

CREATING COHERENT JAZZ MELODY

A Sourcebook for Improvisers

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Prefatory Remarks

When we look at a fine piece of architecture, the details of its exterior may first arouse our interest. Closer inspection reveals a well-crafted and secure foundation. Without its support, those details which initially engaged us would tumble to the ground.

Similarly, good jazz playing is clear, organized musical discourse. It is never a collection of appealing moments strung together haphazardly. In what follows, discussions of musical details will always refer to the structural context in which they occur.

The styles of playing to be considered culminated in the music of the beboppers, who retained the basic tonal principles of previous jazz eras alongside their own melodic and harmonic innovations. Bop extended the boundaries of what had by then become stylistic norms in jazz, and was their final incarnation. The text will address the standard usages of this self-referent tradition.

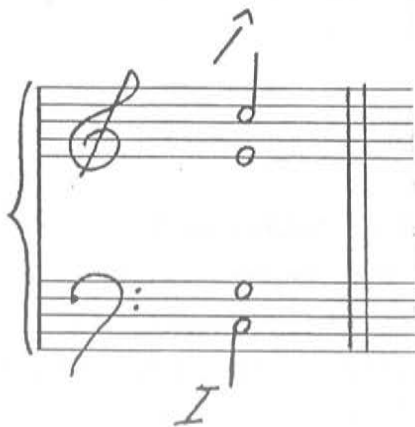
The question of how the ear and mind interact with one another in jazz evokes controversy and misunderstanding among players and enthusiasts of the music. Intellectually precise observation and discipline can provide fresh and valuable input when the unassisted ear fails to find a satisfactory solution in a given musical situation. Of course, if the mind produces something ungainly or overly cerebral, the ear, the final arbiter, can reject it out of hand.

Our musical instincts become surer as study progresses. The ear and mind can fuse and function as if one in the spontaneity of fine improvisation.

I. The Tonic Major Triad

The tonic triad in root position is melodically stable only when it supports the first scale degree in the soprano.

Example 1



(In the analytic examples, note-values and stems indicate structural significance and not rhythmic values. Solid and dotted slurs indicate structural connections between tones.)

The melodically active tones of the triad are its 3rd and 5th. They must descend to scale degree 1 to achieve melodic closure.

Example 2



The initial presentation of scale degrees three or five may be delayed, and their descent prolonged, by structurally subsidiary arpeggiations. In the familiar fanfare of Example 3(a), the appearance of scale degree five is delayed by the upbeat arpeggiation. The downwards arpeggiation and subsequent regaining of scale degree 5 clarify the bipartite melodic structure. The lower G of the initial and subsequent arpeggiations is an inner voice which ascends a fourth in contrary motion with the soprano at the melodic closure (mm 3-4).

Example 3



Two kinds of non-chord tones can embellish an underlying triad.

A) Neighbor Notes embellish a single tone of the triad with a stepwise motion from below or above. Example 4 presents the lower and upper neighbors of (a) the root, (b) the third, and (c) the fifth.

Example 4

or, chromatically filled in:

(a)

the lower chromatic neighbor often stands alone:

(b)

(c)

(Notes in parentheses appear only as chromatic embellishments of diatonic neighbors, i.e., they do not function alone.)

Scale degree 4 is always perceived as an upper neighbor of scale degree 3, because of the semitone between them.

Example 5

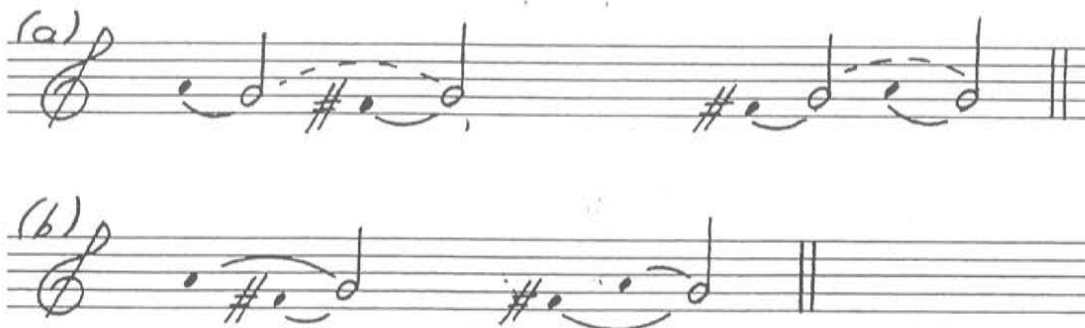
Neighbor notes always resolve to chord tones by step, even if the resolution is interrupted by a parenthetical leap to (a) another chord tone, or (b) an arpeggiation. These chord tones may even themselves be embellished by neighbor notes (c).

Example 6

The lowered 3rd and lowered 5th scale degrees sometimes substitute for their diatonic equivalents, creating a "bluesy" effect. Take care to avoid enharmonic confusion between them and the chromatic lower neighbors of the diatonic 3rd and 5th scale degrees.

Example 7

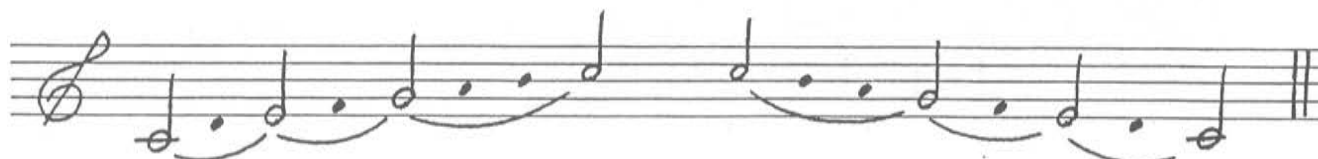
Upper and lower neighbors can appear together as (a) turns, and (b) double neighbor note formations.

Example 8

B) Passing Tones fill in the space between two adjacent chord tones by step, unlike neighbors, which embellish a single tone of the chord.

Scales are best understood as passing motions embellishing underlying chords.

Example 9



Chromatically Inflected Passing Motions

Example 11

Ascending (uncommon)

(a)

(less common)

(b) Descending (borrowed from the parallel minor)

(very common)

(rare)

(less common)

Like neighbor notes, passing motions can be interrupted by (a) parenthetical leaps to chord tones, and (b) arpeggiations.

Example 12

(a)

(b)

Passing motions often precede neighbor formations which begin from the opposite direction.

Example 13



Example 14 embellishes example 3(b) with neighbor notes and passing tones.

Example 14

Addendum-The Tonic Major Sixth Chord

The sixth appears, at times, to be harmonically stable. Improvisers will often leap from it. However, closer inspection always reveals it to be an upper neighbor of scale degree 5. Characteristic delays in its resolution have contributed to its misinterpretation as a true chord tone.

Example 15



The sixth is sometimes embellished with its own neighbor formations. Its function as an upper neighbor of the 5th scale degree is not compromised by this.

Example 16



Melodic figures which prominently set off the sixth always create expectations of its eventual resolution.

Example 17



II. The Tonic Minor Triad

A) Neighbor Notes

Example 1

Example 1 illustrates neighbor notes in the melodic minor scale. The notation is divided into three parts: (a), (b), and (c). Part (a) shows the ascending scale with a lower neighbor (b) and an upper neighbor (b). Part (b) shows the descending scale with a lower neighbor (b) and an upper neighbor (b). Part (c) shows the scale with a lower neighbor (b) and an upper neighbor (b). The notes are written on a staff with a key signature of two flats (B-flat and E-flat) and a time signature of 4/4. The notes are: (a) B-flat, A-flat, G, F, E-flat, D, C, B-flat; (b) B-flat, A-flat, G, F, E-flat, D, C, B-flat; (c) B-flat, A-flat, G, F, E-flat, D, C, B-flat. The notes are connected by slurs, and the lower neighbor (b) is often stands alone.

the lower chromatic neighbor often stands alone

borrowed from the parallel major

The absence of the semitone between scale degrees 3 and 4 enables s.d. 4 to act both as a lower neighbor of s.d. 5 and an upper neighbor of s.d. 3 without necessitating any change of inflection.

B) Passing Tones

The melodic minor scale comprises the diatonic passing motions. Note the changes of inflection, ascending and descending, between the fifth and octave.

Example 2

Example 2 illustrates passing tones in the melodic minor scale. The notation shows the ascending scale with passing tones between the fifth and octave. The notes are written on a staff with a key signature of two flats (B-flat and E-flat) and a time signature of 4/4. The notes are: B-flat, A-flat, G, F, E-flat, D, C, B-flat. The notes are connected by slurs, and the passing tones are indicated by a slur between the fifth and octave.

Chromatically Inflected Passing Motions

Example 3

Ascending (uncommon)

(less common) Descending

(rare) (less common)

Addendum-The Tonic Minor Sixth Chord

The raised sixth scale degree in minor, borrowed from the parallel major, is always an upper neighbor of s.d. 5.

(See Chapter I, Addendum.) Although improvisers leap from it, delay its resolution, and embellish it (Example 4), it is not harmonically stable.

Example 4

(a)

(b)

III. Major Seventh Chords

Imaj7

Scale degree 7 in major can be (a) a simple lower neighbor of the octave, or (b) the upper boundary tone of a passing motion which embellishes s.d. 5.

Example 1

Example 1 consists of three staves of musical notation in treble clef, common time (C).
 Staff (a) shows a sequence of notes: C4, D4, E4, F#4, G4, A4, B4, C5. The B4 is marked with a '3' above it, indicating a triplet. The final measure shows a whole note C5 with a fermata.
 Staff (b1) shows a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5. The B4 is marked with a '3' below it, indicating a triplet. The final measure shows a whole note C5 with a fermata.
 Staff (b2) shows a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5. The B4 is marked with a '3' below it, indicating a triplet. The final measure shows a whole note C5 with a fermata.

Lower neighbors (a), and small-scale passing motions (b), do not compromise its basic tendency to descend.

Example 2

Example 2 consists of two staves of musical notation in treble clef, common time (C).
 Staff (a) shows a sequence of notes: C4, D4, E4, F#4, G4, A4, B4, C5. The B4 is marked with a '3' above it, indicating a triplet. The final measure shows a whole note C5 with a fermata.
 Staff (b) shows a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5. The B4 is marked with a '3' below it, indicating a triplet. The final measure shows a whole note C5 with a fermata.

The passing motion, s.d. 7 to s.d. 5, can be supported harmonically.

Example 3

Example 3 shows a musical passage in two staves (treble and bass clef). The treble staff contains a melodic line with notes corresponding to scale degrees 7, 8, 5, 8, 5. A slur connects the 7 and 8 notes, and another slur connects the 8 and 5 notes. The bass staff contains a harmonic line with notes corresponding to scale degrees 7, 8, 6, 8, 5. A slur connects the 8 and 6 notes, and another slur connects the 6 and 8 notes. Below the staves, the Roman numerals I, VII, II, V, I are written, indicating the harmonic support for each scale degree.

IVmaj7 can support s.d. 6 (a) as part of the passing motion s.d. 7 to s.d. 5, (b) as an upper neighbor of s.d. 5, s.d. 4 (c) as a passing tone between s.d.'s 5 and 3, (d) as an upper neighbor of s.d. 3, and (e) even s.d. 3 itself. However, the 7th between soprano and bass is unstable here as well.

Example 4

Example 4 consists of two systems of musical notation, each with two staves (treble and bass clef). The first system contains three examples labeled (a), (b), and (c). Example (a) shows a passing motion from s.d. 7 to s.d. 5, with s.d. 6 (IVmaj7) as part of the passing motion. Example (b) shows s.d. 6 (IVmaj7) as an upper neighbor of s.d. 5. Example (c) shows s.d. 6 (IVmaj7) as a passing tone between s.d.'s 5 and 3. The second system contains two examples labeled (d) and (e). Example (d) shows s.d. 6 (IVmaj7) as an upper neighbor of s.d. 3. Example (e) shows s.d. 6 (IVmaj7) as s.d. 3 itself. Below the staves, the Roman numerals I, IV, III, VII, II, V, I are written, indicating the harmonic support for each scale degree.

III in minor supports both (a) s.d. 3 and (b) s.d. 5.

Example 5

III VI II V I III II V I

VI in minor supports (a) s.d. 3 securely, and (b) s.d. 5 with a contrapuntally unstable 7th.

Example 6

I VI II V I I VI II V I

N.B. Diatonic context very often overrides the local tonal orbits of IV and bVI in the selection of appropriate embellishments.

IV. The Dominant Seventh Chord (V7)

The unstable intervallic content of V7 requires (a) stepwise resolution of the diminished 5th, between its 3rd and 7th, to the 3rd and 8ve of I. The 7th itself is also unstable (b).

Example 1

Example 1 illustrates two resolutions of a Dominant Seventh Chord (V7) to a Tonic Chord (I). The notation is in treble and bass clefs.

(a) shows the resolution of the diminished 5th interval (3rd and 7th of V7) to the 3rd and 8ve of I. The notes are labeled 6 5 and 3.

(b) shows the resolution of the 7th of V7 to the 7th of I. The notes are labeled 7 and 10.

V7 can support (a) the passing tones, s.d.'s 4 and 2, in the descent of the fundamental line (see Chapter I, example 10), and (b) s.d. 4 as the upper neighbor of s.d. 3.

Example 2

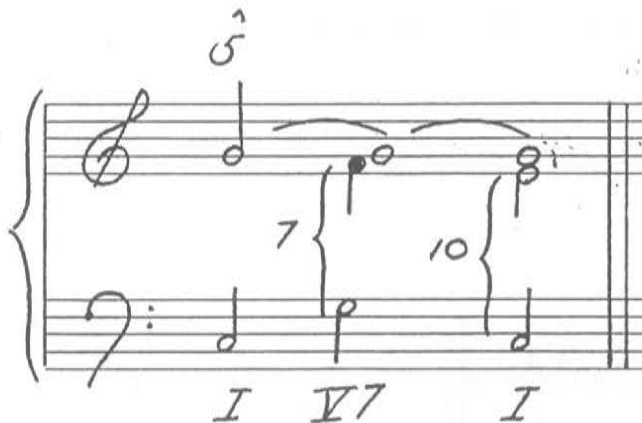
Example 2 illustrates two resolutions of a Dominant Seventh Chord (V7) to a Tonic Chord (I). The notation is in treble and bass clefs.

(a) shows the resolution of the 3rd and 7th of V7 to the 3rd and 8ve of I. The notes are labeled 5, 4, 3, 2, 1.

(b) shows the resolution of the 7th of V7 to the 7th of I. The notes are labeled 10, 7, 10.

It can prolong s.d. 5 as a parenthetical division of the tonic harmony.

Example 3



Scale degree 3 can also appear over V as a mild, local dissonance which resolves to s.d. 2.

Example 4



Neighbor and passing formations are context-determined (i.e., by I).

Example 5-Neighbor Notes in Major

(a) *or, borrowed from the parallel minor, simply*

(b) *the chromatic lower neighbor often stands alone*

(c) *or, borrowed from the parallel minor, simply*

(d)

Example 6-Neighbor Notes in Minor

(a) *the chromatic lower neighbor often stands alone*

(b)

(c)

(d)

Note the dual enharmonic function of the pitch F#(Gb) as both a lower neighbor of the root, and a chromatic filling-in of the diatonic upper neighbor to the seventh.

Diatonic Passing Motions are derived from the tonic major and melodic minor scales. Note that (a) descending in major, the lowered 3rd scale degree can be borrowed from the parallel minor, and (b) descending in minor, the raised 6th scale degree is used. The diatonic sixth s.d. would form an augmented 2nd with the 3rd of the chord and be heard as an upper neighbor of the root.

Example 7



Chromatically Inflected Passing Motions in Major and Minor

Example 8



The Applied Dominant Seventh Chord is embellished within the tonal context of the subsidiary tonic, whether it is a diatonic scale step or a less related key area. Just as V7 can borrow its neighbors from the parallel minor, so too, in tonicizations of major key areas, applied V7 can be embellished in the parallel minor of the subsidiary tonic.

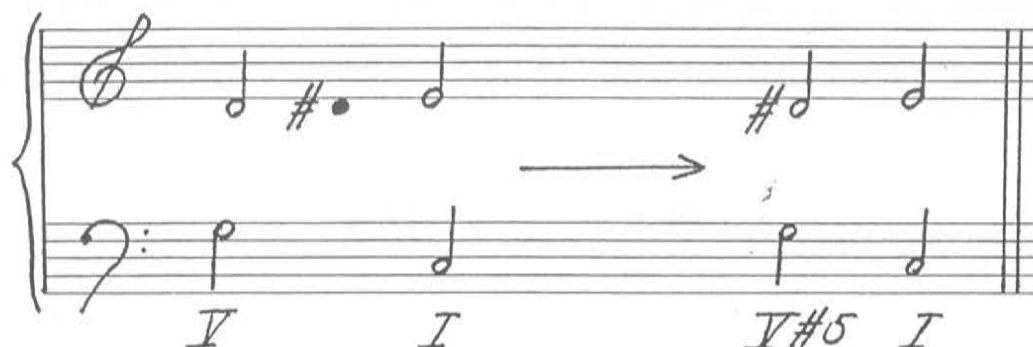
Example 9



Addendum-The Augmented Triad (V#5) and the Augmented 7th Chord (V7#5)

The augmented triad is formed by an elision and subsequent incorporation of a chromatic passing tone as the 5th of the chord.

Example 10



V#5 supports the chromatic lower neighbor of s.d. 3, and cannot structurally participate in the closure of the fundamental line.

Example 11

Example 11 shows a musical sequence in a grand staff. The treble clef staff contains five notes: a half note G4 (fingered 3), a quarter note A#4 (fingered 2), a quarter note B4 (fingered 1), a quarter note C5, and a quarter note B4. The bass clef staff contains five notes: a half note G3, a quarter note A3, a quarter note B3, a quarter note C4, and a quarter note B3. A slur connects the first two notes in the bass staff. Below the staff, the chord symbols are written: I, V#5, I, V, I.

The augmented chord has no meaning in minor. Take care to enharmonically distinguish it from the (a) suspension, and (b) anticipation below.

Example 12

Example 12 shows two musical phrases in a grand staff, both in the key of B-flat major. The first phrase, labeled (a), consists of five notes in the treble staff: G4 (fingered 3), A4 (fingered 2), B4 (fingered 1), C5, and B4. The bass staff has notes G3, A3, B3, C4, and B3. A slur connects the first two notes in the bass staff, with the annotation "10 - (b6) 5" below it. The second phrase, labeled (b), consists of five notes in the treble staff: G4 (fingered 3), A4 (fingered 2), B4 (fingered 1), C5, and B4. The bass staff has notes G3, A3, B3, C4, and B3. A slur connects the last two notes in the bass staff, with the annotation "5 | 10" below it.

II and V#5 can support the neighbor formations of Example 13.

Example 13

Example 13 consists of two parts, (a) and (b), each showing a neighbor formation in a two-staff system (treble and bass clef). In part (a), the treble staff has a triplet of notes (G4, A4, B4) with a slur and a '3' above it, and the bass staff has a triplet of notes (G3, A3, B3) with a slur and a '3' above it. In part (b), the treble staff has a triplet of notes (G4, A4, B4) with a slur and a '3' above it, and the bass staff has a triplet of notes (G3, A3, B3) with a slur and a '3' above it. Below the staves, the chords are labeled: I, II, V#5, I for part (a) and I, II, V#5, I for part (b).

V7#5 contains both components of the double neighbor note formation of Example 13(b) as chord tones. Potentially problematic voice leading arises when this diminished 3rd unfolds as an augmented 6th.

Example 14

Example 14 shows a voice leading problem from V7#5 to I. The treble staff has a triplet of notes (G4, A4, B4) with a slur and a '3' above it. The bass staff has a triplet of notes (G3, A3, B3) with a slur and a '3' above it. Arrows indicate the voice leading from the V7#5 chord to the I chord. The treble staff has a slur over the triplet, and the bass staff has a slur over the triplet. The chords are labeled V7#5 and I below the staves. The word '8ve!' is written above the treble staff, indicating an octave shift.

Example 15-Neighbor Notes

(a) *(b)* *(c)* *(d)* *(b.)*

the chromatic lower neighbor often stands alone

Passing Tones which divide the enharmonically equivalent major 3rds of the augmented triad in half produce the synthetic passing motion known as the "whole-tone scale."

Example 16

This enharmonic equivalence also produces frequent misspellings in the literature.

Example 17

and not

V. Minor Seventh Chords

The diatonic minor seventh chords, III, VI, and II in major, characteristically appear in a sequence of descending fifths. Note the implications for the voice leading. The two treble voices in (b) are an inversion of those in (a).

Example 1

Example 1 shows two systems of chords, (a) and (b), illustrating the sequence of descending fifths for diatonic minor seventh chords in major: III, VI, II, V, I.

System (a) shows the chords in the following order: III, VI, II, V, I. The notes are written in a grand staff (treble and bass clefs). The bass line is a simple descending scale: C4, B3, A3, G3, F3. The treble line consists of two voices: the upper voice is a descending scale (C4, B3, A3, G3, F3) and the lower voice is a descending scale (C4, B3, A3, G3, F3). The notes are grouped by slurs and labeled with Roman numerals III, VI, II, V, I.

System (b) shows the chords in the following order: III, VI, II, V, I. The notes are written in a grand staff. The bass line is a simple descending scale: C4, B3, A3, G3, F3. The treble line consists of two voices: the upper voice is a descending scale (C4, B3, A3, G3, F3) and the lower voice is a descending scale (C4, B3, A3, G3, F3). The notes are grouped by slurs and labeled with Roman numerals III, VI, II, V, I.

The suspensions and stepwise motions afford the player a handsome opportunity for polyphonic improvisation.

Example 2

Example 2 shows two systems of chords, (a) and (b), illustrating the sequence of descending fifths for diatonic minor seventh chords in major: III, VI, II, V, I.

System (a) shows the chords in the following order: III, VI, II, V, I. The notes are written in a grand staff (treble and bass clefs). The bass line is a simple descending scale: C4, B3, A3, G3, F3. The treble line consists of two voices: the upper voice is a descending scale (C4, B3, A3, G3, F3) and the lower voice is a descending scale (C4, B3, A3, G3, F3). The notes are grouped by slurs and labeled with Roman numerals III, VI, II, V, I.

System (b) shows the chords in the following order: III, VI, II, V, I. The notes are written in a grand staff. The bass line is a simple descending scale: C4, B3, A3, G3, F3. The treble line consists of two voices: the upper voice is a descending scale (C4, B3, A3, G3, F3) and the lower voice is a descending scale (C4, B3, A3, G3, F3). The notes are grouped by slurs and labeled with Roman numerals III, VI, II, V, I.

Because III securely supports scale degrees 3 and 5 with an 8ve and a 10th, respectively, it often substitutes for I in the familiar "turnaround" progression, I-VI-II-V-I. The voice leading advantages of the additional descending 5th are clearly seen in Example 1.

VI supports s.d.'s 3 and 5 with a 5th and contrapuntally unstable 7th, respectively. It substitutes for I in the so-called "deceptive cadence," supporting s.d. 3 (as can VImaj7 in minor contexts).

Example 3

Example 3 shows a musical progression on a grand staff (treble and bass clefs). The notes are: C4 (I), F4 (VI), G4 (II), E4 (V), and C4 (I). Above the treble staff, scale degrees 3, 4, 3, 2, and 1 are indicated with arrows pointing to the notes. A slur connects the first four notes (C4, F4, G4, E4). The bass staff shows the following notes: C4, F3, G3, E3, and C3. Roman numerals I, II, V, VI, II, V, and I are written below the bass staff notes. A slur connects the first four bass notes (C4, F3, G3, E3).

II supports the passing tones, s.d.'s 2 and 4, with an 8ve and 10th, respectively. IV in minor generally functions as II of the relative major, III.

Example 4-Neighbor Notes

Example 4-Neighbor Notes shows four musical examples (a, b, c, d) on a grand staff. (a) shows a chromatic lower neighbor: C#4 (lower neighbor) moving to C4 (main note). (b) shows a chromatic upper neighbor: B4 (upper neighbor) moving to C4 (main note). (c) shows a chromatic lower neighbor: B#4 (lower neighbor) moving to C5 (main note). (d) shows a chromatic upper neighbor: Bb4 (upper neighbor) moving to C5 (main note). Handwritten text annotations are present: "the chromatic lower neighbor can stand alone" under (a) and (b), and "the chromatic upper neighbor can stand alone" under (c) and (d).

Diatonic context very often overrides the local tonal orbits of III and VI in the selection of appropriate embellishments, because of their strong affinity with the tonic.

Example 5

as opposed to

(a)

as opposed to

(b)

Diatonic passing motions are common and characteristic.

VI. Half-Diminished Seventh Chords (Ø7's)

II and #VI in Minor

Example 1

(a) $\text{III VI II}\emptyset \text{V I}$

(b) $\text{I } \sharp \text{VI}\emptyset \text{II}\emptyset \text{V I}$

Note the analogy to the voice leading in Chapter V.

Example 1. The treble counterpoint is similarly invertible.

III-#VI-II-V-I is avoided because of the leap of an augmented fourth which would result in the bass.

II supports s.d.'s 2 and 4 with an 8ve and 10th, respectively. It also supports s.d. 6 as an upper neighbor of s.d. 5 with the contrapuntally unstable interval of the diminished 5th.

#VI supports s.d.'s 3 and 5 with a contrapuntally unstable diminished 5th and 7th, respectively.

#IVØ in Major appears as II of III in the applied progression II V of III-III. It is also a chromatic variant of IV in the following progression:

Example 2

$\text{IV IV}_m^6 \text{III VI II V I } \rightarrow \sharp \text{IV}\emptyset \text{IV}_m^6 \text{III etc.}$

Example 3

Example 3 shows a melodic line in treble clef with notes G4, F4, E4, D4, C4, B3, A3. Above the notes are scale degrees: $\hat{3}$, $(\hat{2})$, $(\hat{1})$, $\hat{2}$, $\hat{1}$. A bracket groups the first four notes. Below the treble staff are the corresponding chords in bass clef: $\#IV\emptyset$, $IVm6$, III , VI , II , V , I . The bass line notes are G3, F3, E3, D3, C3, B2, A2.

Note, in Example 3, how the opening supports the embellishing third, s.d.'s 3 (2-1), the true second scale degree entering over II. $IVm6$ breaks up what would have been parallel 7ths between IV and III and makes possible the bracketed melodic analogy.

Example 4-Neighbor Notes

Example 4 illustrates neighbor notes in G major (one sharp). The variations are:

- (a) $\#$ (lower neighbor) and $(b\cdot)$ (upper neighbor), with the note $(b\cdot)$ circled and labeled "or, borrowed from the parallel major".
- (b) $\#$ and $(b\cdot)$ with the note $(b\cdot)$ circled.
- (c) $\#$ and $(bb\cdot)$ with the note $(bb\cdot)$ circled.
- (d) $\#$ and $(b\cdot)$ with the note $(b\cdot)$ circled.

Below the staves, the text reads: "the chromatic lower neighbor can stand alone".

Example 8

The musical notation shows a sequence of four chords in a grand staff (treble and bass clefs). The first chord is *I*. The second and third chords are *IIØ* and *V7*, which are grouped by a bracket and labeled as *of IV min*. The fourth chord is *IVmaj*. Fingerings are indicated for the treble clef notes: 10 for the first note of the second chord, 7 for the second note of the second chord, and 10 for the first note of the fourth chord. The bass clef notes are not numbered.

Since half-diminished seventh chords contain the identical pitches of minor 6th chords built on their 3rds, the player can select pitches which embellish the latter if he so chooses, taking care to fulfill the basic requirements of the voice leading.

VII.. Diminished Seventh Chords (o7's)

#VIIo7 in Minor

Example 1

#VIIo7 functions as a neighbor or passing harmony (i.e., a harmony supporting a melodic neighbor or passing tone).

Example 2

Example 3-Diatonic Passing Tones

Note how the peculiar intervallic content of the chord allows for an enharmonic passing tone between the 7th and the root.

Chromatic passing motions between each of the four enharmonically equivalent 3rds of the chord are common.

The Applied Diminished Seventh Chord

Because the intervals of the diminished 7th and diminished 5th are particularly unstable, the applied diminished seventh chord characteristically embellishes the 5ths and 3rds of diatonic minor chords.

Example 4

Example 4 shows two musical examples, (a) and (b), illustrating the applied diminished seventh chord. Both examples are written in treble and bass staves. In (a), the bass staff shows a chromatic passing tone (Bb to B) under a diminished seventh chord (VII°7) of II, with a similar chord (II) indicated. In (b), the bass staff shows a chromatic passing tone (Bb to B) under a diminished seventh chord (VII°7) of III, with a similar chord (III) indicated.

(Similarly, VI in major and IV in minor.)

It can also embellish tones of diatonically major chords, as if it were borrowed from their parallel minor. (See Chapter IV, Example 9, and Chapter VI, Example 8)

Example 5

Example 5 shows a musical example illustrating the applied diminished seventh chord. The bass staff shows a chromatic passing tone (Bb to B) under a diminished seventh chord (VII°7) of IVmaj, with a similar chord (IVmin) indicated.

(Similarly, III and VI in minor.)

The applied $\#VII\circ 7$ of II often substitutes for VI in the turnaround.

Example 6

Handwritten annotations: (a), 5, (b), 5, 4, 3, (simile)

Chord symbols: I , $\{ \#VII\circ 7 \text{ of } II \}$, II , V , I

The applied $\#VII\circ 7$'s of II and III are part of an attractive space-opening motion in parallel 10ths to s.d. 5.

Example 7

Handwritten annotations: 10, 10, 10, 10, 5

Chord symbols: I , $\{ \#VII\circ 7 \text{ of } II \}$, II , $\{ \#VII\circ 7 \text{ of } III \}$, III or I first inv.

The counterpoint of Example 7 is invertible, yielding a space-opening motion in parallel 6ths to s.d. 3.

Example 8

Example 8 shows a musical progression in a grand staff. The treble clef contains a melodic line with a slur over four measures. The notes are: G4 (quarter), A#4 (quarter), G4 (quarter), and F#4 (quarter). The bass clef contains a figured bass line with notes: G3 (quarter), A3 (quarter), G3 (quarter), and F#3 (quarter). The figures below the bass line are: I, { # VII^o 7 of II } II, { # VII^o 7 of III } I. The first and second inversions of the applied chords are indicated by "1st inv." and "2nd inv." respectively.

Take care to distinguish (a) the applied #VII^o7, first inversion, of III from (b) the applied #VII^o7 of V. (a) is consistently misnotated as (b) in the literature.

Example 9

Example 9 shows two variations of the applied #VII^o7 chord. (a) shows the first inversion of the applied #VII^o7 of III, with a melodic line starting on G4 and a bass line starting on G3. (b) shows the first inversion of the applied #VII^o7 of V, with a melodic line starting on A4 and a bass line starting on G3. The figures below the bass line are: I 2nd inv. and V.

Example 10 presents a typical turnaround progression which makes use of (a).

Example 10

Example 10 shows a sequence of chords in first and second inversion. The notation includes a treble clef and a bass clef. The chords are labeled as follows:

I $\left\{ V7 \circ f IV \right\} IV$ $\left\{ \#VII \circ 7 \circ f III \right\} I$ VI II V I

The first inversion chords are labeled "first inv." and the second inversion chords are labeled "2nd inv.".

The diminished seventh chord often appears as a chromatic neighbor or passing chord. In Example 11, $\circ 7$'s function as (a) lower and (b) upper neighbor chords of $V7$.

Example 11

Example 11 shows two variations of a diminished seventh chord as a neighbor chord. The notation includes a treble clef and a bass clef. The chords are labeled as follows:

(a) $\#VII \circ 7$ (lower neighbor)

(b) $\#VII \circ 7$ (upper neighbor)

Example 11 often embellishes $V7$, second inversion.

Example 12

Example 12 shows two variations of a harmonic progression. Variation (a) features a treble staff with a triplet of eighth notes and a bass staff with a diminished seventh chord. Variation (b) features a treble staff with a fifth-note triplet and a bass staff with a diminished seventh chord. Chord symbols are written below the bass staff.

(a) I $(\text{o}7)$ $V7$ I

(b) I or III $(\text{o}7)$ $V7$ I

The diminished seventh chord of Examples 11 and 12(b) can also substitute for VI in the turnaround.

Example 13

Example 13 shows two variations of a harmonic progression. Variation (a) features a treble staff with a fifth-note triplet and a bass staff with a diminished seventh chord. Variation (b) features a treble staff with a fifth-note triplet and a bass staff with a diminished seventh chord. Chord symbols are written below the bass staff.

(a) I or III $(\text{o}7)$ II V I

(b) I or III $(\text{o}7)$ II V I

Example 14 presents a possible unfoldment of (b)

Example 14

Prefacing each of the enharmonically equivalent 3rds of the diminished seventh chord with lower neighbors of a semitone or upper neighbors of a whole step yields the "octatonic" or "diminished scale."

Example 15

This synthetic scale, like all scales, constitutes a passing motion through a chord, whose tones must obey principles of sound voice leading. (See Chapter IV, Example 16 for a related matter.)

VIII. Concepts and Techniques of Melodic Prolongation

Descending 5ths and the Fundamental Line- Summary of Opportunities for Polyphonic Improvisation

Example 1

Example 1 is a musical score for Soprano 1, Soprano 2, Alto 1, and Alto 2. The score is written in G-clef for Soprano and Alto parts, and F-clef for the Bass part. The key signature is one flat (B-flat). The time signature is 4/4. The score consists of two systems. The first system is marked with a '1' and the second with a '2'. The Soprano parts have a descending 5ths line with notes marked with (a) and (b). The Alto parts have a descending 5ths line with notes marked with (a) and (b). The Bass part has a descending 5ths line with notes marked with (a) and (b). The score includes a fundamental line and a descending 5ths line. The fundamental line is marked with Roman numerals: III 7 VI 7 II 7 V 7 I III 7 VI 7 II 7 V 7 I. The descending 5ths line is marked with (a) and (b).

In order to effect melodic closure of the fundamental line, the descending 5ths must be interrupted and begun again at s.d. 3. The tonic in (a) is often elided. The sopranos' 6ths in (b) are an inversion of their 3rds in (a). Alto 2 doubles Alto 1 at VI and V. This avoids the dull 5-8 counterpoint which would have resulted from her moving in parallel 3rds with Alto 1.

Example 2

Example 2 is a musical score for Alto 2 and Bass. The score is written in G-clef for Alto and F-clef for Bass. The key signature is one flat (B-flat). The time signature is 4/4. The score consists of two systems. The first system is marked with a '1' and the second with a '2'. The Alto part has a descending 5ths line with notes marked with (a) and (b). The Bass part has a descending 5ths line with notes marked with (a) and (b). The score includes a fundamental line and a descending 5ths line. The fundamental line is marked with Roman numerals: III 7 VI 7 II 7 V 7 I III 7 VI 7 II 7 V 7 I. The descending 5ths line is marked with (a) and (b). The text "rather than" is written above the second system.

The most appealing opportunities for polyphonic melody occur between Soprano 1 and Soprano 2, Soprano 1 and Alto 1, Soprano 1 and Alto 2, Soprano 2 and Alto 1, and Alto 1 and Alto 2. The 4ths between Soprano 2 and Alto 2 are less attractive.

The player can also take advantage of the following chromatic passing tones (a) in the soprano voices, and (b) in the altos.

Example 3

(Tones in parentheses are often elided.)

Example 5-Applied II-V Progressions

etc.

$\{II\ V\ of\ VII\ major\} \{II\ V\ of\ II\ major\} \{II\ V\ of\ V\} II\ V\ I$

Note the additional possibility of applied II \emptyset -V progressions, i.e., B \emptyset -E7, E \emptyset -A7, etc.

To avoid the necessity of repeating the 5ths progression, melodic closure often unfolds more rapidly, with s.d. 3 as a passing note.

Example 6

$\hat{5} \quad \hat{4} \quad \hat{3} \quad \hat{2} \quad \hat{1}$

$III\ VI\ II\ V\ I$

Example 6 can then undergo contrapuntal displacement by (a) suspension, and (b) anticipation.

Example 7



To avoid the 8ve and 5th which s.d. 2 forms with II and V, respectively, (a) an inner voice can take its place, and (b) it can simply be elided.

Example 8

Large-Scale Melodic Implications
of Subsidiary Sections and Harmonies

(A) Sections Supporting Tones of the Fundamental Line

In Major

When V appears at the end of a phrase or section, it characteristically supports s.d. 2.

Example 9

Example 9 shows a musical phrase in treble and bass clefs. The treble clef has a melodic line with a slur over the first six notes, a fermata over the seventh, and a final note with a fermata. The bass clef has a harmonic line with notes corresponding to the treble. Roman numerals are written below the bass line: I (IV), {II of V}, VI, {II of IV}, IV, 07, I, VI, II, V. There are also some handwritten annotations like '10', '7', and '10' above the bass line notes.

Note how the descent into the inner voice does not compromise the demands for coherency in the initial register. The bracketed tonicizations of VI and IV provide an opportunity for small-scale melodic analogy.

Scale degree 2 over V can recast a single phrase as half of a bipartite structure. The consequent phrase then regains the lead tone of the fundamental line and effects its closure.

Example 10 contains a similar interruption. The music moves by melodic and harmonic analogy from IV to V, over which s.d. 2 appears.

Example 10

Example 10 shows a musical phrase in treble and bass clefs. The treble clef has a melodic line with a slur over the first three notes, a fermata over the fourth, and a final note with a fermata. The bass clef has a harmonic line with notes corresponding to the treble. Roman numerals are written below the bass line: I, {V of IV}, IV, {V of V}, V, I. There are also some handwritten annotations like '5', '4', and '3' above the treble line notes.

Song bridges in the "key" of V ultimately prolong s.d. 2.

Sections in VI, or its parallel major, can prolong s.d. 3. Sections in III (or bIII, borrowed from the parallel minor) can prolong s.d. 5.

In Minor

Sections in VI can prolong s.d. 3, and sections in III can prolong s.d. 5.

(B) Sections Supporting Diatonic Neighbors

In Major

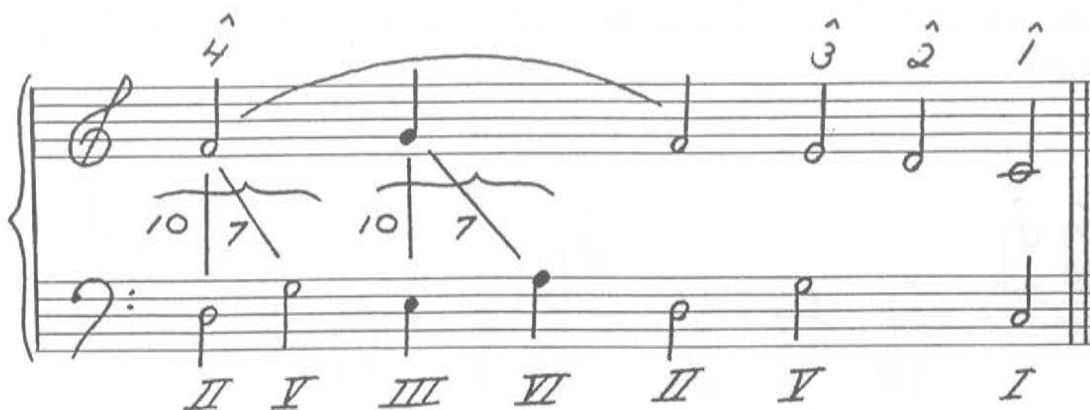
Sections in IV characteristically prolong s.d. 6 as an upper neighbor of s.d. 5. Sections in II commonly prolong s.d. 4 as an upper neighbor of s.d. 3, and, less commonly, s.d. 6.

In Minor

Sections in IV prolong s.d. 6 as an upper neighbor of s.d. 5.

Tag endings prolong diatonic upper neighbors.

Example 11



(Brackets indicate opportunities for melodic analogy.)

This neighbor can be embellished with its own chromatic upper neighbor, creating an opportunity for multiple melodic analogy.

Example 12

Example 12 is a musical score for piano. The melody is written in the right hand, starting with a quarter note G4, followed by a half note F#4, a quarter note E4, and a quarter note D4. The accompaniment in the left hand consists of a series of chords: II, V, m7, dom7, III, VI, II, V, and I. The chords are indicated by Roman numerals below the staff. The melody is marked with a 4-measure rest, and the accompaniment is marked with a 4-measure rest. The key signature is one flat (B-flat major or D minor).

(C) Passages and Sections Supporting Chromatic Neighbors

In the following example, the chromatic lower neighbor of s.d. 3 is reinterpreted enharmonically and prolonged by a playful detour to the tonal area a semitone higher.

Example 13

Example 13 is a musical score for piano. The melody is written in the right hand, starting with a quarter note G4, followed by a half note F#4, a quarter note E4, and a quarter note D4. The accompaniment in the left hand consists of a series of chords: I, VI, II, V, III, and VI. The chords are indicated by Roman numerals below the staff. The melody is marked with a 4-measure rest, and the accompaniment is marked with a 4-measure rest. The key signature is one flat (B-flat major or D minor).

Example 13 (continued)

Reduction

Reduction

Db:

II *V*

I *VI* *II* *V* *III* *VI* *II* *V* *I*

Chromatically inflected tones of the fundamental line are best understood as enharmonic respellings of chromatic neighbors.

Example 14

Example 14 illustrates a chromatic passing tone in the upper voice, supported by the lower voice. The upper voice begins with a half note $\hat{5}$, followed by a half note $\hat{5}^\sharp$ (marked with a sharp and a hat). This is followed by a chromatic descending line: $\hat{4}$, $\hat{3}$, $\hat{2}$, and $\hat{1}$. The lower voice provides harmonic support with chords: $I_{\hat{5}}$, $\{II\ V\ of\ III_{maj}\}$, III_{maj} , III , VI , II , V , and I . The notation includes a treble clef, a bass clef, and a key signature of one sharp (F#).

Similarly, the lowered third scale degree, supported by bVI in major, can function as an enharmonic lower neighbor of the diatonic third scale degree.

(D) Harmonically Supported Chromatic Passing TonesExample 15

Example 15 illustrates a lowered third scale degree supported by bVI in major. The upper voice begins with a half note $\hat{3}$, followed by a half note $b\hat{3}$ (marked with a flat and a hat). This is followed by a chromatic descending line: $\hat{2}$ and $\hat{1}$. The lower voice provides harmonic support with chords: I , $\{II\ V\ of\ bVI\}$, bVI , II , V , and I . The notation includes a treble clef, a bass clef, and a key signature of one flat (Bb).

Example 16

III VI m7 dom7 II V I

(E) Passages and Sections Which Present the Tones of the Fundamental Line as a Structurally Subsidiary Embellishment

These can range from momentary allusions of the soloist to precomposed components of the tune's structure.

Example 17

I {II V of bVII} bVII {II V of bVI} bVI II V I

The Technique of Melodic Displacement

While coherent counterpoint between melody and bass is structurally crucial, its vertical alignment is often approached freely by the soloist. In Example 18, scale degree 2, the passing note of the initial embellishing 3rd, is delayed until measure 4. It "belongs" in measure 2, as the sixth of IVm6. Note also the suspension of the alto's F in measure 5 and its subsequent resolution in measures 7-8.

Example 18.

The musical score is divided into three systems, each consisting of a piano (left) and treble (right) staff.

System 1:

- Treble Staff:** Measures 1-3. Measure 1 has a triplet of eighth notes (G4, A4, B4) with a '3' above. Measure 2 has a descending eighth-note scale (B4, A4, G4, F4, E4, D4). Measure 3 has an ascending eighth-note scale (D4, E4, F4, G4, A4, B4).
- Piano Staff:** Measures 1-3. Measure 1 has a whole note chord (F#4, C#5) with the label *#IV* below. Measure 2 has a whole note chord (D4, F4) with the label *IVm* below. Measure 3 has a whole note chord (B3, D4) with the label *III* below.

System 2:

- Treble Staff:** Measures 4-5. Measure 4 has a descending eighth-note scale (B4, A4, G4, F4, E4, D4). Measure 5 has an ascending eighth-note scale (D4, E4, F4, G4, A4, B4).
- Piano Staff:** Measures 4-5. Measure 4 has a whole note chord (D4, F4) with the label *(07)* below. Measure 5 has a whole note chord (B3, D4) with the label *I* below.

System 3:

- Treble Staff:** Measures 6-7. Measure 6 has a triplet of eighth notes (G4, A4, B4) with a '3' above. Measure 7 has a descending eighth-note scale (B4, A4, G4, F4, E4, D4).
- Piano Staff:** Measures 6-7. Measure 6 has a whole note chord (F#4, C#5) with the label *I* below. Measure 7 has a whole note chord (D4, F4) with the label *I* below.

Reduction:

A section labeled "Reduction" shows a simplified version of the melody. It features a treble staff with a series of notes: G4, A4, B4, A4, G4, F4, E4, D4. Above the notes are fingerings: 3, 2, 1, 2, 1, 1, 1, 1. A dashed line connects the first and last notes. The piano staff below has a series of notes: F#4, C#5, D4, F4, B3, D4, F4, C#5.

Example 19

Handwritten musical score for Example 19, featuring a piano and a bassoon. The score is in common time (C) and consists of five systems. The piano part is in treble clef, and the bassoon part is in bass clef. The score includes various musical notations such as notes, rests, slurs, and dynamic markings. Roman numerals (I, II, III, IV, V, VI, VII) are used to indicate chord positions. The bassoon part has a key signature of one flat (Bb). The piano part has a key signature of one flat (Bb) and a common time signature (C). The score ends with "etc." in the piano part.

System 1: Piano part begins with a quarter note, followed by eighth notes. Bassoon part has a whole note. Roman numeral *I* is written below the bassoon staff.

System 2: Piano part continues with eighth notes. Bassoon part has a whole note. Roman numeral *II of bVII* is written above the bassoon staff.

System 3: Piano part continues with eighth notes. Bassoon part has a whole note. Roman numeral *V of bVII* is written below the bassoon staff.

System 4: Piano part continues with eighth notes. Bassoon part has a whole note. Roman numeral *II of bVI* is written above the bassoon staff. Roman numeral *V of bVI* is written below the bassoon staff. Roman numeral *bVII* is written above the bassoon staff.

System 5: Piano part continues with eighth notes. Bassoon part has a whole note. Roman numeral *III* is written below the bassoon staff. Roman numeral *VI* is written below the bassoon staff. Roman numeral *II* is written below the bassoon staff. Roman numeral *V* is written below the bassoon staff. The piano part ends with "etc."

Example 19 (continued)

Reduction

In example 19, the initial eighth-note upbeat, G, returns as an anticipation in measure 11. Through its insistence, it lends emphasis to the interruption. Also, note the suspension of the alto's Bb in measure 4, and the two measure delay in the appearance of the chromatic passing tone, s.d. b3, which "belongs" in measure 3, as the 3rd of cm7. Finally, note the effective introduction of the initial tone of the fundamental line by means of its emphatic neighbor upbeat and downbeat status (measures 1-2).

Condensation of Harmonic Movement

Example 20

The image shows three systems of handwritten musical notation, likely for piano accompaniment, illustrating harmonic condensation. Each system consists of a treble and bass staff joined by a brace.

- System 1 (labeled (a) in the first measure):** The treble staff contains a melodic line with eighth and sixteenth notes. The bass staff contains a harmonic line with chords. Below the bass staff, the chords are labeled: *I or III*, *VI or bIII or 7*, *II*, and *V*.
- System 2:** The treble staff continues the melodic line, ending with a triplet of eighth notes and the word *etc.* The bass staff continues the harmonic line with the same chord sequence as System 1.
- System 3 (labeled (b) in the first measure):** The treble staff shows a melodic line with a slur over the first two measures and a fermata over the last two. The bass staff continues the harmonic line. Below the bass staff, the chords are labeled: *I*, *V*, *I*, and *V*.

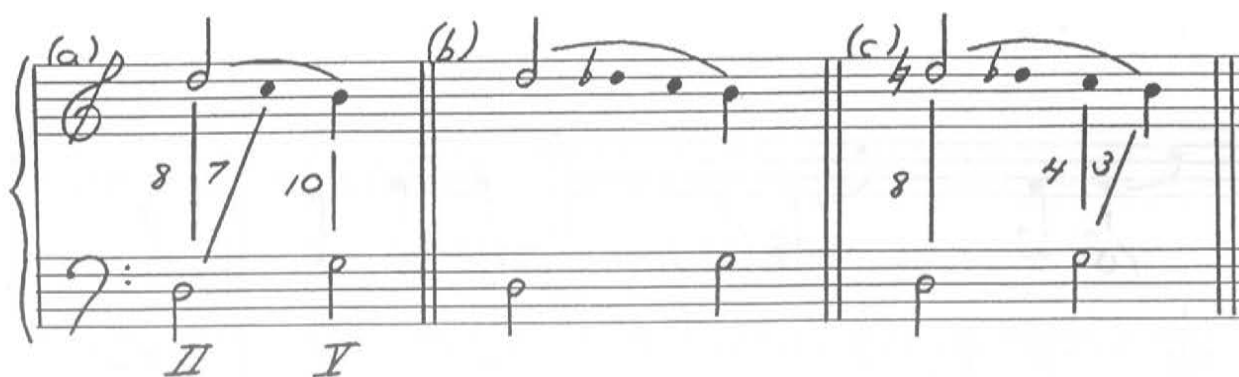
Additional markings include *(simile)* under the first measure of the second system and *etc.* at the end of the second system.

The improviser here interprets the chord changes at (a) in an abbreviated fashion, disregarding the embellishing harmonies.

A Characteristic Prolongation of S.D. 2

The polyphonic connection of Soprano 1 and Alto 1 at s.d. 2 (see Example 1(b) of the present chapter) can introduce a diatonic passing 7th (a), which is then chromatically embellished (b), and conceivably suspended into the subsequent dominant harmony (c).

Example 21



This passing motion can appear (a) in the soprano, (b) in an inner voice, or (c) in the lowermost part.

Example 22



Registral Coherence

The registral integrity of the fundamental line is never compromised. However, it may be hidden below inner voice pedal points projected into a higher register, or subjected to parenthetical registral insertions. In Example 23, its appearance is postponed.

Example 23

Example 23 consists of three systems of musical notation, each with a treble and bass staff. The key signature is one flat (B-flat) and the time signature is 4/4.

System A: The treble staff contains a melodic line with notes G4, A4, B4, C5, B4, A4, G4, F#4, E4, D4. The bass staff contains a bass line with notes G2, F#2, E2, D2, C2, B1, A1, G1, F#1, E1. The treble staff has fingerings (5, 4, 3, 2, 1) and the bass staff has Roman numerals I, II, V, I, II, V, I, II, V, I.

System B: The treble staff contains a melodic line with notes G4, A4, B4, C5, B4, A4, G4, F#4, E4, D4. The bass staff contains a bass line with notes G2, F#2, E2, D2, C2, B1, A1, G1, F#1, E1. The treble staff has a slur over the first four notes and a fingerings (2) under the fifth note. The bass staff has Roman numerals III, 07, IV, II, V.

System A': The treble staff contains a melodic line with notes G4, A4, B4, C5, B4, A4, G4, F#4, E4, D4. The bass staff contains a bass line with notes G2, F#2, E2, D2, C2, B1, A1, G1, F#1, E1. The treble staff has fingerings (5, 4, 3, 2, 1) and the bass staff has Roman numerals I, II, V, I, II, V, I, V, I.

The lower part seems, at first, as if it may very well be the fundamental line, and pursues its melodic closure admirably. However, the appearance of s.d. 2 in the higher register during the bridge creates ambiguity. Only at the very end does it become clear that the fundamental line is in the higher register.

The improviser is constantly creating small-scale prolongations of more fundamental structures. The characteristic embellishments of the composition itself can appear in the solo in fresh and challenging guises. They may even suggest quotes from other musical sources with which they have a structural kinship. Especially interesting are local decorations which reflect a salient feature of the song's construction in some way. A simple and rapidly executed 3-2-1 figure will be far more meaningful if it occurs in the context of a larger improvisatory, or precomposed, structure whose fundamental line is 3-2-1.

The fundamental line need not be thrown into relief in some overt or less than subtle way. Delaying its appearance, or even reference to the register in which it will appear, and polyphonic and registral ambiguity in its actual presentation offer potentially exhilarating aesthetic challenges. However, the clarity of musical discourse demands the ultimate hierarchical triumph of a single register, in which the fundamental line descends by step from a melodically active tone of the tonic triad to close on s.d. 1 over I. Tag endings which effect melodic closure in the next highest register for the purpose of instrumental or vocal display, although a potentially attractive source of local melodic interest, are meaningless structurally.

Registral and polyphonic playfulness are never arbitrary; they must be at least retrospectively referable to the basic musical argument. The opening up of alternate registers and voices creates expectations. Expectations are pleasurable when gratification is delayed but not ultimately denied.

IX. The $bII7$ Chord

Like the augmented triad (see Chapter IV, Example 10), the $bII7$ chord is formed by an elision and subsequent incorporation of a chromatic passing tone (a). This note becomes the root of the new chord (b), and the leading tone is respelled enharmonically (c). (c) is musically inaccurate, but facilitates formation of the applied $bII7$.

Example 1

Example 1 illustrates the formation of the $bII7$ chord through three stages:

- (a) Shows a chromatic passing tone (a) in the bass line, moving from $bVII7$ first inv. to I . An arrow indicates the transition to the next stage.
- (b) Shows the root of the new chord (b) in the bass line, moving from bII to I .
- (c) Shows the leading tone respelled enharmonically (c) in the bass line, moving from bII^{dom7} to I .

$bII7$ often substitutes for $V7$. Its 3rd and 7th are enharmonically equivalent to those of $V7$, and its root drives strongly towards s.d. 1.

Example 2-Neighbor Notes

*the chromatic upper neighbor
can stand alone*

*the chromatic lower and upper neighbors
can stand alone*

(a)

(b)

(c)

(d)

Passing Tones

The chord of bII7, filled in with passing tones derived from its diatonic minor context, yields the ascending melodic minor scale built on that pitch which would be II if bII were V. In other words, if Db7 were V (i.e., in the key of Gb major), abm would be II.

Example 3

Db7: 5th 7th 9th

abmin: root 3rd 5th

In this context, there is no change of inflection when the scale descends. Its use can facilitate note selection for the improviser. (See the closing paragraph of Chapter VI for a related discussion.)

Example 4

(a)

(9-8) (9-8)

II DØ (think fmG) bII D♭7 (think abmin)

(b)

I cmin

In Example 4(a), the chain of minor chords which ascends in 3rds (i.e., fm, abm, and cm), is cast into an attractive relief through analogous prolongations. However, the similarities of the musical surface must not obscure one's sense of the underlying structure (b).

The Applied bII7

The applied bII7 chord can substitute for the applied V7 chord in instances or progressions of descending 5ths, i.e., in any diatonic situation, in major or minor, where an applied dominant could be interpolated.

Example 5 (See Chapter VIII, Example 4.)

Example 5 is a musical score for four voices (Soprano 1, Soprano 2, Alto 1, Alto 2) and piano accompaniment. The score illustrates a diatonic major turnaround and its substitutions. The vocal parts descend in parallel intervals: Soprano 1 in parallel 10ths with the bass, Soprano 2 in parallel 8ves, Alto 1 in parallel 7ths, and Alto 2 in parallel 5ths. The piano part provides harmonic support with chords and intervals marked below the notes. The harmonic analysis at the bottom shows the sequence of chords and their substitutions.

Chords and intervals shown in the score:

- Soprano 1: $\#$ (10), \flat (8), $\#$ (10), \flat (8), etc.
- Soprano 2: \flat (7), \flat (5), \flat (7), \flat (5), etc.
- Alto 1: \flat (7), \flat (5), \flat (7), \flat (5), etc.
- Alto 2: \flat (5), \flat (3), \flat (5), \flat (3), etc.

Harmonic analysis (bottom line):

Similarly \flat $\{V7 \text{ of } VII\} \{bII7 \text{ of } II\} \{V7 \text{ of } V\} bII7 \quad I$

$\{bII7 \text{ of } VII\} \{V7 \text{ of } II\} \{bII7 \text{ of } V\} V7 \quad I$

In Example 5, Soprano 1 descends in parallel 10ths with the bass. Soprano 2, Alto 1, and Alto 2 descend in parallel 8ves, 7ths, and 5ths, respectively, and are best approached less than emphatically.

Example 6 presents the complete diatonic major turnaround and its substitutions. The substitute chord never precedes the parent chord because of its chromatically inflected root.

Example 6

Example 6 is a musical score for piano accompaniment, showing a diatonic major turnaround and its substitutions. The score consists of three staves (treble, alto, and bass clef) with chords and intervals marked below the notes. The harmonic analysis at the bottom shows the sequence of chords and their substitutions.

Chords and intervals shown in the score:

- Treble: \flat (10), \flat (7), \flat (7), \flat (10), etc.
- Alto: \flat (7), \flat (5), \flat (5), \flat (7), etc.
- Bass: \flat (5), \flat (3), \flat (3), \flat (5), etc.

Harmonic analysis (bottom line):

$III \{bII \text{ of } VII\} VII \{bII \text{ of } II\} II \{bII \text{ of } V\} V \quad bII \quad I$

Elision of the parent chords of Example 6 produces Example 7, a series of descending 5ths with familiar voice leading.

Example 7

Example 7 shows a series of descending fifths in three staves. The chords are labeled as $\{bII \text{ of } VII\}$, $\{bII \text{ of } II\}$, $\{bII \text{ of } V\}$, bII , and I . The notation includes figured bass (7, 5, 10, 8, etc.) and a key signature of one flat.

Example 8 adds applied II chords to Example 5. The substitute chords are prefaced by II from the key in which they are V.

Example 8

Example 8 shows a series of descending fifths in three staves. The chords are labeled as $\{II \text{ of } VII\}$, $\{II \text{ of } V\}$, $\{II \text{ of } II\}$, $\{II \text{ of } V\}$, and I . The notation includes figured bass (7, 5, 10, 8, etc.) and a key signature of one sharp.

Similarly

The 'Similarly' section shows a series of descending fifths in three staves. The chords are labeled as $\{(II \text{ of } V)\}$, $\{II \text{ of } II\}$, $\{(II \text{ of } V)\}$, II , V , and I . The notation includes figured bass (7, 5, 10, 8, etc.) and a key signature of one flat.

Example 9 adds applied II chords to Example 7.

Example 9

Example 9 shows a sequence of chords in treble and bass staves. The treble staff contains chords with figured bass: $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$. The bass staff contains chords with figured bass: $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$. The chords are labeled with Roman numerals: $\{ (II \quad V) \}$, $\{ (II \quad V) \}$, $\{ (II \quad V) \}$, $\{ (II \quad V) \}$, $\{ (II \quad V) \}$, $\{ (II \quad V) \}$, $\{ (II \quad V) \}$. The bass staff also includes the label $\flat II$ of $\flat VII$.

Example 10 takes Example 5 and prefaces each dominant 7th with the II of the chord which would have substituted for it, or the II of the chord for which it is substituting (in both cases, the minor 7th chord a semitone higher).

Example 10

Example 10 shows a sequence of chords in treble and bass staves. The treble staff contains chords with figured bass: $\flat 6$, $\sharp 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\sharp 6$, $\flat 6$, $\flat 6$. The bass staff contains chords with figured bass: $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$, $\flat 6$. The chords are labeled with Roman numerals: $m7 \{ V \text{ of } VI \}$, $m7 \{ \flat II \text{ of } II \}$, $m7 \{ V \text{ of } V \}$, $m7 \flat II$, I .

Similarly

The 'Similarly' section shows a sequence of chords in the bass staff. The chords are labeled with Roman numerals: $m7 \{ \flat II \text{ of } VI \}$, $m7 \{ V \text{ of } II \}$, $m7 \{ \flat II \text{ of } V \}$, $m7 \quad V$, I .

The reader may infer additional possibilities from the preceding presentation. Foreground techniques such as displacement and registral variation can do much to obviate the sometimes less than ideal underlying counterpoint.

Concerning the Parallel Minor

Chords on diatonic scale steps borrowed from the parallel minor offer opportunities for colorful note selection. Take care to contextually distinguish them from applied $bII\sharp$ chords substituting for diatonic scale steps. Both occur on $bIII$ and bVI .

Example 11

(a)

I bVI II V I $\{bII \cdot f bVI\}$ $bVII$ II V I

(b)

I VI $\{bII \cdot f V\}$ V I I bVI $\{bII \cdot f V\}$ V I

(c)

I $\{bII \cdot f II\}$ $\{bII \cdot f V\}$ bII I (simile)

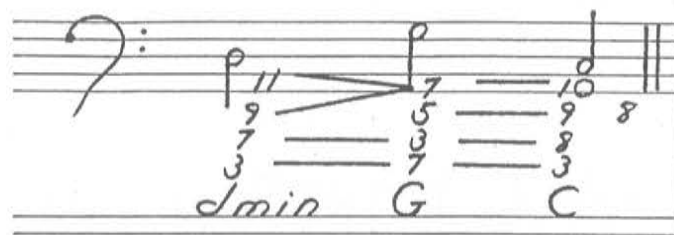
X. Ninths, Elevenths, and Thirteenth

Although traditional jazz theory recognizes the harmonic integrity of the 9th, 11th, #11th, and 13th, they are best understood as melodic phenomena embellishing contrapuntally stable tones of an underlying triad.

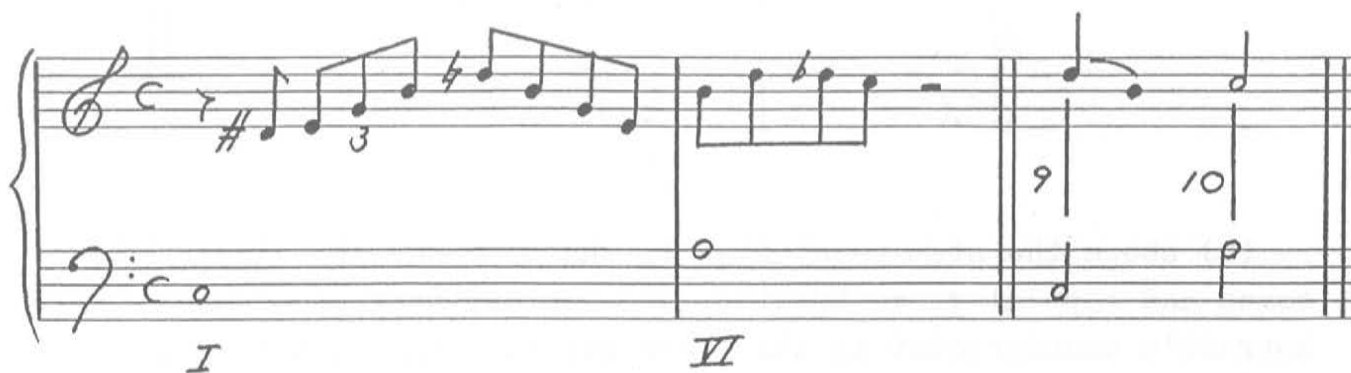
Example 1

(b) shows the step resolution in the soprano, the alto's sound and typical voice leading, and the duplication of the soprano's counterpoint in the lower octave. The latter would then prompt an examination of the musical means with which the improviser has masked the potentially ungainly effect of these parallel 8ves. By way of comparison, what do we learn from the harmonic description "dml1-G13#11-Cmaj9"?

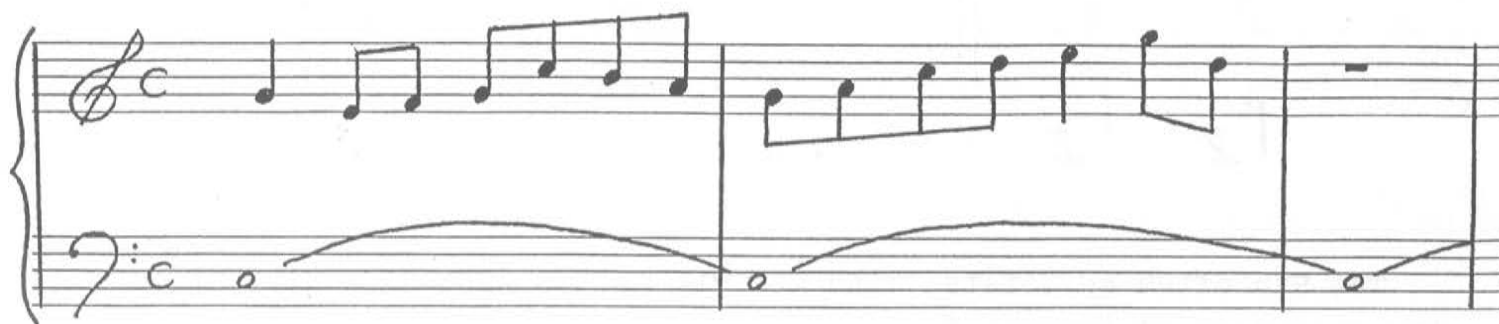
Figuring the chords in the baroque manner, although cumbersome in this particular case, would be preferable.

Example 2Major Ninth Chords

The 9th is often a simple upper neighbor of the 8ve, standing alone or as part of a double neighbor note formation with the leading tone. Like the 6th, improvisers will often leap from it. Close inspection always reveals it to be a contrapuntal dissonance which requires resolution downwards by step, to a consonant tone of the same or subsequent harmony.

Example 3

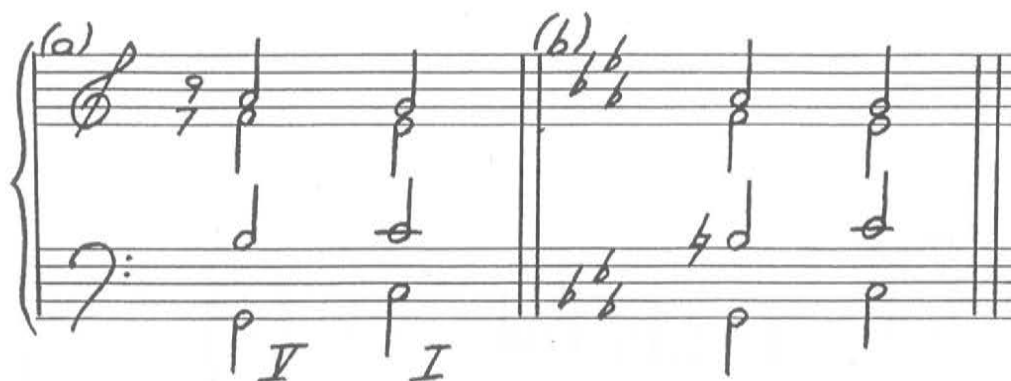
Even when a phrase ends with the 9th as if its resolution had simply been elided, we often find it as the upbeat or some other component of the following phrase, a subtle form of tonal connection which obviates squareness.

Example 4*"Blues"*

V^o of IV
Reduction

$\hat{3} (\hat{2} \hat{1})$ $(\flat \hat{3} \hat{2} \hat{1})$



Dominant Ninth ChordsExample 5

The 9th often associates with the 7th in the unfolding of the polyphony of Example 5.

Example 6

Example 6 shows two systems of melodic lines over a harmonic accompaniment. System (a) is in C major (no sharps or flats) and system (b) is in C minor (no sharps or flats). Both systems show a progression from a dominant ninth chord to a tonic chord. The notation includes treble and bass staves with notes and chord symbols (V and I) below the bass staff.

In Example 7, $bIIIdom9$ supports diatonic s.d. 2, although its appearance is suspended into the tonic harmony. Since the root of the chord is generated by a chromatic passing motion (see Chapter IX, Example 1), the cross-relation of the augmented 8ve is only apparent.

Example 7

Example 7 is a musical score for piano and voice. The piano part consists of two staves. The right hand has a chromatic passing motion in the first measure, followed by a sustained note. The left hand has a sustained note. The voice part consists of two staves. The upper staff has a chromatic passing motion in the first measure, followed by a sustained note. The lower staff has a sustained note. The score is in C major, 4/4 time, and includes chord symbols $bIII9$, I , and $VII7$.

Dominant Thirteenth and 13th#11 Chords

The 13th is often a simple anticipation of the subsequent tonic harmony.

Example 8

Example 8 is a musical score for piano and voice. The piano part consists of two staves. The right hand has a chromatic passing motion in the first measure, followed by a sustained note. The left hand has a sustained note. The voice part consists of two staves. The upper staff has a chromatic passing motion in the first measure, followed by a sustained note. The lower staff has a sustained note. The score is in C major, 4/4 time, and includes chord symbols V , I , V , and I .

Colorful arpeggiations of upper partials always reveal ongoing horizontal coherence. In Example 9, the 7th and 9th resolve characteristically. The #11th and 13th constitute a double neighbor note formation embellishing the 5th, A, the appearance of which is suspended well into the dominant harmony.

Example 9

The musical score for Example 9 consists of three systems, each featuring a piano accompaniment and a vocal line.

- System 1:** The piano part is in the bass clef with a common time signature (C). It begins with a whole note chord labeled *V of V*. The vocal line, in the treble clef, starts with a half note G4, followed by quarter notes A4, B4, and C5, then a half note D5. The final measure shows a triplet of notes (B4, A4, G4) with a sharp sign above the first note, followed by a whole rest.
- System 2:** The piano part continues with a whole note chord labeled *V*. The vocal line continues with a half note D5, followed by quarter notes E5, F5, and G5, then a half note A5. The final measure shows a triplet of notes (G5, F5, E5) with a sharp sign above the first note, followed by a wavy line and the text *etc.*
- System 3:** This system shows a more complex piano accompaniment with multiple staves. The vocal line continues with a half note A5, followed by quarter notes B5, C6, and D6, then a half note E6. The piano part includes various chords and arpeggiations, with some notes marked with fingerings (e.g., 9, 5, 8, 3, 5, 8).

The root, 3rd, and 5th of II are, respectively, the 5th, 7th, and 9th of V. The lower and upper neighbors of its root are the #11th and 13th of V (a). Embellishing II over dominant harmony can facilitate note selection (b). (See Chapter IX, Example 3, for a related discussion.) Underlying requirements of voice leading must be kept in mind. The 3rd and 5th of II require resolution as the 7th and 9th of V (c).

Example 10

Handwritten musical notation for Example 10, showing three parts (a), (b), and (c) illustrating voice leading and chord embellishment.

(a) Shows two measures of music. The first measure features a treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The melody consists of a half note F#4, a quarter note E4, and a quarter note D4. Below the notes are the numbers 8, 5, and 3. The bass clef has a whole note F2. Below the bass clef is the Roman numeral II. The second measure features a treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The melody consists of a half note F#4, a quarter note E4, and a quarter note D4. Below the notes are the numbers 5, 9, and 7. The bass clef has a whole note F2. Below the bass clef is the Roman numeral V.

(b) Shows two measures of music. The first measure features a treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The melody consists of a half note F#4, a quarter note E4, and a quarter note D4. Below the notes are the numbers 8, 5, and 3. The bass clef has a whole note F2. Below the bass clef is the Roman numeral V7 (think II). The second measure features a treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The melody consists of a half note F#4, a quarter note E4, and a quarter note D4. Below the notes are the numbers 5, 9, and 7. The bass clef has a whole note F2. Below the bass clef is the Roman numeral I.

(c) Shows two measures of music. The first measure features a treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The melody consists of a half note F#4, a quarter note E4, and a quarter note D4. Below the notes are the numbers 8, 5, and 3. The bass clef has a whole note F2. Below the bass clef is the Roman numeral V7 (think II). The second measure features a treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The melody consists of a half note F#4, a quarter note E4, and a quarter note D4. Below the notes are the numbers 5, 9, and 7. The bass clef has a whole note F2. Below the bass clef is the Roman numeral I.

Describing the first measure of Example 8(a) as G13 would suggest a similar description for the second harmony of Example 11.

Example 11



One would then naturally ascribe a consistent usage of dominant thirteenth chords to Schubert, Mendelssohn, Chopin, and other early romantic composers, a curious assertion, at best.

Much later, in the music of Debussy, Scriabin, and others, aggregations of stacked thirds and other synthetic intervallic structures came to be considered consonant, and assumed structurally determinant roles in the musical discourse. As a result, contrapuntal conventions, which had previously supported diatonic melodic structure, were seriously disrupted. Beginning in the late 1950's, many serious jazz improvisers also stopped considering the tonic triad their fundamental and inviolate structural principle. Our discussions conclude with the mention of this vast universe of musical possibility.

Postscript

The storyteller chooses his storyline from a finite number of basic human situations. Whether his primary concerns are the events themselves, or his characters' reactions to those events, his narrative thread never snaps.

As a child, he assimilated his grammar with his ears and intuition, and, as an adolescent, through conscious and disciplined study. Constant usage has made it second nature to him in his maturity.

Our storylines concern a few basic tendencies of melody and the underlying triad. If our language skills are sound, our hearts may sometimes speak. Analysis ceases where wonder begins.

