Post-Genre: Understanding The Classical-Jazz Hybrid Of Third Stream Music Through The Guitar Works Of Frederic Hand, Ralph Towner, And Ken Hatfield

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POST-GENRE: UNDERSTANDING THE CLASSICAL-JAZZ HYBRID OF THIRD STREAM MUSIC THROUGH THE GUITAR WORKS OF FREDERIC HAND, RALPH TOWNER, AND KEN HATFIELD

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DEDICATION

To Rachel.

For helping make the world bigger.
ACKNOWLEDGMENTS

Academic careers, much like life, can be a complex process of success, frustrations, absurdity, maturity, and coffee. A comprehensive list of individuals who have mentored, assisted, or by any means aided me in reaching this point in my life would be exhaustive and inevitably neglect a name or two purely by my own error. At the very least, I can acknowledge those who have helped me with this project.

My mom and dad have always been the most supportive people in my life. They have consistently responded to my views and decisions with the utmost love and encouragement, for which I will always be grateful. Literally none of this would be possible if it were not for them.

Rachel Hansbury, the love of my life, continually pushes me to think bigger, try new things, and always be curious about life, art, and culinary adventures. She fascinates me with her grace, her wisdom, and her spirit. Simply put, I’m a better person because of her.

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I’ve always been intrigued by third stream music, in particular what a classical-jazz hybrid means for the guitar. I will be forever thankful for the participation, encouragement, and examples from Frederic Hand, Ralph Towner, and Ken Hatfield. Additional thanks are owed to Dušan Bogdanović for his insight on this topic.
Finally, I would like to thank each respective publishing company for their permission in allowing me to reprint their material as musical examples. In particular, I would like to extend my gratitude towards Ken Hatfield for allowing me to reprint his unpublished work. All examples are used by express permission from their respective publishers and are limited to the usage in this document.
ABSTRACT

Gunther Schuller coined the term “third stream” in 1957 as a reference for a style of music that blends the practices of both the classical and the jazz traditions. Despite a fair critical reception and the efforts of like-minded musicians and composers, third stream as a musical concept failed to achieve much commercial success, and by the 1970s it was considered a passing modernist fad. Nonetheless, the fusion of classical and popular musical genres that embodies spirit of third stream thrives today, although most practitioners tend to neglect the term itself. The purpose of this document is to examine the history and current climate surrounding third stream music as it relates to the classical guitar.

After an analysis of the history and critical and commercial reception of third stream music, this document will analyze the works of three guitarists whose work represents a fusion of the classical and jazz genres: Frederic Hand, Ralph Towner, and Ken Hatfield. Additionally, the author will explore what the implications of third stream music mean for the contemporary generation of classical guitarists who may have been exposed to or trained in musical genres and styles outside of the Western art tradition.
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INTRODUCTION

I use the term as an adjective, not a noun... Ultimately, I don’t care whether or not the term “Third Stream” survives.

– Gunther Schuller

... Gunther Schuller led the way to what we sometimes hear now as “post-genre”... that term (third stream) is associated with another time in our musical history.

– Frederic Hand

The twentieth century bore witness to an expansion of musical genres and styles unlike any previously seen in history. Considering music of the Western art tradition alone we no longer find that the blanket genre terms intended to cover given periods of music apply. Where designations such as Baroque, Classical, and Romantic give us an impression of a specific generation’s harmonic conventions and stylistic qualities the turn of the 1900s produced divergent strands of music (at least those based in the Western art tradition) we label post-romantic, maximalist, serialist, impressionistic, nationalist, and neoclassical, to name a few. In the second half of the twentieth century we see movements in minimalism, texturalism, avant-garde, indeterminacy, experimentalism, microtonality, and new complexity, among others. Music of the Western tradition grew at such an accelerated pace that journalists and textbooks often group these different sounds under the ambiguous umbrellas of Modern or Contemporary music. While these terms only serve as broad generalizations, signifiers more of time periods than of musical
qualities, we can at least understand how rapid and diverse this musical revolution was and, in many ways, is today.

Looking outward from the Western tradition the label of modern or contemporary fails to cover advancements made in more popular, yet no less important, musical genres, namely jazz. From its origins in the late nineteenth and early twentieth centuries in New Orleans to its global presence today, jazz underwent an evolution as rapid and dramatic over the course of the century as classical music. Academic articles and theses have even documented ways in which the formal and harmonic developments in jazz have mirrored those of the Western art tradition.\(^1\) The evolution of jazz—encompassing style designations such as ragtime, big bands, be-bop, cool, fusion, and avant-garde—is as much a story of reactions, responses, and growth as is the evolution of classical music. Both genres have been shaped by the economic and sociological factors of their cultures at large, music that effectively changed with the spirit of the age. It is also interesting to note that the divide between “classical” and “jazz” venues in the late twentieth and twenty first centuries have blurred, and performances of both genres are now common in concert halls, nightclubs, universities, and dive bars alike.

While classical and jazz are traditionally divided by musical language and stylistic conventions, they often share similar instrumentations. Brass and percussion instruments such as the trumpet, trombone, and the bass drum form perhaps the earliest instrumental links between the two genres, as does the piano and select woodwinds like the saxophone. The guitar, however, represents one of the most interesting connection points. Its classical growth from a four-course instrument in the Renaissance to its

\(^1\) Scott Elliott, “A Study of Tonal Coherence in Jazz Music as Derived from Linear Compositional Techniques of the Baroque Era” (master’s thesis, Duquesne University, 1987).
development as a contrapuntal six-string instrument in the Classical era reveals an instrument evolving in response to the shifts in values and sensibilities of its musical culture. Likewise, the guitar often found ways to adapt in jazz, from Django Reinhardt’s acoustic swing in the Quintet du Hot Club de France to Charlie Christian’s electrified bebop with Benny Goodman’s band. Perhaps it was inevitable that classical and jazz would unite in the twentieth century, a cross-pollination aided by a shared functional musical language and instrumental families, but the guitar was generally absent from early efforts to blend these two musical worlds. The nylon-string classical guitar was especially late to this development, for all practical purposes entirely absent from the early stages of this fusion.

This hybridization of the Western art tradition with jazz is traditionally referred to as third stream music. First defined by Gunther Schuller during a lecture at Brandeis University in 1957, third stream music refers to a genre of music influenced by both classical and jazz, yet notably distinct by its own original sound.\(^2\) Schuller’s image-driven reference to the name perceives separate mainstreams of classical and jazz, tributaries in his analogy, running alongside one another, streams of water separate and undisturbed. Gradually, small streams branch out from each original source, and these new streams meet together to produce a unique third stream that blends the originals together while at the same time leaving the primary sources untouched and steadfast in their respective paths.

In addition to Schuller, initial champions of third stream included Ran Blake (who later taught alongside Schuller at the New England Conservatory), Alec Wilder, Rolf

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Lieberman, and André Previn; composers, all of whom were comfortable and well versed in both the classical and jazz traditions. Most of the initial third stream experiments resulted in compositions blending stylistic and formal techniques from both genres, such as swing, tone rows, improvisation, and abstracted dance forms. A significant number of these compositions were written for mixed ensembles of orchestral musicians paired with jazz trios or quartets, often written as a concerto for the latter.³ Any use of the guitar in third stream was typically limited to the electric guitar in an accompanying role in select ensembles, with virtually nothing written or arranged for the acoustic guitar.⁴ The acoustic guitar, outside of gypsy swing, was not a traditionally popular jazz instrument at this time due in great part to its restricted volume. Schuller himself noted that the unamplified acoustic guitar was simply too soft and textually thin, and would be best replaced by a harp in large ensemble works.⁵ While he may have been aware of the possibility of amplifying the acoustic guitar either by microphone or added pickups, Schuller never chose to explore this possibility.

Although championed by select adventurous musicians,⁶ third stream music suffered an initial lukewarm commercial reception and a severe critical backlash. Journalists and musicians opposed to third stream felt Schuller and his contemporaries, despite attempting to unite the best of both genres, were instead damaging their reputations. This view voiced two specific arguments: either third stream intended to

³ Notable examples include Rolf Liebermann’s “Concerto for Jazz Band and Orchestra,” Gunther Schuller’s “Transformation,” and Ralph Burns’ “Summer Sequence.”
⁴ Of an interesting historical note, either Barry Galbraith or Jim Hall typically held the electric guitar chair in these ensembles.
⁶ While noted jazz musicians, such as Charles Mingus, John Lewis, and Bill Evans focused energy toward third stream, the only practitioners from the classical world to do the same seem to have been Schuller, Liebermann, and select other composers.
muddy classical music with swing and improvisation leanings, or it handcuffed jazz (a
music still in its relative youth) to antiquated practices. The severity of the criticism
ranged from the casual dismissal of third stream as a charming yet misguided experiment
to outright accusations of racial insensitivity. ⁷ Nonetheless, Schuller defended, clarified,
and supported his vision of third stream music, going so far as to start a third stream
curriculum during his time as president of the New England Conservatory (NEC). ⁸ Sadly,
the lukewarm critical and commercial reception was simply too strong, subsequent
compositional premieres dwindled, and third stream as a unified musical front seemingly
faded from public view.

Perhaps part of the problem that led to third stream’s downfall was the quality of
the musicians involved. While early works combined professional musicians separately
from the classical and jazz realms, there were few comfortable working in both genres.
Many of the third stream works for large ensembles, the aforementioned “concerti” for
jazz groups, would shift the primary musical focus back and forth between the classical
and jazz musicians, effectively allowing them to play together when the material could
support both yet never truly fusing the two together into a cohesive whole. Perhaps part
of this problem could be traced back to the training and musical attitudes advanced in
conservatories and university programs, institutions that tended to focus exclusively on
classical music. While jazz programs today thrive within the university system, at the
time of third stream’s rise (the late 1950s to the early 1960s) it was still considered a

⁷ Although Schuller specifically noted the later the specific accuser(s) have never been directly named. It’s
entirely plausible that such a claim was made to Schuller in person rather than in print.
⁸ The spirit of this program still exists at NEC today. It has, however, undergone some modifications and
currently is known as the Contemporary Improvisation program.
popular musical form unworthy of high study.\textsuperscript{9} Jazz musicians were traditionally trained on the bandstand at clubs and dancehalls, venues removed from the classical music world. Even though the actual instruments used by jazz and classical musicians are identical, it is not difficult to understand them as culturally separated musical genres. A similar observation could be made about the role of the classical guitar in academia. The first cultural push for the guitar in higher education was surely influenced by the successful concertizing of Andrés Segovia in the 1920s, a time when the guitar was still generally seen as a folk instrument despite a wealth of repertoire from the Classical and Romantic periods.

Today, however, the gap between art and popular music has been significantly narrowed, and it is now common for musicians to flow between otherwise separate genres and not work solely in either classical and jazz alone. Yo-Yo Ma, one of the most prolific classical musicians of the twentieth and twenty-first centuries, has collaborated with artists from a range musical genres, most recently fusing classical music with bluegrass in the Grammy-award winning collective The Goat Rodeo Sessions.\textsuperscript{10} The Brodsky String Quartet has collaborated with singer-songwriter Elvis Costello on his wildly popular \textit{The Juliet Letters} cycle. The contemporary string quartet Brooklyn Rider have recorded and performed with the banjo virtuoso Béla Fleck. Looking directly at contemporary classical-jazz collaborations reveals a multitude of musicians who have crossed over or blended various genres: John Williams (guitar), Vijay Iyer, Rene Fleming, Christopher O’Riley, Keith Jarrett, Fred Hersch, the Turtle Island String


\textsuperscript{10} The MacArthur award-winning mandolinist Chris Thile, another member of the Goat Rodeo Sessions, has also blended his bluegrass background into classical and jazz collaborations with Edgar Meyer, Julian Lage, and Brad Mehldau.
Quartet, Paquito D’Rivera, the Assad Brothers, Manuel Barrueco, and countless others. The programming of the guitar in concert seasons and music festivals across the United States reveals how well the classical guitar has flourished as a concert instrument since the immediate post-Segovia age. If nothing else, one can understand this generation’s acceptance of a classical and jazz stylistic hybrid, as well as the classical guitar as a serious concert instrument.

The intent of this document is to focus on three classical (nylon-string) guitarists notable for their personal style of composition and performance that can undeniably be included within the classical-jazz hybrid of third stream music. Additionally, the impact of third stream, the relevance of its name in our musical culture, and what it means for today’s generation of classical guitarists will be considered in regards to contemporary performance practice. Although the term is neglected today, the spirit of third stream music thrives commercially and critically.

Chapter two will discuss the history, reception, and impact of third stream music. From Schuller’s initial philosophies about blending classical and jazz to contemporary accounts of its active practice, I will outline why acceptance of third stream music necessitated the passage of time on the parts of the critic, the audience, and most importantly the musicians themselves.

Chapter three will focus on Frederic Hand, a New York-based composer, performer, and educator. The most “classical” of the three, Hand balances his professional output between works steeped in the Western art tradition with arranging and improvisational practices originating in jazz. Through an analysis of his compositions I will explore how he balances classical structures with the language of jazz.
Ralph Towner, a musician known for his work with the jazz-fusion ensemble Oregon, his collaborations with classical, jazz, and world musicians, and his own solo compositions and recordings, is the subject of chapter four. Initially a pianist, Towner subsequently embraced the classical guitar as an expressive instrument in both solo and ensemble settings. Through analysis of his compositions and instructional material, I will demonstrate how his individual style is equally influenced by both the classical and jazz traditions.

Chapter five will focus on Ken Hatfield, a jazz guitarist who performs on the nylon-string classical guitar. A New York based musician, Hatfield has written, performed, and arranged in solo and mixed ensemble settings. I intend to analyze select works written for the guitar, both solo and in mixed ensemble, for their jazz elements within a classical structure, as well as his pedagogical material, namely an extensive text written for the classical guitarist aiming to incorporate jazz into his or her playing.

In chapter six I will explore what the idea of a third stream guitarist means today. In some ways we are returning to a nineteenth century view of the guitarist as performer, composer, and improviser all in one. Through analysis of contemporary articles, available resources, and interviews with active practitioners, I will explore what this notion of third stream can offer the contemporary classical guitarist in regards to existing repertoire and new possibilities in performance.

Chapter seven will conclude the document with final observations. For nearly a century the role of the classical musician could be likened to an actor: performances are based upon a pre-existing script, one the performer then delivers based upon stylistic conventions and personal approach. Today’s musical world, however, presents us with an
audience accepting of new sounds, arrangements, and fusions of classical and popular styles. While we are always allowed to look back to the established canon, the potential in looking forward has never been so diverse and rewarding to the enthusiastic performer.

John Cage, one of the most significant radical voices of twentieth century music, once noted, “We’re going in so many different directions.”¹¹ This ideal, that the musical world is not constructed of a linear path but a series varying trajectories with different aims and goals, has never been more apparent than it is today. The variety and frequency of progress, collaboration, and stylistic pollination in music reflects today’s ever-growing global village, a world of ideas and cultures freely fusing to expand upon the notion of possibility. The musical climate at the turn of the twenty-first century has witnessed and welcomed innumerable different directions, and artists working with a third stream sensibility stand to thrive in a more accepting and enthusiastic world than that of the late 1950s at the term’s birth.

CHAPTER TWO

ORIGINS, RECEPTION, AND THE CURRENT STATE OF THIRD STREAM

In June 1957 Gunther Schuller served as the curator of Brandeis University’s new music festival. During his keynote lecture Schuller introduced third stream as a concept to officially codify a hybrid of the classical and jazz genres. Although the specific content of this keynote lecture seems to be lost, it’s entirely likely that it carried the same tone as his subsequent writings about third stream: a focus on the inherent possibilities offered by this fusion rather than a staunch dogma over defining a new style. Schuller presented the idea of third stream during this weeklong new music symposium that culminated in a concert featuring world premieres of six works, commissioned by Schuller and the Brandeis University music department, from composers that embodied the spirit of third stream. The six premieres on the concert featured three composers from the classical world (Schuller, Milton Babbitt, Harold Shapiro) and three from jazz (John Lewis, Charles Mingus, George Russell).

The focus of blending two distinct genres of music must naturally stem from a background of respect and sincerity, which is exactly how Schuller approached this process. He often described his first time hearing Duke Ellington’s big band as a revelation, an experience he relates as valuable and richly textured as the moment he

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discovered Beethoven and Brahms.\textsuperscript{14} Later interviews with Schuller clarified that he never viewed classical and jazz as musical genres of differing quality, simply different origins and compositional techniques.\textsuperscript{15} He disdained the tradition of referring to classical music as “serious” music due to the implications it made about music not from the Western art tradition, specifically jazz. To Schuller, third stream was an attempt to demonstrate what these two genres could offer one another. It represented a world steeped in possibilities, not rules.

During his younger days as an active musician Schuller played horn on a number of recording sessions, most notably those that would subsequently make up Miles Davis’ \textit{Birth of the Cool} sessions.\textsuperscript{16} Often referenced as a precursor to third stream, \textit{Birth of the Cool} featured a collection of bebop standards arranged for an extended ensemble by Gil Evans.\textsuperscript{17} Evans was known for holding informal gatherings in his Manhattan apartment, essentially salon performances to experiment with arrangements that adapted techniques borrowed from the classical tradition to jazz standards and original compositions.\textsuperscript{18} Indeed, much of Evans’ career consisted of arrangements and orchestrations that blurred the line between the practices of the classical and jazz worlds, essentially paving the way for future acceptance and recognition of what third stream would come to be.\textsuperscript{19} It seems inevitable that Schuller’s performance on the \textit{Birth} sessions, as well as his other

\textsuperscript{15} Ibid.
\textsuperscript{17} Miles Davis, \textit{Birth of the Cool}, Hollywood, Calif: Capitol Jazz, 1957.
\textsuperscript{19} Of interesting note, Evan’s most popular and complex arrangement on his 1960 \textit{Sketches of Spain} recording (again, with Miles Davis) was a reworking of the second movement of Joaquin Rodrigo’s \textit{Concerto de Aranjuez}.  

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collaborations with Evans and his arranging, would spark a curiosity that would later manifest itself in establishing a foundation for third stream.

Although discussed informally amongst colleagues and collaborative musicians for years, Schuller’s first official written statement on third stream was not published until 1961, years after the Brandeis concert, in the Sunday Review of Literature.\(^{20}\) Rather than simply introduce the term to the public at large, he also used the article to defend the term against its detractors. Schuller understood critics felt he intended to fuse two genres of music that, in actuality, necessitated separation from one another. Journalists wrote about Schuller being a misguided idealist, while musicians opposing the term felt that blending the genres was an attack on their own musical traditions.\(^{21}\) Curiously, such criticisms typically neglected to mention canonized symphonic jazz and jazz-inflected classical works often mistaken for third stream. Extended compositions born from the classical lineage such as George Gershwin’s Rhapsody in Blue, Darius Milhaud’s La Creation du Monde, and Igor Stravinsky’s Ebony Concerto freely incorporate jazz elements such as instrumentation, swing-based gestures, and jazz-centric harmonic and melodic idioms, yet they nonetheless respect and belong within the traditional Western canon. If these works could be programmed season after season by orchestras and appreciated by the concert-going public, reason would dictate there must be room for adapting jazz elements into the classical tradition. The same could be said of borrowing symphonic elements into jazz, in particular considering the widely successful Charlie Parker recording Charlie Parker with Strings, later expanded and re-released as Bird with

\(^{20}\) Schuller, 114.
\(^{21}\) Ibid, 115.
Nonetheless, most criticism neglected these examples in favor of dogmatic arguments on behalf of musical purity.

Defending third stream, Schuller upheld his stance that he was “…simply exercising my prerogative as a creative artist to draw upon those experiences in my life as a musician that have a vital meaning for me.” Third stream was not an attack on traditions, merely a response to them. In Schuller’s viewpoint, third stream was simply a new style expressing its potential in the contemporary music world. Even the term was of little importance for Schuller: “I use the term as an adjective, not a noun.” This view of an “adjective” allowed a flexibility for the new genre, a malleability that did not demand specifics of its composers and performers, simply a willingness to understand what classical and jazz had to offer one another.

Schuller was not interested in “improving” either genre, a notion he found reprehensible to both classical and jazz. While some may view his language as too soft or backpedaling, the 1961 article intended to defend the term, express its potential, and pay respect to the original streams of Western and popular traditions. Schuller only cared about expressing his artistic beliefs and working towards the goal of a new sound originating in the music he loved and believed in. Perhaps this is best articulated early in the article during one of his musings upon categories and all they imply:

Ultimately, I don’t care whether the term “Third Stream” survives. In the interim it is no more than a handy descriptive term. It should be obvious that a piece of Third Stream music is first of all music, and its quality cannot be determined solely by categorization.

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23 Schuller, 116.
24 Ibid, 114.
With Schuller at the forefront of third stream, defending its purpose and encouraging its growth, modern composers began to take notice and participate in the experimentation. From the classical spectrum, Rolf Liebermann, Ran Blake, and Don Banks began to blend improvisation, swing rhythm, big band instrumentation, and other jazz elements with serialism, neo-classical forms, and symphonic orchestration. Within jazz, Charles Mingus and John Lewis continued composing with this sound in mind, and Claus Ogerman eventually adapted symphonic textures to extended jazz compositions.\textsuperscript{26} Schuller made it a point to emphasize his lack of dogma regarding what third stream could be; as long as the classical and jazz traditions were respected and unified into singular compositional voice, the result was an honest result of this new sound.

From 1967 to 1977 Schuller served as president of the NEC.\textsuperscript{27} Driven by his love of jazz and a desire to see it appreciated in academia on the same level as the Western art tradition, he established the nation’s first university jazz program in 1969.\textsuperscript{28} While even today controversy lingers over jazz education in higher academia, Schuller’s establishment of this program can be understood as making a case for jazz’s serious nature.\textsuperscript{29} This was an act towards demonstrating jazz as a complex genre in the eyes of the musical elite, one with its own traditions, practices, and compositional innovations. In the years that followed, Schuller developed a separate third stream curriculum that, much like the music itself, borrowed elements from the classical and jazz programs yet maintained its own distinct direction.

\textsuperscript{26} Perhaps the best example is his extended suite \textit{Symbiosis}, essentially a piano concerto composed for Bill Evans.
\textsuperscript{28} Ibid, 39.
\textsuperscript{29} This controversy is based on the dangers of turning any music, especially one of an aural tradition, into an academic endeavor. This trouble stems from the notion that once a said music is tied to such a formal institution it loses its freshness, spontaneity, and spirit.
Pianist Ran Blake was brought on to assist in developing the third stream curriculum, joining as the chair of the program in 1972 and holding the position until 2005.\textsuperscript{30} It was during this time that the scope of what “sources” third stream could encompass expanded, with Blake specifically making a case to include music from cultures around the world.\textsuperscript{31} Despite somewhat modifying Schuller’s original definition, Blake’s true purpose was to focus on a musician’s ability and musical background outside of the classical tradition. Specifically, an emphasis on aural skills was championed, and students were trained to rely on their ears to recognize any given musical situation, assess compositional structures such as form and harmonic progressions, and understand how to respond appropriately in improvisational and accompaniment contexts.\textsuperscript{32}

During the late 1970s third stream as a compositional voice began to fade, due in part to the lack of musicians properly trained in both the classical and jazz traditions. Still typically seen as genres to remain separated from one another, the fusion of Western and popular idioms was continually misunderstood. Schuller, Blake, and other likeminded faculty at the New England Conservatory acknowledged that this lack of understanding on behalf of musicians and composers was the primary reason third stream was struggling.\textsuperscript{33} Responding to this matter, Schuller wrote an article for an NEC brochure discussing the history of third stream music and the impetus for its program at the conservatory. Recognizing the criticism leveled against it, he acknowledged that, in a

\begin{footnotes}
\item[33] Blake, “Teaching Third Stream,” 30.
\end{footnotes}
sense, third stream is a radical idea, but only in as much as it brings together what was once considered mutually exclusive. Schuller proclaimed that third stream intended to bring together separate musical genres for a higher goal: to unify them and thoroughly demonstrate that “all musics are created equal.”34 Using more colorful metaphors and declamatory language, he describes third stream as “anti-pedigree and anti-establishment” in the instances when the establishment itself is closed-minded and self-serving.35 In this last context, Schuller was far more active in defending this music and calling new generations of students, performers and composers alike, into action.

Schuller’s imagery in this article depicts third stream’s blending of genres in the same way historians understand America’s heritage as a blending of ethnicities to truly emphasize the spirit of fusion as a nationalistic sensibility.36 The unification of European and African traditions (and, subsequently with Blake’s influence, other cultures as well) became third stream’s calling card at NEC and concerts across the nation. Schuller intended to clarify what third stream was not as much as what it was, noting that it does not constitute “dressing up” jazz or playing classical repertoire with a swing feel. As codified at the end of the brochure, third stream is defined as such:

1) It is not jazz played with strings.
2) It is not jazz played on “classical” instruments.
3) It is not classical music played by jazz players.
4) It is not inserting a bit of Ravel or Schoenberg between be-bop changes—nor the reverse.
5) It is not jazz in fugal form.
6) It is not a fugue performed by jazz players.
7) It is not designed to do away with jazz or classical music; it is just another option amongst many for today’s creative musicians. And by definition there is no such thing as “Third Stream jazz.”37

34 Schuller, 119.
35 Ibid.
36 Ibid, 120.
37 Ibid.
Schuller often made reference to the critical reception of third stream concerts, more often than not noting lukewarm and unfavorable receptions from the New York Times.\textsuperscript{38} From his first essay in the \textit{Sunday Review of Literature} to recent articles in \textit{Downbeat} and \textit{JazzTimes}, he often acknowledged that much of its negative press stemmed from a lack of understanding of what third stream attempted to accomplish. While initial concert reviews were kind and expressed a curiosity regarding where this music would evolve, later accounts were more skeptical and damning of Schuller’s vision.

One of the earliest concert reviews of third stream was actually sympathetic towards the experiment, if not overly descriptive and light on judgment. A New York Times review written by John S. Wilson in 1960 accounted for Schuller’s mixed ensemble of musicians from the worlds of classical (Contemporary String Quartet) and jazz (Bill Evans Trio, Ornette Coleman).\textsuperscript{39} Noting seven selections on the program, the writer relied heavily upon descriptions of the works premiered rather than outright assessments of their quality. Although Wilson constructed the review along the lines of a new music premiere concert as is the standard within the contemporary classical music tradition, references are made to the jazz elements of the evenings music, most notably multiple acknowledgements of Coleman’s improvisational style. An anecdote detailing a woman breaking into laughter, then commenting how the music “suddenly reminded (her) of Dadaism”\textsuperscript{40} begs analysis: Was this included to draw a connection between third stream and a serious art movement, or a throwaway to the occasional absurdity of the music at hand? Regardless, Wilson notes the “validity and potential” of Schuller’s

\textsuperscript{38} Ibid, 119.
\textsuperscript{40} Ibid.
compositions, giving us perhaps the only thoroughly positive historic review of third stream music.\textsuperscript{41}

Another New York Times concert review written five years later by Howard Klein is far less kind, noting how third stream music is “running into the ground” in the very first sentence.\textsuperscript{42} Klein’s use of what might be called matter of fact language lists the works on the program that evening with less than evocative adjectives reserved for the performers. Mezzo-soprano Corrine Curry is deemed “attractive,” entirely neglecting her musical ability, while conductor Harold Faberman was noted as “capable” and a work by Schuller, \textit{Journey into Jazz}, was described as “amusingly narrated.”\textsuperscript{43} Klein notes Darius Milhaud’s \textit{La Création du Monde} as the best example of classical/jazz blending on the program, yet this raises another contention regarding third stream. As previously noted, Milhaud’s orchestral piece is a work in the classical tradition informed by elements of jazz, yet it does not fuse them in the manner idealized by Schuller and his contemporaries. This lack of understanding of third stream subtly characterizes the article as misinformed right in the first paragraph. While the casual reader may take this review as dismissive of third stream music, the informed reader may question Klein’s understanding of Schuller’s principles.

Concert reviews of third stream music in the 1970s are scarce. Most references to third stream during the decade are unflattering, often characterizing the music as a naïve experiment. Of the few writers who covered third stream music during this time, critic John Rockwell was particularly unkind. An article about composer John Cale refers to

\begin{footnotesize}
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\item \textsuperscript{41} Ibid.
\item \textsuperscript{43} Ibid.
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third stream as an outright failure. Additionally, a 1979 article about two adventurous new musical endeavors, a radio station (WKCR) and a record label (Tomato Records) reference the “unlamented ‘third stream.’”

A surface analysis of third stream’s decline within new music circles could summarize it as a music destined for failure. Educational endeavors, inspired composers, and scant articles of faint praise cannot sustain a new musical genre. Confusion over what is third stream and what is merely classical or jazz with shades of the other genre likely had much to do with the lackluster critical reception. The ambiguous label of “fusion” is often lazy, a slapdash title for music with otherwise ambitions aims.

Articles documenting third stream music throughout the 1980s and 90s are even scarcer. Offhand remarks ambiguously denote it as a fusion of styles, although none accurately dig deeper into what styles are being fused, nor do they point out any active practitioners. Nonetheless, while critics may have neglected the term musicians arguably sustained the spirit of blending classical and jazz traditions. This was an age when some of the biggest names in jazz today were initially establishing themselves and building careers that, one way or another, blended classical sensibilities into modern jazz composition. This period saw the rise of musicians who displayed versatility in both the classical and jazz traditions, if not in their own compositions at least in their technical and interpretive abilities. Wynton Marsalis is well known in the classical world for his

46 It should be noted that during this time, the late 1970s through the early 80s, “fusion” in the jazz world often referred to the blending of rock and jazz music, typified in the works of Return to Forever, The Mahavishnu Orchestra, and the later recordings of Miles Davis. Although this music does not fit within the traditional lines of third stream music, one must consider Ran Blake’s expansion of the term to include “cultural” music. Although rock music is not cultural in the same sense of Brazilian choro or Indian raga, it was undeniably a significant aspect of 1970s/80s popular music culture, and certainly a legitimate influence for young musicians during this time.
interpretations of concertos by Haydn and Hummel; Fred Hersch has composed works for piano trios and collaborated with Dawn Upshaw and the Gramercy Trio; Bela Fleck’s *Perpetual Motion* recording features standard works from the standard Western canon arranged for bluegrass instruments such as banjo and mandolin;\(^{47}\) Keith Jarrett has written classically influenced works and recorded numerous works for keyboard by J.S. Bach; and Brad Mehldau has extensively articulated his reverence for classical composers, most notably Brahms with his clarinet quintet.\(^{48}\) Third Stream influence and recordings at the time seem to favor musicians from the jazz more so than from classical. This could be due to lack of repertoire available to classical musicians,\(^{49}\) but this could also be to attitudes towards blending genres. Traditionally, it may be more common for jazz musicians to pursue other genres of music and mine them for compositional influence than it is for classical musicians to pursue the opposite.

It was not until the early twenty-first century that music journalists and critics began to take note of third stream. Even then, a sense of confusion remains associated with the term, as well as a necessity for clarification. Ethan Iverson, pianist for the modern jazz trio The Bad Plus, wrote an article for *JazzTimes* magazine dealing with his experience and impression of third stream music, specifically noting the problems with blending classical and jazz music. Iverson noted two specific concerns: the difficulty of adapting “grooving drumming” into a classical context, and the bridging of modernist language with improvisation.\(^{50}\) Iverson approaches these problems by detailing how his trio adapted classical pieces into a modern jazz style, specifically works by twentieth

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\(^{49}\) It is much more common for jazz musicians to compose their own material, than for classical musicians to do the same.

\(^{50}\) Ethan Iverson, “Crossing Streams,” *JazzTimes*, March 2009, 18.
century composers Igor Stravinsky, György Ligeti, and Milton Babbitt.\footnote{Ibid.} To elaborate upon his views he references successful adaptations of classical works by jazz musicians Dave Douglas and Richie Beirach (specifically, works by twentieth century composers Stravinsky, Anton Webern, and Béla Bartók).\footnote{Ibid.} While the resultant material may certainly be intriguing and worthwhile music, it is not third stream. In fact, this goes directly against Schuller’s third maxim of what constitutes third stream music: “It is not classical music played by jazz players.”\footnote{Schuller, 119.} Rather, this is a group of jazz musicians playing classical music, although certainly modifying it for their own ensemble.

The ambiguity over a concrete definition of third stream has been exploited by record labels looking to benefit from a commercial interest in “crossover” music.\footnote{“Crossover,” as it applies to music, is an ambiguous term, lacking any solid definition other than its practitioners mixing two or more divergent musical genres or styles. Often criticized by artists as a marketing ploy to shamelessly attract a wider audience base at the cost of artistic integrity, this vagueness can be seen in both positive and negative lights. The fluidity of the term implies a freedom in musical choice unencumbered by preconceived restrictions. Likewise, the ambiguity over a clear definition could feasibly allow a musical endeavor to be promoted under an insincere guise inherently divorced from its original artistic intent.} In 2001 journalist Bob Blumenthal wrote an article about third stream music, again in \textit{JazzTimes}, discussing the trouble with record labels carelessly labeling an artist or release as crossover. Focusing on the commercial popularity of “world” music,\footnote{Another ambiguous term, contemporary publications tend to use “world” music as a catch-all term for folk, ethnic, traditional, and indigenous music from the non-Western tradition. Controversy surrounds this term as it is typically directed at music that does not originate in Western Europe or North America, not coincidentally where most corporate music industries are based. Countless journalists and musicians have voiced their skepticism or distain for this term, most notably Robert Palmer and David Byrne.} Blumenthal notes the danger of using the term third stream as a marketing ploy to attract a larger audience to a mislabeled music.\footnote{Bob Blumenthal, “Third World Symphonies,” \textit{JazzTimes}, January/February 2001, 51.} The dangers of improperly branding music as third stream or crossover, in the eyes of musician Don Byron, leads to a product that panders to

\begin{thebibliography}{99}
\bibitem{Ibid.} Ibid.
\bibitem{Ibid.} Ibid.
\bibitem{Schuller, 119.} Schuller, 119.
\bibitem{“Crossover,” as it applies to music, is an ambiguous term, lacking any solid definition other than its practitioners mixing two or more divergent musical genres or styles. Often criticized by artists as a marketing ploy to shamelessly attract a wider audience base at the cost of artistic integrity, this vagueness can be seen in both positive and negative lights. The fluidity of the term implies a freedom in musical choice unencumbered by preconceived restrictions. Likewise, the ambiguity over a clear definition could feasibly allow a musical endeavor to be promoted under an insincere guise inherently divorced from its original artistic intent.} “Crossover,” as it applies to music, is an ambiguous term, lacking any solid definition other than its practitioners mixing two or more divergent musical genres or styles. Often criticized by artists as a marketing ploy to shamelessly attract a wider audience base at the cost of artistic integrity, this vagueness can be seen in both positive and negative lights. The fluidity of the term implies a freedom in musical choice unencumbered by preconceived restrictions. Likewise, the ambiguity over a clear definition could feasibly allow a musical endeavor to be promoted under an insincere guise inherently divorced from its original artistic intent.
\bibitem{Another ambiguous term, contemporary publications tend to use “world” music as a catch-all term for folk, ethnic, traditional, and indigenous music from the non-Western tradition. Controversy surrounds this term as it is typically directed at music that does not originate in Western Europe or North America, not coincidentally where most corporate music industries are based. Countless journalists and musicians have voiced their skepticism or distain for this term, most notably Robert Palmer and David Byrne.} Another ambiguous term, contemporary publications tend to use “world” music as a catch-all term for folk, ethnic, traditional, and indigenous music from the non-Western tradition. Controversy surrounds this term as it is typically directed at music that does not originate in Western Europe or North America, not coincidentally where most corporate music industries are based. Countless journalists and musicians have voiced their skepticism or distain for this term, most notably Robert Palmer and David Byrne.
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audiences rather than honestly conveys a fusion of styles.\textsuperscript{57} Byron suggests that dry, uninspired arrangements of jazz standards performed by classical musicians with no understanding of the language or style labeled as third stream or crossover is inevitably damaging to both classical and jazz because it creates an inauthentic product of dubious quality.\textsuperscript{58}

In academia, third stream has been a cover-all term to reference elements of jazz in the contemporary Western art tradition. Dissertations and theses have been written understanding third stream as a way to interpret big band sounds into wind ensemble works,\textsuperscript{59} modern jazz language into established classical forms\textsuperscript{60}, and the careers of musicians spanning both genres.\textsuperscript{61} Most graduate documents respectfully treat third stream as an elusive term, but inevitably understand it to be the bridge between the classical and jazz worlds and not one genre dressed up as the other. Nonetheless, few give detailed histories outside of the customary referencing of Schuller, his lecture at Brandeis University, and perhaps references to other composers.

The most complete documentation of third stream and its history likely comes from a doctoral dissertation written by Liesa Karen Norman. Understanding the confusion and controversy over the term, Norman clearly delineates the differences between third stream and two other genres often blended within the term: symphonic jazz

\textsuperscript{57} Ibid, 52.
\textsuperscript{58} Ibid.
\textsuperscript{60} Karen M. Rice, “Beyond Third Stream: Henry Martin’s Preludes and Fugues for Solo Piano” (DMA diss, University of North Carolina at Greensboro, 2009).
and avant-garde. Regarding the former, Norman recognizes symphonic jazz as a precursor to third stream, a movement from the early 1920s that relied upon strings and elaborate orchestrations to bring jazz influences, music, and musicians into large symphony halls. Lists of famous symphonic jazz works tend to range from the classical end with George Gershwin’s *Rhapsody in Blue* and Aaron Copland’s *Clarinet Concerto* (written for Benny Goodman) to contributions from jazz musicians, namely Duke Ellington’s extended compositions *Creole Rhapsody* and *Black, Brown, and Beige*.

Additionally, Norman clarifies any confusion over classical works that feature jazz elements, yet cannot be considered symphonic jazz due to their compositional inceptions. Works such as Stravinsky’s *L’Historie du Soldat*, Milhaud’s *La Creation du Monde*, and Claude Debussy’s *Golliwog’s Cakewalk* are all classical works utilizing jazz rhythms, harmonies, and instrumentation as distinct elements to color the work, not to cross genres. In these works, as well as most other classical works utilizing jazz elements, jazz is seen as an exotic element, one separated from the Western tradition yet constructed of elements that could elevate extended compositions with popular idioms and sounds. Stravinsky himself commented that his only exposure to jazz was through sheet music and that he himself was not extensively familiar with the aural effect of the music.

In July of 2013 Schuller was interviewed by guitarist Joel Harrison for *Downbeat* magazine. The article depicts the then 87-year old Schuller as restless, inquisitive, and

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63 Ibid, 16.
64 Ibid, 24.
just as passionate about spirit of third stream music as he was 56 years prior. Schuller notes, over half a century since he first coined the term, the realities of blending two disparate genres was taxing, acknowledging that bringing together classical and jazz required musicians with a very specific skill not entirely prevalent in the late 1950s and early 60s. Discussing criticisms previously raised from this time period, Schuller admits while classical musicians could not properly incorporate swing rhythms, jazz musicians were often uncomfortable with atonal and serialist vocabularies, particularly in the context of improvisation. Nonetheless, the composer expresses optimism with the future potential for third stream when considering musicians such as Dave Douglas, and Maria Schneider. The article concludes with Schuller’s belief that the potential for stylistic blending has far expanded since the birth of third stream back at Brandeis University: “Jazz and classical was just the beginning—the Third Stream has become 5,000 streams.”

Versatility in both classical and jazz idioms is an absolute necessity for third stream musicians. One of the primary criticisms leveled against early third stream works was their concert-grosso nature of switching between the specific sound and rhythms of the jazz musicians against the traditional sensibilities of the classical musicians, all within the same ensemble, leading to a disjunct sonic result lacking complete unification. The list of musicians comfortable and fluent within both styles during the late 1950s was limited, and the prospect of forming a large ensemble of such players was virtually impossible. Perhaps part of the problem was this very issue of composers writing for

67 Ibid, 36.
68 Ibid.
69 Ibid, 59.
70 Joyner, 83.
large ensembles. Limiting the scope of works to only musicians comfortable in both musical worlds would ensure material from both genres could be freely blended without concern over whether or not musicians would understand various idiomatic turns. A pianist such as Bill Evans, as fluent in be-bop as he was with J.S. Bach, would be a prime example of a player who could easily traverse both worlds. In fact, Evans was on hand for the 1957 concert at Brandeis, and was specifically singled out as one of the standout musicians at the festival.

An obvious reason we can consider Evans a prime example of a third stream musician was the accessibility of his instrument in both the classical and jazz traditions. While today’s climate finds instruments such as the violin and the saxophone thriving in both worlds, the late 1950s and early 1960s were a different time. The guitar, quite possibly the most versatile instrument in Western culture aside from the voice, has long traditions in both classical and jazz, in addition to being a staple of popular music since the sixteenth century. Of the former genre, the lineage from the vihuela to the modern guitar has distilled dance forms, contrapuntal practices, and formal structures of the common practice through its own performance traditions. Particularly in its acoustic form, the guitar has commonly adapted to periodic musical cultures, whether or not its practitioners and repertoire were at the forefront of the musical zeitgeist. The acoustic guitar in jazz, however, underwent a much more difficult journey.

The nylon-string classical guitar did not take hold in the jazz world for a number of decades after the music's birth. This can be traced to two primary causes: the instrument’s lack of popularity in America in place of the steel-string guitar, and the

72 Ibid, 40.
nylon-string guitar’s inability to project loudly in the early jazz ensembles of brass and percussion instruments. A popular parlor instrument, the steel string guitar was a common addition to middle-class households in America as early as the 1850s making its inclusion into an American-based musical style inevitable.\footnote{Jeffrey J Noonan, The Guitar in America: Victorian Era to Jazz Age (Jackson: University of Mississippi Press, 2008), 14.}

Early jazz ensembles engaged the guitar as primarily a rhythm instrument. Again, the unamplified guitar was often too soft to be clearly heard over the rest of the ensemble. The acoustic guitar’s first true hero came in Django Reinhardt, a French guitarist who popularized a style of jazz commonly referred to as \textit{manouche}, or “gypsy jazz.” Establishing his name with the Hot Club de France, Django played alongside other acoustic string instruments, typically an upright bass and violin, creating a homogenous ensemble that emphasized each instrument’s best qualities.

Back in America, the birth of the electric guitar and subsequent popularization in the hands of Les Paul and Charlie Christian elevated the instrument to a new level of notoriety. No longer would the guitar struggle to be heard in large ensembles and recordings. This development opened up new performance opportunities for the instrument, yet seemingly at the cost of its acoustic cousin’s popularity. While still prevalent in the manouche style, the electric guitar became the standard guitar, so to speak, in the jazz world. Schuller himself commented on the acoustic guitar’s lack of volume and, within his perspective, weak timbral quality as a reason for its exclusion from his own third stream compositions.\footnote{Ethan Iverson, “Interview with Gunther Schuller.”} While unspoken, it’s just as likely to assume that few, if any, classical guitarists within Schuller’s circle were adequately trained in jazz, if trained at all.
It wasn’t until the 1950s that the classical guitar finally made significant inroads in jazz with the Brazilian guitarist Laurindo Almeida and the American guitarist Charlie Byrd. The prevalent use of microphones rectified the amplification issue at the same moment bossa nova and other Latin American styles became popular commercial music. Almeida first made his mark in the late 1940s playing with bandleader Stan Kenton before pursuing a hybrid of classical, jazz, and various Latin influences on the classical guitar with his own compositions and arrangements. Almeida first made his mark in the late 1940s playing with bandleader Stan Kenton before pursuing a hybrid of classical, jazz, and various Latin influences on the classical guitar with his own compositions and arrangements.75 Originally a musician with army and dance hall bands, Byrd abandoned the electric guitar for its classical counterpart, pursuing intensive studies with Sophocles Papas and Andrés Segovia while applying this knowledge to jazz harmony and improvisation.76 Both Almeida and Byrd’s approach to jazz were centered in the Brazilian bossa nova tradition, influenced by the advanced harmonies and syncopated rhythms of Baden Powell and Antonio Carlos Jobim.77

The Brazilian influence thrives today within the world of classical guitarists venturing into third stream music. Carlos Barbosa-Lima has built a significant portion of his career upon blending works from classical, Brazilian, and jazz repertoire. His arrangements of Scarlatti, Debussy, Pixighinha, and Dave Brubeck, combined with his skills as an improver, have fueled his career since his debut at age 13.78 Likewise, throughout his career guitarist and composer Sergio Assad has composed works for guitar in solo and ensemble settings that blend Brazilian rhythms and jazz harmonies in

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77 Ibid.
classical formal structures. The same could be said of Yamandu Costa, a musician whose repertoire ranges from solo improvisations to concertos for guitar and accordion.

   The end of the twentieth and the beginning of the twenty-first centuries produced a new class of classical guitarist well versed in both the common practice of Western art music as well as jazz and various subsets of world music. The Serbian-born Dušan Bogdanović commonly incorporates improvisation into his compositions and writings about music. His Jazz Sonata, Raguette No 1, and Grasshopper Maker’s Song all contain optional improvisational sections. Bogdanović has also published a number of articles and two books, Ex Ovo and Counterpoint for Guitar, regarding improvisational practices in both classical and jazz music.

   The French-Tunisian guitarist Roland Dyens often begins each concert with an improvisation to set the tone for the coming performance, which often features a programming of classical repertoire, jazz standards, and his own compositions. A prolific composer, his works often incorporate harmonic idioms and languages typically found in jazz. Additionally, his arrangements of popular French songs and jazz standards such as “Nuages,” “A Night in Tunisia,” “Misty,” and “All of Me” reflect an involved and refined approach to adapting popular material to a classical instrument.

   Non-guitarists have also composed works in effort to adapt jazz idioms to the classical guitar. For example, the French pianist Claude Bolling’s Concerto for Classical Guitar and Jazz Piano Trio is a collection of seven movements, each with specific characteristic elements influenced by Spanish rhythms, Bach-like counterpoint, and Romantic-era rhapsodies. Known for recording the first complete version of Ellington’s

79 For guitarists uncomfortable or not able to improvise within the composition, Bogdanović includes transcriptions of his own improvisations in an appendix for each composition.
Black, Brown, and Beige, Bolling composed a number of “concertos” and suites for assorted classical instruments and jazz piano trio, most notably cello (for Yo-Yo Ma) and flute (for Jean-Pierre Rampal). Although bearing concerto in the title, the work acts as more of a suite for guitar, piano, bass, and drums. Additionally, while improvisational sections are included in a number of movements, they’re limited to the piano.

A German-born pianist also fluent in both the classical and jazz worlds, André Previn was commissioned by guitarist John Williams to compose a concerto blending these two genres. Written in three movements, the work begins in classically traditional fashion with elements from sonata-allegro form. In a unique twist, the third movement incorporates a trio of electric guitar, electric bass, and drum set. The two ensembles, the orchestra and the jazz trio, work against each other, battling back and forth and occasionally coming together in a musical confrontation reminiscent of Charles Ives.

Perhaps the most interesting result of the classical guitar’s involvement in the spirit of third stream is the return of the guitarist as performer, composer, and improviser. Not since the nineteenth century has there been such a plethora of guitarists capable of producing their own repertoire and freely improvising within the accepted structures of the musical zeitgeist. The aforementioned guitarists, Costa, Dyens, Bogdanović, and Assad, all represent this exact ideal. Much as Schuller emphasized, what matters is the possibilities available when classical and jazz idioms are accepted into one musical style. Once we again accept the potential for a guitarist as more than merely interpreter of musical ideas, we understand the potential for a rich and diverse future.

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CHAPTER THREE

FREDERIC HAND

Frederic Hand’s first memorable exposure to the classical guitar was a performance by Andrés Segovia at New York City’s Town Hall Auditorium. While music was a common fixture in his household growing up, Hand often notes that this concert was a standout moment of his childhood that cemented his life’s path with the guitar. His first guitar teachers were Manuel Gayol and Albert Valdes Blain, the latter a protégé of Segovia. After graduating from the Mannes College of Music Hand studied with Julian Bream in England on a Fulbright scholarship, eventually pursuing private compositional studies upon his return to the states.

Growing up in Brooklyn, NY exposed Hand to a wealth of music outside of the classical tradition: jazz, blues, rock, and various other popular styles. He became acquainted with noted studio guitarists Stuart Scharf and Jay Berliner, the former of whom connected him to his primary jazz guitar teacher Lenny Frank. Hand also made the acquaintance of a number of future collaborators during his formative years, namely the keyboardist Andy LaVerne. The classical and jazz facets of his education initially culminated in a recording, produced after his time studying with Bream, featuring half

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83 Ibid.
84 See Appendix A: Questionnaire from Frederic Hand.
85 Ibid.
86 Ibid.
87 Ibid.
solo classical repertoire and half jazz repertoire performed with a small ensemble.\textsuperscript{88}

Hand’s fusion of classical and jazz influences are further reflected by his compositions and recordings for the guitar in both solo and ensemble settings. \textit{Jazzantiqua}, an ensemble that combined the instrumentation and improvisational practices of jazz and the Baroque and Renaissance eras, displayed Hand’s facility on the guitar, lute, and vihuela.\textsuperscript{89} \textit{Heart’s Song}, his 1989 recording, expanded his solo compositions out to fully formed ensemble arrangements of bass, drums, keyboards, and wind players.\textsuperscript{90} His works for solo guitar have been recorded by guitarists John Williams, William Kanengeiser, and Stephen Robinson, and his composition “Prayer” has been nominated for a Grammy award. Hand’s film scoring includes work for the films \textit{This Boy’s Life} and \textit{Kramer vs. Kramer}, and his work scoring for television garnered him an Emmy award in 1996.

Currently on faculty at Mannes College of Music, Hand also serves as the guitarist and lutenist on call at the Metropolitan Opera.

Hand’s compositions tend to balance formal structures from classical music with a musical language derived from jazz. His preference for chromatic harmonies applied in an impressionistic fashion reveal a classical guitarist adept in a compositional language typically unexplored by his guitarist/composer contemporaries.\textsuperscript{91} Hand tends to employ quartal harmonies and extended ninth and eleventh chords, harmonies that recall Chick Corea and Bill Evans, pianists he openly recognizes as significant influences on his

\textsuperscript{88} William, \textit{Classical Guitar Insider}.
\textsuperscript{91} This is in reference to classical guitarists who, despite being firmly based in the American classical guitar community, still embrace a jazz influence in their original compositions, albeit in a primarily diatonic fashion. Examples include Andrew York and Matthew Dunne.
compositional voice. While we see modernist tendencies in his writing, Hand is a distinct voice amongst his classical-jazz contemporaries, such as Roland Dyens, in that he resolves these separate genres into a cohesive style rather than embrace the potential chaos of fusing divergent sounds. By analyzing select compositions for solo guitar we can articulate exactly how Hand resolves these stylistic differences into a sensibility that unites their contrasts rather than magnifies them.

“Late One Night,” composed under the conditions implied by its title, fits the AABA (with added introduction and conclusion) formal structure typical of countless jazz standards. However, Hand considers it a classical work as it is fully composed with no opportunity for improvisation. In fact, he considers all of his fully composed works classical in nature do to this constraint, yet despite this label they retain the spirit of third stream music. Following an 11-bar introduction, “Late One Night” officially begins in E-flat major, an unusual key for classical guitar repertoire yet entirely common within jazz.

Example 3.1: Hand, “Late One Night,” mm. 12–15

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93 Frederic Hand, Late One Night, (King of Prussia: Theodore Presser, 1985).
94 Frederic Hand, liner notes to Trilogy.
Fitting the AABA form, the material presented in Example 3.1 is repeated twice. However, as shown in Examples 3.2 and 3.3, subsequent presentations include slight variations in both the melody and accompaniment.

Example 3.2: Hand, “Late One Night,” mm. 20–23

Example 3.3: Hand, “Late One Night,” mm. 40–43

“Missing Her,” a work originally recorded with keyboard, bass, and drums, has been published as a solo guitar adaption retaining its improvisational section.95 While Hand did write a solo for William Kanengeiser’s Classical Cool recording, the published score retains only chord changes to encourage guitarists to conceive of their own solo.96 The jazz influence of the melody is apparent from the harmonic content of its introduction, statement of melody, and chord changes intended for the improvisation.

95 Frederic Hand, Solos, (Pacific MO: Mel Bay Publications, 2002).
Example 3.4: Hand, “Missing Her,” mm. 1–4

Example 3.5: Hand, “Missing Her,” mm. 9–12

Example 3.6: Hand, “Missing Her,” mm. 56–59

Trilogy, a three-movement work composed between 1976–77, is Hand’s most ambitious work for solo guitar.\(^{97}\) The formal structure is similar to the three-movement sonata form typified in the Classical period of Western art music. Within this formal structure Hand blends ideas derived in homage to specific jazz recordings and musicians. The Chick Corea and Gary Burton record Crystal Silence served as inspiration to the first movement, “Moderato,” in particular the rhythmic motifs introduced in the opening eight measures. It’s plausible to trace a rhythmic connection between the recording’s title track with the opening eight measures of “Moderato.”

\(^{97}\) Frederic Hand, Trilogy (King of Prussia: Theodore Presser, 1983).
“Moderato” fits within the sonata-allegro formal structure of exposition–development–recapitulation as typified in the Classical era. The exposition material is generally very free, almost improvisatory, with a harmonic makeup primarily derived from variety of seventh, ninth, and quartal harmonies (some of which are inverted to include a major 2nd dissonance in the voicing).

Example 3.9: Hand, “Moderato,” mm. 9–16
Example 3.10: Hand, “Moderato,” mm. 31–33

The development section begins at m. 58, indicated by a change in tempo indication to “Allegro energico” and key change from E major to no sharps or flats (the harmonic language remains too chromatic and complicated to call it C major or A minor). Additionally, Hand introduces a new rhythmic and melodic motif.

Example 3.11: Hand, “Moderato,” mm. 58–63

The contour of this quarter–dotted quarter–eighth note melody figure returns at the beginning of phrases and textural sections throughout the development, notably again at m. 79.

Example 3.12: Hand, “Moderato,” mm. 79–84

Each instance of this figure is introduced with an inverted seventh or quartal chord, both of which are popular and technically idiomatic for jazz guitar. This language persists through the recapitulation beginning at m. 136 as well as the coda, concluding
with a sense of cadence not necessarily through a return to tonic, but with a sense of
gestural closure.

Example 3.13: Hand, “Moderato,” mm. 157–160

“Gently,” the second movement, was conceived in homage to the late pianist Bill
Evans.\textsuperscript{98} Evan’s style in arranging ballads for solo piano involved lush voicings,
intriguing reharmonization of original chord structures, and compositional devices
occasionally borrowed by early twentieth century classical composers such as Debussy
and Scriabin. By comparing “Gently” with Evan’s interpretation of the American popular
song “What Kind of Fool Am I” we can derive the influence of chromatic
reharmonization, typically found within the context of solo ballad interpretations.

Example 3.14: Excerpt from Bill Evans’ arrangement of “What Kind of Fool Am I”\textsuperscript{99}

\textsuperscript{98} Frederic Hand, liner notes to \textit{Trilogy}.
Example 3.15: Hand, “Gently,” mm. 1–4

The formal structure of “Gently” is simple: introduction, A, A’, restatement of the introduction, coda. There is some modification to accompaniment and melodic motion between A and A’, similar to how Evans would vary the repetition of material in a jazz standard.

Example 3.16: Hand, “Gently,” mm. 9–12

Example 3.17: Hand, “Gently,” mm. 20–23

A brief yet elegant second movement, “Gently” is an embodiment of a sonata’s slow central movement as influenced by one of the greatest jazz pianists of the twentieth century, one also significant within the history of third stream music.

The final movement, “Allegro,” is a modified three-part rondo. The rondo subject is brief: three measures in E major, a return to the opening key signature of “Moderato.”
Example 3.18: Hand, “Allegro,” mm. 1–3

The rhythmic figure of the rondo theme is reminiscent of the main figure in “Blue Rondo à la Turk” by Dave Brubeck. “Blue Rondo” is one of the feature tracks from Brubeck’s Time Out album, an album featuring compositions with time signatures not commonly, at least until this point, found in jazz.\footnote{Dave Brubeck, Time Out, New York: Columbia Records, 1959.}

Example 3.19: Brubeck, “Blue Rondo à la Turk,” mm. 1–4

Following each statement of the rondo theme the material continues in general texture and rhythmic character with additional metric shifts that deny the listener a sense of static groove in a manner somewhat reminiscent of Stravinsky.

Example 3.20: Hand, “Allegro,” mm. 4–6

\footnote{The 9/8 time signature of “Blue Rondo” was allegedly inspired after an encounter Brubeck had with a group of Turkish street musicians.}
Example 3.21: Hand, “Allegro,” mm. 20–22

“Allegro” transitions into a slow, lyrical section starting at mm. 58–61 beginning with diatonic yet ambiguous harmonies, impressionist colorings further influenced by the Corea/Burton interaction heard throughout *Crystal Silence*.


Transitioning out of the slow section, Hand incorporates a line reminiscent of a swinging jazz bass, punctuated by thick chords similar to a horn frontline chorus shout section typical of big band charts.
Frederic Hand’s fusion of a harmonically rich modern jazz language and classical idioms results in a distinct compositional voice for the classical guitar. Modern yet accessible, Hand typifies Schuller’s definition of third stream by freely blending such influences without resorting to pastiche or pandering. An organic result of assimilating otherwise separate influences, Hand’s fusion of the classical and jazz genres provides the guitar with a voice of distinct third stream sensibility.
CHAPTER FOUR

RALPH TOWNER

Ralph Towner’s first exposure to music came from his parents: a father who played trumpet, and a mother who taught piano. His earliest musical activities involved improvising on the piano in an attempt to mimic recordings of WWII-era popular songs. Towner enrolled at the University of Oregon in 1958, initially beginning studies as an art major before shifting his focus to music composition. After an encounter with a sly salesman at a music store Towner purchased a classical guitar, an impulse purchase that evolved into a fascination with instrument’s distinct dynamic and timbral possibilities. Following graduation in 1963 Towner traveled to Vienna, Austria to pursue three years of intensive classical guitar studies with Karl Scheit at the Academy for Music and Dramatic Arts. Towner eventually returned to the University of Oregon to pursue a graduate degree in music theory, studies which were ultimately left incomplete in favor of pursuing further instruction with Scheit. Nonetheless, two major events in Towner’s life occurred in Oregon that would ultimately shape his musical career.

First, he was introduced to the musical language of Bill Evans. Combining classical techniques and abstract modern harmonies within the sonic realm of jazz,

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102 Ralph Towner, Solo Guitar Works, Volume 1 (San Francisco: Guitar Solo Publications, 2002), back cover.
104 See Appendix B: Questionnaire from Ralph Towner
105 Nowakowski, ibid.
Evans’ style influenced Towner’s compositional and improvisational approach by revealing the possible connective musical links between these musical spectrums. Second, Towner met Glen Moore, the bassist with whom he would begin a musical partnership that still stands today. The exposure to Evans and collaborations with Moore formed the primary thrust of his jazz education at Oregon that, in combination with his composition and classical guitar studies, begat the path of Towner’s hybrid musical efforts.  

In 1968 Towner moved to New York City to make a living as a jazz musician, primarily as a freelance pianist. Not long after his arrival he began performing with the Paul Winter Consort, a newly formed ensemble focused on fusing classical, jazz, and world music influences. It was during this time that a foundation was solidified between Towner, Moore, woodwind player Paul McCandless, and percussionist Collin Walcott, one that would evolve into the popular acoustic jazz ensemble Oregon in 1970. Over the span of the past 45 years the group has recorded 27 albums, garnered several Grammy nominations and awards, and recorded with the Tchaikovsky Symphony Orchestra of Moscow.

Additionally, Towner has recorded and collaborated with a variety of musicians including Keith Jarrett, Gary Burton, Egberto Gismonti, John Abercrombie, Gary Peacock, and Wayne Shorter. Outside of the jazz world Towner’s works for orchestra have been performed by the Philadelphia Orchestra, the Stuttgart Opera Orchestra, and the Stavanger Chamber Orchestra of Norway. Towner also has the distinction of being honored by astronauts: a cassette of his work with the Paul Winter Consort was brought

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106 See Appendix B
to the moon during the Apollo 15 mission, and two craters were named after his compositions “Icarus” and “Ghost Beads.”

While also fluent on piano and the 12-string guitar, much of Towner’s work has been composed and performed on the classical guitar. During the early stages of his career in the late 1960s and early 70s the classical guitar was a decidedly unfavorable instrument in jazz, aside from bossa nova. This was the age of “jazz fusion” where instruments and elements from rock music were making their way into the jazz world, most notably the sound of the distorted electric guitar. Towner found himself working with the German based ECM, an adventurous record label that catered to a spectrum of jazz, classical, and avant-garde musicians whom preferred more of a quiet and intimate aesthetic in the face of the intense and amplified sound of jazz fusion. Towner’s partnership with ECM produced an extensive list of recordings which comprise the vast majority of his output, encompassing collaborations with Oregon, MGT (a guitar trio with Wolfgang Muthspiel and Slava Grigoryan), vibraphonist Gary Burton, and trumpet/flugelhorn player Paolo Fresu, in addition to his wealth of solo recordings. His prolific recording career reflects Towner’s sensibility as an introspective musician, one who crafts his compositions and arrangements with a distinct ear for the Western and popular traditions.

Taking into account that Towner has written some 200 works involving the solo guitar, he has published relatively few works for this format. Outside of a suite for solo guitar, two collections published by GSP publications, and occasional pieces on his own website, classical guitarists have limited access to his work. Despite the scarcity of his works,

110 Aside, of course, from transcribing recordings, a practice few classical guitarists pursue.
publications the material we do have reveals a composer blending modern classical and jazz sensibilities with a focus on exploiting the guitar’s unique harmonic possibilities. Towner embraces limitations presented by the guitar’s technical nature and introverted character and engages them towards a focus in unorthodox harmonies and elegant dynamic structures. Before analyzing the musical influences and their realizations in his work, it is best to understand Towner’s specific approach to the guitar, perhaps best done by examining his method book, *Improvisation and Performance Techniques for Classical and Acoustic Guitar*.¹¹¹

Published in 1985, *Improvisation and Performance Techniques* is Towner’s only publication to date detailing his technical and musical approach to the guitar. Although noted for his work on the 12-string guitar (perhaps the only guitarist to use this instrument in jazz) the focus of this text is intended for the 6-string guitar, either nylon- or steel-string. A combination of technical exercises, improvisation guide, and ruminations on music performance, *Improvisation and Performance Techniques* covers topics from basic technique to atonal improvisation. The pedagogical approach taken, however, is not necessarily complete, nor is it totally linear. While right hand arpeggios are covered, for example, there is little discussion of the classical guitar’s pedagogical heritage, such as Mauro Giuliani’s 120 exercises. Rather, Towner covers this topic in relation to his own compositional and performance style, discussing polymetric rhythmic groupings¹¹² and accents necessary to convey Latin styles.¹¹³ Additionally, advanced

¹¹² Ibid, 14.
¹¹³ Ibid, 21.
harmonies are introduced and applied to musical examples long before any discussion of music theory or even how these harmonies are formed.

Nonetheless, it is plausible to read this method book as one intended for classical guitarists comfortable with basic technical and theoretical concepts. Towner has noted his focus for the book as primarily intended for the classical guitarist venturing out to learn improvisation rather than furthering their technical studies.\textsuperscript{114} The book’s Table of Symbols details traditional information—left hand finger numbers, right hand finger letters, and basic chord symbol information—before proceeding directly into arpeggio exercises with more musical aims (application to accompaniment) than technical ones. From this we can infer that Towner did not intend to write a comprehensive treatise on technique, rather one more concerned with proceeding directly into musical material.

Regarding his musical examples, Towner introduces complex harmonic concepts, such as non-diatonically related chords, extended harmonies, and augmented and diminished intervals. While common in countless jazz method books, Towner’s perspective is a fresh take for the classical guitar, one that readily exploits the instrument’s open strings for cluster voicings not typically employed by jazz guitarists. Towner writes examples in keys favorable to the guitar: ones that best use the instrument’s open strings, convey the most acoustic resonance, and involve chord shapes that present the least technical challenge for the performer. The examples in \textit{Improvisation and Performance Techniques} tend to reside in the keys of A, E, and D, allowing the reader to practice and understand extended harmonies without sacrificing notes or making technical accommodations that would otherwise thin out the chordal texture.

\textsuperscript{114} See Appendix B.
This also gives us insight into Towner’s harmonic preferences, at least when composing for the guitar. Historically, jazz tended to favor flat keys, such as B-flat, E-flat, and A-flat. This was often done to aid non-“C” instrumentalists, such as trumpet and saxophone players, whose instruments sound in “flat” keys. While these instrumentalists read and perceive music in C major, for example, the concert sounding pitch of their instrument would lower it to B-flat (trumpet, tenor saxophone) or E-flat (alto saxophone), for example. We can likewise understand Towner’s preference for guitar “friendly” keys such as E and A as the richest in versatility and harmonic potential for guitarists.

Example 4.1 below is a list of Ralph Towner works collected by the author:

Example 4.1: List of works for guitar by Ralph Towner

<table>
<thead>
<tr>
<th>“Along the Way”</th>
<th>A major</th>
<th>“The Lizards of Eraclea”</th>
<th>C minor/C major</th>
</tr>
</thead>
<tbody>
<tr>
<td>“Always by Your Side”</td>
<td>G major</td>
<td>“Mevlana Etude”</td>
<td>cadences in E minor</td>
</tr>
<tr>
<td>“Anniversary Song”</td>
<td>E major</td>
<td>“Mingusiana”</td>
<td>cadences in F-sharp major</td>
</tr>
<tr>
<td>“Anthem”</td>
<td>B minor</td>
<td>“Oleander Etude”</td>
<td>cadences in A minor</td>
</tr>
<tr>
<td>“Beneath an Evening Sky”</td>
<td>A major</td>
<td>“The Pedant”</td>
<td>B minor</td>
</tr>
<tr>
<td>“Caminata”</td>
<td>E minor</td>
<td>“The Reluctant Bride”</td>
<td>E minor</td>
</tr>
<tr>
<td>“Distant Hills”</td>
<td>E-flat major</td>
<td>“Serenade”</td>
<td>B minor</td>
</tr>
<tr>
<td>“Green and Golden”</td>
<td>E major</td>
<td>“The Sigh”</td>
<td>B minor</td>
</tr>
<tr>
<td>“Haunted”</td>
<td>A minor</td>
<td>“The Silence of a Candle”</td>
<td>E minor</td>
</tr>
<tr>
<td>“The Hollows”</td>
<td>A-flat major</td>
<td>“Toledo”</td>
<td>D major</td>
</tr>
<tr>
<td>“Icarus”</td>
<td>G major</td>
<td>“Tramonto”</td>
<td>E major</td>
</tr>
<tr>
<td>“If”</td>
<td>E major</td>
<td>“Turning of the Leaves”</td>
<td>F-sharp major</td>
</tr>
<tr>
<td>“Innocenti”</td>
<td>E minor</td>
<td>“Vessel”</td>
<td>D major</td>
</tr>
<tr>
<td>“Joyful Departure”</td>
<td>E major</td>
<td>“Waltz for Debby”</td>
<td>arranged in F major</td>
</tr>
<tr>
<td>“The Juggler’s Etude”</td>
<td>cadences in A major</td>
<td>“Zephyr”</td>
<td>A minor/A major</td>
</tr>
</tbody>
</table>
Guitar centric keys of E, A, D, and G are the dominant focus. Likewise, the songs listed in B minor tend to employ modal harmonies, thus giving it a similar technical feel as D major. Note the competing tonal centers of two works, “Innocenti” and “Beneath an Evening Sky”:

Example 4.2: Towner, “Innocenti,” mm. 1–6

Example 4.3: Towner, “Beneath and Evening Sky,” mm. 1–6

From these two examples we can gain insight into the areas of Towner’s harmonic voicings and melodic language. Harmonically, Towner exploits voicings on the guitar that combine open strings with fretted notes in higher positions, creating close-voiced chords typical of jazz pianists (such as Evans). Likewise, these voicings can often
change function and color with a repositioned bass note, as demonstrated by the E minor–C major and C-sharp minor–A major harmonies in “Innocenti” and “Beneath an Evening Sky,” respectfully. Melodically, we see a preference for balancing fast rhythms with sustained notes over a rhythmically active accompaniment. Certainly common in his ensemble music, this trait is prevalent in his solo repertoire as well. In sustaining musical interest in both classical and jazz, a balance must be struck between soloist and accompaniment, allowing both to contribute to the music without overshadowing the other. Of course, exceptions permeate the repertoire, but this principle is traditionally accepted as musically sound. In his chapter on solo guitar playing and arranging, Towner articulates this principle in a chart detailing the foreground prevalence of the melody, accompaniment, and bass instruments:

Example 4.4: Diagram detailing possible textures for solo arrangement according to Towner

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{Towner, *Improvisation and Performance Techniques*, 36.}
Understanding the sustained notes in the melody as time for the accompaniment to become more active, we see this trait detailed in the bass, accompaniment, and melody voices from a musical example from the same chapter:

Example 4.5: Possible realization of the diagram represented in Example 4.4

These examples realized, we can now begin analysis of Towner’s solo repertoire. The concepts of musical balance, dynamic consideration, and employment of colorful harmonies best suited for the guitar are clearly represented in his Suite for Guitar.\(^\text{116}\) The Suite consists of three pieces: “Mevlana Etude,” “Caminata,” and “The Juggler’s Etude.” The performance notes are minimal: a discussion of the work’s conception as well as brief technical notes for execution of the first and third movements. The pieces were independently composed and only later grouped together as a suite once Towner noted their compatibility.\(^\text{117}\) Most significantly, he states that the development sections of “Caminata” and “The Juggler’s Etude” were based upon improvisations on the harmonic progressions established in their respective composed opening themes.\(^\text{118}\)

\(^{116}\) Ralph Towner, Suite for Guitar (King of Prussia: Theodore Presser Company, 1982).
\(^{117}\) Ibid, inside cover.
\(^{118}\) Ibid.
“Mevlana Etude” opens the suite and, while not the most transparent example of a classical-jazz hybrid, we do glean insight into Towner’s compositional methods. We can understand the piece as an etude through both its technical demands as well as its musical characteristics. Technically, the barring and timing of the fingers must be taken into careful consideration by the guitarist to ensure a clean and successful performance, a factor Towner notes in the program notes. Musically, we can also understand this work as a *character etude* in the extra-musical meaning associated with the title.

Although not explicitly acknowledged by Towner, “Mevlana” likely refers to Jalad-Din Muhammad Rumi (also known as Mevlana Celaddiin-I Rumi), a thirteenth century Persian poet, mystic, and theologian known as Mevlana, the Turkish word for master. Contemporary followers of Mevlana, the Mevlani Order, pray and practice homage to their namesake in a dance ritual known as “sema.” During this ceremony, practitioners, known as dervishes, open with a “naat”, a prayer praising Muhammad, then continue with a dance that requires one to constantly spin in circles while accompanied by traditional Persian music. The practitioners begin the ceremony with black cloaks that are shed after the prayer to reveal a long white garb that flows out while the individual whirls, causing the garb to extend out in a wide, white circle. Given their actions in the ceremony, these practitioners are commonly known as the whirling dervishes.

Towner evokes this image in the etude with a near constant arpeggio pattern in sixteenth notes. This idea of a constantly spinning set of eighth or sixteenth notes evoking a sense of perpetual motion is a common trope in the Western tradition, having been employed by Franz Schubert with his “Impromptu No. 3 in G-flat, D. 899,” the
accompaniment to his lieder “Gretchen am Spinnrade, D. 118,” and various other works for piano.

Example 4.6: Schubert, “Impromptu No. 3 in G-flat major, D.899,” mm. 1–2

After eight measures of introductory material (perhaps an acknowledgment of the naat) Towner introduces the arpeggio pattern that permeates much of the work.

Figure 4.7: “Schubert, “Gretchen am Spinnrade, op. 2, D. 118,” mm. 1–2

Figure 4.8: Towner, “Mevlana Etude,” mm. 9–14
Typically surrounded by bass and melody notes, the inner voice is based upon a continually spiraling right hand pattern of i–p–i–m (index, thumb, index, middle). This inner voice gives an impressionistic color to the figure rather than defining any harmonic or structural element. Contrapuntal movement between the bass and the melody is active throughout mm. 9–14, the bass steadily descending chromatically in whole notes and the melody descending after a brief chromatic rise in a whole/dotted half/eighth note pattern. Harmonically, we can analyze this example as highly chromatic contrapuntal motion surrounding a dissonant arpeggiated figure that defies traditional music theory principals. Technically, however, we can perceive this figure as a specific chordal shape planing down the fretboard. The left hand is coordinated on each measure as such: the index finger bars the lowest fret necessary, the pinky remains on the highest fret necessary on the fourth string (with the exception of the first sixteenth beat when it transitions to a new position), while the middle and ring fingers coordinate between the counterpoint on the sixth and first strings and the necessitated fret on the third string.

This technique of planing a figure around the fretboard for untraditional harmonic content for the inner arpeggiated figure, as well as for the surrounding bass and melodic material, is represented throughout “Mevlana Etude.” The result is a whirling, hypnotic effect for the listener, one of tense counterpoint underpinned by an ambiguous, murky harmony. Towner’s exploitation of the guitar’s idiomatic nature, specifically the intervals available across horizontally across the fretboard, produces a figure musically intriguing yet technically simplistic.

The second movement, “Caminata,” translates from Spanish as “hike” or “long walk.” Likewise, it’s plausible to understand an extra-musical association with the work’s
perpetual ostinato figure. The ostinato in “Caminata” is continually modified as the initial bass note changes every four measures. The introduction states the ostinato: E–E (harmonic 8va)–B–C. This is repeated before the melody officially enters at m. 5. In m. 9 the first note of the ostinato moves down to C-sharp, then subsequently down to C natural in m. 13 before returning to its initial E in m. 21. The form of the ostinato is outlined as such:

Example 4.9: Towner, “Caminata” ostinato figure

The melody of mm. 5–20, is based on simple, diatonic material. Rhythm values are quarter notes, dotted half notes, and whole notes, each note or dyad occurring right on a main beat, no syncopation whatsoever. Nonetheless, Towner reveals a beauty in the melody’s simplicity.

Example 4.10: Towner, “Caminata,” mm. 5–8
As stated in the performance notes, the development section were composed in part as improvisations based upon the harmonic structure outlined by the ostinato. In this sense, we can see the ostinato as the head, or main melody, of the piece. This understood, the subsequent repeats, mm. 21–36 and mm. 37–52, are to be considered the “solo.” Effectively, Towner is following the traditional performance structure of most jazz standards: main melodic material–improvisation–return to main melodic material. The first four measures of this solo, mm. 21–24, reflect this in terms of the more varied approach to rhythm, featuring syncopation with eighth and sixteenth notes, often leading to prominent sustained tones.

Example 4.11: Towner, “Caminata,” mm. 21–24

Although diatonic throughout, the rhythmically active nature of these lines give the melody more of an improvisational feel, a notable departure from the “on the beat” rhythmic feel of the head. Towner transitions out of this solo material with strict eighth notes starting in m. 48, returning to a more regular rhythm before a return to the head in mm. 53–68, a literal recap of mm. 5–20.

The title of the final movement, “The Juggler’s Etude,” can be interpreted as another characteristic etude. Whereas “Mevlana Etude” was defined by its perpetually moving arpeggiated lines, the ascending and descending figures of “The Juggler’s Etude”
musically depict the constant up and down flow of objects in the hands of a juggler. This impression is depicted in the first measure:

Example 4.12: Towner, “The Juggler’s Etude,” m. 1

The overarching form of this movement is similar to “Caminata” in that we are presented with an introduction and the initial thematic material followed by freely flowing material of an improvisational manner, before returning to the head. This primary thematic material begins after a four bar introduction and spans mm. 5–50. Rehearsal letters divide sections within the score, the head effectively comprised of sections A (mm. 5–16), B (mm. 17–30), C (mm. 31–42), and D (mm. 43–50). The material at letters A and C are identical and further articulate the ascending and descending nature of this musical character, as does the material at letter B.

Example 4.13: Towner, “The Juggler’s Etude,” mm. 5–8/mm. 31–34


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The material starting at letter D is harmonically thicker and presents dramatic eighth rests.

Example 4.15: Towner, “The Juggler’s Etude,” mm. 43–44

The formal structure of mm. 5–50 can be characterized as ABAC, a form typified in a number of jazz standards such as “On Green Dolphin Street,” “Days of Wine and Roses,” and “Like Someone in Love.” The material in mm. 5–50 features melodic and rhythmic motives that reinforce themselves through repetition, giving these sections distinct characteristics of thematic material. The music that follows is much freer and displays qualities of an improvisational nature.

Starting at rehearsal letter E Towner composes material based upon a new four-bar harmonic structure: A major/C7/F aug/F aug–G7. Example 4.16 demonstrates how Towner “improvises” within this harmonic frame with a blend of slow and fast rhythms, scale lines, and arpeggiations.

Example 4.16: Towner, “The Juggler’s Etude,” mm. 51–54
One should also note his liberal use of open strings. The open D and G strings in particular give m. 52 a more complex color and make mm. 53–54 more idiomatic for the guitarist. Often Towner will repeat a given rhythmic or melodic motive between the A major and C7 measures, a technique often heard in jazz improvisation to provoke the listener’s melodic interest.

Example 4.17: Towner, “The Juggler’s Etude,” mm. 63–64

Example 4.18: Towner, “The Juggler’s Etude,” mm. 67–68

The initial theme recapitulates at rehearsal letter M. Much of the musical material between the start of the solo and this point is freely composed with only occasional references, repetitions, or development of ideas. We can interpret this freedom as Towner’s improvisational influence permeating this otherwise “classical” composition. In Towner’s music we find the improvisational spirit of jazz unified with modern classical harmonic concepts as they best suit the guitar. A product of modern

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119 The inclusion of open strings in his improvisations can also suggest ambiguity within the harmonic structure. For example, the open D string in m. 53 suggests the harmony could be a Dmin maj7/F rather than an F aug. However, analyzing each repetition of this four bar segment reveals F aug to be outlined more often than any D minor harmony. Towner may include this open D note as a technical consideration in instances where playing either a C-sharp or an E may be too physically impractical for the left hand.
compositional instruction, jazz performance, and classical guitar training, Towner represents the unification of influences Schuller must have perceived when contemplating third stream. Yet, curiously, Towner does not consider himself to be a third stream musician. Rather, he simply considers his style to be a result of his influences, a fusion of the applicable elements of classical and jazz music that best fit his medium. Perhaps not in name but certainly in spirit, Towner’s compositional voice represents the “stylistic confrontation” between opposing musical genres as best unified on the classical guitar.

\[120\] See Appendix B.
CHAPTER FIVE

KEN HATFIELD

An active composer, arranger, and performer, Ken Hatfield is redefining the role of the nylon-string guitar in contemporary jazz. In addition to his extensive work performing and collaborating with musicians such as Marcus Miller, Charlie Byrd, Jack McDuff, Kenny Werner, and Dom Salvador, he has recorded nine albums to date under his own name, composed ballets for Judith Jamison, and published four major compositions/collections for solo guitar.121 In 2006 Hatfield was awarded the ASCAP Foundation Jazz Vanguard Award for his “innovative and distinctive music that is charting new directions in jazz.”122 While most jazz guitarists tend to rely on the electric guitar, or at least a combination of electric and acoustic guitars, Hatfield has come to perform almost exclusively on the nylon-string classical guitar.

Hatfield’s first exposure to the classical guitar came by way of his first significant teacher, John Griggs, a student of Sophocles Papas.123 At the time, however, Hatfield was an active rock and blues guitarist in the Hampton Roads, VA area, leaving little interest in solo acoustic guitar repertoire. In the fall of 1971 Hatfield attended the Berklee College of Music (known then as the Berklee School of Music) and gradually made a name for himself in the Boston jazz scene. His fluency with the extended harmonic

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121 See Appendix C: Questionnaire from Ken Hatfield
123 See Appendix C.
language of modern jazz earned him a position on the faculty in 1973, and he eventually left Berklee a year later to pursue a career as a touring sideman.\textsuperscript{124}

In the early 1990s Hatfield enrolled at the State University of New York to pursue music composition, in particular counterpoint studies with Paul Caputo.\textsuperscript{125} It was during this time that Hatfield developed an appreciation of the classical guitar’s polyphonic capabilities, an aspect of the instrument that continues to fuel his compositions. Additionally, Hatfield embraced the various heritages belonging to the nylon-string guitar, including the traditional repertoire of Tárrega, Sor, and Ponce, as well as Brazilian styles such as choro, bossa nova, and samba.\textsuperscript{126} Since this turning point, Hatfield has focused his performances almost exclusively on the classical guitar.

Coming to the nylon-string guitar through an extensive jazz background gives Hatfield a perspective on the instrument not traditionally shared by his classical counterparts. His fluency in jazz arranging and comping (accompanying other musicians) aids him in perceiving harmonic possibilities in keys typically neglected by most classical guitar repertoire. Additionally, his background in improvisation fuels his compositions with a sense of spontaneity and freedom not entirely common in music of the Western tradition. Likewise, his proficiency on the classical guitar infuses his jazz performance style with an extended technical range not traditionally embraced by jazz guitarists. His background within both musical genres allows Hatfield to approach his repertoire unencumbered by any technical or musical limitations that may otherwise impede classical or jazz musicians.

\\begin{footnotesize}
\begin{enumerate}
\item \textsuperscript{124} Ibid.
\item \textsuperscript{125} Ibid.
\item \textsuperscript{126} Ibid.
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Much of this insight has been distilled in his 2005 book *Jazz and the Classical Guitar: Theory and Application*.\(^{127}\) This book is divided into two sections: Part I extensively covers theory concepts, where Part II applies these concepts to practical musical material. As a theory text, Part I may be one of the most concise method books specifically written for guitarists currently in print. Hatfield introduces material familiar to most classical guitarists, including practical ways to play major and minor triads as well as their inversions, in a way that focuses on their musical quality and relation to tonality rather than their application to existing repertoire. In doing so the guitarist is taught not just how these chords function, but also what they actually mean in the larger scope of music theory. This material gradually moves into more complex subjects, including modal jazz, secondary and substitute dominant chords, and polytonal and quartal harmonies. Each example is composed to examine the range of the guitar, including chords across non-adjacent string sets that may be impractical to the jazz guitarist performing exclusively with a pick, but quite natural for the classical guitarist focusing on right hand technique. Even if one neglects the jazz focus of the material, Part I is an excellent music theory text for classical guitarists whether or not they wish to pursue jazz.

Part II revisits the harmonic devices detailed in Part I and applies them to traditional jazz idioms and harmonic structures. By applying the harmonic and polyphonic capabilities of the classical guitar with examples from blues, rhythm changes, and various jazz standards, Hatfield demonstrates the versatility of the classical guitar within a strictly jazz musical context. Hatfield has noted that the nylon-string guitar’s

acceptance in the jazz world was long delayed due to the amplification issues that restricted the instrument’s inclusion in ensembles. As this situation has changed with the technological advancements with microphones and pickups, Hatfield can now demonstrate how the classical guitar can adapt technically and musically to most modern jazz contexts without expressing concerns over volume.

In addition to his writing for assorted jazz ensembles, Hatfield has composed a number of large-scale works for solo guitar, all of which blend classical formal structures with a harmonic and melodic focus based within the jazz tradition. His Sonata in E Major is based on the four-movement model derived from the romantic era, yet it adapts a modern harmonic language rather than a pastiche sensibility. The first movement, “Allegro non troppo,” opens with a major seventh chord, melodies harmonized in 6th, and rhythmic syncopation reminiscent of modern jazz guitarists such as Pat Metheny and Kurt Rosenwinkel.

Example 5.1: Hatfield, “Allegro non troppo,” mm. 1–5

The music also proceeds through a Bach-like contrapuntal section with an improvisational character.

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128 See Appendix C.
Example 5.2: Hatfield, “Allegro non troppo,” mm. 19–22

The final movement, “Rondo,” uses a blues-shuffle inspired figure as its primary theme.

Example 5.3: Hatfield, “Rondo,” mm. 4–9

Hatfield previously applied jazz-centric material to classical idioms in his New York Suite. In a nod to the Baroque convention, his suite is comprised of a collection of stylized dances, here related to jazz and contemporary popular music idioms. “Chorino” is a brief, syncopated piece not far removed from the stylized Brazilian dances from Heitor Villa-Lobos’s Suite Populaire Bresilienne.

Example 5.4: Hatfield, “Chorino,” mm. 1–4

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The final movement, “Samba,” is similar to the “Chorino,” but features more complex harmonic movement.

Example 5.5: Hatfield, “Samba,” mm. 10–17

In 2008 Hatfield published his *Etudes for Solo Guitar in 24 Keys*.\(^{131}\) Their purpose was to demonstrate the versatility of the guitar in every key available to Western musicians. Dismayed that most guitarists play in keys defined by the open strings, Hatfield relates that this misconception was likely a result of the attitudes of guitarists themselves, rather than any limitations from the instrument.\(^ {132}\) While similar in approach to the etudes and preludes composed in all 24 keys by Manuel Ponce and Francis Kleynjans, the harmonic content to Hatfield’s etudes is closer to jazz than traditional classical. Featuring voicings that often do not rely upon open strings, he approaches the issue of writing in keys that neglect the guitar’s open strings with the same adaptability as a traditional jazz guitarist.

His approach to notating left hand fingers stems from both the classical and jazz traditions, with considerations from the Andrés Segovia’s edition of *Twenty Studies* by

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\(^{132}\) Ibid, 4.
Fernando Sor as well as the fretboard harmony method books of George Van Eps.133

With this collection of etudes the classical guitarist can adapt to the possibility of playing within each major and minor key without restriction, a concept already generally acknowledged by generations of jazz guitarists. In analyzing the etudes composed in keys less frequented by the standard guitar repertoire we see an approach to harmony more informed by jazz than a traditional tonal classical language.

The introduction to “Etude #14 (for Jim Fisch)”, composed in F minor, features a number of devices typically employed by jazz musicians, such as developing a slow introduction to precede a composition. Other devices include resolving a fully diminished vii chord to tonic (mm. 1–2), utilizing the circle of fifths (mm. 2–3), and a sequenced figure leading to a tonic resolution (mm. 4–5).

Example 5.6: Hatfield, “Etude #14,” mm. 1–5

A steady waltz tempo is established at mm. 14. Using minimal movement of the surrounding bass and melody voices, Hatfield introduces the theme with a i–V/V–viiº–I progression. As the V/V is essentially a ii chord with a major third and the viiº is a V7b9 chord without a root, this progression is essentially i–ii–V–i, perhaps the most common in jazz.

133 Ibid, 5.
Moving into the second section of the etude, Hatfield cycles through a number of major and dominant seventh harmonies, demonstrating the guitar’s range in moving through otherwise distant key centers.

This collection also demonstrates Hatfield’s fluency in comping in various Latin styles. While Latin American guitar repertoire is typically written in keys that exploit the instrument’s open strings, we find examples composed in keys with extensive sharps or flats, traditionally considered “unfriendly” to the guitar. “Etude #17” is composed in A-flat minor, a key with otherwise little traction in the traditional guitar repertoire. The opening measures of “Etude #17” introduces a figure balancing a chromatically descending bass line in a syncopated rhythm against arpeggiated notes, a traditional figure often found in Latin piano styles. While this can be easily translated to the guitar in a key such as A minor, Hatfield finds a way to make it work in A-flat minor that suits the guitar just as well.
Example 5.9: Traditional Latin comping line

The texture of bass, accompaniment, and melody beginning at m. 5 is one often found in traditional classical guitar repertoire, such as the etudes of Fernando Sor. Distilled through Hatfield’s language, the student guitarist could see how this texture can be applied to a completely different musical style, as well as to key centers they perhaps may otherwise never approach.

Example 5.10: Hatfield, “Etude #17,” mm. 1–2

Example 5.11: Sor, “Etude op. 60, no. 22,” mm. 1–4

Example 5.12: Hatfield, “Etude #17,” mm. 5–8
Hatfield’s most recent recording project, *For Langston*, is a song cycle setting select poems of Langston Hughes. His most ambitious recording to date, *For Langston* bridges the gap between classical and jazz through its use of instrumentation, improvisation, harmonic language, and text realization. The instrumentation of the cycle—vocalist, classical guitar, alto flute, bass, drum set, and percussion—merits discussion. The inclusion of the alto flute emphasizes a traditionally classical texture, yet the phrasing and improvisation sections throughout the cycle liken the instrument to that of an alto saxophone clarinet, or other typical jazz woodwind voice.

Mention should be made of the ensemble on the recording: Hatfield, vocalist Hilary Gardner, alto flutist Jamie Baum, bassist Hans Glawisching, drummer Jeff Hirshfield, and percussionist Steven Keroxon. Hatfield wrote specifically for each musician on the recording, a common practice for jazz ensemble leaders. Glawisching and Baum have had extensive experience in classical music, Baum having attended New England Conservatory during Schuller’s tenure as president. Likewise, vocalist Gardner’s talents span from opera to the Great American Songbook. Hatfield essentially built his ensemble by considering musicians with backgrounds in both the classical and jazz worlds.

While each work on *For Langston* can be considered a fine blend of classical and jazz, “Convent/Silence” is perhaps the most clear in its use of harmony and formal structures. As implied by the title, the text is a combination of two poems, “Convent.”

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135 See Appendix C.
136 Ibid
137 Ibid.
Tell me,  
Is there peace  
Behind your high Stone Walls—  
Peace  
Where no worldly duty calls—  
Or does some strange  
Insistence beckon  
With a challenge  
That appalls?

And “Silence:”

I catch the pattern  
Of your silence  
Before you speak

I do not need  
To hear a word

In your silence  
Every tone I seek  
Is heard

The work is structured in a fashion similar to how jazz standards are traditionally performed: introduction, main thematic material/head, solos, return of thematic material, conclusion. The introductory material appears four times total: at the beginning, between the head and the beginning of the solos, between the end of the solos and the head, and at the conclusion. A close reading could interpret these structural separations as the “high stone walls” referenced in the text.

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139 Ibid, 204.
Example 5.13: Hatfield, “Convent/Silence,” mm. 1–2

Within this jazz formal structure we have a classical sensibility for tonal centers.

The setting of “Convent,” as well as the solo section, are written in D major while the “Silence” setting is composed in D minor.

Example 5.14: Hatfield, “Convent/Silence,” mm. 3–6
Example 5.15: Hatfield, “Convent/Silence” mm. 19–22

Text painting is developed with colorful harmonies, such as the Amin/maj79 and F major (taken from the parallel minor) in mm. 11–14.

Example 5.16: Hatfield, “Convent/Silence,” mm. 11–14

The sensibility Hatfield brings to the classical guitar applies the freedom and flexibility of jazz’s extended harmonic language to the formal considerations commonly found in Western classical music. His etudes demonstrate the guitar’s ability to
comfortably work in every tonal center available in Western music, and his sonata and suite both adapt jazz and Latin sensibilities within the formal structures favored by the common practice era. Hatfield’s fusion of counterpoint, extended jazz harmony, classical formal structure, and improvisation present a musical language that honors the western tradition with an updated sensibility that does not resort to pandering or pastiche.

The preceding repertoire poses possibilities for the classical guitarist separated from the common repertoire yet no less technically or musically accessible. The adaptation of non-traditional classical harmonies and idioms to traditional classical forms demonstrates what a jazz sensibility can add to the Western art tradition. This additive sensibility is exactly what Schuller envisioned with his original definition of third stream music. Born out of possibility rather than dogma, the blending and unifying factors of Hatfield’s compositional style are at once a distinctive voice in the guitar world as well as the cohesive fusion that defines the third stream sensibility.
CHAPTER SIX

IMPACT AND IMPLICATIONS

We can understand why third stream failed to make a major impact on the musical culture of the 1950s if we accept that the culture was simply not ready for it. While classical and jazz had their respective critical and commercial appeals, there seems not to have been an audience prepared to accept, nor may there have been a generation of musicians fluent in, a fusion of the two genres. Instances of cross-genre blending such as *Rhapsody in Blue* and *La Creation du Monde* borrowed elements such as instrumentation and harmonic language, but they still represented the classical tradition of borrowing elements from another genre rather than a sense of synthesis. The ideals of the 1957 Brandeis concert were noble, but the trouble with codifying and labeling a style before it has had time to mature is that there is a lack of perspective. Perhaps if Schuller introduced the term after audiences had ample opportunities to hear the music, the reception would have been different. Audiences and musicians may have taken to third stream if it seemed to arise gradually and organically rather than suddenly after a weeklong university symposium. The former appears to be much more in line with the natural evolution of music while the latter appears to be an experiment set upon an unsuspecting public.

The experimentation of genre fusion between the Western and popular traditions may have been disregarded by critics and traditionalists between the 1950s and 1970s, but this spirit thrived with a younger generation of budding composers and performers.
This younger group, influenced by the radical developments in jazz and rock music, was working their way through university and conservatory training programs during the 1960s and 70s, an ideal time for third stream to gestate and mature with these composers and performers. Of course, there was some resistance towards accepting such divergent sounds into the Western art tradition. Steve Reich recognized the “wall…between classical music and street music, i.e., jazz, rock, and alternative” during his time studying at Julliard and Mills College.\(^\text{140}\) The influence of integral serialism in the university system pressured students to follow suit and compose in the manner of Boulez and Babbitt if they desired to be taken seriously.\(^\text{141}\) This belief occasionally persists today in the eyes of some modern composers, yet such dissenters are more the minority than the majority.\(^\text{142}\) Guitarist Dušan Bogdanović, himself a musician whose classical, jazz, and traditional Serbian influences fuse into his own compositions and improvisations, notes that this view is more common in Europe than the United States, perhaps because jazz originated in America and is often prized as our musical heritage.\(^\text{143}\) This view harkens back to Schuller’s belief that third stream’s intention to break down walls is a trait of decidedly “American” music. Critic Robert Palmer, while perhaps unaware of the term third stream, observed this as well in the 1970s while exploring the idea of what makes “American music…American.”\(^\text{144}\)

A comparison can be drawn to the popularity of the nylon-string classical guitar during this age as well. The contributions of Segovia and Julian Bream were invaluable.

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\(^\text{140}\) Thomas Rain Crow, *Rare Birds: Conversations with Legends of Jazz and Classical Music* (Jackson: University Press of Mississippi, 2008), 127.
\(^\text{141}\) Ibid.
\(^\text{143}\) See Appendix D: Questionnaire from Dušan Bogdanović.
for bringing the instrument to the attention of the concert-going public, but the guitar’s place in academia was practically non-existent. Student guitarists in North America had few legitimate classical guitarist instructors as resource, aside from Sophocles Papas in Washington, DC or (for those lucky enough for the opportunity) masterclasses with Andrés Segovia or Julian Bream. For decades after the turn of the 20th century the guitar was considered a folk instrument by conservatories and universities, an instrument not suited for “serious” study at an academic level. Despite the growing number of commissions producing increasingly sophisticated repertoire, classical guitar studios in college, university, and conservatory music programs were not generally accepted until around the 1970s, the same era that first presented the conflict between the serialist focus of composition programs and the pervasive influence of popular music with its enrolled students.

The idea of the “American music” influence on the classical guitarist has also been explored. Kim Perlak wrote about the voice of the American classical guitarist/composer in her 2008 dissertation from the University of Texas at Austin.145 With each of her subjects—American guitarist/composers Andrew York, Benjamin Verdery, Bryan Johanson, and David Leisner—Perlak uncovered a common theme of unabashedly embracing a musical heritage, be it jazz, popular, folk, or any other genre, and finding ways to fuse it within the language of the classical guitar. Although Perlak does not directly reference third stream outside of occasional anecdotes and references to a jazz influence in classical music, it must be noted that the theme of her thesis gives a near-textbook definition of this genre fusion as broadened by Ran Blake.

The education opportunities available for guitarists today, both within classical and jazz, have grown in quantity and quality since third stream was coined in 1957. Classical guitar studios are a common fixture in collegiate music programs, and the prevalence of graduate degree options (considering masters and doctorate programs) demonstrate the high standards the instrument is able to reach on the performance and academic research levels. Jazz studies programs in higher academia have also grown in regards to their sheer number (as demonstrated yearly in Down Beat magazine’s “Jazz Education Guides”) as well as their scope (with focuses in instrumental performance, improvisation, large and small ensembles, history, and arranging). These examples alone tell us how both the classical guitar and jazz have been not only accepted, but also embraced by the contemporary academic music culture. This is not to say that academic institutions are the deciding factor in what music is to be valued or consider worth of artistic study. What this does present is the wide range of opportunities available to the dedicated musician of the twenty-first century. The accessibility of high quality education and resources for the classical guitar and jazz in today’s university system reveals the value placed upon both paths, as well as the likely inroads towards their fusion.

As David Joyner proposed, third stream may have initially failed due to a forced and hastened grasping towards achieving a classical-jazz hybrid. Producing a fully realized musical voice takes time: influences need to be integrated, connective lines must be drawn, and musical maturity must develop before a style can be fully realized. Attempts to blend multiple genres of music that fail to come from mutually respectful and honed backgrounds typically result in subpar output that does nothing to further the

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146 Joyner, 86.
potential of third stream music. British music critic Philip Clark made light of this issue while discussing the problems of promoting classical music concerts in the 21st century:

…the very idea that suddenly you can be experimental as a lifestyle choice is as dubious as the notion that you could suddenly have a sense of humor—or speak Japanese. Because to experiment with music in any meaningful way, you need to have a deep understanding of how it operates technically and emotionally…Music is carefully codified by the conditions that surround it—and these you must respect.\textsuperscript{147}

Hatfield also acknowledges the necessity for respecting musical traditions before blending them into a new sound:

It’s inevitable that a global economy will produce cultural fusions. I do worry that embracing everything without being rooted in anything first may lead to cultural homogenization. I feel it is important to be rooted in and to master a tradition prior to fusing it with any other tradition.\textsuperscript{148}

Frederic Hand, Ralph Towner, and Ken Hatfield, as outlined in the preceding three chapters, all have experience in classical and jazz music that helped guide them to their own voices as composers and performers. Their understanding of the idioms and practices of classical and jazz music resulted in repertoire that blends both genres without sounding forced or pastiche. This is not to say that the earliest works from Schuller, Liebermann, Wilder, Blake, and the first generation of third stream composers are of any lesser quality, but we must again consider the musicians available for this music during the time of the Brandeis festival. Other than a few noted performers adept in both works (Bill Evans, John Lewis), there were few musicians in the late 1950s who understood both the rhythmic sensibility and improvisational aspects of jazz with the dynamic sensitivity of classical. Third stream music, then and now, requires musicians fluent in


\textsuperscript{148} See Appendix C.
both worlds, not simply classical and jazz specific musicians performing together as this creates an ensemble divided between specialties. Towner feels this discrepancy complicates the term and thus tends to avoid it when describing his own music. His writing for ensembles, whether Oregon or MGT, tends to focus on each player’s personal strengths, while ensuring everyone understands the interpretative challenges of both the written and the improvisatory traditions:

…products of classical music school, but with a special gift for improvising. Again, composing music that exploited their individual talents, with a special attention paid to the colors and control found in classical performance, combined with the syncopation and rhythmic complexity of jazz and the music of other cultures. The music was original, but avoided the sameness of dynamics and lack of variety of attacks and articulations by virtue of the ingrained classical training of the musicians. I don’t feel that was necessarily the basis of the third-stream movement. 149

This all begs the question, what does it mean to be a contemporary third stream musician? This question looks past any specialized repertoire or collaborations and focuses more towards what such a performer could offer the musical world at large. Besides an understanding, respect, and fusion of the classical and jazz traditions, what can they contribute to our larger musical zeitgeist?

Primarily, one could make a case for fearlessness towards improvisation. While universally understood as an integral component of jazz, the skill of improvisation in classical music, once prized and valued, has been largely neglected since the turn of the twentieth century. This neglect stands despite the wealth of improvisatory practices that permeated the Western tradition from the Renaissance through the Romantic era. Ornamentation, figured bass realization, cadenzas, fantasies—all idiomatic traditions of the Western art tradition that were once derived from a performer’s personal expression—

149 See Appendix B.
are now isolated and codified by the written score. While few researchers have extensively covered this topic there tends to be a belief that the turn away from improvisation stems from the twentieth century modernist aesthetic that prized the rejection of certain aspects of the past, in particular the nineteenth century improvisational aesthetic.\textsuperscript{150} While the rise of literalism in performance may have turned a valuable focus closer towards the composers’ intentions as indicated on the written score, we seem to have lost a flexibility with performance, one that increases the danger of turning once vibrant performances to stale recitations.

A specialist in jazz and the music of the Baroque and Renaissance, Bogdanović has noted links in their improvisatory nature.\textsuperscript{151} The potential for rhythmic vitality, melodic ornamentation, and active accompaniment is ever-present in each, leading to his stance that a successful performance relies almost as much on the performer’s creative reach as it does compositional quality.\textsuperscript{152} Of course, the musical language of jazz and the early Western tradition are distinct, and specialization in one clearly does not guarantee proficiency in the other; however, embracing the spirit of improvisation in its appropriate avenues allows one to inject life and vitality to music of the written tradition.

It is feasible to envision a generation of third stream guitarists applying their improvisation sensibilities, originating from jazz or other genres that prize this practice, to music of the Western art tradition. Naturally, this would require respecting and adhering to the melodic and harmonic practices of each tradition or period, improvising


\textsuperscript{151} Dusan Bogdanovic, \textit{Ex Ovo} (Saint-Nicolas: Doberman-Yppan Editions, 2006), 45–54.

\textsuperscript{152} Bogdanovic has also noted his disappointment regarding early music performances that neglect the potential for improvisation in ornamentation, accompaniment, etc.
only in a manner that is tasteful and stylistically appropriate. Incorporating this improvisatory manner not only harkens back to the original musical performance practices of the Renaissance, Baroque, Classical, and Romantic eras, but may perhaps also result in more captivating performances. A 2013 study between the Guildhall School and Imperial College London have produced results suggesting that performances of classical music imbued with an improvisatory spirit are more engaging (both for audience and for performer) than those without such a spirit.\(^{153}\)

Furthermore, an ability to improvise and comprehend complex harmony only adds to a better understanding of one’s instrument. Towner and Hatfield are not the only contemporary classical/jazz hybrid guitarists to have written methods on this topic. The Grammy-award winning guitarist Andrew York has published *The Classical Guitarist’s Guide to Jazz*, a method book that covers harmony, arranging, and improvising, all subjects that can enrich one’s understanding of classical repertoire as well.\(^{154}\) Additionally, British guitarist Paul Costello’s *Improvisation for Classical, Fingerstyle, and Jazz Guitar* encourages a comprehensive understanding of fretboard harmony in addition to improvisational techniques, and as such has been adapted as part of the curriculum of the Trinity Guildhall Classical Guitar exams.\(^{155}\) By incorporating the CAGED system Costello presents material in a way that encourages fluency and expansion of understanding through basic harmonic material and structures.\(^{156}\)


\(^{156}\) The CAGED system is a teaching method intended to aid guitarists in understanding harmony, scales, and chordal relationships by focusing on the guitar’s open C, A, G, E, and D major chords.
familiarity with the fretboard inevitably leads to a deeper understanding of one’s relationship to harmonic and melodic devices, improving a sense of comprehension and memorization of written material. Even if a classical guitarist actively chooses not to pursue improvisation, rather to adhere strictly to notated music, their musicality will nevertheless benefit from such intensive study.

Classical guitarists today, in particular American guitarists, tend to come from a non-classical background. Many, as Perlak notes, began playing jazz, rock, blues, or folk guitar before learning the classical style. While some classical musicians may consider this a hindrance, any sense of freedom, improvisation, or personal voice they may have developed with their pre-classical experience may benefit them when it comes to specialized contemporary repertoire as well as work from the Western canon that prized improvisation during its time. A freedom to improvise or develop a sense of refined spontaneity, so long as it respects a work’s musical conventions, can only add vitality to a performance.

Bogdanović has also made light of recognizing a “fourth stream” at this point, one that embraces the blending of not only classical and jazz but also the music of various world cultures. Again, we see a connection to Ran Blake’s broadening of how we may define third stream. We see examples of this throughout the guitar’s repertoire, perhaps due to the instrument’s relevance in musical cultures around the globe: Bogdanović’s own Six Balkan Miniatures, Heitor Villa-Lobos’ Suite Populaire Brésilienne, Carlo Domeniconi’s Koyunbaba, Štěpán Rak’s Hora, and Astor Piazzolla’s Tango Suite are all examples of works that incorporate a regional-specific musical language into the classical idiom. To perform these works from a strictly classical background, without an

157 See Appendix D.
awareness of their national sound, is to limit their musical impact. *Suite Populaire Brésilienne*, a work popular among students and professionals alike, features traditional classical dance forms hyphenated with “choro,” the traditional Brazilian street music (ex. “Mazurka-choro,” “Valsa-choro,” etc.). Joao Luiz of the Brazilian Guitar Duo has voiced his disappointment that most guitarists do not understand the implication of these titles. The inclusion of “choro” in their titles implies that each work is to be performed in the style of a choro guitarist, meaning variations in character, tone color, and rhythmic flexibility (all within the reasonable boundaries of musical taste) are encouraged, if not demanded.\(^\text{158}\)

In our contemporary musical culture, which freely adapts idioms from others around the globe, guitarists tend to be the most active in this cross-cultural blending practice. Gyan Riley, son of Terry Riley, has produced a significant body of repertoire that respectfully fuses Indian, African, and Eastern European influences within a traditionally classical context. Miroslav Tadić has adapted qualities of Bosnian and Croatian music into his classically structured works for solo guitar. These, in addition to those mentioned in the preceding paragraph, only being to examine the potential for ethnic, jazz, and classical blending as worked through the guitar.

The guitar can be a notoriously difficult instrument to compose for, especially for those who don’t understand its technical possibilities and limitations. Idiomatic tendencies are difficult to imagine without first-hand experience, one of the primary reasons composers tend to stay away from the instrument. Additionally, the instrument’s

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limited projection compromises its role in chamber music settings.\textsuperscript{159} These two reasons add to why none of the six composers on the 1957 Brandeis concert included the classical guitar in their works for that performance. This is unfortunate considering how the guitar not only succeeds in classical and jazz music but also in nearly every folk music tradition around the globe. However, the instrument, its practitioners, and our musical culture has progressed since 1957, and the guitar currently thrives in what is its most vibrant age since the 1700s. Embracing where we are, who we are, and what we can do forces us to recognize our potential in relation to Schuller’s quest for a new musical direction.

\textsuperscript{159} The issue of volume and projection in an ensemble has become less of a problem in recent years due to advancements made in microphone and amplification technology.
CHAPTER SEVEN

CONCLUSION

Don’t bother about being modern. Unfortunately it is the one thing that, whatever you do, you cannot avoid.

—Salvador Dali

Schuller may have anticipated that the coming of third stream music would signal a new generation of musicians freely blending classical and jazz traditions (and subsequently musical practices from around the globe) into a new sound that embraced all possibilities of modernism. While a well-trained composer could write music fusing these two genres there is the matter of necessitating musicians with the ability to accurately and honestly interpret this music. The lack of performers willing and able to champion third stream music in the late 1950s and early 1960s doesn’t necessarily say as much about the quality of third stream as it does the culture in which these musicians worked. The conception of a classical-jazz fusion at this time was still in its infancy, and much like any other new musical style there is a need for experimentation before acceptance. Additionally, the nylon-string guitar, while popular within the classical and Brazilian jazz worlds, was not widely seen as an instrument of genre fusion. As we’ve seen, the experimentation of this era did not progress far due to lukewarm critical reception as well as the inexperience of musicians to approach blending classical and jazz.

Today we live in a musical culture where blending idioms from the Western tradition with jazz is commonplace. Contemporary composers with backgrounds in the
Western art and popular traditions have produced repertoire that unifies both styles into a cohesive result that respects both traditions. It is also interesting to note that a number of these works have been collaborations between musicians separately from the classical and jazz worlds. While these mixed ensembles presented a problem with early third stream compositions—the juggling of classical and jazz elements without an end result of successfully fusing the two—recent works have resolved this conflict by collaborations with musicians and ensembles active in pursuing modern music. Our musical culture today is ready for third stream in great part due to this new generation of musicians who deeply understand the intricacies and subtleties of both genres. As seen in the work of Hand, Towner, and Hatfield, the versatility of the guitar allows it to freely adapt jazz and classical idioms into one instrumental voice as a vehicle for both solo and chamber repertoire.

However, the argument in favor of the modern third stream musician may come at the cost of the specialist in classical or jazz. The more one branches out, the less one can focus upon a single direction. Admittedly, this may give credibility to the critical argument that a third stream sensibility can muddy the musical senses, or that it may fuse too much Charlie Parker in Bach or Debussy in Billy Strayhorn. However, much as there will always be music by Mozart and Beethoven, there will always be musicians actively engaging in the standard classical canon. There will always be orchestras

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160 Examples include: Mark-Anthony Turnage’s *Blood on the Floor* with John Scofield, Peter Erskine, and Ensemble Modern; Roberto Sierra’s recent *Concerto for Saxophone* with James Carter and the Detroit Symphony Orchestra; and a recent performance of John Zorn’s *Bagatelles* with Gyan Riley and Julian Lage.

161 This argument, however, does ignore the similarities one can draw between these two specific comparisons. For example, the melodic language Charlie Parker commonly employed in his solos are often structured on the upper extensions of harmonies (3–5–7–9) often seen in Bach’s instrumental music, such as his sonatas and partitas for solo violin. Additionally, the influence of Impressionist composers such as Debussy and Ravel can be seen in Strayhorn’s harmonic language in compositions and orchestrations such as “Lush Life” and “Such Sweet Thunder” (in collaboration with Duke Ellington).
programming Mahler, pianists playing Chopin, and string quartets interpreting Haydn. The same can be said of classical guitarists: even considering those pushing boundaries and testing the limits of what third stream music can be, there will always be Sor, Giuliani, Tárrega, Rodrigo, and Brower on concert programs. Likewise, jazz musicians will always play on standards, rhythm changes, “Giant Steps,” and work in a genre forever changed by Bird, Davis, Corea, and Metheny. Based on their value alone, classical and jazz music will always evolve from their own lineage towards the future, just as third stream may do as well along its own independent path.

Perhaps it isn’t right to talk about third stream music as a term, movement or a collective genre or style. Too little happened following Schuller’s 1957 Brandeis concert to put third stream in concert halls, and yet so much has occurred since that year to suggest a classical-jazz hybrid can be fulfilled. Frederic Hand, while praising Schuler’s work, notes that third stream is a “…term associated with another time in our musical history.” While terms themselves tend to arise from reflection and analysis after the fact, the extensive collaborations and musical developments happening today with, for example, Gyan Riley, Sergio Assad, Yamandu Costa, Roland Dyens, and Fred Hersch, make it best to understand our culture as one of “post-genre,” free of any baggage inherent with labels. In light of this, we may see third stream as more of a sensibility or a spirit rather than a solidly defined label.

Granting the term this freedom allows a sense of fluidity that frees up third stream to be whatever it can be rather than perpetuate arguments over whether a work does or does not fit the label. If a musician, composer, or musical work faithfully blends elements

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162 See Appendix A.
163 Ibid.
of classical music and jazz by honoring and respecting traditions, then it embraces third stream’s ideals. In doing this we can begin embracing our modern sensibilities rather than muting them, championing our influences, and writing and performing for our culture rather than the expectation of a “genre” audience.

As is the way in most art, what was once radical gradually becomes accepted and moves from innovation to influence. While we cannot clearly see the future we can appreciate the acceptance of the ideals that defined Schuller’s goals for third stream. This may have been all he truly wanted: separate streams converging on a path of possibility.
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APPENDIX A

QUESTIONNAIRE FROM FREDERIC HAND

1) Are you familiar with the term “third stream” music as it pertains to a fusion of classical and jazz music (as originally defined by Gunter Schuller)?

I’m very familiar with the term and with Gunther Schuller’s work. He was a true pioneer and one of the very first to incorporate the vocabulary of “classical” and “jazz” into a truly third way. Today, it is not so unusual to find musicians who share a background in both genres. But Gunther Schuller led the way to what we sometimes hear now as “post genre”.

2) Given this definition of a fusion of classical and jazz music, do you consider yourself a third stream musician? Do you feel third stream is a term one could apply to your music?

I suppose so, although that term is associated with another time in our musical history. My influences and performing experiences in classical music include a lot of “early music” (renaissance, medieval and baroque). For musicians from those eras, improvisation was required, both as an accompanist, and as a soloist. Renaissance “divisions” (variations) were improvised over bass lines and chords, in the same way that jazz musicians do. Of course, the musical language is very different, but the concept is the same. It is this relationship (between jazz and ancient music) that inspired me to create the ensemble “Jazzantiqua”.

3) Please give a brief summary of your classical and jazz education (university/conservatory training, personal experience and interests, etc.).

My classical training began at the age of nine studying guitar with Manuel Gayol and later, Albert Valdes Blain (a protege of Segovia). I attended the High School of Music and Art (in NYC) and the Mannes College of Music. After I graduated I received a Fulbright Scholarship to study with Julian Bream in England. I also studied composition (privately) with several composers in after college.

As a teenager growing up in Brooklyn, NY, I became friends with two legendary studio guitarists, Stuart Scharf and Jay Berliner. Jay was Harry Belafonte’s guitarist at the time and Stuart was working with Carly Simon. The two of them were highly influential in my development, especially in music other than classical (jazz, folk and pop). Stuart referred me to his jazz guitar teacher, Lenny Frank, who I studied with for several years.
In high school, my closest friend was a great jazz pianist (Andy LaVerne). Andy went on to play with Woody Herman and Stan Getz, among many others. Andy, more than anyone, introduced me to the world of jazz. I also took a few lessons from the legendary Jim Hall, my favorite jazz guitarist of all time.

4) How did you come to blend classical and jazz influences into your compositions for the guitar (both in solo and ensemble settings)? Did you consciously attempt to blend the two genres?

No, it wasn’t a conscious effort. It was what naturally came from my imagination, born from countless hours listening to and playing in both styles.

5) Do you feel the classical guitar has specific qualities that lend itself to/develop a unique musical voice to blending classical and jazz?

The guitar is obviously utilized in a very wide variety of musical styles. It is also a chordal as well as a melodic instrument. As a result, most classical guitarists have some background playing other types of music. This fusion often involves rock, folk, and bluegrass, as well as jazz.

6) Have you ever encountered criticism from classical musicians over your interest/experience with jazz?

Only when I was student. Most musicians who I know now are fairly eclectic in their tastes and enjoy a wide variety of musics. But when I was in high school and college, studying jazz was frowned upon and I pretty much kept it a secret from my teachers. There was a lot of snobbery then, but times have really changed in that regard.

7) Have you ever encountered criticism from jazz musicians over your interest/experience with classical?

I never encountered criticism from jazz musicians about being a “classical” musician. Jazz musicians are generally much more open to all types of music.

8) Do you incorporate jazz harmony/improvisation into your classical guitar teaching at Mannes? Did you do so during your time at SUNY Purchase and Bennington College? If so, how?

I incorporated “improvisation” into my teaching in all three schools. Both Mannes and SUNY Purchase are music conservatories. SUNY has an excellent jazz program as does the New School, who owns Mannes. So there was no need for me to teach jazz. But as I mentioned, both renaissance and baroque music require improvisatory skills and a comprehensive knowledge of harmony, especially as it relates to the guitar fingerboard. And that is how I introduced improvisation into the program. I also taught arranging and composing for the guitar, incorporating all styles.
Bennington is not a music conservatory, but rather, a liberal arts college. There I taught whatever the students were interested in studying. A typical day would include lessons in classical guitar, jazz guitar, composition, arranging or working with singer/songwriters.

9) Do students actively come to you to study a hybrid of classical and jazz on guitar?

More so, classical guitar and composition. Although, these students tend to have eclectic backgrounds beyond classical music.

10) Do you feel classical musicians (particularly guitarists) could benefit from jazz education? How?

Yes. The primary benefits would be in understanding fingerboard harmony better and also, they would become better sight readers. But jazz and classical are two different worlds, each with their own vocabulary. And each requires a full time commitment. One can’t ride two horses at the same time.

11) Do you feel jazz musicians (particularly guitarists) could benefit from classical education? How?

Yes, jazz guitarists would benefit from studying classical guitar because of the “finger style” technique. Also, the studying of the great masters such as Bach, Brahms, etc... can benefit any musician. It can add to their understanding of composition and greatly influence their range of musical expression. But the same caveat applies in that you usually can’t do both equally well.

Getting back to your original question about third stream, these divisions between classical and jazz are not so distinct as they once were. Though it is near impossible to master both styles equally, a hybrid type of musician is much more commonplace today. Usually, they are more dominant in one field or the other. But there is often a true blending of musics that is very difficult to label or categorize.

12) Your Jazzantiqua project blended the improvisational practices from baroque and jazz music. Was it difficult finding musicians comfortable performing in both of those genres?

Surprisingly, no it wasn’t. The timing was apparently right for this, as I found versatile musicians on all instruments. Of course, living in New York was helpful, as it attracts musicians from all worlds.

13) Do you anticipate developing any more ensemble projects in the future?

I have a few ensemble pieces that I’ll record in the next couple of years, but I won’t be forming any new ensembles. I’ll leave that to the next generation. If my students are indicative of what’s generally happening, I’m quite sure that this trend towards musical fusion will continue quite happily.
14) Any final words regarding third stream/classical and jazz blending/thoughts arisen from the preceding questions?

The most important thing for any musician (or artist) is to be authentic. If that means combining musical styles, fine. But that shouldn’t be a goal and it’s not for everybody. It also doesn’t necessarily make for better music. It takes a long time to “discover” who we are both as artists and as the unique people that we are. It’s best to just follow your passions and interests and allow them to take you where they will.
APPENDIX B

QUESTIONNAIRE FROM RALPH TOWNER

1) Are you familiar with the term “third stream” music as it pertains to a fusion of classical and jazz music (as originally defined by Gunter Schuller)?

I am familiar with the term and Gunther Schuller’s approach to the fusion of classical and jazz music. My approach to combining classical musicians, orchestras in particular, and improvising musicians is fundamentally different. The writing of the music to be played has to flatter the rhythmic skills of the classical musicians, using mainly 16\textsuperscript{th} note subdivisions, with no attempt at having them play with the standard jazz swing feeling, which sounds awkward when attempted by non-improvising musicians. And on the contrary, I prefer that the improvisors avoid be-bop inflections when playing my pieces that involve classical orchestras.

I felt the third stream pieces revealed the weaknesses of the two camps, rather than exploiting the strengths. Lack of dynamics and articulation on the jazz musicians part, and a rhythmic flaw in forcing the classical musicians to play swing time.

2) Given this definition of a fusion of classical and jazz music, do you consider yourself a third stream musician? Do you feel third stream is a term one could apply to your music?

I don’t consider myself as a third stream musician. I’ll explain why on question no. 4.

3) Please give a brief summary of your classical and jazz education (university/conservatory training, personal experience and interests, etc.).

My musical background is quite varied, but each segment of my training came in large blocks without mixing the elements at first. I received a diploma in classical composition from the University of Oregon, then studied classical guitar in Vienna at the Academy for Music and Dramatic Art for three years. My jazz studies were more traditional, as jazz schools didn’t exist at that time. It involved studying recordings, mainly pianists, and playing with other musicians. I played solely piano at that time, and supported myself initially as a jazz pianist when I moved to New York City in 1968. My childhood was filled with recordings of WW2 swing bands, as my older brothers were serving in the military in the 1940’s.

4) How did you come to blend classical and jazz influences into your compositions for the guitar (both in solo and ensemble settings)? Did you consciously attempt to blend the two genres?
I was attracted to the classical guitar in my final year in the music school at Oregon. I was never interested in electric guitar, and was struck by the technical similarities the classical guitar had with the piano. My first intention was to achieve a solid classical technique of tone production, articulation, and musicianship under the tutelage of a master. I eventually started to compose more for guitar and a band that we formed in NYC in 1970, consisting of oboe, sitar and tabla, and acoustic bass, and of course, classical guitar and piano. The oboe player and the tabla player were both products of classical music school, but with a special gift for improvising. Again, composing music that exploited their individual talents, with a special attention paid to the colors and control found in classical performance, combined with the syncopation and rhythmic complexity of jazz and the music of other cultures. The music was original, but avoided the sameness of dynamics and lack of variety of attacks and articulations by virtue of the ingrained classical training of the musicians. I don’t feel that was necessarily the basis of the third-stream movement.

5) Do you feel the classical guitar has specific qualities that lend itself to/develop a unique musical voice to blending classical and jazz?

I feel that my experience playing with great jazz musicians, and my background and collaboration with great classical musicians is extensive enough to qualify me as somewhat of an expert in each endeavor.

6) Have you ever encountered criticism from classical musicians over your interest/experience with jazz?

I play mostly the music that I compose, so the only criticism I experience is about the quality of the music itself, and not whether or not it is infringing on any of the categories.

7) Have you ever encountered criticism from jazz musicians over your interest/experience with classical?

8) Do you actively teach? If so, do you consciously blend elements of classical and jazz music into your teaching? How?

I don’t teach, except for the occasional talk related to a concert.

9) What was your intention with writing *Improvisation and Performance Techniques for Classical and Acoustic Guitar*? If you were to write the book now, is there anything you would add/remove from the text as it now exists? Do you intend to bring the book back into print?

The book soured me a bit on music publishing, as the publisher went into immediate hiding, and I never saw a penny from the sales of that book. I do think it was a helpful book for a classical guitarist with an interest in improvisation, though. I’m currently putting some of my compositions on line from a website established for me.
oddly enough. I hadn’t given much thought to expanding it, since it really just became a strange pirate property in various catalogues all over the world.

10) Do you feel classical musicians (particularly guitarists) could benefit from jazz education? How?
Jazz music has a very strong standardization of harmony and scale study. The process of composing a vehicle to improvise on is a great way to learn the way the musical language functions. By doing, and finding yourself in the midst of solving compositional problems (such as; where do I go from here with this phrase, or; how does this harmony influence the melodic line, and vice versa.) puts you in the same position as any composer of any level. Jazz continues to change, but its history incorporates all styles that are still played by someone somewhere every day. The label isn’t accurate anymore considering the variety of possibilities for improvised music that owe much to the older genres, but have evolved outside of the standard harmonies.

11) Do you feel jazz musicians (particularly guitarists) could benefit from classical education? How?
This depends on the teacher. Now there exists a multitude of great players equally skilled in playing the classics as well as being great jazz improvisers. Keith Jarrett is a good example of someone from my generation, but there are now so many pianists with a strong classical background that I won’t even begin to name them. Musicians seem very protective of their chosen styles, and often criticize another musical concept out of fear or jealousy. A good teacher generally has a cultivated knowledge of both worlds, and concentrates on developing the particular gifts of each student.

12) Your numerous ensembles (Oregon, guitar trio with Wolfgang Muthspiel and Slava Grigoryan, etc.) incorporate practices from both jazz and classical music. Is it difficult finding musicians comfortable performing in both of those genres? Do you anticipate developing any more ensemble projects in the future?
It isn’t so difficult at this time. Wolfgang and Slava are good examples of musicians with prize-winning backgrounds as classical guitar soloists that have developed their improvising skills. (Wolfgang in particular is devoted to improvisation at this point.) Since I started in New York in 1968, the potential of finding a versatile musician that works well with me is now enormous. The trick is to find them. Always a word-of-mouth communication. Musicians have a skill at passing information on someone they’ve heard or heard of.

I recently recorded as a guest with “aires tango”, a group led by Javier Girotto, an Argentine saxophonist. I had done several duo concerts with him, and enjoyed playing with his group. I have another solo recording date for ECM coming up in February of next year. I leave for a month tour of Europe with Oregon next week. I hope this helps you out.
APPENDIX C

QUESTIONNAIRE FROM KEN HATFIELD

1) Are you familiar with the term “third stream” music as it pertains to a fusion of classical and jazz music (as originally defined by Gunther Schuller)?

I am familiar with the term “third stream,” and I know that it originated with Gunther Schuller. I am not quite sure when or where I first encountered the term, though.

In fall of 1971, I matriculated to the Berklee School of Music… as it was still called then, during its first year of accreditation. I suspect that being in Boston during the early 1970s and being in close proximity to the New England School of Music, where Gunther Schuller was the President, exposed me to many concepts like “third stream.” I know that many of the faculty members that I studied with at Berklee were active in the thriving Boston jazz community. That scene exposed them to many of the heady concepts which they brought into the classrooms, such as George Russell’s *Lydian Chromatic Concept of Tonal Organization for Improvisation* and the contextually based approach to harmonic analysis found in John Mehegan’s books, which formed the pedagogical basis for the theoretical explanation of the “chord-scale” approach to teaching improvisation that Berklee was known for when I was there.

Berklee was very different in the early ’70s than it is today… it was predominately a “jazz” school then. Gary Burton (who led a very influential group featuring guitarist Larry Coryell that many viewed as a progenitor of “fusion” music) had just joined the faculty. And Boston in general was the most intellectually focused environment I had ever been in at that stage of my life. Plus fusion music was the driving force for much of what was happening in music at that time. So a fusion of jazz and classical certainly seemed as natural to me as the fusion of jazz and rock that critics championed in publications that covered contemporary arts like the *Boston Phoenix*, and that musicians like Miles Davis, John McLaughlin, Chick Corea and Weather Report were creating. The concept I’ve often encountered to explain and justify this “natural” fusion was that both jazz and rock were each descendants of the blues. And in retrospect I can see how that concept took root in my thinking, to resurface years later (see answer #4).

2) Given this definition of a fusion of classical and jazz music, do you consider yourself a third stream musician? Do you feel third stream music is a term one could apply to your music?
The simple answer to this question is yes, but I never thought about my music or music in general in such terms when I was first drawn to a life in music. So yes or no can be misleading.

I came to the classical part of this “fusion” from a jazz perspective. And I came to jazz indirectly because of a natural ability to improvise that drove the musicians I worked with to distraction in what were called “bar bands” where I grew up in Hampton Roads, VA. (I can elaborate on this if you want, but for now, and to avoid getting too far off topic, I’ll leave it at that).

I’ve always been comfortable with and focused on the process of acquiring deeper and broader skill sets, which, once mastered, I apply to creating works that function as vehicles for self-expression.

The one music that attracted me instinctively, requiring no analysis, was blues. In fact, the first jazz that spoke to me, and spoke the deepest to me, was always the jazz most rooted in the blues—from Charlie Parker, to Wes Montgomery, to Cannonball Adderley; that music called me to being a musician in the first place. The classical part generally garnered respect, but not adulation. Studying and emulating the classical aspects that are now a major part of my music came many years later.

You must realize that I’m answering this question with the advantageous perspective that hindsight provides, so from that vantage point I can say that, yes, the term “third stream” can be accurately applied to much of my music… but I can only view it that way retrospectively.

3) Please give a brief summary of your classical and jazz education (university/conservatory training, personal experience and interests, etc.)

My first important teacher was John Griggs. John was to remain a teacher, mentor and dear friend to me, for the rest of his life. John was part of a unique group that studied classical guitar on the G.I. bill in Washington, DC, with Sophocles Papas (who Segovia famously said was the only “qualified” teacher of classical guitar in the U.S.). This group included Charlie Byrd and the great (though underappreciated) Bill Harris. So when, as a teenager, I began studying with John, he tried unsuccessfully to make me a “classical guitarist.” But playing electric guitar seven nights a week in bands around Norfolk and Virginia Beach, Virginia, for packed dance floors, as I was doing, was much more appealing than sitting with a foot stool playing “classical guitar repertoire” alone! So, while I dug all the knowledge John was providing, it took Wes Montgomery for us to find some truly common ground. Once that happened I was hooked, and things took off at a rapid pace.

Following graduation from high school I went to Boston to attend the Berklee School of Music. During this time I was exposed to so much new stuff… musically, artistically, and intellectually, that it changed my entire life and worldview. John had prepared me well.
enough that after taking an advance placement test, they moved me ahead to 3rd semester classes at Berklee.

Following two semesters of classes I returned home for the summer and worked with a guitar, bass and drums trio seven nights a week in Virginia Beach. I also played in Philippe Fields’ big band, where I was given the opportunity to write charts for the band. During this time I realized that the contextual function of certain chords could not be harmonically “defined” or demonstrated with the seven modes of the Major scale(s) that we had focused on during my first year at Berklee. So I built diatonic chords on other scales whose existence I was aware of, and extrapolated the corresponding diatonic “modal scales.” This process revealed scales that could harmonically define some of the chords I could not figure out how to previously blow on.

When I returned for the fall semester in 1972 and the teacher of our harmony class, Frank Turziano, asked the class if anyone knew what chord-scale to use on a B7b9, I knew the answer is an e harmonic minor from the 5th degree. What I had figured out during that summer was what the next year’s harmony classes would teach us. Unbeknownst to me, the fact that I already knew this stuff led several of my teachers to recommend me to John LaPorta (the head of the instrumental performance program I was enrolled in) for a faculty position.

So I joined the Berklee faculty beginning in the spring of 1973. Among other advantages this provided was the opportunity to audit any classes I chose, including composition and arranging courses not available to those in the instrumental performance program.

Until the 1990s, I felt that the two most important things I did for my education were (1) go to Berklee and (2) leave Berklee, which I did in the fall of 1974, to pursue a career as a professional musician.

In 1991, after years of professional experience as a touring sideman and studio musician, and due to several compositional commissions I successfully fulfilled, I decided I needed to study composition in greater detail. I was particularly interested in the study of counterpoint. So I enrolled at SUNY (State University of New York) and began private counterpoint studies with Paul Caputo. Counterpoint was and is a revelation to me and is in part responsible for what became a growing interest in the classical aspects of my music that now help justify relating it to third stream traditions.

4) How did you come to blend classical and jazz influences into your compositions for guitar (both in solo and ensemble settings)? Did you consciously attempt to blend the two genres?

As I mentioned above, John Griggs encouraged me to focus predominately on classical guitar when I first studied with him. But as a teenager enthralled with Jimi Hendrix, I just couldn’t make the connection emotionally to that music or that instrument. Jazz was a much more natural fit, but even that came about more because of a natural ability to improvise than any affinity for jazz as a musical genre… at least at that time in
my life. So for me the improvisational part of all of this was crucial, because it was always a very malleable ability… meaning it was a skill set that I could apply to a variety of contexts and in a myriad of ways. I used it to blow solos on blues and on rock tunes when I played in bar bands; I used it when improvising on standards and jazz tunes at Berklee and later in jazz contexts professionally; I used it to create rhythm section parts when working as a studio guitarist; and I used it to compose. In fact, much of my early composing came from a kind of stream of consciousness that involved stringing ideas together in an almost improvisational manner that fit spontaneously flowing ideas over chord changes which I often created in advance. Of course I would then go back and “fine tune” or rewrite what I first improvised to create a finished tune. But without the improvisational skills that came naturally to me, and the application of them, the composing bug would not have taken root in me.

After years of writing this way, I began to feel constrained by this somewhat limited approach, especially when it came to writing longer pieces, like the first two ballets I wrote for Judith Jamison. For longer works I felt the need for thematic development, where I could employ ideas that morphed into related variations, like DNA, ideas which would replicate and evolve throughout the entire piece, but still be organically connected with something stronger than sequential presentation, or the flow of time, holding it all together. Since classical music had been grappling with such issues for a long time, I began listening to more of it, and reviewing the classical guitar repertoire I had first been exposed to in my teens, sight reading through many pieces by Bach, Scarlatti, Ponce, Sor and Tarrega, resulting in the obvious answer/tool of counterpoint revealing itself as a solution to my compositional quagmire.

I decided I needed to go back to school and seriously study counterpoint as well as voice-leading, form analysis and other compositional tools traditionally associated with classical music.

All of this led me to resume playing the classical guitar that John Griggs had encouraged me to explore in my teens. As I had no intention of becoming a pianist, the classical guitar made sense for the polyphonic music I was being increasingly attracted to composing and performing. It also led me to compose without an instrument, which dramatically altered my perspective on the content of much of what I was writing.

While all this was occurring I began feeling/hearing a strong urge or need for finding and developing what I can only call my own voice. This voice first manifested itself compositionally, but began to increasingly affect my playing, especially my comping and improvising.

As I began looking for “directions” where I could apply what I was developing, I felt constrained by the categories the recorded music business offered as musical options. Yet I was very clear that the voice I heard was tonally oriented, as I knew (at that time) I wasn’t feeling any affinity for atonal or free jazz; I was also aware I had no interest in smooth jazz. All of this led me to distrust and shy away from categories in general.
As I suggested earlier (end of answer #1), I had been exposed to the idea that a lot of the music and indeed most of the culture of the western hemisphere was and is a fusion of the different cultural traditions settlers and immigrants and even indigenous people contributed to it. And I was so familiar with the concept that jazz is just such a fusion resulting from (what I believe Albert Murray coined) a “blues-based sensibility,” originating in Africa, colliding and mixing with western European harmonic traditions, made possible in large part by the tempered scale and the instruments built to accommodate and take advantage of this tuning method, that I accepted (without much questioning) the concept that western Africa was the mother and western Europe the father (or vice versa) of this music called jazz.

The natural outcome (at least for me) of filtering my experiences of falling in love with African American music in general and jazz in particular, while attempting to discover my own voice, was that I decided I needed to return to and study the musical traditions of the ancestors of jazz.

My first step on this journey of discovery was to return to the university to study the European “classical” traditions. Not yet sure how I would delve deeper into the African part of this musical lineage, I focused on counterpoint. At about the same time, I fortunately joined Dom Salvador’s band and became immersed in New York’s vibrant Brazilian jazz scene. This exposed me to the music and culture of the most African part of the western hemisphere, Bahia, and the rhythmic concepts that the African diaspora fostered in Brazil. Even the word samba comes from the Yoruba language. So I found myself simultaneously studying and living the music of both ancestors of jazz.

Brazilian music also provided a new model for how the same parents (Africa and Europe) could produce a very different progeny, yet one that could also accommodate improvisation and prove to be very compatible with jazz, and a blues-based melodic vocabulary, even as it employed the highest levels of rhythmic, melodic and harmonic development of any world music I know of.

As I delved deeper into this newly discovered “musical relative,” I discovered more and more options in the kaleidoscopic interaction between the three prime aspects of music—rhythm, melody and harmony—all of which were developed to levels that rivaled anything jazz or classical music could offer. From the Bachianas Brasileiras of Villa-Lobos to the baião of Luis Gonzaga to the bossa novas of Tom Jobim or Joao Gilberto, here was a world class music that proved (to me) that the elements I cared most about in music had not been exhausted, and could still be employed to produce results that differed dramatically from what I had previously known.

All of this convinced me that this path of exploring the musical heritage of the cultural ancestors of jazz was well worth the effort I’d have to invest, if I too were to find my own way of combining the musical DNA of western Africa and western Europe in the hopes of creating my own musical voice.
It was at this point that I could no longer avoid confronting a longstanding problem that I can only describe as my own emotional block. This pertained to what I sometimes encountered when improvising. As I would go deeper into the music I was improvising, aspects that I feared many would identify as “hillbilly” or “countrified” would begin to reveal themselves. My reaction to this was to hesitate, because these bluegrass influences did not fit with my ideas of serious art, so I would stop myself from going deeper into the music, which inhibited me from accepting whatever I discovered during such improvisational explorations. It took a lot of effort to get past that. The results of those efforts can be heard on String Theory, particularly in the two duo sonatas, “The Gospel According To Sam” (composed for classical guitar and dobro) and “String Theory” (composed for classical guitar and mandolin). These pieces broke an emotional log jam for me even as they gave me a clear vision of how I could combine all the classical techniques I’d been working on with the blues-based jazz vocabulary I’d been comfortable with most of my life, as I learned to dig deeper and include dimensions of my own cultural heritage that I’d previously been uncomfortable with.

5) Do you feel the classical guitar has specific qualities that lend itself to/develop a unique musical voice to blending classical and jazz?

Yes I do. However, since there is already an established and accepted repertoire for the classical guitar, which is expanding as more embrace this instrument, the classical part is easier or has a clearer path than the jazz part does. Brazilian music, again, offers a model for how some of the aspects of these two different traditions may be combined.

The jazz part is much harder, not because it’s difficult to improvise on the classical guitar; the flamenco traditions demonstrate how versatile a vehicle for improvisation the traditional nylon string classical guitar can be. But jazz is more than improvisation. The linear vocabulary of jazz has its roots in and its development driven by phrasing approaches and techniques that are idiomatic of what has been historically produced by the horn players that were the prime soloists in jazz. That doesn’t mean others have not contributed to the music. But the sound and feel of the music comes from things that just “lay” on wind instruments more naturally than they do on instruments that cannot sustain a note and reshape it after it has been sounded. The problems of “mimicking” this kind of phrasing are much harder on a nylon string guitar than on an amplified steel string for two reasons. (1) Until recently it was much harder to amplify a nylon string guitar, especially in live ensemble settings, because the most workable pickups were electromagnetic, and nylon strings do not conduct electricity, so such pickups could not amplify a nylon string guitar. And (2) the instrument itself is not physically loud enough acoustically to compete with the volume of trumpets, saxophones and drums, even when using a microphone, because of the bleed from the other louder instruments. And playing in ensembles has traditionally been the primary way to develop one’s ability to play jazz. Most great jazz improvisers and stylists interact and respond to what the other players give them when they are playing. This means ensemble playing, and finding ensembles for the classical guitar has historically required ensembles that play very quietly. The historical lack of such opportunities has led many classical guitarists to focus on the solo repertoire. As great as this repertoire is, it limits one’s development as an improviser.
This all makes playing solo as a “jazz” artist on any instrument a very limited proposition. Not that there aren’t great examples of it, but they prove the exception. Now I’ve composed a great many “jazz influenced” solo guitar works. But that is just one way I’ve found to use my history and the influences I’ve worked so hard to integrate to create musical art.

Remember, I came to all of this from a perspective of having spent 20 years learning to phrase like a horn player first on a steel string electric guitar using a pick. So I had some basic ideas about what I was mimicking, how it was supposed to sound and feel, and a sense of how to go about achieving it. But adopting those techniques was far harder on a nylon string than I ever imagined. Ironically, in addition to applying the various hammer-on and pull-off techniques I’d mastered on the steel string, it also required going back to traditional classical guitar techniques like apoyando (rest) and tirando (free) strokes and various dampening techniques to control the limited sustain that makes the classical guitar so difficult to reproduce jazz phrasing on in the first place. One might well ask why I’d need to control the sustain of instruments that have such limited sustain to start with: because the piezo pick-ups that have finally begun to address the amplification issues which inhibited the nylon string guitar’s role in jazz will feedback very easily, and, as of now, only traditional classical guitar techniques (especially dampening of open strings with the thumb of the picking hand) can manage this problem.

Now that I’ve raised all of these issues about how hard it is to combine classical and jazz approaches on a classical guitar, which I suspect is why there have been so few that have done it historically, let me point to how and why I hear it happening more and more in contemporary music.

We now have world class luthiers that are building nylon string guitars from the ground up that are designed to be amplified, and we have cutting edge inventors creating pickups for these instruments, as well as amplifiers built and designed to accurately reproduce the broader spectrum of frequencies such guitars produce.

As for the instrument itself, more and more composers naturally want to write for what is universally accepted as the world’s most popular instrument. So the repertoire is ever expanding and improving. And in jazz ensembles many are discovering that the polyphonic ease with which the classical guitar can comp for (accompany) the other instruments, thus fulfilling the “chordal role” of the music, produces results that are both more transparent and more detailed than an electric guitar, while being less dominating or intrusive, leaving more space than a piano. So the classical guitar’s role is expanding on the two fronts that third stream music mines as influences, making it the perfect vehicle for such musical explorations!

6) Have you ever encountered criticism from classical musicians over your interest/experience with jazz?

Yes, of course I have. So many folks want to know what something is before listening to it, or before reading it, or before watching it, or prior to tasting or consuming it, etc., that
categorizing products in the marketplace has become like the tail wagging the dog. So I’ve become accustomed to “classical purists” complaining that my compositions are not “really” classical. Of course, they no longer care about such distinctions with composers like Villa-Lobos, whose use of choro is no more or less prevalent in his guitar compositions than jazz elements are in mine! And I never claimed my compositions were or are “CLASSICAL.” I’m merely trying to express myself, document my ideas and hope that I contribute something of value to music in general and the repertoire of our beloved instrument in particular!

The most amusing example of this I’ve yet encountered was when a famous classical guitar society would not review my *Etudes for Solo Guitar in 24 Keys* because they didn’t consider the music to be “classical,” since I used the “jazz” font in Finale to engrave it!

7) Have you ever encountered criticism from jazz musicians over your interest/experience with classical?

Again, yes, of course I’ve encountered criticism from jazz musicians over my interest/experience with classical music, the silliest being when one “critique” questioned: if Hatfield’s music is really jazz, then why is the instrument he plays called a classical guitar?

There are of course more thoughtful criticisms, many of which center around music of mine that contains a high degree of through composed material, especially those pieces where the improvisational elements play a smaller role than they do in many of my other compositions. And some folks today seem to have a distrust of harmonically complex music, which a great deal of my music is. While these elements come from classical music, some seem to view them as effete. Such small mindedness is hard to take seriously, though. Then again, I rarely categorize such works as jazz or as any particular bag or style. They are like a great deal of my writing, merely attempts at exploring ideas I find interesting, while expressing myself and hopefully contributing something of value to music in general (and the guitar in particular) via works intended to facilitate a process that stimulates the free exchange of musical ideas between the like minded players of any ensemble I write for.

When I do consider a work to be “jazz” despite a great deal of through composed material, like, for example, my jazz song-cycle “For Langston,” it’s because of a myriad of connections to the traditions of jazz that permeate the musical composition. Everything from Langston Hughes’s poems (which he viewed as coming from and being part of the jazz oeuvre), to the linear, rhythmic and harmonic vocabularies I employ, to the ensemble writing (referencing everything from stop time to shout choruses, to second line), to even forms like blues, and of course the large amount of individual and group improvisation, links this work to the jazz tradition, even as it references other cultural and musical influences that have been absorbed into and influenced the ongoing evolution of jazz. So in such cases, where the tribute is intentional, of course I acknowledge it. But that can
engender even more criticism when such works do not coincide with someone else’s preconceived idea of what is and what is not jazz!

8) What was your intention with writing *Jazz and the Classical Guitar: Theory and Application*?

It seems like for as long as I can remember I’ve been involved in discussing and explaining things about music that I perceive to be relevant to comprehending and playing music. The simple answer to the question of why I wrote *Jazz and the Classical Guitar: Theory and Application* is that Bill Bay asked me to write a comprehensive book that would help classical guitarists understand what is really going on in jazz, especially when improvising.

Anyone spending their life in music realizes pretty early that you cannot just take from such a deep source; you have to give back too. And any composer that doesn’t want others to play their compositions has a very narrow idea of what it means to be a composer. So sharing and explaining my understanding of what goes on in the music I’ve spent my life immersed in seemed important and also seemed natural to me. I know other artists do not feel that way, but I always have.

I wanted to approach the task of presenting my ideas in a manner that would address issues from the perspective of a jazz guitarist exploring the classical guitar as well as from the perspective of a classical guitarist exploring jazz.

I’ve heard some pretty convoluted explanations coming from great players about what they do and how they do it regarding jazz improvisation. And I was dismayed at how little many classical musicians understood about what jazz musicians are doing when they improvise. So I wanted to un-muddy the waters.

To do this I decided to divide the book into two parts: (1) the theory, which is really about explaining and aiding the student in the acquisition of the knowledge needed to engage in harmonic analysis of the kinds of chord progressions one routinely encounters when improvising in a wide variety of jazz contexts, and (2) applications of that theory to forms (actually common song forms) one must contend with in jazz. This second part can be seen as the form analysis equivalent to the harmonic analysis of the book’s first part.

The titles of the book’s chapters pretty much lay out my approach, which covers all of the types of harmonic phenomena one would encounter in most jazz contexts where the performers are playing “tunes” that are tonally oriented (i.e., not free jazz). Not that I don’t dig free jazz—it just didn’t seem to be to be where I should start an explanation of how to learn to improvise, and the scope is already large enough without expanding it beyond what the publisher was willing to include in one book. So I focused the explanations on giving the student the insight needed to interpret harmonic function(s) contextually. Because any other method is meaningless nonsense!
Then I applied these theoretical explanations/insights to actual compositions of mine that fit within one of three categories I’ve encountered repeatedly throughout my life playing jazz: (1) blues, (2) rhythm changes, and (3) standards (i.e., tunes resembling those from the great American songbook).

That is basically the why and the how of it.

9) Do students actively come to you to study a hybrid of classical and jazz on guitar?

Students come to study with me for a variety of reasons. Among them is the desire to gain a deeper understanding of the confluence (especially harmonically) between jazz and classical music. Some only want to acquire this knowledge for application to the technique of physically playing the guitar (in which case these students tend to be classical guitarists), while some want to use the knowledge primarily for composition. Others want to learn to do better transcriptions and/or create solo guitar arrangements of pre-existing pieces. But I always keep two points in mind: (1) the world doesn’t need any clones of me. Lord knows, it can hardly support me 😊. After all, look where all the Charlie Parker, John Coltrane and Wes Montgomery clones have gotten us. So I don’t teach a “Ken Hatfield style” of anything. I try to encourage my students to develop their own thing. And (2) I agree with Arnold Schoenberg’s assessment that western music’s history and the evolution of its development has largely been an ever-loosening, gradual minimization of the restrictions placed on the use of dissonance, at least when viewed from a harmonic perspective. And of the three prime aspects of music (rhythm, melody and harmony), the harmonic realm is where most students seem to be the least developed these days. So I focus on their acquisition of harmonic knowledge as the basis for everything else. Then I address individual technical issues, like chops, rhythmic weaknesses, melodic and thematic development of ideas, etc., focusing on whatever contexts their individual goals direct them towards. Of course not everyone has clear goals. So for such students I follow Duke Ellington’s advice that “there are only two meaningful categories of music: good and bad,” and focus on the acquisition of sound musical understanding and the development of solid techniques which can be applied to whatever the student chooses, all of which generally brings me right back to the confluence of classical and jazz anyway!

10) Do you feel classical musicians (particularly guitarists) could benefit from jazz education? How?

Yes, absolutely! I know from personal experience both as an individual striving for artistic self-expression and from a pedagogical perspective that studying jazz can broaden one’s horizons enormously! Omitting the well-documented, thoroughly researched studies about jazz’s effects on brain activity, and its development, let me point out that for classical guitarists (even those with no proclivities for composition), playing in jazz ensembles where a premium is placed on attentive listening and interaction greatly enhances one’s ability to play in ensembles of all kinds. Learning to improvise aids one in following the flow of musical thought, which helps composition enormously, even as it helps performance. Familiarizing oneself with the blues-based linear vocabulary of jazz
exposes musicians to vanishing traditions that predate the use of the tempered scale (something becoming increasingly rare, as all of our planet becomes more interconnected and exposed to instruments that have tempered tuning as their only option, thus forcing all instrumentalists to acquiesce to this universal norm). This broadens one’s harmonic sense in ways that are hard to imagine for those that have not experienced it. And perhaps the most beneficial effect from studying jazz (for guitarists, especially classical guitarists) comes from confronting the need to accommodate phrasing approaches that originate with wind instruments, and figuring out how to reproduce them on an instrument upon which they do not naturally “fit.” This broadens one’s conception of what is possible on the classical guitar perhaps more than anything a student can do!

Then there are all the incredibly highly developed rhythmic concepts that jazz inherited and absorbed from western Africa: everything—from the subdivisions of three against two or four (and vice-versa) common in virtually all African music, to samba (a Yoruba word) and baiao from Brazil, to the montunos, the claves and the tumbaos from Cuba, to the salsa of Puerto Rico—comes from western Africa, as does the blues-based sensibility at the very heart of jazz. Exposure to this can only enrich and expand one’s musical palette, while enhancing one’s comprehension of what MUSIC can achieve, even as it increases one’s appetite for more!

11) Do you feel jazz musicians (particularly guitarists) could benefit from classical education? How?

Yes, of course I feel jazz musicians (particularly guitarists) can benefit enormously from a classical music education. There are so many ways such study is beneficial, especially for composers, that it’s hard to know where to start. And since so much of the fabric of jazz consists of dealing with “blowing on the changes,” the more one knows about the harmonic function of chords, the better equipped a player is to address the myriad of contexts one has to gracefully and artfully improvise their way through, even if one never composes a tune in one’s life. What better way to do this than to go back to the source of our harmonic system, which is clearly western Europe? And what better manifestation of this western European harmonic tradition can there be than the classical repertoire and techniques employed to create and perform it?

For players this means understanding all the harmonic options made possible by the tempered scale. Since the time of Pythagoras, the concept of playing in all keys and moving freely between all keys was a dream that eluded musicians. This dream was technically realized during the lifetime of J.S. Bach, when he clearly demonstrated its workability in his two books of Preludes and Fugues for the Well Tempered Clavier. Without this tempered tuning system few (if any) of the harmonically rich possibilities that give jazz its chordal foundations would be possible. So, in my opinion that alone justifies studying the harmonic traditions that evolved out of the explorations western European musicians actively engaged in before the African diaspora exposed those forcibly brought to the western hemisphere to instruments designed to take advantage of what the tempered scale alone could produce harmonically.
For many jazz musicians accustomed to reading, playing and understanding chords in the representation commonly referred to as “chord symbols,” the study of voice-leading can be a revelation. Plus, the insight harmonic analysis can provide (while not unknown in jazz) as explained in classical harmony studies can also broaden and deepen a jazz musician’s understanding of the inter-relationship between apparently unrelated chords they may have previously encountered in contexts they failed to fully comprehend. This of course works the other way as well, as evidenced by all the consternation Wagner’s so-called “Tristan chord” creates whenever it’s discussed in classical harmony courses. Most jazz musicians, including myself, hear it as the relative II-7b5 of a substitute dominant 7th chord (i.e., Bb7 substituting for E7) making that part of the chord sequence: f-7b5, to Bb7#11, resolving (albeit temporarily) to a minor. Such a sequence is not all that rare in jazz contexts!

For jazz composers interested in composing longer works that are not just suites comprised of loosely related ideas presented sequentially, studying forms frequently used in classical music designed to address the very same constricting issues can be enlightening. And nothing begins to open one’s horizons the way the study of counterpoint can. It’s comparable (if you’ll indulge a fanciful metaphor) to comparing placing rocks side by side to build a structure, to DNA replicating to produce a human being!

Then there are the many techniques which classical and flamenco guitarists have developed to play both through composed and improvised passages that are polyphonic and expressively powerful, which can be applied to jazz in expansively meaningful ways.

All of this points toward creating a unique role for the classical guitar in a variety of jazz contexts, which requires knowledge of both the classical repertoire and the techniques associated with creating and performing it!

12) Of all your ensemble projects, your most recent, For Langston, best demonstrates the concept of third stream music by blending through composed music (from the classical tradition) with improvisation (from the jazz tradition). Was it difficult finding musicians comfortable performing in both of these genres? Do you anticipate any more classical/jazz ensemble projects in the future?

I often write with specific musicians in mind for my own projects, and For Langston is a prime example of this approach. Not that it was easy documenting this music via a recording, but it would have been much harder if I did not know the players and their abilities in advance. This is particularly true of bass player Hans Glawischnig and alto flute player Jamie Baum, both of whom have backgrounds that include classical training, despite their reputations for being world-class jazz musicians. Jamie studied at NEC (while Gunther Schuller was president) and Hans, who divided his formative years between Graz, Austria, and Boston, MA, began his musical life as a violinist. The unknown factor for me on the project was vocalist Hilary Gardner, whose work in Twyla Tharp’s Broadway show Come Fly Away was my sole introduction to her abilities. Though as a young girl she fell under the spell of Ella Fitzgerald and the Great American
Songbook, it turns out that she studied to be an opera singer as well. So she also had a foot in each camp. And I had worked in so many different situations with drummer Jeff Hirshfield and percussionist Steve Kroon that I knew there is very little I would throw at them that they could not handle masterfully. So everyone involved in *For Langston* had experience with both through composed and improvised music. And four of the six had experience with classical as well as jazz, though I suspect if asked, all would say they consider themselves to be primarily jazz musicians. I think this is commonly what many educated contemporary musicians encounter. We’ve studied both classical and jazz (and indeed other world musics as well), but our careers, and especially the marketplace, tend to force us to choose a primary musical allegiance, or at least affiliation.

I tend to write in ways that mine the many areas of confluence between a variety of musical interests, primarily because if I dig it, I study it, and once I’ve studied it I make it mine, and if I’ve made it mine, I’m going to use it.

All of this means I am quite likely to compose and document via recordings future works that some will consider “Third Stream” or at least related to that tradition.

I know of few composers that, once they’ve discovered and studied counterpoint, don’t want to use it. Plus generating chord progressions via voice-leading takes the music into harmonic regions outside the endless II Vs associated with much of the jazz created since the Bebop era. These and other factors give the music what some feel is a “classical” aspect. And given that, once an improviser, always and improviser, means I’ll never leave the jazz aspects out of my music, combining all that those two traditions embody seems to be the modus operandi I’ll be employing for the foreseeable future. So keep you ears open for what comes next!

13) Any final words regarding third stream/classical and jazz blending/thoughts arisen from the preceding questions?

I’ve somehow managed to answer all these questions without once mentioning the musician that probably best exemplifies what attracted me to the third stream tradition: Bill Evans. Though I’ve only rarely heard him associated with the third stream tradition, his approach, especially to improvising, is the perfect fusion of classical harmonic techniques and—later in his career—even formal considerations related to classical music, with a pure jazz sensibility. And he accomplished this with such a natural lack of self-consciousness that, like many musicians, I fell under his spell without realizing the implications; namely, that I’d inevitably return to what I avoided learning earlier in my musical life.

I find it a bit ironic that classical music became more appealing to me only after I became a jazz musician. I suspect this is because understanding the origins of the complex harmonic structures jazz embraced led me to a deeper understanding and appreciation of similar structures in classical music, in much the same way that the polyphonic requirements of classical music as well as Brazilian music led me to reevaluate and
embrace the classical guitar after almost a quarter century devoted predominantly to the steel string electric guitar.

It’s inevitable that a global economy will produce cultural fusions. I do worry that embracing everything without being rooted in anything first may lead to cultural homogenization. I feel it is important to be rooted in and to master a tradition prior to fusing it with any other tradition. This may become harder in a world where any and all information is accessible at a keystroke and where anyone and everyone can create their own mash-ups of content which they neither created themselves nor comprehend. I do, however, feel optimistic that the free flow of ideas is worth the risk, though it may require the general audience for instrumental music to grow beyond the paltry 2% that organizations like the RIAA profess are the current limits for the consumption of non-vocal music. For without an increased appreciation of what instrumental music alone can communicate, the survival of mankind’s capacity for comprehending the things which music alone can communicate may be subjugated to background status, if not marginalized to the brink of extinction. This could minimize the power of any means of communication not directly linked to or dependent on either visual stimuli or the syntax of language. And this would remove one of mankind’s ways of knowing and understanding our relationship to reality.
APPENDIX D

QUESTIONNAIRE FROM DUŠAN BOGDANOVIĆ

1) Are you familiar with the term “third stream” music as it pertains to a fusion of classical and jazz music (as originally defined by Gunther Schuller)?

I do know the term “third stream” but my knowledge of Gunter Schuller’s work and theory is very sketchy at best. I have, however, been very much involved in work of creating diverse syntheses based on jazz, classical and world music, which has perhaps become some sort of “fourth stream” at this point. Especially my work with the great Bulgarian composer-pianist Milcho Leviiev who was one of the originators of this kind of effort (his group Free Flight was among the first to include improvisation on music by Chopin, Bach, Ravel, and also combination of folk and jazz) has marked my composition ever since the early 80s.

2) Given this definition of a fusion of classical and jazz music, do you consider yourself a third stream musician? Do you feel third stream is a term one could apply to your music?

I mentioned “fourth stream” as a joke, but any sort of “stream”, I think, is far too narrow for lots of things that are going on these days and I view my own creative work (and creativity in general) as something that does not need necessarily to be put in a box anyway.

3) Please give a brief summary of your classical and jazz education (university/conservatory training, personal experience and interests, etc.).

I do not have time to get into details, but basically I studied guitar with M.L. Sao Marcos and composition with Pierre Wissmer at the Geneva Conservatory; jazz with diverse jazz musicians in the US such as James Newton, Milcho Leviiev, Charlie Haden, Miroslav Tadic and others, with whom I worked, recorded and who I learned from a great deal. (You can look at my site for more info).

4) How did you come to blend classical and jazz influences into your compositions for the guitar (both in solo and ensemble settings)? Did you consciously attempt to blend the two genres?

The blending of diverse idioms came as a result of my interest in stretching the compositional process and form and not as a conscious decision.
5) Do you feel the classical guitar has specific qualities that lend itself to/develop a unique musical voice to blending classical and jazz?

Actually, I haven’t thought about this, but classical guitar is a very convenient Instrument for “crossover” adventure since its cousin-electric guitar is just around the corner with all the idiomatic, technical and other extensions. Perhaps the only other instrument that lends itself to this “crossover” to the same extent is human voice.

6) Have you ever encountered criticism from classical musicians over your interest/experience with jazz?

Not directly, but many classical musicians have a pretty narrow view of what is music and you don’t have to ask them directly to get the message that jazz is not exactly considered “serious”. This situation is much more apparent in Europe though and in the US idioms are much more fluidly mixed, perhaps also because jazz did originate in America and classical music did not.

7) Have you ever encountered criticism from jazz musicians over your interest/experience with classical?

Yes, often enough jazz musicians think of classical musicians as “uptight” and the term used for classical music is “legit” which points to the same. Both idioms are so developed and have such strong tradition and history that it is not surprising that the expert is of tantamount importance, though I have to admit that jazz musicians, in my experience, have been much more open to experiment with the classical (my work with James Newton or Charlie Haden in the 80s proves that) than the classical musicians, though this is changing gradually.

8) How did you incorporate improvisation and harmony (jazz and non-jazz) into your teaching at San Francisco Conservatory?

I have tried teaching Renaissance improvisation at the SF Conservatory- to be frank-without great success, but I have done a lot of good work in my private lessons that involved improvisation and/or composition and some of my students have gone on to do excellent work as composer/performers such as Gyan Riley, Santiago Gutierrez and Arina Burceva all of whom I worked with at SFCM.

9) Did students actively come to you to study a hybrid of classical and jazz on guitar? Do they still?

There were not only classical musicians who came to study with me but also jazz musicians who wanted to learn about classical forms and techniques such as Baroque and others. Also I’ve done fair amount of work on improvising counterpoint and one of my recent students, classical/jazz guitarist, Alieksey Vianna, I worked with on elaborating contrapuntal improvising in the context of his Phd dissertation.
Also, I have established a Master’s Composer/Performer degree at the HEM (Haute Ecole de musique) in Geneva, where I teach now, and I have had some excellent results, especially with my student/assistant Iranian guitarist/composer Golfam Khayam who just got signed up with the legendary ECM label in Germany.

10) **Do you feel classical musicians (particularly guitarists) could benefit from jazz education? How?**

Of course, I think that classical musicians could greatly benefit from jazz education. The specialization to perform only written music is narrow (in my opinion) and many idioms such as Renaissance, Baroque and contemporary styles greatly benefit from improvisation. Renaissance and Baroque music were very tightly connected with improvisation and great artists such as Dowland, Bach or even later classical composers/performers such as Mozart or Franz Liszt used extemporizing as an integral part of their practice. Looking at written-out music as living, breathing material would help enormously to keep the classical music alive, especially if you consider that that is how it was treated at the time of its origin.

11) **You have composed a number of works for solo guitar referencing jazz, notably your *Jazz Sonata*, *Book of the Unknown Standards*, and *Big Band Suite*. In what way do you feel they represent a jazz sensibility?**

The pieces you mention are all pretty much infused with the jazz idiom, though *Book of the Unknown Standards* is more of a musical satire and while I did not imitate any specific jazz greats in my other works, in this collection I did that on purpose. Most of my other jazz-influenced pieces are not so much referencing jazz as they are actual fusions of jazz with contemporary classical or ethnic (world) music.

Some of my compositions indeed leave a lot of space for improvisation, such as my *Byzantine Theme and Variations* for guitar and string quartet, *No Feathers on This Frog* or *Balkan Bargain* among many others. I wrote-out the solos in these pieces, but left harmonies (“changes”) for musicians that can or want to experiment. Though I did this, it is rare that I hear somebody improvise in these pieces.

12) **The first and fourth movements of your *Jazz Sonata* contain sections involving improvisation? What was your intention with these improvisatory sections?**

I think that this is pretty obvious what my intention was in writing *Jazz Sonata*. What is not so obvious is that the improvisation is supposed to be built on the motifs, harmonies and idiomatic constraints that the music is created upon. Essentially, I wanted to leave a composition that is built on strong classical formal blueprint but flexible enough to permit a permanent re-structuring and aliveness.
13) You have written extensively about improvisation, most notably in your books *Ex Ovo* and *Counterpoint for Guitar*. Do you feel the art of improvisation has been lost on contemporary guitarists? Do you feel this will have a lasting impact on contemporary musical culture?

Yes, I think that is really sad how the art of improvisation has disappeared in the present generation of classical musicians and I do think that this is making a strong impact on the way that classical masterpieces are treated as “larger-than-life” monuments of unsurpassable musical geniuses. Instead, I think that it would help enormously to be an actual living part of these works and not just some sort of musical “robot” involved in creation of a mechanical, commercial music industry.

14) Any final words regarding third stream/classical and jazz blending/thoughts arisen from the preceding questions?

I think that we, the present day musicians, are in a fascinating and unique position to benefit from both history and an open position of culture today to do worthwhile and meaningful work for both ourselves and others. Let’s help to make this a workable vision and an acceptable choice.

Dusan Bogdanovic, Geneva, September 2015
APPENDIX E

RECITAL PROGRAMS
ANDY JURIK, guitar

in

DOCTORAL CANDIDACY RECITAL

Thursday, March 7, 2013
4:30 PM • Recital Hall

Lachrimae Pavan
John Dowland
(1563-1626)

Grand Sonata No. 1
Wenzeslaus Matiegka
I. Maestoso
(1773-1830)
II. Andante molto
III. Rondo Capricioso

Sonatina Meridional
Manuel M. Ponce
I. Campo
(1882-1948)
II. Copla
III. Fiesta

Fantasy for Guitar
Malcolm Arnold
(1921-2006)

Odeon
Ernesto Nazareth
Eponina
(1863-1934)
Brejeiro
arr. Andy Jurik

Mr. Jurik is a student of Christopher Berg.
This recital is given in fulfillment of the requirements for admission to candidacy for the Doctor of Musical Arts degree in Performance.
ANDY JURIK, guitar

in

DOCTORAL RECITAL

Tuesday, February 18, 2014
4:30 PM • Recital Hall

Homage à Chopin
Prélude
Nocturne
Valse Romantique

Alexandre Tansman
(1897-1986)

La Filadora
El Mestre
El Testament de n’ Amélia
Plany
Cançó del Lladre

arr. Miguel Llobet
(1878-1938)

Trilogy
I
II
III

Frederic Hand
(b. 1947)

La Foule (E. Dizeo, A. Cabral)
Ne me Quitte Pas (Jacques Brel)
La Java Bleue (G. Koger, N. Renard)

arr. Roland Dyens
(b. 1955)

Introduction et Caprice

Giulio Regondi
(1822-1972)

Mr. Jurik is a student of Christopher Berg.
This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.
presents

ANDY JURIK, classical guitar

in

DOCTORAL RECITAL

Thursday, February 26, 2015 6:00 pm • Recital Hall

Fantasy on Themes from La Traviata Julian Arcas (1832–1882)

Three African Sketches Dusan Bogdanovic (b. 1955)

Fantasie Villageoise, Op. 52 Fernando Sor (1778–1839)

Sonata No. 2 Carlos Guastavino (1912–2000)

Allegretto intimo ed espressivo
Andante sostenuto
Presto

Children’s Songs (transcribed by A. Jurik ) Chick Corea (b. 1941)

1
2
3
4
6
18

The Red Fantasy Kevin Callahan (b. 1958)

Tempranillo
Syrah
Barbera
Malbec
Armarone
Barbera
Malbec
The finish

Mr. Jurik is a student of Christopher Berg.
This recital is given in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.
presents

ANDY JURIK, classical guitar

in

DOCTORAL CHAMBER RECITAL

Thursday, April 16, 2015
6:00 PM Recital Hall

Newton’s Cradle*
Kevin Cope
(b. 1981)

…’twas but a dream of thee*
George Fetner
(b. 1985)
Devin Sherman, guitar

Historie du Tango
Bordel 1900
Café 1930
Nightclub 1960
Astor Piazzolla
(1921-1992)
Diane Kessel, flute

Eleanor Rigby†
John Lennon
(1940-1980)
Paul McCartney
(b. 1942)

Um a Zero†
Pixinguinha
(1897-1973)

Big Brother†
Stephane Wremble
(b. 1950)

Etude Op. 16, No. 3†
Frédéric Chopin
(1810-1849)

Made in France†
Bireli Lagrene
(b. 1966)

Elizabeth Gergel, cello; Tim Hall, mandolin;
Jeff Vaughn, percussion; Lauren Watkins, flute

*commissioned by and dedicated to Duo Cortado (Andy Jurik and Devin Sherman)
†arranged by Andy Jurik

Mr. Jurik is a student of Christopher Berg.
This recital is given in partial fulfillment of the requirements
for the Doctor of Musical Arts degree in Performance.
presents

ANDY JURIK, guitar

in

GRADUATE RECITAL

Tuesday, March 15, 2016

6:00 PM • Recital Hall

Improvisation No. 15 (Hommage à Edith Piaf)  
Francis Poulenc  
(1899–1963)  
arr. Andy Jurik

Jazz Sonata  
Dušan Bogdanović  
(b. 1955)

Blackwattle Caprices  
Ross Edwards  
(b. 1943)

Ciaccona  
Bryan Johanson  
(b. 1951)

Suite for Guitar  
Ralph Towner  
(b. 1940)

Shenandoah  
Robert Beaser  
(b. 1954)

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