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An Exploration of the Origins and Expression of
Implied Harmony in
The Gerry Mulligan Quartet with Chet Baker (1952-1953)

Simon Bartlett

A thesis submitted in partial fulfillment of requirements for the degree of M.Mus.
(Performance)

Sydney Conservatorium of Music
University of Sydney
2015
I, Simon Bartlett, declare that the research presented here is my own original work and has not been submitted to any other institution for the award of a degree.

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Date:......30/06/2015.................................................................
Abstract

This research thesis examines the role of implied harmony in the repertoire of the Gerry Mulligan Quartet with Chet Baker, focusing on their initial period (1952-1953).

The significance of the Gerry Mulligan Quartet (GMQ) in the history of jazz (particularly West Coast ‘Cool’ jazz) will be explored, with particular reference to its departure from contemporaneous small jazz ensemble practices, and the influence it had on subsequent ensembles. A definition of implied harmony is then put forward, along with historical examples.

The thesis covers some of the musical experiences that led Mulligan to form a ‘pianoless’ quartet; followed by the personal and professional circumstances in which it was formed; its success; and finally its disbandment.

The process used by Mulligan in creating the arrangements is then discussed based on several examples of the various arranging techniques through which the implied harmony is present. The examples are transcriptions prepared by the researcher from live recordings of the GMQ. Finally, the importance of the choice of repertoire, and its relationship with the audience’s pre-existing knowledge to the communication of these implied harmonies is examined.
# Table of Contents

Statement of Originality ........................................................................................................... ii

Abstract ..................................................................................................................................... iv

Table of Contents ....................................................................................................................... v

List of Figures ............................................................................................................................. vii

Chapter 1. Introduction ............................................................................................................ 1

Chapter 2. Implied Harmony — A Definition ........................................................................ 4

Chapter 3. The Significance of the Gerry Mulligan Quartet ..................................................... 9
  
  Departure from Contemporary Bands .................................................................................... 9
  
  Fame and Success of the Gerry Mulligan Quartet ................................................................ 11
  
  Influence on Subsequent Bands ............................................................................................ 12

Chapter 4. Forming a Pianoless Quartet ............................................................................... 14
  
  Professional Circumstances .................................................................................................. 14
  
  Formation of the Gerry Mulligan Quartet ........................................................................... 17
  
  Success of the Gerry Mulligan Quartet ................................................................................. 18

Chapter 5. Arrangements Used In The Gerry Mulligan Quartet ............................................ 22
  
  The Method by Which the Arrangements Were Made .......................................................... 22
  
  Arranging Techniques Employed, with Musical Examples .................................................. 26
  
  Example 1. “Bernie’s Tune” Exposition of Theme ................................................................. 28
  
  Example 2. “Bernie’s Tune” Group Improvisation Section ................................................... 31
  
  Example 3. “Moonlight In Vermont” Exposition of Theme ................................................. 35
  
  Example 4. “Moonlight in Vermont” Chet Baker Solo .......................................................... 40
  
  Example 5. “I’m Beginning to See the Light” Introduction and Exposition of Theme .......... 43
  
  Example 6. “Lullaby of the Leaves” Exposition of Theme, Initial ‘A’ Sections ................. 46
  
  Example 7. “Lullaby of the Leaves” Double Time Feel ‘A’ Sections ..................................... 49
  
  Example 8. “Carioca” Exposition of Theme ........................................................................ 52
  
  Example 9. “Carioca” Gerry Mulligan Solo ......................................................................... 56
  
  Example 10. “Makin’ Whoopee” Exposition of Theme ....................................................... 59
Example 11. “Aren’t You Glad You’re You” Exposition of Theme .........................63
Example 12. “Aren’t You Glad You’re You” Solos.............................................67
Example 13. “Frenesi” Exposition of Theme..........................................................71
Example 14. “Line for Lyons” Exposition of Theme ............................................74
Example 15. “The Lady is a Tramp” Introduction and Exposition of Theme ..........78
Example 16. “My Funny Valentine” Exposition of Theme ..................................82

Chapter 6. Conclusion ..................................................................................................86

Appendix 1. Discography ..............................................................................................88

Appendix 2. Glossary of Terms ....................................................................................90

References ..................................................................................................................92
# List of Figures

<table>
<thead>
<tr>
<th>No.</th>
<th>Figure Title</th>
<th>Page Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Prelude to 1st Suite for Cello, (BWV 1007) J. S. Bach — Opening</td>
<td>6</td>
</tr>
<tr>
<td>2</td>
<td>Prelude to 1st Suite for Cello, (BWV 1007) J. S. Bach — Simplification of Opening</td>
<td>6</td>
</tr>
<tr>
<td>3</td>
<td>Album Cover — <em>Gerry Mulligan Quartet</em> (Pacific Jazz PLJP-1) 1952</td>
<td>11</td>
</tr>
<tr>
<td>4</td>
<td>Gerry Mulligan with the Miles Davis Nonet</td>
<td>15</td>
</tr>
<tr>
<td>5</td>
<td>Tour Poster — The Gerry Mulligan Quartet circa 1952/53</td>
<td>19</td>
</tr>
<tr>
<td>6</td>
<td>“Love Me or Leave Me” — Introduction</td>
<td>25</td>
</tr>
<tr>
<td>7</td>
<td>“Love Me or Leave Me” — Alternate Take</td>
<td>26</td>
</tr>
<tr>
<td>8</td>
<td>“Bernie’s Tune” — Exposition of Theme</td>
<td>29</td>
</tr>
<tr>
<td>9</td>
<td>“Bernie’s Tune” — Group Improvisation Section</td>
<td>32</td>
</tr>
<tr>
<td>10</td>
<td>“Moonlight in Vermont” — Exposition of Theme</td>
<td>36</td>
</tr>
<tr>
<td>11</td>
<td>“Moonlight in Vermont” — Chet Baker Solo</td>
<td>41</td>
</tr>
<tr>
<td>12</td>
<td>“I’m Beginning to See the Light” — Introduction and Exposition of Theme</td>
<td>44</td>
</tr>
<tr>
<td>13</td>
<td>“Lullaby of the Leaves” — Exposition of Theme</td>
<td>47</td>
</tr>
<tr>
<td>14</td>
<td>“Lullaby of the Leaves” — Double Time Section</td>
<td>50</td>
</tr>
<tr>
<td>15</td>
<td>“Carioca” — Exposition of Theme</td>
<td>53</td>
</tr>
<tr>
<td>16</td>
<td>“Carioca” — Gerry Mulligan Solo</td>
<td>57</td>
</tr>
<tr>
<td>17</td>
<td>“Makin’ Whoopee” — Exposition of Theme</td>
<td>60</td>
</tr>
<tr>
<td>18</td>
<td>“Aren’t You Glad You’re You” — Exposition of Theme</td>
<td>64</td>
</tr>
<tr>
<td>19</td>
<td>“Aren’t You Glad You’re You” — Solos</td>
<td>68</td>
</tr>
<tr>
<td>20</td>
<td>“Frenesi” — Exposition of Theme</td>
<td>72</td>
</tr>
<tr>
<td>21</td>
<td>“Line for Lyons” — Exposition of Theme</td>
<td>75</td>
</tr>
<tr>
<td>22</td>
<td>“The Lady is a Tramp” — Introduction and Exposition of Theme</td>
<td>79</td>
</tr>
<tr>
<td>23</td>
<td>“My Funny Valentine” — Exposition of Theme</td>
<td>83</td>
</tr>
</tbody>
</table>
Chapter 1. Introduction

The Gerry Mulligan Quartet (GMQ) was a four-piece jazz ensemble assembled by baritone saxophonist and arranger Gerry Mulligan. The quartet existed for a period of just over a year, from June 1952 to December 1953. In the scope of this thesis the term ‘original’ refers specifically to the period during which Chet Baker was a full time member, and excludes stand-alone recordings and performances, such as Reunion with Chet Baker, and Carnegie Hall Concert.

Led by Gerry Mulligan (baritone saxophone), the band’s other personnel consisted of Chet Baker (trumpet), Bob Whitlock (double bass), and Chico Hamilton (drums). This instrumentation, a combination unheard of at the time, was mainly a result of a long-held desire (since at least 1950) of Mulligan to have a small ensemble without piano, and partly the result of rehearsal and performance circumstances where there was the difficulty in having access to a piano. As a result of the lack of a chordal instrument, alternative ways of expressing the harmony were used. As a “pianoless” quartet the GMQ implied the harmony using a number of different techniques, and by using a combination of homophonic, and polyphonic devices; these will be discussed in more detail in the following chapters.

This research thesis examines the role of implied harmony in the repertoire of the Gerry Mulligan Quartet with Chet Baker, focusing on their initial period (1952-1953). Other academic studies have been made of the GMQ and its arranging techniques, the role of Chet Baker in the GMQ, and the arrangements of the GMQ.

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1 GMQ will be used in this thesis as the abbreviation for The Gerry Mulligan Quartet.
2 A discography of all recorded works referred to in this thesis is presented in Appendix 1. The discography also includes alternate versions of tracks not released until 1983 on: The Complete Pacific Jazz and Capitol Recordings of The Original Gerry Mulligan Quartet and Tentette with Chet Baker. Mosaic Records, (MR5-102), 1983.
as part of a study of Mulligan’s early arranging style. All three works acknowledged the importance of counterpoint in the music of the quartet, whether by arrangement or through improvisation. The mixture of different textures was also explored.

This study looks specifically at the melodic lines, using transcription of a sample of works. It then looks at each individual note as played by the bass, baritone saxophone, and trumpet, and how their relationship to the underlying chords allows the harmony to be implied; i.e. it determines whether each note is a chordal one, and if not, what kind of non-chord tone it is.

In this thesis, I shall firstly put forth a definition of implied harmony, including references to the academic work of Catherine Schmidt-Jones, and Schubert and Stevens.

Following this, the reasons why the GMQ is to be regarded as a significant ensemble in jazz will be presented, including their groundbreaking lineup, and the variety of arranging techniques used by the group, along with the fame of the group.

The influences (both musical and personal) that led to the formation of the GMQ will be explored. This will be followed by a detailed discussion of the method by which the band’s arrangements were made, along with a list of the different arranging techniques that were used. Transcriptions with analyses will be presented, demonstrating the relationship of the pitches used by baritone saxophone, trumpet and double bass to the underlying implied harmony.

In the first instance I conducted a survey of all commercially released recordings made by the GMQ in 1952 and 1953; in addition I also sourced alternate takes not included on the finished records. From this survey I listed the various arranging techniques used. My chosen methodology for determining what recordings to analyse was that an implied harmony technique had to be employed on at least two separate recordings of different tunes for it to be included. When an example met the research

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criteria I then transcribed the trumpet, baritone saxophone, and double bass parts, (omitting the drums) as it is these pitches that define the implied harmony.⁸

With the transcriptions completed I then analysed the harmony, also referencing my discoveries against two sheet music sources. In the case of the jazz ‘standards’, I used The Real Book, published by Hal Leonard.⁹ In the case of the compositions made by Mulligan, I consulted Sketch-Orks.¹⁰ In some cases, such as during the analysis of “The Lady is a Tramp”, I found small differences in the chords written in The Real Book, as opposed to the transcriptions, however the harmonic function of the chord progression (defining key areas), were the same. Once I had written the chords onto the transcription, I analysed each of the three melodic lines. My analysis is in terms of how each note relates to the harmony: whether a chordal note or a passing tone of some kind.

In all there are 16 transcribed examples, they vary in length between 8 and 64 bars, depending on the technique (or techniques) that are demonstrated. Each annotated transcription is preceded by a written analysis which serve to describe the process by which the GMQ were able to imply harmony as a pianoless quartet.

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⁸ The transcriptions were made using the music notation software Sibelius (Version 6).
Chapter 2. Implied Harmony — A Definition

Although the term ‘implied harmony’ is often used in musical literature, it is difficult to find a pre–existing definition—it is as if the meaning of the term is itself implied. When conducting research for this thesis, I did not come across a discrete term for ‘implied harmony’ in any key reference works.\(^1\) As a result, one needs to look at the individual words, and synthesize a meaning. According to the *Oxford English Dictionary*, ‘implied’ is defined as follows: “Contained or stated by implication; involved in what is expressed; necessarily intended though not expressed”\(^2\).

If we then look at *Grove Music Online*, and search for a definition of ‘harmony’, we gain the following insight:

The combining of notes simultaneously, to produce chords, and successively, to produce chord progressions. The term is used descriptively to denote notes and chords so combined, and also prescriptively to denote a system of structural principles governing their combination. In the latter sense, harmony has its own body of theoretical literature.\(^3\)

It should be remembered that the above definition of harmony is a *contemporary* one. If one looks further back in history, to the Ancient Greeks, the term harmony “signified the combining or juxtaposing of disparate or contrasted elements—a higher and a lower note”.\(^4\) The definition of harmony has changed as music itself has developed. Combining the meaning of these two words, the phrase *implied harmony* refers to the means by which a chord or chord progression is suggested to the listener through melody or, in the case of the GMQ, a combination of musical notes. These

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could be written in either homophonic or polyphonic fashion. Catherine Schmidt-Jones, author of “Harmony”, writes:

A melody all by itself (monophony) can have an implied harmony, even if no other notes are sounding at the same time. In other words, the melody can be constructed so that it strongly suggests a harmony that could accompany it. For example, when you sing a melody by itself, you may be able to "hear" in your mind the chords that usually go with it. A Bach unaccompanied cello suite also has strongly implied harmonies; if someone really wanted to play an accompaniment, the appropriate chords could be found pretty easily.\footnote{Schubert and Stevens, in their work “The Effect of Implied Harmony, Contour and Musical Expertise on Judgments of Similarity of Familiar Melodies” state that “Implied harmony is a complex concept because it does not provide unique solutions for harmonic expectations . . . several different harmonies can sometimes be used to make the same melody sound good or pleasing”.}

It is important to recognize that the success of these implications relies heavily on the audience’s ability to read the aural cues and construct the harmony internally, even if they don’t understand the process. The writing must be within the conventions of western music, in order that western harmonic progressions can be suggested.

The adjective ‘implied’ is derived from the verb ‘imply’. As a verb, this word requires a subject (the entity making the implication), an object (the entity which is being implied), and an indirect object (the entity to which the harmony is implied). In the case of implied harmony, the performer (whether one person, or a group) is making the implication of the harmony, and the audience is interpreting that implication. The process of implying harmony depends entirely on the performer and

\footnote{Schubert and Stevens, in their work “The Effect of Implied Harmony, Contour and Musical Expertise on Judgments of Similarity of Familiar Melodies” state that “Implied harmony is a complex concept because it does not provide unique solutions for harmonic expectations . . . several different harmonies can sometimes be used to make the same melody sound good or pleasing”.}

the listener having a shared background in music. In this way, the audience has a log of musical / aural references similar to the player on which to draw.

For example, in the case of drawing a harmonic reference from a solo line, when listening to the prelude to J. S. Bach’s Suite No. 1 for solo cello, we hear a series of notes (Figure 1)

Prelude from Cello Suite No.1 BWV 1007
Opening

Figure 1: Prelude to 1st Suite for Cello, (BWV 1007) J. S. Bach, Opening.

When a person has a pre-existing expectation of harmonic progressions, they can hear the harmony go from the place of rest (tonic), through a preparatory chord (IV), dominant chord (V7), then back to rest at the tonic. Taking the chordal notes out of the melody and stacking them, we see:

Prelude from Cello Suite No.1 BWV 1007
Simplification of Opening

Figure 2: Prelude to 1st Suite for Cello, (BWV 1007) J. S. Bach, Simplification of Opening.

In the GMQ, the melody (whether composed or improvised) is accompanied by the double bass. In most cases it is also accompanied by a third melodic line. As a result, the ensemble is able to imply more complex chords, with extensions such as 6ths, 7ths, and 9ths being expressed. Once again, the successful communication of the harmony relies both on the notes being played, combined with the listeners’ experience of similar harmonies.
It is not surprising, then, that many of the tunes performed by the group were the songs of ‘Tin Pan Alley’, a group of publishers and songwriters who were predominant in the popular music of the United States during the late nineteenth century, and the first half of the twentieth century. These melodies were often from the scores of works of musical theatre. They were also the staple repertoire for the popular singers of the time. This means that audiences were predisposed to inferring the harmonies of well-known melodies.

A significant factor in the success of the GMQ, both commercially and artistically, was its ability to meet the audience on common ground, so to speak. The word ‘implied’ is a verb, and therefore must have a subject (the band), an object (the harmony), and an indirect object (the audience). If the audience does not pick up the harmonic implications, then the aim of the exercise is lost.

With this in mind, it is worth noting that the melodies used reflect the chords underneath, as demonstrated in the analyses. Some might even say that the harmony (as described by Schoenberg in his work *Theory of Harmony*) is derived from the voice-leading of the melody and the bass.

The ability to ‘hear’ the harmony of a musical work is one that people learn at an early age. In their work “Musical Enculturation in Preschool Children: Acquisition of Key and Harmonic Knowledge”, Corrigal and Trainor state that:

> Even adults without formal music training have implicit musical knowledge that they have acquired through day-to-day exposure to the music of their culture. Two of the more sophisticated musical abilities to develop in childhood are knowledge of key membership (which notes belong in a key) and harmony (chords and chord progressions).

In Deborah Sheldon’s work "Effects of Multiple Listenings on Error-Detection Acuity in Multivoice, Multitimbral Musical Examples", her research reveals that the

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audience (whether musically educated or not) listens primarily to a familiar melody, and assesses the accuracy of the performance on the first listening. It is much easier to sense the implication of something known rather than unknown. To use a non-musical analogy: A hexagonal ‘stop’ sign is so much part of our visual vernacular that to see an identical sign without the word ‘stop’ will still generate the same reaction from a motorist. This is why the choice of ‘standards’ and popular repertoire was such an important factor in the success of the band. Performing arrangements of well-known songs of the era, the tunes and their respective harmonic progressions were certainly familiar to the members of the listening public.

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Chapter 3. The Significance of the Gerry Mulligan Quartet

Departure from Contemporary Bands

The instrumentation of the GMQ was different to any other jazz band at the time. A cursory review of jazz recordings in the late forties and early fifties (especially small groups with four to six players) reveals that it was common practice to have a rhythm section' of piano, bass, and drums, with two or three wind instruments in the frontline, such as trumpet and alto or tenor saxophone.

In contrast to this, the GMQ rhythm section consisted of only double bass and drums. The band has since been referred to as a ‘pianoless’ quartet in academic, reference, and biographical works—so great was the departure from the normal conventions of instrumentation.\(^1\) The use of baritone saxophone in the frontline, as opposed to tenor or alto saxophone, was also a departure from the standard instrumentation. Baritone saxophone was usually at the time heard as the lowest voice in the saxophone section of a big band—with the GMQ it was now playing melodies in a small group.

The techniques used in the musical arrangements of the GMQ were also different from the conventional jazz group arrangements. At the time of the GMQs creation the standard form of small jazz ensembles was for the frontline to play the melody in unison, accompanied by a rhythm section of piano, bass, and drums. The frontline instruments would take it in turns to play an improvised solo, accompanied by the rhythm section. The piano would then play a solo, accompanied by the bass and

\(^1\) The term ‘rhythm section’ refers to instruments that would traditionally play the accompaniment to the melody.


\(^3\) The term ‘frontline’ is used in jazz to describe melodic instruments that play the melody.
drums. Only the drums, using high hat cymbal on the 2nd and 4th beats of the bar, would accompany the bass solo, and the drums would solo without accompaniment. After all of the solos, a recapitulation of the opening theme would be made in the same way as the exposition.

In the case of the GMQ, the presentation of the melody was not limited to the trumpet and baritone saxophone playing in unison. A number of different arranging techniques were used, some homophonic, others polyphonic. These included:

**Voiced Harmony**: where the trumpet, baritone saxophone (and on occasion, bass) would play in parallel harmony, similar to the writing for a big band section [homophonic].

**Chorale Style**: where the melodic voices would be in a mix of parallel, contrary and skewed motion [homophonic].

**Counterpoint**: where one instrument would play the melody, and the other would play an interweaving countermelody. This texture was also occasionally attained by the trumpet and baritone saxophone participating in group improvisation [polyphonic].

**Call and Response**: where the tune would be echoed by a complimentary melody [polyphonic].

**Guide Tones**: where one instrument would play essential harmony notes behind the tune. A range of these techniques could (and often would) be employed in the rendition of one 32 bar melody [polyphonic].

Regardless of which arranging techniques were used, the use of repetition of those techniques is one of the tools used by Mulligan. Whichever way the ‘A’ section of a piece was arranged, this would be identical for each ‘A’ section. The methods used in the expository performance of the theme or ‘head’, would also be used in a close to identical manner in the closing performance.

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\(^4\) In some cases different techniques would be used within a one eight-bar phrase.
In addition, solos were accompanied by a variety of the other players. The end result was a small ensemble that sounded harmonically complete. Unlike other small jazz groups (where the bass player would improvise a walking bass line), the bass lines were strictly determined in advance by Mulligan, consisting predominantly of root notes and fifths. This served to consolidate the chord progression structure necessary for the harmony to be successfully implied.

**Fame and Success of the Gerry Mulligan Quartet**

Over the short period during which Baker and Mulligan played together, the band became famous, certainly for a jazz group. After only five performances at The Haig, in Hollywood, the manager, Dick Bock, was so impressed that he organized a recording session and financed the release of a 78rpm record of “Bernie’s Tune”, and “Lullaby of the Leaves”.

![Figure 3: Album Cover, Gerry Mulligan Quartet (Pacific Jazz PLJP-1) 1952.](image)

When the GMQ became the main attraction shortly afterwards, working six nights a week, the tiny club was extremely well attended. The fact that Baker was so

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6 See Appendix 1 for discography of all recorded works cited.
photogenic, and was recognized by photographer William Caxton as such, meant that the images appearing on the records sleeves “turned heads”.

They were even featured in *Time* magazine, in the February 2, 1953 issue, where it was reported that the GMQ were “drawing the biggest crowds in the club's history”, and that the sound of the quartet was “just about unique”. In the same year, Mulligan and Baker were winners of their respective instrument sections in the annual *Down Beat* Readers Polls.

Ted Gioia, author of *West Coast Jazz: Modern Jazz in California 1945-1960*, argues that the contrapuntal, chamber music approach was a major contributor to the GMQs appeal. At the time jazz was declining as the popular music of the United States, and was evolving into art music. Audiences were becoming more sophisticated, hence resembling a classical music audience. The attitude of Mulligan reinforced this new approach to listening to jazz—he expected the audience to sit quietly and listen to the music that he was writing and performing.

**Influence on Subsequent Bands**

The completion of the quartet’s first album in late 1952 signaled the arrival of what subsequently became known as ‘West Coast jazz’. This style of jazz was usually softer and more lyrical than bebop, and used slower tempos. The tunes were predominantly in popular song form (32 bars, with an AABA structure).

As a result of the GMQ, the concept of a pianoless jazz group, (or in fact a jazz group without any chordal instrument) has become accepted as a valid alternative.

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11 Listening to live recordings made at the time indicates that this in fact is what the audience did—they listened quietly, making a minimum of noise. For an account from the time see: "Mulligan in Stew: Tries to Hush Noisy Patrons." *Down Beat*. (20 May 1953). p. 4.
The GMQ suggested a new possibility to young, up-and-coming musicians. In fact, for some progressive bands, such as the ensembles of Ornette Coleman, the absence of chordal instruments enabled the exploration of a style of soloing based far less on standard harmonies. For these players, harmonic constraints had once again devolved into pure melody, and as suggested by Ted Gioia:

Today the omission of a harmony instrument does not sound unusual, and other virtues of this group are more salient: its effective use of counterpoint, its understated rhythm section, its melodic clarity, and its willingness to take chances. Not since the days of New Orleans ensemble playing had the individual members of a small combo been so willing to merge their personal sounds into a cohesive whole. These characteristics, rightly or wrongly, became viewed by the Jazz Public as trademarks of West Coast Jazz.12

The effect on piano players, and their role in a jazz band also did not go unnoticed. In Raymond Horricks’ biography of Mulligan *Gerry Mulligan's Ark*, he states:

Far from causing a mass redundancy of pianists, the Gerry Mulligan Quartet brought a new awareness that harmonic responsibility could always be shifted. Which in turn brought more freedom of action to those pianists who remained in groups. (Especially Bill Evans in the Miles Davis Sextet).13

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Chapter 4. Forming a Pianoless Quartet

Professional Circumstances

From the very start of his musical career, Mulligan was not only a reeds player (starting on clarinet), but also an arranger and bandleader. As early as 14, he had organized a big band in the High School that he attended in Philadelphia, and was writing arrangements for them. His first professional arranging jobs were at the age of 16, when he started selling arrangements to Johnny Warrington, leader of the local radio station’s house band.

He dropped out of school in his senior year to work as an arranger for Tommy Tucker’s Big Band, where he was contracted to write three ballads and two dance tunes a week. The band was commercially successful, but was regarded by critics as a “Mickey Mouse” band, and not being of any great musical worth. Of his time in the band, Mulligan said to Ira Gitler: “My charts kept getting wilder and wilder. So I wrote myself right out of a job [laugh]”.  

Mulligan moved to New York in January of 1946, joining the arranging staff of Gene Krupa. At the time, Krupa’s band was reflecting the emerging bebop trends. Whilst there he also met Gil Evans, and joined him on the arranging staff of Claude Thornhill’s band, another big band with modernist leanings. In this case, it was the instrumentation that was different. Here was a dance band that also used double reed instruments, harp, French horn, and tuba. Eventually he moved into Gil Evans’ apartment, which at the time was a hangout for musicians looking to create a new ‘cool’ style of jazz.

3 The tuba was not used as a ‘brass bass’, as one might find in an older style dance band, but as ‘soft brass’, to augment the trombone section.
In 1948, Mulligan became involved with the seminal *Birth of the Cool* project, featuring trumpet player Miles Davis. He played baritone saxophone in the nonet, and also provided arrangements, alongside Gil Evans and pianist John Lewis. Over a two-year period, the Miles Davis Nonet recorded a series of singles, and performed for a fortnight as the support band for the Count Basie Orchestra. Musically, the aim of the nonet’s arrangers (Mulligan; Evans; and Lewis) was to emulate the sound of Claude Thornhill’s eighteen-piece band, but using an ensemble half its size. Although critically a success, as a live entity the nonet did not gain a commercial foothold on the scene, and eventually folded.

![Figure 4: Gerry Mulligan [front right] with the Miles Davis Nonet, Capitol Records Recording Session, 21 January 1949 (The Frank Driggs Collection).](image)

It was during this time that Mulligan began to form a definite opinion regarding the piano, and its place in the contemporary jazz ensemble. He felt that using great musicians such as his contemporary in New York, pianist George Wallington, to simply play chords was a waste of talent. He said: “To have an instrument with the tremendous capabilities of the piano reduced to the role of crutch for the horn solo was unthinkable”.

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4 Over the following decade, a series of compilation records were released, the best known of which was *Birth of The Cool*, released by Capitol Records in 1957. In the ensuing time, this has become a classic. Mulligan’s role in the project is detailed in: Henry Martin, and Keith Waters. *Jazz: The First 100 Years*. Boston: Cengage Learning, 2011. pp. 229-230.


Having already experimented with aiming to produce the timbre of a big band, whilst using a band with far fewer players, Mulligan was now interested in forming a pianoless quartet, a project that he attempted whilst still living in New York early in 1952. According to bass player, Peter Ind:

> It began at Nola’s Studios, now a big modern complex, but then a grotty, run-down place where musicians could rehearse for one, maybe two dollars an hour. And Gerry began to work there without a piano. I often played bass with him there on those occasions. Sometimes there’d be Al Levitt from the Tristano setup on drums. Together with a variety of trumpet players—Don Ferrara, Don Joseph, Jerry Lloyd... The concept showed a lot of promise and Gerry had started writing a bunch of new themes. But when he tried to sell the idea to bookers and New York recording companies they just didn’t want to know. I think that was what finished him about the East (Coast).\(^7\)

It was partly because of his dire financial situation (by this stage he had pawned his baritone saxophone), and also the fact that he could not secure bookings, that Mulligan made the cross-country journey to Los Angeles. Once he arrived, Mulligan started playing weekends at The Lighthouse, situated on Hermosa Beach, as part of its newly instigated Sunday jam sessions. At this point in time he was playing on a borrowed instrument, for twelve hours each Saturday and Sunday.\(^8\) He was also arranging for Stan Kenton’s Big Band.

Soon afterwards, Mulligan got a Monday night residency at The Haig, in Hollywood. The house piano at The Haig had been moved to the basement, so that headliner Red Norvo (playing there the other six nights with his trio) could fit his vibraphone on the stage. Mulligan declined the opportunity to hire a cheap spinet piano for the Monday nights, telling Dick Bock, the manager, that he could do just as well without one.\(^9\)

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\(^8\) Raymond Horricks. *Gerry Mulligan’s Ark.* London: Apollo, 1986. p. 29

Formation of the Gerry Mulligan Quartet

Mulligan by this stage had realized what he needed in the players that would form his pianoless quartet. He needed a bass player willing to play simple, often specified lines, and a drummer who would play at a volume that would balance with the bass.¹⁰ He also was looking for a trumpet player.

Bass player Bob Whitlock had been moving in the same circles as Chet Baker. The fact that Whitlock saw Mulligan as a hero leads us to how he became a member of the band (through Baker), and also why he suited the role of bass player in this new type of ensemble. Unlike many other bassists, who wanted to play their ‘own’ lines, he was happy to acquiesce to Gerry’s demands as to what should be played and when.¹¹ Despite this, he was soon replaced by Carson Smith, a bass player with the technique that would allow him to play the bass lines set out by Mulligan. Despite his technical proficiency, Smith was fired and hired numerous times. Mulligan would berate him by saying: “You’re just not playing the way I want you to play”.¹²

Chico Hamilton had first played with Mulligan at The Lighthouse. He was an experienced drummer and percussionist, having played with Lena Horne for six years, as well as playing all of the featured percussion in the movie The Road to Bali (Dir: Hal Walker, 1952). Equally adept on sticks or brushes, Hamilton’s mastery in controlling dynamics would prove to be an essential part in what was to be a band that had to play softly enough for an unamplified double bass to be heard. Owing to the job only paying Union award wages ($125 per week), he left to go back on tour with Horne, which at the time was far more profitable financially. He was replaced by Larry Brunker. Of his experience, Brunker said, “You did as you were told. I think it reached the point where I didn’t even have a pair of drumsticks. It was all brushes—that’s all he wanted”.¹³

In contrast to the musically schooled Mulligan, Chet Baker had grown up as an ‘ear’ player, initially picking out notes on the piano, and then the trumpet, to tunes on the radio. As a school band musician, and later as a military musician, he would pretend to play with the band, on its first run-through of a piece, all the time listening to what was going around him. By the second playing of the piece, he would have worked the part out in his head. According to his own testimony, the leaders of the respective bands were none the wiser regarding his limitations with sight reading music. On the strength of his reputation through having worked with Charlie Parker, Chet Baker was accepted by Mulligan to ‘sit in’ on a Monday night session at The Haig. This is where he and Mulligan first began playing together.

**Success of the Gerry Mulligan Quartet**

Performing at first on Monday nights, the GMQ made such an impression on manager Jerry Bock that he was inspired to record them. A frustrated horn player, Bock wanted to start his own label; so with two thousand dollars of his own money, along with a loan of a further two thousand, he founded *Pacific Jazz* records, and released a 78rpm single of “Bernie’s Tune”, and “Lullaby of the Leaves”. This recording got the group a one-week engagement opposite Dave Brubeck at the Black Hawk in San Francisco. During this time, Brubeck’s label *Fantasy* hired them to record four sides. They recorded “Carioca”; two original compositions of Mulligan’s written for local disc jockeys Jimmy Lyons (“Line for Lyons”) and Don Barksdale (“Bark for Barksdale”); and “My Funny Valentine”, a piece which was to become synonymous with Chet Baker.

As their residency progressed, the stature of the band continued to rise. Ralph J. Gleason a music critic for *Down Beat*, said that the quartet’s “fantastic, fugue-ish, funky, swinging and contrapuntal sound” left other musicians only to wonder how it was done. As noted earlier, the GMQ also featured in the 2 February 1953 issue of *Down Beat*. (22 Oct 1952), p. 8.

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Time magazine, with a resulting increase in audience attendance at The Haig.\textsuperscript{18} During this time the GMQ continued to record.\textsuperscript{19}

![Gerry Mulligan Quartet Tour Poster](image)

\textbf{Figure 5}: Tour Poster, The Gerry Mulligan Quartet circa 1952/53.

The fact that the GMQ was fronted by a pair of young, white, collegiate dressed men who played within a narrow dynamic range, and seemed to take a ‘classical’ approach to the music, meant that they became a touchstone for middle white America of the early 1950s. Mulligan’s girlfriend at the time, Jeffie Boyd, put it succinctly: “They were good-looking white musicians. In L.A. white was good. Black, people weren’t sure how to take”.\textsuperscript{20} Theirs was music that you could play at a cocktail party, without interrupting the conversation of guests. The Time article observed that: “In comparison with the frantic extremes of bop, his jazz is rich and even orderly, is marked by an almost Bach-like counterpoint”.\textsuperscript{21}

As a result of the Down Beat and Time magazine coverage, the band became more popular than ever—people queued down the street, and the small club was at capacity every night. The music began to attract a following of celebrities such as


\textsuperscript{19} Refer to the discography in Appendix 1.

\textsuperscript{20} Gavin. 2002. p. 61.

\textsuperscript{21} “Music: Counterpoint Jazz.” Time. (2 Feb 1953).
regular visitors Robert Mitchum, Jane Russell, and Marilyn Monroe. As the band became more successful, tensions arose between Mulligan and Baker. Although the group was known as The Gerry Mulligan Quartet, Baker had his fair share of fans and groupies. He believed that he deserved equal billing, as he had an equal role musically. In turn, Mulligan was frustrated with the laissez-faire attitude Baker took towards playing: he was far more likely to go sailing or swimming than to do any practice. As well as having different approaches to music (the studious approach of Mulligan, as opposed to the instinctive approach of Baker), the two young men were heavily involved in their own drugs of choice. Mulligan was once again addicted to heroin, and Baker was a heavy smoker of marijuana.

Things came to a head when Mulligan’s house was raided, and he confessed to possessing heroin, actually showing the narcotics officers where his drugs were stashed. Baker, who was relatively experienced at dealing with the police, was disgusted at how easily Mulligan confessed to the officers attending the scene. Appearing in court in September of 1953, Mulligan pleaded guilty, and was sentenced to 6 months imprisonment at the Sheriff’s Honor Farm, a low security facility in California.

During Mulligan’s incarceration, Baker began to perform and record as a bandleader in his own right. The combination of his good looks, which had been ably captured by photographer William Caxton, and sweet singing voice, resulted in his profile further rising during Mulligan’s absence. Dick Bock had tried to persuade Baker to record as a soloist before Mulligan’s imprisonment, but Baker was reluctant to take on the responsibilities of the bandleader. The few times that he had taken over the quartet when Mulligan was indisposed, he could not even tell the band what key a tune was in, instead he simply played the first note. Soon after Mulligan’s release from incarceration, he and Baker met in the street. The first thing Baker said to Mulligan was that he’d been thinking it over, and that he needed a raise. Up until

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25 At the time, Baker and his wife Charlaine were also living there.
26 Gavin. 2002. p. 73.
Mulligan’s arrest, the members of the band, despite its success and raised profile, were working for the Musicians’ Union award wage of $125 per week at The Haig. This club, which was merely a converted bungalow, only sat 43 patrons, and held 85 in total, and was therefore limited as to its payroll budget. Mulligan laughed in his face, and turned to walk the other way. The first, phenomenally successful, Gerry Mulligan Quartet was no more.27

Chapter 5. Arrangements Used In The Gerry Mulligan Quartet

The Method by Which the Arrangements Were Made

The best way to understand Mulligan’s artistic reasoning for a pianoless quartet is perhaps best explained by Mulligan himself:

I consider the string bass to be the basis of the group: the foundation on which the soloist builds his line, the main thread around which the two horns weave their contrapuntal interplay. It is possible with two voices to imply the sound of or impart the feeling of any chord or series of chords as Bach shows us so thoroughly and enjoyably in his inventions.

When a piano is used in the group it necessarily plays the dominant role the horns and bass must tune to it as it cannot tune to them, making it the dominant reality. The piano’s accepted function of constantly stating the chords of the progression makes the solo horn a slave to the whims of the piano player. The soloist is forced to adapt his line and alterations made by the pianist in the chords of the progression.

It is obvious the bass does not possess as wide a range of volume and dynamic possibilities as the drums and horns. It is therefore necessary to keep the overall volume in proportion to that of the bass in order to achieve an integrated group sound.1

In analysis the piano should be regarded more as a solo (melodic) instrument than an accompanying (chordal) instrument, we can see that Mulligan was most interested in freeing players to interpret and explore the harmony themselves, rather than having it interpreted for them. Having no piano at all gave them this freedom.

In his autobiography *I Hear America Singing*, Mulligan also explains how the three melodic lines of the group were put together, in order to imply the harmony:

My whole job, because I had left the piano off, was to establish always the sound of the chord progression that was moving through the piece, and to do that with my harmony line in relation to the bass line which always had to be able to state something basic about the way the rhythm line moved. You didn’t have to just play roots of the chords so that you always had the root on the bottom, but you could move through them in such a way that the implication of the chord was always there, so that even though it wasn’t obvious to the ear and it wasn’t spelled out, the impression was there. And that’s what we were doing—giving the impression of the chord progression because of the ways that we were touching on those notes. So we were even doing the same kinds of relationships as far as the counterpoint was concerned; what we were doing was changing the actual function of those lines.²

Although Mulligan was the established arranger in the group, and was known for ‘drilling’ his bass players, Baker was a musician who preferred to learn by ear, rather than reading a part. According to Whitlock, only the originals were written out arrangements.³ The band’s shared understanding of how a standard would be approached was central to making the arrangements sound the way they did, with the contrapuntal texture. Mulligan describes the way in which he and Baker worked together:

I had the most perfect possible foil to work with in Chet Baker. I’ve never yet to this day played with a musician who’s quicker or less afraid to make a mistake than Chet.

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Man, we would sail into some songs as a group . . . we’d never played it before—never discussed it—it’d sound like an arrangement. People would think it was an arrangement: “You must lock it in like that and play it that way always.” Modulations; endings—this is the wild thing. On one hand it’s so simple, making endings; and yet it can be so hard. Because everybody’s trying to avoid the cliché. Chet and I would roar into the cliché with open arms, take it, turn it around, twist it inside out, tie bows on it, and it would come out as just an ideal ending.

And his facility . . . I’ve never been around anybody who had a quicker relationship between his ears and his fingers. He was just uncanny—the kind of real control; it’s as simple as breathing with him.

Chet was kind of a freak talent. He came along: there’s no figuring out where his influences were, where he learned what he knew. It’s something that seldom happens, a talent that comes out in full bloom.  

Mulligan was a driven musician, he saw himself as the Howard Roark of jazz composition, even referring to himself as “Roark” during his time in New York. Mulligan would “spend almost all day every day at home, rehearsing and writing”. Baker, on the other hand, was far more likely to drive inland to the mountains and ski, or swim in the ocean, as opposed to practicing or studying. Mulligan had held the dream of a pianoless quartet since his time in New York—and combined with the fact that he was the member of the band with writing credentials, leads one to the conclusion that he, in the main, was the arranger.

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Having said this, the GMQ was a jazz band, and therefore there must have been some flexibility in these arrangements. One only has to listen to alternative takes of a particular arrangement to reinforce this statement. While the solos naturally change from rendition to rendition, the roles of each instrument (i.e. melody, counter melody or backing figures) remain consistent with each performance of the respective arrangement, Baker, however, is far more likely to change the notes from take to take (whilst performing the same role), whilst Mulligan remained consistent in his various renditions.  

For example, if we compare the following two renditions of the introduction to their arrangement of the Donaldson and Kahn standard “Love Me or Leave Me” (Figures 6; and 7), we see that although Mulligan’s part is consistent over two takes, Baker’s is noticeably different.

Music: Walter Donaldson
Lyrics: Gus Kahn
Record: Pacific Jazz (PJLP-5), recorded 27 April 1953
Alternate: Mosaic (MR5-102)

Love Me or Leave Me - Introduction

Figure 6: “Love Me or Leave Me”, Introduction.

If we also look at the ‘A’ and ‘B’ sections of the individual pieces across their repertoire\(^9\), we find that the three ‘A’ sections are arranged almost identically, which further reinforces the harmonies implied.

**Arranging Techniques Employed, with Musical Examples**

The examples that I have transcribed and analyse in this chapter are all from the studio recordings made in 1952 and 1953. In the transcriptions that I have prepared the drum parts have been omitted, as it is the pitches of the trumpet, baritone saxophone, and bass that define the implied harmony.

There are four types of examples included:

1. Arrangement of the theme, either in the exposition or recapitulation.
2. Group improvisation sections.
3. Trumpet solo, with the baritone saxophone playing backing figures, accompanied by bass and drums.
4. Baritone saxophone solo, accompanied by bass and drums.\(^{10}\)

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\(^9\) The majority of the compositions in the original GMQs repertoire were in the form AABA.

\(^{10}\) It is extremely rare to hear Chet Baker play behind Gerry Mulligan’s solos. It would be reasonable to infer from this fact that he was resting his ‘chops’, or lips, thus preserving his energy for soloing and playing the themes.
The transcriptions are not of complete performances—but rather sections that demonstrate how the techniques mentioned are used. It is unusual for just one technique to be observed in a single example, so the techniques are listed along with the title of the piece and the section wherein they are found. In order to most clearly show the individual parts relationship to the harmony, the scores are in concert pitch—trumpet parts are written in treble clef, baritone saxophone and double bass parts are written in bass clef.

For each example there is a written analysis, followed by an annotated transcription. In the musical examples, the following cogent analysis points are made:

- The chords implied are marked above the bottom stave (i.e. above the double bass stave).
- Chordal notes are marked with chord degree numbers below the note head in each of the respective staves for trumpet, baritone saxophone, and bass. A simple numeral is used for diatonic notes. In the case of raised or lowered tones, the appropriate indicator (flat, sharp, or natural) is included.
- Passing notes are indicated with the letter P below the note.
- Anticipated notes are indicated with the letter A, along with the degree of the chord that it anticipates, below the note.
- Appoggiatura are indicated with the letters AP below the note.
- Auxiliary notes are indicated with the letter X below the note.
- Echappée notes are indicated with the letter E below the note.
- Cambiata notes are indicated with the letter C below the note.
- Repeated notes are each marked with chord degrees below the note heads, unless the note in question is no longer chordal, owing to a change of chords.
Example 1. “Bernie’s Tune” Exposition of Theme

Techniques: Voiced Harmony; Call and Response
Composer: Bernie Miller
Lyrics: Jerry Leiber, and Mike Stoller
Record: Pacific Jazz (601), recorded 16 August 1952

*Bernie’s Tune* was the first piece recorded by the GMQ with Chet Baker.

In this example, the ‘A’ sections are arranged using voiced melody. All three of the melodic instruments play in parallel motion in bars 1, 2, 5, and 6, whilst in bars 3, 4, 7, and 8 the trumpet and baritone saxophone are in close inverted harmony, with a ‘walking’ bass part. Of interest are the notes chosen by Mulligan, using the raised seventh as the starting tone. This technique, whereby the saxophone is in parallel 7ths with the bass in bars 1 and 2, suggests a sense of unrest, which is resolved in bar 3. The chordal (arpeggiated) nature of the tune in the second half of bar 2 is reflected in the baritone saxophone and bass parts. The B♭ 7 chord is spelt out in the walking bass in bars 3 and 4, and the baritone saxophone plays an extra extension to the chord, in this case the 9th. In bar 5, the root, 3rd and 5th are spelt out in the voicing of the three instruments, whilst in bar 6, once again the arpeggiated nature of the melody helps spell out the chord.

The bridge is arranged in call and response style: after the trumpet states the melody in bar 10, the baritone saxophone restates the thematic material in an abbreviated form. Both melody and response use the 1st, 3rd, 5th, and 6th notes of the B♭ scale, implying a B♭ 6 chord. The I - vi - ii - V turnaround in the bass also reinforces the B♭ major tonality of the bridge, as shown in Figure 8.

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11 Walking bass refers to a technique whereby the bass would move in predominantly stepwise motion.
Figure 8: “Bernie’s Tune”, Exposition of Theme.
Example 2. “Bernie’s Tune” Group Improvisation Section

Technique: Counterpoint

The penultimate chorus of “Bernie’s Tune” consists of the trumpet and saxophone improvising at the same time, underpinned by a simple, crotchet-based, and chordally centred bass. The saxophone begins in the anacrusis to bar 2, followed on beat 3 of bar 3 by the trumpet, entering fugue-like, and using similar material, but transposed to the new chord of $B_\flat 7$. Baker is more likely to play non-chordal and/or chromatic notes (such as in bars 12, 14 and 15) than Mulligan, who very seldom plays more than one non-chordal note at a time in this example. A repetitive motive of two quavers followed by two crochets is employed extensively.
Figure 9: “Bernie’s Tune”, Group Improvisation Section.
Example 3. “Moonlight In Vermont” Exposition of Theme

Techniques: Guide Tones; Call and Response
Composer: Karl Suessdorf
Lyrics: John M. Blackburn
Record: *Fantasy* (529), recorded 3 January 1953

In this example the trumpet plays the melody in the ‘A’ sections, while the saxophone plays either guide tones (such as in bars 1 and 3) or a countermelody (bars 2, 4 through 6). Of interest is the use of tritone substitution by the saxophone (spelling out an E7 chord over the implied B♭7) in beat four of bar 5, and the partial spelling of B♭9 as a passing chord in beat 4 of bar 6. Also worthy of note is that each arrangement of the ‘A’ sections is almost identical, save for minor rhythmic differences, and differences in the last beat of each ‘A’ section (bars 6, 12, and 26).

In the bridge, the saxophone plays the melody, accompanied purely by guide tones in the trumpet part. Throughout both sections the bass predominantly plays root notes, occasionally playing the fifth of the chord in question.
Figure 10: “Moonlight in Vermont”, Exposition of Theme.
Example 4. “Moonlight in Vermont” Chet Baker Solo

Technique: Guide Tones

Baker’s solo in the bridge is merely an embellishment of the melody. The bass part is predominantly root notes. Mulligan’s accompaniment is based entirely on guide tones in bars 1, 2, 5, and 6. In these bars the baritone saxophone part alternates between guide tones of the respective chords. This is a departure from what many would regard as the standard practice of playing guide tones as long notes. The effect of the alternating guide tones combined with the simple bass part is that the essential notes of the chord (root 3rd, 7th) are expressed in rapid succession. Mulligan’s part is also sequential—the line that he plays in bars 5 and 6 is the same as that played in bars 1 and 2, but a semitone higher. The countermelody played by Mulligan in bars 3, 4, 7 and 8 is also sequential in nature.

\[\text{Example: Guide Tones}\]

If seen in terms of chord degree notes, as annotated in the example, the sense of replication is better captured.
Figure 11: “Moonlight in Vermont”, Chet Baker Solo.
Example 5. “I’m Beginning to See the Light” Introduction and Exposition of Theme

Techniques: Unison; Chorale Style; Call and Response
Composers: Duke Ellington, Johnny Hodges, and Harry James
Lyrics: Don George,
Record: Pacific Jazz (WP-1207), recorded 29 & 30 April 1953

The introduction of “I’m Beginning to See the Light” consists of an ostinato bass part made up of a two-bar phrase. The phrase is based on the notes used to spell a B♭6 chord, aside from a turn on the 2nd beat of the 2nd bar. It is also very similar to the tune in bars 7 and 8.

This ostinato continues as the trumpet and Baritone saxophone play the theme in unison. The change in chord in bar 8 is defined by the flattening of only one note (D), as the ostinato is repeated. In bars 11 and 12, the frontline is tacet while the bass plays the tune.

In the bridge of the exposition we see the trumpet has the theme, and the baritone saxophone parts alternating between voiced and chorale style harmony i.e. parallel motion in bars 14, 16 and 18, and contrary motion in bars 15, 17, and 19. The spelling of the harmony is made easier by the fact that the tune is arpeggiated in nature. The bass line is strictly chordal throughout the bridge. The melody, as played by the trumpet in bars 20 and 21, is a rhythmic diminution of the original tune. The baritone saxophone plays a canonic variation. Regardless of the textures employed, the writing very closely follows the chords.
I'M BEGINNING TO SEE THE LIGHT
INTRODUCTION AND EXPOSITION OF THEME

DUKE ELLINGTON, DON GEORGE,
HARRY JAMES, JOHNNY HODGES
1944

Trumpet in B♭

Baritone Saxophone

Upright Bass

4

Tpt.

Bar. Sax.

U. Bass

8

Tpt.

Bar. Sax.

U. Bass

7 P 5 3 A6 AS 5 5 5 5 5 5 P 3 5 P 3 1 6 5 1 x 1
Figure 12: “I’m Beginning to See the Light”, Introduction and Exposition of Theme.
Example 6. “Lullaby of the Leaves” Exposition of Theme, Initial ‘A’ Sections

Technique: Countermelody
Composer: Bernice Petkere
Lyrics: Joe Young
Record: *Pacific Jazz* (601), recorded 16 August 1952

In the ‘A’ sections of “Lullaby of the Leaves”, the melody is played by the baritone saxophone over a walking bass, accompanied by the trumpet playing a countermelody. The tonality remains based around C minor and C major. In bar 2, the bass spells out the passing chords Dm7♭5 and G7, whilst the melody remains in the tonality of Cm. Baker’s countermelody only appears in bar 5, helping to reinforce the cadential nature of the G7 to Cm.

In the second rendition of the ‘A’ section (bars 9-16), the melody is identical for the first 5 bars. In the 5th bar (bar 13), the preparatory chord Dm7♭5 is inserted (spelt out by the bass), whilst Baker’s countermelody is based on the G7 chord in the following bar.
Figure 13: “Lullaby of the Leaves”, Exposition of Theme, Initial ‘A’ Sections.
Example 7. “Lullaby of the Leaves” Double Time Feel ‘A’ Sections

Technique: Chorale Style

In this section, the bass plays bars 1 to 4 in a double time feel (in quavers) whilst the trumpet (playing a version of the tune, simplified to a crotchet rhythm) and the baritone saxophone play in chorale style—predominantly in contrary motion. The bass part, mostly contains notes of the chord, whilst the off beats are non-chord notes.

In bars 5 to 8, the bass reverts to a single time feel. In bars 5 and 6 the tonality is G7, the bass spelling out the Dm7♭5 in bar 6 as a passing chord, whilst the saxophone rises chromatically from the 3rd to the 5th G7.

In the first four bars of the 2nd statement of the ‘A’ section, the trumpet and saxophone parts are identical to the first four bars of the initial statement of the ‘A’ section, whilst the bass is different, spelling out an additional passing chord (Dm7♭5) in bar 10. The use of passing chords reinforces the main tonality (Cmi) of the first two bars of the ‘A’ section.
Figure 14: “Lullaby of the Leaves”, Double Time Feel ‘A’ Sections.
Example 8. “Carioca” Exposition of Theme

Techniques: Call and Response; Voiced Harmony
Composer: Vincent Youmans
Lyrics: Edward Eliscu, and Gus Kahn
Record: Fantasy (522), recorded 2 September 1952

“Carioca” has a different form to any of the other tunes in this study. Although the melody comprises 32 bars (as do the other works), the form is AABB, as opposed to AABA. The harmonic structure of “Carioca” is relatively simple and diatonic in the ‘A’ sections (C minor), modulating into the tonic major (C major), in the B sections.

In the first half of the ‘A’ sections (first four bars), the baritone saxophone plays the melody, and the trumpet and bass respond, then in bars 5-7, the trumpet and baritone saxophone are in voiced harmony. This arrangement of textures is replicated in the second ‘A’ section, although the actual lines played by Baker are somewhat different.

In the Bridge section, the bass plays a three-note ostinato, whilst the harmony shifts between the tonic and dominant of the tonic major. The trumpet and saxophone play in parallel thirds, which enables the 3rds of each chord to be expressed, and in the case of the G7 chord, the 7ths as well.

Of interest is that this ostinato is played over both the C and the G7 Chords. Owing to the chordal nature of the frontline melody, combined with the simple accompaniment of the saxophone, the dominant chord is just as easy to hear as the tonic.
Figure 15: “Carioca”, Exposition of Theme.
Example 9. “Carioca” Gerry Mulligan Solo

Characteristic of Solo: Predominant use of Chordal Notes

During Mulligan’s solo the bass plays a walking bassline that is dominated by chordal notes: for example, in the first eight bars, out of 32 notes, 29 are chordal tones. This certainly helps with implying the harmony. Also of note is that each 8 bar section is based on the movement between the tonic and dominant, using the ii as a passing chord in the dominant sections, regardless of whether in a major or minor key.

Both the bass and the saxophone use a good deal of thirds over the respective chords. The performance of thirds over the tonic chords defines the respective minor and major tonalities clearly.
Figure 16: “Carioca”, Gerry Mulligan Solo.
Example 10. “Makin’ Whoopee” Exposition of Theme

Techniques: Call and Response; Voiced Harmony
Composer: Gus Kahn
Lyrics: Walter Donaldson
Record: Pacific Jazz (604), recorded 24 February 1953

“Makin’ Whoopee” is a 32 bar tune, with an AABA form (each section being of eight bars duration). In the first two ‘A’ sections the melody is played by the baritone saxophone. The theme in these sections is mainly chordal (out of 35 notes, 29 are chordal). The bass plays a simple two in the bar feel, spelling out the root notes of each chord, except for the third bar (bars 3, and 11) in which the 3rd and 5th degrees of the chord are used on the respective 1st and 3rd beats. The trumpet plays responses in the first four bars of each of the two ‘A’ sections, which are also mainly chordal (9 out of 12 notes). In the 5th and 6th bars the trumpet plays guide tones, and in the 7th and 8th bars the baritone saxophone plays guide tones under the trumpet’s countermelody.

In the bridge (or ‘B’ section), the trumpet, saxophone and bass play in voiced harmony. At the start of each 2 bar phrase, the trumpet (melody) plays the 3rd, the saxophone, plays the 7th, and the bass plays the root note. All instruments then move up to the neighboring chordal note (5th, 9th, and 3rd respectively), then back to the original note. The choice of chordal note (and therefore the texture) remains constant throughout the bridge.

In the final ‘A’ section, the trumpet and saxophone change roles—the trumpet now plays the melody, with the saxophone providing a countermelody. Each instrument plays a variation on the melody and countermelody. The trumpet introduces a triplet feel to the melody, and then further embellishes the melody with chordal triplet fills from bar 27, whilst the saxophone plays a countermelody using a semiquaver motif, followed by guide tones in bars 27 and 28. From bars 25 to 29 the bass plays root notes (excepting a 3rd in bar 27), with a 2 feel. In bars 30 through to 32 it plays in 4.
Makin' Whoopee - Exposition of Theme

Que Kunn
Walter Donaldson
1928

Trumpet in B♭

Baritone Saxophone

Upright Bass

Tpt.

Bari. Sax.

U. Bass

Tpt.
Figure 17: “Makin’ Whoopee”, Exposition of Theme.
Example 11. “Aren’t You Glad You’re You” Exposition of Theme

Techniques: Unison; Guide Tones
Composer: James Van Heusen
Lyrics: Johnny Burke
Record: Pacific Jazz (607), recorded 15 & 16 October 1952

The form of this 32 bar melody is AABA, although not in the strictest sense. All three of the ‘A’ sections begin with identical material in the opening two bars, but vary noticeably with regards to melody and harmony. In the ‘A’ sections, the trumpet and saxophone play the melody in unison. In the bridge, the trumpet plays the melody, and the saxophone plays guide tones for bars 17 through to 22, before returning to unison with the trumpet for bars 23 and 24. The melody itself predominantly consists of chordal notes in the ‘A’ sections: In the first ‘A’ section there are only two passing notes, whilst in the second and third ‘A’ sections there are four and one passing notes respectively. This may very well be an indicator of why Mulligan decided to employ unisons.

On the other hand, the melody in the bridge uses less movement, and centres around guide tones, whilst the accompaniment is based on the other guide tones. The bass line is based predominantly in the root notes of the chords whenever it is in a ‘two’ feel (crotchets followed by crotchet rests, or minims), and employs a far wider range of notes, along with a number of passing tones.
Figure 18: “Aren’t You Glad You’re You”, Exposition of Theme.
Example 12. “Aren’t You Glad You’re You” Solos

Technique: Guide Tones
Characteristic of Solo: Predominant use of Chordal Notes

In this piece Mulligan plays a solo in the first half (the two ‘A’ sections), and Baker plays a solo in the second half (the bridge, and final ‘A’ section). As in all of his solos in the early GMQ, Mulligan is accompanied only by the bass and drums (Baker never played backing lines behind any other solos in this context). In order for the harmony to be clearly implied, it is no surprise that Mulligan begins his solo by playing an embellished form of the melody in the opening two bars, using chromatic passing tones. In bar 3 he employs a sequential figure, with only one of the notes not belonging to the chord. Bar 4 is purely chordal, effectively expressing the passing chord of Adim7 in the third and fourth beats. Bar 5 is scalar, only requiring one passing note. In bars 1, 6, and 7 Mulligan uses accented and unaccented appoggiaturas.

In the third bar of the second ‘A’ section (bar 11), Mulligan uses a scalar passage, running from the third degree of A major to that same degree (the 3rd), up an octave from the original note. Apart from the neighbouring tone at the beginning of bar 12, the notes are 3rds and 5ths of A major, landing on the 3rd of E major in the following bar (bar 13).

In Baker’s solo (bars 17 – 32), the bass line is again predominantly chordal. For bars 17-24 (The bridge or ‘B’ section), Mulligan’s backing figures are mainly 3rds and 7ths. Baker’s solo is more ornate than Mulligan’s, using a larger proportion of non-chordal notes in bars 17-24. He also plays a wider range of these non-chordal notes, using passing notes, auxiliary notes, cambiata, and echappée, whereas Mulligan favours Passing Notes. In the final ‘A’ section, the texture is contrapuntal for bars 25-28, with Mulligan playing a descending countermelody, before returning to guide tones for bars 29-31.

13 The D could be regarded as an extension of the chord rather than an auxiliary tone.
Figure 19: “Aren’t You Glad You’re You”, Solos.
Example 13. “Frenesi” Exposition of Theme

Technique: Counterpoint
Composer: Alberto Dominguez
Record: Pacific Jazz (602), recorded 15 & 16 October 1952

Harmonically speaking, the ‘A’ sections of “Frenesi” are relatively simple. Each ‘A’ section remains in the tonic key (E♭ major), reinforced by the alternating ii and V chords, and finishing on the chord. The bass is an ostinato, with only the first note changing between F (the root of the ii chord), and E♭ (root of the tonic).

The melody (played by the baritone saxophone), is diatonic, staying in the key of B♭. The melody sometimes reflects the actual chords, such as in bars 1, 3, 5, and 7. In bars 2, and 4, the notes of the melody are based on the E♭ chord, as opposed to the ii V expressed in the bass.

The counter melody (trumpet), is also diatonic, and reflects the tonic chord, whilst the bass ostinato plays the roots of the ii and V chords, such as bars 1, 3, and 4, and bars 9-14 inclusive.
Figure 20: “Frenesi”, Exposition of Theme.
Example 14. “Line for Lyons” Exposition of Theme

Techniques: Chorale Style; Call and Response
Composer: Gerry Mulligan
Record: *Fantasy* (525), recorded 2 September 1952

“Line for Lyons” is an example of the frontline instruments being arranged in three different ways, consecutively. The bass line is firmly rooted on the tonics and thirds of the respective chords: Bar 1 employs contrary motion; Bars 3-6 are in parallel (voiced) harmony; and bar 7 is in contrary motion. The bridge (bar 11 onwards), is an example of ‘call and response’. The trumpet and baritone saxophone alternate taking the melody. While one instrument lands on the chordal note, the other plays melodically and then they switch roles.
Figure 21: “Line for Lyons”, Exposition of Theme.
Example 15. “The Lady is a Tramp” Introduction and Exposition of Theme

Technique: Guide Tones
Composer: Richard Rogers
Lyrics: Lorenz Hart
Record: *Fantasy* (528), recorded 3 January 1953

In this arrangement the guide tones played by the accompanying instrument (whether trumpet or saxophone) are used as a motif. So important are the guide tones in this arrangement, in fact, that the trumpet actually begins the introduction with a sequence of four unaccompanied guide tones. This motif is repeated before the bass enters with pedal Gs (the fifth of the key) on the second and fourth beats of the bar.

The structure of the melody is once again AABA, but, in this instance, over a 64 bar structure. In the ‘A’ sections of this piece, the chords implied are a departure from what many regard as the ‘standard’ chords of this song. In the original version the first four chords in each ‘A’ section are a bar each of CMaj7, Cmin7, Dmin7, and G7. In the GMQs arrangement, E♭7 is used instead of the Cmin7, and D♭7 is used instead of G7. These are closely related chords (being the relative major and tritone substitution respectively), and create a similar sense of harmonic rhythm and momentum to each other. In the ‘A’ sections, the saxophone plays the melody, whilst the trumpet plays guide tones; and in the bridge, the roles are reversed.
THE LADY IS A TRAMP - INTRODUCTION
AND EXPOSITION OF THEME

Richard Rodgers
Lorenz Hart
1937

Swing J - 130

Trumpet in Bb:

Baritone Saxophone:

Upright Bass:

Tpt:

Sax. Sax:

U. Bass:

Db7
Cmaj7
Ebm7
Dm7
Db7
Cmaj7
Ebm7
Swing J - 130
C
Ebm7
Dm7
Db7
Cmaj7
Ebm7

Ped.
Figure 22: “The Lady is a Tramp”, Introduction and Exposition of Theme.
Example 16. “My Funny Valentine” Exposition of Theme

Technique: Guide Tones
Composer: Richard Rogers
Lyrics: Lorenz Hart
Record: Pacific Jazz (PJ-75), recorded 20 May 1953

Like the majority of pieces analysed in this study, “My Funny Valentine” is a 32 bar AABA form. However, departures from the standard form include:

• A two-bar tag (coda) at the end of the final ‘A’ section.
• Variations in melody between each ‘A’ section. The melody in the second ‘A’ section is a diatonic transposition of the melody in the first section, and the melody in the final ‘A’ section uses the first two bars of the first ‘A’ section, followed by the first two bars of the second ‘A’ section.

In the first five bars of the first ‘A’ section, the trumpet plays the melody, accompanied only by the bass. In these first five bars the bass plays crotchets, alternating between C and the relevant guide tone. The C is a chord note in all five bars, except for the second bar, where it acts as a pedal against the G7 chord. In bars 6-8 the bass walks. In the second ‘A’ section, the saxophone reiterates the guide tones that were played by the bass earlier, whereas the bass now plays a line based on the chordal notes of each respective bar.

For the first six bars of the bridge section, the bass plays only root notes, and the saxophone only 3rds of the respective chords, all of which are in the E♭ (relative major) tonality. Over this accompaniment, the trumpet plays a variation on the melody, also in the E♭ tonality. For the first four bars of the final ‘A’ section, the saxophone reiterates the guide tones as played in the second ‘A’ section, and the bass plays an identical bass line as it did in the first ‘A’ section. In the final six bars (the last four bars of the ‘A’ section plus a two bar tag), both frontline instruments play in counterpoint, with the saxophone playing a countermelody to the trumpet. The bass spells out the chords.
Figure 23: “My Funny Valentine”, Exposition of Theme.
Chapter 6. Conclusion

The purpose of this research thesis was to examine the role of implied harmony in the repertoire of the Gerry Mulligan Quartet with Chet Baker, focusing on their initial period (1952-1953). To achieve the aims of the project I listened to the complete library of studio recordings by the GMQ with Chet Baker, noting the different arranging techniques employed. I then found at least two examples of each technique, and transcribed the trumpet, baritone saxophone, and bass parts of each example.

Through the analysis undertaken of the 16 examples in this study I have been able to show that the GMQ successfully conveyed a sense of implied harmony by combining a number of factors:

- They used harmonically simple material, much of which was known to the audience, because those progressions were commonly used in popular music of the time. The harmonic rhythm was never more than two chords in a bar, and more often than not, one chord in a bar, giving the audience time to 'hear' where the progressions were going.

- The analysis reveals that the harmony implied in the arrangements stays close to the chord progressions that may have been found in sheet music, or heard in earlier mainstream performances of the respective tunes. The audience is therefore listening to harmonically familiar material.

- They created a three-player format by which the bass played simple lines, consisting predominantly of the roots and 5ths of the chords. The melody (on trumpet or saxophone) was derived from the harmony, and the third instrumental line provided the extra notes to further define the harmony.

- They used repetition—each 'A' and 'B' section respectively was arranged in a very similar fashion, if not identically. This reinforced (to the audience) the shape of the harmonic progression.
The way Mulligan treated solo sections is also fundamental to the concept of implied harmony in a number of ways. He would play backing figures behind Baker's (less chordal) solos to help reinforce and further define the harmony (“Aren't You Glad You're You”; “Moonlight in Vermont”). Mulligan's own solos were in themselves more chordal and definitive of the underlying harmony (“Carioca”; “Aren't You Glad You're You”). In some cases, both Mulligan and Baker would solo simultaneously, and in counterpoint-with these two approaches combined, the audience was never unsure of the harmonic progressions (“Bernie's Tune”).

It could be argued that one could use any of the arranging techniques in a combination suitable to the music, to create an arrangement of a 32 bar jazz standard for pianoless quartet that would sufficiently imply the harmony.¹

With their rethinking of the respective roles of individual instruments within a small jazz ensemble, and by removing the necessity of the piano (or, for that matter, any chordal instrument) for the purposes of defining the harmonic structure of a piece, the Gerry Mulligan Quartet changed people’s preconceptions of what the instrumentation of a jazz band should be. As a result of their success, they popularized a new style of ‘cool’ jazz.

¹ In fact, Gerry Mulligan and Chet Baker did this in the Pacific Recording Reunion with Chet Baker in 1958.
Appendix 1. Discography

Singles


“Bernie’s Tune” 1952. Music by Bernie Miller; lyrics by Jerry Leiber and Mike Stoller. Pacific Jazz (601), recorded 16 August 1952.


“I’m Beginning to See the Light” 1944. By Duke Ellington, Don George, Johnny Hodges, and Harry James. Pacific Jazz (PJ-1207), recorded 29-30 April 1953.

“The Lady is a Tramp” 1937. Music by Richard Rodgers; lyrics by Lorenz Hart. Fantasy (528), recorded 3 January 1953.


“Love Me or Leave Me” 1928. Music by Walter Donaldson; lyrics by Gus Kahn. Pacific Jazz (PJLP-5); Alternate take: Mosaic (MR5-102), recorded 27 April 1953.


Albums

*Birth of the Cool.* Miles Davis, Capitol, (T-762), 1957.


*Gerry Mulligan Quartet.* Gerry Mulligan Quartet, Pacific Jazz, (PLJP-1), 1952.

Appendix 2. Glossary of Terms

**Anticipated Note** — a note that immediately precedes the chord in which it would belong, resolved once the ‘anticipated’ chord is sounded.

**Appoggiatura** — an accented non-chordal tone that is played at the same time as the chord, immediately resolving step wise to a note within the chord.

**Arpeggiated** — whereby a chord is spelt out one note at a time.

**Auxiliary Note** — (also known as a neighbour tone) is a non-chord tone one step below or above the same chordal tone that both precedes and follows it.

**Call and Response** — a musical device whereby two musicians play two distinct phrases, where the second phrase is heard as a response to the first phrase.

**Cambiata Note** — a non-chord note that is a jump from another non-chord note.

**Chorale Style** — a type of writing, whereby two or more voices have the same rhythm, changing between parallel, skew, and contrary motion.

**Countermelody** — a supporting melody, played at the same time as the main melody.

**Counterpoint** — the relationship between two or more musical lines that is melodically and rhythmically independent, whilst at the same time defining the same harmony.

**Echappée Note** — a note that is approached stepwise from a chord tone and resolved by a skip in the opposite direction back to a chord.

**Frontline** — denoting an instrument in a small jazz ensemble that plays the melody.

**Guide Tone** — a note that is either the 3rd or 7th of the chord.

**Headliner** — refers to the performer/s who are the main attraction at a venue for a specific period of time.
**Passing Note** — a non-chord note that is between the notes of a chord.

**Preparatory Chord** — a chord that is used directly before the dominant chord

**Rhythm Section** — usually consisting of piano, bass, drums, and sometimes guitar. The word rhythm section refers to the instruments that define the harmony and rhythmic feel of a piece. In the case of The Gerry Mulligan Quartet, this term refers to bass and drums only.

**Sides** — a colloquial term for a song. When records could only hold $3\frac{1}{2}$ minutes of music on each side of a 78rpm record, a song would be referred to as a side.

**Tritone Substitution** — a chord with a root note that is a tritone from the chord that it is replacing. Used because it has identical guide tones to the chord that it replaces.

**Voiced Harmony** — a texture whereby the voices move in parallel.
References


"Music: Counterpoint Jazz." *Time.* (2 Feb 1953). Available from: 
[http://content.time.com/time/magazine/article/0,9171,817868,00.html](http://content.time.com/time/magazine/article/0,9171,817868,00.html).


