

WOODY SHAW: DEVELOPMENT OF STYLE IN THREE VERSIONS
OF "THE MOONTRANE"

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Woody Shaw is one of the most influential jazz trumpet players of the past fifty years. Despite his importance, very few models exist that contextualize Shaw's improvisatory approach inside modern jazz pedagogy. Writers such as Rex Richardson, Eric O'Donnell, and Gavin Franklin have identified key elements of Shaw's style, and have begun a critical examination of Shaw's music. While extensive, these approaches do not take into consideration the impact free jazz had on Shaw's technique, nor do they provide a model for how to duplicate Shaw's style. This project examines four elements of Shaw's style as seen in three improvised solos on "The Moontrane." These solos are taken from early, middle, and late stages of Shaw's career. By studying scale choice, sequences and the sequential treatment of motifs, pentatonic approaches to harmonic sequence, and atypical rhythmic phrasing, this study is able to show (1) how these elements developed over the totality of Shaw's career, (2) provide a better understanding of Shaw's improvisational style, and (3) provide a basis for implementing these procedures in modern music.

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CHAPTER I

INTRODUCTION

Woody Shaw is regarded by many as “the last great innovator of jazz trumpet.”¹ Today, Shaw is credited as an influence by a wide range of top trumpet players such as Wynton Marsalis, Chris Botti, Ingrid Jensen, and Brian Lynch. Shaw’s style combines conventional bebop and hard bop approaches with a range of techniques of the 1960s and 1970s.² Alan Goldsher connects Shaw’s style both with Lee Morgan and the free jazz³ approaches of John Coltrane and Eric Dolphy.⁴ Indeed, this is a connection cited by Shaw himself on several occasions.⁵ Shaw’s music is of particular interest when considering the intersection of hard bop and free jazz styles in the 1960s and 1970s. This music is collectively referred to as postbop.⁶

In recent years Rex Richardson, Eric O’Donnell, and Gavin Franklin, have written on this subject.⁷ Their analysis identifies this material as chromatic, intervallic, and

¹ Alan Goldsher, *Hard Bop Academy: The Sidemen of Art Blakey and the Jazz Messengers* (Milwaukee: Hal Leonard, 2002), 30-31.

² Barry Kernfeld. “Shaw, Woody.” *The New Grove Dictionary of Jazz*, 2nd ed.. *Grove Music Online.Oxford Music Online*. Oxford University Press, accessed December 28, 2015,

³ Barry Kernfeld. “Shaw, Woody.” *The New Grove Dictionary of Jazz*, 2nd ed.. *Grove Music Online.Oxford Music Online*. Oxford University Press, accessed December 28, 2015, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/J405600>.

⁴ Here the term “free jazz” refers to the collection of free improvisation techniques in vogue in the 1960s and 70s. Some writers use the terms “avant-garde” and “free jazz” interchangeably. For the sake of clarity this paper will use the terms “free” and “free jazz” exclusively to refer to this music.

⁵ Goldsher, *Hard Bop Academy*, 31.

⁶ Chuck Berg, “Woody Shaw: Trumpet in bloom,” *Downbeat* 74, no. 6 (1978): 48-48; Steve Lake, “Woody Shaw the Intimidator,” *Melody Maker* October (1976): 48; Linda Reitman, “Woody Shaw linked to a legacy,” *Downbeat* 64, no. 12 (1983): 50-51.

⁷ Keith Waters, *The Studio Recordings of the Miles Davis Quintet, 1965-68* (New York: Oxford University Press, 2011), 5.

⁸ Edward Rex Richardson. “Structural Elegance and Harmonic Disparity in Selected Solos by Jazz Trumpeters Freddie Hubbard and Woody Shaw” (DMA Diss., Louisiana State University, 2006); Eric O’Donnell, “An Analysis of the Major Aspects of Woody Shaw’s Improvisatory Approach” (M.Mus. thesis, William Paterson University, 2009); Gavin E. Franklin, “Woody Shaw’s Five Versions of ‘The Moontrane,’” *Jazzforschung*, (2005): 113-112.

bimodal, and provides some insight into the dissonant elements of Shaw's approach.

While all of these studies acknowledge the influence of free jazz on Shaw, they overwhelmingly view Shaw's music through the lens of conventional jazz harmony and performance practice, rather than as a combination of hard bop and free jazz techniques.

My research attempts to fill this gap by using the free jazz procedures described by Keith Waters as a tool to examine four key elements in Shaw's solos: (1) conventional and nonconventional scale choices, (2) sequence and the sequential treatment of motifs, (3) an intervallic and/or pentatonic approach to harmonic sequences, and (4) atypical rhythmic phrasing. Analyzing solos taken from early, middle, and late stages in Shaw's career will provide a better understanding of these elements, and will also track the ways in which these elements developed throughout the course of Shaw's career.

To this end, Woody Shaw's composition "The Moontrane" is an excellent resource. This is one of the few pieces that Shaw recorded throughout the entirety of his professional life. It provides the opportunity for direct comparison between solos. The solos I will analyze are drawn from the following records: (1) Larry Young's *Unity* (1966), (2) Woody Shaw's *The Moontrane* (1975), and (3) Freddie Hubbard and Woody Shaw's *The Eternal Triangle* (1987).

Woody Shaw's improvisations can be heard as a mixture of hard bop and free jazz styles. Keith Waters provides one of the most flexible tools for examining the combination of hard bop and free jazz elements. In his book *The Studio Recordings of the Miles Davis Quintet 1965-1968*, Waters details Miles Davis's pioneering contributions to postbop.⁸ This includes a range of techniques that depart from conventional practice, and can be heard in the techniques of "harmonic substitution, superimposition, metrical

⁸ Waters, *The Studio Recordings of the Miles Davis Quintet, 1965-68*, 79-80.

conflict and metric modulation,” as well as in the redefined roles for group interaction heard in this music.⁹ This is particularly significant when heard in works that preserve form and chorus structure because they offer the players the opportunity to either preserve or challenge pre-existing musical elements in important formal sections. Pianist Herbie Hancock referred to this approach as “controlled freedom.”¹⁰

Waters provides an important analytical tool when considering “controlled freedom” in jazz, specifically in the combination of free jazz and conventional approaches. Jazz scholars often describe free jazz negatively, through the abandonment of various conventional jazz elements.¹¹ Jazz historians use this approach to view a variety of musical elements in free jazz, but Keith Waters focuses on five elements: hypermeter, meter, pulse, harmonic progression, and harmonic rhythm. If all five elements are preserved, it produces a conventional hard bop approach. If all five elements are abandoned it produces a free jazz approach. Waters argues that a more nuanced conception of this process is possible where combinations of these five pre-existing musical elements can be preserved or abandoned. By preserving or abandoning various combinations of these pre-existing elements, it is possible for a group to perform music across a nuanced musical spectrum ranging from conventional to free.¹²

This analytical tool can be applied to a wide range of music that approaches free jazz in a similar way, including the music of Woody Shaw. Recordings taken from all stages of Shaw’s career contain conventional improvisational techniques punctuated by

⁹ Waters, *The Studio Recordings of the Miles Davis Quintet, 1965-68*, 5.

¹⁰ Quoted from the film *Miles Ahead*, Mark Obenhaus, dir., Obenhaus Films, 1986. Cited in Waters, *The Studio Recordings of the Miles Davis Quintet, 1965-68*, 6.

¹¹ David Borgo, “Free jazz,” *Grove Music Online, Oxford Music Online*, Oxford University Press, accessed February 22, 2016, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/A2256589>

¹² Waters, *The Studio Recordings of the Miles Davis Quintet, 1965-68*, 79-80.

passages that challenge harmonic progression, meter, and pulse. While there are commonalities between the free jazz episodes in the music of Woody Shaw and Miles Davis, there are some important differences in how free jazz elements are manifested in Shaw's solos.

The first difference is in the duration of free jazz episodes. Free jazz techniques heard in Davis's music are typically far reaching. Entire solos or entire tunes may abandon one or more musical element. This has important implications in regard to form and chorus structure. Many of Davis's recordings contain solos that abandon chorus structure such as "Orbits," "Pinocchio," and "Dolores." By contrast, Shaw's music almost uniformly preserves chorus structure. Free jazz episodes in Shaw's solos are typically short—rarely longer than four measures. The duration of these episodes has an important impact on how free and conventional approaches interact, specifically in regard to resolving dissonances.

The second distinction is perhaps the most defining contrast between Shaw's style and Davis's. It has to do with just how episodes in Shaw's solos "abandon" various pre-existing musical elements. To say that an episode "abandons" a musical element might imply that the passage is totally free and not governed by an underlying structure in regard to that specific element. While this may be the case in some instances, it is not the case in regard to most Woody Shaw solos. In Shaw's solos, episodes that challenge allegiance to various musical hierarchies do so through the superimposition of new musical structures on top of pre-existing ones. These superimpositions produce conflict between superimposed material and pre-existing material, creating short episodes of

harmonic or metric conflict at key points in a tune.¹³ This is most obvious in Shaw's approach to harmonic sequences, but can also be heard in instances of metric conflict and non-idiomatic double time passages.

Figure 1.1 shows three examples of these episodes taken from three separate versions of "The Moontrane." Each episode abandons the pre-existing harmonic progression in favor of new musical structures superimposed over the original progression.

Fig. 1.1 : Free Episodes on "The Moontrane."

The figure displays three musical staves, each representing a different version of the piece "The Moontrane".

- Top Staff:** Titled "The Moontrane" From *Unity* (1966) mm. 53-56. It shows a melodic line with several chords above it: Gm7, Fm7, Bbm7, Abm7, Dbm7, and Cbm7. Brackets below the staff indicate three distinct pentatonic scales: Ab Major Pentatonic, A Major Pentatonic, and Ab Major Pentatonic.
- Middle Staff:** Titled "The Moontrane" From *The Moontrane* (1975) mm. 53-56. It shows a melodic line with brackets below indicating four pentatonic scales: Ab Major Pentatonic, A Major Pentatonic, Ab Major Pentatonic, and A Major Pentatonic, followed by an E Major scale.
- Bottom Staff:** Titled "The Moontrane" From *The Eternal Triangle* (1987) mm. 21-24. It shows a melodic line with various annotations: "M2 Approach" and "P4th" (Perfect 4th) are labeled above the staff. A bracket below the staff indicates a "Perfect 4th Sequence Descending in Major Seconds."

This is one of the chief differences between Davis and Shaw's postbop style. It can be best heard when considering the role of the rhythm section—specifically the piano—in both groups. In Miles Davis's second quintet, a common practice for pianist Herbie Hancock was to play little or no harmony, particularly during sections where the group abandons pre-existing harmonic progression. This accompaniment tactic is not a feature in Shaw's music. Indeed, episodes of free jazz in Shaw's solos depend on the dissonance created by superimposed lines, and so must rely on a highly active accompaniment, particularly in regard to the piano and bass.

¹³ It is important to make a distinction between superimposition and simply "playing free." Superimposition implies adding additional musical structure to a passage. "Playing free" implies removing musical structure.

CHAPTER II ANALYTICAL STRATEGIES

Before we continue, it is important to provide some explanation of the various analytical concepts and techniques to be used in studying these solos. This discussion addresses important, yet ambiguous terms such as functional and nonfunctional harmony, scale choice, various forms of superimposition, as well as several of the rhythmic approaches heard in Shaw's solos.

Functional and Nonfunctional Harmony

I use the term functional harmony to refer to the conventional harmonic practices embodied by the ii7-V7-I progression. Functional harmony provides the harmonic foundation for most jazz composed prior to 1960. This harmonic approach assigns a specific harmonic function—tonic, dominant, or subdominant—to a chord. The function of a chord determines how that chord moves in relation to the key.¹⁴ Jazz trends in the late 1950s began to suppress or ignore harmonic function. Many compositions during this period featured harmonic sequences that moved in ways not necessarily governed by chord function.¹⁵ I refer to these sequences as “nonfunctional sequences.” As is the case in “The Moontrane,” nonfunctional sequences are often characterized by a single harmonic object—such as a minor seventh chord—transposed across a particular pattern

¹⁴Arnold Whittall, “Functional Harmony,” *The Oxford Companion to Music*, *Oxford Music Online*. Oxford University Press, accessed February 23, 2016, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e2730>.

¹⁵Keith Waters and Kent Williams, “Modeling Diatonic, Acoustic, Hexatonic, and Octatonic Harmonies and Progressions in Two and Three-dimensional Pitch Spaces; or Jazz Harmony after 1960,” *Music Theory Online*, Accessed on January 21, 2016, http://www.mtosmt.org/issues/mto.10.16.3/mto.10.16.3.waters_williams.html

or line. Motion between chords is governed by the melodic integrity of the line rather than by the function of a chord.

Figure 2.1 shows three nonfunctional sequences in “The Moontrane.” In each example, a single chord is transposed across a specific line or sequence. Notice the circle of fourths sequence. This passage is similar to a secondary dominant sequence. The root motion implies functional harmony, but the quality of each chord suppresses harmonic function.

Fig. 2.1 : Nonfunctional Sequences on “The Moontrane”

“The Moontrane” circle of fourths sequence. A section, mm. 5-6 (Pre 1973).

C^{6/9} Fmaj7 | Bb^{6/9} Ebmaj7 |

“The Moontrane” Nonfunctional Sequence 1. A section, mm. 5-6 (Post 1973).

Cm7 Dm7 | Ebm7 Fm7 |

“The Moontrane” Nonfunctional Sequence 2. Bridge, mm. 21-24 .

Gm7 Fm7 | Bbm7 Abm7 | C#m7 Bm7 | % |

Conventional and Nonconventional Scale Choices

In many ways 1960s jazz was a reflection of the chord/scale theoretical models that gained traction in the mid 1950s. This brand of jazz theory conceptualizes scales as the horizontal manifestations of a vertical chord. According to chord/scale theory, a

specific chord can generate a mode built on each of its chord tones. These scales/modes contain the root of the chord as well as important chord tones such as the third and seventh. This provides a soloist with several scale choices for any given chord. Mark Levine describes these options as a category of “basic first choices.”¹⁶ I refer to these choices as conventional scale choices.¹⁷

Nonconventional scale choice refers to scales that or not “basic first choices.” In the three solos analyzed here, the primary nonconventional scale choice is heard in the application of the major pentatonic scale, usually built on a chord tone other than the root. A common example of this can be heard in the application of the G major pentatonic scale to an A minor chord. These passages are usually quite consonant, containing few dissonant pitches in relation to the chord. At the same time, they do not always outline chords or chord progressions. This is because they do not follow conventional voice leading in relation to the chord. In fact, many of these passages can be heard as polytonal or bimodal because they essentially superimpose a new key over an existing chord. It is for this reason that I refer to these passages as bimodal superimpositions.

While this is a common element in many of Shaw’s solos, it is also common to the vocabulary of many improvisers in the mid-1960s and later. It is therefore more of an artifact of mid 1960s modernism than a unique element of Shaw’s style. Hal Crook

¹⁶ Mark Levine, *The Jazz Theory Book* (Petaluma, Calif.: Sher Music, 1995), 32.

¹⁷ I use the term scale choice because it is part of common practice jazz pedagogy, not because I am making an argument for how a specific improviser thought about scales.

describes in detail many of the ways that pentatonic scales can be used in relation to various chords.¹⁸

Sequence and the Sequential Treatment of Motifs

A survey of Shaw's compositions reveals that sequence and sequential motivic development play key roles in the compositional structure of many of his tunes such as "Katrina Ballerina," "Stepping Stones," "Beyond All Limits," as well as "The Moontrane." When we examine these sections in Shaw's solos, we often find that unlike the composed melodies, improvised material rarely contains melodic sequences or instances of motivic development. In fact these passages almost always contain episodes of free jazz; they abandon pre-existing harmonic progression in favor of new superimposed melodic structures. This is a distinction between the content of Woody Shaw's compositions and the content of Woody Shaw's improvised solos.

There are a few exceptions to this rule. Instances of motivic development occur in conjunction with sequences, but in very specific circumstances. One of the few examples of this technique is heard in passages that contain the circle of fourths sequence. This sequence is derived from the material Shaw played in the 1966 version of "The Moontrane."¹⁹ This specific phrase remained part of Shaw's approach to "The Moontrane" through the 1970s.

¹⁸ Hal Crook, *How to Improvise: An Approach to Practicing Improvisation* (Rottenburg, Germany: Advance Music, 1991), 156.

¹⁹ The 1966 version of "The Moontrane" contained a different harmony in mm. 5-6 of each A section. The 1966 harmonization is reflected in the circle of fourths sequence. By 1973 Shaw had changed the harmony over this section to reflect the chords contained in the published version.

Fig. 2.2 : Sequential Treatment of Motifs on the Circle of Fourths Sequence in “The Moontrane” (1966).

Superimposition

Superimposition is a polytonal technique where two chords are played simultaneously. In practice this occurs most often when the soloist and rhythm section outline two different tonalities or modalities at the same time. In Shaw’s solos, superimposition can be heard in episodes that abandon or ignore pre-existing harmonies, often through the application of pentatonic scales. In these episodes, pentatonic scales typically contain at least one note not found in a given chord and tend to de-emphasize lower structure chord tones such as the root and third. Hal Crook refers to these as non-harmonic pentatonic scales.²⁰ In many of Woody Shaw’s solos, episodes that abandon pre-existing harmonic progressions can be heard as the superimpositions of two non-harmonic pentatonic scales over a pre-existing harmonic sequence. These two non-harmonic pentatonic scales usually do not contain chord tones and are therefore a half

²⁰ Crook, *How To Improvise*, 156.

step or tritone apart. These episodes alternate between the two pentatonic scales and usually move in wide intervals of perfect fourths.²¹ This creates passages that move in and out of the harmonic progression before ultimately resolving at the end of each episode. This technique can be heard in all three versions of “The Moontrane” analyzed here.

The 1966 version of “The Moontrane” contains one of the clearest examples of this approach. In mm. 53-56, non-harmonic pentatonic scales are superimposed over Nonfunctional Sequence 2 based on the $\flat 7$ and $\sharp 7$ of the key the passage resolves into (Bb lydian). The $\flat 7$ and $\sharp 7$ are important approaches for this technique and are featured frequently in the 1966 and 1975 versions of “The Moontrane.”

Some instances of superimposition could be considered a species of side slipping. Side slipping is a technique where a soloist intentionally plays outside of a harmonic progression for brief episodes. At least in part, side slipping can describe many of the episodes that abandon pre-existing harmonic progression. I choose to analyze these passages through the lens of superimposition and non-harmonic pentatonic scales because unlike side slipping, this analytical approach describes not only how harmonic dissonance is created and resolved, but also provides a method for understanding the intervals of perfect fourths and fifths that are the hallmark of these episodes.

Scale Superimposition is similar to non-harmonic pentatonic scale superimposition. Scale superimposition superimposes a standard, non-pentatonic scale over a harmonic sequence. This technique abandons the pre-existing harmonic

²¹ Hal Crook explains a similar approach to non-harmonic pentatonic scales in his book *How To Improvise: An Approach to Practicing Jazz Improvisation*. Crook suggests applying one or more non-harmonic pentatonic scales to passages containing static harmony. In these solos, non-harmonic pentatonic scales are often used over fast moving harmonic sequences.

progression, but the seven note scales superimposed in these episodes do not provide the same level of chromaticism or intervallic variety as the application of non-harmonic pentatonic scales. A wide range of scales can be heard in these episodes. This makes it difficult to predict the scale or scale quality featured in these passages. The one common factor in examples of scale superimposition is that each superimposed scale contains at least one common tone with the first chord in each sequence. In the three solos analyzed here, this technique is heard primarily in the 1987 version of “The Moontrane.”

Atypical Rhythmic Phrasing

Rhythmic interest in Shaw’s solos is manifested in several ways. These are: broken phrases, metric conflict, and non-idiomatic double time passages. Shaw’s rhythmic construction often juxtaposes these atypical elements with more conventional bebop oriented rhythmic phrasing.

Broken phrases appear throughout Shaw’s career. Rather than the long eighth-note phrases commonly found in bebop and hard bop, broken phrases begin with a short burst of eighth notes, followed by a rest or a short sustained note, followed by a longer eighth-note passage. These passages differ from a typical bebop line in how they usually avoid ornamentation such as enclosure, deflection, bent notes, or turns. Broken phrases are often used in conjunction with superimposition and in passages that abandon pre-existing harmonic progression.

Metric conflict obscures bar lines and challenges meter and pulse. These passages feature triplets that at times imply short episodes of polyrhythms in relation to the pre-

existing meter and pulse. What constitutes an episode of metric conflict versus the conventional use of triplets or hemiola is somewhat ambiguous. For example there are numerous examples of triplets used to obscure bar lines in most conventional jazz solos. Additionally, some instances of metric conflict in Shaw's solos—particularly in the early portion of Shaw's career—are quite brief and understated. These passages can be difficult to separate from conventional approaches to rhythm such as hemiola and syncopation. Generally there are clues that help imply metric conflict. Accented notes that challenge established meter and pulse indicate metric conflict, whereas a passage containing triplets but accents that support established meter and pulse indicate conventional use of triplets or hemiola. In these instances the listener must be discriminating enough to distinguish between metric conflict and conventional rhythmic practices.

Non idiomatic-double time passages are a feature of many of Shaw's solos, particularly in the mid point of his career. I refer to these passages as non-idiomatic for several reasons. First, they do not support the established pulse. This is manifested in triplets and accents that fall in metrically odd places. The second reason I refer to these passages as non-idiomatic is that from a trumpet player's perspective they are cumbersome and do not fit inside idiomatic approaches to trumpet valve technique.

These are by no means the only rhythmic devices present in these solos, but for the purposes of this research, but they are some of the techniques that form Shaw's personal idiom.

CHAPTER III

WOODY SHAW AND FREE JAZZ

The term “free jazz” refers collectively to jazz labeled as “avant-garde,” “the new thing,” or “action music” in the 1960s and 1970s. While there are precursors to free jazz as early as the 1940s, it is generally agreed that Ornette Coleman’s *The Shape of Jazz to Come*, and *Change of the Century* are among the first free jazz records.²²

David Borgo describes free jazz as a series of individualized improvisational styles characterized by “the absence of tonality and predetermined chord sequences; the abandonment of the jazz chorus structure for loose designs with predefined clues and signposts; an avoidance of ‘cool’ instrumental timbres in favor of more voice-like sounds; and often the suspension of jazz pulse for a free rubato.”²³

Free jazz is a crucial component of Shaw’s style, but often Shaw’s hard-bop pedigree is put in the foreground in regard to his development. These influences include a host of bebop and hard bop musicians including Donald Byrd, Clifford Brown and Miles Davis, in addition to Shaw’s own professional experiences with Horace Silver, Max Roach, and Art Blakey.²⁴ Additionally, in terms of trumpet technique, Shaw is directly influenced by Lee Morgan.²⁵ Morgan’s influence can be heard in Shaw’s fiery tone and his fluency with the hard bop language.²⁶ A more in depth study of these influences and

²² David Borgo. “Free jazz.”

²³ J. Bradford Robinson, “Free jazz,” *Grove Music Online, Oxford Music Online*, Oxford University Press, accessed February 24, 2016, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/10185>.

²⁴ Kernfeld. “Shaw, Woody.” *The New Grove Dictionary of Jazz*, 2nd ed..

²⁵ Woody Shaw, “Liner Notes,” *My Song of Songs* (New York: Contemporary Records, 1972), 2.

²⁶ Examples of this can be found on Horace Silver’s *The Cape Verdean Blues* and *The Jody Grind*.

Shaw's background can be found in work by Eric O'Donnell and Barry Kernfeld.²⁷

Shaw's hard bop background tends to bend analysis towards conventional approaches rather than embracing the free aspects of his style.

One of Shaw's primary free jazz influences was Eric Dolphy.²⁸ Shaw worked with Dolphy in the early 1960s. This was documented on the 1963 album *Iron Man*. Dolphy's improvisational approach has been characterized by fluid motion between experimental and conventional jazz styles.²⁹ The juxtaposition of the conventional with the experimental is an element of Dolphy's approach that can be heard in Shaw's solos as well.

Shaw was also a student of the music of John Coltrane. In an interview with Steve Lake, Shaw described his approach to the trumpet as emulating the saxophone style of Coltrane.³⁰ Trumpeter Randy Brecker recalls a meeting with Shaw after a performance in 1965. According to Brecker, Shaw carried his trumpet, a small record player, and a collection of Coltrane's *Impulse* recordings with him at all times. Shaw referred to these recordings as his Bible.³¹

Both Coltrane and Dolphy are saxophonists closely associated with postbop and free jazz.³² Shaw's apprenticeship with Dolphy and study of Coltrane's music help to establish his free jazz background. Any analysis of Shaw's solos—particularly in regard

²⁷ O'Donnell, "An Analysis of the Major Aspects of Woody Shaw's Improvisatory Approach," 6; Barry Kernfeld, "Shaw, Woody," *The New Grove Dictionary of Jazz*, 2nd ed., *Grove Music Online*, Oxford Music Online. Oxford University Press, accessed March 10, 2016, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/J405600>.

²⁸ Woody Shaw, "Liner Notes," *My Song of Songs* (New York: Contemporary Records, 1972), 2.

²⁹ Barry Kernfeld, "Dolphy, Eric," *Grove Music Online*. Oxford Music Online, Oxford University Press, accessed February 22, 2016, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/07950>.

³⁰ Lake, "Woody Shaw the Intimidator," 48

³¹ Randy Brecker. "Liner Notes," in *The Complete Muse Sessions*. Mosaic Records MD7-255, 2013, compact disc box set.

³² Barry Kernfeld, et al. "Coltrane." *The New Grove Dictionary of Jazz*, 2nd ed., *Grove Music Online*. Oxford Music Online. Oxford University Press, accessed February 22, 2016, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/J541800pg1>.

to passages that challenge pre-existing harmonic progressions—is incomplete unless it takes into account the implications of free jazz.

CHAPTER IV

“THE MOONTRANE”

Woody Shaw composed “The Moontrane” as a tribute to John Coltrane when he was eighteen years old.³³ One important aspect of “The Moontrane” is that there are two distinct versions. The differences lie in mm. 5-6 of each A section. The original version featured in the 1966 recording *Unity* features a circle of fourths sequence in this section. The revised version features a nonfunctional sequence in this section. The differences between versions can be seen in figure 4.1. The revised version is the most common, and is representative of the published chord progressions, as well as contemporary performance practice. It is unclear as to when or why this reharmonization took place, but it is clear that this change was made by 1973, as it is present on the Bobby Hutcherson *Live at Montreux* album.

Fig. 4.1 : Original Harmonic Progression on “The Moontrane” (1966). Mm. 5-6.

The figure displays two musical staves side-by-side, comparing harmonic progressions for measures 5-6 of "The Moontrane".

- Top Staff (Published Chord Progression Post 1973):** Labeled "Nonfunctional Sequence 1". It features a treble clef and a key signature of one flat. The chords are Cm7, Dm7, Em7, Fm7, and Dmaj7(#11). The notation includes a triplet of eighth notes in the first measure and various accidentals.
- Bottom Staff (Original Chord Progression As Played by Larry Young Unity 1966):** Labeled "Circle of fourths sequence". It features a treble and bass clef and a key signature of one flat. The chords are C%6, Fmaj9, Bb%6, Ebmaj9, and Dmaj7(#11). The notation includes various accidentals and a final double bar line.

Interestingly, the circle of fourths sequence remained a part of Shaw’s approach to “The Moontrane” even after the reharmonization. In these incarnations, the circle of

³³ Woody Shaw III, “Liner Notes,” *The Complete Muse Sessions*. Mosaic Records MD7-255, 2013, compact disc box set.

fourths sequence is superimposed over Nonfunctional Sequence 1. This is representative of Shaw's approach to "The Moontrane," but is not part of his broader idiom.

"The Moontrane" is a hybrid of conventional and experimental jazz elements. Conventional elements in the composition include form, tonal areas, and functional harmonic progressions. Experimental elements include non-conventional scale choice, deceptive cadence, nonfunctional harmony, and the use of fourths.

The form of "The Moontrane" is a thirty two-measure AABA form. Like most jazz standards, the introduction is not part of the repeated solo form, and is only played on the first head statement (and sometimes as a coda at the end of the tune). The tonal relationships between formal sections are also conventional. A sections are in Bb lydian. The bridge modulates to Eb major. The I-IV relationship between A and B sections is at once familiar when considering conventional approaches to form and harmony.

Shaw uses functional harmonic progressions—ii7-V7 progressions—to move between sections of the form. In m. 8 Shaw uses a ii7-V7 or Cm7-F7 progression to move to the second A section. In m. 16 Shaw uses $\frac{ii7-V7}{IV}$ or Fm7-Bb7 to prepare the move to IV in the bridge. In m. 20 Shaw uses $\frac{ii\emptyset7-V7b9}{vi}$ or A \emptyset 7-D7b9 to prepare the sequence that leads to the last A section.

Modality plays a major role in "The Moontrane." The primary mode is Bb lydian. Unlike other modal compositions such as "So What," or "Milestones" that contain long durations of slow or static harmonic rhythm, "The Moontrane" cycles through several modal regions relatively quickly. M. 3 moves to A dorian and m. 7 moves to D lydian.

Each of these modal sections lasts for only two measures. The longest passage that could be considered modal is the Eb Ionian section in m. 17.³⁴

Fig. 4.2 Chord Changes to “The Moontrane”

The musical score for "The Moontrane" is presented in four systems, each with a treble clef and a key signature of two flats (Bb and Eb). The notation uses slash marks to represent chords and functional labels.

- System 1:**
 - Measure 1: Bbmaj7(#11)
 - Measure 2: Am7
- System 2:**
 - Measures 3-4: Circle of fourths sequence (C 6/9, Fmaj9, Bb6/9, Ebmaj9)
 - Measures 5-6: Cm7, Dm7, Ebm7, Fm7, Dmaj7(#11)
 - Measures 7-8: 1. Cm7, F7; 2. Fm7, Bb7
 - Functional labels: ii7, V7, ii7, V7, IV
 - Label: Nonfunctional Sequence 1
- System 3:**
 - Measures 9-10: Ebmaj7
 - Measures 11-12: Aø7, D7(b9)
 - Functional labels: iiØ7, V7b9, vi
- System 4:**
 - Measures 13-14: Gm7, Fm7, Bbm7, Abm7, Dbm7, Bm7
 - Label: Nonfunctional Sequence 2
- System 5:**
 - Measure 15: Bbmaj7(#11)
 - Measure 16: Am7
- System 6:**
 - Measures 17-18: Circle of fourths sequence (C 6/9, Fmaj9, Bb6/9, Ebmaj9)
 - Measures 19-20: Cm7, Dm7, Ebm7, Fm7, Dmaj7(#11)
 - Label: Nonfunctional Sequence 1

³⁴ This section could be considered a conventional harmonic approach. Shaw’s treatment of it is primarily conventional, however there are a few instances in the 1977 version of “The Moontrane” where Shaw treats it as a modal area.

These modal sections are connected by nonfunctional harmonic sequences. This is a reflection of typical postbop harmony where conventional harmonic objects are sequenced in a nonfunctional way.³⁵ There are four nonfunctional sequences throughout the form, once in the fifth measure of every A section, and once in the fifth measure of the bridge. Non-functional sequence is an element found in many of Shaw's compositions.

In this case, similar harmonic objects are transposed over a predetermined pattern. Nonfunctional Sequence 1 follows the contour of a minor scale. Nonfunctional Sequence 2 transposes minor chords in descending major second over minor third sequence—roughly outlining a half-whole diminished scale. In both cases these chords are not functionally related (not in the way that a ii7-V7-Imaj7 is functional), yet both serve a similar purpose: to move to a new modal region. These nonfunctional sequences are important events in “The Moontrane.” Nearly all of the episodes that draw on free jazz influences occur in conjunction with these sequences.

The interval of a perfect fourth plays an important role in the compositional structure of “the Moontrane.” This is accomplished in both harmonic and melodic construction. In regard to harmony, the perfect fourth relationship can be heard in the relationship between the A sections and the bridge. Nonfunctional Sequence 2 is also a device that employs perfect fourths in relation to Fm7 and Bbm7, and Abm7 and C#m7. This can be heard in mm. 21-24. The melody also contains important appearances of perfect fourths. The introduction melody is based on fourths. Fourth's are an integral part of the melody in m. 5, m. 8, and m. 20. The relationship of fourths in the harmonic and

³⁵ Keith Waters and Kent Williams, “Modeling Diatonic, Acoustic, Hexatonic, and Octatonic Harmonies and Progressions in Two and Three-dimensional Pitch Spaces; or Jazz Harmony after 1960.”

melodic construction help to unify the composed elements of the tune with the improvised elements of Shaw's solos.

Performance Practice on "The Moontrane"

Musical interpretation of "The Moontrane" evolved greatly over the course of Shaw's career. As I already mentioned, the harmonization of each A section changed dramatically between 1966 and 1973. While these changes are important, "The Moontrane" developed in more ways than simply harmonic approach.

"The Moontrane" was first recorded on Larry Young's *Unity* at a medium tempo. In relation to the other more active tracks on *Unity* such as "If," "Softly as In A Morning Sunrise," and "Beyond All Limits," "The Moontrane" functions as a means of bringing energy down midway through the record. This is particularly important on *Unity*, because there is no ballad.

By 1973, the interpretation of "The Moontrane" had shifted. Rather than the subtle, medium swing presented in *Unity*, the version included on the *Live at Montreux* performance is up-tempo and full of fire and energy. The up-tempo version presented here would prove to be the way that "The Moontrane" was performed for the rest of Shaw's career.

Live at Montreux contains important developments in form on "The Moontrane." The most noticeable development is the use of the introduction as a coda. This adaptation is significant because it allows the composition to end on tonic—Bbmaj+11—whereas on *Unity*, the composition ended on a mediant chord—Dmaj7+11. It was Shaw's custom to

use the introduction as a coda throughout the 1970s. This development is present on the version from *The Moontrane*, as well as the 1977 live recording from Switzerland released as *Louis Hayes/Woody Shaw Quintet, Lausanne 1977*. The introduction is even used as a tag on the 1976 Aebersold play-along recording, *Vol. 9 Woody Shaw*.³⁶ After 1973 the only two examples of the introduction material not being used as a coda are from recordings where Shaw was not the leader. The introduction material is not included in Slide Hampton's arrangement from the 1977 Dexter Gordon record *Sophisticated Giant*, or on the Freddie Hubbard/Woody Shaw record *The Eternal Triangle*.

Another development in form can be heard in the interlude after the solo sections. After Cecil Bernard's piano solo, Shaw and Hutcherson play a four-measure paraphrase of the melody in order to trade one chorus of fours with drummer Larry Hancock. This technique is reminiscent of Clifford Brown's interlude on "What Is This Thing Called Love" from *Live at Basin Street*, or the interlude on "Half Nelson" recorded on *Workin' With The Miles Davis Quintet*. This interlude was a part of Shaw's performance practice at least occasionally. It is present on the live record *Louis Hayes/Woody Shaw Quintet, Lausanne 1977*, but it is not present on any of his studio dates. This suggests a difference between Shaw's studio performance practice and live performance practice.

On the *Live at Montreaux* version of "The Moontrane," Shaw ornaments the melody significantly on both iterations of the head. This is in spite of Bobby Hutcherson playing the melody in unison with him. The first instance can be heard in m. 20 of the form at time 0:28. The next ornamentation comes in on the last head statement at time 10:00. This is the only recorded example of Shaw ornamenting the melody to "The

³⁶ Jamey Aebersold, *Vol. 9 Woody Shaw* (New Albany: 1976). This is particularly significant because this recording features Shaw's working rhythm section of Ronnie Matthews, Stafford James, and Louis Hayes.

Moontrane” in this fashion and can be considered unique to this specific performance.

The next recorded version of “The Moontrane” appears on the live album *Louis Hayes/Woody Shaw Quintet, Lausanne 1977*. This performance reveals the fastest version of “The Moontrane” Shaw ever recorded. Shaw and company take it at 272 beats per minute. This breakneck tempo causes problems for Shaw’s band, as all members but Shaw miss an entrance in m. 4 of the bridge at time 0:28. Despite the challenge this tempo presented, there is evidence that suggests that during the mid 1970s, this was a usual tempo for Shaw and company to take “The Moontrane.” For example, on the 1976 Aebersold play-along, Shaw’s band takes the Moontrane slightly slower, at 253 bpm, the second fastest Shaw’s band recorded “The Moontrane” after the version from *Lausanne* in 1977.

These recordings suggest that during the mid 1970s Shaw’s band approached “The Moontrane” as an up-tempo “burner.” Subsequent recordings including *The Eternal Triangle* suggest that this tempo was somewhat more relaxed as Shaw’s career progressed, but these versions were not as slow as the 1966 version from *Unity*.

The Slide Hampton arrangement of “The Moontrane” from *Sophisticated Giant* features a small big band of eleven members. This arrangement was written as a feature for Gordon, and while it is quite good, the arrangement does not reflect Shaw’s performance practice.

The final version of “The Moontrane” from *The Eternal Triangle* is quite close to how Shaw’s band performed the piece in the 1970s. The tempo is fast but not as fast as the Aebersold play-along or the *Lausanne* performance. An interesting feature here is the sextet arrangement that features Shaw, Hubbard, and saxophonist Kenny Garrett utilizing

the melody as counterpoint. With the exception of the Slide Hampton big band arrangement, this is the only instance of the head being played using contrapuntal rather than homophonic textures.

CHAPTER V

WOODY SHAW'S SOLO ON "THE MOONTRANE" FROM *UNITY* (1966)

Woody Shaw's solo on "The Moontrane" from *Unity* (1966) demonstrates Shaw's style at a foundational level.³⁷ This may not be apparent at first glance. Many elements commonly associated with Shaw's style are present in only a few brief phrases. For example, the use of pentatonic scales is limited almost entirely to m. 3 of each A section, and mm. 5-8 of the bridge. Metric conflict and non-idiomatic double time passages—while present—do not have as large a role as one might expect when considering Shaw's solos from the mid 1970s. Additionally, one of the defining aspects of the 1966 version of "The Moontrane"—motivic development on the circle of fourths sequence—features material not representative of Shaw's broader idiom. These stylistic choices seem to imply a disconnect between Shaw's early and later styles, however after careful examination of this solo it becomes apparent that the fundamental elements of Shaw's style are present, but at their most essential levels.

Conventional and Nonconventional Scale Choices

Conventional scale choices can be heard in mm. 1-2, m. 25, mm. 33-34, and mm. 32-33. They feature the Bb lydian scale in conjunction with a Bbmaj7+11. The phrases move either by stepwise motion, or in thirds outlining important chord tones. These passages juxtapose harmonic stability with rhythmic intricacy. This can be heard through

³⁷ A full transcription of this solo can be found in the appendix on page 57.

the syncopation in the case of mm. 1-2 or metric conflict, as is the case in m. 25 and mm. 33-34.

Nonconventional scale choices are embodied through bimodal superimposition. Episodes of bimodal superimposition appear in mm. 11-12 and mm. 27-28. One of the common approaches in these passages bases major pentatonic scales on the b7 of a minor chord. This can be heard in mm. 27-28. This passage superimposes the G major pentatonic scale over A minor. While consonant from a vertical perspective, this passage obscures the A minor sound because it does not preserve important harmonic material—namely the C ♮.

Pentatonic scales are often the scales of choice for bimodal superimposition, but these episodes are not limited to pentatonic scales. For example, on the Bb lydian chord in mm. 8-12, Shaw superimposes a C dominant bebop scale over Bb lydian. This can be heard again mm. 40-41.

Fig. 5.1 : Bimodal Superimposition in “The Moontrane” (1966)

"The Moontrane"
From *Unity* (1966)
mm. 8-12

Chords: Cm7, F7, Bbmaj7(#11), Am9

Bimodal Superimposition: C Dominant Bebop Scale

"The Moontrane"
From *Unity* (1966)
mm. 24-28

Chords: Cm7, F7, Bbmaj7(#11), Am9

Conventional Scale Choice: Bb Lydian

Metric Conflict

Bimodal Superimposition: G Major Pentatonic

"The Moontrane"
From *Unity* (1966)
mm. 40-44

Chords: Cm7, F7, Bbmaj7(#11), Am9

Bimodal Superimposition: C Dominant Bebop Scale

Conventional Scale Choice: D Dominant Bebop Scale

Sequence and the Sequential Treatment of Motifs

This solo demonstrates two techniques for dealing with harmonic sequence. The first abandons pre-existing harmonic progression and superimposes non-harmonic pentatonic scales over pre-existing harmonies. This strategy is used in mm. 20-24 and mm. 53-56. These passages focus on certain intervals; particularly perfect fourths.

Fig. 5.2 : Approaches to the Circle of Fourths Sequence in “The Moontrane” (1966)

The figure displays three musical staves from "The Moontrane" (1966), illustrating different approaches to the Circle of Fourths Sequence. Each staff is in G-flat major (three flats) and 4/4 time.

- Staff 1: "The Moontrane" From *Unity* mm. 5-8**
 This staff shows a sequence of chords: C⁶, F⁶, B^{b6}, E^{b6}, Dmaj7(#11), C^{m7}, and F⁷. A bracket under the first four chords is labeled "Sequential Development of the Circle of Fourths Sequence".
- Staff 2: "The Moontrane" From *Unity* mm. 29-32**
 This staff shows the same chord sequence as Staff 1. A bracket under the last three chords (Dmaj7(#11), C^{m7}, F⁷) is labeled "A Major Pentatonic" and "Enclosure".
- Staff 3: "The Moontrane" From *Unity* mm. 45-47**
 This staff shows a minimal sequence of chords: C⁶, F⁶, B^{b6}, E^{b6}, and Dmaj7(#11). A bracket under the first four chords is labeled "Sequential Development of the Circle of Fourths Sequence".

The other approach to sequence features a rare instance of motivic development. This occurs in mm. 5-8, mm. 29-32, and mm. 45-47. These passages are among the most striking in this solo because they are not part of Shaw's typical vocabulary. These passages outline the circle of fourths sequence in perhaps the clearest way possible. Each phrase ornaments a triadic approach to this sequence. There is only one complete statement of the circle of fourths sequence. That occurs in mm. 29-32. The passage in mm. 5-8 anticipates the circle of fourths sequence by shifting to an Eb triad in m. 6. The passage in mm. 45-47 outlines the circle of fourths sequence in the most minimal way

possible, presenting a kind of negative space approach to the sequence. Had it not been for the two previous utterances of this technique, this passage might not be heard as motivic development at all. Figure 5.2 shows all three instances where Shaw outlined the circle of fourths sequence.

Intervallic/Pentatonic Approach to Harmonic Sequence

This solo avoids functional harmonic progressions. Shaw either rests in functional sections—specifically the ii-V7 progressions linking the A sections—or ignores them entirely through harmonic generalization—such as in m. 8, m. 16, m. and in m. 40. This makes drawing any conclusions about Shaw’s approach to functional harmony on this solo impossible.

Fig 5.3 : Non-harmonic Pentatonic Scales in “The Moontrane” (1966)

The figure displays two musical staves from "The Moontrane" (1966). The top staff, labeled "The Moontrane" From *Unity* mm. 21-24, shows a sequence of chords: Gm7, Fm7, Bbm7, Abm7, Dbm7, and Bm7. Above the staff, a bracket indicates "Non-Harmonic Pentatonic Scales: b7 (Ab) and #7 (A)" and "Abandon: Harmonic Progression". Below the staff, brackets identify "Ab Pent" (under Bbm7), "A Pent" (under Abm7), and "Ab Pent" (under Dbm7 and Bm7). The bottom staff, labeled "The Moontrane" From *Unity* mm. 53-56, shows a sequence of chords: Gm7, Fm7, Bbm7, Abm7, Dbm7, and Bm7. Above the staff, a bracket indicates "Non-Harmonic Pentatonic Scales: b7 (Ab) and #7 (A)" and "Abandon: Harmonic Progression". Below the staff, brackets identify "Ab Pent" (under Bbm7), "A Pent" (under Abm7), and "Ab Pent" (under Dbm7 and Bm7). A note at the bottom left states "*temporary resolution."

This solo contains two episodes that abandon pre-existing harmonic progression. These can be heard in mm. 21-24 and again in mm. 53-56, at the end of the bridge in both choruses. These sections superimpose non-harmonic pentatonic scales over Nonfunctional Sequence 2. Perhaps more than any other material contained in this solo,

this material forms the basis for Shaw's chromatic and intervallic episodes in later solos. Both of these passages feature non-harmonic Ab and A major pentatonic scales to move through the original sequence. These passages can be heard as inspired by free jazz in that they abandon pre-existing harmonic progression. Both passages contain instances of striking chromatic color. Just as important as chromaticism is the intervallic nature of these two episodes. Both episodes make full use of the interval of a perfect fourth.

Atypical Rhythmic Phrasing

Rhythmic construction is one of the main ways this solo straddles hard bop and more experimental approaches. The primary rhythmic devices present are broken phrases, non-idiomatic double time passages, and metric conflict. In addition to these elements, bebop oriented rhythm also plays an important role. This can be heard in mm. 9-12 and mm. 40-41. The presence of bebop-oriented rhythms contrasts the experimental rhythms in other passages.

Broken phrases occur primarily over nonfunctional sequences. This can be heard in the circle of fourths sequences as well as in the iterations of Nonfunctional Sequence 2. Broken phrases are particularly effective in passages such as Nonfunctional Sequence 2 because they do not disguise or ornament the vertical dissonance present in the line.

Metric conflict and non-idiomatic double time passages are both present in this solo, but are not nearly as developed as in his later solos—specifically the 1975 version. Metric conflict can be heard twice, once in m. 25 and again in mm. 32. Similarly, non-

idiomatic double-time passages play only a small role in this solo. These passages appear in m. 18 and in mm. 51.

The bebop inspired lines in this solo are particularly interesting. They occur in mm. 9-11 as well as in mm. 40-41. Both of these instances can be heard as superimposing the C dominant bebop scale over the Bbmaj7+11 chord in mm. 1-2. From a rhythmic perspective, these lines stand out because they are constructed using long eighth-note lines and are ornamented using turns. This contrasts the short, unornamented eighth note passages in episodes of broken phrasing. These passages are similar to those found in Shaw's solos as a sideman with Horace Silver, but are not typical of Shaw's approach to his own compositions.

Fig 5. 4 : Broken Phrases in “The Moontrane” (1966)

The image displays three staves of musical notation for the piece "The Moontrane" from the album *Unity* (1966). The first staff, measures 13-15, shows a melodic line with a turn and is labeled with chords C⁶, F⁶, B^b7, E^b6, and D^{major}(11). The second staff, measures 45-47, shows a similar melodic construction. The third staff, measures 61-64, includes a *cresc.* marking and continues the melodic development.

This version of “The Moontrane” presents one of the clearest examples of Shaw’s style. While not as virtuosic as later solos, the elements of melodic construction are presented in the most basic, straightforward way. In some ways this solo can be viewed as a thesis statement that outlines the way in which Shaw’s style will develop in later years.

CHAPTER VI
WOODY SHAW’S SOLO ON “THE MOONTRANE”
FROM *THE MOONTRANE* (1975)

Shaw’s solo on the 1975 version of “The Moontrane” is the most virtuosic of the three solos analyzed here.³⁸ This can be heard in the fast tempo, extended upper register passages, and the increased application of metric conflict and non-idiomatic double time figures. Shaw’s timbre is also one of the ways virtuosity is communicated. Shaw’s sound here is resonant, uncompromising, and powerful. This is not to say that earlier or later examples of Shaw’s sound are none of these things, but in this solo his fiery sound is put in the foreground.

Conventional and Nonconventional Scale Choices

This solo continues the approach to scale choice heard in the 1966 version of “The Moontrane.” Both conventional and nonconventional scale choices play an important role, but in this solo, conventional scale choices are used much more frequently. This is in part a feature of passages that extend into the upper register of the trumpet. In this solo, upper register passages are much more melodic when compared with material in lower registers. These phrases tend to reinforce chords more regularly than in other passages. The two most intense upper register passages, mm. 25-27, and mm. 33-35, both contain conventional scale choices.

³⁸ A full transcription of this solo can be found in the appendix on page 59.

One of the biggest developments in the 1975 version of “The Moontrane” is the increased application of pentatonic scales and pentatonic scale fragments. This has important implications for bimodal superimposition, as well as free jazz oriented episodes that superimpose non-harmonic pentatonic scales over pre-existing harmonic sequences. In general, a wider range of scales can be heard in these sections. Additionally, passages that contain these scales often do not utilize an entire scale, rather only a scale fragment. These passages preserve wide intervals of perfect fourths and fifths as well as the chromatic nature of many of these phrases. They can be heard as a move towards a system of improvisation that focuses more on intervallic expression—specifically the interval of a perfect fourth—rather than on only on vertical harmonic organization. Pentatonic scale fragments make analysis of these passages challenging because without an entire pentatonic scale statement it can be unclear which pentatonic scales are being utilized.³⁹

The broader application of pentatonic scales can be heard in the wider range of approaches for superimpositions over a single chord. The 1966 version of “The Moontrane,” featured the same approach for all bimodal superimposition using pentatonic scales—b7 for minor chords, ♮ 2 for major chords. Here, that is no longer the case. Throughout this solo, multiple pentatonic scales are used over a given chord. In figure 6.1, mm. 16-18 can be heard as a superimposition of a B♭ major pentatonic scale over an E♭maj7.⁴⁰ This passage derives superimposed material from scale degree five of the Eb major chord. This technique is not reproduced in later iterations of the same chord. Mm. 80-82 can be heard as an F major pentatonic scale superimposed over an Ebmaj7,

³⁹ In these passages I will present several options for hearing various pentatonic scales.

⁴⁰ Shaw never used scale degree 5 as an approach for bimodal superimposition on the 1966 version of “The Moontrane.”

deriving the superimposed material from scale degree two. These passages are very similar in many respects. Both the B \flat major and F major pentatonic scales share common tones in the CDFG set. Despite their common tones, these scales are not equivalents when considered in relationship to E \flat maj7. As an approach for modal superimposition, the F major pentatonic scale is a more dissonant choice because it implies an E \flat lydian modality rather than an E \flat ionian modality. These passages illustrate a broader approach to the application of pentatonic scales.

Fig 6.1 : Expanded Approaches for Bimodal Superimposition on “The Moontrane” (1975)

The figure displays two musical staves for the piece "The Moontrane". The top staff, labeled "From The Moontrane mm. 16-18", shows a melodic line with chords Fm7, B \flat 7, and E \flat maj7. A bracket labeled "Metric Conflict" spans the first two measures. Below the staff, a bracket labeled "B \flat Major Pentatonic" covers the first two measures, with a "5" under the first measure and a "3" under the second. The bottom staff, labeled "From The Moontrane mm. 80-83", shows a different melodic line. A bracket labeled "Metric Conflict" spans the first two measures. Below this staff, a bracket labeled "F Major Pentatonic" covers the first two measures, with an "x" under the first measure and an "x" under the second.

Sequence and the Sequential Treatment of Motifs

Like the 1966 version of “The Moontrane,” this solo features two distinct approaches for dealing with sequences. This can be heard through the abandon the pre-existing harmonic progression by superimposing non-harmonic pentatonic scales over Nonfunctional Sequence 1 and 2, and the superimposition of the circle of fourths sequence over Nonfunctional Sequence 1.

The circle of fourths sequence can be heard in mm. 61-62 and mm. 93-94 (See figure 6.4). These passages outline the first three notes of the major scale transposed across the circle of fourths sequence. Unlike instances of the circle of fourths sequence in the 1966 version of “The Moontrane,” this procedure is a harmonic superimposition and operates in conjunction with Nonfunctional Sequence 1. Both instances of this sequence outline the circle of fourths sequence by developing a simple three-note motif.

This technique is referencing Shaw’s original progression and approach from the 1966 version of “The Moontrane.” It is present not only on this version of “The Moontrane,” but also on others from the 1970s. This technique is only representative of Shaw’s approach to “The Moontrane” only and is not a part of his broader idiom.

Intervallic/Pentatonic Approach to Harmonic Sequence

In the 1966 version of “The Moontrane,” passages containing non-harmonic pentatonic scales were limited to Nonfunctional Sequence 2—or the last four measures of each bridge. The 1966 version of “The Moontrane,” featured the non-harmonic pentatonic scales A \flat and A as a device to move in and out of Nonfunctional Sequence 2.

If we consider Nonfunctional Sequence 2 as a vehicle that moves to B \flat lydian, we can also assume that the A \flat and A non-harmonic pentatonic scales are also a vehicle to move to B \flat lydian. The 1975 version of “The Moontrane” features the A \flat and A non-harmonic pentatonic scales, not just over Nonfunctional Sequence 2, but on Nonfunctional Sequence 1 as well. The clearest example of this can be heard in mm. 5-7.

The material that moves to B \flat lydian has an impact on how the D lydian chord in each A section is perceived. In the 1966 version of “The Moontrane,” the D lydian chord in m. 7 of each A section signaled a brief modulation. Here, material that implies B \flat lydian indicates that the D lydian section has been reformulated as a deceptive cadence.⁴¹

Imagining Nonfunctional Sequence 1 as a vehicle that moves to B \flat lydian rather than D lydian is important when considering the application of non-harmonic pentatonic scales: they are often based on the $\flat 7$ and $\natural 7$ of the key of resolution. This is the primary approach to non-harmonic pentatonic scales from the 1966 version of “The Moontrane.” The 1975 version contains this approach in mm. 5-7, but it also introduces several new superimposition approaches. For example, mm. 53-55 introduce a new pair of non-harmonic pentatonic scales, this time based on $\flat 7$ and $\natural 3$ of the key of resolution. This pair contains most of the same notes as the $\flat 7$ and $\natural 7$ pair. The $\natural 3$ is the note that distinguishes the $\flat 7$ and $\natural 7$ scales from the $\flat 7$ and $\natural 3$ scales. Another example can be heard in mm. 13-14. This passage uses the E \flat and E major pentatonic scales, based on 4 and $\sharp 11$ of B \flat lydian. Collectively, these episodes display a freedom of approach not heard in the 1966 version of “The Moontrane.”

One of the challenging aspects of these episodes is that they often rely on pentatonic scale fragments. Without a full iteration of the pentatonic scale, it can be challenging to decipher which pentatonic scale is in use. For example in mm. 13-14, the two non-harmonic pentatonic scales used (E \flat and E) are based on 4 and $\sharp 11$ of B \flat lydian. As figure 6.3 shows, this can also be heard as $\flat 7$ and $\natural 7$ (A \flat and A). Other

⁴¹ I use the term cadence here loosely, as there are no dominant V7 chords present in this section.

conceptions of this passage could be heard as 1 and #11 (Bb and E), or b7 and #11 (Ab and E).

Fig. 6.2 : Superimposition on Nonfunctional Sequences in “The Moontrane” (1975)

The figure displays three musical staves from "The Moontrane" (1975), each illustrating a different non-functional harmonic progression and its associated pentatonic scale fragments.

- Staff 1 (mm. 5-7):** Titled "Non-Harmonic Pentatonic Scales: b7 (Ab) and #7 (A) Nonfunctional Sequence 1". The progression is labeled "Abandon: Harmonic Progression". The notes are Cm¹¹, Dm¹¹, Ebm¹¹, Fm¹¹, Dmaj13(#11), Cm⁷, and F⁷. The pentatonic scales are identified as Ab Pent, A Pent, and *Ab Pent. A "Metric Conflict" is noted between the first and second measures.
- Staff 2 (mm. 13-14):** Titled "Non-Harmonic Pentatonic Scales: 4 (Eb) and #11 (E) Nonfunctional Sequence 1". The progression is labeled "Abandon: Harmonic Progression". The notes are Cm¹¹, Dm¹¹, Ebm¹¹, Fm¹¹, Dmaj13(#11), Fm⁷, and Bb⁷. The pentatonic scales are identified as Eb Pent, E Pent, and Eb Pent.
- Staff 3 (mm. 85-87):** Titled "Non-Harmonic Pentatonic Scale Fragments: b7 (Ab) and #7 (A) Nonfunctional Sequence 2". The progression is labeled "Abandon: Harmonic Progression". The notes are Gm¹¹, Fm¹¹, Bbm¹¹, Abm¹¹, Dbm¹¹, Bm¹¹, and a triplet of notes. The pentatonic scales are identified as C Pent, A Pent, Ab Pent, A Pent, and Ab Pent.

The move to ever-shorter pentatonic fragments is exemplified in mm. 85 and 86 (See figure 6.2). This passage features the most fragmented example of non-harmonic pentatonic pairs. Since each scale exists only as a fragment of two or three notes, it is possible to conceive of this episode any number of ways. I choose to hear it as an expression of the b7 and #7 (Ab and A). The ambiguity of this passage underlines the importance of intervallic development—specifically the interval of a perfect fourth. This passage and others like it focus listener’s attention away from the vertical harmonic structures in place and towards the intervals contained in the passage.

Fig. 6.3 : Non-harmonic Pentatonic Scales in mm. 13-14 on “The Moontrane” (1975)

Non-Harmonic Pentatonic Scales: 4 (Eb) and #11 (E)
Abandon: Harmonic Progression

Alternate Conception of Non-Harmonic Pentatonic Scales

Atypical Rhythmic Phrasing

Rhythmic phrasing in this solo is a continuation of the techniques used in the 1966 version of “The Moontrane.” This solo relies heavily on broken phrases, metric conflict and non-idiomatic double time figures.⁴²

In this solo, broken phrases break up eighth-note lines, particularly over nonfunctional sequences. Indeed, very few of Shaw’s phrases feature more than eight eighth notes in a row. One common device used in constructing broken phrases here is through development of a three-note motif based on two eighth notes and a quarter note. It is perhaps most obvious in sections where Shaw outlines the circle of fourths sequence in mm. 61-64, and mm. 93-97. This pattern is also used throughout the solo. At a more basic level, the duration of this rhythmic motif is short, short, long. This motif breaks up

⁴² Bebop rhythms are not a main element in this solo. This is not to suggest that there are no eighth-note passages, but unlike the 1966 version of “The Moontrane” which featured rhythms and phrases clearly associated with bebop, the 1975 version tends to suppress bebop oriented rhythmic content.

a phrase into a series of small rhythmic units. This can be heard particularly over Nonfunctional Sequence 1 and 2.

Fig. 6.4 : Broken Phrasing on “The Moontrane” (1975)



This version of “The Moontrane” features a more aggressive application of metric conflict. These phrases are longer and much more prominently placed than in the previous solo. The clearest example of this is in mm. 6-7 (See figure 6.2). Here Shaw superimposes a quintuplet and a triplet—in essence creating an octuplet that crosses the bar line. Other examples of phrases containing metric conflict occur in mm. 16-17, and mm. 80-81. Unlike the 1966 version, these passages combine metric conflict with instances of modal superimposition.

This solo contains much more aggressive examples of non-idiomatic double time passages. These passages can be found in mm. 37-38, and mm. 69-73. Perhaps the most striking aspect of these passages how little allegiance they have to the pre-existing harmonic sequence. Unlike other episodes that abandon pre-existing harmonic progression, these episodes appear to be less structured. These passages contain a range of nonconventional approaches. For example, bimodal superimposition is a common addition to these phrases. In both mm. 37-38, and mm. 69-73 the passage begins by outlining D lydian. After this familiar approach, the rest of the passage is more

challenging to analyze. In the case of mm. 69-73, this passage features an E major pentatonic scale over the Dmaj13+11 and then cycles through several unrelated keys before ultimately resolving to Bbmaj7+11. The scales used in these passages are varied and difficult to predict. The common element in these passages is that they challenge harmonic progression.

Fig. 6.5 : Non-idiomatic Double Time Passages on “The Moontrane” (1975)

The figure displays two musical staves from the 1975 recording of "The Moontrane".

The top staff, labeled "The Moontrane" From *The Moontrane* mm. 37-40, shows a melodic line with the following chord sequence: Cm¹¹, Dm¹¹, Ebm¹¹, Fm¹¹, Dmaj¹³(#11), Cm⁷, and F⁷. A bracket labeled "E Major Pentatonic Side Slip" spans the Ebm¹¹ and Fm¹¹ chords. A bracket labeled "Non-idiomatic Double Time Passage" spans the Cm¹¹ through Dmaj¹³(#11) section.

The bottom staff, labeled "The Moontrane" From *The Moontrane* mm. 69-73, shows a melodic line with the following chord sequence: Cm¹¹, Dm¹¹, Ebm¹¹, Fm¹¹, Dmaj¹³(#11), Cm⁷, F⁷, and Bbmaj⁷(#11). A bracket labeled "E Major Pentatonic" spans the Ebm¹¹ and Fm¹¹ chords. A bracket labeled "Non-idiomatic Double Time Passage" spans the Cm⁷ through Bbmaj⁷(#11) section. Triplet markings (3) are present under the Ebm¹¹, Fm¹¹, and Bbmaj⁷(#11) chords.

The 1975 version of “The Moontrane” preserves the fundamental elements of Shaw’s style heard in the 1966 solo. Rather than present the same application of these techniques, this solo features an expanded approach for many of these elements. This can be heard in the multiple applications of pentatonic scales not just in phrases containing bimodal superimposition but also in the application of non-harmonic pentatonic scales superimposed over harmonic sequences. This can also be heard in the development of more intricate and aggressive instances of metric conflict and non-idiomatic double time material. These developments are manifested in the virtuosic nature of this solo.

CHAPTER VII

WOODY SHAW’S SOLO ON “THE MOONTRANE”

FROM *THE ETERNAL TRIANGLE* (1987)

The 1987 version of “The Moontrane” from *The Eternal Triangle* illustrates Shaw’s approach to this composition in the final years of his career.⁴³ This solo demonstrates a more conservative sensibility, particularly when compared with Shaw’s solos from the 1970s. In fact, when considering elements of rhythmic phrasing, and harmonic dissonance, this solo could initially be heard as a reaffirmation of hard bop and conventional improvisation techniques.

This version of “The Moontrane” contains a number of stark contrasts from previous solos on this tune, but this apparent conservatism can mask new developments in melodic approach. Most notably, there are fewer instances of overt dissonance. This can be heard in most of the episodes that abandon harmonic progression. In these passages, superimposed material does not necessarily outline the existing harmonic sequences, but typically contains fewer non-harmonic pitches. Additionally, Shaw demonstrates a much widespread use of scale superimposition—a technique not heard in the previous solos—superimposing a variety of scales over nonfunctional sequences. Like other instances of superimposition in this solo, scale superimpositions are more consonant than superimpositions from the 1970s.

⁴³A full transcription of this solo can be found on pg. 62.

Conventional and Nonconventional Scale Choices

Like previous solos, this solo relies on conventional scale choices as well as bimodal superimposition. Unlike previous solos however, conventional scale choices are heard far more often than episodes of bimodal superimposition. For example, the opening phrase in mm. 1-4 superimposes a C major pentatonic fragment over Bb lydian and D major pentatonic scale over A minor. In m. 91, the D major scale is superimposed over the A minor chord. With the exception of these few instances, this solo is much more likely to feature conventional scale choices over these sections. This can be heard in the application of Bb lydian and A dorian in these sections in mm. 9-11, mm. 25-27, mm. 33-35, mm. 41-44, mm. 57-59,⁴⁴ mm. 65-68, and mm. 89-90.

This is not to say that there is no chromaticism in these passages, but most chromaticism is related in some way to the chord progression. One of the ways this is accomplished is by anticipating chord changes. Nearly every instance of the A minor chord in m. 3 of each A section, anticipates the chord change with a B ♮. This creates a sense of vertical harmonic tension, but also moves very cleanly to the A minor chord in the next measure. Examples of this can be found in m. 2, m. 26, m. 34, m. 58,⁴⁵ m. 75,⁴⁶ and in m. 90.

⁴⁴ The passage in m. 57 can also be heard as a superimposition of the C dominant bebop scale even though there is no B ♮ present. The Ab is a common added passing tone in C dominant bebop scale passages.

⁴⁵ In m. 58 the A minor chord is anticipated with an F# on beat 4.

⁴⁶ In m. 75 Shaw superimposes Bb altered dominant over Bb lydian.

Sequence and the Sequential Treatment of Motifs

The main approach to sequence in the 1987 version of “The Moontrane” can still be heard through the abandonment of pre-existing harmonic progressions by superimposing various melodic structures over pre-existing harmony. The more consonant nature of these passages can make this challenging to hear. For example, the scale superimposition in mm. 13-14 could be heard as being derived from Nonfunctional Sequence 1. Eb and G outline Cm, F and D outline Dm7, and C F and Eb outline both the Ebm7 and Fm7. Yet a vertical consideration does not adequately describe all of these passages.

One way we can hear a return to a more conventional improvisatory approach is in the increased importance placed on functional harmonic progressions, specifically the ones in m. 20, m. 52, and m. 88. All three instances of this very brief iiØ7-V7b9 statement, preserve the harmonic progression. This at first does not seem significant, but consider that each time this material is preserved, it prepares one of the longest episodes of superimposed harmony in the solo. These passages work on a very subtle level. By preserving harmonic progression just prior to a long statement that abandons pre-existing harmonic progression, these episodes juxtapose a conventional harmonic approach with a superimposed approach based on the interval of a perfect fourth.

There is one area of the solo that can be heard as brief episodes of sequential motivic development. This occurs over Nonfunctional Sequence 2 in mm. 21-24, 53-56, 85-88 in the last four measures of each bridge. Not only do these passages use the same

technique to outline a descending fourth sequence, but they also ornament what is essentially the same figure. This material, while brief, is the only example of sequential motivic development in this version of “The Moontrane.”

Fig 7.1 : Sequential Motivic Development on “The Moontrane” (1987)

The figure displays three musical staves, each representing a different section of the piece "The Moontrane" (1987). Each staff includes a melodic line with harmonic progressions (Gm7, Fm7, Bbm7, Abm7, Dbm7, Bm7) and intervallic/pentatonic analysis. The first staff (mm. 21-24) shows Db Major and D Major Pentatonic scales. The second staff (mm. 53-56) shows Db Major Pentatonic, A Major Pentatonic Scale, and a Bebop Gesture. The third staff (mm. 85-88) shows Db Major and D Major Pentatonic scales.

Intervallic/Pentatonic Approach to Harmonic Sequence

Previous solos on “The Moontrane” relied on non-harmonic pentatonic scales to create chromatic episodes in key places in the tune. Specifically these were in m. 5 of each A section on Nonfunctional Sequence 1 and in mm. 21-24, on the bridge during Nonfunctional Sequence 2. Both instances of pentatonic scales develop wide intervallic gestures based around perfect fourths and fifths.

In the 1987 version of “The Moontrane,” non-harmonic pentatonic scales play a less prominent role. This is best observed in Nonfunctional Sequence 1. Rather than pentatonic scales, these passages feature single seven-note scales superimposed over the entire sequence.⁴⁷ Non-harmonic pentatonic scales are heard primarily in the last four measures of the bridge, and these passages produce much more consonant vertical harmonies, than examples drawn from previous solos.

It is easy to see the prevalence of scale superimposition when examining instances of Nonfunctional Sequence 1 (mm. 5-6 of each A section). This technique can be heard in mm. 5-6, mm. 13-14, mm. 29-30, and m. 37. All of these examples contain scale superimposition, however they do not feature the same superimposed scale twice. In fact it is impossible to predict which scale will appear in these sections, but each scale does share some things in common. Each scale contains some material common to Dm7 (the first chord played in Nonfunctional Sequence 1), specifically F natural. The degree to which a scale is consonant with Dm7 will determine how dissonant it is with Ebm7 and vice versa.

A variety of scales are used in these passages. They are the Bb melodic minor scale, the Eb major scale, Eb dorian, and C melodic minor. This can be heard in mm. 5-6, mm. 13-14, mm. 29-30 and mm. 93-95. In every instance, these scale superimpositions function in much the same way as superimposed non-harmonic pentatonic scales: they are brief episodes that move in and out of the original harmony alternate between consonance and dissonance before arriving at a predetermined point of resolution. Like other instances of superimposition, these passages tend to accentuate the interval of a

⁴⁷ These are in fact scale fragments. There are no examples that contain a complete seven-note scale, however it is clear that these fragments are derived from seven note scales.

perfect fourth, although not always as effectively as in passages containing pentatonic scales. While this technique does produce a similar result as superimposed non-harmonic pentatonic scales, they are not typically as dissonant when compared with examples from 1966 or 1975. This more sensitive approach to dissonance is a hallmark of this solo.

Fig 7.2 Scale Superimposition on Nonfunctional Sequence 1 on “The Moontrane” (1987)

Non-harmonic pentatonic scales function slightly differently here than on previous solos. Mm. 21-24 is the only episode to superimpose two complete pentatonic scales; the other passages rely on scale fragments. The scale choice is perhaps the most different element here, specifically the Db major pentatonic scale. This scale is relatively consonant with the chords it is superimposed over—Bbm7-Ab-7. This is particularly true in mm. 21-23. In fact, with the exception of m. 54, that superimposes a C \flat over an Abm7, all of these passages produce vertical consonance with Nonfunctional Sequence 2. Yet these passages do not sound like a departure from the techniques heard in previous solos. That is because all of three of these episodes outline a descending perfect fourth sequence. By highlighting the interval of a perfect fourth, these passages are able to create the same kind of melodic interest without the application of chromaticism (see figure 7.1).

Atypical Rhythmic Phrasing

Rhythmic phrasing here is a departure from many of the rhythmic techniques present in the 1975 version of “The Moontrane.” Specifically in regard to metric conflict or non-idiomatic double time passages.⁴⁸ These elements are relatively rare. Instead, this solo contains a significant amount of syncopation and broken phrasing, as well as a return to bebop oriented lines and gestures.

Syncopation is one of the main items of rhythmic interest heard throughout this solo. In fact, it is challenging to find a passage where syncopation or hemiola does not play an important role. In many cases this technique works hand in hand with harmonic anticipations of chords, such as in m. 2, m. 14, and m. 32.

Broken phrasing is still a part of the rhythmic construction here, but not to the same degree. As was the case in previous solos, broken phrases most often coincide with sequences, such as in mm. 21-24, mm. 53-55, mm. 61-63, mm. 76-79, mm. 85-88 and mm. 93-95. The significance of this technique is driven home when one compares this kind of rhythmic construction to the more bebop oriented phrasing of Freddie Hubbard on his solo at time 3:17. Despite the prevalence of broken phrases, they are not relied upon as heavily as in previous solos. This can be seen in the longer bebop oriented eighth-note passages such as in mm. 56-58 or mm. 72-75.

Bebop oriented phrases are relatively brief and often appear juxtaposed against phrasing more typical of Shaw’s solos. This can be heard in mm 56-59, and mm. 71-75.

⁴⁸ There is one double time passage in m. 40, however, unlike Shaw’s material in the 1975 version of “The Moontrane,” this passage lies quite well on the trumpet. Its overall function is more of an ornament than a double time passage.

Mm. 76 could also be considered a bebop-oriented passage, however this has more to do with the descending chromatic motif—the bebop lick—than rhythmic construction.

The 1987 version of “The Moontrane” contains many of the same elements as previous versions. Unlike the 1966 and especially the 1975 version, this solo reaffirms bebop and conventional sensibilities without abandoning the core elements of Shaw’s style. This can be heard in the more consonant approach to harmonic sequences and the reintroduction of bebop oriented rhythms and phrases.

CHAPTER VIII

CONCLUSION

In these three solos, we can hear the development of Shaw's style throughout the course of his career. Rather than indicate an unchanging improvisational style, these solos illustrate a gradual progression in expression held together by a consistent musical concept and a series of techniques that support this concept.

The consistent musical concept in these solos is the combination of conventional and nonconventional improvisatory approaches. The conventional approaches in these solos include (1) conventional scale choice, (2) the use of bebop oriented licks and gestures, and (3) a trumpet timbre reminiscent of hard bop trumpet players such as Lee Morgan.

Conventional scale choice is embodied in the use of commonly associated scales and modes applied to commonly associated chords. A frequent example in these solos is the placement of a Bb lydian scale over a Bbmaj7+11. This occurs frequently in the first four measures of each A section in all three solos. Passages that contain conventional scale choices typically move stepwise or in thirds outlining the chords they are associated with. Conventional scale choices occur in all three solos in a variety of situations, but often these scales are used in passages with some degree of rhythmic intricacy, or in passages that extend into the upper register of the trumpet. Additionally, conventional scale choice is much more common in the 1987 solo than in either the 1966 or 1975 version.

Bebop gestures can be found in all of these solos, however they are not typically a defining element. Bebop gestures are common in the 1966 version of “The Moontrane.” This solo contains two significant episodes that rely on the dominant bebop scale and bebop oriented rhythms. The 1975 version of “The Moontrane” contains the least amount of bebop-oriented material, but some of Shaw’s non-idiomatic double time passages rely on gestures derived from bebop. The 1987 version of “The Moontrane” contains more bebop oriented melodic material both in terms of bebop-oriented rhythms and in melodic construction.

Perhaps the most consistent conventional element in these solos is instrumental timbre. Shaw’s sound is resonant and fiery in all three examples. This is an important distinction when considering the influence of free jazz on Shaw. Many free jazz and postbop trumpet players—including Miles Davis—manipulated timbre as a means of musical expression.⁴⁹ These soloists used unconventional approaches to timbre in order to create a distinctive, personalized sound. Even though this paper has spent a great deal of time considering Shaw’s solos from the perspective of free jazz, it is worth mentioning that while many of his phrases were inspired by free techniques, his method of delivery—his sound—remained firmly rooted in hard bop and the legacy of trumpet players extending from Louis Armstrong through Lee Morgan to Shaw himself.⁵⁰

The nonconventional elements in these solos can be broken into two categories: (1) elements associated with mid 1960s modernism, and (2) techniques associated with free jazz. Some of the passages that call to mind mid 1960s modernism include phrases

⁴⁹ Robert Walser, “Out of Notes: Signification, Interpretation and the Problem of Miles Davis,” *The Musical Quarterly* 77, no. 2 (1993): 343-365.

⁵⁰ Reitman, “Woody Shaw: Linked to a Legacy,” 51.

that use pentatonic scales over episodes of slow harmonic rhythm, and phrases that accentuate the interval of a perfect fourth.

Non-conventional scale choices in these solos can be heard as an artifact of the mid-1960s. Passages that are representative of this feature pentatonic scales applied to chords with slow harmonic rhythm. This typically occurs in mm. 1-4 of “The Moontrane.” These passages are distinct from most bebop and hard bop approaches, but are not necessarily derived from free jazz. Additionally, while episodes that incorporate free jazz are representative of Shaw’s individualized style, the application of pentatonic scales like this is part of a broader musical language, and not necessarily unique to Shaw.

In passages that contain non-conventional scale choices, pentatonic scales are most often based on a note other than the root of a chord. Common examples of this include C major pentatonic used with Bbmaj7+11 or G major pentatonic used with Am7. These phrases can be quite consonant when considered vertically, but they do not reinforce the underlying harmony of the chord. Many passages containing these phrases can be heard as polytonal because they superimpose a new key or chord over a pre-existing one.

The free jazz elements in these solos are the abandonment of pre-existing musical elements such as harmonic rhythm, meter, and pulse. This can be heard as the superimposition of specific musical structures over pre-existing ones. Unlike passages of bimodal superimposition, these passages usually superimpose unrelated scales over existing harmonic sequences. These typically appear as short episodes in key parts of each solo. In relation to “The Moontrane,” these passages occur on important harmonic sequences at the end of each A section and at the end of each bridge. They usually

accentuate the intervals of a perfect fourth and fifth and move in and out of a harmonic progression before resolving at the end of the episode.

One of the primary ways pre-existing harmonic sequence is abandoned in these passages is by superimposing two non-harmonic pentatonic scales over a harmonic progression. These two scales typically do not contain any common tones. The 1966 solo demonstrates one of the clearest examples of this technique. This solo features non-harmonic pentatonic scales based on the $\flat 7$ and $\natural 7$ of the key the episode was resolving into. This can be heard in mm. 53-56.

By the middle part of Shaw's career, episodes featuring non-harmonic pentatonic scales featured shorter iterations of each pentatonic scale, and often moved between each scale fragment more rapidly. This occurred in conjunction with a broadening of approach to non-harmonic pentatonic scales in episodes that included scales beyond the $\flat 7$ and $\natural 7$ of the key of resolution. These episodes signal a move toward a more flexible application of superimposition techniques. These passages preserve the intervals of perfect fourth and fifth, but also provide many more options for the use of non-harmonic pentatonic scales and non-harmonic pentatonic scale fragments.

The clearest example of this can be heard in the 1987 version of "The Moontrane." At the end of every bridge statement in this solo is a series of pentatonic fragments outlining the interval of a perfect fourth. In fact, these passages might be better heard as a series of descending fourths rather than as non-harmonic pentatonic scale fragments.

The 1987 version of "The Moontrane" also contains a new superimposition technique. This appears only in mm. 5-6 of each A section. Like Shaw's use of non-

harmonic pentatonic scales, these episodes abandon harmonic progression by superimposing a new musical structure over Nonfunctional Sequence 1. Unlike other episodes of superimposition, these passages superimpose a single scale over an entire harmonic sequence. These scales are hard to predict, as some are quite consonant in relation to the underlying harmony, but other passages can be dissonant. The one common factor between all of these examples is that they share at least one common tone with the first chord in each sequence.

All of these passages—episodes that include non-harmonic pentatonic scales, intervallic sequences, and scale superimpositions—abandon pre-existing harmonic progression by superimposing new musical structures on top of existing ones. They create lines that are at times highly dissonant with the pre-existing chord progression. These short episodes of dissonance create tension in key parts of the form. By resolving dissonance into the next part of the form, they create excitement and color throughout the solo. This is a common element in all three of Shaw's solos.

Rhythmic phrasing in these solos juxtaposes various nonconventional approaches with occasional utterances of conventional bebop rhythms. This reflects the unifying concept in these solos: the combination of conventional and nonconventional elements. The three nonconventional rhythmic approaches I analyze are broken phrases, metric conflict, and nonidiomatic double time passages. While there are other rhythmic devices present in these solos, I believe these three to be the most descriptive in regards to Shaw's personalized style.

Broken phrasing is present in all three of the solos analyzed here. They often appear in conjunction with non-harmonic pentatonic scales, and in episodes that abandon

pre-existing harmonic progression. Broken phrasing represents an alternative to conventional bebop-oriented phrases. These episodes are characterized by a short eighth-note line, followed by a rest or short sustained note, followed by a longer eighth-note line. These phrases typically avoid conventional bebop ornamentation such as turns, enclosures, smears, or deflections.

Metric conflict is present in all three solos, however to varying degrees. In the 1966 version of “The Moontrane” it is not a major element of the solo. Metric conflict plays a much larger role in the 1975 version. This can be heard as an expression of the increased virtuosity present in this solo. Metric conflict does not play a large part in the 1987 version, and likewise can be heard as an expression of the more conservative nature of the solo.

Like metric conflict, non-idiomatic double time passages are present in all three solos but the degree to which it is featured varies. In the 1966 version of “The Moontrane” non-idiomatic double time passages are present in the form of brief runs such as the one in m. 17. Non-idiomatic double time passages do not have as big a role in the 1966 version as in the 1975 version. Non-idiomatic double time passages are put in the foreground in the 1975 version of “The Moontrane.” Again, this is an expression of the virtuosic approach to this solo. Conversely, Non-idiomatic double time passages do not play a large part in the more conventional 1987 version of “The Moontrane.”

Suggestions for Future Research

This study is among the first analytical works to treat Shaw's intervallic and chromatic material as elements derived from the avant-garde. This work raises several important questions regarding Shaw's solos and the hard bop and free jazz elements they contain: (1) What ways if any does Shaw's approach differ when playing over functional harmonic sequences? (2) In episodes that do not hold allegiance to pre-existing harmonic or rhythmic objects, what are the ways the rhythm section interacts with these ideas? (3) In what ways does Shaw's style differ when playing on different tempos? (4) What elements of Shaw's improvisatory style are unique to Shaw and what elements are a part of the musical vocabulary used by a wider group of improvisers active in the 1960s and 1970s?

The answers to these questions lie in two parts. The first part is a detailed analysis of Shaw's style on a larger sample of compositions taken from throughout Shaw's career. These solos should contain examples of functional harmony, modal harmony, and nonfunctional harmony, as well as a variety of grooves and tempos. By studying the commonalities and differences between these pieces it would be possible to create a more detailed picture of Shaw's style. Ideally this study would identify elements of the jazz vocabulary common to Shaw and his contemporaries, vocabulary unique to Shaw himself, and vocabulary unique to specific solos or compositions. Benjamin Givan describes these elements as dialect, idiom, and intraopus style.⁵¹

⁵¹ Benjamin Givan. "Gunther Schuller and the Challenge of Sonny Rollins." *Journal of the American Musicological Society* 67(1):168-237. In this study, dialect refers to the body of language shared by a group of improvisers, idiom refers to the language unique to a specific improviser, and intraopus style identifies language unique to a specific tune.

The second step in this research must describe the group dynamics of Shaw's band. Without a clear picture of how these passages—specifically episodes that challenge pre-existing harmony or rhythm—are supported, it is impossible to adequately describe a method for reproducing this material in modern performance. It is my belief that this is the next step in fully apprehending the implications of Woody Shaw's music.

APPENDIX A

WOODY SHAW'S SOLO ON "THE MOONTRANE" FROM *UNITY* (1966)

Woody Shaw's Solo on
The Moontrane
 From the 1966 Blue Note Album *Unity*
 BST 84221

Transcribed by Keith Karns

B \flat maj7(#11)

B♭maj7(#11) Am⁹

Bb lydian

5 C⁶ F⁶ B^b6 E^b6 D⁺maj7(#11) C⁻m7 F⁷



Sequential Development of the Circle of Fourths Sequence

9 B♭maj7(#11) Am⁹

Bimodal Superimposition: C Dominant Bebop Scale

13 C⁶ F⁶ B^b7 E^b6 D⁺maj7(#11) F⁻m7 B^b7

Non-Harmonic Pentatonic Scales: $b7$ (Ab) and $\sharp 7$ (A)

Abandon: Harmonic Progression

Ab Pent

A Pent

Ab Pent

25 B♭maj7(#11) Am⁹

Metric Conflict

Bimodal Superimposition: G major Pentatonic

Sequential Development of the Circle of Fourths Sequence

29 C⁶ F⁶ B^b6 E^b6 Dmaj7(#11) Cm7 F7

*temporary resolution.

The chord progression in mm. 5-6 of each A section are representative of the version of "The Moontrane" recorded on the 1966 record *Unity*. This sequence is not representative of versions of "The Moontrane" recorded after 1973.

33 $B\flat\text{maj}7(\sharp 11)$ 2nd Chorus $A\text{m}^9$

Metric Conflict

37 C^6 F^6 $B\flat^6$ $E\flat^6$ $D\text{maj}7(\sharp 11)$ $C\text{m}^7$ F^7

41 $B\flat\text{maj}7(\sharp 11)$ $A\text{m}^9$

Bimodal Superimposition:
C Dominant Bebop Scale

45 C^6 F^6 $B\flat^6$ $E\flat^6$ $D\text{maj}7(\sharp 11)$ $F\text{m}^7$ $B\flat^7$

Circle of Fourths Sequence

49 $E\flat\text{maj}7$ $A^{\circ 7}$ $D7(\flat 9)$

Non-Harmonic Pentatonic Scales: $b7$ ($A\flat$) and $\sharp 7$ (A)

Abandon: Harmonic Progression

53 $G\text{m}^7$ $F\text{m}^7$ $B\flat\text{m}^7$ $A\flat\text{m}^7$ $D\flat\text{m}^7$ $B\text{m}^7$

Ab Pent A Pent Ab Pent

57 $B\flat\text{maj}7(\sharp 11)$ $A\text{m}^9$ C^6 F^6

Motivic Development

cresc.

62 $B\flat^6$ $D\text{maj}7(\sharp 11)$

APPENDIX B

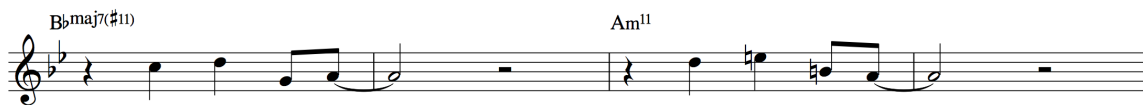
WOODY SHAW'S SOLO ON "THE MOONTRANE" FROM
THE MOONTRANE (1975)

Concert Pitch

Woody Shaw's Solo on
The Moontrane
From the 1975 Muse album *The Moontrane*
MR 5058

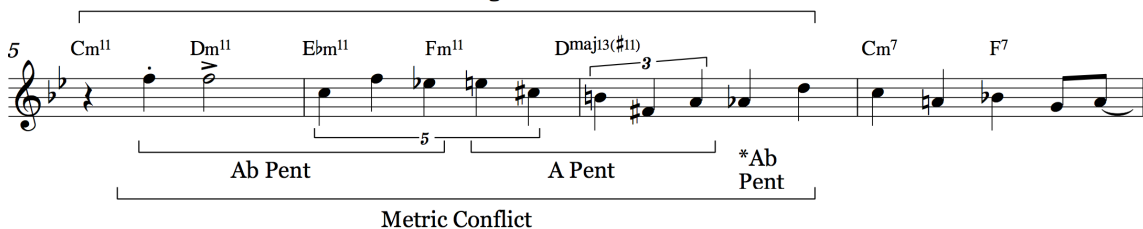
Woody Shaw Solo at 0:50
1st Chorus

Transcribed by Keith Karns



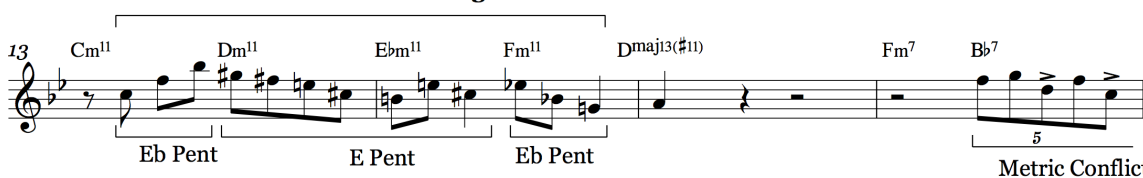
Non-Harmonic Pentatonic Scales: b7 (Ab) and #7 (A)

Abandon: Harmonic Progression

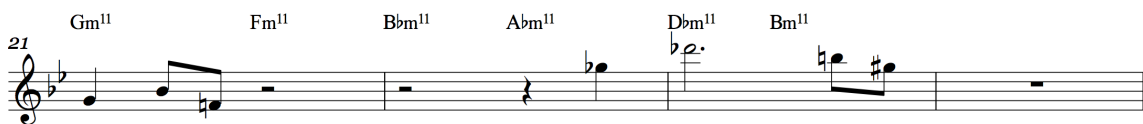


Non-Harmonic Pentatonic Scales: 4 (Eb) and #11 (E)

Abandon: Harmonic Progression



**Preserve:
Harmonic Progression**



2nd Chorus

33 $B\flat maj7(\sharp 11)$ Am^{11}

Anticipation

37 Cm^{11} Dm^{11} $E\flat m^{11}$ Fm^{11} $Dmaj13(\sharp 11)$ Cm^7 F^7

Non-idiomatic Double Time Passage

41 $B\flat maj7(\sharp 11)$ Am^{11}

Bebop Gesture Bimodal Superimposition: C Major Pentatonic Bimodal Superimposition: G Major Pentatonic

45 Cm^{11} Dm^{11} $E\flat m^{11}$ Fm^{11} $Dmaj13(\sharp 11)$ Fm^7 $B\flat^7$

Non-idiomatic Double Time Passage

49 $E\flat maj7$ $A\emptyset^7$ $D7(\flat 9)$

Non-idiomatic Double Time Passage

Non-Harmonic Pentatonic Scales: $b7$ (Ab) and $\natural 3$ (D) Abandon: Harmonic Progression

53 Gm^{11} Fm^{11} $B\flat m^{11}$ $A\flat m^{11}$ $D\flat m^{11}$ Bm^{11}

Ab Pent D Pent Ab Pent D Pent (Ab Pent) B Dorian

57 $B\flat maj7(\sharp 11)$ Am^{11}

Superimposed Circle of Fourths Sequence

Derived from 1966 *Unity* version of "The Moontrane"

61 $C6$ $F6$ $B\flat 6$ $E\flat 6$

Cm^{11} Dm^{11} $E\flat m^{11}$ Fm^{11} $Dmaj13(\sharp 11)$

3rd chorus

65 B♭maj7(♯11) Am¹¹

69 Cm¹¹ Dm¹¹ E♭m¹¹ Fm¹¹ Dmaj13(♯11) Cm⁷ F⁷

Non-idiomatic Double Time Passage

73 B♭maj7(♯11) Am¹¹

Bebop Gesture

77 Cm¹¹ Dm¹¹ E♭m¹¹ Fm¹¹ Dmaj13(♯11) Fm⁷ B♭7 Lay Back

Metric Conflict

81 E♭maj7 A♭7 D7(♭9)

Non-Harmonic Pentatonic Scale Fragments: b7 (A♭) and ♯7 (A)

Abandon: Harmonic Progression

85 Gm¹¹ Fm¹¹ B♭m¹¹ A♭m¹¹ D♭m¹¹ Bm¹¹

89 B♭maj7(♯11) Am¹¹

Bimodal Superimposition
C Major Pentatonic Scale

Superimposed Circle of Fourths Sequence

Derived from 1966 *Unity* version of "The Moontrane"

C6 F6 B♭6 E♭6

93 Cm¹¹ Dm¹¹ E♭m¹¹ Fm¹¹ Dmaj13(♯11) Cm⁷ F⁷ B♭maj7(♯11)

Motivic Development

APPENDIX C

WOODY SHAW'S SOLO ON "THE MOONTRANE" FROM
THE ETERNAL TRIANGLE (1987)

Woody Shaw's Solo on
The Moontrane
 From the 1987 Blue Note Album *The Eternal Triangle*
 B1-48017

Concert Pitch

Woody Shaw Solo at 0:45

Transcribed by Keith Karns

1st Chorus

B \flat maj7(#11) anticipation Am⁷

Bimodal Superimposition C Lydian

Scale Superimposition
Abandon: Harmonic Progression

5 Cm⁷ Dm⁷ Ebm⁷ Fm⁷ Dmaj7(#11) Cm⁷ F⁷

B \flat Melodic Minor

Scale Superimposition
Abandon: Harmonic Progression

9 B \flat maj7(#11) Am⁷

13 Cm⁷ Dm⁷ Ebm⁷ Fm⁷ Dmaj7(#11) Fm⁷ B \flat 7

E \flat Major

Superimposed Intervallic Sequence
Abandon: Harmonic Progression

17 E \flat maj13 A \sharp 7 D7(b9)

Preserve: Harmonic Progression

Gm⁷ Fm⁷ Bbm⁷ Abm⁷ Dbm⁷ Bm⁷

P4 P4 P4

Db Major Pentatonic D Major Pentatonic

25 B \flat maj7(#11) anticipation Am⁷

anticipation Am⁷

Scale Superimposition
Abandon: Harmonic Progression

29 Cm⁷ Dm⁷ Ebm⁷ Fm⁷ Dmaj7(#11)

E \flat Dorian

2nd Chorus

33 $B\flat\text{maj}7(\sharp 11)$ $A\text{m}^7$

Scale Superimposition Abandon: Harmonic Progression

37 $C\text{m}^7$ $D\text{m}^7$ $E\flat\text{m}^7$ $F\text{m}^7$ $D\text{maj}7(\sharp 11)$ $C\text{m}^7$ F^7

$E\flat$ Major E Dominant Bebop Scale

41 $B\flat\text{maj}7(\sharp 11)$ $A\text{m}^7$

45 $C\text{m}^7$ $D\text{m}^7$ $E\flat\text{m}^7$ $F\text{m}^7$ $D\text{maj}7(\sharp 11)$ $F\text{m}^7$ $B\flat^7$

49 $E\flat\text{maj}13$ $A^{\circ}7$ $D^7(\flat 9)$

Motivic Development Preserve: Harmonic Progression

Superimposed Intervallic Sequence Abandon: Harmonic Progression

53 $G\text{m}^7$ $F\text{m}^7$ $B\flat\text{m}^7$ $A\flat\text{m}^7$ $D\flat\text{m}^7$ $B\text{m}^7$

P_4 P_4 A Major Pentatonic Scale $B\text{ebop}$ Gesture

$D\flat$ Major Pentatonic

57 $B\flat\text{maj}7(\sharp 11)$ $A\text{m}^7$

$B\text{ebop}$ Gesture

60 $C\text{m}^7$ $D\text{m}^7$ $E\flat\text{m}^7$ $F\text{m}^7$ $D\text{maj}7(\sharp 11)$

3rd Chorus

65 $B\flat\text{maj}7(\#11)$ $A\text{m}^7$

Scale Superimposition

69 $C\text{m}^7$ $D\text{m}^7$ $E\text{bm}^7$ $F\text{m}^7$ $D\text{maj}7(\#11)$ $C\text{m}^7$ F^7

$B\flat$ Aeolian B Major C Dominant Bebop

73 $B\flat\text{maj}7(\#11)$ $A\text{m}^7$

Bebop Gesture $B\flat$ Aeolian B Major C Dominant Bebop

77 $C\text{m}^7$ $D\text{m}^7$ $E\text{bm}^7$ $F\text{m}^7$ $D\text{maj}7(\#11)$ $F\text{m}^7$ $B\flat^7$ 0 3 0 3

Bebop Gesture

81 $E\text{bmaj}13$ 0 3 0 3 0 3 0 3 $A\text{m}^7$ $D^7(b9)$

Superimposed Intervallic Sequence

Abandon: Harmonic Progression

Preserve: Harmonic Progression

85 $G\text{m}^7$ $F\text{m}^7$ $B\text{bm}^7$ $A\text{bm}^7$ $D\text{bm}^7$ $B\text{m}^7$

P_4 P_4 P_4 P_4 P_4 P_4

Conventional Scale Choice: $B\flat$ Lydian

$D\flat$ Major Pentatonic D Major Pentatonic Fragment

89 $B\flat\text{maj}7(\#11)$ $A\text{m}^7$

Scale Superimposition

Abandon: Harmonic Progression

93 $C\text{m}^7$ $D\text{m}^7$ $E\text{bm}^7$ $F\text{m}^7$ $D\text{maj}7(\#11)$ $C\text{m}^7$ F^7 $B\flat\text{maj}7(\#11)$

C Minor

* Chromatic Passing Tone

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