetition, and modification of the Main Motive (Cell 1) lends this first phrase its internal logic, and provides an excellent example of Phrase Development. But Hawkins does not stop at this. The rhythm of Cell 1 is repeated, dressed with various notes but always melodically and harmonically significant, a total of seven times, plus three times in its modified form. Hawkins neutralises the risk of boredom caused by the repetition of a rhythmic motive by moving it around within the bar. Cell 1, Cell 3, and Cell 6 start on beat 2 and end on beat 3; Cell 2 and Cell 4 start on beat 4 and end on beat 1. All of these end on a strong beat (1 or 3). Cell 5 and Cell 7, by contrast, start on beat 3 and end on beat 4. In both cases this is also the end of a phrase segment, which echoes the placement of the end of the first phrase of the solo, on the fourth beat of 1B/2. The entirety of this short solo is a wonder – but that first phrase is a miracle. It ideally complements the chromatic descending line in the violins; it feels entirely spontaneous yet adheres perfectly to the song's melody; and it achieves a spotless balance of rhythmic excitement and of logical development.

[61] About phrases ending on the fourth beat, see footnote 86 in Chapter 4.

§6.8 ‘There Is No Greater Love’

Perhaps the simplest way to install a sense of development from phrase to phrase is to cast each in the same rhythm. This would cause unbearable boredom on a ballad, but at a more lively pace it can be very efficient. Thus, the next example is taken from a medium tempo number, ‘There Is No Greater Love’.[62] Hawkins takes three choruses, and applies this particular brand of Phrase Development in the last A of his last chorus, as a means to simultaneously augment the intensity of his statement and to bring it to a satisfying close, before passing the bâton to his confrère (and guest on this recording session) Eddie ‘Lockjaw’ Davis (example 6.10). In this passage, Phrase Development results from a combination of development and of repetition. Hawkins repeats a total of seven times the phrase played in 3A3/1, labeled Riff Phrase. It has been arrived at logically, as a development of the three phrases played in the second half of the bridge (3B/5-8), labeled Preparatory Phrase One, Two, and Three.[63]

In 3B/5-6, Preparatory Phrase One, which is about four-beats long, introduces the motive out of which the final twelve bars of Hawkins’s solo emerge: the descending second E – D. This two-notes motive, labeled Phrase End, is phrased as a sustained and emphasised E followed by a tongued and short D (notated **>** •).[64] The second note of Phrase End in this first appearance lands on beat 2.

Preparatory Phrase Two is about two beats longer than Preparatory Phrase One, and incorporates Phrase End, transformed into the descending minor third G – E. This time, the second note lands on the end of beat 3. Although this placement has not been prepared in a way that could make it predictable, pianist Tommy Flanagan and drummer Gus Johnson both ‘catch’ Hawkins with a short accent (see ossia staff in example 6.10). The end of 3, or ‘3 and’, is not the most obvious point in the bar for a musician to hit with a staccato chord or a single drum stroke, and this is one of those almost telepathic moments that make a good jazz rhythm section such an exciting musical entity.

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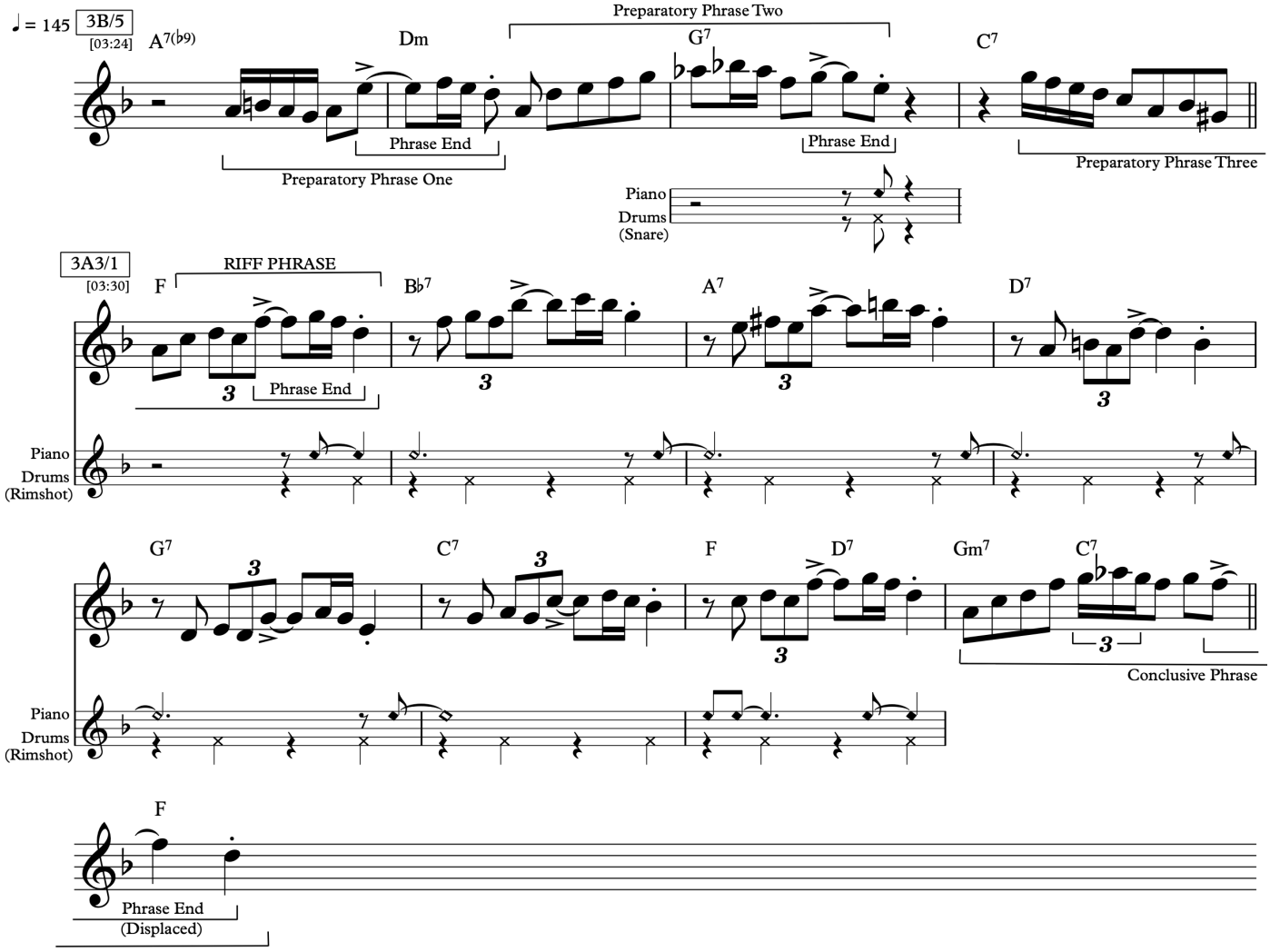
[62] Isham Jones and Marty Symes (1936). On the LP album *Night Hawk* (Swingville SVLP 2016, recorded 30 December 1960).

[63] In 3B/5-7, what appears on paper as a single three-bar long phrase is performed by Hawkins as two distinct phrases in quick succession.

[64] The phrasing marks **>** are not meant to indicate that Hawkins tongues those notes forcefully but rather to indicate the crest of each Riff Phrase; these notes receive an automatic emphasis due to their placement.

EXAMPLE 6.10: Phrase Development in ‘There Is No Greater Love’ 3B/5-6 and 3A3/1-8 [03:24].



Preparatory Phrase Three is again made to last slightly longer than its predecessor, for a total of seven beats. Phrase End retains the descending minor third which was its form in Preparatory Phrase Two, but is now placed on beat 4. This is the ‘stabilised’ form of the Phrase End motive: in all its subsequent appearances but the last, it consists of a descending minor third ending on beat 4. In the second half of Preparatory Phrase Three, Hawkins formulates the Riff Phrase that he will repeat throughout the last A section.

As its name indicates, it operates like a riff, with the difference that instead of keeping both rhythm and melody unchanged (or changed as little as possible), as in a typical succession of riffs, the notes in each new iteration of Riff Phrase adapt to the

underlying harmony: only the rhythm is riffed.[65] Riff Phrase contains the melodic and rhythmic elements developed in Preparatory Phrase One, Two, and Three in the form of the Phrase End motive: melodically, a descending minor third, and rhythmically, the ending on beat 4. To these, it adds a triplet on beat 2. These three defining features (Phrase End motive, placed on beat 4, with a triplet on beat 2) make Riff Phrase a very distinctive one, easy to follow for the listener, and carrying great rhythmic drive due to its short length and its particular placement within the bar (it starts after the first beat and ends before the end of the last beat). No wonder Hawkins immediately decides to capitalise on the energy encapsulated in Riff Phrase by repeating it, transposing it to follow the secondary dominants that constitute the harmonic framework of 'There Is No Greater Love'.[66]

This scheme is achieved by Hawkins with impeccable timing, relaxed sonority, varied phrasing and tonguing, and a few trills.[67] The intensity of the whole increases ever-so-slightly from phrase to phrase, showcasing a consummate 'riffing skill'. This should not come as a surprise, for riffs are an integral part of Hawkins's playing, although we tend to associate him with more complex techniques. A fine example is 'Hawkins's Barrel-House',[68] a boogie-woogie blues in which Hawkins's solo is entirely made up of riffs. In his first chorus he plays a 'complete' riff throughout (keeping the same rhythm and the same notes, only changing $\hat{3}$ to $\flat\hat{3}$ in bars 5-6), and in his second chorus he plays a 'rhythmic' riff (repeating the same rhythmic figure but changing the notes, as he does in example 6.10). After that he resumes playing a 'complete' riff for the *tutti* that concludes the number.[69]

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[65] This could be seen as an instance of 'tonal riffing', when the usual riff tends to function almost as a modal statement made on top of a sequence of harmonic events, often disregarding them. See comment on 'Hawkins's Barrel-House' below.

[66] The repetitions are obvious enough that they do not need to be indicated in example 6.10; they take place in each bar from 3A3/2 to 3A3/7.

[67] Written in sixteenths and at times difficult to discern from a heavy application of vibrato.

[68] Signature LSP 9, recorded 8 December 1943. Two Hawkins compositions recorded during the same session consist mainly of riffs: 'Voodte', based on the changes of 'I Got Rhythm', but with a 'Honeysuckle Rose' bridge, and 'Stumpy', on the changes of 'Whispering'. Many Hawkins compositions are based on the harmonic structure of well-known songs: 'Bean Soup' (on 'Tea For Two'), 'Bean Stalking' (on 'Idaho'), 'Bean and the Boys' (on 'Lover, Come Back to Me'), 'Hollywood Stampede' (on 'Sweet Georgia Brown'), 'Rifftide' (on 'Lady Be Good'), 'On the Bean' (on 'Whispering'), 'Hanid' (on 'Dinah'), 'Bouncing with Bean' (on 'I've Found a New Baby'), 'Stuffy' (on 'I Got Rhythm' with a 'Honeysuckle Rose' bridge), etc.

[69] The power of Hawkins's riffing technique is demonstrated in 'Mimi' (from the LP album *The Hawk in Paris,* Vik LX-1059, recorded July 1956). Towards the end of the performance, the song's melody is

In the last phrase of his solo, labeled Conclusive Phrase in example 6.10, Hawkins switches back from repetition to development. He abandons the Riff Phrase template, but keeps its motivic kernel, the Phrase End motive, placed on beat 2 instead of beat 4 in this final utterance. Thus, in this passage, Phrase Development goes from Preparatory Phrase One to Conclusive Phrase, by way of development (from Preparatory Phrase One to the first Riff Phrase), by way of repetition and transposition (six Riff Phrases in 3A3/2-7), and reaching Conclusive Phrase again by development.

The main feature of the last eight bars of Hawkins's solo on 'There Is No Greater Love' is the repeated rhythmic figure of the Riff Phrase, and the fact that it ends on beat 4. As soon as Hawkins reaches Riff Phrase, and it becomes predictable that he will use it to generate rhythmic continuity, pianist Tommy Flanagan responds by placing chords in the rests between each repetition of Hawkins's Riff Phrase, on the end of beat 4 (see ossia staff in example 6.10). Flanagan does not play any other chords, and each of these punctuations is held for the best part of the following bar. They are the ideal answer, combining harmony and rhythm, to what Hawkins is playing.

Drummer Gus Johnson responds to Hawkins's repetitions of Riff Phrase with equal efficiency. In 3A3/1, he accents 4 on the rimshot, catching again the end of Hawkins's phrase, as he did on the end of 3 in 3B/7. Then, for the remainder of 3A3, he accents 2 and 4 on the rimshot, matching the distinctive rhythmic elements of Riff Phrase: the triplet on beat 2 and the end of the phrase on beat 4. These rimshots on 2 and 4 are also part of a careful progression put in place by Johnson and spanning the entirety of Hawkins's solo. In the first chorus, he does not use the rimshot; in the second chorus, he uses it only on beat 2 of each bar; and in the third chorus, he uses it on beat 2 and 4, but not at the bridge. When Johnson resumes playing the rimshots accents on 2 and 4 in the last A of the third chorus, he brings to a coherent climax the dynamic plan he has been sticking to from the beginning of Hawkins's solo. It is therefore probable that Hawkins's Riff Phrase was conceived to match Johnson's rimshots on 2 and 4, previously heard during 3A1 and 3A2, rather than the other way around. Regardless, in 3A3 Johnson's

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played by the accompanying big band, while Hawkins riffs over it all by himself – a rare reversal of roles that not any saxophonist could have pulled out.

scheme locks in perfectly both with Hawkins's Riff Phrases and with Flanagan's comping (see ossia staff in example 6.10).

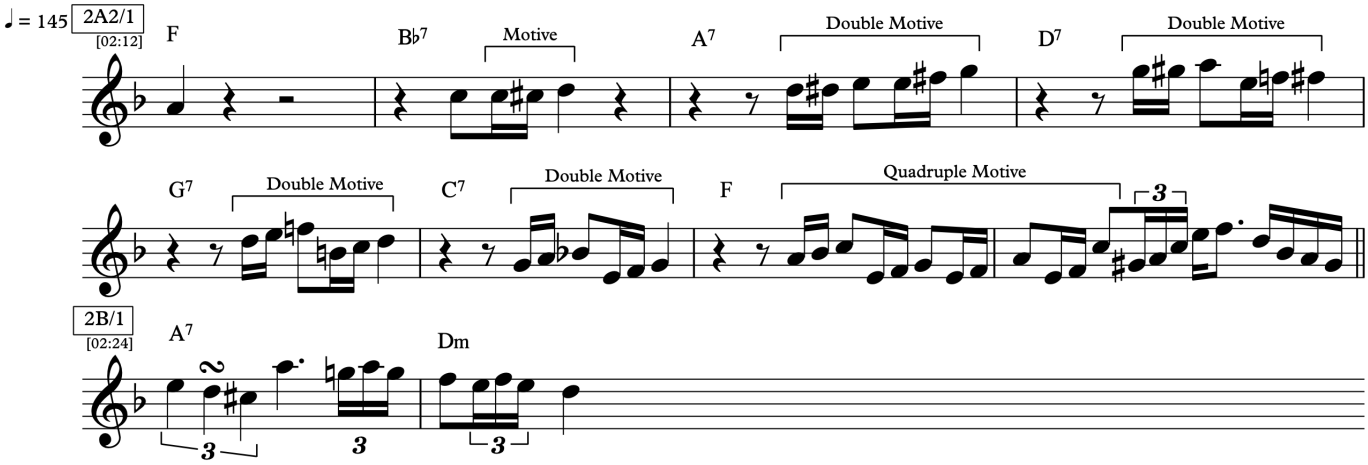
The chord sequence in the A sections of 'There Is No Greater Love' consists of dominants placed on each scale degree (skipping $\hat{7}$), following the circle of fifths diatonically: I – IV^7 – III^7 – VI^7 – II^7 – V^7 – I.[70] Considering Riff Phrase and its transpositions from a harmonic perspective, it is remarkable that Hawkins choses to move diatonically, following the song's original chord sequence, and applying exactly the same phrase on each dominant (except on C^7 in 3A3/6 where it ends on the chord's 7^{th} and not on its 6^{th}). When improvising on such a sequence of secondary dominants, a jazz musician has two main options: to keep each dominant close to the main tonality, by taking as much notes as possible from that tonality (excepting the dominant's 3^{rd} and 7^{th}), or to treat each dominant as V, and play in the tonality it would normally go to.[71] The first option causes all kinds of interesting colours, most notably the $\flat 6^{th}$ (or $\flat 13^{th}$) on III^7 (or V^7/vi), which is often interpreted as an augmented 5^{th}. In the present case this would be A^7 with F natural, which is the tonic of the song, and indeed this is what appears in the published sheet music.[72] The second option, chosen by Hawkins in this case (and a favourite of Ben Webster), has a slightly polytonal ring about it. Since Riff Phrase contains the 6^{th}, its transpositions outline a string of dominants with a natural 6^{th} (or 13^{th}), with the result that a few notes are out of the tonality of F major (F♯ in 3A3/3 and B in 3A3/4). Flanagan seems to anticipate that Hawkins is taking the diatonic route, and complements his phrases by playing chromatically, and with increasingly dissonant voicings. In doing so, he balances out the regularity of Hawkins's phrases, and presents them in a favourable light, both rhythmically, as we have seen, by punctuating them immediately after their end, and harmonically, by playing contrastingly dissonant chords under them.

[70] Or to use only the function V for dominants, which is theoretically more correct, but burdensome at the time of performance when applied to a long sequence of secondary dominants: I – $V^7/\flat VII$ – V^7/vi – V^7/ii – V^7/V – V^7 – I. In the published sheet music I, IV, and III are triads, and only VI, II and V are dominants.
[71] What established jazz pedagogy calls the mixolydian mode.
[72] The tonality of the sheet music is C major, so the III chord is E major, made to sound as an augmented triad because of the note C which stays in place from the preceding IV chord F. Since VII is skipped in the song's chord sequence, IV is followed directly by III: maintaining C ($\hat{1}$) on both chords, with the effect of turning III into an augmented chord, avoids parallel fifths to occur between the two chords.

It may seem that mere repetition, even if transposed to fit the chord progression, cannot be considered as development, since development by definition implies some sort of mutation. But if development is better defined as an objective technical event, it can also be defined as an effect produced on the listener, a sense that the music is going somewhere, and that this somewhere, this *telos*, is clear in the performer's mind, who will make sure to get there. It is in this definition, first and foremost, that example 6.10 stands as an example of Phrase Development. Then there is the audible fact that the seven utterances of Riff Phrase are actually submitted to change, in their delivery, dynamics, and phrasing, if not in their rhythm and notes. Furthermore, their being inscribed in a continuum which is itself of a developmental nature, starting with Preparatory Phrase One and ending with the Conclusive Phrase, also participates in making example 6.10 not a mere repetition of a fixed pattern, but the use of repetition as en efficacious means to generate and increase intensity within a broader developmental framework covering twelve bars.

Hawkins uses a similar principle of Phrase Development by repetition earlier in his solo on 'There Is No Greater Love', at 2A2/1-8 [02:12], this time with a shorter rhythmic template. The motive is introduced on $B\flat^7$ in 2A2/2, where it ends on beat 3. Then, on A^7 in 2A2/3, Hawkins plays two motives in a row, forming a new cell labeled Double Motive and ending on beat 4. Hawkins repeats Double Motive three more times, changing its notes relatively to the underlying chords (example 6.11).

EXAMPLE 6.11: Phrase Development in 'There Is No Greater Love' 2A2/1-8 [02:12].



Contrary to example 6.10, these are not exact transpositions, except in 2A2/5 and 2A2/6. Once the passage has resolved to the tonic F at 2A2/7, Hawkins again doubles the length of his previous phrase, playing two Double Motives in a row, and resulting in a Quadruple Motive. Quadruple Motive launches a four-bar long phrase extending over the bar line of the bridge and into A^7, and resolving only on D minor at 2B/2/2. This ending on beat 2 suggests that Hawkins finally decided to integrate the rimshot hits regularly placed on 2 by Gus Johnson in 2A1 and 2A2, discussed above. Furthermore, each phrase segment played by Hawkins in example 6.11 (Motive, repetitions of Double Motive, Quadruple Motive) starts just after Johnson's rimshot on 2. Short and fast phrase segments of this kind are one of the main characteristics of Hawkins's later manner, and can be found in many of his solos of the late 1950s and 1960s.[73]

§6.9 Conclusion

As shown in this chapter's examples, Phrase Development can take many forms. It can occur automatically because of a turnaround, as in 'I Can't Get Started', or result from the application of a specific harmonic idea, such as the augmented or whole-tone harmony used in 'If I Had You'. It can be based on a phrase shape molding a set of phrases, as in 'Stardust' or 'If I Had You', or on the repetition of a rhythmic or melodic motive, as in 'You Were Meant for Me' – sometimes to the point of resembling a series of riffs, as in 'There Is No Greater Love'. It can set up expectations and fulfill them, as in 'If I Had You', or frustrate them, as in 'Soul Blues'. It always depends on variation to modify each consecutive phrase or phrase segment. Often this integration of development and of variation is maximised by extracting materials from the song, resulting in a balanced application of Phrase Development and Theme Variation. When most thoroughly pursued, as in 'Never in a Million Years', the combined action of Phrase Development and Theme Variation comes close to Arnold Schoenberg's concept of 'developing variation'.[74]

[73] See footnotes 26 and 38 in Chapter 5 for other features typical of Hawkins's playing in the last decade.

[74] See beginning of the present chapter.

The techniques on which Phrase Development rests – phrase shape, repetition, variation, etc. – are part of a broader scheme. Hawkins works on the developmental aspect of his improvisations in three main ways, going from the immediate concern of enunciating phrases carrying a clear and intelligible rhetoric content, to the imperative of establishing a connection from section to section, to the broader necessity of achieving an overall satisfying dynamic shape, or arch, in the entire solo. Thus we might say that there are roughly three 'levels of development' attended to by Hawkins, and that these are of an increasingly large-scale nature.[75] At the bar level, we find Phrase Development, discussed in this chapter, by which a motive, thematic or not, develops over a few bars from its own inner impetus. At the section level (meaning each group of eight bars in an AABA or ABAC form, or each chorus in a blues), we find Cyclical Development, by which Hawkins revisits the materials in the same point of a given section.[76] And, at the chorus level (or at the level of the entire solo if there are several choruses), we find what we could call Intensity Development, by which Hawkins gradually expands range (playing higher), subdivision rate (playing more notes), tonguing (playing more forcefully), volume (playing louder), sonority (playing more brightly), and expression (playing with more growl).[77] Intensity Development, the over-arching principle, is also the easiest to hear and follow, because it works on sonic and 'emotional' materials affecting the listener more frontally and more intimately than the motivic materials on which Phrase Development and Cyclical Development are based. These three levels of development operate on top of each other, the bigger ones integrating the smaller ones as in a Russian doll. Hawkins's successful management of these local, medium-scale, and large-scale kinds of development is what permits him to create improvisations of such profound coherence.

[75] Frank Tirro (1974, 286) also sees three levels of organization in a jazz improvisation, the two first ones being similar to those I propose regarding Hawkins, but in Tirro's case the third is still motivic (see §2.1).
[76] See examples 3.18 and 3.19, 4.2 and 4.3, 4.15, 4.18 to 4.20, 4.21 and 4.23, 7.3 and 7.4, and §7.4.
[77] Gunther Schuller (1989, 443-445) examines how these non-motivic elements are manipulated by Hawkins to create an increase in intensity over an entire solo.

CHAPTER 7: 'YOU GO TO MY HEAD'

In chapters 3 to 5, I examined Hawkins's technique in three ballad performances, from different perspectives. Returning to the same materials to examine rhythmic, harmonic, and melodic features has shown that often these act in conjunction. In Chapter 6, I discussed how Hawkins develops phrase after phrase in excerpts from other performances. In this chapter, I consider how all the techniques observed so far from different angles and in different situations (combinations of compound- and simple-metre subdivisions, superimposition of a 6/4 metre, Voice Leading, Theme Variation, Phrase Development, Cyclical Development, Phrase Shape etc.) are at work in a single improvisation by Hawkins: 'You Go to My Head'.[1]

At the end of a blindfold test organised by Leonard Feather and published in the November 1946 issue of *Metronome*, Hawkins, rather dissatisfied with what he had heard, commented:

> Why didn't I find any four-star records? Well, I like modern music – very modern – and the bands that are playing modern stuff don't have enough cleanness and finesse. The bands that *do* play clean generally play old style arrangements, the same as years ago. So I find it hard to listen to either kind.[2]

It could be observed that in the late 1940s, those playing 'very modern' – boppers – were still young, and lacked their elders' poise, which some of them acquired in due time. As

[1] J. Fred Coots and Haven Gillespie (1938). Sonora SR1859, recorded December 1946. A 'high-sighted', 'minor masterpiece', one of those 'exceptional songs from competent but unexceptional writers', according to Alec Wilder (1972, 388, 499 and 495 respectively).
[2] Partially quoted in Chilton 1990, 235-236.

discussed in §1.1, 'mainstream' jazz can be defined as a merger of swing and bebop. If the younger generation contributed new technical devices, the older generation provided the standard of clean and refined execution. Thus, mainstream jazz tends to be less 'hard-driven' than bebop, while retaining most of its technical advances. This is observable in several of the younger musicians hired by Hawkins in the late 1950s and in the 1960s, such as Major Holley, Ray Bryant, Tommy Flanagan, Barry Harris, Osie Johnson, or Eddie Locke. These men were all born between 1923 and 1931, and are therefore of the bebop generation; yet they all developed the elegance typical of the best swing musicians.

In spite of his afterthoughts regarding the *Metronome* blindfold test, a month later Hawkins found a group of younger musicians who *could* play modern arrangements with 'cleanness and finesse' to accompany him on the recording session that yielded 'You Go to My Head': pianist Hank Jones, bassist Curley Russell, drummer Max Roach, and vibraphonist Milt Jackson. Such a typical bebop rhythm section impacts the arrangement of the song's chord sequence, which features a number of $\text{iii}^{\text{min}7} - \flat\text{iii}^{\text{min}7} - \text{ii}^{\text{min}7}$ progressions (1B/6-7, 1C/4-5, and 1C/7-8), turnarounds constituted by quickly succeeding dominants (diatonic in 1A1/8 and chromatic in 1B/8), and tritone substitutions (1A2/8/3-4 and 1C/7/3-4). None of these harmonic devices were new to bebop, but their combined presence points to an agreement discussed beforehand with the intention of making the song's chord sequence more in line with bebop harmonic conventions,[3] even at the price of sacrificing the pretty melody of the coda, which in 1C/3-4 would be dissonant if played over these changes (see example 7.7).

Hawkins is the only soloist, but two other instruments are each given some of the spotlight. Hank Jones gets to play an introduction of unusual length at this tempo (eight bars, lasting twenty-five seconds).[4] Milt Jackson is heard arpeggiating chords throughout on the vibraphone, which lends to 'You Go to My Head' a distinctive instrumental colour

[3] Another telling example of a ballad's chord structure arranged so as to be closer to bebop performance practice is Lucky Thompson's recording of 'Just One More Chance' (Victor 510, recorded in Los Angeles 22 April 1947). See Chapter 3, footnote 35.

[4] Played with a double-time feel, and inducing the impression that it covers sixteen bars. Another remarkable introduction to a Hawkins ballad is Ellis Larkins's on 'How Deep Is the Ocean', also played in double-time, but covering only four bars; a comparison between the two is indicative of the difference in rhythmic conception between swing and bebop.

not frequent in other ballads recorded by Hawkins.[5] Jackson's arpeggios are all ascending, and create a vertically moving canvas for Hawkins to traverse with his sinuous phrases. At times the fast-climbing verticality of Jackson's arpeggios is accentuated by the stacking up of fourths, as on G^7 at 1A2/7-8 and 1A3/7-8 (F – B – E – A – D), $A\flat^{6/9}$ at 1C/6 (C – F – B♭ – E♭ – A♭), or on the final chord $Gmaj^{7\sharp11}$ (G – C♯ – F♯ – B).[6]

The standard template in Hawkins's ballad recordings of the late 1930s and early 1940s was to play two choruses at a comparatively fast tempo ('Body and Soul' is played at ♩≃ 95 and 'How Deep Is the Ocean' at ♩≃ 90), but with the bass playing half notes and inducing a tempo twice slower. At that kind of tempo, two choruses fit into the length of a 78rpm disc (usually between three minutes and three minutes and a half). 'You Go to My Head' was released on 78rpm disc and lasts about three minutes,[7] but the disc is filled with a single chorus. There are three reasons for this: first, the song's coda adds eight bars to the form for a total of forty instead of thirty-two; second, Hank Jones, as we have seen, plays an extensive (eight-bar) introduction; and third, the tempo is slower at ♩≃ 68. A distinction which is an important feature of the bebop style is that bassist Curley Russell plays 'in four' (each quarter note),[8] with the effect that 'You Go to My Head' is felt at its actual tempo of ♩≃ 68, whereas the faster 'Body and Soul' (♩≃ 90) may seem slower (♩≃ 45) since the bass plays 'in two', according to the style of the Swing Era.

'You Go to My Head' is built on the alternation of the major and minor modes of the main tonality. It visits ♭III in the A sections, and modulates to III in the second half of the B section, creating an interesting juxtaposition of these two tonal centres, which, as we

[5] The LP album *Bean Bags* (Atlantic 1316, recorded 12 September 1958) is devoted to the encounter of Hawkins and Jackson; they play the ballad 'Don't Take Your Love From Me', but Jackson does not accompany Hawkins during the latter's solo.

[6] Chord symbols in the examples are generic and do not necessarily show these extensions. For example on the tonic (1A/7, 2A/7, 3A/7) Jackson tends to spell a $Gmaj^{7/9}$ chord.

[7] 'Don't Blame Me' and 'Just One More Chance', studied in chapters 3 to 5, were released by Keynote on 12-inch discs (usually reserved for classical music at the time), capable of accommodating over five minutes of music (see Morgenstern 1987). But this is an exception and most jazz recording sessions at the time were made for 10-inch 78rpm discs.

[8] See for example Charlie Parker's recording of 'Embraceable You' (Dial 1024 B, recorded 28 October 1947). This feature applies also at faster tempi: when some high profile musicians recorded the soundtrack for Clint Eastwood's movie *Bird* (1988), on a medium blues the bassist played 'in two'. This choice upsets Barry Harris, according to whom there is not a single recording by Charlie Parker on which the bass plays in two: in bebop, the bass is *always* in four. The issue brings to mind the debated question of whether King Oliver's Creole Jazz Band played in 2/4 or in 4/4.

shall see, Hawkins takes advantage of. It benefits from an expressive eight-bar coda, putting it in the comparatively rare AABAC form.

§7.1 Paraphrase and Theme Variation (1A1 and 1A2)

As we saw in Chapter 5, when Hawkins improvises on a ballad, the melody is the principal parameter he works from. It informs a considerable proportion of his phrases, but to various degrees depending on the place in the solo. These shifts in the relationship between improvised phrases and composed melody act as an important factor in the shaping of the solo's overall structure. For example, in his improvisation on 'I Can't Get Started' (see §5.6) Hawkins intensifies this relationship as his solo unfolds, whereas on 'Don't Blame Me' (see §5.5) the strategy is reversed and a gradual distancing from the song's melody takes place.

In 'Don't Blame Me' this strategy was implemented over the course of two choruses, the first one an increasingly varied exposition of the melody, the second one focusing primarily on voice-leading preoccupations (see comments under example 5.6): roughly one 'expository' chorus and one 'solo' chorus. The overall plan put in place by Hawkins in 'You Go to My Head' is similar, but since the recording is only one chorus long, Hawkins has to condense that plan. 1A1 is the 'expository' part, and each note of the melody is used. As is often the case with Hawkins in the 1940s, the melody is immediately submitted to variations, but in this case they do not modify the melody to the point of becoming difficult to identify, and the technique at work is Paraphrase rather than Theme Variation. The two phrases in 1A1/1-3 are varied only rhythmically and are clearly recognisable as the melody. The following phrases are also varied melodically, but even if the improvised-to-composed relationship becomes less evident (as when A is played as A♭ in 1A1/6/4), Hawkins is proposing an interpretation of the song's melody, recognisable by the listener. This is also the case in most of 1A2, the only exception being the phrase in 1A2/2-3 (during the modulation to ♭III), which is entirely disconnected from the melody (example 7.1).[9]

[9] In the following examples, as in Chapter 5, I have provided the original melody in the ossia staff, in regular noteheads when the notes are used by Hawkins, and in diamond noteheads when they are not.

EXAMPLE 7.1: Melody exposition in ‘You Go to My Head’ 1A1 and 1A2 [00:25]

Because in some of the examples melody notes are so abundant, I have not circled them in Hawkins’s phrases in order not to surcharge the score. For the same reason, I have used only few arrows. I leave it to the reader to observe which melody notes appear in Hawkins’s phrases, and if they are repeated and/or displaced, by referring to the kind of notehead used for each note in the ossia staff.

In 1B and in 1A3, although he continues to make numerous direct references to the melody, Hawkins relies more on Phrase Development (see example 7.2). A good three-quarters of the melody notes are used, but no longer in an 'expository' fashion: Hawkins has switched from Paraphrase to Theme Variation.[10] Finally, in 1C Hawkins departs almost entirely from the melody, which, as already mentioned, would be largely dissonant on the rearranged chord sequence. Hawkins follows instead stark voice-leading principles combined with a meticulous application of Phrase Development (see example 7.7). Only about one quarter of the melody notes still appear in 1C; but Hawkins, after having thus moved away from the melody for a time, like the prodigal son returns faithfully to it on its very last note D (see end of example 7.8). Thus the overall plan for Hawkins's rendering of 'You Go to My Head' could be schematised in the following manner:

1A1 and **1A2**: Exposition of the composed melody with variations. Main factors: Paraphrase and Theme Variation.

1B and **1A3**: Phrases developed mostly from fresh ideas, but still incorporating or stemming from numerous melody notes. Main factors: Theme Variation and Phrase Development.

1C: Improvisation independent from melody notes except for the last. Main factors: Phrase Development and Voice Leading.

[10] See §5.7.

§7.2 Theme Variation & Phrase Development (1B)

The first two A sections of 'You Go to My Head', as shown in example 7.1, are like an 'expository' chorus: the melody is varied rhythmically, displaced, sometimes replaced by an improvised phrase as in 1A2/2-3, but it remains identifiable and the main techniques at work are Paraphrase and Theme Variation. In 1B and 1A3 Hawkins, while maintaining close contact with the melody, starts using Phrase Development. This operates in two main ways: within a phrase, which at times is based on the development of the idea with which it starts; and from phrase to phrase, when materials used in one phrase are reprised elsewhere and developed. With these two principles Hawkins creates a complex network of interrelated phrases, centred on two main zones, which not surprisingly are the two sections with contrasting composed materials in the song: 1B and 1C. The following analyses are broken down accordingly, with example 7.2 focusing on 1B (including getting into and out of the section), and examples 7.7 and 7.8 focusing on 1C (including getting into the section).

The main instances of Phrase Development in example 7.2 occur at 1B/5-7 (Phrase One) and at 1A3/2-3 (Phrase Two). They consist in the application of a double voice-leading trajectory: the top voice spells out the repeated melody notes, while the lower voice is a descent comprising both diatonic and chromatic notes. The result is a phrase shape of this kind, with the lower voice extending further:

EXAMPLE 7.2: Phrase Development in ‘You Go to My Head’ from 1A2/6 to1A3/3 [01:10].

Rhythm is the developing motor acting inside these phrases. The descent occurs by groups of two notes, but is cast in sextuplets, which suggests that Hawkins is playing on a superimposed 6/4 metre (see §7.7). He prevents this developing principle from becoming predictable by phrasing with customary flexibility: midway through Phrase One, the notes of the lower voice become slightly longer (B – A♯ – G♯ – G – F♯); in Phrase Two the speed of the descent is increased from sextuplets (1A3/2/1) to thirty-seconds (1A3/2/2).[11]

The phrase shape of Phrase One is the result of Hawkins's care for the melody, which consists of F♯s repeated as quarter-note triplets, for two bars in the upper octave (1B/5-6), and then for two bars in the lower octave (1B/7-8).[12] Hawkins's Phrase Development ploy is conceived to maintain the repeated F♯ (upper voice) and to travel down within two bars to the F♯ an octave lower (lower voice). At 1B/6/4 F♯ is maintained in the top voice, even if it is dissonant relative to the passing D_{min}^{7} chord, while the lower voice's G natural at that moment (the chord's 4th or 11th) can be considered consonant, and was probably not placed there by chance.[13] Phrase Development and Theme Variation have their own agenda and their own priorities: a clash with a harmonic event is of no importance compared to their greater inertia.

In Phrase Two (1A3/2-3), Hawkins returns to the rhythmic and voice-leading materials conceived for 1B/5-7 in order to achieve the double aim of integrating the repeated F♯s from the melody and of respecting their change of octave after two bars. The resulting phrase shape is the same as in Phrase One, but the song's melody in this location is not made up entirely of the same notes, and there is no change of octave.

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[11] Perhaps the shift to thirty-seconds comes as a result of the 'polyrhythmic pressure' exercised by the groups of two notes on the sextuplet. See paragraph beginning with 'From a rhythmic perspective…', under example 6.4. See also alternative 'phonetic' notation of Phrase One in Appendix III (example APP.3).

[12] Referring to the sheet music which is in the key of E♭, Alec Wilder (1972, 499) exclaims: 'There are nineteen, count them, D naturals! And I, with my distaste for repeated notes, love every one of these, especially when they unexpectedly drop an octave for the last seven'. Hawkins seems to have liked almost every one of these repeated notes as well, reaching a total of fifteen F♯s in 1B/5-7 (counting two in 1B/7/2-3).

[13] The 11th of a minor 7th chord is a note of choice in a parallel movement such as the present one (iii – ♭iii – ii). The bridge of Duke Ellington's 'Prelude to a Kiss' ends with four chromatically ascending minor 7th chords ($C♯_{min}^{7}$ – D_{min}^{7} – $D♯_{min}^{7}$ – E_{min}^{7} to A^{7}); the melody consists of the 11th of each chord. Perhaps this note is a good choice because it is the root of the dominant chord of which the minor 7th chord is the 'important minor': without the 11th the minor 7th chord sounds as a ii or iii or vi, but with the 11th in the melody it sounds like its associated dominant, i.e. as a $V_{sus}^{7/9}$ with $\hat{5}$ at the top instead of in the bass.

Hawkins's phrase uses the melody notes C and D in the top voice, but this time the descending lower voice does not target the melody note at 1A3/3/1, which Hawkins ignores (he plays F instead of the melody's A). Rather, the Phrase Development scheme that Hawkins came up with in 1B/5-6 and that generated Phrase One now references itself: development is taking place not only with respect to the melody of the song, but also from one phrase improvised by Hawkins to another some four bars later. Theme Variation and Phrase Development are at work simultaneously, but precedence is given to the latter.

Phrase One covered two bars, on a | ii V | I iii ♭iii | ii | progression. Phrase Two is condensed: it covers one bar and takes place on a | ii V | I | progression. Because Phrase Two starts not from $\hat{5}$ as Phrase One did (F♯ in the key of B) but from $\hat{3}$ (D in the key of B♭), Hawkins, even though he has less space to do so, can extend the lower voice further down to $\hat{4}$ (E♭ in the key of B♭), when Phrase One ended at $\hat{5}$ (F♯ in the key of B). But, in order to maintain the similarity between the two phrases (which, as I shall discuss shortly, has a structural purpose), Hawkins then moves the lower voice of Phrase Two back up, and also resolves it on $\hat{5}$ (F).

At the beginning of Phrase Two, Hawkins could have used the same Phrase Development principle (descent of the lower voice) by implementing VL Movement Three (see §4.3) and playing C – B – C – B♭ – C – A. Instead, Hawkins ignores the underlying C_{min}^{7} (ii) and immediately plays F^{7} (V), as attested by the first note of the lower voice, A, the 3rd of F and not part of the pre-dominant C_{min}^{7}.[14] He centres the voice leading of the lower voice not on the expected descending 7ths of C_{min}^{7} but on A – G – G♭ – F ($\hat{7}$ – $\hat{6}$ – ♭$\hat{6}$ – $\hat{5}$), thus reprising the principle governing the end of Phrase One. In a surprising shift of direction, he prolongs the voice-leading thread by going back up to G ($\hat{6}$) after having reached G♭ (♭$\hat{6}$) and down again to E (♯$\hat{4}$) in order to surround F ($\hat{5}$). It is rare to hear a phrase returning to $\hat{6}$ after having reached ♭$\hat{6}$, since the tendency of ♭$\hat{6}$ is to resolve directly to $\hat{5}$.

[14] Barry Harris insists that melodic instruments should not think ii – V – I but only V – I. In this view ii is the 'important minor' of V, as we have seen in example 3.2. Harris encourages improvisers to think of a seamless movement from dominant to tonic, rather than to think in vertical slices of harmony. In this view, playing V when the band is still on ii is legitimate.

§7.3 Song Structure and Phrase Pairs (1B)

One characteristic of 'You Go to My Head', as already mentioned, is that it visits ♭III and III. In itself this is an interesting feature since the song's A sections are built on the alternation of the major mode with its parallel minor mode, the one note changing significantly from a harmonic perspective being $\hat{3}$ which becomes $\flat\hat{3}$.[15] Therefore the modulations to ♭III and III are akin to a projection in 'three dimensions' of the 'bi-dimensional' $\hat{3}$ and $\flat\hat{3}$ scale degrees; or to put it in another way, the modulations correspond at a larger scale to the play between major and minor thirds that is characteristic of the song's harmonic backdrop.[16]

Of more importance, structurally speaking, is the placement within the form of these modulations to III and ♭III. They occur in the A sections (♭III) and in the B section (III). If we abstract from the chord sequence the main zones of modulation in the AABA portion of the song, we get the following result:

A1 and A2:	|| **I** maj	|		|♭III	|		| I min	|	| I maj	|	||
B:	|| **IV**	|		| I	|		| **III**	|	| III	|	||
A3:	|| I maj	|		|**♭III**	|		| I min	|	| **I** maj	|	||

Although A1 and A2 are identical to A3, the modulation to ♭III that they all contain acquires its full structural meaning only in A3, after the B section has been heard. Indeed, seen in this light 'You Go to My Head' appears to travel down from IV at the beginning of its B section to III in the second half of that section, to ♭III in the first half of the A section, and finally to I at the end of that section.[17] The IV – III – ♭III – I 'deep' structure thus delineated sustains B and A3 in such a determined fashion that these two sections

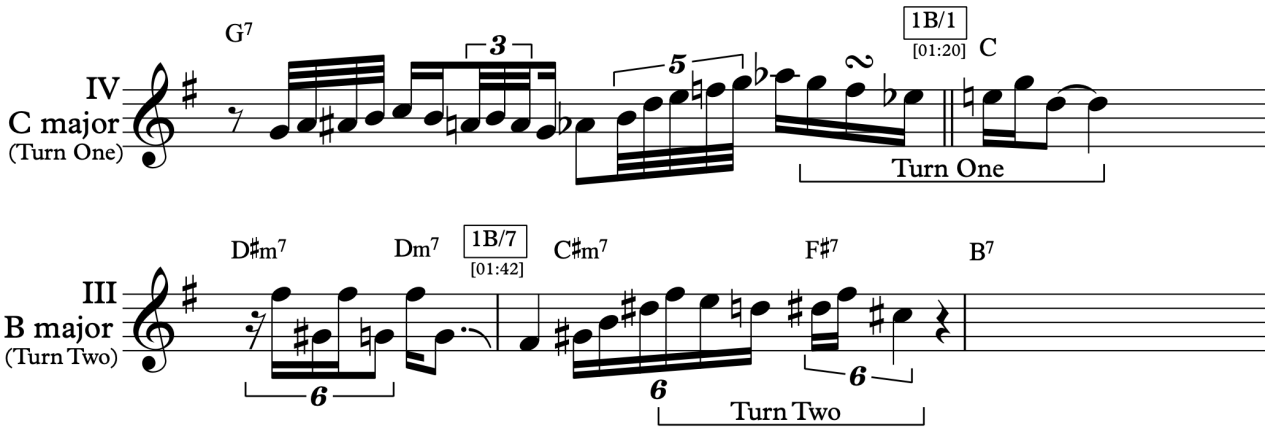
[15] A distinguishing mark of the melody in the A sections is that it carefully *avoids* $\hat{3}$ and only uses $\flat\hat{3}$. Maybe the absence, melodically speaking, of $\hat{3}$ creates an unconscious desire for it that is then fulfilled when the song modulates to III in the second half of the bridge (the hunger for $\hat{3}$ is titillated in passing by the vi arpeggio placed on the tonic just prior to that modulation).

[16] In this context, the key of B major, although it does not contain G, could be heard polytonally as a kind of G 'hyper-major', with two major thirds stacked upon each other (G to B and B to D♯).

[17] Although I (major or minor) is heard in between each of these 'stations', taken together they are like four steps in a stair descending from IV to I.

taken together can be seen as forming the core of 'You Go to My Head'.[18] Hawkins perceives this feature and elects to put it across to the listener melodically.[19] He does so by creating two pairs of inter-connected phrases (examples 7.3 and 7.4).[20]

EXAMPLE 7.3: First Pair on IV (1B/1 [01:20]) and III (1B/7 [01:42]) in 'You Go to My Head'.



First Pair: when he gets to IV at 1B/1/1, Hawkins ends his phrase with a little turn ($\hat{5}$ – $\hat{4}$ – $\flat\hat{3}$ – $\hat{3}$ – $\hat{5}$ – $\hat{2}$), indicated as Turn One in example 7.2.[21] Once he is in the key of III, he reprises the same turn, indicated as Turn Two, this time slightly anticipated and placed

[18] The solidity of this structure, which would have been amply sufficient to end the song with its last A, lends even more weight to the coda and its fresh melodic materials. In the sheet music the coda's harmony is essentially as follows:
|| ii | V | I | | V/♭2 | ii V | I | ||
Thus V appears on a strong place in the form (meaning at the beginning of an odd numbered bar) only at that final moment (C/5-6). Abstracting the intervening harmonies, we can propose the following schematic structure for the whole song: I – IV – III – ♭III – I – V – I. As discussed below (example 7.8) Hawkins emphasises this determining V by implementing a voice-leading descent from $\hat{5}$ to $\hat{5}$.

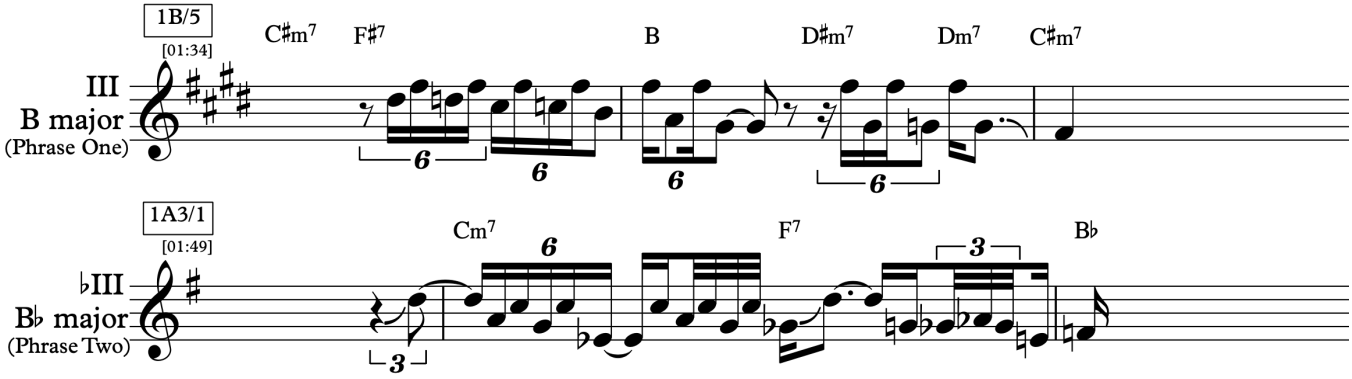
[19] As shown in example 7.1, in the modulation to ♭III at 1A1/2-3 Hawkins stays close to the melody, and at 1A2/2-3 he improvises a phrase that is not related to other phrases in his solo. It is only at 1A3/2-3 that Hawkins insists on the structural quality of the modulation to ♭III.

[20] Such phrase pairing is a form of Phrase Development, but similar to Cyclical Development in that the phrases developed from one another are not placed in immediate succession. However, Cyclical Development occurs in the same point of each section, with the same underlying harmony, whereas phrase pairing occurs in different points of the same or of adjacent sections, and must often adapt to different harmonies.

[21] ♭$\hat{3}$ could be spelled either E♭ or D♯. In classical music D♯ is preferred since this is the lower chromatic neighbour of E. But the use of blues modality in jazz often causes $\hat{3}$ to be lowered (as is $\hat{7}$, see §6.5), and this approach note to the major third E can be heard both as the lower chromatic neighbour D♯ and as the flattened third E♭. Same issue with D natural or C♯♯ in the B major reiteration of this phrase segment.

on the dominant of III (F♯^{7}) at 1B/7/3.[22] By thus repeating the same melodic material, he establishes a melodic link between the IV zone and the III zone.[23]

EXAMPLE 7.4: Second Pair on III (1B/5-7 [01:34]) and ♭III (1A3/2-3 [01:49]) in 'You Go to My Head'.



Second Pair: Hawkins uses the same principle to establish a hearable relationship between III and ♭III. As we have seen, on III (1B/5-6) he conceived a developmental idea that accommodated the F♯s of the melody and their change of octave, and which produced Phrase One; and in 1A3/2-3 Hawkins appealed to the same developmental idea, this time on ♭III, producing Phrase Two, and causing the abandonment of some melody notes at that moment (see example 7.2). Phrase Two is a variation of Phrase One, and an instance of Phrase Development, but it also serves the aim of delineating the song's structure by creating a phrase pair with Phrase One.

The First Pair (Turn One on IV – Turn Two on III) and the Second Pair (Phrase One on III – Phrase Two on ♭III) are interlocked in the following manner: Turn One (IV) – Phrase One (III) – Turn Two (III) – Phrase Two (♭III). The material that links III with the preceding IV comes *after* the material that links III with the following ♭III, and the two pairs are solidly hinged together because Second Pair (III) and First Pair (III) are connected together: indeed Turn Two could be considered to be the tail of Phrase One.

[22] In 1B/7/2 Hawkins uses a B pentatonic over C♯min^{7}. This pentatonic spells G♯min^{7} or B^{6}. The resulting sonority can be understood as C♯min$^{7/9/11}$ but it seems more appropriate to hear it as an anticipation of B (the tonic chord in the key of III), especially since the similar phrase segment at 1B/1 was placed on C (the tonic chord in the key of IV).

[23] The turn itself is in both cases preceded by an ascending group of fast notes spanning an octave (Turn One) and a minor seventh (Turn Two), making them even more similar.

The pairing of similar materials is perceptible by the listener for two reasons. First, because it takes place in a time-span short enough (in both cases within eight bars) for memory to serve. Second, because the IV, III, and ♭III zones are a half-step apart, which from a tonal perspective means that they are at the same time closely related (they could not be closer in terms of the interval separating their roots) and neatly contrasted (they are far from each other in the Circle of Fifths), making them easy to associate *and* easy to distinguish. By using this double process of connection and of discrimination, Hawkins makes the listener aware of the vicinity and of the specificity of the IV, III, and ♭III zones, and therefore of the song's large-scale structure.

§7.4 Two Additional Phrase Pairs (1A1, 1B and 1C)

The pairing of phrases just discussed could be seen as the result of Phrase Development, which easily generates related materials. But in principle Phrase Development operates within one phrase, or within several juxtaposed phrase segments, and does not necessarily engender a binary or dialectical thematic distribution. Furthermore, as discussed in footnote 20, phrase pairing can also be assimilated to Cyclical Development, the fundamental Hawkins strategy of coming back to similar materials at the same point in a section of the song.[24] But Cyclical Development tends to organise related materials according to a song's form, and not only in pairs. For example, in an AABA form, if similar phrases are played, say, in bars 3-4 of each A section, the end result will be three related phrases, rather than two. So it seems that the phrase pairs present in 'You Go to My Head' are an aim in themselves, a means by which Hawkins consolidates the organic cohesion of his intervention, a grid that he superposes onto the song's own melodic and harmonic structure.

Another phrase pair is formed by the two turnarounds at 1A1/8 and 1B/8 (example 7.5, extracted from examples 7.1 and 7.2). Taking the second one first: at 1B/8, the turnaround is played as a chromatic descent of four dominant 7th chords (B^7 – $B♭^7$ – A^7 – $A♭^7$). On B^7 at 1B/8/1, Hawkins plays a fast chromatic run, the main notes of which are audibly A – B – C♯ – D♯ – E♯, forming a fragment of a whole-tone scale going up from

[24] See examples 3.18 and 3.19, 4.2 and 4.3, 4.15, 4.18 to 4.20, 4.21 and 4.23, 7.3 and 7.4.

the 7th of B7 to its augmented 4th E♯ at 1B/8/2, spelled enharmonically as F since the chord in that point is B♭7. The whole-tone sound thus introduced informs the remainder of the turnaround by suggesting the use of augmented triads. At 1B/8/2 Hawkins surrounds the 7th of B♭7, which is consequently delayed, and arrives on the next chord at 1B/8/3 (the 'surround notes' sounding as the major 7th and 6th of B♭). At 1B/8/3 Hawkins ignores the underlying A7 and maintains B♭7, playing an augmented triad built on the 7th of the chord (A♭ – C – E).[25] Then, keeping to the same principle, he surrounds the 7th of A♭7, this time placing it 'correctly' at 1B/8/4. Starting from that note he plays again an augmented triad (G♭ – B♭ – D).

Because of its symmetry, the turnaround is a place at which it is difficult to resist the application of predictable patterns.[26] Hawkins avoids this pitfall by altering the turnaround itself. Instead of playing one chord per beat, he disregards A7 and plays B7 for one beat, B♭7 for two beats, and A♭7 on the last beat. The dissonance provoked by the superposition of B♭7 over the band's A7 is not a matter of concern to him: what counts is the movement of the phrase towards its target, the tonic chord G at 1A3/1.[27]

The passage just examined echoes the other turnaround to be found in this recording of 'You Go to My Head', which takes place sixteen bars earlier in 1A1/8 (see example 7.1). In that first instance, the turnaround is performed in a slightly different manner by

[25] Perhaps the E which makes the triad augmented was suggested by the rejected A7 chord of which it is the 5th. The augmented triad built on the seventh of a dominant chord spells out its 7th, 9th, and ♯11th. In the present case, E is the ♯11th of B♭7. In the fermata on A♭7 at the end of his improvisation (1C/8/2-3), Hawkins echoes both this ♯11th (D) and the chromatic surrounding of the chord's 7th which he applies to B♭7 and A♭7 in 1B/8 (example 7.5). This penultimate phrase could therefore be seen as a further instance of Phrase Pairing, linking 1B/8 and 1C/8.

[26] See discussion of example 6.1.

[27] In a similar fashion, Barry Harris recommends that horn players modify the harmonic rhythm of the first half of John Coltrane's 'Giant Steps' in order to counterbalance its monotonous regularity, by playing each tonic chord only for one beat and the following dominant 7th chord for three beats, instead of dedicating two beats to each. The liberty with which Hawkins approaches a sequence of dominant chords descending chromatically at the rate of one per beat can be studied in the several live recordings he made of Duke Ellington's 'Sophisticated Lady', and on Mary Lou Williams's 'Song in My Soul'.

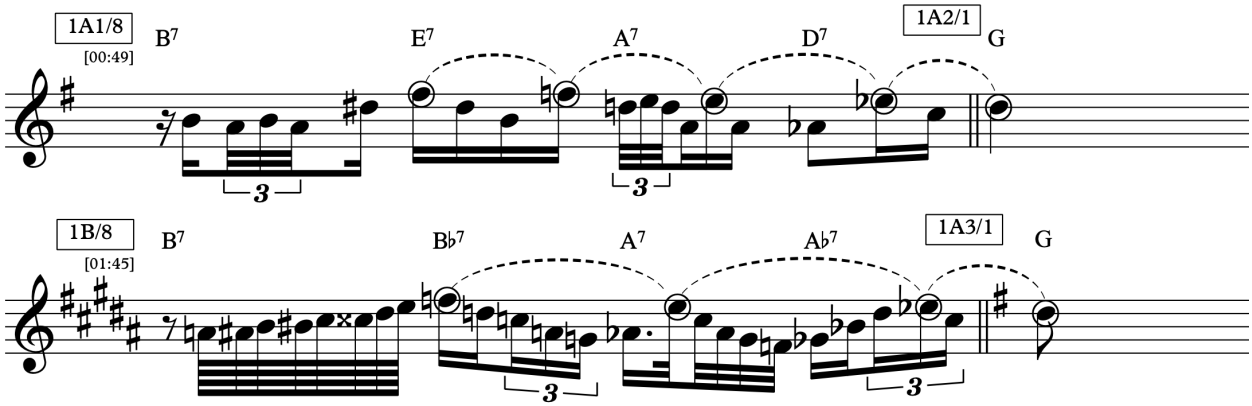
the rhythm section. Bassist Curley Russell plays in fourths, producing a diatonic succession of dominant 7th ($B^7 – E^7 – A^7 – D^7$), as opposed to the chromatic succession in 1B/8. Hawkins already plays chromatically in 1A1/8, simply outlining some of the roots, 3rds and 5ths of $B^7 – B♭^7 – A^7 – A♭^7$. B^7 is prolonged into $B♭^7$ at 1A1/8/2, its 3rd (D♯) dissonant to the underlying E^7, and $B♭^7$ is suggested only by its 5th (F) and 3rd (D) (1A1/8/2-3). Hawkins's phrase on this first turnaround, if Russell had followed the same chromatic pathway, would have resulted in parallel fifths and octaves with the bass.[28] As it turned out, Hawkins played parallel only to his own harmonic *idea.*

As a general rule jazz musicians have the choice, in places such as the two turnarounds in 1A1/8 and 1B/8, to travel either diatonically or chromatically (or a mixture of both), and the fact that often different members of the band take different routes works in the favour of the overall resulting counterpoint. In this instance (1A1/8) vibraphonist Milt Jackson plays a line in eighth notes (B – D – B♭ – A – A♭ – G – F♯ – E♭ – D) which is more melodically than harmonically driven (although it could imply something like $B_{min}^7 – B♭^7 – D^7$, skipping A^7 in the same way as Hawkins does later in 1B/8). This line is dissonant both in relation to Hawkins and to Russell, but the whole works because the target note, the tonic G, is the same for everyone, and because each player makes it elegantly along his own route.

The two phrases improvised by Hawkins on these two turnarounds (1A1/8 and 1C/8) constitute a pair of phrases. The second phrase at 1C/8 is more elaborated, but it is similarly built around the 5ths of the chords (thinking chromatically like Hawkins and not diatonically like Russell), delineating a variant of VL Movement Two ($♭\hat{7} – \hat{6} – ♭\hat{6} – \hat{5}$, here F – E – E♭ – D) in which $\hat{5}$ falls on I instead of V. The first phrase at 1A1/8 follows the same variant of VL Movement Two, but starting with $\hat{7}$ (circled notes and dashed slurs in example 7.5).[29]

[28] See discussion of 'How Deep Is the Ocean' at the end of §5.3.
[29] These variants are described in footnote 28 of Chapter 4, and in the paragraph it is attached to (see also discussion under example 4.23). Here a further difference is that VL Movement Two takes place over four chromatically descending dominant 7th.

EXAMPLE 7.5: Phrase pair on two turnarounds in ‘You Go to My Head’ 1A1/8 [00:49] and 1B/8 [01:45].



Two phrases that can likewise be considered to form a pair occur in 1B/1-3 and 1C/5-7. Example 7.6 extracts them from examples 7.2 and 7.7 to highlight their similarities, which are eloquent also from a visual perspective, when seeing each phrase isolated from its context.

EXAMPLE 7.6: Phrase pairs in ‘You Go to My Head’ 1B/1-3 [01:22] and 1C/5-7 [02:34].

Although they occur some twenty bars and more than a minute apart, these two phrases are thematically related: they end on the same note, their starting notes are only a minor third apart, they are exactly the same length, they are placed in the same manner within the three bars that they cover (starting a sixteenth before beat 4 and ending on the downbeat), they have the same general shape. More importantly, they seem to share the

same intention: to land on D after a few daring rhythmic somersaults. In both cases the target note D comes from the melody (1B/3/1 and 1C/7/1, see ossia staves in examples 7.2 and 7.7 respectively). It might seem an obvious thing to point out, but the melody provides the target's location in space *and* in time: the note and the rhythmic placement. Both are respected by Hawkins. As he aims at this melody-given target, the flexibility of his rhythm seems to come as a *consequence* of the fact that he has to reach that note at that moment, rather than as a deliberate intention to use particular rhythmic figures in that point. Each phrase seems to be conceived from its end, backwards.

The exciting effect produced as Hawkins successfully hits the target note in spite of the rhythmic risks he has taken is enhanced by the presence of the vibraphone, which can strike a note or a chord with percussive finality, as a drummer strikes a cymbal. This effect is stronger in the first line of example 7.6, because the rhythmic figures indulged by Hawkins have more swagger to them. They seem to arise from a will to rush at breakneck speed towards the D-target, causing a compression from sextuplet (1B/2/3) to thirty-seconds (1B/2/4) before crashing into the downbeat (1B/3/1) as if into a wall.

§7.5 Phrase Development (1C)

Phrase Development is used again by Hawkins in ‘You Go to My Head’ at 1A3/6 and into 1C, generating several phrases covering about eight bars (example 7.7). This is one of the most beautiful passages in any music, sure to rise the listener’s temperature like a summer with a thousand Julys.

EXAMPLE 7.7: Phrase Development in ‘You Go to My Head’ from 1A3/6 to 1C/5 [02:07].

The end of Phrase A provides the Main Motive that Hawkins develops in the subsequent phrases: A – F♯ – G – D. These notes are taken from the song's melody in that point, in rhythmic diminution, the addition of the lower neighbour F♯ making the motive easier to grasp aurally. The motive can be divided into two halves: the minor third A – F♯ (circled in example 7.7) surrounding the tonic G, then the larger and contrasting fifth interval G – D.

Phrase A had been announced sixteen bars earlier at 1A2/6-7 (see beginning of example 7.2). The song's melody in that point resolves to the tonic G and does not yet feature the fifth G – D, which it reserves for the end of A3, but Hawkins uses it nonetheless, anticipating Phrase A; however that first time he just plays the fifth once and does not yet exploit its developmental possibilities. The phrase at 1A2/8 which brings him to IV at 1C/1 (still in example 7.2) is also of similar construction to Phrase B sixteen bars later: it ascends in successive 'waves', but does not reach as high as Phrase B in 1A3/8. The two phrases at the end of the second A section, in their similarity with their counterparts at the end of the third A section, and because they are more restrained, serve as an allusion, a preparation, even a promise of the splendour that is to come sixteen bars later.

They also form two sets of phrase pairs, to be added to the ones surveyed in §7.3 and §7.4. We can therefore count a total of six phrase pairs in 'You Go to My Head': the First Pair and Second Pair used by Hawkins to express the IV – III – ♭III 'deep' structure of the song (examples 7.3 and 7.4), the two phrases found on the turnarounds at 1A1/8 and 1B/8 (example 7.5), the two phrases found in 1B/1-3 and 1C/5-7 (example 7.6), and as just discussed the two sets of pairs in 1A2/7-8 and 1A3/7-8 (beginning of examples 7.2 and 7.7). Such abundance suggests that the pairing of phrases is a fundamental organising force in this improvisation.

Phrase B develops the Main Motive found at the end of Phrase A in three successive steps, using it each time in full, with its two surrounding notes forming a descending third (circled in example 7.7)[30] placed on the beat as accented dissonances, followed by a wide interval: a sixth at 1A3/8/1 to fit the underlying G^7, and the Main Motive's original fifth at 1A3/8/3 and at 1C/1/1. A fifth is already used by Hawkins at the start of Phrase B, but

[30] The first and third of these are diminished thirds, the second a minor third as in the Main Motive.

played downwards as C – F; because on the second note the harmonic comes out (F an octave higher), the passage is ambiguous, and the descending fifth C – F is not necessarily part of Hawkins's developmental scheme. At 1A3/8/3 the Main Motive's fifth, now E♭ – B♭, is taken from the natural minor mode of IV to which the phrase is headed.[31] The exhilarating melodic impetus of Phrase B comes from this rigorous motivic development, and is enhanced because the notes targeted by the three applications of the motive are distributed regularly and purposefully, a major third apart (B – E♭ – G; I examine the voice-leading features of this passage in example 7.8). Hawkins underlines this ternary construction by lengthening slightly F at 1A3/8/3 just before the second application of the motive (turning what would otherwise have been sixteenths into a quintuplet), and even more dramatically by taking a deep breath just before the third application at 1A3/8/4.

Going into the coda (1C), Hawkins abandons the song's melody in order to keep developing his phrases around the Main Motive, the ascending fifth that concluded Phrase A. The only melody notes he retains in the coda are those outlining the tonic G triad in 1C/3 and the last note of the melody at 1C/7/1 (see end of example 7.8). As already mentioned, at 1C/4 the chords used by the band – and surely discussed beforehand by the musicians, since Hawkins's phrases stick to them so closely – would cause the song's melody to be dissonant. Hence this passage results from a conscious decision to privilege the arranged chord sequence over the original melody, indicative perhaps of bebop priorities. Such a decision might seem surprising, given that the coda is

[31] Many jazz musicians would see this B♭ as the 'sharp nine' of G^7, and as part of the 'altered' scale. Although widely taught in established jazz curricula, such a view is tonally incongruous. Thinking in scale degrees (horizontally) rather than in chord extensions (vertically), one would tend to see B♭ as $\flat\hat{7}$ in the key of C, placed on its dominant G^7. If one looks at the chord thus formed, which contains both B and B♭ (almost invariably the B is an octave lower than the B♭ in the typical voicing using this colour), one can explain this 'cross relationship' in the following way: B in the lower voice is the leading tone of C ($\hat{7}$), while B♭ in the upper voice is $\flat\hat{7}$, a borrowing from the natural minor mode, and generally descending towards $\hat{5}$ by way of another such borrowing, $\flat\hat{6}$ (the A♭ in the Hawkins phrase under our present scrutiny). Seeing it this way avoids having two 9^{ths} for the same chord ('flat nine' and 'sharp nine'), and the dominant's 'flat nine' in this view is simply $\flat\hat{6}$. We still end up with two $\hat{7}$, but this is less disturbing conceptually because they are part of a melodic or contrapuntal movement happening, as it were, in two different voices. An example of the succession of $\hat{7}$ and of $\flat\hat{7}$ in the same phrase, and of their inseparable 'flat nine' which is really $\flat\hat{6}$, can be found on a secondary dominant in bar 7 of the Sarabande of Bach's *Cello Suite in C*. The passage is in G minor, the harmony A^7 (V/v). The 'lower voice' of the melody is C♯ ($\hat{7}$/v), the 'upper voice' is B♭ then C ($\flat\hat{6}$ – $\flat\hat{7}$/v). The phrase resolves to V (D in the lower voice, B♭ in the upper voice, spelling an incomplete $V^{6/4}$). See also bars 22-23 in the Courante of the *Cello Suite in C minor*.

such a poignant moment in the song, with its melodic drop of an octave and subsequent ascending scale. But the acceptance of this alternative and melody-exclusive chord sequence might be the result of another intention: to deliberately depart from the melody at that moment. Indeed, as we have seen in §7.1, the architectonic scaffolding that supports Hawkins's improvisation on 'You Go to My Head' delineates a progressive abandonment of the song's melody, designed in three steps, which are roughly as follows: melody exposition in 1A1 and 1A2, solo tightly linked with the melody in 1B and 1A3, and solo emancipated from the melody at 1C.[32]

Deliberate intention or not, in the coda Hawkins drops Theme Variation, and applies instead Phrase Development by using and transforming the Main Motive that ends Phrase A. Since the Main Motive was derived from the melody to start with, in a sense Hawkins replaces the song's melody in the C section with his variations of the melodic fragment found at the end of the A section. As we have seen, in Phrase B he used the two halves of the Main Motive: two surrounding notes, and then an ascending fifth. In Phrase C and in Phrase D, he drops the first half of the Main Motive and focuses on the most memorable part, the ascending interval which he adapts to fit the new harmonic landscape. In Phrase C it expands into a minor sixth (E♭ – B), and then contracts in Phrase D into a series of fourths (F♯ – B, F – B♭, and E – A), following the underlying iii – ♭iii – ii progression.[33] The fourths are 'suspended' into the next chord as accented dissonances, and the rhythmic delivery is extraordinarily precise, with some notes made slightly longer (provoking a quintuplet and a septuplet) in order to avoid rigidity and repetitiveness. In the midst of this complex intersection of rhythmic, harmonic, and melodic concerns, Hawkins even finds the time to execute two clean trills, on F and then on F♯. The development at work in Phrase B, C, and D stands out and is easily followed by the listener because it is centred on the comparatively wide interval of a fifth (and its mutations into sixths and fourths).

The passage in example 7.7 is the climax of the performance. At least five factors are used by Hawkins to obtain this result: the harmonic-melodic structure just discussed;

[32] A version recorded a month earlier by Don Byas (Gotham 132-A) is frustrating in comparison: it is almost entirely based on Paraphrase, with little improvisation, and the repetition of the coda is formally unconvincing.
[33] Or VL Movement Five, see §4.5.

range (Phrase B, Phrase C, and Phrase D each feature one sounding of D, the highest pitch to appear in this solo); dynamics (Phrase C and Phrase D are the loudest in the solo); increase in rhythmic complexity; intensity of expression (the growl added to the sound).[34] Such efficacious build-ups are typical of Hawkins, as noted by Scott DeVeaux:

> Hawkins spreads out into all registers, investing each note with the same rich, full tone and contrapuntal potential, continually deferring closure through a relentless flow of notes until he attains a simultaneous climax of timbre, register, and volume. Parker, by contrast, is perfectly willing to close things off.[35]

But in his view, they come at a price:

> Coleman Hawkins's earnestness has one fatal flaw. Once he has reached his climax, he has nowhere to go – no way of ratcheting the level of intensity up another notch short of incoherent screaming. Parker's rhetoric, on the other hand, allows for irony, the juxtaposition of the unexpected.[36]

The desirability of irony over earnestness is a matter of taste, or perhaps of ethics. And, to be fair, DeVeaux's comments are probably made with medium and uptempo numbers in mind. Moreover, his main point is to emphasise what he sees as an essential aspect of Parker's improvisations, 'the artful disruption of the natural expectation of continuity'. But it remains that, after a climax, by definition there is no possibility to go further up (or else it means that the actual climax will occur later), and one has to come down. It is certainly a delicate matter to handle for an improviser, and there might be psychological pressure not to spoil what one has just achieved. In Phrase D, Hawkins shows how smoothly it can be done, as he seamlessly comes down from the climax reached in Phrase C. Phrase D has just a little less growl, overall the volume is slightly

[34] See §6.9.
[35] DeVeaux 1997, 267.
[36] DeVeaux 1997, 268.

softer (excepting the high D which is perhaps slightly louder than the high D in Phrase C), the rhythm less intricate, and although the phrase reaches up to high D again, its melodic contour descends gently, following the voice-leading thread discussed in example 7.8. The comparison between Phrase C and Phrase D illustrates what, according to Phil Schaap who heard him live in the late 1960s, is an essential trait of Hawkins's instrumental technique:

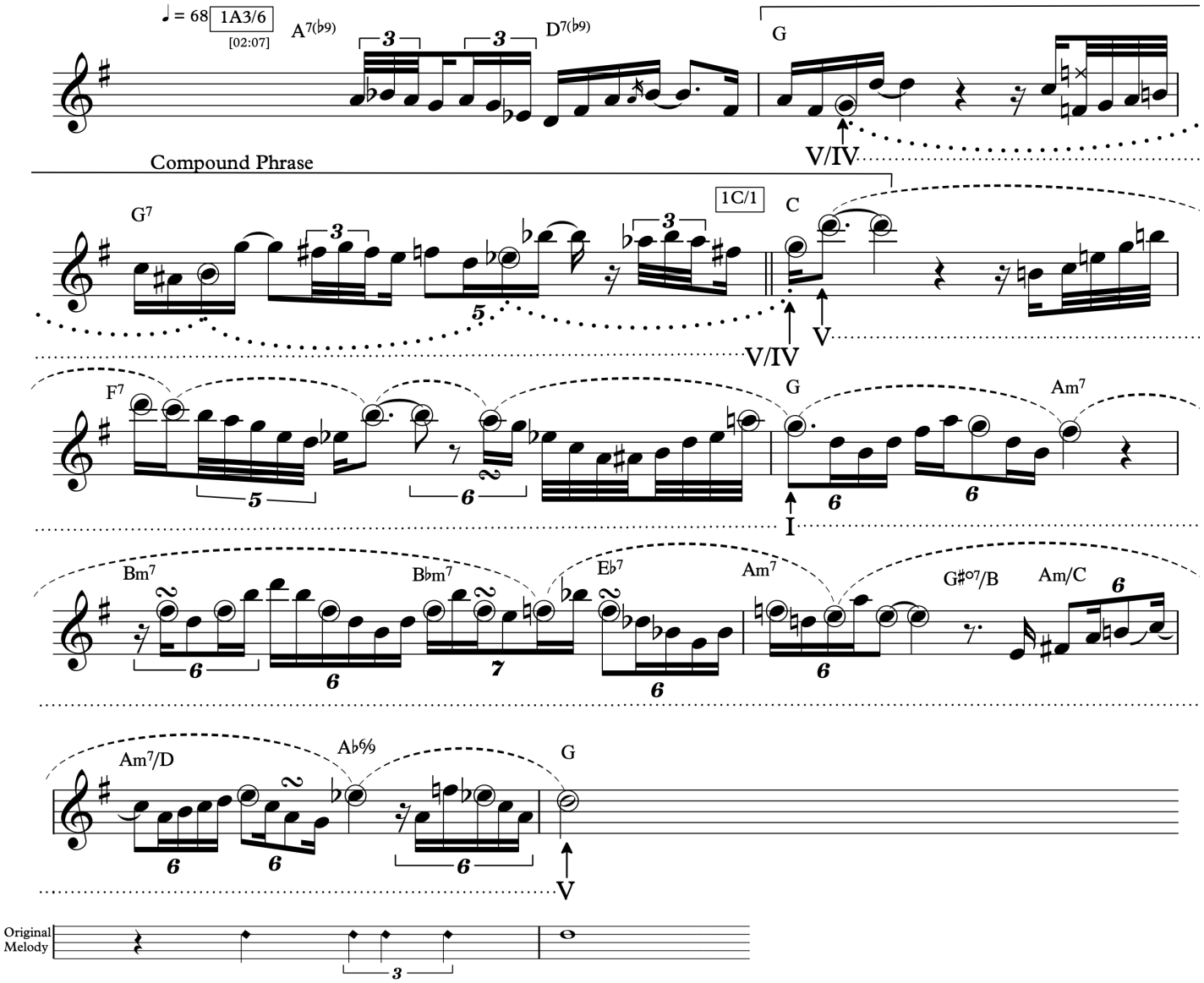
> Even the weakened Coleman Hawkins played as loudly as any saxophonist I've ever heard. More important was his dynamics. I heard him play similar phrases at distinctly different volumes. From his colleagues, who I knew well and further into my adult years, I've come to the understanding that this was important to him: to be able to play anything at any volume.[37]

§7.6 Voice Leading (1C)

Let us look now at the same passage in terms of voice leading, adding to it the following bars which bring the song to its close at 1C/8 (not considering the additional cadence that Hawkins and his men add to finish off the recording, and which corresponds to the repetition, in the song's published sheet music, of C/5-6 into C/7-8, causing that last section to last ten bars instead of eight). We have to keep in mind that the voice-leading principles that we are about to examine operate on top of the application of Phrase Development by which variations of the Main Motive, itself derived from the melody, sustain the unfolding of certain passages.

[37] Email to author, 6 February 2021. Hawkins's control of a wide range of dynamics is another aspect of his technique which is probably inspired by Western classical music. Playing the same phrase in every dynamics also brings to mind one of Barry Harris's advices: 'You must be able to play everything you play twelve times' (i.e. in twelve keys).

EXAMPLE 7.8: Voice leading in ‘You Go to My Head’ 1A3/6-8 and 1C/1-7 [02:07].



As discussed earlier, Hawkins expresses the core structure of ‘You Go to My Head’ by bringing the listener’s attention to the IV – III – ♭III trajectory that unfolds from the B section into the last A. He does so by way of the repetition and development of two pairs of phrases, placed on IV and III, and on III and ♭III. The coda, which brings the song to its conclusion with new and contrasting melodic materials, is taken care of by Hawkins in a different way: instead of showcasing its features with motivic repetition and

development, he superposes his own melodic structure onto it, and in doing so brings the recording to a profoundly satisfying conclusion. This fresh melodic structure consists of a neatly drawn voice-leading descent, that starts diatonically and then becomes chromatic. This descent is preceded, in the few bars leading into IV at 1C, by an ascending voice-leading thread.

Let us consider the ascending voice-leading thread first.[38] It is indicated with dotted slurs in example 7.8. If we consider Phrase A and Phrase B from example 7.7 together, we can count four applications of the Main Motive, spanning an octave (G to G or tonic to tonic) divided in major thirds, thus forming a G augmented triad from root to root. This augmented triad is the voice-leading principle that sustains these three bars. The second halves of the first and fourth applications of the Main Motive are the same (G – D), the first time sounding as $\hat{1}$ – $\hat{5}$ in G (I), the fourth time sounding an octave higher and as $\hat{5}$ – $\hat{2}$ in C (IV). What we obtain by joining Phrase A and Phrase B into one larger phrase, or more precisely by incorporating the Main Motive that forms the tail of Phrase A into Phrase B, is an almost palindromic structure, labeled Compound Phrase in example 7.8. The Main Motive is used four times, spaced regularly in major thirds in order to cover an octave, its first and last applications being the same (except for A which becomes A♭). The inner symmetry of this structure is accentuated because the note that lies in its middle (after two iterations of the motive and before the two next ones), F (at 1A3/8/3), is held slightly longer by Hawkins, as if he wanted to underline that this note is the balancing point on which the Compound Phrase rests – its cornerstone. This slight lengthening of F causes the rhythmic figure in which the Main Motive is cast to become a quintuplet.

The G augmented triad that governs Compound Phrase can – with some stretch of the imagination – be received as a representation of the structure of 'You Go to My Head', if boiled down to its bare essentials: its principal key is I, and its second most significant key is III, to which the song modulates in its very centre (bars 21-23 out of 50). The two keys thus determined are represented by the G triad and by the B triad. The G augmented triad is what we get if we combine I and III into a single triad: the song in a nutshell.

[38] This is not a case of voice leading in the 'strict' sense proposed a the beginning of Chapter 4 (a continuous, chromatic, descending line), but it still is a string of notes that serve as the skeleton on which the attached phrase segments are fleshed out.

Furthermore, if we look at the fourth note of each application of the Main Motive in the Compound Phrase (i.e. the notes immediately following the circled ones in example 7.7), we obtain D – G – B♭ – D: a G minor triad in second inversion. This, too, is a magnification of the song's structure, in that the G augmented triad and the G minor triads cohabit in this phrase, just as $\hat{3}$ and $\flat\hat{3}$ as well as III and ♭III cohabit in the song. We could also consider Compound Phrase in terms of dyads, isolating, from the G augmented triad, the two dyads G – B and B – D♯, and from the G minor triad, the dyad B♭ – D: the roots and 3^{rds} respectively of I, III, and ♭III.

Turning now to the voice-leading descent that Hawkins implements in the coda (indicated with dashed slurs in example 7.8). It starts immediately after the voice-leading thread just described, which ascends by pivoting around the notes of the G augmented triad. Once G has been reached at 1C/1/1, the Main Motive extracted from the melody (the fifth G – D) is sounded, its low note G being the end of the ascending voice-leading thread, its top note D being the beginning of the new and final descending voice-leading thread. The descending thread is itself divided into two parts, combining in succession VL Movement Six and VL Movement Two:[39] first it moves down diatonically from D to G ($\hat{5}$ – $\hat{1}$ implying melodically the harmonic functions V – I), and then it moves down chromatically from F♯ to D ($\hat{7}$ – $\hat{1}$, also implying V – I).[40] Twice in this passage, Hawkins modifies his voice-leading threads after he has reached the tonic (G): at 1C/1/1, by switching from an ascending to descending thread (there, G is $\hat{5}$/IV, but it can also be heard as $\hat{1}$ in the main key); and, at 1C/3/1, by switching from diatonic to chromatic descent (there, G is supported by the I chord and is firmly sounded as the tonic).

The total descent goes from D to D an octave lower ($\hat{5}$ – $\hat{5}$, implying V – V). The D with which it begins is the highest note in Hawkins's improvisation; he repeats it twice more in this concluding passage, as he goes down to D an octave lower: once at 1C2/1, as an appoggiatura to the C of the descent; and once at 1C/4/2 as the top part of the B minor

[39] See §4.2 and discussion under example 4.23. The $\flat\hat{7}$ – $\hat{6}$ – $\flat\hat{6}$ – $\hat{5}$ delineated by VL Movement Two usually takes place on a iii – VI – ii – V progression. Here, ♭7 and $\flat\hat{6}$ fall on substitute chords (B♭min^{7} – E♭^{7} instead of E$^{7\flat9}$, and A♭$^{6/9}$ instead of D$^{7\flat9}$).

[40] The leading tone $\hat{7}$ is usually imbedded in some form of chord functioning as V, one rare exception being when it appears as part of a iii chord within a chord sequence.

arpeggio he uses to prolong the F♯ of the descent.[41] The descent considered in its entirety goes from $\hat{5}$ over the IV chord at 1C/1/1 to $\hat{5}$ over the I chord at 1C/7/1. This is the end of the song [02:40]. Although in the sheet music two bars are added in which the end of the melody is repeated, they have no structural import. In Hawkins's recording they are replaced by a iii – ♭iii – ii – V – I cadence performed with a slight ritardando on ii and a short fermata on V (see footnote 25 and Appendix IV).[42] The actual structural ending of the song is at 1C/7/1, and Hawkins's note there is D, which is the melody note. Disregarding the added bars at its end, 'You Go to My Head' is one of few songs ('Gone With the Wind', 'There's a Small Hotel', 'In the Still of the Night', etc.) that ends on $\hat{5}$ and not on $\hat{1}$, and it is striking that Hawkins respects this feature (again ignoring the subsequent cadence which is out of the confines of the song as a composition).

Let us now consider, together, the two voice-leading threads implemented by Hawkins in example 7.8, the one that leads into 1C and the one that runs through that section. To make my point, I will have to repeat much of the information just given, in order to try and unpack with some degree of clarity the formidable cohesion of the last thirty seconds of Hawkins's improvisation on 'You Go to My Head'. The ascending voice-leading thread organised around the notes of the G augmented triad takes places in a zone in which the harmony moves from I to V/IV (i.e. the tonic chord G becomes G^7, the dominant of C). The thread (dotted slurs in example 7.8) ascends, and covers one octave, G to G, which in the key of IV is $\hat{5}$ to $\hat{5}$, and which we could describe tonally as endorsing the function V/IV to V/IV if considered in the key of the song. The descending voice-leading thread (dashed slurs in example 7.8) covers one octave from D to D, diatonically then chromatically, starting from IV and moving back to I: considered in the key of the song, it goes from $\hat{5}$ to $\hat{5}$, and suggests the tonal functions V to V. Thus, in example 7.8, Hawkins puts in place the same general voice-leading structure, $\hat{5}$ to $\hat{5}$,

[41] The F♯ thus prolonged first appears in the descent at 1C/3/3, where it lands on the passing A_{min}^7 and is dissonant, but the voice-leading concern matters more to Hawkins. Furthermore, F♯ is dissonant for one beat only: at 1C/3/3, Hank Jones plays the 7th of A_{min}^7, G, which clashes with Hawkins's F♯, but in the next beat he moves it down to the chord's 6th, F♯. Jones uses this typical bebop treatment of the minor 7th chord also at 1B/3-4. Hawkins plays again F♯ against the rhythm section's A_{min}^7 at 1C8/1 (see musical example in footnote 25).

[42] Harold Arlen's 'Ill Wind' or Burton Lane's 'Old Devil Moon' are other songs in which the last phrase is repeated, provoking an extension of the number of bars which can be discounted when assessing the song's structure.

twice: once ascending, each note of the thread spelling an augmented triad, in the key of IV; and once descending, with each note of the thread delineating a scale (diatonic then chromatic), in the key of I.

The two threads are connected: as soon as the first one (dotted slurs) is over, the other one (dashed slurs) starts. The pivoting motive that links one with the other, the fifth G – D, is taken directly from the melody at 1A3/7, and displaced by the action of Phrase Development in order to serve as the hinge between the two voice-leading threads, at 1C/1. The note which starts the first voice-leading thread, the ascending one, is the melody note in that point (G at 1A3/7/2); the note that ends the second voice-leading thread, the descending one, is the melody note in that point (D in 1C/8/1). Furthermore, the D – D descending voice-leading thread that ends Hawkins's improvisation on 'You Go to My Head' can also be construed as a large-scale answer to the characteristic ascending D – D octave leap that opens each A section of the song's melody (see ossia staff in example 7.1), but that Hawkins uses only once, in the first A section, immediately after the piano introduction [00:25].[43]

§7.7 Thinking in Six

So far this chapter has shown how Hawkins, in 'You Go to My Head', uses the harmonic, melodic, and developmental techniques presented in chapters 4 to 6 (Voice Leading, Theme Variation, and Phrase Development). It remains for us to consider what he does rhythmically in this improvisation, on the basis of the findings discussed in Chapter 3. As it turns out, we can observe two instances in which he seems to be 'thinking in six'. Indeed, in the two contrasting sections of this song (B and C), and at the same points of each (bars 3 to 7), Hawkins employs almost exclusively sextuplet figures. As discussed in §3.1, this is a sign that he might be playing sixteenths in a 6/4 metre

[43] It is surprising that Hawkins neglected to refer to the melody's opening octave leap elsewhere, since this is such a striking gesture. Going into 1A2 and then into 1A3 he is busy navigating the $B^7 – B♭^7 – A^7 – A♭^7$ turnaround discussed earlier, which prevents him from using the melody's octave leap at those junctures; but in both cases he ends on the melody's D on the downbeat after the turnaround (1A2/1 and 1A3/1). So he keeps the upper note but not the lower one of that distinctive octave leap, except at the very beginning of his improvisation, where it is sufficient to evoke the entire song to listeners familiar with the Great American Songbook.

superimposed to the rhythm section's 4/4. To illustrate this possibility, examples 7.9 and 7.10 propose Hawkins's phrases in these two passages, written both in 4/4 and in 6/4.

As discussed regarding examples 3.16 to 3.18, often quintuplets and septuplets are ways of notating what, in Hawkins's mind, were perhaps rushed or lazy sextuplets. This is certainly the case with the septuplet I have written for 'You Go to My Head' at 1C/4/3, which can be heard as a sextuplet, with a note in its midst (E) made slightly longer by Hawkins's phrasing (see example 7.8). In example 7.10, I have rewritten this septuplet as a sextuplet, in order to clarify how the figure would relate to sixteenths in a superimposed 6/4 metre.

EXAMPLE 7.9: 'You Go to My Head' 1B/3-7 [01:29], written in 4/4 and in 6/4.

Listening to the recording while reading the 4/4 staff first, then the 6/4 staff, permits to experience the polyrhythmic nature of Hawkins's playing. Although this reinterpretation of Hawkins's phrasing is open to debate, the passage from 1B/4/3-4 to 1B/7/1 (example 7.9) seems especially convincing, as the notes placed on the sub-beats in the 6/4 metre are those accented by Hawkins.[44] Another factor pointing towards the possibility that Hawkins is indeed 'thinking in six' is the phrase segment at 1B/7/2-3, which I have labeled Turn Two in example 7.2. As discussed regarding example 7.3, Turn Two is paired with Turn One (found at 1A2/8/4 into 1B/1/1-2). Heard in the band's 4/4 metre, Turn One is played in sixteenths, while Turn Two is in sextuplets. But when Turn Two is heard in sixteenths within a superimposed 6/4 metre, it is placed exactly (at the beat level though not at the bar level) like Turn One is placed in the band's 4/4 (see ossia staff in example 7.9). In other words, in order to produce Turn Two, Hawkins plays Turn One in another key and in another metre, but rhythmically and melodically the two figures are identical.

[44] The melodic shape of the phrase segments in 1B/5-6 is reminiscent of the Courante in Bach's *Cello Suite IV* (bars 31 to 40):

The similarity is better illustrated if the passage is rewritten in 4/4 and in sextuplets:

In Bach's Courante, the repeated top note (E♭, then D, etc.) is placed on the beat. In Hawkins's phrase segments, because some notes in the interpolated descent are held slightly longer (B – A♯ – G♯ – G), the placement of the top note (F♯) within each sextuplet occurs both on the upbeat and on the sub-beat. But the governing idea in Bach and in Hawkins is the same: notes are grouped in six and in simple metre (2 + 2 + 2), the top note is repeated, and it alternates with notes delineating a descending motion (diatonic in Bach, chromatic in Hawkins).

EXAMPLE 7.10: ‘You Go to My Head’ 1C/3-7 [02:25], written in 4/4 and in 6/4.

Also convincing from the ‘thinking in six’ perspective is 1C/4 (example 7.10). Written in sextuplets and in 4/4, the harmonic switch from Bmin^7 to B♭min^7 falls in an odd place, in the middle of the third beat of the bar. Rewritten in sixteenths and in 6/4, it falls neatly on the fifth beat of the bar: Hawkins delays Bmin^7 for one beat into B♭min^7, then spells B♭min (omitting the third) and E♭^{7} (omitting the root) for one beat each.[45] Considered in this manner, the phrase segment is cleanly hinged to the harmonic progression performed by the accompanying band. On the contrary, the 6/4 version is not convincing for 1C/5/4 into 1C/6/1-3 (between parentheses in example 7.10). The sextuplets are clearly grouped in threes, and used by Hawkins to produce a shuffle phrasing of what could have been written as sixteenths in the 4/4 metre (the double time equivalent of heavily swung eighth notes). However, the sextuplet figure in the last beat of 1C/6 can be heard again as sixteenths in the superimposed 6/4 metre. As noted at the end of §3.1, at times Hawkins seems to inhabit both metres at once, switching seamlessly from one to the other.

[45] These two beats can also be understood as a single arpeggiation of G^{ø7} or Rootless E♭$^{7/9}$.

§7.8 Conclusion

As this chapter has shown, the main techniques observed in this thesis are well on display in 'You Go to My Head'. At a large scale level, Hawkins seems to structure his entire improvisation by charting a progression from one technique to the next: from Paraphrase and Theme Variation in 1A1 and 1A2, to Theme Variation and Phrase Development in 1B, and finally to Phrase Development and Voice Leading in 1C. This plan distances itself gradually from the song's melody, but Hawkins compensates by returning to Paraphrase and Theme Variation in 1A3. He seems to have made a deliberate decision to keep close to the song's melody in bars 4 to 7 of each A section, renouncing the opportunity to play dense figurations on the propitious $A^{7(\flat 9)}$ and $D^{7(\flat 9)}$ chords in bars 4 and 6. Such anchoring in the song's melody creates a potent contrast with the astonishing flights of musical invention taking place in the B and C sections. Within the progression from technique to technique which characterises the overall plan of this performance, the pairing of phrases acts as a supplementary organising force, and serves to outline the song's own IV – III – ♭III – I 'deep' structure.

CONCLUSION

This thesis has provided an account of the improvisational praxis of Coleman Hawkins, focusing on rhythmic, harmonic, melodic, and developmental matters. To each of these four parameters corresponds a main technique: compound-metre subdivision, voice-leading movements, Theme Variation, and Phrase Development. I start this Conclusion by summarising the salient aspects of these techniques. Then I suggest a few avenues for further research, and discuss the implications of my findings for group analysis. Finally, in the Epilogue, I revisit the debate about progress already treated in §1.1.

Summary of Findings

The rhythmic language of Coleman Hawkins is characterised by its variety on several levels. He commanded the entire practical gamut of rhythmic subdivisions, from eighth notes to thirty-seconds, including odd ones such as quintuplets and septuplets. He found ways to employ most possible figures within each kind of subdivision. He combined figures with each other freely, even when these arise from different subdivisions. At times, the complex net of diverse rhythmic figures thus established generates a texture of such intricacy that it seems to blur the pulse, serving more a rhapsodic and expressive purpose than a rhythmic one. Hawkins's rhythm is also put to the service of his harmonic invention. In some instances, it is Hawkins's tendency to exhaust the possibilities contained in a song's chord sequence which *requires* the rhythmic fabric to be so elaborate. This is especially notable when Hawkins functions predominantly in compound metre. Sextuplets allow Hawkins to insert, within a beat, a wealth of harmonic information, and to distribute it with more freedom than sixteenths would allow. This

ability to exclusively play notes which carry harmonic meaning, even when the beat is subdivided in three or six, is one of the distinguishing aspects of his musicianship.

On walking ballads (around ♩≃ 90) Hawkins privileged simple metre subdivisions, especially sixteenths, in order to implement a forceful rhythmic drive and a more straightforward deployment of harmonic and melodic content. On slower ballads (around ♩≃ 60) he preferred compound to simple metre, with a special predilection for sextuplets. He performed them with an emphasis both on ternary inner groupings, suggestive of 12/8 metre, and on binary groupings, suggestive of a superimposed 6/4 metre (in which these sextuplets are sixteenths). Another distinctive trait of some of Hawkins's improvisations is the constant switching from simple to compound metre, often occurring from one beat to the next, and creating a polyrhythmic texture in which the two metres remain perceptible.

Much has been written about Hawkins's harmonic sense, recognised as a particularly strong feature, but usually reduced to the spelling of chords, to a 'vertical' approach, as opposed to the 'horizontal' or melodic approach attributed to Lester Young. Such claims are not false, but they are not sufficient either. Hawkins did indeed possess more harmonic acumen than most jazz improvisers, but it was not limited to arpeggios, and it did not come at the price of other faculties, such as rhythmic drive or melodic inventiveness. On the contrary, and perhaps more than can be observed in any other improviser, it worked in conjunction with these other factors, the complexity and the variety of each enriching the possibilities of the others.

His main harmonic concern, from an active improvisational perspective (as opposed to the spelling of chords which comes largely as a result of learned reflexes), was voice leading. To the extent that a single-line instrument like the tenor saxophone allows it, Hawkins's approach was contrapuntal: horizontal rather than vertical, polyphonic rather than homophonic. When performing songs with appealing chord sequences, he seems to have carefully examined how the main voices moved from one chord to the next, and to have kept these present in his mind, as a kind of cantus firmus around which to improvise. Depending on the song, these voice-leading threads can take many forms: ascending or descending, chromatic or diatonic, continuous or discontinuous. In a majority of cases, however, they tend to be chromatic, descending, and continuous. At

times they span only a few bars, and at times they guide an entire A or B section. And it happens that Hawkins attends to two voice-leading threads simultaneously, projecting two superposed contrapuntal voices, in a manner reminiscent of certain passages in the Bach *Cello Suites* and *Violin Sonatas and Partitas.*

The notes of the 'cantus firmus' arising from the voice-leading trajectory enclosed in a song's chord sequence are used by Hawkins freely. A fine balance of decision and impulse guarantees that they are visited in irregular and varied points in a section and within each bar: they are not necessarily placed on strong beats, and they do not necessarily last more than other notes in the phrase. This makes it difficult to hear them as 'structural' notes without the recourse to transcription and analysis. The same remark is applicable when Hawkins choses to base his phrases on a song's melody, which he treats with equal freedom. Often, rather than paraphrasing the melody in a recognisable manner, he conceives elaborate variations which seem, at first hearing, unconnected to it. Again, transcription and analysis reveal that in such passages, a considerable amount of Hawkins's ideas are directly derived from the melody. The melody is present throughout, intertwined with the intricate filigree formed by the other notes improvised by Hawkins, determining but hidden as a watermark.

The rhythmic, harmonic, and melodic techniques used by Hawkins collaterally contribute to the organic development which sustains his improvisations. When he worked on the developmental aspects of a solo consciously, it seems to have taken two main forms as far as notes are concerned.[1] The first is perhaps the most natural in the context of tonal improvisation: it occurs from one phrase to the next. An initial phrase provides a melodic or rhythmic motive (which can be extracted from the song or not), and the consecutive phrases develop it. This process can also take place simply on the basis of a general melodic direction or shape: up, or up and down, or down and up, etc. The second and presumably conscious developmental technique used by Hawkins is the re-visitation, in identical points of each cyclically revolving section, of the same basic materials.

[1] As distinct from the developmental properties of other parameters used by Hawkins, pertaining to how notes are performed: gradual increases in dynamics, in phrasing and timbral intensity, and in rhythmic complexity.

Most of the techniques just summarised have been observed within the narrow scope of three ballads. Thus we obtain an evaluation of how many strands of events are taking place in a representative Hawkins solo. Some passages were examined from multiple angles to illustrate that different techniques are at work simultaneously. Comparing such examples, it can seem contradictory that the same notes are regarded as unimportant from one perspective, only to acquire significance from another one. This suggests that Hawkins was probably not aware of *all* the events that were taking place as an improvisation unfolded. A good many of these were certainly conscious, and arose from his study of the theoretical aspects of music, from his instrumental practice, and from deliberate intentions (to refer to the melody, to play such chord, etc.); other events were probably caused by the intrinsic workings of the tonal system.

These observations confirm that a considerable proportion of the phrases improvised by Hawkins, as he claimed himself, did indeed emanate from a meticulous thinking process occurring at the moment of playing. As he put it himself:

> 'Improvising is playing with a lot of thought behind it'.[2]

The remarkable aspect is that this process is applied by Hawkins to the materials proposed by a song: its melody, its harmonic sequence, its cyclical structure – as opposed to other improvisers who tend to rely mostly on their own materials, elaborated during their practice time ('formulas' or 'licks'), or on materials played by other band members (motivic interaction). This feature lends to Hawkins's improvisation their distinctive density and cohesiveness, and guarantees a freshness of enunciation that in turn motivates their unmistakable rhetorical quality.

[2] Feather 1957, 171-172. Quoted in §1.1.

Further Research

This thesis has focused, for the most part, on ballad recordings from the mid-1940s. As noted in §1.2, other significant ballad recordings by Hawkins from that period have been transcribed and discussed by Michael Zsoldos (2000). Still others deserve detailed analysis: 'Yesterdays',[3] 'It's the Talk of the Town',[4] or 'Ballade',[5] to name a few outstanding ones. Furthermore, the best ballads by Hawkins are so rich in content that they would gain from being approached anew from different analytical perspectives. Because of their large-scale tonal structures, they should be of particular interest to Schenkerian scholars.

It would be worthwhile to ask whether or not the techniques I have presented in this thesis are used by Hawkins on faster numbers, and/or on later recordings, and to what extent. For example, Cyclical Development is clearly in operation on medium or medium-up performances such as 'The Man I Love',[6] 'Love Me or Leave Me'[7] or 'Rifftide'[8]. As regards this particular technique, it might be easier to apply when the tempo is livelier, as the form revolves more rapidly and it is easier to remember what one has played eight bars earlier than on a ballad. Another question is: are there other techniques used by Hawkins specifically on faster numbers? One that comes to mind, and which I have briefly addressed in §6.8, is Hawkins's idiosyncratic usage of riffs. The observation that Hawkins used so few pre-conceived formulas in his ballad recordings of the 1940s has been central to my overall argument. Are there other situations in which he tended to be more formulaic, for example at faster tempi, or other periods, for example towards the end of his life?

This thesis has centred on Hawkins's rhythmic, harmonic, melodic, and developmental techniques. Although much needs to be further explored on that front, a complementary area of enquiry worthy of scholarly attention is Hawkins's instrumental technique, for it constitutes the main foundation of jazz tenor saxophone playing.

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[3] Apollo R-1002, recorded 16 February 1944.
[4] Capitol 596-3, recorded 9 March 1945.
[5] Verve MGV 8002, recorded October 1950.
[6] SignatureT-19005, recorded 23 December 1943.
[7] On *Red Allen: Ride, Red, Ride in Hi-Fi*, RCA-Victor LPM 1509, recorded 10 April 1957.
[8] Capitol LC 6650, recorded 23 February 1945.

Trumpet player Howard McGhee, when discussing the 'rivalry' between Coleman Hawkins and Lester Young, pointed to these two areas of expertise:

> Hawkins knew more about the horn and he knew more changes and the harmonic structure than Pres did. Although Pres could float through it like a butterfly and you'd still enjoy it, Hawk really made you get into where it really was, because he insisted upon playing the right changes.[9]

For saxophonist Paul Gonsalves, Hawkins's impeccable instrumental skills had exemplary value: '[Coleman Hawkins] is a great stylist, of course, but he is also a very, very good musician. He plays jazz and he also plays the instrument the way it should be played. I'm sure he could take a place among symphony musicians and command their respect'.[10] Hugues Panassié celebrated this aspect of Hawkins's artistry as early as 1934: 'Hawkins is unbeatable when it comes to instrumental technique. He is able to execute the most complex phrases with absolute ease, and, needless to say, without any mistakes. He has perfect control over his instrument'.[11] As for Hawkins himself, good control of the saxophone was an indispensable prerequisite for any artistic pursuit:

> There is nothing to do but play the horn whether you're talking about jazz or classical music. If you don't do that well, you can't do anything else. It's all you have. It makes no difference what music you're playing. Master your horn, that's all you've got to do. And it's hard to do, you better believe that.[12]

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[9] WKCR broadcast, October 1975, quoted in Chilton 1990, 241. Another trumpeter, Rex Stewart, held that Hawkins was endowed with 'almost superhuman strength on his instrument' (Stewart 1972, 67).
[10] Dance 1974/1979, 141. Symphony musicians in the USA were influenced by the best jazz performers, as noted by Martin Williams (1967/1979, 163-164): '[Louis Armstrong's] trumpeting has also affected the brass technique of almost every horn player in the Western world (where else do our symphonists get that vibrato they're not supposed to have?)'.
[11] Panassié 1934, 142: '*Au point de vue technique instrumentale, Hawkins est aussi imbattable. Il est capable d'exécuter les phrases les plus compliquées avec une aisance absolue et, cela va sans dire, sans la moindre faute. Il a un contrôle parfait de son instrument*'.
[12] Jones 1988, 58.

Using recordings, films, and photographs, several aspects of Hawkins's instrumental technique deserve to be studied: his body posture, and how it changed over the years;[13] his embouchure (how much mouthpiece he took in and at what angle, how did he place his lips);[14] at which moments in the music he tended to breathe in, and in what way (short rapid breaths or deep long breaths);[15] what his cheeks, jaw, eyebrows, and nose movements might reveal about the usage of facial resonators and perhaps even about throat positioning; the varying speeds and widths of his vibrato; what types of tonguing he used, at which frequency, and with what force;[16] the range of his dynamics; the technical specifications of his various mouthpieces (tip openings, chamber designs, materials); the strength and cut of his reeds;[17] the successive saxophone models he used; and how all the above, combined, affected his sound throughout the years.

To discuss Hawkins's improvisational technique, I have relied in part on the last of three articles that he wrote in the British *Melody Maker* in 1934 (see §1.6). In the first and second articles, Hawkins addresses questions of embouchure and body position, how the saxophone must be held, hand position on the keys, tone production, and the

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[13] In a film made in January or February 1935 for the Dutch firm Polygoon, Hawkins performs 'I Wish I Were Twins', in duo with pianist Leo de la Fuente. His posture, and his movements, contrast with those which can be observed in various films from the 1950s and 1960s.

[14] A picture of Hawkins's embouchure in Schoenberg 2012, 4 shows how little mouthpiece he took in. See also James 1984, 57.

[15] Max Jones (1988, 57) recounts: 'Hawk stood up and did his best to explain to me how deeply he breathed and how he achieved power and breath control when playing. "The lungs come right down here, and that's where the power comes from", he said, patting the lower part of his belly'.

[16] To Leonard Feather (1957, 174), Hawkins said: 'I'm glad I tongued a lot on *Hawk in Paris* – I'd stopped tonguing for a long time. I got tired of so much slurring' (referring to *The Hawk in Paris*, Vik LX-1059, recorded 9, 11, and 14 July 1956).

[17] In this connection Michael Levin (*Down Beat,* 20 October 1950, 2) provides an insight into Hawkins's sound which goes contrary to the usual conception: 'Certainly Hawkins is responsible for the whole "big tone" school of soft reed playing in this country. Not until Lester Young came along in 1938 was there any concerted movement away from the style Hawkins had espoused, to a lighter, harder conception of reed playing'. The commonly encountered view is that a big sound goes with a hard reed and a big mouthpiece opening. Yet one of the fullest tenor saxophone sounds on record is that of Don Byas, and it is known that he played closed mouthpieces and soft reeds. Thus, Levin might be correct in associating big tone with soft reed and light tone with hard reeds. However, Hawkins himself said that he used a strong reed when he developed his sound in the 1930s: 'I always did play with a kind of stiff reed' (*Down Beat*, 17 November 1954, 8; quoted in DeVeaux 1997, 64, and in *New York Times* obituary by John S. Wilson, 20 May 1969). In his last years, Hawkins apparently played a very open Berg Larsen mouthpiece (see Chilton 1990, 380 and 298). A photograph of a reed signed by Coleman Hawkins shows it to be a Roy J. Maier number 4 (Online: <http://jazzfirstbooks.com/catalog/product_info.php?products_id=1281>, accessed 18 January 2021). Otto Link produced a 'Hawkins Special' line of mouthpieces in three subsequent models (Master Link, Four Stars, Tone Master); according to Nicolas Trefeil the tip opening in each version measures 0.78 inches (Online: <https://www.nicolastrefeil.com/otto-link-special-models-mpc>, accessed 21 January 2012).

importance of good tuning, some of which are illustrated with pictures.[18] These articles would be a good starting point for an enquiry into Hawkins's instrumental technique.

Another suggestion for further research would be to investigate the music of two saxophonists who have been hitherto rather neglected by jazz scholarship, and who were profoundly influenced by Coleman Hawkins: Don Byas and Lucky Thompson.[19] The findings presented in this thesis might prove helpful in treating their music as well, since they have based a considerable proportion of their practices on those developed and exemplified by Hawkins.

Implications for Scholarship

An area of jazz scholarship which has received increasing interest lately is group analysis. As discussed in §2.8, it tends to focus on post-bebop styles, and to exalt motivic interaction. Benjamin Givan notes that often it does 'not do justice to the more complex, variegated historical reality of jazz musicians' lived experience and creative practices'.[20] The processes at work in Coleman Hawkins's improvisations belong to the type of 'creative practices' sitting uncomfortably with current group analysis. Steps have already been taken in this direction, but if scholars want to understand 1940s jazz better, along with the extension of its performance practices into contemporary mainstream jazz, value-attributions and assumptions that have been taken for granted from the egalitarian perspective which, by and large, dominates recent scholarship should be reconsidered. One way of doing this, which I briefly attempt here, would be to broaden the meaning of the term 'listening'.

Easily-measurable motivic interactions tend to be presented as 'dialogic'. Dialogue is, supposedly, indicative of communal and egalitarian priorities, and it follows that motivic interaction is celebrated as a particularly virtuous musical process.[21] The idea that approaches relying principally on motivic interaction are more dialogic than approaches

[18] 'Playing Tenor: No. 1 Of As New Series On All Aspects Of The Tenor Sax By Coleman Hawkins', *Melody Maker*, 14 April 1934, 11. 'Tenor: Tune And Tone: No. 2 of a Series on "Playing Tenor"', *Melody Maker*, 21 April 1934, 11. See Appendix V.
[19] Two scholarly articles are devoted to Thompson: Cohen and Byars 2010, Shull 2002.
[20] Givan 2016, §23.
[21] This point is discussed by Givan (2016, §23). Scott DeVeaux (1997, 267-268) attributes superior value to discontinuity over continuity, which goes hand in hand with the exaltation of 'dialogic' motivic interplay.

based on other priorities implies that they require more listening. It could be observed, however, that what motivic interaction emphasises is not listening, but *signaling* that a musician has been listening, by integrating in her or his phrases materials played by others. In the context of egalitarian scholarship, when Coleman Hawkins is described as 'monologic', the qualification is negative: as if, for him, only his contribution to the music mattered, as if he considered his accompanists to be interchangeable and anonymous. Although he is critical of the limitations imposed on jazz scholarship by egalitarianism, Givan seems to accept the notion of a 'monologic' Hawkins when he establishes a connection between motivic interplay and listening to others:

> The improvised melodies of early soloists such as Louis Armstrong, Sidney Bechet, and Coleman Hawkins do not, in many instances, tend to respond motivically to accompanying musicians – Hawkins was in fact renowned for his ability to improvise brilliantly *with minimal attention to his fellow ensemble members* (Schuller 1989, 433; discussed in DeVeaux 1997, 268).[22]

As noted by Schuller in the passage referred to by Givan, Hawkins's 'self-reliance' allowed him to perform at a constantly high level even if the accompanying rhythm section was not competent, as must have happened often when he was in Europe in the 1930s. For this to be possible, Hawkins had to avoid listening to the band, at least to ignore details of execution which might have been faulty or hindering. On most of his recordings, however, Hawkins is backed by stellar musicians. To suggest that he might not be listening to them – not paying attention to them – on the basis that little motivic interaction takes place seems unfounded. Hawkins was known to be a dedicated listener, as reported by Max Jones:

> Listening and learning are acts frequently referred to by Hawkins in conversation. He listens, or has listened, to almost every kind of music, and throughout the day his ears are alert for interesting themes, or bits

[22] Givan 2016, §27. My emphasis.

> of melody, which may crop up. 'That's all I've done in my life is sit up and listen. I even listen to people talk. What other way are you going to learn? It's the only way I know of".[23]

As discussed in §1.1, Hawkins was an avid listener to records. He was also fond of attending performances by his confrères. As noted by John Chilton, 'many young musicians were unnerved by having Coleman Hawkins standing close by them, arms folded, unsmilingly listening with great care to what they were playing'.[24] If Hawkins listened to other musicians so closely when in the audience, he must have listened all the more attentively when playing with them. What he would only seldom do, if at all, is to *signal* that he was listening, by reprising motives played by others. In order for a conversation to be 'dialogic', signaling is not a prerequisite. It is enough to listen to what others say, to take their interventions into account, to propose something of one's own which complements their arguments, be it by refutation, confirmation, specification, or qualification. Such a procedure is as much, and perhaps more, dialogical, than to listen to others and repeat or imitate what they said, as if in a perpetual state of agreement with everything and everyone. Furthermore, it could be argued that prioritising the recourse to the materials proposed by the song, as Hawkins does, is a more uniting process than prioritising motivic interplay, since it means that every musician starts from the same, common set of materials.

Hawkins's insistence on improvisation being first and foremost thinking suggests that in his view the materials forming a jazz solo do not derive primarily from motivic interaction with others, but from the improviser's mind. The result of this thinking process must, however, be gracefully and efficaciously inserted into the music created by

[23] Jones 1988, 57. Compare with Gary Tomlinson (2002, 89), who laments that jazz textbooks insist on the primacy of listening to the music when studying jazz: 'This listening orientation might at first glance seem unexceptionable. But Baraka's [Tomlinson is referring to Jones 1963a] remarks on narrowly musical appreciation should sensitize us to its ideological basis. Behind it hides the view that meaning (and hence value, which only arises alongside meaning) inheres somehow in the notes themselves. Behind it lurks the absurd but hard-to-eradicate proposition that music alone, independent of the cultural matrices that individuals build around it, can *mean*'. I wonder if Coleman Hawkins was aware of these ominous intentions 'hiding' and 'lurking behind' his listening activities.

[24] Chilton 1990, 215. Chilton adds the much quoted remark made in the early 1960s by saxophonist Cannonball Adderley: 'A young tenor player was complaining to me that Coleman Hawkins made him nervous; I told him Hawkins was supposed to make him nervous for forty years' (*Boston* Traveler, 2 February 1961; also quoted in Hentoff 1975, 47; in DeVeaux 1997, 35; and in Giddins 1998, 176).

the group as a whole. It must therefore take what others are playing into consideration just as much as a motivically interactive approach would. One difference, perhaps, is that the listening focuses primarily on harmony rather than on rhythmic or melodic motives.

Hawkins's 'monologic' approach – if one accepts that term at all – does not come from a refusal to interact, but from the fact that he is principally occupied with the song's materials, which he continuously re-shapes, and because this process is an individual one, arising from his own thinking. The song's melody, especially, is of an abstract, 'unchanging' nature, which in mainstream jazz performances usually remains unstated during solos, but is present nonetheless in each musician's mind, more or less continuously and consciously. For an improviser, listening to her or his accompanists is not essential in order to work around a song's melody. By contrast, harmonic events are expressed throughout a performance by the pianist and by the bassist. Soloists have the choice to base their improvisation on what their accompanists are playing (which is not necessarily uniform: the pianist and the bassist may take different routes towards a common harmonic goal) or on their own inner conceptualisation of a song's chord sequence.[25] Most of the time, they adopt a mixture of both.[26] As a result, in mainstream jazz, soloists tend to listen actively to which chords are being played, and how. Bassist Ray Brown tells an anecdote that addresses this point:

> We were on Jazz at the Philharmonic, and Coleman Hawkins was playing 'Body and Soul', which he had to play whenever he took his saxophone out. Hank Jones and I rehearsed in the daytime, we devised about fifteen different sets of changes on 'Body and Soul'. And it didn't make any difference. Whatever we played, he just ate it up! He

[25] See Stoll 2019 regarding the different status of melody and harmony in the process of improvising on a Broadway song in a jazz context. In a radio interview conducted on 14 January 1990 by Loren Schoenberg, Tommy Flanagan addressed this topic: '[Hawkins] played a lot of music, and certainly knew the chords in and out, but I didn't feel like I was ever in the way, or that I was playing something that was disturbing to him. When he'd hear an altered chord, he could go right with it. I think it was better for him to have somebody who wouldn't stick strictly to just what was written, because he certainly didn't. And he liked doing that, taking his liberties, which is what it's all about, playing this music' (online: <https://www.youtube.com/watch?v=UWASNHG-hH8>, accessed 3 June 2021; quoted passage starts at [33:50]).

[26] Often this is not measurable, because even if she or he heard a chord correctly, the soloist might decide to play something different by prioritising what she or he had set out to do in a given musical phrase.

> just turned around, looked at us and said, 'Hmm, THBBF', and would go right through it. We just broke up. But it was good. This guy had a magnificent ear![27]

An improviser's inner ear is directed towards a song's materials considered abstractly, and towards the ideas that the improviser conceives in her or his mind on that basis. An improviser's outer ear is directed towards what others are playing (see §1.6). Regarding the latter, we might say that being attentive to other musicians is not only about integrating their motivic materials. It is also about finding one's place within the band's sound and within the band's beat.[28] Furthermore, while accounting for countless possible ways of listening to others when performing music, two main ones can be distinguished: an analytic way of listening, focused primarily on the detail of each musician's contribution, and a synthetic way of listening, focused primarily on the overall band sound and on the beat. These two ways are not opposed to each other and can operate in conjunction, just as the inner ear and the outer ear can operate simultaneously: playing something and listening to what others play is not mutually exclusive in practice. It could even be that the ability to generate substantial, self-standing musical phrases, allows a musician to listen with greater attention to what others are playing.

Inner ear, outer ear, analytic listening, synthetic listening, each of these categories intermingle in the moment of playing. Motivic interaction relies, mostly, on analytical listening by the outer ear. It represents only a tiny proportion of the possible ways of listening, and therefore of the possible kinds of musical interactions, taking place when

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[27] Interview made in 1996 with Ted Panken for WKCR. Online: <https://tedpanken.wordpress.com/tag/oscar-peterson/ (accessed 2 May 2019)>, accessed 5 January 2021. I am not sure what Brown means by 'THBBF'. Perhaps an allusion to Bill the Cat's 'ACK! THBBFT!!'. A similar anecdote is told by pianist Dick Katz, regarding the recording session of Benny Carter's *Further Definitions* (Impulse A-12, recorded 1961): 'Teddy Wilson had showed me some chord changes for the second bridge to "Body and Soul". I passed them on to Hawk at the session and he used them in his solo. It's an altered-chord sequence'. When interviewer Marc Myers asked if Katz wrote down these alternate changes for Hawkins, Katz replied: 'For Hawk? No way. Hawk had super ears. He just looked over my shoulder and gobbled them up' (Online: <https://www.jazzwax.com/2009/07/interview-dick-katz.html>, accessed 7 April 2020. Undated interview, published 22 July 2009).

[28] In this regard, jazz musicians tend to identify main axes of listening, and these vary depending on the style and composition performed. For example, in a mainstream rhythm section, the bassist and the drummer tend to listen to each other in priority, in order to achieve a good hookup, and to the soloists only secondarily. In a group performing a fast number in the style of John Coltrane's quartet with Elvin Jones, the most important listening axe is perhaps between the saxophonist and the drummer.

jazz musicians perform together. It is especially noticeable because we can measure it easily and precisely, but scholars should not be deceived by this facility of representation into thinking that this is the main or most valuable manifestation of the process of making music with others.

EPILOGUE

In jazz historiographies, Hawkins is usually presented as an innovator (1920s-1930s), then lauded 'for his early encouragement of bebop musicians'[1] (1940s), and finally relegated to the past as a somewhat outdated representative of the older swing generation (1950s-1960s). As Gary Giddins writes: 'By 1960, Hawkins was often characterized as "mainstream", a polite way of saying that he was no longer in the mainstream'.[2] To present Hawkins in this way is to accept a narrative of jazz history based on the idea that art progresses from one style to the other. This is a largely abstract viewpoint, centring on stylistic labels and attributing value on the basis of 'newness'. It tends to ignore that musicians are persons and not concepts, that they are active during a lifetime and not only at some pivotal historic moment, and that they have a tendency not to fit within stylistic boundaries. Hawkins himself rejected such an abstract view of music. When asked in 1949 what he thought of bebop, he replied:

> Bop? Man, I ain't ever heard of bop! What is this bop? […] I don't know any bop music. I only know one music – the music that's played. There's no such thing as bop music, but there is such a thing as progress.[3]

This statement might appear paradoxical at first. In order for progress to be observable, surely we need to be able to designate steps, periods, groups of artists sharing a common approach: in short, stylistic labels. Yet Hawkins asserts that stylistic labels such as 'bop' are not of much interest to him, while insisting that progress is to be pursued. One

[1] DeVeaux 1997, 38.
[2] Giddins 1998, 175-176.
[3] *Melody Maker*, 17 December 1949, quoted in Chilton 1990, 255 and in DeVeaux 1997, 35-71. Two years earlier, Charlie Parker told Leonard Feather: 'Let's not call it bebop. Let's call it music' (*Metronome*, August 1947, 44, quoted in Porter 2002, 95).

explanation comes from the argument that I made at the end of §1.1. If progress was needed, it was not for its own sake, but for the entire art form to evolve and reach its full potential. Fighting for progress was necessary until the late 1940s, in order to reach and establish the jazz equivalent of T.S. Eliot's 'classic standard'; afterwards, the priority was to fight for its maintenance.

Scott DeVeaux, who devotes an entire chapter of *The Birth of Bebop* to the discussion of progress and how it relates to jazz in general and to Hawkins in particular, is well aware of the trappings of a style-focused viewpoint:

> A history of style usually boils down to a history of innovation […] Only stylistic 'advances' give shape and momentum to such a historical narrative […] With jazz, the pace of change has been particularly brisk. Major figures are routinely and unsentimentally shunted from the vanguard to obsolescence before they reach middle age, their later work marginalized or forgotten, their historical role diminished.[4]

Yet DeVeaux seems to contribute to this mechanism, when he suggests that it is pertinent to view Hawkins, in the second part of his career, as some kind of retired elder statesman:

> After 1945 Hawkins's influence declined, and his standing in jazz history automatically became problematic. Even in his last years, as he matched himself against John Coltrane, Thelonious Monk, and Sonny Rollins, he was considered less a full participant in contemporary musical life than an icon – a living legend – of the art.[5]

Such a statement can be considered correct only from the 'abstract' perspective predicated upon stylistic designations, according to which 'contemporary' means to do something that has not been done before, something which contributes somehow to

[4] DeVeaux 1997, 36-37. On page 38, he writes: 'Music cannot be reduced to a narrative of stylistic development, just as the complexity of a life lived in music cannot be flattened into a set of musical characteristics'.
[5] DeVeaux 1997, 36.

progress. From this perspective (it is unclear in DeVeaux's text who supposedly shared it: other musicians? Critics? The audience? All of these?), Hawkins becomes a kind of museum exhibit after the advent of bebop.

But if one listens to Hawkins from a 'personal' perspective focused on the musicians rather than on stylistic labels,[6] which considers that anyone who is alive and playing is 'contemporary', and which asks not for change but for excellence,[7] the notion that at any moment Hawkins might not have been a 'full participant in contemporary musical life' seems unrealistic. Already in 1955, Miles Davis refuted that Hawkins belonged to the past:

> Coleman Hawkins plays just as well as anybody you can name. Why, I learned how to play ballads by listening to Coleman. I saw Stan Getz making fun of Hawkins one night and I said to Getz, 'If it weren't for Hawkins you probably wouldn't be playing as you are'. I don't go for putting down a man just because he's older.[8]

Another indication that Hawkins was still considered to be an essential contributor to the art form is that some of the most inventive younger musicians followed closely what he was doing. *They* 'matched themselves against' Coleman Hawkins, and not the opposite, as suggested by DeVeaux. Drummer Eddie Locke told Stanley Dance that 'Coltrane used to come and listen to [Hawkins] wherever he went'.[9] And after hearing Hawkins in

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[6] Such was Duke Ellington's stance, according to an interview conducted by Nat Hentoff (2010, 18): 'The other night I heard a cat on the radio, and he was talking about "modern" jazz. So he played a record to illustrate his point, and there were devices in that music I heard cats using in the 1920s. These large words like "modern" don't mean anything. Everybody who's had anything to say in music – all the way back – has been an individualist… I listen for those individualists. Like Sidney Bechet, Louis Armstrong, Coleman Hawkins and like Charlie Parker was'.

[7] A champion of this controversial stance is Wynton Marsalis (1986/1990, 162): 'As Albert Murray points out in *The Hero and the Blues*, artists know that you keep up to date by dealing with the concept of timelessness, which comes from *quality*'. The same idea is defended by Max Jones and Sinclair Traill in their coverage of a concert given by Hawkins in London during his 1949 visit to England: 'One of the things that nobody could help observing was Hawkins's adherence to swing playing. He moved on the beat and swung like no tenor known to bop. Many of the progressives present were disappointed in "Bean" because, as they argue, his stuff was dated. We can only repeat the obvious: dates have nothing to do with musical quality and little to do with criticism' (*Melody Maker*, 24 December 1949, quoted in Chilton 1990, 256).

[8] *Down Beat* 2 November 1955, quoted in Chilton 1990, 278.

[9] Dance 1974/1979, 157. Already quoted at the beginning of Chapter 5.

concert in 1962, Sonny Rollins wrote him a letter which explicitly expresses his admiration for him:

> My Dear Mr. Hawkins, Your recent performance at the 'Village Gate' was magnificent!! Quite aside from the fact that you have maintained a position of dominance and leadership in the highly competitive field of 'Jazz' for the time that you have, there remains the more significant fact that such tested and tried musical achievement denotes and is subsidiary to personal character and integrity of being.[10]

As Scott Yanow observes, 'Hawkins had a 40-year prime (1925-1965) during which he could hold his own with any competitor'.[11] And indeed, sure of his command of the saxophone and of his unwavering musicianship, Hawkins was not worried in the least by any of his younger colleagues:

> I've got all that current scene […] If I play with you, I've got you. Coltrane, Lockjaw, Charlie Rouse, Paul Gonsalves, Johnny Griffin – I hear what they're doing and I've played with all of them. And, good gracious, I nearly forgot Sonny Rollins! He's a favorite of mine.[12]

If Hawkins remained undisturbed by successive competitors, it is because he reached a level of mastery that firmly set him above stylistic disputes. Regardless of how exactly the materials of music are used in a given style or by a given musician, it was clear to everyone that Hawkins had a more profound control of these materials than most. As noted by John Chilton: 'Very few musicians ever ignored or derided Hawkins, since they recognized that he had, over the years, consistently transcended styles and jazz fashions'.[13] Dan Morgenstern, in his coverage of a gig he attended in 1959, insists on the same factor: 'Coleman Hawkins, whose playing constantly renews itself without ever

[10] Letter dated 10 October 1962. I quote another excerpt in §2.2.
[11] Online: <http://www.billboard.com/artist/299521/coleman-hawkins/biography>, accessed January 20, 2017.
[12] Dance 1974/1979, 142.
[13] Chilton 1990, 278.

losing its essence, is one of those who merit the title of genius'.[14] Hawkins' perennial freshness is best echoed by Johnny Hodges: 'The older he gets, the better he gets. If ever you think he's through, you find he's just gone right on ahead again'.[15]

Josef Pieper, presenting the relevance of the philosophy of Thomas Aquinas, makes the point that 'perfection and originality seem in a sense mutually exclusive; what is classical is not, properly speaking, original'.[16] In his argument, he quotes George Bernard Shaw, writing of Mozart that he 'was no leader of a new departure or founder of a school', and commenting: 'Anybody, almost, can make a beginning: the difficulty is to make an end – to do what cannot be bettered…'.[17] Coleman Hawkins is the rare case of an artist occupying both positions: original and the 'founder of a school' in the 1920s-1940s; and perfect, 'making an end which cannot be bettered', in the 1950s-1960s.

Indeed Hawkins's 1960s recordings amply demonstrate that as long as he played music, he played it superbly.[18] And if his influence 'declined' at the time, and Lester Young, and then John Coltrane took over as the most influential saxophonists, it is possible that in the long run Coleman Hawkins will reemerge and act again as the main inspiring force of future tonality- and swing-orientated saxophonists, for few others have been able to provide such substantial improvisations as models of study.

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[14] *Jazz Journal,* January 1960. Quoted in Chilton 1990, 318.
[15] Dance 1974/1979, 141.
[16] Pieper 1991, 20-21.
[17] Shaw 1955, 74.
[18] As Giddins (1998, 175) notes, '[Hawkins] had nothing to fear from modern jazz; his best records were timeless'.

APPENDIX I: PRACTICAL APPLICATIONS

All music depends on product and process, insofar as knowledge is transmitted by products (meant broadly to include scores, records, and oral transmission). In jazz, as argued in §2.11, an efficient manner to reconcile both is the study of exemplary solos. In a 1934 article for *Melody Maker*, already discussed in §1.6, Hawkins himself seems to warn against this activity. I quote again:

> But what hot playing does *not* mean is a capacity for listening to hot records and using somebody else's breaks. That's the trouble with a lot of fairly-advanced horn-players. They are so eager to play hot that they spend hours listening to records, memorizing or writing down the bits that sound good, practicing them up, and using them in their solos.[1]

Hawkins, it should be stressed, had no one to copy from directly, and had to proceed otherwise.[2] The key passage in the quote is 'memorizing or writing down the bits that sound good, practicing them up, and using them in their solos': what Hawkins condemned was the removal of phrases from their context in order to use them as 'licks' to be applied mechanically. In the same article, he encourages copying a musician's *method*, a broad term encompassing all the techniques at play.[3]

Arguably the best way to do this is by studying a range of solos by a master musician, in their completeness. Branford Marsalis insists on this point. He compares learning licks to learning a few words of a foreign language in a dictionary for tourists, while learning

[1] 'HOT PLAYING – No. 3 of a Series by COLEMAN HAWKINS', *Melody Maker*, 28 April 1934, p. 5 (see Appendix V). Italics in the original.
[2] As noted by several commentators (Don Heckman in *Down Beat*, March 1963, 20-22; Chilton 1990, dust jacket; Schoenberg 2012, 1), Hawkins 'single-handedly' made the tenor saxophone into a solo instrument. Undeniably, however, Louis Armstrong was a big influence, and so were probably the great New Orleans clarinetists whose fluidity Hawkins adapted to the tenor saxophone: Johnny Dodds, Barney Bigard, Jimmie Noone, and Sidney Bechet. Bechet showed, before Hawkins, that saxophones could compete with trumpets as soloist instruments.
[3] For trumpeter Clark Terry, the proper way of learning jazz is by 'imitation, assimilation, then innovation' (quoted in Fletcher 2018, x).

whole solos is akin to learning the grammar and style of a language, for example by memorising entire poems.[4] Learning entire solos provides revealing insights into a musician's way of thinking. Paul Berliner quotes Art Tatum about one of his imitators: '"Well, he knows *what* I did on record, but he doesn't know *why* I did it". Berliner then comments: 'Artists are on a continuous search for illuminating the what and why of great improvisations'. He relates how Doc Cheatham, Tommy Flanagan, or Art Farmer, studied the thinking that generated the phrases of their models by transcribing recorded solos and by analysing them.[5] Learning solos should be the main activity of students wishing to become professional jazz saxophonists, especially so in their formative years. It educates every aspect an improviser needs: ear, memory, feel, rhythmic placement, vocabulary, form, sound production, phrasing, expressivity, and style. Since there is no end to learning, many advanced jazz musicians keep learning solos, well after having developed a voice of their own. Thus, for anyone interested in assimilating the techniques discussed in this thesis, it is necessary, first, to learn a number of Coleman Hawkins solos.

But Hawkins's music demonstrates that consummate improvisers, beyond the imitative process just discussed, need to develop a capacity to think actively as they perform, to improvise not only on the basis of what they know (what they have already practised) and hear (what others in the band are playing), but on the basis of in-the-moment intellectual involvement with the melodic, harmonic, and rhythmic materials provided by the song. Barry Harris often tells his students: 'Don't practise your practising, practise your playing!', an incentive to practise musical phrases rather than technical exercises, and to study how to produce phrases, rather than simply copying them. In the light of Coleman Hawkins's example, Harris's advice becomes 'practise your thinking'.

During my research, I have written a few guidelines on how to incorporate the study of Hawkins's techniques – as distinct from the study of the phrases that he generated using these techniques – in my own practice time. As my wish is for this thesis to have some relevance for performers, I include these guidelines here, rewritten in the form of

[4] Private communication, New Rochelle, NYC, February 2001.
[5] Berliner 1994, 104-105.

notes addressed to an imaginary student, addressing him or her directly with 'you'.[6]

RHYTHM

To acquire the ability to 'think in six' on ballads, begin by practising in 6/4, since the aim is to superimpose that metre onto the 4/4 played by the band. One efficient routine is to play a 12-bar blues in 6/4, at ♩≃ 90, using mostly eighth notes. These eighth notes would be triplets in an underlying 4/4 at ♩≃ 60. Once you hear clearly the blues in 6/4, start improvising in sixteenths; these are now sextuplets in 4/4 at ♩≃ 60. By doing this, you experiment, as it were in isolation, with the kind of rhythmic feel that you seek to superimpose onto the band's 4/4. Now that you have felt it this way, it will be easier to feel it as a polyrhythmic pulse.

Another useful preliminary exercise is to focus on triplets at medium tempo in 4/4, trying to make each note meaningful harmonically and melodically, as if playing eighth notes. Several movements in the Bach *Cello Suites* and *Violin Sonatas and Partitas*, being unaccompanied, provide examples of what we could designate the *melodic* connection of rhythm with harmony in compound metre.

Once some fluency has been acquired with triplets at medium tempo, practise using sextuplets as the main rhythmic figure, at slow tempo, first by grouping them in three. You are now effectively playing double-time in a 12/8 metre. Once 'ternary' sextuplets come easily, start grouping them in two and four, both rhythmically (how you phrase them) and in their connection with harmony. Note that Barry Harris's 'rules', a set of indications as to where passing chromatic notes should be placed when playing in eighth notes, apply to sextuplets if grouped in two and if your phrase starts from sub-beats 1, 3 or 5. As you practise this, you will start hearing the beat that goes with these groups of four sixteenths, and which is the quarter note of a superimposed 6/4 metre. This will little by little turn into an ability to feel the new beat of the superimposed 6/4 metre in itself, to 'think in six'. After having practised in this manner, you can now approach the problem of feeling the superimposed 6/4 pulse the other way around, by mentally counting six over four, until the new pulse is firmly established in your mind. Play eighth notes on that

[6] From an instrumental perspective, it is worthwhile trying to practise with the embouchure and position observable in most pictures of Hawkins: taking little mouthpiece in, and holding the saxophone high.

pulse; these are your triplets in the underlying 4/4. Then play in double-time (sixteenths) on that pulse; these are sextuplets in 4/4.

The next step in this process, now that you have gained some control of binary and of ternary groupings within sextuplets, and now that you can hear and feel a superimposed 6/4 pulse, is to practise shifting from sextuplets grouped in three to sextuplets grouped in twos. Eventually this will lead to the ability to shift from simple to compound metre, which is such a striking feature of Coleman Hawkins's rhythmic language.

HARMONY

When approaching a song, take a moment to consider its voice-leading features. How do chords segue into each other, and how could a voice move through them? Establish a continuous voice-leading thread, acting as a cantus firmus running through the chord sequence. Keeping this cantus in mind, practise improvising around its notes, using them either as target notes, or as forming a kind of melody to be varied. In some instances, it is possible to establish two simultaneous voice-leading threads, and to practise improvising on both.

MELODY

The first step is to learn the melody as it appears in the published sheet music of the song.[7] Practise Paraphrase first. Play the melody 'straight' rhythmically, but vary how each note is played: with or without vibrato, with or without tonguing, with or without growling, starting the note on pitch or leading into it with a portamento, etc. Play the melody 'straight' melodically (without changing or adding any notes), but vary its rhythm: anticipate or postpone notes, repeat some of them, turn a simple-metre melody into compound metre, use rubato, etc.

Paraphrase is not difficult in terms of 'thinking' as the melody is stated continually. What is more difficult is to use the song's melody as a base for Theme Variation. In order

[7] See Stoll 2019 on the advantages and disadvantages, in the process of learning a song, of using sheet music or recorded jazz interpretations.

to be able to do this, you have to develop an ability to hear the melody internally, even as you are improvising your own phrases. The first thing to practise is to constantly keep the melody in mind as you improvise. Stop after an improvised phrase and sing what the melody would be in the next few bars. Assign yourself zones in the form in which you have to return to the melody and quote it. Once this process is firmly established, it will be easier to conceive phrases around the melody. When the melody features many half notes, and is 'spacious' enough, you can treat it as a cantus firmus, and build your phrases by adding 'small' notes within the melody's 'big' notes.

Johann Joachim Quantz's treatise (1752/2001), written for the flute, describes how to vary a melody, both in the French manner, corresponding roughly to Paraphrase, and in the Italian manner, corresponding to Theme Variation. Certain chapters with a technical focus are especially helpful for jazz improvisers on single-line instruments. Chapters VIII and IX explain how to execute the 'small fixed graces' that are essential to the French style: appoggiaturas, mordents, turns, and shakes. These ornamentations are transferable into a jazz context when applying Paraphrase to a melody. Chapter XIII ('Of Extempore Variations on Simple Intervals') provides numerous examples of variations on simple motives, and is well worth studying to improve one's ability at Theme Variation.

DEVELOPMENT

Phrase Development: conceive a short motive with a striking rhythmic or melodic feature. Practise playing something related to that motive, phrase after phrase, throughout the song's form.

Cyclical Development: choose a bar in an A section, attribute to it a motive (it can be the melody in that point, or something else), and vary it each time it comes back in subsequent A sections.[8] Improvise freely in the rest of the section. Then do the same thing choosing another bar. Then try with two bars per section, one in the first four and one in the last four bars.

When practicing a song, consider which technique would function best according to

[8] These two techniques operate similarly. The difference is that with Phrase Development variations occur in immediate succession, while in Cyclical Development they occur at intervals of usually eight bars.

its features. Depending on these features, different techniques might be more appropriate in different zones. Establish a mental map of which technique you will use and when, and try to actuate it as you improvise. Do it for a few choruses, then attribute other techniques to each zones and try again. This should develop the possibility to use several techniques at the same time, which is another impressive aspect of the craft displayed by Coleman Hawkins.

In his ballad recordings of the 1940s, Hawkins often creates a large-scale arch encompassing the entire improvisation, gradually building-up towards a climax occurring near the end. He does so by working simultaneously on sound, range, dynamics, and speed. The ability to bring about long-term structures of this kind when improvising is difficult to acquire. It must be practised – be it in one's individual study time or on the bandstand. When you perform a ballad, limit yourself to two choruses, and decide roughly where you will place your climax, for example in the second half of the bridge of the second chorus. As you begin, limit the range of your phrases, their speed, volume, and expressive features. Then progressively intensify your improvisation, section after section. Extend the range of your phrases, play more busily, play louder, add portamento, use a wider vibrato, add growl, etc., until all these parameters are combined in full strength at the climactic point. In order to be able to achieve this, each parameter must first be practised independently. This can likewise be done while improvising on a ballad: start without vibrato, and add more of it as you go; or start mezzo piano, and increase the volume until your reach fortissimo; or start with an unaltered sound and add growl. It is better, however, to isolate each technique even further, applying it by increments to a single, repeated phrase.

Other Techniques

A few other techniques used by Hawkins have been briefly discussed in this thesis, and provide materials to be practised. One such is to skip a note when playing an arpeggio, as Hawkins does in several phrase segments of example 4.15 (see also footnote 31 in Chapter 4, and footnote 60 in Chapter 6). This is the melodic equivalent of what Barry Harris calls 'drop two' and 'drop three', when showing how to play open voicings

on the piano. Sometimes Hawkins altogether omits one or more notes from an arpeggio, which allows him to cover a wider register in less time (as in 'You Go to My Head' 1A2/2/2).

Another technique used extensively by Hawkins is to prolong the leading tone by repeating the notes around it, as in 'Don't Blame Me' 2A3/5 (see example 3.13).

The use of the tritone substitution, for which Hawkins is famous,[9] is in evidence throughout the four improvisations observed in their entirety in this thesis (see complete transcriptions in Appendix IV): 'Don't Blame Me' (1A2/7/4, 1A3/8/4, 1B/8/3-4, 1A3/7/4, 2A1/7/4, 2A1/8/3-4); 'You Go to My Head' (1A1/6/4, 1A1/8/4, 1B/8/4, 1C/8/2-3); 'I Can't Get Started' (1A1/6/4, 1A2/6/3-4, 1A3/6/3-4); and 'Just One More Chance' (1A1/8/3-4, 1B/1/4, 1B/8/3-4, 2B/1/4, 2B/8/3-4). As a rule of thumb, when Hawkins uses the tritone in one point of an A section, he uses it again, varied, in the same point of subsequent A sections, applying Cyclical Development.

Hawkins often plays accented dissonances, be they diatonic passing tones or chromatic notes belonging to the tritone or some other harmonic substitution.

Another distinguishing marker of Hawkins's praxis is the delaying of resolutions, typically of V into I, as in 'Don't Blame Me' 1A1/8 into 1A2/1 (see example 5.2); more rarely, resolutions are anticipated, as in 'I Can't Get Started' 1A2/6/4 and 1A3/6/4 (see examples 3.18 and 3.19).

Phil Schaap points out that 'to be able to play anything at any volume' was important to Hawkins.[10] On the basis of the findings presented in Chapter 3, we can add that it was also important to Hawkins to be able to play phrases in the band's 4/4 metre and in a superimposed 6/4. Furthermore, as is well-known, Hawkins enjoyed the challenge of playing in difficult keys.[11] His example shows that, when practising, the same musical phrase can be approached in all these different manners: from pianissimo to fortissimo, in all twelve keys (in minor and in major), and in various metres (simple 4/4, compound 4/4 or 12/8, superimposed simple 6/4). In short, we should strive 'to be able to play anything at any volume', in any key, and in any metre.

[9] See DeVeaux 1997, 104-105.
[10] Email to author, 6 February 2021. See full quote at the end of §7.5.
[11] See Chilton 1990, 103 and 185.

APPENDIX II: DIMINISHED 7th CHORD

How to conceptualise the diminished 7th chord is a disputed aspect of jazz performance practice. The treatment of the ♯IV diminished 7th chord in Hawkins's recording of 'You Go to My Head' at 1B/2[1] provides an opportunity to discuss this question (example APP.1, or first system in example 7.6).

EXAMPLE APP.1: Diminished 7th in 'You Go to My Head' 1B/1-3 [01:22]

This chord is problematic since it has no real tonal function, unlike the diminished chord built on the leading tone (or 3rd of V) which has the tonal function V (it forms a Rootless $V^{7\flat9}$, see footnote 38 in Chapter 4). The ♯IV^{o7} is a passing chord, linking IV^6 (or ii_{min}^7 which is the same chord) and I^6 (see examples 4.14 and 6.8). In four-part harmony, two voices remain fixed ($\hat{1}$ and $\hat{6}$) and two voices move chromatically, forming parallel minor sixths ($\hat{4}$ – ♯$\hat{4}$ – $\hat{5}$ and $\hat{2}$ – ♯$\hat{2}$ – $\hat{3}$). This progression is frequently used in bar 6 of the blues form in order to return to I from the IV chord in bar 5 (in lieu of iv). In songs, it tends to appear (as it does in this recording of 'You Go to My Head') at the beginning of the bridge, as in 'Gee Baby, Ain't I Good to You', 'Blue and Sentimental', or 'It's Only a Paper Moon'; or at the beginning of the last section, as in 'I Can't Give You Anything But Love', 'If I Could Be With You One Hour Tonight', or 'My Melancholy Baby'.

[1] As I shall discuss at the end of this section the chord found at B/2 in the sheet music of 'You Go to My Head' is $V^7/_{iii}$ and not ♯IV^{o7}, but it still functions as a diminished 7th chord passing between IV and I.

A jazz improviser will therefore often encounter it, and its twin the ♭III^{o7} chord.[2] ♯IV^{o7} poses a problem typical of jazz practice: a contrapuntal event generates a chord over which the improviser must find something to play. It is always possible to simply arpeggiate the chord, but if improvisers want to be more sophisticated about it, what should they play on it?

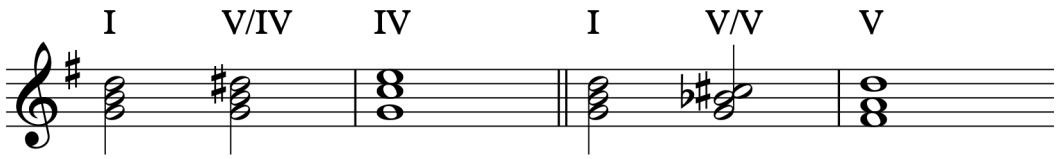
The common answer is to use the 'diminished' or 'octatonic' scale, an alternation of whole-steps and of half-steps which arises when the diminished 7th chord is arpeggiated with a lower chromatic neighbour under each of its notes. This mesmerising scale, dear to Rimsky-Korsakov (*Kashchey the Immortal*), and used before him by Wagner in the Second Act of *Parsifal*, is a world in itself, and many saxophonists (Sonny Stitt, George Coleman, or Michael Brecker to name a few) have lost themselves in the seductions of the seemingly infinite symmetrical patterns it can produce, like Grail Knights condemned to be lifelong captives of Klingsor's garden.

Another answer to this question is to attribute to ♯IV^{o7} a tonal function, although it is the result of a contrapuntal movement. Since the diminished 7th chord, when it has a tonal function, is built on the leading tone of a tonality to form a dominant with a ♭9th and without its root, we can apply the same principle to ♯IV^{o7}, and we find that it could act as V/V, since ♯$\hat{4}$ is the leading tone of V. In this view, an improviser can play Rootless V$^{7♭9}$/V on ♯IV^{o7} and resolve directly to I instead of resolving to V first (which is the equivalent of resolving to I in second inversion, understood in classical music as V$^{6/4}$ and having the function V). For example, in the key of G, as in this recording of 'You Go to My Head' (at 1B/2-3), this would mean playing A$^{7♭9}$ over C♯^{o7} and resolving to G/D.

In this context it is interesting to note the following phenomenon. If the I tonic chord is modified and becomes an augmented triad, it becomes V/IV. If the I tonic chord is modified and becomes a diminished triad, it becomes V/V. Thus, the augmented and diminished triads link the tonic chord with the two other principal chords, the subdominant and the dominant (example APP.2).

[2] They are the same chord, but ♭III^{o7} (or I^{o7}, see example 6.8) is placed differently and usually moves from iiimin^{7} (or I/$\hat{3}$) down to iimin^{7}. ♭III^{o7} is also a 'non-functional' chord resulting from a contrapuntal movement. If one wishes to attribute to it a tonal function, it can be understood as Rootless V$^{7♭9}$/V going to iimin^{7} first, instead of going to V^{7} directly. For example, in the key of D major, one would play E^{7} going to Emin^{7}. It is present in many songs ('Embraceable You', 'The Song Is You', 'Just One of Those Things', 'Night and Day', 'A Foggy Day', 'Time On My Hands', etc.).

EXAMPLE APP.2: Augmented triad leads to IV, Diminished triad leads to V.



A third answer to our puzzle is to build the diminished 7th chord not on ♯$\hat{4}$ but on ♯$\hat{2}$ (the melody note in 'You Go to My Head' when the ♯IV^{o7} harmony is used in Hawkins's recording), in which case we get Rootless V$^{7\flat9}$/iii. In the key of G this would be F♯$^{7\flat9}$ going to G/D instead of going to B minor (iii). This is a sensible solution, and sounds like a kind of deceptive cadence (we expect iii minor but we get I major). This is Hawkins's choice in example APP.1, and this solution must certainly have been agreed upon beforehand since it is part of the arrangement played by the rhythm section in that point, which goes from C♯^{o7} to F♯^{7} to G major.[3] Hawkins plays two D♯s in his phrase at 1B/2/3-4 over F♯^{7}, which could be understood either as coming from the octatonic scale (D♯ is a half-step below the chord tone E), or from considering F♯^{7} as going to the key of B major (III rather than iii), an intimation, perhaps, that 'You Go to My Head' modulates to that key two bars later.

The solution just proposed (V^{7}/iii) is consistent with the published sheet music for 'You Go to My Head'. The key of the sheet music is E♭, but transposed to G it gives the following chords for B/1-3: C^{6}/G – F♯^{7} – G. This sequence is confusing to the ear, since it results in a rather bizarre usage of the 6/4 chord on IV and in unharmonious parallel fifths (F♯ – C♯ to G – D). The option adopted in Hawkins's recording, C♯^{o7} to F♯^{7}, is the more elegant one, for it combines two views of the ♯IV^{o7}, the contrapuntal one first and the

[3] For this reason, in example APP.1 (and in examples 7.2 and 7.6) I have spelled one of Hawkins's notes as B♭ at 1B/2/1-2 over C♯^{o7} of which it is the diminished 7th, and two of his notes as A♯ at 1B/2/3-4 as the 3rds of F♯^{7} (the melody note is spelled A♯ for the whole bar since it is part of the $\hat{2}$ – ♯$\hat{2}$ – $\hat{3}$ chromatic movement). It should also be noted that the previous-to-last note in example APP.1 could be heard as F♯ rather than G, which would consolidate the notion that Hawkins is thinking F♯^{7}. But played at that speed on the tenor saxophone, G makes more sense, for it remains in the left hand and makes it easier to jump to the concluding D, which needs both hands to be closed on their keys.

harmonic one second.[4] It also avoids muddling the modulation to IV by playing that chord in second inversion, which makes it sound like its own dominant (V/IV).[5]

The dominant 7th chord built on ♯$\hat{4}$ (V^7/iii)[6] is more frequently found not as a link between IV and I (as in the sheet music of 'You Go to My Head' from A2/8 to B/2), but as an ornamentation of the tonic triad: each note of the tonic triad is lowered chromatically, forming a diminished chord, which then resolves back up. The resulting I – V^7/iii – I progression is found in several Broadway songs, for example in A/1-3 of 'I Remember You' and of 'You Do Something to Me'.[7]

[4] The roots C♯ and F♯ form a ii – V movement, but the first chord is not a minor 7th chord (which would have rendered the melody note A♯ dissonant), contrary to a substitution often adopted from bebop onwards (see for example 'Fine and Dandy' on *Sonny Stitt/Bud Powell/J.J. Johnson,* Prestige PRLP 7024, recorded 26 January 1950): to turn ♭III^{o7} into a regular ii – V as ♭iii$_{min}^7$ – ♭VI^7 (or ii – V of ♭II). The problem with this solution, as Barry Harris often points out, is that it contributes to the tendency to transform every progression into ii – V – I.

[5] A chord in second inversion (or 6/4) is traditionally understood as V with the two nonchord tones $\hat{1}$ and $\hat{3}$ (respectively the fourth and sixth above the bass) moving down to chord tones $\hat{7}$ and $\hat{2}$ (the third and fifth above the bass), after which movement the now complete V chord resolves to I (see footnote 37 in Chapter 4). In the present context, C in second inversion is heard as G with the two nonchord tones C and E, and our ear expects these notes to move to B and D, forming a V chord which would then resolve to C (IV in the key of G major). Walter Piston (1941/1978, 169-170) writes that 'in its characteristic usages [this chord] can be analyzed as a grouping of nonharmonic tones', and sees it as a 'dominant chord in which the sixth and the fourth above the bass form appoggiature to the fifth and third respectively'. Yet he labels it as $I^{6/4}$ rather than $V^{6/4}$, implying that he considers the sixth and fourth above the bass as chord tones, forming a complete tonic triad, in contradiction with his own definition. On this basis he designates as incorrect (389) the notation used by Bach and Beethoven (!) when they write ♭$\hat{3}$ in a Rootless $V^{7♭9}$/V chord (or ♯IV^{o7}, labeled by Piston as $^{+}$II^7). Piston thinks this note should be respelled ♯$\hat{2}$ when it 'resolves' to $\hat{3}$ in what he labels as a $I^{6/4}$ chord. The same applies to ♭$\hat{7}$ in a Rootless $V^{7♭9}$/II chord (or ♯II^{o7}, labeled by Piston as $^{+}$VI^7), which Piston wants to rewrite as ♯$\hat{6}$.

[6] In this context it is perhaps better to think of ♯$\hat{4}$ as the leading tone of V.

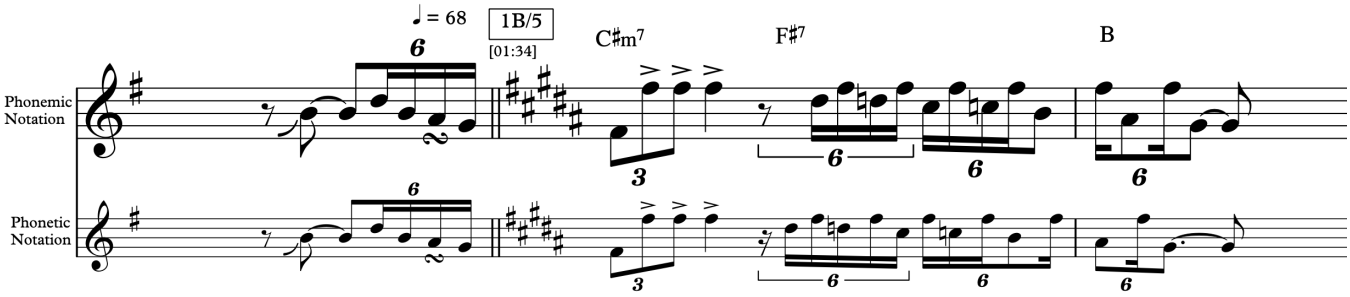
[7] In some phrases of his solo on 'How Deep Is the Ocean', over ♭III^{o7} (or I^{o7}) Hawkins simply lowers 3 and raises 4, and keeps the rest of the notes in the tonality.

APPENDIX III: PHONEMIC AND PHONETIC

A problem facing every jazz scholar is this: how to notate the music to be analysed? The choices made at the moment of transcription profoundly affect the ensuing analysis; in fact, they are themselves already an analysis. The problem is to choose between how a phrase sounds and how it was meant to sound, or, to put it otherwise, what a phrase is at a conceptual level, and what it is when performed. These two 'positions' are commonly referred to as the 'phonemic' and the 'phonetic' options.

To discuss this question, let me briefly return to 'You Go to My Head', and to what I have designated as Phrase One in example 7.2. As is his custom, Hawkins plays with great agogic freedom, and this phrase provides an opportunity to illustrate the ambivalence between a 'phonetic' and a 'phonemic' transcription (example APP.3).

EXAMPLE APP.3: Phonemic and phonetic notations of 'You Go to My Head' 1B/5-6 [01:34]



In the main staff the 'phonemic' notation provides what I consider to be Hawkins's rhythmic intention (see how this relates to a superimposed 6/4 metre in example 7.9). Although I cannot be sure about this claim, I propose that this is how he would have notated this phrase himself at the moment of playing it. The ossia staff shows my version of the 'phonetic' realisation, i.e. what I hear when listening to the recording. The phonetic notation suggests that from 1B/5/3-4 into 1C/1/1-2, the phonemic intention of the main staff is slightly anticipated in performance. I submit that, in order to get as close as possible to the reality of what we hear, we would have to notate Phrase One somewhere

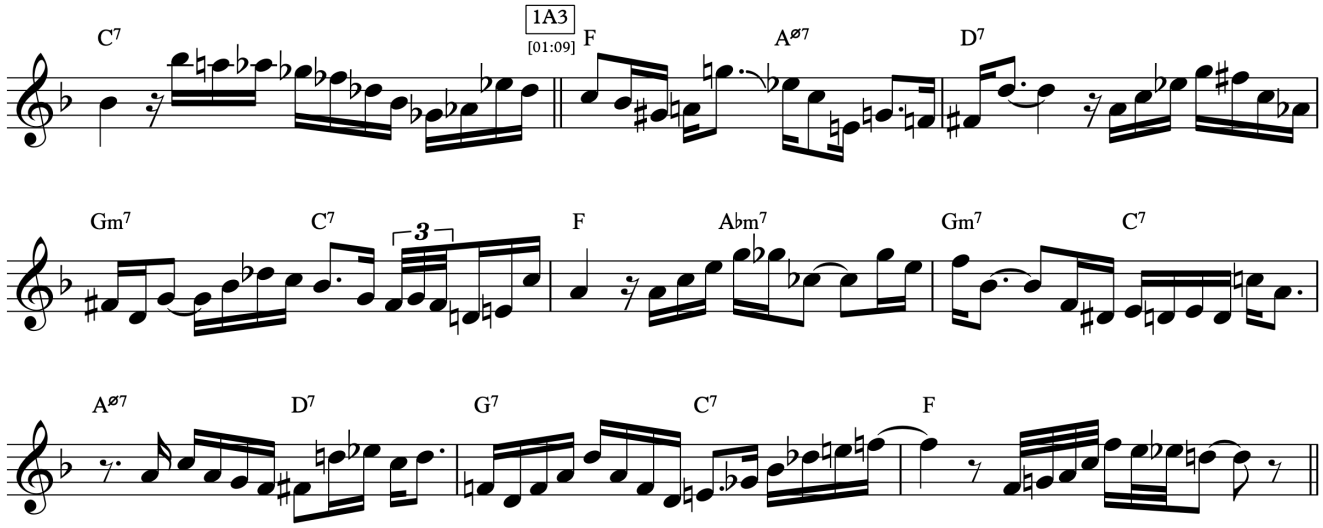
in between these two versions, and that such is the case for many phrases improvised by Hawkins at ballad tempo. This, however, would result in needlessly complex musical notation, and would be of little interest, for it seems to me that the best approach, generally, is to strive for a phonemic notation, and then experience its realisation aurally by listening to the recording.[1]

At times the ambiguity between the intention and the realisation is less pronounced. For example, in 'You Go to My Head' 1A1/1-4 (example 7.1), it is obvious that Hawkins is setting out the melody, and the phonemic notation is therefore self-evident: it is the melody as it appears in the sheet music. But Hawkins phrases it in such an interesting way that it would be a pity to simply write down the 'straight' melody, and in such cases it seems more interesting to strive for a phonetic notation.

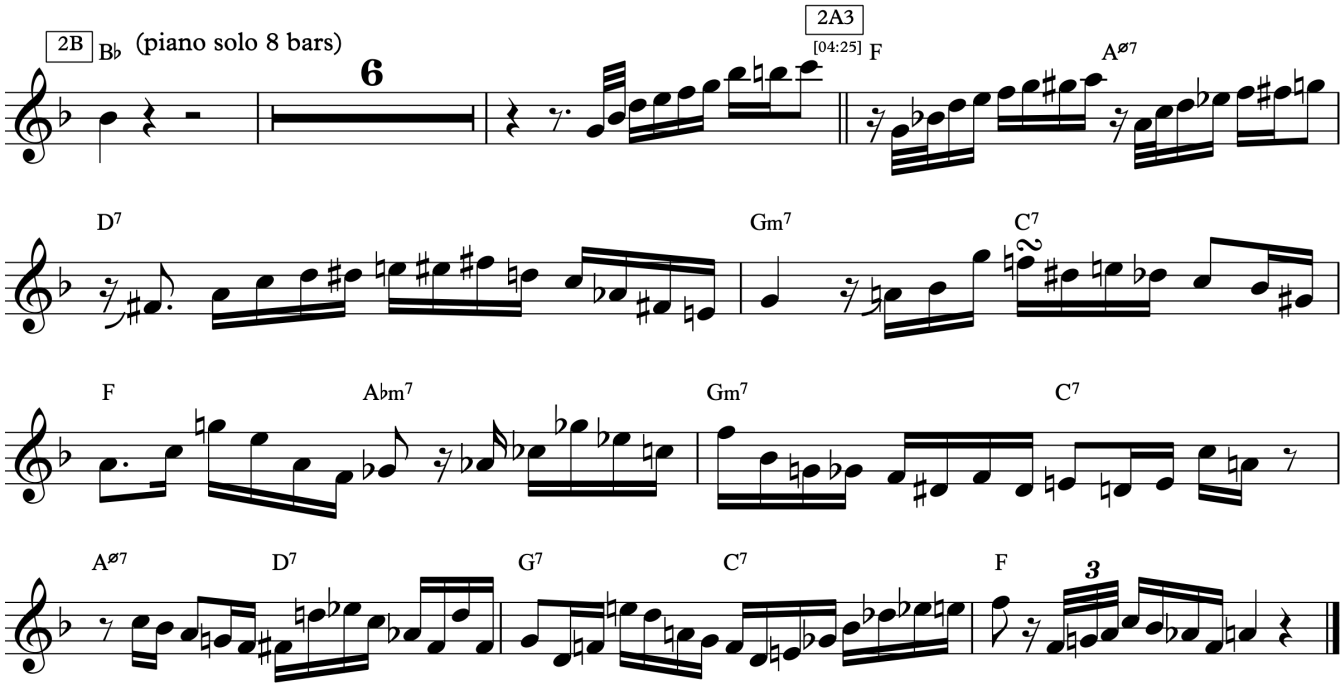
[1] See also examples 6.3 and footnote 20 in Chapter 6, and example 6.6.

APPENDIX IV: COMPLETE TRANSCRIPTIONS

‘Don’t Blame Me’


C7
1A3
[01:09]
F
Aø7
D7
Gm7
C7
F
Abm7
Gm7
C7
Aø7
D7
G7
C7
F

♩ = 80
2A1
[03:14]
(Out chorus)
F
Aø7
D7
Gm7
C7
F
Abm7
Gm7
C7
Aø7
D7
G7
C7
F
2A2
[03:38]
F
Aø7
D7
Gm7
C7
F
Gm7
C7
Aø7
D7
G7
C7
F


2B
B♭
(piano solo 8 bars)
6
2A3
[04:25]
F
A⌀7
D7
Gm7
C7
F
A♭m7
Gm7
C7
A⌀7
D7
G7
C7
F
3

‘Just One More Chance’

D7/A
D7
D7/A
D7
D7/A
D7
G
Eb7
D7
G
2B
(Out chorus)
[03:48]
G7
C
Cm
G
F7
E7
Am
A7
D7
2A3
[04:16]
G
G6
G
G+
G6
G#o7
D7/A
D7
D7/A
D7
D7/A
D7
G

‘I Can’t Get Started’

1B
[05:39]
B7
F♯m7
B7
E
E
Em7
A7
Em7
A7
D/F♯
B7
E7
A7
1A3
[06:13]
D
Bm
Em7
A7
F♯7
Bm
E7
E♯o7
D/F♯
Bm
Em7
A7
D
Gm
D

‘You Go to My Head’

C♯m7
F♯7
B7
B♭7
A7
A♭7
1A3/1
[01:49]
G
Bm7
Cm7
F7
B♭
E♭7
A7(♭9)
D7(♭9)
Gm
A7(♭9)
D7(♭9)
G
G7
1C/1
[02:17]
C
F7
G
Am7
Bm7
B♭m7
E♭7
Am7
G♯ø7/B
Am/C
Am7/D
A♭6/9
G
Bm7
B♭m7
Am7
A♭7
G

APPENDIX V: *MELODY MAKER* ARTICLES BY HAWKINS

The following pictures were taken by the author at the Bodleian Library in Oxford.

The Melody Maker, 14 April 1934

OTTO LINK
Mouthpieces
Finality in Scientific Design
AS USED BY COLEMAN HAWKINS
Sole British Concessionaires
Handcraft Instruments Ltd.
MOOR STREET, LONDON, W.1

MEADS
School of Physical Culture
KEEP FIT & WELL
"It is a shameful thing to grow old in neglect without having realized to the utmost such strength and beauty as your body is capable of. . . . Strength and Beauty will not come of themselves; he that hath no heed for them will never attain them."
Socrates
MUSICIANS!
WHY LET BAD HEALTH DOG YOUR FOOTSTEPS?
YOU CAN ALWAYS BE FIT BY NATURE'S WAY
It is surely better to keep fit whilst there is yet time.
A strong and healthy body wards off Influenza, Colds, Rheumatism, etc.
Let "Meads" show you the way to Health and Physical Beauty in the best equipped gymnasium in London. Bath & Shower—Electric Vibro Massage—Artificial Sun-Light Treatment—Hand Massage by Qualified Masseur.
OPEN 11 a.m. to 9 p.m.
CHEAP TERMS
Inspection Invited
Write at once for beautifully illustrated brochure
GREVILLE STREET HOLBORN, E.C.1
Telephone: Chancery 8502
LADDER COMFORT

PLAYING TENOR

No. 1 of a New Series on all aspects of the Tenor Sax by COLEMAN HAWKINS

This I consider the ideal playing position. It is comfortable, natural and free. The tenor is quite a weight, so I hold it with the bell turned inwards, resting against my thigh.

YOUR Technical Editor sure is a persistent guy. Seems I hadn't been in London half an hour before he had me sitting down with a pencil in my hand writing articles for his paper. And all you boys know that my hand was made to fit a tenor horn—not a pencil.

"Tell 'em how to play the tenor," he said, and left me to it. If it was as easy as he seemed to think, I wouldn't grumble any.

But the simple truth is that playing the tenor saxophone—any saxophone, I reckon—depends so much upon the individual that you can't lay down any hard and fast rules. I use a certain kind of mouthpiece, and I blow a certain kind of way; I tell you, maybe, to go and do the same things. You try 'em, and you can't make progress. So what? I'm not wrong, and you're not wrong. We're just different, that's all.

ANYWAY, if you guys think that I learned to play through reading a couple of articles like these in a newspaper, you do me a compliment.

No, I was taught. I started at the age of six—that's twenty-three years ago, if you're interested—and I learned the piano and the 'cello.

When I say I learned, I mean—*I learned*, good and hard. No faking, no busking. Scales, exercises, study, theory, harmony in the thorough but dull old-fashioned way.

When I took up the tenor, I knew music. I was nine then, and I could hardly hold the horn, but I liked it, and it seemed to come natural to me to be able to make pleasant noises on it.

Step by step, I was taught how to play it by good teachers, and I advise all intending sax-players not to try to teach themselves. You can get so far, but no farther. One hint from a man sitting at your side is worth more than all the words I could write if they gave me a couple of issues of the MELODY MAKER to fill right up.

Speaking generally, I would say that the way to become a good saxophonist is to keep on playing the saxophone. Don't be a dabbler with half a dozen instruments. I know that there are plenty who do, but they'll never be above the average. They've got to divide their attention between several different instruments, whereas the *real* sax-player is the guy who can't imagine a note being produced unless you blow it. Get me?

Well, let's try and start right from the beginning (because it's quickest in the long run), and see how we get on. You want to play the tenor sax because it's a nice, mellow instrument, capable of plenty of expression. How are you going to choose one?

The mouthpiece of my instrument. I took it off immediately after playing, for you to see the reed adjustment. The reed is dead flush to the top of the mouthpiece.

Boys, I can't tell you. I'll make a frank confession to you—when I buy a sax I'm always very impressed by the looks. That's a fact. I like it to strike the eye as smart and shining—that's why I play a highly-burnished, gold-plated model with a lot of engraving. My present instrument had five platings to make it sparkle like it does, but whether they improve the tone—well, that's for you to say when you hear me in action!

But, I sure don't advise you to follow my example. Although I personally think a plated instrument is more mellow and less shrill than one in brass, still I know that, sometimes, underneath that plating there may be flaws in the metal. Go to a good dealer, and you can't be wrong.

The mouthpiece that I use is a metal one, specially made for me, but I'm not going to say that it would suit all of the people who are reading this. I used to use a rubber one, and found it pretty good. I prefer metal, though; the lay is rigid and lasts for ever, and the tone seems to be stronger and firmer, too.

As for the reed, the only useful advice I can give you is to be as particular in your choice as I am. I remember once buying a box of fifty reeds, and throwing them all away after testing them. They weren't just right.

I find that a fairly stiffish reed suits me best, a shade on the hard side, if anything. The only real test of a reed is to see whether it "speaks well," although you won't go too far wrong if you go by colour. Streaks of green on an almost-white reed means it will be very soft; a too-brown reed is usually very hard. A corn-coloured, midway shade should be aimed at.

I don't believe in shaving reeds. Lots of people do it, I know, but I figure that, if a reed doesn't suit me just as it is, it isn't going to suit me after I've operated on it. Maybe I'm wrong, or maybe I can afford to think that way . . .!

Embouchure is a big subject, but I suppose I've got to face it. If I knew the shape of your lips, the formation of your teeth and mouth, maybe I could help you but, as it is, I can only tell you what *I* do.

Most teachers advise you to insert about one-third of the reed in your mouth when you blow. Perhaps they're right, but I hold less than that—under a half an inch—in my mouth, and I seem to manage! The actual grip of my upper teeth and lower lip is quite light, and although you might think, with such a little space to get a hold of, that I have to bite, it isn't so.

I am lucky to have an exceptionally strong underlip, but I wasn't born with it. It came as the result of continual blowing day after day for twenty years. That is why I say you want to keep on playing the sax. It doesn't matter what kind or how many kinds of sax you play, but just keep on tooting.

To help you in your initial tooting, I've scribbled a couple of exercises. Because they're easy, don't forget to *take them easy*. Try to get *tone* in your playing, not speed.

Here is my embouchure for the bottom register. Notice the lack of "bite." My lips are held quite loosely — the underlip pressed slightly on the teeth, making a firm cushion. Only a small section of the mouthpiece is between my lips.

In the top register I have to blow harder, and the correspondingly greater pressure on the mouthpiece is borne by the underlip. The top lip actually does nothing except help to prevent air escaping; it is the underlip that helps to keep the tone strong.

Ex.1

Ex. 1 is useful in conjunction with scale practice. You'll find it a help to sight-reading, because all you really have to do is to see the D (marked with a cross) and the B (ditto) and your eye automatically recognises the intervening notes without any bother.

Ex.2

Ex. 2 is just to start you on chords—the most important thing in a hot-player's repertoire. Know your chords and you know the secret of extemporising. Here we break up the chords of C and F.

D.O.T.T.E.D N.O.T.E.S

Briefs from Everywhere

BING CROSBY will make his long delayed personal appearances in the East when his current commercial winds up, May 28. . . . Ruth Etting, radio editors' favourite in that recent poll, also got the biggest hand of any act at the annual Sing Sing show . . . does that prove anything? . . .

Glen Gray's last rehearsal was completely broken up when Connie Boswell brought her Scotty pup along and "Joe Horse" Hall, Casa Loma pianist, arrived with his pet monkey.

The Melody Maker, 21 April 1934

TENOR: TUNE AND TONE

No. 2 of a Series on "Playing Tenor"

by COLEMAN HAWKINS

"WHAT are the secrets of success for a tenor-player?"

If I had a dollar—or, better still, one of your English pounds—for every time I've been asked this question, I would be able to retire. As it is, I've given my advice free of charge and it always consists of the same three words—tune and tone.

"Why *tune*?" you'll say. Well, I'll tell you. I think Adolphe Sax himself would have agreed with me when I say that there is no such thing as a perfectly-tuned horn—that is to say, a sax that plays a note dead in pitch with the mechanical precision of a piano.

You've got to humour your instrument, understand it, and, above all, listen to it. That is the way to play it in tune and I regard this as one of the two main essentials of a good player.

To play in tune, you must develop your ear, and the way to develop your ear is not to play by ear. Sounds funny, doesn't it? Maybe I've got some funny notions, but when I talk about "ear," I mean that sense that enables you to hear a note as soon as you see it printed on the music in front of you. The fellows who play out of tune don't know the sound of the notes that they're supposed to play.

Here's an idea for a beginner. Tap out a note on the piano and play it on the sax. Just sweet and gentle. Listen to it. How're you making out? Is it dead right? *"Almost," you reply. Not good enough, fellows. It's that "just a shade out" that is the difference between a good player and a corny one.*

Work on the note. Your instrument *can* play it dead in tune if you humour it, and maybe you'd be surprised to know exactly how many contributory causes there are to a dud note. The reed, the lay, your embouchure, breathing—why,

This photo and its partner on the other side show alternative methods of fingering top F. Note that the third and little fingers are only slightly lifted. It is a common and bad fault to lift the fingers too far off the keys.

even the position in which you hold your body—they all count, and it's up to you to find out which one of them is wrong.

When you're satisfied that the note that you are playing and the note on the piano are twin-brothers, take a look at it on a piece of music, and give yourself a talking-to, like this: "That note is C, and it sounds like this. So when I see it again, it's got to sound like this, and nothing *but* this!" Remember how you *produced* the right note, too.

Then try another note—there are plenty to choose from on a piano! — and just keep listening.

When you've gone through about a dozen notes (disconnected ones in the different registers; not related notes in a scale), go to the pictures or take the dog out. Forget all about the sax. When you come back, though, play all the notes you've practised, and compare them with the true sound on the piano. There'll be a mighty difference, at first, but you'll win out if you persevere.

Maybe you think I'm stressing the obvious. Think what you like, wise guy, but there are so many saxes playing out of tune—you'd be surprised! Those fellows started wrong. They don't *know* that they're out of tune. More's the pity.

Now for tone. I'll tell you something. I'd rather hear, anytime, a tenor - player playing the scale of C in tune and with good tone than I would another fellow busking a lightning and intricate version of "Tiger Rag" with a reedy tone and a just-off-the-note ear. Mere finger dexterity never made a big-timer yet. That comes by practice, but tune and tone come by understanding and intelligent musicianship.

The tone of a tenor-horn is rich and full. If you overblow it, it sounds like a bassoon, and if you want it to sound like that, why play the tenor, anyway?

Fingering low D—showing correct finger-disposition and the amount of "arching" that I find necessary on the low plates. Don't play with the fingers flat. The top of the fingers do the work, like the head of a hammer.

Alto players coming on to the tenor usually have a tendency to overblow it, because there's more to fill. It isn't a question of wind at all; just opening the throat and being more free. And when you blow, be confident. Blow a note and hold it. Don't blast but consider it a compliment if, with the minimum of effort, the neighbour complains that you're waking the baby.

As I've said before, I can only make these articles general, so, beyond telling you to cultivate tune and tone above all else, I'll leave you to assert your own individuality and master them in the way that your particular temperament finds most congenial. (How d'ye like the long words, boys?)

When you're beginning to get on with your instrument, maybe you'll find difficulty in sight - reading. Well, if anything is a matter of practice, that sure is. Get into the habit of reading groups of notes and reading 'em ahead. Right from the start, forget all about names of notes. You see a note on the stand in front of you; see it, but don't think about it. Train your fingers to jump about as soon as your eye functions.

Usually, I read a line ahead of the notes I'm playing, and I've got the rest of the page photographed on my mind at that, but to me music is like newspaper print.

When you get hold of a new piece, don't play it straight away. Read it first to see how the chords run. I always do. Most of it, you will find, falls naturally and smoothly into chord forms that you know. O.K. They're simple.

In this picture, none of the fingers is lifted, although, again, the third and little fingers are not playing. It saves time to have all the fingers ready near the keys, if you intend to jump about at all.

But it's the tricky corners that I always look for. Those trick figurations are the difficulty, and what I always do is to read them over and work 'em out *without touching the sax.* The horn only comes into it when I'm satisfied that my eye knows its way about.

In other words, sight reading is a matter of the eye first; the mind second; and the fingers last of all.

And when I tell you that I've played at sight 32-bar choruses with the chords changing two to every bar, maybe you'll agree that I know what I'm talking about.

My last tip this week is:—

It is wrong for anybody to get a complex about keys. One Key should be just as easy — or, in the beginning, just as difficult,— as another.

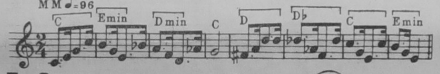
There are so many sax players who *prefer* to play in a certain key. Why? Because they haven't practised the others as well as they have practised that one.

The moral is obvious. Practise the lot with the same amount of attention to and interest in each. Have no favourites, or else you'll be stumped when you come across an arranger whose favourite happens to be different.

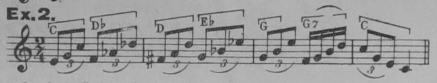
Six flats, five sharps. Who cares? All the notes are on the instrument. It's up to you to find them and remember them.

The exercises I've given you this week take you through different keys — including some difficult ones. Practise them well because they'll be useful in helping you to understand and play the modulations that you will come across.

Ex.1.



Ex.2.



It-Might-Be-Verse

by RAY SONIN

JUST pause a bit to wonder how
We'll play our jazz ten years from now.
Perhaps we'll take a backward step
And our idea of rhythmic pep
Will be a polka's twiddley-bits,
With Strauss the "man who writes the hits."

Or Foresythe then may be the rage;
Perhaps we'll even pass that stage
And Honegger will give us thrills
With music from pneumatic drills.
The Duke's discs then we'll hear in pubs—
Too lowbrow for the Rhythm Clubs!

Unless we can their efforts gag,
The Twins will still play *Tiger Rag;*
While, in the Street, it's certain you'll
Find grouse and grumble still the rule.
Who knows? The boys may sigh for more
Such "good old days" as '34!

A TUNE WHICH HAS GOT "IT"!
THE MOST ORIGINAL FOX-TROT IN YEARS
"YOU FEVER"

"SOMETHING BETTER"
"Paramount"
—The Last Word in—
REEDS AND MOUTHPIECES

The Melody Maker, 28 April 1934

Hawk "goes to town" for Don Barrigo's benefit, to the latter's apparent despair.

HOT PLAYING

No. 3 of a Series by

COLEMAN HAWKINS

Hawk's Message to Our Readers

Good wishes to the Melody Maker readers
Coleman Hawkins

Mastery of Rudimentary Technique Essential

IF you're a beginner on the tenor saxophone, I would strongly advise you to do nothing more than to skim through this article now. Better still, don't read it at all, but keep it by until you're more advanced.

Otherwise, if you're of a sensitive nature, you're liable to get discouraged at the amount of musical knowledge you've got to have before you can play hot; or, if you're one of those over-ambitious guys, keen on taking a short-cut to success, you'll mess yourself up by trying to run before you can crawl.

The truth of the matter—and this is what beginners and outsiders all seem to overlook—is that you can't play hot until you can play cold well. By "cold" I mean straight—not in the concert sense, but in the sense of scales and stodgy exercises and all the other vital and important steps to mastery of one's instrument.

Until a player has advanced himself to such a stage that he has more or less lost consciousness of the manual side of the sax, it is wrong and foolish for him to worry about playing hot.

A good hot-player is an expert, in spite of what ill-informed critics say. I suppose you have all, at some time or other, heard ignorant people say that hot players just play a lot of notes—most of them wrong—and don't know what they're playing.

Of course, if you are a reader of the MELODY MAKER, you will know enough about the subject to give the lie to such allegations. It's the buskers who try to make up for their lack of knowledge by skedaddling about on their instrument without rhythm or reason, and it can often be said of *them* that they don't know what they're playing.

But a real hot-player is in an entirely different class. There is method in what old-fashioned people call his madness, and, in this article, I'll try to prove it to you.

What Is It?

First of all, what *is* hot playing, anyway? I wish Spike Hughes were here to help me out with a real, literary definition but, as he isn't, I'll do my best.

I would say that hot-playing on a solo instrument is rhythmic elaboration in the current mode.

Just six words, but what a lot they mean! A perfect control of one's instrument so that musical thoughts can be automatically and unhesitatingly translated into notes; a complete knowledge of chords and harmonies; a super-sense of rhythm, and the gift of inventiveness.

Be Original

But what hot playing does *not* mean is a capacity for listening to hot records and using somebody else's breaks. That's the trouble with a lot of fairly-advanced horn-players. They are so eager to play hot that they spend hours listening to records, memorising or writing down the bits that sound good, practising them up, and using them in their solos.

I suppose this helps their technique some, but it also stultifies their mental powers. Listen to as many good players as you can, by all means; copy their *method*, if you like, but don't copy what they play, because that will merely make you a mimic. The real hot players are guys who weave musical patterns in their own way, not in someone else's.

My "Method"

Well, I suppose you want to know how *I* play hot, but mere words won't tell you. For your benefit, I've set down some of the stuff that I play in my records, and, when I've analysed them for you, maybe you'll get a clearer insight into all that is meant by hot-playing.

Here let me say that I never write down my choruses. I make 'em up as I go along, and the ideas are suggested by the way the chords run, and by the tune.

But it is a strange fact that my improvisations of any one particular chorus seldom vary very much. That is to say, if I have to play a chorus once and then, long afterwards, I have to repeat it, I will play more or less the same thing that I did on the first occasion. I am not conscious of imitating myself, as it were, and the repetition is not so much memory as method.

Setting the Mood

The record that I have chosen is *Donegal Cradle Song* (Decca F3717), with *Firebird* on the reverse. They are both Spike Hughes' compositions.

Now, in the former tune, a sweet, slightly eerie mood is set up at the outset and, when it comes to my turn to take a chorus, I have to study that atmosphere and develop it. The boys behind me are vamping a simple theme, and I lazily play against it. I've set down the first eight bars of the chorus for you—the top line showing you my playing, and the bottom line showing you the basic notes of the band's accompaniment.

For convenience, I have transposed this to A minor, instead of D sharp minor (six sharps) in which key I actually played it.

The actual chords on which I built are suggested by the bottom line. They are A min, D min/A min, E7/A min/D min, E7/A min/ a chromatic progression of inversions of D7, G7 and C7/D min, E7/ and A min.

Study the make-up of these chords and notice my use of passing notes—the B in the first bar; the A in bar 2 (suggesting G sharp, and so making E7) and so on. It is hopeless to try to build up entirely on the notes of a chord—you must employ some others, and it is these passing notes that make all the difference.

Just Bits

It would take up too much space to write the rest of this chorus for you, but Ex. 2 shows you an extract from my subsequent treatment of the repeated accompaniment. It takes the place of bars 4 and 5 in Ex. 1, and is rather modern in that it goes counter to the accompanying chords in places. But, all the time, I know that I have got to get ultimately to A min, and I go to it through E7 in the second bar, with F sharp as a passing note.

Now we'll turn the record over and have a look at *Firebird*, which is a faster and more lively affair. The extract that I give from this (Ex. 3) shows passing notes carried to extremes. It comes right at the end of the chorus, and is unfinished in the eighth bar because the brass section finishes it off for me.

Here again, I have transposed the extract, this time to G major. What I do in this is to break up the chords with passing notes in arpeggio form, but, if you analyse this passage for yourself, you will see that I *suggest* chords rather than play them. The accompanying chords are one bar each of C maj, C min, C maj (2nd inversion), E7, A7, D7 and G maj.

Watch It Go

This passage will repay careful practice and equally careful study.

Lastly, I give you (Ex. 4) two bars for your amusement. It is a break that I use in *Firebird*, and sounds unusual because of the augmented intervals in the second bar. I have written it in the key of D so that you can test your low-note playing with it. Notice that B is a passing note in the chord of A aug in the second bar.

Drag out the notes of the first bar, and watch your tone.

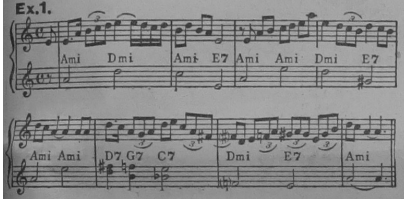
* * *

Well, the temporary journalist lays down his pencil and takes up the tenor horn again.

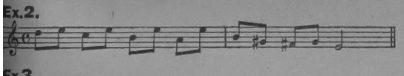
When I read the MELODY MAKER *in future, I shall have a great respect for the guys that write in it because I know what it means now to do what they do. I'm more at home thinking of notes than of words, I reckon.*

But if any of my readers have found these articles interesting and helpful, I'm satisfied.

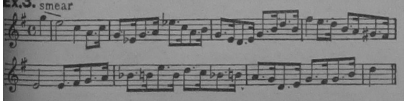
Ex.1.



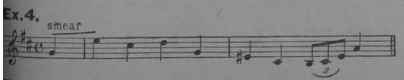
Ex.2.



Ex.3. smear



Ex.4. smear



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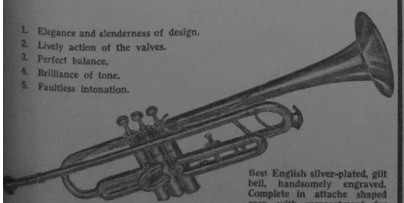

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