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THE RESPECTIVE INFLUENCE OF JAZZ AND CLASSICAL MUSIC ON EACH
OTHER, THE EVOLUTION OF THIRD STREAM AND FUSION AND THE
EFFECTS THEREOF INTO THE 21ST CENTURY

by

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We accept this thesis as conforming
to the required standard

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Abstract

This paper considers the development of jazz and classical music, and the influence exerted by each genre on the other through the Symphonic Jazz era, the Third Stream movement, the Avant Garde movement, and multi-genre Fusion. This influence began in small doses but, by the time of the third stream movement, had culminated in jazz and classical music becoming equal partners and, with the onset of fusion, jazz and classical music melding to form a completely new genre. This paper considers some of the musical, and even sociological factors, that drove these two genres towards a point of convergence, as well as the musicians and composers who played a central role in this development. While this thesis considers how each genre affected the other, the focus is not on critiquing the result of such "fusions," especially those resulting from earlier "cross-over" attempts, but instead on recognizing the influence that existed and considering its significance both today and into the future. Works considered include *La Creation du Monde* by Milhaud, *Piano Concerto* by Copland, *Rhapsody in Blue* by Gershwin, *The City of Glass* by Graettinger, *Sketch* by John Lewis, *Revelation* by Charles Mingus, *Transformation* by Gunther Schuller and *Still Waters* by Anthony Davis. Lastly, this paper considers the continued emphasis on fusion in the 21st century and the effect thereon of the ever-increasing exposure individuals have to an incredibly wide variety of music, coupled with the emphasis and promotion of pop culture and the corresponding de-emphasis on the fine arts. The result, it is submitted, is the adoption by broadly educated performers and composers, cross-trained in various genres, of innovative sounds and techniques which are used to expand the canon of works in each genre. These developments into the 21st century will have the equal and opposite effect of stirring renewed interest in the respective original genres, allowing the popular base of jazz and classical music to expand and regenerate.

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I. INTRODUCTION

Jazz and Classical Music started as distinct genres with distinctive characteristics. Over the decades, however, these genres increasingly looked to each other for inspiration and inevitably exerted a subtle yet undeniable influence on each other. Eventually, each genre adopted and assimilated various elements traditionally distinctive of the other genre, to the point where, aurally, they ultimately became seemingly indistinguishable.

This paper traces the development of jazz and 20th century classical music through the Symphonic Jazz era, the Third Stream movement, and the Avant Garde movement, considering the influence exerted by each genre on the other, with regard to some of the musical, sociological, economic, and political pressures that drove these two genres towards a point of convergence. While this thesis considers how each genre affected the other, the focus is not, however, on critiquing the result of such "fusions," especially those resulting from earlier "cross-over" attempts, but instead on recognizing the influence that existed and considering its significance today.

By recognizing the cross-fertilization effect which eventually culminated in jazz and classical music becoming equal partners under the third stream movement, and then melding to form a completely new genre, this paper will then attempt to consider the direction of music into the 21st century - a century pervaded not only by fusion and blurred boundaries, but also by an undeniable emphasis on pop culture and a corresponding de-emphasis on the fine arts.

II. JAZZ AND CLASSICAL MUSIC DEFINED

Defining jazz and classical music may at first seem like an impossible and somewhat arrogant task. However, in order to understand how these two genres have influenced each

other, one must begin by considering the elements that characterize and distinguish them. The following is a brief look at the defining elements of these genres, which will hopefully be a sufficient starting point given that a detailed description of the origins of classical and jazz music would be beyond the scope of this thesis.

A. Classical Music

The *Merriam-Webster's Collegiate Dictionary* defines classical music as: "of, relating to music in the educated European tradition that includes such forms as, art song, chamber music, opera, and symphony as distinguished from folk, or popular music or jazz."¹ In Gunther Schuller's words, the music of the European tradition is: "... exemplified by composers like Bach, Beethoven, Brahms, Debussy, Schoenberg, etc. There is no really adequate general name for this lady of music, 'classical' being merely broader and less offensive than terms like 'symphonic' or 'serious' music, which are either too narrow or misleading."²

Classical music is thus art music of the European tradition, having originated in Europe, and having as its basis a tradition of formal training and education in both performance and composition. The mentality behind classical music is best described as "conservatory" in nature and instruction is compartmentalized into various schools of thought, for example, the French flute school which began when the Paris Conservatoire was established in 1795. In contrast to jazz music therefore, where the "individuality" of sound is emphasized, classical musicians often reflect certain "national characteristics," strictly adhered to in each geographic area, and perpetuated through conservatories and the training therein. English flutists, for example, sound

¹ Obviously, "classical" in this definition is being used in the broad, generic sense of the term to define all music of the European tradition, as opposed to music solely from the classical period (the exact dates of which are debated by many a musicologist, but which generally stretches from the mid-18th century (1750) to the mid-19th century (1830)).

² Gunther Schuller, *Musings*, New York: Da Capo Press, 1999, p.7.

slightly different from French flutists, and students are all trained to imitate the accepted sound of their respected traditions. In fact, what constitutes a "beautiful" sound in classical music was that which is "deemed fashionable at a particular time and place," ³ and these "fashions" change only every three or four generations.

"In jazz, on the other hand, there is no such thing as a beautiful sound. It is up to the individual to create his sound one that will best serve his musical concepts and style." ⁴

Classical music today is thus a world of education and training where set methods, techniques and sounds are passed down from one generation to the next. In this way it is the polar opposite to the spontaneous inventive performance style of jazz. This is not meant to convey, however, that all aspects of classical music are rigid and formalistic and completely "rehearsed," nor is it meant to imply that all aspects of jazz music are unstructured and completely improvised or performed by "uneducated" musicians. In fact, the two genres have increasingly departed from the traditional stereotypes and limitations characteristic of each, to embrace previously foreign elements, as will be further discussed herein.

B. Jazz Music

Compared to classical music, jazz is more difficult to define. As Mark Gridley describes:

Some people apply the term [jazz] to almost any music that displays characteristics that have ever been associated with anything ever called jazz. For example music might be called jazz just because it has a bluesy flavor, or just because it uses instruments that have been associated with jazz, such as saxophones and drums, or just because it has "jazzy rhythms," or just because it displays manipulation of pitch and tone quality associated with jazz (buzzings, roughness, blue notes, drops, doits,

³ *Ibid*, p.32.

⁴ *Ibid*, p.32.

scoops, smears, and bends). This means that a given performance might fall into the jazz category even though it uses no improvisation and conveys no swing feeling. When people use the term that loosely, they rarely distinguish between jazz and other kinds of music, to which we might best apply the term "jazz-like."⁵

Notwithstanding the difficulty in confining the definition of jazz to a specific category, looking at a few dictionary definitions illustrates some of the distinctive elements that set it apart from other genres, in particular classical music. While these definitions display common elements regarding the nature of jazz music, of interest are the different socio-political views and comments expressed as a function of, or implied into, the definitions.

On the one end of the spectrum, the *Guinness Book of Jazz* defines jazz as: "Distinctive musical style, deriving from an Afro-American background It has no melodic or harmonic features that could not be found in other musical spheres. Its distinguishing trait is a propulsive and flexible rhythmical movement."⁶ The *New Grove Dictionary of Jazz*, being more moderate, defines jazz as: "A music created mainly by black Americans in the early 20th Century through an amalgamation of elements drawn from European-American and tribal African musics." It goes on to say, "The attraction of jazz, as with any music, lies in its particular combination of rhythm, melody, harmony, instrumental sound, and the like."⁷ On the other end of the spectrum, the *New Grove Dictionary of Music* defines jazz as follows: "The term conveys different though related meanings: 1) a musical tradition rooted in performing conventions that were introduced and developed early in the 20th century by African Americans; 2) a set of attitudes and assumptions brought to music-making, chief among them the notion of performance as a fluid

⁵ Mark C. Gridley, *Jazz Styles History and Analysis*, 7th ed., New Jersey: Prentice Hall Inc., 2000, p.7.

⁶ Peter Clayton and Peter Gammond, *The Guinness Jazz A-Z*, Great Britain: Guinness Superlatives Ltd., 1986, pp.122-123.

⁷ James Collier, "Jazz," *The New Grove Dictionary of Jazz*, Ed. Barry Kernfeld, New York: Macmillan Press Ltd., 1988, Vol. 1, p. 580.

creative process involving improvisation; and 3) a style characterized by syncopation, melodic and harmonic elements derived from the blues, cyclical formal structures and a supple rhythmic approach to phrasing known as swing."⁸

Of note is the almost derogatory, dismissive tone of the first definition, which seems to imply that jazz adds nothing worthwhile as a musical genre. This is especially apparent in the claim that jazz "contains no melodic or harmonic features that could not already be found elsewhere." A jazz oriented book like this is surprising in that it shows how widespread some of the misconceptions of jazz are. Somewhat more moderate is the description in the *New Grove Dictionary of Jazz*, which describes jazz as an amalgamation of European-American and African musical elements. The *New Grove Dictionary of Music*, on the other hand, makes no reference to jazz being a function of prior or existing genres.

As noted in the above definitions, however, the attraction of jazz lies in its particular combination of rhythm, melody, harmony, instrumental sound, and the like. It is, in essence, a fluid creative process involving improvisation, arguably a key element that should be central to any definition of jazz. Just as important, and subsumed in the word improvisation, is the individuality of jazz. Jazz performers create their own sound and the individual elements of jazz are better suited to individual self-expression. "[I]n jazz, the sound, timbre, and sonority are much more at the service of individual jazz expression [than in classical music], interlocked intimately with articulation, phrasing, tonguing, slurring, and other such stylistic modifiers and definers."⁹ The above definitions, which focus primarily on rhythm and improvisation, are thus

⁸ Mark Tucker, "Jazz," *The New Grove Dictionary of Music and Musicians*, Ed. Stanley Sadie, New York: Macmillan Publishers Ltd., 2001, Vol. 12, pp. 903-904.

⁹ Gunther Schuller, *supra* note 2, p. 32.

general and wholly inadequate given that the elements of rhythm and improvisation cannot by themselves be used to distinguish jazz from other genres. Jazz clearly has its roots in African heritage and a very distinctive part of African music is the importance of rhythm, but rhythm alone does not make jazz jazz. Rhythm, improvisation, harmony, melody, sound, etc. all work together to give music a classical or jazz sound. However, a more detailed examination of each of these individual elements is required in order to isolate the similarities and dissimilarities between these genres, and ultimately consider their effect on each other.

III. ELEMENTS OF MUSIC

1. Rhythm

The uniqueness of rhythm in a jazz context lies in two distinctive and prominent qualities: 1) the element referred to by jazz musicians as “swing” (not swing as in swing bands from the 1930’s) and 2) the purposeful emphasis on “weak beats.” Both of these elements descend from African music tradition. Swing, like jazz, is fairly hard to define. Gunther Schuller makes an interesting point on what swing is and how it can be distinguished in jazz. Swing, he states:

signifies the accurate timing of a note in its proper place. If this were the entire definition, however, most classical music could be said to swing. In analyzing the swing element in jazz, we find that there are two characteristics which do not generally occur in classical music: (1) a specific type of accentuation and inflection with which notes are played or sung, and (2) the continuity – the forward propelling directionality – with which individual notes are linked together These two swing qualities are present in all great jazz; they are attributes, on the other hand, that do not necessarily exist in great classical music.¹⁰

¹⁰ Gunther Schuller, Early Jazz, New York: Oxford University Press, 1968, p.7.

Schuller is trying to describe the difference between what is called phrasing in classical music and the driving rhythmic propulsiveness in jazz. This is an element found in many classical works. For example, proper performance practice of Mozart's music requires that appoggiaturas be accented and that the resolving note be de-emphasized. Similarly, in performing Bach's music, the emphasis is properly placed on the first note of each pair when executing running 8th or 16th notes.

The most distinguishing factor of the "swing" element in jazz would therefore seem to lie in the rhythmic propulsiveness of the 8th notes in jazz music. In European music, from the classical period onward, the 8th notes are generally played as written - evenly with maybe a bit of an accent on some notes. However, it is interesting to point out that in the French Baroque period, 8th notes, in some dance styles, would be performed "inegal" or "unequal" in English. This means that although the written score showed even 8th notes, common performance practice meant that the 8th notes were to be dotted or double dotted "in a manner showing good taste." Thus, one can see a similar parallel between jazz and baroque performance practice, but the end result is that notes inegal in baroque music and notes that "swing" in jazz music are in effect polar opposites.

With jazz, one "swings" even 8th notes unless stated otherwise. Trying to notate swing is difficult because it is essentially a rhythmic feeling. Even 8th notes, therefore, are played with a triplet or 12/8 feeling. Currently the standard way of notating swing is by indicating even 8th notes, leaving interpretation up to the performer. "Not only are jazz musicians expected to be able to play swing music by reading even 8th notes, they are also expected to play these rhythms with a high level of rhythmic sophistication and sensitivity ... That is, they should be able to play the music in a subtly relaxed manner, ever so slightly behind

the beat. An interesting point is, that no matter the degree of 'laying back,' (slightly behind the beat) jazz performers are always able to play with a consistent sense of forward momentum, never losing sight of the 'real' beat, and certainly never dragging or slowing down. This apparent rhythmic contradiction by melody instruments sets up a wonderful rhythmic tension with the steady on-the-beat pulse of the bass and drums, that can be keenly felt by performers and listeners alike." ¹¹ This is what is commonly referred to as swinging.

Syncopation and polyrhythm are two additional elements of rhythm that give jazz a distinctive flavor. Again, however, these elements are also found in classical music - Stravinsky being renowned for capacious use of polyrhythm. What sets jazz apart, however, is the *preponderance* of syncopations and polyrhythms and the fact that they are mostly improvised by several musicians at once. Thus, while rhythm played a larger role in 20th Century classical music (with Stravinsky and his contemporaries and more so with minimalist composers like Steve Reich, who layers many different rhythms on top of one another in a repetitive infrastructure), it was, for the most part, notated and specific, whereas with jazz it was improvised. As for syncopation, while classical music, especially in the 20th Century, often relies on it as a very important element, with jazz it is always there. In classical music, however, the accent is on the strong beats, for example, in 4/4 the emphasis would be on beats 1 and 3. The opposite is the case with jazz, where in 4/4 the accent is on the 2nd and 4th beats. This, coupled with the consistent avoidance of emphasized downbeats in jazz, makes jazz distinctive.

Unlike 'syncopated music,' which implies a vertical displacement of beats, jazz 'syncopation' gives the sense of a note happening before its expected downbeat. In other words, the 12/8 rhythm or the triplet allows us to move a note backwards in time - to the last eighth of the previous triplet or

¹¹ Fred Stride, *Jazz Arranging*, Vancouver, Canada: Last Time Out Music, 2000, p.94.

eighth grouping. These anticipated melodic rhythms, extremely common in jazz, against the steady 4/4 pulse of the rhythm section, create a wonderful poly-rhythmic tension that helps define swing.¹²

In summary, it is not the actual rhythms and their notation which distinguishes jazz from classical music (as these are essentially the same in each genre), but the rhythmic propulsion, the swinging 8th's (improvised or not), and the consistent syncopations, anticipations and polyrhythms of jazz that make it unique. Even though African-Americans adopted some of the relatively simple binary meters of European music, syncopation, polyrhythms and improvisation are part of the African tradition and figure prominently in jazz. The European roots of classical music and the African roots of jazz thus contribute to the differences in how these aspects of rhythm function in jazz and classical music respectively.

2. Harmony

"Any discussion of harmony in jazz and its antecedents must begin with the realization that in the beginning, Afro-American music had no harmony European harmonic disciplines are totally unknown in traditional African music."¹³ It would, therefore, be easy to conclude, as most studies of jazz have, that the harmony of jazz derives exclusively from European practices but, as Schuller goes on to say, this is an over-simplification. Important to note is that: "the particular harmonic choices Negroes made, once they adopted the European frame of reference, were dictated entirely by their African musical heritage."¹⁴ Jazz harmony, therefore, shares some commonalities with classical harmonic structure, however, the application and result tends to be very different. Both genres have functional (ii-v-i) harmony but in jazz,

¹² *Ibid.*, p. 96.

¹³ Gunther Schuller, *supra* note 10, pp. 38-39.

¹⁴ *Ibid.*, pp. 38-39.

the harmonic structure contains more frequent key changes.¹⁵ Both genres, however, share the same pitch language. "The pitch language, the harmonic language, is essentially the same - F sharps, B flats and seventh chords and unnamable atonal chords."¹⁶ Jazz therefore works within the European framework of diatonic harmony and uses essentially the same modes and scales as in classical music (but jazz favours the use of a melodic "blue note" - which is the flatted 3rd, 5th, and 7th degrees of a scale). Additionally, the basic chord types in jazz and pre-20th century classical music are the same, except that jazz makes greater use of expanded chordal structure (chords up to and including 8 notes) and generally avoids the use of triads. Similarly, jazz harmony favors 7th, 9th, 11th, and 13th chords, which are the same chords favored by Debussy, Ravel and other impressionist composers. Even though this harmonic structure has been emulated by many jazz musicians, they added altered chord tones (sharp 11's, sharp 9's, flat 9's, etc). This allows one to hear a distinction between classical and jazz harmony, not so much in the harmony per se, but more in the way harmony has been used within these different genres.

3. Form

Form is more elusive. That is because with music, there is always a favored form regardless of the genre. Unfortunately, therefore, as soon as one points out what form makes a genre distinctive, there are equally as many works that do not fit into that particular form and even more works that break the mold with slight changes. As a precursor to the discussion on form it must therefore be reiterated that this is a general description of the musical elements of classical and jazz music, and the discussion on form follows suit.

¹⁵ Functional harmony here is discussed in the context of the pre avant garde movement in both genres.

¹⁶ Gunther Schuller, *supra* note 2, p.28.

It is a misconception to think of classical music as synonymous with form and jazz music as synonymous with formlessness. Both genres found initial favor with particular forms, which were expanded as the decades progressed and in some instances, such as with the avant garde movement, in the 1940's and 50's were dropped altogether. Schuller states:

" . . . after largely non-thematic beginnings (in the early middle ages), music over a period of centuries developed to a stage where (with the great classical masters) thematic relationships, either in sonata or various variational forms, became the prime building element of music, later to be carried even further The history of jazz gives every indication of following a parallel course, although in an extraordinarily condensed form."¹⁷

Even though the formal elements in classical and jazz may have faced similar journeys, the concept of form itself is somewhat different in these respective genres. Classical music has many forms that have been used throughout the centuries: prelude and fugue, rondo, minuet and trio, theme and variations, sarabande, courante and bouree, to name just a few. The form that has probably remained the most important in the history of classical music, however, is the sonata form.

The sonata form has been developed, expanded and used in almost every medium, including solo music, chamber music, the symphony, and the concerto. It is still used today by many classical composers. Sonata form is essentially ABA, sometimes with a coda. The exposition has two themes or theme groups ending on the dominant or relative major. The B section is the development section, following which the recapitulation repeats the first and second theme and ends in the tonic.¹⁸ Of course, in the 20th Century, this is not so strictly

¹⁷ *Ibid.*, pp.96-97.

¹⁸ *Ibid.*, p.6.

adhered to, with the sonata following a more general ABA form without an emphasis on key relationships.

Basic jazz forms, on the other hand, reveal strong African antecedents, particularly in the “call and response” pattern, in the “chorus” concept, and in the “riff” principle. The major differences in early jazz and classical music thus again boil down to their different origins.¹⁹

The “chorus” concept is best described by Schuller, where he states:

The “chorus” concept – virtually unknown in European music – taken directly from the ‘master patterns’ of tribal cult and recreational dances, is perhaps the most fundamental principle to jazz. It is as the sonata form is to diatonic music.” “To be sure, these forms are not abstract artistic forms in the European sense, nor are they intellectually conceived. They are irrevocably linked to everyday work and play functions. Moreover, some observers have confused their very complexity with formlessness.”²⁰

He describes the “call and response” pattern and the “riff” as follows:

The call and response pattern usually takes the form of a chorus responding to a leader or soloist...”The call and response format persists in jazz even today in much more modified extension. Combining with the repeated refrain structure of the blues, it founds its way into the marching jazz of New Orleans, and in this form began to be known as a ‘riff.’ From there it infiltrated the entire spectrum of jazz from the improvised solo to the arranged ensemble.”²¹

The “chorus” pattern, described above, can be found in the two main jazz forms: 1) the 12-bar blues; and 2) the 32-bar song. As with the classical sonata form, not all jazz music fits into this framework (jazz musicians, for example, extended these short songs by repeating them and in the process creating a larger simple form) and many composers, especially Duke Ellington, pushed the boundaries of the form by, for example, composing works equal in length

¹⁹ *Ibid*, p.7.

²⁰ Gunther Schuller, *supra* note 10, p.27.

²¹ *Ibid*, p.28.

and content to symphonies. Duke Ellington, in particular, has been credited with revolutionizing form in jazz by thoroughly and completely exploring territories outside of the 12 bar blues and the 32-bar song. It is in this area of form that jazz composers and arrangers have made the biggest changes in the last 60 years.

4. Improvisation

Improvisation is often thought of as one of the distinguishing elements of jazz, and although it is one of its distinctive features, it is not what makes jazz jazz. Many classical composers, especially in the baroque era, improvised on a regular basis - J. S. Bach, for example, was known to have improvised entire fugues. Moreover, although baroque music was written out, it was common performance practice for musicians to ornament it to such a degree that it was essentially an improvisation. In this day and age, however, improvisation is one of the main defining elements of jazz. Classical musicians rarely improvise, and even cadenzas that may have been improvised in "their day" are now pre-composed.

Much of jazz music, on the other hand, is created on the spot, constituting a new "creation" with every performance (some performers never improvise the same way twice). There are two main kinds of improvisation in jazz, "paraphrase" and "chorus":

Improvisatory procedures can be divided roughly into two broad and sometimes overlapping categories which have been called 'paraphrase' and 'chorus' improvisation. The former consists mostly of an embellishment or ornamentation technique [the melody is the easiest place to hear this], while the latter suggests that the soloist has departed completely from a given theme or melody and is improvising freely on nothing but a chord structure. (It is interesting to note that this separation in improvisational techniques existed also in classical music in the 16th to 18th Centuries, when composers and performers differentiated between

ornamentation (elaboratio) and free variation (inventio).) Most improvisation in the modern jazz era belongs to this second category.²²

Compared to the improvisational nature of jazz, classical music has been criticized for “recreating” rather than creating. As Schuller states: “Many jazz musicians claim that the classical musician’s playing lacks spontaneity, that it has become dulled by repetition.”²³ This is not entirely true as any musician can have an inspired or dull performance, regardless of whether he or she is a jazz or classical musician, improvising or performing a pre-composed piece. In fact, Schuller acknowledges this when he states: “But it [spontaneity in classical performances] does occur, and, I think, with more or less the same degree of frequency with which it occurs in jazz.”²⁴

Even though improvisation is so central to jazz, it should, however, also be noted that not all jazz is improvised, some of it being arranged and “composed.” Notwithstanding this, all jazz musicians can improvise while very few classical musicians possess that skill. One of the reasons is articulated by Gunther Schuller: “For musicians lacking in formal musical education and therefore unable to read or write music, recourse to improvisation was the only way to musical self-expression.” (Musings, p. 7.) Schuller’s reference here is obviously to earlier jazz musicians, but whatever the reason, the skill is an important one and a seminal contribution to a powerful musical genre.

5. Other Elements

The remaining elements in music will be dealt with in more detail later in this paper. For now, suffice it to say that these elements: phrasing, articulation, sound, tone color, interpretation

²² Gunther Schuller, *supra* note, pp. 86-87.

²³ *Ibid.*, p.24.

²⁴ *Ibid.*, p.24.

and style, are what gives each genre its most distinctive voice. For example, what is considered "bad" sound in classical music, for example, can give jazz musicians their "style." In this context, the distinction between the "educated" performer of the classical world and the often times "self-educated" performer of the jazz world is thus a source of identity and individuality. In fact, most jazz musicians such as, Miles Davis, Thelonious Monk, Louis Armstrong, and Duke Ellington, go to great lengths to cultivate a manner of playing that will give them a unique identity and a highly personal vehicle of self-expression. By contrast, classical music is traditionally played in a certain pre-ordained way, deemed the "correct" way, and passed down from generation to generation. For example, Marcel Moyse played the Bach flute sonatas in the early 1900's in essentially the same way as Jean-Pierre Rampal, Robert Aitken or other contemporary flute performers do today, merely with subtle differences in style, sound, articulation, phrasing and interpretation. With jazz musicians, however, these same elements are often completely unique to the individual performer and, as with phrasing and articulation, there is more than one way to play the same piece, and no single "correct" way. The most distinctive difference between jazz and classical music, therefore, lies in the combination of style with rhythm, harmony, melody and all other musical elements. It truly is the combination of all these elements and their uniqueness to each genre that defines them.

In examining "style," however, it should also be noted that clearer distinctions can be drawn by focusing on earlier performances of jazz and classical music. Such performances avoid the blurring caused by the many "cross-over" musicians of today's age, as well as the converging effect exhibited by the expanded entourage of sounds and techniques displayed by contemporary performers and composers in both genres.

IV. THE CONFLUENCE OF JAZZ AND CLASSICAL MUSIC

A. THE SYMPHONIC JAZZ ERA (1920's)

Having examined the elements that make jazz and classical music separate and unique, one can now consider the influence each genre has had on the other. This influence, in essence, found expression through the adoption by one genre of various unique elements distinctive of the other genre. This "cross-pollination" occurred notwithstanding the initial negative views held by each genre towards the other. Classical musicians, for example, initially saw jazz as a "primitive," "uneducated" dance music, with little structure or form. Jazz musicians, similarly, saw classical music as constricting, with performers merely repeating music rather than creating it. With time and increased exposure, however, a point was reached where both sides recognized in the other a means of expanding and improving their own music (by borrowing elements therefrom). This paper traces this development and its effects.

Jazz itself emerged around 1895 and became popular in the second decade of the 20th century.

During the second decade of our century, while the world was engaged in its first "global" war and European music was being thoroughly revitalized by the innovations of Arnold Schoenberg and Igor Stravinsky and the radical experiments of the musical "futurists" and "dadaists," America was quietly, almost surreptitiously, developing a distinctly separate musical language it had just christened with a decidedly unmusical name: jazz.²⁵

In fact, during the 1920s which became known as the "Jazz Age," jazz musicians rapidly turned to classical music as a medium through which jazz could be further developed. "symphonic jazz," which was music that attempted to fuse jazz and classical elements,

²⁵ Gunther Schuller, *supra* note 10, p.3.

consequently emerged during this era, and eventually was regarded as the predecessor to a movement in the late 1950's termed the "third stream."

On the other side of the coin, as jazz developed, grew, established its identity, and began to adopt classical elements, jazz elements similarly began to surface in classical music. "[Jazz's] influence on composers of 'serious' music, including Stravinsky, Milhaud, Copland, Schullhoff, Ives and many more, was intermittent and various but altogether too frequent to be overlooked."²⁶ As a result, elements of jazz (or ragtime, a precursor to jazz) began to increasingly surface in classical works. For example:

Europeans were making use of the rhythmic elements of ragtime and/or jazz in classical pieces like Debussy's "Golliwog's Cakewalk" (1908), Stravinsky's "L'Histoire du Soldat" and "Ragtime for 11 Instruments" (both 1918) . . . and Charles Ives used ragtime exuberantly in "Central Park in the Dark" (1898-1907).²⁷

The fact that each genre drew on elements from the other during this era was practically inevitable given the experimental nature of the times, the emergence of new ideas, and the habit amongst musicians to look to the arts, literature, or "exotic" countries for new inspiration. As Schuller says:

music . . . is subject to all manner of subtle sociological, economic, and even political pressures, and is often influenced by fads and fashions, by accidents of timing and fate, and by population shifts and other socioeconomic factors. In other words, cross-fertilizations occur in free and unpredictable patterns, whether anyone approves of them or not.

Indeed, had cultural traditions never mixed, the last 900 years of Western European musical development could never have occurred, because no

²⁶ William W. Austin, Music In The 20th Century, New York: W.W. Norton and Company, Inc., 1996, p.274.

²⁷ Max Harrison, "Symphonic Jazz," The New Grove Dictionary of Jazz, Ed. Barry Kernfeld, New York: Macmillan Press Ltd., 1988, Vol. 2, p. 509.

significant musical innovation has ever been achieved which did not
borrow from geographically or stylistically neighboring cultural traditions.
²⁸

Jazz, being the newest musical development, was naturally looked to by some classical musicians for inspiration, and yet, there has always been some argument as to whether jazz did indeed have a significant influence on classical music. This was especially so with regard to whether jazz influenced classical composers. Interestingly enough, it is often jazz musicians who dismiss claims by classical musicians of a jazz influence on their works, arguing that they do not hear any jazz elements in such allegedly jazz influenced pieces. Others theorize that while the influence exists, the incorporated jazz elements are so “classicized” as to be unrecognizable to jazz ears. While this adds a whole new dimension to the debate, making it harder to prove or disprove the theory, the focus should not lie in considering whether jazz elements were transplanted into classical music in a form recognizable to jazz ears, especially since evidence of this is scarce. Instead, the focus should lie in evidence that classical musicians heard this “new” music, were fascinated by certain elements therein, and incorporated these into their own manner of composition and style, without necessarily staying loyal to the actual distinctively jazz element therein (and vice versa). The influence was not therefore a function of how well classical musicians emulated jazz elements, but instead an admission that an influence existed irrespective of how it was manifested. This fact, at the end of the day, cannot be overlooked and classical composers have even openly admitted to it.

Darius Milhaud’s first contact with jazz, for example, was made in London in 1920 at which time the Billy Arnold Band was playing in Hammersmith. “Darius was thunderstruck by the new rhythms and tone colors to the point of thinking of writing a chamber music work

²⁸ Gunther Schuller, *supra* note 2, p.122.

directly inspired by this music . . . more than ever he was determined to transpose the jazz idiom into a classical work.”²⁹ Similarly, Copland, who listened to jazz in the bars in Vienna in 1923, said: “and hearing it [jazz] in a fresh context heightened my interest in its potential. I began to consider that jazz rhythms might be the way to make an American-sounding music.”³⁰ Of particular interest is the influence of jazz on Stravinsky. He said: “My knowledge of jazz was derived exclusively from copies of sheet music, and as I had never actually heard any of the music performed, I borrowed its rhythmic style not as played, but as written. I could imagine jazz sound, however, or so I liked to think. Jazz meant, in any case, a wholly new sound to my music.”³¹ It is important to note, however, that the jazz bands that these composers listened to in the 1920's were pre-Armstrong and his revolutionary *Hot Five and Hot Seven* recordings from a few years later, and were probably the popular white jazz dance bands. (Stravinsky, who eventually listened to live jazz in Harlem and to performances by African-American bands in Chicago and New Orleans, may have been one of the few exceptions, together with Milhaud and Copland.)³²

Despite these admissions, not everyone was convinced, in particular jazz musicians themselves. In an article in *Esquire's 1947 Jazz Book*, memorializing the discussion between jazz drummer Gene Krupa and Leonard Bernstein on whether or not jazz influenced the symphony, Gene Krupa argued: “I have never heard anything genuinely and honestly derivative of jazz in any such music, even, maybe especially, in such works as Igor Stravinsky's *Ebony*

²⁹ Roger Nichols, Conversations with Madeleine Milhaud, London: Faber and Faber Ltd., 1996, p.51.

³⁰ Aaron Copland and Vivian Perlis, Copland 1900 through 1942, New York: E.P. Dutton and Company Inc., 1984, p.90.

³¹ Eric Walter White, Stravinsky, Berkeley and Los Angeles: University of California Press, 1979, p.270.

³² *Ibid.*, pp. 436-437.

Suite [Concerto] . . . I've never heard it in a single one of the 'serious' pieces of George Gershwin. . . [or] in the works of Darius Milhaud." Krupa felt that for most of these composers the "preoccupation was purely verbal" and, with regard to Stravinsky in particular, he said: "Although apparently able to sense, to feel, the jazz tempo, he has been unable to express it. For all his tremendous musical vitality, that vitality did not encompass the peculiar rhythmic, driving, let us say American qualities which is the essence of jazz."³³ (Krupa is defining jazz as swing.) Krupa may have had a point in the sense that the jazz (or swing) element in the referenced works may have been superficial, or even contrived, but this focuses on recognition of purely jazz elements, as opposed to the fact that jazz elements were incorporated by these composers, even if in an altered state.

Not every experimentation in classical music has been "successful,"³⁴ but Stravinsky, Gershwin, Milhaud, Copland, etc., under the (early) jazz influence, and through their experimentations, paved the way for third stream, fusion, and many works that altered the course of classical music and more completely bridged the gap between the jazz and classical idioms. In Leonard Bernstein's words, "I heartily submit the thesis that serious music in America would today have a different complexion and a different direction were it not for the profound influence of jazz."³⁵

³³ Gene Krupa and Leonard Bernstein, "Has Jazz Influenced the Symphony?" Reading Jazz: A Gathering of Autobiography, Reportage and Criticism, Ed. Robert Gottlieb, New York: Random House Inc., 1996, p. 775.

³⁴ For example, not every experimentation with the 12-tone technique or every attempt to introduce electronic elements was successful.

³⁵ Gene Krupa and Leonard Bernstein, *supra* note 33, p. 779.

Jazz stimulated European music “by supplying it with new ideas about rhythm, melody, and sound ‘and appealing to Europeans’ fascination with the exotic.”³⁶ The “new” jazz sounds were very different to what classical musicians were used to hearing. They included “new brass mutes, new instrumental techniques, and new instruments like the saxophone or the percussion, then either not in use at all in classical music or not used in the way that jazz musicians were utilizing these instruments.”³⁷ Jazz musicians also introduced a different chamber music style that juxtaposed woodwind and brass ensemble on the one hand with a rhythm section (piano, double bass and drums) on the other. A new breed of jazz soloists (like Louis Armstrong), on the other hand, exhibited a new level of virtuosity and technique, often playing their instruments so differently that “previously unheard sounds and effects of trumpets, trombones, and wailing clarinets”³⁸ were displayed. In summary, the emerging jazz genre not only fascinated classical musicians, but created unique sounds that played prominent roles (exhibiting rougher, more buzzy qualities: bends; glissandos; etc.) and pushed the range of instruments beyond what most symphony musicians were used to (even though many of these “jazzisms” applied by classical composers were the more surface features of jazz).

Besides the direct appeal created by the music itself, jazz also emerged against a backdrop of increased awareness and cross influences, often in areas which had previously been viewed as unrelated. For example, much was being made of the influence of African sculpture on Picasso, and there was no end of academic commentary on the inevitability of correspondence between the arts. The direct appeal of jazz as a genre, therefore, when coupled

³⁶ Andre Hodier, Jazz: its evolution and essence, New York, New York: Grove Press, 1956, p.245.

³⁷ Gunther Schuller, *supra* note 2, p. 29.

³⁸ *Ibid.*, p. 29.

with the indirect influence of the experimental, outward looking mentality prevalent at the time, had a catalytic effect on the adoption and incorporation of jazz elements into classical music.

Jazz, at the same time, was experiencing “a fascination with contemporary classical music”³⁹ and with classical instruments such as the French horn, oboe, bassoon, flute, and especially strings. “No other instrument then available in jazz could equal the sustaining ability of the violin, its ease and brilliance in the upper register and finally its unique timbre.”⁴⁰ Thus, while classical musicians were admiring the brass writing and new sounds of the saxophones in jazz, jazz musicians were likewise being attracted by string and wind sounds that were foreign to jazz at the time.

The adoption of strings by jazz musicians is most apparent through Paul Whiteman, the “father” of symphonic jazz. He made significant use of strings in his “bands” and “most jazz musicians in the ‘20s, though they may have been reluctant to admit it, were eager to emulate the instrumental and technical control of the Paul Whiteman Orchestra. Even Duke Ellington, a central jazz figure, was as much inspired and influenced in the ‘20s by “the advanced harmonic writing of Whiteman’s arrangers Ferde Grofé and Bill Challis, as he was by the arranging techniques of Will Vodery or the orchestrations of Ravel and Delius.”⁴¹ Whiteman, a symphony musician as well as probably the best-known American bandleader in the 1920’s, was both accused of “diluting the character of early jazz,” and praised for the “high polish and versatility

³⁹ Ted Gioia, The History of Jazz, New York: Oxford University Press, 1997, p.76.

⁴⁰ Gunther Schuller, *supra* note 2, pp. 122-123.

⁴¹ Max Harrison, “Whiteman, Paul,” The New Grove Dictionary of Jazz, Ed. Barry Kernfeld, New York: Macmillan Press Ltd., 1988, Vol. 2, p. 929.

of his orchestras.”⁴² Whiteman was a key player in bridging the gap between jazz and classical music, not only through his own efforts, but also by commissioning many works from jazz and classical composers such as George Antheil, Duke Ellington, Stravinsky and Gershwin. His commission of *Rhapsody in Blue* by Gershwin is probably the most popular example of symphonic jazz.

Of course, as much as classical musicians were attracted by the newness and freshness of jazz, jazz musicians of that time were intrigued by the status that “serious” composers and musicians held and the respect that critics gave them. Some jazz musicians, like Benny Goodman, strove to break the perception (held by classical musicians and critics) that they were merely performers in “dance bands” or performers of “commercial” music. As a result, any connection to, or attempts to absorb, classical elements were seen by jazz musicians as a means of being taken more seriously - making them “legit” as the saying goes. This mentality, coupled with the increased number of educated jazz musicians who read music, made the classical elements both desirable and accessible, and propelled those musicians who embraced them forward:

In New York, Fletcher Henderson and his chief arranger, conservatory-trained Don Redman, had been evolving an expanded orchestral style since 1924, far removed from New Orleans polyphony. Indeed, the very size of the numerically larger orchestras mitigated against collective improvisation. As a result, a new breed of musician who could read at least simple arrangements was developing. And those like saxophonist Coleman Hawkins, and Louis Armstrong, who could combine reading with great solo improvisations, comprised the new artistic leadership.⁴³

⁴² *Ibid.*, p. 929.

⁴³ Gunther Schuller, *supra* note 10, p.9.

More than just being able to read music and gain status, however, jazz musicians like their classical counterparts, were experimenting with new sounds, techniques and forms and looked to the “other side,” so to speak, for inspiration and guidance.

The cross-influence, however, can best be illustrated by looking at several of the most convincing works from this period and examining the different genre-specific elements incorporated therein. Despite endless arguments and discussions on the validity or quality of these works in their respective fields, each attempted to fuse jazz and classical music, resulting in a rich symphonic and jazz repertoire.

1. EXAMINATION OF SPECIFIC PIECES

a. La Creation du Monde by Darius Milhaud (1923)

Milhaud was perhaps the only classical composer who recognized very early that there were two very different types of jazz: one performed by the polished “white” dance bands like Paul Whiteman and Billy Arnold, and the other more expressive and improvised music of the African-American jazz bands.

Milhaud’s first contact with jazz was in London in 1920 where he heard the Billy Arnold band. In 1922, however, Milhaud went to New York and there spent every evening in Harlem listening to groups from New Orleans. On his return to Paris the following year, Milhaud recorded his thoughts on Harlem and Broadway jazz in the article: *The Evolution of the Jazz Band and Music of the Negroes of North America*. In this article, he stated his high artistic appraisal of jazz. Milhaud seemed to really understand jazz, describing it as “the equal of even the greatest classical music in its power to express human spirituality.” Regarding *La Creation*

du Monde, he wrote: "At last in *La Creation du Monde* I had the opportunity I had been waiting for to use those elements of jazz to which I had devoted so much study."⁴⁴

La Creation du Monde was a ballet based on a collection of African Tales by Blaise Cendrars, using costumes based on primitive African art. The piece was an overture with 5 movements. Milhaud used many of the instruments he had heard used in Harlem combined with flutes, oboes, and a bassoon etc. The orchestra consisted of 17 instruments (2 flutes; oboe; 2 clarinets; bassoon; horn; 2 trumpets; trombone; 2 violins; double bass; alto saxophone; cello; piano; tambourine; metal and wood blocks; cymbals; snare drum; tenor drum; bass drum; and timpani). This choice of the saxophone, contributes somewhat to the jazz sound in this work, although it is more in the melody it plays that gives this work its jazz flavour. Additionally, the way the snare drum is used in a driving syncopated manner, develops a jazzy quality. In fact, the jazz-like tone is created from the very opening of the work, through the use of the solo saxophone melody, which uses both the major and minor third over a piano, violin and cello accompaniment. It is probably worth pointing out that the saxophone was used in classical music before jazz but now the sound of the saxophone is largely associated with jazz.⁴⁵ Other jazz effects include: trombone slides; flatted sevenths combined with the use of the major and minor third; and swing like figures in the trumpets.

In the Fugue, the saxophone melody again favours combination of the major and minor third, creating a blues-like melody. As well, the percussion in this movement is even more overtly jazzy with an insistent driving syncopated rhythm combined with a similar syncopated

⁴⁴ Darius Milhaud, *Notes Without Music*, New York: Alfred A. Knopf, 1953, p.148.

⁴⁵ While people today might attribute a jazz influence to the use of the saxophone in this work, it is hard to know whether people in Milhaud's time also associated the sound of the saxophone as synonymous with jazz.

rhythm in the piano. The result is that the more up-tempo sections of this work sound almost like the rhythm section of a jazz band is backing up the orchestra. This is juxtaposed with flashy wind and brass writing consisting of short repeated “riffs” in which the instruments accent slightly differently each time, also creating a jazz tone.

The opening blues-like theme returns in the 3rd movement, and the fourth movement displays an improvisational style through a fantasy like melody in the clarinet. The final movement returns again to the blues-like theme, beginning with the oboe and then passed along to various instruments.⁴⁶

La Creation du Monde effectively blends the jazz elements of blues-tinged melody, (early) jazz-like syncopation in the piano and percussion. Noticeable also is the distinct jazz sound of the alto saxophone and other jazz sounds, including flutter tonguing, trombone slides and “shots”(rhythmic accents) in the trumpets. These jazz sounds are what give this work its jazz-like quality. These elements are combined with the classical sounds of strings and bassoon and classical forms, such as the fugue. Thus, one can hear Milhaud’s definite attempts to merge “real” jazz elements within a classical framework- a groundbreaking development for that time. In Copland’s words, it is “an authentic small masterpiece.”⁴⁷

b. Piano Concerto by Aaron Copland (1926)

Copland himself was also influenced by jazz. The work focused on here is his piano concerto, written in 1926. Though Copland was from the United States of America, the birth land of jazz, he seems to have discovered jazz abroad. Copland had gone to Europe to study

⁴⁶ Joseph Machlis, *The Enjoyment of Music*, 5th ed. New York and London: W.W. Norton and Company, 1984, p.223.

⁴⁷ Aaron Copland and Vivian Perlis, *supra* note 30, p.95.

composition. There he was exposed to composers like Milhaud, Ravel, Debussy and Stravinsky all of whom were beginning to use jazz elements in their works. Copland thought: “here, finally was a music [referring to jazz] an American might write better than a European.”⁴⁸ The jazz influence is noticeable in many of Copland’s works, with the earliest being the ballet *Grohg* from 1922. Others include the *Organ Symphony* (1924), *Music for the Theatre* (1925), his *1st Symphony* (1926-8), and his *Clarinet Concerto* (1947-8) to name a few. Copland’s *Piano Concerto* was the last of his works (for a while) to make explicit use of jazz. Copland describes the use of jazz in his piano concerto as follows:

It is written in two contrasting sections, linked together thematically. The 1st is slow and lyrical, the 2nd fast and rhythmic. Two basic jazz needs are incorporated in each section – the slow blues and the snappy number. The melodic material from the 1st movement is taken from a traditional blues, one also used by Gershwin at about the same time in his Prelude no. 2 for piano.⁴⁹

The concerto borrows jazz instruments, most notably the alto saxophone, for its large and somewhat unusual orchestra; it makes use of four clarinets, alto saxophone three bassoons, two flutes and piccolo, as well as two oboes and an English horn. As with the Milhaud, the instrumentation itself is not what creates a jazz-like sound, but rather the manner in which these instruments are employed. The alto saxophone adds a jazz colour to the orchestra, most notably in the second movement where Copland underscores its blues-like melody with brushes stirring on a snare drum and a stride-like piano accompaniment. In the woodwinds, Copland writes a syncopated rhythm that generally avoids accenting the first and third beats of the bar, giving it a fairly distinct jazz quality. Copland attains this feeling of jazz (or more specifically early jazz

⁴⁸*Ibid.*, p.95

⁴⁹*Ibid.*, pp.130-131.

and ragtime elements) by emulating some of the rhythmic devices used in jazz, such as accenting the weak beats of the bar and avoiding the strong beats.

Copland however, considered jazz to be defined by polyrhythm, believing “polyrhythm [to be] the real contribution of jazz.”⁵⁰ Copland stated:

My primary aim was to explore new avenues in the area of polyrhythms. I was also experimenting with shifting beats by introducing a variety of highly unorthodox and frequently changing rhythms – 7/8, 5/8, 9/8, 1/8, etc. that made the music polymetric – the use of different time signatures one after the other.⁵¹

Thus one can see the danger of isolating one element and defining a genre of music by it. That being said, Copland does engage the piano in a rag or stride-like manner, which combined with the bluesy melody in the alto saxophone and clarinet and the jazzy figures in the woodwinds, lends a distinct jazz-like aura to this concerto.

Though Copland apparently abandoned jazz elements after composing his piano concerto, still “straddled the worlds of classical and jazz music” by accepting the commission for a clarinet concerto from bandleader and clarinetist Benny Goodman in 1940.⁵²

c. Rhapsody in Blue by George Gershwin (1924)

Gershwin was the first composer to try and create a blended work combining classical and jazz elements. In fact, symphonic jazz may be said to have begun with George Gershwin’s one-act opera *Blue Monday* (1922). It was this work that led to the commission, by Paul Whiteman, of *Rhapsody in Blue*, one of the most enduring works from the symphonic jazz

⁵⁰*Ibid.*, p.131.

⁵¹*Ibid.*, p.131

⁵² Howard Pollack, Aaron Copland, New York: Henry Hold and Company Inc., 1999, p.424.

movement. This piece, written in 1924, satisfied Paul Whiteman's desire to "prove to the world that jazz was a serious art form" and Gershwin's desire to inject jazz elements into a serious orchestral work.⁵³ By adopting some of the longer classical forms, like the concerto for example, jazz musicians could inject their ideas into forms other than those standard to jazz music at that time.

The employment of a form drawn from classical music was what really counted. The symphonic jazz movement . . . reflected the idea that jazz could be taken seriously if it was cast in more significant forms than the 32-bar format of the popular song. In general the jazz musicians used typical jazz idioms and tried to work them into standard classical forms, like sonata form, tone poems and suites.⁵⁴

Rhapsody in Blue borrows the rhapsody "form" from classical music. A rhapsody was a "freely structured work of the romantic era," but for a jazz composer it was still very different in structure from the 12-bar blues form or the 32-bar A-A-B-A form distinctive to jazz. *Rhapsody in Blue* also alternates between the solo piano and jazz orchestra, but not in standard concerto-like fashion. The whole concept of a rhapsody actually lends itself well to the idea of fusing two genres together, because it is a less formalistic structure. Thus the highly virtuosic and soloistic elements in the piano contrasted with the larger symphonic elements make this piece *sound* like a concerto, regardless of the form.

Interestingly, *Rhapsody in Blue* was not actually orchestrated by Gershwin but, due to time constraints, by Paul Whiteman's arranger, Ferde Grofé. It was originally written for a jazz

⁵³ Joseph Machlis, *supra* note 46, pp.544-546.

⁵⁴ James Lincoln Collier, *Duke Ellington*, New York and Oxford: Oxford University Press, 1987, p. 146

band but is now usually performed in the orchestral format, which is the version heretofore referred to in the thesis.

The work is scored for full orchestra including three saxophones and a banjo. The orchestration blends jazz sounds, such as the muted trumpet and the famous, never-before-heard, “squealing glissando” sound on the clarinet with full and lavish orchestral strings. In fact a large part of the classical sound is attained through the strings, especially in the *Andantino Moderato* section before the final *Allegro*, which is very romantic, somewhat reminiscent of Tchaikovsky. Also interesting is the piano solo leading up to the previously mentioned *Andantino* section. Gershwin begins this solo with a slightly altered version of the very jazzy opening motif (first heard in the clarinet) and concludes it with a Chopin-esque, cadenza-like passage moving into several bars with fairly distinct Debussyan harmonies, 7ths and 9ths etc. This is another way that Gershwin fuses classical and jazz elements in this work. In comparison to *La Creation du Monde* by Milhaud and the *Piano Concerto* by Copland, *Rhapsody in Blue* attains a more equal balance between classical and jazz elements especially with regard to harmony. Both harmonically and melodically this work makes use of a more full-bodied blues sound, the motives are constantly maneuvering their way around the flatted 3rd, 5th and 7th chordal tones, (blue notes) making it sound more “authentically” jazz-like.

The piece has been described as combining “Lisztian virtuosity with all the ingenuity of jazz pianism.”⁵⁵ Most striking, though, is Gershwin’s use of the jazz style in scintillating passages that cover the expanse of the keyboard. This in and of itself is not strictly classical but it is these virtuosic passages combined with the jazz-like rhythmic syncopations that make this work exciting. The perpetually driving syncopated rhythms and dance-like quality also help

⁵⁵ Joseph Machlis, *supra* note 46, p.547.

sustain the jazz feel in this piece. The fact that this occurs within a classical framework is one of the things that make it fairly unique for it's time. Of course the most obvious classical element in this work is the thoroughly composed element, (no improvisation) together with the use of recurring themes and motives, common to any classical work. Having said this however, many of the written piano solos give the illusion that they are being improvised, thus contributing further to the jazz sound in this piece.

Although Gershwin is a good example of a composer who experimented with classical and jazz idioms, many people feel that such works were too "commercial," in the sense that they pandered to popular tastes, and not a mix of pure 'true' jazz with classical music. That is a weak argument given the inherent difficulty in defining "true" jazz in the first place. In any event, Gershwin, in my submission, successfully combined elements of jazz and classical music to create a masterpiece in symphonic jazz.

While symphonic jazz did not achieve a complete fusion of classical and jazz genres in the early 1920's and 30', it did lay the groundwork for the third stream movement in the 1950's and later, fusion in the 1970's. Symphonic jazz can, however, be attributed with heralding the beginning of a legacy of cross-influence in music, which continues to shape music today. Adding jazz instruments to classical music, and vice versa, significantly changed the colors and tones in the works of Milhaud, Copland, Gershwin and others. Even after the "craze" or "fling" with symphonic jazz burned out, composers on both sides continued to bridge the gap between these two genres. Stravinsky, for example, wrote the *Ebony Concerto* in 1945, a piece commissioned by jazz clarinetist and band leader, Woody Herman. Some of the composers who looked to expanding jazz form and content by fusing them with classical ideals were, Eddie Sauter who wrote *Clarinet a-la King* for Benny Goodman, Ralph Burns (Woody Herman

Orchestra) and Pete Rugolo (composer and arranger for Stan Kenton). Duke Ellington, above all, looked to attitudes towards classical music for inspiration in turning jazz into a "serious" art form. The combined effect of these converging forces was the emergence of third stream music in the late '50s, heralding a true synthesis of both genres.

Including Duke Ellington in an examination of the respective influence of jazz and classical music on each other, however, is difficult. Not only is he a unique entity in jazz, but reports of classical influence on Duke Ellington and his music are conflicting and sometimes unreliable. Ellington began studying the piano at the age of 7 and was influenced during his youth by ragtime pianists of his day. He was largely self-educated, learning by listening to and playing with, other jazz musicians such as pianist Fats Waller. At the age of 17 he made his professional debut, and by 1930 had achieved worldwide fame through the success of his recordings and radio play.

Even though Duke Ellington disliked having his own music compared to the symphonies and other works of classical composers, he could not escape comparison. In fact he was most frequently linked to Delius, from whose music Ellington was said to have derived harmonies and tone-colors. This link, however, is probably a false one, perpetuated by classical academics. The alluded to Delian flavor "has been grossly exaggerated,"⁵⁶ given that there is no documentation or proof of Ellington "borrowing" from Delius.

The originality of Ellington's harmonic language, with its special voicings and timbres, gives the lie to the often stated suggestion that he learned all this from Delius and Ravel. Rubbish! This is no more tenable than it is to say that Debussy and Ravel sound alike, even if they both use 9th chords. Like these masters, and others such as Scriabin and Delius, Ellington always found a special way of positioning that chord, of spreading or

⁵⁶Peter Gammond, Duke Ellington, His Life and Music, New York: Da Capo Press, 1977, p.149.

concentrating it. of giving it a unique sonority that cannot be mistaken for any others.⁵⁷

Perhaps the similarities between Ellington's music and classical music are best examined with regard to orchestration. Like Debussy, Ellington composed and orchestrated with particular attention to and passion for color, however, while Debussy wrote for the unique color and tone of the instrument itself, Ellington had in mind the color, timbre and sound of each individual musician in his orchestra. In this way Ellington became a new breed of composer by writing "not merely for specific function, but for a particular group of human beings, each with his own characteristics."⁵⁸

Ellington's predominant source of classical influence probably came inadvertently through his arranger and co-collaborator Billy Strayhorn. Strayhorn was trained at the Pittsburgh Musical Institute where he pursued formal study of theory, concert music and orchestration. Ted Gioia stated that: "Ellington's choice of him [Strayhorn] as a musical alter ego no doubt reflected the band leader's own aspirations as a serious composer."⁵⁹ However, one must bear in mind that Duke Ellington wrote music mainly to satisfy himself, and thus probably exerted a stronger influence on Strayhorn than Strayhorn would have exerted on him..

Duke Ellington was a revolutionary figure in jazz and is credited with taking jazz beyond the standard song form by composing many "extended works." The first of his larger scale compositions was *Creole Rhapsody* which Ellington wrote in 1931. *Creole Rhapsody* (9 minutes) was a significant step forward in jazz composition, standing out not only as one of Ellington's finest and most completely integrated works, but also as a landmark in his musical

⁵⁷ Gunther Schuller, *supra* note 2, p. 50.

⁵⁸ Ken Rattenbury, Duke Ellington, Jazz Composer, London: Yale University Press, 1990, p.15.

development. In fact, all the longer compositions Ellington wrote in subsequent years stemmed from this beginning. Most interesting about *Creole Rhapsody* was Ellington's gentle attempt to evade the convention that jazz must split up into four-bar phrases. As Gunther Schuller points out: "In *Creole Rhapsody* he [Ellington] experimented with a 16-bar phrase made up of a pattern of 5 plus 5 plus 4 plus 2." This occurs halfway through the work when the chorus is played by the trombones. Even though this may sound formalistic, Ellington nonetheless still maintained elements of spontaneity and improvisation.⁶⁰

Four years later in 1935, Duke Ellington composed his most ambitious work to that time *Reminiscing in Tempo*, which was 14 minutes in duration. Unlike previous jazz records, Ellington created works that had to be spread over multiple 78 rpm records. Though this was fairly common in the classical world, it was unusual in the jazz world as the 3 minute, 10 inch disc duration was "simply imposed on jazz musicians for a variety of technical/practical/commercial/social/racial reasons."⁶¹

Not only was *Reminiscing in Tempo* longer than *Creole Rhapsody* but it was more advanced harmonically and technically. *Reminiscing in Tempo* makes use of a more complete phrase structure than the 5-bar phrases used by Ellington in *Creole Rhapsody*, experimenting with 7, 10, and 14-bar phrases. A. J. Bishop, in his 1964 article *Reminiscing in Tempo: A Landmark in Jazz Composition* explains why *Reminiscing in Tempo* is such a ground breaking work:

⁵⁹ Ted Gioia, *supra* note 39, p. 185.

⁶⁰ Peter Gammond, *supra* note 56, p.83.

⁶¹ Gunther Schuller, *supra* note 2 p. 50.

Reminiscing in Tempo is completely different from any other jazz of the middle 30's. Not only in form, but the sound, has very little in common with other jazz of the period. Duke used the orchestra with great restraint, a restraint which is emphasized by the absence of brutal timbres.⁶²

Ellington always created a unique sound and one of the ways he accomplished this was through reversing instruments' typical roles: for instance, by highlighting the double bass in a melodic role. The bass was traditionally used in jazz as part of the rhythm section as opposed to a melodic role. In this respect, the use of bass in jazz was similar to its use in classical symphonic music, where it played a supportive, as opposed to melodic or soloistic, role. In *Reminiscing in Tempo*, however, Ellington's reversal of instruments' typical roles is best evinced by his use of clarinets in the lower register, instead of the usual high register, right at the climax of the piece! Another unique feature of *Reminiscing in Tempo* is that there are no improvised solos. The piece, therefore, is entirely composed - unheard of in jazz composition at this time. In fact, Duke Ellington was accused by most critics of "deserting jazz" with this work, which makes it even more clear how revolutionary it was for its time.

Ellington's distinct use of color and sound in the series of "concerto" style compositions that Ellington introduced in the 1940's showed how deep his understanding was for the soloists in his band. Ellington's "concertos" were not really concertos in the classical sense of the word, but rather pieces designed to feature a single performer or soloist, differing in this way from the more usual practice of the time, namely stringing a series of short solos together. The length of these works was often dictated by the recording medium, which was limited to the 3 minute, 10 inch disc duration, as mentioned earlier.⁶³ Still, Duke managed to create miniature gems in both

⁶² Mark Tucker, *The Duke Ellington Reader*, New York: Oxford University Press, 1993, p. 358.

⁶³ It must be pointed out that this was not always the case when jazz musicians were performing live and had more freedom to play longer versions of their music.

style and form, for example *Concerto for Cootie* aka *Do Nothing Till You Hear from Me* (1940). Some other works he wrote in this vein and the soloists he wrote them for are: "Ben Webster and *Cottontail*, Johnny Hodges and *Never No Lament* aka *Don't get Around Much Anymore*, Rex Stewart and *Morning Glory*, Barney Bigard and the underrated *Are You Sticking* and, most of all, Cootie Williams and *Concerto For Cootie* ..."⁶⁴ Through these works one can hear Ellington's mastery of creating music to match the sound of the individual character of the soloist.

Ellington's most daring compositional achievements can be seen in his extended work *Black, Brown and Beige*. It was the first of a series of five orchestral works for big band that commenced in 1943 and ended with *Harlem: a Tone Parallel* in 1950. *Black, Brown and Beige* was debuted in Carnegie Hall, and heralded the beginning of jazz as a concert art movement. (This is yet another reason why Ellington is seen as such a revolutionary figure in jazz - he brought concert jazz from the late-night club scene to the most prestigious concert hall in North America. Benny Goodman had previously performed in Carnegie Hall in 1938, but his performance was of jazz-dance music, unlike to Ellington's concert jazz, which was written specifically for these occasions. No one else was working along these lines in the early 1940's.) *Black, Brown and Beige* is a depiction of African-American history in 3 parts. It is scored for jazz band and voice and is of symphonic proportion, running 45 minutes in length. Ellington called this work a "tone parallel," similar in conception to the tone poems of Richard Strauss.

Ted Gioia describes well what made *Black, Brown and Beige* such a monumental work. "The first movement includes some of the most sophisticated examples of thematic development Ellington would ever write, along with one of his strongest melodies, *Come Sunday*, presented in an impassioned saxophone statement by Johnny Hodges. The highlight of the second movement

⁶⁴ Peter Gammond, *supra* note 56, p.97.

is the unexpected entry of a vocal part, built on an unusual pyramid form of lyric[s]... The third movement is a less structured sequence of disparate themes ... The insertion of a waltz interlude was noteworthy at the time, given the rarity of this meter in jazz settings."⁶⁵

Black, Brown and Beige shows how far in advance of his contemporaries Ellington was with regard to motivic and thematic development and most of all, form. And yet, it was still met with mixed reviews.

Reactions to BBB [*Black, Brown and Beige*] were, as mentioned, mostly negative. They were also divided along traditional "classical" and "jazz" lines, the classical critics complaining about Ellington's lack of formal control, the jazz critics complaining about the lack of real jazz. There was little sympathy among the classical critics that Ellington was venturing into new uncharted territory, and that he did not wish to resort to the tried and true symphonic forms to control the work's inherent narrative complexity. He saw, even if they did not, that to pour the unavoidable formal and stylistic diversity of BBB into classical molds would be to stifle the music. Given the subject and nature of the music, it needed to be free and unbounded. It is better for Ellington to have tried to embrace this formal diversity, even if not entirely succeeding, than to abandon the idea at the outset to begin with and fall back on "safe" formulas and classical schemes.⁶⁶

The next three compositions in the series (the *Perfume Suite*, the *Deep South Suite* and the *Liberian Suite*) were different in that they consisted of a series of strung together, yet essentially unrelated movements. On the other hand, *Harlem: a Tone Parallel*, the last work in the series, is a 15-minute tone poem commissioned by the famous conductor Toscanini. It is a musical masterpiece that showed unprecedented continuity in Ellington's use of extended musical form. It was part of a program of symphonic portraits in which Ellington musically depicted various districts of New York. In Raymond Horricks words: "[*Harlem*] is lengthy in

⁶⁵ Ted Gioia, *supra* note 39, p. 190.

⁶⁶ Gunther Schuller, *The Swing Era*, New York: Oxford University Press 1968, p.148.

structure, yet supple and varied in its subject matter and which proceeds with steadily mounting intensity to an impressive climax, while still packed from first to last with the descriptive detail, racial and pictorial, and the delicate tone painting for so long associated with this work."⁶⁷

One can see through these works Ellington's enormous contributions, not just to the jazz world, but to the musical world as a whole. Through his advancement of form, diversity and breadth of composition, especially with regard to combining improvised and pre-written parts, and his incredibly unique orchestrations, Ellington set a precedence in jazz that may never be equaled. At the end of the day, therefore, though Ellington may not have experienced a direct classical influence, or directly influenced classical composers at the time, he advanced many elements in jazz to a point where they could be more easily combined with classical elements, and ultimately constituted an inspiration to many of the third stream composers.

In his inimitable ways, therefore, "the Duke towered over all his contemporaries in the jazz field and equaled much of what is considered sacred on the non-jazz side."⁶⁸ Ellington's new ideas of musical form in jazz composition (and arranging) had a big effect on many of the future third stream composers such as Gunther Schuller (and Schuller's jazz and classical students), Ralph Burns and later Cecil Taylor (of the avant garde movement). Burns, who was with the Woody Herman band, wrote *Bijou*, which was one of the works that inspired Stravinsky to write *The Ebony Concerto*. This is an example of jazz influencing classical music and classical then turning its forward ideas back to jazz. Duke Ellington thus opened the doors for what became known as the third stream movement.

⁶⁷ Peter Gammond, *supra* note 56, p. 124.

⁶⁸ Gunther Schuller, *supra* note 2, p. 50.

B. THIRD STREAM (1957)

Symphonic jazz works of the 1920's were essentially classical compositions sprinkled with "jazz spice." And yet, they lacked one of the most important jazz elements - improvisation. It was not, therefore, until the third stream movement that full cross-fertilization came into play.

The best way to define the label "third stream" is to go straight to the source of the person who first coined the term. In 1957, Gunther Schuller gave a lecture at Brandeis University and used third stream to describe "a type of music which, through improvisation or written composition or both, synthesizes the essential characteristics and techniques of contemporary Western art music and other musical traditions The term was originally applied to a style in which attempts were made to fuse basic elements of jazz and Western art music – the two mainstreams joining to form a third stream."⁶⁹

Though Schuller first used the term third stream in 1957, music of this kind had already been in existence for some years – mostly, if not entirely, through jazz composers such as Duke Ellington. Classical musicians' involvement in this area, on the other hand, was minimal and did not involve a complete combination of jazz and classical elements, but existed nonetheless. Copland's *Clarinet Concerto* and Stravinsky's *Ebony Concerto* were examples. These were essentially classical works with jazz flavoring.

The label, third stream, has created much controversy amongst musicians and critics from both genres. In essence, the controversy stems from the fact that jazz critics judge third stream works on jazz terms, dismissing the classical elements, while classical musicians judge third

⁶⁹ Gunther Schuller, "Third Stream," The New Grove Dictionary of Music and Musicians, Ed. Stanley Sadie, New York: Macmillan Publishers Ltd., 2001, Vol. 21, p.401.

stream music on classical terms, dismissing the jazz elements. The better view would be to judge third stream on its own terms, recognizing it as a new and separate genre, incapable of being listened to or analyzed solely on jazz terms or just classical terms. As Schuller puts it: "In my understanding of the term, third stream music must be born out of respect for and full dedication to both musics' attempts to fuse."⁷⁰

Third stream is an obvious benefit for both the classical world and the jazz world as it allows each to learn much about each other through the fusion of their respective elements. As a musician, one is well rounded if proficient in many genres, as this expands one's horizons and brings new aspects to one's performances or compositions. As Schuller points out: "There is no question in my mind that the classical world can learn much about timing, rhythmic accuracy and subtlety from jazz musicians, as jazz musicians can in dynamics, structure and contrast from the classical musicians."

The obvious question arises as to why this cross-fertilization continued. For the most part, the reasons for the continued cross-fertilization were the same as those which initiated the first experimentations with symphonic jazz back in the 1920s. Simultaneously, however, as jazz grew and morphed through different sounds and styles, continued interest from the classical community was sustained. The same was true with regard to the jazz community's continued interest in classical music and the changes thereto (as jazz musicians were still looking to classical music to lend ideas to their experiments in breaking away from the standard 12-bar blues or 32-bar song structure). This included increased interest in each genre's respective instrumentation. For jazz musicians, interest increased in instruments like the flute, bassoon, French horn and strings, all of which had been steadily gaining more prominent roles in classical

⁷⁰ Gunther Schuller, *supra* note 2, p. 116.

music since the early 1900's. Classical musicians and composers similarly displayed increased interest in the more complex rhythms displayed by jazz musicians and their writings for the brass sections.

Instruments, in this era, had gone through significant changes and, with the expansion of electronic devices in the 1940's, quieter instruments like the flute were now available to musicians, as they could be "miked" and therefore heard above a strong and loud brass section. As a result, traditional classical instruments were no longer limited to just being "thrown in" here and there for color; they could now be a part of the band.

Another contributing factor to the growing convergence between classical and jazz music was that musicians were increasingly being schooled in universities and conservatories. "This development arose mainly as a result of the G. I. Bill. This bill made it possible, as early as the Cool era [1950's], for many jazz players to attend conservatories and universities. These players continued to develop a greater appreciation and knowledge of classical techniques."⁷¹ Thus, even where such studies focused on jazz, for example, there was invariably a degree of exposure to classical music and theory. Interestingly enough, even those musicians who were never formally exposed to the "other side" often hired musicians who were, thus expanding their knowledge base. Duke Ellington, for example, hired Billy Strayhorn around 1938 as an arranger and composer. Strayhorn's training was in "formal study of theory and concert music, supplemented by a private passion for jazz and songwriting."⁷² The following are other important jazz musicians who associated themselves with classical music: Miles Davis "who

⁷¹ David Megill and Paul Tanner, Jazz Issues, California: Brown and Benchmark, 1995, p. 81.

⁷² Ted Gioia, *supra* note 39, p. 184.

chose Juilliard for his musical education"⁷³ even though the inflexibility of traditional music schools did not suit his musical esthetic; Charlie Parker who "... had long been fascinated with contemporary orchestral music He discussed taking lessons with modernist composer Edgar Varese."⁷⁴; Dave Brubeck, who studied at Mills College with Darius Milhaud; Charles Mingus, who started music by studying classical cello, studied classical and jazz bass, and loved Bach, Beethoven, Debussy, Ravel and Strauss, among others.⁷⁵; Cecil Taylor, who studied piano at the New England Conservatory⁷⁶; Keith Jarrett, who plays and composes classical and jazz music equally well; and, of course, Wynton and Branford Marsalis, who are equally at ease performing Mozart or Duke Ellington.

Part of the impetus behind this desire amongst jazz musicians to invent something new, so to speak, was the near extinction of the big band movement in the late '40s to early '50s. This decline stemmed from a plethora of individual causes, best described by Ted Gioia:

The general public's interest fell to new lows An entertainment tax instituted in 1944 . . . which levied a 30% surcharge on venues that allowed dancing, led to a decline in ballroom patronage Meanwhile a panoply of modern technologies and "conveniences" – television, high fidelity sounds, various new-fangled appliances – seemingly conspired to keep Americans at home in the suburbs. The result was an inexorable decline in the role of dancehalls and other big band venues.^{77 78}

⁷³ *Ibid* p.225.

⁷⁴ *Ibid* pp.231-257.

⁷⁵ *Ibid*, p. 326.

⁷⁶ *Ibid*, p. 347.

⁷⁷ *Ibid*, pp. 258-259.

⁷⁸ In addition, the jazz community was changing in the 1940's towards newer sounds and musical ideas, including Be-Bop. Be-Bop, with its smaller resources (as opposed to Big Bands) allowed jazz musicians to grow both rhythmically and harmonically, though not so much in structural areas.

Most bandleaders, who wanted to perpetuate big band into the future, saw the world of contemporary classical music as an inspiration, and the idea of third stream as the medium. As a result, Boyd Raeburn, for example, recorded a piece entitled *Boyd Meets Stravinsky*. George Russell wrote *Bird in Igor's Yard* in 1949, and Shorty Rogers wrote his piece *Igor* in 1948. And in 1945, Woody Herman premiered Stravinsky's composition *Ebony Concerto*. Stravinsky and others (Stan Kenton and Pete Rugolo) became symbolic figures to the more progressive big band arrangers and composers. Some of the more successful proto-third stream works included: Red Norvo's *Dance of the Octopus* (1933); Ralph Burns' *Summer Sequence* (1943); Duke Ellington's *Black, Brown and Beige* (1943) George Handy's *The Bloos* (1947); Duke Ellington's *Harlem* (1950), Robert Graettinger's *City of Glass* (1951) Charles Mingus' *Eclipse* (1953) Bill Russo's *Edgon Heath* (1954), to name a few. It is thus apparent that the music of third stream was well underway before it was actually labeled "third stream."

Despite the criticism of third stream music, many compelling works were created in this vein and, like avant garde, third stream is best understood through an examination of a few pieces.

1. EXAMINATION OF SPECIFIC PIECES

a. The City of Glass by Robert Graettinger (1948-51)

The first example that will be discussed is Robert Graettinger's *The City of Glass*, which anticipates the third stream movement by a few years, but can still be considered third stream in content.

One of the things that made this work distinctive was its extreme departure from the modern jazz idiom, especially in its completely abstract quality, with broken rhythmic lines, contrapuntal melodies and uninhibited spirit. When it premiered in Chicago in 1948, the

audience sat in stunned silence for several moments before leaping to their feet in a standing ovation. "Perhaps befuddled, they knew nonetheless that they had witnessed, on that night, something quite out of the ordinary."⁷⁹

Robert Graettinger recorded this work with the Stan Kenton band in 1951. Stan Kenton was a key figure in promoting progressive jazz and worked with Graettinger to rework *The City of Glass* for the 1951 recording with strings. Without Kenton's belief in the work, Graettinger's masterpiece may never have survived.

The City of Glass was fairly avant-garde for its time,⁸⁰ meticulously fusing modern jazz concepts with elements of modern classical music. It presented a juxtaposition of romantic string writing with a jazz band brass section sound.⁸¹ In fact, the 1951 version, which is the one referred to here, was scored for a full jazz orchestra including acoustic guitar and strings. In the words of the composer:

The music of *The City of Glass* is primarily abstract and non-objective, but it has vivid visual associations for me. The composition as a whole suggests, I feel, a city in which the structures are shapes of musical sound, transparent and in constant motion, so that through one can be seen the outlines of others – a city of moving glasslike edifices. The work's development covers the passing of a single day. The various textures of the instruments chosen to produce the tonal skyscrapers seem to describe the reflections of the day's changing illumination.⁸²

⁷⁹ Ted Gioia, *West Coast Jazz*, New York: Oxford University Press, 1992, p.155.

⁸⁰ More and more composers subsequently began experimenting with avant-garde jazz, especially with the advent of the free jazz movement in the 1950s and '60s

⁸¹ The original 1948 version, it should be noted, did not contain strings.

⁸² Robert Graettinger, "City of Glass," Liner notes, *Stan Kenton, City of Glass*. Capitol Records, LP H353.

The City of Glass is done in four movements (parts). Part I – *Entrance to the City* - "... breaks down the sections into individuals parts, isolated sounds"⁸³ When the "classical" string sections and the "jazzy" brass sections are played simultaneously, the sound swings in a manner reminiscent of big band sound. Although the brass does have a big band flavour, the sound is distinctly modern and atonal compared to the more conventional big band sound of groups like the *Count Basie Band*. The strings contrast with the fluttering woodwinds, which flit between the "big band" brass sections, thus adding to the diversity and textural contrasts in this composition.

Part II – *The Structures* – takes place within the city. "A perspective of extreme awareness of each [structure] is suggested by the use of only one family of instruments at a time – first the brass, then, the strings, then saxophones"⁸⁴

Part III – *Dance Before the Mirror* – "is the most dramatic section in the work . . . [building] to a frenzied climax and [ending] in abrupt silence. Here Graettinger combines his flair for flamboyant orchestral colors and spine-tingling dissonances with a powerful jazz rhythmic drive. This section of the work is wholly successful as a fusion of avant-garde classical techniques with a jazz band idiom."⁸⁵

Part IV – *Reflections* - ends as the sun sets and darkness settles on the *City of Glass*. "Graettinger strived to capture not just the character of each instrument but the personality of

⁸³ Ted Gioia, *supra* note 78, p. 155.

⁸⁴ Robert Graettinger, "City of Glass," Liner notes, Stan Kenton, City of Glass. Capitol Records, LP H353.

⁸⁵ Ted Gioia, *supra* note 78, p. 155.

each Kenton player... [His] ability to combine individual sounds into a musical whole was crucial to his compositions."⁸⁶

Aside from the use of strings and brass, the jazz rhythmic drive, the fusion of classical techniques with jazz band idioms, and the way the instruments are used to create many different textures, the reason this work deserves so much attention is that it was so extreme. This work gives the listener a lot to grasp in 15 minutes but it creates a sound in which one can free their mind and experience music in a wholly unique manner. In the words of Ted Gioia in *The History of Jazz*: "These dense, dissonant explorations, are exquisitely disturbing... No jazz composer of his day anticipated the latter advent of free jazz with more gritty determination."⁸⁷ (p. 268)

b. Sketch by John Lewis (1959)

John Lewis studied piano and composition at the Manhattan School of Music, receiving a Masters Degree in 1953, but also developed skills in composing and arranging by working for Dizzy Gillespie's big band in the late 1940's.⁸⁸ His biggest contributions to third stream, however, were through the Modern Jazz Quartet, which was formed in the late 1940's.

The Modern Jazz Quartet "...populariz[ed] a musical concept that combin[e]d classical organization with conventional jazz traditions."⁸⁹ Ted Gioia describes the Modern Jazz Quartet as "a quintessential cool band remarkable for its longevity and popularity as well as its consistently high musical standards." "No group went farther in establishing a valid chamber-

⁸⁶ *Ibid* p. 154.

⁸⁷ Ted Gioia, *supra* note 39, p. 268.

⁸⁸ Thomas Owens, "Lewis, John," *The New Grove Dictionary of Jazz*, Ed. Barry Kernfeld, New York: Macmillan Press Ltd., 1988, Vol. 2, p.26.

⁸⁹ Gunther Schuller, *supra* note 2, p. 20.

music style for jazz. This was more than a matter of tuxedos and concert halls. The Modern Jazz Quartet's music captured an intimacy and delicacy, and a sensitivity to dynamics, that was closer in spirit to the great classical string quartets than to anything in the world of bop or swing."⁹⁰

The work *Sketch* was performed and recorded by the Modern Jazz Quartet and the famous classical Beaux Arts String Quartet. *Sketch* opens with a baroque sounding melody played by the string quartet. It is a beautiful, luscious, classical sound that is quickly interrupted by the jazzy rhythm of percussion and the melody of the vibraharp, while the strings continue with pizzicato accompaniment. The result is a very interesting blend of improvised jazz, by the vibraharp, drum set, piano and bass, with a written out classical string accompaniment. While the accenting and phrasing of the strings is completely different from the vibraharp (the result of the chance collision of written parts in the strings and an improvised solo in the vibraharp), the mix is unique, and wholly convincing. When the initial neo-baroque theme returns, again played by the string quartet, a unique exchange of musical banter with the jazz ensemble ensues, producing an effective third stream technique. Towards the end, the string quartet takes over with a more modern romantic feel. The formal framework of the composition fits into an A-B-A structure outlined clearly by the string quartet. It is interesting to see how both jazz and classical elements are equally effective within this formal structure.

Max Harrison from *The Jazz Review* says: "The sheer loveliness of sound produced by the combination of vibraharp and piano with strings should give pause to anyone who has made up his mind that strings cannot, or should not, be used in jazz... Within the modest dimensions of this composition, he is entirely successful, and *Sketch* is a delightful piece to listen to."

⁹⁰ Ted Gioia, *supra* note 39, p. 284.

The brilliance of this work thus lies in the fusion of the jazz and classical elements, yet this fusion is achieved without changing the style that makes each genre unique. In essence, Lewis does not attempt to make the strings sound jazzy. Instead, he maintains the strings' natural phrasing and articulation by using classical string writing, which he then lays on top of the jazz-improvised quartet.

c. Revelation by Charles Mingus (1957)

Charles Mingus loved classical music and studied both classical and jazz bass. He was also a pianist, composer and bandleader. Mingus's compositions, like Ellington's, were way ahead of their time and his music "adopted an experimental flavor" from very early on.⁹¹

The third stream work discussed here is the first movement of Mingus's work *Revelation*. The opening of this work is very dark, sounding like a dirge and exhibiting a Berlioz-esque (dark, low and heavy orchestral sound) quality. The opening section can be divided into a small a-b-a structure. The "a" section is a slow and ominous "dirge," it is interrupted by the "b" section marked by long melodic sequences with large intervallic leaps in the brass. The "dirge" is accentuated by a preponderance of ongoing low orchestral sounds and unison writing, which in Schuller's words:

... is only slightly relieved by a chain of solo passages for the French horn, trumpet, and trombone, which in their turn lead to a recapitulation of the opening. The ominous mood continues abetted by hissing sounds from gourds, jangling tambourines, and ominous rumblings on the timpani that culminate eventually in Mingus' own inimitable appeal to the Lord.⁹²

⁹¹ Ted Gioia, *supra* note 78, p. 336.

⁹² Gunther Schuller, "Revelation," 1st move. Liner notes, (Time: 12:01) *Modern Jazz Concert*, Gunther Schuller and George Russell, cond. Columbia Records, LP.

When the “a” section returns the “dirge” is a little louder and the inclusion of trumpets in a higher register makes the mood sound a little more desperate leading to Mingus’ cry to the Lord. Mingus yells “Oh yes my Lord!” At this point the mood changes abruptly to “an old church-style” jazz piano section accompanied by a drum set and “walking” bass. the tempo is upbeat and rhythmically propulsive. As the tempo slows down the sound becomes sorrowful and ethereal, with a classical-like style beautified by harp, flute, trumpet and strings. When the brass enters again the tempo picks up and returns to the previous jazz band sound, created by the underlying rhythm section (bass and drum set) uniquely offset by arpeggiated figures in the trumpets.

The next section, back in 4/4 time, is described by Schuller as:

... one of Mingus’ remarkable extended form improvisations, where two continuously alternating chords form the sole harmonic basis. This “preaching” session as Mingus thought of it - begins with the first word from Brother Farmer who is answered by La Porta and later Knepper. As the tension and “shouting” mounts, all the remaining instruments join in response, like a congregation.⁹³

The drum set enters when all instruments are playing at once, creating a cacophony of sound, building to near chaos. It is an effective build to the “recapitulation,” as tempo, instrumentation and excitement mount the sound becomes more and more atonal. Then, the “dirge” of the opening returns, though in a slightly more jazz-like fashion attained by the subtle insertion of the drum set and bass. The ending is improvised, with a flute playing hauntingly, very high and quiet, in the background - like a bird, fluttering, trilling, softly and lightly until it completely fades away. One of the avant garde techniques that Mingus uses in this work can be

⁹³ *Ibid.*

heard in the brass and woodwinds where they blow through their instruments and rattle the keys without producing specific pitches. This effect creates a spine-tingling sound.

This work combines jazz elements and avant garde classical techniques, as well as beautiful, tonal, romantic melodies, slower in tempo, with the rhythmic propulsiveness and vitality of jazz. Another interesting element of this work is the brass writing, which embodies everything from a traditional sounding chorale (in the beginning) to rather modern jazz techniques in the climax. However, of the most remarkable aspects of this work is Mingus's ability to incorporate so many different tempo and mood changes with such fluidity.

Like John Lewis' *Sketch*, this work is successful because it does not force the genres of classical and jazz to be something that they are not. For example, classical strings are not used to create a jazz sound, nor are instruments synonymous with jazz used in a classical manner. Equal parts of jazz improvisation and classical "composition" are combined. The result is an extraordinary fusion of both idioms.

d. Transformation by Gunther Schuller (1957)

Last, but certainly not least, a look at third stream music must include a look at Gunther Schuller - a prolific composer, conductor, author, educator, and horn player, trained in both the jazz and classical idioms. "His music has always attempted to challenge the listener chiefly by the combination of disparate and unusual instrumental groups and the cross-fertilization of various prevailing musical styles."⁹⁴

⁹⁴ Elliot Schwartz, Barney Childs and Jim Fox, Contemporary Composers on Contemporary Music, Expanded ed. New York, New York: Da Capo Press Inc., 1998, p.408.

His work, *Transformation*, is a noteworthy example of third stream music, which combines 12-tone technique, tone-color-melody (Klangfarbenmelodie), and jazz improvisation. Schuller uses rhythmic asymmetry, a very typical early 20th C. classical technique, to break up the jazz beat. This technique found particular favour with composers like Stravinsky and Varese, but as Schuller says, "in jazz in the 1950's it was still an extremely rare occurrence."⁹⁵

The opening to the piece sounds reminiscent of Debussy's *Trio Sonata* for flute, viola and harp (given the similar instrumentation and resultant, almost impressionist, mood that Schuller created). Throughout the piece, the rhythm section sustains a swinging foundation, especially through use of the walking bass. Superimposed on this, and with little regard for the "jazz combo" underneath it, the "classical" music makes its voice heard. Schuller describes his piece as follows:

As the title suggests, the work begins as a straight 12-tone piece, with the melody parceled out among an interlocking chain of tone colors, and is gradually transformed into a jazz piece by the subtle introduction of jazz-rhythmic elements. Jazz and improvisation takeover, only to succumb to the reverse process: they are gradually swallowed up by a growing riff which then breaks up into smaller fragments, juxtaposing in constant alternation classical and jazz rhythms. The intention of this piece... was to present [jazz and classical elements] initially in succession - in peaceful coexistence - and later, in close, more competitive juxtaposition.⁹⁶

This piece is an adventure, played over a jazzy-combo and punctuated by eerie trills in the wind section. The effect is unique and interesting. Through these works one can also see the extent of the change in the relationship between jazz and classical music since their marriage in the early 1920's. As opposed to just "jazzing" classical music up by adding the odd saxophone

⁹⁵ Gunther Schuller, *supra* note 2, p. 132.

⁹⁶ *Ibid.*, p.132.

and trombone slides, or by emphasizing percussion, third stream exhibits an egalitarian relationship in which jazz and classical elements are emphasized in equal parts.

It is interesting to note, in parenthesis, that although the 1920's witnessed an exploration of third stream by mostly classical composers, as a movement it progressed primarily on the shoulders of jazz composers, and by the 1950's and 1960's, most third stream compositions were composed by jazz musicians.

Third stream mixes classical and jazz elements: most importantly jazz improvisation (both solo improvisation and whole ensemble improvisation) with classical composition. The uniqueness of the third stream genre is that one can still hear the 'purely' classical elements, especially phrasing, accent, articulation and delivery overtop a swinging jazz ensemble. This, in my submission, is what allows the marriage between classical music and jazz to work.

Schuller ends his discussion on third stream with an amusing quote on what third stream is NOT:

"1) It is not jazz with strings; 2) It is not jazz played on "classical" instruments; 3) It is not classical music played by jazz players; 4) It is not inserting a bit of Ravel or Schoenberg between be-bop verses - nor the reverse; 5) It is not jazz in fugal form; 6) It is not a fugue performed by jazz players; 7) It is not designed to do away with jazz or classical music; it is just another option amongst many for today's creative musicians."⁹⁷

C. THE AVANT GARDE MOVEMENT (1960's – present)

Of course, third stream was not the only development in jazz in the late 1950's and 60's. A different direction was taken by the avant-garde jazz movement, which began to emerge in the late 1940's and 50's, and was propagated by musicians such as Lennie Tristano, who composed

⁹⁷ *Ibid*, p. 120.

Intuition and Digression. Bob Graettinger who, as mentioned earlier, composed *City of Glass*, Jimmy Guiffre, who composed *Fugue* (1953), and Charles Mingus. The avant-garde movement simultaneously affected classical composers such as Pierre Boulez, and John Cage, resulting in a convergence of the two genres to a point where the sound of the music became seemingly indistinguishable. The avant garde movement thus heralded the clearest example of the effect of jazz and classical music on each other.

The term avant-garde is defined in the *Webster's Dictionary* as: "1. the advance group in any movement, especially the arts. 2. of the experimental treatment of artistic material." This is obviously a very broad definition since so much can fall under the latter definition, art being experimental by nature. For now, therefore, we will focus on the term "free jazz," coined in 1960 by Ornette Coleman to describe the new experiments that were happening in jazz. While "free jazz" was typically used by such later jazz musicians as a synonym for avant-garde, it also reflected the final and complete abandonment within the avant-garde movement of all prior musical constraints. John Maurer defines "free jazz" well in his paper entitled *A Comparison of Free Jazz to 20th Century Classical Music: similar precepts and musical innovations*. He says:

To begin with a very general definition Free jazz, then, the only universal 'rule' of the style is 'a negation of traditional norms' (Jost, 9) -- whether it be in harmonic - metrical patterns, the regulative force of the beat, or in structural ideas. Just as 20th century classical music extends and separates itself from the tonal language of traditional classical music, so too free jazz 'frees' itself from the conventions of functional tonality: 'In traditional jazz, the primary purpose of the theme or tune is to provide tonal language of traditional classical music, so too free jazz 'frees' itself from the conventions of functional tonality: 'In traditional jazz, the primary purpose of the theme or tune is to provide a harmonic and metrical framework as a basis for improvisation. In free jazz, which does not observe fixed patterns of bars or functional harmony, this purpose no longer exists' (Jost, 153). As the 'free' in 'free jazz' implies freedom from functional tonality and traditional norms, therefore, contemporary

classical music, I think, could likewise be aptly labeled 'free classical.'
Both genres, at least, rest on similar precepts.⁹⁸

A seminal example of the "free jazz" movement is Coleman's album *Free Jazz, a Collective Improvisation by the Ornette Coleman Double Quartet*. This 36 minute piece, which was recorded in one take, involves 8 musicians inventing/improvising at once, with no preconceived themes, chord patterns or chorus lengths.

With the emergence of the avant-garde movement in classical and jazz music, the two genres, which started at opposite ends of the spectrum, thus converged to the point of becoming almost indistinguishable from one another. Many jazz historians and writers believe:

...that the history of jazz parallels in its broad outlines that of Western Classical music - only on a much briefer time scale: what took nearly nine centuries in European music is concentrated into a mere 6 decades in jazz.
... [B]oth the rapprochement between classical music and jazz and the steady catching up of jazz techniques and concepts with those of the Western avant-garde has brought the 2 idioms so close that at times they are barely distinguishable from each other.⁹⁹

The specific developments that lead to this convergence, as described above, included an abandonment of form and tonality, coupled with a free, unstructured, experimental mentality. Essentially, in both genres, "there was no allegiance to one consistent body of principles [and] no well defined 'common practice'".¹⁰⁰ This included the shedding of harmonic repetition and rhythmic regularity allowing players to react to one another without restrictions. Of course, with such a large scale degree of abandonment, critics and audiences alike often questioned not only

⁹⁸ John Maurer, "A Comparison of Free Jazz to 20th Century Classical Music: similar precepts and musical innovations," 24 Feb. 1998, pp. 2-4.

⁹⁹ Gunther Schuller, *supra* note 2, p. 121.

¹⁰⁰ Donald Grout and Claude Palisca, *A History of Western Music*, 4th ed. New York and London: W.W. Norton & Co. Inc., 1988, p.865.

whether the result was still jazz or classical music, but whether it was even music at all.

"Because free form jazz does not adhere to established rules the question is often asked whether free form is jazz and, indeed, whether it is music."¹⁰¹

As well, from a performers perspective, instrumental avant garde techniques began to share more commonalities than differences. For example, glissandos, pitch bending, multiphonics and alternate fingerings can be heard in both classical and jazz avant garde compositions and improvisations. One must also point out that this convergence between the two genres also affected the performers perception of sound, bringing the two (jazz and classical) previously different concepts of tone production and "accepted" sound to a new level of mutual understanding. For example, the impact that the avant garde had on flutists (in the late 50's) at this time can be seen in the fact that these two very different worlds of classical and jazz began to exert a strong influence on each other. The classical virtuoso Severino Gazzeloni and jazz flutist (and saxophonist) Eric Dolphy crossed paths in Europe in the late 1950's and each flutist became extremely interested with their respective experimental techniques. They both sought to emulate aspects of one another's sound and technical innovations, thus providing a clear example of the cross-fertilization that was becoming a trend in performance as well as composition.

The genesis of the avant-garde movement in jazz and classical music is rooted in similar, almost common goals - namely the desire to experiment and explore beyond, and essentially abandon, traditional constraints. In classical music, this movement began in the first half of the 20th century through the emergence of the 12 tone system by Schoenberg and Berg, and through

¹⁰¹ Maurice Gerow, David Megill and Paul Tanner, *Jazz*, 8th ed. New York: McGraw-Hill, 1997, pp. 145 and 148.

increasing atonality by Stravinsky, amongst others. By the 1950's, the avant garde movement was lead by the Darmstadt group, whose members included Pierre Boulez and Karlheinz Stockhausen. "Darmstadt was important in that many of the ideas fostered there spread through the world and stimulated experiments on the part of composers everywhere."¹⁰² Some members of the avant garde movement, such as Milton Babbitt, Gunther Schuller and John Cage, later found expression through an adoption of jazz techniques. Cage, for example "... increased reliance on improvisation – a technique common enough in music of the Baroque and earlier era's, but so long dormant that it has had to be reintroduced, in the 1950's and 60's, from the domain of jazz."¹⁰³

In jazz, the continuing exposure of jazz musicians to classical musicians, composers and influences paved the way for jazz musicians to abandon their traditional constraints. Pianist Cecil Taylor, for example "studied for three years at the New England conservatory ... where he came into contact with the works of Schoenberg, Berg, and Webern, and was especially interested in Bartok and Stravinsky"¹⁰⁴ Similarly, saxophonist Anthony Braxton "had made detailed studies of John Cage and Karlheinz Stockhausen."¹⁰⁵ Taylor integrated his conservatory background and compositional practices with a Coleman-like free improvisational style. In effect, "he found an intersection in which his music can be heard as either classical or jazz.

¹⁰² Donald Grout and Claude Palisca, *supra* note 100, p.865.

¹⁰³ Joseph Machlis, *supra* note 46, p570.

¹⁰⁴ John Maurer, *supra* note 98, pp. 2-4.

¹⁰⁵ *Ibid.*, pp. 2-4.

depending on the vantage point of the listener."¹⁰⁶ Braxton was similar to Taylor in his classical approach, exemplifying balance between emotional and intellectual composition.

Performers were thus becoming increasingly more adept at performing and composing in both the classical and jazz genres. This emergence of jazz musicians trained in both idioms allowed jazz composers to draw from the classical idiom, thus facilitating the convergence of the previously distinct and mutually exclusive genres. The same was true of classical musicians trained in, and drawing on, jazz. This brand of musicians, now known as "crossover musicians", were equally comfortable moving back and forth between the jazz and classical genres. It was the growing trend of "crossover musicians" and "crossover" compositions that caused Schuller to coin the term third stream, which together with other movements, such as experimentalists and free jazz, all fall under the avant-garde umbrella, given that they all developed simultaneously and given that they all sought to break away from their respective traditional constraints. At the end of the day, however, it was a combination of many factors, ranging from sociopolitical to personal, and fueled by the experimental mentality of the 60's, that created a type of jazz music surprisingly similar to the classical music of that time. Additionally, "jazz, like other art forms, was confronted by the American political and social pressures of the 1960's. The experimentation that was occurring in all art forms also began to be seen in jazz. The university was a major factor in that experimentation process, and jazz was working its way into the university. Its ascendancy to art form status promoted its alliance with the experimental activities in the avant garde in classical music."¹⁰⁷

¹⁰⁶ Maurice Gerow, David Megill and Paul Tanner, *supra* note 101, p.150.

¹⁰⁷ *Ibid*, pp.81-82.

It should also be noted, however, that in jazz, besides the fascination with pushing the boundaries and experimenting with new sounds, “freedom” “stood out as a politically charged word in American public discourse during the late 1950’s and early 1960’s.”¹⁰⁸ African Americans wanted to be free from the racial segregation that bound them. As Gioia says: “it is impossible to comprehend the free jazz movement of these same years without understanding how it fed on this powerful cultural shift in American society . . . Many of them saw their music as inherently political.”¹⁰⁹ African-Americans were fighting against white establishment and control; they wanted to create a wholly African-American music. It was these sociopolitical ideas that differentiated the new free jazz musicians from the previous experimental composers.

Musicians of the new free jazz era of the 1960’s onward were Ornette Coleman, Cecil Taylor, Albert Ayler, Archie Shepp, John Coltrane, Don Cherry, and Sun Ra. Classical composers who were experimenting with jazz elements as a way of exploring avant-garde techniques were Milton Babbitt who composed *All Set* (1957), Rolph Lieberman in his *Concerto for Jazz Band and Symphony Orchestra*, Schuller with *Concertino* (1957), Ezra Laderman in his work *Priorities* (1969) and Stravinsky who composed *Ebony Concerto*.

Part of the manifestation of classical influence on Ornette Coleman can be seen in many of his compositions. He composed *Forms and Sounds* for woodwind quintet, inventions of *Symphonic Poems* for orchestra and many other works including pieces for string quartets and *Skies of America*; “an ambitious orchestral project featuring the London Symphony.”¹¹⁰

¹⁰⁸ Ted Gioia, *supra* note 78, p. 337.

¹⁰⁹ *Ibid.* p. 338.

¹¹⁰ *Ibid.* pp. 345-46.

Cecil Taylor's influence, aside from his formal training, includes use of Bartok's Hungarian folk music in his compositions. The piece *Cell Walk for Celeste* (1961) "represents Taylor's most successful endeavor to date in blending contemporary classical elements into a distinctly African American style."¹¹¹

The saxophonist Albert Ayler has also written for string quartets and orchestral works and also succeeded in breaking down traditional barriers by including Schoenberg, Webern and Cage on the same program as Coleman, Coltrane and Ayler.¹¹²

Sun Ra and John Cage are equivalent figures in their respective genres. Sun Ra's jargon-laden talk of cosmos and interplanetary music, coupled with his free jazz explorations of *Cosmic Tones For Mental Therapy*, are comparable in their extreme nature to John Cage's interest in Zen Buddhism and I Ching, which carried into his musical philosophy an obsession with sound and indeterminacy¹¹³.

Basically, jazz and classical music continued through this post-modernist era to be fascinated with experimentation and with mixing more and more elements into their music — electronics, aleatoric (chance) writing, spiritual elements like meditation, music of other cultures (as exemplified by Toshiko Akiyoshi who has mixed jazz elements with her Japanese heritage since the 70's) and many other devices. Though these devices were employed in different manners, the paths these two genres followed no longer carried the barriers from the past. Both classical and jazz avant-garde music were now often judged by similar standards and one was no

¹¹¹ *Ibid*, p. 348.

¹¹² *Ibid*, p. 359.

¹¹³ Indeterminacy is a 20th century avant garde compositional technique where the composer provides the minimum amount of direction to the performer, thus having minimum control over the composition

longer considered “serious art music” while the other was dismissed as “frivolous dance music” - both were now considered somewhat bizarre yet fascinating in the eyes of audiences and critics.

1. EXAMINATION OF SPECIFIC PIECES

The focus here is to show how the free jazz movement of the avant-garde scene in jazz brought the genre to a point of convergence with avant garde classical European tradition.

a. *Still Waters* by Anthony Davis

To fully understand the convergence that occurred in the avant garde era, one must carefully listen to works from that movement, because it is in hearing these works that the actualities of the similarities set in. In essence, distinctions can no longer be made along classical and jazz lines as the traditional boundaries or yardsticks have been completely blurred. The work *Still Waters*, written by Anthony Davis in 1982, is a perfect example of an avant garde composition by a jazz composer given that, when listened to, the piece is almost impossible to identify as a jazz composition.

Firstly, *Still Waters* is written for flute, cello and piano, instrumentation associated with classical chamber music, and in itself enough to confuse the listener significantly.

Secondly, its shift away from tonal harmony, in keeping with the avant garde movement, makes it similar to, and indistinguishable from, 20th century classical composition. One of the ways *Still Waters* achieves this by having no tonal center. As Davis wrote: "I have tried to invest this piece with a strong feeling of harmonic motion, but within a pan-tonal framework."¹¹⁴

¹¹⁴ Anthony Davis, “Still Waters,” Liner notes, (19:56) *I’ve Known Rivers*, Episteme Music, LP GR83201.

Thirdly, from an acoustic viewpoint, it contains elements of the classical avant garde genre. *Still Waters* sounds similar to *Four Pieces* (1965) by Jacques Hetu (for flute and piano) in its "spacious" writing, and its use of rhythmic tonguing is reminiscent of Clermont Pepin's *Quatre Monodies* (1955) for solo flute. Both these compositions, however, are of the classical 20th century avant garde genre. Similarly, *Still Waters*' use of extended techniques in the flute make it comparable to (amongst other classical works that use extended technique) *Iceicles* (1977) by Robert Aitken. The extended techniques in both of these works include pitch bending, use of harmonics, and glissando (sliding from one note to the next). These extended techniques in *Still Waters*, furthermore, are executed perfectly on a recording by flutist James Newton, who is both a classical and jazz flutist, or "crossover" flutist. Thus, not only is the music indistinguishable aurally, constituting a perfect example of what Schuller calls "today's uni-music that characterizes most of the territory of contemporary music of today,"¹¹⁵ but the performers themselves exhibit an ease in moving back and forth between classical music and jazz.

Still Waters exhibits characteristics or elements of both the classical and jazz avant garde genres, illustrating the complete convergence of the two idioms. This convergence has been achieved through expansion in each genre of instrumentation, through the adoption in each genre of extended techniques in the flute, and through the increased lack in each genre of previously restrictive constraints (for example, in formal and functional harmonic infrastructure). "Whatever the distinctions between jazz and classical music were discernible in the past, they have become much more blurred in recent years with the simultaneous advances, in both jazz and classical music of avant garde conceptions and techniques and new instruments, to the point

¹¹⁵ Gunther Schuller, *supra* note 2, p. 28.

where very often now the old sure-fire differentiations between jazz and classical music can no longer be reliably made. ... That is why such labels as "jazz" and "classical," never very helpful or accurate to begin with, are now fairly meaningless and perhaps obsolete"¹¹⁶ This convergence is an important development in the history of music as it facilitates the expansion of previously standard repertoire in each genre. For example, the standard flute repertoire in the classical idiom, which is not large to begin with, can benefit by adopting repertoire from the third stream and avant garde jazz idioms, given that all these genres are no longer strictly distinct, separate and exclusive. To be more specific, avant garde jazz improvisation does not necessarily use a jazz vocabulary which allows classical players to use other improvisational techniques.

D. FUSION

The term fusion, in this thesis is being used to describe a combination of any two or more genres, including but not exclusive to the genre of jazz-rock fusion.

On the classical side, elements of fusion surfaced relatively early. The popular dance music of the baroque period, for example, was "fused" into compositions by all the prominent "classical" composers, to create the courante, minuet, bourree etc. In fact, there is evidence throughout the history of European music of classical music absorbing folk melodies, nationalistic flavors, ethnic flavors (exoticism) and more recently, electronics, jazz elements (more completely than before), commercialism, and world music. Even classical music's fusion with Hollywood has created a new genre - film music - which blends commercial accessibility and European, classical tradition.

Jazz, is thought of by some as having always been a music of fusion.

¹¹⁶ *Ibid.* pp. 28-29.

"Jazz has always been a music of fusion . . . In its earliest form, jazz showed an ability to assimilate the blues, the rag, the march and other idioms; as it evolved, it transformed a host of even more disparate sounds and styles. It showed no pretensions, mixing as easily with vernacular musics — the American popular song, the Cuban 'son', the Brazilian samba, the Argentinean tango — as with concert hall fare. Jazz in its contemporary form bears traces of all these passages. It is the most glorious of Mongrels."¹¹⁷

"Yet, the concept of jazz as fusion took on particular relevance at the close of the 1960's... [and] for most listeners during this period, the term "fusion"...described the various attempts to combine jazz with rock music...Miles Davis recording of *Bitches Brew* at the close of the 1960's ...legitimized a whole new area of exploration and experimentation for jazz musicians."¹¹⁸ Most notably, Miles Davis combined fairly typical mainstream jazz elements, namely improvisation, with some of the earliest use of electronic instruments, resulting in basic rock mixed with hard bop textures.

The popularity of jazz-rock fusion is important to mention as it highlights the significance of fusion as an idiom that has affected, and will continue to affect, the future direction of music into the 21st century. Three ensembles in particular illustrate the commercial success of jazz-rock fusion, namely Chick Corea's band *Return to Forever*, John McLaughlin's¹¹⁹ *Mahavishnu Orchestra*, and the group *Weather Report* led by Wayne Shorter and Joe Zawinul.¹²⁰ Looking briefly at each, one can trace the influence of fusion on band

¹¹⁷ Ted Gioia, *supra* note 39, p. 365.

¹¹⁸ *Ibid.*, p. 365.

¹¹⁹ McLaughlin was one of the first musicians to incorporate ethnic music into his jazz. He was well connected in the London rock scene where he played with Eric Clapton and Mick Jagger. Joachim Brendt said of McLaughlin in 1970: "[he] symbolizes the complete integration of all elements that have played a role in today's music." (*Ibid.*, p. 368).

¹²⁰ Joe Zawinul was an interesting musician, as fusion for him was a far cry from his classical, conservatory training. He used many electric keyboards to layer sound, creating a pseudo-orchestral sound.

members who had also had respected careers in mainstream jazz. Corea's music, for example, juxtaposed up-tempo jazz, complex rock and commercial rock. His band, *Return to Forever*, favoured the use of electric piano, which was the growing trend in jazz-rock fusion in the 70's and 80's, ever since Miles Davis's first electronic experiments as early as 1967. McLaughlin, similarly, "was among the first to adopt the volume and metallic tone color more typical of rock performers and place them in a more traditional jazz setting."¹²¹

While many jazz-rock fusion bands originated through jazz musicians, rock musicians also were exploring the area of jazz, creating much highly inventive music in the jazz-rock fusion idiom. This is especially evident with rock guitarists (Jimi Hendrix) who expanding their technique by using jazz. For example, Frank Zappa's work from the late 60's and 70's effectively combined jazz elements with rock music, some examples being *The Grand Wazoo* and *Jazz from Hell*. "The demands of his intricate writings ensured that Zappa's groups, perhaps alone among the rock bands of the day, could match many major jazz combos in terms of breadth and depth of musicianship."¹²² Thus, some of the greatest works in fusion did not come solely from jazz musicians. There were many talented rock musicians who were just as successful at integrating jazz into rock music. Other ways that jazz was influential was with the pop/rock musicians of the late 1970's and 80's, such as Steely Dan. (noteworthy is their album *Aja*) Michael Franks and Joni Mitchell, who collaborated with Charles Mingus and other jazz musicians on her album *Mingus* to create some of the "finest examples of jazz-inflected pop music of any era."¹²³

¹²¹ Maurice Gerow, David Megill and Paul Tanner, *supra* note 101, p. 175.

¹²² *Ibid* p 370.

¹²³ *Ibid* p. 371.

World fusion and the globalization of jazz are beyond the scope of this paper but many leading jazz musicians had great success with world-jazz fusion. One example can be seen in the music of Pat Metheny whose outstanding recordings are: *Still Life (Talking)* (1987), *Letter From home* (1989), and *Secret Story* from 1992; they incorporate advanced jazz compositional techniques with pop/rock and Brazilian elements.

“As the examples of Metheny, McLaughlin and Zawinul make clear, the fusion idiom was increasingly looking for inspiration outside the spectrum of American and African-American music...[and] music was changing fundamentally in response to this influx from abroad...Ethnic music of various sorts provided a constant source of stimulus to jazz composers and players during this era.”¹²⁴

While jazz, can be described as a music of fusion, that assimilated the blues, gospel, ragtime, marches, and eventually rock and world elements, one cannot overlook the influence, effect and resulting genre created by the fusion of jazz and classical music, particularly in the 1970's. In fact, jazz-classical fusion can be looked at as the final step thus far in the influence of classical music and jazz on each other.

As already discussed, the progression began with the evolution of symphonic jazz in the 1920's, followed by the development of third stream in the 1950's. In between each of these “stages,” the classical and jazz genres continued to exert an influence on each other. Over the years, integration, which started as a small dose of flavor, eventually culminated in jazz and classical music becoming equal partners under the third stream movement. With the onset of jazz-classical fusion, the two genres melded to form a completely new genre, drawing on “broadened improvisational techniques but still include[ing] the full vocabulary of composed music. Instead of the conventional mainstream jazz sounds – syncopations, blue notes, ii-v

¹²⁴ *Ibid* pp. 373-74.

substitutions - one found a panoply of other devices – drones, ostinatos, vamps, impressionist harmonies, Schubertian melodies, shimmering arpeggios, undulating rhythms, rhapsodic interludes, pristine polyphonic exercises and jarring sonic explosions.”¹²⁵

One of the best artists of this new classical fusion is Keith Jarrett, who completely combines both jazz and classical elements in his music. He is also one of the first musicians to have had successful careers in both idioms. Jarrett studied both classical and jazz music and attended the Berkeley School of Music for one year. His career ranged from playing in one of Miles Davis’ strongest fusion bands to composing the mainstream jazz album *Facing You*, which clearly shows his “integrated concept of harmony, rhythmic momentum, and melodic phrasing.”

His album *Koln Concert*, is a perfect example of the classical fusion genre as it combines classical melodic and harmonic sounds with the rhythmic and harmonic propulsiveness of jazz. *Koln Concert*, which was recorded live, featured Jarrett improvising on essentially a simple 2-chord progression. Throughout his career, Jarrett also embraced the standard classical repertoire, recording and performing Bartok; Stravinsky; Bach’s *Goldberg Variations* and *Well-tempered Clavier*; and Shostakovich’s *24 Preludes and Fugues*. All in all, his “creativity crosse[d] far beyond the conventional boundaries of the jazz idiom.”¹²⁶

Other fusion musicians pursuing similar ideas and pushing the envelope of improvisation techniques to include new sounds not yet explored on traditional (classical) acoustic instruments include: the group *Oregon*; the *Art Ensemble of Chicago*; Jan Garbarek; Egberto Gismonti; Pat

¹²⁵ *Ibid* p. 377.

¹²⁶ *Ibid* p. 379.

Metheny; Chick Corea; Steve Kuhn; Jack DeJohnette; Wynton and Branford Marsalis; vocalist Bobby McFerrin; and many others.

“The collective impact of these various fusion effects – whether the sources of inspiration were rock, ethnic, or classical music had succeeded in tremendously expanding the boundaries of jazz.”¹²⁷ In fact, in both classical music and jazz, the resulting hybrids created through fusion were sometimes so far afield from the music’s tradition that listeners would ask whether the results could really be called jazz or classical music in the true sense of the word.¹²⁸

V. BEYOND FUSION: MUSIC IN THE 21st CENTURY

Against this backdrop of cross-fertilization and multi-genre fusion, one can now look towards the 21st century and consider the direction that music is taking. The 21st century could potentially become the era of fusion, not just jazz-rock fusion, but fusion in all aspects and genres of music and performing arts. Not only are performers today often trained in more than one genre, but concerts frequently feature musicians of all idioms performing together. Examples of this can be found by looking at many of today’s prominent musicians. Classical violinist, Nigel Kennedy, for example, is equally comfortable playing a classical concerto with a symphony orchestra, as he is jamming with a jazz combo or wowing club-goers with his flashy electric violin rock playing. Also popular are concerts that have featured opera singer Pavarotti singing with rock star Bono from *U2*, or Broadway diva Liza Minelli. Of course, the reverse is true as well. Rock stars seem to be trying their hand at “serious” music, as in Billy Joel’s latest CD, *Fantasies and Delusions*, which is a classical piano album of his own compositions. In fact, many classically trained musicians have and still are turning to “popular” music as a career

¹²⁷ *Ibid* p. 381.

¹²⁸ *Ibid*, p. 365.

choice, for example Alicia Keys, members of *Queen*, members of *Metallica*, and Jim Kegan of *The Bare Naked Ladies*, to name a few.

Music in the 21st Century is becoming more and more of a melting pot for many reasons, one of which is the ever increasing exposure individuals have to a wide variety of musics. Mediums ranging from cd's, radio, television and the internet on the one hand, to the more subliminal yet constant barrage of background music emanating from sources ranging from restaurants and shopping malls to movie soundtracks or elevators on the other hand, have resulted in the involuntary reception of the broadest range of musical genres - more so than ever before in the history of the world. Through these mediums, individuals are witness to music from every decade and every country. The genres, similarly, stretch from hip hop and rap on the one hand, to rock, jazz, and ultimately classical music on the other - though, these days, when one hears strains of Mozart's *Jupiter Symphony* or Brahms *Hungarian Rhapsody* outside 7-11 at 2:00 in the morning it is, unfortunately, not an attempt to try and expose today's youth to a healthy dose of culture but to discourage ruffians from gathering there.

Notwithstanding one's musical preferences, these constant sources provide an unsolicited yet real source of influence, most often to a captive audience with no ability to turn the music off. Thus, whether riding an elevator, shopping in a mall, or watching a movie, one is involuntarily exposed to a broad range of music one may not normally search out. These in turn are stored by the mind and remain there for subconscious recall, often finding expression through the creative process. The process is analogous to dreaming, where elements encountered during the day, even if for a split second, become incorporated into a dream.

Musicians today cannot help but be influenced by this constant exposure and the result, while sometimes subconscious, is often conscious. Examples of this can be found in the many

classical arrangements of popular songs used by classical musicians as a way to reach the general public and narrow the gap between the classical genres and the other mainstream genres of popular culture. In this vein, flutist James Galway recorded numerous "bridging" albums such as *Wind Beneath My Wings*, *The Pink Panther*, and *Songs For Annie*. Flutist Jean-Pierre Rampal similarly attempted to do something "jazzy" in an album of Gershwin and Cole Porter arrangements and in his recordings of the Claude Bolling suites.

This "fusion" mentality can also be seen in the many different music groups that are being formed that include jazz arrangements, classical chamber works and popular music. Examples of these include *Joe Trio*, *The Eroica Trio*, *Quartetto Gelato*, and the new classical-rock band *Bond Quartet* that consists of classically trained musicians playing classical/rock-pop fusion.

With the rise of electronic music and DJ's, one cannot be surprised at the effect this will have on the "art" musicians. Electronics have always been something musicians have experimented with, ranging from the extreme use made by the composer Stockhausen on the one hand, to the more moderate use of electronic "classical" instruments in bands on the other, including the flute. Artists of every genre are aware of the influence of computer technology even if they themselves are not incorporating electronica into their music. Rock star, Bryan Adams, hypothesizes that, "There will of course be a bastion of artists and composers, particularly in the classical world, that will hold on to traditional methods of working, but more and more people will use technology."¹²⁹ Part of the reason for this is the accessibility of computers. Adams continues, "Even the most amateur composer can put together a great little piece of music [i.e. pop and rock music, not "art" music] with sounds that parallel the most

¹²⁹ Bryan Adams, Personal conversations, November, 2002

advanced performer, this is what is happening to music right now. Kids are making records in their front rooms and having hit records. We will always look to the past for inspiration when music was hand-crafted, but a new kind of hand-crafting is underway and the future is bright with innovation."¹³⁰ We can thus look forward to many different kinds of music, composed by a new breed of musician. In this way, classical, as well as jazz music is likely to be forward looking, turning to technology and lateral influences to create a previously unexplored fusion. In this sense, classical music seems to have already moved away from the previous backward-looking mentality exhibited by the neo-classical and neo-romantic movements.

A further reason for this effect is today's undeniable emphasis on pop culture and the corresponding de-emphasis on the fine arts. The past couple of decades have witnessed significant declines in symphony concert attendance and a rise in the pop star, boy-band, girl-band, revolution. Current society emphasizes movies and pop culture, pouring money into these areas as opposed to the fine arts. Classical music, moreover, is rarely taught or emphasized in schools, allowing generation after generation to become gradually less cultured, and more susceptible to the fleeting popularity and music of stars such as Britney Spears and the *Backstreet Boys* - musicians thrust into fame by the fickle whims of an uneducated populous with little or no attention to the sophistication of the musical product.

As a result of all the above factors, classical genres, in an attempt to re-assert themselves, will, in my submission, naturally gravitate towards the genres seemingly preferred by popular culture. The result, in my submission, will be a movement towards the development of a generation of classical musicians trained, educated and adept in more than one genre. This opens new doors for composers and performers alike, music stemming from the third stream,

¹³⁰ *Ibid.*

avant garde and jazz-classical fusion genres pave the way for an expansion in standard classical repertoire by creating a new "canon" of works that includes music from all these genres. The afore-mentioned genres provide a medium through which one can expand one's musical horizons and bring new aspects to one's performances and or compositions. Future University Programs or Fine Art Schools will, of necessity, add a third stream or fusion program in order to promote this expansion of the classical and jazz genres through fusion. At present the problem within the universities seems to be one of integration between the classical and jazz idioms. The benefits of integrating the jazz and classical genres in universities can not be overstated, aside from advancing one's musical abilities, students trained in one area only are robbing themselves of an expanded repertoire, (specifically, in the context of this paper, third stream and multi-genre fusion) and music inspired by inventiveness, spontaneity, and ingenuity. By equipping classical musicians with these additional tools, the way can be paved for multi-faceted musicians to more easily pursue a successful musical career in the 21st Century. Simultaneously, however, attempts must also be made to increasingly expose elementary and secondary students to classical and jazz music because without such exposure at a young age, the future of this genre will become exceedingly precarious.

Educational background, society, money, and the exposure one has today to different genres of music, all thus contribute to music of fusion. Such fusion, however, besides constituting an exciting new development, can serve to revitalize the component genres, thus narrowing the otherwise widening gap between classical music and today's popular music. One hopes that the crossover or fusion between classical music and other genres will not only create a new and interesting development in music, but also stir the public's interest in the original genre from which the fusion emanated.

Additionally however, the increasing experimentation and fascination with fusion music is, in my submission, a medium through which musicians of today can find not only a voice, but an audience. The need for an audience sparks the desire in classical musicians to discover a new genre that fuses past and present - and the ever-present exposure one has to every genre of music in the world, through radio, TV, film and recordings, serves to fuel the process. Neither classical nor jazz music has ever been 'pure'. They have always thrived on absorbing the 'nouveau' and fantastic. In a similar vein, music in the 21st century will, in my submission, follow the road of advancement and change, all the while promising many new and exciting adventures.

VI. CONCLUSION

In conclusion, and for the time being setting multi-genre fusion and pop music aside, while jazz and classical music started as distinct genres with unique characteristics, each inevitably exerted a subtle yet undeniable influence on the other. The eventual result was the gradual adoption by each genre of various unique elements distinctive of the other, eventually reaching a point where, aurally, the two became seemingly indistinguishable. This "cross-fertilization" effect occurred despite initial negative views held by each genre towards the other, and gained momentum as increasingly educated musicians turned to external sources as a medium through which their own genre could be further developed and evolved. This outreach, however, was a function not only of internal growth within each genre, but also subtle external sociological factors, that further contributed to, and propelled music through the Symphonic Jazz era, the Third Stream movement, and the Avant Garde movement towards a total Classical-Jazz Fusion.

In addition the adoption of diverse elements not only expanded the resources or repertoires available to musicians in each genre, but also simultaneously freed each genre of

traditional conventions and constraints. Additionally, as composers and performers increasingly looked beyond their traditional boundaries, and became increasingly learned and adept at performing and composing in both the classical and jazz genres, the natural evolution of each individual genre continued unabated. Indeed, had cultural traditions never mixed in this way, neither the last 900 years of Western European, nor the last century Jazz musical development would ever have occurred, given that no significant musical innovation occurs without borrowing from neighboring genres or cultural traditions. By recognizing and tracing this integration, one can attempt to consider the direction of music into the 21st century.

Unique to the 21st century are two central factors. First, the ever-increasing exposure individuals have to an incredibly wide variety of music in a world becoming ever smaller through rapid technological developments. Second, the undeniable emphasis and promotion of pop culture and the corresponding de-emphasis on the fine arts. As a result of these factors, the classical genre, in an attempt to re-assert itself, and drawing on the momentum gained through the various musical era's leading into the 21st century, will naturally gravitate towards the genres seemingly preferred by popular culture. As illustrated by our historical view of jazz and classical music, adopting some of the concepts and elements of these new or "popular" genres, and injecting them into more traditional settings, brings with it corresponding advantages, such as the possibility of an expanded audience that performers and composers can reach.

This is best achieved, in my submission, through the development of a generation of broadly educated musicians, cross-trained in various genres, and equipped with the additional tools and techniques, in particular improvisation, necessary to facilitate a multi-faceted career. Significant, is the expansion this brings to the standard repertoire in both jazz and classical

music, especially advantageous to flutists and other wind players whose “canon” of works is smaller than that for the violin and piano.

These developments have the equal and opposite effect of stirring renewed interest in the original genre, allowing the art of jazz and classical music to expand and regenerate. This not only ensures the continued survival of the original genre, but also provides expanded repertoires, new sounds, enhanced techniques, new acoustic experiences and, most importantly, better, more well rounded, musicians.

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A Selected Discography*

Coleman, Ornette. "Free Jazz." Free Jazz: A Collective Improvisation by the Ornette Coleman Double Quartet. Atlantic Records, CD.

Davis, Anthony. "Still Waters." I've Known Rivers. Episteme Music, LP

Ellington, Duke. "A Tone Parallel to Harlem." Ellington Uptown. Columbia Records, CD.

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Graettinger, Robert. "City of Glass." Stan Kenton, City of Glass. Capitol Records, LP.

Lewis, John. "Sketch." Golden Striker. Atlantic S, LP.

Mingus, Charles. "Revelation." 1st mvt. Modern Jazz Concert. Columbia Records, LP.

Schuller, Gunther. "Transformation." The Birth of Third Stream. Columbia Records, CD.

**N.B. The jazz recordings only have been included in this discography, as recordings of the classical music did not pertain a specific recording.*

THE UNIVERSITY OF BRITISH COLUMBIA
SCHOOL OF MUSIC

Recital Hall
Wednesday, April 17, 2002
8:00 p.m.

DOCTORAL LECTURE-RECITAL*

LIESA NORMAN, FLUTE
with
Donna Falconer, Piano
Richard Epp, Piano

Lecture: Expanding Musical Horizons

Sonatine (1922)

- I. Tendre
- II. Souple
- III. Clair

Darius Milhaud
(1892-1974)

Duo for Flute and Piano (1971)

- I. Flowing
- II. Poetic, somewhat mournful
- III. Lively, with bounce

Aaron Copland
(1900-1990)

- INTERMISSION -

Duet for Flute and Dancer (1956)

Ezra Laderman
(b. 1924)

Christie Norman, *dancer*

Still Waters (1982)

Anthony Davis
(b. 1951)

Bo Peng, *cello*

Addendum (ca. 1984)

Chick Corea
(b. 1941)

Lorna McGhee, *flute*

* In partial fulfillment of the requirements for the Doctor of Musical Arts degree with a major in Flute Performance.

THE UNIVERSITY OF BRITISH COLUMBIA
SCHOOL OF MUSIC

Recital Hall
Wednesday, May 10, 2000
8:00 p.m.

DOCTORAL RECITAL*
Liesa Norman, flute

Sonata in E minor
BWV 1034
Adagio ma non tanto
Allegro
Andante
Allegro

J.S. Bach
(1685-1750)

Karen Di Bella, *piano*

Sonata
Allegro moderato e con grazia
Adagio
Allegro vivace

Walter Piston
(1894-1976)

Sonata
Allegro malincolio
Cantilena
Presto giocoso

Francis Poulenc
(1899-1963)

Donna Falconer, *piano*

- INTERMISSION -

Coltrane (1981)

Dave Heath
(b. 1956)

Sonata in A major
Allegretto ben moderato
Allegro
Recitativo-Fantasia
Allegretto poco mosso

César Franck
(1822-1890)

Richard Epp, *piano*

- * In partial fulfillment of the requirements for the Doctorate of Musical Arts with a major in flute.