CHANGE OF THE "GUARD": CHARLIE ROUSE, STEVE LACY, AND THE MUSIC OF THELONIOUS MONK

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Abstract

The word "Monkian" is frequently used in jazz discourse to describe the music of pianist Thelonious Monk. This study consolidates literature on Monk's music to define the Monkian aesthetic as an integration of the following musical elements: unorthodox jazz harmony, rhythmic displacement, principles of economy, an emphasis on thematic repetition, and technical experimentation. These elements appear in his compositions, which jazz musicians find difficult to perform. The Monkian aesthetic may be apparent in music by other jazz performers who integrate these elements during improvisation.

An analysis of selected improvisations by Charlie Rouse and Steve Lacy, two saxophonists who performed Monk's music extensively, demonstrates this aesthetic. Analyses are conducted on two solos by Rouse in the post-bop style—"Evidence" (1960) and "Rhythm-A-Ning" (1964)—and three recordings by Lacy in the free jazz style: two versions of "Evidence" (1961 and 1985) and "Pannonica" (1963). The Monkian aesthetic is prominent in their music, and is demonstrated through narrative description with the aid of formulaic, schematic, and reduction analysis techniques. Group interaction is shown to play a significant role in their interpretations.

I argue that Monk, Rouse, and Lacy were avant-garde jazz musicians. They represent a change in the notion of "avant-garde" in jazz according to the musical analyses and a critical evaluation of their social environment. Monk's performances, recordings, and public image were avant-garde for the 1940s and 1950s. Rouse followed Monk's musical conception closely, and by extension, is considered an avant-gardist in

jazz. Lacy's music and his community of musicians helped define the 1960s avant-garde movement in jazz. Both saxophonists contributed to Monk's legacy in these conceptions of avant-gardism.

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Introduction

Thelonious Monk's music is unique. As a jazz pianist with a performance career from the late 1930s to the 1970s, having an individual "voice" was a crucial asset for his lasting prominence in jazz. But Monk cannot really be included in the subset of musicians that have been able to attain an individual voice: his playing, a sharp contrast to that of other musicians of his time, situates him as an outlier, removed by a further degree of individuality. The factors that determine his voice are explicitly distinguishable from the musical characteristics used to describe the music of other jazz musicians. The Oxford English Dictionary's definition of "unique" is, "that is or forms the only one of its kind; having no like or equal; standing alone in comparison with others."[1] In the history of jazz, the name Thelonious Monk has become synonymous with the literal meaning of "unique."

Most writers commenting on his music cannot escape using the words "Monkish" or "Monkian" to describe his compositions, improvisations, or approach to playing the piano. For this study, these terms hold two meanings: the "Monkish" that refers to his individuality, and the "Monkian" that may also be used to describe the music of others that follow his musical conception. An evaluation of the music by other musicians may therefore be analyzed in terms of the Monkian aesthetic—a set of principles that are rooted in the Monkish voice.

I define the Monkian aesthetic as an integration of unorthodox jazz harmony, rhythmic displacement, principles of economy, an emphasis on thematic repetition, and

technical experimentation during improvisation. Monk uses compositional strategies to incorporate these elements into a unified whole. His head arrangements contain his unorthodox jazz harmonies, rhythmic displacements and musical economy—many musicians find the intricate tunes difficult to perform.

"Dissonance" is a common descriptor of Monk's unorthodox harmonic voicings or improvised lines. A theoretical investigation of dissonance in jazz is beyond the scope of this study; the term is used here according to published descriptions of Monk's music outlined in chapter 1. Despite the subjective nature of dissonance in music, there is a consensus among writers that Monk's music is considerably discordant compared to the music by his contemporaries. Some examples are straightforward, such as tone clusters consisting of multiple semitones, clashing polychords, whole-tone scales, augmented chords, or harmonies that do not resolve to a consonant sonority. Other examples that may seem debatable are explained by an emphasis of dissonance, implying minimal consonance. Typical examples include metric or performative accents, chord voicings that remove consonant tones, particular intervals played in the low register of the piano, or a percussive attack that produces a rough timbre.

This dissertation asks: how do musicians interpret the Monkian aesthetic in their own performances? Why is Monk considered avant-garde? And, if we believe Monk to be avant-garde, are interpretations of his music by other musicians also avant-garde? These questions require two interconnected analyses. I analyze the Monkian aesthetic in the music by two saxophonists—Charlie Rouse and Steve Lacy—followed by a critical analysis of the social histories of Monk, Rouse and Lacy. Rouse and Lacy played the

music in different styles of jazz: the former in a post-bop style, the latter in a free jazz style. My thesis is that the Monkian aesthetic is apparent in analyses of recordings by Rouse and Lacy, and in combination with their respective social histories, these artists demonstrate a change in the notion of "avant-garde" in jazz during the 1960s.

The "aesthetic" of Monk's music offers a conncetion between the music and its social context. Ingrid Monson writes:

> Aesthetics [. . .] are more malleable, mobile, and pluralistic than social structures despite their roots in particular cultural communities and geographic locations. Regardless of one's cultural and social home base, in other words, it is possible to make choices to engage and participate in a variety of aesthetic traditions. I call this process of active musical self-fashioning *aesthetic agency*. (Monson 2007, 74, emphasis in original)[2]

Rouse and Lacy's aesthetic agency includes the Monkian aesthetic with reference to different cultural communities, as well as different times in jazz history. The term "avant-garde" applies to the Monkian aesthetic, Monk's image, and his reception. Changes in the notion of the avant-garde during the 1960s is represented by Rouse and Lacy's interpretations of the music and their respective jazz communities. It is the combination of an "aesthetic" and the "avant-garde" that connects their music to its social context.

Rouse and Lacy used the Monkian aesthetic in their own performances. Rouse was Monk's tenor saxophonist from 1958–70, and later performed his music in the 1980s. All of Rouse's interpretations of the music are played in the post-bop style according to Monk's original intentions. Soprano saxophonist Steve Lacy recorded Monk's music in the 1950s and joined Monk's band for sixteen weeks in 1960. He took the music into the free jazz style when performing with trumpeter Don Cherry in 1961, and a Monk repertoire group with trombonist Roswell Rudd from 1961–64 when they

experimented with Monk's language in a highly interactive style of improvisation. Lacy left Monk's music in the late 1960s and returned to it with a fresh approach in 1979: in the following decades, he interpreted the music in solo saxophone performances, and in collaboration with pianist Mal Waldron and other tribute bands.

By focusing on the music of these two saxophonists in the 1960s we are able to link it to a paradigm shift that occurred at this juncture in jazz history. A new style, widely known as "free jazz," made a conscious break from "mainstream" jazz constructed in the image of bop. In the 1960s, the definition of "mainstream" changed to include Monk's music. In hindsight, however, Monk had different musical approaches than most mainstream musicians and was a precursor to the musical and social changes surrounding free jazz. His popularity during the 1960s, won by a persistent confidence in his personal sound, was interpreted as a defiant stance against the jazz establishment: his success symbolized freedom from the many hegemonic undercurrents that pervaded jazz as a whole.

Monk's Musical Conception as an Aesthetic

The idea of an aesthetic is central to this dissertation. From the New Oxford American Dictionary, an aesthetic is "a set of principles underlying and guiding the work of a particular artist or artistic movement."[3] I differentiate an aesthetic from style according to this definition. Admittedly, Monk had a musical style: a personal sound, an individual voice. However, a "style" in jazz also refers to periods of musical change. This

dissertation uses the word "style" to refer to these historical periods, such as the Dixieland, swing, bop, post-bop, or free jazz styles.

The difference in terminology is similar to that presented by Timothy Johnson's discussion of minimalism. Johnson argues that minimalism may be considered an aesthetic, style, or technique depending on the boundary of analysis. The aesthetic is described in general musical terms: ideals held by a small collection of composers, where the pieces are said to require new listening strategies in order to appreciate them (1994, 745). This corresponds to the Monkian aesthetic where general principles describe a musical ideal. One will also notice throughout this dissertation that the reception of Monk's recordings and performances required new modes of appreciation from the 1940s to the 1960s.

Johnson defines style as similarities in form, texture, harmony, melody, and rhythm: "[t]he definition of minimalism as a style [. . .] attempts to draw minimalist pieces and composers together under *one* rubric" (ibid., 748, emphasis mine).[4] This definition poses a difficulty in discussing performances of Monk's music by musicians other than him as a "style": performers may not be grouped under *one* rubric when they interpret the music in the contrasting jazz styles (i.e., the post-bop or free jazz styles with their respective differences in form, texture, harmony, melody, and rhythm).

An aesthetic is beneficial to this study because one can consider how interpreters of Monk's music adapt its general principles. Furthermore, Johnson suggests that an aesthetic informs style (ibid., 747). The Monkian aesthetic similarly offers a point of departure to inform musical practices in different styles of jazz (i.e., post-bop and free

jazz styles). Previously mentioned, treating Monk's musical conception as an aesthetic is adventagous because it is "more malleable, mobile, and pluralistic than social structures" (Monson 2007, 74), allowing for the musical practices of Monk, Rouse and Lacy to be connected to their individual social histories.

To close the discussion of Johnson's article, the category of technique (i.e., a Monkian "technique") is also not adequate for this dissertation. Inherent in Johnson's thesis is that when minimalism is considered a technique—the use of selected features of the style—the aesthetic (and the style) may no longer be intact (ibid., 762, 768). The object of analysis for this dissertation is to test if the integrated elements of Monk's musical approach *are* intact in the music by Rouse and Lacy. Moreover, technical experimentation is an element of the Monkian aesthetic: this dissertation demonstrates that musicians employ different instrumental and improvisational techniques to perform other elements of the Monkian aesthetic (an instance of the integration of its constituent elements). In sum, Johnson's comparison of the aesthetic, style and technique renders the aesthetic to be an apt designation for Monk's musical conception: the aesthetic offers an analytic approach to test the preservation of its elements in different jazz styles, and allows different techniques to be important for its performance.

There is an affinity between an aesthetic and how musicians talk about Monk's music. Gabriel Solis's research includes interviews with musicians about their perspectives on Monk, and how they interpret his music. Five general themes about the music predominantly emerged from Solis's analysis of the interviews.[5] He explains that

> given the opportunity to talk about what in Monk's music has affected them most, the musicians [. . .] focused on these large-scale concerns rather than on the small-

> scale markers of Monk's style on which they depend—his particular approach to chord voicings, for example, or the specifics of his use of "space." [. . .] Rather than focusing on those aspects of Monk's musicality that are strong markers of his musical voice and are hard to assimilate into another's voice, these discussions focused on aspects of his playing and composing that are more readily generalized and incorporated into one's own playing. (2008, 14–15)

The analysis of the Monkian aesthetic is a way of thinking about these "large-scale concerns," as opposed to a style analysis. A musician's style is typically the object of jazz analysis, which aims to define characteristics that exemplify the musician's personal sound, contribution to a particular genre (e.g., New Orleans, swing, bop, free jazz), or improvisatory processes that suggest ways of musical thinking. These studies require a comparative micro-analysis of parameters such as motives or formulas, notes in relation to the harmony, and the formal attributes of these features. An aesthetic, on the other hand, is a broader category of analysis that may not be determined by style: the elements of the Monkian aesthetic provide a macro-level basis for analyzing the micro-content of interpretations of Monk's music that cross stylistic boundaries. That is, the aesthetic may be common among interpretations of the music despite differences in form, texture, harmony, melody, and rhythm.

Other writers have mentioned the notion of an aesthetic of Monk's music. John Mehegan writes, "a general survey of the Monk discography reveals a startling emotional and aesthetic uniformity which seldom extends beyond the limited precincts of the grotesque and the ironic" (1963, 7). As noted in Monk's biography (appendix A), Bob Blumenthal states, "[t]he rapid tempos and arpeggiated melodies most listeners identify with bebop are far removed from Monk's aesthetic" (1982, 1). For Mark Haywrad's analysis of "Monkishness," the "subject matter is Monk's music, which, like all music, is

an expression of the spirit, appealing to aesthetic sensibilities" ([1999] 2001, 1). Robin Kelley—the author of a comprhensive biogrphay of Monk—talked about his interest in the project, where "Monk had been an obsession—aesthetically and culturally—pretty much from the moment I was introduced to his music" (Garney 2010). Benjamin Givan writes, "[t]he most widely held view among the pianist's devotees, especially during the peak period of his career in the late 1950s and 60s but still persisting in some quarters, is grounded in modernist aesthetics" (2009, 404). After analyzing a set of performance techniques that Monk rarely used, Garney writes that they "exemplify a performance aesthetic that I believe suffused his playing much more broadly" (2009, 439). Peter Hollerbach also comments that "[t]he element of surprise—and the humor with which it is endowed—is fundamental to Monk's aesthetic" (1995, 144). One will also note the title of Peter Wilson's article: "Essay on the Monkish: The Musical Aesthetic of Thelonious Monk and His Continued Posthumous Influence" (1987, translation mine).

Some musicians who have been influenced by Monk praise him as an important trajectory into different styles of jazz.[6] Moreover, some musicians play Monk's compositions outside the post-bop style in which they were originally performed.[7] The hypothesis is that a Monkian aesthetic may still be preserved when musicians perform Monk's music in different jazz styles. Analyzing music by performers other than Monk who claim him to be a major influence on their artistic output is a test for this hypothesis.

Because Monk was a pianist, one would first think to analyze the interpretations of his music by other pianists. So why look at saxophonists? The answer to this question is three-fold. First, pianists have the convenience of emulating Monk's physical approach

to the piano (e.g., his technique and attack of the keyboard), as well as playing his chord voicings or stylized improvisatory ideas. Saxophonists are not able to create a Monkian performance by simply imitating his piano style. The physicality of the saxophone requires different strategies to elicit a Monkian aesthetic. That is, saxophonists that perform the Monkian aesthetic must interpret its elements with a more abstract approach than pianists. Second, Monk traditionally played in a quartet setting with another saxophonist as a lead instrument, meaning his pieces were typically played, and improvised upon by saxophonists. Third, since Monk primarily worked with saxophone players as another lead instrument, it follows that saxophonists would be informed on the bandstand.

If saxophonists are able to perform the Monkian aesthetic, the next question is: why Rouse and Lacy? Sonny Rollins, John Coltrane, and Johnny Griffin were notable saxophonists who played with Monk, learned from him, and played at different historical junctures in jazz history. This consideration is valid; however, these players seemingly used their time with Monk as a particular chapter in their own histories, and later made a more permanent departure from his music. Rouse and Lacy played Monk's music extensively during the late 1950s and thereafter. Rouse played the music for the majority of his career. Lacy studied the music from the late 1950s to the mid-1960s, and continually recorded Monk's compositions in solo, duet, and small combo settings after the 1970s. Jef Langford—writing a brief history of Monk's horn players—specifically comments on Rouse and Lacy's vast knowledge of the music. After the former left Monk's group early in 1970, Langford writes: "Many would probably have expected the

first person Monk might try to find for a new group would be soprano saxophonist Steve Lacy, who probably knows more about Monk's music than anyone else but Rouse" (Langford 1971b, 4). Furthermore, Monk did not gain widespread popularity until Rouse and Lacy were performing his music in the 1960s. It seems fitting that this study concentrate on these two saxophonists because they both worked with Monk and found innovative approaches to the music in unmistakably contrasting styles. With some of these distinctions in mind, we can say that the Monkian aesthetic retains its identity through different styles of performance. One can conceivably be playing in the free jazz style but be recognized as performing the Monkian aesthetic since the elements of that aesthetic present themselves independently of the style.

Overview

This dissertation is presented in three sections: 1) a literature review that details the Monkian aesthetic, 2) an analysis of the aesthetic as performed by Rouse and Lacy, and 3) a social history of these musicians under the lens of avant-gardism. Monk's social milieu and his music reflect a change of the "avant-garde" in jazz from the 1950s to the 1960s. Rouse, a close associate of Monk's, was a torchbearer of his music in its original post-bop style. Lacy also used Monk's musical approach, but played in a style akin to free jazz. These two saxophonists are representatives of different notions of the avant-garde in jazz.

Appendices A, B and C are biographies of Monk, Rouse, and Lacy to provide context for their music and the discussion of them as avant-garde musicians. (The reader

may want to consult these biographies first).[8] Library and archival research is the source material for the biographies. There are numerous published biographies of Monk. Books written in English are by Leslie Gourse (1997) and Robin Kelley (2009).[9] Kelley's biography is the most authoritative. With fourteen years of research, his interviews date back to 1995. His extensive library research pulls from a vast array of sources. And, he had access to Monk's private files (Garney 2010).[10] Chris Sheridan's bio-discography is an important reference for Monk's schedule of work, recorded output, and biographical notes that provide context for each discographical entry (2001). Rob van der Bliek's *The Thelonious Monk Reader* (2001) combines key readings on Monk with writing by Van der Bliek for additional information relating to other publications not included in his volume. In conjunction with the articles from this reader, my primary research on Monk is supplemented, for the most part, by the publications by Kelley (2009) and Sheridan (2001).

The biographies presented in the appendices provide context for the Monkian aesthetic in the first two sections of this dissertation. Chapter 1 distils writing on Monk's music—essays, books, critiques, and analyses—into the set of elements that define the Monkian aesthetic. The elements are defined for the analysis in subsequent chapters.[11] Chapter 2 outlines the selection process and analytical methods for the pieces performed by Rouse in chapter 3 and Lacy in chapter 4. At the heart of the analysis is the identification of the Monkian aesthetic and how the musician's interpret it in the process of improvisation. Transcriptions of the pieces are provided in appendices E–O.

The performances by Rouse examined in chapter 3 are from his work with Monk's quartet in the 1960s. The recordings mark the beginning of their work together ("Evidence" in 1960) and the height of the quartet's fame ("Rhythm-A-Ning" in 1964). The analyses are supplemented by published interviews and writing about Rouse's playing. Chapter 4 begins with an extensive look at Lacy's music by tying together published interviews, criticism, and sections from his book *Findings: My Experience with the Soprano Saxophone* ([1994] 2005). A quartet recording of "Evidence" with trumpeter Don Cherry (1961), a live performance of "Pannonica" in a trio setting with Rudd (1963), and a solo performance of "Evidence" (1985) represent a span of his work with the Monkian aesthetic from his early years, through his free jazz style, and ending with his later tributes.

The third section of this dissertation identifies Monk, Rouse, and Lacy as avant-gardists in jazz. Chapters 5 and 6 follow the trend of "new jazz studies" that borrows approaches from other disciplines and analyzes jazz in its social context. The methods investigate the economic, social, cultural, and gendered constructs that inform the history of jazz.[12] These chapters relate the findings in sections 1 and 2 to the music's social context, the avant-garde in jazz. An important vantage point for the discussion is the communities to which the musicians belonged. In chapter 5, I describe Monk's image during his performances at the Five Spot Café, and different representations of his public image as promoted by the mainstream and the jazz avant-garde.

In chapter 6, I consider Rouse as a member of Monk's community of the 1950s and 1960s, and vis-à-vis "neoclassicism" in jazz of the 1980s. Lacy belonged to the

community of free jazz musicians in the 1960s. The discussion of Lacy as an avant-garde jazz musician necessitates an analysis of race relations in jazz. Lacy and Rudd were both white musicians who performed music by an African American composer. The possible problem of white musicians appropriating black music is addressed. The problem is disentangled to argue that their performances and viewpoints on jazz in the 1960s do not substantiate musical appropriation for commercial purposes. Rather, Monk's music was a platform for their musical development as free jazz musicians.

Chapter 5 discusses Monk's avant-gardism. Some audiences consider him a mainstream musician. However, considering his musical aesthetic and the social forces at work during his career, one witnesses an avant-gardism in the various constructions of his image by both the mainstream and the jazz avant-garde. Kelley's conclusion of Monk's biography indicates that

> for all the accolades and formal recognition, for all the efforts to canonize Monk and place his bust on the mantel alongside Bach and Beethoven, we must remember that Monk was essentially a rebel. To know the man and his music requires digging Monk—out of the golden dustbins of posterity, out of the protected cells of museums—and restoring him to a tradition of sonic disturbance that forced the entire world to take notice. He broke rules and created a body of work and a sound no one has been able to duplicate. (2009, 451)

Rouse and Lacy, by interpreting the Monkian aesthetic in their own performances, are shown to extend Monk's avant-gardism in their respective jazz communities. Chapter 6 develops the thesis that both saxophonists preserved his avant-gardism in different styles of jazz.

Rouse's interpretations of Monk's music continued Monk's avant-gardism in the style in which it was composed: a post-bop style that was avant-garde in its 1950s

conception. Drawing on the analyses from chapter 3, Rouse's avant-gardism was musically conveyed through the elements of the Monkian aesthetic. His improvisations, which include rhythmic displacements, an economy of means, emphasized thematic repetition, and Monk's schematic devices demonstrate this avant-gardism.

Lacy's performances of Monk's music performed in the free jazz style were also avant-garde. His biography in appendix C reveals the historical changes that led him into the jazz avant-garde with Cecil Taylor in the 1950s, a community of musicians in the 1960s that included Rudd and trumpeter Don Cherry, and tribute performances in the 1980s. Lacy performed the Monkian aesthetic with minimalist economy, harmonic ambiguity and dissonance, rhythmic displacements, and metric shifts with a highly experimental approach. The analyses in chapter 4 are connected to the social history of his involvement with the jazz avant-garde in chapter 6.

The dissertation concludes with a comparison of Rouse and Lacy as the two forerunners of what Solis calls Monk orthodoxy and heterodoxy (2001; 2008). Both saxophonists were Monk's apprentices who learned his music in the oral tradition and integrated his musical voice with their own. I discuss the concept of a "voice" and how it relates to their interpretations of the music in different styles of jazz (post-bop and free jazz). Rouse's orthodox belief was that performances of the music should adhere to Monk's original intention. Lacy's heterodox interpretations, however, are linked to free jazz experimentation with Monk's musical language. It is worth speculating that Rouse's orthodoxy and Lacy's heterodoxy represent the beginning of these two viewpoints on Monk's music. It is apparent that Rouse and Lacy played important roles in defining

these two aspects of Monk's legacy. Because the Monkian aesthetic is central to both saxophonists work, we have instances of a general avant-gardism in jazz, and one that demonstrates a change in the notion of avant-garde.

The Avant-Garde

Due to its common use in jazz discourse, I differentiate the "jazz avant-garde" from the "avant-garde in jazz." The former relates to a style synonymous with "free jazz of the 1960s" and I use these terms somewhat interchangeably. I see free jazz as a style and musical practice defined by the use of expressive devices such as dynamic variation and extended instrumental techniques, a focus on group interaction, a break from traditional jazz rhythm, and at times, the employment of harmolodics.[13] The jazz avant-garde relates to the community of musicians who perform such music and are vocal about, or at least associated with, the African American freedom struggle. I use the "avant-garde in jazz" as a broader category of artistic and social action. Consider Kelley's comment that "if we simply limited our scope to avant-garde developments in jazz itself, one could easily include the work of Duke Ellington, Charlie Parker, or Thelonious Monk at particular historical junctures" (1999, 137). For this dissertation, I argue that Monk's music—in a style that predates free jazz—and his image of eccentricity reveal conditions of the avant-garde as a twentieth-century phenomenon. Monk, and Rouse by extension, demonstrate an avant-gardism in jazz despite their performances in a contrasting style to free jazz. Moreover, Lacy's interpretations of

Monk's music are instances of the avant-garde in jazz, but also part of the jazz avant-garde at a particular time in the 1960s.

"Avant-garde" thus requires a definition in order to discuss its musical attributes and social context. The literature review in appendix P covers different descriptions and theories of the term from the disciplines of music, literature, film, performance art and visual art. I suggest that there is a spectrum of the avant-garde with two extremes represented by the writing of Theodor Adorno ([1948] 1973) and Peter Bürger (1984), and a mid-point characterized by the psychological conditions of modernism primarily presented by Renato Poggioli (1968). The avant-garde and "high" modernism share similar aesthetic features in this spectrum: both are a result of the alienated artist (in states of angst and agitation) who employs artistic methods that are an antithesis of tradition or mass culture. The crux of the definition—of differentiating the avant-garde and modernism—is the concept of autonomy. Adorno's conception of the avant-garde necessitates that its artists and their works are autonomous—a separation from social influence and function.[14] Poggioli's writing does not address autonomy and is non-specific in this regard. I consider these writings to be descriptions of modernism, or a closely related "institutional avant-garde" which relies on institutions for autonomous artistic practice.

Bürger's theory concentrates on art prior to World War II and defines the avant-garde as a movement seeking to subvert autonomy. By analyzing the function of art in society, artists of the "historical avant-garde" are shown to attack the institution of art that reinforces the validity of traditional aesthetics. In a broader scope, these movements

challenged the authority of bourgeois society that determined the values held by the institution of art, as well as art's ineffectuality in the "praxis of life." Bürger explains that traditional works provide continuity between its parts and the whole. Conversely, nonorganic works of the avant-garde disrupt this continuity by dissociating its parts through methods of fragmentation, juxtaposition, allegory and montage. The works refuse to provide traditional meaning and are thus experienced as shock.

A common attribute of the avant-garde is that its audience is made explicitly aware of the work's means of construction. This is not to say that reception of all artworks does not include an understanding of its constitutive elements; rather, avant-garde works bring this understanding to the fore of their experience—an apprehending of apprehension. Different than traditional artworks that conceal their materials and techniques for aesthetic reception, works of the avant-garde insist on the judgement of their materials, techniques, and processes of creation. Reception of art becomes a primary concern for the avant-garde: audience response produces meaning for the work. In turn, the audience interprets the artist's intent and constructs an "image" of the artist with respect to their social or political surroundings.

Bürger's conditions of the avant-garde provide a basis to theorize the validity of movements outside his European focus. Avant-garde artists challenge established values of art and entertainment through their craft. Considering the conditions of urban living and the economics of a capitalist market system, alienated and marginalized artists utilize their social position to challenge social value systems. Examples in the United States include artists' alignments with American counterculture, or civil rights, black power, or

anti-war movements. Therefore, one sees the conditions of avant-gardism in cultures outside Europe as artists respond to their own traditions, institutions and social value systems.

The Avant-Garde in Jazz

Definitions of tradition, institution, and social value systems are required for a discussion of the avant-garde in jazz. Scott DeVeaux defines the jazz tradition as a narrative that has been constructed as an evolution of style from New Orleans to free jazz and jazz/rock fusion. The particulars of stylistic change were contested and negotiated through the first half of the twentieth-century; after bebop, which determined jazz to be a cultural art form, the music culminated in the mainstream of the 1950s—a body of music that consolidated jazz practice to undergo conservative development of its stylistic elements (DeVeaux 1991, 550–51).

The institution determines who and what music belongs to the tradition, what musical elements are considered “mainstream,” what music is of value, and ultimately who will be given access to record and publicly perform. This institution is generally considered the mainstream establishment, or simply the jazz establishment. Following Frank Kofsky’s writing, I define it as a network of record producers, marketing departments, critics, managers, booking agents, club owners, and concert and festival organizers who collectively determine the right to work. (Although I have excluded musicians from this list, those that uphold the values of this network could be included.) This establishment primarily consists of white Americans who hold economic control

over a population of jazz musicians that is largely African American. Many individuals of the jazz establishment contribute to, or neglect to admit, the unfair treatment of black artists for profit, the denial of opportunity for African American musicians to record and perform, or negative criticism that serves the values of the establishment over those of the performing artists.[15]

One sees a direct correlation between the jazz establishment and Bürger's definition: "[t]he concept 'art as an institution' as used here refers to the productive and distributive apparatus and also to the ideas about art that prevail at a given time and that determine the reception of works" (1984, 22). Just as Bürger's historical avant-garde turned against this distribution apparatus and the prevailing ideas about art, the avant-garde in jazz similarly challenges the mainstream establishment and their ideas about what jazz ought to be.

The values of the jazz establishment are connected to larger social concerns about race in the United States from the 1940s to the 1960s. By and large, the merits of jazz were measured by, and according to standards in Western art music; criticism was determined by a European derived system. As many of the critics and journalists came from white middle-class backgrounds, the inner workings of the establishment became swayed by their judgements. Certain judgements have influence on the establishment at the expense of limiting economic potential for African American musicians. Although I do not consider these writers to be racist, negative African American stereotypes find their way into some literature, having a potential impact on the musician's work. The

avant-garde responds to these broader social values as they influence the economic workings and political meanings of jazz.

Considering the spectrum of the avant-garde, I define its conditions for jazz in two interrelated categories of aesthetics and social critique. The aesthetic is one that disrupts traditional notions of art and entertainment by negating or contesting the values held by the mainstream establishment. The audience is confronted by the musician's explicit manipulation of the work's materials, and the techniques involved in composition and improvisation. That is, the listener has an apprehension of their response to the work's rhythm, melody, harmony, and improvisatory constituents. As a social critique, the reception of the avant-garde work is a stimulus for audiences to construct images of the performing musician that are linked to a broader social agenda. For example, these images may represent the alienated artist, the canonical figure for jazz history, or an icon of African American achievement and pride in connection to the civil rights movement. Within these constructed images, one typically finds the marginalized artist (musically, socially, and with respect to the jazz establishment) in a struggle against institutional powers that reinforce tradition and determine economic reward. In some cases, this struggle is also with systemic racism in American society. Chapter 5 argues that Monk was an avant-gardist whose image has been constructed under these archetypes. As such, Rouse is a musician who continues Monk's avant-gardism in its original musical context while Lacy extends the aesthetic into the jazz avant-garde of the 1960s.

For the avant-garde in jazz after the swing era, aesthetic means include one, or a combination of the following characteristics: 1) jarring rhythms that are typically dense,

2) harmonic ambiguity, 3) melody, improvised lines, and chord constructions, all of which are highly dissonant. Born out of the social stratum of African American youth, the music is in disagreement with jazz's role as entertainment, European derived criticism, and the economics of jazz that are governed by the jazz establishment.

A number of studies in jazz discourse have touched upon these ideas. Bebop is frequently referred to as a movement of resistance: the music reflects the angst of social life during World War II and the African American fight for equality—as Kelley writes: "Jazz was the perfect accompaniment to the new atomic age. It had become faster and more dissonant, without losing its sense of joy and humor" (2009, 106). Eric Lott states "[b]ebop [. . .] was one of the great modernisms. [. . .] And its mocking defiance made a virtue of isolation. Moreover, the social position of this modernism—distanced from both the black middle class and the white consensus—gave aesthetic self-assertion political force and value" (1988, 602). With reference to the musical characteristics of bop, its aesthetic emphasizes "art" instead of "entertainment" to subvert the hegemonic structure of the jazz industry and the Jim Crow mentality of American society.[16] Monson asserts that "[t]he modernism in the self-conception of bebop musicians partook deeply of the image of the avant-garde artist as outsider and social critic" (1995, 412).[17] Krin Gabbard finds direct links between bebop and Bürger's theory. Saxophonist Charlie Parker is seen as an avant-garde musician, and his improvisations are analyzed according to the fracture, juxtaposition, and montage of quoting music from outside jazz (Gabbard 1991).

Terminology sometimes becomes mixed when writers refer to bop as "modern music," modernism, or avant-garde.[18] Granted, modernism may be employed to distance

musicians from the jazz avant-garde, both as a style and its connection to black rights of the 1960s. Furthermore, by considering bop as an expression of modernism accounts for bop musicians who find aesthetic continuity with the mainstream. A common term for African American bebop is "Afro-modernism." Guthrie Ramsey borrows the concept from Houston A. Baker's *Modernism and the Harlem Renaissance* (1987). Applying it to "race music" in general, the concept

> is connected to the new urbanity of African American communities, the heady momentum of sociopolitical progress during the first half of the twentieth century, and the changing sense of what constituted African American culture (and even American culture generally speaking) at the post[-World War II] moment. The term helps us understand race musics appearing at this time as historically specific social discourses. This social energy circulating then shaped the formal procedures of race music and helped give it meaning and coherence for its audiences. (G. Ramsey 2003, 28)

Afro-modernism thus enables a contextual narrative that expresses an experience of the music rooted in African American culture.[19]

Monk may display elements of Afro-modernism (Solis 2008, 31, 49). However, the music and his image as an eccentric are also closely related to the avant-garde in jazz. Furthermore, "avant-garde" lends itself to understanding Lacy's relationship to the music as a Jewish born and African American influenced musician. In chapter 6 I discuss Lacy's interpretations of Monk's music as an instance of "Afrological" music making as to not neglect the music's inherent African American identity.[20]

As mentioned earlier, "avant-garde" also signifies the particular free jazz style of the 1960s for many observers of jazz culture. I am not opposed to the jazz avant-garde—a discursive construction in jazz historiography—being an instance of avant-gardism; it is possibly the most socially confrontational of avant-garde movements in jazz. However,

Salim Washington identifies the problem of isolating free jazz of the 1960s as *the* avant-garde:[21] "important emphases tend to be lost or misrepresented [when] severing the avant-garde character from the mainstream of the music. Rather than explain avant-garde aesthetics as a primary *principle* of the music, jazz writers and critics have often chosen to isolate the avant-garde as a *style* practiced by a fringe element of the jazz community" (2004, 27, emphasis in original). Writing about free jazz of the Art Ensemble of Chicago, he continues:

> When the importance of this avant-garde aesthetic that converses with the ancestors is minimized within the historical account, it is easy to lose sight of the social force toward which black music normally aspires. By interpreting the innovations of emerging jazz artists as primarily a revolt against constricting forms and hackneyed expressions, critics and historians deemphasize the extent to which the work of these artists engages in an ideological battle against the political status quo. (Ibid., 29)

Therefore, one may consider avant-garde expression as a matter of *aesthetics* and how they relate to the political climate of the time. The Monkian aesthetic in this dissertation thus lends itself to interpreting the music as it crosses stylistic categories of post-bop (as performed by Monk and Rouse) and free jazz (as performed by Lacy).

Analyzing the aesthetic in these different styles does not suggest an evolution of style, however. This dissertation does not enter the evolution/revolution debate, and I do not claim that retained qualities of the Monkian aesthetic suggest one or the other. Rather, the analyses demonstrate an avant-gardism retained through stylistic change. As presented in chapter 5 and 6, the styles of avant-garde jazz performed by Monk, Rouse and Lacy are in direct relation to their culture.

Critical reception is an important source for chapters 5 and 6. Avant-garde art cannot be said to exist in autonomous isolation. Its very nature is to provoke response, and that response and awareness are important factors for avant-garde art. That is, the avant-gardism of Monk, Rouse and Lacy is both a product of their performances and their reception.

Four ideas inform the discussion of Monk, Rouse and Lacy's avant-gardism: the primacy of gesture, Monk's "spectacle," human agency, and community. At the site of cultural negotiation, the gesture is a performative act that attacks the centre of social norms from the margin.[22] Monk's avant-garde gestures are described in chapter 5 as an eccentric spectacle of nonconformity.[23]

The gesture is also linked to Monson's method of analyzing the connection between human agency and community. For the former, she states that "actors or groups of agents consciously or unconsciously [partake in] overlapping cultural discourses while negotiating their social statuses and positions (all conditioned, or course, by the restraints of hegemony)" (1996, 210–11). I also adopt Monson's description of the jazz community as one not based on geography, race, class, or gender, but how social categories "intersect *within* the activity of jazz performance and recording" (ibid., 13–14, emphasis in original). Drawing her definition from sociologist Anthony Giddens, Monson explains:

> social groups are constituted and reproduced by the recurrent actions of individual agents, whose activities have both intended and unintended consequences. Viewed as a dynamic system through time, Giddens argues, the day-to-day activities of group members express the norms, values, and expectations of a collectivity that extend beyond any one individual. The focus of cultural and social inquiry becomes the question of how the actions of social agents constitute, reproduce, and transform the social entity in question. (Ibid., 13–14)[24]

In chapters 5 and 6 I discuss Monk, Rouse and Lacy's conscious or unconscious performative actions with relation to their communities (as well as the jazz mainstream) to investigate topics of race, masculinity, politics, and economics when the terms of avant-gardism in jazz were changing in the 1960s.

The final chapter concludes with a discussion of Rouse and Lacy with reference to Monk's legacy in the 1980s. Solis's dissertation (2001), later published as a book (2008), is a study about how Monk's music is played today, and how he and his music have become canonized. Using the dichotomy of "orthodox" and "heterodox" interpretations, Solis demonstrates that musicians typically play Monk's music according to "how it was played" (i.e., orthodox interpretations), or as vehicles for musical freedom (i.e., heterodox interpretations). Considering Rouse's orthodoxy and Lacy's heterodoxy, both saxophonists demonstrate the Monkian aesthetic in different manifestations of the avant-garde in jazz.

Notes

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[1] *Oxford English Dictionary* (1989, 2d ed.), *OED Online*, s.v. "unique," accessed September 12, 2008, http://dictionary.oed.com.ezproxy.library.yorku.ca.
[2] This is similar to Monson's book on musical interaction that explores "the relationships among the aesthetics of social interaction, musical interaction, and cultural sensibility" (1996, 8).
[3] *New Oxford American Dictionary* (2011, 3d ed.), *Oxford Reference Online*, s.v. "aesthetic," accessed September 18, 2013, http://www.oxfordreference.com.ezproxy.library.yorku.ca.
[4] Johnson cites this defintion as taken from the artice in *The New Grove Dictionary of Music*. His citation (1994, 772n19) is: Stanley, Sadie, ed. *The New Grove Dictionary of Music and Musicians* (London: Macmillan, 1980), s.v. "Style," by R. J. Pascall.
[5] Solis's five principal themes of his analysis are: "Monk and time; the relationship of Monk's music to other African American musical styles through the importance of riff-based melodic unity; the pairing of linear, developmental thinking with cyclical, repetitive practices in Monk's improvisation; the idea that Monk's music in toto represents its own 'world'; and, finally, the place of humor in Monk's approach to jazz" (2008, 14). Although these themes are different than the elements of the Monkian aesthetic presented in chapter 1 of this dissertation, there is a significant overlap of ideas between them. Chapter 1 may be seen as a compliment to Solis's original ethnographic research.
[6] For examples, see Kelley (1999) and Solis (2001; 2008).
[7] I identify the "post-bop" style as a small-combo performance practice with significant improvisatory freedom within the ensemble. This is compared to the bop style in which the musicians generally perform within the constraints of their designated roles.
[8] Solis writes, "knowing Monk (or knowing about Monk) as an individual person with a biography—that is, a life story—is a prerequisite for many jazz musicians and listeners to knowing his music" (2008, 14). This statement also applies to Rouse and Lacy.
[9] The books by Gourse and Kelley are the most thoroughly researched biographies of Monk, which is evidenced by their numerous citations of published resources and personally conducted interviews. Peter Keepnews, the son of Monk's Riverside producer Orrin Keepnews, was once working on a biography (P. Keepnews 1988, 6), but it has not been published as of 2013.
[10] Kelley's work can be compared to the biographies by Gourse (1997), Laurent de Wilde ([1996] 1997) and Thomas Fitterling (1997). I concur with David Baise who reviews the latter three: De Wilde's narrative includes "interesting points and quotations (e.g., Steve Lacy, Johnny Griffin) throughout, but these are unattributed and hard to trace" (Baise [1999] 2001, 316). Fitterling's text is similarly devoid of citation; its short biography is followed by a description of Monk's music and an annotated discography. Valuable to this dissertation is Steve Lacy's forward that describes his first-hand learning experience from Monk (Lacy 1997). Gourse's book extends the scholarship on Monk by including interviews with his family and associates, and poses questions that attend to his personal

being as an eccentric artist. The focus is to explain his personal triumphs and downfalls, for instance his survival in the face of unfavourable criticism (Baise [1999] 2001, 317) or inferences on his medical conditions by psychologists (Gourse 1997). Gourse's text was an important source for this dissertation when my research began; the biography in appendix A is written according to documented clarifications by Kelley (2009) and primary sources that describe the main themes of Monk's career.

[11] This dissertation is not an analysis of Monk's playing. The work presented by critics and scholars in chapter 1 is a springboard to take their findings a step further in the analysis of the music by Rouse and Lacy. In chapter 1, I do not reproduce notated examples from the cited works. The interested reader is encouraged to consult the citations for their detailed analyses.

[12] I use the term "new jazz studies" as reported by Mark Tucker (1998) in his review of two collections of essays edited by Krin Gabbard (1995a, 1995b). The term is adapted from "new musicology," which is described as methodological shifts in the study of music that occurred ca. 1990 when more researchers began incorporating poststructuralist literary criticism and philosophy, feminist and queer theory, anthropology, psychoanalysis, and cultural studies into their work (M. Tucker 1998, 131; Kerman 1991). Other authors that attend to this shift in jazz studies include Ake (2002, 1–2), Monson (1996, 2–4), Sherrie Tucker (2010), and Whyton (2004, 3). The essays in *Uptown Conversation: The New Jazz Studies* follow this trend. Based on the Jazz Study Group held at Columbia University, the essays pursue "new methods of studying the history of jazz, its social contexts and broad cultural ramifications" (O'Meally et al., 2004, 3). Specifically using Monk as a prompt for their critical analyses, the authors of the volume question conventional definitions and histories in jazz studies; beyond the conventions of describing and analyzing the music, these authors ask "what more is there to explore?" and assert that "jazz is not only a music to define, it is a *culture*" (ibid., 1–2, emphasis in original).

[13] "Harmolodics" is a concept developed by saxophonist Ornette Coleman where melody and rhythm are given equal importance to harmony as source material for improvisation. (This is distinguished from the traditional approach of musicians concentrating on the harmony or "running the changes.") I describe this concept in more detail in chapter 4.

[14] Autonomy is defined as: "(in Kantian moral philosophy) the capacity of an agent to act in accordance with objective morality rather than under the influence of desires." *Oxford Dictionary of English* (2010, 3d ed.), *Oxford Reference Online*, s.v. "autonomy," accessed September 23, 2013, http://www.oxfordreference.com.ezproxy.library.yorku.ca.

[15] See Kofsky (1970; 1998a; 1998b). It is worth noting that Kofsky's Marxist approach to the history of jazz, specifically free jazz of the 1960s, has congruence with James Harding's belief that the avant-garde is closely associated with Marxism (Harding [2006] 2009, 31–33). Marxism, however, is not a recurring topic on the avant-garde and is excluded from this dissertation.

[16] Monson (1995, 407, 408; 1996, 201, 202); Solis (2001, 183).

[17] Also see Anderson (2007, 10–11), Baraka ([1963] 2002, 181–202; 1967, passim), Gendron (1995; 2002, 121–42), Lewis (1996, 92, 94–95), Mailer ([1957] 1999), Eric Porter (2002, 54–61, 61–100 passim), and Radano (1993, 17–20).
[18] For example, see Harvey (1991).
[19] For examples of how scholars use the term Afro-modernism in jazz, see Magee (2007), Monson (2007, 71–73, 88), and Solis (2001, 23; 2008, 31, 49).
[20] I discuss the concept of "Afrological" systems of musicality in chapter 6. The concept is theorized by George Lewis (1996, 93).
[21] Washington's article (2004) focuses on Charles Mingus. His career began long before the advent of free jazz, yet he shared similar aesthetic trajectories to the movement and had strong political convictions about the fight for African American equality.
[22] Harding and Rouse ([2006] 2009, 1–2). See the discussion in appendix P.
[23] This is borrowed from Ronald Radano's description of saxophonist Anthony Braxton. I find considerable similarities between Braxton and Monk in how they portrayed themselves as individuals, and how various audiences (including the critical establishment) constructed images of nonconformity that were regulated by race and perceptions of eccentricity. See Radano (1993; 1995).
[24] Monson cites Giddens (1984, 281–88). Her citation (1996, 239) is: Giddens, Anthony. 1984. *The Constitution of Society: Outline of the Theory of Structuration*. Cambridge: Polity.

Section 1: Defining the Monkian Aesthetic

Chapter 1: The Monkian Aesthetic

> His songs ripple with dissonances and rhythms that often give one the sensation of missing the bottom step in the dark. (Whitney Balliett [1959] 1963, 98)

The critiques and analyses of Monk's work to date largely discuss the music's idiosyncratic traits, and ascribe the words "Monkish" or "Monkian" as descriptors to signify Monk's unique sound. The common use of these descriptors, and how they are used suggests that the "Monkish" not only refers to Monk's personal voice, but as a basis for the Monkian aesthetic contained in his compositions, and interpretations of his music by others. A discussion of the early developments of Monk's aesthetic begins this chapter, which is followed by a presentation of the seven common themes in the literature about his music: 1) unorthodox jazz harmony, 2) rhythmic displacement, 3) principles of economy, 4) an emphasis on thematic repetition during improvisation, 5) Monk's technique and experimentation at the piano, 6) his "hard tunes" (compositions that are difficult to perform), and 7) compositional strategies with regards to how his musical conception works as a unified whole. Included in the last section is a discussion of Monk in terms of the concepts of composition and improvisation, and how the themes listed above constitute the elements of the Monkian aesthetic.

Critiques and analyses of Monk's music are the research data for this literature review. There is a plethora of writing on Monk's aesthetic means; rather than adding to that volume of work, this chapter consolidates the writing by others into categories that

best describe the connection between his available recordings and his performance practice—the seven "themes" mentioned above.

Robin Kelley's description of the piece "Thelonious"[1] serves as an example to introduce many of the elements discussed in this chapter:

> A theme built primarily on a repeating three-note phrase, Monk arranges the horns to play descending chord changes while he bangs out the melody. Monk is the only soloist, and what he plays introduces the listener to most of the devices that would characterize his improvisations: long rests, whole-tone figures, restatements of the melody, repeating octaves and triplets, and huge intervallic leaps. He also inserts a section of stride piano full of dissonant clusters. (2009, 128)[2]

Monk's simple (economic) repeated phrases, silence, whole-tone ideas, use of the melody, and dissonant clusters are among his prominent aesthetic means. In the discussion that follows, one will notice a span between general descriptions and music terminology in the critic's writing that explain the parameters of his music. Theories about bebop and twentieth-century music are used in this chapter to relate the analyses and criticisms of the music within the categories of the Monkian aesthetic.

Early Developments of the Monkian Aesthetic

Monk shaped his sound at a young age. According to his brother Thomas, Monk had changed his playing style while performing with the Evangelist group as a teenager. (P. Keepnews [1989] 2001, 9; see appendix A). It is speculated that while he was on tour, he performed with Count Basie in Kansas, who influenced Monk's minimalism at the piano (Kelley 2009, 47). Connections between Monk and the tradition of Harlem Stride pianists of the 1930s are numerous: Basie, James P. Johnson, Willie "The Lion" Smith

and Duke Ellington are repeatedly cited as influences to his stride playing, tone clusters, minimalism, and improvisations based on the melody.[3]

For Ian Carr, Monk's use of melodic paraphrase as a solo technique (as I discuss later) is related to the jazz tradition: "he was in many ways more rooted in tradition than his contemporaries. This predilection for improvising on the melody is fundamental to his whole conception of jazz" (1967, 4). However, Monk was departing from this tradition to develop his own artistic voice: "Recordings of late-night jam sessions at that legendary Harlem nightclub [Minton's][4] reveal that Monk was already using many of the off-center accents and idiosyncratic voicings that would eventually be celebrated as profoundly influential and distinctively Monkian" (P. Keepnews [1989] 2001, 5).[5] Kelley notes that Monk's sound solidified by the late 1940s. One example is his recording of "Humph":[6] "Monk's solo was replete with stock phrases he had been playing since Minton's and that he would continue to employ for the rest of his career. Like little countermelodies he incorporated at certain points in his improvisation, he had no problem with repeating himself" (Kelley 2009, 128).[7] While experimenting with his influences, Monk developed an aesthetic that did not conform to the styles of his predecessors.

Unorthodox Jazz Harmony

The term "harmony" is difficult to apply to Monk's music. For the purposes of this dissertation, this term does not signify typical jazz chord construction—i.e., chords built from a seventh chord with harmonic extensions (9, 11, 13, and their alterations). Monk's harmonies may not be considered unorthodox compared to Western art music

after the late nineteenth century. However, his harmonic vocabulary was unconventional within the boundary of jazz from the 1940s to the 1950s. Journalist's commentaries frequently refer to Monk's harmony as unique, while scholars label those harmonic cells that do not correspond to conventional chord structure. The sections below describe Monk's harmony in terms of: *klangfarben* ("sound colour"), emphasized dissonance, minimal chord construction, tone clusters, a purposeful "wrongness" or "mistakes" during performance, and counterpoint. As such, "harmony" is a hypernym to cover its concepts of chords, chord voicings, dissonance, note relationships, tonality, as well as its relation to scales and counterpoint.[8]

***Klangfarben* and the Tritone**

Laila Kteily-O'Sullivan analyzes Monk's harmonic vocabulary in terms of *klangfarben*, or its English translation, "sound colour," where "[s]cale choices, chord voicings, unorthodox playing techniques, and composition based on the hues of sounds rather than solely on tonal or atonal organization make up the hierarchy of this technique" (1990, 11). Focusing on intervallic content rather than chord construction, harmonies based on the blues scale and symmetrical scales (whole-tone, chromatic, diminished, and synthetic scales) become central to the harmonic motion in Monk's pieces (ibid., 12, 16).[9] Scott DeVeaux also presents Monk's use of whole-tone scales and their attendant augmented chords as alterations to seventh chords in his analysis of the 1971 recording of "Nice Work If You Can Get It" [10] (1999, 175, 176) (e.g., a G7#5 of G-B-D#-F is an alteration to a G7 chord of G-B-D-F).[11] Monk's use of the whole-tone scale is referenced in many critiques and analyses,[12] and can be heard in the majority of his recordings. The

harmonic ambiguity of the scale—with its correlated symmetrical tritones and non-decisive resolution to a tonal centre—is therefore considered an essential element of his aesthetic in this study.

Monk's music is saturated with tritones, whether his ideas belong to the whole-tone scale, or to other scales, chords, or motives. DeVeaux comments, "every time [Monk] gets to a dominant chord, it seems that he cannot resist the temptation to insert a tritone—usually deep in the left-hand voicing, where it fundamentally alters the sound of the chord" (ibid., 176). DeVeaux's argument may sound obvious, since a dominant chord in jazz usually contains the tritone; however, Monk's use of the tritone in the low register is noteworthy because it amplifies a dissonant sonority of the chord. More generally, DeVeaux explains that "Monk's harmonic language was centred around the tritone: it showed up in his fondness to augmented chords, whole-tone scales, and the infamous 'flatted fifth,'" (1997, 224) where the "flatted fifth" refers to the minor 7♭5 chord (also known as a half-diminished chord).

Monk's affinity for the tritone is prevalent in his frequent use of tritone substitutions (DeVeaux 1999, 171, 179; Straka 1999, 91). Seventh chords with common tritones (e.g., G7 and D♭7, or other augmented triads or half-diminished chords) are substituted for each other—many times, Monk uses these substitutions to create harmonic ambiguity. DeVeaux's analysis of Monk's "unorthodox harmonies" in a 1940s recording of "Sweet Lorraine" is one example: "[t]he melody is faithfully stated, but the harmony veers off in unexpected directions—sometimes by the tritone substitutions that eventually

became standard practice [. . .], sometimes by idiosyncratic chromatic interpolations" (1997, 224).

Emphasized Dissonance and Minimal Chord Construction

Dissonance is emphasized in Monk's music. Analyzing his work with the harmony of "Nice Work If You Can Get It" (*Thelonious Monk: Something in Blue* [Monk 1972]), DeVeaux finds that Monk will voice the chords in order to amplify dissonant intervals. One example is the first inversion of a major 7 chord, which draws attention to the minor second interval between the seventh and the root by the manner in which it is voiced (1999, 176). David Feurzeig demonstrates that dissonance is sometimes reinforced by playing different chords over a pedal tone, or by repetition of the harmonic clashes (1997, 65, 74). In an analysis of video footage, Benjamin Givan similarly reports that Monk lifts "some notes of a chord while sustaining others," and employs "various innovative approaches to pedaling" to produce different sonorities (2009, 438–39). It has also been noted that Monk's percussive attack plays an important role in reinforcing the dissonance in his music (Farrell [1964] 2001, 152; Williams [1970] 1983, 162).

Monk's dissonance is sometimes a result of minimal chord constructions that expose the sonority. Peter Wilson argues that Monk's open chord constructions intensify the dissonance (1987, 44–48). John Mehegan writes of the "quasi-atonal" chords that depend "almost solely upon a succession of oblique and strident *vertical* structures" (1963, 9–10, emphasis in original). Similarly, Kelley says,

> Monk's radical idea was not to add more notes to chords but rather take them away, creating much more dissonance. He'd often play two-note chords—for instance taking the third and the fifth out of a major seventh chord and playing

> just the root and major seventh—and wham, there's Monk's sound. It's the right chord, yet he makes it sound like a completely bizarre choice. (Garney 2010)[13]

One of Monk's harmonic methods was voicing chords by omission, a removal of consonant content to lay bare a striking dissonance.[14]

"Outrageous Clusters"

Martin Williams states, "Monkian alchemy somehow distills granite from sugar water" ([1970] 1983, 162). Kteily-O'Sullivan uses this metaphor to classify Monk's harmony as "chord distillation," described as "a bare, selective voicing process in which one note or several, usually voiced in a dissonant manner, can represent an entire sonority succinctly" (1990, 27). The basis of this definition is that "chord distillation" is a process of choosing note combinations to achieve a desired sound colour rather than a functional harmony. Jef Langford also comments on Monk's music being based on sonority:

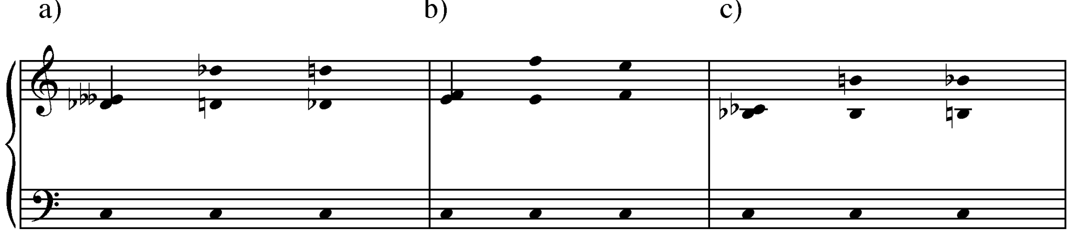
> There has always been this sound, a mordant sonority behind the creative intelligence of what Monk actually plays. [. . .] Monk has truly done more than anyone in finding the notes that actually produce Sound [*sic*], and this concern has been since early days, with overall shapes and ordered design, viz. his compositions. (1970, 4)

Monk's unorthodox harmonizations are also a result of dissonant sonorities that sound disconnected from the harmony—many analysts refer to these harmonic cells as "crushed notes" or "dissonant clusters" (e.g., Feurzeig 1997, 63; Solis 2001, 47). Dissonant intervals such as major and minor seconds, minor ninths, and tritones are heard consistently in his music.[15] Sometimes, Monk would play the piano "with his arms and elbows as well as his hands. The sound or 'tone-cluster' he wants to get at times can only be created this way" (Morgenstern 1960a, 3). Monk would also make use of musical

anomalies in performance. For instance, Kelley notes that Monk made deliberate use of the out-of-tune notes on the piano when recording for Prestige:[16] "Monk is all over the keyboard, making surprising harmonic choices and deliberately seeking out the 'bad' notes for comic effect" (2009, 161).

Koch speaks of Monk's use of the ♭3 and ♮3 together to create "bent notes" (1983, 69)[17] and his liking of the ♭5 with the ♮5, to which Koch states: "If one plays these pieces without the dissonance, the Monkian flavor is lost" (ibid., 75). James Kurzdorfer's analysis of Monk's "outrageous clusters" considers how his semitone chord voicings were different from those found in bop. Using (an amended) pitch class theory,[18] he demonstrates that nine of the twelve possible semitone dyadic cells ([01], [12], etc.) are consonant in post-1940 tonal jazz; cells of [12] (e.g., C# and D over a root of C), [45] (e.g., E and F over a root of C), and [TE] (e.g., B♭ and B over a root of C), are considered dissonant (1996, 182–84).[19] Monk is shown to exploit the use of the [12], [45] and [TE] cells.[20] Different voicings of these cells are shown in figure 1 with a root of C (pitch class number [0]).[21]

Figure 1: Monk's typical dissonant pitch class cells of a) [012], b) [045], and c) [TE0]



Kurzdorfer explains that the [12] also occurs as [012]; the [45], at times, is extended to clusters of [4567];[22] and the [TE] is found in cells of [TE0], [TE01] and [89TE01] (ibid., 187–96).[23] Although these dissonant cells do not attend to all of Monk's harmonic clusters, they are evidence of specific dissonances rarely heard in bop, and display a step in advancing harmonic conceptions in jazz.

Wrong Notes and Mistakes

Dissonance plays such a prominent role in Monk's music that writers are compelled to interpret its significance. One article reports (in a positive sense) that "his chords [sound] as if they were compounded of wrong notes" (Balliett [1959] 1963, 97), while Feurzeig explains these sounds as a purposeful "wrongness" (1997, 63). DeVeaux considers that "[Monk] might simply have composed in a non-triadic idiom" (1999, 175). In 1959, André Hodeir comments on the influence of Monk's harmonic language by writing that he is "accused of establishing [. . .] a system of extreme dissonances, which is likely to invade jazz as a whole" ([1962] 2001, 129). Straddling the line between dissonance and atonality, Monk's harmony is said to have influenced the jazz avant-garde: "along with a few other pioneers [. . . he] was responsible for loosening the grip of tonality and thus paving the way for the later free jazz experiments of Ornette Coleman and others" (Blake [1982] 2001, 253).[24]

Musicians and analysts frequently refer to Monk's dissonant sonorities as "mistakes." Lacy commented that "[Monk] loved mistakes. He was capable of making mistakes deliberately after someone who had messed up in the middle of his pieces. He played with the mistakes of others as well as his own. He loved that" (Kirili [1996] 2006,

161–62). In Feurzeig's analysis of the "trickster aesthetic," Monk is shown to be influenced by James P. Johnson in an exploration of musical mistakes (1997). Monk's "mistakes," used in the process of improvisation, are considered desired characteristics; that is, they are heard as inflections, modifiers, and manipulations of tone quality (ibid., 3, 28). Acceptable accidents are seen as deliberate attempts to produce conflicting harmonies that challenge "the listener's perceptual norms" (ibid., 30). Fundamentally, "discontinuity, harmonic conflict, splattered notes, a looping unevenness—these are essential features of Monk's music, not tolerable flaws" (ibid., 61).

One analysis of Monk's "mistakes" encourages us to think about plans, takes and "*mis-takes*" as categories for interpreting contingency, surprise and repair (Klemp et al. 2008, 4). In general terms, plans "do not require fast action in reflexively shifting environments" (ibid., 8). A take is defined as reactive and emergent, whereas *mis-takes* provide "an opportunity to save, improvise and learn" (ibid., 9). Furthermore, "[a] wrong note is errant only to what has already happened, and it can be made less errant by rearranging what happens next. A *mis-take* is in this way a spontaneous move in a system of moves in search of connections that carry forward" (ibid., 10). Comparing three transcribed solos of "In Walked Bud," Monk's improvisatory plan is shown to have a marked deviation when he plays a dissonant B♭ instead of an A♭ in the study's respective third example (ibid., 14).[25] An analysis of what came before the *mis-take*, its occurrence, and reshaping of the improvisatory plan (in contrast to the two other recordings) demonstrates how Monk used the "wrong note" as a preparation for more dissonant material in connection to the melody. In turn, a reconstruction of the improvisational plan

delivers “a seemingly intentional aspect of the dissonant pattern” (ibid., 14–15). Monk’s process of working with mistakes, in this instance, is shown to make use of a (possible) error to develop an improvisation based on a dissonance contingent to its occurrence. “Mistakes,” in this analysis, are not only considered to be discrete events, but a seed of unexpected performance to be renovated in further expressions of dissonance.[26]

Counterpoint

Combined with his harmonic clusters, Monk also plays counterpoint with the melody, or to accompany the soloist. When Monk accompanies a soloist, a contrapuntal connection between chords is mentioned by Blake ([1982] 2001, 249), Carr (1967, 5) and Crouch (1982, 61), and is referred to as “counterpoint” by Kelley (1999, 150), Kteily-O’Sullivan (1990, 24) and Williams (1975, 30; [1970] 1983, 158). The pianist Michael Weiss comments on Monk’s comping in an interview from 1999: “Monk’s comping to me seems more about a co-existence of two almost independent solos, but one being more dominant and the other being ‘subdominant,’” where Monk’s playing “has its own independence, and it’s really more like a counter melody or a counter line coexisting with the soloist rather than purely supporting the soloist” (Solis 2001, 58–59). Considering the solo (or principal melody) and accompaniment as separate ideas that are heard as a unity, Hodeir writes: “while seeking to *free himself from the soloist*, Monk’s ultimate goal is to exalt him anew by enveloping his melody with an aura of polyphony” ([1962] 2001, 128, emphasis in original). DeVeaux opts for the term “heterophony” rather than “polyphony” as his example demonstrates that the accompaniment is a variation on the melody (1999, 174).[27] By Stewart’s account, Monk had an *mbira* approach to the keyboard: he may have

conceived of his two hands as independent instruments, which would account for his "polychordal playing" (1985, 183–84). Setting aside differences in terminology, it is clear that Monk uses contrapuntal techniques with his harmonies. In conjunction with contrapuntal techniques, the use of symmetrical and ambiguous scales, chord substitutions, and dissonant harmonic cells contribute to Monk's unorthodox harmonic sensibility.

Rhythmic Displacement

Williams writes the most direct statement concerning the rhythm in Monk's music: "the core of Monk's style is a rhythmic virtuosity" ([1970] 1983, 162). His unexpected rhythms carve out a sound space in time—critics often comment on these jagged rhythms referring to his "veering and gyring and utterly unique sense of rhythm" (Santoro [1994] 2001, 242), "pungent harmonies and startling rhythms" (Sales [1960] 2001, 105) and "stop-and-go rhythmic structures" (Balliett [1982] 2001, 228).[28] In fact, what critics hear is that *rhythm* is a defining characteristic of the music, being as significant as the pitches in the melody or harmony. One observation from the early 1960s states that Monk, along with a handful of others,

> changed the whole design of improvisation by experimenting with such diverse approaches as highly elastic chordal frameworks upon which to improvise; themes, rather than chords, as improvisatory bases; *or various rhythmic possibilities that, almost for the first time, makes rhythm as important as melody and harmony*. (Balliett [1959] 1963, 10, emphasis mine)

Saxophonist Paul Jeffrey implies that rhythm was the most important concern when he played with Monk. Jeffrey recalls Monk's instructions from their first

performance together: “Just play the rhythm that I play but any note’s good” (Gourse 1997, 252). Jeffrey also divulges that after learning the rhythm to “Epistrophy,” he continually played incorrect melody notes for several months (ibid., 255). It can be inferred from this that the rhythmic component of Monk’s pieces was as important as the melody. Furthermore, if Jeffrey were to play a “wrong” note, the resulting harmony would likely fit into Monk’s harmonic conception of “purposeful wrongness” as discussed above. Since rhythm plays a fundamental role in Monk’s music, this section discusses the concept of “rhythmic displacement,” followed by a review of the literature that describe and analyze Monk’s rhythmic ideas.

Defining “Rhythmic Displacement”

Analysts and critics state that many of Monk’s ideas undergo a purposeful rhythmic displacement from the idealized rhythmic grid of the metre. The music is typically played over traditional forms and metre—most of his pieces are written in a twelve-bar blues or thirty-two-bar American songbook form (Gourse 1997, 66), each with a prescribed metre (e.g., $\frac{4}{4}$).[29] The form and metre each provide a framework of musical norms and expectations in the jazz idiom.

The thirty-two-bar American songbook form and the twelve-bar blues form provide a framework of musical norms in terms of harmonic movement, and thus a point of reference for the harmonic rhythm to be displaced. For example, two pieces analyzed in this dissertation, “Evidence” and “Rhythm-A-Ning” are both thirty-two-bar, AABA song-form pieces. The A sections are eight measures long, begin on the tonic, and end on the tonic or a turnaround into the next section. The B sections are also eight measures

long, begin as a departure from the tonic, and end on the dominant to resolve back to the tonic in the next A section. The expectation created within this framework is that certain harmonies (e.g., the tonic and dominant chords), cadences (e.g., V–I), and turnarounds (e.g., II–V) are heard in designated measures within the time cycle of the form. The twelve-bar blues is a comparable example in that expected chords, cadences and turnarounds exist on designated beats and measures in the cyclical form. Displacement of harmonic rhythm may be produced by anticipating or delaying the expected harmonies. With reference to this displacement, Hodeir states that the rhythms produce asymmetrical structures buried within the symmetrical song form; he comments that "Monk made no attempt to escape from the closed circle of the twelve bar chorus; he simply reorganized it along less baldly 'rational' lines" ([1962] 2001, 130).[30]

The metre (e.g., $\frac{4}{4}$) provides another framework of traditional norms and expectations. In bop pieces in $\frac{4}{4}$ metre, for example, the beats are traditionally stressed equally, or, in some cases, the backbeat (beats two and four of each measure) is emphasized. Monk tends towards beats one and three while the musicians in the rhythm section are inclined to emphasize the backbeat, thus providing a rhythmic tension between the two metric conceptions (Kteily-O'Sullivan 1990, 8). When Monk changes the emphasis to the backbeat, or the rhythm section adjusts to accent beats one and three, a sense of displacement from the preconceived metre is created.[31] When this process transpires, the rhythms "reach a point of complexity that challenges the listener's ability to hold on to the meter," and in turn, the "meter is overturned in the face of confusing and contradictory signals" (Feurzeig 1997, 2).

Some writers refer to the rhythmic displacement as "changing" or "shifting" metres,[32] although in most cases, the metre does not *actually* change, but is *heard* as displaced. Mark Haywood states that a $\frac{4}{4}$ pulse is evident throughout Monk's pieces, although his melodies can be heard as metric segments (e.g., $\frac{3}{4}$, $\frac{5}{4}$, $\frac{7}{8}$) that are superimposed on the original metre ([1994–95] 1996, 25). Though Haywood's results are somewhat problematic since they imply that the musicians were thinking in different metres, his premise underscores the idea that a $\frac{4}{4}$ metre provides an underlying foundation for which the melody or harmony may sound rhythmically displaced.[33] I believe that the metre does not change, but the rhythm creates a sense of tension, thus forcing the listener to adjust his or her *perception* of the metre with reference to an expected beat emphasis.

Rhythmic Displacement in Monk's Music

In analytical terms, Kteily-O'Sullivan summarizes that Monk's rhythmic displacement is achieved by 1) anticipated or delayed thematic entrance, 2) note augmentation or diminution, and 3) the use of accents or repetition (1990, 45, 46). According to the first method of anticipated or delayed thematic entrance, Mark Tucker's analysis of Monk's rendition of "Black and Tan Fantasy" (*Thelonious Monk Plays Duke Ellington* [Monk 2007b]) demonstrates the use of anticipated entry. Although Tucker labels his example simply as "rhythmic displacement," a critical eye would see that it is accomplished by anticipation of the melody and harmony (1999, 237). Williams has taken note of Monk's rhythmic displacement through "shaded delays, and anticipations"

([1970] 1983, 162), while Feurzeig analyzes the cadences in "'Round Midnight,"[34] describing the anticipated entry as an "abrupt harmonic stasis" (1997, 66, 67).

Monk's second method of achieving rhythmic displacement is through augmentation or diminution of note values. As stated earlier, Monk does not change the metre in his pieces, which means that anticipated or delayed thematic entrances necessitate lengthening or shortening the note or rest values in order to maintain a static number of beats in a section of the form (i.e., a multiple of four). Kteily-O'Sullivan analyzes the melody of the Monk original "Let's Call This" (*Thelonious Monk Quartet Plus Two at the Blackhawk* [Monk 1987d]) and observes that the rhythmic displacement results from thematic augmentation of note values and diminution of rest values (1990, 47–49). Gabriel Solis also elaborates on how this technique is used: the melody of "I Mean You" presents a riff that is repeated, then syncopated by elongating the riff's first note, thus displacing the remaining notes from their original rhythmic context (2001, 50).[35] And, Feurzeig shows how thematic augmentation is achieved by suspensions of harmony (1997, 64), that "Monkish effect of suspension" also noted by Williams ([1970] 1983, 166).

Monk's accents and repetition of motives constitute his third strategy for displacing the rhythm. Balliett writes, "[w]hen Monk plays one of his pieces, he takes a single aspect of it—a certain phrase or rhythmic pattern—and goes to work on it again to see how much pressure it can bear and still retain its fundamental qualities" (1959a, 154). This strategy involves the introduction and repetition of a motive, then "a shift that requires re-interpretation of the original material" (Solis 2001, 67). Koch makes note of

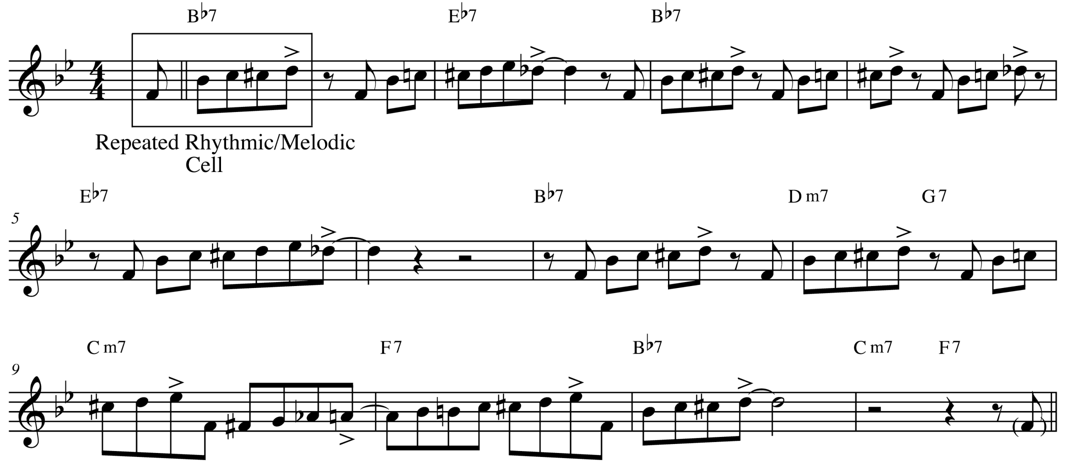
Monk’s motivic diminution, where “[he] often compacts his opening motive into a smaller space near the end of a section” (1983, 70). Blake provides an example of a three-beat motive played against the $\frac{4}{4}$ metre in “Criss Cross”[36]—the melody becomes displaced when the repeated motive crosses the bar line, thus creating a shift in the rhythm with respect to the metre ([1982] 2001, 254). Kelley explains that,

> for Monk, rhythmic displacement [. . .] was an essential element of his compositional technique. He wrote and played phrases that might extend four-and-a-half or five bars, or he would frequently play the same phrase at a different place in the rhythm. (1999, 150)

Peter Wilson analyzes the A sections of “Epistrophy,”[37] and uses the analogy of a mosaic to describe the melodic fragments as rhythmic cells—like mosaic stones, the cells retain the same shape, but are disconnected when they are displaced along the metric continuum (1987, 42–43).[38]

Treating melodic fragments as rhythmic cells allows for analysis separate from melody contour and harmonic implication. The melody of Monk’s twelve-bar blues, “Straight, No Chaser,” is frequently discussed in these terms. Williams describes the melody as having “an intriguing little rhythmic motive that, so to speak, rolls back on itself” (1992, 435–36).[39] By repeating the cells on different beats in the metre, and adding what Williams would call “Monkish nuances of accent and dynamics” ([1970] 1983, 162), this piece exhibits rhythmic displacement, which is also addressed by DeVeaux (1997, 307), Koch (1983, 76), Kteily-O’Sullivan (1990, 53), McLaughlin (1983, 86–87), and Peter Wilson (1987, 45–46). Figure 2 is a transcription of the head of “Straight, No Chaser”—the brackets in m. 1 indicate the repeated rhythmic/melodic cell.

Figure 2: Transcription of the head of "Straight, No Chaser," CD 2 track 1 from Thelonious Monk's *Live at the It Club: Complete* (1998)



The result of Monk's rhythmic displacement veils the recurring accents of the metre, and may make the metre difficult to hear for a listener. The trumpeter and record producer Don Sickler says, "[w]ith Monk there's some things, I think, where if you took out the bass and drums [. . .] it could confuse a lot of people, as to [. . .] where the time is," leading Sickler to believe "that Monk's playing relies on the rhythm section to establish solid time so that he can phrase outside of it" (Solis 2001, 32). Setting aside the argument of whether Monk *relies* on the rhythm section (e.g., many of Monk's recordings are solo performances, and are rhythmically comprehensible without the aid of a rhythm section),[40] Sickler makes a valid argument that a listener may find it difficult to hold onto the metre when the phrasing is rhythmically displaced.

In a broader metric context, these phrases may sound "outside" of the time because they are asymmetrical. Metric ambiguity can be understood in terms of asymmetry: Hodeir states that asymmetrical patterns are organized against a symmetrical

framework (e.g., form and metre),[41] and Manfred Straka claims that asymmetry and discontinuity—as opposed to traditional two-, four-, or eight-beat groupings—are defining characteristics of Monk's rhythmic conception (1999, 181). The resulting asymmetry—through the use of anticipated or delayed thematic entrance, note augmentation or diminution, and accents or repetition—provides a general description of Monk's music, and contributes to the Monkian aesthetic.

Economy

Monk's music is commonly described in terms of his economic use of thematic material and silence. The pianist and composer Fred Hersch remarks, "[Monk] doesn't use that many elements in a tune. When you really get down to it, he really makes a lot out of a little" (Solis 2001, 49). Kteily-O'Sullivan summarizes: "Monk's compositional unity and success is due largely, not to grandiose themes and intricate harmonic progressions, but to his sense of economy and his ability to make the best use of notes as well as silence" (1990, 57). Williams reinforces that "[Monk] is a master of effective pause and of meaningfully employed space, rest, and silence" ([1970] 1983, 162). As discussed in the previous section, repeated melodic fragments and carefully placed rests play a vital role in accomplishing rhythmic displacement. Much like Hodeir's comment about "disjunct phrasing and those pregnant silences" ([1962] 2001, 133), Gene Santoro writes that "Monk began to develop what would become one key aspect of his sonic signature: the jagged, floating spaces that erupt and spread between his angular phrases and crushed chords" ([1994] 2001, 243). Many references to Monk's use of silence are

more general;[42] however, critics and analysts agree that economy is a defining characteristic of Monk's compositions and improvisations—some claim that economy is the "essence" of his music (Blake [1982] 2001, 249, 260; Santoro [1994] 2001, 243).

Many of Monk's composed melodies are made up of very few melodic cells—longer themes generally consist of only one or two short motives that are repeated or varied (Straka 1999, 118). His tune "Thelonious" provides an excellent example. This piece has a thirty-two-bar, AABA song form comprised of two repeated notes (the tonic and dominant) with a few upper and lower neighbour tones as embellishments (Kteily-O'Sullivan 1990, 59–60).[43] "Straight, No Chaser" is an also example of melodic economy: the first five notes of the piece act as a melodic cell that undergoes rhythmic displacement and slight embellishment through the twelve-bar blues form (see fig. 2). Solis describes how "I Mean You"[44] exhibits the same strategy of "motivic unity and economy": a simple melodic riff is repeated and revised over different chord changes creating a call-and-response structure.[45]

Monk's solo on "Bag's Groove"—a twelve-bar blues in F major from 1954—is frequently cited as an example of his use of space and repeated rhythmic and melodic cells.[46] Blake analyzes the solo:

> In the first chorus, [Monk] introduces a simple two-note idea and plays with it for a while, finally expanding the interval of a [perfect] fourth [C to F] to an augmented fourth[47] to create a momentary dissonance with the F-sharp before resolving back to the two notes with which he started. ([1982] 2001, 254–56)

In the second chorus, Monk introduces other melodic and rhythmic fragments (which are slightly modified and repeated) before returning to the original two-note idea in the third chorus. The end of the third and the fourth chorus consist of repeated, rhythmically

displaced block chords; he returns to the rhythmic and melodic idea from the second chorus in choruses five and six. The seventh chorus is built on a repeated F coupled with its lower neighbour E creating a dissonant minor second; the repeated F also alludes to the original two-note idea stated at the beginning of the solo (ibid., 256–60). Blake does not explain the last two choruses of the solo; however, the eighth chorus contains only the tonic and dominant notes with a few embellishments (including a riff on scale degrees 6 and 7 in the last two measures), and the last chorus is a series of moving dyads according to the chord changes.[48]

A short digression is required here to advance Monk's intervallic play as one of his techniques for musical economy. In "Bag's Groove," the note C is an anchor for the notes F–F# above, which is an example of his ideas based on intervallic augmentation. Korman similarly reports of this device on "Criss Cross," where motives are characterized by simple augmentation and diminution of an interval ([1999] 2001, 105–7, 115). In subsequent chapters, this technique is shown to be of importance for the improvisatory approaches by Rouse and Lacy.

Economy is identifiable by the repetition and preservation of rhythmic and thematic cells in "Bag's Groove"—what is omitted from this description however is the immense amount of space heard between these ideas. Rest values of two or more beats are commonly employed to break up and rhythmically displace the theme. Solis explains:

> Often there is a sense in bop and post-bop improvisation that the basis of musical thinking is a melody in eighth- and sixteenth-notes, interspersed with triplets, made interesting with syncopated accents and rests. The basis of Monk's improvisation here, by contrast, is a short riff placed within silence, repeated and developed. As the choruses progress the empty spaces become smaller, but there

> remains a sense that sound intrudes on a basic silence, rather than silence being placed into a context of sound. (2001, 44–45)[49]

Williams comments that Monk's solo on "Bag's Groove" is "full of musical space and air" ([1970] 1983, 164), while Hodeir believes the silence in this improvisation indicates "that a space-time dialectic is possible in jazz, even when it is weighed down by symmetrical superstructures and their rigid, apparently ineradicable tonal foundations" ([1962] 2001, 132). Hodeir is writing about the twelve-bar blues form, and how Monk's themes are reconfigured and transformed between periods of rest. Monk's improvisation on "Bag's Groove" is a testament to the prominence of economy in his musical conception: making use of silence coupled with short melodic or rhythmic cells not only facilitates the use of rhythmic displacement, but becomes a defining characteristic of the Monkian aesthetic itself.

Form is a larger framework for Monk's employment of economy. "Blue Monk" is one example of his "sense of simplicity and economy of means" (Solis 2001, 75).[50] The blues form is based on a chord progression of I7–IV7–I7–V7–I7. In jazz, it is commonly played with chord substitutions within the form to add harmonic tension or complexity (e.g., a I–VI–II–V progression in place of the I chord at the end of the form to act as a turnaround into the next chorus) (see Berliner 1994, 532). Solis uses Paul Berliner's example (ibid.) to illustrate how Monk tends to strip down the jazz blues by only using minimal substitutions in "Blue Monk," thus simplifying the basic foundation for a riff-based melody (Solis 2001, 74–75).

Another example of Monk's economy of means can be heard in his tune "Criss Cross." The first recordings of this piece have a thirty-two-bar, AABA form, the A and B

sections having eight measures each. The B sections contain two three-bar motives, followed by a two-bar tag.[51] In the 1960s Columbia recording (*Criss Cross* [Monk 1993a]), the B section is truncated by omitting the two-bar tag, thus creating an asymmetrical structure in the middle of the tune (Blake [1982] 2001, 250; Kteily-O'Sullivan 1990, 58–59). By amending the song form, Monk is able to subvert the expectation of a symmetrical framework through an even more economical rendering.

A final example of economy may be found in the overall form of a piece's performance. Williams notes that the texture is often changed in the middle of a piece by the "Monkian device" of dropping out during the saxophone solo (1992, 439). Monk's live performances and recording sessions usually have the structured song order of: head, saxophone solo, piano solo, head (with a bass or drum solo sometimes placed between the piano solo and the last head). During the saxophone solo, however, Monk comps for three or four choruses, then often takes the opportunity to "stroll" or "lay out,"[52] reducing the group to a trio setting—in these performances, he does not play again until the beginning of his solo. Kelley comments that Monk's strolling is an employment of space, thus allowing the saxophone and bass players to explore outside the harmonic confines of the piano (1999, 150). Dan Morgenstern also states:

> The faster numbers Monk has composed are seemingly bare skeletons for improvisation. If you start counting notes, that is. They are phrases, riffs—angular, seemingly abrupt. Yet, when Monk plays them, they become melodies, and they flow. And they create a rhythmic and harmonic climate for the improviser which makes him play Monk's Music [*sic*]. Perhaps that is why some hornmen prefer to have Monk "lay out" behind them. [. . .] Monk is a disciplined musician but he gives you plenty of freedom. (1960a, 3)

Although Monk did not "lay out" in his early recordings, it became his performance signature by the late 1950s (Gourse 1997, 96–97).[53]

Monk's economy reflects his personality, and has been known to influence other musicians. Lacy comments on Monk's conversational approach where,

> He doesn't feel it's necessary to verbalize, and he's right. If you got him at the right time, you'd get a lot of meaningful words with a lot of silence around them. You'd have to leave the silence around them, or you would spoil the proportions. (Caylor [1965] 2006, 30)

Although Lacy's quote is not about Monk's music, it is homologous to what is heard in the music. Johnny Griffin, the quartet's tenor saxophonist for the first half of 1958, said that Monk's use of silence was a major influence on some of the most prominent musicians of the time: "He didn't do anything without reason. He didn't play an extra note on the piano. He used space like a genius, and he taught a lot of musicians [. . .] about space" (Gourse 1997, 141).[54] Economy is a defining characteristic of his music—not only as a characteristic to be seen in analysis, but one that is clearly audible. Furthermore, Monk's economy has influenced other musicians, and acts as a salient principle of the Monkian aesthetic.

Emphasis on Thematic Repetition

Monk frequently employs the melody from the head in his comping and solos. Bop performances typically dispose of the melody after the head is played and improvise based on the chord progression. Monk's work, however, typically preserves the melody throughout the performance of the piece (Kteily-O'Sullivan 1990, 4; Solis 2001, 35). Blancq writes about Monk's solo playing on standards, stating that among his rubato

playing and ornamentation, "[t]he majority are only two choruses long and Monk's improvisations stay close to the melody on the second chorus as in a thematic variation" (1983, 18). In a conversation with the drummer Max Roach, Monk once asked: "Why don't we use the melody? Why do we throw it away after the first chorus?" (Williams 1992, 436). Other musicians use the melody in their improvisations—Williams cites Louis Armstrong, Billy Holiday, Milt Jackson, Fats Waller and Erroll Garner as musicians who employ melodic "paraphrase" where a solo consists of melodic fragments alternated with original material (1975, 26, 27).[55] Monk also uses melodic paraphrase as a solo technique; however, Williams considers him a more "melodically oriented" improviser because he uses the melody of the head more frequently, continually restating it with "embellishmental variations" (ibid., 25).[56]

Related to Monk's counterpoint discussed earlier, his comping contains the melody in many of his recordings. Solis provides one example where the melody is played almost verbatim when Monk is accompanying Johnny Griffin on "Evidence" (2001, 59).[57] Blake cites an interesting melodic technique used in the solo recording of "Eronel"[58] where Monk uses his thumb and index finger to play a trill while the melody notes are played above with his fourth and fifth fingers ([1982] 2001, 250). Williams provides a transcription of Monk's solo on "Misterioso"[59] where the melody (built on a continual eighth-note line of broken sixths) is played in a more rhythmically dense fashion (the melodic figures from each measure are played as sixteenth-notes) with rhythmic displacements and a few embellishments (1992, 437, 438). From the same essay, four recordings of "Criss Cross" (two from 1951 and two from 1963)[60] are used as

examples of Monk's use of the melody in his solos (ibid., 439). In a somewhat different example, Solis points out that Monk's solo on "Bag's Groove"[61] does not play with the "melody" per se, but the held notes and rests from the head serve as thematic material for the improvisation (2001, 55–56). Similarly, Kelley writes about a recording of "Swing Spring"[62] where Monk's solo—following that of Miles Davis—expands upon Davis's riffs to build his solo (2009, 184).[63]

Monk's melodic playing deserves special attention because it influenced many of his followers. After interviewing pianist Michael Weiss, Solis summarizes that "Monk's use of thematic material from the head in his accompaniment and soloing was the most striking, singular thing that people had heard and learned from" (2001, 48). Using the melody was something Monk certainly passed on to his sidemen—Rouse said that Monk preferred him to experiment with the thematic material rather than the chord changes (Gourse 1997, 150). Lacy also had the same experience with Monk, and tells one story in an interview from 1999: "He stopped me cold one night, and said, 'Man, stop playing that bullshit [over the chord changes]! Play the melody. Just pat your foot and keep the melody in mind'" (Solis 2001, 142).[64] Monk's preference for preserving the melody in a piece is not just an idiosyncratic trait, but a principle he required his musicians to follow when playing his music.

Technique and Experimentation

In addition to Monk's aesthetic means of production (sound colour, rhythmic displacement, economy, repetition of thematic material), he is known for an

unconventional piano technique. He played the piano with flat hands, as opposed to pianists who increase their dexterity by curling their fingers. Thomas Owens explains:

> Monk's usual piano touch was harsh and percussive, even in ballads. He often attacked the keyboard anew for each note, rather than striving for any semblance of legato. Often seemingly unintentional seconds embellish his melodic lines, giving the effect of someone playing while wearing work gloves. These features were a result of Monk doing everything "wrong" in the sense of traditional piano technique. He hit the keys with fingers held flat rather than in a natural curve, and held his free fingers high above the keys. Because his right elbow fanned outward away from his body, he often hit the keys at an angle rather than in parallel. ([1995] 1996, 141)

Owens continues to explain that this "one-of-a-kind attack is itself a clear identifier of his style;" however, Monk was not an "untutored amateur," as evidenced by his switching from the unorthodox technique to execute runs or arpeggios "with dazzling speed and unerring accuracy" (ibid., 141).

Barry Harris, a pianist who was personally close to Monk, also comments on Monk's ability at the keyboard:

> He had a lot-a technique and most people, [chuckles] had this bit about no technique, but I know better. You know that's from personal contact, I know better. And that's from *personally* watchin' him play a run and him showin' it to me and I still can't play it. So, you know, that's personal contact. I've never seen Monk, reach, stick his hand for the top-a the piano with a flick, I've never seen him miss a note. Whatever he wanted, he got it. You know it all depends on how people interpret technique. (Harris [1985] 2006, 16:56–17:27)

Monk experimented at the piano to develop a honed skill set. After listening to Monk's private recordings of practicing "Tea for Two,"[65] Kelley states that his "distinct sound was a product of unceasing discipline" (2009, 217). Kelley then describes the eighty-four minute recording of Monk practicing "I'm Getting Sentimental Over You." His practice is described as a systematic and deliberate placement of each melody note,

followed by “more alterations to the melody and increasingly dissonant harmonies.” After six renditions of the tune, Monk is heard experimenting with different approaches, including stride patterns, singing solfeggio, and working through improvised figures. Increasingly, the renditions become “more off beat” and “increasingly angular” (ibid., 218).[66]

Harris provides a similar count of Monk’s practice regimen in an interview with Ben Sidran:

> Barry Harris: *Monk*, really knew how to practice. Because man, I’ve heard some tapes of Monk practicing one song for ninety minutes in tempo by himself. Now, you imagine yourself . . . doing this. So that whenever he went out to a gig you knew he was prepared. If he did *that*, he had to be prepared, if you know what I’m talkin’ about. See what average one of us, we go practicin’, what we call practicin’ might be, it might be valid too, you know. But every musician should know that this is more than just practicing, you must play, so that, part-a your practicing should be playing, in tempo . . . in a song, picking it, and going on about trying to learn it.
>
> Ben Sidran: There’s no theoretical way to practice improvising you have to improvise.
>
> Harris: No, you just have to go ahead and do it.
>
> Sidran: Yeah.
>
> Harris: No, then you have to go past your, sort-a limits. You know, see and I think most of us, I mean, I can’t even imagine. I’ve tried [practicing that long] too because since I’ve been thinkin’ about this I’ve tried, I can’t go. I only know if I can go ten minutes. [. . .] For a person to play ninety minutes *straight*? Practicin’ *one song*? I mean, not, no. . . Whole lot-a songs, I mean one song. I would tapin’ him practicin’ “Lulu’s Back in Town.” And man the way he practiced that piece, man. I mean goodness, when he went to record it, it had to be the most beautiful thing in the world [laughs]. You know, an old piece like that. (Harris [1985] 2006, 15:22–16:54)

Monk employed such discipline even as a child: “His brother and sister recall him sitting at the piano for hours at a time, often painstakingly working out variations on a familiar

old song" (P. Keepnews [1989] 2001, 9–10). Through Monk's repeated experiments with the repertoire, "[he] always avoided the stereotyped resolutions, progressions and voice leadings, preferring instead to find his own solutions" (Blancq 1983, 18).

More than just practicing repertoire, Monk is known for expanding the sound of the piano through systematic experimentation. Peter Keepnews writes that Monk "discovered he could imply certain notes in a chord without playing them, through the judicious use of overtones" and that his flat fingers created tone clusters by hitting more notes than those "he wanted to hit" ([1989] 2001, 8).[67] In 1946 Herbie Nichols writes, "[Monk] is forever searching for better 'sounds,' as he loves to say. [. . .] This way of thinking throughout the years has resulted in the creation of a system of playing which is the strangest I have heard and may someday revolutionize the art of swing piano playing" (quoted in Kelley 2009, 116).[68]

Monk's experimentation had a direct effect on his sidemen. Steve Lacy remembers Monk having a mirror on the ceiling above the piano:

> [Monk]…showed how it was done, really. And he invented those sounds, himself, really, through research. He did a lot of research at the piano…. And he had this mirror on the ceiling, and the top of the piano was…non-existent—the piano was open—and he could see his hands in the mirror up there…and he would be doing research like that…with different sounds. (Solis 2001, 185)[69]

Lacy's statement speaks to how he was heavily influenced by Monk's experimentation. Lacy was not alone—finding new "sound" on one's instrument was also an important lesson for John Coltrane. He states: "Monk was one of the first to show me how to make two or three notes at one time on tenor. [. . .] Monk just looked at my horn and 'felt' the mechanics of what had to be done to get this effect" (Coltrane and DeMicheal [1960]

1998, 100–101). Monk's experimentation—in his own work and as proposed to his peers—was an important aspect in developing novel techniques. Thus, experimentation with the sonic materials of one's instrument to augment the range of technical possibility is one aspect of the Monkian aesthetic.

Hard Tunes

Successfully performing Monk's repertoire is difficult. His unorthodox compositions have posed difficulties for some of the most virtuosic instrumentalists in jazz. Commenting on Paul Jeffrey's playing, Gary Giddins writes: "Even in this day of sophisticated technique, Monk's music is exceedingly difficult to play" (1976, 99). And, Carr believes that, "Monk vastly widened the technical horizons of jazz because he insisted that phrases which were natural to his piano style could be played by front-line instruments" (1967, 6).

Monk's early sidemen were challenged with the music. Alto saxophonist Sahib Shihab had a difficult time on "Who Knows" recorded on November 21, 1947 for Blue Note (Monk 2001)—Monk dismissed Shihab's complaints and insisted that he learn his part, which he eventually did (Kelley 2009, 129). Bassist John Simmons also says that he had a hard time keeping up with Monk when they were on stage at the Royal Roost in 1948 (ibid., 139).

His difficult compositions were the first thing Sonny Rollins[70] discussed in one interview:

> I'd have to say that Monk's music is difficult. It's difficult music. [. . .] Even when I began rehearsing with his band when I was still in high school. We used to

> go down to Monk's house there on 63rd Street. And the whole band would be in Monk's small apartment, rehearsing, you know, and Monk would have what seemed to be way-out stuff at the time, and all the guys would look at it and say "Monk, we can't play this stuff . . . we can't make this on the trumpet," and then it would end up that everybody would be playing it by the end of the rehearsal, you know. (Sidran [1992] 1995, 174)

Rollins recorded with Monk for *Brilliant Corners* (1987a); the album's music gave the sidemen a difficult time. The album's producer, Orrin Keepnews, writes: "They struggled and concentrated and shook their heads over some passages with those half-smiles that mean: "Hard? This is *impossible!"* (1956). Kelley reports that the twenty-five recordings of the title track were all incomplete; the final version is a compilation from the stock. The bassist Oscar Pettiford criticized the music and became angry—in one take, he only pretended to play (2009, 211).

Musicians still had difficulties with Monk's music by the late 1950s. Amiri Baraka writes that Coltrane was "struggling with *all* the tunes" on opening night at the Five Spot in 1957 ([1964] 2001, 166, emphasis in original). The recording for *Monk's Music* in 1957 (Monk 1993b) was hard for the band: Gigi Gryce thought some of his parts were impossible (Kelley 2009, 222); when fellow saxophonists Coltrane and Coleman Hawkins asked for clarification on their difficult passages, Monk replied: "The music is on the horn. Between the two of you, you should be able to find it."[71] Coltrane also told: "You have to be awake all the time. You never know exactly what's going to happen. Rhythmically, for example, Monk creates such tension that it makes horn players *think* instead of falling into regular patterns" (Hentoff 1960, 133, emphasis in original).

Johnny Griffin would make mistakes on the bandstand with Monk. The two would stop playing and start pieces over again until Griffin performed the piece correctly; Monk's comping is also said to have given Griffin a battle on the stage (Sidran [1992] 1995, 202). Rouse also struggled with the music in his first performances at the Five Spot (Kelley 2009, 252). He later spoke of Monk's difficult rhythms: "It was the rhythmic approach which made Monk's music difficult to learn at first. He writes stuff that goes right against the eight or twelve bar things you're used to playing" (Lyttelton 1961a, 7).

Rouse and alto saxophonist Phil Woods still had problems with their parts in June 1964 when rehearsing for their Carnegie Hall concert (Kelley 2009, 359); Rouse, and even Monk, found his tune "Boo Boo's Birthday" from 1967 tricky—it took eleven takes for the final version to be carved on record (ibid., 393).[72] Rouse also recounts a conversation between him and Monk:

> At one time at the Five Spot [Monk] had Steve Lacy with us too, because he liked that high sound. On one recording, *Shuffle Boil*, he had me playing way up high on the tenor. I said, "What are you trying to make me do?" He just said, "It's on the horn." Then when I heard it back, this strange-sounding stuff came out, right and pretty. He said, "You see how it sounds? The tenor is *full* up there—fuller than a soprano." (Danson 1982b, 7, emphasis in original)[73]

Rouse was especially vocal about how Monk's music was difficult to perform. In his interview with Peter Danson he said, "[s]ome of the music Thelonious presented seemed impossible. *Skippy* is a good example of that. And *Trinkle Tinkle*. *Four in One*" (ibid., 6).[74]

Monk challenged his sidemen to be ready for the unexpected. He did not keep a set list for their performances and would indicate the next piece with a short introduction; sometimes, Monk would start playing a piece that the group had not performed or

practiced for months—Rouse commented: "I'd mess up for a couple of choruses, but then he's still there! That was what was so beautiful about working with him. It was challenging. There was no laying back" (ibid., 6). Monk had an uncompromising demand for high levels of musicianship. And, by insisting that his sidemen adhere to his aesthetic, interpreters of his music may be seen as conversing with Monk, the composer.

Monk: The Composer

Monk was a composer. Though this statement may seem obvious to most people, it is important to understand *why* he is considered a composer, and how the concept of composing affects the interpretations of his music by Rouse and Lacy. A synopsis of how writers discuss Monk's compositions is presented below, followed by a brief discussion of the terms "composition" and "improvisation" to shed light on his pieces as dynamic models for musical dialogue, as opposed to fixed structures upon which to improvise.

Monk's Music as "Composition"

Monk's reputation as a composer would be readily accepted by those who have heard his music and know of him as a prominent figure in jazz—the DVD release "Thelonious Monk: American Composer" (Seig 2002) is an obvious example of how the term "composer" has been associated with his name. Essays about his music also ascribe this designation by discussing Monk with other composers such as Jelly Roll Morton, Duke Ellington, Scott Joplin and James Scott (Williams [1970] 1983, 157; 1992, 433), or Debussy, Schoenberg, Webern, Boulez and Stockhausen (Hodeir [1962] 2001, 125). Harris describes the variety of Monk's musical output—e.g., ballads, tunes based on

Rhythm changes, or other original AABA song form pieces—and states his belief that "[Monk] probably was our most prolific composer of this age" ([1985] 2006, 17:55–18:32). Monk has become known as a composer through different forms of musicological discourse since the late 1950s.

It is logical that if Monk is a composer, his pieces must be understood as compositions. The term "composition" signifies something more than a fixed melody and harmony, but suggests that pieces are organized and contain a sense of unity. With reference to his harmonies, Kteily-O'Sullivan states that sound colour is used as an orchestral device (1990, 19). Koch analyzes Monk's "organization" in "Eronel," "Think of One," and "Straight, No Chaser,"[75] finding them to have motivic unity and compositional balance; specifically, he describes "Straight, No Chaser" as a germ motive that is developed through subtraction and addition of new tonal material (1983, 77–80). Williams considers the pieces to be compositions because the harmony and melody are so strongly integrated with each other:

> The compositional aspect is most succinctly revealed in the fact that the melody and the harmony of a good Monk piece do not, almost cannot, exist separately. In order to play Monk's pieces well, one must know the melody and Monk's harmony, know how they fit together and understand why. Most of Monk's melodies are so strong and important and his bass lines [. . .] so integrated with their structures that it is almost impossible for a soloist to improvise effectively on their chord sequences alone. ([1970] 1983, 158)

Experienced improvisers of Monk's music (e.g., pianist Fred Hersch and drummer Leroy Williams) frequently talk of the pieces being "compositionally tight," where the musicians aim to extend the parameters of the composition during the solo sections and when playing collectively (Berliner 1994, 345).

An analysis by Michele Caniato of Monk's "Ruby, My Dear" investigates the integrated melody and harmony of the piece. Unlike composers of popular song (1920s to the 1940s) whose primary concern was to write melodies according to the lyrics, and bop composers who write lines according to the harmony of popular song, Monk "exhibited a deeper preoccupation with compositional processes than that encountered in most jazz of the time" (Caniato [1999] 2001, 89). The harmony of "Ruby, My Dear" is shown to be united with the melody; that is, "traditional key relations of functional tonality have been replaced by a thematically generated chord progression" (ibid., 92–93).

Monk's repetition of thematic material as a basis for improvisation is considered a unifying device for his music. In his eulogy, Balliett writes:

> His compositions and his playing were of a piece. His improvisations were molten Monk compositions, and his compositions were frozen Monk improvisations. ([1982] 2001, 228)

Williams's essays, "And What Might a Jazz Composer Do?" (1975) and "What Kind of Composer was Thelonious Monk" (1992) discuss Monk's recordings that exhibit an arch structure with distinct beginnings, middles, and endings. Williams believes that Monk uses the melody as a unifying device in this structure. In a similar approach, Solis describes each of Monk's pieces as a "Unified Performance": the recordings typically have large-scale development, and are organized as a whole, rather than a succession of disconnected solos (2001, 41–42, 48–49).

Clifford Korman provides an analysis of this concept by comparing four recordings of "Criss Cross." Slightly different than the essay by Williams discussed

earlier, Korman investigates the "apparent motivic connections between the melody and the solos which follow" ([1999] 2001, 103). He reports that Monk

> was attempting to create in performance a work unified from beginning to end by references to the thematic and formal structure of the composition. For this he would need the help of the other performers (his "sidemen"); if the attempt was successful, the performance could be considered a specific and unique entity comprised formally of an introduction (if present), the initial statement of the melody, the subsequent improvisation, the recapitulation of the melody, and coda. A significant distinguishing factor of Monk's work is that such a performance would not necessarily include elements which belonged to the general pool of the jazz vocabulary of that time, i.e., patterns and phrases accepted as part of a common language which could be applied to melodically negotiate particular harmonic progressions. (Ibid., 104)

The analysis claims "[t]here is a clear logic and unity, then in the motivic *construction* of 'Criss Cross,'" where "[e]ach of his recorded improvisations is based almost exclusively on the primary motives." Of Korman's most notable findings is that "*he tends to use the motives at the same location in which they originally appear*" (ibid., 109, emphasis in original). Akin to a formulaic approach to improvising, Monk placed his phrases at analogous times within the time cycle of the form.[76]

"Recomposition" is a term that is used to describe Monk's work on "standard" tunes—his compositional voice is heard even when he did not write the original material. Blake provides the following summary for this concept:

> In recomposition, a high degree of the personality of the artist permeates the subject matter, without destroying or obliterating the original. The "recomposer" explores new horizons, not merely embellishing but using the structure of the tune to create something new. [. . .] Although we recognize the old tunes when [Monk] plays them, they become in a musical sense his property. ([1982] 2001, 260)

After stripping the tune down to its essential elements of melodic contour and harmonic movement, Monk departs from the original style of the tune, and reconstructs the piece

with his own musical conception (Kteily-O'Sullivan 1990, 30). Though the term "recomposition" is not uniformly used in the literature about Monk's music, its principles can be seen in the analyses by DeVeaux (1999) and Mark Tucker (1999).[77] From these examples, Monk's compositions are not fixed structures, but a method of fusing his musical traits together in a unity that is inescapably Monkish.

Implications of the Terms "Composition" and "Improvisation"

For the most part, jazz from the mid-twentieth century is understood as an improviser's art—especially since the idiom of bop took hold. This becomes problematic if the concepts of improvisation and composition are traditionally viewed as a dichotomy, as they often are in the West (Nettl 1974, 1–3). However, a growing number of scholars have begun to redefine these two methods of music making. As Bruno Nettl explains:

> Improvisation and composition are opposed concepts, we are told—the one spontaneous, the other calculated. [. . .] But, on the other hand, we are also given to believe that improvisation is a type of composition, the type that characterizes those cultures that have no notation, a type that releases the sudden impulse to music through the direct production of sound. (Ibid., 4)

A proposed theory to make sense of this dilemma is to place improvisation and composition at opposite ends of the same continuum, where "the lines that different cultures might draw between 'fixed' composition and improvisation will appear at different points of [the] continuum" (ibid., 6, 7).

Placing Monk's musical conception in this framework provides a theoretical basis for understanding his pieces not as composed and improvised sections, but an exchange between what is considered "written" (i.e., the melody, harmony, form) and "improvised." Nettl proposes,

> that each musical culture has its set of musical macro-units [. . .] and that the degree to which the sound realizations of the unit are similar varies with the culture, comprising the system of musical conceptualization, the question of freedom for the performer, etc. This approach is novel only insofar as it allows us to think of all musics having basic musical entities which exist and are performed, rather than dividing music into ‘fixed’ and ‘improvised’ types. (Ibid., 9)

Within the boundaries of this study, the musical culture may be defined as Monk’s overall musical conception, with its associated macro-units of unorthodox jazz harmony, rhythmic displacement, economy, emphasis on thematic repetition, and technical experimentation. In effect, this defines the boundaries for a model that encompasses Monk’s work as both a composer and improviser. Describing the model as a system for music making, Nettl explains:

> A musical repertory, composed or improvised, may be viewed as an embodiment of a system, and one way of dividing such a system is to divide it theoretically into its component units. These units are, as it were, the building blocks which tradition accumulates, and which musicians within the tradition make use of, choosing from among them, combining, recombining, and rearranging them. (Ibid., 13)

Musicians are therefore able to capture the essence of Monk’s music by using the model, which in turn develops a Monkian tradition.

The lines between composition and improvisation become blurred with this model as many improvisations use compositional techniques such as repetition, simple variation of short phrases, melodic sequence, or starting two successive sections with the same motive (ibid., 9–10).[78] Monk’s music can therefore be heard in terms of creating a musical space for others to improvise with compositional materials.

It would be within this mode of thought that most improvising musicians believe in little difference between composition and improvisation (Bailey [1980] 1993, 140).

When Lacy was told he had fifteen seconds to describe the difference between composition and improvisation, “he answered: ‘In fifteen seconds the difference between composition and improvisation is that in composition you have all the time you want to decide what to say in fifteen seconds, while in improvisation you have fifteen seconds’” (ibid., 140–41). In Lacy’s opinion, composition and improvisation are similar methods of music making, separated only by the time provided to make musical decisions. However, when playing in a Monkian fashion, musical decisions may be drawn from Monk’s vocabulary, thus making the elements from his compositions integrated with the improvisatory process.

Since Monk’s musical characteristics provide a framework for improvisation, the composition becomes a dialogue between the composer (i.e., Monk) and performer (e.g., Rouse or Lacy).[79] Solis states, “there is always a balance between the authorial contributions of the composer and the musicians’ creation of their own version of a piece. [. . .] That is to say, the composer and the performer are both thought of as authoring the piece as it is played” (2008, 69–70). Bruce Benson’s chapter titled “Between Composition and Performance” views the term “composition” in the same light: if one can disregard the idea “composer as true creator,” the performer plays a vital role in the composition process by extending the composition beyond the composer’s individual input (2003, 2, 3). Improvisation can then be regarded as performance practice that elongates, or takes up again, the compositional process within the given idiom—in this case, within the Monkian aesthetic.

Treating improvisation as performance practice assumes that the composer or the piece apply limitations to the performer. Derek Bailey writes:

> The unique experience for a composer in the use of improvisation must be the relinquishing of control over at least some of the music and, even more critically for the composer, passing over that control not to 'chance' but to other musicians. [. . .] In other words, what the improvisors play is of great importance indeed to the composer. Usually, he has specific musical expectations of the improvisors, and their inventions are required to serve his predetermined ends. ([1980] 1993, 70)

Monk did have a particular vision of how his music should be played. Rouse says, "[Monk] didn't instruct you to improvise, but he did want his melodies played the way he heard them" (Franklin 1987, 8). As we have seen with Lacy, Monk's insistence that his sidemen improvise with the melody rather than the chord changes also suggests that he had the intention of creating a unified composition during performance. His musical intentions play a crucial role for interpreting his pieces. Each interpreter (e.g., Rouse or Lacy) therefore enters into a dialogue with Monk's compositions, improvising with the Monkian aesthetic (i.e., unorthodox jazz harmony, rhythmic displacement, economy, an emphasis on thematic repetition, and technical experimentation) to extend the compositional process in their own direction.

Summary of the Monkian Aesthetic

This chapter has consolidated the most commonly discussed attributes of Monk's music. Unorthodox jazz harmony, rhythmic displacement, principles of economy, an emphasis thematic repetition, technical experimentation, and a difficult repertoire are the salient themes in literature about his music. These characteristics are integrated together

to establish what I call a Monkian aesthetic. In turn, this aesthetic serves as a model for interpreting his music in improvisation, thus contributing to the composition as a whole. Understanding how Monk's music is typically described supplements the discussion of how the terms modernism and avant-gardism are applied to Monk, and how this model of the Monkian aesthetic may be evaluated in the music by Rouse and Lacy in the remaining chapters of this study.

Notes

[1] Recorded October 15, 1947 for Blue Note (Monk 2001).
[2] Monk's use of large intervals, as commented on by Kelley, is different from the bop style. Milton Stewart notes that bop compositions frequently include intervallic leaps with eighth or sixteenth-note patterns (1985, 182); Monk's intervallic leaps differ from bop in that he emphasizes them with larger note values (e.g., quarter-notes), in which their consecutive appearances "seem to be rare in most be-bop playing" (ibid., 184).
[3] For example, see Carr (1967, 4), Feurzeig (1997), Hodeir ([1962] 2001, 126), Peter Keepnews ([1989] 2001, 6), and Kelley (2009, 48, 53, 55, 220).
[4] Keepnews refers to a number of performances captured by Jerry Newman, an audience member at Minton's who had a home recorder. Sheridan lists fourteen dates between approximately April and July 1941. Many of the recordings have not been issued, while others appear on different albums under different names (e.g., Charlie Christian, Hot Lips Page, Don Byas) (Sheridan 2001, 1–10). Definitive records released a compilation of Monk's recordings titled *After Hours at Minton's* (Monk 2002a).
[5] Also see Kelley (2009, 54).
[6] Recorded October 15, 1947 for Blue Note (Monk 2001).
[7] Charles Blancq also compares Monk's distinct sound from Basie's in a description of "April in Paris": "He avoids a steady tempo, and in place of Basie's swing, gives us a halting, interrupted performance complete with out-of-context scalar runs and arpeggios" (1983, 18). Monk's version appears on *Thelonious Himself* (Monk 1987c). Although Blancq does not cite Basie's version, his famous recording appears on *April in Paris* (Basie 1997).
[8] These concepts are directly taken from Dahlhaus (2013).
[9] Chromatic movement is one of the main features of what Kelley calls "classic Monk" when he describes "Coming on the Hudson" (2009, 241). (The tune was recorded February 25, 1958 and appears on *Blues Five Spot* [Monk 1984a].) Kelley also describes chromatic movement in other pieces by Monk (2009, 128, 489–90).
[10] *Thelonious Monk: Something in Blue* (Monk 1972).
[11] The chord symbols used in this dissertation (such as the G7#5 and G7 here) are typical in jazz nomenclature. See Witmer and Finlay (2009) for this system of chord notation.
[12] Other than the analyses discussed here, examples of works that cite the whole-tone scale as a central component of Monk's music are: Blake ([1982] 2001, 252), DeVeaux (1997, 107), Dobbins (1971, 38), Kelley (1999, 149, 150, 161; 2009, 72, 489–90n36), Richter (1995, 261), and Solis (2001, 256). Kelley reprints a passage by Jean-Jacques Finsterwald and Julien-François Zbinden that cites Monk's whole-tone passages as "a mark of Debussy" (2009, 149). The article is cited by Kelley (ibid., 494n43) as: J.J. Finsterwald and J.F. Zbinden, "Thelonious Monk," *Jazz-Revue* 32 (April 1949), 36. When Barry Harris talks of Monk's influence, he cites the whole-tone scale specifically as on of his trademarks: "He was an influence on a lot of music. His way of approaching whole-tone scales. His way of doin' this or way of doin' that" (Harris [1985] 2006, 19:28–19:36).

[13] Lewis Lapham also writes about Monk's characteristic unconventional use of traditional intervals to create a dissonant effect in his melodies: "Monk's percussive melodies, sometimes, witty, sometimes sad, move in wide leaps—characteristically in intervals of a seventh, a ninth or a flatted fifth—across intricate, insistent rhythms" (1964, 74).
[14] As Lawrence Koch notes: "When performing a Monk [. . .] piece on the piano, it is often necessary to use a sparse harmonization or else the Monkian effect will be ruined" (1983, 77).
[15] Blake ([1982] 2001, 254, 255); DeVeaux (1999, 175–82); Feurzeig (1997, 64–74); Koch (1983, 70); Solis (2001, 47, 303, 304).
[16] *Thelonious Monk Trio* (Monk 2007c). Kelley specifically refers to the pieces recorded December 18, 1952: "Tinkle, Trinkle," "These Foolish Things," "Beshma Swing," and "Reflections."
[17] Blake also notes that Monk creates a "pitch bending effect" by striking an E and F together and releasing the F ([1982] 2001, 259–60). Blake cites the seventh chorus of Monk's solo on "Bag's Groove" (track 1 of *Bag's Groove* [Davis 1987a]). Linking the melody with the harmony, Korman posits that the interval clusters may function as a single unit rather than a colour tone or harmonization. That is, clusters appearing with melody notes, such as "bent notes," may be treated as a function of melody ([1999] 2001, 118–19).
[18] Kurzdorfer explains his labeling of chord voicings from pitch class theory: the root of a chord is designated the number 0, and each semitone above the root is given a respective increasing integer in relation to the root, up to 9; the subtonic is labeled "T" and the leading tone is labeled "E" (for ten and eleven respectively) (note the enharmonic equivalence from pitch class theory, e.g., B#=C=0 in C major). An unordered semitonal cell is thus notated as consecutive integers, for example, [01], [012], [E01], [456], etc. (1996, 181). Pitch class theory is used to theoretically collapse voicings that occur over the span of multiple octaves into one set defined by the chromatic octave (octave equivalence). As a simple example using Helmholtz notation, two voicings for a C triad of c^2, e^2, g^2, and g^2, c^3, e^3—although different in inversion and sonority—are both labeled as 0 (the note c^2 or c^3), 4 (the note e^2 or e^3), and 7 (the note g^2), resulting in the same pitch class of [047]. One may follow the theory to designate dissonant voicings that could include the notes C# and D played over a C major triad, both notes independently played in any octave of the keyboard and occurring in either inversion of C#-D or D-C#: the cell is labeled [12] (1 being the C# and the 2 being the D). Note: Kurzdorfer's amends the use of pitch class theory as set forth by Allen Forte (cf., Cook [1987] 1989, 124–50).
[19] Kurzdorfer explains that the three dyadic cells of [12], [45], and [TE] are rarely heard in tonal jazz: the [45] is usually avoided because it implies a V7 function and a tonic function simultaneously (a suspended fourth and a third); [TE] and [12] are closely related to the roots, and through their implication of [TE0] and [012] respectively, they prohibit "a vertical sound object in tonal jazz" (1996, 184–85).
[20] Kurzdorfer (1996) analyzes passages from: "Blues Five Spot" on *Monk's Dream* (Monk 2002f), "Boo Boo's Birthday" and "Raise Four" on *Underground* (Monk 2003b),

"Crepuscule With Nellie" and "Rhythm-A-Ning" on *Criss Cross* (Monk 1993a), "Criss Cross" recorded July 23, 1951 for Blue Note (Monk 2001), "Introspection" recorded October 24, 1947 for Blue Note (Monk 2001), "Monk's Mood" recorded November 21, 1947 for Blue Note (Monk 2001), "Off Minor" and "Thelonious" on *The Thelonious Monk Orchestra at Town Hall* (Monk 1987b), "Played Twice" on *Five by Monk by Five* (Monk 1959), "'Round Midnight" on *Thelonious Monk: Greatest Hits* (Monk 1968), "Ruby, My Dear" on *Solo Monk* (Monk 1965), and "Straight, No Chaser" on *Tokyo Concerts* (Monk 1984b).

[21] The voicings in figure 1 are taken from Kurzdofter (1996) and transposed to the key of C.

[22] Koch claims that Monk's "favorite ending" to his pieces is a chord comprising of the root, ♭7, ♭9, and ♮9, where the notes appear vertically in that order, and each note is spaced close to an octave apart (e.g., c-b♭-d♭^{2}-d^3 in Helmholtz pitch notation) (1983, 70); in Kurzdorfer's terms (and excluding the ♭7) this would be a [012] cell (1996).

[23] Although essays by Feurzeig and DeVeaux do not analyze tone clusters according to pitch class theory, they support the claim that Monk employs [TE] and [45] cells often. Feurzeig's analysis of "'Round Midnight" on *Thelonious Monk: Greatest Hits* (Monk 1968) identifies [45] cells in mm. 21, 23, 27, 36, 39 and 55, and [TE0] cells in m. 8 and 68 (Feurzeig 1997, 64–66, 69–70, 72, 74). DeVeaux identifies [TE0] cells in m. 4 of "I Don't Stand a Ghost of a Chance" and m. 11 of "April in Paris" on *Thelonious Himself* (Monk 1987c). Both authors claim these dissonances to be central to Monk's harmonic practice.

[24] A similar statement is provided by Kurzdorfer (1996, 197).

[25] The three respective examples of "In Walked Bud" begin at times 4:41 on *San Francisco Holiday* (recorded February 28, 1959 [Monk 1994a]), 7:32 on *Thelonious Monk Quartet Featuring John Coltrane: Live at the Five Spot: Discovery!* ([Monk 1993c]), and 6:53, with the *mis-take* occurring at 7:04 on *Misterioso* (Monk 1989). Note for Monk (1993c): Klemp et al. (2008) reports that this recording occurred in 1957 (according to the original liner notes and Coltrane's 1957 tenure with Monk); however, Lewis Porter—a scholar of Monk and Coltrane—has rescinded the date and believes the recording occurred on a reunion date of September 11, 1958 (2005; [1998] 2010, 358). The performance date of September 11, 1958 is listed in this document's discography.

[26] In addition, the analysis also demonstrates that the Monkian elements of dissonance and the use of melodic material are connected.

[27] DeVeaux cites mm. 1–4 of Monk's accompaniment on "Nice Work If You Can Get It" recorded May 4, 1941 (Monk 2002a).

[28] Also see Crouch (1982, 61).

[29] Jack Cooke explains that Monk was experimenting with a $\frac{6}{4}$ metre in "Carolina Moon" (recorded May 30, 1952 for Blue Note [Monk 2001]), which was at the beginning of a composing trend for triple-metre pieces in post-WWII jazz. (Examples of other musicians in the 1950s who explored triple or asymmetrical metres are Sonny Rollins, Max Roach, John Coltrane, Charles Mingus, and Dave Brubeck [Cooke 1963, 4].) Other than

"Carolina Moon," however, Monk "devoted himself to his consistently exhaustive exploration of the rhythmic possibilities of 4/4" (ibid., 3).

[30] From Hodeir's critique, Monk's rhythmic approach creates a metric ambiguity that is too complex for most listeners to grasp ([1962] 2001, 121).

[31] This process is also noted by Ingrid Monson: "In jazz the strong beats in 4/4 meter are usually on beats 2 and 4. 'Turning the time around' refers to displacing the pulse by 1 beat, causing the strong beats to be played on 1 and 3 instead of 2 and 4" (1991, 45n10).

[32] For example, Kelley writes about Monk's "Introspection": "Built on an AABA structure thirty-six measures long (he added four bars to the final A section), it contains numerous examples of rhythmic displacement that gives a sense of shifting time signatures" (2009, 489–90n36). Similarly, Williams's program notes for the 1959 Town Hall concert read: "Monk is a virtuoso of time, rhythm, metre, accent. He has played versions of 'standards' which are little more than sets of unique rhythmic variations directly on a melodic line, with an evolving pattern of displaced accents and shifting metres" ("An Evening with Thelonious Monk" 1959). Another rendering of Williams's writing can be found in Williams ([1970] 1983, 162). Also see Farrell ([1964] 2001, 152).

[33] Haywood later presented his analysis slightly differently using a $\frac{12}{8}$ metre for the transcriptions, providing ease for the eigth-note segments. For example, swing eighth-notes normally written as ♫ in $\frac{4}{4}$ meter are transcribed as three eighth-notes ♩♪ in $\frac{12}{8}$ metre for "Well, You Needn't" (Haywood [1999] 2001). This is problematic because the transcription is altered to fit the method of analysis.

[34] *Thelonious Monk: Greatest Hits* (Monk 1968).

[35] Solis cites the recording from July 2, 1948 for Blue Note (Monk 2001).

[36] Recorded July 23, 1951 for Blue Note (Monk 2001).

[37] One can hear the head of "Epistrophy," recorded July 2, 1948 for Blue Note (Monk 2001).

[38] Michael McLaughlin also comments on "Epistrophy": "The first time the three beat motive appears in each phrase it begins on the second beat of the bar; its repetition always begins on the first beat of the following bar [. . .]. So each phrase has two 3/4 cross rhythms, with a displacement. The quarter-note pattern across each two-measure phrase is an unusual 1-3-3-1" (1983, 86). He similarly writes about Monk's motives in "Jackie-ing" and "Blue Monk," emphasizing the "importance of the rhythmic displacement in the structure of both tunes. In both tunes a simple motive is repeated a number of times, and in the last repetition and only in the last repetition the position in the bar of the motive is changed" (ibid.). For "Jackie-ing," McLaughlin specifically attends to how the beat is "turned around," as if a measure of $\frac{2}{4}$ is inserted in the form (ibid.). McLaughlin's examples were taken from *The Real Book*, a widely used (although illegal) book of jazz tunes first distributed in the early 1970s (Witmer and Kernfeld 2012).

[39] Williams cites *Straight, No Chaser* (Monk 1996).

[40] For example, *Thelonious Himself* (Monk 1987c).

[41] Hodeir ([1962] 2001, 130).

[42] Kelley (2009, 183) reports on nine measures of planned silence when comparing two versions of “The Man I Love” (Davis 1958); Blancq writes, “[Monk’s] sparse, open-space style seems to suggest that what he omits may be as significant as what he actually plays” (1983, 17). Also see Balliett ([1959] 1963, 98), and Carr (1967, 5).
[43] The version of “Thelonious” is not cited by Kteily-O’Sullivan; the transcription provided does not aurally match the first recording of the tune from October 15, 1947 for Blue Note (Monk 2001) but is similar in its depiction of the tune’s simplicity.
[44] Recorded July 2, 1948 for Blue Note (Monk 2001).
[45] Solis’s description of “I Mean You” (2001, 50–51) is similar to the transcription and writing provided by Bill Dobbins (1971, 38–39), who transcribes Monk’s solo from *Thelonious Monk Big Band and Quartet in Concert* (Monk 1994b).
[46] The analyses presented here discuss the first version of “Bag’s Groove,” track 1 of *Bag’s Groove* (Davis 1987a), times 6:46–9:33.
[47] The original incorrectly reads “augmented fifth,” where the interval of C-F# is an augmented fourth (Blake [1982] 2001, 256). The written passage has been corrected here.
[48] A full transcription of “Bag’s Groove” including choruses eight and nine can be found in either publications by Solis (2001, 302–6; 2008, 42–44).
[49] Scott Yanow similarly writes about Monk’s solo on “Bag’s Groove”: “most pianists of this era (1954) would fill the blues changes with multi-note runs, blue notes, quotes from other songs, and bop cliches. In contrast, Monk established a feeling of tranquility by repeating a two note phrase for most of a chorus, but then shattered the mood with a third seemingly out-of-place but ultimately logical note. [. . . B]ut Monk has never played the expected” ([1976?], 38). As noted in appendix A, it has been proposed that Monk was not a bop musician. Additional criticism includes, “Monk has never exhibited, and even today fails to elicit, even the most primitive concern or affection for this so-called ‘horn’ line which has absorbed the compelling interest of all jazz pianists since Earl Hines” (Mehegan 1963, 8); Richard Sudhalter notes, “[a]s Charlie Parker, Dizzy Gillespie, and their disciples seemed to be building and augmenting, Monk appeared busily at work reducing his music to its bone essentials” (1982). Givan discusses Monk’s techniques, which I attribute to a difference between his aesthetic and the bop style: “two of his characteristic devices” are “(1) using the same finger to play consecutive, differently pitched notes; and (2) distributing between both hands a melodic line that could just as easily be executed with either hand alone,” thus ensuring “that the pitches will sound detached, with no legato whatsoever, because a split second must inevitably elapse between releasing a key and depressing the next” (2009, 429). Givan also states that Monk would deliberately cross his hands during performance to reduce manual control, providing irregular force and articulation for unequally weighted, non-legato notes (ibid., 438).
[50] *Thelonious Monk Trio* (Monk 2007c).
[51] Two versions were recorded July 23, 1951 for Blue Note (Monk 2001).
[52] “Strolling” and “laying out” mean that the performer stops playing. For this study, the terms are used synonymously.

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[53] It should be noted that Monk's strolling also contributed to a change in texture (from a quartet to a trio) to give variety to performance. I include the discussion here because Monk created "space" for the musicians while he was strolling; that is, he used space as an economy of means to provide musical freedom.
[54] Carr presents a similar quote from Miles Davis: "[Monk] inspired both Parker and Gillespie and he taught harmony to the young Miles Davis who later stated: 'Monk has been a big influence in giving musicians more freedom . . . Monk has been using space for a long time'" (1967, 6).
[55] Williams borrows the term "paraphrase" from Hodeir ([1956] 1961, 144).
[56] DeVeaux (1999, 174) also makes note of the melodic paraphrase heard in the second chorus of "Nice Work If You Can Get It" recorded May 4, 1941 (Monk 2002a).
[57] *Misterioso* (Monk 1989). Note: "Evidence" does not appear on the original issue of *Misterioso*, but appears on the 1989 reissue.
[58] *Portrait of an Ermite* (Monk 1980).
[59] Williams transcribes the first two measures of the head of "Misterioso" (the first "take") recorded July 2, 1948 for Blue Note (Monk 2001). The first chorus of Monk's solo is transcribed from the December 30, 1963 recording heard on *Big Band and Quartet in Concert* (Monk 1994b).
[60] Williams writes that of the four recordings, two were from 1951, one from 1958 and another from 1963. His citations, however, are as follows: Two takes recorded July 23, 1951 for Blue Note (Monk 2001); one recorded July 3, 1963 on *Monk at Newport 1963 & 1965* (Monk 2002d); and another from March 23, 1963 on *Criss Cross* (Monk 1993a). Williams's 1958 citation is an error: a recording of "Criss Cross" from 1958 is not listed in Tom Lord's discography (2003) or Sheridan (2001).
[61] Track 1 of *Bag's Groove* (Davis 1987a).
[62] *Miles Davis and the Modern Jazz Giants* (Davis 1958).
[63] Jazz improvisers commonly begin their solos with the previous soloist's material, many times to lead into or inspire their own improvisatory ideas. In Kelley's example, however, Monk continues with the thematic material as a building block for his solo.
[64] There are numerous examples of Monk instructing his sidemen to improvise based on the melody. One example is that Sonny Rollins "takes seriously Monk's insistence on using melody as the basis for improvisation" (Kelley 2009, 212); also see Kelley (2009, 261, 561n34), and Carr (1967, 4). Lacy's remarks are discussed further in chapter 4.
[65] Kelley describes a homemade tape in his possession that was recorded ca. 1957 (2009, 508n27).
[66] Home recording ca. March/April 1957 released as *Monk the Transformer: "I'm Getting Sentimental Over You"* (Monk 2002e). Date provided by Kelley (2009, 218).
[67] Keepnews's writing is correct to a degree—what is not explained is that Monk may have intended to create the "clustered" sound, and that his flat fingers were a solution to creating the effect.
[68] Cited by Kelley (2009, 487n49, 487n72) as: Herbie Nichols, "The Jazz Pianist—Purist," *Rhythm: Music and Theatrical Magazine* (July 1946), 12.

[69] Lacy similarly states: "[Monk] did a lot of research on the sound, the sonorities, the harmony. Really he was an inventor, a mathematician, a great musician. He found all his pieces, all his sonorities by watching himself in the mirror. It offers ideas and creates a sort of distortion, it turns things around. It disconcerts and he loved being disconcerted" (Kirili [1996] 2006, 161). Speaking of Monk's support for his experimentation, Lacy also wrote that Monk's wife, Nellie, "always believed in his great talent, and supported him during the time he couldn't work, so that he could continue the research he was pursuing at the piano, and in his compositions" (Lacy 1997, 15).
[70] Rollins played with Monk from 1947–58 (Kelley 2009, 118; Sheridan 2001, 381).
[71] This is reported by Art Blakey in Thomas (1975, 90); reprinted in Kelley (2009, 223).
[72] "Boo Boo's Birthday" was recorded for *Underground* (Monk 2003b).
[73] Rouse provides a similar statement in another interview, saying that Monk asked him to play his part an octave higher. Rouse responded that the notes were out of his range; Monk insisted that Rouse play in the high register (Isherwood 1988, 17).
[74] Rouse also speaks of Monk's difficult music in his interview with Ben Sidran (Rouse [1985] 2006, 11:02–11:23).
[75] Koch cites "Eronel" and "Think of One" from *Criss Cross* (Monk 1993a) and "Straight, No Chaser" from *Brilliance* (Monk 1975).
[76] See chapter 2 for a description of forumlas in jazz improvisation.
[77] Other critics have commented on Monk's renditions of popular song. Blancq writes: "Absent are the usual expressions of sentimentality or redundancy, two of the most frequently encountered characteristics of popular music. [. . .] Monk's interpretations, however, consisted of purged or stripped-down transformations, where just the bare framework of the popular standard had been preserved" (1983, 17). This reading echoes Hodeir's comment that "[o]ne may wonder what remains of the theme of 'I Should Care' after this acid bath, and, in fact of the ballad in general, considered as an essential element of jazz sensibility" ([1962] 2001, 126). (The commercial recording of "I Should Care" can be heard on *Thelonious Himself* [Monk 1987c].) Mehegan similarly writes: "a melody to Monk is something to be proliferated into a series of grotesque phrases until the original intentions of the composer (sometimes Monk himself) become immersed in what is sometimes referred to as musical mayhem" (1963, 9).
[78] Nettl labels these methods as "compositional techniques," but speculates whether their origins would be strictly compositional or improvisational (1974, 10).
[79] Solis devotes a section of his dissertation to this musical dialogue, titled "Conversing with Monk" (2001, 213–20).

Section 2: Analysis

Chapter 2: Transcription and Analytical Methods

The aim of the analyses in chapters 3 and 4 is to describe the Monkian aesthetic in the performances by Rouse and Lacy. The scope of the project includes an analysis of their individual styles inasmuch as they pertain to the interpretations of Monk's music, and not necessarily to each musician's personal sound. In turn, considerations of bop, blues, and free jazz styles are included to highlight the stylistic differences between recordings.

The first section below describes the selection process for the pieces chosen for analysis. Transcription methods are considered next with examples to clarify possible discrepancies in reading the notation. I also account for why some parts (i.e., saxophone, trombone, piano, drums, bass) are transcribed while others are not. The last section describes the reduction, formulaic, schematic, and rhythmic analysis techniques used in chapters 3 and 4. Different approaches are used according to the stylistic, textural, or temporal attributes of the piece under investigation. I conclude by considering the process of improvisation and musical interaction between musicians.

Selection Process

The analyses include two performances by Rouse with Monk's group ("Evidence" and "Rhythm-A-Ning"), and three performances by Lacy (two versions of "Evidence" and "Pannonica"). I agree with Joseph Kerman's suggestion that the selection of pieces

for analysis is an instance of music criticism (1980, 313). To extend Kerman's perspective, the selection of pieces in this study is not to describe the music based on organicism or aesthetic greatness (ibid., 321); rather, each piece contains aural discrepancies between each musician's performance of the melody, harmony, rhythm or metre. The selection is informed by specific musical challenges within the recordings: aspects of performance that are unusual compared to other recordings. A volume of recordings were consulted to find representatives of how the musicians negotiate the musical terrain while improvising. The selections are based on: 1) works that represent Rouse's or Lacy's oeuvre at important historical junctures, 2) performances that are representative of other recordings of the same piece, 3) a temporal span of each musician's experience with Monk's music, and 4) works that aurally exhibit musical challenges during improvisation.

The chosen pieces all have an AABA form. Blues-form pieces are not included. One reason for this limitation is accounted for by Monk's repertoire and recorded output. Suggested by Robin Kelley, Monk preferred AABA form pieces to the blues:

> Given the recorded evidence from Minton's it seems as if Monk rarely played the blues. While he would go on to write a number of blues pieces ("Blue Monk," "Functional," "Ba-lue Bolivar Ba-Lues-Are," etc.), he only recorded two blues pieces during his first few recording sessions with Blue Note: "Misterioso" from July 2, 1948, and "Straight, No Chaser" (July 23, 1951). (2009, 478n40)[1]

This is not to neglect the importance of the blues in Monk's music, especially in the work by Rouse. It is not the blues form, but melodies and improvised lines based on the blues scale that are important stylistic features of the music. The two recordings by Rouse have been chosen to represent the blues within the AABA form.

The first piece—"Evidence" from *Thelonious Monk Quartet Plus Two at the Blackhawk* (Monk 1987d)—is a prime example of the above considerations. Recorded in 1960, it is one of Rouse's early recordings with Monk, and predates the quartet's rise to fame. It represents Rouse's early approach to the tune when comparing it to other of his recordings of "Evidence." Furthermore, it includes references to the blues that were important elements in Monk and Rouse's playing. This recording is interesting at the exit from the head and transition into Rouse's solo: there is a clear temporal discrepancy between the drums and the rest of the ensemble. The saxophone, piano, bass and drums are transcribed for an analysis of how the musicians interact according to the musical demands of the head.

"Rhythm-A-Ning" was recorded at the It Club in the fall of 1964 (Monk 1998)—the height of the quartet's fame. It is representative of many musical approaches that he developed during his first six years with the band. One hears his extended solo transition through different sections (i.e., extemporizing on the thematic material, the blues, a trio setting while Monk strolls, an employment of space and silence, and complex chord changes). Although Rouse performed Monk's music with the tribute band Sphere in the 1980s (see appendix B), their performances were texturally and stylistically similar to the music performed in the 1960s. Therefore, the music by Sphere is not included.

Recordings before or during Lacy's time with Monk are not included for the analysis; rather, the pieces are chosen to investigate Lacy's free jazz approach to the music. "Evidence" (Lacy 1990) was recorded in 1961 and does not include a piano in the ensemble. In place of a chordal instrument, Lacy plays counterpoint to the melody during

the head and complementary lines during the trumpet solo. Furthermore, his solo does not overtly suggest the chord changes of the piece.

"Pannonica" is a live recording from 1963 by Lacy and Roswell Rudd and was released on *School Days* (Lacy 1994). In a trio setting, the drums adhere to a time-keeping role for the interactive improvisations by Lacy and Rudd. Without a bass (which was included in the other tunes of their performance), the latter two musicians necessarily compensate for the instrument's role. Monk's version of "Pannonica" is presented first to facilitate a comparative analysis of the two recordings.

Lacy's solo interpretations of Monk's music in the 1980s is exemplified by "Evidence." One version is included in his book *Findings* ([1994] 2005) and another was recorded for *Only Monk* (Lacy 1987). The latter is selected for the analysis: it proffers the Monkian aesthetic, as well as Lacy's concerns with rhythm, space, and treatment of the theme. The rhythm—a musical challenge demanding innovative solutions for a solo instrument—is discussed in chapter 4. (The transcription is discussed later in this chapter.)

Transcription Method

A balance between prescriptive and descriptive transcription methods requires modifications to traditional Western notation.[2] The transcriptions borrow and amend some of Paul Berliner's alternate notations and diacritical marks (1994) to illustrate timbral and rhythmic variation (see fig. 36 in appendix D). Also, I have written the saxophone transcriptions in concert pitch (i.e., the tenor and soprano saxophone parts are

not transposed to their B♭ instrument clefs). This simplifies the analysis of the melodic and harmonic interaction between instruments and the readers' ready apprehension.

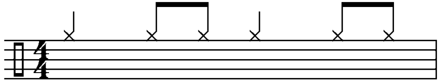
The chord changes are derived primarily from the bass to avoid confusion between the bass and piano parts. Chord symbols are written according to conventional jazz nomenclature (see Witmer and Finlay 2009). Because the bass does not provide all required notes for each chord, the chord quality (major, minor, and sevenths) is often conjectural.[3] Conventional chord changes of each piece are used to infer the chord quality. For example, the Gm7 chord in m. 50 of "Evidence" in appendix E is taken from typical renderings of the second measure of the piece's A section. Similarly, the F#7 chord in m. 201 of "Rhythm-A-Ning" in appendix H is written as a 7 chord according to the cycle of fifths from mm. 201–4: each chord in a cycle of fifths is a 7 chord in conventional jazz practice.

The notation of a chord's quality is amended if it is altered by the piano part. For example, the A♭7 chord in m. 46 of "Evidence" in appendix O is labelled as such according to the note C played by the piano. Otherwise, the chord would typically be an A♭m7 chord (compare with analogous times in other A sections, mm. 54, 70, 86). When the piano part does not play the same chord as the bass, the chord is notated according to the bass part. In these cases, one may see discrepancies between the labelled chord (performed by the bass) and the notes played by the piano.[4] I have avoided changing any chords or chord qualities due to the notes in the saxophone part to avoid confusion in the analysis. Last, I have not notated chords in the heads of "Evidence" and "Rhythm-A-Ning" because the performances do not indicate distinct chord changes.

The notated rhythms are according to the jazz style in which the performances took place. Transcriptions and examples in appendices E–M contain swing eighth-notes, whereas the eighth-notes in appendices N and O are straight.[5] Temporal inflections to certain rhythms are notated with arrows above the notes (← and →) according to their respective placement ahead or behind the beat.

The drum transcriptions are written according to standard practice (see the notation key in fig. 37 of appendix D).[6] Clarification of a standard drum pattern may be required for readers less familiar with drum notation. Figure 3 represents a traditional swing rhythm on the ride cymbal.

Figure 3: Traditional ride cymbal rhythm

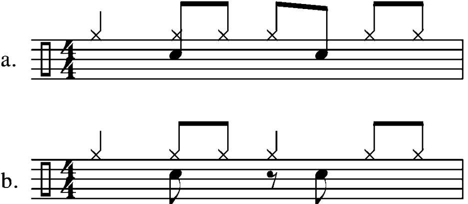


I label this as a “traditional” ride cymbal rhythm because it is a stylistic marker of many jazz recordings in $\frac{4}{4}$ metre. Paul Berliner uses this beat as a typical drum rhythm (1994, 514 exx. 1.2c–d) and how it is used for a groove and interactive rhythmic play (cf., 1994, 350, 637, 639–41). In a discussion of typical rhythms played by jazz drummers, Ingrid Monson illustrates this “standard ride cymbal rhythm” and its variant notations—each of which has the quarter notes on beats one and three with two notes (e.g., ♩ ³ ♪, ♫, ♪. 𝅘𝅥𝅯, or ♪.. 𝅘𝅥𝅰) on beats two and four (1996, 53). Robert Hodson confirms the traditional rhythm as integral to the drummer’s role in standard-jazz practice (2007, 30–31).

The rhythm in figure 3 can be seen in the drum parts in appendices E–H and chapter 3. Drummers traditionally play the hi-hat with this rhythm on the first note of the eighth-note pair on beats two and four (Monson 1996, 55), which would appear below the bottom line of the staff (graphically analogous to the note D of the treble clef staff). To my ears, the hi-hat cannot be heard in the pieces under investigation and is not included in the transcriptions. (The hi-hat is either not played or is sonically masked by the ride cymbal when the two are played together.)

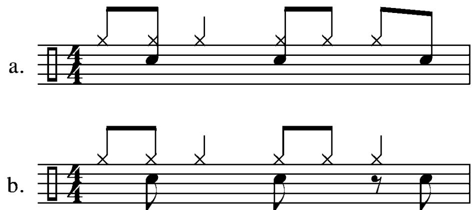
According to standard drum notation, the ride cymbal rhythm may look different when the snare or bass drum is added. For example, beat three in figure 4a looks like two eighth-notes, a deviation from the traditional rhythm in figure 3; figure 4b illustrates that the traditional rhythm is preserved on the ride cymbal with a fill on the snare drum.

Figure 4: Traditional ride cymbal rhythm with a snare drum fill



One will see in chapter 3 that the drummer on "Evidence" (transcribed in appendix E) inverts the traditional ride cymbal rhythm, or "turns the beat around." The drum pattern from m. 48 of appendix E is shown in figure 5a with a clarification in figure 5b. The illustration is provided because the traditional ride cymbal rhythm, and its inversion are important for the analysis of the piece.[7]

Figure 5: Inverted ride cymbal rhythm with a snare drum fill



The transcriptions only include the instruments that are considered in the analysis (saxophone, piano, bass, drums, or trombone). Rhythmic displacement and group interaction dependent on the drummer's beat is the object of investigation for "Evidence" in appendix E; the drum notation includes the snare and bass drum until m. 82, the point when all musicians decisively converge on a recurrent metre. I have not transcribed the snare and bass drums after m. 82 because they are not required for the analysis: the drummer maintains a traditional ride cymbal rhythm thereafter, which is metrically aligned with the rest of the ensemble. (One will notice that I have notated extra measures in the form from mm. 71–74 and after m. 79 as the musicians compensate for their metric incongruence.)[8]

The transcription of "Rhythm-A-Ning" in appendix H is similar: Monk's piano part is provided when needed (i.e., excerpts from mm. 77–89 and mm. 101–4 are similar to their preceding patterns and are not transcribed). The harmony outlined by the bass is provided above the saxophone staff. Complex chord changes and significant group interaction occur during Rouse's solo from mm. 201–12, requiring transcription of the bass and drums for this passage.[9]

The transcriptions of Lacy's performances only include the instruments under investigation. The analysis drives this decision: in the head of "Evidence" from 1961 (appendix J), the introduction played by the bass and drums is not included, while the trumpet part in the head is provided to analyze the counterpoint that deviates from the otherwise unison melody. The figures in appendix K are transcriptions of Lacy's background lines to the trumpet solo—the trumpet part is not included. In chapter 4, I demonstrate that these lines reference Monk's comping on other recordings; consequently, Lacy was "comping" during the trumpet solo. Furthermore, the drums are unimportant for the purposes of the analysis; Lacy's solo is transcribed in appendix L and includes chord changes as played by the bass.

Figure 40 in appendix M is a transcription of the melody and harmony of "Pannonica" by Monk from the album *Brilliant Corners* (Monk 1987a).[10] A simplified version of the form is provided in figure 41 (appendix M). One will witness a minor difference between the two transcriptions in appendix M: although mm. 1–3 of figure 40 indicate harmonies beginning in the key of B, typical interpretations of the piece (to my knowledge) conform to the harmony in the key of C as shown in figure 41.[11] The interaction between Lacy and Rudd is central to the analysis of "Pannonica" (transcribed in appendix N); their performance is compared to the melody from figure 41.

The transcription of Lacy's solo interpretation of "Evidence" in appendix O necessitates an alteration to Western-notated rhythm. Given is the recording's deferral of a time-keeping referent (e.g., an accompanying drummer, bassist, or pianist), and Lacy's manipulation of the metre; a descriptive transcription of the rhythm requires a

supplementary illustration to reflect the performance.[12] I underwrite the staff notation with graphic waveforms generated from the computer program "Transcribe!."[13] The waveforms on the rhythm staff ("r") indicate the sound events through time, and are used to illustrate the notated rhythms on the saxophone staff ("s"). Each staff line is equal to 6.4 seconds of duration;[14] as the tempo is adjusted throughout the piece (i.e., the pulse is sped up or slowed down), the spatial length of the measures on the "s" staff is stretched and compressed according to the perceivable varied pulse. Thus, the bar-lines on the "s" staff do not fit neatly into the 6.4 second constraint determined by the "r" staff, yielding some measures to span two staff lines (e.g., see m. 4 in appendix O).[15]

I have also notated the rhythms that seem to float through time by using indeterminate rhythmic durations (notated as •) and dotted bar-lines (to maintain reference points for the analysis). Some passages containing notes without stems could be written with rhythmic values, sometimes requiring different tempo markings (which would result in a more prescriptive transcription). However, writing rhythms with complex temporal sub-division or different tempo markings surrenders to the limits of transcription. The notes provided without stems are used to reflect how an elasticity of time is conveyed throughout the piece.[16] The rhythms of the head are transcribed in accordance with Monk's original composition. For example, the first note (m. 1 in appendix O) is placed on beat two. The analysis in chapter 4 shows how this metric reading is validated in the passages that follow the head.

Analytical Methods

The analyses include conventional methods in jazz research under the lens of musical interaction. The method is foremost concerned with examining improvisation as a process rather than a sonically captured product. Rather than simply identifying the elements of the Monkian aesthetic on the score, attention is given to the performer's treatment of the aesthetic while interacting with the other members of the ensemble (where applicable).

Transcription lends itself to discrepancies in musical spelling. Decisions about chromatic alterations to the diatonic scale have been weighed according to legibility, the harmony, or contrapuntal movement with reference to the melodic contour. Therefore, many analytical descriptions consider the enharmonic spelling of notes; pitches written for legibility may not conform to the spelling in the analysis. A simple example would be a typical blues inflection including a ♭3 scale degree. For instance, the transcribed note of C# in B♭ major may be enharmonically analyzed as D♭, a ♭3 blue note. An example is the A sections of Rouse's second solo chorus on "Rhythm-A-Ning" (mm. 73–80, 81–88, and 97–104 of appendix H): he alternates between the ♭3 and ♮3 notes of the B♭ blues scale where the ♭3 is transcribed as C#.

Techniques

Formulaic and schematic analysis techniques outlined by Lawrence Gushee ([1977] 1991), and musical reduction (of small passages) are adapted for this study.[17] Melodic reduction is a common technique for musical analysis and it is used in its most

basic form. Considering improvisation as a dynamic process rather than a goal-oriented product, I only reduce short phrases rather than the entire performance.

Gushee consolidates prevalent analytical approaches to jazz, two of which are formulaic and schematic analysis techniques.[18] By analyzing four versions of Lester Young's "Shoe Shine Boy," he concludes that a musician's approach to improvisation "proceeds along several tracks at once" (ibid., 252). That is, the techniques (used to demonstrate how a musician improvises) are not mutually exclusive. Some of Rouse's musical phrases are formulaic, and his improvisations demonstrate an overarching scheme.[19] Lacy's music is not formulaic; however, his phrases may be analyzed with reference to repeated thematic material and schematic attention to form.

The theory supporting formulaic analysis was first presented by Albert Lord in the analysis of Homeric epic poetry (1960). To analyze the transmission of works in this oral tradition, the formula is identified as "a group of words which is regularly employed under the same metrical conditions to express a given essential idea" (ibid., 30). Rather than static repetitions of a given idea, the formula is conceived as dynamic recurrent patterns: they are not uniformally fixed, meaning they can be varied with each occurance. Lord writes that formulas are not "ossified clichés," but "are capable of change and are indeed frequently highly productive of other and new formulas" (ibid., 4). When the performer makes adjustments, the melodic pattern may shift, yielding a modified version of the formula (ibid., 37). As expected, the performer will make errors, which are scarcely noticeable by the audience "since they have an understanding of the singer's art and recognize these slight variations as perfectly normal aberrations" (ibid., 38). This

explains how formulas also provide continuity within the work and for the style in which it is performed (ibid., 30, 42).

Formulaic analysis was adopted by musicology to investigate musical transmission and performativity in other oral traditions, namely plainchant and jazz. For example, Leo Treitler successfully successfully examines plainchant comprised of formulas and larger formulaic families (1974). Trietler's contribution to the theory reinforces that formulas are inexact repetitions of similar patterns due to the reconstruction of phrases in the process of remembering (ibid., 344–47).

Jazz analysis adopted the technique to investigate how some instrumentalists improvise. In jazz, formulas are musical phrases that a musician performs at recurrent (or similar) junctures within the form. With a boundary of the musician's collective style, one may find formulas when analyzing phrases at analogous times within the cyclical form, and across a repertoire of pieces with similar harmonic movement.[20]

In chapter 3, formulas are identified in Rouse's solos to illustrate how he uses the phrases to elicit the Monkian aesthetic. For example, a formula may repeat thematic material from the head arrangement, be an example of musical economy, or contribute to rhythmic displacement. Formulas found in the solo are indicated according to multiple occurrences within the piece, as well as instances in other recordings found aurally.

I follow Gushee's example of schematic analysis where a musician's scheme can be seen according to articulations of form and the overall shape of the solo ([1977] 1991, 250–51). Informed by his description of schematic analysis as a "[g]eneration of specific expression by transformation of fundamental structures" (ibid., 237), the Monkian

aesthetic serves as elements for the "generation of expression." Furthermore, the Monkian aesthetic in these pieces is understood to be variant expressions in different performance contexts.[21]

Analyzing Rhythm

A clarification of the terms rhythmic displacement, metric shift, and metric ambiguity is required for the analysis of rhythm. As described in chapter 1, rhythmic displacement is a broad category of rhythmic asymmetry with respect to the expected beat. Expectations due to the form or previously played motives are broken by: anticipations or delays of thematic entrances and cadences, note augmentation or diminution, changing accents, or repetitions of motives that begin on different beats (see chapter 1). The listener may perceive a consistent metre when the rhythm is displaced, but apprehend a disruption in the beat's continual flow.

A metric shift is an extreme case of rhythmic displacement. The performer may use the same methods described above to displace the rhythm. However, the listener is no longer able to apprehend its asymmetry with respect to the continuous beat: the beat has changed, causing a perceived shift in the metre and a new paradigm of metric expectations. For example, an accent on beat two in $\frac{4}{4}$ metre may be heard as a downbeat. The continuity of a $\frac{4}{4}$ beat emphasis from that point forward confirms the new metric paradigm which has been shifted from its original context.

Metric ambiguity is the most extreme case of rhythmic displacement: the listener is not able to form metric expectations. The performers have a sense of the metre, where

each note is placed with respect to the beat; however, a definitive beat is not perceived by the listener due to successive changes in expectation, or insufficient musical information.

For the analyses in chapters 3 and 4, I frequently refer to what is "heard" by a listener according to these notions of rhythmic displacement, metric shift, and metric ambiguity. Since a transcription cannot fully capture rhythm, articulation, or beat emphasis, alternate readings of rhythm and metre are used to depict phrases that move in and out of phase.

Mark Haywood's "rhythmic readings" of Monk's music ([1994–95] 1996) is a notable method that has been adapted for the analysis. I am in agreement with Haywood's analytical intent, which is summarized in his essay on "Monkishness":

> In "Rhythmic Readings" an approach is developed whereby portions of Monk's composed melodies which sound rhythmically dislocated or disjoined (in a typically "Monkish" way) are actually reinterpreted or "reheard" by us in such a way that they make better "auditory sense." This approach is based on the idea that behind the tune as it is actually played by Monk [. . .] there is a simpler, more logical, paradigm.[22]

Haywood aims at describing displaced rhythms by sectioning small motives into different time signatures called "dislocations" of the pulse (ibid., 2, 3). In his model, each staff of music, transcribed in $\frac{4}{4}$ metre, is complemented with a staff below containing different time signatures; each time signature is determined according to rhythmic groupings *seen* on the score ([1994–95] 1996).

The problem with Haywood's analysis is that when phrases are grouped in different time signatures, the surrounding measures must be adjusted. For example, if a downbeat in $\frac{4}{4}$ metre is anticipated by one beat, the metre is changed to $\frac{5}{4}$, which requires the preceding measure to be in $\frac{3}{4}$ metre. This implies that the musicians were

thinking in different time signatures, each measure having a different beat emphasis (e.g., a $\frac{3}{4}$ measure followed by a $\frac{5}{4}$ measure could be read as $\frac{3}{4}$: strong–weak–weak, and $\frac{5}{4}$: strong–weak–weak–strong–weak). I have rid Haywood's method of using different time signatures, but preserved the staff below the original transcription to illustrate how the notes are displaced with respect to the bar-line, thus representing a perceived metric shift. Additionally, bracketing of rhythmic groups is one method used to illustrate two-, three-, and four-note groupings in the drum part of "Evidence" in chapter 3.[23]

Process and Interaction

John Brownell presents a convincing argument that jazz analysis should use "processual" models that treat improvisation as a dynamic process, rather than reductive models that use the transcription as a static "score" (implying that improvisation is a product) (1994). Inherent in Brownell's essay is that formulaic analysis lends itself to the dynamic nature of improvisation; although formulaic analysis is used for Rouse's version of "Evidence," the remainder of the analyses describe the music chronologically through narrative.[24] Although transcribed scores are used, the method aims to evince the Monkian aesthetic as a set of malleable elements that are reworked in a variety of ways each time they are performed.

The analysis of Rouse's solo on "Evidence" is segmented compared to the other analyses. Due to the rhythmic complexity between parts (saxophone, piano, bass and drums) I found it necessary to label the Monkian elements of the solo first, and account for the group interaction with respect to the metre second. The interaction between instrumentalists in the remaining pieces (with the exception of Lacy's solo recording of

"Evidence") is more straightforward; therefore, a chronological narrative is more suited for these analyses.

Attention to processual analysis is not new.[25] Directly applicable to this study is Berliner's insight into musical negotiation and compensation: "Amid the rigorous operations of listening and responding, the overlapping perceptions of all the players potentially compensate for any individual's difficulties or divergent viewpoints and contribute cohesion to the larger performance" (1994, 363). He expands this idea as "challenges presented by musical error," where unforeseen events (e.g., deviations from harmony, metre, or form) require strategies for the musicians to find a common ground (ibid., 379–83). Drummer Leroy Williams describes a situation when playing with Monk's group:[26]

> Some players can stretch the time to that fine line of almost turning the beat around, but they can always come back. For example, with [bassist] Wilbur Ware in Monk's band, they would play so close to that thin line rhythmically that, if you weren't careful, you'd find yourself playing on "one" and "three," instead of "two" and "four." If you weren't careful, you'd be right off it. It has to do with where you put your accents when you're improvising. (Ibid., 381)

Finding musical "saves" in such occurrences, "jazz groups simply treat performance errors as compositional problems that require instant, collective solutions," such as providing formal cues to each other, continuing with the harmonic form until the erroneous musician falls into place, or collectively adjusting the harmony or metre according to the particular error (ibid., 382). Berliner states in his summary:

> collective interplay can lead players beyond the bounds of their initial plans and even cause them to invent new musical forms that subsequently serve as vehicles for the group's improvisations. Such practices [. . .] reveal the perpetual interplay between formerly composed ideas and those conceived in performance. It is this

> dynamic reciprocity that characterizes improvisation as both an individual and a collective music-making process. (Ibid., 386)

Musical language and conversation are important ideas when reading into the work by Rouse and Lacy.[27] It is with Monk's lexicon that a "conversation" between band members takes place. Monson differentiates the conversation from the musical text, stating, "the indivisibility of musical and interpersonal interaction underscores the problem of thinking about jazz improvisation as a text. At the moment of performance, jazz improvisation quite simply has nothing in common with a text (or its musical equivalent, the score) for it is music composed through face-to-face interaction" (1996, 80). The idea is discussed further: "When musicians use the metaphor of conversation, they are saying something very significant about musical process" (ibid., 81). The conversation requires musicians to listen, "being able to respond to musical opportunities or to correct mistakes" (ibid., 84).

Similar to Monson's claims, the Monkian aesthetic embodies a language and is a "communicative medium" for its performers (ibid., 85). Requiring careful listening and response by the improvising participants, their musical syntax distinguishes "jazz as a unique musical and aesthetic system from other musical genres" (ibid., 85)—the boundary of this study is Monk's "aesthetic system."

Hodson analyzes musical interaction to suggest that changes in ensemble roles (and instrumentation) in free jazz influenced changes in musical syntax. I am in agreement with his findings; however, his investigation looks for what free jazz and "standard-jazz practice" have in common (2007, 117) to support his argument that "free jazz evolved from standard-practice jazz through a gradual breaking down of predefined

musical parameters" (ibid., 118). Hodson's argument for the evolution of jazz falls short: by examining *how* musicians perform analytically does not explain *why* such musical choices are important. That is, social and cultural constructs, as well as an individual musician's agency (all of which are integral to Monson [1996]) are given a backseat to transcribed data.

The difference in method between Monson (1996) and Hodson (2007) brings attention to particular readings of the music by Rouse and Lacy. I do not propose that the common aesthetic found in the analyses is representative of musical evolution (post-bop to free jazz). Instead, I consider the analyses as representatives of Monk's influence. The Monkian aesthetic lends itself to interpretations in different stylistic categories; the analyses demonstrate individual agency within the currents of their time.

An important aspect for analyzing interaction is to think of Monk's language as a fluid system beyond the boundary of the piece. I do not consider interaction to be a linear unfolding of time with one person's playing to be a direct consequence of another. Instead, I account for the experience the performers had together (and their experience with Monk's music) to relate musical ideas to those in other recordings, the post-bop or free jazz style, or the instrumentation in which the pieces were played. For example, I compare different recordings to analyze certain blues ideas and chord progressions used by Rouse. The analyses of Lacy's recordings are related to what he learned from Monk, or the instrumentation of the performance.

Summary

The aim and scope of the analysis is to account for, and within the boundary of, the Monkian aesthetic as performed by Monk, Rouse and Lacy. The selected pieces have an AABA form and aurally exhibit musical challenges during improvisation (difficult passages or discrepancies in harmony, rhythm or metre). After consulting multiple recordings by Monk, Rouse, and Lacy, the pieces were chosen as representatives of their work at different historical junctures and other recordings of the same piece. Transcriptions of the recordings use Western notation with diacritical marks (e.g., alternate note-heads, dotted bar-lines, indeterminate rhythmic values, arrows for temporal adjustment, and supplementary graphics). For Lacy's solo recording of "Evidence," the staff notation is supplemented with graphics of the sonic waveform to illustrate how the notated rhythms are stretched and compressed through time (see appendix O). For the recordings that include the drums, piano, bass or trombone, only the instruments under investigation are transcribed.

The chord symbols are extracted from the bass line. Because the bass may not always indicate the quality of a chord (major, minor, or the seventh), the chord quality is determined by typical renderings of the piece. Because the piano may play different chords than the bass, the notated piano part may include chords that do not match the symbol. However, when the chord on the piano matches that of the bass, the quality of the chord symbol has been written according to the piano part. Sections of the saxophone

part that may suggest a chord are independent from the chord labelling process: the saxophone does not play a role in notating the chord symbol.

The eighth-notes written in appendices E–M are swung, which is conventional for jazz transcriptions. The eighth-notes in appendices N and O are straight; any swing eighth-notes are indicated on the score or written as triplet rhythms. In all the transcriptions, sharps and flats are written for legibility. In turn, the enharmonic spelling of notes must be considered when reading the analyses.

Analytic methods vary according to the musical (and Monkian) features of each piece. Musical reduction is performed on short excerpts. Formulaic analysis is conducted for the performances by Rouse. Formulas are identified according to recurrent patterns within the piece and instances found aurally on other recordings. The analysis only identifies Rouse's formulas that explicitly contribute to his performance of the Monkian aesthetic. Schematic analysis is employed to describe the generation of expression with the Monkian aesthetic in the overall shape of the solo.

Rhythmic displacement is defined broadly: expectations of a continuous beat are broken, where the listener may apprehend a disruption in the continuous beat but still follow the metre. Metric shift is a type of rhythmic displacement where the listener hears a phase change of the beat; the metre is shifted either back or forward into a new paradigm of metric expectations. Metric ambiguity is the extreme case of rhythmic displacement where the listener is no longer able to form expectations of a continuous beat.

A system for illustrating rhythmic and metric displacement is used to demonstrate the difference between what the musicians play, and what the listener perceives. The notated examples include a staff line written below each instrumental part (i.e., saxophone, piano, bass, drums) to illustrate the perceived displacement of the beat. In one example, rhythmic groups are bracketed to illustrate deviations from the metre. Rouse's solo on "Evidence" is analyzed in sections according to the elements of the Monkian aesthetic. The remaining pieces are described through chronological narrative, highlighting the process of improvisation as time unfolds. Using processual- rather than a product-based analyses, interaction is analyzed to depict Rouse and Lacy's use of Monk's language, a continual reworking of his aesthetic material.

Notes

[1] For more on Monk's Blue Note recordings, see Kelley (2009, 140).
[2] Ter Ellingson writes that current transcribers employ a method that is "neither strictly prescriptive nor descriptive, but rather cognitive or conceptual, as it seeks to portray musical sound as an embodiment of musical concepts held by members of a culture" (1992, 110). This is based on an important distinction between treating the transcription as "the piece"—a unit of musical thought—and a representation of the performance (Nettl [1983] 2005, 81). With respect to this idea in jazz, see Witmer and Finlay (2009), and Andrew White's transcriptions of solos by John Coltrane (1978).
[3] For a discussion of how transcribing chords is largely interpretive, see Berliner (1994, 508–10).
[4] In some instances, I have notated a chord in brackets to reflect the chord played by the piano when it is not inferred by the bass. These instances are to provide clarity for the analysis.
[5] I attend to the swing eighth-notes in Lacy's free jazz performances (chapter 4).
[6] The drum notation is the same format (the clef, note-heads, position of note-heads on the staff, and stem direction) as Berliner (1994, 514). The same notation, with the exception of stem direction, is used by Ingrid Monson (1996). These convetions are cited by Monson as "developed by Jim Zimmerman for the percussion parts appearing in the *New Real Book*" (1996, 24). Her citation (1996, 244) is: Sher, Chuck, and Bob Bauer, eds. 1988. *The New Real Book*. Petaluma, CA: Sher Music Co.: 413.
[7] One will note illustrative discrepancies in appendix E similar to figure 5a. In chronological order, see beat four in mm. 48 and 52, beat two in m. 56, beat four in mm. 57 and 60, beat two in mm. 62 and 66, beat three in mm. 74 and 76, beat one in m. 78, and beat three in m. 80. Depending on the drum fill, variants can be seen in the head (beat three in mm. 26 and 27, beats three and four of mm. 28–31, beat three in m. 32, and beat four in m. 39).
[8] The $\frac{1}{4}$ measures in appendix E are not included in the measure numbering because I believe the musicians did not consciously *think* of adding an extra measure, but rather adjusted their playing to adhere to the harmonic structure of the piece. As I state in chapter 3, the $\frac{1}{4}$ measure in the drum part is notated for convenience—the "extra measure" is a result of the interaction between musicians, and is an example of the limits of notation for such performances.
[9] I also transcribe the bass and drum parts at the beginning and end of this passage (mm. 199–200 and 213) to illustrate how the ensemble moved in and out of the section.
[10] Monk's introduction played on celeste is not included in the transcription.
[11] Furthermore, the head of "Pannonica" on *Brilliant Corners* is played by two saxophones (Ernie Henry on alto and Sonny Rollins on tenor), and the transcriptions do not provide the contrapuntal dissonance heard on the recording. I account for this deficiency in the analysis.
[12] This method of transcription is similar to "conceptual" illustrations where "the transcription then becomes a means not of discovering, but of defining and exemplifying

the acoustical embodiment of musical concepts essential to the culture and music" (Ellingson 1992, 139–40).
[13] Graphics were generated from "Transcribe!" version 6.00 for Macintosh OS-X, Seventh String Software, 1998–2003.
[14] For legibility, the length of 6.4 seconds was determined by the four-bar phrases in the head.
[15] With respect to the 6.4 second constraint of the "r" staff, the considered alternative was to have staff lines of variable length according to the notes on the page, thus requiring the reader to interpret the relationships between the lengths of each line. Such a presentation would parse the visual aspect of the continuum of time, leaving the reader to measure sound and silence according to millimetres on the page; this transcription method would misrepresent the proportions of sound and silence on the recording.
[16] One may compare the transcription in appendix O with the other solo performance of "Evidence," transcribed in Lacy's book, *Findings*. The latter includes different solutions to notating time. Changing time signatures between $\frac{3}{4}$ and $\frac{4}{4}$ are used in the head. Bar-lines are not included in the solo section, and changing tempo markings ranging from 84–184 indicate that Lacy speeds up or slows down in different sections of the piece (Lacy [1994] 2005, 164–67). Aiming for a more descriptive than prescriptive transcription, I have not used such conventions as to illustrate the temporal, and processual qualities of the improvisation.
[17] The analysis as a whole attends to Gushee's description of semiotic analysis, a "decoding of mythic structure" through a system of signs ([1977] 1991, 237).
[18] Gushee also describes motivic analysis in jazz. Although I use the word "motive" in the analysis, the term does not suggest motivic development as per Gushee's definition ([1977] 1991, 237, 248). I use the word "motive" simply to identify short musical ideas.
[19] Formulas are identified that clearly exhibit the Monkian aesthetic. A full account of each musician's style (e.g., personalized formulas, phrases, articulation, timbre)—albeit informed by the Monkian aesthetic—is beyond the scope of this dissertation.
[20] See Gushee ([1977] 1991) and Owens (1974) for examples of the formulaic analysis technique.
[21] This is slightly different than Gushee's cited example of schematic analysis, however. André Hodeir's *Jazz: Its Evolution and Essence* ([1956] 1961) is concerned with how the form of a jazz performance determines improvisatory decisions that, in turn, generate essential elements of jazz. For example, Hodeir's three types of improvisatory phrasing are: 1) thematic embellishment, 2) melodic paraphrase, and 3) soloing based on the chord changes (the form of the chorus) (ibid., 114). Although correct, I give primacy to the Monkian aesthetic as a generating principle for improvisation.
[22] Haywood ([1999] 2001, 2). I would note that I agree with the idea that a listener reinterprets Monk's phrases in a different paradigm. I would not agree, however, that the different paradigm is more logical than what Monk performs.
[23] A bracketing method is common in analyses of metre and rhythm. For example, see analyses on metrical dissonance by Cohn (1992) and Grave (1995). Michael McLaughlin uses this technique extensively in analyzing pieces by Monk (1983); however, for phrases

beginning with an anacrusis, the note is not included in McLaughlin's brackets. My method is different in that off-beat notes (such as anticipations) are included in the bracketed phrases.

[24] Lynette Westendorf provides one model for chronological description (1994, 54–59). Robert Hodson employs a similar method (2007, 21).

[25] For example, see Berliner (1994, chapters 11–13), Hodson (2007), Keil (1966), and Monson (1996).

[26] Williams played with Monk briefly in 1969 (Sheridan 2001, 451).

[27] As Monson notes, musical language and the "conversation" among performers during interactive improvisation signify interrelated social representations of, for example, communicative discourse, African American culture, identity, or individual agency (1996, 8). Monson's work is an example of analyzing jazz with fluid boundaries—by opening the discussion to aesthetics rather than style, and considering the flexible "language" of jazz rather than a combination of role-playing instrumentalists, she reads the performance's musical conversation critically in terms of its individual, cultural, and social commentary.

Chapter 3: Charlie Rouse Performs the Monkian Aesthetic

Limited attention has been paid to the degree in which Rouse expanded upon Monk's aesthetic. Later criticism elevated his reputation in jazz, but usually with reference to his work in the 1980s for continuing Monk's tradition. This section discusses his recordings with the Jazz Modes to gain perspective on his inclination towards expanding the resources of jazz through reciprocal interplay with French horn player Julius Watkins, while still being primarily influenced by alto saxophonist Charlie Parker. Subsequently, Rouse's improvisatory approach was altered when he integrated himself into the Monk quartet. His immersion in the Monkian aesthetic defined his personal voice on the saxophone during his time with the group; later descriptions of his performances with Sphere and tributes to Monk claim to determine his late style as grounded in Monkian procedures. Following a discussion of Rouse's music before, during, and after his time with Monk, his improvisations on "Evidence" and "Rhythm-A-Ning"—both performed in a quartet setting with Monk's quartet—are analyzed to describe his performance of the Monkian aesthetic.

Pre-Monk

The album titled *Jazzville '56* (Rouse and Watkins 1956) was the Jazz Modes' first recording (T. Lord 2003)—their studio sessions appear on the A side of the album. The B side is contrasted by recordings by the Gene Quill-Dick Sherman Quintet. The performance by Rouse and Watkins expands the bop idiom with composed sections and counterpoint throughout the pieces.[1] Although the liner notes indicate that the

Quill/Sherman Quintet is also part of the "modern school," the "straight-away 'blowing' session" by the group relies on traditional form (head-solos-head), riff choruses, and sometimes a Dixieland sound (B. Simon 1956; Quill and Sherman 1956). Reminiscent of the Dixieland/bop war, the album may be seen as a program to reconcile the two sides—Quill and Sherman pointing from bop to the past, and Rouse and Watkins representing the modern.

Rouse says that the group played "like a glove," with "counterpoint against each other" (Danson 1982b, 6). Bill Simon's liner notes to *Jazzville '56* explains: "This is a freely swinging, but well-organized modern jazz in which the soloist is never left out there alone throughout an entire chorus. It's a matter of constant interplay between French horn and tenor and piano" (1956). With a sound closely resembling Charlie Parker, Rouse's playing primarily resides in the upper register of the tenor, and is much more fluid (e.g., long legato eighth-note runs) than his later playing with Monk. Simon writes, "[Rouse's] style avoids falling into either the Lester Young or Coleman Hawkins schools. He plays with the fluidity and drive of some of the great alto sax men—Charlie Parker and Sonny Stitt might be found to have influenced him as much as anyone" (ibid.).[2] Like other critiques that write of Rouse's warranted fame, Simon adds: "To some, the big surprise of the album will be the tenor sax of Charlie Rouse. This set and future Jazzville sets should bring this performer the recognition he has deserved for a long time" (ibid.).

The six tracks by the Jazz Modes display a trajectory from bop. On "Dancing On The Ceiling" (composed by Rodgers and Hart), Rouse supplies counterpoint to the

rhythmically dense solo by Watkins. Different than the traditional discrete order of soloists, the musicians inject composed sections between solos. The second track, "Legend," could be described similarly: after the intro, a shared melody is contrasted by the bridge where Rouse provides contrapuntal lines to the melody on French horn. Composed sections between the solos, and parts for the saxophone and French horn exchanged with the drums are heard throughout. Such compositional devices appear in "Temptation"; however, the intertwining composed parts create a framework for interspersed improvisations, sometimes only lasting up to eight measures. Unlike a traditional bop form of head-solos-head, the group disposes of the final head; however the piece retains a clear beginning, middle and end.

"Episode" and "Dancing in the Dark" both deploy the Jazz Modes' approach of arranged orchestration, and short solos lasting for only a few bars at a time—the musicians are not simply trading fours[3] but blending their improvisations with the melody or composed parts. The final track titled "Goodbye" is a ballad and contains one-octave arpeggios on tenor played behind the melody, and the short piano solo is harmonically accompanied by long tones on the saxophone and French horn. The melody is then restated with short solo statements by Rouse; one last repetition of the melody finishes the piece. As the group "played like a glove" in all of their pieces, they systematically blurred the lines between the composition, orchestration, and short solo phrases.

What can be read from Rouse's recording is a high level of musicianship beyond improvisatory skill. To my ears, and in agreement with Simon's statements presented earlier, Rouse's technical facility can be ranked among the leading bop musicians of the

time; however, the degree of compositional integration and planned interplay between instruments points towards Gunther Schuller's definition of Third Stream music.[4] As indicated in the above description of the music, Rouse's vision of music was toward a new means of expression in jazz, much before his work with Monk. Although he retained a Parkeresque sound at least until 1962, he shed the high-register bop lines and developed an approach akin to Monk during the 1960s.[5]

Rouse with Monk

Rouse developed a deep knowledge of Monk's music and was an integral part of the group's sound. Stanley Crouch's review of *Live at the It Club* states that Larry Gales (bass) and Ben Riley (drums) understood Monk's music well, and that Rouse used many of Monk's themes and favourite phrases. Additionally, "Rouse's thoughtful techniques helped give the group its orchestral sound—his use of the saxophone's extreme registers, his clever rests, and his concentration on color added breadth to the quartet" (Crouch 1982, 61). Three other writings about Rouse speak to his mastery of Monk's material. Reviewing the concert at Massey Hall in Toronto in 1964, Helen McNamara writes, "Charlie Rouse [. . .] employs the dissonant sounds and jerky rhythms that have become a Monk trademark" (1964, 24). Ian Carr makes note of Rouse's thematic paraphrase in his solos (1967, 6). And, a review of the quartet's performance of "Rhythm-A-Ning" at the Colonial Tavern in Toronto on October 31, 1966 comments on the synthesis between Rouse and Monk: "Backing Rouse's solo, Monk plays some grandly eccentric runs at the bass end of the keyboard. Rouse must be the fastest thinking tenor man alive. He is also a

master, as on this solo, at fitting fragments of melody into a nearly seamless whole" (Batten 1966, 19).

Rouse connects the music to his earlier playing with the Jazz Modes: "Joining Thelonious's quartet was a big change for me, on all levels. The phrasing of his melodies was unique. There didn't have to be a bridge, or the bridge could be two bars, or four bars. He followed his own rules. I used to do the same thing with Thelonious that I did with Julius Watkins" (Danson 1982b, 6). In 1961, however, Rouse spoke of the differences between the two groups:

> Monk gives you freedom. A lot of times he lays out, and I stroll[6] with bass and drums. If he doesn't want to solo, he'll just tell somebody else to take it. With Monk [. . .] I've changed not my style but my conception. All musicians have to adjust themselves to where they are playing. If I'm playing with Monk, I have to play out and full. If I'm playing with Watkins, I realize I have to play under the French horn. I have to blend. [. . .] When I was with the Jazz Modes, people would say I was holding back, but I was playing like I know it should be. You can't be too individualistic. It was two different things: I couldn't play the same way with the Jazz Modes as I do with Monk. You have to play the way your surroundings are. (DeMicheal 1961, 18)

Rouse therefore found a common compositional approach between the Jazz Modes and Monk's music. With the latter, however, he adjusted his performance practice when given improvisatory freedom: the "surroundings" demanded that he present his own rendition of the musical material.

Rouse's interview from 1985 expands on the importance of individuality with the group. He says, "[p]laying with Thelonious, you can't *lean* on anyone. [. . .] In Thelonious's setting, you all—you have to really be on your own" (Rouse [1985] 2006, 10:31–11:01). Along the same lines he states, "learning a Monk song you learn the *melody*. Now to be able to play it is to be able to *express* it. Express yourself on it. And to

tell a *story*, to express *yourself* from it" (ibid., 12:01–12:23). This type of musical independence was nurtured by Monk. Rouse explains that Monk would push his sidemen to experiment to find new approaches to the music, and their instrument:

> things like that Thelonious would drop on you. But it's all a *challenge*. See [he'd say] yeah man you can do it. And you just keep, you going, go by yourself or go in the corner and just *try* it. And all of a sudden, it'd come, it'd come out. So that means that you don't have any *barriers*. He try to, he gives you that confidence that you can, you can do whatever. Whatever you [. . .] feel like it's supposed to go, express yourself, you can do it. Don't stop it. Don't say no I can't do it 'cause I'm a go another way. Just go ahead and try it. (Ibid., 14:47–15:24)

He found Monk's music to be complicated at first, but developed an ear for its humour and simplicity. Performing with Monk, however, demanded attention at all times. In one interview, Rouse says:

> Playing with Thelonious you can't wait and let him guide you, you got to be there yourself. Or he'll throw you off just like that. [. . .] During a tune, if he feels he wants you to play more, he won't tell you, he'll do a certain thing that'll drop you right in, so you got to take another chorus! [. . .] But once he shows you the tune and you learn the tune, that's it. You're on your own. (Danson 1982b, 6)

He also stated that Monk's strong comping shaped his solos (ibid., 6), many times prompting him to use the melody during improvisation: "His comping was unconventional and I reacted to that. And so many of his tunes had such strong melodies that I was likely to refer to the melody more frequently than I normally would have" (Franklin 1987, 8). Ben Sidran asked Rouse about Monk's comping:

> Ben Sidran: The way Monk was comping behind you, first he'd give you little rapid fire stuff, then he'd lay out entirely for. . .
>
> Charlie Rouse: Yeah, yeah, oh yeah, he gives you a lot a space. Which is very, you know, you learn how to play within, [. . .] he doesn't get in your way at all. And he gives you little, melodic, rhythmic patterns for you to play off. (Rouse [1985] 2006, 8:56–9:17)

Rouse was asked about his melodic improvisations in the same interview:

> Sidran: When you play a song like "Rhythm-A-Ning," do you approach it off of the melody when you improvise as well? Do you know what I'm saying? Does the melody of a song, of a Thelonious Monk song, affect your solo?
>
> Rouse: Oh, yeah, definitely. Yeah. I play off of the melodies a lot. Sort of. Like sometimes you get *mechanical* if you just play off of the chords alone. Because you know what the chords are but you should always *melody* in your mind and play off of that. Play—I mean improvise, I *hear* things off of it. [. . .] Within the context of what it's all about, chord-wise, technically-wise. But you should, I think—*my* approach is always play off the melody. (Ibid., 9:30–10:13)

Rouse may have immersed himself in Monk's music, but he developed his own voice that emanates from the Monkian aesthetic (Rubien 1989, 37). Robin Kelley notes that Rouse initially used Coltrane's vertical solo approach (improvising based on the harmony) as a model for his playing (2009, 252); soon after, Rouse developed his personal identity on the saxophone when learning from Monk's "commanding sound," and to experiment with the music to extend its possibilities (Danson 1982b, 6). Rouse provides a similar account in an interview with David Franklin: "[Monk] wanted you to experiment. He wanted you to be as free as possible and not be boxed in by playing from the chords" (1987, 8). Like Monk's appetite for "mistakes," Franklin writes that "Rouse gives importance to mistakes, and learning from them. 'In public, when you make a mistake, you have to keep on going. That's how you develop'" (Rouse quoted in Franklin 1987, 8). He spoke of developing his style with Monk as early as 1961:

> I'm always trying to hear different things. Searching. But I'm not trying consciously to be just different. I have a style, but I want to play different, in different ways. I want to learn and retain as much as I can from Monk, but I'm changing all the time. You're always going to sound yourself. I might change my style some, but it's going to come out me. (DeMicheal 1961, 18)

Despite the popularity later gained by Monk's other horn players (e.g., Sonny Rollins, Johnny Griffin, and John Coltrane), Rouse's performances are ranked among the top interpretations of Monk's aesthetic. In Rouse's obituary, Larry Gales is quoted saying, "[h]e knew Monk very well. Musically, he was one of the few sax players who knew what Monk was thinking" (Rubien 1989, 37). He continues: "Monk had a lot of cats [saxophonists], you know, but Rouse was one of the best matches. Between Rouse and Sonny Rollins . . . both had that unique style of being able to play with Monk—Monk could groove with them. They could play it like Monk heard it and felt it" (ibid., 37). Tek Talmont similarly writes that "Rouse, who enjoyed the longest tenure of all Monk sax men, also had the best feel for playing into the jagged melody lines, unpredictable rhythmic accents and chord structures which characterized Monk's music" (1984, 4). Gary Giddins posits that "Rouse had achieved something with Monk that neither Coltrane nor those who followed him in Monk's last few years as a performer could match: a perfect blend of tenor sax and Monk's piano—the two of them created a unique unison sound" (1988, 106).[7]

One hears Rouse's sensitivity to the group's dynamics and ability to quickly adjust during an interactive performance when listening to his improvisations with the quartet. Some critics write about Rouse being ideally suited for Monk's themes (Norris 1968, 32), and his sympathetic playing (McLellan 1960, 40; Watrous 1988b, 16). Additionally, Dan Morgenstern states, "Rouse is not among the leading tenors, but he is one of the most consistent, dependable and musicianly of his generation. [. . .] With Monk he is better than a stronger individualist might be, because there is no conflict

between his and Monk's intentions" (1960a, 3). He continues: "Charlie Rouse, who remains himself and never incorporates in his playing any jivey or *fashionable* quotes, has a broad taste in jazz" (Morgenstern 1960b, 20, emphasis in original). Humphrey Lyttelton writes of Rouse's playing similarly in 1961, when he had "become the unobtrusive anchor-man to the Quartet" (1961a, 7).

Later recognition of Rouse's work speaks to his personal voice on the tenor saxophone. The documentary titled *Tenor Titans* covers some of the most notable saxophonists in the jazz tradition—Coleman Hawkins, Don Byas, Ben Webster, Lester Young, Frank Foster, Dexter Gordon, among others—and introduces Rouse's playing on "'Round Midnight"[8] by describing the possibilities of the instrument: "Pitched close to range of the human voice, it can also bend, shape and caress notes the way the human voice does. And its wide palette of tones and timbres, allows each player to mould its sound to his, or her personal conviction."[9] At least in this documentary, Rouse has been granted the honour of conveying the voice of the tenor through Monk's music.

Post-Monk

Although Rouse began performing freely improvised music with Mal Waldron in the 1980s (Sneed 1982, 1), his playing retained a strict approach when performing Monk's music. The members of Sphere had a personal attachment to Monk's intentions and they shared an orthodox conception of the music;[10] thus, Rouse's later work stayed close to Monk's tradition. Reviews were split. For example, Larry Kart writes, "they avoid the challenge of recomposition, as though Monk's 'that's all' meant 'this far and no

further'" (1983, 4). In contrast, Peter Watrous calls Rouse "a master of surprise" and applauds his playing: "he'll let runs skitter like a Charlie Chaplin stunt, then resolve them on the solid ground of a melody" (1988a, 32).

Rouse's performance practice before Monk exhibits a predisposition towards expanding the bop idiom through a strong interplay between musicians. During his time with Monk's quartet, Rouse honed his skills when interpreting the music; his post-Monk work exemplifies his commitment to this aesthetic with an aspiration to maintain high standards of its performance. According to his peers and his critics, Rouse was one of the leading saxophonists to fully comprehend the Monkian aesthetic.

Analyzing Rouse

The analysis in this chapter focuses on "Evidence" and "Rhythm-A-Ning," two of Monk's thirty-two-bar, AABA song-form pieces. The recording of "Evidence" from 1960 is significant because it demonstrates Rouse's early work with Monk when the group was on the rise to national popularity. The 1964 recording of "Rhythm-A-Ning" exemplifies Rouse's playing during the height of the band's fame. For each piece, an analysis of the "head" is presented first, followed by a discussion of the specific performance for the analysis. Rouse's solo from the respective recording is then analyzed. This chapter demonstrates that his interpretation of the Monkian aesthetic is apparent in the aspects that may be performed during improvisation:

1) dissonance and harmonic ambiguity,
2) rhythmic displacement,
3) an economy of means,
4) an emphasis on thematic repetition,

5) an ideal of experimentation,
6) compositional strategies, and
7) reference to some of Monk's specific musical devices.

John Paulson's analysis of three pieces from *Monk's Dream* (Monk 2002f) feature aspects of Rouse's playing. With the aid of transcriptions of his solos on "Bright Mississippi," "Bye-Ya," and "Five Spot Blues" (Paulson 1994, 97–105), he is shown to employ asymmetrical phrases. Additionally, Paulson writes that Rouse's "tone quality and effective use of the altissimo register were both superlative and complimented [*sic*] Monk's style" (ibid., 96).[11] One of the more specific comments about his solos is his use of augmented 7 chords (which could be analyzed as derived from the whole-tone scale [ibid., 96]).

Not included in Paulson's writing are the ripe dissonances in Rouse's playing (which are illustrated in the transcriptions and heard on the recordings). Looking at "Bright Mississippi," for example, one clearly hears ♭5 dissonances over the G7 harmony in mm. 36 and 52, as well as metrically accented quarter-notes from ♭6–♮6 (on beats one–two respectively) over the F7 in m. 44 (ibid., 98). The analyses of Rouse's performances below relate to Paulson's findings—especially those of asymmetrical phrasing and augmented chords.

"Evidence"

One of Monk's most rhythmically obscure pieces is "Evidence." It is a medium swing, thirty-two-bar, AABA song-form piece in E♭ major, based on the chord progression of the jazz standard "Just You, Just Me."[12] It is one of Monk's earliest

compositions (its first recording was on July 2, 1948),[13] and could be described as sporadically placed notes that suddenly emerge from a basic silence. Or, as Ian Carr describes, "'Evidence' [. . .] is a theme of almost unbearable tension because of the very sparseness of the melody which consists of an intermittent phrase slowly rising and becoming more insistent, but never resolving into a complete melodic statement" (1967, 6). Kelley's research indicates that early reviews of the piece were mixed (2009, 149–50). Two reviews from 1949 support these findings: although they do not praise the recording, the writing conveys the elements of the composition and Monk's solo. One review states, "Monk's whole-tone harmonies and off-cadence rhythm doubtless will appeal to the more atonally minded of the jazz gentry" (Review of "Evidence" [1949] 2001b, 32). The other reviewer, providing a "satisfactory" rating of 64/100, writes of the connection between the recording and Western art music, claiming it to be a "quartet opus in bop" where "Milt Jackson on vibes and pianist Monk make the rather intriguing bit of bop chamber music" (Review of "Evidence" [1949] 2001a, 35).

Listening to Monk's first recording of the tune (Monk 2001), the melody notes and rhythmic scheme had taken form for the A sections;[14] however, it is apparent when comparing Monk's A section introduction and the last chorus, the objective of the tune was not to play an identical rhythm in each, but to continually interject the underlying harmony with rhythmically displaced, dissonant notes. The piece is a perfect example of Lacy's words about Monk: "Rhythm and melody were one for him" (Lacy 1997, 15). Other recordings after this date seem to codify the rhythm of the melody: the heads played at the beginning and end of the piece are typically the same.[15]

The transcription in appendix E is from *Thelonious Monk Quartet Plus Two at the Blackhawk* (Monk 1987d). Played at a tempo of ♩=190 b.p.m., Monk begins the piece with a solo introduction (mm. 1–8); the rest of the ensemble joins Monk for the head from mm. 9–40. Most aurally prevalent is the core group of Monk, Rouse, John Ore (bass) and Billy Higgins (drums). The other saxophone and trumpet parts (doubling Rouse's melody) are at a minimal volume in the recording. The transcription includes the playing by the core quartet. One will notice discrepancies in time in the A sections of the head when comparing the recording to the transcription: the musicians are not completely in sync, and play the notes ahead or behind the designated beat when negotiating their place in the tricky rhythm. I have notated the head to adhere to the overriding homorhythmic structure so as to not confuse the analysis.[16]

The transcription includes all notes that are present in the recording; however, a problem arises because it *looks* as though the low E♭ establishes the downbeat of every A section (i.e., beat one of mm. 1, 9, 33). Although the note is perceptible when listening closely to the recording, it is softer than the other notes, and does not *sound* like a downbeat. For a clear understanding of the composition, I suggest that the E♭ is not part of the melody and may be excluded from the discussion; the first clear sounding tone is the D played on the second beat.

Monk's ambiguous harmony, rhythmic displacement, and melodic economy are apparent in the head of "Evidence." I have omitted the chord changes in the transcription of the head so as to not obscure the harmonic reading of the melody. Granted, the notes

played in the A sections do adhere to the harmony as outlined in the solo sections (cf., mm. 41–72); however, they obscure the E♭ tonality of the piece.

There are multiple ways to analyze the obscured E♭ tonality at the end of the A sections. Harmonically, mm. 6–7 evoke an E♭ tonality with melody notes ♭3–2–1; the chord movement in m. 6 is a modal mixture implying a cadential resolution to E♭ (the A♭m7–D♭7 is a ivm7–♭VII7 in the key). An E♭ major tonality may be alluded to, but is not clearly defined with the absence of any chord tones in m. 7. In m. 8, the E♭ tonality is heard with G–B♭. This third is then altered to G#–B. The B not only sounds like a chromatic alteration; its enharmonic equivalent of C♭ is a dissonant minor sixth above the E♭ sonority.

Another consideration is that a listener may be able to hear an E♭ tonal centre from mm. 7–8, where the E♭ triad is followed by a G# and B. This may be analyzed as a chromatic embellishment of the E♭ triad, or an E chord (i.e., a harmony of I–♭II, which is like a tritone substitution for I–V). However, the tonal centre is obscured because the harmonic tension is not resolved to the E♭ in the next measure: the leading tone (D) takes the place of the expected E♭. One argument would be that the leading tone is simply the major 7 of the E♭ harmony. This harmonic reading, however, is not acoustically apparent for the following three reasons: 1) the leading tone is doubled in the octave below, emphasizing the leading tone rather than the tonic; 2) the other chord tones (3 and 5) are omitted, which obscures a major/minor tonality and withholds a frame of reference for the leading tone to be within a major 7 harmony, and; 3) since the key of E♭ major is not readily apparent to the listener in the melody notes and chord movements of the few

measures that follow, it is difficult to hear the leading tone belonging to a major 7 harmony.

The end of the A sections may also be analyzed in terms of a shifting, or polychordal relationship of E♭, E and F. Lawrence Koch describes Monk's typical chromatic composition in these terms. He finds that there is "an innate feeling of an A to A♭ key relationship" in "Ruby, My Dear" (1983, 73) which is similar to an E♭–E–F relationship at the end of the A sections in "Evidence." Measure 8 demonstrates this relationship with an E♭ major to E major progression (according to the G# and B), which is followed by a C to F in the bass (alluding to an F chord). The relationship is repeated at the ends of the A sections in mm. 16 and 24 with a descending arpeggiation of an F major chord in the bass (A–C–F). It will also be noted that there is an expansion of melodic space in mm. 8, 16 and 24: the ascent to E major in the upper voice is coupled with the descent in F major in the bass. Monk articulates the polychordal relationship in the fourth iteration of the A section: rather than playing the chords in succession, the E major and F major are played together with the F–A in the bass and G#–B in the treble (m. 40)—the dissonance negates a conventional tonic or dominant function in E♭. The last measures of the A sections therefore distort the semblance of an E♭ tonality through an E♭–E–F chromaticism.

In addition to m. 8, chromatic movement defines the character of the A sections in general. The melody may be seen as a construction of chromatic movements, where semitone motion is elicited by chromatic transpositions of an interval of a third. In mm. 1–3, the D–F followed by a chromatic alteration to G♭–E♭ serves as one example.

The B section is also chromatic. Melody notes in mm. 25–31 construct an ascending chromatic scale from A♭ to D; measure 32 is adjusted with an E7#9 harmony as a tritone substitution for B♭7 (V of E♭ major). Furthermore, the note E played in m. 32 defies the expectation of an E♭—the chromatic scale throughout the B section creates an expected E♭ to follow the D from m. 31. The transition between the B and A sections avoids expectation once again. The leading tone in m. 31 and the E chord in m. 32 sound like a turnaround to E♭: the resolution is not discernable in the first measure of the following A section (m. 33).

"Evidence" is a prime example of Monk's melodic economy and rhythmic displacement. An economy of means is apparent with long rests, a minimal number of notes played in the A sections (e.g., mm. 1–8), and the single melody note (and chord) per measure in the B section (i.e., mm. 25–32). By playing with the duration of the silences, and the rhythm of the melody, the piece creates a sense of metric ambiguity in the A sections. The metre is obscured with the first melody note—the downbeat is not clear, thus forcing the listener to perceive the first note (D) as the downbeat of m. 1.[17] Listening to the A section, the metre is not apparent until m. 4, and cannot be firmly established until m. 6.

The first three measures of the piece are metrically ambiguous. The asymmetrical rhythm of the four melody notes (D, F, G♭, and E♭) is played without a time referent; the rhythm is devoid of reference points for the listener to determine a subdivided pulse or its repetition. In m. 4, the two consecutive sounds are only one beat apart, allowing the listener to have a sense of the pulse. The $\frac{4}{4}$ metre is affirmed in m. 6: beats one and three

are accented, and the chord changes (A♭m7 and D♭7) comply with a standard jazz practice of typically changing chords on beats one and three. The metre is reaffirmed in mm. 7–8 with the E♭ played on beat two of m. 7, and the eighth-note pickup to m. 8, followed by two eighth-notes on beat one of m. 8. The metric ambiguity returns with the next A section since the first note does not fall on the downbeat (e.g., m. 9).

Additionally, the B sections create a sense of metric shift. As stated above, the $\frac{4}{4}$ metre is somewhat apparent to the listener by the end of the A section, which is reaffirmed in the B section because each sonic event occurs four beats apart. However, because each note is played on the "and" of beat one,[18] the perception is that the metre has been delayed by a beat.[19] Figure 6 illustrates the rhythm of mm. 25–32 from the transcription of the piano, bass and drum parts (upper staves of braced pairs labelled p., b., and d. respectively),[20] and how it may be heard as a metric shift on the staff line below each part.[21] The repetition of the rhythm sways the listener into believing that the metre has been shifted to align with the offbeat (the "and" of beat four) in m. 25. That is, we experience a perceptual shift in the metre according to an anticipation of the downbeat, in which the harmonic rhythm would typically change. Furthermore, the ghosted eighth-note played by the bass on beat four of each measure is more easily heard as a strong beat (beat three). The drums contribute to the shift by accenting the displaced melody note (both with the indicated accent and the bass drum), as shown on the bottom staff. (I attend to the drum pattern played by Higgins later in this chapter.) One will notice that the metric shift of the B section contributes to the ambiguous metre in m. 33: the A section begins with the melody note D as a downbeat in this shifted metre.

Figure 6: Metric shift heard in the B section of “Evidence,” 1960

This recording of “Evidence” is also an example of how Monk’s pieces work as a unified whole. Generally, most small combo bop recordings from the 1950s are performed by musicians with specified roles: a rhythm section (e.g., piano, drums, and bass) that provides the harmony and metric pulse, and a lead instrument (e.g., a saxophone) that plays the melody. However, the musicians in the rhythm section deviate from their traditional roles in this performance. Illustrated in mm. 9–40, the piano and bass play the melody with the saxophone. Homorhythm is heard among all instruments—the bass elaborates the melodic rhythm with the ghost notes in the B section (mm. 25–32), and the drums accent each melody note. By focusing on the melody rather than traditional roles, the musicians create a unified performance by exposing the rhythmic complexity of the composition.

The Blackhawk Recording

Thelonious Monk Quartet Plus Two at the Blackhawk (Monk 1987d) was recorded on April 29, 1960 during Monk’s second visit to San Francisco (Sheridan 2001, 387, 389). Originally, Monk’s producer (Orrin Keepnews) arranged to record a joint album with Monk and Shelly Manne, a drummer then residing on the West coast. The group was augmented by the addition of two more musicians: Joe Gordon on trumpet and Harold Land on tenor saxophone. Monk and Manne did not collaborate well with each other and the latter withdrew from the recording. Gordon and Land remained with the group, making up the “plus two” for the record (Kelley 2009, 287).

Rouse and bassist John Ore made the flight from New York to San Francisco. Ore had been playing with Monk for almost two months: he began rehearsing with Monk earlier in March (ibid., 284), and performed with the quartet throughout the month including the "Jazz at Town Hall" concert on March 27 (Sheridan 2001, 389).

Monk did not have a regular drummer at the time and opted to hire another local musician: Billy Higgins. Higgins was a member of the original free jazz group led by Ornette Coleman, and lost his cabaret card for drug possession when they were on their second tour to New York on April 5, 1960.[22] Monk previously heard Higgins during his performances with Coleman at the Five Spot in November 1959; although Monk is said to have mixed reviews of the music, he apparently liked the drummer (Kelley 2009, 280). When he heard that Higgins was free, "Monk promptly hired him for the Blackhawk date, which not only allowed Higgins to work but pay his passage west" (ibid., 285). Higgins later commented on his time with Monk: "You've got to know when *not* to play [. . .]. Monk can really hip a drummer to that, if he listens to him. He is a school within himself, and in the little time I worked with him I really learned a lot" ("Billy Higgins—Drum Love" 1968, 30, emphasis in original).

The quartet of Monk, Rouse, Ore and Higgins performed six nights a week at the Blackhawk from April 12–May 1 (Sheridan 2001, 289–90)—the addition of Gordon and Land was provided for the recording date, in which they both added tasteful solos to the repertoire. The quartet is the personnel for this analysis, however. By the time of the recording, Rouse had been Monk's saxophonist for a year and a half, and Ore and Higgins were relative newcomers to the quartet. When performing "Evidence"—one of

Monk's "hard tunes"—the quartet is faced with the challenge of interacting based on musicianship rather than the luxury of long-term experience with each other.

Rouse on "Evidence"

In his two-chorus solo on "Evidence" (*Thelonious Monk Quartet Plus Two: Live at the Blackhawk* [Monk 1987d]), Rouse captures the rhythmic uncertainty and thematic economy of the melody while preserving his own voice in the blues and bop idioms. Melodic fragments from the head, harmonic ideas of dissonance, the blues, and tritone substitutions appear throughout the solo. Long rests, repeated motives, and short formulas characterize his melodic economy. Rhythmic displacement serves as the central theme of the piece: Rouse continually creates a sense of metric shift, and periodically delays or anticipates the harmonic rhythm. Within the context of the piece, this solo, and its attendant transcription in appendix E, demonstrates how the Monkian aesthetic is central to Rouse's solo approach.

The Use of Melody

Leslie Gourse writes, "Rouse improvised differently for Monk's music than for anyone else's because so many of the tunes had such strong melodies, and Rouse, as required by Monk, referred to the melody frequently" (1997, 151). This analysis is a validation of Gourse's insight from the very beginning of the solo. The melody from the last two measures of the head (notes E♭–B♭–B in mm. 39–40) begins the solo in mm. 40–41, immediately uniting the head with the improvisation. The melody notes C–E from m. 4 are continually played at analogous times within the time cycle of the piece (mm. 44,

52, and 68). The melodic fragment of B♭–B from mm. 7–8 is found at analogous times in the time cycle in mm. 47–48, followed by the melody note D on beat two and the "and" of beat three of m. 49. The D is heard as a reference to the melody because it is played twice, and accented the second time it is played. (It is the last note of the line, and it is tongued.) Rouse's embellishment of the melody over the A♭m7–D♭7 harmony from the head (e.g., m. 14) is heard in mm. 69–70.

The last example of Rouse's treatment of the melody can be seen in the two B sections of his solo. In mm. 57–60, the high notes of each figure outline the chromatic melody of A♭–A–B♭–C♭ from mm. 25–28 in the head. Similarly, the high notes in mm. 90–92 outline the chromatic movement of A–B♭–C♭, followed by a line that begins on C in m. 93. These passages are examined in detail in the following sections to depict the harmonic, economic, and rhythmic ideas of his playing.

Harmony, Dissonance, and the Blues

Rouse plays through the chord changes for most of this solo; however, he uses dissonant ideas and blues figures. The first example is from the downbeat of m. 41: the melody note B is an enharmonic equivalent of C♭, the latter being a dissonant minor sixth over the E♭ major in the piano and bass. Dissonant tritones from the melody are seen in mm. 44 and 52 (the E played over the B♭7 harmony outlined in the bass), and the G♭ (or enharmonically spelled F#) played over the C7 in the bass in mm. 50 and 66.[23] Compounding the dissonance of the C–F# tritone, a rough timbre is used on the F# in m. 66, sounding as intervallic dissonance rather than a blue note (i.e., ♭3 of E♭ major). In m. 98, the D♭ note played on beat two is a dissonant minor ninth of the C7 harmony; this

dissonance is compounded by its accentuation and rough timbre. Rouse also uses tritone substitutions in his solo: the A7 substitutions for E♭7 are found in mm. 58 and 90. These examples demonstrate that dissonance, and more specifically the tritone, are important features of Rouse's solo.

Although this piece is not written as a blues, Rouse frequently uses blues melodic content in his solo. The short phrase in m. 46 may be seen as a reflection of the harmony; however, it is heard as a blues line between scale degrees of 1 and ♭3 because it resolves to the E♭, and is heard in context of the ♭7 and 5 over the E♭7 chord in m. 45. The blues may be seen in m. 71 over an F7 chord, with the descending scale of ♭5–4–♭3–1–♭7–5 in E♭. In m. 78, a three-note figure is heard as a blues idea with the bend into G♭, and the scale degrees ♭5, 4, and ♭3 in E♭.

The blues inflection of ♭3–♮3 is common in this solo, and can be seen in mm. 80, 87–88, 96–97 and 101 (notated as F# and G in the E♭ blues scale). Following four measures of rhythmically dense bop lines, Rouse plays notes of longer duration in a blues figure in mm. 83–85. The notes in m. 84 may be seen as adhering to the chord structure, with the C♭ as a ♭9 chord extension of B♭7; however, the C♭ is also played over the F7 harmony in m. 83, making this idea sound as a blues figure in F with scale degrees ♭5, 4, and ♭3. The bend into the first C♭ in m. 83 also gives the impression of the blues from the beginning of this figure. Rouse therefore finds a method of using the blues throughout the solo, even when the harmony does not imply a blues progression.[24]

Economy

Rouse's use of silence and employment of short formulas are indicative of his efficient economy. He frequently rests for two beats between lines, leaving space for up to four beats (mm. 43, 50–51, and 53). The first two A sections (specifically mm. 41–54) include long rests interjected by short lines of two or three beats. The beginning of the B sections (mm. 57–60, 89–92) also portray a sense of economy much like the previously mentioned A sections. Rouse economically uses original melodic fragments throughout the solo that serve as thematic material, thus creating a sense of unity through the solo. As formulas, these melodic fragments also appear in other recordings and at analogous times within the cyclical form of the piece.

The formulas are similar, and may be categorized as belonging to the same formulaic family. A basic melodic cell of a descending minor third interval played in eighth-notes is derived from the melody (fig. 7).

Figure 7: Melodic cell 1, characterized by the interval of a minor third

Elaborations of the cell are identified as the formula shown in figure 8 with the minor third interval embellished with a passing tone (and occasionally a lower neighbour tone); this formula also appears as its inverse in figure 9. I have written these formulas beginning on a strong beat (these begin on either beat one or three in the performance). I

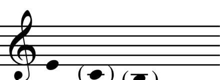
will demonstrate in the next section that they are also played on different beats, which creates a sense of rhythmic displacement.

Figure 8: Formula 1, embellishment of melodic cell 1

Figure 9: Formula 2, inversion of formula 1

Rouse also extends the melodic cell in figure 7 by playing descending intervals of major thirds and perfect fourths, shown as the cell in figure 10.

Figure 10: Melodic cell 2, amendment of melodic cell 1 to larger descending intervals



These cells and formulas indicate that Rouse uses small ideas (often only two notes) as salient material for his solo, and are akin to Monk's technique of using simple intervals that undergo augmentation (cf., melodic cells 1 and 2). The short ideas are therefore a prime example of melodic economy in Rouse's solo approach.[25]

Formula 1 (fig. 8) first occurs in m. 42. This formula, and its inversion (formula 2, fig. 9), are used at the beginning of A sections in mm. 49 and 65, and are part of longer lines at analogous times of the time cycle of the form after m. 72 (with an insertion of one beat before m. 73) and 97 (beats two–three). Both formulas are used as part of longer

lines in beats three–four of m. 101 and beats one–two of m. 102. Cells 1 and 2 (fig. 7 and fig. 10 respectively) can be seen in mm. 50, beat three of m. 60, beat four of m. 70, beat one of m. 82, and at analogous times in the song cycle, beat two of mm. 58 and 90. (Also note that mm. 58 and 90 contain the same interval of A–F#.)

The cells and formulas provide musical coherence in the first A section. The minor third interval similar to cell 1 (fig. 7) is found between B♭ on beat two and the G on beat three of m. 41. Formula 1 (fig. 8) then appears in m. 42. A major third is played in m. 44, identified as cell 2 (fig. 10). In m. 45, cell 1 appears: scale degrees 7 and 5 of E♭7. Melodic elaboration of the minor third interval is in m. 46 with a blues figure; the interval is characterized by the accented G♭ and the repetition of E♭. Although the blues figure is not thematically developed in the remainder of the solo, the motivic play of the phrase introduces the melodic fragment to the listener; its further use creates a sense of melodic economy and unity. I will demonstrate in the following section that the cells and formulas are also used for rhythmic displacement.

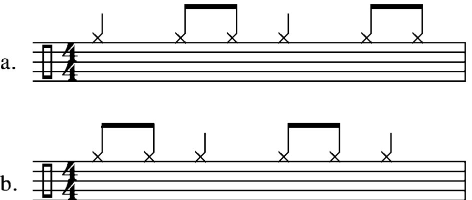
Rhythmic Displacement

Rouse plays rhythmically displaced ideas throughout his solo. The four instrumental parts of this recording have been transcribed to illustrate the interaction between band members during the solo. I will demonstrate that the interaction between band members aids in rhythmically displacing the harmony, and creating a sense of metric shift.

A short analysis of Higgins's drumming is required before analyzing the rhythmic displacement in Rouse's solo. One will notice that the drum pattern does not look typical

at the beginning of Rouse’s solo (m. 41): the ride cymbal provides rhythmic tension because the traditional swing rhythm (illustrated in fig. 11a) is inverted (fig. 11b).

Figure 11: a. traditional ride cymbal rhythm, b. inversion of the traditional rhythm heard in mm. 41–73 of “Evidence,” 1960



The traditional rhythm outlines how a $\frac{4}{4}$ metre is commonly played with stasis beats on one and three (i.e., ♩), and movement beats on two and four (i.e., ♫). The inverted traditional rhythm heard in this piece changes that expectation: stasis beats are now on two and four, and one and three become movement beats, thus creating a sense of rhythmic tension for both the musicians and the audience.

As one may expect from the metric ambiguity of the A sections and the perceived metric shift of the B sections (see fig. 6), the composition lends itself to performance anomalies when the musicians account for the perceptual shift and “turn the beat around.” Instances of such occur when a musician adds or drops a beat during performance, demanding the musician recover from the mistake, or for the other musicians to metrically adjust their performance in an interactive fashion.[26]

The question at this point is: how did Higgins turn the beat around? Beginning with the ensemble’s entry at m. 9, Higgins may be seen to account for the homorhythm played by the saxophone, piano and bass as melodic statements primarily grouped in

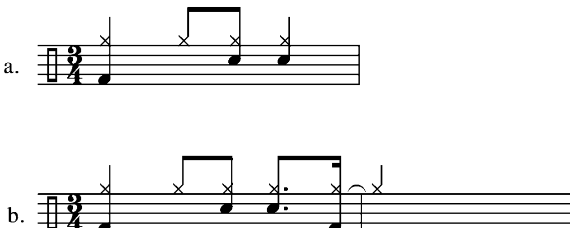
three beats, and at times, two- and four-beat groupings. These are indicated above the drum staff in appendix F (the tenor saxophone staff is omitted because its rhythm is redundant for the purposes of this analysis). These brackets are not labeled strictly according to the number of beats: at times, the groupings of three or four are extended to include anticipations of the first beat of each group.

It seems that Higgins was working out his drum pattern during his first three measures (mm. 9–11): each melody note is articulated by the bass drum followed by a comping pattern on the snare drum, all subsumed under a (repeated) three-beat ride cymbal pattern (i.e., ♩ ♫ ♩). Melody notes on the beat are treated as first beats in groupings of three; however, Higgins needed to adjust for the anticipated G♭ in m. 10 (thus the "3?" group of that measure). Beat two of m. 12 is labeled as a "Pivot" beat because it serves as an injection into Higgins's three beat groupings of mm. 11–12: although his "Pivot" beat articulates the melody with the bass drum, he was aware that it was a weak beat proceeding to beat three of the measure. After continuing with another three-beat grouping, m. 14 requires an adjustment due to the melodic and harmonic rhythm. Higgins treats the ensuing rhythm as a group of two, again returning to a group of three in m. 14–15. Because the groups of threes and two have not aligned with the metric grid of the form, Higgins is behind by one beat in mm. 15 and 16 when switching to a four-beat drum pattern.[27] Moving into the second A section, however, he was able to recover into to his original interpretation of the three-beat groupings.

Higgins's approach is clear in the second A section (mm. 17–24). His method is established and follows the same plan set out in the first A section. Particulars become

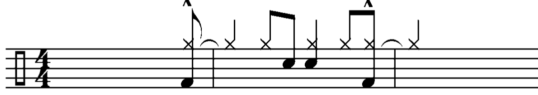
clearer. The three-beat groups follow a similar pattern each time, which may be viewed as a drum pattern in $\frac{3}{4}$ time. Figure 12a is a basic rendering of his $\frac{3}{4}$ grouping, where figure 12b displays his anticipations to the beat (note that Higgins was slightly behind when articulating the melodic rhythm, e.g., beat 3 of m. 18, beat 2 of m. 19, beat one of m. 21, and the last three notes of the melody in mm. 23–24).

Figure 12: $\frac{3}{4}$ drum patterns in the A sections of the head of “Evidence,” 1960



Like the first A section, Higgins is behind by one beat on the exit of the second A section; he continues the following B section with this displacement (see mm. 25–32 in appendix F). Figure 13 is an illustration of what Higgins plays according to a standard $\frac{4}{4}$ metre (note that this figure is a displacement of the transcription in appendix F, mm. 25–32).[28] One will see that beats one and three are emphasized by the bass drum and the snare drum pattern respectively.

Figure 13: $\frac{4}{4}$ drum pattern in the B section of the head of “Evidence,” 1960



Higgins's playing through the B section, a metric displacement of figure 13, allowed him to seamlessly enter the last A section of the head by treating beat two as a downbeat in m. 33. He continues with his method from the previous A sections in mm. 33–40, and this time he hit the last notes of the head perfectly—but according to his tactus, he was still one beat behind.

The rhythmic tension provided by the drums prompts the musicians to displace the rhythm in Rouse's solo. The metre is clearly established in mm. 41–46: the piano plays whole-notes on the downbeat of mm. 41–45 and half-notes on beats one and three of m. 46. The pulse and chord structure is outlined with a four-beat walking pattern in the bass. However, Higgins maintains his displaced swing rhythm on the drums. The following five examples demonstrate that this rhythm provides a basis for shifting the metre, to the point where in mm. 71–80 the musicians collectively add a beat to the piece to conform to the traditional ride cymbal rhythm shown in figure 11a.

The first example of rhythmic displacement can be heard from mm. 48–51, which creates a sense of metric shift. Figure 14 is a graphic representation of how the metre is shifted. Below each part, an extra staff is added to depict the perceived metre; arrows drawn between the notes that begin and end the metric shift are provided for each part.

In the bass (the b. staff), the chord change from B♭7 to E♭maj7 in m. 49 is delayed, and the notes D–E♭ are alternatively heard as moving from beats four–one rather than beats one–two. The drums stay consistent; however, with the metric shift heard in the above parts, it is perceived that the parts adhere to a traditional swing rhythm on the ride cymbal. I have notated that this occurs on beat four of m. 48 to coincide with the

harmonic shift in the bass. The bass and drums therefore provide an interactive prompt for Rouse to continue the rhythmic displacement. Using formula 1 (fig. 8), previously heard from beats three–four in m. 42 on the t.s. staff (see appendix E), Rouse rhythmically displaces the formula by moving from beats two–three in m. 49. Along with the bass and drums, the listener is given the impression that beat two has become a downbeat. Compounding the metric shift is Rouse's use of a ghost-note before the formula.

Figure 14: Metric shift heard in mm. 48–51 of "Evidence," 1960

The metric shift is also heard in the bass with a chromatic emphasis of the chord changes (i.e., on the staff below the transcribed bass part, see notes A–B♭ on beats four–one of mm. 49–50, B–C on beats two–three of m. 50, and G♭–F on beats four–one of mm. 50–51). The shift is also apparent in Rouse's use of cell 1 (see fig. 7) in m. 50: the accented and delayed E♭ notated with the arrow above (→) is heard as a strong beat in the measure (i.e., beat three in the staff below t.s.). Monk's comping (notated on the p. staff) is consequently displaced to coincide with the other parts. The chords in mm. 49 and 50 are heard as anticipations of beats four and two respectively. In turn, the accented Fm7 chord is heard not as beat one, but beat two in m. 51, thus shifting the metre to its original temporal placement. The metric shift is confirmed in m. 51 with Rouse's ghost note on the "and" of beat four. This causes a perceptual shift in the bass and drum parts in m. 51.

The second example of metric shift from mm. 52–54 (fig. 15) may be seen as an extension of the previous example; however, a momentary return to the metre occurs in m. 51. Overall, this implies that the metre is not overturned continuously from mm. 49–53, but indicates another level of rhythmic complexity where the metre is continuously shifted back and forth.

This example may be understood in context of Rouse's use of quarter notes to emphasize strong beats throughout the tune. Earlier in the solo, he begins the first A section in mm. 40–41 with two ascending quarter notes, the B♭ on beat four and the B on beat one (see appendix E). In m. 45, the ascending interval of a third (C–E) is played from beats two–three, accenting the strong beat of the measure.

Figure 15: Metric shift heard in mm. 52–54 of “Evidence,” 1960

Using this established beat emphasis, figure 15 illustrates how the metre is displaced in m. 52, where the top note E on the t.s. staff is perceived as a downbeat. The drums are then shifted because the ride cymbal is heard as a traditional swing rhythm. Monk’s comping (the p. staff) accents the E triad in m. 52 as an interaction with Rouse’s displaced metre. The displacement is validated by the piano at the end of m. 52 with a more traditional anticipation (rather than a delay) of the E♭7 harmony. A cadential figure of B♭–F–A♭–F#–G (scale degrees 5–2–4–♭3–3 in E♭, mm. 52–53 on the t.s. staff) verifies

the shifted metre; the G is subsequently heard as a downbeat, aligning with the chord change outlined by Monk. The bass also adjusts for the harmonic shift: the two B♭ notes are heard as part of the E7 harmony of m. 52 (the E7 as a tritone substitution for B♭7). The metre is jolted back into place in m. 54 when Monk refers to the melody (i.e., from m. 6), and the bass reaffirms the harmonic progression with the two quarter-notes on D♭. The drums are heard as though returning to their original beat; Rouse's double-time passage in m. 55 consequently begins on the downbeat.[29]

Rouse's use of melodic material from the head also creates a sense of metric shift in mm. 52–54. Listening to the passage beginning from m. 49, it sounds as though the metre is delayed (i.e., a beat is taken away from the metre). However, this passage may be *seen* as a metric anticipation of the melody: the melodic notes C–E on beats two–three from the head (e.g., m. 12) are played from beats one–two in m. 52. This reading provides another example of how the rhythmic complexity of the passage exhibits a perceived metric shift of thematic material.

The third example of metric shift is heard in mm. 57–73. The metric shift is similar to the previous examples. An illustration of the rhythmic displacement can be seen in appendix G. In the bass, the chromatic movement of C♭–B♭ initiates the displacement where the B♭ is heard as a downbeat to m. 57; in turn, the drums are heard as a traditional ride cymbal pattern. Monk's comping in mm. 57–58 is a three-against-four rhythmic pattern that obscures the beat, and retroactively sounds displaced: the chord on beat two of m. 58 becomes a definitive downbeat for the rest of the ensemble. In mm. 59–64, he plays the melodic rhythm of the head (chords appearing on the "and" of

beat one, see appendix E mm. 25–32): the rhythmic displacement is analogous to that of the B section of the head with each chord heard as an anticipation of the downbeat (see fig. 6).

Rouse follows suit with his sympathetic manner of interaction: using cell 2 (fig. 10) in m. 57, the rhythmic displacement is apparent because the last eighth-note (E♭) is delayed (indicated by →), making it sound more like an anticipation of a strong beat, i.e., beat three. Similarly, the F# of cell 1 (fig. 7) is played slightly behind the “and” of beat three of m. 58 (indicated by →), and is heard as an anticipation of beat three. The B♭–C♭ chromatic motion in m. 60 reaffirms this displacement, heard as articulating the A♭m7 chord. Relating to the formulaic analysis presented earlier, the figure of F–D–E♭–F in m. 65 (formula 2, fig. 9) perceptually begins on the downbeat. Rouse and Monk quickly interact in the next measure: the B♭–D–F chord in the piano initiates the saxophone’s ensuing rough timbre, articulated, and temporally anticipated F# (indicated by ←), which is heard as beat two of m. 66. Monk reacts to the displaced note by accenting a dissonant chord (C–E–F#), heard as an anticipation of beat three in. m. 66. The metric reading is verified in m. 67 when Rouse articulates the first of the two E♭ notes, which is heard as a downbeat.

A slight discrepancy occurs in m. 68. References to the melody are heard in the tenor saxophone and piano parts, which momentarily shifts the metre back into place—the bass rests for one beat in m. 68, interactively adjusting to the formal marker. One may posit two readings of the next two measures. Considering the piano part, one sees that Monk intentionally played the melodic rhythm in m. 69 (analogous to m. 5). However,

the melodic line of the saxophone directs one's sense of the metre as its gestalt: the cadential figure of m. 69 resolves on the note G, which is perceived as the downbeat according to the E♭ harmony. The piano is therefore heard as anticipating the chord change in m. 69. Two similar readings can be made for m. 70. The melody and harmonic rhythm is heard on the piano and supported by the bass (analogous to m. 6). However, the melodic contour of the saxophone solo, with its resolution of G♭–F–E♭, strongly appeals to a metric hearing that typically resolves on a strong beat (i.e., beat three). In turn, one witnesses a convoluted rhythmic play from mm. 68–70.

In the saxophone part, the metric displacement is resolved in m. 73 with its melodic line from the tonic to the dominant, thus rendering an insertion of one beat into the form between mm. 72 and 73. For the sake of simplicity, one may consider the bass part next, which follows the harmonic rhythm of the form in m. 70 and adjusts in the following measures to coincide with the saxophone by articulating the dominant of B♭7 in m. 72 (notice the semitone motion from G♭–F over the bar-line from $\frac{2}{4}$ to $\frac{4}{4}$ time). The adjustment is confirmed in mm. 72–73 with the D–E♭ from beats four–one, thus resolving to the tonic key (E♭).

The piano part undergoes rhythmic confusion from mm. 70–72: the melody is apparent in m. 70, the E♭ of m. 71 sounds like a downbeat in context of the ensemble, and the ensuing melodic figure in m. 72 is directly from the head (e.g., m. 8 in appendix H), thus indicating the downbeat as a formal signpost for the other musicians.[30] The harmonic and melodic rhythm of the saxophone, piano, and bass parts confuse the listener, and the drums maintain the same ride cymbal pattern throughout. According to the saxophone

and bass parts, the drums are heard to be a traditional ride cymbal pattern in m. 73—Higgins marks the downbeat with hits on the snare and bass drum.

Monk, however, does not follow the one-beat adjustment until m. 80 (see the p. staff in appendix E). He follows the melody of the A section (e.g., mm. 1–8) with chords on the "and" of one in m. 73, the "and" of two in m. 75, and the "and" of one in m. 77. The A♭7 and D♭7 in m. 78 are clearly beat one and (an anticipation of) beat three respectively. The rhythm of m. 79 emphasizes strong beats of one and three—it is not until a momentary rest that he metrically adjusts to articulate the E♭ harmony of m. 81. At this point, the musicians are metrically in sync and play the remainder of the piece (including other solos) according to this beat.

David Feurzeig uses the metaphor of a rubber band to describe the sound of rhythmic displacement, which captures the process of adding a beat in this passage:

> Our hold on the meter can be compared to a rubber band. The farther it is pulled from its resting state, the greater the resistance—up to a point. Beyond a certain tolerance, the band loses elasticity or snaps; and the resistance, the reference to the band's initial state, is lost. (1997, 26)

This description does not only apply to the listener, but to the musician as well. The rhythmic tension—or consistent pulling of the rubber band—before mm. 73 caused the rubber band to snap; Rouse, Ore and Higgins adjusted to the rhythmic interplay between parts, and collectively altered the metre to find a common place within the form (Monk adhering to the alteration in m. 80).[31]

Other examples of rhythmic displacement may be heard in this solo. A delayed resolution to C in m. 82, and an anticipated resolution to E♭ on beat four of m. 86 resulting in an interactive metric shift from m. 86–91, are both initiated by Rouse. In mm.

101–2, he relies on his formulas (formula 2, fig. 9 and formula 1, fig. 8 respectively) as a solution to the two-beat anticipated harmony in the piano and bass (cf. the A♭m7–D♭7 of m. 6).

Rouse uses the thematic rhythmic displacement of "Evidence" throughout his solo. The interaction between all musicians was necessary for the metric shifts to occur—each musician plays a vital role to initiate or follow a shift in the metre, or to bring back the original beat. It may be summarized that rhythmic displacement is heard throughout Rouse's solo, a clear example of the Monkian aesthetic.

"Rhythm-A-Ning"

"Rhythm-A-Ning" is one of Monk's early compositions—its first appearance took the title "Meet Dr. Christian" on a recording from 1941 when Monk was playing with the Minton's House Band.[32] It later reappeared in 1957 on *Art Blakey's Jazz Messengers with Thelonious Monk* (Blakey 1987; Sheridan 2001, 70), and became a staple in Monk's repertoire during the 1960s. It takes the thirty-two-bar, AABA song form with "Rhythm changes," the chord progression from Gershwin's "I Got Rhythm." The transcription of the head from *Live at the It Club: Complete* (Monk 1998) can be seen in appendix H (mm. 9–40 that follow Monk's 8-bar introduction). Played at a tempo of ♩=240 b.p.m., the saxophone, piano, and bass play the melody in a homorhythm in the first six measures of the A sections (e.g., mm. 9–14). A walking bass line outlining a B♭ harmony is heard in the remaining two measures.[33] The bass plays the chord changes in the B section, as notated in mm. 25–32.

The head exemplifies Monk’s economy of means, dissonance, harmonic ambiguity, and rhythmic displacement. Using a harmonic economy in the A sections (e.g., mm. 9–16), he strips the “Rhythm changes” of most “changes”—few are actually articulated. This can be seen in a comparison of the traditional harmonic movement of “I Got Rhythm” (Berliner 1994, 77),[34] and chords outlined by the melody of “Rhythm-A-Ning” (fig. 16).[35]

Figure 16: Comparison of a. chord changes of “I Got Rhythm” (Berliner 1994, 77, last A section), and b. chords inferred from the head of “Rhythm-A-Ning,” 1964

m.	1	2	3	4	5	6	7	8
a.	‖ B♭ G7	Cm7 F7	B♭ G7	Cm7 F7	Fm7 B♭7	E♭ Eo7	B♭ F7	B♭ (F7) ‖
b.	‖ B♭	E♭	B♭	F7	B♭7	B♭7	B♭7	B♭7 ‖

The B section of “Rhythm-A-Ning” modifies the original “Rhythm changes”—the two measures of F7 in the cycle of fifths (i.e., D7–G7–C7–F7) is modified to F#–B7, with one chord per measure.

Melodic economy is characterized by the repeated three-note rhythmic idea at the end of the A sections (e.g., mm. 12–15), which is repeated throughout the B section.[36] The B section also contains dissonance and harmonic ambiguity: the same three notes (D–E–F#) heard over the D7 harmony (mm. 25–26) are played over the C7 harmony (mm. 29–30), creating a dissonant sonority between with the C–F# tritone. The melody speaks to Koch’s analysis of Monk’s derivation of a melodic line, where “phrases are chosen strictly because of their motivic value and used *against* the harmony” (1983, 74, emphasis in original). That is, the D–E–F#, originally derived from the D7 harmony in

the first half of the B section, is repeated against the C7 harmony in the second half of the B section. To complete the bridge, the whole-tone scale (also heard in the bass) is played in m. 31, providing harmonic ambiguity until the B7 chord in m. 32 (a tritone substitution for F7).

Rhythmic displacement is heard at the end of the A sections (e.g., mm. 12–16) and throughout the B section (mm. 25–32). When Crouch attends to this specific recording, he writes that Monk "changes the accentuation of a swinging run that it seems like a different sequence of tones each time" (1982, 61). An analysis may clarify what Crouch is hearing: figure 17 is a representation of the transcribed mm. 12–17 on the top staff, with the corresponding metric shift heard on the staff below.

Figure 17: Metric shift heard in mm. 12–17 of "Rhythm-A-Ning," 1964

I have notated accents in this example to illustrate how the emphasis is taken away from the strong beats (i.e., one and three in the A section) on the top staff; the accented notes are heard to anticipate or articulate the strong beats on the staff below. The melody beginning in m. 17 sounds anticipated (the B♭ on beat four is indicated on the staff below); however, the listener identifies this passage to correspond with the downbeat of the previous A section (m. 9), thus shifting the metre back to its original context. Similar

to the A sections, the B section uses the three-beat figure to create a sense of metric shift, this time as a delayed entry in m. 25. (An illustration of this can be seen in appendix I.) Although the melody notes are simple to perform, the rhythmic displacement renders the head to be one of Monk's "hard tunes." In sum, the Monkian elements of dissonance, harmonic ambiguity, an economy of means, and rhythmic displacement are all contained within "Rhythm-A-Ning."

The It Club Recordings

Monk's engagement at the "It Club" in 1964 was at the height of his fame. He appeared on the cover of *Time* and embarked on his third European tour the previous February; his quartet performed at festivals, large stadiums and clubs throughout the United States (and Montreal, QC), and held weeklong performances at the Village Gate and the Village Vanguard throughout most of August and September. He also performed at Carnegie Hall in June (Sheridan 2001, 413–18).

His schedule for October and November was full: after performing at Brandeis University in Waltham, MA on October 3, the quartet recorded *Monk* (Monk 2002c) through the day on October 6, 7 and 8 while performing at the Village Vanguard at night—the nightly performances continued until October 11. Travelling west, the group played at UCLA on October 17, and a shared bill with John Coltrane and Jon Hendricks at the Valley Music Theater in Woodland Hills on October 19. The concert was followed by two weeks at the "It Club" from October 23 to November 1 (Kelley 2009, 366).[37] The group then performed from November 3–8 at the "Jazz Workshop" in San Francisco;[38]

Monk held a solo recording session on November 2 in Los Angeles between club dates (Sheridan 2001, 418–19).[39]

Monk: Live at the It Club—Complete (Monk 1998) was recorded on October 31 and November 1—the last two nights of their two-week gig. Apparently, Columbia was worried about Monk's recording output, and with the difficulties of getting the group into the studio, Teo Macero—Monk's producer—made arrangements to record the quartet while on tour. (The album, however, was not released until after Monk's death [Kelley 2009, 365–66; Sheridan 2001, 154, 262].) The group included the musicians who would become Monk's long-standing quartet of the mid-1960s: drummer Ben Riley had joined the previous January (Kelley 2009, 350), and at his recommendation, Larry Gales became the band's permanent bassist in August (ibid., 362).[40]

The album from the "It Club" is ranked among the quartet's most energetic work. Monk was having personal difficulties at the time, displaying strange behaviour and signs of rage; however, "one would not have known Monk was on a downward emotional spiral. The band was on fire. Monk and Rouse are completely in sync, and Riley is unusually assertive in setting down a groove and driving both soloists" (ibid., 367–68). In Larry Kart's review, the recordings came from what "must have been one of the best nights this band ever enjoyed. Rouse [. . .] is pushed to the point of near-delirium, and Monk himself is in equally ferocious form" (1983, 4). Gary Giddins gave the album a high recommendation after its release (1984, 73); and, in Crouch's opinion: "If you have yet to buy a Monk record, begin here. The rest will be easy" (1982, 61).

Rouse on "Rhythm-A-Ning"

Rouse's solo on "Rhythm-A-Ning" (see appendix H) demonstrates his refined approach to the Monkian aesthetic. The performance is an example of his solo approach that is more segmented for extended improvisations; after exhausting the possibilities of a simple idea, he changes to a new harmonic, motivic, or rhythmic approach. Over the seven-chorus solo, there is a schematic transition from simple blues ideas to complex chord changes, and an ending that is saturated with the Monkian elements of economy, harmonic ambiguity, rhythmic play, and references to the melody. Hodson's analysis of solos by Rouse and Monk on "Rhythm-A-Ning" from *Criss Cross* (Monk 1993) comes to a similar conclusion: "the specific harmonic progressions they choose to play may be flexibly realized, often changing from simple to complex within a single performance, and the precise form that these progressions take are the result of an interactive process of negotiation between the performers" (Hodson 2007, 74).

The analysis presented below takes a similar approach to Rouse's playing. Examining each chorus chronologically allows for a discussion of the tune as it was played through time with reference to what has already been heard in the piece. Describing the solo in consecutive sections enables the analysis to highlight the *process* of improvising, considering both the boundaries of the piece and the Monkian procedures contained within it. Because the solo is seven choruses long, this analysis spares the reader of a micro-analysis of every section, and presents the most pertinent elements that are heard in the recording. Furthermore, I find that presenting analyses of longer solos in

this fashion escapes the frequent references to examples found in different sections of the appendix. In its totality, this solo demonstrates qualities of harmonic ambiguity, melodic, harmonic, and rhythmic economy, rhythmic play, and reference to specific Monkish devices while being played in a blues and post-bop style.

Chorus 1

The first chorus, mm. 41–72, illustrates Rouse's economy, an emphasis on thematic repetition, and rhythmic play. In the saxophone, piano, and bass parts, the economic harmony of the A sections have been reduced to a vamp over the B♭ chord, with turnarounds played by the bass in mm. 43, 49–52 and 68, and an E♭ chord according to the form of "Rhythm changes" in m. 54. The vamp is continued similarly in the A sections until the fourth chorus (m. 137). Rouse's melodic economy in the first chorus is also demonstrated by the use of a simple theme, and rests of three or four beats.

Rouse uses the thematic material from Monk's piano intro as a central motive for the chorus. Kelley explains that,

> Their exploration of "Rhythm-a-ning," a song they must have played hundreds of times, is a veritable masterpiece. Monk tags on to the first phrase in the melody a kind of drunken flurry of descending notes, which Rouse then picks up and uses to build his solo. Besides exhibiting a high level of originality and imagination, the band sounds as though it was having fun. (Kelley 2009, 368)

Figure 18 illustrates a descending arpeggio as it is first heard in the piano intro (mm. 7–8), and continued by Rouse in mm. 41–42, 45–47, 52–53, and 66–67.

Monk plays F–E–B♭ (written on the p. staff), thus outlining a B♭#11 harmony (a rhythmically similar fill can be seen in mm. 15–16, which outlines the D–A♭ tritone of B♭7 [see appendix H]).[41] Rouse repeats a descending B♭ triad (with the exception of the

F# in m. 41 and C in m. 42) at different times in the A sections with his signature rough timbre on the high F. The phrase is rhythmically varied with different articulations that aid in the rhythmic displacement each time it is played.

Figure 18: Thematic material from the piano intro (mm. 7–8) as repeated by Rouse (mm. 41–42, 45–47, 52–53 and 66–67) on "Rhythm-A-Ning," 1964

Rouse's lines in mm. 49–50 and 54–56 (between arpeggios) introduce the blues with a ♭3–♮3 note movement (notes C#–D in B♭, mm. 50 and 56); aside from the F# in m.

47, the C#'s prove to be the only chromatic alterations in these three A sections. The blues is schematically continued in the choruses that follow.

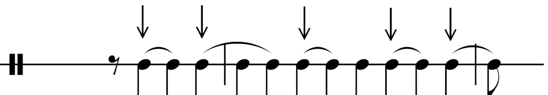
Chorus 2

The second chorus is an example of how Rouse economically uses the blues by varying his phrases with a sense of rhythmic play. The A sections of this chorus (mm. 73–80, 81–88, and 97–104) are all based on an alternation between the ♭3 and ♮3 of the B♭ blues scale; each A section ends with a cadence in B♭. It should be noted that Rouse's motive first heard in mm. 73–76 is reminiscent of the motive from the head: he draws on the blues motive of scale degrees 5–6–♭7 over B♭7 at the end of the A sections (e.g., mm. 12–15), as extended into the B section (mm. 25–32). He moves sequentially within the interval of a third (B♭–D) in mm. 73 and 74 in an analogous rhythm to the original (e.g., mm. 12–15). That is, eighth–eighth–quarter notes of B♭–C#–D in mm. 73–74 are followed by a restatement where the second eighth note is augmented to the value of a quarter (mm. 74–76). Analyzed below, the blues motive is continued throughout the chorus and into chorus three.

Played over a B♭ harmony in the bass, and the tritone F–B (enharmonic spelling of C♭) on the piano, Rouse rhythmically varies the movement between the notes B♭, C#, and D, occasionally inflecting the motive with other notes of the blues scale. The rhythmic play is clear in mm. 81–84: the accents are placed on different beats (i.e., beats four, the "and" of two, one, three, the "and" of one, and four in sequential order). Changing the rhythmic approach to slurring techniques, mm. 85–87 demonstrate an

alternating slurring pattern, shown in figure 19 with down arrows on the articulated notes to indicate the irregularity of the rhythm.

Figure 19: Rhythmic irregularity created by slurring technique in mm. 85–87 on “Rhythm-A-Ning,” 1964



Rouse continues the B section of the second chorus with the ♭3–♮3 note movement over the D7 and C7 chords (written as notes F–F# and D#–E respectively). He continually rests for three beats between the lines, leaving space for Monk’s dissonant comping. Returning to the blues figure from the previous A sections of the chorus, he inflects the ♮3 (the note D in B♭) with C# grace notes and bends in mm. 97–103. The bends also serve as a rhythmic inflection. By bending into the notes (i.e., mm. 102 and 103), the tone of scale degree 3 is slightly delayed. This chorus has shown that Rouse economically uses the blues by repeating small figures, and uses accents, slurs, and bends to create a sense of rhythmic play.

Chorus 3

Similar to the previous chorus, Rouse uses the blues scale, and creates rhythmic irregularity in the A sections of the third chorus (mm. 105–12, 113–20, and 129–36). The end of the first A section similarly cadences to B♭ (m. 111); however, the tonic is avoided in the subsequent A sections with Rouse’s resolution to the note E♭ (mm. 119 and 135). The three-note blues figure from chorus 2 is extended in chorus 3 to include scale degrees

4, ♭5, and 5. Without belabouring this point, I instead draw attention to the interaction between Rouse and Monk at the beginning of the chorus. Rouse outlines scale degrees 3–4–♭5–5 with a quarter-note rhythm in mm. 105–6 (the E♮ is an enharmonic spelling of F♭). In response, Monk plays a similar walking blues figure with these notes in an interval of a tenth in m. 107. He then comps using this figure in the remainder of the chorus, using a B♭ harmony in the A sections, and the chord changes in the B section.[42]

Analyzing this piece within the boundary of this recording, the interaction seems straightforward: Rouse plays a simple blues line that is repeated and reiterated by Monk. Considering Monk's compositions as a whole leads me to believe that he was not following Rouse, but that Rouse was tapping into a trademark Monkish device. First, the blues figure played in an eighth-note rhythm, is the melodic figure from the head of "Blue Monk" (cf., *Live at the It Club: Complete* [Monk 1998]). Second, Monk uses this comping strategy in many of his recordings. As early as 1947, this walking blues line can be heard on two recordings of "Evonce" (*Thelonious Monk: Complete 1947–1952 Blue Note Recordings* [Monk 2001], CD 1 track 2, 0:18–0:19, 0:30–0:31, 0:47–0:48, 0:59–1:00, 1:43–1:46, 2:17–2:18, 2:46–2:47, 2:49–2:50; CD1 track 17, 1:09–1:13, 1:29–1:31, 2:04–2:05). In context of the Monkian aesthetic, this passage may be heard as one of Monk's previous devices, and therefore relates this piece to his general repertoire.

Choruses 4 and 5

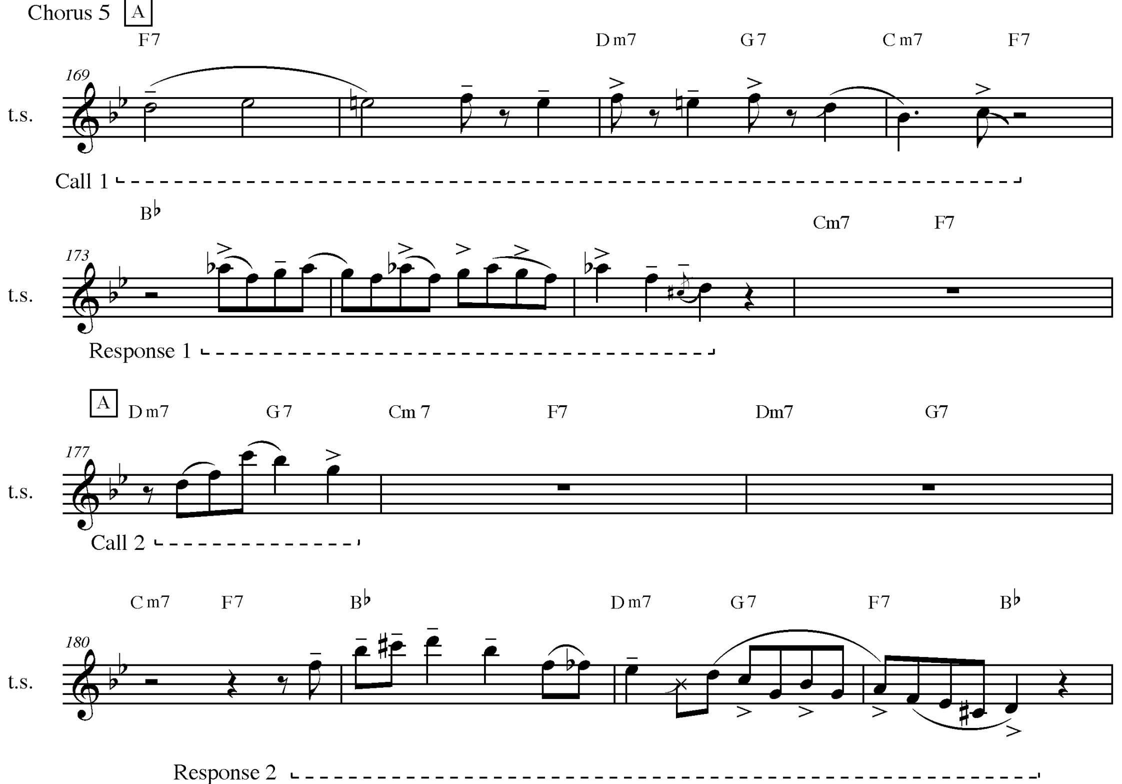
Monk strolls (stops playing) at the beginning of the fourth chorus, leaving more space for the harmonic interplay between the saxophone and bass. The B♭ blues vamp in the previous choruses is changed to a harmony akin to "I Got Rhythm" (see fig. 16).

Rouse begins the chorus with a reference to the melody of "Rhythm-A-Ning"—m. 138 outlines the E♭ triad at analogous times of the form (e.g., m. 10). Long silences (rests of up to six beats) are more audible in this section since Monk is no longer playing. The general stepwise motion in this chorus—although not strictly Monkian—is compelling. Rouse's resolutions in the second A section and B section display stepwise decent. The final notes appearing in mm. 146, 147, and 149 outline a descent of D–C–B♭. Similarly, the final notes in mm. 153, 155, 159, and 163 are a descent of E–D–C–B♭. This linearity is continued in the last A section: the top notes of the arpeggios from mm. 162–63 descend from G–F–E–D and resolve on C (beat one) of m. 164. The following measures also include stepwise movement: there is an ascent from C–D–E♭–F–G on each beat of mm. 164–65, followed by a descent from F–E♭–D–B♭ in mm. 167–68.

In the fifth chorus, Rouse capitalizes on the use of space, and uses rests to displace his lines within the form. The first two A sections can be seen as asymmetrical call and response patterns, which are illustrated in figure 20. Call 1 outlines the figure analyzed in the third chorus (mm. 105–6), thus referring to previous Monkish blues material. The response (response 1) is also a blues figure, but asymmetrical in length compared to call 1 (a ratio of 4:3 for call 1:response 1)—the three-against-four pattern heightens the rhythmic complexity. After five beats of rest (mm. 175–76), Rouse plays call 2 (the short four-beat line in m. 177), and delays the response for three full measures. The transcription does not give justice to the effect of this passage. The silence from mm. 178–80 gives the sense of angst, an unknowingness of when the response to mm. 177 will

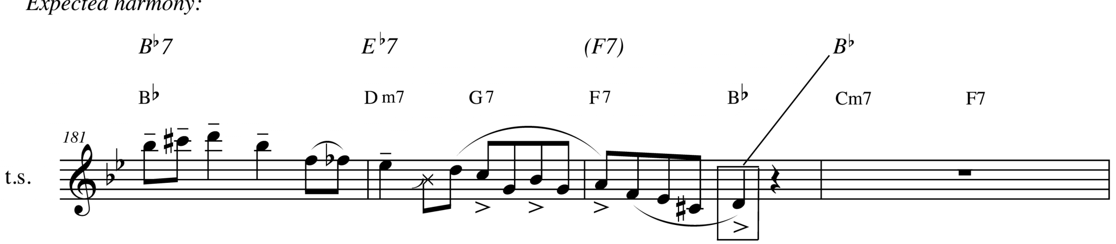
appear. The following line (response 2) is three measures long, once again creating an asymmetrical pattern with its previous call.

Figure 20: Call and response pattern in mm. 169–84 of "Rhythm-A-Ning," 1964



Furthermore, the end of response 2 anticipates the B♭ harmony of the chord movement by two beats. This is not apparent in the transcription (since the bass also anticipates the harmony); however, I demonstrate in figure 21 that the expected harmony (in italics) changes to B♭ in m. 184. The resolution heard on beat three of m. 183 is therefore an anticipation of the chord change.

Figure 21: Anticipated resolution in m. 183 of “Rhythm-A-Ning,” 1964



The B section of this chorus also exhibits rhythmic displacement. The ascending line in mm. 185–86 resolves on the note B (the third of G7) on the downbeat of m. 186, thus anticipating the chord change by one measure. Although the note B♭ in m. 188 signals a change to C7, the notes F–E♭–E in m. 189 delay the harmonic rhythm until beat two. A displacement of harmonic rhythm also occurs over the F7 harmony in m. 192: the resolution to the note D (the third of B♭ major) anticipates the following A section by two beats. This chorus is therefore based on asymmetry, and displacements of harmonic rhythm.

Chorus 6

The sixth chorus of Rouse’s solo is harmonically complex, another instance of Monk’s “hard tunes.” The harmony of the first four measures of each A section is a cycle of fifths, beginning on F#7 and resolving on B♭ in the fifth measure. The cycle of fifths, a common chord sequence in jazz tunes, can be considered a Monkish device for the context of this piece. Within the boundary of the tune itself, it refers to the cycle of fifths heard in the B section. Analyzing the passage within boundary of the composer’s

repertoire, Monk is shown to exploit these chord changes on a number of recordings—playing a chorus with the cycle of fifths in the A sections became a staple device for the quartet in 1964.

The progression relates to “Humph,” one of Monk’s compositions based on “Rhythm changes” from 1947 (*Thelonious Monk: Complete 1947–1952 Blue Note Recordings* [Monk 2001]). Figure 22 compares the chord changes of this passage with the first four measures of the head of “Humph,” each second chord may be seen as a tritone substitution (e.g., the F7 is a substitution for B7 in the first measure).

Figure 22: Comparison of cycle of fifths heard in the A sections of a. “Rhythm-A-Ning,” 1964, and b. “Humph,” 1947

A section m.	1	2	3	4	5
a.	‖ F#7 B7	E7 A7	D7 G7	Cm7 F7	B♭ ‖
b.	‖ F#7 F7	E7 E♭7	D7 D♭7	C7 F7	B♭ ‖

The cycle of fifths also appears in the first two A sections of Monk’s solo on “Rhythm-A-Ning” from the album *Criss Cross* (1963, 2:01–2:20). Hodson analyzes the first A section with chord changes every two beats, beginning on F#7 and resolving on B♭7: “the long string of dominant functions moves through eight different dominant-seventh chords before finally arriving at the tonic B♭ in m. 5. Again, [John] Ore [the bassist] goes along for the ride, immediately altering his bass line to coordinate with Monk’s harmonies” (2007, 69–70). Monk also plays these chord changes in a number of his solos in 1964[43] including the It Club recording (times 5:14–5:44). In all instances of

the passage, his formulaic approach is identical to his solo on "Humph" (times 2:00–2:15).

Rouse also favours this progression on "Rhythm-A-Ning": his formulaic approach to playing over the changes can be heard on four other recordings (listen for example to *Thelonious Monk In Philadelphia 1960 with Steve Lacy* [Monk 2006], track 5, 2:31–2:55; *Stockholm "Live"* [Monk 2002g], track 5, 2:59–3:29; *Live In Paris Vol. 1 & 2* [Monk 2002b], CD 2 track 4, 2:24–3:33; *Live at the 1964 Monterey Jazz Festival,* [Monk 2007a] track 4, 2:10–3:12). The cycle of fifths in this chorus is therefore considered one of Monk's compositional strategies, as used by Rouse in this solo.

This chorus also exhibits metric shift. Two beats of the chorus have been omitted, notated in m. 208 on the saxophone and drums staves, and in m. 211 on the bass staff. I have provided all three parts from mm. 199–213 to illustrate the interaction in the passage. The metre is set off balance by the drums in m. 200—the accented bass drum on beat three sounds like a downbeat, creating a momentary sense of metric confusion. The metre is consistent in the first A section (mm. 201–7); however, due to the bass drum accent in m. 200, I believe that Rouse was questioning the metre in m. 206: the altissimo notes of F and E played from beats one–three is a formula heard on other recordings of "Rhythm-A-Ning," where the rhythm begins on beat three and ends on beat one (cf., *Live In Paris Vol. 1 & 2,* [Monk 2002b] CD 2 track 4, 2:55; *Live at the 1964 Monterey Jazz Festival,* [Monk 2007a] track 4, 2:38). Rouse may therefore have deleted two beats at the beginning of m. 206; however, the metric displacement is clear in m. 208.[44]

The same rhythm is played on the ride cymbal (i.e., ♩ ♫) over beats one–two and three–four, thus providing a consistent blanket of sound for the metre to change by two beats in the saxophone and bass. When the chords in the bass are out of phase with the saxophone, the chord movement of A7–D7 in the bass is condensed in m. 210 to align with the saxophone on the following G7 chord. The metre is then firmly established in m. 213 with the B♭ in the bass, and the accented snare hit heard on the downbeat. This passage proves that while the musicians interact in a Monkian fashion, the metre may become ambiguous and require a collective metric shift.

Chorus 7

The last chorus of this solo demonstrates Rouse's economy, harmonic ambiguity, rhythmic play, and reference to the melody. Long rests are frequent, and the A sections can be seen as rhythmic variants of a motive with the notes F–A♭–B♭–C (mm. 237–48, and 257–58). When the motive is repeated over the chord changes of the first two A sections, the notes A♭–B♭–C are heard as a whole-tone figure. The whole-tone idea is extended in the B section with an A♭ augmented triad (C–A♭–E) in m. 250, followed by a repeated and dissonant G–F–D♭ in mm. 251–53. Rouse also uses the melody in this passage: 1) the three-note figures of C–A♭–E and G–F–D♭ are harmonically similar to the three-note whole-tone idea from mm. 28–30; and, 2) using the displaced rhythm of the B section (e.g., mm. 28–30), the quarter-notes in mm. 250 and 252 are also rhythmically displaced (i.e., played on beats two and four of m. 250, followed by beats one and three of m. 252).

Analytic Tag to Rhythm-A-Ning

Three of Monk's pieces based on "I Got Rhythm" ("Rhythm-A-Ning," "Humph" and "Stuffy Turkey") are similar, where the A sections explore the B♭ tonality differently than the common Rhythm changes. The complex harmonies of "Humph" have been detected as one exploration of the tonality. On "Stuffy Turkey" from *It's Monk's Time* (Monk 2003a), the blues is an overriding principal for the construction of the piece. The piece may justifiably be called a blues, other than its AABA harmonic form reminiscent of Rhythm changes: the melody, and improvisations, rely on blues motives in B♭ in the A sections, which are given harmonic variance in the B sections. Between the extremes of "Humph" (with its complex chord changes) and "Stuffy Turkey" (with its melodic blues orientation), the improvisations on "Rhythm-A-Ning" consolidate both approaches under the umbrella of A section harmonic exploration complemented by a B section harmonic contrast.

In Berliner's study, one musician remembers that pianist Ahmad Jamal would not play Rhythm changes "the standard way," but would devise "his own version of the progression, or 'he might do it like Monk did it'" (1994, 293). We do not know exactly how "Monk did it." However, the harmonies of his compositions based on Rhythm changes opened the possibility to improvising differently in each chorus: in Rouse's solo on "Rhythm-A-Ning," one witnesses choruses based on the blues (akin to "Stuffy Turkey"), Monkian solutions to the traditional chord structure, and complex chord changes (relative to "Humph"). The approaches are put into effect through an interactive process where the musicians work within the Monkian aesthetic.

Summary

The analyses of Rouse's solos on "Evidence" and "Rhythm-A-Ning" demonstrate that the Monkian aesthetic is central to his performance. Harmonic ambiguity, rhythmic displacement, economy, reference to the melody, compositional strategies, and references to Monk's signature devices are all present in Rouse's playing. Furthermore, the interaction between band members was necessary for playing Monk's pieces—the asymmetrical micro-structures, and ambiguous rhythmic ideas are not only apparent to the listener, but place enormous demands on the musicians for creating a successful performance.

Notes

[1] Also appearing on the album are Gildo Mahones (piano), Art Taylor (drums) and Paul West (bass).
[2] Parker's influence on Rouse's sound is also stated by Jean-Pierre Binchet (1963, 35).
[3] "Trading fours" refers to the alternation of four-bar improvisations between two instrumentalists.
[4] Schuller's term signifies a process of combining musical procedures from jazz and Western art music. See chapters 18–20 in Schuller ([1986] 2009, 114–33). To be clear, I use the word "Third Stream" to refer to the form and compositional procedures employed by the Jazz Modes, and not to indicate that the French horn—a classical instrument—is a Third Stream signifier.
[5] Rouse's recording for Duke Jordan in January 1962 serves as a transition in his playing. The first four tracks—"No Problem #1," "No Problem #2," "No Problem #3," and "Jazz Vendor"—all expose Rouse's preference for the high-register, Parker derived lines. Staying in the high register of the tenor on "Subway Inn," Rouse makes a departure from bop without using traditional chord-tone resolutions and employs more dissonant endings to his lines. On the last two tracks, "The Feeling of Love # 1" and "The Feeling of Love # 2," he sounds closer to his playing style with Monk: he makes full use of the chromatic movement of the melody and employs more dissonance and melodic leaps (Jordan [1970?]).
[6] According to the terminology used in this dissertation, it is Monk who would be "strolling" while Rouse performed with the bass and drums as a trio.
[7] In a review of Rouse's last performance, Jack Sohmer writes: "There should no longer be any doubt that, despite the high quality of Monk's other tenormen, it was Rouse who came the closest to thinking of the master" (1989, 28). Morgenstern similarly states, "of all the horn players who worked with Monk, it was Rouse who had the deepest comprehension of what this unique composer's music required, and unfailingly met its constant challenges" (Morgenstern 1989, 12).
[8] Video footage of "Round Midnight" is from 1966.
[9] Crohn (1992, 36:00–36:13), spoken by Branford Marsalis. Scott Yanow also writes about Rouse's distinct sound: "Unlike many of his contemporaries, Rouse's tone was instantly recognizable and unique" (1991, 67). Doug Ramsey's writing is similar, where, "Rouse received a degree of recognition in the shadow of Thelonious Monk, but not nearly in proportion to his artistry. He was an original and unmistakable tenor saxophonist" (1994, 66).
[10] Danson (1982b, 8); Franklin (1987, 10); Isherwood (1988, 17); Pareles (1982b, 12). I discuss this further in chapter 6.
[11] Rouse's use of the altissimo register may be found in the transcriptions that follow. The transcriptions are written in concert pitch, and according to the B♭ tenor saxophone, altissimo notes may be seen as any note above, and including e^3.
[12] In fact, the title "Evidence" is derived from "Just You, Just Me." Lester Young is credited for calling "Just Us" to his fellow musicians on the bandstand as an abbreviation

for the title (Daniels 1985, 324). Monk transformed the insider language phonetically to "Justice," and finally his play on words, "Evidence" (de Wilde [1996] 1997, 88–89; Kelley 2009, 114). The title "Justice" is also found on Monk's *Tokyo Concerts* (Monk 1984b) and *Live at the Jazz Workshop* (Monk 1982) (both listings of "Justice" found in T. Lord [2003]; *Tokyo Concerts* cross checked with Sheridan [2001, 126]).

[13] Robin Kelley states that "flashes" of "Evidence" can be heard in Monk's comping behind Dizzy Gillespie's trumpet solo on a 1946 recording of "Groovin' High" (based on different chord changes than "Just You, Just Me"), indicating that Monk had been working on the tune two years previous to its first recording (Kelley 2009, 114).

[14] In the first recording of the piece, Monk plays an A section introduction which is followed by solos by Milt Jackson on vibes and Monk. In the A sections of the final chorus, Monk plays figures similar to his introduction accompanied by Jackson's long tones. In the B section of the last chorus, Monk comps behind Jackson's solo lines.

[15] Kelley also states that the first recording of "Evidence" was a stripped down version of the piece to later become a solidified composition (2009, 140).

[16] The discrepancies in time among the group members are an instance of the (Monkian) difficult rhythms of the tune. I have omitted a micro-analysis of this to concentrate instead on the comparatively macro-features of the rhythm that are heard more explicitly on the recording.

[17] This misreading of the tune can be seen in one published transcription by Lional Grigson where the melody note D begins on beat one; each note and chord change in the head is therefore displaced by one beat ahead (i.e., the chords do not change on beats one and three, but on two and four) (1993, 5–6, 48–49). The problem with Grigson's rhythmic reading is that the melody of the tune does not coincide with the melodic figures taken from the head and the chord changes in the solo sections.

[18] The "and" of the beat is the second half of the beat. That is, when counting the beats in a measure, one will typically count "one-and, two-and," etc.

[19] Other recordings of "Evidence" exhibit this perceptual shift, and it is only with attentive ears that a listener can discern that the off-beats occur on the "and" of beat one (rather than beat four). Apparent in this recording is how the bass and drums contribute to this shift—whether intended or not—which makes this this Monkian characteristic clear to the listener.

[20] These abbreviations, along with t.s. for the tenor saxophone, are used throughout the dissertation.

[21] The piano, bass and drum parts are written according to the transcription in the appendix. The staves below each part are an empirical perception of the shifted metre. The remaining examples of metric shift in chapters 3 and 4 use a similar graphic representation, where the metrically shifted staff appears below the originally transcribed staff.

[22] "Billy Higgins—Drum Love" (1968, 30); Kelley (2009, 285); John Wilson (1960, 45).

[23] The C7 in m. 66 has is included in brackets according to the piano part. Rouse's G♭ sounds even more dissonant as it forms a minor ninth with the F played by the bass.

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[24] The blues was Rouse's approach to performances of "Evidence." He explicitly uses blues lines in the A sections of the AABA form (many times to end the A section). For example, listen to the recordings of "Evidence" on *Live at the 1964 Monterey Jazz Festival* (Monk [2007a]) times 1:30–1:51, 2:09–2:33, 2:51–2:54, 3:02–3:04, and 3:33–3:47, *Thelonious Monk: On Tour in Europe* (Monk 1988) times 1:26–1:28, 2:14–2:16, 2:23–2:25, 2:38–2:45, 2:51–2:53, and 3:20–3:23, and the more extensive blues work on *Thelonious Monk: In Philadelphia 1960 With Steve Lacy* (track 8 on Monk 2006) times 2:19–2:21, 3:15–3:30, and 3:48–3:51. From the 1963 concert in Japan, Rouse uses the same approach to end the A sections in his four solo choruses (the first A section of the first chorus 16:14–16:16, the second and third A sections of the third chorus at times 17:50–17:55 and 18:12–18:17, the first A section of the fourth chorus 18:24–18:28, and to finish the solo just before 19:02). The first and last A sections of the second chorus (16:51–17:02 and 17:23–17:34) are completely based on the blues (Monk 1990).

[25] Rouse makes use of this formula on many other recordings of "Evidence." One typically hears cell 1 at the beginning of his solos, and it's subsequent development (of sorts) for longer solo ideas, sometimes akin to cell 2, and formulas 1 and 2. For example, listen to *Thelonious Monk: In Philadelphia 1960 With Steve Lacy* (Monk 2006), track 2, time 0:46–0:56, then at analogous times in the time cycle (the A sections), times 1:16–1:43 and 1:54–2:23. Rouse expands the idea throughout the remainder of his solo (ending at 3:17). On the same album, listen to the A sections on track 8, times 0:54–1:13 and 1:27–1:29. On *Live at the 1964 Monterey Jazz Festival* (Monk 2007a), the solo from 0:49–3:37 contains descending thirds to build improvisatory ideas, especially in the first two A sections (0:49–1:09), and again to begin the A section at 2:02–2:05. His solo on *Thelonious Monk Big Band and Quartet in Concert* (Monk 1994b) is similar: the descending third introduces the solo (0:50–0:55) and is heard as a germ motive for other solo ideas until the end of the solo (2:29).

[26] Monk's son, T.S., discusses one of these occurrences: "The joint's packed and somewhere in the tune we're playing I dropped the ball. I turned the beat around. Now I recovered my butt off, and we continue and we finish, and it's Monk so everyone is cheering." After a moment of praise from the audience, Monk criticized T.S. harshly. He explains, "I tried to act like it didn't happen, or worse, because we had been so accepted, it didn't matter, which was the wrong attitude. From that day forward, accountability was serious" (Kelley 2009, 424).

[27] Higgins's metric reading is not extraordinary. If one considers the three eighth-notes at the end of the A section in isolation (the top notes of E♭–B♭–B, e.g., mm. 15–16), the notes sound as anticipating beat one of the following measure. Such a rhythm is traditional in jazz practice; for example, Miles Davis exploits the rhythm in the melody of "Four" (Davis 1987b).

[28] Figure 13 is a generalization taken from mm. 26 and 27. Variants of the rhythm are seen in mm. 25 and 28–32.

[29] The passage in mm. 55–56 is one example of the limitations of this analysis. The double-time figure is one of Rouse's signature formulas. The formula, along with variants that would be included in a formulaic family, are typically heard during the A sections of

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"Evidence." Measures 55–56 may be compared with mm. 76–77, 95–96 (of the B section), and 99–101 in appendix E. Additional examples include track 2 of *Thelonious Monk: In Philadelphia 1960 With Steve Lacy* (Monk 2006), times 2:17–2:19 and 2:45–2:46. Track 8 of the same album contains the formulaic idea at times 1:09–1:11, 3:44–3:48, and to end the solo at 3:52–3:54. It can also be heard on *Thelonious Monk Big Band and Quartet in Concert* (Monk 1994b) at time 1:36–1:40. My point is that the analyses presented in this dissertation focus on the processes of playing with the Monkian aesthetic; a style analysis of Rouse's solos would require identification of formulas not included in this dissertation.

[30] Monk was playing the melody from the head in all three measures. The E♭ in m. 71 is the melody note from the head (e.g., m. 7 in appendix E).

[31] Interactive adjustments are not uncommon in jazz. In an analysis of George Tucker's bass solo on "Bass-ment Blues," Ingrid Monson observes that jazz players may alter the metre during performance (Tucker adds two beats in the analysis), thus requiring an interactive process to bring the band back together (1996, 156–58). Hodson finds a similar occurance in Monk's solo on "Misterioso" when the musicians find themselves out of phase with reference to the harmony. An extra measure is added to the form due to the discrepency, requiring an interactive adjustment for the musicians to align themselves within the form (Hodson 2007 91–95). (Hodson analyzes the original release of "Misterioso" [Monk 2001, CD 2 track 2] as opposed to the alternate take released years later.)

[32] Sheridan (2001, 5–6); T. Lord (2003). Kelley explains that the first four measures of "Rhythm-A-Ning" are taken from Charlie Christian's "Meet. Dr. Christian," in which the first eight measures were taken from a horn riff written by Mary Lou Williams for "Walking and Swinging" that was first recorded by Andy Kirk in 1936. Kelley adds, "Monk's appropriation of Williams's phrase represents a rare example of musical 'borrowing' from an artist who prided himself on originality" (2009, 74).

[33] The eighth-note descending lines in mm. 15–16, 23–24, and the chords in mm. 39–40 are Monk's "fills," and are not part of the melody.

[34] Note: "Rhythm changes" have slight modifications depending on the performer or the piece being played; many variants are commonly performed by jazz musicians and notated differently by analysts. For example, Kelley writes the "common progression" for the A section as follows: || B♭ Gm7 | Cm7 F7 | Dm7 G7 | Cm7 F7 | Fm7 B♭7| E♭7 A♭7| Dm7 G7 | Cm7 F7 B♭ || (2009, 562n3). Despite the minor differences between Kelley and Berliner's progression (cf., fig. 16a), the important point is that a significant reduction of chord content is heard in "Rhythm-A-Ning," which is an example of Monk's harmonic economy.

[35] This analysis differs from that presented by Hodson (2007). Following his description of the "deep structure" of Rhythm changes—a prolongation of B♭maj7 with dominant function chord changes having strong motion towward the tonic (ibid., 62–65)—Hodson imposes (or incorrectly infers) chord changes to "Rhythm-A-Ning." For example, chords for the last A section of the melody are written as: || B♭maj7 Gm7 | Cm7 F7 |

B♭maj7 Gm7 | Cm7 F7 | Fm7 B♭7 | E♭maj7 | Cm7 F7 | B♭maj 7 || (ibid., 86–87). These changes do not account for the clear E♭ chord in the second meausre of the A section, and the meldoy notes F–G–A♭ with the B♭–F in the bass in the last measures (cf., appendix E).
[36] Koch analyzes the "bridge development" of "Rhythm-A-Ning," where a rhythmic similarity exists between the motives from the A section and the B section (1983, 71). It should also be noted that both motives have the same melodic contour, but different harmonic function (scale degrees 5–6–♭7 over B♭7 in mm. 12–15 of the A section, and 1–2–3 over D7 in mm. 25–26 and 2–3–#4 over C7 in mm. 28–30 of the B section).
[37] Kelley's account of the concert dates is accurate because he includes cited advertisements for the performances and more complete information than that provided by Sheridan. (Sheridan lists the "It Club" performances from October 19–November 1 with a rest day of October 25 [2001, 418–19].)
[38] Also released as *Thelonious Monk: Live at the Jazz Workshop* (Monk 1982).
[39] *Solo Monk* (Monk 1965).
[40] Gales and Riley had previously performed together with Eddie "Lockjaw" Davis and Johnny Griffin, and were familiar with Monk's work, evidenced by their performance on the Davis-Griffin album *Lookin' at Monk* (Kelley 2009, 362). Gales had also played for Rouse's 1962 recording of *Bossa Nova Bacchanal* (Rouse 2003a). Gales remained with Monk's group until November 1968, and Riley quit the following January (Kelley 2009, 403). (This information is more accurate than that provided by Sheridan, who lists Gales's and Riley's departure from the group in January 1969 [2001, 445].)
[41] Hodson's analysis of the harmony played in "Rhythm-A-Ning" during Rouse's solo on *Criss Cross* (Monk 1993) is similar. During the first chorus, "Monk's skeletal piano accompaniment defines additional B♭ harmonies on the downbeat of mm. 1 and 5, but other than that does nothing to clarify the progression between these chords (Hodson 2007, 66). In the first four measures of Rouse's second chorus, "Monk plays the same chord voicing—a B♭Maj9#11—over and over, which has the effect of controlling and limiting the progression to that single chord. Rouse and Ore hear this and strongly emphasize this harmony in their parts" (ibid., 68).
[42] Considering the analysis of "Evidence," this chapter demonstrates that Rouse used the blues as a general approach to improvisation. His candid use of the blues may also be heard on "Rhythm-A-Ning" recorded on *Live at the 1964 Monterey Jazz Festival* (Monk 2007a) at times 1:12–1:16, 1:28–1:47, and 3:12–3:29. Hodson similarly analyzes "Rhythm-A-Ning" from *Criss Cross* (Monk 1993): "Rouse strongly defines the key of B♭ major, implying the tonic as well as chords derived from the subdominant and the dominant functions, E♭7 and F7. In m. 5, he introduces an A♭, transforming the overall feel of a B♭ tonic into that of B♭7" (Hodson 2007, 66). In the example, one sees Rouse's reference to the melody in the first two measures of each A section, and blues motives from mm. 5–8 and 9–15 (ibid., 90).
[43] For example, Monk uses the cycle of fifths during the A sections for a full chorus on *Live at the 1964 Monterey Jazz Festival* (Monk 2007a), track 4, 4:45–5:15. On *Live in Paris Vol. 1 & 2* (Monk 2002b), he is heard playing the changes during the A sections of one chorus (CD 2 track 4, 3:30–4:07), and again for the last A section of his solo (5:08–

5:15). The concert released as *Stockholm "Live"* (Monk 2002g) contains the chord changes in two choruses (track 5, 4:52–5:49).

[44] I have notated that the drums change the metre in m. 208 out of convenience.

Chapter 4: Steve Lacy Performs the Monkian Aesthetic

> Jazz is a very young art and not too much is known about it as yet. You have to trust yourself and go your own way.
> (Lacy in Hentoff and Williams [1959] 2006, 14)

Steve Lacy's discussions about his music are general. He rarely spoke about the specifics of his improvisations. As I discuss later, however, Lacy was a devout "materialist"; his practice regimen reduced each musical parameter to its essential character to be studied to its fullest. One is therefore left with a significant gap between Lacy's general words and his improvisations of exact intonation, timbre, and temporal placement of notes. The Monkian aesthetic is a bridge for that divide: the analysis of Lacy's performances of "Evidence" and "Pannonica" connect statements made about his music in published interviews, writings by his critics and peers, and his technique documented in his book *Findings: My Experience with the Soprano Saxophone*.

Findings indirectly distributes Monk's approach to technical experimentation (Lacy [1994] 2005). Much of the book and accompanying compact discs contain regular music pedagogy, albeit with Lacy's spin. Long tones, the overtone series, command of the altissimo register, and altering pitch and timbre with alternate fingerings introduce Lacy's practice routine (Lacy [1994] 2005, 5–6, 16–17). His concentration on intonation and sound colour is emphasized throughout the book. He would bend notes a full tone down, then back up, focusing on the pitch of the top and bottom notes, as well as the semitone in between. He would experiment to find the best possible position of his mouthpiece by comparing the saxophone's natural overtones with their corresponding

fingerings, alternate fingerings, and notes in different octaves. To work on his dynamics, Lacy would draw on Western art music practices, dramatic performers, or good speakers—actors, politicians, preachers, teachers—as well as the sounds of animals (ibid., 27, 29–31).

Lacy had been developing inventive practice routines earlier, however. The pieces in chapter 12 of *Findings* were written in 1983 as studies that were deliberately hard to play. The six pieces were dedicated to Babs Gonzalez, Sonny Stitt, Karl Wallenda, Niccolò Paganini, Harry Houdini, and James P. Johnson—"practitioners" of their respective crafts (ibid., 77).[1] In an interview from 1986, Lacy is asked about his practice agenda:

> Ben Sidran: As you've been attempting to master the instrument you've had to develop your own techniques and exercises. Recently, you've actually put together a recording that consists of pieces written in 1983 for your own use as exercises.
>
> Steve Lacy: Right, yeah, [. . .] I could never find the exercises I needed in the stores, so finally I started writing my own. Also inspired by the Chopin études and the Paganini études and various classical composers, the idea of étude studies. And so I started writing these things and I wrote about three books of them. They're called "Practitioners." And they were really for my own use, to have something to study, something to play. And, there is an aspect of performance in them too because they're constructed in a way that they are supposed to sound like music. [They are] supposed to be like, they're études but they're also pieces of music. (Lacy [1986] 2006, 14:19–15:22)

Aside from his work with Monk's music, Lacy found inspiration from other sources to develop his own practice materials beyond the boundary of jazz.

Illustrating Lacy's musical economy, *Findings* displays that he was fascinated by the most basic of musical rudiments—the interval. He believed the saxophone to be an "interval machine" and would investigate intervallic parameters in different directions,

with different rhythms, dynamics, and by singing them to find which ones could be associated with language, for example the words "hello" or "sorry" (Lacy [1994] 2005, 37–39). One method Lacy used to disassociate himself from tonal harmonic movement was to practice intervals, as well as scales and arpeggios, in his "magic order" of keys: a full circle of B♭–E–C–F#–D–A♭–B– F–D♭–G–E♭–A (ibid., 22, 37–39, 43, 52).

Monk is cited a number of times in Lacy's book. At one point, Lacy writes, "Monk told me another thing. 'Whatever you think can't be done, someone will come along and do it.'"[2] To Lacy, this meant to keep experimenting to find new means of musical expression (ibid., 73). In a specific section discussing Monk, Lacy writes, "I learned a lot from this music, for example how to read, as the rhythmic, intervallic and dynamic difficulties were great" (ibid., 12). He sums up his ideas, stating, "I remain a convinced 'materialist': working intensively on a given material is perhaps the best way to progress, and eventually to find you own style, by getting to the bottom of someone else's style" (ibid., 12). What can be read from Lacy's "findings" is a detailed research of his instrument. Other methods included in his book are presented later with interviews and commentary about his music.

This chapter is organized in two main sections. The first section discusses various writings on Lacy's music; his early work, and his focus on Monk's repertoire are followed by a musical account of his collaboration with Roswell Rudd. Rudd's perspectives on the music are taken into account because they significantly contributed to Lacy's approach to Monk's music. Lacy's tribute concerts and his solo recordings are considered next, with a summary of his sound "research" in free jazz constructs that

moulded his technique.[3] The discussion of Lacy's music brings attention to the technical features that shaped his voice as a soprano saxophonist, and how these techniques are brought to the fore in his performance of Monk's music.

The second section analyzes three recordings by Lacy. "Evidence" from 1961 typifies his transition from Monk's group into the free jazz style he performed with Rudd, which is investigated in a subsequent analysis of "Pannonica" from 1963. Lacy's solo recording of "Evidence," recorded in 1985, is placed in context of his mature style consolidated in *Findings*.

Writing on Lacy's Music

While becoming acquainted with Monk's music, Lacy continued to perform in the Dixieland style and a dance band with Cecil Taylor. Initiating an early free jazz style, their avant-garde work together can be heard on *Jazz Advance* from 1956. Lacy's playing includes rhythmic and harmonic lines similar to the bop idiom, and mixed with a move away from tonal centres that complement Taylor's chromaticism and tone clusters heard throughout the album (Taylor 1991). When Lacy began performing Monk's music, his playing was not as adventurous as that heard on *Jazz Advance*—according to his method of strictly learning Monk's music, his solos on the 1958 recording of *Reflections*, for example, stay close to the music's structures (Lacy 2009).

Lacy's presence in the jazz press from 1959 forward typically includes discussions about his saxophone techniques that were developed while working with the Monkian aesthetic. Early in his career, Lacy commented that the soprano saxophone is

known for a difficult control of its intonation and dynamics (Hentoff and Williams [1959] 2006, 14). Lacy discusses his tone in one interview:

> Ben Sidran: You're known for being one of the few people who actually has mastered the intonation aspects of the thing.
>
> Steve Lacy: Well it's a constant struggle. You never master it. You may be on top of it for a night or two but you really have to really watch your p's and q's because it'll *master* you, if you don't look out, really. There's *always* pitfalls involved there. It's like a high strung horse that if you don't watch it, you could ride it and ride it and it'd take you where you wanna go but if you, if you don't watch out it'll kick you right in the rear one day.
>
> Sidran: The tone that you get on the instrument too is remarkable. I think that's why Bechet was initially so celebrated.
>
> Lacy: Well your tone is your thing, really. You were born with a tone. It's a conception, it's [unintelligible], nobody can boil a tone down. It's a particular sound. It's like somebody's voice, and . . . you're born with a voice like that and when you find—if you find—your proper vehicle, well then you can do something with that particular voice, but the sound itself is something that you can't buy, or, you can develop it, of course. And you *must*, but the nature of it is given. The reason I fell for the soprano saxophone, because it could convey my tone. It's just a vehicle, really. (Lacy [1986] 2006, 11:59–13:21)

One will note that from Lacy's perspective, his tone was not separable from his intonation, or his "voice" as an instrumentalist. Like Monk, Lacy is known for his distinctive intonation, tone, and voice on his instrument.

Lacy differentiates his approach to that of earlier saxophonists like Sidney Bechet: "With an instrument like the soprano, you have to do something about the difficulty of control. One way is to cover it up with a vibrato. Another way is to remove the vibrato and come to terms scientifically with it, let it be heard" (Whitehead 1987, 25). Lacy's direct sound can be heard on many of his recordings. In 2002, Gérard Rouy comments that Lacy's tone is "clear and round, with swift phrasing and a pitch as precise

as a needlepoint lacemaker" ([2002] 2006, 212). The following discussion of Lacy's development as a jazz artist outlines his musical experimentation with different materials—especially the Monkian aesthetic—and his technique that is attributed to musical research on the soprano saxophone.

Early Work

Cecil Taylor exposed Lacy's ears to experimental improvised music as well as the twentieth-century classical tradition—Lacy gained a deep appreciation for the works of Stravinsky, Bartók, Prokofiev, and the Second Viennese School of Schoenberg, Berg and Webern.[4] Lacy transposed Webern's pieces for the soprano saxophone in 1959 as difficult exercises for concentrated study:

> when I heard Webern's music, I found that fantastic for the soprano, it was made for the voice but I was also a soprano. [. . .] I remained a week or two on each measure, just to decipher, to feel it. That was a profound influence, his rhythm and the intervals, the dynamics and the ways of using the soprano's register. Webern was one of my best influences, his compositions were sublime, of such perfection, like Monk. (Lacy in Rouy [1987–88] 2006, 120)[5]

Lacy used Webern's music as études; Opus 17 is one example. Lacy recorded his version of the piece, and commented that the repertoire was difficult and provided excellent material to study (Lacy [1994] 2005, 223).[6]

Drawing on many traditions of music, Lacy did not identify with the bop style and maintained a distance from improvising based on chord changes. Lacy speaks of his early ear training with Cecil Scott:

> He used to sit at the piano, playing all sorts of chords and, on my end, I would try to improvise without knowing what he was really doing. It was very good for training my ear, although in a certain way it gave me the bad habit of thinking in terms of chords, which doesn't suit me personally. (Gros-Claude [1971] 2006, 44)

Not interested in the “gymnastics” of rhythmically dense arpeggios and scales of bop, Lacy states that he “always resisted” formulaic approaches to improvisation, and believed that jazz is “an anti-formula music” (Rouy [1987–88] 2006, 116). In addition, his improvisations rarely include quotes of other musical material. He thought that quoting has the ability to stop the flow of the music; in turn, he reserves this practice for specific moments to which the material is important for the piece (Gervais and Boulaine [1976] 2006, 72).

Lacy typically evades the question when asked what he “thinks” about while improvising. One response to a questionnaire from 1965 reads: “That question’s too personal” (“Twenty-Six New Jazzmen” [1965] 2006, 41). His answer to a similar interview question is also ambiguous:

> I never think of chords, nor of chord changes. Never that sort of thing. In fact, I don’t think of anything. I only try to follow the music, to stay with it, to not lose sight of it. If you lose it, you’re in trouble, you make a mess of it, but if you don’t lose it, that’s perfect. (Carles [1965] 2006, 35)

Instead of analyzing his playing as a direct result of chord changes, it is beneficial to think of his improvisations as melodies that stem from his practice regimens, both with the material at hand and his thorough study of the saxophone.

Lacy’s self-constructed melodies are represented well in Mark Gilbert’s review of *The Straight Horn of Steve Lacy* (Lacy 1989). In an interpretation of Miles Davis’s bop piece, Lacy “skirts around the harmony of *Donna Lee*, in touch with the changes, but viewing them from some distant parallel. [. . .] As the record progresses it becomes evident that themes and harmonies matter less than Lacy’s eccentric piping” (Gilbert

1986, 29).[7] One will find that Lacy's work with the Monk repertoire is no different: whether employing constructs associated with free jazz, his practice "findings," or performing solo, his improvisatory approach stems from a concentrated study of Monk's repertoire.

Monk's Repertoire

In 1959, Lacy explained the characteristics he found appealing in Monk's music: "Monk's tunes are the ones that I most enjoy playing. I like his use of melody, harmony, and especially his rhythm. Monk's music has profound humanity, disciplined economy, balanced virility, dramatic nobility, and innocently exuberant wit" (Hentoff and Williams [1959] 2006, 13–14). In another interview from the same year, he is quoted again about his process of learning Monk's repertoire and paying special attention to the music's harmony and rhythm; speaking to what many instrumentalists thought of the music, Lacy reiterated that the pieces were difficult, but that they provided a challenge to progress as a musician (Levin 1959, 63). Again in 1997, Lacy said that Monk's pieces were "full of interesting rhythmic, melodic, dynamic, harmonic, and structural problems" (Lacy 1997, 11).

Noted in appendix C, Lacy referred to learning Monk's "language" many times, and in terms of the Monkian aesthetic, Lacy found that the compositions and improvisations necessitated a strong musical correlation. In 1987 he said, "[w]hat's made up on the spot and what's prepared should be members of the same family, shouldn't be

too different. That was one of the things I learned from Monk. His composing and improvising fit together—the same language, the same values" (Whitehead 1987, 26).[8]

Using the melody as a basis for improvisation was central to shaping Lacy's solos. His perspective was that Monk's harmony came from the melody, and to dispense the latter for the former would lose an essential quality of the music (Gitler 1961, 46). He later said, "[i]t was Monk himself who told me that music should come from the melody and the beat. You pat your foot and you sing the melody. And you play off that. Never mind the chord changes. Chord changes are less important, really" (Cordle 1987a, 8). Lacy tells of Monk's advice in multiple interviews: play the melody, simplify your solo ideas, "stick to the point," and "try to make the rhythm section sound good" were the main things Lacy took away from working with Monk.[9] More specifically, Lacy says, "I learned to stick to the point. To not just play something for the sake of playing something. With Monk, you play something because it has meaning. I also learned to try to get more with the melody, to have what I play relate to the melody, to get *inside* a song" (Hentoff 1961, emphasis in original). Lacy's playing is not rhythmically dense or formulaic. It seems that he chooses his notes carefully, finding meaning in each note as it relates to the tune.

Monk only provided general advice to Lacy, and sometimes instructed "what not to do" (Bull [1985] 2004, 2:15–2:19).[10] Max Harrison questioned Lacy about this in one interview: when Lacy spoke of "sticking to the point," Harrison asked "the point being?" Lacy's response was vague: "The point being to play the song and swing." Harrison probed deeper: "When [Monk] said 'Play the melody', it wasn't that he didn't want you

to improvise? He wanted you to improvise on the melody, not just run up and down the chords?" Lacy confirmed, but did not elaborate (Harrison 1966, 10).

Monk would tell Lacy that it was every musician's responsibility to have control of the rhythm and beat, saying "[j]ust because you're not the drummer doesn't mean you don't have to keep time."[11] As the musicians worked closely together during performance, Lacy used Monk's advice—"Let's lift the bandstand"—for the title of his documentary, *Lift the Bandstand* (Bull [1985] 2004, 2:49–2:54).[12] What seems to be the most important point Lacy learned from Monk was the attention one gives to the communal event of music making. That is, it is not in a musician's interest to be set apart from the band; instead, the performance reaches its best when everyone performs collectively, resulting in a metaphysical "magic."[13]

William Day comments on an interview with Lacy when he discusses Monk's advice. As opposed to providing specific musical instruction, for example to play certain notes or arpeggiated chords, Monk is said to present "an open invitation to think and not a prescription for improvising in the style of Monk" (Day 2000, 108). The common feature of Monk's remarks is a "call for a kind of thinking, as if the words ask to be not heeded but interpreted" (ibid., 108). By withholding specific instruction, Monk's advice is "a sample of moral perfectionism," as defined by a type of "thinking whose distinctive features are a commitment to speaking and acting true to oneself, combined with a thoroughgoing dissatisfaction with oneself as one now stands" (ibid., 99). Day writes that the features of moral perfectionism "identify a way of living set against a life of conformity and a lifeless consistency" (ibid., 99). Lacy was therefore directed by Monk

to find his own improvisational procedures with the repertoire and realize his own potential: like the epigraph above, "to trust yourself and go your own way."

Monk's musical economy and attention to rhythm were important for Lacy's interpretation of the repertoire. In his eulogy, Ben Ratliff wrote, "playing with Monk in a quintet and big band, and studying his music assiduously, Mr. Lacy was able to absorb the elder musician's wit, economy, insistence on simple rhythmic patterns and range of melody" (2004, 16). Lacy's writing on Monk's "characteristics" include an extreme concentration on rhythm, i.e., a "*total control* of the *timeseat*" and to be "at home *within* (inside) *the beat*." Speaking of Monk's musical economy, Lacy continues: "Thelonious had the necessary means to *carve space*" (Lacy [1980b] 2006, 251, emphasis in original).

At one point, Lacy compares his approach to that of his contemporary Evan Parker, and explains that Parker places importance on continual breathing and a consistent sound through time. Lacy, however, utilizes an economy of silence and pause (rest between sonic events). He explains: "Very important for me is the space between [notes]. That's something I learned from Monk. He told me, 'It's very important what you *don't* play.' And he told me, 'Don't play everything. Let things go by'" (Cox [2002] 2006, 222, emphasis in original).[14]

Commentators on Lacy's music write of his progression from before, and after his time playing with Monk. One analysis of Lacy's playing from 1958 ("Skippy" from *Reflections* [Lacy 2009]) points out that he was noticeably "pattern-oriented" (Griggs 1987, 60); the provided transcription demonstrates that arpeggios, formulas and repeated notes seem to be Lacy's early solutions for moving through the chromatic chord changes

(ibid., 60–62). By the time he was working with Monk in 1960, however, Lacy was "much stronger rhythmically, more direct, and more 'swinging' than most of his recorded work prior to joining Monk" (Kelley 2009, 292). One review of *The Straight Horn of Steve Lacy* (Lacy 1989), recorded just after his time with Monk, reads: "Best of all are the Monk pieces, *Played Twice* and *Criss Cross*, where the saxophonist's experience with Monk really shines through" (Ansell 2011, 28).

Reviews of Lacy's *Evidence* from 1961 report on his progress with the Monkian aesthetic. Fred Bouchard writes, "Lacy's early soprano sound was ripe, pure, pointed, making prime use of space and economy" (1981, 27); Harvey Pekar's review shortly after the album's release was similar: "Lacy's conception is advanced, but his solos are generally economical and melodic and shouldn't be too difficult for most jazz fans to follow. His *Evidence* solo—which consists of isolated tones and short phrases—illustrates his economy" (1962, 30).[15] Listening to Lacy's transition from *Reflections* (Lacy 2009) through *The Straight Horn of Steve Lacy* (Lacy 1989) to *Evidence* (Lacy 1990) confirms these findings: Lacy's work with Monk was pivotal in developing a firm understanding of Monk's insistence on melodic playing, economy, and rhythmic displacement.

School Days and Roswell Rudd

Lacy rarely spoke about the musical specifics of his work with Roswell Rudd; however, Rudd, and multiple authors describing his style, provided insight into their musical conception. Furthermore, his artistic development at the time reflects what he

and Lacy were aiming to find through their investigation of Monk's music and the musical features of free jazz.

In a general history of hallmark jazz instrumentalists, Rudd is described as a musician who widened the sound spectrum of the trombone to include noise elements that were not traditionally employed on the instrument:

> Rudd deserves special attention in this field as he has a certain Dixieland and blues approach to his tonally free excursions. His "smears"—the deliberate, raucous bending of the trombone tone—are legendary. His playing is very extroverted, and shows an influence from the angular lines of pianist Thelonious Monk. (Berendt and Huesmann 2009, 273)

David Baker makes note of Rudd's "rips, glides, slurs, lip trills, falloffs, and other vocal mannerisms" (1972, 30). Baker continues: "His playing [. . .] incorporates many of the things we have come to expect in the avant garde [*sic*] repertory (i.e. angularity; extremely wide range of expressivity, volume, tessitura, timbral differentiation; extensive use of space; maximum use of tonal resources; indeterminacy; special effects, etc.)" (ibid., 30).[16] Baker's special points of interest include Rudd's development of thematic material, extreme range, vocal quality, and angular lines (ibid., 30). Baker's transcription of "Wherever June Bugs Go" from *Archie Shepp Live in San Francisco* (Shepp 1998) represents how one comes to terms with the unpitched content of Rudd's playing: the note-heads written with an "x" for his "approximate notes" indicate that his pitch is secondary to the timbre, effect and volume of his sound (D. Baker 1972, 30).

In an interview from 1964, Rudd talks about these characteristics that were included in his practice routine, saying,

> I might play something rhythmically or arhythmically, with pitch or without pitch, with one timbre or with another. I apply all these approaches to whatever material

> I may be practicing. I also try to contrast musical ideas that are fast and slow, long and short, hard and soft, and straight and crooked. I am not especially concerned with harmony as a reference to chords or chord effects. My main interest is as it refers to intervals, shapes, and pitches. (Heckman 1964, 14)

Like Lacy, Rudd was invested in the qualities of his instrument and found liberation through their applications to Monk's music.

Rudd conducted "an enormous amount of listening and analysis" in the early 1960s (ibid., 14); speaking of the music, he says, "I listen to Monk's records on slow speeds, fast speeds, every way I can. He's a phenomenally uninhibited player" (ibid., 15). Rudd was not interested in virtuosity in the traditional sense (Dupont 1992, 9); instead, he spoke of the importance of Monk's musical ideas:

> I still say that although you have to know how to play the instrument, what's more important is that you have to have musical ideas. I've seen it happen with a lot of people—their ideas were so heavy that they found a way to make the sound, even without a traditional knowledge of the instrument. Monk developed a technique around his ideas. Ideas to me are the fundamental thing. From the ideas you develop a technique and a style on your instrument. (Primack 1978, 61)

Taking heed of how Monk expressed his ideas through his technique, Rudd (like Lacy) extended his own instrumental technique to interpret Monk's music.

One of Rudd's "roles"[17] in the interpretations of the music was to provide counterpoint to the melody, and Lacy's solo passages. Rudd describes the music as having a deliberate root-based harmonic orientation (Danson 1982a, 5); drawing from this, his contrapuntal playing was congruent with his figured bass training from Yale, where his counterpoint was based on intervallic relationships with the melody rather than the chords (Danson 1982a, 5; Dupont 1992b, 10). Like Lacy's descriptions of Monk's music as a language, Rudd similarly says:

> I was beginning to see how it was possible through composition and improvisation to create something that was about the present and about the people who were making the music. It was existential, and here and now—the ability of human beings to get together and *relate through a system* and really do something in this culture that was concerned with the human potential. (Danson 1982a, 6, emphasis mine)

Part of Rudd's liberation from the harmony reflects his free jazz tendencies of the time, which were influenced by Ornette Coleman. Rudd explains that while he was working with Monk's music, "Ornette was really needed. The music was getting too bogged down in different kinds of harmonizations. [. . .] But there were lesser people such as myself (I don't mean that in a derogatory sense, but Monk is clearly in a class by himself), who were getting bogged down in the changes" (ibid., 6).

Lacy also commented on Coleman's influence: "Ornette showed us certain things that were fundamental: space, time, how to treat time in space and space in time, that is to treat the material like something malleable, not like something predetermined" (Rouy [1987–88] 2006, 116). Using this "malleable" approach, Lacy and Rudd learned Monk's music by "fooling" with and "arbitrarily chang[ing] certain aspects of it so as to see what will happen" (Lacy in Case [1979] 2006, 86). Working with the "homogeneous quality" of the music, Lacy states, "[w]e were after a similar kind of thing—not playing like him, but playing music that held together that well, trying to come up with a style of improvisation that both fit that music and was our own, and was free" (Weiss 1981, 36). Lacy and Rudd's approach, therefore, was to liberate Monk's music with the freedoms then consistent with free jazz.

One review of *School Days*, written shortly after its release, speaks to the album's free jazz style and maintenance of melodic improvisation. Barry Tepperman writes:

> [Lacy] was going beyond isolated sweetsayings in his use of melodic improvisation without strict reference to chord structure—although he has still never mastered (with the thoroughness of Ornette or any of his followers) the transition from structural to emotional content as an improvisational base. (1977, 23)

Tepperman continues, explaining that Rudd's playing "was much farther removed from chordal reference points," and that he was in a transition phase between his 1961 recordings with Cecil Taylor and the free jazz performed with the New York Art Quartet in 1964 (ibid., 23). In a later review of the album, Barry McRae comments,

> [Lacy] assured me that this was a vital stage in his move to modern music and that he approached each composition in a straight manner. This fine album documents that process but both Lacy and Rudd take more liberties than is usually the case amongst those that give successful readings of Melodius Thunkery. (1994, 35)

McRae believes that the renditions of "Brilliant Corners" and "Monk's Dream," "will prove quite a shock to Monk students but, throughout, the horns show that they are not afraid to fence with the strong, thematic leads in hand" (ibid., 35). He concludes that "this is an important landmark in jazz development because, within [a] couple of years Lacy and Rudd were taking a vastly freer approach to their music" (ibid., 35).

Lacy specifically talked about improvisation as an important element for their music. As the analysis of "Pannonica" in this chapter demonstrates, Lacy and Rudd did not improvise *on* Monk's music but improvised *with* it. Their interpretations do not strictly adhere to a traditional jazz form (the composed head followed by individual solos and a restatement of the head at the end). Rather, the composition provides a structure for interactive improvisation throughout the entire piece. Lacy says, "[t]his is what Monk is about: a prepared structure that can be played in an improvised manner and can be elaborated upon improvisationally. It promulgates improvisation; the tune is not complete

without improvisation" (Corbett [1997] 2006, 190). This freedom with the structure began in 1961 when Lacy was working with Don Cherry. By the time the Lacy/Rudd collaboration ended, Lacy had moved into free improvisation by systematically shedding his music of its prescribed theme, melody, harmony, rhythm, and tonality.[18] Lacy and Rudd thus worked with the Monkian aesthetic as a means to develop their free improvisations in jazz.

Lacy's Tributes

Critics writing in the 1980s and 1990s describe the Monkian aesthetic at work in Lacy's tribute concerts. Bob Blumenthal writes that Lacy and Mal Waldron captured Monk's compositional quality, where "playing Monk's melodies is not necessarily the same as playing his music" (1983, 6). Blumenthal explains that their interpretations were based on melodic development, with solos that are built on each piece's rhythm and "overall shape" (ibid.). He also comments, "[l]ike Monk's, Lacy's instrument is direct yet mobile; his rasps and treble-clef squeals recall Monk's emphatic clusters" (ibid.). In a concert review, Don Heckman similarly writes that "Lacy pushed his horn to its limits, with squeaks, honks, high harmonics, slap tonguing and double-stop overblowing" (1987). In addition to these extended techniques, Heckman makes note of Lacy's "odd interval leaps" that were "virtual trademarks of his style" (ibid.).

In the 1986 duo concert with saxophonist Rosco Mitchell, Lacy played "train-whistle honks" that are like Monk's harmonic clusters on "Little Rootie Tootie."[19] Juxtaposing Lacy's playing to Mitchell—much like Evan Parker's mentioned earlier—

Blumenthal writes that Lacy had a "greater reliance on space and silence against Mitchell's continuous sound flow" (1986, 11). Ben Ratliff pays attention to how Lacy found his own voice in the music. Reviewing a tribute concert at Carnegie Hall in 1999, Ratliff writes:

> Playing "Work," Mr. Lacy stepped out of Monk's authoritative rhythms altogether, finding his own way to lay out the song; he avoided lines and concentrated on single notes, letting them sound honest and awkward, and then connected them to create short, fast runs in his own language. (1999a, 5)

When performing tribute concerts, Lacy conveyed the Monkian aesthetic with his own mark, and in a style shaped by his practiced techniques and improvisatory procedures of free jazz.

Monk's Music: Solo

Lacy balanced his free jazz tendencies with Monk's material in his solo interpretations of the music. Asked about the degree to which his concerts were structured, Lacy responded, "[m]ost of it is a let-go. If a concert is two hours long I may have a minute there where everything I do is very precise; but most of the time it's improvisation, free" (Terlizzi 1977, 9). However, Lacy's "freedom" with the music rested heavily on his intimate knowledge of the material. He states that solo concerts could be risky: "In a solo concert, the important thing is contrast and space, and having a comprehension of the whole thing. You can take chances, but there has to be a certain preparation, because it will fall apart with one or two wrong notes" (Shoemaker 2000, 49). Attended to later in the analysis of "Evidence" from *Only Monk*, Lacy also states that

the most important element of his solo performances is the juxtaposition of rhythm and silence.

Lacy's solo playing was not pre-composed; rather, the improvisatory process and the length of the performance were determined by the material of the piece. His performances concentrated on certain techniques or musical parameters of the piece, or exploring parts to modify or omit (ibid., 49–50). Although Lacy would let the material determine his improvisatory flow, his playing was precise: "While much other new jazz is primarily concerned with sound and texture, Mr. Lacy's jazz is extremely sophisticated in its exploration of relationships among precisely articulated notes" (Palmer 1977a, 8). His direct playing and attention to detail furthered a blurring of lines between improvisation and composition in his solo playing. For example, Barry McRae's review of *Eronel* reads: "The compositions of Melodious Thunk are an ideal vehicle for his style. The synthesis of perambulating lines and jagged angles complements his unpredictable turn of phrase, and in due deference to his idol he does not go 'free'" (1980, 39). Bill Shoemaker heard the freedom in Lacy's solo playing, however. Comparing Lacy's early and late performance style, he writes:

> One measure of Lacy's intimacy with the Monk repertoire is the liberties he takes with the material, particularly in a solo recital such as *Only Monk* (Soul Note 1160).[20] His licenses with motivic development, rhythmic shifts and emotional projection far exceed what he takes on *Sempre Amore*.[21] For a historical perspective of Lacy's artistic evolution with the Monk repertoire, compare the versions of *Work* on *Soprano Sax*[22] and *Only Monk*, the probing, cadenza-like improvisation on the latter possesses a regard for space, an assimilation of non-Western phrase construction methods, and a mastery of harmonic tension, issues that had yet to be addressed by the 23-year-old Lacy. Still, the tender reading of *Pannonica*, the lithe swing of *Who Knows?*, and the gleeful train whistle effect that gooses *Little Rootie Tootie* indicates that Lacy primarily champions the soulfulness and playfulness of Monk's music. (Shoemaker 1988, 30)

Lacy's rendering of Monk's music as a solo saxophonist made use of the freedom he found in the material.

Research, Free Jazz, and Technique

Monk influenced Lacy's musical research in free jazz. After indicating that musicians, including him, would visit Monk to discover his "new sounds," Lacy's interviewer remarked, "I suspect that some of Monk's 'research' rubbed off on you." Lacy replied: "Yeah, I've been on a quest myself for more than fifty years now, and I'm still looking for new sounds and trying out new things and learning a lot" (Cox [2002] 2006, 218). Lacy's research relied on exploring the possibilities within sharply defined imposed limits. He would develop material and extended techniques from free improvisation and a rigorous practice regimen of small-scale musical characteristics.

Lacy found that free improvisation led to imprecision in certain performance situations, and he would devise limitations on certain elements (e.g., time, timbre, tempo, instrumentation), thus focusing on the potential of articulating distinct renderings of sound. He believed that "[f]ree jazz, necessary in its time, was not varied enough; that's the reason why it ended: it gave rise to monotony. It's up to the musician to bring about the changes, to arrange for something to happen; what you get by limiting yourself is the real freedom" (Gros-Claude [1971] 2006, 45). His method included using free improvisation as source material, which would be structurally organized to provoke new material (Gervais and Boulaine [1976] 2006, 72–73). He explained:

> It's good to have something in the bank, as it were, before you make that leap. It's good to be steeped in the technical aspects, because otherwise you're going to break your neck. Free playing is a kind of research for me, a kind of pushing. You extend the language and you come up with a few things, but I find it hard. (Case [1979] 2006, 86)

Michael Ullman discusses how Lacy would create limits to explore freedom within constraints. That is, the composition at hand provided limits, or a "framework of reference for musical devices" (2007, 339). Ullman quotes Lacy: "I'm a materialist. I like limits, lines. I'm a composer, I like pieces, precise atmospheres. I like craziness too, within certain limits, with other things around it. [. . .] What I'm searching for is a certain rapport between the piece and the playing. Something that makes a unity between the structures and the playing" (ibid., 339–40).[23] In an interview with Kirk Silsbee, Lacy says that his extended techniques were developed by "scientifically" practicing the limited material (investigating the specific nature of a particular sound), or by juxtaposing different sounds to emphasize certain colours or expressive effects ([2004] 2006, 125).

Lacy's research developed into a skilled control of his instrument. Robert Palmer writes, "[h]is clean articulation, full upper register and arsenal of timbral effects are quite beyond the reach of other soprano players" (1977a, 8). Four reviews appearing in the press release for *Steve Lacy "Solo"* and *The Crust* frequently refer to his full and pure tone in the altissimo register of the saxophone.[24] Lacy would practice his tonal quality throughout the entire horn; he is known for playing scales slowly to correct imperfections in pitch or tone quality by ear (Myers 2004, 58). He was particularly fond of manipulating the overtone series. Accomplished by holding one fingering for a fundamental tone and changing the airflow and embouchure, the saxophonist is able to

play the overtone series into higher registers than the high keys (fingerings) of the saxophone. He once talked about the importance of learning the sound production of his instrument:

> There's a kind of a 'soft-shoe' approach to practicing and people don't really come to grips with their horns and they don't get to the bottom of them. They never get the material to vibrate enough so as to get something happening. I think the fundamentals, the overtones are really very important and a good way to get the brass vibrating is to dig in without the octave key. The overtones, from the bottom of the horn all the way to the top, are there if you want to get to it. (Silsbee [2004] 2006, 123)

Lacy says that it took years for him to develop full control of the high-register tones; and although he considered it "merely a material exercise," he frequently used the high register in his improvisations (ibid., 124).

He generally used a Selmer saxophone (Martin, [1991] 2006, 133; Silsbee [2004] 2006, 126); however, he attributes his full sound to a large mouthpiece and soft reed.[25] When asked how he achieves such high notes, he explained that "[i]t's in the reed. There's a lot more flexibility with a soft reed, so you can go much higher" (Martin [1991] 2006, 135). Attending to the tonal quality of the notes, he said that it would be easier to attain the notes with a smaller mouthpiece, but it took years to build up to a very large one for its full sound (Silsbee [2004] 2006, 124).

Lacy clarified the limitations of his purchased hardware, however: "One often thinks it has to do with the instrument, or else the mouthpiece, or the reed. Some try lots of different mouthpieces, but the sound doesn't come from there. [. . .] The sound, you have it inside you. All your musical work aims to (re)produce it" (Hardy and Quinsac [1976] 2006, 60). As with any professional musician, the technical specifications of

Lacy's instrument, and his personal modifications to it, only lend themselves to the possibilities of sonic choice. Therefore, he worked with the provided physical properties of his instrument to administer a range of sound that could be applied to different aesthetic situations.

Lacy would also find ways of "speaking" through the instrument. He said that practicing is "research. Part of it is like muscle-building, and technical readiness building. But part of it is research, and that's the part that's interesting" (Ratliff [1992] 2006, 143). The "muscle-building, and technical readiness" attends to the strong embouchure required to gain facility in the high register and to change the timbre of notes (e.g., growls, honks, squeaks). His "sound research," however, involved producing different ways of making the instrument sound, representing phrases like "no baby" or "hello, how are you" with different notes and timbres (Myers 2004, 59).[26]

According to his students at the New England Conservatory, Lacy preferred to practice time, metre and rhythm according to human perceptions of time rather than using a metronome. Always finding a "forward motion and impetus,"

> he found his rhythm in more subtle forms—the length of a stride a particular person takes, for example. As he or she goes "walking the scales," each footstep is made unique and internally rhythmic by the heel meeting the floor and the note sounding at that point, or a moment later, as the ball of the foot rolled through to the next stride. The walking, Lacy explained, could always take on its own character and meaning. (Ibid., 59)

Lacy's instructions are to "[s]tudy of movement in time and time in movement," and to find such movement in other aspects of life, such as sport, dance, the wind, or animals (Lacy [1994] 2005, 35–36).

The important aspect of his practicing resides in his concentration on sound. Like any musician, he is cited for practicing “scales, harmonics, arpeggios, sound, rudiments” (Médioni [1995] 2006, 164); however he was an advocate of what he called “tight corner exercises” that impose strict limitations on one musical parameter (Silsbee [2004] 2006, 126). Lacy explains in *Findings*: “Work a long time in—or on—a small area. Take a limited subject, and spend an unlimited time on it, until it opens up” ([1994] 2005, 59). He frequently talked about one exercise that alternates between two tones a semitone apart. Quoted by Corbett, Lacy played the notes B and C “for maybe an hour.” He explained the change in his perception during that practice:

> Of course it went through the various stages of boredom, frustration, puzzlement, and it started to get interesting because my perceptions started changing. So I stayed on those two notes, that little interval, for a long, long time, I don’t know how many hours, until I started to hallucinate, to the point where that little interval had become enormous. [. . .] And I had become very small—and it was uncanny, extraordinary [. . .] I found that I could hear so many things within that little interval, it had completely changed its aspects. When I came out of that room and went back to the rest of the horn, everything had changed, there was no relationship that was as previous to that experience of having gone into that little interval. [. . .] That’s a very important experience to dig into something to the point where you get beyond. (Corbett [1997] 2006, 191–92)[27]

Applying this perceptual process to performance, he said:

> You get between and inside the individual notes. And then you manipulate them because you can see them. They become enormous, moveable. Otherwise, you’re a giant trying to deal with little tiny things. If you make yourself very small, you then have the ability to put the notes where you want them. You begin to consider yourself in relation to those notes. (Levenson 1990, 80)

Jorrit Dijkstra, one of Lacy’s students, commented on the difficulty of maintaining such high concentration on simple musical parameters: “It’s something that when you hear it,

it seems so easy to do, so easy to imitate, but when you try to do the same thing, you discover that it is really very hard" (Myers 2004, 59).[28]

When listening to Lacy on *Only Monk* (Lacy 1987) and *More Monk* (Lacy 1991), for example, one hears discrete events in time and an extreme concentration on each note as he builds stark phrases amongst the backdrop of silence. This returns to Lacy's performance of the Monkian elements of technical experimentation, and an economy of silence and simplicity. Furthermore, Lacy had full control of what he called the "timeseat"—a forward motion of musical time to successfully perform rhythmic displacements.

The silence on these recordings is not heard as stopping time, but as urging time forward through a yearning for the next musical statement. York University professor David Mott commented on Lacy's solo performances, thinking it was as if Lacy treated the silence like a rhythm section behind him, allowing it to accompany him to move time forward.[29] In these terms, silence is not something Lacy controlled, but used as an integral aspect of performance. That is, silence was not simply "rest" (e.g., eighth- or whole-note rests), but a musical space in Lacy's performances, much like that identified as Monk's economy of means.

Summary of Lacy's Adaptation of the Monkian Aesthetic

Lacy did not identify with bop, and found melodic solutions to play through chord changes rather than relying on the harmonic structure to determine his improvisations. He continually sought out difficult music to perform, and would concentrate on small

sections of repertoire to challenge himself, as evidenced by his transcriptions and close study of compositions by Webern and Monk. Finding Monk's compositions and improvisations to "fit together" in the same musical language, Lacy embarked on a life-long study of the repertoire. He learned lessons from performing with Monk, such as paying attention to the melody while improvising and to "stick to the point" with simple musical ideas, thus allowing them to be musically economic and rhythmically interesting.

When playing with Rudd, Lacy's brought his lessons from Monk into free jazz practices. Rudd's extended techniques, palette of contrasting timbres and sonic effects, attention to musical ideas instead of virtuosity, contrapuntal playing, and liberation from the harmony worked in cooperation with Lacy's interpretations of the music. Searching for musical freedom when improvising with the Monkian aesthetic, the music became malleable within their free jazz style.

Lacy began recording Monk's repertoire as a solo performer in 1979; his musical research—through free improvisation and painstaking practice regimens—appeared in performances of carefully crafted musical statements that express the musical economy of silence and space. With almost fifty years of knowing Monk's music intimately, Lacy's musical development continually embraced Monk's music in different contexts—his work with Monk's quintet and big bands, the trio/quartet performances with Rudd, duo playing with other pianists and saxophonists, and his solo playing made the Monkian aesthetic manifest in diverse performance settings.

Analyzing Lacy

Two recordings of "Evidence" by Lacy are used to demonstrate his insight into the Monkian aesthetic. A performance of Monk's "Pannonica" by Lacy and Rudd from the 1960s is analyzed to illustrate their interaction, a musical conversation using the materials of the composition and the Monkian aesthetic.

Lacy's renditions of the material are consistent with Berliner's writing on jazz arrangements: "Although influenced by the prevailing conventions for instrumentation and other features of arrangements associated with particular style periods, jazz musicians are not bound by them. Many engage in idiosyncratic practices, carrying earlier conventions across idiomatic and generational lines to place them in different group contexts and rework them to their tastes" (1994, 292). Berliner's examples include "extended solo improvisations and solo concerts by free jazz horn players that were to become common in the sixties," as well as recomposed pieces, "unique transformation[s] equivalent to the composition of original works" (ibid.). One will see that Lacy "arranged" the pieces with different instrumentation that, at times, recompose the original.

Lacy on "Evidence" (1961)

"Evidence" was likely one of Lacy's favourite pieces. His album from 1961 took the title of the tune, he performed and recorded it as a solo piece, and it is included in the accompanying compact disc to *Findings* three times (solo, duo and quartet versions), which are transcribed and analyzed in the book (Lacy [1994] 2005, 162–83). It is also the

title track to his documentary *Lift the Bandstand* where a solo version of the head is followed by portions of him playing the piece with Monk in 1960—obviously one of his proudest moments.[30]

The title track of *Evidence* from 1961 exhibits Lacy's early avant-garde work with Monk's compositions (Lacy 1990, see appendix J for the transcription). The musicians on the album demonstrate a convergence of Monk's group with the jazz avant-garde: both Lacy and Billy Higgins (drums) played with Monk during 1960, and Higgins and Don Cherry (trumpet) were members of Ornette Coleman's group in the late 1950s and 1960s. A relatively unknown bass player, Carl Brown, joins the three musicians on the album.[31] Like other recordings by Lacy, this album does not feature a chordal instrument, even though one would expect a piano when playing tunes by Monk. By not including a piano (much like the music of Coleman), the group is freed from specific harmonic constraints (i.e., the same as Monk's infamous strolling). Although there is not a traditional comping instrument, the musicians are still able to comp by playing contrapuntal lines (i.e., one of Monk's comping strategies). In the liner notes to the album, Lacy states, "it's a supreme example of economy in jazz writing. There's an absolute minimum of notes and a maximum of quality in their choice" (Hentoff 1961). It can be inferred that Lacy intended to continue the high quality of note choices in the head, his "comping" during Cherry's solo, and his improvisation.

The recording was also one of Lacy's favourites. Writing Lacy's biography for the introduction to *Findings*, Philippe Carles cites one of his interviews: "[Carles:] Do you like to listen to your own recordings? [Lacy:] No… A few of them, however. The

one with Don Cherry, for example." Carles adds: "A superbly emblematic record with a Monkian title, 'Evidence,' which could well epitomize the saxophonist's whole music" (Lacy [1994] 2005, 8).[32]

Head

The overall form of this recording is as follows: bass/drums intro–head–trumpet solo (3 choruses)–saxophone solo (3 choruses)–head. The A section introduction by the bass and drums defines the metre and implies the chord structure of the tune. With a tempo of ♩=216 b.p.m., the head is akin to Monk's recordings; however, the rhythms are straightened out (see appendix J). While the bass walks through the chord changes and the drums provide a metric pulse, each melody note in the A sections (mm. 1–8, 9–16, 25–32) is played in homorhythmic fashion on top of the beat as opposed to the "ands" of the beats (e.g., compare mm. 2 in appendix J and appendix E).

In the B section, each note begins on beat two, rather than the "and" of beat one (c.f., appendix E). As seen in mm. 21–22, however, Lacy taps into the rhythmic displacement of the melody by playing the note C in m. 21 slightly ahead (indicated by ←), and anticipating the note D♭ in m. 22 by a half-beat. Lacy's playing therefore exhibits an attempt to sway the metre, playing the notes with reference to *time* (as a continuous spectrum) over the established pulse.

The harmony played in the head refers more overtly to Monk's composition. Lacy tells that "Monk would only let Charlie Rouse and me play in unison or octaves; he said that was the most difficult to do well, and that if we could do that, it was easy to add harmony parts, or second voices (which he played at the piano)" (Lacy 1997, 13).

Likewise, Lacy and Cherry play the melody notes in unison with occasional harmonic deviations by Lacy. I refer to the first A section for this analysis. On beat four of m. 2, his B♭ creates a major third interval with the G♭. Over the E in m. 4, the A♭ enharmonically creates another major third—the interval expands to D♭–A in m. 5, where Lacy's note A is a dissonant tritone with the E♭7 chord outlined by the bass. Referring to the tonal centre of the piece in m. 8, he plays an E♭ over the trumpet's melody note B, making the dissonance of this passage more noticeable. Lacy therefore uses the melodic ideas of intervals of a third and dissonant intervals as counterpoint to the melody.

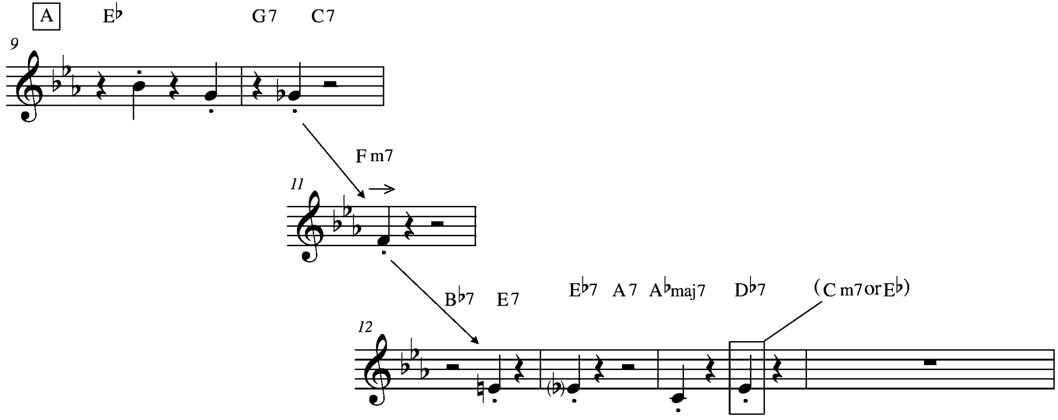
Comping During Cherry's Solo

Taking Monk's role, Lacy "comps" during Cherry's solo by playing a contrapuntal reduction of the melody (see appendix K). Schematically, we can hear that Lacy plays melody notes during the A sections of the second chorus, and does not play in the B section. This is reminiscent of Monk's comping behind Johnny Griffin (tenor saxophone) on a recording of "Evidence" from the album *Misterioso* (Monk 1989): the schematic device of "laying out" during the B section can be heard from 2:14–2:54 on this album. On Lacy's recording, he inverts the structure for the third chorus by strolling in the A sections and playing in the B section.

Lacy rhythmically and melodically varies each A section (see fig. 38 in appendix K). The first A section outlines the melody in half-notes, concentrating on chromatic movements (F–G♭ in m. 2, E♭–E in m. 4, and the C–C♭ in m. 6), and the interval of a minor third or its enharmonic equivalent (D–F in mm. 1–2, E♭–C–E♭ in mm. 3–4, E–D♭ in mm. 4–5, and A–C in mm. 5–6). He also plays intervals of a third and a four-step

descending chromatic line from G–E♭ in the second A section (mm. 9–14), but changes the rhythm from sustained half-notes to staccato notes. Like the head, this section rhythmically varies the theme by beginning on beat two, and rhythmically displaces the beat emphasis from mm. 11–14. Figure 23 is an illustration of how the beat is overturned.

Figure 23: Rhythmic displacement in Lacy's comping, chorus 2 of Cherry's solo on "Evidence," 1961



Shown in figure 23, the backbeat is played in mm. 9–10, and m. 11 is used as a rhythmic pivot. He plays the F slightly behind the downbeat, shifting the beat emphasis away from the expected backbeat. Leaving five beats of rest between notes, the stressed beats (one and three) are then emphasized in mm. 12–13. Furthermore, the resolution to E♭ is not heard as part of the D♭7 harmony, but an anticipation of the chord change on the downbeat of m. 14. This passage exhibits how Lacy treats the metre as a fluid continuum: the rhythms played through time are obscured in m. 11 to create a rhythmic displacement in the next measures. The third A section of this chorus (mm. 25–31) returns to the

original idea presented in the first A section—a reduction of the melody is played, this time with longer held notes.

In the following chorus, Lacy leaves space during the A sections, and recites the melody verbatim in the B section (see fig. 39 in appendix K). These choruses are reminiscent of Monk's comping strategies. By nature of the instrument, the saxophone plays a single line that may be heard as counterpoint against the solo. Using the example of Monk's playing on "Evidence" from *Misterioso* (Monk 1989), a reduction of the melody is heard from 1:34–1:44, characterized by half- and whole-notes (i.e., like the first and last A sections of Lacy's playing). Lacy also ends the A sections two measures early, which is like Monk's comping approach of breaking the eight-measure A sections into two phrases: listen to Monk playing 6 + 2 measure phrases behind Griffin (e.g., 1:34–1:44, 1:44–1:54, 2:04–2:14, 2:45–2:55, 2:55–3:05, and 3:25–3:35). The employment of melodic economy (with long rests), rhythmic displacement, and restatements of the melody demonstrates that Lacy treats "Evidence" as a veritable Monkian composition.

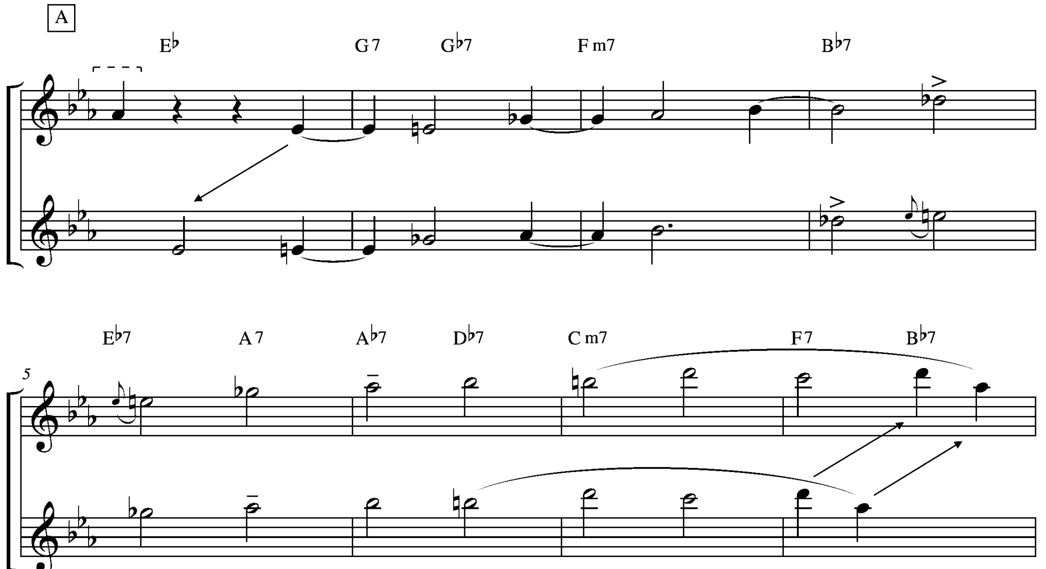
Solo Chorus 1

Lacy continues to play the Monkian aesthetic in his solo (see appendix L for the transcription). He plays three choruses that follow Cherry's solo—the bass outlines the harmony while the drums maintain the pulse. Lacy's musical freedom is heard from the beginning: although the individual notes may be analyzed according to the harmony, the majority of the solo is melodically driven by shifts in and out of the tonality. The first two A sections outline the melodic terrain for the solo: the straightforward ascending and

descending line from mm. 1–16 includes chromatic dissonances and phrases of harmonic ambiguity that resolve to E♭. The following is a melodic and rhythmic analysis of the Monkian aesthetic in these sections, as continued for the remainder of the solo.

In mm. 1–8, Lacy's harmonic ambiguity is made possible by the whole-tone scale (i.e., E–G♭–A♭–B♭ in mm. 2–4 and 5–6), and a delayed resolution to the C in m. 8 (the B–D in m. 7 is heard as a V chord in C minor). Measures 1–8 are also rhythmically ambiguous. Cherry's playing preceding Lacy's solo creates a metric shift by two beats. The A♭ note in m. 1 is heard as an unresolved 7 of B♭7, and therefore part of a V harmony typically heard in the last measure of the form (i.e., the preceding measure). Figure 24 illustrates that Lacy's first note on beat four (written on the top staff) is consequently shifted to beat two (heard as written on the staff below).

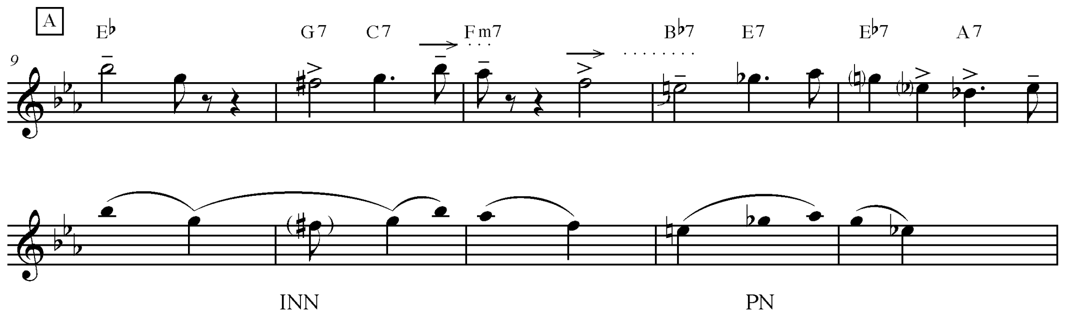
Figure 24: Metric shift heard in mm. 1–8 of Lacy's solo on "Evidence," 1961



The metric shift in this passage is maintained throughout the first eight measures. The rhythm of the melody (i.e., m. 1 of the head) begins on beat two—the metric shift in this passage therefore reflects the rhythm of the melody. The B♭ from mm. 3–4 is suspended over the bar-line (on the top staff), drawing the emphasis away from the downbeat. Consequently, the accented D♭ in m. 4 is heard as a downbeat. The ambiguity between beats one and three continues until the metre is clear in mm. 8, where the tritone D–A♭ is heard over the B♭7 turnaround on beats three and four. The metre is confirmed to the listener in m. 9 (see appendix L) with the resolution to the chord tone B♭ of the E♭ chord on the downbeat. This passage demonstrates harmonic ambiguity, and—whether intended or not—a rhythmic displacement creating a shift of the metre.

The beginning of the next A section (mm. 9–13) demonstrates Lacy's simplicity and temporary beat displacement. The reduction in figure 25 illustrates the principal notes (notated as quarter-notes) that resolve by step from G–F–E–E♭. The accented F# in m. 10 is an incomplete neighbour note (INN) to the note G, a prolonged scale degree 3 in E♭. The note F in m. 11 is the root of the Fm7 and a descent to scale degree 2 in E♭. The note E in m. 12 suggests a tritone substitution of the B♭7 harmony, a ♭2 scale degree in E♭. The tritone substitution is confirmed with the following note G♭ (an enharmonic equivalent of F#) functioning as a passing note (PN) to A♭, the enharmonic equivalent of G# (the 3 of E7). The resolution to E♭ in m. 13 is illustrated by its chord tones G–E♭.

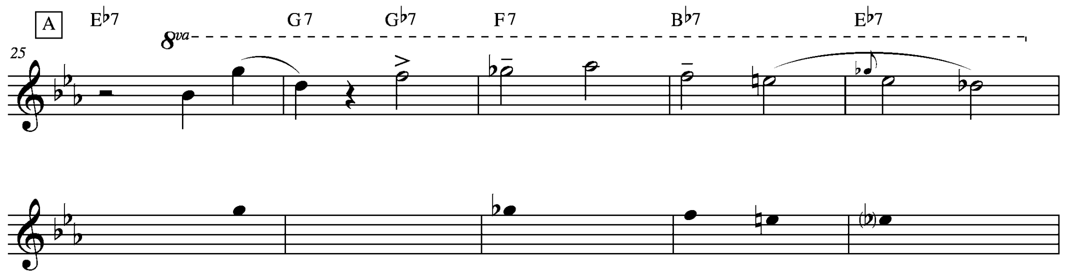
Figure 25: Reduction of mm. 9–13 of Lacy's solo on "Evidence," 1961



Lacy's rhythmic ideas are also apparent in this passage. The notes B♭, F, and E are delayed (indicated by → in mm. 10–12)—the bend into the E in m. 12 also contributes to a delay of the downbeat.

Long rests and whole-notes exhibit Lacy's economy in the following B section (mm. 17–24). Reaching into the high register at the end of this section, the subsequent A section continues with high notes that may be reduced to a descending chromatic movement from G to E♭ (see fig. 26).

Figure 26: Chromatic movement in mm. 25–29 of Lacy's solo on "Evidence," 1961



Figures 23, 25 and 26 suggest that one of Lacy's approaches to the A sections was a basic descending chromatic line beginning on G. Noted earlier, Lacy plays the four-step

chromatic line G–G♭–F–E–E♭ during the first five measures of the second A section during the trumpet solo (see fig. 23). In his solo, the descending chromatic line from G–E in figure 25 is similar, and could also include the final E♭ if one considers the resolution to the note E♭ in m. 16 (see appendix L). The reduction in figure 26 also demonstrates this approach with the descending chromatic line from G–E♭ in the first five measures of the section.

Solo Chorus 2

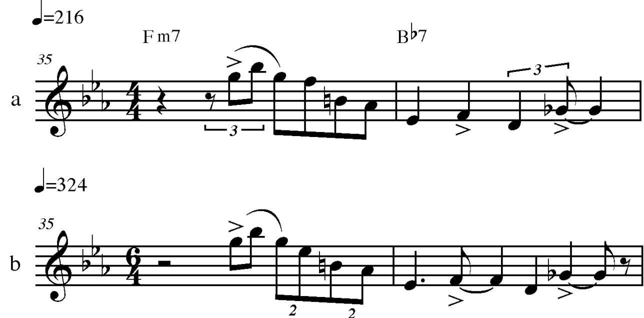
The first two A sections of the second chorus further demonstrate Lacy's economy of means (see appendix L). Two-, three- and four-beat silences can be seen in mm. 34–35, 37, 38–39, 41, and 45. Lacy's simple idea in mm. 36–37 consists of three notes that descend by skip (G–E♭–C). Measures 38–39 contain a simple cadence to the E♭ tonal centre at the end of this A section: the ascending notes B♭–D–E♭ are repeated one register higher in m. 39, which is another instance of Lacy's economy through repetition.

Measures 41–46 exhibit an economic reworking of a descending leap (a perfect fourth from F–C in m. 42, a tritone from E–B♭ in m. 44, and a perfect fifth from E♭–A♭ in m. 46 and B♭–E♭ in m. 47). The iteration of the descending leaps displays a sequential augmentation of the interval (perfect fourth–diminished fifth–perfect fifth). In mm. 41 and 43–44, the interval is preceded by a descent by step (G–F and F–E respectively). Overall, the iteration of the figure descends chromatically—the first notes of each descending leap can simply be seen as a frugal succession of F–E–E♭.

Lacy uses the economy from mm. 33–36 to rhythmically displace his phrases. Measures 33–34 introduce an alternation between two rhythms: 1) beats one to two of m.

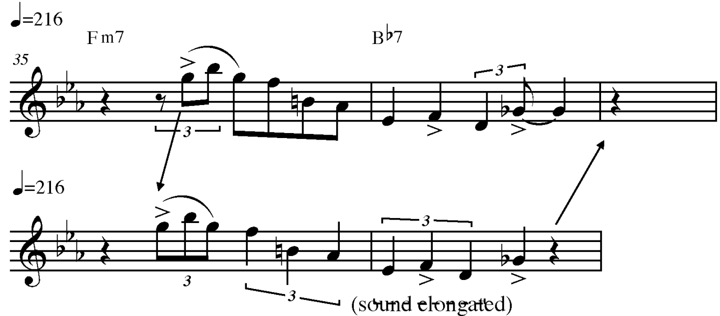
33 imply the pulse with the eighth- and quarter-note rhythm, and 2) beats three to four introduce the triplet rhythm, followed by a delayed downbeat in m. 34. This phrase constructs a polyrhythmic substructure for the rhythmic displacement in mm. 35–36. The line from mm. 33–34 is slightly altered and repeated in mm. 35–36, rhythmically alternating between triplet and duple rhythms. Due to the polyrhythmic substructure, this phrase may be heard in two different metres: one with four beats per measure, and another with six beats per measure. Figure 27 illustrates both of these rhythmic readings.

Figure 27: Two rhythmic readings of mm. 35–36 of Lacy's solo on "Evidence," 1961: a. in $\frac{4}{4}$ metre, and b. in $\frac{6}{4}$ metre



The $\frac{6}{4}$ metre in figure 27b illustrates a beat emphasis that is more akin to what a listener hears: the accented notes of G in m. 35 and G♭ in m. 36 are *on* the beat, with the accented F in m. 36 heard as an offbeat. Using this framework, one may reinterpret the beat as a metric shift in $\frac{4}{4}$ metre (see fig. 28).

Figure 28: Metric shift heard in mm. 35–36 in Lacy's solo on "Evidence," 1961



In figure 28, the metre is anticipated by a triplet eighth-rest: beat two of m. 35 sounds delayed and is re-evaluated to fit within the 4/4 metre. Furthermore, the opening slur from G–B♭–G reinforces this shift because the notes are heard collectively as one beat. The remaining notes in m. 35 maintain their *consistency* (i.e., perceived equal duration). In m. 36, the beginning notes are heard as an elongated triplet rhythm since the G♭ is heard on beat three. The phrase demonstrates a single example of how Lacy shifts the metre by moving the notes in and out of phase with the pulse. An elasticity of time results, temporarily obscuring the metre for the listener.

The B section (mm. 49–56) is an example of rhythmic displacement and an economy of means through repetition (see fig. 29 for mm. 49–54).

Figure 29: Measures 49–54 of Lacy's solo on "Evidence," 1961

The riff stated in m. 49 is repeated three times and resolves in m. 51 on the A♭. An embellishment of the riff with its resolution is repeated again in m. 52–53. The emphasis of beats one and three in m. 49 is rhythmically displaced in mm. 50–54. Beat one is delayed in m. 50, followed by an anticipation of beat three; beat one is accented with an anticipation of beat three in m. 51. The riff from mm. 52–54 is anticipated as it begins on a weak beat (beat two); however, the entry of the phrase is delayed further by a triplet eighth-rest. The repetition and rhythmic displacement, which are both trademarks of Monk's musical conception, are indicative of Lacy's Monkian approach to this section.

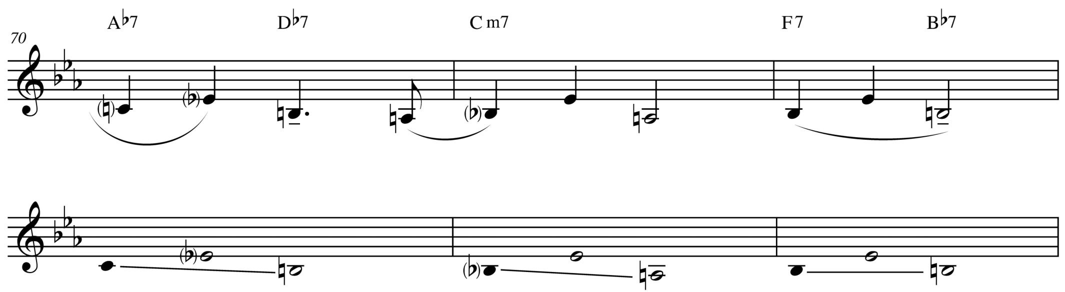
Lacy's melodic economy and rhythmic displacement is demonstrated in the following A section (mm. 57–64) with the repeated thematic interval of a third (see appendix L). The notes G♭–B♭–D♭–F outline a progression thirds in mm. 58–59, and are heard as a G♭maj7 triad that is separate from the chord changes. Using the triadic idea, mm. 60–61 are heard as an A major triad of A–C#–E. The A–C# is then shifted in mm. 62 and 63 to C–A♭ and B–G respectively. The passage is resolved on the B♭ on the "and" of beat one in m. 64, which is rhythmically displaced from the downbeat emphasis in the previous measures (i.e., the downbeats of mm. 62–63 are notated with the articulation marking >). The thematic third is therefore a source for Lacy's melodic economy and rhythmic displacement in this section.

Solo Chorus 3

The first A section of the last chorus demonstrates Lacy's harmonic ambiguity. The B♭ augmented triad played over the B♭7 harmony in m. 68 may be understood as a whole-tone idea in B♭. Figure 30 illustrates how mm. 70–72 may be reduced to a

collection of notes from the E♭ whole-tone scale. The repeated E♭ note refers to the tonal centre of the piece; the principle notes of E♭, B, and A in this passage (written as 𝅗𝅥) belong to the whole-tone scale. The notes B and A are chromatically inflected (written as ♩).

Figure 30: Parts of the whole-tone scale with chromatic inflections in mm. 70–72 of Lacy's solo on "Evidence," 1961



The A section from mm. 73–80 demonstrates Lacy's harmonic economy with a sparse chord progression. One may infer a chord progression based on his note choices: rather than playing the chord changes heard in the bass (fig. 31a),[33] he plays through the chord progression illustrated in figure 31b.

Figure 31: Chord progression in a. the bass and b. the saxophone, mm. 73–80 of Lacy's solo on "Evidence," 1961

m. 73 74 75 76 77 78 79 80

a. Bass ǁ E♭ | G7 G♭7 | Fm7 | B♭7 | E♭7/B A7 | A♭7 D♭7 | Cm7 | F7 ǁ

b. Saxophone ǁ B♭7| (B♭aug) | Fm7 | E7 | A7 | A♭7 E♭ | (B♭7) | E♭ ǁ

In this example, the G♭ note in m. 74, heard against the B♭7 chord in m. 73, superimposes an augmented sonority. The E7 in m. 76 is a resolution from the preceding Fm7, a tritone substitution of the B♭7 played by the bass, and serves as the V of A7—also a tritone substitution of the E♭7/B in the bass. Lacy ends the section by resolving on the tonic: the cadential figure implies B♭7–E♭, a V–I in mm. 79–80. The important aspect of this passage is that among the array of chord choices—as shown by the dense chord movement in the bass—Lacy avoids the harmonic density by economically articulating the E♭ tonal centre and intermittent tritone substitutions: his B♭ sonority against the E♭ in the bass is m. 73 is continued into m. 74, his two tritone substitutions in mm. 76 and 77 are a reduction of the three chords played by the bass, and his ending of the passage resides in E♭ rather than the three-chord turnaround played by the bass (D♭–Cm7–F7 in mm. 78–80).

Lacy also demonstrates a rhythmic economy in this chorus. The repeated triplet rhythm arpeggiating the chords is repeated three times, and is then altered in m. 79. To end the section (m. 80), Lacy refers to the melodic fragment (i.e., ascending E♭–B♭–E♭) seen in mm. 8, 16, and 32 of the head (see appendix J).

Lacy changes his solo approach in the last two sections (mm. 81–96). Using the rhythms of the head, his notes consistently undergo rhythmic displacement. In m. 81, the first note is displaced from beat two (→); beat two is then articulated in mm. 82 and 83. This elasticity of time occurs again with the delayed note B in m. 84, and the articulated beat two in m. 85. Measures 81–85, however, establish an expected rhythm: a single note played around beat two. This expectation is defied in mm. 86–88 with anticipations of the

rhythm. The notes C–D♭–D are heard three and four beats apart respectively: the E in m. 88 consequently sounds anticipated since it is only two beats from the D preceding it. The improvisation here draws from the thematic material by displacing long tones with respect to the metric grid.

Continuing with the displaced rhythms of the B section, delays can be seen throughout the last A section in mm. 89, 90 and 94. The rhythmic displacement occurs in the changing beat emphasis in this passage. Beat two is articulated in mm. 89 and 90, beat three is played in m. 91, m. 92 returns to beat two, followed by articulations on beats one and three from mm. 93–95. Referring to the melody (mm. 8, 16, and 32 of appendix J), Lacy unites the solo to the head with the ascending E♭–B♭–E♭ motive in mm. 95–96. These sections demonstrate that Lacy creates a Monkian composition by uniting the solo with the head both rhythmically and melodically.

"Pannonica"

Named after his patron, Monk's "Pannonica" was first recorded as a solo piece in September 1956. Its first small combo performance was played by Monk's quintet in October 1956, and released on *Brilliant Corners*[34]—figure 40 from appendix M is a transcription of the head from this recording. As a ballad (♩=62 b.p.m.) in $\frac{4}{4}$ metre, the form of this transcription is A1–A2–B–A2^1 where the first three measures of A1 are a transposition of A2 down by a minor second.[35] In the solo sections, however, the harmony reflects a form of A2–A2–B–A2^1. I have therefore provided the head in figure

41 (in appendix M) as a simplified form of AABA[1]. (I refer to the figure 41 for the remainder of the analysis in this section.)

For the most part, this tune is comprised of simple rhythms and chord tones. The distinct Monkish attributes of the tune are heard in the cadences of the A and B sections. The dissonance of the note C over the D♭ chord at the end of the A sections is set up in the preceding measures: in mm. 6, 13 and 30 (analogous times within the A section chord progression), the D♭ played over the F7 chord results in a harmonic clash of a minor sixth—not written in the transcription, due to its homophonic rendition, is the note C♭ occurring simultaneously a major second below the D♭, which compounds the dissonance with a diminished fifth (F–C♭).

The E over the A♭7 chord in mm. 7, 15, and 31 is a dissonant augmented fifth. A similar melodic shape as in these measures is used in m. 32, creating a dissonant minor second between the A♭ and the G7♭5 harmony. Likewise, dissonance is heard at the end of the B section with the A♭ over the G7 harmony. Figure 32 provides an example of the above analysis using mm. 30–33.

Figure 32: Measures 30–33 of "Pannonica," 1956 from Monk's *Brilliant Corners*

Rhythmic displacement occurs in mm. 7–8 and 15–16. The rhythm from mm. 3–4 and 13–14 sets up an expected rhythmic approach to the chord changes (i.e., ♫ ♫ ♪♩ ♪ | 𝅗𝅥 ▬ |). This expectation is anticipated with the A♭7–D♭ chord change in mm. 7–8 and 15–

16 when the note C becomes the major seventh of D♭. An abrupt harmonic stasis is created with the tie over the bar-line (i.e., ♫ ♫ ♪♩ ♪‿𝅝 |). The cadence in the last A section also denies an expected resolution in m. 32. An extra measure is added, and the resolution appears in m. 33. "Pannonica" exhibits how Monk defies expectation: the consonance and rhythmic patterns presented throughout the tune are breached in its cadences. Furthermore, since cadences are usually composed with consonant resolution and rhythmic motion from weak–strong beats, the dissonance and rhythmic displacement challenge traditional norms of composition.

Lacy on "Pannonica"

Lacy and Rudd reduce "Pannonica" on *School Days* to its skeletal frame and reconstruct the piece in a free jazz style (Lacy 1994, see appendix N for the transcription). Robin Kelley equates Lacy and Rudd's recording to Monk's method of recomposition:

> They continued in the Monkish tradition of using elements of the theme as the essential building blocks but found new ways to tear apart the melody and rebuild it—exemplified in their interpretation of Monk's ballad "Pannonica." [. . . T]hey strip it to its bare essence just has Monk had distilled "Just You, Just Me" to create "Evidence." (1999, 158)

Lacy described his process of recomposition using Monk's method as an example. Lacy was asked, "[c]ould one say that part of your music is articulated between construction and deconstruction?" His answer:

> Of course. I work on a piece by constructing it and deconstructing it. Of the initial phase,[36] there's nothing left at the end. But there's always the construction of the structure. Monk used to say, "Dig it." You have to excavate, evaluate, go all the way in order to understand a musical idea. (Médioni [1995] 2006, 163–64)

The recording of this piece is significant for the following reasons: 1) it captures Lacy and Rudd's music of 1963 in a trio setting (saxophone, trombone, and drums)—the interaction between Lacy and Rudd is clearly apparent; 2) because the instrumentation lacks a chordal instrument and a bass, Lacy and Rudd demonstrate a strategy of mixing the melody with complementary parts (i.e., bass lines or counterpoint) to create a sound space that does not sound empty; and, 3) it uses the Monkian technique of recomposition to reconstruct the tune in a free jazz style.

This piece is three choruses long and played at a tempo of ♩=132 b.p.m. (i.e., double the original tempo). This analysis focuses on Lacy's playing; Rudd's work is not analyzed in depth. However, it is important to note that Rudd makes reference to the thematic material of the piece—many of his contrapuntal ideas can be heard on Monk's recording *Brilliant Corners* (Monk 1987a). An interview with Lacy indicates that playing the music with this instrumentation is a difficult task because "all the tunes have not only a melody and a bass line, but two or three inner voices as well" (Lacy in "The Land of Monk" [1963] 2006, 21). As will be shown, Lacy and Rudd fill out these voices in their interactive improvisation. And, as Lacy says: "If you're going to reduce something [. . .] you'd better get the essence of it or not bother" ("The Land of Monk" [1963] 2006, 21). This analysis aims to demonstrate that this "essence" (i.e., the Monkian aesthetic) may be seen and heard in "Pannonica."

A look at the dominant stylistic attributes that make this performance an avant-garde piece begins the analysis. I then attend to the Monkian aesthetic buried within the piece. Of the main Monkian characteristics that are heard in the recording, the use of

melody, an economy of means, rhythmic displacement, and reference to Monk's signature devices are demonstrated.

The Free Jazz Style in "Pannonica"

The avant-garde stylistic devices in this recording include harmolodics, expressive devices such as dynamic variation, extended instrumental techniques, a focus on group interaction, and a break from traditional jazz rhythm. Harmolodics refers to Ornette Coleman's musical concept, "that harmony, melody, and rhythm should be given equal weight in order to break out of the constrictions created by improvising on chord changes" (Kelley 1999, 157).[37] Generally, the transcription reveals consistent changes in rhythm and ideas that contain chord tones. The chord changes are not the only dominating structural device—although the notes on the page may reflect a harmonic movement, other musical features (i.e., rhythm and melody) serve as important resources for Lacy and Rudd's improvisatory ideas.

The transcription (appendix N) illustrates expressive devices. As a generalization, jazz pieces prior to 1959 maintain a consistent dynamic range of either soft or loud.[38] The use of dynamics is therefore akin to free jazz, rather than mainstream jazz. Frequent changes of dynamics dominate this recording—especially in Rudd's playing. Extended instrumental techniques are also shown on the transcription: indeterminate pitches, rough timbres, harmonics, squeaks, tremolos, trills, and glissandos are used throughout the performance as expressive devices, sometimes making the pitch of the device irrelevant.

A focus on group interaction is a free jazz concept that dominates this recording.[39] Given that Lacy's melodic playing is in the foreground of the first A section (mm. 1–8),

Rudd plays accompanying, short chromatic figures during Lacy's rests and held notes. When Rudd's playing becomes more active in mm. 16–20, Lacy lays back, playing less melodically to allow Rudd emerge in the foreground. In some passages (e.g., mm. 25–36), Rudd takes on a supporting role, playing held notes or quarter-notes that outline the chord changes. Both musicians converse rhythmically as well. This is exemplified in mm. 49–52 when Lacy begins an eighth-note triplet figure; Rudd follows by playing quarter-note triplets in mm. 50–52, which is in turn followed by Lacy in m. 52. A similar exchange of triplet rhythms can be seen in mm. 41–43, 75–76, 91–92, and 96. These passages serve as examples of melodic, harmonic, and rhythmic interaction.

The most apparent avant-garde sonic attribute is a break from traditional jazz rhythm. "Swing," originally thought to be a necessary constant throughout a jazz recording,[40] does not have an exact rhythmic notation. Consecutive swing eighth-notes, for example, are performed as *notes inégales* with long–short rhythmic values, where "the degree of inequality is freely variable from extremely subtle to pronounced" (Fuller 2013). This transcription designates swung notes at various times (i.e., mm. 27–28, 77), and a triplet rhythm (i.e., ♩3♪) is notated in mm. 22–23, 81, 83–84, 88–89, 91 and 96–98;[41] however, the performance eliminates a consistent swing rhythm. Except for the previous examples, eighth- and sixteenth-notes are straight, and the long-short swing rhythm is often inverted (e.g., ♪3♩, see mm. 17, 18, 21, 48, 62–63, 66, 76 and 92).[42] The rarity of swung notes is therefore a sonic marker of the free jazz style in this piece.[43]

The Monkian Aesthetic in "Pannonica"

As stated earlier, this rendition of "Pannonica" is a reduction of the original. In a

Monkian fashion, the melody of the tune is preserved, functioning as a signpost at various times through the performance. Figure 41 from appendix M (the simplified version of Monk's "Pannonica") is provided in appendix N on the "m" staff below the saxophone and trombone parts to demonstrate that Lacy and Rudd play according to the chord changes and melody at various times of the performance. Furthermore, by comparing the melody and harmony with the transcribed parts, it is apparent that the form is often articulated.

Chorus 1

In mm. 1–3, the melodic shape is referenced with a transposition of a fourth. As each phrase on the "m" staff moves from chord tones 7 to 3 with passing tones in between (e.g., beats one and two of m. 1), Lacy plays an inversion of the melody moving from chord tones 3 to 7 with passing tones in between. Leaving the melody to follow Rudd's sixteenth-note lines, Lacy plays short sixteenth-note ideas in mm. 4–5. His economy of means is demonstrated in mm. 6–7 where the quarter-note and triplet rhythm is repeated over different harmonies. The whole-tone scale also makes an appearance in m. 6, where the A♭ and G♭ are raised chromatically, creating a phrase with the notes D♭–A–G–F. The triplet rhythm is extended into the next A section (mm. 9–10)—the three-note figures are used to rhythmically displace the beat, as shown on beats two and four of m. 9. The resolution on the note B, heard as an anticipation of beat three in m. 9, is rhythmically displaced in m. 10 with the resolution on the "and" of beat three.

In m. 11, the melody is apparent with a descent from A to D, and a resolution from F to G, akin to the resolution on the "m" staff from mm. 11–12. Lacy plays with the

melody again in m. 13 with the descending line from G♭–D♭, which is extended into m. 14. It can be seen in m. 14 that at analogous moments in the time cycle (i.e., mm. 6 and 14), Lacy has the whole-tone scale in mind (i.e., E♭–D♭–C♭–A in m. 14). Lacy and Rudd leave space in m. 15, which begins the role reversal of solo/accompaniment for the next B section.

Allowing Rudd's high-register ideas to emerge in mm. 17–20, Lacy changes gears to play a supportive role (see Lacy's playing thereafter in mm. 19–27). The form is articulated when the A section is marked by Lacy's whole-rest and Rudd's walking bass line in m. 24, followed by a diatonic harmonic movement of C–E♭m7 in m. 25–26 (the G♭ in m. 26 indicates the minor 7 harmony, as opposed to the 7 harmony on the "m" staff). The melodic fragment characterized by a descent from A–D by step is double-timed in m. 27. Rudd provides contrapuntal support to Lacy's rhythmically dense passage that floats over the beat in mm. 27–30—the rhythmic values in mm. 29–30 demonstrate a displacement of the preceding sixteenth-notes with a resolution on the "and" of beat four in m. 29, and the syncopated rhythm on beat two of m. 30. Also, at analogous positions to mm. 6 and 14, the descending run from beats two to four of m. 30 is the whole-tone scale.

Measure 31 is the first example of metric shift heard in this recording. By accenting the first three notes that follow an eighth-rest in m. 31, the metre is delayed by a half-beat. The metre is obscured to the listener when the first note played on the beat (beat four) sounds like a downbeat. Figure 33 illustrates this process: Rudd's long rests leave the metric reading open for interpretation; the metre is only established on the downbeat of m. 34 after it seems like an extra beat has been added to the passage.

Additionally, the A♭–C–E in mm. 31–32 illustrates Lacy's use of the augmented triad.

Figure 33: Metric shift heard in mm. 31–33 of "Pannonica," 1963

Chorus 2

The first A section of the second chorus is marked with the melody. A rhythmic variant of the melody is heard in m. 34; the descending arpeggio of E♭m7 in m. 35 also outlines the concomitant chord seen on the "m" staff. The following measures display a change in roles between Lacy and Rudd. Lacy's held notes obscure the metre in mm. 36–37, while Rudd brings the beat back with a reference to the melody in m. 38. As he repeats the melodic fragment, Lacy complements the idea with a whole-tone passage of notes F–E♭–D♭–B–A in m. 39 (at analogous times to the previously mentioned mm. 6, 14, and 30). After this idea dissipates in the subsequent measures, the following A section is marked by a new passage that begins on the downbeat of m. 42.

Rhythmic displacement becomes the focus when crossing to the B section in mm. 49–51. An emphasis of the first sounding eighth-note in the triplet eighth-note pair (with articulation markings >) begins in m. 48. The initial eighth-rest of each repeated triplet aurally displaces the rhythm by its temporal value; Rudd's held-note C allows the process to transpire. Displacing the triplet figure obscures the metre into m. 49, which is compounded by Rudd's delayed quarter-note triplet figures (indicated by → ...).

Lacy bases his playing in the following A^1 section on melodic economy. Measures 58–63 contain repeated intervals of a third, which are varied rhythmically (i.e., changing articulation), and texturally with a tremolo. His playing complements Rudd's melodic figure of descending and ascending lines by step that imitate the melody more than the harmony (i.e., the notes in m. 61 refer to m. 60 rather than the E♭ harmony of the tune seen on the "m" staff). The chorus ends in m. 66 with held notes of C and F (like the melody's sustained whole-note rhythm), leaving the harmony ambiguous (the D♭ chord is indeterminate).

Chorus 3

Nearly half of the last chorus is based on rhythmic and melodic economy. Lacy's rhythm played from beats one to two in m. 68 is continued until m. 73. Rudd's supportive playing adds variety to Lacy's lines, outlining the harmonic movement and the melodic contour in mm. 71–72. Measures 75–76 also exhibit Lacy's rhythmic economy with repeated triplet ideas. The melody is seen briefly in m. 77, only to return in full in mm. 79–82. Ending the strictly improvisatory section of the piece, the melody is mainly played by Lacy in the last B and A^1 sections (mm. 83–99). Moving the piece closer to

composition than improvisation, some of these phrases were worked out ahead of time, apparent from the unison line in m. 86, and the anticipation of the downbeat in m. 98.

Monk's signature of rhythmically dense descending lines is apparent at the end of the piece. Buried within the melody, Lacy's descending whole-tone run in m. 94 is a definite reference to Monk. Furthermore, the descending lines by Lacy, and *glissandi* by Rudd from m. 100 to the end help close the performance in a truly Monkian fashion.

Summary: Lacy in the 1960s

The above two analyses have demonstrated that Lacy uses Monk's aesthetic to perform in a free jazz style. Lacy's freedom may have been due to a small-combo instrumentation: both recordings do not have a chordal instrument, therefore liberating him from an overtly prescribed harmony. The freedom from chordal constraints allows for a larger spectrum of musical choices during the pieces. Just as many improvisers would be tempted to investigate other musical parameters with this freedom, Lacy developed his own voice by extending upon Monk's basic principles: repeated thematic material, an economy of means, rhythmic displacement, and compositional strategies yielding a unified whole within its process, are all demonstrated in the analyses. When the notions of "avant-gardism" changed during the 1960s, the Monkian aesthetic was preserved in this changing of the "garde."

Lacy on "Evidence" (1985)

Many of Lacy's later recordings exemplify his avant-garde playing of Monk's music. His work from the *Interpretations of Monk* concert in 1981 (Abrams 1994),

Regeneration (Rudd 1983), and *Wee See* (Lacy 1993) all place the music in a combo setting.[44] With a new perspective, Lacy began recording Monk's music as solo performances in 1979. From discographical information until 2001 it is apparent that he continued solo performances of Monk's tunes (T. Lord 2003; Lacy [1994] 2005, 214–18).

Recording the pieces in a solo setting places different demands on the musician. Lacy comments that, "time is the first problem, [. . .] how to play with the time when these tunes were written to be played with a steady rhythm—a bebop rhythm played by bass and drums. When you're playing alone, you don't get that. On the other hand, you can stretch the time out and play more freely" (Sheridan 1991). In one interview, he said that rhythm and silence were among his most important concerns during performance:

> I try to concentrate on the rhythm, which is the most important element in a solo concert. In other words, rhythm for me is when you do something and what you do afterwards and the distance between and the proportions. Rhythm is the most difficult thing in solo concerts and also the sound because it's based on sound and no sound; that's all you have in solo performances. (Terlizzi 1977, 8)[45]

As a solo piece, "Evidence" complicates the rhythmic demands: the metre of the composition is obscured, leaving little trace of the basic pulse. On the album *Only Monk* recorded in 1985 (Lacy 1987), "Evidence" captures the dynamics of time, creating a Monkian composition based on the theme, an economy of means, and rhythmic displacement.

This recording is similar to another solo recording, and its transcription in *Findings*. Lacy quipped about the recording for *Findings*:

> Evidently, an excellent piece for study, as I have been studying it for 40 years, now; it is still interesting, and a stimulating challenge to play well, to play on it,

> off of it, after it, out of it, before it comes back. A piece like this yields much information, but as Thelonious Monk told me: *You've got to dig, to dig it. You dig it?*" (Lacy [1994] 2005, 223, emphasis in original)

The piece was Lacy's *tour de force*. Writing about the duo performance in *Findings*, Lacy recalls Monk's words: "Every musical situation reveals fresh '*evidence*,' throwing new light on a challenging old subject. Research is endless. Practice pays off. Study is rewarding. Dig it!" (ibid., emphasis in original).

The solo recording on *Only Monk* is similar to the solo version of "Evidence" in *Findings* (ibid., 163–67). The published transcription of the latter does not include an accompanying analysis, and (as discussed in chapter 2) the transcription includes some different solutions to notating time; however, Lacy's general scheme seems to be worked out (cf., appendix O). In *Findings*, his solo begins with a long silence of two whole- and one half-rest. Short statements separated by rests (up to eight beats) are followed by dotted quarter rhythms (seemingly rhythmically displaced) that move into the altissimo register and back down to the bottom of the instrument. He then plays slow melodic lines in the altissimo register, followed by more rhythmically dense ideas. Soon after, there is definitive rhythmic play on a single note, once again followed by large intervals into the altissimo register.

One of his ideas displays his economy: he focuses on intervals with one common note, where the other note is systematically changed by a semitone with each iteration. The melody is apparent in the middle of the improvisation with intervallic movement that is similar to the last two measures of the A section. The final melody note of the head, preceding a descending glissando to the bottom notes of saxophone (B♭ and B), is a high

E♭ in the altissimo register (ibid., 164–67). The important aspects I draw from this rendition are Lacy's range, economic silence, attention to intervals, rhythmic play, attempts to "stretch" time indicated by different tempos in the transcription, and his reference to the melody—in combination, these aspects proffer the Monkian aesthetic. One may keep these musical processes in mind when listening to the recording on *Only Monk*.

As Lacy converses with time in the recording on *Only Monk*, the term "rhythmic displacement" takes a broader definition. "Rhythm" in this context may be redefined from the placement of notes along an idealized static metric grid (e.g., beats grouped into twos, threes, or groups thereof) to the elapsed time between sonic events or phrases separated by silence. Thus, one must account for some rhythms appearing as waveforms on the rhythm staff ("r"), as well as the duration of silence as the lateral length of missing waveforms (see appendix O).

Figure 34 is an example of rhythmic displacement in the first eight measures of the head. Each staff system represents 6.4 seconds of elapsed time. The waveforms on the "r" staff indicate the duration of sound for each note on the "s" staff above. The straight lines on the "r" staff indicate the duration of silence for the rests on the "s" staff above. The rhythmic displacement is illustrated when comparing the elapsed time to the bar-lines. For example, the top staff system (of 6.4 seconds) contains three full measures (mm. 1–3) plus one beat of m. 4. The second staff system—also 6.4 seconds—is comparatively compressed with beats two to four of m. 4, three full measures (mm. 5–7),

and the first beat of m. 8. (For further clarification, compare these measures to mm. 16–27 in appendix O, where each staff system contains exactly four measures.)

Figure 34: Rhythmic placement of notes in mm. 1–8 of "Evidence," 1985

The tempo of the piece, played at approximately ♩=140 b.p.m., is slightly slower than Monk's preferred tempo (i.e., ♩=190 b.p.m. in the analysis of chapter 3). The duration between notes of this recording compounds the slow tempo because a conventional time-keeping instrument or cohort of instruments (e.g., a rhythm section) is not heard during the silences. The tempo is indicative of Lacy's approach to Monk's compositions: the head and beginning of the solo, reminiscent of a ballad, conveys Lacy's methodologically placed notes within the continuum of his accompanying silence.

The head is played from mm. 1–32 (see appendix O). The metre is stretched and compressed, demonstrated by the different distances between bar-lines on the page (dictated in part by the 6.4 second timeline on the "r" staff). The pulse is heard in the last two measures of the A sections (e.g., mm. 6–8), while made obscure in the previous

measures (e.g., mm. 1–5). This movement in and out of the pulse results in a perceivable elasticity of time. The rhythms in the B section also sound displaced: the notes in mm. 17–20 are equidistant, which is delayed in mm. 21 and 23, creating a perceivable anticipation of the notes in mm. 22 and 24. The melody of the piece may therefore be seen to demonstrate a steady pulse at certain times, which is manipulated by anticipations and delays in the passages in between. That is, Lacy has found a solution to expose the rhythmic displacement essential to "Evidence" on his homophonic solo instrument while maintaining a sense of the composition's rhythmic form.

As a steady pulse is heard in mm. 30–32, Lacy breaks from the metre by leaving a measure of silence (also inserting the measure into the form). During my first listen, the passage in m. 34 was metrically ambiguous—the silence preceding the passage rid the performance of a stable pulse. However, listening closely (by counting the beats from mm. 30–32), it is apparent that the passage begins on the downbeat of m. 34. Measures 36–37 are similar, where the silence in m. 36 is followed by a passage in mm. 37–38, akin to the motive from mm. 34–35.

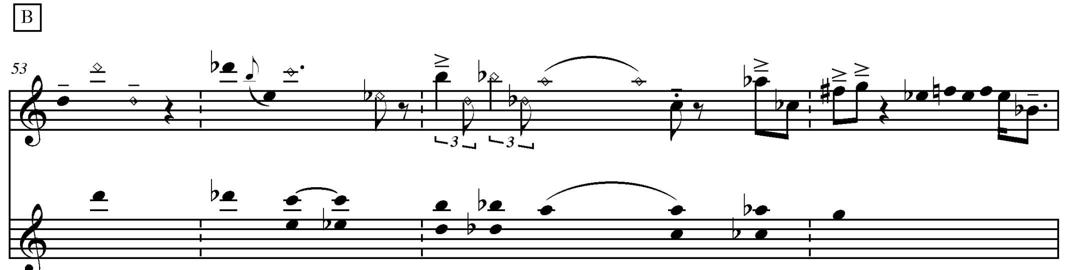
The motive in mm. 34–35 also demonstrates Lacy's harmonic ambiguity. By the third note (E♭), a listener may understand the passage as an arpeggio in C minor (C–G–E♭). This establishes an expected note C on beat three of m. 35 to complete the triad. The note B, however, takes the place of the expected C, creating a readjustment of the harmony as an augmented triad (G–E♭–B)—a far harmonic distance from the expected C minor.

The long silences with indeterminate rhythms obscure the metre in mm. 39–42. The E♭ tonal centre is heard in m. 39 with the notes A–B♭–E♭. The tonality is emphasized in m. 42 with an apparent pulse, followed by the note A in m. 43; its melodic leap, dissonance (tritone with E♭), and rhythmic placement refers to the melody (e.g., mm. 7–8), which signals the end of the first A section.

The next A section (mm. 44–52) contains indeterminate rhythms. The tonality becomes more apparent with the pentatonic scales outlined in mm. 48–50. Setting up the melodic leaps of E♭–A♭ in m. 50 and E♭–A in m. 50–51, a signpost of the form is provided in mm. 51–52 where the melody from mm. 7–8 is played verbatim.[46]

The B section exhibits an inversion of the chromatic scale from the melody. Measures 53–56 may be reduced to a descending chromatic scale in the upper register, inflected by a sixth below each note (see fig. 35).

Figure 35: Descending chromatic sixths in mm. 53–56 of Lacy's solo on "Evidence," 1985



The downbeat of m. 58 signals the beginning of the following A section, followed by an indication of the pulse with the B♭ arpeggio from beats two to three. If a listener begins counting from this pulse, the rhythm in m. 59 is apparent with the B♭ on the

downbeat. The long silences and inflections of the single B♭ note in m. 59–60 are indicative of Lacy's economy of means.

This economy is also apparent in the A section from mm. 64–67. Alternating notes at an interval of a third articulate a new chord structure, with augmented triads in m. 65. The interval is restated in m. 66. Again, Lacy chromatically expands each interval, keeping the A♭ note above as a melodic anchor. The bottom notes create a linear chromatic line of F–E–E♭–D; the extension to D♭ in m. 67 initiates a compound melody with chromatic movement from the A♭ anchor note to G–G♭–F (m. 67). Using a cliché turnaround figure from mm. 68–71, Lacy demonstrates his liberty with the form by drastically changing the following A section (mm. 71–73). I have identified only three measures for this section, and labeled it as A^1 because it articulates the E♭ tonality of the piece at the beginning, and ends with notes A, B and E♭—a direct link to the augmented sonority of the head.

The B section begins in m. 74: the melodic leaps have bottom notes that descend chromatically, similar to the B section from mm. 53–57. The pulse is not apparent in most of the section (mm. 74–79), and the ideas from mm. 77–78 may be derived from the A section of the head: an interpretation of the melody is demonstrated by chromatic alterations of an interval of a third. Lacy's freedom is illustrated by a departure from the pulse and the form; however, the thematic material of the piece unites this freedom with the original composition.

Measures 80–86 are explicitly Monkian.[47] The E♭ tonality is obscured with the notes B and A in m. 81. In m. 82, the final note of G♭ sounds as a chromatic alteration to

the F of the preceding B♭ major triad (forming a B♭-D-G♭ augmented chord). The same scheme is followed in m. 83 where the final note E sounds as an augmentation of the preceding A♭ major triad. The increasing size of leaps from mm. 85–86 expands the melodic space and resolves in the descent of a minor sixth from B♭–D: the entire phrase harkens back to analogous times of Monk's composition (mm. 8, 16 and 24) where the melodic space is increased by ascent in the upper voice, followed by descending leaps in the bass (see chapter 3). Lacy's silence that follows (notated as three-and-a-half beats in mm. 86–87) reminds the listener of the beginning of Lacy's solo: the Monkian element of space bookends the solo for his return to the head.

Lacy ends the piece by omitting the first two A sections, and beginning with the B section of the head. The melody of the consecutive B and A sections is "double-timed." For example, the melody notes in the B section (mm. 88–91) are only two beats apart, as compared to the notes that are four beats apart in mm. 17–24.

The last note of the piece, the B in m. 96, fuses Lacy's voice with the Monkian aesthetic: using probably the most Monkish melodic fragment of the composition, the extreme control of the high register is *definitively* the sound of Steve Lacy. The ending was typical of his performance of "Evidence": in one concert review, Bob Blumenthal poetically writes that the theme "settled to earth as Lacy spread the final note on the stage floor like a picnic blanket" (1986, 11).

This analysis demonstrates that the melody and thematic material of the composition provided the groundwork for the solo interpretation by Lacy; his rhythmic ambiguity, chromaticism, intervallic angularity, augmented chords, and an economy of

means through repeated ideas and the use of silence, demonstrates the Monkian aesthetic in this recording. Lacy's intimate knowledge of the aesthetic is therefore conveyed in the intimate texture of his solo performances.

Notes

[1] The pieces were released on on a rare album titled *Hocus Pocus* (Lacy 1986) a few years later.
[2] Lacy reprints this quote among Monk's "bits of wisdom" in the forward to Thomas Fitterling's biography of Monk (Lacy 1997, 14).
[3] One will notice this chapter is organized differently than chapter 3. To avoid repetition, I present the writings on Lacy's music to conclude with a summary of his interpretation of the Monkian aesthetic. This format allows one to conceive of Lacy's progression through different renderings of Monk's music as a preparation for the subsequent analyses.
[4] This list of some of Lacy's favourite composers was written in Hentoff and Williams ([1959] 2006, 16). Lacy later commented on the many aspects he admired in Webern's works: "The beauty, the specificity of it all, and the sound, and the density, and the brevity, and the brilliance of the form and the use of space and … there are just too many great characteristics" (Cox [2002] 2006, 220). For more on Lacy and Taylor, see appendix C.
[5] A similar account is provided by Michael Ullman (2007, 338).
[6] My writing indicates that Lacy transposed and/or transcribed Webern's music. These remarks reference his statements in their respective publications. In *Findings*, Lacy specifically writes that he transcribed the pieces ([1994] 2005, 223); it is likely that he also transposed them for soprano saxophone (pitched in B♭).
[7] "Donna Lee" is commonly attributed to Charlie Parker; however, Miles Davis claims that he wrote the composition (Davis and Troupe 1989, 103–4). According to the available recordings at the time, Lacy's study would have been with reference to one of the versions recorded by Parker for Savoy records on May 8, 1947 (as per the entries in T. Lord [2003]).
[8] Lacy similarly stated "when Monk played that music, it was very consistent. In other words, the tune came and then he played, and it was all one thing really. And the language that he improvised in was the same as the language he wrote in" (Weiss 1981, 37).
[9] Lacy printed some of Monk's suggestions in the preface to his biography: "Thelonious would not tell me what to play, but he would stop me if I got carried away: 'Don't play all that bullshit, play the melody! Pat your foot and sing the melody in your head, or play off the rhythm of the melody, never mind the so-called chord changes.' Also, 'Don't pick up from me, I'm accompanying *you*!' Also: '*Make the drummer sound good!*' These tips are among the most valuable things anyone has ever told me" (Lacy 1997, 13, emphasis in original). Also see Harrison (1966, 10), Jeske (1980, 21), Lacy ([1980b] 2006, 251–52), and Weiss (1981, 36–37).
[10] Lacy discusses a variety of Monk's advice in *Lift the Bandstand* (Bull [1985] 2004, 2:15–2:50).
[11] Lacy quoting Monk in Harrison (1966, 10).

[12] Monk's phrase—to "lift the bandstand"—is also cited by Art Blakey: "Years ago I was talking with Thelonious and he said, 'When you hit the bandstand, the bandstand is supposed to lift from the floor and the people are supposed to be lifted up too.' When he said this, some people laughed, but it was not funny to me because I could feel that when he played" (Taylor [1977] 1993, 248).
[13] This is drawn from Lacy's discussion about his music and Monk's influence, documented in Bull ([1985] 2004, 27:50–28:06 and 46:28–47:23).
[14] Lacy provides a similar account of Monk's advice: "You've got to know the importance of discrimination, also the value of what you *don't* play, the use of space, and letting music go by, only picking out certain parts" (Lacy 1997, 14, emphasis in original).
[15] Not all reviews of the album were positive. Bill Shoemaker—who usually champions Lacy's playing—did not find the album compelling: "One reason is the restrained temperament Lacy has always brought to this material, a striving for correctness best exemplified by his well-documented faithfulness to Monk's compositions. It even rubs off on Don Cherry throughout much of the 1961 New Jazz date" (Shoemaker 1991, 31). Shoemaker also writes, "[n]o less predictable are Lacy's best solos, including a streamlined stretch on 'Evidence' and pungent phrase-turning on 'Let's Cool One'" (ibid., 32).
[16] Jon Pareles also wrote of Rudd's "growls and snorts" during a 1982 reunion concert with Lacy (1982a, 14), which demonstrates how extended techniques stood out during their performances.
[17] I indicate the term "role" in scare quotes to indicate that Rudd did not adhere to a specific function in performing with Lacy. Rather, and according to the spirit of free jazz, his playing exemplifies fluid transformations between prescribed roles of traditional jazz practice, blurring the distinction between melody, harmony, counterpoint, timbre, or rhythmic structures.
[18] See Bailey ([1980] 1993, 55–56) and Rouy ([1987–88] 2006, 117). For the chronology of Lacy becoming freer with his performance practice, see Friedlander and Friedlander ([1998] 2006, 204).
[19] These "honks" can be heard in the recording of "Little Rootie Tootie" on *Only Monk* (Lacy 1987). Accomplished by singing through the instrument while playing, and manipulating the saxophone's overtones, what sounds like repeated "honks" are played as an introduction, and throughout the A sections of the head (performed at the beginning and end). The solo briefly refers to the thematic content with a similar extended technique at time 2:53. Lacy ends the recording by holding a cracked note that is subsequently manipulated, yielding multiphonics of the overtone series—the "double-stop overblowing" mentioned previously.
[20] Lacy (1987).
[21] *Sempre Amore*, a duo album with Mal Waldron, does not include any Monk compositions (Waldron and Lacy 1987), which may indicate why Shoemaker does not hear motivic development or rhythmic shifts that characterize Monk's music.
[22] Lacy (2009).

[23] The original interview, from which this quote is printed, is from Hardy and Quinsac ([1976] 2006, 56).
[24] Excerpts from Ron Brown of *Into Jazz* (London), Brian Case of *New Musical Express* (London), John Fordham of *Time Out* (London), and Barry McRae of *Jazz Journal* (London) were printed in “Emanem Presents Steve Lacy” (1976, 3).
[25] Otto Link, the mouthpiece company with a number ten as its largest commercial mouthpiece, specially made a number twelve mouthpiece for Lacy (after his customized number eleven was stolen). His reed, a Marca 1-1/2, is softer than most saxophonists use (typically 2-1/2 to 4, but sometimes harder) (Martin [1991] 2006, 135; Shoemaker 1992b, 18). Lacy divulged his saxophone setup in *Findings*: “I recommend a softer reed for greater flexibility and less stress, but it takes a longer time to gain control. I use a number 12 Otto Link with MARCA #1-1/2 reeds, but before arriving at that combination, I used many others, Selmer, Vandoren, plastic, metal, glass, hard, medium, finally settling on that set-up which is ideal for *me*, but not necessarily for you” ([1994] 2005, 201).
[26] Lacy’s “No, Baby” exercise includes short descending lines of three notes within an interval of a perfect fifth, usually in a ♩ ♪♪𝄾 (3) rhythm. Each short line is played through permutations beginning on different notes (Lacy [1994] 2005, 31–33).
[27] This quote is reprinted in Ullman (2007, 339). Lacy also spoke of this practice routine in Silsbee ([2004] 2006, 126); a similar account is provided in Myers (2004, 59), and printed in Lacy ([1994] 2005, 59–60). In fact, most of his printed exercises in *Findings* are examples of such “tight corners” (Lacy [1994] 2005).
[28] One may consider Lacy’s practice with reference to Paul Berliner’s study, where musicians develop techniques “to manipulate instruments as if they were ‘toys,’” sometimes “performing outside the conventional range of the instrument.” (Berliner 1994, 260).
[29] David Mott, personal conversation, November 2007.
[30] Lacy’s playing with Monk (Bull [1985] 2004) corresponds to *Thelonious Monk: In Philadelphia 1960 with Steve Lacy* (Monk 2006). In the documentary, a solo version of the head of “Evidence” (Bull [1985] 2004, 0:00–0:52), is followed by the head as played by the Monk/Lacy quintet, and Lacy’s solo (with Monk’s comping) on the tune. The music is used first to introduce Lacy (ibid., 0:52–1:32), then as a soundtrack to his video recorded interview (ibid., 1:32–2:00).
[31] Brown has only appeared on three recordings from 1957–61, two of which were with Lacy (T. Lord 2003). It has been suggested that Brown also played with Coleman in the early 1960s (Hentoff 1961).
[32] For the original interview (without the author’s additional comment), see Carles ([1965] 2006, 36).
[33] The chord changes in the bass part shown in figure 31a are from mm. 73–80 in appendix J. I extracted and transcribed these chords according to the performed walking bass line and the typical harmonic movement of “Evidence.” See chapter 2 for the method of determining chord changes.
[34] T. Lord (2003); Monk (1987a); Sheridan (2001, 60).

[35] One will notice that the piece begins in the key of B where the subsequent A sections begin in C (i.e., mm. 9 and 25). Comparing mm. 3 and 11, a chromatic alteration on beat three of m. 3 adjusts the melodic and harmonic movement to a V–I in E♭ (mm. 3–4), which is in accordance with analogous measures of the form, mm. 11–12 and 27–28.
[36] Lacy is referring to the "deconstruction" phase as the "initial" phase here, despite the order of "construction" then "deconstruction" in his previous sentence.
[37] Don Cherry, who played with Coleman's group, links the approach to Monk's music: "with us playing without a piano, we had to play phrases where the harmony could be heard. And the harmony we're speaking of in relation to chord changes. Thelonious Monk is another good example of that because his melodies are where you can hear the harmonies in the melody, and you can improvise from Monk's tunes from the melody or from the chords. You know, you have two to work from. But in the harmolodic concept when you improvise you play phrases where you can hear the harmonies too" (Sidran [1992] 1995, 409).
[38] Some examples may prove this observation false; however, most small combo jazz recordings before 1959 do not include extreme changes between soft and loud, where the musicians leave expressivity to articulation, note choice, texture, and rhythm. As an example, dynamics do not necessarily play a dominant role in the post-bop style of Monk's recordings (e.g., dynamics are not noted in Rouse's work on "Evidence" and "Rhythm-A-Ning" in appendices E and H).
[39] A focus on group interaction as a stylistic marker of free jazz is covered in a comparative analysis of jazz style by Hodson (2007).
[40] To some extent, this belief is still held by many today.
[41] The remaining "swing" triplet rhythms in the transcription, i.e., in mm. 20, 43, and 65 of appendix N, are not swung.
[42] The performance of this rhythm by Rudd on beat four of m. 43 is heard as a succession of triplet eighths from beat three–four, and not an inversion of triplet swing eighths.
[43] For a discussion on the absence of swing as a sonic signifier of avant-garde jazz, see Kelley (1999, 152).
[44] Reviewing *Wee See*, for example, Derek Ansell writes, "[s]omehow Lacy manages to present this music as a unique and original programme by his musicians and himself and still preserve the very essence of Thelonious Monk's music" (1993, 38).
[45] Reprinted in Harrison (1987).
[46] One will also notice Lacy's signature here with intervals anchored on a common tone (E♭) and sequentially expanded from a perfect fourth–augmented fourth–perfect fifth. Furthermore, these expanding intervals refer to the theme that may be analyzed as a fifth (E♭–B♭) that is chromatically expanded to E♭–B (e.g., see m. 8 of Monk's introduction in appendix E or Lacy's reference to the melody in m. 52 of appendix O).
[47] These measures are labelled as an A section as per the turnaround to the E♭ tonality in m. 80.

Section 3: Monk, Rouse, Lacy, and the Avant-Garde in Jazz

Chapter 5: The Avant-Gardism of Thelonious Monk

Speaking to the social context surrounding Monk, many critics, scholars and musicians have, to varying degrees, positioned themselves within one of two polarized camps: one that situates him as part of the jazz mainstream, and another that claim him as forefather of the jazz avant-garde (Kelley 1999, 136). At the heart of both arguments is Monk's performative avant-gardism in musical and sub-cultural contexts.

Monk's image not only challenged the typical representation of an American man; it symbolized liberation for the sub-culture of hipsters and Beat poets, and later for the civil rights movement. Moreover, his music reveals the tensions of American society. Given that "Monk's music reflected the growing complexity and edginess of the age he lived in without ever becoming arcane, narcissistic, or incomprehensible" (Gourse 1997, 65), he can be understood as an avant-garde musician who depicts his hostile environment.

One may investigate Monk's image as adopted, and promoted, by the mainstream establishment and the jazz avant-garde. Monk's avant-garde gesture was a challenge to performative norms. Through his appearance, interviews, and stage performance, coupled with his unorthodox and rhythmically jarring music, Monk provided a template for the mainstream and the jazz avant-garde to construct his image for different political purposes.

The contenders for the mainstream believe Monk to belong under the umbrella of jazz, emerging from and extending upon traditional styles, thus placing him in a context specific to the music as an autonomous entity—one that evades social and political associations, and interprets him as an idiosyncratic musician predated by an evolving musical tradition. Specific to the late 1950s and early 1960s, the mainstream believed Monk's position to be at the forefront of jazz, extending the tradition with a newly accepted lexicon of composing and improvising.

This reduction of Monk's career does not account for the chronology of his changing status vis-à-vis the mainstream from the 1940s to the 1960s. His musical and subcultural avant-gardism was first branded too extreme for mainstream audiences, with only a brief period of marketing strategies to sway the common listener in the mid-1950s (see appendix A). Monk's avant-gardism was used as a promotional tool thereafter. His music was described as disruptions to conventional jazz harmony and rhythm, and his persona—the myth of Monk—was constructed in the form of an idiosyncratic social outsider. This myth was carried into the 1960s for economical benefit and maintained Monk's "strangeness" in the eyes of the public.

The avant-garde camp would agree that Monk was part of a jazz lineage—many members of the jazz avant-garde would also claim their music as an extension of tradition.[1] For this group, however, Monk's music is interpreted as a significant break from traditional norms, signalling a *change* in the jazz lexicon. Subsequently, Monk was positioned as a major precursor of the avant-garde movement. Monk's image and his music were associated with social and political meanings that would influence many

writers and musicians of the avant-garde; his music was consequently claimed by their camp as a reaction against the jazz mainstream.

The following sections first present Monk's music as avant-garde, followed by a discussion of his performance art, which I call "Monk's Spectacle." Considering the discourse surrounding his position in the history of jazz, Monk's image is subsequently presented with reference to politics, gender, and race to understand how and why Monk became a major figure for both the mainstream and the jazz avant-garde.

The Avant-Gardism of the Monkian Aesthetic

The Monkian aesthetic is avant-garde. In Charles Blancq's retrospective on Monk's music, he writes: "Fewer chord progressions, open spaces, economy of means, whole-tone scale symmetry and less reliance on the European 'tradition'—these were the progressive ideas of the new jazz, of the late 1950s and after" (1983, 19). Blancq conveniently writes "tradition" in scare quotes: many Western composers had used minimal chord progressions, open spaces, economical ideas and whole-tone scales by the 1950s; that is, Monk's music defies a tradition in jazz based on harmony derived from the common practice period. Therefore, it is Monk's use of minimal musical content and his non-traditional methods (with respect to jazz) that are two general attributes of the music's avant-gardism.

His music influenced the jazz avant-garde and how one listens to jazz. Ian Carr states that the compositions written in the 1940s and 1950s "bridge the gap between Traditional Jazz and today's avant-garde. Monk seems to accept the values of earlier eras,

while his method points to the future" (1967, 5). Peter Keepnews writes that the innovations of Cecil Taylor, Ornette Coleman and John Coltrane "might not have been possible if Monk hadn't been there first to help pave the way" (1982, 72). Gene Santoro similarly names Coltrane and Coleman, along with Sonny Rollins and the Association for the Advancement of Creative Musicians (AACM) being inspired by Monk (1989, 19). His conclusion reads:

> [This] brings us to the underlying quality of Monk's music that appeals across generations to vanguard after vanguard: a corruscating [*sic*], searing irony that can laugh at itself, that unsettles rather than soothes. [. . .] It shatters expectations about sound and how to process it. (Ibid., 23)

Gary Giddins connects this influence to the jazz audience in general: "Yet even beyond the influence he had on specific individuals—and its thread leads into the parameters of today's vanguard—there is a level on which he has simply altered the way we all hear music" (1976, 99).

The elements of the Monkian aesthetic presented in chapter 1 speak to the avant-garde nonorganic work where the individual parts are fragmented, fracturing the unity between the part and the whole.[2] Elements of the aesthetic are in stark contrast to previous styles of jazz: Monk's unorthodox jazz harmonies, rhythmic displacements, and juxtapositions of silence and explosive sound—all produced through his unusual technique—are in direct opposition to the pre-1940s swing style. Furthermore, Monk considered himself separate from the bop aesthetic by 1948, stating: "I like the whole song, melody and chord structure, to be different. I make up my own chords and melodies. [. . .] I just experimented arranging. You learn most harmonies by experience. You fool around and listen."[3] Grover Sales comments, "with Monk, like Picasso,[4] the

break with traditional forms was conscious and deliberate, involving no imaginary technical shortcomings" ([1960] 2001, 105). It was Monk's experimentation with discrete properties of sound—a marker of the avant-garde—that he developed his dissonant tone clusters.

Monk's dissonance challenges tonal conventions in jazz. The Monkian aesthetic defies expectation in a negation of "natural" consonance, a negation of middle-class entertainment. The rhythms and use of space confound perceptions of metre; the fracture of consonance and temporal continuity is a refusal to provide coherent meaning, which is experienced as shock. The music's content is not a new expression of aesthetic beauty: the Monkian aesthetic exposes and exaggerates the materials of the work's construction.

Monk's "hard tunes" are congruent with avant-garde explorations in music. One method for composers seeking a break from tradition is to disrupt the continuity of metrical coherence. Monk's displaced rhythms, strong enough to cause shifting metres, made the music difficult to perform. A requirement for musicians to successfully perform intricate rhythmic passages is a general condition of much avant-garde music (Weisberg 1993).

The "wrongness" of the Monkian aesthetic subverted the values held by mainstream musicians and critics. The materials of production—angular and dissonant lines collocated with brooding silences—brings awareness to the artistic medium of sound and space, and violates habits of reception among listeners. At a time when musical coherence in jazz was defined by coalescent harmonic movement—a unity based on temporal structures shared amongst the ensemble that continuously resolve in

synchronization throughout the form—the Monkian aesthetic disrupts the "comprehensible" by inflecting the mechanics of the improvisatory process by overtly stating the division of labour. When the drummer "swings" and the bassist walks in four beats, the comping patterns and solos run against the grain, creating harmonic and metrical conflict among the performing musicians.[5]

Monk did not unify his performances with continuity. As Peter Watrous writes: "Instead of jazz's linear movement, Monk stops time, offering a new logic. Forty-five years later, the music's newness still startles" (1992, 29). Monk's "new logic" included abrupt changes in rhythm while utilizing fragments of the melody. Similar to the improvisatory method of melodic paraphrase, the fragments are juxtaposed and provide a sense of large-scale unity. Thus, the soloist is freed from strictly adhering to the chord changes, and may improvise between, and in relation to, the melodic fragments. Rouse commented that Monk "liked the freedom of the small-group context" (Danson 1982b, 7). Monk also spoke about the freedom of the music: "A lot of people notice this free sound and don't know that they notice it [. . .]. That's why they like the small group—it flows with so much freedom" (J. Wilson 1963, 13).

Monk's compositions based on standard tunes, more so than pieces by other musicians of his time, resemble the avant-garde technique of decomposition: the style of the original is negated when stripped to its basic form and recomposed to make the original almost unrecognizable. André Hodeir poetically describes Monk's "acid bath" of "I Should Care" ([1962] 2001, 125). John Mehegan writes, "[a]lternately acidulous, ironic, puckish, whimsical, sardonic and savage, Monk 'plays' havoc with the trivial,

Romantic sensibilities residing within the harmonic, melodic and rhythmic confines of the popular song" (1963, 4). "Rhythm-A-Ning" and "Evidence" are examples (see chapter 3). The former contains harmonic ambiguity during the B section of its AABA form and defies cadential resolution in the A sections with the final ♭7 in B♭. The metric displacements in both A and B sections subject the listener into changing notions of time. Carr uses "Evidence" as an example of Monk's "abstract themes" (1967, 5, 6). Martin Williams's description of the final chorus of Monk's first recording of the tune (Monk 2001) is also telling: "this apparently jagged, disparate, intriguing tissue of related sounds has at last emerged, but not quite—a theme of great strength and almost classic beauty for all its asymmetry and surprise" ([1970] 1983, 159–60).

Peter Hollerbach's analysis connects the avant-gardism of Monk's "politics of thought" to his aesthetic, with a focus on his rhythmic displacements. They are a "disturbance of expected or probable actions and, by this process of decentering, enhance the element of surprise" (Hollerbach 1995, 148). Hollerbach writes:

> The element of surprise—and the humor with which it is endowed—is fundamental to Monk's aesthetic. A deliberate, playful unpredictability and willful frustration of expectation informs virtually all of Monk's music, qualities that foster diverse reactions running the gamut from exhilaration to condemnation yet typically informed by a bemused puzzlement at the audaciousness of Monk's choices. (Ibid., 144)

In other words, the "meaning" of Monk's music is derived from the extent to which he conveys a "deliberate disruption of expectation through the introduction of deviation" (ibid., 145). Hollerbach connects this meaning to "an Afrocentric alternative to mainstream music values," and the extra-musical conditions of alienated African American bop musicians of the 1940s; separated from the black middle-class and the

white mainstream, Monk is considered an artist who "formulated an approach to Jazz performativity that was intellectual in its formal procedures, virtuosic in its execution, and devoid of the trappings of bourgeois 'entertainment'" (ibid., 142).

Hollerbach's writing touches on the crux of connecting artistic features to a social praxis of avant-garde activity. Monk's deviation from musical norms is inherently connected to the politics of an alienated social class: the artistic means of the Monkian aesthetic problematizes both the values of high-art (for audiences of the jazz mainstream), and popular entertainment.

Hodeir's article, "Monk or the Misunderstanding," provides a critical analysis of Monk's music, which bridges themes of high modernism and the avant-garde. Monk is compared to numerous composers of the Western art tradition—Debussy, Schoenberg, Stravinsky, Webern, Barraqué, Boulez and Stockhausen—who overturned conceptions of music in the twentieth century. Hodeir writes, "the world of music is now based on the notions of asymmetry and discontinuity. Thelonious Monk is to be hailed as the first jazzman who has had a feeling for specifically modern aesthetic values" ([1962] 2001, 125). The article frames Monk as a dissatisfied artist, ironically traditional but more contemporary with his explorations, with asymmetrical music of discontinuity based on "a system of extreme dissonances, which is likely to invade jazz as a whole" (ibid., 129). Monk is said to have "upset the very fundamentals of the jazz repertory" with formal abstraction (ibid., 127), a reorganization of form "along less baldly 'rational' lines" (ibid., 130).

Despite Hodeir's writing that compares Monk to composers from Europe (Hodeir was writing from this vantage point as a French critic), Monk is considered an outsider, but not an autonomous composer: "Monk is a man alone, disturbing and incomplete. In the eyes of history he may be on the wrong track, but this, perhaps, is what most endears him to me. He is the solitary man who, when he looks back, does not see his fellow travelers—who doesn't even know if he has fellow travelers" (ibid., 121–22). Situating the music as art detached from its popular roots, Hodeir writes, "[p]erhaps Monk, without even realizing it, has already gone too far on the path he has chosen; for it is a path which must inevitably lead to that complete divorce between jazz and popular music" (ibid., 122).

Hodeir's most convincing passages describe the reception of "Bag's Groove" as shock.[6] In a story about a composer who listened

> with an ear that was more than merely attentive [. . .] he immediately grasped the meaning of the acute struggle between the disjunct phrasing and those pregnant silences, experiencing the tremendous pressure that Monk exerts on his listeners, as if actually to make them suffer. When the record was over, just one remark was enough to compensate for all the rebuffs that the mediocrities of jazz had made me suffer from his lips; [. . .] "Shattering," was my friend's only comment. (Ibid., 133)

Monk's asymmetrical and abstract music was thus considered avant-garde for European critics by the late 1950s. As Watrous later explained, "Monk became, in the traditional European critical perspective prevalent at the time, a rule-breaker, the avant-guardist [*sic*] in the garrett [*sic*]. Because of his eccentricities, he became the image of a bohemian" (1992, 29).

Monk's Spectacle

Avant-gardism includes an exaggerated display of alternatives to the status quo. The shock of the avant-garde includes gestures of eccentricity compounded by accentuation of those characteristics that confront mediocracy. Peter Bürger states that "[t]he avant-gardiste work neither creates a total impression that would permit an interpretation of its meaning [. . .]. This refusal to provide meaning is experienced as shock by the recipient" (1984, 80). For the avant-garde, moreover, "shocking the recipient becomes the dominant principle of artistic intent" (ibid., 18).

Monk's exaggerations of eccentricity confronted his audience in a shocking spectacle. His gestures include his musical performance of the Monkian aesthetic, personal appearance, answers to interview questions, and his stage presentation.

Monk's Performative Spectacle

Monk presented himself and his music as a spectacle. His personal appearance from the 1940s forward—the goatee or beard, zoot suit or oversized jacket, extravagant hats and glasses—was a distinct statement of nonconformity.[7] In his interviews, he would provide unexpected and sometimes absurd replies to questions. Generally, he was short, evasive, or would not speak at all. One article from 1958 states that Monk's interviews were "guarded, cryptic, and even defensive;" perceived as a withdrawal from society, this reaction to the press was a "defense mechanism [that] has helped create more myths about him" (Brown 1958, 16).

Monk's performances were a display of extravagance. When strolling, typically during the saxophone solo, Monk would dance and spin on stage. Charlie Rouse explains:

> Sometimes, if the mood hits him, he'll jump up from the piano and dance—right there on the stand. He just digs what's going on so much he feels like dancing. But he's always listening, make no mistake. It's just that he's a spontaneous-type person. He's kind of out of society. I guess it's because Monk is *creative*. He's not concerned with the people. He does what he feels. (DeMicheal 1961, 18, emphasis in original)

Robin Kelley also describes his dancing at a performance in Toronto in 1966:

> It was a matter of stagecraft, and as he got older he understood that spectacle sells and eccentricity makes good copy. During Monk's two-week stay at the Colonial Tavern in Toronto (he opened on Halloween), the local press focused on his strange behavior, his hats, and his unremitting lateness. His stage antics went over well with the Canadians. Besides dancing, he would stare at the wall while Rouse and the rhythm section played, and then suddenly turn toward the audience as if he was seeing them for the first time. (2009, 383–84)[8]

Covering the concert, one journalist quotes Monk saying, "I like to stand out, man. I'm not one of the crowd. If the crowd goes that way, man [. . .] I go the other way" (Gerard 1966).[9]

Toronto fans knew about Monk's spectacle much before 1966. The city's journalist Helen McNamara reiterated Humphrey Lyttelton's title "Monk—Joker or Genius?" in 1964, and that "he invokes [. . .] baffled abuse—'phony,' charlatan,' 'hoax,' 'incompetent'" (McNamara 1964).[10] McNamara had covered Monk's avant-gardism as early as 1959 when reviewing *The Thelonious Monk Orchestra at Town Hall*; she links Monk's dissonance to the jazz avant-garde, stating the music includes a "harsh protesting air that more and more is becoming the cry of the modern jazzman" (1959, 35). She kept apprised of his avant-gardism when he performed at the Colonial Tavern again in August 1967: "The style is, of course, the same: Much emphasis upon dissonant effects, jagged

rhythms, sudden pretty notes left hanging in mid-air and even, from out of nowhere, chime-like chords" (McNamara 1967b, 44).

Kelley summarizes that "Monk didn't mind being a spectacle, as long as patrons would come to the Toronto concerts; people coming and buying drinks is what paid" (2009, 384). His spectacle consistently drew crowds, no matter where he was performing. Robert Kotlowitz reports that a significant audience would attend the performances to anticipate his late arrival, to witness to his hat and goatee, and his dancing: for them, "he is a spectacle; it is sheerest coincidence that a little music is thrown in" ([1961] 2001, 115). A specific example is his first trip to the West Coast in 1959 at the Blackhawk. Marketable to the general public, the press promoted a vision of "Monk the Mystic Recluse, Monk the Enigmatic, Monk the Capriciously Bizarre" (Sales [1960] 2001, 121). Sales writes, "those in the audience who knew Monk primarily as a Character, and who came to see if he would really show up, wore expressions of perpetual surprise and bewildered awe" (ibid., 104). Similarly in October 1961, reportage from the *Chicago Defender* promoted his local performance as the "Weird Thelonious Monk" for audiences to see his "Monk-ey-shine antics" (Kelley 2009, 314).

Monk also exaggerated his spectacle on film. Candid scenes in *Straight, No Chaser* indicate that he was performing for the camera. Shots of his eccentric gestures include him unexpectedly lifting his arm and elbow above his head, spinning in circles, and quickly bending forward with his arm held horizontal or throwing his completed cigarette on the floor.[11] Monk is with his wife, Nellie, at an airport in one scene. Walking about in the terminal, Monk begins spinning in circles, abruptly stopping to forcibly stare

into the camera (Zwerin 1988, 51:51–52:31). Kelley interviewed the cinematographer and summarizes: "He said Monk was very well aware of when the camera was on him—he was performing for the camera. He knew why people paid to see him in nightclubs. He played to their expectations" (Garney 2010). A critical viewer will see from other footage that Monk was a regular musician with respect for his peers, his audience and his community—he did not always display "abnormal" behaviour. However, he would exaggerate his eccentricity when given the opportunity for impromptu performance.

The spectacle of Monk's character is comparable to that of Anthony Braxton in the 1970s. Ronald Radano states, "in cultural criticism, students of mass culture have recognized that public images regulate, if not determine, artistic meaning: media symbols outline the broad contours of public response as they help to cast the ideological lens through which art is received" (1995, 191). Musically, Braxton would side-step associations with free jazz and provide a synthesis of musical anarchy by "redefining it aesthetically in the context of the mainstream" (ibid., 190). In his public image, he effected changing signs to subvert categories of official culture "[b]y extending his art of illusion to the construction of spectacle" (ibid., 211). Situated at the opposite temporal bookend of free jazz, Monk's affectation of the spectacle was a media symbol for public response, and one that similarly couched the aesthetics of freedom in the post-bop style. Monk's enigmatic spectacle did not employ changing cultural signs; however, his image did not conform to categories of official culture, which consequently provided a template for the mainstream and the jazz avant-garde to advance his image according to their political motives. What both camps share is an inflection of Monk's avant-garde

spectacle. The common trope of Monk's avant-gardism originates from his performances at the Five Spot Café.

Creating a Spectacle at the Five-Spot

Monk's incumbency at the Five Spot accentuated his role as the progenitor of the avant-garde. In 1957, his music appealed to audiences attentive to the cutting edge of dissonant jazz, rife with its abrupt changes in rhythm and metre, and forceful sound juxtaposed with gravid silence. Kotlowitz reports that three audiences came to hear Monk: one to see his performative spectacle, one drawn to the "swollen legends of narcotics, of drink, race guilt, and violence, bearing a strangely attractive aura of sadness and pain," and another searching for "an evening brush with emotional anarchy for the price of a beer" ([1961] 2001, 115). Notwithstanding their individual tastes, Monk appealed to, and inherited an audience of the avant-garde at the Five Spot.

The modest jazz club had become a breeding ground for avant-garde expressions in the arts comparable to the Parisian cabarets of Montmartre in the late 1800s or the Cabaret Voltaire in Zurich during World War I.[12] With Cecil Taylor's residency in 1956–57, The Five Spot attracted a crowd of avant-garde writers and artists. These members of the East Village scene regularly went to the club to see and hear Monk beginning in July 1957.[13] Kelley writes that the audience "declared virtually every aspect of Monk's performance 'avant-garde.' Fans lined up outside the Five Spot for the music as well as a chance to catch Monk dance and whatever 'eccentric' behavior he was rumored to exhibit" (2009, 231). Kelley continues:

> for an emerging avant-garde experimenting in conceptual performance art, Monk's spontaneous dance, combined with his drinking during and between sets, embodied the perfect expression of pleasure and excess. [. . . A]t the Five Spot performance could just as easily erupt from the audience as on stage. For example, one night Monk was so late getting to the gig that a young man in the audience got up on stage, "whipped out a cordless electric shaver and gave himself a full barbering." (Ibid., 339–40)[14]

Aside from his on-stage performances, Monk joined the club's regular hijinks, one time pretending to carry a furled umbrella only to shock the crowd when he pulled out a sword (ibid., 233).

Beat poets were a significant audience for Monk's work at the Five Spot. This group of young writers were attracted to experimental music and considered Monk a sacred figure (Kelley 1999, 139; 2009, 232); or as Mehegan writes, "Monk, both as a man and as a musician, became the Beat hero personified" (1963, 18). His music and performance act was a soundtrack for the Beat counterculture that "sought spiritual, cultural, and intellectual alternatives to suburbia" (Kelley 1999, 141). Mehegan states that the "Beats, in search of a shibboleth, have chosen the most vulnerable area of their culture as a standard with which to enter the illusory lists of existential conflict. Beats embrace negation and, in Monk, perceive an acidulous attack upon the Romantic traditions—aesthetically, psychologically and socially—of our culture" (1963, 14). The joy experienced through Monk's blues playing "means the ebullience of life, the Romantic élan-vital, the image of the Byronic hero assaulting the citadels of *love* and *nature*" (ibid., 15, emphasis in original).

Mehegan points out that Monk's resurgence in the 1950s happened during a "period of adjustment" that signalled America's permanence of global control (i.e., the

aftermath of bombings in Hiroshima and Nagasaki, the passing of the Smith Act, and the beginning of the Korean War) (ibid., 16–17). For Monk and the Beat poets, "[e]ach man in his own way had intuitively captured what was, in the beginning, an obscure social disturbance in the American body politic, later to emerge as an irreconciliable [*sic*] breach in the American character. Monk and [Jack] Kerouac, for all of their limitations according to the codified rules of form, had documented this social transition and, unwittingly, gave it its image" (ibid., 17).

Musically, Monk's group collectively improvised with the Monkian aesthetic at the Five Spot in 1957, whether Monk was at the piano or strolling during Coltrane's solos. The bassist, Wilbur Ware, remembers how audiences heard the music: "The cats would say, 'Man, you play avant-garde.' . . . I didn't look at it like that. I didn't even know the meaning of the word 'avant-garde'" (Kelley 2009, 231).[15]

The avant-gardism of Monk's performance was carried forth into the rest of his career. The music and his displays of eccentricity spoke to the tastes of all audiences from the mainstream to the jazz avant-garde. Changing the magnification of this analytical lens from the gesture of his spectacle to his public image allows for an evaluation of how the mainstream and the jazz avant-garde interpreted his avant-gardism.

Monk's Image: Race, Behaviour, and Gender

Monk was an eccentric African American male jazz musician of the mid-twentieth century. This statement, implicitly rife with social and cultural associations, embodies the multiplex of meanings that enter discussions about Monk. This section

discusses how Monk's race, behaviour, and gender may be understood in context of a stereotype of suppression, and how the repercussions of this image spun out to create three interpretations of his image: the stereotypical jazz musician, the accomplished jazz musician (viewed by the jazz mainstream), and an icon for social progress (viewed by the avant-garde). Much like Gabriel Solis's project, a problem arises here when questioning "how to undermine the more hagiographical aspects of the 'great man' trope while writing about a figure like Monk who, by any measure, was exceptional and has remained an enormous presence in jazz" (2001, 264). With Solis's dilemma, "it seems the answer is not to deflate the mythologized Monk, but to recognize the ways that mythology is part of dialogic and dialectical interaction between many culturally situated actors" (ibid., 264). From this point of view, I discuss the cultural process of representing and interpreting Monk's avant-garde music and his spectacle.

Monk was not exempt from the systemic conditions of African American life. He was brought up in a black community and had a firm understanding of racism in the United States. From his childhood, San Juan Hill had a reputation for violence and the media depicted its inhabitants as stereotyped urban Negros (Kelley 2009, 16–19). He was brought up at the local community centre that became the "center of social life for black youth in the neighborhood" (ibid., 28). Monk later recollected his early life in Harlem:

> I did all that fighting with ofays when I was a kid. We had to fight to make it so we could walk the streets. [. . .] I guess everybody in New York had to do that, right? Because every block is a different town. It was mean all over New York, all the boroughs. Then, besides fighting the ofays, you had to fight each other. [. . .] I was aware of all this when I was a little baby, five, six or seven years old; I was aware of how the cops used to act. It looked like the order of the day was for the cops to go out and call all the kids black bastards. Anything you did, if you ran or something, they called you black bastards. (Taylor [1977] 1993, 286)

Monk remained attuned to problems of race through his early life. Common to the anti-patriotic stance against racism among many African Americans of the 1940s, he would not enlist for World War II in 1943, and may have falsified his psychological test for failure when he was drafted (Kelley 2009, 82–83). Furthermore, hostility between his community and the police boiled over in 1943 with large-scale riots in Harlem (ibid., 84–86).

He faced financial and social discrimination as a musician in his early career, and negotiated difficult working conditions defined by social class and race (ibid., 57). As Mehegan posits, "Monk was born into the vast Negro sub-culture which is simultaneously social and ethnic in its nature. Like the ascetic he is, Monk has remained within the sub-culture in which he was born. His work is a penetrating commentary of his journey through his sub-culture which is, in Monk's case, the jungle of the urban Negro life" (1963, 2). By comparing Monk to his contemporaries who enrolled in music school, formal education "is alien to every breath of his life in jazz. This is a central facet of Monk's image—the unsullied sub-cultural artist who has steadfastly retained the sum total of his oppression, unspoiled by the slick artifices of the glossy white world" (ibid., 2). At least to Mehegan, Monk's race and social class were cultural aspects of his representation as the non-assimilating artist.

Ingrid Monson's essay, "The Problem with White Hipness: Race, Gender, and Cultural Conceptions in Jazz Historical Discourse" (1995), serves as a framework to examine social interpretations of jazz musicians in terms of eccentric behaviour, race, and gender. Her essay problematizes the characteristics of the "hipster" to question how

stereotypes are reinforced in the eyes of the general American public, but also subverted by those striving for social progress (e.g., the musicians themselves). Replacing the "hipster" with "Monk" for this discussion is fruitful because Monk's image is much like the common hipster. Furthermore, Monson states, "the stereotype of the nonconformist, hip, deviant jazz musician was subsequently transferred to musicians who developed the later styles of hard bop, cool, and free jazz" (ibid., 413)—although it is difficult to categorize Monk's music, he could definitely be included in this mix. Monson's essay thus provides a theoretical model for critically evaluating how primitivist notions of race affect Monk's image as an eccentric, and an African American man in the 1950s and 1960s.

Interpreting the Spectacle: Monk the Eccentric

Morgenstern writes, "[t]rue, he is not like other people, even other jazz musicians. Yet much that has been labeled eccentricity is quite simply a way of being which seems to be the way Monk wants to be" (1960a, 2). In 1966, he told Toronto reporter Charles Gerein, "Yes, I'm eccentric musically. . . . If the music is eccentric, I have to be. Anybody talented in any way—they're called eccentric" (Kelley 2009, 384).[16]

Amiri Baraka describes the perception of musicians such as Monk: "the Negro jazz musician of the forties was *weird*. And the myth of this weirdness, this alienation, was sufficiently important to white America for it to re-create the myth in a term that connoted not merely Negroes as the aliens but a *general* alienation in which even white men could be included" ([1963] 2002, 219, emphasis in original). Monk was constantly referred to as weird: the spectacle of his personal appearance, stage presence, drug use,

interview answers, and manner of speech played a large role in the construction of this image.

Although the masses saw him as "weird," the politically aware would perceive him as an "anti-assimilationist" social critic, "embodied and visualized through various sonic, visual, linguistic, and ideological markers" (Monson 1995, 397–98).[17] With reference to "hipsters" who propagated this image, Monson explains that "their unorthodox clothing, their refusal to speak in mainstream English to mixed crowds, and their refusal to play at mainstream dance tempos all announced to wartime audiences that the terms of participation in the jazz scene were shifting" (ibid., 411). Seeing that the zoot suit contains a substantial amount of material (the jackets and pants are extremely large), Eric Lott states that wearing the suit became a symbol of defiance during World War II, a visible sign of anti-patriotism against America's effort to ration clothing (1988, 598). Monk's dress and speech may therefore be seen as an oddity to the general public, while politically motivated individuals may claim his image as a nonconformist attitude.

Monk's odd or erratic behaviour is part of his image as an artistic genius—his record producers, critics, and fellow musicians publicized him as a genius as early as 1947.[18] The catch, however, is that his genius became conditional on his perceived "madness" for some writers. Ira Peck's article from 1948 denigrates Monk's character by repeatedly referring to his "erratic" behaviour, linking his mannerisms with his artistry as a musician ([1948] 2001, 44, 46, 47). George Hoefer also comments on this matter: "Monk's weird individualism tended to defer attention to his artistry for 15 years. When he began to receive notice around 1956, his characteristic isolation was turned around to

enhance his image as a jazz genius" ([1962] 2001, 15). The problem with these depictions arises when they are viewed in context of blackness and pathology. Monson explains:

> The associations of [. . .] blackness (or Jewishness) with madness, and madness with artistry have taken divergent forms but are nonetheless of very long duration in the historical imagination of the West. [. . .] The presumed relations between [. . .] blackness, 'rascality' (or criminality), and madness became firmly established in the medical literature by the mid-nineteenth century. The pathology of a person of color was presumed to be part of his or her essential nature. (1995, 412)

The "mad-genius" trope therefore becomes problematic for Monk's image because it reinforces primitive pathological stereotypes, thus undermining his artistic achievement.

The designation of "genius" was seen as a positive marker for socially progressive individuals (ibid., 412). Monk's thoughts on this issue were reported in Barry Farrell's *Time* article from 1964: "[Monk] says he hates the 'mad-genius' legend he has lived with for 20 years—though he's beginning to wonder politely about the 'genius' part" ([1964] 2001, 154). What Monk suggests is that his artistry may be given full credit by ridding the "mad-genius" epithet of its negative connotation. Viewing "genius" as a positive attribute, "the figure of the 'artist' represented to the young modern musician a purity of musical purpose as well as a means of demanding recognition and projecting a stance of social critic" (Monson 1995, 412). Backing this stance was a view that "musical excellence [. . .] should entitle the artist to unprejudiced treatment," thus equating musical achievement with racial achievement (ibid., 409–10). It is clear from these examples that the perception of Monk's image as an eccentric genius took two forms: a bias that is grounded in stereotypical representations of "madness," and another that symbolizes social progress for African Americans.

Representations of Monk's Gender and Race

Although gender is not a major topic of discussion about Monk, it has surfaced in discourse about him too many times to neglect. Monson presents the two dominant stereotypes of African American men: the lazy, inarticulate and irresponsible man, and the physically and sexually aggressive man (1995, 417). Monk is not depicted as an aggressive man to my knowledge, but is represented as lazy, and dependent upon his mother, wife, and patron.[19] True, Monk did rely on the assistance of his female companions—especially after the late 1960s when he showed signs of illness. Early reportage on his life, however, presents a patronizing narrative of his personal relationships—an excellent example of this is Peck's section titled "Mother's Favorite" ([1948] 2001, 43). The stereotype of a lazy African American man was therefore applied to Monk's image.

Monk's oddity, and dependence on others was construed by Peck to be "much in the manner of a child" (ibid., 58). In 1961, Arrigo Polillo similarly writes that Monk is "a giant child, full of good will and occasional whims. One is surprised when he acts like the rest of us. He lives only in his music which is a kind of halo, a personal radiation or environment" (Kelley 2009, 305).[20] Solis believes that Monk's image of a "man-child" was due to him being "intuitive," "emotional," and having a sense of humour and playfulness (2001, 71; 2008, 55–56). Referring to Monk as a "child" in the context of humour, however, does not necessarily provide a negative connotation. Referring to Lacy's quote—"he was a grown-up child, really, a genius"[21]—one can understand Monk's childishness in a positive light.

This representation, however, is problematic when it becomes evidence for the negative stereotype of a lazy African American man. Although the description of Monk existing as a child may have been a promotion of “genius”—then associated with the “naive,” “primitive” or “intuitive” (Kelley 1999, 154)—the stereotype was repeated by Lewis Lapham in 1964: “An emotional and intuitive man, possessing a child’s vision of the world, Monk talks, sleeps, eats, laughs, walks or dances as the spirit moves him” (1964, 72). Monk understood. When speaking to Lapham, he commented on his image promoted by the press: “That’s a drag picture they’re paintin’ of me, man [. . .] A lot of people still think I’m nuts or somethin’ . . . but I dig it, man; I can feel the draft” (ibid., 73). The jazz musician’s argot of “feel the draft” translates to being aware of prevalent racism.[22]

Gerald Early comments that the problem associated with Monk’s “child” image is rooted in racial stereotypes: “the Southern racist calls him a ‘boy,’ the Northern liberal, a ‘child’” ([1985] 2001, 237).[23] Reducing Monk to the status of a child is reminiscent of racist ideas that deny the African American male access to social and cultural masculinity.[24] Early believes Monk’s actions personified the image of a child as a reaction to the social environment of jazz, where “part of the manifestation of his psyche was largely an attempt to personify and symbolize, albeit subconsciously, the very unknowable-ness of the black male personality. [. . ,] In short, Monk is locked up not because he is a child but because he is a threatening, inscrutable black adult” (ibid., 239). Whitney Balliett presents a similar argument in Monk’s eulogy: “[He] was an utterly original man who liked to pretend he was an eccentric. Indeed, he used eccentricity as a

shield to fend off a world that he frequently found alien, and even hostile" ([1982] 2001, 228).

Recognizing Monk's behaviour as a strategy for coping with a hegemonic society, the avant-garde viewed him as a strong African American man, and thus a symbol of political resistance. Eric Porter writes that the avant-garde musicians of bop, in general, were symbols of black male creativity: "This marks the emergence of the figure of the modern black jazzman as a defiant, alternative, and often exotic symbol of masculinity" (2002, 79).[25]

Monk's manager, Hank Colomby, comments that "inner city folks looked up to [him] because of the strength that emanated from him . . . Monk symbolized a black man who was strong . . . It was important for a black man to be strong [. . .] Monk represented a guy not satisfied with the status quo" (Gourse 1997, 221). Kelley also discusses the symbolism of Monk's masculinity: Beat artists from the 1940s to the 1960s claimed his eccentric behaviour and disruptive music as an alternative to the accustomed masculine image, and thus a symbolic stance against conformity (1999, 139; 2009, 232). Rouse also talks about Monk's music as masculine in one interview: "Monk's music is masculine. [. . .] You can't play soft with him: you have to be as strong and dynamic as he is. [. . .] He'd swallow me up if I didn't play strong" (DeMicheal 1961, 18).

Similarly, Monk was a symbol of masculinity for Steve Lacy. He refers to Monk's "masculine authority" in the liner notes of *The Straight Horn of Steve Lacy* (Williams 1989),[26] and states that his pieces "are masculine tunes" (Gitler 1958). Commenting on this remark, Ira Gitler contrasts Monk's music to the "numerous

effeminate jazz offerings we have heard," indicating that Monk's music "demonstrates that it is not slow tempos and lower decibels which necessarily indicate an effeminate performance" (ibid.). Kelley believes that Gitler is referring to cool jazz of the 1950s, equating "effeminate performance with consonance, steady, often slow tempos, major keys, a light touch, and a romanticism that one associates with the balladeer" (Kelley 1999, 140).

Monk's African American masculine image is therefore an instance of his avant-gardism. I am not equating masculinity with avant-gardism in general;[27] arguments of such follow a slippery slope of relating the avant-garde to the dichotomy of man and woman. When studying Monk, gender codes are much more complex as they relate to social constructions of childhood/adulthood and race. Monk's avant-gardism relates more broadly to notions of race that suppress black masculinity and adulthood. That is, the perspectives held by Colomby, the Beat poets, Rouse, Lacy, and Gitler may be read as to situate Monk's black masculinity in opposition to American stereotypes.

One may also understand gender being represented in Monk's music from Susan McClary's assertion that "music does not just passively reflect society, it also serves as a public forum within which various models of gender organization (along with many other aspects of social life) are asserted, adopted, contested, and negotiated" (1991, 8). Referring to McClary's work and Monk's dissonant sounds, Kelley points out that "dissonance in Western classical music is gendered female precisely because it is imagined as disruptive—at best a voice of resistance, at worst a voice of hysteria" (1999, 140). Femininity however, has also been traditionally represented with "traits such as

softness or passivity," where "the feminine is weak, abnormal, and subjective; the 'masculine' strong, normal, and objective" (McClary 1991, 9). Considering these views with respect to Monk poses a contradiction of sorts: Monk would be considered feminine due to his "abnormal" dissonances, however masculine due to his powerfully harsh sounds.

To solve this contradiction, one must first view Monk and the feminine (in historical terms) as belonging to the same social standing of Other. As McClary states, "the Other need not always be interpreted strictly as female—it can be anything that stands as an obstacle or threat to identity and that must, consequently, be purged or brought under submission" (ibid., 16).[28] Dissonance therefore becomes a symbol of defiance, which reinforces the socially constructed image of masculine strength.[29]

Dissonance is not the only attribute in Monk's music that was defiant. His refusal to conform to accepted jazz styles in the 1940s and 1950s displayed persistence with his music when it was, by and large, unaccepted. His tenacity is characterized in the article entitled "Gothic Provincialism":

> When his music went unheard and unaccepted, Monk simply clammed up and waited. This was, in a sense, a very brave thing to do. It was, moreover, not only a sign of the depth of his determination but also of the intensity of his provincialism. (Early [1985] 2001, 240)

From this argument, it is apparent that the rooted link between "masculine" and "strength" serves as a basis for constructing Monk's image as a strong African American man. It is this interpretation that made Monk a symbol of strength for the jazz avant-garde.

Mehegan's essay describes Monk as an African American social critic. He is presented as the non-autonomous artist who "has chosen to remain within the confines of his denial rather than enter the larger world of 'high' culture where individual solutions of survival may be 'worked out'" (Mehegan 1963, 2). Characterizing him as "the Rejected, the Beat (not beated), the misfit, the Outsider, the Black Christos," Mehegan writes that,

> Monk symbolizes, on the one hand, the crippling oppression of his culture and, at the same time, the equally oppressive guilt which these young people feel. [. . .] He is the Existential Man with the naked antennae of his being pitted against a hostile world. He is the Hero Figure of those who have disavowed the phony cynical world of Babbitt, Gatsby and Flem Snopes. (Ibid., 3)

Mehegan attends to the mainstream's response to Monk's "silent, bizarre figure" and "image of self-imposed primitivism and caricature," but offers a correctional argument that in a social sense, "Monk's disturbances are *functional*" (ibid., 4, emphasis in original). In other words, Monk's spectacle is as if he is saying: "Your world has made me a clown, so, as a clown, I will amuse you; I will wear funny hats, I will dance for you, I will play the piano with my elbows. For this, you will make me your Cultural Hero, complete with mystique, status and social symbolism. Thank you, white man" (ibid., 4).

For Mehegan, Monk's 's devastating renditions of standard tunes are an exaggeration of the popular in contempt for the "wonderful white world": "[his] perception in striking at this microcosm of bourgeois sanctity is a mark of his greatness" (ibid., 4–5). The listener is said to delight in his "grotesqueries" and be faced with a conflict between "bourgeois Romantic and Negro asceticism," where an irony generates a "penetrating sure of anti-Romantic whimsey" (ibid., 5, 7). Monk's alienation, yielding

consistent negation of musical beauty is a "basic position of self-denial" (ibid., 5). Separating him from his cohorts of bop, Mehegan believes that "[a]n artist may document beauty (Parker, Clifford Brown, Bill Evans), or he may document its obverse, which one may call non-beauty, or, better still, ugliness (Monk, Rollins, Coleman)" (ibid., 6). Mehegan compares Monk to visual artists that relish in destroying beauty to document "the ugliness of a world to be repudiated," where listeners enjoy "[Monk's] world being codified in all of its rampant disorder" (ibid., 6, 13).

At a time when the word "avant-garde" signified a particular style in jazz, Mehegan did not use the word in his essay—nor did he need to. His message explicitly rises to the challenge of situating Monk's negative stance against middle-class American values. He provided African American cultural value with an image of aesthetic and social non-conformity. His disassociation from the autonomy of high art presented as devastating disturbances to (a white envisioned) popular culture gave rise to disorder, the grotesque, and the ugly in an anti-romanticism rooted in alienation and a hostile urban environment. His existentialism is attributed to being an African American outcast that provided an aesthetic and social critique on American society.

Monk's Image in Mainstream and Avant-Garde Social Constructs

I am aware that this chapter suggests opposing representations of Monk when most writers may not view him in such radical contexts. As I noted before, there are three interpretations ranging from the African American stereotype to the icon for social progress. It is important to note that his representation does not generalize individual interpretations of his image—many mainstream critics, record producers, musicians, etc.,

would not have viewed Monk (or African Americans for that matter) in the stereotypical images presented here. In other words, this chapter presents a field with two extremes. Each "culturally situated actor"—whether belonging to general writing public (e.g., the writers at *Time*), the mainstream, or avant-garde camps—can therefore be understood as positioning themselves with respect to this field.

Monk and the Mainstream

Monk was accepted by the jazz mainstream in the 1950s, which led to a particular representation of his image through the eyes of jazz critics. In what I call "Mainstreaming Monk," this section describes his position in jazz during the 1950s as situated according to the "mainstream" as a term in the critical vocabulary, and the construction of his apolitical image for the jazz establishment's own agendas. An examination of this process from the vantage point of "Mainstreaming Monk's Avant-Gardism" demonstrates that his record producers and critics used the eccentricities of his music, and his image, as a promotional tool. Evidence is supplied by their writing, a number of jazz workshops, and the cover art of three of his albums.

Mainstreaming Monk

Mentioned in Monk's biographical sketch is a turn of events led by his record producer, Orrin Keepnews, who brought Monk's idiosyncrasies closer to a mainstream conception in the mid-1950s, thus changing critical opinions of his music in his favour (see appendix A). Mainstream record producers, critics, and musicians began a process of standardizing the jazz tradition in the 1950s by canonizing its members in an attempt to

legitimize the music as America's most prided art form. Critics represented Monk's position in this process as an advancement of jazz music alone, as opposed to one emerging from a change in social underpinnings.

Monk's gradual prosperity in the 1950s reflects a trend of homogenizing "jazz" into a unified art form. Scott DeVeaux discusses the forces behind the construction of the jazz tradition when bebop (of the 1940s) promised to make jazz an art music (1991, 543). Bebop became an integral part of the tradition in the 1940s. With less radical changes in jazz performance, musicians surveyed the new musical vocabulary during the 1950s. The term "mainstream" began to define the newly accepted bebop language and was "used to describe any body of music neither so conservative as to deny the possibility or desirability of further development, nor so radical as to send that development in uncontrollable directions" (ibid., 550). Whitney Balliett comments on the perceived musical stasis after the paradigm shift of bop:

> most of the happenings in the music since 1950 or so seem to me negative ones. [. . .] the various modern schools, such as the cool, West Coast, hard bop, have frequently indicated imitative fashions rather than real musical changes, and have left no taste at all, or in the case of hard bop, an unpleasantly angry one that has more to do with matters other than music. ([1959] 1963, 11)

The "modern schools" cited in this paragraph pertain to the mainstream styles of the 1950s that had lost their innovative capabilities. Furthermore, this statement illustrates how the mainstream was viewed in terms of the music alone—external meanings and their influences (portrayed by "hard bop") such as race or politics did not belong to jazz within this conception of the music's autonomy.

Monk did not belong in the jazz mainstream until the mid-1950s since the accepted style was more akin to the developments pioneered by musicians like Dizzy Gillespie and Charlie Parker. Ran Blake summarizes this predisposition by suggesting that "fewer people were prepared to adopt the Monk vocabulary than learned and repeated Charlie Parker's virtuoso licks" ([1982] 2001, 249). As the spirit of innovation slowed during the mid-1950s, Williams comments:

> Musicians who once dismissed [Monk] as having long since made his small contribution to jazz listened attentively for ways out of the post-bop dilemmas. They found that his music had continued to develop through the years of his neglect, that it provided a highly personal summary and synthesis of fifteen years of modern jazz, and that it suggested sound future paths as well. ([1970] 1983, 154)

Monk's position was to revitalize an evolving tradition with a different means of expression, while maintaining the principles that governed standard jazz practice: his music shared a similar repertoire (e.g., tunes based on the blues or the American songbook), form, and instrumentation (with designated roles such as soloist and rhythm section) with the jazz mainstream. As Lorraine Gordon—Monk's promoter for Blue Note Records—once said, "I couldn't listen to a lot of avant garde [*sic*] musicians. [. . .] But Monk made the transition for me" (Gourse 1997, 48).

Critics were the gatekeepers of the jazz mainstream. Consequently, their views on how jazz should be represented were publicized and reinforced by their own biases: "For some [Monk] was the symbol of black genius; for others he was the last bastion of color-blindness in an increasingly polarized world" (Kelley 2009, 355). Baraka's essay, "Jazz and the White Critic," explains that the majority of jazz critics have been from a white, middle-class social standing, as opposed to that of the African American musicians who

create the music (1967, 11). Because of the social divide between these two, Baraka states:

> the critics commitment was first to his *appreciation* of the music rather than to his understanding of the attitude which produced it. This difference meant that the potential critic of jazz had only to appreciate the music, or what he thought was the music, and that he did not need to understand or even be concerned with the attitudes that produced it, except perhaps as a purely sociological consideration. (Ibid., 13, emphasis in original)

He continues: "The irony here is that because the majority of jazz critics are white middle-brows, most jazz criticism tends to enforce white middle-brow standards of excellence as criteria for performance of a music that in its most profound manifestations is completely antithetical to such standards" (ibid., 15–16). John Gennari depicts the split in the critical establishment during the 1960s when Frank Kofsky targeted white critics, especially those from *Down Beat*, saying that they enacted a "defense of the white supremacist status quo" (Gennari 2006, 258–59). Gennari explains:

> Kofsky had sharpened his New Left radical critique in a series of acerbic writings that attacked the liberal assumptions of what he called the jazz "Establishment critical fraternity." In Kofsky's Marxist model, white jazz critics functioned as "active ideologists" of a racist ruling class, intellectual apologists for jazz's colonial economy. "Linked to the white ownership of the jazz business by ties of economics, race, and social outlook," he wrote, "the jazz critic has had as a major, if not *the* major task, the obscuring of the actual social relations that prevail within jazz society." (Ibid., 252, emphasis in original)[30]

Possessing the power of influence to represent jazz to the American majority, jazz critics until the 1950s maintained a monopoly on the jazz mainstream within their own social views of the jazz scene. Consequently, the jazz scene was portrayed by the viewpoints held by the critics.

Monk was a paragon for the mainstream, to guard its gates from the connections between music and political views of the jazz avant-garde. When he was asked about the music of Ornette Coleman, he replied, “I haven’t listened to him that good. [. . .] But I don’t think it’s going to revolutionize jazz” (Kelley 2009, 301).[31] His manager, Hank Colomby, also comments that, “Thelonious said Ornette sounded weird just to sound weird” (Gourse 1997, 176). Nat Hentoff, Kirk Silsbee, and John Bassell have also provided similar accounts of Monk’s distaste for Coleman and the jazz avant-garde.[32]

Monk has been represented as apolitical and uninterested in race problems. He has been quoted as not caring about politics, and is regarded as an apolitical person when compared to his contemporaries.[33] He comments on his indifference towards the politics of race in an interview with Valerie Wilmer, saying, “I’m not a policeman or a social worker—that’s for your social workers to do. I’m not in power. I’m not worrying about politics. *You* worry about the politics. Let the statesmen do that—that’s their job. They get paid for it” (Wilmer 1965, 22, emphasis in original). He continues:

> I was never interested in those Muslims. If you want to know, you should ask Art Blakey. I didn’t have to change my name—it’s always been weird enough! I haven’t done one of those ‘freedom’ suites, and I don’t intend to. I mean, I don’t see the point. I’m not thinking that race thing now, it’s not on my mind. Everybody’s trying to get me to think it, though, but it doesn’t bother me. It only bugs the people who’re trying to get me to think it. (Ibid., 22)

Monk was of value to the mainstream due to his indifference towards political currents of the 1960s and his disinterest in the new music, both of which supported the critical establishment’s position against the jazz avant-garde.

Monk’s musical advancements, as related to the jazz tradition, were precisely what mainstream critics sought as a foil against free jazz. In 1960, Dan Morgenstern

writes: "The spontaneity and immediacy of the music are still present, but Monk knows where he is at, and so does the listener. This knowing gives Monk's music that dimension of balance and structure which is so clearly lacking in much contemporary jazz" (1960a, 40). The viewpoints of Morgenstern, along with Balliett from the *New Yorker* and John S. Wilson from the *New York Times*—all written following Monk's "Jazz Profiles" concert on February 8, 1960—are summarized by Kelley: "in the era of 'freedom' when some jazz renegades were trying to break with structure altogether, Monk offered a corrective. For all of these critics, Monk's remarkable concert struck a cautionary note: Don't abandon tradition" (2009, 284).

In 1961, *Melody Maker*'s Humphrey Lyttelton writes about Monk similarly (1961b, 5); as Kelley notes, "[Lyttelton] was staking out a position in what had become an increasingly heated war between traditionalists and the so-called avant-garde" (2009, 312). This conception was carried forth in a variety of media over the following decades. For example, Peter Keepnews's promotion for the documentary *Straight, No Chaser*[34] reads: "Monk was one of the primary architects of modern jazz. But the passing of time has revealed that his music was much more closely linked with the jazz tradition than it once seemed, and he began absorbing that tradition early" (P. Keepnews 1988, 4).

Monk's record companies promoted him as a mainstream artist. In the 1960s, *Monk's Dream* (2002f) was released to coincide with the group's second European tour in March 1963; Kelley explains that along with Teo Macero (Monk's producer),

> [t]he marketing department at Columbia enlisted major critics to contribute liner notes—Nat Hentoff, Martin Williams, Ralph Gleason, Voice of America jazz host Willis Conover, and Macero himself. Each of these men proclaimed Monk's

> unparalleled genius, declared him a "virtuoso" and an "original," and placed him alongside Duke Ellington in the pantheon of jazz legends. (2009, 333–34)[35]

Orchestrated by Orrin Keepnews of Riverside, *Mulligan Meets Monk* was recorded with West coast "cool jazz" baritone saxophonist Gerry Mulligan in August 1957 (T. Lord 2003; Kelley 2009, 235). Prior to the "Giants of Jazz" tours (1971 and 1972), Macero arranged for Monk and Dave Brubeck to perform a duet based on Ellington's "C Jam Blues" at the Festival de Puebla in Mexico City in May 1967 (Kelley 2009, 388).

Monk's Blues, a R&B "crossover" album with Oliver Nelson recorded in November 1968, was commercial and overproduced, and noted as such by most critics (Kelley 2009, 400–402; Sheridan 2001, 189–90). It was perhaps Monk's commercialization that led to the demise of his late career. Lacy said, "I think that he was badly treated. The last few times he played it was really bad treatment; people wanted to skin him alive in a way. The promoters and all that just want to exploit him and abuse him and make money off of him. They don't even care how they treat him at all—it's just very bad business" (Jeske 1980, 21).

Mainstreaming Monk's Avant-Gardism

As much as Monk's producers and mainstream critics emphasized his stance against the jazz avant-garde, they capitalized on his musical avant-gardism and eccentricity for the mass market. Kelley believes that Monk understood, and would in part contribute to selling this image: "Critics were concerned with whether he was a traditionalist or a bebopper or part of the avant-garde, but he didn't play the label game

. . . except if he thought it could sell records” (Garney 2010). An examination of writing by mainstream critics and the cover art of Monk’s albums is evidence for the jazz establishment’s appropriation of his avant-gardism for the purpose of promotion.

Blue Note promoted Monk as the founder of bop for his first records—it was his non-conformity to the bop aesthetic that had kept him underground for the majority of the 1940s (Kelley 2009, 130–38). By the mid-1950s, Monk’s reputation as an eccentric—previously relegating him as an outsider—began serving as a promotional tool. For example, Marshall Stearns preceded Monk and Rouse’s concert at the Music Barn in 1955 with writing that brought forth Monk’s reclusive and underground image (ibid., 191).

Two workshops in Monk’s early career featured his music. In November 1954 he was invited for Columbia University’s “Adventures in Jazz” where the musicians would perform and explain their approach to jazz. Monk began his demonstration playing “old-style chords” followed by those of the “new style”: “Of course, no one voiced chords like Monk, so what he played jarred the sensibilities of the uninitiated” (ibid., 182). When the organizer asked Monk to “play some of your weird chords for the class,” Monk responded: “What do you mean weird? They’re perfectly logical chords.”[36] He was also included in “Developments of Modern Jazz,” a workshop held in April 1955 whose “members were interested in fusing jazz with elements of classical music and the avant garde’s [*sic*] forays into atonality and twelve-tone composition” (ibid., 186). By 1960, Gunther Schuller extended Monk’s works for his Third Stream exercises. He claimed “Criss-Cross” to be an abstract masterpiece, and used its content for his composition

"Variations on a Theme by Thelonious Monk." Interestingly, its performance on May 17, 1960 featured free jazz soloists Ornette Coleman and Eric Dolphy (ibid., 288–89).

Schuller believed that Monk's music was an outlier to standardization in jazz as early as 1958. He writes, "in these times of standardization and bland conformism we should be grateful that there are still talents such as Thelonious Monk who remain slightly enigmatic and wonderful to some of us."[37] Linking his bop years to his rise in fame after the Five Spot, Kotlowitz writes: "Since Minton's, Monk has put in two full decades of bone-wearying persistence to maintain his personal outpost in the avant-garde of jazz" ([1961] 2001, 114). Lewis Lapham similarly writes, "[a]mong all the jazz musicians of his generation, none was reported 'further out' than Monk" (1964, 72). And although Morgenstern considered Monk's structures to be traditional, his "Jazz Profiles" concert in 1960 spoke to an "urgency" of future jazz performance: "Thelonious Monk did not give his listeners the promised retrospective view of a quarter-century of musical activity. Instead, he gave us something much better. He gave us Thelonious Monk in 1960. Not retrospective, but full of that urgency of the here and now which is a special dimension of a jazz performance" (1960a, 2). Summarizing the position of these writers, Monk's music did not adhere to conformity in jazz and suggested an urgent prospect for future advancement.

Cover art serves as a corporate regulated cultural symbol to market music. Among the numerous Monk albums that promote him as an avant-gardist, three stand out the most: *Monk's Music* (Monk 1993b), *Misterioso* (Monk 1989), and *Underground* (Monk 2003b). The first album includes Monk on the cover with his styled goatee, a suit,

sunglasses and a plaid hat. Seated in a child's red wagon with a briefcase and staff paper on his lap, he holds a pencil in one hand and a cigarette in the other. The album was released immediately preceding Monk's 1957 stay at the Five Spot. Kelley writes: "The wagon simply became a performance piece, an avant-garde twist. Monk didn't know it, but he was about to become an icon for a new generation of artists, intellectuals, activists, bohemians, and free spirits. Armed with a couple of new albums of original music and a flurry of press, Thelonious was as ready as ever to find his audience" (2009, 224).

Early in 1958, reissues of *The Unique Thelonious Monk* (Monk 1956) included "twentieth-century works of art—a deliberate effort to reach the kind of bohemian, intellectual audiences that patronized places like the Five Spot" (Kelley 2009, 249). *Misterioso* was recorded live at the Five Spot with Johnny Griffin in August 1958 (Monk 1989), and was released with the proto-surrealist artwork *The Seer* by Giorgio de Chirico as its cover. With a backdrop of urban architecture, a one-eyed figure without arms is seated in front of stencils on a chalkboard, suggesting a unity of art and science—the figure represented the visionary, "a seer in order to plumb the depths of the unconscious in the quest for clairvoyance" (Kelley 2009, 249). This image, an avant-garde representation of the Five Spot recording, can also be seen to fit the objective of speaking to the club's artistic audience.

The cover art for *Underground* (Monk 2003b) sought to rejuvenate Monk's avant-garde image ten years later in 1968. It was predicted to be "the most provocative and talked-about album cover in the history of the phonograph record" (Kelley 2009, 394),[38] and won a Grammy award for best album cover (ibid., 395). Monk is centred playing an

upright piano with a machine gun over his shoulder, smoking a cigarette and looking angrily toward the camera. The room is filled with a barrage of World War II paraphernalia, explosives, bottles of wine, a cow, a tied up Nazi soldier, and a model wearing a French resistance uniform. For the mainstream, the violent and bizarre album cover was to gain a larger market share (Giddins 1984, 73; Kelley 2009, 394–95). Monk tells that the cover art was "[s]ome photographer's idea" in his 1969 interview with Arthur Taylor. Taylor's article is short, seemingly having some unprinted discussion about Monk's albums. Taylor's first line of text—the title of the article—is "Thelonious Assault." Monk responded: "That's what a cat said they ought to name an album" (Taylor [1977] 1993, 284). Monk was well aware of the marketing strategies to promote his music; it was his avant-gardism that lent itself to such presentations by the mainstream, and interpreted as a cultural symbol of assault by his audience.

Monk and The Jazz Avant-Garde

Monk had associations with the jazz avant-garde. This section reinforces that he was a protagonist for their movement despite his perceived alliance with the mainstream. His political activism was minimal compared to others, and constructed the image of the apolitical artist; however, his performances at benefits in support of black rights, his interviews that include discussions of race, and his cultural symbol of African American achievement position him as an avant-gardist. Furthermore, he performed numerous concerts with groups from the jazz avant-garde and employed a number of their

musicians. He ultimately had a large influence on a number of free jazz musicians who continued his musical vision and strong sense of individuality.

The (A)political Monk?

Although Monk's views aided the mainstream's apolitical stance, the jazz avant-garde ascribed meaning onto his persona in support of their political ideals. Monson states:

> musicians of the 1940s and 1950s found themselves in the ironic position of actively cultivating the image of the apolitical artist *in order* to assert the underlying political challenge posed by the obvious excellence of African American music. This stance was particularly attractive to white intellectuals, bohemians, and progressives who could find common cause with African American musicians in art. (1999, 187–88, emphasis in original)

Agreeing that Monk was apolitical compared with other musicians of the time, Monson reveals that he was nonetheless aware of the power struggles involved with the civil rights movement, and was very much in support of the cause (ibid., 192). In an overview of the political gravity of the 1950s and 1960s, and citing five political fundraising concerts that Monk took part in, Monson presents a strong argument that "the force of the Civil Rights Movement was so powerful and pervasive that even someone like Monk, who appeared to be exclusively devoted to music, could not help but be affected by it" (ibid., 197).

According to Kelley's research, Monk's benefit concerts in support of black rights totals twelve.[39] In the early 1960s, he performed for the Congress of Racial Equality (CORE), the Negro American Labor Council (NALC),[40] the Student Non-Violent Coordinating Committee (SNCC),[41] and a concert in support of the U.N.'s work in South

Africa.[42] He participated in numerous other benefit concerts for African American education programs and community centres, as well as concerts in support of black rights activists such as Paul Robeson and Malcolm X.[43] Further to his concert appearances, Kelley claims that Monk named his piece "Bright Mississippi" "in honor of the civil rights struggle in the South" (2009, 328).

Monk's apolitical demeanour described earlier may therefore be revisited. Frank London Brown, a novelist active in the National Association for the Advancement of Colored People (whose book *The Myth Maker* was influenced by Monk), published a vetted interview in 1958 that presents Monk as a hard-working and family-oriented musician (Brown 1958; Kelley 2009, 248, 315). Feeding the mainstream's appetite for a colourblind version of jazz, Brown quotes Monk's manager Harry Colomby: "Monk once told me that, 'when I was a kid, some of the guys would try to get me to hate white people for what they've been doing to Negroes, and for a while I tried real hard. But everytime [*sic*] I got to hating them, some white guy would come along and mess the whole thing up'" (Brown 1958, 45).[44] At one point Monk explicitly says, "[m]y music is not a social comment on discrimination or poverty or the like. I would have written the same way even if I had not been a Negro" (ibid., 45).

Kelley discusses the interview, stating, "Monk's words would come back to haunt him, turning what was clearly a defense of artistry into a complete rejection of politics" (2009, 249). Years later, *Jazz Hot* critic François Postif asked about the quote, and "Monk vehemently denied 'ever saying anything so insane.' Whether or not Monk misremembered the quote, in 1963 as civil rights dominated the world stage, he did not

want to come across as uninterested or disloyal to the black freedom movement" (ibid., 334).[45] In 1963, he straddled the fence on racial issues in another interview for his white European audience. He said that he did not think about race; however, he admitted that racial progress was needed, and that jazz (including his music) had the potential to benefit American race relations (ibid., 335).

Monk's 1965 interview with Wilmer—previously presented in this chapter as an apolitical stance in support of the mainstream—was, by Kelley's account, in support of Monk being affected by social forces. He spoke about being incarcerated, his dislike of people's treatment by the police, and his responses directed "attention back to his livelihood as a musician and his responsibilities as a father" (ibid., 373). When redirecting the interview away from politics, Monk was therefore referring to his *vocation* as a musician, and not a politician.[46]

Monk commented that he was not interested in the "Muslims" in Wilmer's interview, and directed her to "ask Art Blakey." (Blakey was a close friend who performed with Monk throughout his career [Sheridan 2001, passim; T. Lord 2003].) From a religious standpoint, Monk had roots in the Christian church and may have simply not wanted to change his beliefs. Furthermore, Blakey was heavily involved in the movement among many jazz musicians who converted to the Islamic faith during the 1940s and 1950s.[47] Monk may not have wanted to discuss such complex issues with the possibility of being incorrect or misinformed about their religion, philosophy, or political agendas.

In the interview, Monk also said, "I haven't done one of those 'freedom' suites, and I don't intend to" (Wilmer 1965, 22). In my reading, Monk was protecting his success by distancing himself from the economic hardships and critical backlash incurred by musicians who recorded "freedom" suites. An example includes critical attention to two albums by Monk's friends Max Roach and Abby Lincoln: *We Insist!—Freedom Now Suite* recorded in 1960 and *Straight Ahead* from 1961 (T. Lord 2003).[48] Following Ira Gitler's review of the latter that chastised Lincoln's black nationalism, *Down Beat* organized a roundtable discussion published as "Racial Prejudice in Jazz." The speakers included Lincoln, Roach, Gitler, and a number of other critics and jazz musicians.[49] The heated debate focused on the critic's role in discussing extra-musical concerns such as race, and economic hardships for black jazz musicians in a white-dominated industry. After *Straight Ahead*, "Lincoln would not record again under her own name until 1973—the hiatus a product of both hostility to her politics and the ill fortunes of the jazz industry" (E. Porter 2002, 149).

Considering Monk's hardships with early criticism of his work, and his success during a time when "Racial Prejudice in Jazz" was a liability, Monk was simply distancing himself from the negative critical establishment. He was not against the music on the aforementioned albums: Roach and Lincoln, along with Coleman Hawkins on the albums were among Monk's friends. He was present at Lincoln's session for *Straight Ahead* in 1961 where she recorded a lyricized version of "Blue Monk."[50] The album includes musicians such as Mal Waldron, Eric Dolphy, Julian Priester, Art Davis and Booker Little (Kelley 2009, 299). Another example is Randy Weston—one of Monk's

protégés—[51]who recorded an album of similar political thrust in November 1960 titled *Uhuru Afrika* (T. Lord 2003). Although Monk was not associated with these albums directly, one can infer that he was not against such politicism due to his close associations with the musicians involved.

Furthermore, Monk *had* recognized his contributions to black rights. While watching the civil rights march on Washington in 1963, he commented, "I think I contributed as much with my music. I don't have to be there marching" (Gourse 1997, 221).[52]

Monk was right. Claiming him as an icon for black rights, visual artists from the Organization of Black American Culture (OBAC) painted his face on the "Wall of Respect" in 1967. Located in Chicago's Southside, the mural was a celebration of black history, and also included portraits of Malcolm X, Marcus Garvey, Stokely Carmichael, Billie Holiday, Muhammad Ali, John Coltrane, Patrice Lumumba, and W. E. B. DuBois (Gourse 1997, 221; Kelley 2009, 398). Although Monk's attitude was depicted as apolitical by the mainstream, he was nonetheless adopted as a symbol of African American political resistance. Jeff Donaldson, the organizer of OBAC's Visual Arts Workshop explains:

> most workshop members viewed cultural expression as a useful weapon in the struggle for black liberation. The group agreed that the essential function of "a people's art" was to build self-esteem and to stimulate revolutionary action. [. . .] The theme "Black Heroes" was chosen to include men and women, role models for positive self-identification and guidance toward black liberation. (1998, 22)

OBAC worked closely with local organizations holding similar beliefs, such as the Afro-Arts Theatre, Ebony Talent Associates, the Kuumba Theatre, and the AACM (ibid., 22),

the collective of musicians from the jazz avant-garde formed in 1965 that stressed "the importance of asserting the agency, identity, and survival of the African-American artist."[53] When the mural was finished, it became "a shrine to black creativity, [. . .] a rallying point for revolutionary rhetoric and calls to action, and a national symbol of the heroic black struggle for liberation" (ibid., 23).

Free Jazz Personnel

Monk, in his early years, had ties to musicians that were part of both the mainstream and the jazz avant-garde. One of his early compatriots was Coleman Hawkins, whose career began in the 1920s and continued through the swing era, bebop (including performances with Monk in the 1940s and 1950s), and controversial albums like *We Insist!* and *Straight Ahead* in the 1960s. Two of Monk's main saxophonists of the 1950s—Sonny Rollins and John Coltrane—were at times considered mainstream artists, but embraced free improvisatory practices during the 1960s. Frequent members of Monk's rhythm section—sometimes playing as mainstream musicians—are also associated with free jazz, or the political spirit of the jazz avant-garde.[54]

What I am proposing is that for these musicians, the distinction between mainstream and free jazz practices—both musically and socially driven—is more fluid than the binary extremes suggest. When Monk's canonized associates belong to the musically and politically left of mainstream jazz, Monk must be placed on that side of broader aesthetic and cultural values. To think of Monk as someone who adhered to musical and social values of the past would align him with the conservative right of the mainstream. Alternatively, one sees that Monk had recurring associations with

performers of the jazz avant-garde—along with his appearances with free jazz groups, he also employed many of these musicians.

On the occasion that Monk shared sets with others, a number of these concerts were with ensembles from the jazz avant-garde. One concert on November 28, 1959 at the Town Hall featured a variety of groups including Monk, Ornette Coleman, Cecil Taylor, John Coltrane, and a handful of mainstream artists including Count Basie. Although Monk and Basie were cast as the older generation (Kelley 2009, 280),[55] their bands differed dramatically. Basie used musicians of his generation—Zoot Sims, Bob Brookmeyer, and Pepper Adams—while Monk's rhythm section included the young bassist Scott LaFaro and drummer Elvin Jones (two musicians who would later become important figures of the jazz avant-garde) (Balliett 1959b, 152). Additionally, Monk performed at two benefit concerts (May 31, 1960 and May 20, 1962) where, collectively, one would also hear Coleman, Bill Dixon, Don Cherry, Booker Ervin, Randy Weston, Max Roach, or Jimmy Giuffre's quartet with Lacy (Kelley 2009, 289–90, 321; Sheridan 2001, 390).

Monk's association with Coltrane continued in the 1960s when the former helped define the decade's free jazz practices. Their two quartets played opposite each other for two weeks at the Village Gate in July 1965—Coltrane also sat in with Monk's group (Kelley 2009, 378). Their bands shared the bill for a concert at Stanford University in January 1966 (ibid., 379). The two musicians also performed together in February 1966,[56] and again in January 1967 (Coltrane passed away the following July).[57]

Monk's collaborations, through employment in his own group, included many members of the jazz avant-garde. Billy Higgins—the drummer on the 1960 Blackhawk recordings—was the drummer for Coleman's quartet (see chapter 3). The Monk-Rouse quartet included bassist Scott LaFaro and drummer Paul Motian in January 1960 for one week in Boston.[58] Both musicians helped define the piano trio with Bill Evans beginning in 1959, and would ultimately keep their allegiances with him. At the same time he was playing with Monk, however, LaFaro was also recording with Coleman for *Free Jazz* and *Ornette!* in the winter from 1960–61 (T. Lord 2003). Additionally, bassist Don Moore joined Monk for two concerts in Chicago and a week of club dates in July and August 1964 (Sheridan 2001, 416–17).[59]

In Monk's late career, a significant number of his sidemen were free jazz musicians. He hired drummer Ed Blackwell in 1969 and 1970,[60] who previously worked with Archie Shepp, Eric Dolphy, and was a member of Coleman's band in 1960–61 and 1968–72 (Kelley 2009, 408; T. Lord 2003). While playing with Blackwell and Wilbur Ware on bass, Pat Patrick was Monk's regular saxophonist from January–May 1970. Patrick was previously a member of the Sun Ra Arkestra and played in many genres including free jazz (Kelley 2009, 410). Blackwell was replaced by William "Beaver" Harris, who was known for his free playing with Shepp and Albert Ayler: "With Patrick and Harris, two emerging figures of the avant-garde, joining Monk's quartet, free-jazz devotees were abuzz with predictions that the High Priest might be moving in a radically different direction. Instead, it was Monk who influenced his two younger sidemen" (ibid., 410). Although Monk's musical conception did not change when he shared the stage with

musicians from the jazz avant-garde, the array of free jazz artists he employed suggests that he found common ground with their explorations of musical freedom.

Monk's Influence on the Jazz Avant-Garde

Musically, the jazz avant-garde aimed to canonize Monk. This is apparent as "the first wave of the avant-garde performed more tunes by Monk than by any other composer outside their immediate circle" (Kelley 1999, 142–43). He foreshadowed the developments of the 1960s as his music had a greater emphasis on dissonant chord voicings and provided an outlet for musical freedom (ibid., 149–50, 155). In Eric Porter's words, "Jazz served as a means of forging black identities and programmatic visions for the arts. It was commonly figured as the source of a core, African-based—and usually masculinist—black culture and spirituality that could withstand the ravages of Western material and epistemic bondage to serve as a nurturing life spring for black liberation" (2002, 194). Free jazz musicians built upon Monk's music, "reorienting sound and perception by breaking down the structures of established compositional forms and questioning familiar notions of harmony, rhythm, and tonality" (ibid., 196).

Kelley names Cecil Taylor as "the most direct descendent of Monk" who used Monk's tunes as a vehicle for developing his "constructivist principles" (1999, 152; 2009, 280); Lacy, Roswell Rudd, Eric Dolphy, Misha Mengelberg, and Andrew Hill are also cited as notable avant-garde musicians who expanded upon Monk's musical conception on a path toward greater freedom (1999, 152–63). Other examples include Coleman's praise for Monk in a number of interviews, as well as his piece "Monk and the Nun" recorded for *The Shape of Jazz to Come* in 1959. Similarly, Don Cherry recorded

"Beshma Swing" with John Coltrane in 1960 (Kelley 2009, 281; T. Lord 2003).

An interesting attribute of Monk's avant-gardism is his creation of a separate world for himself, and other avant-garde musicians of the 1960s. Solis reports that most musicians describe Monk's music in terms of a separate musical world:

> a spatial metaphor that describes Monk's music as its own world surfaced in some musicians' description of Monk's music [. . .]. This is of interest because it is not commonplace; it sets Monk apart from other musicians by virtue of having created more than an individual voice, rather having built a separate whole space for discourse. (2001, 73)[61]

Stephan Richter uses the analogy of architecture to depict how Monk's music builds a space for himself and others to dwell (1995, 259–65). Drawing from Martin Heidegger's philosophy "that what we build, how we dwell, is how we think and form a paradigm of our aesthetic views" (ibid., 259), the heart of Richter's thesis is that Monk's space facilitates musical and social freedom (ibid., 262, 264, 265).

Kelley also uses the metaphor of building to describe Monk's influence on avant-garde artists:

> In some ways, Monk can be seen as an architect who built a unique structure to house his music. The jazz avant-garde was interested in demolishing all houses, letting the music sprawl out into the expanse. Yet it was through his Old Monastery, if you will—equipped with so many windows and doors in unusual places—that this new generation of artists could *see* the expanse, could imagine the emancipation of the music from functional harmonies, standard song forms and time signatures, and Western notions of musicality. (Kelley 1999, 163, emphasis in original)

Monk is recognized in this context by his creation of a musical world rather than an individual autonomous space.

Monk's individualism is probably the most important characteristic that influenced the jazz avant-garde. Writers frequently refer to Monk's individuality[62]—the

terms “Monkish” and “Monkian” is a testament to his originality. Sales comments, “Charlie Rouse is adamant: ‘Monk, he never in his whole life copied anyone—ever. He always played just like himself.’ One hesitates to use an overworked word like ‘unique,’ but to whom would it apply more than Monk?” ([1960] 2001, 105). Even today, “his name is repeatedly invoked as a vague referent through which to confer some cultural or artistic authority, often with an implicit sense of shared counter-cultural hipness, or non-conformist individuality” (Solis 2001, 260). Paying heed to Monk’s words, the avant-garde could rely heavily on his doctrine:

> They were always telling me for years to play commercial, be commercial. I’m not commercial. I say, play your own way. Don’t play what the public want—you play what you want and let the public pick up on what you doing—even if it does take them fifteen, twenty years. (Sales [1960] 2001, 109)

As Monk carved out a musical space for himself, the avant-garde understood that recognition could be attained through an individual confidence without compromise.

Monk’s piano technique is one example of his musical individuality, and signals a change in music making that would have had an inspirational effect on the jazz avant-garde. Kelley’s article touches on this subject when Cecil Taylor defends Monk’s technique against the detractions of mainstream critics, who frequently measured Monk’s abilities against a Western music ideal (1999, 154).[63] His technique is one example of how his music is inseparable from his image; for this study, his technique is important because it reflects how the music is *played*.[64] His technique influenced the avant-garde twofold. First, by not changing his playing style in light of critics’ negative comments, his actions took on an image of nonconformity. Second, Monk proved that unorthodox

techniques could be used in jazz—experimentation with alternate or extended techniques are some of the most vital characteristics of the jazz avant-garde.

Mehegan writes that "Monk is the true virtuoso—he inflicts only *his* terms upon the piano; he has little regard, and rightfully so, for any terms the piano might possibly inflict upon him, this, despite the compelling fact that probably every other pianist in the world is destroyed by the very thought of such courage" (1963, 3, emphasis in original). Orrin Keepnews—ironically Monk's mainstream record producer from the 1950s—summarizes Monk's musical influence in an article published shortly after his death:

> He taught quite a few people, directly or indirectly, some very important lessons: to play the way you feel you have to, to be intolerant of musical (and other) conventions and dogma, not to compromise—admonitions that are, for most of us, impossible to follow completely. ([1982] 2001, 233–34)

Monk's technique is therefore integral to understanding his influence. The fact that Keepnews was part of the mainstream camp proves that Monk's influence on the avant-garde could not even be neglected by the mainstream.

Transition: Monk Becomes the Old-Guard

Perceptions of the avant-garde in jazz changed since the 1960s, relegating yesteryear's rebels to mere rule-breakers of tradition. Watrous writes about Monk twelve years after his death:

> The radical nature of the pianist's inventions aren't questioned anymore, but for a long time they were. Monk who would be celebrating his 75th birthday this Saturday, was called a fraud, and his personal eccentricities, along with his name—Thelonious Sphere Monk—were enough to suggest a lack of seriousness in an era when vanguard jazz was turning its back on entertainment and taking a public position of seriousness. (1992, 29)

In 1959, Monk took the "position as the jazz elder, a swinging conservative in an age of chaos and cacophony" (Kelley 2009, 280). As Morgenstern declared, Monk was "no longer a far out cat whom some worshipped and others laughed at, but an acknowledged genius of whom his people could now all be proud" (ibid., 280).[65]

Monk retained his avant-gardism in the 1960s. However, "[i]t's not as if Monk's music had changed or suddenly become old-fashioned; rather, the ground had shifted under his feet" (ibid., 280). That is, the terms of avant-gardism changed when free jazz was determined *more* avant-garde than its preceding styles. Free jazz, trivialized by mainstream critics soon after its inception, gave the label "avant-garde" a specific meaning of style and a unified political outlook on racism and economics in the jazz business. Musicians that did not adhere to the musical style and did not share similar political or economic convictions became previous rule-breakers of tradition. Thus when Monk told Gabriel Favoino "I don't think [Coleman's music is] going to revolutionize jazz," the interviewer concluded: "And so it is always. Today's trailblazers are tomorrow's conservatives" (ibid., 301).[66]

The press had similar conclusions through the 1960s and 1970s. Hodeir wrote that Monk was "tamed, classified," and belonging to the "Museum of Jazzmen" ([1962] 2001, 121). Monk had written few new compositions during the 1960s and iteratively engrained his early pieces to be classics of the jazz canon. And, the long-standing quartets with Rouse became less energetic throughout the decade (see appendix A). With nostalgia for Monk's early Riverside records, Martin Williams's review of *Underground* (released in

1968) considered that "the younger Monk survived his years of neglect (and even ridicule) somewhat better and more productively than he is surviving success" (1968, 29).

Despite a positive review of the music, Toronto fans were disappointed in June 1968 when Monk remained at the piano for his concert: "The only real eccentricity he allowed himself was a crashing elbow thrust as he closed the set" (Norris 1968, 32). After sharing the bill with Keith Jarrett and Oregon at the 1975 Newport Jazz Festival, John Wilson reviewed: "The combination of the three groups, with Mr. Monk, once considered a radical innovator, as the traditionalist centerpiece, was indicative of the broad musical range into which jazz has moved in the last 20 years" (1975b, 10).

The terms of avant-gardism changed during the 1960s and subsequently situated Monk as one of the "old-guard." With reference to avant-gardism as a general category of artistic expression, however, these two avant-gardes overlapped as aesthetic, economic and political convictions in jazz were negotiated. In the final chapter, I discuss how Rouse and Lacy represent these two avant-gardes. Rouse, having a parallel artistic vision to Monk, retained the Monkian aesthetic in its original post-bop style. Lacy, on the other hand, brought the aesthetic into the stylistic demands and cultural conditions of free jazz.

Summary

It is apparent that Monk represented both a symbol of resistance against the jazz avant-garde (for the mainstream), and a symbol of freedom for the jazz avant-garde's political ideals and musical development. Solis suggests that such interpretations supply a dialogue of texts on Monk, which have created a framework for making him a historical

figure (2001, 298). This chapter, however, has demonstrated that both interpretations rely on the avant-gardism of Monk's aesthetic and his performative spectacle.

Notes

[1] For example, Amiri Baraka's *Blues People* situates avant-garde jazz (Cecil Taylor and Ornette Coleman specifically) as an extension of an African American tradition ([1963] 2002, 224–27).
[2] See Peter Bürger's definition of the nonorganic work in appendix P.
[3] G. Simon ([1948] 2001, 54–55). For more on this topic, see the section titled "Monk's Image as a Bebop Musician" in appendix A.
[4] Comparisons between Monk and Picasso are numerous. For example, see Blancq (1983, 19), L. Gordon and Singer (1947, 1), Lyttelton (1961a, 7), McNamara (1964), and Stroff (1982). These may have been inspired by Monk's words that finish Peck's 1948 article. When Monk was asked if "bebop would catch on," he replied, "[i]t has to. [. . .] It's the modern music of today. It makes other musicians think—just like Picasso. It has to catch on" (Peck [1948] 2001, 49).
[5] Performances by other jazz musicians may also exhibit metrical conflict as a result of labour division within the ensemble. My point is that Monk's music overtly represents this characteristic, that it pervades his performances, and that it contributes to the avant-gardism of the whole aesthetic.
[6] See the discussion on "Bag's Groove" from 1954 in chapter 1.
[7] See the introduction of this dissertation.
[8] Cited by Kelley (2009, 547n170) as: Patrick Scott, "Thelonious, Musak [*sic*] or Pumpkins?" *Toronto Globe and Mail*, November 1, 1966; Warren Gerard, "The Monk: 'Everybody's Different, Man!'," *Toronto Globe and Mail*, November 5, 1966.
[9] To admit, this rendition of Monk's dance is in opposition to another comment by Rouse: "Because of his dancing around the piano etc. he was often considered an eccentric character, but it all had a meaning. It wasn't a stage presentation, it was how he felt at that moment. He would never do it if the situation didn't lend itself for him. When he danced, it meant the thing was swinging, and it made him do that. It was never a 'routine' where someone said, 'Keep that in, it looks good.' It was spontaneous, he often didn't do it" (Danson 1982b, 7–8). I believe, however, that Rouse was defending Monk's image against negative connotations of his eccentricity.
[10] Both quotes printed here appear in Lyttelton's original article (1961b, 5). In a review of *The Thelonious Monk Orchestra at Town Hall* (RLP300), McNamara similarly comments about the "fatuous nonsense that usually surrounds a 'jazz hero,' who can do no wrong, even musically, as far as his public is concerned" (1959, 35).
[11] See Zwerin (1988, times 17:24–18:05, 18:37–18:39, 31:05–31:35, and 51:51–52:31). Much of the footage was from six months between 1967–68 while on tour in Europe ("Thelonious Monk: Straight, No Chaser" 1988, 1).
[12] These venues were notable breeding grounds for avant-garde art in the beginning of the twentieth century. See Gendron (2002, 29–56), and Hopkins (2004, 4–8, 31–32).
[13] Abstract expressionists Herman Cherry and David Smith were among the first artists who frequented the bar. When word spread, regular patrons included "Willem de Kooning, Franz Kline, Joan Mitchell, Alfred Leslie, Larry Rivers, Grace Hartigan, Jack

Tworkov, Mike Goldberg, Roy Newell, Howard Kanovitz, and writers Jack Kerouac, Ted Joans, Gregory Corso, Allen Ginsberg, Frank O'Hara," as well as Amiri Baraka (Kelley 2009, 227). Lacy reports that these artists started going to the club before he played there with Taylor: "There was de Kooning, Franz Kline, Herman Cherry, David Smith, and [Jackson] Pollock. All the painters went to the Cedar Bar. To the Club as well, where they gathered once a week to discuss painting with a lot of passion. Franz Kline loved jazz, de Kooning as well. For Monk, they were there every night" (Kirili [1996] 2006, 160).

[14] Kelley quotes a letter from Joe Paz to Teo Macero, April 14, 1964 (2009, 541n100).

[15] This quote is from Ware's interview for the Jazz Oral History Project, December 18, 1977 (Kelley 2009, 512n67).

[16] The article is cited by Kelley (2009, 547n171) as: Charles Gerein, "The Monk-Like Mr. Monk," *Toronto Daily Star*, November 5, 1966.

[17] Monson borrows the term "anti-assimilationist" from Baraka ([1963] 2002, 181).

[18] Along with citations provided in chapter 1 and appendix A, Bill Gottlieb's article "Thelonious Monk—Genius of Bop" ([1947] 2001), and Gourse's biography *Straight, no Chaser: The Life and Genius of Thelonious Monk* (1997), exemplify how the designation of "genius" has come to be associated with Monk's name.

[19] For example, see Farrell ([1964] 2001, 160–61), Peck ([1948] 2001, 43–44), and Zwerin (1988).

[20] The article is cited by Kelley (2009, 528n50) as: Arrigo Polillo, "Thelonious e Bud Insieme," *Musica Jazz* 17 (June 1961), 12.

[21] See appendix C.

[22] Douglas Daniels translates a number of statements commonly spoken by saxophonist Lester Young, one of which being "I feel a draft" with a literal meaning of "I detect racism in our midst" (1985, 324). Considering Monk's subculture and its customs of speech, he was definitely aware of being subjected to the systemic racism in jazz writing at the time.

[23] This refers to the time of racial segregation in the Southern states during times of slavery and its following period of the Jim Crow regime, when "men under the age of gray hair were, if their name was unknown, routinely addressed as 'boy.' Older men were 'uncle'" (Packard 2002, 169).

[24] Solis comments on how the African American male was not considered a man in a social and cultural context of the South by referring to Toni Morrison's novel *The Bluest Eye* and Ralph Ellison's *Invisible Man* (2001, 71; 2008, 55)

[25] For more on masculinity in bop, see Eric Porter (2002, 79–83, 92–93).

[26] To be clear, Martin Williams uses an interview with Lacy for the majority of the writing in these liner notes. From the original text, Lacy says, "[Ben Webster's] masculinity and authority can only be matched in jazz by that of Thelonious Monk" (Hentoff and Williams [1959] 2006, 15).

[27] That is, my argument here is not in support McClary's proposal that the musical avant-garde is an institution of masculine hegemony (1989).

[28] Drawing on the work by McClary, Kelley makes a similar argument in his discussion of the gendered representation of Monk (1999, 140).
[29] Gender representation in instrumental music, however, is contested by other scholars. Hilary Putnam refers to such McClarian approaches as "magical theories of reference" (1981, 3). The topic is too large given the constraints of this study. For a further discussion on McClary's ideas of representation of music, and how they are problematized, see Addis (1989; 1999, 17–18, 33–44) and Kivy (2001, 176–78).
[30] Gennari's citation (2006, 422n5) is to Kofsky (1970, 14). Kofsky's ideas resonate through his book (1970), which was expanded in two editions (1998a, 1998b).
[31] The article is cited by Kelley (2009, 527n17) as: Gabriel Favoino, "The Jazz Beat—T. Monk, Architect," *Chicago Sun-Times*, March 18, 1961. Also see Gourse (1997, 175).
[32] Kelley (1999, 141–42). Kelley's biography of Monk states, "[h]e railed against Ornette Coleman and the avant-garde for creating music that is 'illogical' and 'incoherent,'" and lamented that Rollins—one of his favourite saxophonists—was becoming too free with his music in 1963 (Kelley 2009, 334–35). Monk apparently did not have any reservations discrediting free jazz. The opera singer Delores Wilson spoke of her dislike of avant-garde music in the Western tradition, saying, "[i]f I have to go and sit and listen to a symphony that is clanging, you know, cling, clang, you know, and horn, I can just open my window and listen to the traffic that's going on downstairs. There's no music in it, there's not expression in its soul." Monk responded: "I agree with you wholeheartedly because in jazz they're doing the same things, what they call avant garde [*sic*], they do anything, make any kind of noise. A lot of young musicians are doing that" ("Encounter" 1966).
[33] See Gourse (1997, 220), and Monson (1999, 188). Kelley comments on Barry Farrell's 1964 article for *Time*: "Farrell felt betrayed by the strident racial politics of Max Roach's *Freedom Now Suite* or the 'angry' sounds of the 'New Thing' [the jazz avant-garde]. Monk, much to Farrell's relief, was above the fray" (2009, 354).
[34] Zwerin (1988).
[35] The connection between Monk and Ellington was not a stretch: along with Monk's album of Ellington tunes from the 1950s, the two musicians performed together at the Newport Jazz Festival in July 1962, which included Billy Strayhorn's arrangement of "Monk's Dream" and a newly composed piece titled ""Frère Monk" (Kelley 2009, 321–22). Monk's reputation in trajectory from Ellington continued. By 1964, they were two of only four jazz musicians to be on the cover of *Time* magazine (with Louis Armstrong in 1949, Dave Brubeck in 1954 and Ellington in 1956) (van der Bliek 2001, 149). Furthermore, Williams writes of these musicians (along with "Jelly Roll" Morton and Sonny Rollins) as deserving the designation of "jazz composer" (1975).
[36] Hentoff ([1961] 1975, 188); also printed in Kelley (2009, 182).
[37] Originally printed in *Jazz Review* in November 1958, this was reprinted in the liner notes for *Misterioso* (O. Keepnews 1989).
[38] The quote is from the Columbia Records press release for the album (Kelley 2009, 549n77).

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[39] See Kelley (2009, 167–69, 289–90, 293, 319, 321, 323–24, 329, 330–31, 336, 347, 423).
[40] The concert was held at the Village Gate; Kelley comments, "[i]t is fitting that on the heels of the NALC gala, Monk would begin a month-long engagement at the Village Gate—that den of radical culture and politics" (2009, 319).
[41] Alice Wright, the organizer of the SNCC event, claims that Monk was pleased to be of service; Monk also joined the "Friends of SNCC's Sponsoring Artists' Committee" in 1963 (Kelley 2009, 330–31).
[42] Most of the time, according to union rules, musicians were required to be paid for benefit concerts. Monk's entire band was granted permission to volunteer for these, at least for the U.N. Correspondents Association dinner (Kelley 2009, 526). Confirmed in "Executive Board Minutes" (1961, 7).
[43] During the 1960s, Monk played in a concert for the US National Student Association, in which the "proceeds went to the Southern Student Freedom Fund, a fund created to assist student activists who had been expelled from school or jailed for participating in desegregation campaigns and voter registration drives" (Kelley 2009, 324). Another concert for the Jazz Arts Society, which provided "education to urban youth as a way to 'combat juvenile delinquency,'" raised money for a jazz scholarship program (ibid., 321). Woodsmen Enterprises, an African American non-profit organization, recruited Monk for a concert to help fund a renovation of the Bedford YMCA in Brooklyn (a community centre for local youth, many of whom were African American) (ibid., 294). Reverend Eugene Callender of the Presbyterian Church, who was involved in the Harlem Neighborhood Association and the Harlem Youth Opportunities Unlimited (HARYOU) and the local community centre, used Monk for his jazz workshop series that aimed to reach a younger generation (ibid., 336). At the temporal bookends of these performances, he played in support of Paul Robeson in the 1950s—an African American political activist, and noted singer and actor—as well as the "tribute to the 'Music of Negro Composers'" presented by the Music Division of the New York Council of the Arts, Sciences, and Professions in the 1950s; he performed for *Soul!*, a posthumous concert in celebration of Malcolm X's birthday in 1970 (ibid., 167–69, 423).
[44] Lapham reprinted this quote in 1964, reinforcing the mainstream's construction of Monk's colourblind image (1964, 73).
[45] The article is cited by Kelley (2009, 467n77, 535n60) as: François Postif, "'Round 'Bout Sphere," *Jazz Hot* 186 (April 1963), 25, 29 and 41.
[46] In a keynote address titled "Citizen Monk: Stories of Civic Engagement and Visionary Politics," Kelley emphasized that Monk thought, and was speaking to Wilmer, in terms of his vocation. This address was given on September 11, 2009 at the Guelph Jazz Festival Colloquium, Guelph, Ontario. Kelley's transcription of the interview with Wilmer is clearer (and assumingly more accurate) than her publication. When asked about politics, Monk's response was: "You worry about the politics. Let the statesmen do that. That's their job. They get paid for it. So if you want to be a politician, you be one. Stop taking pictures. Be a politician" (Kelley 2009, 373). Compare the last three sentences with Wilmer's writing: "If you're worried about it, stop doing what you're doing!" (1965, 22).

[47] See Monson (2000; 2007, 133–51), and Eric Porter (2002, 78–79). For information on Monk and Blakey, see Kelley (2009, 92–93).
[48] Eric Porter explains that *We Insist!* draws on political themes of African American slavery, the contemporary freedom struggle, and an affinity with Africa. It was "perhaps the strongest political statement made by jazz musicians at the turn of the decade" (E. Porter 2002, 167). Similarly, the compositions in *Straight Ahead* "explore the African American cultural past, invoke an imagined Edenlike Africa, and affirm black womanhood" (ibid., 171).
[49] See "Racial Prejudice in Jazz: Part I" (1962) and "Racial Prejudice in Jazz: Part II" (1962). Gitler's review is reprinted before the first article (Gitler 1962, 21).
[50] Eric Porter writes: "Lincoln pays homage to Monk, here casting him as an iconic bluesman and consummate jazz instrumentalist. Using the term "Monkery" to describe Monk's unique personality and wisdom transformed into art, she portrays the pianist and composer as a man who has experienced hardship yet perseveres through his music" (2002, 171). Also see (Kelley 2009, 299–300).
[51] See Kelley (2009, 289–90), Goddet (1978, 6–8), and Jenkins and Weston (2010, 60–62).
[52] Monson also uses this comment in support of her argument that Monk had a political opinion on the side of the civil rights movement (1999, 197).
[53] Lewis (1996, 111). George Lewis, a member of the AACM, has published a large body of work on the AACM. For more on the organization, see Lewis (2004a; 2004b; [2008] 2009).
[54] Although others may be included, I am specifically referring to drummers Art Blakey, Max Roach and Roy Haynes, and bassist's Ahmed Abdul-Malik, Wilbur Ware, Percy Heath and Oscar Pettiford (T. Lord 2003; Sheridan 2001). Their appearances on free jazz albums are as per T. Lord (2003); I mention Blakey and Roach's political convictions that are associated with the jazz avant-garde throughout this chapter.
[55] Whitney Balliett's review reads: "A vest-pocket history of most of the radical changes in jazz improvisation during the past couple of decades was offered by Coleman, Taylor, Monk, Coltrane, and Basie, who, heard almost side by side, unintentionally and stunningly pointed up the startling differences in their styles" (1959b, 151). John Wilson contrasts Coleman—"a newly hailed jazz radical from California"—with Monk: "Mr. Monk, who is normally the 'far out' element on any program on which he appears, found himself in the unusual position of being a definite conservative on a bill that included Mr. Coleman and Cecil Taylor" (1959, 26).
[56] This concert at the Cobo Arena in Detroit was held on a day between February 14 and 18, 1966 (Sheridan 2001, 427; Thomas 1975, 206).
[57] "Jazz in January—a Mid-Winter Jazz Festival" was a festival on January 22, 1967. Coltrane, despite his full immersion in free jazz, played "in a more traditional vein" when playing with Monk (Kelley 2009, 385). (Date of concert confirmed in Sheridan [2001, 433].)
[58] Kelley (2009, 282); Motian ([1988] 2006, 14:37–14:58); Sheridan (2001, 388). John McLellan from the *Boston Traveler* reported that "newcomers in the [Monk] quartet are

bassist Scott LaFaro and drummer Pete Modrian" (1960, 40); Kelly writes that McLellan "mistakenly identified Paul Motian as 'Pete Modrian'" (2009, 323n23). Motian also reports having sat in with Monk in the winter of 1957 or 1958 at the Open Door (Motian [1988] 2006, 12:30–14:42); the details, however, are unclear and are difficult to track because the club did not offer jazz after 1954 ("Nightclubs: United States of America" 2012).

[59] Moore was a member of Bill Dixon and Archie Shepp's quartet in 1963, the New York Contemporary Five, and the Lacy-Rudd quartet (Kelley 2009, 360).

[60] Blackwell was hired for a concert in June 1969 and seven dates at the Village Vanguard in January 1970 (Sheridan 2001, 446, 450).

[61] Other references to Monk's musical world are found throughout Solis's dissertation (2001, 16, 21, 72, 73).

[62] Cf., Gourse (1997, 29–30, 66, 191, 257), Solis (2001, 260), and Williams ([1970] 1983, 154).

[63] Early criticism (until approximately 1957) generally dismisses Monk's abilities at the piano in favour of a piano style characterized by a softer touch and rhythmically dense "fast" runs—a standard represented by the pianist Bud Powell (Seig 2002). Between the years of 1957 and 1964, critics were split between those who credit and discredit Monk's technique. After 1964, negative comments about his technique are rarely heard—critics and musicians either cite examples of his conventional virtuosity, or take the stance that creativity, expressiveness, or musicality transcends the question of technique (Feurzeig 1997, 52).

[64] Chapter 1 summarizes Monk's musical attributes with reference to how the music is critiqued and analyzed, which is a reflection of his individual technique; however, the topic of technique plays a large role in Monk's musical process. Technique is therefore discussed in this chapter with reference to its significance to other musicians, rather than a sonic signifier in chapter 1.

[65] The article is cited by Kelley (2009, 523n9) as: Morgenstern, Newport '59, 2. I have been unable to locate the specific reference; I speculate that this citation should reference "Newport '59," *Jazz Journal* 12 (August 1959): 4.

[66] The article is cited by Kelley (2009, 527n17) as: Gabriel Favoino, "The Jazz Beat—T. Monk, Architect," *Chicago Sun-Times*, March 18, 1961.

Chapter 6: The Avant-Gardism of Charlie Rouse and Steve Lacy

Monk's music lends itself to diverging interpretations: orthodox interpretations remain close to his original conception, and heterodox interpretations experiment with the building blocks of his musical lexicon. Representatives of these two interpretations are Charlie Rouse and Steve Lacy respectively. Rouse's music was destined to follow Monk's conception closely—playing in a successful band, and experimenting with the Monkian aesthetic provided Rouse with stable work, prominence in the jazz community, and the ability to develop his own voice within a style that was different from most of his contemporaries. Alternatively, Lacy's interpretations of Monk's music took a trajectory towards the principle of freedom inherent in free jazz practices. Both saxophonists shared the same point of departure—the avant-gardism of the Monkian aesthetic. Due to their contrasting jazz styles and different social environments, Rouse and Lacy demonstrate a change in the notion of the avant-garde in jazz.

Rouse's Alignment with Monk

Rouse's work with The Jazz Modes displays his musical avant-gardism before he began playing with Monk.[1] It was a direct trajectory away from his early work with big bands, as a rhythm-and-blues player, and his first recordings in the late 1940s and 1950s. Later in 1960, Rouse said, "[b]ig bands are like school, and I prefer the freedom of small groups" (Morgenstern 1960b, 21). The experimental and unconventional sound of The Jazz Modes was not economically viable; after working as a sideman for various bop musicians, he aligned himself with Monk and stayed loyal to his avant-gardism for over a

decade. As noted in his biography, Rouse was committed to the quartet from 1958–60 when Monk's work was limited due to the loss of his cabaret card (see appendix A and B). Rouse later stated, "the powers that be wouldn't let Thelonious work, at the time when his talent was at its peak. [. . .] And after a point they just couldn't keep Monk back; if something is right you can't stop it" (Danson 1982b, 6).

His dedication was to his benefit, and the rise of Monk's fame through the 1960s could explain Rouse's disinterest in any economic or political concerns in jazz. Rouse experienced bouts of racism and economic hardships in his early career; like Monk, the financial success of the quartet in the 1960s distanced him from economic struggles common for African American musicians of the time. Just as Monk was perceived as an apolitical artist, Rouse would also maintain that the "ugliness" of politics should be kept separate from the music (see appendix B).

Rouse's interpretations of Monk's music continued his avant-gardism in the post-bop style that it was created. Rouse comments that the music was changing how jazz was played, but believes it was growing out of, and extending upon the idiom of bop (ibid.). Playing in the post-bop style, however, did not confine him to a fixed collection of musical material, but opened the door for innovation within Monk's musical parameters. Grover Sales comments that the music lacks bop's regular stock phrases, and that "Rouse is one of the handful of 'horn players' capable of working with Monk, since he has mastered the imposing repertoire of intricate and cliché-free compositions" ([1960] 2001, 103). Akin to Monk's music, Rouse's improvisations are significantly different than those of conventional bop musicians. As reported in chapter 3, he would experiment with

the music to be as free as possible from the chords. He would pay attention to his "mistakes," and work with them in his solos to develop new strategies for improvisation. In turn, he developed a Monkian sound by playing in the avant-gardist world that Monk created.

Rouse played in a style that upheld Monk's musical vision. His playing complements the music in a move away from the strict bop style—Leslie Gourse says that he is "an instinctive team player," and "a consummate, perfect sideman for Monk, a virtual rudder for Monk at times" (1997, 149). In Rouse's eulogy, Peter Watrous comments on the interaction between the two:

> Together [. . .] they developed a sophisticated interplay, where Mr. Monk would interject ideas into Mr. Rouse's spare lines. Mr. Rouse's solos would become duets and the two would carry on extended musical conversations, with Mr. Monk's brittle, prolix improvisations contrasting perfectly with Mr. Rouse's compassionate, emotionally sympathetic playing. (1988b, 16)

Jef Langford frequently refers to how Rouse's playing satisfied Monk, and how his solos encompassed the Monkian aesthetic. In his first essay, Langford writes: "The Monk/Rouse band became a tightly locked musical unit, although jagged edges could still dig in occasionally and produce solos which pointed to where Monk's compositions have always been" (1970, 2). A year later he reiterated that "Rouse blew chorus after chorus of Monkish tenor night after night," and "he has learnt a thorough lesson in his time with Monk, developing the music as far as is possible on a tenor saxophone" (1971a, 7).[2]

The analyses in chapter 3 exemplify Rouse's performance of the Monkian aesthetic's avant-gardism. "Evidence" placed heavy demands on him for his improvisation. As the first soloist off the gate with a rhythm section out of sync—due to

the disjointed rhythms of the head—Rouse negotiated the metric discrepancies with displaced rhythms that contributed to the shifting metres. In addition, his rough timbres, and thematic fragments juxtaposed with blues motives, bop lines, short intervallic ideas, and long rests, all conveyed the Monkian flavour of dissonance and economy.

Rouse's seven-chorus improvisation on "Rhythm-A-Ning" displays the Monkian aesthetic in a highly interactive process (see chapter 3). His rhythmically displaced lines at the beginning of the solo are followed by an economical reworking of a basic blues idea. When Monk strolls, Rouse is freed from the harmonic rhythm and performs displaced bop lines amongst what André Hodeir would call "those pregnant silences" (see chapter 5)—a fine example of asymmetry and space. The subsequent cycle of fifths through the A sections alter the conventional chord progression with the complex and rapid succession of tonal centres. Rouse's economical use of whole-tone ideas to finish the solo clearly exhibits dissonance and rhythmic irregularity as his lines weave in and out of the theme. With "Evidence" and "Rhythm-A-Ning" as examples, Rouse has proven to elucidate the avant-gardism of the Monkian aesthetic.

In the 1980s, Sphere continued this Monkian avant-gardism, albeit in an orthodox manner. "Sphere's versions of the tunes are intended to 'state them exactly the way Monk wanted them stated, then interpret them our own way,' according to Rouse" (Pareles 1982b, 12). In another interview, Rouse says that most musicians do not understand how to interpret the music "correctly" (Franklin 1987, 10), and when discussing the formation of Sphere, he states:

> They knew that I was so involved in Thelonious's music that I wanted to play his music—but correctly. A lot of people don't get the essence of Thelonious's music

> because they start right from jump expressing it their way. And his music is so personal. If they start off expressing it their way before they state his idea, then it loses all its character, the tune is just like nothing. [. . .] Learn his compositions the way he intended them to go, play the correct chords, then you can take it wherever you want to, and come back to where the melody is supposed to be. [. . .] It's not a matter of emulating him, but his compositions are so strong and so valuable. (Danson 1982b, 8)[3]

Dressed in tuxedos, their stage presence and belief in playing "creative black American music" (Pareles 1982b, 12) continued the legacy of Monk with African American pride: a legacy that was won by Monk's avant-garde challenge to the status quo. Furthermore, Sphere's music was not watered down for mass market appeal: by renewing the Monkian aesthetic—however orthodox or "old-guard" it had become—their performances experimented with Monk's language and captured the element of surprise, an expectation of Monk's shocking sound.[4]

In addition to Sphere's music, Rouse's artistic trajectory with Mal Waldron demonstrates an avant-garde disposition when compared to an emerging neoclassicism of the 1980s. This movement, culminating in institutions such as Jazz at Lincoln Center (which has taken the brunt of criticism), inscribes jazz as "America's classical music" by promoting a standard repertoire at the expense of jazz styles after ca. 1960—the musicians generally neglect free jazz repertoire and improvisatory practices.[5] Rouse, conversely, said he was "seeking new avenues within the realm of improvisation" when performing music based on free improvisatory practices with Waldron (Sneed 1982, 1).[6]

Rouse may have been close to the centre-line between the mainstream and the avant-garde in jazz. Playing in the post-bop style, and having minimal (if any) involvement in politics situates him as a mainstream musician compared to the jazz

avant-garde of the 1960s. Accepting that the Monkian aesthetic is avant-garde, however, Rouse's playing with Monk historically classifies him as part of the avant-garde in jazz. Moreover, by performing the Monkian aesthetic with Sphere, and exploring improvisatory practices similar to free jazz with Mal Waldron, Rouse maintained a separation from neoclassicism and therefore represents a species of the avant-garde in jazz.

Lacy and Rudd: 1950s and 1960s Avant-Gardism

Lacy's work with Cecil Taylor in the early 1950s is retrospectively considered avant-garde. Mark Gilbert writes, "[i]n a sense, Steve Lacy had it made from the beginning. His route was so individual that he was bound to attract the kind of attention the avant-garde world of the fifties was only too ready to lavish on mavericks" (1986, 29). Robin Kelley states, "Taylor's music touched a nerve. It was abstract expressionism in sound" (2009, 228). Their music at the Five Spot from 1956–57 "was dense, complex, dissonant, and thoroughly avant-garde. Three years before Ornette Coleman opened at the Five Spot and shook up the jazz world with his free improvisations, Cecil Taylor introduced the 'New Thing' to an appreciative audience" (ibid.).[7] By Lacy's account,

> [p]laying with Cecil Taylor immediately put me into the offensive mode. This was the *avant-tout garde*; we were an attack quartet, (sometimes quintet or trio), playing original, dangerously threatening music that most people (musicians, organizers, club-owners, and critics) were offended by, doing everything they could to hold us back and prevent us from getting work. In the six years I worked with Cecil Taylor (1953–59), I received an excellent education, not only in jazz, but also in politics and strategy. (Lacy [1994] 2005, 206, emphasis in original)

His comment on "politics and strategy" relates to the economics of jazz, and problems of race that influenced, and sometimes determined, the right to work.[8] An understanding of economic racism in the jazz business, and his personal anti-racist viewpoint would continue through Lacy's career.

The critics, however, did not disparage Lacy for playing with Taylor. Lacy was previously associated with the conservative traditionalists of the New Orleans revival; in turn, he would be seen as having "paid his dues." He was also performing with Gil Evans (who had helped shape the sound of cool jazz), and a range of blues, mainstream, and progressive musicians like Wynton Kelly, Jimmy Giuffre, and Mal Waldron. After his work with Monk in 1960, Ira Gitler writes, "[a]lthough he won't be 27 until July 23, Lacy's dossier reads like a condensed survey of jazz evolution" (1961, 15). In hindsight, however, one may agree with Derek Ansell when he writes: "After starting out as a Dixieland player and dabbling with swing era music, Lacy moved into the avant-garde of the day playing in the bands of Cecil Taylor and Thelonious Monk" (2011, 28). As much as critics construed Lacy to be a traditional musician in the early 1960s, it was Taylor and Monk who sent him into the jazz avant-garde.

Lacy began playing free jazz in 1959 with Don Cherry—the trumpeter in Ornette Coleman's band. Lacy commented on his work with Cherry: "To me, he was the vanguard of the vanguard—the freest edge of the free thing they had going then. We got to be fast friends and sort of brothers, and we spent a lot of time playing together in my house in New York" (Case [1979] 2006, 87). Cherry talked about his time with Lacy to Ben Sidran:

> Ben: You also mentioned John Coltrane coming by the Five Spot and I know that Ornette and the scene you were on in New York had a real impact on his playing in the late '50s and early '60s.
>
> Don: Well yes, and I remember that when I first came to New York, I stayed with Steve Lacy. [. . .] And he only played soprano saxophone. He just mastered the soprano saxophone. And we went on the road [with Ornette] for a while and came to Chicago to play. (Sidran [1992] 1995, 412)[9]

Coleman also influenced Lacy by 1959. He claims that, "Ornette Coleman is the only young saxophone player who seems to be trying for a conversational style of playing and is the only one I have heard who is exploring the potentialities of real human expression, something which has a tremendous impact on me" (Hentoff and Williams [1959] 2006, 15). In 1987, Lacy included Coleman among the forerunning artists of the avant-garde that influenced his view on art:

> Certain people proved to me that anything can be done: [Paul] Klee, [Duke] Ellington, [Marcel] Duchamp, Ornette Coleman was very important, too. He said if you had a certain amount of space, and something to play, and you wanted to fit that thing in that space, just go ahead and put it in that space; don't worry about bar lines and chord changes and all that. That was a great discovery for us younger players. (Whitehead 1987, 26)[10]

Lacy became integrated into the jazz avant-garde scene in the 1960s when performing with Roswell Rudd, Carla Bley, Milford Graves, Bill Dixon, and Archie Shepp. Dixon, Taylor, Shepp and Lacy are four notable musicians that spurred a series of concerts in 1964 called the "October Revolution in Jazz." The collective of free jazz musicians was an interracial group based in New York who confronted economic problems of the music that, at least in part, were related to racism in the jazz business (Anderson 2007, 122–24). Rudd was also included; he explains, "I'll never forget that experience. I think it was in the spring of '64, that Cecil and Bill Dixon said we should

try to get a group of us together so we can get a grant and perform our music. [. . .] but we never got to that point. [. . .] We had Sun Ra, Cecil Taylor, Carla Bley, Archie Shepp, Burton Greene. [. . .] Paul Bley, Michael Mantler, John Tchicai—everyone was an iconoclast" (Dupont 1992b, 11).

The Jazz Composers Guild that was formed after the "October Revolution" included Lacy, who would be featured at their concert series and weekend performances at a loft above the Village Vanguard (ibid.). The experimental music of the time was radical. After playing compositions by Carla Bley, Lacy comments: "Anybody's willing to try anything you ask them to if they trust you to a reasonable degree—even if they don't trust you—because the experimental days are with us. Cats are willing to freak off in public, and own up to it afterwards" (Caylor [1965] 2006, 26).

Lacy continued talking about the Guild in 1965, believing that "[i]t's very dangerous right now, musically: the music is *precarious*. It seems that way to me, like the music I took part in this last weekend [with Bley]—I dug it, but it made me feel a sense of danger. [. . .] There's a lot of daring involved in the music now. Anything goes, but your own integrity tells you that everything doesn't 'go.' So it's a very delicate situation" (ibid., 27, emphasis in original). Lacy's efforts with the "October Revolution" and the Guild were not financially successful, and with his trust in progressive music, he moved to Europe. His performances with Cherry and Bley continued when he left America to become established as an avant-gardist overseas.

Lacy's avant-gardism is apparent in his 1961 recording of "Evidence" with Cherry (see appendix C and chapter 4). As in many free jazz groups, a comping

instrument is not present, thus freeing the improvisers from harmonic constraints at the micro level. Lacy's playing is chromatic and includes references to Monk's comping strategies. The Monkian aesthetic abounds with Lacy's minimalist economy, harmonic ambiguity and dissonance, rhythmic displacements and metric shifts. This interpretation of "Evidence" is a distinct turning point in the performance of Monk's music: Lacy was one of few musicians who played with Monk and recorded his tunes in a free jazz style.[11] When stylistic change defined jazz in the early 1960s, Lacy brought the music into the new definition of "avant-garde."

Rudd was also an integral member of the jazz avant-garde, and he was not immune to the typical criticism of free jazz. Bret Primack reports, "Rudd played in groups with Steve Lacy, Milford Graves and Archie Shepp. Some called their music avant garde [*sic*]. Others said it was angry noise" (Primack 1978, 24). Following his work with Taylor, Rudd partook in the "October Revolution," the Jazz Composers Guild, its later associated "all star" band called the Jazz Composers Orchestra, and the Jazz Composers' Association. Under the auspice of the Guild and its connected groups, he recorded albums of his own, and with Carla Bley throughout the 1960s (Dupont 1992b, 15–16; Primack 1978, 61).

One group that Rudd performed with regularly in the 1960s was the New York Art Quartet. By Rudd's account, it "was a co-operative and fared as a co-operative, tossed about on the seas of cultural and socio-economic chaos" (Danson 1982a, 6). The group formed ca. 1963 when Rudd joined Graves (drums), John Tchicai (saxophone), and Lewis Worrell (bass) to "improvise collectively for hours on end" (Dupont 1992b, 12).

Rudd states, "[t]he playing with John and I both liked was the collective improv. I didn't really hear that much freedom in bebop to tell you the truth" (ibid.). Amiri Baraka would occasionally recite poetry at their performances, and Rudd comments, "[he] was definitely part of what was happening. What Amiri is saying in *Black Dada Nihilismus* to a certain extent is happening in our music" (Danson 1982a, 7).[12]

Rudd also performed and recorded with Archie Shepp's group from 1961–68. He appeared on *Four for Trane*—Shepp's first album for Impulse! records in 1964—and contributed arrangements for the album's tracks "Naima" and "Cousin Mary" (Dupont 1992b, 15; T. Lord 2003).[13] Rudd, however, expressed his dislike for the term "avant-garde" in 2004. Mark Miller writes: "'Call me fun,' the New York trombonist wrote recently, after The Village Voice used the dreaded a-word. 'Call me Dixieland; call me innovative; call me lyrical; call me for the gig; call me an improviser, because after all, I am a jazz musician. But don't call me late for dinner, and certainly not avant-garde!'" (Miller 2004, 3). Rudd agreed that the term aptly described the music of the 1960s, and its sociopolitical climate of "upheaval," "mendacity," and "complacency." He says, "[t]he music was heavy, heavy, heavy on content [. . .] and maybe the eloquence suffered as a result. But that's just how it had to be, because at the time everything was so overwhelming" (ibid.). However, he questions the relevance of "avant-garde" beyond those years: "the term was only good for its time. I did a little reading about it and it's part of French cultural history in the 19th century, you know? I don't know how fairly it applies out of its context now. I still see it being used, but I think it really puts people

off—it turns most people away" (ibid.). For Rudd, therefore, the avant-garde (in jazz) was only applicable when free jazz reflected the social turmoil of the 1960s.

Lacy and Rudd developed a free jazz approach to Monk's music while working within the 1960s jazz avant-garde. As Lacy stated, "[e]verybody was playing the same structures, the same tunes, the same tempos, the same choruses almost. We were in rebellion against that. We were looking for something more free than that" (Woodard 1987, 5). That freedom was found in their exploration of the Monkian aesthetic, or as they describe it, investigations into Monk's language (see appendix C and chapter 4). Lacy explains in 1963: "we're at a point where our flexibility is at least equal to that of any of the so-called free players. However, our freedom has been won through a long—and, some people would say, arbitrary—discipline" ("The Land of Monk" [1963] 2006, 22). He talks about their work as "a way of going through something to get to something else" (Palmer 1977a, 8); and, "[w]hen you get through to the other side [. . .] there's a new language, derived from the vocabulary of the material we've been playing" ("The Land of Monk" [1963] 2006, 21). The attributes of their free jazz style—harmolodics, dynamic variation, extended instrumental techniques, a focus on group interaction, and a break from traditional jazz rhythm—are integrated with their language derived from the avant-gardism of Monk's aesthetic: "Pannonica" from chapter 4 includes a deconstruction of the original, rhythmic displacement, principles of economy, use of thematic material, and a display of experimentation.

Lacy, Rudd, and Race in the Jazz Avant-Garde

Many members of the jazz avant-garde claimed the music to be a stance against racism. A complication thus arises when conducting a critical analysis of Lacy and Rudd. They are two white musicians who played with the most vocal supporters of black rights, and performed Monk's music—an iconic symbol of African American achievement. The problem of white musicians appropriating black music has been a point of contention in jazz since its inception and is conceivably mapped onto all inter-racial contexts. In what follows, I first discuss race as a central concern for the jazz avant-garde. Lacy and Rudd are then situated as supporters of anti-racism through their comments on politics of the 1960s, their identity as American jazz musicians, and their performances based on George Lewis's concept of "Afrological" modes of music making. (I later discuss this concept in further detail.) I am not excusing Lacy and Rudd from the subject of race; rather, I consider them to be white musicians in congruence with their community of African American artists openly fighting for artistic recognition, access to economic reward, and social freedom as human beings.

In jazz literature from the 1950s, mainstream critics used the term modernism to designate any music that was "modern" (in a literal sense), in part to legitimize jazz as an art form, but also to utilize modernism's distinction between art and life to disconnect jazz from its social underpinnings (Anderson 2007, 55; Monson 1996, 133–36). Initial approval of free jazz, by some critics, found the style to be the jazz tradition's logical outcome, "a new idealization of jazz's essential nature revealed only when musicians

throw off the accretions of convention: popular song forms, instrumentation, tonality, Western intonation systems, the explicit stating of the dance beat" (DeVeaux 1991, 550). By the late 1950s, musicians such as Taylor and Coleman were endorsed as modernists by their supporters, and by the early 1960s, the term "avant-garde" was used to describe their music, not in a context of social opposition, but "to connote growing experimentation with and skepticism toward representation—a cutting edge extension of modernism" (Anderson 2007, 65).[14] The term avant-garde was therefore analogous to modernism,[15] both terms signifying a musical aesthetic devoid of social or political convictions.[16]

Amiri Baraka reinstated the spirit of the avant-garde in 1961 by using the term to represent a reaction against the mainstream (1967, 69, 75)—a reaction that embodied political messages of freedom and social progress for African American people.[17] Of Baraka's two major publications from the 1960s, *Blues People* attends to class structures determined by race, where alienated African American musicians are considered bohemian artists of nonconformity ([1963] 2002, 231).[18] As Monson states, "*Blues People* remains the classic narrative of jazz as an avant-garde subculture" (1995, 397).

Baraka's other book—a collection of writings from 1961–67 titled *Black Music*—reads as a manifesto for the jazz avant-garde. Free jazz betokened a stance against the slower tempos and relaxed accompaniment of cool jazz and the Third Stream; moreover, it was in opposition to artistic merits judged and valued according to a standard held by European and white American critics (1967, 11–20). Baraka's writing on multiple musicians—Cherry, Coleman, Coltrane, Shepp, Taylor, and Eric Dolphy among them—

includes descriptions of the music such as “agony,” “screams,” “moans,” “spirituality,” “spontaneity,” and “arbitrariness.” The politics of race are acerbically described in Baraka’s article on Shepp. Originally published as “Voice from the Avant-Garde” in January 1965, Shepp is quoted saying “the Negro musician is a reflection of the Negro people as a social and cultural phenomenon. His purpose ought to be to liberate America aesthetically and socially from its inhumanity” (ibid., 154). He believes that “[w]hen black people first came to these shores they didn’t know much harmony . . . that’s a Western musical phenomenon. [. . .] The new music reaches back to the roots of what jazz was originally. In a way it’s a rebellion against the ultrasophistication [*sic*] of jazz” (ibid., 152–53). In Baraka’s 1966 article “The Changing Same,” jazz is deemed a cultural continuity of African American resistance. Musicians of the jazz avant-garde are self-conscious about their African American past and present being, their heritage of spirituality, and social freedoms that may be won through creating art (ibid., 180–211).

Although not all musicians of the jazz avant-garde would share Baraka’s views, they would be related to this extreme representation to some degree. Taylor introduced Lacy to the politics of race, and stressed that jazz was an African American art form (see appendix C). When Lacy was asked how long he had “been connecting music and politics,” he responded:

> Since Cecil Taylor, since the 1950s. At the time, I was starting to learn what music is and the politics of survival, playing music that no one wants. For me, politics is a question of social values and music is an act . . . it's also an economic question. You have to struggle for it and that becomes political because you have to survive. You have to be paid for that music no one wants. Cecil Taylor was really prepared to struggle. (Gervais and Boulaine [1976] 2006, 64–65)[19]

Lacy's next comment in the interview expands on this idea by citing Fluxus artist Giuseppe Chiari: "One of the phrases he said or wrote, and which impressed me a lot, was: for an artist, the only way to be political is to stop making works of art and to make only political gestures that become works of art" (ibid., 65). For Lacy, Chiari and Taylor's ideas were interconnected and resonated strongly with his approach to music. Considering that Taylor was an outspoken black nationalist, Lacy would have understood racial problems in jazz, and how they were connected to the music as political gestures.

Lacy was defensive to questions about race, however. His responses typically diffuse the question to broader terms of life, or rely on the historiography of New Orleans jazz being colourblind.[20] In one interview, he was incisively asked, "[i]f one defines jazz as the music of black Americans, do you consider your music as 'black music?'" Lacy's answer relies on the colourblind trope, and becomes an argument about musicianship within the jazz scene: "Jazz has always been mixed, it's a mixed music. [. . .] LeRoi Jones [Amiri Baraka] wrote his book, *Black Music*, but it's ridiculous, because he ignores certain people. [. . .] But the exceptions ruin all those categories, and I'm an exception too. Maybe there are only exceptions. [. . .] It never worked in the music, a racial thing, never" (Hardy and Quinsac [1976] 2006, 57).[21] Seemingly frustrated by divisions of race, he turns the discussion to a universalist argument:

> For me, Roswell Rudd is the greatest trombonist I know, I don't know a black musician who plays better than him, but if you ask him, "Hey, Roswell, do you play black music?," he'll punch you in the mouth. Among musicians, it's no secret who plays well and who doesn't play well, it's always clear. And among whites and blacks, it's never a question of that, but rather: "Do you want to play? Let's play." [. . .] I know who plays better than me, worse than me, and they know it too, there's no doubt. And it's never a question of the color of one's skin. (Ibid., 57–58)

To understand Lacy's statement above, one must consider the question of race—specifically that of being white—in different categories of institutional economics, and community. In terms of economics, Eric Porter discusses the struggle of African American musicians trapped in a white-dominated system of materialistic concerns (2002)—an establishment with which Lacy would also struggle during the 1960s. On the other hand, he belonged to a community of musicians that articulated their views on race to different degrees. The black and white dichotomy in his community did not function the same as broader segregation within the industry. His Dixieland cohort, Monk, Taylor, and the free jazz scene accepted him as the young and unprejudiced apprentice. Lacy's reference to Rudd, however, suggests that the subject of race was a matter of discussion among the musicians.[22] What can be inferred from Lacy's interviews is a defence mechanism to disassociate him from the discourse of racial division. That is, Lacy did not align himself with black nationalist rhetoric, nor did he promote a white identity in jazz: he provided circumstance for equal merit among jazz performers based on musicianship.

Universalist claims—as opposed to argumentative black nationalism—were common among African American members of the jazz avant-garde. Rather than providing substance for mainstream critics to construe jazz as colourblind, such sentiments were aligned with topics of economic equality and fair treatment as evidenced by African American achievements in jazz. Coltrane and Dolphy are two musicians who were not intrinsically part of the avant-garde camp; however, they maintained arguments of racial universalism while being firmly rooted in the jazz avant-garde at large (E. Porter 2002, 197).

Taylor and Shepp—despite their radical tone for economic reward—were racially inclusive at the level of community, as opposed to their struggles with the jazz establishment. Different than racial segregation for the black nationalist campaign, "other politically oriented musicians nevertheless attempted to balance a belief in black self-determination with an aversion to certain aspects of racial categorization and an embrace of the universal purpose with which African American musicians had long associated their music" (ibid., 200). Taylor, holding the view that jazz was a product of the African American experience, deemed the music to be necessary for a broader American public (ibid., 200). Similarly, "Shepp warned against romanticized notions of blackness and continued to see the importance of dialogue between blacks and whites. He tried to find a synthesis of the belief in an ontological black cultural nationalism and the recognition that material conditions determined culture and identity." That is, his identity as a jazz artist and intellectual was a "product of the historical relationship of African Americans to work" (ibid., 201).[23]

With the same musical style as his jazz community, Lacy shared a common economic conflict with the jazz mainstream. True to his art, he did not subscribe to being a commercial musician to attract record deals. Furthermore, he was not rejected by his community based on skin colour,[24] and considering his long-term association alongside their political convictions, he was in agreement with their social struggle with respect to his own. Eric Porter summarizes the situation facing African American musicians of the jazz avant-garde, which I believe was shared by their Caucasian peers:

> By the middle of the 1960s, politicized musicians were contemplating black nationalist thought at a time when the limitations of the civil rights movement in

> confronting institutionalized racism and economic problems were increasingly clear. They also had to contend with the growing popularity of rock and roll and soul music and the disappearance of jazz performance spaces. [. . .] With increasing frequency in the 1960s, musicians tried to rise to the artistic challenge of the avant-garde, theorize their own duty to their communities, understand the broader creative aspects of their projects, and grapple with the reality of surviving as professional musicians. (Ibid., 188)

Lacy similarly encountered minimal consideration for record contracts, few performance spaces, and dismal economic reward for his art while working within the community of the jazz avant-garde. In turn, he was artistically aligned with like-minded musicians who targeted systemic problems of the jazz establishment.

Lacy delved deeper into the avant-garde rather than capitalizing on commercial success of the mainstream. This is in contrast to the common debate about white appropriation of black music for economic reward.[25] And, instead of compromising for industry standards, he chose to flee his homeland in search for greater public acceptance of his art—a choice shared among his African American predecessors and contemporaries.[26] Furthermore, his list of saxophonists who influenced his work in 1959 include Coleman, Coltrane, Sonny Rollins, Ben Webster, Johnny Hodges, and Jackie MacLean (being the only white musician among them), suggesting his strong affinity for African American musicians (Hentoff and Williams [1959] 2006, 15).

One may consider Lacy to fit Ingrid Monson's description of white musicians during the 1950s and 1960s: "Many young progressive whites were inspired by the political activism and moral example of the civil rights and black power movements and began to evaluate themselves by some of the ethical standards they espoused" (2007, 15). She states that young whites rejected "the racial status quo of their parents' generation as

key to their own self-transformation and moral vision." Lacy, if not directly speaking of racism, found a common moral vision with the standards held by his African American peers. He can be viewed as one of many white musicians between 1950 and 1967 who "began to embrace more fully than previous generations African American musical and cultural standards as a benchmark for evaluating themselves aesthetically, morally, and politically" (ibid.).

Lacy did not identify with his Jewish heritage and considered his music to be the result of African American influences in the jazz tradition. In 1965 he was asked, "[a]re you proud or satisfied to be an American?" Lacy would not be a national flag-bearer, but was in alliance with his community. His response: "No, not of being just an American. I'm happy to be an American jazz musician" (Carles [1965] 2006, 36). Even in his late years when Michael Gerber was writing a history of Jewish people in jazz, Lacy distanced himself from the project when hearing of others who were strongly opposed to its premise (Gerber 2009, 177). Additionally, Adam Shatz quotes Lacy saying he was "Jewgitive," a "feeling of having no continuity with your parents' history. It's like somebody put a suit on you that you didn't buy, and it's not your style. I had to find my own style, and I found it in jazz and the arts" (1999, 28). Lacy therefore found an identity disconnected from his Jewish heritage, and universal in a promotion of jazz as an African American art form.

Lacy's musical performances may also be seen as deriving from African American improvisatory practices. Lee Jeske cites "German jazz critic Joachim Berendt [who] wrote that Lacy 'is one of the few horn players—and probably the only white

among them—who fully understood and assimilated Monk'" (1980, 21).[27] Lacy's rapport with Monk and understanding of his music may be understood under George Lewis's "Afrological" system of performance. Also situated within the boundary of community, Lewis explains:

> my construction of "Afrological" and "Eurological" systems of improvisative musicality refers to social and cultural location and is theorized here as historically emergent rather than ethnically essential, thereby accounting for the reality of transcultural and transracial communication among improvisers. For example, African-American music, like any music, can be performed by a person of any "race" without losing its character as historically Afrological [. . .]. My constructions make no attempt to delineate ethnicity or race, although they are designed to ensure that the reality of the ethnic or racial component of a historically emergent sociomusical group must be faced squarely and honestly. (1996, 93)

Within this definition, Lacy's musicality was developed in the social and cultural location of New Orleans jazz where his learned improvisational approach was shaped by an older generation of African American musicians. His subsequent work with Taylor, Waldron, Monk, and members of the jazz avant-garde engrained such practices in this "transracial communication among improvisers." An important aspect of Lewis's definition is that the terms "exemplify particular kinds of musical 'logic'" (ibid.). The discourse and analyses in chapter 4 demonstrate that Lacy, in his pursuit to understand Monk's language, performed the logic of the Monkian aesthetic. Furthermore, as the jazz avant-garde changed improvisatory practices against the grain of the mainstream, such changes were aligned with African American expression rather than Eurological practices derived from Western art music.

Lacy's "Poly-Free" Music

Lacy was opposed to the term "free jazz" because he believed that jazz, as a whole, "was always a music that went toward freedom" (Jeske 1980, 23). In one interview he states, "[j]azz has always been a music that defies restrictions. So if you have a rule that says 'it's always like this' someone will come along and break that; music is about freedom, a freedom fought for" (Terlizzi 1977, 10). In a way, he broke the model of "free jazz" by experimenting with boundaries of constraint.[28] On the collaboration between Lacy and Rudd, Gabriel Solis notes that, "both have developed a playing style that expands the tonal, melodic, and referential framework of the music without extensive 'free' playing. Lacy refers to the style as 'poly-free,' a term that he coined to suggest the possibility of freeing the improviser in various ways while maintaining the presence of the pre-existent structure of the composition" (2001, 173).

The poly-free approach is one reason why Lacy's music is accepted as a legitimate interpretation of Monk's music. When "[mainstream] critics feared anarchy in free improvisation's lack of constraints" (Anderson 2007, 67), his method was a compromise between formal structures and sheer "free" playing. Solis reports how mainstream musicians, who believe Monk's music should be played in an orthodox manner, validate Lacy's work:

> [He] is exemplary as a musician who knows the history of the music, and has unreproachable [*sic*] credibility within the community. Because of these qualities, they told me, he could explore the furthest-out possibilities suggested by the compositions without fear of negative judgments from the mainstream. (2001, 179–80)

A social context for this discussion is the concept of "paying dues." Paul Berliner explains that musicians "describe the trials and tribulations that accompany the learner's efforts to absorb and sort out musical knowledge as examples of 'paying dues'" (1994, 51). Lacy is accepted within this framework because he began "paying his dues" to Monk's music before most musicians, and continued to do so for over a decade. Although his musical style is drastically different than Monk's original conception, Lacy's music is seen as a legitimate interpretation of the music, a continuation of its avant-garde aesthetic.

Lacy's Later Avant-Gardism

One common burden among avant-garde artists is a struggle to succeed, and in some cases, deferred acceptance of their work. Among the many, Monk, Taylor, and Rouse are musicians representative of this struggle and Lacy was no exception. He explains:

> jazz is political. Nobody asks you to do what you do. We do it because we burn, we want to do it, we have to do it, and so we fight to do it. And that is a political fight, also with other musicians, with the producers, owners, critics and fans. I learned that when I was with Cecil Taylor for six years in the '50s. I saw what he had to go through to do what he wanted to do. And Thelonious Monk, same story. I saw that; I participated in it. (Rouy [2002] 2006, 214–15)

The tipping point of Lacy's unemployment was in 1965 when he left the United States:

> In the sixties, the trouble started. All the troubles of the whole planet started in the sixties, I think. Politically, musically, economically, sexually, medically. . . In the sixties, the music, the Jazz, went underground, and got radical. And we lost our listeners. You couldn't sing anymore, you couldn't dance anymore, and the listeners went away, and the musicians went underground, radical. That's when I went to Europe, in '65, to get away from that underground, really. [. . .] I didn't appreciate having to work a day gig, and play underground at night for no money

> at all. I mean, I did it for quite a while, and we learned a lot. It was wonderful, glorious, but it was a pain in the ass. (Nai 1998, 8)

Europe proved to be more supportive for Lacy's work. In 1977, Robert Palmer writes, "many younger musicians find it difficult to record their kind of music for the U.S. market. In Europe, jazz labels are more open-minded" (1977b, 12).[29]

Lacy's opportunities to record in Europe guided his passage into the neo-avant-garde art world.[30] He worked with Frederic Rzewski on the Moog synthesizer in Musica Elettronica Viva (MEV) through the late 1960s and 1970s. They played "protest music about the Vietnam War" with texts "from Lao Tzu which illustrated the absurdity of war and weapons and things like that" (Friedlander and Friedlander [1998] 2006, 205–6). Lacy talks about one of their projects: "We discussed lots of notions about musician/nonmusician, public/nonpublic. And we put into question precisely all those categories. It was in the air at that time, not just for us in Rome, but for lots of people in different places, for example the Living Theatre, Fluxus, Merce Cunningham, [John] Cage . . . Lots of people were interested in breaking barriers. We no longer wanted a difference between the public and the musicians" (Gervais and Boulaine [1976] 2006, 70).[31]

In his own performances after the 1960s, Lacy combined music, dance, text, and sometimes prepared tape (see appendix C). He became influenced by Marcel Duchamp, Cage, and wrote pieces in the 1990s based on writings by cubist artist Georges Braque.[32] In 2001, Lacy returned to his roots with *The Beat Suite*, which is based on a collection of texts by Beat poets from the 1950s.[33]

Lacy's accumulation of grants in support of avant-garde art demonstrates his success in Europe and the arts scene in America (see appendix C). However, America's conservative audiences kept him at the periphery of jazz. George Varga writes, "as anyone ever branded an avant-gardist will attest, almost nothing short of an act of God can undo the damage that results. Avant-gardists, it is charged, produce cold, clinical music. Their compositions purportedly follow no known forms of logic or construction and are harshly dissonant" (1987, 8). By 1987, Lacy and Waldron were still considered avant-garde, "that commercially dreaded label that terrifies record companies and buyers alike" (ibid.). Their music defied traditional expectation, which is why Lacy continually sought to perform with "radical" musicians like Waldron (Bailey ([1980] 1993, 54). Lacy's avant-gardism is further expressed in his view on improvisation:

> I'm attracted to improvisation because of something I value. [There] is a freshness, a certain quality, which can only be obtained by improvisation, something you cannot possibly get from writing. It is something to do with the 'edge.' Always being on the brink of the unknown and being prepared for the leap. And when you go on out there, you have all your years of preparation and all your sensibilities and your prepared means, but it is a leap into the unknown. (Ibid., 57–58)

Lacy expanded his avant-gardism while in Europe and maintained an improvisatory practice of uncertainty. His deferred acceptance, if not by popular vote, was at least gained by recognition of his skill and deep understanding of Monk's music.

Lacy's Changing Avant-Gardism with the Monkian Aesthetic

Lacy's transit through various avant-garde movements—Taylor, Monk, free jazz, neo-avant-garde—attests to the changes in his interpretations of the Monkian aesthetic as

demonstrated in chapter 4. "Evidence" from 1961 is situated at a time of passage from his in-depth experience with the Monk quartet to the free improvisatory style in collaboration with Cherry. The avant-gardism of the composition is not lost but heightened through Lacy's fluid approach to melody and time. The recomposition of "Pannonica" displays how his integration into the jazz avant-garde nurtured his stylistic change with characteristics of dynamic variation, extended techniques, focused group interaction, and non-traditional use of rhythm.

His return to Monk's repertoire in the 1980s did not rely on sentiment or nostalgia, but exposed the Monkian aesthetic with clarity: the unconventional solo performance of "Evidence" from 1985 contains extreme passages of silence and space contributing to displaced rhythms in the fluid temporal flow. With a short "free" section, and subtle references to the melody framed by the opening and closing of the head, his minimalist economy of means reveal the basic parameters of the piece's construction through intervallic relationships. As he said in 1997, "what took place in the '60s had a lot of impact, and still is prevalent. What I'm still doing now is a result of all those years" (Olding 1997, 3). Thus, Lacy simultaneously refers to the Monkian aesthetic as transferred to free jazz practices with musical concerns suggestive of a neo-avant-gardism.

Like his predecessors, Lacy became—and was satisfied in becoming—the "old-guard." He answers in an interview from 1986:

> Ben Sidran: Are you surprised to find yourself one of the old-guard, suddenly?
>
> Lacy: One of the old-uh, uh, well the—our last record is called "The Condor," really it's about an almost extinct bird. Yeah, uh no . . . it's uh . . . [th]at's ok it's

> inevitable. It doesn't bother me. It doesn't bother me because at least we're doing what we're supposed to do, and it's wonderfully interesting and it gets better. And as for the context, it's a context that's fading and all that, well, we can't help that, really. Times are changing. (Lacy [1986] 2006, 22:51–29:24)

In fact, Lacy considered the avant-garde to be constantly changing: "If you think of Louis Armstrong and Earl Hines in 1929, *that* was avant-garde then. Now it's considered classic jazz. It's just a matter of time" (Varga 1987, 8, emphasis in original).[34] He provided a similar statement in 2004. When asked, "[d]o you see avant-garde music as the culmination of what jazz was supposed to be?" he replied:

> No, that's part of it, that's an episode. To me it goes way back and it's all one thing. My heart is always with the old stuff: the New Orleans, the Kansas City, the Chicago schools. I was steeped in that; I was brought up in that. I started playing that music and my heart is always there. So you can avant all the gardes you want, but what Louis Armstrong and Earl Hines did in 1929, it doesn't get any better than that. It doesn't get any freer than that. Those are the standards. Whatever we do now has to be at least as good as that. Or better. It can be better. (Silsbee [2004] 2006, 129)

Lacy forged the Monkian aesthetic through successive states of the avant-garde, each with its attending stylistic characteristics and social underpinnings that critiqued the jazz establishment's economic structure. His late interpretations of Monk's music were nonetheless another instance of avant-gardism in the 1980s.

Rouse and Lacy: Similarity and Difference

Rouse and Lacy shared a common ground of learning directly from Monk at the time when musicians began adopting, exploring, and strengthening his legacy: the two saxophonists were at the forefront of this movement. Monk ingrained his aesthetic by teaching both musicians orally (see appendices B and C). The jazz world places a heavy

premium on learning in this fashion. First, as jazz is commonly understood as an oral tradition, learning orally from a mentor rather than from sheet music is regarded to be prestigious (Solis 2001, 170–71). Second, the jazz community sees the mentor/apprentice method of learning as a school in itself (Berliner 1994, 36–59). When reflecting on his time with Monk, Lacy said, "he saw I needed it, and he gave it to me. It was like a postgraduate course when I learned what I was supposed to" (Gourse 1997, 173).[35] His album titled *School Days* is another example of how the metaphor of education may be applied to his work with Monk's music. Regardless of stylistic difference, "there is a consensus that [Monk's] music is, above all, unique; that it stands apart from all the various movements that surround it in time; and that, consequently, developing a deep understanding of it through listening carefully to his performances constitutes the first step towards crafting legitimate interpretations of it" (Solis 2001, 24). Rouse and Lacy therefore share a common point of departure as both had learned directly from Monk and developed a deep understanding of his music.

Both saxophonists share a common practice of integrating Monk's voice with their own. The "voice" is an elusive term in jazz discourse that has yet to be fully explored in scholarly work:[36] its metaphoric use and connotation power is deserving of a study unto itself. For the purposes of this paper, however, a musician's voice is used to denote one's individual playing style, which distinguishes him or her from other musicians. Using Monk as an example of how the voice may be understood, Solis writes:

> in most cases, musicians discussing Monk's voice had in mind a combination of the nuts and bolts of his idiosyncratic musical style (i.e., chord voicings, rhythmic approach, use of space, and favorite licks) and the macrolevel [*sic*] aspects of his approach to the music. But the term also suggests something more intangible, an

> interpersonal quality. That is, people are recognizable as much for their style of musical interaction and use of musical references as for their use of a particular way of voicing an E-minor-ninth chord or the like. (2008, 71–72)

Solis finds that most musicians who play Monk's music typically feel "the need to develop a consistent, personal voice and to integrate it with Monk's while exploring his compositions" (ibid., 64). Given that the jazz world places importance on having an individual voice (ibid., 70), "it is eminently clear that the ability to make preexisting material one's own in myriad ways is a singularly important skill for the developing jazz musician. In the case of interpreting Monk's music, this act is complicated by the need musicians feel to make the music their own while still retaining the perceptible presence of Monk's voice" (ibid., 71).

For Lacy, playing in a different style than Monk and being a pioneer on a relatively non-traditional instrument made creating a voice of his own vis-à-vis Monk inevitable. For Rouse to create an individual voice on the tenor saxophone would be a difficult task—Sonny Rollins, John Coltrane, and Johnny Griffin had already played the tenor with Monk extensively, thus forming a point of reference for comparison. These previous saxophonists developed their own voice distinct from Monk's, evidenced by their playing following their respective times with his group. Rouse, however, was able to create a voice of his own by fully integrating Monk's ideas with the tenor saxophone. Langford writes, "[Monk's] group was powerful and looming, with Rouse hoisting himself up to Monk's demands, assimilating Monk with his own style" (1971a, 8). Clearly both Rouse and Lacy were capable of maintaining the Monkian aesthetic in their music while creating their distinct sound.

The concept of a voice is difficult to apply to Monk's music for this study, however. Monk *did* have an individual voice; however, this dissertation has provided grounds that his voice is the entirety of his own world.[37] Viewing Monk's music as its own world, the problem of negotiating how to incorporate his voice with one's own is more readily mediated. Rouse and Lacy may be seen as dwelling in the Monkian world; rather than contending with the strength of Monk's voice, they have been able to create their own space by using the resources of his aesthetic. In doing so, Rouse and Lacy also share a common interest in reifying this world: it is no longer only a space for Monk, but for others to share and contribute to as well.

The distinctions between Rouse and Lacy's interpretations of the music are not only marked by stylistic difference, but in a belief system of how the music should be played. This point is interesting not only in the historical context of the 1960s, but because their work is representative of how Monk's music is discussed in contemporary discourse. Solis borrows Pierre Bourdieu's antithetical formulation of orthodoxy and heterodoxy to depict how current musicians believe Monk's music should be played. The orthodox view generally holds his pieces as fixed texts, where musicians perform the music correctly, in "his way" (2001, 81, 102). Rouse's band Sphere, holding the belief that Monk's music should be performed "correctly," is a representative of Monk orthodoxy. Conversely, the heterodox view links Monk's music to the jazz avant-garde, his playing to experimentation, and his compositions as "neutral vehicles for less contingent explorations" (ibid., 81, 136). Lacy's legacy too could be characterized by these three points, and therefore represents the Monk heterodoxy that is present today.

It is important to note that Rouse and Lacy were possibly the first to clearly depict Monk orthodoxy and heterodoxy; however, viewing their work only in this manner undermines the avant-garde tendencies of their music in the 1960s and 1980s. Although Rouse may be viewed as an orthodox player now, his work in the 1960s exhibits an avant-garde disposition much like Monk's. Similarly, Sphere's music was distinct from neoclassicism of the 1980s, and paid homage to Monk's musical avant-gardism. Lacy's music, which helped form the heterodox view of Monk, was extremely experimental for its time. In summary, though Rouse and Lacy were precursors to the orthodox and heterodox approaches to Monk's music, and in their historical context, their interpretations demonstrate the Monkian aesthetic in different notions of the avant-garde in jazz.

Monk's principles of unorthodox jazz harmony, rhythmic displacement, an economy of means, emphasized thematic repetition during improvisation, experimentation, and strategies to link the solos into a unified whole are the elements of his Monkish voice, and therefore a basis for the Monkian aesthetic. When he became important to both mainstream and free jazz audiences, Rouse and Lacy used this aesthetic to advance two stylistically different interpretations of the music. The aesthetic—common to the music by Monk, Rouse and Lacy—proves to be a marker of a general avant-gardism in jazz. However, the notion of *the* jazz avant-garde became focused on stylistic and social changes in jazz during the 1960s. With respect to their interpretations of the Monkian aesthetic, Rouse and Lacy represent this change of the guard.

Notes

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[1] See appendix B for information about the Jazz Modes; see chapter 2 for a description of Rouse's playing with the group.
[2] Overlooking Langford's distaste for Rouse's playing in the late 1960s, see the other passages in his three articles (Langford 1970, 2; 1971a, 7, 8; 1971b 3, 4).
[3] Rouse held strong to his belief in preserving Monk's original musical intentions. In 1988, he said: "One of the reasons for forming Sphere was that the musicians who had recorded or played Thelonious' tunes had the wrong concept. They tried to play his tunes and interpret them the way they would interpret a standard [. . .]. But tackling Thelonious' compositions, you have to play what he was thinking at the time he composed them—otherwise it's not going to sound right. And when you try to improvise on his melody, you have to try to interpret it the way he did if it's going to be effective. While you're improvising, you can play all over and do anything you want, but just playing his melody you have to play it the way he wrote it for it to come off. We wanted to play a lot of tunes that a lot of musicians don't play, those difficult tunes—the tongue busters!" (Isherwood 1988, 17).
[4] With reference to my statements about Sphere, listen to *Four in One* (Sphere 1982).
[5] Neoclassicism, in many ways, still maintains its authority in jazz as of 2013. The topic is beyond the scope of this dissertation. Instead, I refer the reader to DeVeaux (1991, 527–28, 551–52), Gennari (2006, 339–71), Jacques (2001), Kart (1990), Lewis ([2008] 2009, x, 441–49), Marsalis ([1988] 1999), Nicholson (2005, 6–76), Eric Porter (2002, 287–334), and Radano (1993, 269–73).
[6] I explain their music in appendix B by referencing Rouse's performance with Waldron on *Live at the Village Vanguard Volume 4* (Buschel 2003). I am not neglecting Rouse's other bop-oriented music of the time, but suggesting that he did not limit his performance practice to its perceived rigid stylistic category. See appendix B for more on Rouse's bop music of the 1980s.
[7] Robert Palmer also groups Taylor's early music with the mid-1960s style: "As the music grew more avant-garde, critics began calling it nonjazz and even antijazz, despite the fact that both Mr. Taylor and Mr. Lacy were well grounded in older styles" (1977a, 8). "Antijazz" is a reference to John Tynana's criticism of the music by John Coltrane and Eric Dolphy in 1961. For a discussion of the term, and Coltrane and Dolphy's response, see DeMicheal ([1962] 1998).
[8] For example, Lacy reports that he and Taylor were fired from a summer's contract with a resort in the Catskills for showing up with a "mixed band" (Friedlander and Friedlander [1998] 2006, 197).
[9] This trip to Chicago was most likely for Lacy's performance of *Free Jazz* with Coleman's double quartet (see appendix C).
[10] Lacy provides a similar statement in Bailey ([1980] 1993, 53).
[11] Considering the four Monk tunes on *Evidence* (Lacy 1990), Lacy may be the first of Monk's descendants to concentrate on his music in a free jazz style. This is with the exception of Coltrane's recording of "Beshma Swing" in July 1960, which also included

Cherry in a pianoless quartet. Chronologically, however, the album—titled *The Avant-Garde*—was not released until 1966 (Coltrane 1966; T. Lord 2003).
[12] Baraka recites his poem "Black Dada Nihilismus" with accompaniement by the New York Art Quartet in a recording from November 26, 1964 (T. Lord 2003).
[13] Also see Danson (1982a, 8). Rudd's association with Shepp was renewed in 2000, and he has since continued working with other of his associates from the 1960s like Milford Graves, Reggie Workman and Andrew Cyrille (Giddins 2000, 221; Miller 2004, 3).
[14] See Anderson (2007, 52–66) for more on this topic.
[15] This is not to say that the writers cognitively misconstrued or reconstructed the term "avant-garde." As per the literature review in appendix P, the term has a connotation analogous to modernism (see my discussion on Theodor Adrorno and the "institutional avant-garde"). Moreover, this interpretation has a historically conditioned meaning in the United States, engrained by the writing by the American critic Clement Greenberg.
[16] In fact, Whitney Balliett uses the term avant-garde as early as 1957 in this context. His article titled "Auvant" describes the music of Charles Mingus, John Lewis, Gerry Mulligan, Jimmy Giuffre, and Teddy Charles in terms of polytonality and atonality—no reference is made to the music as a reaction against the structure of the music business or American society ([1959] 1963, 46–47).
[17] Anderson states that although "avant-garde" was first used to represent a musical aesthetic, it was understood by the mid-1960s as a reaction against the structure of the music business and racism in America, thus bringing the term back to its insurgent meaning (2007, 75–92).
[18] Also see Monson (2007, 260).
[19] Rudd also claims that the "New York experience" opened his eyes "to the inequities and the tragedies and the highs and the lows of everything that was going on" (Dupont 1992a, 10).
[20] A series of questions by Roberto Terlizzi are examples. When asked if "the period of Black Mysticism" was polemic, Lacy said: "I think it is everything at once, and it has a heavy side and a light side too and they're both true," where "good music" includes all aspects of life, including politics. Terlizzi probes deeper, asking, "[d]o you think creative musicians would still starve, whether they were black or white?" Lacy's response relies on the colourblind historiography of jazz when New Orleans musicians of the 1920s would perform together—"there were no race problems." Terlizzi asks again if his "music has something to do with the social situation." Lacy's affirmative response is followed by a discussion of the war in Vietnam, followed by: "You can't keep life out of the music. Whatever is going on in life is also going on in the music." Terlizzi becomes pointed when asking, "what degree can a work like Max Roach's 'Freedom Now Suite' influence people?" Lacy's direct answer was "[a]t the deepest level," immediately followed by a discussion of artworks by Pablo Picasso and Francisco Goya that display the disaster of war (Terlizzi 1977, 10–11).
[21] Rudd, on the other hand, embraced Baraka's ideas when the two collaborated in the New York Art Quartet: "I realized they were kind of strong statements for the time. 'Black Dada Nihilismus.' I thought it was great. We got all charged up. [. . .] The

madness, the insanity and the murder and the mayhem and the hate and all the negative shit and all the positive shit that's going to hurt people belongs in the arts" (Dupont 1992b, 13).

[22] Furthermore, Rudd believes that there was significant black and white tension at the time (Dupont 1992b, 13) and cites the Jazz Composers Guild as a space for musicians to discuss these issues: "I can remember some real vile stuff going down at some of those meetings. But people dig into their own personal resources to deal with the world, and that's one of the things I respect about the Jazz Composers' Guild; that people had enough guts to come out and fight with one another about some really serious issues—real racial, economic, political, crap, rat-by-the-tail things that are obstacles to the evolution of the human potential; things that are holding us all back" (Danson 1982a, 7).

[23] Additionally, Rudd explains Shepp's views that were similar to Lacy's: "Then there were people that came up and said: 'How come you got a White guy in your band. I thought Roswell Rudd was Black,' stuff like that. He [Shepp] said: 'Roswell Rudd is in my band because he's a fine trombonist.' Period. Get out of here. So the racial thing was there, if it wasn't coming from within, it was coming from outside" (Dupont 1992b, 13–14). In Shepp's words, "jazz is accessible to all people, if they're honest enough to receive it. Roswell Rudd in our band is an example of that. It's an honesty that's necessary not only in jazz, but with regard to the most crucial problem in America—the racial problem. Most whites have allowed the relationship between the races to deteriorate, but there are some who are honest about what has to be done and who do see the need for profound and meaningful change in this country to end racism. But there's so much distance now between the white and black worlds, so much noncommunication [*sic*]. And yet if that problem isn't solved, the future is, to say the least, very bleak" (Hentoff [1968] 1979, 120). John Runcie presents Shepp similarly, and notes that he periodically employed white musicians such as Rudd, Charlie Haden, and Cameron Brown (1980, 28).

[24] This is generalization. To my knowledge, musicians did not target Lacy specifically; however, some believed that organizations such as the Jazz Composers Guild should be uniformly African American (E. Porter 2002, 199).

[25] For a clear description of this debate, see Monson (2007, 105).

[26] Examples of African American musicians who moved to Europe would include Coleman Hawkins, Dexter Gordon, Eric Dolphy, Bud Powell, Kenny Clarke, Don Byas, Mal Waldron, members of the Art Ensemble of Chicago, and Lacy's early role model Sidney Bechet. Although other white American jazz musicians found Europe to be lucrative, the encouraging racial atmosphere played a role in supporting jazz overseas. See Moody (1993) for more on this topic.

[27] Jeske is citing Berendt (1975, 213). This quote was omitted from Berendt's revised edition of the text (Berendt and Huesmann 2009).

[28] Lacy later linked his approach to other modernist and avant-garde artists: "I'm very taken up with what seems to me a fundamental method of artistic exploration. It's like [Igor] Stravinsky says: 'Limits is what gives birth to new forms.' [Georges] Braque and other artists said the same things. By limiting yourself you can open things" (Weiss 1981,

37). Also see Caylor ([1965] 2006, 29), and Lacy ([1980a] 2006, 253). Lacy is likely referring to Stravinsky's *Poetics of Music in the Form of Six Lessons*: "My freedom thus consists in my moving about within the narrow frame that I have assigned myself for each one of my undertakings. I shall go even further: my freedom will be so much the greater and more meaningful the more narrowly I limit my field of action and the more I surround myself with obstacles" ([1939–40] 1970, 87). Braque's notes are cited in an essay by A.E. Gallatin: ""In art progress lies not in an extension, but in a knowledge of limitations. [. . .] The limitations of a method secure its style, engender a new form and lead to creation. [. . .] Limited methods often constitute the charm and power of primitive paintings. Extension of methods, on the contrary, causes the decadence of the arts" (Gallatin 1943, section V, 11).

[29] Palmer also writes: "Younger and avant-garde musicians find the European's serious interest in the latest jazz trends particularly stimulating. The European new-music audience is not huge, but it is large enough to support adventurous recording projects and to lend festivals like the 'Berliner Jazztage' a noticeable avant-garde bias" (1977b, 12). Lacy clearly speaks of the support and survival of non-commercial music in Europe, specifically referencing Free Music Production (FMP) organization based in Berlin: it "has something to do with *politics*, & the fact of the *survival & acceptance* of *non-commercial music*" (Lacy [1979?] 2006, 250, emphasis in original).

[30] Just before his departure to Europe, Lacy believed his musical approach was similar to methods used by abstract expressionist painters Franz Kline, Jackson Pollock, and Willem de Kooning (Caylor [1965] 2006, 30).

[31] Lacy's intended liner notes for the group read like Dada poetry with disassociated words and imagery (Lacy [1968?] 2006, 244–47). The following is a short excerpt. It begins with, "[t]he music is outrageous—inexorable; absurd (when confronted) combinations of old hat & new stridency," which is followed by descriptions of the performers, and juxtaposed words and phrases such as, "sound of electricity—clank—swarm—crawl—swivel—sensation of ominous pushing—a juggernaut mashed—Cesar's crushed machines—there is communication—heightened awareness—lift—terrible intensity—sly rudenesses—snotty—snide—boyish pranksterism—plenty of American Howard Johnson style jazz ('30)—baseball—open air—sunshine—orange juice" (Lacy [1968?] 2006, 244).

[32] Case ([1979] 2006, 87); Gervais and Boulaine ([1976] 2006, 74–75); Lacy ([1970?] 2006, 249); Ullman (2007, 338). Lacy was intrigued by Braque's writing as early as 1959 and frequently quoted his ideas of avant-garde expression (Caylor [1965] 2006, 32; Corbett [1997] 2006, 192; Hentoff and Williams [1959] 2006, 14; Lacy [1980a] 2006, 253; "Twenty-Six New Jazzmen" [1965] 2006, 41; Weiss [1998] 2006, 153).

[33] Date obtained from T. Lord (2003). Lacy commented on the composition: "My project of a record devoted to the poets of the Beat Generation goes back almost forty years. I know those poets personally . . . *The Beat Suite* is a small collection of texts by the most important poets of the Beat generation: Jack Kerouac, Allen Ginsberg, William Burroughs, Bob Kaufman, Lew Welch, Gregory Corso, Robert Creeley, Jack Spicer, Anne Waldman, Andrew Schelling, and Kenneth Rexroth. All big fans of bebop, they

were very interested in rhythm, melody, harmony, and of course improvisation. And the excitement of the language, a new poetic approach. They were also interested in *action painting*, in Pollock, de Kooning, Kline . . . I chose texts that were 'transparent,' singable, short enough to be set to music" (Médioni [2003] 2006, 226, emphasis in original). Also see (Hazell [2004] 2006, 233).

[34] Lacy likewise said: "What you do in the avant-garde today, in 20 years from now, is a classic, and it's easily accessible. People are right to wait 20 years; why not? Not everyone wants to know the immediate—the new. It's a question of taste, appetite" (Olding 1997, 3). Also see Nai (1998, 7).

[35] Lacy also includes Monk as one of his African American "professors" when speaking with Ben Sidran (see appendix C).

[36] Solis comments that "musicians, listeners, and scholars generally use the term unself-consciously, and as a result its meaning is a little vague" (2008, 71).

[37] Solis also draws the conclusion that Monk's voice may refer to the musical world he created (2001, 72).

Appendix A: A Biography of Thelonious Monk

The following biographical sketch of Monk's life addresses his musical activities from a young age until his last performances to provide context for chapters of this dissertation. As a gloss, Monk showed promise at a young age playing in a Harlem-stride piano style, which led to his involvement in the developing style of bebop; however, because of his divergence from the bebop style in the 1940s, his music was generally unaccepted until the 1950s when his record producers conceived of a program to expand his audience. By 1957 the public had become more accepting of Monk's music, and by having signed with Columbia Records in the 1960s, he gained an international reputation as a jazz icon. The commercialization of his music gave rise to repetitive and formulaic performances, inevitably leading to the group's downfall by 1969. The following sections chronologically describe Monk's musical life, followed by a discussion of common themes that are drawn from the biographical sketch.

Early Life

Thelonious Sphere Monk (October 10, 1917–February 17, 1982) was born in Rocky Mount, NC, and moved to the San Juan Hill neighbourhood of New York City in 1922 with his mother and two siblings. The community had had a reputation for violence but a strong sense of community and African American culture (Kelley 2009, 16–19).[1] Although he took private lessons from a classical trained pianist,[2] Monk learned music from many of his neighbours, including jazz musicians Benny Carter, Freddy Johnson

and “Bubber” Miley. The women of Monk’s life also shaped his early musical development: his mother instilled traditions of gospel, hymns and old spirituals, and a local musician named Alberta Simmons mentored his stride piano playing. He was also involved in the local community centre that fostered music, as well as athletics and other extracurricular activities (ibid., 26–28).

His family was musical, and supported his ambitions to be a musician from a young age; Monk played the organ at a Baptist church in his teens, and with his mother’s permission, he left school to play with a travelling Evangelist group (ibid., 40–41). He showed promise in 1934 when he began attending the Apollo Theatre on Monday nights to play in their “Audition Night” competition—after frequently winning the ten-dollar prize, Monk and his trio were asked not to return so that the other musicians would be given a fair chance (ibid., 36).[3] He found consistent work opportunities in the city, primarily playing in the Harlem-stride style with a quartet he formed in 1939; in the early 1940s he joined a coterie of progressive musicians and began composing his own material (ibid., 55–56). Telling of his early ambitions to be an innovative composer, he did not work or identify with the big bands of the time: “I wanted to play my own chords. I wanted to create and invent on little jobs” (B. Simon [1948] 2001, 55).[4]

Monk and the Beginning of Bebop

Monk is well known as a contributor to the invention of the bop[5] style—a major stylistic change in jazz that grew during the early 1940s. In January 1941, Monk was hired as the house pianist for Minton’s Playhouse, a jazz club located in Harlem that is

now regarded as the breeding ground for the beginning of bebop (DeVeaux 1997, 219; Kelley 2009, 59–64).

Monk was in a special position when working at Minton's. Discussing his early work, Scott DeVeaux points out that Monk was young and still living with his family during the early 1940s, which provided a financial security that would alleviate the pressures of finding a secure (and probably a more commercial) job working in a stable band (1997, 223). Being in this position allowed Monk to experiment freely at the piano, to work on his own ideas in the progressive environment of Minton's, and ultimately to establish a body of compositions that would make Monk known as a bop composer whose works would be played by many groups in the 1940s.

His compositions were heard increasingly during this time: many of the musicians passing through Minton's would perform his pieces at other clubs in New York. His position as house pianist for Minton's ended at the end of 1941 (Kelley 2009, 74); however, bebop moved from its roots in Harlem to Manhattan, and Monk began playing his music in the midtown clubs as well (e.g., he held a consistent job at Kelly's Stable on 52nd Street in 1942) (DeVeaux 1997, 222–32, 282). Older and more well-known jazz musicians were taking an interest in Monk's compositions by the early 1940s.[6] Some early performances were captured at Minton's in 1941, but his first commercial recording was with Coleman Hawkins on October 19, 1944 (Hawkins 1993); his solo on "On the Bean" is an early example of his idiosyncratic sound (DeVeaux 1997, 329). Monk began consistently playing with Hawkins in February 1944 and their partnership would continue into 1945 (Kelley 2009, 95–96, 105, 111).[7]

Playing with Hawkins was a valuable experience for Monk. Bebop and its musicians (including Monk) were not accepted by everyone in the 1940s: the new style of music to be included under the term "jazz" split critics into two stances that either approved or disapproved of bebop as an evolution from the swing style that preceded it (DeVeaux 1991, 538). Hawkins, then an accepted jazz musician, had the authority to promote the new music, and became a legitimizing force to provide bebop with credibility (DeVeaux 1997, 319). Although Monk's compositions were being heard as part of the bop repertoire, he was still an unknown pianist who needed a boost in popularity; however, his eccentric and unreliable character made it difficult for him to find work with a consistent group.

Monk played for the Dizzy Gillespie Orchestra from May to July 1946,[8] but was let go because he was unreliable, consistently late, and sometimes absent from performance dates. The band recorded his music, again making him a well-known composer in the bop idiom (Gourse 1997, 43–44; Kelley 2009, 113–15). Monk saw his discharge as a lack of respect as he had provided the band with many of his compositions. Disgruntled by the circumstance, he began composing and recording new pieces under his own name in 1947 (Gourse 1997, 44–45; Kelley 2009, 121).

Monk's First Recordings as Leader

Blue Note Records released Monk's first album as a leader in 1947, and continued recording his work until 1952.[9] These albums included his earliest compositions, and along with his new material, they formed a repertoire that would be the foundation of his

performances for the rest of his life (Early [1985] 2001, 236). But Monk's early recordings were not well received. As early as 1944, his playing was negatively reviewed by many critics, and his recordings from 1947 were swept up into the same harsh criticism that had burdened his reputation from the previous years (Gourse 1997, 36, 53; Kelley 128–29). In an attempt to bring him into prominence, Blue Note's owner Alfred Lion gave Monk the alias of "the high priest of bebop," while Lion's wife, Lorraine, consistently promoted Monk as a genius, and organized tours and interviews with the press (Gourse 1997, 52, 83; Kelley 2009, 132).[10]

Monk had the opportunity to be understood by the media in a new light, but his involvement with the press had an adverse effect on his reputation. Already regarded as an eccentric, his interviews reinforced an image of oddity—he would respond to questions with strange answers, or no answers at all. Monk was disgruntled by the media establishment, and "hated to be misconstrued or misquoted" (Gourse 1997, 38, 46).[11]

Although Monk was widely criticized in the 1940s, there were some writers who praised Monk's unique approach. Bill Gottlieb paid tribute to Monk's involvement in bebop's beginning ([1947] 2001, 23–24), and Orrin Keepnews, writing for *Record Changer*, favoured Monk's ability: "there are indications that [Monk's] music may represent a huge forward step towards discipline and coherence in this newest form of jazz" ([1948] 2001, 50). What Keepnews was able to read from the music was that Monk was not just a bop artist, but his music pointed to further development in the jazz language.

Monk's Image as a Bebop Musician

Monk was not just another bop musician; in fact, his music did not conform to many of the stylistic markers that defined bebop as a musical genre.[12] So why is Monk seen as a bop musician? I believe that he is still included in this group primarily because of his sartorial appearance and because he worked with other bebop pioneers. The appearance of bop musicians included stylistic markers of a beret, zoot suit, goatee, and horn-rimmed glasses (Lott 1988, 598; Monson 1995, 400). In the public eye, these stylistic markers represented the "hipster," and Monk was no exception to these visual aesthetics. He wore a zoot suit, had a goatee in the 1940s (and later a full beard), wore different styles of glasses and owned a collection of hats from around the world. The pianist Mary Lou Williams—a good friend of Monk's—credits him for starting the fashion that defined bop's visual aesthetic (Jones [1954] 2001, 14; Kelley 2009, 92). His appearance was a central topic of discussion in almost all the media about him; in a eulogy written by Whitney Balliett, Monk's image is one of the first topics of discussion, even before discussing his music and important biographical information ([1982] 2001, 228).[13] Scott Yanow writes that Monk "was viewed by the jazz press as an eccentric. He received more publicity about his choice of hats than about his music" ([1976?], 39). From the 1940s on, Monk would be regarded as a "hipster" because of his appearance.

His early recordings with Hawkins also place him in the bop idiom. Monk's work with Hawkins inevitably facilitated Monk's inclusion among the artists of the new musical genre.[14] Monk's compositions were also played by many bop artists, making him

a bop composer. But bop was not a composer's idiom, it was a soloists' art. Although other musicians played the "heads"[15] of his pieces, these composed sections served as a path to solo sections where the improviser would superimpose a bop style over the basic constructs of the piece.[16] Printed in 1948, the impression of Teddy Hill (bandleader and club owner) was that "Monk seemed more like the guy who manufactured the product rather than commercialized it. Dizzy [Gillespie] has gotten all the exploitation because Dizzy branched out and got started. Monk stayed right in the same groove" (Peck [1948] 2001, 48).[17] Because the new genre of music in the 1940s was bebop, Monk was inevitably grouped within this style.

Monk, however, did not always conform to the bop aesthetic, and in many ways, was not a bop musician at all. In his eulogy, Balliett says, "[h]e was often lumped with Charlie Parker and Dizzy Gillespie, however, he did not have much in common with them outside of certain harmonic inventions" (Balliett [1982] 2001, 229). Similar opinions are shared by other prominent writers about Monk and his music: Leslie Gourse believes Monk's music was called bebop out of convenience (1997, 23, 26), and Gabriel Solis remarks that Monk's "style bore little resemblance to those of the mainstream bop artists" (2001, 95). Martin Williams attacks the issue head on when discussing Monk's Blue Note recordings: "Monk was not a bopper. He had been working on something else all along. And those Monk recordings from 1947–1952 seem among the most significant and original in modern jazz" ([1970] 1983, 156).[18]

It is easier in hindsight to see that Monk was not a bop artist as his rise to fame came later in life. In fact, by the end of the 1940s he was regarded only as a contributor to

bebop and was set up to be an unforgotten artist in the history of jazz. Because he was seen as a bop musician, most critics dismissed his work from 1947 to 1952 because the expectation of a bop aesthetic was not met in the recordings (ibid.). Fundamentally, Monk's non-conformity to the bop aesthetic played a large role in why he was not accepted by the public.

A Turn of Events from 1951 to 1957

The early 1950s saw Monk's career plunge into further difficulty. In 1951 he was arrested for heroin possession and lost his cabaret card—without the cabaret card Monk was unable to perform in any venue that served alcohol in New York City. Since jazz was primarily heard in clubs, his employment opportunities were restricted until he received his card back in the summer of 1957 (Gourse 1997, 85–87, 132; Kelley 2009, 155–58, 225). Although he occasionally played outside New York City, Monk disliked travelling and decided to stay in New York to try promoting his music by changing to Prestige Records in 1952 (Gourse 1997, 88, 92; Kelley 2009, 159). Prestige produced Monk's first LP,[19] thus freeing him from the constraint of the three-minute 78 rpm format used by Blue Note (Kelley 2009, 164). Monk also had the opportunity to record with a new wave of contemporary musicians during this time, including the tenor saxophonist Sonny Rollins and the trumpet player Miles Davis (Gourse 1997, 95; Kelley 2009, 181). Gaining connections with other prominent musicians gave Monk the opportunity to travel to France in 1954 (Gourse 1997, 93–94), although he was relatively overlooked by the majority of French jazz fans (Hodeir [1962] 2001, 122; Kelley 2009, 172). From 1952 to

1954 he fulfilled the majority of obligations under his contract with Prestige, but displeased with the record company's lack of support, he changed record labels again in 1955 (Kelley 2009, 183, 185).

Orrin Keepnews was Monk's producer for Riverside Records from 1955 to 1959 and would play a hand in bringing Monk to fame (Gourse 1997, 64; Sheridan 2001, 369, 387). In December 1955, Monk also hired Harry Colomby as his manager, who would keep the job until July 1967 (Kelley 2009, 198–99, 387).

First on Riverside's list was to promote Monk on a national level. His TV debut on the *Tonight Show* was aired on June 10, 1955. Robin Kelley explains:

> Monk's appearance [on the *Tonight Show*] contributed to his growing legitimacy because Steve Allen's stamp of approval carried enormous weight in America's popular culture. [. . .] Allen primed the audience for Monk with a long introduction that attempted to place him in the larger pantheon of modern jazz. Calling him "a musician's musician," he described Thelonious as a man less interested in becoming famous than developing as an artist. (2009, 187)

Riverside's agenda from 1955 to 1956 was to record three albums that would bring Monk into the jazz mainstream and gain a wider acceptance of his music. The first recording was an album of pieces composed by Duke Ellington, pieces that were not considered "traditional" or "modern" for the time, but were accepted as part of the jazz mainstream (M. Tucker 1999, 232).[20] This album was used as a marketing strategy by Riverside to provide a compromise to both traditional and modern jazz fans, and was deliberately meant to bring a new audience to Monk's music (ibid., 233–34).[21] The album was followed by a 1956 release of *The Unique Thelonious Monk* (Monk 1956), which consisted of standard jazz tunes including "Just You, Just Me," "Honeysuckle Rose," and "Tea for Two" (M. Tucker 1999, 241; T. Lord 2003). Furthermore, the sidemen on both

recordings were highly respected musicians of the time: Oscar Pettiford played bass on both recordings, Kenny Clark played drums on the Ellington recording, and Art Blakey was on drums for the standard album (T. Lord 2003). These two albums were put forth with the ambition to make Monk a prominent jazz pianist.

The two albums served as vehicles for Monk to present his unique musical approach in a standard context. His work on these tunes is heard as "recomposition"—the stripping down of each piece to its basic elements, then a rebuilding of the music with Monk's signature aesthetic. The music is thus an integration of composed "classics" with his musical conception. Since these tunes were already part of the jazz tradition, Mark Tucker argues that the definition of "mainstream" was broadened to accept Monk's contemporary sound (1999, 242).

Monk's next album of his own compositions—*Brilliant Corners* (Monk 1987a)—was released to reintroduce himself as a modern composer. With the upswing in acceptance for his music from the previous two albums, along with new compositions and a group of iconic jazz musicians,[22] the album was a success (Gourse 1997, 126; Kelley 2009, 223). As public opinion was growing fonder of Monk's music, he was the able to play according to his own musical values, and would receive the recognition he deserved.

Monk Plays at the Five Spot

In the summer of 1957 Monk obtained his cabaret card and began playing six nights a week at a club in downtown New York (Greenwich Village) called the Five Spot

Café. The gig started as a trio on July 2 and expanded to include John Coltrane on tenor saxophone on July 18 (Gourse 1997, 132; Sheridan 2001, 374). Coltrane had been let go from the Miles Davis group earlier in the year, and was playing with Monk as early as April 1957, including a recording of "Monk's Mood" that appeared on the release of *Thelonious Himself* (Monk 1987c). Coltrane would continue to work with the quartet at the Five Spot until Davis rehired him in January 1958 (L. Porter [1998] 2010, 132). Coltrane and Monk recorded on three dates through the summer of 1957, twice with a septet and once as a quartet. Other recordings, such as the *Thelonious Monk Quartet with John Coltrane at Carnegie Hall* (Monk 2005) and *Thelonious Monk Quartet Featuring John Coltrane: Live at the Five Spot: Discovery!* (Monk 1993c), have surfaced over the past two decades.

The success of the Five Spot performances brought Monk into popularity (Kelley 2009, 239).[23] Nat Hentoff reflected on the Five Spot appearances and Monk's support from Riverside, finding these factors to be large boosts for his career (1960, 133). Speaking of the Monk/Coltrane collaboration, Williams also comments, "through Monk's music each [musician] discovered and expanded his potential" ([1970] 1983, 166).

Six months after Monk's 1957 debut at the Five Spot, he was included in a CBS production called "The Sound of Jazz" on December 8, again bringing him in front of an audience outside New York (Kelley 2009, 239; Sheridan 2001, 377). He led his own group at the Newport Jazz Festival for the first time in 1958 (Gourse 1997, 138) and won the *Down Beat* critics poll for the best jazz pianist in 1958 and 1959 (Langford 1971a, 7). Tenor saxophonist Johnny Griffin replaced Coltrane in January 1958 and was a

complement to the group. Griffin's playing style is different from Monk's; however, the critics liked Griffin and his experiments with the music (Gourse 1997, 142). He remained a part of the quartet until September 18, 1958 when he left the group for financial reasons.[24] He was temporarily replaced by Rollins for a few weeks until Charlie Rouse became the permanent saxophonist on October 2 (Sheridan 2001, 381).

Monk developed a unique stage presence during his time at the Five Spot, and continued his performance rituals for the remainder of his career. First, mid way through the saxophone solo, Monk would stop playing behind the soloist and leave the group to play as a trio. Second, during the saxophone solo, he would dance on stage, usually spinning slowly in circles.[25] By Griffin's account, "Monk was an actor, always acting. He had no pretensions. He was natural, but he was acting, always on stage. And Monk was always making his gestures, getting up, dancing around in circles, patting his foot, stomping his heels" (Gourse 1997, 141). Rouse believes Monk's dance was a result of inspiration. In an interview with Peter Danson, Rouse explains:

> Because of his dancing around the piano etc. he was often considered an eccentric character, but it all had a meaning. It wasn't a stage presentation, it was how he felt at that moment. He would never do it if the situation didn't lend itself for him. When he danced it meant the thing was swinging, and it made him do that. (1982b, 7)

By the end of 1959 Monk was gaining respect as a musician, but was seen as an odd character based on his performance on stage. His unusual behaviour was usually discussed with reference to his problems with drugs and an undiagnosed mental illness (Gourse 1997, 116–21)—two personal aspects that drove him to seclusion, and maintained his image of "strangeness."

Critics of the late 1950s commended Monk's music, but were still sceptical if he would have an impact on the future of jazz. Martin Williams comments that the critics, who once dismissed Monk, had come to accept his music by the late 1950s ([1970] 1983, 154). The French critic André Hodeir wrote, "[t]he musician who once terrified us all no longer seems to disturb a soul. [Monk] has been tamed, classified, and given his niche in that eclectic Museum of Great Jazzmen" ([1962] 2001, 121); however, Hodeir questions if Monk would have a lasting influence (ibid., 122). He was still playing for little pay at the Five Spot (Gourse 1997, 132), and it was not until the 1960s that he would be known as a jazz icon.

The Early 1960s

The Five Spot gig ended abruptly in October 1958 when Monk, his patron the Baroness Pannonica De Koenigswarter (a.k.a. Nica), and Rouse were arrested for drug possession; Monk lost his cabaret card until June 1960 (Gourse 1997, 154, 157; Kelley 2009, 253–55, 288).[26] In the meantime, the group played at larger concert halls and recorded albums for Riverside (Sheridan 2001, 382–90). In 1960, Hentoff observed: "It has become inescapably hip in the past year to accept Thelonious Sphere Monk as one of the reigning council—and perhaps *the* lama—of modern jazz. He has been elevated from a cartoon to an icon" (1960, 133, emphasis in original). In April 1960, the group spent three weeks playing at a club in San Francisco called "The Blackhawk." Monk had been there for three weeks the previous October and November, bringing his music to a new audience on the West coast (Sheridan 2001, 387, 389–90). The critic Grover Sales wrote

that the club hired Monk in 1959 due to his media exposure and that Orrin Keepnews had promoted Monk as a gifted musician (Sales [1960] 2001, 102). Previously known as "Monk the Mystic Recluse, Monk the Enigmatic, Monk the Capriciously Bizarre," jazz fans were intrigued by him; many attended the concerts to witness the character that they had heard about over the past years (ibid., 101, 104). The performances from April 1960 were recorded and released,[27] and the group who had previously failed to make a big impact nation wide ("Same Old Unusual Story" 1960, 12) had gained more popularity with a Western audience.

In June 1960, Monk hired the soprano saxophonist Steve Lacy for sixteen weeks to play at the Jazz Gallery in New York, and other festivals.[28] Lacy's time with the group would prove to be a valuable experience: he would dedicate the years 1961–64 to learning and experimenting with Monk's music.

By 1960, the band was making more money (Gourse 1997, 173, 195), was financially stable, and would begin taking large tours. A European tour in April and May 1961 would be the group's first trip overseas, but was it cut short due to poor ticket sales.[29] However, the group had more success in subsequent tours through Europe, Japan, Australia, New Zealand and Canada from 1963 to 1969. The quartet also covered most of the major cities in the United States through the 1960s while Monk's fame grew to that of a legend (Sheridan 2001, 421–49).

Monk's Rise to Fame in the Mid-1960s

A major part of Monk's increased fame stemmed from the move from Riverside to Columbia Records in 1962 (Gourse 1997, 191; Kelley 2009, 317)—the major record label had the resources to promote the music and send the band on tour. In hindsight, Jef Langford claims that Columbia was overexposing the group (1971b, 3). But the band had created a unified sound by the mid-1960s, they had won the 1964 *Down Beat* Critic's Poll (ibid., 3), and the media was pushing Monk's fame to new heights. On February 28, 1964, Monk appeared on the cover of *Time* magazine, and its corresponding article spun out a series of debates about Monk and the state of jazz in the 1960s.

Barry Farrell's publication in *Time* offers a short biography of Monk and a description of his music, but focuses on Monk's odd behaviour, and includes him in the stereotypical group of jazz musicians that abuse narcotics and are "unusual" ([1964] 2001, 150–61). Leonard Feather, a critic writing for *Down Beat* wrote a response to the article claiming that Farrell's portrayal of the musicians was damaging to jazz in general in that it reinforced earlier twentieth-century racial stereotypes that by 1964 had begun to dissipate in the minds of most liberal Americans ([1964] 2001, 162). Robin Kelley writes that Theodore Pontiflet, from the *Liberator* in 1964, thought the *Time* article was blaspheme; Columbia Records and a white-dominated establishment (including club owners, his manager, and his patron Nica) were to blame for the media's exploitation of Monk (Kelley 1999, 146).[30]

When Amiri Baraka heard in late 1963 that the cover story was going to be published, he took the opportunity to attack the jazz establishment, the writers at *Time*, and the mainstream jazz audience—who in his opinion could not even begin to comprehend Monk's music ([1964] 2001, 165). The remainder of his article describes Monk's music (most of Baraka's essay explains his experience hearing Monk at the Five Spot), and points out two problems that Monk's group was then facing: 1) the canonization of his music could be a precursor for the group to become stale and dispensable, and; 2) because the band had become "a tightly connected musical unit" with a "unison sound," it was becoming less spontaneous, and possibly more of a repertoire band than an experimental group (ibid., 168).[31] What Baraka foresaw would end up being the fate of the group through the last half of the 1960s.

The Steady Decline of Monk's Career

Part of the reason why the band grew stale was that Monk did not write many new tunes during the 1960s (Langford 1971b, 3). Colomby said that he had encouraged Monk to write more compositions, but he replied, "the musicians don't know the old tunes yet. They have to learn those first" (Gourse 1997, 197).[32] His albums that included new material, such as *Criss Cross* from 1963 (Monk 1993a) and *Underground* from 1968 (Monk 2003b) were given good reviews (Gourse 1997, 197; Kelley 2009, 393), but Monk regularly performed and recorded his older compositions. Nor did Monk change his musical style according to other developments in jazz—he expressed a dislike of free improvisation in the early 1960s, and had the same opinions of Miles Davis's jazz-rock

fusion later that decade (Kelley 2009, 277, 280, 405). Martin Williams later wrote that Monk would coast during his time of success ([1970] 1983, 169), while other critics said that fame had spoiled Monk and that he was plagued by commercialization (Early [1985] 2001, 237; Langford 1971b, 4). His music grew tiresome in the last years (Early [1985] 2001, 236), and by 1969, "Monk seemed to be at an impasse" (Langford 1971b, 4).[33]

Rouse left the group in January 1970 and was replaced by Laurdine "Pat" Patrick. Paul Jeffrey succeeded Patrick in May, and would be Monk's saxophonist for the last years of his career.[34] Although he owed Columbia three albums, Monk was released from his contract by the end of 1970 (Kelley 2009, 415); he did not sign with another record label thereafter. He played intermittently from 1970 to 1973 in the United States, and joined the "Giants of Jazz" tours in 1971 and 1972. He played at Carnegie Hall in April 1974 and two times for the Newport Jazz Festival in July 1975; his last four performances were March 28, June 4 and 30, and July 4, 1976 (Sheridan 2001, 456–68).

Monk's Life: Common Themes

Four central themes can be drawn from Monk's work from 1940 to 1970: 1) his rise to fame as a canonic figure in the history of jazz, 2) critic's changing perceptions of his piano technique, 3) a persistence in a personal art form that he developed early in life that exemplifies a non-conformist attitude of holding strong to his idiosyncrasies, and 4) his role as a mentor to emerging artists who would propagate his philosophy in jazz.

Monk's Legacy

Today, Monk is an iconic jazz musician. Although many bop artists played his compositions during the 1940s, he did not receive recognition for his work until the 1950s; his reputation could not secure financial gain and international popularity until the 1960s. When he passed away in 1982, Balliett summarized Monk's importance by writing, "the cumulative excellence of his playing made him a standard against which to measure all jazz" (Balliett [1982] 2001, 229). Solis's dissertation also places Monk in a historical context: "his compositions and his performances of them are widely known, making the backbone of 'modern' jazz repertoire, and he stands as one of the most well-known figures of jazz since the 1950s" (2001, 10). In addition to the numerous tribute concerts and recorded albums dedicated to his music after his death,[35] the Thelonious Monk Institute of Jazz was founded in 1986 (Kelley 2009, 450) and remains an authoritative organization for community outreach, and the education and promotion of jazz musicians (Blumenthal 2012). Aside from Monk's popularity in the 1960s, he has become a legacy that is still held in high regard.

Piano Technique

Critical reception of Monk's piano technique is an important aspect of his career. There are many examples of early criticism of Monk's music.[36] Because of his dissonant sonorities and unconventional manner of playing the piano, many critics believed Monk to have limited technique. Rob van der Bliek writes that Monk's technique "may have initially done more harm than good for his reception by the critics" (2001, xiv). Reviews

from *Record Changer* and *Billboard* were positive, but stand in contrast to those printed in *Down Beat* and *Metronome*.[37]

Many authors provide mixed reviews by praising the music but questioning his piano technique. Although one author does not escape writing of Monk's "limited keyboard technique," his music is reviewed for anyone "with an ear for the unconventional." The author explains: "Modernists (of whom he is to me one of the most distinguished) sometimes fail to appreciate the logic and character of his hard, stark, yet entertaining harmonic and melodic conceptions. Traditionalists (who could be pardoned for not appreciating anyone so "far out") have frequently told me how much they like him!" ("Review of *Thelonious Monk Trio*" 1955). An early review by fellow musician Herbie Nichols praises Monk's rhythms and ability to play stride piano, but states, "he seems to be partial to certain limited harmonies which prevent him from taking a place beside Art [Tatum] and Teddy [Wilson]. He seems to be in a vise as far as that goes and never shows any signs of being able to extricate himself" ([1944] 2001, 2). Peter Keepnews, writing in 1982, frames his appreciation of Monk's work similarly: "like so many others who were bewildered or upset or offended the first time they encountered Monk's unorthodox musical universe, I had to un-learn a lot of preconceived notions about what was right and wrong" (1982, 72). Scholars have since disparaged the petty criticisms; however, some critics did not come to terms with his technique. For example, Helen McNamara writes in 1967: "in spite of his originality, his lack of technical finesse is disconcerting" (1967b, 44).

Leonard Feather, a leading critic for *Down Beat*, published a treatise on bop in 1949 that unfairly portrayed Monk's pianism in a much broader context. *Inside Jazz* (originally titled *Inside Be-bop*), minimizes Monk's place in the development of bop, and claims his involvement "has been grossly distorted, as a result of some high-powered publicity work. He has written a few attractive tunes, but his lack of technique and continuity prevented him from accomplishing much as a pianist" ([1949] 1977, 10). Feather quotes Kenny Clarke, a prominent drummer from the 1940s Minton's jam sessions, as saying that Bud Powell "used to do all the things that Monk wanted to but couldn't. Bud had more technique" (ibid.). The publication infuriated Monk. Members of Monk's family told Robin Kelley about the situation:

> According to family lore, Thelonious ran into Feather at Rockefeller Center one afternoon, [. . .] grabbed him by the neck, and threatened to throw him over the guard rail overlooking the ice-skating rink. He was so angry, his eyes welled up as he shouted, "You're taking the bread out of my mouth!" (2009, 150, 497n49)

The example speaks to early criticisms of Monk and how he believed them to effect his career. Feather would later change his opinions; however, the issue of Monk's technique remained a subject of conversation for decades.

Monk responded to the critics pointedly. Speaking with Nat Hentoff in 1956, he stated:

> Some people say I haven't enough technique. Everybody has his own opinion. There is always something I can't express that I want to. It's always been that way and maybe always will be. I haven't reached perfection. Maybe these people with those opinions have reached perfection. I went through a whole gang of scales like other piano players did. (Hentoff [1956] 2001, 77)

Although Monk makes reference to his expression, he defends his technique by talking about scales, that is, citing a quantifiable aspect of learning the piano. He made a similar

statement in an interview from 1965, equating technique with the speed in which one performs:[38]

> I guess those people are surprised when they hear certain things that I've done on records. They must feel awful silly about saying I don't have no technique. Because I know you've heard me make some fast runs. [. . .] I'm one of the cats that used to start them playing like lightning. (Tomkins 1965)

Monk's rhetoric was therefore in opposition to the critics by squarely negating their rendering of his ability.

Monk boldly defended his technique twice in 1965. In the same interview with Tomkins, he said:

> But other musicians that are supposed to have good technique can't do it the way that I'm doing it. They can't do it as good as me, because I know the right fingering. I have to figure out certain kinds of fingering to get certain effects. You can't use that fingering they taught you in the European school of music. Sometimes that don't work— playing what I play. I know the right fingering, but I have to use my own some of the time. (Ibid.)

Kelley also reports, "when the issue of his technique—or lack thereof—came up, he had this to say: 'When they mean—the people who say that—is that their technique is limited—because they can't do what I do. I'll tell you one thing—my playing seems to work. I get good audiences, people seem to enjoy it'" (2009, 372).[39]

Most critics moved beyond discussing Monk's technique during the 1950s; however, many began defending his pianism with considerations beyond a rudimentary skill set (e.g., scales, dexterity).[40] For example, Gunther Schuller discusses Monk's orchestral sound (in comparison to that of Beethoven and Brahms) that links his compositional approach and piano performance ([1959] 2001, 96). A statement by Robert Kotlowitz in 1961 exemplifies what most critics were beginning to understand: "He is not

noted for a fabulous technique, but he can do exactly what he needs to do" ([1961] 2001, 116). In 1970, the growing acceptance of Monk's pianism was succinctly written by Martin Williams when he wrote, "the thing that shows that it is all not a matter of mere 'techniques,' Monk at his best is a deeply, uncompromisingly expressive player. [. . .] Everything he says, he says musically, directly, unadorned; he is all music and his technique is jazz technique" ([1970] 1983, 171). In the wake of this perceptual change, scholars have since lauded Monk's technique as an integral aspect, or solution for combining his aesthetic and the possibilities of his instrument.[41]

The Persistent Monk

Monk's persistence can be seen from his early recordings as leader until his acceptance in the 1950s. Generally, he maintained a highly personal style throughout his career—the consistency of his playing style can be heard in almost all of his recordings. Evaluating his work from 1947, critics disliked his music, in part for its failure to capture a bop aesthetic; his remaining recordings with Blue Note (1948–52) did not change to meet these expectations, nor did his other recordings with Prestige in the early 1950s. In spite of his early critics and an inability to perform from 1951–57, he did not drastically change his musical conception to fit an expected mould of mainstream jazz. As argued earlier, it was the agenda of Riverside records to maintain Monk's aesthetic while altering the definition of "mainstream" by swaying public opinion.

The alto saxophonist Jackie McLean (who performed with Monk in 1949, but did not record with him) commented on Monk's work in the 1950s: "In those days Monk was playing just what he wanted to, more or less. But everyone was sleeping on [ignoring]

him except for the active jazz musicians and a few jazz fans around him" (Spellman [1966] 1985, 199, brackets in original). Gerald Early points out that, "when his music went unheard and unaccepted, Monk simply clammed up and waited. This was, in a sense, a very brave thing to do" ([1985] 2001, 240).[42] In an interview with Lewis Lapham from 1964, Monk reflected on his success: "I was playing the same stuff 20 years ago [. . .] and nobody was painting any portraits" (1964, 74). As noted earlier, Monk did not write many new compositions after 1957; the music he wrote early in his life would remain his repertoire from that point onward. His continuous performance of old compositions can be seen as a persistence of his own unique style.

Monk's determination may also be seen in light of the many revokes of his cabaret card. His card was temporarily taken in 1948 due to a drug charge in June, again from 1951 to 1957,[43] and for a third time from 1958 to 1960 (Kelley 2009, 144, 155, 255; Kosner 1960). Examining the second occurrence, Gary Giddins writes, "Monk responded to his misfortune with an astonishing increase in energy—not only as composer and pianist, but as teacher" (1984, 73). Without an audience of his own, his mentorship to Sonny Rollins and John Coltrane in the 1950s makes Giddins believe that "[Monk's] genius was seeping into the mainstream. In a sense, his disciples prepared the way for him" (ibid.). Referring to his compositions, Giddins also states: "It's often assumed that Monk's greatest flowering as a composer took place during the 1940s, but I would argue that the 1950s were just as fruitful and even more ambitious" (ibid.). Thus, Monk's work with emerging artists of the time and his compositional output demonstrates persistence in jazz despite the restriction of work imposed by the loss of his cabaret card.

The third revoke of Monk's cabaret card was due to his arrest in 1958 in New Castle, DE. With Pannonica and Rouse, Monk was on route to a weeklong engagement in Baltimore when he stopped at the Park Plaza Motel.[44] Reported as an instance of Jim Crow, the hotel owner asked him to leave.[45] Rouse explained: "I was asleep in the back of the car [. . .] I could have told him not to do that . . . He just doesn't think about those segregation things" (Lapham 1964, 74). Monk was slow to leave and the motel owner called the police. After he returned to his vehicle, the responding officer arrived and tried to pull Monk out of the car. Monk "shook the cop off," and according to Rouse,

> it was awful. Cops jumping out of squad cars all over the place and beating up on Monk. They handcuffed him and took us to jail. But Monk didn't back down. If he thinks he's right, he sticks by what he thinks. He stood there and defied the judge. If they told him to sit down, he stood up. If they told him to say something, he said nothing. Finally they let us go, and I said, "Monk, you're sure some stubborn black man." (Ibid.)

Following Rouse's statement, Lewis Lapham claims that the event " indicates Monk's stubborn defense of his own point of view" (ibid.).[46] Along with Monk, Rouse and Pannonica were charged with possession of marijuana; the drug charges were dropped, but Monk was handed a criminal record for breach of peace and assault and battery, resulting of the loss of his cabaret card (Kelley 2009, 254–55).

The cabaret card obstacle is an example of broader systemic racism in New York City during the time. Paul Chevigny explains:

> the cabaret laws were principally of symbolic value to those who enforced them; they expressed the view of the New York City lawmakers—rooted ultimately in racism as well as fear of bohemian mores—that vernacular music was not entitled to be treated with respect. (1991 [2005], 25)

Considering the subculture of bop, and Monk's adherence to its customs of drug use and symbolic defiance of racism,[47] it is not surprising that he was caught in a legal system that targeted vernacular music and its many African American performers. Furthermore, Monk's (later diagnosis of) bipolar disorder contributed to his relative abnormal behaviour, which would not have aided his attempts to defend his position or reinstate his cabaret card.[48] Under the hegemony of the cabaret card legal system, Monk's perseverance to maintain a presence in the jazz community during the 1950s demonstrates a strong belief in his music and ways of life—what Rouse called "Monk's unbending guts" (Lapham 1964, 74).

Another theme of Monk's life is closely linked to his artistic persistence. Farrell, in his article in *Time* from 1964, said it was Monk's "high philosophy to be different," to "play yourself," and that he encouraged his sidemen follow his example ([1964] 2001, 151, 158). Monk's sidemen agreed with his assertion; having an individual voice in jazz would be one of Monk's most important lessons.

Monk the Mentor

The last theme of Monk's life is his role as a teacher, mentor, guru, or sage in the jazz community. Kelley's biography frequently makes reference of Monk's mentorship. Contrary to reports that bop musicians at Minton's created complex melodies, harmonies, rhythms and form to "scare away the no-talent guys,"[49] Monk taught many aspiring musicians of his ideas, many times out of his home (Kelley 2009, 67–68). One of his protégés was Bud Powell, who identified closely with other bop musicians and took Monk's approach in his own direction (ibid., 81); other early bop musicians such as

Charlie Parker, Oscar Pettiford, and Miles Davis credit Monk for teaching them musical aspects that influenced their styles, many times teaching by demonstration (ibid., 85, 105–7). Hentoff writes that Davis recalled:

> If I hadn't met Monk shortly after I first came to New York around 1945, [. . .] I wouldn't have advanced as quickly as some say I did. He showed me voicings and progressions and I remember Charlie Parker would take me down to listen to Monk all the time and make me sit in with him. (1960, 135)

Important jazz legends moved through Monk's school during the 1950s. Saxophonists that performed with Monk—Johnny Griffin, Gigi Gryce, Ernie Henry, Sonny Rollins, John Coltrane, Charlie Rouse and Steve Lacy—all viewed Monk as their mentor.[50] In fact, Lacy calls his time with Monk a "post-graduate college course" (Bull 1985, 1:50–1:54).[51] Many of Monk's sidemen from the 1950s and 1960s spoke of Monk's teaching. T.S. Monk Jr. discusses how all of Monk's sidemen were transformed while working with him, specifically Ben Riley, Frankie Dunlop, Coltrane and Rouse (Kelley 2009, 424). Bassist Scott LaFaro and drummer Billy Higgins both comment that although they spent relatively little time with Monk, their performances with him were important learning experiences (ibid., 283, 287).

A number of pianists also claim Monk to be an important mentor and example for their musicianship. Pianist Randy Weston considers Monk a sage, and when living in Brooklyn in the 1950s, introduced many of his local colleagues to Monk, thus disseminating his ideas to another borough of New York City (ibid., 119).[52] When heroin plagued the jazz community in the mid-1950s, Monk befriended the aspiring pianist Hampton Hawes by helping him purge his habit and continue working (ibid., 208). Ran Blake is another pianist who is heavily influenced by Monk and had close ties to him in

the 1960s (ibid., 296–97).[53] Barry Harris was a close friend of Monk's, and although he did not learn from Monk directly, he claims an important role in continuing Monk's legacy.[54]

Much of Monk's teaching occurred aurally in the moment of performance. The recordings for Blue Note, as well as for *Monk's Music* (Monk 1993b) and *Brilliant Corners* (Monk 1987a) for Riverside, are examples of Monk teaching his sidemen their parts by ear at the recording session.[55] Gryce spoke of the difficult tunes for *Monk's Music* and how he needed to practice them at the recording session without the aid of written scores (Kelley 2009, 193). For *Brilliant Corners*, only under studio time constraints did Monk reluctantly share the printed music with his sidemen (ibid., 506n84). On the bandstand, saxophonists were frequently plunged into the difficult tunes with little preparation time; Griffin, Coltrane, Rouse, and Lacy all spoke of their experiences of learning from Monk during their public performances.[56]

An important aspect of Monk's teaching was that it was mainly provided by example, exchanging and repeating musical parts that were taught and learned aurally.[57] Peter Watrous calls Monk's apartment in the early 1950s a "classroom," where he would host practice sessions with young musicians (Watrous 1992, 29); some were also held at Pannonica's house in New Jersey. The ritual is described similarly for each musician who experienced private sessions with Monk. Rollins, Coltrane, Rouse, and Paul Jeffrey all learned their parts, approaches to improvisation, or experimental instrumental techniques from Monk. He would teach their parts by repeating them slowly; many times, he would leave the room for the saxophonist to experiment with the material, only to return hours

later to play together (Franklin 1987, 7; Kelley 2009, 210, 219–20, 416). In Coltrane's words:

> Well, I'd go by his house to—by his apartment, and get him out of bed, maybe, or [laughs]—he'd wake up and roll over to the piano and start playing. He'd play anything, it might be just one of his tunes. He'd start play' it and he'd look at me, I guess, and so when he'd look at me, I'd get my horn and start trying to find what he was playing. And, he'd tend to play it over and over and over and over, and I'd get this part, and then next time I'd go over it, I'd get another part, and, he would stop and show me some parts that were pretty difficult, and if I had a lot of trouble, well, he'd get his portfolio out, show me the music, he's got music, he's got all of it written and I'd read it and learn it. He would rather a guy learn without reading 'cause that way, you feel it better. You feel it *quicker*, when you memorize it, when you learn it by heart, by ear. And so, he'd, when I almost had the tune down, then he would leave, leave me with it, he'd leave me to practice it alone and he'd go out somewhere, maybe he'd go to the store or go back to bed or something. And I'd just stay there and run over the tune. [When] I had it pretty well, then I'd call him and we'd play it down together. And sometimes, we'd get just one tune a day. (Blume [1959] 1998, 91, emphasis in original)

Robert Kotlowitz similarly writes about Monk's work with Rouse:

> Rehearsing with a colleague, [Monk] rarely uses a score. "I've got it all written down," he says, "but we do just as well without reading notes. That way nothing distracts." A rehearsal may go on for two hours or longer. Monk feeds his tenor sax man, Charlie Rouse, a note or phrase at a time. Rouse takes it bite by bite, each note or phrase a mouthful digested to bewildered shakings of the head. It can take the entire two hours to get one full minute of music set between the two. ([1961] 2001, 117)

Rouse explained in his interview with Ben Sidran:

> Ben Sidran: What were the rehearsals about? Were they about phrasing, particularly?
>
> Charlie Rouse: No, they were about learning the melody of the tune . . . and working it out, by yourself. You know he learned you the melody, and play it for you so you can hear what he's talking about harmonically. And you . . . [unintelligible] learn the chords of what he's playing. Then he'd leave you alone. And then you tackle it, you know. [unintelligible] I use to rehearse with him for hours at night. I say man, we go to the baroness house cause we used to rehearse there.

> BS: Pannonica, baroness [unintelligible] New Jersey
>
> CR: Yeah, Pannonica, the baroness. An we used to go around maybe nine or ten o'clock and rehearse all morning. We'd be by ourselves and he learned me the tune. And I'm up and down the room studio playing the tune by myself—he's there listening. He may be upstairs or downstairs but he's listening all the time, you know. But it's about . . . he learning the tune, and how it is, how he want it phrase, how he want it to go. And then when he know that, then he say 'alright,' work on it, play it. It's not a thing where we sit down here at the piano and then he shows chords, and he just play chord after chorus after chorus with me. It's the thing, he just learned me the melody. Then he want you to expound on it. (Rouse [1985] 2006, 1:22–2:50)

Lacy's experience was no different. He writes, "[w]hen I played in Monk's quintet, he would never show us the score. The pieces were written out, but he preferred to teach us the music by playing it for us, over and over, until we dug it enough to try it out. Then we would play it every night until it sounded good enough to dance to, and well he did it!" (Lacy [1994] 2005, 163).[58]

Monk had a teaching method that was tried and true. The multiple sources that speak to his method—all claiming it to be an important role in their formidable musicianship—speaks to his ability, and expansive vision of what jazz was and could (r)evolutionarily be at the forefront of its art form. Although there are a handful of musicians that were graced with the opportunity to study with Monk, Rouse and Lacy were two of his sidemen that learned from him directly and maintained his aesthetic throughout the majority of their careers; the "theme" of Monk as a teacher, mentor, guru, or sage is a major aspect of his life for training the next generation of musicians, and at the same time, disseminating his conception—the Monkian aesthetic—into the world of jazz.

Notes

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[1] Peter Keepnews also writes, "[o]f course, the neighborhood in which he grew up was also an influence. San Juan Hill, a primarily black area in Manhattan's West 60s where Monk lived most of his life, was a thriving center of black culture" ([1989] 2001, 6).
[2] Monk's teacher was Simon Wolf. Peter Keepnews also writes about "Mr. Wolf (or Wolfe)" ([1989] 2001, 7). Leslie Gourse speculates that Monk studied with the German composer Stefan Wolpe; it is likely that the name was mistaken for Simon Wolf (1997, 27–28).
[3] Leslie Gourse writes that Monk frequently won the prize for "Amateur Night" held on Wednesdays (1997, 9); Kelley's account is more reliable because it includes interviews and researched citations. The point is moot for this dissertation, except for historical clarification.
[4] For more on Monk's work with small groups instead of big bands, see Kelley (2009, 58).
[5] For the purposes of this dissertation, "bebop" and "hard bop" represent the same movement of jazz practice during the 1940s and 1950s, and may simply be called "bop." I use the terms bop and bebop synonymously.
[6] For example, Monk's "Epistrophy" was used by Cootie Williams as an opening and closing theme for his performances (Kelley 2009, 76–77). Monk's reputation as a composer, at times, is considered more important than his performance practice. For example, John Mehegan writes, "[i]n essence, Monk's 'bag' is that of a composer, not a pianist" (1963, 10). Also see Williams (1975; 1992).
[7] Hawkins would later record for Monk in June 1957, released as *Monk's Music* (Monk 1993b; T. Lord 2003).
[8] Monk was a previous member of Gillespie's group, co-led with Oscar Pettiford, in December 1943 (Kelley 2009, 90).
[9] Monk's recordings for Blue Note have been released as a complete set *(*Monk 2001).
[10] The original press release from Blue Note Records is printed in Lorraine Gordon and Singer (2006, 60).
[11] Also see Kelley (2009, 334). Monk was direct in an interview in 1966: when he was prefaced by "there are others who seem to get a vicious thrill from slashing and annihilating," Monk's response was, "I kind of agree with you. They change a lot of things, but I guess that's journalism. They have a lot of tricks, and they want to entertain the people. If something doesn't sound exciting enough for their public, they make it exciting" ("Encounter" 1966). Warren Gerard's article from 1966, ripe with racist undertones, concludes with similar words from Monk about reporters spinning his words or fabricating stories: "It's those reporters, man, you can't trust them" (Gerard 1966).
[12] For example, the music played by Charlie Parker and Dizzy Gillespie somewhat defines the bop style, typically having fast tempos, long melodic eighth-note lines, and an equal emphasis of each beat, or consistent emphasis on the back beat (beats 2 and 4 in a $\frac{4}{4}$ metre). Monk's recordings are taken at slower tempos with shorter melodic ideas,

and do not conform to an equal beat emphasis or consistent back beat emphasis. Robin Kelley also comments on Monk's slower tempos (2009, 116).

[13] Other writings about Monk begin by describing his fashion trademarks. For example, see Giddins (1984, 73), Gottlieb ([1947] 2001, 23), Sudhalter (1982), and James ([1960] 2001, 134).

[14] When DeVeaux creates a list of bop musicians, Hawkins is listed as being associated with the music and Monk is listed as one of its pioneers (DeVeaux 1997, 169n1)

[15] The "head" refers to the pre-composed section of a jazz tune (i.e., a prescribed melody and harmony), which is traditionally played at the beginning and the end of the piece.

[16] Monk's recordings for Blue Note serve as examples of other musicians playing in a bop style on his tunes. Bop players such as Danny Quebec West and Sahib Shihab improvise more like Charlie Parker than Monk on these recordings (Monk 2001).

[17] Leslie Gourse quotes Peck's article as follows: "Gillespie had packaged the goods and delivered it to the consumers. Monk seemed more like the guy who manufactured the product rather than commercialized it" (1997, 61). It is possible that Gourse had access to the original interview and that Peck's quotation was paraphrased; I have printed the original source due to lack of evidence to support Gourse's quote.

[18] Robin Kelley also reports that Monk's early recordings for Blue Note demonstrate a departure from bop (2009, 128). Bob Blumenthal's eulogy discusses the difference between rhythms of bop and those employed by Monk (1982, 1); Blumenthal also states, "[t]he rapid tempos and arpeggiated melodies most listeners identify with bebop are far removed from Monk's aesthetic," and "it became clear that if bebop was the norm, Monk was something else" (ibid.). An article by George Hoefer ends with (an incorrect) quote from Monk: "I don't think I actually play bop the way it's being performed today. My style is more original" (1962 [2001], 18). The quote, referring to an interview published by George Simon in 1948, captures the essence of *Simon's* writing; however, the direct quote cannot be found in the original except for Monks comment, "[m]ine is more original" (G. Simon [1948] 2001, 54).

[19] Although some of Monk's recordings had previously been released on LP's ($33^{1}/_{3}$ rpm), they were originally recorded for 78 or 45 rmp records. Monk's first recording for LP was *Thelonious Monk Blows for LP* (Monk 1954).

[20] *Thelonious Monk Plays Duke Ellington* (Monk 2007b).

[21] Tucker quotes the writing of Orrin Keepnews in his liner notes to *Brilliant Corners* (1987a), although Keepnews's notes to *Thelonious Monk Plays Duke Ellington* are also telling, in addition to his candor in the notes for that album's reissue (2007b). Also see Carr (1967, 4), and Watrous (1992, 29).

[22] In the liner notes to *Brilliant Corners* (1987a), tenor saxophonist Sonny Rollins is described as an "artist who has leaped to the front ranks among tenor men and had amazing and far-reaching influence on his contemporaries." Bassist Oscar Pettiford and drummer Max Roach "no longer need fancy descriptive adjectives; by now their names alone tell the story of their pre-eminence" (O. Keepnews 1956).

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[23] Charles Blancq writes, "for although he was an active participant in the early bebop experiments, his reputation as a performer was not fully established until his appearances at the Five Spot Café during the Summer of 1957" (1983, 17).
[24] Gourse (1997, 146); Kelley (2009, 250); Sheridan (2001, 381).
[25] The Monk documentary, *Straight, No Chaser*, uses Monk's dance as a common theme to depict his odd behaviour; video footage from many of his performances show his signature dance (Zwerin 1988).
[26] Rouse, however, did not lose his cabaret card (Kelley 2009, 517n122).
[27] *Thelonious Monk Quartet Plus Two at the Blackhawk* (Monk 1987d).
[28] See appendix C, and Gourse (1997, 167–68).
[29] Gourse (1997, 180); Kelley (2009, 301–9); Sheridan (2001, 395–96).
[30] Cited by Kelley (1999, 167) as: Pontiflet, Theodore H. 1964. "The American Way." *Liberator* 4, no. 6 (June): 8–9.
[31] Monk's group had minimal shifts in personnel throughout the 1960s. In addition to Rouse on tenor saxophone, the rhythm section typically consisted of John Ore on bass and Frankie Dunlop on drums beginning in 1960 (Kelley 2009, 284, 294). Ben Riley replaced Dunlop in 1964 and remained in the group for five years (ibid., 349, 352). When Ore left in early 1963, Butch Warren played bass for the band until the autumn of 1964. Shortly thereafter, Larry Gales was hired by recommendation from Riley (ibid., 362).
[32] Also see Kelley (2009, 379, 384).
[33] A concert review by John Norris suggests that the group had lost its energy: "He was a little subdued last night—subdued for Monk, anyway;" and "the round robin of solos on each number can become slightly tedious" (1968, 32). Helen McNamara's concert review from 1967 is similar: "the time worn routine of featuring each man in the group in exactly the same order on each number also became monotonous" (McNamara 1967a). Also see Blumenthal (1982, 17), Hogarth (1966, 23), Kelley (2009, 389, 407), and John Wilson (1976, 55).
[34] Gourse (1997, 249); Kelley (2009, 409–17); Sheridan (2001, 450–67).
[35] See examples in appendices B and C.
[36] In addition to the examples provided here, I refer the reader to the large index on the topic under "as pianist" in Van der Bliek (2001, 283–84). Also see Kelley (2009, 71, 81, 132, 138, 147, 150, 160, 161, 202).
[37] For example, see reviews printed in Van der Bliek (2001, 27–35).
[38] By referencing the speed of performance, i.e., playing fast, Monk claims to have the dexterity many critics deemed essential for jazz piano as set forth by earlier pianists such as Art Tatum and Teddy Wilson, and Monk's contemporary Bud Powell.
[39] Cited by Kelley (2009, 544n68 and 544n67) as: Mike Hennessey, "Monk's Moods," *Melody Maker* (March 20, 1965), 9.
[40] See Van der Bliek's discussion (2001, 118–19) that refers to André Hodeir's *Toward Jazz* ([1962] 1976). Van der Bliek comments that Hodeir realizes "Monk's unorthodox piano technique may be unpalatable to some;" however, "he urges us to look beyond [Monk's] incompleteness and see the deeper significance of his contribution to jazz history" (2001, 119). Hodeir writes that his criticism was subject to a "stinging lesson" by

mistakenly writing of Monk's failures, only to later have a new perspective on his music ([1962] 1976, 214n13). In a section devoted to Monk, Hodeir moves beyond discussing technique: "his style was far too original and far too removed from current practice to be immediately accepted by all. [. . .] It seems, nevertheless, that beneath certain superficial stylistic features which were then regarded as suspect, the real reason why his recognition was so belated lay in a less obvious side of his music. [. . .] To my mind, Thelonious Monk's music represents a decisive step toward a *different* jazz" (ibid., 204–5, emphasis in original). Hodeir's "*different* jazz" is a main point of this dissertation, i.e., the approach to music that I call the Monkian aesthetic.

[41] For example, see Blake ([1982] 2001), DeVeaux (1999), Givan (2009), and Kelley (2009, 161).

[42] Peter Keepnews similarly writes, "[i]t also took tremendous courage and self-confidence to remain true to a musical vision that initially struck most listeners as simple-minded or even inept" (1982, 72).

[43] During this time, an application to reinstate the card in late April 1956 was denied (Kelley 2009, 205).

[44] Reportage from Pannonica De Koenigswarter states that Monk wanted to "stop for a cold drink, a beer, a glass of water, anything" (M. Gordon 1980, 120). From the interview with Rouse, Lapham writes that they stopped for Monk to use the men's room (1964, 74).

[45] Kelley (2009, 253). Hentoff also writes that both Monk and his manager, Harry Colomby, believed the incident was due to racial prejudice (1960, 134).

[46] Two newspaper articles describe the situation differently. Both claim that Monk refused to leave the motel and focus on Monk's assault of the police officer ("Baroness, 2 jazz musicians seized" 1958; "Baroness, jazz pianist in a jam—with cops" 1958).

[47] See Lott (1988).

[48] For information specifically relating the public's perception of Monk's behaviour due to his bipolar disorder, see Kelley (2009, 214–15)

[49] This quote from Dizzy Gillespie was originally written in Shapiro and Hentoff ([1955] 1966, 337). Also see DeVeaux's discussion of the ways musicians (including Monk) would set high standards for others who wanted to perform at jam sessions (1997, 213–17).

[50] Kelley (2009, 118, 147, 149, 209, 210, 218). Orrin Keepnews claims Monk to be a "guru," and makes this the main topic when writing on Monk, Rollins and Coltrane ([1982] 2001, 230–34). A frequently printed quote from Coltrane speaks to his relationship with Monk: "Working with Monk brought me close to a musical architect of the highest order. I felt I learned from him in every way—through the senses, theoretically, technically. I would talk to Monk about musical problems, and he would sit at the piano and show me the answers just by playing them. I could watch him play and find out the things I wanted to know. Also, I could see a lot of things that I didn't know about at all" (Coltrane and DeMicheal [1960] 1998, 100).

[51] This comment speaks to a general trend in jazz where musicians see themselves engaging in apprenticeships, "schools" under a bandleader, and a process of "paying dues." See Berliner (1994, 36–59).

[52] Also see Bouchard (1990a, 22–23), Goddet (1978, 6), and Lyons (1979, 57–58).
[53] Also see Lange (1980, 25), and Rusch (1986, 13–14).
[54] For example, see Harris's demonstrations of Monk's playing in Zwerin (1988). Two other pianists who are well-known interpreters of Monk's music are Mal Waldron and Misha Mengelberg. I do not elaborate on them here because they did not have close contact with Monk and because interpretations of Monk's music by other pianists are excluded from this dissertation (see chapter 2).
[55] For the Blue Note recordings, see Kelley (2009, 127).
[56] For Griffin, see Kelley (2009, 243). For Coltrane, see Goldberg ([1965] 1998, 31). For Rouse, see appendix B. For Lacy, see appendix C and Gourse (1997, 170–71).
[57] In one interview, Barry Harris says, "Thelonious Monk epitomizes the artist's intensive attention to revising arrangements, commonly practicing a single composition for two hours at a sitting: experimenting with chord voicings and substitutions, subtly altering the melody's contour and phrasing" (Berliner 1994, 308).
[58] Teaching and learning pieces aurally to understand performance practice beyond what can be conveyed on a written score is common in jazz. Berliner reports that "[s]ome groups rely exclusively on the oral transmission of head arrangements" (1994, 301), and cites ensembles led by Charles Mingus, Art Blakey and Horace Silver as examples (ibid., 301–4).

Appendix B: A Biography of Charlie Rouse

As a common theme to this biography, Rouse failed to consistently hold long-term work with any group up until 1958; any of his ventures that lasted more than a few months failed to establish him as a major figure in the jazz community. Details are provided to acknowledge his work with other prominent musicians by tracking his professional activities. Considering his biographical details, a discussion of his work with Monk is presented to answer why the two musicians remained together from 1958 to 1970, and how that experience affected the remainder of Rouse's career.

Early Work

Charlie Rouse (April 6, 1924–November 30, 1988) was a bebop tenor saxophonist mostly known for his work with Monk (Franklin 1987, 6; Watrous 1988b, 16). His childhood was spent in Washington, D.C. where he studied the clarinet and alto saxophone, ultimately switching to the tenor while he was in his last two years of high school and taking lessons out of Howard University.[1] His earliest musical activities included high school ensembles and a consistent gig in Washington with Tommy Potter on bass and John Malachi on the piano at a club called the Crystal Cavern (Danson 1982b, 5). During his formative years from 1942–44, Rouse became friends with travelling musicians that played at local jazz clubs; he formed a close friendship with Duke Ellington's tenor saxophonist Ben Webster during this time (Franklin 1987, 5–6). It is assumed that during the early 1940s Rouse's playing would have been comparable to a late 1930s swing style since bebop was mainly played within the bounds of New York

City. Furthermore, Rouse only heard of New York's new music through word of mouth: a recording ban from 1942–44 restricted the dissemination of bebop to the rest of the United States.[2]

August 1944 was the first time Rouse met Monk. While playing in Washington D.C. with Coleman Hawkins, Monk visited the local clubs where he heard Rouse.[3] Monk introduced himself, and added Rouse to his contact list (Kelley 2009, 99–100).[4] Although Rouse does not mention this meeting in any of his interviews, Robin Kelley points out that Monk was virtually unknown in Washington at the time and Rouse probably did not remember the encounter (ibid., 484n78).

In the autumn of 1944, Malachi and Potter—then playing for Billy Eckstine's Orchestra—recommended Rouse to fill an opening in the band.[5] This opportunity was a big break for Rouse: he was four years younger than most musicians in the band and played with some of the most experimental musicians of the time, notably trumpeter Dizzy Gillespie and alto saxophonist Charlie Parker (Franklin 1987, 6; Danson 1982b, 5). After five months, Rouse left the group with his band-mate Lucky Thompson when they were in Chicago.[6] The two musicians moved to Milwaukee where they performed in local clubs for a few months. Failing to secure consistent work, Rouse took a job in a department store to earn enough money to return to Washington, D.C. (Danson 1982b, 5; Gitler 1985, 158–59).

The Mid-1940s: Finding Work

Rouse moved to New York in 1945 when he was hired by Gillespie, who had recently started a big band of his own (Danson 1982b, 5; Kernfeld 2008). Playing bebop with the band placed Rouse within the city's jazz community.[7]

Rouse's time with Gillespie was short lived. The orchestra disbanded for financial reasons upon returning to New York after its first and only tour (Gillespie and Fraser [1979] 2009, 230). Rouse remained in New York and would frequent local jazz clubs to hear and take part in jam sessions, including sessions with Monk at Minton's Playhouse (Danson 1982b, 5). It has been suggested that Rouse may have had a gig with Monk sometime during the late 1940s (Franklin 1987, 7). Monk scholars also believe from aural evidence that Rouse can be heard as Monk's sideman sometime between 1948 and early 1949 (Kelley 2009, 147; Sheridan 2001, 27).[8]

First Recordings

Rouse's first recordings as a soloist were with the pianist and arranger Tadd Dameron (*The Fabulous Fats Navarro Vol. 1: The Tadd Dameron Sextet* 1947) and trumpeter Fats Navarro (*Nostalgia* 1947) (T. Lord 2003). Dameron based some of his writing on Monk's compositions, which proved to be an experience that prepared Rouse for his later work with Monk (Danson 1982b, 5).

Rouse spent 1947–49 moving back and forth from Washington to New York, spending six months to a year in each location (ibid.). Relatively unknown to other jazz musicians and sometimes labeled as a rock 'n roll sax player, he found it difficult to find

steady work with jazz groups (DeMicheal 1961, 17–18). He played bebop and rhythm-and-blues, forming various bands in Washington (including a co-led group with the young Jimmy Cobb),[9] recorded with Leo Parker's Quintet in Detroit in March 1948, and finally moved New York more permanently in 1949.[10] Back in New York, Rouse replaced his friend Ben Webster in the Duke Ellington Orchestra by August 1949 and remained in the band for ten months (ibid., 18). Known as the "bop musician" of the group, Ellington and the band's baritone saxophonist, Harry Carney, encouraged Rouse to make a name for himself (Ginibre and Wagner 1964, 23). Failing to secure a passport to travel overseas, Rouse was fired from the band and found a place in Count Basie's Orchestra for the remainder of the year.[11]

Rouse was a sideman for a number of recordings in the early 1950s: he performed for Eddie "Cleanhead" Vinson (1952), Charlie Singleton (1953), Bull Moose Jackson (1953), Clifford Brown (1953), Art Farmer (1954), Joe Gordon (1954) and Bennie Green (1953 and 1955) (T. Lord 2003). Chris Sheridan also lists a performance with Monk on July 24, 1955 at the Music Barn in Lenox, MA (2001, 369). Some of Rouse's most important work, however, was with bassist Oscar Pettiford in 1954 and 1955 where he met French horn player Julius Watkins. Liking the blend of the tenor and French horn, the two musicians led a quintet called Les Jazz Modes beginning in 1956 (Danson 1982b, 6; Watrous 1988b, 16). Although the band worked for three consecutive years, they had a difficult time finding anyone who would fully back their experimental sound (Franklin 1987, 7). Rouse and Watkins made multiple efforts to record, however. After seven months of daily rehearsals, they recorded three LP's for Seeco in 1956 titled *Les Jazz*

Modes (an unknown date in June), *Jazzville '56 Vol 1* (June 12) and *Mood In Scarlet* (December 4) (Ginibre and Wagner 1964, 23; T. Lord 2003). In 1957 and 1959, two LP's were released by Atlantic Records: *The Most Happy Fella* and *The Jazz Modes* respectively (T. Lord 2003).

Rouse claims that the albums did not portray how the group sounded, however. Obliged by their contract to follow the directives of their producer, their creative energies to create an atypical sound were compromised.[12] Furthermore, he believes that the unconventional use of the French horn in a small group setting was not well received (Ginibre and Wagner 1964, 23).[13]

Ultimately, their limited exposure and unusual instrumentation led to few performance opportunities, causing the group to disband in 1959. Rouse later said, "[t]he group didn't make it. Everything just stopped—bookings, records, everything. Agents told us the sound was too new" (DeMicheal 1961, 18).[14] The two leaders also had other opportunities: Rouse began playing with Monk and Watkins left for Europe with Quincy Jones (Ginibre and Wagner 1964, 24).

The Jazz Modes is an example of Rouse pushing his sound in a new direction. Aside from the leaders, the group occasionally featured Eileen Gilbert on vocals, Chino Pozo on bongos or congas, and Janet Putnam on the harp. With Gildo Mahones acting as their stable pianist, their sidemen also included notable high-profile musicians such as Sahib Shihab on baritone saxophone, Paul Chambers or Oscar Pettiford on bass, and Art Taylor on drums (T. Lord 2003).

Rouse was involved in two other projects from 1956–57 that suggest his popularity was growing. ABC-Paramount released a compilation record titled *Creed Taylor Presents: Know Your Jazz Vol. 1* in which a leader would record one performance with a stock rhythm section. Leaders for the session include progressive musicians such as Donald Byrd, Oscar Pettiford, Gigi Gryce, Kenney Clark, and one Charlie Rouse (ibid.).[15] He also co-led a quintet with Paul Quinichette in 1957 with the release of *The Chase Is On*. One review explains that the record presents "contrasting tenor stylists" by setting the old against the new: Quinichette represents an older style derived from Lester Young while Rouse is described as an "exponent of the Parker derived hard-bop school" (Review of *The Chase Is On* 1957, 30).

Rouse also appeared as a sideman for other groups while working on the Jazz Modes project. In 1957, he recorded for Vinson again in September and Gerry Mulligan's big band in April. Taylor hired him again for *Taylor's Wailers* in February—Rouse played with alto saxophonist Jackie McLean and trumpeter Donald Byrd to make up this progressive bop horn section. Taylor and Rouse were also sidemen for Louis Smith in March 1958. Other recordings where Rouse appeared were with Bennie Green again in 1958, Herbie Mann (1958) and Babs Gonzales (1958) (T. Lord 2003). Rouse also claims to have played on separate occasions with Buddy Rich and Lionel Hampton ca. 1958.[16]

Playing in the Monk Quartet

Sonny Rollins—who was temporarily playing for Monk but leaving the group to pursue his own career as a leader—recommended Rouse as his replacement in the

quartet.[17] Rouse began with Monk at the Five Spot on October 2, 1958 and would primarily learn on the bandstand—with little time to prepare, most rehearsals would be held after the gig started (Kelley 2009, 252).[18] He would remain in the group until 1970 when Monk and Rouse would unanimously decide to part ways (Danson 1982b, 6; Sheridan 2001, 381; Langford 1970, 2).

Following a possible career path of Monk's antecedent tenors, Rouse also pursued his own ventures in his first few years with the group. Aside from his efforts to popularize the Jazz Modes in 1959, Rouse also recorded for Donald Byrd in May and Art Taylor in June. Taylor was a constant for Rouse by 1960. In addition to working together in the 1950s, both were integral members in Monk's quartet in 1959—Taylor started in February and left by October (Sheridan 2001, 89–96; Kelley 2009, 260, 273). The partnership continued in 1960 when Taylor was hired by Rouse for his two albums as leader: *Takin' Care of Business!* and *Yeah!* were recorded in May and December respectively (T. Lord 2003). Rouse also played sparingly with the Jazz Modes in 1960 and 1961. *Smart Jazz For Smart Set*, for which a definite recording date is unclear, was released by Seeco,[19] Rouse speaks as though the group was not completely finished in 1961 (DeMicheal 1961, 18). They at least performed on March 11 at Lafayette College in Easton, PA (Sheridan 2001, 395); however, 1961 marks their last attempts to revive the group.

Rouse can be found as a sideman on a handful of recordings during the 1960s, and tried almost yearly to emerge as a bandleader. Recording again with Taylor on drums, Reggie Workman on bass and the Jazz Modes pianist Gildo Mahones, a session from July

13, 1961 was released as *We Paid Our Dues*. Rouse subsequently recruited Princess Orelia Benskina to be his manager (Walker 1963b, 15)—she also performed on "Un Dia" from Rouse's next release titled *Bossa Nova Bacchanal* that was recorded in November 1962 (T. Lord 2003; Walker 1963a, 15).[20]

Rouse must have had some sort of arrangement with Blue Note to record as leader from 1962–65. Two other sessions, one from April 1963 and another from January 1965 were not issued:[21] notable sidemen on these albums include Sam Jones on bass, Monk's drummers Frankie Dunlop and Billy Higgins, Freddie Hubbard on trumpet, and McCoy Tyner on piano (T. Lord 2003). Considering these reputable sidemen, it would seem to have been a lucrative venture for any record label. To my knowledge, it is unknown why the takes did not reach public ears.

Common perceptions of Rouse during the 1960s see him as a literal "sideman" for Monk—Jef Langford later referred to him as "Monk's third arm" (1971a, 7). Though he was a proficient interpreter of Monk's music, Rouse was always a member of *Monk's* group; he did not write any tunes for the group, and his involvement in the internal workings of the band (e.g., bookings, finances) was negligible. Rouse was a keeper of Monk's flame, playing in Monk's shadow for the group's duration (Watrous 1988a, 16).

The critics did not neglect Rouse when he began playing with Monk. One initial review expectedly compared him to Monk's previous saxophonists: John Wilson provided a negative review of Rouse after the Town Hall concert held on November 28, 1958:[22]

> In [Monk's] current group the tenor saxophonist is Charlie Rouse, a far less exhilarating performer than his predecessor, Johnny Griffin. It takes a strong musical personality to share the solo spotlight with Mr. Monk. Mr. Griffin is able to rise to this challenge in a manner that Mr. Rouse is not and the group as a result is now a more placid one than it once was. (1958a, 18)

Whitney Balliett covered the next Town Hall concert three months later, "An Evening with Thelonious Monk" on February 28, 1959. Commenting on the section of the program that featured Monk's quartet, he writes:

> The quartet [. . .] was hampered by two things—Rouse and Taylor. Rouse is a quiet, unobtrusive, and often rather dull compound of the more conventional aspects of Lester Young, Charlie Parker, and, occasionally, Sonny Rollins. He produced some affecting phrases in "In Walked Bud" and "Blue Monk," but the rest of the time he muttered and mumbled along anxiously, almost forcing one's attention to Monk's accompaniment, which is invariably exhilarating. (Balliett 1959a, 154)

However, attitudes changed by the time Rouse played at Newport in July 1959: "[He] displayed a mastery of the repertoire and proved that he really was an appropriate choice for the coveted spot as Monk's horn" (Kelley 2009, 270).

Mixed reviews continued into the 1960s; however, some began giving Rouse fair treatment. Following a January 1960 club date at Storyville in Boston (Sheridan 2001, 388), John McLellan wrote, "Rouse is an excellent tenor saxophonist. Though perhaps not as exciting as such previous Monk sidemen as Sonny Rollins or Johnny Griffin, he is nevertheless a thoroughly competent and sympathetic musician" (1960, 40).

Listeners began to take notice the same year when Rouse won the "New Star" award from the *Down Beat* critic's poll. He later responded that he was surprised by the award, but that both he and Monk thought it was long overdue (Ginibre and Wagner 1964, 22). Russ Wilson from the *Oakland Tribune* provided a positive review of Rouse's

Takin' Care of Business, writing that he is "a first-rate jazz instrumentalist" and that he "comports himself in a highly professional manner, all of which is summed up in the expression chosen for this album's title" (1960, 17). Dan Morgenstern also considered Rouse to be of high rank in 1960: "Tenor saxophonists younger in years and shorter on experience have bigger names. Yet Charlie Rouse is one of the most authoritative, consistent and undauntedly individualistic tenors on the scene today" (1960b, 20). His feature in *Down Beat* on May 25, 1961 says that Rouse is still "generally unrecognized outside the small sphere of jazzmen," although he is seen as "one of the handful of original tenorists in the present era of jazz" (DeMicheal 1961, 17). Jean-Pierre Binchet writes a similar account two years later in *Jazz Magazine* from France (1963, 34).

In general, Rouse's work with the Monk quartet can be viewed as an arch with a learning period, which led to a time when he was an integral member of the group, and ended with a staleness of artistic output. Beginning with a short time of "stylistic flux," he quickly gained a "facility [. . .] for worming inside the eccentric shapes of Monk's music and playing pure Monk, almost off the top of his head" (Langford 1971a, 7). Langford continues: "It is doubtful whether any other saxophonist could have integrated himself so completely in the way Rouse has done" (ibid.). The critic Amiri Baraka said that Rouse and Monk had formed "a tightly connected musical unit" at a time when Monk's fame had almost reached its peak ([1964] 2001, 168).

As mentioned in Monk's biography, the quartet began to sound predictable and uninspired in the late 1960s. Langford discusses the group's decline with a pointed finger at Rouse and Monk's rhythm section (drums and bass): "We can ascribe blame for this to

Rouse's by now unsurprisingly unimaginative playing, the interminable solo routine, with the hundred and first unimpressive rhythm section" (1970, 3).[23] Similarly, Michael Shera's review of Monk's orchestra at "Jazz Expo '67" refers to the group as a "ragged ensemble," with Rouse as "the world's first fully automated tenor saxophonist" (1967, 10). After further elaboration of his dislike for Rouse, Shera concludes that Monk "needs the challenge of more stimulating musicians than Rouse to bring out the best in him" (ibid., 11).

By 1970, the excitement that Rouse had once injected into Monk's music had lost its energy; the group's performances ultimately became an unadventurous endeavour. Rouse's time with Monk had naturally drawn to a close. Robin Kelley provides two explanations for Rouse's move away from the Monk group. Paul Jeffrey believed that Sandra Capello, then Rouse's partner, was urging him to embark on his own career.[24] Another account from bassist Wilbur Ware describes an alteration between Rouse and Monk on the bandstand: "Thelonious was kind of ill and he was saying things that really hurt Charles's feelings" (Ware 1977, 13). Kelley explains that Rouse "could no longer handle [Monk's] moodiness and strange behavior," and ultimately gave notice the next night (2009, 408). Sheridan also reports of a dispute on stage: Rouse left the bandstand of the Village Vanguard on January 8, 1970 and was replaced by Pat Patrick during the gig (2001, 201–2; 450). Despite the disagreeable situation that caused their separation, Rouse and Monk remained good friends with mutual respect for each other's professionalism and musicianship (Kelley 2009, 409).[25]

Final Years: Paying Tribute

Rouse briefly pursued acting from 1970–72 while planning to form his own group.[26] Six months after leaving Monk, he played with Booker Ervin for a few weeks, then briefly with Don Patterson in Chicago (Kelley 2009, 409). Rouse formed his own project and returned to the studio in 1974, recording on tenor and bass clarinet and accompanied by guitar, cello, bass, drums and congas. The name of the album, *Two Is One*, refers to insider knowledge of Monk's cryptic messages: when asked about the "definition between classical music and jazz" in a 1966 interview, his answer was simply "two is one" (ibid., xv, 463n9).[27]

After appearing as a sideman for Duke Jordan in 1975, Rouse recorded a Brazilian jazz project titled *Cinnamon Flower* in 1976 (T. Lord 2003). Reviews of the album have been mixed. Positive reviews were written in *Rolling Stone* (Swenson 1977, 70) and *Jazz Times* (Welburn 1988, 30), and stand in contrast to Bob Rusch's opinion that it is uninteresting improvised music in the form of "Latinized *smooth* jazz" (1987, 64, emphasis in original). The project was short lived, however, and Rouse returned to his bop style on October 20, 1977 when he hired the former Monk drummer Ben Riley for the recording of *Moment's Notice* (T. Lord 2003). Between 1977 and 1980, Rouse appeared as a sideman with Howard McGhee (1977 and 1978), Hank Jones (1978), Benny Bailey (1978) and Dutch pianist Rein de Graaff (1980). Soon after, Rouse co-led *The Upper Manhattan Jazz Society* with trumpeter Benny Bailey in 1981 (ibid.).

Four months before Monk's death, Rouse was involved in a tribute concert held on November 1, 1981. One of the first major Monk tributes, the concert was advertised as "Soundscape and Verna Gillis in Cooperation with WKCR Present: Interpretations of Monk." Two concerts, held at 3 PM and 7:30 PM at Wollman Auditorium, Columbia University, featured some of Monk's legendary followers: Rouse, Steve Lacy, Don Cherry, Roswell Rudd, Richard Davis, Ed Blackwell and Ben Riley performed at both concerts, while the piano bench changed between Muhal Richard Abrams and Barry Harris in the afternoon, and Anthony Davis and Mal Waldron in the evening. In addition to a slide show, a film clip of "Blue Monk" from 1957, and a presentation of Brad Graves's sculpture "In Walked Monk," the performance included introductory remarks by jazz critic Nat Hentoff, poetry by Amiri Baraka, and a program that included a Monk discography compiled by Dan Morgenstern.[28] The *New York Times* critic John Wilson, who traditionally criticized Rouse's playing,[29] offered a mixed review overall, but credited Rouse and Lacy as the most insightful contributors to the event (1981, 15).

Perhaps the "Interpretations of Monk" concert spurred Rouse's future tributes. He formed the group called Sphere in early 1982 with Riley on drums, bassist Buster Williams, and pianist Kenny Barron (the latter three had been performing as a trio for a few years before Rouse joined the band).[30] Their first album *Four in One* was dedicated to Monk, consisted of all Monk compositions, and was intended to encourage Monk to start playing again; it was recorded on February 17, 1982—coincidentally, the day of Monk's death.[31]

Although the group took Monk's middle name, they did not initially intend to be a tribute band: their repertoire also included original pieces by Rouse, Barron and Williams, as well as compositions by Benny Carter and Billy Strayhorn (Danson 1982b, 8; J. Wilson 1982a, 3). Williams also stated, "[t]he purpose of the band is not just to play the music of Thelonious Monk [. . .]. It just so happens that we recognize him as one of the most formidable composers of his time" (Pareles 1982b, 12). Despite their original vision, Sphere was one of the foremost groups to continue Monk's legacy. They recorded five more albums: *Flight Path* in 1983, *Sphere on Tour* from Bologna, Italy in November 1985, *Live at Umbria Jazz* from Perugia Italy in July 1986, and two last studio albums *Four For All* on March 2, 1987 and *Bird Songs*—a collection of compositions written by or played by Charlie Parker—on March 12, 1988 (T. Lord 2003). The group disbanded in the summer of 1988 after six years of dedications to Monk's music (Watrous 1988a, 32).

Holding strong to Monk's legacy, Rouse continued playing in tribute concerts and recording sessions throughout the 1980s. In addition to performing at Monk's funeral on Feb 22, 1982 (Gitler 1982, 9), Rouse performed at two more tributes that year. On April 30, he joined Barry Harris at Town Hall in New York (J. Wilson 1982b, 16). On July 1, Max Roach hosted thirty-six musicians for "Musicians for Monk" at Carnegie Hall, which also included other legendary jazz figures such as Dizzy Gillespie, Herbie Hancock, Barry Harris, Milt Jackson, Paul Jeffrey, Clark Terry, McCoy Tyner and Tony Williams (Bourgeois 1982). In 1984, Rouse was recorded on *That's The Way I Feel Now*, which was led by Steve Lacy. Carmen McRae also hired Rouse on January 30 and February 1, 1988 for *Carmen Sings Monk* (T. Lord 2003).

One of Rouse's notable collaborations was with pianist Mal Waldron. Waldron was featured with Rouse, Lacy, Riley, Harris, and others at "A Tribute to Thelonious Monk" as part of Chicago's Jazz Festival on August 29, 1985 (Kart 1985, 13). The two musicians had previously played together in other settings. Both appeared on Herbie Mann's *Just Wailin'* in 1958, and Waldron also performed at the *Interpretations of Monk* concert (Abrams 1994). Rouse and Waldron began working together more formally in 1982 at a duo concert on October 24; Rouse also joined "The Mal Waldron All Stars" that year and would be featured on Waldron's *The Git Go: Live at the Village Vanguard* and *The Seagulls of Kristiansund*, both recorded on September 16, 1986 (Sneed 1982, 1; T. Lord 2003).

With a more mainstream sound than Waldron's experimental group,[32] Rouse released three more studio albums under his name in the 1980s (*Social Call*, *Playin' In The Yard*, and *Soul Mates*), provided one track for *An Uptown Christmas* compilation album, and was a sideman for Marcus Roberts's *The Truth Is Spoken Here* (T. Lord 2003). In his last years, he also performed with Wynton Marsalis (1987) and at a tribute concert for Tadd Dameron in August 1988 (Kernfeld 2008).

Rouse paid his final tribute to Monk in his last performance to commemorate Monk's birth at "Bimbo's 365 Club" in San Francisco on October 10, 1988. Released as *Epistrophy*, Monk's producer from Prestige records, Orrin Keepnews, interviews Rouse on the opening track, "Some Words on Monk." The following excerpt exemplifies Monk's influence:

Keepnews: What was it like, working with T [Thelonious], those years?

> Rouse: Uh, it was the best years of my musical career. I imagine every musician that worked with Thelonious thought that way because he, brought things out of you that, couldn't be brought out. He was a type of musician, a musician's musician. (Rouse 2003b, 1:12–1:31)

Towards the end of his life, Rouse lived in Oregon with his wife Mary Ellen until his final battle with lung cancer in Seattle, WA ("Charlie Rouse: Epistrophy" 1989; Watrous 1988b, 16).

Rethinking Rouse

Art Lange's review of *Epistrophy* claims, "Rouse will forever be identified as Thelonious' right-hand man" (1989, 33).[33] Considering Rouse's biography outlined above, this section aims to highlight the social and economic circumstances surrounding his long tenure with the Monk quartet and the subsequent critical praise of his playing during the 1980s.

Before Monk, Rouse displayed a remarkable persistence to become an important bop musician. His moderate success during the 1940s and 1950s forced him to relocate across the northeastern United States, resulting in a professional growth in the 1950s that places him in the post-bop school of New York. He had already played with the Eckstine and Gillespie orchestras, two of the earliest big bands of "modern jazz" (An Evening with Thelonious Monk 1959).

Rouse was gravitating closer to Monk's inner circle. The two musicians were in close proximity in 1944, both having different experiences with Gillespie during 1945 and 1946 respectively. They had already played together in the late 1940s, and worked

with many of the same musicians: Ernie Henry, Sahib Shihab, Gigi Gryce, Art Blakey, Shadow Wilson, Art Taylor, Paul Chambers and Oscar Pettiford.[34]

The first recordings with Dameron and Navarro provide evidence for Rouse's work within Monk's circle of peers. Dameron's roster includes Ernie Henry, the alto saxophonist employed by Monk in the last few months of 1948 and for various engagements in 1956, including two-weeks at the Blue Note in Philadelphia and the recording of *Brilliant Corners* (Kelley 2009, 145, 208–9, 212; Sheridan 2001, 372). Shadow Wilson was also in the group, who would later be Monk's drummer in 1948 and again in 1957 (T. Lord 2003; Sheridan 2001, 374, 377, 378). Art Blakey is the drummer on Navarro's quintet album: Blakey performed and recorded with Monk throughout his entire career, dating back to Monk's first releases with Blue Note in 1947 and as late as his last album in 1971 (T. Lord 2003).

Playing with Brown, Hubbard, and Pettiford in the early 1950s set the stage for Rouse's future with the leaders of New York's bebop network. At least in 1956 and 1957, he was among some of the modern bop players of New York. And considering his novel assemblage of a non-traditional sound with the Jazz Modes, his direction in jazz demonstrates a definite penchant for the new.

Monk and Watkins had also worked together in 1953.[35] Monk would have recognized both leaders when Les Jazz Modes followed his group in the Newport Jazz Festival's "Afternoon of Modern Jazz" series in July 1958 (Sheridan 2001, 379; "Sunday Afternoon 2:30" [1958] 2011). The two groups would meet again on September 20 when

both performed for Mary Lou Williams's Bel Canto Benefit concert at Town Hall.[36] Twelve days later, Rouse would be inducted into the pedigree of Monk's tenors.

Rouse would have weighed his options when he started playing with Monk. He had a brush with the police in 1958 when he, Monk, and Pannonica De Koenigswarter were arrested for drug possession in Delaware. The charges against Rouse were subsequently dropped; however, the loss of Monk's cabaret card would have put a strain on the group at the time Rouse began performing with the quartet. Discussed in appendix A, the racial politics surrounding the cabaret card limited the group's opportunities. Monk's work from 1957–58 was grounded in New York City (Sheridan 2001, 372–82), and it was not until 1960 that he was given a temporary card to return to the local club scene. Rouse would have considered these factors: it was a firm belief in Monk's music that kept him committed to the quartet.

Why did the group continue for so long? Monk's rise to fame, and changes in jazz style external to his group were decisive factors for the continued allegiance between Monk and Rouse. Prior to 1958, Rouse was continually moving from one group to the next for months at a time, finding it difficult to solidify a strong reputation and financial security. Monk's fame in the 1960s provided Rouse with an important standing in the jazz community and a consistent paycheck as long as he was in the group. Having a number of different saxophonists in the late 1950s, I would assume that Monk also found security in having a reliable sideman. Furthermore, with many musicians experimenting with avant-garde music during this time, Monk may have found it difficult to find a saxophonist that would adhere to his musical conception to the same degree as Rouse.

Considering these internal and external factors, I believe the benefits for both Rouse and Monk outweighed the liabilities of change.

Monk's group provided Rouse with refuge from a turbulent jazz scene in the United States that, in many cases, involved negotiations of race. The topic of race is generally avoided by Rouse in his interviews. However, he spoke on occasion about a specific racial conflict when he travelled with the Gillespie band:

> We hadn't been to the South at the time, and at the time the South was very bad. And I think it was in Memphis, Tennessee . . . we had to get out of town early in the morning. There was a bass player from Arkansas named Buddy Jones. Well, I met Buddy Jones in Washington. We were friends there. So he was in the Navy and he was in Memphis, and when we got there with the band we played a one-nighter, and Buddy wasn't supposed to be there, you dig? But he met us in the daytime, and we're walking up and down Beale Street together, and everybody is looking at as weird. We wasn't paying no attention or anything. So when we left each other, Buddy said, "Well I'll see you at the dance tonight." I say, "Okay." And when we got to the dance the police came and beat him and clubbed him out of the dance. They called the SPs[37] and they came and, oh man, they messed him up and they told us we had to get out of town before sundown. It was really weird, man. And the next time I saw Buddy we talked about it. But we felt that it was something happening, 'cause we was walking up and down Beal Street laughing and talking and people turning around looking at us, and we say, "Hey, look at those weird dudes looking at us." And we's just walking up and down the street. We left, but then they put him in, put him in the brig. And he told me later that he stayed in the brig for about two or three months. (Gitler 1985, 16)

The incident weighed on Rouse's mind. He later recounted the "frightening" situation, explaining that it was difficult because many of the (African American) musicians had not previously been exposed to such explicit racism (Danson 1982b, 5). He spoke about politics and race in jazz more broadly in 1964:

> Interviewer: Do you think that music and politics make a good mix?
>
> Rouse: No, the music, that's beauty. The politics, that's ugliness. In America, politics is gangsterism.

> I: As a black musician, did you have any difficulties?
>
> R: Absolutely, there were some cities where I couldn't play. What counted was not who you were or what you were, it was your colour.
> I: Do you think any of today's white musicians can create jazz?
>
> R: Yes, some of them can. There are some that I like listening to.
>
> I: Who, for example?
>
> R: Zoot Simms for example. He has the feeling. Some European musicians also. And some from Denmark as well.
>
> I: You think then that jazz is no longer music of the blacks?
>
> R: They are the ones who created it. And not long ago. [. . .] But it's normal that it spreads to the world; hopefully it will spread more and more. The music can't be limited to a single people, it's a natural phenomenon that nobody can stop. (Ginibre and Wagner 1964, 24, translation mine)

Rouse echoes some of the heated debates about racism during the 1960s by acknowledging an African American heritage in jazz;[38] however, he is explicit with a stance that politics should be separate from music, and that jazz was shifting to a global music performed by many cultures. One may critically examine his statements: Rouse could defer the topic of race since he was touring internationally with a group that maintained a degree of autonomy from problems involved with performance booking, recordings, and financial remuneration. However, considering his experience with the Gillespie band, Rouse may have been drawn to the autonomous aspects of the Monk quartet because it provided a distance from the racial controversy that afflicted many African American jazz musicians. The refuge of Monk's quartet granted asylum from the conceivable hardships involved with other employment opportunities in jazz of the 1960s.

The quartet also provided Rouse with stability during a period of personal changes. Like many young jazz musicians, he became addicted to narcotics. Kelley reports that Rouse was addicted to heroin when he joined the quartet, and was making efforts to quit (2009, 251). By 1963, his marriage to Esperanza Rouse, whom he married when he was eighteen, began to deteriorate. With the support of his new romantic partner, Sandra Capello, he undertook methadone treatment in 1963 and successfully purged the habit within a year.[39] By Capello's account, "He was a different person . . . We started going to church together in the Village" (ibid., 346). His personal changes chronologically coincided with the quartet's increased success: they had recently been signed to Columbia records and Monk was gaining national fame with his appearance on the cover of *Time*. By early 1964, leaving the quartet in the near future would be a moot point for Rouse.

Despite Rouse's small status among jazz icons in the 1960s, he was integral to Monk's fame and the lucrative opportunities that arose throughout the decade. Although working with Coltrane, Rollins and Griffin increased Monk's prominence in the late 1950s, he had yet to make a major nation-wide impact in 1960 ("Same Old Unusual Story," 1960). The heights of Monk's legacy were not reached until Rouse fully committed to the quartet.

Chapters 3 and 6 demonstrate how the delivery of a Monkian aesthetic was central to Rouse's conception. With that in mind, one may consider his role in disseminating and reifying Monk's material. He appears on numerous studio albums beginning with *Five by Monk by Five* recorded in June 1959, *Monk's Dream* in October

and November 1962, *Criss Cross* and *Evidence* in 1963, *It's Monk's Time* and *Monk* in 1964, *Straight No Chaser* and *Underground* in 1967 and *Monk's Blues* in 1968 (T. Lord 2003). The albums make him the most recorded of Monk's sidemen. Following Rouse's first live recording with the Monk orchestra at Town Hall in 1959,[40] other American concert albums from the early 1960s include *Thelonious Monk Quartet Plus Two at the Blackhawk* (April 1960), live recordings from the Newport Jazz Festival in 1963, 1965 and 1966, *Live at the Village Gate* (1963), *Big Band and Quartet In Concert* (1963), and a collection of dates at Birdland (1963). After Monk was featured on the cover of *Time* magazine, live albums appeared from west coast clubs (It Club and The Jazz Workshop) recorded in October and November 1964 respectively, as well as performances in Waltham, MA and Montreal, QC in 1965, and the Village Vanguard in 1968 (ibid.).[41]

Rouse's work with the Monk quartet was significant beyond recordings. Using New York City as a home base, the group held performances for months at a time at the Five Spot, Jazz Gallery, Apollo Theatre, Village Vanguard, and the Village Gate.[42] A steady travelling schedule included one- to two-week long engagements in major cities like Boston, Chicago, Washington D.C., Pittsburgh, San Francisco, Philadelphia, Detroit, Cincinnati, Buffalo, West Peabody, Minneapolis, Toronto and Montreal; the group would repeatedly return to these cities throughout the 1960s (Sheridan 2001, 381–450).

Between club dates, Rouse played with Monk at large-scale concerts. His first large concert was at Town Hall on November 28, 1958. In 1959, he performed with the group at the Hollywood Bowl on October 2 and another Town Hall concert on November 28. Other major venues throughout the 1960s include the Museum of Modern Art

Philharmonic Hall at Lincoln Center and Carnegie Hall in New York City, as well as the Place du Nations for Expo 1967 in Montreal, three auditoriums in Mexico of the same year,[43] and the O'Keefe Centre in Toronto (June 1968). Other than the yearly appearances at the Newport Jazz Festival from 1962–67, the group also performed at numerous other festivals, universities and benefits (ibid., 381–450).

Tours through Europe, Japan and New Zealand took Rouse's sound to an international audience. The first European tour lasted a month between April and May of 1961: the group performed in Germany, the Netherlands, France, Italy, The United Kingdom, Switzerland, Sweden, and Denmark (ibid., 396–97). Two international tours were held in 1963. A European tour in March was primarily out of Germany and Scandinavia, with the exception of one performance in Paris (ibid., 405–6). In April, the band played in Honolulu while crossing the Pacific to Japan where they played in Sendai, Kokura, Kyoto, Osaka, and four nights in Tokyo (ibid., 407). Rouse's third time to Europe came in February and March 1964: large audiences were found in Amsterdam, Stockholm, Copenhagen, Paris, Milan, Zurich, and Marseille (Kelley 2009, 351–53; Sheridan 2001, 413). He travelled again to Scandinavia, Europe and the United Kingdom in March 1965, moving directly to New Zealand for two weeks at the beginning of April (Sheridan 2001, 421–22). In March 1967, the group embarked on their fifth European tour, which was immediately followed by a second trip to Japan in May. The last of Rouse's European travels with Monk were under the auspice of the Newport Jazz Festival In Europe tour in October and November 1967. In addition to the typical cities of

previous European tours, the festival also ventured further east to visit Prague (ibid., 437–38).

In total, Rouse travelled to New Zealand once, Japan twice, and the greater European area six times under Monk's leadership. Beyond the thousands of ticket holders that heard Rouse on the bandstand, the public would experience the concerts on radio or television: the BBC in London, ABC and TBS in the United States, ORTF in France and multiple local and national networks throughout Europe broadcast the performances (ibid., 396, 405–7, 413, 421–22).

Riverside, Columbia, and other European radio companies capitalized on the live performances abroad. Most of Monk and Rouse's recorded output is from these live recordings. Six albums have been released from the group's 1961 tour (Amsterdam, Belgium, Paris, Milan, Bern, Stockholm). *Monk in Tokyo*, and *Live at Monterey Jazz Festival, 1963, Volume 1* and *Volume 2* were recorded in 1963. *Live in Paris, 1964* was recorded the next year, in addition to a combination of 1961 and 1964 dates that were issued on *Quartet 1961 European Tour, Vol. 2*. A 1965 recording from Paris was released as *En Concert Avec Europe*; *Live in Paris* and *Live in Switzerland* were recorded in 1966.[44] Other European concerts from Copenhagen and Manchester in 1966 have also appeared on rare recordings, as well as five separate releases from the 1967 tour (T. Lord 2003). Considering Monk to be the sole proprietor of this music during the 1960s would be a mistake. Instead, the partnership between Monk and Rouse, or rather, the collaborative efforts of the quartet—whether it included other long-running sidemen like

John Ore and Frankie Dunlop or Larry Gales and Ben Riley—played a historic role in disseminating the music on a global scale and substantiating Monk's aesthetic ends.

Critics began rethinking Rouse with critical praise after the formation of Sphere in the 1980s. The group commanded respect with their professional disposition by dressing in tuxedos on their first album cover. Buster Williams comments on their presentation:

> We play creative black American music, and I think the attire should go along with the music. We may not always wear tuxes, but we will be looking good every time you see us. People pay an arm and a leg to hear good music nowadays, and we have a responsibility to entertain them. (Pareles 1982b, 12)

Mike Shera also comments on Rouse's work in a later publication from 1998:

> A stylist rather than an innovator, his melodically inventive and swinging lines deserved to be heard again. Rouse's greatest claim to fame was his long tenure of the tenor chair in Thelonious Monk's quartet, from 1961–67.[45] Whilst this provided economic security, the problem of playing the same tunes night after night took a high toll of his creativity, and most of his best records were made away from Monk. In the eighties, he formed a Monk tribute group called Sphere, and the difference in creativity playing Monk's tunes was startling. (1998, 44)

Aside from Sphere, Rouse's records from the early 1980s also gained attention. Dave Gelly reviews his work in 1983: "Perhaps because he spent so long as a Thelonious Monk sideman, Charlie Rouse's formidable powers as a complete jazz tenor player have not been given their full due" (1983, 33). Two reviews of *Social Call* from 1985 speak highly of the album, claiming to be "Rouse's best date as a leader" (Benjamin 1985, 28) and making Alan Bargebuhr's "best ten" list of the year (1985, 68).[46]

Reissues of Rouse's early albums motivated the pens of more journalists into the 1990s. Two mixed reviews of *The Chase Is On* from 1957 (Badham 1986, 32; Gamble 1990a, 30–31) are in contrast to Barry McRae's claim that the album should counter the

unfair criticism that Rouse previously received (1988, 36). From 1987 onwards, multiple reviews of other records speak of Rouse's underrated yet distinctive sound.[47]

He carried out a mission to solidify Monk's approach to music in the 1980s. Monk scholar Chris Sheridan shares this review of Rouse's *Epistrophy*:

> At a time when Thelonious Monk's music is gaining ever greater currency, it is also losing some edges as lesser talents iron out tricky details to suit more pedestrian skills. Not here—this music is played with a feeling that sets a standard for all the others who now feel freer to dabble in Monk than when the master was alive. (1990, 44)

Those who followed Rouse's career beyond 1970 found an original voice and mature saxophonist. The multitude of positive reviews of his work since the 1980s was part of a small movement to raise the status of his place in jazz history:

> Rouse's music was stylistically consistent throughout his career—and that consistency, particularly in his decade-plus with a relatively unchanging Thelonious Monk Quartet, branded him as "dependable" and "reliable" in the eyes of most listeners *and* critics. Once considered a liability in the face of flashier, if less substantial, saxophonists, these virtues are being reappraised, and Rouse's stock has grown proportionally. (Lange 1989, 33, emphasis in original)

In 1982, Rouse's portrait was featured on the cover of *Coda*'s December issue. With his growing appeal among Monk fans, *Jazz Journal* followed suit in February 1988. It is apparent that Monk's torch was not only carried by Rouse, but that he was successful at delivering *his* conception of Monk's legacy.

Among his interested listeners, Rouse will be remembered as one who maintained Monk's musical convictions in the 1960s and continued to do so in the 1980s. Considering him to simply be a bop musician, the "old-guard" in the face of radical changes in jazz style during the 1960s, or a mere stylist of Monk's oeuvre overlooks many facets of his profession. Chapters 3 and 6 discuss Rouse's ideals to play Monk's

music "correctly," adhering to an aesthetic that was engrained in him for more than ten years. However, a Monkian aesthetic that jazz musicians continually draw upon may also be evaluated in the context of Rouse's involvement with other progressive artists, notably Mal Waldron and Steve Lacy: Rouse demonstrated an openness to interpretations of Monk's music, a common ground rather than divergent streams of music making. Thus, one may argue that Rouse did not simply play in a certain *style* of jazz; rather, he was a culturally situated musician who bridged concepts of avant-gardism during the second half of the twentieth century.

Notes

[1] Rouse graduated from Armstrong High in Washington D.C. in 1943 (Gitler 1985, 130). For Rouse's high school years, see Franklin (1987, 5). Rouse claims to have started the clarinet at different ages in separate interviews. He said that he started at the age of eleven in a 1987 interview (ibid.), but also provided the age of thirteen in 1964 (Ginibre and Wagner 1964, 22). Dan Morgenstern also writes that Rouse took lessons on the clarinet for three years from Sergeant Rice who was a teacher at Howard University (1960b, 20).

[2] Danson (1982b, 5); Franklin (1987, 6); Isherwood (1988, 16). For further information on the AFM recording ban from 1942–44 see DeVeaux (1997, 7, 295–96).

[3] Monk was performing with Hawkins at Club Bali in Washington D.C. from August 25–September 7, 1944 (Sheridan 2001, 342).

[4] Kelley (2009, 99–100), confirmed with Nat Turner interview (Molly 2012).

[5] Rouse took over for Tommy Crump, who had recently joined the army (Gitler 1985, 130).

[6] Barry Kernfeld writes that Rouse was let go from the group within a month because he was in awe of Parker's playing and continually distracted from his own music (2008). However, I have not found any documentation to support this claim.

[7] Notable bop musicians in Gillespie's band at the time were Charlie Parker, Benny Harris, Max Roach, Milt Jackson, Kenny Dorham, and Ray Brown. Rouse also collaborated with other saxophonists at the time, such as Sonny Stitt and Dexter Gordon (Danson 1982b, 5).

[8] The recording date was led by Frankie Passions (Sheridan 2001, 27). Listening to the recordings (Passions 1979), I agree that both Monk and Rouse are present on the album. The two pieces—"Especially To You" and "Nobody Knows"—were rereleased on *Thelonious Monk: In Philadelphia 1960 With Steve Lacy* with the tenor saxophone incorrectly listed as Idrees Sulieman (Monk 2006).

[9] Cobb would later become a prominent drummer for groups led by Miles Davis from 1958–61 (T. Lord 2003).

[10] Danson (1982b, 5); Isherwood (1988, 16); T. Lord (2003).

[11] Similar statements are provided in Danson (1982b, 6), DeMicheal (1961, 18), Franklin (1982, 6), Ginibre and Wagner (1964, 23), and Watrous (1988b, 16). It is not known exactly when Rouse stopped playing with Basie, although recording dates place Rouse in the band up to November 3, 1950; Basie's next recording date on April 10, 1951 did not include Rouse (T. Lord 2003).

[12] Rouse clearly states, "it wasn't our choosing, but [Atlantic] wanted us to do the music from 'Most Happy Fella' so we did it" (Danson 1982b, 6). Also see Franklin (1987, 7), and Ginibre and Wagner (1964, 24).

[13] A review of *The Jazz Modes* by Bob Dawbarn is indicative of the types of responses Rouse is referring to. Although Rouse is praised, the review begins with skepticism about the instrumentation: "The French horn is not only a most difficult instrument to play well,

its distinctive and rather unemotional tone presents problems for anyone using it in a conventional small jazz group" (1961a, 8).
[14] Rouse provides similar statements in three interviews. See Franklin (1987, 7), Danson (1982b, 6) and Ginibre and Wagner (1964, 23–24).
[15] Although the personnel changes slightly for each track, the piano, bass, and drum positions are held by only one or two musicians (T. Lord 2003).
[16] Rouse states this in an interview (Isherwood 1988, 16). Jef Langford also reports that Rouse played with Rich in the 1950s (1971a, 7).
[17] Danson (1982b, 6); Franklin (1987, 7); Kelley (2009, 250).
[18] Chris Sheridan also writes that Rouse began with Monk on October 2 (2001, 89). The date of September 30 (ibid., 381) is incorrect.
[19] Tom Lord's *The Jazz Discography* (2003) lists the recording date for this album as ca. 1960. There is a possibility that this album was a late-release from an earlier recording session since Seeco held the contract for Les Jazz Modes in 1956.
[20] Rouse later specifically mentioned this album when discussing his favourite recordings (Isherwood 1988, 17).
[21] Although the sessions were not issued as full-length albums, "One For Five" from the 1965 date appears on the reissue of *Bossa Nova Bacchanal* (Rouse 2003a).
[22] Date verified by Sheridan (2001, 382).
[23] Helen McNamara also commented on the order of solos in 1967:"Monk's supporting musicians, especially Rouse, are first-rate, but the unvarying order of solos, saxophone, piano, bass, and drums on each number is boring" (1967b, 44).
[24] From Kelley's interview with Jeffrey (2009, 408).
[25] Saxophonist Paul Jeffrey recalls Monk defending Rouse after they had parted ways when others were speaking poorly of him (Kelley 2009, 409). In 1982, Rouse also commented that beyond their chemistry on stage, he was partial to his business relationship with Monk (Danson 1982b, 6). Equating Monk and Ellington's work ethic, Rouse made a similar statement in his 1964 interview (Ginibre and Wagner 1964, 23).
[26] Isherwood (1988, 17); Palmer (1977c, 16); J. Wilson (1975a, 28).
[27] "Two is One" also appeared as a proposal for an exhibition titled "Always Know, Two is One: The Philosophy of Thelonious Monk" that spearheaded the efforts to incorporate the Thelonious Monk Institute of Jazz (Kelley 2009, 449, 561n8).
[28] The advertisement for these contributions to the concert ("Advertisement" 1981) was later printed on the back-side of the album (Abrams 1994).
[29] In addition to the aforementioned criticism by Wilson, he made it a point to criticize Rouse's playing after he left the group: "Charlie Rouse, Mr. Monk's regular saxophonist in the 1960's, spent years plodding doggedly through his tunes in colorless fashion" (J. Wilson 1976, 55).
[30] Rouse says that Riley, Williams and Barron "had been playing together as a trio for three of four years" (Danson 1982b, 8). Peter Watrous writes that the group formed in 1979 (1988a, 32), but he was probably referring to the Riley/Williams/Barron trio that had recorded as early as January 7, 1978 (T. Lord 2003). The quartet most probably formed late in 1981 or January/February 1982, since their first album was recorded in

February of that year (T. Lord 2003). In an interview with its members and a review of the band, Jon Pareles writes, "early in 1982 the members invested together to incorporate as a performing unit, a recording company and a music publisher" (1982b, 12). Also see Frankling (1987, 9).
[31] Franklin (1987, 10); T. Lord (2003); Rouse ([1985] 2006, 5:57–6:57).
[32] I am comparing Rouse's music to Waldron's quintet on *Live at the Village Vanguard Volume 4* (Buschel 2003), which uses a free approach to a late-Coltrane groove-based style. John Wilson also writes that Rouse plays in the bop idiom in 1985 (1985b, 28).
[33] One obituary reads similarly: "Charlie Rouse—regardless of the individual notes he struck as a leader in his final days—always will be known as Monk's main horn man" (Rubien 1989, 37).
[34] These names have been separately cross-checked with dicographical information on Rouse and Monk (T. Lord 2003). Notably, when Pettiford was performing with Rouse, he was also the bassist for Monk from 1955–56: he appeared on *Monk Plays Duke Ellington* (recorded July 21 and 25, 1955), *The Unique Thelonious Monk* (recorded April 17 and March 3, 1956) and *Brilliant Corners* (recorded October 9 and 13, 1956) (ibid.).
[35] Kelley (2009, 164); T. Lord (2003); Sheridan (2001, 41). Watkins appears on "Friday the 13th," which is one of Monk's famous recordings from the *Thelonious Monk/Sonny Rollins* release by Prestige (Monk 1992).
[36] For Monk at the Bel Canto Foundation benefit concert, see Sheridan (2001, 381). Kelley notes that Monk and Les Jazz Modes both played at this concert, although evidence for Les Jazz Modes appearing on that date are missing from Kelley's account (2009, 250). I cannot confirm that the Jazz Modes performed, although concert listings from *The New Yorker* on September 13 and September 20, 1958 state that the band was expected to play ("Goings On About Town: Music" 1958, 14; "Goings On About Town: Music: Jazz Concerts" 1958, 12).
[37] "SPs" either refers to security police or state police.
[38] For example, see Archie Shepp's statements from 1964 (Baraka 1967, 145–55).
[39] For Rouse's marriage, see DeMicheal (1961, 17). Robin Kelley's interviews with Sandra Capello, Paul Jeffrey, Nellie Monk, Marcellus Green, Alonzo White and T.S. Monk report on Rouse's addiction and marital affairs (2009, 251, 346, 516n85, 537n5). Reported by Kelley, Rouse spoke of his addiction later in his life (confirmed with Gitler 1985, 281–82).
[40] *The Thelonious Monk Orchestra at Town Hall*, recorded February 28, 1959 (T. Lord 2003).
[41] All albums are accounted for by T. Lord (2003) except the Newport date in 1965, later released as *Monk at Newport 1963 & 1965* (Monk 2002d).
[42] Compared to these clubs, Monk's quartet rarely played at Birdland, appearing only for the month of February and a span of three weeks in April and May 1963 (Sheridan 2001, 405–7).
[43] A recording of the May 12, 1967 concert in Puebla, Mexico was released as *Thelonious Monk Quartet and Dave Brubeck* (T. Lord 2003).
[44] The title *Live in Paris* was used twice: once in 1964 and another in 1966.

[45] Shera possibly warded caution when listing these dates because Rouse played with Monk from 1958–70.
[46] John Wilson even started to rethink Rouse's work with the release of *Social Call*. Beginning the review, he writes: "[Rouse's] precise, down-to-earth solos often seemed rather drab, even though his phrasing reflected and complemented Monk's striking ideas" (1985a, 70). However with Sphere, "[h]is musical personality blossomed, and his playing took on an assurance that, in retrospect, had always been there, hidden" (ibid., 71).
[47] See Yanow (1987; 1991), Gardner (1988), Dupont (1993; 1997), and Doug Ramsey (1994).

Appendix C: A Biography of Steve Lacy

This biography of Steve Lacy outlines his membership in different jazz communities, with a focus on his major influences and musical activates that relate to Monk's music. His musical upbringing is presented first. Subsequent sections present his involvement with free jazz while bringing attention to his work with Monk's material in the 1950s, 1960s and the 1980s. Further discussion of Lacy's approach to music are considered with reference to his tributes to Monk after the late 1970s, his principles of freedom in jazz, and his solo performances that exemplify his individual sound on the soprano saxophone. His discography of over two hundred recordings is beyond the scope of this study; in turn, I mention the releases that speak to his formative years, some that include Monk's pieces, and others that exemplify his avant-gardism.

Despite other popularizations of his instrument, Lacy is one of jazz history's few non-doubling soprano saxophonists, and in one reading, is considered the "father of modern jazz saxophone" (Cordle 1987b, 11). Aside from his instrument, he is one of the main contributors to Monk's legacy. Recognizing Lacy as one of the first musicians other than Monk to record his compositions, Bob Blumenthal wrote, "[n]o one has understood Monk longer, or better, than soprano saxophonist Steve Lacy" (1983, 6). By 1987, the core of Lacy's music retained his early obsession with Monk's pieces: "The structural integrity and strong rhythmic accents of that music flavor Lacy's improvisations today" (Cordle 1987b, 11). Lacy found consolation by 2002 after his decades of devotion to Monk: "Everybody's playing Monk now, so it's no longer my job to promote him. But on

the other hand, I started first, so I'm further along than they are" (Rouy [2002] 2006 215).[1] Lacy was infatuated with Monk in the 1950s and 1960s—in the late 1970s he paid homage to the composer with tributes, solo albums and collaborations with some of the most reputable interpreters of Monk's music.

Early Life and the New Orleans Revival

Steven Lackritz (23 July 1934–4 June 2004), named Steve "Lacy" by fellow musician Rex Stewart in 1952,[2] was a pioneer known for extending and developing the jazz tradition on the soprano saxophone. Growing up in the Upper West Side of Manhattan, he was raised in a non-practicing Jewish family of Russian descent (Nai 1998, 5). Considering the cultural diversity of New York City during and immediately following World War II, it is not surprising that he learned at a young age to dismiss any ethnic or racial boundaries that may have infringed on his progress as a social being—it was a personality trait that would play an important role in his development as a musician throughout his entire life.

Brought up in a family of non-musicians, Lacy became interested in jazz in his early teens (Harrison 1966, 7; Nai 1998, 6). His piano teacher introduced his ears to Art Tatum (Levin 1959, 4); he acquired albums by Louis Armstrong and Duke Ellington, and was drawn to the sound of the latter's alto saxophonist Johnny Hodges.[3] The Ellington band continued to be a large influence on Lacy's early career. In an interview from 1961, he recounted, "Duke and the people who have played with him have always been my main inspiration" (Gitler 1961, 15).

He began to listen closely to the soprano saxophonist Sidney Bechet. Lacy was previously trained on the clarinet and found a similar range and sound in Bechet's soprano saxophone. Enchanted by its sound, he took up the instrument at age sixteen.[4] Lacy specifically cites Bechet's "The Mooche" as his first inspiration for playing the soprano,[5] and a benchmark for his early performances: "It was because of [Bechet] that I began to play. Having heard him, I gravitated towards that instrument and I had to go through his style, and then again—at it, and finally beyond it" (France and France 1978, 8).

Lacy continued practicing with transcriptions of solos by swing pianists Fats Waller and Teddy Wilson (Harrison 1966, 7). He took lessons on the clarinet and tenor saxophone, as well as music theory, from clarinetist Cecil Scott; Joe Allard (saxophone and clarinet) and Harold Freeman (clarinet) also provided instruction to Lacy. His formal training began in 1952 when he attended the Schillinger School of Music in Boston (which was later renamed the Berklee College of Music), and the Manhattan School of Music from 1956–57.[6]

Since his instrument had seen little development in jazz since the 1930s big band era, he found his place playing Dixieland jazz in various groups throughout New York until 1956 (Gros-Claude [1971] 2006, 44; Lindenmaier and Kernfeld 2008). He became acquainted with the city's prominent Dixieland musicians, performing with Scott (his former instructor) and Rex Stewart (the cornetist from the Fletcher Henderson and Ellington bands), as well as other notable musicians such as Pee Wee Russell, Buck Clayton, Jimmy Rushing, Dicky Wells, Walter Page, Wild Bill Davison, Jimmy Rushing,

Jo Jones, Joe Sullivan, George Wettling, Miff Mole, Lou McGarity, Frank Signorelli, Red Allen, Hot Lips Page, Max Kaminsky, Jimmy McPartland, Vic Dickenson, Red Allen, Buster Bailey, Zutty Singleton and Pops Foster.[7]

Lacy was welcomed into the circle of Dixieland players at the time. He was prompted by his interviewer to explain:

> Ben Sidran: Sydney Bechet, soprano saxophone. Pops Foster was also in the band. You played with Pops Foster,
>
> Steve Lacy: Many times, in the beginning when I was playing with all those old, well they were the pioneers and they were still alive and active in New York in the early fifties, at some weekly so-called Dixieland concerts and I was . . . I was there, I was working there among them, *with* them for a couple of seasons. It was very good experience for me. Really, I was lucky. Extremely lucky to have that experience. Played with all those guys. Pee Wee Russell and Pops Foster and Zutty Singleton, Buck Clayton, all the guys from Kansas City, Dicky Wells, Benny Morton, lots of them.
>
> Sidran: I can imagine that they were very enthusiastic about having young players comin' up with them.
>
> Lacy: I was a kid, but as I say I didn't compete with anybody I was playing soprano, I was the only soprano player in the whole scene.[8] And, it sorta fit right in and I didn't get in anybody's way, and they were beautiful, they were very encouraging all of 'em. Without exception, everyone of them. And I learned a lot from playing with all those guys, even some obscure people too. (Lacy [1986] 2006, 10:40–11:58)

The community of Dixieland musicians brought Lacy into the recording studio. For his debut album, he was part of Dick Sutton's sextet on *Jazz Idiom*, recorded on August 8, 1954 (T. Lord 2003; Shoemaker 1988, 30). He was included on Sutton's next Dixieland recording the following November titled *Progressive Dixieland*. From 1955–56, Lacy recorded in this style three more times with Tom Stewart, Whitney Mitchell,

and Joe Puma (T. Lord 2003). Although he withdrew from this circle of musicians in 1956, he did not completely stop playing the style until 1964 (Davidson 1974, 2).

He was mentored by members of the 1940s New Orleans revival, and in one interview, he considered himself a part of that movement (Nai 1998, 15). Beginning in 1942, ten years before he entered the community, critics and musicians argued over the definition of jazz with reference to the styles of Dixieland and swing.[9] Labeled as "moldy figs," exponents of traditional jazz claimed their folk roots as a resurgent authenticity in opposition to the commercialization of swing (Gendron 1995, 32, 45; S. Tucker 2010).

Spurred by the writings by Marshall Stearns, who wrote on the history of New Orleans music, and the 1939 publication of *Jazzmen* (F. Ramsey and Smith [1939] 1977), increased interest into the music's beginnings aimed to expose the early style as the Golden Age of jazz through the work of early practitioners such as Buddy Bolden, King Oliver, Bix Beiderbecke, Louis Armstrong, Sydney Bechet, Jelly Roll Morten, and (clarinetist) George Lewis. Research for *Jazzmen* led to the discovery of trumpet player Willie "Bunk" Johnson, who led the revival from 1942 until his death in 1949.[10] In essence, this initial "thrust of jazz history was to restore and strengthen the 'original' music" (DeVeaux 1991, 535).

Performances by leaders like Armstrong and Bechet continued the movement into the 1950s; however, the advent of bebop shifted alliances in the Dixieland-swing battle:

> By 1947 the mainstream jazz journals were subtly recasting the "moldy fig" versus "modernist" war as a conflict now pitting New Orleans jazz against bebop, rather than swing, and they were characterizing the revivalists, not altogether accurately, as bebop's most natural and unrelenting opponents. (Gendron 1995, 49)

There is slight disagreement between the writing of Scott DeVeaux and Bernard Gendron about the shift of arguments between proponents of the old and new. DeVeaux argues that supporters of both Dixieland and swing music came upon a truce by the late 1940s in which the commonalities between musical styles outweighed their differences. In a compromise to legitimize New Orleans music as a cultural heritage and swing as an evolution of history, the construction of a jazz tradition was in the interest of both parties—it was only with the advent of bebop that the truce was broken, which once again polarized ideas about the definition of jazz (1991, 536, 538). Gendron, on the other hand, writes that bebop found itself amidst the battle that was transposed due to its changing environment (1995, 32–33). This disagreement aside, what remained was a reputation of Dixieland advocates to be “defenders of an outdated and artificially static notion of what jazz is and can be” (DeVeaux 1991, 527). It was not until the early 1950s that the debate waned, and the tradition of jazz constructed as distinct eras with stylistic boundaries (ibid., 539–45).

Although the results determined that New Orleans jazz was “not to be swept aside as merely antiquarian” (ibid., 539), the movement generally “prevented New Orleans from reclaiming its former significance in this music” (Robinson and Hazeldine 2012).[11] However, efforts were made after 1950 to solidify the notoriety of the style. Nat Shapiro and Nat Hentoff’s *Hear Me Talkin’ To Ya* published in 1955 presents the voices of the past, echoing previous writings that focus on Armstrong, Morton, Bolden, and Johnson.[12] Further interviews were conducted, recordings and texts produced, and multiple archives

built to preserve the importance of New Orleans music through the 1950s and 1960s (Welburn 1986, 80–81).

The remnants of the feud characterized Lacy's early exposure to jazz. The first album titles under the leadership of Sutton are reminiscent of the debate, especially *Progressive Dixieland*. The musicians within this community have since been confined to the Dixieland style in jazz historiography;[13] however, to their credit (and considering the bitter struggle between traditional and modern musicians), they did not impede on Lacy's formidable years as a musician. Instead, they aided in incarnating Lacy as a musician who would deploy and constitute jazz as a vehicle for musical freedom. It was not until his association with Gil Evans, Cecil Taylor and Thelonious Monk that he broadened his perceptions of jazz, music, and the arts in general.

Lacy and Modern Music of the 1950s

The year 1953 marked a significant juncture for Lacy's professional activities. Continuing to perform in Dixieland groups, he made the leap from an older style of jazz to a more contemporary post-bop style when he began playing with the avant-garde pianist Cecil Taylor. While playing with Taylor from 1953 to 1959, Lacy formed a professional relationship with the bandleader Gil Evans, recorded his first two albums as leader, and began a close study of compositions by Monk. Taking interest in the young saxophonist, Monk expanded his quartet to a quintet by hiring Lacy for sixteen weeks in 1960, after which, Lacy played with Monk intermittently until 1964.

Lacy and Taylor: The Early Avant-Garde

Though Lacy is regarded as an avant-garde performer for the majority of his life, his work from 1956 to 1964 marks his most prolific free jazz period, which coincides with his time spent with Taylor, Monk, and trombonist Roswell Rudd. In the 1950s, Taylor was a relatively unknown jazz musician. Critics denounced him for his refusal to play anything commercial, his cerebral—though technically impressive—approach to playing, and his hostility towards the jazz establishment (including both critics and fellow musicians). In turn, he was pushed to the periphery of jazz. He had a difficult time finding other musicians to work with and inconsistent opportunities to perform.[14]

Taylor left the New England Conservatory in 1953 and immediately moved to New York where he played with Dixieland musicians; however, his modern approach to accompaniment and soloing was not in accordance with the style (Anderson 2007, 57).[15] Following his artistic muse, Taylor employed his own conception of music making in 1953. His avant-garde tendencies—both musical and social—went hand in hand with his position in the jazz community. His music challenged preconceived notions of timbre, texture, and tonality, and he insisted that his political views—one being that jazz was an art of the black community—were intrinsically tied to his music (Kelley 1999, 154; Westendorf 1994, 126).[16]

Taylor's convictions opened a new approach to understanding music as a performance art for Lacy. He elaborates in his interview with Max Harrison:

> The first thing Taylor said to me was, 'How come a young fellow like you is playing Dixieland?' This was a very disconcerting question because I didn't know there was anything else or think of myself as the 'young fellow', and it really

> startled me. But we got friendly and gradually I began hearing more modern music. (1966, 8)[17]

Lacy later commented, “he plucked me out of the traditional music and threw me into the avant-garde ocean” (Corbett [1997] 2006, 187).[18]

Their first work together was not avant-garde. Taylor originally hired Lacy, along with Calo Scott on cello, to play jazz standards for dancers—many pieces were from the Ellington repertoire.[19] The dances provided economic safety when they found few opportunities to perform their own music:

> We played mambos and rumbas and foxtrots and blues. We learned how to play for dancing. It was very important because if the dancers stopped dancing, you got fired. Very simple really: if they kept dancing, you kept your job. We found out what to do and what not to do. Because you couldn’t get any concert jobs at the time, so we had dance jobs. (Lacy quoted in Friedlander and Friedlander [1998] 2006, 197)

He illustrates the circumstances clearly in a later interview: “When I played with [Taylor], we didn’t have very many concerts, but we worked a lot for dancing. [. . .] That’s how we survived” (Cox [2002] 2006, 219).[20]

Later stating that Taylor “showed me the way to find my own music” (Corbett [1997] 2006, 187), Lacy’s interviews discuss Taylor introducing him to bop (Fats Navarro, Bud Powell and Charlie Parker)[21] and teaching him about the unity of the arts through dance, film, literature, theatre and modern music (specifically that of Igor Stravinsky and Béla Bartók). By the end of their work together, Lacy commented: “I’m coming around to the view that anything can be used in jazz and can be an influence” (Levin 1959, 6).[22]

Lacy spoke of this time period of transitioning from the Dixieland style to modern jazz. While attending the Schillinger School, Lacy found a "better university" in the clubs—he cites the Five Spot, Jazz Gallery and Birdland as his institutions of learning, with his list of African American professors that include Monk, Charles Mingus, Charlie Parker, Bud Powell, Duke Ellington, Sarah Vaughn, and Lester Young (Lacy [1986] 2006, 1:28–2:26). Lacy was asked to elaborate on that experience:

> Ben Sidran: You commented that you went to the university of Birdland.
>
> Steve Lacy: [laughs] That's right, yeah. I don't have my, my certificate to prove it.
>
> Sidran: Well these days the university of Birdland of course is closed as is the university of the Half-Note and the,
>
> Lacy: Unfortunately, unfortunately, yeah. The Five Spot and all the—I was lucky to be permitted in those places and to be able to, first start as a fan, and then be studying, and then to play there actually, and then to have seen the whole thing and been through it. Yeah. I was very lucky. 'Cause you can't, you can't duplicate that in a school, it's not possible. That was really a slice of [. . .] intense life and art all mixed up. (Ibid., 21:43–22:22)[23]

It was Taylor who facilitated Lacy's introduction to the club scene, and Monk's music. Lacy tells:

> Then, in 1955, Cecil took me by the hand and said, "Come on, we're gonna go hear Monk." And we went to a little club downtown. And there was Monk. [. . .] That was my first introduction to Monk live and I flipped. [. . .] At that point I started to buy records and try to learn his tunes. Because the compositions intrigued me so much and it seemed like they fit my instrument perfectly. (Friedlander and Friedlander [1998] 2006, 199)[24]

Taylor introduced Lacy to performing Monk's music as well: "right away one of the tunes we played was 'Beshma Swing' by Monk. That was my first introduction to Monk's music" (ibid.). Mainly performing as a quartet with Buell Neidlinger on bass and

Dennis Charles on drums,[25] Lacy was recorded on two of the seven tracks for Taylor's *Jazz Advance* on September 14, 1956 (T. Lord 2003).[26] The album had the approval of high-profile critics like Whitney Balliett and Martin Williams after its release, which led to a six-week engagement at the Five Spot.

With the purchase of an upright piano on August 30, 1956, the Five Spot began hosting jam sessions led by pianist Don Shoemaker and bass trumpet player William Dale Wales. David Amram—a French horn player and regular at the sessions—began inviting more musicians to the events, including Taylor in November. Gaining the audience's divided attention and support, Taylor was hired for six weeks from November 29, 1956 to January 3, 1957 (Kelley 2009, 226–28). Attracting crowds from the neighbourhood then called "Uptown Bohemia" (Lee 2006, 11), the performances with Lacy, Neidlinger and Charles "effectively put the club on the map as a home for inventive modern jazz" (Anderson 2007, 58). Lacy remembered the gig:

> I lived two minutes away. [. . .] For us, it was very important. When we started there was sawdust on the floor and at the end of our engagement, when they saw that jazz really worked, they got rid of the beer bottles and took away the sawdust. It became a classier place. (Kirili [1996] 2006, 160)

Taylor's group was booked for the Newport Jazz Festival on July 6, 1957[27] and performed another prestigious concert at the Great South Bay Jazz Festival in 1958 (Dobbins and Kernfeld 2012). Despite Balliett's favourable review of the Newport concert, the bookings slowed. The music was against the grain of critic's expectations and foreshadowed free jazz of the 1960s:

> Cecil was so far ahead of everybody that the few of us that appreciated what he did just marveled at him. Most people did not appreciate it at all. He was considered a terrorist, a musical terrorist. The club owners would lock up their

> pianos, the drummers would walk off the stage, and the critics would scribble furiously. (Lacy quoted in Cox [2002] 2006, 219)

Lacy did not consider Taylor's music different than contemporary jazz, but a style containing a high degree of dissonance—a more colourful way of playing (Harrison 1966, 8). He clarified that "it was not done in a free way. It was built up very, very systematically, but with a new ear and new values" (Ullman 2007, 339). The jazz community was not polarized between the mainstream and the avant-garde to the same degree as the 1960s, and although Taylor's music was not widely accepted, Lacy later said, "things were more clear-cut. Everybody was against us, but at least we had a possibility of fighting" (Ratliff [1992] 2006, 139).

It appears that Taylor was searching for other sidemen in 1958 and 1959: his next three albums replace Lacy with either Earl Griffith on vibes (June 9, 1958), Kenny Dorham on trumpet and John Coltrane on saxophone (October 13, 1958) or Ted Curson on trumpet (April 15, 1959). Straying from the regular quartet, Taylor also employed alternate bassists and drummers on some of these recordings (T. Lord 2003). By 1960, at the recommendation of Neidlinger, Taylor found Lacy's replacement with the young tenor saxophonist Archie Shepp (S. Smith 2001, 50; Baraka 1967, 150). Neidlinger and Charles would continue with Taylor, play intermittently with Lacy through the 1960s, and help shape the sound of free jazz (Kernfeld 2012a; Kernfeld 2012b). Lacy left the group permanently in 1959 with other engagements—he had already begun playing with Gil Evans and recording albums of his own.

Lacy, Evans, and First Recordings

Evans led various groups as a pianist beginning in the 1930s and is mainly known for his work as an arranger and composer. He began orchestrating bebop in the 1940s, preparing arrangements for pieces by Charlie Parker, and more importantly, the nonet recordings by Miles Davis in 1949 and 1950 (later released as *Birth of the Cool*). Despite his work with leading bop musicians, Evans was not well known until his work with Davis after 1957.[28] In the late 1950s and 1960s, Evans led orchestras as an attempt to emerge as a bandleader in his own right—Lacy was a featured performer (Schuller and Kernfeld 2012).

Lacy's work with the notable bandleader exposed him to a larger network of contemporary jazz artists of the 1950s. He began playing with Evans in 1956 or 1957, producing their first album together in the autumn of 1957 titled *Gil Evans and Ten*.[29] Playing lead parts with Lee Konitz—whom he studied with during this time[30]—Lacy stated: "That was my coming out, being featured on that record" (Friedlander and Friedlander [1998] 2006, 198). Forming a close working relationship, Evans planned on building a band around Lacy's unique sound, and booked "numerous concert, club and dancehall appearances" (Levin 1959, 186). They recorded *Great Jazz Standards*, again with a big band in the early months of 1959 (T. Lord 2003), and continued to promote the band in various high-profile concert venues. In an interview from September 1959, Lacy says, "the most gratifying and enlightening musical experience for me in the past few months was playing with Gil Evans's fourteen-piece band for two weeks at Birdland opposite Miles Davis and his marvelous group" (Hentoff and Williams [1959] 2006, 14).

Although there is no record of their work together shortly after 1959, the two musicians continued to perform and record together from the mid-1960s to the 1980s (T. Lord 2003; Weiss 2006, 4).

Lacy's first album as leader came only days after his first recording for Evans. On November 1, 1957, Lacy recorded *Soprano Sax* for Prestige records. He included Taylor's regular sidemen of Neidlinger (bass) and Charles (drums), along with the blues-heavy jazz pianist Wynton Kelly (T. Lord 2003).[31] Of the six tracks, Lacy included "Work" as his first independent interpretation of Monk's material. On October 17, 1958, Lacy returned to the Prestige studio[32] to record seven of Monk's compositions (Lacy 2009). Titled *Reflections*, Lacy intended to have Wilbur Ware on bass, but called Neidlinger as a last minute substitute; the drummer was Elvin Jones and the pianist was Mal Waldron.[33] Although Lacy was playing with Taylor at the time, he and Waldron previously collaborated with local poets for a project called "Jazz and Poetry" at the Five Spot, where they also performed Monk compositions—Waldron was a natural choice for the album (Rouy [1987–88] 2006, 121).

The release of *Reflections* was Lacy's opportunity to introduce himself to Monk. Although Chris Sheridan writes that their first meeting was not until May 1960 (2001, 102), Robin Kelley reports that Lacy personally delivered a copy of the record to Monk in 1958 (2009, 290). This is most probable considering Lacy's other statements about the album, for example, "I had been on his case for years. [. . .] I used to hang around where he was playing and speak to him. I gave him my record" (Gourse 1997, 168).[34] Although

Lacy conscripted himself to Monk's aesthetic, he did not identify with the bop style that was regularly associated with his music.

Too Late for Bop

With Lacy's early upbringing in the Dixieland circle and immediate shift into Taylor's music, he skipped the bop style altogether. He commented that he arrived on the jazz scene too late for bop: "That be-bop revolution was finished when I started; however, I had to learn all that literature, and I did with pleasure" (Olding 1997, 1).[35] Although he learned the repertoire, specifically the music of Charlie Parker, his musical conception was not conditioned to the bop style.[36]

Lacy's orbit around bebop was part of his draw to Monk's music. Stating that "it was the first music I found that wasn't overdone" (Cordle 1987a, 8), Lacy also reiterates a sentiment held by other bop legends:

> He was the *brains* of the be-boppers, he was the source of the structures. The be-bop revolution came out of his house, really. He was the one that spawned that, and he gave the harmonic and rhythmic. . . I mean he was the brains of the be-bop revolution, and his music was beyond be-bop—but it was also *before* be-bop. (Olding 1997, 2, emphasis in original)

Considering Lacy's musical upbringing in the New Orleans repertoire, it is telling that he found the music to have remnants of "*before* be-bop" but also an aesthetic that was "beyond be-bop" that lent itself to contemporary interpretation. In hindsight, Lacy's musical path, tangential to bop, offered a direction that eclipsed the style in favour of new expressions of Monk's music.

Transition: Giuffre to Monk

1960 was another pivotal year for Lacy. His trio with Neidlinger and Charles was expanded to include tenor saxophonist Jimmy Giuffre. Soon after, Monk hired Lacy for the summer months. Although Lacy does not speak at length about his time with Giuffre, his interviews reveal it to play a role in his transition to Monk's group.

Giuffre had decades of experience by 1960. He played in swing bands in the late 1940s (notably the Jimmy Dorsey, Woody Herman, and Buddy Rich bands), was a long-term member of Shorty Rogers's orchestra in the 1950s, performed with many popular jazz musicians, and recorded multiple albums under his own leadership (T. Lord 2003). Originally form the West Coast, he secured a few engagements in New York in 1960 and needed a band. Lacy commented: "When Giuffre got to New York, he had heard all the new jazz. He took over the trio I had with Buell and Dennis Charles and made it into the Jimmy Giuffre Quartet" (Friedlander and Friedlander [1998] 2006, 198).[37] The group did not last long. Giuffre was the leader of the ensemble and within two weeks, Lacy was fired. In Lacy's words, "it didn't work out between Jimmy and me at all. It was awful, so he fired me after two weeks. He was a beautiful guy, a lovely guy, but we were incompatible musically" (ibid.).[38] In another article, Lacy recounted that "Jimmy was very helpful [. . . . P]laying in his group really prepared me for the job with Monk" (Gitler 1961,15).

Although their performances only lasted two weeks, multiple circumstances led to Lacy's increased notability within the jazz community. On May 31, Lacy and Giuffre

performed a short set—including two Monk compositions—at a concert led by Bill Dixon and Richard Jennings that also featured sets by Ornette Coleman, Cherry, Booker Ervin, Randy Weston, Max Roach, and Monk (Kelley 2009, 289–90; Sheridan 2001, 390).

Giuffre's group opened for Coleman at the Five Spot in May, and in the wake Coleman's dates at the club six months earlier, the concerts drew a large audience of musicians.[39] One of the musicians was John Coltrane, who began playing the soprano saxophone after hearing Lacy: "Coltrane came and that's where he took notice of the soprano's tonality. After that, he started to play one" (Lacy quoted in Kirili [1996] 2006, 161).[40] Among the many times Lacy tells of Coltrane being inspired by him to play the soprano saxophone, Lacy interjects his interviewer at one point to clarify:

> Ben Sidran: It reminds me of a well-known Coltrane quote where he said, he had been hearing a voice in his head for a long time and when he finally picked up the soprano saxophone, *there* was the voice that,
>
> Steve Lacy: There it was, yeah, that's right, yeah. I remember the night he heard it too. It was in the Five Spot, I was working with Jimmy Giuffre. And Trane came in [. . .] we knew each other before a little bit. I had heard him a lot. And he had heard me maybe a little bit but that night, he got it. And that night he came up to me asked me what key it's in. And I said B-flat. And he said "oh." And then a few weeks later he had one. And that was it.
>
> Sidran: Coltrane heard the voice that he had been hearing,
>
> Lacy: He heard, well he was like, [. . .] you go window shopping, right? And you see something in the window—ahhh, that's what I've been looking for. Could be anything. Could be a typewriter, or a suit, an instrument, a car, you know [laughs]. (Lacy [1986] 2006, 13:21–14:19).

Aside from inspiring Coltrane's interest in the soprano saxophone, opening for Coleman in 1960 was an opportunity for any aspiring musician. David Lee explains that

the jazz community was polarized by differing opinions about Coleman's 1959 New York debut at the Five Spot (2006): if fans did not attend to hear Coleman's "New Thing" in 1960, the performances were at least a testing ground for audiences to evaluate the current state of jazz. Monk—who had a negative response to Coleman's 1959 concerts (Lee 2006, 14)—was persuaded by Pannonica to hear Lacy during Giuffre's set. Lacy recalled Monk being appreciative of their performances.[41] Neidlinger remembers the situation differently: "Thelonious hated the way we played his music. [. . . H]e came into the kitchen to get a hamburger and a whiskey and storm around. There was a big, metal fire door that he used to slam during our numbers. Of course, when Giuffre played Monk's music, the chords were all wrong" (Silsbee 1987, 8).[42]

Giuffre and Lacy's musical differences were in part due to their ideas about Monk's music. Lacy said that his strict study and doctrinaire approach to Monk's music was in contrast to Giuffre 's casual approach (Friedlander and Friedlander [1998] 2006, 198). Lacy had an allegiance to Monk and would have taken cues from his reaction to the Five Spot performances (as reported by Neidlinger). Being fired by Giuffre was of little importance: Monk hired Lacy to join the quartet on June 14 (Sheridan 2001, 390).

Lacy Plays with Monk

The Jazz Gallery, owned and operated by the same family as the Five Spot, was the home for Monk's quintet performances with Lacy. With Rouse on tenor saxophone and Monk at the piano, the quintet played six nights a week until October 2, 1960 and made appearances at the Apollo Theatre, the Plaza Theatre in Brooklyn, a CBS broadcast

in Philadelphia, the Quaker City Jazz Festival, and the Randall's Island Jazz Festival (Harrison 1966, 10; Sheridan 2001, 390–93).[43] Lacy explains: "it was valuable to play at the Jazz Gallery, the Apollo theater, the Randall's Island and Quaker City Jazz Festivals—all different situations but with the same band" (Gitler 1961, 46).

Monk was initially intrigued by the possibilities of the soprano and by Lacy's account, "he took me on, maybe because he saw I needed that. I was so much into his music that I needed the actual experience of playing with him to find out what was really happening" (Friedlander and Friedlander [1998] 2006, 202).

Lacy formed a relationship with Monk while playing with the group, learning the personal side of Monk's life that reflected his musical style (Solis 2001, 63). In an interview with Gabriel Solis, Lacy commented on his time with Monk:

> SL: I used to go [to Monk's house] almost every day, and soak it up, really. Hang out with him. Take a walk. Listen to his little, you know, asides and jokes. He had a lot of humor, really, and play. Play. It was about play. The guy liked to play, you know.
>
> GS: And the music?
>
> SL: Very playful. And *he* was playful. Played ping-pong. He liked to play games, he liked to play jokes, he liked to play with words, with ideas, with costume, with clothing, with shoes, with hats. He was a grown-up child, really, a genius. (Ibid., 65, brackets and emphasis in original)

Despite Monk's uncommunicative persona with many people, the two became friends beyond a professional level. Lacy reports, "Monk was very nice with me. He was so funny, and so generous and kind" (Friedlander and Friedlander [1998] 2006, 201).

A rare recording of the quintet's performance in Philadelphia was released in 2006 (Monk 2006). In 1998, Lacy remembered, "[t]here was a tape of three pieces from a

Philadelphia festival circulating with collectors, but that's the only record of that group that I know of" (Friedlander and Friedlander [1998] 2006, 202). After the album's release, Derek Ansell reviewed, "Lacy is in his element, playing with rare fervour and invention in a style we do not normally associate with him" (2007, 28). Lacy practiced incessantly. Although he described the experience as "spiritual" (Kelley 2009, 292), he found it difficult to relax, and the stress created discomfort in the presence of Monk's other highly equipped sidemen (Davidson 1974, 3).

Monk's long-term plans did not include members outside a quartet, except for the occasional quintet and big band performances. With a time of rest, he did not perform from October 2 (Lacy's last concert as part of the quintet) until November 15 (Sheridan 2001, 393). Lacy remembers the end of his tenure with Monk:

> Finally, he dropped me and went back to the quartet, because I was a trip, really. He was really going out on a limb to use me in the first place and, uh, it wasn't helping his case in a way. So he dropped me and went back to the quartet. It was more economical and it was less problematic. And it was very good for me—I got the message and I got what I needed and I went along my own way. (Jeske 1980, 21)

Although Lacy pursued his own renditions of the music, it is telling that Monk appreciated his approach enough to include him in two concert dates thereafter. Among the high-profile roster of sidemen—including Thad Jones on trumpet, Eddie Bert on trombone, and Charlie Rouse and Phil Woods on saxophones—Lacy performed with members of the 1959 Town Hall concert band for Jazz at the Philharmonic on December 30, 1963.[44] Monk did not allow Lacy to solo during the concert. When questioned about any reason behind this, Lacy replied: "I think he was trying to teach me a lesson . . . I was too anxious" (Kelley 1999, 156). However, Chris Sheridan writes, "Lacy's probing

soprano added an edge to the proceedings which both reflected the leader's penetrating playing and contrasted with the brassiness of Mr. Monk's previous big band foray" (2001, 135). Lacy returned to Monk's big band on June 6, 1964 at Carnegie Hall, again performing with Rouse and other members of the Town Hall concert (Gourse 1997, 216). Overall, the two remained friends throughout their lives, Lacy even visiting Monk during his time of reclusion in 1981.[45]

Reviews and Lacy's Straight Horn

The Straight Horn of Steve Lacy was recorded on November 19, 1960 and is exemplary of Lacy's interest in Monk's repertoire. Three of the album's six tracks were Monk originals: "Introspection," "Played Twice," and "Criss Cross." (T. Lord 2003). The pianoless group included Charles Davis on baritone saxophone, and Monk's rhythm section of John Ore on bass and Roy Haynes on drums (ibid.). Ore and Haynes had played with Monk before—Ore joined the quartet in April of that year (Sheridan 2001, 99) and Haynes played with Monk as early as 1958 (ibid., 85, 86). The rhythm section was an easy fit: both musicians performed at the Jazz Gallery with Lacy and Monk in the previous months (ibid., 102–3; 390–95).

The recording of *The Straight Horn* coincided with increased attention from critics. With the exception of a short negative review of *Soprano Sax* in 1958 (J. Wilson 1958b, 18), the majority of reviews did not appear until Lacy won the *Down Beat* critics poll in 1960 for the new star award in the miscellaneous instrument category (Gitler 1961, 46). Ira Gitler wrote about Lacy's recordings with specific reference to Monk

compositions: "On his first Prestige album, *Soprano Sax*, he recorded *Work*. Then, after learning 29 more Monk songs, he picked seven for his New Jazz album, *Reflections*" (ibid., 15).

Bob Dawbarn provided a negative review of Lacy's first album with a dislike of the soprano altogether: "The phrases he plays are all right, but would sound that much better on alto" (1961b, 22).[46] Other reviews from 1962 were mixed. Writing about *The Straight Horn*, Richard Hadlock penned that Lacy's playing contains an "emotional detachment" where, "there is something vital missing. Something as simple as human warmth" (1962a, 27). Ronald Caro responded to the review in Lacy's defense: "Your sense of values is extremely questionable and appears unable to express itself through your writing" (Caro 1962, 8).

Lacy was a critic of his early albums. He thought that his rendition of "Work" on *Soprano Sax* was "quite wrong" and later explained that he had made mistakes with his playing. Monk thought differently. Although Lacy believes that Monk did not listen to the albums until 1960, he gave encouragement and positive feedback.[47]

Lacy and Rudd in the 1960s

During the early 1960s, as Lacy was drawn further into the avant-garde community, it is not surprising that his treatment of Monk's music would be an experiment with free jazz tendencies. In 1961, Lacy joined forces with trombonist Roswell Rudd in pursuit of learning Monk's repertoire to the fullest degree ("The Land of Monk" [1963] 2006, 20). Although Monk was not listening to Lacy and Rudd's work as

of 1963, Lacy commented, "Monk knows what we're doing with his music, and he has given us full encouragement" (Gleason 1963, 1).[48] Lacy's collaboration with Rudd to learn Monk's music would prove to be a rigorous task that lasted until 1964.

Rudd, Dixieland, and the Jazz Avant-Garde

Rudd became integrated into the New York avant-garde jazz scene in the 1960s. Involved in the developments of free jazz, and politically aware of the social currents of the time, "Rudd was one of only a very few white musicians to be accepted within Black Nationalist circles of the avant-garde jazz in the 1960s" (Solis 2001, 177). An integral part of jazz's transition into the avant-garde, he steadily performed with high profile leaders like Taylor and Archie Shepp while working with Lacy in the early 1960s.

Born on November 17, 1935 in Sharon, CN, Rudd was raised in a musical family; his father was a trap drummer that performed with local musicians, and his mother and grandmother were involved in the music of their church.[49] Through his father's records, Rudd's first influence was Louis Armstrong, and he began listening to major figures of early jazz—Pee Wee Russell, Fats Waller, Edmond Hall, Dave Tough, Art Tatum, Jelly Roll Morton, Duke Ellington, and the more modern Bud Powell (Danson 1982a, 5; Heckman 1964, 14).[50] Rudd began playing the French horn at age 11 or 12;[51] he had difficulties with sight-reading but strong aural skills, and switched to trombone ca. 1948 while attending high school and playing in a family band (Dupont 1992a, 8; Rudd [1973?]):[52] "there weren't any French horns on the records my father had, and that's where I was really coming from. Tricky Sam, Jack Teagarden and those people were on these records, so I got with the trombone" (Rudd quoted in Primack 1978, 25).

After graduating high school in 1954, he attended Yale for music from 1954–58 and earned his degree when he returned for his final year in 1960. Although he received his formal training at the university, he performed in Dixieland bands to pay for college fees and credits the local musicians for providing most of his early education.[53] One of his groups was "Eli's Chosen Six," a college Dixieland group that was started by Buell Neidlinger in 1953 (Dupont 1992a, 9). Neidlinger was no longer part of the group by 1955; however, the band recorded for Columbia in 1955 and Golden Crest in 1957, performing recognizable Dixieland standards like "Basin Street Blues," "St. James Infirmary," "Dippermouth Blues," and "High Society" (T. Lord 2003).

Through Neidlinger, Rudd was introduced to the Dixieland scene of New York and performed with Eddie Condon, Billy Butterfield, "Wild Bill" Davidson and Edmund Hall (Rudd [1973?]). After permanently relocating to the city in 1960, he met pianist Herbie Nichols who was playing in both Dixieland and bop styles (T. Lord 2003). Nichols was a major influence on Rudd, and they would frequently rehearse and perform together until Nichols's death in 1963.[54]

Rudd and Lacy met in 1955 through the same community of Dixieland musicians. In fact, Lacy was an occasional substitute (on the saxophone) for the clarinetist of Eli's Chosen Six (Weiss 2007). Rudd remembers breaking from his studies to hear Lacy and Taylor at the Five Spot: "I'd come down from school and I'd sleep over at Lacy's pad on Bleecker Street" (Dupont 1992b, 9).[55] Rudd, Lacy, and Neidlinger shared a common heritage in changing from Dixieland to free jazz with little invested time in the (chronologically betwixt) styles of swing and bop.[56] Rudd's first album outside of

Dixieland was for Neidlinger on June 10, 1961—released under Taylor's name, *Cecil Taylor: New York City R & B* also included Lacy, Shepp, Charles Davis, Clark Terry, and Billy Higgins.[57] Rudd recorded with Taylor again on October 10, 1961 for *Into The Hot*, and later stated that his main influences in the 1960s were Monk, Ornette Coleman, and Charles Mingus (Danson 1982a, 5–6; Dupont 1992b, 15; T. Lord 2003).[58] While performing with Lacy and gaining more prominence in the jazz scene, Rudd won *Down Beat's* International Critics Poll Award in 1963 for the trombonist most deserving of wider recognition (Heckman 1964, 14; Rudd [1973?]).

Learning Monk

The duo originally practiced a repertory of compositions by Monk, Duke Ellington, Billy Strayhorn, Cecil Taylor and Herbie Nichols, and before long, solely focused on those by Monk (Primack 1978, 58; Whitehead 1987, 25). Gourse points out that this was no easy task: "Many musicians gave up trying to play Monk's songs [. . . . They] could become too discouraged, or squelched, to persist" (1997, 172). Lacy clarifies that some musicians were performing Monk's tunes at the time, such as "'Round Midnight"; however, "nobody was playing his other compositions—perhaps because there were no publications, and because their originality and complexity made them seem forbidding to most players" (Lacy 1997, 12). Lacy, having previously focused on the melody in the pieces, was complemented by Rudd's interpretation of the harmony and counterpoint that was integral to Monk's music.

Both musicians formed a musical trust with one another (something that Lacy stressed as an important aspect of their group) so as to begin taking risks in their

performance of the music (Solis 2001, 174). Using the music as a point of departure, Lacy commented, “the Monk material has given us a sound, a direction, a point of view, a technique as well as an excellent library of material, material we don’t get tired of and that inspires us every night” (“The Land of Monk” [1963] 2006, 20).[59]

The objective of the group was to find the core rudiments of the music to use as an integral part of improvisation. Lacy commented that the music “had a certain consistency to it. I wanted to see the proportions of the whole thing and to check out the consistency of the language” (Davidson 1974, 3). In an article from 1963, Lacy spoke of the group’s intentions:

> What we wanted to do was to eliminate the compromises Monk had had to make recording them, due to the lack of sufficient preparation of his sidemen. It seemed there wasn’t a strong enough relationship between the improvisations and the piece itself. This was true not only in the Monk records but in most of the jazz that we’d heard. (“The Land of Monk” [1963] 2006, 22)

In the final year of their work together, Lacy and Rudd were performing the full repertoire of Monk compositions to date—fifty-three in total. Speaking of their collaboration, Lacy said, “[Rudd] helped me learn a lot of the ones I didn’t know and vice versa” (Davidson 1974, 3). Performing such a variety of tunes, Lacy also spoke of his fluency with the music: “each song of Monk’s [. . .] left me with something invaluable and permanent, and the more I learned, the more I began to get with his system” (Hentoff and Williams [1959] 2006, 13). With his seemingly endless study of Monk’s music, by 1963 Lacy was regarded as the only musician that understood Monk’s music better than the composer himself (“The Land of Monk” [1963] 2006, 22).

From 1961–64, Rudd recorded with other avant-garde groups and Lacy maintained some work with Evans, Miles Davis and Monk (Friedlander and Friedlander [1998] 2006, 198–99; T. Lord 2003); however, the Lacy/Rudd collaboration had limited opportunities to perform and record. Lacy reported: "We couldn't get any work at all, so we invented our own work. There were nights when we didn't make a dime" (Friedlander and Friedlander [1998] 2006, 203). He provides similar statements in other interviews, saying "nobody would hire us" (Martin [1991] 2006, 136), and that "it was considered suspect by a lot of business people" (Harrison 1966, 11). Furthermore, critics did not help their cause—for those that wrote about the Monk group, Lacy believes the music frightened them (ibid.).

Dennis Charles was their regular drummer (Harrison 1966, 11; Heckman 1964, 15). Retaining a bass player was a challenge: "As for the bassist, about thirty bass players have passed through this quartet. Twenty-seven, exactly. John Ore, Steve Swallow, Henry Grimes, Wilbur Ware were among the best" (Lacy quoted in Carles [1965] 2006, 37). Rudd states that their longest-running bassist was Lewis Worrell (Danson 1982a, 6).[60]

To my knowledge, the coffee house called "Phase 2" was the only consistent public performance space for the group; however, they "worked many Greenwich Village coffee houses,[61] off nights at all the major clubs, a week in Brooklyn, a TV show, a college date here and there" (Lacy quoted in Harrison 1966, 11). By virtue of the avant-garde scene in New York, the group relied heavily on playing at coffee shops and lofts.[62] Reported in 1963:

> The coffee houses of Greenwich Village [in New York City] offered a hospitable refuge when the standard jazz clubs weren't interested. Of late the group has been working at a club call the Phase 2. It's owner, Paul Blau, has proved sympathetic to the group's approach and encouraged them to continue with it. ("The Land of Monk" [1963] 2006, 23)

Additionally, Bret Primack states "Lacy and Rudd did most of their playing in lofts. In fact, they were the forerunners of today's loft happenings" (1978, 58).

Recording(s)

Recording a finished album was also difficult. In 1964, Don Heckman wrote, "[a]s good as the Lacy-Rudd group is, it has, as of this writing, not yet managed to persuade any record company to record it" (Heckman 1964, 15). Lacy commented, "[a] couple of people tried to record us. They didn't understand what we were doing really" (Friedlander and Friedlander [1998] 2006, 203). Attempts to record the music were stopped by the producers. One recording was a frustrating experience because the producer believed the music was incorrect and frequently interrupted the studio performance, stopping the tape each time. The recording session was cancelled without an album of complete tracks. The group had similar experiences with Columbia and Verve records (ibid.).[63]

A live performance was captured in 1963 with Charles on drums and Grimes on bass. Ben Ratliff writes: "It was made in 1963 on a cheap tape recorder at the Phase Two Coffee House in Greenwich Village, released in 1975 in a small quantity on a tiny label and again several years ago on a CD that has since passed out of print" (1999b, 7). The title, *School Days*, is a reflection of their three-year study session. From Rudd's point of

view, "it was a self-help project. We were educating ourselves musically in a way that we never could in an institutional sense" (Danson 1982a, 6). Lacy's comments were similar:

> And with Roswell I could correct my own errors. He corrected my errors and I corrected his. The two of us could hear much more than one. Again, there was no paper. We were only going by the records of Monk's music. We listened to them over and over and Roswell would make arrangements. It was like school days. That's why we call the record *School Days*. (Friedlander and Friedlander [1998] 2006, 203)

Separation

After three years of intense study, Lacy and Rudd found that their musical conceptions were diverging. Lacy told:

> The reason that group broke up was because Roswell started writing a lot of stuff himself, and he wanted to play some of that music. I was still into Monk, and I had a lot of personal difficulties in New York at that time—and we couldn't get any work anyway. (Davidson 1974, 3)

Although Rudd was intent on Monk's music, he was not focused on it to the same degree as Lacy. He did not have any personal connection to Monk (Dupont 1992b, 15), and did not see their work as a direct offspring of Monk's musical intentions:

> I guess what we do is in the spirit of what he's trying to do, but we don't move directly from him, anymore than we do from anyone else. All the way back to Louis Armstrong, guys have eaten and regurgitated much more than what we are with Monk. The material that we work from, first of all gives us some kind of a starting point. (Rudd quoted in Heckman 1964, 15)

Separating ways, Rudd became involved in the Jazz Composers Guild, the Jazz Composer's Orchestra Association, the New York Art Quartet, and toured and recorded with Taylor and Shepp through the remainder of the 1960s and early 1970s (Dupont 1992b, 11–13, 15; T. Lord 2003).[64] He took jobs working for New York City's Social Services and Post Office to fund his experimental approach to music; while working as a

cab driver from 1968–71, he joined Alan Lomax's Cantometrics Project in the late 1960s and worked there for four years in total (Rudd [1973?]; Stone 2001). Lacy, on the other hand, toured Europe and South America in the years following his collaboration with Rudd.

Lacy and Cherry: America and Beyond

Before launching an international career, Lacy made ties with notable free jazz musicians in New York. He credits trumpeter Don Cherry—an integral member of Ornette Coleman's original quartet—as the person who fostered his concept of playing "free," especially when playing Monk's repertoire.[65] The two musicians met during Coleman and Cherry's New York debut in November 1959, rehearsed together from 1959–60 and performed at the same engagements with their respective bands (led by Giuffre and Coleman) in 1960 (Nai 1998, 9).[66] Cherry joined Lacy's recording date for *Evidence* on November 14, 1961 (T. Lord 2003). With Carl Brown on bass and Billy Higgins on drums (who was also in the Coleman group), the album includes six tracks, four of which are Monk compositions (Hentoff 1961).[67]

Like Rudd, Lacy took part in the Jazz Composers Guild, performing with leading members of the avant-garde, notably Carla Bley, Milford Graves, Bill Dixon, and Archie Shepp.[68] Lacy left New York in 1965, and later commented that his experience of playing with the city's strong musicians was "indispensable for a certain amount of time" (Harrison 1966, 10). Pursuing an international audience, he took a one-month engagement at the Café Montmartre in Copenhagen with Cherry. Lacy elaborated: "It

was my gig. After Copenhagen, we went to France and Italy and hung around there. Then I formed a quartet with Enrico Rava, [and] made a couple of records in Italy" (Jeske 1980, 21).[69] He was also a member of the group called "Jazz Realities" with Carla Bley (piano) and Mike Mantler (trumpet) while overseas; they played compositions by Monk and Taylor, as well as their own (Harrison 1966, 10–11). Lacy formed a quartet with other musicians then living in Italy; focusing on free improvised music, the group toured Argentina for eight months from the summer of 1966 to March 1967.[70]

After two years away from New York, Lacy returned to the city and formed a quintet with Karl Berger, Enrico Rava, Kent Carter and Paul Motian (Jeske 1980, 21). However, Lacy found little work and financial support as an avant-garde musician. He said that competition to find work in the city was intense, and that it was too hard to survive as a musician without finding a day job. Displeased with the limited opportunities in America, and considering the lucrative possibilities he found during his stay in Europe, he moved to Rome in January 1968.[71] Lacy's quintet did not find enough work in Rome, and upon the band's dissolution, he remained in Europe with his soon to be wife—the vocalist, violinist, and cellist, Irene Aebi (ibid.).

Lacy spent three years in Rome. Because there were relatively few high-quality musicians in the area, he moved to Paris in 1970 to form his own group:

> So I thought there was something happening in France, because I'd played a festival and heard a lot of the newer musicians who I didn't know about at all—people like Anthony Braxton, Bobby Few, Leo Smith, the Art Ensemble, Frank Wright and everybody—and I said, 'Wow! Paris is happening!' (Lacy quoted in Davidson 1974, 4)[72]

During the late 1960s and 1970s, Lacy retired his experiments with Monk's music and focused on composing. He was frequently performing Monk's material as of November 1965 (Harrison 1966, 11); however, he seemed to be shedding his roots and searching for alternatives to jazz, specifically with reference to the soprano playing of Bechet and Coltrane (ibid., 8). Although he recorded *Epistrophy* in 1969—another album of compositions by Monk (T. Lord 2003)—Lacy's work in the 1970s seldom revisits the material (the only recording among many is a workshop that included "Evidence" in 1975 [T. Lord 2003]). He clearly states that he abandoned Monk's music by 1974: "I reached a point where I thought I was not doing it justice. I just got discouraged. I also began finding my own thing. For example, when I came to Paris in 1970 or so" (Davidson 1974, 3).

Based out of Paris, his sextet comprised of himself, Aebi, Steve Potts, Kent Carter, Michael Smith and Kenny Tyler—piano, drums, two saxophones, two strings, and Aebi doubling on voice (ibid., 4).[73] They performed Lacy's compositions that combined free jazz, European art music, poetry and dance (Terlizzi 1977, 9; Levenson 1990, 80). Setting music to text was the driving force of his compositions.[74] The group performed until the mid-1990s in a style that is referred to as "post-free" or "poly-free."[75] His compositions were not completely "free," but aimed at discovering the possibilities of freedom contained within structured improvisatory frameworks.

Lacy gained wider recognition in Europe and found that its audiences were more engaged with the music than those in America.[76] He identified as a permanent resident of France by 1980:

> I used to consider returning to the States. I always like to think that I could come back any minute, but I don't do it. And I'd be crazy to leave now, because it's going very well for me over there. And the main thing that keeps me over there is the quintet. I don't think there are very many *groups* in the world that play new music and stay together. [. . .] And I think if we were back in America, the pressure would really be disintegrating. (Jeske 1980, 23)

After nearly a decade away from the music, he returned to playing Monk's compositions by 1980 with a fresh approach:

> I don't worry about the Monk stuff like I used to. I try to get the theme right, but once that's over, I don't have to take it too seriously. I used to try to get each measure correct, but now it's sort of behind me, and I can relax with it more. I think I do a better job now. (Lacy quoted in Case [1979] 2006, 86)[77]

He continued performing with other notable interpreters of the music including his colleague Roswell Rudd, and pianists Misha Mengelberg and Mal Waldron.

Limited Recognition and Record Labels

Considering Lacy's distance from America, its critics, promoters and record labels, Martin Davison wrote that, "Steve Lacy has never made it big" (1974, 1). One jazz history text by Joachim-Ernst Berendt and Günther Huesmann attends to the soprano saxophone at length, and claims the "main currents" of the instrument are represented by Bechet, Coltrane, and Wayne Shorter—Lacy's impact was marginal (2009, 296).[78] Of the other saxophonists mentioned (in which there are over thirty), none are considered to be largely influenced by Lacy (ibid., 297–302). I would debate this oversight because many musicians, including Coltrane, performed with Lacy or were members of his community, notably Archie Shepp, Evan Parker, Oliver Lake, Julius Hemphill and Jan Garbarek.[79]

Berendt and Huesmann's claim, however, may be based on the presupposition that Lacy did not have an international impact to the same degree as the other stated saxophonists.

One reason for his meagre significance among jazz historians is due to the limited distribution of his recordings. Although his recorded output was vast,[80] many albums were released by small European labels. When an interviewer commented that his "records are hard to locate," Lacy responded:

> My recordings are European. The only way you would have it [in America] would be if someone imported it. Now I've got a couple of things out in the States on other labels. I hope eventually to have a way to record on a normal label there but it hasn't happened yet. We've been talking about it with some of these companies for *20 years*. (France and France 1978, 6, emphasis in original)

Commenting on small record labels that focused on avant-garde jazz and improvised music, Lee Jeske writes,

> Steve Lacy's discography lists over 50 albums as a leader on 39 different labels—labels such as ESP, IAI, QED, ICP, FMP, Morgue, Ictus, Adelphi, Futura, Alm and Cramps. [. . .] Fortunately, some larger European companies such as Hat Hut and Black Saint are beginning to record Steve Lacy, but the discs still show up in dribs and drabs. (1980, 22)[81]

Granted, many of these labels (mostly outside of the United States) were a refuge for avant-garde jazz musicians to record their music without the constraint of producers seeking a consumable product (Palmer 1977b, 12).[82] For example, Shepp, Lake, Ran Blake, Don Pullen, and Beaver Harris relied on small record labels to record their music.[83]

Rudd also found opportunity with alternatives to large record companies. After parting with Lacy, he started group with John Tchicai, Milford Graves and Lewis Worrell that recorded for "ESP and some things over in Europe on strange little labels" (Rudd

quoted in Primack 1978, 61). Rudd's comments on the industry represent what many musicians faced in the 1970s: although recording for small record labels was an opportunity, there were limited resources to widely distribute the product (Danson 1982a, 8–9).

For Lacy, one notable record label was Emanem. The company focused on improvised music such as performances by Derek Bailey and Evan Parker from the UK, and Anthony Braxton ("Emanem Presents" 1974, 2). Making use of the Lacy/Rudd Phase 2 recording from 1963, Emanem released *School Days* in 1974 as part of their promotion for Lacy; they subsequently released *Steve Lacy: Solo* and *The Crust* in 1974, and *Saxophone Special* in 1976 ("Emanem Presents" 1974, 1; "Emanem Presents" 1976, 1).

Lacy's opportunity for wide distribution came in 1987 with his signing to Novus records, a subsidiary of RCA (Sachs 1991, 50). Novus was seeking an audience for the contemporary "youth movement" that included Roy Hargrove and Steve Coleman. They signed Lacy to test his quintet's sound in the United States, but also as a veteran who retained expressiveness in contemporary readings of traditional material (Levenson 1990, 80; "Steve Lacy: Biography" 1991, 1). When his interviewer commented that Lacy's career was evolving favourably in 1990, he explained:

> it's much easier. And what makes the difference is my entry into RCA/BMG. There are people now who distribute my records, publicity teams who promote us, who support us. When we have a concert, they help us. The records come out well, they're well distributed, it's very important. Vital even. (Gauffre [1990] 2006, 131)[84]

His contract ended in 1992 after recording five albums, three with extensions of his quintet and two with Mal Waldron (Corbett [1997] 2006, 186; T. Lord 2003). He

returned to European labels with producers who did not infringe on his ideas and trusted his artistic judgment. In short, Lacy preferred recording for Soul Note over Novus:

> When you work for a big conglomerate, you're just a flea in a big machine that doesn't care about you. If you don't sell enough records, they drop you—or rather, their computer drops you. Over the years, my record sales have been growing like a tree—steadily—which I'm happy with. I mean, there's steady growth. But steady growth is not what a big company is interested in. (Lacy quoted in Deffaa 1994, 42)

Lacy's position as an expatriate restricted his American exposure; without reconciling his artistic integrity with inherent market pressures, he remained at the periphery of jazz historiography.

Lacy and Waldron

One of Lacy's important collaborations was with Mal Waldron. After *Reflections* from 1958, they reunited in 1970, recorded together yearly until 1974, and produced two more studio albums in 1977 and 1978. They recorded a duo album titled *Let's Call This* in August 1981 for Hat Art records, which featured a number of Monk compositions (T. Lord 2003), and both performed for the "Interpretations of Monk" concert three months later.[85] In Lacy's words: "Mal Waldron was my pianist and partner on [*Reflections*] and we began a lifelong collaboration, based on our mutual interest in the music of Monk" (1997, 12).

The duo recorded seven albums of jazz standards and original material between 1981 and 1993 with a focus on compositions by Ellington and Monk[86]—their work was principally captured by Hat Hut and Black Saint records—and they continued to perform together until 2002 (Rouy [2002] 2006 212; "Steve Lacy: Biography" 1991, 2). In the

reviews, Bob Blumenthal wrote that Waldron is “one of the first pianists to reflect Monk’s keyboard techniques” (1983, 6).[87] Robert Palmer concurred:

> They are both masters of the provocative dissonances and triphammer [*sic*] rhythmic displacements that Thelonious Monk introduced into modern jazz, but they have synthesized Mr. Monk's still-bracing musical language into styles that are distinctly their own. (1982, 3)

Lacy and Waldron embodied Monk’s legacy in a concept that extended beyond traditional readings of the material and in a framework that evolved from Lacy’s work with Taylor, Cherry, and Rudd. Lacy’s notoriety among Monk aficionados was growing, and his own work was being recognized among reputable jazz musicians in America.

Lacy’s Return to America

Beginning in the 1980s, Lacy was granted numerous prestigious awards: he was awarded a Guggenheim (1983), MacArthur Foundation award valued at $340,000 (1992), a one-year DAAD residency in Berlin (1996), and was named a Chevalier of the Order of Arts and Letters in 1989 from the French Ministry of Culture, later promoted to the rank of Commander in 2002.[88] Harvard University hosted him for “Lacy Day” in 1990 as part of their “Learning From Performers” series (Bouchard 1990b, 52–53). He took a North American tour in 1991 with an extension through Italy and Germany. Performing *Futurities*—his largest composition of nine musicians, two dancers, and a large light décor—initiated a commission from the Lila Wallace-Reader’s Digest Fund to premier his *Vespers* in 1993 (Shoemaker 1992b, 17–18).

In the summer of 2002, he returned to the United States to take a position in the Jazz Studies and Improvisation Department at the New England Conservatory in Boston

(Myers 2004, 58; Rouy [2002] 2006, 212). Hoping "to interest young musicians not only in serious music, but in setting poetry to music" (Ullman 2007, 338), Lacy's teaching focused on his own practice regimens and compositions by him and Monk (Myers 2004, 59).[89] Though he was diagnosed with liver cancer in the summer of 2003, he continued to perform and teach until April 2004, shortly before his death the following June (Meyers 2004, 58; Weiss 2006, 10). He was inducted into the Down Beat Hall of Fame the following year ("Hall of Fame" 2005, 50).

Monk Tributes and Reuniting with Rudd

In addition to the already mentioned Monk tributes, Lacy recorded four tracks for the album titled *That's The Way I Feel Now: A Tribute to Thelonious Monk* in 1984. Organized by producer Hal Willner, the album includes artists who perform Monk's compositions from the genres of bop, free jazz, and pop. Lacy contributes a solo verson of "Gallop's Gallop," and three tracks in a duo setting: "Evidence" with drummer Elvin Jones, "Beshma Swing" with Gil Evans, and "Ask Me Now" with Charlie Rouse (T. Lord 2003; Palmer 1984). Lacy continued to collaborate with other avant-garde musicians in interpreting Monk's material; for example, he and Roscoe Mitchell performed together in September 1986 as part of the "Thelonious Monk Night" for the Chicago Jazz Festival (Blumenthal 1986, 11). He also recorded *We See* with his regular sextet on September 1 and 2, 1992, which primarily consisted of Monk compositions (T. Lord 2003).

Lacy reunited with Rudd in March 1976 for a Black Saint produced album titled *Trickles* (Palmer 1977b, 24; T. Lord 2003). Rudd's album *Regeneration* (recorded June

1982 for Soul Note) also featured Lacy and included Monk's material (Rudd 1983). Rudd explains: "An Italian producer named Filippo Bianci conceived a series of concerts back in early '81 featuring great jazz artists from the U.S. [. . .] It was a reunion of myself, Steve Lacy, and John Tchicai, and also Kent Carter and Steve McCall" (Dupont 1992b, 17).[90] The Lacy/Rudd collaboration continued with Monk's compositions;[91] one August 1999 concert review reads, "their counterpoint-heavy arrangements for high and low lead instruments were superb, showing how much more harmony there is to be dug out of Monk's pieces" (Ratliff 1999b, 7).[92] In addition to *Monk's Dream* released in 2000 (Lacy 2000), their album titled *Steve Lacy-Roswell Rudd Quartet: Early and Late* includes a rendition of Monk's "Light Blue" from 1999 and four of their demo tracks from 1962, three of which were Monk's "Think of One" and two takes of "Eronel" (Lacy 2007).[93] Lacy and Rudd's reconnection after the 1970s demonstrates their solidarity with Monk's music and is an example of Lacy's freedom principle.

Lacy's Freedom Principle

What Lacy and Rudd found in the music was a freedom that gave rise to their avant-garde explorations (Kelley 1999, 159). At the same time that innovators such as John Coltrane were finding freedom in the modal jazz idiom,[94] Lacy and Rudd's music can be viewed as a parallel investigation into the freedom contained in Monk's idiom. In an article linking jazz with an ideal of "freedom," Ingrid Monson writes, "improvisation has often been taken as a metaphor for freedom both musical and social, especially in jazz" (Monson 1998, 149). By her account, "freedom" can be marked as both a musical

and political ideal in free jazz as its musicians “catalyzed aesthetic and political debates within the jazz community and music industry” (ibid.). When discussing the music of Lacy and Rudd, Solis summarizes that “freedom is the most strongly valorized goal in their description of learning Monk’s compositions” (2001, 176). In turn, their music challenged traditional aesthetic norms, equating—if not reinforcing—their musical stance with a liberal political stance in the jazz community.

For Lacy, freedom was not an inherent quality in Monk’s music, but one that had to be earned. Providing his thoughts about free jazz, he said, “[t]here’s a lot of daring involved in the music now. Anything goes, but your own integrity tells you that everything doesn’t ‘go.’ So it’s a very delicate situation” (Caylor [1965] 2006, 27). Holding a great respect for musical freedom, he elaborated:

> For me, [freedom] can only mean one thing . . . to be free, to play freely, all of that involves knowing, knowing perfectly what you want to do. The more you know what you should do, the more you are free. It’s not a matter of knowing nothing, but rather of knowing everything. I’ll give you an example . . . you’re playing a piece. If you know it really well, then and only then are you free. Freedom has never been about playing just anything. (Carles [1965] 2006, 36)

As Lacy was forming his principles of musical freedom, he and Rudd learned Monk’s music through a systematic method that moved from restriction to liberty. Lacy is quoted in the liner notes to *School Days*:

> We played the tunes very strictly, especially at first, when we didn’t dare deviate at all. . . So, after a while, if you do things every night you start to take liberties, and the liberty was what interested us—a liberty through this discipline. And sure enough it worked—it was something on the other side, and we began to get through to a kind of freedom, a kind of looseness. (Kostakis 1994)

He discusses their method as a strict learning of the music by carefully working with, and then extending upon, the given parameters of the piece (Solis 2001, 179).[95] Rudd agreed

with this approach when he stated that intent practice required "much more [. . .] knowledge of just the musical nuts and bolts to play something like that" (Dupont 1992b, 10). He also makes note of Lacy's methodical dissection of Monk's material:

> the mystery is in Monk's procedures rather than anything else. It all follows in its own way. It's taught me to make musical decisions, and that's why I really appreciate a guy like Steve, who works very carefully, very meticulously. With someone like him, when he takes off musically, so to speak, it can be as astonishing as something by Ornette. There are a lot of people who fly off all the time, but it's not as astonishing. (Heckman 1964, 15)

The freedom Lacy and Rudd sought was delineated by musical boundaries (of Monk's material), and both musicians found a common ground in the freedom of Dixieland and free jazz. Lacy equated the freedom of their performances to that of Dixieland music, saying "[i]t's all one to me, really. [. . .] It's just different techniques and different repertoire and a different way of dealing with musical situations" (Cox [2002] 2006, 217).[96] Jason Weiss introduces Rudd's comments:

> But what broadness of vision enables them to make that leap from the Dixieland style of their apprenticeship to the advanced thinking they engaged in soon after? For both, it was all part of the jazz tradition. Rudd describes it nicely: "I call it free counterpoint, the sending out of sound from one person to another and back again until you create an acoustic togetherness. I heard that on those old Dixieland recordings and I heard that in the new jazz of the '60s." (Weiss 2007)[97]

Lacy and Rudd did not see the avant-garde as the beginning of musical liberation in jazz, but an expansion of techniques to perpetuate an inherent freedom found in earlier styles. On the bandstand, and sometimes as a promotional slogan, Lacy and Rudd publicized their "Monksieland" repertoire, thus announcing their commitment Monk that called on a freedom found in their common ancestry of Dixieland (Johnson 2004, 7; Weiss 2007). What Rudd referred to as "collective polyphony," the Monksieland project was continued

after Lacy's death with Don Byron on clarinet and Dave Douglas on trumpet (Macnie 2005, 95).

Solo Performances

Lacy's performance practice included solo concerts and recordings after 1971. Although considered rare at the time, solo saxophone performances were common in the late 1930s and 1940s and were a trademark of straight-ahead performances by Sonny Rollins in 1958 and Eric Dolphy in 1960 (Shoemaker 2000, 47–48). Bill Shoemaker points out that, "the most prejudicial misconception surrounding the history of the solo saxophone is that it is the exclusive domain of an obscurant avant-garde, hell-bent on sonic abrasion" (ibid., 47). Anthony Braxton was a forerunner for avant-garde solo saxophone performances in 1966 and inspired Lacy's solo work in a concert from 1970.[98] Lacy's first recording was in 1971, and his first solo concert in 1972.[99] In 1980 he said, "[f]rom then on I've been doing hundreds of them" (Jeske 1980, 22). He performed prolifically as a solo artist until 1990, at which time he reduced the number of these engagements in an effort to concentrate on his group (Gamble 1990b, 13).

Bringing his expertise into the studio, Lacy recorded a full-length solo album of Monk's music titled *Eronel*, recorded on February 19, 1979 for Horo records (T. Lord 2003).[100] Reviews were positive in the press with Barry McRae's reading that "even more than before the irrepressible soprano saxophonist has stamped his own personality into the blend" (1980, 39); David Lee reported, "[t]he liberties Lacy takes with these pieces [. . .] are those of a virtuoso free improvisor working with material of infinite elasticity [. .

.] bearing in mind the player's prerogative to take the music to his own secret places" (1980, 24). When Lacy was asked why he returned to Monk's repertoire, he replied:

> Well, first of all, because the stuff is so great, and it just seemed like it got more interesting with time. And second of all, it was an idea of having Monk get well. I can't go and nurse him or anything like that, but I did go back to his music. I thought maybe he would hear about it and it would cheer him up. In fact, the record was meant as a get-well card. (Weiss 1981, 36)

Lacy solidified his solo renditions of the material throughout the 1980s with two more records, *Only Monk* and *More Monk* from July 1985 and April 1989 respectively. Reviews of the former album were plentiful and astonishing. Peter Gamble notes, "Lacy's affinity for things Monkish has been well publicized, leading to constantly stimulating results whenever he turns to the pianist's extensive library of compositions" (1989, 44). Other reviews from Tim Smith (1982, 86) and Fred Bouchard are also complimentary, the latter publishing a poem framed by "Only Lacy dares [. . .] to let us gently in on Monk's comic joke" (1988, 27).

Critics also reported on Lacy's solo concerts. When he opened the Dewar Village Jazz Festival in 1985, Howard Mandel wrote, "[h]is interpretations were deliberate and impeccable; he blew one note per breath at first, as though building a pyramid on Monk's mazes" (1985b, 69). Lacy was also known for playing into the body of a piano while depressing its damper pedal (Gitler 2002, 57; Mandel 1985b, 80). Derek Ansell's review of *More Monk* depicts the reverberations of the piano:

> Using the sonorities of his instrument to good effect he twists and manipulates many notes in the jagged, off centre manner of the composer. [. . . H]e provides himself with a haunting accompaniment by the simple expedient of pointing the bell of his horn into the studio piano and allowing the resonating strings to rustle ominously. (1991, 38)

His solo performances of Monk's music breached a new frontier of interpreting the repertoire on a monophonic instrument. Lacy presented an authoritative harness of Monk's aesthetic with an agency to channel the music through a personal means of expression. Thus, Lacy's solo interpretations were not only another vehicle for musical freedom; they were also an expression of his individual sound on the soprano saxophone.

An Individual Sound on the Soprano

Lacy's viewpoint on contemporary jazz of the 1960s was that the music demanded a new direction. Being the first musician to play the soprano saxophone in this growing art form, Lacy said, "[i]t is the only treble instrument able to be played percussively enough and with enough power and brilliance to fit into the stylistic demands of contemporary jazz [. . .] making this instrument potentially one of extreme expressive power" (Morgenstern [1961] 2006, 19). Lacy also commented on how his instrument fit with Monk's approach to jazz: "[Monk] liked the idea of a soprano because it was different. He also liked errors. He loved and collected mistakes, to study them, to get ideas and inspiration from them" (Gourse 1997, 169). As Lacy studied Monk's compositions, taking liberties and learning from his mistakes, he developed a broader musicianship that would aid in his future work. In 1963 he said, "the approach, the vocabulary, can be applied to other music" ("The Land of Monk" [1963] 2006, 23). By learning the essence of Monk's music, and applying it to the free jazz style, Lacy held the opinion that "jazz is a very young art and not too much is known about it as yet. You have to trust yourself and go your own way" (Hentoff and Williams [1959] 2006, 14).

Lacy's persistence with Monk's music in the 1950s, his avant-garde renditions of the material in the 1960s, landmark tributes to his legacy, and solo performances that configured another angle of the Monkian aesthetic are evocative of a principle of individuality—one that was central to Monk's doctrine.

Notes

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[1] Lacy provided a similar statement in 1990: "I'll always return to [Monk's music] but in a way it has run its course for me. There are too many people dealing with Monk now. I've devoted years to it, gotten as far as I can. The music doesn't need me now, although I still love to play it sometimes!" (Gamble 1990b, 12).
[2] Carles ([1965] 2006, 33); Nai (1998, 8); Rouy ([2002] 2006, 215); Ullman (2007, 339).
[3] Lacy claims these records to be of importance for his early musicianship in multiple interviews. See Harrison (1966, 7, 8), Jeske (1980, 20), Levin (1959, 6, 50), and Terlizzi 1977, 9).
[4] Kirili ([1996] 2006, 159); Weiss (2006, 3–4); Lindenmaier and Kernfeld (2008).
[5] For Lacy's comments on Bechet and his recording of "The Mooche," see Cordle (1987b, 11), Davidson (1974, 1), Harrison (1966, 7–8), Levin (1959, 4), and Nai (1998, 6). Hodges also played the soprano saxophone (T. Lord 2003); however, I have not found persuasive evidence that his soprano playing was a main influence on Lacy. Richard Hadlock writes the Lacy had a "deep interest in Johnny Hodges' soprano work" (1962b, 25); however, Hadlock fails to mention the primary influence of Bechet. Furthermore, Lacy did not speak of Hodges at length in his interviews.
[6] For Lacy's study with Scott, see Gros-Claude ([1971] 2006, 44), Lacy ([1994] 2005, 11), Nai (1998, 6–7), and Ullman (2007, 339). Allard and Freeman are cited in Lacy ([1994] 2005, 11). His attendance at the Schillinger and Manhattan schools is reported by Jeske (1980, 20) and Wilmer (1977, 272), and confimed by Lacy (Lacy [1986] 2006, 1:28–1:37). Lacy also stated that he attended the Manhattan school in Gros-Claude ([1971] 2006, 43). A press release from 1991 reads: "After spending nearly a year at Schillinger House in Boston, Lacy returned to New York" ("Steve Lacy: Biography" 1991, 4).
[7] This roster has been tabulated from eight sources. Most names appear in more than one source while some (especially Rex Stewart) appear in all. See Davidson (1974, 1), Gros-Claude (2006, 44), Jeske (1980, 20), Lacy ([1994] 2005, 11), Levin (1959, 4–5), Nai (1998, 7), "Steve Lacy: Biography" (1991, 4), and Ullman (2007, 339).
[8] Earlier in his interview, Lacy mentions that the soprano saxophone had its advantages because he was not faced with any competition—nobody was playing the instrument at the time (Lacy [1986] 2006, 2:31–2:40).
[9] For the intents of this paper, New Orleans style, Dixieland and "traditional jazz" are used interchangeably.
[10] DeVeaux (1991, 532–33; 2009, 513–14); Gushee (2012); Welburn (1986, 80).
[11] Along the same lines, Lawrence Gushee writes, "this revival style [. . .] was a locally evolved idiom that responded to market forces (an appetite for folklore, nostalgia, and primitivism) rather than a resurrection of a type of music that was originally more cosmopolitan and technically demanding" (2003).
[12] This text is differentiated from its predecessors by its acknowledgement of bebop and its possible continuance of "jazz." See Part IV titled "Undecided," and "Coda," chapters 19–24 in Shapiro and Hentoff ([1955] 1966, 335–410). The text has been used as a

resource for current researchers, for example Ingrid Monson (1995) and Scott DeVeaux (1997).
[13] I propose this argument in light of their efforts to maintain the presence of the New Orleans style and their general exclusion from developments in modern jazz thereafter.
[14] Gros-Claude ([1971] 2006, 46); Westendorf (1994, 125–26); Anderson (2007 56–58).
[15] Also see Mandel ([2008] 2009, 41) for Taylor moving to New York after his studies at the New England Conservatory. Bill Dobbins and Barry Kernfeld report that he attended the school for one year beginning in 1952 (2012).
[16] Taylor's political views, especially those relating to African American identity in jazz, were not new concepts in the 1950s; that viewpoint was, and has been a central topic in jazz since its inception. What separated him from his predecessors (to a degree) was his self-awareness and vocalization of his ideas early in his career. In hindsight, Taylor's beliefs can be seen as a precursor to—as his ideas later belonged to—the jazz avant-garde's involvement in African American politics in the context of African American identity during the 1950s and 1960s. See Baraka ([1963] 2002, 224–30), Bartlett (1995), Kelley (1999, 145, 146), and Westendorf (1994, 16–20).
[17] Also see Friedlander and Friedlander ([1998] 2006, 196), Gros-Claude ([1971] 2006, 44), and Jeske (1980, 20).
[18] Lacy provides a similar statement in Friedlander and Friedlander ([1998] 2006, 196).
[19] Lacy spoke about the band multiple times. See Cordle (1987a, 8), Jeske (1980, 20), Palmer (1977a, 8), and Rouy ([1987–88] 2006, 121).
[20] Also see Martin ([1991] 2006, 136), and Nai (1998, 16).
[21] Lacy also writes: "When I was 19 or 20, I played with some other very young cats, opening for Mr. Parker (*The Open Door* 1953–54). Just before he went to play, he gave me a beautiful smile and said: *Pretty good, kid*!" (Lacy [1994] 2005, 223). I assume the "young cats" Lacy was playing with were Taylor and his ensemble.
[22] Also see Corbett ([1997] 2006, 187), Cordle (1987a, 8), Friedlander and Friedlander ([1998] 2006, 198), and Levin (1959, 6).
[23] Lacy's rhetoric is common among jazz musicians. Many musicians describe their early learning as apprenticeships in a jazz community functioning as an education system. See chapter 2 in Berliner (1994, 36–59).
[24] Lacy heard Monk's group that included Ernie Henry on saxophone, Wilbur Ware on bass and Shadow Wilson on drums. Lacy wrote, "I was immediately and completely won over by the high quality of invention of the written material, the spontaneous interplay of the four musicians, and the swinging humor and beauty of Monk's *sound* at the piano" (Lacy 1997, 11, emphasis in original). Also see Corbett ([1997] 2006, 187), Cordle (1987a, 8), and Woodard (1987, 1).
[25] Davidson (1974, 2); Gros-Claude ([1971] 2006, 44).
[26] Note: Taylor only recorded a trio version of "Beshma Swing" (without Lacy) for the album.
[27] Anderson (2007, 58); Mandel ([2008] 2009, 41). This performance was released as *The Gigi Gryce-Donald Byrd Jazz Lab & Cecil Taylor at Newport* (T. Lord 2003).

[28] Evans gained popularity for his later work with Davis, notably *Miles Ahead* (1957), *Porgy and Bess* (1959) and *Sketches of Spain* (1960).
[29] Gitler (1961, 15); Harrison (1966, 8); T. Lord (2003).
[30] Robert Levin writes that Lacy studied with Konitz (1959, 6), and it seems likely that this would be at the time the two musicians played together with Evans, especially since Lacy reports being embarrassed about his sight reading abilities while rehearsing with the ensemble (Friedlander and Friedlander [1998] 2006, 198).
[31] Kelly was previously known for his work with jazz artists such as Lester Young, Billie Holiday and Dizzy Gillespie, but also as a crossover artist appearing on many albums for Dinah Washington (T. Lord 2003). He would later be selected to be the blues pianist for Miles Davis's *Kind of Blue* (1959).
[32] The record label was "New Jazz," a subsidiary of Prestige.
[33] Friedlander and Friedlander ([1998] 2006, 200); Lacy (2009); T. Lord (2003).
[34] Also see Kirili ([1996] 2006, 160–61).
[35] Lacy also stated, "I studied all of Miles Davis' music, Charlie Parker, Sonny Rollins and Tadd Dameron. All the stuff I was too late for. I started in 1950. Bebop was the forties so by the time I got there it was over but I couldn't ignore it" (Gamble 1990b, 12). Also see Cordle (1987b, 11) and Davidson (1974, 2).
[36] See Davidson (1974, 2), and Friedlander and Friedlander ([1998] 2006, 199). Although the word "bop" is not mentioned, Lacy talked of his disinterest in the "gymnastics" and repetitious repertoire of jazz in the 1950s (Whitehead 1987, 68).
[37] In another interview, Lacy said, "Jimmy Guiffre took my trio and called it his quartet. At the time, he didn't know what to do and found my trio interesting but it didn't work out very well" (Kirili [1996] 2006, 161). In the forward to Monk's biography, Lacy writes, "Jimmy Giuffre took over my trio (Dennis Charles, Buell Neidlinger), which played all Monk tunes, for an engagement at the Five Spot" (Lacy 1997, 13). The group performed some of Monk's compositions, but it is doubtful their repertoire was limited to them.
[38] Lacy explains the situation similarly in Carles ([1965] 2006, 36), Davidson (1974, 2), and Kirili ([1996] 2006, 161). Carles notes that the two musicians"were incompatible" in a biography of Lacy (Lacy [1994] 2005, 8). In the interview with Davidson, Lacy states that he played with Giuffre for six weeks (1974, 2). A two-week engagement is more likely since Ira Gitler wrote that they played at the Five Spot in May (1961, 15); Giuffre was not in New York at the end of that month (due to a recording session with Shorty Rogers on May 26), and Lacy had left to join Monk's group by mid-June.
[39] For Coleman's performances at the Five Spot in November 1959, see Lee (2006). Iain Anderson reports that Coleman played for larger crowds than Dave Brubeck at the Five Spot by 1962 (2007, 87). Given the large audiences in 1959 and 1962, Coleman's performances in 1960 would have drawn numbers of similar size.
[40] Lacy makes this an important aspect in his interviews. Many times, he claims that fellow musician Don Cherry called him to tell that Coltrane was playing the soprano weeks after Lacy's performance. See Davidson (1974, 3), France and France (1978, 8), Jeske (1980, 21), Kirili ([1996] 2006, 161), and Terlizzi (1977, 11). Cherry confirms this

account in Sidran ([1992] 1995, 412–13). Alternate accounts, however, provide circumstance that Coltrane was playing the soprano as early as 1959, and that Miles Davis purchased a soprano for Coltrane in March 1960 (L. Porter [1998] 2010, 181, 327n24). Conjecture aside, it seems likely that Coltrane began playing the instrument more intently after hearing Lacy. That Lacy made reference to Cherry as his original source is compelling: he played on Coltrane's first (relatively unknown) recording with the soprano on June 28 and July 8, 1960 titled *The Avant-Garde*. Coltrane tested his soprano sound along with his new approach to free jazz with the recording (it was not released until 1966). He did not have an album released with him on the soprano saxophone until *My Favorite Things*, which was recorded on October 21, 1960 and released the following March (T. Lord 2003; L. Porter [1998] 2010, 180, 204).
[41] Friedlander and Friedlander ([1998] 2006, 200, 202); Gourse (1997, 167); Kirili ([1996] 2006, 160).
[42] Portions of this quote are also printed in Kelley (2009, 290).
[43] Lacy describes one of the gigs: "We also doubled at the Apollo Theater in Harlem (ten days opposite Miles, Coltrane, Betty Carter, James Moody, 'Moms' Mabley, and a film!)" (Lacy 1997, 13). He says that he performed with Monk at the "Riker's Island Festival" (Jeske 1980, 21); however, "Riker's" was probably mistaken for "Randall's" by either Lacy or the interviewer/editor.
[44] The Town Hall concert from February 29, 1959 included Bert, Rouse, and Woods (Gourse 1997, 199; Kelley 2009, 347; Sheridan 2001, 90).
[45] Monk, uncommunicative in his last years of reclusion, did not socialize with others; Lacy, having formed a close bond with Monk, was one few people Monk would accept as a visitor (Gourse 1997, 294).
[46] Note that Dawbarn's review of *Soprano Today* is an alternate name for *Soprano Sax* (T. Lord 2003).
[47] Friedlander and Friedlander ([1998] 2006, 199–200); Harrison (1966, 10); Lacy (1997, 12).
[48] Almost identical statements are found in "The Land of Monk" (2006, 23). Valerie Wilmer also quotes Monk after explaining that Lacy's work with the music: "Yeah, I heard he was doing that [. . .]. But I haven't heard him yet. I guess if anybody wants to do that, it's okay" (Monk quoted in Wilmer 1965, 20).
[49] Birth date taken from Rudd ([1973?]) and Dupont (1992a, 7); other information printed in Dupont (1992a, 7–8) and Primack (1978, 25).
[50] In a publication from 1964, Rudd commented that his father was "one of the best amateur drummers I ever heard. [. . . A]nd even now, when I go home I take my trombone along and we jam together. You should hear what he does with [Monk's] *Epistrophy*!" (Heckman 1964, 14).
[51] Rudd's resume states he began playing the French horn at age 11 (Rudd [1973?]); he provides the age of 12 in Primack (1978, 25).
[52] Rudd provides similar statements in Primack (1978, 25).
[53] Dupont (1992a, 9); Primack (1978, 25); Rudd ([1973?]).
[54] Danson (1982a, 5); Dupont (1992a, 12); Heckman (1964, 14); Primack (1978, 25, 58).

[55] Rudd also stated: "Through the Dixieland experience, I also ran into [Steve] Lacy because he was playing with a lot of Dixieland bands" (Primack 1978, 58, brackets in original).
[56] Barry Kernfeld mentions Neidlinger, along with Lacy and Rudd, changing styles from Dixieland to free jazz (2003b). Mark Gilbert writes about Lacy moving straight from Dixieland to the jazz avant-garde (1986, 29). David Dupont makes mention of this with regards to Rudd's playing (1992b, 9). Accounting for Neidlinger's Dixieland playing with "Eli's Chosen Six" previous to 1955, his discography supports this sequence of change with a Dixieland recording for Johnny Winehurst on April 22, 1956, which is immediately followed by Taylor's *Jazz Advance* on September 14, 1956 (T. Lord 2003).
[57] Rudd speaks of the album in Danson (1982a, 5) and Dupont (1992b, 9). Personnel confirmed with Harrison (1966, 13) and T. Lord (2003). Title taken from T. Lord (2003). The album includes two tracks, "Jumpin' Pumpkins" and "Things Ain't What They Used To Be" which are incorrectly listed as "unissued" in Harrison (1966, 13), possibly due to the year of publication and the release date.
[58] The album included Taylor on piano, Ted Curson on trumpet, Archie Shepp and Jimmy Lyons on saxophones, Henry Grimes on bass, and Sunny Murray on drums (T. Lord 2003).
[59] Lacy provides an almost exact statement in Gleason (1963, 1).
[60] Ralph Gleason reports that the quartet's Phase 2 performances included "Louis Werri," obviously a misprint of Lewis Worrell (1963, 2).
[61] Rudd's reportage is similar in Primack (1978, 58).
[62] See Amiri Baraka's description of the jazz avant-garde's coffee house and loft scene (1967, 92–98).
[63] The Columbia recording is discussed later; three tracks were released for the album titled *Steve Lacy-Roswell Rudd Quartet: Early and Late*. Considering the discography in Harrison (1966), the Verve recording date was in the Autumn of 1964, included Rudd, Lacy, Charles, and Bob Cunningham (on bass), and entirely consisted of Monk's compositions: "Locamotive," "Hornin' In," Comin' on the Hudson," and "I Mean You" (ibid., 14).
[64] The Jazz Composers Guild was started in 1964 by Bill Dixon, Sun Ra, Archie Shepp, John Tchicai, Cecil Taylor, Paul Bley, Carla Bley, and Mike Mantler. After the guild dispersed, the former two musicians reinstated the collective as the Jazz Composer's Orchestra. The organization promoted avant-garde jazz music, including the distribution of records as the Jazz Composer's Orchestra Association, and lasted from 1965–75 (Hazell 2012; "Jazz Composers Guild" 2012).
[65] Case ([1979] 2006, 87); Davidson (1974, 3); Nai (1998, 9). Taylor's concept of playing completely "free" improvised music was not central to his work in the 1950s; it was not until Ornette Coleman and Don Cherry Cherry expounded their concept in New York that free jazz was practiced more broadly. See Lacy's interviews with Derek Bailey ([1980] 1993, 55), Larry Nai (1998, 9), and Gérard Rouy ([1987–88] 2006, 116–17).

[66] Lacy also replaced Eric Dolphy in Coleman's double quartet in either 1961 or 1962. The group rehearsed music from *Free Jazz*, but they did not perform publicly (Nai 1998, 10).
[67] Lacy recorded as a trio with the same rhythm section for an unissued album of four Monk compositions. The recording session was held in October 1961, one month prior than the recording for *Evidence* (Harrison 1966, 13).
[68] Davidson (1974, 3); Harrison (1966, 11); Rouy ([1987–88] 2006, 116–17).
[69] Also see Gamble (1990b, 12), and Rouy ([1987–88], 117).
[70] Davidson (1974, 4); Lacy (1967, 26); France and France (1978, 3); Friedlander and Friedlander ([1998] 2006, 204); Jeske (1980, 21). Lacy travelled to South America with the group that included Erico Rava (trumpet), Johnny Dyani (bass) and Louis Moholo (drums). For this personnel, see Lacy (1967, 26), Gamble (1990b, 12), and Weiss (2006, 43). Although Aebi travelled with them, I have not found any evidence of her performing; Lacy also stated, "I did not modify the personnel of my group" (1967, 26, translation mine), and that Aebi did not perform as a vocalist with him until they were in New York in 1967 (Nai 1998, 14).
[71] Davidson (1974, 4); Lacy (1967, 26); France and France (1978, 3); Terlizzi (1977, 10).
[72] Lacy provides a similar statement in Jeske (1980, 21). Also see Terlizzi (1977, 9). In the quote, "the Art Ensemble" refers to the Art Ensemble of Chicago. The group moved to Paris in June 1969 and returned to the United States in the summer of 1970 (Lewis 2004a, 60–61; 2004b, 11; [2008] 2009, 224, 255).
[73] Lacy's core ensemble included Aebi and Potts. The group would undergo changes in size and personnel; however, many would commit to Lacy's band for periods over a year. For example, Bobby Few, Jean-Jacques Avenel and John Betsch were long-term members of the group (Friedlander and Friedlander [1998] 2006, 206; T. Lord 2003).
[74] In 1990, Jeff Levenson wrote, "[b]y his estimate, 80% of his performance book utilizes voice and text as a key element in sculpting his group sound" (1990, 80). One example is Lacy's *Futurities*, which is a song cycle based on poetry by Robert Creeley and debuted on November 15, 1984 (Ullman 2007, 339). Another example is a suite titled *Tao Cycle* based on the writing of Lao Tzu, which Lacy had been working on from the late 1960s until the 1990s (Ullman 2007, 338; Weiss [1998] 2006, 147).
[75] See Jason Weiss's biography (2006, 6, 7). Confirmed with Gros-Claude ([1971] 2006, 45, 46), Prévost ([1982] 2006, 112), and Corbett ([1997] 2006, 189).
[76] Davidson (1974, 1); Levenson (1990, 80); Palmer (1977a, 8; 1977b, 12).
[77] Also see Jeske (1980, 21, 23).
[78] Robert Palmer's gloss of soprano saxophonists is similar, which reads, "John Coltrane popularized the soprano with his recording of 'My Favorite Things,' and it made a remarkable comeback." Palmer further explains that Lacy did not have a wide influence in comparison to Coltrane and Shorter (1977a, 8). Richard Hadlock states that Lacy was the first contemporary soprano saxophonist of the 1950s, but has not gained the popularity of Coltrane (in part due to *My Favorite Things*) (1962b, 25).
[79] The work of these musicians is described in Berendt and Huesmann (2009, 297–301).

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[80] Weiss's biography states that he produced over one hundred fifty recordings (2006, 12). A discography compiled ca. 1990 lists one hundred fifty-five recordings. The author remarks, "[t]he word 'over-recording' crops up more than once in discussions on Lacy's output. He seems to have an entry in every independent catalogue in Europe" (Cé [1990?], 64). *The Jazz Discography* lists two hundred forty-eight sessions or recorded concerts; however many of these listings are combined into single releases or were not issued (T. Lord 2003).
[81] Lacy often recorded for Hat Hut (also called hatArt or hatOLOGY), Horo and Black Saint/Soul Note (T. Lord 2003). (The latter two are the same record company that operated under different names; they are currently owned by Cam Jazz.)
[82] Lacy gives an account of declining an offer from Columbia records because they were not interested in his music and wanted him to record compositions by Vivaldi (Friedlander and Friedlander [1998] 2006, 202). Without mentioning Columbia's name, he also spoke of this experience in Gamble (1990b, 12) and Whitehead (1987, 68).
[83] Pullen, known for his early recordings with Charles Mingus and his avant-garde techniques of playing the piano with his knuckles or the back of his hand, was primarily recorded by ESP, Horo and Black Saint (Gamble 1980, 28; Whitehead 1989, 26–27). He said that he "had trouble recording anything in America" because he was labeled avant-garde (A. Smith 1977, 17); Howard Mandel questions if Pullen "had to rely mostly on foreign labels for evidence of his [then] current vitality and creativity" (1985a, 20). Lake and Harris were recorded on Black Saint, as well as Shepp who also appears on Horo (Palmer 1977b, 24). Improvising Artists Inc. (IAI) was started by free-jazz pianist Paul Bley in 1974 in an effort to guarantee a quality sound for avant-garde musicians (Lyons 1977, 50). Third Stream pianist Ran Blake recorded for IAI, as well as ESP, Horo, Hat Hut and Soul Note (Lange 1980, 25; Shoemaker 2002, 37). (All artists and record labels cross-checked with T. Lord [2003].) Because many of Lacy's recordings were for Black Saint or Soul Note, the following list provides examples of other avant-garde musicians who led recordings for these labels: Don Cherry, Muhal Richard Abrams, Hamiet Bluiett, Anthony Braxton, Julius Hemphill, George Lewis, Roscoe Mitchell, David Murray, William Parker, Sun Ra, Max Roach, Paul Bley, Andrew Cyrille, Bill Dixon, Charlie Haden, Lee Konitz, Misha Mengelberg, Paul Motion, Cecil Taylor, and Mal Waldron (T. Lord 2003).
[84] Lacy was optimistic in 1987: "The most exciting thing that's happened for us in the last year perhaps is recording for an American label" (Cordle 1987b, 11). Also see Gamble (1990b, 12).
[85] See appendix B for details on the "Interpretations of Monk" concert.
[86] The seven albums confirmed by T. Lord (2003). For Lacy and Waldron's focus on the Ellington and Monk repertoire, see Cordle (1987b, 11), Truffaut (1987, 4) and Woodard (1987, 5).
[87] A similar statement is written in Cordle (1987a, 8).
[88] Weiss's biography lists these accomplishments (2006, 9). The Guggenheim award confirmed in "Steve Lacy: 1983" (2012); MacArthur Fellowship confirmed in Deffaa (1994, 42), Levenson (1992, 38), and Shoemaker (1992a, 12); Order of Arts and Letters

from France confirmed in Gauffre ([1990] 2006, 130), Ratliff (2004, 16), and Rouy ([2002] 2006, 213); The DAAD residency confirmed in Corbett ([1997] 2006, 185); although the DAAD residency is not specifically stated by Adam Shatz, he writes that Lacy was "living in Berlin as a guest of the German Government" (1999, 29).
[89] Lacy's practice regime is explained in *Findings: My Experience with the Soprano Saxophone* (Lacy [1994] 2005), which John Corbett considers to be "a crowning achievement in his purposeful and exhaustive self-documentation" ([1997] 2006, 186).
[90] Also see Blumenthal (1983, 6).
[91] Lacy commented that he and Rudd were performing together throughout the 1990s (Nai 1998, 15). Also see Weiss (2007).
[92] Also see Johnson (2004, 7), and Pareles (1982a, 14).
[93] The recording date provided on *Steve Lacy-Roswell Rudd Quartet: Early and Late* is October 9, 1962 (Lacy 2007). Considering the name of the tracks, Harrison (1966) lists a recording for Columbia that was unissued with a date of "late 1963 or early 1964," and Tom Lord's discography lists the session date as "prob early 1964" (2003). The recording date in 1962 will be correct; as per Harrison (1966), the demo would have been recorded by Columbia.
[94] Coltrane's modal playing in the 1960s is regarded as a major force in avant-garde jazz. For example, listen to "My Favorite Things," and most of his recordings from the Impulse! label after 1961. Three notable works that discuss Coltrane during this time are by Lewis Porter ([1998] 2010), and Monson (1996 and 1998).
[95] Lacy discusses their method in multiple interviews. Their initial approach to the music is described as "Wagnerian," "stiff," and "rigid" to a point of finding liberty and freedom from a disciplined experiential study of the music. See Davidson (1974, 3), Harrison (1966, 11), and Friedlander and Friedlander ([1998] 2006, 203).
[96] Also see Case ([1979] 2006, 86), and Harrison (1966, 11).
[97] Rudd similarly said, "[t]he Dixieland ensembles to me is free music, especially the last couple of choruses where it really builds up and everybody is breaking out" (Dupont 1992b, 10).
[98] Jeske (1980, 22); Shoemaker (2000, 48); Terlizzi (1977, 9).
[99] The 1972 solo concert recording from Avignon was one of the first releases by Emanem in 1974, titled *Steve Lacy: Solo*. Although Lacy said his first solo record was from Avignon in 1972 (Jeske 1980, 22), Hadie Cé cites a 1971 release of *Lapis* for Saravah records ([1990?], 66). Lee Jeske's discography lists *Lapis* as "out of print" and chronologically before *Steve Lacy: Solo*. Lacy may not have considered *Lapis* a solo recording because he was accompanied by prepared tape (T. Lord 2003).
[100] Lacy previously recorded twelve solo albums between 1971 and 1978 (Cé [1990?], 66–67).

Appendix D: Notation Key

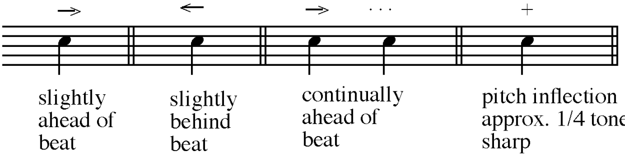
Figure 36: a. Timbral variations and b. Expressive devices (modified from Berliner 1994, 513)

a. Timbral variations

1. pitch with normal timbre: full bodied, open sound.
2. ghost-note: barely audible or implied sound.
3. harmonic (below audible pitch). Normal note-head according to the pitch heard, harmonic is barely audible.
4. harmonic (above audible pitch). Normal note-head according to the pitch heard, harmonic is barely audible.
5. pitch with buzzy or raspy sound.
6. squeak: closed sound heard in the high register of the instrument.
7. extraneous pitch or unpitched sound.

b. Expressive devices

1. Applied to individual pitches



2. Applied before, between, or after individual pitches

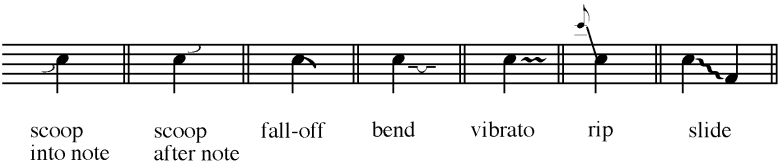


Figure 37: Position of drum set note-heads on staff

1. ride cymbal.
2. snare drum.
3. snare drumroll.
4. bass drum.

Appendix E: Transcription of the head and Charlie Rouse's solo on "Evidence," track 5 from Thelonious Monk's *Thelonious Monk Quartet Plus Two: Live at the Blackhawk*

Staves: t.s. (Rouse, tenor saxophone), p. (Monk, piano), b. (John Ore, bass), d. (Billy Higgins, drums).

A
t.s.
p.
b.
d.
t.s.
p.
b.
d.

A
t.s.
p.
b.
d.
t.s.
p.
b.
d.

B
25
t.s.
p.
b.
d.
30
A

35
t.s.
p.
b.
d.
40
A
E♭maj7
C7
Fm7♭5

B♭7
E♭7
A♭7
D♭7
F7
t.s.
p.
b.
d.
A
B♭7
E♭maj7
G m7
G♭7
F m7

E7
E♭7
A♭m7
D♭7
F m7
B♭7
t.s.
p.
b.
d.
B
E♭maj7
B♭m7
E♭7
t.s.
p.
b.
d.

A♭7
A♭m7
C m7
G7
59
t.s.
p.
b.
d.
F7
E7
A
E♭maj7
G m7
(C7)
63

67
F m7
B♭7
E♭7
A♭m7
D♭7
t.s.
p.
b.
d.
71
A
F m7
B♭7
E♭maj7
G m7
C7
t.s.
p.
b.
d.

Fm7
B♭7
E♭7
t.s.
p.
b.
d.
A
A♭7
D♭7
Fm7
B♭7
E♭

C7
F7
B♭7
t.s.
p.
b.
d.
Note: snare and bass drums not transcribed
E♭7
A♭m7
D♭7
F m7
B♭7
E♭

B
B♭m7
E♭7
A♭7
D♭7
89
t.s.
p.
b.
d.
C m7
D♭7
F7
B♭7
93

A
E♭7
C7
Fm7♭5
B♭7
t.s.
p.
b.
d.
E♭7
A♭7
D♭7
F m7
B♭7
E♭maj7
B♭7
A
E♭maj7

Appendix F: Two-, three- and four-beat groupings played by Billy Higgins in the head and the beginning of Charlie Rouse's solo on "Evidence," track 5 from Thelonious Monk's *Thelonious Monk Quartet Plus Two: Live at the Blackhawk*

Staves: p. (Monk, piano), b. (John Ore, bass), d. (Billy Higgins, drums).

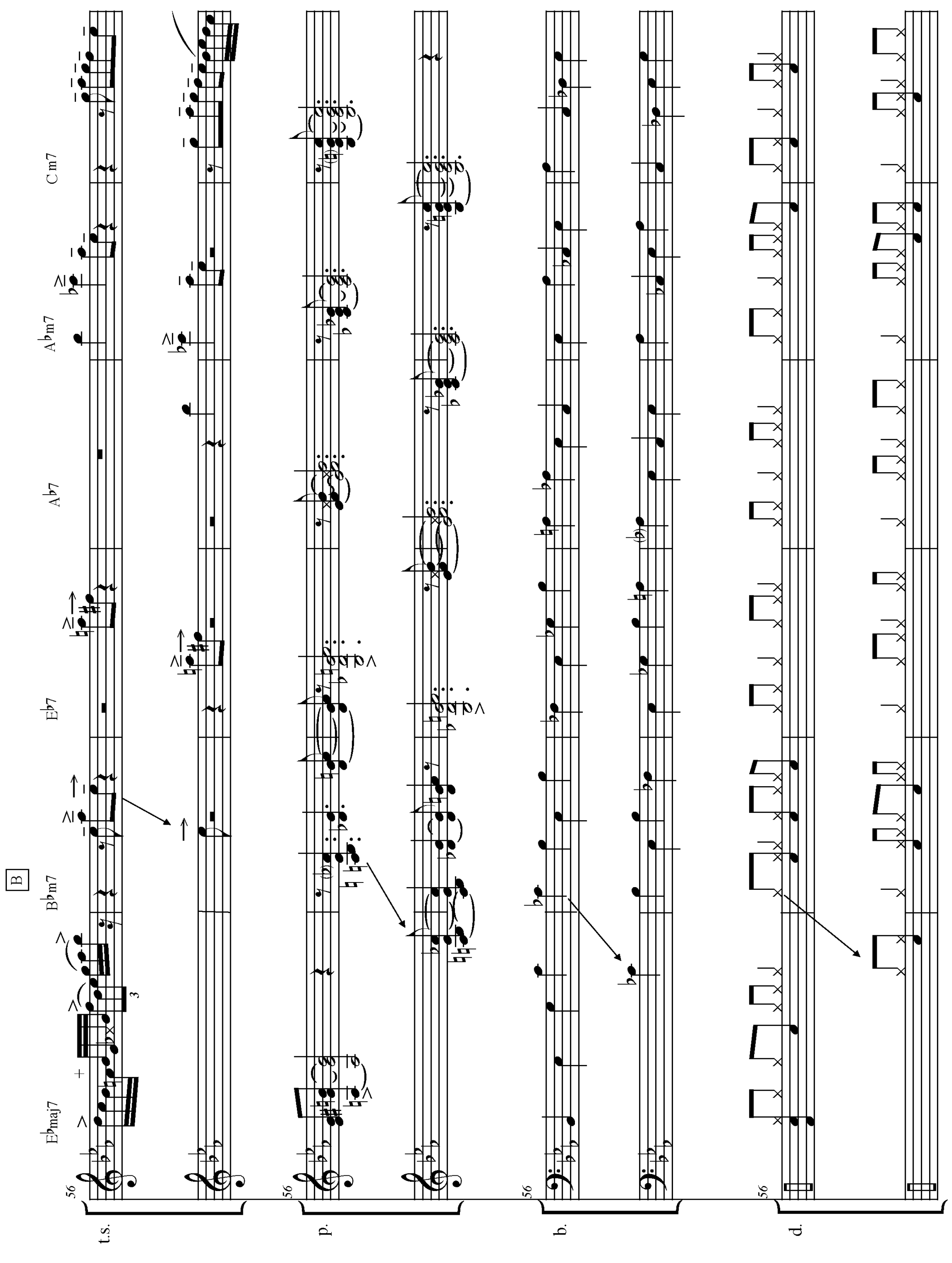
17
p.
17
b.
3
3
3
3
3
17
d.
Pivot
21
p.
3
21
b.
3
2
3
4
3
4
21
d.

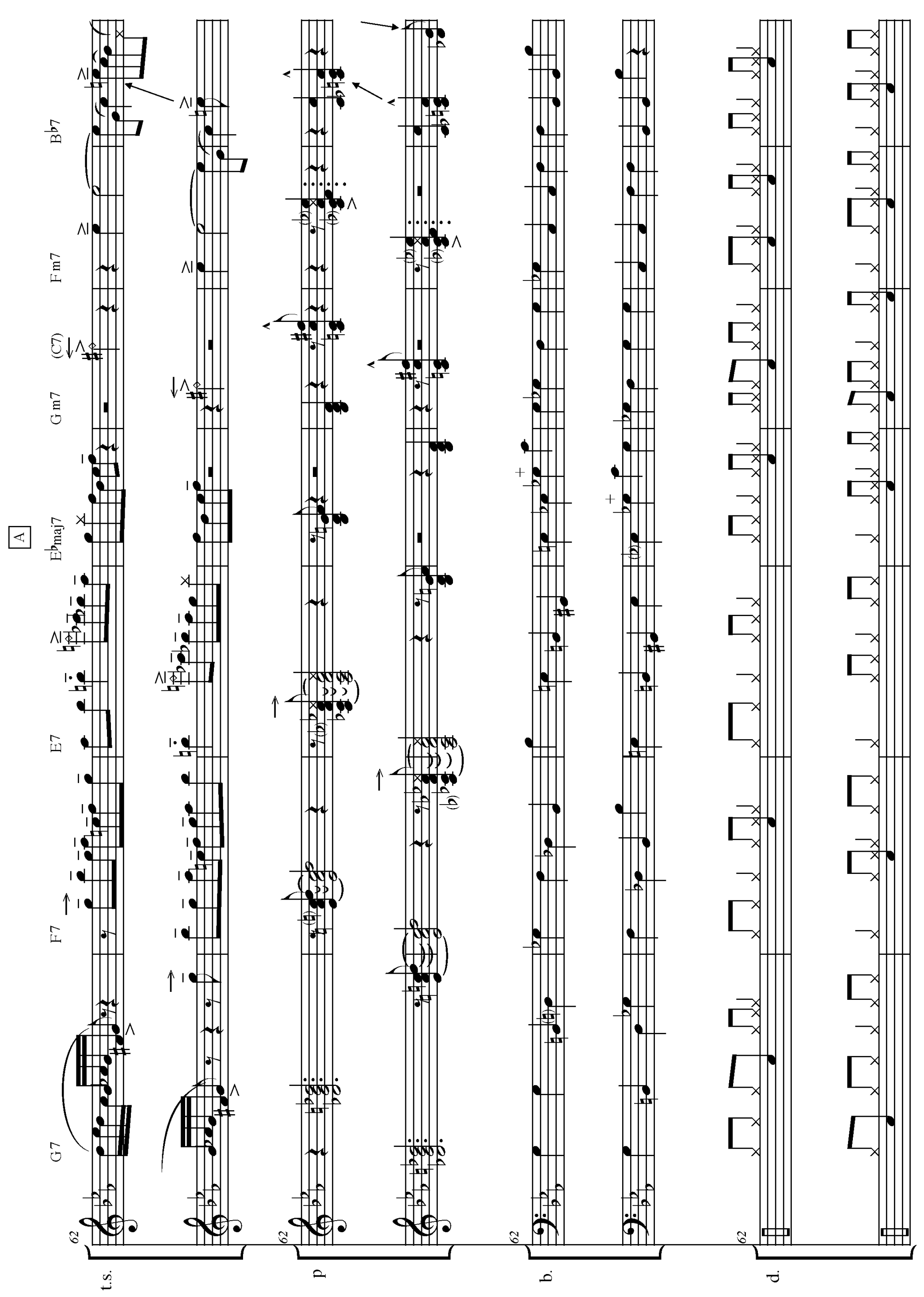
25
p.
b.
d.
4
30
3

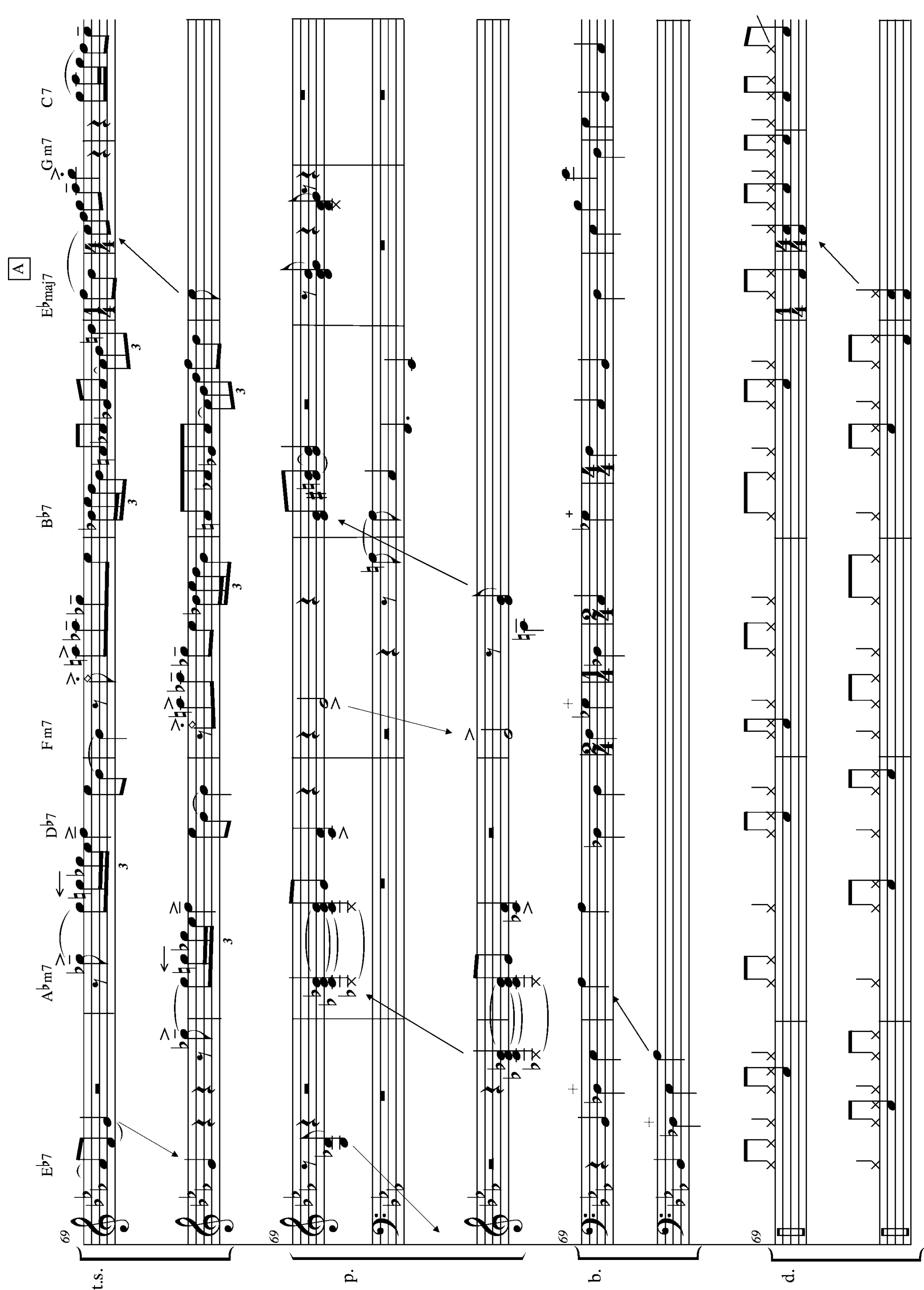
35
p.
35
b.
3
3
3
2
3
4
35
d.
Pivot
40
p.
40
b.
4
4
40
d.

Appendix G: Metric shift heard in mm. 57–73 of Rouse's solo on "Evidence," track 5 from Thelonious Monk's *Thelonious Monk Quartet Plus Two: Live at the Blackhawk*

Staves: t.s. (Rouse, tenor saxophone), p. (Monk, piano), b. (John Ore, bass), d. (Billy Higgins, drums).




A
G7
F7
E7
E♭maj7
G m7
(C7)
F m7
B♭7
62
t.s.
p
b.
d.



69
t.s.
p.
b.
d.
E♭7
A♭m7
D♭7
F m7
B♭7
E♭maj7
A
G m7
C 7
3

Appendix H: Transcription of the head and Charlie Rouse's solo on "Rhythm-A-Ning," CD 1, track 4 from Thelonious Monk's *Live at the It Club: Complete*

Staves: t.s. (Rouse, tenor saxophone), p. (Monk, piano), b. (Larry Gales, bass), d. (Ben Riley, drums).

A
17
t.s.
p.
21
B♭7
B
25
D7
D7
G7
G7
29
C7
C7
F♯-Whole-Tone
B7
A
33

B♭7
t.s.
p.
Chorus 1
A
B♭
Dm7
G7
B♭
3
t.s.
p.
t.s.
p.

A
B♭7
Cm7
F7
B♭
C7
F7
t.s.
p.
B♭
E♭7
B♭7
B
D7
G7

C7
F7
t.s.
p.
A
B♭
Cm7
F7
B♭
Chorus 2
A
B♭

77
t.s.
Piano Similar to mm.73-76
A
81
t.s.
85
t.s.
B
D7
G7
89
t.s.
p.
C7
F7
93
t.s.
p.
A
B♭
Cm7
F7
Dm7
G7
Cm7
F7
97
t.s.
p.

101
B♭
F7
B♭
t.s.
Piano Similar to mm.93-96
Chorus 3
A
105
B♭
C m7
G 7
B♭
t.s.
p.
109
B♭
C m7
F7
B♭
t.s.
p.
A
113
C m7
F7
B♭
t.s.
p.
117
B♭
C m7
F7
B♭
t.s.
p.

B
D7
G7
121
t.s.
p
C7
F7
125
t.s.
125
p.
A
B♭
Cm7
F7
129
t.s.
p.
B♭
Cm7
F7
133
t.s.
p.
End Comping

Chorus 4
A
B♭
Cm7
F7
Dm7
G7
B♭
137
t.s.
B♭
E♭7
Dm7
G7
Cm7
F7
141
t.s.
A
B♭
B♭7
Dm7
G7
145
t.s.
F7
B♭
149
t.s.
B
D7
G7
153
t.s.
C7
E7
B7
157
t.s.
A
B♭
Cm7
F7
Dm7
G7
Cm7
F7
161
t.s.
B♭
F7
Dm7
G7
Cm7
F7
165
t.s.

Chorus 5
A
F7
Dm7
G7
Cm7
F7
169
t.s.
B♭
Cm7
F7
173
t.s.
A
Dm7
G7
Cm 7
F7
Dm7
G7
Cm7
F7
177
t.s.
B♭
Dm7
G7
F7
B♭
Cm7
F7
181
t.s.
B
D7
G7
185
t.s.
C7
F7
189
t.s.
A
B♭7
C7
F7
Dm7
G7
F7
193
t.s.

B♭
C m7
F7
197
t.s.
b.
d.
Chorus 6
A
F♯7
B 7
E7
A 7
D7
G 7
C m7
F7
201
B♭
C m7
F7
Dm7♭5
205

A
Cm7
F♯7
B7
E7
A7
D7
G7
C♯°
F7
B♭
208
t.s.
b.
d.
214
B
217
221
C7
225
229
Cm7
Chorus 7
233

237
t.s.
B♭ Cm7 F7 Dm7 G7 Cm7 F7
A
241
t.s.
B♭7 G7 Cm7 F7 Dm7 G7 Cm7 F7
245
t.s.
B♭ F7 B♭ Dm7 F7
B
249
t.s.
D7 G7
253
t.s.
C7 F7
3
A
257
t.s.
B♭ G7 C7 F7 Dm7 G7 Cm7 F7
261
t.s.
B♭ Cm7 G7 B♭ Cm7 F7 B♭

Appendix I: Metric shift heard in the B section, mm. 25–32 of "Rhythm-A-Ning," CD 1, track 4 from Thelonious Monk's *Live at the It Club: Complete*

Appendix J: The head of "Evidence," track 2 from Steve Lacy's *Evidence*

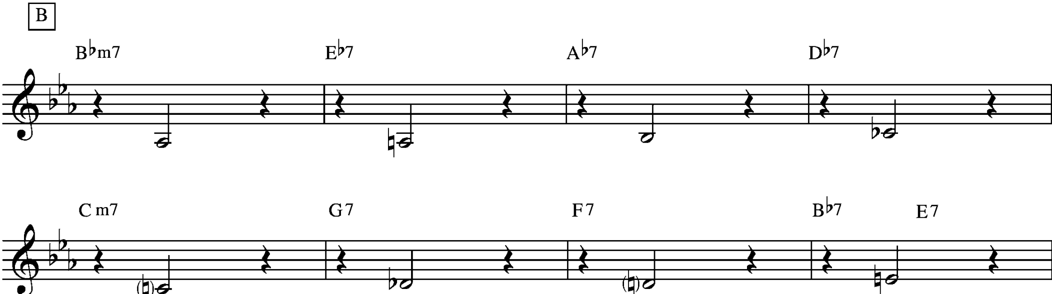
Staves: s (Lacy, soprano saxophone), t (Don Cherry, trumpet).

B
B♭m7
E♭7
A♭7
D♭7
17
s
t
21
C m7
G 7
F7
B♭7
E7
A
25
E♭
G 7
C 7
F m7
B♭7
E 7
29
E♭7
A 7
A♭7
C m7
F m7
(E7)

Appendix K: Steve Lacy comping during Don Cherry's solo, track 2 from Lacy's *Evidence*

Figure 38: Lacy's comping during chorus 2 of Cherry's solo

Figure 39: Lacy’s comping during the B section of chorus 3 of Cherry’s solo



Appendix L: Steve Lacy's solo on "Evidence," track 2 from Lacy's *Evidence*.

A
E♭ G7 C7 Fm7 B♭7
E♭7 A7 A♭7 D♭7 Cm7 F7 B♭7
A
E♭ G7 G♭7 Fm7 B♭7
E♭7 A7 A♭7 D♭7 Cm7 F7
B
Bm7 E♭7 A♭7 D♭7
Cm7 D♭7 F7 B7 B♭7 E7
A
E♭ G7 G♭7 Fm7 B♭7
E♭7 A7 A♭7 D♭7 Cm7 F7 B♭7

A
65
E♭ G7 G♭7 Fm7 B♭7
69
E♭7 A7 A♭7 D♭7 Cm7 F7 B♭7
A
73
E♭ G7 G♭7 Fm7 B♭7
77
E♭7/B A7 A♭7 D♭7 Cm7 F7
B
81
B♭m7 E♭7 A♭maj7/G A♭°
85
Cm7/G G♭7 E7 F7 E7
A
89
E♭ G7 C7 Fm7 B♭7
93
E♭7 A7 A♭7 D♭7 Cm7 F7 E7

Appendix M: The head of "Pannonica," track 3 from Thelonious Monk's *Brilliant Corners*

Figure 40: Transcription of "Pannonica" with A1-A2-B-A2[1] form

Figure 41: Simplified version of "Pannonica" with ABAA^1 form

Appendix N: Transcription of "Pannonica," track 7 from Steve Lacy's *School Days*

Staves: s.s. (Lacy, soprano saxophone), t (Rudd, trombone), m (melody from fig. 41 of Appendix M).

A
s.s.
t
m
E♭7 A♭7 D♭ C E♭7
mp mf mp mf
D m7 B♭7 E♭ A♭7 D♭7 G♭ B 7
f mf
B
E♭7 A♭7 D♭ G m7 C 7 E♭ F 7
f mf
p f mp mf

19
s.s.
t
m
p
mf
f
G♭7
B
D m7
G7b5
22
A'
mf
mp
p
mf
pp
Tied notes articulated with breath
C
B m7
E7
D7
G7
C
26
Swing 16ths. . . . .
p
mp
E♭7
D m
B♭7

28
s.s.
t
mp
f
p
mf
p
mf
E♭
A♭7
D♭
m
30
s.s.
t
p
mf
p
G♭
B7
E♭7
A♭7
m
A
32
s.s.
t
f
mp
f
D7
G7b5
D♭
C
m

35
s.s.
t
m
ff
p
mf
mp
mf
E♭7
D m7
B♭7
E♭
A♭7
D♭7
39
f
ff
pp
G♭
B 7
E♭7
A♭7
41
A
mf
f
pp
f
pp
sfz
p
f
D♭
C
E♭7

44
s.s.
t
m
mp
mf
mf
mf
sfz
mf
mp
f
mp
pp
D m7
B♭7
E♭
A♭7
D♭7
G♭
B 7
48
B
f
mf
p
ff
mf
E♭7
A♭7
D♭
G m7
C 7
E♭
F7
52
p
G♭7
B
D m7
G7b5
C

A'
56
s.s.
t
m
B m7
E7
D7
G7
C
E♭7
60
Legato. . . . .
D m
B♭7
E♭
A♭7
D♭
63
G♭
B7
E♭7
A♭7
D7
G7b5
D♭

A
67
s.s.
t
m
mp
mp
C
E♭7
D m7
B♭7
70
p
mf
f
E♭
A♭7
D♭7
G♭
B 7
73
mf
mp
A
E♭7
A♭7
D♭
C

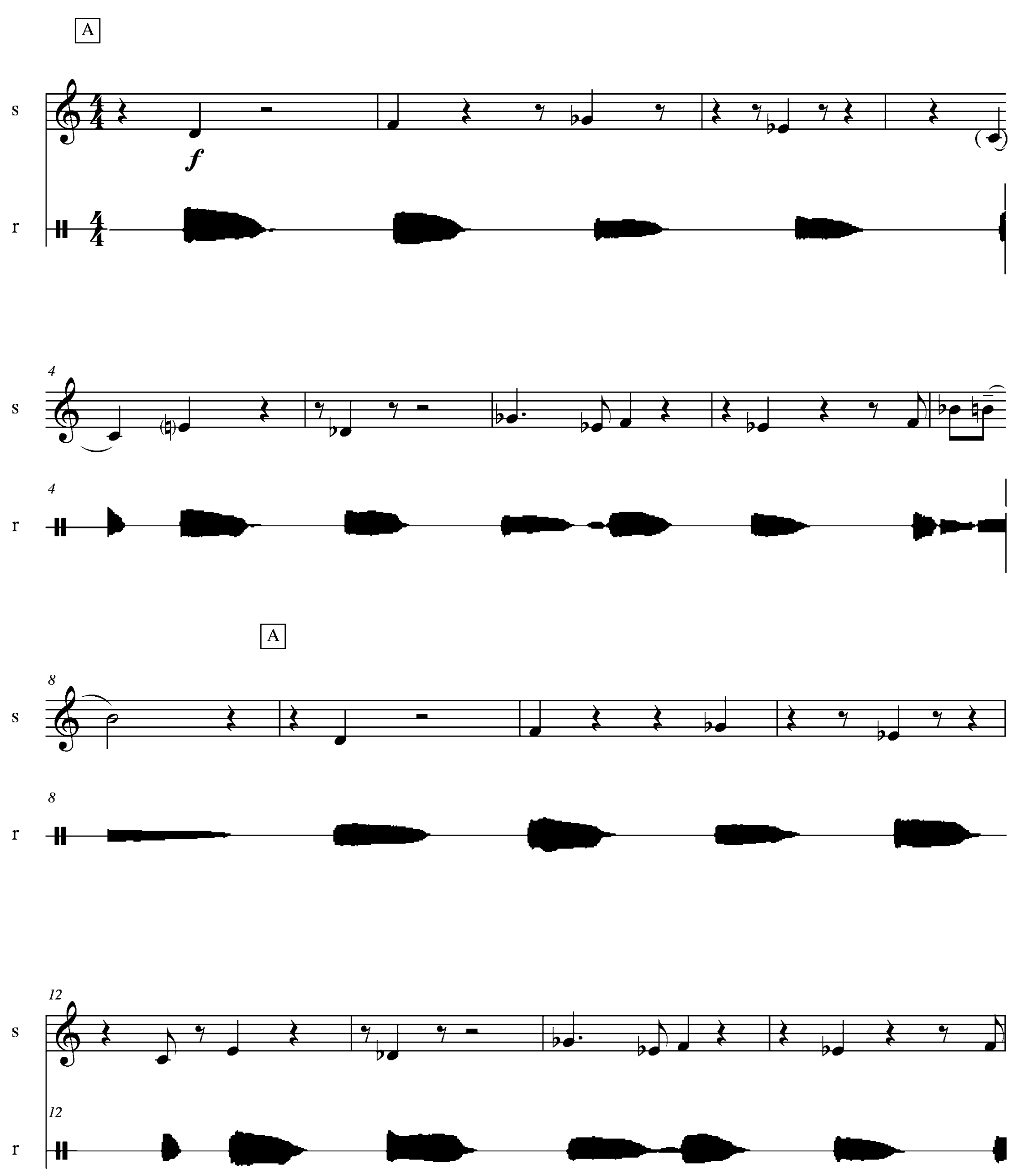
76
s.s.
t
m
Swing 16ths
mf
ff
mp
f
E♭7
D m7
B♭7
E♭
79
A♭7
D♭7
G♭
B 7
E♭7
A♭7
D♭
B
83
G m7
C 7
E♭
F7
G♭7
B

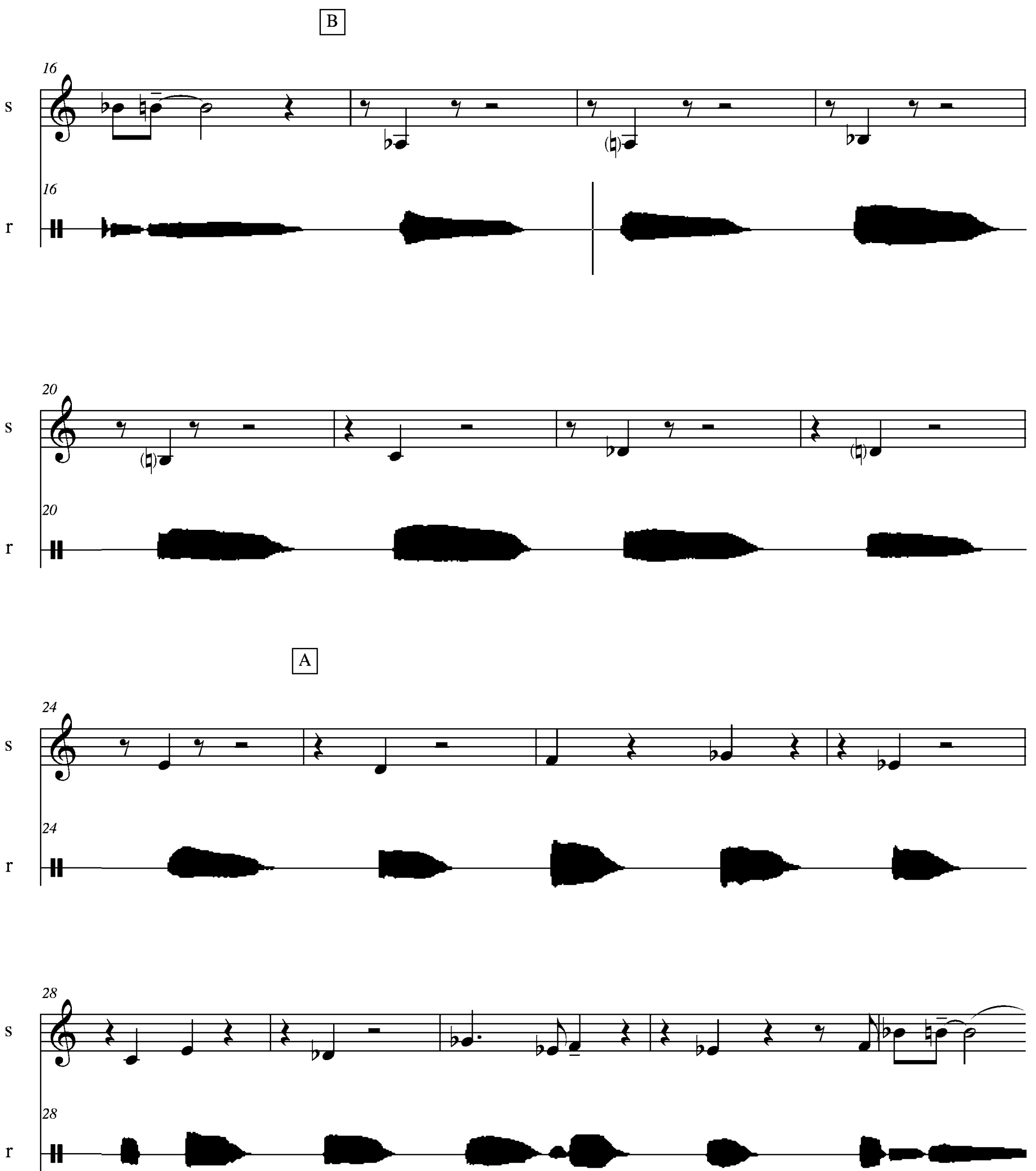
87
s.s.
t
m
mp
mf
f
D m7
G7b5
C
B m7
E7
D 7
G 7
A'
91
p
C
E♭7
D m
B♭7
94
ff
E♭
A♭7
D♭
G♭
B 7

97
s.s.
t
m
sfz > mf
mp
mf
E♭7
A♭7
D7
G7b5
D♭
100
Free time until end

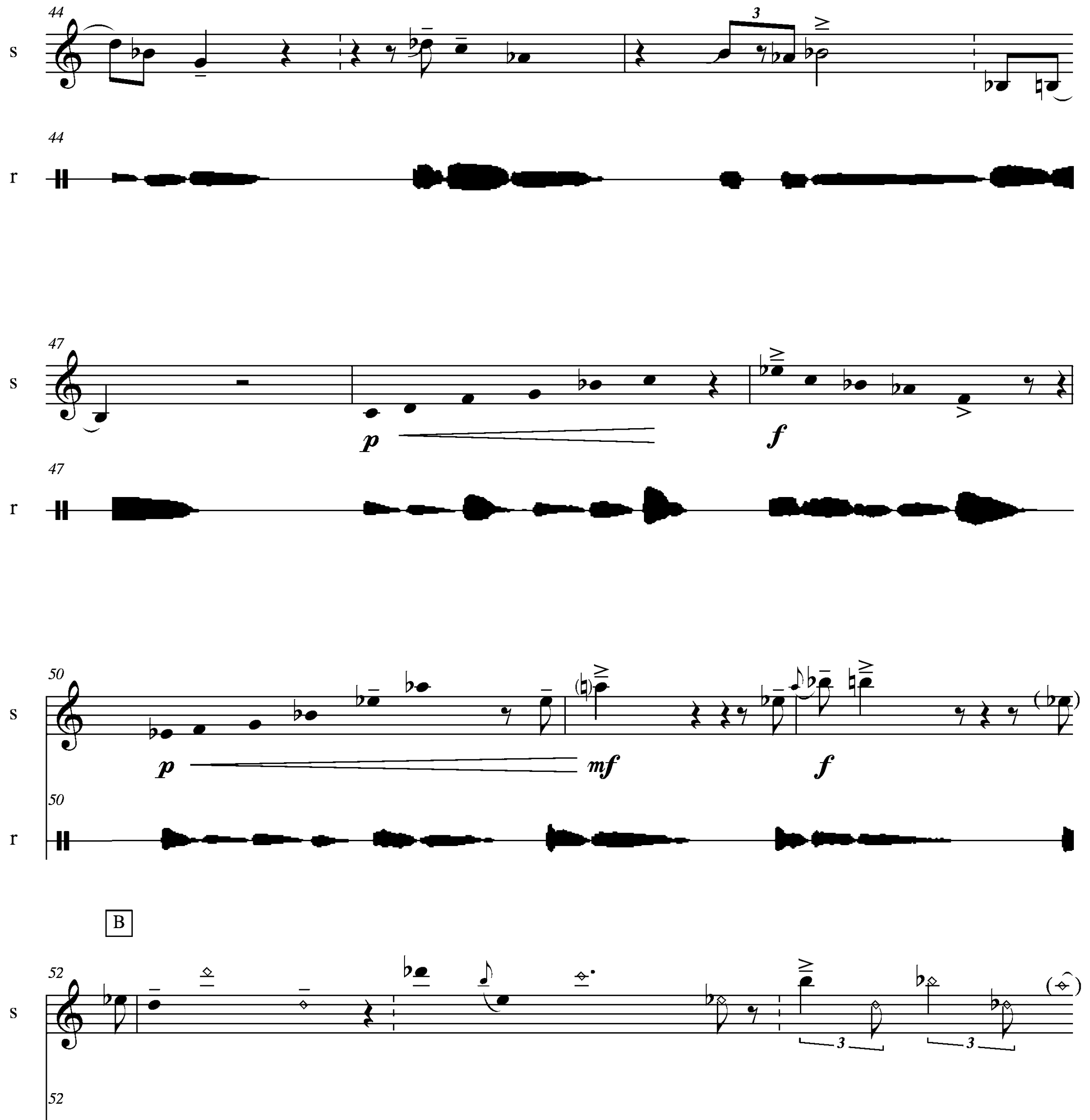
Appendix O: Transcription of "Evidence," track 1 from Steve Lacy's *Only Monk*

Staves: s (Lacy, soprano saxophone), r (rhythm from graphic waveform).




B
16
s
r
20
A
24
28

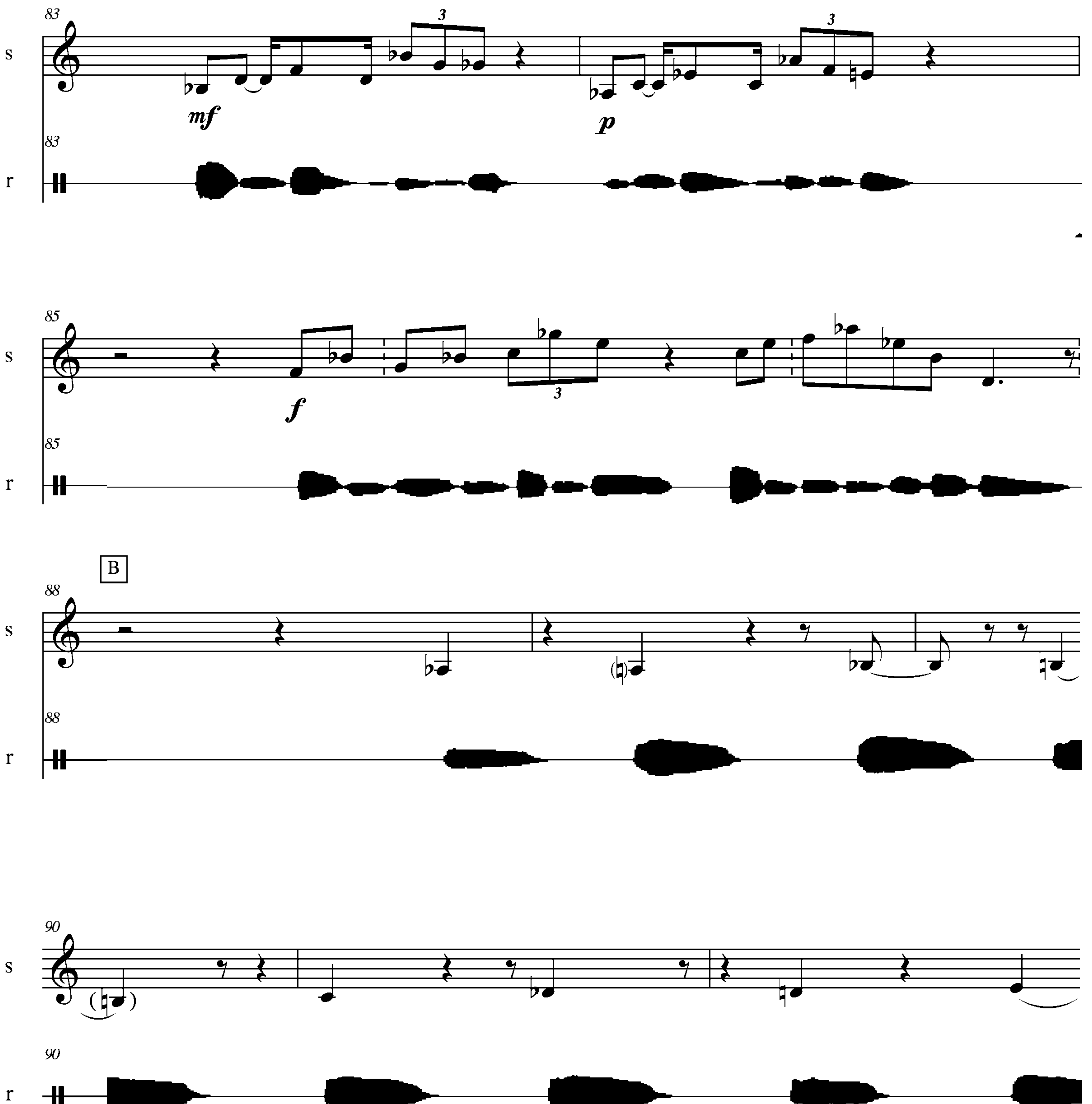
A
32
s
r
35
39
41
A


44
s
44
r
47
s
p
f
47
r
50
s
p
mf
f
50
r
B
52
s
52
r

55
s
55
r
A
57
s
7
7
57
r
59
s
59
r
61
s
3
6
61
r

A
63
s
r
65
68
A'
71

B
73
s
73
r
75
s
75
r
77
s
77
r
A
79
s
79
r


83
s
mf
p
r
85
f
B
88
90

A
92
s
92
r
95
s
95
r
97
s
97
r

Appendix P: Literature Review of the Avant-Garde

The definition of avant-garde for this dissertation is drawn from the literature review below. The aim of this review is to examine readings on avant-gardism from multiple disciplines (music, literature, film, performance art and visual art) to determine the aspects for which one may discuss the work of Thelonious Monk, Charlie Rouse, and Steve Lacy. As written in the introduction, my definition of the avant-garde in jazz rests on two conditions: aesthetics, and its reception as a critique on social values. Works of avant-garde movements aesthetically negate tradition and the values held by a dominant institution in jazz—the mainstream establishment. The materials of construction—melody, harmony, rhythm, improvisation techniques—are clearly revealed as artistic means. The aesthetic is linked to a conscious or unconscious social agenda, or one as interpreted by the audience. This agenda is supported by the artist's pursuit of artistic achievement in a struggle against institutional powers. Economics of the jazz industry due to systemic problems of racism are social forces to which the avant-gardist responds; in the 1950s and 1960s, this response is tied to the civil rights movement.

The Spectrum of the Avant-Garde

Definitions of the avant-garde vary depending on artistic content and the social context of the works. The binary opposition of high and low art makes a definition complicated because the avant-garde, depending on its manifestation, is in opposition to both of these extremes. At times, the term connotes a plebeian spirit of rupture to overthrow the definition of art and its place in society. In another rendition, the avant-

garde makes use of radical techniques or aesthetics to maintain authority over products for mass consumption—this rendition is associated with an elevated status of art.

This conflation of terminology originates with Clement Greenberg's essay titled "Avant-Garde and Kitsch" (1939). He states that artists depend on notions of art to communicate with their audience. In the past, artists would resign to tradition for this communication; however, with different notions of art in bourgeois culture, the artist is unable to estimate audience response. This produces an avant-garde culture. Temporally, bourgeois society is not critiqued as a "natural" condition of life but part of successive social orders. The bohemian artist is therefore defined by what they are not—they are not part of a bourgeois social order. This avant-garde artist then turns to the medium of their craft that is independent from meaning, non-representational and abstract. Kitsch, a popular art, is a product of universal literacy in the urban environment. With growth in leisure time, the public demands consumable objects, which are delivered as watered-down versions of "genuine" art. These synthetic brands are derived of the original avant-gardist context, and are dispersed as plastic values. With examples of art that include poetry by William Yeats and Ezra Pound—largely considered authors of modernism (Calinescu 1987, 140)—Greenberg's article treats modernism and the avant-garde as synonymous terms, which is responsible for the blurring of these categories since the 1940s.

I therefore propose that the avant-garde is a spectrum of definitions. Qualities of aesthetics and political agendas are common within this spectrum, and therefore, are essential to its definition; however, a distinction between the avant-garde and modernism

is required to designate certain artists, works, or movements to belong to "high" modernism—the function of these works have affinity to or an inherited status within the accepted sphere of art, rather than an "avant-garde" attack on the definitions of artistic acceptance.

For the sake of simplicity, I only cite a few authors to represent positions in the spectrum of the avant-garde. Theodor Adorno is at one extreme. His definition rests on the autonomy of art and is considered "high" modernism ([1948] 1973). In the middle—and a dividing line for this definition—are the psychological conditions of modernism proposed by Renato Poggioli (1968). At the other extreme is Peter Bürger's theory (1984) that the avant-garde attacks the institution of art that upholds engrained values of autonomy, tradition, and aesthetic beauty. Writings in the wake of his theory are not in opposition to his essential definitions, but his conclusion that avant-garde movements after (or external to) the European "historical avant-garde" are invalid because they are destined to repeat a failed attempt to integrate art into the praxis of life. Theories beyond Bürger's writing (which I include in the spectrum of the avant-garde) dispute his conclusion on two fronts: 1) that the techniques and aesthetics of the neo-avant-garde after World War II challenge social definitions of what art ought to be, and 2) that his Eurocentric bias neglects political assertions by artists in non-Western cultures with respect to their own traditions and social forces.

Descriptions of the avant-garde that guide this literature review are contained in a spirit of negation. Avant-gardism disposes of traditional techniques and aesthetics, is against institutional hegemony or economics of the market system, and is in opposition to

the dominant class structures that confine the artist under these paradigms. In a break from the past, the avant-garde disrupts the present in search of techniques that shock the audience or stain aesthetic response.

High Modernism: The Autonomous and the Institutional Avant-Garde

Theodore Adorno's writing is difficult to entangle with respect to modernism and the avant-garde. He is a firm supporter of the music by Arnold Schoenberg and his followers, which in many other writings is considered to be music of "high modernism." However, he is committed to explaining the music as an avant-garde stance. His writing contains three explicit general arguments: the avant-garde is against mass culture and an expired technical use of tonality in contemporary traditional practice, and strives for autonomy. Thus when Bürger's convictions are explained by Andreas Huyssen, he writes: "if it is true [. . .] that the main goal of the historical avantgarde was the reintegration of art into life, a heroic attempt that failed, then Adorno is not a theorist of the avantgarde, but a theorist of modernism" (1986, 31).

Adorno's *Philosophy of Modern Music* depicts works by Schoenberg and the Second Viennese School as notions of musical and philosophical truth, which is contrasted by the works of Igor Stravinsky and the third generation of composers such as Paul Hindemith, Darius Milhaud and Benjamin Britten. The former, described as objective "radical music," stands as a binary opposite to the latter's subjective neoclassicism ([1948] 1973, 5–7, 201–3, 215). A full inquisition into Adorno's work is

beyond the scope of this study;[1] what can be divulged from his writing, however, is a distinction between modernism and the avant-garde.

A marked difference between Adorno and other theorists on is that the avant-garde is part of a long-standing tradition of music. Drawing lines back to Josquin de Prez, Bach, Mozart, and repeatedly to Beethoven, Brahms and Wagner, the avant-garde is seen as a twentieth-century movement that preserves the identity of technical mastery of musical material devoid of illusion.[2] Atonality was not against tonality (which was necessary for its time), but its expired use during late-romanticism (also identified as aestheticism) (ibid., 88). The avant-garde obscures the "traditional" in its employment of atonality:

> The spontaneity of musical observation obscures everything traditional, denounces everything once learned, and recognizes only the force of imagination. This force of forgetfulness is related to that barbaric moment of hostility towards art which, by means of the immediacy of reaction at every moment, questions the intermediary role of musical culture. It is this force alone which offers a counter-balance to the masterly command over technique, thus preserving tradition as a basis for technique. (Ibid., 123)

For Adorno, the avant-garde is not opposed to tradition, but only its prolongation into contemporary practice. The avant-garde dominates the materials of music by taking command of technique (e.g., the twelve-tone system); thus, a composer's technique of dominating nature (ibid., 66–71).

Adorno's Historical Criteria and the Negation of Illusion

Adorno's social and historical context for the rise of avant-gardism before World War II is consistent with contemporary theory. The avant-garde is in conflict with the artistic environment of the bourgeois era, and the industry of mass culture. The first

relates to the divide between high art and society created by market forces and artistic taste of the European bourgeoisie:

> From the middle of the nineteenth century on, good music has renounced commercialism altogether. The consequence of its further development has come into conflict with the manipulated and, at the same time, self-satisfied needs of the bourgeois public. The pathetically small number of connoisseurs was gradually replaced by all those who could afford the price of a ticket and wished to demonstrate their culture to others. An abyss developed between public taste and compositional quality. ([1948] 1973, 8)

Therefore, critical judgments of good and bad were diluted as listening tastes became inept in understanding modern music. In the avant-garde's rejection of tonality, "[t]he dissonances which horrify [the public] testify to their own conditions; for that reason alone do they find them unbearable" (ibid., 9). Thus, Schoenberg's "Radical Music" was against conforming to institutionalized musical anarchy as represented by Stravinsky and his followers—works by whom Adorno classifies as restoration, neoclassicism, barbarism, or technical trickery—who perpetuated codifications of tradition set out by the bourgeois era (ibid., 5–7). In order to bring about changes in passive listening, "the concert hall performance veneer of false interpretations and stereotyped audience reaction patterns must be destroyed" (ibid., 10).

The second social condition—the culture industry—introduced mechanized goods for the public. Their techniques of construction are for external effect, rather than pertaining to the work's internal organization (O'Connor 2000, 230). In a sense, "the culture industry fuses the old and familiar into a new quality" (Adorno [1975] 2000, 231)—its products are manufactured according to a predetermined plan to produce a commodity for the masses. As an example of the avant-garde, Adorno finds similarity

between Schoenberg's twelve-tone music and Pablo Picasso's fractured paintings that challenge the reproducible images of photography—a direct result of negating the objects of mass production ([1948] 1973, 114).

The avant-garde bears clarity to the false illusions contained in both restorative modern music and the culture industry. Again, Adorno finds that the use of tonality in modern music is conceived by the public as "natural," and that very illusion was initially used to discredit the "intellectualism" of the avant-garde (ibid., 11). He writes that artists provide clarity, which is in contrast to the illusions produced by the culture industry: "Through a realization of [the avant-garde artist's] own intrinsic principles of enlightenment, and without regard for the crafty naïveté of the culture industry, they become antithetical—repulsive because of their truth—to the total control aimed for by industry" (ibid., 16).

Negating the illusion of neoclassicism and the culture industry, avant-garde "music tends towards the direction of knowledge" (ibid., 41) and "reflects without concessions everything that society prefers to forget, bringing it clearly thereby into conscious focus" (ibid., 14). Adorno's historical and social analysis, as well as the avant-garde's negation of the public's feast on the illusions of the culture industry and tradition is his stage for describing the avant-garde. I reiterate that although these conditions and artistic intention are markers of avant-gardism, they are broad categories to which its characteristics are shared with modernism. One finds the same trend when Adorno describes works of the avant-garde.

Adorno's Description of Works

Many of Adorno's descriptions fair well with other theories of the avant-garde, and are shared among theories of modernism more generally. References to the anxiety of the modern age, the suffering of man, and the disturbance of the work are examples in his analysis of Alban Berg's *Wozzeck* ([1948] 1973, 30–31). As the music was conceived as a valid negative experience, Adorno believes it "is closely related to actual suffering" (ibid., 37). Furthermore, as passions of aestheticism "are no longer stimulated, [. . .] genuine emotions of the unconscious—of shock,[3] of trauma—are registered without disguise through the medium of music" (ibid., 39). Dissonance in music does not show an organic totality (ibid., 40), and is rather a vehicle for displaying the possibilities of music:

> Dissonance is nevertheless still more rational than consonance, insofar as it articulates with great clarity the relationship of the sounds occurring within it—no matter how complex—instead of achieving a dubious unity through the destruction of those partial moments present in dissonance, through "homogenous" sound. [, . .] Consequently, the subjective drive and the longing for self-proclamation without illusion, become the technical organ of the objective work. (Ibid., 59)

Adorno clearly draws the distinction between the objective work and the subjective work, the former providing clarity through its contradictory representation of meaning in atonality. The contradiction of art exists between its own judgment on the negative aspects of the world and the judgment of art pertaining to its aesthetic form: "Art, as the realization of the possible, has always denied the reality of the contradiction upon which it is based. Its cognitive character becomes radical in that moment in which art is no longer content with the role of perception. This is the threshold of modern art, which grasps its own contradictions with such depth that they can no longer be

arbitrated" (ibid., 125). Thus, the clarity of the avant-garde is in its allowance for this contradiction by revealing its categories of judgment through processes of fragmentation (ibid.).[4] Adorno explains that avant-garde art "discards the dignity of the judge and descends to the level of the plaintiff, the only position for which reality provides a conciliation. It is only in a fragmentary work that has renounced itself that the critical substance is liberated" (ibid.).

The fragmentary work is a "rebellion of music against its own meaning" due to its "negation of relationships" (ibid., 128). Adorno describes twelve-tone music as "meaningless" due to its challenge of meaning found in the hermetic quality of traditional works. Therefore, Adorno's descriptions of avant-garde works stem from anxiety and the conveyance of suffering; through the exploitation of dissonance and atonality in a fragmentation (and destruction) of meaning, these works reveal their categories of judgment.

Adorno's Techniques of the Avant-Garde

The category of technique displays an initial move in distinguishing the two extremes in the spectrum of avant-gardism: one that is "high modernism," the other relating to practices of disorder in art. Twelve-tone technique, Adorno's *coup de grace*, is described as technical mastery in the order (not disorder) of materials requiring discipline ([1948] 1973, 112). Once the technique is accepted as a means of music's production, it becomes a "passageway of discipline" for the composer to move beyond its technical prescriptions (ibid., 115–16). As he explains,

> The didactic justice of twelve-tone technique—its terrible discipline as an instrument of freedom—is revealed in full measure by comparison with any other type of contemporary music which ignores such discipline. Twelve-tone technique is no less polemic than it is didactic. It is by no means any longer concerned with [. . .] questions as to whether music is genuine or false, pathetic or objective, programmatic or "absolute"—but rather with the handing-down of technical standards in the face of impending barbarism. (Ibid., 116)

Technique and the mastery of musical materials is thus an answer to barbarism (disorder in the arts). In my reading, this distinguishes Adorno's version of the avant-garde as "high modernism" with that of other versions that are steeped in disorder as a means for destructing traditional "meaning" in art. In Adorno's avant-garde, technique—the rational ordering of materials—is bound to the autonomy of art (ibid., 48). In his view, "[the nominalism of musical language] is to be mastered by the force of tendencies dwelling within the language itself, not by means of counterbalancing tact and taste" (ibid., 58). Compositional techniques that focus on the musical language itself distance the music from its social context, which was a necessary autonomous answer for the advancement of modern music.

Adorno and Autonomy

Autonomy is the concept that makes this construction of avant-gardism to be identified as "high modernism," and why modernism and the avant-garde may be seen to share a historical and social basis, similar descriptions, and an identification with artistic materials as a means of production. Kitsch, with its production of illusions and "its dictate of profit over culture" is in contrast to the avant-garde: "considerations concerning the revelation of truth in aesthetic objectivity make reference only to the avant-garde, which is cut off from official culture" (Adorno [1948] 1973, 10). The social isolation of

the avant-gardist plunges the artist into the inner-workings of their artistic material: "the artist has become the mere executor of his own intentions, which appear before him as strangers—inexorable demands of the compositions upon which he is working" (ibid., 17). In Adorno's example, the twelve-tone system is derived from its own musical material rather than imposed intentions on musical material (ibid., 91).

For Adorno, autonomy in art is the necessary consequence of its critique on the value systems held by society and its illusions of humanity. He states,

> Advanced music has no recourse but to insist upon its own ossification without concession to that would-be humanitarianism which it sees through, in all its attractive and alluring guises, as the mask of inhumanity. Its truth appears guaranteed more by its denial of any meaning in organized society, of which it will have no part—accomplished by its own organized vacuity—than by any capability of positing meaning within itself. (Ibid., 20)

The artist becomes alienated through his or her antithesis to society; their distanced social position allows for a diagnostic of the conditions the artist perceives (ibid., 20–21). Social alienation, due to art's autonomy, thus produces objective works in despising the reconciliation of the subjective and objective; "against universal self-alienation," the only philosophy for reconciling the subjective and objective is one that "establishes the validity of the hopelessly alienated, for which a 'subject itself' scarcely any longer speaks" (ibid., 28). The autonomous avant-garde by Adorno's account is alienated to the point that the works are necessarily objective, and in turn, provide expressions of isolation (ibid., 48).

The autonomous avant-garde has an inherent indifference to society. It is not reactionary, but an emergent movement under the social conditions of modernity. Accounting for this autonomy, Iain Anderson writes that those works that revealed

potential conflict against the ruling class disconnected the art from any overt social or political engagement (2007, 54). The title of "high modernism" is thus more suited for Adorno's avant-garde.

In the wake of Adorno's findings, I am hesitant to force other renderings of the autonomous avant-garde into belonging to his categories of analysis. However, his view—as it relates to modernism—has theoretically dissipated into discourse on the avant-garde on two levels. First, his theory, which I identify more broadly as high modernism, shares general characteristics with other accounts of the avant-garde, at least those movements prior to World War II. Second, the practice of experimental, and rational presentation of artistic materials that negate tradition and social mores comes from autonomy in artistic practice. Without theorizing on autonomy, I prefer to consider degrees of autonomy in artistic practice. In so doing, one may account for different degrees of autonomy in institutions dedicated to artistic freedom; my title of Adorno's "autonomous avant-garde" may be extended to consider the institutions that produce artists and their works of high art as an "institutional avant-garde."

An Institutional Avant-Garde

David Ewen's *Composer's of Tomorrow's Music: A Non-Technical Introduction to the Musical Avant-Garde* is close to Adorno's work in that it relates the avant-garde to the works of Schoenberg and others—the concept of autonomy is implicit with every defined instance of avant-gardism (1971). Examples include Charles Ives's drive to emancipate music from tradition, Schoenberg's dissonance, atonality and *Sprechgesang* as techniques to rid music of traditional melody, and Webern's fragmentary themes and

expansion of the twelve-tone technique into serialism. Continuance of these principles by composers such as Pierre Boulez and Karlheinz Stockhausen exemplify those who are associated with the avant-garde institutions.

Ewen's description of Edgard Varèse displays a degree of separation from autonomy. Although the composer utilized serialism, his work with mechanically produced noises of whistles, screams, or animal sounds follows the trajectory set out by futurism and music of the Dada movement such as Erik Satie's "Parade"—a composition utilizing the mechanical sounds of the typewriter (ibid., 94–96).[5]

The example of Varèse is in conflict with Adorno's theory of the avant-garde negating mass culture—the use of mechanical sounds that are a result of *mass production* separates Ewen's avant-garde from Adorno's. Varèse, however, also had ties to various institutions (e.g., the 1958 Brussels Exposition Universelle, Radiodiffusion Télévision Francaise in Paris) (Griffiths 2013). Although Ewen also deems autonomy to be essential for the avant-garde,[6] I situate Varèse as a composer residing in an institutional avant-garde with variant degrees of autonomy.

One sees discourse on the institutional avant-garde appear with reference, more often, to post-World War II composers such as Boulez, Iannis Xenakis, Luciano Berio, or Stockhausen. In that trajectory of avant-gardism, many associate the lineage to include American post-World War II composers such as John Cage, Philip Glass and Steve Reich.[7] Susan McClary perpetuates the idea of an institutional avant-garde by describing its works as difficult and incomprehensible. Through examples of Schoenberg, Boulez and Milton Babbitt, she indicates that their prestige is a result of the public not

understanding their music (1989, 58–59); their distaste for the public is to the extent that "they all regard the audience as an irrelevant annoyance whose approval signals artistic failure" (ibid., 61). Although they maintain aspirations of autonomy, McClary believes their music cannot escape social networks and values held by the public: "the avant-garde composer requires a discursive community for support every bit as much as does any musician, but the constitution of this community and its values are those of the ivory tower" (ibid., 62).

With an academic market that is valuable only because of its autonomy and social definitions of prestige (ibid., 63), the institutional avant-garde explains their music in terms that are not accessible; wishing to devoid music of meaning—and therefore violating the criteria of prestige—McClary believes the institutional avant-garde reaches a point of "terminal prestige" (ibid., 65–66). What can be read from McClary's account is not an agreement with Adorno, but her perpetuation of high modernism in the name of the institutional avant-garde.

Georgina Born's study on IRCAM[8] is representative of the institutional avant-garde as subsidized high culture (1995). The institution, directed by Boulez from 1977–92, rests on works produced according to the rational ordering of sound; its "various scientific and technological discourses on music tend constantly toward the transcendent and universalizing" (ibid., 20). Its aesthetics are for knowledge and codes of representation, and are in opposition to mass culture that contains aesthetics for the sensory, emotional and unmediated pleasure (ibid., 28–30). Drawing from the work of Pierre Bourdieu, Born explains that mass culture aims for immediate economic reward;

the avant-garde, however, invests in long-term accumulation of cultural capital, disengages from economic reward, and thus maintains its separation from mass culture (ibid., 26–28).

A transition from Adorno's autonomous avant-garde through the spectrum of avant-gardism becomes clearer in the institutional avant-garde of Born's writing. Strategies employed by composers are to produce works that are unclassifiable and shockingly new; to have meaning, works must be designated as "art" to an audience, or as a negation of art—the latter being a dominant part of the institution's apparatus; furthermore, one sees approaches of aesthetic negation (tending towards the autonomous), but also political engagement in compositions from IRCAM (ibid., 21). The definition of the avant-garde in Born's writing is therefore distanced from Adorno's theory to a degree: it does not admit autonomy to be essential, yet it retains its status of high art in its rational, scientific, and technological procedures for composition.

Perpetuations of Adorno's autonomous avant-garde reach into the spectrum of the avant-garde as an institutional avant-garde, one that is founded on Adorno's social criteria, doctrine of negation, description of works, and rational techniques for composing. What differs is the degree of autonomy, as discussed through the writings of Ewen, McClary and Born. In musical discourse, the avant-garde many times connotes the characteristics described in these writings; other disciplines, however, challenge this theory and represent the avant-garde as a socially integrated practice. At the centre of the avant-garde spectrum is the psychological conditions that point to the irrational and destructive forces of those movements prior to World War II.

Midpoint: Psychological Descriptions of the Avant-Garde

Renato Poggioli provides one of the earliest full examinations of the avant-garde. He considers the avant-garde a manifold phenomenon, which requires "testing it not so much as an aesthetic fact as a sociological one" (Poggioli 1968, 3). Rather than a period, style, school, or current in art, the avant-garde must be seen as a movement,[9] much like romanticism that preceded it; and more importantly, it is a movement against romanticism, its aesthetics of beauty, its institutions, and its reflection of bourgeois society (ibid., 18–20). His analysis examines avant-garde art through what it reveals as a psychological condition through agitation (or activism), antagonism, agonism, and nihilism (ibid., 26). The avant-garde is defined as attitudes against tradition and its environment instigated by the bourgeoisie; in turn, the economic and class distinctions that determine the artist's social position are challenged with the artist's fall into the alienated "bohemia," bringing about a bohemian attitude of nonconformity (ibid., 31).

With a spirit of aristocracy (attitude of superiority), the bohemian-aristocrat performs in an inverse relation to traditional conventions set out by romanticism, which tended to restore the past in a phase of nostalgia (ibid., 37, 39, 56). In a sacrifice "on behalf of art's future generations" (ibid., 67), the destruction of tradition is ignored by the avant-garde in the name of future ways of knowing and being (ibid., 75). Nihilism and its concept of free will characterizes the avant-garde's aim to transcend the human condition and the limits of reality (ibid., 182). Citing the "willfulness" of cubism (deformation of subject matter), futurism (destruction of the past), Dadaism (arbitrary distortion of reality), and surrealism (juxtaposed presentation of the ordinary with the unusual), a new

order is inaugurated in the face of surviving conventions (ibid., 146, 177, 179). This is where the validity of avant-garde takes prominence: although the "willing" to be unconscious or involuntary in art may be seen in negative terms, these terms become merely descriptive, and therefore neutral when examining the avant-garde (ibid., 191).

Dehumanization of art is the aesthetic intent of Poggioli's version of the avant-garde (ibid., 175–83). Whether it is geometric abstraction, mathematical figures of cubism, or the machine aesthetic of futurism, representations of what is human or organic in art are deformed; with this aesthetic, deformation is seen "as a consciously willed arbitrariness" (ibid., 177). The basic principle of deformation has since permeated discourse on the avant-garde.

Donald Kuspit's investigation into the psychological condition of the avant-garde is similar (2000). He draws the boundary of the individual's social environment to explain the alienation and angst of the individual's experience. In an examination of art-against-tradition from the early 1900s to abstract art of the present, many ideas are shared with Poggioli, such as a conflicted sense of self, a fragmentation of art to liquidate the past, mobilization of individual subjectivity, an attempt to destroy the immortal status of art, and an anonymous individuality. What is new in Kuspit's undertaking is the pitting of the avant-garde against the "crowd" of urban life.

Kuspit lists avant-garde strategies that are in ironic defiance of the social environment: 1) a discredit of humanity, 2) hallucination, 3) a projective identification with artistic material, and 4) transcendental abstraction (ibid., 72–85). Notable examples in the analysis are works by Georges Seurat (e.g., *A Sunday Afternoon on the Island of La*

Grande Jatte from 1884) in which pointillism conveys a strangeness and paralyzing stasis of panic through the precision of divided dots (ibid., 87–94); works by Edvard Munch ca. 1890 identify society as perverse, and are subject to hallucinations of despair in an inescapable, irreversible, universal insanity. These traits are exemplified by depictions of a dehumanized crowd and a grotesque spectacle (ibid., 97–105). Marcel Duchamp's readymades are an example of the artist identifying with artistic material, where a record of everyday life becomes an homage to the obvious (ibid., 132). Works by Mark Rothko, as well as other geometric works, exemplify a transcendental abstraction that replaces the noise of the modern world with silence and solitude, thus abandoning knowledge, memory, and desire in an individual reception of the work called an "oceanic feeling" (ibid., 188–204).

Poggioli and Kuspit both believe that the psychological aspects of avant-gardism are represented by an aesthetic of dehumanization. Daniel Herwitz, however, posits that the negativity of the avant-garde has a positive, humanistic value. That is, through a dialectical method of negating the negative, the works of avant-garde art bring attention to human existence, rather than a dehumanized alienation (1993). He examines a range of works from Pablo Picasso's paintings ca. 1911 to Andy Warhol's images of commercial goods and Hollywood icons. Duchamp's readymades (*Fountain* 1917; *The Bicycle Wheel* 1912; *In Advance of a Broken Arm* 1913) are examples of contextualizing the interpretation process of art. Works are defined by patterns of association and response; in disrupting our constructed associations, one begins to understand and question

naturalized ways of seeing. (I later discuss how bringing the subject (audience/receiver) to the fore of artistic intent is an important attribute of avant-gardism.)

A problem with the definitions of avant-garde set forth by Poggioli, Kuspit and Herwitz is that their psychological conditions are shared with those of modernism. In a forward to Peter Bürger's *Theory of the Avant-Garde*, Jochen Schulte-Sasse writes that Poggioli's work is unspecific, does not carry the accuracy of the uniqueness of the avant-garde, and "is at best a theory of modernism that explains certain basic characteristics of artistic production since the middle of the nineteenth century" (1984, xiv, x).

Joseph Chiari's writing on modernism is an example of the commonalities between it and the avant-garde. Basing a portion of his writing on the appearance of "genius" in modernism, Chiari states: "It seems that the blossoming of genius coincides both with periods of great social tensions, like the Renaissance and Romanticism, and with rare moments of plenitude like those achieved by Periclean Greece and seventeenth century France" (1970, 99). Drawing from the writings of Marx, Kant, Hegel, Kierkegaard, Nietzsche, Kafka and Sartre, the modern aesthetic is that of angst, individualism, and the idea of self; speaking to the angst of the modern age, "nothingness, the object of *angst*, gradually becomes an entity" (ibid., 120–21, emphasis in original). In effect, "[t]he modern notions of absurdity, nihilism, solitariness, cruelty, impotence—sexual or other—are all produced by a form of subjectivity which looks upon man and upon life itself as being merely unconnected moments or things set in a present, without any past, future or historical value" (ibid., 121). Existentialism, the

concentration on individual consciousness as supported by psychology, is a main aspect of modernism for Chiari (ibid., 31).

In light of the psychological conditions that blur the boundary between modernism and the avant-garde, contemporary scholars aim to distinguish between the two in terms of the social function of art, and the techniques employed by avant-gardists that are characteristic of its essence. What is not dismissed, however, are fundamentals of artistic and social angst, and the negation of tradition through activism, agonism and the like, that are decisive factors in understanding the complexion of the avant-garde.

Peter Bürger's Theory of the Avant-Garde

Peter Bürger's *Theory of the Avant-Garde* is at the other extreme of the spectrum of the avant-garde. Close to Poggioli's reading of the avant-gardist as the bohemian aristocrat, Bürger's theory is focused on the "historical avant-garde," specifically the movements of Dada, futurism, surrealism and constructivism prior to World War II (1984). The historical avant-garde is set apart from predating movements (e.g., impressionism, pointillism) and the post World War II neo-avant-garde. The analytical lens of the theory is not aesthetic or psychological conditions,[10] but the social function of art. Like the previously presented arguments, the avant-garde is historically grounded in a rejection of bourgeois values of art that emerged during late-romanticism (which Bürger designates as aestheticism), and is an example of the angst of the modern age. What differentiates Bürger's writing from earlier theories is his thesis that the avant-garde

attacked the institution of art in a criticism of art's role in society—a criticism of the autonomy of art in an effort to integrate art into the praxis of life (ibid.).

Bürger's writing is therefore in stark contrast to Adorno's belief that autonomy is essential to the avant-garde's critique. Stating that autonomy is socially conditioned (ibid., 35), Bürger writes, "the *autonomy of art* is a category of bourgeois society. It permits the description of art's detachment from the context of practical life as a historical development" (ibid., 46, emphasis in original). Because autonomy was socially constructed according to the bourgeois institution of art, and the institution being the object of the avant-garde's attack, the avant-garde assumes the role of critiquing the autonomous status of art. It is this point that differentiates the avant-garde from modernism.

Modernism and the avant-garde both negate the tradition of art; however, modernism reifies the bourgeois construction of autonomy. Schulte-Sasse's forward to the theory clarifies this difference:

> If we focus on the precarious *status* of art in modern societies—the "institution" of "art"—we can see the radical difference between the strategies of negation within modernism and within the avant-garde. Modernism may be understandable as an attack on traditional writing techniques, but the avant-garde can only be understood as an attack meant to alter the institutionalized commerce with art. The social roles of the modernist and the avant-garde artist are, thus, radically different. (1984, xv, emphasis in original)

Bürger draws a clear distinction between his theory and the work of Adorno. The former analyzes the avant-garde in its social construct, where the latter is "historically conditioned" with "the view that only the art that carries on in the wake of the avant-garde corresponds to the historical level of development of artistic techniques" (Bürger

1984, 63). Bürger's theory is thus based on the function of art in society rather than changes in technique.

Bürger has two theses. His first thesis is common among most writings on the avant-garde prior to World War II: "In bourgeois society, it is only with aestheticism that the full unfolding of the phenomenon of art became a fact, and it is aestheticism that the historical avant-garde movements respond" (ibid., 17). The second thesis relates to the social function of art, where "the social subsystem that is art enters the stage of self-criticism" (ibid., 22). Relating to the attack on the institution of art, Bürger clarifies that "[t]he concept 'art as an institution' as used here refers to the productive and distributive apparatus and also to the ideas about art that prevail at a given time and that determine the reception of works. The avant-garde turns against both—the distribution apparatus on which the work of art depends, and the status of art in bourgeois society as defined by the concept of autonomy" (ibid., 22). In so doing, the intent of the avant-garde is believed to integrate art into the praxis of life (ibid., 49).

Bürger's theses are supported by the history that guides the social function of art. In bourgeois society, there exists a tension between the institution (reception and distribution of art) and the contents of its artworks (ibid., 25–26). Bürger states: "As institution and content coincide, social ineffectuality stands revealed as the essence of art in bourgeois society, and thus provokes the self-criticism of art. It is to the credit of the historical avant-garde movements that they supplied this self-criticism" (ibid., 27).

The three categories of art's purpose or function, production, and reception are compared in a social analysis with respect to three time periods of sacral art, courtly art,

and bourgeois art. As a summary, the three categories display changes through these time periods from the collective to the individual (ibid., 48). That is, the function of art was a cult object of collective production and reception in sacral art; by the bourgeois era, the function of art was representational while its production and reception were individual. At this time, art becomes revealed as a fact in and of itself: "art becomes the content of art" (ibid., 49). Within this confine, "[t]he avant-gardistes proposed the sublation of art—[. . .] art was not to be simply destroyed, but transferred to the praxis of life where it would be preserved, albeit in a changed form" (ibid., 49). This social history is essential to the avant-garde because it directs itself to the status of art and the ways it functions in society (ibid., 49).

Following the historical analysis, Bürger analyzes the artistic means that support his thesis. To be clear, he states that the avant-garde cannot be said to develop a style, but instead dissolved the concept of style through a change in approach to artistic means (ibid., 17–18): "Only the avant-garde [. . .] made artistic means recognizable in their generality because it no longer chooses means according to a stylistic principle, but avails itself to them as *means*" (ibid., 19, emphasis in original). These artistic means fracture the content of artworks by negating "a specific kind of unity, the relationship between part and whole that characterizes the organic work of art" (ibid., 56). For example, surrealist art searched for the unexpected by abandoning the approach of having specific goals. Through arbitrary methods or "painstaking calculation" of chance, the result is unpredictable (as opposed to the predictable nature of the bourgeois) (ibid., 65–68).

The avant-garde's use of allegory and montage are shown to develop the concept of the nonorganic work. Allegory deprives a totality of meaning and posits an alternate meaning by reordering and juxtaposing isolated fragments. Its reception therefore questions the meaning of daily life, a posited meaning that is fragmented from what is known or understood (ibid., 68–69). Montage, an aspect of allegory, is a construction of meaning through the relationships of fragmented parts: "The parts 'emancipate' themselves from a superordinate whole; they are no longer its essential elements. [. . .] What is decisive are not the events in their distinctiveness but the construction principle that underlies the sequence of events" (ibid., 80).[11]

The nonorganic work is a defamiliarization or "unapproachability" of the organic work's aura.[12] Within this unapproachability, "shocking the recipient becomes the dominant principle of artistic intent" (ibid., 18). The basis of shock defies an interpretation of meaning since the organic dialectic of part and whole has been fractured—the "refusal to provide meaning is experienced as shock by the recipient" (ibid., 80). Shock contributed to what Bürger believes was the demise of the avant-garde, where "[t]he problem with shock as the intended reaction of the recipient is that it is generally non-specific. [. . .] Nothing loses its effectiveness more quickly than shock; by its very nature, it is a unique experience" (ibid., 80–81). His conclusion is, "[t]he historical avant-garde movements were unable to destroy art as an institution; but they did destroy the possibility that a given school can present itself with the claim to universal validity" (ibid., 87). Furthermore, because the historical avant-garde was institutionalized (by the very system it sought to destroy), any subsequent avant-garde

movements (i.e., the neo-avant-garde) are determined to be futile reiterations of the past (ibid., 57–58).

An important feature of Bürger's theory is his attention brought forth to the reception of art, and that "modes of reception must be based in social history" (ibid., 31). The artistic intent of the avant-gardist, against the institutionalized reception of the ruling class, moves reception to another level of interpretation (ibid., 53), where "the recipient will suspend the search for meaning and direct attention to the principles of construction that determine the constitution of the work" (ibid., 81). He states: "One of the decisive changes in the development of art that the historical avant-garde movements brought about consists in this new type of reception that the avant-gardiste work of art provokes" (ibid., 81). Rather than determining the nonorganic work to be immanently political, its structural principle "enables political and nonpolitical motifs to exist side by side in a single work. On the basis of the nonorganic work, a new type of engaged art thus becomes possible" (ibid., 91).

To summarize: Bürger's theory examines the social function of art in bourgeois society, and it is the avant-garde's nonorganic work that provides a criticism of art against its institution. The avant-garde thus attacks the autonomy of art in an effort to integrate art into the praxis of life. The institutionalization of the historical avant-garde and the problem of its focus on shock lead to its failure; however, the avant-garde succeeded in its challenge to universal validity of art and in restructuring modes of reception.

Perpetuations of Bürger's Theory

Writings by Matei Calinescu (1987) and Andreas Huyssen (1987) continue Bürger's definition of the avant-garde. Calinescu provides a historical account of the "five faces of modernity": modernism, avant-garde, decadence, kitsch, and postmodernism. Modernity is a large-scale social movement similar to other temporal eras such as antiquity or the renaissance. The industrial revolution drastically changed the face of everyday life. Its effects were a rapid growth in urbanized living, technological production, the use of machines, changes in transportation, a rise in capitalist-based economics, its market system, and an organization of labour. Modernity is described in contrast to antiquity: beginning with the renaissance, the human psyche is conscious of unrepeatable time and new conceptions of past, present, future, and death (Calinescu 1987, 38–41).

As science and philosophy gradually replaced religion in the renaissance and romantic era, a separation between secular and sacred cultures leads to the "Death of God," and how human existence ends with death. In terms of modernism, a complete separation between modernity and Christianity leads to a religion of crisis, existential despair, and anguish (ibid., 58–62). The "Death of God" leaves a void to be filled in the human psyche, which is replaced by the contradiction between a utopian society and a doctrine of pushing towards a new, constantly changing future. Thus, modernism is explained as a notion of future seeking artists who break with past traditions in the name of progress (ibid., 65–68). One finds similarity between this version of modernism and

the theory presented by Poggioli—modernism is a broad category of psychological existential existence.

In Calinescu's historical account, the avant-garde is similar to modernism, or at least part of it, in that it breaks with past traditions in art. Progress, on the other hand, is not a central point for the avant-garde. The avant-garde sees progress as leading to the dominant bourgeois-capitalist society that formed after the 1848 revolutions in Europe, and is a negative reaction to the cultural, political, economic, and artistic value systems held by this society. The avant-garde is seen as a historic movement of alienation and rupture, and in an attempt to demolish society's engrained traditions, the future is seen to "take care of itself when the demons of the past are exorcised" (ibid., 96). Different than modernism, the elements of avant-garde art are exaggerated and placed in unexpected contexts (ibid., 95–104). The avant-gardist in this context is closely related to the bohemian aristocrat rather than the artist of high modernism.

The avant-garde is also distinguished from decadence, kitsch, and postmodernism. Decadence may simply be equated with romanticism: aesthetic procedures that were capitalized by the bourgeois and shaped their concepts of beauty; decadence, however, is employed as a reaction to bourgeois taste to depict the awareness and difficulties involved in escaping tradition (ibid., 157–71, 208–11). Calinescu's description of kitsch (ibid., 225–62) is in line with Greenberg's account; and postmodernism is described as a departure from the avant-garde with a positive embrace of high and low culture to question the meanings of modernity (ibid., 141–44, 147–48, 275–79).

The beginning of the avant-garde is traced back to 1825 when the manifesto by Henri Saint-Simon of France designated avant-garde artists to join forces with science and technology to create a new future through art. But, as science, technology, and economics were determined by the bourgeois, and promoted a rationalization of culture, the avant-garde found itself at the margin, seeking other avenues of cultural expression. By the 1900s, a diversity of avant-garde movements began, ranging from the social negations of the bourgeoisie in France and Victorianism in Britain, the anxious embrace of violence in Italy, and the appropriation of political agendas by extremists in Germany and Communist Russia. What remained of the original intent from 1825, however, was an elitist attempt against capitalism, and (like Bürger's theory) an anti-elite program of integrating art and life (ibid., 101–4).

Andreas Huyssen builds on the writing by Bürger and Calinescu for his essays on postmodernism. More so than the latter two, Huyssen's arguments are tied to the avant-garde's association with politics, and how by the early 1930s, many of the movements were silenced by capitalism, or incorporated into propaganda to build public support in Communist Russia (Huyssen 1987, 4–15).

He also accounts for the many artists that found exile in the United States in the years before and during World War II. Here, the avant-garde's critique of bourgeois society would have had little effect, nor would it make sense: American culture was not defined by art as it was in Europe (ibid., 6). A new breed of the avant-garde, the neo-avant-garde, is said to have direct links to this American view of art—that of high culture. The practice of European-influenced techniques became a global trend

throughout the 1950s and 1960s; however, in some American movements, an avant-garde political spirit is found to a larger extent in American counterculture, civil rights, and anti-war movements (ibid., 163–70, 191–92).

The important aspects of the theories presented by Calinescu and Huyssen speak to the more general social formations that characterize, and (indirectly) support Bürger's theory. In opposition to the elite status of modernism and the dominant class (in the context of European culture), the avant-garde artist is identified as the isolated bohemian. These artists—existing at the margins of the dominant class—are aware of their social strata and the ineffectuality of their craft. Their recourse is a negative assertion in art that provokes social change through the reception of art, and thus an affirmation of alternative culture. The focus of these theories, however, is the historical avant-garde and the specific dominant class system of European culture. Contemporary scholars challenge these theories by asserting that 1) that the neo-avant-garde is not an ineffectual reiteration of the historical avant-garde, and 2) that avant-gardism is also expressed in many cultures of social tension. The next two sections, "Initial Challenges to Bürger's Theory" and "Toward a Broader Understanding of the Avant-Garde" attend to these two advances in discourse on the avant-garde.

Initial Challenges to Bürger's Theory

Initial attempts to expand on a theory of the avant-garde find value in Bürger's method (in a socio-historical context); however, they challenge his conclusion that movements subsequent to the historical avant-garde would be reiterations of its original

intent. Bürger's theory is used as an analytical tool for understanding post-World War II avant-garde movements, not as reiterations, but similar expressions in a transplanted national and political environment.[13] This expands the discourse to account for avant-gardism, without its historical baggage, as a social and political practice that is similar to, and aesthetically congruent with the aims of pre-World War II movements.

From a conference held in 2002, a collection of essays is devoted to investigating the bridge between the historical and the neo-avant-garde (Scheunemann 2005a). Dietrich Scheunemann's preface states, "Bürger's book is the inevitable starting point for every alternative prospect of the avant-garde's nature and the place that the avant-garde holds within twentieth century cultural history" (2005b, 9). Scheunemann explains that Bürger's theory was too confined to an historical period (2005c, 18–19), and therefore confined to the intentions of the avant-garde. The problems found in Bürger's theory are his assumption that the avant-garde rests on the singular intention of integrating art into the praxis of life (Scheunemann 2005b, 9), and because of the failure of this intention, that the historical avant-garde failed in general (Scheunemann 2005c, 21). In turn, Bürger's indifference towards the historical processes that shaped the avant-garde[14] has called for a re-examination of the avant-garde, and thus its relationship to the neo-avant-garde (Scheunemann 2005b, 10).

The essays published in *Avant-Garde/Neo-Avant-Garde* (Scheunemann 2005a) and *Neo-Avant-Garde* (Hopkins and Schaffner 2006) agree with Bürger's claim that the avant-garde attempted to subvert the autonomy of art;[15] however, the means of artistic production are central to reconfiguring the intent of artists. The major areas that are

developed, making the means of production an analytical focus, are 1) the techniques of artistic production, 2) the overt awareness of the production and reception of art, and 3) the necessity of response both to the work and its means of production.

Techniques of Artistic Production

Avant-garde art utilizes the materials of artistic creation to question traditional approaches in creating art (Scheunemann 2005c, 21). Scheunemann's analysis examines works by Pablo Picasso, Marcel Duchamp and Andy Warhol, the former two situated as part of the historical avant-garde, the latter part of the neo-avant-garde.[16] In response to photography, Picasso initiated a non-linear perspective of visual art "designed to take painting away from the illusionism of 'realist' photographic representation" (ibid., 23) through the use of fragmenting images and inserting every-day objects into the work (ibid., 22–25). Duchamp's readymades transformed ordinary (industrially produced) objects of life into works of art, thus challenging artistic ideas of uniqueness and the "original" work (ibid., 28–30). Examining Warhol's serialization of mechanically produced images, such as those in *Marilyn Monroe (Twenty Times)* from 1962 (ibid., 38–43), Scheunemann believes that for the neo-avant-gardist, "the historical avant-garde was neither a tragedy nor a trauma, but represented the most advanced position artists had achieved in the practice and understanding of artistic production in the modern age" (ibid., 37).

From my reading of this description, the avant-gardist may be defined as the artist who advances the practice and understanding of artistic production according to the technical use of artistic materials as conditioned by his or her respective modern time.

This is with the support of Scheunemann's three stages of avant-gardism: 1) the abandonment of mimesis with "an exploration of the properties of artistic materials" (where the autonomy of the work is upheld), 2) the incorporation of reproduced objects as source material (involving a dissolution of autonomy), and 3) the re-appropriation of a practice that advances procedures that easily communicate with each other in the production of art (ibid., 43–44).

Awareness

By making the materials of production the means of production, avant-garde artists close the gap between the work and its reception by making the receiver overtly aware of their role in experiencing art. Michael White looks to works that evolved from original paintings depicting nature through techniques of decomposition and destruction of the original, ultimately displaying deliberate negations of nature, which emphasizes the practice of radical negation for the receiver (2005, 80–85). Similarly, Anna Schaffner argues that Dada poetry (digital spatial poetry in her case) concerns itself with intermediality between the sonic and the visual; the techniques of production violate habits of reception (2005, 151–52). David Macrae discusses techniques used in avant-garde film, where "the flicker-effect, reflexivity of mechanical exposure, and repetition are all devices which draw attention to the specific nature and capabilities of the material medium of film" (2005, 260–61), thus revealing the "reality of individual perceptual processes" (ibid., 262).

The means of production may bring awareness to the reception of art's specific place, space, time, or passage of time.[17] Installations of objects in the museum, such as

Duchamp's ready-mades, "reveal the gallery as a place that makes the observer aware of moving through its space" (Ørum 2006, 146–47). In minimalist film, predetermined simplified content becomes the form of the work; devoid of processes of anticipation and recollection, its imagery requires concentration, which yields a temporal stasis and an awareness of duration (Elder 2006, 119–20, 126). Schaffner also points to the abandonment of syntax, punctuation, conjunctions and adjectives in avant-garde poetry—by rupturing the organicism of language, the reader is made aware of the work's spatial dimension (2005, 155–58). Anna Dezeuze writes about George Brecht's "Suitcase" from 1959, where articles of junk are taken out of the case and assembled by the audience according to prescribed instructions. The work emphasizes artistic process over product in an intrusion of its artistic space (2006, 58–59, 61). After deconstructing the assembled object and returning the pieces to the case, the receiver is made aware of an unfolding experience in time and the impermanence of modern life (ibid., 61). Another example is public performances requiring audience participation (e.g., New York's "Happenings" initiated by Allan Kaprow in 1959) that transform the place and space of the artistic environment: devoid of preservation, these events call attention to the work of art in its moment of creation (Berghaus 2006, 85–87).[18]

Response to the Means of Production

The awareness of the means of production invokes a response, which is integral to avant-garde intention at a level that is at least proportional to the work's aesthetic. Similar to Bürger's theory that equates shock as a principle response of avant-garde art, Gavin Butt investigates a "queer seriousness" in Joe Brainard's works that reduce

meaning to a play on seriousness and heterosexuality (Butt 2006, 281). One example—ironic depictions of Ernie Bushmiller's *Nancy* cartoon-strip character—suggests that there is no appropriate response for the audience.[19] In turn, the depictions of *Nancy* invoke a light-hearted, but serious empathy for her character.[20]

Uta Felten discusses response to Spanish surrealist film in her analysis of the body. The dismembered body (fragmentation of the body) is depicted as analogous to experiences in dreams, and liberates principles that aim to rationalize the body through symptoms of a sick, aggressive, or hysterical individual (2005, 242, 249). In one example, there is a juxtaposition of pleasure, fear, ecstasy, taboo, laughter and shock in its response (ibid., 248). The body in this example is the material of production, and with the fragmentation of its natural being, elicits a complex array of response.

Martin Dixon is clear in his hypothesis that if artistic means are recognized as such with the avant-garde (2006, 391), "[t]he question of how we read and interpret a text that affords an experience of the methods it describes and explains may not be as pressing as the question of what has happened to aesthetic form such that this involution is possible" (ibid., 393). Drawing on the writing and works of John Cage—gestures that "[*disclose*] *the means of production of the work as its own content*" (ibid., 392, emphasis in original)—Dixon claims the avant-garde presents art in a production that "is sudden, dramatic, without interval or explanation" in the manner of "a miracle that occasions astonishment" (ibid., 393). The audience is forced to produce the results, evidence, and argument, as well as make available the inspection of production (ibid., 393–94). Therefore, in the awareness of perceiving, the response is a "production of inwardness,

and is the individualisation of the apprehension" (ibid., 399).[21] The apprehension of our apprehending, by Dixon's account, is thus the individualization of response to art, which is supplied by the avant-garde.

Many of the tactics employed by the avant-garde reveal an intention of creating art that is not solely guided by aesthetic ends, but social ends that necessitate the receiver rather than the "creator" (artist, composer, author, director, etc.) to be a central actor in the production of artistic reception. Works that turn the mirror towards the audience invoke a response that narrows the distance between creation and reception—in some cases, eliminating the distinction between the two. In effect, the autonomy of art is either called into question, or destroyed.

Toward a Broader Understanding of the Avant-Garde

Huyssen notes that the political spirit of artistic (and social) activism was different in the United States; however, he discusses the neo-avant-garde having a close relationship to the historical avant-garde and does not consider movements existing outside of the Western tradition.[22] The collection of essays in *Not the Other Avant-Garde: The Transnational Foundations of Avant-Garde Performance* targets this discrepancy in discourse head on (Harding and Rouse [2006] 2009). The essays challenge Western biases to consider the boundaries that demark the avant-garde as a transnational phenomenon, and a play on the notion of "Other" (ibid., 2).

In contrast to Bürger and Calinescu—who neglect performance, present a culturally biased historiography of the avant-garde, and reinforce what is important in

Western culture (ibid., 6–10)—the essays claim “the avant-garde gesture as first and foremost a performative act” (ibid., 1). Agreeing with the “pliable” conditions set forth by Poggioli (ibid., 5), the authors assert that, “sites of artistic innovation associated with the avant-garde tend to be sites of unacknowledged cultural hybridity and negotiation” (ibid., 2). The studies in avant-garde performance are therefore transnational in scope and based on cultural practice, rather than a social consequence of bourgeois culture. The attempt is to broaden a theory of the avant-garde beyond aesthetic form to analyze avant-gardism in, for example, Indian, Middle Eastern, Mexican, Argentinean, Japanese, or African American cultures, and to account for their gestures that radically modified avant-garde practice to their own political and cultural ends, liberate their own traditions, and subvert governing authority (ibid., 11). The following discussion of three essays from this volume aims to develop the idea that avant-gardism exists as a cultural and political act that can be analyzed according to the boundaries drawn around cultural exchange and “tradition.”

James Harding problematizes the dichotomy of the “centre” and the avant-garde’s position at the margin by questioning the assumption that a singular centre/margin exists; that is, the avant-garde is not seen as a subsequent intercultural exchange with European culture (typically considered the centre), but as locations among borders that “wound” multiple centres ([2006] 2009, 20–25). He draws on “border theory for a decentered conception of the avant-garde,” where culture is not determined by political or cultural harmony within, but emerges from a borderland of contingency, fragmentation and contestation according to competing oppositional interests (ibid., 25–26). The avant-

garde, therefore, may be distinguished from a linear historiography of European culture and conceptualized as simultaneous global changes giving rise to transnational avant-garde practice (ibid., 30).

Global changes in the twentieth-century, including capitalism, colonialism and postcolonialism, have produced contested intercultural exchange, to which the avant-garde is closely associated with Marxism (ibid., 31–33). Although cultures outside Europe have borrowed its avant-garde aesthetic practices, they have done so with their own agency for political change: the hybridity of practice—a "slippage" of cultural symbols through avant-gardist "unreadability" and "undecidability"—is a means to subvert colonialism (ibid., 34–38).

Hannah Higgins's essay on Fluxus—a collaborative formed in Japan and extended primarily by John Cage to include artists from the United States and most European countries ([2006] 2009, 267–70)—describes the geographical boundaries that were consciously dissolved in their "Events" of artistic exchange (ibid., 270–72). The fluid borders of Fluxus's avant-gardism rejected the political economy that dictated America's national triumph of abstract expressionism (ibid., 265–66), and projected a communal art "against political, geographic or culturally mediated norms" (ibid., 283). The particulars of Fluxus are not central to this discussion; however, this rendering of avant-gardism supports the transnational theory outlined by Harding with reference to movements that are in relation to the European avant-garde; that is, Cage's exchange with cultures outside America demonstrate how avant-gardism exists as a method to transgress

borders of the nation, race, and ethnicity through an indifference to nationalistic "triumphs" of artistic production.

Harry Elam Jr. discusses the American black theatre movement (BTM) in conjunction with the black arts movement and representations of African American avant-gardism more broadly. He asserts that the BTM did not appropriate aesthetic practices of the historical avant-garde but similarly challenged the spectator/performer dichotomy by demanding audience response rather than complacency (Elam [2006] 2009, 48–49).

The BTM is representative of American avant-gardism as it relates to the civil rights and black power movements. Many of the artists—Amiri Baraka, for example—were well versed in cultural and linguistic trends of the avant-garde (ibid., 42); the cultural resistance of the BTM displays an avant-garde stance against white hegemony (ibid., 45). Writing that definitions of the avant-garde have been historically racialized as white (e.g., Bürger 1984), Elam states, "the resistance of the historical avant-garde owes a cultural debt to the already marginalized racial other": their turn to the "primitive" exotic Other of African art, and glorified white achievement of appropriating the racialized Other historically includes race by excluding it ([2006] 2009, 44). The reception of racialized art in this historiography perpetuated such definitions, thus systematically limiting racial politics of the BTM's avant-gardism: "Consequently, the question with the BTM [. . .] is not so much whether it fits into an American avant-garde, but how the avant-garde fits into it" (ibid., 45).

The BTM, at times displaying a "terror of racial violence" with the threat of "white death" (ibid., 50), collectively shared political and cultural interests to give self-determination and a voice for its community (ibid., 57). Not only did they reject "policies of commodification and materialism endorsed by the white American power structure," they articulated "policies of black cultural, economic, and political autonomy. Destruction of the white thing needed to be joined with the construction of a new 'black thing' that only blacks could understand, a black cultural nationalism" (ibid., 60). Therefore, the BTM was urgent for a new African American social order (ibid., 63). The innovative aspect of this study is a challenge to the racial narratives of avant-gardism: in theory and political practice, the avant-garde gesture of resistance to hegemony is captured in the boundary of race and cultural agency in relation to American socio-politics.

These three essays in *Not the Other Avant-Garde* thus offer a broader understanding of the avant-garde as a spirit that informs social change according to respective boundaries of the nation, tradition and race. This expanded theory allows one to raise the analytical lens of avant-gardism from the borders of Western art, and transfer its focus to other social and cultural mechanisms that interact with artistic resistance.

One also sees similar trends in describing avant-garde movements such as the San Francisco Tape Music Centre (SFTMC) during a time of American counterculture in the 1960s (Bernstein 2008a). The work by SFTMC's musicians was a community enterprise outside of academia—with free improvisation and electronic music serving as its core, the group collaborated with actors, mimes, writers, artists and dancers in an

interdisciplinary art form (Bernstein 2008b, 2, 11–12). Many of their works were performed outdoors in the city's environment to interact, absorb and transform the surroundings "to blur the boundaries between art and life" (ibid., 17).

Tied to a bohemian and anarchistic American counterculture that questioned traditional values of aesthetic form, community, sex, personal identity, politics, family, the bourgeois home, and Protestant work ethic (ibid., 8), the SFTMC's social agenda was different than other electronic music studios of its time (ibid., 19): many of the musicians were against high modernism by turning away from serial music and its institutions (ibid., 37). Ramon Sender writes, "the solution to the composer's place in our society does not lie in having to choose between writing within the accepted 'avant-garde' traditions for performances aimed at some sort of musical in-group, or 'going commercial'" ([1964] 2008, 42)—the objective of integrating art into the community exemplifies their critique of American society's understanding of art (ibid., 44). This version of avant-gardism, although initially inspired by Cage, Stockhausen, Berio, Varèse and Babbitt (Bernstein 2008b, 9), is defined by its association with a larger political discourse in a movement that challenges the public's perception of the role of art in their community.

These theories are useful in discussing avant-gardism in jazz. Generally, the avant-garde is a spirit that instigates social change of its recipients according to its respective tradition and political climate. Thus, in the United States, one witnesses multiple centres that are "wounded" by different margins (e.g., the SFTMC and the

"Other" of the BTM). At the level of the performer, authority and validity is derived from the avant-garde gesture.

Summary

The different interpretations of the avant-garde presented above display a spectrum of its definition, which requires a dividing line for avant-gardism in jazz. The centre of the spectrum is the psychological dimension of modernism where the alienated artist, trapped in a state of angst, is opposed to romantic aesthetics as valued, and economically reinforced, by the ruling class. The bohemian artist is engaged in activism through the deformation or destruction of art, also seen in works of arbitrary construction or imagery of juxtaposed realities—a conscious and willful break from the past. At one extreme of the spectrum, the "institutional avant-garde" under Adorno's construction contains radical works of art against a conservative and governing body. Rather than breaking from the past, artists are simply opposed to the prolongation of tradition in their autonomous contemporary practice. Shared among the spectrum of the avant-garde are compositions found unbearable to listeners accustomed to products of mass culture; for these works, illusions are destroyed through shock, where categories of judgment are based on the fragmentation of the work: works are conceived to be unclassifiable and shockingly new in their negation of traditional aesthetics. Separate from what I define as avant-gardism, however, is modernism's rational mastery of technique that reinforces the composer's autonomy. This version of "avant-gardism" has been perpetuated in music

discourse attending to twentieth-century composers who maintain an institution of high art.

Defining the avant-garde in jazz begins with Bürger's theory at the other extreme of the spectrum: artists attack the institution of art, the social values that guide the aesthetics of their works, and the concept of autonomy (i.e., high art). As a non-autonomous enterprise, the avant-garde in jazz is a product of, and confronts its social climate. Nonorganic works, through their fragmentation and juxtapositions, refuse to provide traditional aesthetic meaning, which is experienced as shock. Attention is thus drawn to the construction of the work, the process in which the work's fragments relate to the whole.

This avant-gardism relates to urbanization and a capitalist based economics of the market system. Alienated artists engage in an anti-elite program of art to disrupt the status quo. These artists—existing at the margins of the dominant class—are aware of their social strata and the ineffectuality of their craft as high art or entertainment for mass consumption. They are in advance of their time and in a struggle against stagnation. Their works critique the reception of "art" when aesthetic consonance and social dissonance become ever more vast. After World War II, this social stance is displayed in the subculture of jazz, and the civil rights and black power movements. Returning to the artistic production of avant-garde works, the techniques involved create an overt awareness of their production and reception, and necessitate a response to its artistic means. For jazz—distanced from a European bias—these conditions can be seen with respect to its own tradition, institutions, and the value systems that guide them.

Notes

[1] For example, Adorno's continual praise of Schoenberg and denigration of Stravinsky are not discussed; rather, I aim to present the theory from the vantage point of how Adorno generally uses the terms modernism and avant-garde.
[2] For example, see Adorno ([1948] 1973, 57, 58, 65, 77, 90–91, 119–21).
[3] Adorno extends his discussion of shock in avant-garde art ([1948] 1973, 155–57).
[4] Adorno states that the avant-garde work is in opposition to the hermetic work (analogous to Walter Benjamin's concept of the "aural work") that is disrupted by fragmenting the organic unity between its parts and the whole ([1948] 1973, 125). I attend to the organic work further when presenting Bürger's theory.
[5] The sounds of mass production are an important aspect of Varèse's music. See Cox and Warner (2004, 5–6) and Varèse ([1936–62] 2004, 17–21).
[6] For example, and with respect to Varèse, see Ewen (1971, 94–95, 98).
[7] Cox and Werner's edited book of twentieth-century musical discourse represents a spectrum of the avant-garde (2004). Cage, Glass and Reich are notable composers of the institutional avant-garde despite their different aesthetic choices and positions within the spectrum of avant-gardism. Susan McClary's writing classifies that Glass and Reich, along with Laurie Anderson and Meredith Monk, are postmodern composers who respond to the avant-garde (1989, 67); my point, however, is that their position in the transition from avant-garde to the postmodern is related to the institutionalized avant-garde more so than movements born out of their social functions. McClary points to this when she discusses how jazz has been discussed in terms of both "high art" and its social dimension (ibid., 70).
[8] IRCAM (Institut de Recherche et Coordination Acoustique/Musique) is an institution in Paris supporting artists and researchers in the development of music and technology.
[9] In Poggioli's case, the avant-garde is a movement before World War II.
[10] Aesthetics and psychological conditions of the avant-garde are important in Bürger's analysis; however, they are not deemed preeminent forces in defining the avant-garde (1984). For example, the forward written by Jochen Schulte-Sasse outlines precursors to the avant-garde, and is related to Poggioli's writing on angst and antagonism: "The contradiction between negation and affirmation, implicit in the autonomous mode in which art functioned, led to a feeling of impotence among writers, to a realization of the social *ineffectiveness* of their own medium, and thus to ever more radical confrontations between artists and society, especially as the elements of affirmation and compensation came increasingly to influence readers' responses" (Schulte-Sasse 1984, xi, emphasis in original).
[11] See Bürger (1984, 68–80) for examples of his descriptions of allegory and montage.
[12] Bürger uses Walter Benjamin's concept of "aura" as defined as the receptive distance between the artwork and the audience; the unapproachability of avant-garde works is a destruction of aura where the work is no longer based on ritual, but on politics, or the act of reception (Bürger 1984, 17–18).

[13] David Hopkins states that the neo-avant-garde includes neo-Dada, nouveaux réalisme, Fluxus, pop, minimalism and conceptual art. The neo-avant-garde is initially an American movement that existed from the 1950s until the 1970s. Its time period began with changes in artistic production, grew to include institutions devoted to the art, and ended with the advent of postmodernism (Hopkins 2006, 1–3). The conditions of the historical avant-garde's delayed appearance in America are largely due to its products that did not emigrate from Europe in wholesale until the 1930s (Berghaus 2006, 75–77). Hubert van den Berg takes issue with the distinction between the "historical" and the "neo," stating that each are used to chronologically separate versions of avant-gardism: "neo" disqualifies its status as it is deemed respective to its predecessor, preventing it to be a historical phenomenon itself. In turn, he chooses to designate the movements by their temporal existence, the avant-garde previous to, and after World War II (van den Berg 2005, 73).
[14] Bürger employs a social analysis rather than a historical analysis that would draw further attention to the politics that instigated the avant-garde.
[15] For example, see Corris (2006), Edmond (2005, 185–86), and Michael White (2005). Scheunemann's reading of manifestos and programmatic statements, however, questions the diversity of opinions about the autonomy of art among different avant-garde movements (2005c, 21).
[16] Scheunemann's selection of artists and works is accessible for the non-expert in the avant-garde, and for one who is minimally versed in artistic discourse; furthermore, his findings act as an overture to many ideas in *Avant-Garde/Neo-Avant-Garde*, and are specifically supported by Hopkins (2005, 2006), Schaffner (2005), and Michael White (2005).
[17] An earlier writing by John Weightman considers the avant-garde (Dada and surrealism) as being concerned with time. Drawing from Nihilism's "Death of God," existence is understood only in passing moments, creating "a dilemma between self and the world," and therefore, "a justification for the flight from reason" (Weightman 1973, 30–31). By juxtaposing words or disassociated sounds, Dada's incoherence alters traditional meanings of the sentence through time (ibid., 34–36). In surrealism's concentration on inanimate objects, such as in Sartre's *La Nausée*, one understands the absurdity of temporal concentration, and the difference between body and consciousness in its temporal space (ibid., 44, 56). Surrealism, as an openly scandalous movement of anti-bourgeois and anti-Catholic practices, denounced patriotism and attacked pillars of the Establishment (ibid., 137). It was "a system of belief requiring an act of faith before it can ever be understood" (ibid., 135). Its automatic writing practices and dream associations are examples of a want to enter the unconscious, "as if it were some accessible state outside time" (ibid., 140).
[18] Michael Corris discusses process-based practices similarly (2006, 301–2, 306, 308).
[19] For example, the cartoon character of Nancy is shown to smoke cigars or lift up her skirt to display a penis. The negation of appropriate response is typical of Brainard's other works (Butt 2006, 281, 291).

[20] Versions of Brainard's *Nancy* appear on the 1968 cover of *The Avant-Garde* (Hess and Ashbery 1968), which was part of the *Art News Annual* series; at a time of development in avant-garde practice and thinking, Butt believes the cover trivializes the avant-garde meaninglessly and irresponsibly to endear us with the avant-garde more generally (2006, 292–93). The means of production of reconfiguring and fragmenting images, and the shock of *Nancy*—many times with a reaction of humour—invokes a response of empathy.

[21] For example, John Cage's *4'33* (a performance of four minutes and thirty-three seconds of silence) is an example that forces the audience to be aware of the concert hall through the unfolding time of the pieces duration, and their response to the work's means of production.

[22] One essay from *Neo-Avant-Garde* considers the deficiency in discourse on the avant-garde in Latin America, specifically with reference to the break from European traditions in Brazil (Clüver 2006, 161–63, 182). Missing from the majority of discourse on the avant-garde is on movements that existed between the historical and neo-avant-gardes (i.e., ca. World War II); a growing number of studies have attempted to account for this lack of research (e.g., see Aspley [2006], and Picchione [2004]).

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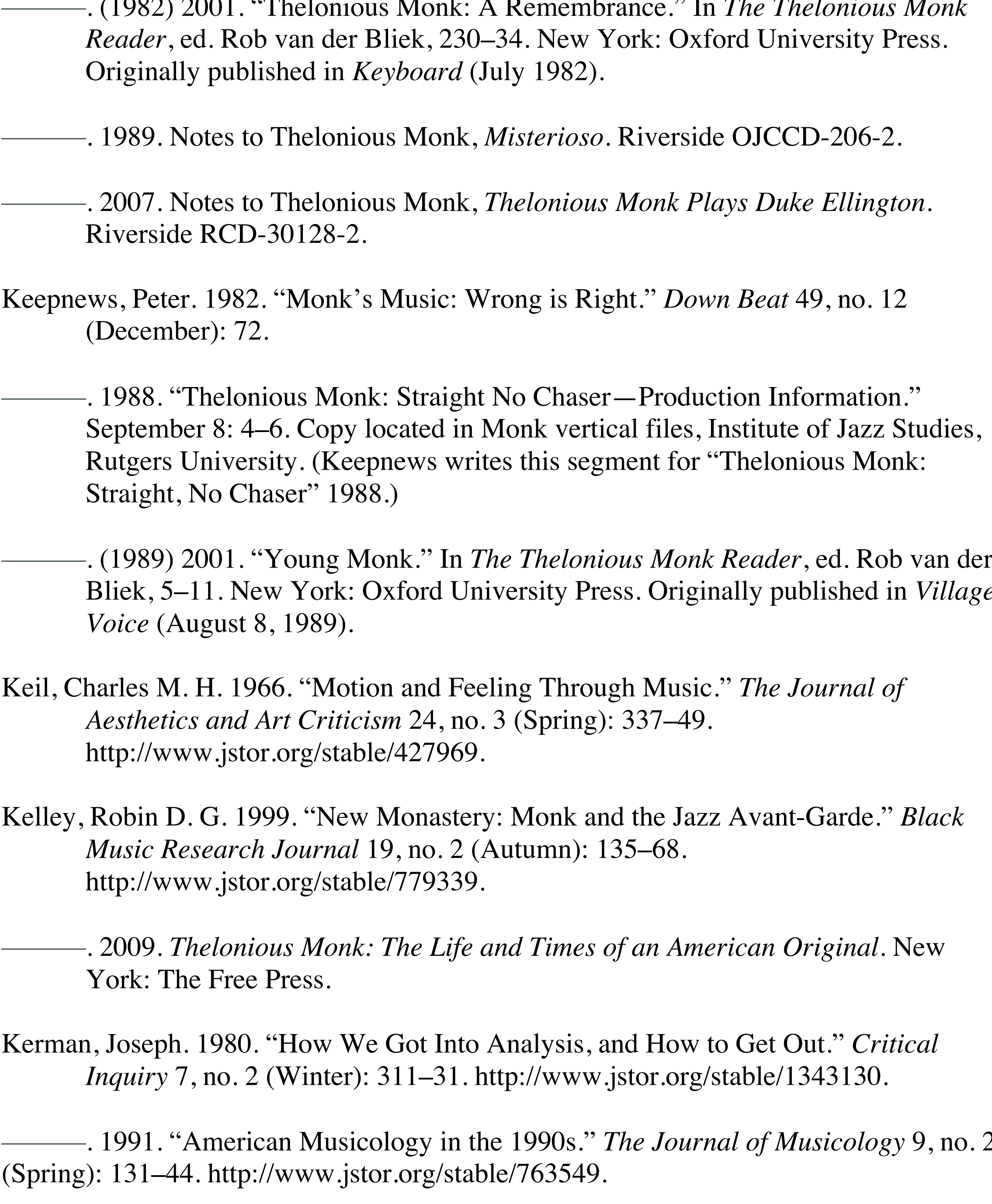

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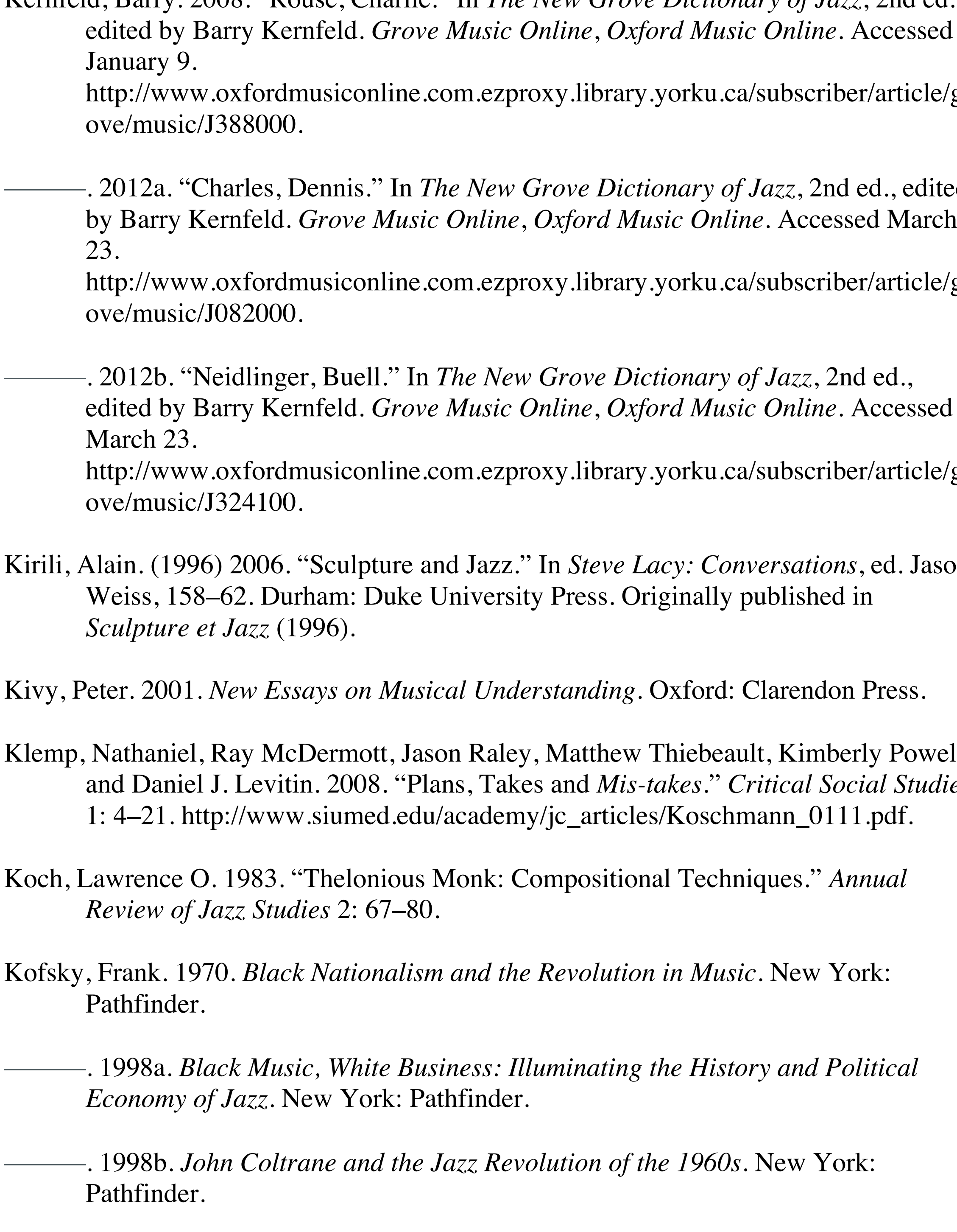

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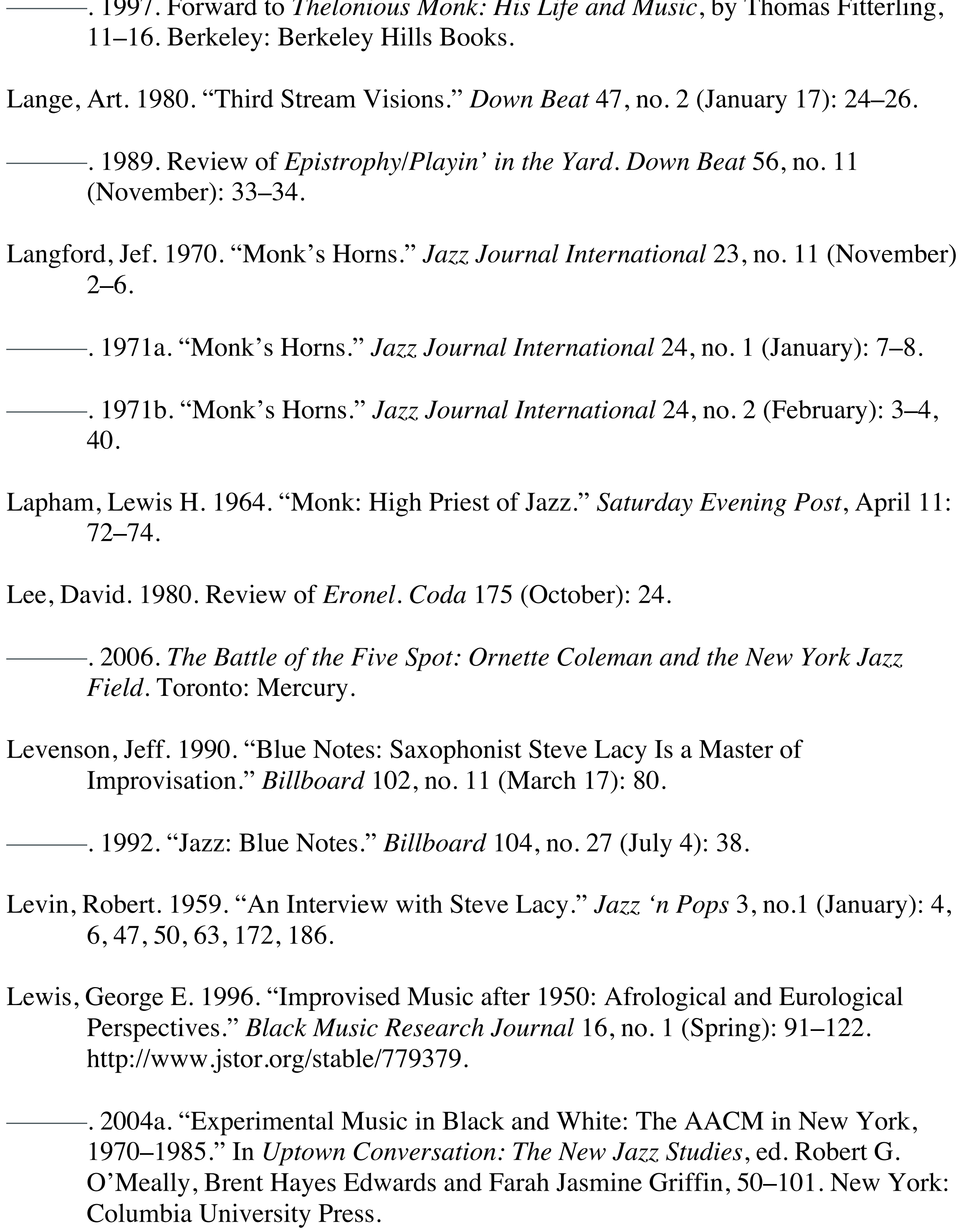

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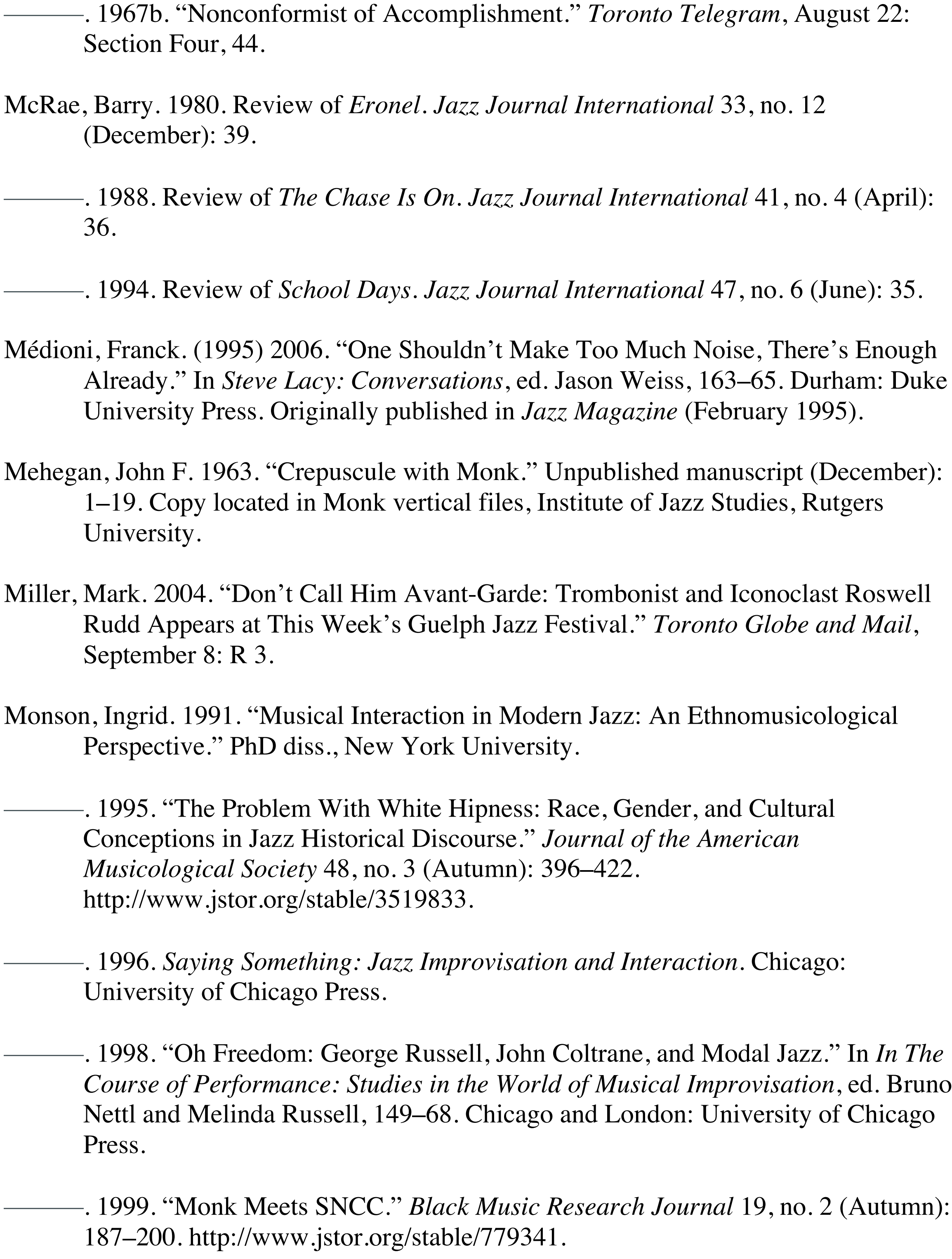

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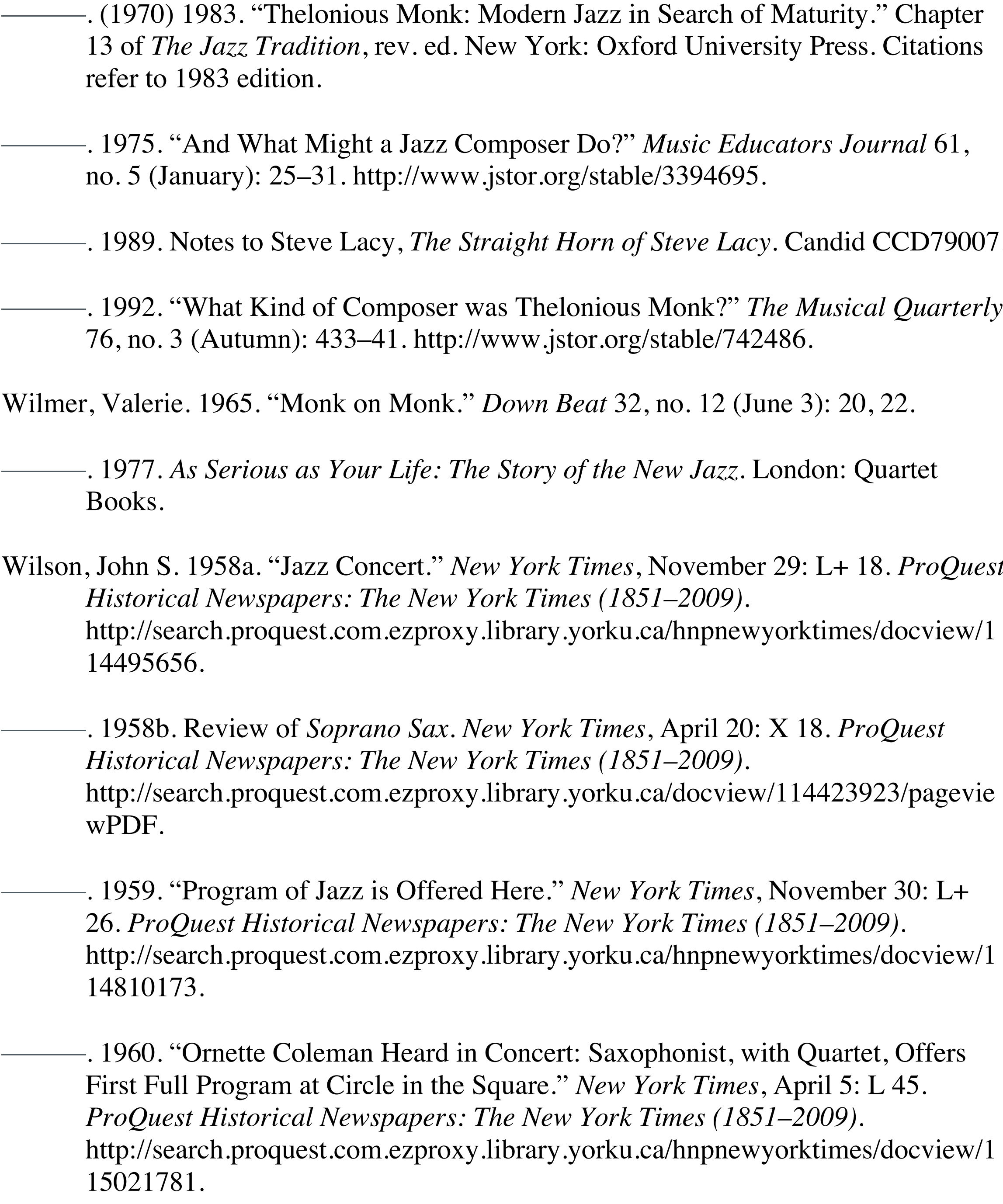

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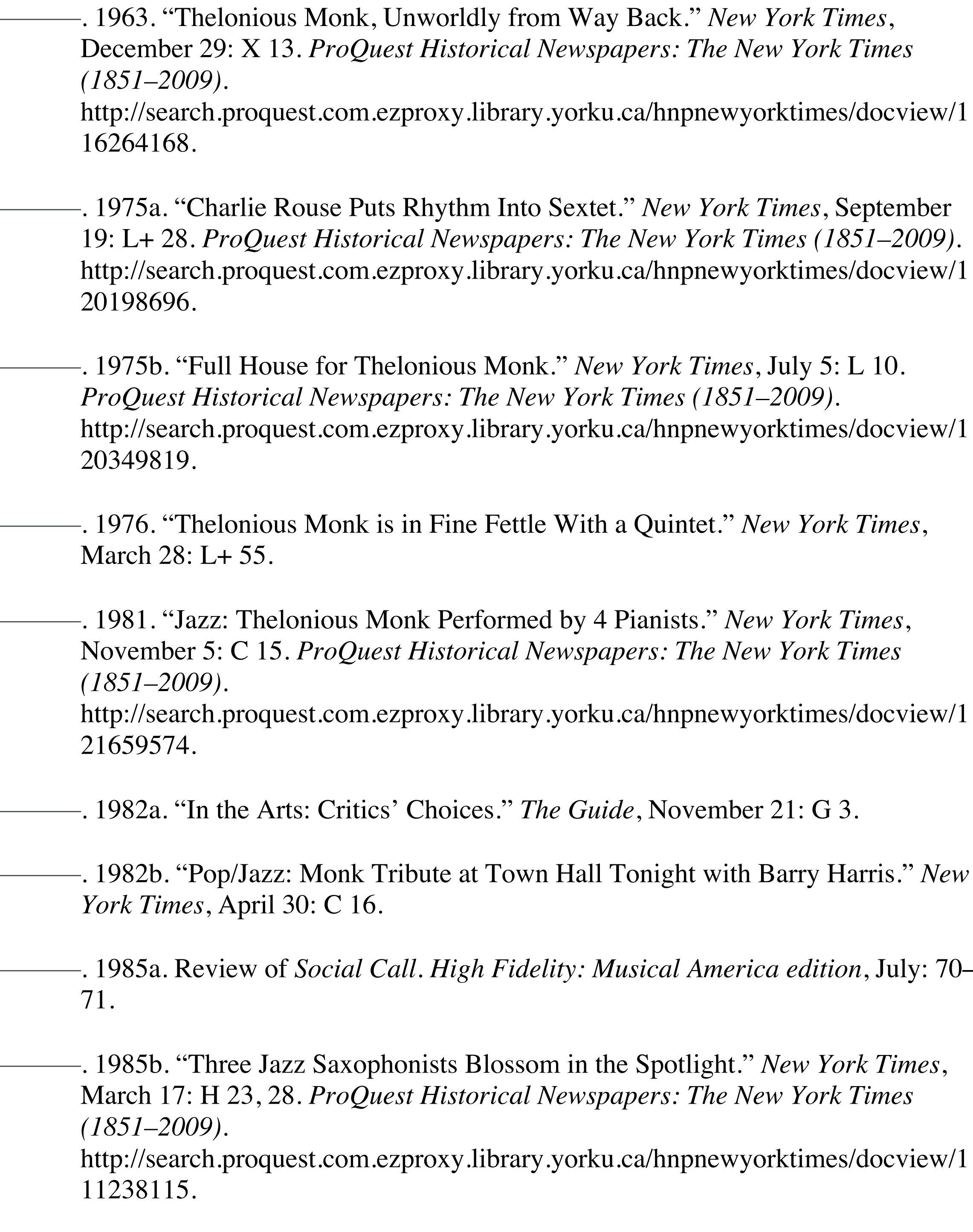

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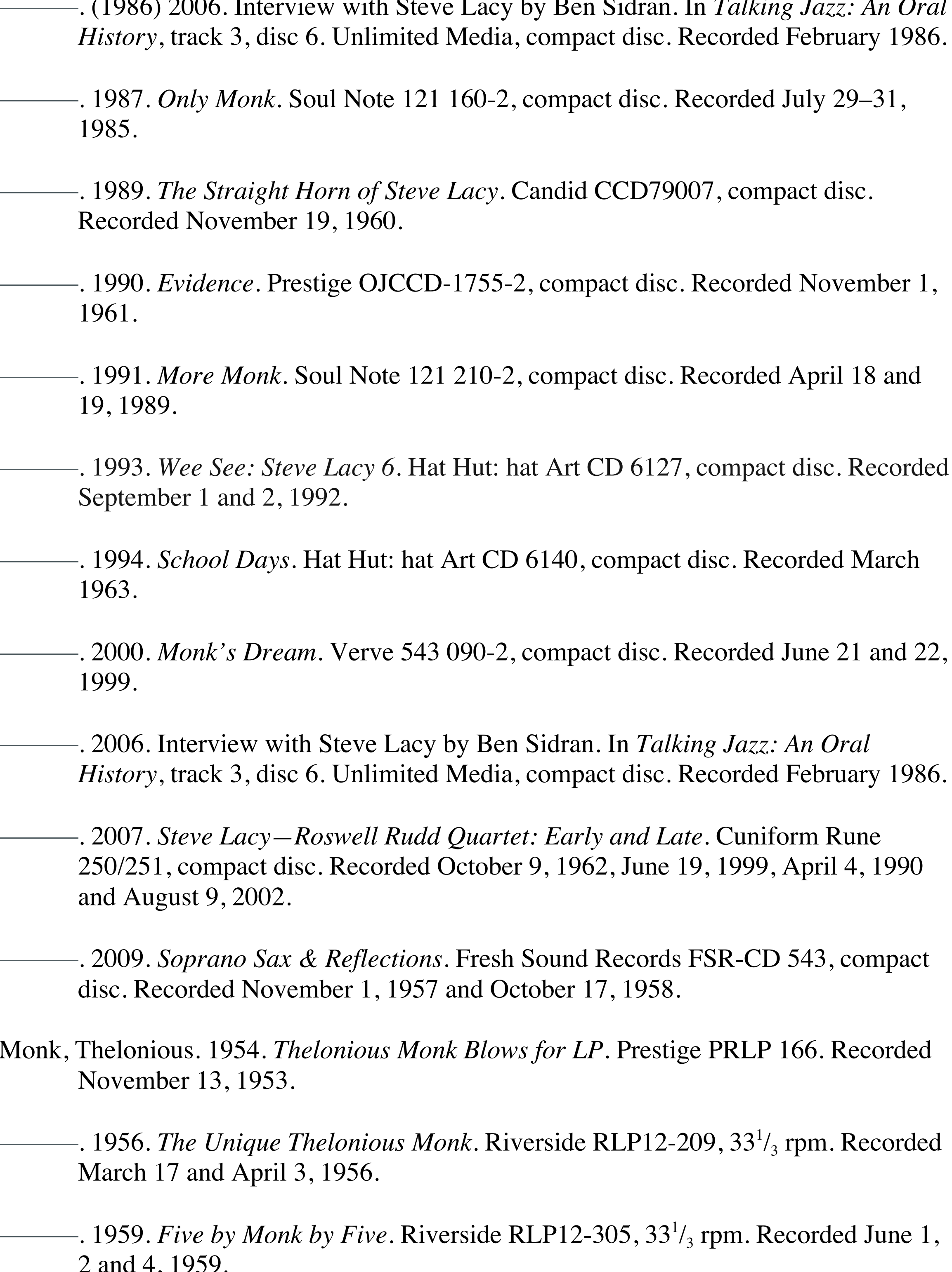

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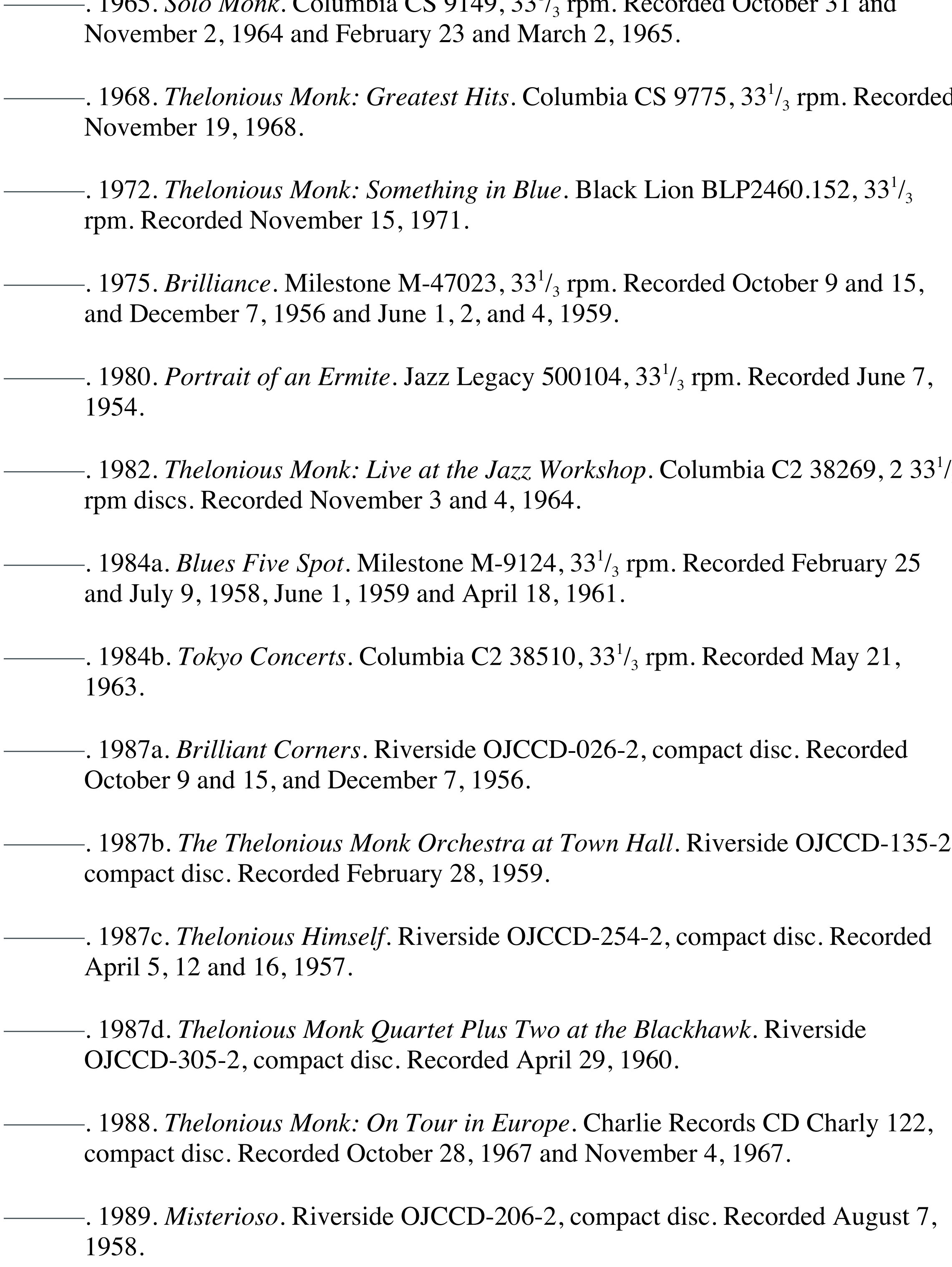

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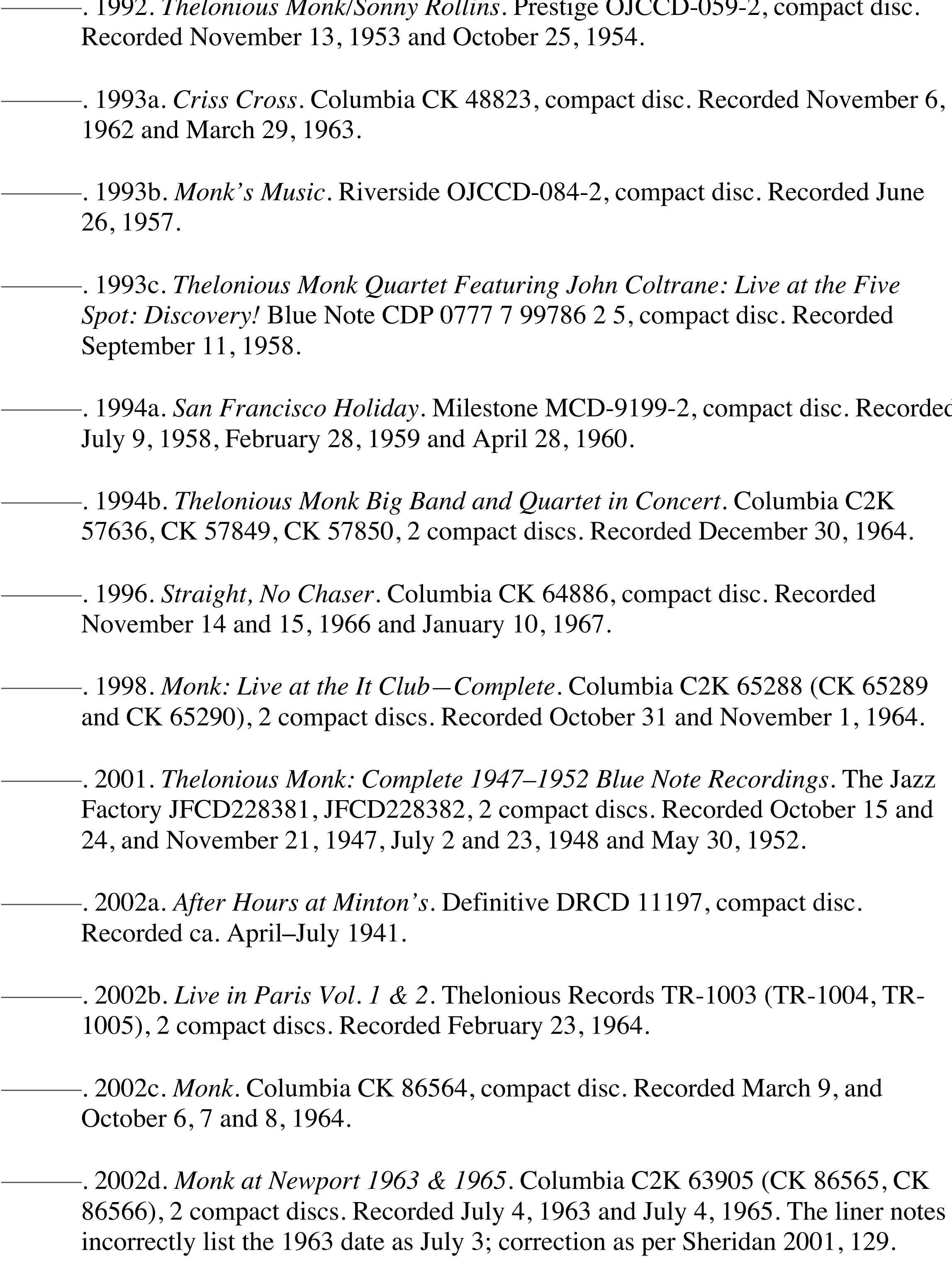

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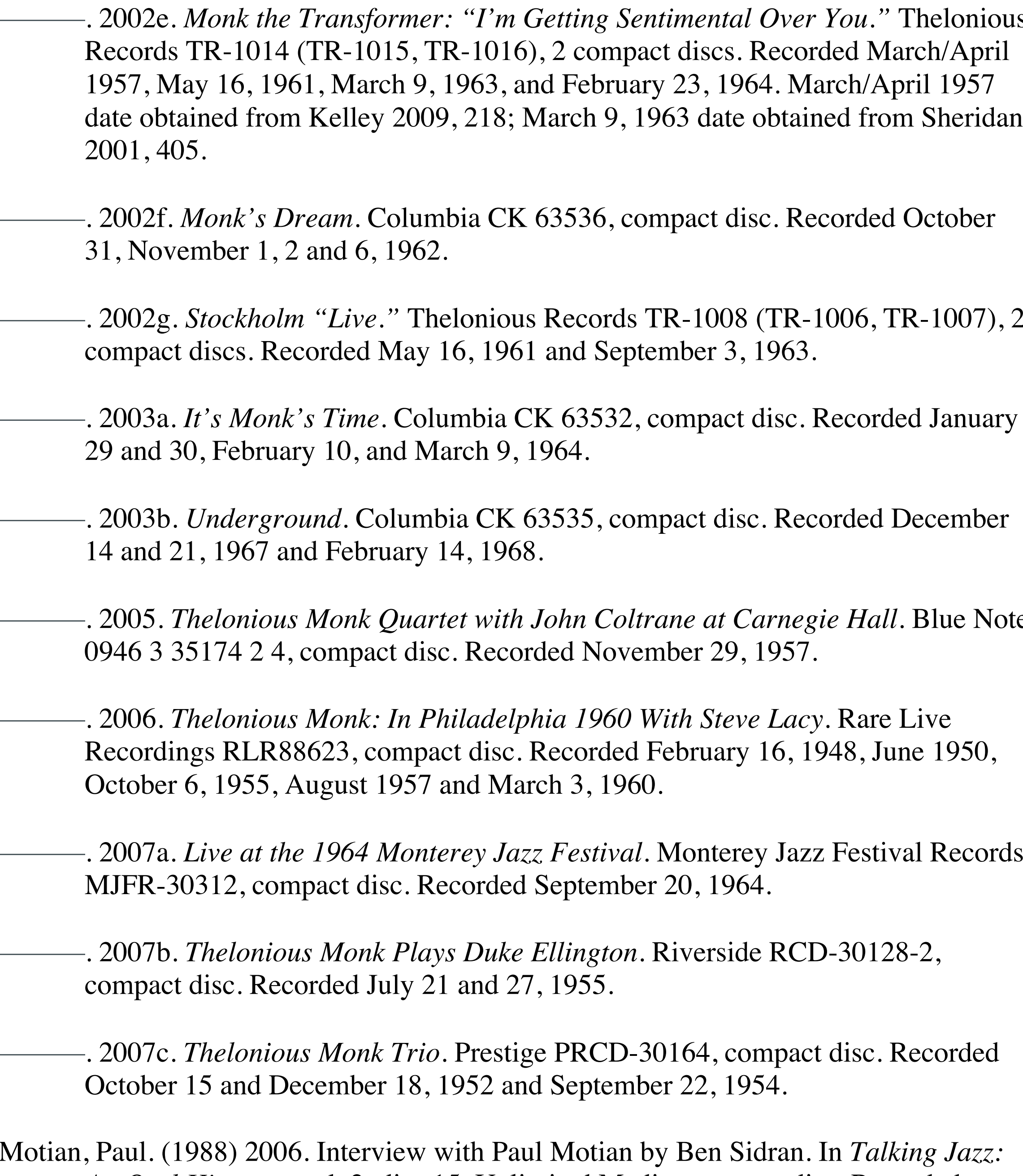

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