

THE PUBLISHED WORKS OF DAVID N. BAKER

FOR

SOLO SAXOPHONE AND ENSEMBLE

by

MARCUS RICHARD GILLEY

(Under the Direction of Kenneth Fischer)

ABSTRACT

David Baker has contributed significant works to the saxophone literature. A performing artist or an arts organization has commissioned each work. Five of these works are currently published. Baker compositions use a range on traditional and contemporary elements in both the jazz and classical styles of music. The traditional elements include the concerto form, orchestral writing, references to popular jazz works, and improvisation based on jazz harmony. Contemporary elements include improvisation based on extended techniques and chromatic and polytonal harmonic writing. These works require a thorough knowledge of traditional jazz and classical styles as well as contemporary trends in both of these fields. A document examining these works for saxophone will be a valuable aid and resource for performers wishing to approach these compositions.

The organizational format of this document is divided into seven chapters: I “Organizational Plan and Review of Literature,” II “Concerto for Tenor Saxophone and Orchestra (1987),” III “Ellingtones (1987/1988),” IV “Faces of the Blues: a Fantasy for Alto Saxophone and Saxophone Quartet (1988),” V “Alto Saxophone Concerto (1989/2004),” VI

“Parallel Planes (1993),” VII “Conclusions.” The final chapter “Conclusions” contains a summation of conclusions pertaining to the compositions discussed in this document and suggests areas for further study. There is a full Bibliography, a list of the addresses of Baker’s publishers, a Discography of Baker’s works for Saxophone, and a list of other selected compositions by Baker.

INDEX WORDS: Saxophone; David Baker; Concerto; Improvisation; Third Stream; performer’s guide; Concerto for Tenor Saxophone and Orchestra; Ellingtones; Faces of the Blues; Alto Saxophone Concerto; Parallel Planes

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by

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## DEDICATION

This work is dedicated with love to my parents Daryl and Louise Gilley.

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# CHAPTER I

## ORGANIZATIONAL PLAN AND REVIEW OF LITERATURE

### Introduction

David Nathaniel Baker (b. 1931) is Distinguished Professor of Music at the Jacobs School of Music and Chair of the Department of Jazz Studies at Indiana University, Bloomington where he has taught since 1966.<sup>1</sup> Baker has served as the Artistic and Musical Director of the Smithsonian Jazz Masterworks Orchestra since 1991.<sup>2</sup> In 1995, 1996, 2001, 2003, 2004 and 2007 he served as a Juror for the Pulitzer Prize in the Letters, Drama and Music category.<sup>3</sup> His past positions include President and Vice-President of the International Association of Jazz Educators, membership on the National Council on the Arts, board positions for the American Symphony Orchestra League, past Chair of the Jazz Advisory Council to the Kennedy Center and past Chair of the Jazz/Folk/Ethnic Panel of the National Endowment for the Arts.<sup>4</sup> He has received numerous awards for his compositions including: a Pulitzer Prize Nomination for *Levels: A Concerto for Solo Contrabass, Jazz Band, Flute Quartet, Horn Quartet, and String Quartet* (1973), a National Endowment for the Arts Grant, named an Ambassador to the Arts by the National Endowment for the Arts (1995), the American Jazz Master's Award from the National Endowment for the Arts (2000), the James

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<sup>1</sup> Indiana University Jacobs School of Music, "School of Music Publicity," under "David N. Baker," [Info.music.indiana.edu/sb/page/normal/22.html](http://info.music.indiana.edu/sb/page/normal/22.html) (accessed 22 Nov. 2008).

<sup>2</sup> David Baker, "Smithsonian Jazz," [www.smithsonianjazz.org/sjmo/bios/sjmo\\_bios.asp#baker](http://www.smithsonianjazz.org/sjmo/bios/sjmo_bios.asp#baker) (accessed 22 Nov. 2008).

<sup>3</sup> "The Pulitzer Prizes," <http://www.pulitzer.org/> (accessed 22 Nov. 2008).

<sup>4</sup> David Baker, "The Official Website of Dr. David N. Baker," <http://www.davidbakermusic.org/bio.php> (accessed 22 Nov. 2008).

Smithson Bicentennial Medal from the Smithsonian Institution (2002), and the Living Jazz Legend Award from the John F. Kennedy Center for the Performing Arts (2007).<sup>5</sup>

David Baker earned the Bachelor of Music in Music Education in 1953 and the Master of Music in Music Education in 1954 from Indiana University, Bloomington. While at Indiana he studied composition with Bernhard Heiden and Juan-Orrego Salas.<sup>6</sup> In 1959-60 he received the Dizzy Gillespie scholarship to attend the Lenox School of Jazz Summer School,<sup>7</sup> studying jazz theory with George Russell, jazz history with both Marshall Stearns and Gunther Schuller,<sup>8</sup> and trombone with J. J. Johnson and Bob Brookmeyer.<sup>9</sup> Following an accident that left him unable to perform on trombone, Baker studied cello with Leopold Teraspulsky, Helga Winold and Janos Starker,<sup>10</sup> at Indiana, learning the instrument as an adult.

A prolific author, David Baker has written over 60 books, which were among the earliest examples of books on the subject of jazz education. Baker explains:

Then when I got ready to teach, I really needed a book that was a generalized book to teach improvisation. In this particular instance, I liked Jerry [Coker]'s book, but Jerry didn't cover a lot of the things that I felt were germane to what I needed. So I wrote a book. And each time I wrote a new book, my guiding lights were this: number one, either no book existed with that information in it, or [number two] no book existed where that information was all under one cover.<sup>11</sup>

He wrote the forward both for Nathan Davis's *African American Music* and Aaron Horne's *Brass Music of Black Composers* and most recently wrote the introduction to

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<sup>5</sup> David Baker, "The Official Website" (accessed 22 Nov. 2008).

<sup>6</sup> David Baker, "Smithsonian Jazz Masterworks Oral History," interviewed by Lida Baker and James Zimmerman, (Indianapolis, IN 19,20,21 June 2000), "

<sup>7</sup> David N. Baker, "NEA Jazz Masters: Trombonist, Cellist, Composer, Arranger, Educator," interviewed by Molly Murphy (Washington, D.C. 13 Jan. 2007), [www.nea.gov/national/jazz/jmCMS/interview.php?id=2000\\_01](http://www.nea.gov/national/jazz/jmCMS/interview.php?id=2000_01) (accessed 22 Nov. 2008).

<sup>8</sup> Ibid.

<sup>9</sup> Ibid.

<sup>10</sup> David Baker, "Smithsonian Jazz Masterworks Oral History," :49.

<sup>11</sup> Ibid: 139.

Nathan Davis's *Writings in Jazz*, published in 2002. In addition, Baker has contributed articles to popular magazines and academic journals. He has served as editor three works: *The Humanities Through the Black Experience* (1976), *The Black Composer Speaks* (1978), and *New Perspectives in Jazz* (1990).<sup>12</sup>

David Baker's works for saxophone include six concertos for Saxophone: *Concerto for Tenor Saxophone and Orchestra* (1987), *Concerto for Alto Saxophone and Orchestra* (1989/2004), *Ellingtones: A Fantasy for Saxophone and Orchestra* (1987) and an expanded version of the same piece, *Ellingtones: A Fantasy for Saxophone and Orchestra* (1988), *Parallel Planes* (1993), *Concerto for Jazz Alto Saxophone and Orchestra* (2002). Other works for solo saxophone and ensemble include *Faces of the Blues: A Fantasy for Alto Saxophone and Saxophone Quartet* (1988), *Fantasy for Alto Saxophone, Cello Quartet and Solo Percussion* (1977), and *Alto*, date unknown, for solo alto saxophone and jazz ensemble. In addition to these works for soloist, David Baker has written a composition entitled *Duet for Two Alto Saxophones* (1990). He has also composed six pieces for "five saxophones and rhythm section:"<sup>13</sup> *Cahaphi*, *Jeanne Marie at the Picture Show*, *Lerma Samba*, *Lima Beba Samba*, *Padospe* and *R.S.V.P. Mr. Moody*.

While at the Lenox school Baker took composition lessons from both George Russell and Gunther Schuller. Both of these men were architects of the Third Stream style of composition. Schuller defines this style as a combination of the classical and

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<sup>12</sup> David Baker, "The Official Website," <http://www.davidbakermusic.org/publications.php> (accessed 22 Nov. 2008).

<sup>13</sup> David Baker, "The Official Website," [www.davidbakermusic.org/compositions.php](http://www.davidbakermusic.org/compositions.php)

jazz traditions.<sup>14</sup> Baker gradually began to develop his interpretation of the Third Stream style after a period of experimentation with other styles of composition.<sup>15</sup> This compositional style presents many challenges ranging from basic concepts such as, should an orchestra use jazz phrasing, to fundamental ideas, such as the large scale structure of a multi-movement work. How does the composer reconcile the cyclical forms of jazz improvisation with the thematic contrast expected in a large work? Every composer working in the Third Stream style must balance the expectations of each tradition and every composer must find a unique solution.

### Purpose

The purpose of this document is to examine David Baker's published compositions for solo saxophone and ensemble and describe these works for the benefit of the performer. The document discusses background information including dedications and the commissions of the works. The document discusses any consistent stylistic elements in Baker's compositional style. The document is a resource for musicians and scholars interested in the compositions of David N. Baker.

### Need for Study

David N. Baker's works for solo saxophone and ensemble reflect his interest in combining the techniques of Jazz and Classical compositional techniques. Each work was

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<sup>14</sup> Gunther Schuller, *Musings: the Musical Worlds of Gunther Schuller* (New York, New York: Da Capo Press , 1999), 114-120.

<sup>15</sup> David Baker, "Smithsonian Jazz Masterworks Oral History," interviewed by Lida Baker and James Zimmerman, (Indianapolis, IN 19,20,21 June 2000), "

commissioned by an arts organization or saxophonist and each was composed for a specific performer. All of these pieces have been performed.

The *Concerto for Alto Saxophone and Chamber Orchestra*, *Parallel Planes*, *Alto*, and *Duet for Two Alto Saxophones* have been recorded and released. *Ellingtones*, commissioned by the New York Philharmonic Society, has been recorded but has not been released.

David Baker's official webpage includes a list of selected compositions but does not include *Fantasy for Alto Saxophone, Cello Quartet, and Solo Percussion* or the *Concerto for Jazz Alto Saxophone and Orchestra*. It does not list *Alto* in the Compositions section but does list it under recorded works.

A resource that examines Baker's work for saxophones is needed. This document shall provide a resource that describes Baker's compositional style and discusses interpretation.

### Delimitations

There are five published compositions for Solo Saxophone and Ensemble: *Concerto for Tenor Saxophone and Orchestra* (1987), *Ellingtones* (1987/expanded version 1988), *Faces of the Blues: a Fantasy for Alto Saxophone and Saxophone Quartet* (1988), *Concerto for Alto Saxophone and Orchestra* (1989/2004), and *Parallel Planes* (1992).<sup>16</sup> This document examines each of these compositions. Thomas Walsh, Associate Professor of Music and Chair of the Woodwind Department at Indiana University, Bloomington, commissioned *Concerto for Jazz Alto Saxophone and Chamber Orchestra* from David Baker and he premiered this work at the 2004 National Saxophone Alliance conference in Greensboro, NC.

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<sup>16</sup> David Baker, "The Official Website," <http://www.davidbakermusic.org/compositions.php> (accessed 22 Nov. 2008).

This work is not yet published. There are two other works for saxophone. The *Duet for Alto Saxophones* has been recorded. *Fantasy for Alto Saxophone, Cello Quartet, and Solo Percussion* (1977) is not published.

### Sub-problems

This study shall address the following problems:

What are the specific titles, composition dates and publishers of David Baker's saxophone music?

Who commissioned David Baker's works and to whom are they dedicated?

What are the stylistic characteristics of each work?

What specific performance considerations are found in each work?

What is the difficulty level of each work?

Does David Baker have a singular, distinct style that is present in all of his solo saxophone music?

### Definition of Terms

Abridged Sonata Form: This form resembles the Sonata Form. Rather than a development on based on the exposition, the Abridged Sonata Form presents new thematic material.<sup>17</sup>

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<sup>17</sup> "abridged sonata form." In *The Oxford Companion to Music*, edited by Alison Latham. *Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/opr/t114/e21> (accessed July 19, 2009).

Altered scale: Any scale with one or more chromatically altered pitches can be called an altered scale, but after the 1970s the term has taken on a specific meaning. In jazz pedagogy, improvisers associate scales with chords as an aid to learning to improvise, so that a scale is taken as a pool of notes which can be used to improvise a melody that will fit its associated chord.<sup>18</sup>

Altissimo register: All tones above the high F, written fourth space above the treble staff.<sup>19</sup>

Articulation: The action of taking the tongue away from the reed while blowing, allowing the tone to begin.<sup>20</sup>

Bitonality: The simultaneous, superimposed presence of two distinct tonalities.<sup>21</sup> It is a form of polytonality.

Coltrane, John: A tenor and soprano saxophonist who is, along with Charlie Parker, among the most widely imitated jazz saxophonists.<sup>22</sup>

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<sup>18</sup> Steven Strunk. "Altered scale." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J502100> (accessed January 25, 2009).

<sup>19</sup> Rosemary Lang, *Beginning Studies in the Altissimo Register*, (Indianapolis: Lang Music Publications, 1988), 1.

<sup>20</sup> Eugene Rousseau, *Practical Hints on Playing the Alto Saxophone*, (Miami: Warner Bros., 1983), 13.

<sup>21</sup> Arnold Whittall. "Bitonality." In *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com>. (accessed January 8, 2009).

<sup>22</sup> Barry Kernfeld, et al. "Coltrane." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J541800pg1> (accessed December 29, 2008).

Concerto: An instrumental work that maintains contrast between an orchestral ensemble and a smaller group or a solo instrument.<sup>23</sup>

Diminished Scale: See *Octatonic Scale*.

Extended Techniques: Techniques that fall outside the realm of traditional instrumental playing.<sup>24</sup> In this study multiphonics, quartertones and proportional notation may be considered extended techniques.

Fantasy: The fantasy originated as an instrumental work based on a melody that a composer or musician then treat in any fashion. The work is drawn from the imagination of the composer.<sup>25</sup>

Improvisation: The creation of a musical work, or the final form of a musical work, as it is being performed. It may involve the work's immediate composition by its performers, or the elaboration or adjustment of an existing framework, or anything in between.<sup>26</sup>

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<sup>23</sup> Arthur Hutchings, et al. "Concerto." In *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/40737> (accessed December 29, 2008).

<sup>24</sup> John Stephen Bleuel, "A Descriptive Catalog of the Solo and Chamber Saxophone Music of Lucie Robert" (DMA diss., University of Georgia, 1998), 5.

<sup>25</sup> Tim Carter and John Butt, ed., *The Cambridge History of Seventeenth-Century Music*, ed. Tim Carter and John Butt (Cambridge: Cambridge University Press, 2005), 455.

<sup>26</sup> Bruno Nettl, et al. "Improvisation." In *Grove Music Online. Oxford Music Online*, [www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/13738](http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/13738) (accessed 28 November 2008).

Intervallic Improvisation: In intervallic improvisation a soloist extracts triads from the scale a chord is based on, usually in pairs, and improvises uses these triads. It is a way of imposing new tonalities over a written harmony.<sup>27</sup>

Jazz: 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 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.<sup>28</sup>

Jones, Elvin: He is an influential drummer and bandleader who worked with John Coltrane in the 1960's.<sup>29</sup>

Meter: The pattern in which a steady succession of rhythmic pulses is organized also termed time. Most works of Western tonal music are characterized by the regular recurrence of such patterns.<sup>30</sup>

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<sup>27</sup> Walt Weiskopf, *intervallic Improvisation: a Step Beyond Linear Improvisation* (New Albany, IN: Jamey Abersold Jazz, 1995), 3.

<sup>28</sup> Mark Tucker and Travis A. Jackson. "Jazz." In *Grove Music Online. Oxford Music Online*, [www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/4501](http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/4501) (accessed 28 Nov. 2008).

<sup>29</sup> Barry Kernfeld, et al. "Coltrane." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J541800pg1> (accessed December 29, 2008).

<sup>30</sup> Don Randel, *Harvard Dictionary of Music*, (Cambridge, MA: The Belknap Press of Harvard University Press, 1982): 811.

Modal Jazz: A style of Jazz in which modal scales dictate the melodic and harmonic content improvisation.<sup>31</sup>

Multiphonics: Altering the resonance of the air column inside the saxophone so that two or more tones are sounded rather than just one.<sup>32</sup>

Octatonic Scale: A succession of eight notes within an octave in which tones and semitones, or semitones and tones, alternate.<sup>33</sup> Also referred to as the Diminished Scale.

Polyrhythm: The simultaneous use of two or more rhythms that are not readily perceived as deriving from one another or as simple manifestations of the same meter.<sup>34</sup>

Rhythm: Rhythm covers all aspects of musical movement as ordered in time, as opposed to aspects of musical sound conceived as pitch (whether singly or in combination) and timbre (tone color).<sup>35</sup>

Rhythm Section: The percussion, bass, and chordal instruments of a jazz ensemble, typically consisting of drum kit, double bass (always performed pizzicato) or electric bass, and piano

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<sup>31</sup> Barry Kernfeld. "Modal jazz." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J305400> (accessed December 25, 2008).

<sup>32</sup> Ronald Caravan, *Preliminary Exercises and Etudes in Contemporary Techniques for Saxophone*, (Medfield: Dorn, 1980): 20.

<sup>33</sup> Whittall, Arnold. "octatonic scale." In *The Oxford Companion to Music*, edited by Alison Latham. *Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/opr/t114/e4806> (accessed December 28, 2008).

<sup>34</sup> Ibid, 646.

<sup>35</sup> Don Randel, *Harvard Dictionary of Music*, (Cambridge, MA: The Belknap Press of Harvard University Press, 1982): 700.

and/or guitar.<sup>36</sup>

Sonata Form: A sonata form movement consists of three main sections: the exposition, the development, and the recapitulation. The exposition is divided into a first group in the Tonic key and a second group in another key, most often the Dominant key. The development usually develops material from the exposition by changing keys, elaborating upon motifs, etc... The recapitulation restates most of the material from the exposition. The second group is transposed to the tonic key. This form is sometimes referred to as Sonata Allegro Form.<sup>37</sup>

Style: The composer's characteristic usage of form, texture, harmony, melody, rhythm, and ethos.<sup>39</sup>

Swing Style: The swing style is a rhythmic style of uneven eighth notes. Duke Ellington said "swing is an un-mechanical but hard-driving and fluid rhythm over which soloists improvise as they play."<sup>40</sup>

Substitute Chord: A chord that can take the place of another and fulfill the same harmonic function. Substitute chords are often used in Jazz. "Improvisatory substitutions may be used freely by the rhythm section during an improvised solo, while "arranged substitutions"

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<sup>36</sup> "rhythm section." In *The Oxford Companion to Music*, edited by Alison Latham. *Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/opr/t114/e5638> (accessed January 24, 2009).

<sup>37</sup> James Webster. "Sonata form." In *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/26197> (accessed July 19, 2009).

<sup>39</sup> Robert Pascall. "Style." In *Grove Music Online. Oxford Music Online*, [www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/27041](http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/27041) (accessed 26 March 2008).

<sup>40</sup> Robert Walser, ed., *Keeping Time: Readings in Jazz History*, ed. Robert Walser (New York, New York: Oxford University Press, 1999), 109.

disrupt the original harmonic plan to such an extent that the improviser needs to be informed in advance.<sup>41</sup>

Tempo: The speed at which music is performed, i.e., the rate per unit of time of metrical pulses in performance.<sup>42</sup>

Third Stream: a term coined by Gunther Schuller that refers to a type of music that through improvisation or written composition combines the characteristics and techniques of contemporary Western Art Music and other musical traditions.<sup>43</sup>

Twelve Bar Blues: W. C. Handy popularized the common twelve bar blues form. It is a twelve-measure chord progression based on I, IV, and V chords, with an AAB thematic organization. This form is one of the standard chord progressions used for jazz improvisation. There are many variations.

### Methodology

This document is divided into seven chapters: Chapter I *Organizational Plan and Review of Literature*, Chapter II *Concerto for Tenor Saxophone and Orchestra* (1987), Chapter III *Ellingtones* (1987/1988), Chapter IV *Faces of the Blues: a Fantasy for Alto*

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<sup>41</sup> Julian Rushton. "Substitute chord." In *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/27065> (accessed December 28, 2008).

<sup>42</sup> Ibid, 838.

<sup>43</sup> Gunther Schuller. "Third stream." In *Grove Music Online. Oxford Music Online*, [www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/27850](http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu:2048/subscriber/article/grove/music/27850) (accessed 28 November 2008).

*Saxophone and Saxophone Quartet* (1988), Chapter V *Concerto for Alto Saxophone and Orchestra* (1989/2004), Chapter VI *Parallel Planes* (1992), and Chapter VII Conclusions. There is a Bibliography. Appendix A provides the octave designation used in this paper. Appendix B lists the publishers of the works studied. Appendix C is a discography of the works studied in this document. Appendix D is a selected list of other works composed by David Baker.

Each chapter presents the composition in the following manner:

- 1) Year of Composition /Year of Publication
- 2) Commission Information
- 3) Location and date of premiere
- 4) Recordings
- 5) Publisher
- 6) Duration
- 7) Instrumentation
- 8) Tempo markings
- 9) Technical considerations
- 10) Other
- 11) Remarks (description of musical style and performance considerations)

Titles and movement titles shall appear as they appear in the score. The duration of the works shall be taken from the scores if possible, from *A Comprehensive Guide to the*

*Saxophone Repertoire 1844-2003*,<sup>44</sup> or may be determined by the researcher. Publishers for individual works shall appear in appendix B.

### Review of Literature

Biographical information about David Baker is available on “The Official David Baker” website,<sup>45</sup> and a complete biography is available in an interview for the Smithsonian.<sup>46</sup> He has published educational and academic writings and has served as editor for several works. *Brass Music of Black Composers* by Aaron Horne provides information such as date of the premier, dedications, and publishers of some of David Baker’s compositions.<sup>47</sup> Baker's *Modern Concepts in Jazz Improvisation: A Comprehensive Method for all Musicians*<sup>48</sup> was helpful in discussing his compositions for saxophone. It focuses on improvisational ideas based on patterns of fourths, pentatonic scales, and bitonality. The scores of Baker’s compositions refer to these ideas in the solo saxophone improvisations.

Jean-Marie Londeix’s *A Comprehensive Guide to the Saxophone Repertoire 1844-2003* contains information regarding important dates, publication information, movement titles, and length for published saxophone music. Entries are organized by the surname of the composer.

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<sup>44</sup> Jean-Marie Londeix, *A Comprehensive Guide to the Saxophone Repertoire 1844-2003* (Cherry Hill, NJ: Roncorp, 2003).

<sup>45</sup> David Baker “The Official David Baker Website,” [www.davidbakermusic.org](http://www.davidbakermusic.org) (accessed 22 Nov. 2008).

<sup>46</sup> David Baker, “Smithsonian Jazz Masterworks Oral History,” interviewed by Lida Baker and James Zimmerman, (Indianapolis, IN 19,20,21 June 2000), [www.smithsonianjazz.org/oral\\_histories/joh\\_start.asp](http://www.smithsonianjazz.org/oral_histories/joh_start.asp) (accessed 22 Nov. 2008).

<sup>47</sup> Aaron Horne, *Brass Music of Black Composers* (Westport, CT: Greenwood Press, 1996).

<sup>48</sup> David Baker, *Modern Concepts in Jazz Improvisation: A Comprehensive Method for all Musicians* (Van Nuys, CA: Alfred Publishing Company, 1990).

Three doctoral dissertations were examined and influenced the organization of this research. John Bleuel's 1998 dissertation, "A Descriptive Catalogue of the Solo and Chamber Saxophone Music of Lucie Robert," and Jennifer Turpen's 2000 dissertation, "A Descriptive Catalogue of the Solo and Chamber Works for Saxophone by Jindrich Feld," study the saxophone works of an individual composer. This work discusses each document individually including publication information and performance concerns. Aaron Durst's 2008 dissertation, "A Descriptive Catalogue of the Saxophone Works of Robert Lemay," includes detailed examinations of a composer's work.

Charles Rosen's *Sonata Forms*<sup>49</sup> and *Cambridge History of Seventeenth Century Music*<sup>50</sup> edited by Tim Carter and John Butt discuss the origins of classical form and the terminology associated with the study of those forms. *The Concerto* by Stephan D. Lindeman is a helpful research resource.<sup>51</sup>

Allen Forte's *The American Popular Ballad of the Golden Era 1924-1950*<sup>52</sup> examines the harmonic language, the rhythmic structure, and the thematic form of popular forms of music and provided key concepts and a language to discuss the technical details of Baker's compositional style. *Duke Ellington: Jazz Composer*<sup>53</sup> by Ken Rattenbury provided similar assistance in discussing jazz compositions and the style of Duke Ellington. *Musings* by Gunther Schuller<sup>54</sup> examines jazz composition from the point of view of a classically trained composer as well as from the point of view of a person familiar with the vernacular

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<sup>49</sup> Charles Rosen, *Sonata Forms* (New York, New York: W. W. Norton and Company, 1988).

<sup>50</sup> Tim Carter and John Butt, ed., *The Cambridge History of Seventeenth-Century Music*, ed. Tim Carter and John Butt (Cambridge: Cambridge University Press, 2005).

<sup>51</sup> Stephen D. Lindeman, *The Concerto: a Research and Information Guide* (New York, New York: Routledge Music Bibliographies, 2006).

<sup>52</sup> Allen Forte, *The American Popular Ballad of the Golden Era 1924-1950* (Princeton, NJ: Princeton University Press, 1995).

<sup>53</sup> Ken Rattenbury, *Duke Ellington: Jazz Composer* (New Haven, CT: Yale University Press, 1990).

<sup>54</sup> Gunther Schuller, *Musings: the Musical Worlds of Gunther Schuller* (New York, New York: Da Capo Press, 1999).

language of jazz. This work also collects three short articles discussing the origin of the name Third Stream and Schuller's personal definition of that style.

*The Cambridge Companion to Jazz*<sup>55</sup> edited by Mervyn Cooke and David Horn and *The Oxford Companion to Jazz*<sup>56</sup> edited by Bill Kirchner provided background information on jazz styles, Duke Ellington, the Third Stream, and the swing rhythm and many other areas of concern. *The Development of Jazz 1930-1945*<sup>57</sup> by Gunther Schuller provides a discussion of the place of Duke Ellington in the jazz tradition as well as the special concerns faced in dealing with his music such as the treatment of form and improvisation. The work also discusses the concept of "swing."

Several jazz instruction texts provide information relating to the improvisational concerns inherent in Baker's compositional style including: *Intervallic Improvisation: a Step Beyond Linear Improvisation*<sup>58</sup> by Walt Weiskopf and the *Techniques of Improvisation*<sup>59</sup>, *Modern Concepts in Jazz Improvisation*<sup>60</sup>, and *Jazz Pedagogy*<sup>61</sup> by David Baker. *New Perspectives in Jazz*<sup>62</sup> edited by David Baker discusses Third Stream music, among other

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<sup>55</sup> Mervyn Cooke and David Horn, , *The Cambridge Companion to Jazz*, ed. Mervyn Cooke and David Horn (Cambridge: Cambridge University Press, 2002).

<sup>56</sup> Bill Kirchner, ed., *The Oxford Companion to Jazz*, ed. Bill Kirchner (Oxford: Oxford University Press, 2000).

<sup>57</sup> Gunther Schuller, *The Development of Jazz 1930-1945* (New York, New York: Oxford University Press, 1989).

<sup>58</sup> Walt Weiskopf, *Intervallic Improvisation: a Step Beyond Linear Improvisation* (New Albany, IN: Jamey Abersold Jazz, 1995).

<sup>59</sup> David Baker, *The Techniques of Improvisation: Cycles* (Van Nuys, CA: Alfred Publishing Company, 1987).

<sup>60</sup> Baker David, *Modern Concepts in Jazz Improvisation: a Comprehensive Method for all Musicians* (Van Nuys, CA: Alfred Publishing Company, 1990).

<sup>61</sup> David Baker, *Jazz Pedagogy: a Comprehensive Method of Jazz Education for the Teacher and Student* (Van Nuys, CA: Alfred Publishing Company, 1989).

<sup>62</sup> David Baker, ed., *New Perspectives in Jazz*, ed. David Baker (Washington, DC: Smithsonian Institution Press, 1986).

subjects. *The Ellington Reader*<sup>63</sup> edited by Mark Tucker provides discussions about Ellington's music and his orchestra.

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<sup>63</sup> Mark Tucker, ed., *The Ellington Reader*, ed. Mark Tucker (New York, New York: Oxford University Press, 1993).

## CHAPTER II

### CONCERTO FOR TENOR SAX AND ORCHESTRA (1987)

**Year of composition:** 1987.

**Dedication/commission:** Commissioned by Ernie Krivda.

**Location and date of premiere:** 16 January 1988, Drury Theater, Cleveland, OH.

**Recordings:** None.

**Publisher:** Subito Music.

**Duration:** Total: 19'45", I: 6'30", II: 6'30", III: 6'45".

**Instrumentation:** Solo Tenor Saxophone, Jazz Rhythm Section: Piano, Bass, and Drums, and Orchestra 2222, 121, strings, 2 percussion.

**Tempo markings:** I quarter note=176, II. Slow, circa quarter=52, III segue from II, quarter=144.

**Technical considerations:** Soloist and rhythm section must be familiar with a variety of improvisational styles and advanced jazz harmony: pentatonics, fourths, altered scales, etc... Written range in saxophone includes altissimo G.

**Other:** Rhythmically intricate orchestral writing throughout especially as it accompanies the saxophone soloist in the third movement.

In the *Concerto for Tenor Sax and Orchestra*, David Baker combines the classical concerto form with jazz improvisation and includes the use of a jazz rhythm section treated separately from the rest of the orchestra. Each of the three movements shares some of the characteristics of the classical sonata form and also includes jazz improvisation. Every movement will be considered individually according to three concerns: the form, the interaction of solo part and other instruments of the orchestra, and improvisational concerns. Jazz chord notation will be used for the description of improvised areas in order to remain consistent with Baker's notation in the printed music. Roman numeral notation for harmonies will be used where appropriate. All pitches are given in concert pitch unless otherwise noted. Permission to use excerpts from the score were secured from Subito Music.

Michael Drexler refers to the form of the first movement of this piece as a “traditional sonata allegro form.”<sup>64</sup> Though the movement does not satisfy the expectations for a complete sonata form, it does share some of the characteristics associated with the sonata allegro form. The piece begins in C minor. The exposition opens with a repeated eighth note pattern in the woodwinds that is passed to the brass section. Each instrumental section moves in parallel motion. The string section has the first statement of the two-part theme written in unison throughout the section in measures 12-27. The saxophone restates the theme in measures 29-42. In measure 43 the soloist improvises over a static C minor tonality.

Example 1. *Concerto for Tenor Sax and Orchestra*, I pg. 8-11 m. 29-42. The main theme as stated in the saxophone part followed by a transcription.

The image displays a musical score for a saxophone part and its transcription. The top section consists of two staves of handwritten notation for the saxophone, with a 'Solo Saxophone' marking. Below this is a transcription of the same passage, written in a more formal, printed style. The transcription includes dynamic markings such as *mf* and *ff*, and shows the melodic line with various rhythmic values and accidentals. The transcription is written in a single system with multiple staves, showing the melodic line and some accompaniment.

<sup>64</sup> Michael Drexler, “David Baker’s ‘Concerto for Saxophone’ Premiered by Ernie Krivda,” *Saxophone Journal*, Spring 1988, 38-39.

Functioning as transitional material to the second theme this passage features the soloist and jazz rhythm section with accompaniment. The accompaniment begins in the woodwinds, moves to the string section, then moves back to the woodwinds with an increasing rhythmic intensity. The brass section introduces new melodic material accompanied by an ostinato pattern in the piano. First performed in unison by the brass section, this new melody is repeated in four-part imitation before leading to the second theme. Beginning in measure 100 the second theme is a lyrical melody performed by the strings and woodwinds in the key of G. The development, beginning in measure 115, is characterized by quick tempos and alternates between improvised and composed sections. In measure 204 the melodic material that preceded the second theme in the brass is heard again, this time in the string section and again in imitation. There is a false recapitulation in measure 254 where a solo flute performs a short melody related to the second theme. The true recapitulation begins in measure 295 and is introduced by the same eighth note pattern as the opening of the movement, first in the woodwinds then in the brass. The saxophone and the full string section perform the first theme in unison and the movement ends with a multi-measure decrescendo. There is no restatement of the second theme by the orchestra or by the saxophone soloist. The final chord, played by the woodwinds, is marked “as soft as possible.”<sup>65</sup>

Throughout the movement the orchestra often accompanies the soloist. The soloist states the first theme in measure 29. The string accompaniment is rhythmically active, beginning with a half note accompaniment and increasing in intensity to a syncopated quarter and eighth note counterpoint against the theme. Though the theme is written with legato phrase markings, the quarter note pulse remains consistent throughout this section due to the

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<sup>65</sup> David Baker, *Concerto for Tenor Saxophone and Orchestra*, (Verona, NJ: Subito Music, 1987), 81.

rhythmically active, syncopated accompaniment. In measure 43 the beginning of the transitional material to the second theme, the tempo is marked slower (quarter=152) and the meter changes from 4/4 to 3/4. The orchestral accompaniment creates a conflicting sense of meter that the soloist may utilize to his or her advantage through rhythmic variation in performance.

Example 2. *Concerto for Tenor Sax and Orchestra*, I, pg. 11 m. 43-44. This is an excerpt of the accompaniment in the brass and bassoon.

The image shows a musical score excerpt for five instruments: Bassoon II, F Horn, Trpt. I, Trpt. II, and Tromb. The score is written in 3/4 time. The Bassoon II part features a constant eighth-note pattern. The brass instruments (F Horn, Trpt. I, Trpt. II, and Tromb.) play a more complex rhythmic pattern, creating a feeling of conflicting meters. The tempo is marked slower (quarter=152). The score is written in 3/4 time, but the brass section divides these measures evenly, creating a feeling of conflicting meters, 3/4 against 6/8. There is a constant eighth note pattern in the bassoon throughout this section. In measure 51 this accompaniment moves to the strings where the bass and cello sections play the moving eighth note line. In measure 59 the implied 6/8 meter is replaced by a more active sixteenth note scalar pattern. This pattern, written in 3/4, is phrased across the bar line consistently, implying a 5/4 meter. In measure

The jazz rhythm section is marked “easy swing” and should be performed with a standard 3/4 phrasing in the early part of the improvisation. The brass accompaniment creates rhythmic tension. Though still written in 3/4, the brass section divides these measures evenly, creating a feeling of conflicting meters, 3/4 against 6/8. There is a constant eighth note pattern in the bassoon throughout this section. In measure 51 this accompaniment moves to the strings where the bass and cello sections play the moving eighth note line. In measure 59 the implied 6/8 meter is replaced by a more active sixteenth note scalar pattern. This pattern, written in 3/4, is phrased across the bar line consistently, implying a 5/4 meter. In measure

69 the entire the woodwind section begins playing the sixteenth note passages. The bassoons begin playing a repeated, two measure, ascending melodic motive that outlines the static harmony in the ongoing jazz improvisation. The written meter remains in 3/4 throughout the transitional material from the first theme to the second theme. The performer must be aware of the implied meter and increasing rhythmic complexity as the accompaniment moves through different instrumental sections of the orchestra.

At times the orchestral accompaniment is written in the manner of a big band supporting a jazz soloist. An example of this is found in the first movement. In measure 192 the drummer is instructed to play a rim shot on beat 4 of every other measure, in the manner of a big band drummer. Care must be taken in this area to ensure that the orchestra is performing in a correct style. Baker instructs the drummer to “cook ala Elvin,” referring to the drummer Elvin Jones who developed a complex rhythmic style.<sup>66</sup> This area requires a thorough understanding of jazz phrasing from the brass and woodwind sections.

The soloist must be rhythmically and stylistically precise in measures 211 through 229. This area features a unison melody with the cello section. The saxophonist must deal with intonation tendencies and maintain a consistent tone quality because the melody moves through the entire normal range of the saxophone. The meter in this section alternates between 4/4 and 3/4. Accompanying the unison melodic material is a repeated two measure ostinato in the jazz bass and piano. The saxophonist and cello section must phrase together precisely. Baker instructs the jazz drummer to “swing,” implying that the eighth notes throughout in the melody and ostinato should be performed in a swing rhythm style. This same consideration applies to the recapitulation where the saxophone and string sections

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<sup>66</sup> Bill Dobbins, et al. "Jones." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J234300pg3> (accessed May 23, 2009).

repeat the first theme in measure 295. In this area though, Baker requires a traditional classical style, with orchestral percussion and orchestral string writing. This piece calls for a clear delineation in styles, especially in these two areas.

The harmonic language of the solo improvisations deserves special consideration. All tonalities and chords will be discussed in concert pitch. Improvisation in this movement occurs in two large sections. The first area of improvisation takes place during the transitional material from the first theme to the second theme in measures 43 to 76. This area is comprised of a series of static chords. There are eight measures of C minor (notated in the score as C-). Baker intends for the soloist to use the dorian mode rather than the common practice minor scales. The accompanying brass and woodwind figures are all based on this scale (see example 2). Marked “easy swing” in the drum set part, the harmonic character of the improvisation in this area should remain consonant. In measure 51 the harmony changes to F minor (written F-) again using the dorian mode. This lasts for one complete eight measure phrase before changing again. The harmony becomes more complex with the next chord change in measure 59. The chord is an Eb minor major 7 chord. Baker intends for the soloist to use a scale related to the dorian mode but with a major seventh rather than a minor seventh. The string section plays this scale in sixteenth notes in the accompaniment. This is the ascending melodic minor scale, based on Eb, and is closely related to the scale used over the previous F minor tonality, differing by only one note.

Example 3. Scales extracted from *Concerto for Tenor Sax and Orchestra*, I m. 51-59. These scales are implied within the orchestral writing.



This tonality is extended to a 10-measure phrase to accommodate the scalar passages in the string sections, each of which takes five beats to complete. The final tonality of this transitional material is B minor (written B-). Baker uses the dorian mode in the accompaniment until the end of the improvisation in measure 76. The tempo for this section is marked “slower 156,” and the meter is 3/4. Each harmonic area lasts a complete eight measure phrase with the exception of the Eb minor major 7 chord, which lasts for ten measures. The saxophonist should approach this area as a succession of tonalities rather than as a series of chord changes. The soloist must understand each change in tonality for a successful performance.

Improvisation takes a greater role in the development of the first movement from measure 115 through measure 277. Beginning in measure 155 the soloist is given a scale on which to improvise (transposed into Bb in the score).

Example 4. *Concerto for Tenor Sax and Orchestra*, I pg. 29 m. 115-116. This is the scale given to the saxophone and the accompaniment in the jazz rhythm section.

The image shows a handwritten musical score for four instruments: Solid Tenor Saxophone, Piano, Jazz Bass, and Drums. The saxophone part is written on a single staff with a treble clef and a key signature of one sharp (F#). It features a melodic line with a series of notes, including a chromatic descent and an ascending half-note E. The piano part consists of two staves with a grand staff clef, showing a series of chords with perfect fifths in the bass and an augmented fourth in the treble. The jazz bass part is on a single staff with a bass clef, showing a series of chords with perfect fifths in the bass and an augmented fourth in the treble. The drums part is on a single staff with a drum clef, showing a series of rhythmic patterns.

The accompaniment is written out for piano and jazz bass. The bass has a written ascending half-note E and the piano has a series of repeated chords, perfect fifths in the bass and then perfect fifths in the treble with an augmented fourth added to the chord. The combination of this scale and the written accompaniment outlines a chromatic harmony that differs from the modal improvisation just discussed. The chord spelled by the piano and bass accompaniment and the saxophone could be notated as an E7alt. chord. There is an augmented fourth in the accompaniment, implying the use of chromatic harmonic substitution at the level of the augmented fourth, or tritone. The scale Baker writes for the saxophone is constructed of two major-scale fragments, E major and Bb major, separated by the interval of a tritone. This is a common technique in jazz improvisation and the performer should have an understanding of the tonal language Baker uses.

The chromatic improvisational area resolves to an A minor tonality in measure 131 (written A-). Here Baker intends the soloist to improvise over the dorian mode. This mode is reinforced by the accompaniment in the string section. This resolution is not the end of the

development, nor is it the end of the improvised section. It is interesting to note that on a large scale the last three improvisational tonalities have been B minor, E dominant, and A minor. Often referred to as a ii-V-I pattern, this is one of the most common harmonic progressions in jazz. While this progression takes place at a compositional level above auditory perception, it does provide the harmonic foundation for a large part of the first movement of this piece.

The longest improvised area begins in measure 147 and lasts until measure 182. The improvisation sits on a static F dominant minor ninth chord (written F7b9) throughout this section. Measures 147 through 166 are improvised by the soloist and the jazz rhythm section. Baker gives no indication other than chord symbols. As discussed earlier, the drummer is instructed to “cook ala Elvin,” referring to Elvin Jones, the drummer for the John Coltrane Quartet from 1960-1966.<sup>67</sup> This instruction could be taken as an indication of the style of improvisation Baker had in mind, intending the quartet to mimic the Coltrane quartet’s style of modal improvisation. While the harmony does not change, the flattened ninth scale degree does open possibilities for the soloist and the jazz rhythm section. Chromatic notes, substitute tonalities, or intervallic improvisation based on fourths or pentatonic patterns may be used. The jazz quartet has improvisational freedom in this area of the movement.

The remaining improvisational areas are shorter, based on eight measure phrases, and alternate between composed orchestral passages and jazz quartet passages. In measure 192 through 203 the harmony rests on an Ab dominant chord with a minor ninth scale degree (written Ab7b9). As noted earlier, there are big band background accompaniment patterns

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<sup>67</sup> Bill Dobbins, et al. "Jones." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J234300pg3> (accessed May 23, 2009).

in the brass section and the drummer has a rim shot on beat four of every other measure. In measures 230 through 237, the soloist is given a written out C octatonic scale.<sup>68</sup> The saxophone and piano are given a choice of tonalities based on this scale.

Example 5. *Concerto for Tenor Sax and Orchestra*, I pg. 58 m. 229-230. The saxophone and piano are given a scale and their choice of tonalities over a bass ostinato.

The image shows a handwritten musical score for four instruments: Solo Tenor Saxophone, Piano, Jazz Bass, and Drums. The saxophone staff features a handwritten scale: (D7#9 F7#9 G7#9 A7#9). The piano staff has a handwritten scale: (C#F# / Eb7#9 / C#b7#9 / B7#9). The jazz bass staff has a handwritten scale: (F# b7#9 b7#9 b7#9). The drums staff has a handwritten note: 'Dig in'. The score is written on a system of five staves with various musical notations including notes, rests, and dynamic markings.

In measure 233 through 253 the improvised harmony is raised by a step to a D dominant flatted ninth scale degree (written D7b9) and the soloist is instructed to use the “diminished scale.” Finally just before the recapitulation there is a quick alternation between jazz quartet and orchestra. The quartet improvises over an Ab dominant tonality (written Ab7). The improvised areas in this movement can best be described as modal. Baker does not have the soloist move quickly through different key areas, preferring to have the soloist improvise over a series of static key areas.

The form of the second movement is similar to the form of the first movement. It is not a strict sonata allegro form, but it does have some of the same characteristics. Marked

<sup>68</sup> Sometimes called the diminished scale.

“Slow circa quarter = 52,” the exposition begins with a statement of the first theme based on the D dorian scale performed by the solo saxophone. This theme is marked “quasi recitative.”

Example 6. *Concerto for Tenor Saxophone and Orchestra*, II, pg. 1 m. 1 – 6. This is an excerpt of the melody in the saxophone.



As stated in the saxophone part, this five-measure theme is not resolved but comes to a half cadence, marked by a fermata. The theme is continued in the string section at a faster tempo, quarter = 84, and elaborated; it is marked “sempre legato.” The transition to the second theme immediately follows this legato theme in measure 19. It is composed of a repeated dotted quartet motive that moves between the woodwinds and brass and later the jazz rhythm section. This motive becomes an ostinato pattern over which the performer improvises beginning in measure 26. The strings introduce a new melody in measure 40. This theme is treated to four-part imitation and appears immediately before the second theme, echoing the first movement where a theme in imitation in the brass section preceded that movement’s second theme. The second theme appears in measure 49 and is performed in unison by the saxophone and the viola section. This theme is repeated twice, the second time only in the saxophone and with some variation. Beginning in measure 67, the second theme, performed

by the saxophone, is in a duet with a solo cello, which plays an eighth note counter-melody against the second theme's quarter note melody. Ending in measure 74, the second theme is followed by cadential material, leading to a static C dominant harmony. There is an ostinato pattern in the orchestral basses that reinforces this harmonic area. The ostinato continues in the orchestral basses and is played by the jazz bass when the jazz rhythm section enters in measure 90. The soloist improvises on this modal harmony beginning in measure 86 and continuing until measure 102, where the development begins. The development area is based on a series of 12 bar blues forms that move through different keys. It begins in the key of F minor, creating a dominant to tonic resolution from the preceding harmonic area. The development consists of the saxophone soloing with the jazz rhythm section over seven choruses of the twelve bar blues, accompanied by the orchestra from the fifth to the seventh chorus. The solo ends in measure 179. Cadential material, accompanied by the jazz bass and drum set, leads to an orchestral flourish in the woodwinds and strings. Based on the whole tone scale, this passage ends in a fermata over a unison concert A in the bassoons and orchestral basses. The recapitulation begins on beat four of measure 198. Marked "a tempo (quarter = 52) and "very<sup>69</sup> freely," there is one statement of the five measure first theme in the solo saxophone. Following this statement of the theme is melodic material similar to the material from the exposition, leading to a ritard and a fermata. The movement ends with a segue to the third movement.

The second movement of this concerto serves as the slow movement of the work, and refined sense of phrasing from the soloist. The tempo is marked "Slow circa quarter = 52." The theme beginning in measure one is stated in the saxophone and accompanied by static

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<sup>69</sup> In the score "very" is underlined twice, rather than italicized.

chords in the strings. Baker marks the theme “Gently (quasi recitative).” Intonation is a serious concern in the first theme in D minor. Baker emphasizes written (transposed) E 3 in the saxophone and the saxophone comes to rest on D# 3. Both notes are sharp on most tenor saxophones. In measures 49 through 64 the second theme of this movement is stated in unison between the saxophone and the viola section over sustained long tones in the cello and bass sections. The tempo is marked “a little faster quarter = 104.” The soloist and the viola section must match the phrasing and intonation throughout this section of the movement. The second theme is restated in measures 67 through 74 in the saxophone accompanied by a solo cello. There is no other orchestration present during this passage. The second theme is comprised of mostly quarter notes and the cello counter melody is mostly eighth notes. The tempo is marked “quarter = 88 but freely.” Though it is marked freely, the saxophone melody and cello melody are rhythmically complimentary and maintain a consistent eighth note pulse throughout this section. In measure 69 the cello has quarter notes on beats one and two and the saxophone has two beats of eighth notes. A similar musical idea occurs in measure 73. In the saxophone part, this interplay is described as a “soli with cello.” It could be described as a duet with cello. In measure 198, the beginning of the recapitulation, the first theme, in the original key, returns in the solo saxophone part. As in the beginning of the movement the soloist must carefully address the inherent intonation issues found in this theme. The tempo is marked “a tempo (quarter = 52) but very freely.” Accompanied by sustained chords in the strings and a continuous trill in the timpani, the theme can be stated freely in a rubato style.

Though the movement begins and ends with slow statements of the first theme, the middle section of this movement is quick. In measure 102, the beginning of the

development, the tempo is marked quarter = 208. From measure 102 to measure 149 the jazz quartet is featured improvising over four choruses of a modified twelve bar blues chord progression. In F minor, this twelve bar blues progression differs from a standard twelve bar blues in the ninth through twelfth measures. Rather than moving from dominant (C7) to subdominant (Bb minor 7) and then coming to rest on the tonic F minor,

|C7 |Bb7 |Fmin |Fmin |  
 V IV i i

Baker's twelve bar blues substitutes in measure nine a D7#9, in measure 10 an Eb7#9, in measure 11 a G7#9, and in measure 12 a C7#9.

|D7#9 |Eb7#9 |G7#9 |C7#9 |  
 VI bVII II V

Moving through a series of tonalities, these chords suggest a chromatic improvisational approach, rather than a diatonic approach, from the soloist, the pianist, and the bassist.

Following this chorus Baker varies the twelve bar blues progression again. In measure 150 a fifth chorus in F minor begins. This chorus follows a standard chord progression but it is shortened, ending in the ninth measure of the progression where the expected chord is a C dominant seven. The ninth measure instead moves through two harmonies first D7#9 then C#7#9, each lasting two beats. Baker inserts a double bar line, indicating the beginning of a new chorus a half step higher in F# minor and lasting ten measures. The ninth measure of this chorus has an Eb7#9 rather than the expected C dominant and the tenth measure has a D dominant, followed by another double bar. The final chorus of the blues form improvisation, beginning in measure 169, is in G minor and lasts for 10 measures. The ninth and tenth measures are altered in this final chorus as well. In the ninth measure Baker writes an E

dominant, rather than the expected D dominant and in the tenth measure Baker writes an F dominant. Throughout this section, beginning in measure 150, Baker consistently alters the ninth and tenth measure of the blues chord progression. The ninth measure is consistently a dominant chord realized off the major sixth scale degree of the tonality. The tenth measure may be raised or lowered by a half step and in every chorus functions as a dominant chord to the tonic key of the next improvised chorus. Every dominant chord is notated as having a raised ninth implying a chromatic extension of the chord, rather than a diatonic extension.

The third movement of this work is not as clearly related to a specific classical music form. It does have returning melodies and key areas but its composition is more influenced by the procedures of jazz than the other two movements. Beginning with a segue from the second movement, this movement features a free saxophone improvisation accompanied by sustained chords in the basses. Lasting approximately one minute and 15 seconds, the next section begins on cue from the conductor. This section of the work features an ostinato pattern in the jazz bass and a repeated pattern in the brass. These two repeated ideas comprise the accompaniment for the main melody of this movement, played by woodwinds and strings, which appears in measure 23.

Example 7. *Concerto for Tenor Saxophone and Orchestra*, III, pg. 4 m.15-16. This is the repeated figure in the brass.



The image shows a musical score for four brass instruments: F Horn, Trpt. I, Trpt. II, and Tromb. The score is divided into two systems, each containing two measures. The first system shows measures 15 and 16, and the second system shows measures 17 and 18. The notation includes various rhythmic values, accidentals, and dynamic markings. The repeated figure in the brass is a rhythmic pattern of eighth and sixteenth notes, often with a chromatic extension (raised ninth) in the dominant chord.

This melody is an extended lyrical melody in D minor. It ends in measure 43 where the saxophone begins improvising in D minor, the beginning of the transition to a second theme. The jazz bass continues the ostinato pattern throughout this section. The piano plays the bass ostinato in the bass range, and the repeated brass idea in the treble. As the improvisation continues the strings woodwinds play the same repeated brass figure until measure 75 where the woodwinds introduce a two-measure sixteenth note passage. The sixteenth note passage moves to the strings and the performer continues improvising until the pickup to measure 91. Here the saxophone joins the strings and woodwinds in unison. This statement of the sixteenth note phrase ends the transition to the second theme, which begins in measure 98. The second theme, in unison between the saxophone and a solo trumpet, is unique in this piece in that it is unaccompanied by any orchestral instruments.

Example 8. *Concerto for Tenor Sax and Orchestra*, III, pg. 21, m. 98-100. Excerpt of unison melody between saxophone and solo trumpet. Unaccompanied.



Accompaniment by the jazz rhythm section begins in measure 101. This melody is then transferred to the woodwinds where it is developed through fragmentation over an ostinato pattern performed by the jazz rhythm section, the string sections, and the percussion. In

measure 149 a new idea is introduced. It begins with the solo saxophone and jazz rhythm section improvising in 3/4 on chord changes based on the twelve bar blues form. Entering after two full choruses of the twelve bar blues, the orchestra accompanies the improvising saxophone and jazz rhythm section with a repeated one measure figure. This figure moves through the entire orchestra, from high to low instruments, beginning in the woodwinds, moving to the brass, and ending in the strings. There are two more choruses of the blues form each one raised a half step from the last chorus. The orchestral accompaniment both harmonically and rhythmically outlines the twelve bar blues form by emphasizing standard chord changes, avoiding old ideas across chord changes, and maintaining four measure phrases. The accompaniment figures are drawn from previous material, such as the ostinato patterns and the second theme. In measure 245 the improvisation ends and the first theme is recapitulated, introduced by the jazz bass ostinato and repeated brass figure from the beginning of the movement. The strings perform the first theme, accompanied by an ostinato in the jazz bass and the repeated brass figure, without ornamentation or elaboration. This section ends with a short, unaccompanied statement of the jazz bass ostinato. The piece returns to the opening improvisational material in measure 273 with eight measures of sustained strings and harmonically free improvisation in the saxophone and the jazz rhythm section. In measure 280, the main theme from the second movement returns briefly, performed in unison by the saxophone and flutes. The piece ends with the full orchestra sustaining a note, growing from *p* to *fff*, with each instrument playing one note of the D dorian minor scale, so that every scale degree is present simultaneously.

The third movement contains several passages in which the ensemble between the saxophone and other instruments presents some challenges. In measure 90, on beat three, the

saxophone, strings, percussion, and woodwinds play a rapid sixteenth note passage in unison. The final measure of this section is written in the highest normal range for the saxophone and presents a challenging passage for the finger technique of the soloist. In measure 98 to 123 the saxophonist and solo trumpet perform a unison melody. In addition to intonation and phrasing concerns, this section is problematic because there is no accompaniment. Baker has marked this section quarter = 138 to 160, and instructed that “time remains constant.” The saxophonist and solo trumpet are responsible for maintaining a steady pulse throughout this section. Finally, the saxophonist should develop a clear understanding of the complex meter changes throughout this movement. This movement moves quickly through different meters, and the melodic areas are often phrased across these meter changes, rather than outlining them. A soloist in any musical work should understand the meter that they are performing in. Here the changes are subtle, and in this movement they are more common than in the other movements (see Example 7).

Moving from a modal approach to the twelve bar blues form, the saxophone improvisation in this movement encompasses all of the techniques previously used in the other movements. The movement opens with a modal improvisation on the D dorian modal scale. The orchestra moves on cue, and the saxophonist is instructed to improvise for different lengths of time. For thirty seconds the saxophonist should remain close to the expected notes of the mode. For the next thirty seconds the saxophonist is instructed to become “harmonically freer.” This may include super imposed harmonies, chromatic notes not associated with that scale, or patterns that move through different tonalities. Baker does not specify the techniques the soloist should employ. The next area of improvisation, measure 43, uses the same mode, D dorian. Baker instructs the saxophonist to play “loose

harmonically,” again implying super imposed harmonies, substitutions, chromatic notes, or harmonically varied patterns. In measure 47, Baker instructs the improviser to use “fourths, and outgoing pentatonics, etc...” This instruction is repeated in measure 63. Throughout this section, the orchestral accompaniment is a series of repeated, harmonically static, figures. The saxophonist is not harmonically constrained. A new section begins in measure 75 where the woodwinds introduce a sixteenth note figure that has not occurred before in the piece and Baker writes, “freeing up harmonically” in the saxophone part. The woodwind accompaniment consists of patterns of chromatic perfect fourths moving quickly through different harmonies. The strings then play a similar idea consisting of chromatic minor thirds moving quickly through different keys. Within the orchestral writing Baker supplies the improviser with a sense of the harmonic language that he intended. The saxophonist should emphasize patterns of intervals that move freely through different key areas, rather than improvising on diatonic or modal scales. This technique is sometimes referred to as intervallic improvisation.<sup>70</sup> The middle section of the movement, measure 149 through measure 244, is based on the twelve bar blues form. Baker gives no instructions as to the character of the improvisation. The saxophonist is free to improvise in whatever way makes the most musical sense to him or her. The tempo throughout this movement is fast and this section is in 3/4. With this in mind, Baker has doubled the number of measures, creating a 24 bar blues form. Throughout this section the chords are close to standard blues chord changes. The first two choruses are in G. The third chorus is in Ab, and the fourth is in A. The first 8 measures of the third chorus (of the doubled chorus length) alternate between Ab and A natural dominant chords. This alteration accommodates the accompaniment, and

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<sup>70</sup> Walt Weiskopf, *The Modern Sound: Intervallic Improvisation: A Step Beyond Linear Improvisation*, (New Albany, IN: Jamey Aebersold Jazz, Inc., 1995).

provides some variation on the blues form. There is also a substitute chord in measure 214. Where the improviser would expect an F# dominant chord lasting two measures, Baker has written one measure of F#7 and one measure of F7. This leads to an E7 and creates a descending chromatic bass line in the underlying harmony. In the two final measures, where the improviser would expect the chords to remain in Ab he substitutes an E7 chord creating a V – I harmonic motion to the fourth chorus of the twelve bar blues form in A. The fourth chorus of the blues form is close to the expected form except in the last four measures, which move through a common jazz turnaround. Baker substitutes:

A7	C7	B7	Bb7 A7
I	bIII	II	bII - I

At the end of the movement there are eight measures of harmonically free improvisation, based on a diminished scale. Baker has marked the saxophone part “dig in ala Coltrane (not in time).” While the accompanying strings are clearly written in a slow 4/4 and are intended to play the meter strictly, the saxophone and jazz rhythm section should perform without implying any meter. Baker intends the saxophonist to model the character of the improvisation on the John Coltrane ensembles of the late 1960’s. This area should be played at a forte dynamic level, with a certain intensity to the character of the improvisation.<sup>71</sup>

The *Concerto for Tenor Sax and Orchestra* exploits both the classical and jazz traditions. The first two movements share some of the characteristics of the classical sonata form, a returning main theme and compositional development. They also include jazz improvisation. Jazz improvisation relies on a tradition of chord changes, phrasing and procedures, such as modal improvisation and improvisation over the twelve bar blues form.

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<sup>71</sup> One example of this style of improvisation can be found on the recording *One Up, One Down* by the John Coltrane Quartet.

A saxophonist interested in performing this work should have a thorough knowledge of both the classical and jazz musical traditions.

## CHAPTER III

### ELLINGTONES (1987/1988)

**Year of composition:** 1987, revised 1988.

**Dedication/commission:** Commissioned by the New York Philharmonic Association.

**Location and date of premiere:** 4 June 1987, Avery Fisher Hall, New York, NY. With the New York Philharmonic. Dexter Gordon-saxophone, Tommy Flanagan-piano, Ron Carter-bass.

**Recordings:** Unreleased recording on Blue Note Records. Tokyo Philharmonic with Dexter Gordon, solo.

**Publisher:** Subito Music.

**Duration:** Total: 18'30", I: 6'15", II: 4'15", III: 7'30".

**Instrumentation:** Solo Tenor Saxophone, Jazz Piano, Jazz Bass, Orchestra 3333, 433, Strings 2 Percussion.

**Tempo markings:** I quarter note = 160, II quarter note = 104, III quarter note = 160.

**Technical considerations:** The three improvisers, soloist, piano, and bass, must have a working understanding of classical techniques and styles.

**Other:** At the time of this writing licensing agreements have not been settled between the Ellington estate and Subito Music, though Subito Music is actively trying to address this issue. Until this is resolved the work may not be performed.

In his three-movement work *Ellingtones* David Baker combines the compositions of Edward "Duke" Ellington, the solo concerto, and his own compositional work. Three Ellington melodies have a prominent place in this work: I *Caravan*, II *All Too Soon*, and III *It Don't Mean a Thing (if it ain't got that swing)*. Throughout the piece, Baker references Ellington's works. In addition, Baker has composed new melodies that allude to the chromatic harmonic style of Ellington's work. Baker's harmonic language is chromatic and polytonal throughout the piece. The harmonies, over which the soloist improvises, can include standard jazz chord progressions, such as the *I Got Rhythm* progression, modern modal harmonies, and polytonal harmonies. This chapter will examine the work according to three considerations: 1) the large scale form including newly composed melodies, Ellington's melodies, and improvised areas, 2) the interaction of the soloist with members of the ensemble, and 3) improvisational concerns. Because of the on-going licensing negotiations,

there are no excerpts in this chapter. There are some transcriptions of Baker's original material provided. All pitches are given in concert pitch unless otherwise indicated.

The first movement of *Ellingtones* has a loose structure. There is one theme, composed by Baker, that returns at the end of the work. The Ellington composition *Caravan* holds a central place in the work, but that melody is never fully restated. Other themes are related to elements of the main theme but are altered so each melody is unique.

The movement begins with an ascending sixteenth note figure that is based on major scale fragments beginning in E major. It begins in the basses, moves to the cellos, then the violas, and finally to the violins. This figure immediately reverses its direction and descends back through the string section to the basses. In measure 8, the woodwinds play a descending chromatic pattern of sixteenths and eighth notes, beginning in the piccolo and moving instrument by instrument in score order through the section to a sustained, dissonant chord. The chord is made up of each ascending chromatic note between G and C. In measures 17 and 18, the brass play a sustained chord similar to the woodwind chord that is made up of all the chromatic tones except for B and C.

In measure 22 the strings play a rhythmically complex repeated figure that becomes the accompaniment for a series of varied melodic fragments in the winds and brass. It is in F minor and uses the dorian scale with an altered major seventh scale degree. The basses play a sustained F while the cellos and violas play an eighth note arpeggio pattern, and the violins play a scalar sixteenth note figure, ascending for one measure then descending back to the starting note the next. In measure 24, the woodwinds have a two measure melodic fragment and the brass play another chromatic chord similar to that in measure 18. The woodwinds play another melodic fragment in 30, followed by a second chromatic chord in the brass over

a continuous string accompaniment. In measures 57 through 62, the trombones, joined by the trumpets in measure 61, perform a complete statement of the main theme. This melody, composed by Baker, returns at the end of the work.

The solo tenor saxophone enters in measure 63 and performs the first eight measures of *Caravan*<sup>72</sup> in the original key of C minor in unison with the strings. The saxophone improvises in C minor for eight measures followed by another statement of the first four measures of *Caravan* in the brass section. In measure 82, the strings play an ascending diminished scale in eighth notes, and the meter changes from 4/4 to 3/4 while the woodwinds and brass play a sustained chromatic chord; all twelve chromatic pitches are present. The chord lasts for four measures. Baker writes staggered entrances beginning in the piccolo followed by each instrument, descending in score order. The soloist improvises for four measures, 93 through 96. The brass accompaniment continues through measure 107.

The first large improvisational area begins in measure 108. Marked “gentle swing,”<sup>73</sup> the jazz bass and piano play a composed bass line under the solo. This bass line lasts four measures before those instruments begin improvising. The improvisation lasts thirty-two measures. Beginning in measure 120 there are continual accompaniment figures from each section of the orchestra. The brass play a sustained chord in measures 126 and 127 that outlines a D dominant seventh chord with the addition of the ninth and eleventh scale degrees. The strings play a melodic accompaniment in measures 128 through 131. The Baker’s string accompaniment is polytonal. He uses the extension of the dominant chord to augment the written accompaniment. The first measure of the string accompaniment outlines a C major triad but ends on the major third of the D dominant seven chord. The brass play

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<sup>72</sup> Originally composed by Juan Tizol, *Caravan* is associated with the Duke Ellington Orchestra.

<sup>73</sup> David Baker, *Ellingtones Mvt. I* (Verona, NJ: Subito Music, 1988), 27.

another accompaniment figure in measures 132 and 133 that is immediately repeated in the woodwind and string sections in measure 134 and 135. The accompaniment alternates again, brass in measure 136 and 137 and woodwinds alone in measure 138 and 139. The brass repeat the two measure accompaniment figure through measure 142 and this section comes to an end with a fermata over a chromatic chord, a G major triad over an Ab root played by the tuba and a bass trombone.

The saxophone and jazz bass perform an eight-measure duet. Marked “Swing,”<sup>74</sup> the bass plays a pizzicato bass line in half notes. The melody is in the solo saxophone. The piano enters in measure 151, and both the piano and jazz bass play chord changes from this point forward rather than a composed accompaniment. The improvisation lasts seven measures, from measure 151 to measure 157. In measure 158, the full orchestra enters, and the soloist and piano cease playing. In measure 161, the woodwinds and brass rest while the string section plays a transitional figure leading to measure 164. A unison saxophone and xylophone melody follows in measure 164 through 168 where the full orchestra joins in performing the same melody. Measure 169 is marked “slow, legato,”<sup>75</sup> and measure 174 is marked “a tempo, quarter = 160.” The saxophone has a short 5 measure improvisation over a brass accompaniment.

The jazz bass, piano, and solo saxophone perform an improvised passage from measure 182 to 193. The chord changes are based on the *I Got Rhythm* chord progression in Bb, but the progression is extended and ends in measure 193 on an F dominant seventh chord and a fermata. Measure 194 is marked “slow quarter = 88.”<sup>76</sup> Accompanied by arpeggios in

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David Baker, *Ellingtones Mvt. I*, 36.

<sup>75</sup> David Baker, *Ellingtones Mvt. I*, 43.

<sup>76</sup> David Baker, *Ellingtones Mvt. I*, 49.

the woodwinds, the solo saxophone, french horns, and violas play a five-measure melody ending in measure 200.

In measure 200, the brass play an introductory phrase leading to a 39 measure improvised solo in the saxophone. The tempo is marked “half-note = 112,” and the jazz bass is marked “walk.”<sup>77</sup> The brass accompany the saxophone, piano, and bass through measure 212. The soloist, piano, and jazz bass are unaccompanied through measure 220, and the winds play again in measure 221 through 239. The strings enter in measure 233 and play through the end of the section in measure 239.

Measure 240 is marked “Tempo primo, quarter = 160.”<sup>78</sup> The piano and strings play a syncopated ascending bass line accompanied by half-notes in the brass section. In measure 246, the violins and violas perform two measures of *Caravan* before leading to the final section of the piece. This fragment is the only restatement of Ellington’s theme.

In measure 253, the soloist improvises for ten measures accompanied by the cello section playing an arpeggio based accompaniment. In measure 267 the main theme of the work returns, performed in unison by the solo saxophone and the string section. The full orchestra enters immediately following this theme and plays an ascending sixteenth note diminished scale similar to the introduction found in measure 1 of the piece. The scale starts in the basses and bassoons and moves up through each section in score order for two measures and descends back to the starting note ending in measure 274. The movement ends with a sustained chromatic chord in the brass.

The saxophone performs with the instruments of the orchestra in four places in the first movement. In measures 63 through 69, the soloist and the strings perform the melody to

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<sup>77</sup> David Baker, *Ellingtones Mvt. I*, 52.

<sup>78</sup> David Baker, *Ellingtones Mvt. I*, 62.

*Caravan* in unison. The tenor is in D minor (transposed to Bb), and Ellington's melody emphasizes the middle D in the normal range of the instrument. This note has a tendency to play sharp on many models of saxophones. In measures 164 through 172, the saxophone and xylophone perform a melody in unison. The full orchestra begins playing with these two instruments in measure 168 and all are marked *forte*.<sup>79</sup> The conductor must make a decision: either the soloist should be considered a part of the orchestra, or the orchestra should perform at a lower dynamic level than marked. In measures 194 through 199, the soloist, violas, and french horns play in unison, and the saxophone part is marked "melody"<sup>80</sup> in the score. The range does not present any special difficulties for the performer, but the style of performance is a concern. Careful application of vibrato should be utilized so that the soloist's style does not clash with the style of the viola section or french horns, which typically play without vibrato. In measures 267 through 270, the soloist and strings play the main theme in unison. Baker indicates in the score that he prefers the saxophone as the dominant voice; the strings are marked piano and the saxophone is marked mezzo-forte.

In the first movement, there are seven areas that involve improvisation. Five are eleven measures or shorter. Two are substantial at 32 measures and 39 measures each. The shorter sections are discussed first.

In the first short improvisation, measures 69 through 76, the soloist improvises over an F minor chord with orchestral accompaniment. The brass, strings, and woodwinds play a chromatic accompaniment that includes: the minor second (written as a raised root in the first trombone), minor sixth, and major seventh scales degrees. These chromatic notes are not

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<sup>79</sup> David Baker, *Ellingtones Mvt. I*, 43.

<sup>80</sup> David Baker, *Ellingtones Mvt. I*, 49.

passing tones, and they play an important role in the accompaniment. This is a scale extracted from the emphasized notes in Baker's writing:



The accompaniment suggests a chromatic or polytonal style of improvisation. Tonalties suggested by this scale, taken from Baker's written accompaniment, include: F sharp major (treat the Bb enharmonically), Ab Major, and Db Major triads, and F minor, G minor, C minor, and Eb minor triads.<sup>81</sup> In the second short improvisation, measures 151 through 157, the solo saxophone, piano, and jazz bass play the first eight measures of the chord progression to *I Got Rhythm*, one of the standard chord progressions that jazz composers use to compose contrafacts.<sup>82</sup> This improvisational phrase is un-accompanied. In the third short improvisation, measures 175 through 179, the piano, jazz bass, and solo saxophone improvise over a series of chromatic, descending ii-V chord progressions, resolving to an F major chord. Brass accompaniment figures support the improvising instruments. In the fourth short improvisation, measures 182 through 193, piano, jazz bass, and soloist improvise over a chord progression in Ab related to the *I Got Rhythm* chord progression that lasts thirteen measures rather than 8, and the progression modulates to Bb. There is no orchestral accompaniment. In the fifth short improvisation, measures 253 through 262, the cellos and basses accompany the soloist. The cellos play an accompaniment based on an arpeggio and the basses play the root of each chord on the first beat of each measure. The meter changed to 5/4 in measure 253 and the french horns play a melodic accompaniment related to the

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<sup>81</sup> Baker discusses this polytonal technique in his *Modern Concepts in Jazz Improvisation: a Comprehensive Method for all Musicians* (Van Nuys, CA: Alfred Publishing, 1990).

<sup>82</sup> In jazz a newly composed melody over a standard set of chord changes. "Contrafact." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online*. *Oxford Music Online*, <http://www.oxfordmusiconline.com> (accessed June 6, 2009).

melody in measure 24. The saxophone improvises over an F minor chord for four measures, from measure 253 to 256, and Baker has specified a hexatonic scale for the soloist to use. In measure 257, the Baker changes the chord to Db minor, but the scale remains the same as in the previous four measures. This scale implies multiple tonalities; the soloist could play an F minor or F major triad, an A minor or major triad, or a Db minor or major triad.

Example 9. *Ellingtones*, I, pg. 66, m. 257. This is a transcription of the scale given to the soloist written in concert pitch.



Beginning in measure 260, the chord changes to Bb minor and the scale is transposed to fit that chord.

There are two large areas of improvisation in the first movement. The first area of improvisation, measures 108 through 139, moves through several key areas. The first chord, an E dominant seventh with a sustained scale degree fourth, lasts until measure 120. The piano and jazz bass are marked “gentle swing”<sup>83</sup> and perform a composed accompaniment for the first four measures before they begin to improvise with the saxophone in measure 112. There is no orchestral accompaniment. The jazz bass plays an arpeggio pattern that outlines the written harmony. The piano alternates between two major triads, the first is based off of the dominant seventh of the chord D, and the second chord is based on the root E. Each chord lasts one measure. Baker’s accompaniment and the suspended fourth in the chord

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<sup>83</sup> David Baker, *Ellingtones Mvt. I*, 27.

suggest a polytonal improvisational style. In measure 120, the chord changes to a D dominant seventh with a sustained fourth. The piano plays a chord that includes all the notes of the Lydian mode, based on D, in thirds. The basses play a composed bass line that outlines the harmony, and the violas and violins play a melodic fragment based on the melody first heard in measure 24. The composed accompaniment in this area emphasizes the root and major third of the harmony. The chord changes again in measure 132 to C minor. The brass play a short melodic accompaniment based on the dorian mode in D. This melodic idea is repeated in measures 134 and 135 by the woodwinds and strings. In measure 135, the violins add the fourth and the sixth scale degrees to the triadic harmony. In measure 137, the chord in the improvisation changes to D/Eb for one measure, moves back to C minor, and then alternates one more time in a similar manner. The wind accompaniment plays diatonic triads through each chord change during the last 4 measures of the improvisation, giving the soloist the option to improvise chromatically, polytonally, or diatonically.

The second large improvisational section lasts from measure 201 through 239. Consisting of sustained chords, the brass accompaniment, beginning in measure 212, adds the sixth and ninth scale degrees to the written harmony. The accompaniment is diatonic through this section. The piano enters in measure 213. Here Baker writes a G dominant seven chord over a D bass. The written harmony in the bass and saxophone remains D minor. The soloist may improvise in several ways; the bass note in all instruments is D, so the soloist may: 1) continue using the D dorian scale, 2) treat this as a chord change to a G dominant, or 3) the soloist may treat this chord as a polytonal chord. If treating this area as a polytonal chord, the soloist may play, G major, F major, and C major triads in addition to D minor. There is no orchestral accompaniment to limit the harmonic language. The soloist

may improvise in any manner deemed appropriate. In measures 221 through 231, the chords change back to C minor, and the accompaniment in the woodwinds is based on the dorian mode. In measure 232 the improvised harmony changes to a chromatic chord, an Ab dominant seventh with a raised fourth. The accompaniment in the brass and woodwinds is based on a scalar pattern that emphasizes the raised fourth scale degree. The violins play an eighth note ascending scale beginning on Ab and including a raised fourth scale degree. The soloist may use this scale as the basis for improvisation through the end of this improvised area, measure 239.

The second movement, *Waltz*, is in an ABA form and includes improvised solos between each thematic area. The A theme, composed by Baker, is in 3/4 and is performed by the violins, accompanied by the rest of the string section. The tempo is marked “quarter = 104.”<sup>84</sup> The basses play root position dotted half notes underneath eighth note arpeggio patterns played by the violas and second violins. The first violins perform an eighteen measure chromatic melody that begins in the key of C major and ends in F major. The rhythm of the melody is half note followed by quarter note without variation. The theme ends in measure 18 followed by a transitional chord in the violins and violas in measure 19. In measure 20, the woodwinds and celeste enter and the A theme is transposed a fifth up beginning in G major. The theme is unaltered and lasts 19 measures. The basses play root movements and the upper strings play descending eighth note scalar patterns. In measure 39, the piano, jazz bass, and soloist enter playing an improvised passage that lasts until measure 77. The strings, woodwinds, and french horns accompany the improvising instruments through measure 64. The woodwinds continue through measure 72 and the strings re-enter in

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<sup>84</sup> David Baker, *Ellingtones Mvt. II*, 1.

measure 73 continuing to the end of the improvised section in measure 77. The meter changes from 3/4 to 12/8 in measure 78, and the tempo is marked “dotted half = dotted quarter, circa about 208.”<sup>85</sup> This is a four-measure introduction to the B theme of the work, which begins in measure 82. The soloist performs the B theme *All Too Soon*,<sup>86</sup> an Ellington composition, accompanied by the string section, piano, jazz bass, and percussion. The accompaniment, in 12/8, consists of continuous eighth notes with dotted quarters in the jazz bass and orchestral basses. The brass section repeats the melody beginning in measure 90. This repetition is marked “(legato) laid back ‘Basie’ feel.”<sup>87</sup> The strings play a tied dotted quarter accompaniment rhythm. The soloist, piano, and jazz bass improvise beginning in measure 90. In measure 97 the brass and strings finish the melody and accompaniment, and the improvising instruments continue to a fermata in measure 104. The A theme, in the key of C, returns in measure 105 played by the soloist. The string accompaniment is similar to that played under the second statement of the theme beginning in measure 20<sup>88</sup>. The piano improvises over the jazz bass, which plays a composed bass line. The movement ends on a G major chord played by the string section with the solo saxophone and piano.

The soloist performs a composed theme with the orchestra twice in the second movement. In measure 82, the soloist performs the B theme, *All Too Soon*. The orchestral accompaniment, written in 12/8, plays continuous eighth notes. The solo saxophone part is written in 4/4. The soloist should approach this melody with a “swing” eighth note style rather than with even eighth notes to match the triple division of the beat in the orchestral

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<sup>85</sup> David Baker, *Ellingtones Mvt. II*, 20.

<sup>86</sup> Recorded in 1940.

<sup>87</sup> David Baker, *Ellingtones Mvt. II*, 23.

<sup>88</sup> The second statement of the A theme was transposed up a fifth to G.

writing. In the second area, in measure 105, the soloist plays the second restatement of the A theme accompanied by the strings and piano. There are no unique difficulties in this area.

There are two areas of improvisation in this movement, one between each thematic section. The first improvised area, in 3/4, begins in measure 39 and lasts until measure 77. The chord progression is a series of chromatic ii-V root movements. The progression is not related to a standard chord progression; it is newly composed. The roots of the chords in the first eight measure move through all twelve chromatic notes, beginning in measure 39 in Eb major and ending on an A major chord in measure 47. In the first eight measures the harmonic rhythm alternates between one chord per measure and two chords per measure. In measure 47 this harmonic rhythm is altered. Here it changes one chord per measure with few exceptions. From measure 47 through measure 64 the chord progression root movements are chromatic, often moving by tri-tone and half step, and there are fewer ii-V chord progressions. This area is a series of tonalities reached through chromatic movement. The strings and horns accompany the improvising instruments from measure 39 through measure 64 with chromatic figures that emphasize the fifth of each chord. Beginning in measure 65 the improvising instruments play unaccompanied for eight measures. The strings enter in measure 73 with a similar accompaniment figure to that heard in measure 39. This improvisational area ends in measure 77 on a C major chord.

The second improvised section in 4/4 begins in measure 90 during the restatement of the B theme, heard in the brass section. The saxophone, piano, and jazz bass perform over a chord progression based on the original “Duke” Ellington recording of *All Too Soon*. The first eight measures of the improvised solos follow Ellington’s chord progression. In

measure 96, the progression is altered, as it was in the original recording. The new progression is two measures long, each chord lasting two beats.

||:Db Bbm | Ebm Ab7:||  
I vi ii V

In the original recording, this was a feature solo for tenor saxophonist Ben Webster.<sup>89</sup> This chord progression is repeated until the solo ends in measure 103. The style of improvisation should match the implied historical context; Baker does not add chromatic extensions to the chords, and the trumpet melody is performed in a “Basie” style.<sup>90</sup>

The third movement, titled *Passacaglia (It Don't Mean a Thing)*, combines newly composed melodic material with the melody from Ellington's composition *It Don't Mean a Thing (if it ain't got that swing)*. The movement is an ABA form though the last A section does not repeat the thematic material exactly. The A section is based on Ellington's original chord progression. Here Baker treats the root movement of the chord progression from *It Don't Mean a Thing* as a repeating passacaglia bass line. There are two themes Ellington's *It Don't Mean a Thing* and an original theme by Baker. The B section is based on the introductory chord progression from the original Ellington recording. The Final A section uses the same chord progression as the first A, but it is Baker's melody that is stated again. The piece begins with a Bb pedal tone in the orchestral basses. The rest of the orchestra moves through many different keys before the movement stabilizes in the key of G minor, the original key of *It Don't Mean a Thing*. The first sixteen measures of the piece are a variation of the repeated syncopated rhythmic pattern from *It Don't Mean A Thing*, performed twice as fast as it occurs in the song itself and repeated continuously.

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<sup>89</sup> Stanley Crouch, "Crouch on Ben Webster," in *The Duke Ellington Reader*, ed. Mark Tucker, (New York, New York: Oxford University Press, 1993), 495.

<sup>90</sup> David Baker, *Ellingtones Mvt. II*, 23.

Example 10. *Ellingtones*, III, pg. 1, m. 1-2. This is a transcription of the rhythm written in the orchestra.



The tempo is marked “quarter = 160,”<sup>91</sup> and this rhythmic fragment is performed on a Bb across the instruments of the orchestra in different octaves, beginning with muted trumpets and moving through the wind section. The violins, violas, and cellos play a sixteenth note scalar accompaniment beginning in measure 5, which moves through a series of tonalities over a sustained Bb in the basses. The solo saxophone and jazz bass enter in measure 25; the saxophone performs the melody from *It Don't Mean a Thing*, and the jazz bass performs the associated descending chromatic bass line. The upper strings continue to play sixteenth note figures throughout this section, and the winds continue to play the rhythmic fragment until measure 24, lasting through the first eight measures of the Ellington melody. The melody is repeated in the solo saxophone beginning in measure 25 with a string accompaniment continuing in a similar style. The orchestral basses double the jazz bass and play the descending chromatic bass line.

Example 11. *Ellingtones*, III, pg. 7-8, m. 25-32. This is a transcription of Ellington's bass line used by Baker.



<sup>91</sup> David Baker, *Ellingtones Mvt. III*, 1.

This thematic area ends in measure 33.

In the next section the meter changes from 4/4 to 3/4, and there is a three-measure string interlude before the main theme begins in the brass, measures 37 through 44. Marked “quarter = eighth (half time),”<sup>92</sup> this is an original melody, composed by Baker, over the same chromatic bass line as *It Don't Mean a Thing*. This theme is followed by a through-composed melody, played by the strings and the woodwinds and composed over the same bass line. Marked “quarter = 76, dolce,”<sup>93</sup> this eighth note melody ends in measure 61. The first large improvised solo performed by the soloist, piano, and jazz bass begins in measure 61 accompanied by the flutes, which repeat the descending bass line heard previously. The harmonic rhythm is lengthened so that each root is played for an entire 3/4 measure rather than for two beats as in Ellington's composition, expanding each phrase to a length of sixteen measures. The soloist improvises over two complete phrases of this chord progression; the final progression ends in measure 92. The woodwinds accompany the the improvising instruments in the first sixteen measures, playing the root of each chord in dotted half-notes. In the second sixteen measures of improvisation the string section replaces the woodwinds, and plays a more rhythmically active accompaniment of moving quarter notes. The orchestral basses continue to play the chromatic bass line in dotted half notes. This chord progression ends in measure 92, followed in measures 93 and 94 by a cadence in which each instrument plays a concert G with no harmonization.

The next improvised area begins immediately in C major, creating a V- I root motion from the previous chord. The meter changes to 4/4. The solo saxophone, piano, and jazz

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<sup>92</sup> David Baker, *Ellingtones Mvt. III*, 10.

<sup>93</sup> David Baker, *Ellingtones Mvt. III*, 12.

bass improvise over a new chord progression based on the eight measure introduction on the original 1932 recording of by the Duke Ellington Orchestra.<sup>94</sup>

||:C7 |Bb7 |Ab7 |G7 :||  
I        bVII   bVI   V

This progression is repeated ten times from measure 95 to measure 134. The brass and woodwinds accompany the improvising instruments in the manner of a big band. The accompaniment figure is marked in the score to be performed with a “swing feel.”<sup>95</sup>

Example 12. *Ellingtones*, III, pg. 31-32, m. 123-125. This is a transcription of the rhythm of the accompaniment figures in the orchestra.



This rhythmic figure moves between the brass and woodwinds from measure 95 through measure 101. Here the string section enters with a scalar eighth note accompaniment lasting four measures. The previous rhythmic figure returns in the french horns in measure 107 and is present continuously, moving through different instruments in the orchestra until measure 125. In measure 127, the trumpets and trombones perform the syncopated rhythm from Ellington’s melody using plunger mutes. The strings follow performing the melody to *It Don’t Mean a Thing* as an accompaniment to the improvisation beginning in measure 137. Baker alters the accompaniment, writing Ellington’s melody in continuous triplet quarter.

This syncopated fragment reverts to the original form in measure 143. In measure 144, the

<sup>94</sup> Duke Ellington and his Orchestra, *It Don't Mean a Thing (if it ain't got that swing)*, comps. Duke Ellington, BR 6265, 1932.,

<sup>95</sup> David Baker, *Ellingtones Mvt. III*, 24.

improvisation ends and the full orchestra enters leading to a cadence on an A major chord in measure 148.

The pianist improvises a sixteen-measure solo over chromatically altered major chords in the style of “Duke” Ellington beginning in measure 149 and lasting until measure 164. In measure 149, Baker instructs the pianist to “improvise (rhapsodic) scales, arpeggios, two hand runs, etc...”<sup>96</sup> The solo piano is accompanied by the strings and woodwinds, which play eighth note arpeggio figures until measure 164. In measure 165, the woodwinds exit and the saxophone begins improvising , lasting until measure 214. The piano and jazz bass play a composed accompaniment and the strings sustain tied whole notes spelling a G minor chord. As the improvisation nears the end, more instruments join the piano and jazz bass. The brass enter in measure 179 followed by the woodwinds in measure 193. In measure 206, the brass and woodwinds cease playing. The strings become gradually more rhythmically active, with syncopated half notes in 207 and sixteenth notes in 211. The strings are directed to *crescendo* leading to measure 215.

In measure 215, the second theme, first played by the brass in measure 37, returns accompanied by the descending chromatic bass line from Ellington’s *It Don’t Mean a Thing*. The full orchestra performs the melody twice without alteration ending in measure 230. In measure 231, Baker specifies that the soloist improvise for fifteen seconds. The orchestra returns on cue in measure 233 playing an ascending G minor arpeggio in the woodwinds and brass and ascending scale in the strings. The final chord is a G minor seven chord with both a natural fifth and a chromatically lowered fifth.

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<sup>96</sup> David Baker, *Ellingtones Mvt. III*, 38. One exmple of this type of improvisation may be found on the recording of *Ko-ko*, by Duke Ellington and his Orchestra, BA 208, 1940.

The large-scale form of this movement could be considered an ABA form based on the harmonic progressions. The A section lasts from measure 1 through measure 92 and is based on the chord progression of the first eight measures of *It Don't Mean a Thing*. The B section starts in measure 95 and lasts until measure 148. The piano solo beginning in measure 149 and the following saxophone solo beginning in measure 165 serve as transitional material before the return to the A theme, which begins in measure 215. The thematic organization is problematic because Ellington's melody *It Don't Mean a Thing* is only heard at the beginning of the piece, though this composition does provide the harmonic framework for the A section. The only melody that returns is Baker's melody first heard in measure 37 performed by the brass section.

The solo saxophone does not interact with any orchestral instruments in a critical way in this movement. When performing the melody to the *It Don't Mean a Thing*, the orchestra accompanies the saxophone, but Baker has written the orchestra in a subordinate manner. Care should be taken to insure that the melody may be heard above the accompaniment. The rest of the movement is made up of large improvisatory sections that feature the saxophone, piano, and jazz bass.

There are three large areas of improvisation in this movement that feature the saxophone; the first begins in measure 61 and lasts until measure 92. The harmonic language in this improvised area is altered from the original Ellington chord progression. The root movement is based on that of the Ellington composition, but the chords have been altered so to descend chromatically. Baker notates this:

I GMaj I F#7 I F7 I E7 I EbMaj I D7#9 I G7 I G7 I

The meter is 3/4 in this section, and Baker has altered the harmonic rhythm so that each chord lasts a whole measure. The progression continues for another eight measures as Ellington originally composed it and the entire progression is repeated for a total of two choruses of improvisation based on this progression. The treatment of this chord progression is similar to that of the first eight measures accompanying Johnny Hodges's<sup>97</sup> solo on the original 1932 recording.<sup>98</sup> The second large improvisatory area begins in measure 95 over a chord progression based on the eight-measure introduction heard on the original 1932 recording. Baker writes:

||:C7 |Bb7 |Ab7 |G7 :||

This progression is repeated ten times. On what would be the eleventh repeat, the progression is altered beginning in measure 137 so that the improvisation cadences on a G dominant seventh chord with a flatted ninth scale degree. The harmonic language of the written G dominant chord and of that found in the accompaniment is based on the Lydian mode. The third large area of improvisation begins in measure 165. The chord progression is unique in this movement. It is fourteen measures long, and it is not related to the original Ellington chord progression.

||:Gm |Gm |Gm |Gm |Cm |Cm |D7 Eb7| E7 Eb7-D7|  
|Gm |Gm |Gm |Gm |C7 Db7| Eb7 D7 :||

This progression is repeated three times. It is not altered though the use of chromatic extensions. There is a fifteen second cadenza where Baker has written out the scale to be used in measures 231 and 232.

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<sup>97</sup> Johnny Hodges was a well-known member of the Duke Ellington Orchestra.

<sup>98</sup> Duke Ellington and his Orchestra, *It Don't Mean a Thing (if it ain't got that swing)*, comps. Duke Ellington, BR 6265, 1932.

Example 13. *Ellingtones*, III, pg. 58, m. 231-232. This is a transcription of the scale given to the soloist written in concert pitch.



The orchestral basses accompany this chromatically altered scale with a sustained D.

*Ellingtones* features some of the melodies associated with the Duke Ellington Orchestra, *Caravan*, *All Too Soon*, and *It Don't Mean a Thing (if it ain't got that swing)*, and David Baker's own compositional style. The first movement references the melody from *Caravan* as well as original melodies. It includes minimal improvisation from the saxophone. Though related to Ellington's style of composition, Baker's writing employs more chromaticism and polytonal harmonic writing. The second movement opens with a chromatic melody composed by Baker followed by Ellington's *All Too Soon*. The third movement uses the chord progression to *It Don't Mean a Thing (if it ain't got that swing)* as the repeated bass line of the passacaglia. Baker bases his treatment of this chord progression on Ellington's original recording. This movement features the most substantial improvisation of the work and serves as a fitting finale for the piece.

## CHAPTER IV

### FACES OF THE BLUE: A FANTASY FOR SOLO ALTO SAXPHONE AND SAXOPHONE QUARTET (1988)

**Year of composition:** 1988.

**Dedication/commission:** Commissioned by Frank Bongiorno.

**Location and date of premier:** Kawasaki, Japan. World Saxophone Congress IX. August 1988.

**Recordings:** Frank Bongiorno. *Classic Saxophone, vol. 2: Musica da Camera*. Liscio Recordings. LCD-09193. 1992. Zagreb Saxophone Quartet w/ Eugene Rousseau. *Tsunagari*. Liscio Recordings. 2002.

**Publisher:** Lauren Keiser Music.

**Duration:** Total: 8'45".

**Instrumentation:** Solo Alto Saxophone and Saxophone Quartet, SATB.

**Tempo markings:** One Movement. Slow Introduction: quarter note= 76, Double time: quarter note= 208.

**Technical considerations:** The work uses the full range in all saxophones and is rhythmically and harmonically complex.

**Other:** The piece requires knowledge of the twelve bar blues progression in multiple keys. The saxophone quartet must be able to play in both a jazz and in a classical style. The rhythmic language is challenging throughout, especially at letter N where the low voices are written in the specified meter against the Solo Alto and Soprano which divide the dotted half-note into 4 even notes.

*Faces of the Blues: a Fantasy for Solo Alto Saxophone and Saxophone Quartet* was commissioned by Frank Bongiorno and completed by Baker on July 3, 1988. This single movement work features a solo alto saxophone accompanied by saxophone quartet (SATB). In this work Baker expects the soloist to improvise in a jazz style. He has also composed sections that feature chromatic writing and rhythmic complexity. The chapter will discuss three areas of concern: the form, the interaction of soloist and ensemble, and improvisational elements. All pitches are given in concert pitch unless otherwise noted.

This piece begins in the key of F and consists of fifteen choruses based on the blues progression. Each chorus varies both harmonically and in its compositional style. There is a

large-scale structure consisting of two melodies that return throughout the piece. Beginning with four measures of introductory material, marked *rubato*, the first blues progression begins in measure 5, marked “quarter = 76.” Featuring the baritone and tenor saxophones, the first chorus features many of the ideas Baker uses throughout this piece. An eighth note bass line in the tenor and baritone outline a blues progression. In measures 8, 12, and 16 the upper voices, soloist, soprano, and alto perform an idea similar to the introductory material. Measures 13 and 14 are rhythmically complex, moving from quarter note triplets against eighth notes in the baritone to an exposed sixteenth note passage based on a diminished scale, which moves from instrument to instrument.

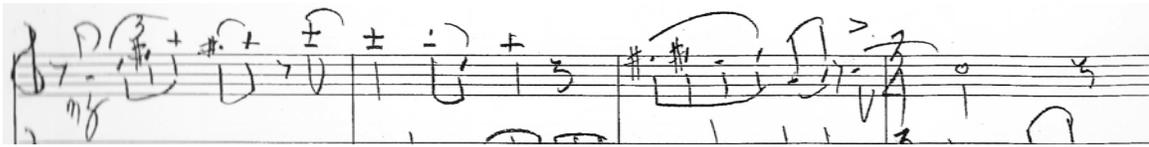
Example 14. *Faces of the Blues*, pg. 1, m. 13 – 15. This is an example of Baker’s rhythmically complex writing. Used by permission. © Copyright [1988], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a handwritten musical score for four measures, numbered 13 through 16. The score is written on five staves. The notation is highly complex and rhythmic, featuring numerous triplets, sixteenth notes, and other intricate rhythmic patterns. The notes are often grouped with brackets and slurs, and there are many accidentals (sharps and naturals) scattered throughout. The handwriting is dense and somewhat chaotic, reflecting the 'rhythmically complex' nature of the piece mentioned in the text. The measures are clearly delineated by vertical bar lines, and the measure numbers are written at the bottom of each staff.

The first theme begins in measure 19, the beginning of the second chorus of the blues progression. Baker treats the soloist as a member of the ensemble, creating a quintet and gives the soprano the main melody line. The third chorus of the blues progression begins in

measure 23 where the previous melody is repeated, this time in the solo part with accompaniment by the full quartet. This is one of the unifying themes of the piece and it will return at the end of the work.

Example 15. *Faces of the Blues*, pg. 3, m. 36-39. This excerpt is taken from the first theme in the solo alto part. Used by permission. © Copyright [1988], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



In measure 44, the fourth blues chorus, the piece modulates to a C blues progression. This is the first improvised chorus for the soloist. This blues progression is twelve measures long and is repeated, creating two improvised choruses. The accompanying bass line in the baritone saxophone is similar to a boogie-woogie<sup>99</sup> bass line. The fifth blues chorus, in the key of F#, begins in measure 68 and consists of a composed area for the soloist that mimics the character of an improvised solo. This is transitional material leading to the sixth chorus, which begins in measure 88 at a slower tempo, marked “Slow quarter = 58<sup>100</sup>.” This chorus contains the second theme of the piece and features the soprano and tenor in octaves over a baritone accompaniment.

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<sup>99</sup> A boogie-woogie style is characterized by use of a blues chord progression and a repetitive bass line, usually in eighth notes. Paul Oliver. "Boogie-woogie." In *Grove Music Online*. *Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/03553> (accessed July 19, 2009).

<sup>100</sup> Baker, *Faces of the Blues*, pg. 5.

Example 16. *Faces of the Blues*, pg. 5, m. 88-91. This is an excerpt of the second theme, played by the soprano and tenor, accompanied by the baritone saxophone. Used by permission. © Copyright [1988], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The end of the second theme, in measure 101, is marked by a *caesura*. Measure 102, the seventh chorus, contains a single improvised chorus of the blues progression in D minor over a sixteenth note accompaniment. The tempo is marked “faster quarter = 94<sup>101</sup>” and the soloist is instructed to “use space and long tones.”<sup>102</sup> A new idea is introduced in measure 118, the eighth chorus, where the ensemble is treated as a quintet rather than as soloist and accompaniment. The tempo is marked “eighth = quarter, double time.”<sup>103</sup> This theme is characterized by a unison eighth note melody and chromatic harmonization in Bb minor. The next ninth chorus of the blues progression begins in measure 130. It is an improvised chorus featuring the soloist in E minor. The tempo is consistent with the previous chorus. The length of the chorus has been doubled to 24 measures to account for the quick tempo<sup>104</sup>,

<sup>101</sup> David Baker, pg. 6.

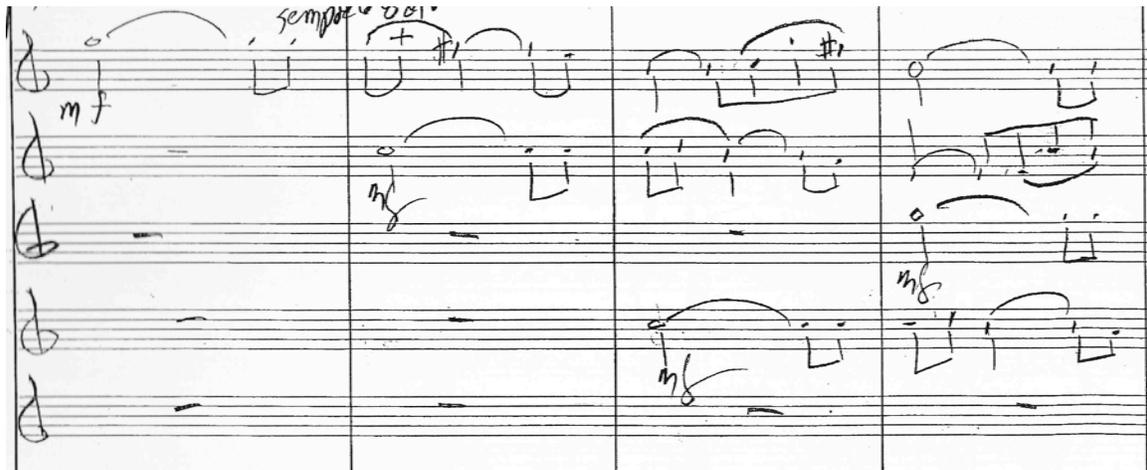
<sup>102</sup> Ibid.

<sup>103</sup> David Baker, pg. 7.

<sup>104</sup> Quick when compared to previous improvised choruses.

each chord change lasting twice as long. The accompaniment is rhythmically simple in a block style of writing with soprano, alto, and tenor grouped over sustained tones in the baritone. The tenth blues progression, beginning in measure 154, is an exact repetition of the previous chorus, lowered a half step to Eb minor, followed immediately by six measures of transitional material. Marked “gradual ritardando,”<sup>105</sup> and written in block chords, this transitional material leads to a restatement of the second, theme in five part imitation. All parts begin on Bb.

Example 17. *Faces of the Blues*, pg. 11, m. 180 – 183. This is an excerpt of the second theme in imitation; note that each new voice enters on concert Bb. Used by permission. © Copyright [1988], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



In the eleventh chorus, measure 194, Baker introduces a new melody in the solo saxophone with a rhythmically complex accompaniment. The meter in this area alternates between 5/4 and 6/4. The baritone outlines each change in meter and the soprano, alto, and tenor, written in block chords, provide a rhythmic counterpoint to the baritone.

<sup>105</sup> David Baker, pg. 11.

Example 18. *Faces of the Blues*, pg. 12, m. 194 – 195. The accompaniment outlines the meter throughout in this excerpt. Used by permission. © Copyright [1988], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



The twelfth chorus of the blues progression, measure includes an improvised progression for the soloist in C. This chorus is repeated without variation using repeat signs. The accompaniment is related to the introductory material that begins the piece. The baritone, tenor, and alto saxophones play whole notes, while the soprano plays a moving accompaniment figure in eighth notes. Baker continues to alternate between 5/4 and 6/4 throughout this chorus. The thirteenth chorus, measure 230, is the most rhythmically complex chorus in the piece. He continues alternating between 5/4 and 6/4. The baritone, tenor, and alto saxophones play an accompaniment similar to that in measures 194 through 205, The baritone outlines the alternating meters, 5/4 and 6/4, and the tenor and alto provide a syncopated rhythmic counter-point. The solo alto saxophone and the soprano have a

rhythmically independent melodic line consisting of four eighth-notes in the space of six, and then moving to 8 sixteenth-notes in the space of 6 eighths. The solo alto and soprano play identical rhythms throughout this chorus. Baker also employs a chromatic harmonic language.

Example 19. *Faces of the Blues*, pg. 14, m. 233 – 236. The solo alto and soprano are paired against the baritone, tenor, and alto. The low instruments define the meter while the upper instruments play outside the meter. Notice the chromatic writing in the solo alto and soprano. Used by permission. © Copyright [1988], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



In measure 242, the fourteenth chorus, Baker writes for the ensemble as a quintet rather than soloist and accompaniment. The first two measures of the blues progression in C feature block chord writing in the manner of a big band shout chorus,<sup>106</sup> a climactic moment featuring the entire ensemble. Following this are two measures of unison triplets in block writing. Finishing the chorus are four measures of triplets. In the last four measures of this

<sup>106</sup> "Shout." In *The New Grove Dictionary of Jazz*, 2nd ed., edited by Barry Kernfeld. *Grove Music Online*. *Oxford Music Online*, <http://www.oxfordmusiconline.com.proxy-remote.galib.uga.edu/subscriber/article/grove/music/J408400> (accessed May 31, 2009).

chorus the triplets move from a unison melody to a harmonized one. In measure 254 the fifteenth and final chorus of the piece begins with a return to the main theme, in F minor, after one measure of silence. The solo alto and soprano are in unison over an eighth note bass line in the baritone and a quarter note accompaniment in the tenor and alto. In the tenth measure of this final chorus, there is a sixteenth note passage, similar to measures 14 and 15, that builds to the final chords, in measures 265 and 266.

There are several places where the soloist interacts with the ensemble in this technically challenging piece. The soloist must be aware of how the composed solo passages correspond to the rest of the ensemble and make appropriate stylistic changes. Baker treats the soloist as a member of a quintet rather than as a soloist in several passages throughout this piece. There are three areas that feature composed solo writing for the solo saxophone. In measure 33, the third chorus, the soloist restates the main theme and the accompaniment outlines both the meter and harmony. The fifth chorus beginning in measure 69 follows an improvised chorus of the blues progression. Based on sixteenth note arpeggio patterns, this melody continues the character of an improvisation. The rhythmic pattern is unpredictable and the melody changes direction without warning. In the twelfth chorus, measure 194, the solo alto plays a melody with accompaniment. The meter alternates between 5/4 and 6/4 and the accompaniment outlines each change in meter precisely. The melody is a slurred quarter note and eighth note phrase. It is differentiated from the accompaniment, which is characterized by syncopated quarter notes.<sup>107</sup> Each of these three areas featuring the solo saxophone with accompaniment are written so that the soloist unmistakably performs the melody. The rest of the ensemble performs the accompaniment.

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<sup>107</sup> See example 14.

There are six choruses where the soloist is treated as a member of the ensemble, creating a quintet. In measure 19 the solo alto, soprano, and alto play the first theme. The soprano is the dominant voice and the alto harmonizes the soprano melody in thirds. Baker gives the solo alto and the ensemble alto a chromatic harmonization that is either a whole step or half step apart throughout this chorus. The eighth chorus, measure 118, begins as a quartet without the soloist. The solo enters in measure 122 creating a five-part block chord harmonization. The solo alto has the highest written pitch but there is no other indication that Baker intends it to be the dominant voice. At the end of this chorus the solo alto and soprano play a duet from measures 126 through 129. The soprano is harmonized below the solo alto, but again there is no indication that the solo alto has the dominant melody. Each voice is equally important. In measure 180, the twelfth chorus, the solo alto plays the second statement of the second theme of the piece. In the second measure of this statement, the soprano enters in exact imitation and at the same pitch level, followed by the other three members of the ensemble, each entering one measure after the start of the previous statement. The solo alto begins this area of imitation, but each voice completes the entire statement of the theme without variation. In measure 230, the fifteenth chorus, the solo alto and soprano play a duet with a rhythmic accompaniment. The duet begins in unison and is followed by harmonization in thirds, the soprano below the alto. Then they are written in a mirror image pattern,<sup>108</sup> the solo alto ascending, the soprano descending. In this duet the rhythm in the solo alto and soprano are identical. The only variation is how the melody is harmonized. In the fifteenth chorus, measure 242 the quintet spells an A minor flat 9 chord and the solo alto has the minor seventh of the chord. The baritone has the melody, beginning on the root, with the

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<sup>108</sup> See example 14.

rest of the ensemble harmonized above this melody. In the final chorus, measure 254, the solo alto and soprano state the first theme of the piece in unison. In each of these choruses the solo alto is treated as a member of the ensemble and the performer should adjust the style of performance appropriately.

In *Faces of the Blues* there are five choruses of improvisation throughout the entire piece. Each chorus is based on the blues progression and each is varied in some way. The fourth chorus of the blues progression in the piece, and the first chorus involving improvisation, begins in measure 44 and is twelve measures long, though each measure varies in its length. The meter of the entire progression is:

4/4	3/4	4/4	2/4	
4/4	3/4	4/4	2/4	
3/4	2/4	5/8	4/4	

The chord progression also varies from the expected blues progression. The first six measures proceed normally, the last six are altered. The progression is notated with jazz harmonic writing above and with the Roman numeral roots movement below.

I <sup>C7</sup>	I <sup>C7</sup>	I <sup>C7</sup>	I <sup>C7</sup>	
I	I	I	I	
I <sup>F7</sup>	I <sup>F7</sup>	I <sup>G7</sup>	I <sup>G7</sup>	
IV	IV	V	V	
I <sup>C7</sup>	I <sup>A7</sup>	I <sup>D7</sup>	I <sup>G7</sup>	
I	Vi	II	V	

This chorus is repeated exactly, creating two improvised choruses over this chord progression with the meter changes noted above.

The second improvised chorus, in G minor, begins in measure 102. The meter changes from in 4/4 to 3/4 in the fifth through eighth measure and then changes back to 4/4 in measure 110. The baritone plays half notes, outlining the harmony, and the soprano, alto, and tenor have a sixteenth note accompaniment pattern. The soloist is instructed to “use space, long notes.”<sup>109</sup> The chord progression is extended to fourteen measures.

Gm	Gm	Gm	Gm			
i	i	i	i			
Cm	Cm	Cm	Cm	Gm	Gm	
iv	iv	iv	iv	i	i	
Ebm	Ebm	D7#9	D7#9			
bvi	bvi	V	V			

Baker uses the dorian minor mode in the accompaniment and the soloist should employ that scale over the minor chords. The final two measures of the progression imply chromatic improvisation.

Baker pairs the third and fourth improvised choruses. Beginning in measure 130, the third improvised chorus is in A minor and the fourth chorus, beginning in measure 154, is lowered a half step to Ab minor. Though the fourth chorus is not an exact repeat of the third lowered a half step, the character of the accompaniment remains similar. The baritone plays whole notes based on the root of each chord, and the other accompanying voices provide a rhythmic counterpoint consisting of syncopated quarter note and half note patterns. In these two improvised choruses the measure count is doubled, creating 24 measure progressions, though the second chorus does not complete the expected progression. In each chorus, the nineteenth measure changes to 3/4 and then immediately changes back to 4/4 in the twenty-

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<sup>109</sup> David Baker *Faces of the Blues*, pg.6.

first measure. The chord progressions for each of these choruses vary slightly from the normal blues chord progression. The third chorus, in A minor and with doubled measures, ends:

F7#9	F7#9	E7#9	E7#9	Am	Am	Am	Am	
bVI	bVI	V	V	i	i	i	i	

The fourth chorus is 20 measures long. The final four measures are replaced by transitional material leading to a restatement of the second theme. This chord progression is identical to the preceding progression, lowered a half step, except for this one variation. This chorus ends:

E7#9	E7#9	Eb7#9	Eb7#9
bVi	bVI	V	V

The transitional material replaces the resolution of this chord progression.

The fifth improvised chorus begins in measure 206 in C major and is repeated exactly, creating two improvised choruses of the blue progression. The meter throughout this twelve-measure chorus alternates between 5/4 and 6/4. Baker’s harmonies imply chromatic improvisation through the improvised chorus. The chord progression varies from the expected blues progress in the last two measures of the chorus, measures 216 and 217, where Baker inserts a jazz chord progression called a “turn-around”, or “turn-back.”<sup>110</sup> The chord progression for this chorus is as follows:

C7#9	C7#9	C7#9	C7#9	
I	I	I	I	
F7#9	F7#9	C7#9	C7#9	
IV	IV	I	I	

---

<sup>110</sup> A stock harmonic figure that prolongs a cadence.

G7#9	F7#9	C7#9	Eb7#9	D7#9	G7#9
V	IV	I - III		II - V	

Baker's chord extensions create the most harmonically chromatic improvised chorus in the work, while at the same time the root movement for this progression is closer to the expected blues progression than the other improvised choruses.

*Faces of the Blues* is based on 16 choruses of the twelve bar blues progression. This progression influences the composition of the piece. Though there are two places where Baker has composed transitional material between different choruses of the blues progression, each chorus is treated individually. No melodies or thematic areas move across the clearly defined choruses. With each new chorus begins a new idea. The piece has thematic unity. There are two main themes in the beginning of the work that return again at the end. The piece is harmonically and rhythmically complex and requires an understanding of jazz phrasing and jazz improvisation, as well as a refined concept of ensemble performance and precise technical control from all of the performers. Baker also uses concert music devices in the piece that are foreign to the jazz language. For example he uses fermatas to create dramatic tension in the opening statement of the piece and also uses traditional western musical language in the piece: rubato, ritard, and accel. A soloist performing this piece must have an understanding of the jazz tradition as well as the classical music tradition.

## CHAPTER V

### ALTO SAXOPHONE CONCERTO (1989/2004)

**Year of composition:** 1989, revised 2004.

**Dedication/commission:** Commissioned by Tom Walsh.

**Location and date of premiere:** 28 April 2004, North American Saxophone Alliance 2004 Biennial Conference, Aycock Auditorium, University of North Carolina Greenville, University Symphony Orchestra, Tom Walsh- Solo, Robert Gutter- Conductor.

**Recordings:** *Paul Freeman presents...David Baker, vol. XII.* 2004. Tom Walsh, solo. Czech National Symphony Orchestra, Paul Freeman, conducting. Albany Records, Troy CD 843. CD.

**Publisher:** Lauren Keiser Music.

**Duration:** Total: 24', I: 9', II: 6', III: 9'.

**Instrumentation:** Solo Alto Saxophone, Orchestra, 3333, 4331, Strings, 2 Percussion, Timpani.

**Tempo markings:** I quarter note= 144, II quarter note= 72, III quarter note= 138.

**Technical considerations:** Baker calls for the use of the altissimo register, modal improvisation, and a polytonal harmonic language. The soloist may be given chord changes, chromatically altered scales, or a written description of the intended improvisation. The improviser must have a thorough understanding of modern jazz improvisation.

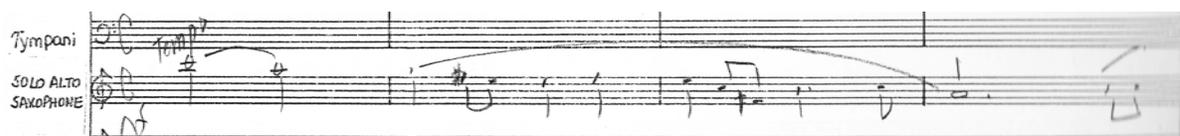
**Other:** The orchestra for this work is large. The piece is rhythmically challenging for the orchestra throughout the work. Often instrumental sections are in unison and written against contrasting material in another section.

The *Alto Saxophone Concerto* (1989/2004) by David Baker is the longest work studied in this document. In addition it requires the largest orchestral forces. This composition combines the concerto form found in western art music and jazz improvisation. Each movement displays elements of both traditions. This chapter will discuss each movement individually according to three concerns: 1) the large-scale form of the work, including thematic and improvisational areas, 2) the interaction of the soloist and the orchestra, and 3) improvisational concerns. Jazz harmonic notation is used to discuss improvisational areas to remain consistent with his compositional style; Roman numeral

notation is used where appropriate. All keys, chords, and pitches are labeled in concert pitch unless otherwise noted.

The first movement, in C minor, is similar to a Sonata Form movement. It resembles an Abridged Sonata Form in that the first theme is played during the improvised development. This movement is organized around two themes that are stated in the beginning and return at the end of the movement. The movement begins with an unaccompanied improvised solo. Baker instructs the soloist to “solo freely (in and out of tempo) gradually establishing a tempo, key, mood (circa two minutes).”<sup>111</sup> The soloist immediately follows the improvisation with an unaccompanied statement of the first theme beginning in measure 5.

Example 20. *Alto Saxophone Concerto*, pg. 2, m. 5-8. This is an excerpt of the melody, played unaccompanied by the alto saxophone. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



The tempo is marked “quarter = 176,”<sup>112</sup> and the meter is 4/4. The fourteen-measure theme is in C minor. This theme is repeated, without the soloist, in unison in the woodwind section over a string accompaniment from measures 19 through 32. The violins, violas, and cellos play sixteenth-note scalar passages based on the dorian mode built on C, while the basses

<sup>111</sup> David Baker, *Alto Saxophone Concerto* (Maryland Heights, MO: LAUREN KESIER Music, 1989), 1.

<sup>112</sup> David Baker, *Alto Saxophone Concerto*, 2.

sustain long tones built on the root of the chord. The harmonic progression of the first theme is based on a twelve bar blue chord progression modified beginning in the ninth measure and the form is extended from twelve to fourteen measures.

:C min.	C min.	C min.	C min.	
i	i	i	i	
F min.   F min.   C min.   C min.				
iv	iv	i	i	
D7  D7  G7  G7   C min.   C min. :				
II	II	V	V	I I

There is an optional repeat of this theme as played by the orchestra, from measures 19 through 32.

The first improvisational area begins in measure 47. The improvisation is based on an extended version of the twelve bar blues progression heard under the first theme. The solo takes place over one complete chord progression from measure 47 through measure 90. The french horns play a transitional phrase to the next theme beginning in measure 91. The accompaniment moves through the sections of the orchestra. Each accompaniment figure is also associated with a specific section of the form of this modified twelve bar blues progression. The woodwinds perform a syncopated rhythmic figure in C minor in the first two measures of this chord progression, measures 47 and 48. The strings follow in measures 49 and 50 with a descending figure featuring staggered eighth notes. Every beat in these two measures has two eighth notes, played in score order from the first violins downward. This figure plays an important role in this improvised section. In measures 51 and 52, the woodwinds play a rhythmic figure similar to that in measure 47 transposed down a fifth. In measures 53 and 54 the strings repeat the previous accompaniment figure heard in measures

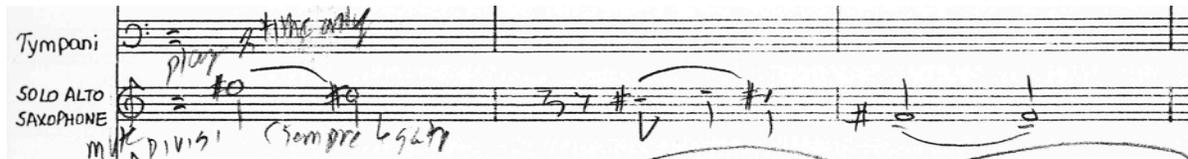
49 and 50. In measures 55 through 58, the french horns introduce a new repeated rhythmic figure. In measures 59 and 60, the woodwinds repeat the figure from measures 49 and 50, followed by a repetition of the staggered eighth note figure in the strings in measures 61 and 62. The brass section, accompanying the soloist in measures 63 through 70, play a new accompaniment figure that marks the change to F minor in the chord progression. The woodwinds return in measures 71 and 72, marking the return to C minor followed by a repetition of the staggered eighth note figure in the strings in measures 73 and 74. The four measures of D dominant seven are marked by sustained chord tones in the brass accompaniment and a descending chromatic figure in the clarinets. The following four measures, G dominant 7, are marked by a syncopated brass accompaniment consisting of dotted quarter notes imposed over the 4/4 meter. The return to C minor in measure 87 is marked by sustained chord tones in the brass and a descending eighth note figure in the strings. The accompaniment defines the form in this improvisation. The woodwinds and strings perform rhythmic figures that are only repeated over the tonic harmony. The brass section accompanies the solo only when the harmony moves away from the tonic, to either the sub-dominant or the dominant.

The second theme, in D major, begins in measure 95 after a four measure introduction performed by the french horns, which lasts through measure 126. The French horn introduction becomes the accompaniment to this theme. The tempo is marked “slower quarter = 112-116.”<sup>113</sup>

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<sup>113</sup> David Baker, *Alto Saxophone Concerto*, 20.

Example 21. *Alto Saxophone Concerto*, pg. 21, m. 95 -98. This is an excerpt of the second theme, played by the saxophone. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



The second theme repeats exactly, using repeat marks in the score. The saxophone performs the melody in unison with the english horn and the violas. The violins, cellos, and basses accompany the theme with sustained chord tones, while the french horns continue playing the introductory figure under the entire statement of the theme.

The soloist improvises from measure 127 through measure 148 with a continuous string accompaniment. There is one unifying accompaniment figure lasting two measures in the strings. It is made up of quarter note triplets with staggered entrances that begin in the basses and move up through the strings in score order for one measure. This figure then descends in the same manner for one measure. The strings play this accompaniment from measures 127 through 134, followed by the brass, which play this figure in measures 135 and 136, followed by the woodwinds in measures 137 and 138. This figure remains in the brass from measure 139 through the end of the improvisation in measure 148. The improvisation moves through different tonalities in this section, and the accompaniment figure is transposed to accommodate each new tonality, but the rhythm is never altered; the figure is continuously present through the entire improvised area.

In measure 149, following the improvisation in the saxophone, the orchestra plays a four-measure fragment of the first theme lasting until measure 152. In measures 153 and

154, the brass section plays sustained chord tones with a tied triplet half-note pattern. In measure 155, the meter changes from 4/4 to 3/4, and a new improvisational area begins with a new tempo marked “triplet half-notes = three quarter notes (circa quarter = 176).”<sup>114</sup> There is one unifying accompaniment figure in this improvisatory area beginning in the brass section in measure 155. Baker orchestrates the brass section with staggered entrances, so there is an instrument entering on each beat. The woodwinds enter in measure 157 and play a similar figure with staggered entrances spread across the section, so there is an entrance on each beat. This figure continues to alternate between the brass and woodwinds through measure 184. The strings, after remaining silent during this exchange, enter in measure 185 with descending eighth note arpeggio figures that last until measure 189. The brass and woodwinds cease playing in measure 191, followed by an eight measure unaccompanied solo in the saxophone. The woodwinds re-appear in measure 193, playing a repetition of the descending eighth note arpeggio figure heard in the strings lasting until measure 198. From measure 199 through measure 206 the woodwinds and brass, playing the staggered figure first introduced by the strings in measure 155, accompany the improvised solo.

In measures 207 and 208, the woodwinds and strings perform an ascending sixteenth-note run based on the diminished scale starting on E, over a sustained chord in the brass section. This figure leads directly to a meter change from 3/4 to 4/4 and to the return of the first theme in measure 209, performed by the woodwinds and strings over a rhythmic brass accompaniment. There is a two-measure transition in the string section followed immediately by the second theme in measure 223. The second theme, played by the woodwinds, strings, and solo saxophone and accompanied by a french horn counterpoint,

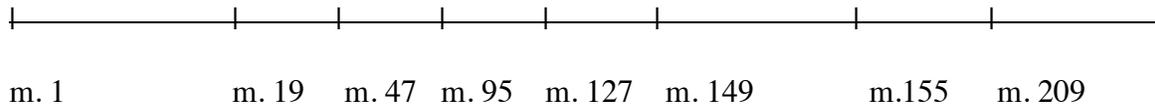
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<sup>114</sup> David Baker, *Alto Saxophone Concerto*, 33.

lasts until measure 237. The movement ends on a sustained D minor chord, performed by the full orchestra.

In the first movement, there are two main themes that return at the end of the work, and there are three large areas of improvisation, each divided by a statement of one of the themes.

Intro. Improvisation- **Theme I**- Improv.- **Theme II**- Improv.- **Theme I fragment**- Improv, **Theme I and II.**



This movement recalls some elements of classical form, expressed by the return of important themes; however, Baker's harmonic language is based on the jazz tradition, using a modified blues form in the first large improvisational section in measure 19.

In the first movement, the first theme is stated by either the unaccompanied saxophone or in the full orchestra without the saxophone. The saxophone and orchestra perform the second theme together both times: in unison with the violas and English horn in measure 95 and with the woodwind and string section in measure 223. The only technical concern for the saxophone is the final note of the melody, the highest written F# in the natural range of the saxophone, requiring precise articulation, breath support, and a critical judgment of intonation.

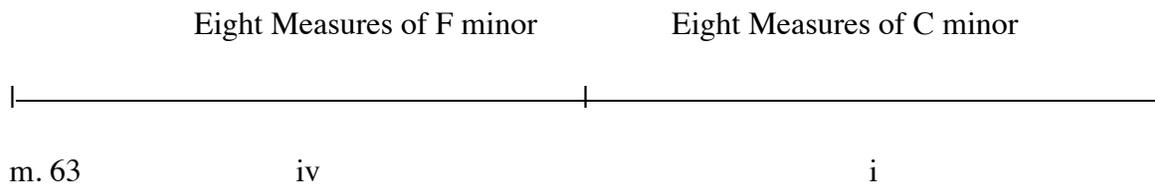
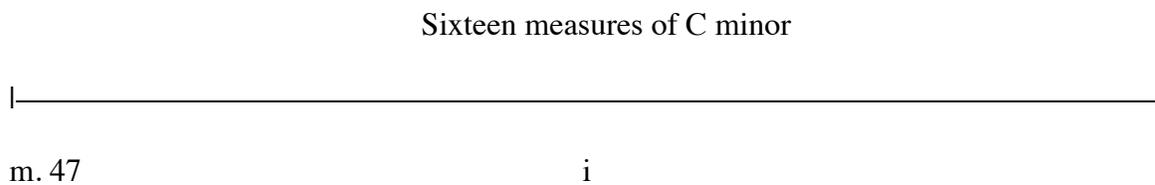
There are four large areas of improvisation in this movement including the 2 minute unaccompanied improvisation of the soloist. Here the solo is marked "solo freely (in and out of tempo) gradually establishing tempo, key, mood (circa two minutes)."<sup>115</sup> Baker does not give the solo a chord progression; instead he writes, "A minor blues (transposed pitch), 1/2

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<sup>115</sup> David Baker, *Alto Saxophone Concerto*, 1.

steps, chromatic.”<sup>116</sup> The improvisation leads directly into a statement of the first theme, marked “[in] Tempo.”<sup>117</sup> Baker does not define whether he intends for the performer to improvise using the blues scale in the beginning of the solo, or if the saxophonist should use the chord progression of the twelve bar blues. The choice is left to the performer.

The second large improvisatory area begins in measure 47 and is based on an extended twelve bar blues chord progression:



The soloist should use the dorian mode without chromatic alteration for the first thirty-two measures. Baker writes the accompaniment in a strictly modal style through this sixteen-measure C minor chord, the eight-measure F minor in measure 63, and the eight-measure

<sup>116</sup> Ibid. Transposed to Eb.

<sup>117</sup> David Baker, *Alto Saxophone Concerto*, 2.

return to C minor in measure 71. In measure 79, the improvised harmony changes to a D dominant seventh chord with an extended raised ninth scale degree. The brass accompaniment includes the minor ninth scale degree, the natural and flatted fifth, the fourth, and the sixth scale degrees. The woodwinds play a descending chromatic figure above this. Baker intends for the soloist to use chromatic improvisation techniques in these four measures. In the following four measures, he writes a G dominant seventh chord with a raised ninth scale degree. The accompaniment in the trumpets is based on the diminished scale. Each instrument plays a different diminished chord based on each scale degree of the diminished scale built on E. Immediately following this in measures 87 from 90, the chord progression resolves to the tonic C minor written over a chromatically altered bass notes.

|C/Db |C/Db | C/Db – A/Bb | F#/G – Eb/E |  
 I I I - VI #IV - bIII

The brass accompaniment plays sustained chord tones. The tuba and trombones play a Db major triad, while the trumpets play E and G, the top two notes of the C triad. The arpeggiated eighth note accompaniment in the strings moves through several triads over the course of four measures: C dominant seven, Ab Major, E major, A major, Gb Major, and Eb major. This forty four measure improvisation moves from unaltered modal writing in measures 47 through 78 to increasingly chromatic and polytonal writing in the accompaniment in the final twelve measures.

The third large improvisatory section begins in measure 127 and continues through measure 148. In measures 127 through 140, the saxophone is instructed to improvise over scales rather than over chord changes.



Example 23. *Alto Saxophone Concerto*. pg. 33, m. 155 – 158. The root movement implies a V – I harmonic progression, but Baker specifies the natural minor scale first, followed by the dorian mode. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The scales associated with this chord progression create chromatic motion that the soloist may use as a structural figure in the solo.

| C7#9          | F minor          | F minor dorian (lasting for six measures)|

The raised ninth D sharp is followed by a D flat, resolving to a D natural. The accompaniment supporting this chord progression realizes the written chords above without alteration. The chord progression is repeated twice, the first time from measure 155 through 162, the second from measures 163 through 170. In measures 171 through 174, Baker alters the pattern:

| C7#9          | F natural minor | C7#9          | F natural minor |  
V7                  I                          V7                  i

In measure 175, the chord progression returns to the previous pattern, and the sustained F dorian changes to an E dominant seventh chord with a lowered ninth scale degree in measures 181 and 182, and the chord changes to a Db dominant seven with a raised ninth scale degree in measures 183 and 184. In measure 185, Baker writes a polytonal harmony above a Db bass.

Example 24. *Alto Saxophone Concerto*. pg. 40, m. 184 – 186. Baker has written a polytonal harmony above a Bb root, accompanied by a series of major triads in the strings (chords are transposed for the saxophonist). Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



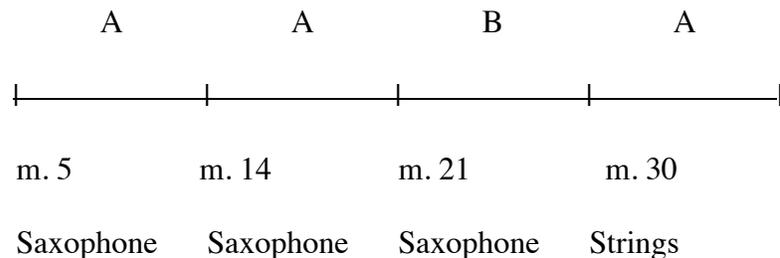
This polytonal harmony lasts until measure 189. The improvisational harmony changes to E minor from measure 190 through measure 198. In measure 192, the saxophone improvises unaccompanied for eight measures Baker marks “outgoing” in the soloist’s part and the orchestra is marked “tacet.”<sup>119</sup> The meter and tempo should remain consistent in the improvisation through the eight measures of improvisation. Immediately following this eight measure break, the woodwinds enter on the downbeat of the ninth measure, measure 193, with descending eighth notes. In measures 193 through 198 the performer is given a hexatonic scale starting on a concert G with no indications of tonality or harmony. Baker instructs the soloist to use “minor thirds and half-steps.”<sup>120</sup> This lasts from measure 193 to measure 198. In measure 199, the solo saxophone is given a diminished scaled built on G without reference to tonality or harmony. This section lasts from measure 199 through measure 208 and cadences on a C minor chord in measure 209. The last section of this improvisation is based on an expanded V–i cadence in C minor.

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<sup>119</sup> David Baker, *Alto Saxophone Concerto*, 42.

<sup>120</sup> *Ibid.*

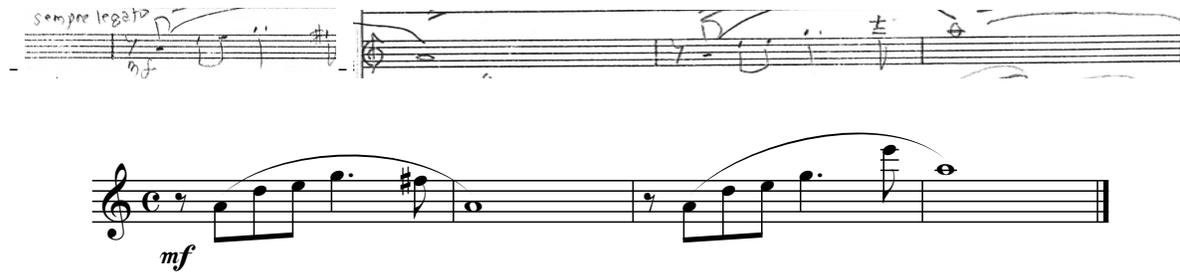
The second movement, in F major, is an ABA form organized around one main theme heard at the beginning, two areas of improvisation, and a return to the main theme. The movement begins with a two measure introduction at “quarter note = 72,”<sup>121</sup> with a sixteenth note accompaniment based on the D minor arpeggio in the cellos over a sustained F in the basses. The violins and violas enter in measure 3 playing melodic accompaniment figure, followed by the solo saxophone in measure 4, which performs the main theme in F minor. This theme is in an AABA form, and the soloist performs the first three sections, AAB, accompanied by the orchestra. The violins and violas perform the final A theme. The first A, from the pickup to measure 5 through measure 12, ends with a half cadence on C. The A theme is repeated in measures 14 through 21 and ends on an F minor chord. The B section, in D major, lasts from measure 21 through measure 28 and ends with a fermata on beat four of the measure. The final A section lasts from measure 30 through measure 37.




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<sup>121</sup> David Baker, *Alto Saxophone Concerto*, 54.

Example 25. *Alto Saxophone Concerto*, pg. 54-55, m. 4 – 8. This is an excerpt of the first four measures of the main theme in the solo saxophone with a melodic accompaniment in the strings. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



The brass section enters in measure 14 under the second statement of the A theme playing a syncopated eighth note and quarter note rhythm; the woodwinds enter in measure 18 with a similar figure. In the B section, the soloist is accompanied by the strings, which play sustained chord tones. The final A section in measures 30 through 37 is performed by the violins and violas in unison with the flutes and the first oboe.

A large area of improvisation follows the first statement of the AABA theme from measure 37 through measure 85. The 48 measure improvised form moves comprises 2 phrases of unequal length, each phrase organized around the improvisational harmony. The accompaniment plays a structural role, defining each phrase of improvisation through the use of different ostinato patterns. In the first sixteen measures, from measure 37 through measure 52, the french horns and tuba accompany the soloist. The french horns play a two-measure ostinato pattern over a four-measure ostinato bass line in the tuba. These patterns remain unchanged through measure 52.

Example 26. *Alto Saxophone Concerto*, pg. 63, m. 37 – 40. This accompaniment is made up of two layered ostinato patterns of different lengths. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a handwritten musical score for measures 37-40. The staves are labeled as follows from top to bottom: F Hn. I, F Hn. II, F Hn. III, F Hn. IV, Trpt. I, Trpt. II, Trpt. III, Tromb. I, Tromb. II, Bass Tromb., and Tuba. The woodwind parts (Flutes and Trumpets) and the Tuba part are filled with musical notation, including notes, rests, and dynamic markings like 'f' and 'p'. The brass parts (Trombones) are mostly empty, with some initial notes in measure 37.

The string accompaniment enters in measure 45. The basses double the tuba ostinato pattern and the violins, violas, and cellos play a diminished scale starting on C in sixteenth notes until measure 53 where the accompaniment and the improvisatory harmony change. The woodwinds enter in measure 53 with a repeated six-measure accompaniment. In measure 62, the chord changes, and the woodwind figure is transposed unaltered to the new key. In measure 77, a new phrase begins, marked by a new accompaniment figure in the string section and a new improvisatory harmony lasting eight measures until the first beat of measure 85. The basses play a four measure bass line, repeated twice in the eight-measure

phrase, under a syncopated rhythm in the violins based on a series of dotted quarter note rhythms. In this improvisatory section of the piece, the accompaniment articulates the phrases of the improvisation and provides an impression of form.

Baker introduces three new melodies from measure 89 through measure 135, which are imposed over the improvised section, beginning with a brass introduction that becomes the accompaniment to the first melody performed by the solo saxophone in unison with the string section over a sustained B in the basses. This melody, in B major, is eight measures long.

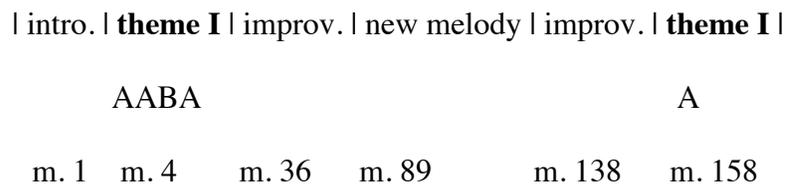
Example 27. *Alto Saxophone Concerto*, pg. 76, m. 89-92. This is an excerpt of the first four measures of the first melody of the middle section performed by the saxophone and strings. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a musical score excerpt for measures 89-92. The score is written for a solo alto saxophone and a string section (Violin I, Violin II, Viola, Cello, and Bass). The key signature is B major (two sharps: F# and C#). The time signature is 4/4. The saxophone part is marked 'SOLO ALTO SAXOPHONE' and 'mf'. The string parts are marked 'Violin I', 'Violin II', 'Viola', 'Cello', and 'Bass', all marked 'mf'. The saxophone and strings play a melody in unison, starting with a quarter note G#4, followed by quarter notes A4, B4, C#5, and D5. The bass part provides a sustained B4 note. The score is handwritten and includes dynamic markings and articulation symbols.

The eight measure second melody is performed by the soloist and is accompanied by the double reeds. The string section performs the third melody of this section beginning in measure 111 and lasting through measure 135. This melody is unaccompanied.

In measure 136, the brass section enters with a triplet eighth note figure followed by the soloist's entrance in measure 138 at the start of the next section of improvisation. The triplet eighth note figure is rhythmic foundation of the accompaniment patterns played throughout this improvisatory area, from measure 136 through measure 152. The soloist performs a short cadenza in measure 157 following a sustained F dominant chord played by the strings and brass section. After this cadenza, the soloist restates the first eight measures of the first theme beginning in measure 158 and is joined by the full orchestra in measure 162. The theme's AABA form is not restated.

The second movement is based on one main theme and two large improvised sections, with an area of new melodic material in the middle. In the first complete statement, the theme is composed in an AABA, "32 bar" song form. When the melody is recapitulated, only the first eight-measure phrase is heard. The melodic area between the two improvised sections is never restated.



The middle section of the movement is problematic. The new material does not reappear; it is not developed, and it is not related to the main theme. Baker uses ostinato rhythms and repeated bass lines in the improvised passages to organize the structure in those areas. Each ostinato or repeated fragment is attached to a precise area of improvisation.

The soloist interacts with the orchestra in limited places in this movement. In the statement of the first theme, from measures 4 through measure 28, the string section accompanies the saxophone. The range of the melody fits the saxophone well. The greatest

challenge is the slow tempo. In measure 89, the solo saxophone performs a new theme in unison with the string section, and careful attention should be paid to the intonation. In measure 158, following a short cadenza, the soloist performs the first four measures of the main theme unaccompanied, and the full orchestra joins the saxophone in measure 162. Intonation is a concern in this area because the soloist has no reference pitch before the full orchestra enters.

There are two large improvised solos in this movement. The first begins in measure 37 with sixteen-measures of Eb minor. Baker marks the saxophone part “outgoing.”<sup>122</sup> The accompaniment is based on a repeated bass line in the tuba that outlines the root, fifth, and seventh of the chord. The strings enter in measure 45, playing the dorian mode starting on Eb. In measure 53, the harmony changes to E minor. The woodwind accompaniment figures are based on fragments of the dorian mode built on E. When the improvisatory harmony changes to F minor in measure 71, the woodwind accompaniment is transposed up a half step and continues to use the dorian scale starting on F. In measure 77 the chord is transposed up one half-step to F-sharp minor. The accompaniment figure is transposed exactly and moves from the woodwind section to the string section. Throughout this section, Baker’s harmonic writing is based on the dorian mode. The soloist cannot use the written accompaniment as a tool for “outgoing” improvisation. The soloist instead may rely on what Baker calls “cycles”<sup>123</sup> rather than extended chromatic harmony, using patterns that change based on root movements through the circle of fifths.

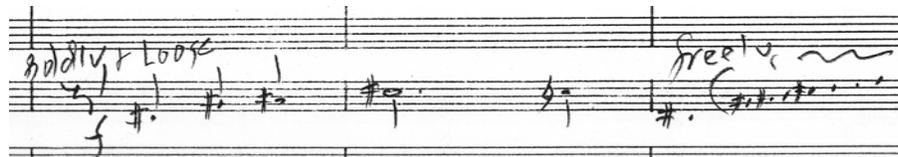
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<sup>122</sup> David Baker, *Alto Saxophone Concerto*, 63.

<sup>123</sup> A cycle is a root movement of an ascending perfect fifth creating consecutive dominant seventh chords. This may be “arbitrarily imposed to make the tune more interesting.” Taken from: Baker, David, *Techniques of Improvisation Four*, (Van Nuys, CA: Alfred Publishing, 1987), v.

The second improvisatory area begins in measure 138 with a composed figure followed by a diminished scale starting on B with a F-sharp bass note.

Example 28. *Alto Saxophone Concerto*, pg. 88, m. 138-140. This is the beginning of the second improvised solo. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

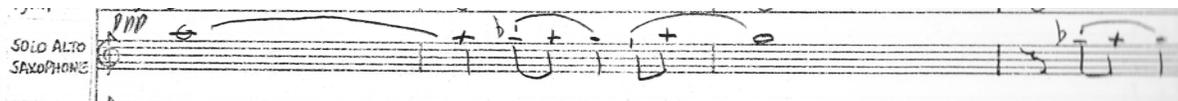


It should be noted that the bass note, F-sharp, does not appear in the scale. This written scale implies a chromatic approach to improvisation as well as a polytonal approach. This improvised area lasts from measure 138 through measure 157 and moves first through different scales then through different written harmonies. This first area is based on the diminished scale built on B and lasts until measure 144. Throughout this improvisation there are continuous triplet eighth notes present in the accompaniment. In measure 145, the scale changes to a diminished scale starting on C. In measure 151, Baker writes an Eb dominant seven chord with a lowered ninth scale degree in measures 151 and 152 followed by an Ab dominant seventh with a raised ninth scale degree. He creates a sense of resolution by moving from a chromatic, scalar improvisational language in measures 138 through 157 to a

harmonic improvisational language. There is a brief improvised cadenza in measure 157 using a diminished scale starting on A and lasting “ten to fifteen seconds.”<sup>124</sup>

The third movement, based on the Bb dorian mode, is a Sonata Form movement with improvisation rather than a development section. The movement opens in 4/4 with a four-measure introduction; the saxophone begins performing the first theme on beats three and four of measure 4. The first theme, in Bb minor, is ten measures long from the pick-up to measure 5 through measure 24. The trumpets, trombones, and tubas accompany the solo saxophone playing sustained chord tones.

Example 29. *Alto Saxophone Concerto*, pg. 96-97, m. 4-7. These are the first four measures of the first theme performed by the alto saxophone. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



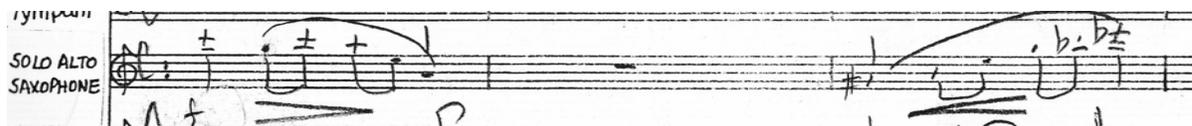
Baker extends the theme with repetitions in the woodwinds of the final two-measure motive taken from the melody. This serves as a short interlude before the strings enter in measure 30 with a complete repetition of the first theme. The violins, flutes, and oboes perform the first theme in unison over a moving accompaniment in the cello and viola while the soloist improvises over a Bb minor chord. The repetition of the first theme ends in measure 48 with a fermata over an E major chord with an F natural bass note played by the cello.

<sup>124</sup> David Baker, *Alto Saxophone Concerto*, 93.

The second theme begins immediately in measure 49. This theme, in an AABA song form, lasts thirty-two measures. The first A section is an eight measure phrase that lasts from measure 49 through measure 58; the first ending is extended by two measures. The second A is an exact repetition with marked repeats and a second ending. The melody is performed in unison by the solo saxophone and first trumpet with a half-note accompaniment in the strings and a syncopated dotted quarter tied half-note figure in the woodwinds.

Example 30. *Alto Saxophone Concerto*, pg. 108, m. 49-52. This is an excerpt of the first four measures of the second theme played by the solo saxophone. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved.

International Copyright secured.



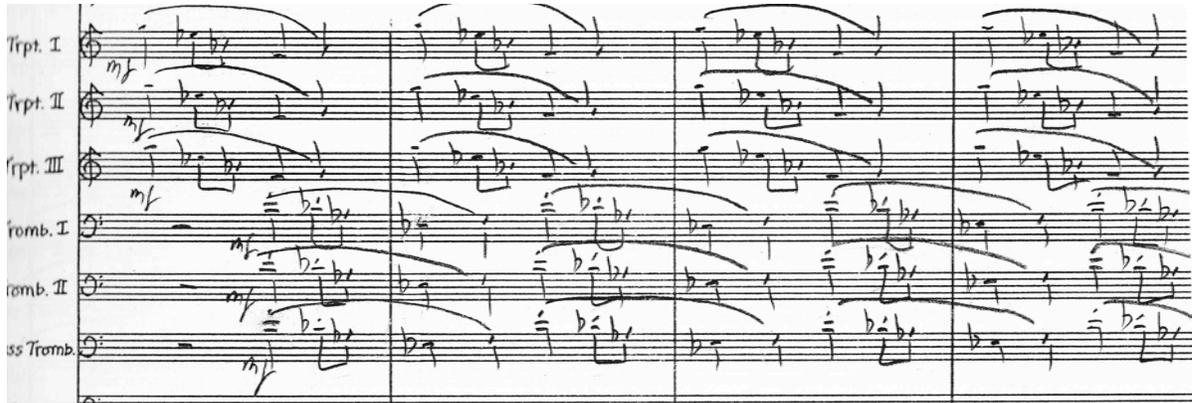
The B section, played by the solo saxophone and first trumpet, lasts from measures 67 through 74 and is accompanied by the French horns playing a half-note accompaniment. The final A section lasts from measure 75 through measure 82. This is not an exact repetition of the first A theme, but it is closely related. The woodwinds and strings accompany the final statement of the A section with sustained chord tones. Each chord tone is doubled across the sections; the flutes and oboes double the violins, the clarinets double the viola and cellos, and the bassoons and bass clarinet double the basses. The complete AABA form is performed only once.

The middle section of this movement, from measure 83 through 254, is made up of a large improvised saxophone solo accompanied by the orchestra. There are melodic fragments present near the end of this section. The large improvised solo section lasts from measure 83 through measure 214 and can be sub-divided into four smaller sections. The first small section is based on a chord progression in an AABA form. This section is 32 measures long and lasts from measure 83 through measure 113. The woodwinds, which accompany the first area of improvisation, play sustained chord tones with staggered entrances.

The second section of improvisation lasts twenty-nine measures, from measure 113 through measure 144. The meter changes to 3/4 in measure 116, and the woodwinds and strings accompany the improvisation playing sustained chord tones in the oboes, clarinets, violins, and violas, while the bassoons, bass clarinet, cellos, and basses play a dotted quarter rhythm that divides the measures evenly. The harmonic progression is through composed.

The third large improvised area begins in measure 148 following a three-measure string transition in measures 145, 146, and 147. This area lasts from measure 148 through measure 209. The accompaniment figures are based on layers of short ostinato patterns, first in the woodwinds, beginning in measure 148, and then in the brass, beginning in measure 175.

Example 31. *Alto Saxophone Concerto*. pg. 138, m. 175-178. This is the first statement of the ostinato accompaniment performed by the brass section. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



A musical score for brass instruments, including three trumpets (Trpt. I, II, III) and three trombones (Tromb. I, II, and ss Tromb). The score is written in 4/4 time and features a melodic line for the trumpets and a rhythmic ostinato accompaniment for the trombones. The key signature has two flats (B-flat and E-flat), and the tempo/mood is marked *mf*. The score spans four measures, showing the first statement of the ostinato accompaniment.

The violins interrupt the first improvised passage with eight measures of the first theme, played in imitation, beginning on beat three of measure 152.

Example 32. *Alto Saxophone Concerto*. pg. 132, m. 152-154. These are three-measures of the first theme, played in imitation by the violins. Used by permission. © Copyright [1989], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



A musical score for violins, showing three measures of the first theme. The score is written in 4/4 time and features a melodic line. The key signature has two flats (B-flat and E-flat), and the tempo/mood is marked *f*. The score spans three measures, showing the first theme played in imitation by the violins.

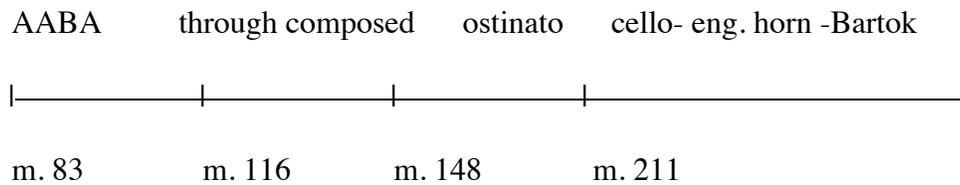
The saxophone begins improvising again in measure 161 over the ostinato accompaniment, which has continued throughout this section. The strings begin playing an additional layered ostinato pattern, beginning in measure 163. The violins and violas play the dorian mode built on Bb, ascending for one measure and descending back to the starting point in the next, over a syncopated bass line in the cellos and double basses based on repeated dotted quarter notes. The brass section enters in measure 175 and replaces the woodwinds. The chord moves one whole step lower to an Ab minor chord. The ostinato accompaniment patterns are transposed down one step to accommodate this. In measure 192, the strings and brass cease and the oboes and clarinets enter and continue the same ostinato pattern played by the brass. This section of improvisation ends in measure 209 and is immediately followed by the fourth small section of improvisation in the middle part of this movement.

The fourth improvised area is divided into three short improvisational phrases and begins in measure 211 with a four-measure introduction featuring a staccato ostinato pattern in the basses, tuba and bass trombone, contra-bassoon and bassoon, and bass clarinet. This ostinato pattern lasts through the entire section of improvisation from measure 215 through measure 254. The first phrase of the final improvisatory section begins in measure 215, where the saxophone and the cellos play a sixteen-measure duet. The cello part is related to the first theme, and the saxophone part is improvised. It is followed immediately by the second short improvised phrase, a sixteen measure duet between saxophone and English horn beginning in measure 231 and lasting through measure 238. Both of these phrases are marked “duet,” and the soloist is instructed to “react.”<sup>125</sup> The improvised solo continues through measure 254 and is accompanied by a new ostinato pattern in the woodwinds and

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<sup>125</sup> David Baker, *Alto Saxophone Concerto*, 148, 152.

strings marked “Bartok pizz.”<sup>126</sup> This is the form of the improvisational section of this movement.



The movement concludes with a repetition of the main themes.

Beginning in measure 255, Baker returns to the main themes of the movement. The woodwinds play the first A section of the second theme, first heard in measures 49 through 82, beginning in measure 255. The theme appears in the original key, and is repeated exactly. The strings and french horns accompany the woodwinds with half-note chord tones. The saxophone, entering in measure 263, performs the eight-measure B section from the first theme accompanied by the French horns, which continue to play half-note chord tones. Baker does not repeat the full AABA form; the return of the second theme ends in measure 270 on a fermata.

The strings perform the first eight measures of the first theme with the melody in the violins, a descending half-note accompaniment in the violas, and a bass line in the cellos and basses, beginning in measure 271. The solo saxophone performs the second eight measures of the first theme, beginning in measure 281, over sustained long tones in the strings and an eighth note moving line in the cellos. The return to the first theme ends in measure 286 with a fermata on a chord made up of five pitches, each pitch a perfect fourth apart, B-E-A-G-D.

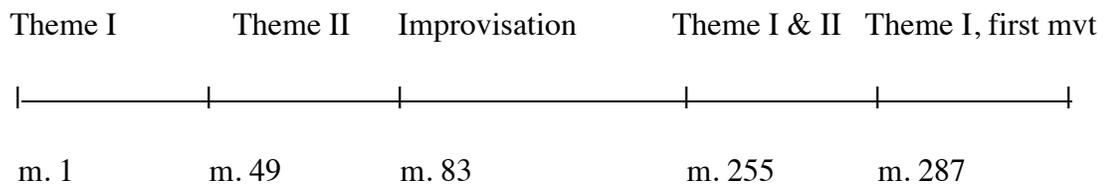
The full orchestra performs the first twelve measures of the main theme immediately following the fermata in measure 287. The saxophone repeats this theme in the original key

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<sup>126</sup> Ibid, 155.

of C minor while the orchestra performs the melody. The orchestral melody begins on the pitches of each note of the C minor arpeggio. The bassoons perform the theme in F sharp minor and the trombones and cellos perform the theme in C sharp minor creating a polytonal repetition of the theme. The piece ends on a sustained Bb in multiple octaves.

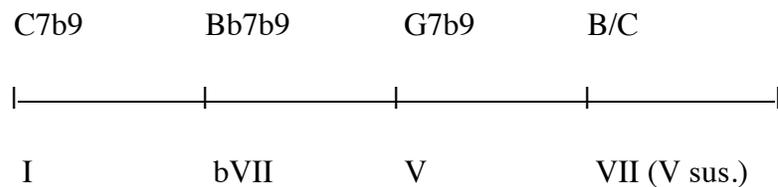
The Sonata Form of the third movement is based on two main thematic areas, separated by a large improvisatory area.



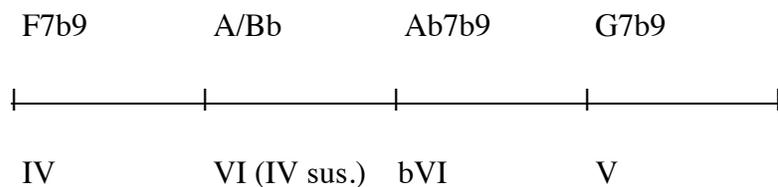
The first theme is made up of two eight-antecedent consequent phrases, the second theme is a complete AABA form. The improvised area can be broken into three smaller improvisational forms. The first theme returns in full; the second theme is shortened. The final unifying return of the first theme from the first movement is unusual in this piece: no other theme is referenced across movements, and repetition of this theme is performed in its entirety.

There is only one area where the solo saxophone performs composed material with an orchestral instrument. The second theme is performed in unison with the first trumpet through the entire AABA form, beginning in measure 49. This melody is disjunct and chromatic. Both performers must phrase the melody precisely and pay close attention to intonation. The accompaniment is based on sustained chords in the woodwinds and brass throughout this thematic section.

The harmonic language of the improvised section of this movement, from measure 83 through measure 254, is divided into three smaller sections. The first area, from measure 83 through measure 112, is based on an AABA song form. Each A section is based on an eight measure chord progression . Each chord receives two measures.



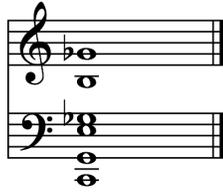
This progression is repeated in measures 91 through 98, creating the second A of the AABA form. The B section chord progression is:



The final A section is shortened; the first two chords of the progression last for three measures rather than two, and the final chord is replaced by a transitional chord progression. In measure 83, Baker marks the solo improvisation “outgoing.”<sup>127</sup> The sparse written accompaniment is based on sustained chord tones in the clarinets, bassoons, trumpets, and trombones. The root, fifth, and seventh scale degrees are present in each accompaniment chord as well as both the major and minor third. In the final two measures of the progression, Baker writes a polytonal chord, which can be interpreted in several ways by the improviser. His harmony over these two chords is not conclusive. The accompaniment “chord” is:

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<sup>127</sup> David Baker, *Alto Saxophone Concerto*, 115.



B/C

In the B section, Baker writes in a similar harmonic style. Through AABA form the improviser should use a chromatic or polytonal improvisational style.

The second small section in the improvised passage, from measure 113 through measure 144, is based on a through-composed thirty-two measure chord progression. Baker’s harmonic style in this section is polytonal. Rather than write chord changes with extended or altered scale degrees, he writes a major chord over a second major chord a half-step up.

The first four measures of this improvised are are:

| F/Gb      | D/Eb      | B/C - Ab/A | G/Ab      |

Baker’s written accompaniment is clearly divided by this harmonic style of writing. The woodwinds play the top chord while the strings play the bottom chord simultaneously. This writing style remains consistent throughout this improvised section, implying that the soloist should incorporate polytonal techniques.

The third improvised section is polytonal in nature, but Baker’s written harmonies differ from the previous section. In the saxophone part he instructs, “G minor seven (C dominant seven is home but play freely and away from the key).”<sup>128</sup> The chord names are transposed for the saxophone soloist. The chord progression moves through three polytonal chords:

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<sup>128</sup> David Baker, *Alto Saxophone Concerto*, 148.

<u>Bb min.</u>	<u>Eb7</u>	<u>Ab min.</u>
Eb7	Bb min.	Db7

Baker's accompaniment in this section is based on harmonically static ostinato patterns.<sup>129</sup>

The written harmonies are not diatonic for either the concert Bb minor seven chord or the Eb dominant seven chord. The improviser may interpret either the Bb minor as having a raised fifth scale degree or the Eb dominant seventh chord as having a lowered third. As the chords change, the ostinato patterns are transposed to correspond with the new tonality. This improvisatory area requires the use of chromatically altered scales or other improvisatory tools.

In the *Alto Saxophone Concert* Baker reconciles the two large structural components of the work. The form of each movement is organized around patterns of thematic material and improvisational sections. The work opens with an unaccompanied improvisation by the soloist, leading directly to a statement of the first theme of that movement. In the first movement, the themes are clearly separated by improvisational sections. The second movement is organized around large sections of improvisation and one main theme. Within the improvised passage Baker has inserted brief fragments of melodic material that help define the improvised sections in the same way that the improvised sections helped define the thematic areas in the first movement. In the third movement, the thematic and improvised areas are separate, but they share a structural influence on the form of the movement. The second theme shares the AABA form with the first section of improvisation. In the third section of improvisation, the soloist is asked to improvise a duet with composed melodic material played by the cello first, then the English horn. In the third movement, the two structural components, the thematic material and the improvised material, are unified and

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<sup>129</sup> See example 28.

share equal authority. Baker creates a sense of thematic unity by ending the piece on a chord harmonized in multiple tonalities, each instrument playing the first theme heard at the beginning of the piece.

## CHAPTER VI

### PARALLEL PLANES (1993)

**Year of composition:** 1992.

**Commission:** Howie Smith.

**Location and date of premiere:** 6 April 1992, Cuyahoga Community College Jazz Festival, Cleveland, OH. Howie Smith- solo.

**Recordings:** Cleveland Chamber Symphony, *The New American Scene II: 5 Distinguished African American Composers*, Howie Smith, alto/soprano saxophones, Edwin London, conductor, Albany Records Troy 303, CD.

**Publisher:** Lauren Keiser Music.

**Duration:** Total: 20', Mirror, Mirror : 6'30", A Crystal Tear : 6'30", Doppelgänger : 7'.

**Instrumentation:** Solo Alto Saxophone (dbl. Soprano Saxophone), Orchestra 1111, 111, Strings, 2 Percussion, Timpani.

**Tempo Markings:** Mirror, Mirror quarter note= 138, A Crystal Tear quarter note= 60, Doppelgänger quarter note = 168.

**Technical considerations:** Soloist performs both alto and soprano saxophone. The improvisation calls for extended techniques usually marked "sounds." Baker sometimes provides chord changes and sometimes provides a description of the improvisation style required.

**Other:** In this work the orchestral instruments are written in an exposed setting rather than as a section- the work requires strong performers on every instrument. The work also features difficult rhythmic writing, especially in the third movement.

In the three-movement composition *Parallel Planes* David Baker draws on the traditions of both the classical concerto and jazz improvisation. He unites these two styles through the use of avant-garde techniques. Each movement will be discussed according to three concerns: 1) the large scale form including thematic organization and improvised sections, 2) the interaction of the soloist and orchestra, and 3) improvisational concerns. Jazz harmonic writing will be used to remain consistent with Baker's compositional style; Roman numeral notation will be used where appropriate. Unless otherwise marked, all pitches are in concert pitch.

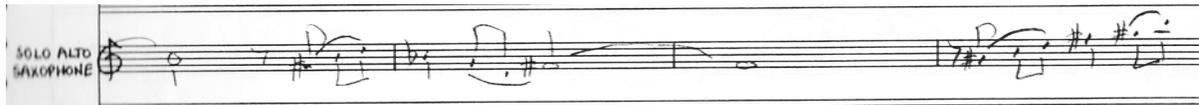
The first movement, *Mirror, Mirror* uses an ABA structure and is based on the D dorian scale. Each A section is based on thematic material and the B section consists of large improvised sections. The movement opens with a six-measure introduction in the strings. Each chord can be viewed as a polytonal chord or a chromatically altered chord. The first chord arpeggiates the dorian mode built on D; the second chord arpeggiates the dorian mode built on F, and the next four measures are a series of chords built on triads that are stacked upon one another.

Example 33. *Parallel Planes*, mvt. I, pg. 1, m. 1-4. These are the first four measures of the movement. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a handwritten musical score for the first four measures of a piece. The score is for Violin I, Violin II, Viola, Cello, and Bass. The notation is in a common time signature (C) and features a series of chords and melodic lines. The chords are built on triads that are stacked upon one another, as described in the text. The notation includes various accidentals and dynamics like 'f' and 'divisi'.

The thematic material of section A begins in measure 7 and lasts through measure 61. Section A is organized around two main themes separated by transitional melodic material. The soloist performs the first eleven-measure theme in measures 7 through 17 while the accompaniment in the string section is related to the introductory material. This melody begins in D minor and moves through several tonalities as it progresses, ending in G minor.

Example 34. *Parallel Planes*, mvt. I, pg. 2-3, m. 7-12. This is the first six measures of the first melody, played by the saxophone. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



The second thematic section is a repeat of the melody beginning in measure 18 and shortened to nine measures in length. The woodwinds alternate playing the melody with the solo saxophone. The woodwinds perform the first four measures of the theme in measures 18 through 21, and the saxophone performs the second four measures of the theme in measures 22 through 24. The woodwinds return and perform the final two measures of the theme with the solo saxophone in measure 25.

The strings play two transitional phrases from measures 27 through measures 43. The first phrase is written in three-part harmony in the violins and violas over long tones in the basses and cellos. The first six measures of the transition are melodic in nature, but Baker repeats a rhythmic motive in the last four measures leading to the third thematic area. This motive modulates from the starting key of Bb to a cadence in G minor in measure 35. The woodwinds and brass enter in measure 36 with the second transitional phrase in G minor. The melody is in unison in the flute, clarinet, oboe, french horn, trumpet and violins over chord tones played by the basses, cellos, trombone, and bassoon. This transitional phrase cadences in B, creating a V-I harmonic motion moving to the second theme of the piece.

The saxophone and strings perform the second theme, in E major, beginning in measure 44. The melody is doubled in the first violin over an active accompaniment. The basses play whole note roots while the cellos play continuous eighth-note arpeggios. The second violins play descending major triads in eighth notes.

Example 35. *Parallel Planes*, mvt. I, pg. 12, m. 45-48. These are the first four measures of the second theme played by the saxophone and violins over an active accompaniment. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a musical score for measures 45-48. The score is written for five parts: SOLO ALTO SAXOPHONE, Violin I, Violin II, Viola, Cello, and Bass. The key signature is E major (one sharp). The time signature is 4/4. The saxophone part plays a melodic line with slurs and ties. Violin I plays a melody that is a double of the saxophone part. Violin II plays descending major triads in eighth notes. The Viola, Cello, and Bass provide an active accompaniment with various rhythmic patterns and arpeggios. The score includes dynamic markings such as *mf* and *ml*.

In the fifth and sixth measure of the second theme, the violas play two measures of the second theme accompanied by the cello and basses. The solo saxophone and violins return in the seventh and eighth measure.

The woodwinds enter unaccompanied in measure 53, playing an eight measure transitional melody. The melody begins in C sharp minor and ends in F major. The melody in this section is related to the previous transitional melody in measures 27 through 43. The

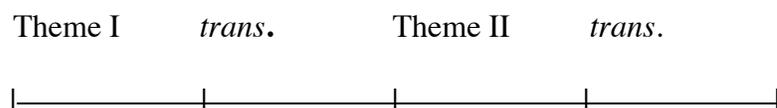
flute performs the melody over an active accompaniment similar to that heard under the second main theme. The bassoon plays an eighth-note arpeggio bass line while the oboe and clarinet play descending triads in a syncopated rhythm.

Example 36. *Parallel Planes*, mvt. I, pg. 14, m. 53-56. This is the transitional melody played by the flutes over an active accompaniment immediately following the second main theme. .  
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The image shows a handwritten musical score for measures 53-56. It consists of four staves: Flute, Oboe, B♭ Clarinet, and Bassoon. The Flute staff begins with a melodic line starting on a G4, marked with a dynamic of *mf*. The Oboe and B♭ Clarinet staves play descending triads in a syncopated rhythm. The Bassoon staff plays an eighth-note arpeggio bass line. The score is written in a common time signature and includes various musical notations such as accidentals, slurs, and dynamic markings.

The bassoon continues playing the arpeggio bass line in measures 61 and 62 after the transitional melody ends in measure 61. This bass line continues in the cellos, beginning in measure 63, where the B section starts.

The first a section form is defined by two main themes that are harmonically stable; they begin and end in the same keys, and contain two transitional melodies that are harmonically unstable.



D minor	<i>Bb min. to Gmin.</i>	E major	<i>C# min. to F min.</i>
m. 7	m. 27	m. 44	m. 54

The first theme is repeated, and each transitional melody is closely related. The second theme is performed once.

The B section of this movement is a series of four distinct areas of improvisation. Each area is defined by its harmonic progression and by its accompaniment pattern. The first improvised area begins in measure 63. The improvisational harmony in this section moves through four different chords. The first chord is an F minor chord, lasting six measures from measure 63 through 68. The second chord is a Bb minor chord, played from measure 69 through measure 74. The third chord is a C dominant seven, lasting from measure 75 through 80. The final chord is a D dominant seven chord, lasting from measure 81 through measure 84. The polytonal accompaniment is based on a manipulation of the scale Baker wishes the soloist to use. The basses sustain the root of each, and the cellos play the arpeggio associated with that chord. In the first F minor chord, the cellos continue the eighth note bass line played by the bassoon in the second transition while violas play an F minor arpeggio in sixteenth notes. The second violins play an Ab major arpeggio with an extended ninth scale degree in sixteenth notes while the first violins play a C minor arpeggio with an extended ninth scale degree. These arpeggios are not chromatically altered.

Example 37. *Parallel Planes*, mvt. I, pg. 16, m. 63-64. The string section plays this polytonal accompaniment figure based on the dorian mode built on F. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a handwritten musical score for a string section, covering measures 63 and 64. It consists of five staves. The top staff is marked "solo D-" and contains a wavy line. The second staff is empty. The third, fourth, and fifth staves contain polytonal accompaniment figures. The third staff has a dynamic marking of "f". The fourth staff has a dynamic marking of "mp". The fifth staff has a dynamic marking of "simile". There are also some handwritten notes and markings, including "mp" at the bottom left and "simile" at the bottom right.

The style of this accompaniment continues through measure 84. In measure 75, the woodwinds, xylophone, and piano alternate with the strings, creating a disjunct accompaniment. The harmonic writing remains consistent in this area.

The second improvised section lasts from measure 85 through measure 112. Here the meter changes from 4/4 to 3/4. This section begins on a G minor chord creating a V-I harmonic motion from the previous sections D dominant final chord. The section begins

with a thinly textured accompaniment. The basses play a simple arpeggio under the piano, which plays dotted half-note chord tones. The triangle is heard on beat two of each measure. In measure 93, the brass section and bassoon enter playing sustained chord tones, replacing the piano. The bass line moves to the cellos. In measure 101, the strings and full woodwind sections enter, each playing sustained chord tones with the brass section through the final twelve measures of this section of improvisation. The final chord of this section is a G minor chord.

In the third section of improvisation, from measures 113 through 138, the accompaniment is based sixteenth-note scalar passages. This section begins on a C dominant seven chord, creating a V-I root motion from the previous improvisatory section. The scale is a combination of a C major scale and an F sharp major scale. The woodwinds, strings, percussion, and piano play in unison through measure 127. In measure 128, the accompaniment becomes fragmented and each instrumental section begins to play independently of one another. The final chord of this section is a Bb dominant seven chord.

The final improvisatory section begins in measure 139. Although the written harmony is polytonal, the basses play an Eb, creating a V-I root motion from the previous improvisatory section. This short section, lasting eight measures, is based on major triads built on the diminished scale, played simultaneously.



The bass note moves up in minor thirds from an Eb in measure 139 to an F sharp in 141 and ending on an A in measure 145.

The final A section returns in measure 147 in D minor, creating a V-I root movement from the previous section. The flute, oboe, and clarinet perform the first theme over a sustained accompaniment in the strings, ending in measure 157. The solo saxophone and strings enter in measure 158 performing the second theme in Bb major, a tritone away from the original E major in measure 44. The second theme ends on beat one of measure 167 and is immediately followed by a repetition of the transitional melody first heard in measure 37 in the strings.

Example 38. *Parallel Planes*, mvt. I, pg. 42-43, m. 167-172. This is an excerpt of the transitional material from measures 37, repeated in measure 167. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a musical score for measures 167-172. The score is for SOLO ALTO SAXOPHONE, Violin I, Violin II, Viola, Cello, and Bass. The saxophone part features a melodic line with a tritone interval (Bb to E) and a chromatic descent. The string parts provide a sustained accompaniment with long notes and some melodic movement.

In this repetition, the melodic material is harmonically stable, beginning in G minor and ending in G minor in measure 178. The final two measures feature an improvisation by the soloist and end on a G minor chord with the soloist playing the major third.

The first movement follows an ABA form. In the first A section, there are two themes. Each theme is defined by harmonic stability, and each theme is performed by the soloist. The B section is based on four improvised passages, each one relating to the previous one through a V-I root motion. The final A section repeats the two themes from the earlier A section and an additional phrase taken from the transitional material. In the second A section, the soloist performs all three of these melodic themes and each theme is harmonically stable.

The soloist performs in unison with orchestral instruments during some of the thematic statements. The saxophone and violins perform the second theme in octaves in measures 45 through 52. A careful approach to intonation is necessary. In measure 158 the soloist and the string section repeat the second theme in unison. In measure 168, the solo saxophone, woodwinds, and strings play a repetition of the transitional material in unison. All other interaction with the orchestra takes place during the improvised solo sections.

There are four sections of improvised solos in this movement. Each section is defined by the written harmonic language and the style of accompaniment. The first improvised section, lasting from measure 63 through measure 84, moves through four harmonic areas. The soloist improvises in F minor for the first six measures from measures 63 through 68. The accompaniment is written in a polytonal harmonic style<sup>130</sup> but is not altered chromatically. Baker intends the improviser to use the dorian mode built on F. The chord progression changes to Bb minor in measures 69 through 74. The accompaniment is transposed to the new tonality without alteration. In measure 75, the improvisational harmony changes to a C dominant seven chord with an extended lowered ninth scaled

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<sup>130</sup> See example 35.

degree. Baker's written accompaniment is polytonal in a similar style as the previous chords, but the arpeggios are chromatically altered.

Example 39. *Parallel Planes*, mvt. I, pg. 19, m. 75-76. This is the chromatically altered polytonal accompaniment played by the strings and piano. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a musical score for Example 39, measures 75-76. The score is written for Piano, Solo Alto Saxophone, Violin I, Violin II, Viola, Cello, and Bass. The Piano part features a complex, chromatically altered polytonal accompaniment with a dynamic marking of *f*. The Solo Alto Saxophone part is marked with a handwritten *A7b9* chord. The string parts (Violin I, Violin II, Viola, Cello, and Bass) are also marked with various accidentals and dynamics, including *f* and *ff*. The score is written in a complex, chromatically altered polytonal style.

The harmony changes to a D dominant seven chord with a lowered ninth scale degree in measure 81, and the written accompaniment continues in a similar chromatic polytonality. In the first section of improvisation, Baker's polytonal harmonic language becomes increasingly chromatic.

The second improvisational passage begins in measure 85 and lasts through measure 112. The thinly textured accompaniment uses sustained chord tones throughout this section.

The improvisation is in G minor for sixteen measures until measure 100. In measure 101, the improvised harmony becomes more complex, and the written style in the jazz notation changes. The improvised solo moves through a series of polytonal chords in the last twelve measures of this section. Baker writes the chords stacked upon one another rather than as a single chord with a chromatic alteration in the scale.

<u>Bb</u>	<u>Ab</u>	<u>F#</u>	<u>Eb</u>	<u>E</u>	<u>D</u>	Amin.	<u>C</u>	<u>Ab</u>	Gmin.
F#	E	D	Db	C	Bb		Ab	G	

Baker's intends for the soloist to improvise over triads rather than scales.

The third improvised section begins in measure 114 and lasts until measure 138. The accompaniment uses unison rhythmic patterns based on chromatically altered scales. The jazz harmony is written first as two altered chords. The first chord is a C dominant seven with a lowered ninth scale degree, lasting for three measures. The second chord is an F dominant seven chord with a lowered ninth scale degree, lasting for three measures. In measure 122, following these two chords, Baker changes the writing style and gives the soloist a scale based on two a B major scale fragment and an F major scale fragment (transposed).

Example 40. *Parallel Planes*, mvt. I, pg. 31, m. 122. This is the scale given to the soloist. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.



This scale lasts until measure 126 and is followed by conventional chord notation. In measure 127, Baker writes an F dominant seven with a lowered ninth scale degree, and in measure 129, he writes a Bb dominant seventh chord with a lowered ninth scale degree that lasts until measure 138.

The fourth improvised section is based on a diminished scale starting on Eb. This section lasts until measure 146. There are no chord changes but the bass note does ascend by a minor third to an F sharp in measure 141 and again to an A in measure 145. The accompaniment is playing a series of major triads built on the diminished chord tones. The rhythm of the accompaniment is based on staccato ostinato patterns. In measure 139, Baker instructs the soloist to use the diminished chord “but very freely with added chromaticism.”<sup>131</sup>

The ABA form of the first movement is organized around the repetition of themes, contrasted with the improvisatory B section. The improvisational section is separated from the thematic sections and is organized through V-I root movements between sections. The movement is unified by the thematic returns in the final A section.

The second movement, *A Crystal Tear* is an ABA form, organized around a central theme stated beginning in measure 1 in the solo saxophone and an improvised B section performed on soprano saxophone.

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<sup>131</sup> David Baker, *Parallel Planes, mvt. I* (Maryland Heights, MO: Lauren Keiser Music, 1993), 35.

Example 41. *Parallel Planes*, mvt. II, pg. 1, m. 1-4. This is the first four measures of the main theme played by the soloist with string accompaniment. Used by permission. ©

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The image shows a handwritten musical score for the first four measures of the main theme. The score is arranged in a system with six staves. From top to bottom, the staves are: SOLO ALTO SAXOPHONE, Violin I, Violin II, Viola, Cello, and Bass. The key signature is E major (one sharp, F#) and the time signature is 4/4. The saxophone part is marked 'mf' and features a melodic line with slurs and ties. The string parts are marked 'mp' and include dynamics like 'divisi' for the violins. The score is handwritten and includes various musical notations such as slurs, ties, and dynamic markings.

This theme, in E major, is sixteen measures long and features two eight measure phrases that are closely related. The tempo is “quarter = 60.”<sup>132</sup> The string accompaniment remains similar through first sixteen measures of the piece and ends with the theme in measure 16.

The first area of improvisation begins after the statement of the main theme. The tempo changes to “quarter = 92,”<sup>133</sup> and the timpani enters in measure 17. The soloist is instructed to switch to the soprano saxophone as the basses join the ostinato pattern played by the timpani. The first section of this improvisation lasts until measure 47 and is accompanied by short ostinato patterns played across the instrumental sections of the orchestra. The piano joins the timpani and basses in measure 21. The cellos and bassoon enter in measures 23 and 25 with a new one measure syncopated ostinato. The violins and

<sup>132</sup> David Baker, *Parallel Planes*, mvt. II, 1.

<sup>133</sup> *Ibid.*, 5.

violas enter in measure 27 with a repeated whole-note pattern. In measure 32, the flute enters with a fourth ostinato and is joined by the clarinet in measure 36 and oboe in measure 40. The tuned drums enter in measure 34 with a through-composed solo, and the solo soprano saxophone improvises over a Db minor chord through out this entire section, lasting until measure 47.

In measure 49, a new theme begins, though the ostinato accompaniment continues. This theme, in Db minor, is based on a twelve bar blues chord progression and lasts until measure 60. It is followed by an improvisational section based on a similar twelve bar blues progression.

Example 42. *Parallel Planes*, mvt. II, pg. 13, m. 49-52. This is an excerpt of the first four measures of the theme based on the twelve bar blues progression played by the soloist. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a handwritten musical score for measures 49-52. The score is written on five staves. The top staff is labeled 'SOLO ALTO SAXOPHONE' and contains a melodic line with various notes and rests. The second staff is labeled 'Violin I' and contains a melodic line. The third staff is labeled 'Violin II' and contains a melodic line. The fourth staff is labeled 'Viola' and contains a melodic line. The fifth staff is labeled 'Cello' and contains a melodic line. The bottom staff is labeled 'Bass' and contains a bass line. The music is written in a key signature of one sharp (F#) and a common time signature (C). The notation includes various note values, rests, and accidentals.

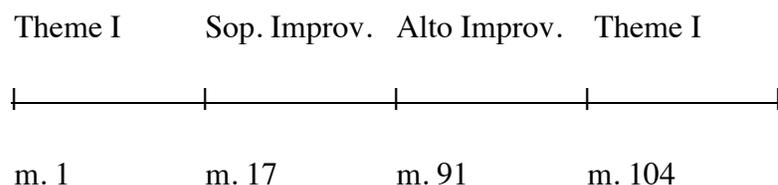
The ostinato rhythms remain consistent through the complete chorus of the twelve bar blues chord progression; each pattern is transposed to accommodate the chord changes.

Two choruses of the twelve bar blues follow the blues theme played in measure 49. The first chorus in Db minor lasts from measures 61 through 72 with no alteration to the chord progression. The ostinato accompaniment remains the same throughout this chorus. The second chorus of the twelve bar blues, in Bb minor, begins in measure 73. This chorus is shortened to ten measures to allow the soloist to change to the alto saxophone. The ostinato accompaniment remains consistent throughout this chorus and continues until measure 88. This extension serves as a transition to the next improvised section.

The soloist plays a brief two-measure introduction to the third improvised chorus in measures 89 and 90. This chorus lasts twelve measures, but the chord progression is not a blues progression. This improvised chorus ends in measure 102. The strings play sustained chord tones throughout this section and the french horns play quarter note accompaniment figures.

The solo saxophone repeats the first theme in measure 103. The last two measures are altered to end on the root rather than the fifth in the manner of the first statement of the theme. The strings continue a similar accompaniment figure to the end of the movement in measure 116. The final chord is an E major triad played by the string section and the soloist.

The form is organized around one central theme and a large area of improvisation. There is a theme in the improvised section, but it is never repeated.



Though the twelve bar blues theme is not repeated, it does provide an important structural role. All of the following improvisational areas in the movement are based on twelve bar chord progressions.

Each melody in the second movement is performed by the soloist with orchestral accompaniment; no other instrument plays a melody. The melodies fall within the normal range of both saxophones and there are no unusual technical challenges. The only challenge is to play expressively.

Baker gives the soloist several instructions beyond chord changes in the improvised sections in the movement. In measure 21, the beginning of the first improvised area, Baker writes “sneak in.”<sup>134</sup> The first chord is a Db minor chord that lasts from measure 22 through measure 47. The written accompaniment is based on a series of layered ostinato patterns. In measure 27, Baker writes “gradually building,”<sup>135</sup> followed by “becoming more and more agitated and dissonant”<sup>136</sup> in measures 33 through 35. Baker uses these instructions, rather than chromatic chord progressions, to increase the tension in this section leading to the twelve bar blues theme in measure 49. The first improvised chorus based on the twelve bar blues chord progression begins in measure 61 in Db minor. This chorus is altered in the ninth measure.

Eb	Eb	Eb	Eb	
Ab	Ab	Eb	Eb	
B7	Bb7	Eb	Eb	

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<sup>134</sup> David Baker, *Parallel Planes, mvt. II*, 6.

<sup>135</sup> *Ibid.*, 7.

<sup>136</sup> *Ibid.*, 9.

This chorus ends in measure 72 and is followed by similar chorus in Bb that is shortened by two measures to allow the soloist to switch to the alto saxophone. The final chorus is based on a twelve measure chord progression, but it is not a blues progression.

E maj.	E maj.	A maj.	A maj.	
I	I	IV	IV	
Ab/A min.	Ab/A min.	E maj.	E maj.	
iv (III sus 4)	iv (III sus 4)	I	I	
A#4	A#4	F#	F#	
IV	IV	II	II	

This chorus is accompanied by sustained chord tones in the string section.

The form in this movement is problematic. There is one main theme that is repeated at the end, but there is also an important melody in the middle section of the work. This theme, though it is not repeated, does provide the chord progression and phrase length that organizes the middle section. The form can be considered an ABA with some variation. In this movement, Baker's use of descriptive language, using "sounds" rather than listing specific effects and using "take it out" to include extended techniques such as multi-phonics or growls, to direct the improvisation is unique in the works studied in this document.

The third movement, *Doppelgänger*, is based on the A dorian mode and is a Sonata Form movement that is organized around three main themes and large sections of improvisation. The third theme is introduced in the improvised development section. Thus this movement shares some of the characteristics of the Abridged Sonata Form. Though

third theme is introduced in the development section of the movement, all three are repeated in the final section. Throughout this movement there is more use of the percussion than in the previous movements. The movement opens with a rhythmic pattern played by the snare drum in measure 1. The piano enters in measures six with a repeated ascending eighth note pattern that moves chromatically from A to C in octaves in the left hand. The soloist enters in measure 8 with the first theme in A minor. The first theme lasts until measure 25. The trombone plays a counter-melody in measures 21 through 25.

In measure 26, the strings play a fragment of the second theme, lasting four measures until measure 29. The solo saxophone and woodwinds repeat this four-measure fragment in measure 30, harmonized a tritone apart. The saxophone is in D minor; the woodwinds are in Ab minor. The piano plays a continuous eighth note accompaniment over the strings, which play sustained half-note chord tones. The first eight measures of the second theme are followed by syncopated chord tones in the trombone and french horn from measure 34 through measure 39. In measure 40, the soloist and trumpet begin playing the second phrase of the second theme. This theme is accompanied by contrasting fragments in the woodwinds, lasting until measure 51. Here the woodwinds, brass, solo saxophone, and strings play a cadential figure in unison. This figure is immediately followed by eight measures of imitation in the woodwinds based on the opening fragment of the first theme accompanied by sustained chord tones in the strings.

The middle section of this movement, beginning in measure 61, is divided into two areas: the first ending with the statement of the third theme in measure 108, and the second ending with the return of the main themes in measure 168. The first part of the improvised section can be further divided into three improvised choruses based on the twelve bar blues

form. The first chorus begins as the piano and basses play a short eighth note rhythmic motive based on the introduction alternating with the solo saxophone, which improvises “sounds.”<sup>137</sup> This section lasts from measure 61 through measure 74. While has no chord changes the length of the section and the call and response organization between the piano, basses, and the soloist act as an introduction to the twelve bar blues form, which begins in measure 75. The second short improvisational section, beginning in measure 75, is an altered twelve bar blues progression in F sharp. The progression is extended in the fifth through eighth measures, creating four measures of the IV tonality, followed by four measures of the I tonality. The final two measures of I are removed, and the third chorus of the blues progression, beginning in measure 91, immediately follows this chorus. The accompaniment is based on the introductory material throughout this improvised chorus. The second chorus of the twelve bar blues based progression is transposed up a half-step to G. This chorus is seventeen measures long, and the chords have been altered in a similar manner to the previous chorus.

E7	E7	E7	E7		
I	I	I	I		
A7	A7	A7	A7		
IV	IV	IV	IV		
E7	E7	E7	E7		
I	I	I	I		
B7	B7	A7	A7	E7	
V	V	IV	IV	I	

The accompaniment figures are related to the introductory material and to the figures used in the previous chorus. A syncopated figure is added in the ninth measure of the chorus,

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<sup>137</sup> David Baker, *Parallel Planes, mvt III*, 16.

measure 99, played by the woodwinds and string section. Each small chorus of improvisation in the first improvised area is based on a modified twelve bar blues progression.

This chorus is followed by the third theme played by the soloist beginning in measure 108. The basses play a repeated bass line that is doubled in the piano under sustained chords in the violins, violas, and cellos. The theme is twenty-two measures long, lasting from measure 108 through measure 129.

Example 43. *Parallel Planes*, mvt. III, pg. 32, m. 109-112. This is an excerpt of the third theme, performed by the soloist over an accompaniment in the string section. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a musical score for measures 109-112. The score is for Piano, Solo Alto Saxophone, Violin I, Violin II, Viola, Cello, and Bass. The Piano part features a complex harmonic structure with various chords and a melodic line. The Solo Alto Saxophone part has a melodic line with a prominent 'p.' marking. The string section (Violin I, Violin II, Viola, Cello, Bass) provides a sustained accompaniment with a repeated bass line.

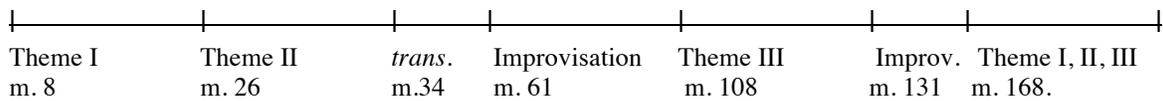
The woodwinds enter in measure 117 and double the string accompaniment. The third theme is followed by the second section of improvisation beginning in measure 131.

The second area of improvisation is thirty-eight measures long and lasts from measure 131 through measure 168. The chord progression is through-composed and based on a series of modal scales though the last four measures are ii-V chord progressions. The accompaniment is made up of a series of layered ostinato patterns in the strings, piano, and brass sections. The woodwinds play counterpoint figures based on each modal scale, beginning in measure 140. The repeated bass line changes in measure 153. The basses play a sustained E under an E minor arpeggio played by the cellos and bassoon. This sustained bass note is cadential in nature leading to the final section of the movement, the repetition of the main themes, which begins in A, creating a V-I root movement, though the modal harmony continues to change over this sustained E throughout the end of this improvised passage.

The final section of the movement begins in measure 169 with the return of the introductory material from measure 1 and the first theme, played by the woodwinds in the original key. The first theme ends in measure 181 and is followed by a short transition in the strings to the second theme, performed by the solo saxophone, violas, and cellos over sustained chord roots in the basses. A short improvised passage, lasting from measure 192 through measure 200, accompanied by sustained chord tones in the strings and brass section precedes the repetition of the third theme, which begins in measure 201. The third theme is performed in unison by the saxophone, violas, and cellos over an ostinato bass line in the basses and piano, similar to the ostinato heard in measure 108. This repetition of the third theme is twenty measures long, lasting from measure 201 through measure 220. The violins

enter in measure 204 with a syncopated chordal accompaniment. The layered ostinato patterns continue after the third theme end in measure 221. The soloist improvises from measure 221 through measure 230. The rhythmic introductory material returns to finish the movement with a crescendo to a sustained Bb major chord in the orchestra with a minor third in the solo saxophone. Baker writes, “yes, this is correct”<sup>138</sup> in the saxophone part.

The form of the third movement is organized around three main themes and two areas of improvisation. The improvised passages are divided by the third theme. In the final section of the movement the themes are played repeated in close proximity to one another. This is the form of the third movement.



The first improvised area is based on the twelve bar blues progression, and the second is through composed. The transitional material is thematic in nature but is not repeated. The placement of the third theme late in the movement is problematic, but the theme is repeated in close proximity to the first two themes at the end of the work by the solo saxophone and the violas.

The soloist interacts with different members of the orchestra in several places in this movement. In the second theme, beginning in measure 30, the saxophone performs the melody with the woodwinds. The woodwinds are transposed a tritone away from the saxophone for four measures from measure 30 through measure 33. In measures 40 through 42, the saxophone and trumpet play a descending eighth-note transitional figure in unison. In measure 188, the solo saxophone, violas, and cellos play the second theme in unison from measure 188 through measure 191. Beginning in measure 200 the saxophone and violas

<sup>138</sup> David Baker, *Parallel Planes, mvt. III*, 59.

perform the third theme in unison through measure 209. Each of these areas presents intonation problems for the soloist. The writing is idiomatic, and there are no unusual technical challenges.

The improvisatory language of the third movement is divided into two styles with each style corresponding to the first and second improvised area. The harmony in the first improvised area is based on two choruses of the twelve bar blues progression, though each progression is altered. The first progression is lengthened to sixteen measures.

F#7	F#7	F#7	F#7	
I	I	I	I	
B7	B7	B7	B7	
IV	IV	IV	IV	
F#7	F#7	F#7	F#7	
I	I	I	I	
C#7	C#7	B7	B7	
V	V	IV	IV	

The second progression is raised a half step and lengthened to seventeen measures.

G7	G7	G7	G7		
I	I	I	I		
C7	C7	C7	C7		
IV	IV	IV	IV		
G7	G7	G7	G7		
I	I	I	I		
D7	D7	C7	C7	G7	
V	V	IV	IV	I	

The accompaniment in these two choruses of the blues is based on layered ostinato patterns.

Each pattern reinforces the written harmony.

The second large improvised area begins in measure 131 and is based on modal improvisation. Baker gives the soloist scales rather than chords. The progression is through composed.

m. 131 E natural minor  
m. 137 E mixolydian  
m. 139 C dorian  
m. 143 diminished scale built on F  
m. 149 Bb ascending melodic minor, starting on F  
m. 153 C Lydian  
m. 159 E triad  
m. 161 A dorian

The final four measures of this progression move through the circle of fifths, beginning on B dominant and ending on F dominant.

B7   E7   A7   D7   G7   C7   F7

Each chord is extended with a lowered ninth scale degree. The accompaniment reinforces the chord tones through this section. Chromatic alterations should be used, but Baker asks the improviser to create a sense of tonality.

There are two areas in this work where Baker uses avant-garde techniques. The first area lasts from measures 61 through 73. Here he writes, “sounds” in the saxophone part. On the recording by the Cleveland Chamber Symphony, Howie Smith uses multiphonics, growls, screams, and other techniques. He generally follows the contour of Baker’s marks.

Example 44. *Parallel Planes*, mvt. III, pg. 16, m. 62-64. Baker writes a contour giving the soloist an ideal shape for each phrase, but the choice of technique is left to the performer.

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The image shows a musical score for measures 62-64 of the third movement of *Parallel Planes*. The score is arranged in a system with seven staves. From top to bottom, the staves are labeled: Piano, SOLO ALTO SAXOPHONE, Violin I, Violin II, Viola, Cello, and Bass. The Piano part features a complex harmonic structure with many chords and accidentals. The Solo Alto Saxophone part has a melodic line with a long slur over measures 62 and 63. The string parts (Violin I, Violin II, Viola, Cello, and Bass) provide a harmonic and rhythmic foundation, with various note values and slurs.

In the final measures of the movement, Baker writes in a similar style though over a chord change in measures 221 through measure 229.

Example 45. *Parallel Planes*, mvt. III, pg. 56, m. 221-224. Baker intends for the soloist to use both harmonic improvisation and avant-garde techniques such as growls, multiphonics, and screams. Used by permission. © Copyright [1993], Lauren Keiser Music Publishing (ASCAP). All rights reserved. International Copyright secured.

The image shows a handwritten musical score for saxophone, specifically for the third movement of 'Parallel Planes' by David Baker. The score is written on three staves. The top two staves are for the saxophone, with the upper staff in treble clef and the lower staff in bass clef. The notation is highly complex and expressive, featuring a large, sweeping melodic line that spans across both staves and includes various accidentals (sharps, flats, naturals) and dynamic markings. The bottom staff is labeled 'ALTO SAX' and contains a more rhythmic and melodic line, with some handwritten notes like 'D7b9' and '(Talent out)'. The overall style is avant-garde and experimental, consistent with the text's description of techniques like growls and multiphonics.

The use of extended techniques sets this movement and this piece apart from his other works composed for saxophone. No other works studied in this document require these techniques.

In the work *Parallel Planes*, David Baker uses a variety of techniques to combine the tradition of jazz improvisation with the tradition of the concerto. In the first movement Baker uses each orchestral section against one another. The melodies are fragmented between instrumental sections, and the rhythms are broken with moments of silence interspersed with moments of frantic polytonal writing. The soloist is asked to improvise over polytonal writing throughout the movement. The second movement is organized around one theme and an improvised section based on the twelve bar blues chord progression played on the soprano saxophone. The final statement of the theme is played on alto saxophone. Baker uses the change in timbre and range between the soprano and the alto saxophones as a part of the formal structure. The third movement is based on three main themes and two

areas of improvisation. The third theme is introduced between the section of improvisation, and it is repeated with the other two themes at the end of the movement. The improvisational sections are based on the twelve bar blues chord progression and on modal improvisation. Baker also incorporates avant-garde techniques. In *Parallel Planes*, Baker uses a variety of compositional techniques in combination with the tradition of the concerto form and the jazz tradition to create a compelling composition.

## CHAPTER VII

### CONCLUSIONS

The five works presented here provide an organized introduction into the Third Stream compositional style of David Baker. His style reflects an emphasis on melodic and thematic composition and on jazz improvisation. Each of the works presented here reflect these stylistic characteristics.

For a saxophonist interested in performing these works *Faces of the Blues* is the composition most accessible to a performer who is not well versed in the nuances of jazz improvisation. The chord progressions are based on the twelve bar blues. Though they do modulate the chord progressions each transposed chord progression is consistent through the piece. *Parallel Planes*, through its use of extended techniques, is accessible to saxophonists comfortable improvising in an avant-garde style, even if they are less familiar with the jazz tradition.

In these works David Baker has made significant contributions to the saxophone repertoire and to the Third Stream style. These works fill a unique place in the saxophone repertoire. In each work his writing encompasses a wide range of elements from both the jazz tradition and the classical tradition. Each piece displays a carefully conceived structure organized around specific thematic ideas, used to create an impression of formal unity, and each is organized around areas of jazz improvisation. The improvised areas may incorporate standard jazz chord progressions into the structure of the thematic material as well as providing a basis for improvisation. In each work a special emphasis is placed on the twelve

bar blues progression that Baker continually expands and varies. In each of these five pieces Baker finds a different solution to the challenges of Third Stream composition.

First, in the *Concerto for Tenor Sax and Orchestra* Baker includes a jazz rhythm section. The variety of texture gained becomes a structural element, uniting the orchestra and the rhythm section. The rhythm section improvises with the soloist and is also written as part of the orchestra, performing composed material. The orchestra performs composed thematic material but also joins the bass and piano performing ostinato accompaniment patterns in the manner of a big band. Both the classical and jazz traditions are expressed in a separate unmixed style as well as mixed styles so that the instruments take on new roles.

In *Ellingtones* Baker uses fragments of Duke Ellington's compositions as structural features of the work especially in the third movement, a passacaglia based on the chord progression to *It Don't Mean a Thing (if it ain't got that swing)*. Rather than combine the surface elements of each tradition Baker uses the cyclical elements of jazz chord progressions as a unifying feature of the work.

*Faces of the Blues: a Fantasy for Alto Saxophone and Saxophone Quartet* is based on multiple choruses of the twelve bar blues progression. Each progression is varied and the work includes both composed and improvised sections. Baker varies the style of each chorus of the blues. There is, however, a recurring theme that unifies the work.

Baker's solution in the *Alto Saxophone Concerto* is to create a formal structure in which the improvised areas have an equal role with the thematic materials. He writes the thematic and improvised areas so that they move quickly between each style. At times a theme is performed at the same moment as an improvised solo. In two places he refers to

improvised passages as “duets” with the cello and then the English horn, performing composed melodies. Baker emphasizes the equality of each tradition in this work.

Finally, in *Parallel Planes* Baker incorporates extended techniques that would be familiar to any saxophonist in both the jazz and the classical tradition. The work incorporates a polytonal harmonic language. Only in brief moments in the slow second movement are simple triadic tonalities used. Each movement in the work is organized around central thematic figures. The middle section of the second movement is based on three choruses of the twelve bar blues progression. In this piece Baker is not concerned with the careful equality of each tradition, rather moving virtuosically between the traditions.

The demands placed on the saxophonist by these works are great. Each work requires a thorough understanding of both the classical and jazz tradition. The soloist is paired with members of the orchestra and must have a highly developed sense of intonation and phrasing. At the same time Baker’s writing in the improvised areas changes depending on the effect he wants the soloist to create. Baker incorporates traditional jazz harmonic writing, modal scales, polytonal chords, and synthetic scales consisting of disparate scale fragments. The soloist should have an understanding of the musical implication of each of these writing styles.

Baker has written several works that are currently unavailable. All the musicians who commissioned each work are still performing. Further research will reveal the following valuable information: how did each performer deal with the specific challenges of presenting that work for the first time? Did Baker have concrete suggestions to make each performance a success? Does Baker intend for the improvisations to have a consistent character regardless of the performer, or does each work support many styles of improvisation? Is there a

consistent system of formal structure in Baker's other works? Has a consistent Third Stream formal structure been developed? Further research is needed to examine the consistency of these findings concerning these works with Baker's other compositions and with Third Stream compositions in general.

David Baker's career has led him to encounter many styles of musical performance and composition. He has developed an understanding of the traditions of both jazz and classical music. In the development of his style he has learned to fuse his own musical personality with that of each performer to create a distinctive sound.

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# APPENDIX A

## OCTAVE DESIGNATION

The image displays a grand staff with two staves: a treble clef on top and a bass clef on the bottom. The notes and their octave designations are as follows:

- Treble Clef:**
  - Two ledger lines below the staff:  $C^1$
  - First line:  $C$
  - Second space:  $c$
  - Third space:  $c^1$
  - Fourth space:  $c^2$
  - Fifth space:  $c^3$
  - First line (with a brace above it):  $c^4$
  - Second line (with a brace above it):  $c^5$
  - Second space (with a brace above it):  $c^6$
- Bass Clef:**
  - Fourth space:  $C^1$
  - Third space:  $C$
  - Second space:  $c$
  - Second line:  $c^1$

## **APPENDIX B**

### **PUBLISHER ADDRESSES**

Lauren Keiser Music Publishing  
Keiser Classical  
12685 Dorsett Rd., #331  
Maryland Heights, MO 63043-2100 USA  
Ph: (203) 560-9436  
Fax: (314) 270-5305  
<http://www.laurenkeisermusic.com>  
email: [info@laurenkeisermusic.com](mailto:info@laurenkeisermusic.com)  
[rental@laurenkeisermusic.com](mailto:rental@laurenkeisermusic.com)

Subito Music Corporation  
60 Depot St.  
Verona, NJ 07044 USA  
Ph: (973) 857-3440  
Fax: (973) 857-3442  
<http://www.subitomusic.com>  
email: [mail@subitomusic.com](mailto:mail@subitomusic.com)

**APPENDIX C**  
**DISCOGRAPHY**

Baker, David N. *Alto Saxophone Concerto on Paul Freeman Presents.... David Baker, vol. XII.* Paul Freeman, conductor, Tom Walsh, soloist. Albany Records, Troy CD 843. CD

\_\_\_\_\_. *Faces of the Blues: a Fantasy for Solo Alto Saxophone and Saxophone Quartet on Classic Saxophone, vol. 2: Musica da Camera.* Frank Bongiorno, soloist. Liscio Recordings, LCD-09193. 1992, CD.

\_\_\_\_\_. *Faces of the Blues: a Fantasy for Solo Alto Saxophone and Saxophone Quartet on Tsunagari.* Zagreb Saxophone Quartet w/ Eugene Rousseau, soloist. 2002, CD.

\_\_\_\_\_. *Parallel Planes on The New American Scene, vol. II: 5 Distinguished African American Composers.* Edwin London, conductor, Howie Smith, soloist. Albany Records, ALB 303. 1999, CD.

## APPENDIX D

### SELECTED OTHER WORKS BY DAVID N. BAKER

G. SHIRMER/ASSOCIATED MUSIC PUBLISHERS.

<http://www.schirmer.com/>

*Le Chat Qui Peche* (1974)

Orchestra, soprano, and jazz quartet.

Commissioned by The Louisville Orchestra.

*Concerto for Cello and Chamber Orchestra* (1975)

Commissioned by Janos Starker

*Kosbro* (1973; revised in 1975)

Orchestra.

Commissioned by Paul Freeman.

*Sonata for Violoncello and Piano* (1973)

Commissioned by Janos Starker.

*Thou Dost Lay Me in the Dust of Death* (1966)

Chorus (SATB) unaccompanied.

*Two Improvisations for Orchestra and Jazz Combo* (1974)

Commissioned by The Louisville Orchestra.

SUBITO MUSIC/DUNSINANE MUSIC

<http://www.subitomusic.com/>

*Concerto for Brass Quintet and Orchestra* (1987)

Commissioned by Top Brass

*Homage a l'Histoire* (1994)

Clarinet, bassoon, trumpet, percussion, violin, and contrabass

Commissioned by James Campbell.

*Images, Shadows and Dreams: Five Vignettes* (1993)

Chorus (SATB), flute, guitar, piano, bass, and percussion  
Tri-commission by The Plymouth Music Series, The Los Angeles  
Master Chorale, and the New York Ars Nova

*Suite for Cello and Jazz Trio*

Violoncello, piano, bass, and drums  
Commissioned by Ed Laut

WINGERT JONES PUBLICATIONS/FEMA MUSIC PUBLICATIONS

<http://www.wjpublications.com>

*Pastorale* (1959)

String Quartet

LAUREN KEISER MUSIC PUBLISHING

<http://www.laurenkeisermusic.com/>

*Alabama Landscape* (1990)

Bass-baritone and orchestra.  
Commissioned by William Brown

*Concerto for Cello and Jazz Band* (1987)

Commissioned by Ed Laut

*Concerto for Trumpet, String Orchestra, and Jazz Band* (1988)

Commissioned by Dominic Spera.

*Concerto for Two Pianos, Jazz Band, Strings, and Percussion* (1976)

Commissioned by Charles Webb and Wallace Hornibrook  
for the Webb-Hornibrook Duo

*Concerto for Violin and Jazz Band* (1969)

Commissioned by Josef Gingold.

*Trombone and Strings* (1991)

Commissioned by The Camerata Orchestra for Dee Stewart

*Concertpiece for Viola* (1989)

Viola and orchestra.  
Also scored for viola and piano.  
Commissioned by Karen Elaine.

- Contrasts* (1976)  
Violin, violoncello, and piano.  
Commissioned by The Western Arts Trio.
- Deliver My Soul* (1968)  
Violin and piano.
- Duet for Alto Saxophones* (1990)
- Duo for Clarinet and Cello* (1988)  
Commissioned by The Ronen Chamber Ensemble.
- Ethnic Variations on a Theme of Paganini* (1976)  
*Violin and piano*  
Commissioned By Ruggerio Ricci.
- Five Short Pieces for Piano* (1970)
- Four Biblical Tales in Spiritual Style* (1993)  
Chorus (SATB) and piano.
- Give and Take* (1975)  
Soprano and chamber ensemble (flute/alto flute, oboe/English horn, viola, violoncello, and percussion)  
Commissioned by Edith Diggory
- Homage: Bartok, Bird, and Duke* (1988)
- Images of Childhood*  
Orchestra.
- Impressions for Two Cellos* (1988)  
Commissioned by Janos Starker.
- Inspiration* (1987)  
Flute and piano.  
Commissioned by Carol Wincenc.
- Jazz Dance Suite* (1988)  
Piano.  
Commissioned by Gary Smart.

*Jazz Suite for Clarinet and Symphony Orchestra: Three Ethnic Dances* (1992)  
Commissioned by the Akron Symphony Orchestra.

*Jazz Suite for Violin and Piano* (1979)

*Life Cycles* (1988)

Tenor, French horn, and string orchestra.  
Also scored for tenor, French horn, and piano.  
Commissioned by William Brown.

*Piece for Brass Quintet and Orchestra* (1988)

Commissioned by Top Brass

*Reflections on a Summer's Day* (1986)

Cello choir.

*Refractions for Cello Quartet* (1993)

Commissioned by Janos Starker.

*Refractions for String Orchestra* (adaptation, 1998)

This is an adaptation for string orchestra of *Refractions*  
for Cello Quartet.  
Commissioned by Paul Freeman.

*Roots* (1976)

Violin, violoncello, and piano.  
Commissioned by The Beaux Arts Trio.  
Withdrawn

*Roots II* (1992)

Violin, violoncello, and piano.  
Commissioned by the Beaux Arts Trio

*Rouge et Noir* (1985)

Piano, bass, drums, and flute.

*Shades of Blue* (1993)

Orchestra  
Commissioned by the Roanoke Symphony Orchestra

*Singers of Songs, Weavers of Dreams* (1980)

Violoncello and solo percussion.  
Commissioned by Janos Starker

*Six Poemes Noir pour Flute et Piano* (1974)

*Sonata for Clarinet and Piano*

*Sonata for Flute and Piano*

*Sonata for Jazz Violin and String Quartet* (1987)  
Commissioned by Joseph Kennedy, Jr.

*Sonata for Piano* (1968)  
Commissioned by Natalie Hinderas

*Sonata for Piano and String Quintet* (1971)  
Commissioned by Helena Freire

*Sonata for Solo Cello* (1990)

*Sonata for Tuba and String Quartet* (1971)  
Commissioned by Harvey Phillips

*Sonata for Violin and Piano*

*Sonata for Violin, Cello, and Four Flutes* (1980)

*Suite for French Horn and Jazz Combo* (1986)

*Suite for French Horn, String Quartet, and Contrabass* (1986)

*Suite for Unaccompanied Violin* (1975)

*Summer Memories* (1988)  
String quartet.  
Commissioned by the Audubon Quartet.

*Theme and Variations* (1970)  
Woodwind quintet.

*Theme and Variations for Piano and String Quintet* (1971)

*Through This Vale of Tears* (1986)  
Tenor, piano, and string quartet.  
Commissioned by William Brown.

*Two Cello String Quintet* (1987)  
Violoncello and string quartet.  
Commissioned by Janos Starker.

*Witness: Six Original Compositions in Spiritual Style* (1990)  
Baritone and contrabass.  
Commissioned by the Plymouth Music Society

*Woodwind Quintet from The Black Frontier* (1971)

*Woodwind Quintet No. 1*